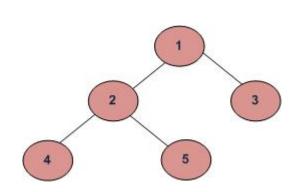
# CS101 Data Structures

Binary Trees
Textbook Ch B.5.3, 10.4

#### Orders of DFS traversal

- Inorder (Left, Root, Right): 4 2 5 1 3
- Preorder (Root, Left, Right): 1 2 4 5 3
- Postorder (Left, Right, Root): 4 5 2 3 1
- Breadth-First or Level Order Traversal: 1 2 3 4 5





#### Outline

- Binary tree
- Perfect binary tree
- Complete binary tree
- Left-child right-sibling binary tree

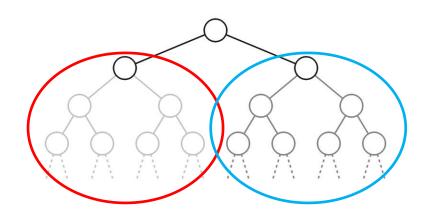
#### Outline

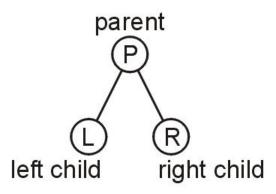
In this talk, we will look at the binary tree data structure:

- Definition
- Properties
- Application
  - Expression trees

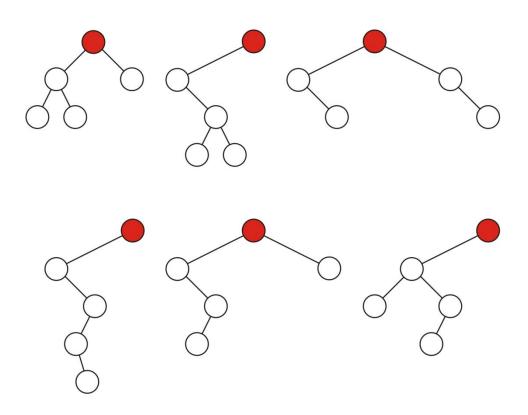
A binary tree is a restriction where each node has exactly two children:

- Each child is either empty or another binary tree
- This restriction allows us to label the children as *left* and *right* subtrees

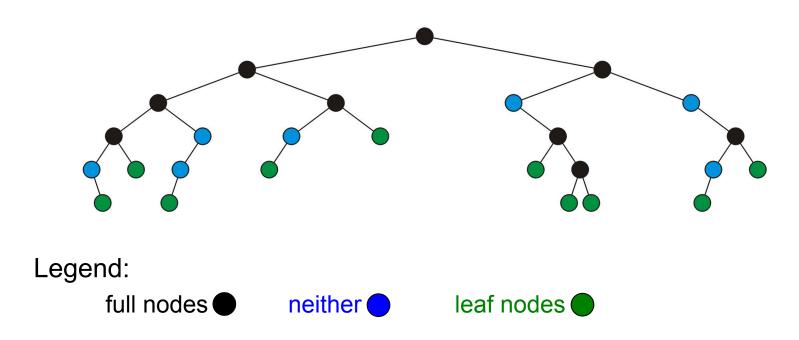




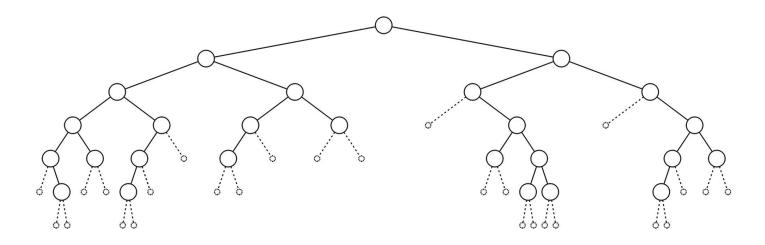
Some binary trees with five nodes:



A *full* node is a node where both the left and right sub-trees are nonempty trees

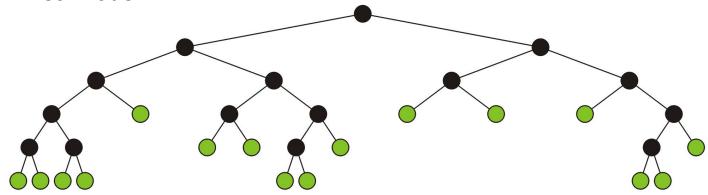


An *empty node* or a *null sub-tree* is any location where a new leaf node could be appended



A *full binary tree* is where each node is:

- A full node, or
- A leaf node



These have applications in

- Expression trees
- Huffman encoding

The binary node class is similar to the single node class:

```
template <typename Type>
class Binary_node {
  protected:
     Type element;
     Binary_node *left_tree;
     Binary_node *right_tree;
  public:
     Binary_node( Type const & );
     Type retrieve() const;
     Binary_node *left() const;
     Binary_node *right() const;
     bool is_leaf() const;
     int size() const;
     int height() const;
```

We will usually only construct new leaf nodes

```
template <typename Type>
Binary_node<Type>::Binary_node( Type const &obj ):
element( obj ),
left_tree( nullptr ),
right_tree( nullptr ) {
    // Empty constructor
}
```

The accessors are similar to that of Single\_list

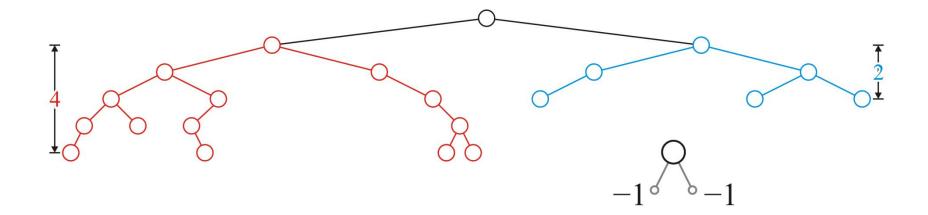
```
template <typename Type>
Type Binary_node<Type>::retrieve() const {
  return element;
template <typename Type>
Binary_node<Type> *Binary_node<Type>::left() const {
  return left_tree;
template <typename Type>
Binary_node<Type> *Binary_node<Type>::right() const {
  return right_tree;
```

```
template <typename Type>
bool Binary_node<Type>::is_leaf() const {
   return left() == nullptr && right() == nullptr;
}
```

#### Size

## Height

```
template <typename Type>
int Binary_node<Type>::height() const {
    return empty() ? -1:
    1 + std::max( left()->height(), right()->height() );
}
```



#### Clear

Removing all the nodes in a tree is similarly recursive:

```
template <typename Type>
void Binary_node<Type>::clear( Binary_node *&ptr_to_this ) {
   if ( empty() ) {
      return;
   }
   left()->clear( left_node );
  right()->clear( right_node );
   delete this;
   ptr_to_this = nullptr;
```

#### Run Times

Recall that with linked lists and arrays, some operations would run in  $\Theta(n)$  time

The run times of operations on binary trees, we will see, depends on the height of the tree

#### We will see that:

- The worst is clearly  $\Theta(n)$
- Under average conditions, the height is  $:(\sqrt{n})$
- The best case is  $\Theta(\ln(n))$

#### Run Times

If we can achieve and maintain a height  $\Theta(\lg(n))$ , we will see that many operations can run in  $\Theta(\lg(n))$  we

Logarithmic time is not significantly worse than constant time:

$lg(1000) \approx 10$	kB
$lg(1\ 000\ 000\ )\approx 20$	MB
$lg(1\ 000\ 000\ 000\ ) \approx 30$	GB
$lg(1\ 000\ 000\ 000\ 000\ ) \approx 40$	TB
$\lg(1000^n)\approx 10\ n$	

THERE'S BEEN A LOT OF CONFUSION OVER 1024 VS 1000, KBYTE VS KBIT, AND THE CAPITALIZATION FOR EACH.

HERE, AT LAST, IS A SINGLE, DEFINITIVE STANDARD:

	110105		110==C
SYMBOL	NAME	SIZE	NOTES
kB	KILOBYTE	1024 BYTESOR 1000 BYTES	1000 BYTES DURING LEAP YEARS, 1024 OTHERWISE
KB	KELLY-BOOTLE STANDARD UNIT	1012 BYTES	COMPROMISE BETWEEN 1000 AND 1024 BYTES
K₁B	IMAGINARY KILOBYTE	1024 JF1 BYTES	USED IN QUANTUM COMPUTING
kb	INTEL KILOBYTE	1023.937528 BYTES	CALCULATED ON PENTIUM F.P.U.
Кь	DRIVEMAKER'S KILOBYTE	CURRENTLY 908 BYTES	SHRINKS BY 4 BYTES EACH YEAR FOR MARKETING REASONS
KBa	BAKER'S KILOBYTE	1152 BYTES	9 BITS TO THE BYTE SINCE YOU'RE SUCH A GOOD CUSTOMER

http://xkcd.com/394/

In 1995, Boehm et al. introduced the idea of a rope, or a heavyweight string



Alpha-numeric data is stored using a *string* of characters

 A character (or char) is a numeric value from 0 to 255 where certain numbers represent certain letters

#### For example,

'Α'	65	010000012
'B'	66	010000102
ʻa'	97	01 <mark>1</mark> 00001 <sub>2</sub>
ʻb'	98	01 <mark>1</mark> 00010 <sub>2</sub>
٠,	32	001000002

Unicode extends character encoding beyond the Latin alphabet

– Still waiting for the Tengwar characters... ເລື່ອງ ເລື່ອກ ຕໍ່ ຂໍ ເຄື່ອກ ຕໍ່ ຂໍ ເຄື່ອກ ຕໍ່ ຂໍ ເຄື່ອກາ င့်ကာ ပြားပြောက် ကို လူထား အသို့မှာပါး



A C-style string is an array of characters followed by the character with a numeric value of 0

```
char * story = "In a hole there lived a hobbit.";

story - In a hole there lived a hobbit.
```

One problem with using arrays is the runtime required to concatenate two strings



Concatenating two strings requires the operations of:

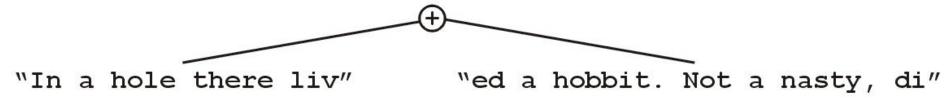
- Allocating more memory, and
- Coping both strings  $\Theta(n + m)$



#### The rope data structure:

- Stores strings in the leaves,
- Internal nodes (full) represent the concatenation of the two strings, and
- Represents the string with the right sub-tree concatenated onto the end of the left

The previous concatenation may now occur in  $\Theta(1)$  time

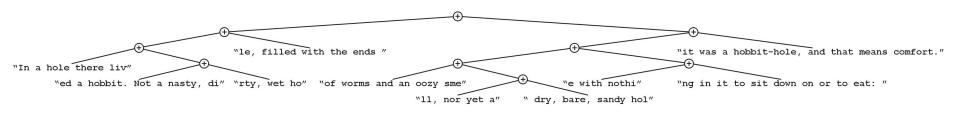




#### The string

"In a hole there lived a hobbit. Not a nasty, dirty, wet hole, filled with the ends of worms and an oozy smell, nor yet a dry, bare, sandy hole with nothing in it to sit down on or to eat: it was a hobbit-hole, and that means comfort."

#### may be represented using the rope



References: http://en.wikipedia.org/wiki/Rope\_(computer\_science)
J.R.R. Tolkien, *The Hobbit* 



Additional information may be useful:

Recording the number of characters in both the left and right sub-trees

It is also possible to eliminate duplication of common sub-strings

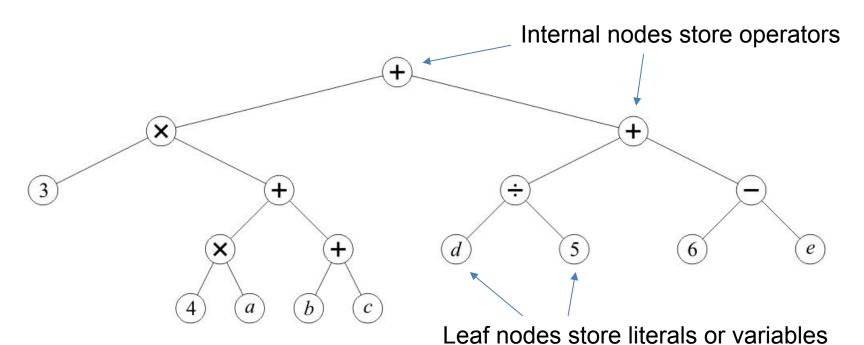
```
"In a hole there lived a hobbit. Not a nasty, dirty, wet hole, filled_with_the ends of worms and an oozy smell, nor yet a dry, bare, sandy hole_with_nothing in it to sit down on or to eat: it was a hobbit-hole, and that means comfort."
```

References: http://en.wikipedia.org/wiki/Rope\_(computer\_science)
J.R.R. Tolkien, *The Hobbit* 



Any basic mathematical expression containing binary operators may be represented using a (full) binary tree

- For example, 3\*(4a+b+c)+d/5+(6-e)

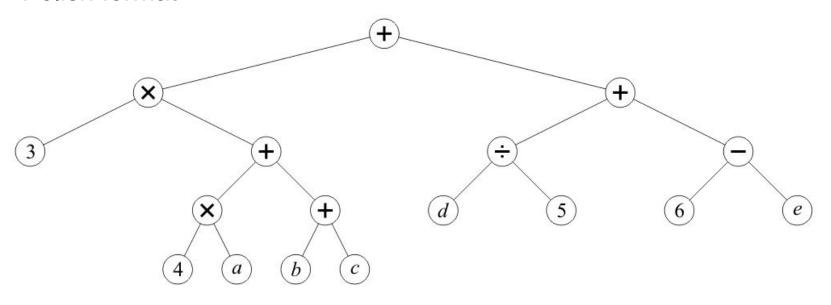


#### Observations:

- Internal nodes store operators
- Leaf nodes store literals or variables
- No nodes have just one sub tree
- The order is not relevant for
  - Addition and multiplication (commutative)
- Order is relevant for
  - Subtraction and division (non-commutative)
- It is possible to replace non-commutative operators using the unary negation and inversion:

$$(a/b) = a b^{-1}$$
  $(a - b) = a + (-b)$ 

A post-order depth-first traversal converts such a tree to the reverse-Polish format



$$3\ 4\ a \times b\ c + + \times d\ 5 \div 6\ e - + +$$

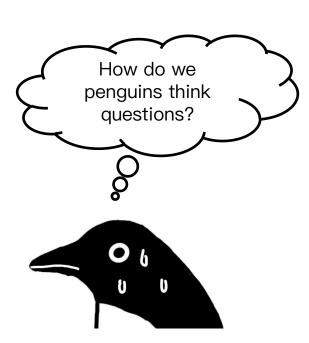
#### Computers think in post-order:

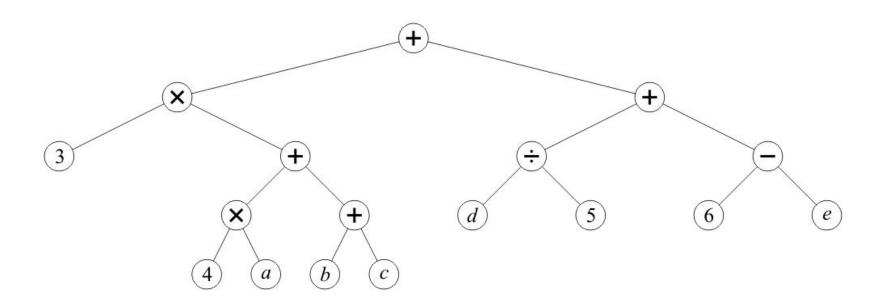
- Both operands must be loaded into registers
- The operation is then called on those registers

#### Humans think in in-order:

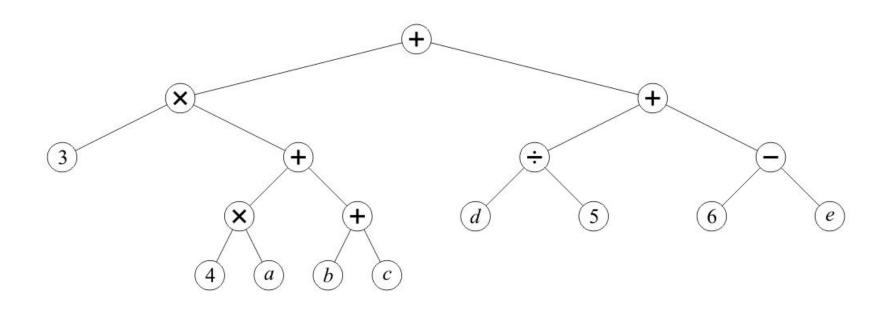
- First, the left sub-tree is traversed
- Then, the current node is visited
- Finally, the right-sub-tree is traversed

This is called an *in-order* traversal

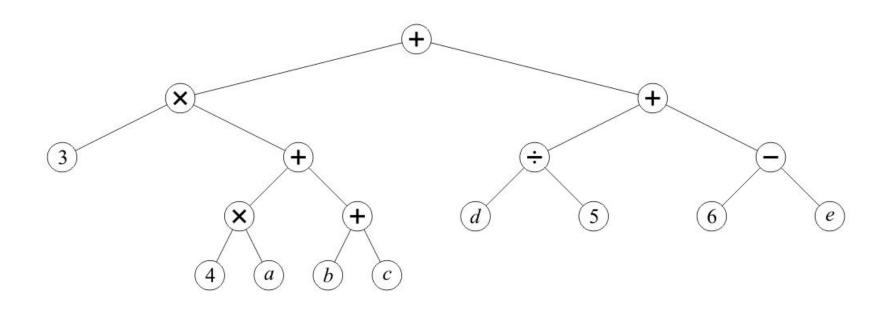




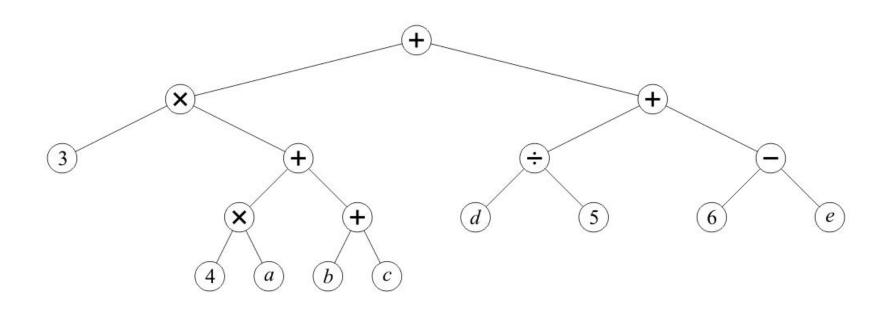
3



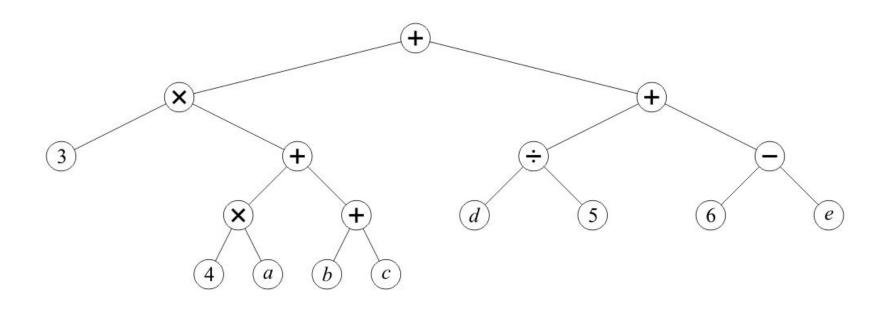
3 ×



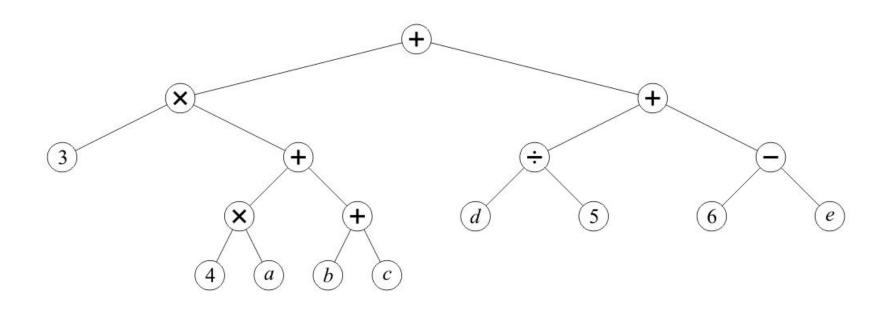
 $3 \times 4$ 



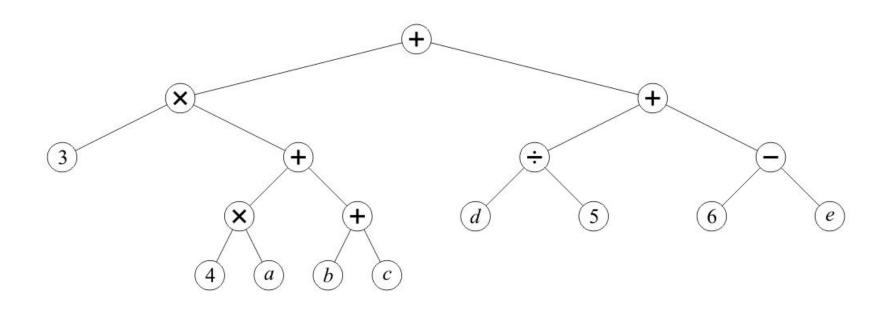
$$3 \times 4 \times$$



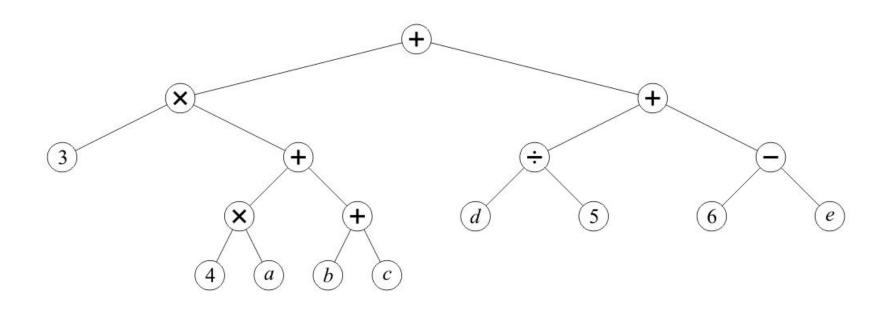
 $3 \times 4 \times a$ 



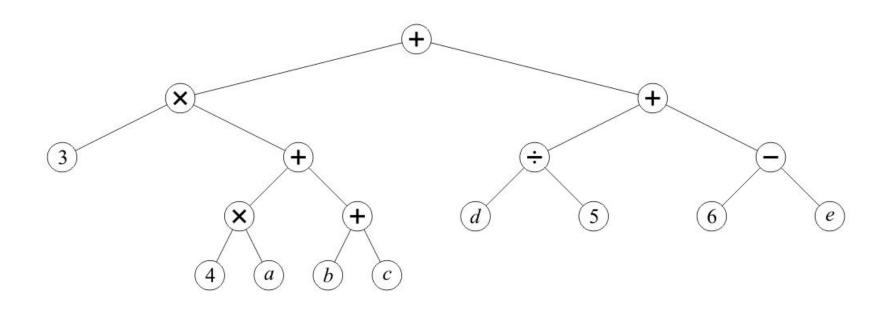
$$3 \times 4 \times a +$$



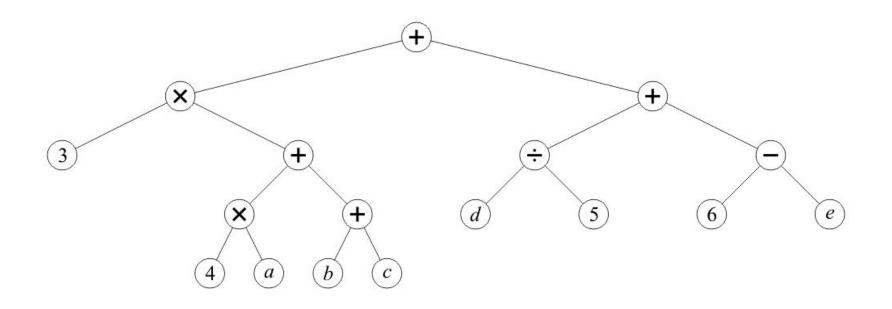
$$3 \times 4 \times a + b$$



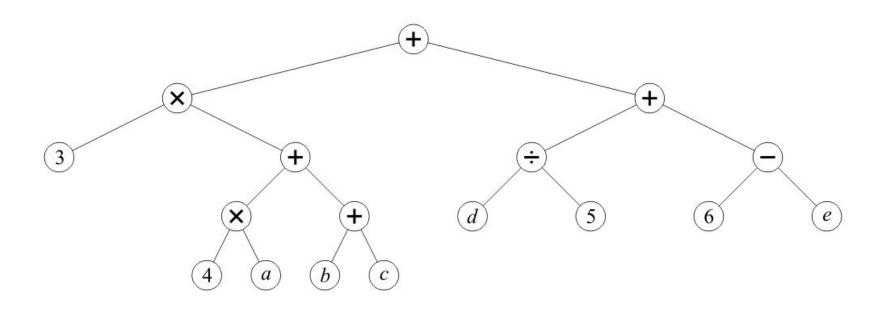
$$3 \times 4 \times a + b +$$



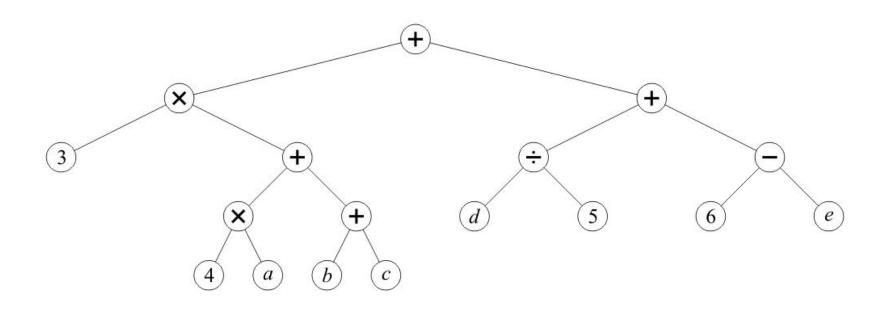
$$3 \times 4 \times a + b + c$$



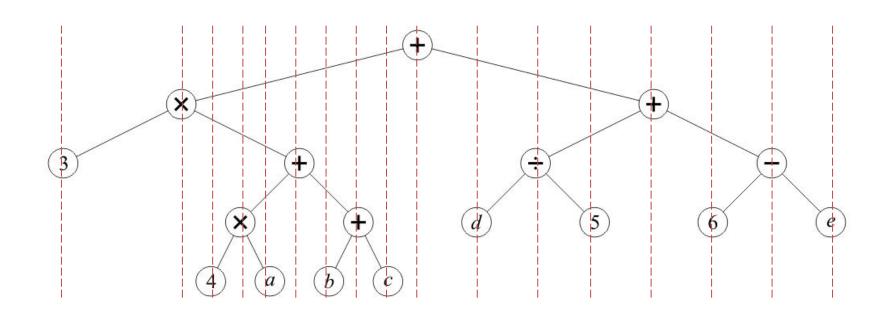
$$3 \times 4 \times a + b + c +$$



$$3 \times 4 \times a + b + c + d \div 5 + 6 - e$$



$$3 \times (4 \times a + (b + c)) + (d \div 5 + (6 - e))$$



$$3 \times 4 \times a + b + c + d \div 5 + 6 - e$$

## Summary

#### In this talk, we introduced binary trees

- Each node has two distinct and identifiable sub-trees
- Either sub-tree may optionally be empty
- The sub-trees are ordered relative to the other

#### We looked at:

- Properties
- Applications

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Sincerely,
Douglas Wilhelm Harder, MMath
dwharder@alumni.uwaterloo.ca

## Outline

- Binary tree
- Perfect binary tree
- Complete binary tree
- Left-child right-sibling binary tree

### Outline

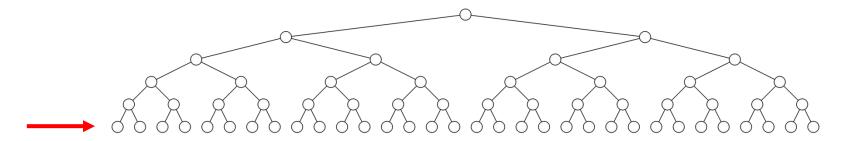
#### Introducing perfect binary trees

- Definitions and examples
- Number of nodes:  $2^{h+1}-1$
- Logarithmic height
- Number of leaf nodes: 2h
- Applications

### **Definition**

#### Standard definition:

- A perfect binary tree of height h is a binary tree where
  - All leaf nodes have the same depth h
  - · All other nodes are full



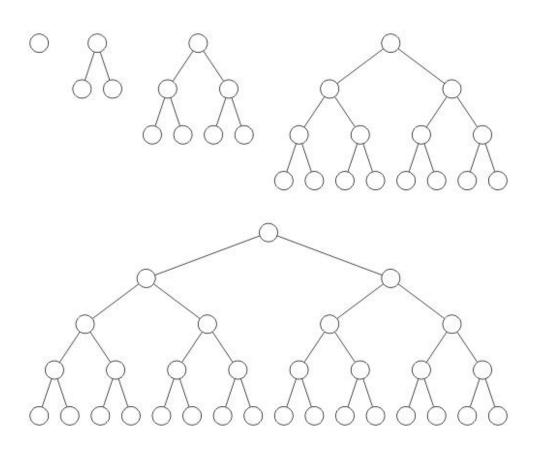
### **Definition**

#### Recursive definition:

- A binary tree of height h = 0 is perfect
- A binary tree with height h > 0 is a perfect if both sub-trees are prefect binary trees of height h 1

# Examples

Perfect binary trees of height h = 0, 1, 2, 3 and 4



# Examples

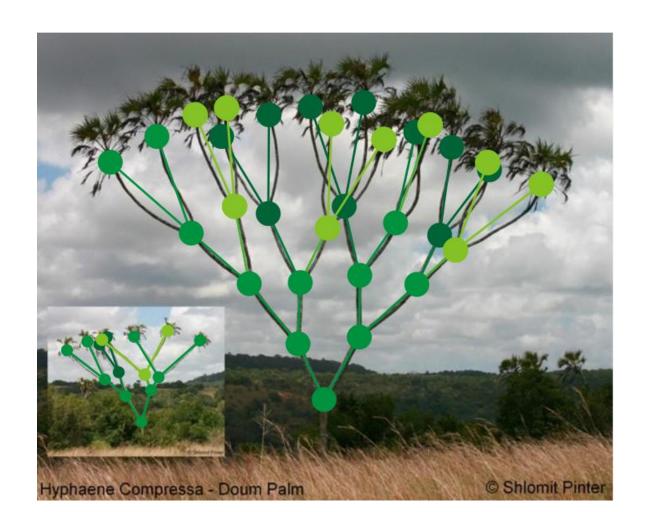
Perfect binary trees of height h = 3 and h = 4





# Examples

Perfect binary trees of height h = 3 and h = 4



### **Theorems**

Four theorems of perfect binary trees:

- A perfect binary tree of height h has  $2^{h+1}-1$  nodes
- The height is  $\Theta(\ln(n))$
- There are 2<sup>h</sup> leaf nodes
- − The average depth of a node is  $\Theta(\ln(n))$

These theorems will allow us to determine the optimal run-time properties of operations on binary trees

#### Theorem

A perfect binary tree of height h has  $2^{h+1}-1$  nodes

#### Proof:

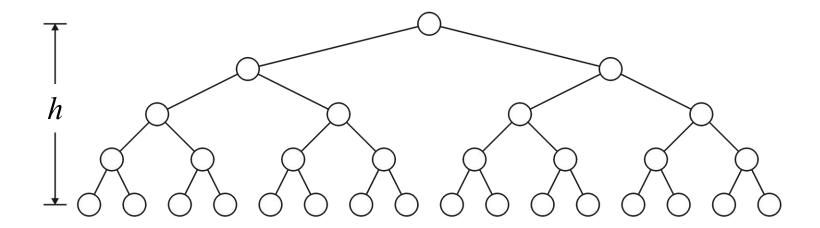
We will use mathematical induction

#### The base case:

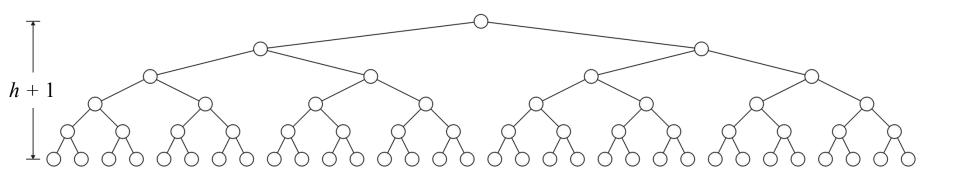
- When h = 0 we have a single node n = 1
- The formula is correct:  $2^{0+1} 1 = 1$

### The inductive step:

– Assume that a tree of height h has  $n = 2^{h+1} - 1$  nodes



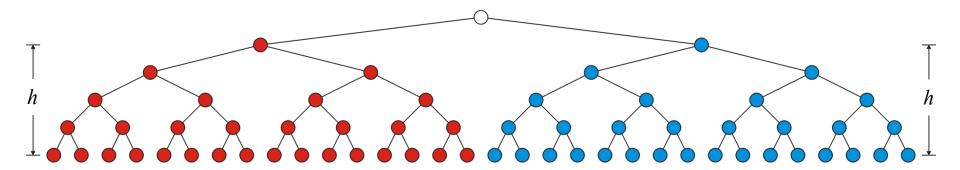
We must show that a tree of height h + 1 has  $n = 2^{(h+1)+1} - 1 = 2^{h+2} - 1$  nodes



Using the recursive definition, both sub-trees are perfect trees of height h

- By assumption, each sub-tree has  $2^{h+1}-1$  nodes
- Therefore, the total number of nodes is

$$(2^{h+1}-1)+1+(2^{h+1}-1)=2^{h+2}-1$$



#### Consequently

The statement is true for h = 0 and the truth of the statement for an arbitrary h implies the truth of the statement for h + 1.

Therefore, by the process of mathematical induction, the statement is true for all  $h \ge 0$ 

# Logarithmic Height

#### Theorem

A perfect binary tree with n nodes has height  $\lg(n+1)-1$ 

#### **Proof**

Solving 
$$n = 2^{h+1} - 1$$
 for *h*:

$$n + 1 = 2^{h+1}$$
  
 $\lg(n+1) = h+1$   
 $h = \lg(n+1) - 1$ 

# Logarithmic Height

#### Lemma

$$\lg(n+1) - 1 = \Theta(\ln(n))$$

#### **Proof**

$$\lim_{n \to \infty} \frac{\lg(n+1) - 1}{\ln(n)} = \lim_{n \to \infty} \frac{\frac{1}{(n+1)\ln(2)}}{\frac{1}{n}} = \lim_{n \to \infty} \frac{n}{(n+1)\ln(2)} = \lim_{n \to \infty} \frac{1}{\ln(2)} = \frac{1}{\ln(2)}$$

### 2<sup>h</sup> Leaf Nodes

#### Theorem

A perfect binary tree with height h has  $2^h$  leaf nodes

#### Proof (by induction):

When h = 0, there is  $2^0 = 1$  leaf node.

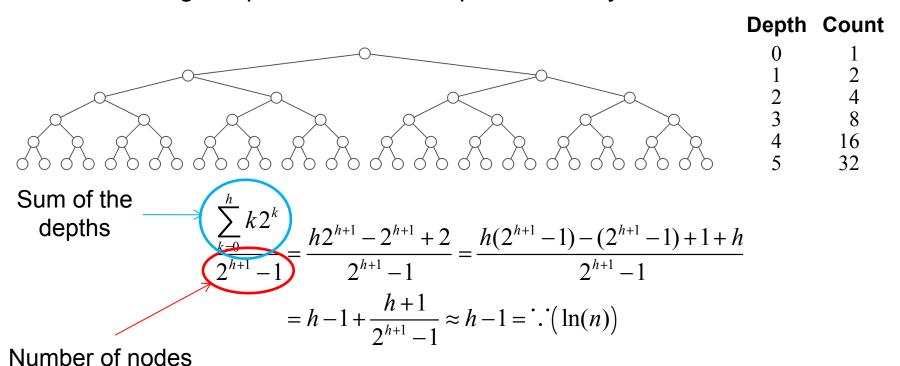
Assume that a perfect binary tree of height h has  $2^h$  leaf nodes and observe that both sub-trees of a perfect binary tree of height h+1 have  $2^h$  leaf nodes.

Consequence: Over half of the nodes are leaf nodes:

$$\frac{2^h}{2^{h+1}-1} > \frac{1}{2}$$

## The Average Depth of a Node

The average depth of a node in a perfect binary tree is



## **Applications**

Perfect binary trees are considered to be the *ideal* case

− The height and average depth are both  $\Theta(\ln(n))$ 

We will attempt to find trees which are as close as possible to perfect binary trees

## Summary

We have defined perfect binary trees and discussed:

- The number of nodes: 
$$n = 2^{h+1} - 1$$

- The height: 
$$\lg(n+1)-1$$

- The number of leaves: 
$$2^h$$

- Half the nodes are leaves
  - Average depth is  $\Theta(\ln(n))$
- It is an ideal case

## Outline

- Binary tree
- Perfect binary tree
- Complete binary tree
- Left-child right-sibling binary tree

## Outline

### Introducing complete binary trees

- Background
- Definitions
- Examples
- Logarithmic height
- Array storage

# Background

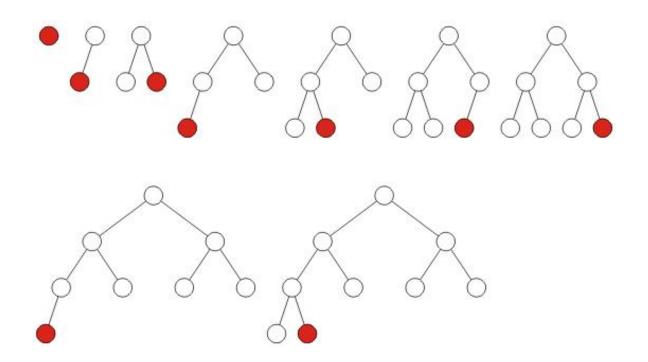
We require binary trees which are

- Similar to perfect binary trees, but
- Defined for any number of nodes

### **Definition**

A complete binary tree filled at each depth from left to right

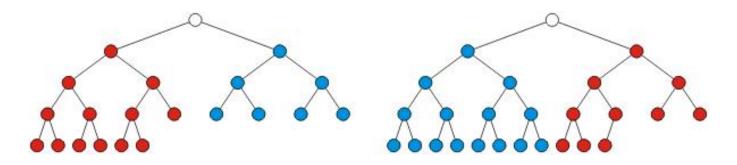
Identical order to that of a breadth-first traversal



### **Recursive Definition**

Recursive definition: a binary tree with a single node is a complete binary tree of height h = 0 and a complete binary tree of height h is a tree where either:

- The left sub-tree is a **complete tree** of height h-1 and the right sub-tree is a **perfect tree** of height h-2, or
- The left sub-tree is **perfect tree** with height h-1 and the right sub-tree is **complete tree** with height h-1



# Height

#### Theorem

The height of a complete binary tree with n nodes is  $h = \lg(n)$ 

#### Proof:

- Base case:
  - When n = 1 then  $\lg(1) = 0$  and a tree with one node is a complete tree with height h = 0
- Inductive step:
  - Assume that a complete tree with n nodes has height  $\lg(n)$
  - Must show that  $\lg(n+1)$  gives the height of a complete tree with n+1 nodes
  - Two cases:
    - If the tree with n nodes is perfect, and
    - If the tree with n nodes is complete but not perfect

# Height

Case 1 (the tree with *n* nodes is perfect):

- If it is a perfect tree then
  - It had  $n = 2^{h+1} 1$  nodes
  - Adding one more node must increase the height
- So, the tree with n+1 nodes has height h+1 and we have:

$$\lfloor \lg(n+1) \rfloor = \lfloor \lg(2^{h+1}-1+1) \rfloor = \lfloor \lg(2^{h+1}) \rfloor = h+1$$

# Height

Case 2 (the tree with *n* nodes is complete but not perfect):

If it is not a perfect tree then

$$2^{h} \le n < 2^{h+1} - 1$$

$$2^{h} + 1 \le n + 1 < 2^{h+1}$$

$$h < \lg(2^{h} + 1) \le \lg(n+1) < \lg(2^{h+1}) = h + 1$$

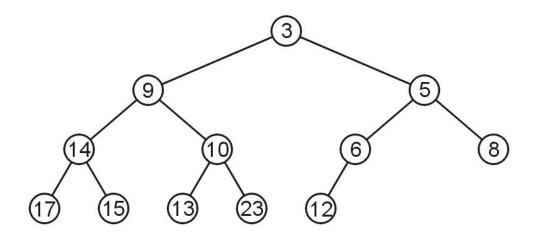
$$h \le \lfloor \lg(2^{h} + 1) \rfloor \le \lfloor \lg(n+1) \rfloor < h + 1$$

- So, the tree with n+1 nodes has height h and we have  $\lg(n+1) = h$ 

By mathematical induction, the statement must be true for all  $n \ge 1$ 

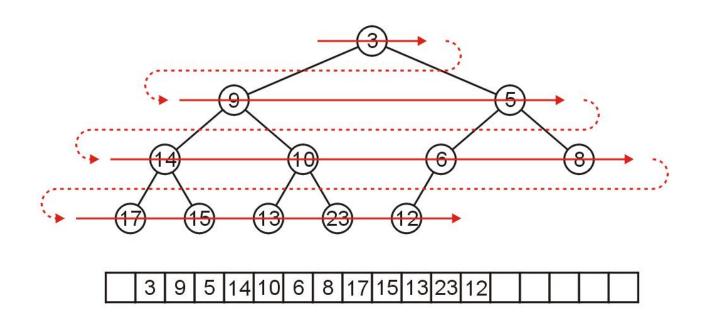
We are able to store a complete tree as an array

Traverse the tree in breadth-first order, placing the entries into the array

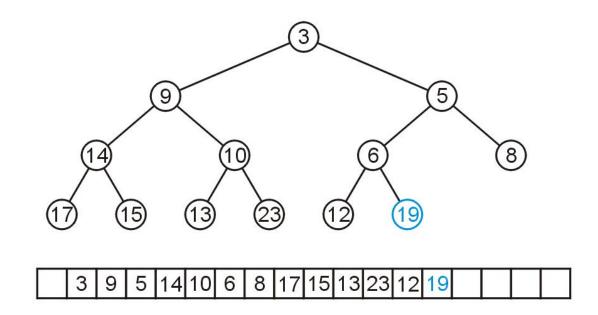


We are able to store a complete tree as an array

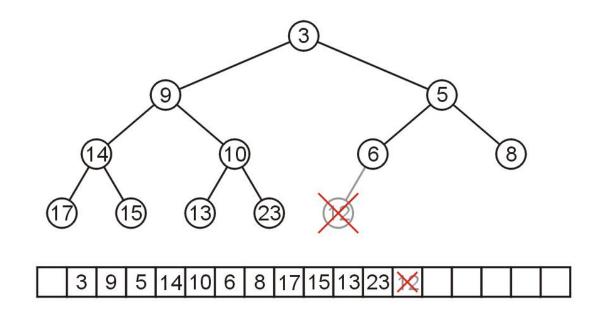
Traverse the tree in breadth-first order, placing the entries into the array



To insert another node while maintaining the complete-binary-tree structure, we must insert into the next array location

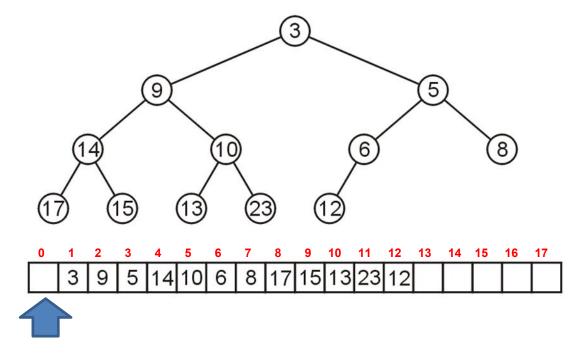


To remove a node while keeping the complete-tree structure, we must remove the last element in the array



Leaving the first entry blank yields a bonus:

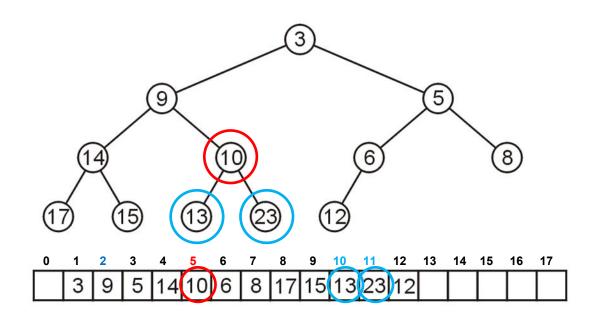
- The children of the node with index k are in 2k and 2k + 1
- The parent of node with index k is in  $k \div 2$



Leaving the first entry blank yields a bonus:

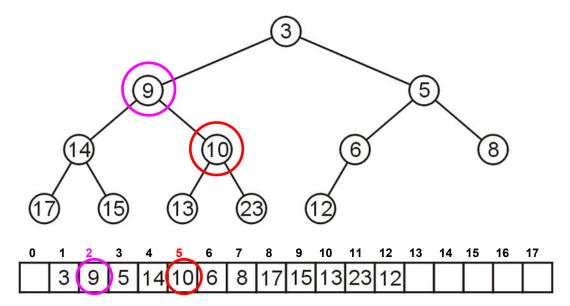
For example, node 10 has index 5:

Its children 13 and 23 have indices 10 and 11, respectively



For example, node 10 has index 5:

- Its children 13 and 23 have indices 10 and 11, respectively
- Its parent is node 9 with index 5/2 = 2

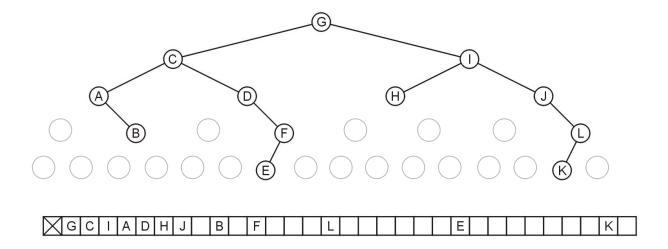


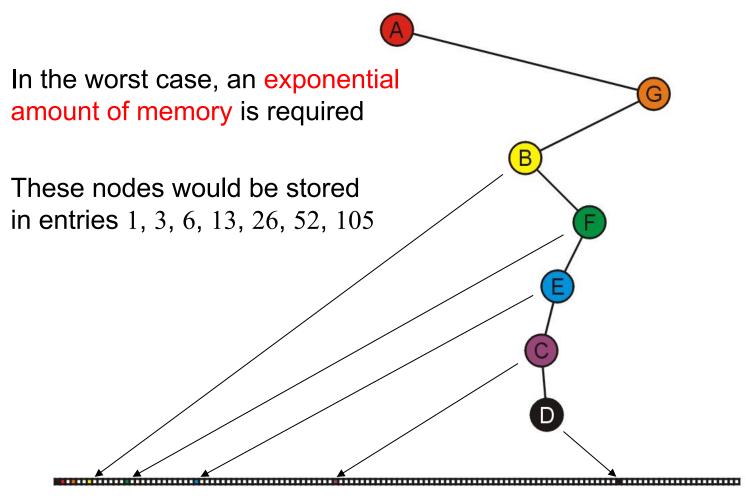
Question: why not store any binary tree as an array in this way?

There is a significant potential for a lot of wasted memory

Consider this tree with 12 nodes would require an array of size 32

Adding a child to node K doubles the required memory





## Summary

In this topic, we have covered the concept of a complete binary tree:

- A useful relaxation of the concept of a perfect binary tree
- It has a compact array representation

### Outline

- Binary tree
- Perfect binary tree
- Complete binary tree
- Left-child right-sibling binary tree

## Background

Our simple tree data structure is node-based where children are stored as a linked list

– Is it possible to store a general tree as a binary tree?

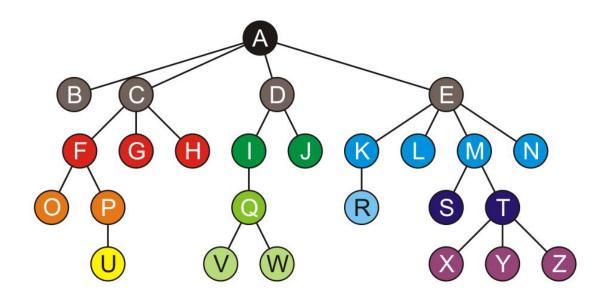
### The Idea

#### Consider the following:

- The first child of each node is its left sub-tree
- The next sibling of each node is in its right sub-tree

This is called a left-child—right-sibling binary tree

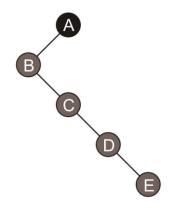
### Consider this general tree

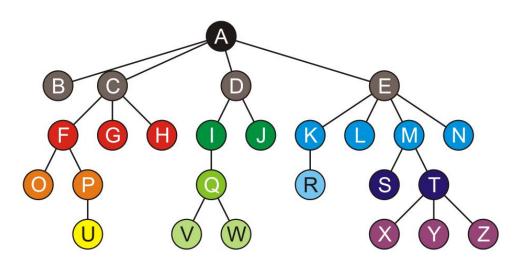


B, the first child of A, is the left child of A

For the three siblings C, D, E:

- C is the right sub-tree of B
- D is the right sub-tree of C
- E is the right sub-tree of D



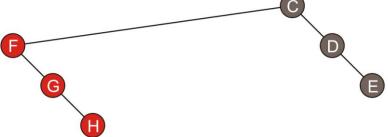


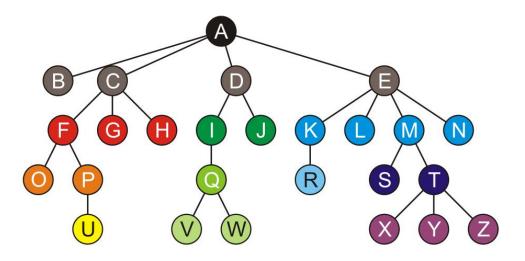
B has no children, so it's left sub-tree is empty

F, the first child of C, is the left sub-tree of C

For the next two siblings:

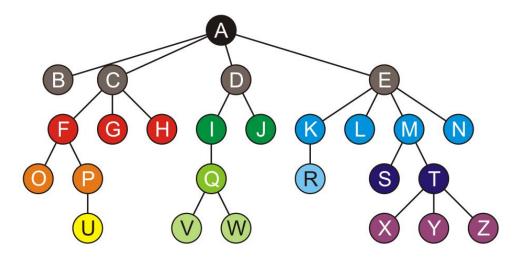
- G is the right sub-tree of F
- H is the right sub-tree of G



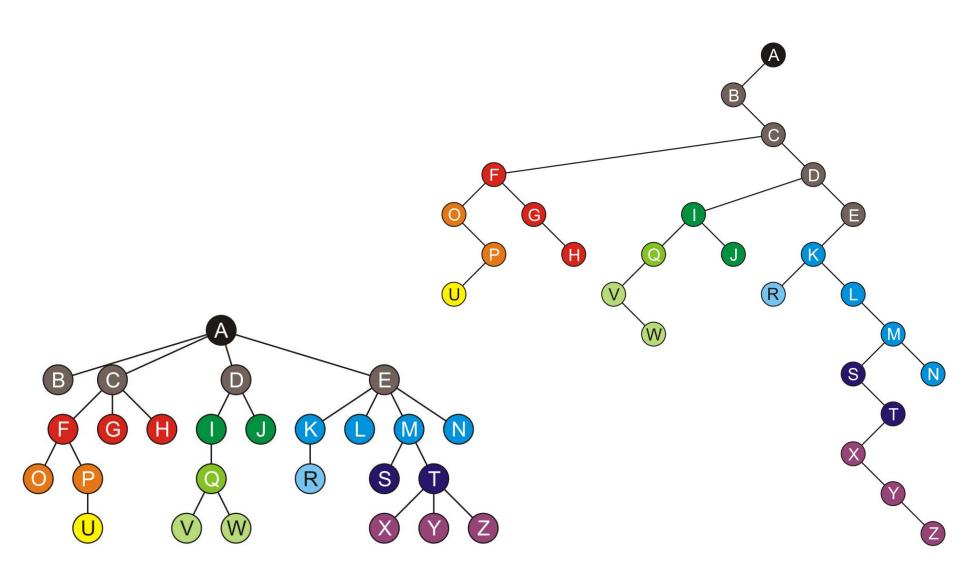


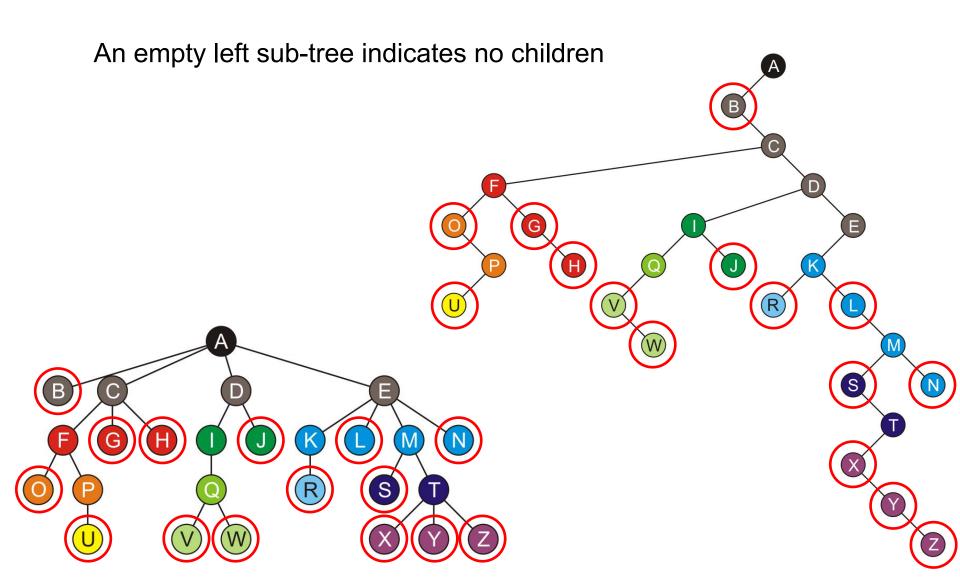
I, the first child of D, is the left child of D

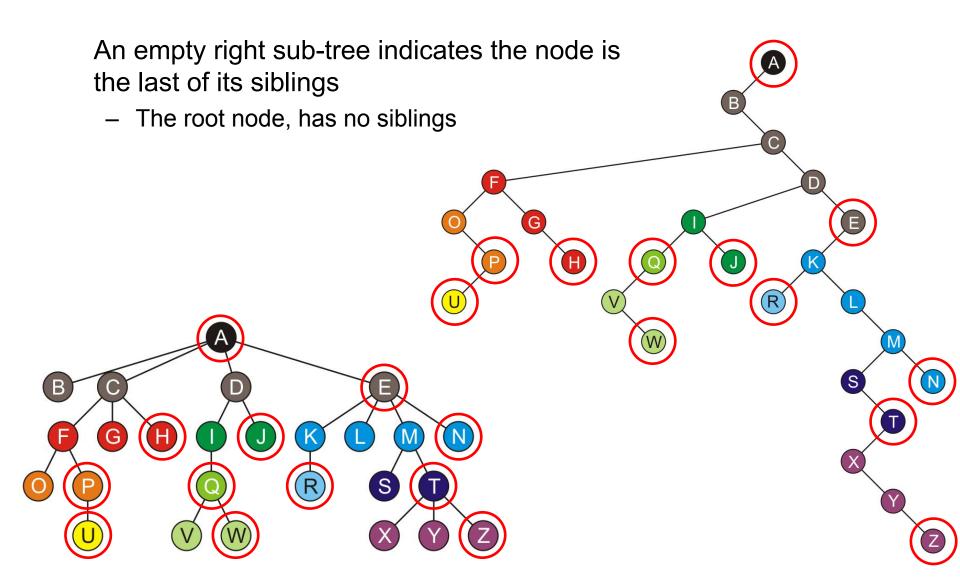
Its sibling J is the right sub-tree of I



Similarly, the four children of E start with K forming the left sub-tree of E and its three siblings form a chain along the right sub-trees H





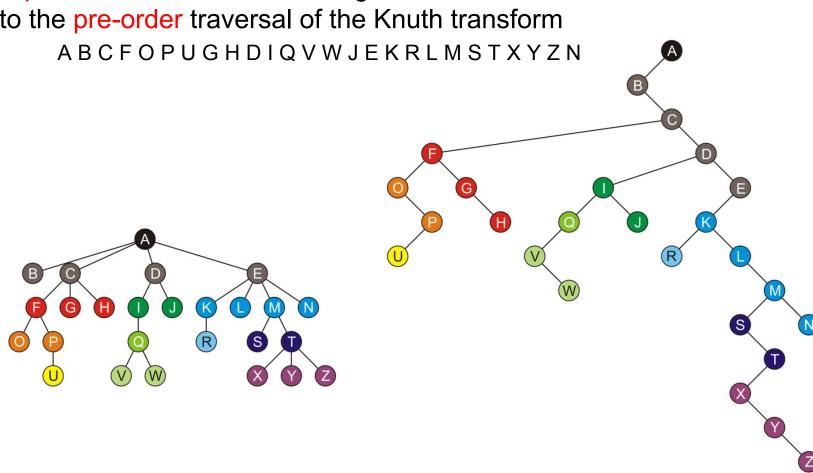


### **Transformation**

The transformation of a general tree into a left-child right-sibling binary tree has been called the Knuth transform

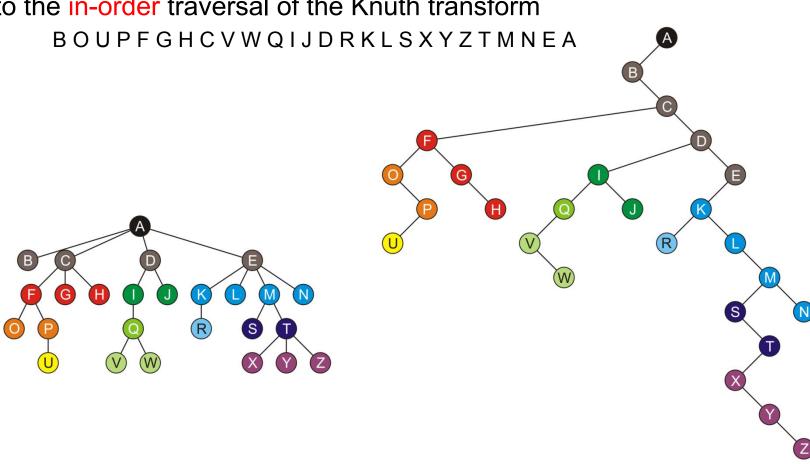
#### **Traversals**

A pre-order traversal of the original tree is identical to the pre-order traversal of the Knuth transform



### Traversals

A post-order traversal of the original tree is identical to the in-order traversal of the Knuth transform



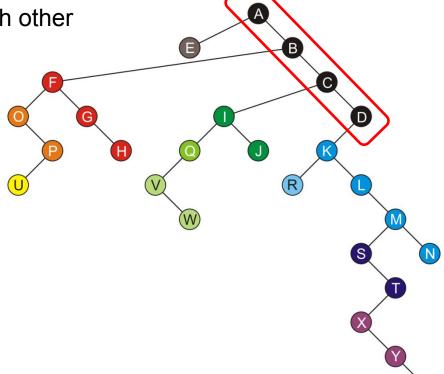
### **Forests**

A forest can be stored in this representation as follows:

- Choose one of the roots of the trees as the root of the binary tree
- Let each subsequent root of a tree be a right child of the previous root

This is the binary-tree representation of this forest

Think of the roots as siblings of each other



#### The class is similar to that of a binary tree

```
template <typename Type>
class LCRS_tree {
    private:
        Type element;
        LCRS_tree *first_child_tree;
        LCRS_tree *next_sibling_tree;

public:
        LCRS_tree();
        LCRS_tree *first_child();
        LCRS_tree *next_sibling();
        // ...
};
```

```
template <typename Type>
int LCRS_tree<Type>::degree() const {
   int count = 0;
  for (
     LCRS_tree<Type> *ptr = first_child();
     ptr != nullptr;
     ptr = ptr->next_sibling()
     ++count;
  return count;
```

```
template <typename Type>
bool LCRS_tree<Type>::is_leaf() const {
  return ( first_child() == nullptr );
}
```

```
template <typename Type>
LCRS_tree<Type> *LCRS_tree<Type>::child( int n ) const {
  if (n < 0 || n >= degree())
     return nullptr;
  LCRS_tree<Type> *ptr = first_child();
  for ( int i = 0; i < n; ++i ) {
     ptr = ptr->next_sibling();
  return ptr;
```

```
template <typename Type>
void LCRS_tree<Type>::append( Type const &obj ) {
   if ( first_child() == nullptr ) {
     first_child_tree = new LCRS_tree<Type>( obj );
  } else {
     LCRS tree<Type> *ptr = first child();
     while ( ptr->next_sibling() != nullptr ) {
        ptr = ptr->next_sibling();
     ptr->next_sibling_tree = new LCRS_tree<Type>( obj );
```

The implementation of various functions now differs

The size doesn't care that this is a general tree...

```
template <typename Type>
int LCRS_tree<Type>::size() const {
    return 1
        + ( first_child() == nullptr ? 0 : first_child()->size() )
        + ( next_sibling() == nullptr ? 0 : next_sibling()->size() );
}
```

The implementation of various functions now differs

The height member function is closer to the original implementation

```
template <typename Type>
int LCRS_tree<Type>::height() const {
   int h = 0;

   for (
       LCRS_tree<Type> *ptr = first_child();
       ptr != nullptr;
       ptr = ptr->next_sibling()
   ) {
       h = std::max( h, 1 + ptr->height() );
   }

   return h;
}
```

## Summary

This topic has covered a binary representation of general trees

- The first child is the left sub-tree of a node
- Subsequent siblings of that child form a chain down the right sub-trees
- An empty left sub-tree indicates no children
- An empty right sub-tree indicates no other siblings

### References

- [1] Cormen, Leiserson, Rivest and Stein, *Introduction to Algorithms*, 2<sup>nd</sup> Ed., MIT Press, 2001, §19.1, pp.457-9.
- [2] Weiss, *Data Structures and Algorithm Analysis in C++*, 3<sup>rd</sup> Ed., Addison Wesley, §6.8.1, p.240.

## Summary

- Binary tree
  - Each node has two children
  - In-order traversal
- Perfect binary tree
  - Number of nodes, height, number of leaf nodes, average depth
- Complete binary tree
  - Height, array storage
- Left-child right-sibling binary tree