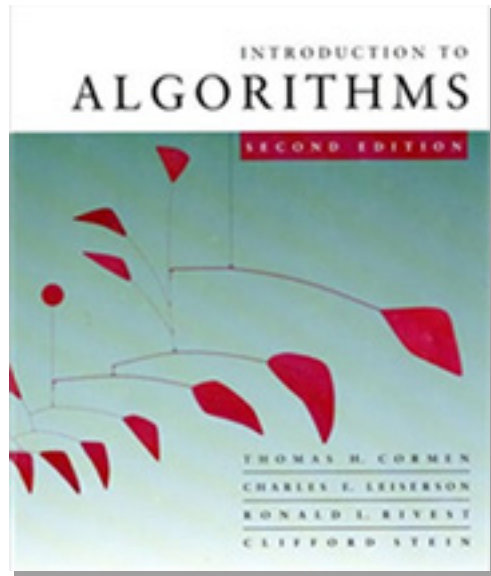


Introduction to Algorithms

6.046J/18.401J

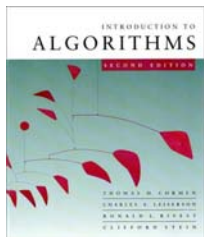


LECTURE 10

Balanced Search Trees

- Red-black trees
- Height of a red-black tree
- Rotations
- Insertion

Prof. Erik Demaine



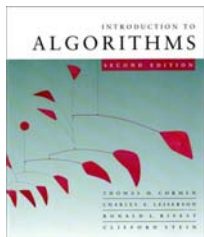
Balanced search trees

Balanced search tree: A search-tree data structure for which a height of $O(\lg n)$ is guaranteed when implementing a dynamic set of n items.

插入删除，搜索的时间都是 $O(\lg n)$

Examples:

- AVL trees
- 2-3 trees
- 2-3-4 trees
- B-trees
- Red-black trees

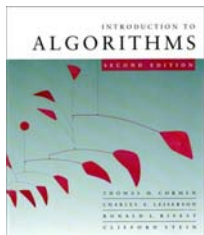


Red-black trees

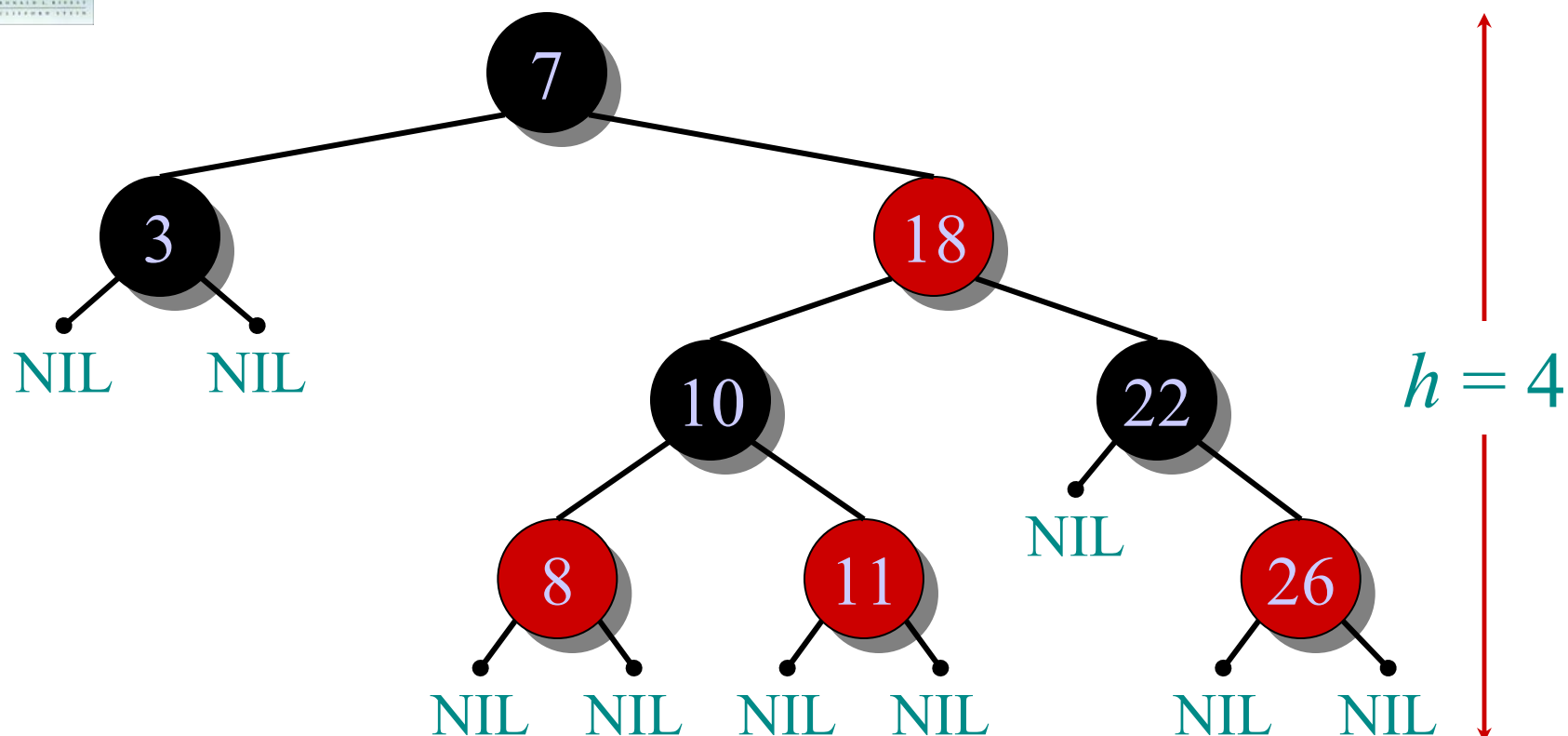
This data structure requires an extra one-bit **color** field in each node.

Red-black properties:

1. Every node is either red or black.
2. The root and leaves (**NIL**'s) are black.
3. If a node is red, then its parent is black.
4. All simple paths from any node **x** to a descendant leaf have the same number of black nodes = **black-height(x)**.

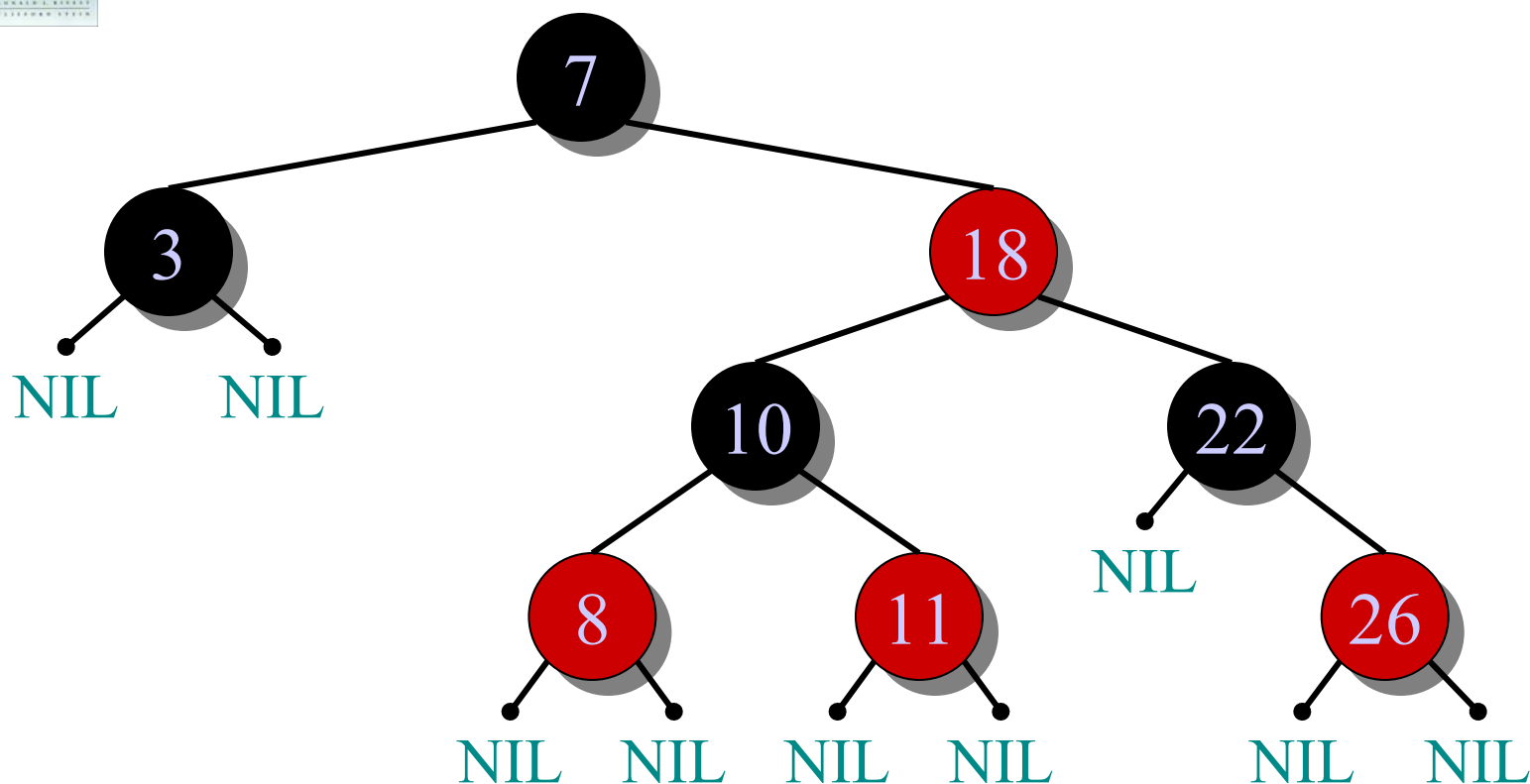


Example of a red-black tree

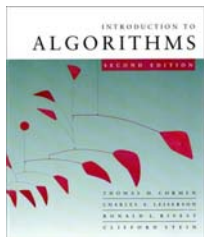




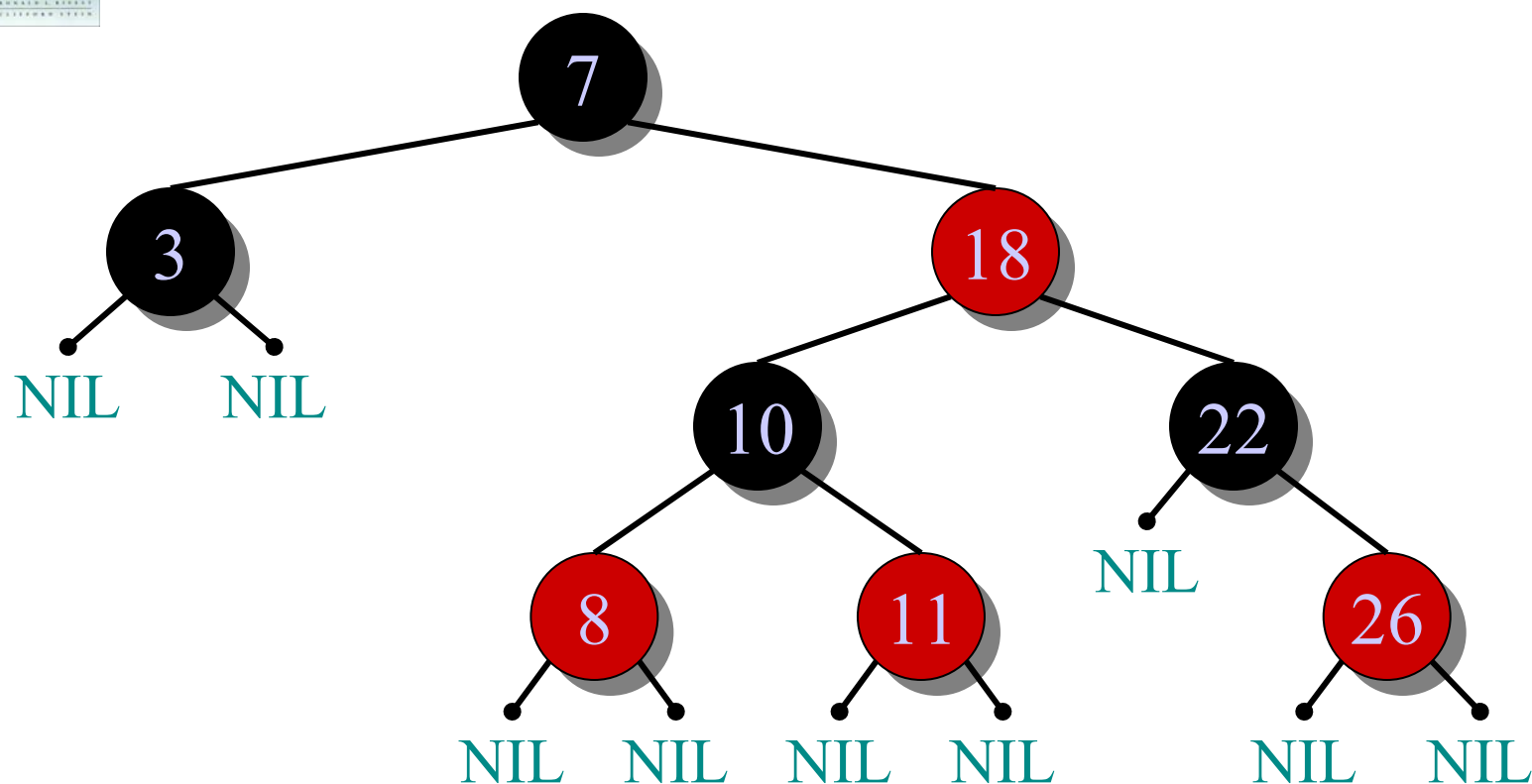
Example of a red-black tree



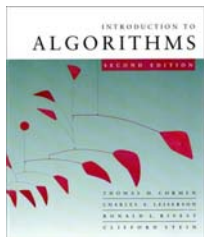
1. Every node is either red or black.



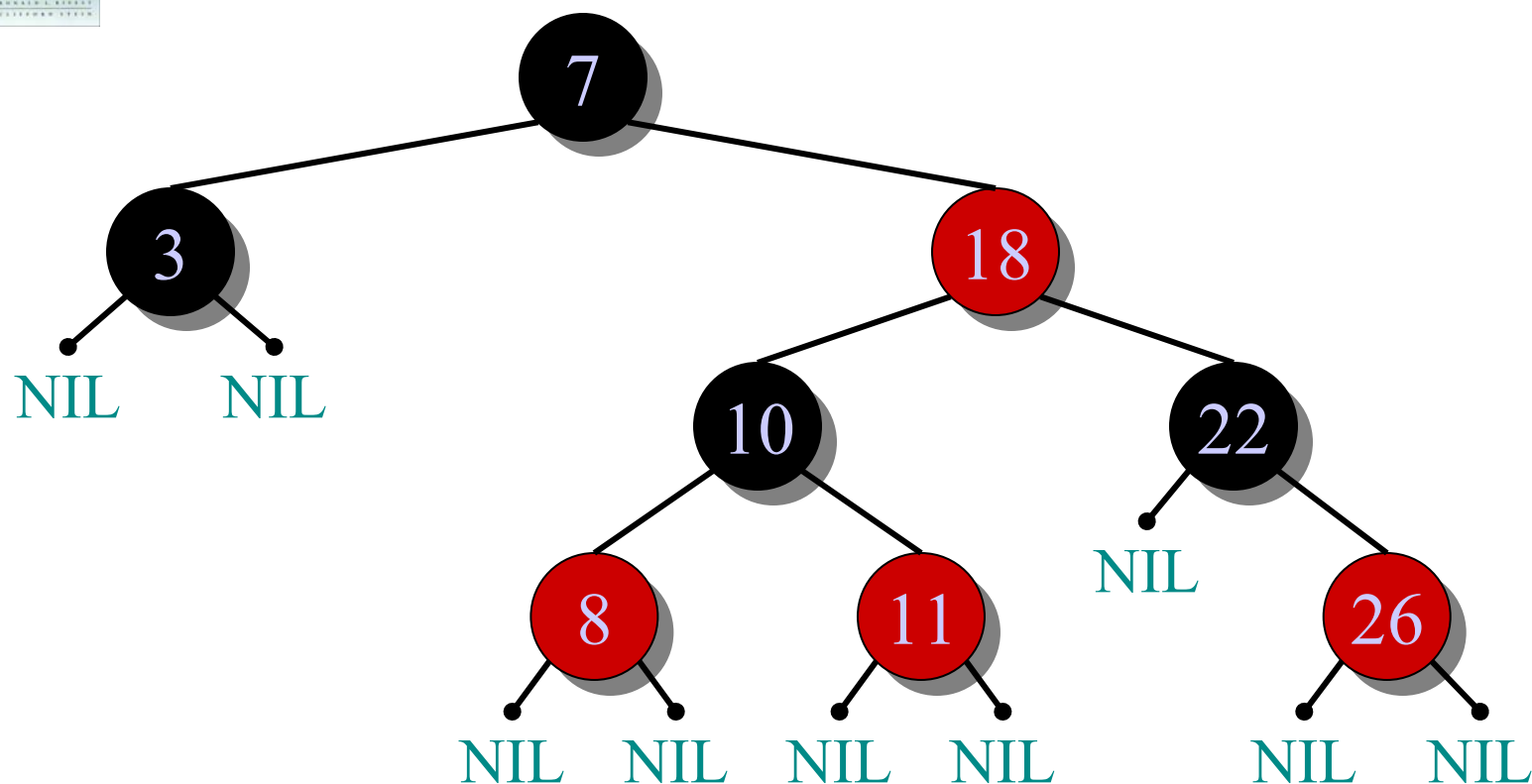
Example of a red-black tree



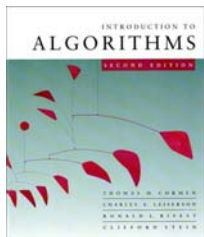
2. The root and leaves (**NIL**'s) are black.



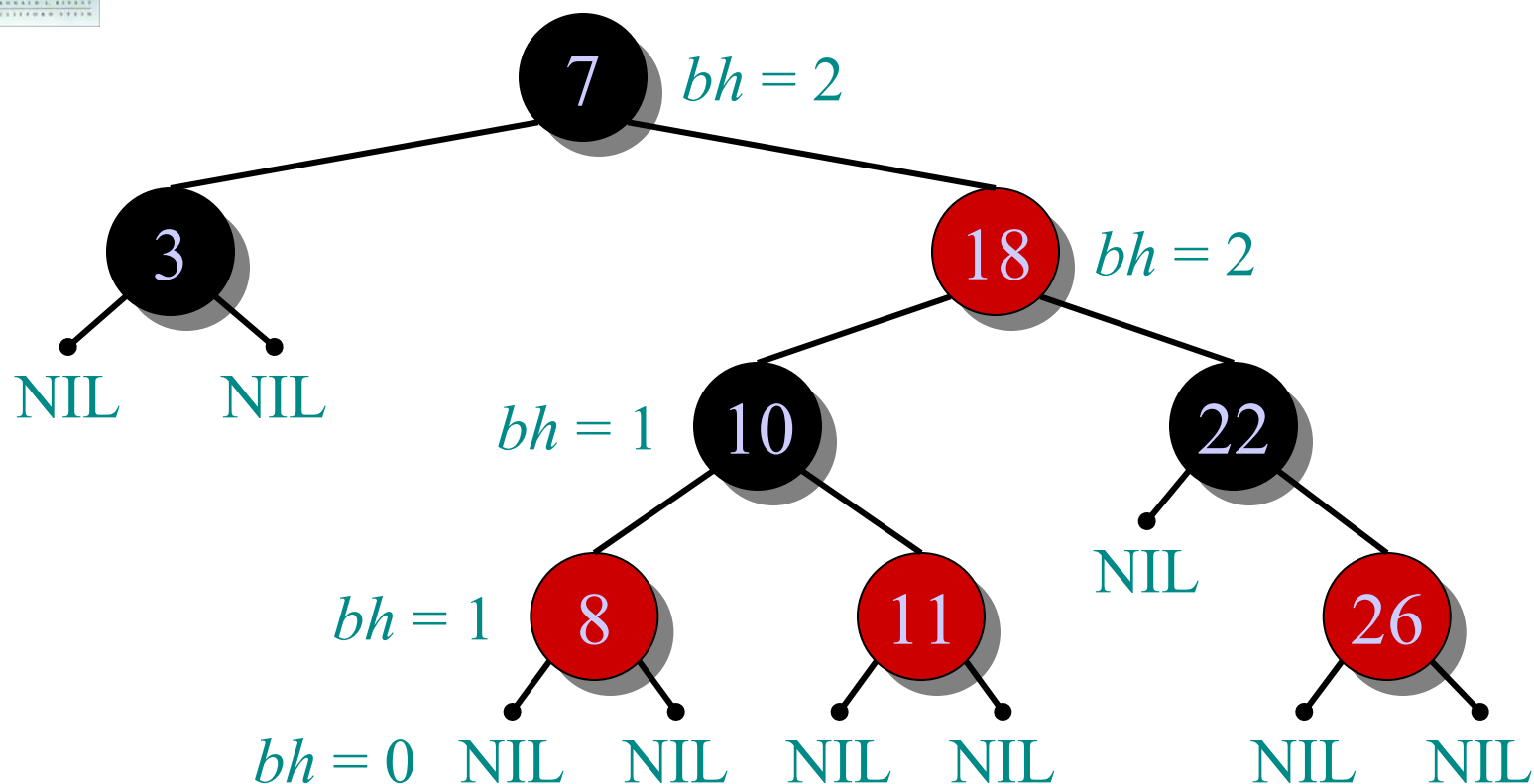
Example of a red-black tree



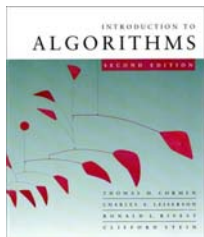
3. If a node is red, then its parent is black.



Example of a red-black tree



4. All simple paths from any node x to a descendant leaf have the same number of black nodes = *black-height*(x).



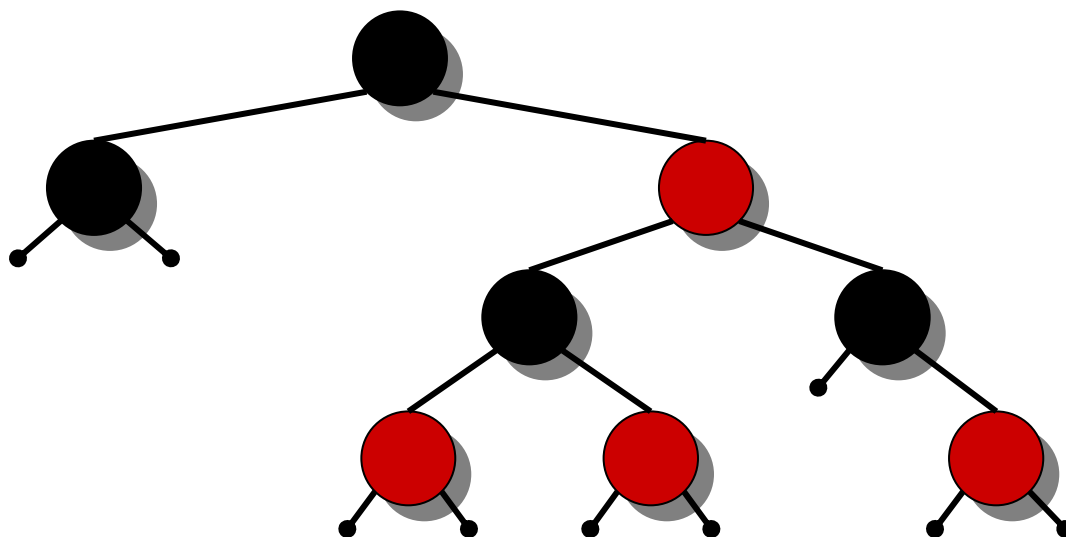
Height of a red-black tree

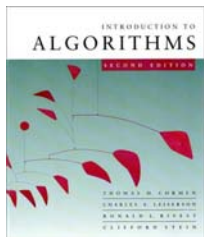
Theorem. A red-black tree with n keys has height
$$h \leq 2 \lg(n + 1).$$

Proof. (The book uses induction. Read carefully.)

INTUITION:

- Merge red nodes into their black parents.





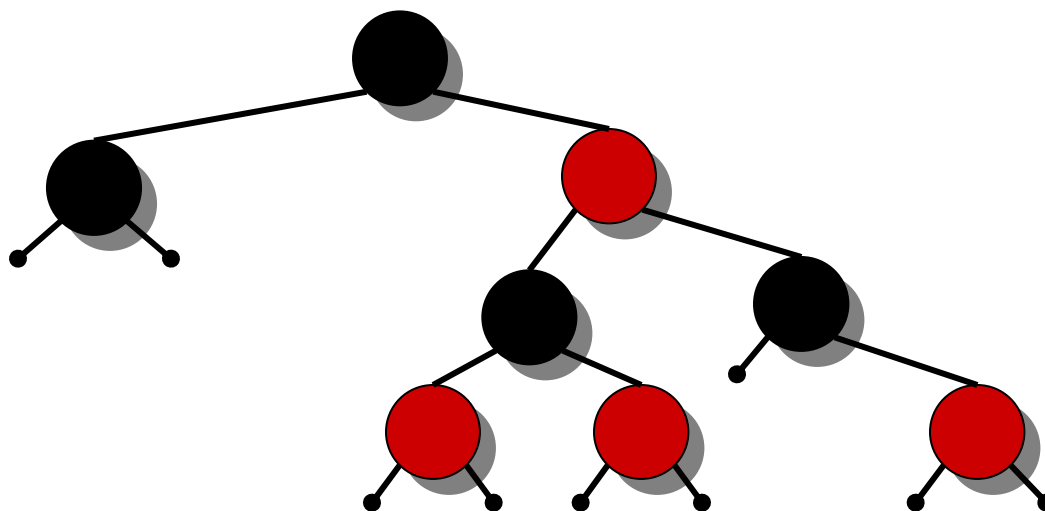
Height of a red-black tree

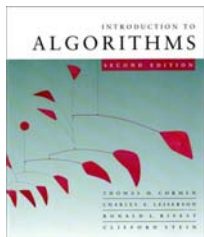
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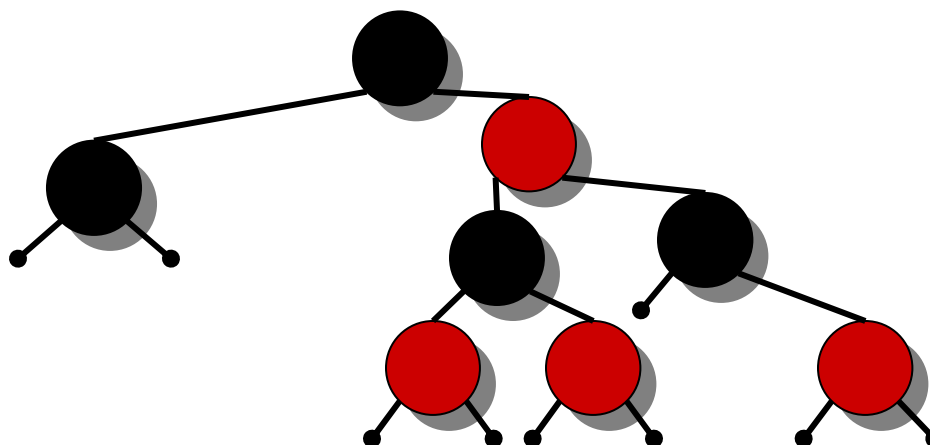
Height of a red-black tree

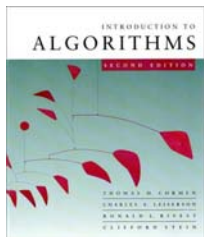
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Proof. (The book uses induction. Read carefully.)

INTUITION:

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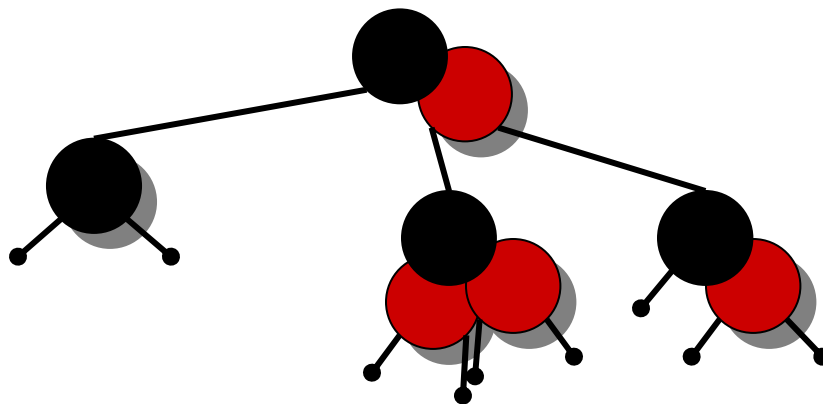
Height of a red-black tree

Theorem. A red-black tree with n keys has height
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Proof. (The book uses induction. Read carefully.)

INTUITION:

- Merge red nodes into their black parents.





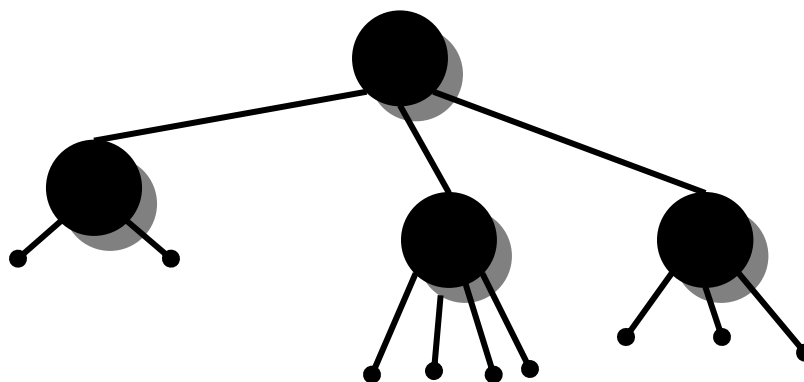
Height of a red-black tree

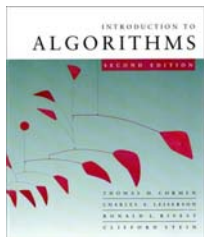
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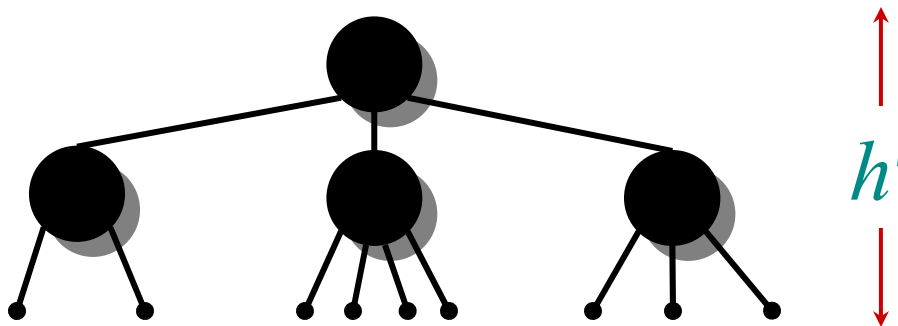
Height of a red-black tree

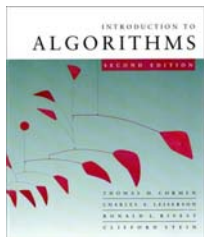
Theorem. A red-black tree with n keys has height
$$h \leq 2 \lg(n + 1).$$

Proof. (The book uses induction. Read carefully.)

INTUITION:

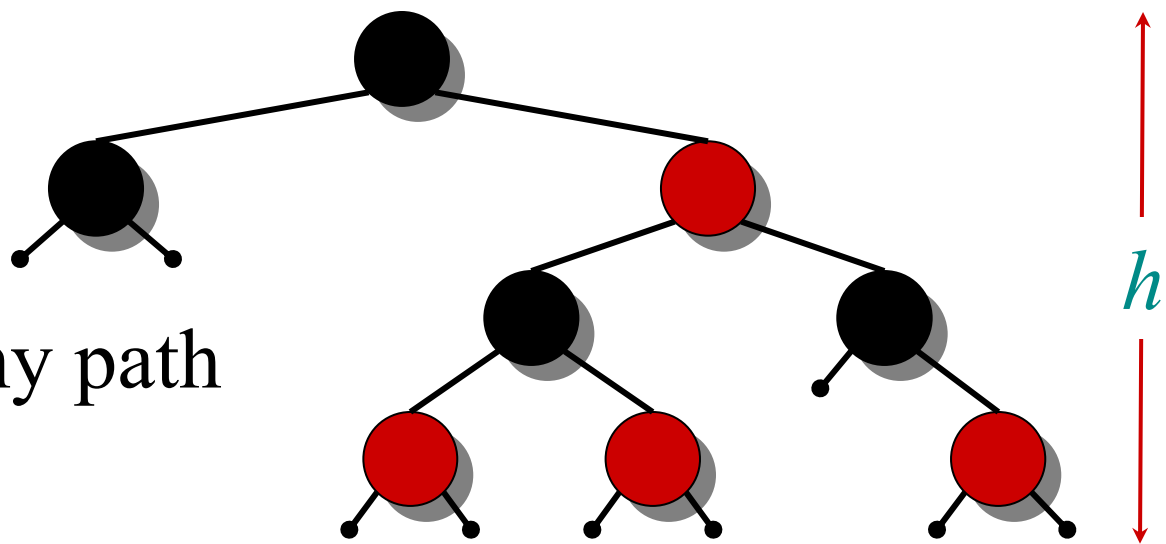
- Merge red nodes into their black parents.
- This process produces a tree in which each node has 2, 3, or 4 children.
- The 2-3-4 tree has uniform depth h' of leaves.



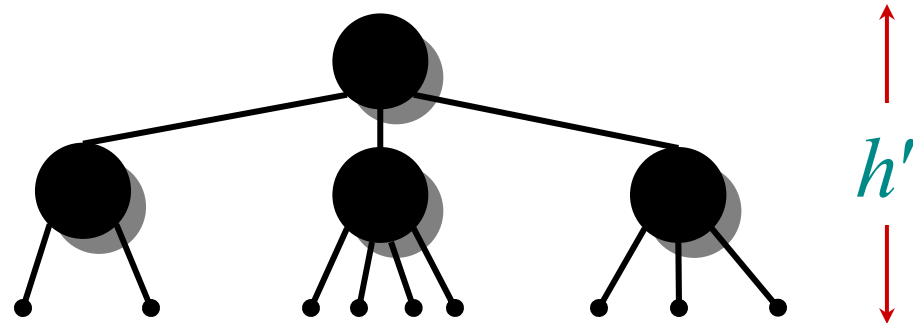


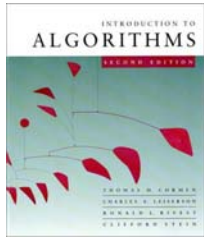
Proof (continued)

- We have $h' \geq h/2$, since at most half the leaves on any path are red.



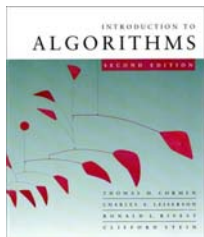
- The number of leaves in each tree is $n + 1$
 $\Rightarrow n + 1 \geq 2^{h'}$
 $\Rightarrow \lg(n + 1) \geq h' \geq h/2$
 $\Rightarrow h \leq 2 \lg(n + 1).$ □





Query operations

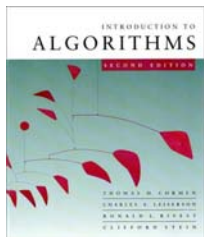
Corollary. The queries SEARCH, MIN, MAX, SUCCESSOR, and PREDECESSOR all run in $O(\lg n)$ time on a red-black tree with n nodes.



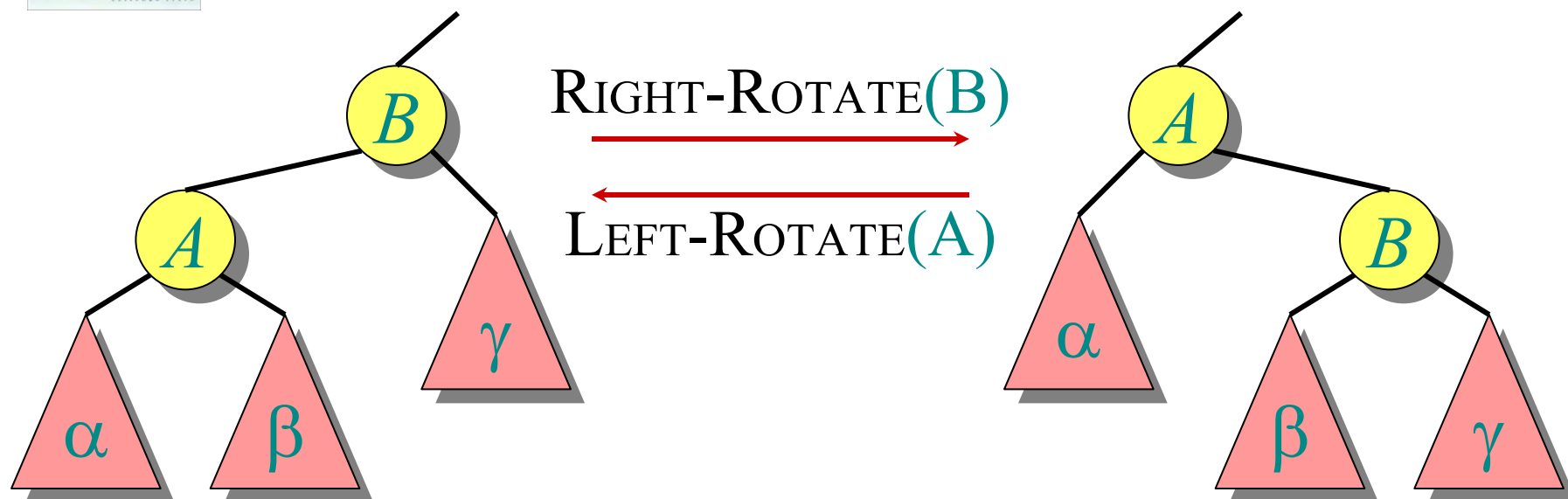
Modifying operations

The operations INSERT and DELETE cause modifications to the red-black tree:

- the operation itself,
- color changes,
- restructuring the links of the tree via *“rotations”*.



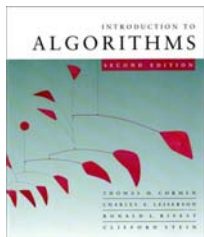
Rotations



Rotations maintain the inorder ordering of keys:

- $a \in \alpha, b \in \beta, c \in \gamma \Rightarrow a \leq A \leq b \leq B \leq c.$

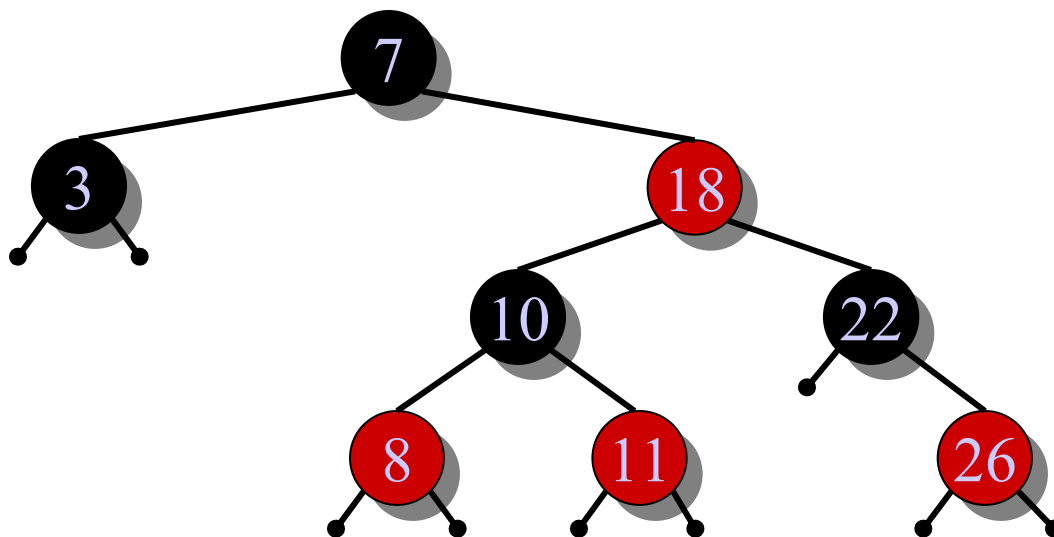
A rotation can be performed in $O(1)$ time.

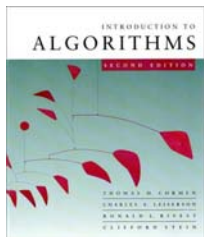


Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 3 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:



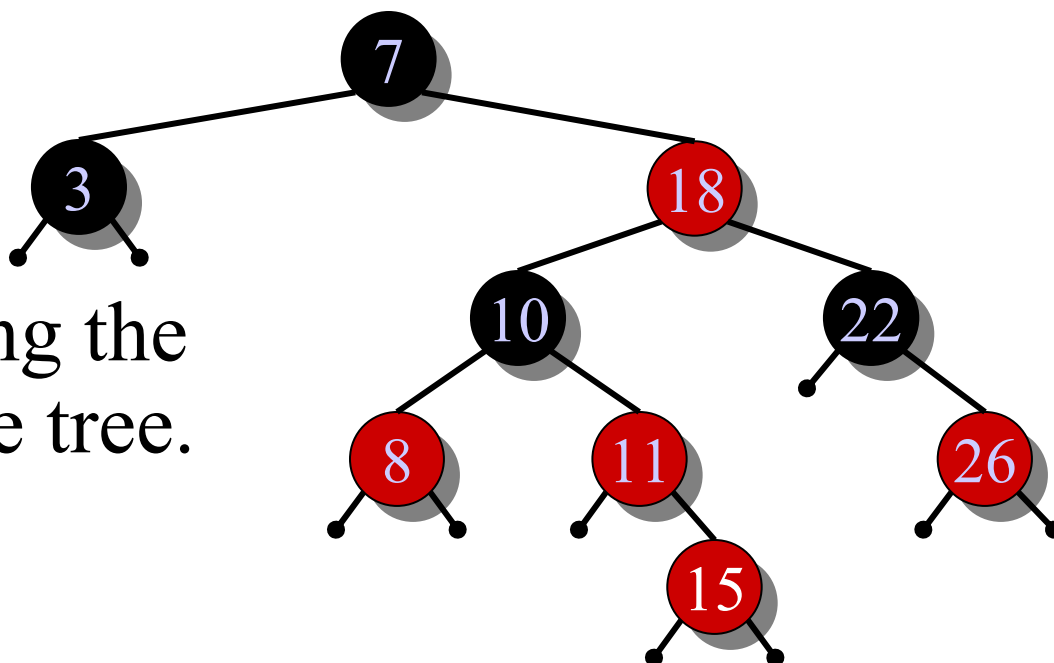


Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 3 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.



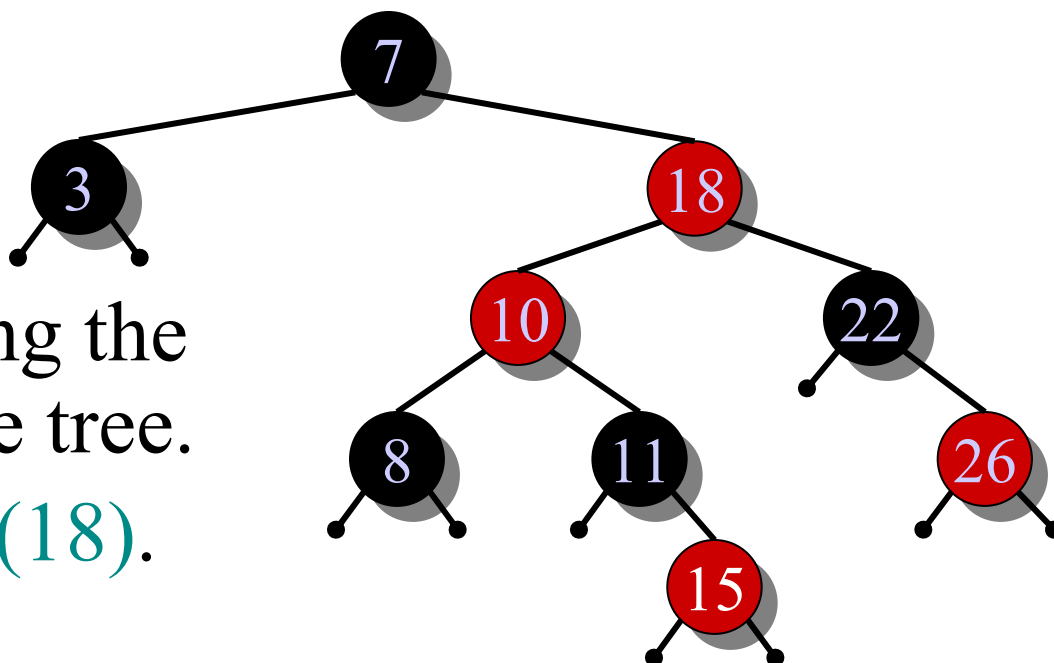


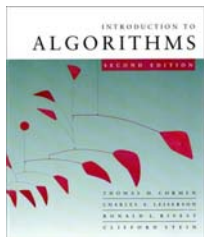
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IDEA: Insert x in tree. Color x red. Only red-black property 3 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).



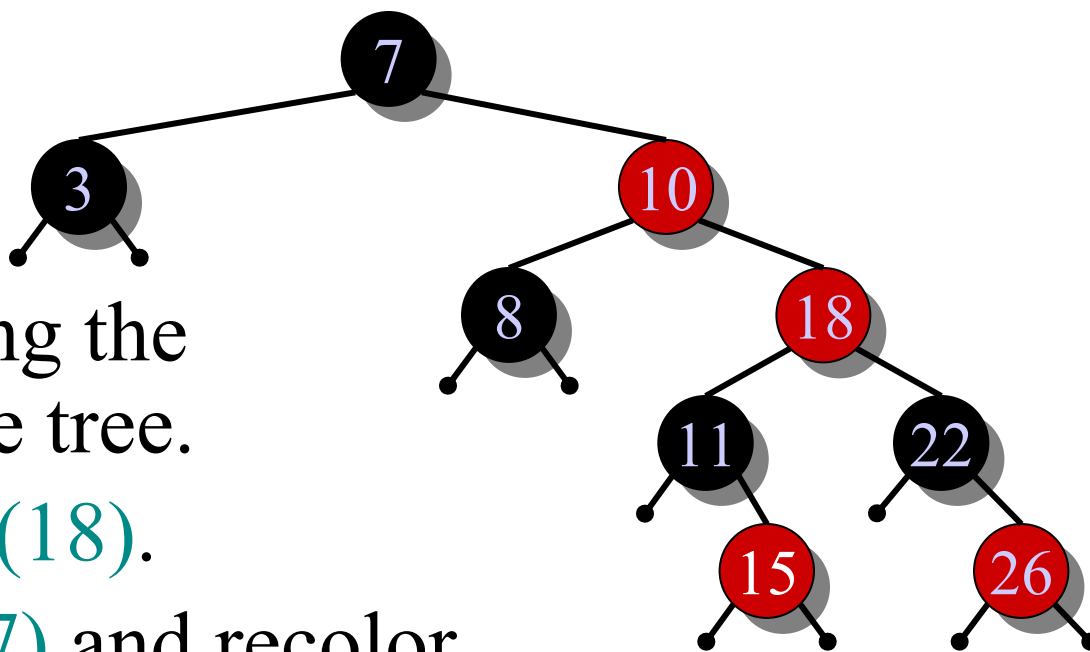


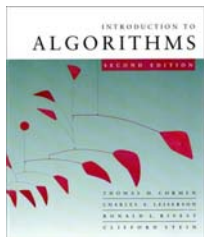
Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 3 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).
- LEFT-ROTATE(7) and recolor.



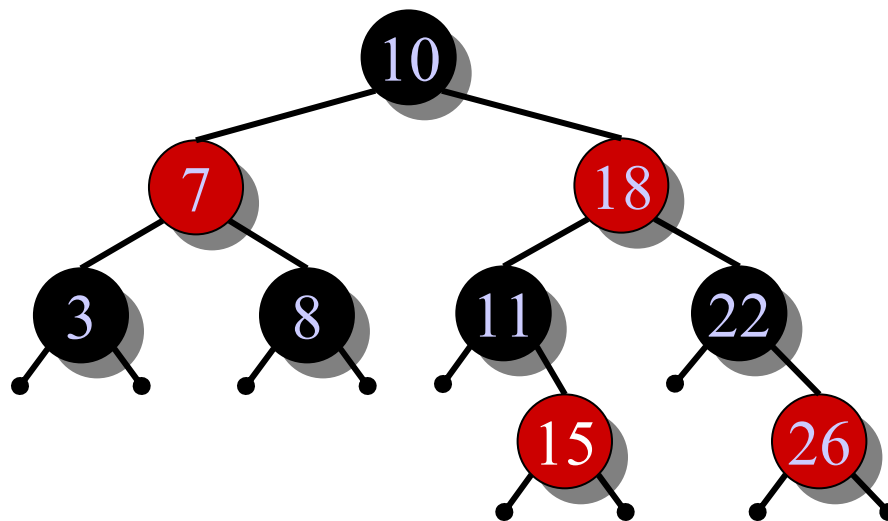


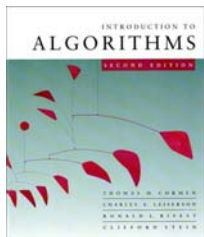
Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 3 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).
- LEFT-ROTATE(7) and recolor.





Pseudocode

RB-INSERT(T, x)

 TREE-INSERT(T, x)

$color[x] \leftarrow \text{RED}$ ▷ only RB property 3 can be violated

while $x \neq root[T]$ and $color[p[x]] = \text{RED}$

do if $p[x] = left[p[p[x]]]$

then $y \leftarrow right[p[p[x]]]$ ▷ y = aunt/uncle of x

if $color[y] = \text{RED}$

then **⟨Case 1⟩**

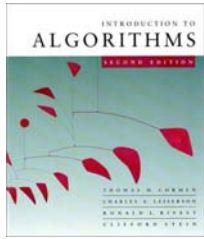
else if $x = right[p[x]]$

then **⟨Case 2⟩** ▷ Case 2 falls into Case 3

⟨Case 3⟩

else **⟨“then” clause with “left” and “right” swapped⟩**

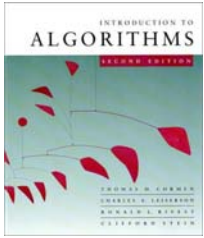
$color[root[T]] \leftarrow \text{BLACK}$



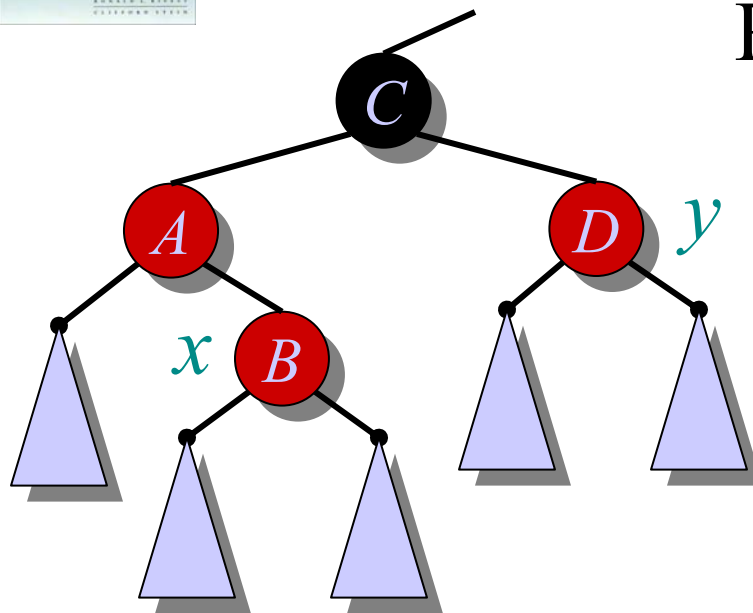
Graphical notation

Let  denote a subtree with a black root.

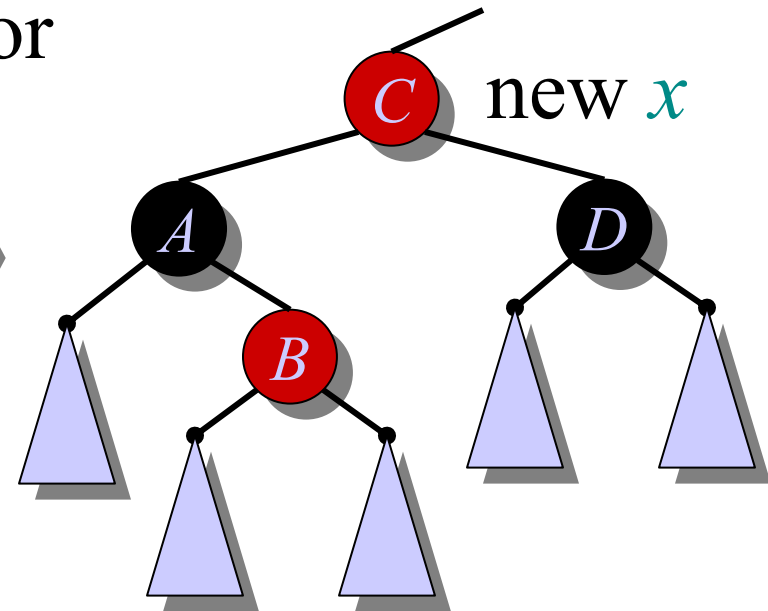
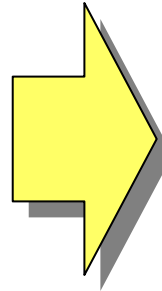
All 's have the same black-height.



Case 1

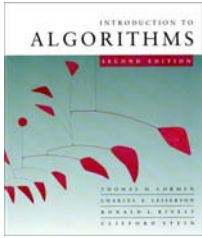


Recolor

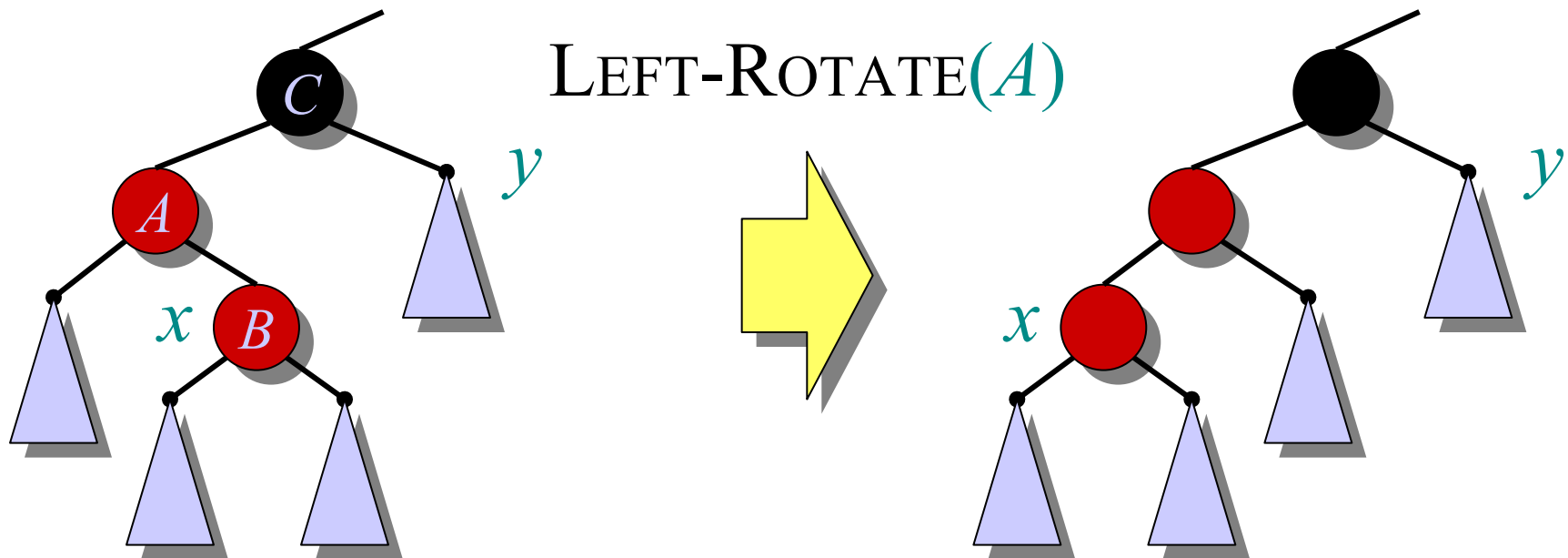


(Or, children of A are swapped.)

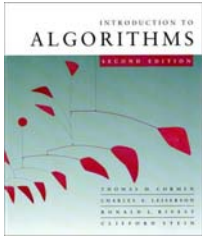
Push C 's black onto A and D , and recurse, since C 's parent may be red.



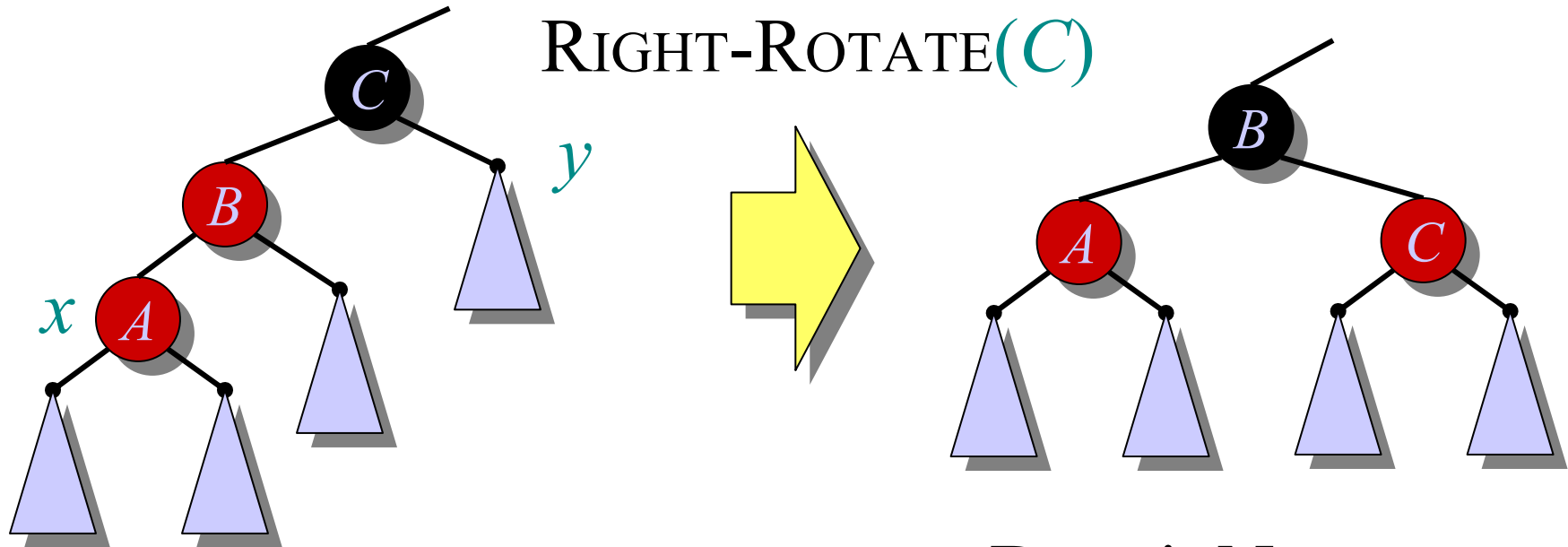
Case 2



Transform to Case 3.



Case 3



Done! No more violations of RB property 3 are possible.



Analysis

- Go up the tree performing Case 1, which only recolors nodes.
- If Case 2 or Case 3 occurs, perform 1 or 2 rotations, and terminate.

Running time: $O(\lg n)$ with $O(1)$ rotations.

RB-DELETE — same asymptotic running time and number of rotations as RB-INSERT (see textbook).