# Tutorial 07—BST

CS2040S Semester 1 2023/2024

By Wu Biao, adapted from previous slides

### Set real display name



https://pollev.com/rezwanarefin430

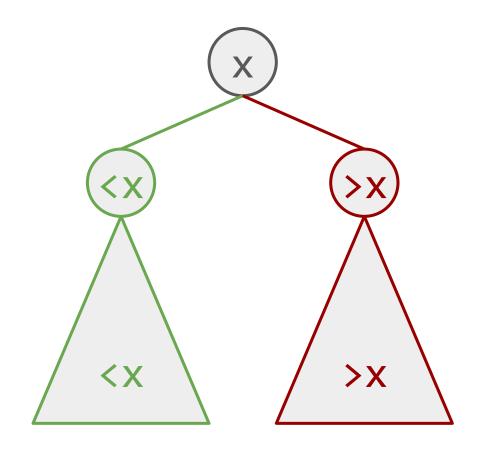
# General Properties of BST

Non-Balanced

### **Definition**

A Binary Search Tree (BST) is a *binary tree* where for every vertex **X**:

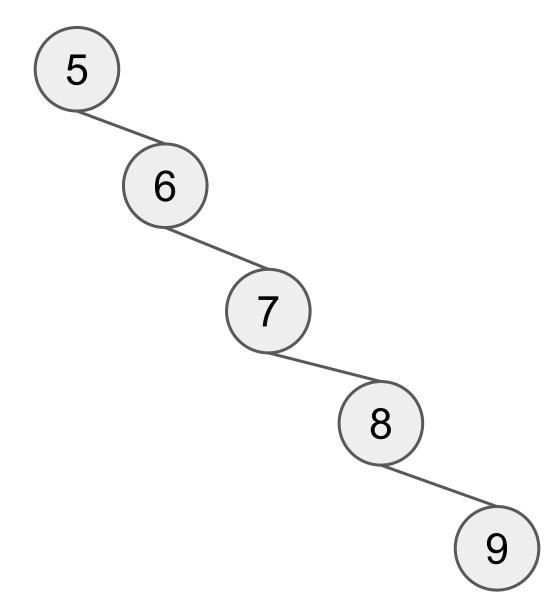
- It has at most 2 children
- Every vertex in left subtree is lesser than X
- Every vertex in right subtree is greater than X



Note: We assume no duplicates for now

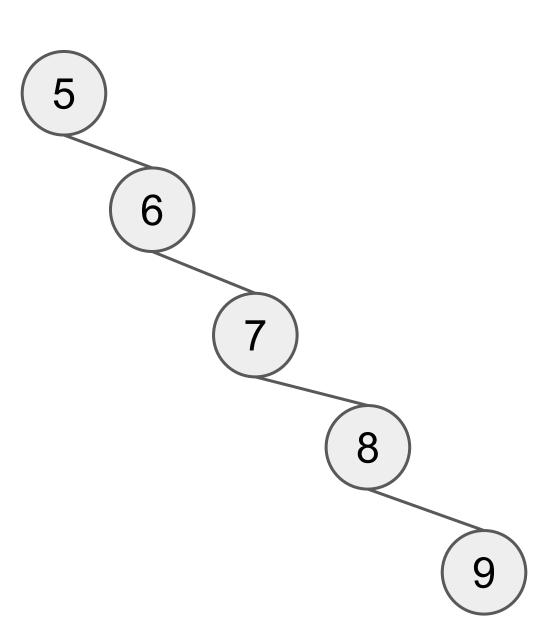
In the next few slides we quickly shall test your understanding of BSTs!

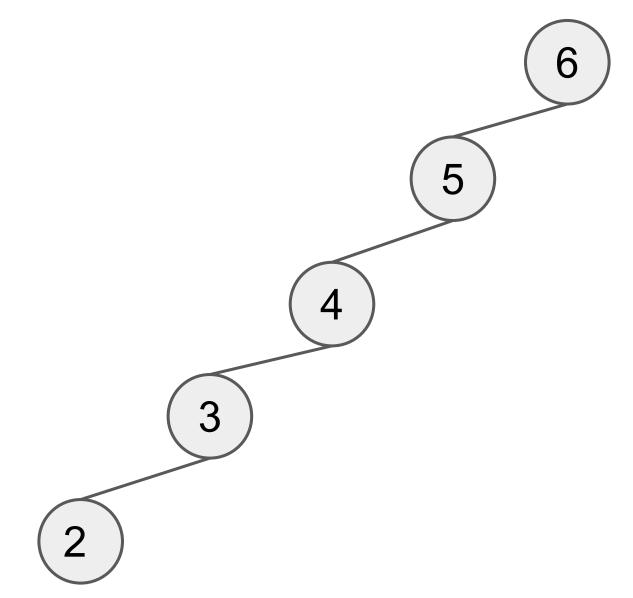
For the sake of brevity, we shall denote a Binary Search Tree rooted at vertex x to be  $BST_x$ 



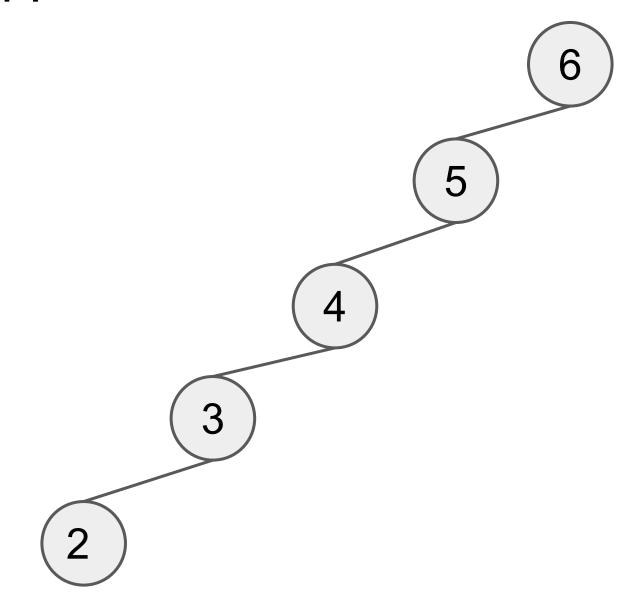
### YES!

Unlike in binary heap, a BST vertex can have right child without left child





YES!



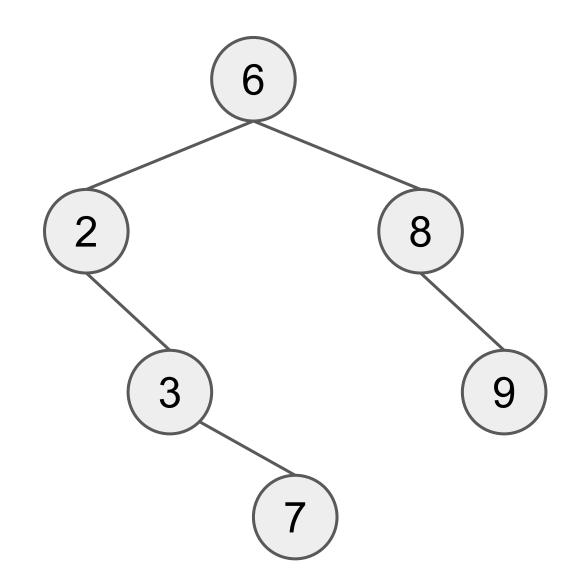


YES!

A BST vertex can have no children.

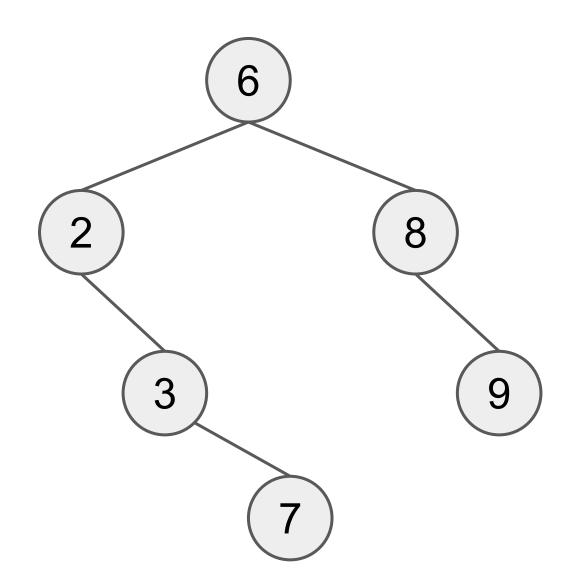
In fact we need this condition for binary trees to allow for leaves!

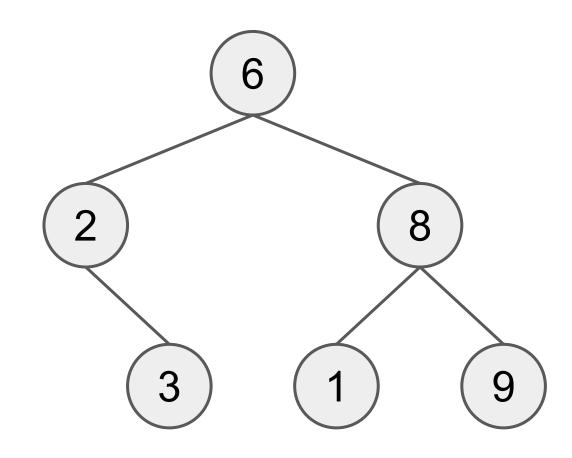




NO!

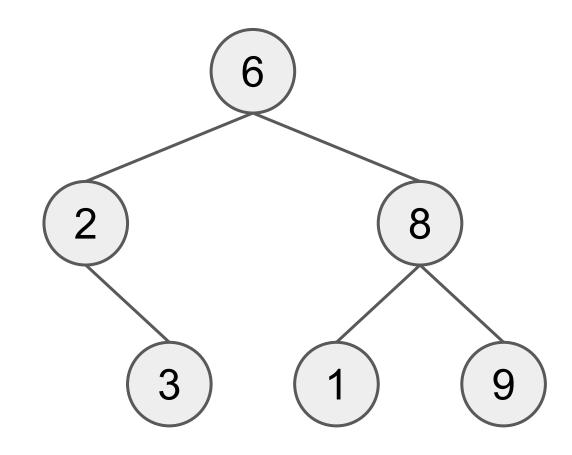
BST<sub>7</sub> violates BST<sub>6</sub>

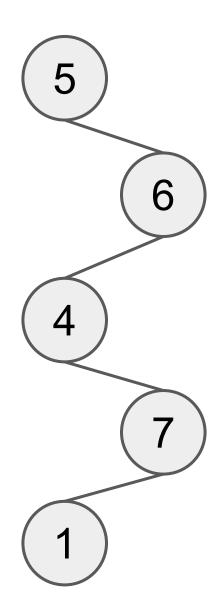




NO!

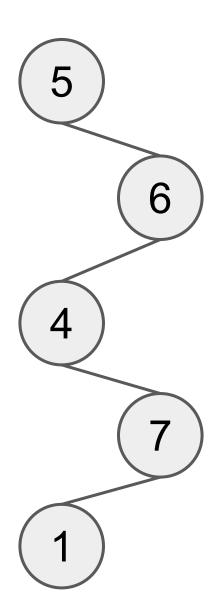
BST<sub>1</sub> violates BST<sub>6</sub>

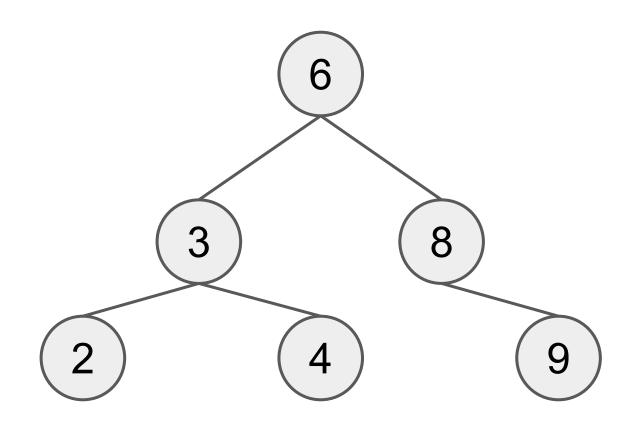




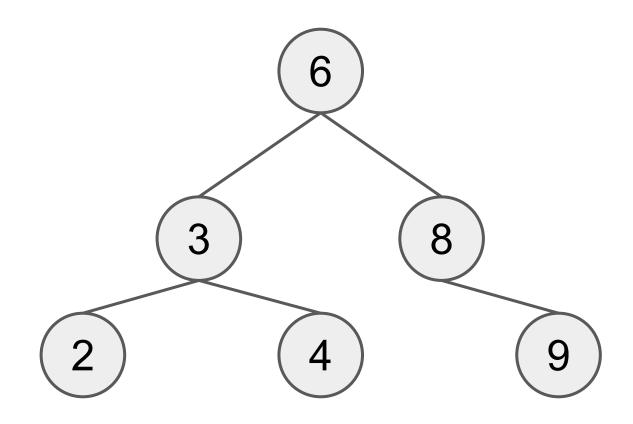
### NO!

BST<sub>4</sub> violates BST<sub>5</sub> BST<sub>1</sub> violates BST<sub>5</sub> BST<sub>7</sub> violates BST<sub>6</sub> BST<sub>1</sub> violates BST<sub>4</sub>





YES!



Is a BST is <u>always</u> a complete binary tree?

What about a **balanced** BST?

Hint: see previous slide



- What is the min/max height of a BST with 31 vertices?
- Height = number of edges from root to deepest leaf.
- How did you get those values?



- What is the min/max height of a BST with 31 vertices?
- Height = number of edges from root to deepest leaf.
- How did you get those values?

### **Answer:**

- Minimum:  $31 \le 2^h-1 \Rightarrow h \ge \lfloor \log_2(31+1) \rfloor = 4$ . Maximum:  $h \le 30$  (just a chain is also BST).
- Also see VisuAlgo BST slides <u>13-5</u> and <u>13-7</u>

### **In-order Traversal**

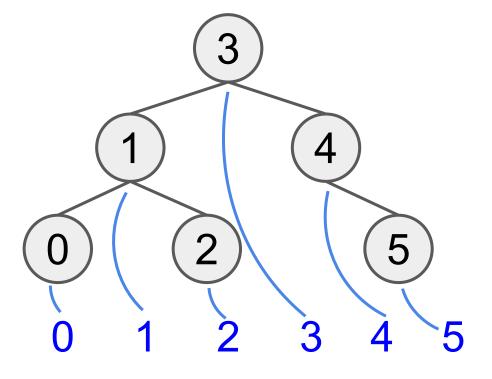
#### Recall from Tutorial 5 self-read slides:

- In-order traversal performs operations on the vertex after completing the left subtree, but before commencing the right subtree
- When performed on a BST, In-order traversal will operate on each vertex "in order" (i.e. in sorted order)

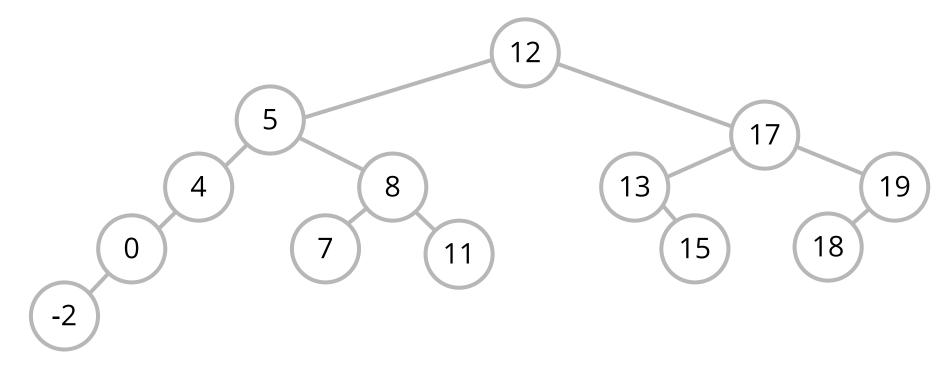
### In-order Traversal

- 1. Recurse left
- 2. Current operation
- 3. Recruse right

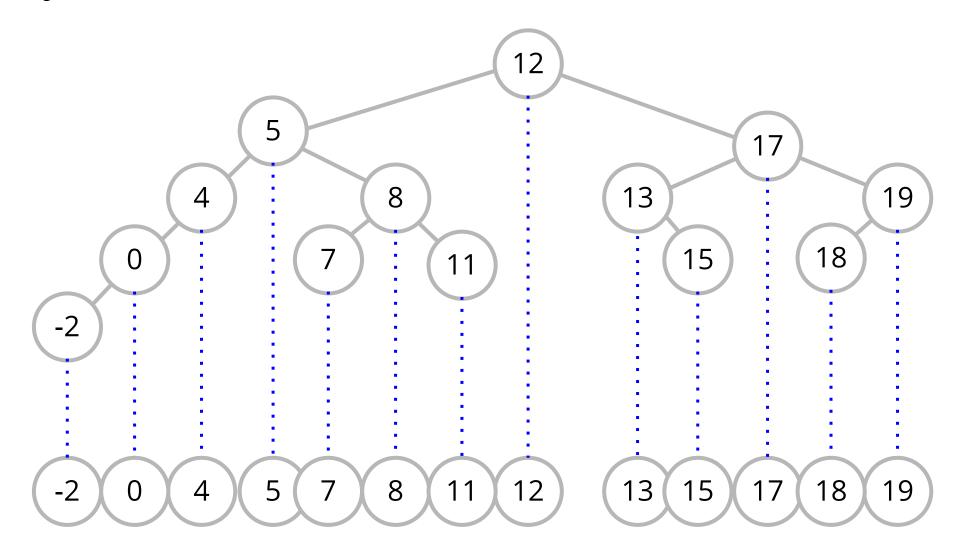
```
void in_order(vertex v) {
    if (v) {
        in_order(v.left);
        cout << v.value << " ";
        in_order(v.right);
    }
}</pre>
```



Print order in blue
Resembles "downward projection" or
"flattening" of the tree!



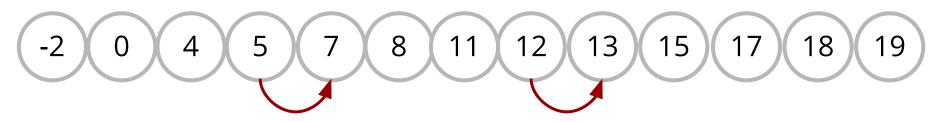
What's the sequence of operations by in-order traversal on this BST?



# Finding successor

To find successor of a key **k**, it's equivalent to finding:

- The next highest key
- The next vertex after k in in-order traversal sequence

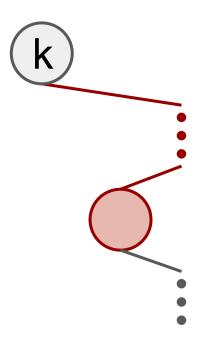


Finding the successor of keys 5 and 12 respectively

# Finding successor

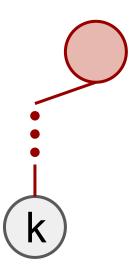
### Case 1: Has right child:

 Leftmost vertex in right subtree

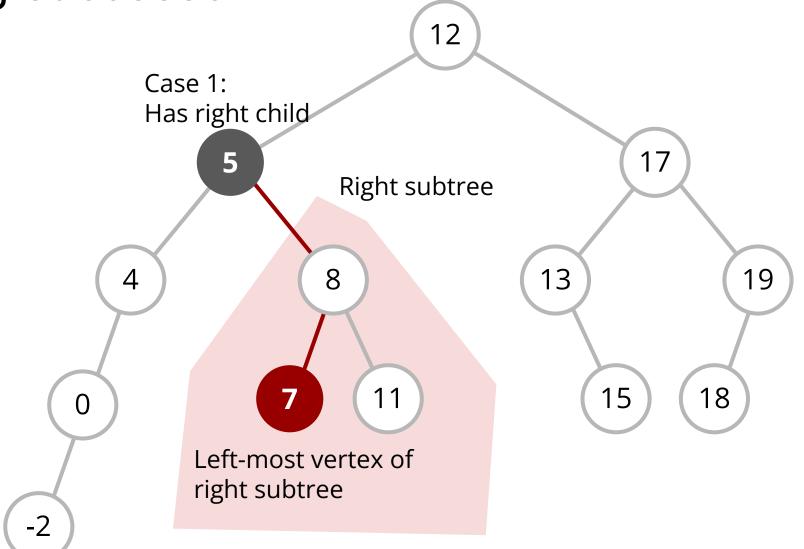


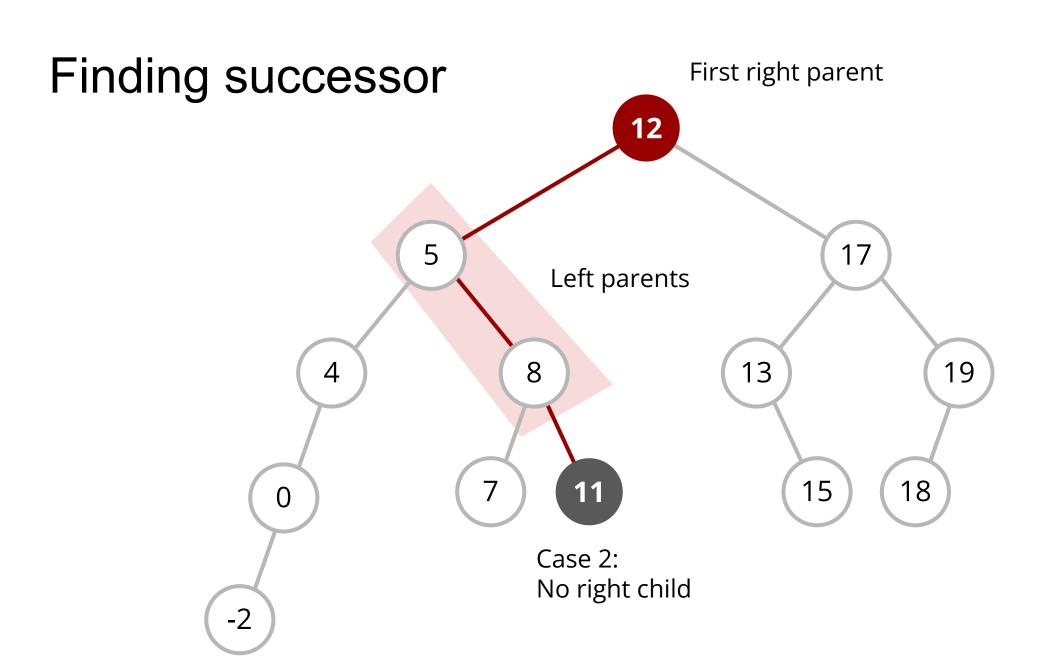
### Case 2: No right child

- First right parent
- What if there isn't a right parent?



Finding successor

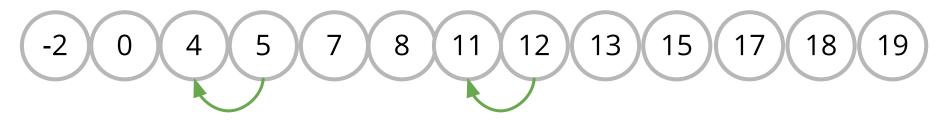




# Finding predecessor

To find predecessor of a key **k**, it's equivalent to finding:

- The previous largest key
- The previous vertex of k in in-order traversal sequence

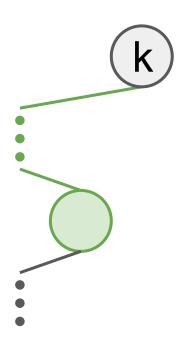


Finding the predecessor of keys 5 and 12 respectively

# Finding predecessor

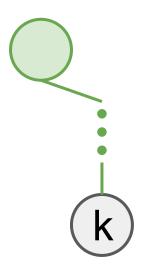
#### Case 1: Has left child:

 Rightmost vertex in left subtree

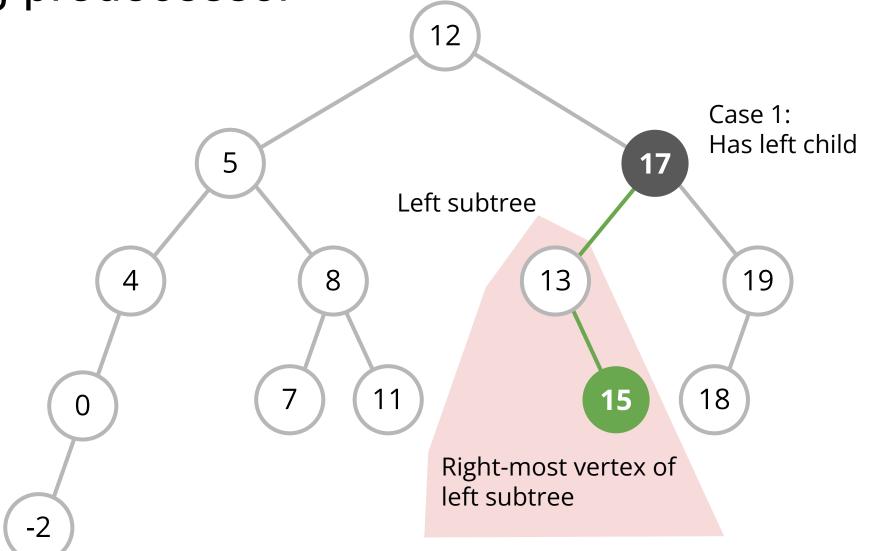


#### Case 2: No left child

- First left parent
- What if there isn't a left parent?



Finding predecessor



**BST**: Find predecessor First left parent Right parent Case 2: No left child -2



### In-order traversal??

Assume TreeSet<Integer> set contains N elements.

What is the code below doing besides printing all the numbers? What's the time complexity? O(N) or O(N log N)?

```
for (Integer x : set)
   System.out.println(x);
```



### In-order traversal??

Assume TreeSet<Integer> set contains N elements.

What is the code below doing besides printing all the numbers? What's the time complexity? O(N) or O(N log N)?

```
for (Integer x : set)
   System.out.println(x);
```

Each iteration is bounded by O(log N) – finding next element. Total complexity is O(N) – the tree is iterated on once in total.

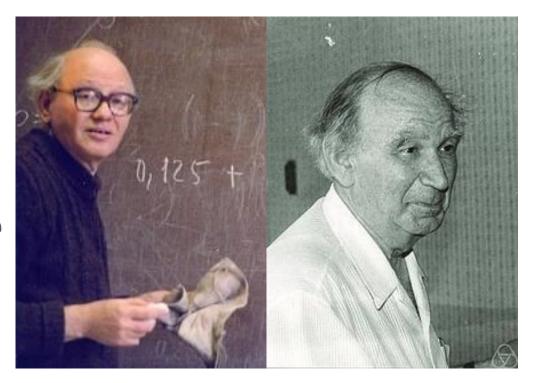
# **Balanced BST**

**AVL Tree** 

## Did you know?

The AVL tree is named after its two Soviet inventors, Georgy Adelson-Velsky and Evgenii Landis, who published it in their 1962 paper "An algorithm for the organization of information"

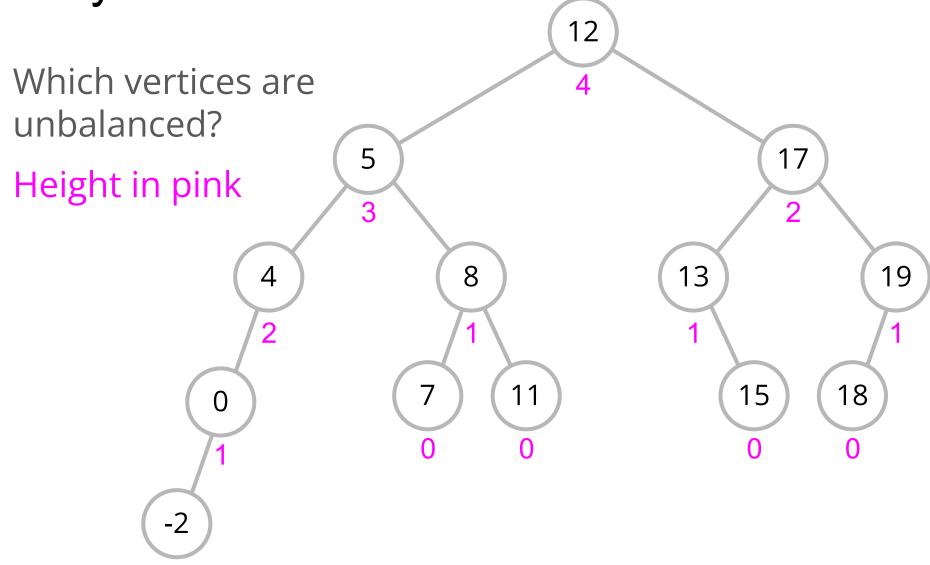
Source: Wikipedia



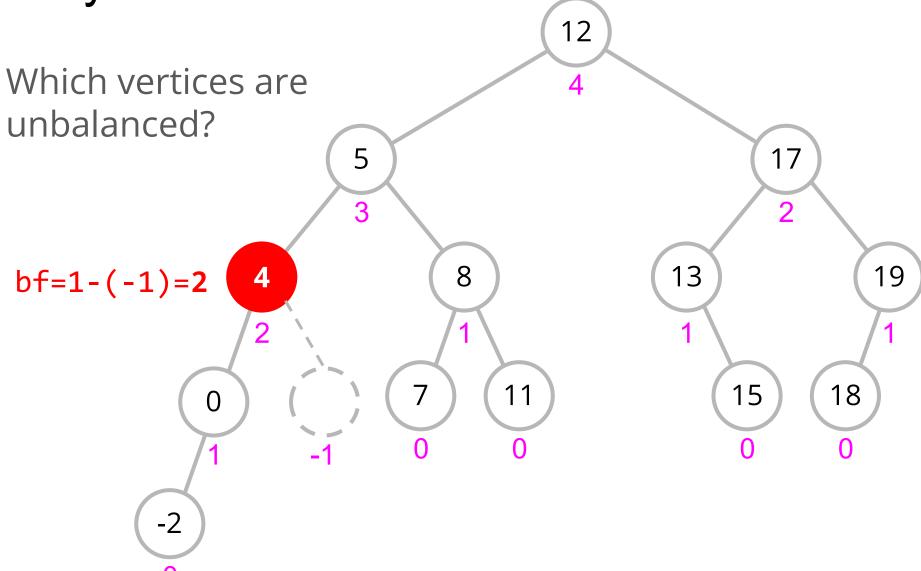
#### **AVL Tree**

- An AVL tree is a self-balancing BST where every vertex is height-balanced
- A vertex is *height-balanced* if difference in height between left and right subtree is at most 1.

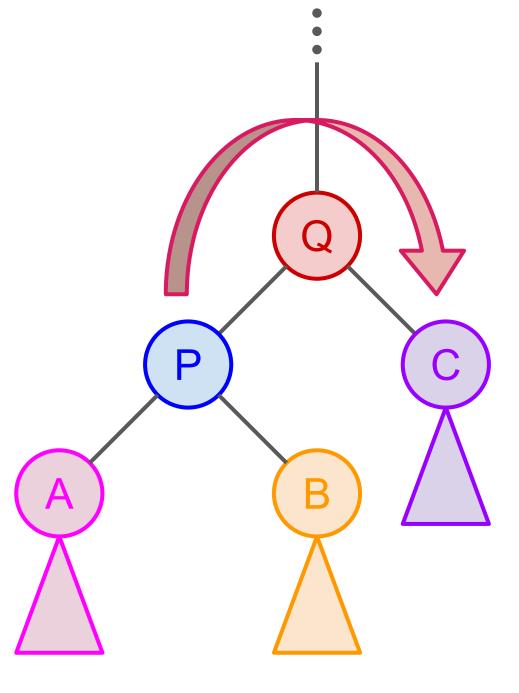
# Test yourself!



# Test yourself!

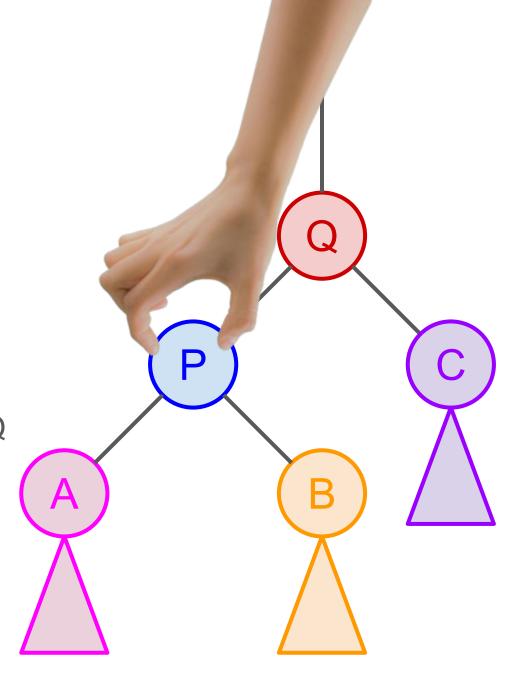


Right rotation on Q



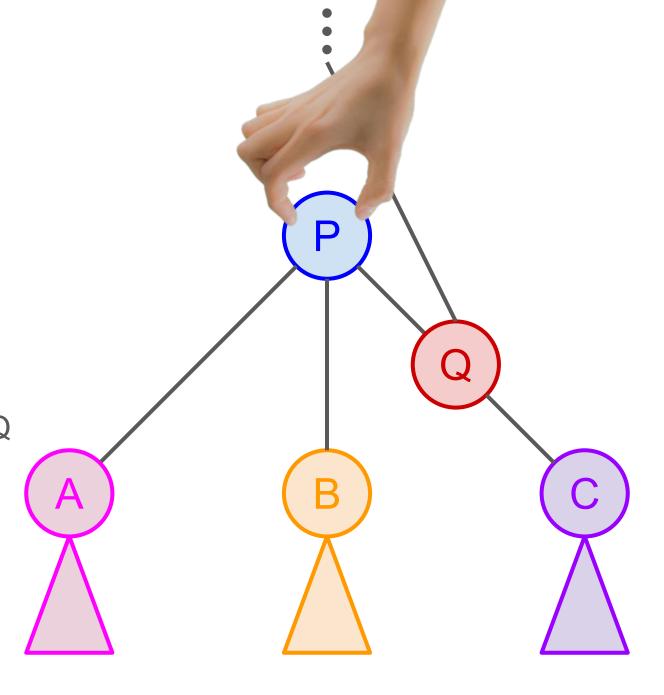
Right rotation on Q

Imagine we pinch
P and bring it
above and over Q



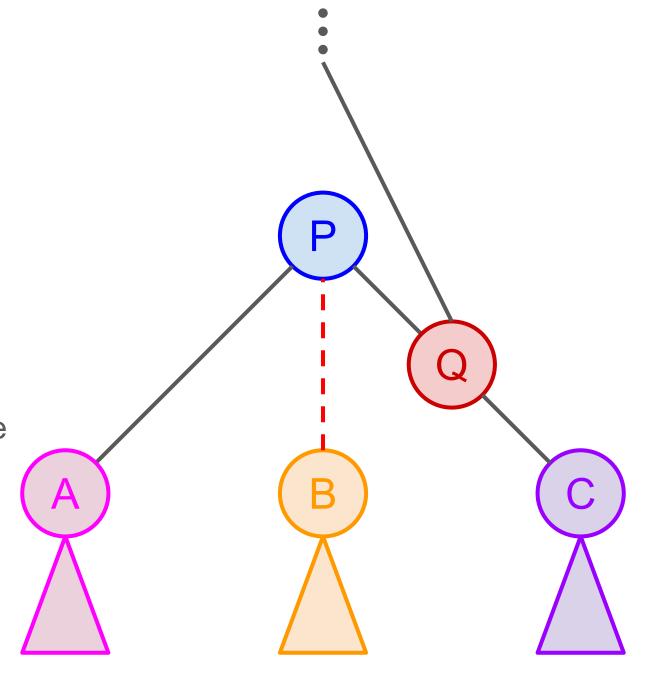
Right rotation on Q

Imagine we pinch
P and bring it
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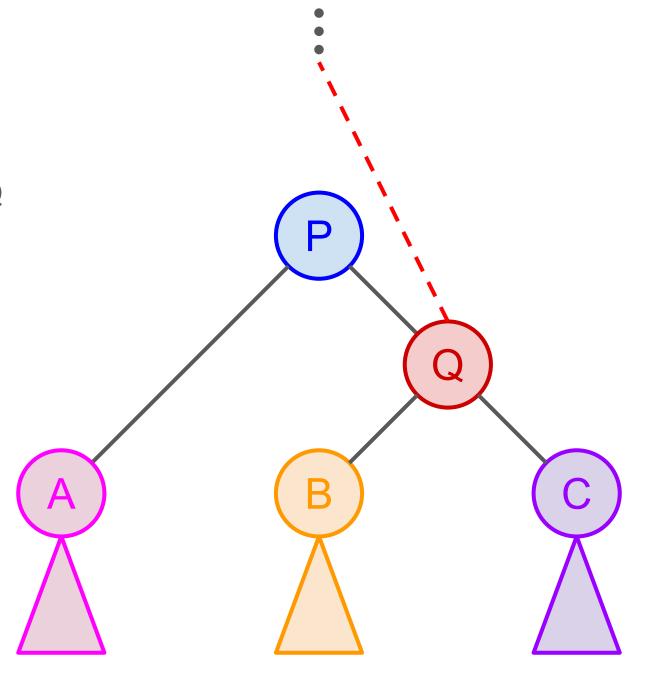
Right rotation on Q

P cannot have 3 children! So we shall make subtree B the left subtree of Q.



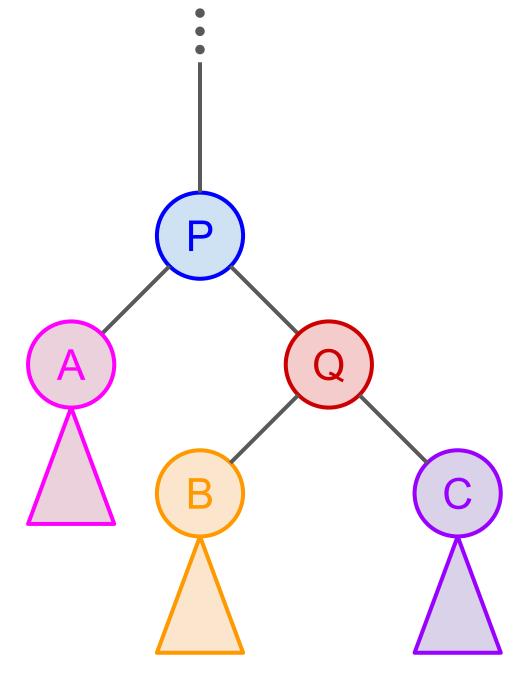
Right rotation on Q

Q cannot have 2 parents and P cannot be without a parent! So we shall make the previous parent of Q the new parent of P instead.

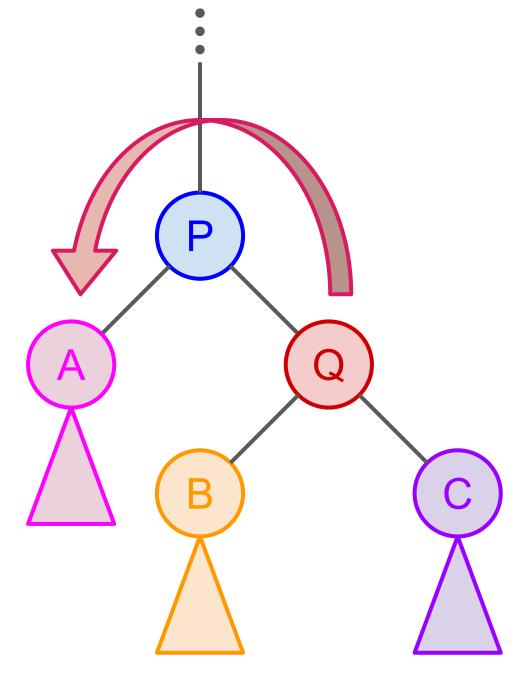


Right rotation on Q complete!

Notice A went up 1 level, C went down 1 level

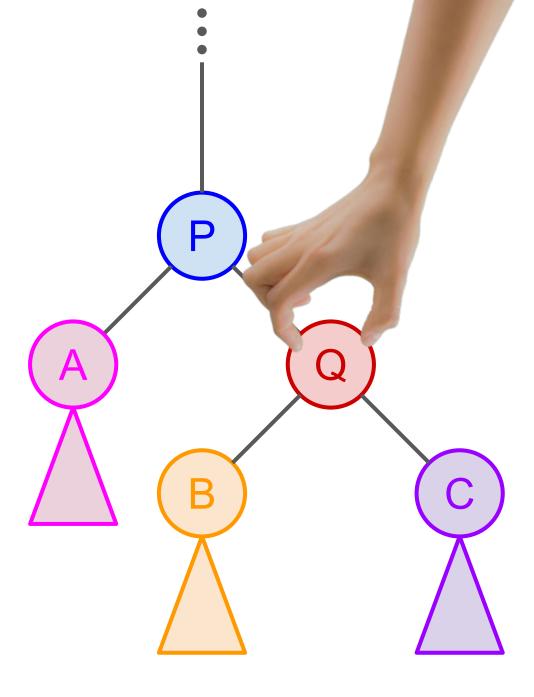


Left rotation on P



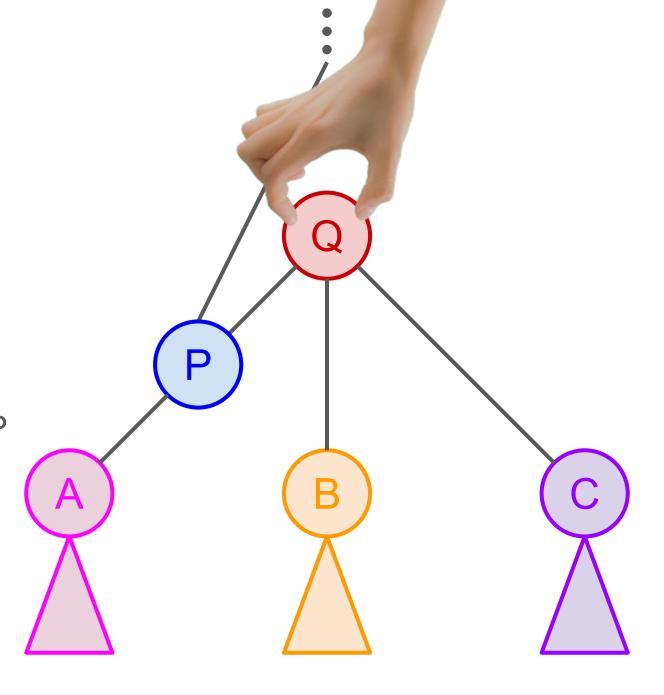
Left rotation on P

Imagine we pinch
Q and bring it
above and over P



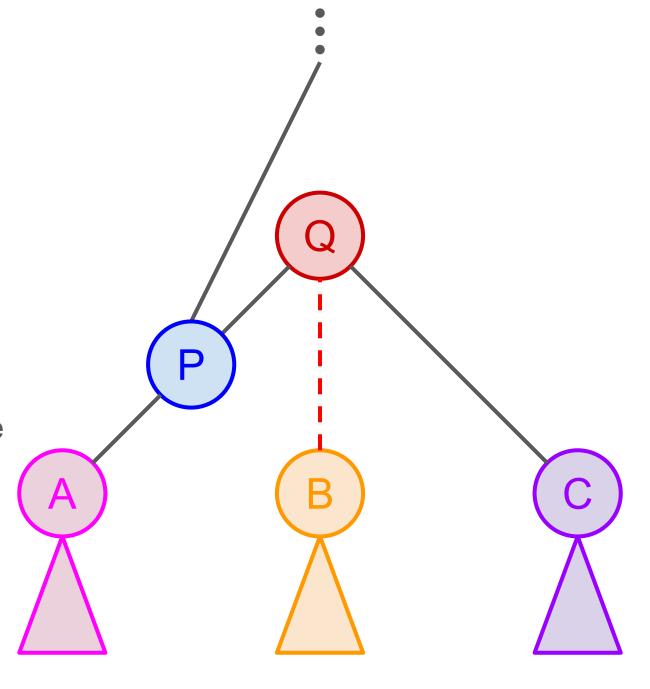
Left rotation on P

Imagine we pinch
Q and bring it
above and over P



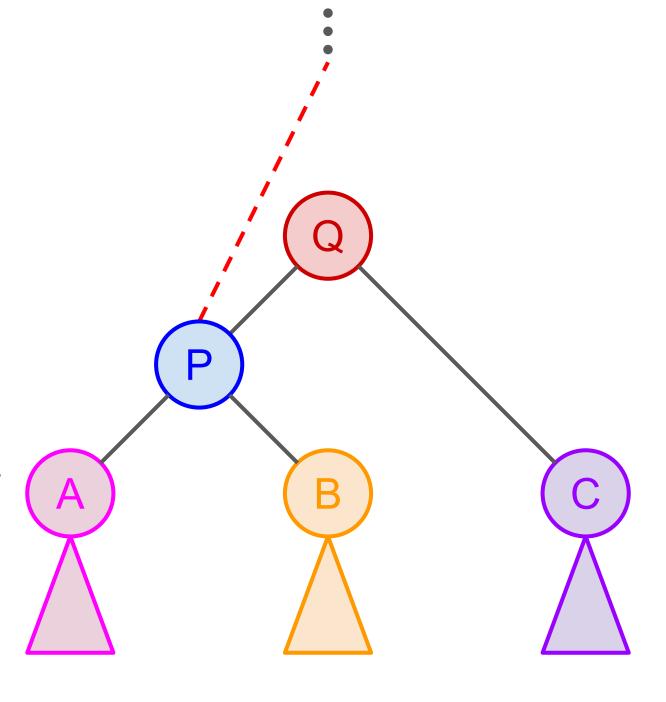
Left rotation on P

Q cannot have 3 children! So we shall make subtree B the right subtree of P.



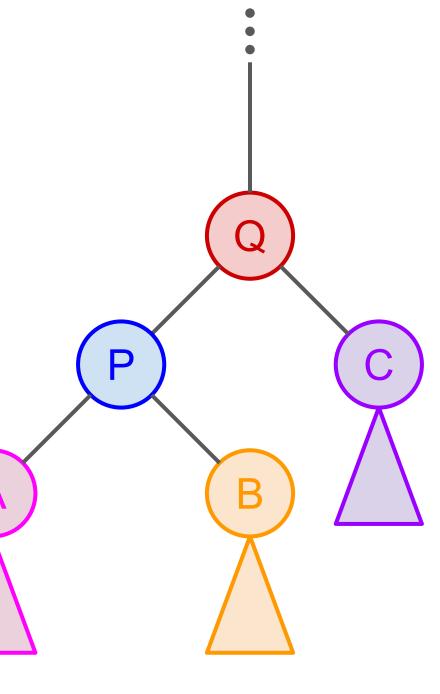
Left rotation on P

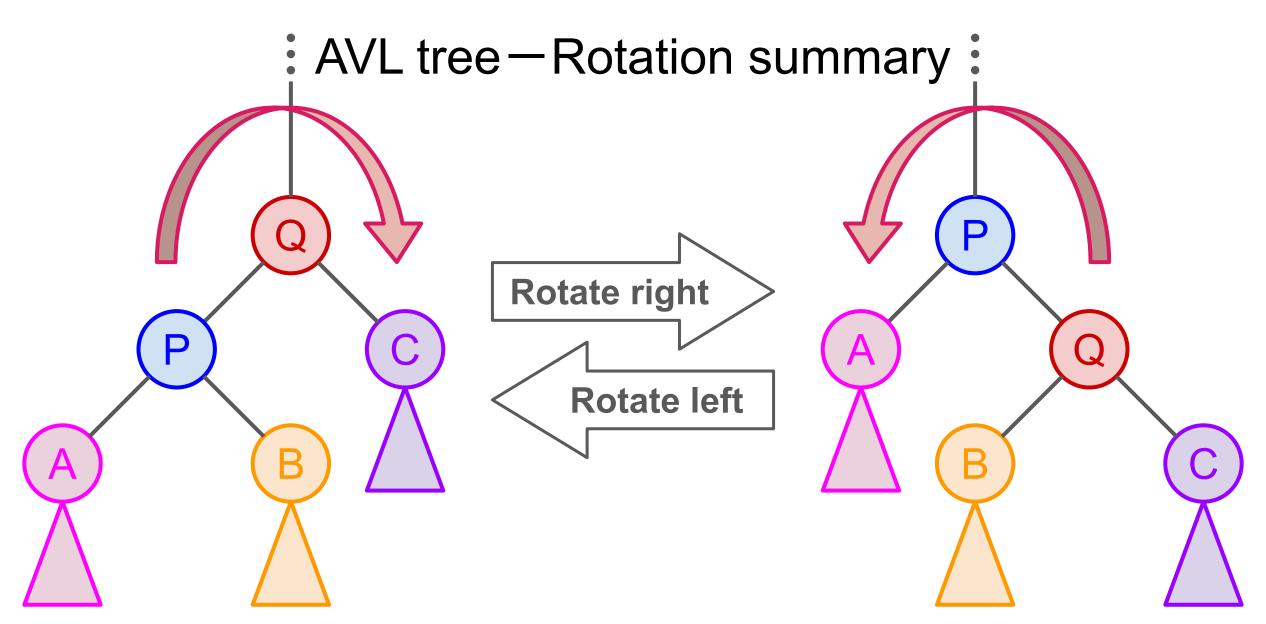
P cannot have 2 parents and Q cannot be without a parent! So we shall make the previous parent of P the new parent of Q instead.



Left rotation on P complete!

Notice C went up 1 level, A went down 1 level





We define *balance factor* for a vertex v to be:

$$bf(v) = h(v.left) - h(v.right)$$

bf(v)	Balance type		
[-1,1]	Balanced		
>1	left subtree taller than right subtree		
< 1	<1 left subtree shorter than right subtree		

#### **AVL Tree Main Idea**

 $\circ$ 

- Keep all the nodes balanced after all operation.
- Before an operation: all nodes are balanced.
- After doing an operation, backtrack up the tree, and whenever you see a node with balance = 2 or -2, fix that node.
  - Is it possible to see a node with balance > 2 or < -2?</li>

After an operation: all nodes are balanced.

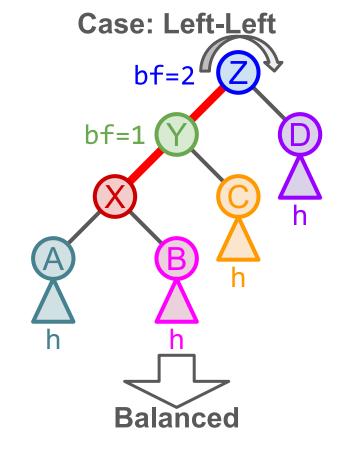
#### **AVL Tree Main Idea**

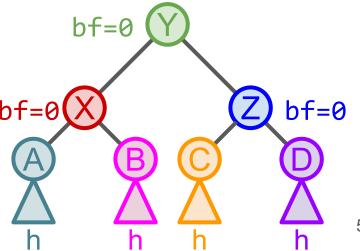
- Keep all the nodes balanced after all operation.
- Before an operation: all nodes are balanced.
- After doing an operation, backtrack up the tree, and whenever you see a node with balance = 2 or -2, fix that node.
  - Is it possible to see a node with balance > 2 or < -2?</li>
  - No! Because one operation only adds/removes one node.
     So the first unbalanced node visited will have balance = 2 or -2.
- After an operation: all nodes are balanced.

#### **Observation**

A right rotate will balance a subtree if:

- The left child has a taller left subtree
- We call it *left-left* case because that's the 2 turns we take to traverse down to the taller subtree
- bf(v.left) ≥ 0

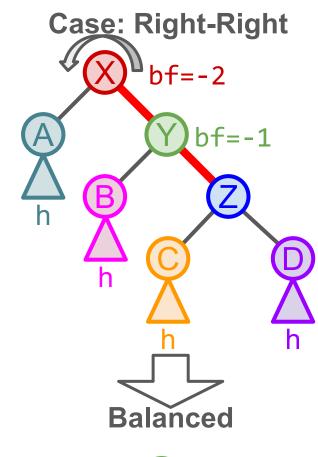


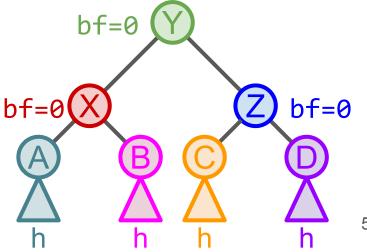


#### **Observation**

A left rotate will balance a subtree if:

- The right child has a taller right subtree
- We call it right-right case because that's the 2 turns we take to traverse down to the taller subtree
- $bf(v.right) \leq 0$





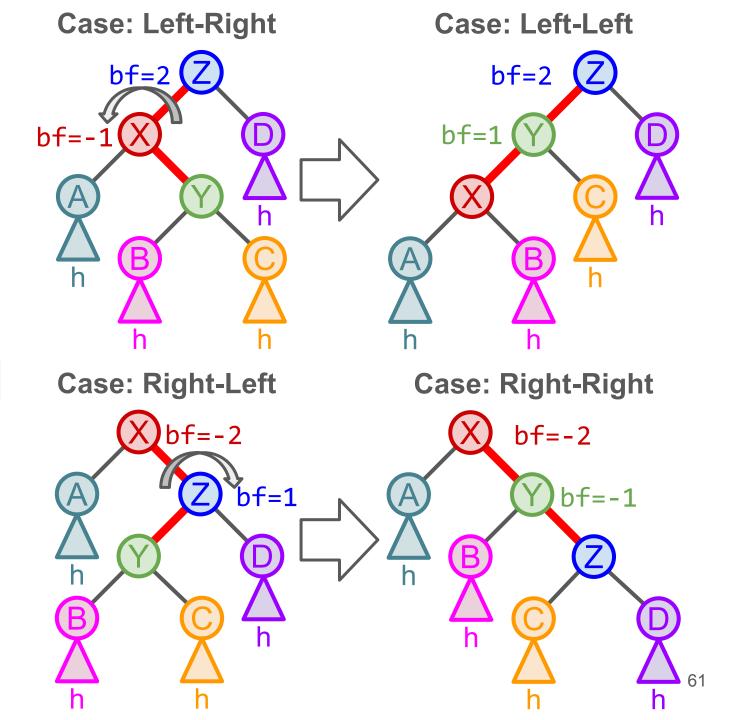
#### **Observation**

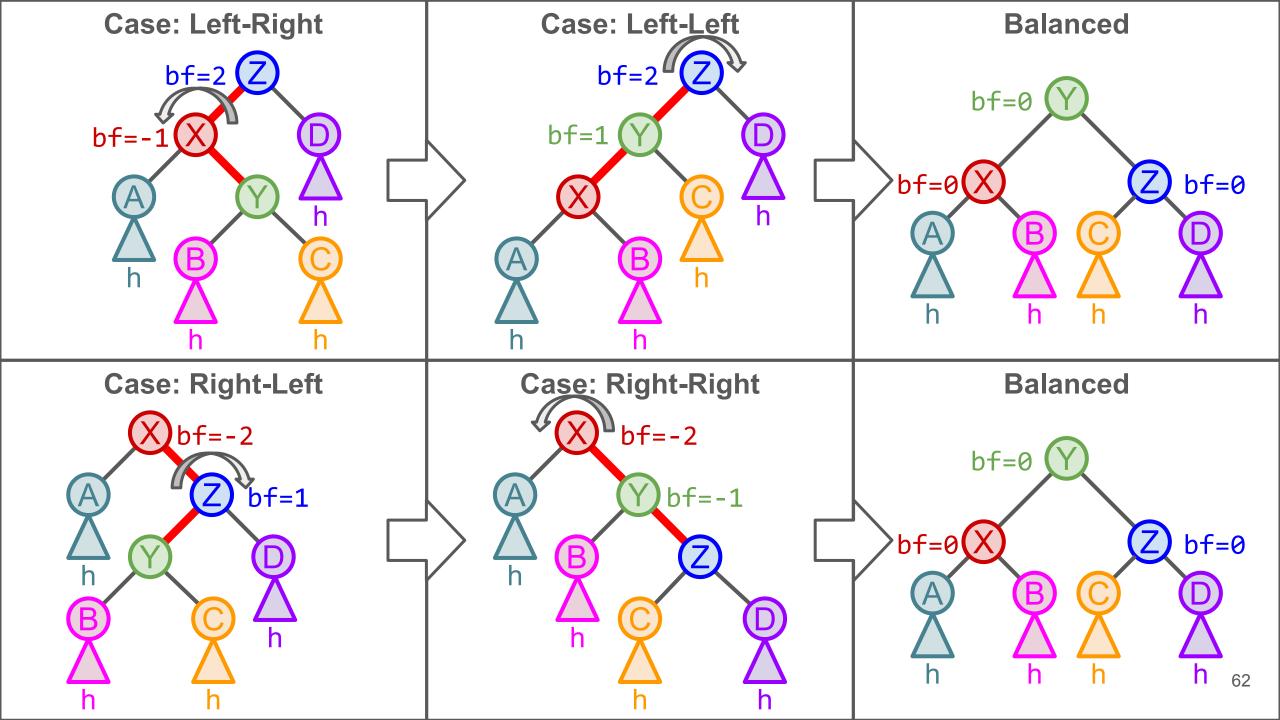
In essence, the previous 2 balancing tricks applies *iff* bf(v) and bf(v.taller\_child()) *do not* have opposing signs!

We regard 0 as <u>neither</u> positive or negative so they do not oppose any sign.

#### **Observation**

If bf(v.taller\_child()) has an opposite sign to bf(v), we can **rotate** v.taller\_child() to transform its bf into the desired sign!





# AVL Tree—Balancing summary

bf(v)	bf(v.left)	bf(v.right)	Case	Rotation
[-1, 1]	Don't care	Don't care	Balanced	NIL
2	≥ 0	Don't core	Left-Left	rotate_right(v)
	< 0	Don't care	Left-Right	rotate_left(v.left)
-2	Don't care	≤ 0	Right-Right	rotate_left(v)
		> 0	Right-Left	<pre>rotate_right(v.right)</pre>

# Question 2

#### Problem statement

Draw a valid AVL Tree and nominate a vertex to be deleted such that if that vertex is deleted:

- a No rotation happens
- b. Exactly one of the four rotation cases happens
- c. Exactly two of the four rotation cases happens (you cannot use the sample given in VisuAlgo which is <a href="https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19">https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19</a>, <a href="https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19">https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19</a>, <a href="https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19">https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19</a>, <a href="https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19">https://visualgo.net/en/bst?mode=AVL&create=8,6,16,3,7,13,19</a>

## Test yourself!

Recall that an unbalanced subtree is the condition for rebalancing rotation(s).

After a subtree has been re-balanced with rotation(s), which other vertices do we have to check for imbalances?

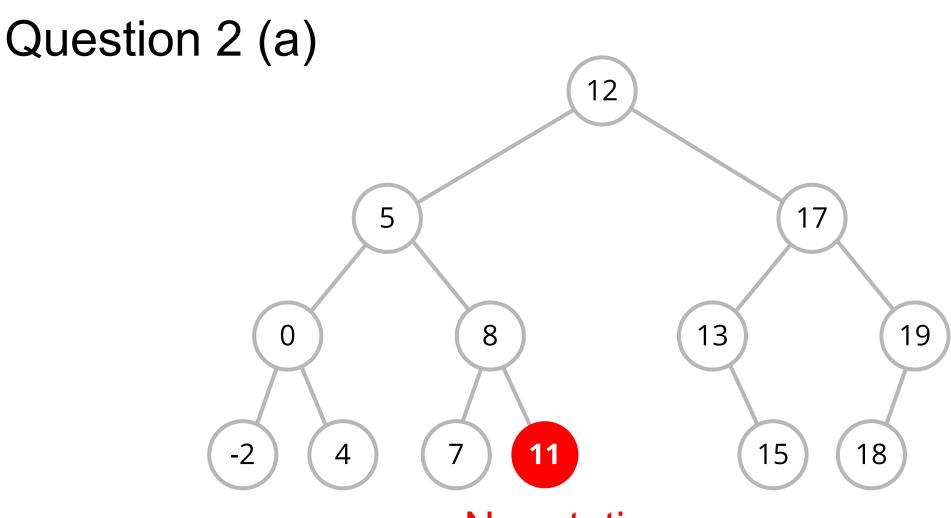
#### Question 2: Deletion

#### What are the 3 cases for deletion?

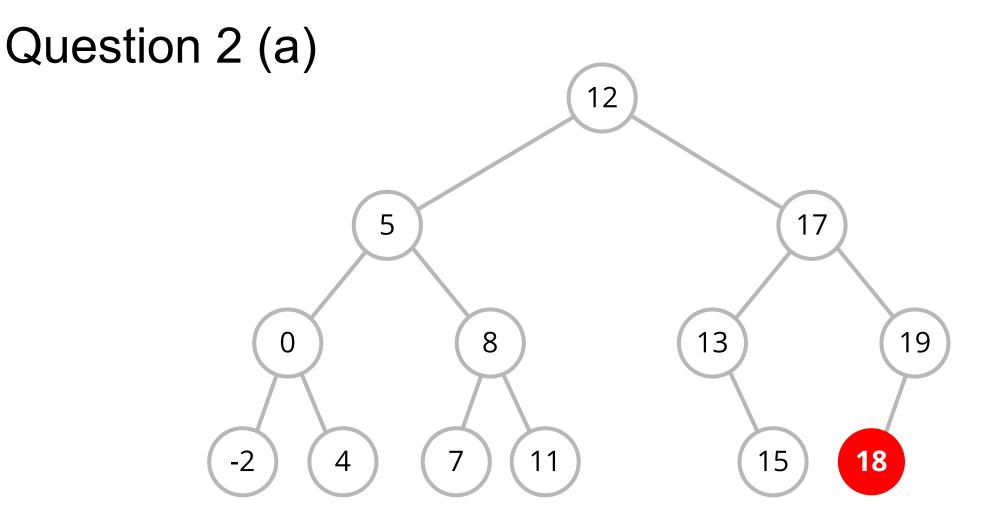
- Case 1: Is leaf vertex
  - Just remove it
- Case 2: Has one child
  - Connect the child subtree to the deleted vertex's parent
- Case 3: Has 2 children
  - Replace with successor, delete successor instead
  - Can also use predecessor

#### Question 2: Rotation

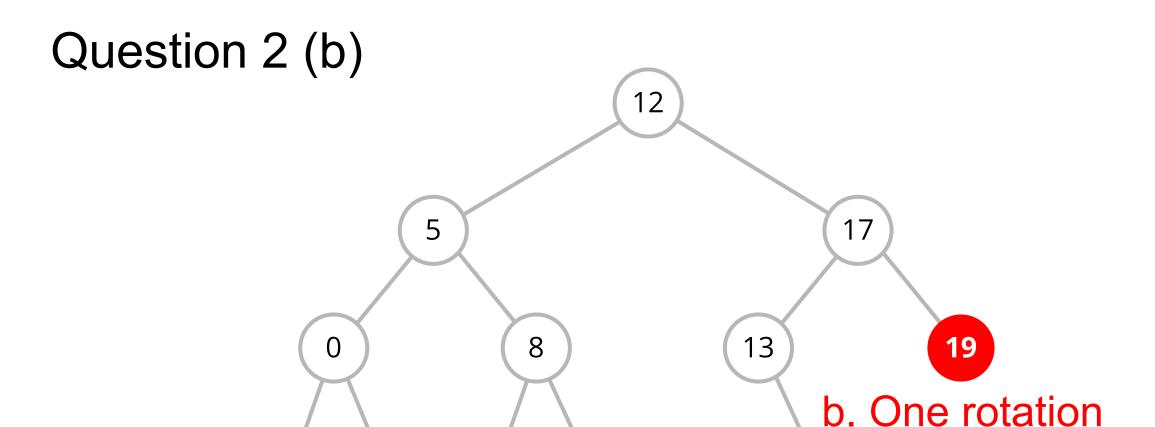
- a. No rotation happens
  - No imbalance
- b. Only one rotation case
  - Imbalance that can be resolved with one rotation
- c. Exactly two rotation cases.
  - Multiple sequential rotations
  - "Skewed" BBST
- d. Exactly three rotation cases.



a. No rotation



a. No rotation



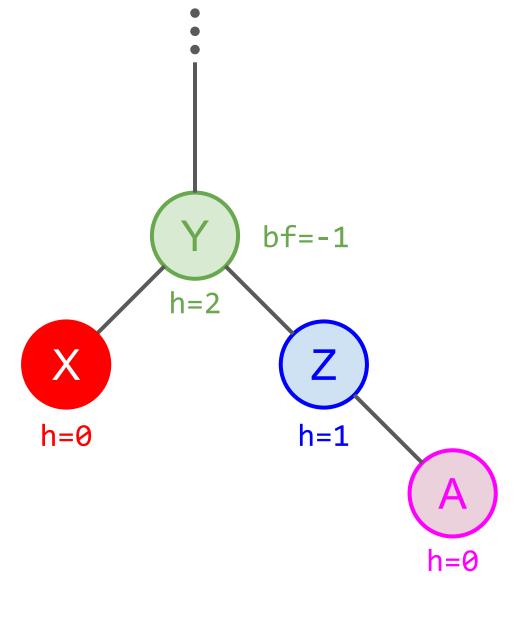
## Question 2 (c)

#### **Observation**

- Rebalancing a subtree can reduce its height by at most 1
- To get 2 rotations, you must make it such that when you remove the vertex, 2 subtrees will be imbalanced in the process

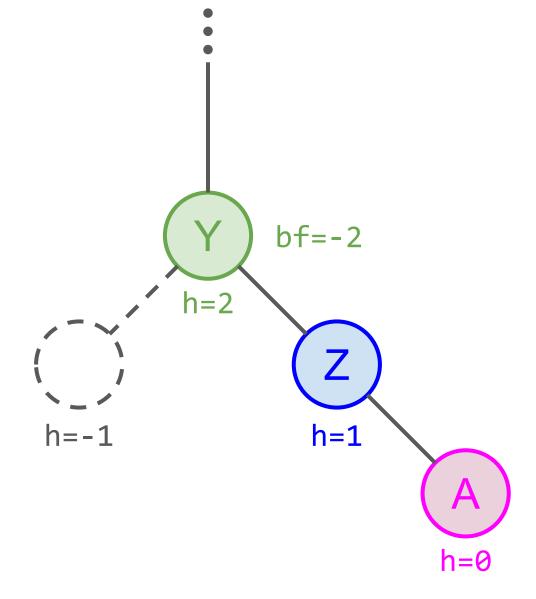
We first show a scenario where rebalancing reduces the subtree's height by 1.

We shall remove X from this subtree Y with height 2.



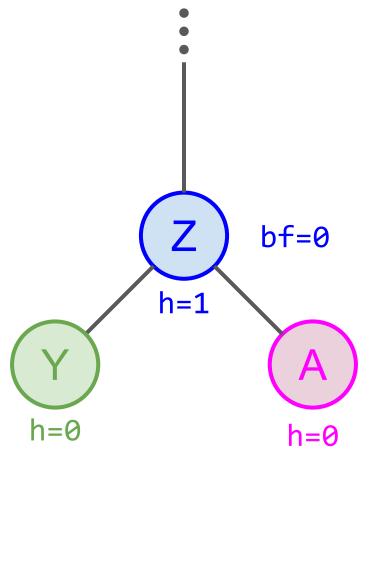
X removed.

bf(Y) is upset.



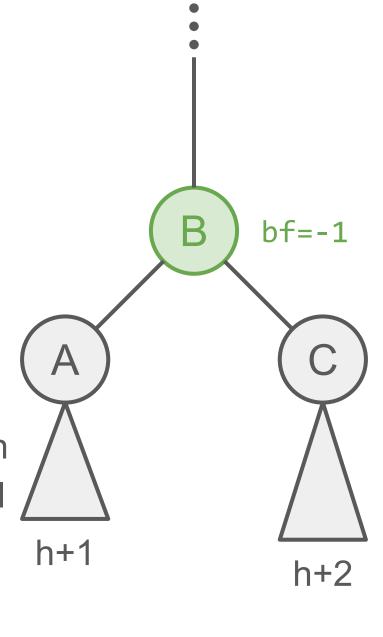
After rotation, this subtree has height 1.

Realize the height will also drop by 1 if we simply removed A instead of X, in which case no rotation would be required.

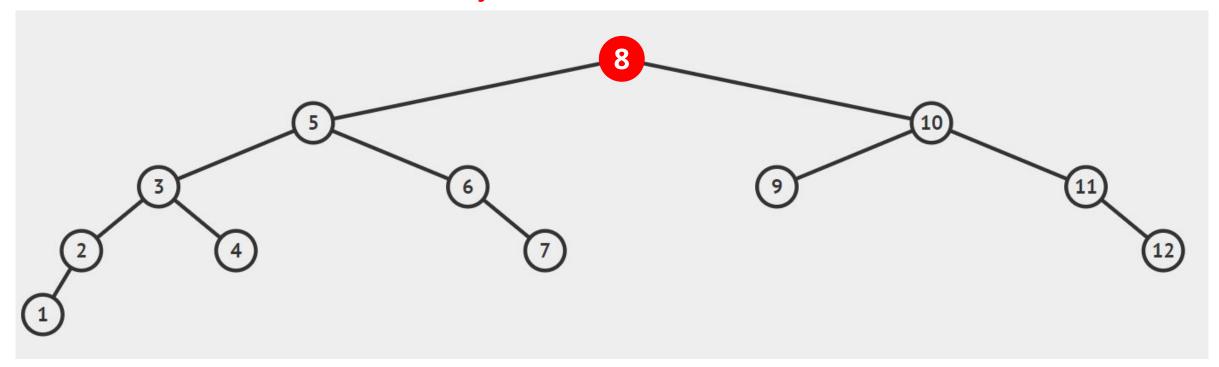


So here's a general strategy, given a subtree of this form:

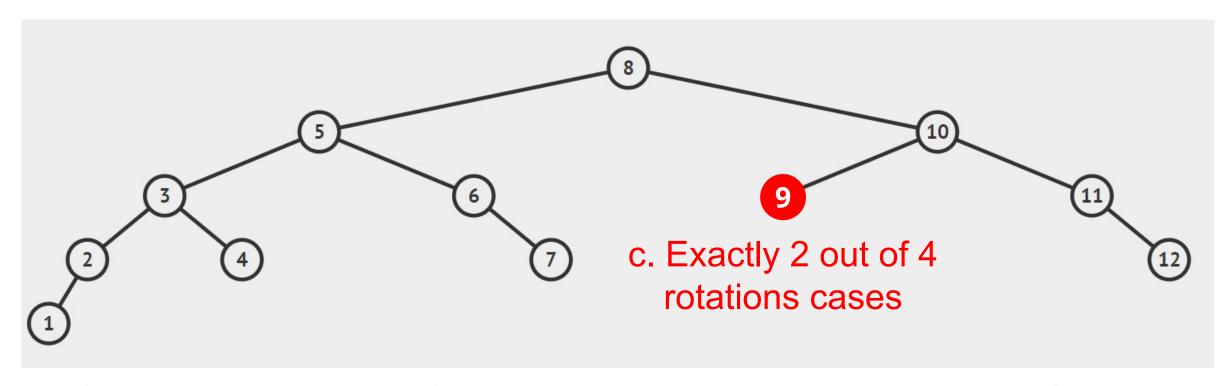
To cause at least 2 rotations, we can simply find a vertex to remove in A such that A's height will be decreased by 1 after a rebalancing rotation within.



#### c. Exactly 2 out of 4 rotations cases



https://visualgo.net/en/bst?create=8,5,10,3,6,9,11,2,4,7,12,1&mode=AVL



https://visualgo.net/en/bst?create=8,5,10,3,6,9,11,2,4,7,12,1&mode=AVL

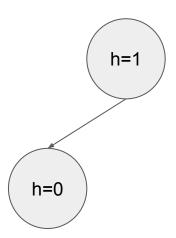
## Minimum number of nodes in AVL tree of height h

Suppose N<sub>h</sub> is the minimum number of nodes.

Then,  $N_0 = 1$ :



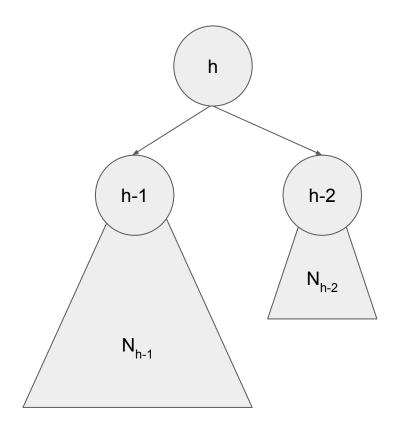
Then  $N_1 = 2$ :



## Minimum number of nodes in AVL tree of height h

Suppose N<sub>h</sub> is the minimum number of nodes.

Then, 
$$N_h = 1 + N_{h-1} + N_{h-2}$$
:





# Test yourself!

- What is the min/max height of a AVL Tree with 33 vertices?
- How did you get those values?

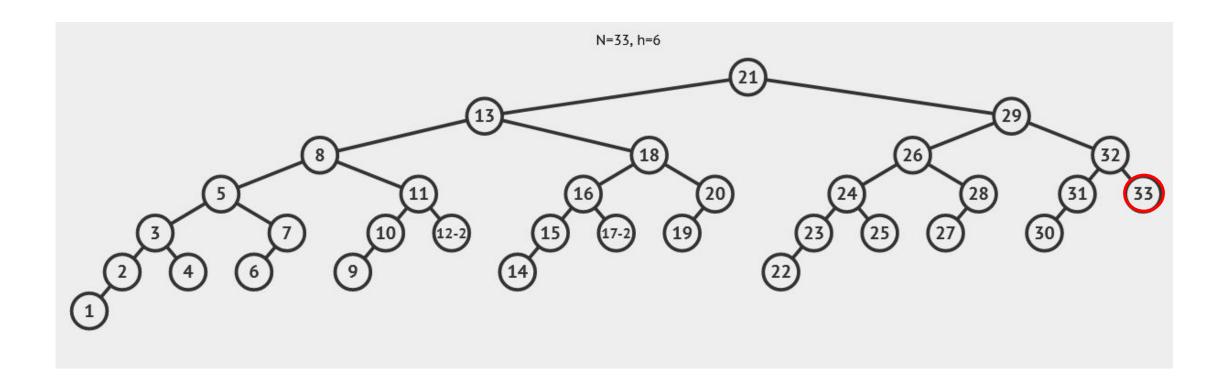


## Test yourself!

- What is the min/max height of a AVL Tree with 15 vertices?
- How did you get those values?

#### **Answer:**

- Minimum:  $\lfloor \log_2(15+1) \rfloor = 5$ ; as compact as possible.
- Maximum:  $N_4 = 12$ ,  $N_5 = 20$ . Need 20 nodes for height 5. So 15 nodes can have maximum height 4.



https://visualgo.net/en/bst?mode=AVL&create=21,13,29,8,18,26,32,5,11,16,20,24,28,31,33,3,7,10,12,15,17,19,23,25,27,30,2,4,6,9,14,22,1

# Question 3

**Augmented BBST** 

#### Problem statement

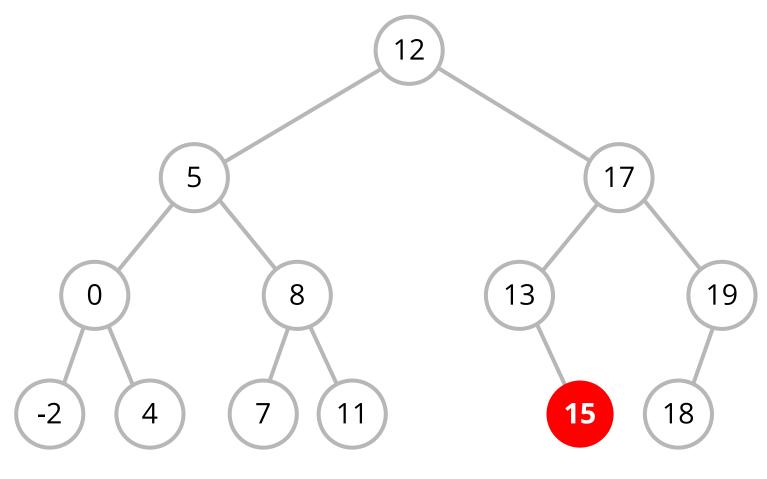
There are two important BST operations: Rank and Select that are not included in VisuAlgo yet

(Overview at <a href="https://visualgo.net/en/bst?slide=5-1">https://visualgo.net/en/bst?slide=5-1</a>) but can be quite useful for some order statistics problems. Please discuss on how to implement these two operations efficiently

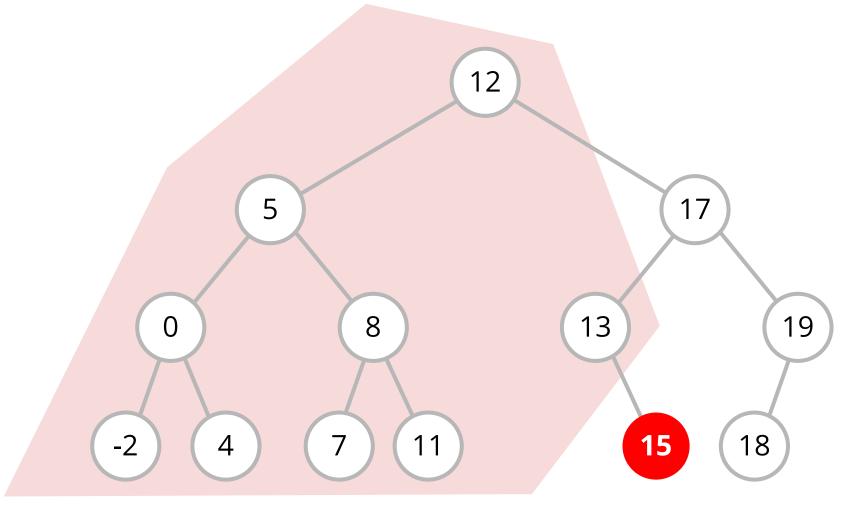
rank(key) returns the 1-based index of key in the sorted ordering of all keys in the BST.

E.g. rank(5) on a BST containing  $\{2,1,7,5,0\}$  is 4 because it belongs to that 1-based index position in the sorted sequence  $\{0,1,2,5,7\}$ .

Realize, this is simply 1 + the number of keys in the BST that are *smaller than* key.



Get rank of 15.

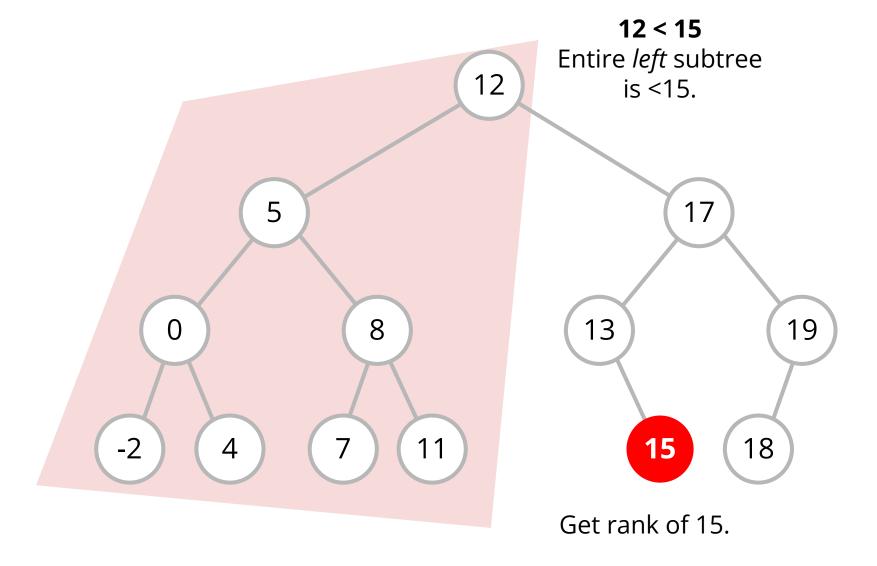


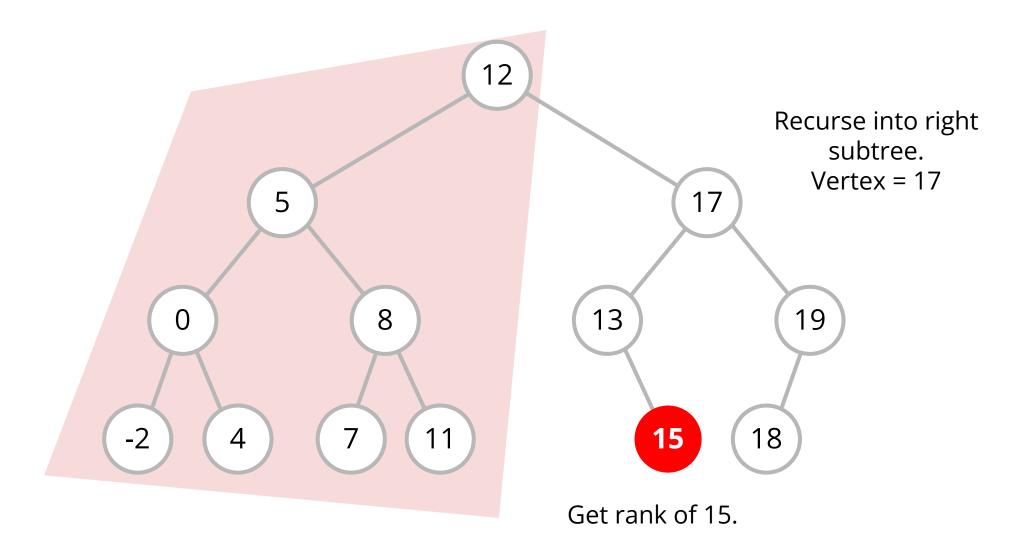
Get rank of 15: Rank 10.

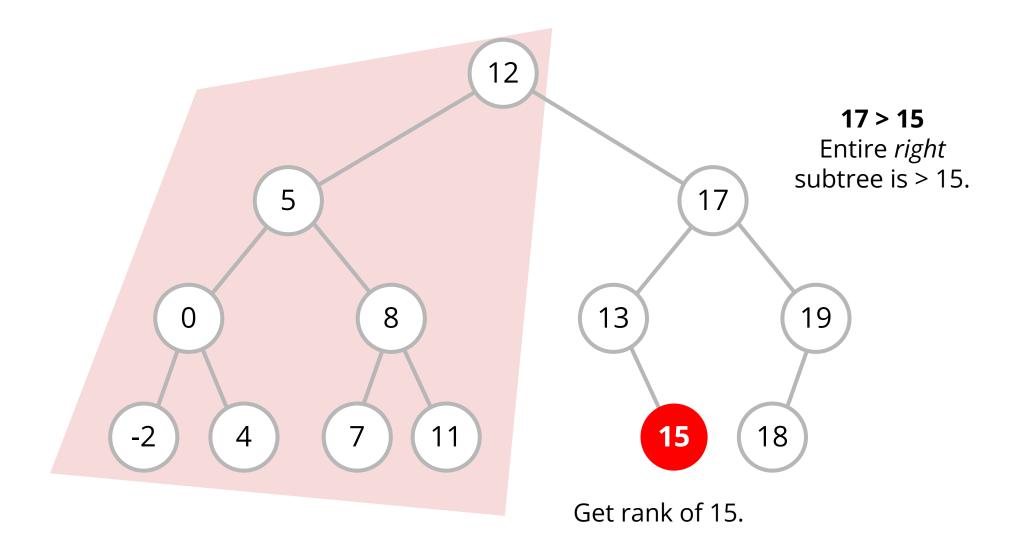
#### **Storing Subtree Size**

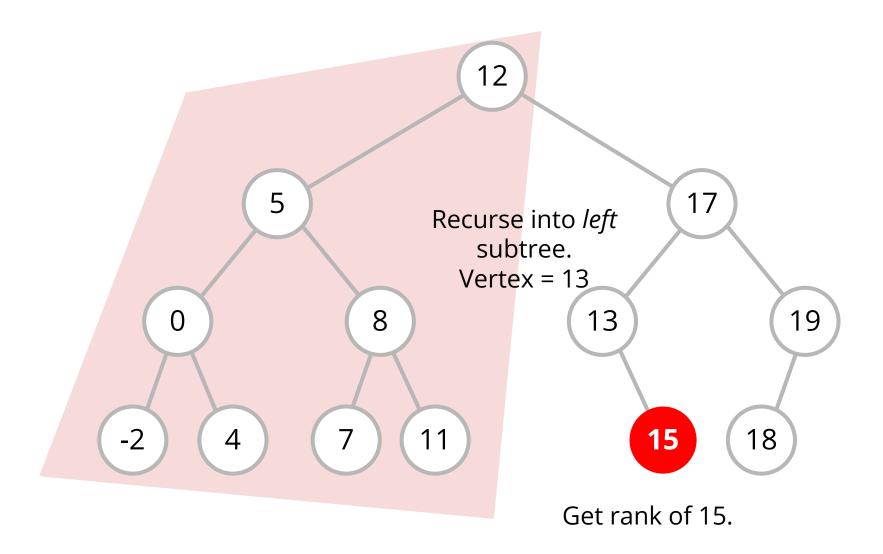
To implement this efficiently, at every vertex, we need to store number of vertices in the subtree (i.e size) rooted at that vertex.

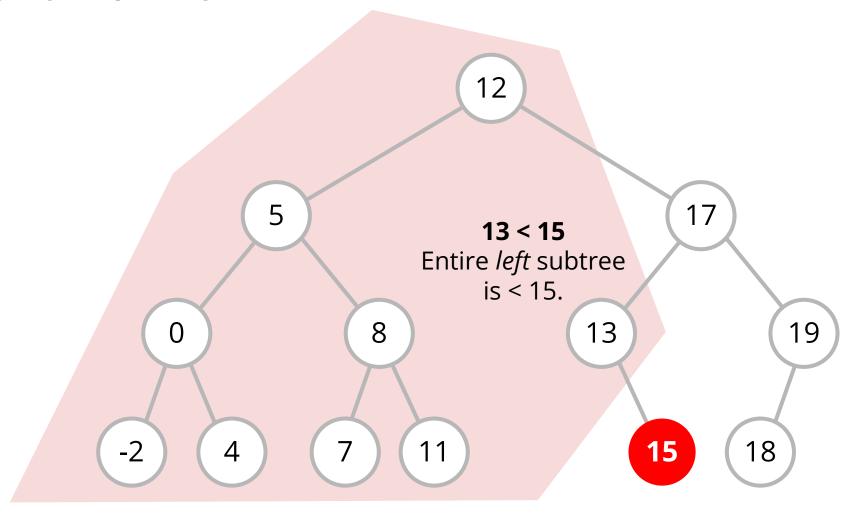
Same idea as "caching" height of subtree in AVL Tree



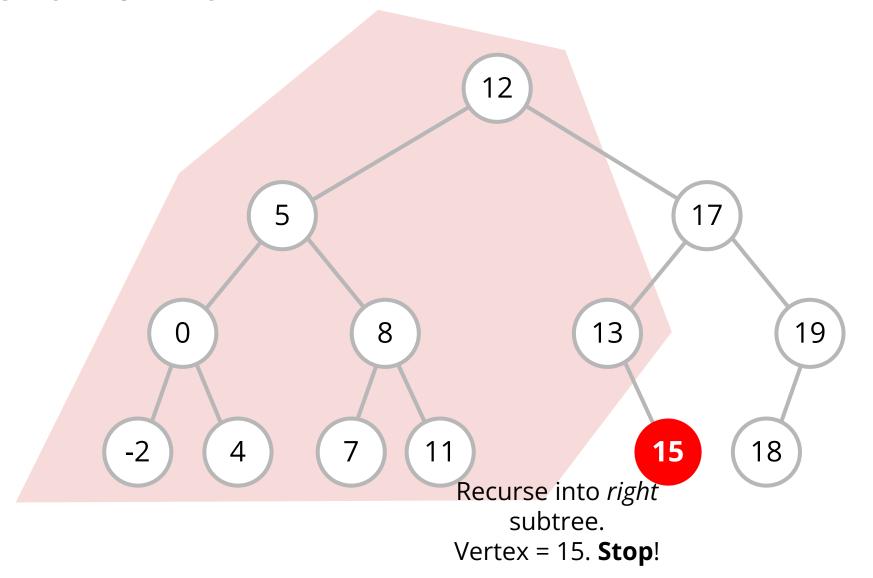








Get rank of 15.



#### Solution 1: Tail-recursion

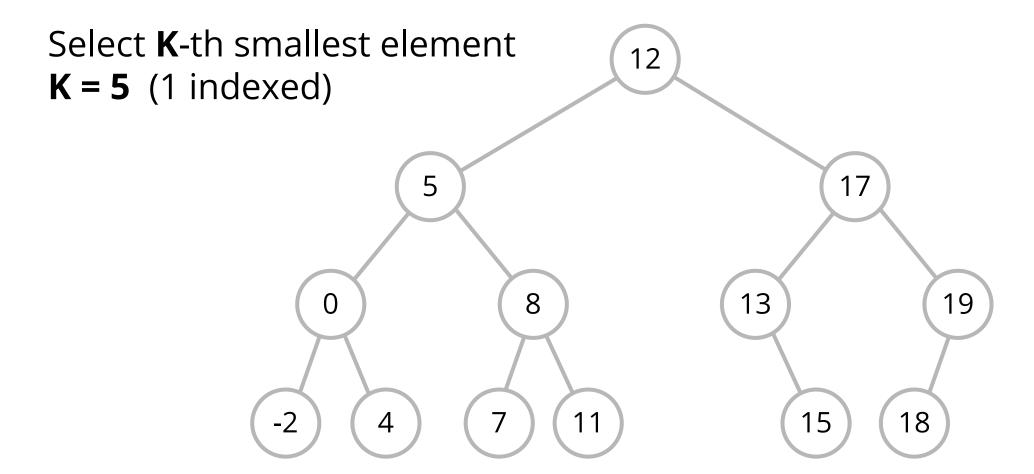
```
int rank(vertex v, int key, int accum) {
   if (v.key == key)  // Base case: at key
       return v.left.size + accum + 1;
   else if (v.key < key) // Recurse right
        return rank(v.right, key, accum + v.left.size + 1);
   else
                           // Recurse left
        return rank(v.left, key, accum);
```

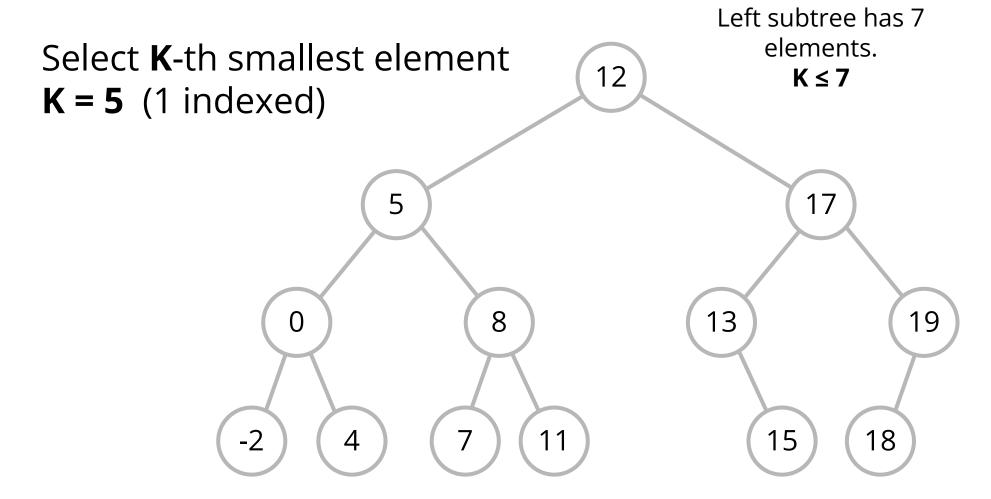
#### Solution 2

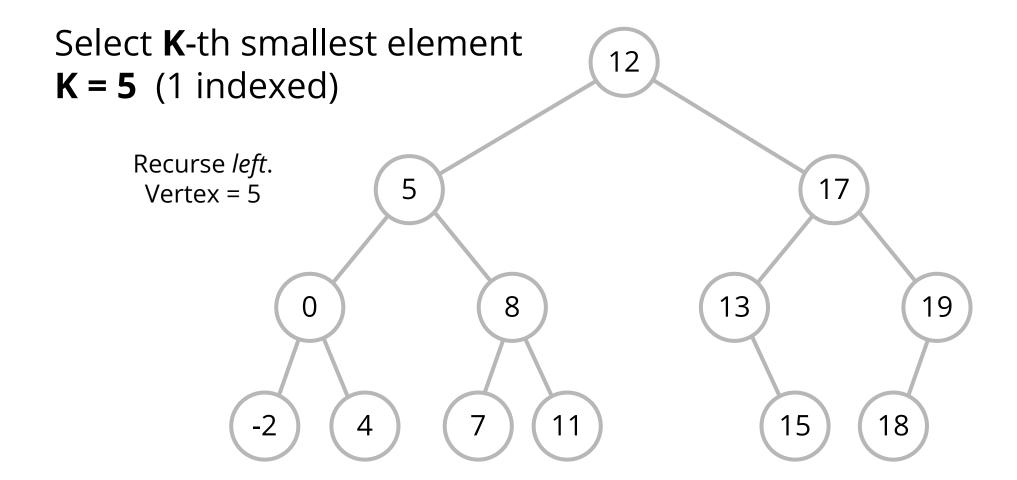
```
int rank(vertex v, int key) {
   if (v.key == key)  // Base case: at key
        return v.left.size + 1;
   else if (v.key < key) // Recurse right
        return v.left.size + 1 + rank(v.right, key);
   else
                           // Recurse left
       return rank(v.left, key);
```

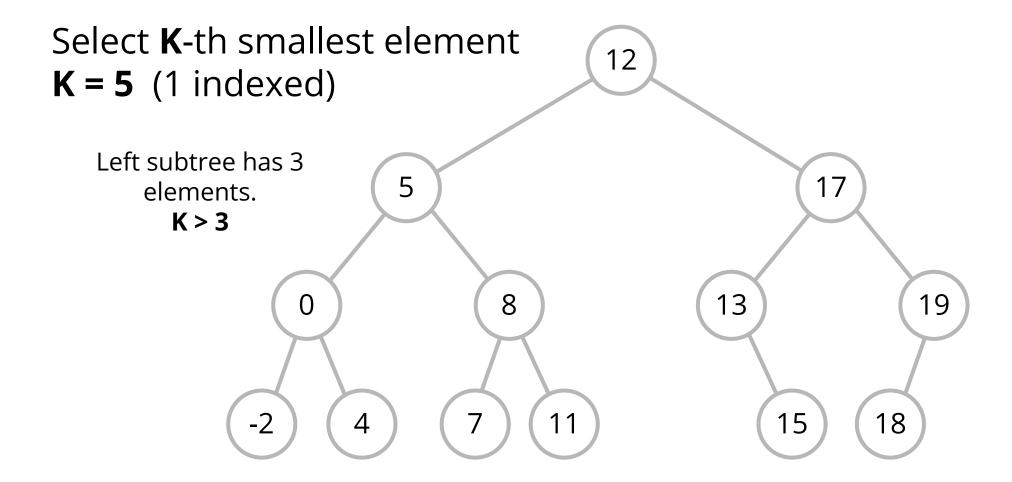
select(k) returns the kth smallest key in the BST.

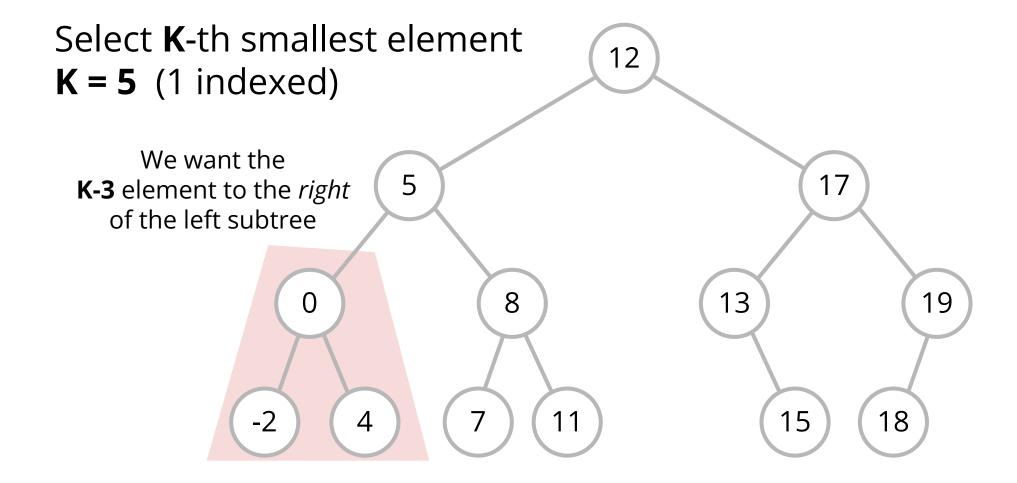
This is same as retrieving the key which is of rank k.

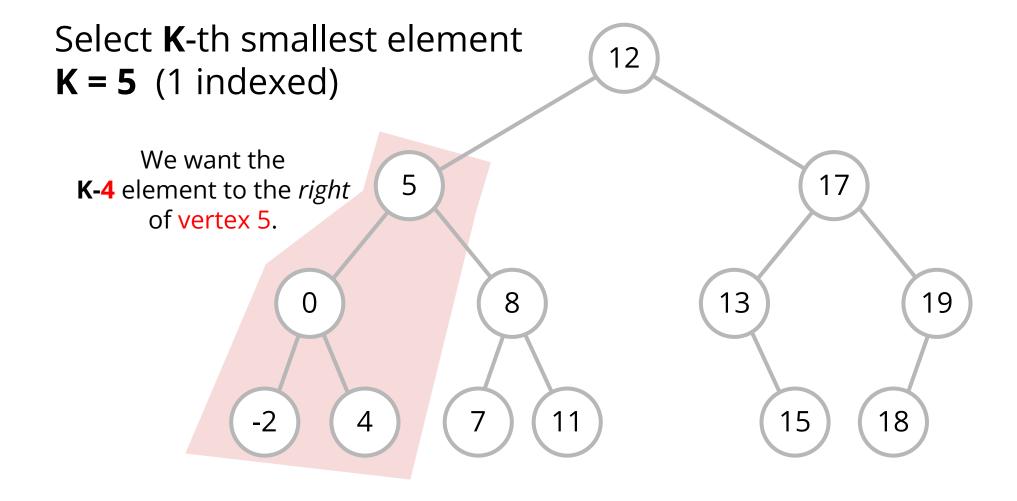


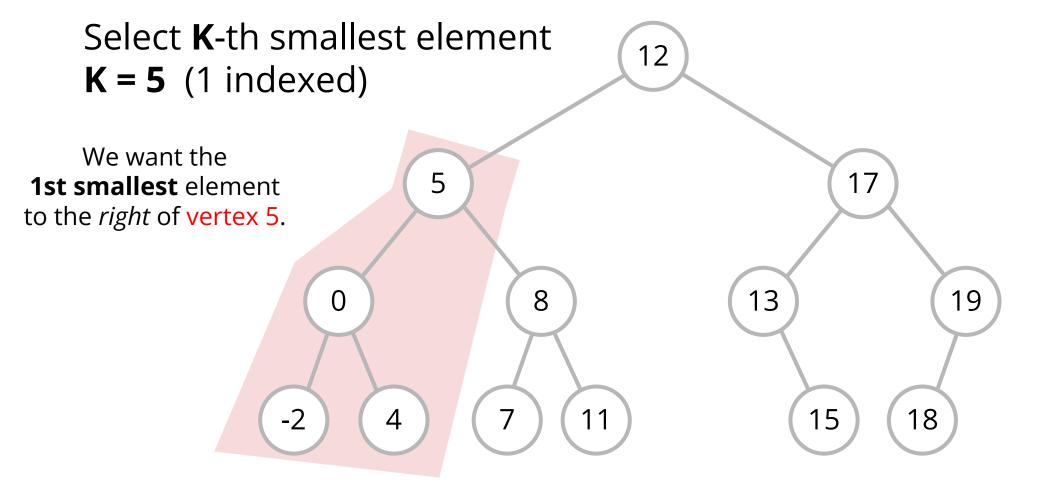


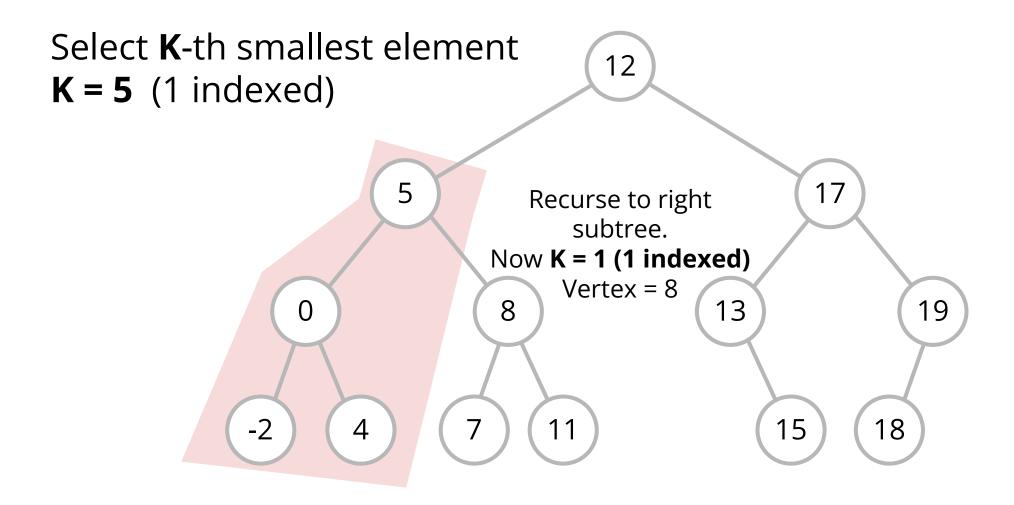


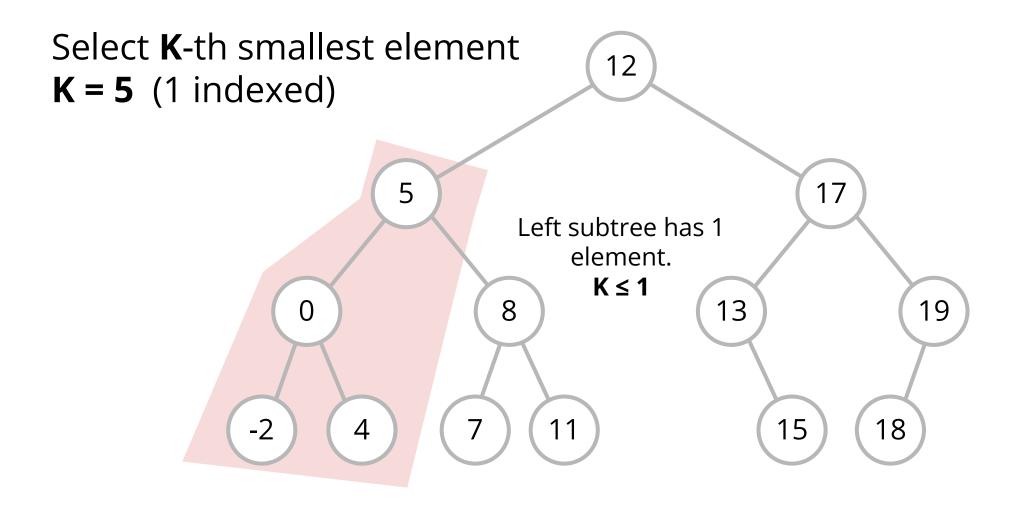


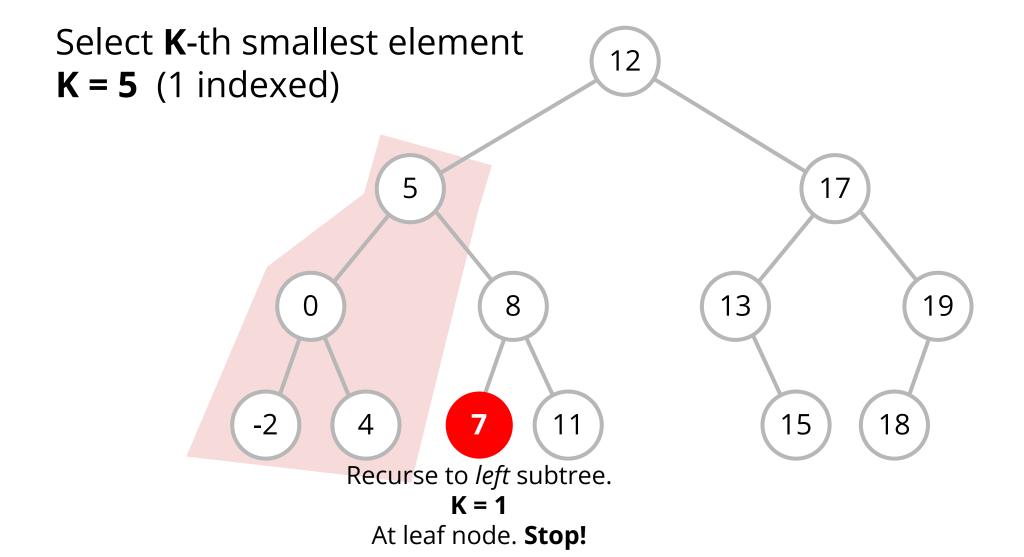












#### Question 3: Select

#### Solution

```
int select(vertex v, int k) {
    // Base case: found it
    if (k == v.left.size + 1)
        return v.key;
   // If in left subtree: recurse left
    else if (k < v.left.size + 1)</pre>
        return select(v.lect, k);
    // If in right subtree: recurse right with updated k
    else
        return select(v.right, k - v.left - 1);
```

## Question 4: Handling duplicates

- So far for simplicity sake we assumed the values stored in BST are unique.
- How shall we handle duplicate values?
- One reasonable approach is to include an additional attribute for each vertex to count the number of times the value was encountered. i.e. keep a frequency counter for every vertex.

#### **Self-read**

# Question 5

Priority Queue ADT Table ADT

#### Problem statement

We mentioned that Binary (Max) Heap can be used to implement Priority Queue ADT

How can we modify the implementation such that for n elements

- Both ExtractMax() and ExtractMin() done in O(log n) time
- Every other Priority Queue related-operations, especially insert/enqueue retains the same O(log n) time

Hint: What is the topic of this tutorial?

# ADT Recap

#### **Analogy**

Company is looking to hire a new employee.

Employee needs to be able to perform certain tasks:

- enqueue()
- ExtractMax()
- top()

# ADT Recap

#### **Analogy**

Many potential candidates applied for the job:

- Array
- Binary Heap
- Hash Table
- Binary Search Tree
- Balanced Binary Search Tree



# **ADT Recap**

#### **Analogy**

All of them technically can perform the task.

But some do it more efficiently than others.

Job Specifications 

→ Abstract Data Type

# Question 5: Modified Priority Queue ADT

#### **Original Functions**

- enqueue()
- ExtractMax()
- top()

#### **New Functions**

• ExtractMin()



# Question 5: Modified Priority Queue ADT

We can use a BBST to implement PQ ADT with all the desired functions aforementioned

Operations	BBST Implementation		
enqueue()	Insert into BBST. O(log n)		
top()	Find the maximum vertex. O(log n)		
<pre>ExtractMax()</pre>	Find the maximum vertex and remove it. O(log n)		
<pre>ExtractMin()</pre>	Find the minimum vertex and remove it. O(log n)		

# Test yourself!

With a BBST implementation for Priority Queue ADT, how can you achieve top() in O(1) time? Can you employ the same strategy to peek at the minimum value in O(1) time as well?

#### **Self-read**

# Question 5



#### Problem statement

- Follow up from Question 4
- Let's revisit Question 3 of Tutorial 04 (on right)
- Would you answer that question differently?

There are two interesting features of Binary Heap data structure that are not available in C++ STL priority queue and Java PriorityQueue yet: Increase/Decrease/UpdateKey(old k, new k) and DeleteKey(k) where v is not necessarily the max element. These two operations are not yet included in VisuAlgo.

# Question 5: DeleteKey(k)

- Lazy deletion
  - Spoiler given 2 tutorials ago
  - Can keep track of deleted elements using another priority queue
- BBST
  - Delete any element in O(log N)

# Question 5: UpdateKey(old k, new k)

- Lazy update
  - Spoiler given 2 tutorials ago
  - Use lazy deletion approach to find and mark old k as invalid, then enqueue new k as new element
- BBST
  - Find key in O(log N), delete key in O(log N), finally insert new k as new element in O(log N)

#### Relevant discussion: BBST for Table ADT

- Up till now, we have only seen examples of BBST storing simple values
- Realize that BBST vertices can also store (Key, Value) pairs (i.e. Table ADT's satellite data)!
- This allows us to effectively implement Table ADT using BBST!

#### Relevant discussion: BBST for Table ADT

- With a BBST implementation for Table ADT, the comparison between vertices is based on **Key**. i.e. Successor to a vertex represents the next largest key
- We can thus conduct binary search for keys!
- Therefore no hash function is necessary, and consequently collision resolution is also not required
- How might we handle (Key, Value) pairs sharing the same key?
   We can use employ separate chaining idea where each vertex is a now a bucket!

#### Some remarks

- Priority Queue ADT
  - Doesn't necessarily have to be a Binary Heap!
  - For exposure: There are many other heaps as well
- Table ADT
  - Doesn't necessarily have to be a Hash Table!
- We have seen how BBST can serve as a reasonable implementation for both ADTs

# Question 7

#### Problem statement

As of now, you have been exposed with both possible implementations of Table ADT:

- 1. Hash Table (and its variations)
- 2. BST (including Balanced BST like AVL Tree)

Now write down 4 potential usage scenarios of Table ADT

- Two scenarios should favor the usage of Hash Table
- The other two scenarios should favor using Balanced BST

#### Question 6: When to use Hash Table

- 1. Pure key-to-value mapping without ordering of keys
- 2. No order statistic queries needed
- 3. Time limit is tight: Need to choose O(1) over O(log N)
- Hashing of keys is easier/well-known
- 5. Occasional re-hashing is tolerated

#### Question 6: When to use BBST

- 1. Key-to-value mapping with keys in sorted order
- Need to support order statistic queries: min/max/lower\_bound/upper\_bound/select/rank etc.
- Keys are harder to be hashed (but easier to compare, like a tuple)
- Memory constraints imposed where a Hash Table would be considered wasteful in comparison
- 5. Consistent and deterministic time complexity requirements where re-hashing in Hash Table cannot be tolerated

# Java

Container	Data	Allow duplicates?	DS / ADT
TreeSet	Key	No	BBST
TreeMap	(Key, Value)	No	BBST
HashSet	(Key, Value)	No	Hash Table
HashMap	Key	No	Hash Table

# Questions Break Attendance

# **PS5** Discussion

## PS5 /kannafriendship

- Given some intervals [l<sub>i</sub>, r<sub>i</sub>].
- Find the total length they cover.
- The two types of queries can be interleaved.

## PS5 /kannafriendship

- Given some intervals [l<sub>i</sub>, r<sub>i</sub>].
- Find the total length they cover.
- The two types of queries can be interleaved.

#### Solution:

- Maintain disjoint intervals in a BBST.
- Figure out how to add a new interval to the BBST.
  - Find intersecting intervals.
  - Remove them.
  - Insert the union of the removed intervals and the new interval.
  - Update global counter of total length covered.

## PS5 <u>/traveltheskies</u>

Reading comprehension problem.

Bruteforce algorithm with some Maps will pass.

# Java TreeSet and TreeMap

# Java TreeSet and TreeMap

# https://visualgo.net/training?diff=Medium&n=5 &tl=5&module=bst

Given (student, course) pairs. One pair might be given multiple times. For each course in sorted order, print how many students are taking it.

Hint 5 min:

Hint 10 min:

Hint 15 min:

Given (student, course) pairs. One pair might be given multiple times. For each course in sorted order, print how many students are taking it.

Hint 5 min: How about a Map for each course?

Hint 10 min:

Hint 15 min:

Given (student, course) pairs. One pair might be given multiple times. For each course in sorted order, print how many students are taking it.

Hint 5 min: How about a Map for each course?

Hint 10 min: Map course to Set of students taking that course.

Hint 15 min:

Given (student, course) pairs. One pair might be given multiple times. For each course in sorted order, print how many students are taking it.

**Hint 5 min:** How about a Map for each course?

Hint 10 min: Map course to Set of students taking that course.

Hint 15 min: In the end, sort courses and print the size of the mapped set.

# Thank You!

Anonymous Feedback:

https://forms.gle/MkETeXdUT53Vhh896