Outline Binary Search Trees Red-Black Trees Augmenting Data Structures

# Introduction to Algorithms Advanced Data Structures: I

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# **Outline of Topics**

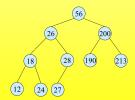
Binary Search Trees

Red-Black Trees

Augmenting Data Structures

# Binary Trees

- Recursive definition
  - 1. An empty tree is a binary tree
  - 2. A node with at most two child subtrees is a binary tree
  - 3. Only what you get from 1 by a finite number of applications of 2 is a binary tree
- Is this a binary tree?



# Binary Search Trees

- View today as data structures that can support dynamic set operations
  - Search, Minimum, Maximum, Predecessor, Successor, Insert, and Delete
- Can be used to build Dictionaries
   Priority Queues
- ▶ Basic operations take time proportional to the height of the tree O(h)

# **BSTRepresentation**

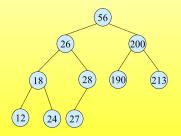
- Represented by a linked data structure of nodes
- root(T) points to the root of tree T
- Each node contains field:
  key

*left* - pointer to left child: root of left subtree *right* - pointer to right child: root of right subtree *p* - pointer to parent. p[root[T]] = NIL (optional)



# Binary Search Tree Property

- Stored keys must satisfy the binary search tree property
  - 1.  $\forall y$  in left subtree of x, then  $key[y] \leq key[x]$
  - 2.  $\forall y$  in right subtree of x, then  $key[y] \ge key[x]$

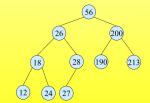


## Inorder Traversal

► The binary search tree property allows the keys of a binary search tree to be printed, in (monotonically increasing) order, recursively

## INORDER TREE WALK (x)

- 1: if  $x \neq NIL$  then
- 2: INORDERTREEWALK(left[x])
- 3: print key[x]
- 4: INORDERTREEWALK(right[x])



- ► How long does the walk take?
- ► Can you prove its correctness?

## Correctness of Inorder-Walk

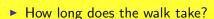
- Must prove that it prints all elements, in order, and that it terminates
- ▶ 1. By induction on size of tree, Size = 0: Easy
  - 2. Size  $\geq 1$ :
    - a. Prints left subtree in order by induction
    - b. Prints root, which comes after all elements in left subtree (still in order)
    - c. Prints right subtree in order (all elements come after root, so still in order)

## Preorder Traversal

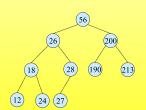
► The *binary search tree* property allows the keys of a binary search tree to be printed recursively

## PREORDER TREE WALK (x)

- 1: if  $x \neq NIL$  then
- 2: print key[x]
- 3: PREORDER TREEWALK (left[x])
- 4: PREORDERTREEWALK(right[x])



Can you prove its correctness?

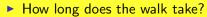


## Postorder Traversal

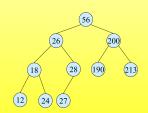
► The *binary search tree* property allows the keys of a binary search tree to be printed recursively

## Postorder Tree Walk(x)

- 1: if  $x \neq NIL$  then
- 2: PostorderTreeWalk(left[x])
- 3: PostorderTreeWalk(right[x])
- 4: print key[x]



► Can you prove its correctness?



# Querying a Binary Search Tree

- ► All dynamic-set search operations can be supported in O(h) time
- ▶  $h = \Theta(\lg n)$  for a balanced binary tree (and for an average tree built by adding nodes in random order.)
  - 1. Self-balanced binary search trees will have  $h = \Theta(\lg n)$
  - 2. Examples of such trees, red-black tree, AVL tree, 2-3 tree
- ▶  $h = \Theta(n)$  for an unbalanced tree that resembles a linear chain of n nodes in the worst case

## Tree Search

## TREESEARCH(x, k),

x is a node. k is a value

1: if 
$$x = NIL$$
 or  $k = key[x]$  then

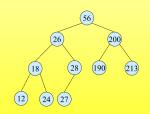
2: return x

3: **if** 
$$k \in \text{key}[x]$$
 **then**

4: return TREESEARCH(
$$left[x], k$$
)

5: **else** 

6: return TREESEARCH(right[x], k)



► Running time: *O*(*h*)

Aside: tail-recursion

## Iterative Tree Search

## ITERATIVETREESEARCH(x, k)

1: while 
$$x \neq \text{NIL}$$
 and  $k \neq key[x]$  do

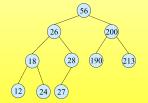
2: **if** 
$$k < key[x]$$
 **then**

3: 
$$x \leftarrow left[x]$$

4: else

5: 
$$x \leftarrow right[x]$$

6: **return** *x* 



- ► The iterative tree search is more efficient on most computers
- ► The recursive tree search is more straightforward

# Finding Min & Max

- ▶ The binary-search-tree property guarantees that:
  - 1. The minimum is located at the left-most node
  - 2. The maximum is located at the right-most node

#### TreeMinimum(x)

1: while  $left \neq NIL$  do

2:  $x \leftarrow left[x]$ 

3: return x

▶ Q: How long do they take?

#### TREEMAXIMUM(x)

1: while  $right \neq NIL$  do

2:  $x \leftarrow right[x]$ 

3: **return** *x* 

## Predecessor and Successor

- ► Successor of node *x* is the node *y* such that *key*[*y*] is the smallest key greater than *key*[*x*]
- ▶ The successor of the largest key is NIL
- Search consists of two cases:
  - 1. If node x has a non-empty right subtree, then xs successor is the minimum in the right subtree of x
  - 2. If node x has an empty right subtree, then:
    - a. As long as we move to the left up the tree (move up through right children), we are visiting smaller keys
    - b. xs successor y is the node that x is the predecessor of (x is the maximum in ys left subtree)
    - c. In other words, xs successor y, is the lowest ancestor of x whose left child is also an ancestor of x

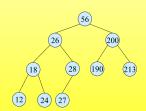
## Pseudo-code for Successor

#### TreeSuccessor(x)

- 1: **if**  $right[x] \neq NIL$  **then**
- 2: return TreeMinimum(right[x])
- 3:  $y \leftarrow p[x]$
- 4: while  $y \neq NIL$  and x = right[y] do
- 5:  $x \leftarrow y$
- 6:  $y \leftarrow p[y]$
- 7: return y

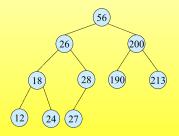


► Running time: *O(h)* 



## Insertion and Deletion

- Change the dynamic set represented by a BST
- Ensure the binary search tree property holds after change
- Insertion is easier than deletion



## BST Insertion Pseudocode

## TreeInsert(T, z)

1: 
$$y \leftarrow \text{NIL}$$
  
2:  $x \leftarrow root[T]$   
3: **while**  $x \neq \text{NIL do}$   
4:  $y \leftarrow x$   
5: **if**  $key[z] < key[x]$  **then**  
6:  $x \leftarrow left[x]$   
7: **else**  
8:  $x \leftarrow right[x]$   
9:  $p[z] \leftarrow y$ 

```
10: if y = \text{NIL then}
11: root[T] \leftarrow z
12: else if key[z] < key[y]
then
13: left[y] \leftarrow z
14: else
15: right[y] \leftarrow z
```

# Analysis of Insertion

- ▶ Initialization: *O*(1)
- While loop in lines 3-10 searches for place to insert z, maintaining parent y. This takes O(h) time
- Lines 11-18 insert the value: O(1)
- ► Total: O(h) time to insert a node

# Exercise: Sorting Using BSTs

## SORT(A)

- 1: **for**  $i \leftarrow 1$  to n **do**
- 2: TreeInsert(A[i])
- 3: INORDERTREEWALK(root)
  - ▶ What are the worst case and best case running times?
  - In practice, how would this compare to other sorting algorithms?

## **BST** Deletion

- ► Case 0: if x has no children: then remove x
- ► Case 1: if x has one child: then make p[x] point to child
- Case 2: if x has two children (subtrees): then swap x with its successor perform case 0 or case 1 to delete it
- ► Total: O(h) time to delete a node

## BST Deletion Pseudocode

## TreeDelete(T, z)

1: **if** 
$$left[z] = NIL$$
  
or  $right[z] = NIL$  **then**

2: 
$$y \leftarrow z$$

4: 
$$y \leftarrow \text{TreeSuccessor}[z]$$

5: **if** 
$$left[y] \neq NIL$$
 **then**

6: 
$$x \leftarrow left[y]$$

7: else

8: 
$$x \leftarrow right[y]$$

9: if 
$$x \neq NIL$$
 then

10: 
$$p[x] \leftarrow p[y]$$

11: **if** 
$$p[y] = NIL$$
 **then**

12: 
$$root[T] \leftarrow x$$

13: **else if** 
$$y \leftarrow left[p[i]]$$
 **then**

14: 
$$left[p[y]] \leftarrow x$$

16: 
$$right[p[y]] \leftarrow x$$

17: if 
$$y \neq z$$
 then

18: 
$$key[z] \leftarrow key[y]$$

► How do we know case 2 should go to case 0 or case 1 instead of back to case 2?

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- Any other choice?

- How do we know case 2 should go to case 0 or case 1 instead of back to case 2?
  Because when x has 2 children, its successor is the minimum in its right subtree, and that successor has no left child (hence 0 or 1 child)
- Any other choice?
   Equivalently, we could swap with predecessor instead of successor. It might be good to alternate to avoid creating lopsided tree

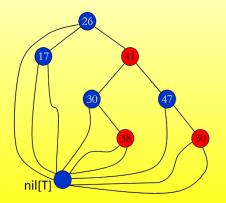
## Red-Black Trees: Overview

- ► Red-black trees are a variation of binary search trees to ensure that the tree is *balanced*
- ▶ Height is  $O(\lg n)$ , where n is the number of nodes
- ▶ Operations take  $O(\lg n)$  time in the worst case

## Red-Black Tree

- ▶ Binary search tree + 1 bit per node: the attribute color, which is either red or black
- All other attributes of BSTs are inherited: key, left, right, and p
- All empty trees (leaves) are colored black
  - 1. We use a single sentinel, *nil*, for all the leaves of red-black tree T, with *color*[*nil*] = black
  - 2. The roots parent is also nil[T]

# Red-Black Tree Example

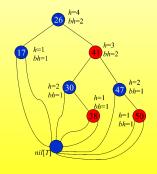


# Red-Black Properties

- ▶ 1. Every node is either red or black
- ▶ 2. The root is black
- ▶ 3. Every leaf (nil) is black
  - · Note: this means every real node has 2 children
- ▶ 4. If a node is red, then both its children are black
  - · Note: cant have 2 consecutive reds on a path
- ▶ 5. For each node, all paths from the node to descendant leaves contain the same number of black nodes.

# Height of a Red-Black Tree

- Height of a node:
   Number of edges in a longest path to a leaf
- Black-height of a node x, bh(x): Number of black nodes (including nil [T]) on the path from x to leaf, not counting x
- Black-height of a red-black tree is the black-height of its root:
   By Property 5, black height is well defined



# Height of Red-Black Trees

- ▶ What is the minimum black-height of a node with height h? A height-h node has black-height  $\geq h/2$
- Theorem: A red-black tree with n internal nodes has height h ≤ 2 lg(n + 1) How do you suppose well prove this?

# RB Trees: Proving Height Bound

- ▶ Prove: *n*-node RB tree has height  $h \le 2 \lg(n+1)$
- ► Claim: A subtree rooted at a node x contains at least  $2^{bh(x)} 1$  internal nodes
- Proof by induction on height h

# RB Trees: Proving Height Bound

- ▶ Base step: x has height 0 (i.e., NULL leaf node)
  - 1. So bh(x) = 0
  - 2. So subtree contains  $2^{bh(x)} 1 = 2^0 1 = 0$  internal nodes (TRUE)
- ▶ Inductive step: x has positive height and 2 children
  - 1. Each child has black-height of bh(x) or bh(x) 1
  - 2. So the subtrees rooted at each child contain at least  $2^{bh(x)-1} 1$  internal nodes
  - 3. Thus subtree at x contains  $(2^{bh(x)-1}-1)+(2^{bh(x)-1}-1)+1=2^{bh(x)}-1$  nodes (TRUE)

# RB Trees: Proving Height Bound

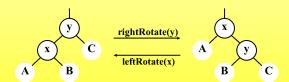
- Thus at the root of the red-black tree:  $n \ge 2^{bh(root)} - 1 \Rightarrow n \ge 2^{h/2} - 1 \Rightarrow h \le 2 \lg(n+1)$
- ▶ Thus  $h = O(\lg n)$

## RB Trees: Worst-Case Time

- ▶ So weve proved that a red-black tree has  $O(\lg n)$  height
- Corollary: These operations take O(lg n) time: Minimum(), Maximum() Successor(), Predecessor() Search()
- Insert() and Delete():
  - 1. Will also take  $O(\lg n)$  time
  - 2. But will need special care since they modify tree

### **RB Trees: Rotation**

Our basic operation for changing tree structure is called rotation:



- Preserves BST key ordering
- ▶ *O*(1) time...just changes some pointers

#### **RB Trees: Insertion**

- Insertion: the basic idea
  - 1. Insert x into tree, color x red
  - 2. r-b property 2 could be violated (if x is root and red) If so, no other property is violated, we make x black.
  - 3. Otherwise,r-b property 4 might be violated (if p[x] red) If so, move violation up tree until a place is found where it can be fixed
  - 4. Total time will be  $O(\lg n)$

### RB Insertion Pseudocode I

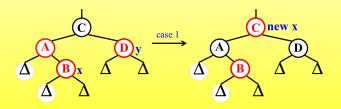
```
RBINSERT(T,x)
 1: TreeInsert(T, x)
 2: color[x] \leftarrow RED
 3: while x \neq root[T] and color[p[x]] = RED do
 4:
       if p[x] = left[p[p[x]]] then
         y \leftarrow right[p[p[x]]]
 5:
          if color[v] = RED then
 6:
             color[p[x]] \leftarrow \mathsf{BLACK}
 7:
             color[y] \leftarrow BLACK
 8:
             color[p[p[x]]] \leftarrow RED
 9.
             x \leftarrow p[p[x]]
10:
```

### RB Insertion Pseudocode II

```
else
11:
            if x = right[p[x]] then
12:
               x \leftarrow p[x]
13:
               LEFTROTATE(x)
14:
            color[p[x]] \leftarrow \mathsf{BLACK}
15:
            color[p[p[x]]] \leftarrow RED
16:
             RIGHTROTATE p[p[x]]
17:
       else
18:
          same as above, but exchanging 'right' and 'left'
19:
20: color[root[T]] \leftarrow BLACK
```

### RB Insert: Case 1

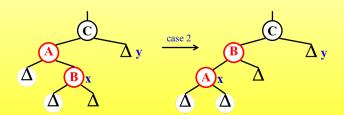
► Case 1: uncle is red: In figures below, all △s are equal-black-height subtrees



► Change colors of some nodes, preserving r-b property 5: all downward paths have equal b.h. The while loop now continues with xs grandparent as the new x

### RB Insert: Case 2

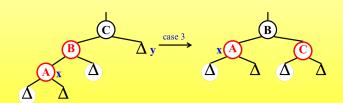
► Case 2: uncle is black Node x is a right child



- ► Set x=p[x]. Transform to case 3 via a left-rotation
- ► This preserves property 5: all downward paths contain same number of black nodes

### RB Insert: Case 3

► Case 3: uncle is black Node x is a left child



- Perform some color changes and do a right rotation
- ► Again, preserves property 5: all downward paths contain same number of black nodes

#### Red-Black Trees

- ▶ Red-black trees do what they do very well
- What do you think is the worst thing about red-black trees? A: coding them up

# Recall Ordinary BST Delete

- ▶ Case 1: If vertex to be deleted is a leaf, just delete it
- Case 2: If vertex to be deleted has just one child, replace it with that child
- Case 3: If vertex to be deleted has two children, then swap it with its successor

## Bottom-Up Deletion

- ▶ Do ordinary BST deletion. Eventually a "case 1" or "case 2" will be conducted. If deleted node, U, is a leaf, think of deletion as replacing with the NULL pointer, V. If U had one child, V, think of deletion as replacing U with V
- ▶ What can go wrong? If U is red? If U is black?

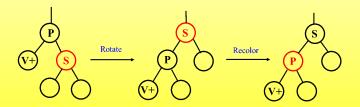
# Fixing the problem

- ► Think of V as having an extra unit of blackness. This extra blackness must be absorbed into the tree (by a red node), or propagated up to the root and out of the tree
- ► There are four cases our examples and rules assume that V is a left child. There are symmetric cases for V as a right child

# **Terminology**

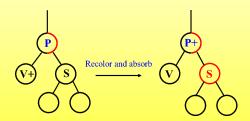
- ► The node just deleted was U
- ► The node that replaces it is V, which has an extra unit of blackness
- ► The parent of V is P
- ► The sibling of V is S

► Case 1: Vs sibling, S, is red



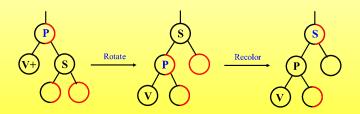
- ▶ NOT a terminal case One of the other cases will now apply
- All other cases apply when S is black

► Case 2: Vs sibling, S, is black and has two black children



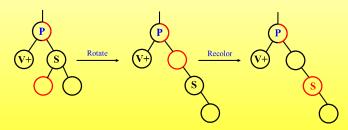
- Recolor S to be red
- P absorbs Vs extra blackness:
  - 1. If P is red, were done
  - 2. If P is black, it now has extra blackness and problem has been propagated up the tree

► Case 3: S is black, S's right child is red



- 1. Rotate S around P
  - 2. Swap colors of S and P, and color Ss right child black
- This is the terminal case were done

Case 4: S is black, Ss right child is black and Ss left child is red



- ▶ 1. Rotate Ss left child around S
  - 2. Swap color of S and Ss left child before rotation
  - 3. Now in case 3. e.g., V's sibling is black, which has a red right child.

## Augmenting Data Structures: Overview

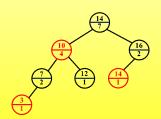
- ► A "textbook" data structure is enough in some situations
- Many others require a dash of creativity and it will suffice to augment a textbook data structure by storing additional information in it
- ► The added information must be updated and maintained by the ordinary operations on the data structure
- ► Then we can program new operations for the data structure to support the desired application

# Dynamic Order Statistics

- We want to augment red-black trees so that they can support fast order-statistic operations
- So introducing an augmenting data structure: order-statistic tree:
  - Besides the usual red-black tree fields key[x], color[x], p[x], left[x], and right[x] in a node x, it has additional information: field size[x]
  - 2. Size[x] is the number of (internal) nodes in the subtree rooted at x(including x itself)
  - 3. Size[x] = size[left[x]] + size[right[x]] + 1(size[nil[T]] = 0)

## Order-Statistic Tree - Example

- Keys need not to be distinct in an order-statistic tree
- In the presence of equal keys, it is well defined that the rank of an element is the position at which it would be printed in an inorder walk of the tree



## Retrieving an Element with a Given Rank i

OSSELECT(x, i) // return the i-th smallest element

```
    r ← size[left[x]] + 1
    if i = r then
    return x
    else if i < r then</li>
    return OSSELECT(left[x], i)
    else
    return OSSELECT(right[x], i - r)
```

► The running time of OSSELECT is O(log n) for a dynamic set of n elements

## Determining the Rank of an Element x in tree T

```
OSRANK(T, x)

1: r \leftarrow size[left[x]] + 1

2: y \leftarrow x

3: while y \neq root[T] do

4: if y = right[p[y]] then

5: r \leftarrow r + size[left[p[y]]] + 1

6: y \leftarrow p[y]

7: return r
```

► The running time of OSRANK is at worst proportional to the height of the tree: O(log n) on an n-node order-statistic tree

## Maintaining Subtree Sizes

- ► The *size* field in each node should be efficiently maintained by the basic modifying operations on red-black trees
- Insertion:
  - TREEINSERT: we simply increment size[x] for each node x on the path traversed from the root down toward the leaves. O (log n)
  - 2. Rotate: each rotation only have the sizefields of two nodes invalidated. O(1)
- How about deletion?

## How to Augment a Data Structure

- Augmenting a data structure can be broken into four steps:
  - 1. Choosing an underlying data structure
  - 2. Determining additional information to be maintained in the underlying data structure
  - Verifying that the additional information can be maintained for the basic modifying operations on the underlying data structure
  - 4. Developing new operations

## Augmenting a Red-Black Tree

- ▶ Let f be a field that augments a red-black tree T of n nodes, and suppose that the contents of f for a node x can be computed using only the information in nodes x, left[x], and right[x], including f [left[x]] and f [right[x]]. Then, we can maintain the values of f in all nodes of T during insertion and deletion without asymptotically affecting the O (log n) performance of these operations
- ► Proof?

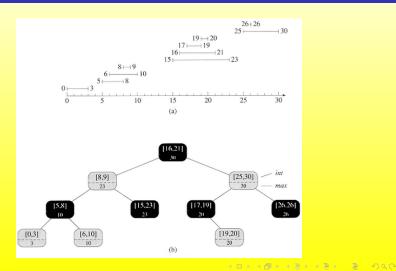
#### Interval Trees: Overview

- Represent an interval  $[t_1, t_2]$ , as an object i, with fields  $low[i] = t_1$  (the low endpoint) and  $high[i] = t_2$  (the high endpoint)
- ▶ Any two intervals *i* and *i'* satisfy the interval trichotomy, that is, exactly one of the following three properties holds:
  - 1. i and i' overlap
  - 2. *i* is to the left of *i* '
  - 3. i is to the right of i'
- An interval tree is a red-black tree that maintains a dynamic set of elements, with each element x containing an interval int[x]
- ▶ Interval trees support the following operations INTERVALINSERT(T, x), INTERVALDELETE(T, x), INTERVALSEARCH(T, i)

# Design of an Interval Tree

- Underlying Data Structure: Choose a red-black tree in which each node x contains an interval int[x] and the key of x is low[int[x]]
- Additional Information Each node x contains a value max[x], which is the maximum value of any interval endpoint stored in the subtree rooted at x
- Maintaining the Information max[x] = max(high[int[x]], max[left[x]], max[right[x]]) O(log n)
- ▶ Developing New Operations INTERVALSEARCH(T, i)

## Interval Tree - Example



### Interval Search

```
INTERVALSEARCH(T, i)
//Given interval i, return a node whose interval overlaps i, or it
returns nil [T] and the tree T contains no node whose interval
overlaps i
 1: x \leftarrow root[T]
 2: while x \neq nil[T] and i does not overlap int[x] do
      if left[x] \neq nil[T] and max[left[x]] \geq low[i] then
         x \leftarrow left[x]
    else
 5:
        x \leftarrow right[x]
 7: return x
```

# Analysis of Interval Search

- Time complexity
  - 1. The search for an interval that overlaps *i* starts with *x* at the root of the tree and proceeds downward
  - 2. Each iteration of the basic loop takes O(1) time. The height of an n-node red-black tree is  $O(\log n)$
  - 3. Thus, the IntervalSearch procedure takes O(log n) time