

# Algorithms and Datastructures

Balanced Trees (AVL-Trees, (a,b)-Trees, Red-Black-Trees)

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# Structure

## Balanced Trees

- Motivation

- AVL-Trees

- (a,b)-Trees

  - Introduction

  - Runtime Complexity

- Red-Black Trees

# Balanced Trees

## Motivation

**Binary search tree:**

# Balanced Trees

## Motivation

### Binary search tree:

- ▶ With `BinarySearchTree` we could perform an `lookup` or `insert` in  $O(d)$ , with  $d$  being the `depth` of the tree

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- ▶ Best case:  $d \in O(\log n)$ , keys are inserted randomly
- ▶ Worst case:  $d \in O(n)$ , keys are inserted in ascending / descending order  $(20, 19, 18, \dots)$

# Balanced Trees

## Motivation

**Gnarley trees:**

# Balanced Trees

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- ▶ <http://people.ksp.sk/~kuko/bak>





# Balanced Trees

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**Figure:** Binary search tree with random insert [Gna]

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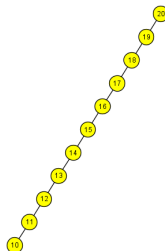


Figure: Binary search tree with descending insert [Gna]

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### Balanced trees:

- ▶ We do not want to rely on certain properties of our **key set**
- ▶ We explicitly want a depth of  $O(\log n)$
- ▶ We **rebalance** the tree from time to time

# Balanced Trees

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**How do we get a depth of  $O(\log n)$ ?**

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- ▶ Binary tree with “black” and “red” nodes
- ▶ Balancing through “rotation” and “recoloring”
- ▶ Can be interpreted as (2, 4)-tree
- ▶ Used in C++ `std::map` and Java `SortedMap`

# Structure

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(a,b)-Trees

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Runtime Complexity

Red-Black Trees

# Balanced Trees

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- ▶ Prevents degeneration of the search tree
- ▶ Height difference of left and right subtree is at maximum one
- ▶ With that the height of the search tree is always  $O(\log n)$
- ▶ We can perform all basic operations in  $O(\log n)$

# Balanced Trees

## AVL-Tree



Figure: Example of an AVL-Tree

# Balanced Trees

## AVL-Tree

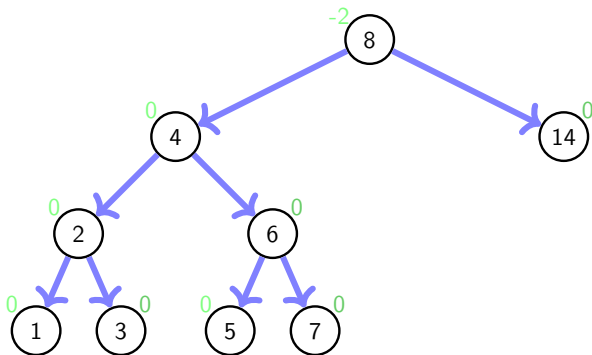


Figure: **Not** an AVL-Tree

# Balanced Trees

## AVL-Tree



Figure: Another example of an AVL-Tree

# Balanced Trees

## AVL-Tree - Rebalancing

**Rotation:**



Figure: Before rotating



Figure: After rotating

# Balanced Trees

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Figure: After rotating

- Central operation of **rebalancing**



# Balanced Trees

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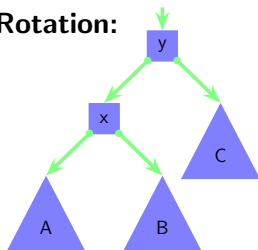


Figure: Before rotating



Figure: After rotating

- ▶ Central operation of **rebalancing**
- ▶ After rotation to the right:

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  - ▶ Subtree **A** is a layer higher and subtree **C** a layer lower

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**Rotation:**



Figure: Before rotating



Figure: After rotating

- ▶ Central operation of **rebalancing**
- ▶ After rotation to the right:
  - ▶ Subtree **A** is a layer higher and subtree **C** a layer lower
  - ▶ The parent child relations between nodes **x** and **y** have been swapped

# Balanced Trees

AVL-Tree - Rebalancing

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### **AVL-Tree:**

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- ▶ **Example:** `insert` of 1, 2, 3, ...

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## AVL-Tree - Rebalancing

### AVL-Tree:

- ▶ If a height difference of  $\pm 2$  occurs on an **insert** or **remove** operation the tree is rebalanced
- ▶ Many different cases of rebalancing
- ▶ **Example:** **insert** of 1, 2, 3, ...



Figure: Inserting 1, ..., 10 into an AVL-tree [Gna]

# Balanced Trees

## AVL-Tree - Summary

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- ▶ Historical the first search tree providing guaranteed `insert`, `remove` and `lookup` in  $O(\log n)$

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## AVL-Tree - Summary

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- ▶ However not amortized update costs of  $O(1)$
- ▶ Additional memory costs: We have to save a height difference for every node
- ▶ Better (and easier) to implement are **(a,b)**-trees

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## Balanced Trees

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AVL-Trees

**(a,b)-Trees**

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# $(a,b)$ -Trees

## Introduction

**$(a,b)$ -Tree:**



# (a,b)-Trees

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### (a,b)-Tree:

- ▶ Also known as **b-tree** (b for “balanced”)

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### **(a,b)-Tree:**

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### **Idea:**

# (a,b)-Trees

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# (a,b)-Trees

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### (a,b)-Tree:

- ▶ Also known as **b-tree** (b for “balanced”)
- ▶ Used in databases and file systems

### Idea:

- ▶ Save a varying number of elements per node
- ▶ So we have space for elements on an **insert** and balance operation

# $(a,b)$ -Trees

## Introduction

**$(a,b)$ -Tree:**

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### **$(a,b)$ -Tree:**

- ▶ All leaves have the same depth

# (a,b)-Trees

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### **(a,b)-Tree:**

- ▶ All leaves have the same depth
- ▶ Each inner node has  $\geq a$  and  $\leq b$  nodes  
(Only the root node may have less nodes)

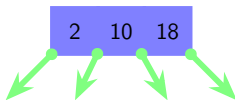


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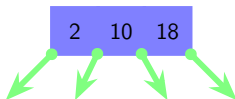


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- ▶ All leaves have the same depth
- ▶ Each inner node has  $\geq a$  and  $\leq b$  nodes  
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- ▶ Each node with  $n$  children is called “node of degree  $n$ ” and holds  $n - 1$  sorted elements

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- ▶ Subtrees are located “between” the elements

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- ▶ Each node with  $n$  children is called “node of degree  $n$ ” and holds  $n - 1$  sorted elements
- ▶ Subtrees are located “between” the elements
- ▶ We require:  $a \geq 2$  and  $b \geq 2a - 1$

# (a,b)-Trees

## Introduction

### (2,4)-Tree:

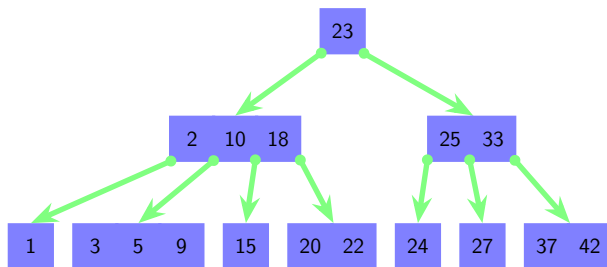


Figure: Example of an (2,4)-tree

# (a,b)-Trees

## Introduction

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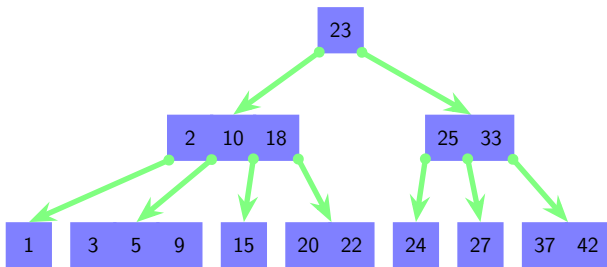


Figure: Example of an (2,4)-tree

- (2,4)-tree with depth of 3

# (a,b)-Trees

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### (2,4)-Tree:



Figure: Example of an (2,4)-tree

- ▶ (2,4)-tree with depth of 3
- ▶ Each node has between 2 and 4 children (1 to 3 elements)

# (a,b)-Trees

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**Not an (2,4)-Tree:**

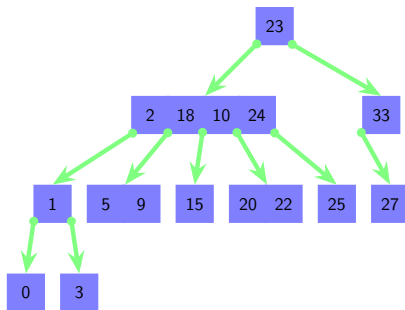


Figure: **Not** an (2,4)-tree



# (a,b)-Trees

## Introduction

**Not an (2,4)-Tree:**



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- Invalid sorting

# (a,b)-Trees

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- ▶ Invalid sorting
- ▶ Degree of node too large / too small

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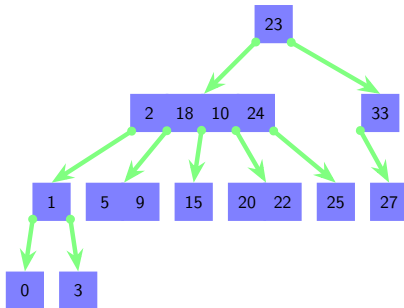


Figure: **Not** an (2,4)-tree

- ▶ Invalid sorting
- ▶ Degree of node too large / too small
- ▶ Leaves on different levels

# (a,b)-Trees

## Implementation - Lookup

**Searching an element:** (lookup)

# (a,b)-Trees

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- ▶ The same algorithm as in `BinarySearchTree`

# (a,b)-Trees

## Implementation - Lookup

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Figure: (3,5)-Tree [Gna]



# (a,b)-Trees

## Implementation - Insert

**Inserting an element:** (`insert`)

# (a,b)-Trees

## Implementation - Insert

**Inserting an element:** (`insert`)

- ▶ Search the position to insert the key into

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### Inserting an element: (`insert`)

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- ▶ This position will always be an leaf
- ▶ Insert the element into the tree

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- ▶ **Attention:** As a result node can overflow by one element (Degree  $b + 1$ )

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## Implementation - Insert

### Inserting an element: (`insert`)

- ▶ Search the position to insert the key into
- ▶ This position will always be an leaf
- ▶ Insert the element into the tree
- ▶ **Attention:** As a result node can overflow by one element (Degree  $b + 1$ )
- ▶ Then we **split** the node

# (a,b)-Trees

## Implementation - Insert

Inserting an element: (`insert`)



Figure: Splitting a node

# (a,b)-Trees

## Implementation - Insert

Inserting an element: (`insert`)



Figure: Splitting a node

- If the degree is higher than  $b + 1$  we split the node



# (a,b)-Trees

## Implementation - Insert

Inserting an element: (`insert`)



Figure: Splitting a node

- ▶ If the degree is higher than  $b + 1$  we split the node
- ▶ This results in a node with  $\text{ceil}(\frac{b-1}{2})$  elements, a node with  $\text{floor}(\frac{b-1}{2})$  elements and one element for the parent node

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## Implementation - Insert

Inserting an element: (`insert`)



Figure: Splitting a node

- ▶ If the degree is higher than  $b + 1$  we split the node
- ▶ This results in a node with  $\text{ceil}(\frac{b-1}{2})$  elements, a node with  $\text{floor}(\frac{b-1}{2})$  elements and one element for the parent node
- ▶ That's why we have the limit  $b \geq 2a - 1$

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## Implementation - Insert

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- ▶ If the degree is higher than  $b + 1$  we split the node
- ▶ Now the parent node can be of a higher degree than  $b + 1$
- ▶ We `split` the parent nodes the same way
- ▶ If we split the root node we create a new parent root node  
(The tree is now one level deeper)

# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (`remove`)



# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (`remove`)

- ▶ Search the element in  $O(\log n)$  time

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## Implementation - Remove

### Removing an element: (`remove`)

- ▶ Search the element in  $O(\log n)$  time
- ▶ **Case 1:** The element is contained by a leaf
  - ▶ Remove element

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- ▶ **Case 1:** The element is contained by a leaf
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- ▶ **Case 2:** The element is contained by an inner node

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  - ▶ Search the `successor` in the right subtree

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- ▶ **Case 1:** The element is contained by a leaf
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- ▶ **Case 2:** The element is contained by an inner node
  - ▶ Search the `successor` in the right subtree
  - ▶ The `successor` is always contained by a leaf

# (a,b)-Trees

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### Removing an element: (remove)

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- ▶ **Case 2:** The element is contained by an inner node
  - ▶ Search the **successor** in the right subtree
  - ▶ The **successor** is always contained by a leaf
  - ▶ Replace the element with its **successor** and delete the **successor** from the leaf

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- ▶ Search the element in  $O(\log n)$  time
- ▶ **Case 1:** The element is contained by a leaf
  - ▶ Remove element
- ▶ **Case 2:** The element is contained by an inner node
  - ▶ Search the **successor** in the right subtree
  - ▶ The **successor** is always contained by a leaf
  - ▶ Replace the element with its **successor** and delete the **successor** from the leaf
- ▶ **Attention:** The leaf might be too small (degree of  $a - 1$ )  
⇒ We **rebalance** the tree

# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (`remove`)



# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (remove)

- ▶ **Attention:** The leaf might be too small (degree of  $a - 1$ )  
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# $(a,b)$ -Trees

## Implementation - Remove

### Removing an element: (`remove`)

- ▶ **Attention:** The leaf might be too small (degree of  $a - 1$ )  
⇒ We `rebalance` the tree
  - ▶ **Case a:** If the left or right neighbour node has a degree `greater than a` we **borrow** one element from this node

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- **Attention:** The leaf might be too small (degree of  $a - 1$ )  
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Figure: Borrow an element

# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (`remove`)

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- ▶ **Attention:** The leaf might be too small (degree of  $a - 1$ )  
⇒ We **rebalance** the tree

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- ▶ **Attention:** The leaf might be too small (degree of  $a - 1$ )  
⇒ We **rebalance** the tree
  - ▶ **Case b:** We **merge** the node with its right or left neighbour

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- **Attention:** The leaf might be too small (degree of  $a - 1$ )  
⇒ We **rebalance** the tree
- **Case b:** We **merge** the node with its right or left neighbour



Figure: Merge two nodes

# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (`remove`)



# (a,b)-Trees

## Implementation - Remove

**Removing an element:** (remove)

- ▶ Now the parent node can be of degree  $a - 1$

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- ▶ Now the parent node can be of degree  $a - 1$
- ▶ We merge parent nodes the same way

# (a,b)-Trees

## Implementation - Remove

### Removing an element: (remove)

- ▶ Now the parent node can be of degree  $a - 1$
- ▶ We merge parent nodes the same way
- ▶ If the root has only a single child
  - ▶ Remove the root
  - ▶ Define sole child as new root
  - ▶ The tree shrinks by one level

# $(a,b)$ -Trees

## Runtime Complexity

**Runtime complexity of lookup, insert and remove:**

# (a,b)-Trees

## Runtime Complexity

**Runtime complexity of lookup, insert and remove:**

- ▶ All operations in  $O(d)$  with  $d$  being the depth of the tree

# (a,b)-Trees

## Runtime Complexity

**Runtime complexity of lookup, insert and remove:**

- ▶ All operations in  $O(d)$  with  $d$  being the depth of the tree
- ▶ Each node (except the root) has more than  $a$  children  
 $\Rightarrow n \geq a^{d-1}$  and  $d \leq 1 + \log_a n = O(\log_a n)$

# (a,b)-Trees

## Runtime Complexity

**Runtime complexity of lookup, insert and remove:**

- ▶ All operations in  $O(d)$  with  $d$  being the depth of the tree
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**In detail:**

# (a,b)-Trees

## Runtime Complexity

### Runtime complexity of **lookup**, **insert** and **remove**:

- ▶ All operations in  $O(d)$  with  $d$  being the depth of the tree
- ▶ Each node (except the root) has **more than  $a$  children**  
 $\Rightarrow n \geq a^{d-1}$  and  $d \leq 1 + \log_a n = O(\log_a n)$

### In detail:

- ▶ **lookup** always takes  $\Theta(d)$



# (a,b)-Trees

## Runtime Complexity

### Runtime complexity of lookup, insert and remove:

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### In detail:

- ▶ lookup always takes  $\Theta(d)$
- ▶ insert and remove often require only  $O(1)$  time

# (a,b)-Trees

## Runtime Complexity

### Runtime complexity of lookup, insert and remove:

- ▶ All operations in  $O(d)$  with  $d$  being the depth of the tree
- ▶ Each node (except the root) has more than  $a$  children  
 $\Rightarrow n \geq a^{d-1}$  and  $d \leq 1 + \log_a n = O(\log_a n)$

### In detail:

- ▶ **lookup** always takes  $\Theta(d)$
- ▶ **insert** and **remove** often require only  $O(1)$  time
- ▶ **Worst case:** **split** or **merge** all nodes on path up to the root

# (a,b)-Trees

## Runtime Complexity

### Runtime complexity of lookup, insert and remove:

- ▶ All operations in  $O(d)$  with  $d$  being the depth of the tree
- ▶ Each node (except the root) has more than  $a$  children  
 $\Rightarrow n \geq a^{d-1}$  and  $d \leq 1 + \log_a n = O(\log_a n)$

### In detail:

- ▶ lookup always takes  $\Theta(d)$
- ▶ insert and remove often require only  $O(1)$  time
- ▶ **Worst case:** split or merge all nodes on path up to the root
- ▶ Therefore instead of  $b \geq 2a - 1$  we need  $b \geq 2a$

# $(a,b)$ -Trees

Runtime Complexity - Counter-example for  $(2,3)$ -Tree

**Counter example  $(2,3)$ -Tree:**

# (a,b)-Trees

Runtime Complexity - Counter-example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Before executing `delete(11)`

# (a,b)-Trees

Runtime Complexity - Counter-example for (2,3)-Tree

## Counter example (2,3)-Tree:

- Before executing `delete(11)`

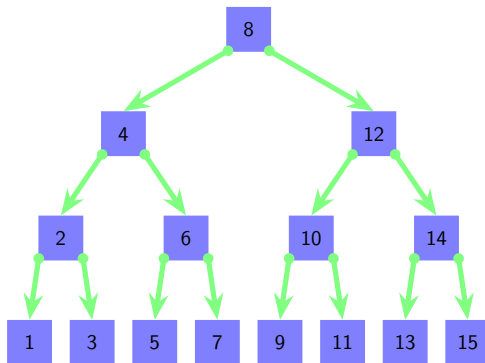


Figure: Normal (2,3)-Tree

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executing `delete(11)`



Figure: (2,3)-Tree - Delete step 1

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executing `delete(11)`

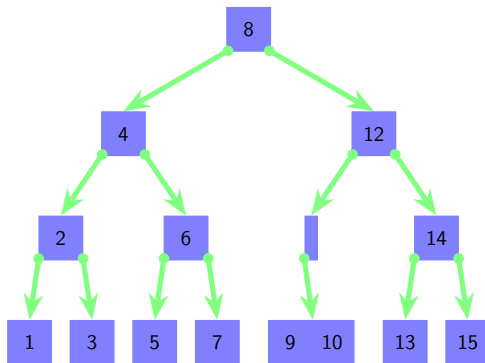


Figure: (2,3)-Tree - Delete step 2



# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executing `delete(11)`

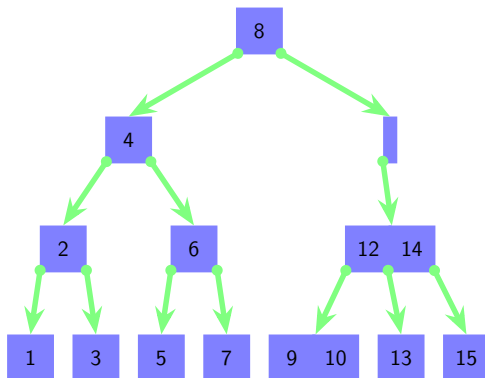


Figure: (2,3)-Tree - Delete step 3

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executed `delete(11)`

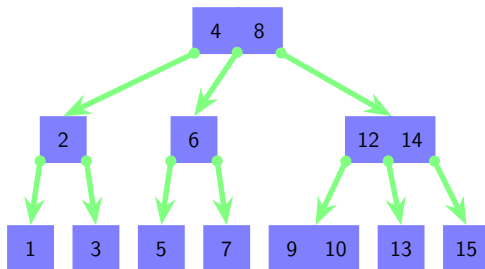


Figure: (2,3)-Tree - Delete step 4

# $(a,b)$ -Trees

Runtime Complexity - Counter example for  $(2,3)$ -Tree

## Counter example $(2,3)$ -Tree:

- ▶ Executing `insert(11)`

# $(a,b)$ -Trees

Runtime Complexity - Counter example for  $(2,3)$ -Tree

## Counter example $(2,3)$ -Tree:

- ▶ Executing `insert(11)`

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executing `insert(11)`



Figure: (2,3)-Tree - Insert step 1

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executing `insert(11)`

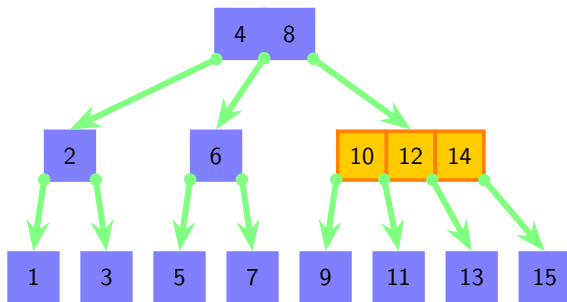


Figure: (2,3)-Tree - Insert step 2

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executing `insert(11)`



Figure: (2,3)-Tree - Insert step 3

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ Executed `insert(11)`

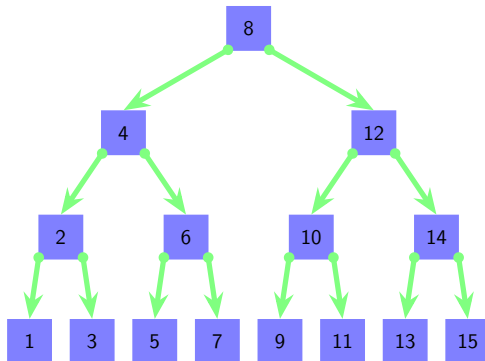


Figure: (2,3)-Tree - Insert step 4



# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- We are exactly where we started



Figure: (2,3)-Tree

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ We are exactly where we started
- ▶ If  $b = 2a - 1$  then we can create a sequence of **insert** and **remove** operations where each operation costs  $O(\log n)$

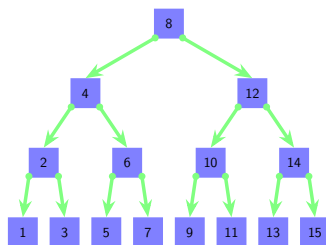


Figure: (2,3)-Tree

# (a,b)-Trees

Runtime Complexity - Counter example for (2,3)-Tree

## Counter example (2,3)-Tree:

- ▶ We are exactly where we started
- ▶ If  $b = 2a - 1$  then we can create a sequence of **insert** and **remove** operations where each operation costs  $O(\log n)$
- ▶ We need  $b \geq 2a$  instead of  $b \geq 2a - 1$

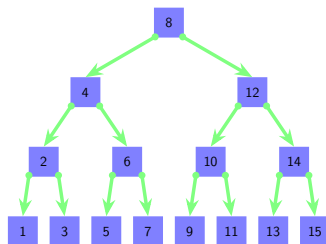


Figure: (2,3)-Tree

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**$(2,4)$ -Tree:**

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## (2,4)-Tree:

- ▶ If all nodes have 2 children we have to merge the nodes up to the root on a remove operation

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## (2,4)-Tree:

- ▶ If all nodes have 2 children we have to merge the nodes up to the root on a remove operation
- ▶ If all nodes have 4 children we have to split the nodes up to the root on a insert operation

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### (2,4)-Tree:

- ▶ If all nodes have 2 children we have to merge the nodes up to the root on a remove operation
- ▶ If all nodes have 4 children we have to split the nodes up to the root on a insert operation
- ▶ If all nodes have 3 children it takes some time to reach one of the previous two states

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### (2,4)-Tree:

- ▶ If all nodes have **2 children** we have to **merge** the nodes up to the root on a **remove** operation
- ▶ If all nodes have **4 children** we have to **split** the nodes up to the root on a **insert** operation
- ▶ If all nodes have **3 children** it takes some time to reach one of the previous two states

⇒ **Nodes of degree 3 are stable**

Neither an **insert** nor a **remove** operation trigger rebalancing operations



# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**$(2,4)$ -Tree:**

► **Idea:**

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

## **$(2,4)$ -Tree:**

- ▶ **Idea:**

- ▶ After an expensive operation the tree is in a stable state

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

## **$(2,4)$ -Tree:**

### ▶ **Idea:**

- ▶ After an expensive operation the tree is in a stable state
- ▶ It takes some time until the next expensive operation occurs

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### **(2,4)-Tree:**

- ▶ **Idea:**
  - ▶ After an expensive operation the tree is in a stable state
  - ▶ It takes some time until the next expensive operation occurs
- ▶ Like with dynamic arrays:

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## (2,4)-Tree:

- ▶ **Idea:**
  - ▶ After an expensive operation the tree is in a stable state
  - ▶ It takes some time until the next expensive operation occurs
- ▶ Like with dynamic arrays:
  - ▶ **Reallocation** is expensive but it takes some time until the next expensive operation occurs

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## (2,4)-Tree:

- ▶ **Idea:**
  - ▶ After an expensive operation the tree is in a stable state
  - ▶ It takes some time until the next expensive operation occurs
- ▶ Like with dynamic arrays:
  - ▶ **Reallocation** is expensive but it takes some time until the next expensive operation occurs
  - ▶ If we **overallocate** clever we have an amortized runtime of  $O(1)$

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

## **Terminology:**

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

## Terminology:

- ▶ We analyze a sequence of  $n$  operations



# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## Terminology:

- ▶ We analyze a sequence of  $n$  operations
- ▶ Let  $\Phi_i$  be the potential of the tree after the  $i$ -th operation

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## Terminology:

- ▶ We analyze a sequence of  $n$  operations
- ▶ Let  $\Phi_i$  be the potential of the tree after the  $i$ -th operation
- ▶  $\Phi_i$  = the number of stable nodes with degree 3

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### Terminology:

- ▶ We analyze a sequence of  $n$  operations
- ▶ Let  $\Phi_i$  be the potential of the tree after the  $i$ -th operation
- ▶  $\Phi_i$  = the number of stable nodes with degree 3
- ▶ Empty tree has 0 nodes:  $\Phi = 0$

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**Example:**

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

## **Example:**

- ▶ Nodes of degree 3 are highlighted

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

## Example:

- Nodes of degree 3 are highlighted



Figure: Tree with potential  $\phi = 4$

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

## **Terminology:**

# $(a,b)$ -Trees

## Runtime Complexity - $(2,4)$ -Tree

### Terminology:

- ▶ Let  $c_i$  be the costs = runtime of the  $i$ -th operation



# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### Terminology:

- ▶ Let  $c_i$  be the costs = runtime of the  $i$ -th operation
- ▶ We will show:

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### Terminology:

- ▶ Let  $c_i$  be the costs = runtime of the  $i$ -th operation
- ▶ We will show:
  - ▶ Each operation can at most destroy one stable node

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### Terminology:

- ▶ Let  $c_i$  be the costs = runtime of the  $i$ -th operation
- ▶ We will show:
  - ▶ Each operation can at most destroy one stable node
  - ▶ For each cost incurring step the operation creates an additional stable node

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### Terminology:

- ▶ Let  $c_i$  be the costs = runtime of the  $i$ -th operation
- ▶ We will show:
  - ▶ Each operation can at most destroy one stable node
  - ▶ For each cost incurring step the operation creates an additional stable node
- ▶ The costs for operation  $i$  are coupled to the difference of the potential levels

$$c_i \leq A \cdot \underbrace{(\Phi_i - \Phi_{i-1})} + B, \quad A > 0 \text{ and } B > A$$

Number of gained stable nodes (degree 3)  $\geq -1$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

### Terminology:

- ▶ Let  $c_i$  be the costs = runtime of the  $i$ -th operation
- ▶ We will show:
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  - ▶ For each cost incurring step the operation creates an additional stable node
- ▶ The costs for operation  $i$  are coupled to the difference of the potential levels

$$c_i \leq A \cdot (\underbrace{\Phi_i - \Phi_{i-1}}_{\text{degree 3}}) + B, \quad A > 0 \text{ and } B > A$$

Number of gained stable nodes (degree 3)  $\geq -1$

- ▶ Each operation has an amortized cost of  $O(1)$  summing up to  $O(n)$  in total

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an `insert` operation on a full node

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node



Figure: Splitting a node on **insert**

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node

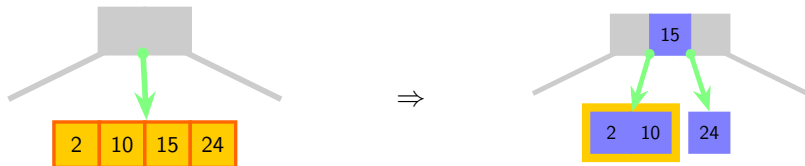


Figure: Splitting a node on **insert**

- Each splitted node creates a node of **degree 3**



# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node



Figure: Splitting a node on **insert**

- ▶ Each splitted node creates a node of **degree 3**
- ▶ The parent node receives an element from the splitted node

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node



Figure: Splitting a node on **insert**

- ▶ Each splitted node creates a node of **degree 3**
- ▶ The parent node receives an element from the splitted node
- ▶ If the parent node is also full we have to split it too

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an `insert` operation on a full node

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an `insert` operation on a full node

- ▶ Let  $m$  be the number of nodes split

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node

- ▶ Let  $m$  be the number of nodes split
- ▶ The potential rises by  $m$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node

- ▶ Let  $m$  be the number of nodes split
- ▶ The potential rises by  $m$
- ▶ If the “stop-node” is of **degree 3** then the potential goes down by one

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node

- ▶ Let  $m$  be the number of nodes split
- ▶ The potential rises by  $m$
- ▶ If the “stop-node” is of **degree 3** then the potential goes down by one

$$\begin{aligned}\Phi_i &\geq \Phi_{i-1} + m - 1 \\ \Rightarrow m &\leq \Phi_i - \Phi_{i-1} + 1\end{aligned}$$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 1:**  $i$ -th operation is an **insert** operation on a full node

- ▶ Let  $m$  be the number of nodes split
- ▶ The potential rises by  $m$
- ▶ If the “stop-node” is of **degree 3** then the potential goes down by one

$$\begin{aligned}\Phi_i &\geq \Phi_{i-1} + m - 1 \\ \Rightarrow m &\leq \Phi_i - \Phi_{i-1} + 1\end{aligned}$$

Costs:  $c_i \leq A \cdot m + B$

$$\begin{aligned}\Rightarrow c_i &\leq A \cdot (\Phi_i - \Phi_{i-1} + 1) + B \\ c_i &\leq A \cdot (\Phi_i - \Phi_{i-1}) + \underbrace{A + B}_{B'}\end{aligned}$$



# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**Case 2:**  $i$ -th operation is an **remove** operation

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.1:** Inner node

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Inner node

- ▶ Searching the successor in a tree is  $O(d) = O(\log n)$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.1:** Inner node

- Searching the successor in a tree is  $O(d) = O(\log n)$
- Normally the tree is coupled with a doubly linked list  
⇒ We can find the successor in  $O(1)$

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.1:** Inner node

- Searching the successor in a tree is  $O(d) = O(\log n)$
- Normally the tree is coupled with a doubly linked list  
⇒ We can find the successor in  $O(1)$

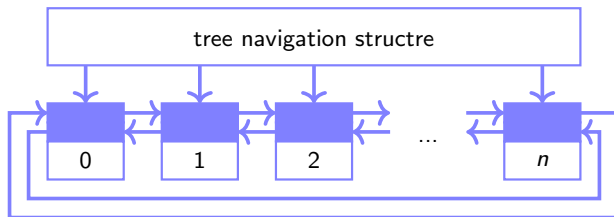


Figure: Tree with doubly linked list

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**Case 2:**  $i$ -th operation is an **remove** operation

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node
  - ▶ Creates no additional operations



# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node
  - ▶ Creates no additional operations
  - ▶ Case 2.1.1: Potential rises by one

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node
  - ▶ Creates no additional operations
  - ▶ Case 2.1.1: Potential rises by one



Figure: Case 2.1.1: Borrow an element

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**Case 2:**  $i$ -th operation is an **remove** operation

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node
  - ▶ Creates no additional operations

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.1:** Borrow a node
  - ▶ Creates no additional operations
  - ▶ Case 2.1.2: Potential is lowered by one

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.1:** Borrow a node

- Creates no additional operations
- Case 2.1.2: Potential is lowered by one



Figure: Case 2.1.2: Borrow an element

# $(a,b)$ -Trees

Runtime Complexity -  $(2,4)$ -Tree

**Case 2:**  $i$ -th operation is an **remove** operation



# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

- ▶ **Case 2.2:** Merging two node

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.2:** Merging two node



Figure: Merging two nodes

► Potential rises by one

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

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Figure: Merging two nodes

- Potential rises by one
- Parent node has one element less after the operation

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.2:** Merging two nodes

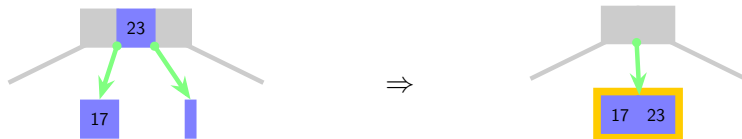


Figure: Merging two nodes

- Potential rises by one
- Parent node has one element less after the operation
- This operation propagates upwards until a node of degree  $> 2$  or a node of degree 2, which can borrow from a neighbour

# (a,b)-Trees

Runtime Complexity - (2,4)-Tree

**Case 2:** *i*-th operation is an **remove** operation

► **Case 2.2:** Merging two node

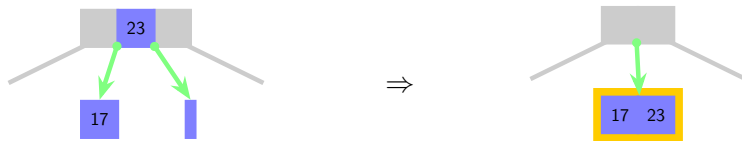


Figure: Merging two nodes

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

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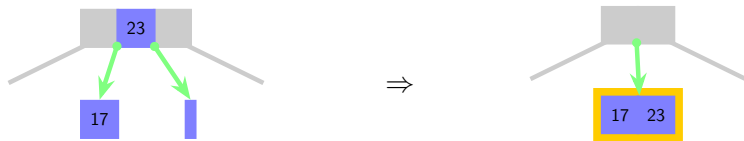


Figure: Merging two nodes

► The potential rises by  $m$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.2:** Merging two node

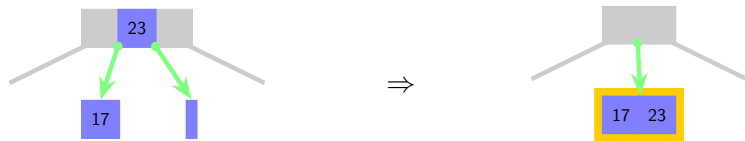


Figure: Merging two nodes

- The potential rises by  $m$
- If the “stop-node” is of **degree 2** then the potential eventually goes down by one

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree

**Case 2:**  $i$ -th operation is an **remove** operation

► **Case 2.2:** Merging two node



Figure: Merging two nodes

- The potential rises by  $m$
- If the “stop-node” is of **degree 2** then the potential eventually goes down by one
- Same costs as **insert**



# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree - Lemma

**Lemma:**

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree - Lemma

### Lemma:

- We know:

$$c_i \leq A \cdot (\Phi_i - \Phi_{i-1}) + B, \quad A > 0 \text{ and } B > A$$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree - Lemma

### Lemma:

- ▶ We know:

$$c_i \leq A \cdot (\Phi_i - \Phi_{i-1}) + B, \quad A > 0 \text{ and } B > A$$

- ▶ With that we can conclude:

$$\sum_{i=0}^n c_i \in O(n)$$

# (a,b)-Trees

## Runtime Complexity - (2,4)-Tree - Lemma - Proof

**Proof:**

$$\sum_{i=0}^n c_i \leq \underbrace{A \cdot (\phi_1 - \phi_0) + B}_{\leq c_1} + \underbrace{A \cdot (\phi_2 - \phi_1) + B}_{\leq c_2} + \cdots + \underbrace{A \cdot (\phi_n - \phi_{n-1})}_{\leq c_n}$$

$$= A \cdot (\phi_n - \phi_0) + B \cdot n \quad | \text{ telescope sum}$$

$$= A \cdot \phi_n + B \cdot n \quad | \text{ we start with an empty tree}$$

$$< A \cdot n + B \cdot n \in O(n) \quad | \text{ number of degree 3 nodes}$$

i number of nodes

# Structure

## Balanced Trees

Motivation

AVL-Trees

(a,b)-Trees

Introduction

Runtime Complexity

Red-Black Trees

# Red-Black-Trees

## Introduction

### **Red-Black Tree:**

# Red-Black-Trees

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### **Red-Black Tree:**

- ▶ Binary tree with red and black nodes

# Red-Black-Trees

## Introduction

### **Red-Black Tree:**

- ▶ Binary tree with red and black nodes
- ▶ Number of black nodes on path to leaves is equal



# Red-Black-Trees

## Introduction

### Red-Black Tree:

- ▶ Binary tree with red and black nodes
- ▶ Number of black nodes on path to leaves is equal
- ▶ Can be interpreted as (2,4)-tree (also named 2-3-4-tree)

# Red-Black-Trees

## Introduction

### Red-Black Tree:

- ▶ Binary tree with red and black nodes
- ▶ Number of black nodes on path to leaves is equal
- ▶ Can be interpreted as (2,4)-tree (also named 2-3-4-tree)
- ▶ Each (2,4)-tree-node is a small red-black-tree with a black root node

# Red-Black-Trees

## Introduction

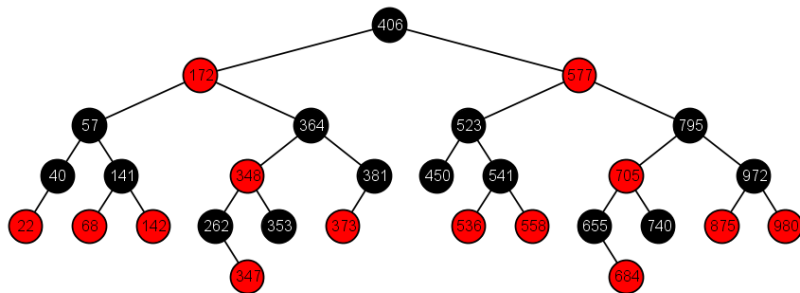


Figure: Example of an red-black-tree [Gna]

## ► General

[CRL01] Thomas H. Cormen, Ronald L. Rivest, and Charles E. Leiserson.

*Introduction to Algorithms.*

MIT Press, Cambridge, Mass, 2001.

[MS08] Kurt Mehlhorn and Peter Sanders.

Algorithms and data structures, 2008.

<https://people.mpi-inf.mpg.de/~mehlhorn/ftp/Mehlhorn-Sanders-Toolbox.pdf>.

## ► Gnarley Trees

[Gna] Gnarley Trees

<https://people.ksp.sk/~kuko/gnarley-trees/>

► **AVL-Tree**

[Wik] [AVL tree](#)

[https://en.wikipedia.org/wiki/AVL\\_tree](https://en.wikipedia.org/wiki/AVL_tree)

► **(a,b)-Tree**

[Wika] [2-3-4 tree](#)

[https://en.wikipedia.org/wiki/2%E2%80%933%E2%80%934\\_tree](https://en.wikipedia.org/wiki/2%E2%80%933%E2%80%934_tree)

[Wikb] [\(a,b\)-tree](#)

[https://en.wikipedia.org/wiki/\(a,b\)-tree](https://en.wikipedia.org/wiki/(a,b)-tree)

## ► Red-Black-Tree

[Wik] [Red-black tree](https://en.wikipedia.org/wiki/Red%E2%80%93black_tree)

`https://en.wikipedia.org/wiki/Red%E2%80%93black\_tree`