# Week 04a: Search Tree Algorithms

Tree Review

### Binary search trees ...

- data structures designed for  $O(\log n)$  search
- consist of nodes containing item (incl. key) and two links
- can be viewed as recursive data structure (subtrees)
- have overall ordering (data(Left) < root < data(Right))</li>
- insert new nodes as leaves (or as root), delete from anywhere
- have structure determined by insertion order (worst: O(n))
- operations: insert, delete, search, ...

# **Balanced BSTs**

# **Balanced Binary Search Trees**

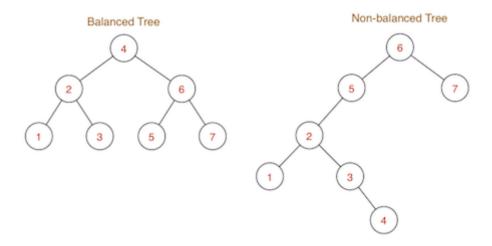
3/86

Goal: build binary search trees which have

• minimum height ⇒ minimum worst case search cost

Best balance you can achieve for tree with *N* nodes:

- abs(#nodes(LeftSubtree) #nodes(RightSubtree)) ≤ 1, for every node
- height of  $log_2N \Rightarrow$  worst case search O(log N)



Three *strategies* to improving worst case search in BSTs:

- randomise reduce chance of worst-case scenario occuring
- amortise do more work at insertion to make search faster
- optimise implement all operations with performance bounds

# **Operations for Rebalancing**

4/86

To assist with rebalancing, we consider new operations:

#### Left rotation

• move right child to root; rearrange links to retain order

#### Right rotation

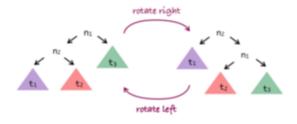
• move left child to root; rearrange links to retain order

#### Insertion at root

• each new item is added as the new root node

Tree Rotation 5/86

In tree below:  $t_1 < n_2 < t_2 < n_1 < t_3$ 



... Tree Rotation 6/86

Method for rotating tree T right:

- N<sub>1</sub> is current root; N<sub>2</sub> is root of N<sub>1</sub>'s left subtree
- N<sub>1</sub> gets new left subtree, which is N<sub>2</sub>'s right subtree
- N<sub>1</sub> becomes root of N<sub>2</sub>'s new right subtree
- N<sub>2</sub> becomes new root

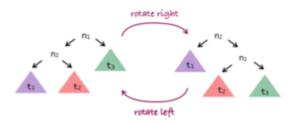
Left rotation: swap left/right in the above.

Cost of tree rotation: O(1)

... Tree Rotation 7/86

Algorithm for right rotation:

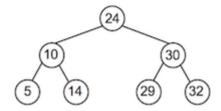
```
right(n_2)=n_1
return n_2
```



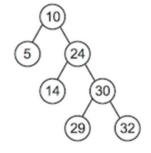
# **Exercise #1: Tree Rotation**

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## Consider the tree t:



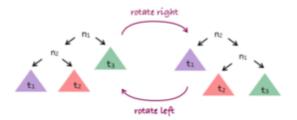
# Show the result of rotateRight(t)



# **Exercise #2: Tree Rotation**

10/86

# Write the algorithm for left rotation



```
return n<sub>2</sub>
end if
n<sub>1</sub>=right(n<sub>2</sub>)
right(n<sub>2</sub>)=left(n<sub>1</sub>)
left(n<sub>1</sub>)=n<sub>2</sub>
return n<sub>1</sub>
```

Insertion at Root

Previous description of BSTs inserted at leaves.

Different approach: insert new item at root.

Potential disadvantages:

• large-scale rearrangement of tree for each insert

Potential advantages:

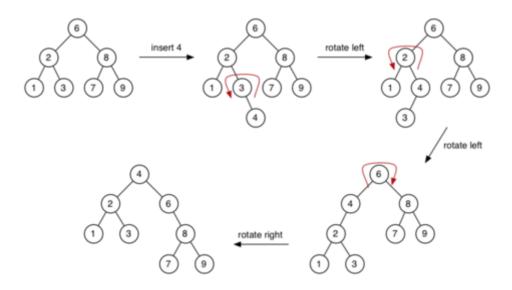
- recently-inserted items are close to root
- low cost if recent items more likely to be searched

... Insertion at Root

Method for inserting at root:

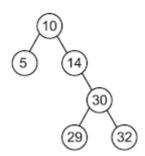
- base case:
  - o tree is empty; make new node and make it root
- recursive case:
  - o insert new node as root of appropriate subtree
  - lift new node to root by rotation

... Insertion at Root

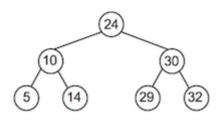


## **Exercise #3: Insertion at Root**

#### Consider the tree t:



Show the result of insertAtRoot(t, 24)



... Insertion at Root

Analysis of insertion-at-root:

- same complexity as for insertion-at-leaf: O(height)
- tendency to be balanced, but no balance guarantee
- benefit comes in searching
  - o for some applications, search favours recently-added items
  - o insertion-at-root ensures these are close to root
- could even consider "move to root when found"
  - effectively provides "self-tuning" search tree

# **Rebalancing Trees**

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An approach to balanced trees:

- insert into leaves as for simple BST
- periodically, rebalance the tree

Question: how frequently/when/how to rebalance?

```
NewTreeInsert(tree,item):
```

```
Input tree, item
Output tree with item randomly inserted

t=insertAtLeaf(tree,item)
if #nodes(t) mod k = 0 then
    t=rebalance(t)
end if
return t
```

E.g. rebalance after every 20 insertions  $\Rightarrow$  choose k=20

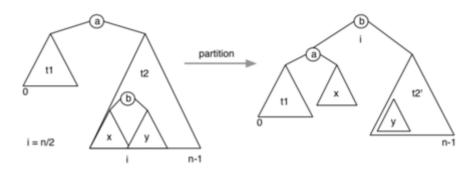
Note: To do this efficiently we would need to change tree data structure and basic operations:

```
typedef struct Node {
  int data;
  int nnodes;  // #nodes in my tree
  Tree left, right; // subtrees
} Node;
```

# ... Rebalancing Trees

19/86

How to rebalance a BST? Move median item to root.



# ... Rebalancing Trees

20/86

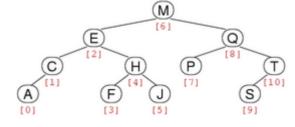
Implementation of rebalance:

## ... Rebalancing Trees

21/86

New operation on trees:

• partition(tree, i): re-arrange tree so that element with index i becomes root

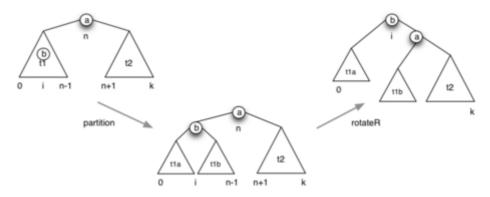


For tree with N nodes, indices are 0 ... N-1

## ... Rebalancing Trees

22/86

Partition: moves *i* <sup>th</sup> node to root



... Rebalancing Trees 23/86

Implementation of partition operation:

```
partition(tree,i):
    Input tree with n nodes, index i
    Output tree with item #i moved to the root

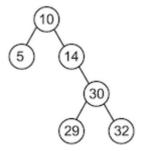
    m=#nodes(left(tree))
    if i < m then
        left(tree)=partition(left(tree),i)
        tree=rotateRight(tree)

    else if i > m then
        right(tree)=partition(right(tree),i-m-1)
        tree=rotateLeft(tree)
    end if
    return tree
```

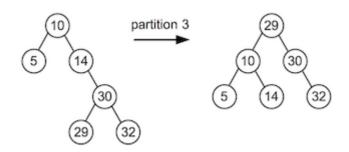
Note: size(tree) = n, size(left(tree)) = m, size(right(tree)) = n-m-1 (why -1?)

Exercise #4: Partition 24/86

Consider the tree t:



Show the result of partition (t,3)



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# ... Rebalancing Trees

Analysis of rebalancing: visits every node  $\Rightarrow O(N)$ 

Cost means not feasible to rebalance after each insertion.

When to rebalance? ... Some possibilities:

- after every *k* insertions
- whenever "imbalance" exceeds threshold

Either way, we tolerate worse search performance for periods of time.

Does it solve the problem? ... Not completely ⇒ Solution: real balanced trees (later)

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# **Randomised BST Insertion**

27/86

Effects of order of insertion on BST shape:

- best case (for at-leaf insertion): keys inserted in pre-order (median key first, then median of lower half, median of upper half, etc.)
- worst case: keys inserted in ascending/descending order
- average case: keys inserted in random order  $\Rightarrow O(\log_2 n)$

Tree ADT has no control over order that keys are supplied.

Can the algorithm itself introduce some *randomness*?

In the hope that this randomness helps to balance the tree ...

#### ... Randomised BST Insertion

28/86

How can a computer pick a number at random?

• it cannot

Software can only produce *pseudo random numbers*.

- a pseudo random number is one that is predictable
  - (although it may appear unpredictable)
- $\Rightarrow$  implementation may deviate from expected theoretical behaviour
  - (more on this in week 10)

# ... Randomised BST Insertion

29/86

• Pseudo random numbers in C:

rand() // generates random numbers in the range 0 .. RAND\_MAX

where the constant RAND\_MAX is defined in stdlib.h (depends on the computer: on the CSE network, RAND\_MAX = 2147483647)

To convert the return value of rand() to a number between 0 .. RANGE

compute the remainder after division by RANGE+1

## ... Randomised BST Insertion

30/86

Approach: normally do leaf insert, randomly do root insert.

```
insertRandom(tree,item)
    Input tree, item
    Output tree with item randomly inserted

if tree is empty then
    return new node containing item
end if

// p/q chance of doing root insert
if random number mod q
```

E.g. 30% chance  $\Rightarrow$  choose p=3, q=10

## ... Randomised BST Insertion

31/86

Cost analysis:

- similar to cost for inserting keys in random order:  $O(\log_2 n)$
- does not rely on keys being supplied in random order

Approach can also be applied to deletion:

- standard method promotes inorder successor to root
- for the randomised method ...
  - promote inorder successor from right subtree, OR
  - promote inorder predecessor from left subtree

# **Splay Trees**

Splay Trees

A kind of "self-balancing" tree ...

Splay tree insertion modifies insertion-at-root method:

- by considering parent-child-granchild (three level analysis)
- by performing double-rotations based on p-c-g orientation

The idea: appropriate double-rotations improve tree balance.

... Splay Trees

Splay tree implementations also do *rotation-in-search*:

• by performing double-rotations also when searching

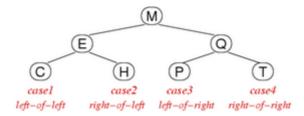
The idea: provides similar effect to periodic rebalance.

⇒ improves balance but makes search more expensive

# ... Splay Trees

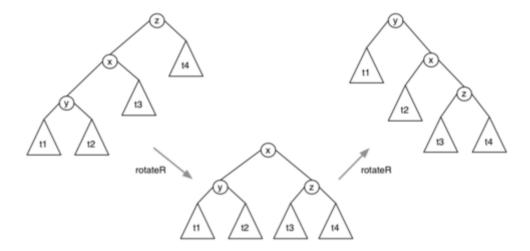
Cases for splay tree double-rotations:

- case 1: grandchild is left-child of left-child ⇒ double right rotation from top
- case 2: grandchild is right-child of left-child
- case 3: grandchild is left-child of right-child
- case 4: grandchild is right-child of right-child ⇒ double left rotation from top



... Splay Trees

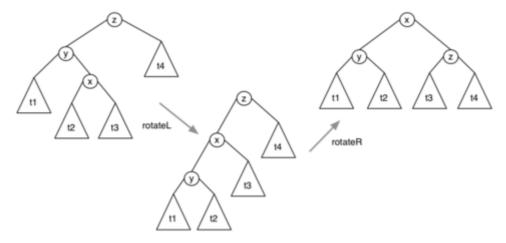
Double-rotation case for left-child of left-child ("zig-zig"):



Note: both rotations at the root (unlike insertion-at-root)

... Splay Trees

Double-rotation case for right-child of left-child ("zig-zag"):



Note: rotate subtree first (like insertion-at-root)

... Splay Trees

Algorithm for splay tree insertion:

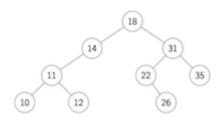
```
insertSplay(tree,item):
   Input tree, item
   Output tree with item splay-inserted
   if tree is empty then return new node containing item
   else if item=data(tree) then return tree
   else if item<data(tree) then</pre>
      if left(tree) is empty then
         left(tree)=new node containing item
      else if item<data(left(tree)) then</pre>
            // Case 1: left-child of left-child "zig-zig"
         left(left(tree))=insertSplay(left(left(tree)),item)
         tree=rotateRight(tree)
      else if item>data(left(tree)) then
            // Case 2: right-child of left-child "zig-zag"
         right(left(tree))=insertSplay(right(left(tree)),item)
         left(tree)=rotateLeft(left(tree))
      end if
      return rotateRight(tree)
            // item>data(tree)
   else
      if right(tree) is empty then
         right(tree) = new node containing item
      else if item<data(right(tree)) then</pre>
            // Case 3: left-child of right-child "zag-zig"
         left(right(tree))=insertSplay(left(right(tree)),item)
         right(tree)=rotateRight(right(tree))
      else if item>data(right(tree)) then
            // Case 4: right-child of right-child "zag-zag"
         right(right(tree))=insertSplay(right(right(tree)),item)
         tree=rotateLeft(tree)
      end if
      return rotateLeft(tree)
   end if
```

## **Exercise #5: Splay Trees**

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Insert 18 into this splay tree:





... Splay Trees

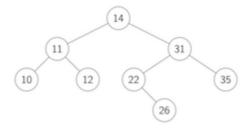
Searching in splay trees:

where splay() is similar to insertSplay(),
except that it doesn't add a node ... simply moves item to root if found, or nearest node if not found

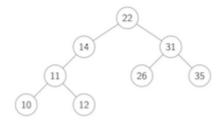
# **Exercise #6: Splay Trees**

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If we search for 22 in the splay tree



... how does this affect the tree?



... Splay Trees

Why take into account both child and grandchild?

- moves accessed node to the root
- moves every ancestor of accessed node roughly halfway to the root
- ⇒ better amortized cost than insert-at-root

... Splay Trees

Analysis of splay tree performance:

- assume that we "splay" for both insert and search
- consider: *m* insert+search operations, *n* nodes
- Theorem. Total number of comparisons: average  $O((n+m) \cdot log(n+m))$

Gives good overall (amortized) cost.

- insert cost not significantly different to insert-at-root
- search cost increases, but ...
  - improves balance on each search
  - moves frequently accessed nodes closer to root

But ... still has worst-case search cost O(n)

# **Real Balanced Trees**

# **Better Balanced Binary Search Trees**

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So far, we have seen ...

- randomised trees ... make poor performance unlikely
- occasional rebalance ... fix balance periodically
- splay trees ... reasonable amortized performance
- but both types still have O(n) worst case

Ideally, we want both average/worst case to be  $O(\log n)$ 

- AVL trees ... fix imbalances as soon as they occur
- 2-3-4 trees ... use varying-sized nodes to assist balance
- red-black trees ... isomorphic to 2-3-4, but binary nodes

# **AVL Trees**

AVL Trees 49/86

Invented by Georgy Adelson-Velsky and Evgenii Landis

Approach:

- insertion (at leaves) may cause imbalance
- repair balance as soon as we notice imbalance
- repairs done locally, not by overall tree restructure

#### A tree is unbalanced when: abs(height(left)-height(right)) > 1

This can be repaired by at most two rotations:

- if left subtree too deep ...
  - if data inserted in left-right grandchild ⇒ left-rotate left subtree
  - o rotate right
- if right subtree too deep ...
  - o if data inserted in right-left grandchild ⇒ right-rotate right subtree
  - rotate left

Problem: determining height/depth of subtrees may be expensive.

... AVL Trees 50/86

Implementation of AVL insertion

```
insertAVL(tree,item):
   Input tree, item
   Output tree with item AVL-inserted
   if tree is empty then
      return new node containing item
   else if item=data(tree) then
      return tree
   else
      if item<data(tree) then</pre>
         left(tree)=insertAVL(left(tree),item)
      else if item>data(tree) then
         right(tree)=insertAVL(right(tree),item)
      if height(left(tree))-height(right(tree)) > 1 then
         if item>data(left(tree)) then
            left(tree)=rotateLeft(left(tree))
         end if
         tree=rotateRight(tree)
      else if height(right(tree))-height(left(tree)) > 1 then
         if item<data(right(tree)) then</pre>
            right(tree)=rotateRight(right(tree))
         end if
         tree=rotateLeft(tree)
      end if
      return tree
   end if
```

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#### Insert 27 into the AVL tree





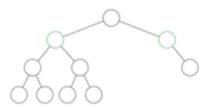
What would happen if you now insert 28?

You may like the animation at www.cs.usfca.edu/~galles/visualization/AVLtree.html

... AVL Trees 53/86

Analysis of AVL trees:

- trees are *height*-balanced; subtree depths differ by +/-1
- average/worst-case search performance of  $O(\log n)$
- require extra data to be stored in each node ("height")
- may not be weight-balanced; subtree sizes may differ

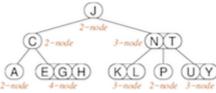


# **2-3-4 Trees**

**2-3-4 Trees** 55/86

#### 2-3-4 trees have three kinds of nodes

- 2-nodes, with two children (same as normal BSTs)
- 3-nodes, two values and three children
- 4-nodes, three values and four children



... 2-3-4 Trees 56/86

2-3-4 trees are ordered similarly to BSTs



In a balanced 2-3-4 tree:

• all leaves are at same distance from the root

2-3-4 trees grow "upwards" by splitting 4-nodes.

```
... 2-3-4 Trees 57/86
```

Possible 2-3-4 tree data structure:

... 2-3-4 Trees 58/86

Searching in 2-3-4 trees:

```
Search(tree,item):
```

```
Input tree, item
Output address of item if found in 2-3-4 tree
       NULL otherwise
if tree is empty then
   return NULL
else
   i=0
   while i<tree.order-1 and item>tree.data[i] do
      i=i+1
              // find relevant slot in data[]
   end while
   if item=tree.data[i] then
                                // item found
      return address of tree.data[i]
              // keep looking in relevant subtree
      return Search(tree.child[i],item)
   end if
end if
```

... 2-3-4 Trees 59/86

2-3-4 tree searching cost analysis:

- as for other trees, worst case determined by height h
- 2-3-4 trees are always balanced  $\Rightarrow$  height is  $O(\log n)$

- worst case for height: all nodes are 2-nodes same case as for balanced BSTs, i.e.  $h \approx log_2 n$
- best case for height: all nodes are 4-nodes balanced tree with branching factor 4, i.e.  $h = log_4 n$

# **Insertion into 2-3-4 Trees**

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Starting with the root node:

## repeat

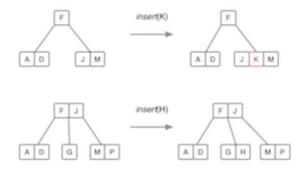
- if current node is full (i.e. contains 3 items)
  - split into two 2-nodes
  - o promote middle element to parent
    - if no parent  $\Rightarrow$  middle element becomes the new root 2-node
  - o go back to parent node
- if current node is a leaf
  - insert Item in this node, order++
- if current node is not a leaf
  - o go to child where Item belongs

until Item inserted

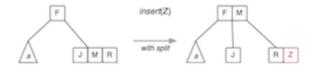
### ... Insertion into 2-3-4 Trees

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Insertion into a 2-node or 3-node:



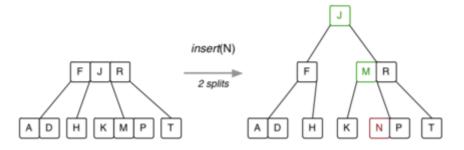
Insertion into a 4-node (requires a split):



## ... Insertion into 2-3-4 Trees

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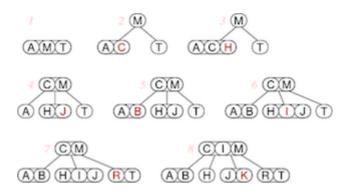
Splitting the root:



#### ... Insertion into 2-3-4 Trees

63/86

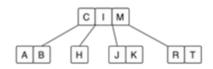
Building a 2-3-4 tree ... 7 insertions:

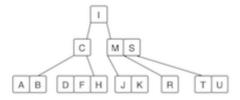


#### Exercise #8: Insertion into 2-3-4 Tree

64/86

Show what happens when D, S, F, U are inserted into this tree:





## ... Insertion into 2-3-4 Trees

66/86

Insertion algorithm:

```
else
         insert promote, nodeL, nodeR into parent
         increment parent.order
      end if
      node=parent
   end if
   if node is a leaf then
      insert item into node
      increment node.order
   else
      parent=node
      if item<node.data[0] then</pre>
         node=node.child[0]
      else if item<node.data[1] then
         node=node.child[1]
         node=node.child[2]
      end if
   end if
until item inserted
```

## ... Insertion into 2-3-4 Trees

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Variations on 2-3-4 trees ...

Variation #1: why stop at 4? why not 2-3-4-5 trees? or *M*-way trees?

- allow nodes to hold up to M-1 items, and at least M/2
- if each node is a disk-page, then we have a *B-tree* (databases)
- for B-trees, depending on Item size, M > 100/200/400

Variation #2: don't have "variable-sized" nodes

- use standard BST nodes, augmented with one extra piece of data
- implement similar strategy as 2-3-4 trees → red-black trees.

# **Red-Black Trees**

# **Red-Black Trees**

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*Red-black trees* are a representation of 2-3-4 trees using BST nodes.

- each node needs one extra value to encode link type
- but we no longer have to deal with different kinds of nodes

#### Link types:

- red links ... combine nodes to represent 3- and 4-nodes
- black links ... analogous to "ordinary" BST links (child links)

### Advantages:

- standard BST search procedure works unmodified
- get benefits of 2-3-4 tree self-balancing (although deeper)

# **Red-Black Trees**

#### Definition of a red-black tree

- a BST in which each node is marked red or black
- no two red nodes appear consecutively on any path
- a red node corresponds to a 2-3-4 sibling of its parent
- a black node corresponds to a 2-3-4 child of its parent

#### Balanced red-black tree

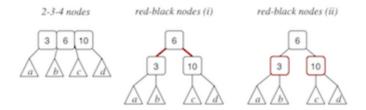
• all paths from root to leaf have same number of black nodes

Insertion algorithm: avoids worst case O(n) behaviour

Search algorithm: standard BST search

... Red-Black Trees 71/86

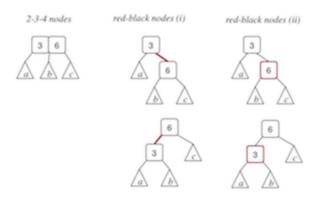
Representing 4-nodes in red-black trees:



Some texts colour the links rather than the nodes.

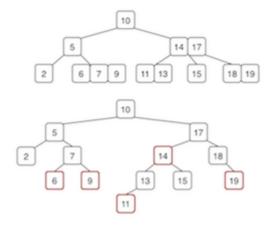
... Red-Black Trees 72/86

Representing 3-nodes in red-black trees (two possibilities):



... Red-Black Trees 73/86

Equivalent trees (one 2-3-4, one red-black):



... Red-Black Trees 74/86

Red-black tree implementation:

```
typedef enum {RED, BLACK} Colr;
typedef struct node *RBTree;
typedef struct node {
                   // actual data
   int
          data:
                   // relationship to parent
   Colr
          color;
                   // left subtree
   RBTree left;
   RBTree right;
                   // right subtree
} node;
#define color(tree) ((tree)->color)
#define isRed(tree) ((tree) != NULL && (tree)->color == RED)
RED = node is part of the same 2-3-4 node as its parent (sibling)
```

... Red-Black Trees 75/86

New nodes are always red:

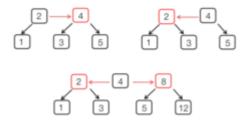
```
RBTree newNode(Item it) {
   RBTree new = malloc(sizeof(Node));
   assert(new != NULL);
   data(new) = it;
   color(new) = RED;
   left(new) = right(new) = NULL;
   return new;
}
```

BLACK = node is a child of the 2-3-4 node containing the parent

... Red-Black Trees 76/86

Node.color allows us to distinguish links

- black = parent node is a "real"parent
- red = parent node is a 2-3-4 neighbour



... Red-Black Trees 77/86

Search method is standard BST search:

```
SearchRedBlack(tree,item):
```

# **Red-Black Tree Insertion**

78/86

Insertion is more complex than for standard BSTs

- need to recall direction of last branch (L or R)
- need to recall whether parent link is red or black
- splitting/promoting implemented by rotateLeft/rotateRight
- several cases to consider depending on colour/direction combinations

#### ... Red-Black Tree Insertion

79/86

High-level description of insertion algorithm:

```
insertRB(tree,item,inRight):
```

```
Input tree, item, inRight indicating direction of last branch
Output tree with it inserted

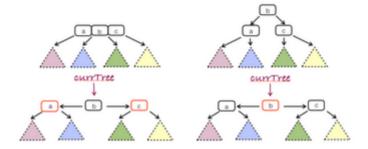
if tree is empty then
    return newNode(item)
else if item=data(tree) then
    return tree
end if
if left(tree) and right(tree) both are RED then
    split 4-node in a red-black tree
end if
recursive insert a la BST, re-arrange links/colours after insert
return modified tree
```

```
insertRedBlack(tree,item):
    Input red-black tree, item
    Output tree with item inserted
    tree=insertRB(tree,item,false)
    color(tree)=BLACK
    return tree
```

#### ... Red-Black Tree Insertion

80/86

Splitting a 4-node, in a red-black tree:



### Algorithm:

```
if isRed(left(currentTree)) and isRed(right(currentTree)) then
    color(currentTree)=RED
    color(left(currentTree))=BLACK
    color(right(currentTree))=BLACK
end if
```

#### ... Red-Black Tree Insertion

81/86

Simple recursive insert (a la BST):



## Algorithm:

Not affected by colour of tree node.

## ... Red-Black Tree Insertion

82/86

Re-arrange links/colours after insert:

Step 1 — "normalise" direction of successive red links



Algorithm:

if inRight and both currentTree and left(currentTree) are red then
 currentTree=rotateRight(currentTree)
end if

Symmetrically,

• if not inRight and both currentTree and right(currentTree) are red

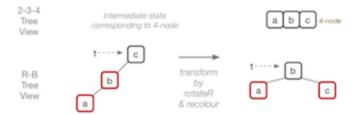
⇒ left rotate currentTree

### ... Red-Black Tree Insertion

83/86

Re-arrange links/colours after insert:

Step 2 — two successive red links = newly-created 4-node



Algorithm:

if left(currentTree) and left(left(currentTree)) are red then
 currentTree=rotateRight(currentTree)
 color(currentTree)=BLACK
 color(right(currentTree))=RED
end if

Symmetrically,

• if both right(currentTree) and right(right(currentTree)) are red

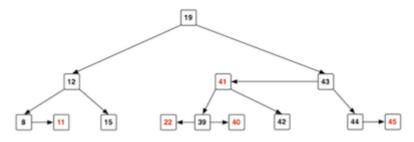
⇒ left rotate currentTree, then re-colour currentTree and left(currentTree)

#### ... Red-Black Tree Insertion

84/86

Example of insertion, starting from empty tree:

22, 12, 8, 15, 11, 19, 43, 44, 45, 42, 41, 40, 39



# **Red-black Tree Performance**

85/86

Cost analysis for red-black trees:

- tree is well-balanced; worst case search is  $O(\log_2 n)$
- insertion affects nodes down one path; max #rotations is 2·h (where h is the height of the tree)

Only disadvantage is complexity of insertion/deletion code.

Note: red-black trees were popularised by Sedgewick.

Summary 86/86

- Tree operations
  - o tree rotation
  - tree partition
  - joining trees
- Randomised insertion
- Self-adjusting trees
  - Splay trees
  - AVL trees
  - o 2-3-4 trees
  - Red-black trees
- Suggested reading:
  - o Sedgewick, Ch. 12.8-12.9
  - o Sedgewick, Ch. 13.1-13.4

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