

Union-Find data structure

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Programming, Data Structures and Algorithms using Python

Week 6

Kruskal's algorithm for minimum cost spanning tree (MCST)

- Process edges in ascending order of cost
- If edge (u, v) does not create a cycle, add it
 - (u, v) can be added if u and v are in different components
 - Adding edge (u, v) merges these components
- How can we keep track of components and merge them efficiently?

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- How can we keep track of components and merge them efficiently?
- Components **partition** vertices
 - Collection of disjoint sets
- Need data structure to maintain collection of disjoint sets
 - `find(v)` — return set containing v
 - `union(u,v)` — merge sets of u, v

Union-Find data structure

- A set S partitioned into components $\{C_1, C_2, \dots, C_k\}$
 - Each $s \in S$ belongs to exactly one C_j

Union-Find data structure

- A set S partitioned into components $\{C_1, C_2, \dots, C_k\}$
 - Each $s \in S$ belongs to exactly one C_j
- Support the following operations
 - `MakeUnionFind(S)` — set up initial singleton components $\{s\}$, for each $s \in S$
 - `Find(s)` — return the component containing s
 - `Union(s, s')` — merges components containing s, s'

Naive implementation

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c_old = Component[i]
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Complexity

- `MakeUnionFind(S)` — $O(n)$
- `Find(i)` — $O(1)$
- `Union(i, j)` — $O(n)$
- Sequence of m `Union()` operations takes time $O(mn)$

Improved implementation

- Another array/dictionary **Members**

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for k in Members[c_old]:
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Size[c_new] = Size[c_new] + 1
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Why does this help?

■ `MakeUnionFind(S)`

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■ How can we make use of `Size[c]`

- Always merge smaller component into larger one
- If `Size[c] < Size[c']` relabel `c` as `c'`, else relabel `c'` as `c`

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■ How can we make use of `Size[c]`

- Always merge smaller component into larger one
- If `Size[c] < Size[c']` relabel `c` as `c'`, else relabel `c'` as `c`

- Individual merge operations can still take time $O(n)$

- Both `Size[c]`, `Size[c']` could be about $n/2$
- More careful accounting

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- After `m Union()` operations, at most `2m` elements have been “touched”
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 - At most $2m$ elements are relabelled
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- Overall, m `Union()` operations take time $O(m \log m)$
- Works out to time $O(\log m)$ per `Union()` operation
 - Amortised complexity of `Union()` is $O(\log m)$

Back to Kruskal's algorithm

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 - $O(n \log n)$ amortised cost, overall

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- Sorting E takes $O(m \log m)$
 - Equivalently $O(m \log n)$, since $m \leq n^2$

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- Sorting E takes $O(m \log m)$
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- Overall time, $O((m + n) \log n)$

Summary

- Implement Union-Find using arrays/dictionaries `Component`, `Member`, `Size`
 - `MakeUnionFind(S)` is $O(n)$
 - `Find(i)` is $O(1)$
 - Across m operations, amortised complexity of each `Union()` operation is $\log m$

Summary

- Implement Union-Find using arrays/dictionaries `Component`, `Member`, `Size`
 - `MakeUnionFind(S)` is $O(n)$
 - `Find(i)` is $O(1)$
 - Across m operations, amortised complexity of each `Union()` operation is $\log m$
- Can also maintain `Members[k]` as a tree rather than as a list
 - `Union()` becomes $O(1)$
 - With clever updates to the tree, `Find()` has amortised complexity very close to $O(1)$

Priority Queues

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Dealing with priorities

Job scheduler

- A job scheduler maintains a list of pending jobs with their priorities

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- When the processor is free, the scheduler picks out the job with maximum priority in the list and schedules it
- New jobs may join the list at any time
- How should the scheduler maintain the list of pending jobs and their priorities?

Priority queue

- Need to maintain a collection of items with priorities to optimise the following operations
- `delete_max()`
 - Identify and remove item with highest priority
 - Need not be unique
- `insert()`
 - Add a new item to the collection

Implementing priority queues with one dimensional structures

- `delete_max()`

- Identify and remove item with highest priority
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- Add a new item to the list

Implementing priority queues with one dimensional structures

- Unsorted list

- `insert()` is $O(1)$
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- `delete_max()`

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■ `delete_max()`

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- Sorted list

- `delete_max()` is $O(1)$
- `insert()` is $O(n)$

- Processing n items requires $O(n^2)$

- `delete_max()`

- Identify and remove item with highest priority
- Need not be unique

- `insert()`

- Add a new item to the list

Moving to two dimensions

First attempt

- Assume N processes enter/leave the queue

$$N = 25$$

3	19	23	35	58
12	17	25	43	67
10	13	20		
11	16	28	49	
6	14			

Moving to two dimensions

First attempt

- Assume N processes enter/leave the queue
- Maintain a $\sqrt{N} \times \sqrt{N}$ array

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Moving to two dimensions

First attempt

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- Maintain a $\sqrt{N} \times \sqrt{N}$ array
- Each row is in sorted order

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insert()

- Keep track of the size of each row

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4
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insert()

- Keep track of the size of each row
- Insert into the first row that has space
 - Use size of row to determine

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- Insert 15

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insert()

- Keep track of the size of each row
- Insert into the first row that has space
 - Use size of row to determine
- Insert 15
- Takes time $O(\sqrt{N})$
 - Scan size column to locate row to insert, $O(\sqrt{N})$
 - Insert into the first row with free space, $O(\sqrt{N})$

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- Maximum in each row is the last element

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delete_max()

- Maximum in each row is the last element
- Position is available through size column
- Identify the maximum amongst these
- Delete it
- Again $O(\sqrt{N})$
 - Find the maximum among last entries, $O(\sqrt{N})$
 - Delete it, $O(1)$

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Summary

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 - `insert()` is $O(\sqrt{N})$
 - `delete_max()` is $O(\sqrt{N})$
 - Processing N items is $O(N\sqrt{N})$

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 - Processing N items is $O(N\sqrt{N})$
- Can we do better?
- Maintain a special binary tree — **heap**
 - Height $O(\log N)$
 - `insert()` is $O(\log N)$
 - `delete_max()` is $O(\log N)$
 - Processing N items is $O(N \log N)$

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6	14			

Summary

- 2D $\sqrt{N} \times \sqrt{N}$ array with sorted rows
 - `insert()` is $O(\sqrt{N})$
 - `delete_max()` is $O(\sqrt{N})$
 - Processing N items is $O(N\sqrt{N})$
- Can we do better?
- Maintain a special binary tree — **heap**
 - Height $O(\log N)$
 - `insert()` is $O(\log N)$
 - `delete_max()` is $O(\log N)$
 - Processing N items is $O(N \log N)$
- Flexible — need not fix N in advance

$N = 25$

3	19	23	35	58
12	17	25	43	67
10	13	20		
11	16	28	49	
6	14			

Heaps

Madhavan Mukund

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Programming, Data Structures and Algorithms using Python

Week 6

Priority queue

- Need to maintain a collection of items with priorities to optimise the following operations
- `delete_max()`
 - Identify and remove item with highest priority
 - Need not be unique
- `insert()`
 - Add a new item to the list

Priority queue

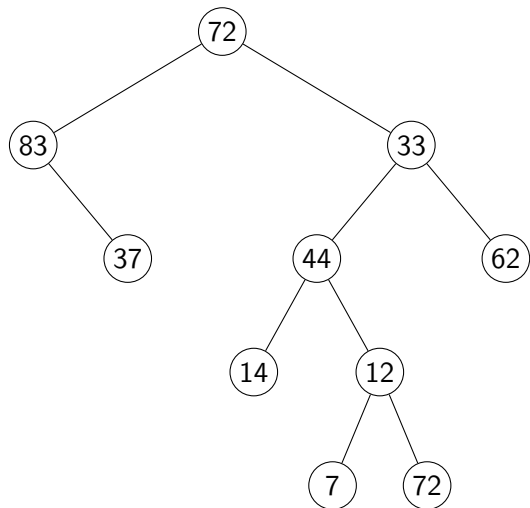
- Need to maintain a collection of items with priorities to optimise the following operations
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- Maintaining as a list incurs cost $O(N^2)$ across N inserts and deletions

Priority queue

- Need to maintain a collection of items with priorities to optimise the following operations
- `delete_max()`
 - Identify and remove item with highest priority
 - Need not be unique
- `insert()`
 - Add a new item to the list
- Maintaining as a list incurs cost $O(N^2)$ across N inserts and deletions
- Using a $\sqrt{N} \times \sqrt{N}$ array reduces the cost to $O(\sqrt{N})$ per operations
 - $O(N\sqrt{N})$ across N inserts and deletions

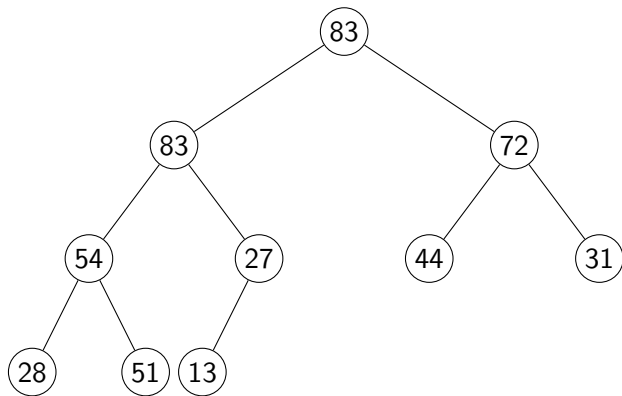
Binary trees

- Values are stored as nodes in a rooted tree
- Each node has up to two children
 - Left child and right child
 - Order is important
- Other than the root, each node has a unique parent
- Leaf node — no children
- Size — number of nodes
- Height — number of levels



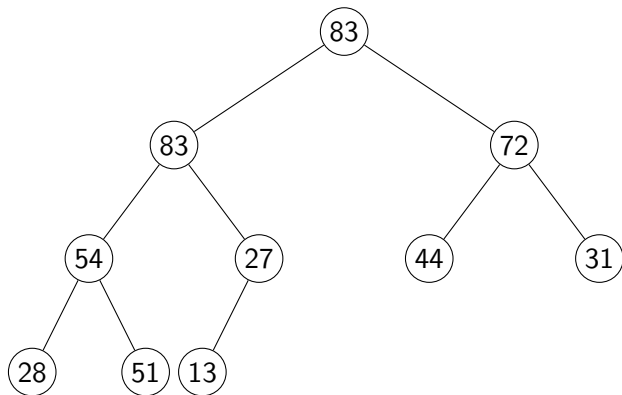
Heap

- Binary tree filled level by level, left to right
- The value at each node is at least as big the values of its children
 - **max-heap**



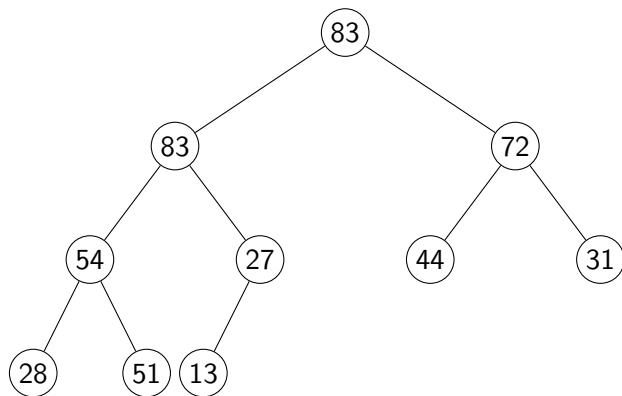
Heap

- Binary tree filled level by level, left to right
- The value at each node is at least as big the values of its children
 - **max-heap**
- Binary tree on the right is an example of a heap



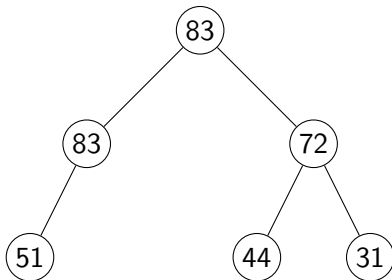
Heap

- Binary tree filled level by level, left to right
- The value at each node is at least as big the values of its children
 - **max-heap**
- Binary tree on the right is an example of a heap
- Root always has the largest value
 - By induction, because of the **max-heap** property



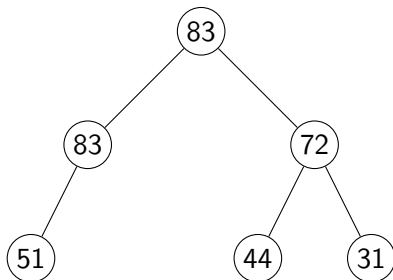
Non-examples

No “holes” allowed

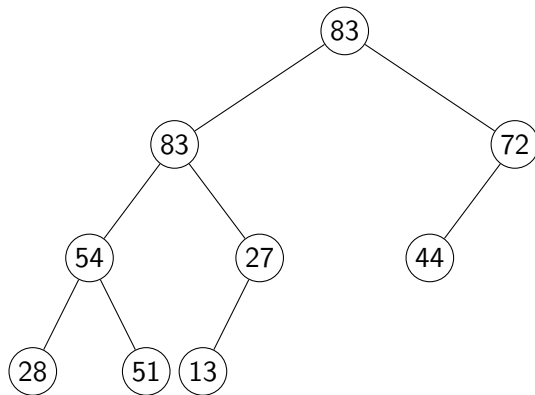


Non-examples

No “holes” allowed

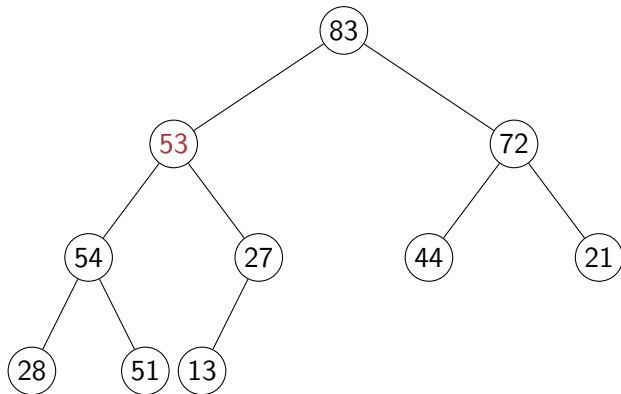


Cannot leave a level incomplete



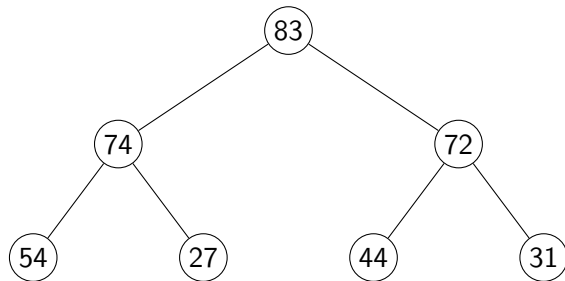
Non-examples

Heap property is violated



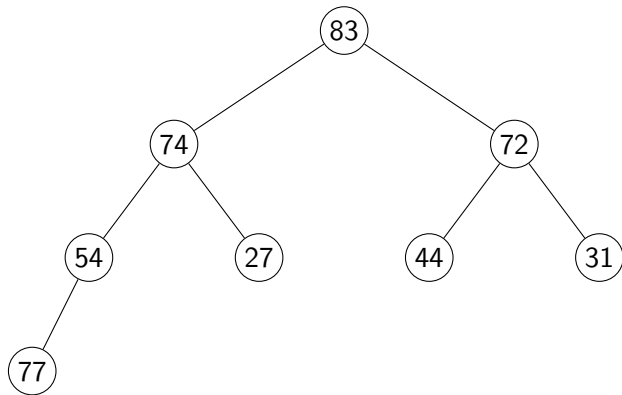
insert()

■ insert(77)



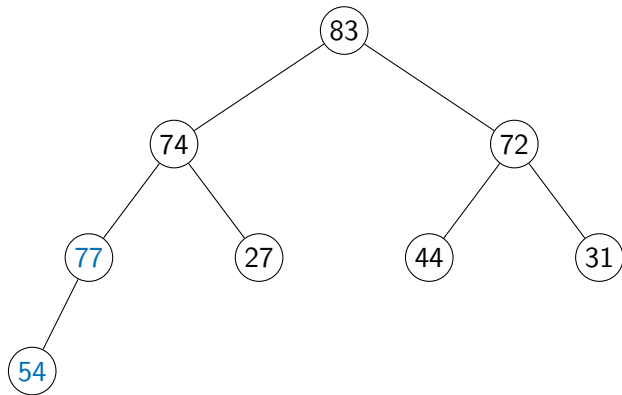
insert()

- `insert(77)`
- Add a new node at dictated by heap structure



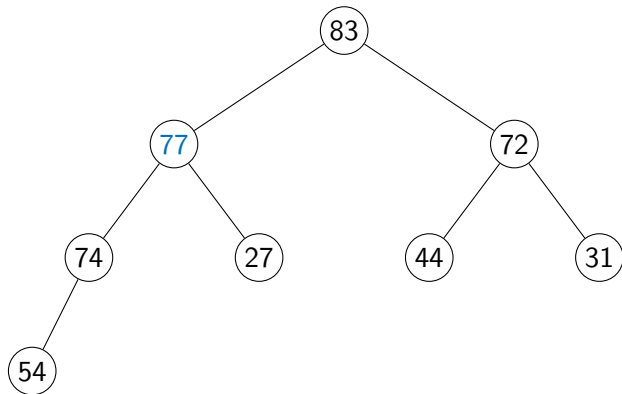
insert()

- `insert(77)`
- Add a new node at dictated by heap structure
- Restore the heap property along path to the root



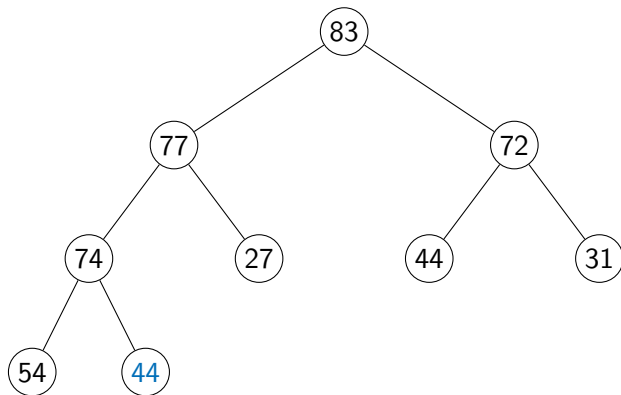
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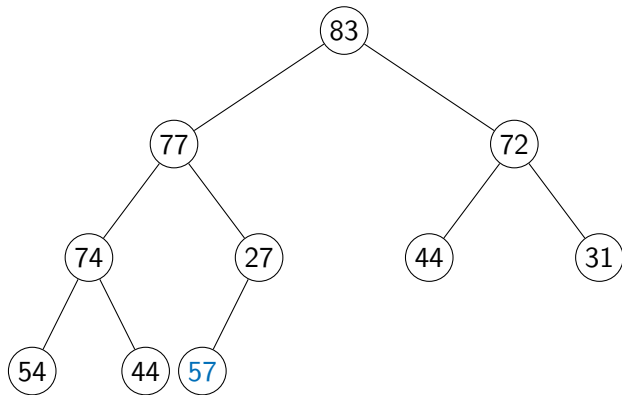
insert()

- `insert(77)`
- Add a new node at dictated by heap structure
- Restore the heap property along path to the root
- `insert(44)`



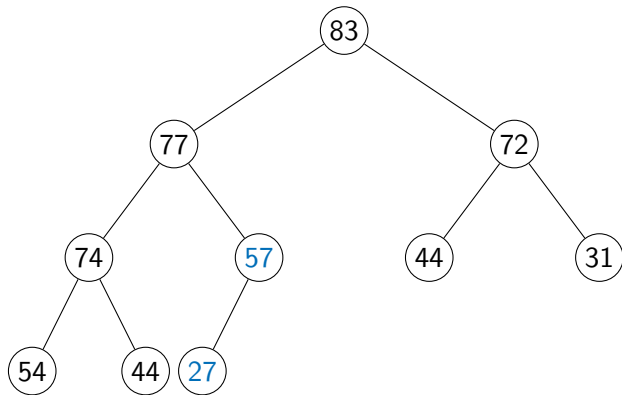
insert()

- `insert(77)`
- Add a new node at dictated by heap structure
- Restore the heap property along path to the root
- `insert(44)`
- `insert(57)`



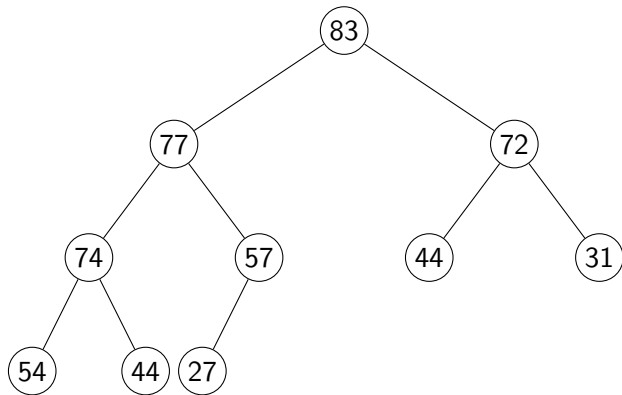
insert()

- `insert(77)`
- Add a new node at dictated by heap structure
- Restore the heap property along path to the root
- `insert(44)`
- `insert(57)`



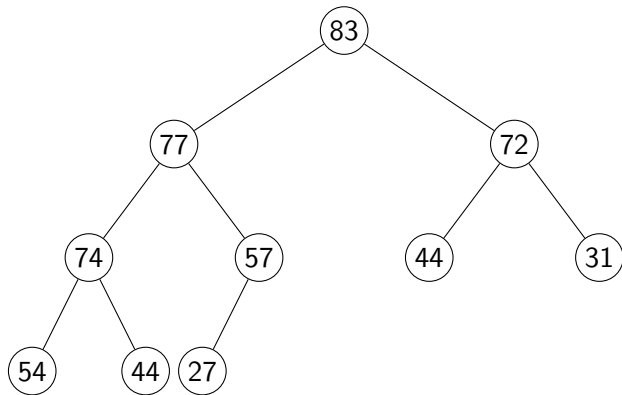
Complexity of `insert()`

- Need to walk up from the leaf to the root
 - Height of the tree



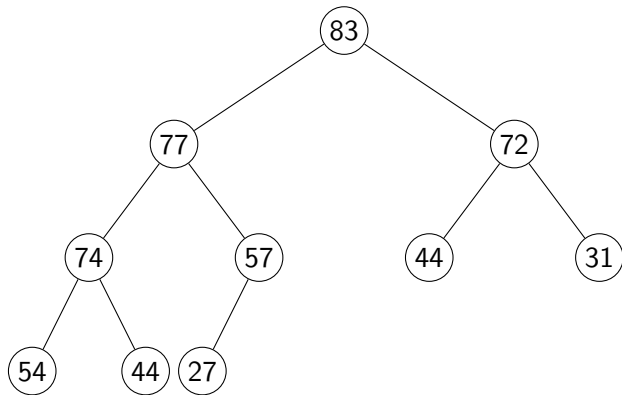
Complexity of insert()

- Need to walk up from the leaf to the root
 - Height of the tree
- Number of nodes at level 0 is $2^0 = 1$



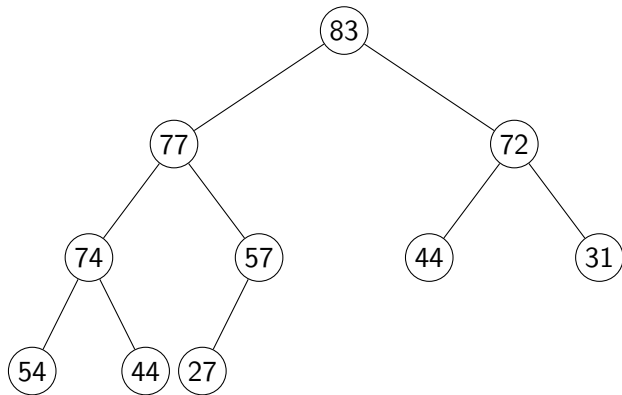
Complexity of insert()

- Need to walk up from the leaf to the root
 - Height of the tree
- Number of nodes at level 0 is $2^0 = 1$
- Number of nodes at level j is 2^j



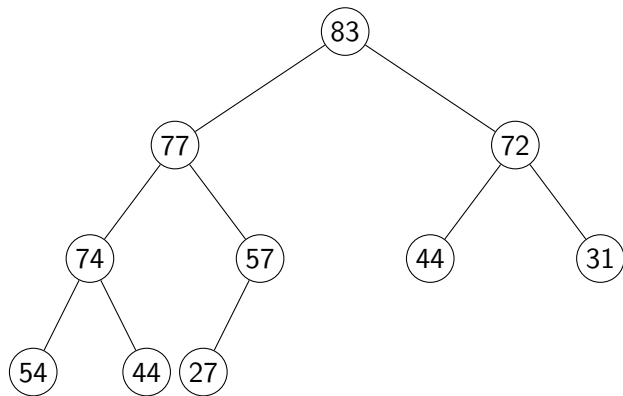
Complexity of insert()

- Need to walk up from the leaf to the root
 - Height of the tree
- Number of nodes at level 0 is $2^0 = 1$
- Number of nodes at level j is 2^j
- If we fill k levels,
 $2^0 + 2^1 + \dots + 2^{k-1} = 2^k - 1$
nodes



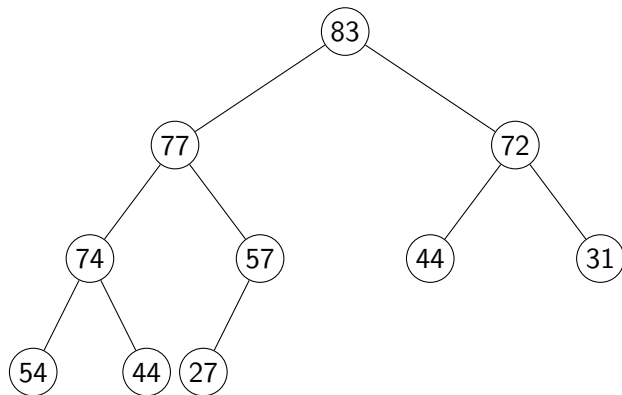
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 - Height of the tree
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- If we fill k levels,
 $2^0 + 2^1 + \dots + 2^{k-1} = 2^k - 1$ nodes
- If we have N nodes, at most $1 + \log N$ levels



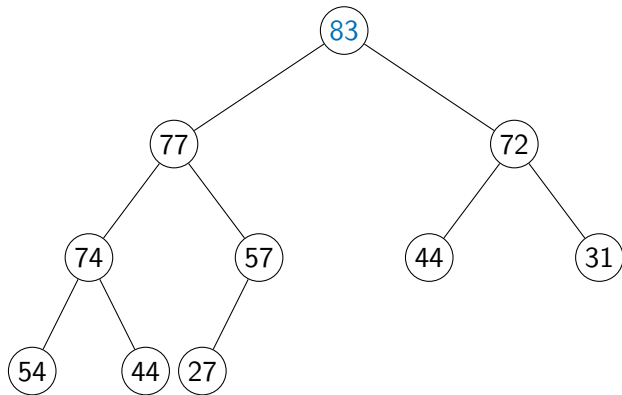
Complexity of `insert()`

- Need to walk up from the leaf to the root
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- Number of nodes at level 0 is $2^0 = 1$
- Number of nodes at level j is 2^j
- If we fill k levels,
 $2^0 + 2^1 + \dots + 2^{k-1} = 2^k - 1$ nodes
- If we have N nodes, at most $1 + \log N$ levels
- `insert()` is $O(\log N)$



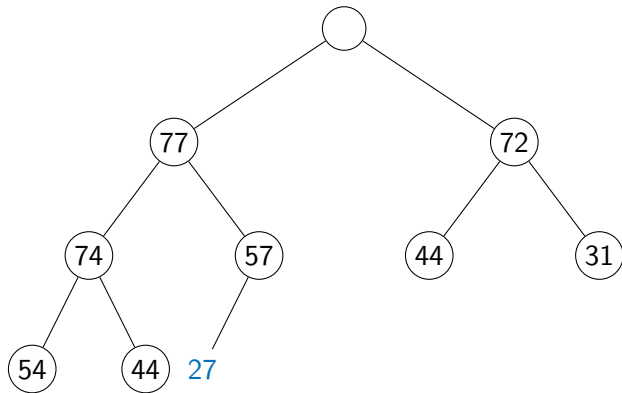
delete_max()

- Maximum value is always at the root



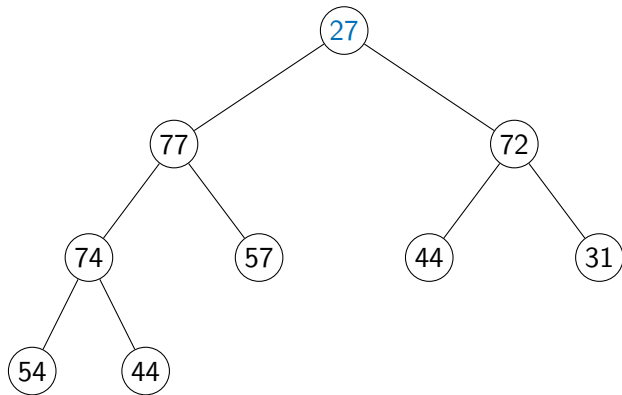
delete_max()

- Maximum value is always at the root
- After we delete one value, tree shrinks
 - Node to delete is rightmost at lowest level



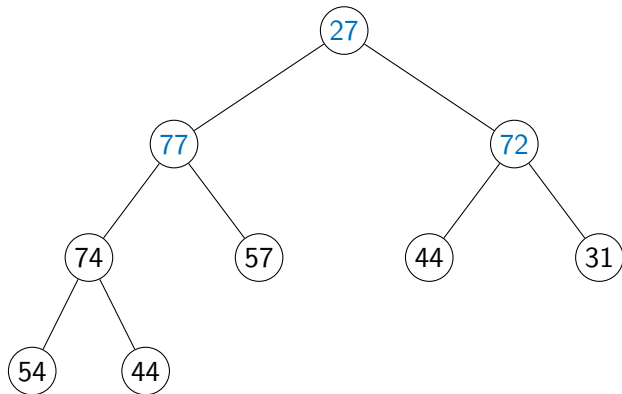
delete_max()

- Maximum value is always at the root
- After we delete one value, tree shrinks
 - Node to delete is rightmost at lowest level
- Move “homeless” value to the root



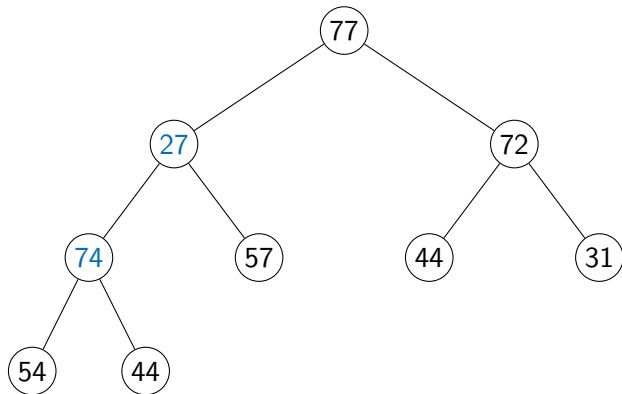
delete_max()

- Maximum value is always at the root
- After we delete one value, tree shrinks
 - Node to delete is rightmost at lowest level
- Move “homeless” value to the root
- Restore the heap property downwards



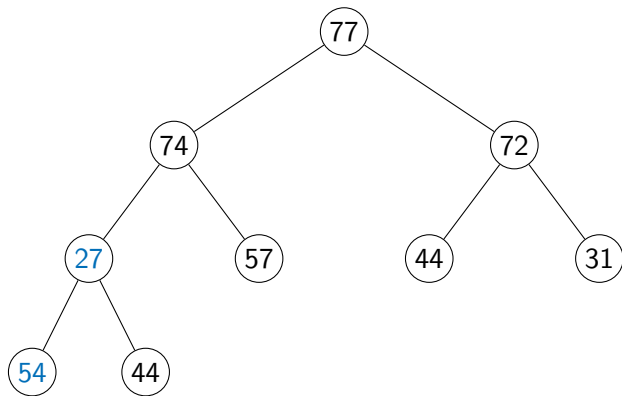
delete_max()

- Maximum value is always at the root
- After we delete one value, tree shrinks
 - Node to delete is rightmost at lowest level
- Move “homeless” value to the root
- Restore the heap property downwards
- Only need to follow a single path down
 - Again $O(\log N)$



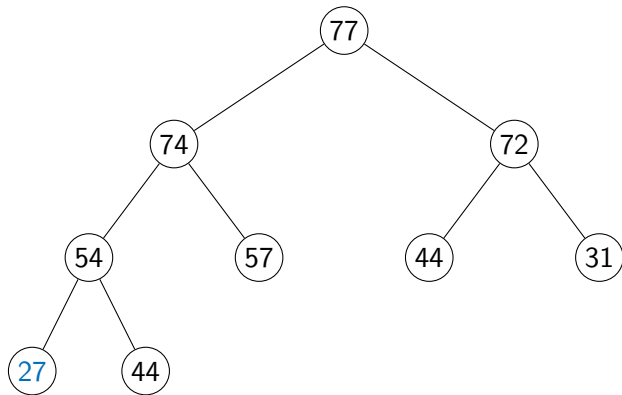
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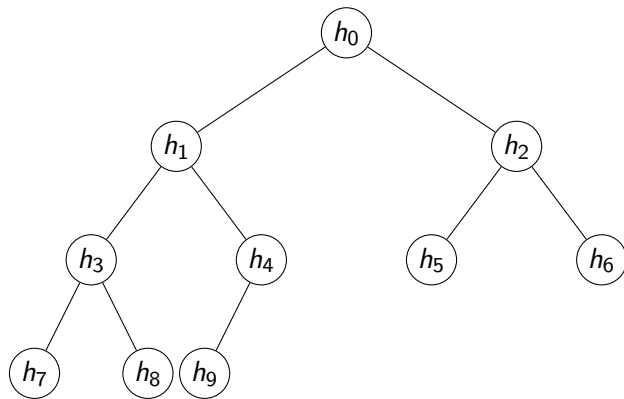
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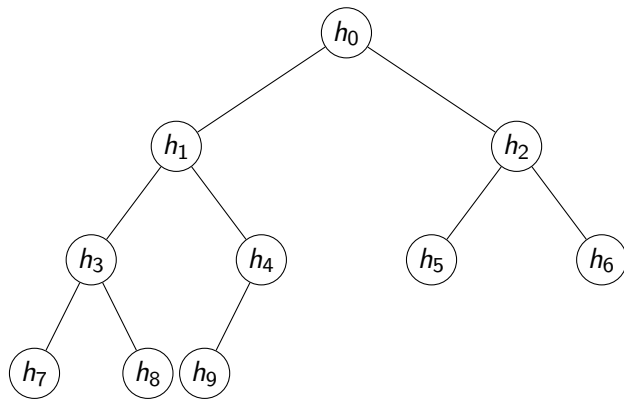
Implementation

- Number the nodes top to bottom left right
- Store as a list
 $H = [h_0, h_1, h_2, \dots, h_9]$
- Children of $H[i]$ are at
 $H[2*i+1]$, $H[2*i+2]$
- Parent of $H[i]$ is at
 $H[(i-1)//2]$,
for $i > 0$



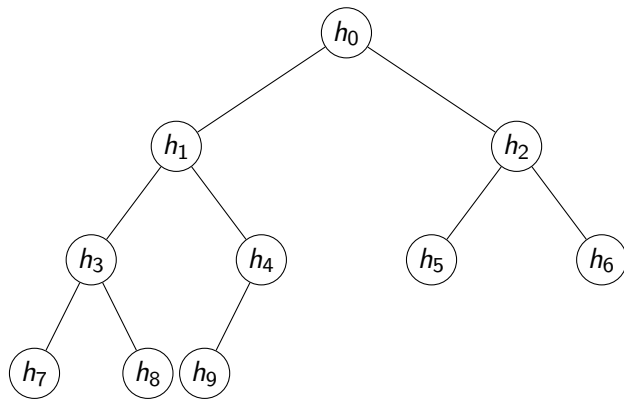
Building a heap — heapify()

- Convert a list $[v_0, v_1, \dots, v_N]$ into a heap



Building a heap — `heapify()`

- Convert a list $[v_0, v_1, \dots, v_N]$ into a heap
- Simple strategy
 - Start with an empty heap
 - Repeatedly apply `insert(vj)`
 - Total time is $O(N \log N)$



Better heapify()

- List $L = [v_0, v_1, \dots, v_N]$

Better heapify()

- List $L = [v_0, v_1, \dots, v_N]$
- `mid = len(L)//2`,
Slice `L[mid:]` has only leaf nodes
 - Already satisfy heap condition

Better heapify()

- List $L = [v_0, v_1, \dots, v_N]$
- $mid = len(L)//2$,
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- Fix heap property downwards for second last level

Better heapify()

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Slice `L[mid:]` has only leaf nodes
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- Fix heap property downwards for second last level
- Fix heap property downwards for third last level

Better heapify()

- List $L = [v_0, v_1, \dots, v_N]$
- $mid = len(L)//2$,
Slice $L[mid:]$ has only leaf nodes
 - Already satisfy heap condition
- Fix heap property downwards for second last level
- Fix heap property downwards for third last level
- ...
- Fix heap property at level 1
- Fix heap property at the root

Better heapify()

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- Each time we go up one level, one extra step per node to fix heap property

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- Fix heap property at the root
- Each time we go up one level, one extra step per node to fix heap property
- However, number of nodes to fix halves

Better heapify()

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- Fix heap property downwards for second last level
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- Fix heap property at level 1
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- Each time we go up one level, one extra step per node to fix heap property
- However, number of nodes to fix halves
- Second last level, $n/4 \times 1$ steps

Better heapify()

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- ...
- Fix heap property at level 1
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- Each time we go up one level, one extra step per node to fix heap property
- However, number of nodes to fix halves
- Second last level, $n/4 \times 1$ steps
- Third last level, $n/8 \times 2$ steps

Better heapify()

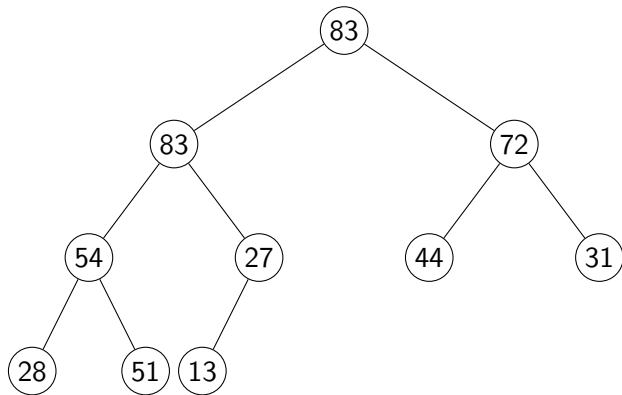
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- However, number of nodes to fix halves
 - Second last level, $n/4 \times 1$ steps
 - Third last level, $n/8 \times 2$ steps
 - Fourth last level, $n/16 \times 3$ steps

Better heapify()

- List $L = [v_0, v_1, \dots, v_N]$
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Slice $L[mid:]$ has only leaf nodes
 - Already satisfy heap condition
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- Fix heap property at the root
- Each time we go up one level, one extra step per node to fix heap property
- However, number of nodes to fix halves
 - Second last level, $n/4 \times 1$ steps
 - Third last level, $n/8 \times 2$ steps
 - Fourth last level, $n/16 \times 3$ steps
 - ...
- Cost turns out to be $O(n)$

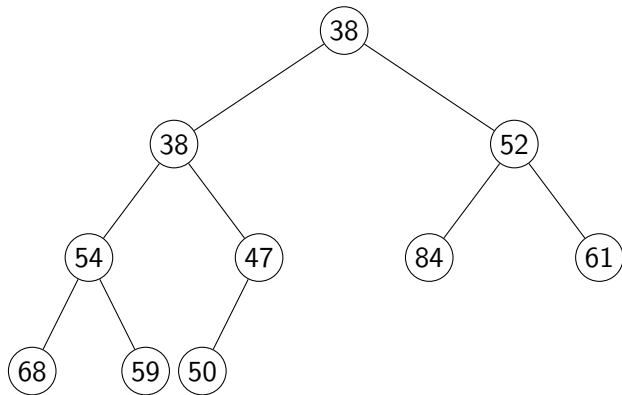
Summary

- Heaps are a tree implementation of priority queues
 - `insert()` is $O(\log N)$
 - `delete_max()` is $O(\log N)$
 - `heapify()` builds a heap in $O(N)$



Summary

- Heaps are a tree implementation of priority queues
 - `insert()` is $O(\log N)$
 - `delete_max()` is $O(\log N)$
 - `heapify()` builds a heap in $O(N)$
- Can invert the heap condition
 - Each node is smaller than its children
 - min-heap
 - `delete_min()` rather than `delete_max()`



Using Heaps in Algorithms

Madhavan Mukund

<https://www.cmi.ac.in/~madhavan>

Programming, Data Structures and Algorithms using Python

Week 6

Priority queues and heaps

- Priority queues support the following operations
 - `insert()`
 - `delete_max()` or `delete_min()`
- Heaps are a tree based implementation of priority queues
 - `insert()`, `delete_max()` / `delete_min()` are both $O(\log n)$
 - `heapify()` builds a heap from a list/array in time $O(n)$
- Heap can be represented as a list/array
 - Simple index arithmetic to find parent and children of a node
- What more do we need to use a heap in an algorithm?

Dijkstra's algorithm

- Maintain two dictionaries with vertices as keys
 - `visited`, initially `False` for all `v`
 - `distance`, initially `infinity` for all `v`
- Set `distance[s]` to 0
- Repeat, until all reachable vertices are visited
 - Find unvisited vertex `nextv` with minimum distance
 - Set `visited[nextv]` to `True`
 - Recompute `distance[v]` for every neighbour `v` of `nextv`

```
def dijkstra(WMat,s):
    (rows,cols,x) = WMat.shape
    infinity = np.max(WMat)*rows+1
    (visited,distance) = ({},{})
    for v in range(rows):
        (visited[v],distance[v]) = (False,infinity)
    distance[s] = 0
    for u in range(rows):
        nextd = min([distance[v] for v in range(rows)
                     if not visited[v]])
        nextvlist = [v for v in range(rows)
                     if (not visited[v]) and
                        distance[v] == nextd]
        if nextvlist == []:
            break
        nextv = min(nextvlist)
        visited[nextv] = True
        for v in range(cols):
            if WMat[nextv,v,0] == 1 and (not visited[v]):
                distance[v] = min(distance[v],distance[nextv]
                                   +WMat[nextv,v,1])
    return(distance)
```

Dijkstra's algorithm

Bottleneck

- Find unvisited vertex j with minimum distance
 - Naive implementation requires an $O(n)$ scan

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def dijkstra(WMat,s):
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Dijkstra's algorithm

Bottleneck

- Find unvisited vertex j with minimum distance
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- Maintain unvisited vertices as a min-heap
 - `delete_min()` in $O(\log n)$ time

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```

Dijkstra's algorithm

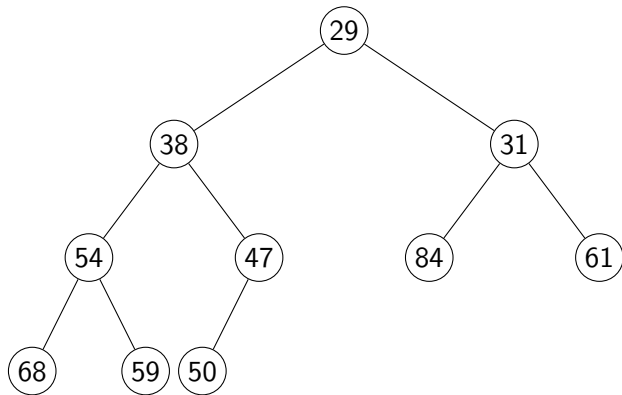
Bottleneck

- Find unvisited vertex j with minimum distance
 - Naive implementation requires an $O(n)$ scan
- Maintain unvisited vertices as a min-heap
 - `delete_min()` in $O(\log n)$ time
- But, also need to update distances of neighbours
 - Unvisited neighbours' distances are inside the min-heap
 - Updating a value is not a basic heap operation

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        if nextvlist == []:
            break
        nextv = min(nextvlist)
        visited[nextv] = True
        for v in range(cols):
            if WMat[nextv,v,0] == 1 and (not visited[v]):
                distance[v] = min(distance[v],distance[nextv]
                                   +WMat[nextv,v,1])
    return(distance)
```

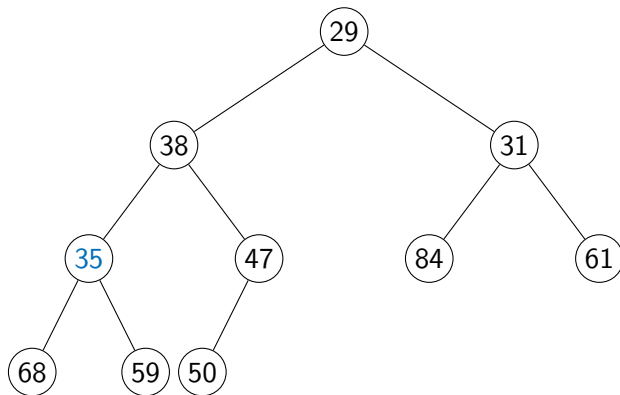

Updating values in a min-heap

- Change 54 to 35



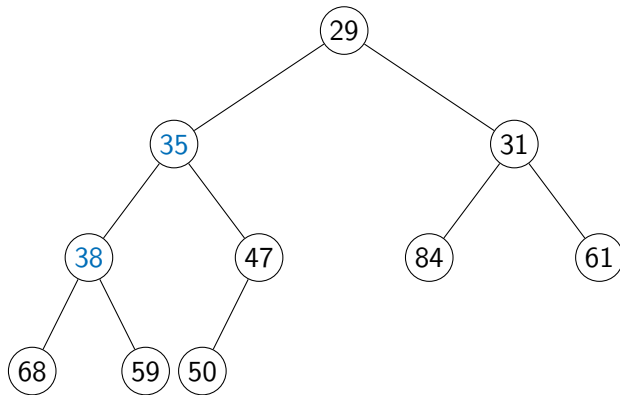
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent



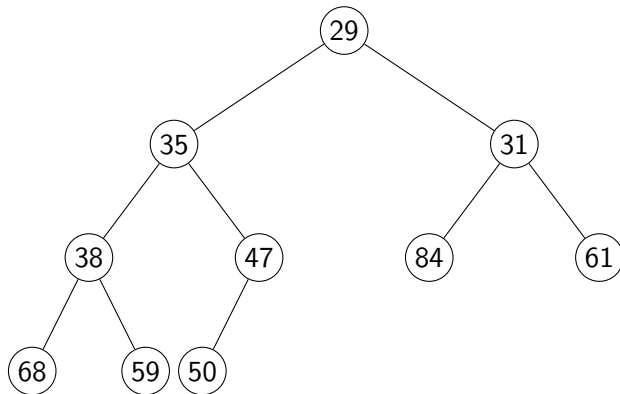
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent
 - Swap upwards to restore heap, similar to `insert()`



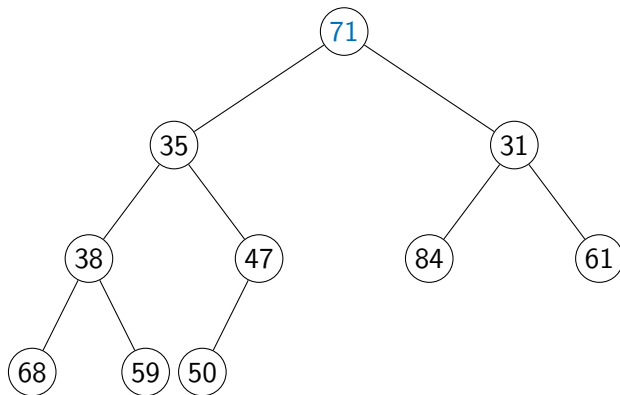
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent
 - Swap upwards to restore heap, similar to `insert()`
- Change 29 to 71



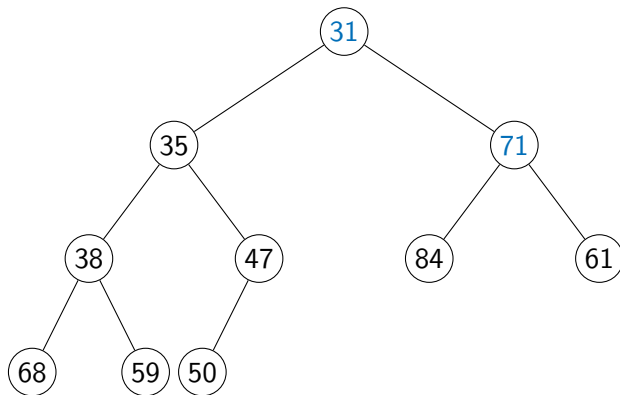
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent
 - Swap upwards to restore heap, similar to `insert()`
- Change 29 to 71
 - Increasing a value can create a violation with child



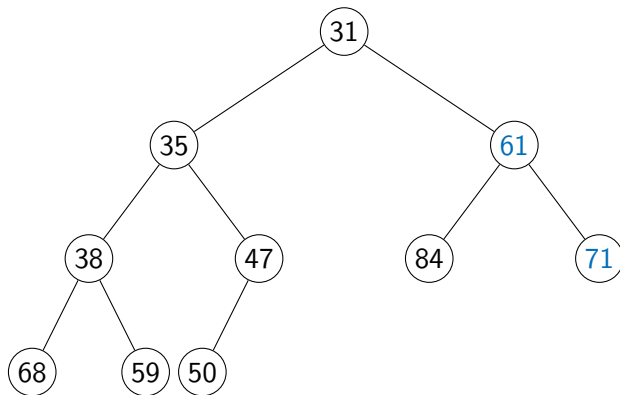
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent
 - Swap upwards to restore heap, similar to `insert()`
- Change 29 to 71
 - Increasing a value can create a violation with child
 - Swap downwards to restore heap, similar to `delete_min()`



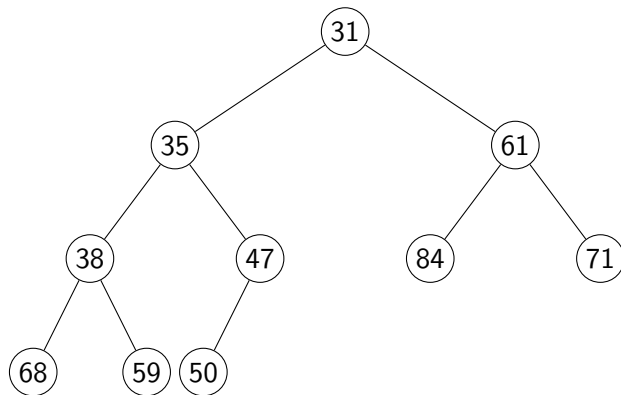
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent
 - Swap upwards to restore heap, similar to `insert()`
- Change 29 to 71
 - Increasing a value can create a violation with child
 - Swap downwards to restore heap, similar to `delete_min()`



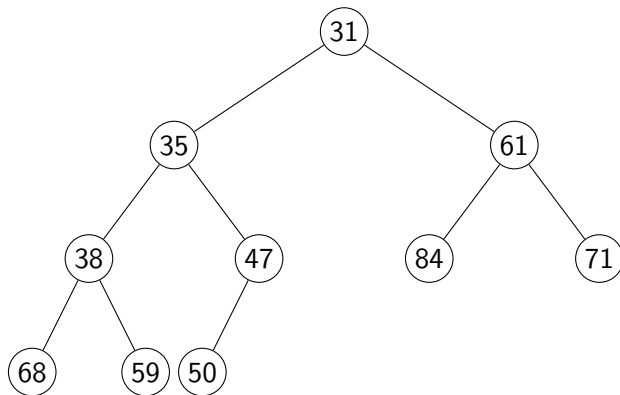
Updating values in a min-heap

- Change 54 to 35
 - Reducing a value can create a violation with parent
 - Swap upwards to restore heap, similar to `insert()`
- Change 29 to 71
 - Increasing a value can create a violation with child
 - Swap downwards to restore heap, similar to `delete_min()`
- Both updates are $O(\log n)$
 - Are we done?



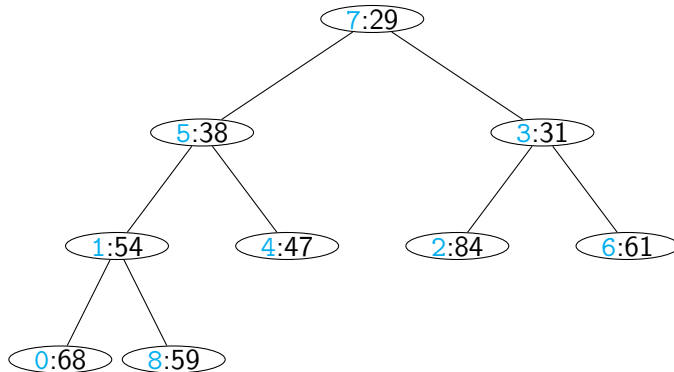
Updating values in a min-heap

- Change 54 to 35
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 - Increasing a value can create a violation with child
 - Swap downwards to restore heap, similar to `delete_min()`
- Both updates are $O(\log n)$
 - Are we done?
- Locate the node to update?



Updating values in a min-heap

- Maintain two additional dictionaries
 - Vertices are $\{0, 1, \dots, n-1\}$
 - Heap positions are $\{0, 1, \dots, n-1\}$
 - **VtoH** maps vertices to heap positions
 - **HtoV** maps heap positions to vertices



VtoH

0	1	2	3	4	5	6	7	8
7	3	5	2	4	1	6	0	8

HtoV

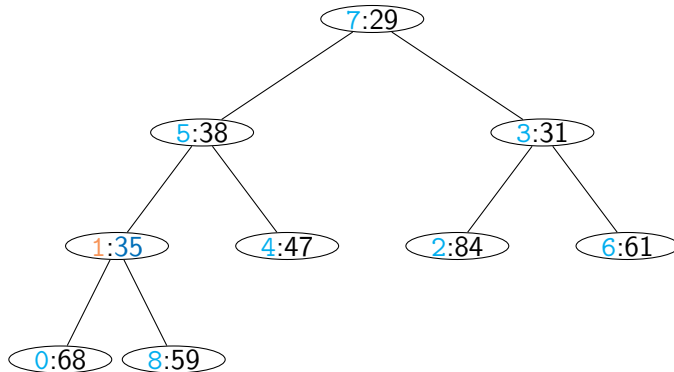
0	1	2	3	4	5	6	7	8
7	5	3	1	4	2	6	0	8

Updating values in a min-heap

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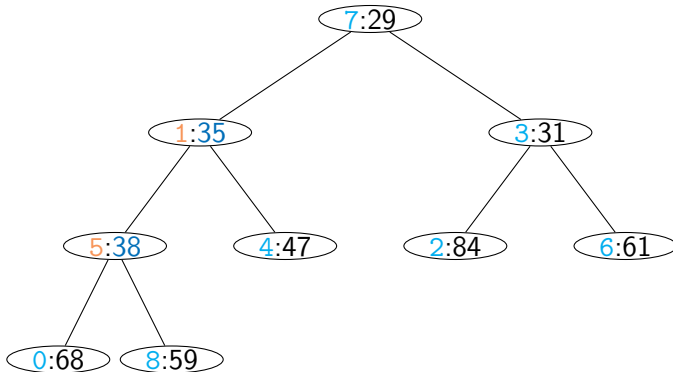
- Update node 1 to 35



VtoH	0	1	2	3	4	5	6	7	8
	7	3	5	2	4	1	6	0	8
HtoV	0	1	2	3	4	5	6	7	8
	7	5	3	1	4	2	6	0	8

Updating values in a min-heap

- Maintain two additional dictionaries
 - Vertices are $\{0, 1, \dots, n-1\}$
 - Heap positions are $\{0, 1, \dots, n-1\}$
 - **VtoH** maps vertices to heap positions
 - **HtoV** maps heap positions to vertices
- Update node 1 to 35
- Update **VtoH** and **HtoV** each time we swap values in the heap



VtoH

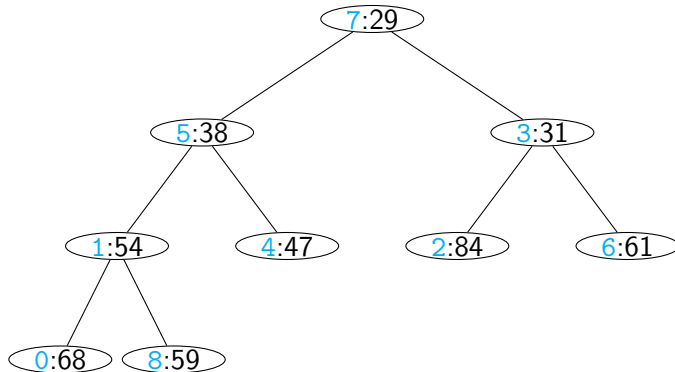
0	1	2	3	4	5	6	7	8
7	1	5	2	4	3	6	0	8

HtoV

0	1	2	3	4	5	6	7	8
7	1	3	5	4	2	6	0	8

Dijkstra's algorithm

- Using min-heaps
 - Identifying next vertex to visit is $O(\log n)$
 - Updating distance takes $O(\log n)$ per neighbour
 - Adjacency list — proportionally to degree



VtoH

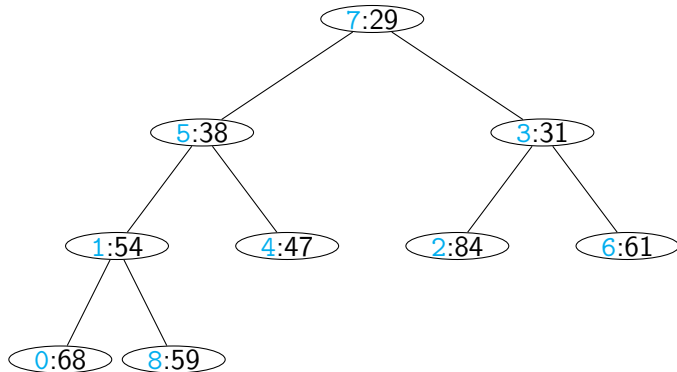
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7	3	5	2	4	1	6	0	8

HtoV

0	1	2	3	4	5	6	7	8
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Dijkstra's algorithm

- Using min-heaps
 - Identifying next vertex to visit is $O(\log n)$
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 - Adjacency list — proportionally to degree
- Cumulatively
 - $O(n \log n)$ to identify vertices to visit across n iterations
 - $O(m \log n)$ distance updates overall



VtoH

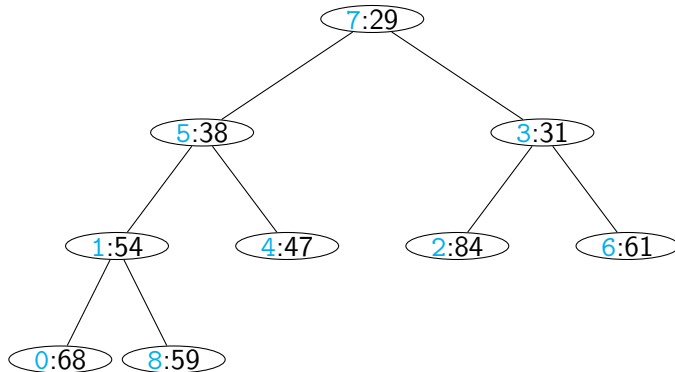
0	1	2	3	4	5	6	7	8
7	3	5	2	4	1	6	0	8

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0	1	2	3	4	5	6	7	8
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 - Adjacency list — proportionally to degree
- Cumulatively
 - $O(n \log n)$ to identify vertices to visit across n iterations
 - $O(m \log n)$ distance updates overall
- Overall $O((m + n) \log n)$



VtoH

0	1	2	3	4	5	6	7	8
7	3	5	2	4	1	6	0	8

HtoV

0	1	2	3	4	5	6	7	8
7	5	3	1	4	2	6	0	8

Heap sort

- Start with an unordered list

Heap sort

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- Build a heap — $O(n)$

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Heap sort

- Start with an unordered list
- Build a heap — $O(n)$
- Call `delete_max()` n times to extract elements in descending order — $O(n \log n)$
- After each `delete_max()`, heap shrinks by 1
- Store maximum value at the end of current heap

Heap sort

- Start with an unordered list
- Build a heap — $O(n)$
- Call `delete_max()` n times to extract elements in descending order — $O(n \log n)$
- After each `delete_max()`, heap shrinks by 1
- Store maximum value at the end of current heap
- In place $O(n \log n)$ sort

Summary

- Updating a value in a heap takes $O(\log n)$

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Summary

- Updating a value in a heap takes $O(\log n)$
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- In a similar way, improve Prim's algorithm to $O((m + n) \log n)$

Summary

- Updating a value in a heap takes $O(\log n)$
- Need to maintain additional pointers to map values to heap positions and vice versa
- With this extended notion of heap, Dijkstra's algorithm complexity improves from $O(n^2)$ to $O((m + n) \log n)$
- In a similar way, improve Prim's algorithm to $O((m + n) \log n)$
- Heaps can also be used to sort a list in place in $O(n \log n)$

Search Trees

Madhavan Mukund

<https://www.cmi.ac.in/~madhavan>

Programming, Data Structures and Algorithms using Python

Week 6

Dynamic sorted data

- Sorting is useful for efficient searching

Dynamic sorted data

- Sorting is useful for efficient searching
- What if the data is changing dynamically?
 - Items are periodically inserted and deleted

Dynamic sorted data

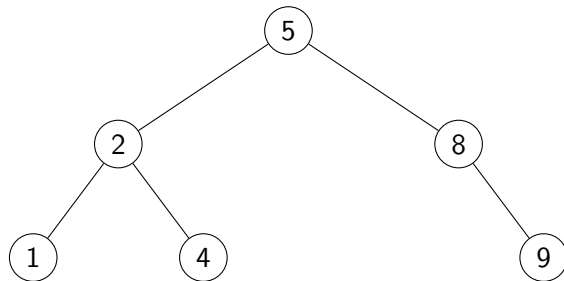
- Sorting is useful for efficient searching
- What if the data is changing dynamically?
 - Items are periodically inserted and deleted
- Insert/delete in a sorted list takes time $O(n)$

Dynamic sorted data

- Sorting is useful for efficient searching
- What if the data is changing dynamically?
 - Items are periodically inserted and deleted
- Insert/delete in a sorted list takes time $O(n)$
- Move to a tree structure, like heaps for priority queues

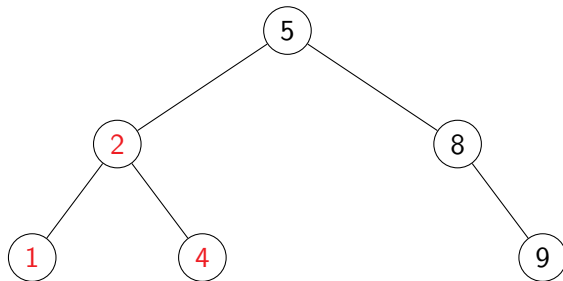
Binary search tree

- For each node with value v



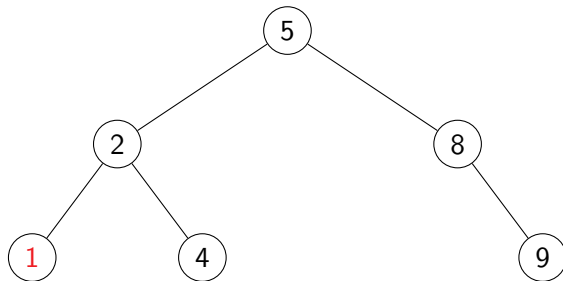
Binary search tree

- For each node with value v
 - All values in the left subtree are $< v$



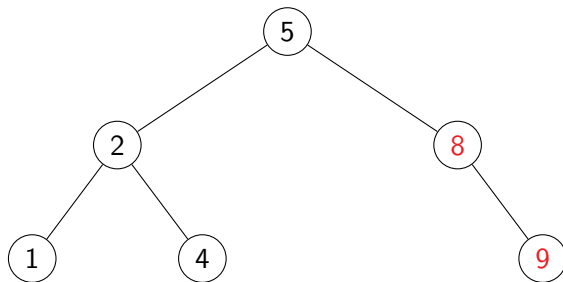
Binary search tree

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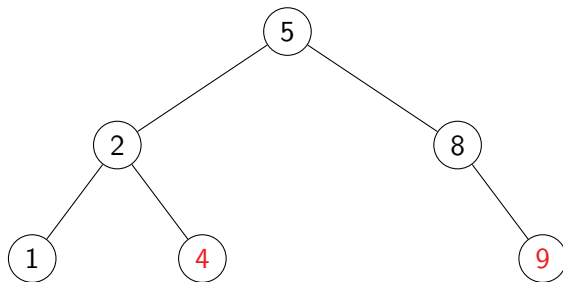
Binary search tree

- For each node with value v
 - All values in the left subtree are $< v$
 - All values in the right subtree are $> v$



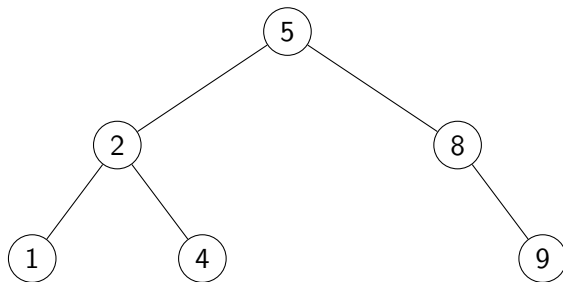
Binary search tree

- For each node with value v
 - All values in the left subtree are $< v$
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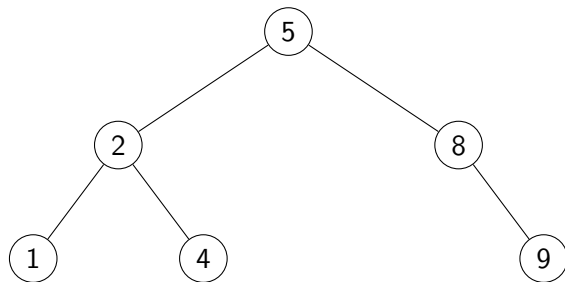
Binary search tree

- For each node with value v
 - All values in the left subtree are $< v$
 - All values in the right subtree are $> v$
- No duplicate values



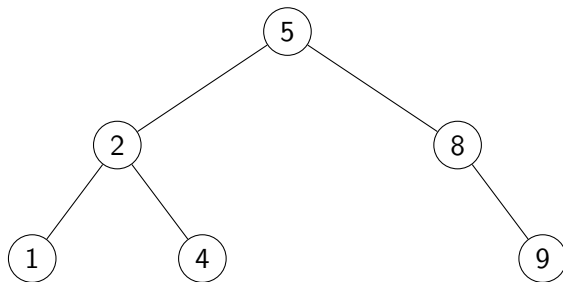
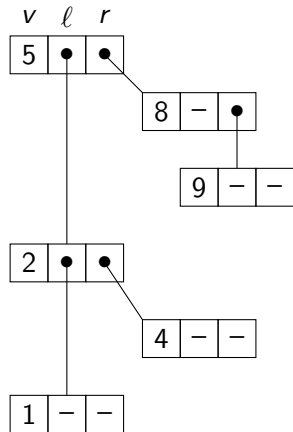
Implementing a binary search tree

- Each node has a value and pointers to its children



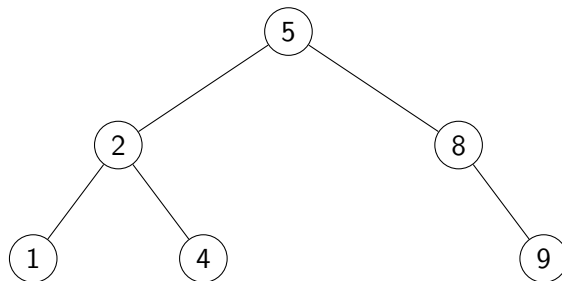
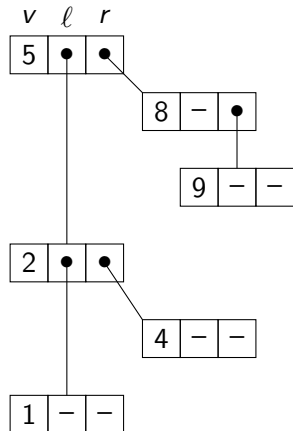
Implementing a binary search tree

- Each node has a value and pointers to its children



Implementing a binary search tree

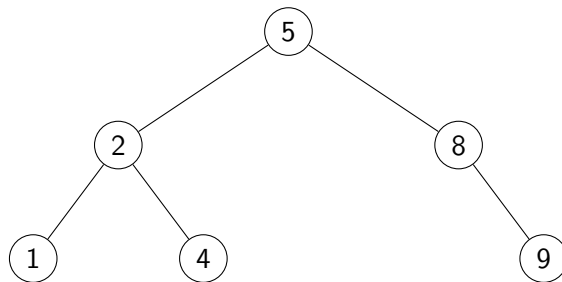
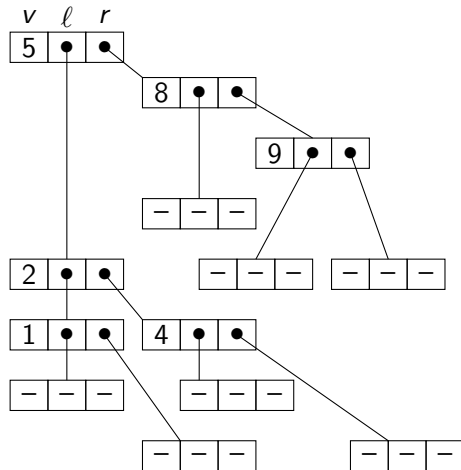
- Each node has a value and pointers to its children



- Add a frontier with empty nodes, all fields –
 - Empty tree is single empty node
 - Leaf node points to empty nodes

Implementing a binary search tree

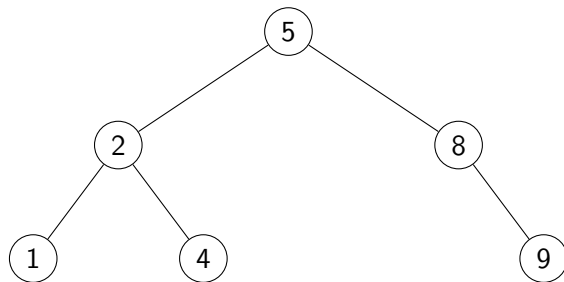
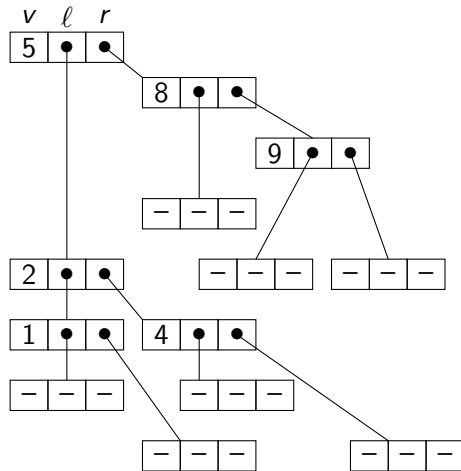
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Implementing a binary search tree

- Each node has a value and pointers to its children



- Add a frontier with empty nodes, all fields –
 - Empty tree is single empty node
 - Leaf node points to empty nodes
- Easier to implement operations recursively

The class Tree

- Three local fields, `value`, `left`, `right`
- Value `None` for empty value –
- Empty tree has all fields `None`
- Leaf has a nonempty `value` and empty `left` and `right`

```
class Tree:

    # Constructor:
    def __init__(self, initval=None):
        self.value = initval
        if self.value:
            self.left = Tree()
            self.right = Tree()
        else:
            self.left = None
            self.right = None
        return

    # Only empty node has value None
    def isempty(self):
        return (self.value == None)

    # Leaf nodes have both children empty
    def isleaf(self):
        return (self.value != None and
                self.left.isempty() and
                self.right.isempty())
```

Inorder traversal

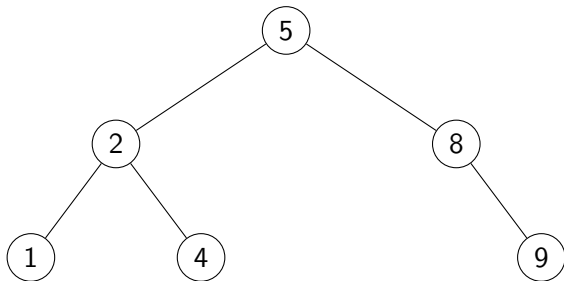
- List the left subtree, then the current node, then the right subtree
- Lists values in sorted order
- Use to print the tree

```
class Tree:
    ...
    # Inorder traversal
    def inorder(self):
        if self.isempty():
            return([])
        else:
            return(self.left.inorder()+
                   [self.value]+
                   self.right.inorder())

    # Display Tree as a string
    def __str__(self):
        return(str(self.inorder()))
```

Inorder traversal

- List the left subtree, then the current node, then the right subtree
- Lists values in sorted order
- Use to print the tree



```
class Tree:
```

```
...
```

```
# Inorder traversal
```

```
def inorder(self):
```

```
    if self.isempty():
```

```
        return([])
```

```
    else:
```

```
        return(self.left.inorder()+
```

```
                [self.value]+
```

```
                self.right.inorder())
```

```
# Display Tree as a string
```

```
def __str__(self):
```

```
    return(str(self.inorder()))
```

Find a value v

- Check value at current node
- If v smaller than current node, go left
- If v smaller than current node, go right
- Natural generalization of binary search

```
class Tree:
    ...
    # Check if value v occurs in tree
    def find(self,v):
        if self.isempty():
            return(False)

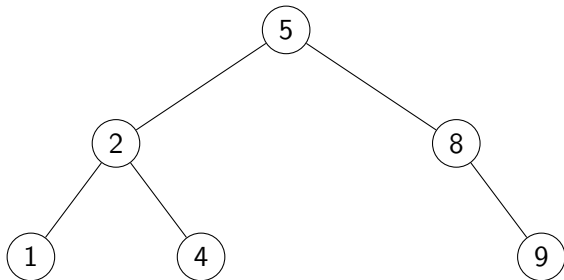
        if self.value == v:
            return(True)

        if v < self.value:
            return(self.left.find(v))

        if v > self.value:
            return(self.right.find(v))
```

Find a value v

- Check value at current node
- If v smaller than current node, go left
- If v smaller than current node, go right
- Natural generalization of binary search



```
class Tree:
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```
...
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```
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```

```
        return(self.left.find(v))
```

```
    if v > self.value:
```

```
        return(self.right.find(v))
```

Minimum and maximum

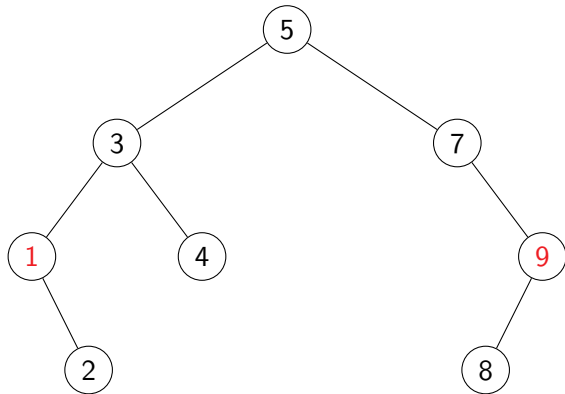
- Minimum is left most node in the tree
- Maximum is right most node in the tree

```
class Tree:
    ...
    def minval(self):
        if self.left.isempty():
            return(self.value)
        else:
            return(self.left.minval())

    def maxval(self):
        if self.right.isempty():
            return(self.value)
        else:
            return(self.right.maxval())
```


Minimum and maximum

- Minimum is left most node in the tree
- Maximum is right most node in the tree



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class Tree:
```

```
...
```

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```
    if self.left.isempty():
```

```
        return(self.value)
```

```
    else:
```

```
        return(self.left.minval())
```

```
def maxval(self):
```

```
    if self.right.isempty():
```

```
        return(self.value)
```

```
    else:
```

```
        return(self.right.maxval())
```

Insert a value v

- Try to find v
- Insert at the position where find fails

```
class Tree:
    ...
    def insert(self,v):
        if self.isempty():
            self.value = v
            self.left = Tree()
            self.right = Tree()

        if self.value == v:
            return

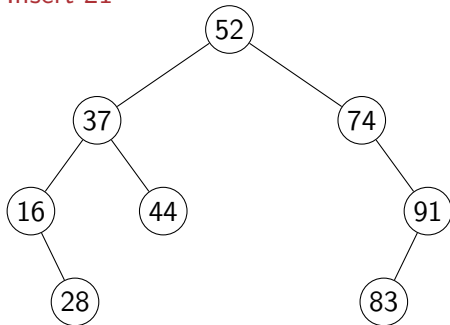
        if v < self.value:
            self.left.insert(v)
            return

        if v > self.value:
            self.right.insert(v)
            return
```

Insert a value v

- Try to find v
- Insert at the position where `find` fails

Insert 21



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class Tree:
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...
```

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def insert(self,v):  
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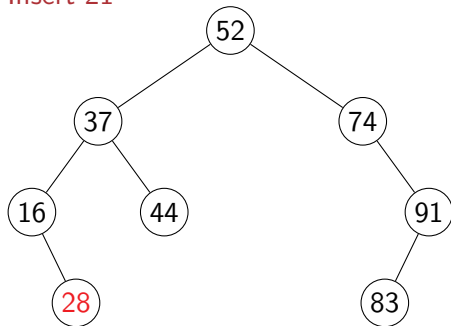
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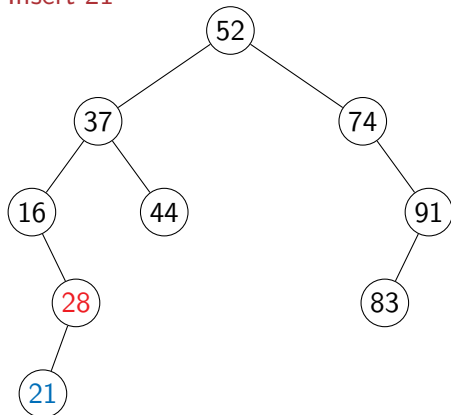
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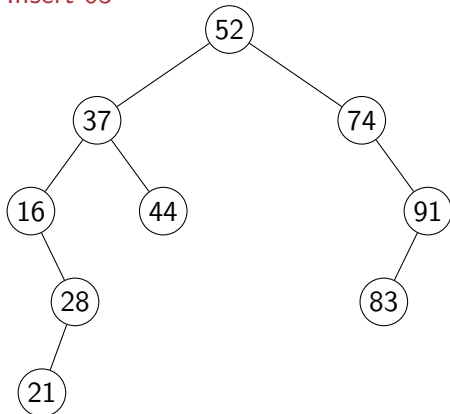
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```
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        return
```

Insert a value v

- Try to find v
- Insert at the position where `find` fails

Insert 65



```
class Tree:
```

```
...
```

```
def insert(self,v):
```

```
    if self.isempty():
```

```
        self.value = v
```

```
        self.left = Tree()
```

```
        self.right = Tree()
```

```
    if self.value == v:
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.insert(v)
```

```
        return
```

```
    if v > self.value:
```

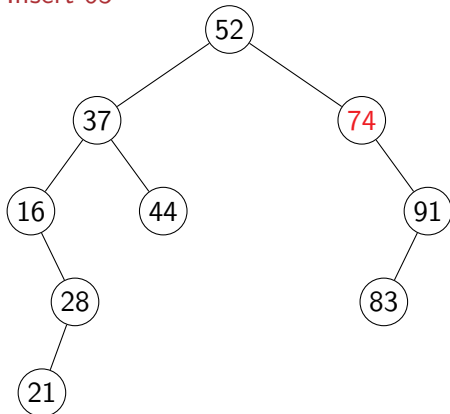
```
        self.right.insert(v)
```

```
        return
```

Insert a value v

- Try to find v
- Insert at the position where `find` fails

Insert 65



```
class Tree:
```

```
...
```

```
def insert(self,v):
```

```
    if self.isempty():
```

```
        self.value = v
```

```
        self.left = Tree()
```

```
        self.right = Tree()
```

```
    if self.value == v:
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.insert(v)
```

```
        return
```

```
    if v > self.value:
```

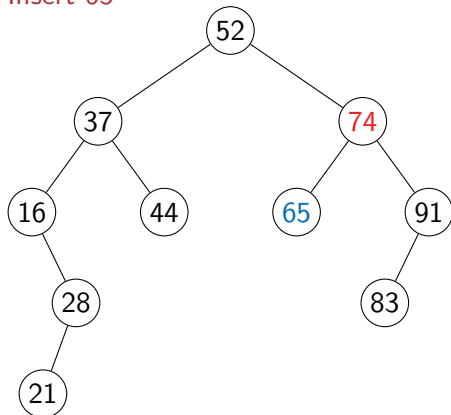
```
        self.right.insert(v)
```

```
        return
```

Insert a value v

- Try to find v
- Insert at the position where `find` fails

Insert 65



```
class Tree:
```

```
...
```

```
def insert(self,v):  
    if self.isempty():  
        self.value = v  
        self.left = Tree()  
        self.right = Tree()
```

```
    if self.value == v:  
        return
```

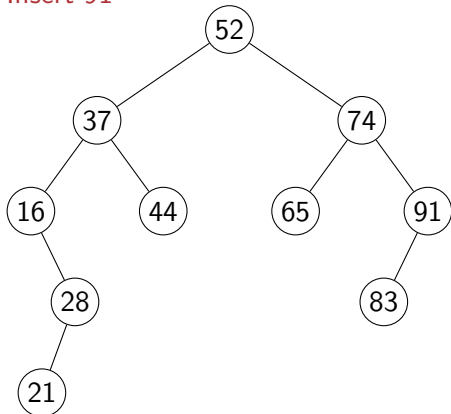
```
    if v < self.value:  
        self.left.insert(v)  
        return
```

```
    if v > self.value:  
        self.right.insert(v)  
        return
```


Insert a value v

- Try to find v
- Insert at the position where `find` fails

Insert 91



```
class Tree:
```

```
...
```

```
def insert(self,v):
```

```
    if self.isempty():
```

```
        self.value = v
```

```
        self.left = Tree()
```

```
        self.right = Tree()
```

```
    if self.value == v:
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.insert(v)
```

```
        return
```

```
    if v > self.value:
```

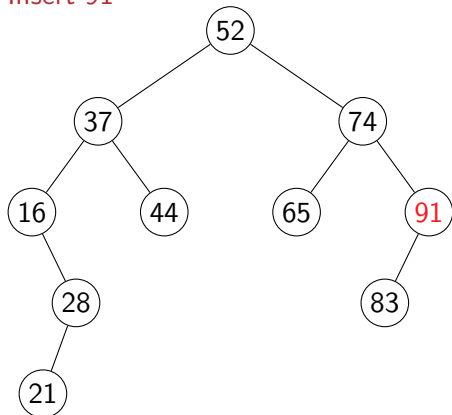
```
        self.right.insert(v)
```

```
        return
```

Insert a value v

- Try to find v
- Insert at the position where `find` fails

Insert 91



```
class Tree:
```

```
...
```

```
def insert(self,v):
```

```
    if self.isempty():
```

```
        self.value = v
```

```
        self.left = Tree()
```

```
        self.right = Tree()
```

```
    if self.value == v:
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.insert(v)
```

```
        return
```

```
    if v > self.value:
```

```
        self.right.insert(v)
```

```
        return
```

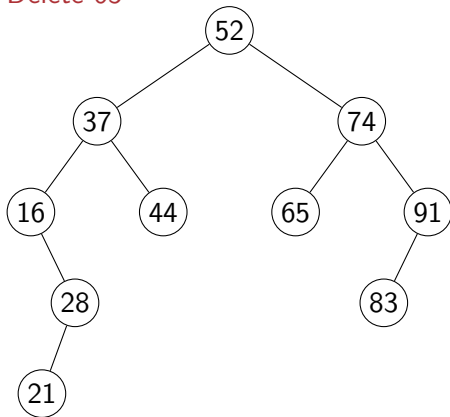
Delete a value v

- If v is present, delete
- Leaf node? No problem
- If only one child, promote that subtree
- Otherwise, replace v with `self.left.maxval()` and delete `self.left.maxval()`
 - `self.left.maxval()` has no right child

```
class Tree:
    ...
    def delete(self,v):
        if self.isempty():
            return
        if v < self.value:
            self.left.delete(v)
            return
        if v > self.value:
            self.right.delete(v)
            return
        if v == self.value:
            if self.isleaf():
                self.makeempty()
            elif self.left.isempty():
                self.copyright()
            elif self.right.isempty():
                self.copyleft()
            else:
                self.value = self.left.maxval()
                self.left.delete(self.left.maxval())
        return
```

Delete a value v

Delete 65



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

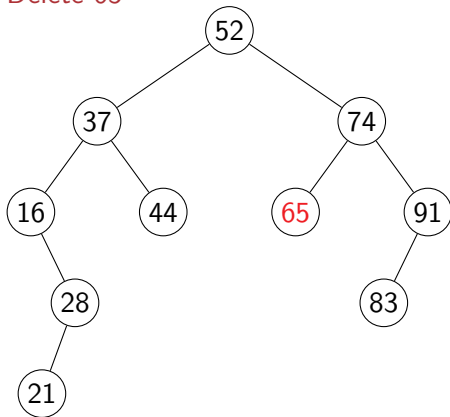
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 65



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

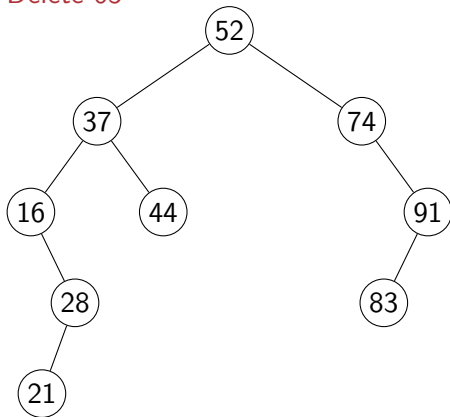
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 65



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

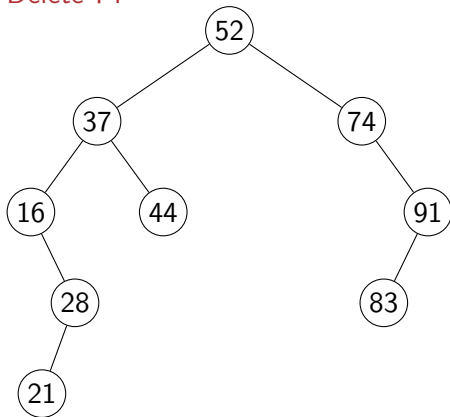
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 74



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

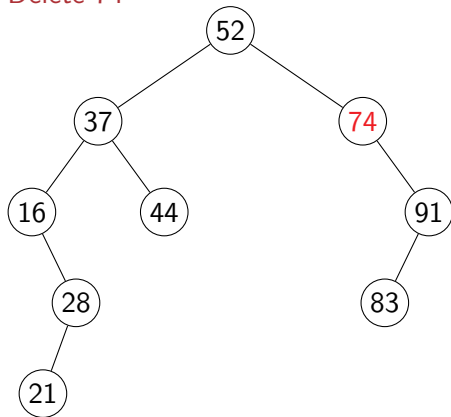
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 74



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

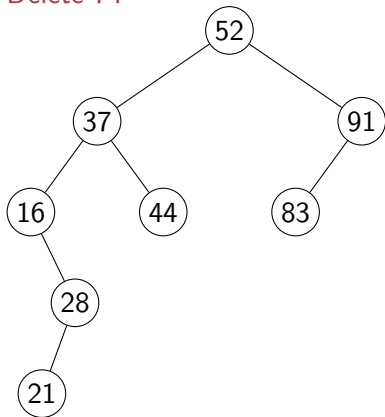
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```


Delete a value v

Delete 74



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

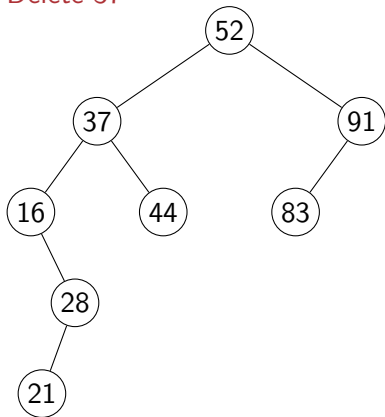
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 37



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

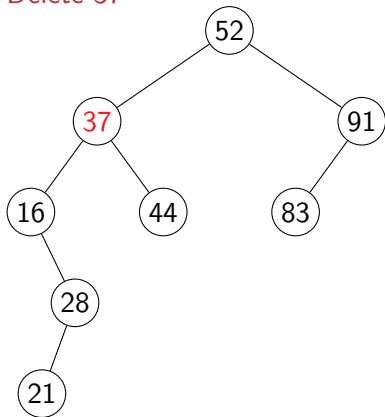
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 37



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

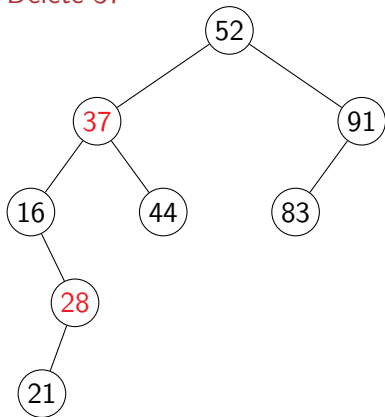
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 37



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

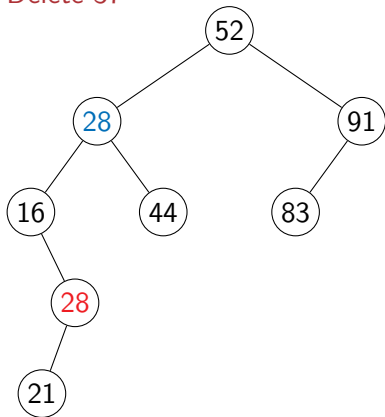
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 37



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

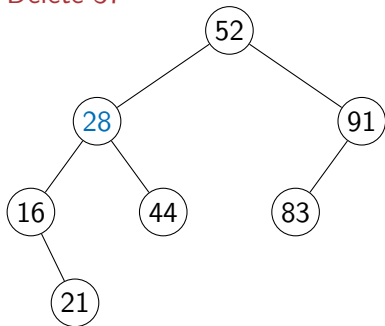
```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

Delete 37



```
class Tree:
```

```
...
```

```
def delete(self,v):
```

```
    if self.isempty():
```

```
        return
```

```
    if v < self.value:
```

```
        self.left.delete(v)
```

```
    return
```

```
    if v > self.value:
```

```
        self.right.delete(v)
```

```
    return
```

```
    if v == self.value:
```

```
        if self.isleaf():
```

```
            self.makeempty()
```

```
        elif self.left.isempty():
```

```
            self.copyright()
```

```
        elif self.right.isempty():
```

```
            self.copyleft()
```

```
    else:
```

```
        self.value = self.left.maxval()
```

```
        self.left.delete(self.left.maxval())
```

```
    return
```

Delete a value v

```
class Tree:
```

```
    ...
    def delete(self,v):
        if self.isempty():
            return
        if v < self.value:
            self.left.delete(v)
            return
        if v > self.value:
            self.right.delete(v)
            return
        if v == self.value:
            if self.isleaf():
                self.makeempty()
            elif self.left.isempty():
                self.copyright()
            elif self.right.isempty():
                self.copyleft()
            else:
                self.value = self.left.maxval()
                self.left.delete(self.left.maxval())
        return
```

```
# Convert leaf node to empty node
```

```
def makeempty(self):
    self.value = None
    self.left = None
    self.right = None
    return
```

```
# Promote left child
```

```
def copyleft(self):
    self.value = self.left.value
    self.right = self.left.right
    self.left = self.left.left
    return
```

```
# Promote right child
```

```
def copyright(self):
    self.value = self.right.value
    self.left = self.right.left
    self.right = self.right.right
    return
```

Complexity

- `find()`, `insert()` and `delete()` all walk down a single path
- Worst-case: height of the tree
- An unbalanced tree with n nodes may have height $O(n)$
- Balanced trees have height $O(\log n)$
- Will see how to keep a tree balanced to ensure all operations remain $O(\log n)$