Data Structures

Gabriel Istrate Course 5

Outline

- Hash tables.
- Binary search trees
- Randomized binary search trees

Where are we?

- A dictionary is an abstract data structure that represents a set of elements (or keys)
 - ▶ a dynamic set

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 - ▶ a dynamic set
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 - ► Insert(D, k) adds a key k to the dictionary D
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 - ► Search(D, k) tells whether D contains a key k
- Implementation (so far)
 - ▶ direct access tables. Linked lists. (Skip lists). Hash tables.

- Idea
 - use a table T with $|T| \ll |U|$
 - \blacktriangleright map each key $k \in U$ to a position in T, using a hash function

$$h:U\to\{1,\dots,|T|\}$$

ightharpoonup h(k) easy (O(1)) to compute given k

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Are these algorithms always correct? No!

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Are these algorithms always correct? collide? (I.e., $h(k_1) = h(k_2)$)

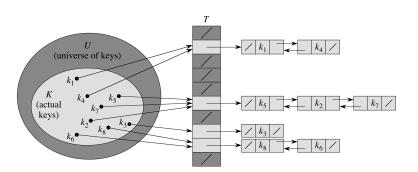
No! What if two distinct keys $k_1 \neq k_2$

- Work well "on the average"
- Analogy: throw T balls at random into N bins.
- If $T \ll N$ (in fact $T = o(\sqrt{N})$ then with high-probability no two balls land in the same bin.
- On the average: T/N balls in each bin.
- Want our hash-function to be "random-like": elements of U "thrown out uniformly" by h onto elements of T.

Hashing With Chaining

- Store all objects that map to the same bucket in a linked list.
- "Hope" that hash function is "uniform enough", linked lists are not too large, set operations are efficient.

Hashing with Chaining



• We assume uniform hashing for our hash function $h: U \to \{1...|T|\}$ (where |T| = T.length)

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(The formalism is actually a bit more complicated.)

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- Therefore, the complexity of Chained-Hash-Search is

$$\Theta(1+\alpha)$$

Hashing with Open Addressing

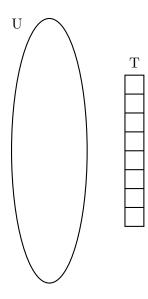
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 - ▶ this implies $\alpha \leq 1$

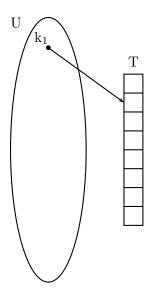
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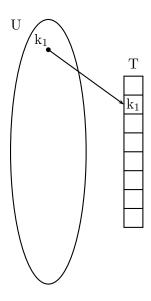
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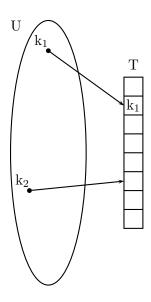
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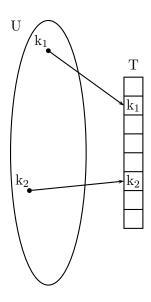
- Alternative to chaining: instead of using linked lists, store all the elements in the table
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- When a collision occurs, simply find another free cell in T
- A sequential "probing" method may not be optimal
 - ► can you imagine why?

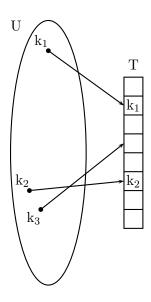


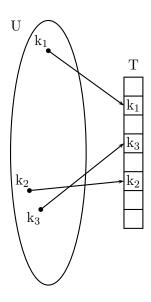


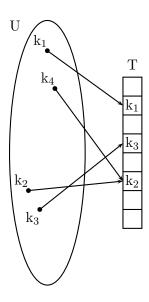


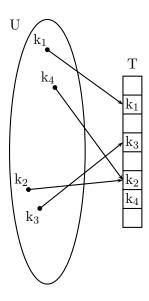


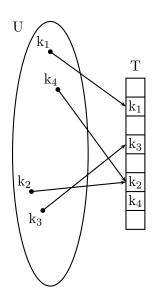












```
\begin{array}{lll} \operatorname{Hash-Insert}(T,k)1 & j=h(k) \\ 2 & \text{for } i=1 \text{ to } T. \text{length} \\ 3 & \text{if } T[j]== \text{nil} \\ 4 & T[j]=k \\ 5 & \text{return } j \\ 6 & \text{elseif } j < T. \text{length} \\ 7 & j=j+1 \\ 8 & \text{else } j=1 \\ 9 & \text{error "overflow"} \end{array}
```

Open-Addressing (3)

```
\begin{array}{ll} \operatorname{Hash-Insert}(T,k)1 & \operatorname{for}\ i=1\ \operatorname{to}\ T.\operatorname{length} \\ 2 & j=h(k,i) \\ 3 & \operatorname{if}\ T[j]==\operatorname{nil} \\ 4 & T[j]=k \\ 5 & \operatorname{return}\ j \\ 6 & \operatorname{error}\ "\operatorname{overflow}" \end{array}
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- Notice that $h(k, \cdot)$ must be a permutation
 - $\,\blacktriangleright\,$ i.e., $h(k,1),h(k,2),\ldots,h(k,|T|)$ must cover the entire table T

```
HASH-SEARCH(T, k)

1 i \leftarrow 0

2 repeat j \leftarrow h(k, i)

3 if T[j] = k

4 then return j

5 i \leftarrow i + 1

6 until T[j] = \text{NIL or } i = m

7 return NIL
```

Open-address hashing

- Deletion: difficult. Marking NIL does not work.
- Doing so might make it impossible to retrieve any key during whose insertion probed slot i and found it occupied.
- One solution: DELETED instead of NIL. Problem: search time no longer dependent on load factor.
- Techniques for probing: linear probing, quadratic probing and double hashing.
- Linear probing: given auxiliary hash function $h': U \to \{0, \dots, m-1\}$, use hash function

$$h(k, i) = (h'(k) + i) \mod m.$$

- Easy to implement but suffers from problem called **primary clustering**.
- Long runs of occupied slots build up, increasing average search time.

Open-address hashing

• Quadratic probing

$$h(k, i) = (h'(k) + c_1i + c_2i^2) \text{ mod } m.$$

- Works much better than linear probing, but to make use of full hash table the values of c_1, c_2, m are constrained.
- Suffers from secondary clustering: if two keys have the same initial probe position then their probe sequences are the same.

Open-address hashing

• Double hashing

$$h(k, i) = (h_1(k) + ih_2(k)) \mod m.$$

- Among the best methods for open addressing.
- $h_2(k)$ must be relative prime to m. One solution is m a power of two and $h_2(k)$ odd.
- Another one: m prime, $h_2(k) < m$.
- Given an open address hash table with load factor $\alpha = n/m < 1$ the expected number of probes in an unsuccessful search is at most $1/(1-\alpha)$, assuming uniform hashing.

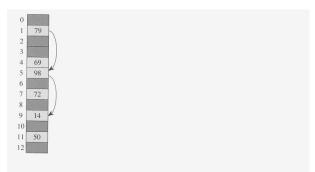


Figure 11.5 Insertion by double hashing. Here we have a hash table of size 13 with $h_1(k)=k \mod 13$ and $h_2(k)=1+(k \mod 11)$. Since $14\equiv 1 \pmod 13$ and $14\equiv 3 \pmod 11$, the key 14 is inserted into empty slot 9, after slots 1 and 5 are examined and found to be occupied.

Perfect hashing

- Hashing can provide worst-case performance when the set of keys is static: once stored in the table, the set of keys never changes.
- Example: set of files on a DVD-R (finished).
- Perfect hashing: the worst-case number of accesses to perform a search is O(1).
- Idea: two-level hashing with universal hashing at each level.
- First level: the n keys are hashed into m slots using a hashing function chosen from a family of universal hash functions.
- \bullet Instead of chaining: Use (small) secondary table S_j with an associated hash function $h_j.$
- Choosing h_j carefully guarantees no collisions.

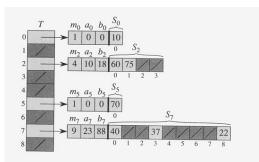


Figure 11.6 Using perfect hashing to store the set $K = \{10, 22, 37, 40, 60, 70, 75\}$. The outer hash function is $h(k) = ((ak+b) \bmod p) \bmod m$, where a=3, b=42, p=101, and m=9. For example, h(75) = 2, so key 75 hashes to slot 2 of table T. A secondary hash table S_j stores all keys hashing to slot j. The size of hash table S_j is m_j , and the associated hash function is $h_j(k) = ((a_jk+b_j) \bmod p) \bmod m_j$. Since $h_2(75) = 1$, key 75 is stored in slot 1 of secondary hash table S_2 . There are no collisions in any of the secondary hash tables, and so searching takes constant time in the worst case.

Perfect hashing: design

- $n_i = number$ of elements that hash to slot j.
- We let $m_j = |S_j| = n_j^2$.
- Idea: if $m = n^2$ and we store n keys in a table of size $m = n^2$ using a hash function randomly chosen from a set of universal hash function then the collision probability is at most 1/2.
- Find a good hash function using O(1) trials.
- Expected amount of memory O(n).
- Why this works: proof omitted (see Cormen if curious).

Good hash functions: Single Hashing

Caution

- The area of designing good hash function huge.
- Theoreticians and practitioners as well.
- Many hash functions good for specific goal.
- Appearing next does not mean you should blindly use them!
- Drozdek: discusses some more "practical" examples.
- Here: we follow CORMEN, concentrate on general ideas.

Requirements

- A good hash function satisfies (approximately) the assumption of uniform hashing.
- Unfortunately, usually we don't know probability distribution of the keys, and keys might not be drawn independently.

Good hash functions

- Good case: if items are random real numbers k uniformly distributed in [0,1), $h(k) = \lfloor km \rfloor$ satisfies simple uniform hashing conditions.
- Most hash functions assume universe of keys are the natural numbers.
- E.g. character string = integer in base 128 notation.
- Identifier pt. ASCII p = 112, t = 116, becomes $112 \cdot 128 + 116 = 14452$.
- Division method: $h(k) = k \mod m$. Avoid some values of m,e.g. powers of two. Indeed, if $m = 2^p$ then h(k) = the p lowest bits of k. Unless we know that p lowest bits of keys are uniform not a good idea.
- Prime not too close to an exact power of two = often a good choice.

- Input: broken into pieces.
- Combined in some way.

Example

- SSN (American CNP): 123456789.
- Divide into three parts: 123, 456, 789.
- Add these: 1368.
- Reduced modulo table-size (1000): 368

Good hash functions: Multiplication method

- Multiplication method: Two stage procedure
- First, multiply key by constant A in range 0 < A < 1, extract fractional part.
- Then multiply by m, extract floor.
- $h(k) = |m(kA \mod 1)|$.
- Value of m not critical. $m = 2^p$.
- Easy implementation. Restrict $A = s/2^w$, w=machine word size.
- Better with some values of A than other. Knuth suggests $A \sim (\sqrt{5} 1)/2$ will work well.

Multiplication-method of hashing

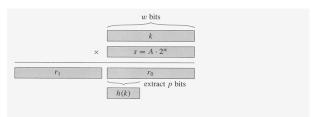


Figure 11.4 The multiplication method of hashing. The w-bit representation of the key k is multiplied by the w-bit value $s = A \cdot 2^w$. The p highest-order bits of the lower w-bit half of the product form the desired hash value h(k).

Multiply-shift hashing

- $m = 2^l$, $l \le w$, w = word size.
- fixed w-bit positive integer $a = A2^{w}$, 0 < A < 1.

Hashing $h = h_a(k)$ implemented as follows:

- First multiply k by w-bit a. Result: $r_1 \cdot 2^w + r_0$.
- $h_a(k) = most significant l bits of r_0$.
- fast but no guarantees of performance.

$$h_a(k) = (ka \mod 2^w) >>> (k-1).$$

Universal hashing

- Any fixed hash function vulnerable to worst case behavior:
- if "adversary" chooses n keys that all hash to the same slot, this yields average search time of $\theta(n)$.
- Practical example: Crosby and Wallach (USENIX'03) have shown that one can slow down to a halt systems by attacking implementations of hash tables in Perl, squid web proxy, Bro intrusion detection.
- Cause: hashing mechanism known (due to, e.g. publicly available implementation).
- Solution: choose hash function randomly, independent of the keys that are going to be stored.

Attack when hashing mechanism known

Denial of Service via Algorithmic Complexity Attacks

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Abstract

We present a new class of low-bandwidth denial of service attacks that exploit algorithmic deficiencies in many common applications' data structures. Frequently used data structures have "average-case" expected running time that's far more efficient than the worst case. For example, both binary trees and hash tables can degenerate to linked lists with carefully chosen input. We show how an attacker can effectively compute such input, and we demonstrate attacks against the hash table implementations in two versions of Perl, the Squid web proxy, and the Bro intrusion detection system. Using bandwidth less than a typical dialup modem, we can bring a dedicated Bro server to its knees; after six mintuses of carefully chosen packts, sou Bro server was

sume O(n) time to insert n elements. However, if each element hashes to the same bucket, the hash table will also degenerate to a linked list, and it will take $O(n^2)$ time to insert n elements.

While balanced tree algorithms, such as red-black trees [11], AVL trees [1], and treaps [17] can avoid predictable input which causes worst-case behavior, and universal hash functions [5] can be used to make hash functions that are not predictable by an attacker, many common applications use simpler algorithms. If an attacker can control and predict the inputs being used by these algorithms, then the attacker may be able to induce the worst-case execution time, effectively causing a denial-of-service (DoS) attack.

Such algorithmic DoS attacks have much in com-

Universal hashing

- \mathcal{H} finite collection of hash functions that map universe U into $\{0, 1, \ldots, m-1\}$.
- Such a collection is called universal if for every keys $k \neq l \in U$, the number of hash functions $h \in \mathcal{H}$ for which h(k) = h(l) is at most $|\mathcal{H}/m|$.
- ϵ -universal: probability of any fixed collision $\leq \epsilon$.
- Suppose a hash function h is chosen from a universal collection of hash functions, and is used to hash n keys into a table T of size m (using chaining).
- If key is not in the table expected length of the list that k hashes to is at most α .
- If key is not in the table expected length of the list that k hashes to is at most $1 + \alpha$.

A universal class of hash functions

- Due to Carter and Wegman.
- $a \equiv b \pmod{p}$ if p|(a b).
- Z_p: integers modulo p. p prime.
- How do we choose p? So that all keys are in the range 0 to p-1.
- m: number of slots in the hash table.
- $\bullet \ a \in Z_p^*, \ b \in Z_p.$
- $h_{a,b}(k) = ((ak + b) \pmod{p}) \pmod{m}$.
- $\bullet \ \mathcal{H}_{p,m}=\{h_{a,b}:a\in Z_p^*,b\in Z_p\}.$
- Other applications of this set of hash functions: pseudo-random generators.

Theoretical guarantee:

Theorem

Using universal hashing by chaining in an initially empty hash table with m slots, it takes $\Theta(s)$ expected time to handle s operations (INSERT, DELETE, SEARCH) containing n = O(m) INSERT operations.

Proof: see Cormen.

Practical recommendation for universal hashing

$$\mathcal{H} = \{h_a : a \text{ is odd}, 1 \leq a < m \text{ and } h_a(k) = (ka \text{ mod } 2^w) >>> w - l \}$$

THEOREM: \mathcal{H} is 2/m-universal.

- Weaker collision probability ...
- ... but fast to compute.

Hashing: there is more

- Cryptographic hash functions: hash functions with good security properties.
- Most well-known cryptographic hash function: md5 (Rabin). You probably have encountered it if you downloaded anything large from the web.
- (sha-1), sha-2, sha-3.
- SHA-256: NIST standard: 256-bit output.
- (Some) attacks on sha-1 (CWI Amsterdam, 2017)

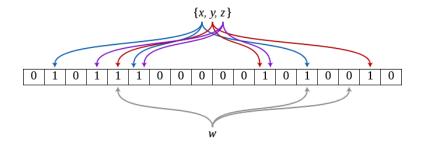
SHA1("The quick brown fox jumps over the lazy dog") gives hexadecimal: 2fd4e1c67a2d28fced849ee1bb76e7391b93eb12 gives Base64 binary to ASCII text encoding: L9ThxnotKPzthJ7hu3bnORuT6xI=

Bloom filters

• Probabilistic data structure. Used to test membership of an element in a dataset.

• NO answer: correct

• YES anwer: possibly false positive.

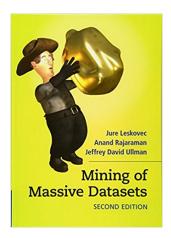


Hashing: where to go from here

- MapReduce model for grid computing: programming with hash functions.
- Data: key-value pairs.
- Map: applied in parallel to every pair (keyed by k1). Produces a list of pairs (keyed by k2) for each call.
- Mapreduce collects all pairs with the same k2 and groups them together.
- Reduce: applied in parallel to each group, which in turn produces a collection of values in the same domain.

Hashing: where to go from here

- Cormen last edition: hashing for hierarchical memory models wee hashing
- Locality-sensitive hashing: reduces the dimensionality of high-dimensional data. LSH hashes input items so that similar items map to the same 'buckets' with high probability.



Hashing in programming languages

- Python: dictionaries.
- Hash tables in STL: some implementations (e.g. SGI). Most functionality provided by associative container map (implemented using red-black trees).
- However: C++-11: <u>two</u> implementations, std::unordered_map and std::unordered_set.

Algorithm

Average Complexity (Search successful/not)

INSERT/SEARCH/DELETE, chaining:	$O(1+\alpha)$	\checkmark
SEARCH, linear probing:	$\frac{1}{2}(1+\frac{1}{1-lpha}), \frac{1}{2}(1+\frac{1}{1-lpha^2})$	\checkmark
SEARCH, quadratic probing:	$1-\ln(1-\alpha)-\frac{\alpha}{2},\frac{1}{1-\alpha}-\alpha-\ln(1-\alpha)$	\checkmark
SEARCH, double hashing:	$\frac{1}{\alpha}\ln(1-\alpha), \frac{1}{1-\alpha}$	✓

Reference, probing complexities: Drozdek/Knuth.

- practical! ✓
- \bullet Hard to analyze mathematically: those results under uniform hashing (not at all clear) \times
- Somewhat hard to engineer. ×.

What can we do?

Perhaps $O(1(+\alpha))$ too ambitious? Something, say $O(\log n)$?

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In practice log(n) is a small number!

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- iteration: Tree-Successor(x) and Tree-Predecessor(x) find the successor and predecessor, respectively, of an element x

- Implementation
 - ▶ T represents the tree, which consists of a set of nodes

• Implementation

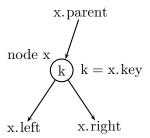
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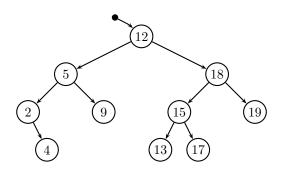
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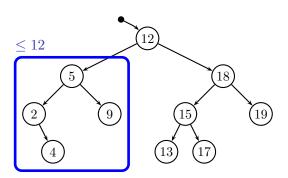
- ▶ T represents the tree, which consists of a set of nodes
- ▶ T.root is the root node of tree T

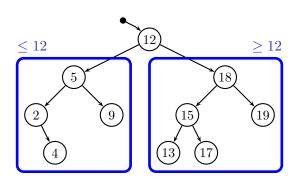
Node x

- x. parent is the parent of node x
- x. key is the key stored in node x
- x. left is the left child of node x
- x.right is the right child of node x

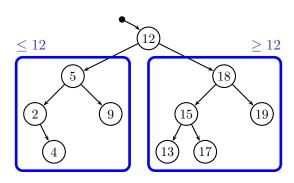






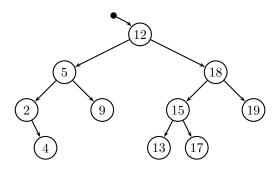


Binary Search Trees (3)

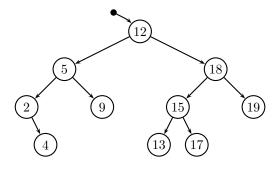


- Binary-search-tree property
 - ▶ for all nodes x, y, and z
 - ▶ $y \in left\text{-subtree}(x) \Rightarrow y. key \leq x. key$
 - $ightharpoonup z \in right\text{-subtree}(x) \Rightarrow z. \ker z \geq x. \ker z$

• We want to go through the set of keys in order



• We want to go through the set of keys in order



 $2 \quad 4 \quad 5 \quad 9 \quad 12 \quad 13 \quad 15 \quad 17 \quad 18 \quad 19$

Inorder Tree Walk (2)

• A recursive algorithm

Inorder Tree Walk (2)

• A recursive algorithm

```
 \begin{array}{ll} \operatorname{Inorder-Tree-Walk}(x)1 & \operatorname{if}\ x \neq \operatorname{nil} \\ 2 & \operatorname{Inorder-Tree-Walk}(x.\operatorname{left}) \\ 3 & \operatorname{print}\ x.\operatorname{key} \\ 4 & \operatorname{Inorder-Tree-Walk}(x.\operatorname{right}) \end{array}
```

Inorder Tree Walk (2)

• A recursive algorithm

```
 \begin{array}{ll} \text{Inorder-Tree-Walk(x)1} & \text{if } x \neq \text{nil} \\ 2 & \text{Inorder-Tree-Walk(x.left)} \\ 3 & \text{print } x.\text{key} \\ 4 & \text{Inorder-Tree-Walk(x.right)} \\ \end{array}
```

And then we need a "starter" procedure

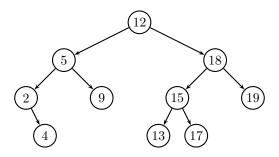
```
In order-Tree-Walk-Start (T) 1 \quad In order-Tree-Walk (T. root)
```

Preorder Tree Walk

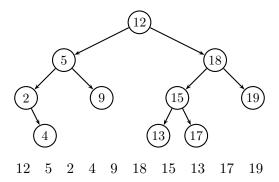
Preorder Tree Walk

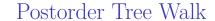
```
\begin{array}{ll} \operatorname{Preorder-Tree-Walk}(x)1 & \operatorname{if}\ x \neq \operatorname{nil} \\ 2 & \operatorname{print}\ x.\operatorname{key} \\ 3 & \operatorname{Preorder-Tree-Walk}(x.\operatorname{left}) \\ 4 & \operatorname{Preorder-Tree-Walk}(x.\operatorname{right}) \end{array}
```

Preorder-Tree-Walk(x)1	if $x \neq nil$
2	print x.key
3	Preorder-Tree-Walk(x.left)
4	Preorder-Tree-Walk(x.right)



Preorder-Tree-Walk(x)1	if $x \neq nil$
2	print x.key
3	Preorder-Tree-Walk(x.left)
4	Preorder-Tree-Walk(x.right)

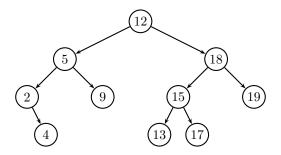




Postorder Tree Walk

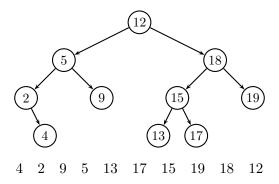
```
\begin{array}{ll} Postorder\text{-}Tree\text{-}Walk(x)1 & if \ x \neq nil \\ 2 & Postorder\text{-}Tree\text{-}Walk(x, left) \\ 3 & Postorder\text{-}Tree\text{-}Walk(x, right) \\ 4 & print \ x, key \end{array}
```

Postorder-Tree-Walk(x)1	if $x \neq nil$
2	Postorder-Tree-Walk(x. left)
3	Postorder-Tree-Walk(x.right)
4	print x.key



Postorder Tree Walk

Postorder-Tree-Walk(x)1	if $x \neq nil$
2	Postorder-Tree-Walk(x. left)
3	Postorder-Tree-Walk(x.right)
4	print x.key



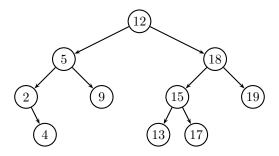


Reverse-Order Tree Walk

```
\begin{tabular}{lll} Reverse-Order-Tree-Walk(x)1 & if $x\neq nil$\\ & & Reverse-Order-Tree-Walk(x.right)\\ & & & print $x.key$\\ & & & Reverse-Order-Tree-Walk(x.left)\\ \end{tabular}
```

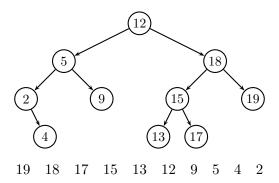
Reverse-Order Tree Walk

if $x \neq nil$
Reverse-Order-Tree-Walk(x.right)
print x.key
Reverse-Order-Tree-Walk(x. left)



Reverse-Order Tree Walk

if $x \neq nil$
Reverse-Order-Tree-Walk(x.right)
print x.key
Reverse-Order-Tree-Walk(x. left)



Application of postorder: Computing Arithmetic Expressions

- Arithmetic expressions can be represented by syntax trees.
- Given an expression represented by tree, compute its value!
- Each tree node: value field.
- Postorder traversal prints postfix notation/computes the value.

• The general recurrence is

$$T(n) = T(n_L) + T(n - n_L - 1) + \Theta(1)$$

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$$T(n) = T(n_L) + T(n - n_L - 1) + \Theta(1)$$

Inorder-Tree-Walk	Θ(n)
Preorder-Tree-Walk	$\Theta(n)$
Postorder-Tree-Walk	Θ(n)
Reverse-Order-Tree-Walk	$\Theta(n)$

• The general recurrence is

$$T(n) = T(n_L) + T(n - n_L - 1) + \Theta(1)$$

Inorder-Tree-Walk	Θ(n)
Preorder-Tree-Walk	Θ(n)
Postorder-Tree-Walk	Θ(n)
Reverse-Order-Tree-Walk	Θ(n)

We could prove this using the substitution method

• The general recurrence is

$$T(n) = T(n_L) + T(n - n_L - 1) + \Theta(1)$$

Inorder-Tree-Walk	Θ(n)
Preorder-Tree-Walk	Θ(n)
Postorder-Tree-Walk	Θ(n)
Reverse-Order-Tree-Walk	Θ(n)

We could prove this using the substitution method

• Can we do better?

• The general recurrence is

$$T(n) = T(n_L) + T(n-n_L-1) + \Theta(1)$$

Inorder-Tree-Walk	Θ(n)
Preorder-Tree-Walk	Θ(n)
Postorder-Tree-Walk	Θ(n)
Reverse-Order-Tree-Walk	Θ(n)

We could prove this using the substitution method

- Can we do better? No!
 - the length of the output is $\Theta(n)$



Minimum and Maximum Keys

- Recall the binary-search-tree property
 - for all nodes x, y, and z
 - ▶ $y \in left\text{-subtree}(x) \Rightarrow y.key \leq x.key$
 - $ightharpoonup z \in right\text{-subtree}(x) \Rightarrow z. \text{key} \ge x. \text{key}$

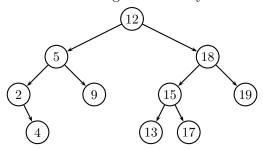
Minimum and Maximum Keys

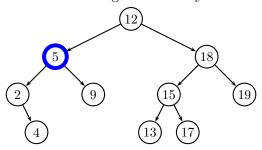
- Recall the binary-search-tree property
 - ▶ for all nodes x, y, and z
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 - $ightharpoonup z \in right\text{-subtree}(x) \Rightarrow z. \text{key} \geq x. \text{key}$
- So, the minimum key is in all the way to the left
 - ▶ similarly, the maximum key is all the way to the right

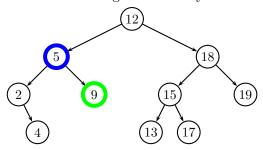
Tree-Minimum(x)1 while
$$x.left \neq nil$$

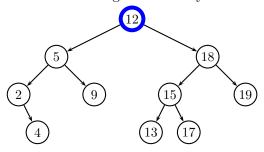
2 $x = x.left$
3 return x

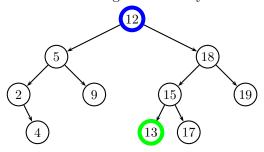
```
Tree-Maximum(x)1 while x.right \neq nil
2 x = x.right
3 return x
```



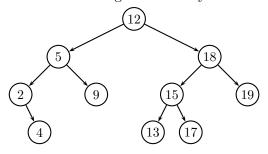






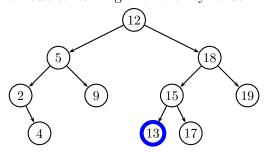


• Given a node x, find the node containing the next key value



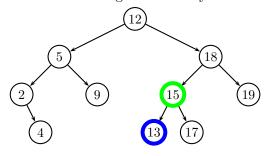
• The successor of x is the minimum of the right subtree of x, if that exists

• Given a node x, find the node containing the next key value



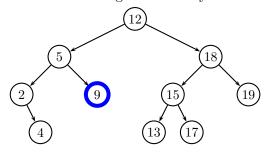
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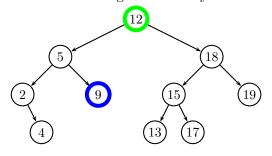
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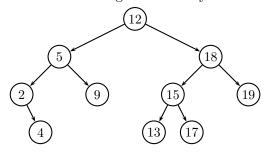
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• The successor of x is the minimum of the right subtree of x, if that exists

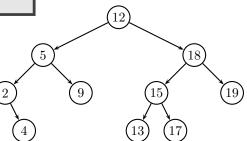
• Given a node x, find the node containing the next key value



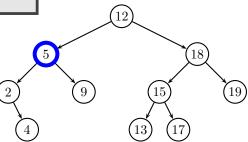
- The successor of x is the minimum of the right subtree of x, if that exists
- Otherwise it is the first ancestor a of x such that x falls in the left subtree of a

```
\begin{array}{ll} \text{Tree-Successor}(x)1 & \text{if } x.\text{right} \neq \text{nil} \\ 2 & \text{return Tree-Minimum}(x.\text{right}) \\ 3 & y = x.\text{parent} \\ 4 & \text{while } y \neq \text{nil and } x = y.\text{right} \\ 5 & x = y \\ 6 & y = y.\text{parent} \\ 7 & \text{return } y \end{array}
```

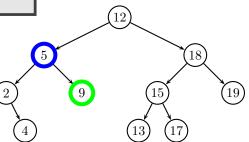
```
\begin{array}{ll} \text{Tree-Successor}(x)1 & \text{if } x.\text{right} \neq \text{nil} \\ 2 & \text{return Tree-Minimum}(x.\text{right}) \\ 3 & y = x.\text{parent} \\ 4 & \text{while } y \neq \text{nil and } x = y.\text{right} \\ 5 & x = y \\ 6 & y = y.\text{parent} \\ 7 & \text{return } y \end{array}
```



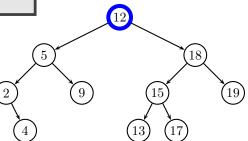
```
\begin{array}{ll} \text{Tree-Successor}(x)1 & \text{if } x. \text{right} \neq \text{nil} \\ 2 & \text{return Tree-Minimum}(x. \text{right}) \\ 3 & y = x. \text{parent} \\ 4 & \text{while } y \neq \text{nil and } x = y. \text{right} \\ 5 & x = y \\ 6 & y = y. \text{parent} \\ 7 & \text{return } y \end{array}
```



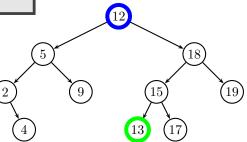
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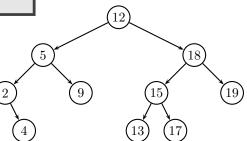
```
 \begin{array}{ll} {\rm Tree\text{-}Successor}(x)1 & {\rm if}\ x.\,{\rm right} \neq {\rm nil} \\ 2 & {\rm return}\ {\rm Tree\text{-}Minimum}(x.\,{\rm right}) \\ 3 & y = x.\,{\rm parent} \\ 4 & {\rm while}\ y \neq {\rm nil}\ {\rm and}\ x = y.\,{\rm right} \\ 5 & x = y \\ 6 & y = y.\,{\rm parent} \\ 7 & {\rm return}\ y \\ \end{array}
```



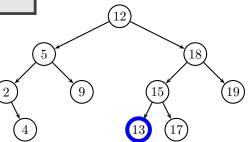
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 \begin{array}{ll} \text{Tree-Successor}(x)1 & \text{if } x. \text{right} \neq \text{nil} \\ 2 & \text{return Tree-Minimum}(x. \text{right}) \\ 3 & y = x. \text{parent} \\ 4 & \text{while } y \neq \text{nil and } x = y. \text{right} \\ 5 & x = y \\ 6 & y = y. \text{parent} \\ 7 & \text{return } y \\ \end{array}
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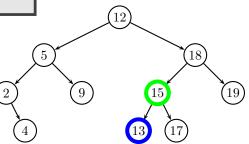
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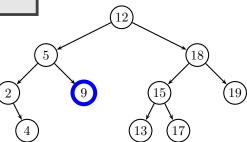
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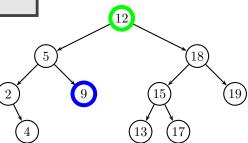
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\begin{array}{ll} \text{Tree-Successor}(x)1 & \text{if } x.\text{right} \neq \text{nil} \\ 2 & \text{return Tree-Minimum}(x.\text{right}) \\ 3 & y = x.\text{parent} \\ 4 & \text{while } y \neq \text{nil and } x = y.\text{right} \\ 5 & x = y \\ 6 & y = y.\text{parent} \\ 7 & \text{return } y \end{array}
```



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 \begin{array}{ll} \text{Tree-Successor}(x)1 & \text{if } x. \text{right} \neq \text{nil} \\ 2 & \text{return Tree-Minimum}(x. \text{right}) \\ 3 & y = x. \text{parent} \\ 4 & \text{while } y \neq \text{nil and } x = y. \text{right} \\ 5 & x = y \\ 6 & y = y. \text{parent} \\ 7 & \text{return } y \\ \end{array}
```



Search



```
\begin{array}{ccc} \operatorname{Tree-Search}(x,k)1 & \operatorname{if}\ x = \operatorname{nil}\ \operatorname{or}\ k = x.\operatorname{key} \\ 2 & \operatorname{return}\ x \\ 3 & \operatorname{if}\ k < x.\operatorname{key} \\ 4 & \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{left},k) \\ 5 & \operatorname{else}\ \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{right},k) \end{array}
```

```
 \begin{aligned} \text{Tree-Search}(x,k)1 & \text{if } x = \text{nil or } k = x. \, \text{key} \\ 2 & \text{return } x \\ 3 & \text{if } k < x. \, \text{key} \\ 4 & \text{return Tree-Search}(x. \, \text{left}, k) \\ 5 & \text{else return Tree-Search}(x. \, \text{right}, k) \end{aligned}
```

• Is this correct?

```
 \begin{array}{cccc} \operatorname{Tree-Search}(x,k)1 & \operatorname{if}\ x=\operatorname{nil}\ \operatorname{or}\ k=x.\operatorname{key} \\ 2 & \operatorname{return}\ x \\ 3 & \operatorname{if}\ k< x.\operatorname{key} \\ 4 & \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{left},k) \\ 5 & \operatorname{else}\ \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{right},k) \end{array}
```

• Is this correct? Yes, thanks to the binary-search-tree property

```
 \begin{array}{ccc} \operatorname{Tree-Search}(x,k)1 & \operatorname{if}\ x = \operatorname{nil}\ \operatorname{or}\ k = x.\operatorname{key} \\ 2 & \operatorname{return}\ x \\ 3 & \operatorname{if}\ k < x.\operatorname{key} \\ 4 & \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{left},k) \\ 5 & \operatorname{else}\ \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{right},k) \end{array}
```

- Is this correct? Yes, thanks to the binary-search-tree property
- Complexity?

```
 \begin{array}{ccc} \operatorname{Tree-Search}(x,k)1 & \operatorname{if}\ x = \operatorname{nil}\ \operatorname{or}\ k = x.\operatorname{key} \\ 2 & \operatorname{return}\ x \\ 3 & \operatorname{if}\ k < x.\operatorname{key} \\ 4 & \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{left},k) \\ 5 & \operatorname{else}\ \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{right},k) \end{array}
```

- Is this correct? Yes, thanks to the binary-search-tree property
- Complexity?

$$T(n) = \Theta(\mathrm{depth}\ \mathrm{of}\ \mathrm{the}\ \mathrm{tree})$$

```
 \begin{array}{ccc} \operatorname{Tree-Search}(x,k)1 & \operatorname{if}\ x = \operatorname{nil}\ \operatorname{or}\ k = x.\operatorname{key} \\ 2 & \operatorname{return}\ x \\ 3 & \operatorname{if}\ k < x.\operatorname{key} \\ 4 & \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{left},k) \\ 5 & \operatorname{else}\ \operatorname{return}\ \operatorname{Tree-Search}(x.\operatorname{right},k) \end{array}
```

- Is this correct? Yes, thanks to the binary-search-tree property
- Complexity?

$$T(n) = \Theta(\text{depth of the tree})$$

$$T(n) = O(n)$$

Search (2)

Search (2)

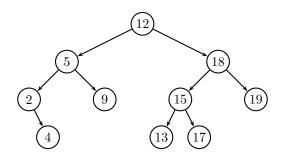
• Iterative binary search

• Iterative binary search

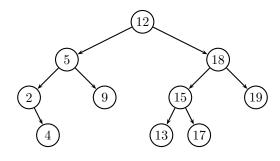
```
 \begin{array}{cccc} Iterative\text{-}Tree\text{-}Search(T,k)1 & x=T.root \\ 2 & while \ x\neq nil \land k\neq x.key \\ 3 & if \ k< x.key \\ 4 & x=x.left \\ 5 & else \ x=x.right \\ 6 & return \ x \\ \end{array}
```

Insertion

Insertion



Insertion

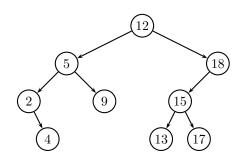


• Idea

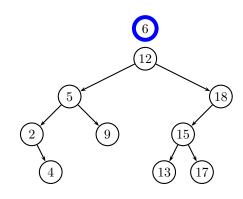
- ightharpoonup in order to insert x, we search for x (more precisely x.key)
- $\,\blacktriangleright\,$ if we don't find it, we add it where the search stopped

```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                         y = x
                  5
                   if z. key < x. key
                  6
                             x = x.left
                         else x = x.right
                     z.parent = y
                     if y = nil
                10
                         T.root = z
                     else if z. key < y. key
                            y.left = z
                12
                         else y.right = z
                13
```

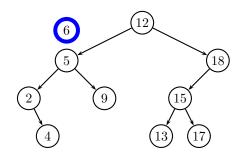
```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                          y = x
                  5
                         if z.key < x.key
                  6
                              x = x.left
                          else x = x.right
                     z.parent = y
                     if y = nil
                 10
                          T.root = z
                     else if z.key < y.key
                 11
                             y.left = z
                 12
                 13
                          else y.right = z
```



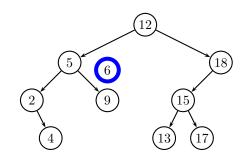
```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                          y = x
                  5
                         if z. key < x. key
                  6
                              x = x.left
                          else x = x.right
                     z.parent = y
                     if y = nil
                 10
                          T.root = z
                     else if z.key < y.key
                 11
                             y.left = z
                 12
                 13
                          else y.right = z
```



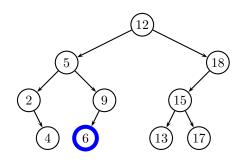
```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                          y = x
                  5
                          if z. key < x. key
                  6
                              x = x.left
                          else x = x.right
                     z.parent = y
                     if y = nil
                 10
                          T.root = z
                     else if z.key < y.key
                 11
                             y.left = z
                 12
                 13
                          else y.right = z
```



```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                          y = x
                  5
                          if z. key < x. key
                  6
                              x = x.left
                          else x = x.right
                     z.parent = y
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                             y.left = z
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                 13
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```

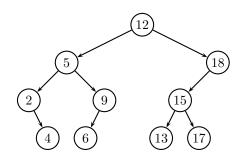


```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
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                  5
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                 13
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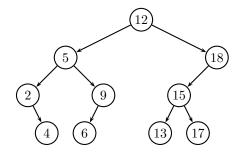
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```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                          y = x
                         if z.key < x.key
                  5
                  6
                              x = x.left
                          else x = x.right
                     z.parent = y
                     if y = nil
                 10
                          T.root = z
                     else if z.key < y.key
                 11
                             y.left = z
                 12
                 13
                          else y.right = z
```



Insertion (2)

```
Tree-Insert(T, z) 1 y = nil
                  2 \quad x = T.root
                     while x \neq nil
                          y = x
                  5
                          if z. key < x. key
                  6
                              x = x.left
                          else x = x.right
                     z.parent = y
                     if y = nil
                 10
                          T.root = z
                     else if z.key < y.key
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                              y.left = z
                 13
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```



$$T(n) = \Theta(h)$$

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55/65

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- Idea: use randomization to turn all cases in the average case

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- Idea 2: we can obtain a random permutation of the input sequence by randomly alternating two insertion procedures
 - ▶ tail insertion: this is what Tree-Insert does
 - ▶ head insertion: for this we need a new procedure Tree-Root-Insert
 - \star inserts n in T as if n was inserted as the first element

```
 \begin{array}{lll} \text{Tree-Randomized-Insert1}(T,z)1 & r = \text{uniformly rand. val. from } \{1,\dots,t.\text{size}+1\} \\ 2 & \text{if } r=1 \\ 3 & \text{Tree-Root-Insert}(T,z) \\ 4 & \text{else Tree-Insert}(T,z) \end{array}
```

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 \begin{array}{lll} \text{Tree-Randomized-Insert1}(T,z)\mathbf{1} & r = \text{uniformly rand. val. from } \{1,\dots,t.\text{size}+1\} \\ & 2 & \text{if } r=1 \\ & 3 & \text{Tree-Root-Insert}(T,z) \\ & 4 & \text{else Tree-Insert}(T,z) \end{array}
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- It is true that any node has the same probability of being inserted at the top

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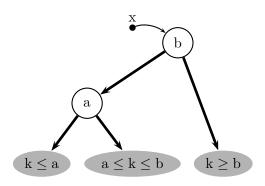
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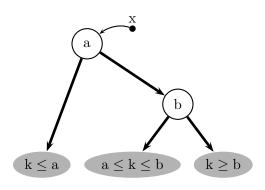
- Does this really simulate a random permutation?
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 - ▶ no, clearly the last element can only go to the top or to the bottom
- It is true that any node has the same probability of being inserted at the top
 - this suggests a recursive application of this same procedure

```
Tree-Randomized-Insert(t, z)
                                if t = nil
                                      return z
                                r = uniformly random value from \{1, ..., t. size + 1\}
                                                   // \Pr[r = 1] = 1/(t.size + 1)
                              4 if r = 1
                                     z.size = t.size + 1
                                      return Tree-Root-Insert(t, z)
                                 if z.key < t.key
                                      t.left = Tree-Randomized-Insert(t.left, z)
                                 else t.right = Tree-Randomized-Insert(t.right, z)
                                 t.size = t.size + 1
                             11
                                 return t
```

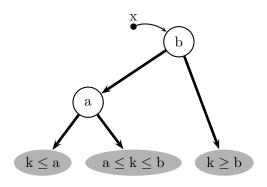
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Tree-Randomized-Insert(t, z)
                               if t = nil
                                     return z
                               r = uniformly random value from \{1, ..., t. size + 1\}
                             4 if r = 1 // Pr[r = 1] = 1/(t.size + 1)
                                    z.size = t.size + 1
                                    return Tree-Root-Insert(t, z)
                               if z.key < t.key
                                     t.left = Tree-Randomized-Insert(t.left, z)
                                else t.right = Tree-Randomized-Insert(t.right, z)
                                t.size = t.size + 1
                            11
                                return t
```

• Looks like this one really simulates a random permutation...

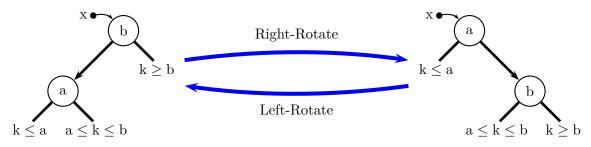




• x = Right-Rotate(x)



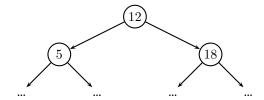
- x = Right-Rotate(x)
- x = Left-Rotate(x)

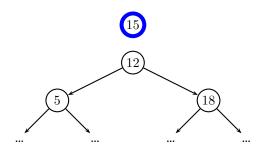


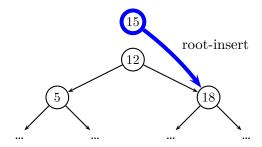
$$\begin{array}{ll} {\rm Right\text{-}Rotate(x)1} & l=x. {\rm left} \\ 2 & x. {\rm left} = l. {\rm right} \\ 3 & l. {\rm right} = x \\ 4 & {\rm return} \ l \\ \end{array}$$

Left-Rotate(x)1
$$r = x.right$$

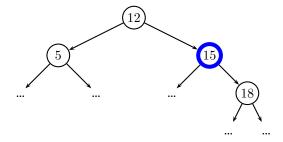
2 $x.right = r.left$
3 $r.left = x$
4 $return r$



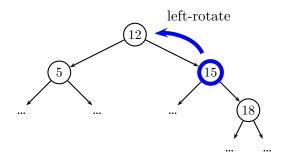




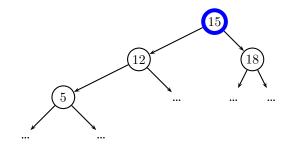
1. Recursively insert z at the root of the appropriate subtree (right)



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Root Insertion (2)

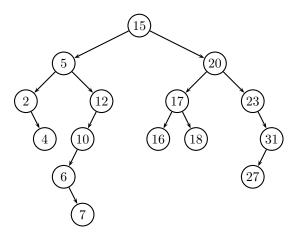
```
 \begin{array}{cccc} Tree-Root-Insert(x,z)1 & if \ x=nil \\ & 2 & return \ z \\ & 3 & if \ z.key < x.key \\ & 4 & x.left = Tree-Root-Insert(x.left,z) \\ & 5 & return \ Right-Rotate(x) \\ & 6 & else \ x.right = Tree-Root-Insert(x.right,z) \\ & 7 & return \ Left-Rotate(x) \\ \end{array}
```

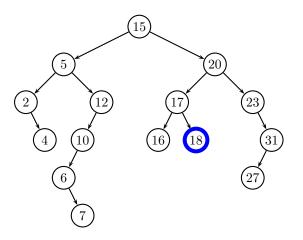
• General strategies to deal with complexity in the worst case

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 - ▶ randomization: turns any case into the average case
 - ★ the worst case is still possible, but it is extremely improbable

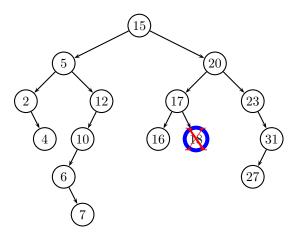
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 - ▶ amortized maintenance: e.g., balancing a BST or resizing a hash table
 - ★ relatively expensive but "amortized" operations
 - ▶ optimized data structures: a self-balanced data structure
 - ★ guaranteed O(log n) complexity bounds

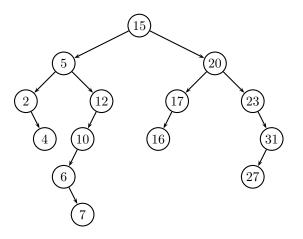




1. z has no children

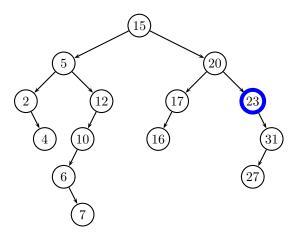


- 1. z has no children
 - ightharpoonup simply remove z

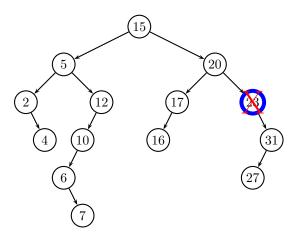


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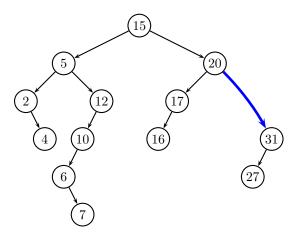
▶ simply remove z



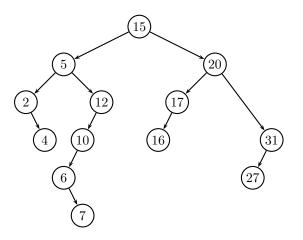
- 1. z has no children
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- 2. z has one child



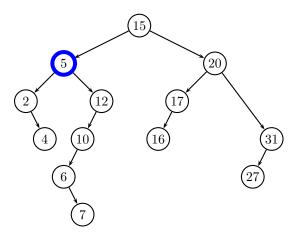
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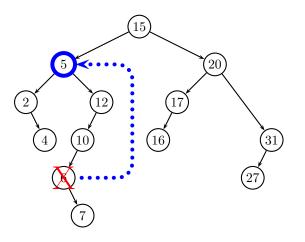
- 1. z has no children
 - \blacktriangleright simply remove z
- 2. z has one child
 - ► remove z
 - ► connect z.parent to z.right



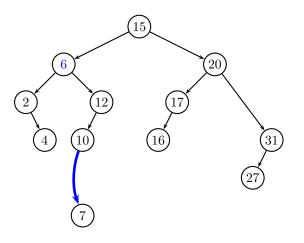
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- 1. z has no children
 - ightharpoonup simply remove z
- 2. z has one child
 - remove z
 - ► connect z.parent to z.right
- 3. z has two children



- 1. z has no children
 - ▶ simply remove z
- 2. z has one child
 - remove z
 - ► connect z.parent to z.right
- 3. z has two children
 - ► replace z with y = Tree-Successor(z)
 - ► remove y (1 child!)



- 1. z has no children
 - ▶ simply remove z
- 2. z has one child
 - remove z
 - ► connect z.parent to z.right
- 3. z has two children
 - ► replace z with y = Tree-Successor(z)
 - remove y (1 child!)
 - connect y.parent to y.right

```
Tree-Delete(T, z) 1 if z.left = nil or z.right = nil
                          y = z
                    else y = Tree-Successor(z)
                      if y.left \neq nil
                  5
                          x = y.left
                     else x = y.right
                     if x \neq nil
                          x.parent = y.parent
                      if y.parent == nil
                 10
                          T.root = x
                      else if y = y. parent. left
                 12
                               y.parent.left = x
                 13
                          else y. parent. right = x
                 14
                     if y \neq z
                 15
                          z. key = y. key
                 16
                          copy any other data from y into z
```