## R-Trees

## Group 6: ARR-CHEESE

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#### Abstract

Spatial data indexing requires multidimensional queries and modifications. The R-Tree, proposed by Antonin Guttman in 1984, attempts to solve this dilemma with worst case linearithmic time complexity. Due to the robust implementation on main memory and disk, it is extremely practical in real world applications and opens the door to additional variants in an attempt to counter technical issue the traditional R-Tree suffers from.

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## 1 Introduction

Spatial data structures present a rather different challenge from those of onedimensional. Suppose that we wish to seek a restaurant's xy coordinates. One may propose that we index the x-coordinate and y-coordinate in separate data structures and thus perform basic operations on one of them at a time. Because the search space is multi-dimensional, traditional one-dimensional data structures such as BSTs, B-trees are not well-suited for these purposes [1]. Thus the dilemma requires storing spatial attributes that can efficiently answers multidimensional queries. To this end, we present the R-Tree.

In the succeeding section, the first **Subsection 2.1** will introduce what is an R-Tree and its general implementation. **Subsection 2.2** and **2.3** will delve deeper into its implementation; the former will outline them in pseudocode and the latter will realize that outline using C++. **Subsection 2.4** will analyze the spacetime complexity of our implementations, whereas **Subsection 2.5** will dive in the practical purposes of R-Tree. **Subsection 2.6** will conclude this report with a few drawbacks of R-Tree and some other variants of R-Trees.

### 2 R-Trees

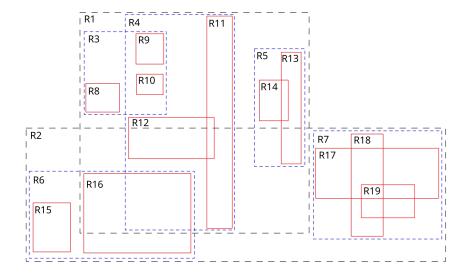
#### 2.1 Definitions

An R-Tree is a height-balanced tree similar to a B-Tree [1] (all nodes remain sorted and all operations are in logarithmic time). R-Trees cater to spatial objects such as coordinates and thus points, rectangles, polygons, etc. As such, it is a suitable data structure to index objects in main memory and secondary storage. It is also capable of storing a multitude of data types using a concept known as Minimum Bounding Rectangle (henceforth will be referred to as MBRs) [3].

The R-Tree nodes are implemented as disk pages, where each node is an MBR bounding its children. The leaf nodes are pointers to the objects being indexed (indeed, the MBRs can overlap and contain multiple nodes). It should be noted that each MBR corresponds to each nodes and thus a search query requires traversing through many nodes before reaching its target node, if one exists in the first place [2].

#### 2.2 Basic implementation and operations

We begin with the first fundamental operation for R-Tree, that is the search algorithm. To be more specific, the **SEARCH** algorithm returns an array of all nodes whose MBRs overlap with the query MBR.



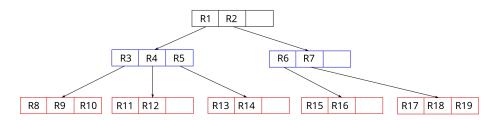


Figure 1: A simple R-Tree of 2D data

#### Algorithm SEARCH [1].

- 1. If the root is not a leaf node, for each entry, check whether their MBR overlap the searching MBR. For each satisfied node, call **SEARCH** on the corresponding subtree.
- 2. If the root is a leaf node, for each entry, check whether their MBR overlap the searching MBR. Those that satisfied the condition belong to the result.

We now describe the operation of splitting nodes in an R-Tree. Let M be the largest number of children and  $m \leq M/2$  be the smallest number of children a node can contain. When a node overflows, that is, has more than M children, the operation **SPLITNODE** is invoked. Here we will describe the linear splitting algorithm, which offers computational affordability but suboptimal query performance. We will now define a helper operation.

## Algorithm PICKSEEDS [1].

- 1. Along each dimension, choose the node whose MBR has the highest low side and lowest high side and record their difference gap.
- 2. Divide the width of the recorded set along the corresponding dimension, effectively normalizing the gaps.
- 3. Select the pair with the greatest gap on any dimension.

Now we are ready to define the operation **SPLITNODE**.

#### Algorithm SPLITNODE [1].

- 1. Invoke **PICKSEEDS** to choose 2 entries as the first element of each child node.
- 2. If all entries have been selected, stop. If one child node has below m entries, assign other entries to it and stop.
- 3. Choose the next entry to assign and add it to the child node with least enlarged MBR requirement. Repeat step 2.

The algorithm **ADJUSTTREE** updates MBRs by propagating from a leaf node to the root and performing node splits if necessary.

#### Algorithm ADJUSTTREE [1].

- 1. Let cur be a copy of the query leaf node. If the query was previously split, let cur2 be a copy of the second leaf node.
- 2. If cur is the root, stop.
- 3. Let *parent* be the parent of *cur*. Adjust the *parent*'s corresponding entry's MBR to suit the MBRs of *cur*.
- 4. Do the same to *cur2* using *parent2*. Add its entry's MBR to the *parent2*, in case of overfull, invoke **SPLITNODE** to produce two nodes to accommodate the children.
- 5. Set cur = parent and cur2 = parent2. Repeat from step 2.

We are now ready to define our second fundamental operation, that is the INSERT operation.

### Algorithm INSERT [1].

- 1. Let *cur* be the root node.
- 2. If cur is a leaf node, skip to step 4.
- 3. Set *cur* to the child node whose MBR requires smallest enlargement to accommodate the new entry's MBR. If multiple are found, choose one with smallest area. Repeat from step 2.
- 4. If *cur* does not overflow when a new node is inserted, do so and stop. Otherwise, invoke **SPLITNODE** to accommodate the new node.
- 5. Invoke **ADJUSTTREE** on cur.
- 6. If the root is split, set a new root whose children are the product of the split root.

We now turn to our third and final fundamental operation, which is deleting a node from a tree. As per usual, we will define some helper operations to simplify the implementation. The operation **FINDLEAF** returns the leaf node containing the query node.

#### Algorithm FINDLEAF [1].

- 1. If the query node is a leaf node, check each entry of the node. If a match is found, return it.
- 2. Otherwise, check each entry of the node whether their MBRs overlap the query MBR. For each matching node, invoke **FINDLEAF** on them.

The operation **CONDENSETREE** is similar to **ADJUSTTREE** in that it reconfigures the tree after modifying the entries, i.e. deletion in the former and insertion in the latter.

## Algorithm CONDENSETREE [1].

- 1. Let *cur* be the query leaf node. Let *deleted* be an array of deleted nodes.
- 2. If *cur* is the root, skip to step 6. Otherwise, let *parent* be the parent node of *cur*.
- 3. If *cur* underflows, delete its corresponding entries and append *cur* to *deleted*.
- 4. If *cur* is not deleted, adjust its MBR.
- 5. Set *cur* to *parent* and repeat from step 2.
- 6. Re-insert all entries from deleted.

We are now ready to define the operation **DELETE**.

#### Algorithm DELETE [1].

- 1. Invoke **FINDLEAF** to locate the query node. If none is found, stop.
- 2. Remove the entry from the leaf node.
- 3. Invoke **CONDENSETREE** on the leaf node.
- 4. If the root node has only one child after tree condensation, make the child the new root.

## 2.3 C++ implementation

```
// RTree.h
    #ifndef TREE_H
    #define TREE_H
    #include <vector>
    struct MBR {
      int x_min, y_min, x_max, y_max;
      MBR();
10
      MBR(int x_min, int y_min, int x_max, int y_max);
11
12
      int area() const;
      MBR merge(const MBR& other) const;
13
14
      bool contains(const MBR& other) const;
      bool intersects(const MBR& other) const;
15
16
  struct Node {
```

```
bool is_leaf;
19
      MBR mbr;
20
      std::vector < Node *> children:
21
      Node(bool is_leaf = false);
22
    };
23
24
25
    struct RTree {
      Node* root;
26
      int max_children;
27
28
      RTree(int max_children = 4);
29
       ~RTree();
30
      void insert(const MBR& mbr);
31
      void search(const MBR& search_mbr);
32
      void find_area();
33
      void display_tree();
34
35
36
37
      void insert_recursive(Node* node, const MBR& mbr, Node* parent
      = nullptr);
      Node* choose_best_node(Node* node, const MBR& mbr);
      void split_node(Node* node, Node* parent);
39
      void update_mbr(Node* node);
40
      void search_recursive(Node* node, const MBR& search_mbr, std::
41
      vector < Node * > & results);
      void find_area_recursive(Node* node, int level);
42
      void delete_node(Node* node);
43
      void display_tree_recursive(Node* node, int level = 0);
44
45
46
  #endif
47
  // RTree-functions.cpp
1
3
    #include <iostream>
    #include <algorithm>
4
    #include "RTree.h"
5
6
    MBR::MBR() : x_min(0), y_min(0), x_max(0), y_max(0) {}
    MBR::MBR(int x_min, int y_min, int x_max, int y_max) : x_min(
      x_min), y_min(y_min), x_max(x_max), y_max(y_max) {}
    int MBR::area() const { return (x_max - x_min) * (y_max - y_min);
9
    MBR MBR::merge(const MBR& other) const {
10
      return MBR(std::min(x_min, other.x_min), std::min(y_min, other.
11
      y_min),
        std::max(x_max, other.x_max), std::max(y_max, other.y_max));
12
13
14
    bool MBR::contains(const MBR& other) const {
      return x_min <= other.x_min && y_min <= other.y_min && x_max >=
15
       other.x_max && y_max >= other.y_max;
16
    bool MBR::intersects(const MBR& other) const {
17
      return !(x_max < other.x_min || x_min > other.x_max || y_max <</pre>
18
      other.y_min || y_min > other.y_max);
20
   // Node constructor
```

```
Node::Node(bool is_leaf) : is_leaf(is_leaf) {}
22
     // RTree methods
24
    RTree::RTree(int max_children) : max_children(max_children) {
25
      root = new Node(true);
26
27
28
    RTree::~RTree() {
29
      delete_node(root);
30
31
32
33
    void RTree::delete_node(Node* node) {
      if (!node) return;
34
35
      for (Node* child : node->children) {
        delete_node(child);
36
37
38
      delete node;
39
    void RTree::insert(const MBR& mbr) {
41
42
      insert_recursive(root, mbr, nullptr);
43
44
45
    void RTree::insert_recursive(Node* node, const MBR& mbr, Node*
      parent) {
46
       if (node->is_leaf) {
        if (node->children.size() < max_children) {</pre>
47
           Node* new_node = new Node(true);
48
           new_node ->mbr = mbr;
49
          node -> children.push_back(new_node);
50
51
           update_mbr(node);
           if (parent) update_mbr(parent);
52
53
        else {
54
          if (!parent) { // Root case
55
56
            Node * new_parent = new Node(false);
             split_node(node, new_parent);
57
             root = new_parent;
             Node* target = choose_best_node(new_parent, mbr);
59
60
             insert_recursive(target, mbr, new_parent);
61
          else { // Non-root case
62
63
             split_node(node, parent);
             Node* target = choose_best_node(parent, mbr);
64
             insert_recursive(target, mbr, parent);
65
66
        }
67
68
      }
69
       else {
        Node* target = choose_best_node(node, mbr);
70
         insert_recursive(target, mbr, node);
71
72
    }
73
74
    Node* RTree::choose_best_node(Node* node, const MBR& mbr) {
75
      if (node->children.empty()) return node;
76
      Node* best = node->children[0];
```

```
int min_enlargement = (node->children[0]->mbr.merge(mbr)).area
78
       () - node->children[0]->mbr.area();
       for (size_t i = 1; i < node->children.size(); ++i) {
79
         int enlargement = (node->children[i]->mbr.merge(mbr)).area()
80
       - node->children[i]->mbr.area();
         if (enlargement < min_enlargement) {</pre>
81
82
           min_enlargement = enlargement;
           best = node->children[i];
83
84
85
       }
86
       return best;
87
88
     void RTree::split_node(Node* node, Node* parent) {
       int median = node->children.size() / 2;
90
       Node * new_node = new Node(node->is_leaf);
91
92
       new_node->children = std::vector<Node*>(node->children.begin()
93
       + median, node->children.end());
       node->children = std::vector<Node*>(node->children.begin(),
94
       node->children.begin() + median);
95
       update_mbr(node);
96
97
       update_mbr(new_node);
98
99
       if (parent->children.empty()) {
         parent -> children.push_back(node);
100
         parent -> children.push_back(new_node);
101
       else {
104
         for (size_t i = 0; i < parent->children.size(); ++i) {
           if (parent->children[i] == node) {
105
             parent -> children[i] = node;
106
             parent -> children.insert(parent -> children.begin() + i + 1,
        new_node);
             break;
108
110
         }
111
112
       update_mbr(parent);
113
114
115
     void RTree::update_mbr(Node* node) {
       if (node->children.empty()) return;
116
       node->mbr = node->children[0]->mbr;
117
       for (size_t i = 1; i < node->children.size(); ++i) {
118
         node->mbr = node->mbr.merge(node->children[i]->mbr);
119
120
       }
123
     void RTree::search(const MBR& search_mbr) {
       std::vector<Node*> results;
       search_recursive(root, search_mbr, results);
       if (results.empty()) {
126
127
         std::cout << "No MBR found in the search range." << std::endl
128
```

```
else {
129
130
          for (const Node* node : results) {
           std::cout << "Found MBR: (" << node->mbr.x_min << ", " <<
131
       node->mbr.y_min
             << ", " << node->mbr.x_max << ", " << node->mbr.y_max <<
        ")\n";
         }
       }
134
135
     }
136
     void RTree::search_recursive(Node* node, const MBR& search_mbr,
137
       std::vector<Node*>& results) {
        if (node->is_leaf) {
138
139
          for (Node* child : node->children) {
            if (child->mbr.intersects(search_mbr)) {
140
              results.push_back(child);
141
142
         }
143
144
       }
       else {
145
         for (Node* child : node->children) {
146
           if (child->mbr.intersects(search_mbr)) {
147
              search_recursive(child, search_mbr, results);
148
149
            }
150
151
       }
     }
153
     void RTree::find_area() {
154
       if (root->children.empty()) {
          std::cout << "Tree is empty." << std::endl;</pre>
156
157
         return:
158
       std::cout << "Areas of all MBRs in the R-tree:\n";</pre>
159
       find_area_recursive(root, 0);
160
161
     }
162
     void RTree::find_area_recursive(Node* node, int level) {
       std::string indent(level * 2, ' '); // Indentation based on
164
       // Print the current node's MBR area
166
        std::cout << indent << (node->is_leaf ? "Leaf" : "Internal") <<
167
         ' Node MBR ("
          << node->mbr.x_min << ", " << node->mbr.y_min << ", " << node->mbr.y_max << ", " << node->mbr.y_max << "): "
168
169
          << node->mbr.area() << std::endl;
170
171
       // If leaf, print areas of all child MBRs
173
        if (node->is_leaf) {
          for (size_t i = 0; i < node->children.size(); ++i) {
174
            Node* child = node->children[i];
            std::cout << indent << " Child " << i + 1 << " MBR ("
176
              << child->mbr.x_min << ", " << child->mbr.y_min << ", "
              << child->mbr.x_max << ", " << child->mbr.y_max << "): "
178
              << child->mbr.area() << std::endl;
179
180
```

```
181
        // If internal, recurse into children
182
        else {
183
          for (Node* child : node->children) {
184
            find_area_recursive(child, level + 1);
185
186
187
       }
     }
188
189
     void RTree::display_tree() {
190
        if (root->children.empty()) {
191
          std::cout << "Tree is empty." << std::endl;</pre>
192
193
          return:
194
        std::cout << "R-tree Structure:\n";</pre>
195
        display_tree_recursive(root, 0);
196
197
198
199
     void RTree::display_tree_recursive(Node* node, int level) {
       if (!node) return;
200
201
        // Indentation based on depth
202
        for (int i = 0; i < level; ++i) {</pre>
203
          std::cout << " ";
204
205
206
        // Print the node's MBR
207
        std::cout << "|-- MBR (" << node->mbr.x_min << ", " << node->
208
       mbr.y_min
            << ") to (" << node->mbr.x_max << ", " << node->mbr.y_max
209
        << ")";
210
        if (node->is_leaf) {
211
         std::cout << " [Leaf]";
213
        } else {
214
          std::cout << " [Internal]";</pre>
215
216
       std::cout << std::endl;</pre>
217
218
        // Recursively print children
        for (Node* child : node->children) {
219
          display_tree_recursive(child, level + 1);
220
221
222
```

## 2.4 Analysis

Let m and n be the minimum number of children a node can contain and the number of nodes in the tree respectively. The operation **SEARCH** has a worst time complexity of  $\Theta(n)$ , where all nodes must be traversed. In the best case where there are no overlap, the best time complexity is  $\Omega(\log_m n)$ . One can observe that the average time complexity depends on the degree of overlapping nodes; that is, the node splitting method. The space required to store MBRs is O(n) and since utilize recursion, the worst case space complexity is  $\Theta(n)$  due

to recursion stack.

As shown in the implementation, the operation **PICKSEEDS** has a time complexity of  $O(\log_m n)$ . In the case where splitting is required, the operation **SPLITNODE** is invoked, taking  $\Theta(m)$  time in the worst case. We conclude that the operation **INSERT** has a time complexity of  $O(\log_m n)$  on average and  $\Theta(m\log_m n)$  in the worst case. It also uses O(n) space to store n objects. In a similar line of reasoning, the operation **DELETE** also has a time complexity of  $\Theta(m\log_m n)$  in the worst case and a space complexity of O(n).

## 2.5 Application

The R-Tree has a myriad of applications in the real world. A couple of questions posed regarding this is finding the closest restaurants in one's current location, or locating which bus crossed a region at some time interval. This in turn has raised an emergence to additional variants of the R-Tree, including but not limited to:

- R\*-tree
- R<sup>+</sup>-tree
- 2+3-tree
- RT-tree.

## 3 Exercises

We conclude this report with a handful of mental gymnastics for the readers.

#### 3.1 Quizzes

## Question 1. What is the primary purpose of an R-tree data structure?

- (a) To store one-dimensional numerical data.
- (b) To manage multi-dimensional spatial data.
- (c) To store text-based data.
- (d) To perform fast searching on strings.

Answer: (b) To manage multi-dimensional spatial data.

## Question 2. In an R-tree, the leaf nodes contain

- (a) only pointers to the child nodes.
- (b) bounding boxes that cover regions.
- (c) actual spatial data or references to them.
- (d) pairs of keys and values.

Answer: (c) actual spatial data or references to them.

## Question 3. What type of data is most commonly indexed using an R-tree?

- (a) Linear numerical data.
- (b) Multi-dimensional spatial data (e.g., geographic coordinates, rectangles).
- (c) Text strings.
- (d) Time series data.

Answer: (b) Multi-dimensional spatial data (e.g., geographic coordinates, rectangles).

# Question 4. Which of the following is a key characteristic of an R-tree?

- (a) It is always unbalanced.
- (b) It can only handle one-dimensional data.
- (c) It uses bounding boxes to represent groups of spatial objects.
- (d) It stores data as linked lists.

Answer: (c) It uses bounding boxes to represent groups of spatial objects.

#### Question 1. Count MBRs in an R-Tree

In R-Tree, a node's MBR is the smallest axis-aligned rectangle that encloses all the data points or sub-regions within that node.

Given a root of an R-Tree, you are asked to return the total number of MBRs.

<u>Constraint</u>: The R-Tree has a maximum fanout (number of children per node) of 4, and you must count the total number of MBRs without using recursion (e.g., use an iterative approach like a stack or queue).

```
int RTree::count_mbrs() {
      return count_mbrs_recursive(root);
2
3
    int RTree::count_mbrs_recursive(NOde* node) {
5
      if (!node) return 0;
      if (node->is_leaf) {
        return node->children.size(); //Leaf nodes store MBRs
      directly
9
10
      int total=0;
      for (Node* child : node->children) {
11
12
        total += count_mbrs_recursive(child);
13
14
      return total;
  }
15
```

### Question 2. Find overlapping MBRs in a range

Two MBRs are called overlapped when they enclose the same space in the tree.

Given a R-Tree, its root and a range (a rectangle with coordinates), you are asked to return the number of overlapping MBRs in that range, and coordinates of each MBR.

<u>Constraint</u>: The R-Tree contains at least 10,000 nodes, and you must optimize the solution to run in  $O(\log n + k)$  time complexity, where k is the number of overlapping MBRs, assuming a balanced R-Tree.

#### Question 3. Calculate total area covered

Each MBR in R-Tree represent a region which have its own area. Due to overlapping effect, there is a difference in root's MBR and all-leaves' MBRs.

Given a R-Tree and its root, you are asked to calculate the sum of all leaf-level-MBRs' area and a area of root's MBR.

<u>Constraint</u>: The coordinates of the MBRs may include floating-point values, and you must compute the areas with a precision of at least 6 decimal places, accounting for potential numerical errors.

```
void RTree::total_area() {
      if (root->children.empty()) {
        std::cout << "Tree is empty. Root area: 0, Total leaf area: 0</pre>
       " << std::endl;
        return:
      int root_area = root->mbr.area();
      int leaf_total = total_area_recursive(root);
      std::cout << "Root MBR Area (" << root->mbr.x_min << ", " <<
      root->mbr.y_min << ", " << root->mbr.x_max << ", " << root->mbr
       .y_max << "): " << root_area << std::endl;
      std::cout << "Total Leaf MBR Area: " << leaf_total << std::endl
9
    }
10
12
    int RTree::total_area_recursive(Node* node) {
      if (node->is_leaf) {
13
        int total = 0;
14
        for (Node* child : node->children) {
15
          total += child->mbr.area();
16
17
        return total;
18
19
      int total = 0;
20
      for (Node* child : node->children) {
21
         total += total_area_recursive(child);
22
23
24
      return total;
25
```

### Question 4. R-Tree depth calculation

A depth of a R-Tree is the number of levels (or layers) of the tree. Given a R-Tree and its root, you are asked to return the depth of the tree.

<u>Constraint</u>: The R-Tree may be unbalanced (i.e., not all leaf nodes are at the same level), and you must compute the maximum depth of the tree rather than assuming a uniform depth.

```
int RTree::tree_depth() {
   if (root->children.empty())
```

```
return 0;
3
4
      return tree_depth_recursive(root);
5
    int RTree::tree_depth_recursive(Node* node) {
      if (node->is_leaf)
        return 1;
                    //Leaf is at depth 1
      int max_depth = 0;
10
      for (Node* child : node->children) {
11
        int child_depth = tree_depth_recursive(child);
12
        if (child_depth > max_depth)
13
14
          max_depth = child_depth;
15
      return 1 + max_depth;
                               //Add 1 for current level
```

## References

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