Binary Search Trees

Reflecting on Dictionaries

Cost

- Complexity of various implementations of dictionaries
 - o assuming it contains *n* entries

	Unsorted array	Array sorted by key	Linked list	Hash Table
lookup	O(n)	O(log n)	O(n)	O(1) average
insert	O(1) amortized	O(n)	O(1)	O(1) average and amortized

- Hash dictionaries are clearly the best implementation
 - ➤ O(1) lookup and insertion are hard to beat!

Cost

- Hash dictionaries are clearly the best implementation
 - ➤ O(1) lookup and insertion are hard to beat!

or are they?

- It's O(1) average
 - o we could be (very) unlucky and incur an O(n) cost

> e.g., if we use a poor hash function

It's O(1) amortized

- o from time to time, we need to resize the table
 - ➤ then the operation costs O(n)
- Operations like finding the entry with the smallest key cost O(n)
 - we have to check every entry

Using hash dictionaries is too risky or not good enough for applications that require a guaranteed (short) response time

Always read

the fine prints!

But they are great for applications that don't have such constraints

Goal

 Develop a data structure that has guaranteed O(log n) worst-case complexity for lookup, insert and find_min

➤ always!

○ O(1) would be great but we can't get that

Returns the entry with the smallest key

	Unsorted array	Array sorted by key	Linked list	Hash Table	
lookup	O(n)	O(log n)	O(n)	O(1) average	O(log n)
insert	O(1) amortized	O(n)	O(1)	O(1) average and amortized	O(log n)
find_min	O(n)	0(1)	O(n)	O(n)	O(log n)
		Exe	ercise		

Getting Started

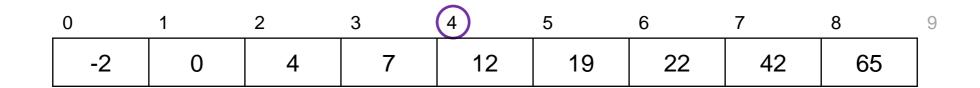
The only O(log n) so far is lookup in sorted arrays

	Unsorted array	Array sorted by key	Linked list	Hash Table	
lookup	O(n)	O(log n)	O(n)	O(1) average	O(log n)
insert	O(1) amortized	O(n)	O(1)	O(1) average and amortized	O(log n)
find_min	O(n)	O(1)	O(n)	O(n)	O(log n)

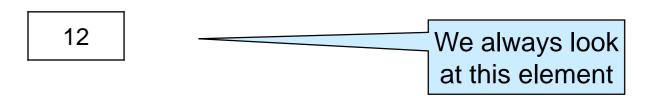
- That's binary search
 - Let's start there

Searching Sorted Data

Consider the following sorted array



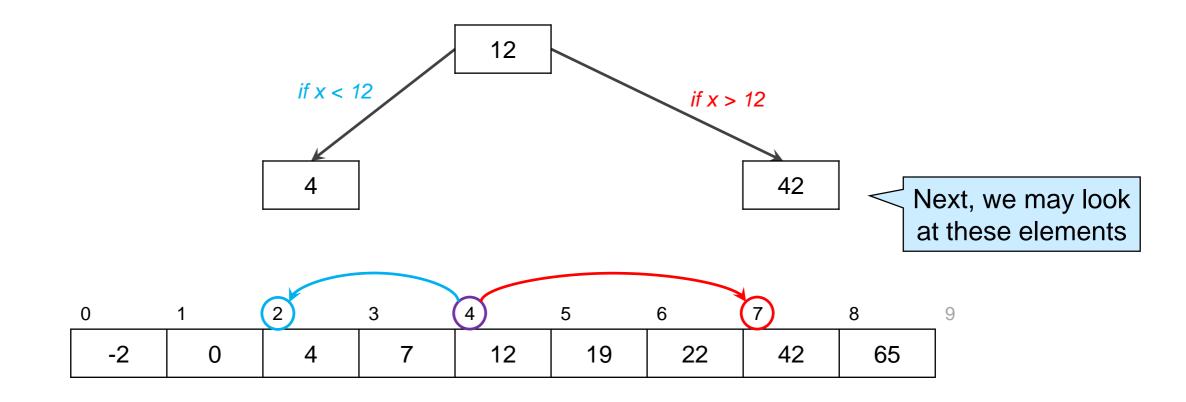
When searching for a number x using binary search,
 we always start by looking at the midpoint, index 4



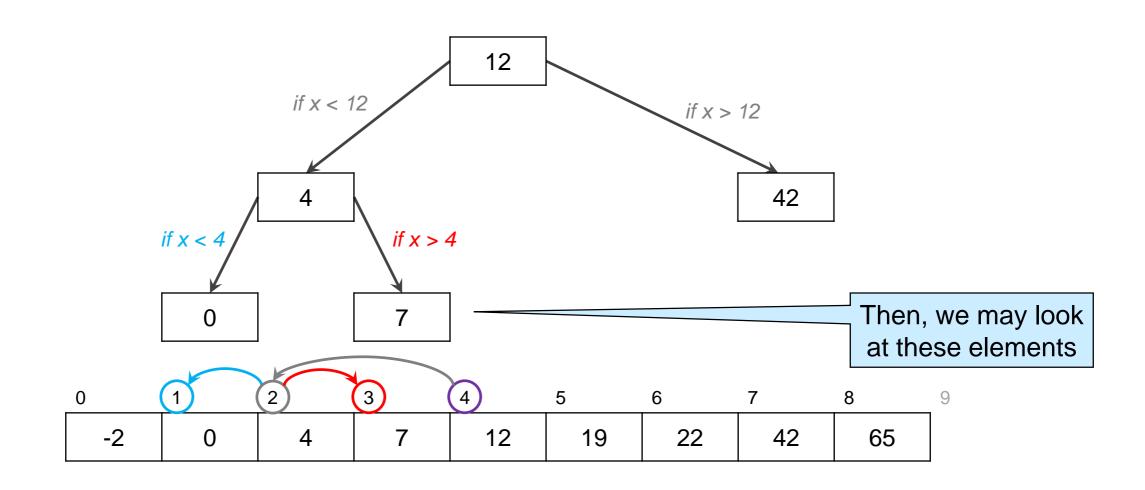
Then, 3 things can happen

- $\circ x = 12$ (and we are done)
- 0×12
- 0 x > 12

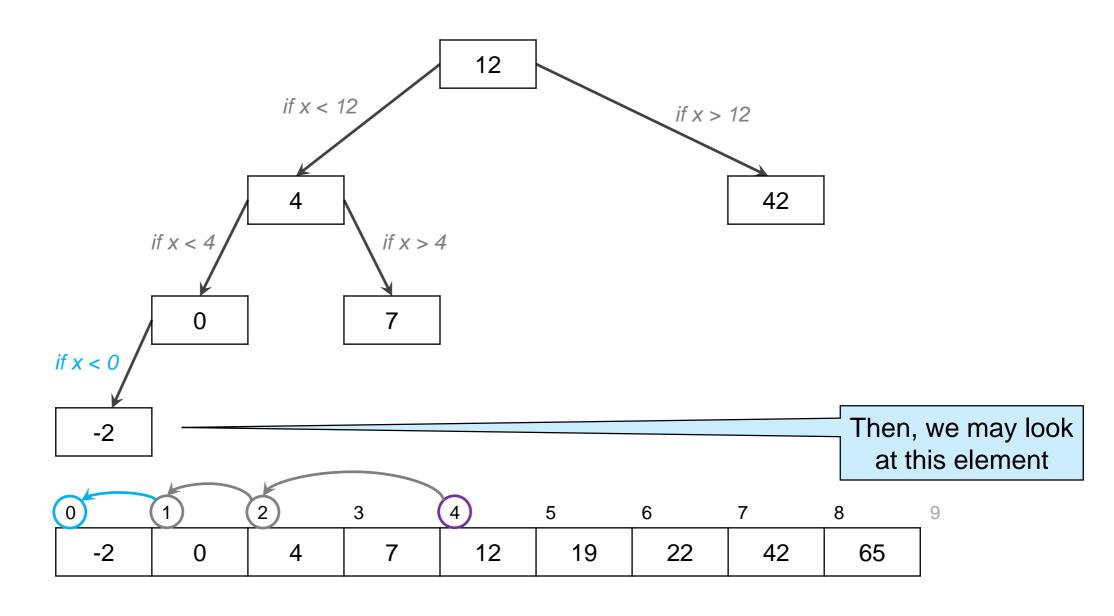
- If x < 12, the next index we look at is **necessarily** 2
- If x > 12, the next index we look at is **necessarily** 7



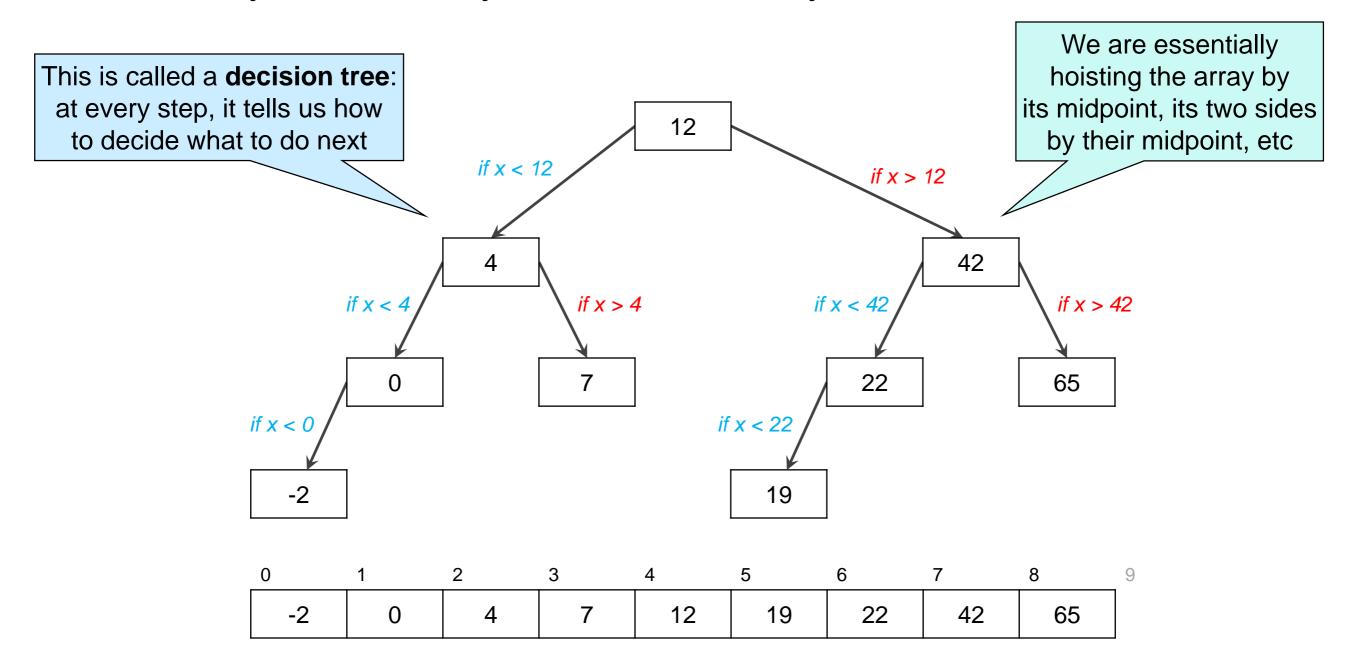
- Assume x < 12, so we look at 4
 - \circ if x = 4, we are done
 - \circ if x < 4, we **necessarily** look at 0
 - \circ if x > 4, we **necessarily** look at 7



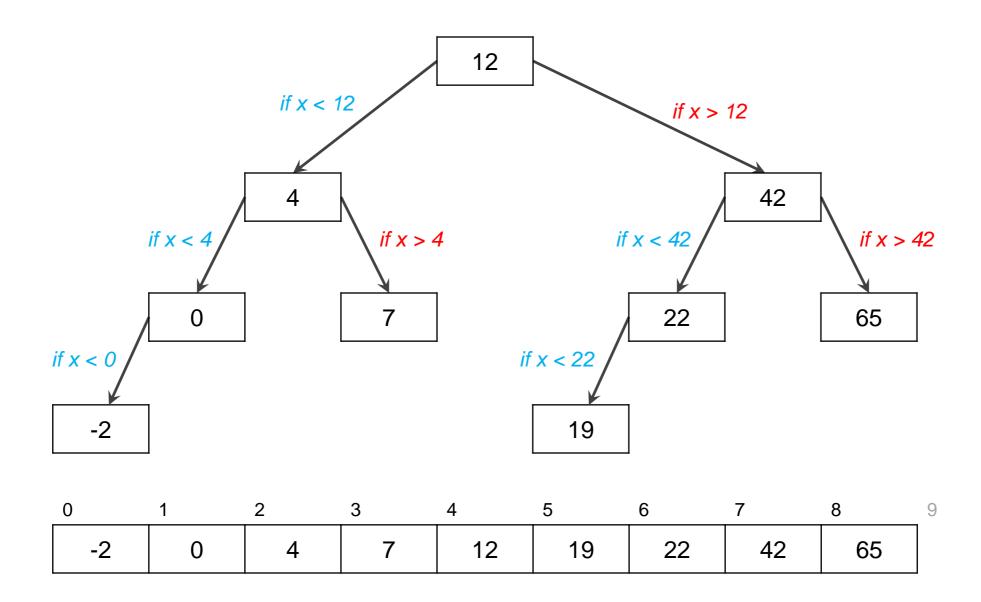
- Assume x < 4, so we look at 0
 - \circ if x = 0, we are done
 - \circ if x < 0, we **necessarily** look at -2



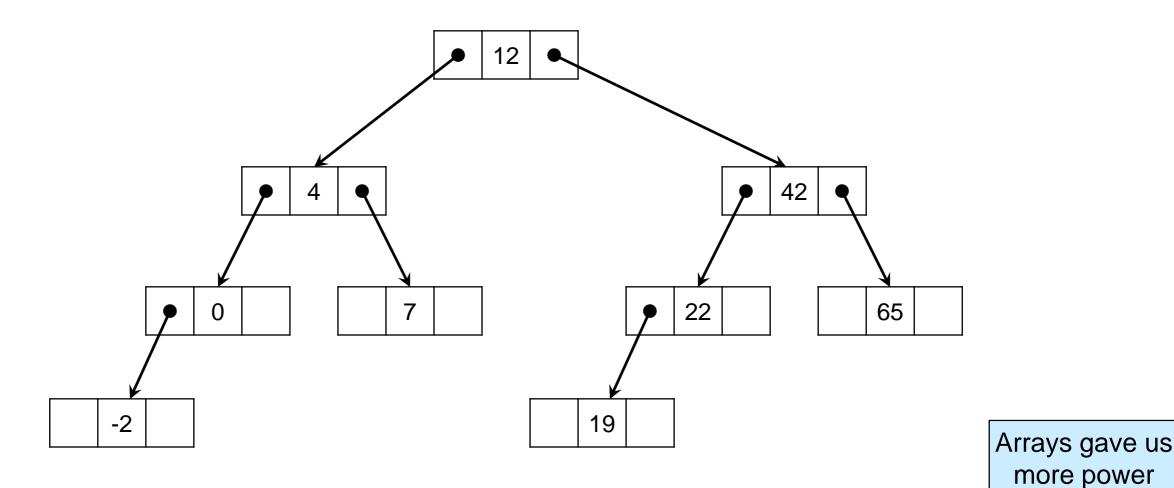
 We can map out all possible sequences of elements binary search may examine, for any x



- An array provides direct access to all elements
 - This is overkill for binary search
 - At any point, it needs direct access to at most two elements



- We can achieve the same access pattern by pairing up each element with two pointers
 - one to each of the two elements that may be examined next



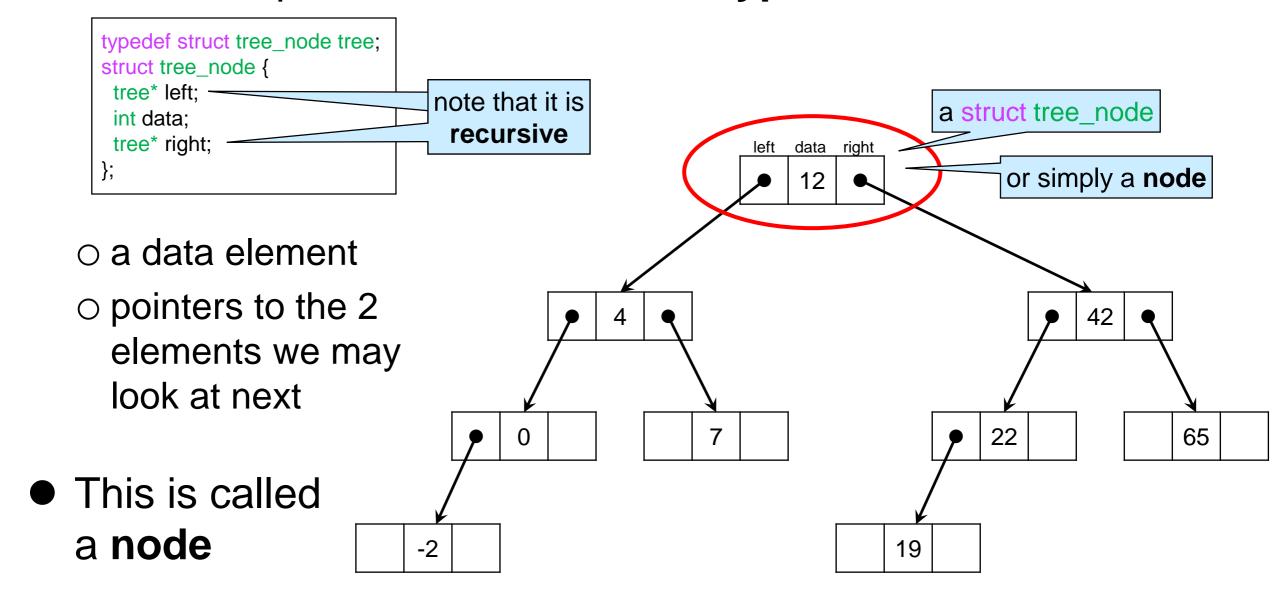
We are losing direct access to arbitrary elements,

o but it retains access to the elements that matter to binary search

than needed

Towards an Implementation

• We can capture this idea with this type declaration:



This arrangement of data in memory is called a tree

Constructing this Tree

```
typedef struct tree_node tree;
struct tree_node {
  tree* left;
  int data;
  tree* right;
};
```

Let's build the first few nodes of this example
 tree* T = alloc(tree);

left data right

```
T->data = 12;

T->left = alloc(tree);

T->left->data = 4;

T->right= alloc(tree);

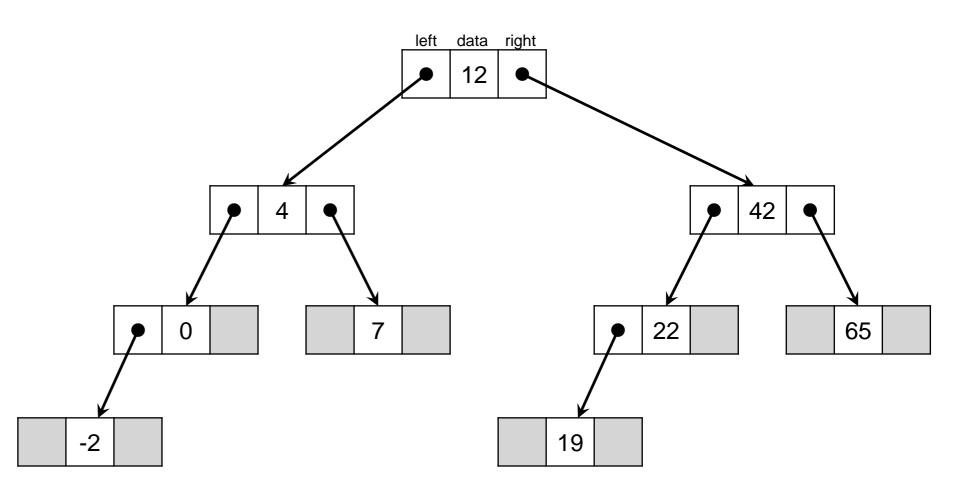
T->right->data = 42;

T->left->left = alloc(tree);
```

The End of the Line

typedef struct tree_node tree;
struct tree_node {
 tree* left;
 int data;
 tree* right;
};

 What should the blank left/right fields point to?



O NULL



> each sequence of left/right pointers works like a NULL-terminated list

o a dummy node



➤ not very useful here

We used dummy nodes to get direct access to the end of a list

Searching

Searching for 7
7 < 12: go left
7 > 4: go right
7 = 7: found

- We are doing the same steps as binary search
- Starting from an n-element array, the cost is O(log n)

If the tree is obtained as in this example

Searching

Searching for 5
5 < 12: go left
5 > 4: go right
5 < 7: go left
nowhere to go
not there

19

- We are doing the same steps as binary search
- Starting from an n-element array, the cost is O(log n)

If the tree is obtained as in this example

Recall our Goal

Develop a data structure that has guaranteed O(log n) worst-case complexity for lookup, insert and find_min
 > always!

lookup has cost O(log n)

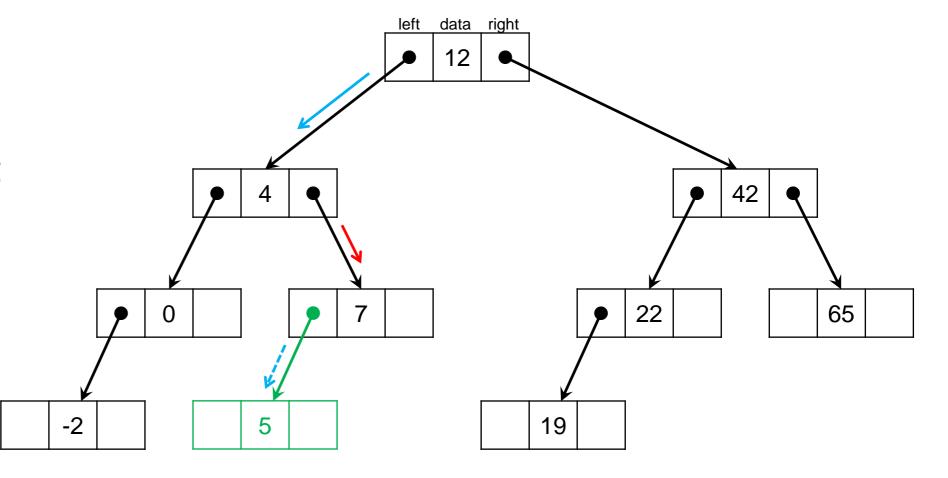


	Target data structure
lookup	O(log n)
insert	O(log n)
find_min	O(log n)

O What about insert and find_min?

Insertion

- Inserting 5
 - 5 < 12: go left
 - \circ 5 > 4: go right
 - \circ 5 < 7: go left
 - > put it there

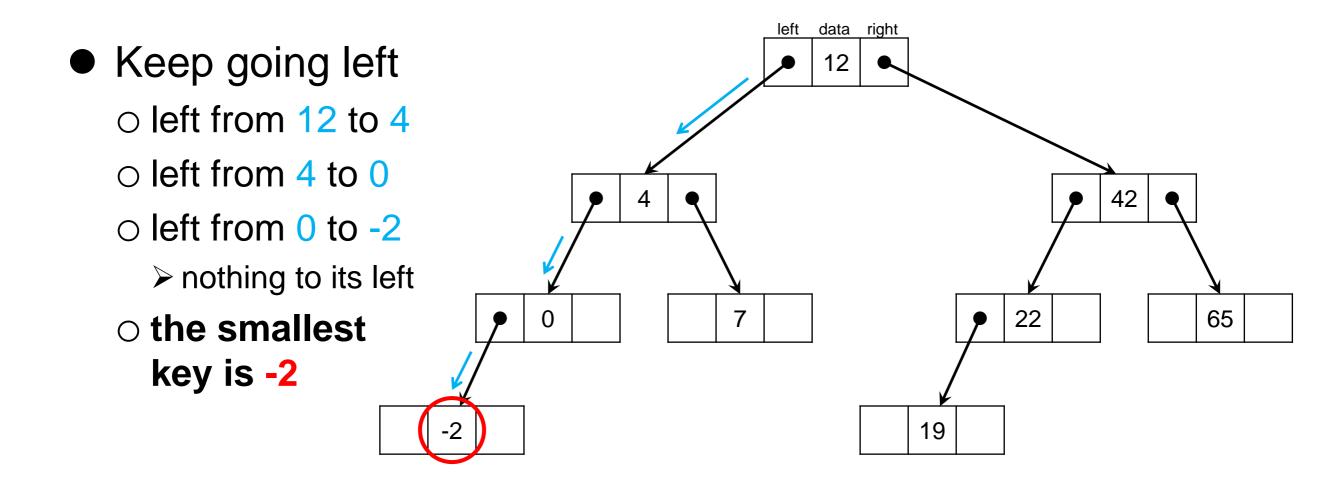


- We are doing the same steps we would do to search for it, and then put it where it should have been
 - o so that we find it when searching for it next time
- For an n-element array, this costs O(log n)

We couldn't get this with sorted arrays

If the tree is obtained as in this example

Finding the Smallest Key



 Starting from an n-element array, we can go left at most O(log n) times

The cost is O(log n)

Recall our Goal

- Develop a data structure that has guaranteed O(log n) worst-case complexity for lookup, insert and find_min
 > always!
 - lookup, insert and find_min all have cost O(log n)

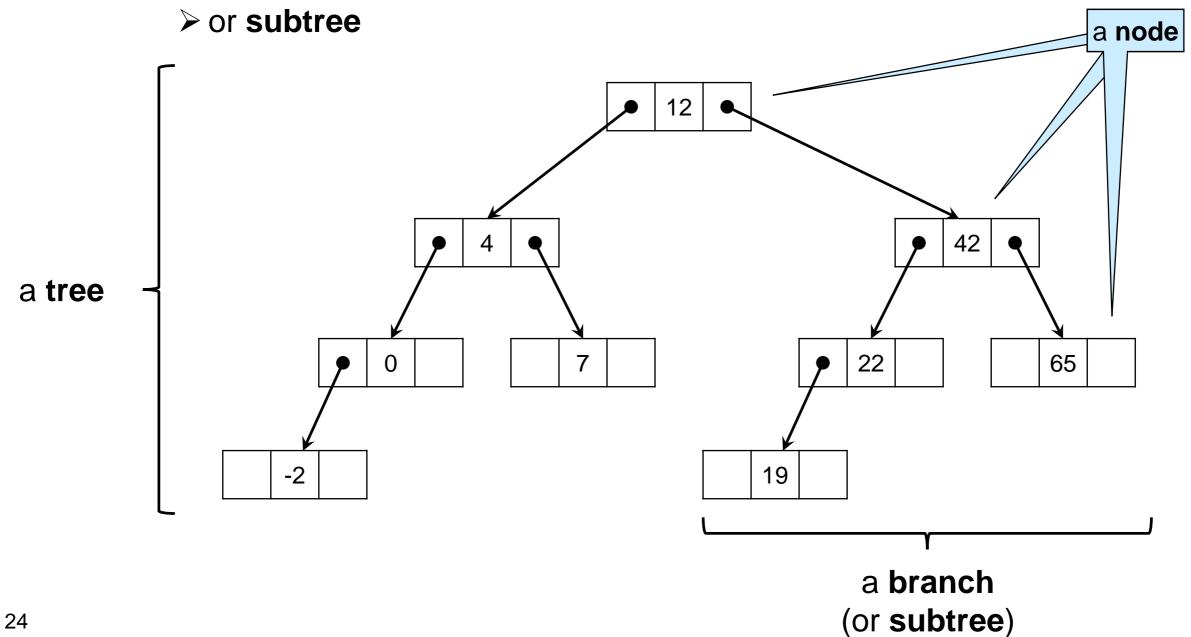


	Target data structure	
lookup	O(log n)	√
insert	O(log n)	√
find_min	O(log n)	√

Trees

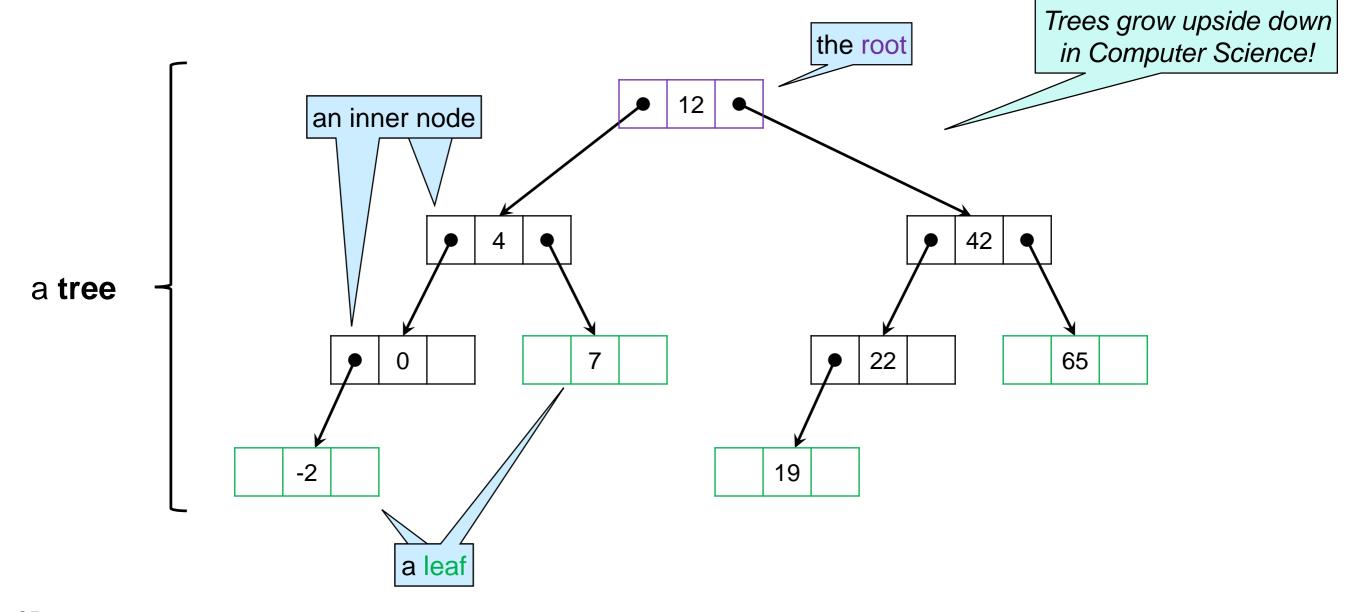
Terminology

- This arrangement of data is called a (binary) tree
 - o each item in it is called a **node**
 - the part of a tree hanging from a node is called a branch



Terminology

- The node at the top is called the root of the tree
 - o the nodes at the bottom are the leaves of the tree
 - the other nodes are called inner nodes



Terminology

Given any node

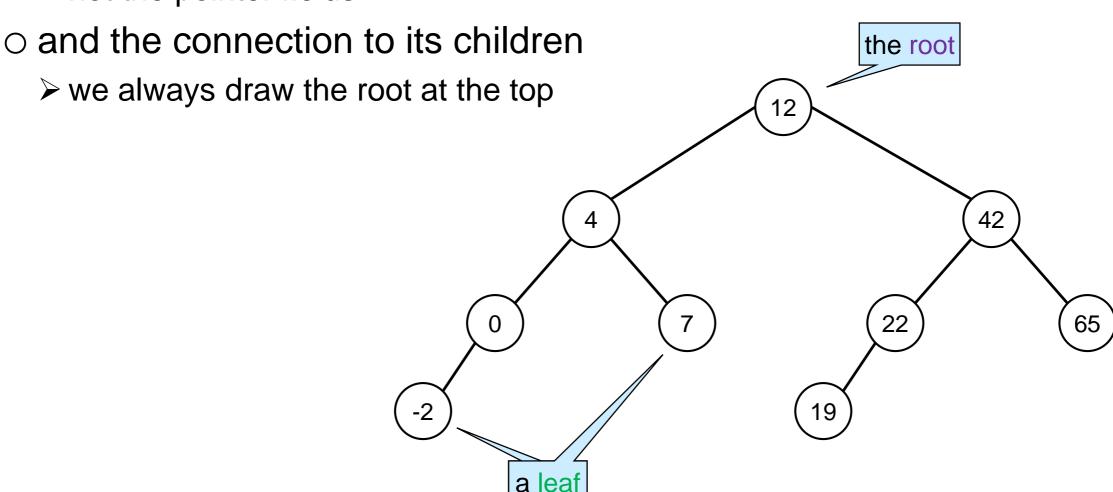
-2

o the node to its left is its left child the node to its right is its right child .. and Computer Science the node above it is its parent mixes botanical trees and family trees! 12 a node 42 its right child its left child 22 0 65 their parent

19

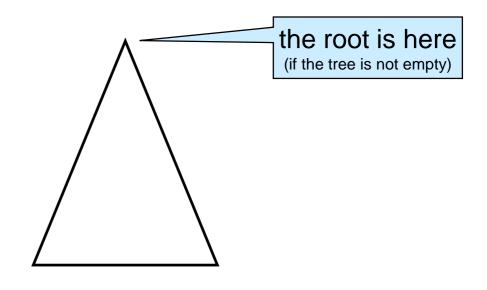
Concrete Tree Diagrams

- When drawing trees, we generally omit the details of the memory diagrams
 - o draw just the data in a node
 - > not the pointer fields



Pictorial Abstraction

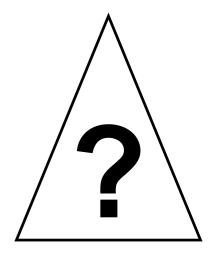
- We will often reason about trees that are arbitrary
 - their actual content is unimportant, so we abstract it away
 - We draw a generic tree as a triangle



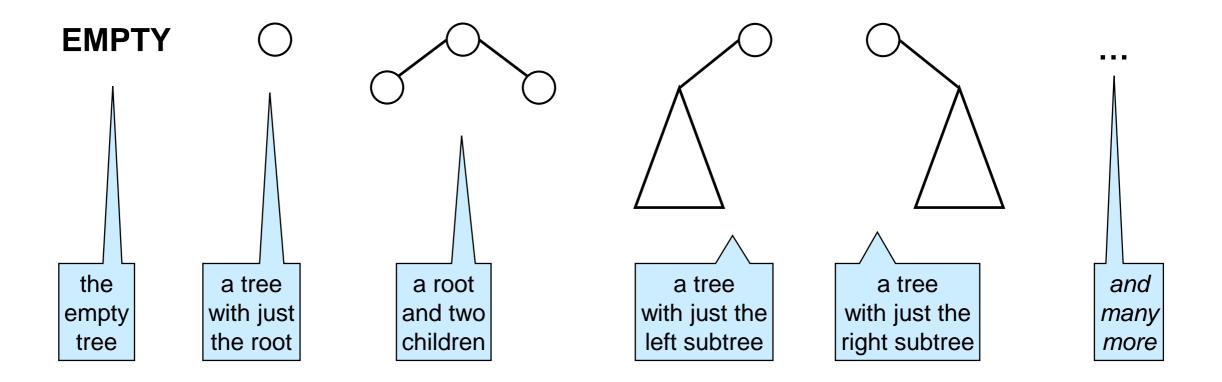
 We represent the empty tree by simply writing "Empty"

Empty

What do Trees Look Like?



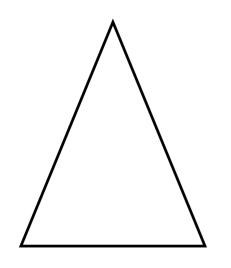
Abstract trees come in many shapes



- When working with trees, we need to account for all these possibilities
 - we will forget some
- Is there a simpler description?

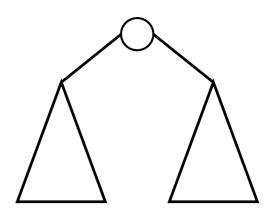
What Trees Look Like

A tree can be

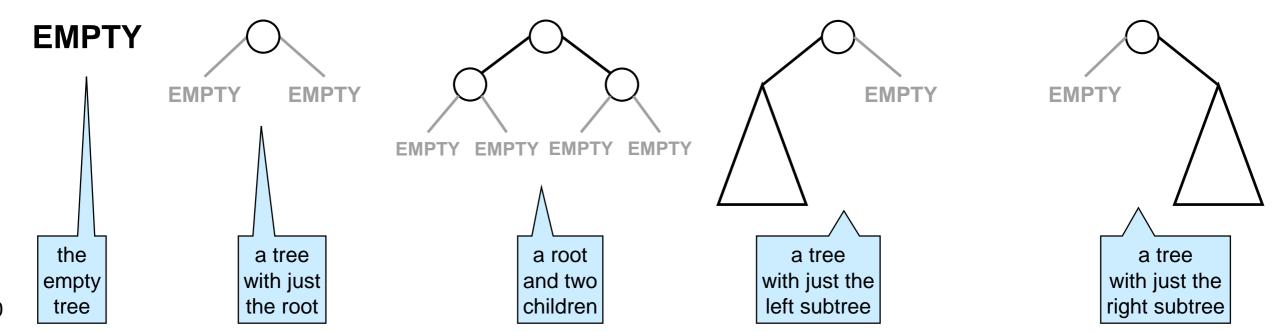


- either empty
- or a root witha tree on its left anda tree on its right

EMPTY

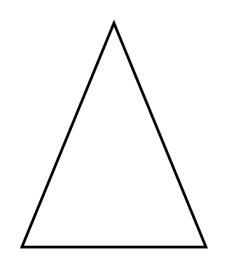


Every tree reduces to these two cases



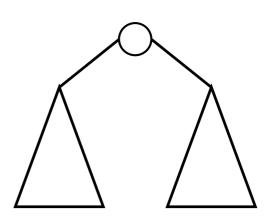
What Trees Look Like

A tree can be



- either empty
- or a root with
 a tree on its left and
 a tree on its right





- We only need to consider these two cases when
 - writing code about trees
 - o reasoning about trees

A Minimal Tree Invariant

We only need to consider these two cases when writing code about trees

 Let's apply this to write a basic invariant about trees of entries

 Just check that the data field is never NULL tree* right;
};

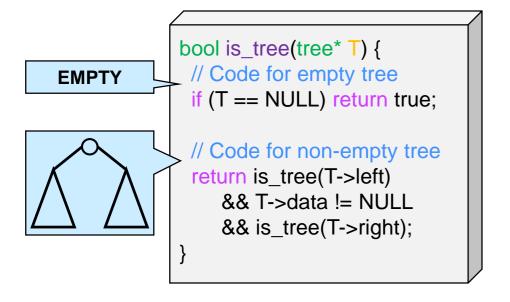
Recall we are using trees to implement dictionaries:

struct tree_node {

entry data; // != NULL

tree* left:

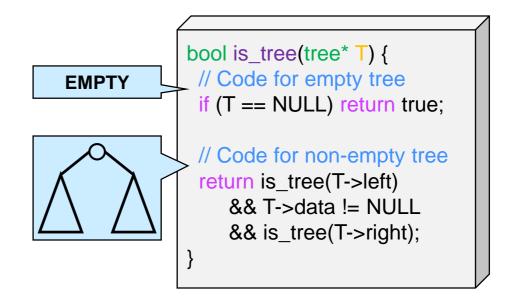
- we store entries in nodes
- valid entries are non-NULL



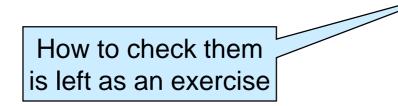
- This is a recursive function
 - o the base case is about the empty tree
 - the recursive case is about every tree that is not empty
 - > with a root
 - > and two subtrees

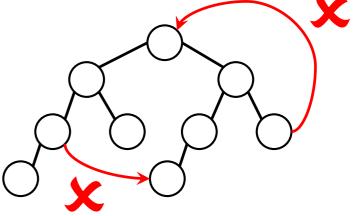
A Minimal Tree Invariant

 We just check that the data field is never NULL



- But trees have constraints on their structure
 - a node does not point to an ancestor
 - o a node has at most one parent





 What additional constraints on contents do we need to use trees to implement dictionaries?

Binary Search Trees

Binary Search Trees

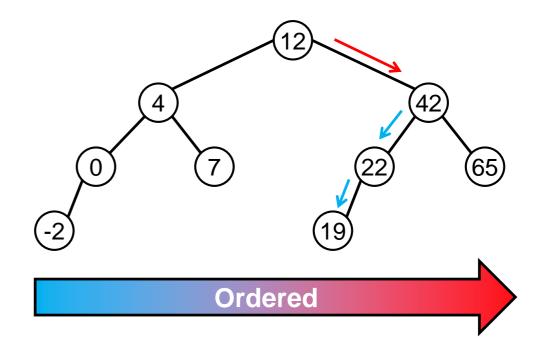
 What additional constraints on the contents do we need to use trees to implement dictionaries?

Because lookup emulates binary search, the data in the

tree need to be ordered

o smaller values on the left

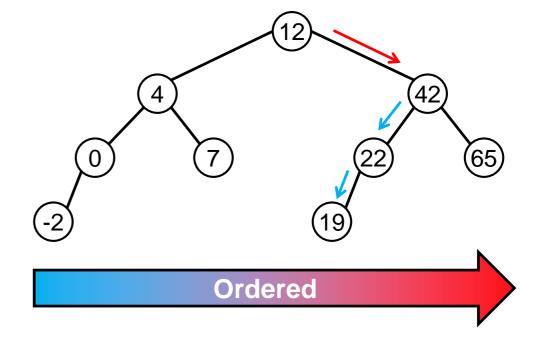
bigger values on the right



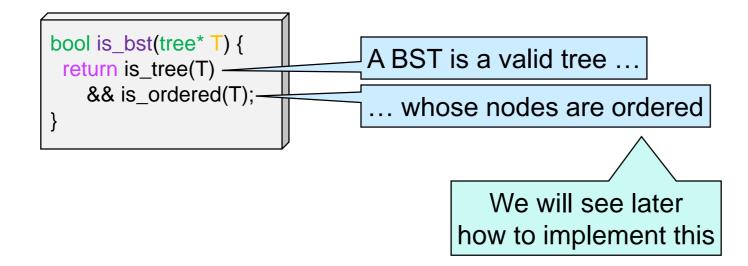
 A tree whose nodes are ordered is called a binary search tree

The BST Invariant

 A tree whose nodes are ordered is called a binary search tree

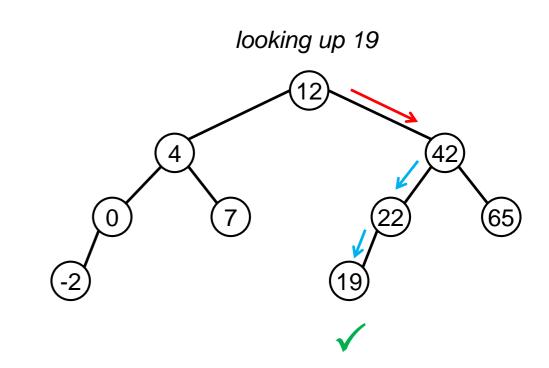


We can write a specification function that check BSTs

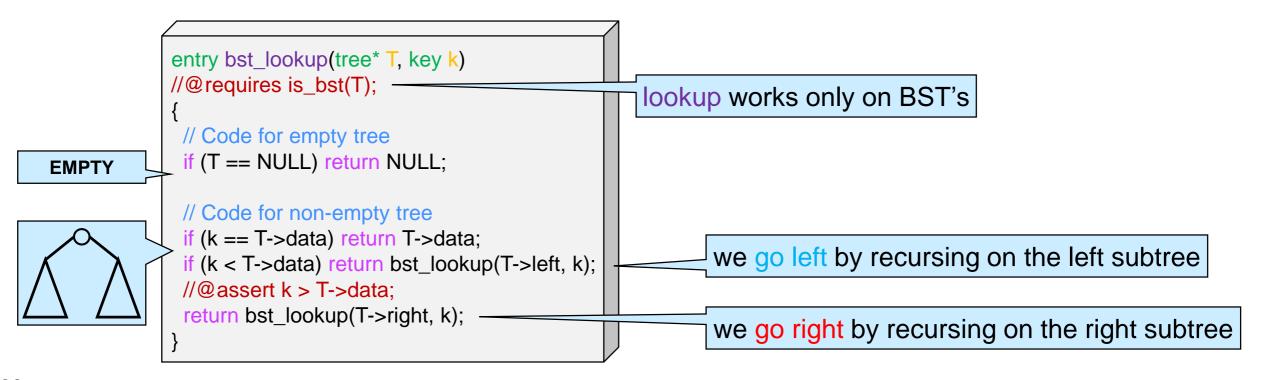


Looking Up Keys

- Leverage the structure of the tree!
 - o empty: the key is not found
 - o non-empty:
 - if root contains the key, found
 - if key is smaller than the root's go left
 - → if key is bigger than the root's go right



• In code:



```
entry bst_lookup(tree* T, key k)

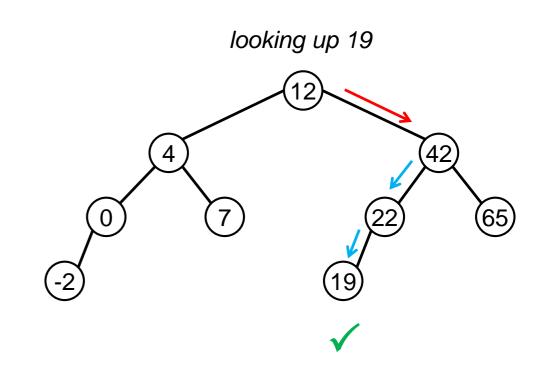
//@requires is_bst(T);

{

// Code for empty tree
if (T == NULL) return NULL;

// Code for non-empty tree
if (k == T->data) return T->data;
if (k < T->data) return bst_lookup(T->left, k);

//@asseft k > T->data:
return bst_lookup(T->right, k);
}
```



- But < and > work only for integers!
 - also, keys and entries are not the same thing in general
- We want a dictionary that uses trees
 - to store entries of any type
 - o and look them up using keys of any type

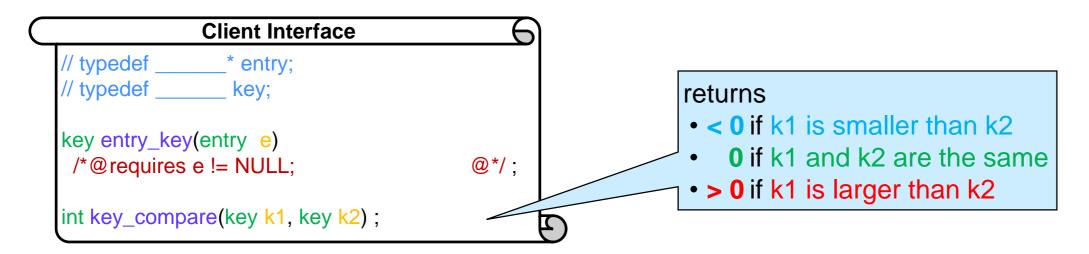
- But < and > work only for integers!
 - also, keys and entries are not the same thing in general
- We want a dictionary that uses trees
 - to store entries of any type
 - and look them up using keys of any type
- key

 just like for hash dictionaries

- We need functions that
 - extract the key from an entry: entry_key
 - compare two keys: key_compare
- It is for the client to decide on the type of keys and entries
 - So the client shall provide these functions

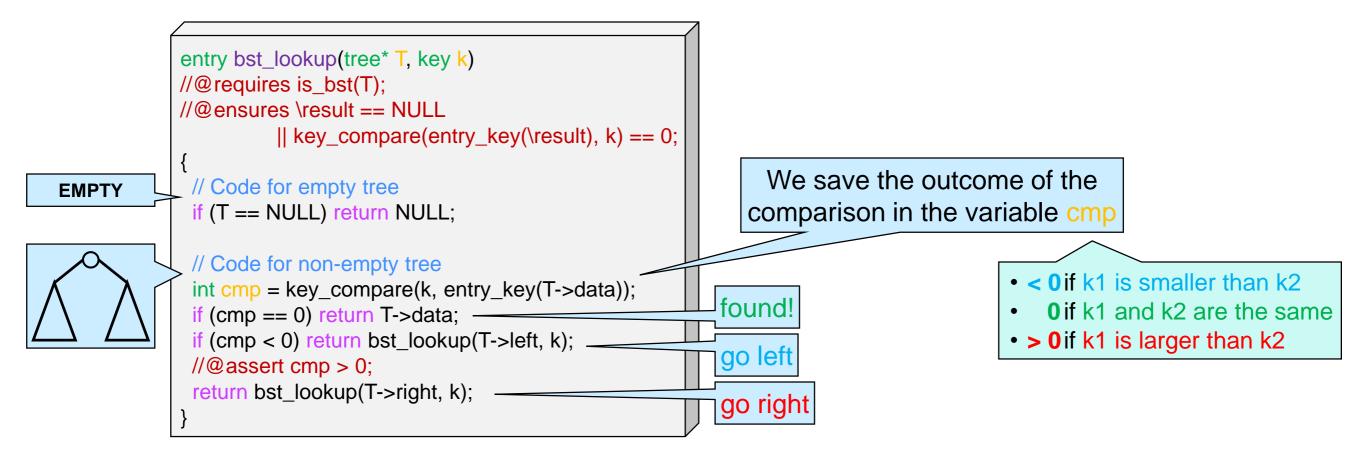
A Client Interface

- The BST dictionary needs a client interface that
 - requests the client to provide types entry and key
 - declares a function to extract the key of an entry
 - declares a function to compare two keys



- We could make it fully generic
 - but let's keep things simple

With it, we can write a general implementation



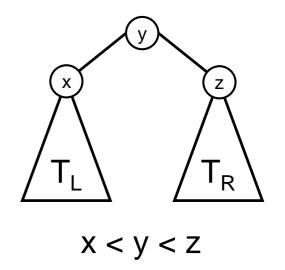
- We can now even provide a useful postcondition
 - > either lookup returns NULL
 - □ no entry in T has key k
 - right or the key of the returned entry is the same as k

just like for hash dictionaries

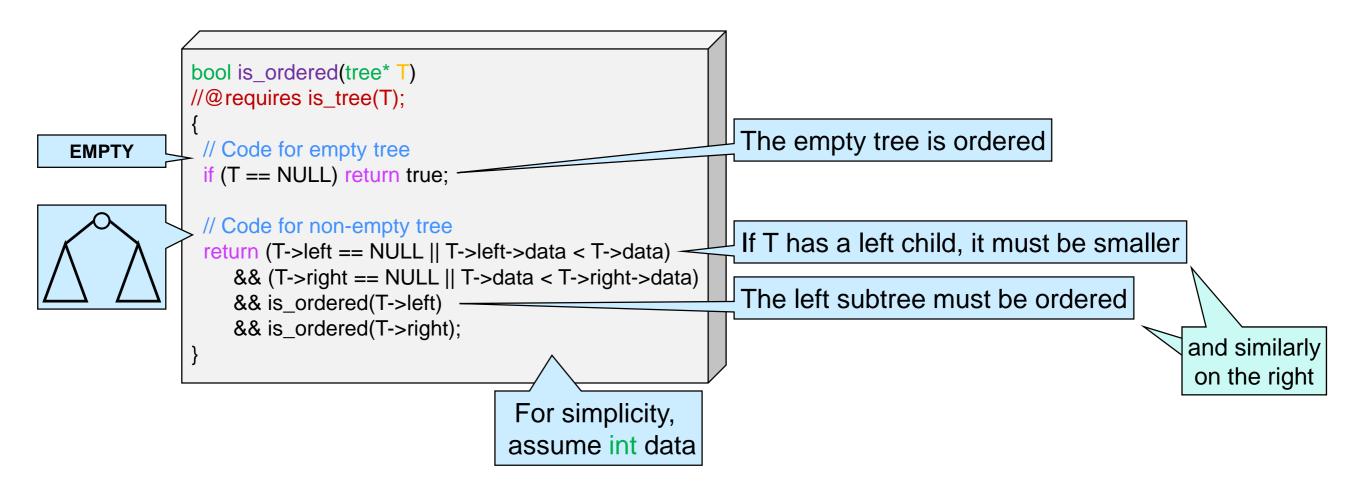
Checking Ordering

Ordered Trees – I

- The data in every node must be
 - bigger than its left child's
 - smaller than its right child's

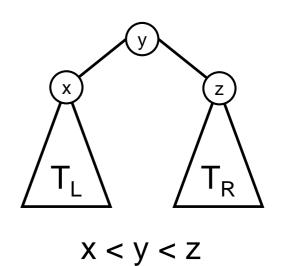


• In code:



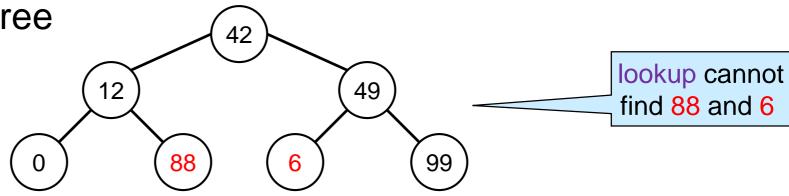
Ordered Trees - I

- The data in every node must be
 - o bigger than its left child's
 - smaller than its right child's



Is this enough?





o but it is **not** ordered



ullet To be ordered, we want $T_L < y < T_R$

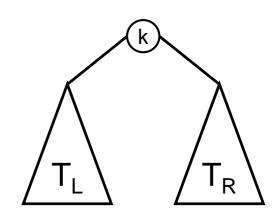
This is a **global** constraint: we need to check the whole subtrees

 \circ not x < y < z

This is a *local* constraint: it only checks the children of each node

Ordered Trees – II

- The data in every node must be
 - bigger than everything in its left subtree
 - o smaller than everything in its right subtree



 $T_L < k < T_R$



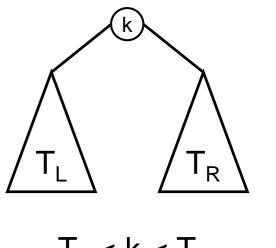
- We need two helper functions
 - \circ gt_tree that checks $k > T_L$ (i.e., $T_L < k$)
 - It_tree that checks k < T_R

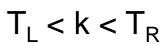
- gt_tree has cost O(n)
 - > if T contains n nodes
 - because it compares kwith every node in T

lt_tree is similar

Ordered Trees – II

- The data in every node must be
 - bigger than everything in its left subtree
 - smaller than everything in its right subtree







In code:

- is_ordered costs O(n²)
 - > if T contains n nodes
 - because it calls gt_treeand lt_tree on each node

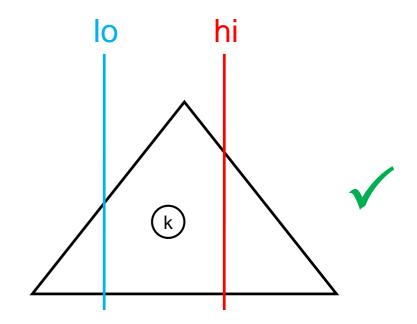
Ordered Trees – III

Can we do better than O(n²)?

Even though we typically don't care about the cost of specification functions

- As we examine each key k, keep track of its allowed range
 - \circ if lo < k < hi, then
 - $> lo < k_L < k$ for the key k_L of its left child (if any)
 - \geq k < k_R < hi for the key k_R of its right child (if any)
 - \circ if k is the root, then $-\infty < k < \infty$

This assumes integer keys



- For arbitrary keys,
 - use entries as the bounds and entry_key to extract their key
 - use key_compare to compare k with another key
 - o use NULL as -∞ and ∞ ---

NULL is a value of type entry that is not a valid entry

Ordered Trees – III

hi 0 As we examine each key k, keep track of its allowed range We carry around the range (lo, hi) (k)In code: as additional parameters bool is_ordered(tree* T, entry lo, entry hi) //@requires is_tree(T); // Code for empty tree **EMPTY** if (T == NULL) return true; Check that lo < k < hi // Code for non-empty tree key k = entry_key(T->data); return (lo == NULL || key_compare(entry_key(lo), k) < 0) && (hi == NULL || key_compare(k, entry_key(hi)) < 0) Check that lo < T_L < k && is_ordered(T->left, lo, T->data) && is_ordered(T->right, T->data, hi); Check that k < T_R < hi

- Complexity: O(n)
 - > if T contains n nodes
 - we test every node in the tree

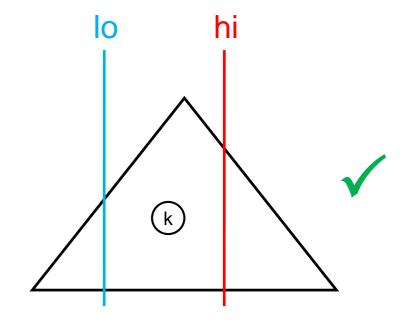
Ordered Trees – III

We need to update is_bst slightly

```
bool is_ordered(tree* T, entry lo, entry hi) { ... }

bool is_bst(tree* T) {
   return is_tree(T)
    && is_ordered(T, NULL, NULL);
}

Initially
lo = -\infty
Initially
hi = \infty
```

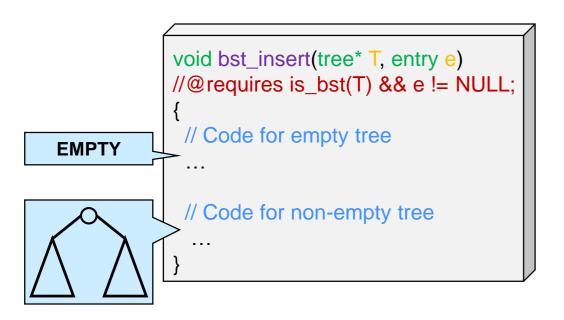


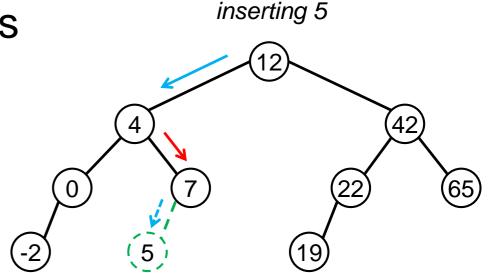
Inserting Entries

Inserting into a BST

 Do the same steps we would do to search for this entry, and then put it where it should have been

 The code follows the possible shapes of the tree





Inserting into an Empty BST

 We simply create a node for the new entry

```
inserting 5
```

```
void bst_insert(tree* T, entry e)

//@requires is_bst(T) && e != NULL;

{

// Code for empty tree

if (T == NULL) {

    tree* R = alloc(tree);

    R->data = e;

    T = R;

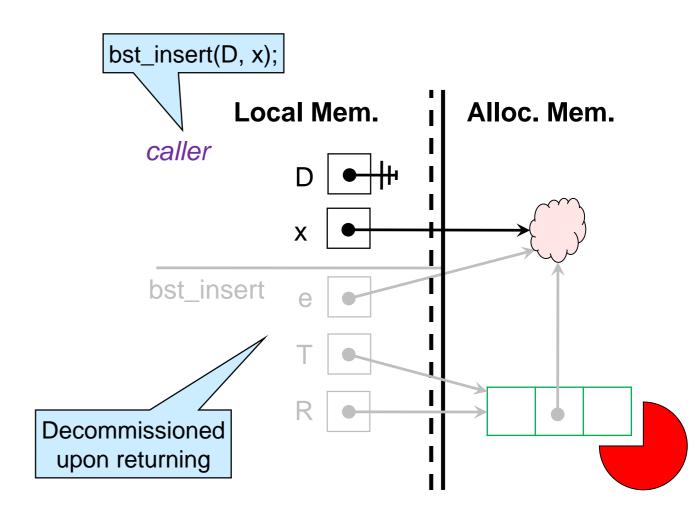
}

// Code for non-empty tree

...
}
```

- We need to return the new node to the caller
 - bst_insert must return a tree

- Does this achieve what we want?
 - No: T is a copy of the caller's tree
 - changing T does not change the original



Inserting into an Empty BST

 We simply create a node for the new entry and return it

```
tree* bst_insert(tree* T, entry e)

//@requires is_bst(T) && e != NULL;

//@ensures is_bst(\result) && \result != NULL;

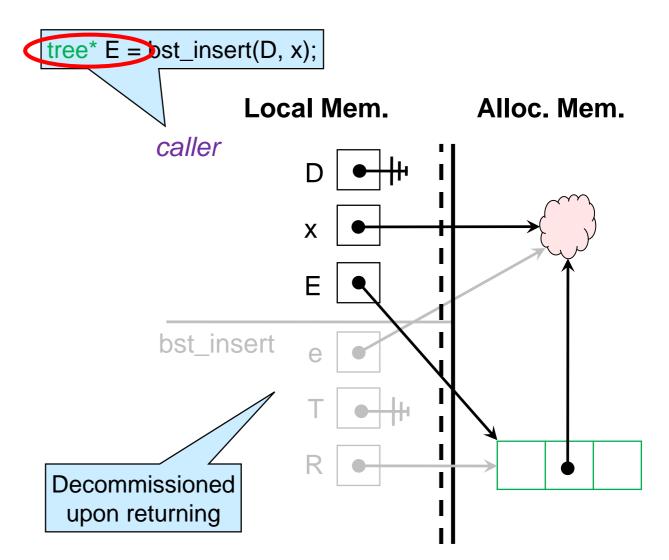
// Code for empty tree

if (T == NULL) {
    tree* R = alloc(tree);
    R->data = e;
    return R:
    }

// Code for non-empty tree
...
}
```

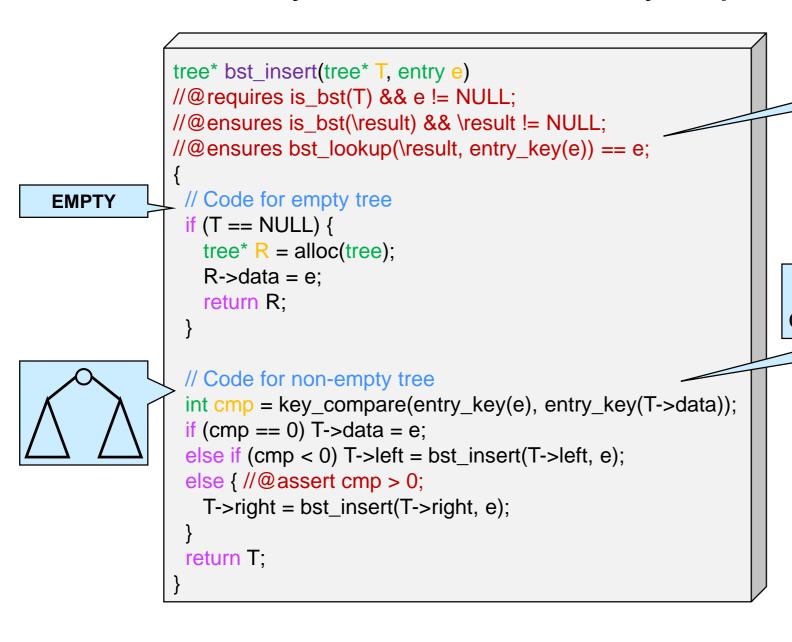
 The returned tree must be a valid BST





Inserting in a Non-empty BST

If an entry with the same key is present, we overwrite it



Additional postcondition

- < 0 if k1 is smaller than k2
 - 0 if k1 and k2 are the same
- > 0 if k1 is larger than k2

We save the outcome of the comparison in the variable cmp

- When inserting in the left subtree, we **reattach** the tree returned by the recursive call
 - the pointer is the same except if it was NULL
- o and similarly on the right

Inserting into a BST

```
tree* leaf(entry e)
            //@requires e != NULL;
            //@ensures is_bst(\result) && \result != NULL;
              tree^* T = alloc(tree);
              T->data = e;
              T->left = NULL; // not necessary
              T->right = NULL; // not necessary
              return T;
             tree* bst insert(tree* T, entry e)
            //@requires is_bst(T) && e != NULL;
            //@ensures is_bst(\result) && \result != NULL;
            //@ensures bst_lookup(\result, entry_key(e)) == e;
              // Code for empty tree .
EMPTY
              if (T == NULL) return(leaf(e)
              // Code for non-empty tree
              int cmp = key_compare(entry_key(e), entry_key(T->data));
              if (cmp == 0) T->data = e;
              else if (cmp < 0) T->left = bst_insert(T->left, e);
              else { //@assert cmp > 0;
                T->right = bst_insert(T->right, e);
              return T;
```

- We make bst_insert more readable by
 - moving the code that creates a new leaf into a helper function
 - explicitly setting its children to NULL

Refactoring code to make it more readable is important for maintainability

BST Dictionaries

Are we There Yet?

Our target dictionary interface is

```
with this client
                                Library Interface
                                                                                                        interface
                  // typedef _____* dict_t;
                  dict t dict new()
 Like hash
                   /*@ensures \result != NULL;
                                                                        @*/;
                                                                                                   Client Interface
dictionaries
                                                                                     // typedef
                                                                                                     * entry;
                  entry dict_lookup(dict_t D, key k)
                                                                                     // typedef
                                                                                                      key;
                   /*@requires D != NULL;
                                                                         @*/
                   /*@ensures \result == NULL
                                                                                     key entry_key(entry e)
                              || key_compare(entry_key(\result), k) == 0;
                                                                                      /*@requires e != NULL;
                                                                                                                               @*/
                  void dict insert(dict t D, entry e)
                                                                                     int key_compare(key k1, key k2);
                   /*@requires D != NULL && e != NULL;
                                                                        @*/
                   /*@ensures dict_lookup(D, entry_key(e)) == e;
                                                                        @*/;
    ... plus
                  entry dict min(dict t D)
   find min
                   /*@requires D != NULL;
```

So far, we have implemented lookup and insertion

Are we There Yet?

```
entry bst_lookup(tree* T, key k);
tree* bst_insert(tree* T, entry e);
```



```
Library Interface
// typedef _____* dict_t;
dict t dict new()
/*@ensures \result != NULL;
                                                       @*/
entry dict_lookup(dict_t_D, key k)
/*@requires D != NULL;
                                                       @*/
 /*@ensures \result == NULL
           || key_compare(entry_key(\result), k) == 0;
void lict insert(dict t D, entry e)
/*@requires D != NULL && e != NULL;
                                                       @*/
 /*@ensures ndict_lookup(D, entry_key(e)) == e;
                                                       @*/
entry dict_min(dict_t_D)
 /*@requires D != NULL;
```

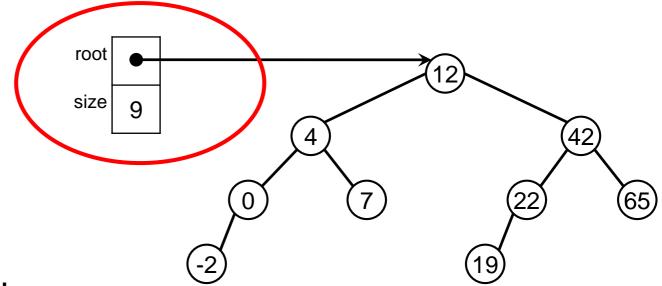
- They do not match!
 - bst_insert returns a tree* but dict_insert does not return anything
 - NULL is a valid BST but not a valid dictionary

Implementing BST Dictionaries

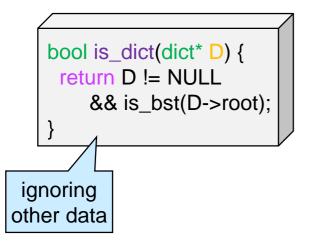
We can define a header that contains a pointer to a tree
 and possibly other data

```
struct dict_header {
  tree* root;
  int size; // example of other data
};
typedef struct dict_header dict;
```

- and wrappers around the BST functions
 - they mediate between trees and dicts



 Here's the specification function for BST dictionaries



- the dictionary itself can't be NULL
 - > this satisfies the dictionary interface
- obut the underlying BST can
 - > that's how we represent the empty dictionary

Implementing BST Dictionaries

```
struct dict_header {
  tree* root;
  int size; // example of other data
};
typedef struct dict_header dict;
```

- We define wrappers around the BST functions
 - > they mediate between the trees and dicts

Lookup

Insertion

```
void dict_insert(dict* D, entry e)
//@requires is_dict(D) && e != NULL;
//@ensures dict_lookup(D, entry_key(e)) == e;
//@ensures is_dict(D);
{
    D->root = bst_insert(D->root, e);
}
```

- Creating a dictionary
 - o allocates a header and
 - sets the root to the empty BST

root

```
dict* dict_new()
//@ensures is_dict(\result);
{
    dict* D = alloc(dict);
    D->root = NULL;
    return D;
}
```

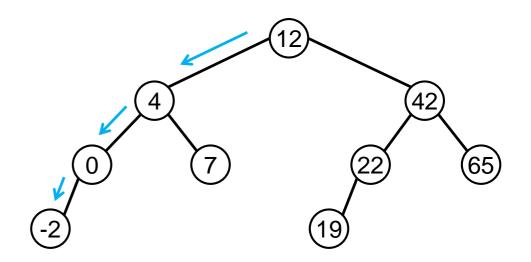
```
dict_new creates the empty dictionary
```

Implementing BST Dictionaries

```
struct dict_header {
  tree* root;
  int size; // example of other data
};
typedef struct dict_header dict;
```

We are only left with implementing find_min

```
entry dict_min(dict* D)
//@requires is_dict(D);
{
   if (D->root == NULL) return NULL;
   tree* T = D->root;
   while (T->left != NULL)
    T = T->left;
   return T->data;
}
```



The abstract client dict_t is just dict*

```
typedef dict* dict_t;
```

That's it!



The BST Dictionary Library

```
// Implementation of interface functions
// BSTs and auxiliary functions
                                                                                                                     Implementation
                                                            dict* dict new()
typedef struct tree node tree:
                                                            //@ensures is_dict(\result);
struct tree_node {
                     // data != NULL
 entry data:
                                                              dict^* D = alloc(dict):
 tree* left:
                                                              D->root = NULL;
 tree* right;
                                                             return D;
// Representation invariant
                                                            entry dict lookup(dict* D, key k)
bool is_bst (tree* T) { ... }
                                                            //@requires is dict(D);
                                                            //@ensures \result == NULL
// BST auxiliary functions
                                                                       || key_compare(entry_key(\result), k) == 0;
entry bst_lookup(tree* T, key k)
//@requires is bst(T):
                                                             return bst lookup(D->root, k);
//@ensures \result == NULL
           || key_compare(entry_key(\result), k) == 0;
{ ... }
                                                            void dict insert(dict* D, entry e)
                                                            //@requires is dict(D) && e != NULL;
                                                            //@ensures dict_lookup(D, entry_key(e)) == e;
tree* bst insert(tree* T, entry e)
                                                            //@ensures is dict(D);
//@requires is bst(T) && e != NULL;
//@ensures is_bst(\result) && \result != NULL;
                                                              D->root = bst_insert(D->root, e);
//@ensures bst_lookup(\result, entry_key(e)) == e;
{ ... }
// Implementing the dictionary
                                                            entry dict_min(dict* D)
                                                            //@requires is_dict(D);
// Concrete type
struct dict_header {
                                                             if (D->root == NULL) return NULL;
tree* root;
                                                              tree* T = D->root;
                                                              while (T->left != NULL)
typedef struct dict header dict;
                                                              T = T->left:
                                                              return T->data:
// Representation invariant
bool is dict (dict* D) {
return D != NULL && is bst(D->root);
                                                            // Client type
                                                            typedef dict* dict_t;
```

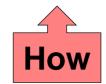
```
Client Interface

// typedef _____* entry;
// typedef _____* key;

key entry_key(entry e)
/*@requires e != NULL;

int key_compare(key k1, key k2);
```

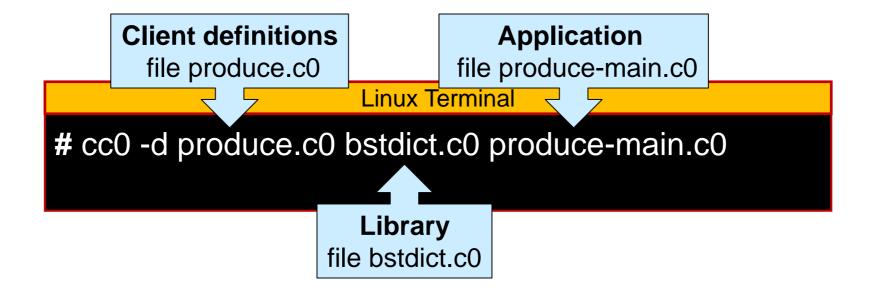
```
Library Interface
// typedef
                 * dict t;
dict_t dict_new()
/*@ensures \result != NULL:
                                                       @*/:
entry dict_lookup(dict_t D, key k)
/*@requires D != NULL;
                                                       @*/
/*@ensures \result == NULL
           || key_compare(entry_key(\result), k) == 0; @*/;
void dict insert(dict t D, entry e)
/*@requires D != NULL && e != NULL;
                                                       @*/
/*@ensures hdict_lookup(D, entry_key(e)) == e;
                                                       @*/:
entry dict min(dict t D)
/*@requires D != NULL;
```





Using BST Dictionaries

- We can now use this new implementation of dictionaries for our application
 - once we write an appropriate client definition file



We could easily make this library fully generic

Recall our Goal

Develop a data structure that has guaranteed O(log n) worst-case complexity for lookup, insert and find_min
 always!

We have succeeded

	Target data structure	
lookup	O(log n)	√
insert	O(log n)	√
find_min	O(log n)	√

or have we ...