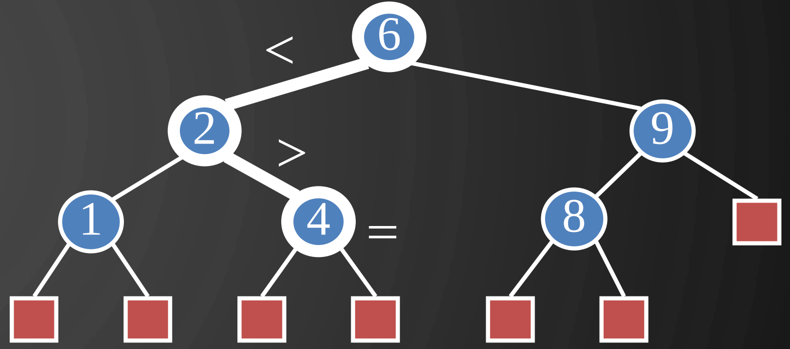
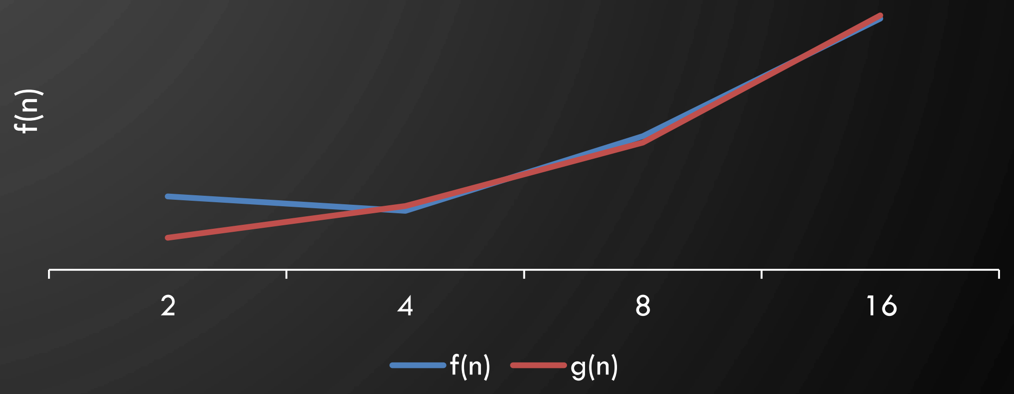


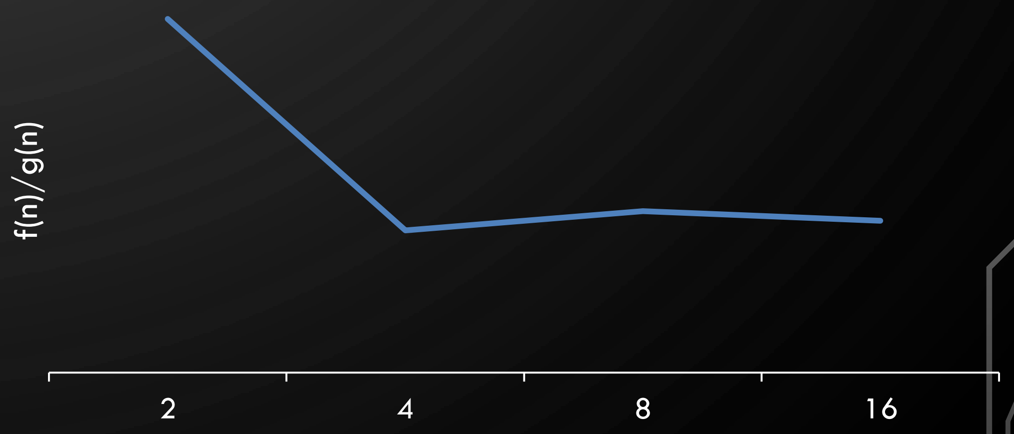
CHAPTER 10
SEARCH TREES

ACKNOWLEDGEMENT: THESE SLIDES ARE ADAPTED FROM SLIDES PROVIDED WITH DATA STRUCTURES AND ALGORITHMS IN C++, GOODRICH, TAMASSIA AND MOUNT (WILEY 2004) AND SLIDES FROM NANCY M. AMATO

A BRIEF NOTE ON ALGORITHM COMPLEXITY (ASYMPTOTIC COMPLEXITY)

- A function $f(n) = O(g(n))$ if there exist constants c and n_0 such that $f(n) \leq cg(n)$ for all $n \geq n_0$
- Note
    - $f(n)$ is the actual time an algorithm would take (real/measured time)
    - $g(n)$ is the expected or theoretical time
- Big-Oh is ordered, note
    - $1 = O(n)$ for all constants c
    - $n = O(n \log n)$ for all constants c
    - Etc
- c and n_0 are considered Big-Oh constants
    - Can figure c by finding the smallest value such that $\frac{f(n)}{g(n)} \leq c$, n_0 is where c starts to hold





DETERMINING ALGORITHM COMPLEXITY

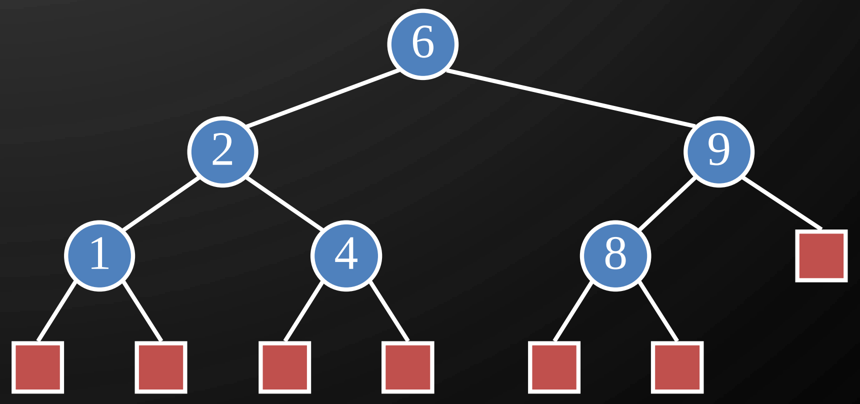
- Count ALL operations
- Again….count ALL operations
- MAYDAY….count ALL operations

- Jokes aside, this is the easiest way. An operation will be expressed as a function of the input size (algorithm complexity)

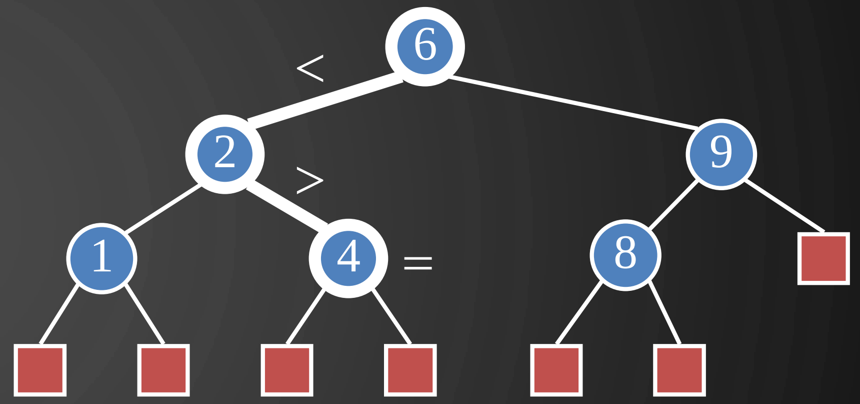
BINARY SEARCH TREES

- A binary search tree is a binary tree storing entries (k, e) (i.e., key-value pairs) at its internal nodes and satisfying the following property:
  - Let u, v, and w be three nodes such that u is in the left subtree of v and w is in the right subtree of v. Then $key(u) \leq key(v) \leq key(w)$
- External nodes do not store items

- An inorder traversal of a binary search trees visits the keys in increasing order



SEARCH



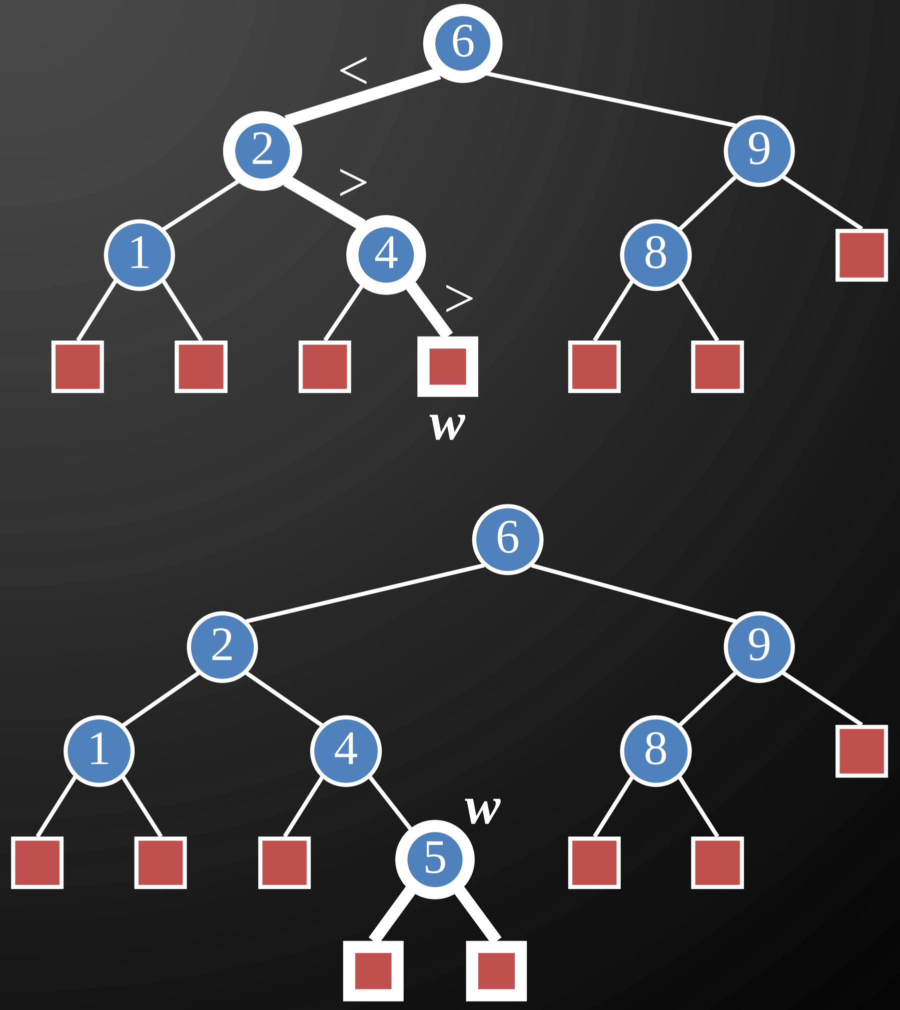
- To search for a key k, we trace a downward path starting at the root
- The next node visited depends on the outcome of the comparison of k with the key of the current node
- If we reach a leaf, the key is not found
- Example: find(4)
- Algorithms for $\text{floorEntry}(\ )$ and $\text{ceilingEntry}(\ )$ are similar

Algorithm $\text{Search}(k, v)$

1. if $v.\text{isExternal}(\ )$
2. return v
3. if $k < v.\text{key}(\ )$
4. return $\text{Search}(k, v.\text{left}(\ ))$
5. else if $k = v.\text{key}(\ )$
6. return v
7. else $//k > v.\text{key}()$
8. return $\text{Search}(k, v.\text{right}(\ ))$

INSERTION

- To perform operation $\mathrm{put}(k, v)$, we search for key k (using $\mathrm{Search}(k)$)
- Assume k is not already in the tree, and let let w be the leaf reached by the search
- We insert k at node w and expand w into an internal node
- Example: insert 5

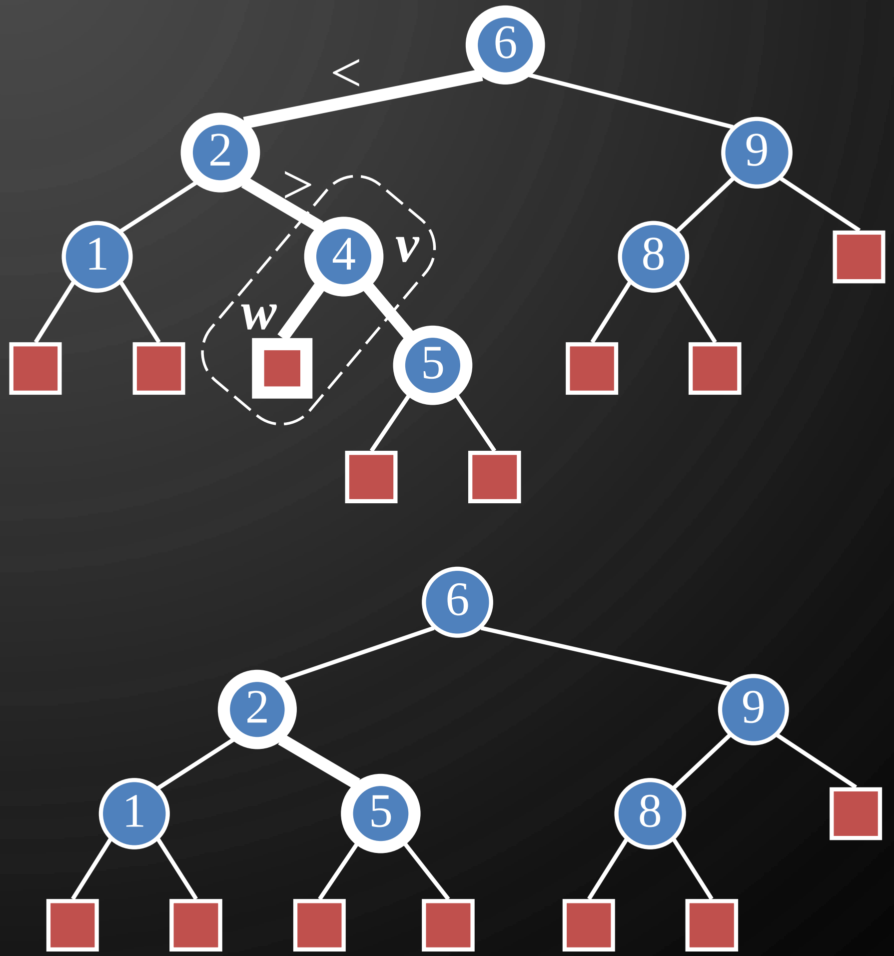


EXERCISE
BINARY SEARCH TREES

- Insert into an initially empty binary search tree items with the following keys (in this order). Draw the resulting binary search tree
  - 30, 40, 24, 58, 48, 26, 11, 13

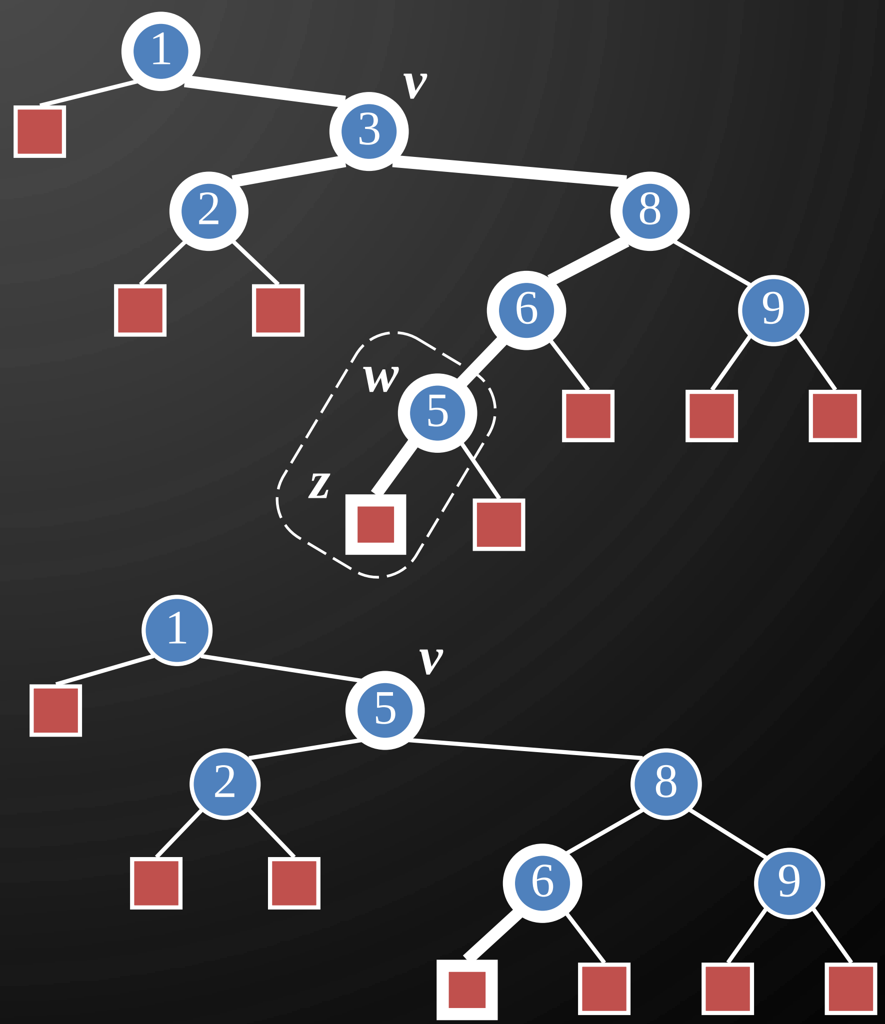
DELETION

- To perform operation $\text{erase}(k)$, we search for key k
- Assume key k is in the tree, and let v be the node storing k
- If node v has a leaf child w, we remove v and w from the tree with operation $\text{removeAboveExternal}(w)$, which removes w and its parent
- Example: remove 4



DELETION (CONT.)

- We consider the case where the key k to be removed is stored at a node v whose children are both internal
  - we find the internal node w that follows v in an inorder traversal
  - we copy $w.\mathrm{key}(\quad)$ into node v
  - we remove node w and its left child z (which must be a leaf) by means of operation $\mathrm{removeAboveExternal}(z)$
- Example: remove 3

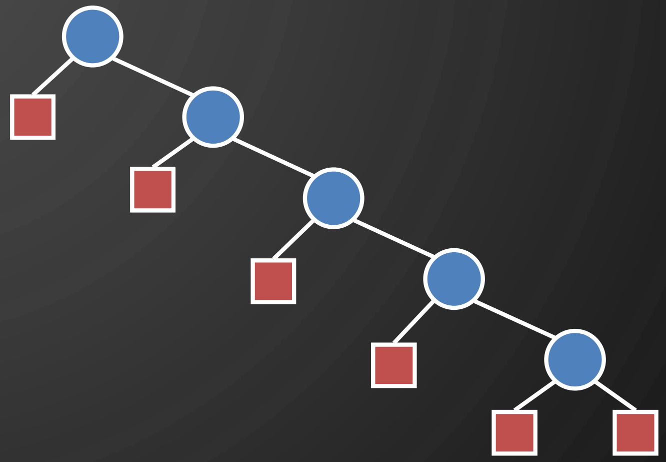


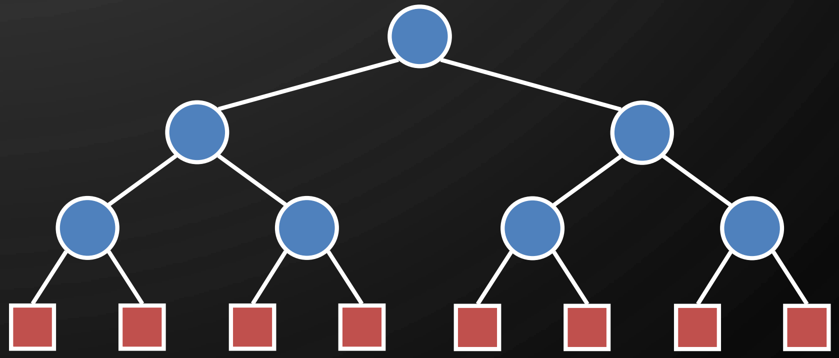
EXERCISE
BINARY SEARCH TREES

- Insert into an initially empty binary search tree items with the following keys (in this order). Draw the resulting binary search tree
  - 30, 40, 24, 58, 48, 26, 11, 13
- Now, remove the item with key 30. Draw the resulting tree
- Now remove the item with key 48. Draw the resulting tree.

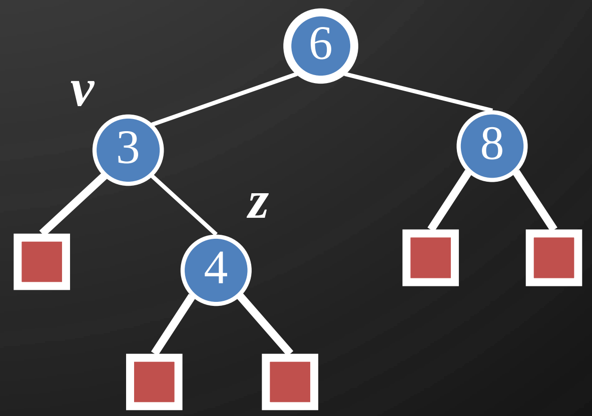
PERFORMANCE

- Consider an ordered map with n items implemented by means of a binary search tree of height h
  - Space used is $O(n)$
  - Methods $\mathrm{find}(k)$, $\mathrm{floorEntry}(k)$, $\mathrm{ceilingEntry}(k)$, $\mathrm{put}(k, v)$, and $\mathrm{erase}(k)$ take $O(h)$ time
- The height h is $O(n)$ in the worst case and $O(\log n)$ in the best case

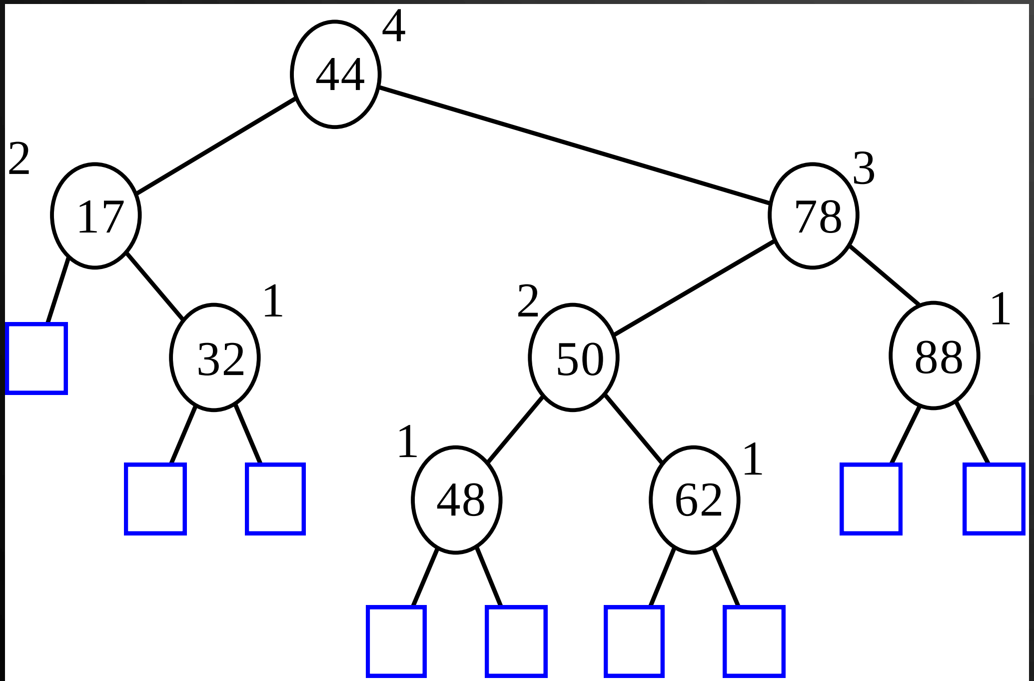




AVL TREES



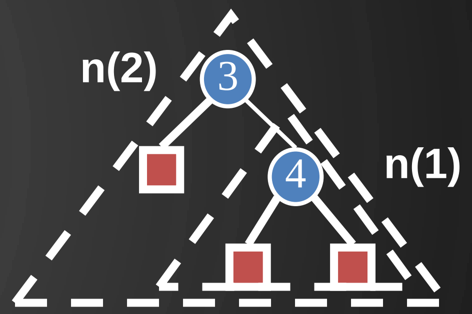
AVL TREE DEFINITION



An example of an AVL tree where the heights are shown next to the nodes:

- AVL trees are balanced
- An AVL Tree is a binary search tree such that for every internal node v of T, the heights of the children of v can differ by at most 1

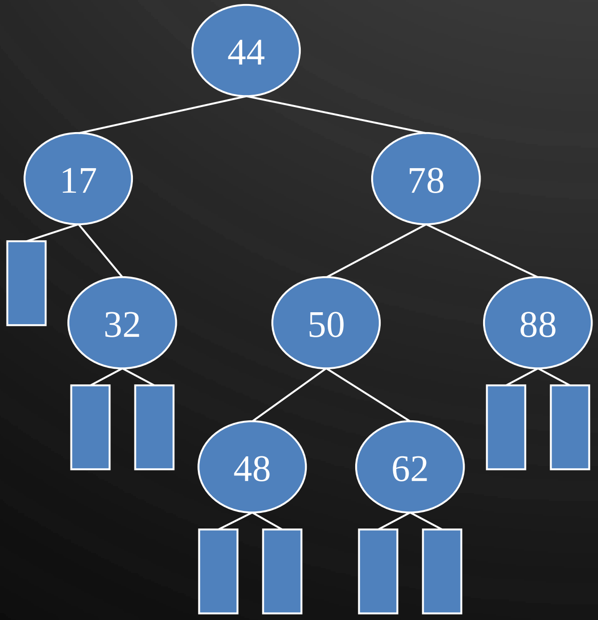
HEIGHT OF AN AVL TREE



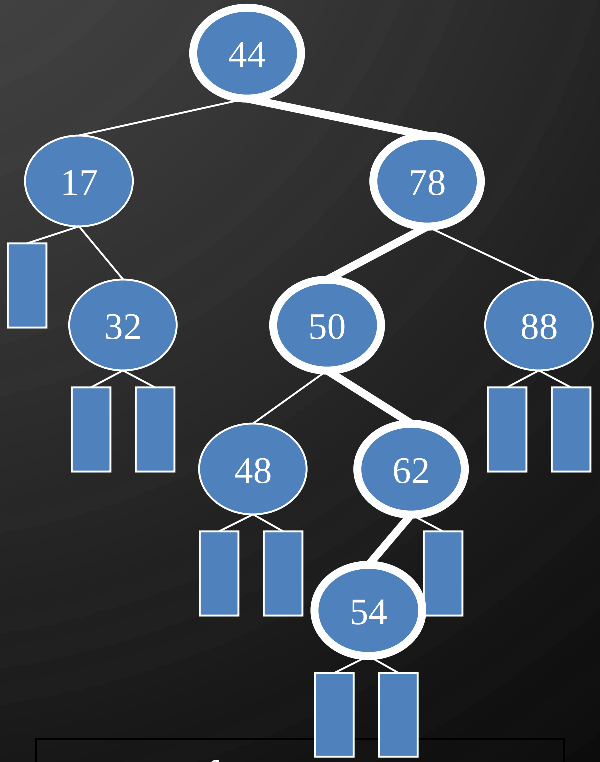
- Fact: The height of an AVL tree storing n keys is $O(\log n)$.
- Proof: Let us bound $n(h)$: the minimum number of internal nodes of an AVL tree of height h.
- We easily see that $n(1) = 1$ and $n(2) = 2$
- For $n > 2$, an AVL tree of height h contains the root node, one AVL subtree of height $h - 1$ and another of height $h - 2$.
- That is, $n(h) = 1 + n(h - 1) + n(h - 2)$
- Knowing $n(h - 1) > n(h - 2)$, we get $n(h) > 2n(h - 2)$. So
  - $n(h) > 2n(h - 2) > 4n(h - 4) > 8n(n - 6), \ldots$ (by induction),
  - $n(h) > 2^i n(h - 2i)$
- Solving the base case we get: $n(h) > 2^{\frac{h}{2}-1}$
- Taking logarithms: $h < 2 \log n(h) + 2$
- Thus the height of an AVL tree is $O(\log n)$

INSERTION IN AN AVL TREE

- Insertion is as in a binary search tree
- Always done by expanding an external node.
- Example insert 54:



Before Insertion

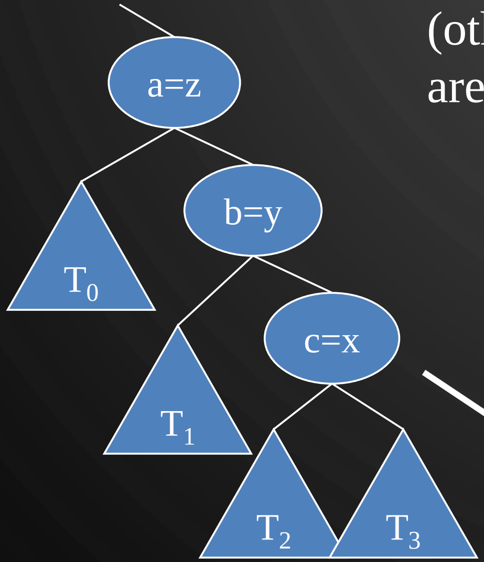


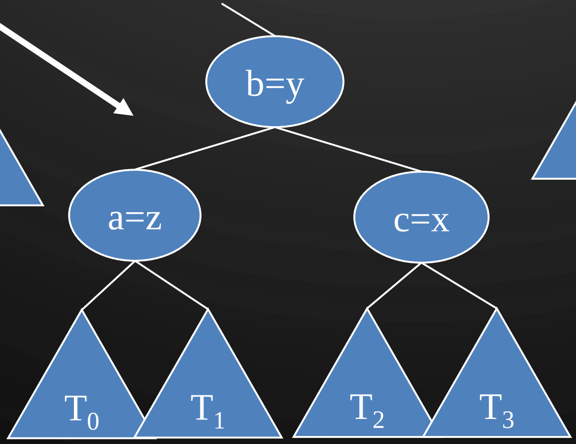
After Insertion

TRINODE RESTRUCTURING

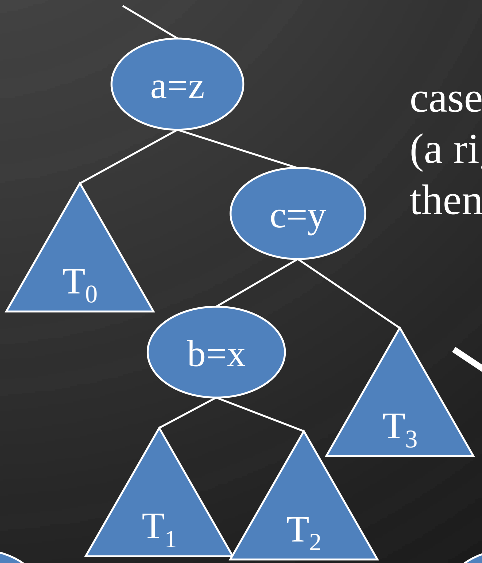
- let (a, b, c) be an inorder listing of x, y, z
- perform the rotations needed to make b the topmost node of the three

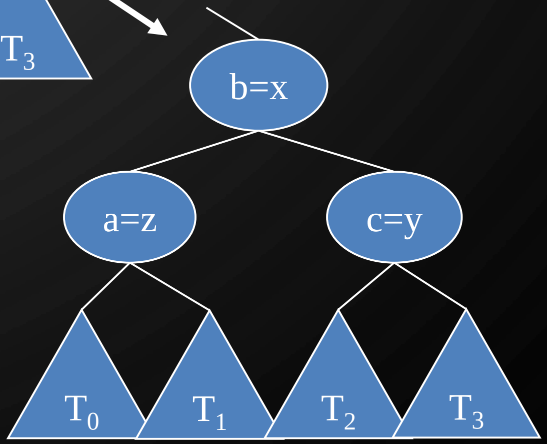
(other two cases are symmetrical)





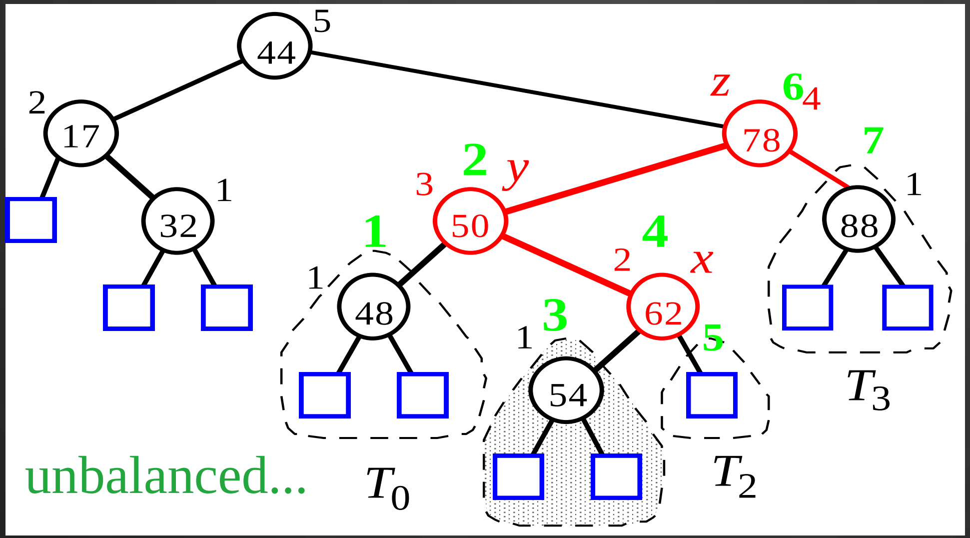
case 1: single rotation
(a left rotation about *a*)

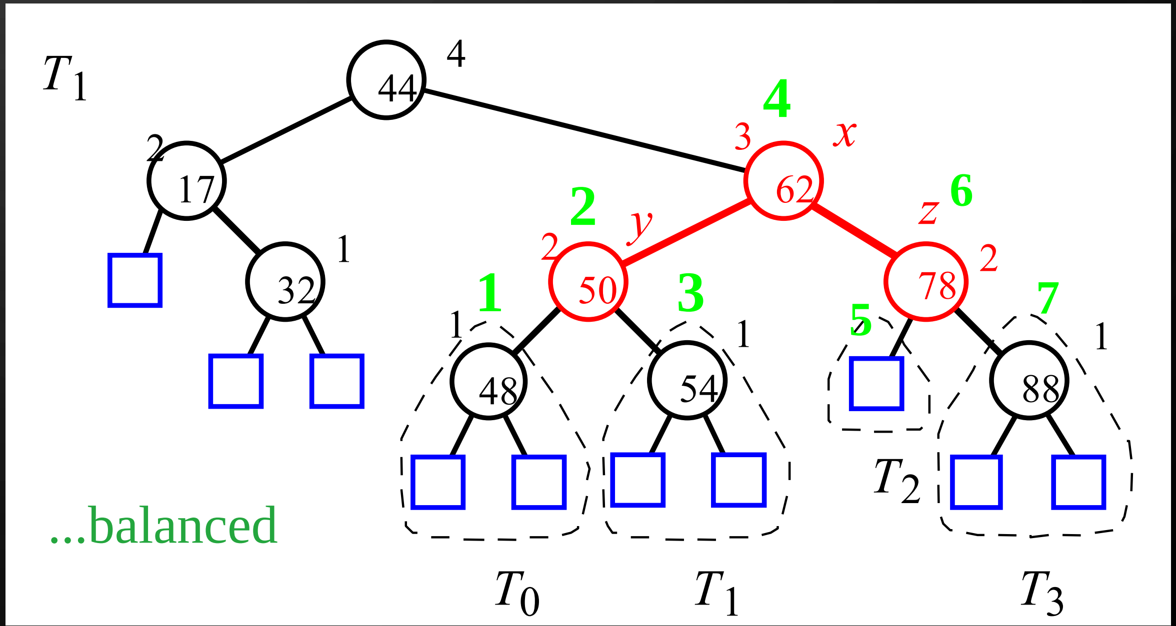




case 2: double rotation
(a right rotation about *c*,
then a left rotation about *a*)

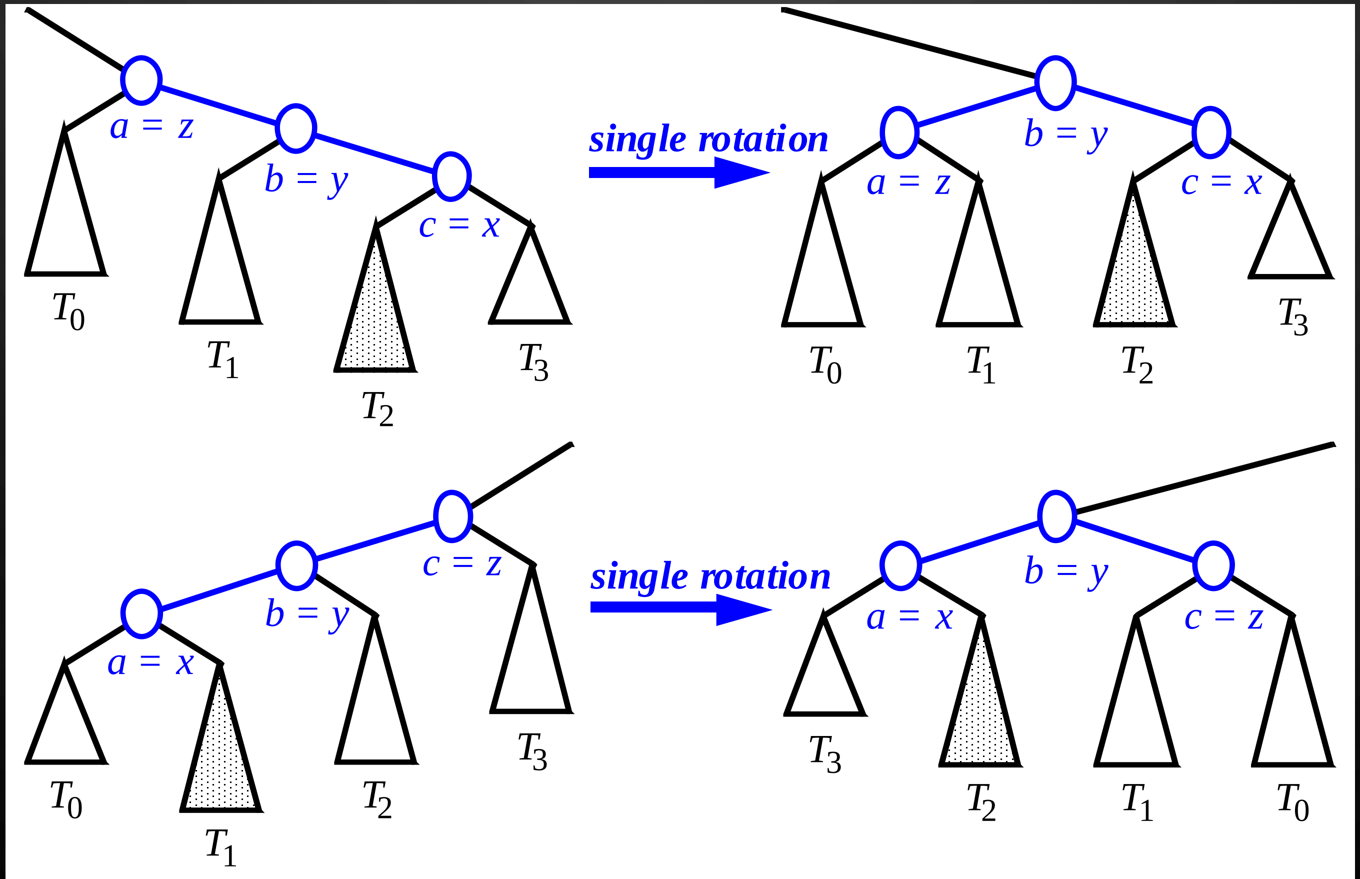
INSERTION EXAMPLE, CONTINUED



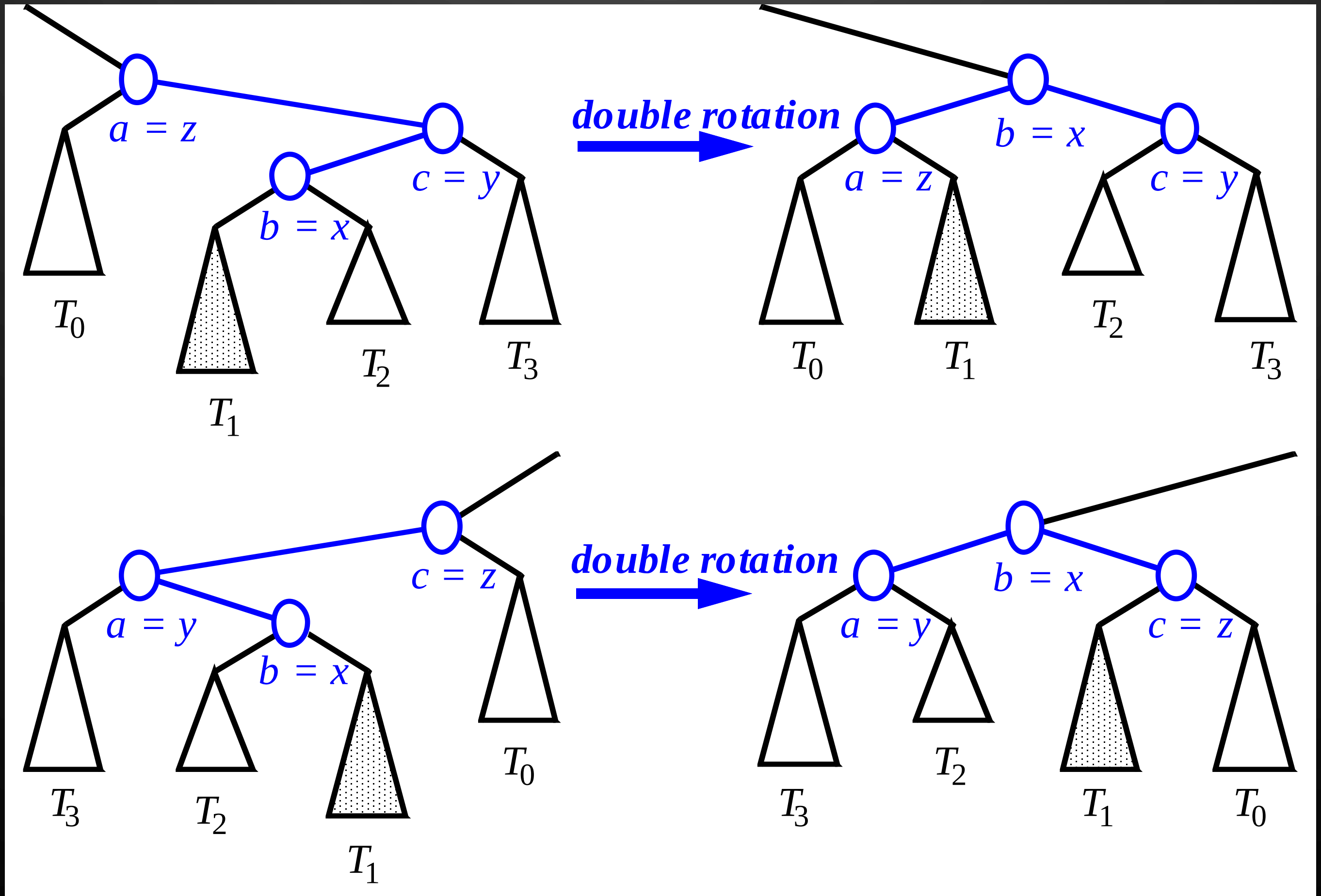


RESTRUCTURING

SINGLE ROTATIONS



RESTRUCTURING
DOUBLE ROTATIONS

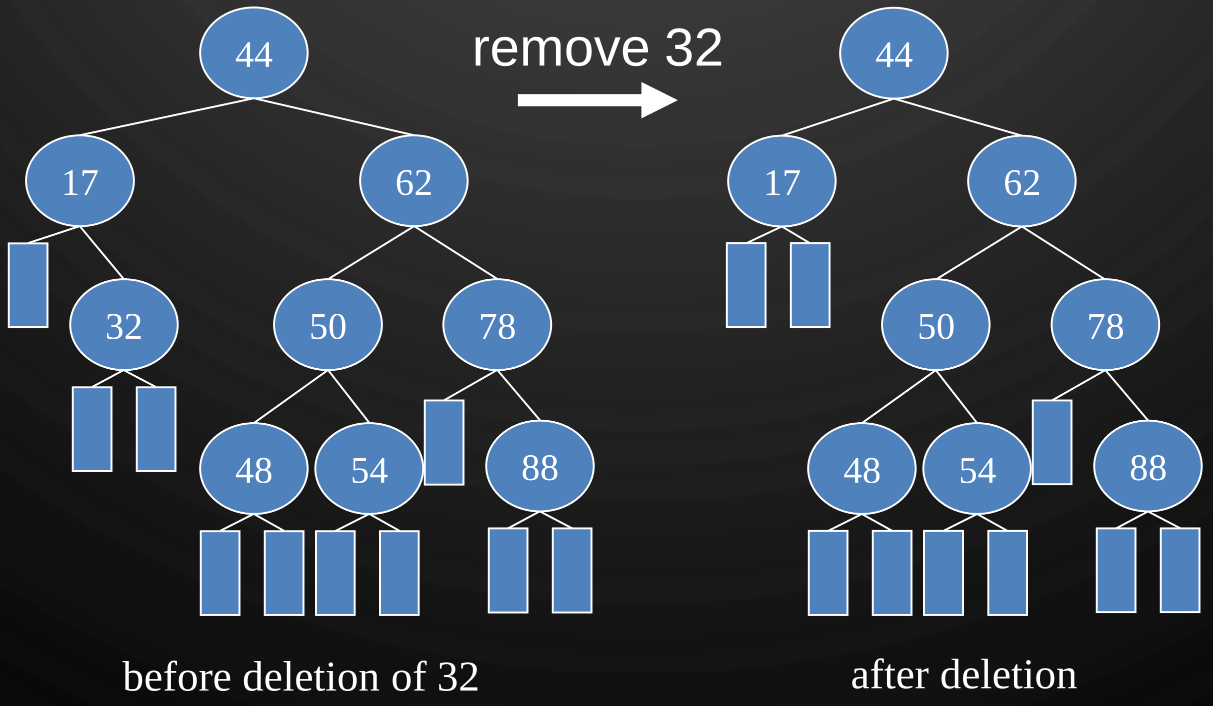


EXERCISE
AVL TREES

- Insert into an initially empty AVL tree items with the following keys (in this order). Draw the resulting AVL tree
  - 30, 40, 24, 58, 48, 26, 11, 13

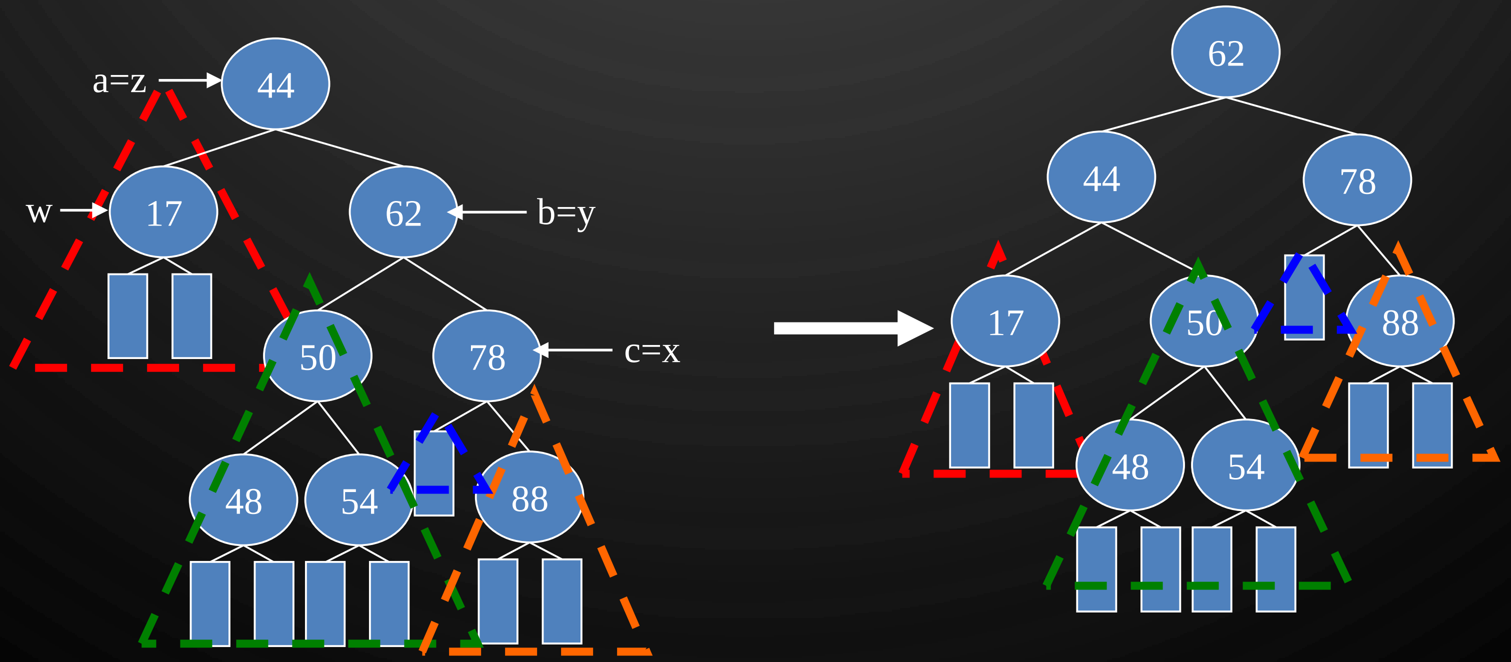
REMOVAL IN AN AVL TREE

- Removal begins as in a binary search tree, which means the node removed will become an empty external node. Its parent, w, may cause an imbalance.
- Example:



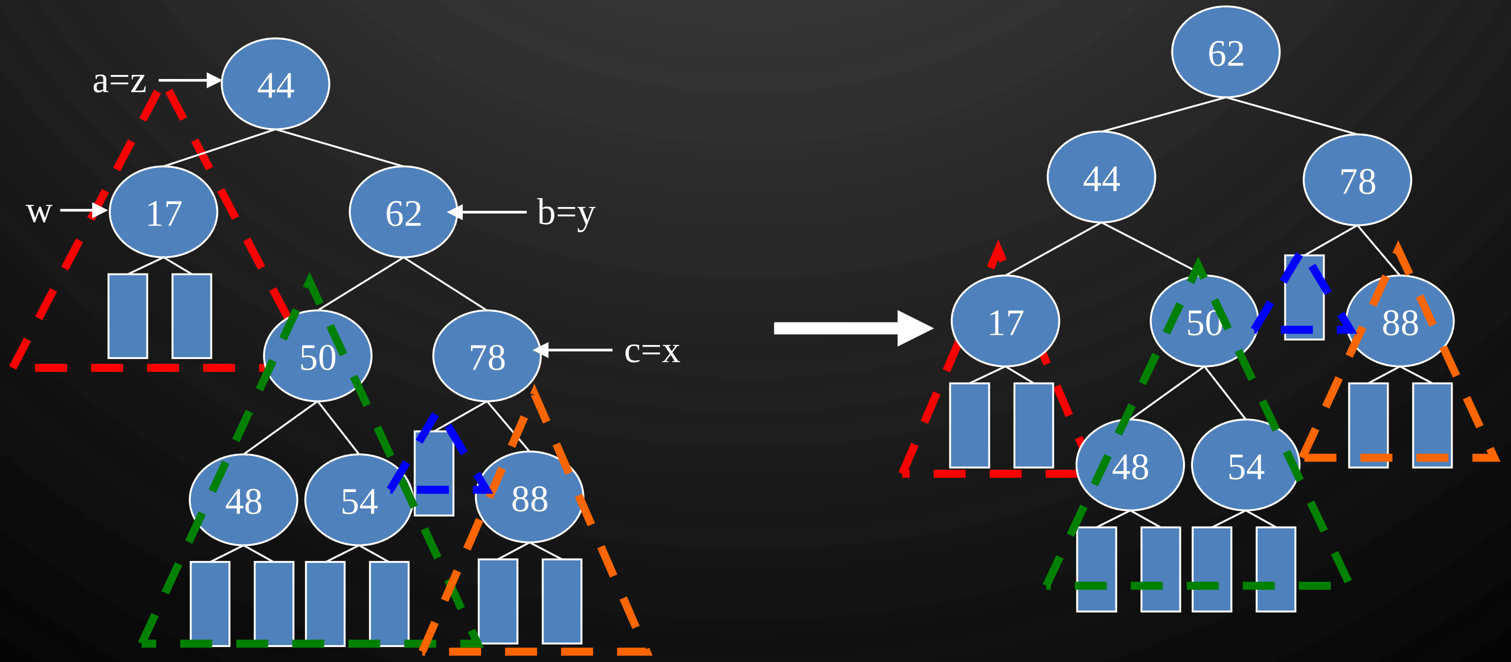
REBALANCING AFTER A REMOVAL

- Let z be the first unbalanced node encountered while travelling up the tree from w (parent of removed node) . Also, let y be the child of z with the larger height, and let x be the child of y with the larger height.
- We perform $\mathrm{restructure}(x)$ to restore balance at z.



REBALANCING AFTER A REMOVAL

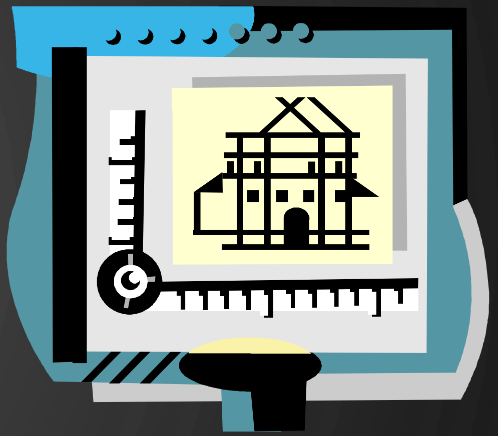
- As this restructuring may upset the balance of another node higher in the tree, we must continue checking for balance until the root of T is reached
  - This can happen at most $O(\log n)$ times. Why?



EXERCISE
AVL TREES

- Insert into an initially empty AVL tree items with the following keys (in this order). Draw the resulting AVL tree
  - 30, 40, 24, 58, 48, 26, 11, 13
- Now, remove the item with key 48. Draw the resulting tree
- Now, remove the item with key 58. Draw the resulting tree

RUNNING TIMES FOR AVL TREES



- A single restructure is $O(1)$ – using a linked-structure binary tree
- $\text{find}(k)$ takes $O(\log n)$ time – height of tree is $O(\log n)$, no restructures needed
- $\text{put}(k, v)$ takes $O(\log n)$ time
  - Initial find is $O(\log n)$
  - Restructuring up the tree, maintaining heights is $O(\log n)$
- $\text{erase}(k)$ takes $O(\log n)$ time
  - Initial find is $O(\log n)$
  - Restructuring up the tree, maintaining heights is $O(\log n)$

OTHER TYPES OF SELF-BALANCING TREES

- Splay Trees – A binary search tree which uses an operation $\mathrm{splay}(x)$ to allow for amortized complexity of $O(\log n)$
- $(2, 4)$ Trees – A multiway search tree where every node stores internally a list of entries and has 2, 3, or 4 children. Defines self-balancing operations
- Red-Black Trees – A binary search tree which colors each internal node red or black. Self-balancing dictates changes of colors and required rotation operations