

# Data Structures

## Search Trees

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# The problem

## Search

We would like to maintain items with keys and except from add/remove to also be able to quickly search an item based on a key.

# Example

Assume items are bank transactions we would like to search based on the date.

# Search

We can implement a data structure for searching in multiple ways.

Our goal is to implement the search operations efficiently while keeping the remaining operations also efficient.

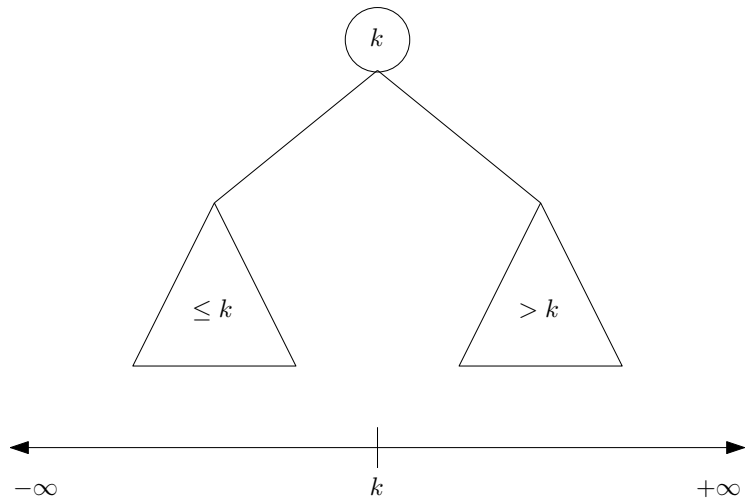
e.g. searching on a linked list is not efficient!

# Binary Search Tree (BST)

## Definition

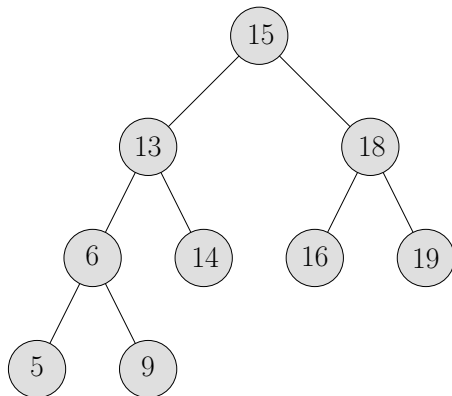
A **binary search tree** is a binary tree where each node is associated with a key with the additional property that the key of a node is larger (or equal) from the keys of all nodes in its left subtree, and smaller than all the keys of the nodes in its right subtree.

# Binary Search Tree (BST)



# Example

## Binary Search Tree (BST)



# Searching on a BST

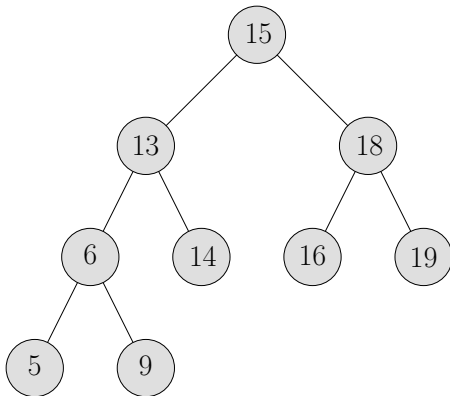
## Algorithm

- ▶ start from the root
- ▶ if we are at a node which has the same key as the one we are looking for, then return the node
- ▶ otherwise go left or right depending on the comparison between the key we are looking for and the key of the node



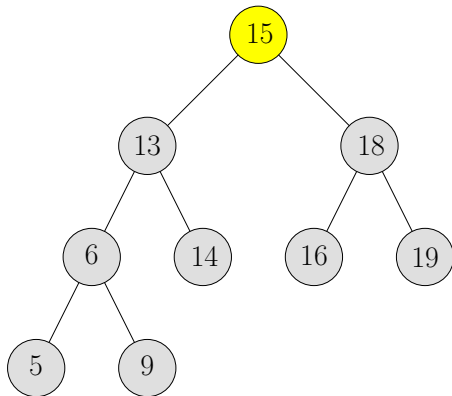
# Searching on a BST

Searching for 9



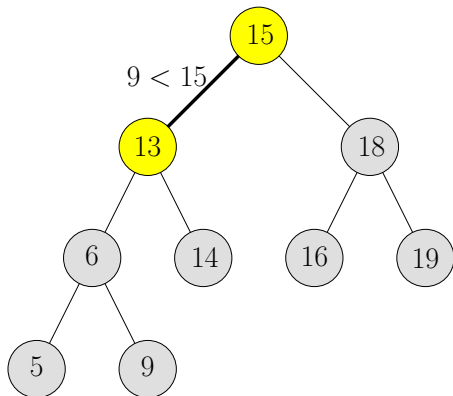
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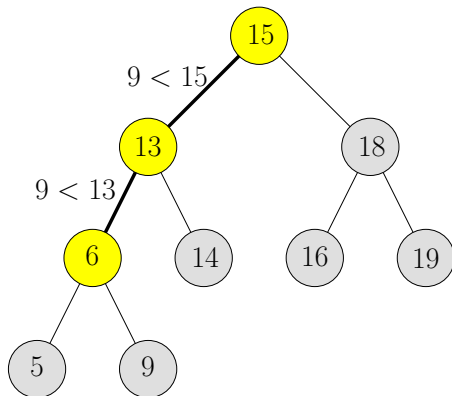
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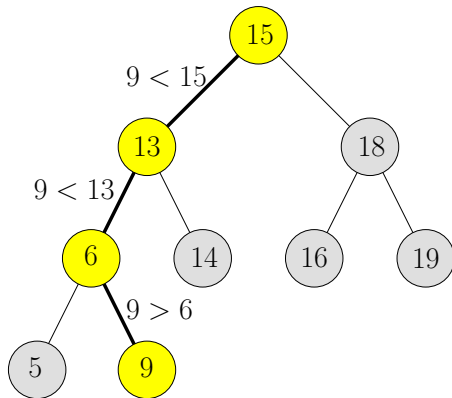
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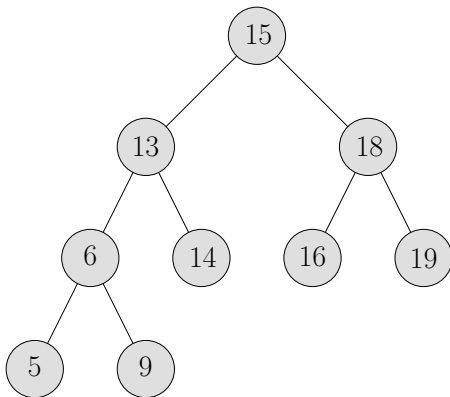
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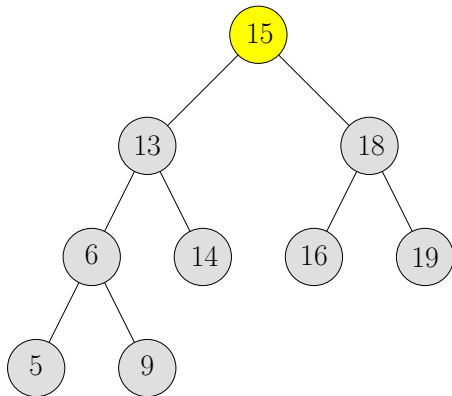
# Searching on a BST

Searching for 17



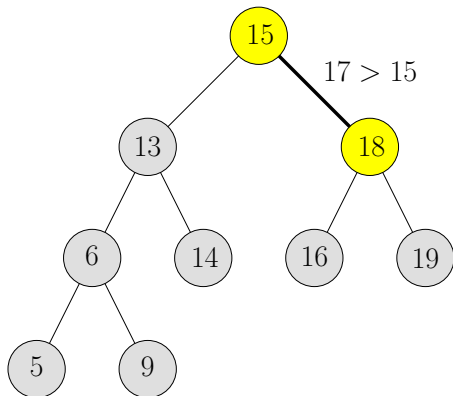
# Searching on a BST

Searching for 17



# Searching on a BST

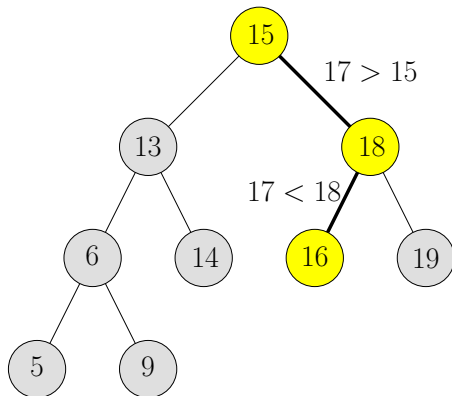
Searching for 17





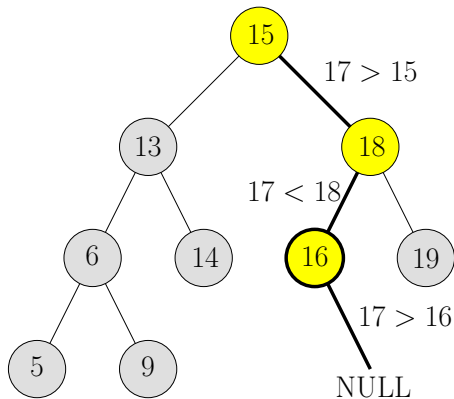
# Searching on a BST

Searching for 17



# Searching on a BST

Searching for 17



# Inorder Traversal

## Rule

First visit the left subtree recursively, then the root then the right subtree recursively.

Returns nodes in non-decreasing key order.

The traversal needs linear time  $\mathcal{O}(n)$  where  $n$  are the number of items in the tree.

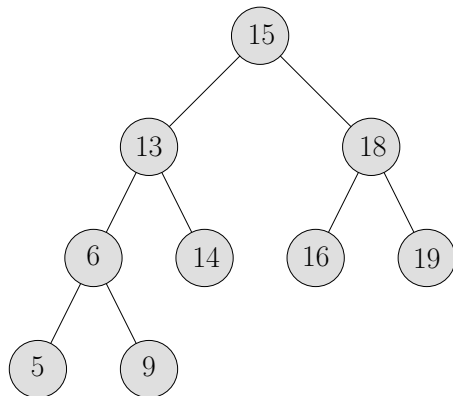
# Insertion on a BST

## Algorithm

- ▶ first perform a search
- ▶ if the key is found, do nothing
- ▶ otherwise add a new node with the new key at the point where the search ended

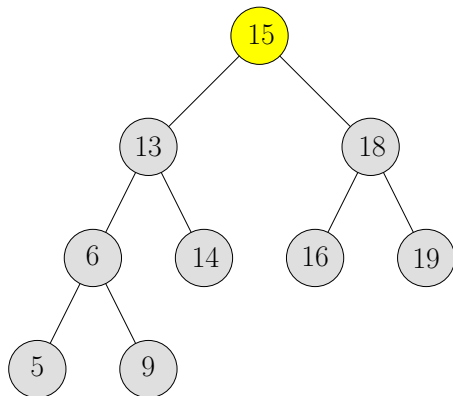
# Insertion on a BST

Insertion of 17



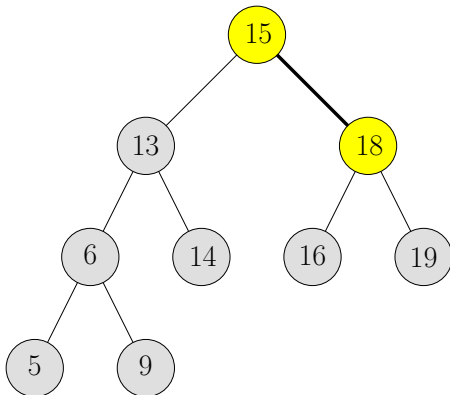
# Insertion on a BST

Insertion of 17



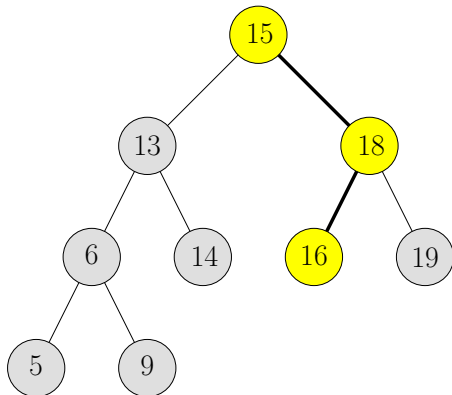
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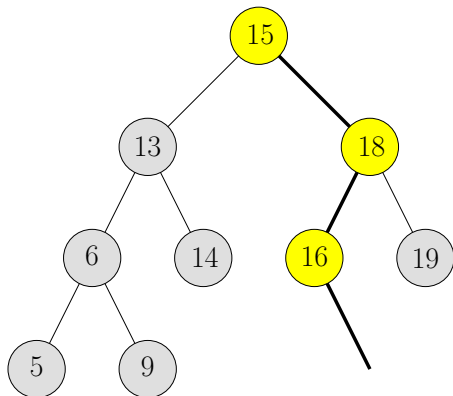
Insertion of 17





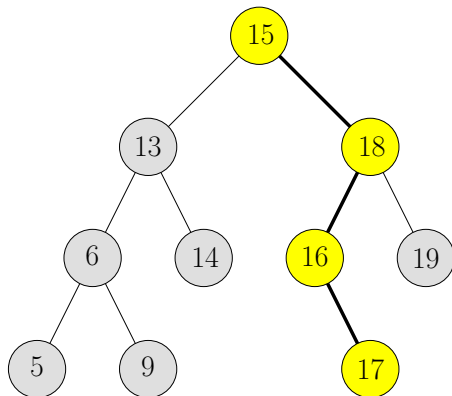
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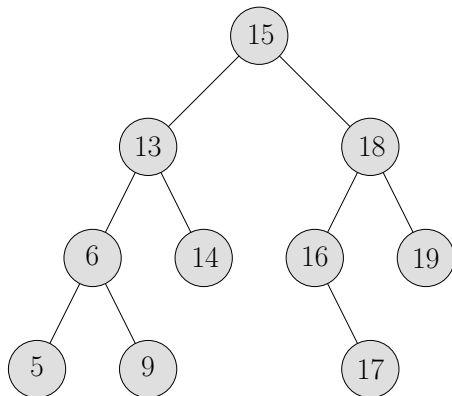
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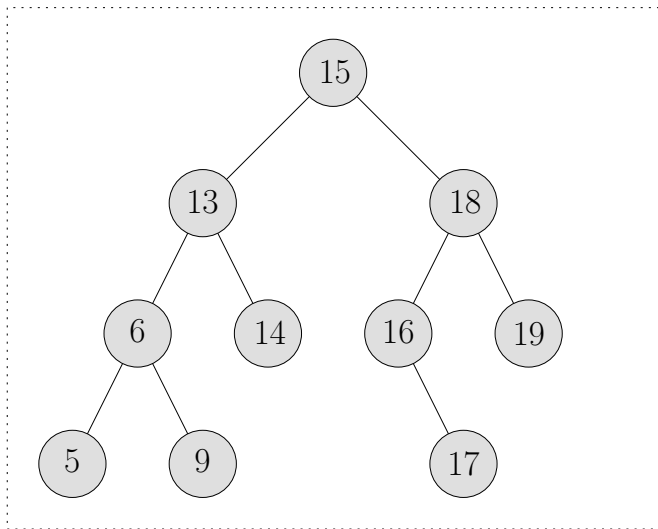
# Deletion from a BST

## Algorithm

- ▶ first perform a search
- ▶ if the key is not found, do nothing
- ▶ otherwise there are 3 cases based on the number of children of the node we want to delete

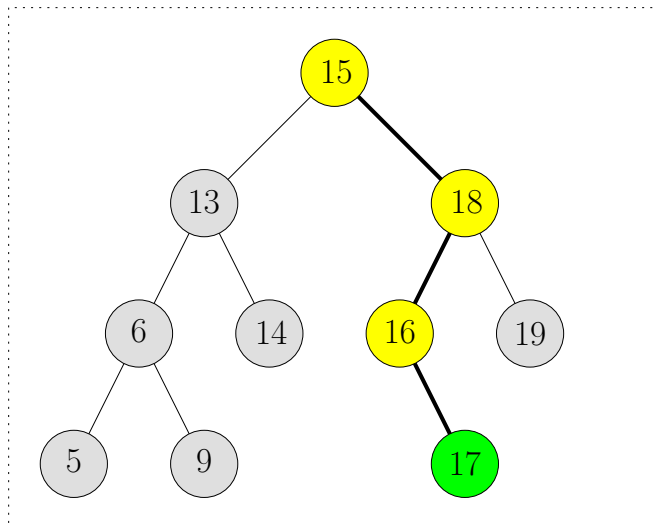
# Deletion from a BST

Case 1: Deletion of 17 (no child)



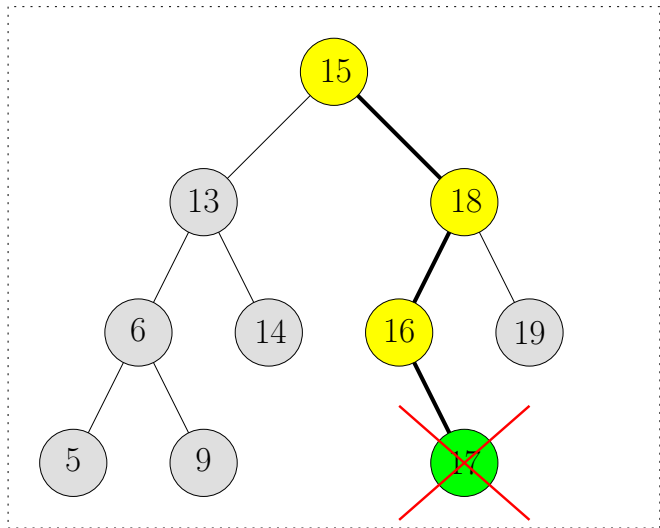
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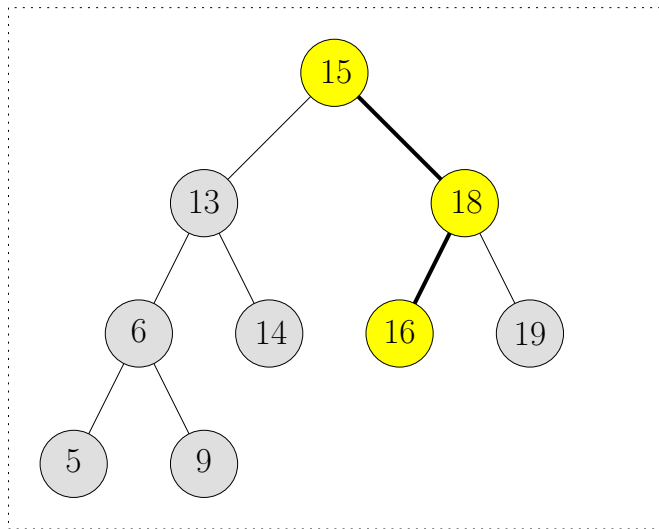
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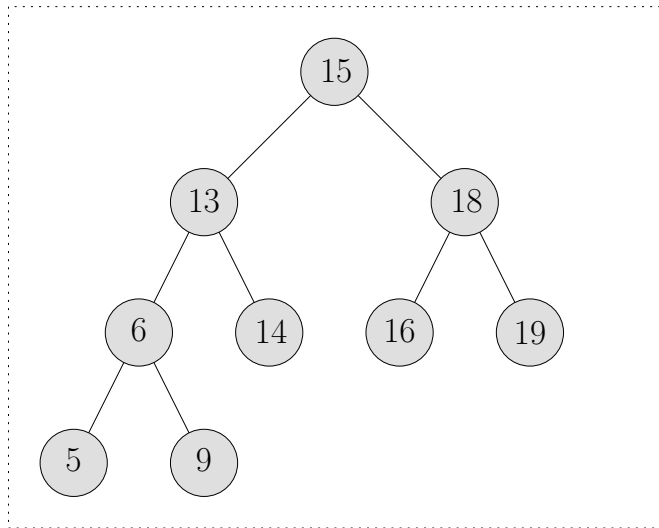
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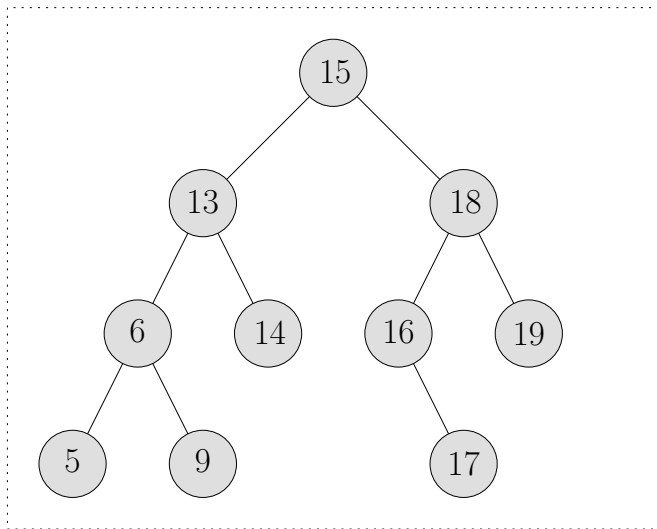
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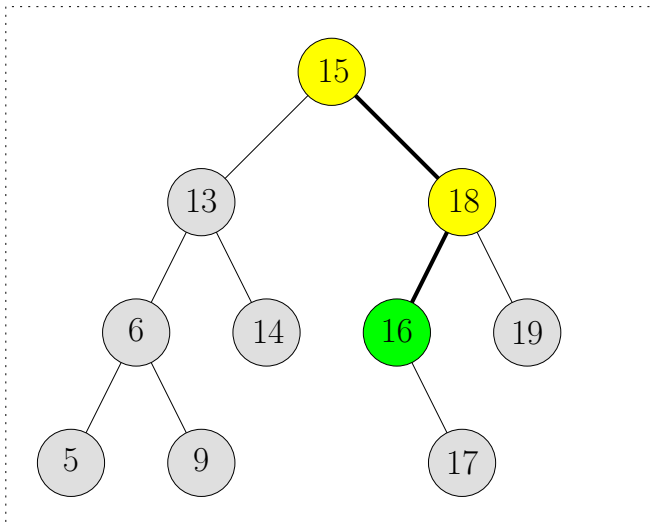
# Deletion from a BST

Case 2: Deletion of 16 (one child)



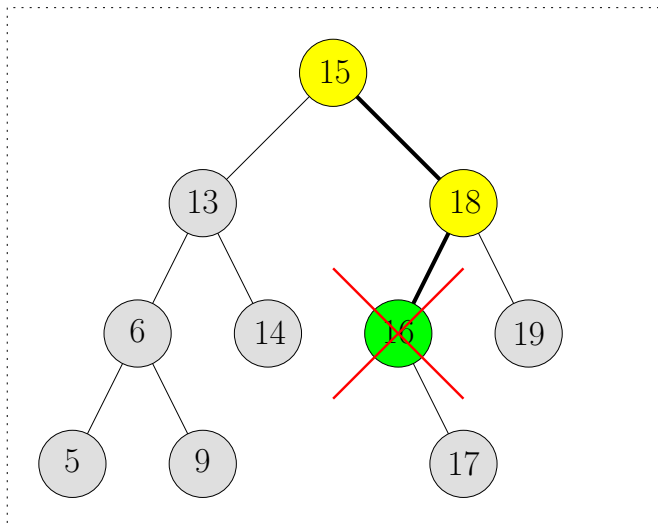
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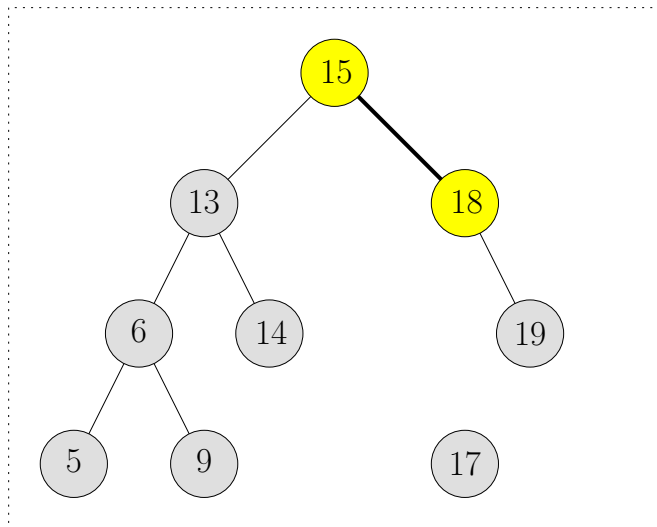
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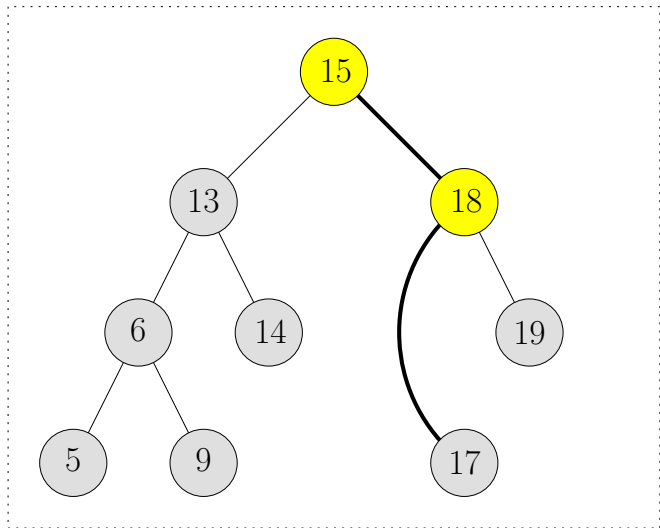
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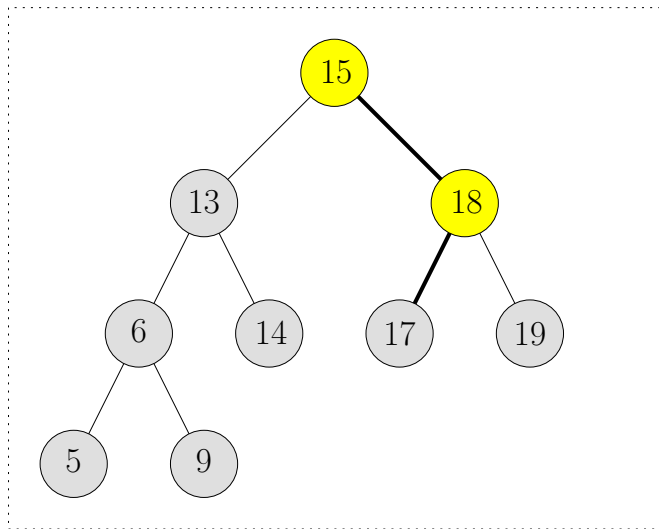
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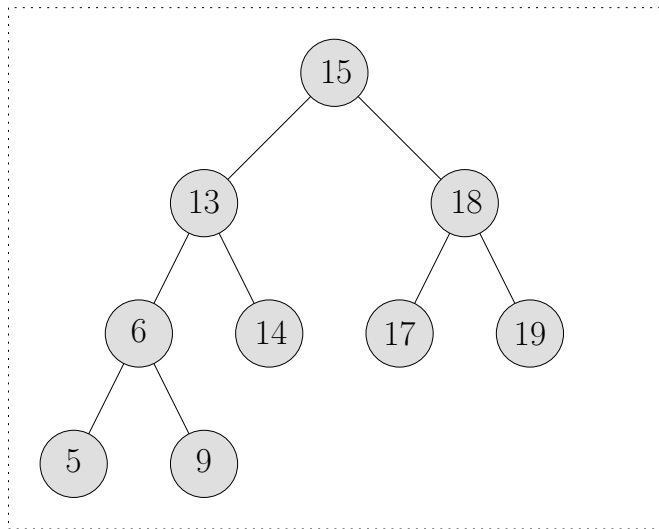
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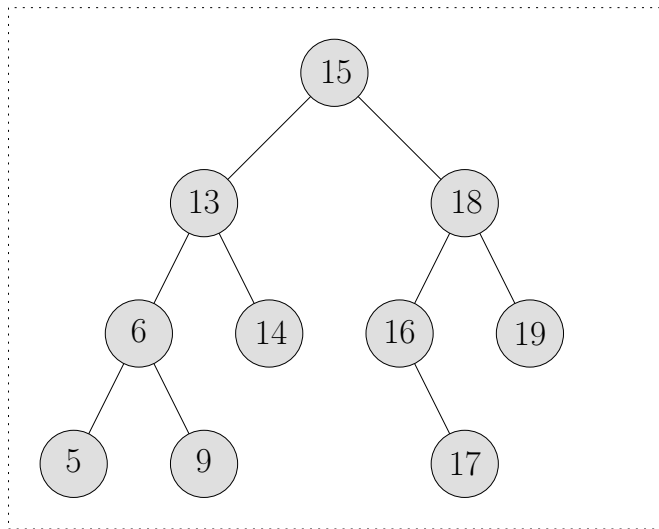
Case 2: Deletion of 16 (one child)





# Deletion from a BST

Case 3: Deletion of 15 (two children)



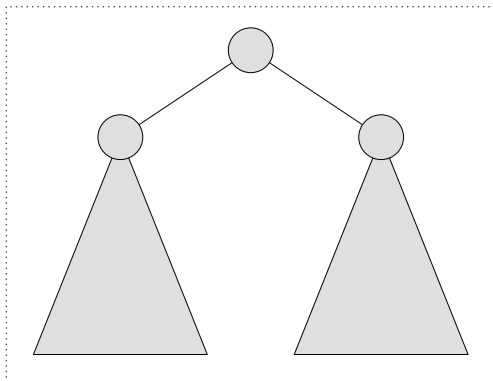
# Calculate the successor

Useful routine for deletion

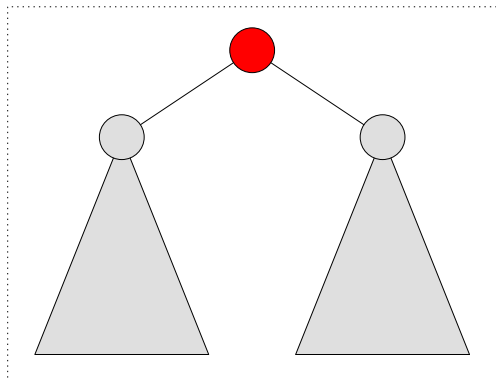
## The problem

Given a subtree we would like to find the node with the successor key from the root of the subtree

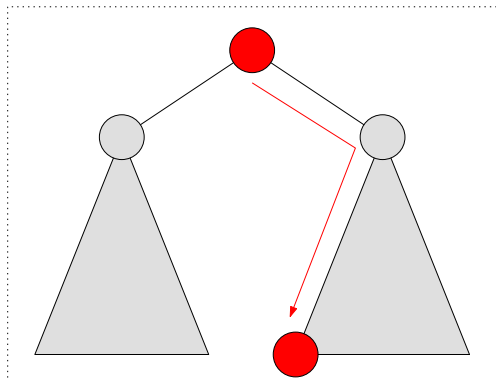
## Finding the successor of the root key



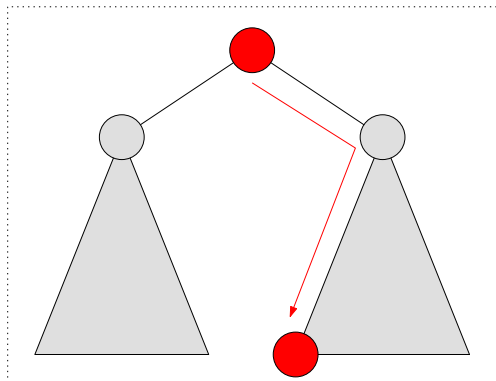
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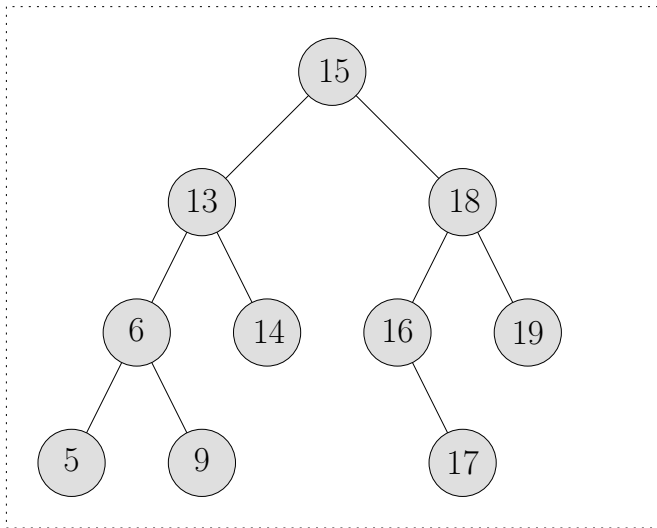
## Finding the successor of the root key



The successor of the root has at most one child. (why?)

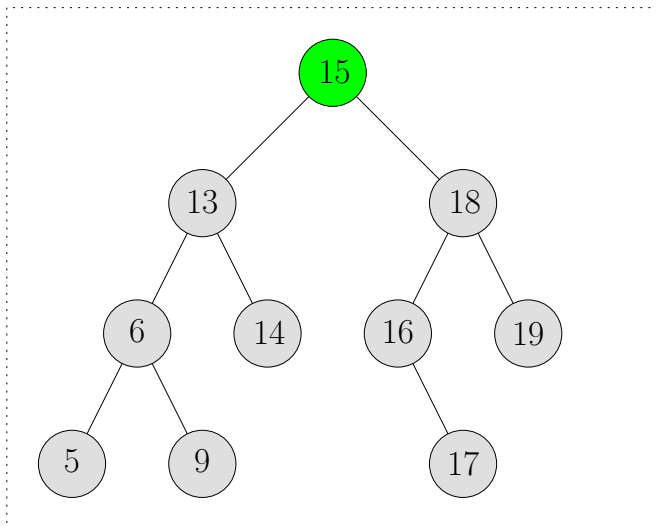
# Deletion from a BST

Case 3: Deletion of 15 (two children)



# Deletion from a BST

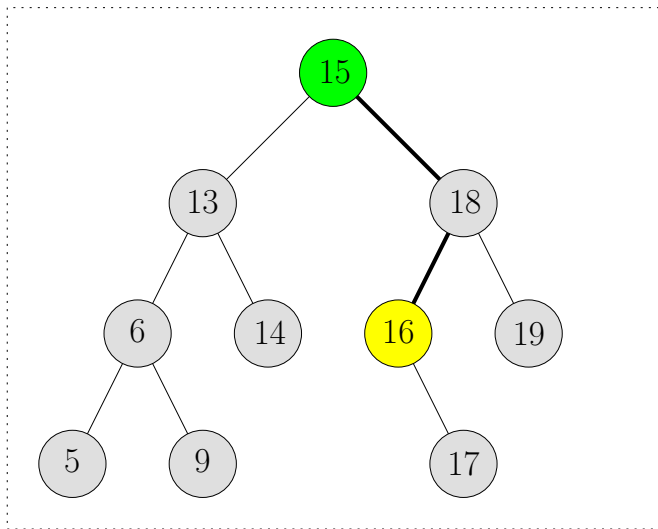
Case 3: Deletion of 15 (two children)





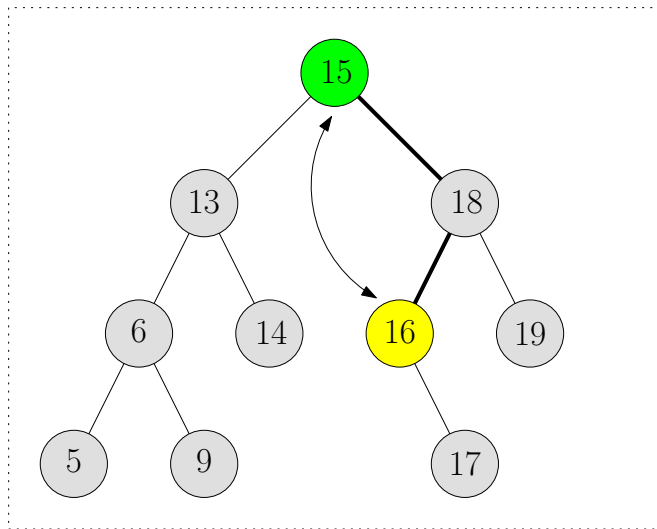
# Deletion from a BST

Case 3: Deletion of 15 (two children)



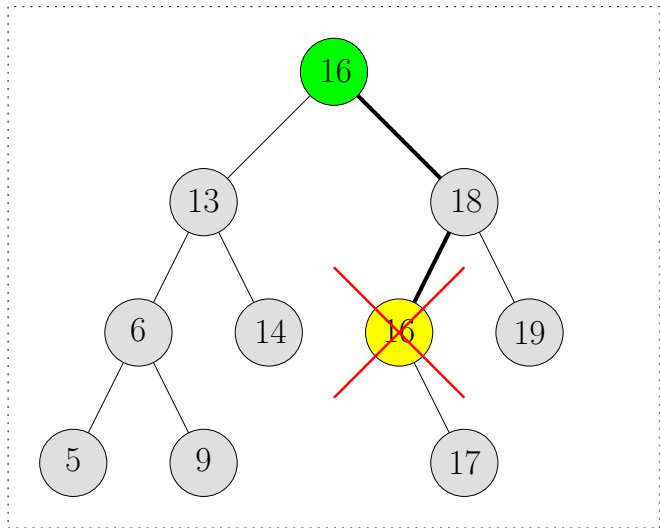
# Deletion from a BST

Case 3: Deletion of 15 (two children)



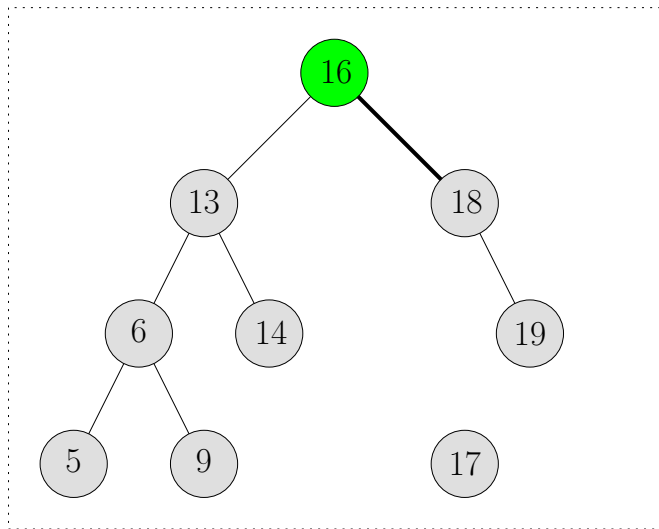
# Deletion from a BST

Case 3: Deletion of 15 (two children)



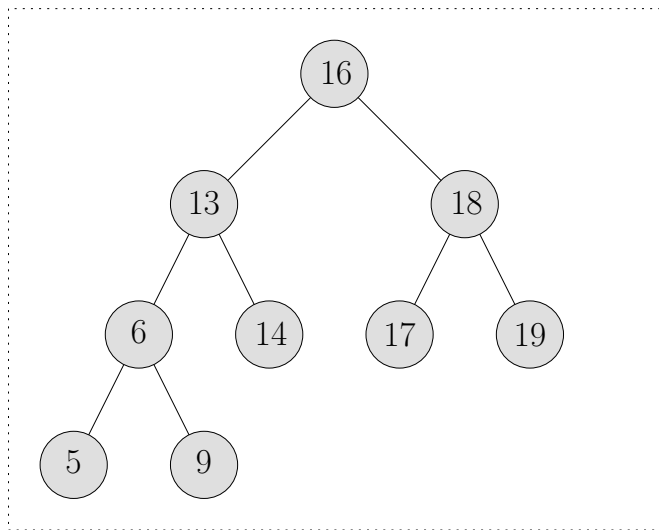
# Deletion from a BST

Case 3: Deletion of 15 (two children)



# Deletion from a BST

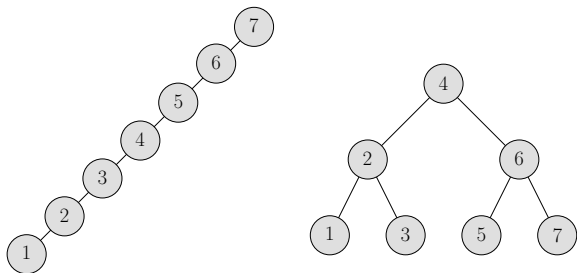
Case 3: Deletion of 15 (two children)



# Is it fast?

All operations require time proportional to the height of the tree.

# Problems



There are many trees for the same set of items

- ▶ worst case on the left: height  $h = \mathcal{O}(n)$
- ▶ best case on the right: height  $h = \mathcal{O}(\log n)$

The tree depends on the order that the insertions and deletions are performed, something that we cannot know beforehand

# Balanced BSTs

Search trees which are balanced at any point in time independently of the order that the insertions and/or deletions of items are performed.

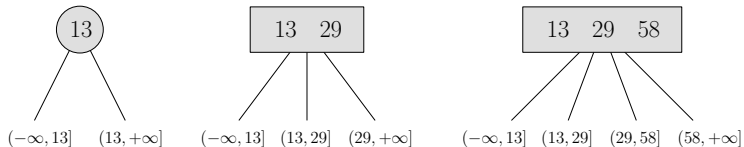
$$h = \mathcal{O}(\log n)$$



## 2-3-4 Search Trees

top-down

We allow nodes which have 2, 3 or 4 children.



# 2-3-4 Search Trees

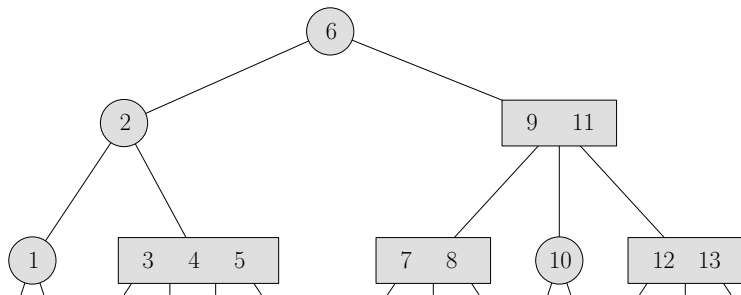
top-down

## Definition

A **balanced 2-3-4 search tree** is a tree which:

- ▶ is either empty
- ▶ or is comprised of tree different node types: **2-nodes**, **3-nodes**  
**4-nodes**
- ▶ all the external nodes (nulls - null links) are at the exact same distance from the root

## Example of a Balanced 2-3-4 Search Tree



# Height of a Balanced 2-3-4 Search Tree

## Theorem

*A 2-3-4 search tree with  $n$  keys has height  $\mathcal{O}(\log n)$ .*

## Proof.

Let  $h$  be the height of the tree.

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Every level  $i$  has at least  $2^i$  nodes.

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Thus  $n \geq 1 + 2 + 4 + \dots + 2^{h-1} = 2^h - 1$ .

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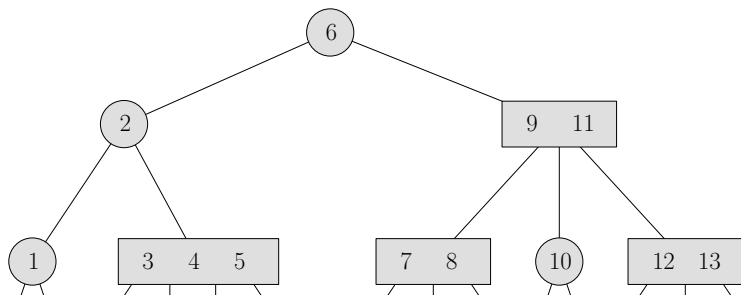
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Thus  $n \geq 1 + 2 + 4 + \dots + 2^{h-1} = 2^h - 1$ .

Taking logarithms we get that  $\log_2(n + 1) \geq h$ . □

## Search on a Balanced 2-3-4 Search Tree



Search on a Balanced 2-3-4 Search Tree: Generalization of the BST algorithm



# Insertion on a Balanced 2-3-4 Search Tree

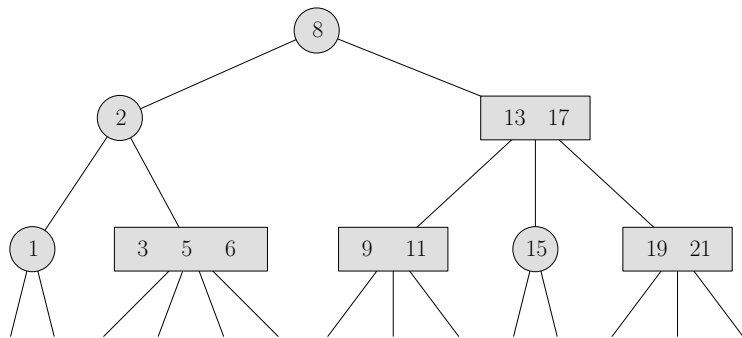
While maintaining the balance!

We search for the new key in order to find where we are supposed to add it.

- ▶ if the search ends on a 2-node we simply make it a 3-node
- ▶ if the search ends on a 3-node we make it a 4-node
- ▶ if the search ends on a 4-node
  - ▶ break the 4-node into two 2-nodes by sending the middle key upwards, and then
  - ▶ add the new key in one of the two 2-nodes (we might need to do the same procedure at the parent node, possibly multiple times all the way up to the root)

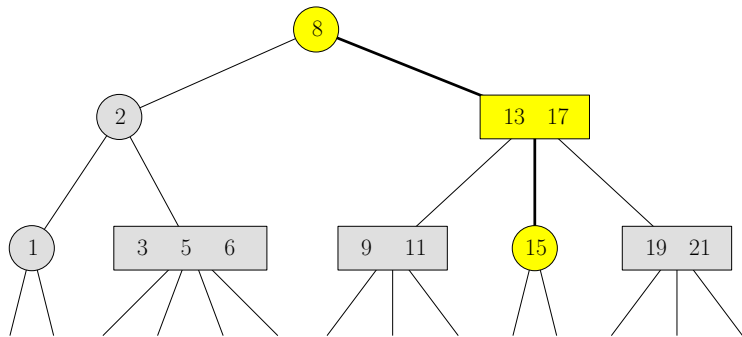
# Insertion on a Balanced 2-3-4 Search Tree

Ends at a 2-node (insertion of 14)



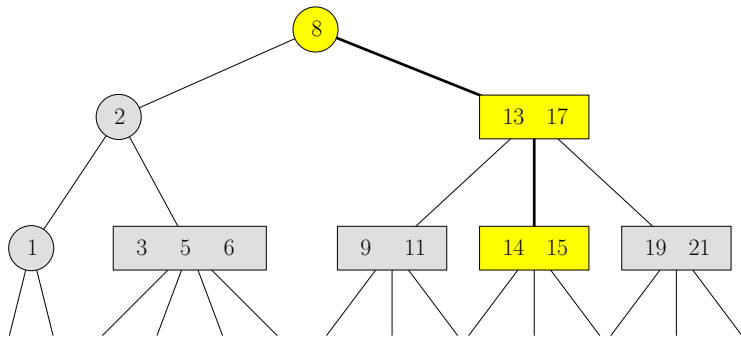
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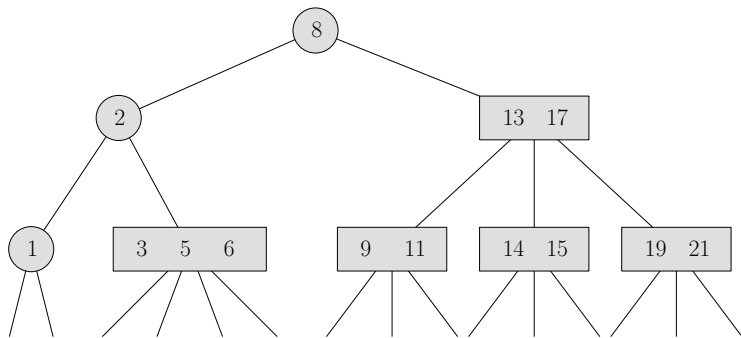
# Insertion on a Balanced 2-3-4 Search Tree

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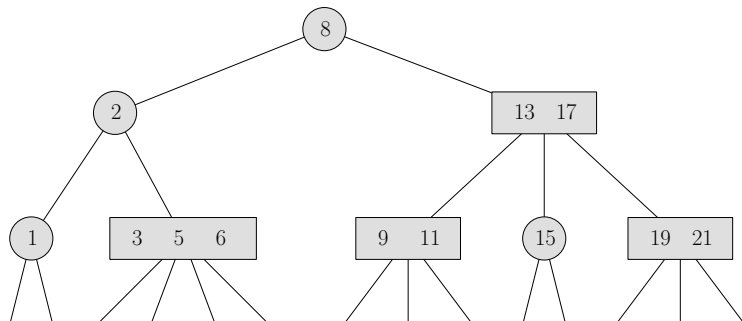
# Insertion on a Balanced 2-3-4 Search Tree

Ends at a 2-node (insertion of 14)



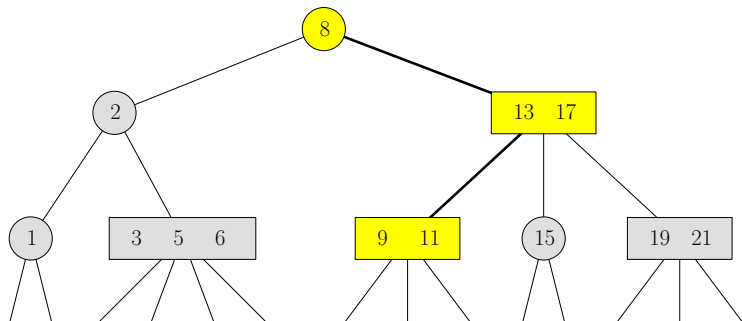
# Insertion on a Balanced 2-3-4 Search Tree

Ends at a 3-node (insertion of 10)



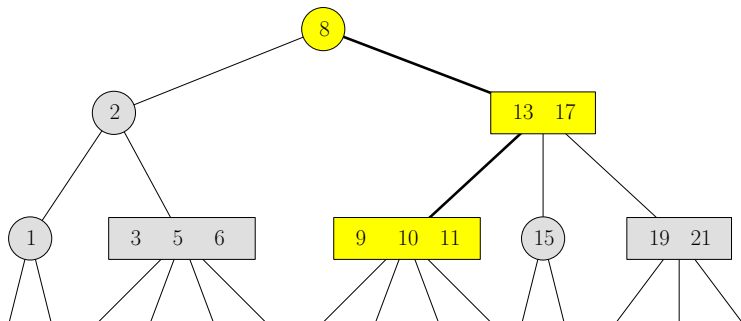
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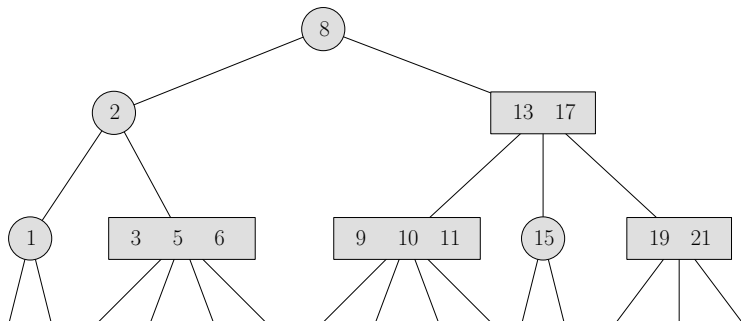
Ends at a 3-node (insertion of 10)





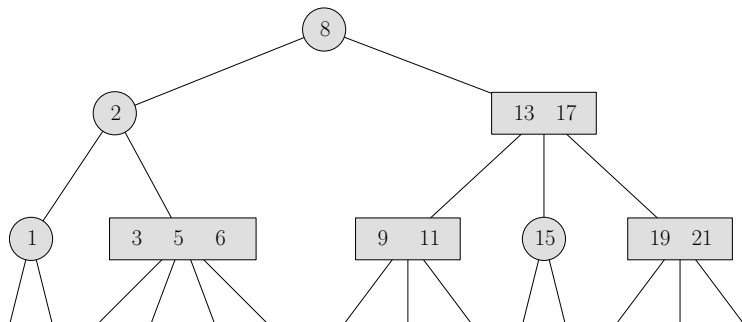
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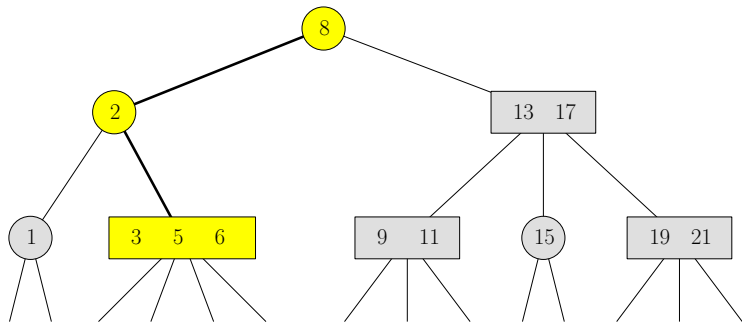
# Insertion on a Balanced 2-3-4 Search Tree

Ends at a 4-node (insertion of 4)



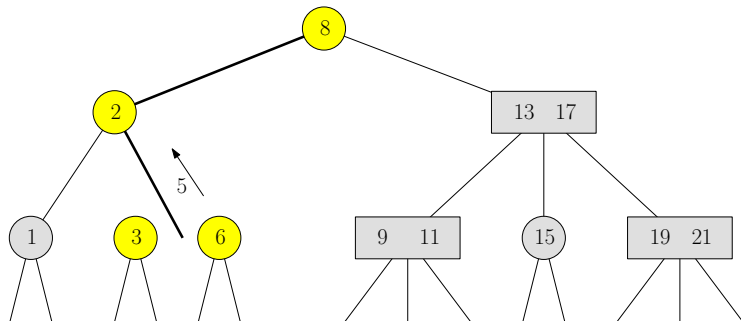
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Ends at a 4-node (insertion of 4)



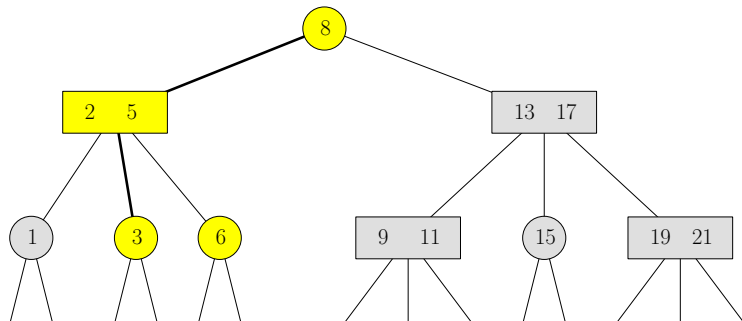
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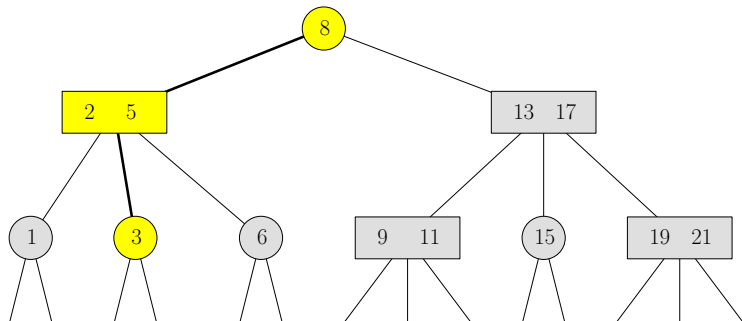
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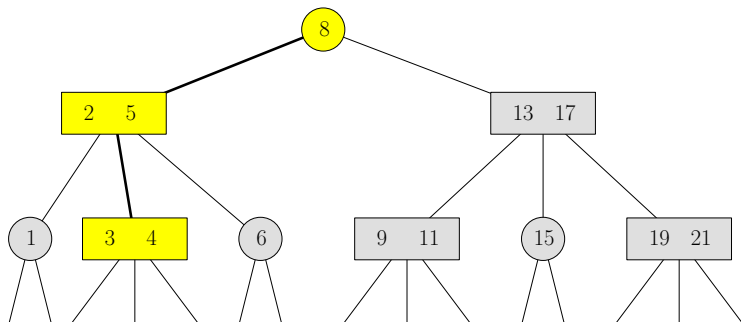
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Ends at a 4-node (insertion of 4)



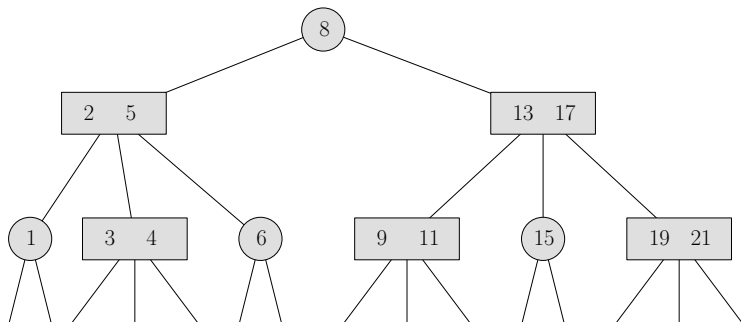
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Ends at a 4-node (insertion of 4)



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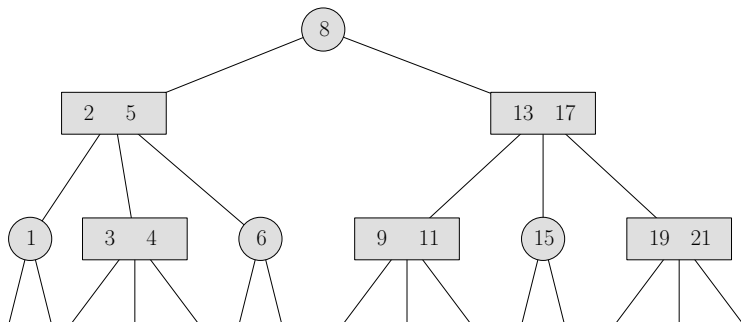
Ends at a 4-node (insertion of 4)





# Insertion on a Balanced 2-3-4 Search Tree

Ends at a 4-node (insertion of 4)



There is also the case where the father is also a 4-node.

In this case we need to perform the split again, possible multiple times all the way to the root

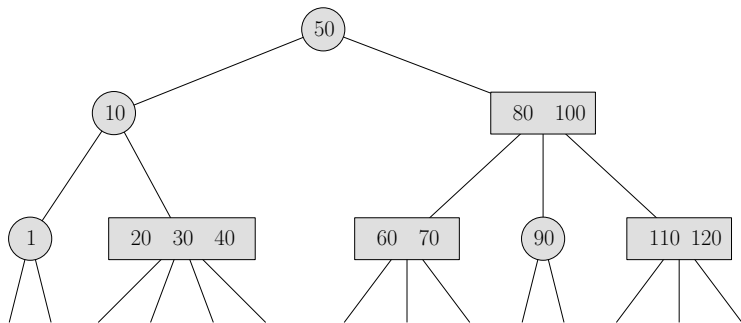
# Insertion on a Balanced 2-3-4 Search Tree

In order to simplify insertion and to avoid such cascades, we use the following technique:

- ▶ we make sure that the search path does not contain 4-nodes, by splitting any 4-node during our **descend** on the tree

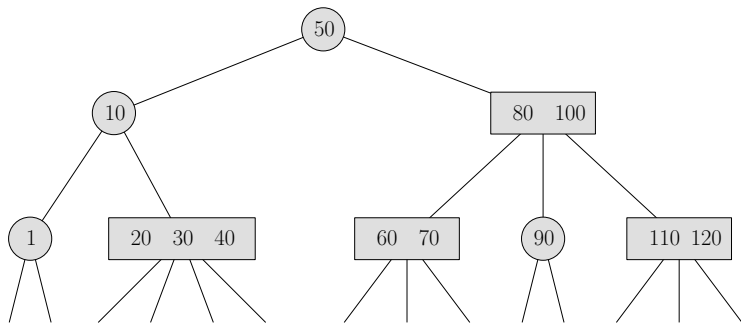
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 25



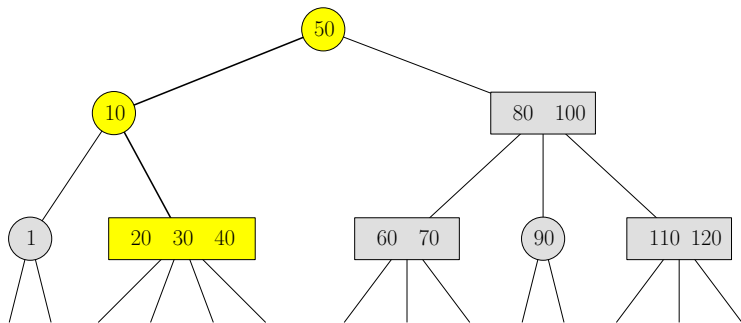
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 25



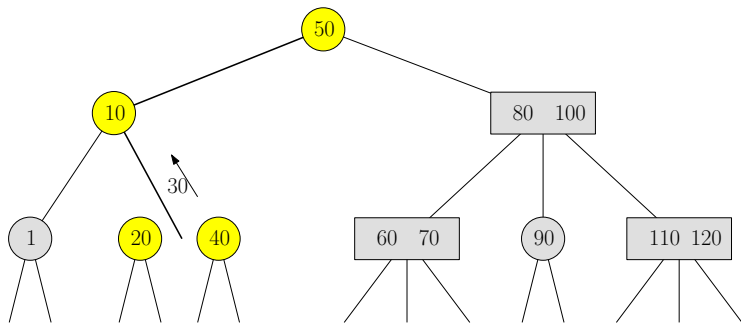
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 25



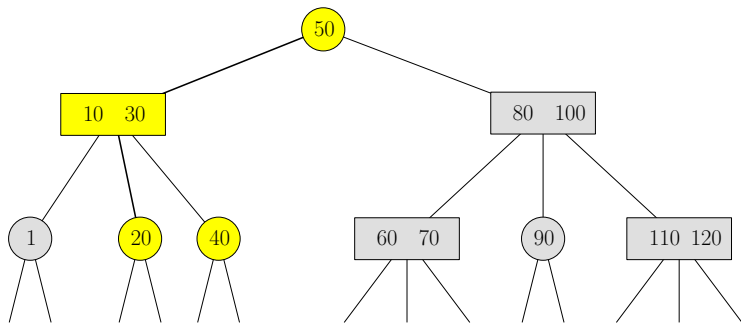
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 25



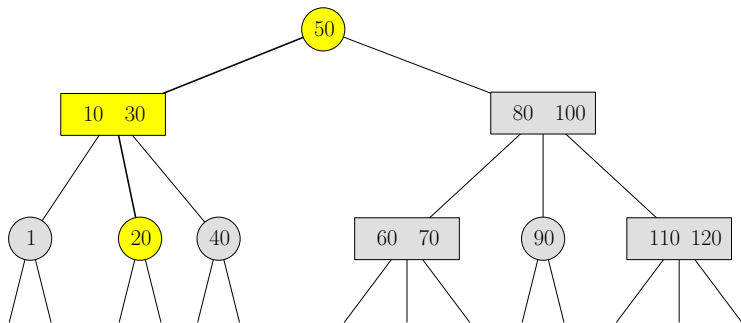
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 25



# Insertion on a Balanced 2-3-4 Search Tree

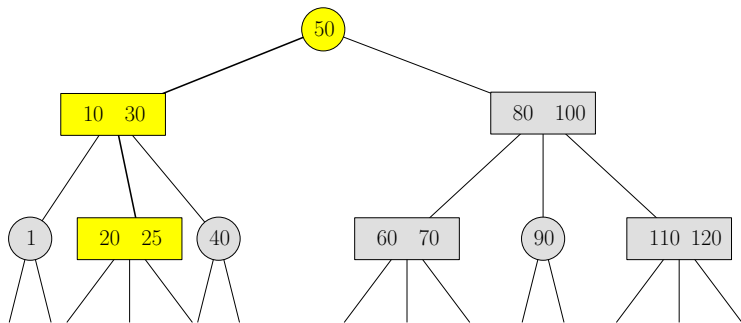
Insertion of 25





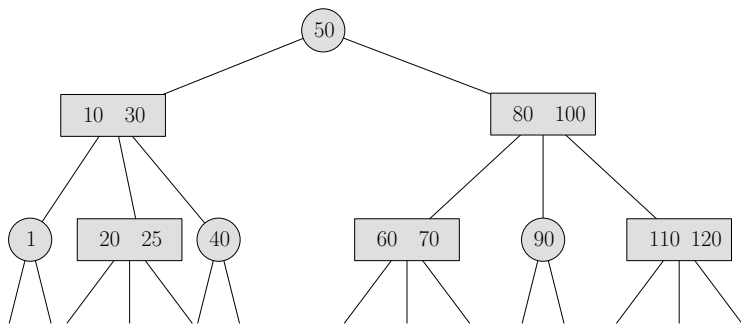
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 25



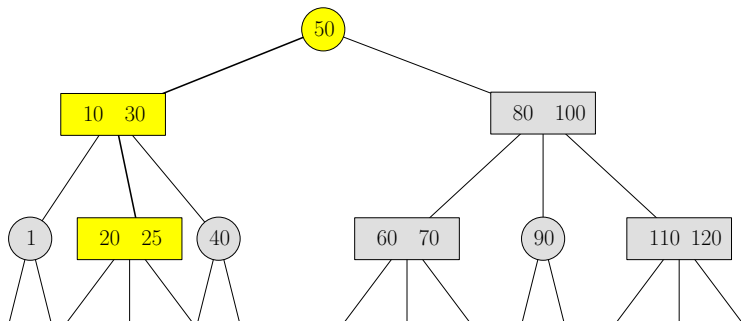
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 29



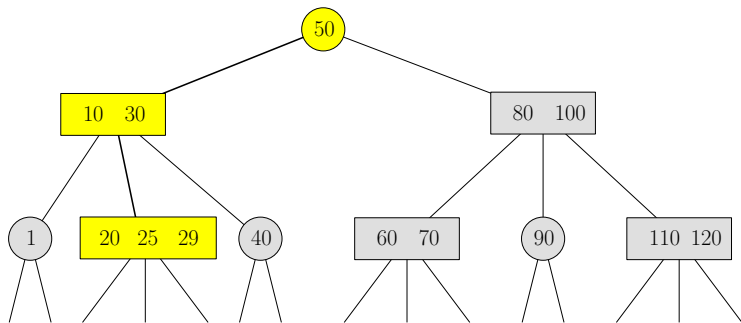
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 29



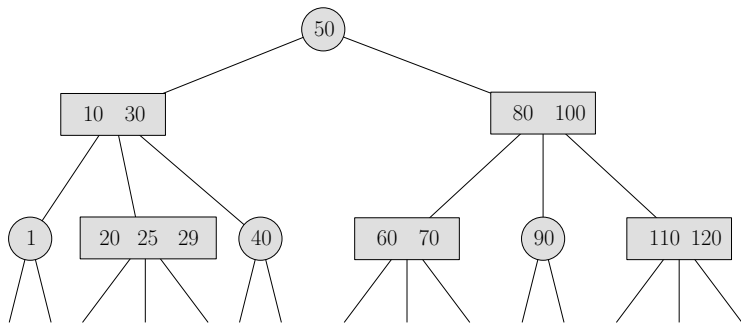
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 29



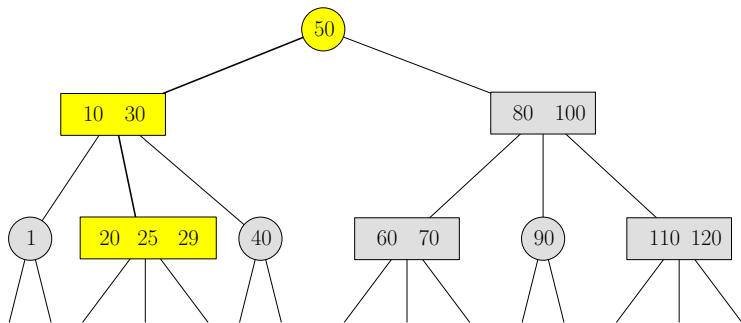
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 29



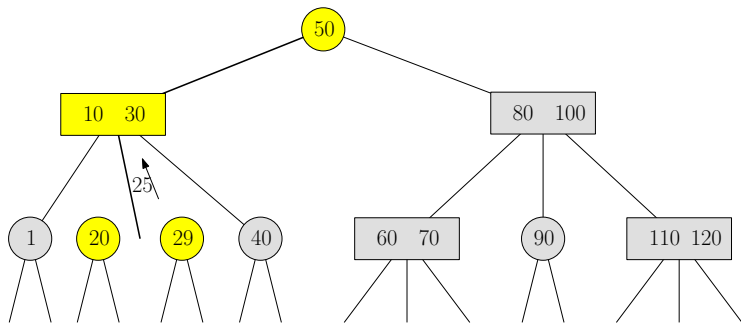
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 28



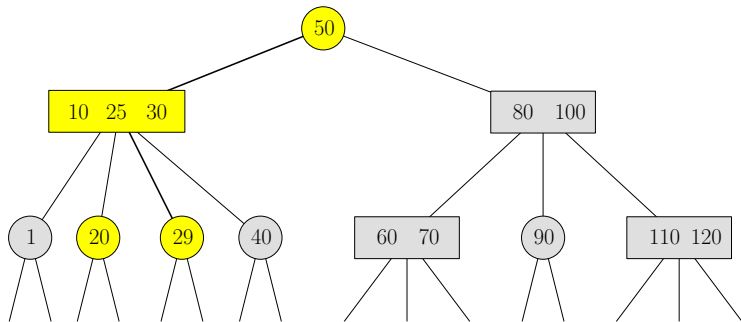
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 28



# Insertion on a Balanced 2-3-4 Search Tree

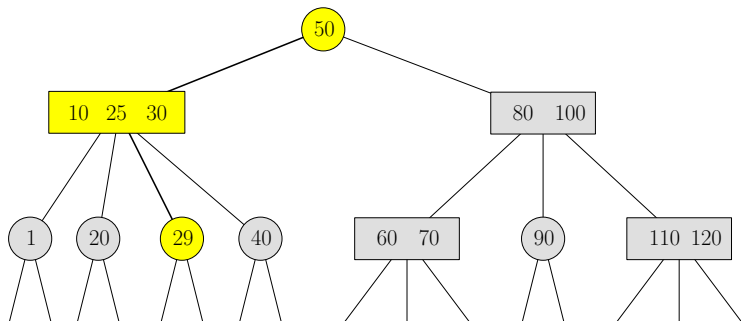
Insertion of 28





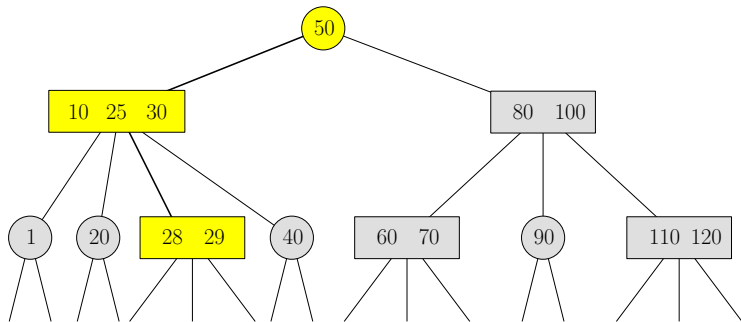
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 28



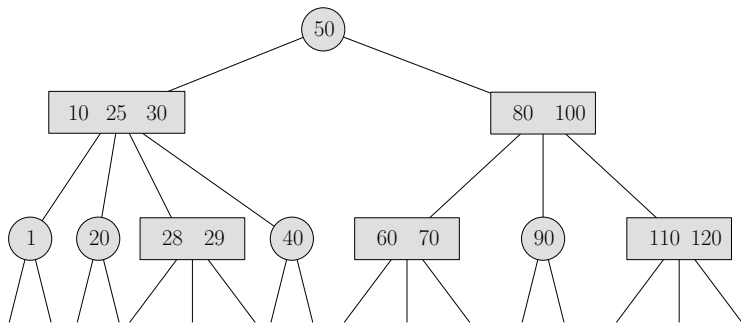
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 28



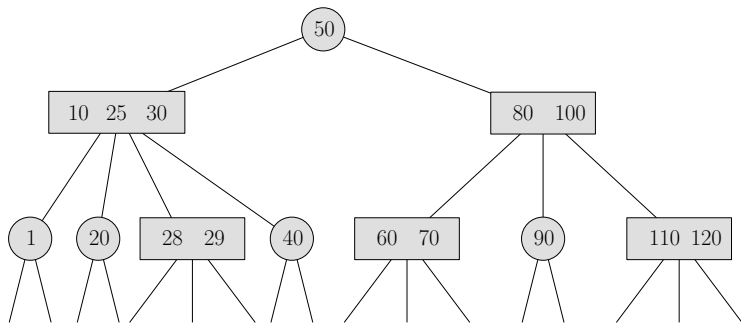
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 28



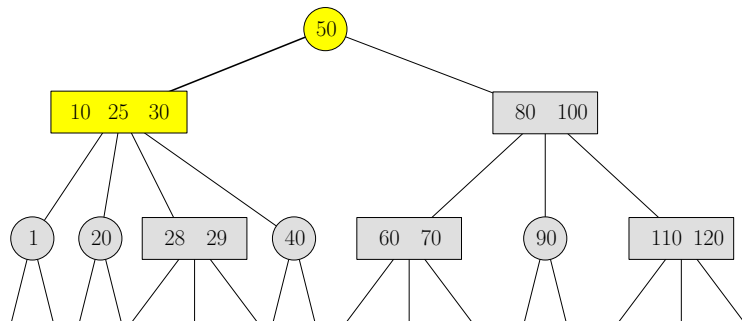
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 27



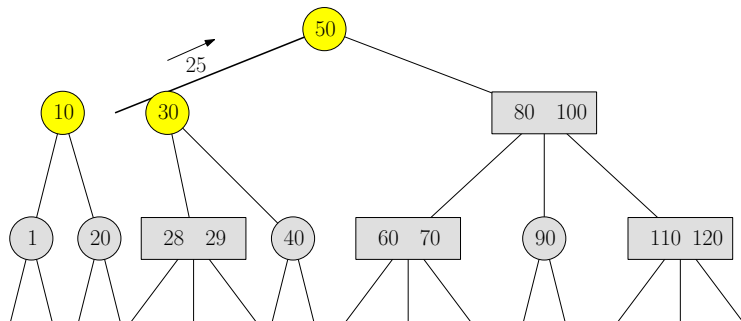
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 27



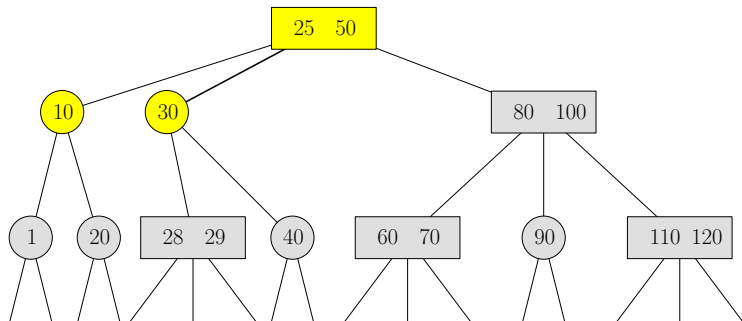
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 27



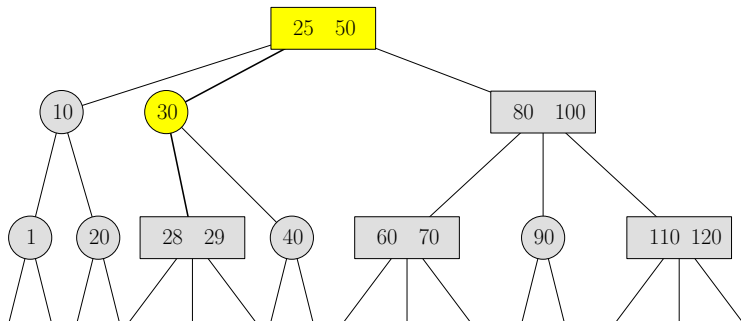
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 27



# Insertion on a Balanced 2-3-4 Search Tree

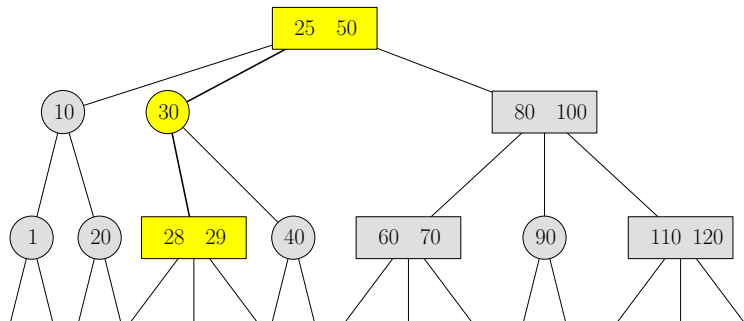
Insertion of 27





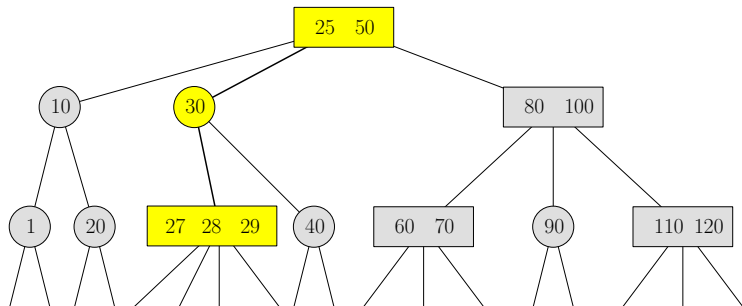
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 27



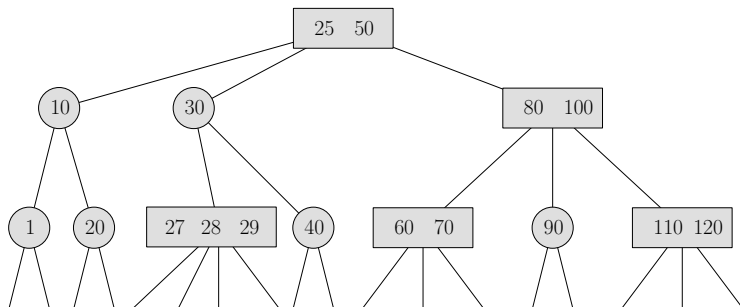
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 27



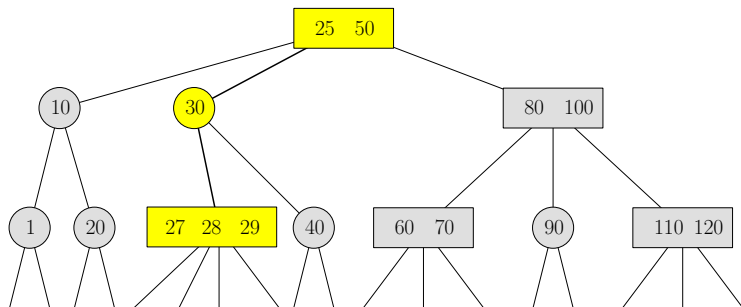
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 26



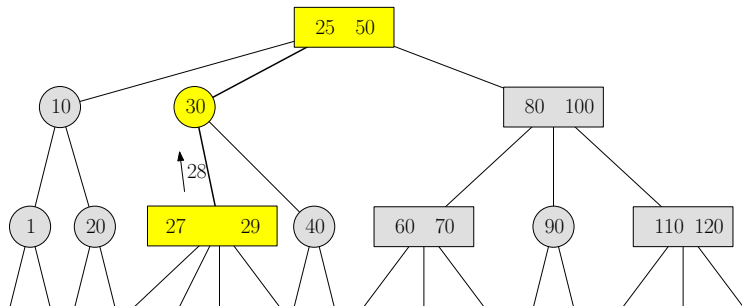
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 26



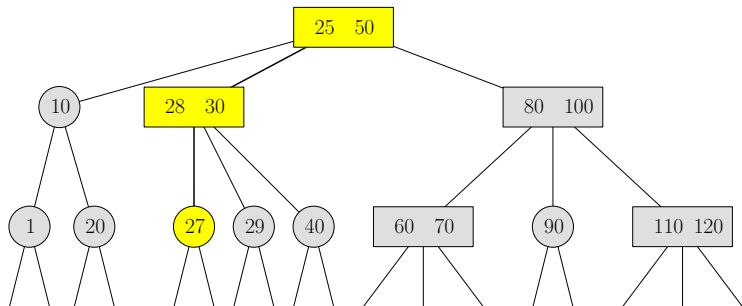
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 26



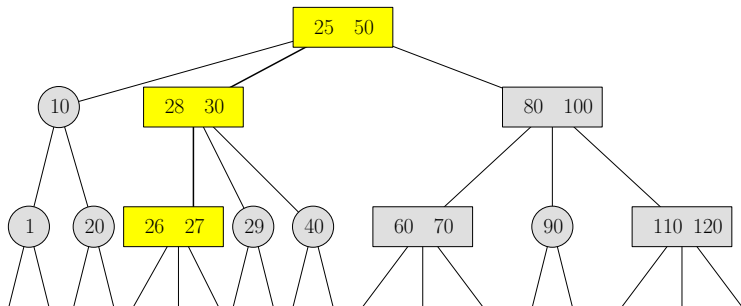
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 26



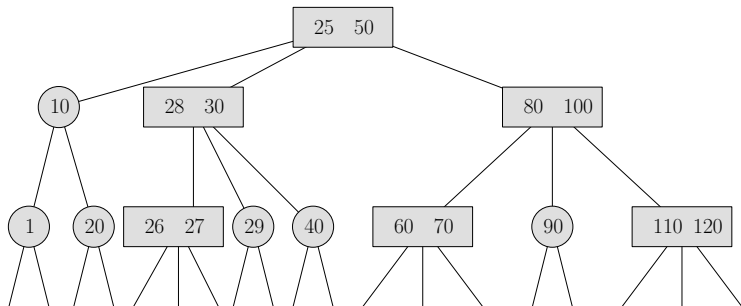
# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 26



# Insertion on a Balanced 2-3-4 Search Tree

Insertion of 26



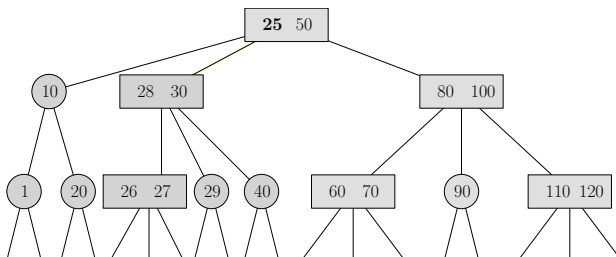


# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a non-leaf

- ▶ We reduce the problem to the deletion of a leaf
- ▶ Same technique as in the BSTs

e.g. to remove 25, we put in its place the *inorder successor* (26) or the *inorder predecessor* (20).

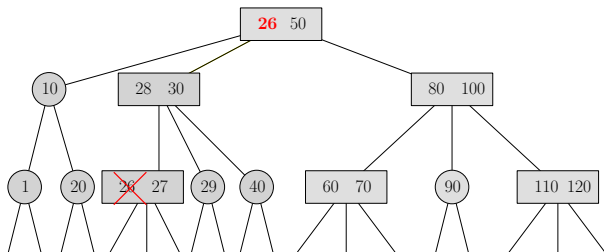


# Deletion from a Balanced 2-3-4 Search Tree

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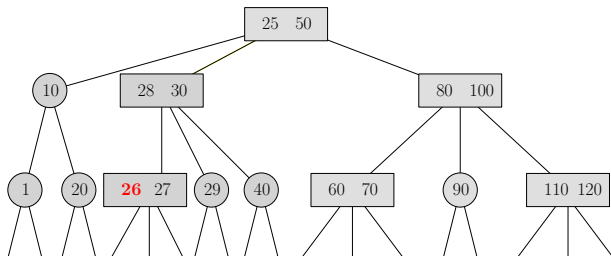
e.g. to remove 25, we put in its place the *inorder successor* (26) or the *inorder predecessor* (20).



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

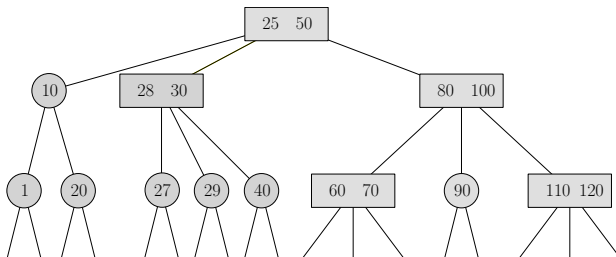
- ▶ The leaf has  $\geq 2$  keys (e.g. delete 26 elow), which means that it is a 3-node or a 4-node.
- ▶ Easy case, just delete by switching node types.



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

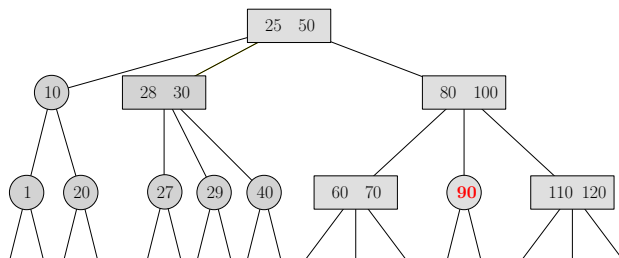
- ▶ The leaf has  $\geq 2$  keys (e.g. delete 26 elow), which means that it is a 3-node or a 4-node.
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# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

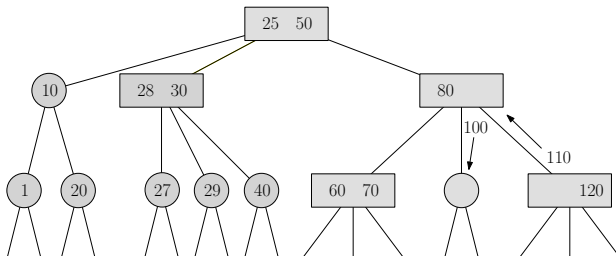
- ▶ The leaf has 1 key (underflow), which means it is a 2-node.
- ▶ some sibling node has  $\geq 2$  keys
- ▶ **balance**: e.g. delete 90



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

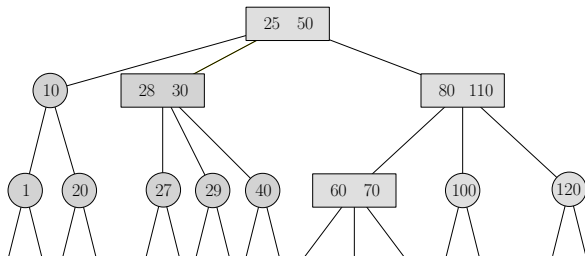
- ▶ The leaf has 1 key (underflow), which means it is a 2-node.
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- ▶ **balance**: e.g. delete 90



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

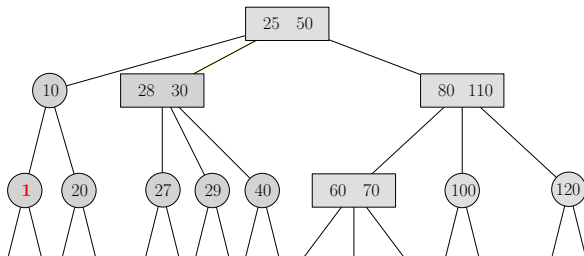
- ▶ The leaf has 1 key (underflow), which means it is a 2-node.
- ▶ some sibling node has  $\geq 2$  keys
- ▶ **balance**: e.g. delete 90



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

- ▶ The leaf has 1 key (underflow), which means it is a 2-node.
- ▶ all sibling nodes have 1 key (they are 2-nodes)
- ▶ **fusion**: e.g. delete of 1

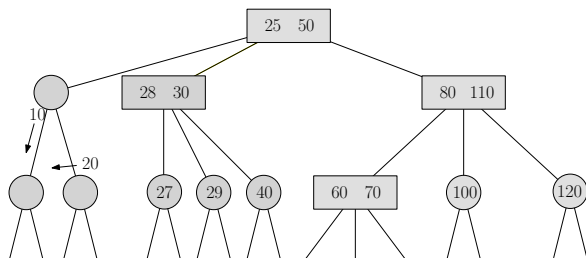




# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

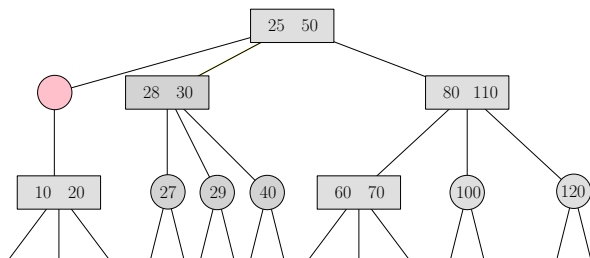
- ▶ The leaf has 1 key (underflow), which means it is a 2-node.
- ▶ all sibling nodes have 1 key (they are 2-nodes)
- ▶ **fusion**: e.g. delete of 1



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

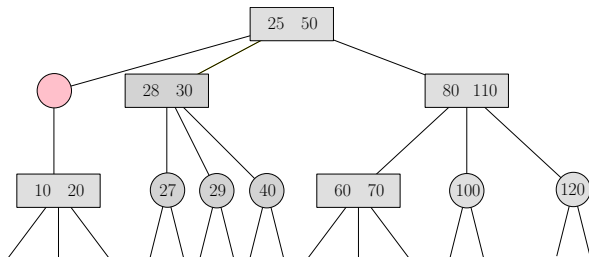
- ▶ The leaf has 1 key (underflow), which means it is a 2-node.
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- ▶ **fusion**: e.g. delete of 1



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

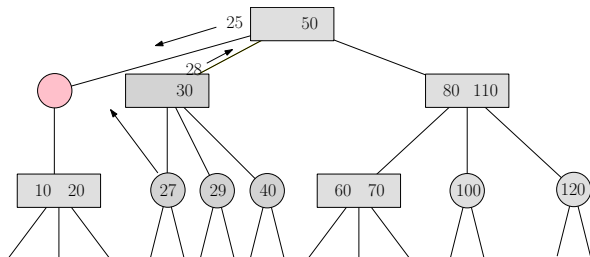
- ▶ Now the parent has a problem (underflow)
- ▶ repeat the same sequence, either balance or fusion based on the sibling nodes



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

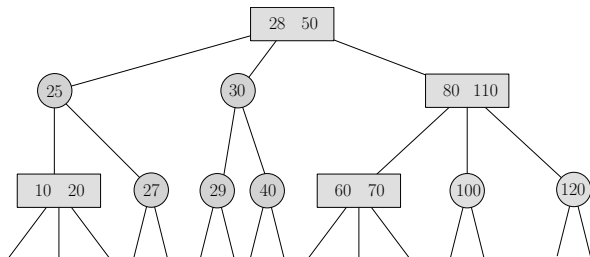
- ▶ Now the parent has a problem (underflow)
- ▶ repeat the same sequence, either balance or fusion based on the sibling nodes



# Deletion from a Balanced 2-3-4 Search Tree

## Deletion from a leaf

- ▶ Now the parent has a problem (underflow)
- ▶ repeat the same sequence, either balance or fusion based on the sibling nodes



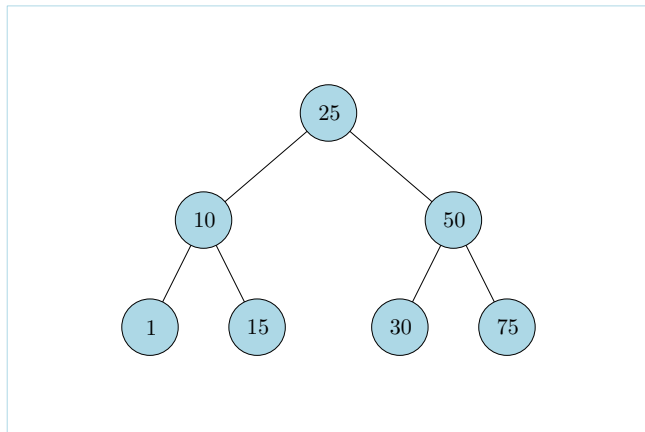
# Deletion from a Balanced 2-3-4 Search Tree

- ▶ Fusion can cascade up until the root.
- ▶ In case it reaches the root, the tree's height is reduced by one.

Deletion costs  $\mathcal{O}(\log n)$  time.

# Deletion from a Balanced 2-3-4 Search Tree

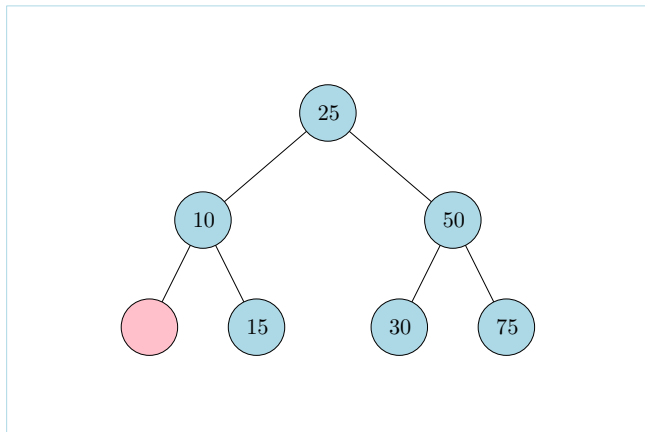
Example of cascade up to the root



Delete key 1

# Deletion from a Balanced 2-3-4 Search Tree

Example of cascade up to the root

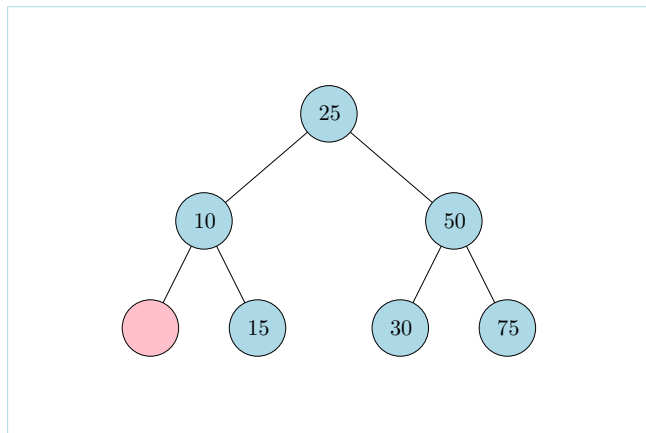


Delete key 1



# Deletion from a Balanced 2-3-4 Search Tree

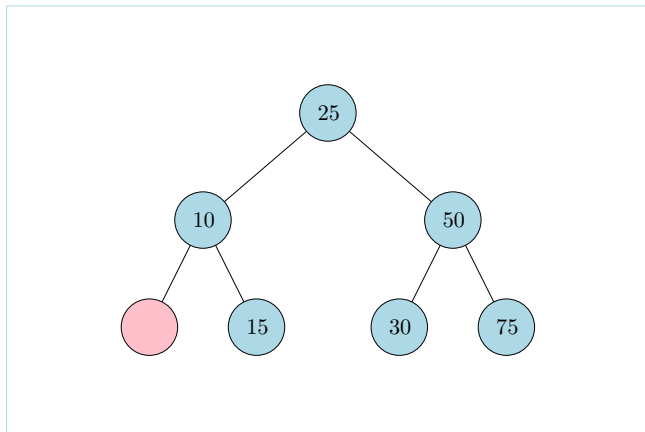
Example of cascade up to the root



Node with underflow - test first balance, then fusion

# Deletion from a Balanced 2-3-4 Search Tree

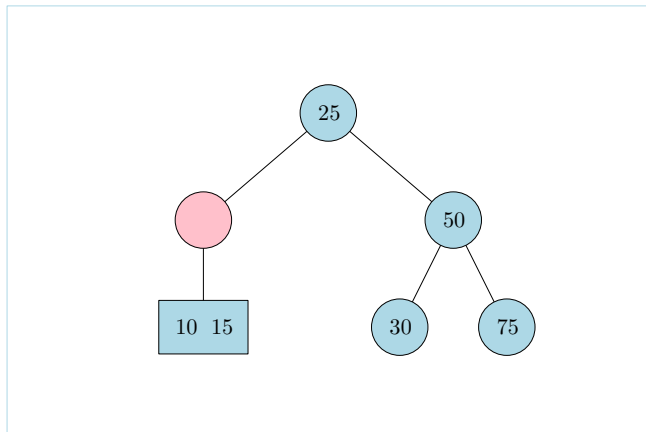
Example of cascade up to the root



Balance not possible - siblings do not have spare keys

# Deletion from a Balanced 2-3-4 Search Tree

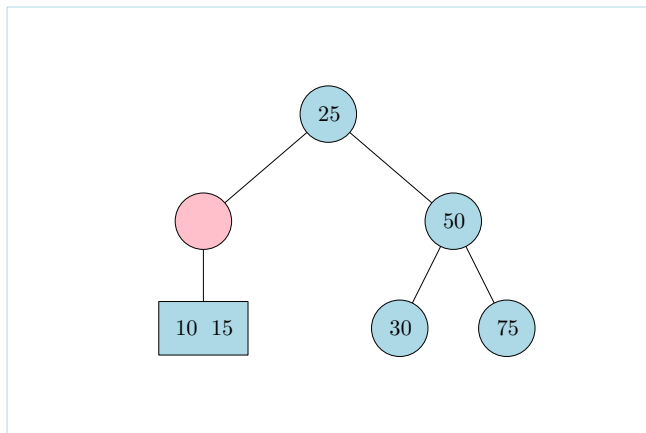
Example of cascade up to the root



Fusion - use both keys from brother and parent

# Deletion from a Balanced 2-3-4 Search Tree

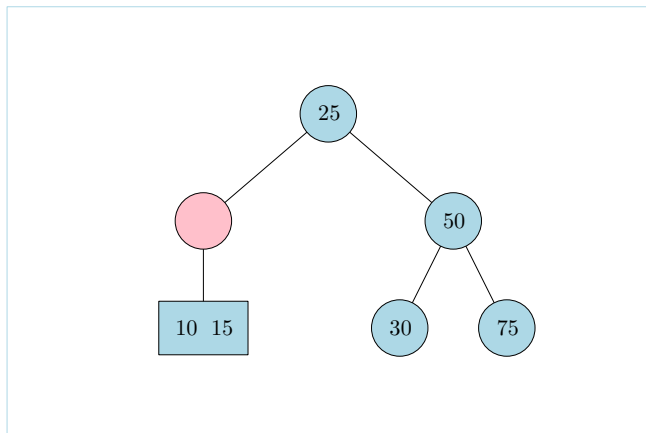
Example of cascade up to the root



Node with underflow - one level up

# Deletion from a Balanced 2-3-4 Search Tree

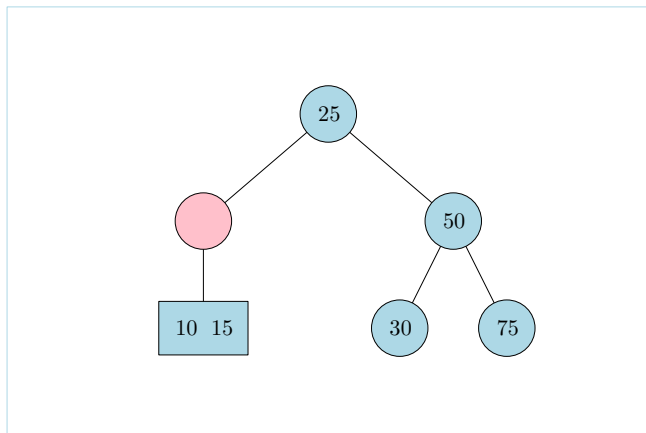
Example of cascade up to the root



Node with underflow - test first balance, then fusion

# Deletion from a Balanced 2-3-4 Search Tree

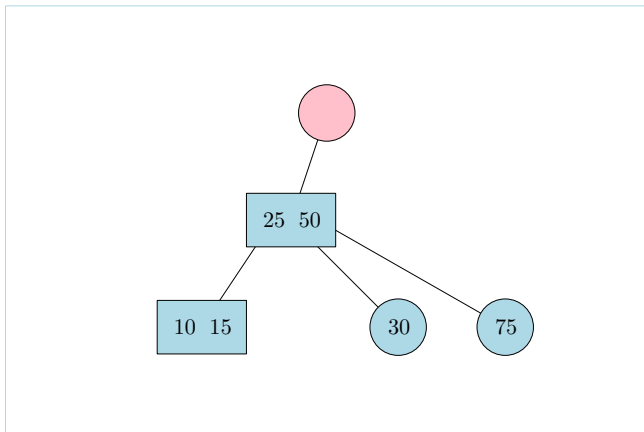
Example of cascade up to the root



Balance not possible - siblings do not have spare keys

# Deletion from a Balanced 2-3-4 Search Tree

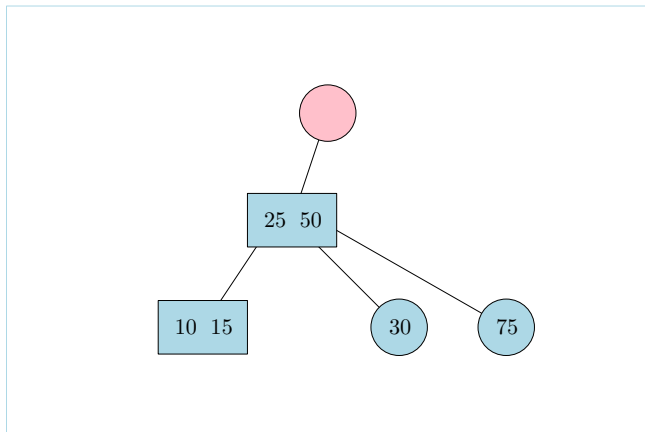
Example of cascade up to the root



Fusion - use both keys from brother and parent

# Deletion from a Balanced 2-3-4 Search Tree

Example of cascade up to the root

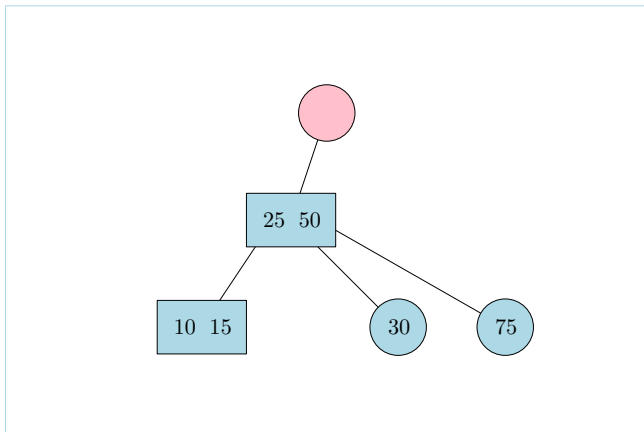


Node with underflow - one level up



# Deletion from a Balanced 2-3-4 Search Tree

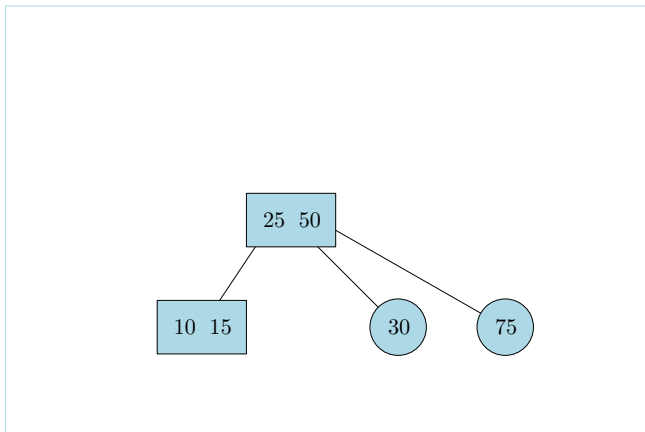
Example of cascade up to the root



If the root has underflow - simply delete it

# Deletion from a Balanced 2-3-4 Search Tree

Example of cascade up to the root



If the root has underflow - simply delete it

# Balanced 2-3-4 Search Trees

Positive:

- ▶ simple insertion algorithm
- ▶ complexity  $\mathcal{O}(\log n)$  for insertion, deletion and search

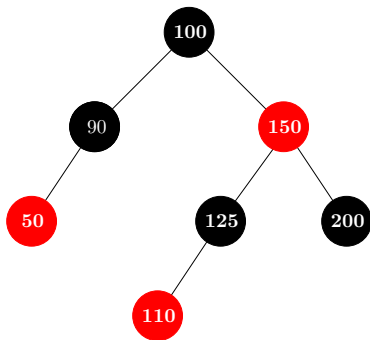
negative:

- ▶ 3 different node types
- ▶ complex procedured due to multiple links, copying of links, etc.

# Red-Black Trees

A Red-Black tree is a binary search tree (BST) with the following additional properties:

- ▶ Every node is either red or black
- ▶ The root is black
- ▶ Every red node does **not** have any red child
- ▶ Every path from an external node (null) to the root has to pass through the same number of black nodes



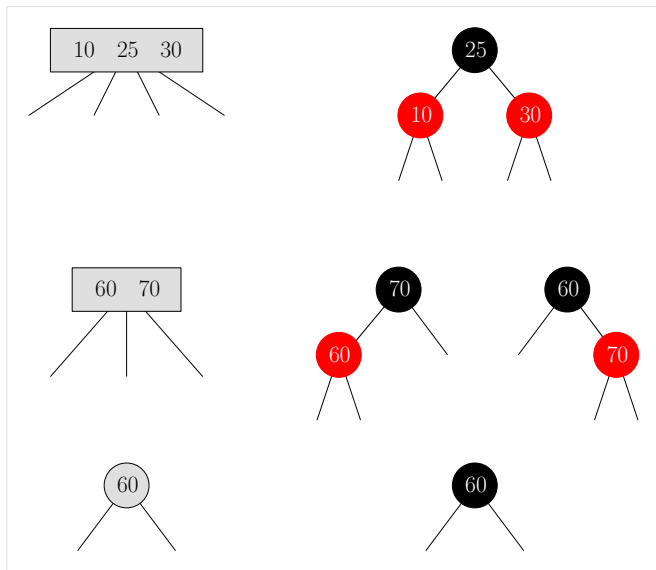
# Red-Black Trees

## Theorem

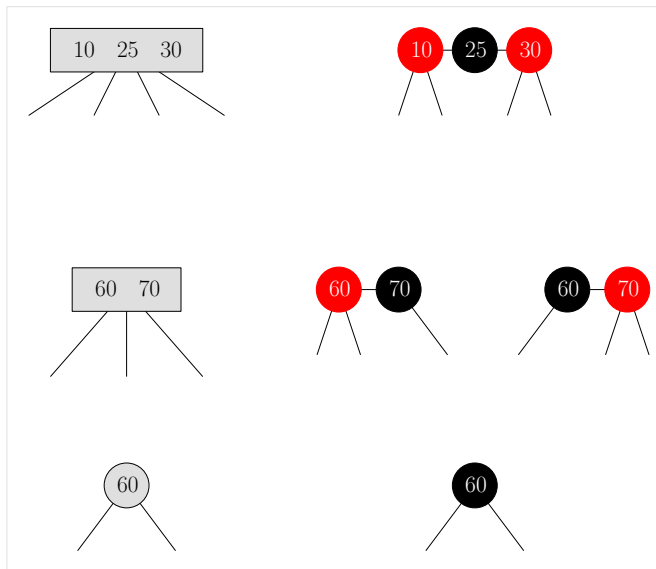
*A red-black tree with  $n$  nodes has height  $\mathcal{O}(\log n)$ .*

- ▶ Instead of a proof we will see a correspondence between red-black trees and 2-3-4 trees.
- ▶ We can view red-black trees as a representation of 2-3-4 trees.
- ▶ This correspondence allows us to easily show the properties of red-black trees.

# Red-Black Trees



# Red-Black Trees



# Red-Black Trees

Search, insert and delete

## Search

Red-Black keys are binary search trees (BSTs)!

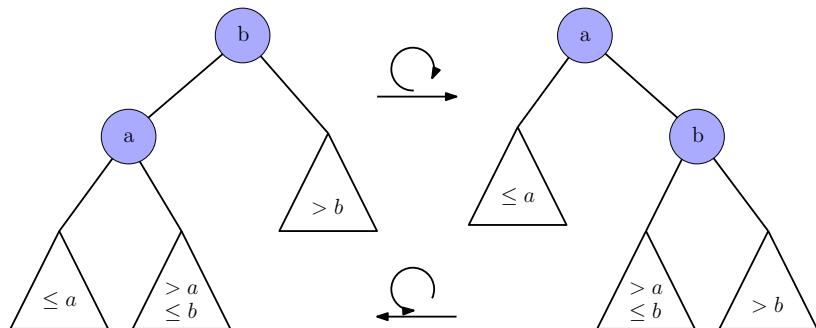
## Insertion and Deletion

In correspondence with the 2-3-4 trees, describe the moves by changing colors and rotations.



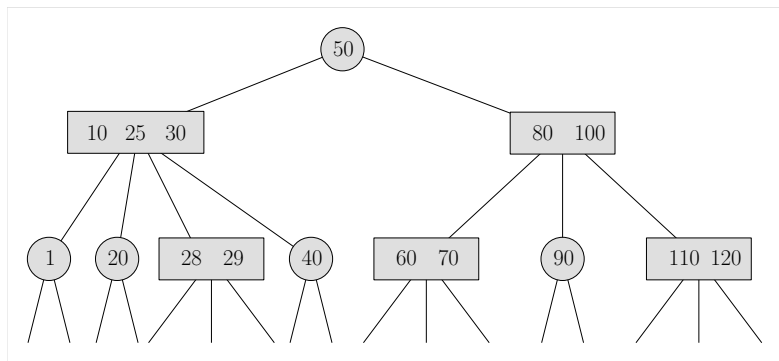
# Red-Black Trees

Rotations (on any BST)



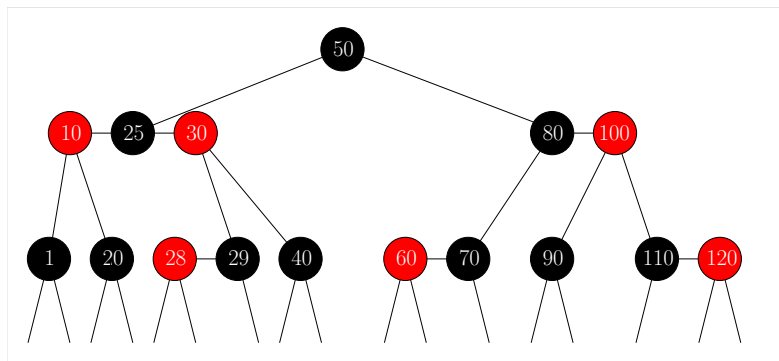
# Red-Black Trees

## Example



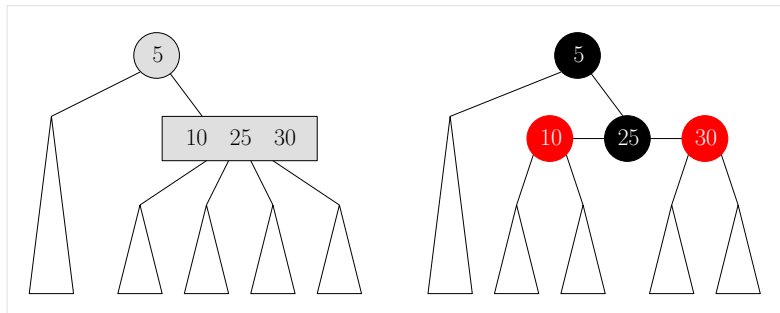
# Red-Black Trees

## Example



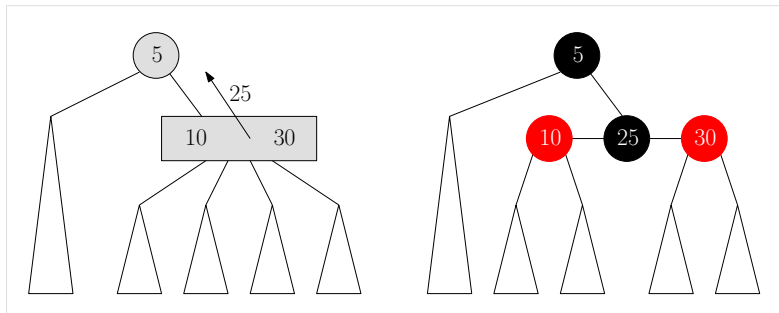
# Red-Black Trees

Rotation (first)



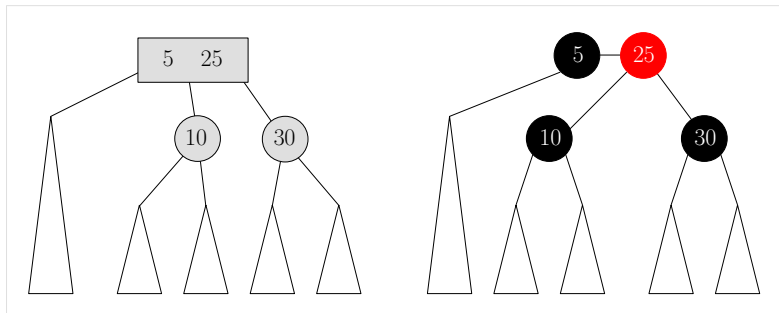
# Red-Black Trees

Rotation (first)



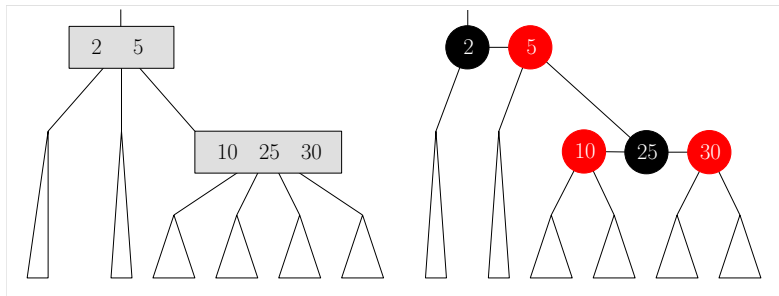
# Red-Black Trees

Rotation (first)



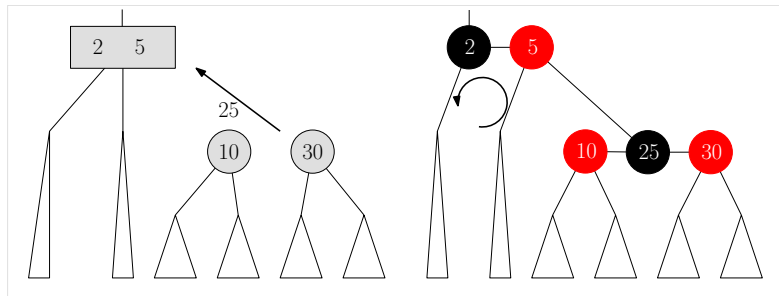
# Red-Black Trees

## Rotation (second)



# Red-Black Trees

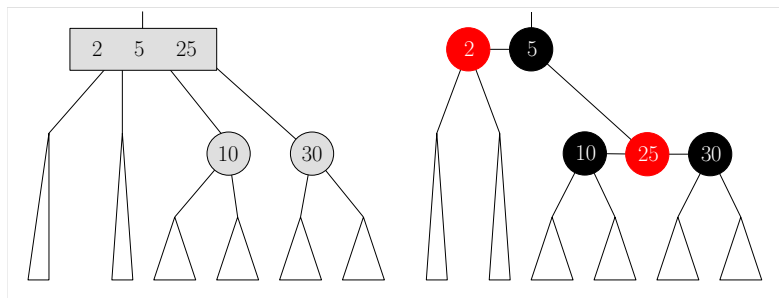
## Rotation (second)





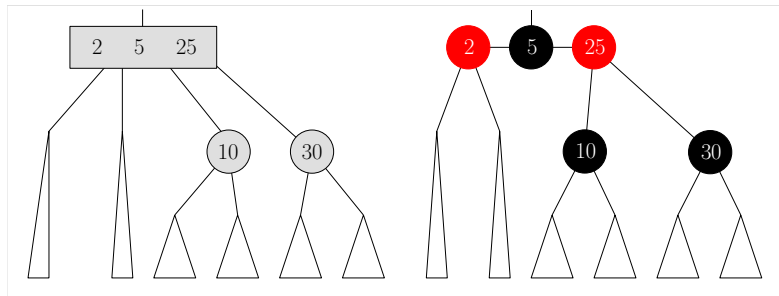
# Red-Black Trees

Rotation (second)



# Red-Black Trees

Rotation (second)



# Red-Black Trees

## Rotations

There are more cases...

# Red-Black Trees

## Insertion and Deletion Complexity

- ▶ There are a lot of complicated rules! All of them make sense if we view the corresponding 2-3-4 tree.
- ▶ Simulating the changes of a node of a 2-3-4 tree with the corresponding nodes of a red-black tree takes  $\mathcal{O}(1)$  time.
- ▶ Since 2-3-4 trees support insertion in  $\mathcal{O}(\log n)$  time, so do red-black trees.
- ▶ The same idea also works for deletions.

# Red-Black Trees

## Height

### Theorem

*A red-black tree with  $n$  nodes has height  $\mathcal{O}(\log n)$ .*

### Proof.

We can collect all red nodes to their parents in order to convert the tree to a 2-3-4 tree.

The height of the tree can at most lose half of its size.

The resulting 2-3-4 tree has height  $\mathcal{O}(\log n)$ , thus the original red-black tree has height at most  $2 \cdot \mathcal{O}(\log n) = \mathcal{O}(\log n)$ .



# Other Balanced Trees

- ▶ AVL trees:  $\mathcal{O}(\log n)$  height using rotations
- ▶ splay trees
- ▶ scapegoat trees
- ▶ etc.

# AVL Trees

The first balanced tree!

G.M. **A**delson-**V**elskii and E.M. **L**andis. An algorithm for the organization of information, Proceedings of the USSR Academy of Sciences 146: 263–266, 1962.

Named from the initials of its inventors.

# AVL Trees

- ▶ Binary Search Tree
- ▶ Additional balance property

The additional balance property needs to be maintained easily and to be able to preserve the height of the tree to  $\mathcal{O}(\log n)$ .

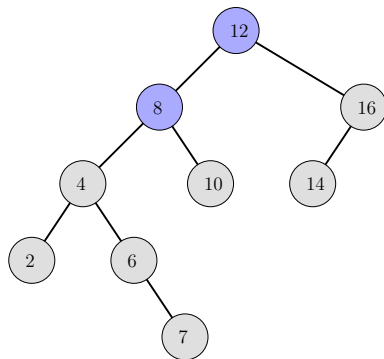
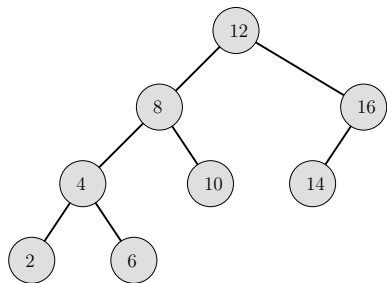


# AVL Trees

## Definition

An AVL tree is a binary search tree  $T$  where for each node  $v \in T$  the height of its two subtrees differ by at most 1. The height of an empty tree is defined as -1.

# AVL Trees



Left AVL tree, right non-AVL tree.

# AVL Trees

## Height

### Theorem

*An AVL tree with  $n$  keys has height  $\mathcal{O}(\log n)$ .*

# AVL Trees

## Height

### Theorem

*An AVL tree with  $n$  keys has height  $\mathcal{O}(\log n)$ .*

### Proof.

Let  $n(h)$  be the smallest number of nodes of an AVL tree with height  $h$ .



# AVL Trees

## Height

### Theorem

An AVL tree with  $n$  keys has height  $\mathcal{O}(\log n)$ .

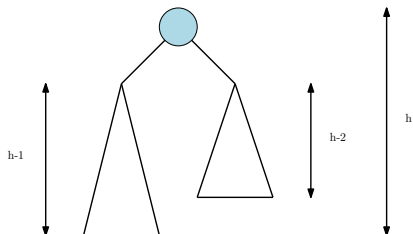
### Proof.

Let  $n(h)$  be the smallest number of nodes of an AVL tree with height  $h$ .

We can easily show that  $n(1) = 1$  and  $n(2) = 2$ .

For  $h > 2$  an AVL tree has a root and two subtrees, one AVL subtree with height  $h - 1$  and one AVL subtree with height  $h - 2$ .

Thus  $n(h) = 1 + n(h - 1) + n(h - 2)$ .



# AVL Trees

## Height

### Theorem

An AVL tree with  $n$  keys has height  $\mathcal{O}(\log n)$ .

### Proof.

Let  $n(h)$  be the smallest number of nodes of an AVL tree with height  $h$ .

Since  $n(h-1) > n(h-2)$  we get that

$$n(h) = 1 + n(h-1) + n(h-2) > 2n(h-2) > 4n(h-4) > 8n(h-6) > \dots$$

using induction

$$n(h) > 2^i n(h-2i)$$

Since  $n(1) = 1$  we have that  $n(h) > 2^{(h-1)/2}$  and by taking logarithms we have  $h < 2 \log n(h) + 1$ .



# Insertion on an AVL tree

Insertion is performed like in any other BST but afterwards we might need to fix the tree.

We make sure we perform  $\mathcal{O}(d)$  operations where  $d$  is the depth where insertion is performed.

# Insertion on an AVL tree

We fix the tree with rotations. Let  $x$  be the node with the largest depth that is non-balanced.

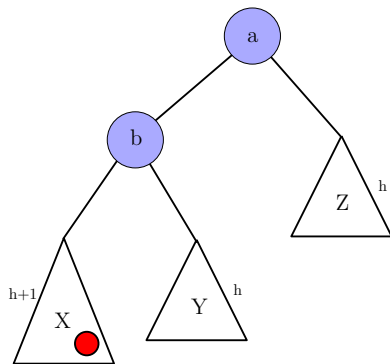
There are 4 cases based on whether the insertion happened at

1. the left subtree of the left child of  $x$
2. the right subtree of the left child of  $x$
3. the left subtree of the right child of  $x$
4. the right subtree of the right child of  $x$

Cases 1&4 are resolved with a *single rotation* while cases 2&3 needs a *double rotation*.

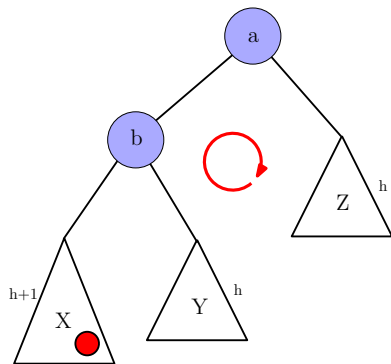


# Single Rotation



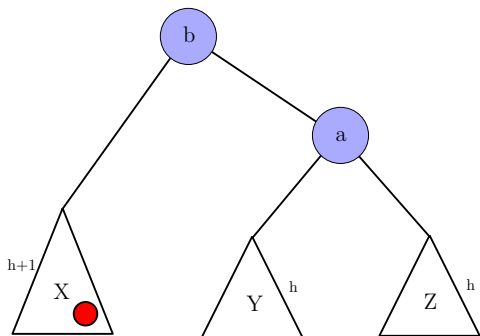
$$X < b < Y < a < Z$$

# Single Rotation



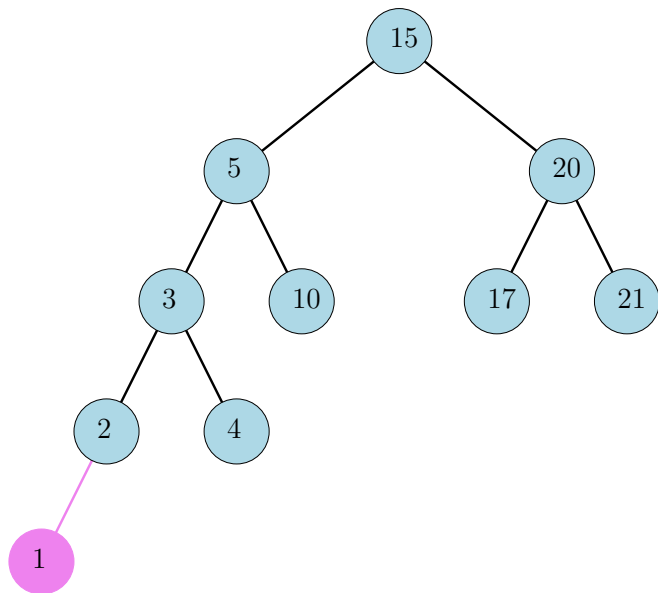
$$X < b < Y < a < Z$$

# Single Rotation

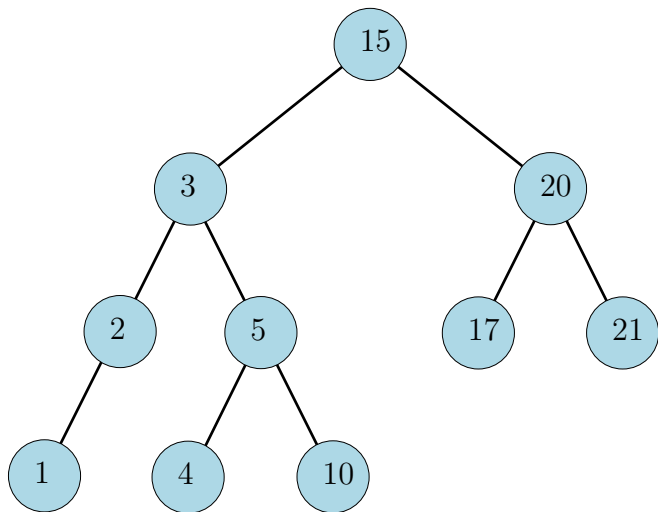


$$X < b < Y < a < Z$$

# Single Rotation

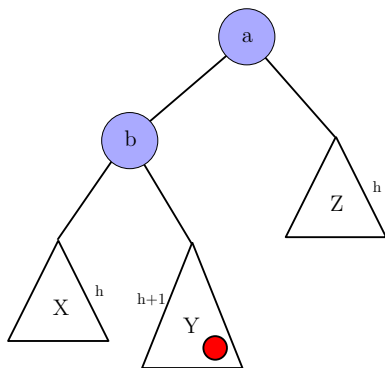


# Single Rotation



## Other cases

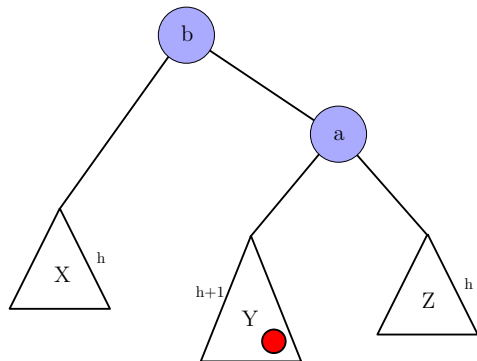
In cases 2&3 the single rotation does not work.



$$X < b < Y < a < Z$$

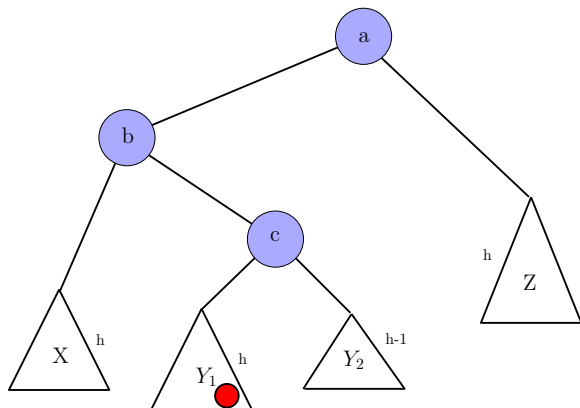
## Other cases

In cases 2&3 the single rotation does not work.



$$X < b < Y < a < Z$$

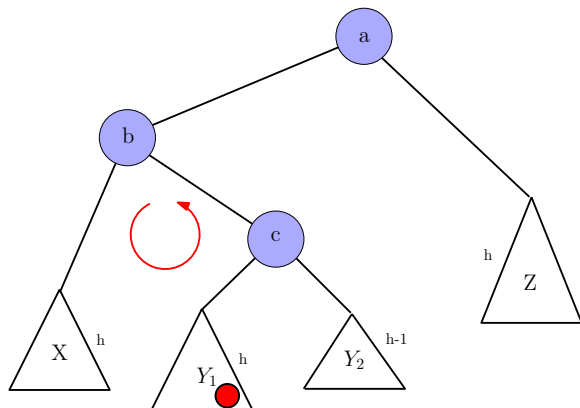
# Double Rotation



$$X < b < Y_1 < c < Y_2 < a < Z$$

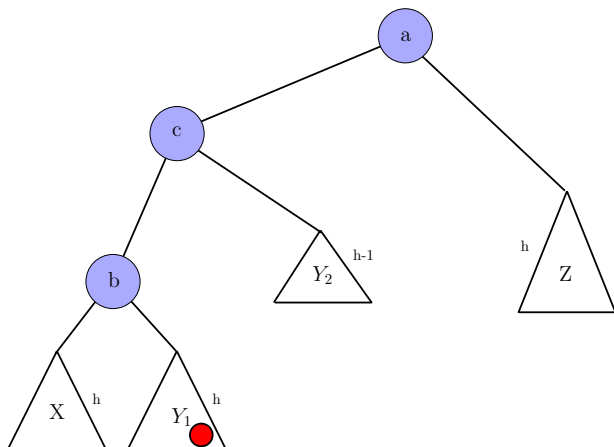


# Double Rotation



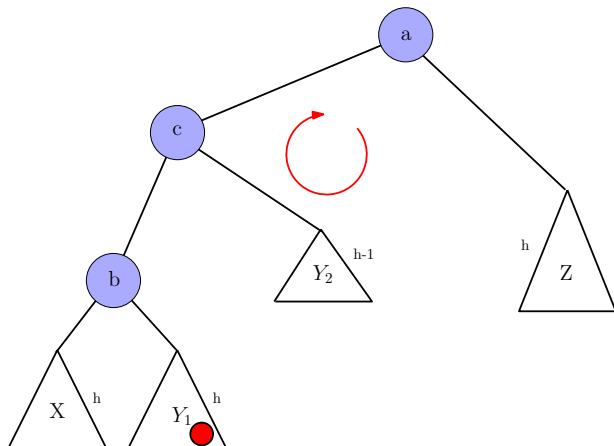
$$X < b < Y_1 < c < Y_2 < a < Z$$

# Double Rotation



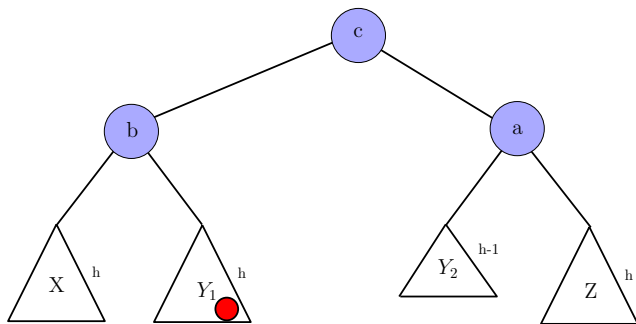
$$X < b < Y_1 < c < Y_2 < a < Z$$

# Double Rotation



$$X < b < Y_1 < c < Y_2 < a < Z$$

# Double Rotation



$$X < b < Y_1 < c < Y_2 < a < Z$$

# Deletion

Deleting elements from an AVL tree happens in the same way as in BSTs with additional rotations.

$\mathcal{O}(\log n)$  in the worst case

# Memory Hierarchy

(Year 2010)

A big dilemma exists between speed and size when it comes to memory.

## SRAM (Static Random Access Memory)

- ▶ Registers are made using SRAM
- ▶ Very fast ( $1ns = 10^{-9}sec$  - handles GHz clock speeds)
- ▶ Very expensive ( $1GB \approx 5000\$$ )

## DRAM (Dynamic Random Access Memory)

- ▶ Memory is made using this technology
- ▶ Fast (25ns)
- ▶ Less expensive ( $16GB \approx 100\$$ )

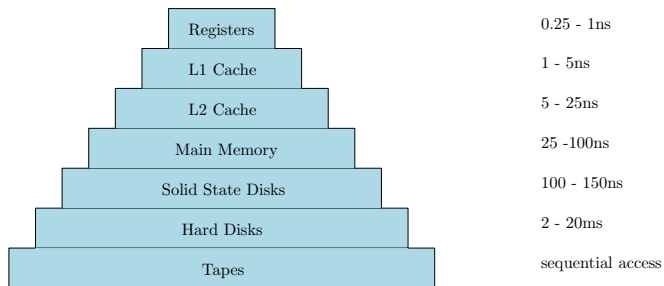
## Hard Disk

- ▶ Very slow ( $5ms = 5 \cdot 10^{-3}sec$ )
- ▶ Very cheap

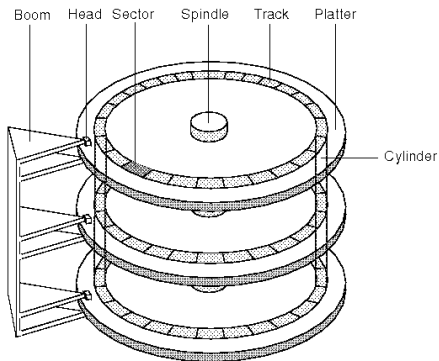
# Memory Hierarchy

(Year 2010)

Idea: Use many different types of memory for better performance.



# External Memory



- ▶ seek time: time in order for the heads to move to the right location (track)
- ▶ rotational delay: waiting time in order for the cylinder to come to the right sector that we are looking for



# External Memory

- ▶ computer memory (DRAM) has access time of nanoseconds:  $10^{-9}$  sec, e.g. 25 - 100 nsec
- ▶ hard disks have access time of milliseconds:  $10^{-3}$ , e.g. 2 - 20 ms

## Conclusion

It is not a good idea to read small amounts of data from the disk. For this reason disks always read/write a block which is in the order of Kilobytes, e.g. 512K.

# B-Tree (Beta Tree)

- ▶ search tree which is efficient for storing to disk
- ▶ generalizes the 2-3-4 trees using nodes with number of keys between  $t$  and  $2t$  for any  $t \geq 2$ .

# B-tree Definition

A *B-tree*  $T$  is a tree with a root and the following properties:

1. every node  $x$  has the following fields:
  - (a)  $n[x]$ , the number of keys that  $x$  has
  - (b) the  $n[x]$  keys in order:  $key_1[x] \leq key_2[x] \leq \dots \leq key_{n[x]}[x]$
  - (c) a value  $leaf[x]$  which is true iff node  $x$  is a leaf

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  - (c) a value  $leaf[x]$  which is true iff node  $x$  is a leaf
2. if  $x$  is an internal node it also contains  $n[x] + 1$  pointers  $c_1[x], c_2[x], \dots, c_{n[x]+1}[x]$  to its children. Leafs do not have children in which case these pointers are not defined.

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3. The keys  $key_i[x]$  split the range of the keys which are stored in each subtree: if  $k_i$  is the key stored in subtree with root  $c_i[x]$

$$k_1 \leq key_1[x] \leq k_2 \leq key_2[x] \leq \dots \leq key_{n[x]}[x] \leq k_{n[x]+1}.$$

# B-tree Definition

4. Every leaf has the same depth, the height of the tree  $h$ .

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5. Let  $t \geq 2$  be the **minimum order** of the tree:
  - 5.1 Every node besides the root must have at least  $t - 1$  keys (which translates to at least  $t$  children). If the tree is not null, the root must have at least one key.
  - 5.2 Every node can contain at most  $2t - 1$  keys, e.g. at most  $2t$  children. A node is called **full** if it contains exactly  $2t - 1$  keys.

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The simplest B-tree is for  $t = 2$ . Every internal node has 2, 3 or 4 children, thus, is the 2-3-4 tree.

In practice we use much larger values for  $t$ .



# B-tree Height

## Theorem

A B-tree with  $n \geq 1$  keys and minimum order  $t \geq 2$  has height

$$h \leq \log_t \frac{n+1}{2}.$$

## Proof.

A B-tree with height  $h$  has the least number of nodes if the root has one key and the rest have  $t - 1$  keys.

At level 0 there is one node. At level 1 there are  $t$  nodes. At level 2 there are  $t^2$  nodes, at level 3  $t^3$  nodes, etc. □

# B-tree Height

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## Proof.

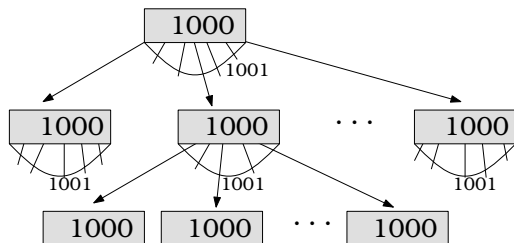
The number of keys are:

$$\begin{aligned} n &\geq 1 + (t-1) \sum_{i=1}^h 2t^{i-1} \\ &= 1 + 2(t-1) \left( \frac{t^h - 1}{t-1} \right) \\ &= 2t^h - 1 \end{aligned}$$



# Disk Accesses

Making sure that each node fits exactly on a disk block, we can use disk accesses equal to the height of the tree.



1 κόμβος  
1000 κλειδιά

1001 κόμβοι  
1.001.000 κλειδιά

1.002.001 κόμβοι  
1.002.001.000 κλειδιά

The tree has height  $\mathcal{O}(\log_t n)$ .

# Basic Principles when Implementing B-trees

- (i) The root of a b-tree always remains in memory
- (ii) We need two functions which read and write nodes to disk
  - ▶ `DISK-READ(x)`
  - ▶ `DISK-WRITE(x)`

## Search on a B-tree

Search works just like in BSTs except now we have more choices per node.

---

*B – TREE – SEARCH*( $x, k$ )

---

$i = 1$

**while**  $i \leq n[x]$  *and*  $k > key_i[x]$  **do**

  |  $i = i + 1$

**end**

**if**  $i \leq n[x]$  *and*  $k = key_i[x]$  **then**

  | **return** ( $x, i$ )

**end**

**if** *leaf*[ $x$ ] **then**

  | **return** *nil*

**else**

  | *DISK – READ*( $c_i[x]$ )

**end**

**return** *B – TREE – SEARCH*( $c_i[x], k$ )

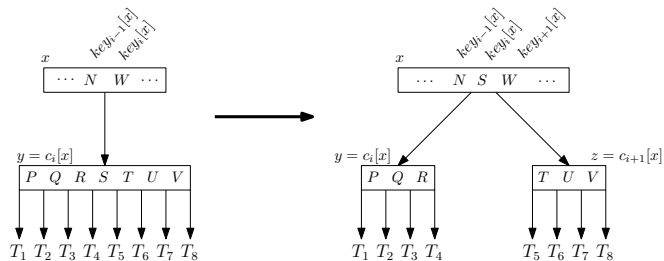
---

# Insertion in a B-tree

- ▶ While searching for the insertion location, we split full nodes (having  $2t - 1$  keys) into two nodes
- ▶ When a node splits, the middle key goes up the tree.
- ▶ This makes enough room for possible splits at lower levels of the tree.

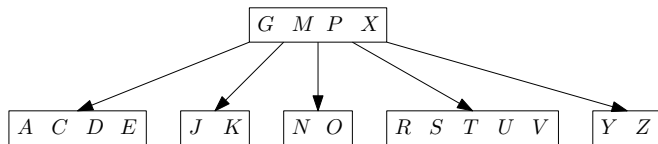
# Node split

$t = 4$



# Example

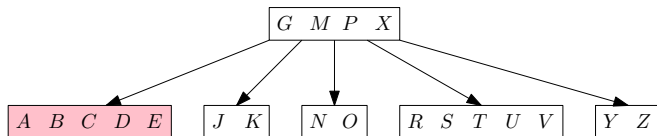
$t = 3$





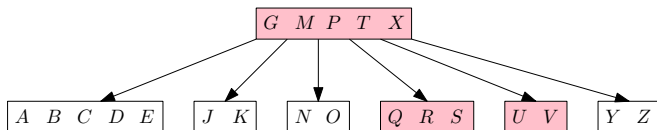
# Example

$t = 3$ , insertion of B



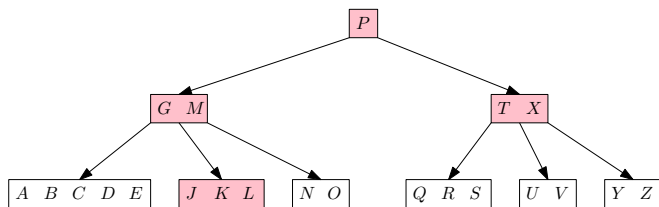
# Example

$t = 3$ , insertion of Q



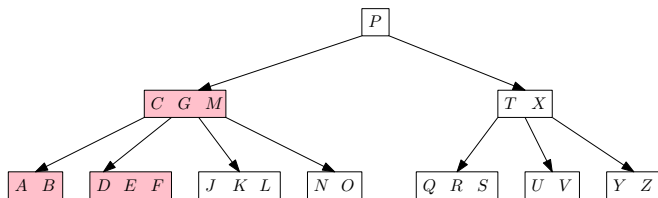
# Example

$t = 3$ , insertion of L



# Example

$t = 3$ , insertion of F



# Deletion from a B-tree

Works the same as in 2-3-4 trees.

We may need to either

- ▶ balance, or
- ▶ fuse

# Reading and Sources

- ▶ Sections 7.1, 7.2, 7.3  
Kurt Mehlhorn Peter Sanders. Algorithms and Data Structures, The basic toolbox, 1/e, 2014.
- ▶ Sections 12.5, 12.6, 12.8, 12.9, 13.3, 13.4, 16.3  
Robert Sedgwick. Algorithms in C: Fundamentals, Data Structures, Sorting, Searching. 3/e, Addison-Wesley Professional, 1997.
- ▶ Sections 12.1, 12.2, 12.3, 13.1, 13.2, 13.3, 13.4  
Cormen, Leiserson, Rivest and Stein. Introduction to Algorithms. 3/e, MIT Press. 2009.