# Balanced Trees

# Outline for Today

- **Recap from Last Time** 
  - Review of B-trees, 2-3-4 trees, and red/black trees.
- Order Statistic Trees
  - BSTs with indexing.
- Augmented Binary Search Trees
  - Building new data structures out of old ones.
- Dynamic 1D Closest Points
  - Applications to hierarchical clustering.
- Join and Split Operations
  - Two powerful BST primitives.

#### Review from Last Time

#### **B-Trees**

- A *B-tree of order b* is a multiway search tree with the following properties:
  - All leaf nodes are stored at the same depth.
  - All non-root nodes have between b 1 and 2b 1 keys.
  - The root has at most 2*b* 1 keys.
  - All root-null paths pass through the same number of nodes.



## **Red/Black Trees**

- A *red/black tree* is a BST with the following properties:
  - Every node is either red or black.
  - The root is black.
  - No red node has a red child.
  - Every root-null path in the tree passes through the same number of black nodes.



## **Red/Black Trees**

3

19

23 31 37

11 13 17

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  - The root is black.
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#### Data Structure Isometries

- Red/black trees are an *isometry* of 2-3-4 trees; they represent the structure of 2-3-4 trees in a different way.
- Accordingly, red/black trees have height  $O(\log n)$ .
- After inserting or deleting an element from a red/black tree, the tree invariants can be fixed up in time O(log n) by applying rotations and color flips that simulate a 2-3-4 tree.

### **Tree Rotations**



#### New Stuff!

#### Dynamic Problems

# Dynamic Problems

• The "classic" algorithms model goes something like this:

#### Given some input X, compute some interesting function f(X).

- This assumes that X is specified up-front and doesn't change over time.
- These questions typically become more interesting when they're made *dynamic* and the model looks more like this:

#### Given some input X that changes over time, maintain a data structure that makes it easy to compute f(X) at any instant in time.

 Many data structures can essentially be thought of as solutions to dynamic versions of classical algorithms problems.

#### **Dynamic Order Statistics**

# **Order Statistics**

- In a set *S* of totally ordered values, the *kth order statistic* is the *kth* smallest value in the set.
  - The  $0^{\text{th}}$  order statistic is the minimum value.
  - The 1<sup>st</sup> order statistic is the second-smallest value.
  - The (n 1)<sup>st</sup> order statistic is the maximum value.
- In the static case (when the data set is given to you in advance), algorithms like quickselect and median-of-medians give (possibly randomized) O(*n*)-time solutions to order statistics.
- **Goal:** Solve this problem efficiently when the data set is changing that is, the underlying set of elements can have insertions and deletions intermixed with queries.























**Problem:** After inserting a new value, we may have to update  $\Theta(n)$  values.

# An Observation

- The exact index of each number is a *global property* of the tree.
  - Depends on all other nodes and their positions.
- Could we find a *local property* that lets us find order statistics?
  - That is, something that depends purely on nearby nodes.
























































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# Order Statistic Trees

- The tree we just saw is called an order statistics tree.
- Structurally, it's a red/black tree where each node a count of the nodes in the left subtree.
- Only O(log *n*) values must be updated on an insertion or deletion and each can be updated in time O(1).
- Supports all BST operations plus *select* (find kth order statistic) and *rank* (tell index of value) in time O(log n).

Generalizing our Idea

# The General Pattern

- This data structure works in the appropriate time bounds because values only change on an insertion or deletion
  - along the root-leaf access path, and
  - during rotations.
- Red/black trees have height O(log *n*) and require only O(log *n*) rotations per insertion or deletion.
- We can augment red/black trees with any attributes we'd like as long as they obey these properties.

- Let *f*(*node*) be a function with the following properties:
  - f can be computed in time O(1).
  - *f* can be computed at a node based purely on that node's key and the values of *f* computed at *node*'s children.
- **Theorem:** The values of *f* can be cached in the nodes of a red/black tree without changing the asymptotic runtime of insertions or deletions.
- **Proof sketch:** After inserting or deleting a node, the only values that need to change are along the root-leaf access path, plus values at nodes that were rotated. There are only O(log n) of these.















## **Order Statistics**

- *Note:* The approach we took for building order statistic trees does not fall into this framework.
- **Example:** The values below denote the number of nodes in the indicated nodes' left subtrees. What is the correct value of *x*?



#### Order Statistics via Augmentation

- Have each node store two quantities:
  - *numLeft*, the number of nodes in the left subtree.
  - *numRight*, the number of nodes in the right subtree.
- Can compute this information at a node in time O(1) based on subtree values:
  - *n.numLeft* = *n.left.numLeft* + *n.left.numRight* + 1
  - *n.numRight* = *n.right.numLeft* + *n.right.numRight* + 1
- This fits into our framework, so we know that red/black trees can be augmented this way without needing to reason about tree rotations.
- Useful if we want to show feasibility; we can always optimize later if we need to.

#### Example: *Hierarchical Clustering*



 20
 42
 44
 60
 66
 71
 86
 92
 100



 20
 42
 44
 60
 66
 71
 86
 92
 100



20	43		60	66	71	86	92	100
	42	44						



20	43		60	66	71	86	92	100
	42	44						



20	43		60	66	71	86	92	100
	42	44						



20	43		60	66	71	86	92	100
	42	44						



20	43		60	68	8.5	86	92	100
	42	44		66	71			



20	43 60		60	68.5		86	92	100
	42	44		66	71		-	


20	43		60	68	8.5	86	92	100
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20	43 60		60	68.5		86	92	100
	42	44		66	71			



20	43 42 44		60	68.5		89		100
	42	44		66	71	86	92	



20	43 42 44		60	68.5		89		100
	42	44		66	71	86	92	



20	43 42 44		60	68.5		89		100
	42	44		66	71	86	92	



20	4	3	60	68.5		89		100
	42	44		66	71	86	92	



20	4	3	65.67			89		100
	42	44	60	66	71	86	92	



20	4	3	65.67			89		100
	42	44	60	66	71	86	92	



20	43		65.67			89		100
	42	44	60	66	71	86	92	



20	43		65.67			89		100
	42	44	60	66	71	86	92	



20	43		65.67			92.67		
	42	<b>44</b>	60	66	71	86	92	100



20	43		65.67			92.67		
	42	44	60	66	71	86 92 100		



20	4	3	f	65.67	7	92.67		
	42	<b>44</b>	60	66	71	86	92	100



20	4	3	e	<b>55.6</b> 7	7	92.67		
	42	44	60	66	71	86	92	100



20			<b>56.6</b>			92.67		
	42	44	60	66	71	86	92	100



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# Analyzing the Runtime

- How efficient is this algorithm?
  - Number of rounds:  $\Theta(n)$ .
  - Work to find closest pair: O(n).
  - Total runtime:  $\Theta(n^2)$ .
- Can we do better?

## Analyzing the Runtime

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Can we do better?

• The *dynamic 1D closest points problem* is the following:

Maintain a set of real numbers undergoing insertion and deletion while efficiently supporting queries of the form "what is the closest pair of points?"

• Can we build a better data structure for this?



### A Tree Augmentation

- Augment each node to store the following:
  - The maximum value in the tree.
  - The minimum value in the tree.
  - The closest pair of points in the tree.
- *Claim:* Each of these properties can be computed in time O(1) from the left and right subtrees.
- These properties can be augmented into a red/black tree so that insertions and deletions take time O(log *n*) and "what is the closest pair of points?" can be answered in time O(1).









### Some Other Questions

- How would you augment this tree so that you can efficiently (in time O(1)) compute the appropriate weighted averages?
- **Trickier:** Is this the fastest possible algorithm for this problem?
  - What if you're guaranteed that the keys are all integers in some nice range?
#### A Helpful Intuition

# Divide-and-Conquer

- Initially, it can be tricky to come up with the right tree augmentations.
- **Useful intuition:** Imagine you're writing a divide-and-conquer algorithm over the elements and have O(1) time per "conquer" step.



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- **Useful intuition:** Imagine you're writing a divide-and-conquer algorithm over the elements and have O(1) time per "conquer" step.



#### Time-Out for Announcements!

#### Problem Sets

- Problem Set Two was due today at 2:30PM.
  - With late days, the deadline is Thursday at 2:30PM.
- Problem Set Three goes out now. It's due next Thursday, May  $3^{rd}$ , at 2:30PM.
  - Explore advanced tree operations, augmented search trees, and data structure isometries!
  - As always, feel free to ask questions on Piazza or to stop by office hours.

#### Back to CS166!

#### Joining and Splitting Trees

# Joining Trees

- The operation *join*(*T*<sub>1</sub>, *k*, *T*<sub>2</sub>) takes as input a BST *T*<sub>1</sub>;
  - a key k, where k is greater than all keys in  $T_1$ ; and
  - a BST  $T_2$ , where k is less than all keys in  $T_2$ ; then
  - destructively modifies  $T_1$  and  $T_2$  to produce a new BST containing all keys in  $T_1$  and  $T_2$  and the key k.

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# Splitting Trees

- The operation split(T, k) takes as input
  - a BST *T*, and
  - a key k, then

destructively modifies BST *T* and forms BSTs  $T_1$  and  $T_2$  such that all keys in  $T_1$  are less than or equal to *k* and all keys in  $T_2$  are greater than *k*.

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## The Runtimes

- Both of these operations can be implemented in time O(n) by completely rebuilding the trees from scratch.
  - Good exercise: determine how to do this.
- Amazingly, using augmented red/black trees:
  - **join**( $T_1$ , k,  $T_2$ ) can be made to run in time  $\Theta(1 + |bh_1 - bh_2|)$ , where  $bh_1$  and  $bh_2$  are the number of black nodes on any root-null path in  $T_1$ and  $T_2$ , respectively, and
  - **split**(T, k) can be made to run in time O(log n).
- How is this possible?

- The isometry between 2-3-4 trees and red/black trees is very useful here.
- Let's see how to *join* two 2-3-4 trees and a key together.
- Based on what we find, we'll develop an efficient algorithm for joining red/black trees.







































- To *join*(*T*<sub>1</sub>, *k*, *T*<sub>2</sub>):
  - Assume that  $T_1$  is the taller of the two trees; if not, do the following, but mirrored.
  - Walk down the right spine of  $T_1$  until a node v is found whose height is the height of  $T_2$ .
  - Add k as a final key of v's parent with  $T_2$  as a right child.
  - Continue as if you were inserting k into v's parent – possibly split the node and propagate upward, etc.

# Analyzing the Runtime

- Assume all 2-3-4 tree nodes are annotated with their heights.
- What is the runtime of **join**( $T_1$ , k,  $T_2$ )?
- Runtime is  $\Theta(1 + |h_1 h_2|)$ .
















- Define the **black height** of a node to be the number of black nodes on any root-null path starting at that node.
- To *join*(*T*<sub>1</sub>, *k*, *T*<sub>2</sub>):
  - Assume that  $T_1$  is the tree with larger black height; if not, do the following, but mirrored.
  - Walk down the right spine of  $T_1$  until a black node v is found whose black height is the black height of  $T_2$ .
  - Insert a new node with key k, left child v, and right child  $T_2$
  - Make this new node the right child of v's old parent.
  - Continue as if you had just inserted *k*.

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## **Runtime Analysis**

- Need to augment the red/black tree to store the black height of each node.
  - This fits into our augmentation framework can be computed from the black heights of the left and right children and from the node's own color.
- Via the isometry with 2-3-4 trees, the runtime is  $O(1 + |bh_1 bh_2|)$ .
- This is  $O(\log n_1 + \log n_2)$  in the worst-case.

# Joining Two Trees

- What if you want to join two red/black trees but don't have a key to join them with?
- Delete the minimum value from the second tree in time O(log n), then use that to join the two trees.

#### Implementing *split* Efficiently

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- Challenge 2: Cutting a red/black tree into two pieces doesn't necessarily give you two red/black trees.

- Suppose we want to perform a split on some key *k*.
- Begin by searching for k. If we find it, search for its inorder successor.
- Cut all links found along the way.



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 Notice that we're left with a collection of *pennants*, trees whose roots have just one child.



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- We now have a bunch of red/black trees hanging off of pennants.
- Key idea: Find a way to join these trees back together to form the two trees we want.

- Do a search for the inorder successor of *k*, cutting each link followed.
- For each pennant, color its child black. We now have a collection of red/black trees hanging off of random nodes.
- Categorize each hanging tree as of type *L* or type *R* depending on whether it's a left or right child of its pennant.



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- **Observation 2:** There are at most two trees of each black height hanging off of the pennants.



- Observation 1: Look at any two consecutive L trees or R trees and the root of the pennant of the first tree. Then the key in the pennant root is strictly between all the values of those two trees.
- **Observation 2:** There are at most two trees of each black height hanging off of the pennants.















Key idea: join all the L trees back together and all the R trees back together, using the nodes at the root of the pennants as the joining key.
Because the height differences are low, the runtime works out to O(log n).

## Analyzing the Runtime

- Suppose there is one tree of each black height in *L*.
- What is the runtime of *join*ing the trees in reverse order of black heights?

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- Each *join* takes time  $O(1 + |bh_1 bh_2|) = O(1)$ .
- At most O(log n) *join*s (the access path has length O(log n))
- Runtime is **O(log** *n*).

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$$= O(k+\sum_{i=1}^{k-1} (bh_{i+1}-bh_i))$$
$$= O(k+bh_k-bh_1)$$

The number of trees (k) is O(log n) and the maximum black height is O(log n). Runtime: O(log n).

# The Split Algorithm

- Split the tree into *L* pennants and *R* pennants, as before.
- Iterate across the pennants in ascending order of heights, *join*ing each of the corresponding trees together using the pennant node as the join key. This takes time O(log n).
- There will be O(1) leftover pennant nodes. Insert them in time O(log *n*) into the proper trees.
- Net runtime: **O(log** *n*).

#### An Application: *Flexible Sequences*

#### Sequence Data Structures

- The two major data structures you're probably used to seeing for sequences are dynamic arrays and linked lists.
- In a dynamic array:
  - Lookups take time O(1).
  - Insertions and deletions take time O(n).
  - Concatenations take time O(*n*).
- In a linked list:
  - Lookups take time O(*n*).
  - Insertions and deletions take time O(1) if you know where to insert and O(n) otherwise.
  - Concatenations take time O(1).

#### Flexible Sequences

- Imagine we store a sequence as a modified order statistic tree.
- We ignore the relative order of the elements and instead use the indices to guide BST lookups.
- Now, insertions, lookups, and deletions all take time O(log *n*).
- Armed with *split* and *join*, we can also concatenate and split sequences in time O(log *n*) each.
- After filling in the details, you can now manage a sequence of elements with O(log *n*) insertions, deletions, lookups, concatenations, and splits!

#### Next Time

- Amortized Analysis
  - Lying about runtime costs in an honest manner.
- Frameworks for Amortization
  - How can we think about assigning costs?
- Revisiting Earlier Structures
  - Queues, Cartesian trees, and 2-3-4 trees.