4.2 Binary Search Trees

- BSTs
- ordered operations
- deletion

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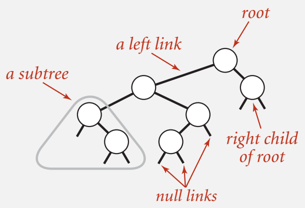
Binary search trees

Definition. A BST is a binary tree in symmetric order.

A binary tree is either:

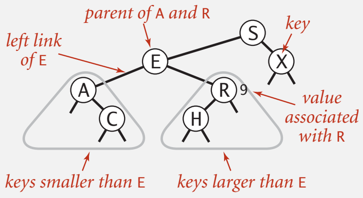
- Empty.
- Two disjoint binary trees (left and right).



Anatomy of a binary tree

Symmetric order.
Each node has a key, and every node's key is:

- Larger than all keys in its left subtree.
- Smaller than all keys in its right subtree.



Anatomy of a binary search tree

BST representation in Java

Java definition. A BST is a reference to a root `Node`.

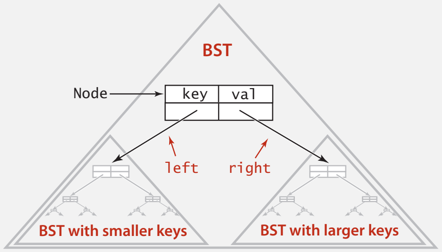
A `Node` is comprised of four fields:

- A `Key` and a `Value`.
- A reference to the left and right subtree.

smaller keys larger keys

```
private class Node
{
   private Key key;
   private Value val;
   private Node left, right;
   public Node(Key key, Value val)
   {
      this.key = key;
      this.val = val;
   }
}
```

`Key` and `Value` are generic types; `Key` is `Comparable`



Binary search tree

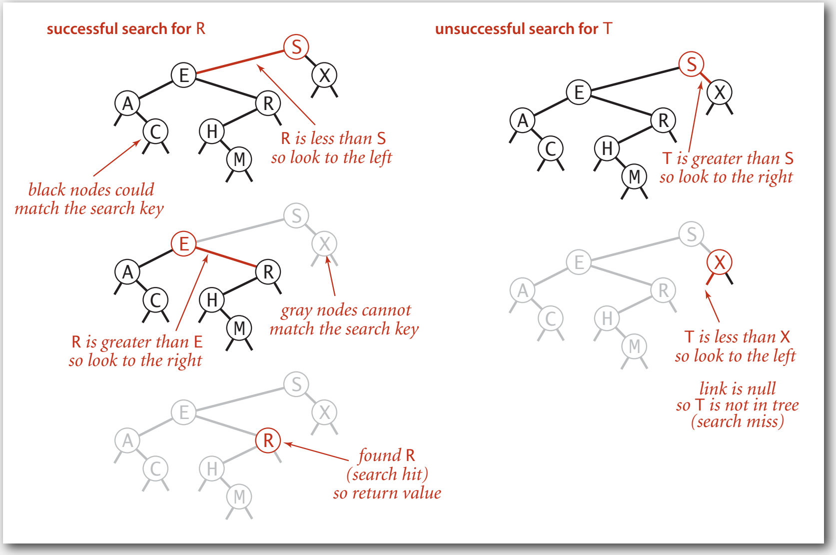
BST implementation (skeleton)

```
public class BST<Key extends Comparable<Key>, Value>
{
   private Node root;

   private class Node
   {  /* see previous slide */  }

   public void put(Key key, Value val)
   {  /* see next slides */  }

   public Value get(Key key)
   {  /* see next slides */  }

   public void delete(Key key)
   {  /* see next slides */  }

   public Iterable<Key> iterator()
   {  /* see next slides */  }

}
```

root of BST

BST search

Get. Return value corresponding to given key, or `null` if no such key.



successful search for R

R is less than S so look to the left

black nodes could match the search key

R is greater than E so look to the right

gray nodes cannot match the search key

found R (search hit) so return value

unsuccessful search for T

T is greater than S so look to the right

T is less than X so look to the left

link is null so T is not in tree (search miss)

BST search: Java implementation

Get. Return value corresponding to given key, or `null` if no such key.

```
public Value get(Key key)
{
   Node x = root;
   while (x != null)
   {
      int cmp = key.compareTo(x.key);
      if      (cmp  < 0) x = x.left;
      else if (cmp  > 0) x = x.right;
      else if (cmp == 0) return x.val;
   }
   return null;
}
```

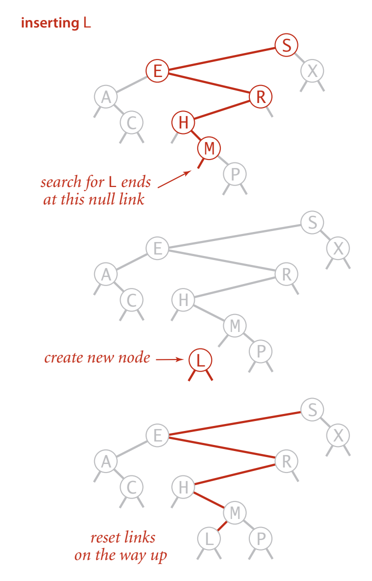
Running time. Proportional to depth of node.

BST insert

Put. Associate value with key.

Search for key, then two cases:

- Key in tree ⇒ reset value.
- Key not in tree ⇒ add new node.



inserting L

search for L ends at this null link

create new node

reset links on the way up

Insertion into a BST

BST insert: Java implementation

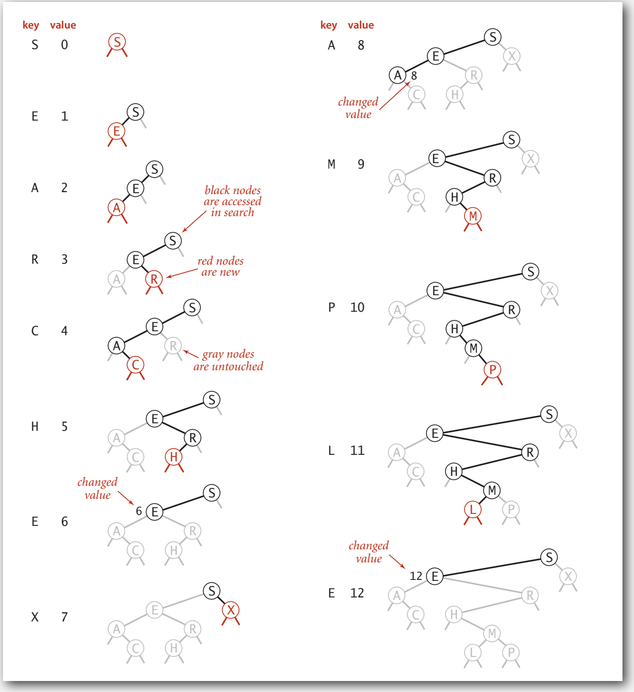
Put. Associate value with key.

concise, but tricky, recursive code; read carefully!

```
public void put(Key key, Value val)
{  root = put(root, key, val);  }

private Node put(Node x, Key key, Value val)
{
   if (x == null) return new Node(key, val);
   int cmp = key.compareTo(x.key);
   if      (cmp  < 0)
      x.left  = put(x.left,  key, val);
   else if (cmp  > 0)
      x.right = put(x.right, key, val);
   else if (cmp == 0)
      x.val = val;
   return x;
}
```

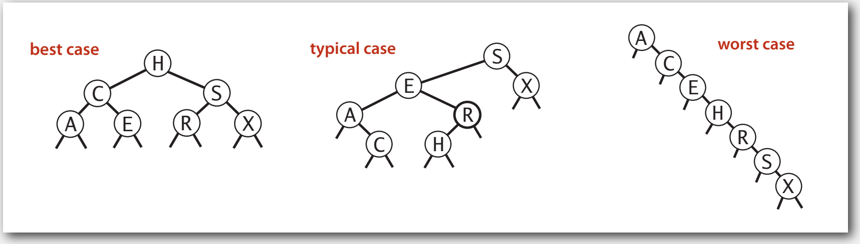
Running time. Proportional to depth of node.

BST trace: standard indexing client



Tree shape

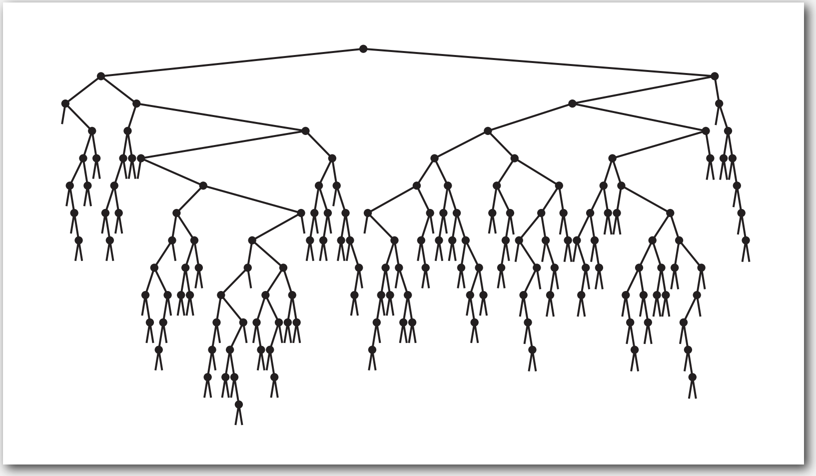
- Many BSTs correspond to same set of keys.
- Cost of search/insert is proportional to depth of node.



Remark. Tree shape depends on order of insertion.

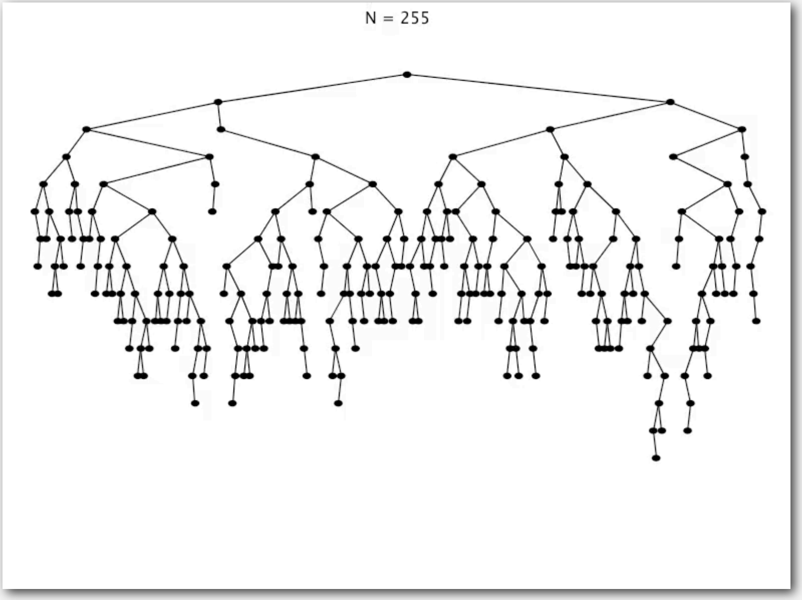
BST insertion: random order

Observation. If keys inserted in random order, tree stays relatively flat.

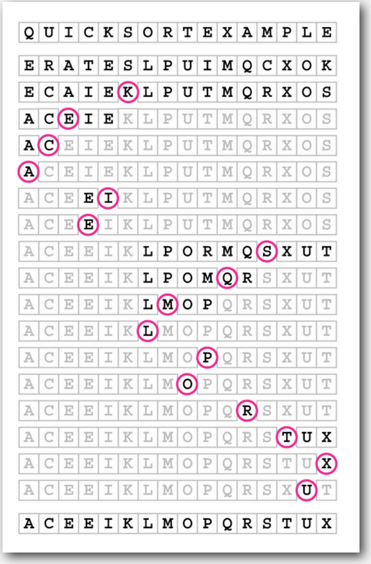


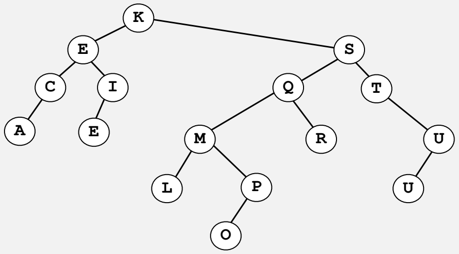
BST insertion: random order visualization

Ex. Insert keys in random order.



Correspondence between BSTs and quicksort partitioning





Remark. Correspondence is 1-1 if no duplicate keys.

BSTs: mathematical analysis

Proposition. If keys are inserted in random order, the expected number of compares for a search/insert is ~ 2 ln N.

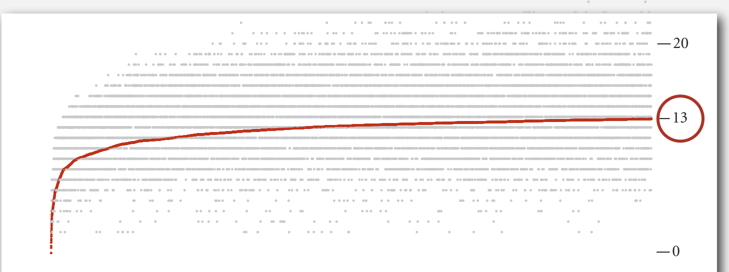
Pf. 1-1 correspondence with quicksort partitioning.

Proposition. [Reed, 2003] If keys are inserted in random order, expected height of tree is ~ 4.311 ln N.

But… Worst-case for search/insert/height is N.
(exponentially small chance when keys are inserted in random order)

ST implementations: summary

implementation	guarantee		average case		ordered ops?	operations on keys
	search	insert	search hit	insert		
sequential search (unordered list)	N	N	N/2	N	no	`equals()`
binary search (ordered array)	lg N	N	lg N	N/2	yes	`compareTo()`
BST	N	N	1.39 lg N	1.39 lg N	?	`compareTo()`



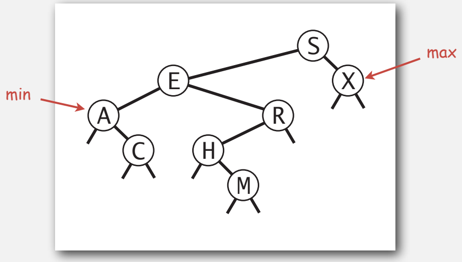
Costs for `java FrequencyCounter 8 < tale.txt` using BST

- BSTs
- **ordered operations**
- deletion

Minimum and maximum

Minimum. Smallest key in table.

Maximum. Largest key in table.

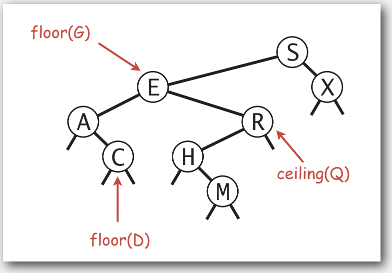


Q. How to find the min / max.

Floor and ceiling

Floor. Largest key ≤ to a given key.

Ceiling. Smallest key ≥ to a given key.



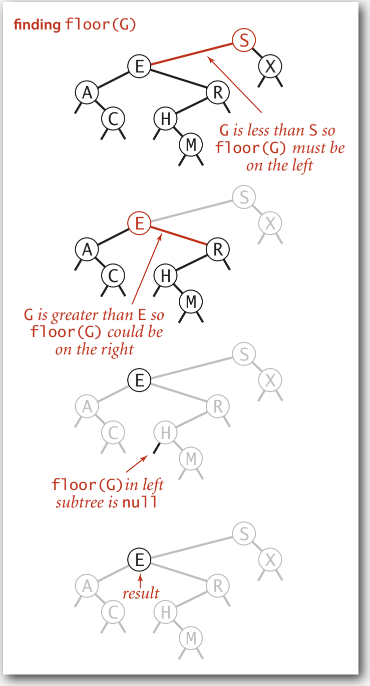
Q. How to find the floor /ceiling.

Computing the floor

Case 1. [k equals the key at root]
The floor of k is k.

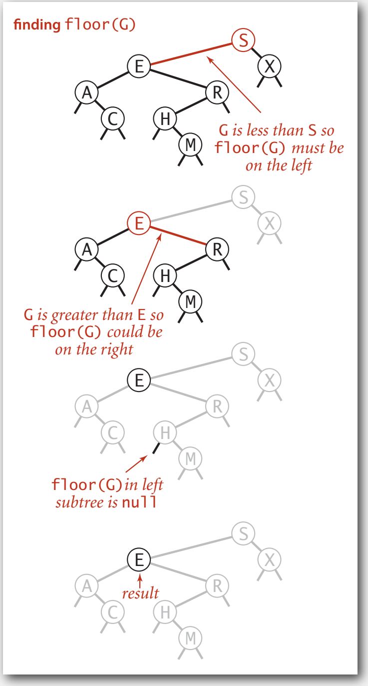
Case 2. [k is less than the key at root]
The floor of k is in the left subtree.

Case 3. [k is greater than the key at root]
The floor of k is in the right subtree
(if there is any key ≤ k in right subtree);
otherwise it is the key in the root.



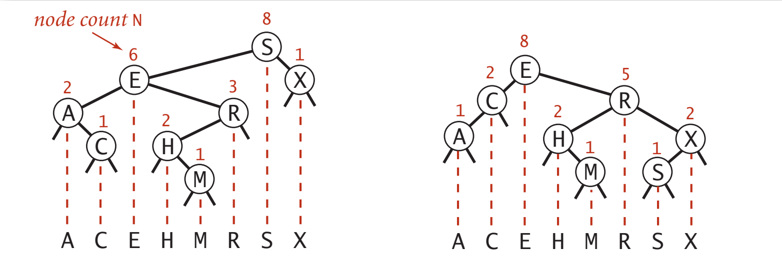
Computing the floor

```
public Key floor(Key key)
{
   Node x = floor(root, key);
   if (x == null) return null;
   return x.key;
}
private Node floor(Node x, Key key)
{
   if (x == null) return null;
   int cmp = key.compareTo(x.key);

   if (cmp == 0) return x;

   if (cmp < 0)  return floor(x.left, key);

   Node t = floor(x.right, key);
   if (t != null) return t;
   else           return x;

}
```



Subtree counts

In each node, we store the number of nodes in the subtree rooted at that node.
To implement `size()`, return the count at the root.



Remark. This facilitates efficient implementation of `rank()` and `select()`.

BST implementation: subtree counts

```
private class Node
{
   private Key key;
   private Value val;
   private Node left;
   private Node right;
   private int N;
}
```

nodes in subtree

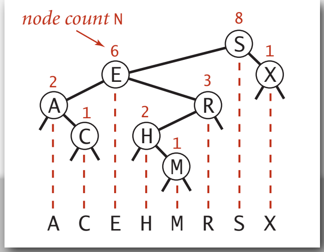
```
public int size()
{  return size(root);  }

private int size(Node x)
{
   if (x == null) return 0;
   return x.N;
}
```

```
private Node put(Node x, Key key, Value val)
{
   if (x == null) return new Node(key, val);
   int cmp = key.compareTo(x.key);
   if      (cmp  < 0) x.left  = put(x.left,  key, val);
   else if (cmp  > 0) x.right = put(x.right, key, val);
   else if (cmp == 0) x.val = val;
   x.N = 1 + size(x.left) + size(x.right);
   return x;
}
```

Rank

Rank. How many keys < k?

Easy recursive algorithm (4 cases!)

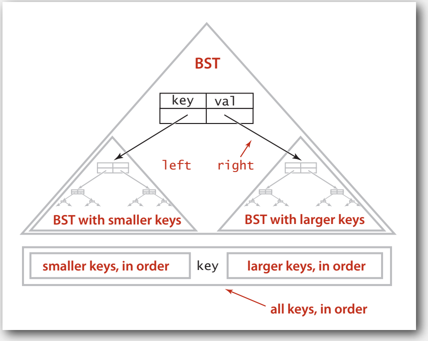


```
public int rank(Key key)
{  return rank(key, root);  }

private int rank(Key key, Node x)
{
   if (x == null) return 0;
   int cmp = key.compareTo(x.key);
   if      (cmp < 0) return rank(key, x.left);
   else if (cmp > 0) return 1 + size(x.left) + rank(key, x.right);
   else              return size(x.left);
}
```

Inorder traversal

- Traverse left subtree.
- Enqueue key.
- Traverse right subtree.

```
public Iterable<Key> keys()
{
    Queue<Key> q = new Queue<Key>();
    inorder(root, queue);
    return q;
}

private void inorder(Node x, Queue<Key> q)
{
   if (x == null) return;
   inorder(x.left, q);
   q.enqueue(x.key);
   inorder(x.right, q);
}
```



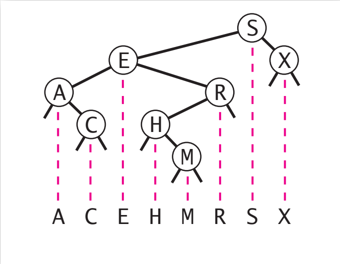
Property. Inorder traversal of a BST yields keys in ascending order.

Inorder traversal

- Traverse left subtree.
- Enqueue key.
- Traverse right subtree.

```
inorder(S)                              S
  inorder(E)                            S E
    inorder(A)                          S E A
      enqueue A                A
      inorder(C)                        S E A C
        enqueue C              C
    enqueue E                  E
    inorder(R)                          S E R
      inorder(H)                        S E R H
        enqueue H              H
        inorder(M)                      S E R H M
          enqueue M            M
      print R                  R
  enqueue S                    S
  inorder(X)                            S X
    enqueue X                  X
```

recursive calls   queue   function call stack



BST: ordered symbol table operations summary

	sequential search	binary search	BST
search	N	lg N	h
insert	1	N	h
min / max	N	1	h
floor / ceiling	N	lg N	h
rank	N	lg N	h
select	N	1	h
ordered iteration	N log N	N	N

h = height of BST
(proportional to log N
if keys inserted in random order)

worst-case running time of ordered symbol table operations

- BSTs
- ordered operations
- **deletion**

ST implementations: summary

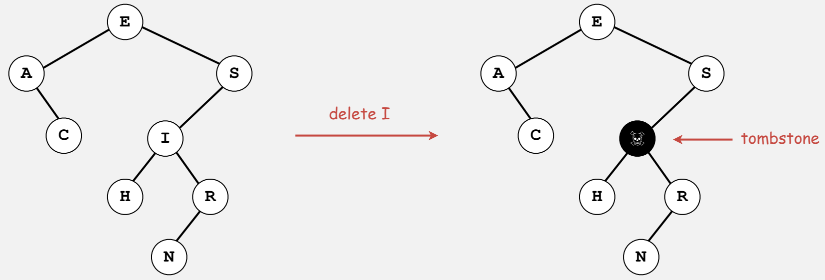
implementation	guarantee			average case			ordered iteration?	operations on keys
	search	insert	delete	search hit	insert	delete		
sequential search (linked list)	N	N	N	N/2	N	N/2	no	`equals()`
binary search (ordered array)	lg N	N	N	lg N	N/2	N/2	yes	`compareTo()`
BST	N	N	N	1.39 lg N	1.39 lg N	???	yes	`compareTo()`

Next. Deletion in BSTs.

BST deletion: lazy approach

To remove a node with a given key:

- Set its value to `null`.
- Leave key in tree to guide searches (but don't consider it equal to search key).



Cost. O(log N') per insert, search, and delete (if keys in random order), where N' is the number of key-value pairs ever inserted in the BST.

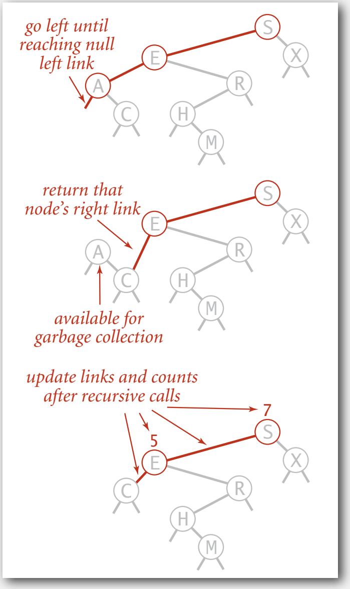
Unsatisfactory solution. Tombstone overload.

Deleting the minimum

To delete the minimum key:

- Go left until finding a node with a null left link.
- Replace that node by its right link.
- Update subtree counts.

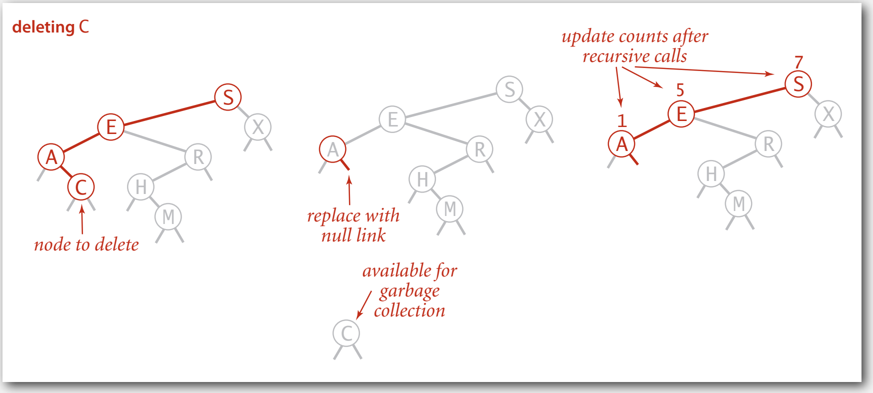
```
public void deleteMin()
{  root = deleteMin(root);  }

private Node deleteMin(Node x)
{
   if (x.left == null) return x.right;
   x.left = deleteMin(x.left);
   x.N = 1 + size(x.left) + size(x.right);
   return x;
}
```



Hibbard deletion

To delete a node with key k: search for node t containing key k.

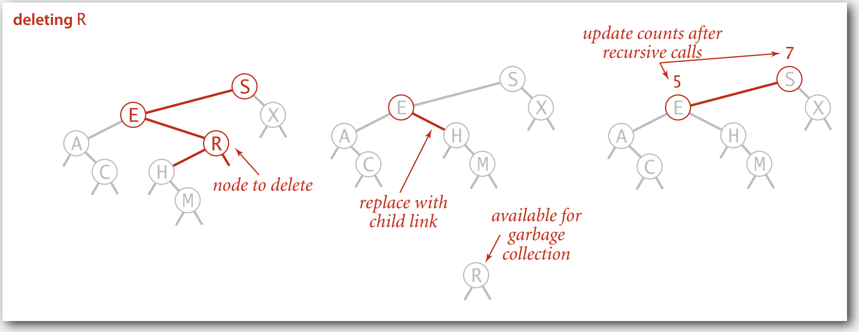
Case 0. [0 children] Delete t by setting parent link to null.



Hibbard deletion

To delete a node with key k: search for node t containing key k.

Case 1. [1 child] Delete t by replacing parent link.

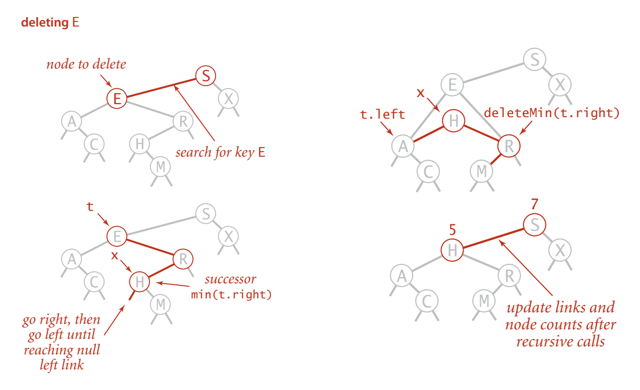


Hibbard deletion

To delete a node with key k: search for node t containing key k.

Case 2. [2 children]

- Find successor x of t. ← x has no left child
- Delete the minimum in t's right subtree. ← but don't garbage collect x
- Put x in t's spot. ← still a BST



Hibbard deletion: Java implementation

```
public void delete(Key key)
{  root = delete(root, key);  }

private Node delete(Node x, Key key) {
   if (x == null) return null;
   int cmp = key.compareTo(x.key);
   if      (cmp < 0) x.left  = delete(x.left,  key);
   else if (cmp > 0) x.right = delete(x.right, key);
   else {
      if (x.right == null) return x.left;

      Node t = x;
      x = min(t.right);
      x.right = deleteMin(t.right);
      x.left = t.left;
   }
   x.N = size(x.left) + size(x.right) + 1;
   return x;
}
```

← search for key

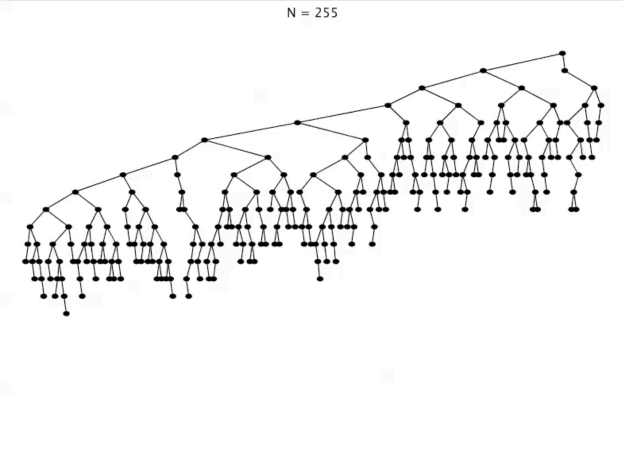
← no right child

← replace with successor

← update subtree counts

Hibbard deletion: analysis

Unsatisfactory solution. Not symmetric.



Surprising consequence. Trees not random (!) ⇒ sqrt(N) per op.

Longstanding open problem. Simple and efficient delete for BSTs.

ST implementations: summary

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binary search (ordered array)	lg N	N	N	lg N	N/2	N/2	yes	`compareTo()`
BST	N	N	N	1.39 lg N	1.39 lg N	√N	yes	`compareTo()`

other operations also become √N if deletions allowed

Next lecture. Guarantee logarithmic performance for all operations.