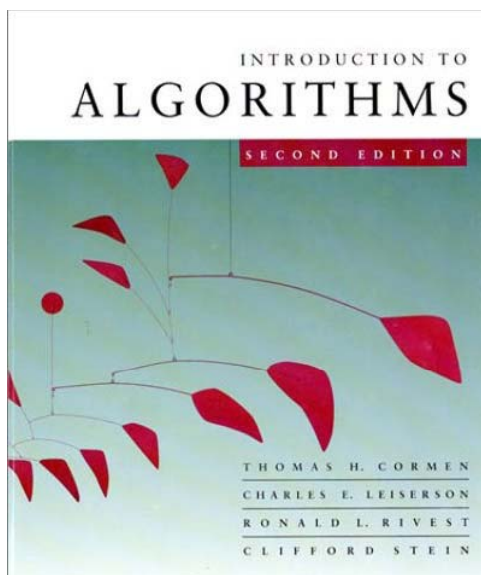


CS 3343 -- Fall 2011



Red-black trees

Carola Wenk

Slides courtesy of Charles Leiserson with small changes by Carola Wenk

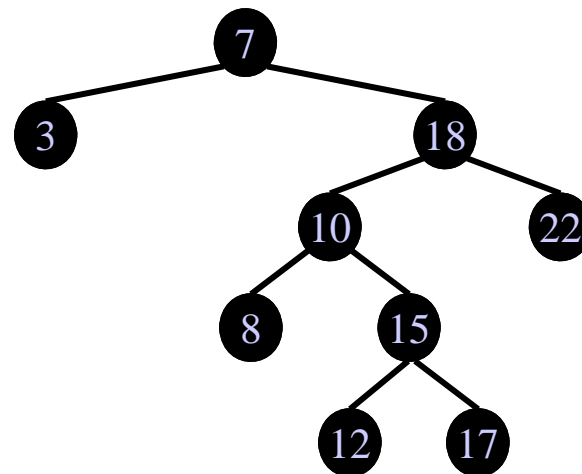


Search Trees

- A binary search tree is a binary tree. Each node stores a key. The tree fulfills the **binary search tree property**:

For every node x holds:

- $y \leq x$, for all y in the subtree left of x
- $x < y$, for all y in the subtree right of x

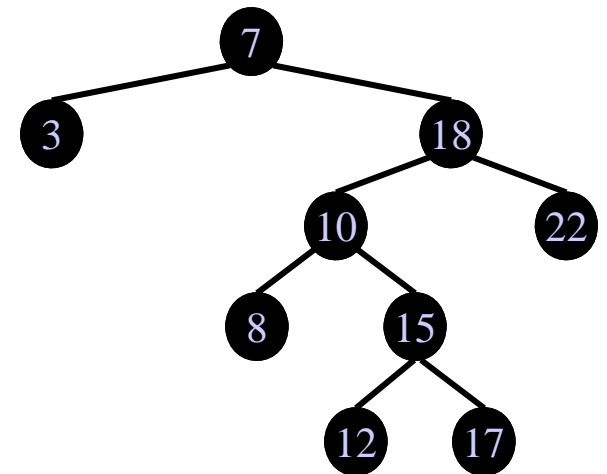




Search Trees

Different variants of search trees:

- Balanced search trees (guarantee height of $\log n$ for n elements)
- k -ary search trees (such as B-trees, 2-3-4-trees)
- Search trees that store the keys only in the leaves, and store additional split-values in the internal nodes



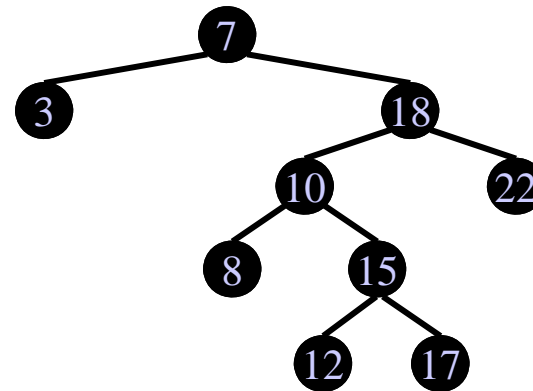


ADT Dictionary / Dynamic Set

Abstract data type (ADT) Dictionary
(also called **Dynamic Set**):

A data structure which supports operations

- Insert
- Delete
- Find



Using **balanced binary search trees** we can implement a dictionary data structure such that each operation takes $O(\log n)$ time.



Balanced search trees

Balanced search tree: A search-tree data structure for which a height of $O(\log n)$ is guaranteed when implementing a dynamic set of n items.

Examples:

- AVL trees
- 2-3 trees
- 2-3-4 trees
- B-trees
- Red-black trees

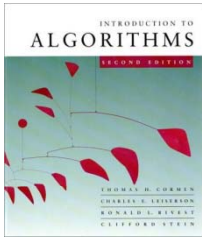


Red-black trees

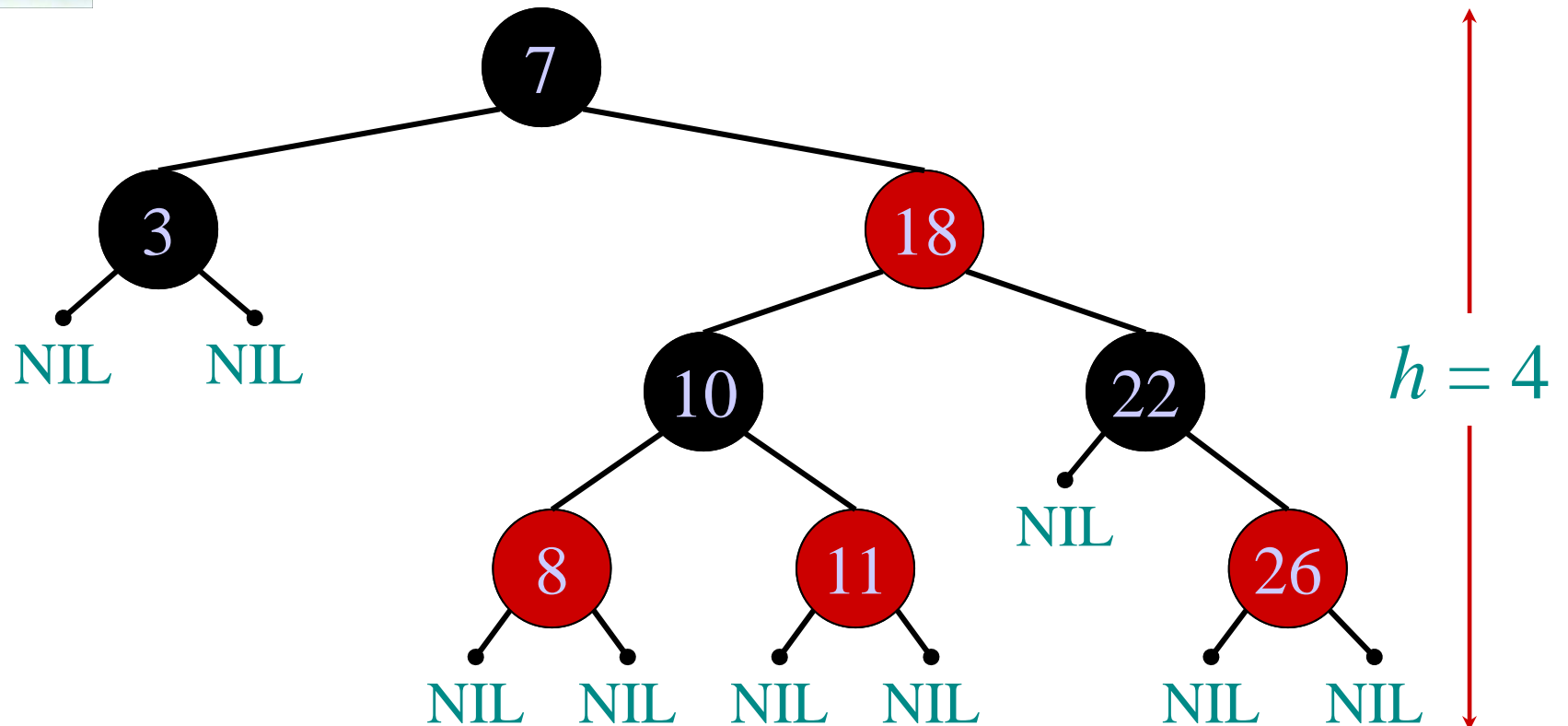
This data structure requires an extra one-bit **color** field in each node.

Red-black properties:

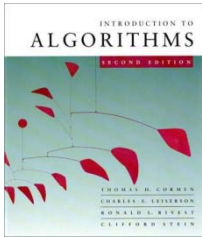
1. Every node is either red or black.
2. The root is black.
3. The leaves (**NIL**'s) are black.
4. If a node is red, then both its children are black.
5. All simple paths from any node x , excluding x , to a descendant leaf have the same number of black nodes = **black-height**(x).



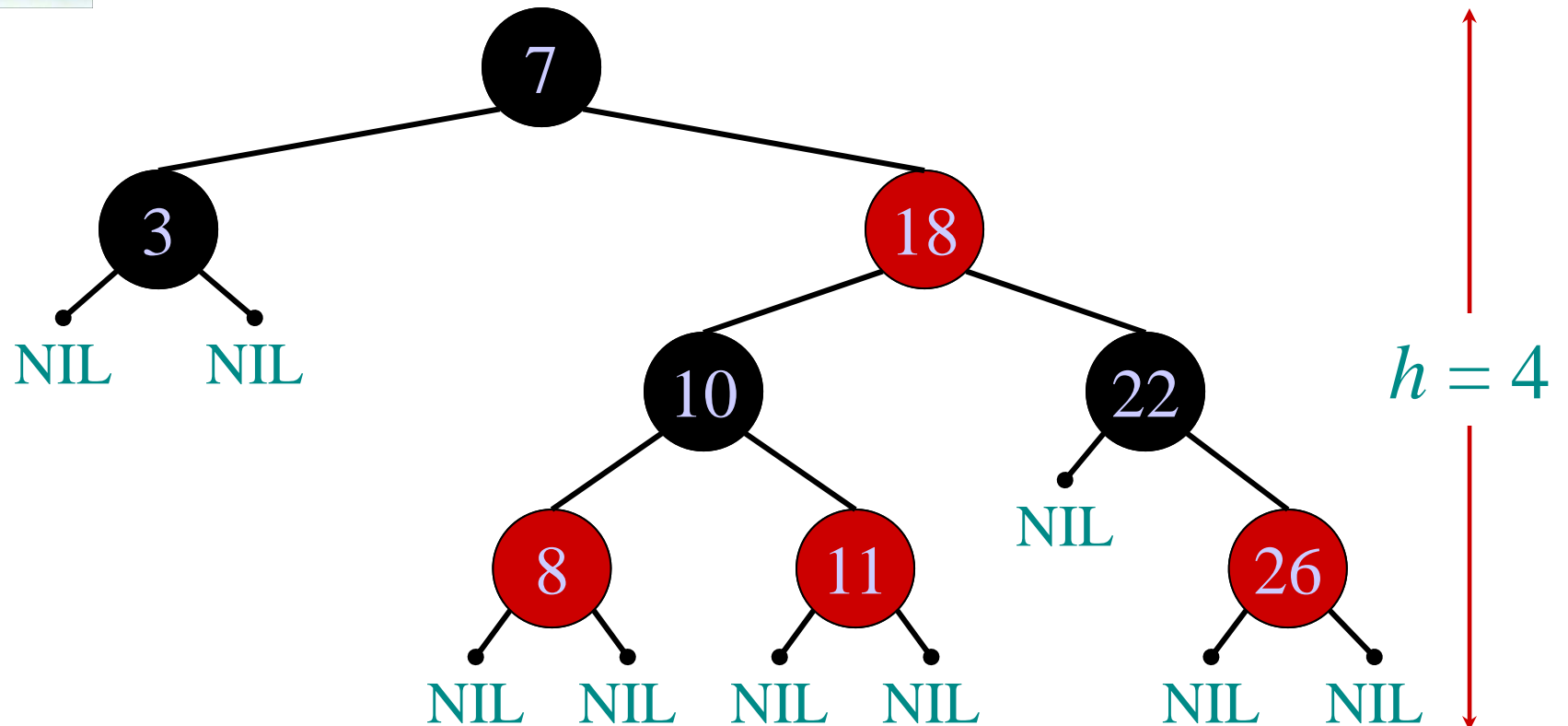
Example of a red-black tree



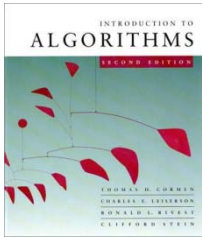
1. Every node is either red or black.



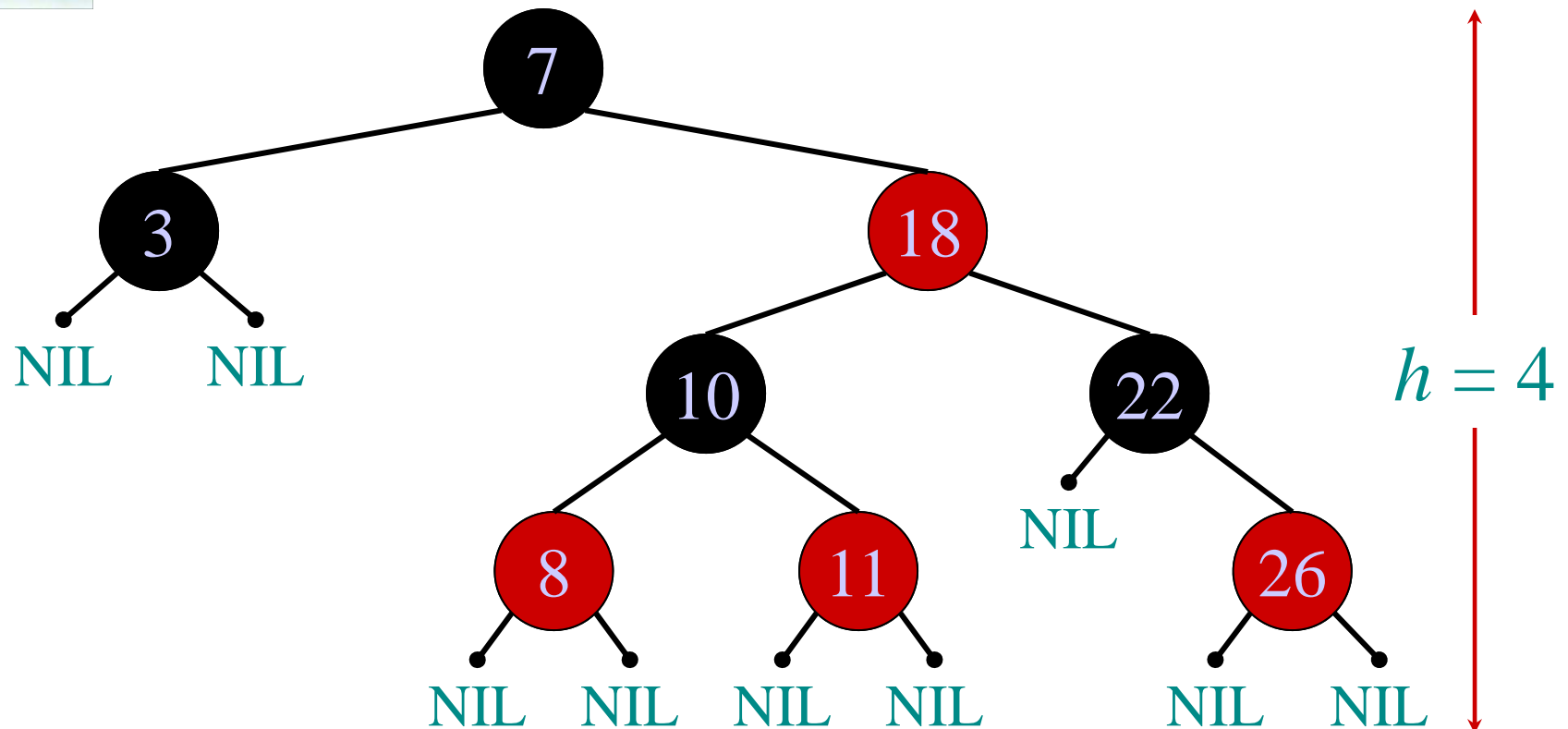
Example of a red-black tree



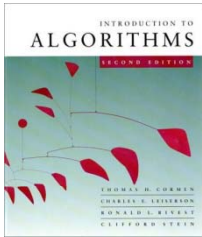
2., 3. The root and leaves (NIL's) are black.



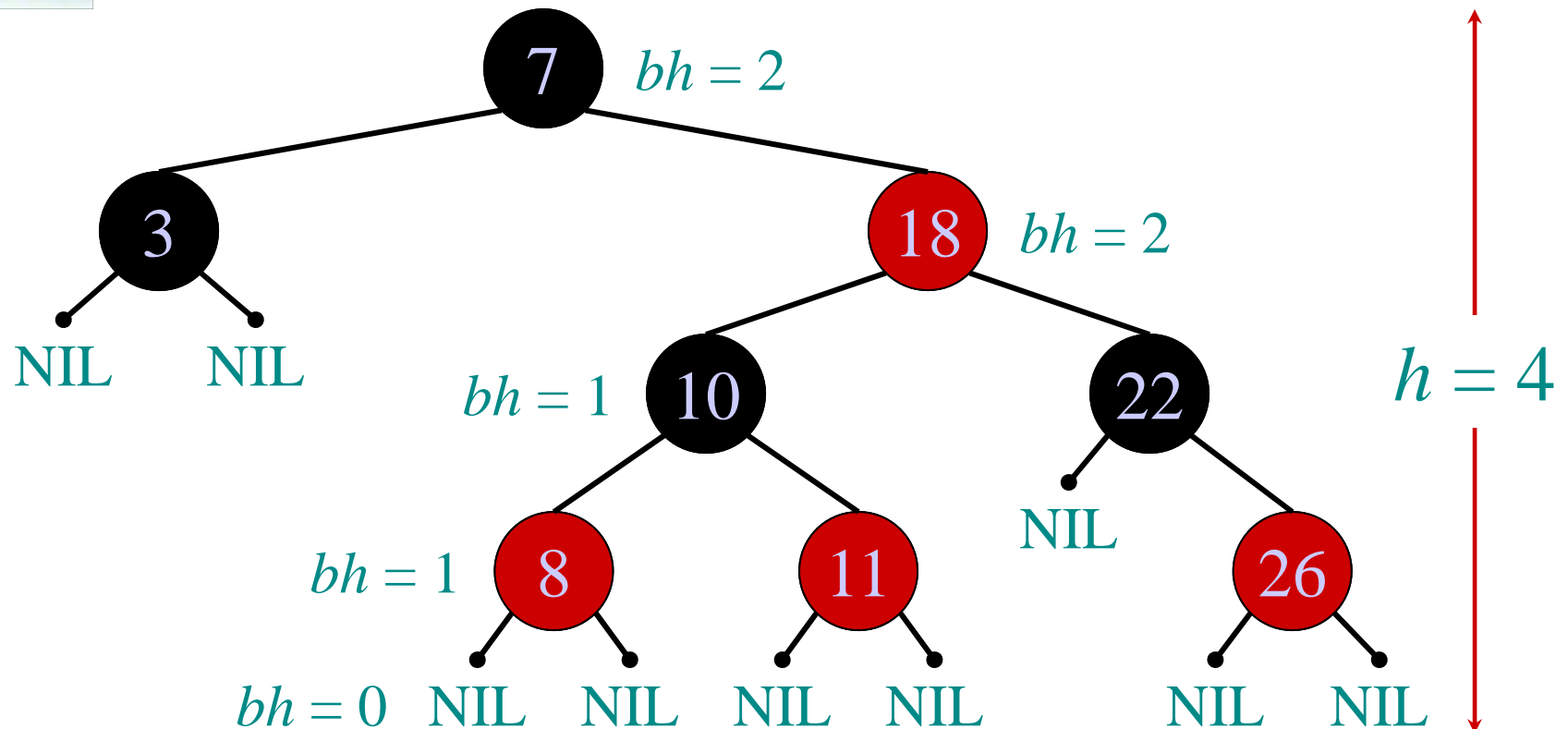
Example of a red-black tree



4. If a node is red, then both its children are black.



Example of a red-black tree



5. All simple paths from any node x , excluding x , to a descendant leaf have the same number of black nodes = $black-height(x)$.



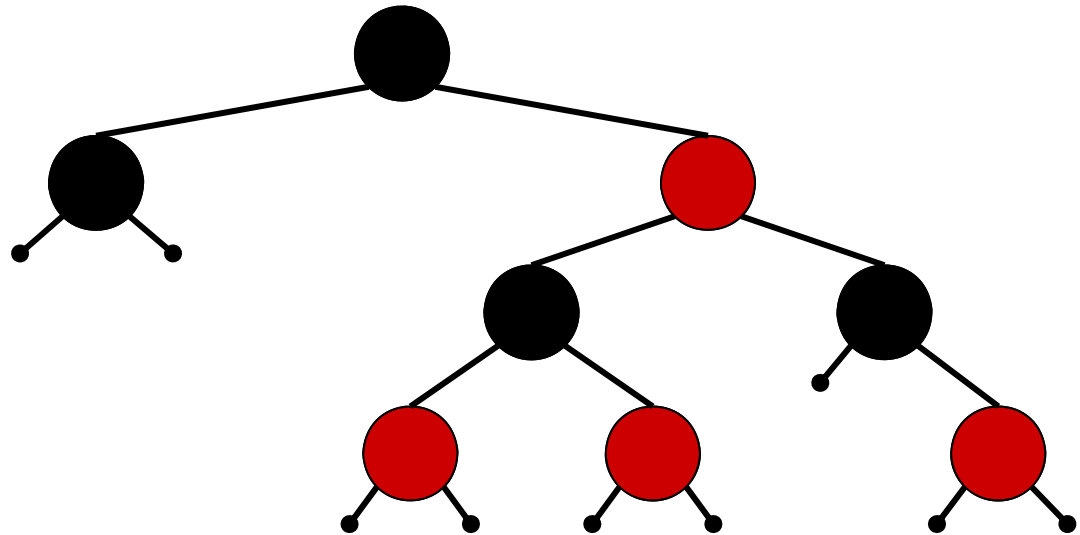
Height of a red-black tree

Theorem. A red-black tree with n keys has height
 $h \leq 2 \log(n + 1)$.

Proof. (The book uses induction. Read carefully.)

INTUITION:

- Merge red nodes into their black parents.





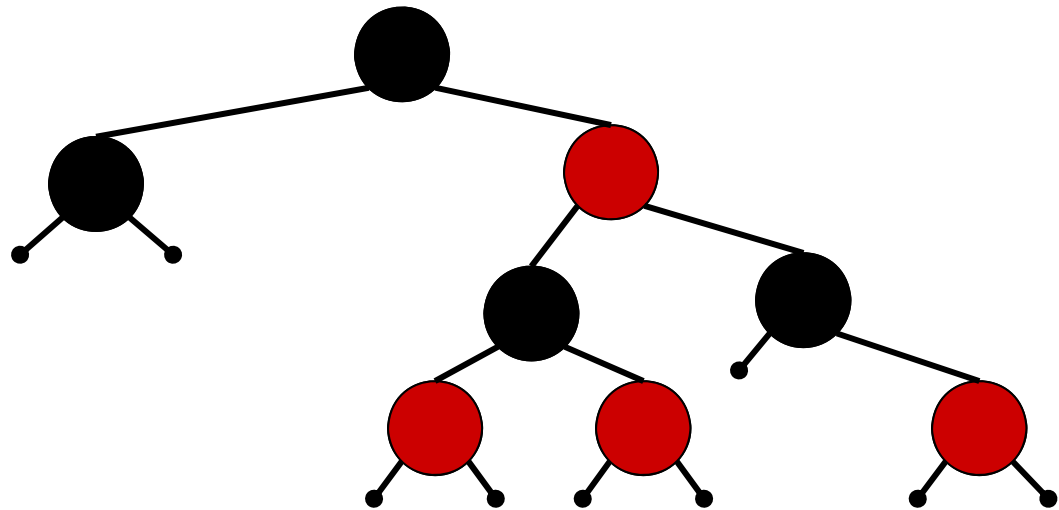
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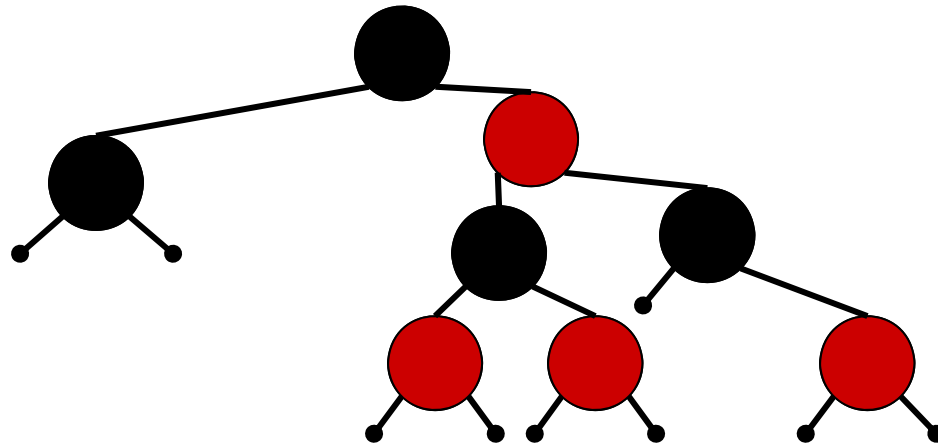
Height of a red-black tree

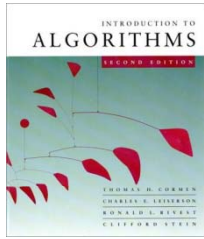
Theorem. A red-black tree with n keys has height
$$h \leq 2 \log(n + 1).$$

Proof. (The book uses induction. Read carefully.)

INTUITION:

- Merge red nodes into their black parents.





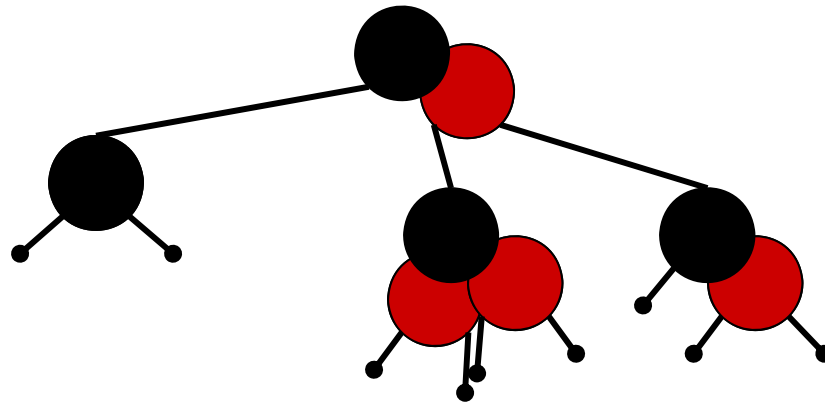
Height of a red-black tree

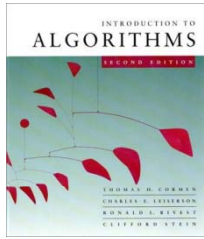
Theorem. A red-black tree with n keys has height
 $h \leq 2 \log(n + 1)$.

Proof. (The book uses induction. Read carefully.)

INTUITION:

- Merge red nodes into their black parents.





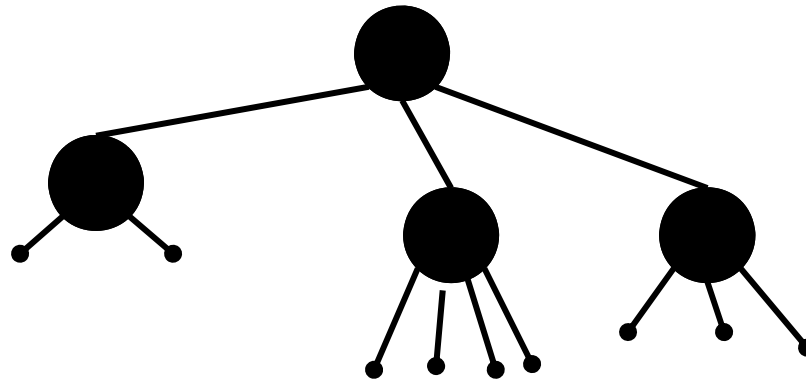
Height of a red-black tree

Theorem. A red-black tree with n keys has height
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INTUITION:

- Merge red nodes into their black parents.





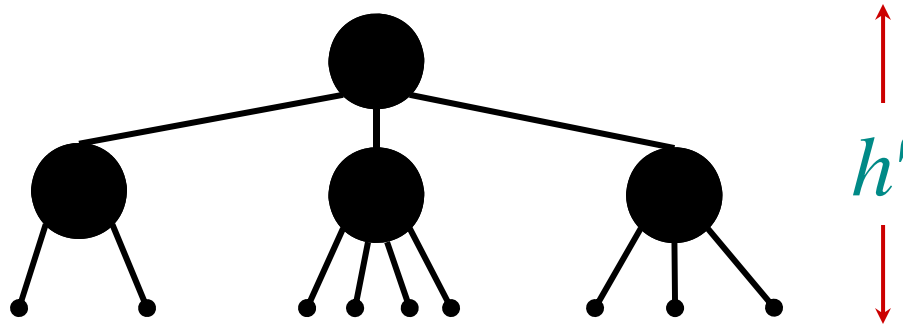
Height of a red-black tree

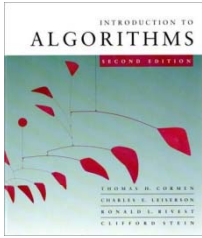
Theorem. A red-black tree with n keys has height
$$h \leq 2 \log(n + 1).$$

Proof. (The book uses induction. Read carefully.)

INTUITION:

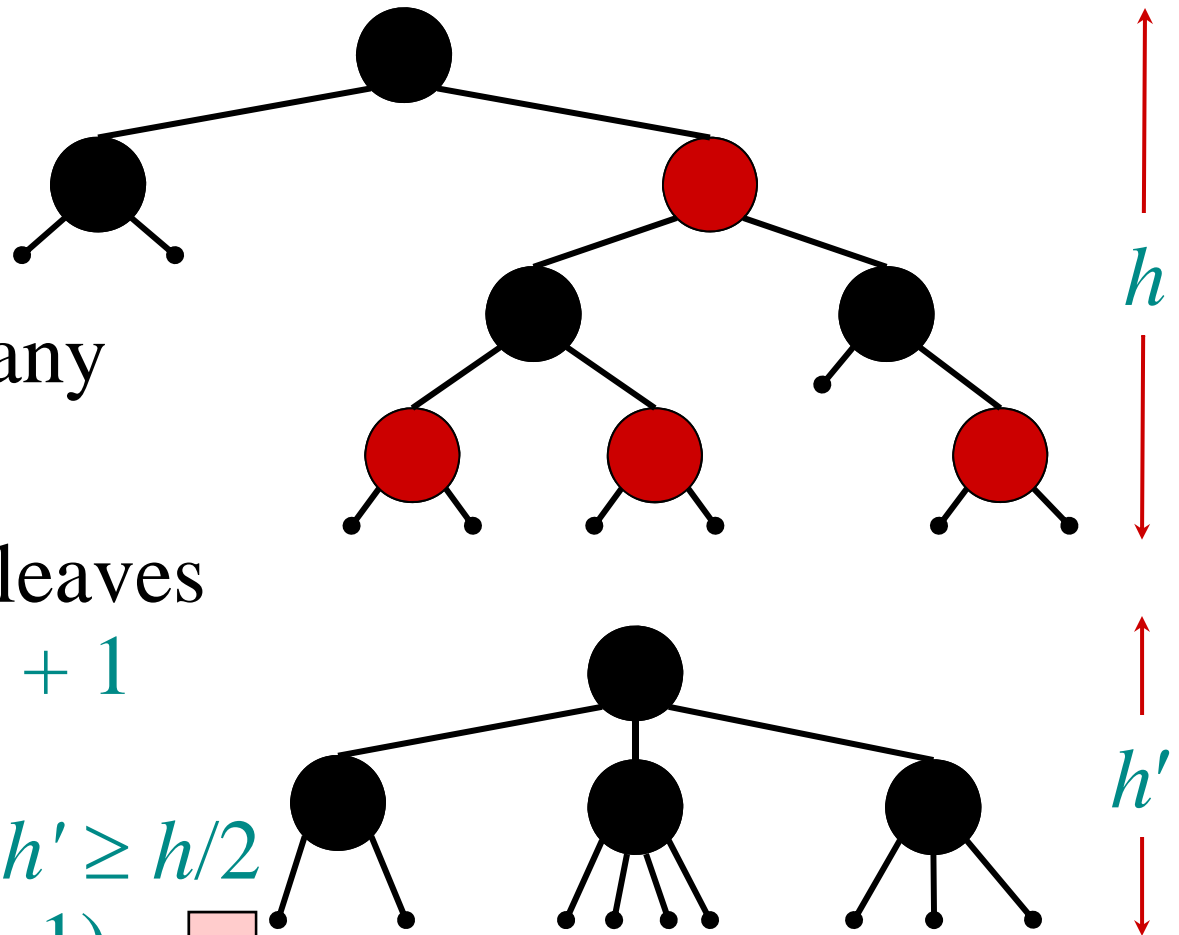
- Merge red nodes into their black parents.
- This process produces a tree in which each node has 2, 3, or 4 children.
- The 2-3-4 tree has uniform depth h' of leaves.

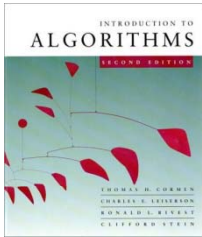




Proof (continued)

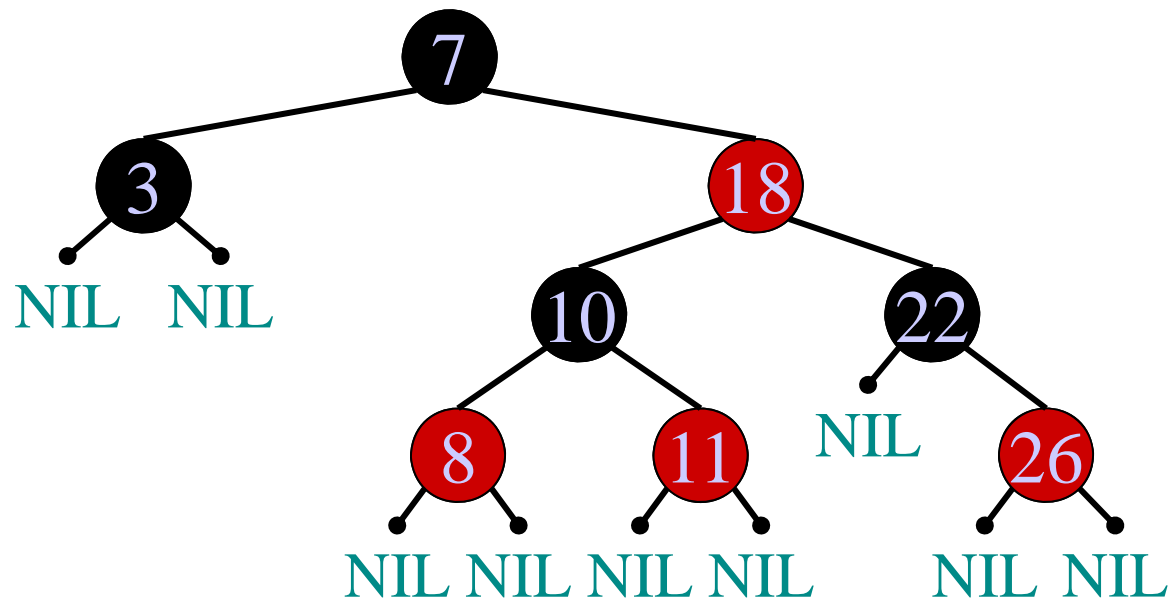
- We have $h' \geq h/2$, since at most half the vertices on any path are red.
- The number of leaves in each tree is $n + 1$
 - $\Rightarrow n + 1 \geq 2^{h'}$
 - $\Rightarrow \log(n + 1) \geq h' \geq h/2$
 - $\Rightarrow h \leq 2 \log(n + 1)$. □





Query operations

Corollary. The queries SEARCH, MIN, MAX, SUCCESSOR, and PREDECESSOR all run in $O(\log n)$ time on a red-black tree with n nodes.





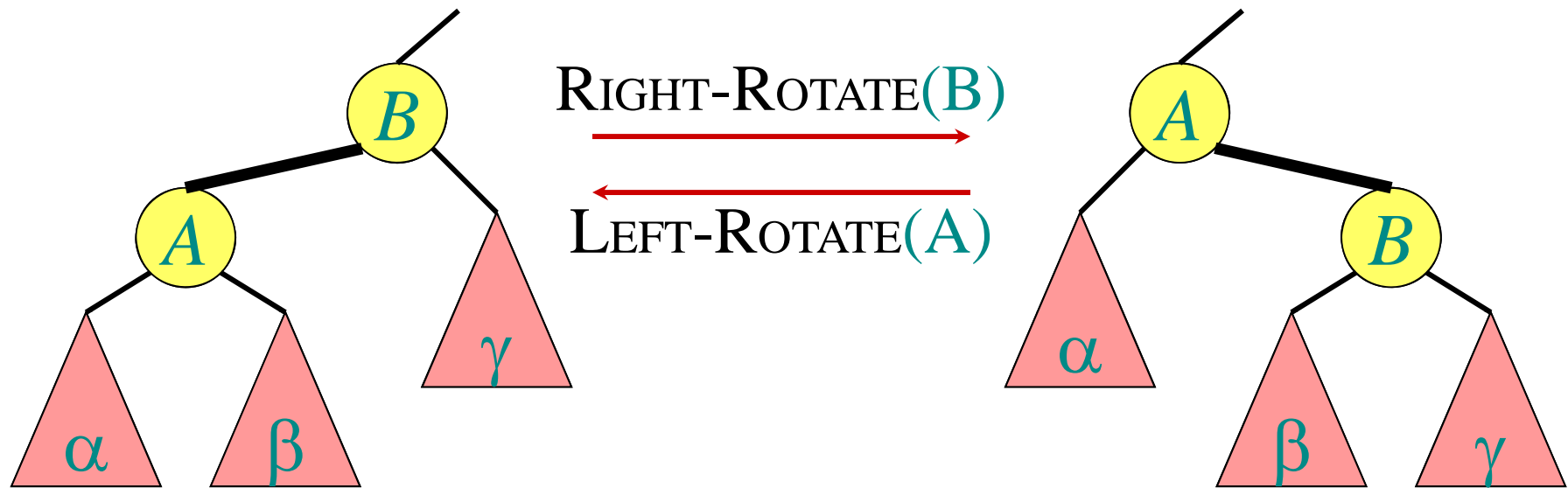
Modifying operations

The operations INSERT and DELETE cause modifications to the red-black tree:

1. the operation itself,
2. color changes,
3. restructuring the links of the tree via “*rotations*”.



Rotations



- Rotations maintain the inorder ordering of keys:
 $a \in \alpha, b \in \beta, c \in \gamma \Rightarrow a \leq A \leq b \leq B \leq c.$
- Rotations maintain the binary search tree property
- A rotation can be performed in $O(1)$ time.



Red-black trees

This data structure requires an extra one-bit **color** field in each node.

Red-black properties:

1. Every node is either red or black.
2. The root is black.
3. The leaves (**NIL**'s) are black.
4. If a node is red, then both its children are black.
5. All simple paths from any node x , excluding x , to a descendant leaf have the same number of black nodes = **black-height**(x).

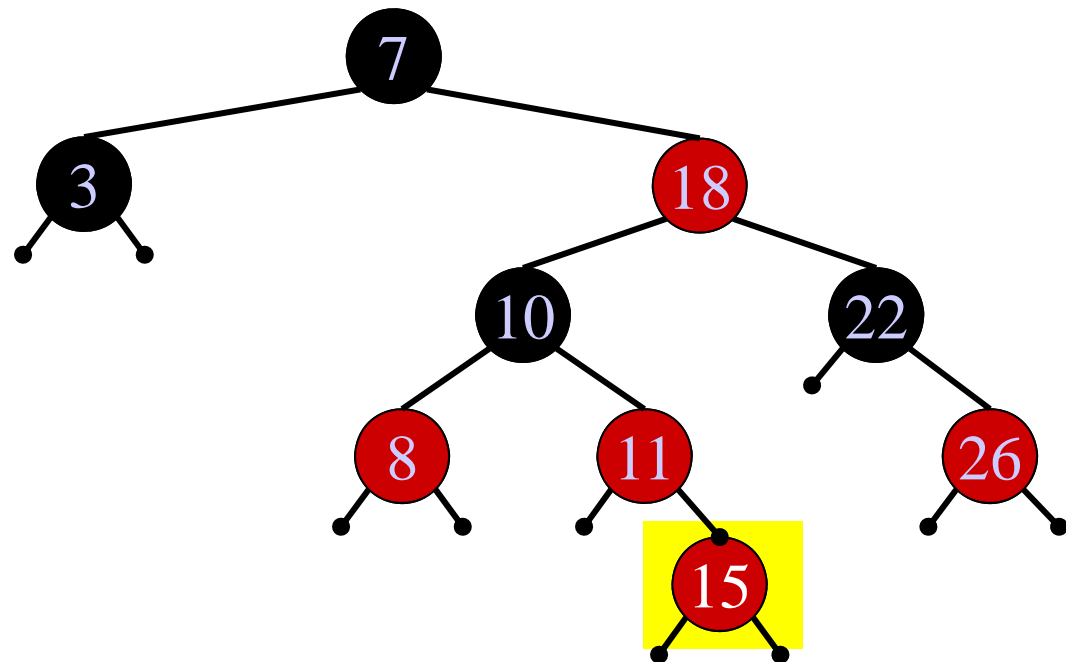


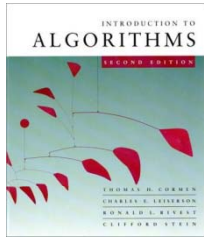
Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.



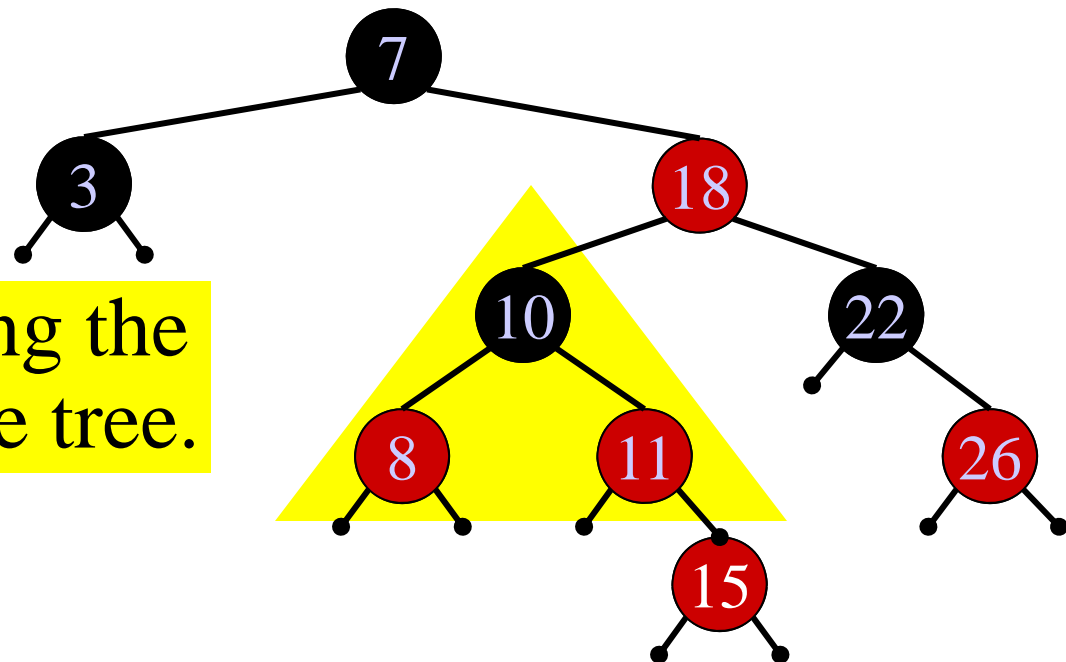


Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.



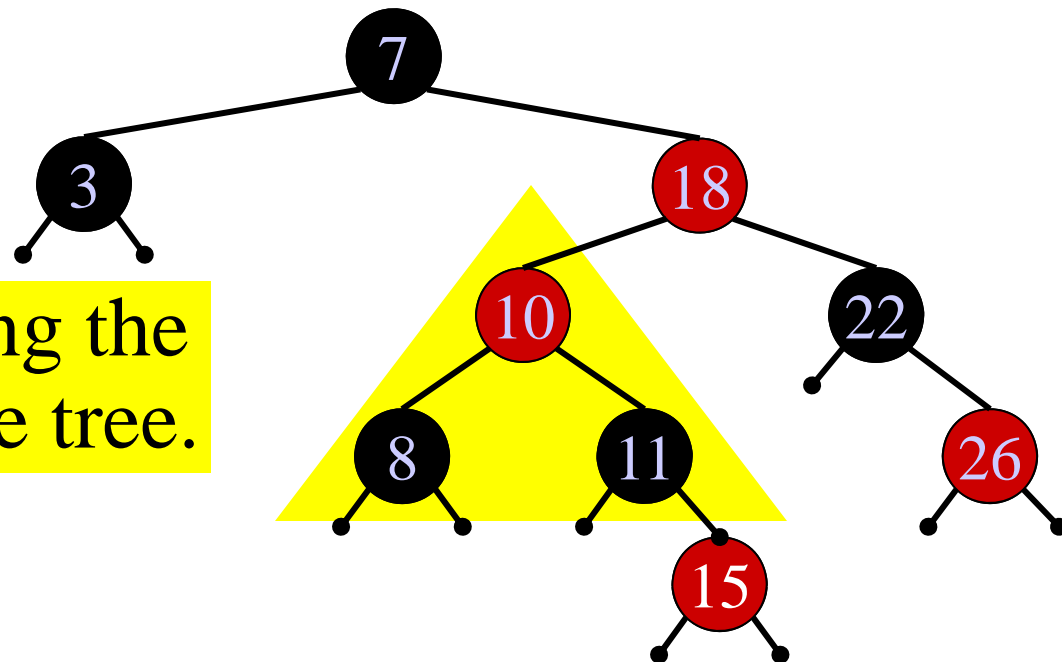


Insertion into a red-black tree

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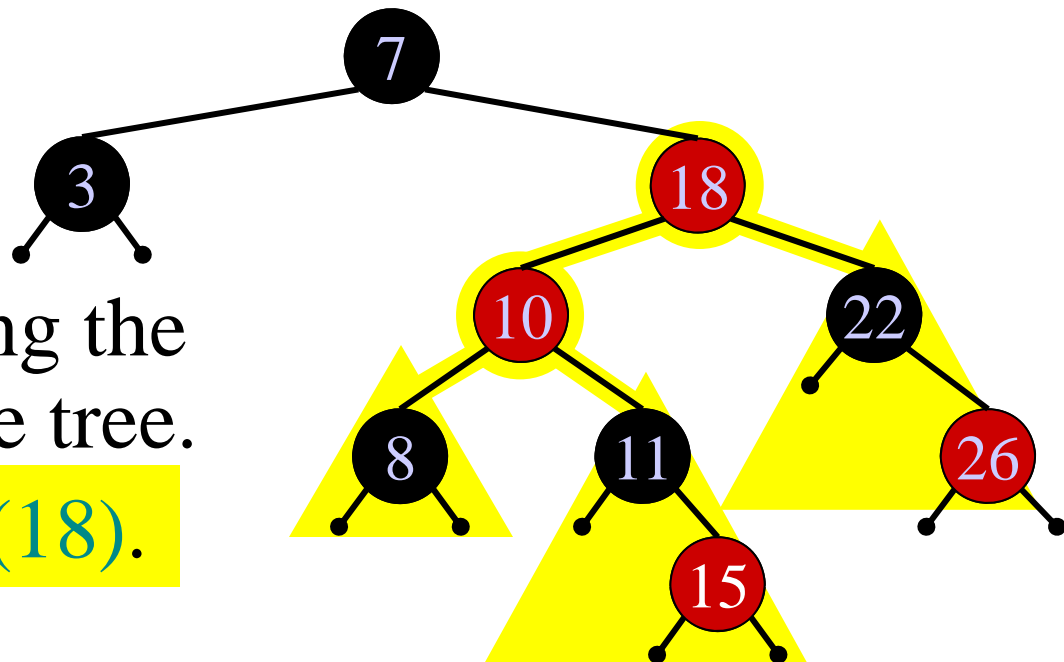


Insertion into a red-black tree

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Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- **RIGHT-ROTATE(18).**



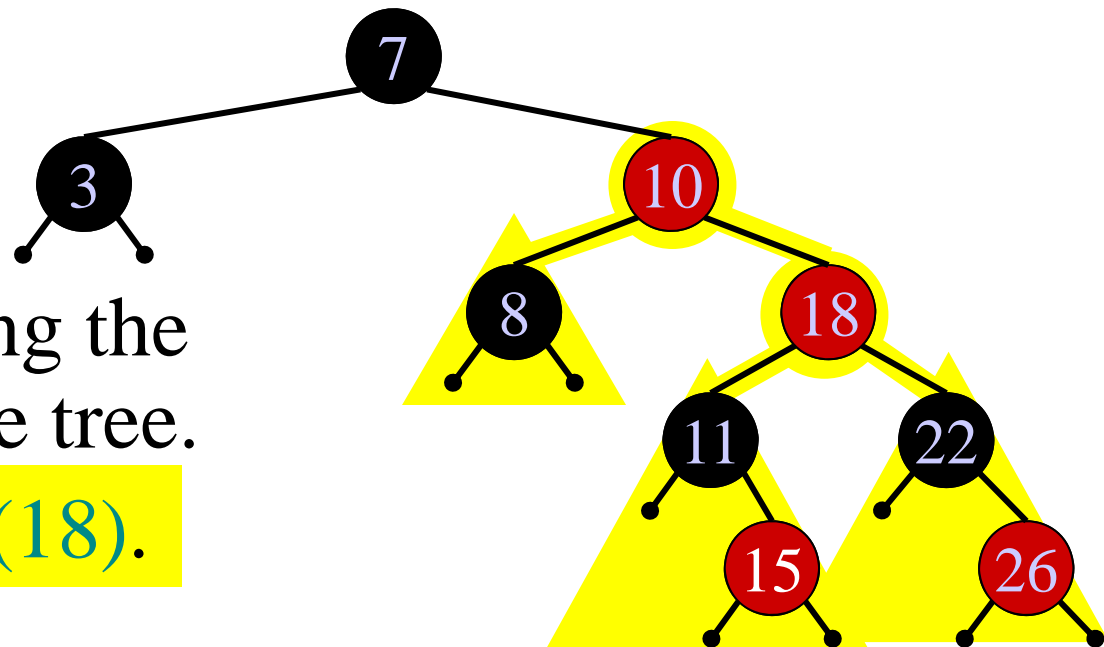


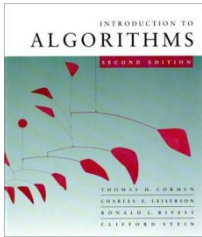
Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- **RIGHT-ROTATE(18).**



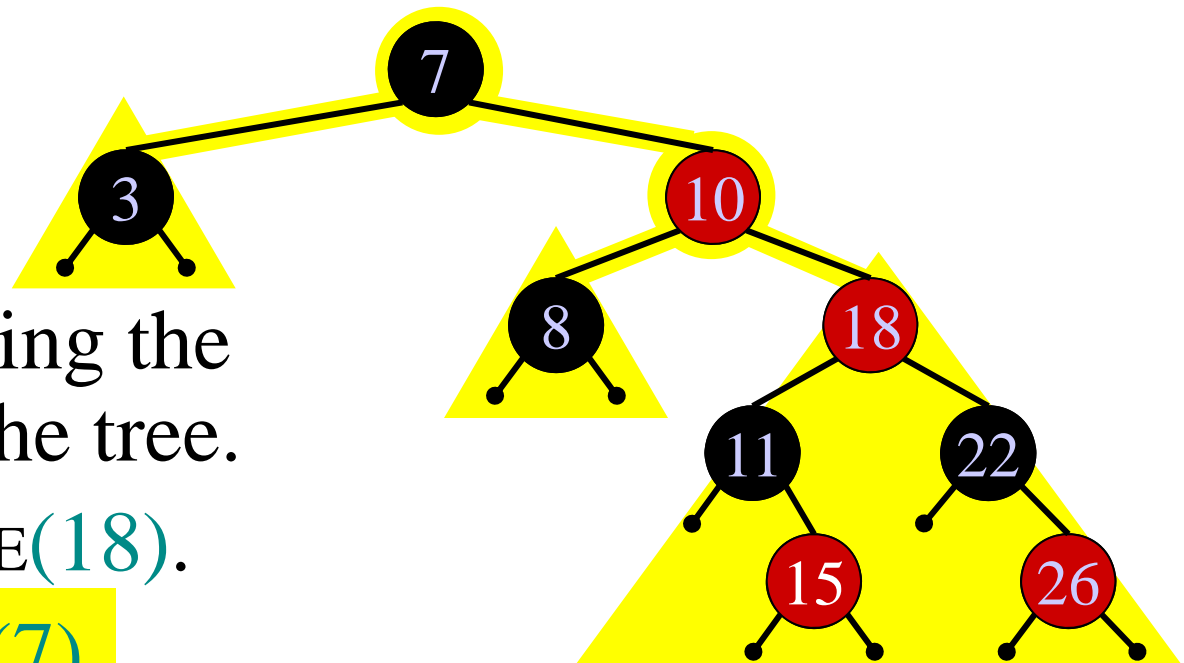


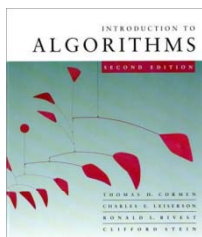
Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).
- LEFT-ROTATE(7)



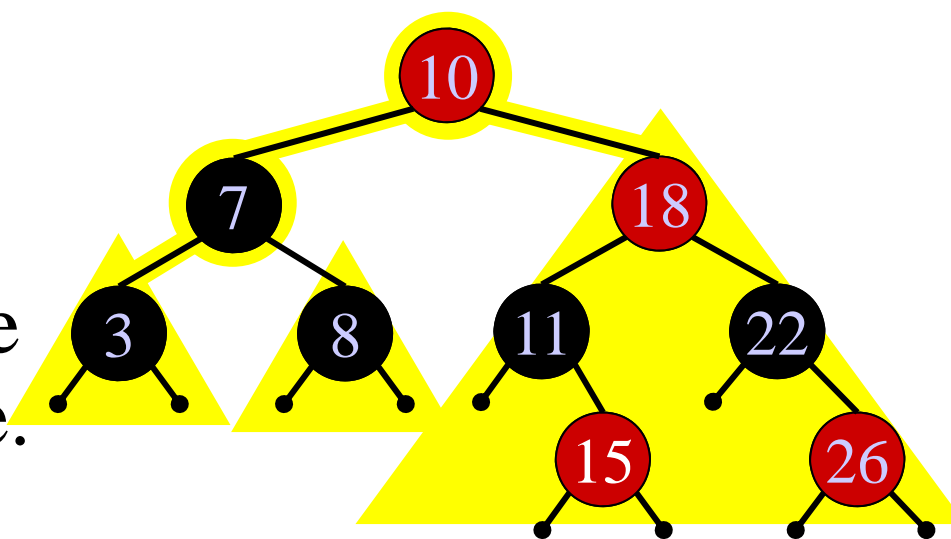


Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).
- LEFT-ROTATE(7)



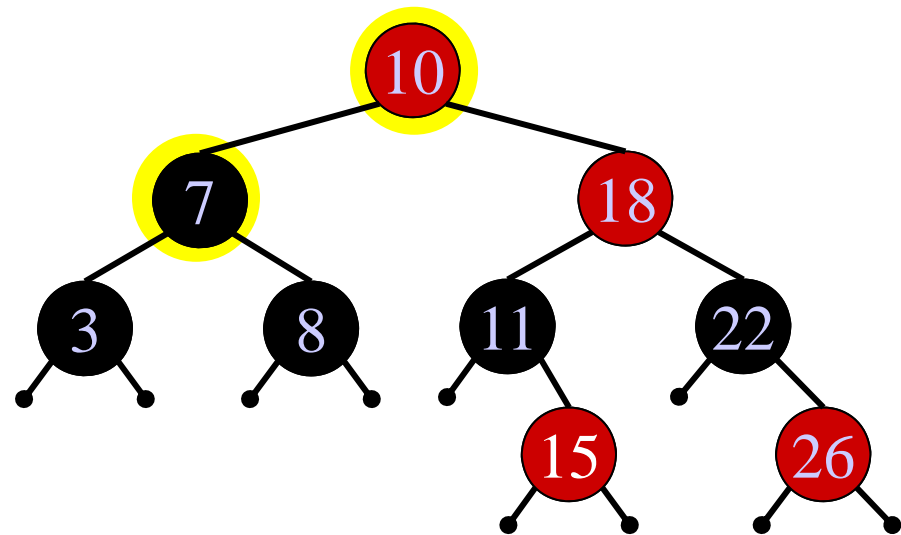


Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).
- LEFT-ROTATE(7) and recolor.



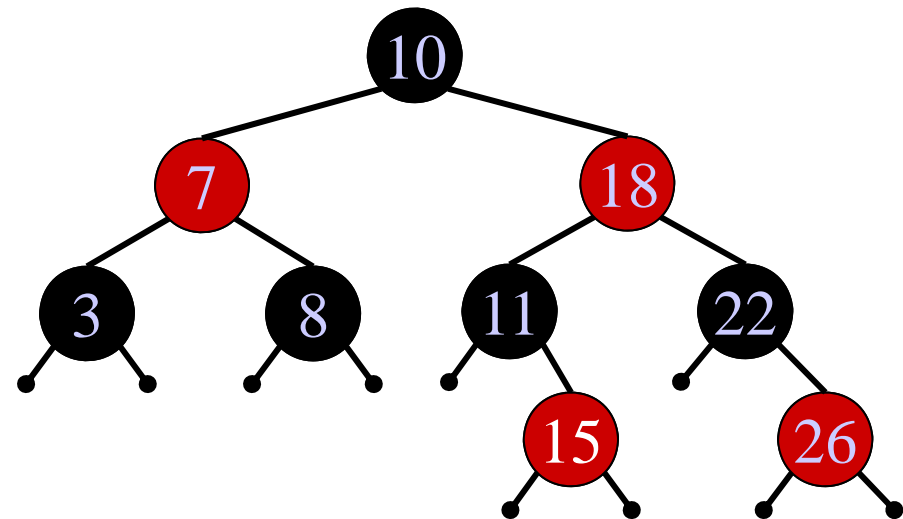


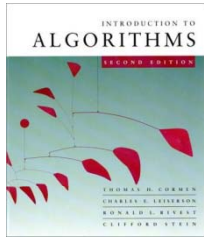
Insertion into a red-black tree

IDEA: Insert x in tree. Color x red. Only red-black property 4 might be violated. Move the violation up the tree by recoloring until it can be fixed with rotations and recoloring.

Example:

- Insert $x = 15$.
- Recolor, moving the violation up the tree.
- RIGHT-ROTATE(18).
- LEFT-ROTATE(7) and recolor.





Pseudocode

RB-INSERT(T, x)

 TREE-INSERT(T, x)

$color[x] \leftarrow \text{RED}$ ▷ only RB property 4 can be violated

while $x \neq root[T]$ and $color[p[x]] = \text{RED}$

do if $p[x] = left[p[p[x]]]$

then $y \leftarrow right[p[p[x]]]$ ▷ $y = \text{aunt/uncle of } x$

if $color[y] = \text{RED}$

then **⟨Case 1⟩**

else if $x = right[p[x]]$

then **⟨Case 2⟩** ▷ Case 2 falls into Case 3

⟨Case 3⟩

else **⟨“then” clause with “left” and “right” swapped⟩**

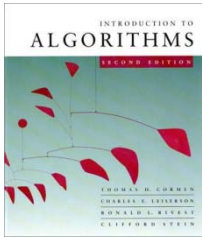
$color[root[T]] \leftarrow \text{BLACK}$



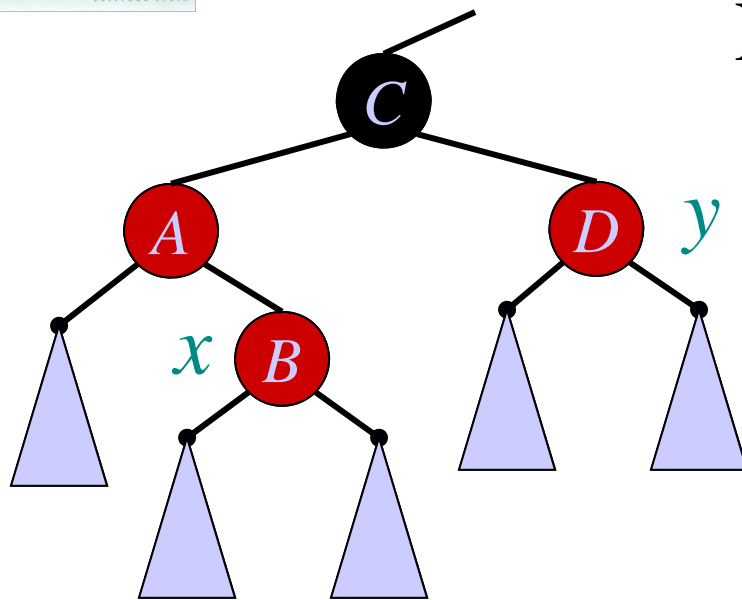
Graphical notation

Let \blacktriangle denote a subtree with a black root.

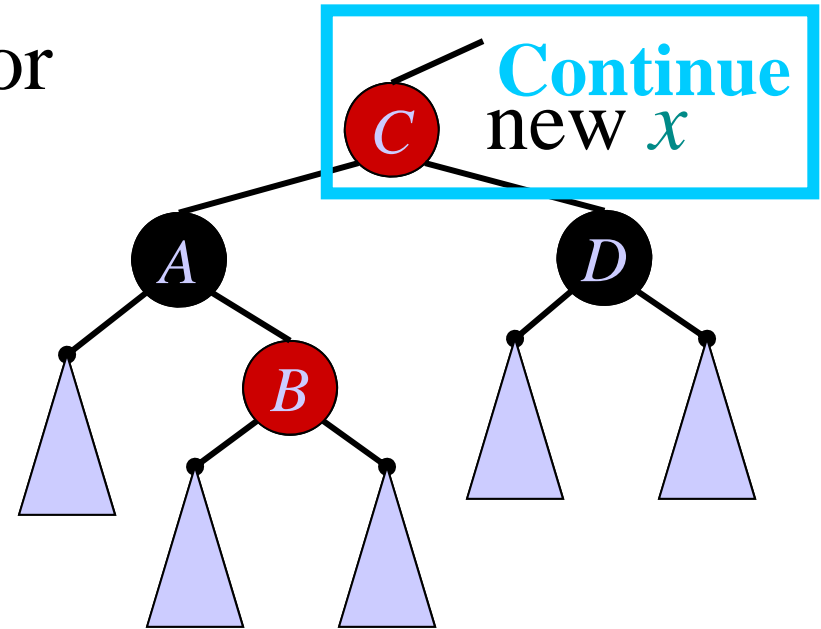
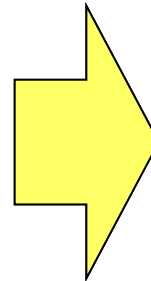
All \blacktriangle 's have the same black-height.



Case 1



Recolor



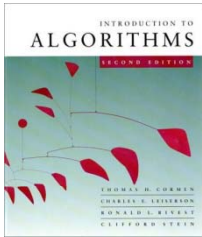
(Or, A 's children are swapped.)

$p[x] = \text{left}[p[p[x]]]$

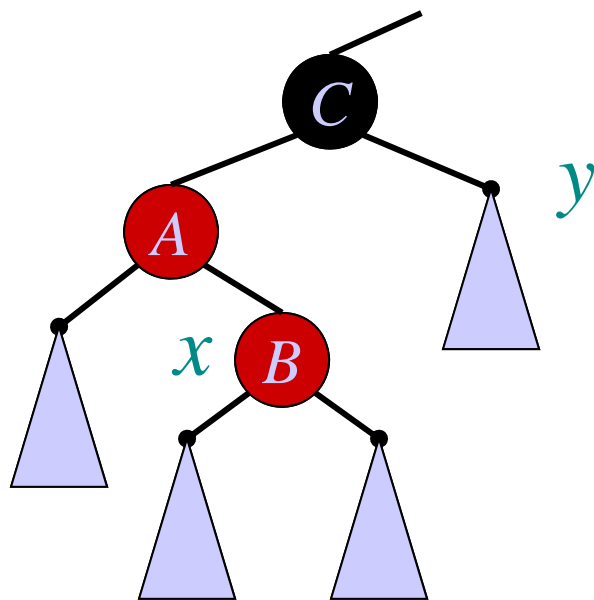
$y \leftarrow \text{right}[p[p[x]]]$

$\text{color}[y] = \text{RED}$

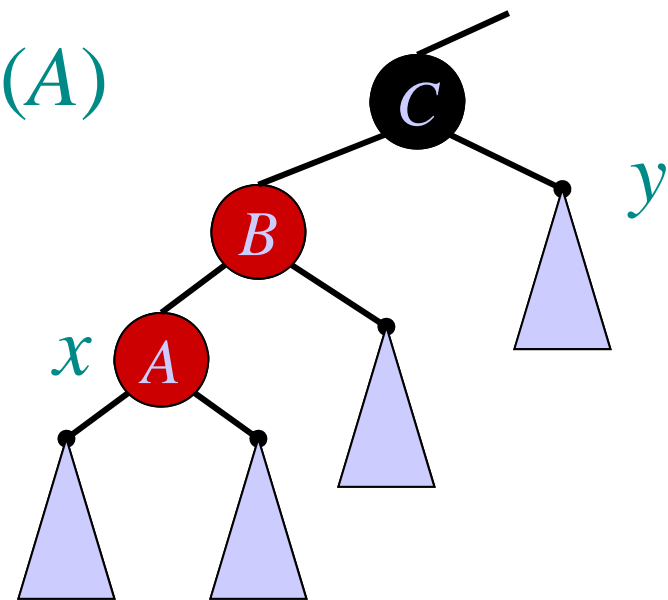
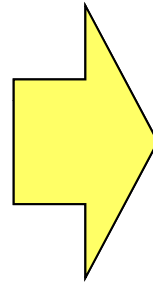
Push C 's black onto A and D , and recurse, since C 's parent may be red.



Case 2

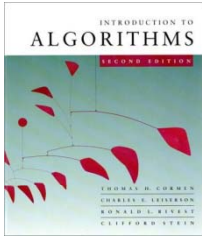


LEFT-ROTATE(*A*)

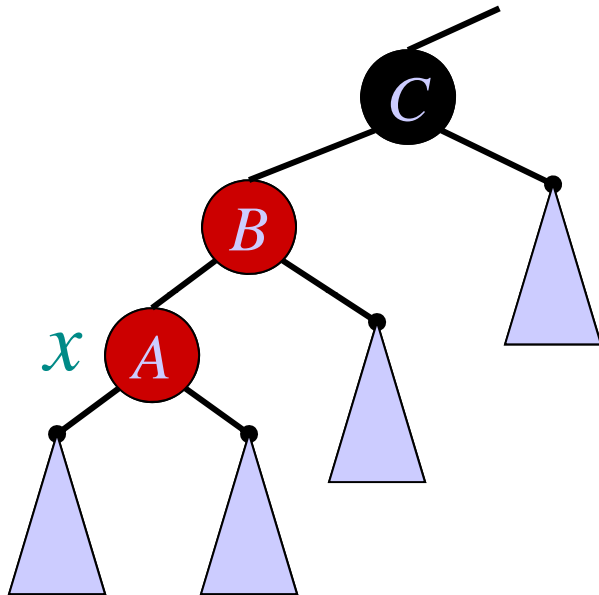


$p[x] = \text{left}[p[p[x]]]$
 $y \leftarrow \text{right}[p[p[x]]]$
 $\text{color}[y] = \text{BLACK}$
 $x = \text{right}[p[x]]$

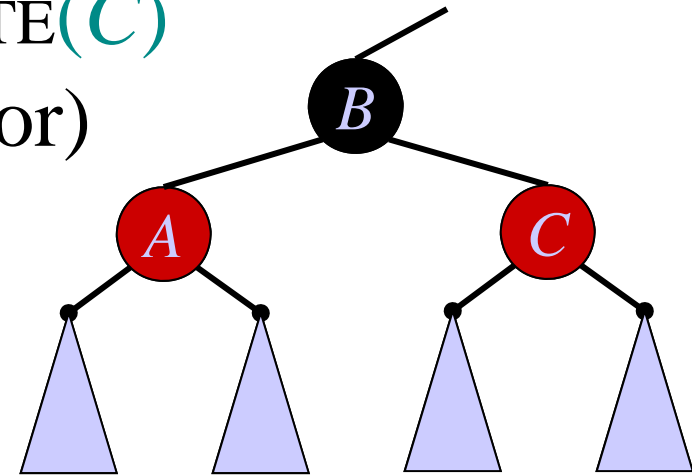
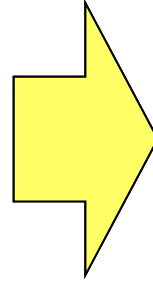
Transform to Case 3.



Case 3

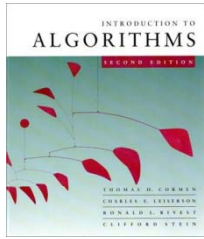


RIGHT-ROTATE(*C*)
y (and recolor)



$p[x] = \text{left}[p[p[x]]]$
 $y \leftarrow \text{right}[p[p[x]]]$
 $\text{color}[y] = \text{BLACK}$
 $x = \text{left}[p[x]]$

Done! No more violations of RB property 4 are possible.



Analysis

- Go up the tree performing Case 1, which only recolors nodes.
- If Case 2 or Case 3 occurs, perform 1 or 2 rotations, and terminate.

Running time: $O(\log n)$ with $O(1)$ rotations.

RB-DELETE — same asymptotic running time and number of rotations as RB-INSERT (see textbook).



Pseudocode (part II)

else **<“then” clause with “left” and “right” swapped>**

▷ $p[x] = \text{right}[p[p[x]]]$

then $y \leftarrow \text{left}[p[p[x]]]$

▷ $y = \text{aunt/uncle of } x$

if $\text{color}[y] = \text{RED}$

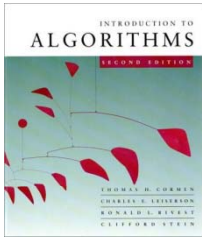
then **<Case 1’>**

else if $x = \text{left}[p[x]]$

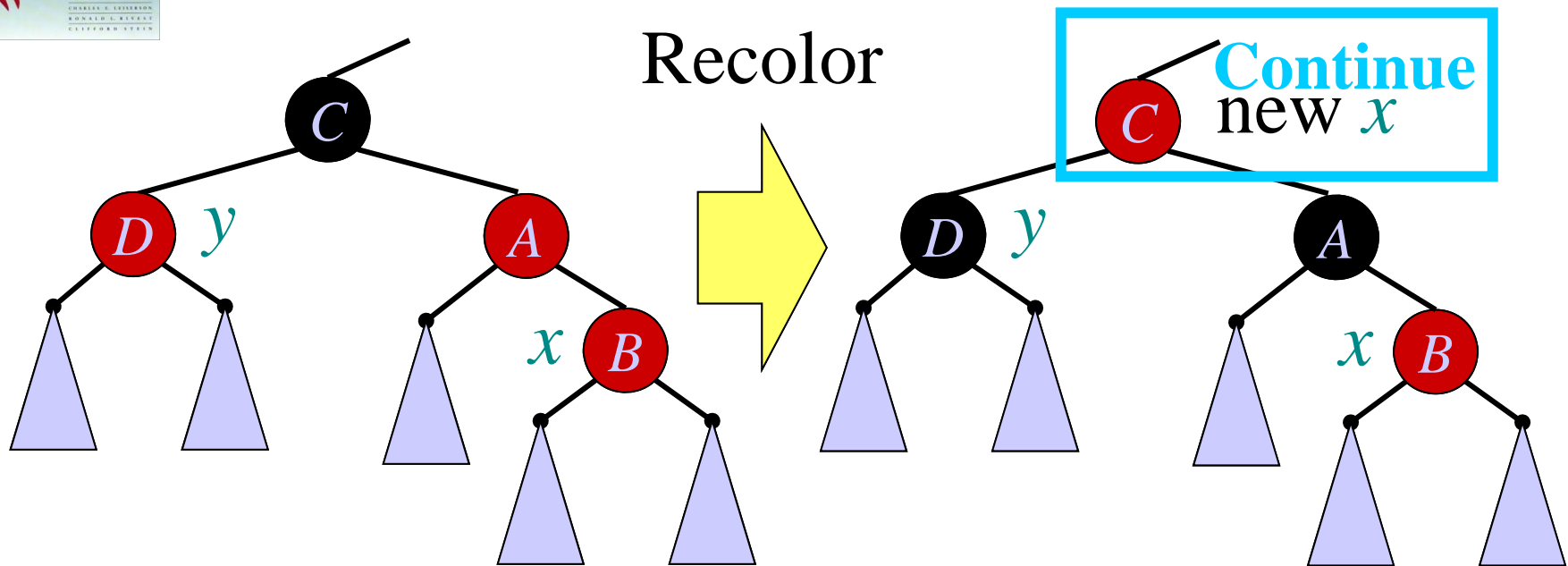
then **<Case 2’>** ▷ Case 2’ falls into Case 3’

<Case 3’>

$\text{color}[\text{root}[T]] \leftarrow \text{BLACK}$



Case 1'



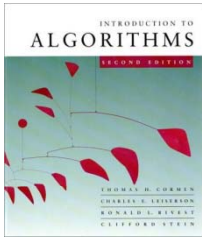
(Or, A 's children are swapped.)

$p[x] = \text{right}[p[p[x]]]$

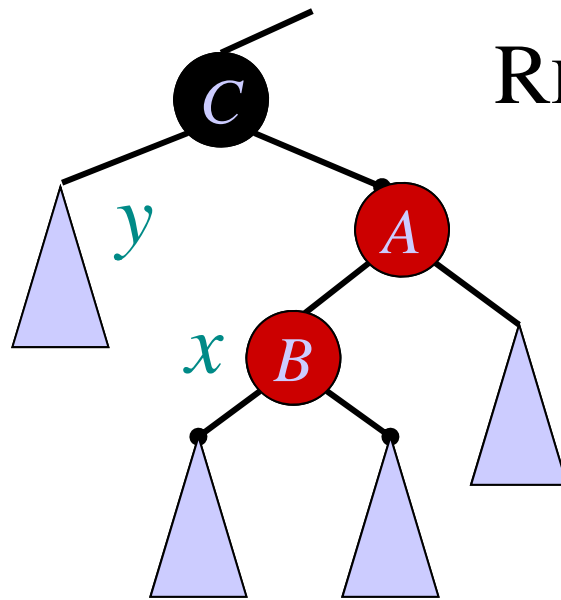
$y \leftarrow \text{left}[p[p[x]]]$

$\text{color}[y] = \text{RED}$

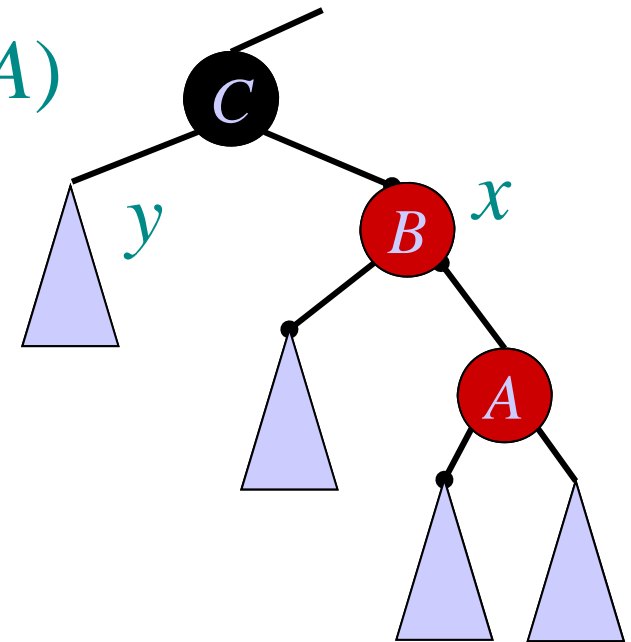
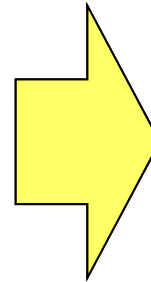
Push C 's black onto A and D , and recurse, since C 's parent may be red.



Case 2'



RIGHT-ROTATE(A)



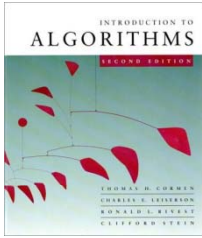
$p[x] = \text{right}[p[p[x]]]$

$y \leftarrow \text{left}[p[p[x]]]$

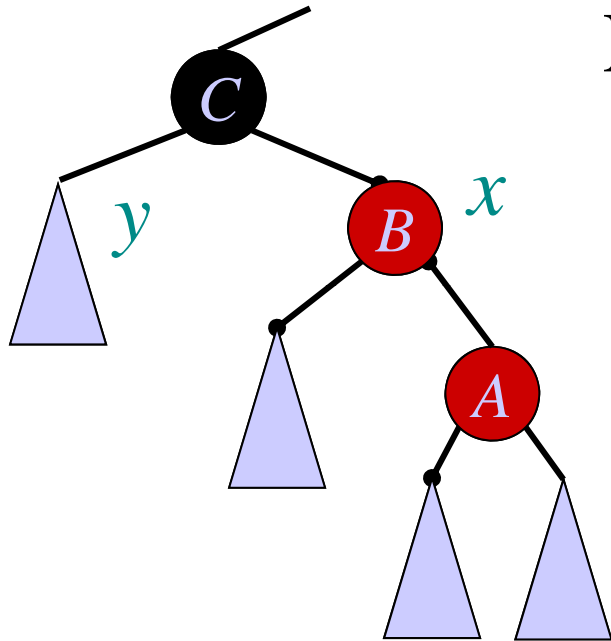
$\text{color}[y] = \text{BLACK}$

$x = \text{left}[p[x]]$

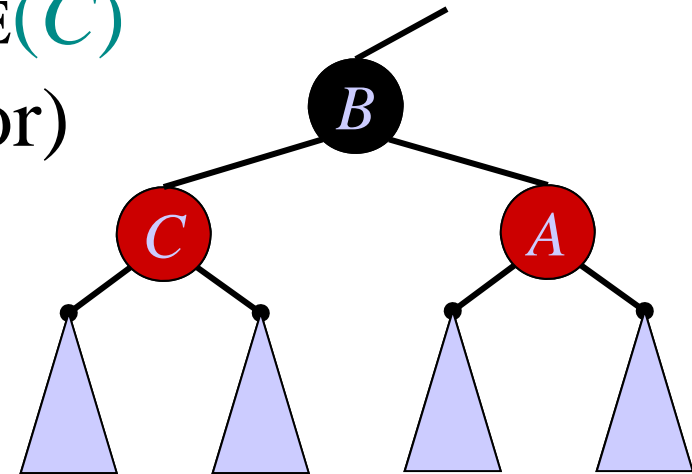
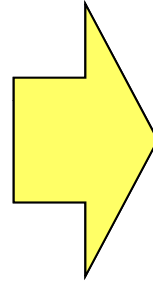
Transform to Case 3'.



Case 3'



LEFT-ROTATE(*C*)
(and recolor)



$p[x] = \text{right}[p[p[x]]]$

$y \leftarrow \text{left}[p[p[x]]]$

$\text{color}[y] = \text{BLACK}$

$x = \text{right}[p[x]]$

Done! No more violations of RB property 4 are possible.