3.1 Symbol Tables



- ► API
- sequential search
- binary search
- ordered operations

Symbol tables

Key-value pair abstraction.

- Insert a value with specified key.
- Given a key, search for the corresponding value.

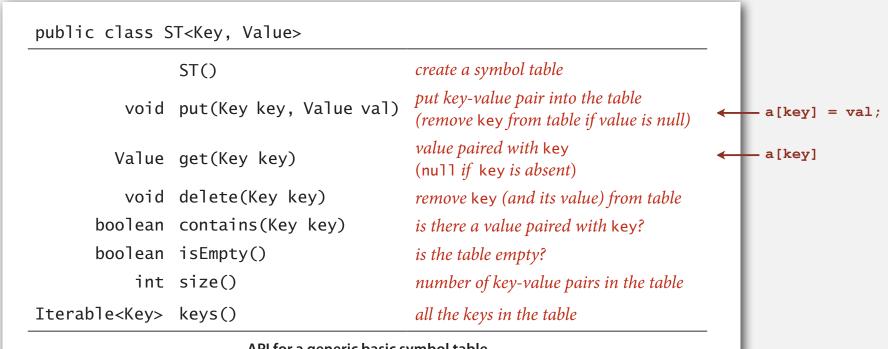
Ex. DNS lookup.

- Insert URL with specified IP address.
- Given URL, find corresponding IP address.

URL	IP address
www.cs.princeton.edu	128.112.136.11
www.princeton.edu	128.112.128.15
www.yale.edu	130.132.143.21
www.harvard.edu	128.103.060.55
www.simpsons.com	209.052.165.60
↑ key	↑ value

application	purpose of search	key	value	
dictionary	find definition	word	definition	
book index	find relevant pages	term	list of page numbers	
file share	find song to download	name of song	computer ID	
financial account	process transactions	account number	transaction details	
web search	find relevant web pages	keyword	list of page names	
compiler	find properties of variables	variable name	type and value	
routing table	route Internet packets	destination	best route	
DNS	find IP address given URL	URL	IP address	
reverse DNS	find URL given IP address	IP address	URL	
genomics	find markers	DNA string	known positions	
file system	find file on disk	filename	location on disk	

Associative array abstraction. Associate one value with each key.



API for a generic basic symbol table

Conventions

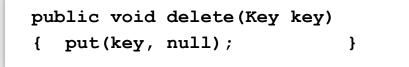
- Values are not null.
- Method get() returns null if key not present.
- Method put () overwrites old value with new value.

Intended consequences.

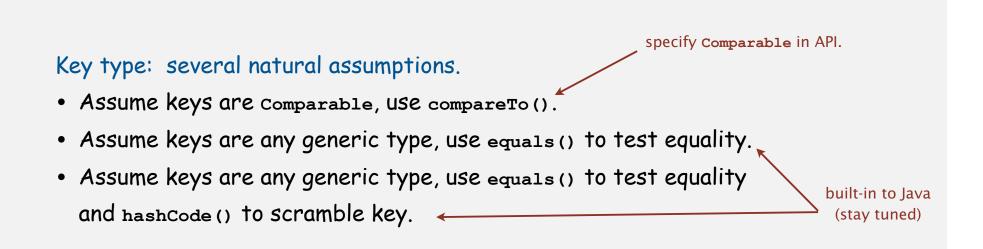
• Easy to implement contains().

```
public boolean contains(Key key)
{ return get(key) != null; }
```

• Can implement lazy version of delete().



Value type. Any generic type.



Best practices. Use immutable types for symbol table keys.

- Immutable in Java: string, Integer, Double, File, ...
- Mutable in Java: Date, StringBuilder, Url, ...

Equality test

All Java classes inherit a method equals ().

Java requirements. For any references x, y and z:

- Reflexive: x.equals(x) is true.
- Symmetric: x.equals(y) iff y.equals(x).
- Transitive: if x.equals(y) and y.equals(z), then x.equals(z).
- Non-null: x.equals(null) iS false.

Default implementation. (x == y) Customized implementations. Integer, Double, String, File, URL, Date, ... User-defined implementations. Some care needed.

do **x** and **y** refer to the same object?

equivalence

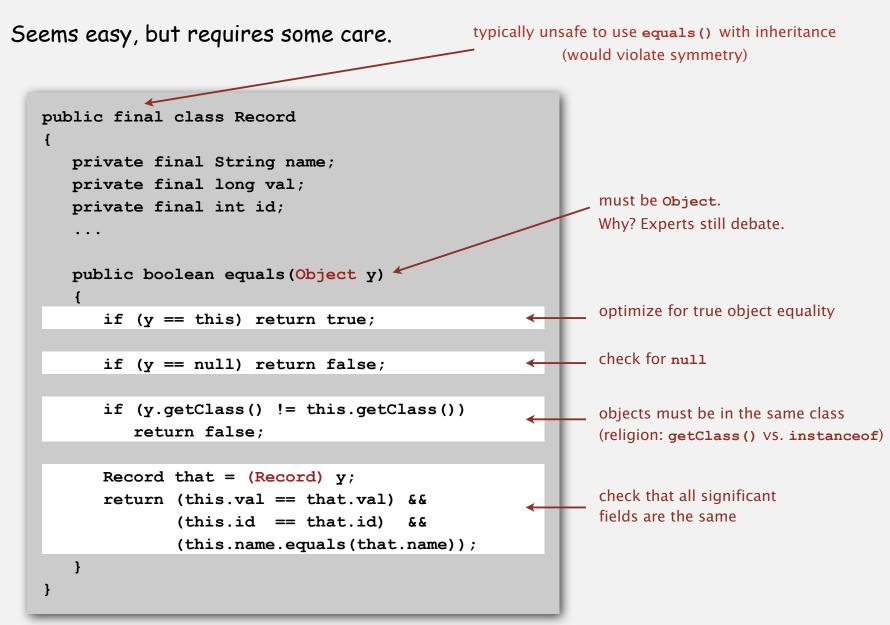
relation

Implementing equals for user-defined types

Seems easy.

```
public
              class Record
{
   private final String name;
   private final long val;
   private final int id;
   . . .
   public boolean equals(Record y)
   {
      Record that =
                               y;
                                                           check that all significant
      return (this.val == that.val) &&
                                                           fields are the same
              (this.id == that.id) &&
              (this.name.equals(that.name));
   }
}
```

Implementing equals for user-defined types



Equals design

"Standard" recipe for user-defined types.

- Optimization for reference equality.
- Check against null.
- Check that two objects are of the same type and cast.

apply rule recursively

Of USE Arrays.deepEquals()

- Compare each significant field:
 - if field is a primitive type, use ==
 - if field is an object, use equals()
 - if field is a primitive array, apply to each element

Best practices.

- Compare fields mostly likely to differ first.
- No need to use calculated fields that depend on other fields.

ST test client for traces

Build ST by associating value i with i^{th} string from standard input.

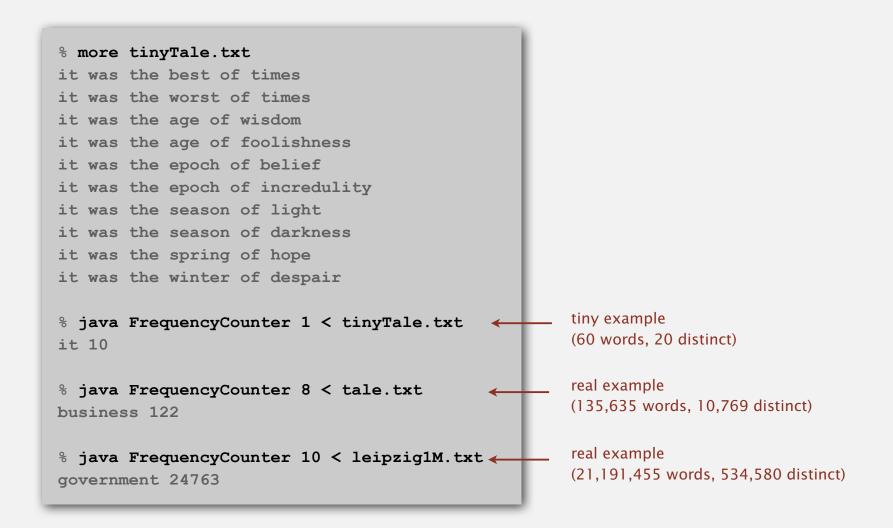
```
public static void main(String[] args)
{
    ST<String, Integer> st = new ST<String, Integer>();
    for (int i = 0; !StdIn.isEmpty(); i++)
    {
        String key = StdIn.readString();
        st.put(key, i);
    }
    for (String s : st.keys())
        StdOut.println(s + " " + st.get(s));
}
```





ST test client for analysis

Frequency counter. Read a sequence of strings from standard input and print out one that occurs with highest frequency.



Frequency counter implementation

```
public class FrequencyCounter
{
   public static void main(String[] args)
      int minlen = Integer.parseInt(args[0]);
                                                                            create ST
      ST<String, Integer> st = new ST<String, Integer>();
      while (!StdIn.isEmpty())
       ł
                                                     ignore short strings
          String word = StdIn.readString();
                                                                            read string and
          if (word.length() < minlen) continue;</pre>
                                                                            update frequency
          if (!st.contains(word)) st.put(word, 1);
                                    st.put(word, st.get(word) + 1);
          else
       }
      String max = "";
      st.put(max, 0);
                                                                            print a string
                                                                            with max freq
      for (String word : st.keys())
          if (st.get(word) > st.get(max))
             max = word;
      StdOut.println(max + " " + st.get(max));
}
```

► API

sequential search

binary search

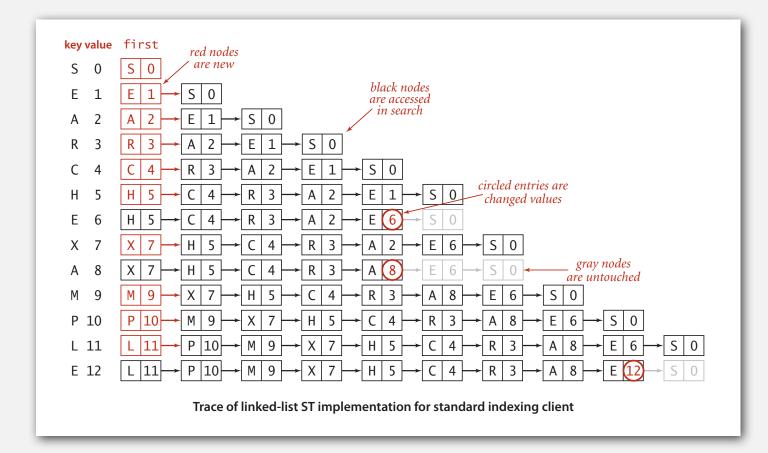
ordered operations

Sequential search in a linked list

Data structure. Maintain an (unordered) linked list of key-value pairs.

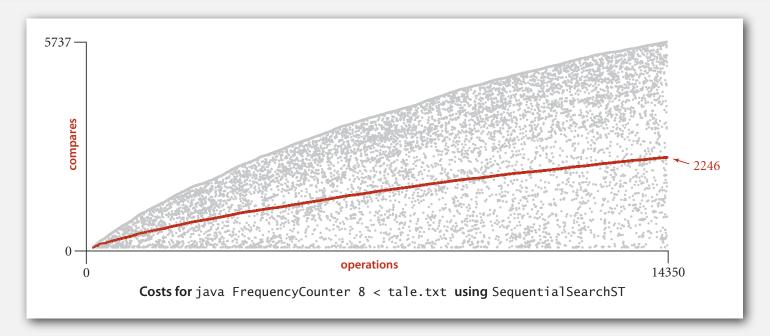
Search. Scan through all keys until find a match.

Insert. Scan through all keys until find a match; if no match add to front.



Elementary ST implementations: summary

ST implementation	worst	case	average case		ordered	operations
51 implementation	search	insert	search hit	insert	iteration?	on keys
sequential search (unordered list)	Ν	Ν	N / 2	Ν	no	equals()



Challenge. Efficient implementations of both search and insert.

► API

sequential search

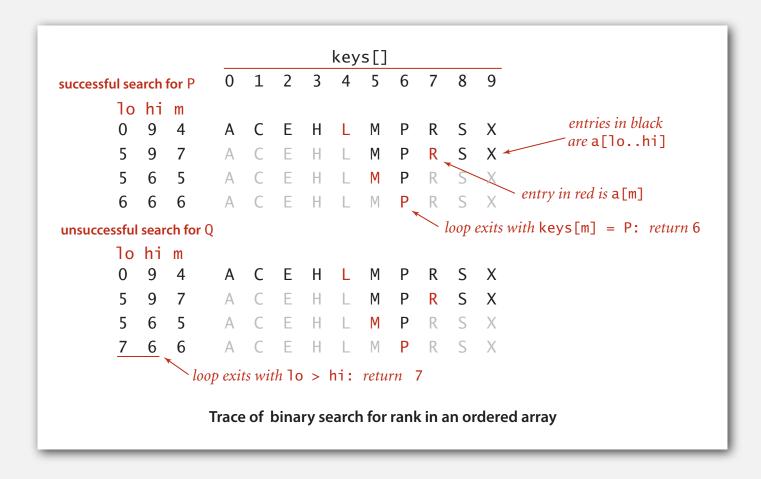
binary search

ordered symbol table ops

Binary search

Data structure. Maintain an ordered array of key-value pairs.

Rank helper function. How many keys < k?



Binary search: Java implementation

```
public Value get(Key key)
{
    if (isEmpty()) return null;
    int i = rank(key);
    if (i < N && keys[i].compareTo(key) == 0) return vals[i];
    else return null;
}</pre>
```

```
private int rank(Key key)
{
    int lo = 0, hi = N-1;
    while (lo <= hi)
    {
        int mid = lo + (hi - lo) / 2;
        int cmp = key.compareTo(keys[mid]);
        if (cmp < 0) hi = mid - 1;
        else if (cmp > 0) lo = mid + 1;
        else if (cmp == 0) return mid;
    }
    return lo;
}
```

Binary search: mathematical analysis

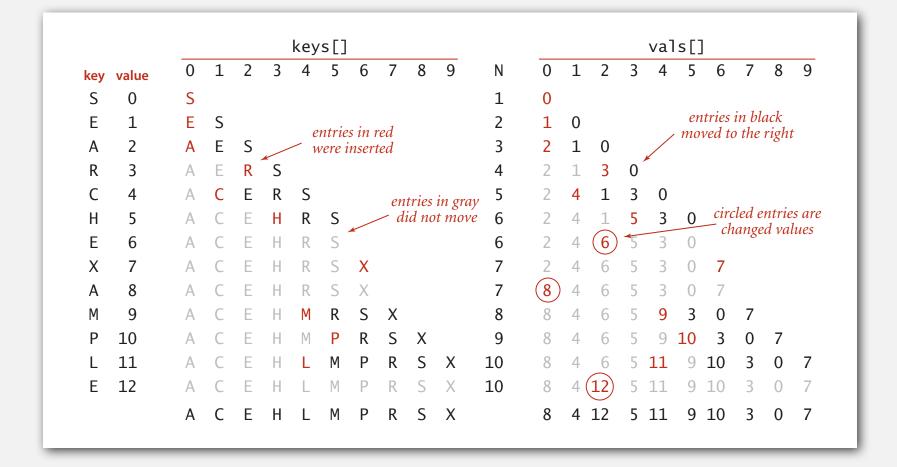
Proposition. Binary search uses $\sim \lg N$ compares to search any array of size N.

Pf. T(N) = number of compares to binary search in a sorted array of size N. $\leq T(\lfloor N/2 \rfloor) + 1$ f left or right half

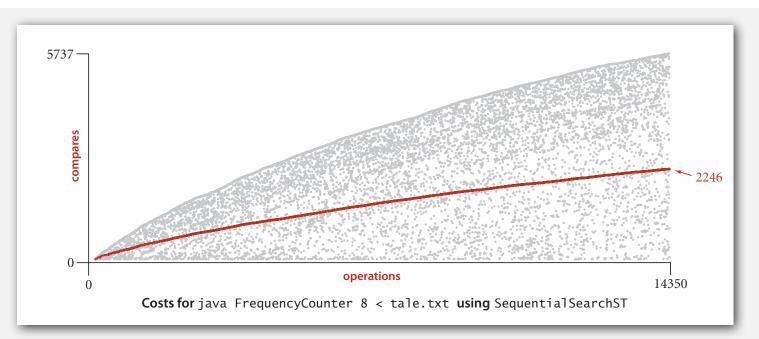
Recall lecture 2.

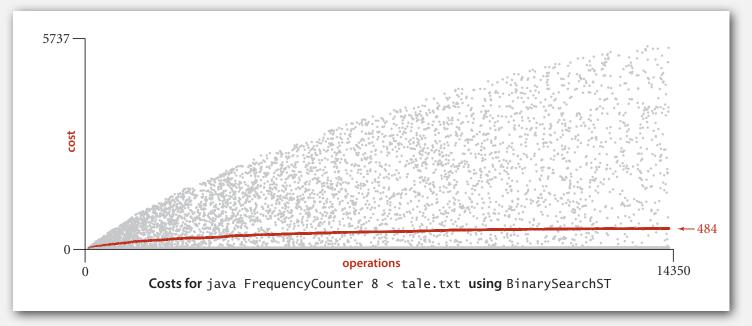
Binary search: trace of standard indexing client

Problem. To insert, need to shift all greater keys over.



Elementary ST implementations: frequency counter





Elementary ST implementations: summary

ST implementation	worst case		average case		ordered	operations	
ST implementation	search	insert	search hit	insert	iteration?	on keys	
sequential search (unordered list)	Ν	Ν	N / 2	Ν	no	equals()	
binary search (ordered array)	log N	Ν	log N	N / 2	yes	compareTo()	

Challenge. Efficient implementations of both search and insert.

API
sequential search
binary search

ordered operations

Ordered symbol table API

	keys	values
min()	09:00:00	
	09:00:00	Chicago Phoenix
	09:00:13	
get(09:00:13)		Chicago
	09:01:10	Houston
floor(09:05:00) →		Chicago
	09:10:11	
select(7)→		
	09:14:25	
	09:19:32	5
	09:19:46	Chicago
	09:21:05	5
	09:22:43	Seattle
	09:22:54	
	09:25:52	<u> </u>
$ceiling(09:30:00) \longrightarrow$	09:35:21	5
	09:36:14	
$max() \longrightarrow$	09:37:44	Phoenix
size(09:15:00, 09:25:00) is 5		
rank(09:10:25) is 7		
Examples of ordered symbo	I-table opera	tions

Ordered symbol table API

	ST()	create an ordered symbol table	
void	put(Key key, Value val)	put key-value pair into the table (remove key from table if value is null)	
Value	get(Key key)	value paired with key (null if key is absent)	
void	delete(Key key)	remove key (and its value) from table	
boolean	contains(Key key)	<i>is there a value paired with</i> key?	
boolean	isEmpty()	is the table empty?	
int	size()	number of key-value pairs	
Кеу	min()	smallest key	
Кеу	max()	largest key	
Кеу	floor(Key key)	largest key less than or equal to key	
Кеу	<pre>ceiling(Key key)</pre>	smallest key greater than or equal to key	
int	rank(Key key)	number of keys less than key	
Кеу	<pre>select(int k)</pre>	key of rank k	
void	deleteMin()	delete smallest key	
void	deleteMax()	delete largest key	
int	size(Key lo, Key hi)	number of keys in [lohi]	
Iterable <key></key>	keys(Key lo, Key hi)	keys in [lohi], in sorted order	
Iterable <key></key>	keys()	all keys in the table, in sorted order	

API for a generic ordered symbol table

Binary search: ordered symbol table operations summary

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

worst-case running time of ordered symbol table operations

3.2 Binary Search Trees



BSTs

- ordered operations
- deletion

Algorithms, 4th Edition · Robert Sedgewick and Kevin Wayne · Copyright © 2002–2010 · January 30, 2011 12:54:58 PM

Binary search trees

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

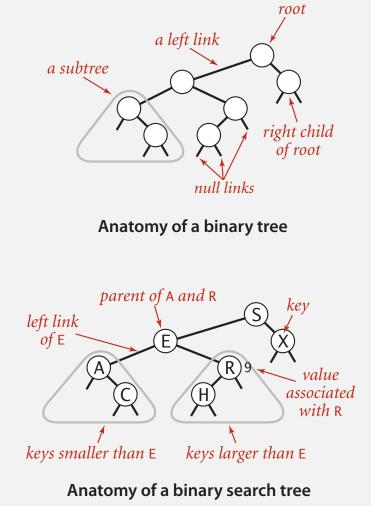
A binary tree is either:

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



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.



BST representation in Java

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

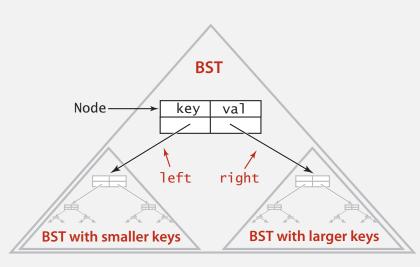
A Node is comprised of four fields:

- 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;
 }
}



Binary search tree

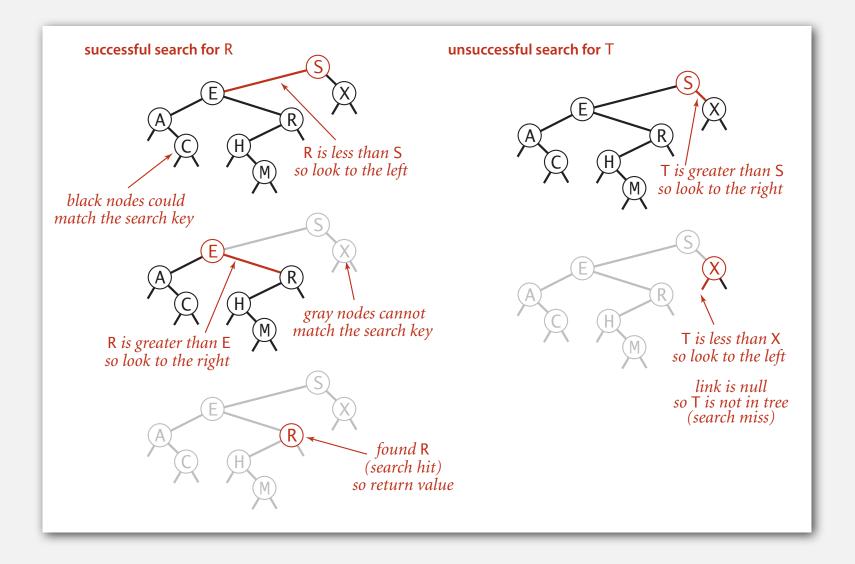
Key and Value are generic types; Key is Comparable

BST implementation (skeleton)

```
public class BST<Key extends Comparable<Key>, Value>
                                                            root of BST
   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 */ }
}
```

BST search

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



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;
}
```

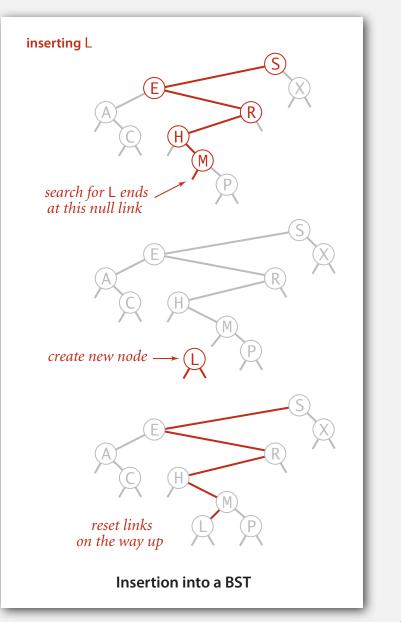
Cost. Number of compares is equal to depth of node.

BST insert

Put. Associate value with key.

Search for key, then two cases:

- Key in tree \Rightarrow reset value.
- Key not in tree \Rightarrow add new node.

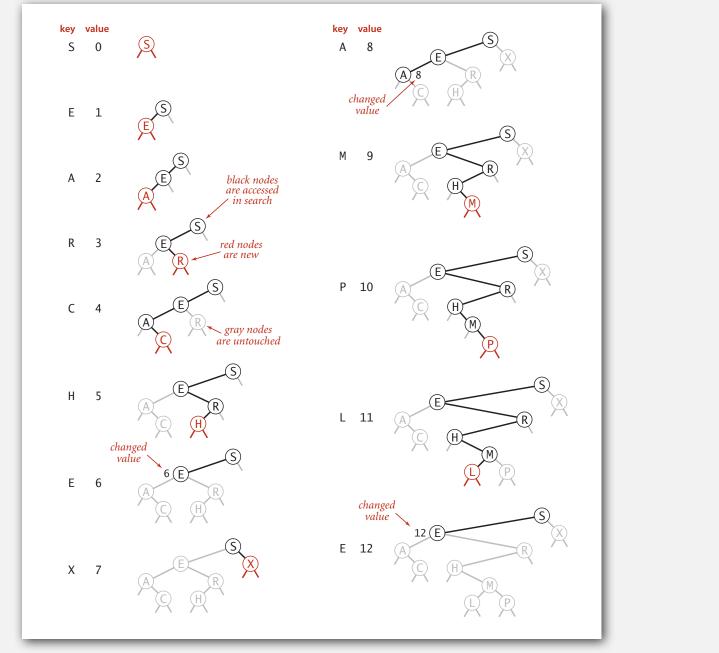


Put. Associate value with key.

```
concise, but tricky,
                                             recursive code;
public void put(Key key, Value val)
                                             read carefully!
{ 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;
}
```

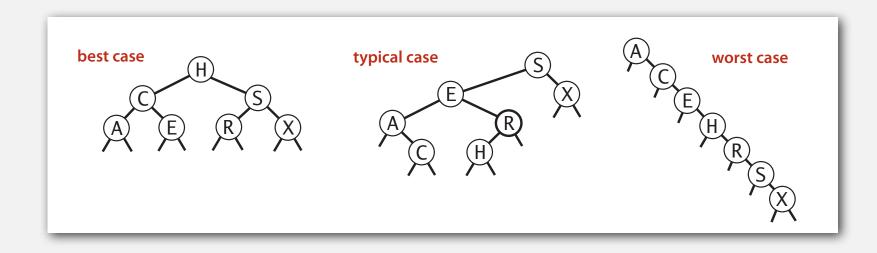
Cost. Number of compares is equal to depth of node.

BST trace: standard indexing client



Tree shape

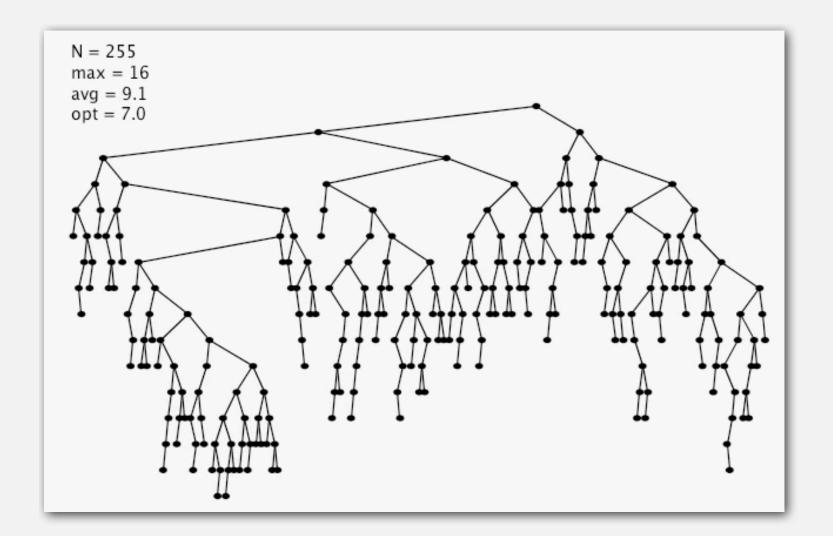
- Many BSTs correspond to same set of keys.
- Number of compares for search/insert is equal to depth of node.



Remark. Tree shape depends on order of insertion.

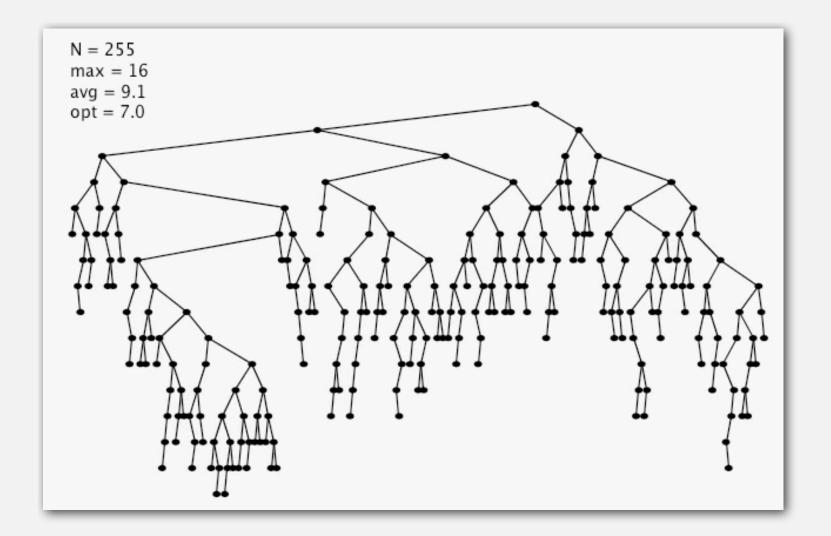
BST insertion: random order

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

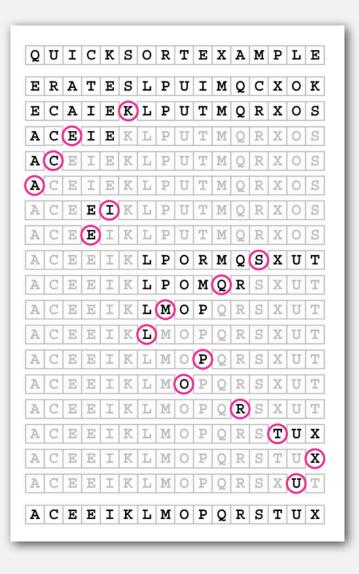


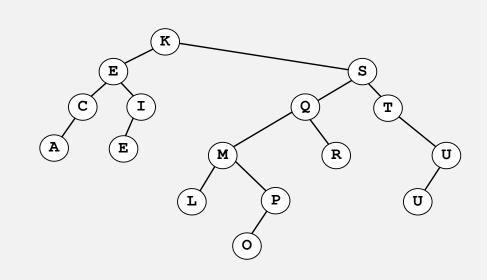
BST insertion: random order visualization

Ex. Insert keys in random order.



Correspondence between BSTs and quicksort partitioning





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

BSTs: mathematical analysis

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

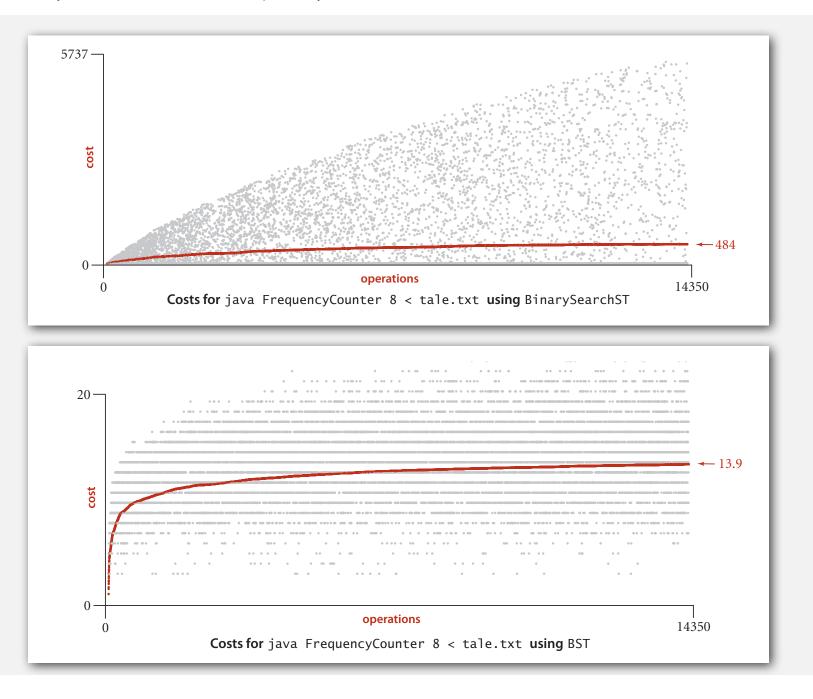
Pf. 1-1 correspondence with quicksort partitioning.

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

But... Worst-case height is N.

(exponentially small chance when keys are inserted in random order)

ST implementations: frequency counter



ST implementations: summary

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

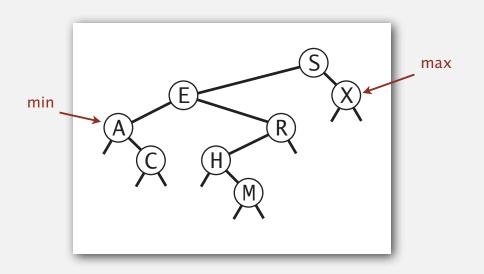
BSTs

ordered operations

▶ deletion

Minimum and maximum

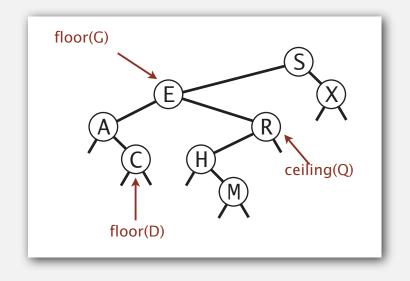
Minimum. Smallest key in table. Maximum. Largest key in table.



Q. How to find the min / max?

Floor and ceiling

Floor. Largest key \leq to a given key. Ceiling. Smallest key \geq to a given key.



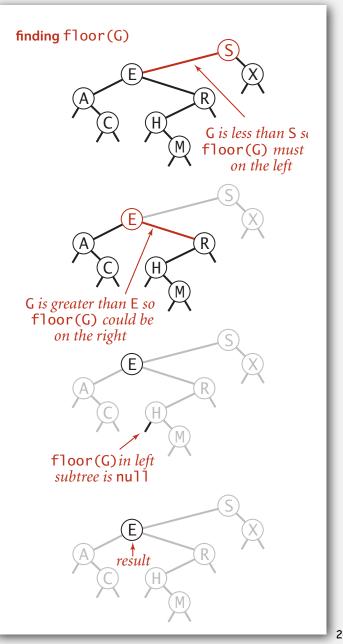
Q. How to find the floor /ceiling?

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 $\leq k$ in right subtree); otherwise it is the key in the root.

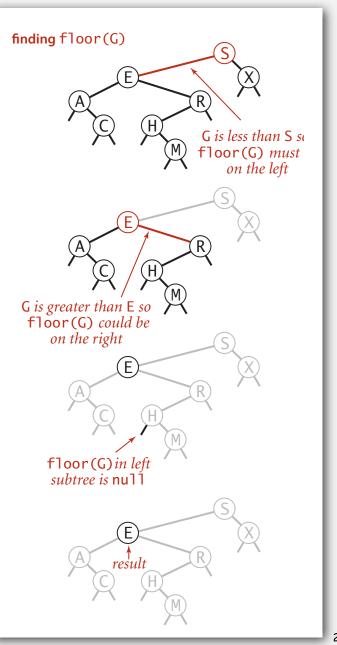


Computing the floor

```
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;
</pre>
```

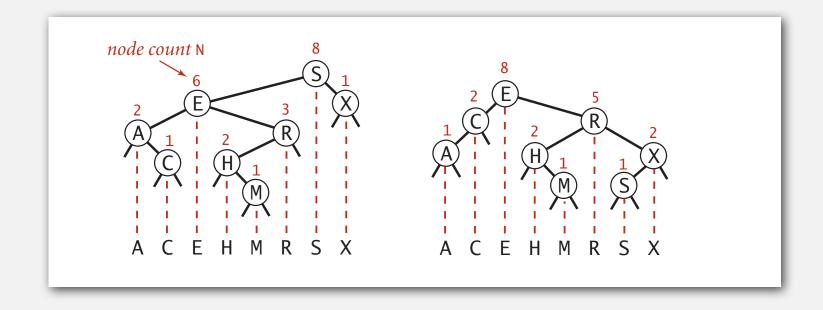
else return x;

}



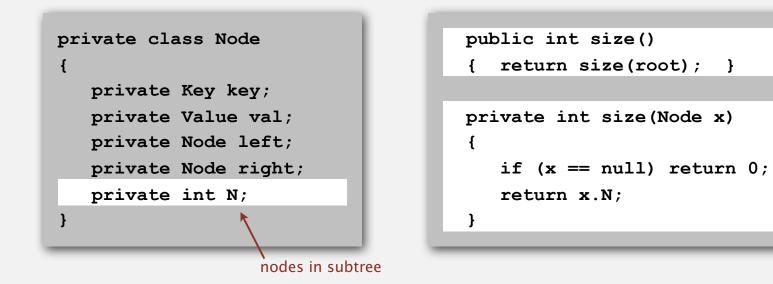
Subtree counts

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 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

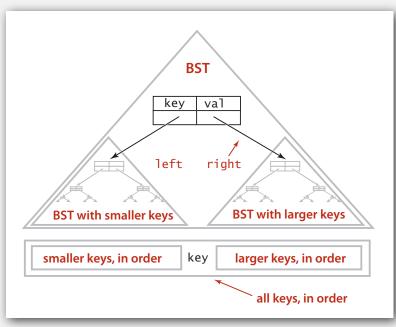
Rank. How many keys < k?

```
Easy recursive algorithm (4 cases!)
                                             node count N
 public int rank(Key key)
                                                      Н
                                                           R
                                                             S X
                                                        Μ
 { return rank(key, root); }
 private int rank (Key key, Node x)
    if (x == null) return 0;
    int cmp = key.compareTo(x.key);
             (cmp < 0) return rank(key, x.left);</pre>
    if
    else if (cmp > 0) return 1 + size(x.left) + rank(key, x.right);
    else if (cmp == 0) return size(x.left);
```

Inorder traversal

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

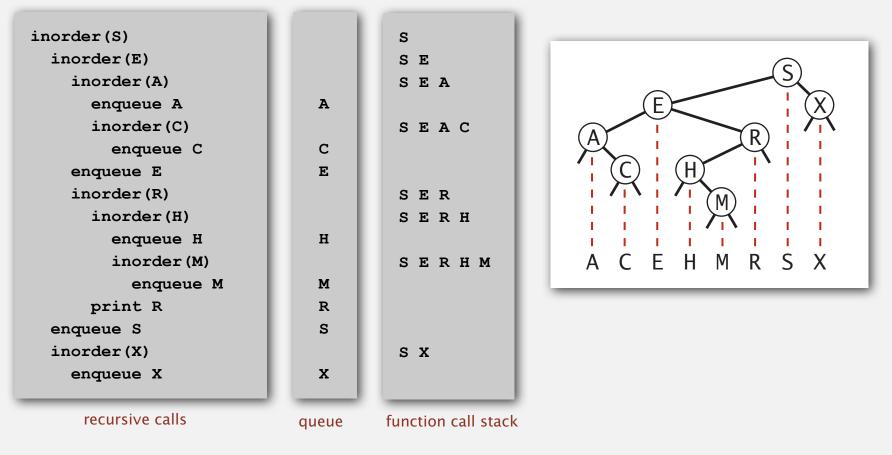
```
public Iterable<Key> keys()
{
    Queue<Key> q = new Queue<Key>();
    inorder(root, q);
    return q;
}
private void inorder(Node x, Queue<Key> q)
{
    if (x == null) return;
    inorder(x.left, q);
    q.enqueue(x.key);
    inorder(x.right, q);
}
```



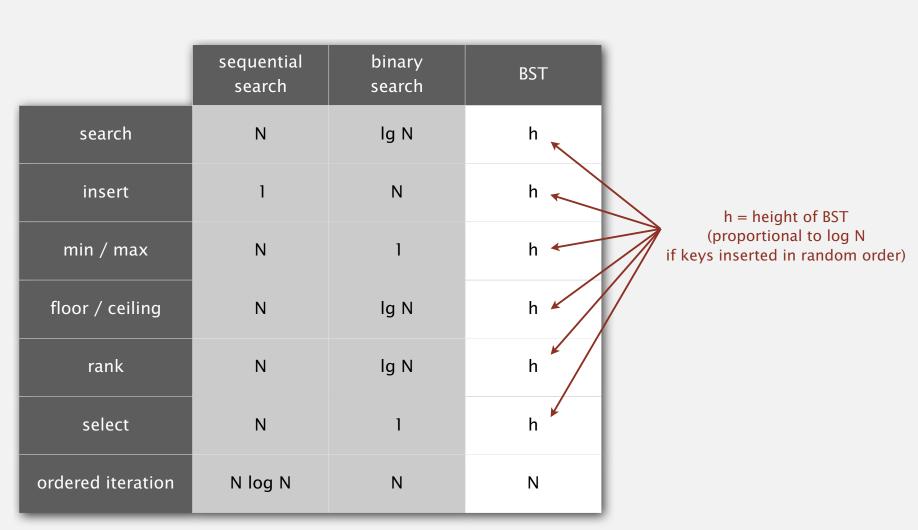
Property. Inorder traversal of a BST yields keys in ascending order.

Inorder traversal

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



BST: ordered symbol table operations summary



worst-case running time of ordered symbol table operations

BSTs ordered operations

▶ deletion

ST implementations: summary

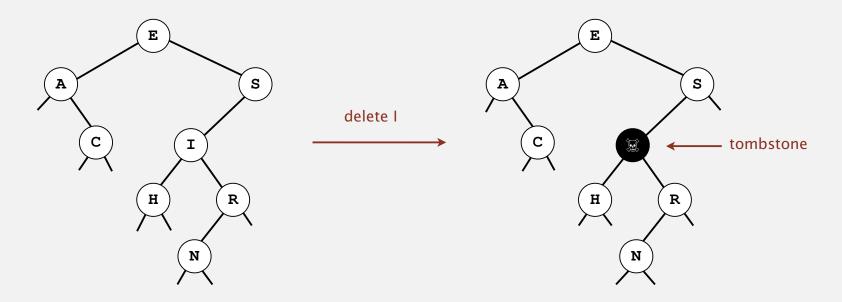
implementation	guarantee			average case			ordered	operations
	search	insert	delete	search hit	insert	delete	iteration?	on keys
sequential search (linked list)	N	N	N	N/2	Ν	N/2	no	equals()
binary search (ordered array)	lg N	N	N	lg N	N/2	N/2	yes	compareTo()
BST	Ν	Ν	Ν	1.39 lg N	1.39 lg N	???	yes	compareTo()

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. $2 \ln N'$ per insert, search, and delete (if keys in random order), where N' is the number of key-value pairs ever inserted in the BST.

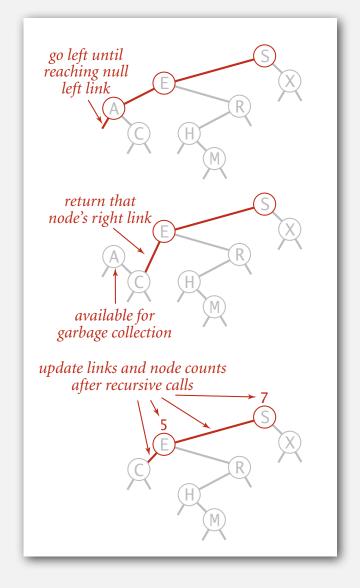
Unsatisfactory solution. Tombstone overload.

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.

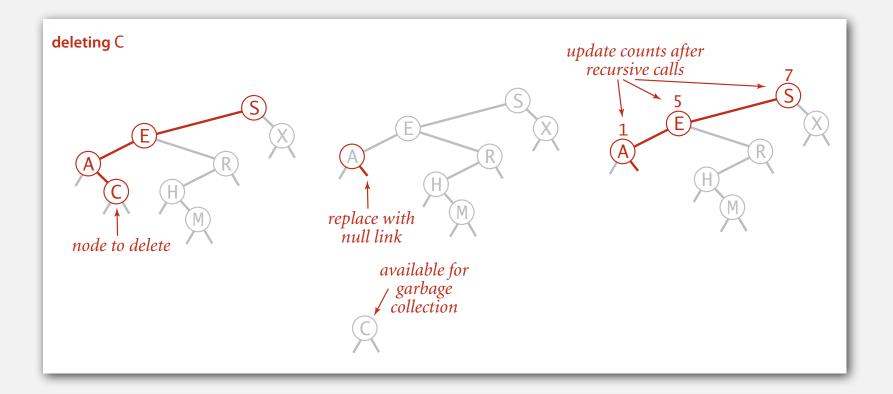
```
public void deleteMin()
{ root = deleteMin(root); }
private Node deleteMin(Node x)
{
    if (x.left == null) return x.right;
    x.left = deleteMin(x.left);
    x.N = 1 + size(x.left) + size(x.right);
    return x;
}
```



Hibbard deletion

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

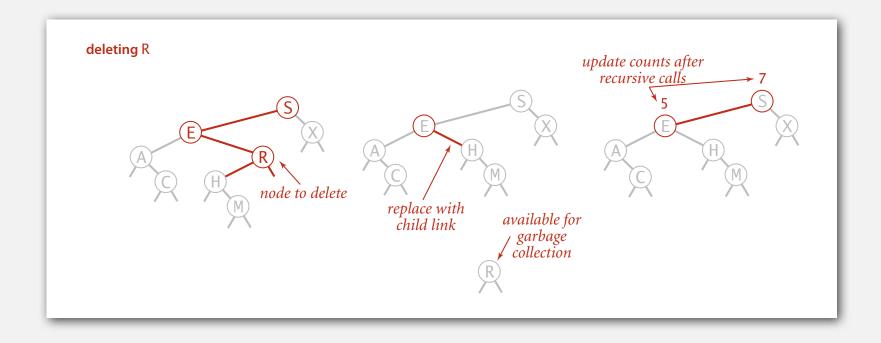
Case 0. [O children] Delete t by setting parent link to null.



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

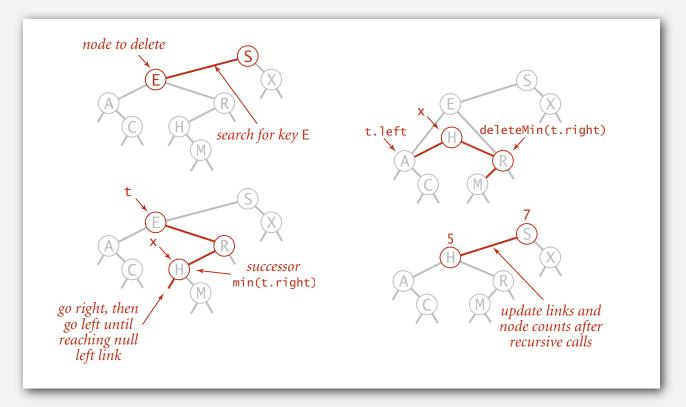
To delete a node with key k: search for node t containing key k.

Case 2. [2 children]

- Find successor *x* of *t*.
- Delete the minimum in *t*'s right subtree.
- Put x in t's spot.

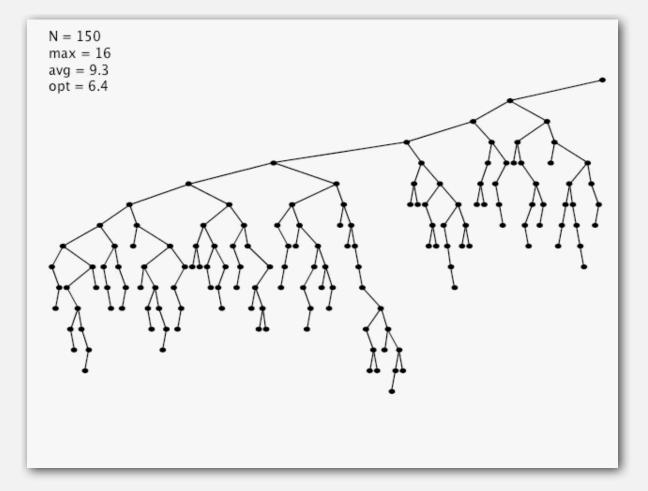


- ——— but don't garbage collect x
- _____ still a BST



```
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);
                                                                 search for key
   else if (cmp > 0) x.right = delete(x.right, key);
   else {
      if (x.right == null) return x.left;
                                                                 no right child
      Node t = x;
      x = min(t.right);
                                                                 replace with
      x.right = deleteMin(t.right);
                                                                  successor
      x.left = t.left;
   }
                                                                update subtree
   x.N = size(x.left) + size(x.right) + 1; 
                                                                   counts
   return x;
}
```

Hibbard deletion: analysis



Unsatisfactory solution. Not symmetric.

Surprising consequence. Trees not random (!) \Rightarrow sqrt (N) per op. Longstanding open problem. Simple and efficient delete for BSTs.

ST implementations: summary

implementation	guarantee			average case			ordered	operations
	search	insert	delete	search hit	insert	delete	iteration?	on keys
sequential search (linked list)	Ν	Ν	N	N/2	Ν	N/2	no	equals()
binary search (ordered array)	lg N	Ν	Ν	lg N	N/2	N/2	yes	compareTo()
BST	Ν	Ν	Ν	1.39 lg N	1.39 lg N	√N	yes	compareTo()
other operations also become √N if deletions allowed								N

Next lecture. Guarantee logarithmic performance for all operations.