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CS435-101

1 Insertion in red-black trees

Insertion of a node z in an r-b tree is similar to insertion in a BST tree.

z **becomes the root.** If node z is inserted into an empty tree, we color z BLACK, and make z the root of the tree. Otherwise, the tree is not empty and,

z **is not the root.** We perform the standard BST-Insert operations and color z red.

Possible Problem. When we color z red, if the parent pz of z is also red, we have a problem. Note that in that case the grandparent gz of z must be black (or pz could not have been red). Towards this we need to apply a function FIX(z) recursively to fix the RED color of z. (If z becomes the root, fixing the root is straightforward!)

Case Description. Call cases `XYc`. `X` is based on the `pz:gz`, `Y` on the `z:pz` and `c` on the `color(uz)` relationship, where `uz` is the sibling of `pz`. Thus `X,Y` can be `R` or `L` and `c` can be `r` or `b`.

1.1 Case 1: LLr, LRr and RRr, RLr

Case 1. The first case involves the Insertion subcases **LRr and LLr** which are shown. Cases **RRr and RLr** are not shown but are symmetric. These cases require node recolorings only. Note that if gz is the root its color cannot change; this causes an increase to the blackheight of descendant nodes. FIX may cause a total of $O(\lg n)$ recursive calls higher in the tree.

```
// LRr, LLr shown (RRr, RLr  symmetric and not shown)
Case 1a: LRr ::gz b->r; gz and p(gz) may become red; Call Fix(gz) next.

       gz/b                                 *gz/r :FIX(gz) next if parent r
      /    \                                /   \
     /      \                              /     \
 pz/r      uz/r                         pz/b     uz/b
/    \     /  \                         / \      /  \
1   *z/r   4   5                       1   z/r   4   5
     / \                                   / \
     2 3                                   2 3

Case 1b: LLr :: Same as before (gz: b-->r)

       gz/b                                 *gz/r :FIX(gz) next if parent r
      /    \                                /   \
     /      \                              /     \
 pz/r      uz/r                         pz/b     uz/b
  /  \     /  \                         / \      /  \
z/r*  3   4   5                       z/r  3    4   5
/ \                                   / \
1  2                                  1 2
```

1.2 Case 2: LRb, and Case 3: LLb

Case 2 covers the case of LRb, and Case 3 the case of LLb. Case 2 is ALWAYS FOLLOWED by Case 3. RLb and RRb are symmetric(not shown).

```
***** A star (*)  shows the node on which FIX is run.
Case 2:LRb is reduced to Case 3:LLb and resolved.
          gz/b                         gz/b
         /   \                          /  \
       pz/r  uz/b                    z/r  uz/b        REDUCTION TO Case 3
      / \    / \   ----LRo(pz)-->   /  \   / \
      1 z/r* 4  5               *pz/r  3  4   5  <<< This is LLb case
        / \                      / \                 Run Fix(pz)
        2  3                     1  2                by applying case 3.

Case 3:LLb
         gz/b                           pz/b
         /  \                          /   \
      pz/r  uz/b   ----RRo(gz)-->    z/r   gz/r
      /  \   / \                    /  \   / \
    z/r  3/b4   5                  1   2  3/b uz/b
   / \                                        / \
   1  2                                       4 5
```

After the single rotation is performed there can be no way that there are two consecutive RED nodes in a path from the root to pz (root of the subtree in Case 3). Therefore after a single rotation we are done.

Conclusion. Insertion requires $O(\lg n)$ recolorings (Case 1) and $O(1)$ rotations (Cases 2 and 3).

2 Deletion in red-black trees

Deletion in an r-b tree is similar to Deletion in a BST tree. When we perform Delete(z), a node is spliced out; this node is called x. If z has no or one child, then x is z otherwise x is the successor (or the predecessor) of z. In any of these three cases we call *y* the only child of *x* (if *x* has no children, then *y* is the `NULL` only child of *x* reminding ourselves that in an rb-tree there is only one `NULL` node), and *py* the new parent of *y* after the spliceout, which was previously the parent of *x*.

a. `(x,y,py)=(r,b,b)`. If *x* is red, then *y* must be black and $p(y)$ must be black or otherwise *x* should have been black. Splicing out *x* causes no violations whatsoever.

b. `(x,y,py)=(b,?,?)` Splicing out a black *x* causes an RB3 violation; subcases are as follows.

   b1. `(x,y,py)=(b,r,?)`. If *y* is red, we recolor *y* black and the violation is resolved.

   b2. `(x,y,py)=(b,b,?)` and *y* is root. If *y* is black and becomes the root, no RB3 violation occurs, because all the paths from the root *y* will have black height one less.

   b3. `(x,y,py)=(b,b,?)` and *y* not root. If *y* is black but not the root, we have a violation of RB3 that can not be resolved immediately. We "transfer" the BLACK color of *x* to *y* by coloring y DOUBLE-BLACK. We then need to fix *y* by calling FIXDELETE(y), i.e. a node *y* of FIXDELETE is a node "colored" BLACK twice.

Reminder: delete(z) → spliceout(x) → FixDelete(y).

Case Description. All cases are labeled `Xcn`, where `X` denotes the orientation of `y:py`, `c` the color of the sibling *u* of *y* and *n* the number of red children of *u* (i.e. sibling of *y*).

2.1 Cases 1 and 2

```
Comment: Lr1 and Lr2 are not possible; a red node CANNOT have red children.
Case 1: Lr0 : A left rotation is performed and then Case 2a or 3 or 4 applies.
         py/b                            v/b      REMARK 1:
        /   \                          /   \        [ v and py switch colors]
   ** y/b  *v/r     ---LRo(py)-->    py/r   B/b
            / \                      / \    / \
           A/b B/b               **y/b A/b* 5 6
               5 6

Case 2.  Lb0
  Subcase 2a. If py is r (Case 1) color py with b and color v with r and stop
         py/r                           py/b
        /   \                          /   \
   ** y/b  *v/b                      y/b   v/r   and stop
            / \                            / \
           A/b B/b                        A/b B/b

  Subcase 2b, If py is b    FIXDELETE(py) py plays the role of y and py
         also carries the extra black inherited by y due to the x splice out.
         py/b                        ** py/b
        /   \                          /   \
   ** y/b  *v/b                      y/b   v/r
            / \                            / \
           A/b B/b                        A/b B/b
```

2.2 Cases 3 and 4

```
Case 3: Lb1rb : Is transformed into case 4 immediately A,v exchanging colors.
         py/?                         py/?
        /   \                        /  \         The suffix rb in Lb1rb
   ** y/b  *v/b     ---RRo(v)--> **y/b  A/b *     denotes the children of v
     / \    / \                     / \  / \
    1   2  A/r B/b                  1 2  3  v/r
          / \  / \                         / \
          3 4 5  6                         4  B/b
                                              /\
                                              5 6
```

```
Case 4: Lb2 and Lb1br (there is neither Lb1bb=Lb0 neither Lb1rr=Lb2)
         py/?                          v/?          Case4 terminates Case3
        /   \                         /   \
   ** y/b  *v/b     ---LRo(py)->   py/b   B/b
     / \    / \                   /  \    /  \
    1   2  A/? B/r              y/b A/?  5   6
          / \  / \              /\   /\
          3 4 5  6              1 2 3  4
```

Running time is $O(\lg n)$ as well. Cases 1, 2a, 3, 4 terminate in $O(1)$ time, Case 2b advances (moves towards the top) one level every time it is executed, and the height of the RB tree is $O(\lg n)$.