

## 7.3 AVL-Trees

### Definition 1

AVL-trees are binary search trees that fulfill the following balance condition. For every node  $v$

$$|\text{height}(\text{left sub-tree}(v)) - \text{height}(\text{right sub-tree}(v))| \leq 1 .$$

### Lemma 2

*An AVL-tree of height  $h$  contains at least  $F_{h+2} - 1$  and at most  $2^h - 1$  internal nodes, where  $F_n$  is the  $n$ -th Fibonacci number ( $F_0 = 0$ ,  $F_1 = 1$ ), and the height is the maximal number of edges from the root to an (empty) dummy leaf.*

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## Proof.

The upper bound is clear, as a binary tree of height  $h$  can only contain

$$\sum_{j=0}^{h-1} 2^j = 2^h - 1$$

internal nodes.

# AVL trees

## Proof (cont.)

### Induction (base cases):

1. an AVL-tree of height  $h = 1$  contains at least one internal node,  $1 \geq F_3 - 1 = 2 - 1 = 1$ .
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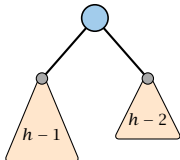


**Induction step:**

An AVL-tree of height  $h \geq 2$  of minimal size has a root with sub-trees of height  $h - 1$  and  $h - 2$ , respectively. Both, sub-trees have minimal node number.

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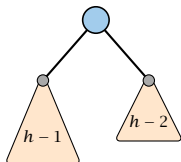
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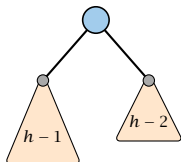


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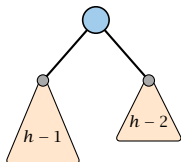
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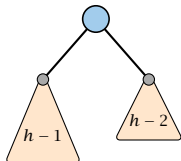
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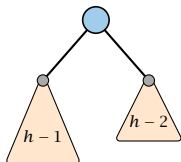
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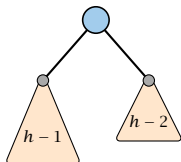
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$$g_1 = 2 \qquad = F_3$$

$$g_2 = 3 \qquad = F_4$$

$$g_{h-1} = 1 + g_{h-1-1} + g_{h-2-1}, \qquad \text{hence}$$

$$g_h = g_{h-1} + g_{h-2} \qquad = F_{h+2}$$

## 7.3 AVL-Trees

An AVL-tree of height  $h$  contains at least  $F_{h+2} - 1$  internal nodes.  
Since

$$n + 1 \geq F_{h+2} = \Omega \left( \left( \frac{1 + \sqrt{5}}{2} \right)^h \right),$$

we get

$$n \geq \Omega \left( \left( \frac{1 + \sqrt{5}}{2} \right)^h \right),$$

and, hence,  $h = \mathcal{O}(\log n)$ .

## 7.3 AVL-Trees

We need to maintain the balance condition through rotations.

For this we store in every internal tree-node  $v$  the **balance** of the node. Let  $v$  denote a tree node with left child  $c_\ell$  and right child  $c_r$ .

$$\text{balance}[v] := \text{height}(T_{c_\ell}) - \text{height}(T_{c_r}) ,$$

where  $T_{c_\ell}$  and  $T_{c_r}$ , are the sub-trees rooted at  $c_\ell$  and  $c_r$ , respectively.



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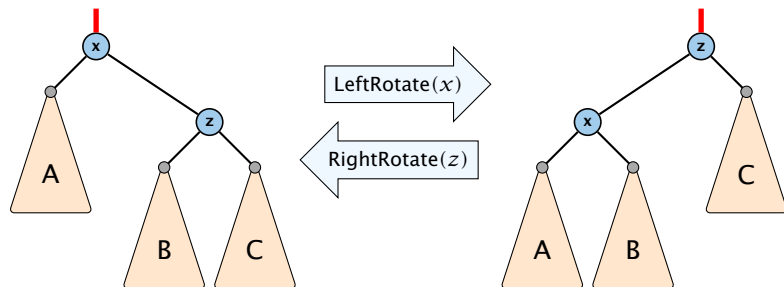
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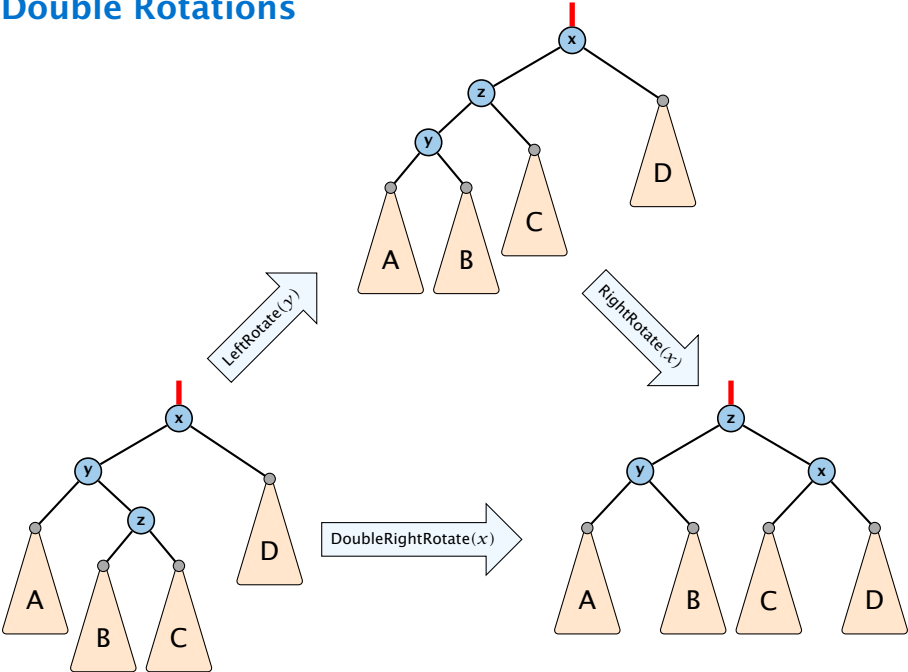
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# Rotations

The properties will be maintained through rotations:



# Double Rotations



# AVL-trees: Insert

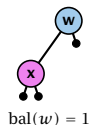
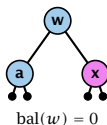
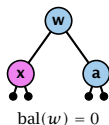
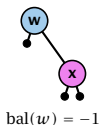
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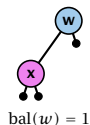
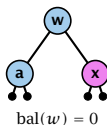
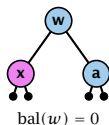
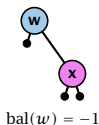
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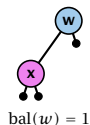
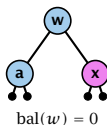
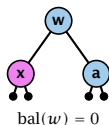
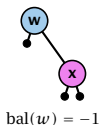
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- ▶ If  $\text{bal}[w] \neq 0$ ,  $T_w$  has changed height; the balance-constraint may be violated at ancestors of  $w$ .
- ▶ Call  $\text{AVL-fix-up-insert}(\text{parent}[w])$  to restore the balance-condition.



# AVL-trees: Insert

## Invariant at the beginning of AVL-fix-up-insert( $v$ ):

1. The balance constraints hold at all descendants of  $v$ .
2. A node has been inserted into  $T_c$ , where  $c$  is either the right or left child of  $v$ .
3.  $T_c$  has increased its height by one (otw. we would already have aborted the fix-up procedure).
4. The balance at node  $c$  fulfills  $\text{balance}[c] \in \{-1, 1\}$ . This holds because if the balance of  $c$  is 0, then  $T_c$  did not change its height, and the whole procedure would have been aborted in the previous step.

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## AVL-trees: Insert

### Algorithm 7 AVL-fix-up-insert( $v$ )

- 1: **if**  $\text{balance}[v] \in \{-2, 2\}$  **then** DoRotationInsert( $v$ );
- 2: **if**  $\text{balance}[v] \in \{0\}$  **return**;
- 3: AVL-fix-up-insert( $\text{parent}[v]$ );

We will show that the above procedure is correct, and that it will do at most one rotation.

## Algorithm 8 DoRotationInsert( $v$ )

```
1: if balance[ $v$ ] = -2 then // insert in right sub-tree
2:     if balance[right[ $v$ ]] = -1 then
3:         LeftRotate( $v$ );
4:     else
5:         DoubleLeftRotate( $v$ );
6: else // insert in left sub-tree
7:     if balance[left[ $v$ ]] = 1 then
8:         RightRotate( $v$ );
9:     else
10:        DoubleRightRotate( $v$ );
```

# AVL-trees: Insert

It is clear that the invariant for the fix-up routine holds as long as no rotations have been done.

We have to show that after doing one rotation all balance constraints are fulfilled.

We show that after doing a rotation at  $v$ :

- ▶  $v$  fulfills balance condition.
- ▶ All children of  $v$  still fulfill the balance condition.
- ▶ The height of  $T_v$  is the same as before the insert-operation took place.

We only look at the case where the insert happened into the right sub-tree of  $v$ . The other case is symmetric.



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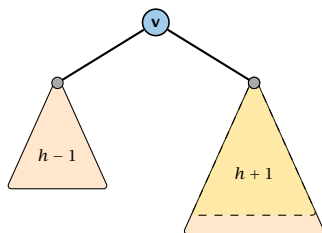
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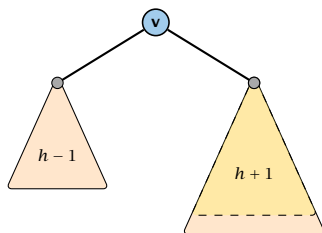


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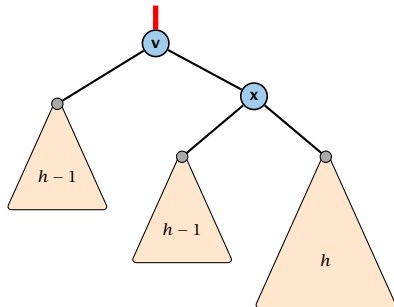


## Case 1: $\text{balance}[\text{right}[v]] = -1$

We do a left rotation at  $v$

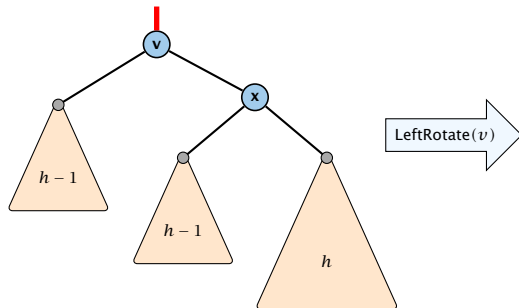
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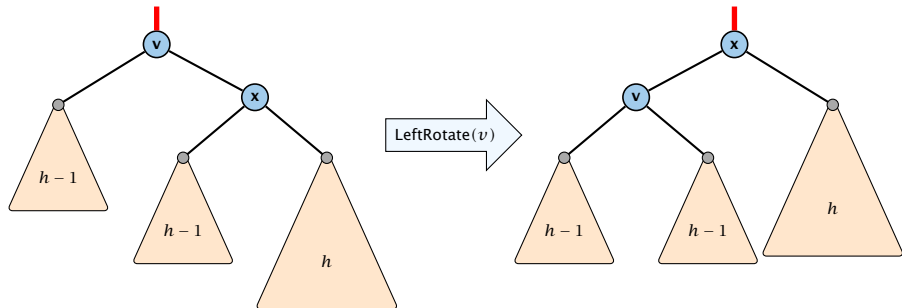
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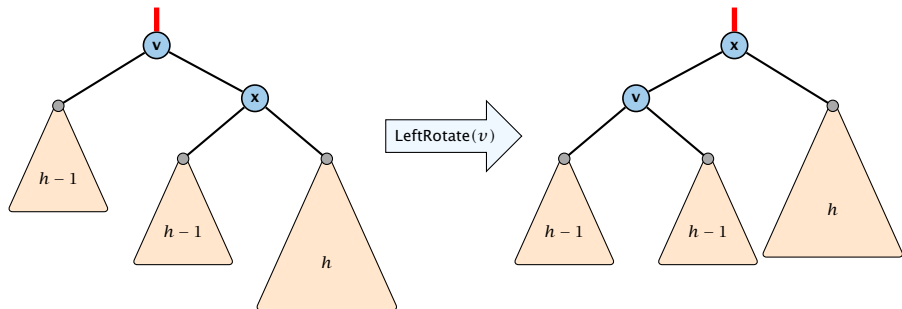
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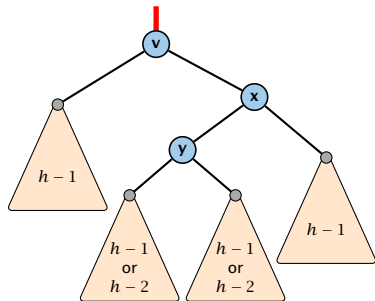
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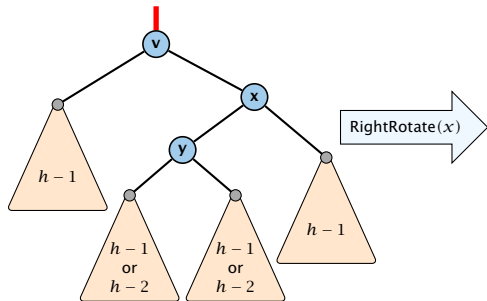
Now, the subtree has height  $h + 1$  as before the insertion.  
Hence, we do not need to continue.

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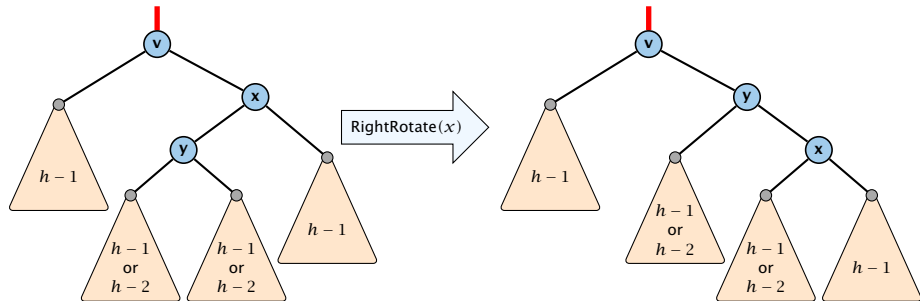


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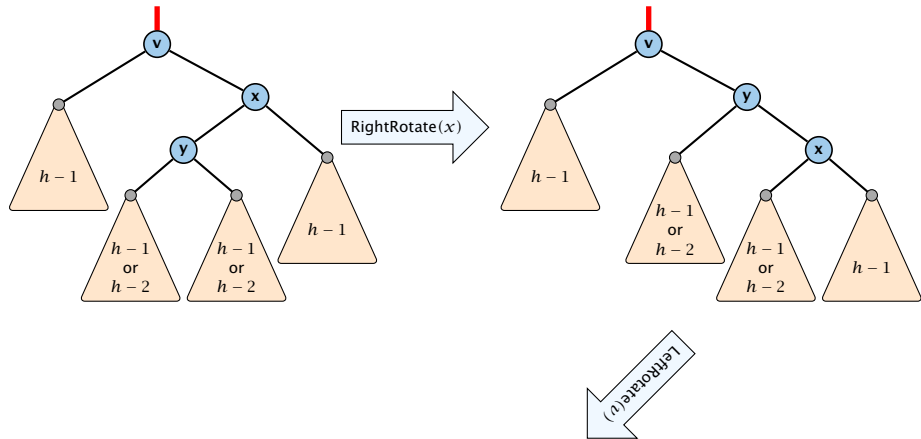




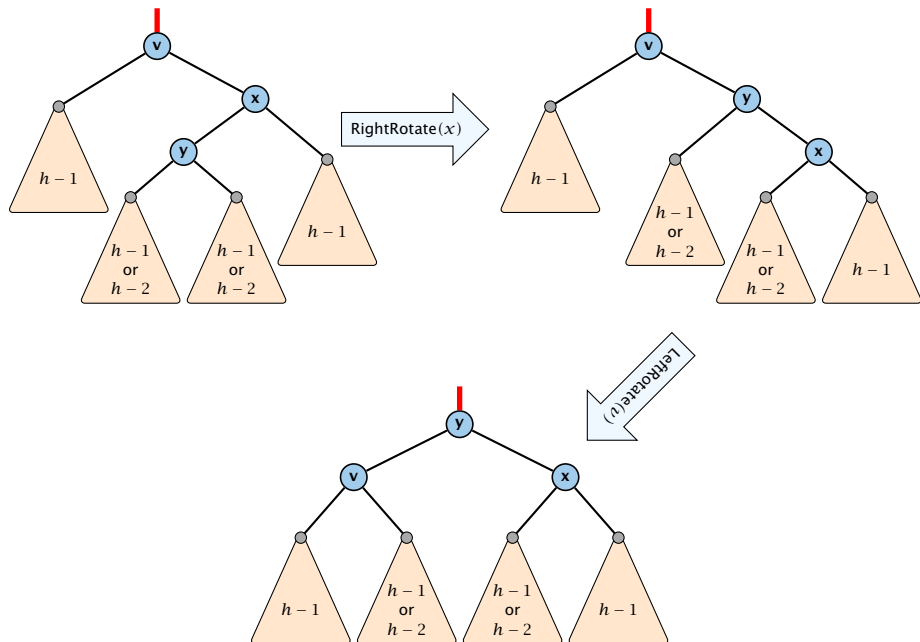
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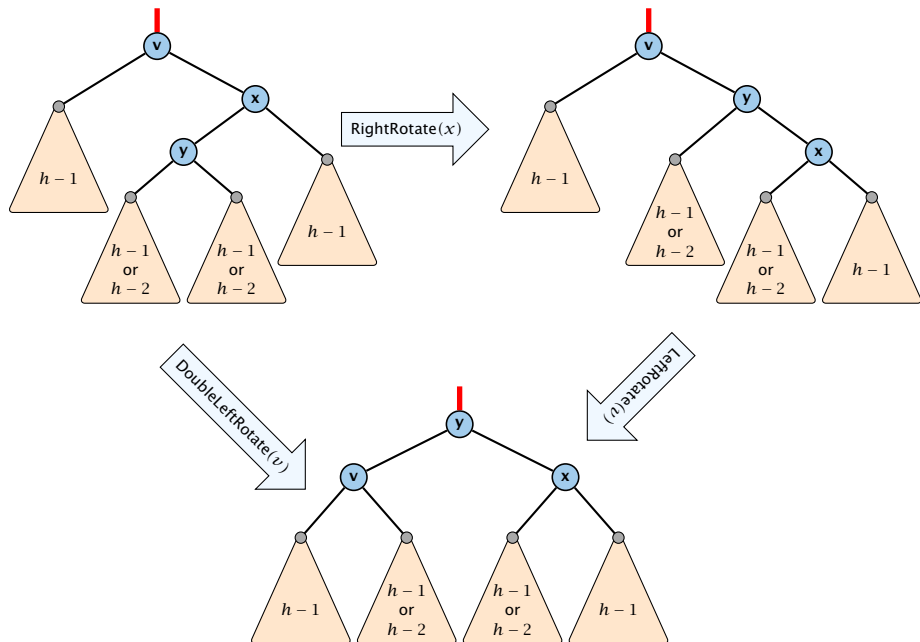
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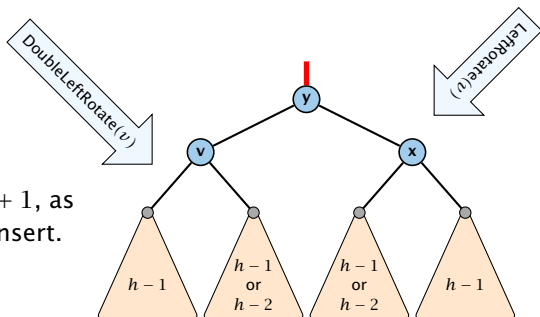
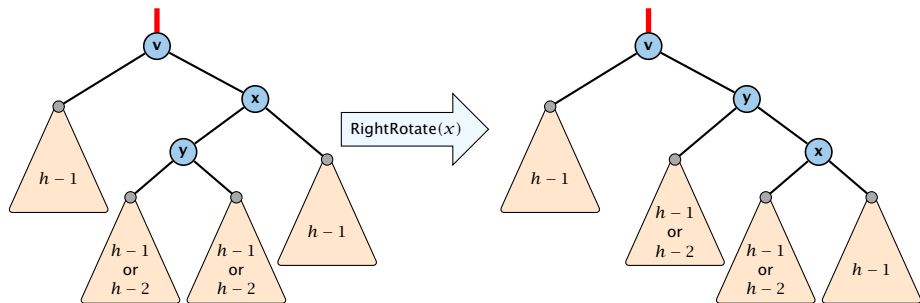
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Height is  $h + 1$ , as before the insert.

# AVL-trees: Delete

- ▶ Delete like in a binary search tree.
- ▶ Let  $v$  denote the parent of the node that has been spliced out.
- ▶ The balance-constraint may be violated at  $v$ , or at ancestors of  $v$ , as a sub-tree of a child of  $v$  has reduced its height.
- ▶ Initially, the node  $c$ —the new root in the sub-tree that has changed—is either a dummy leaf or a node with two dummy leaves as children.



Case 1



Case 2

In both cases  $\text{bal}[c] = 0$ .

- ▶ Call  $\text{AVL-fix-up-delete}(v)$  to restore the balance-condition.

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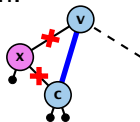
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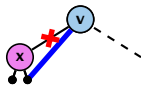


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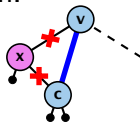
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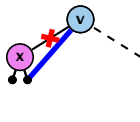
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## Invariant at the beginning AVL-fix-up-delete( $v$ ):

1. The balance constraints holds at all descendants of  $v$ .
2. A node has been deleted from  $T_c$ , where  $c$  is either the right or left child of  $v$ .
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# AVL-trees: Delete

## Algorithm 9 AVL-fix-up-delete( $v$ )

- 1: **if**  $\text{balance}[v] \in \{-2, 2\}$  **then** DoRotationDelete( $v$ );
- 2: **if**  $\text{balance}[v] \in \{-1, 1\}$  **return**;
- 3: AVL-fix-up-delete(parent[ $v$ ]);

We will show that the above procedure is correct. However, for the case of a delete there may be a logarithmic number of rotations.

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## Algorithm 10 DoRotationDelete( $v$ )

```
1: if balance[ $v$ ] = -2 then // deletion in left sub-tree
2:     if balance[right[ $v$ ]]  $\in$  {0, -1} then
3:         LeftRotate( $v$ );
4:     else
5:         DoubleLeftRotate( $v$ );
6: else // deletion in right sub-tree
7:     if balance[left[ $v$ ]] = {0, 1} then
8:         RightRotate( $v$ );
9:     else
10:        DoubleRightRotate( $v$ );
```

# AVL-trees: Delete

It is clear that the invariant for the fix-up routine hold as long as no rotations have been done.

We show that after doing a rotation at  $v$ :

- ▶  $v$  fulfills the balance condition.
- ▶ All children of  $v$  still fulfill the balance condition.
- ▶ If now  $\text{balance}[v] \in \{-1, 1\}$  we can stop as the height of  $T_v$  is the same as before the deletion.

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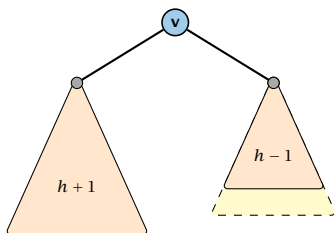
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We have the following situation:



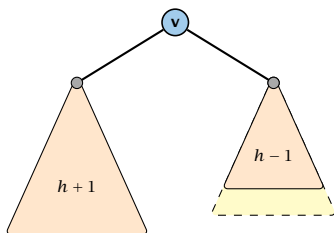
The right sub-tree of  $v$  has decreased its height which results in a balance of  $2$  at  $v$ .

Before the deletion the height of  $T_v$  was  $h + 2$ .



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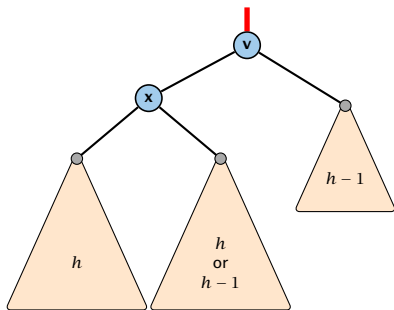


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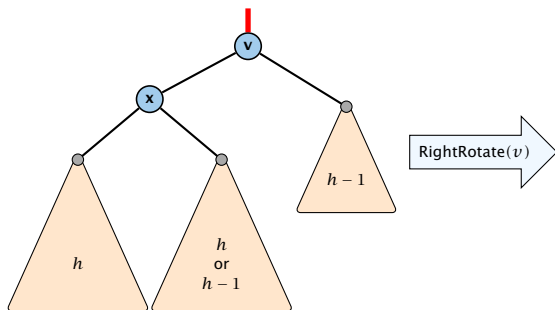
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**Case 1:  $\text{balance}[\text{left}[v]] \in \{0, 1\}$**

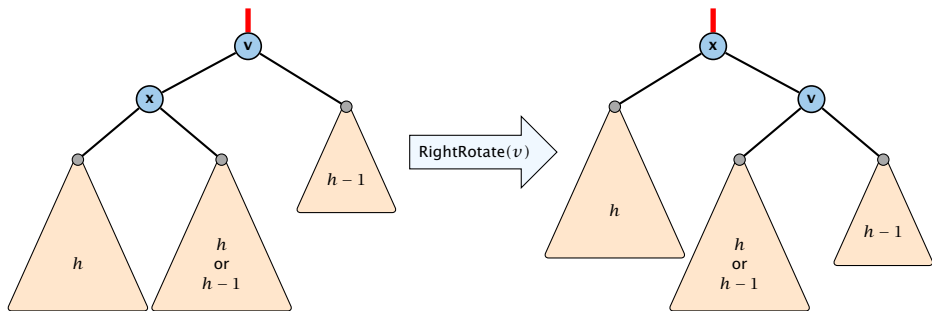
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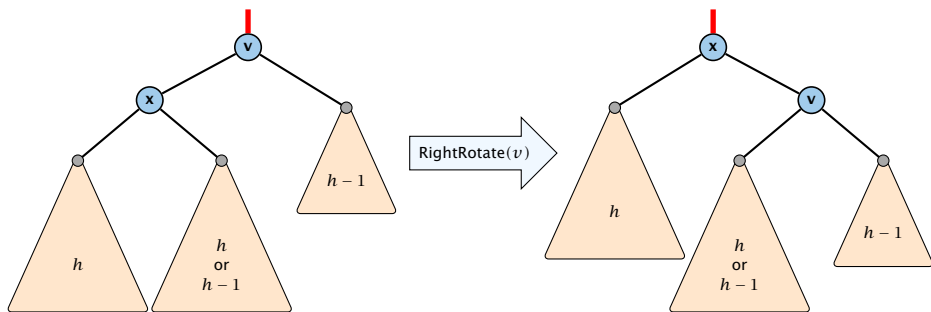
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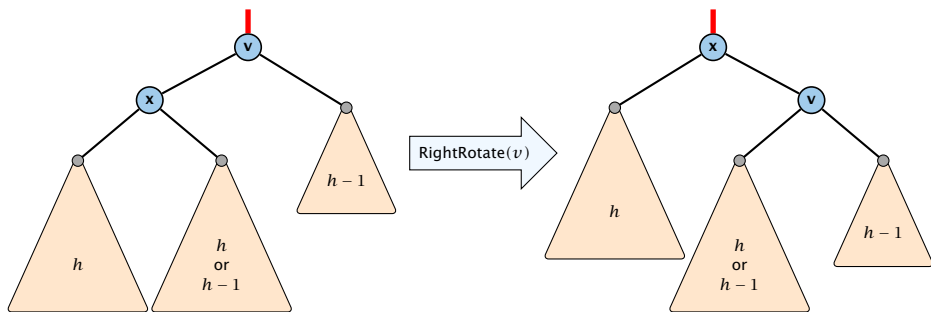


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If the middle subtree has height  $h$  the whole tree has height  $h + 2$  as before the deletion. The iteration stops as the balance at the root is non-zero.

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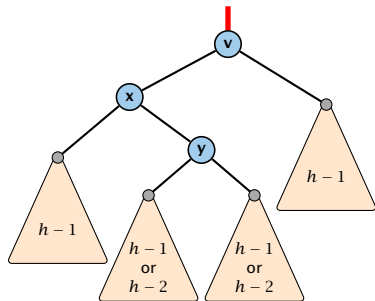
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If the middle subtree has height  $h - 1$  the whole tree has decreased its height from  $h + 2$  to  $h + 1$ . We do continue the fix-up procedure as the balance at the root is zero.

**Case 2:  $\text{balance}[\text{left}[v]] = -1$**

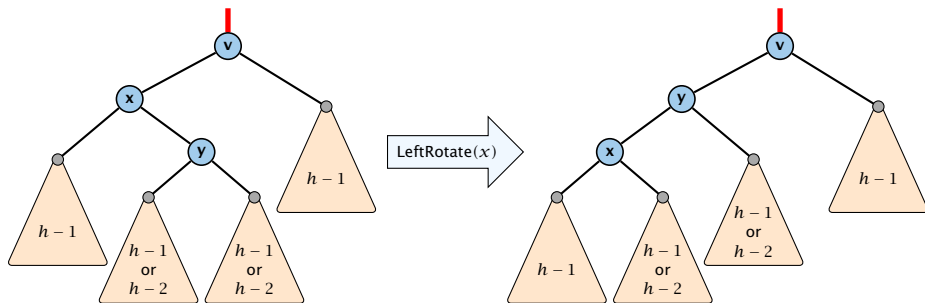


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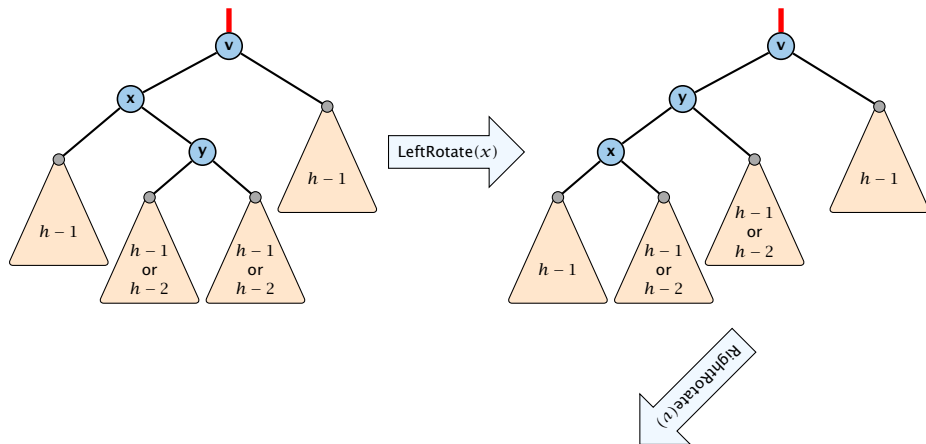




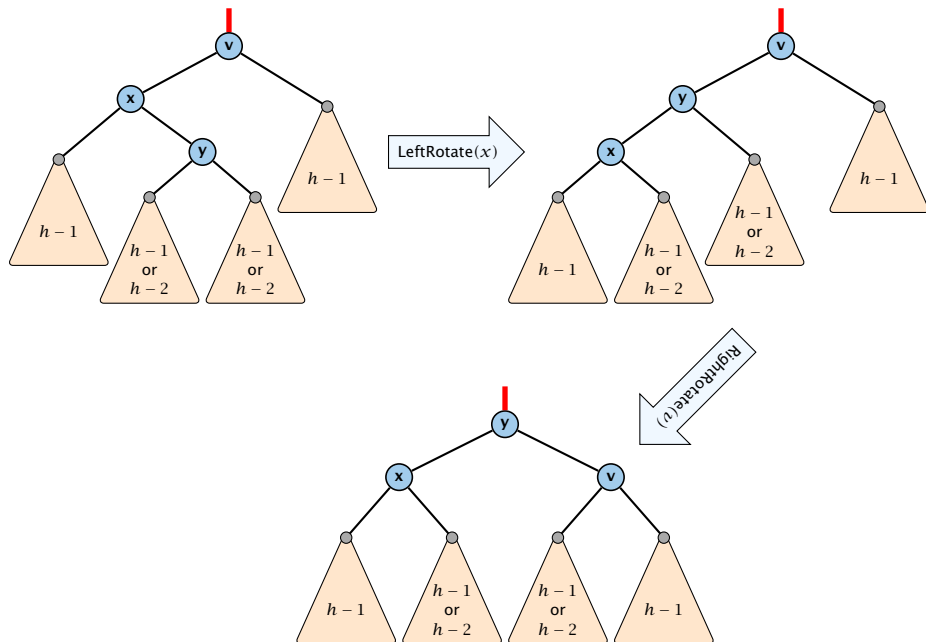
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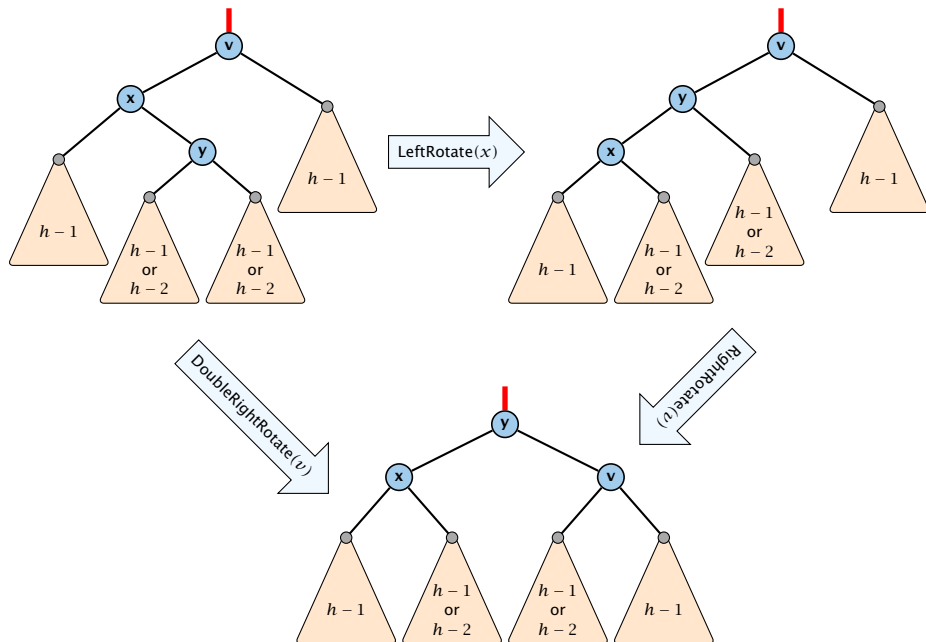
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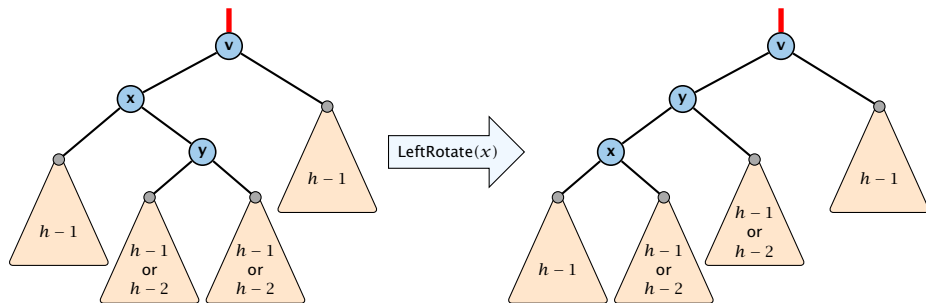
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Sub-tree has height  $h + 1$ , i.e., it has shrunk. The balance at  $y$  is zero. We continue the iteration.

