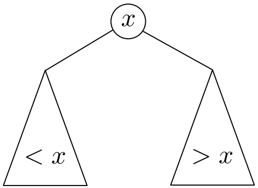
AVL Trees

Version of October 2, 2014

THE DEPARTMENT OF COMPUTER SCIENCE
計算機科學系 HKUST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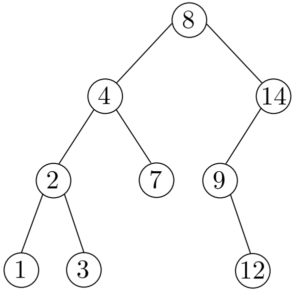
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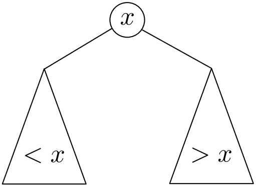
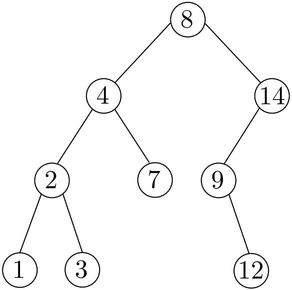


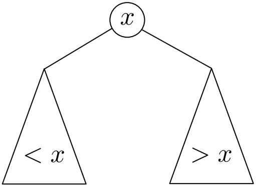


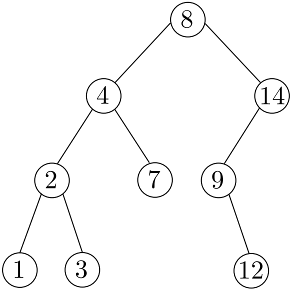
Binary-search-tree property

For every node x

- All keys in its left subtree are smaller than the key value in x

Binary Search Trees





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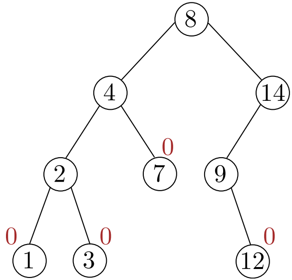

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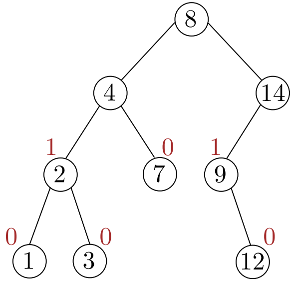

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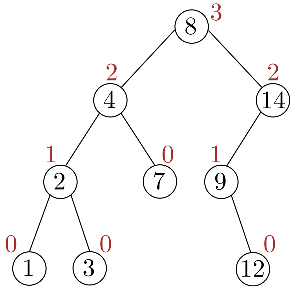

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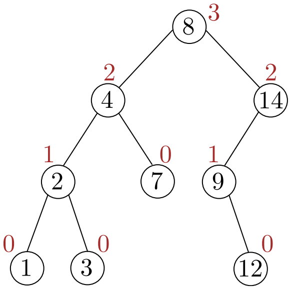

Question

Let n be the size of a binary search tree. How can we keep its height $O(\log n)$ under insertion and deletion?

Balanced Binary Search Tree: AVL Tree

An **AVL** [Adelson-Velskii & Landis, 1962] tree is a binary search tree in which

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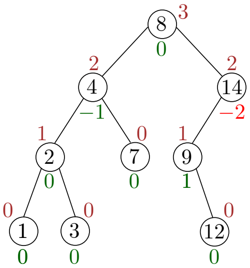
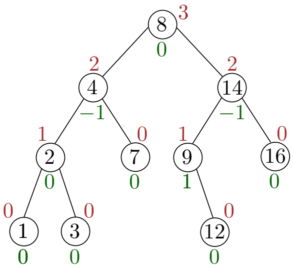


non-AVL Tree



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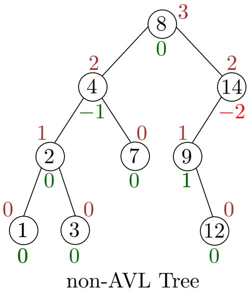

- The *balance factor* of a node is the height of its right subtree minus the height of its left subtree.
- A node with balance factor 1, 0 or -1 is considered *balanced*.

AVL Trees with Minimum Number of Nodes

Let n_h be the minimum number of nodes in an AVL tree of height h

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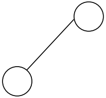

$n_0 = 1$ $\qquad$ $n_1 = 2$

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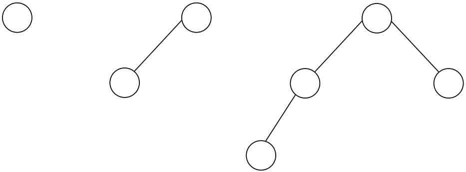

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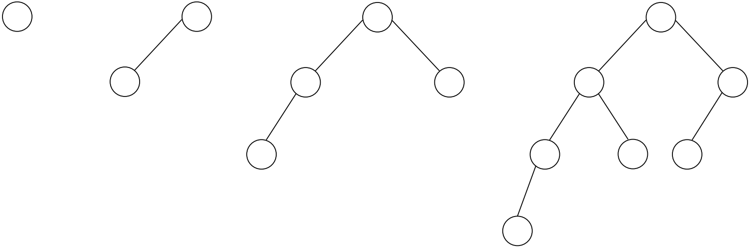

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Height of AVL Tree

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- If h is odd, let $i = (h-1)/2$. $\Rightarrow n > 2^{(h-1)/2} n_1 = 2^{(h-1)/2} \cdot 2 \Rightarrow h = O(\log n)$
- Thus, many operations (e.g., insertion, deletion, and search) on an AVL tree will take $O(logn)$ time

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We saw that $n_h = n_{h-1} + n_{h-2} + 1$.
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Lemma:

$n_h = f_{h+2} - 1$

Proof: by induction

$$n_{h+1} \quad = \quad 1 + n_h + n_{h-1} \quad = \quad 1 + f_{h+2} - 1 + n_{h+1} - 1 \quad = \quad f_{h+3} - 1$$

Since $f_h \sim c\phi^h$ for golden ratio $\phi = \frac{1+\sqrt{5}}{2}$, this also immediately provides alternative derivation that $h = O(\log n)$.

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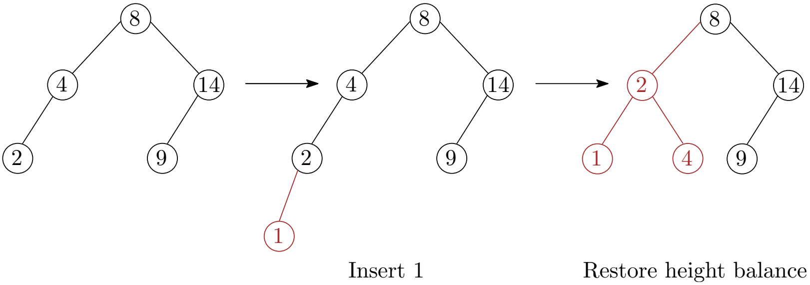

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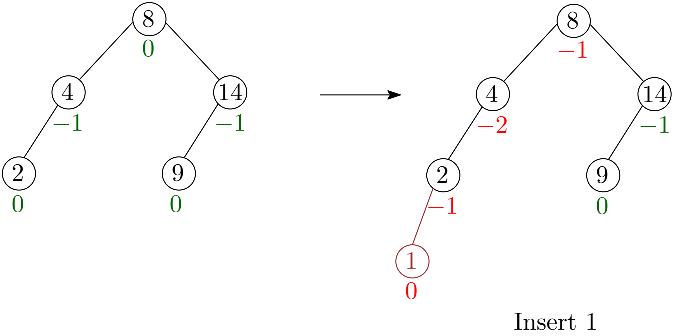

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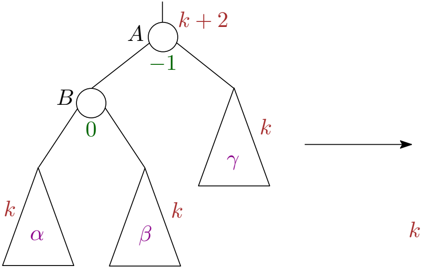
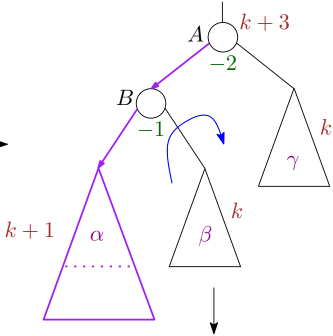
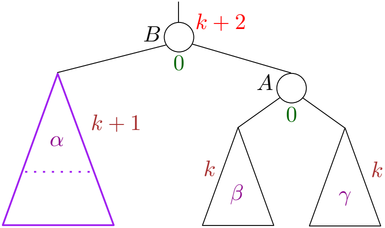
- Cases 1 and 4 are mirror image symmetries with respect to A, as are cases 2 and 3

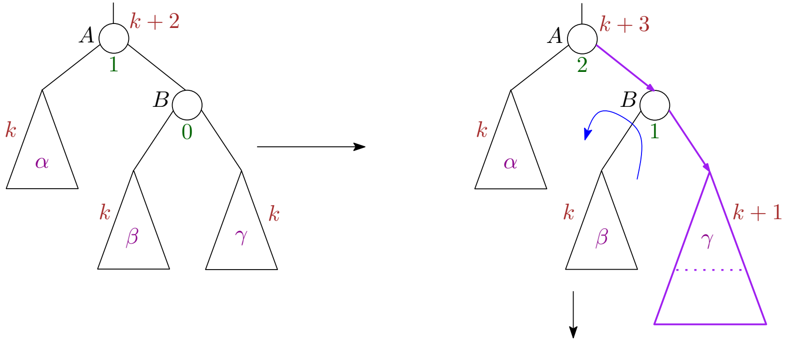
Insertion: Left-Left Case





- *Right rotation* with B as the pivot
- The new subtree rooted at B has height $k+2$, *exactly the same* height before the insertion
- The rest of the tree (if any) that was originally above node A always remains balanced





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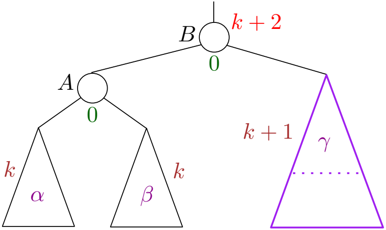
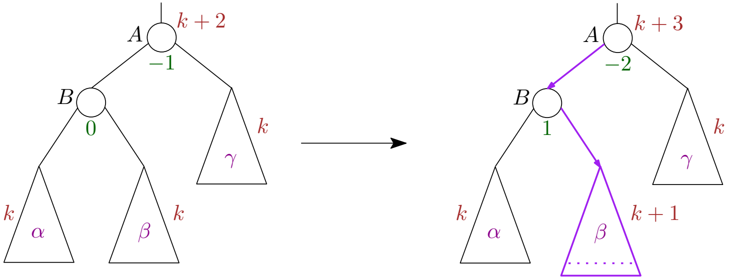
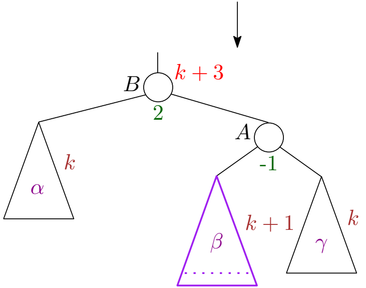


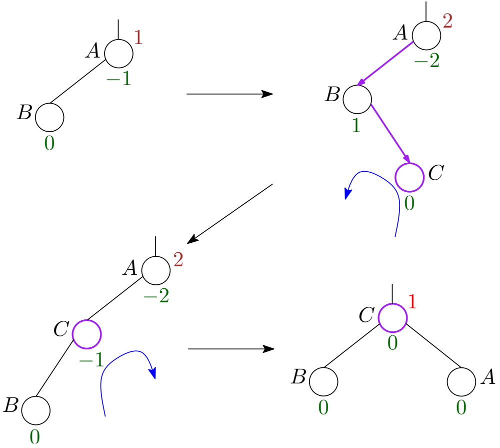
Insertion: Left-Right Case



- Single rotation fails to fix it
- Subtree β is too tall



When subtree α, β and γ are empty, $k = -1$. Insert C:



Left-Right Case: Special Case

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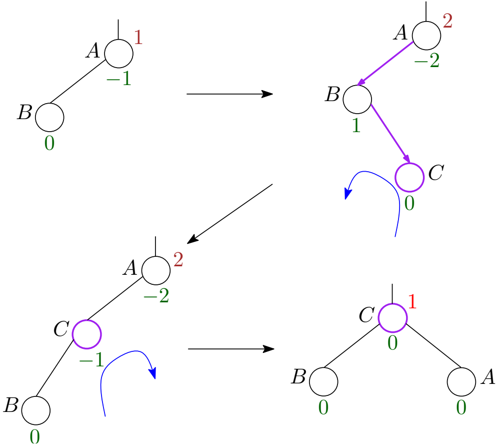
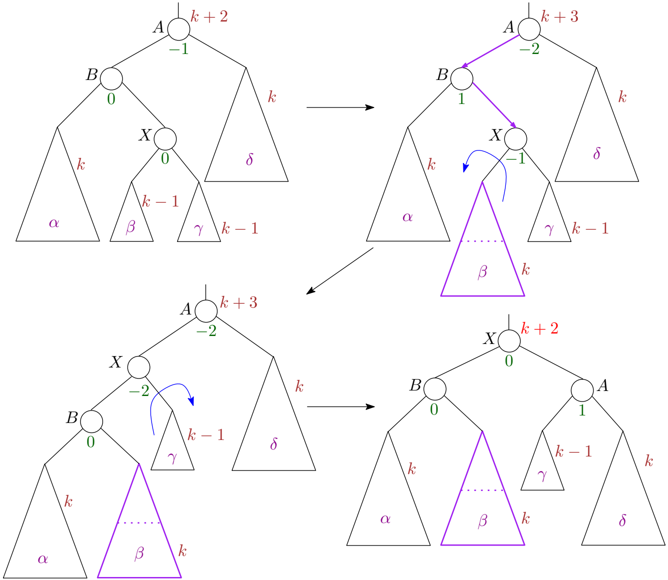
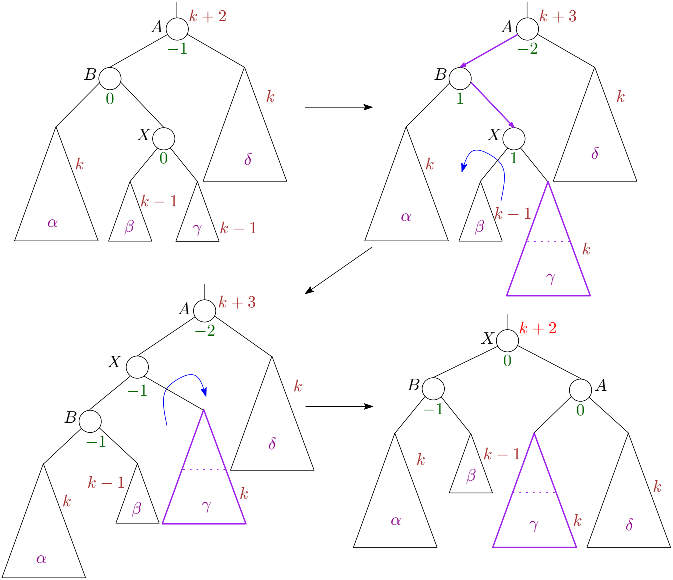


- Left rotation and then right rotation with C as the pivot. Done!

Left-Right Case: General Case 1



Left-Right Case: General Case 2



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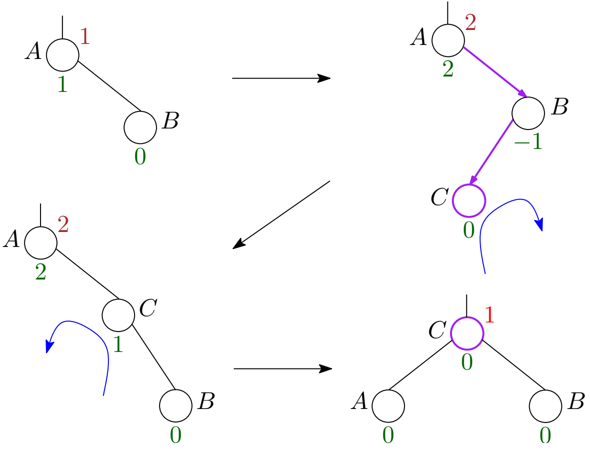
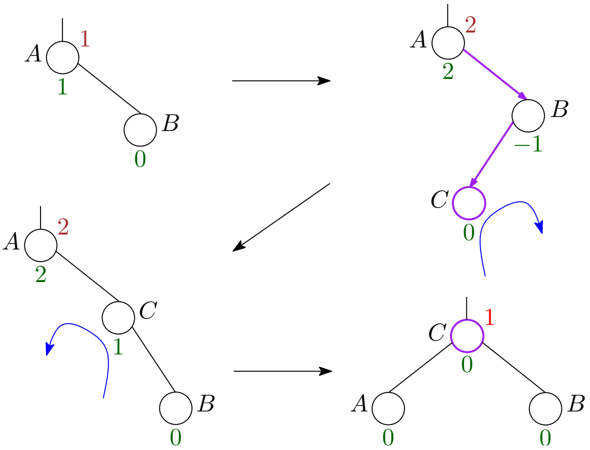


Right-Left Case: Special Case

When subtree α, β and γ are empty, $k = -1$. Insert C:



- Right rotation and then left rotation with C as the pivot. Done!

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- Left-Left case: single rotation
  — Right rotation

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For each insertion, at most two rotations are needed to restore the height balance of the entire tree.

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- Right-Right case: single rotation
  — Left rotation

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Note that in all cases, height of rebalanced subtree is unchanged! This means no further tree modifications are needed.

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- Trace the path from the parent of removed node to root
- For each node along path, restore the height balance if needed by doing single or double rotations

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Delete a node as in ordinary binary search tree

- If the node is a leaf, remove it
- If not, replace it with either the largest in its left subtree or the smallest in its right subtree, and remove that node
  Note: The replacement node has at most one subtree
- Trace the path from the parent of removed node to root
- For each node along path, restore the height balance if needed by doing single or double rotations

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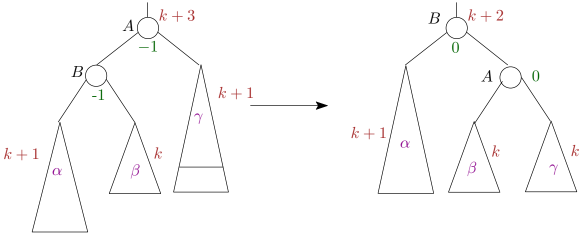
$\Rightarrow$ Deletion can also be done in $O(\log n)$ time.

Diagram below illustrates example in which subtree rooted at A has height $k+3$. An item is deleted from subtree γ, reducing its height from $k+1$ to k, leading to an imbalance.

After a single rotation, the subtree is now rooted at B with no imbalance. But, B has height $k+2$. This might cause an imbalance further up the tree, so the algorithm might need to continue walking upwards, correcting that imbalance.



Going Further

AVL trees are one particular type of *Balanced* Search trees, yielding $O(\log n)$ behavior for dictionary operations.

There are many other types of Balanced Search Trees, e.g.

- red-black trees
- B-trees
- (a, b) trees
  $(2, 3)$ and $(2, 3, 4)$ trees are special cases
- treaps (randomized BSTs)
- splay Trees (only $O(\log n)$ in amortized sense)