AVL Trees, B-Trees

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

B-Trees

Chapter 8
AVL Trees, B-Trees

Data Structures and Algorithms

Dr. Nguyen Ho Man Rang Faculty of Computer Science and Engineering University of Technology, VNU-HCM

Outcomes

- L.O.3.1 Depict the following concepts: binary tree, complete binary tree, balanced binary tree, AVL tree, multi-way tree, etc.
- L.O.3.2 Describe the strorage structure for tree structures using pseudocode.
- L.O.3.3 List necessary methods supplied for tree structures, and describe them using pseudocode.
- L.O.3.4 Identify the importance of "blanced" feature in tree structures and give examples to demonstate it.
- **L.O.3.5** Identity cases in which AVL tree and B-tree are unblanced, and demonstrate methods to resolve all the cases step-by-step using figures.

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Outcomes

- L.O.3.6 Implement binary tree and AVL tree using C/C++.
- L.O.3.7 Use binary tree and AVL tree to solve problems in real-life, especially related to searching techniques.
- L.O.3.8 Analyze the complexity and develop experiment (program) to evaluate methods supplied for tree structures.
- L.O.8.4 Develop recursive implementations for methods supplied for the following structures: list, tree, heap, searching, and graphs.
- L.O.1.2 Analyze algorithms and use Big-O notation to characterize the computational complexity of algorithms composed by using the following control structures: sequence, branching, and iteration (not recursion).

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Contents

- Man Rang
 - BK TP.HCM

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AVL Tree Concepts

AVL Tree

Definition

AVL Tree is:

- A Binary Search Tree,
- in which the heights of the left and right subtrees of the root differ by at most 1, and
- the left and right subtrees are again AVL trees.

Discovered by G.M.Adel'son-Vel'skii and E.M.Landis in 1962.

AVL Tree is a Binary Search Tree that is balanced tree.

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A binary tree is an AVL Tree if

- Each node satisfies BST property: key of the node is greater than the key of each node in its left subtree and is smaller than or equals to the key of each node in its right subtree.
- Each node satisfies balanced tree property: the difference between the heights of the left subtree and right subtree of the node does not exceed one.

AVL Tree

Balance factor

- left_higher (LH): $H_L = H_R + 1$
- equal_height (EH): $H_L = H_R$
- right_higher (RH): $H_R = H_L + 1$

 $(H_L, H_R:$ the heights of left and right subtrees)

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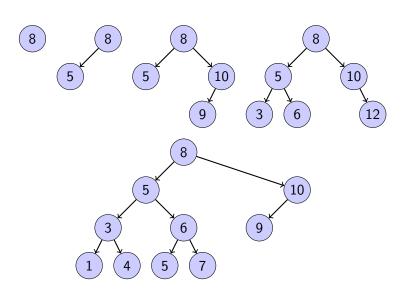
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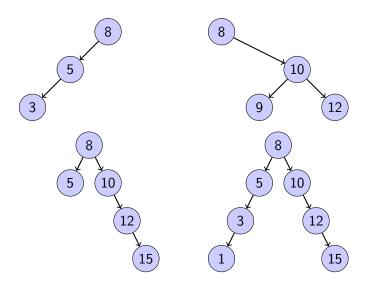
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Non-AVL Trees



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Why AVL Trees?

When data elements are inserted in a BST in sorted order: 1, 2, 3, ...
 BST becomes a degenerate tree.
 Search operation takes O(n), which is inefficient.

- It is possible that after a number of insert and delete operations, a binary tree may become unbalanced and increase in height.
- AVL trees ensure that the complexity of search is $O(log_2n)$.

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Balancing Trees

- When we insert a node into a tree or delete a node from a tree, the resulting tree may be unbalanced.
 - \rightarrow rebalance the tree.
- Four unbalanced tree cases:
 - left of left: a subtree of a tree that is left high has also become left high;
 - right of right: a subtree of a tree that is right high has also become right high;
 - right of left: a subtree of a tree that is left high has become right high;
 - left of right: a subtree of a tree that is right high has become left high;

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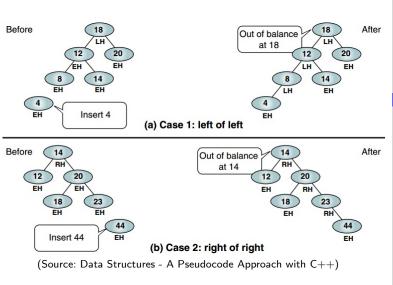
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Unbalanced tree cases



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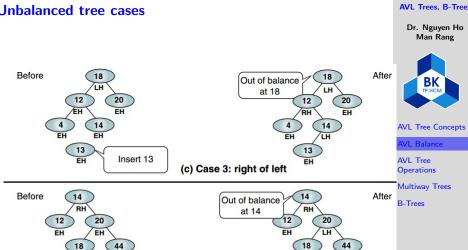
AVL Tree Operations

Multiway Trees

Unbalanced tree cases

Insert 19

EH



19 EH

(Source: Data Structures - A Pseudocode Approach with C++)

(d) Case 4: left of right

Rotate Right

Algorithm rotateRight(ref root <pointer>)

Exchanges pointers to rotate the tree right.

Pre: root is pointer to tree to be rotated **Post:** node rotated and root updated

tempPtr = root->left
root->left = tempPtr->right
tempPtr->right = root
Return tempPtr

End rotateRight

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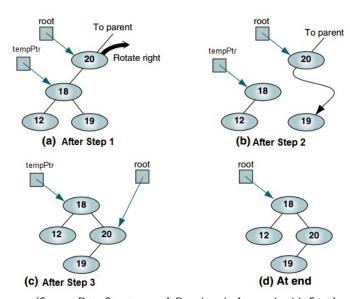
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Rotate Right



(Source: Data Structures - A Pseudocode Approach with C++)

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Rotate Left

Algorithm rotateLeft(ref root <pointer>) Exchanges pointers to rotate the tree left.

Pre: root is pointer to tree to be rotated

Post: node rotated and root updated

tempPtr = root->right
root->right = tempPtr->left
tempPtr->left = root
Return tempPtr

End rotateLeft

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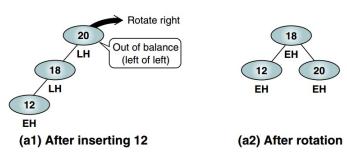
AVL Tree Operations

Multiway Trees

Balancing Trees - Case 1: Left of Left

Out of balance condition created by a left high subtree of a left high tree

→ balance the tree by rotating the out of balance node to the right.



(Source: Data Structures - A Pseudocode Approach with C++)

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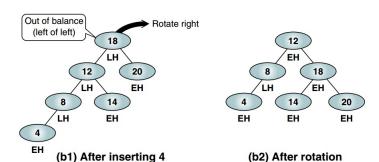
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Balancing Trees - Case 1: Left of Left



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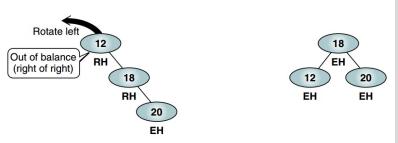
AVL Tree Operations

Multiway Trees

Balancing Trees - Case 2: Right of Right

Out of balance condition created by a right high subtree of a right high tree

→ balance the tree by rotating the out of balance node to the left.



(Source: Data Structures - A Pseudocode Approach with C++)

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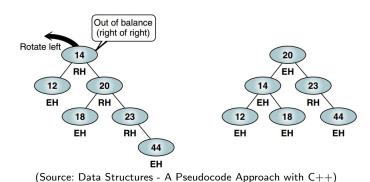
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Balancing Trees - Case 2: Right of Right



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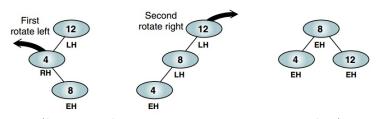
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Multiway Trees

Balancing Trees - Case 3: Right of Left

Out of balance condition created by a right high subtree of a left high tree

- → balance the tree by two steps:
 - rotating the left subtree to the left;
 - 2 rotating the root to the right.



(Source: Data Structures - A Pseudocode Approach with C++)

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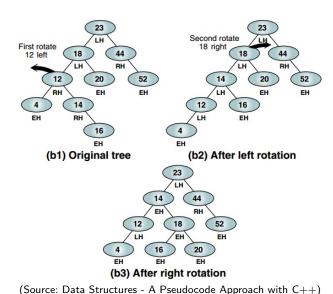
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Balancing Trees - Case 3: Right of Left



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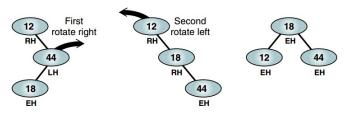
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Balancing Trees - Case 4: Left of Right

Out of balance condition created by a left high subtree of a right high tree

- → balance the tree by two steps:
 - rotating the right subtree to the right;
 - orotating the root to the left.



(Source: Data Structures - A Pseudocode Approach with C++)

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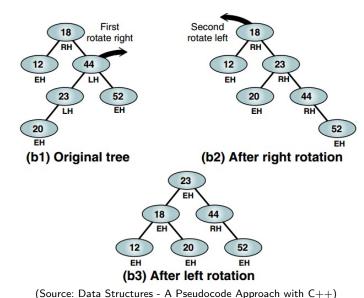
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Balancing Trees - Case 4: Left of Right



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AVL Tree Structure

```
node
                           avlTree
  data <dataType>
                             root <pointer>
                          end avlTree
  left <pointer>
  right <pointer>
  balance <balance factor>
end node
             // General dataTye:
             dataType
               key <keyType>
               field1 <...>
               field2 <...>
                . . .
               fieldn <...>
             end dataType
```

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

B-Trees

Note: Array is not suitable for AVL Tree.

AVL Tree Operations

 Search and retrieval are the same for any binary tree.

- AVL Insert
- AVL Delete

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AVL Tree Concepts

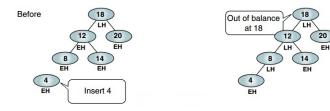
AVL Balance

AVL Tree

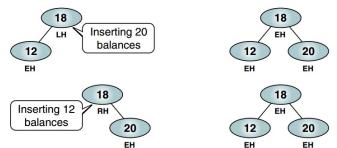
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AVL Insert

Insert can make an out of balance condition.



 Otherwise, some inserts can make an automatic balancing.



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After

AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

AVL Insert Algorithm

Algorithm AVLInsert(ref root <pointer>, val newPtr <pointer>, ref taller <boolean>)

Using recursion, insert a node into an AVL tree.

Pre: root is a pointer to first node in AVL tree/subtree newPtr is a pointer to new node to be

inserted

Post: taller is a Boolean: true
indicating the subtree height has
increased, false indicating same height

Return root returned recursively up the

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ВК

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AVL Balance

VL Tree Operations

Multiway Trees B-Trees

AVL Insert Algorithm

```
// Insert at root
if root null then
    root = newPtr
    taller = true
    return root
end
```

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Multiway Trees

```
AVL Insert Algorithm
if newPtr->data.key < root->data.key
  then
    root->left = AVLInsert(root->left,
     newPtr, taller)
    // Left subtree is taller
    if taller then
        if root is LH then
            root = leftBalance(root, taller)
        else if root is FH then
            root->balance = LH
        else
            root->balance = EH
           taller = false
        end
```

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AVL Insert Algorithm

End AVI Insert

```
else
    root->right = AVLInsert(root->right, newPtr,
     taller)
    // Right subtree is taller
    if taller then
        if root is LH then
             root->balance = EH
             taller = false
        else if root is EH then
             root->balance = RH
        else
             root = rightBalance(root, taller)
        end
    end
end
return root
```

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AVL Tree Concepts

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AVL Tree

Multiway Trees

AVL Left Balance Algorithm

Algorithm leftBalance(ref root <pointer>, ref taller <boolean>)

This algorithm is entered when the left subtree is higher than the right subtree.

Pre: root is a pointer to the root of the
 [sub]tree
taller is true

Post: root has been updated (if necessary) taller has been updated

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AVL Left Balance Algorithm

leftTree = root->left

// Case 1: Left of left. Single rotation right.

if leftTree is LH then

root = rotateRight(root)

root->balance = EH

leftTree->balance = EH

taller = false

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AVL Tree Concepts

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Multiway Trees

```
AVL Left Balance Algorithm
// Case 2: Right of Left. Double rotation required.
 else
     rightTree = leftTree->right
     if rightTree->balance = LH then
         root->balance = RH
         leftTree->balance = EH
     else if rightTree->balance = EH then
         root->balance = EH
         leftTree->balance = EH
     else
         root->balance = EH
         leftTree->balance = LH
     end
     rightTree->balance = EH
     root->left = rotateLeft(leftTree)
     root = rotateRight(root)
     taller = false
 end
 return root
```

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AVL Tree Concepts

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AVL Right Balance Algorithm

Algorithm rightBalance(ref root <pointer>, ref taller <boolean>)
This algorithm is entered when the right subtree is higher than the left subtree.

Pre: root is a pointer to the root of the
 [sub]tree
taller is true

Post: root has been updated (if necessary) taller has been updated

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AVL Right Balance Algorithm

```
rightTree = root->right
// Case 1: Right of right. Single rotation
 left
if rightTree is RH then
   root = rotateLeft(root)
   root->balance = EH
   rightTree->balance = EH
   taller = false
```

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```
AVL Right Balance Algorithm
 // Case 2: Left of Right. Double rotation required.
 else
     leftTree = rightTree > left
     if leftTree->balance=RH then
         root->balance = LH
         rightTree->balance = EH
     else if leftTree->balance = EH then
         root->balance = EH
         rightTree->balance = EH
     else
         root->balance = EH
         rightTree->balance = RH
     end
     leftTree->balance = EH
     root->right = rotateRight(rightTree)
     root = rotateLeft(root)
     taller = false
 end
 return root
```

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AVL Delete Algorithm

The AVL delete follows the basic logic of the binary search tree delete with the addition of the logic to balance the tree. As with the insert logic, the balancing occurs as we back out of the tree.

Algorithm AVLDelete(ref root <pointer>, val deleteKey <key>, ref shorter <boolean>, ref success <boolean>)

This algorithm deletes a node from an AVL tree and rebalances if necessary.

Pre: root is a pointer to the root of the [sub]tree deleteKey is the key of node to be deleted

Post: node deleted if found, tree unchanged if not found
shorter is true if subtree is shorter
success is true if deleted, false if not found

Return pointer to root of (potential) new subtree

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VL Tree

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AVL Delete Algorithm

```
if tree null then
    shorter = false
    success = false
    return null
end
if deleteKey < root->data.key then
    root->left = AVLDelete(root->left, deleteKey,
     shorter, success)
    if shorter then
         root = deleteRightBalance(root, shorter)
    end
else if deleteKey > root->data.key then
    root->right = AVLDelete(root->right,
     deleteKey, shorter, success)
    if shorter then
        root = deleteLeftBalance(root, shorter)
    end
```

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AVL Delete Algorithm

```
// Delete node found – test for leaf node else
```

```
deleteNode = root
if no right subtree then
    newRoot = root > left
    success = true
    shorter = true
    recycle(deleteNode)
    return newRoot
else if no left subtree then
    newRoot = root->right
    success = true
    shorter = true
    recycle(deleteNode)
    return newRoot
```

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```
AVL Delete Algorithm else
```

```
// ... // Delete node has two subtrees
else
    exchPtr = root->left
    while exchPtr->right not null do
        exchPtr = exchPtr->right
    end
    root->data = exchPtr->data
    root->left = AVLDelete(root->left,
     exchPtr->data.key, shorter, success)
    if shorter then
        root = deleteRightBalance(root,
          shorter)
    end
end
```

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Return root

end

Delete Right Balance

Algorithm deleteRightBalance(ref root <pointer>, ref shorter <boolean>)

The (sub)tree is shorter after a deletion on the left branch. Adjust the balance factors and if necessary balance the tree by rotating left.

Pre: tree is shorter

Post: balance factors updated and balance restored

root updated

shorter updated

if root LH then

root->balance = EH

else if root EH then

root->balance = RH

shorter = false

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Delete Right Balance

```
else
```

```
rightTree = root->right
if rightTree LH then
    leftTree = rightTree > left
    if leftTree I H then
        rightTree->balance = RH
        root->balance = EH
    else if leftTree EH then
        root->balance = EH
        rightTree->balance = EH
    else
        root->balance = IH
        rightTree->balance = EH
    end
    leftTree->balance = EH
    root->right = rotateRight(rightTree)
    root = rotateLeft(root)
```

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Delete Right Balance

```
else
    else
        if rightTree not EH then
            root->balance = EH
            rightTree->balance = EH
        else
            root->balance = RH
            rightTree->balance = LH
            shorter = false
        end
        root = rotateLeft(root)
    end
end
return root
End deleteRightBalance
```

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Delete Left Balance

Algorithm deleteLeftBalance(ref root <pointer>, ref shorter <boolean>)

The (sub)tree is shorter after a deletion on the right branch. Adjust the balance factors and if necessary balance the tree by rotating right.

Pre: tree is shorter

Post: balance factors updated and balance restored

root updated

shorter updated

if root RH then

 \mid root->balance = EH

else if root EH then

root->balance = LH

shorter = false

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AVL Tree Concepts

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Delete Left Balance

```
else
```

```
leftTree = root->left
if leftTree RH then
    rightTree = leftTree->right
    if rightTree RH then
        leftTree->balance = LH
        root->balance = EH
    else if rightTree EH then
        root->balance = EH
        leftTree->balance = EH
    else
        root->balance = RH
        leftTree->balance = EH
    end
    rightTree->balance = EH
    root->left = rotateLeft(leftTree)
    root = rotateRight(root)
```

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Delete Left Balance

```
else
    else
        if leftTree not EH then
            root->balance = EH
            leftTree->balance = EH
        else
            root->balance = LH
            leftTree->balance = RH
            shorter = false
        end
        root = rotateRight(root)
    end
end
return root
End deleteLeftBalance
```

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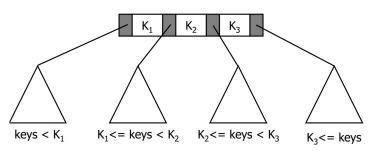
Multiway Trees

B-Trees

Tree whose outdegree is not restricted to 2 while retaining the general properties of binary search trees.

M-Way Search Trees

- Each node has m 1 data entries and m subtree pointers.
- The key values in a subtree such that:
 - \geq the key of the left data entry
 - < the key of the right data entry.



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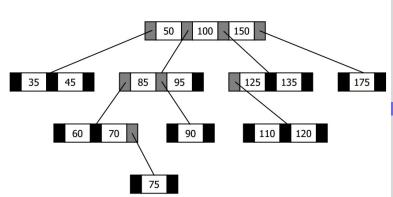
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M-Way Search Trees



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Multiway Trees

M-Way Node Structure



entry kev

key <key type>
data <data type>
rightPtr <pointer>
end entry

. .

node

firstPtr <pointer>
numEntries <integer>
entries <array[1 .. m-1] of entry>
end node

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AVL Tree Concepts

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AVL Tree Operations

Multiway Trees

B-Trees

- M-way trees are unbalanced.
- Bayer, R. & McCreight, E. (1970) created B-Trees.

AVL Trees, B-Trees

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

A B-tree is an m-way tree with the following additional properties $(m \geq 3)$:

- The root is either a leaf or has at least 2 subtrees gốc hoặc lá có ít nhất 2 cây con
- All other nodes have at least $\lceil m/2 \rceil 1$ entries. Các nodes còn lại có ít nhất m/2 upper - 1 cổng vào
- All leaf nodes are at the same level. các nút lá ở cùng một level

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AVL Tree Concepts

AVL Balance

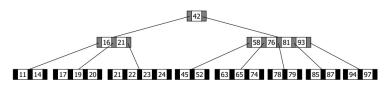
AVI Tree Operations

Multiway Trees

3-Trees

8.58

B-Trees



Hình: m=5

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Thêm entry mới vào một node lá

- Insert the new entry into a leaf node.
- If the leaf node is overflow, then split it and insert its median entry into its parent.

nếu node lá bị tràn ,chia cắt nó và thêm giá trị trung vị vào node phụ huynh (parent)

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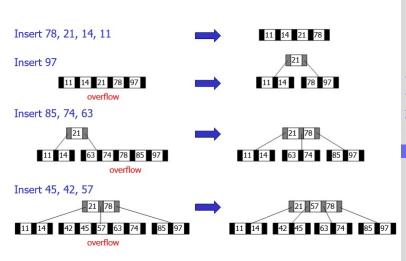


AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees



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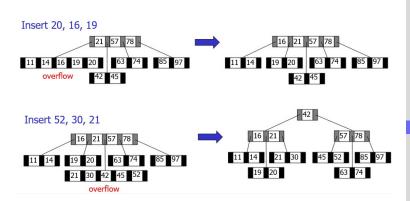


AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees



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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

```
B-Tree Insertion
```

Algorithm BTreeInsert(ref root <pointer>, val data <record>)

Inserts data into B-tree. Equal keys placed on right branch.

Pre: root is a pointer to the B-tree. May be null.

Post: data inserted

Return pointer to B-tree root.

taller = insertNode(root, data, upEntry)

if taller then

// Tree has grown. Create new root.

allocate(newPtr)

 $\mathsf{newPtr}{-}{>}\mathsf{entries}[1] = \mathsf{upEntry}$

newPtr—>firstPtr = root

newPtr—>numEntries = 1

root = newPtr

return root

End BTreeInsert

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Algorithm insertNode (ref root <pointer>, val data <record>, ref upEntry <entry>)

Recursively searches tree to locate leaf for data. If node overflow, inserts median key's data into parent.

Pre: root is a pointer to tree or subtree. May be null.

Post: data inserted upEntry is overflow entry to be inserted into parent. **Return** tree taller <boolean>.

if root null then

upEntry.data = data
upEntry.rightPtr = null
taller = true

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

End insertNode

```
else
    entryNdx = searchNode(root, data.key)
    if entryNdx > 0 then
          subTree = root -> entries[entryNdx].rightPtr
    else
          subTree = root - > firstPtr
    end
    taller = insertNode(subTree, data, upEntry)
    if taller then
          if node full then
               splitNode(root, entryNdx, upEntry)
               taller = true
          else
               insertEntry(root, entryNdx, upEntry)
               taller = false
               root->numEntries = root->numEntries + 1
          end
    end
end
return taller
```

AVL Trees, B-Trees

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

```
B-Tree Insertion
```

Algorithm searchNode(val nodePtr <pointer>, val target <key>)

Search B-tree node for data entry containing key <= target.

Pre: nodePtr is pointer to non-null node.

target is key to be located.

 $\textbf{Return} \ \ \text{index to entry with key} <= \mathsf{target}.$

0 if key < first entry in node

```
if target < nodePtr->entry[1].data.key then
     walker = 0
```

else

end

return walker

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Algorithm splitNode(val node <pointer>, val entryNdx <index>, ref upEntry <entry>)
Node has overflowed. Split node. No duplicate keys allowed.

Pre: node is pointer to node that overflowed. entryNdx contains index location of parent. upEntry contains entry being inserted into split node.

Post: upEntry now contains entry to be inserted into parent.

```
minEntries = minimum number of entries allocate (rightPtr)
// Build right subtree node
if entryNdx <= minEntries then
| fromNdx = minEntries + 1
else
```

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

```
B-Tree Insertion
```

```
else
    fromNdx = minEntries + 2
end
toNdx = 1
rightPtr->numEntries = node->numEntries -
 fromNdx + 1
while fromNdx \le node->numEntries do
    rightPtr->entries[toNdx] =
     node->entries[fromNdx]
    fromNdx = fromNdx + 1
    toNdx = toNdx + 1
end
node->numEntries =
 node->numEntries-rightPtr->numEntries
if entryNdx <= minEntries then
    insertEntry(node, entryNdx, upEntry)
else
```

AVL Trees, B-Trees

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Trees

```
else
    insertEntry(rightPtr, entryNdx—minEntries,
     upEntry)
    node->numEntries = node->numEntries-1
    rightPtr->numEntries = rightPtr->numEntries
     +1
end
// Build entry for parent
medianNdx = minEntries + 1
upEntry.data = node->entries[medianNdx].data
upEntry.rightPtr = rightPtr
rightPtr->firstPtr =
 node->entries[medianNdx].rightPtr
return
End splitNode
```

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

return

Algorithm insertEntry(val node <pointer>, val entryNdx <index>, val newEntry <entry>) Inserts one entry into a node by shifting nodes to make room.

Pre: node is pointer to node to contain data. entryNdx is index to location for new data. newEntry contains data to be inserted.

Post: data has been inserted in sequence.

node->numEntries = node->numEntries + 1

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

B-Tree Deletion

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

- It must take place at a leaf node.
- If the data to be deleted are not in a leaf node, then replace that entry by the largest entry on its left subtree.

B-Tree Deletion

Delete 78 63 11 14 21 74 78 85 Delete 63

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AVL Tree Concepts

AVL Balance

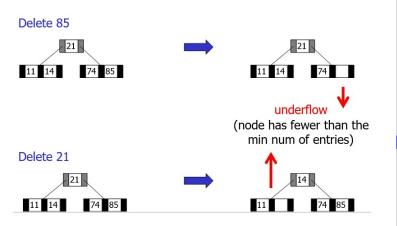
AVL Tree Operations

Multiway Trees

B-Trees

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B-Tree Deletion



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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Reflow

For each node to have sufficient number of entries:

- Balance: shift data among nodes.
- Combine: join data from nodes.

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Balance

Borrow from right Original node 42 45 63 Rotate parent data down 14 21 42 45 63 Rotate data to parent 14 21 42 45 63 42 Shift entries left

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Balance

Borrow from left 78 Original node 45 63 74 85 Shift entries right 78 Rotate parent data down 45 63 74 78 85 74 Rotate data up

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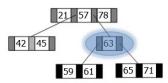
AVL Tree Concepts

AVL Balance

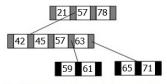
AVL Tree Operations

Multiway Trees

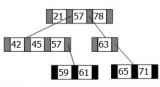
Combine



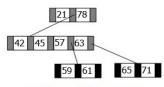
1. After underflow



3.After moving right entries



2. After moving root to subtree



4. After shifting root

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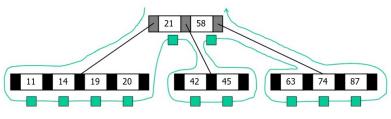
AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

B-Tree Traversal



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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

```
B-Tree Traversal
```

Algorithm BTreeTraversal (val root <pointer>)

Processes tree using inorder traversal.

Pre: root is pointer to B-Tree.

Post: Every entry has been processed in order.

scanCount = 0

ptr = root->firstPtr

while scanCount <= root->numEntries **do**

if ptr not null then

| BTreeTraversal(ptr)

end

scanCount = scanCount + 1

if scanCount <= root->numEntries **then**

process (root—>entries[scanCount].data)
ptr = root—>entries[scanCount].rightPtr

end

end

return

End BTreeTraversal

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

B-Tree Search

Algorithm BTreeSearch(val root <pointer>, val target <key>, ref node <pointer>, ref entryNo <index>)

Recursively searches a B-tree for the target key.

Pre: root is pointer to a tree or subtree target is the data to be located

Post:

if found — node is pointer to located node entryNo is entry within node if not found — node is null and entryNo is zero

Return found <boolean>

AVL Trees, B-Trees

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

```
B-Tree Search
if target < first entry then
     return BTreeSearch (root—>firstPtr, target, node,
       entryNo)
 else
     entryNo = root->numEntries
     while target < root—>entries[entryNo].data.key do
          entryNo = entryNo - 1
     end
     if target = root->entries[entryNo].data.key then
          found = true
          node = root
     else
          return BTreeSearch
           (root—>entries[entryNo].rightPtr, target,
           node, entryNo)
     end
 end
 return found
```

End BTreeSearch

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees

Trees

B-Tree Variations

 B*Tree: the minimum number of (used) entries is two thirds.

- B+Tree:
 - Each data entry must be represented at the leaf level.
 - Each leaf node has one additional pointer to move to the next leaf node.

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AVL Tree Concepts

AVL Balance

AVL Tree Operations

Multiway Trees