

AVL Trees

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Abstract

Two formalizations of AVL trees with room for extensions. The first formalization is monolithic and shorter, the second one in two stages, longer and a bit simpler. The final implementation is the same. If you are interested in developing this further, please contact gerwin.klein@nicta.com.au.

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1 AVL Trees

```
theory AVL
imports Main
begin
```

This is a monolithic formalization of AVL trees.

1.1 AVL tree type definition

```
datatype (set_of: 'a) tree = ET | MKT 'a "'a tree" "'a tree" nat
```

1.2 Invariants and auxiliary functions

```
primrec height :: "'a tree  $\Rightarrow$  nat" where
"height ET = 0" |
"height (MKT x l r h) = max (height l) (height r) + 1"
```

```
primrec avl :: "'a tree  $\Rightarrow$  bool" where
"avl ET = True" |
"avl (MKT x l r h) =
((height l = height r  $\vee$  height l = height r + 1  $\vee$  height r = height l + 1)  $\wedge$ 
 h = max (height l) (height r) + 1  $\wedge$  avl l  $\wedge$  avl r)"
```

```
primrec is_ord :: "('a::order) tree  $\Rightarrow$  bool" where
"is_ord ET = True" |
"is_ord (MKT n l r h) =
(( $\forall n' \in$  set_of l.  $n' < n$ )  $\wedge$  ( $\forall n' \in$  set_of r.  $n < n'$ )  $\wedge$  is_ord l  $\wedge$  is_ord r)"
```

1.3 AVL interface and implementation

```
primrec is_in :: "('a::order)  $\Rightarrow$  'a tree  $\Rightarrow$  bool" where
"is_in k ET = False" |
"is_in k (MKT n l r h) = (if k = n then True else
                          if k < n then (is_in k l)
                          else (is_in k r))"
```

```
primrec ht :: "'a tree  $\Rightarrow$  nat" where
"ht ET = 0" |
"ht (MKT x l r h) = h"
```

definition

```
mkt :: "'a  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
"mkt x l r = MKT x l r (max (ht l) (ht r) + 1)"
```

```
fun mkt_bal_l where
"mkt_bal_l n l r = (
  if ht l = ht r + 2 then (case l of
    MKT ln ll lr _  $\Rightarrow$  (if ht ll < ht lr
    then case lr of
```

```

    MKT lrn lrl lrr _  $\Rightarrow$  mkt lrn (mkt ln ll lrl) (mkt n lrr r)
  else mkt ln ll (mkt n lr r))
else mkt n l r
)"

```

```

fun mkt_bal_r where
"mkt_bal_r n l r = (
  if ht r = ht l + 2 then (case r of
    MKT rn rl rr _  $\Rightarrow$  (if ht rl > ht rr
      then case rl of
        MKT rln rll rlr _  $\Rightarrow$  mkt rln (mkt n l rll) (mkt rn rlr rr)
      else mkt rn (mkt n l rl) rr))
    else mkt n l r
  )"

```

```

primrec insert :: "'a::order  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
"insert x ET = MKT x ET ET 1" |
"insert x (MKT n l r h) =
  (if x=n
    then MKT n l r h
    else if x<n
      then mkt_bal_l n (insert x l) r
      else mkt_bal_r n l (insert x r))"

```

```

fun delete_max where
"delete_max (MKT n l ET h) = (n,l)" |
"delete_max (MKT n l r h) = (
  let (n',r') = delete_max r in
  (n',mkt_bal_l n l r'))"

```

lemmas delete_max_induct = delete_max.induct[case_names ET MKT]

```

fun delete_root where
"delete_root (MKT n ET r h) = r" |
"delete_root (MKT n l ET h) = l" |
"delete_root (MKT n l r h) =
  (let (new_n, l') = delete_max l in
    mkt_bal_r new_n l' r
  )"

```

lemmas delete_root_cases = delete_root.cases[case_names ET_t MKT_ET MKT_MKT]

```

primrec delete :: "'a::order  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
"delete _ ET = ET" |
"delete x (MKT n l r h) = (
  if x = n then delete_root (MKT n l r h)
  else if x < n then
    let l' = delete x l in
    mkt_bal_r n l' r
  )"

```

```

else
  let r' = delete x r in
  mkt_bal_l n l r'
)"

```

1.4 Correctness proof

1.4.1 Insertion maintains AVL balance

```

declare Let_def [simp]

```

```

lemma [simp]: "avl t  $\implies$  ht t = height t"
by (induct t) simp_all

```

```

lemma height_mkt_bal_l:
  "[ height l = height r + 2; avl l; avl r ]  $\implies$ 
  height (mkt_bal_l n l r) = height r + 2  $\vee$ 
  height (mkt_bal_l n l r) = height r + 3"
by (cases l) (auto simp:mkt_def split:tree.split)

```

```

lemma height_mkt_bal_r:
  "[ height r = height l + 2; avl l; avl r ]  $\implies$ 
  height (mkt_bal_r n l r) = height l + 2  $\vee$ 
  height (mkt_bal_r n l r) = height l + 3"
by (cases r) (auto simp add:mkt_def split:tree.split)

```

```

lemma [simp]: "height(mkt x l r) = max (height l) (height r) + 1"
by (simp add: mkt_def)

```

```

lemma avl_mkt:
  "[ avl l; avl r;
  height l = height r  $\vee$  height l = height r + 1  $\vee$  height r = height l + 1
  ]  $\implies$  avl(mkt x l r)"
by (auto simp add:max_def mkt_def)

```

```

lemma height_mkt_bal_l2:
  "[ avl l; avl r; height l  $\neq$  height r + 2 ]  $\implies$ 
  height (mkt_bal_l n l r) = (1 + max (height l) (height r))"
by (cases l, cases r) simp_all

```

```

lemma height_mkt_bal_r2:
  "[ avl l; avl r; height r  $\neq$  height l + 2 ]  $\implies$ 
  height (mkt_bal_r n l r) = (1 + max (height l) (height r))"
by (cases l, cases r) simp_all

```

```

lemma avl_mkt_bal_l:
  assumes "avl l" "avl r" and "height l = height r  $\vee$  height l = height r + 1
   $\vee$  height r = height l + 1  $\vee$  height l = height r + 2"
  shows "avl(mkt_bal_l n l r)"
proof(cases l)

```

```

    case ET
  with assms show ?thesis by (simp add: mkt_def)
next
case (MKT ln ll lr lh)
with assms show ?thesis
proof(cases "height l = height r + 2")
  case True
    from True MKT assms show ?thesis by (auto intro!: avl_mkt split: tree.split)
  next
  case False
    with assms show ?thesis by (simp add: avl_mkt)
qed
qed

```

```

lemma avl_mkt_bal_r:
  assumes "avl l" and "avl r" and "height l = height r  $\vee$  height l = height r + 1
     $\vee$  height r = height l + 1  $\vee$  height r = height l + 2"
  shows "avl(mkt_bal_r n l r)"
proof(cases r)
  case ET
  with assms show ?thesis by (simp add: mkt_def)
next
case (MKT rn rl rr rh)
with assms show ?thesis
proof(cases "height r = height l + 2")
  case True
    from True MKT assms show ?thesis by (auto intro!: avl_mkt split: tree.split)
  next
  case False
    with assms show ?thesis by (simp add: avl_mkt)
qed
qed

```

Insertion maintains the AVL property:

```

theorem avl_insert_aux:
  assumes "avl t"
  shows "avl(insert x t)"
    "(height (insert x t) = height t  $\vee$  height (insert x t) = height t + 1)"
using assms
proof (induction t)
  case (MKT n l r h)
  case 1
  with MKT show ?case
  proof(cases "x = n")
    case True
      with MKT 1 show ?thesis by simp
    next
    case False
      with MKT 1 show ?thesis

```

```

proof(cases "x<n")
  case True
  with MKT 1 show ?thesis by (auto simp add:avl_mkt_bal_l simp del:mkt_bal_l.simps)
next
  case False
  with MKT 1 <x≠n> show ?thesis by (auto simp add:avl_mkt_bal_r simp del:mkt_bal_r.simps)
qed
case 2
from 2 MKT show ?case
proof(cases "x = n")
  case True
  with MKT 1 show ?thesis by simp
next
  case False
  with MKT 1 show ?thesis
  proof(cases "x<n")
    case True
    with MKT 2 show ?thesis
    proof(cases "height (AVL.insert x l) = height r + 2")
      case False with MKT 2 <x < n> show ?thesis by (auto simp del: mkt_bal_l.simps
simp: height_mkt_bal_l2)
    next
      case True
      then consider (a) "height (mkt_bal_l n (AVL.insert x l) r) = height r + 2"
        | (b) "height (mkt_bal_l n (AVL.insert x l) r) = height r + 3"
        using MKT 2 by (atomize_elim, intro height_mkt_bal_l) simp_all
      then show ?thesis
      proof cases
        case a
        with 2 <x < n> show ?thesis by (auto simp del: mkt_bal_l.simps)
      next
        case b
        with True 1 MKT(2) <x < n> show ?thesis by (simp del: mkt_bal_l.simps) arith
      qed
    qed
  next
  case False
  with MKT 2 show ?thesis
  proof(cases "height (AVL.insert x r) = height l + 2")
    case False with MKT 2 <¬x < n> show ?thesis by (auto simp del: mkt_bal_r.simps
simp: height_mkt_bal_r2)
  next
    case True
    then consider (a) "height (mkt_bal_r n l (AVL.insert x r)) = height l + 2"
      | (b) "height (mkt_bal_r n l (AVL.insert x r)) = height l + 3"
      using MKT 2 by (atomize_elim, intro height_mkt_bal_r) simp_all
    then show ?thesis
    proof cases

```

```

      case a
      with 2 <¬x < n> show ?thesis by (auto simp del: mkt_bal_r.simps)
    next
      case b
      with True 1 MKT(4) <¬x < n> show ?thesis by (simp del: mkt_bal_r.simps) arith
    qed
  qed
qed
qed simp_all

```

```
lemmas avl_insert = avl_insert_aux(1)
```

1.4.2 Deletion maintains AVL balance

```

lemma avl_delete_max:
  assumes "avl x" and "x ≠ ET"
  shows "avl (snd (delete_max x))" "height x = height(snd (delete_max x)) ∨
        height x = height(snd (delete_max x)) + 1"
using assms
proof (induct x rule: delete_max_induct)
  case (MKT n l rn rl rr rh h)
  case 1
  with MKT have "avl l" "avl (snd (delete_max (MKT rn rl rr rh)))" by auto
  with 1 MKT have "avl (mkt_bal_l n l (snd (delete_max (MKT rn rl rr rh))))"
    by (intro avl_mkt_bal_l) fastforce+
  then show ?case
    by (auto simp: height_mkt_bal_l height_mkt_bal_l2
        linorder_class.max.absorb1 linorder_class.max.absorb2
        split:prod.split simp del:mkt_bal_l.simps)
  next
  case (MKT n l rn rl rr rh h)
  case 2
  let ?r = "MKT rn rl rr rh"
  let ?r' = "snd (delete_max ?r)"
  from <avl x> MKT 2 have "avl l" and "avl ?r" by simp_all
  then show ?case using MKT 2 height_mkt_bal_l[of l ?r' n] height_mkt_bal_l2[of l ?r'
n]
    apply (auto split:prod.splits simp del:avl.simps mkt_bal_l.simps) by arith+
qed auto

```

```

lemma avl_delete_root:
  assumes "avl t" and "t ≠ ET"
  shows "avl(delete_root t)"
using assms
proof (cases t rule:delete_root_cases)
  case (MKT_MKT n ln ll lr lh rn rl rr rh h)
  let ?l = "MKT ln ll lr lh"
  let ?r = "MKT rn rl rr rh"

```

```

let ?l' = "snd (delete_max ?l)"
from <avl t> and MKT_MKT have "avl ?r" by simp
from <avl t> and MKT_MKT have "avl ?l" by simp
then have "avl(?l'" "height ?l = height(?l')  $\vee$ 
  height ?l = height(?l') + 1" by (rule avl_delete_max,simp)+
with <avl t> MKT_MKT have "height ?l' = height ?r  $\vee$  height ?l' = height ?r + 1
   $\vee$  height ?r = height ?l' + 1  $\vee$  height ?r = height ?l' + 2" by fastforce
with <avl ?l'> <avl ?r> have "avl(mkt_bal_r (fst(delete_max ?l)) ?l' ?r)"
  by (rule avl_mkt_bal_r)
with MKT_MKT show ?thesis by (auto split:prod.splits simp del:mkt_bal_r.simps)
qed simp_all

```

lemma height_delete_root:

```

  assumes "avl t" and "t  $\neq$  ET"
  shows "height t = height(delete_root t)  $\vee$  height t = height(delete_root t) + 1"
using assms
proof (cases t rule: delete_root_cases)
  case (MKT_MKT n ln ll lr lh rn rl rr rh h)
  let ?l = "MKT ln ll lr lh"
  let ?r = "MKT rn rl rr rh"
  let ?l' = "snd (delete_max ?l)"
  let ?t' = "mkt_bal_r (fst(delete_max ?l)) ?l' ?r"
  from <avl t> and MKT_MKT have "avl ?r" by simp
  from <avl t> and MKT_MKT have "avl ?l" by simp
  then have "avl(?l'" by (rule avl_delete_max,simp)
  have l'_height: "height ?l = height ?l'  $\vee$  height ?l = height ?l' + 1" using <avl ?l>
by (intro avl_delete_max) auto
  have t_height: "height t = 1 + max (height ?l) (height ?r)" using <avl t> MKT_MKT by
simp
  have "height t = height ?t'  $\vee$  height t = height ?t' + 1" using <avl t> MKT_MKT
  proof(cases "height ?r = height ?l' + 2")
    case False
    show ?thesis using l'_height t_height False by (subst height_mkt_bal_r2[OF <avl
?l'> <avl ?r> False])+ arith
  next
    case True
    show ?thesis
    proof(cases rule: disjE[OF height_mkt_bal_r[OF True <avl ?l'> <avl ?r>, of "fst (delete_max
?l)" ]])
      case 1
      then show ?thesis using l'_height t_height True by arith
    next
      case 2
      then show ?thesis using l'_height t_height True by arith
    qed
  qed
  thus ?thesis using MKT_MKT by (auto split:prod.splits simp del:mkt_bal_r.simps)
qed simp_all

```

Deletion maintains the AVL property:


```

theorem avl_delete_aux:
  assumes "avl t"
  shows "avl(delete x t)" and "height t = (height (delete x t))  $\vee$  height t = height (delete
x t) + 1"
using assms
proof (induct t)
  case (MKT n l r h)
  case 1
  with MKT show ?case
  proof(cases "x = n")
    case True
    with MKT 1 show ?thesis by (auto simp:avl_delete_root)
  next
    case False
    with MKT 1 show ?thesis
    proof(cases "x<n")
      case True
      with MKT 1 show ?thesis by (auto simp add:avl_mkt_bal_r simp del:mkt_bal_r.simps)
    next
      case False
      with MKT 1 <x $\neq$ n> show ?thesis by (auto simp add:avl_mkt_bal_l simp del:mkt_bal_l.simps)
    qed
  qed
  case 2
  with MKT show ?case
  proof(cases "x = n")
    case True
    with 1 have "height (MKT n l r h) = height(delete_root (MKT n l r h))
 $\vee$  height (MKT n l r h) = height(delete_root (MKT n l r h)) + 1"
    by (subst height_delete_root,simp_all)
    with True show ?thesis by simp
  next
    case False
    with MKT 1 show ?thesis
    proof(cases "x<n")
      case True
      show ?thesis
      proof(cases "height r = height (delete x l) + 2")
        case False with MKT 1 <x < n> show ?thesis by auto
      next
        case True
        then consider (a) "height (mkt_bal_r n (delete x l) r) = height (delete x l) +
2"
          | (b) "height (mkt_bal_r n (delete x l) r) = height (delete x l) + 3"
          using MKT 2 by (atomize_elim, intro height_mkt_bal_r) auto
      then show ?thesis
    proof cases
      case a
      with <x < n> MKT 2 show ?thesis by auto
    
```

```

    next
      case b
      with <x < n> MKT 2 show ?thesis by auto
    qed
  qed
next
case False
show ?thesis
proof(cases "height l = height (delete x r) + 2")
  case False with MKT 1 <¬x < n> <x ≠ n> show ?thesis by auto
next
  case True
  then consider (a) "height (mkt_bal_l n l (delete x r)) = height (delete x r) +
2"
    | (b) "height (mkt_bal_l n l (delete x r)) = height (delete x r) + 3"
    using MKT 2 by (atomize_elim, intro height_mkt_bal_l) auto
  then show ?thesis
  proof cases
    case a
    with <¬x < n> <x ≠ n> MKT 2 show ?thesis by auto
  next
    case b
    with <¬x < n> <x ≠ n> MKT 2 show ?thesis by auto
  qed
  qed
  qed
qed simp_all

```

lemmas avl_delete = avl_delete_aux(1)

1.4.3 Correctness of insertion

lemma set_of_mkt_bal_l:

```

"[[ avl l; avl r ]] ==>
  set_of (mkt_bal_l n l r) = Set.insert n (set_of l ∪ set_of r)"
by (auto simp: mkt_def split:tree.splits)

```

lemma set_of_mkt_bal_r:

```

"[[ avl l; avl r ]] ==>
  set_of (mkt_bal_r n l r) = Set.insert n (set_of l ∪ set_of r)"
by (auto simp: mkt_def split:tree.splits)

```

Correctness of `AVL.insert`:

theorem set_of_insert:

```

"avl t ==> set_of(insert x t) = Set.insert x (set_of t)"
by (induct t)

```

```

(auto simp: avl_insert set_of_mkt_bal_l set_of_mkt_bal_r simp del:mkt_bal_l.simps mkt_bal_r.simps)

```

1.4.4 Correctness of deletion

```

fun rightmost_item :: "'a tree ⇒ 'a" where
  "rightmost_item (MKT n l ET h) = n" |
  "rightmost_item (MKT n l r h) = rightmost_item r"

```

```

lemma avl_dist:
  "[[ avl(MKT n l r h); is_ord(MKT n l r h); x ∈ set_of l ]] ⇒
  x ∉ set_of r"
by fastforce

```

```

lemma avl_dist2:
  "[[ avl(MKT n l r h); is_ord(MKT n l r h); x ∈ set_of l ∨ x ∈ set_of r ]] ⇒
  x ≠ n"
by auto

```

```

lemma ritem_in_rset: "r ≠ ET ⇒ rightmost_item r ∈ set_of r"
by(induct r rule:rightmost_item.induct) auto

```

```

lemma ritem_greatest_in_rset:
  "[[ r ≠ ET; is_ord r ]] ⇒
  ∀x. x ∈ set_of r → x ≠ rightmost_item r → x < rightmost_item r"
proof(induct r rule:rightmost_item.induct)
  case (2 n l rn rl rr rh h)
  show ?case (is "∀x. ?P x")
  proof
    fix x
    from 2 have "is_ord (MKT rn rl rr rh)" by auto
    moreover from 2 have "n < rightmost_item (MKT rn rl rr rh)"
      by (metis is_ord.simps(2) ritem_in_rset tree.simps(2))
    moreover from 2 have "x ∈ set_of l → x < rightmost_item (MKT rn rl rr rh)"
      by (metis calculation(2) is_ord.simps(2) xt1(10))
    ultimately show "?P x" using 2 by simp
  qed
qed auto

```

```

lemma ritem_not_in_ltree:
  "[[ avl(MKT n l r h); is_ord(MKT n l r h); r ≠ ET ]] ⇒
  rightmost_item r ∉ set_of l"
by (metis avl_dist ritem_in_rset)

```

```

lemma set_of_delete_max:
  "[[ avl t; is_ord t; t ≠ ET ]] ⇒
  set_of (snd(delete_max t)) = (set_of t) - {rightmost_item t}"
proof (induct t rule: delete_max_induct)
  case (MKT n l rn rl rr rh h)
  let ?r = "MKT rn rl rr rh"
  from MKT have "avl l" and "avl ?r" by simp_all
  let ?t' = "mkt_bal_l n l (snd (delete_max ?r))"
  from MKT have "avl (snd(delete_max ?r))" by (auto simp add: avl_delete_max)

```

```

with MKT ritem_not_in_ltree[of n l ?r h]
have "set_of ?t' = (set_of l)  $\cup$  (set_of ?r) - {rightmost_item ?r}  $\cup$  {n}"
  by (auto simp add:set_of_mkt_bal_l simp del:mkt_bal_l.simps)
moreover have "n  $\notin$  {rightmost_item ?r}"
  by (metis MKT(2) MKT(3) avl_dist2 ritem_in_rset singletonE tree.simps(3))
ultimately show ?case
  by (auto simp add:insert_Diff_if split:prod.splits simp del:mkt_bal_l.simps)
qed auto

```

```

lemma fst_delete_max_eq_ritem:
  "t $\neq$ ET  $\implies$  fst(delete_max t) = rightmost_item t"
by (induct t rule:rightmost_item.induct) (auto split:prod.splits)

```

```

lemma set_of_delete_root:
  assumes "t = MKT n l r h" and "avl t" and "is_ord t"
  shows "set_of (delete_root t) = (set_of t) - {n}"
using assms
proof(cases t rule:delete_root_cases)
  case (MKT_MKT n ln ll lr lh rn rl rr rh h)
  let ?t' = "mkt_bal_r (fst (delete_max l)) (snd (delete_max l)) r"
  from assms MKT_MKT have "avl l" and "avl r" and "is_ord l" and "l $\neq$ ET" by auto
  moreover from MKT_MKT assms have "avl (snd(delete_max l))"
    by (auto simp add:avl_delete_max)
  ultimately have "set_of ?t' = (set_of l)  $\cup$  (set_of r)"
    by (fastforce simp add:Set.insert_Diff ritem_in_rset fst_delete_max_eq_ritem
      set_of_delete_max set_of_mkt_bal_r simp del:mkt_bal_r.simps)
  moreover from MKT_MKT assms(1) have "set_of (delete_root t) = set_of ?t'"
    by (simp split:prod.split del:mkt_bal_r.simps)
  moreover from MKT_MKT assms have "(set_of t) - {n} = set_of l  $\cup$  set_of r"
    by (metis Diff_insert_absorb UnE avl_dist2 tree.set(2) tree.inject)
  ultimately show ?thesis using MKT_MKT assms(1)
    by (simp del:delete_root.simps)
qed auto

```

Correctness of delete:

```

theorem set_of_delete:
  "[[ avl t; is_ord t ]]  $\implies$  set_of (delete x t) = (set_of t) - {x}"
proof (induct t)
  case (MKT n l r h)
  then show ?case
  proof(cases "x = n")
    case True
    with MKT set_of_delete_root[of "MKT n l r h"] show ?thesis by simp
  next
    case False
    with MKT show ?thesis
  proof(cases "x < n")
    case True
    with True MKT show ?thesis
  end
end

```

```

    by (force simp: avl_delete set_of_mkt_bal_r[of "(delete x l)" r n] simp del:mkt_bal_r.simps)
next
  case False
  with False MKT <x≠n> show ?thesis
    by (force simp: avl_delete set_of_mkt_bal_l[of l "(delete x r)" n] simp del:mkt_bal_l.simps)
qed
qed
qed simp

```

1.4.5 Correctness of lookup

```

theorem is_in_correct: "is_ord t  $\implies$  is_in k t = (k : set_of t)"
by (induct t) auto

```

1.4.6 Insertion maintains order

```

lemma is_ord_mkt_bal_l:
  "is_ord(MKT n l r h)  $\implies$  is_ord (mkt_bal_l n l r)"
by (cases l) (auto simp: mkt_def split:tree.splits intro: order_less_trans)

```

```

lemma is_ord_mkt_bal_r: "is_ord(MKT n l r h)  $\implies$  is_ord (mkt_bal_r n l r)"
by (cases r) (auto simp: mkt_def split:tree.splits intro: order_less_trans)

```

If the order is linear, `AVL.insert` maintains the order:

```

theorem is_ord_insert:
  "[[ avl t; is_ord t ]  $\implies$  is_ord(insert (x::'a::linorder) t)]"
by (induct t) (simp_all add:is_ord_mkt_bal_l is_ord_mkt_bal_r avl_insert set_of_insert
  linorder_not_less order_neq_le_trans del:mkt_bal_l.simps mkt_bal_r.simps)

```

1.4.7 Deletion maintains order

```

lemma is_ord_delete_max:
  "[[ avl t; is_ord t; t≠ET ]  $\implies$  is_ord(snd(delete_max t))]"
proof(induct t rule:delete_max_induct)
  case(MKT n l rn rl rr rh h)
  let ?r = "MKT rn rl rr rh"
  let ?r' = "snd(delete_max ?r)"
  from MKT have " $\forall h. is\_ord(MKT\ n\ l\ ?r'\ h)$ " by (auto simp: set_of_delete_max)
  moreover from MKT have "avl(?r)" by (auto simp: avl_delete_max)
  moreover note MKT is_ord_mkt_bal_l[of n l ?r']
  ultimately show ?case by (auto split:prod.splits simp del:is_ord.simps mkt_bal_l.simps)
qed auto

```

```

lemma is_ord_delete_root:
  assumes "avl t" and "is_ord t" and "t  $\neq$  ET"
  shows "is_ord (delete_root t)"
using assms
proof(cases t rule:delete_root_cases)
  case(MKT_MKT n ln ll lr lh rn rl rr rh h)
  let ?l = "MKT ln ll lr lh"

```

```

let ?r = "MKT rn rl rr rh"
let ?l' = "snd (delete_max ?l)"
let ?n' = "fst (delete_max ?l)"
from assms MKT_MKT have "∀h. is_ord(MKT ?n' ?l' ?r h)"
proof -
  from assms MKT_MKT have "is_ord ?l'" by (auto simp add: is_ord_delete_max)
  moreover from assms MKT_MKT have "is_ord ?r" by auto
  moreover from assms MKT_MKT have "∀x. x ∈ set_of ?r → ?n' < x"
    by (metis fst_delete_max_eq_ritem is_ord.simps(2) order_less_trans ritem_in_rset
      tree.simps(3))
  moreover from assms MKT_MKT ritem_greatest_in_rset have "∀x. x ∈ set_of ?l' →
x < ?n'"
    by (metis Diff_iff avl.simps(2) fst_delete_max_eq_ritem is_ord.simps(2)
      set_of_delete_max singleton_iff tree.simps(3))
  ultimately show ?thesis by auto
qed
moreover from assms MKT_MKT have "avl ?r" by simp
moreover from assms MKT_MKT have "avl ?l'" by (simp add: avl_delete_max)
moreover note MKT_MKT is_ord_mkt_bal_r[of ?n' ?l' ?r]
ultimately show ?thesis by (auto simp del:mkt_bal_r.simps is_ord.simps split:prod.splits)
qed simp_all

```

If the order is linear, `delete` maintains the order:

```

theorem is_ord_delete:
  "[[ avl t; is_ord t ]] ⇒ is_ord (delete x t)"
proof (induct t)
  case (MKT n l r h)
  then show ?case
  proof(cases "x = n")
    case True
    with MKT is_ord_delete_root[of "MKT n l r h"] show ?thesis by simp
  next
    case False
    with MKT show ?thesis
  proof(cases "x < n")
    case True
    with True MKT have "∀h. is_ord (MKT n (delete x l) r h)" by (auto simp:set_of_delete)
    with True MKT is_ord_mkt_bal_r[of n "(delete x l)" r] show ?thesis
      by (auto simp add: avl_delete)
  next
    case False
    with False MKT have "∀h. is_ord (MKT n l (delete x r) h)" by (auto simp:set_of_delete)
    with False MKT is_ord_mkt_bal_l[of n l "(delete x r)"] <x≠n> show ?thesis by (simp
add: avl_delete)
  qed
  qed
  qed simp

```

end

2 AVL Trees in 2 Stages

```
theory AVL2
imports Main
begin
```

This development of AVL trees leads to the same implementation as the monolithic one (in theory AVL) but via an intermediate abstraction: AVL trees where the height is recomputed rather than stored in the tree. This two-stage development is longer than the monolithic one but each individual step is simpler. It should really be viewed as a blueprint for the development of data structures where some of the fields contain redundant information (for efficiency reasons).

2.1 Step 1: Pure binary and AVL trees

The basic formulation of AVL trees builds on pure binary trees and recomputes all height information whenever it is required. This simplifies the correctness proofs.

```
datatype (set_of: 'a) tree0 = ET0 | MKT0 'a "'a tree0" "'a tree0"
```

2.1.1 Auxiliary functions

```
primrec height :: "'a tree0 ⇒ nat" where
  "height ET0 = 0"
| "height (MKT0 n l r) = 1 + max (height l) (height r)"
```

```
primrec is_ord :: "('a::preorder) tree0 ⇒ bool" where
  "is_ord ET0 = True"
| "is_ord (MKT0 n l r) =
  ((∀n'∈ set_of l. n' < n) ∧ (∀n'∈ set_of r. n < n')) ∧ is_ord l ∧ is_ord r"
```

```
primrec is_bal :: "'a tree0 ⇒ bool" where
  "is_bal ET0 = True"
| "is_bal (MKT0 n l r) =
  ((height l = height r ∨ height l = 1+height r ∨ height r = 1+height l) ∧
  is_bal l ∧ is_bal r)"
```

2.1.2 AVL interface and simple implementation

```
primrec is_in0 :: "('a::preorder) ⇒ 'a tree0 ⇒ bool" where
  "is_in0 k ET0 = False"
| "is_in0 k (MKT0 n l r) = (if k = n then True else
  if k < n then (is_in0 k l)
  else (is_in0 k r))"
```

```
primrec l_bal0 :: "'a ⇒ 'a tree0 ⇒ 'a tree0 ⇒ 'a tree0" where
```

```

"l_bal_0 n (MKT_0 ln ll lr) r =
  (if height ll < height lr
   then case lr of ET_0 ⇒ ET_0 — impossible
             | MKT_0 lrn lrl lrr ⇒ MKT_0 lrn (MKT_0 ln ll lrl) (MKT_0 n lrr r)
   else MKT_0 ln ll (MKT_0 n lr r))"

```

```

primrec r_bal_0 :: "'a ⇒ 'a tree_0 ⇒ 'a tree_0 ⇒ 'a tree_0" where
"r_bal_0 n l (MKT_0 rn rl rr) =
  (if height rl > height rr
   then case rl of ET_0 ⇒ ET_0 — impossible
             | MKT_0 rln rll rlr ⇒ MKT_0 rln (MKT_0 n l rll) (MKT_0 rn rlr rr)
   else MKT_0 rn (MKT_0 n l rl) rr)"

```

```

primrec insrt_0 :: "'a::preorder ⇒ 'a tree_0 ⇒ 'a tree_0" where
"insrt_0 x ET_0 = MKT_0 x ET_0 ET_0"
| "insrt_0 x (MKT_0 n l r) =
  (if x=n
   then MKT_0 n l r
   else if x<n
        then let l' = insrt_0 x l
              in if height l' = 2+height r
                 then l_bal_0 n l' r
                 else MKT_0 n l' r
        else let r' = insrt_0 x r
              in if height r' = 2+height l
                 then r_bal_0 n l r'
                 else MKT_0 n l r')"

```

2.1.3 Insertion maintains AVL balance

```

lemma height_l_bal:
"height l = height r + 2
 ⇒ height (l_bal_0 n l r) = height r + 2 ∨
   height (l_bal_0 n l r) = height r + 3"
by (cases l) (auto split: tree_0.split if_split_asm)

```

```

lemma height_r_bal:
"height r = height l + 2
 ⇒ height (r_bal_0 n l r) = height l + 2 ∨
   height (r_bal_0 n l r) = height l + 3"
by (cases r) (auto split: tree_0.split if_split_asm)

```

```

lemma height_insrt:
"is_bal t
 ⇒ height (insrt_0 x t) = height t ∨ height (insrt_0 x t) = height t + 1"
proof (induct t)
  case ET_0 show ?case by simp
next

```



```

case (MKT0 n t1 t2) then show ?case proof (cases "x < n")
  case True show ?thesis
  proof (cases "height (insrt0 x t1) = height t2 + 2")
    case True with height_l_bal [of _ _ n]
      have "height (l_bal0 n (insrt0 x t1) t2) =
        height t2 + 2 ∨ height (l_bal0 n (insrt0 x t1) t2) = height t2 + 3" by simp
      with <x < n> MKT0 show ?thesis by auto
    next
      case False with <x < n> MKT0 show ?thesis by auto
  qed
next
case False show ?thesis
proof (cases "height (insrt0 x t2) = height t1 + 2")
  case True with height_r_bal [of _ _ n]
    have "height (r_bal0 n t1 (insrt0 x t2)) = height t1 + 2 ∨
      height (r_bal0 n t1 (insrt0 x t2)) = height t1 + 3" by simp
    with <¬ x < n> MKT0 show ?thesis by auto
  next
    case False with <¬ x < n> MKT0 show ?thesis by auto
qed
qed
qed

```

lemma is_bal_l_bal:

```

"is_bal l ⇒ is_bal r ⇒ height l = height r + 2 ⇒ is_bal (l_bal0 n l r)"
by (cases l) (auto, auto split: tree0.split) — separating the two auto's is just for speed

```

lemma is_bal_r_bal:

```

"is_bal l ⇒ is_bal r ⇒ height r = height l + 2 ⇒ is_bal (r_bal0 n l r)"
by (cases r) (auto, auto split: tree0.split) — separating the two auto's is just for speed

```

theorem is_bal_insrt:

```

"is_bal t ⇒ is_bal(insrt0 x t)"

```

proof (induct t)

```

  case ET0 show ?case by simp

```

next

```

  case (MKT0 n t1 t2) show ?case proof (cases "x < n")
    case True show ?thesis
    proof (cases "height (insrt0 x t1) = height t2 + 2")
      case True with <x < n> MKT0 show ?thesis
        by (simp add: is_bal_l_bal)
    next
      case False with <x < n> MKT0 show ?thesis
        using height_insrt [of t1 x] by auto
    qed
  next

```

```

    case False show ?thesis
    proof (cases "height (insrt0 x t2) = height t1 + 2")
      case True with <¬ x < n> MKT0 show ?thesis

```

```

    qed
  next
  case False show ?thesis
  proof (cases "height (insrt0 x t2) = height t1 + 2")
    case True with <¬ x < n> MKT0 show ?thesis

```

```

    by (simp add: is_bal_r_bal)
  next
    case False with <¬ x < n> MKT0 show ?thesis
      using height_insrt [of t2 x] by auto
    qed
  qed
qed

```

2.1.4 Correctness of insertion

```

lemma set_of_l_bal: "height l = height r + 2 ⇒
  set_of (l_bal0 x l r) = insert x (set_of l ∪ set_of r)"
by (cases l) (auto split: tree0.splits)

```

```

lemma set_of_r_bal: "height r = height l + 2 ⇒
  set_of (r_bal0 x l r) = insert x (set_of l ∪ set_of r)"
by (cases r) (auto split: tree0.splits)

```

```

theorem set_of_insrt:
  "set_of (insrt0 x t) = insert x (set_of t)"
by (induct t) (auto simp add:set_of_l_bal set_of_r_bal Let_def)

```

2.1.5 Correctness of lookup

```

theorem is_in_correct: "is_ord t ⇒ is_in0 k t = (k : set_of t)"
by (induct t) (auto simp add: less_le_not_le)

```

2.1.6 Insertion maintains order

```

lemma is_ord_l_bal:
  "is_ord (MKT0 x l r) ⇒ height l = Suc (Suc (height r)) ⇒
  is_ord (l_bal0 x l r)"
by (cases l) (auto split: tree0.splits intro: order_less_trans)

```

```

lemma is_ord_r_bal:
  "is_ord (MKT0 x l r) ⇒ height r = height l + 2 ⇒
  is_ord (r_bal0 x l r)"
by (cases r) (auto split:tree0.splits intro: order_less_trans)

```

If the order is linear, $insrt_0$ maintains the order:

```

theorem is_ord_insrt:
  "is_ord t ⇒ is_ord (insrt0 (x::'a::linorder) t)"
by (induct t) (simp_all add:is_ord_l_bal is_ord_r_bal set_of_insrt
  linorder_not_less order_neq_le_trans Let_def)

```

2.2 Step 2: Binary and AVL trees with height information

```

datatype 'a tree = ET | MKT 'a "'a tree" "'a tree" nat

```

2.2.1 Auxiliary functions

```
primrec erase :: "'a tree  $\Rightarrow$  'a tree0" where
  "erase ET = ET0"
| "erase (MKT x l r h) = MKT0 x (erase l) (erase r)"
```

```
primrec hinv :: "'a tree  $\Rightarrow$  bool" where
  "hinv ET  $\longleftrightarrow$  True"
| "hinv (MKT x l r h)  $\longleftrightarrow$  h = 1 + max (height (erase l)) (height (erase r))
   $\wedge$  hinv l  $\wedge$  hinv r"
```

```
definition avl :: "'a tree  $\Rightarrow$  bool" where
  "avl t  $\longleftrightarrow$  is_bal (erase t)  $\wedge$  hinv t"
```

2.2.2 AVL interface and efficient implementation

```
primrec is_in :: "('a::preorder)  $\Rightarrow$  'a tree  $\Rightarrow$  bool" where
  "is_in k ET  $\longleftrightarrow$  False"
| "is_in k (MKT n l r h)  $\longleftrightarrow$  (if k = n then True else
  if k < n then (is_in k l)
  else (is_in k r))"
```

```
primrec ht :: "'a tree  $\Rightarrow$  nat" where
  "ht ET = 0"
| "ht (MKT x l r h) = h"
```

```
definition mkt :: "'a  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
  "mkt x l r = MKT x l r (max (ht l) (ht r) + 1)"
```

```
primrec l_bal :: "'a  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
  "l_bal n (MKT ln ll lr h) r =
  (if ht ll < ht lr
  then case lr of ET  $\Rightarrow$  ET — impossible
  | MKT lrn lrl lrr lrh  $\Rightarrow$ 
  mkt lrn (mkt ln ll lrl) (mkt n lrr r)
  else mkt ln ll (mkt n lr r))"
```

```
primrec r_bal :: "'a  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
  "r_bal n l (MKT rn rl rr h) =
  (if ht rl > ht rr
  then case rl of ET  $\Rightarrow$  ET — impossible
  | MKT rln rll rlr h  $\Rightarrow$  mkt rln (mkt n l rll) (mkt rn rlr rr)
  else mkt rn (mkt n l rl) rr)"
```

```
primrec insrt :: "'a::preorder  $\Rightarrow$  'a tree  $\Rightarrow$  'a tree" where
  "insrt x ET = MKT x ET ET 1"
| "insrt x (MKT n l r h) =
  (if x=n
  then MKT n l r h
  else if x<n
```

```

then let l' = insrt x l; hl' = ht l'; hr = ht r
  in if hl' = 2+hr then l_bal n l' r
     else MKT n l' r (1 + max hl' hr)
else let r' = insrt x r; hl = ht l; hr' = ht r'
  in if hr' = 2+hl then r_bal n l r'
     else MKT n l r' (1 + max hl hr')"

```

2.2.3 Correctness proof

The auxiliary functions are implemented correctly:

```

lemma height_hinv: "hinv t  $\implies$  ht t = height (erase t)"
  by (induct t) simp_all

```

```

lemma erase_mkt: "erase (mkt n l r) = MKT0 n (erase l) (erase r)"
  by (simp add: mkt_def)

```

```

lemma erase_l_bal:
  "hinv l  $\implies$  hinv r  $\implies$  height (erase l) = height(erase r) + 2  $\implies$ 
  erase (l_bal n l r) = l_bal0 n (erase l) (erase r)"
  by (cases l) (simp_all add: height_hinv erase_mkt split: tree.split)

```

```

lemma erase_r_bal:
  "hinv l  $\implies$  hinv r  $\implies$  height(erase r) = height(erase l) + 2  $\implies$ 
  erase (r_bal n l r) = r_bal0 n (erase l) (erase r)"
  by (cases r) (simp_all add: height_hinv erase_mkt split: tree.split)

```

Function *insrt* maintains the invariant:

```

lemma hinv_mkt: "hinv l  $\implies$  hinv r  $\implies$  hinv (mkt x l r)"
  by (simp add: height_hinv mkt_def)

```

```

lemma hinv_l_bal:
  "hinv l  $\implies$  hinv r  $\implies$  height(erase l) = height(erase r) + 2  $\implies$ 
  hinv (l_bal n l r)"
  by (cases l) (auto simp add: hinv_mkt split: tree.splits)

```

```

lemma hinv_r_bal:
  "hinv l  $\implies$  hinv r  $\implies$  height(erase r) = height(erase l) + 2  $\implies$ 
  hinv (r_bal n l r)"
  by (cases r) (auto simp add: hinv_mkt split: tree.splits)

```

```

theorem hinv_insrt: "hinv t  $\implies$  hinv (insrt x t)"
  by (induct t) (simp_all add: Let_def height_hinv hinv_l_bal hinv_r_bal)

```

Function *insrt* implements *insrt₀*:

```

lemma erase_insrt: "hinv t  $\implies$  erase (insrt x t) = insrt0 x (erase t)"
  by (induct t) (simp_all add: Let_def hinv_insrt height_hinv erase_l_bal erase_r_bal)

```

Function *insrt* meets its spec:

corollary "avl t \implies set_of (erase (insrt x t)) = insert x (set_of (erase t))"
by (simp add: avl_def erase_insrt set_of_insrt)

Function *insrt* preserves the invariants:

corollary "avl t \implies avl (insrt x t)"
by (simp add: hinv_insrt avl_def erase_insrt is_bal_insrt)

corollary
"avl t \implies is_ord (erase t) \implies is_ord (erase (insrt (x::'a::linorder) t))"
by (simp add: avl_def erase_insrt is_ord_insrt)

Function *is_in* implements *is_in*:

theorem *is_in*: "is_in x t = is_in₀ x (erase t)"
by (induct t) simp_all

Function *is_in* meets its spec:

corollary "is_ord (erase t) \implies is_in x t \longleftrightarrow x \in set_of (erase t)"
by (simp add: is_in is_in_correct)

end