Van Emde Boas Trees

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Lower bounds for heap operations

- Lower bound of $\Omega(n \log n)$ for comparison based sorting.

- As a consequence, at least one among the operations INSERT and EXTRACT-MIN takes $\Omega(\log n)$ time.

- Otherwise HEAPSORT would break down such a lower bound barrier.

- But what about keys in a specific range?

Heaps and sorting in linear time

- There exists faster sorting methods when keys are between **1** and **n** (where **n** is the number of elements).

- In particular, **RADIX SORT** takes O(n + k) time to sort **k** elements from **1** to **n^c** where **c** is a natural constant.

- van Emde Boas trees support priority queue operations in O(log log u) when all keys belong to the range from 0 to u – 1.

Van Emde Boas Trees

- Data structure that supports each of the following operations in **O(log log u)** time, where all keys belong to the range **{0, 1, ..., u-1} :**

  - INSERT/DELETE
  - MEMBER
  - MINIMUM/MAXIMUM
  - SUCCESSOR/PREDECESSOR

- We assume, by simplicity, that **u** is an exact power of two (**u = 2^k** for some natural number **k**).

- We also assume that there are not duplicated elements.

Preliminary approaches

In order to gain insight for our problem we shall examine the following preliminary approaches for storing a dynamic set :

- Direct adressing.
- Superimposing a binary tree structure.
- Superimposing a tree of constant height.

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Direct adressing

- The direct-addressing stores the dynamic set as a bit vector.

- To store a dynamic set of values from the universe **{0, 1, ..., u-1}** we maintain an array **A[0 .. u-1]** of **u** bits.

- Entry **A[x]** holds **1** if the value **x** is in the dynamic set and **0** otherwise.

- INSERT, DELETE and MEMBER operations can be performed in O(1) time with this bit vector.

- MINIMUM, MAXIMUM, SUCCESSOR and PREDECESSOR can take O(u) in the worst case since we might have to scan through O(u) elements.

Direct adressing

- S = {2, 3, 4, 5, 7, 14, 15} and u = 16.

0	0	1	1	1	1	0	1	0	0	0	0	0	0	1	1
0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15

- MINIMUM (A) = 2
- MAXIMUM (A) = 15
- SUCCESSOR (A, 7) = 14
- PREDECESSOR (A, 7) = 5

Preliminary approaches

In order to gain insight for our problem we shall examine the following preliminary approaches for storing a dynamic set :

- Direct adressing.

- **Superimposing a binary tree structure.**

- Superimposing a tree of constant height.

Superimposing a binary tree structure

- One can short-cut long scans in the bit vector by superimposing a binary tree on the top of it.
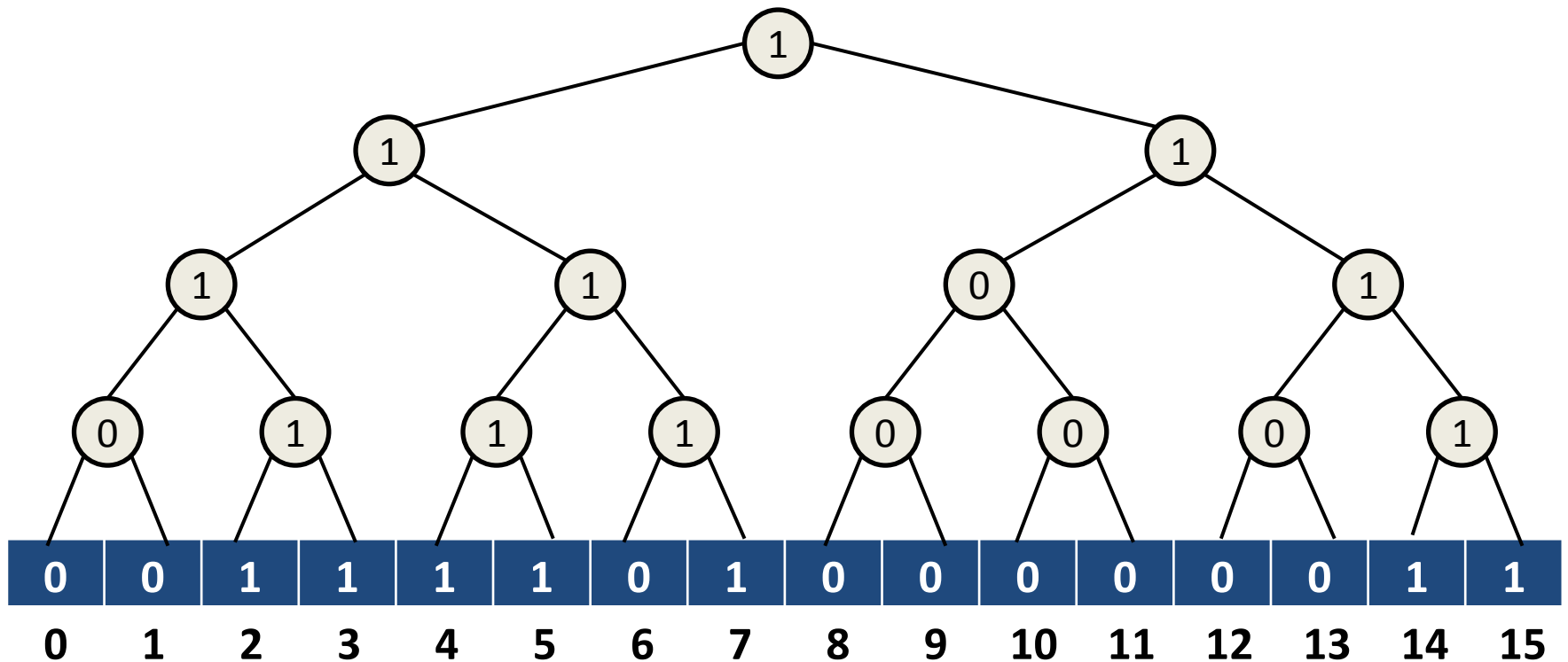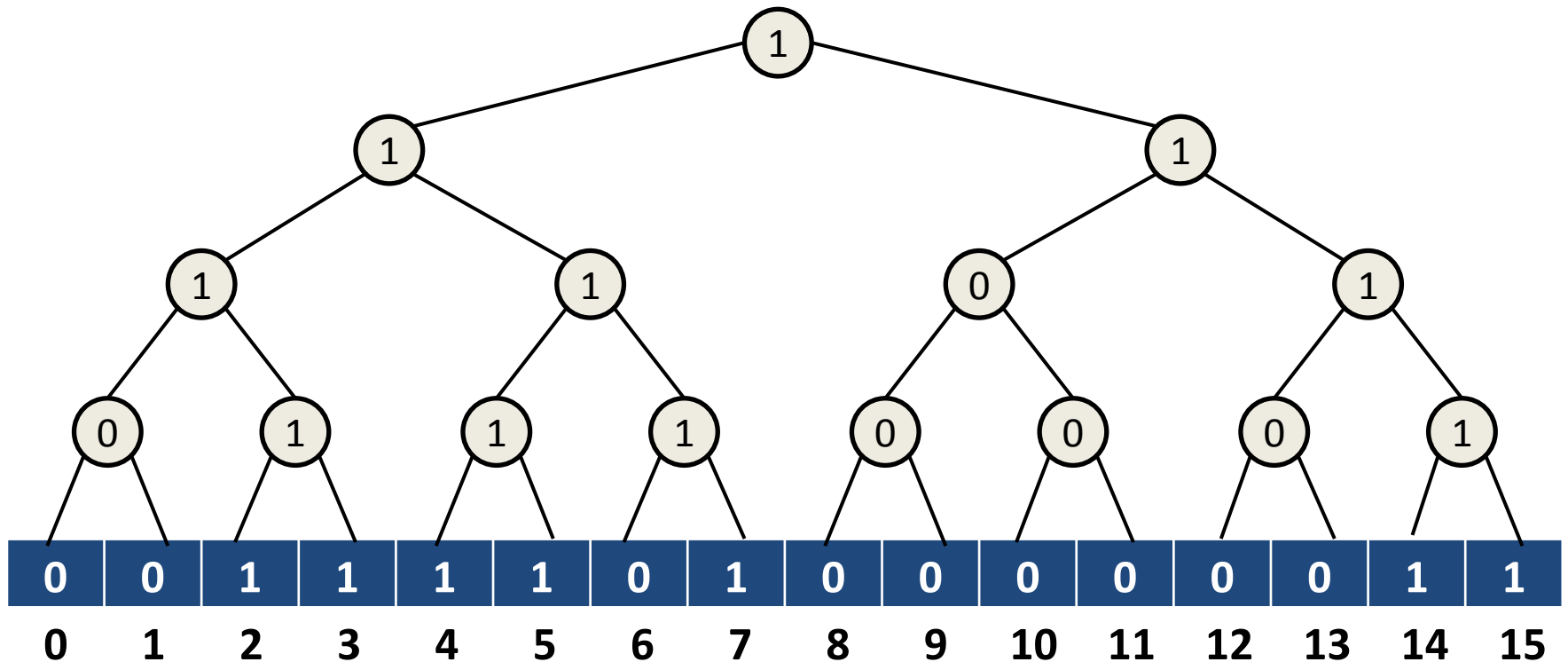
Superimposing a binary tree structure

- One can short-cut long scans in the bit vector by superimposing a binary tree on the top of it.

- Entries of the bit vector form the leaves of the binary tree.

- Each internal node contain 1 if and only if in its subtree contains 1.

- Bit stored in an internal node is the logical-or of its children.

Superimposing a binary tree structure

- MINIMUM:
  - **Algorithm**: start at the root and head down toward the leaves, always taking the **leftmost** node containing 1.
  - **Time complexity**: O(log u)

- MAXIMUM:
  - **Algorithm**: start at the root and head down toward the leaves, always taking the **rightmost** node containing 1.
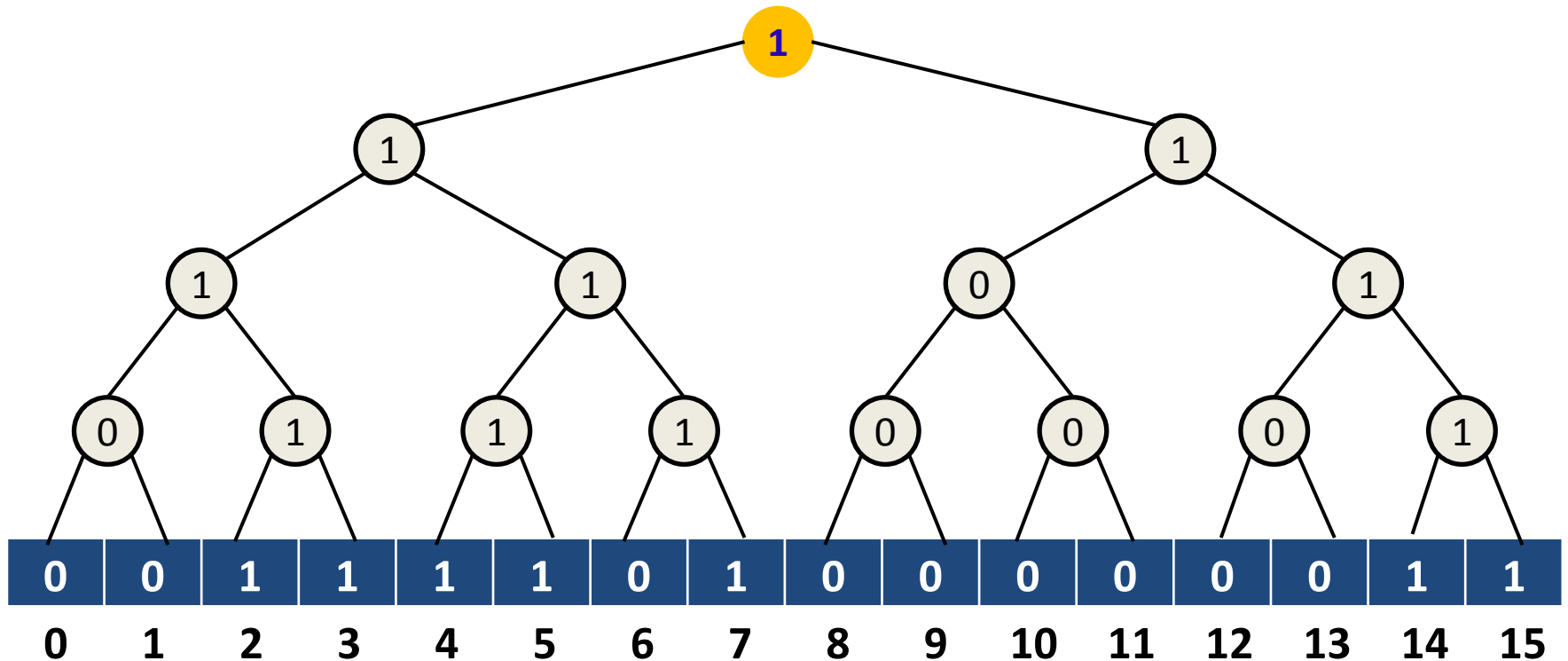 - **Time complexity**: O(log u)

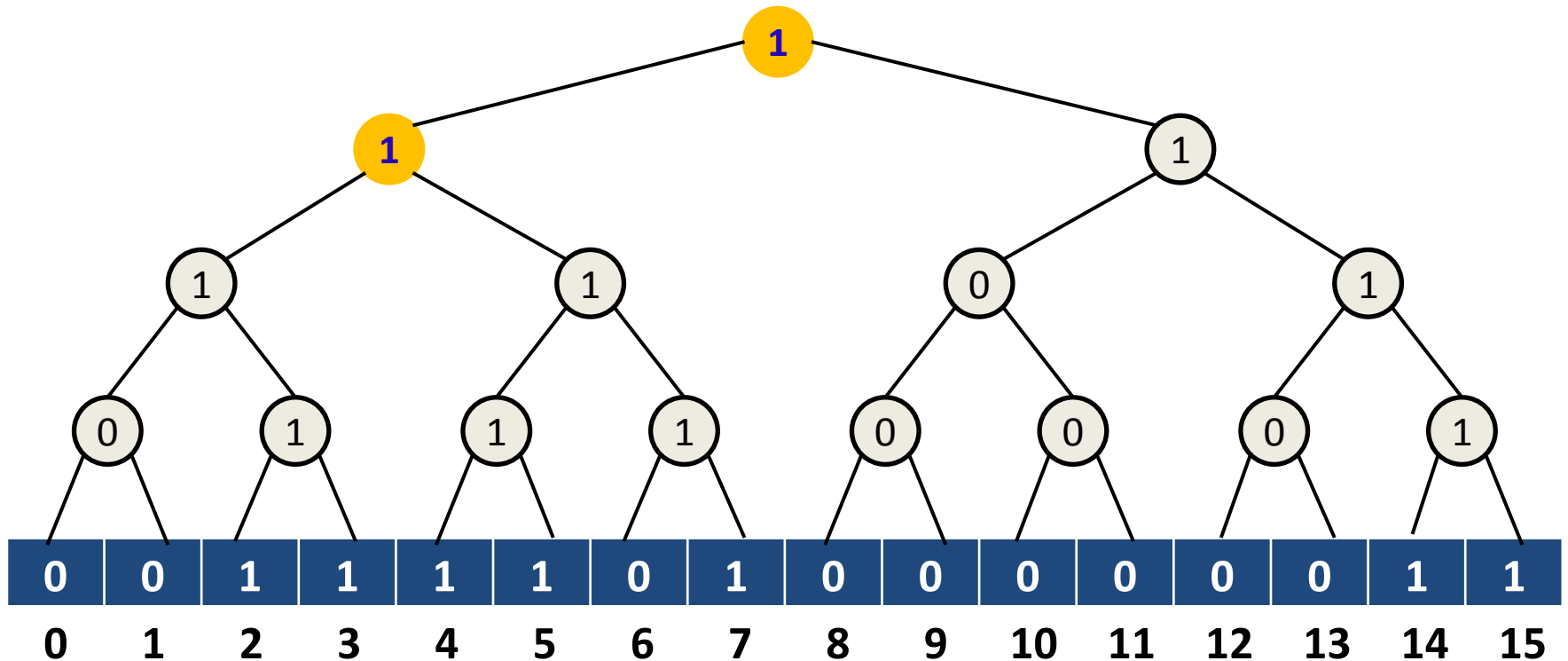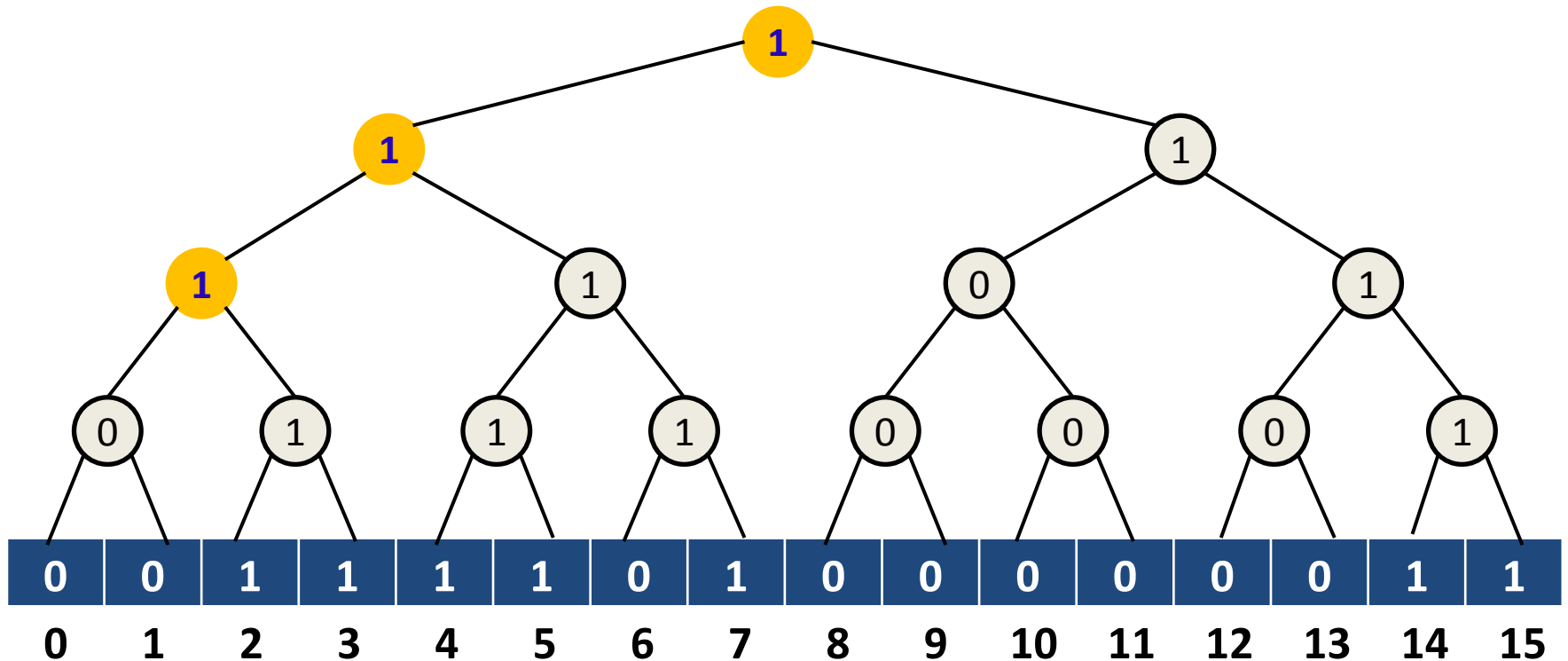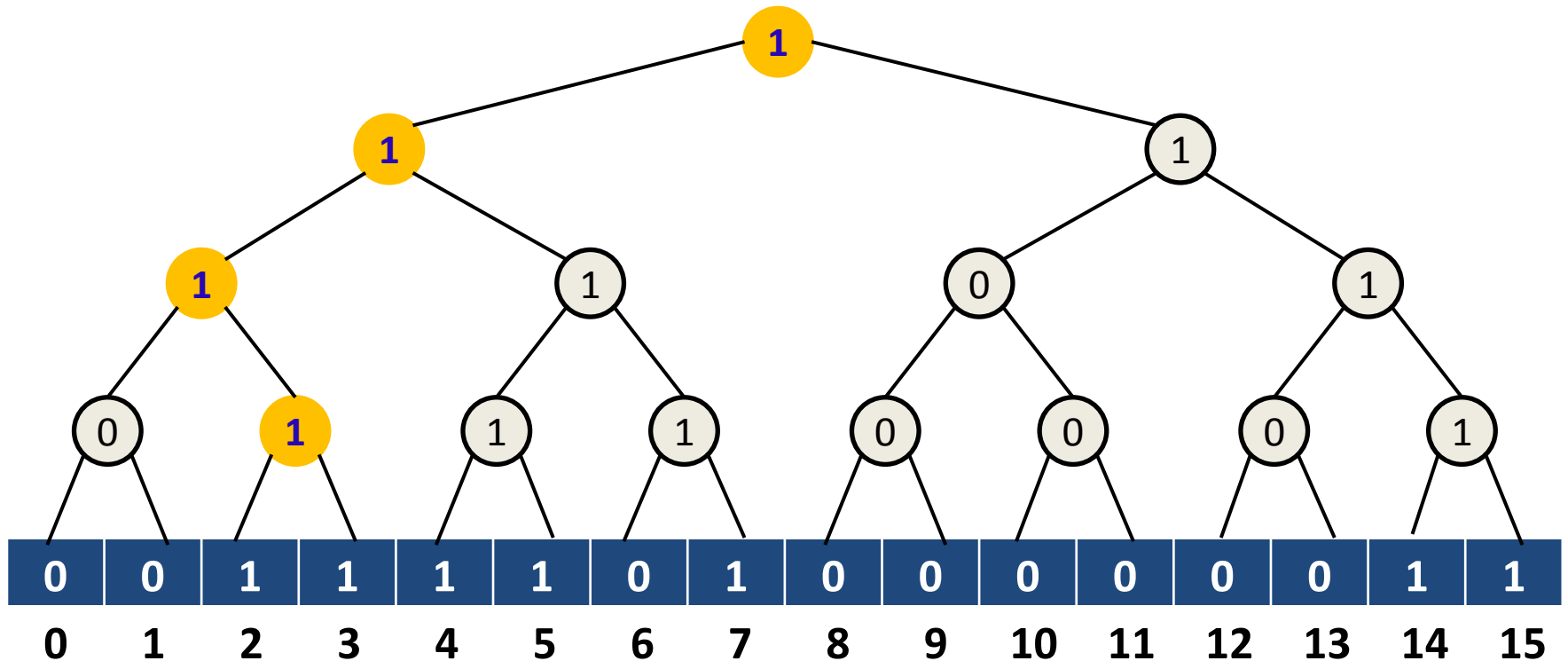# Superimposing a binary tree structure

- MINIMUM operation:

Superimposing a binary tree structure

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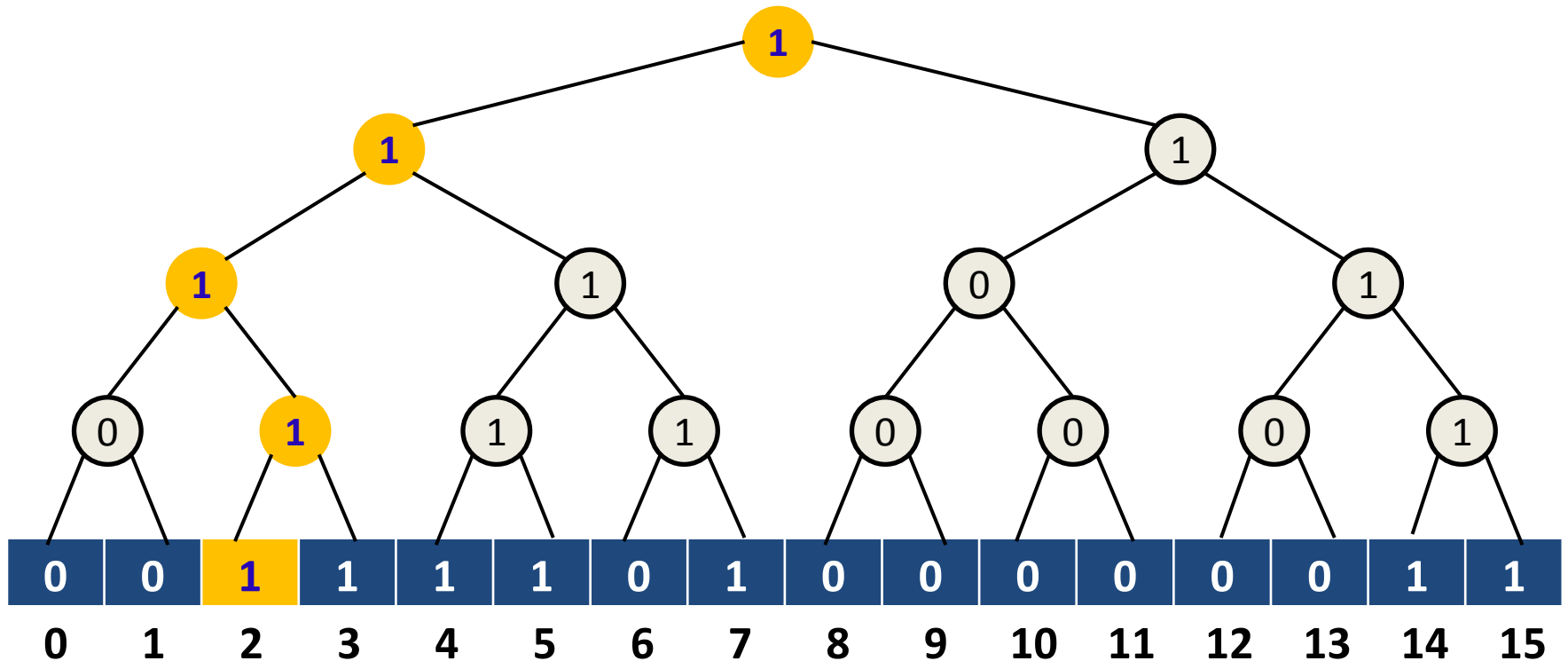# Superimposing a binary tree structure

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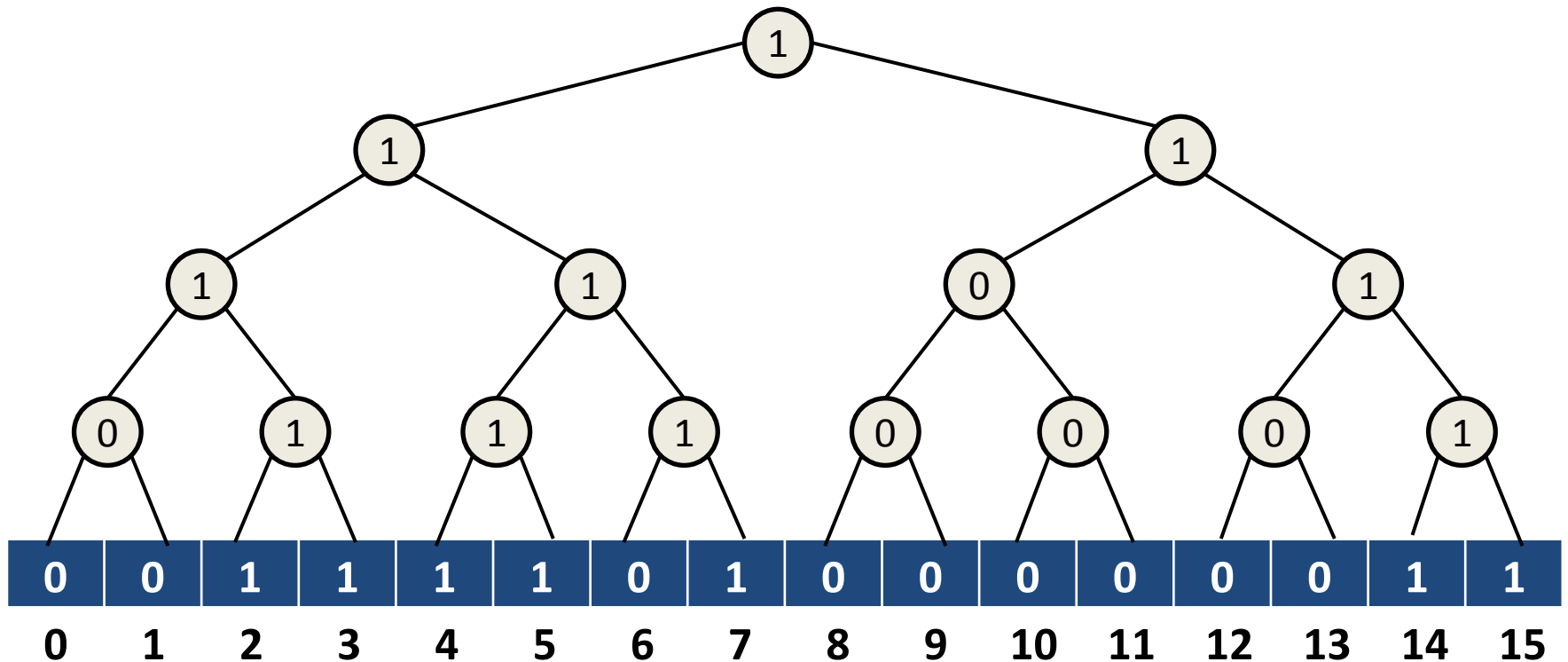
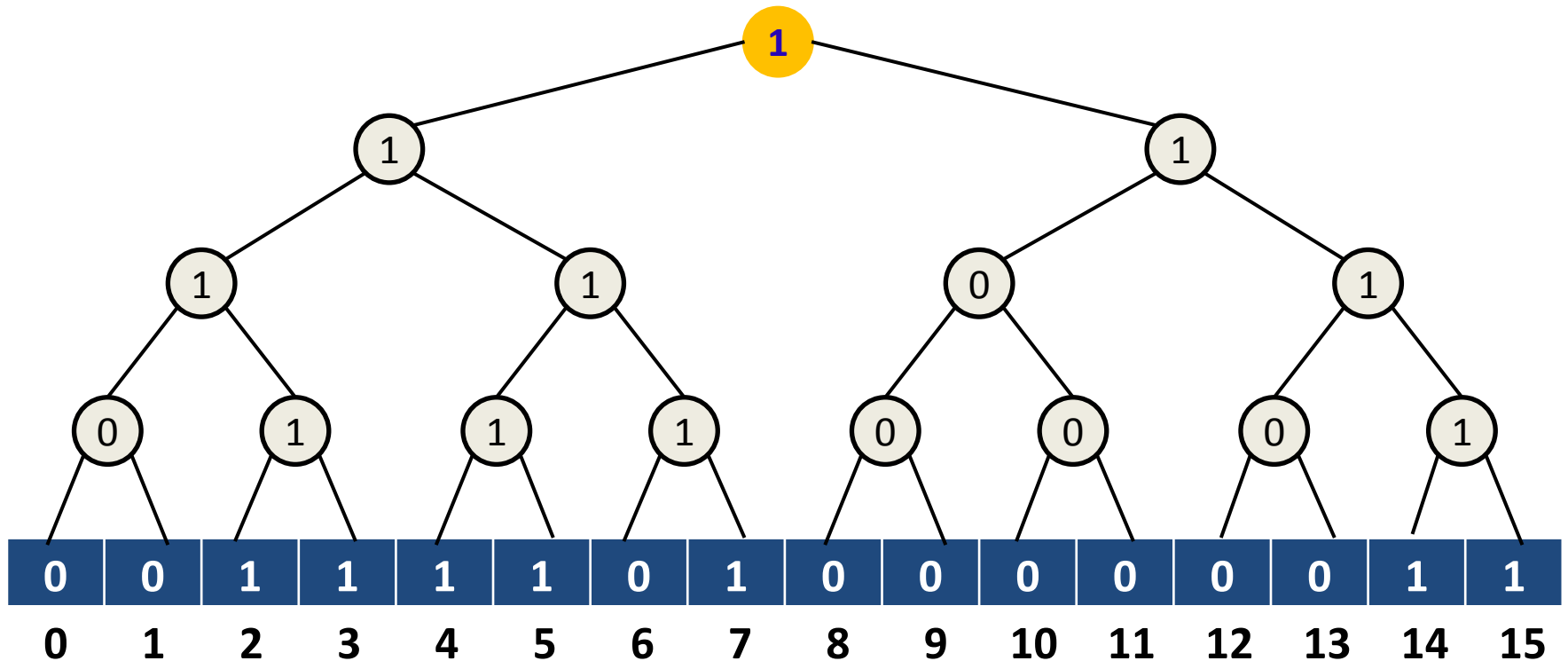- MAXIMUM operation:
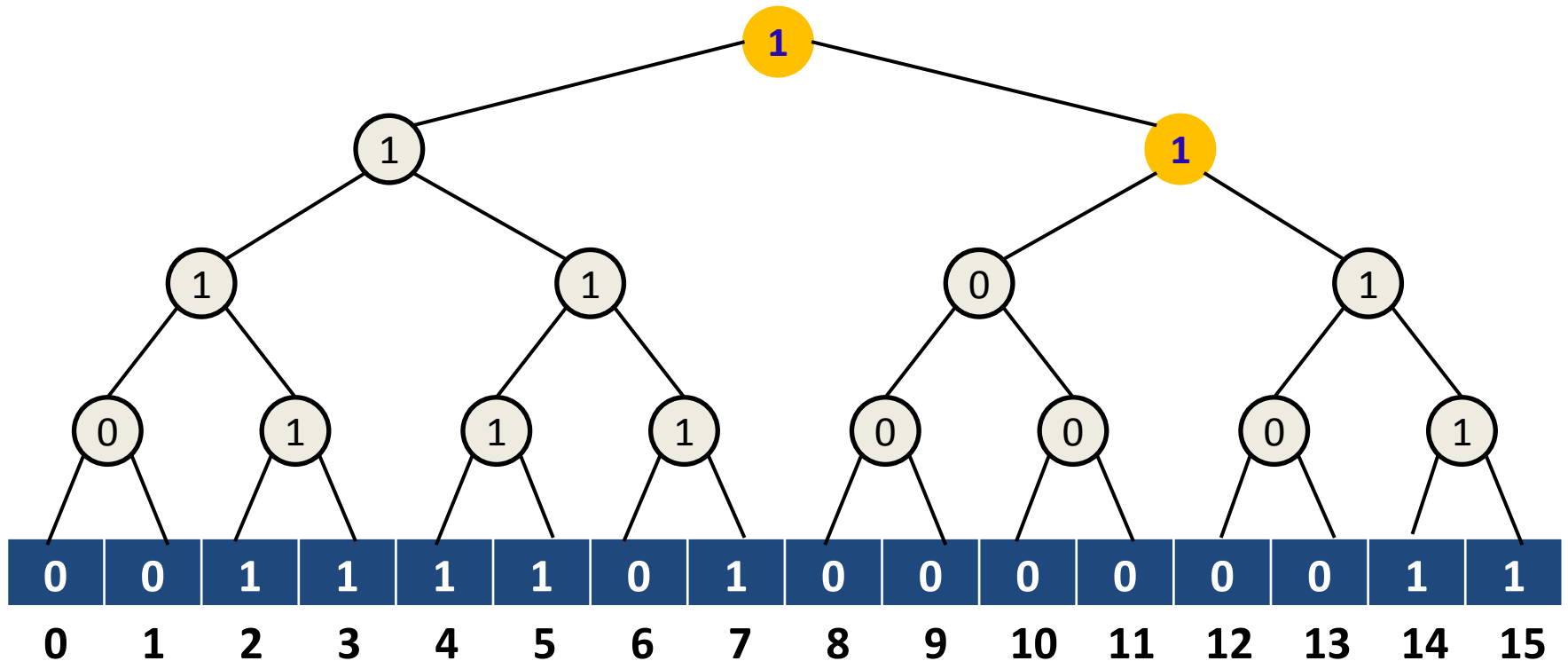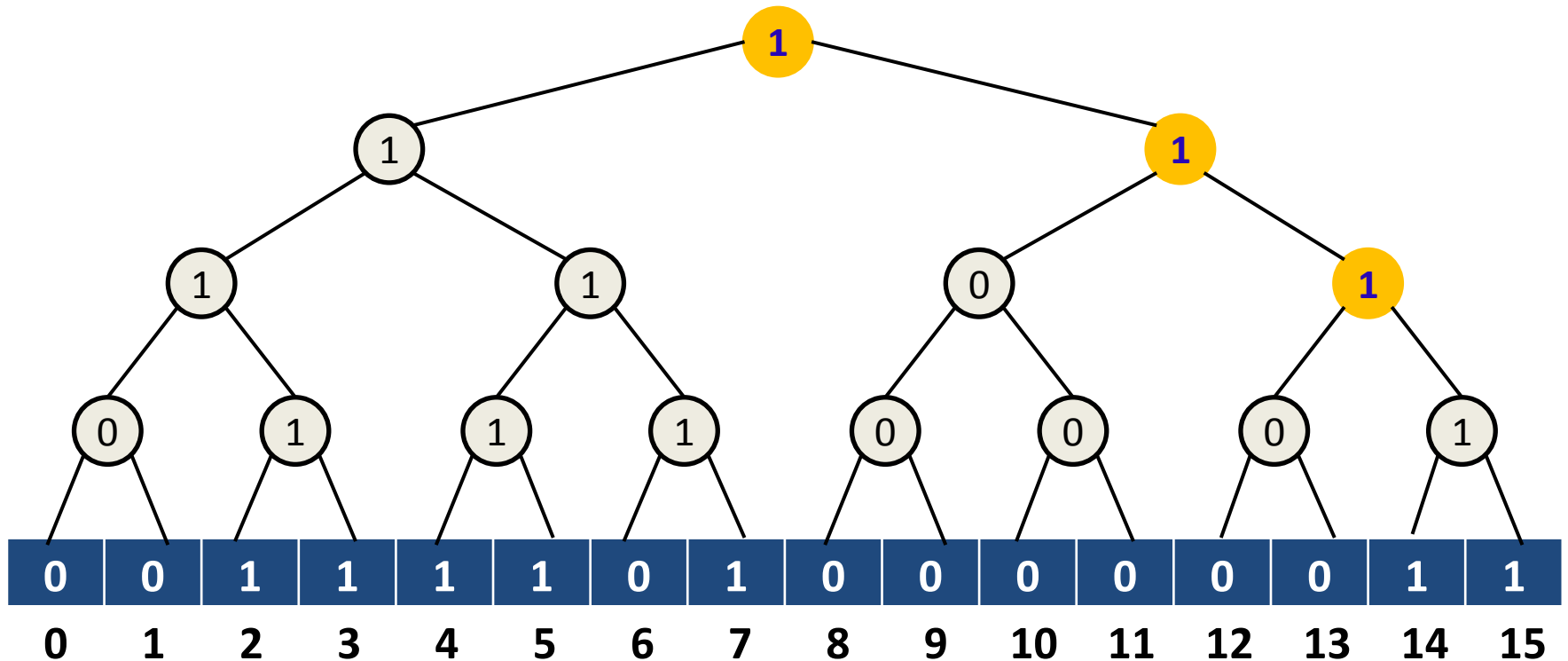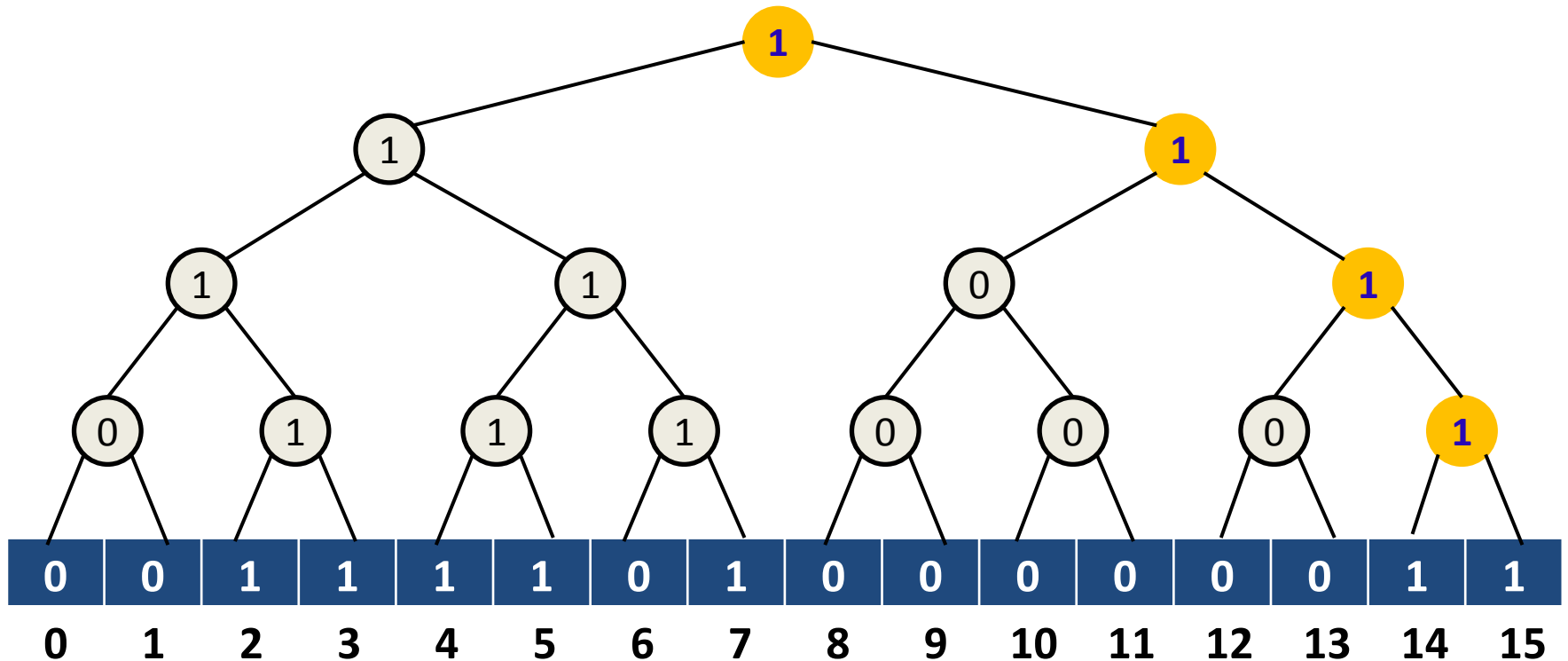
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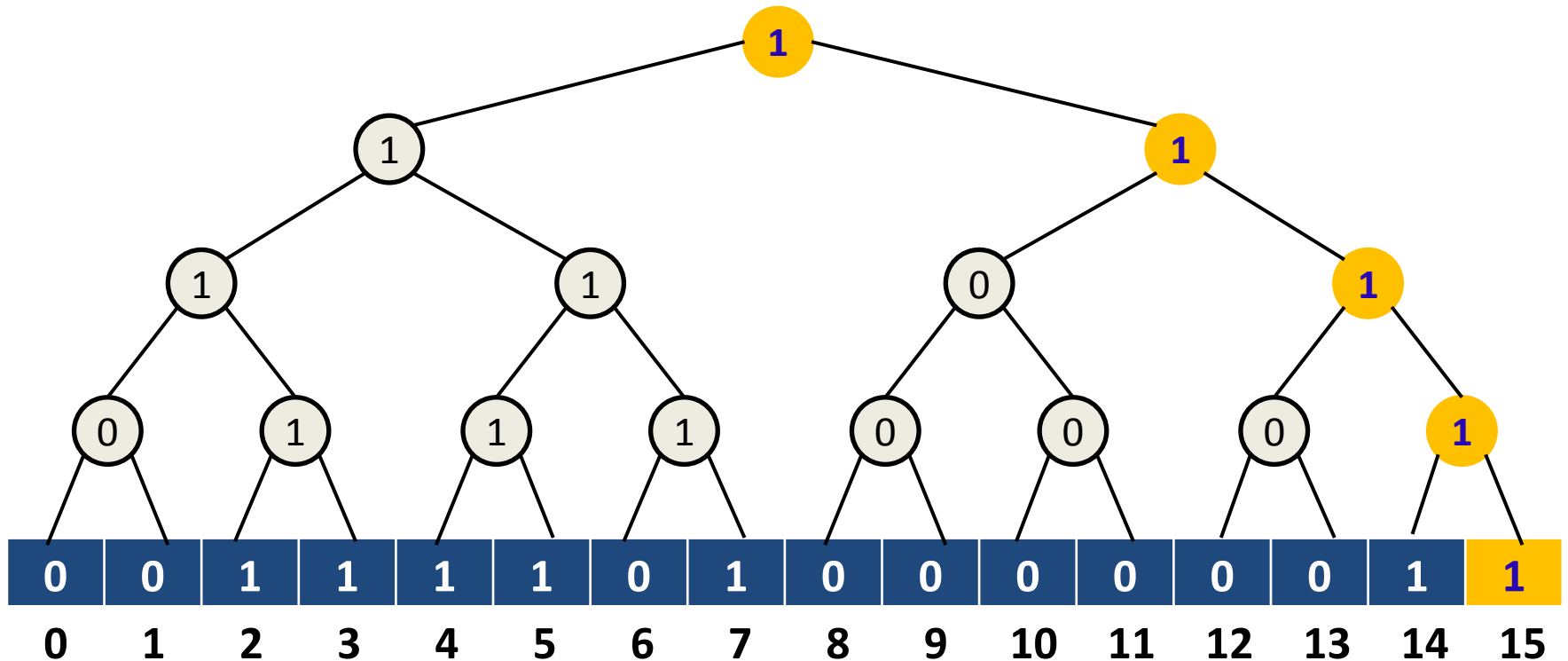- MAXIMUM operation:

Maximum found!

Superimposing a binary tree structure

- PREDECESSOR (A, x) :
  - Start at the leaf indexed by **x** and head up toward the root until we enter a node from the **right** and this node has a 1 in its **left** child **z**.
  - Head down through node **z**, always taking the **rightmost** node containing a 1.
  - **Time complexity**: O(log u).

- SUCCESSOR (A, x) :
  - Start at the leaf indexed by **x** and head up toward the root until we enter a node from the **left** and this node has a 1 in its **right** child **z**.
  - Head down through node **z**, always taking the **leftmost** node containing a 1.
  - **Time complexity**: O(log u).

Superimposing a binary tree structure
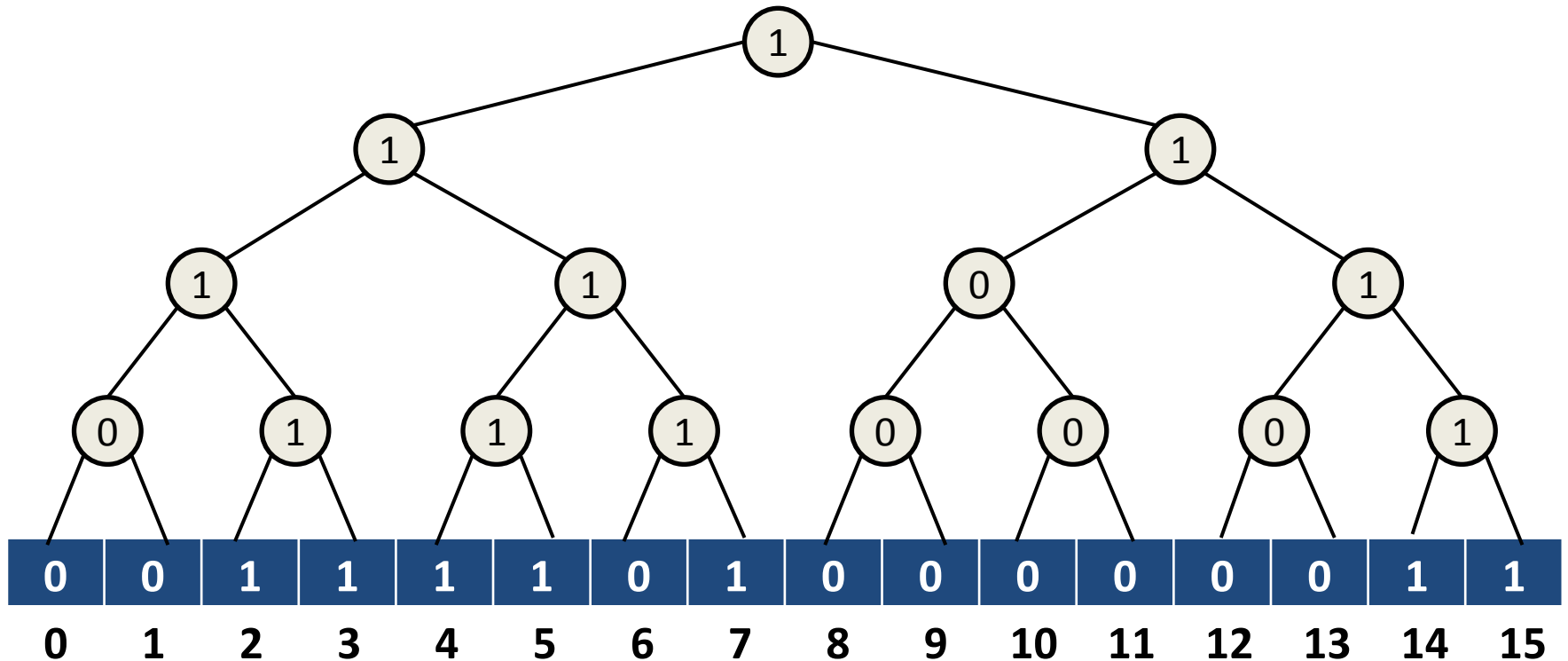
- PREDECESSOR (A, 7):

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PREDECESSOR (A, 7) = 5

Superimposing a binary tree structure

- SUCCESSOR (A, 7):

Superimposing a binary tree structure

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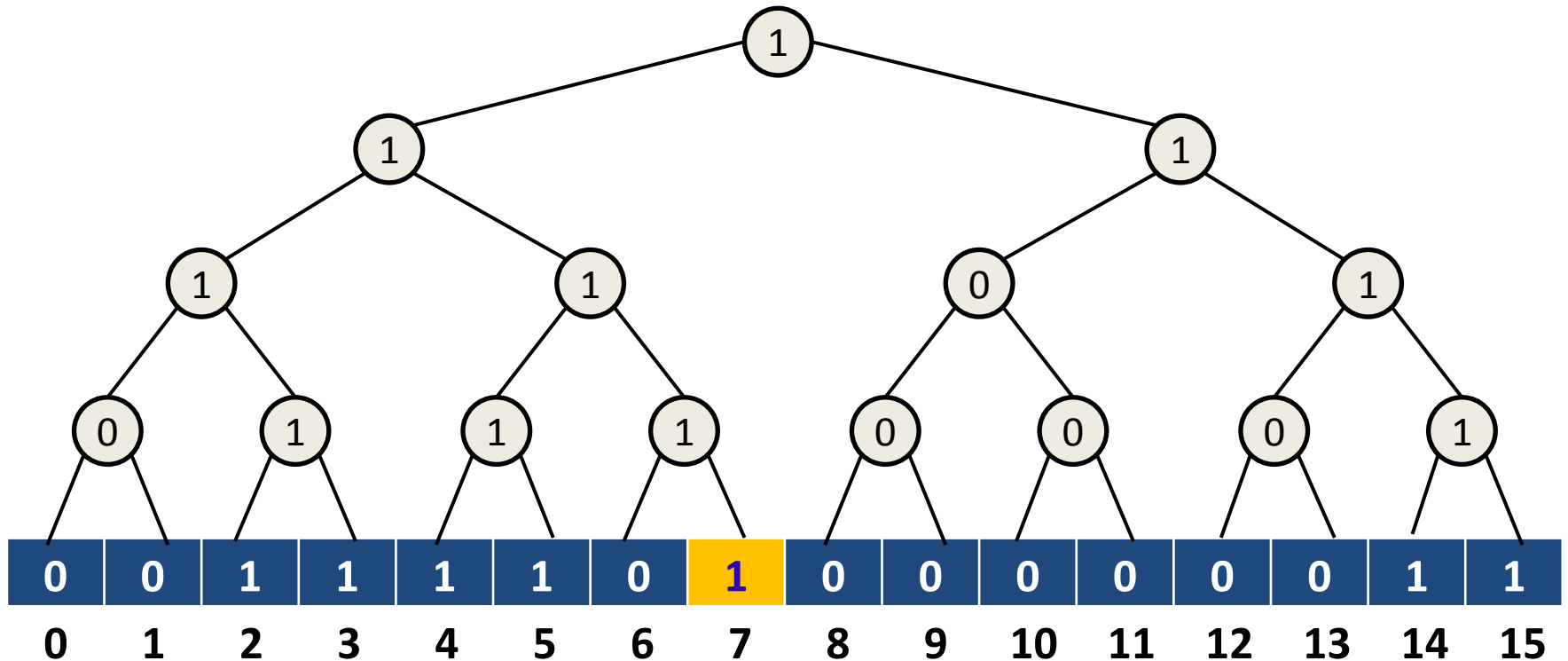
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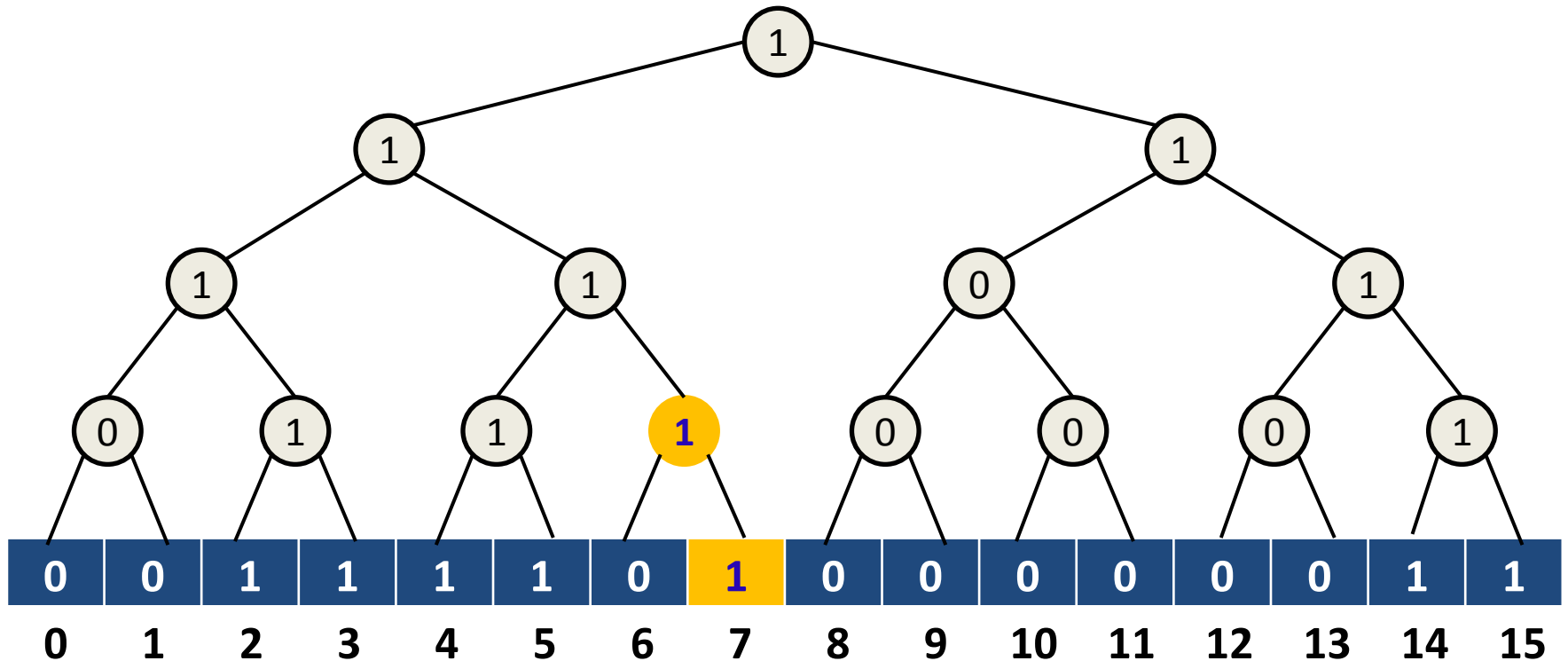
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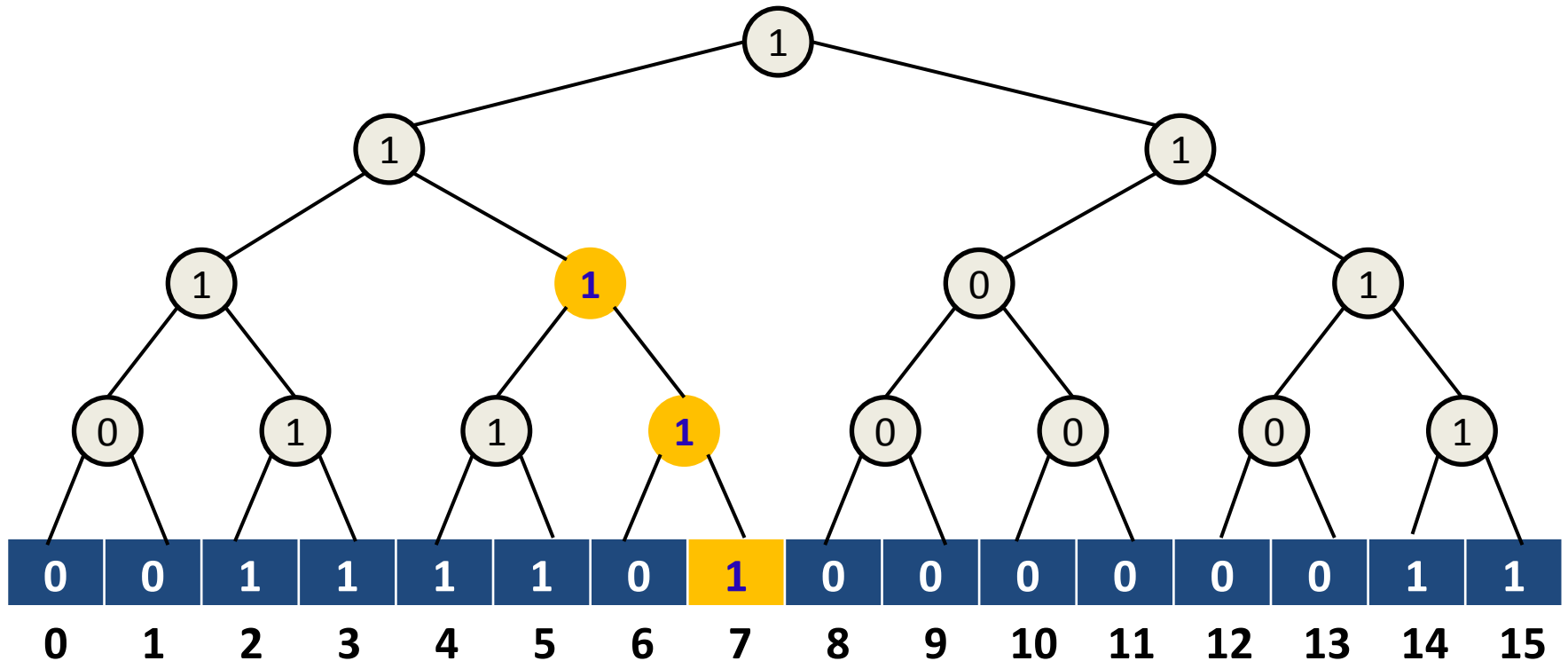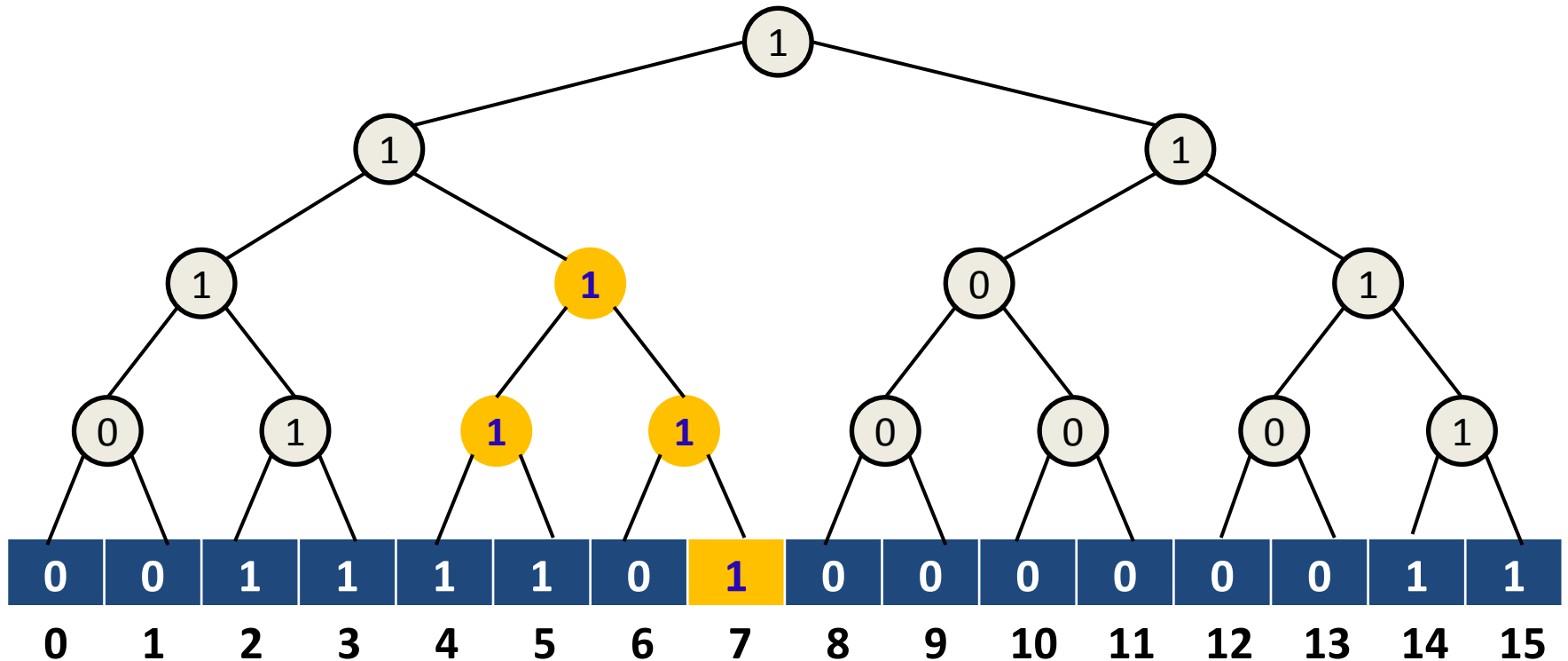
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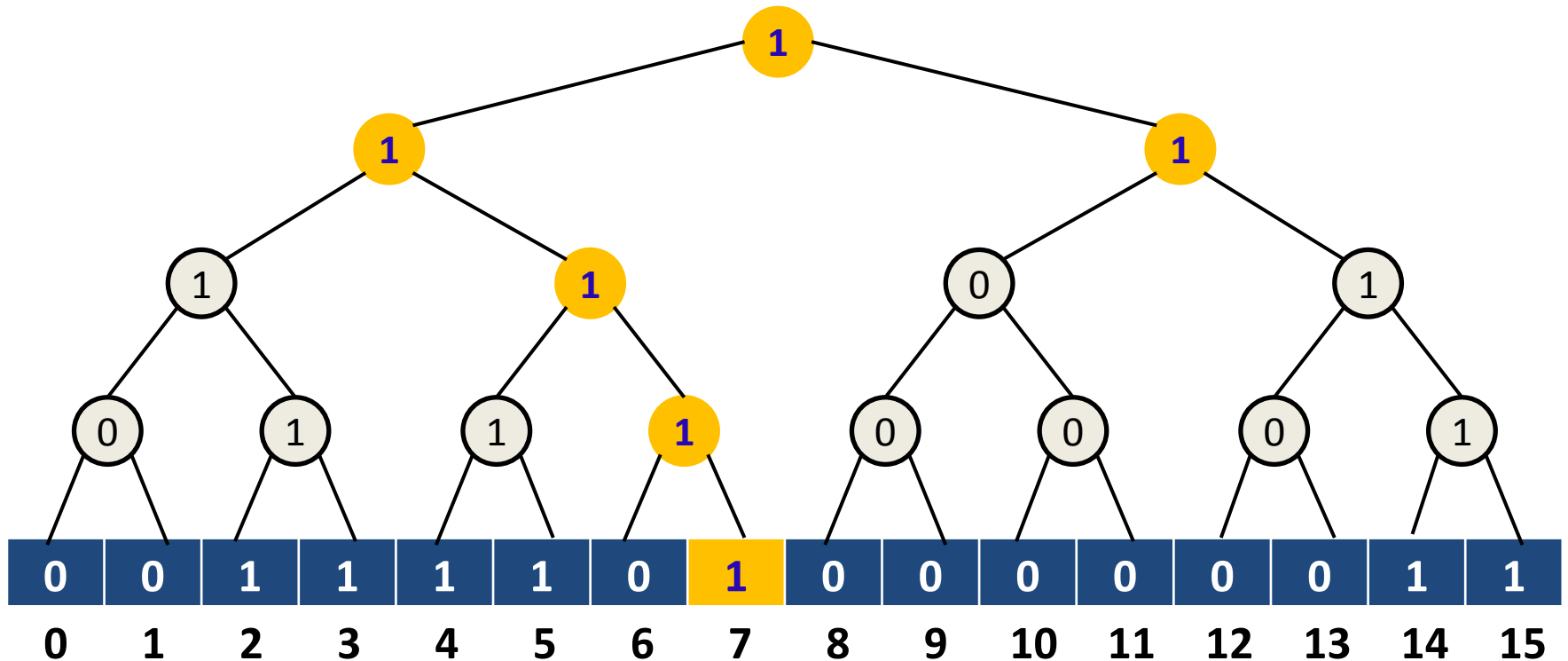
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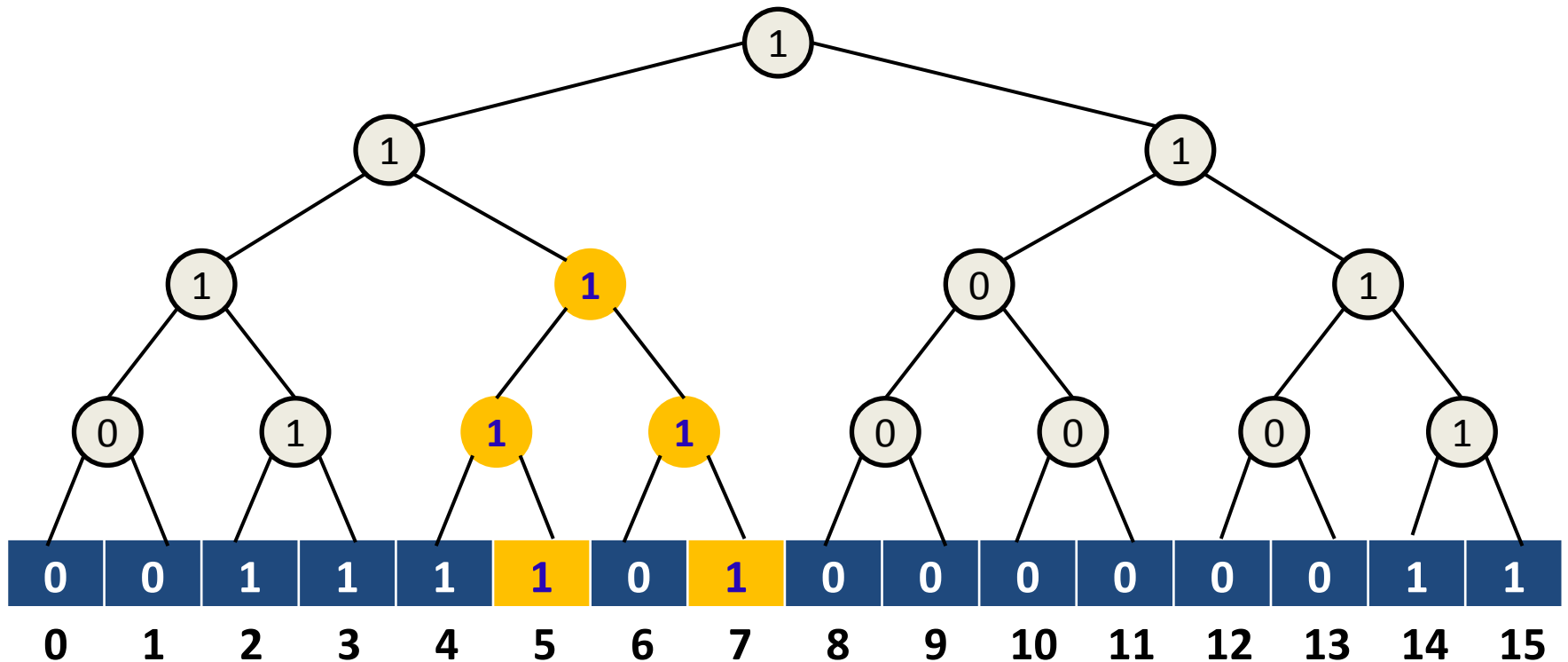
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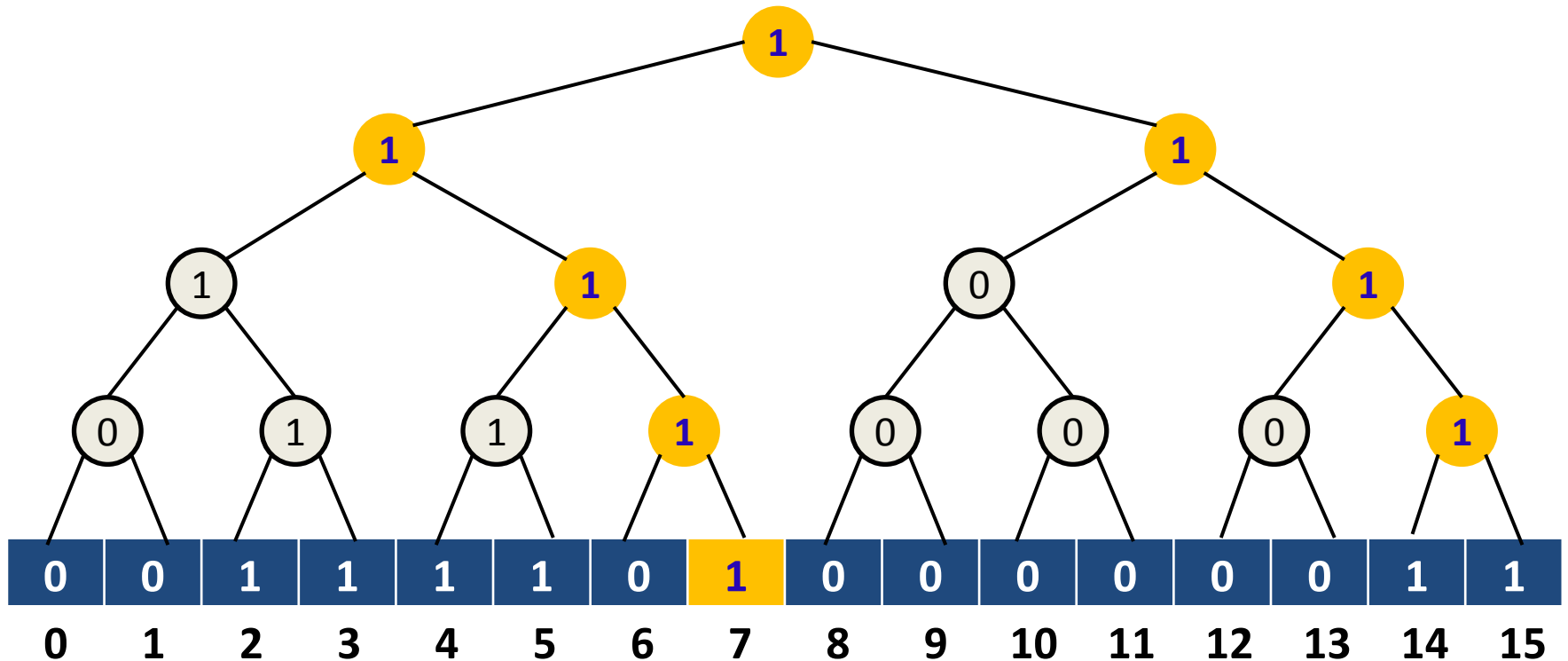
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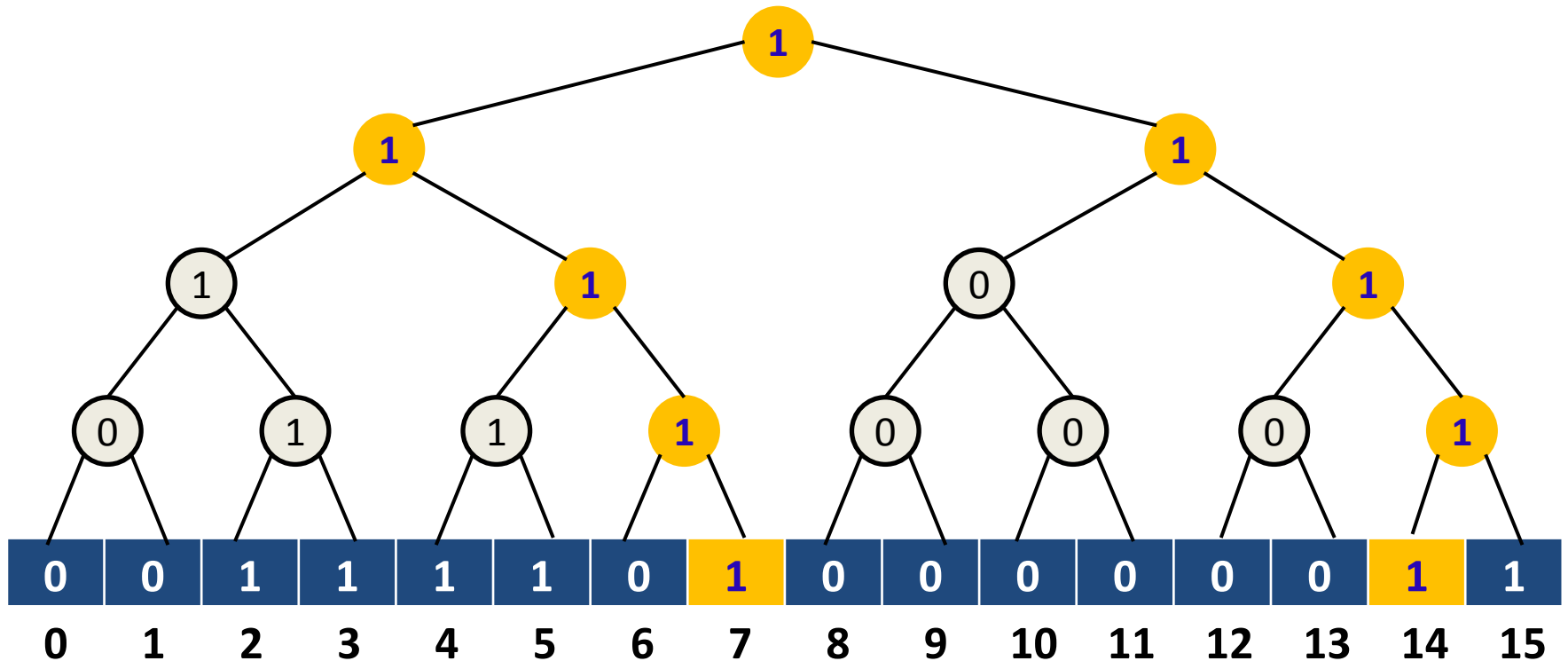
- SUCCESSOR (A, 7):

SUCCESSOR (A, 7) = 14

Superimposing a binary tree structure

- INSERTION (A, x) :

  - Start at the leaf indexed by **x** and head up toward the root storing 1 in all nodes belonging to the simple path from **x** to the root.

  - **Time complexity**: O(log u).

- DELETION (A, x) :

  - Start at the leaf indexed by **x** and head up toward the root, recomputing the bit in each internal node on the simple path from **x** to the root as the logical-or of its two children.

  - **Time complexity**: O(log u).
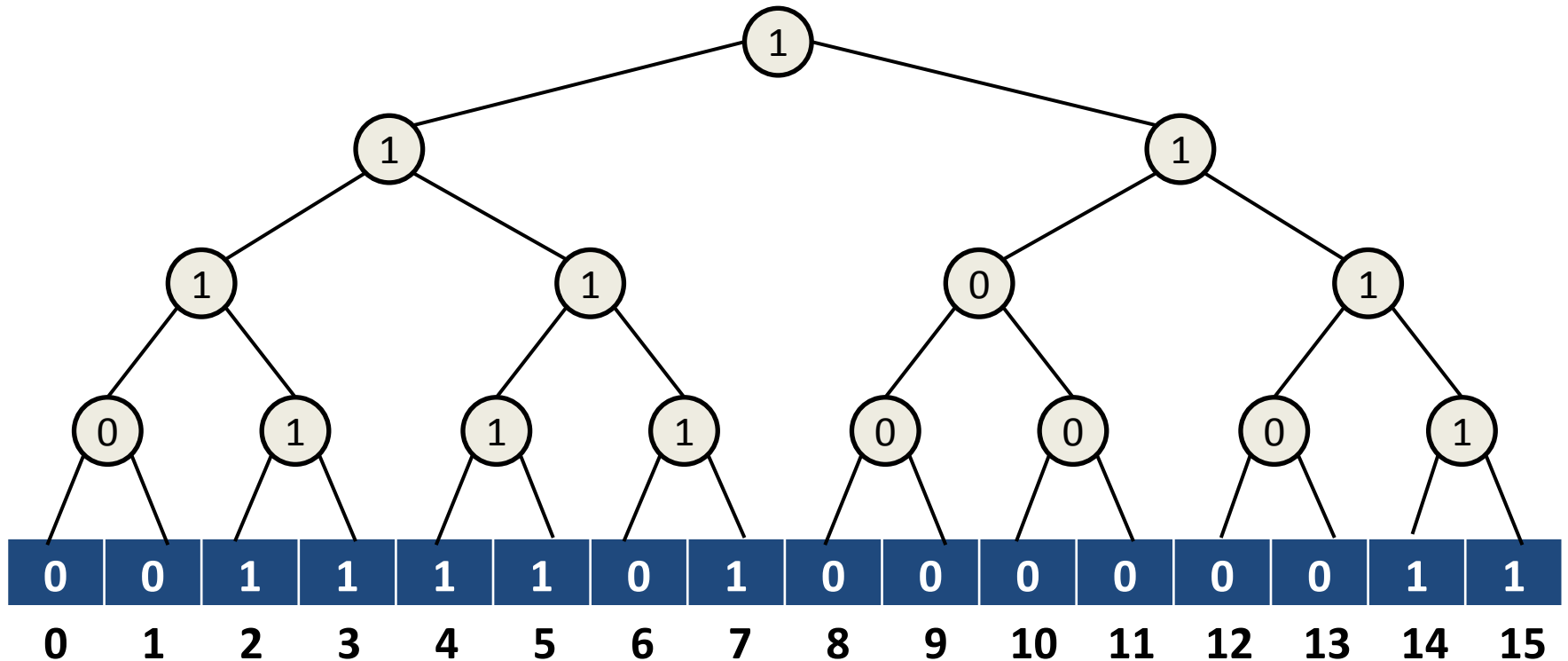
Superimposing a binary tree structure

- INSERTION (A, 9):

Superimposing a binary tree structure
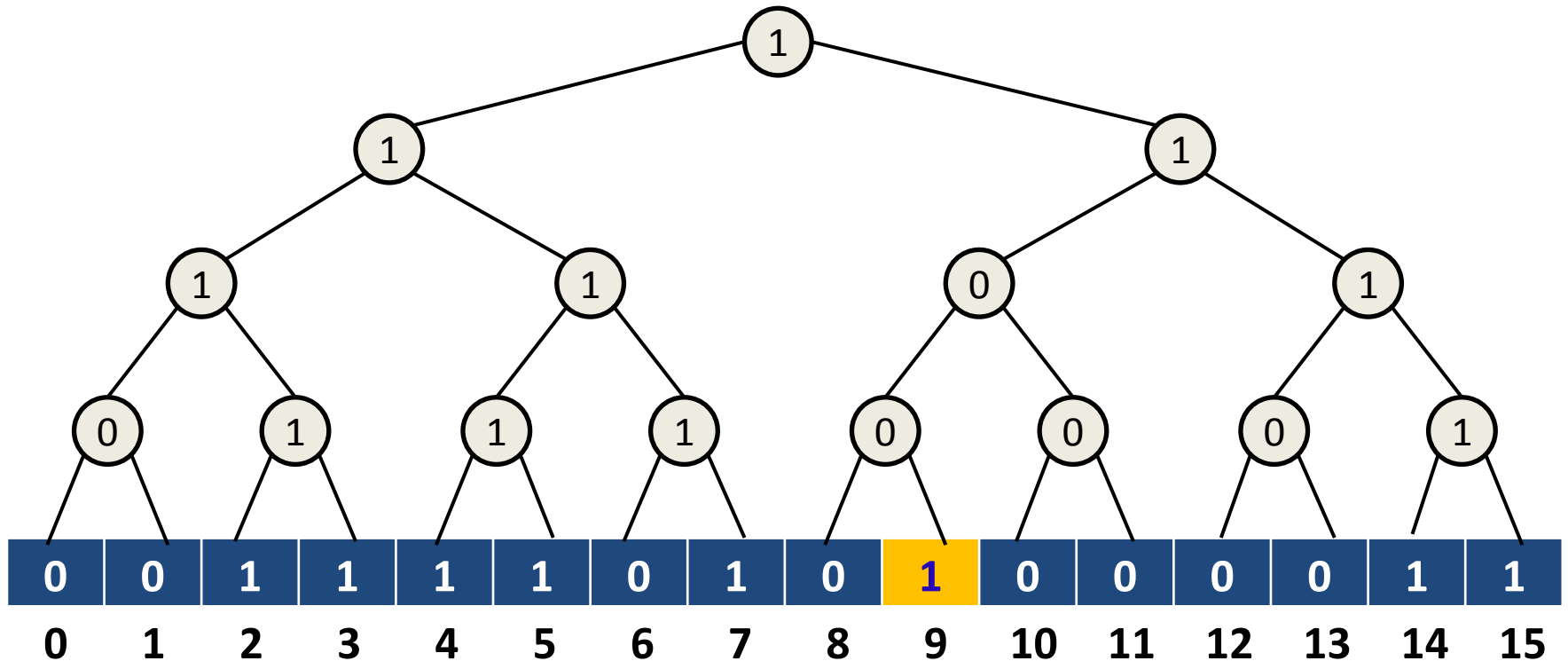
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Superimposing a binary tree structure
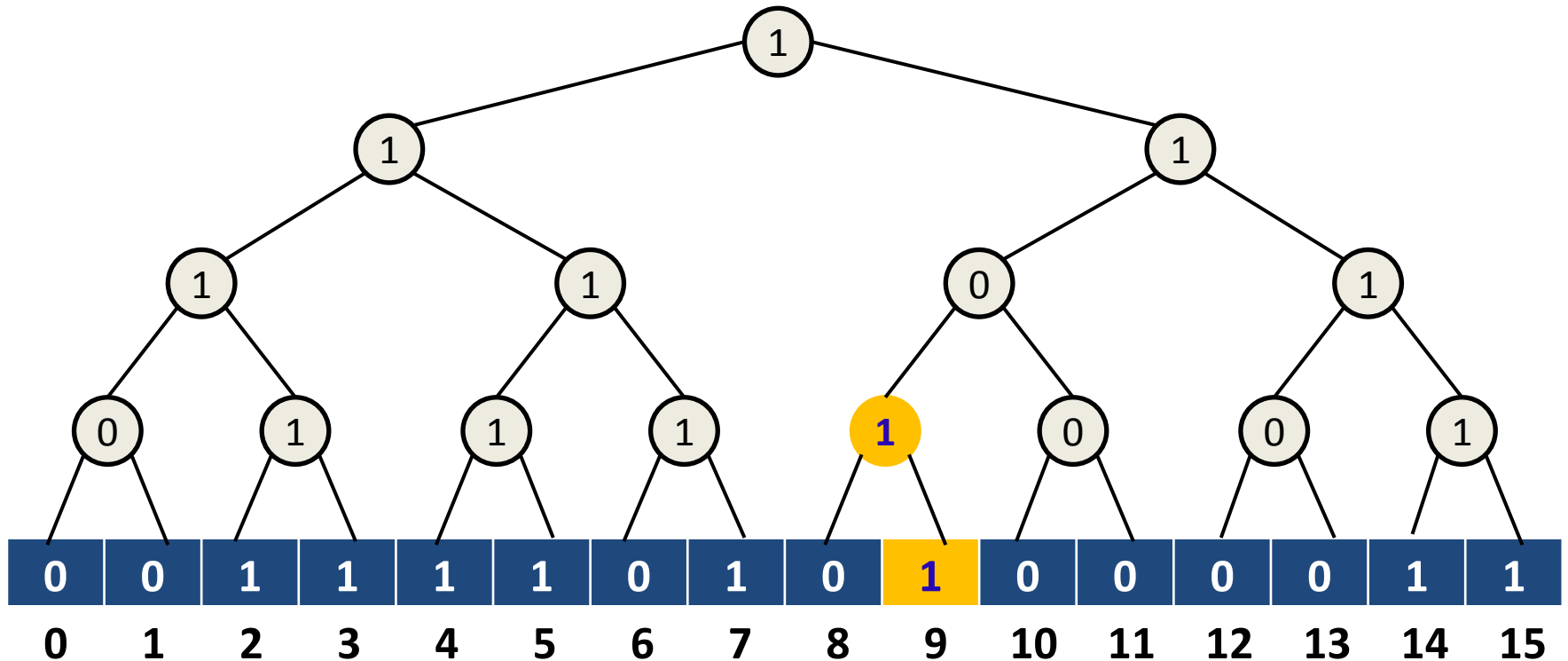
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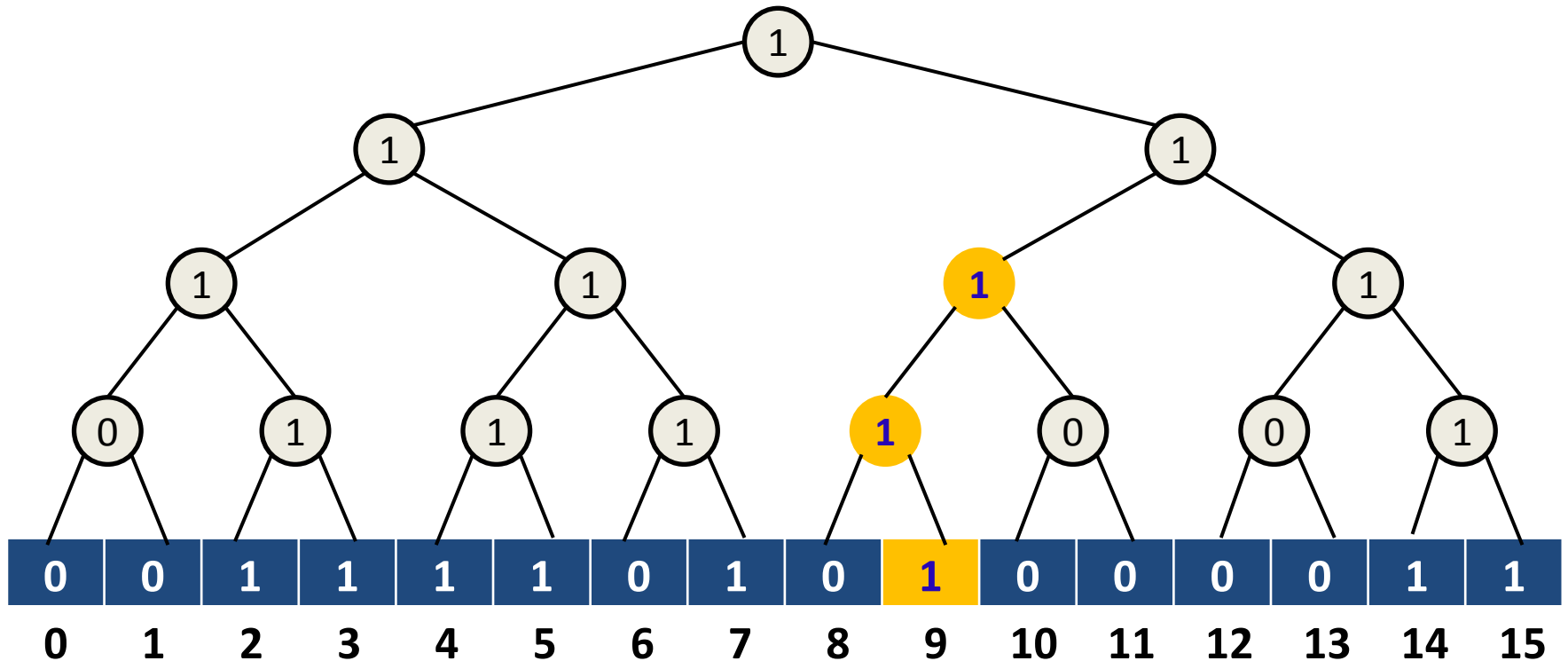
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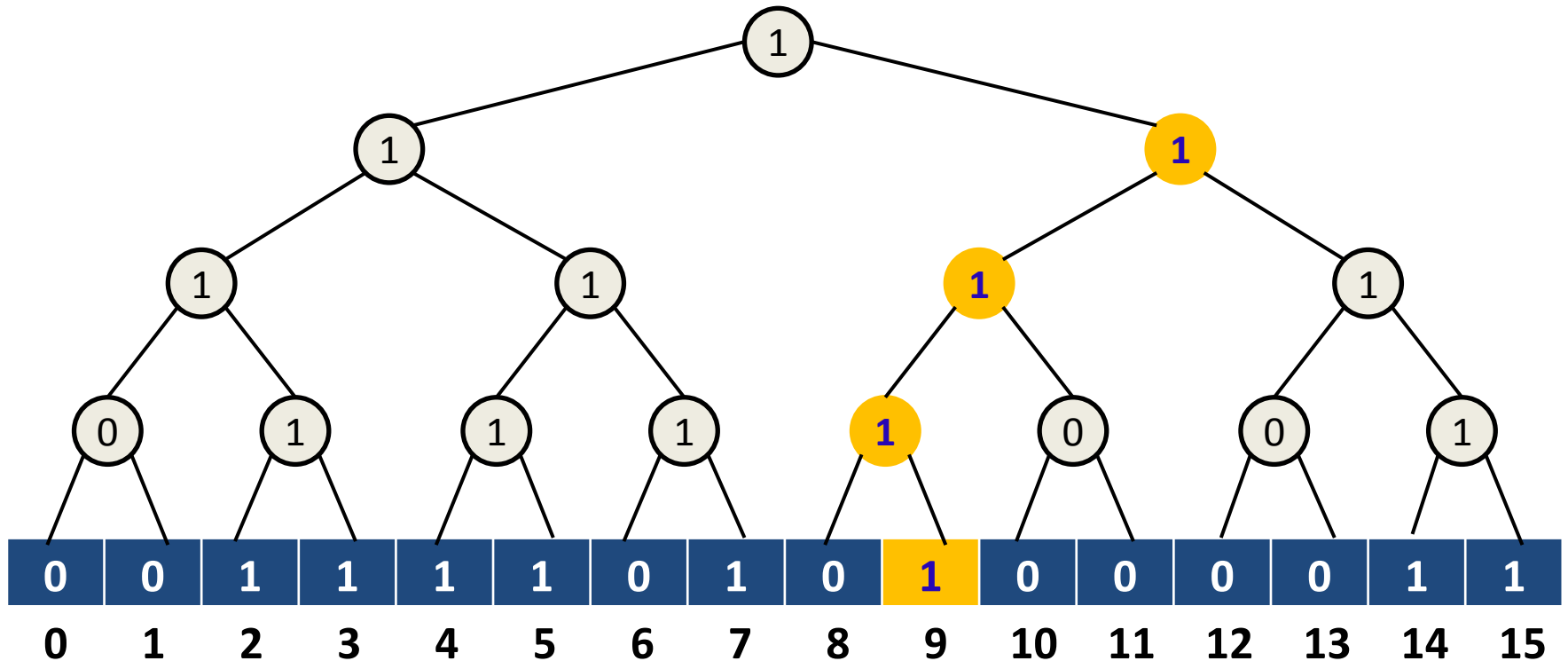
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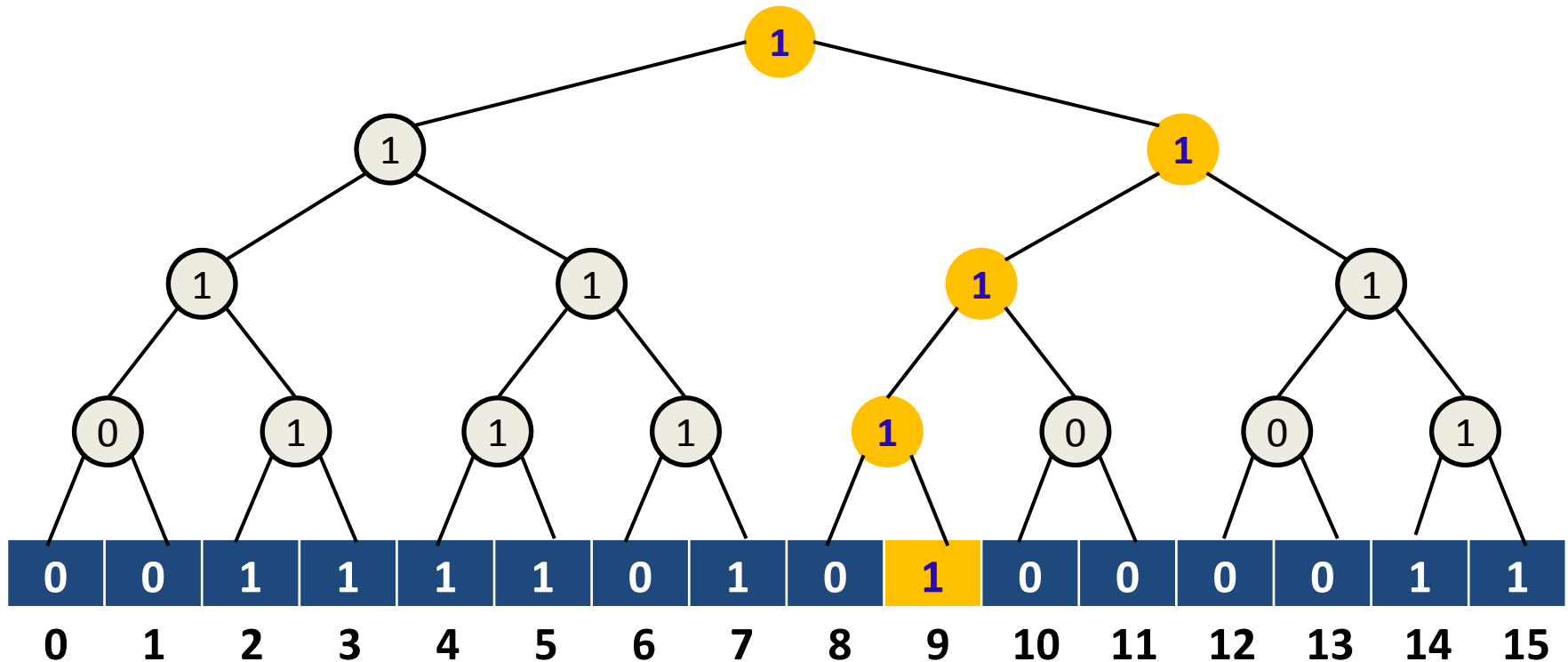
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INSERTION COMPLETED!

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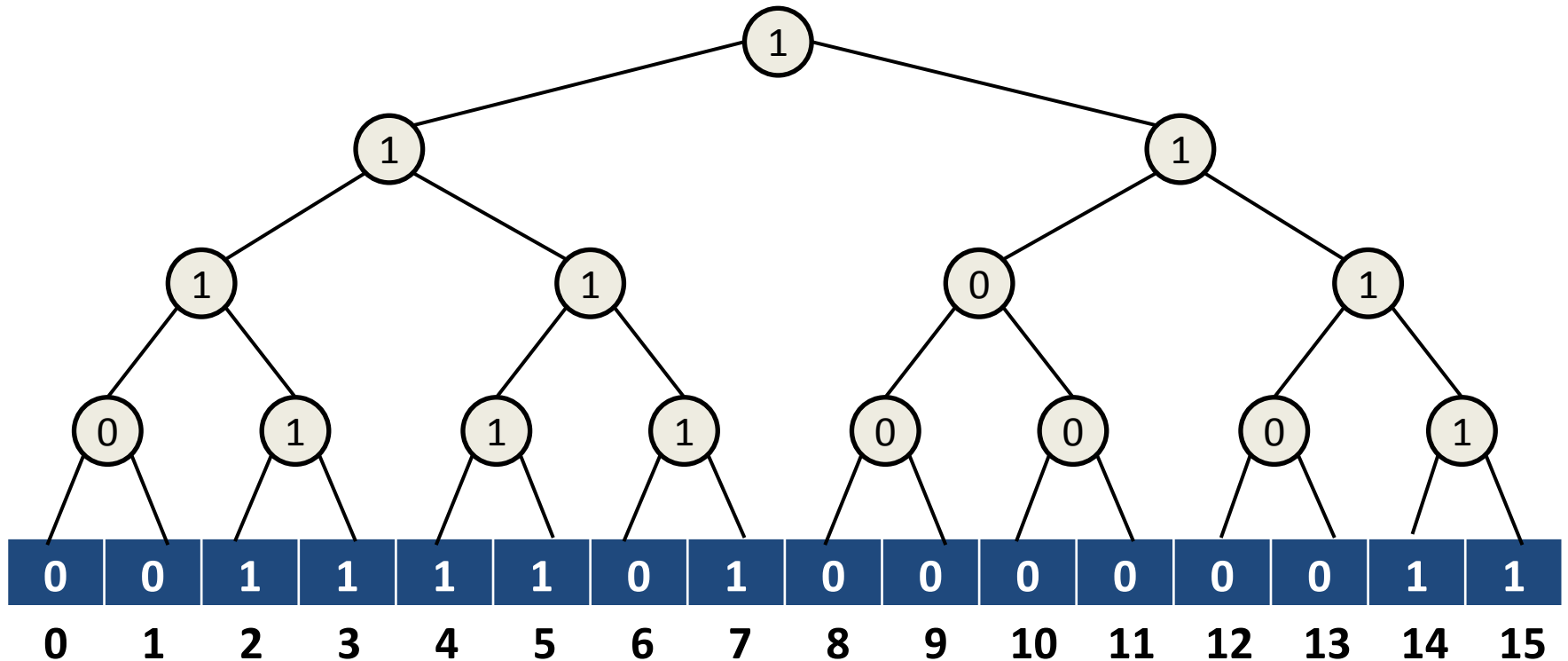
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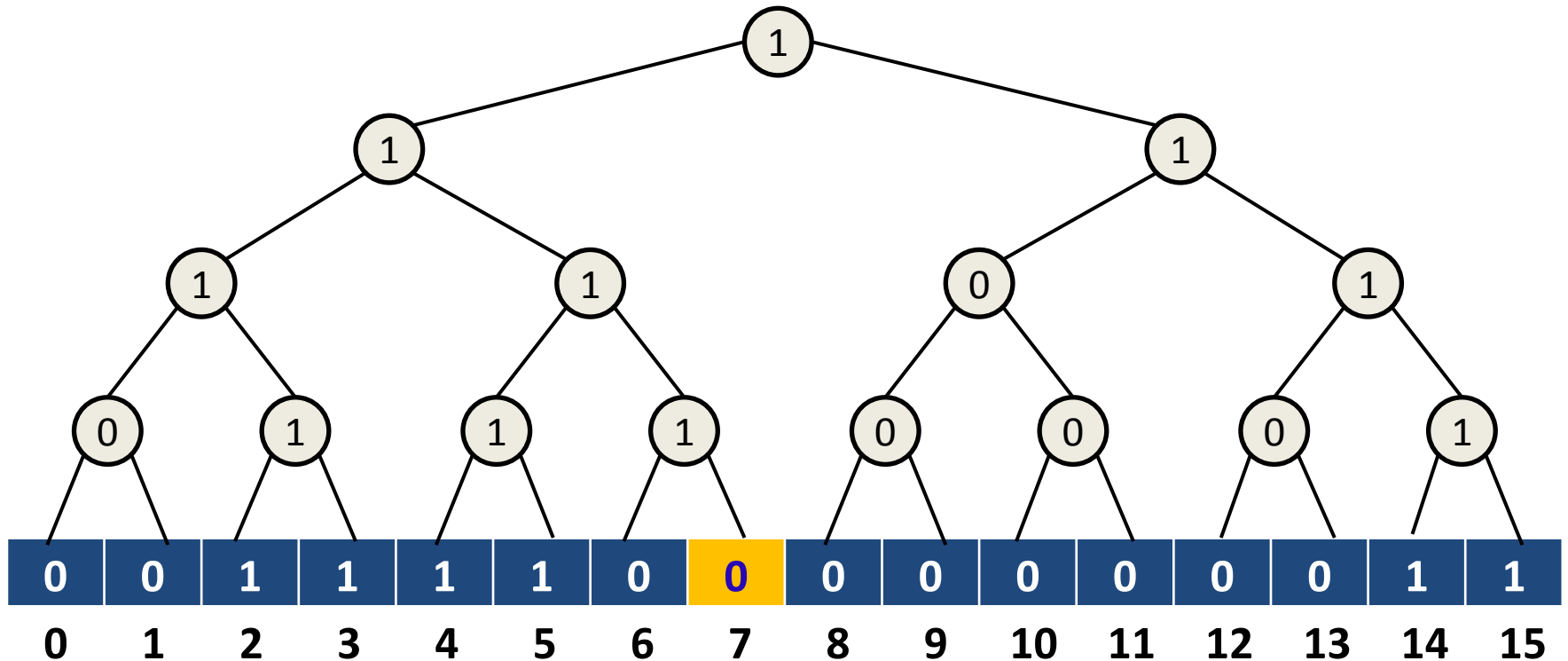
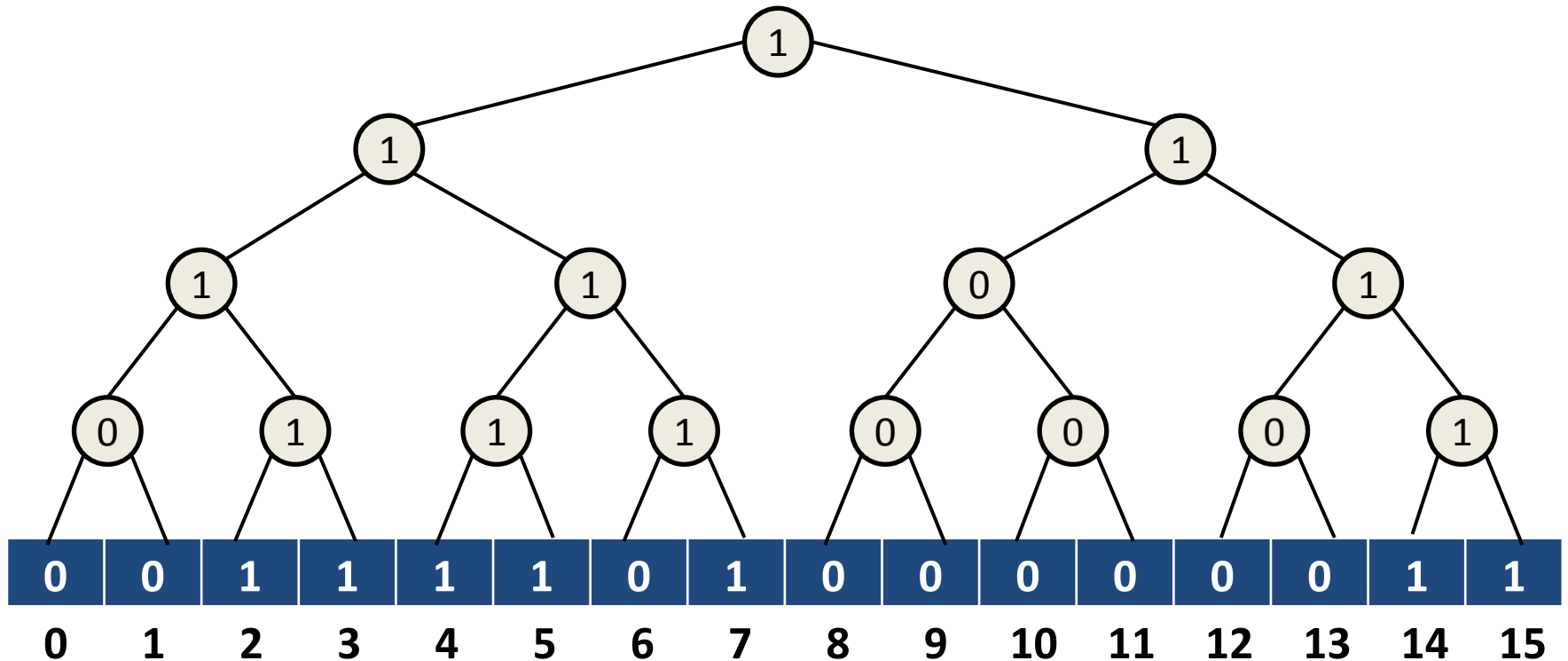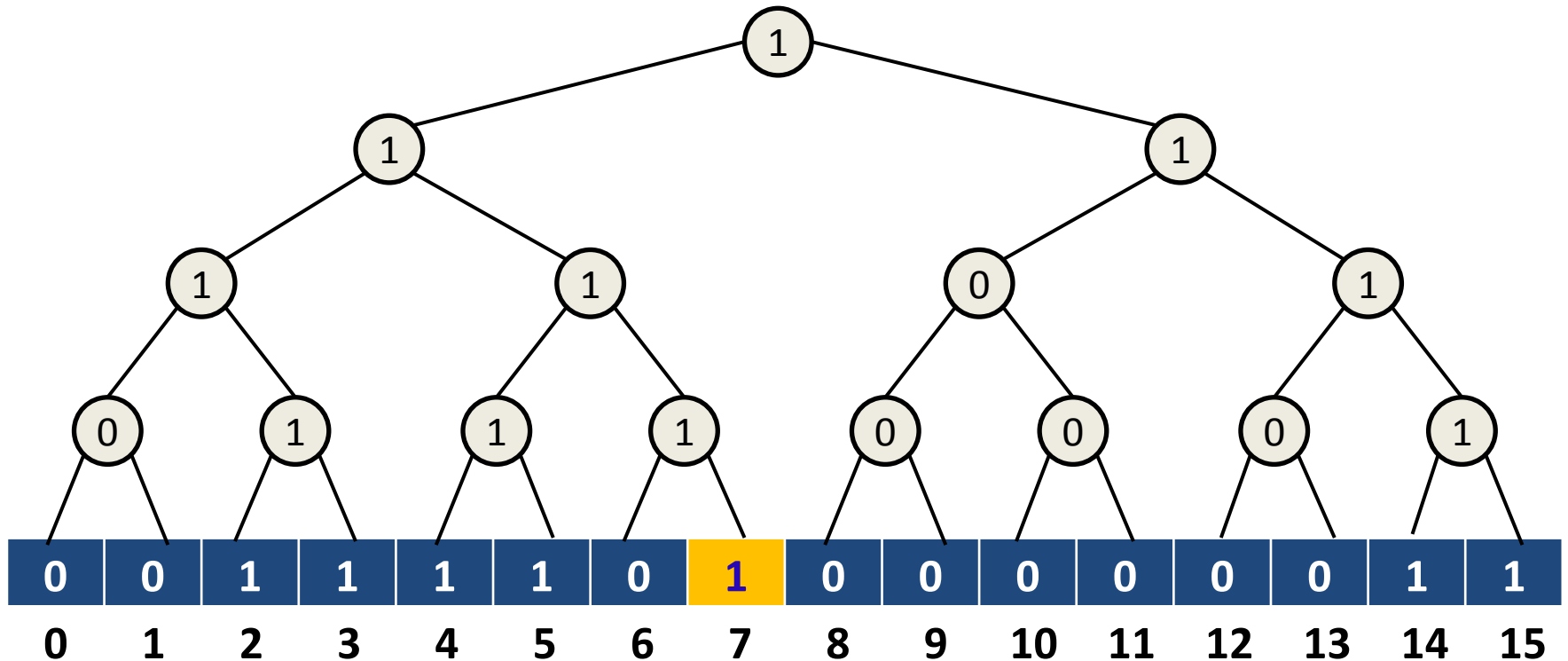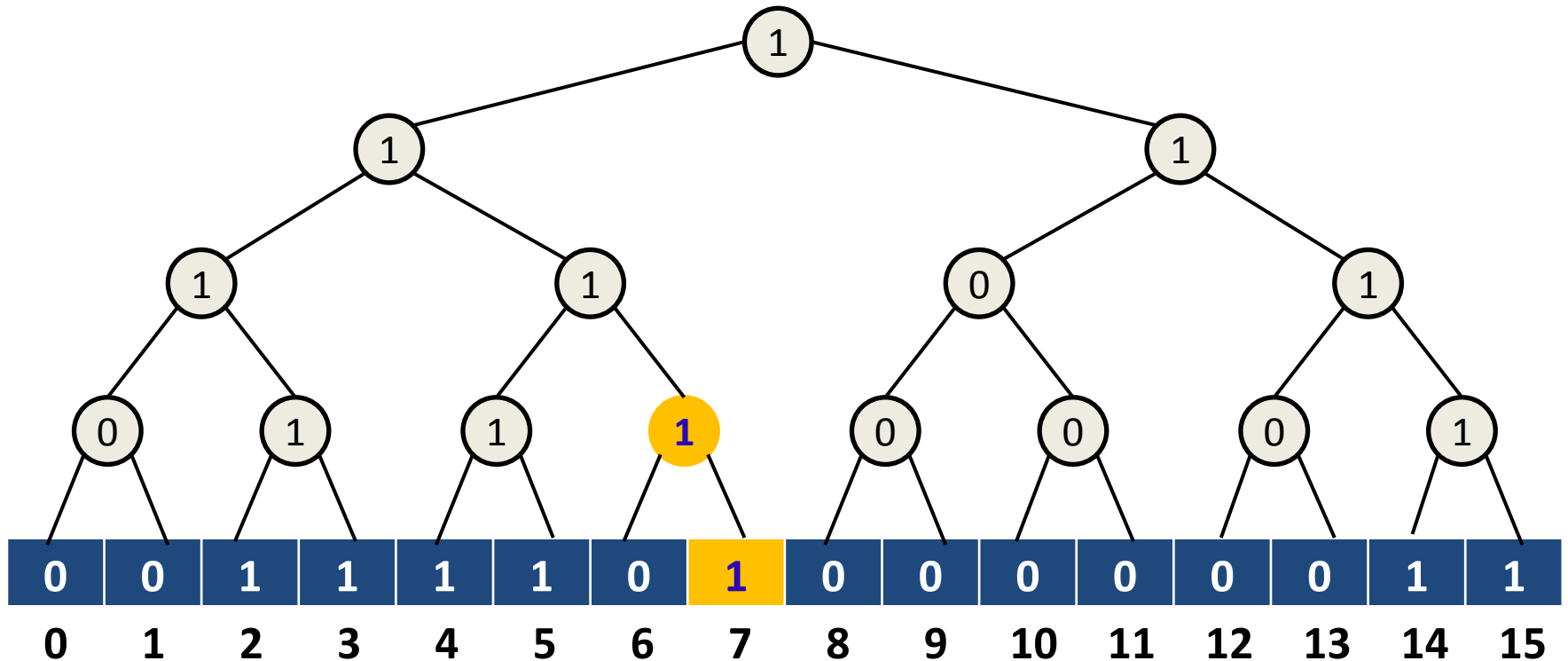- DELETION (A, 7):

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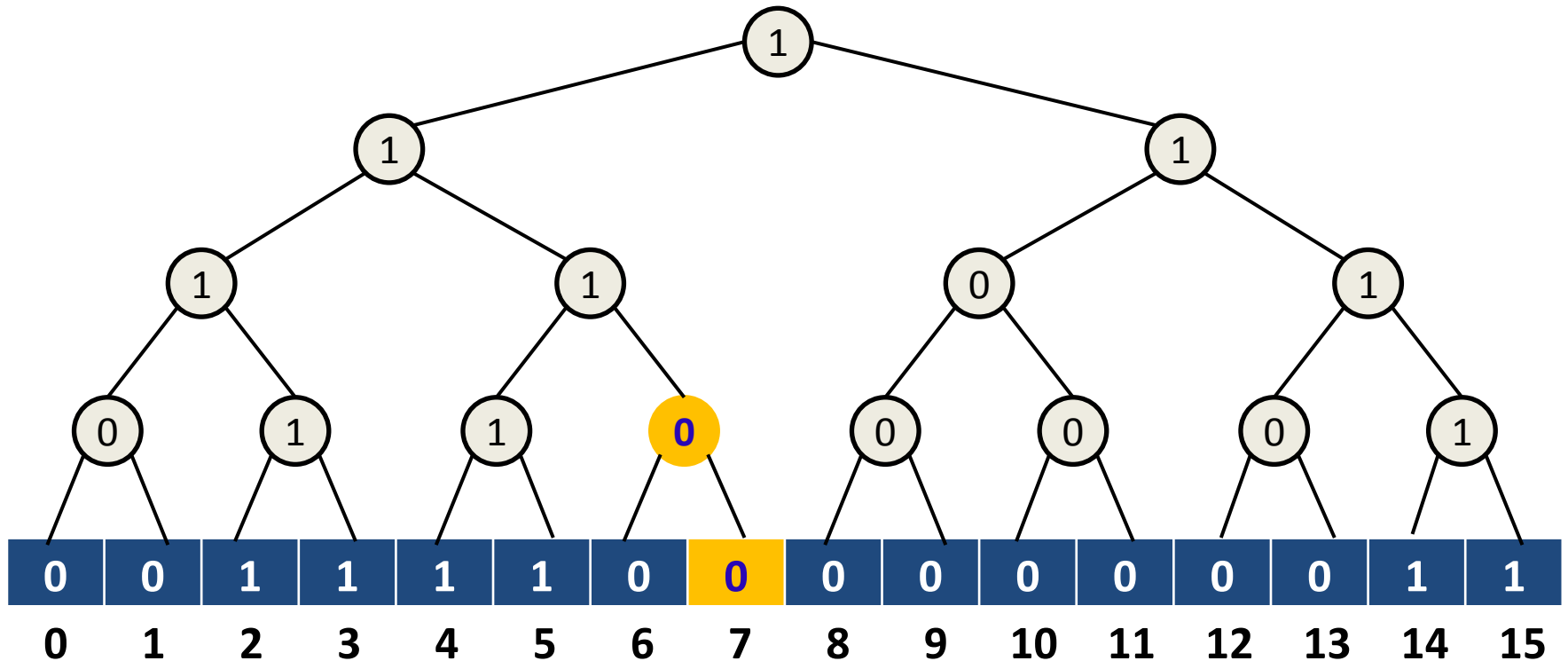
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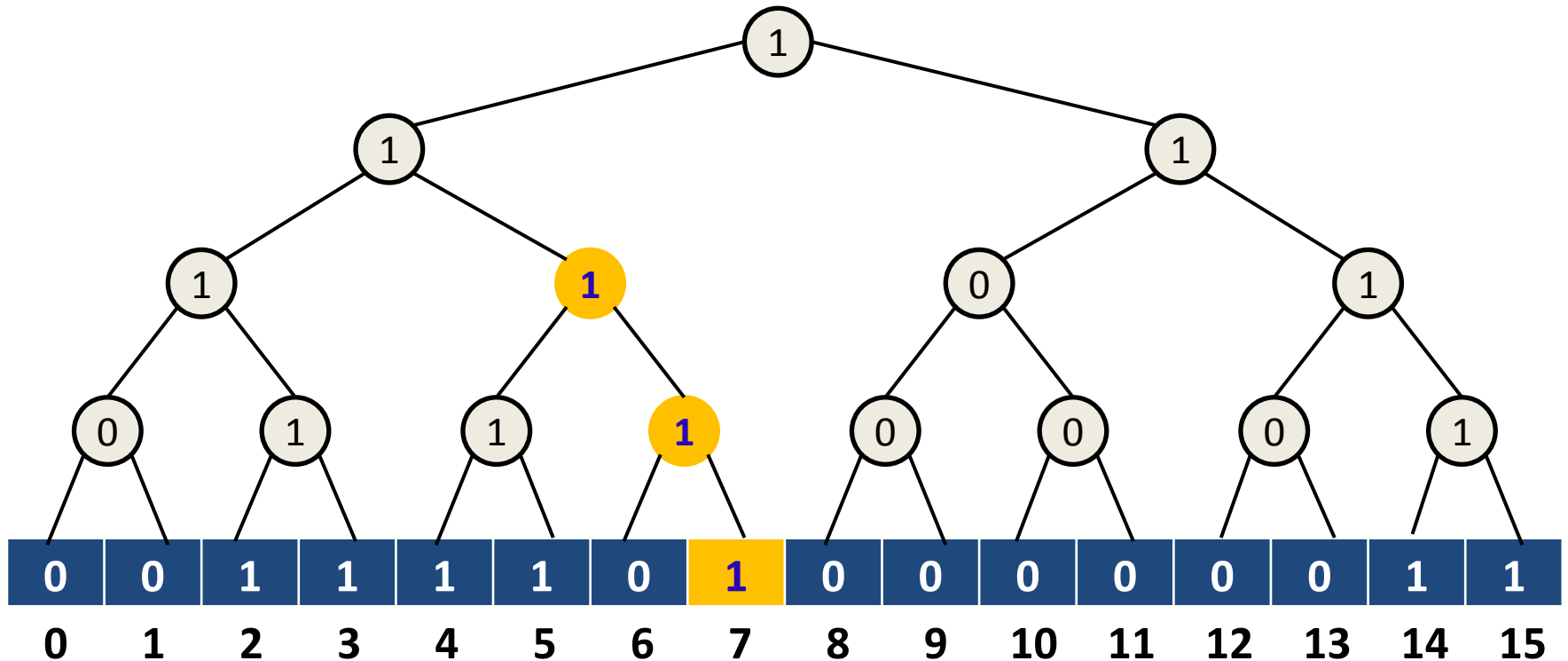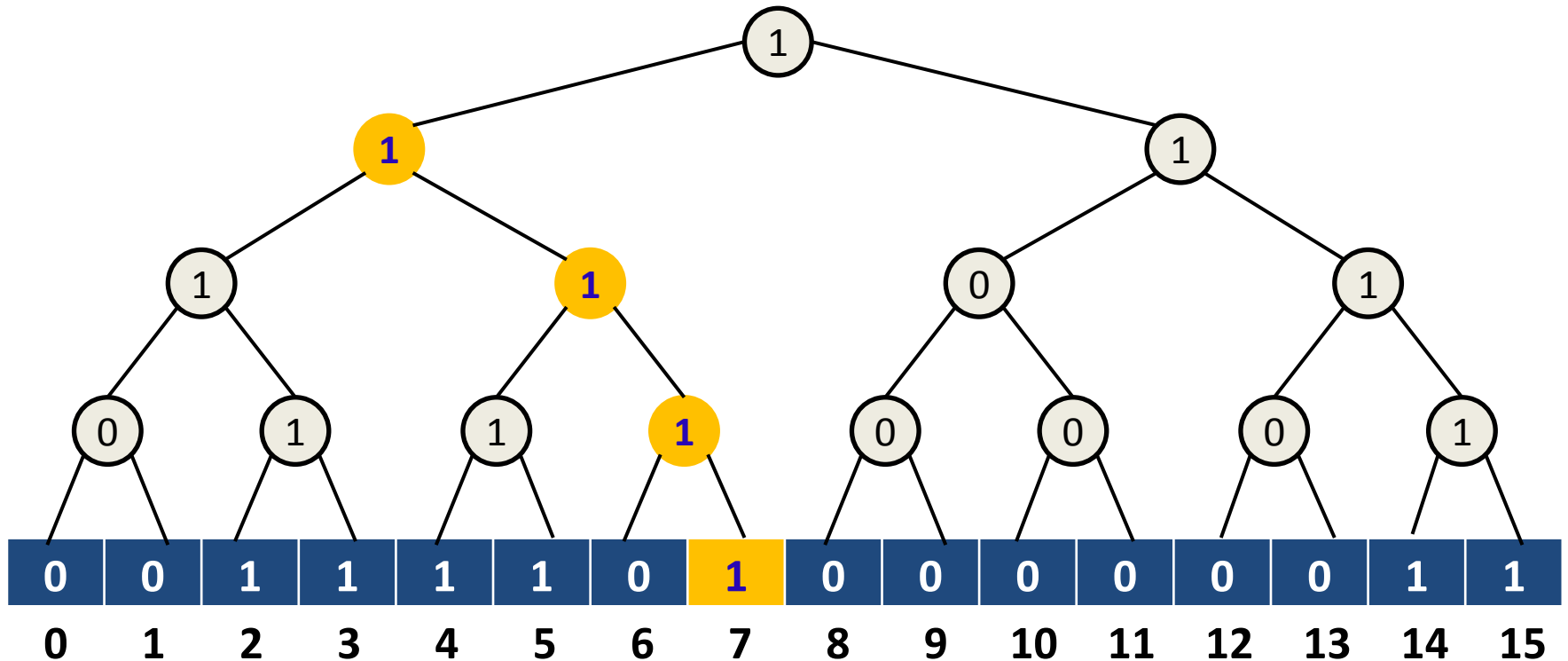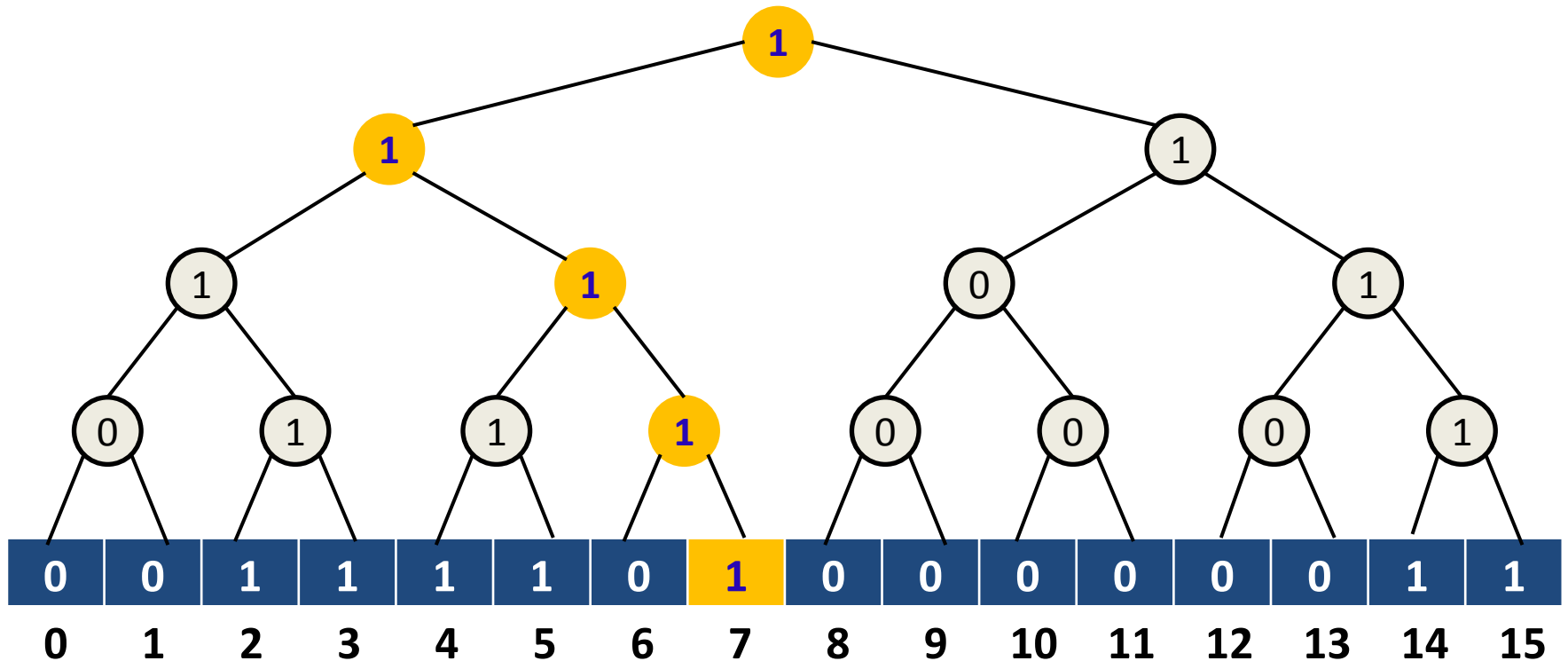
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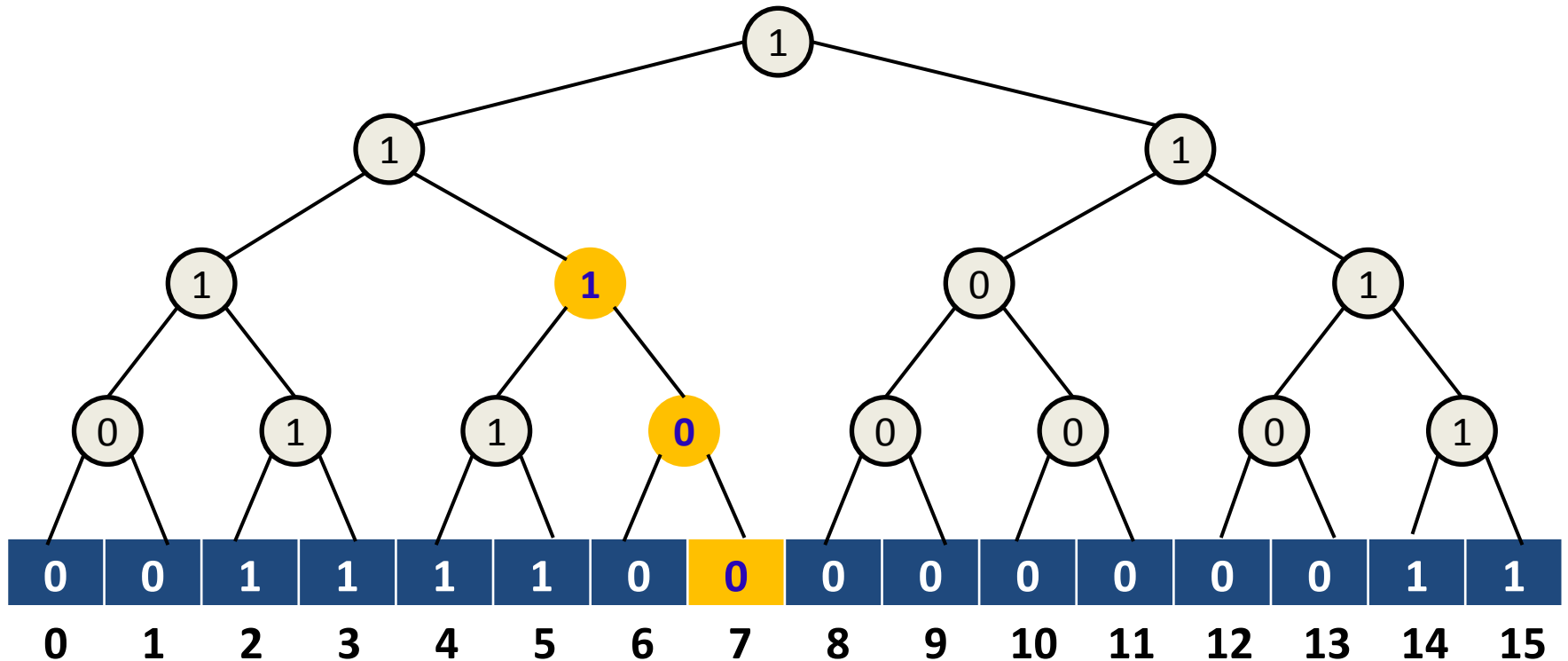
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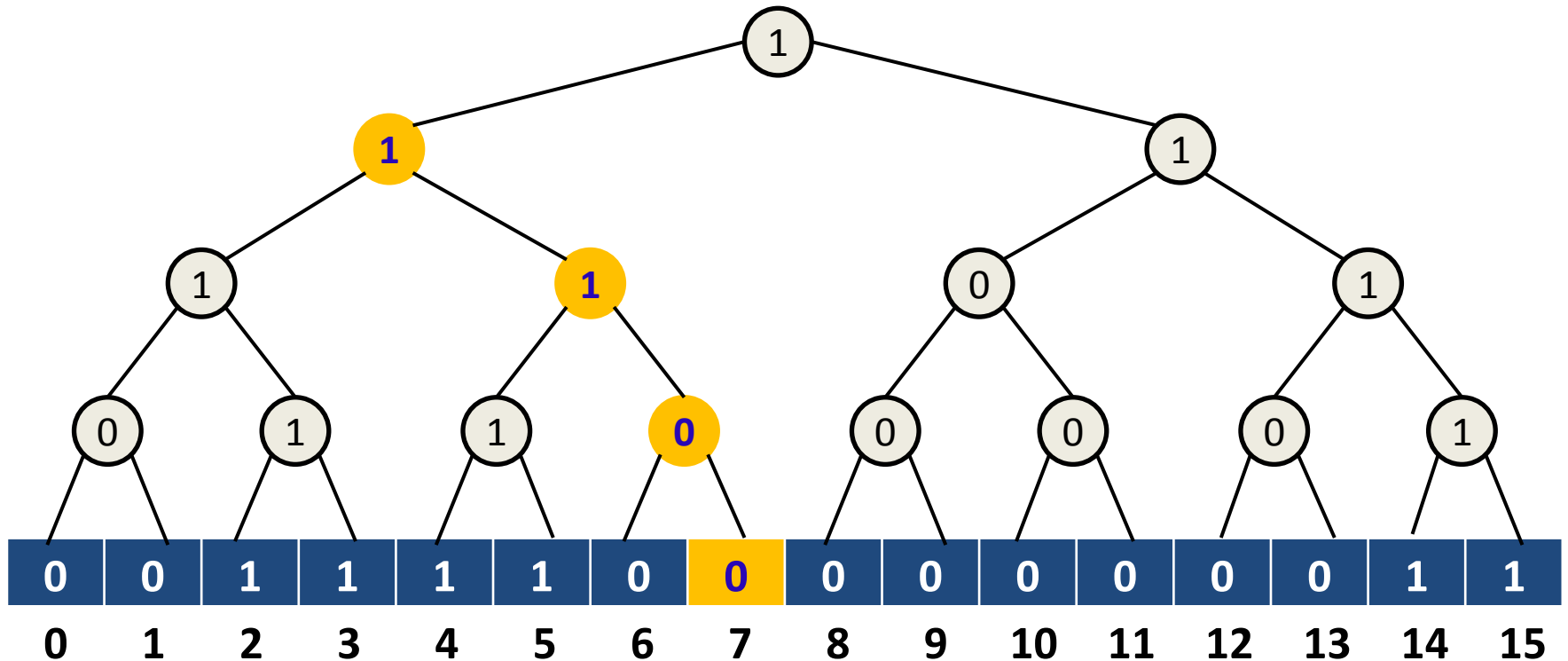
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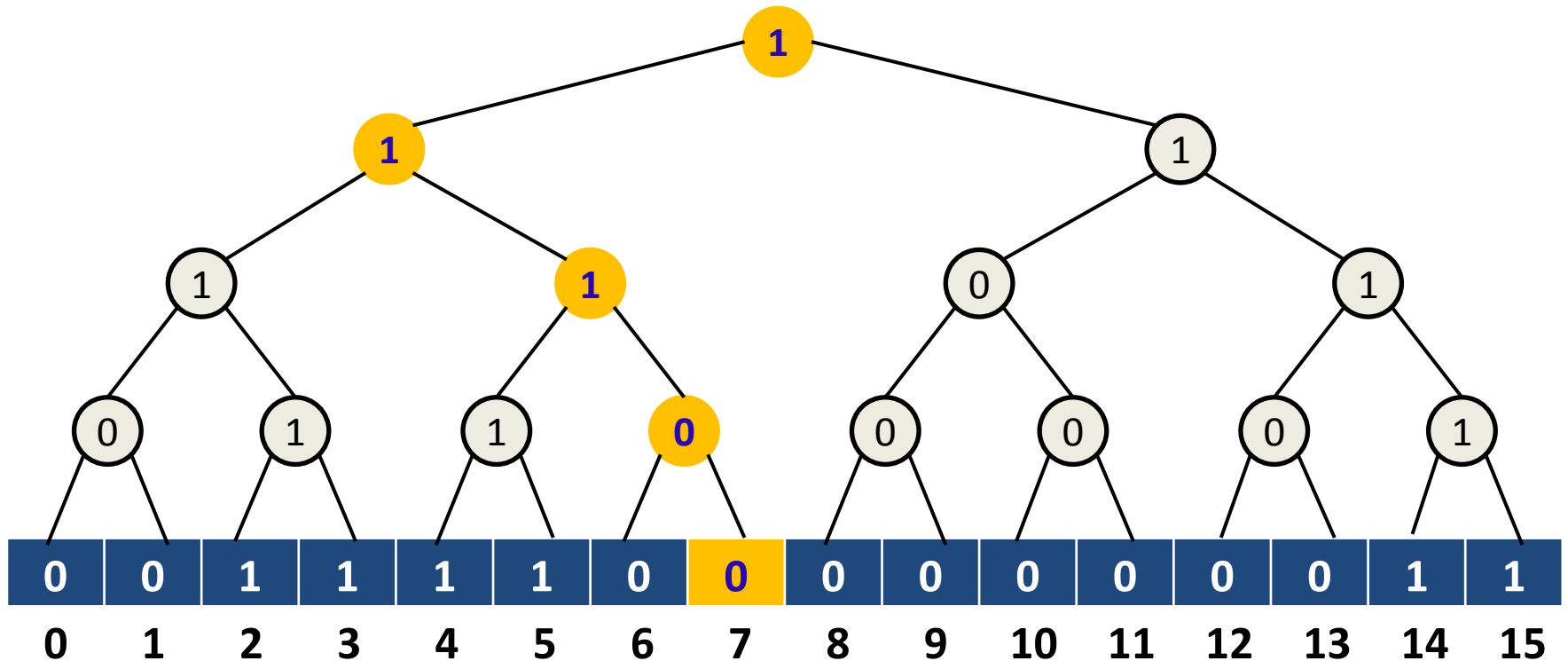
- DELETION (A, 7):

DELETION COMPLETED!

Superimposing a binary tree structure

- This approach is only marginally better than just using a balanced search tree.

- MEMBER operation can be performed in O(1) time, what is better than O(log n) for BST.

- If the number of elements **n** is much smaller than size of the universe **u** than BST would be faster for all the other operations.

Preliminary approaches

In order to gain insight for our problem we shall examine the following preliminary approaches for storing a dynamic set :

- Direct adressing.
- Superimposing a binary tree structure.
- **Superimposing a tree of constant height.**

Superimposing a tree of constant height

- Let us assume that $u = 2^{2k}$ for some natural **k**.

- Consider that we superimpose a tree of degree $u^{1/2}$

- The height of the resulting tree would be always 2.
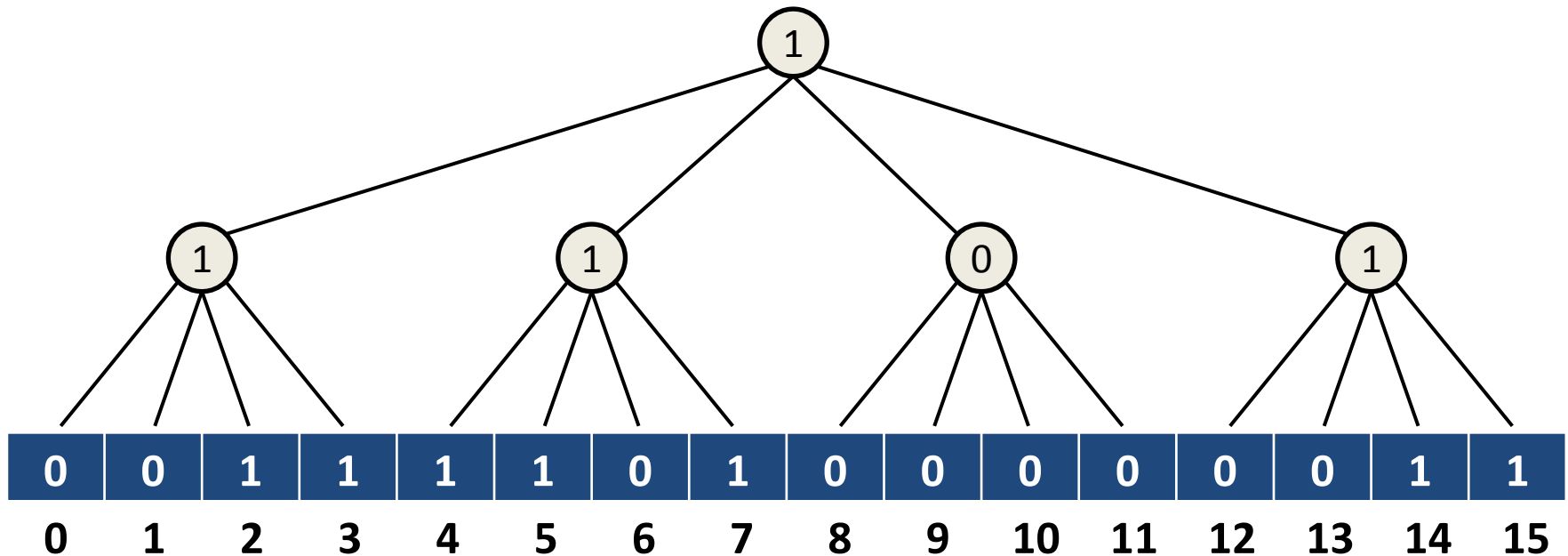
Superimposing a tree of constant height

- Again, each internal node stores the logical-or of the bits within its subtree.

- The $u^{1/2}$ internal nodes at depth 1 summarize each group (logical-or) of $u^{1/2}$ values.

- These internal nodes can be seen as an an array **summary[0 .. $u^{1/2}$ – 1]**

summary [0] = 1

0	0	1	1
0	1	2	3

0th-cluster
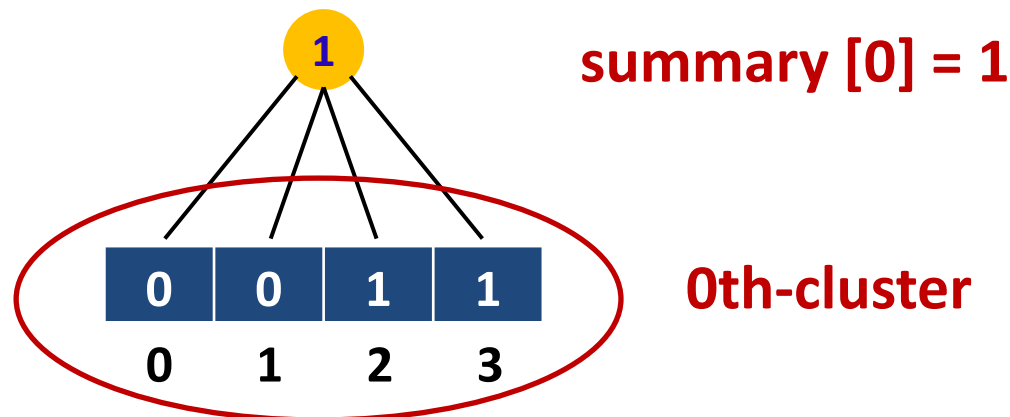
Superimposing a tree of constant height

- Given an index **x**, one can find the cluster that **x** belongs by the expression $\lfloor x / \sqrt{u} \rfloor$

- Operations INSERT and MEMBER can be performed in O(1) time.

- We can use **summary** array to perform all other operations MAX/MIN/PRED/SUC/DEL in $O(u^{1/2})$ time.
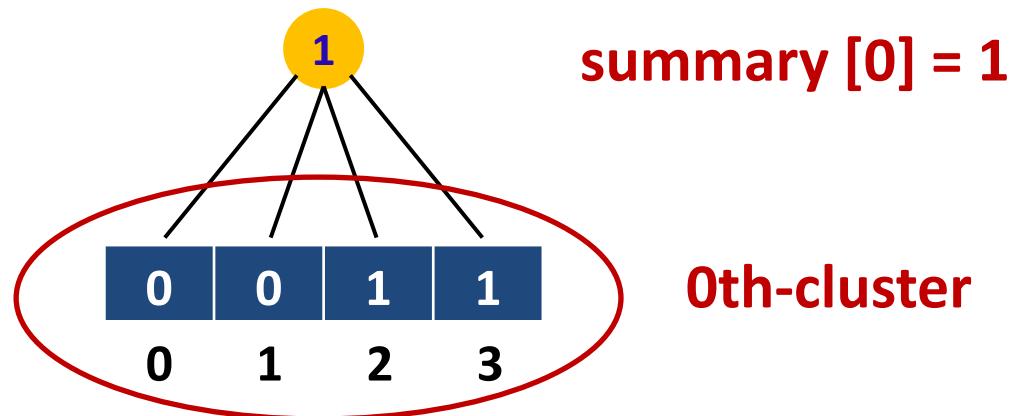
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0th-cluster

Exercise 1

- Modify the data structures introduced so far in order to support duplicate keys.

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- **Solution**: keep up one integer in the leaves instead of a single bit for counting repetitions. Internal nodes are not affected by this change.

Exercise 2

- Suppose that we superimpose a tree of degree $u^{1/k}$, instead of $u^{1/k}$, where $k > 1$ is an integer constant. What would be the height of such a tree and how long would each of the operations take?

Exercise 2

- Suppose that we superimpose a tree of degree $u^{1/k}$, instead of $u^{1/k}$, where $k > 1$ is an integer constant. What would be the height of such a tree and how long would each of the operations take?

- **Solution**: The height of the tree would be **k** and each operation would take $k \cdot u^{1/k}$

An interesting recurrence

- Since we are interested on achieving running times of **O(log log u)** let us think about how to obtain these bounds.

- The following recurrence will guide our search for a data structure:

$$T(u) = T\left(\sqrt{u}\right) + O(1)$$

An interesting recurrence

$$T(u) = T\left(\sqrt{u}\right) + O(1)$$

$$m = \lg u \Rightarrow 2^m = u$$

$$\Rightarrow T(u) = T\left(2^m\right)$$

$$\Rightarrow T\left(2^m\right) = T\left(2^{m/2}\right) + O(1)$$

$$S(m) = T\left(2^m\right)$$

$$\Rightarrow S(m) = S(m/2) + O(1)$$

$$\Rightarrow S(m) = \lg m$$

$$\Rightarrow T(u) = T\left(2^m\right) = S(m) = \lg m = \lg \lg u$$

Prototype of van Emde Boas

- The main idea is superimposing a tree of variable degree **$u^{1/k}$**.

- Starting with an universe of size **u** we make structures of **$u^{1/2}$** items, which themselves contain structures of **$u^{1/4}$** items, which hold structures of **$u^{1/8}$** items...

- This subdivision process stops when there are only 2 items.

- For simplicity we assume that $u = 2^{2^k}$ for some integer **k**.

Prototype of van Emde Boas

cluster[1] of root

Prototype of van Emde Boas

summary [ ] = {1, 1, 0, 1}
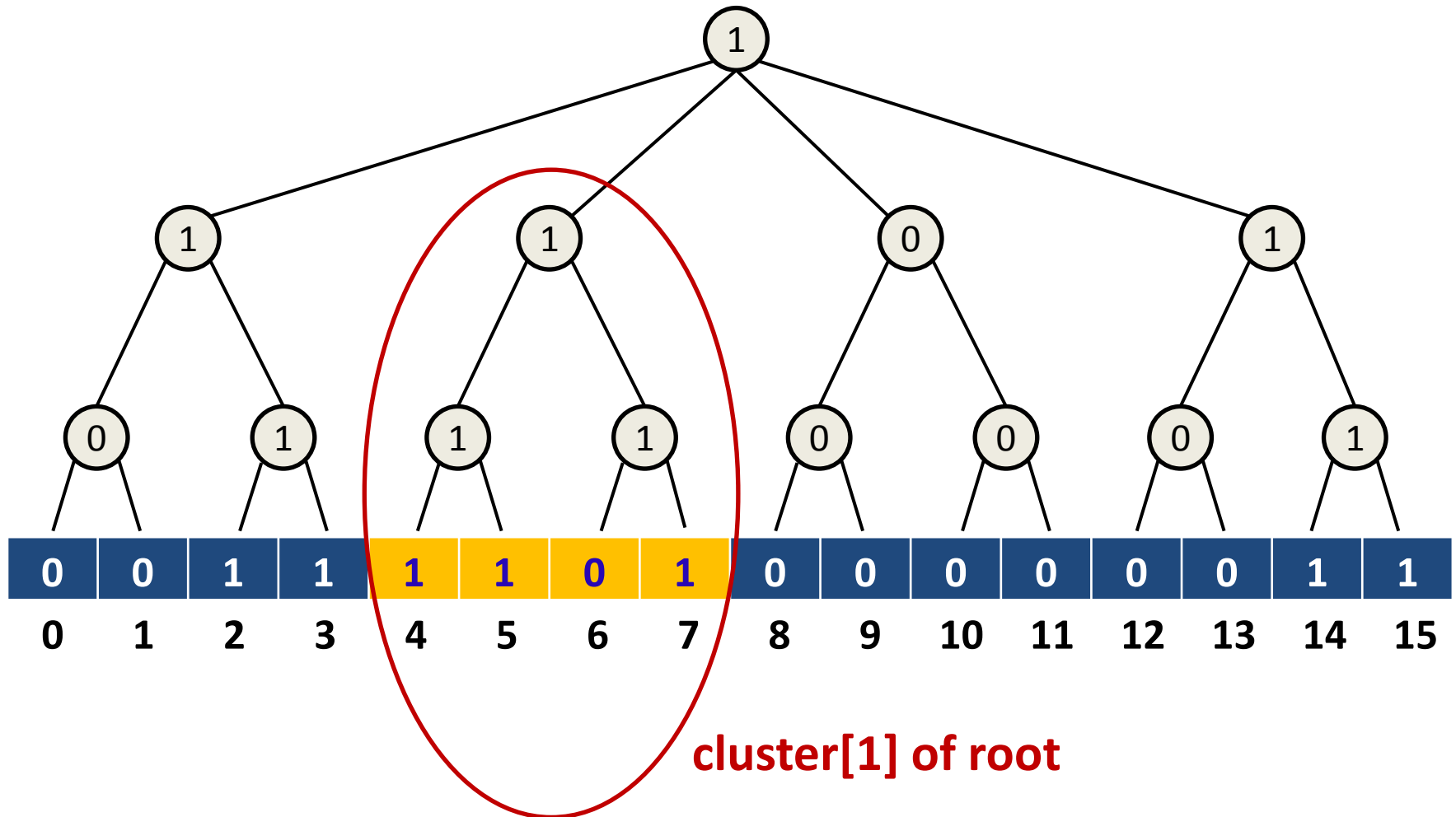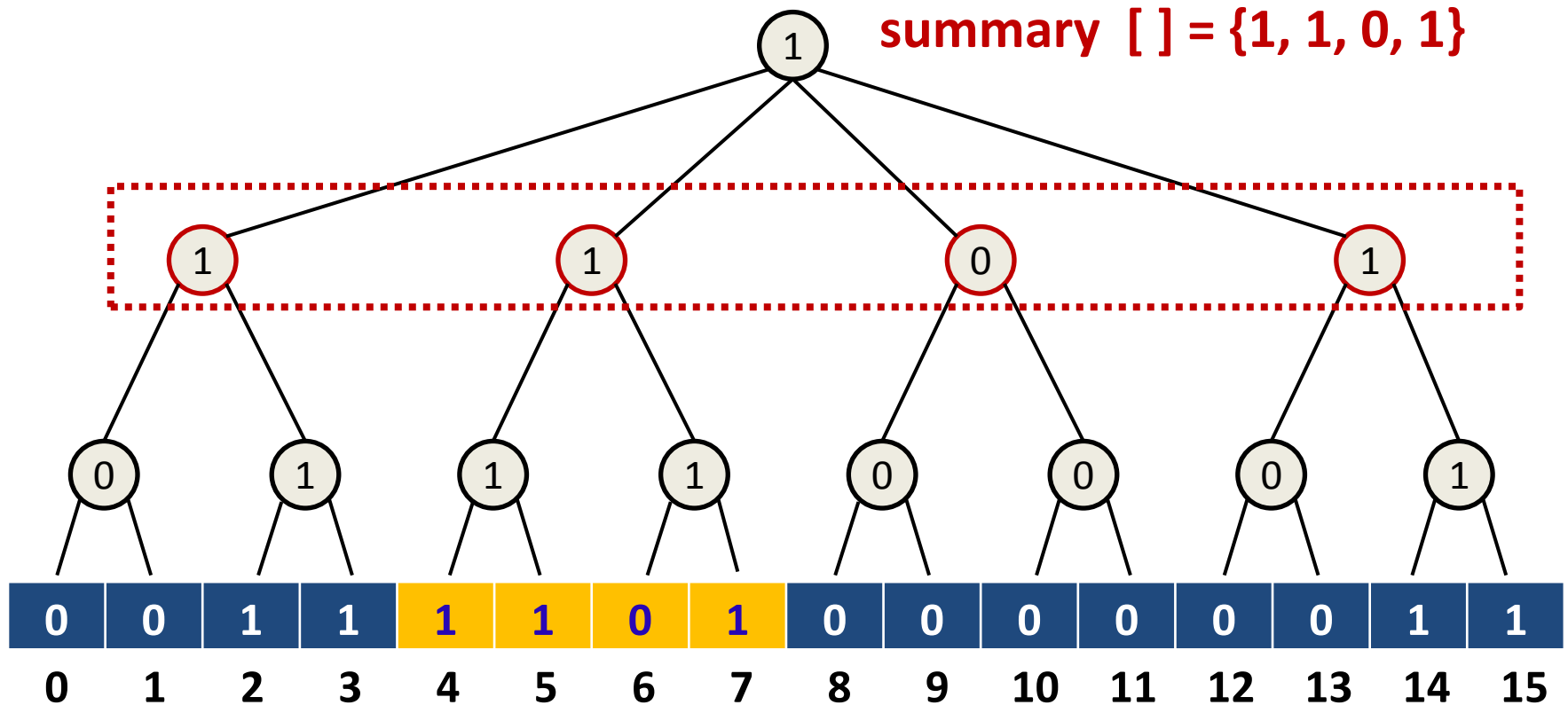
Prototype of van Emde Boas

Let $u = 2^{2^k}$ be the size of the universe for some integer k ≥ 0 .

- If **u = 2** then it is the basis size, and the **proto-vEB(u)** contains the array A[0..1] of two bits.

- Otherwise the **proto-vEB(u)** structure is defined recursively as follows:

  - It contains a pointer named **summary** to a **proto-vEB($u^{1/2}$)** structure.

  - Its contains an array **cluster[0 .. $u^{1/2}$ - 1]** of $u^{1/2}$ pointers, each to a **proto-vEB($u^{1/2}$)** structure.

Prototype of van Emde Boas
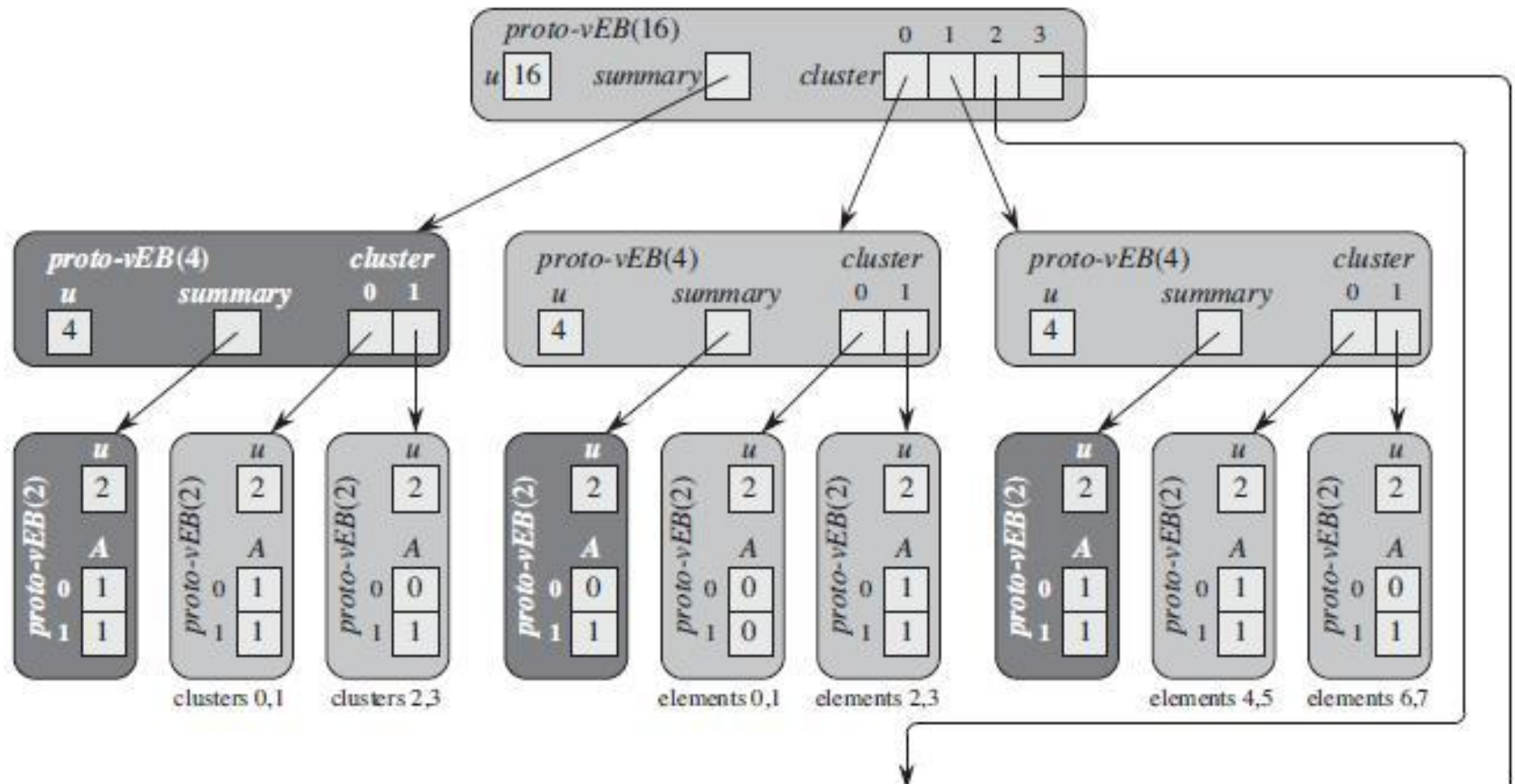
Clusters and positions

- A given value **x** resides in **cluster number** $\left\lfloor x / \sqrt{u} \right\rfloor$

- Since that **x** is a binary integer of **lg u** bits, its cluster number is given by the **most significant** (lg u)/2 bits of **x**.

- The **position** in which **x** appears in its cluster is given by the expression $x \bmod \sqrt{u}$

- As a consequence, the position of **x** inside its cluster is given by the **least significant** (lg u)/2 bits of **x**

Clusters and positions

The following functions will be necessary to explore the **proto-vEB** structure:

- **high(x) =** $\left\lfloor x / \sqrt{u} \right\rfloor$

- **low(x) =** $x \bmod \sqrt{u}$

- **index(x, y) =** $x\sqrt{u} + y$

Member operation on proto-vEB

PROTO-vEB-MEMBER (V, x)

1   **if** V.u == 2

2   **return** V.A[x]

3   **else**

4   **return** PROTO-vEB-MEMBER (V.cluster[high(x)], low(x))

Member operation on proto-vEB

- **Running time:**

$$T(u) = T\left(\sqrt{u}\right) + O(1)$$
$$\Rightarrow T(u) = O(\lg \lg u)$$

Finding the minimum of proto-vEB

PROTO-vEB-MINIMUM (V)

1   **if** V.u == 2

2 | **if** V.A[0] == 1

3 | | **return** 0

4 | **elseif** V.A[1] == 1

5 | | **return** 1

6 | **else return** NIL

7   **else** min-cluster = PROTO-vEB-MINIMUM (V.summary)

8 | **if** min-cluster == NIL

9 | | **return** NIL

10 | **else** offset **=** PROTO-vEB-MINIMUM (V.cluster[min-cluster])

11 | | **return** index(min-cluster, offset)

Finding the minimum of proto-vEB

- **Running time:**

$$T(u) = 2T\left(\sqrt{u}\right) + O(1)$$

$$\Rightarrow T\left(2^m\right) = 2T\left(2^{m/2}\right) + O(1)$$

$$\Rightarrow S(m) = 2S(m/2) + O(1)$$

$$\Rightarrow S(m) = \Theta(m)$$

$$\Rightarrow T(u) = T\left(2^m\right) = S(m) = \Theta(m) = \Theta(\lg u)$$

Successor operation on proto-vEB

PROTO-vEB-SUCCESSOR (V, x)

1   **if** V.u == 2

2   **if** x == 0 **and** V.A[1] == 1

3   **return** 1

4   **else return** NIL

5   **else** offset **=** PROTO-vEB-SUCCESSOR (V.cluster[high(x)], low(x))

6   **if** offset ≠ NIL

7   **return** index (high(x), offset)

8   **else**

9   succ-cluster **=** PROTO-vEB-SUCCESSOR (V.summary, high(x))

10   **if** succ-cluster == NIL

11   **return** NIL

12   **else** offset **=** PROTO-vEB-MINIMUM (V.cluster[succ-cluster])

13   **return** index(succ-cluster, offset)

Successor operation on proto-vEB

- **Running time:**

$$T(u) = 2T\left(\sqrt{u}\right) + O(\lg\sqrt{u})$$

$$\Rightarrow T\left(2^m\right) = 2T\left(2^{m/2}\right) + O(m)$$

$$\Rightarrow S(m) = 2S(m/2) + O(m)$$

$$\Rightarrow S(m) = \Theta(m\lg m)$$

$$\Rightarrow T(u) = T\left(2^m\right) = S(m)$$

$$\Rightarrow T(u) = \Theta(m\lg m) = \Theta(\lg u\lg\lg u)$$

Insertion on proto-vEB

PROTO-vEB-INSERT (V, x)

1   **if** V.u == 2

2   V.A[x] = 1

3   **else**

4   PROTO-vEB-INSERT (V.cluster[high(x)], low(x))

5   PROTO-vEB-INSERT (V.summary, high(x))

Insertion on proto-vEB

- **Running time:**

$$T(u) = 2T\left(\sqrt{u}\right) + O(1)$$

$$\Rightarrow T\left(2^m\right) = 2T\left(2^{m/2}\right) + O(1)$$

$$\Rightarrow S(m) = 2S(m/2) + O(1)$$

$$\Rightarrow S(m) = \Theta(m)$$

$$\Rightarrow T(u) = T\left(2^m\right) = S(m) = \Theta(m) = \Theta(\lg u)$$

The "REAL" van Emde Boas Tree

- Proto-vEB structure was close to what is needed to achieve O(lg lg n) running times.

- It requires too many (2 or more) recursions in most of the operations (time complexity bounds allow only one recursion).

- The "REAL" van Emde Boas tree stores some extra information in order to make at most one recursive call on each of the operations.

The universe size u = 2^k

- The universe size $u = 2^{2^k}$ in **proto-vEB** was very restrictive :
  - If **k = 1** then **u = 4**
  - If **k = 2** then **u = 16**
  - If **k = 3** then **u = 256**
  - If **k = 4** then **u = 65536**
  - If **k = 5** then **u = 4294967296**
  - If **k = 6** then **u = 18446744073709551616**

- In the **proto-vEB**, any $u \neq 2^{2^k}$ must be transformed into an **u'** such that **u' = Ω(u²)**

- The **real-vEB** allow the universe size **u** to be **any exact power of two**. In other words, **u = 2^k** for an integer **k > 0**

The universe size u = 2^k

- Since that the universe size is any exact power of two, **u$^{1/2}$** is not necessarily an integer.

- However, this change affects the calculation of functions **high**, **low** and **index** that uses most/least significant bits**.**

  - **high(x) =** $\left\lfloor x / \sqrt{u} \right\rfloor$

  - **low(x) =** $x \bmod \sqrt{u}$

  - **index(x, y) =** $x\sqrt{u} + y$

The universe size u = 2^k

- For convenience, we introduce the concepts of **lower square root** and **upper square root**:

  - **Lower square root**: $\downarrow \sqrt{u} = 2^{\lfloor (\lg u)/2 \rfloor}$

  - **Upper square root**: $\uparrow \sqrt{u} = 2^{\lceil (\lg u/2) \rceil}$

- **Examples**:
  - $\downarrow \sqrt{32} = 2^{\lfloor (\lg 32)/2 \rfloor} = 2^2 = 4$

  - $\uparrow \sqrt{32} = 2^{\lceil (\lg 32/2) \rceil} = 2^3 = 8$

Redefining high, low and index

- Since that the universe size is any exact power of two, $u^{1/2}$ is not necessarily an integer.

- However, this change affects the calculation of functions **high**, **low** and **index** that uses most/least significant bits.

  - **high(x) =** $\left\lfloor x / {\downarrow}\sqrt{u} \right\rfloor$

  - **low(x) =** $x \bmod {\downarrow}\sqrt{u}$

  - **index(x) =** $x {\downarrow}\sqrt{u} + y$

Redefining high, low and index

- **Example**

  If u = 36 and x = 23, then:

  - **high(23) =** $\left\lfloor 23/\!\downarrow\!\sqrt{32} \right\rfloor = \left\lfloor 23/4 \right\rfloor = 5$

  - **low(23) =** $23 \bmod \downarrow\!\sqrt{32} = 23 \bmod 4 = 3$

  - **index(5, 3) =** $5\downarrow\!\sqrt{32} + 3 = 5\cdot 4 + 3 = 23$

The "REAL" van Emde Boas Tree

- The **real-vEB** modifies the proto-VEB, containing two new attributes:
  - **min** stores the minimum element in the real-vEB.
  - **max** stores the maximum element in the real-vEB.

- The attribute **summary** points to a **real-vEB($\uparrow u^{1/2}$)** tree.

- The array **cluster** points to $\uparrow u^{1/2}$ **real-vEB($\downarrow u^{1/2}$)** trees.

- **Important**: The element stored in **min** does no appear in any of the recursive real-vEB trees that the *cluster* array points to**.**

The "REAL" van Emde Boas Tree
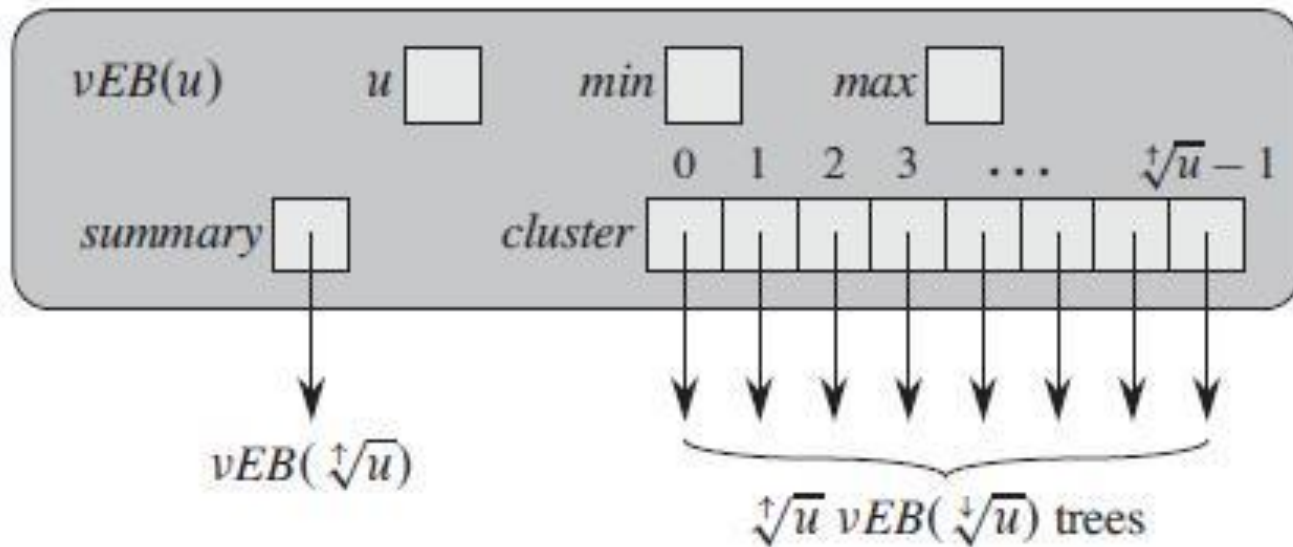
The "REAL" van Emde Boas Tree

- The elements stored in a **real-vEB(u)** tree **V.min** plus all the elements stored in the **real-vEB($\downarrow u^{1/2}$)** trees pointed to by **V.cluster[0 .. ($\uparrow u^{1/2}$) − 1]**

- When a real-vEB contains two or more elements the element stored in **min** does not appear in any of the clusters but the stored in **max** does (unless it is equal to **min**).

- Since the basis size is 2, real-vEB(2) does not need the array **A** of the corresponding proto-vEB(2). The attributes **min** and **max** can be used for it.

- **Important**: In the real-vEB, all the elements can be determined from the **min** and **max** attributes.

The "REAL" van Emde Boas Tree

- **Example**: real-vEB(16) holding the set **{2, 3, 4, 5, 7, 14, 15}**
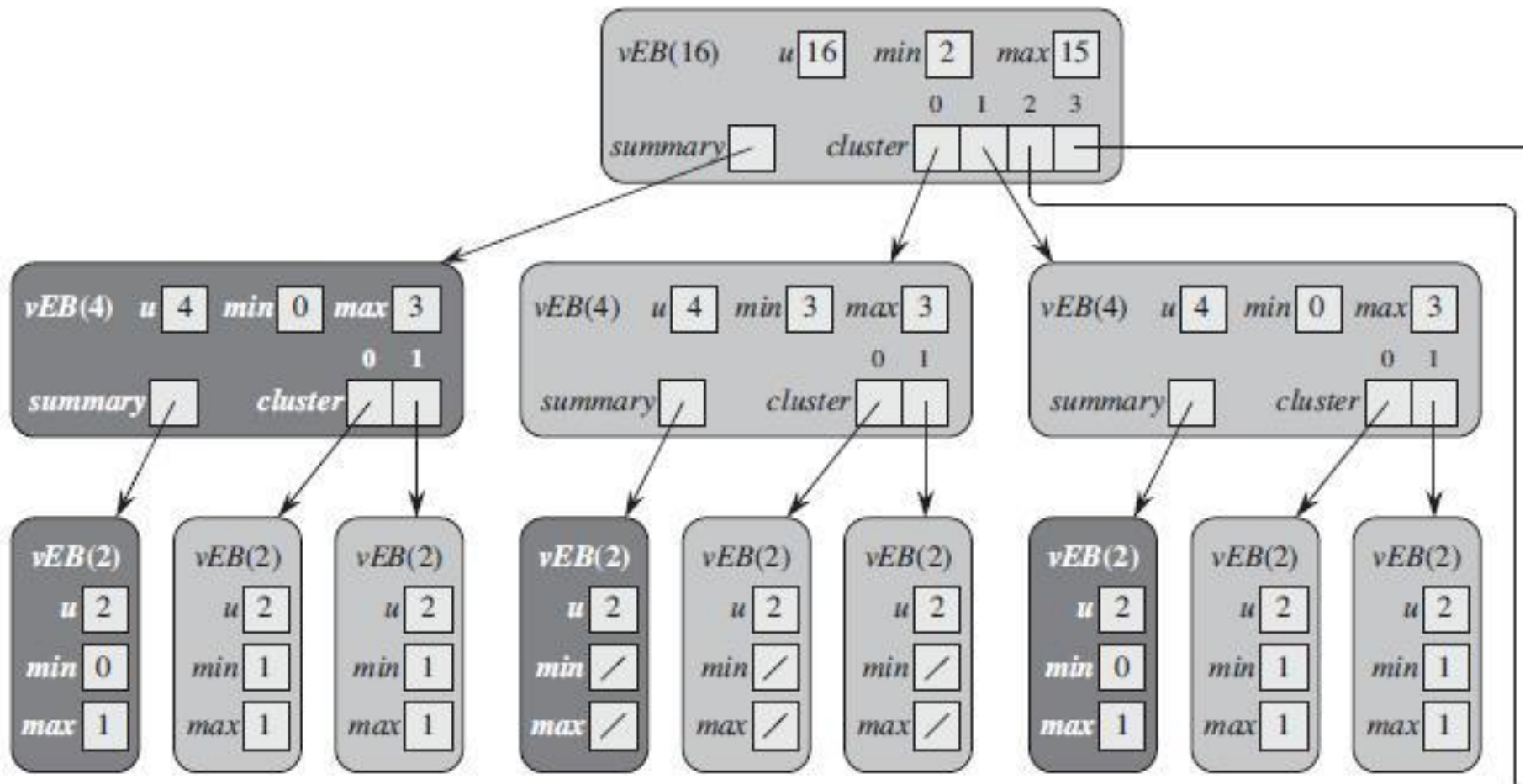
Minimum and Maximum on vEB tree

vEB-TREE-MINIMUM (V, x)

1　　**return** V.min

vEB-TREE-MAXIMUM (V, x)

1　　**return** V.max

- **Running time**: O(1)

Member operation on vEB tree

vEB-TREE-MEMBER (V, x)

1   **if** x == V.min **or** x == V.max

2   **return** TRUE

3   **elseif** V.u == 2

4   **return** FALSE

5   **else** **return** vEB-TREE-MEMBER (V.cluster[high(x)], low(x))

- **Running time:**

$$T(u) = T\left(\sqrt{u}\right) + O(1)$$
$$\Rightarrow T(u) = O(\lg \lg u)$$

Successor operation on proto-vEB

PROTO-vEB-SUCCESSOR (V, x)

1   **if** V.u == 2

2   **if** x == 0 **and** V.A[1] == 1

3   **return** 1

4   **else return** NIL

5   **else** offset **= PROTO-vEB-SUCCESSOR (V.cluster[high(x)], low(x))**

6   **if** offset ≠ NIL

7   **return** index (high(x), offset)

8   **else**

9   succ-cluster **= PROTO-vEB-SUCCESSOR (V.summary, high(x))**

10   **if** succ-cluster == NIL

11   **return** NIL

12   **else** offset **= PROTO-vEB-MINIMUM (V.cluster[succ-cluster])**

13   **return** index(succ-cluster, offset)

Successor operation on vEB tree

vEB-TREE-SUCCESSOR (V, x)

1   **if** V.u == 2

2   **if** x == 0 **and** V.max == 1

3   **return** 1

4   **else return** NIL

5   **elseif** V.min ≠ NIL and x < V.min

6   **return** V.min

7   **else** max-low = **vEB-TREE-MAXIMUM (V.cluster[high(x)])**

8   **if** max-low ≠ NIL **and** low(x) < max-low

9   offset = **vEB-TREE-SUCCESSOR(V.cluster[high(x)], low(x))**

10   **return** index (high(x), offset)

11   **else** succ-cluster = **vEB-TREE-SUCCESSOR(V.summary, high(x))**

12   **if** succ-cluster == NIL

13   **return** NIL

14   **else** offset = **vEB-TREE-MINIMUM (V.cluster[succ-cluster])**

15   **return** index(succ-cluster, offset)

Successor operation on vEB tree

- **Running time:**

$$T(u) \leq \max\left\{T\left(\downarrow \sqrt{u}\right), T\left(\uparrow \sqrt{u}\right)\right\} + O(1)$$

$$\Rightarrow T(u) \leq T\left(\uparrow \sqrt{u}\right) + O(1)$$

$$m = \lg u$$

$$\Rightarrow T(2^m) \leq T\left(2^{\lceil m/2 \rceil}\right) + O(1)$$

$$(\forall m \geq 2)\lceil m/2 \rceil \leq 2m/3$$

$$\Rightarrow T(2^m) \leq T\left(2^{2m/3}\right) + O(1)$$

Successor operation on vEB tree

- **Running time:**

$$T\left(2^m\right) \le T\left(2^{2m/3}\right) + O(1)$$

$$S(m) = T\left(2^m\right)$$

$$\Rightarrow S(m) \le S(2m/3) + O(1)$$

$$\Rightarrow S(m) = O(\lg m)$$

$$\Rightarrow T(u) = T\left(2^m\right) = S(m) = O(\lg m) = O(\lg \lg u)$$

Predecessor operation on vEB tree

```
vEB-TREE-PREDECESSOR (V, x)
1     if V.u == 2
2         if x == 1  and V.min == 0
3             return 0
4         else return NIL
5     elseif V.max ≠ NIL and x > V.max
6         return V.max
7     else  min-low = vEB-TREE-MINIMUM (V.cluster[high(x)])
8         if min-low ≠ NIL  and low(x) > min-low
9             offset = vEB-TREE-PREDECESSOR(V.cluster[high(x)], low(x))
10            return index (high(x), offset)
11        else pred-cluster = vEB-TREE-PREDECESSOR(V.summary, high(x))
12            if pred-cluster == NIL
13                if V.min ≠ NIL and x > V.min
14                    return V.min
15                else return NIL
16            else offset = vEB-TREE-MAXIMUM (V.cluster[pred-cluster])
17                return index(succ-cluster, offset)
```

Predecessor operation on vEB tree

- **Running time:**

$$T(u) \leq \max\left\{T\left(\downarrow \sqrt{u}\right), T\left(\uparrow \sqrt{u}\right)\right\} + O(1)$$
$$\Rightarrow T(u) = O(\lg \lg u)$$

Insert operation on proto-vEB

PROTO-vEB-INSERT (V, x)

1   **if** V.u == 2

2   V.A[x] = 1

3 **else**

4   **PROTO-vEB-INSERT (V.cluster[high(x)], low(x))**

5   **PROTO-vEB-INSERT (V.summary, high(x))**

Insert operation on vEB tree

- The insertion operation can be split into two cases.
  The first one occurs when the cluster is empty.

---

vEB-EMPTY-TREE-INSERT (V, x)

1   V.min = x

2   V.max = x

- In the second case, one must avoid the two recursive calls, one for the summary and another for a cluster. How can we do it?

- **Answer:** check if the corresponding cluster is empty or not.

Insert operation on vEB tree

vEB-TREE-INSERT (V, x)

1   **if** V.min == NIL

2   vEB-EMPTY-TREE-INSERT (V, x)

3   **else**

4   **if** x < V.min

5   exchange x with V.min

6   **if** V.u > 2

7   **if** vEB-TREE-MINIMUM (V.cluster[high(x)]) == NIL

8   vEB-TREE-INSERT(V.summary, high(x))

9   vEB-EMPTY-TREE-INSERT (V.cluster[high(x)], low(x))

10   **else** vEB-TREE-INSERT (V.cluster[high(x)], low(x))

11   **if** x > V.max

12   V.max = x

Insert operation on vEB tree

- **Running time:**

$$T(u) \leq \max\left\{T\left(\downarrow \sqrt{u}\right), T\left(\uparrow \sqrt{u}\right)\right\} + O(1)$$

$$\Rightarrow T(u) = O(\lg \lg u)$$