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

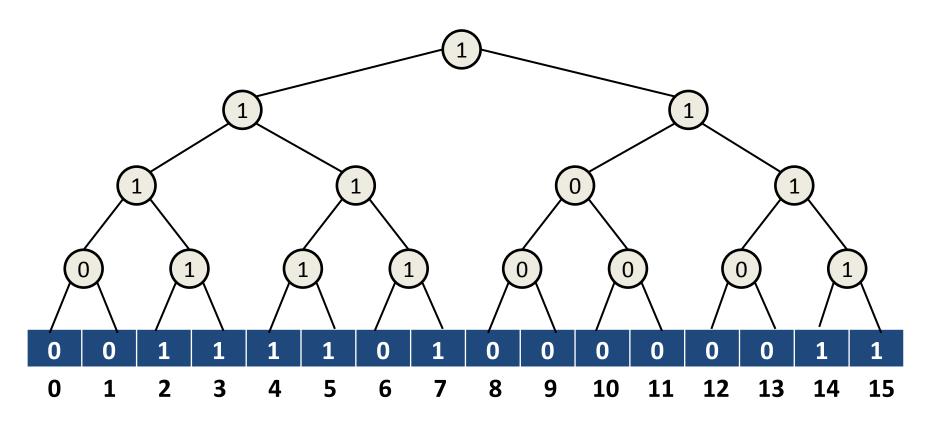
- MINIMUM (A) = 2
- MAXIMUM (A) = 15
- SUCCESSOR (A, 7) = 14
- PREDECESSOR (A, 7) = 5

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.

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



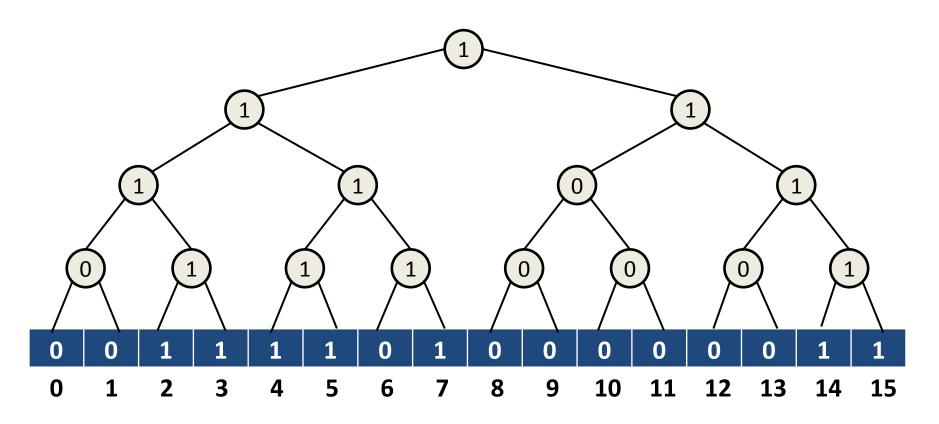
- One can short-cut long scans in the bit vector by superimposing a binary tree on the top of it.
- Entries of the bit vector form the leaves of the binary tree.
- Each internal node contain 1 if and only if in its subtree contains 1.
- Bit stored in an internal node is the logical-or of its children.

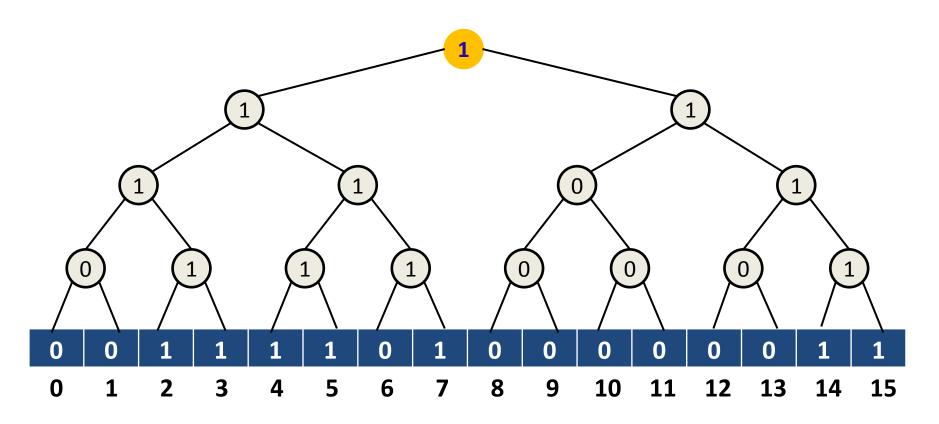
• MINIMUM:

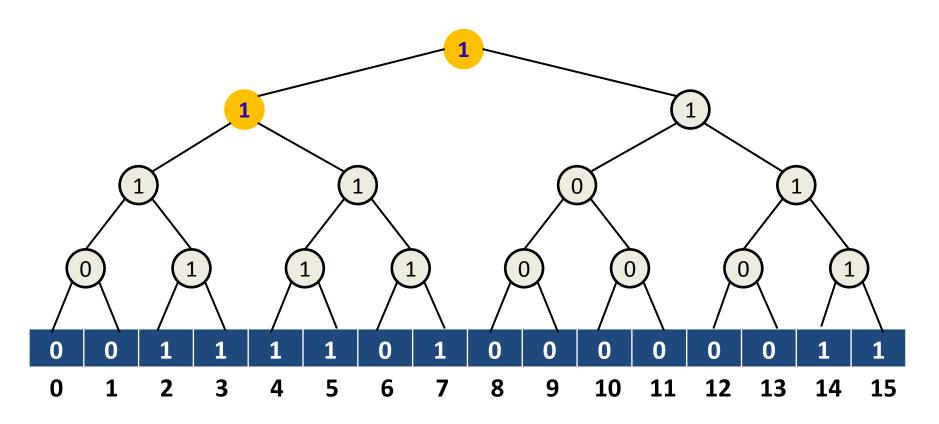
- Algorithm: start at the root and head down toward the leaves, always taking the leftmost node containing 1.
- Time complexity: O(log u)

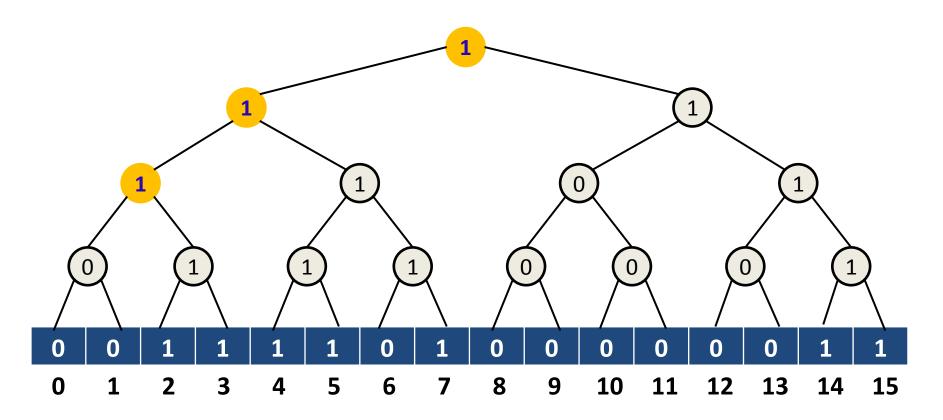
MAXIMUM:

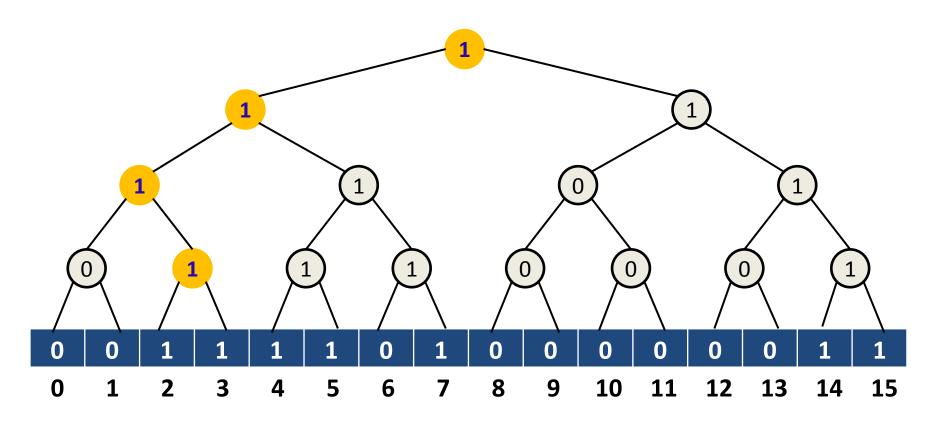
- Algorithm: start at the root and head down toward the leaves, always taking the rightmost node containing 1.
- Time complexity: O(log u)



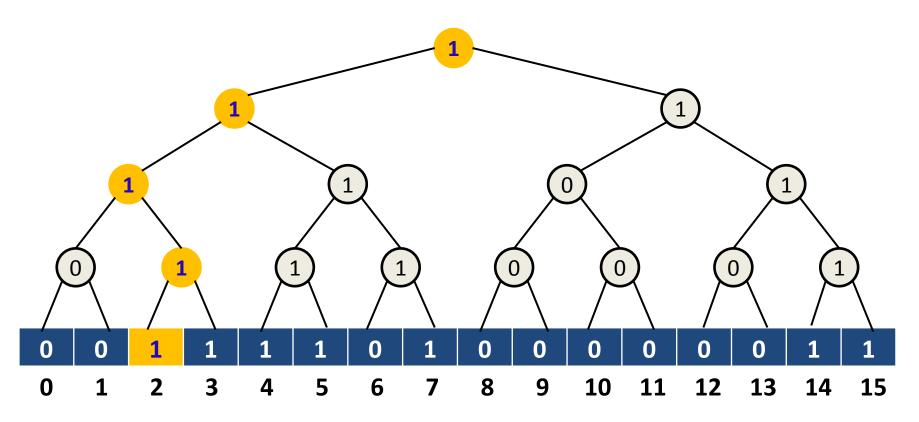




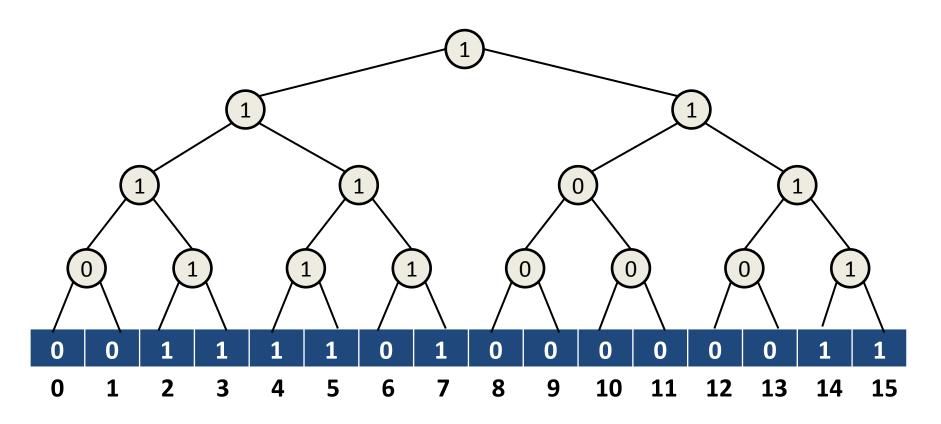


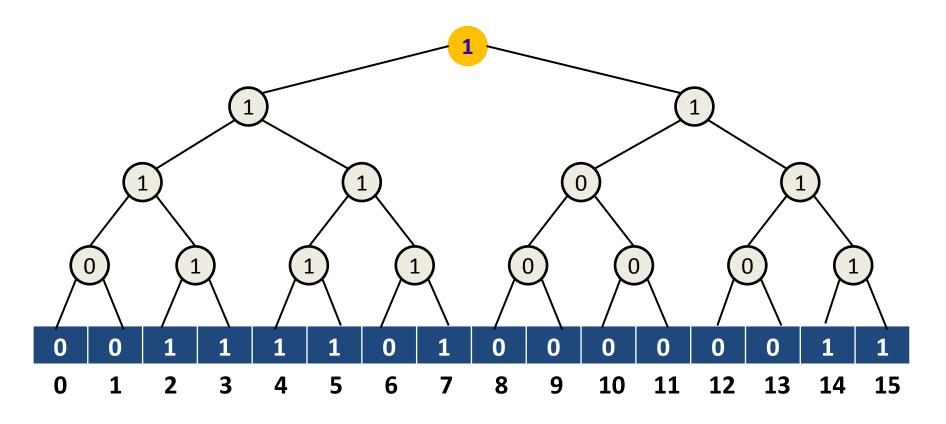


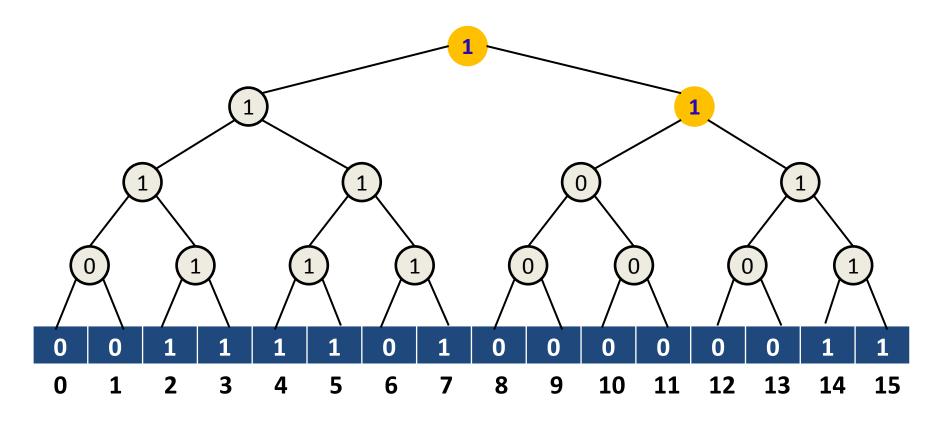
MINIMUM operation:

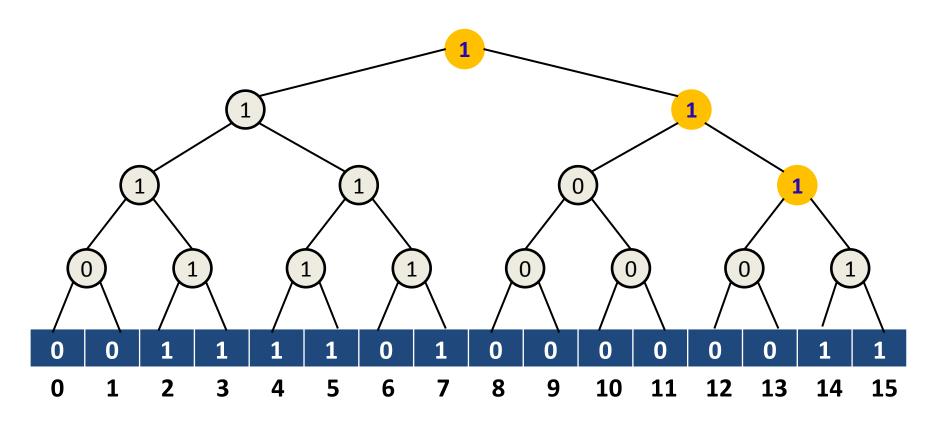


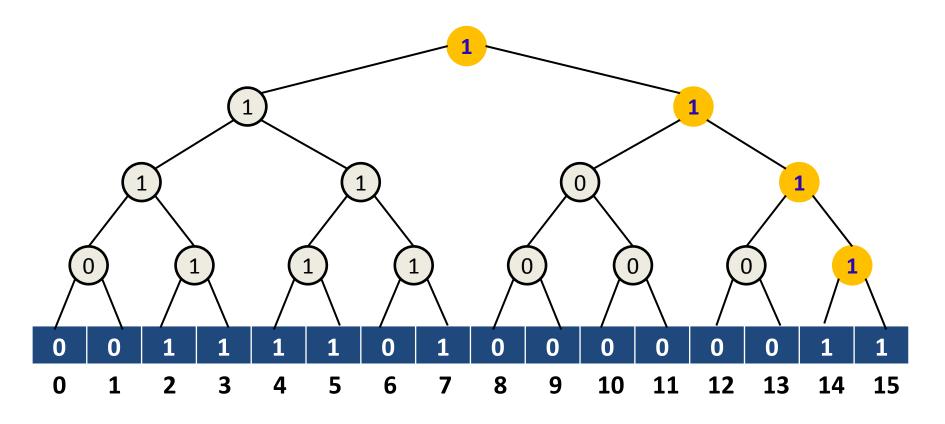
Minimum found!

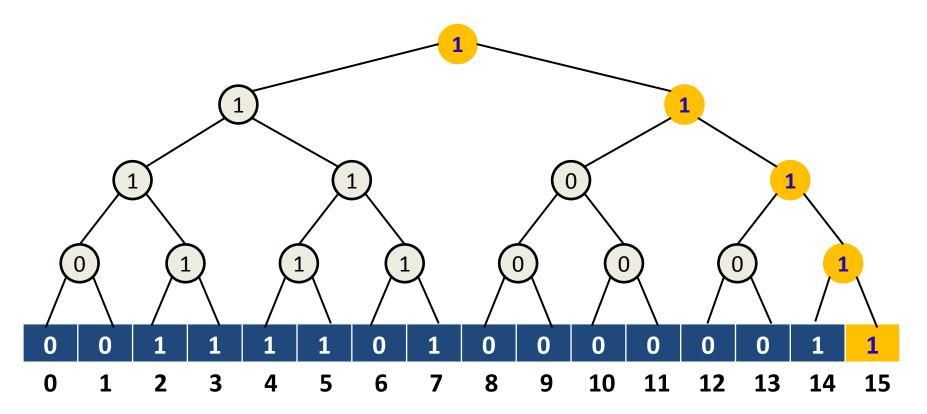




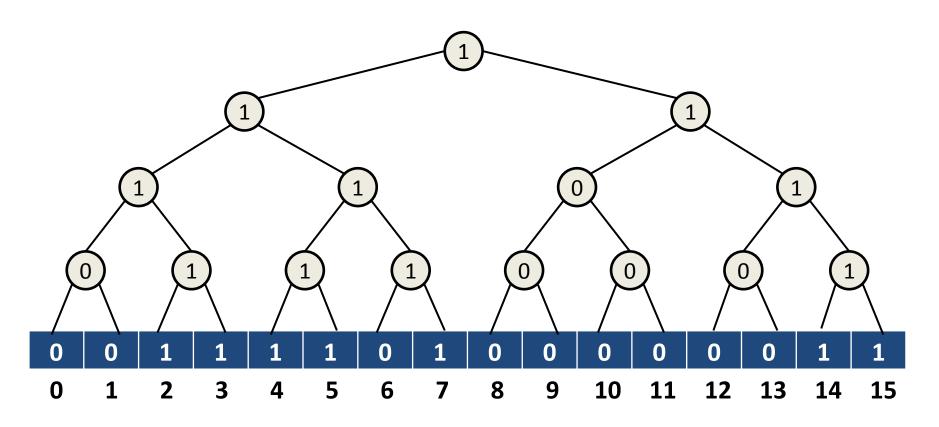


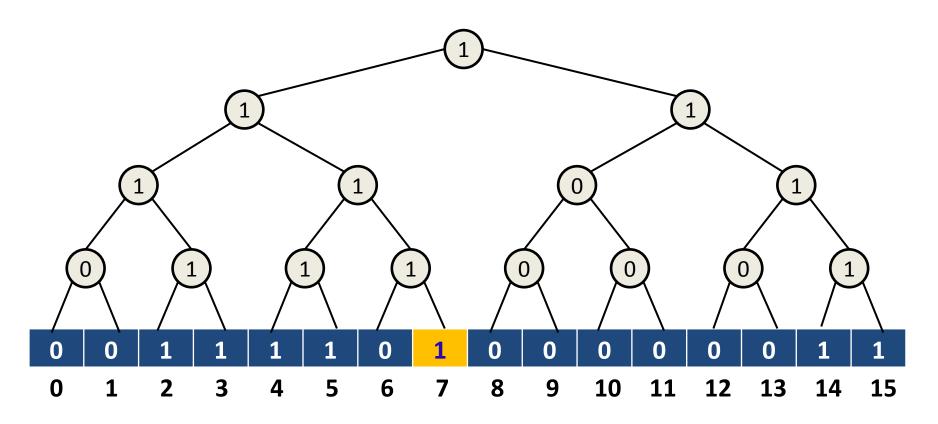


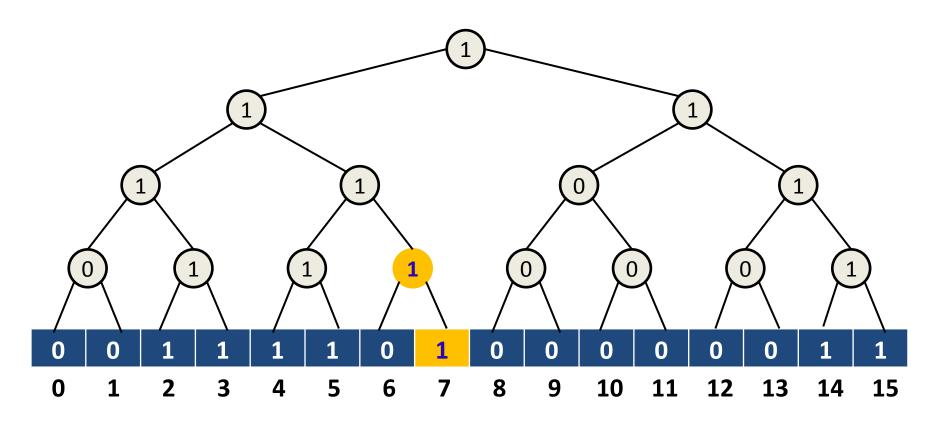


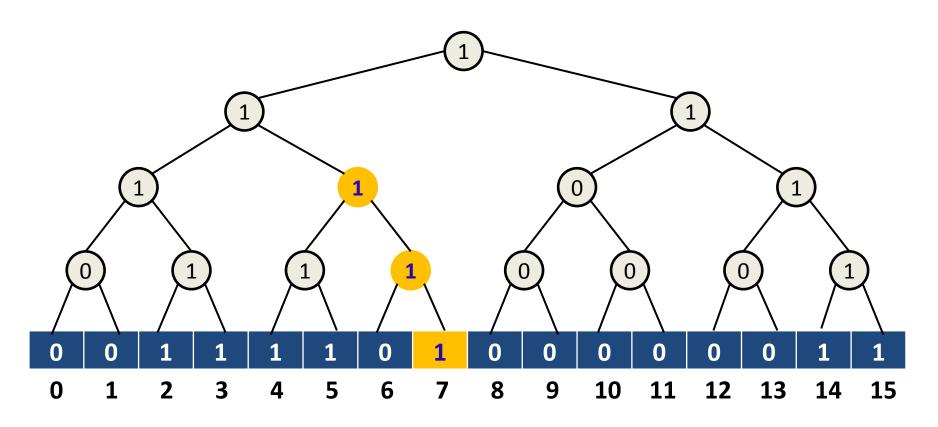


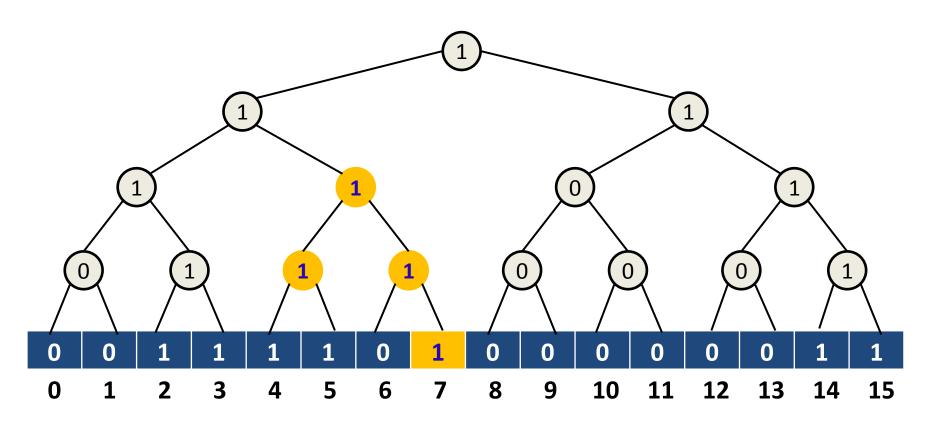
- PREDECESSOR (A, x) :
 - Start at the leaf indexed by x and head up toward the root until we enter a node from the right and this node has a 1 in its left child z.
 - Head down through node z, always taking the rightmost node containing a 1.
 - Time complexity: O(log u).
- SUCCESSOR (A, x) :
 - Start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



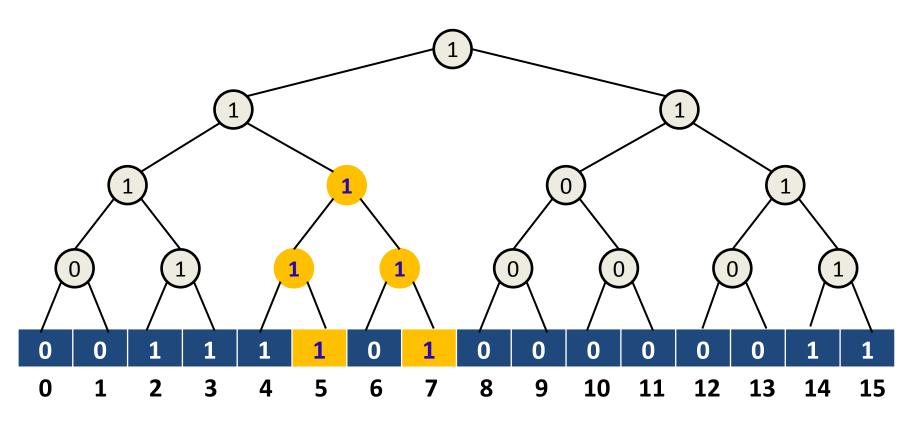


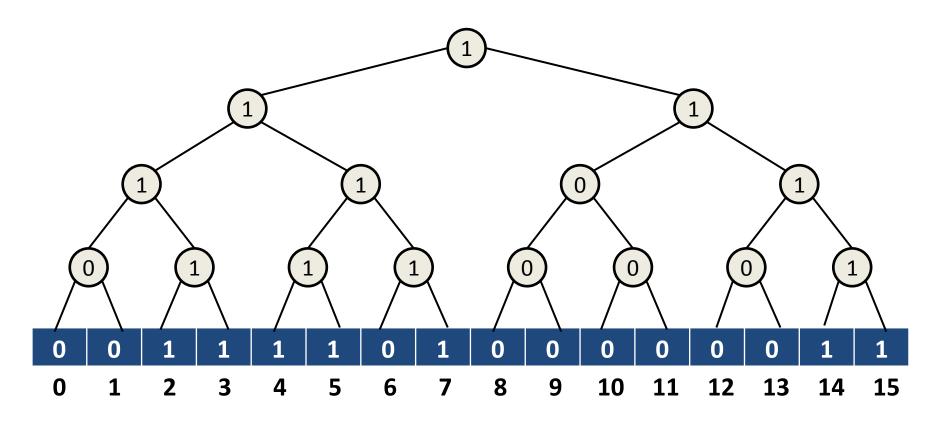


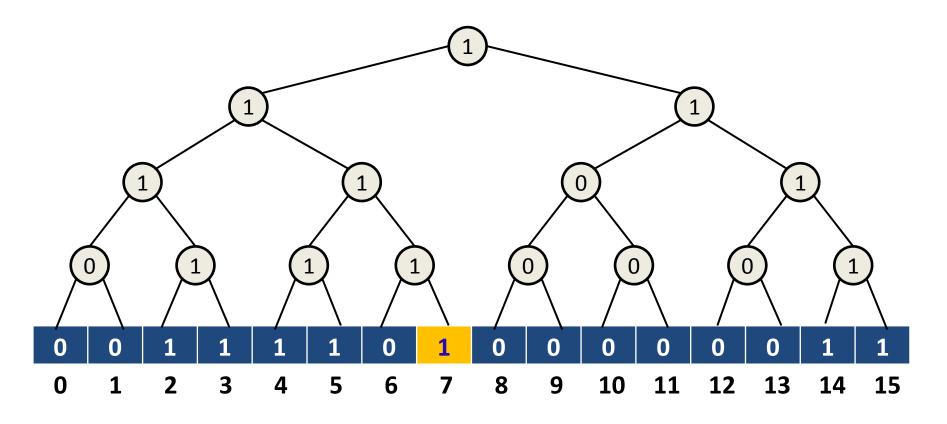


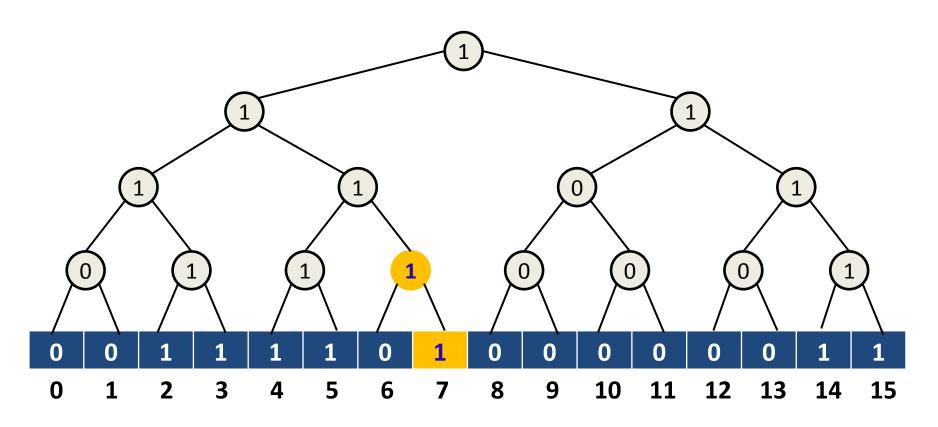


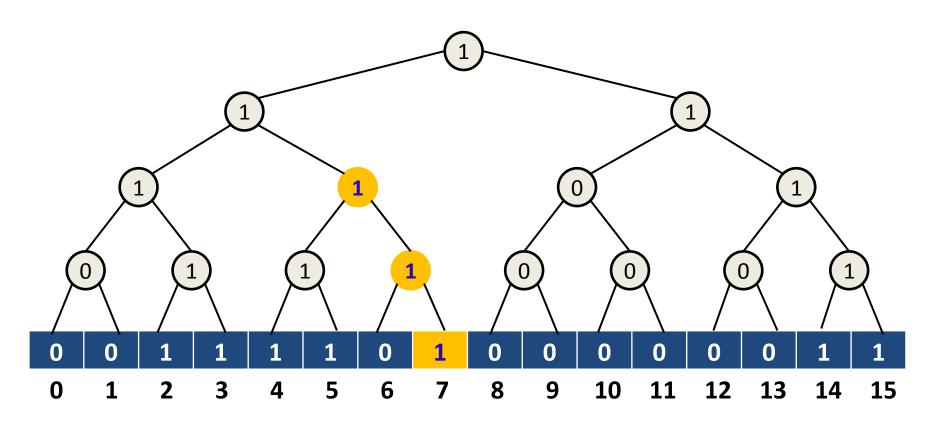
PREDECESSOR (A, 7):

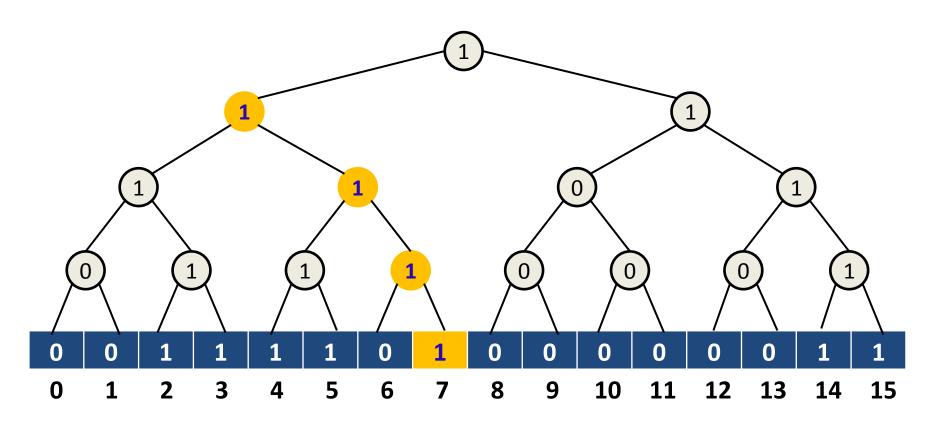


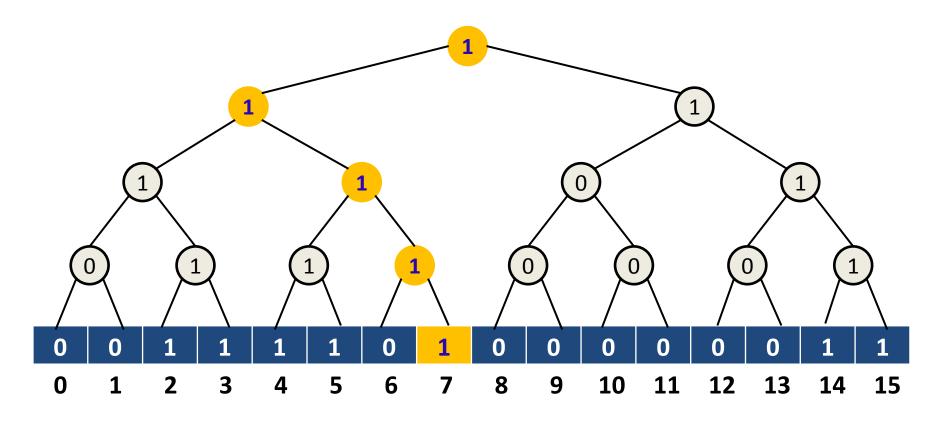




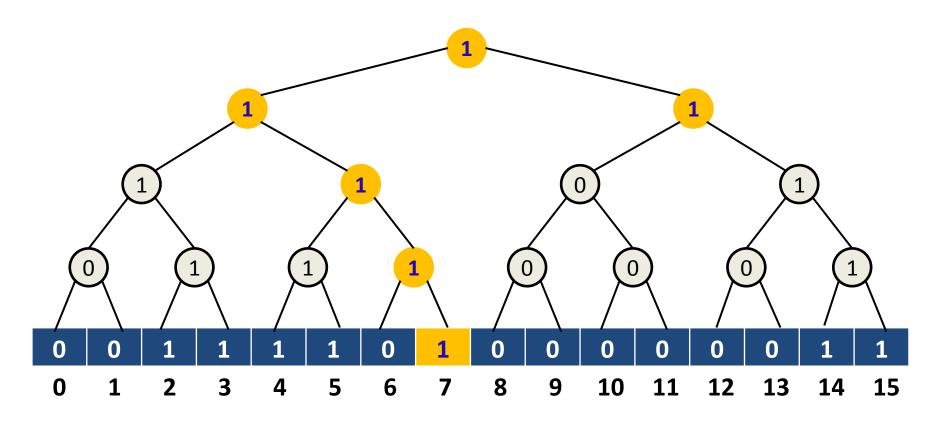




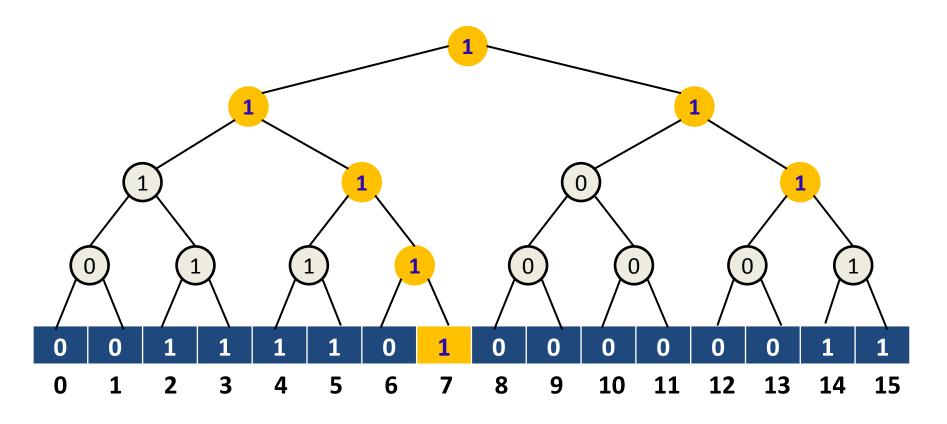




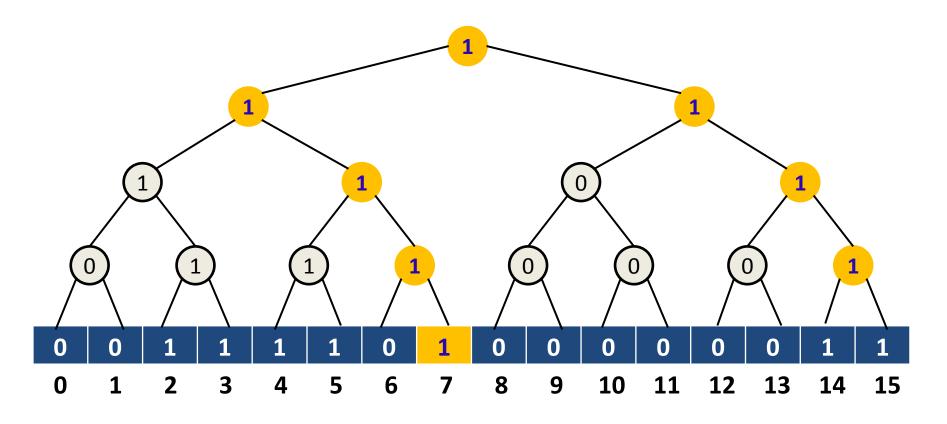
SUCCESSOR (A, 7):



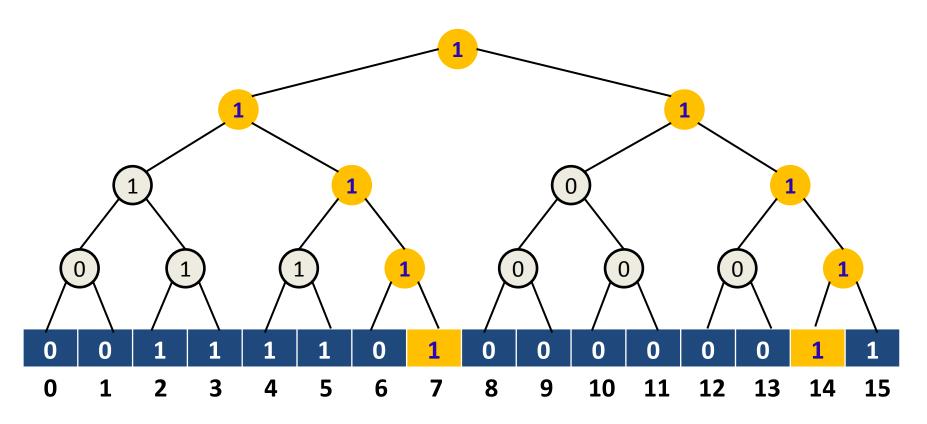
SUCCESSOR (A, 7):



SUCCESSOR (A, 7):

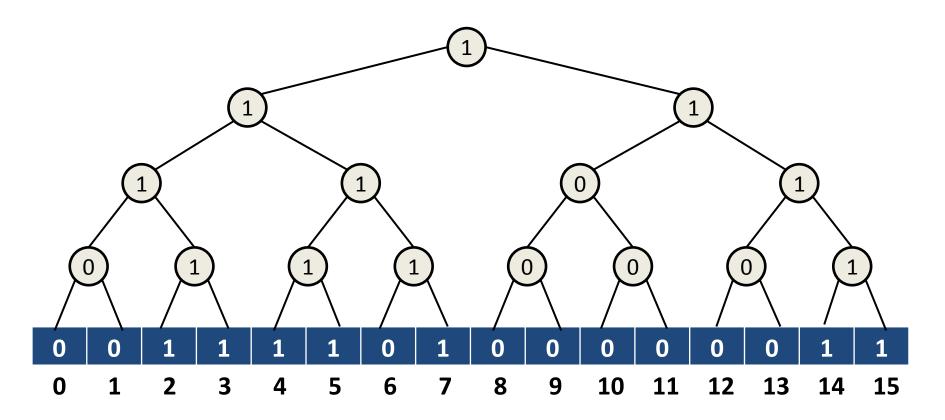


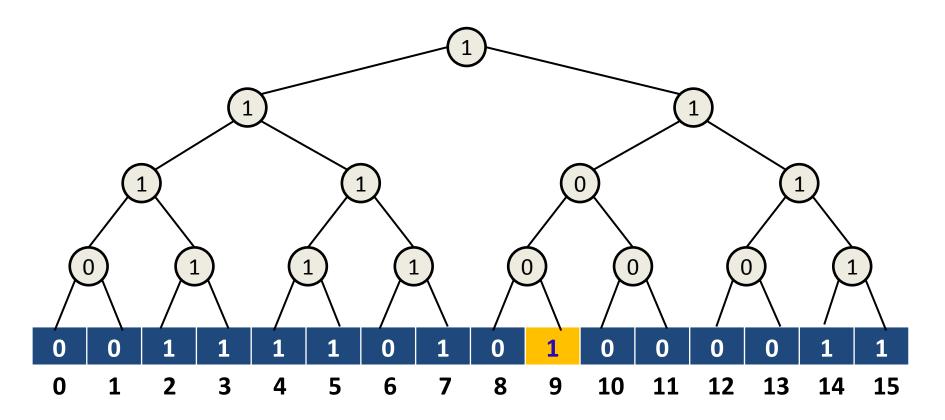
SUCCESSOR (A, 7):

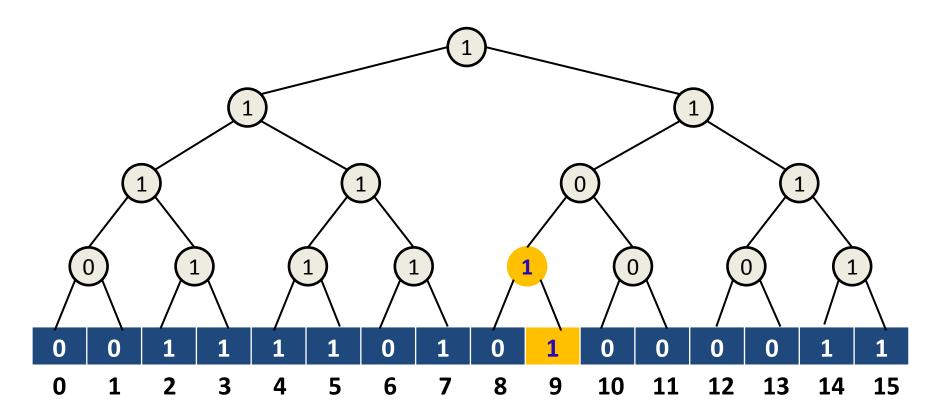


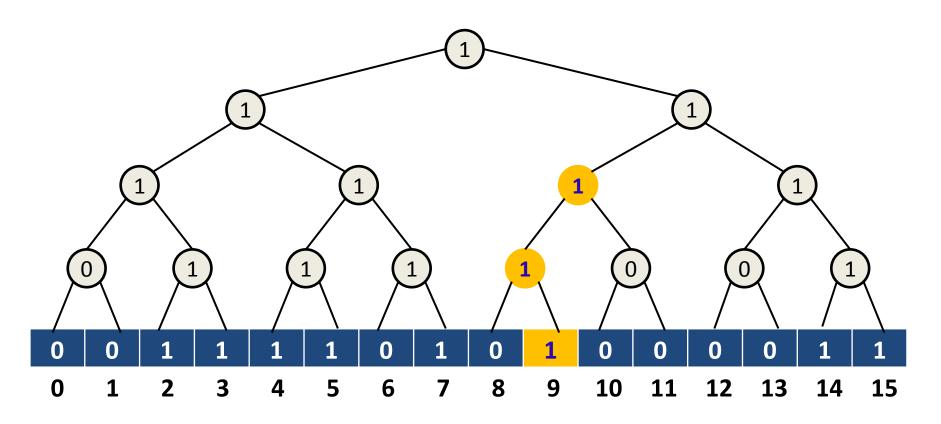
SUCCESSOR (A, 7) = 14

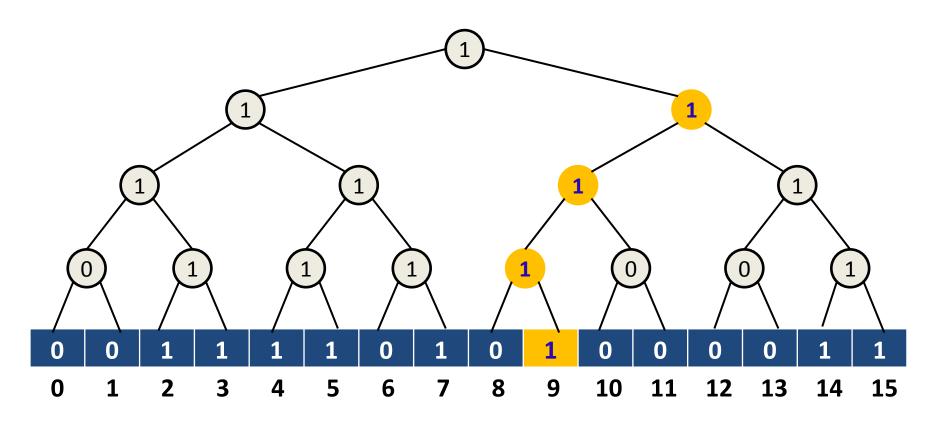
- INSERTION (A, x) :
 - Start at the leaf indexed by x and head up toward the root storing 1 in all nodes belonging to the simple path from x to the root.
 - Time complexity: O(log u).
- DELETION (A, x):
 - Start at the leaf indexed by x and head up toward the root, recomputing the bit in each internal node on the simple path from x to the root as the logical-or of its two children.
 - Time complexity: O(log u).



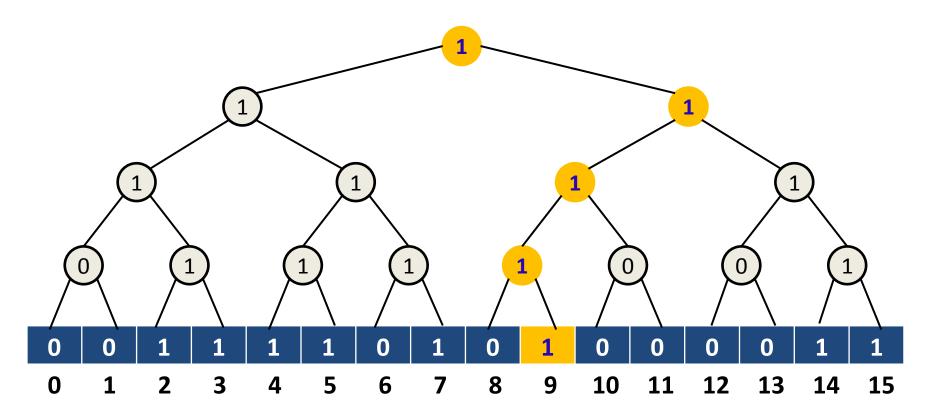




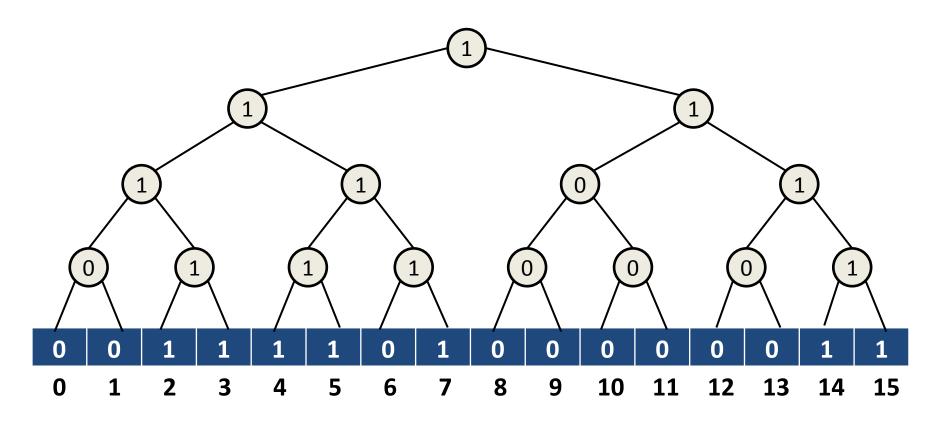


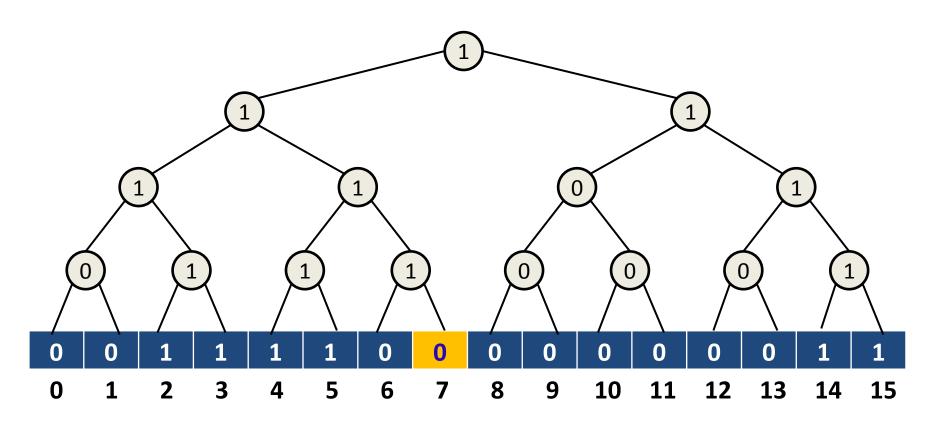


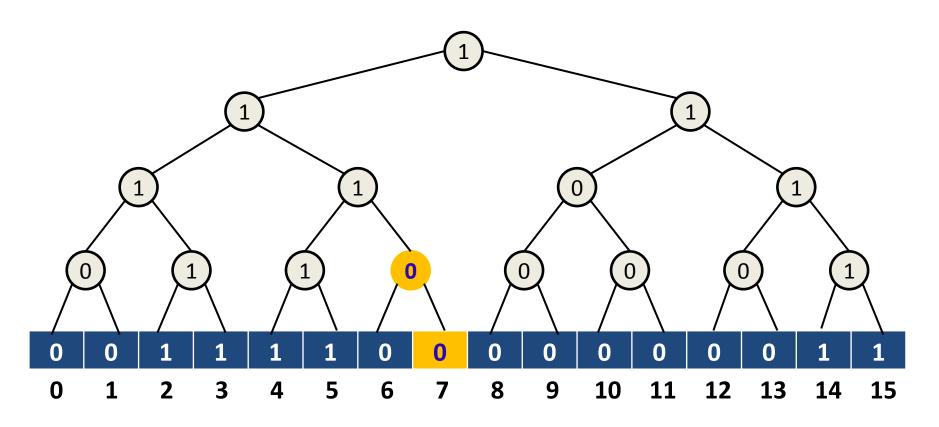
INSERTION (A, 9):

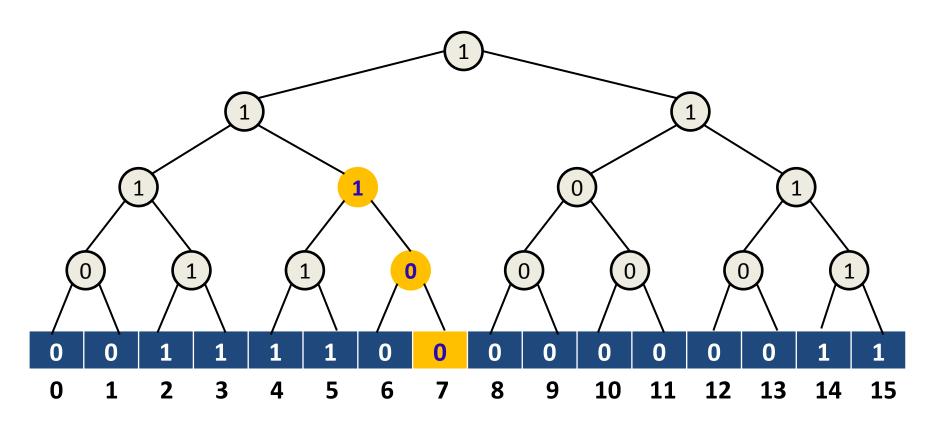


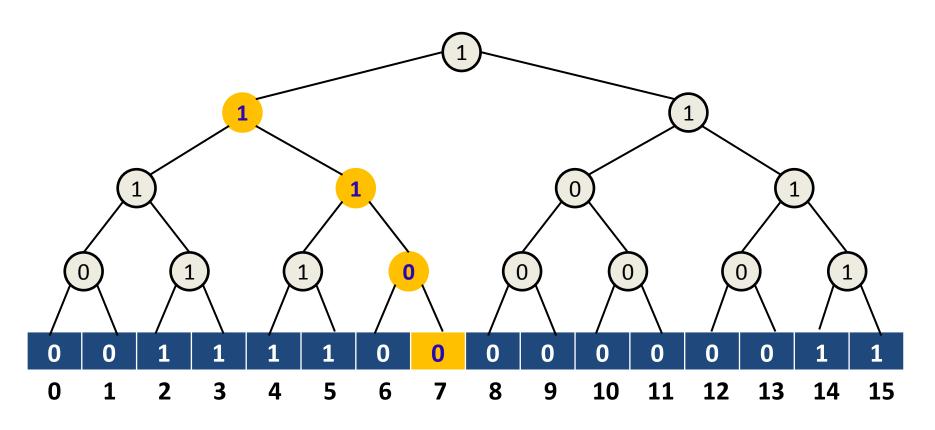
INSERTION COMPLETED!



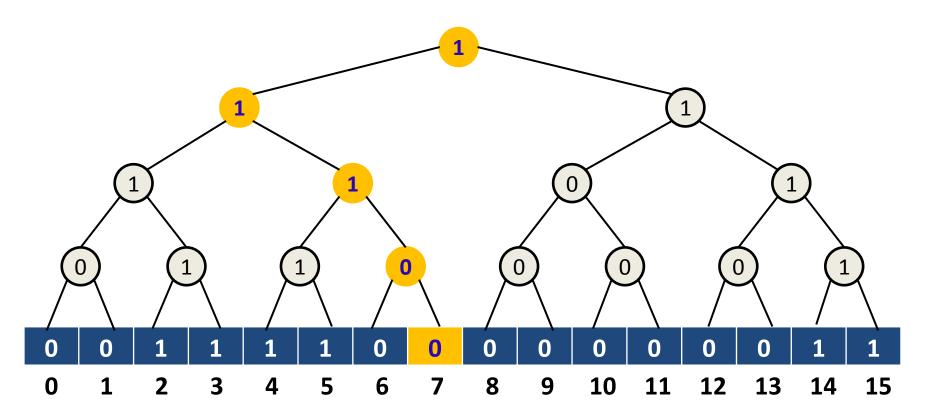








DELETION (A, 7):



DELETION COMPLETED!

 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.

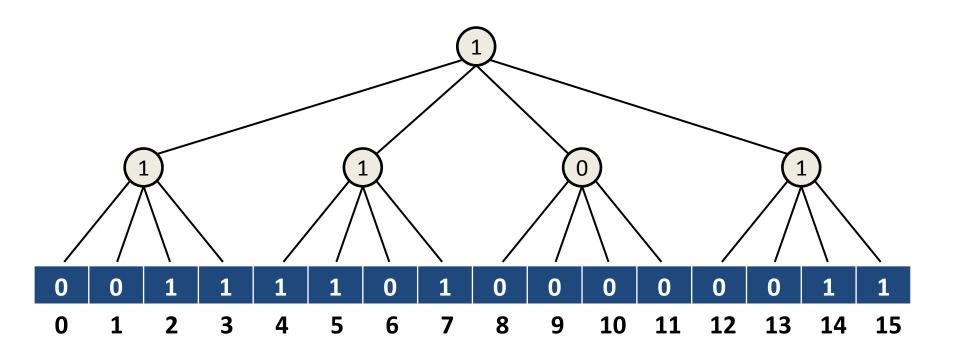
Preliminary approaches

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.

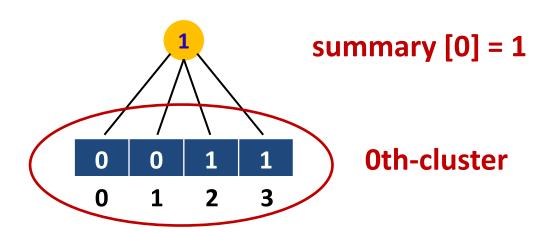
Superimposing a tree of constant height

- Let us assume that $\mathbf{u} = 2^{2k}$ for some natural \mathbf{k} .
- Consider that we superimpose a tree of degree u^{1/2}
- The height of the resulting tree would be always 2.



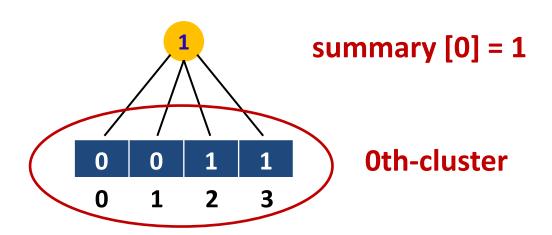
Superimposing a tree of constant height

- Again, each internal node stores the logical-or of the bits within its subtree.
- The $\mathbf{u}^{1/2}$ internal nodes at depth 1 summarize each group (logical-or) of $\mathbf{u}^{1/2}$ values.
- These internal nodes can be seen as an an array summary[0 .. u^{1/2} 1]



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.



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

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

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

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?

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 ${\bf k}$ and each operation would take ${\bf k}$. ${\bf u}^{1/k}$

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:

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

An interesting recurrence

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

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

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

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

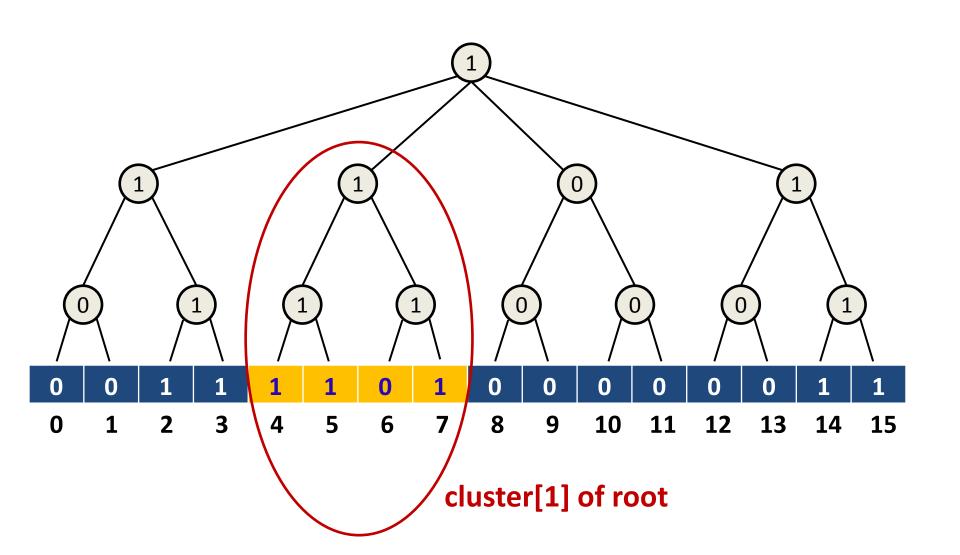
$$S(m) = T(2^m)$$

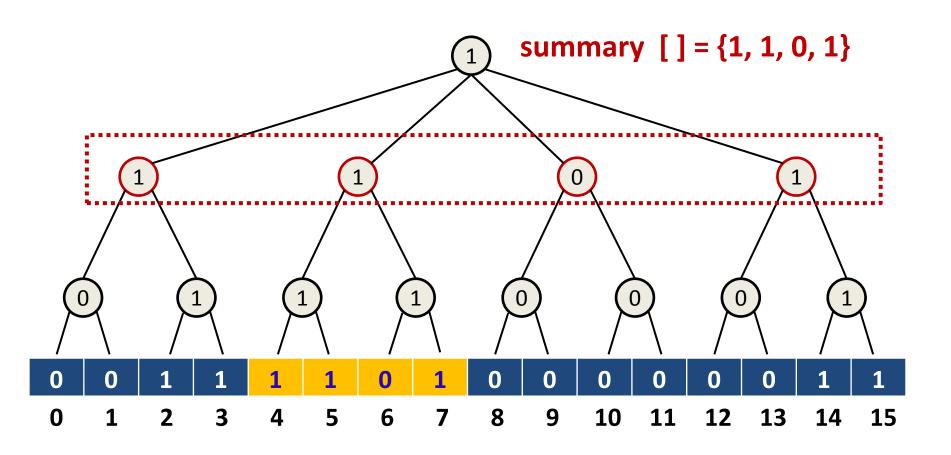
$$\Rightarrow S(m) = S(m/2) + O(1)$$

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

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

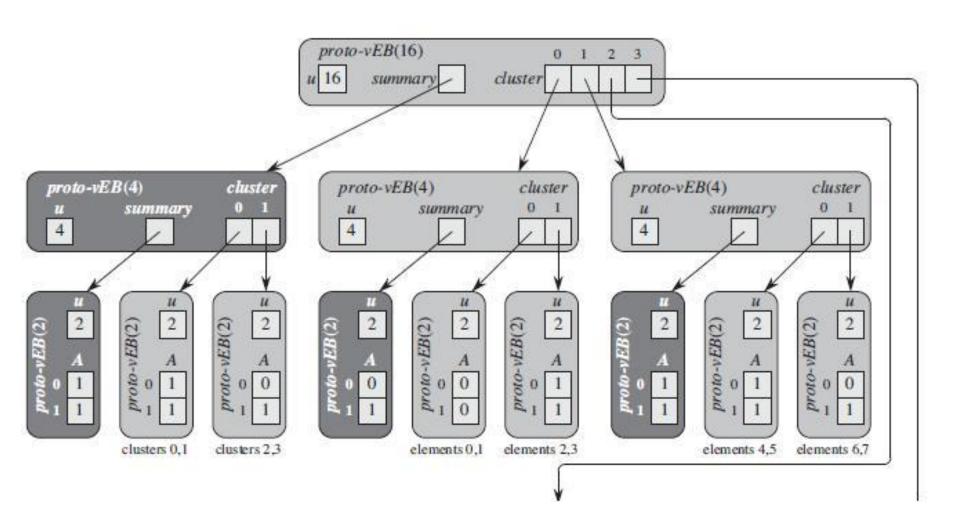
- The main idea is superimposing a tree of variable degree $\mathbf{u}^{1/k}$.
- Starting with an universe of size \mathbf{u} we make structures of $\mathbf{u}^{1/2}$ items, which themselves contain structures of $\mathbf{u}^{1/4}$ items, which hold structures of $\mathbf{u}^{1/8}$ items...
- This subdivision process stops when there are only 2 items.
- For simplicity we assume that $u = 2^{2^k}$ for some integer **k**.





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

- 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.



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 $x \mod \sqrt{u}$
- 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) =
$$x \mod \sqrt{u}$$

• 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

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

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

Finding the minimum of proto-vEB

```
PROTO-vEB-MINIMUM (V)
    if V_{1}U == 2
      if V.A[0] == 1
         return 0
      elseif V.A[1] == 1
         return 1
      else return NIL
    else min-cluster = PROTO-vEB-MINIMUM (V.summary)
      if min-cluster == NIL
          return NIL
      else offset = PROTO-vEB-MINIMUM (V.cluster[min-cluster])
10
         return index(min-cluster, offset)
11
```

Finding the minimum of proto-vEB

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

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

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

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

$$\Rightarrow T(u) = T(2^{m}) = S(m) = \Theta(m) = \Theta(\lg u)$$

Successor operation on proto-vEB

```
PROTO-vEB-SUCCESSOR (V, x)
    if V_{.}u == 2
       if x == 0 and V.A[1] == 1
3
          return 1
       else return NIL
    else offset = PROTO-vEB-SUCCESSOR (V.cluster[high(x)], low(x))
5
       if offset ≠ NIL
6
          return index (high(x), offset)
8
       else
          succ-cluster = PROTO-vEB-SUCCESSOR (V.summary, high(x))
          if succ-cluster == NIL
10
11
             return NII
          else offset = PROTO-vEB-MINIMUM (V.cluster[succ-cluster])
12
              return index(succ-cluster, offset)
13
```

Successor operation on proto-vEB

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

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

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

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

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

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

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

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

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

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

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

$$\Rightarrow T(u) = T(2^{m}) = S(m) = \Theta(m) = \Theta(\lg u)$$

- 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 $u' = \Omega(u^2)$
- 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) =
$$x \mod \sqrt{u}$$

• 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:
$$\sqrt[]{u} = 2^{\lfloor (\lg u)/2 \rfloor}$$

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

Examples:

•
$$\sqrt{32} = 2^{\lfloor (\lg 32)/2 \rfloor} = 2^2 = 4$$

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

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) =
$$x \mod \sqrt{u}$$

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

Redefining high, low and index

Example

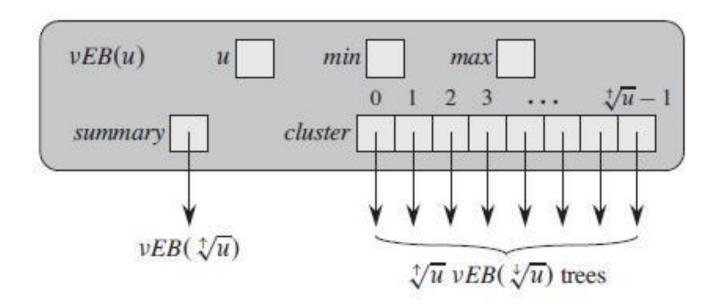
If u = 36 and x = 23, then:

• high(23) =
$$[23/\sqrt{32}] = [23/4] = 5$$

• low(23) =
$$23 \mod \sqrt{32} = 23 \mod 4 = 3$$

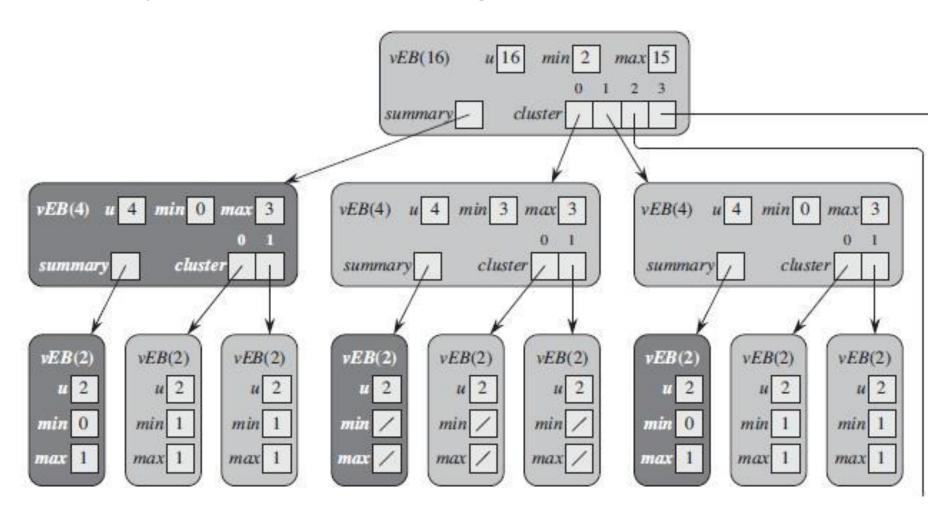
• index(5, 3) =
$$5 \downarrow \sqrt{32} + 3 = 5 \cdot 4 + 3 = 23$$

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

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)

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

return TRUE

elseif V.u == 2

return FALSE

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

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

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

Successor operation on proto-vEB

```
PROTO-vEB-SUCCESSOR (V, x)
    if V.u == 2
       if x == 0 and V.A[1] == 1
3
          return 1
       else return NIL
    else offset = PROTO-vEB-SUCCESSOR (V.cluster[high(x)], low(x))
5
6
       if offset ≠ NIL
          return index (high(x), offset)
8
       else
          succ-cluster = PROTO-vEB-SUCCESSOR (V.summary, high(x))
9
          if succ-cluster == NIL
10
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)
    if V.u == 2
       if x == 0 and V.max == 1
3
          return 1
       else return NIL
5
    elseif V.min ≠ NIL and x < V.min
       return V.min
    else max-low = vEB-TREE-MAXIMUM (V.cluster[high(x)])
       if max-low \neq NIL and low(x) < max-low
          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))
          if succ-cluster == NIL
12
13
            return NIL
          else offset = vEB-TREE-MINIMUM (V.cluster[succ-cluster])
14
              return index(succ-cluster, offset)
15
```

Successor operation on vEB tree

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

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

$$m = \lg u$$

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

$$(\forall m \ge 2) \lceil m/2 \rceil \le 2m/3$$

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

Successor operation on vEB tree

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

$$S(m) = T(2^{m})$$

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

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

$$\Rightarrow T(u) = T(2^{m}) = S(m) = O(\lg \lg u)$$

Predecessor operation on vEB tree

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

Predecessor operation on vEB tree

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

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

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)

- $1 \quad V.min = x$
- \mathbf{V} .max = \mathbf{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)
    if V.min == NIL
       vEB-EMPTY-TREE-INSERT (V, x)
3
    else
4
       if x < V.min
5
          exchange x with V.min
6
       if V_{\rm e}u > 2
          if vEB-TREE-MINIMUM (V.cluster[high(x)]) == NIL
             vEB-TREE-INSERT(V.summary, high(x))
8
9
             vEB-EMPTY-TREE-INSERT (V.cluster[high(x)], low(x))
          else vEB-TREE-INSERT (V.cluster[high(x)], low(x))
10
       if x > V.max
11
12
          V.max = x
```

Insert operation on vEB tree

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

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