On vEB Trees

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Abstract

A Predecessor algorithm defines a generic sorting algorithm, that is, find the elements set maximum and repeatedly find its predecessor. Thus, the elements number is n and the algorithm complexity is O(f(n)), the resulted sorting algorithm complexity is $O(n \cdot f(n))$. It is known that the sorting complexity has a spell bound of $n \log n$, so without any additional assumptions, it follows that the time complexity of any predecessor algorithm is bounded by $\log n$ since otherwise we could achieve sorting time better than $n \log n$. However, by bounding the size of the largest element u, we can achieve sorting in O(u) and when u = O(n), it becomes a linear time sorting. Hence, a question arises - can we achieve better predecessor algorithms by bounding u?

¹See the counting sort algorithm

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1 A constant height tree

Let u be an upper bound of an array M, which means the array contains elements in the range $\{0, \ldots, u-1\}$. We define an array $A[x] = \mathbb{1}_{x \in M}$, that is, A is a bitfield array containing 1 in the index x iff $x \in M$ and 0 otherwise.

In addition, we define a summary array of size \sqrt{u} , where summary [i] tells us if there is a 1 in the range $A\left[i\sqrt{u},\ldots,(i+1)\sqrt{u}-1\right]$, thus, summary $[i]=\bigvee_{j\in A\left[i\sqrt{u},\ldots,(i+1)\sqrt{u}-1\right]}j$, the logical or of the array $A\left[i\sqrt{u},\ldots,(i+1)\sqrt{u}-1\right]$. The \sqrt{u} sized sub-array $A\left[i\sqrt{u},\ldots,(i+1)\sqrt{u}-1\right]$ is called the i^{th} cluster of A. Besides, we add the logical or of summary - containing 1 iff the array is not empty.

Now, in order to find minimum and maximum we can do the following operations:

• Minimum: Find the left most index i in the summary with value 1, run a linear scan in the i^{th} cluster to find the left most positive value, which is, the minimum.

Besides, now, given an element x, we know that x is in cluster number $\left\lfloor \frac{x}{\sqrt{u}} \right\rfloor$, thus, in order to delete x, we update $A\left[x\right] = 0$, and recompute summary $\left[\left\lfloor \frac{x}{\sqrt{u}} \right\rfloor\right]$, and the logical or of summary. a similar operation is required for insertion.

In both operations we needed to scan an array of size \sqrt{u} , so the time complexity if both cases is $O(\sqrt{u})$, that is, however, extremely poor, since AVL, Red&Black trees achieve better results - $O(\log u)$. Though we shall see we can develop it and achieve better running time, since this design will turn out as a key design.

2 A recursive data structure

Instead of storing only two tree levels, we create a recursive data structure. The array "summary" remains the same, however, summary [i] contains also a smaller structure of size \sqrt{u} , of i^{th} cluster elements, with the same property. Which means, the first level of the tree contains u elements, the second level contains $u^{\frac{1}{2}}$ structures each containing $u^{\frac{1}{2}}$ elements, the third contains $u^{\frac{1}{4}}$ of $u^{\frac{1}{4}}$ elements and so on. We should assume just for know that $u=2^{2^k}$ so in each level we get an integer.

Consider the following recurrence $T(u) = T(\sqrt{u}) + O(1)$ that is, in each step we shrink the recursion by a factor of \sqrt{u} , substituting $m = \lg u$ we get $u = 2^m$ thus $T(2^m) = T\left(2^{\frac{m}{2}}\right) + O(1)$ thus the recurrence $S(m) = T(2^m) = S\left(\frac{m}{2}\right) + O(1)$ has the solution $S(m) = O(\lg m)$ this $T(u) = O(\lg m) = O(\lg \lg u)$, there we would like to design our tree to behave in a similar way - it requires a tree height of \sqrt{u} .

Now, consider the previous structure with constant height, given a value x, it is stored in cluster number $\left\lfloor \frac{x}{\sqrt{u}} \right\rfloor = i$ and in x's cluster, the elements are $\sqrt{u}i, \ldots, \sqrt{u}\left(i+1\right) - 1$ and x between them, thus its index is $x \mod \sqrt{u}$,

Note that since $x < u = 2^{2^k}$, x is represented by at most $\lg u$ bits and if we view x as a $\lg u$ binary number, $\left\lfloor \frac{x}{\sqrt{u}} \right\rfloor$ is represented by the most significant $\frac{\lg u}{2}$ bits of x, and $x \mod \sqrt{u}$ is given by the least $\frac{\lg u}{2}$ bits of x. There is a connection between those two expressions:

$$x = x \mod \sqrt{u} + \sqrt{u} \cdot \left\lfloor \frac{x}{\sqrt{u}} \right\rfloor$$

Thus, we define the following functions:

$$high(x) = \left\lfloor \frac{x}{\sqrt{u}} \right\rfloor$$

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

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

and it follows that index (high(x), low(x)) = x, and that is how we can generate x back just from those two simple functions.

This discussion leads us to the vEB-prototype.

Definition 1. The <u>universe size</u> in each level in the tree is $u^{\frac{1}{2^k}}$ where k is the height of the tree (k=0) is the leaves level).

3 Proto vEB Trees

We will now define the prototype of vEB tree, which we Denote as proto-vEB(u) where u is its universe size, as follows:

- if u=2 this is the base case we contain only an array of two bits A[0...1]
- otherwise $u = 2^{2^k}$ for some integer $k \ge 1$, thus, $u \ge 4$. In addition to the universe size, proto-vEB contains the following attributes:
 - a pointer named summary to a proto- $vEB(\sqrt{u})$ structure.
 - an array cluster $[0...\sqrt{u}-1]$ of \sqrt{u} pointers, each points to a *proto-* $vEB(\sqrt{u})$ structure.

For a given element $x \in \{0, ..., u-1\}$, x is recursively stored in cluster number high (x) as the low (x) number.

As not as the simple structure we described in the previous section, the array summary does not contain explicit results, but allows us to compute the summary bit recursively. In particular, now, summary contains the indices of clusters that contains any array elements. Since the naive structure's summary at some index i contained 1 iff there was an array element in the range $\{i\sqrt{u}, \ldots, (i+1)\sqrt{u}-1\}$, now in the prototype, we have the same property, but it is achieved recursively.

Now, our goal is to describe algorithms for the following tasks:

- 1. Query operations Member, Minimum
- 2. Successor does not change the structure.
- 3. Insert and Delete.

Maximum and predecessor can be achieved in a similar manner. All those operations receive an element x and assume its validity, that is $0 \le x < u$.

3.1 Determining Membership

In order to find x, we need to split the task into two cases:

- if u = 2, we only to check if A[x] = 1.
- otherwise, we need to search for low (x) in cluster [high (x)], a recursive process.

Assume the data structure is V, we get the following algorithm:

Algorithm 1 Proto-vEB-Member(V, x)

- 1: **if** V.u == 2 **then**
- 2: return V.A[x]
- 3: **return** Proto-vEB-Member(V.cluster[high(x)], low(x))

The running time of this algorithm is

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

, as we have already analyzed, the solution is $T(u) = O(\lg \lg u)$, which is far better than $O(\sqrt{u})$ and $O(\lg u)$.

3.2 Finding The Minimum Element

In previous sections, we described a naive solution - scanning the summary array from the left till we find 1, and then scanning the corresponding cluster from the left to find the minimum. Now, when summary is not an array but a proto-vEB, we can achieve better results. Firstly, denote that the minimum element appears in the cluster with minimum index, thus, we can search for minimum in summary and get min - cluster = high(x) index, and then again in the cluster to find the offset which is low(x). Thus, we shall return index (high(x), low(x)). Secondly, the base case is again when u = 2, then we just scan the array. Our algorithm returns NIL when the structure is empty, that is, there is not minimum.

Algorithm 2 Proto-vEB-Minimum(V)

```
1: if V.u == 2 then
      if V.A[0] == 1 then
         return 0
3:
      else if V.A[1] == 1 then
4:
         return 1
5:
      else return NIL
6:
7: else min-cluster=Proto-vEB-Minimum(V.summary)
      if min-cluster==NIL then
8:
         return NIL
9:
      else offset=Proto-vEB-Minimum(V.cluster[min-cluster])
10:
         return index(min-cluster, offset)
11:
```

The algorithm in the worst case performs two recursive calls and some constant operations, so the running time is

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

To solve that we define $m = \lg u$ thus $u = 2^m$ and the formula $S(m) = T(2^m) = 2T\left(2^{\frac{m}{2}}\right) + O(1) = 2S\left(\frac{m}{2}\right) + O(1)$, hence, from the master theorem, $S(m) = \Theta(m) = \Theta(\lg u)$. That is not better than a balanced bst, and we will see we can improve it.

3.3 Finding The Successor

In order to find the successor, we need, again to split to some cases.

- 1. Base case: if u=2, if x=1, there is no successor, and if x=0 we return 1 if A[1]=1 and 0 NIL otherwise.
- 2. We do know the cluster of x which is high (x), so we can low (x) successor in the high (x) cluster and if we receive an index i we can return

index (high (x), i). otherwise, we move to the next cluster till we find the successor.

3. If now successor was found, we return NIL.

However, since the summary array is a proto-vEB structure itself, if no successor was found in cluster number high (x) we can find the successor of high (x) in summary, and then returns its minimum, if exists. This yields the following algorithm:

```
Algorithm 3 Proto-vEB-Successor(V, x)
```

```
1: if V.u == 2 then
      if x == 0 and V.A[0] == 1 then
 3:
          return 1
      else return NIL
 4:
 5: else offset=Proto-vEB-Successor(V.cluster[high(x)], low(x))
      if offset \neq NIL then
 6:
 7:
          return index(high(x), offset)
      else succ-cluster=Proto-vEB-Successor(V.summary, high(x))
8:
          if succ-cluster == NIL then
9:
             return NIL
10:
          else offset=Proto-vEB-Minimum(V.cluster[succ - cluster])
11:
12:
             return index(succ - cluster, offset)
```

In the worst case, our algorithm does two recursive calls and a call to ProtovEB-Minimum, thus the recurrence is

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

we can simply prove that $T(u) = \Theta(\lg u \lg \lg u)$.

3.4 Insertion

in order to insert an element we need to insert low(x) to the cluster number high(x) and insert high(x) to summary.

Thus we get the following algorithm:

Algorithm 4 Proto-vEB-Insert(V, x)

- 1: **if** V.u == 2 **then**
- 2: V.A[x] = 1
- 3: **else** Proto-vEB-Insert(V.cluster[high(x)], low(x))
- 4: Proto-vEB-Insert(V.summary, high(x))

The recurrence is $T\left(u\right)=2T\left(\sqrt{u}\right)+O\left(1\right)$ so as we proved in previous sections, $T\left(u\right)=\Theta\left(\lg u\right)$. not good enough.

3.5 Deletion

The current structure requires a linear scan over all \sqrt{u} in x's cluster, or, the addition of an element count that counts the number of elements in the structure.

Assuming n exists:

Algorithm 5 Proto-vEB-Delete(V, x)

- 1: if V.u == 2 then
- 2: V.A[x] = 0
- 3: V.count = V.count 1
- 4: **else** Proto-vEB-Delete(V.cluster[high[x]], low(x))
- 5: **if** V.cluster[high[x]].count == 1 **then**
- 6: Proto-vEB-Delete(V.summary, high(x))

The recurrence in the worst case is $T\left(u\right)=2T\left(\sqrt{u}\right)+O\left(1\right)$, thus $T\left(u\right)=O\left(\lg u\right)$.

4 The van Emde Boas tree

Our prototype suffers from an impractical assumption - $u=2^{2^k}$. Our structure needs to be able to deal with more "flexible" numbers, we will assume they are just powers of two $u=2^m$. if m is odd, that is m=2k+1, we divide the bits of u to $\left\lceil \frac{\lg u}{2} \right\rceil$ most significant bits and $\left\lfloor \frac{\lg u}{2} \right\rfloor$ least significant bits.

For simplicity we denote $\sqrt[4]{u} = 2^{\left\lfloor \frac{\lg u}{2} \right\rfloor}$, $\sqrt[4]{u} = 2^{\left\lceil \frac{\lg u}{2} \right\rceil}$. It follows that $\sqrt[4]{u} \leq \sqrt{u} \leq \sqrt[4]{u}$ and $\sqrt[4]{u} \cdot \sqrt[4]{u} = u$. Thus, the fundamental methods we have already defined become:

$$high(x) = \left\lfloor \frac{x}{\sqrt[4]{u}} \right\rfloor$$

$$low(x) = x \mod \sqrt[4]{u}$$

$$index(x, y) = x \cdot \sqrt[4]{u} + y$$

We denote our structure as vEB tree, which is a modification to the ProtovEB-tree we defined in the previous section. A vEB tree with universe size u is denoted as vEB(u), and contains the following attributes:

- summary points to a $vEB(\sqrt[4]{u})$ tree.
- cluster $[0...\sqrt[4]{u}-1]$ points to $\sqrt[4]{u} \cdot vEB(\sqrt[4]{u})$ trees.
- min stores the minimum element in the vEB tree.
- max stores the maximum element in the vEB tree.

Remark 1. min is stored only in the base vEB tree, and not in its recursive subtrees, thus, all the attributes stores in V is min plus all the elements recursively

stored in the sub trees. That means, if V.min = 0 then cluster number 0 does not contain the value 0!

Those two additional attributes (min, max) reduce the running time significantly, and give us a total running time of $\Theta(\lg \lg u)$. For instance, to determine whether the tree is empty or not we can check $min \neq NIL$, and to see if there is only one element, we can compare max == min. Besides, in order to know whether an element x is the last element in the tree, we can compare x < max or x > min. Moreover we can deduce if x's successor is in the cluster number high (x), since this happens iff x < max - that reduces the amount of recursive calls to only one.

In addition, inserting en element to an empty vEB can be done in O(1) operations, since we just need to update min, max.

Thus, we would expect to see recurrences of the form:

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

However, \sqrt{u} is not necessarily an integer, though, it holds that

$$T(u) \leq T(\sqrt[3]{u}) + O(1)$$

we can substitute $m = \lg u \Rightarrow 2^m = u$ thus we get

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

it is quite hard to work with, Hence, note that $\lceil \frac{m}{2} \rceil \leq \frac{2}{3}m$ for all $m \geq 2$, thus,

we get the following recurence:

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

the solution from the master theorem is $S(m) = O(\lg(m)) \Rightarrow T(u) = S(\lg u) = O(\lg \lg u)$. Therefor, extending the image of u to numbers of the form 2^k does not hurt our running time.

4.1 Finding the Minimum and Maximum Elements

Since we added min and max we get for free the following algorithms:

Algorithm 6 vEB-Tree-Minimum(V)

1: return V.min

Algorithm 7 vEB-Tree-Maximum(V)

1: return V.max

4.2 Determining Membership

We have two cases:

- \bullet if x is the minimum element or maximum, x is a member.
- else if u=2: that means x can be only min or max, and thus, it is false.
- else check for membership in cluster number high (x) for low (x)

That yields the following algorithm:

Algorithm 8 vEB-Tree-Member(V, x)

```
1: if V.min == x or V.max == x then
```

- 2: **return** True
- 3: else if V.u == 2 then
- 4: **return** False
- 5: **else return** vEB-Tree-Member(V.cluster[high(x)], low(x))

In the worst case we have one recursive call, so the recurrence is $T(u) \leq T(\sqrt[4]{u}) + O(1)$, which from a previous section, has the solution $T(u) = O(\lg \lg u)$.

4.3 Successor Query

We assume $0 \le x < u$ we does not care whether x is in the tree or not.

Lets split into some cases:

- Base case: if u == 2 then
 - if x == 0 and V.max == 1 we return 1.
 - otherwise, x == 1 or V.max == 0 Thus, x does not have any successor and we return NIL.
- else if $V.min \neq NIL$ and x < V.min we know for sure, though x not in the tree, that its successor in the tree is V.min, so we return V.min.
- Otherwise, $x \geq V.min$ so if x < V.max we return the successor of low (x) it its cluster, and otherwise, we search for high (x)'s successor in the summary array and return the minimum in this cluster.

Thus, we get the following algorithm:

Algorithm 9 vEB-Tree-Successor(V, x)

```
1: if u == 2 then
      if x == 0 and V.max == 1 then
 3:
          return 1
      else return NIL
 4:
 5: else if V.min \neq NIL and x < V.min then
      {\bf return}\ V.min
 7: else max-low = vEB-Tree-Maximum(V.cluster[high(x)])
      if x < max - low then
 8:
          offset = vEB-Tree-Successor(V.cluster[high(x)], low(x))
9:
          return index(high(x), low(x))
10:
      else succ-cluster = vEB-Tree-Successor(V.summary, high(x))
11:
          if succ-cluster == NIL then
12:
             return NIL
13:
14:
          else offset = vEB-Tree-Minimum(V.cluster[succ - cluster])
             return index(succ-cluster, offset)
15:
```

There is only one recursive call and since vEB-Tree-Minimum costs O(1) we get the recurrence $T(u) \leq T(\sqrt[4]{u}) + O(1)$ with the solution $T(u) = O(\lg \lg u)$.

4.4 Predecessor Query

It is quite similar to successor:

- if u == 2
 - if x == 1 and V.min == 0 we return 0.
 - ullet else we return NIL since there is not predecessor for x.
- if $V.max \neq NIL$ and x > V.max then V.max is the predecessor so we return V.max.

• Else, we check if the minimum value in x's cluster is smaller than x, and is so, we look for x's successor in cluster number high (x). otherwise, we look for high (x) successor in the summary and then return its maximum.

Thus, we get an analogical algorithm, with one more if statement, since if there is no pred cluster, the predecessor might be V.min, because it is not stored in the tree's clusters:

Algorithm 10 vEB-Tree-Predecessor(V, x)

```
1: if u == 2 then
      if x == 1 and V.min == 0 then
 2:
          return 0
 3:
      else return NIL
 4:
 5: else if V.max \neq NIL and x > V.max then
      return V.max
 6:
 7: else min-low = vEB-Tree-Minimum(V.cluster[high(x)])
 8:
      if x > min - low then
          offset = vEB-Tree-Predecessor(V.cluster[high(x)], low(x))
 9:
          return index(high(x), low(x)
10:
      else pred-cluster = vEB-Tree-Predecessor(V.summary, high(x))
11:
          if predcluster == NIL then
12:
             if V.min \neq NIL and x > V.min then
13:
                {f return}\ V.min
14:
             return NIL
15:
          else offset = vEB-Tree-Maximum(V.cluster[pred - cluster])
16:
             return index(pred-cluster, offset)
17:
```

The same recurrence we got from vEB-Tree-Successor holds as well.

4.5 Insertion

In order to insert an element, do the following steps:

• if V.min == NIL then we update V.min = V.max = x

- else if x < V.min we exchange x and V.min so we insert only element that is not the minimum to its cluster (since V.min is not stored in any cluster).
 - if u > 2 then we find the minimum in cluster number high (V.min) and if it is NIL, we insert high (V.min) to the summary array. In either case, we need to insert V.min to cluster number high (V.min)
 - we do need to update max so if x > V.max we change V.max = x.

We are going to use a helper procedure that handles empty trees:

${\bf Algorithm~11}~{\rm vEB\text{-}Empty\text{-}Tree\text{-}Insert}(V,x)$

- 1: V.min = x
- 2: V.max = x

That yields the following algorithm

Algorithm 12 vEB-Tree-Insert(V, x)

```
1: if V.min == NIL then
```

- 2: vEB-Empty-Tree-Insert(V, x)
- 3: else if x < V.min then
- 4: Exchange x with V.min
- 5: **if** V.u > 2 **then**
- 6: **if** vEB-Tree-Minimum(V.cluster[high(x)]) == NIL **then**
- 7: vEB-Tree-Insert(V.summary, high(x))
- 8: vEB-Empty-Tree-Insert(V.cluster[high(x)], low(x))
- 9: **else** vEB-Tree-Insert(V.cluster[high(x)], low(x))
- 10: if V.max < x then
- 11: V.max = x

All the cases contain only one recursive call so the running time, as we have seen in previous sections is $O(\lg \lg u)$

4.6 Deletion

We assume x is currently in the tree.

There are many cases, so lets go over them briefly

- if V.min = V.max we can set V.min = V.max = NIL
- else if V.u == 2 then $V.min \neq V.max$ thus if x == 0 we can set V.min = 1 and otherwise we set V.max = V.min.
- else if x == V.min then we need to find the second smallest element, delete it from the tree, and set it to be V.min.
 - Thus, we find the first cluster which is the minimum of the summary array, and then set *V.min* to be the minimum of the first cluster, since the *V.min* itself is not stored in any cluster, this is the second smallest element.
- Now we delete this value from its cluster and need to check if we need to
 delete the cluster from summary, so the cluster is empty, we delete high (x)
 from the summary.
- In addition, if we deleted the maximum, we need to update. Thus, we find
 the maximum cluster if it is NIL, then the tree contains only min, max
 so we set V.min = V.max, otherwise we set V.max to be the maximum of
 the cluster.
- Finally, if x's cluster didn't become empty, we might need to update V.max, so if we do, we update V.max to be the maximum in the cluster of x.

All of this yields the following algorithm:

Algorithm 13 vEB-Tree-Delete(V, x)

```
1: if V.min == V.max then
      V.min=V.max=NIL
3: else if V.u == 2 then
      if x == 0 then
4:
         V.min=1
5:
      elseV.min=0
6:
         V.max = V.min
7:
8: else if x == V.min then
      first-cluster = vEB-Tree-Minimum(V.cluster[high(x)])
9:
      x = index(first-cluster, vEB-Tree-Minimum(first-cluster))
10:
      V.min = x
11:
12: vEB-Tree-Delete(V.cluster[high(x)], low(x))
13: if vEB-Tree-Minimum(V.cluster[high(x)]) == NIL then
      vEB-Tree-Delete(V.summary, high(x))
      if x == V.max then
15:
         summary-max=vEB-Tree-Maximum(V.summary)
16:
         if summary-max == NIL then
17:
             V.max=V.min
18:
         else offset = vEB-Tree-Maximum(V.cluster[summary - max])
19:
             V.max = index(summary-max, offset)
20:
      else if x == V.max then
21:
         offset = vEB-Tree-Maximum(V.cluster[high(x)])
22:
23:
         V.max = index(high(x), offset)
```

It seems that there are two recursive calls in the worst case, one to delete from summary and one to delete x from the cluster. However, that happens only when x is the only element in its cluster, thus, the first recursive call terminates in the first if statement, so effectively we need to take care of only one call. Thus, the recurrence is again $T(u) \leq T(\sqrt[4]{u}) + O(1)$ and hence $T(u) = O(\lg \lg u)$.

4.7 Space Complexity

A vEB-Tree contains 2 simple attributes, and $\sqrt[4]{u} + 1$ arrays of vEB-trees of size $\sqrt[4]{u}$ and array of pointers thus the recurrence is $P(u) = (\sqrt[4]{u} + 1) P(\sqrt[4]{u}) + \Theta(\sqrt[4]{u})$, for simplicity, we assume \sqrt{u} is always an integer so $P(u) = (\sqrt{u} + 1) P(\sqrt{u}) + \Theta(\sqrt{u})$.

Which, apparently, has the solution T(u) = O(u).

4.8 Building an Empty vEB tree

Assuming we would like to build a vEB-tree with universe size u, we need to create $\sqrt{u} + 1$ vEB (\sqrt{u}) and execute Θ (\sqrt{u}) operations to store pointers in the array, thus the formula is exactly as the space complexity recurrence

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

Hence, T(u) = O(u), so in cases when the amount of elements is small, we might prefer to use Red&Black Trees.

5 Bibliography

This scribe is mostly based on the book "Introduction to algorithms" by Thomas H. Cormen, without him, it would have been impossible. It is just a summary, and nothing more, it was written just for individual use, and contain parts summarized from Cormen's book.

We encourage you to read Cormen's vEB chapter for more examples and explanations.