

The Union-Find Problem

Divide-and-Conquer Recurrences, Baby Version

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Typical Divide-and-Conquer:

If problem set S has size $n=1$, then nothing to be done.

Otherwise:

- * partition S into subproblems of size $< f(n)$
- * solve each of the $n/f(n)$ subproblems recursively
- * combine subsolutions.

Divide-and-Conquer Recurrences, Baby Version

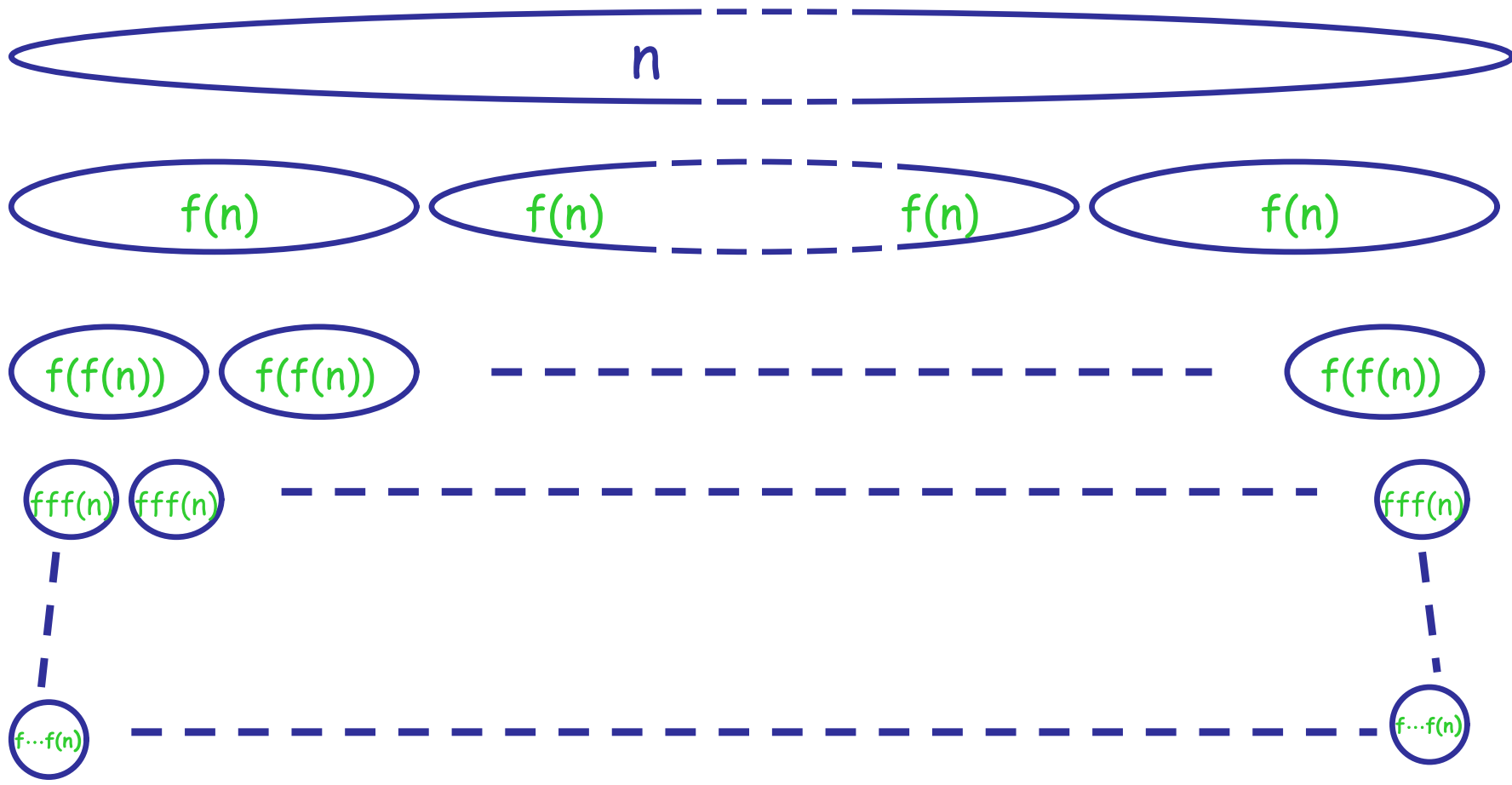
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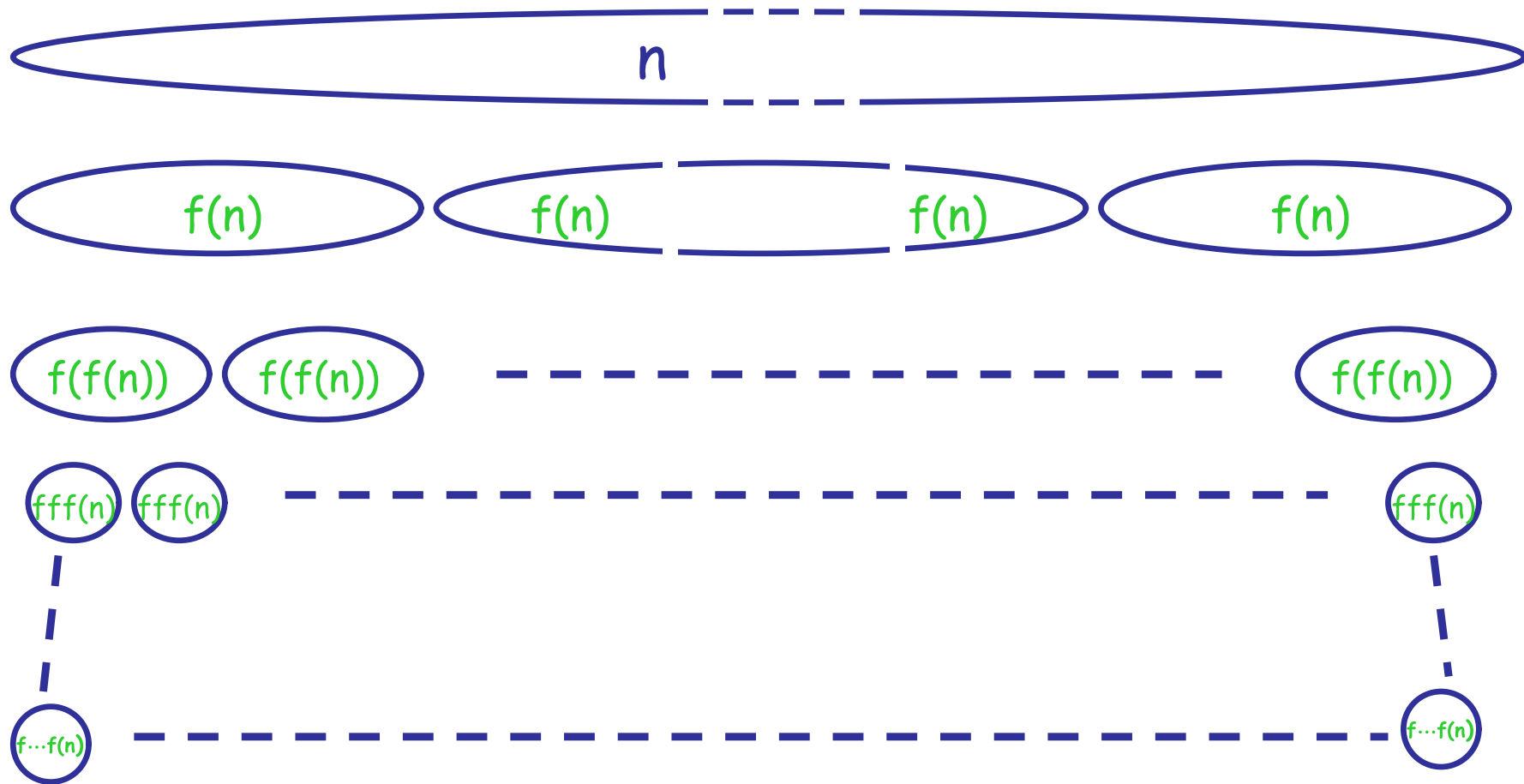
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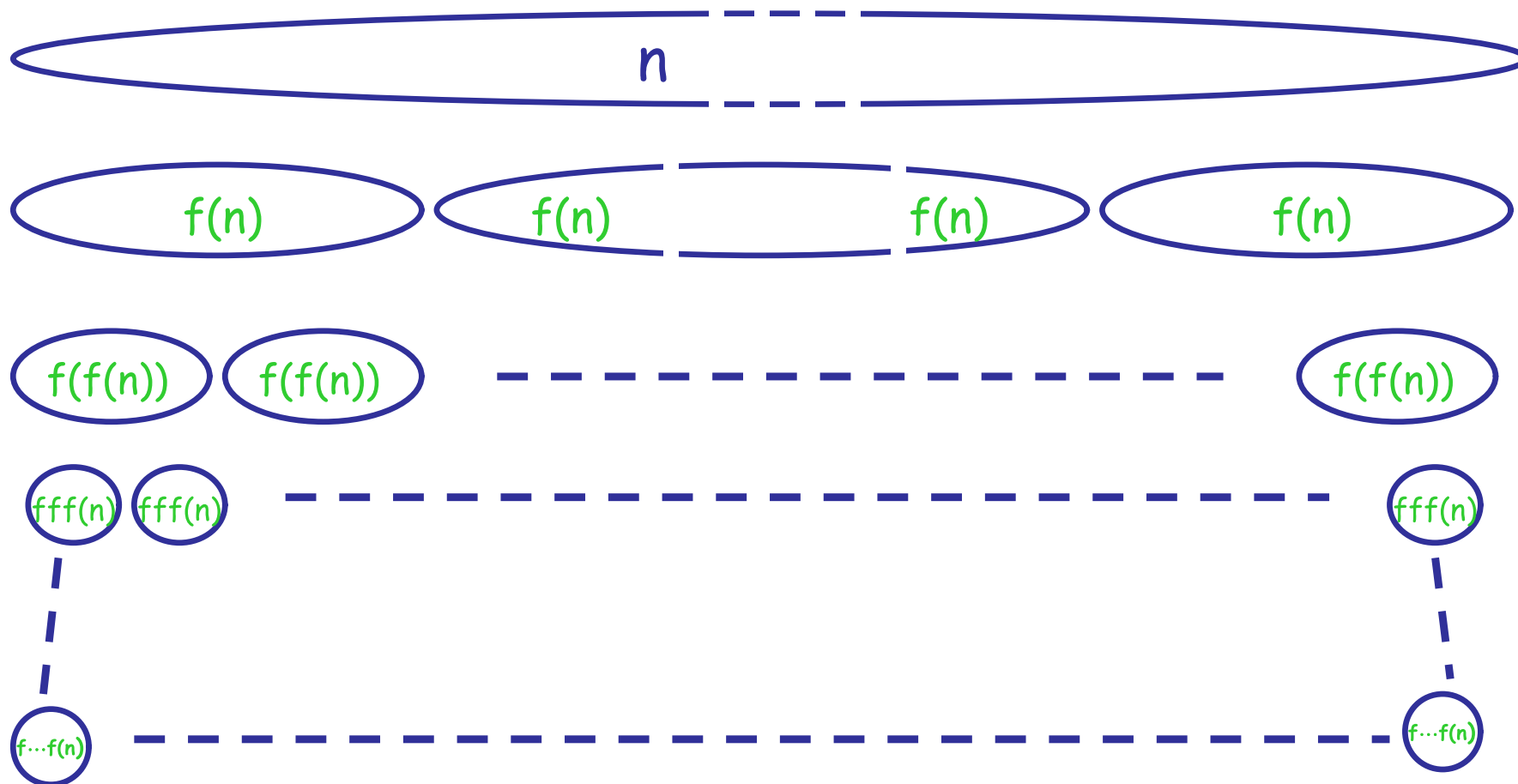
(f needs to satisfy contraction condition $f(n) < n$ for $n > 1$.)





Recurrence:

$$X(n) \leq \begin{cases} 0 & \text{if } n \leq 1 \\ a \cdot n + \frac{n}{f(n)} \cdot X(f(n)) & \text{if } n > 1 \end{cases}$$



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Solution: $X(n) \leq a \cdot n \cdot f^*(n)$

$$f^*(n) = \begin{cases} 0 & \text{if } n \leq 1 \\ 1 + f^*(f(n)) & \text{if } n > 1 \end{cases}$$

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- Properties:
- 1) $f^*(f(n)) = f^*(n) - 1$
 - 2) f a "nice" compaction
 $\Rightarrow f^*$ a "nice" compaction and
 f^* "much smaller" than f

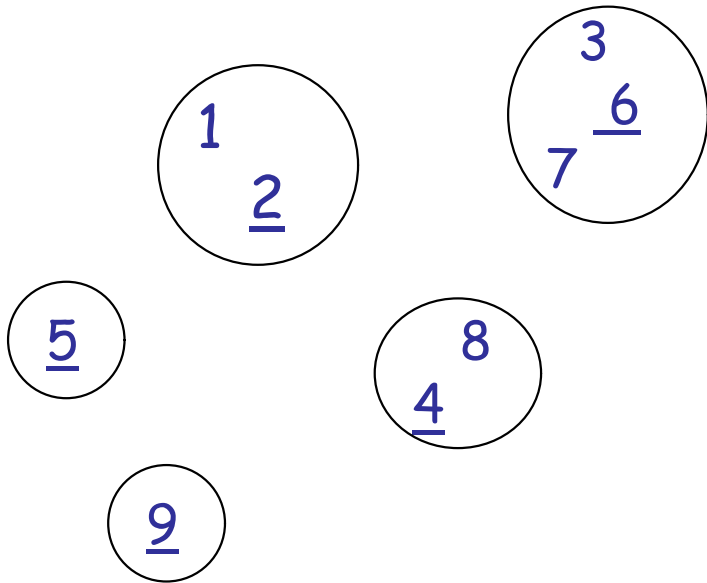
Examples for f^* :

$f(n)$	$f^*(n)$
$n-1$	$n-1$
$n-2$	$n/2$
$n-c$	n/c
$n/2$	$\log_2 n$
n/c	$\log_c n$
\sqrt{n}	$\log \log n$
$\log n$	$\log^* n$

Union Find with Path Compressions

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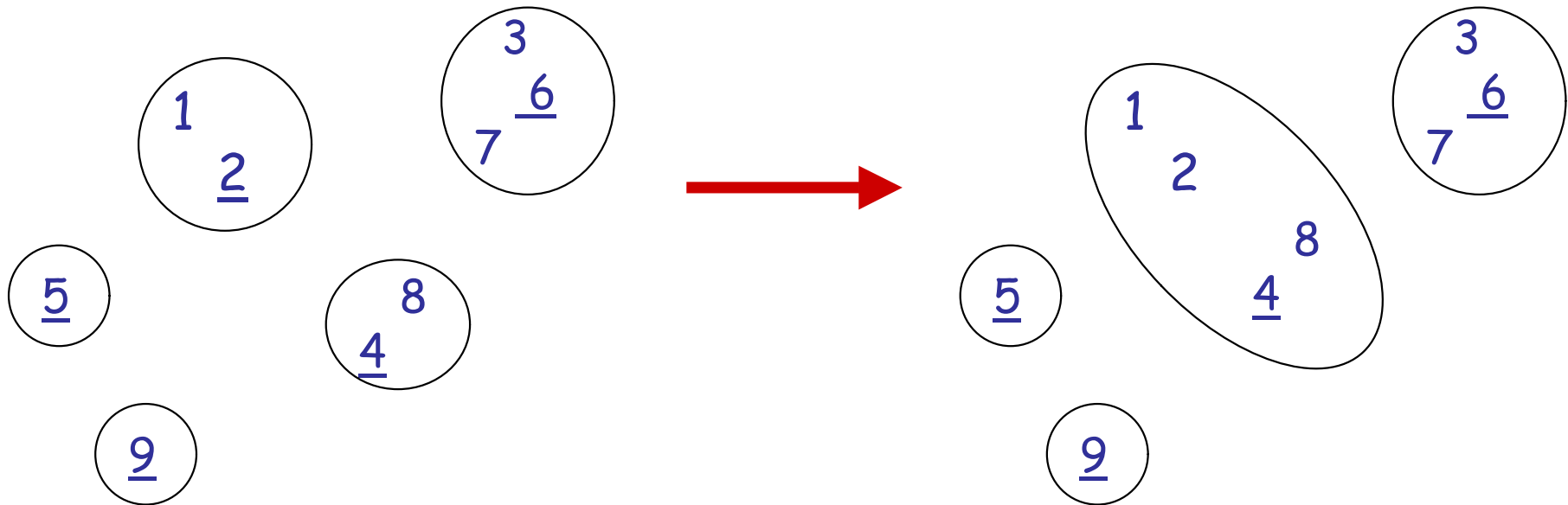
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under operations



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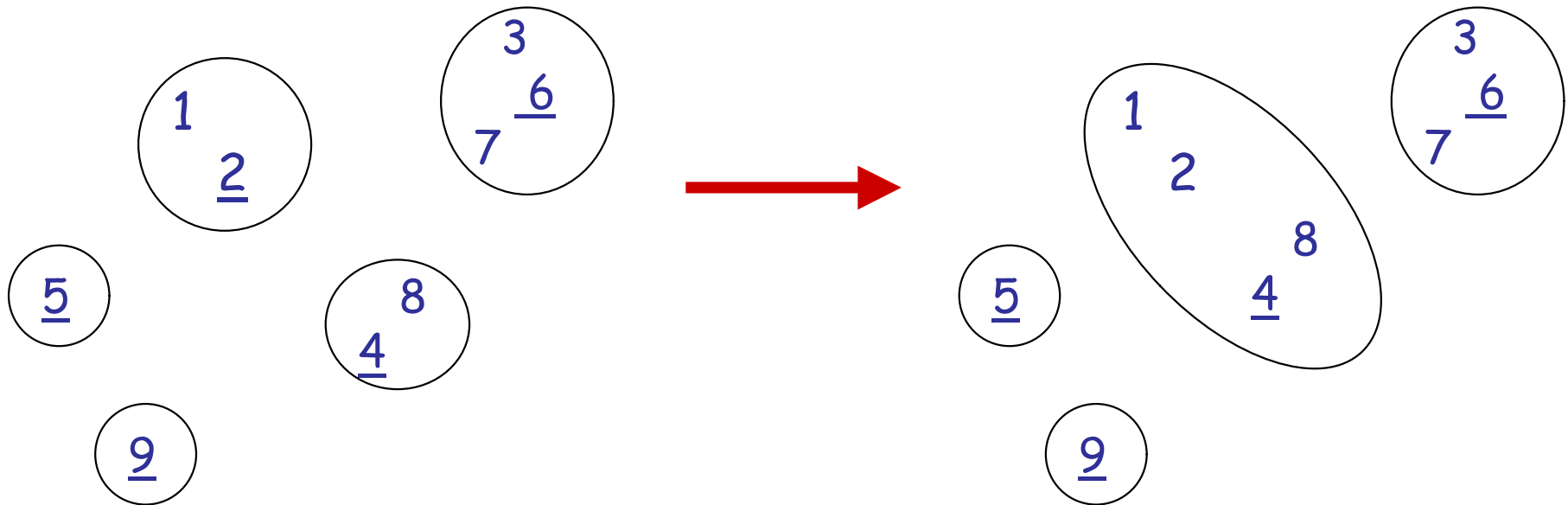
Union(2, 4)



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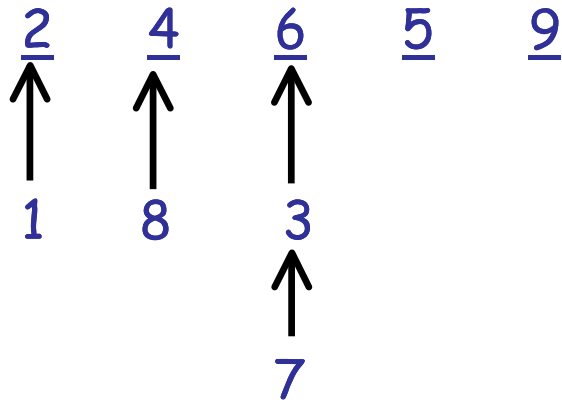
Union(2, 4)



Find(3) = 6 (representative element)

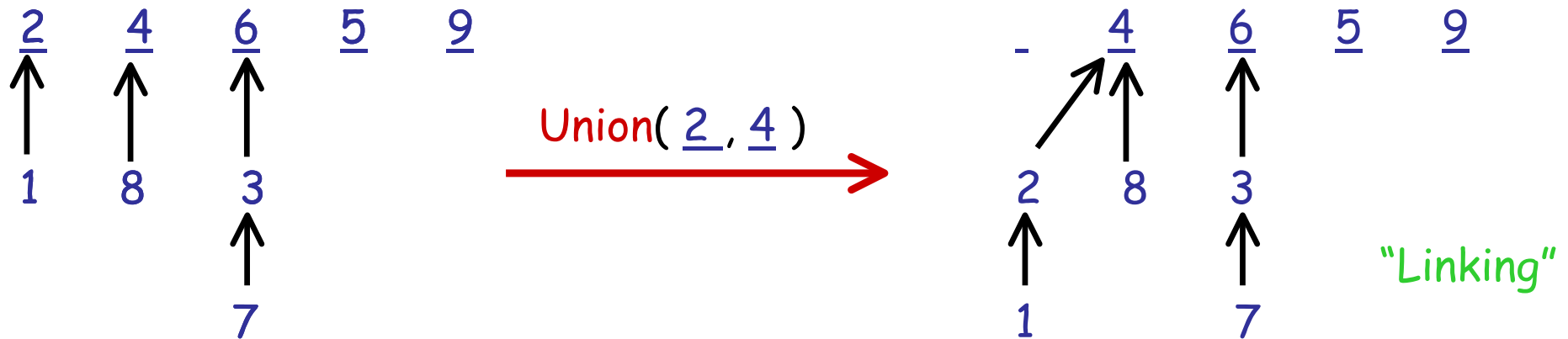
Implementation

- * forest \mathcal{F} of rooted trees with node set S
- * one tree for each group in current partition
- * root of tree is representative of the group



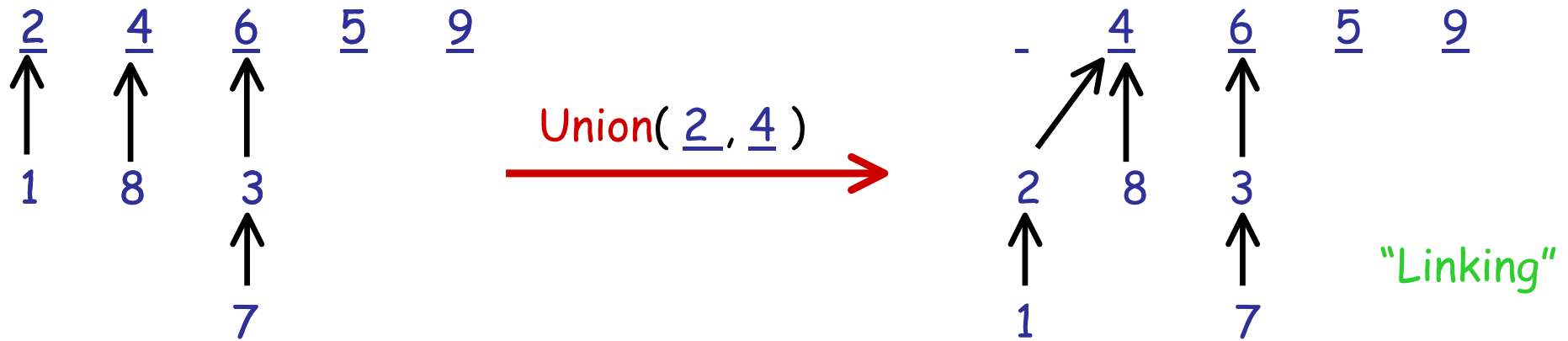
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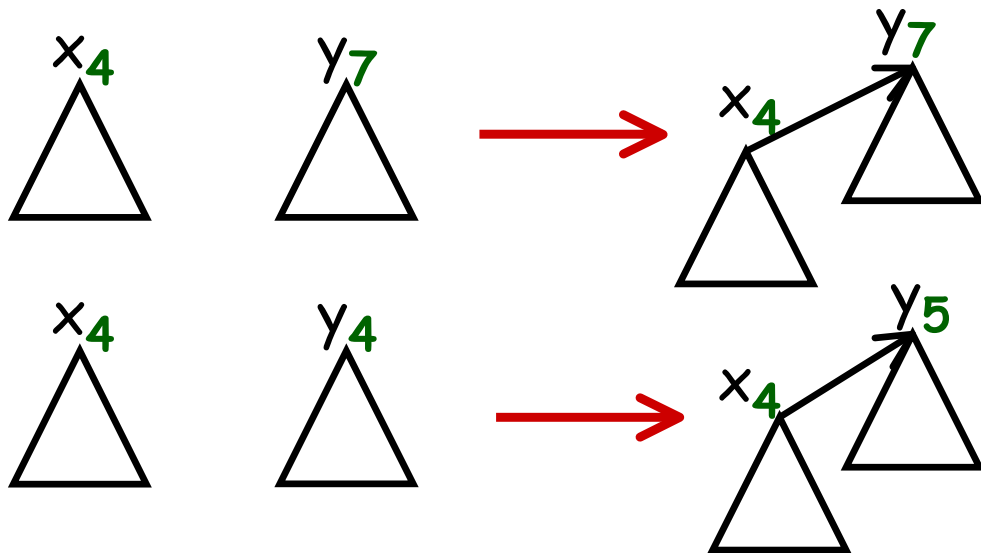


Find(x) follow path from x to root

"path following"

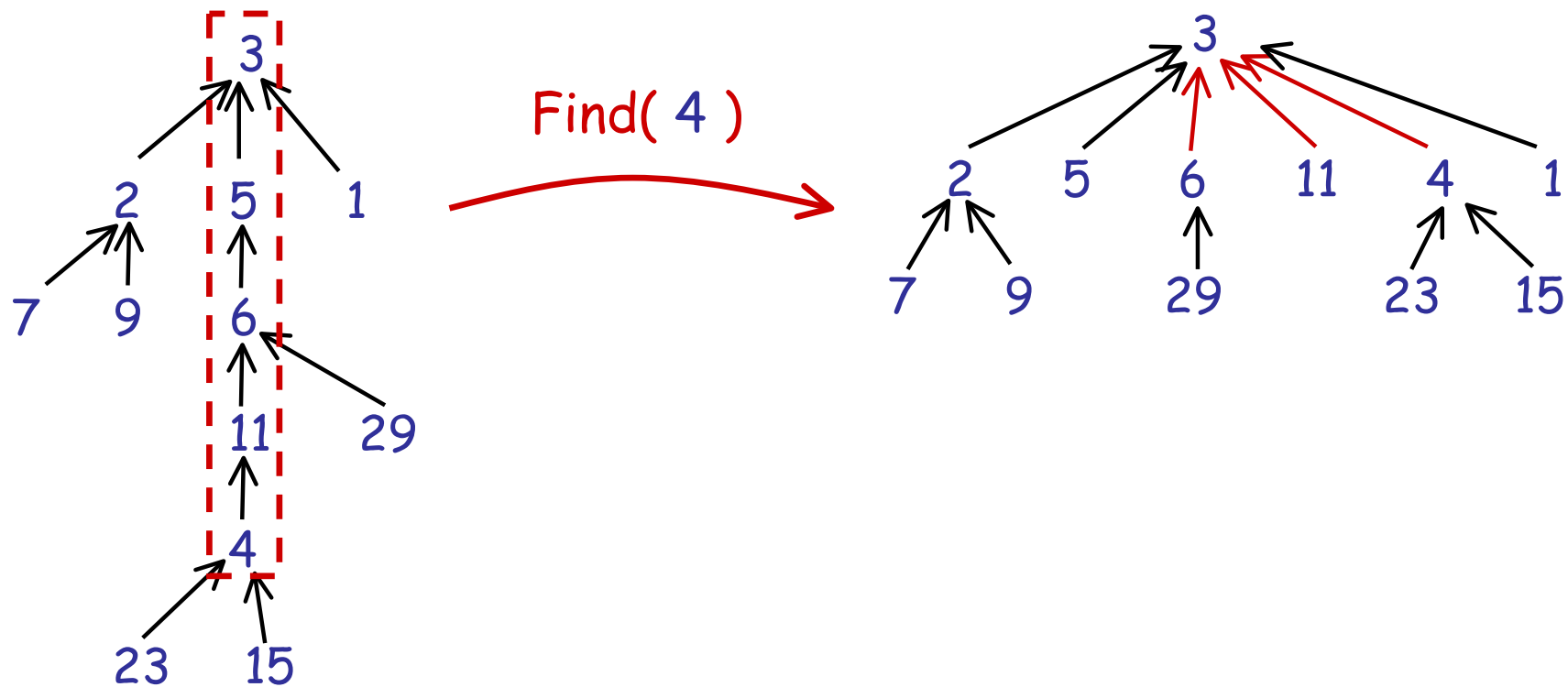
Heuristic 1: "linking by rank"

- each node x carries integer $rk(x)$
- initially $rk(x) = 0$
- as soon as x is NOT a root, $rk(x)$ stays unchanged
- for **Union**(x , y) make node with smaller rank child of the other
in case of tie, increment one of the ranks



Heuristic 2: Path compression

when performin a Find(x) operation make all nodes in the "findpath" children of the root



sequence of **Union** and **Find** operation

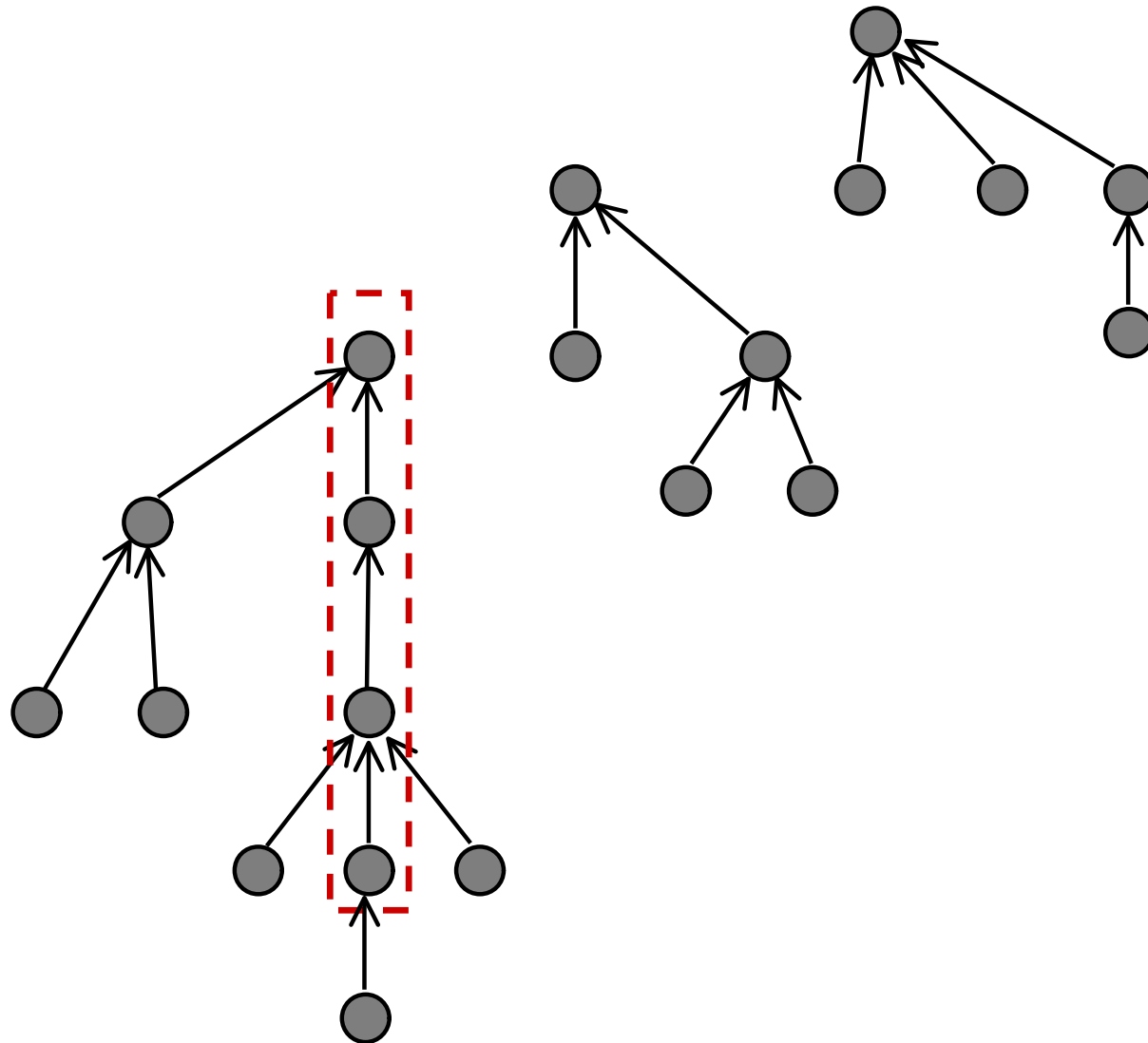
Explicit cost model:

$\text{cost}(op) = \# \text{ times some node gets a new parent}$

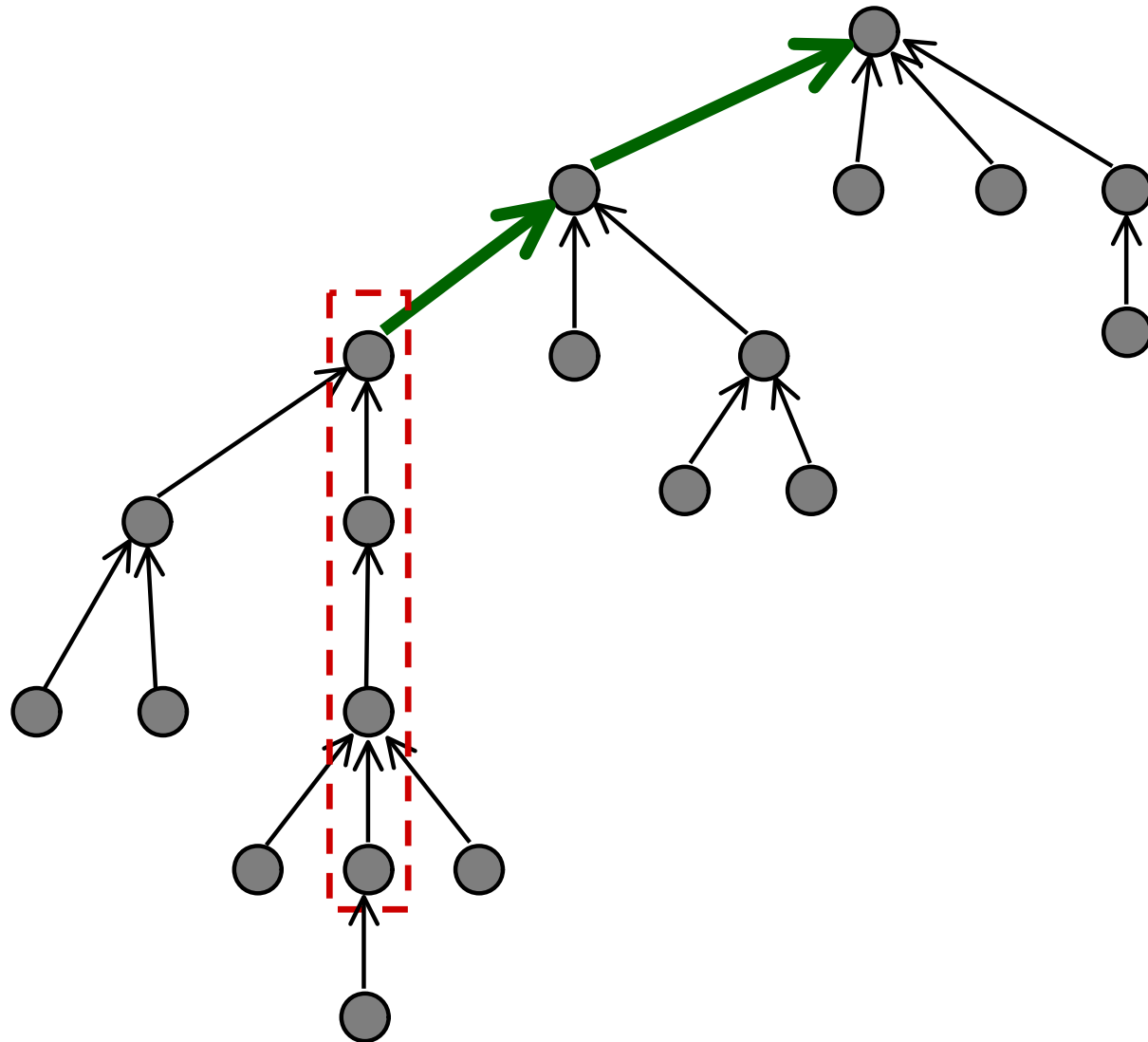
Time for **Union**(x , y) = $O(1) = O(\text{cost}(\text{Union}(x,y)))$

Time for **Find**(x) = $O(\# \text{ of nodes on findpath })$
= $O(2 + \text{cost}(\text{Find}(x)))$

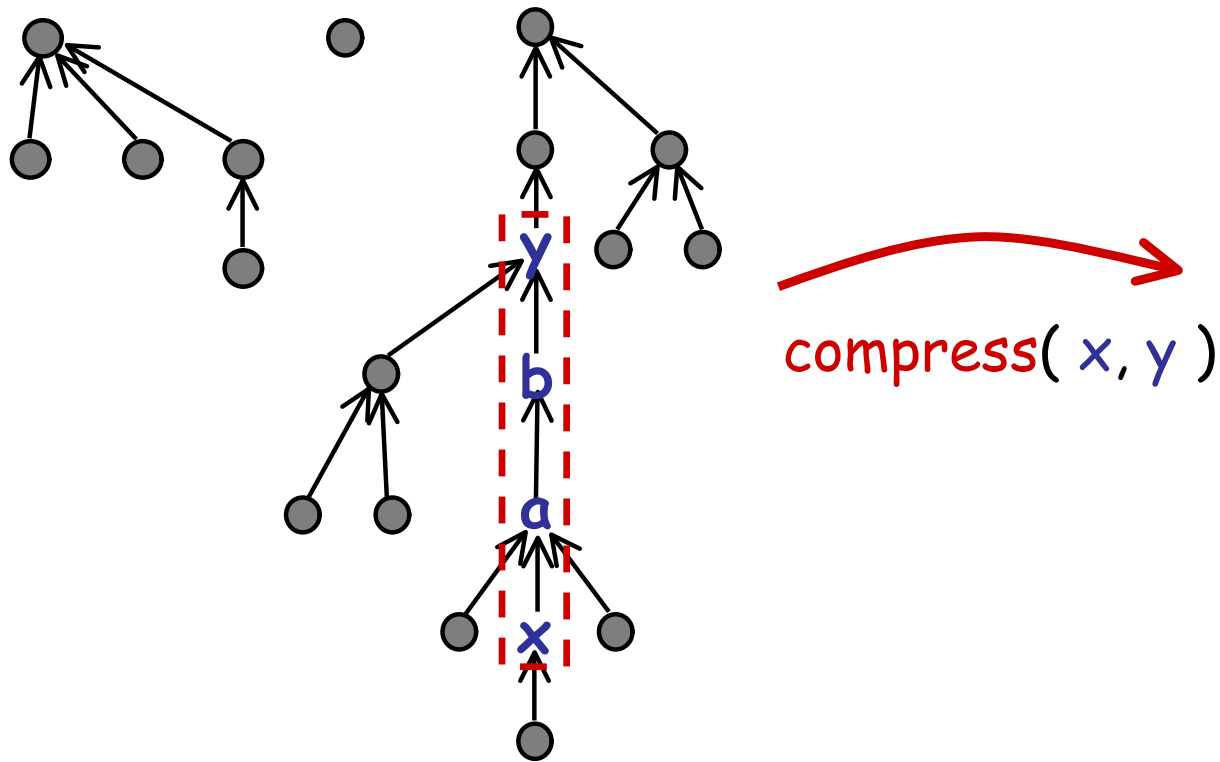
For analysis assume all **Unions** are performed first, but **Find**-paths are only followed (and compressed) to correct node.



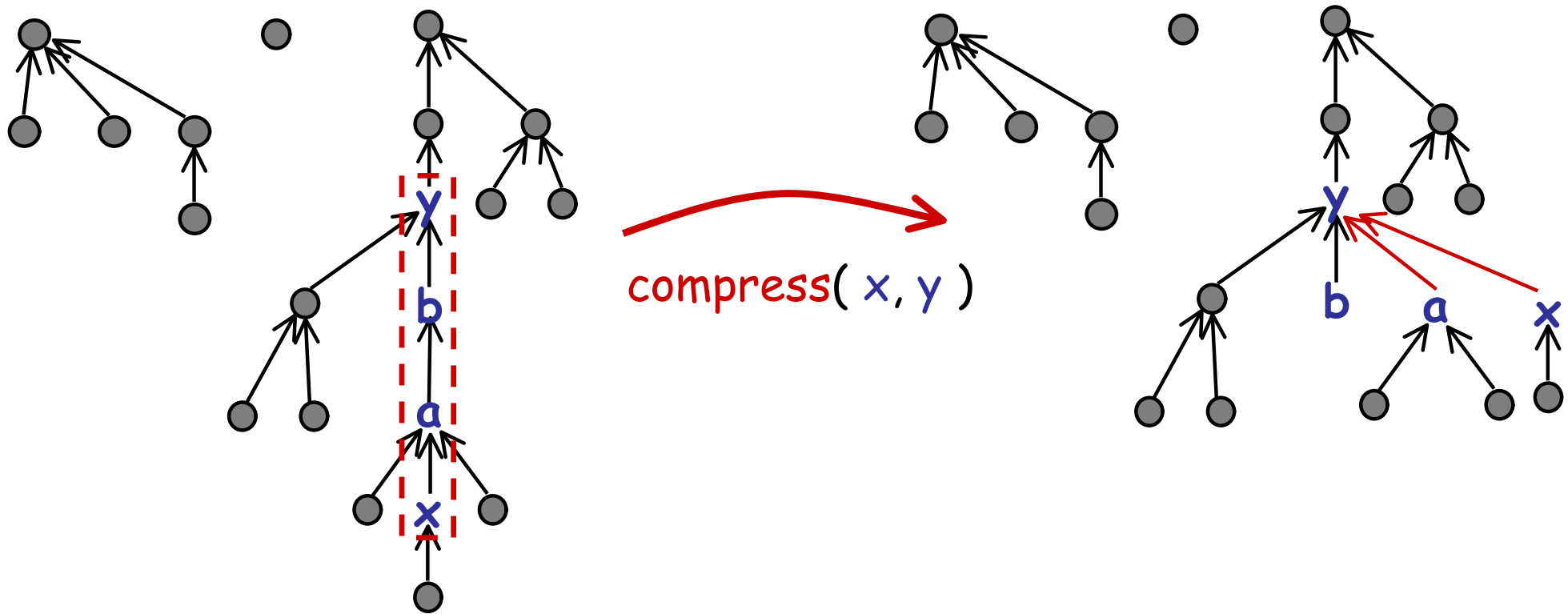
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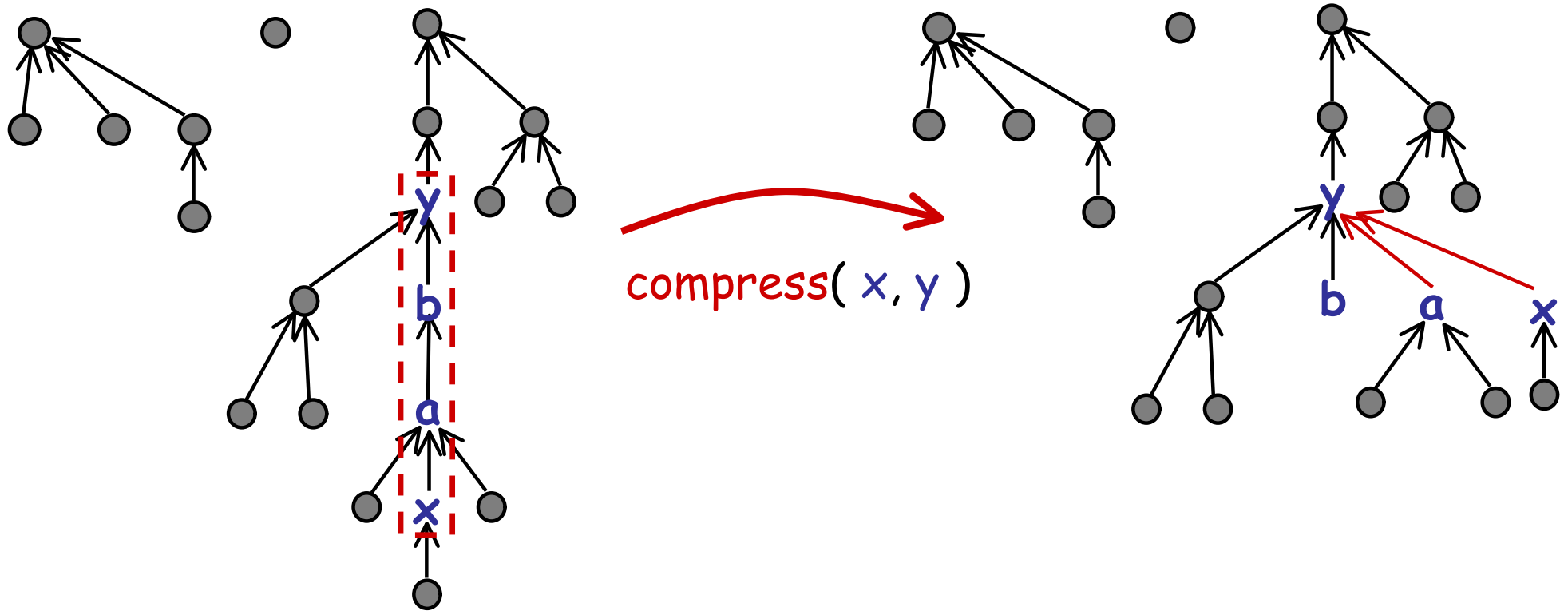
General path compression in forest \mathcal{F}



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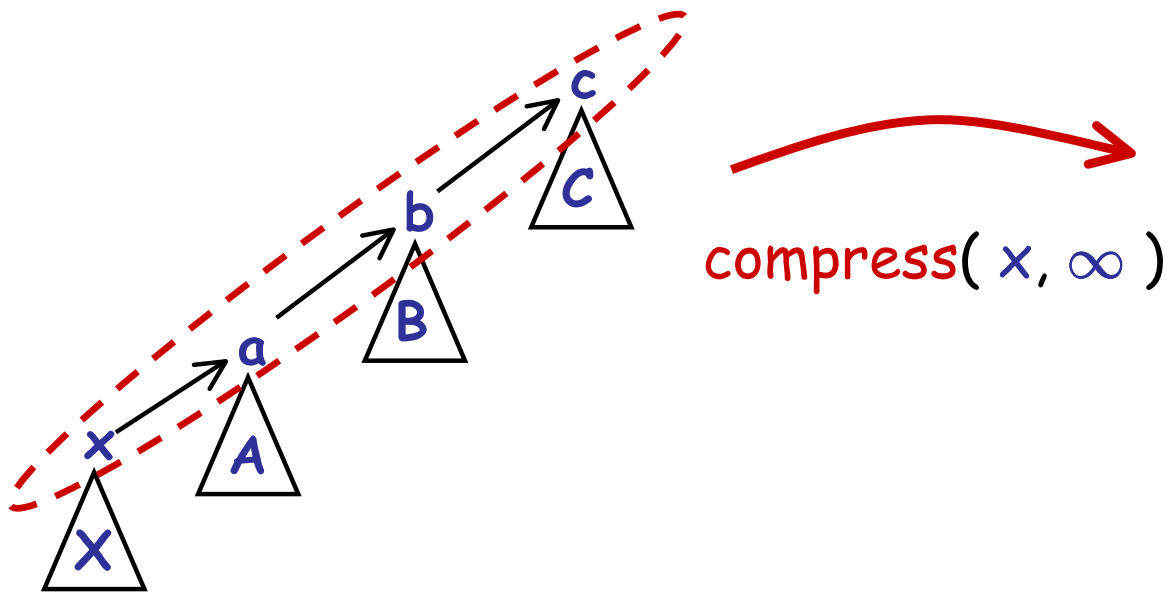
$\text{cost}(\text{compress}(x, y)) = \#$ of nodes that get a new parent

General path compression in forest \mathcal{F}

"rootpath compress"

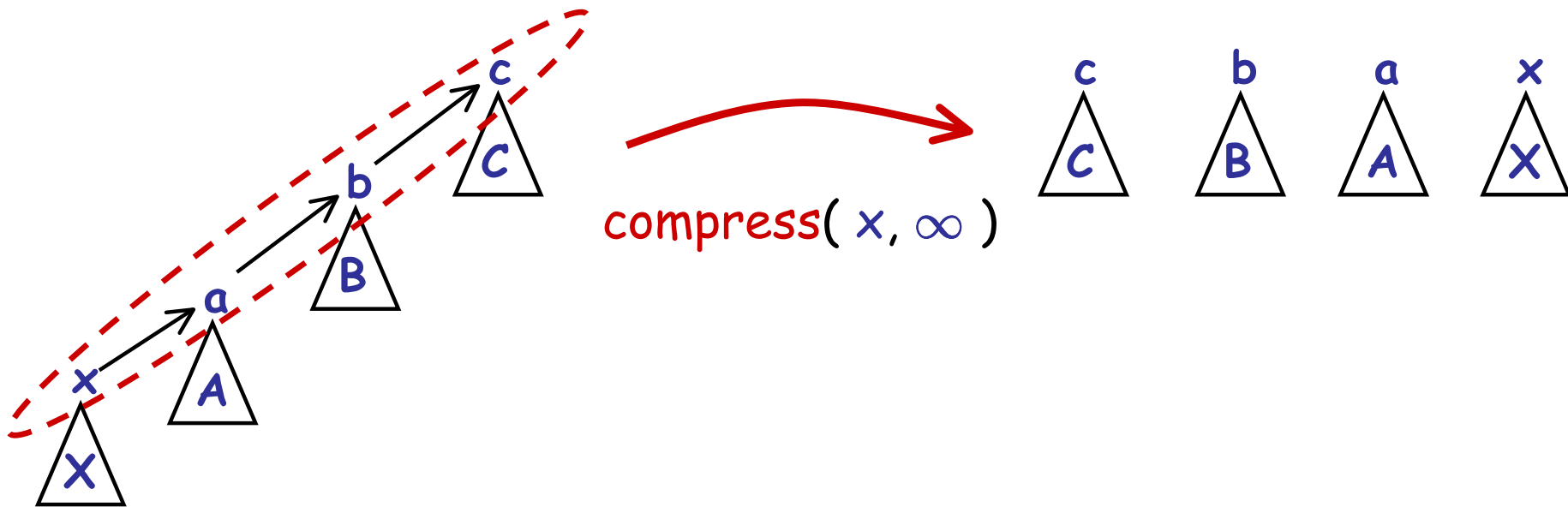
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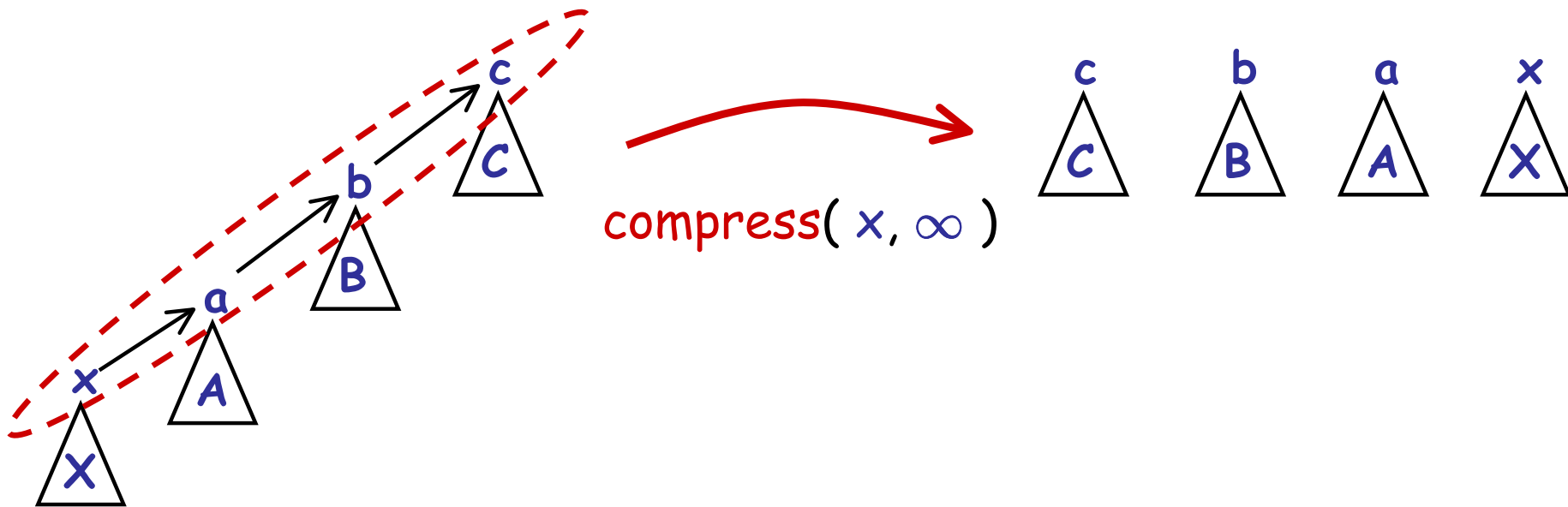
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$\text{cost}(\text{compress}(x, \infty)) = \# \text{ of nodes that get a new parent}$

$= 0$

Problem formulation

\mathcal{F} forest on node set X

\mathcal{C} sequence of compress operations on \mathcal{F}

$|\mathcal{C}| = \#$ of true compress operations in \mathcal{C}

(rootpath compresses excluded)

$\text{cost}(\mathcal{C}) = \sum(\text{cost of individual operations})$

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How large can $\text{cost}(\mathcal{C})$ be at most,
in terms of $|X|$ and $|\mathcal{C}|$?

Dissection of a forest \mathcal{F} with node set X :

partition of X into "top part" X_+
and "bottom part" X_b

so that top part X_+ is "upwards closed",

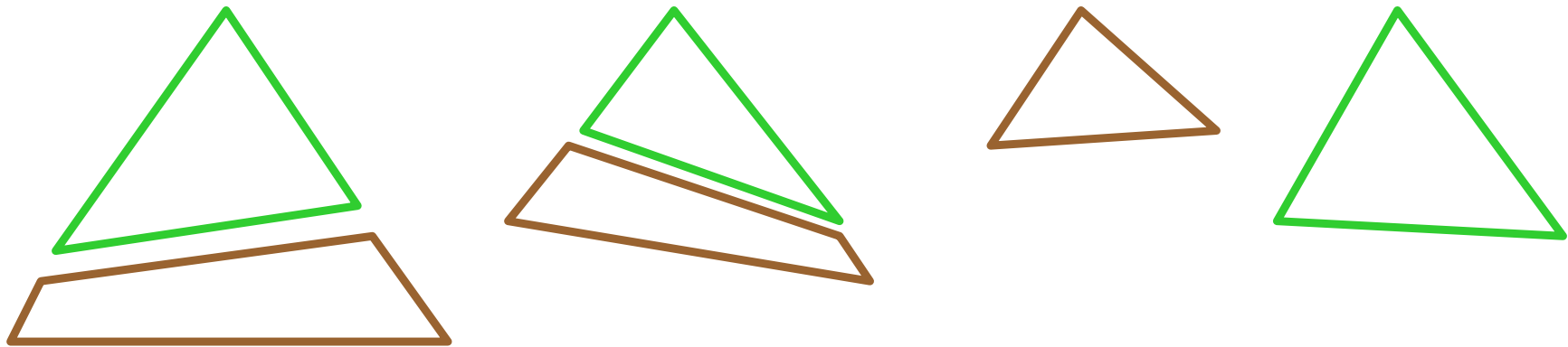
i.e. $x \in X_+ \Rightarrow$ every ancestor of x is in X_+ also

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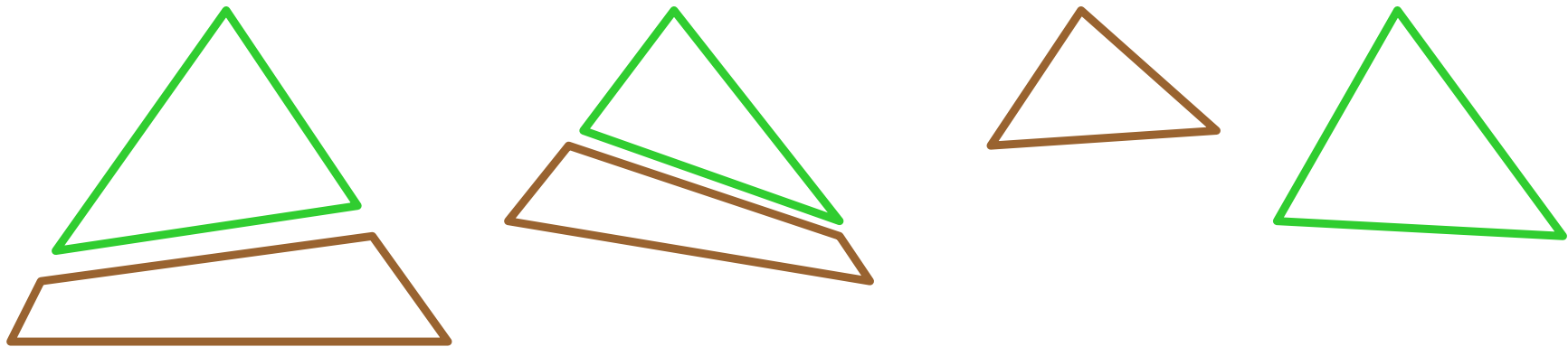


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Note: X_+, X_b dissection for \mathcal{F}
 \mathcal{F}' obtained from \mathcal{F} by
sequence of path compressions } \Rightarrow X_+, X_b is
dissection for \mathcal{F}'

Main Lemma:

C ... sequence of operations on \mathcal{F} with node set X

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$\Rightarrow \exists$ compression sequences

C_b for \mathcal{F}_b and C_+ for \mathcal{F}_+

with

$$|C_b| + |C_+| \leq |C|$$

and

$$\text{cost}(C) \leq \text{cost}(C_b) + \text{cost}(C_+) + |X_b| + |C_+|$$

Proof: 1) How to get C_b and C_+ from C :

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compression paths from C

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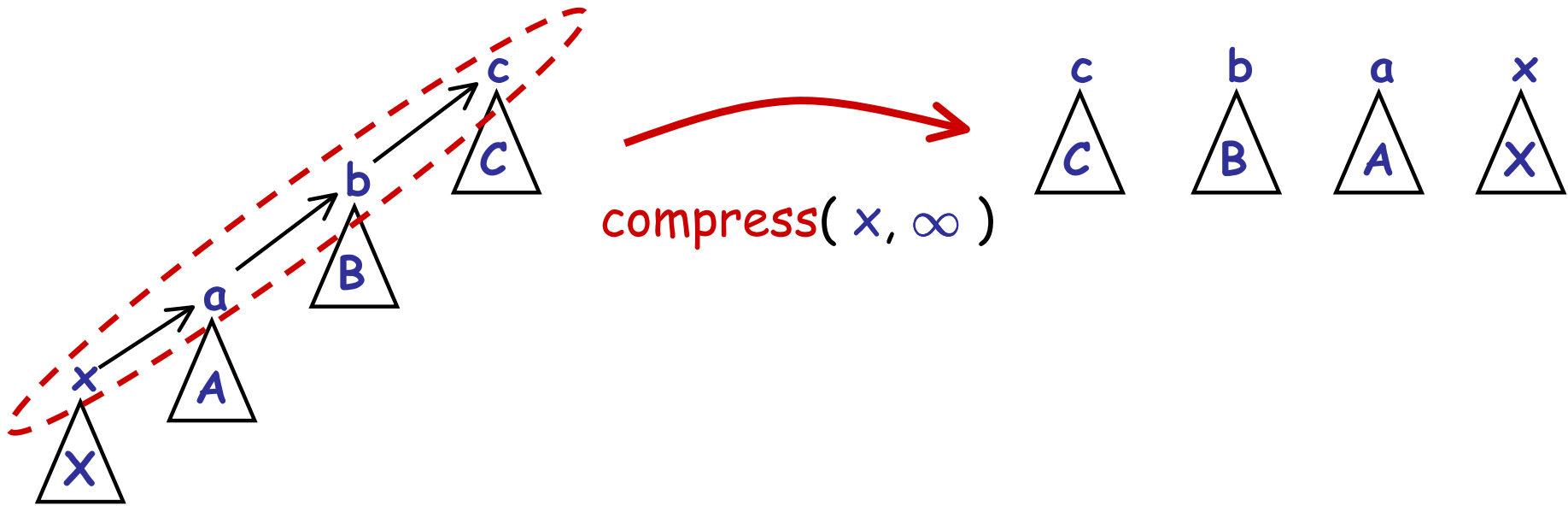
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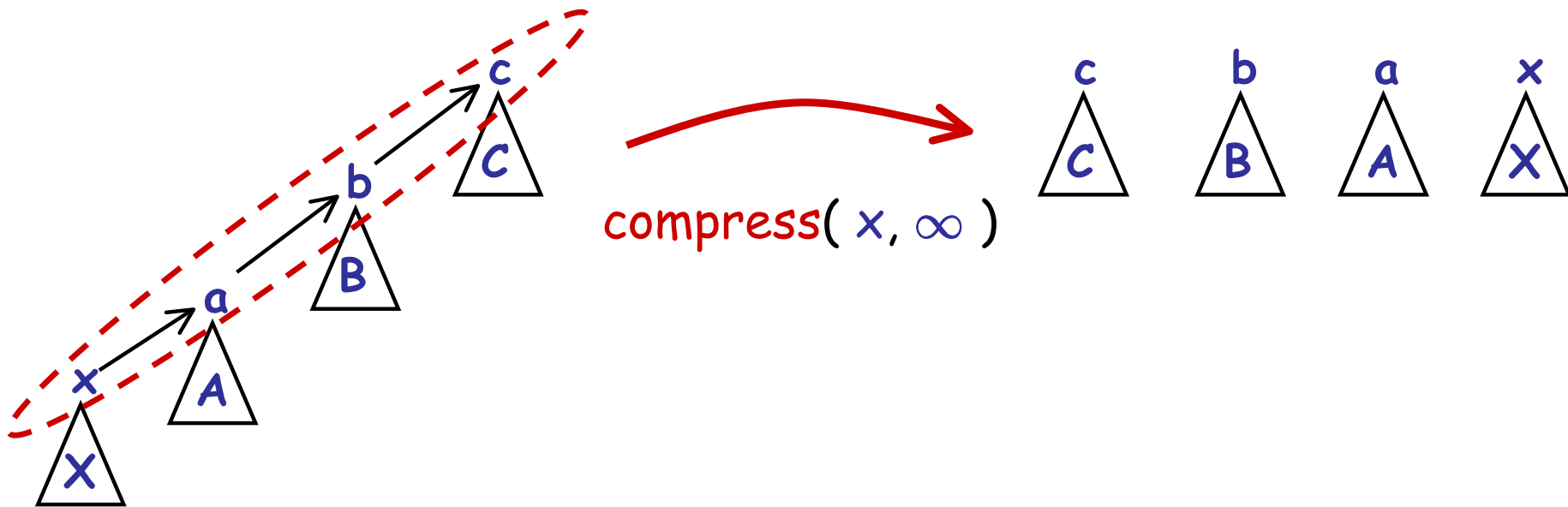
case 3:  into C_+

 into C_b

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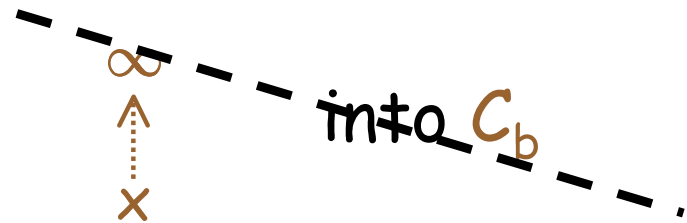
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$\text{cost}(C)$

green node gets new green parent:

accounted by $\text{cost}(C_+)$

brown node gets new brown parent:

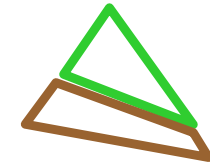
accounted by $\text{cost}(C_b)$

brown node gets new green parent:
for the first time

accounted by $|X_b|$

brown node gets new green parent:
again

accounted by $|C_+|$



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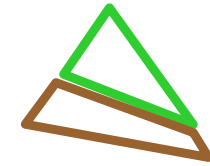
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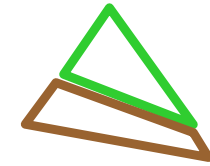
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$f(m,n)$... maximum cost of any compression sequence C with $|C|=m$ in an arbitrary forest with n nodes.

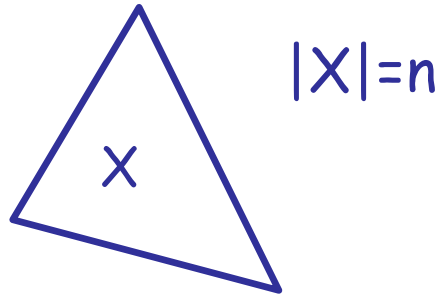
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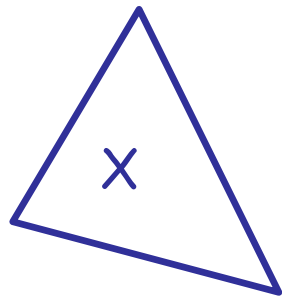


\mathcal{C} compression sequence $|\mathcal{C}|=m$

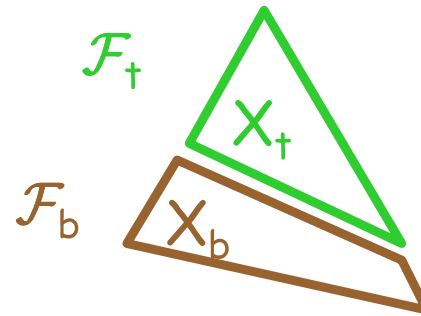
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$$|X|=n$$



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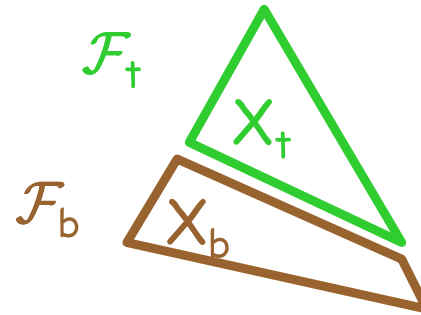
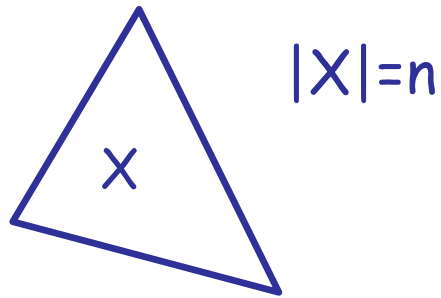
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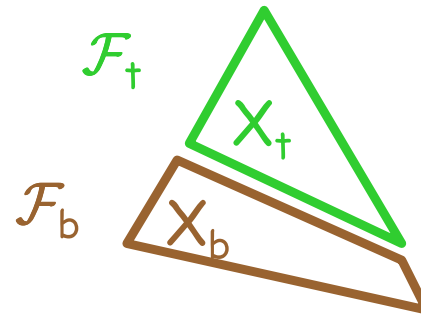
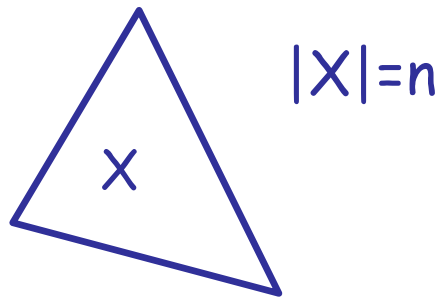
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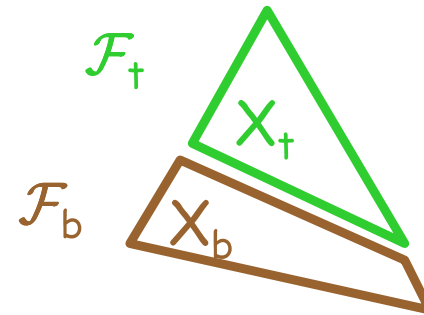
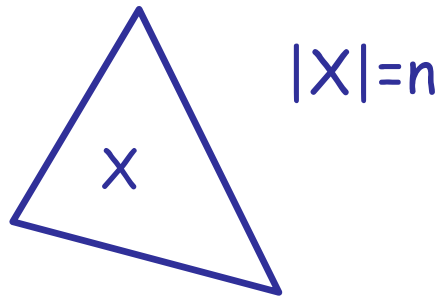
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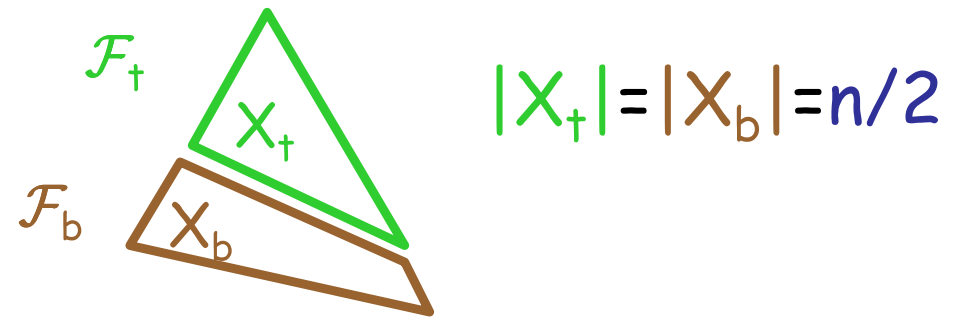
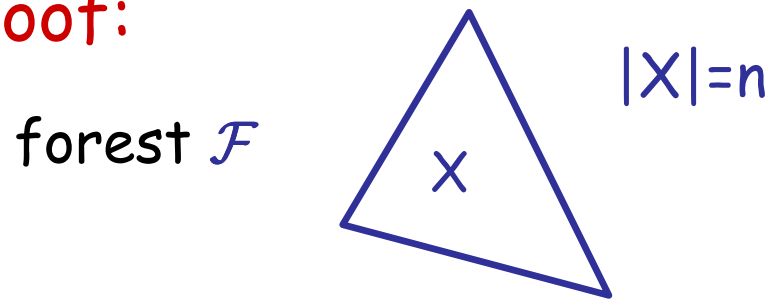
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$$\leq (m+n) \cdot \log_2 n/2 + (m+n) = (m+n) \cdot \log_2 n$$

Corollary:

Any sequence of m Union, Find operations in a universe of n elements that uses arbitrary linking and path compression takes time at most

$$O((m+n) \cdot \log n)$$

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By choosing a dissection that is "unbalanced" in relation to m/n one can prove a better bound of

$$O((m+n) \cdot \log_{\lceil m/n \rceil + 1} n)$$

Path compression and union by rank

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Def: \mathcal{F} forest, x node in \mathcal{F}

$r(x)$ = height of subtree rooted at x
($r(\text{leaf}) = 0$)

\mathcal{F} is a **rank forest**, if

for every node x

for every i with $0 \leq i < r(x)$,
there is a child y_i of x with $r(y_i) = i$.

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Lemma: $r(x) = r \Rightarrow x$ has at least r children and $\geq 2^r$ descendants.

Inheritance Lemma:

\mathcal{F} rank forest with maximum rank r and node set X

$$\begin{array}{ll} s \in \mathbb{N}: & X_{>s} = \{ x \in X \mid r(x) > s \} & \mathcal{F}_{>s} \\ & X_{\leq s} = \{ x \in X \mid r(x) \leq s \} & \mathcal{F}_{\leq s} \end{array} \quad \text{induced forests}$$

Inheritance Lemma:

\mathcal{F} rank forest with maximum rank r and node set X

$$\begin{array}{ll} s \in \mathbb{N}: & X_{>s} = \{ x \in X \mid r(x) > s \} & \mathcal{F}_{>s} \\ & X_{\leq s} = \{ x \in X \mid r(x) \leq s \} & \mathcal{F}_{\leq s} \end{array} \quad \text{induced forests}$$

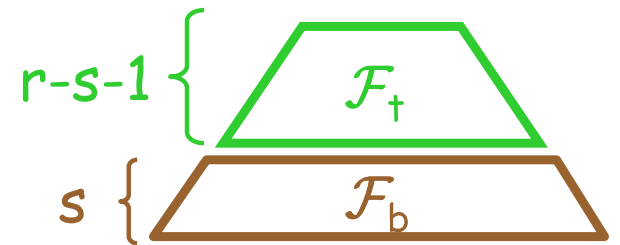
- i) $X_{\leq s}, X_{>s}$ is a dissection for \mathcal{F}
- ii) $\mathcal{F}_{\leq s}$ is a rank forest with maximum rank $\leq s$
- iii) $\mathcal{F}_{>s}$ is a rank forest with maximum rank $\leq r-s-1$
- iv) $|X_{>s}| \leq |X| / 2^{s+1}$

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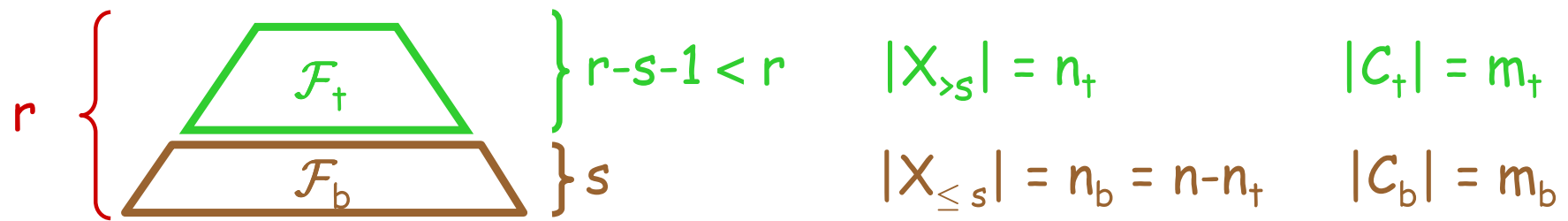
$f(m,n,r)$ = maximum cost of any compression sequence C , with $|C|=m$, in rank forest \mathcal{F} with n nodes and maximum rank r .

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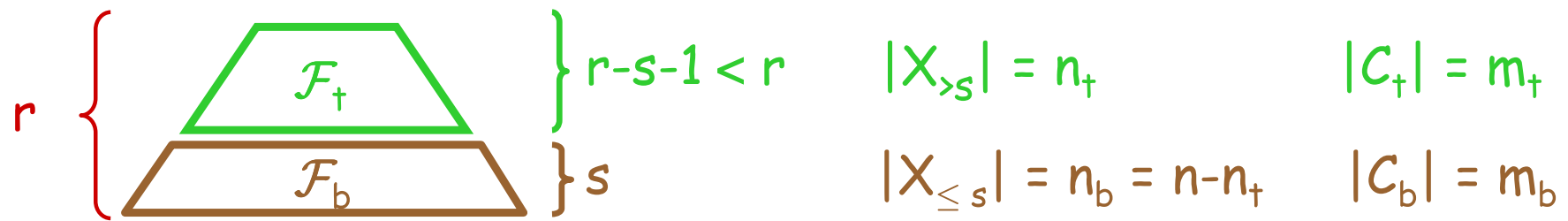
Trivial bounds:

$$f(m,n,r) \leq (r-1) \cdot n$$

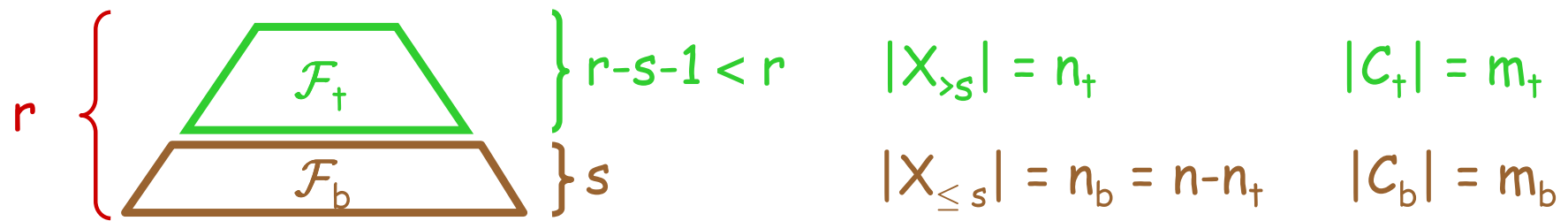
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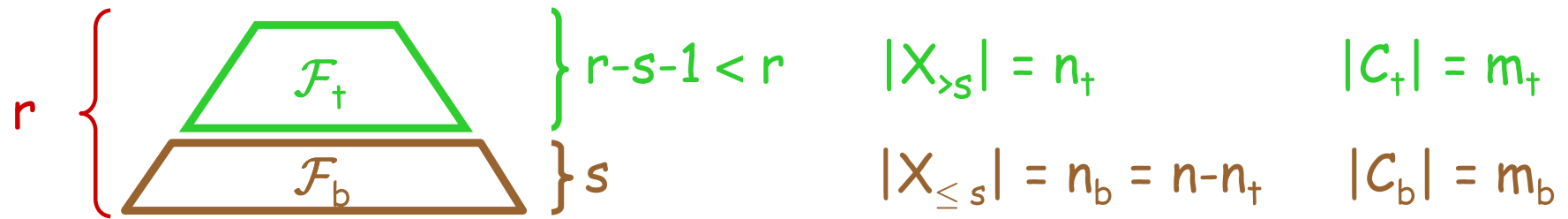
$$\begin{aligned}
 \text{cost}(C) &\leq \text{cost}(C_t) + \text{cost}(C_b) + |X_b| - \#rts(\mathcal{F}_b) + |C_t| \\
 &\leq f(m_t, n_t, r-s-1) +
 \end{aligned}$$



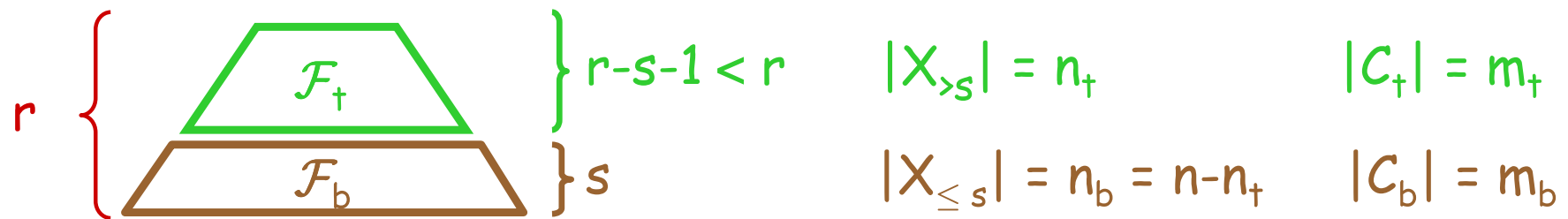
$$\begin{aligned}
 \text{cost}(C) &\leq \text{cost}(C_+) + \text{cost}(C_b) + |X_b| - \#rts(\mathcal{F}_b) + |C_+| \\
 &\leq f(m_+, n_+, r-s-1) + f(m_b, n_b, s) +
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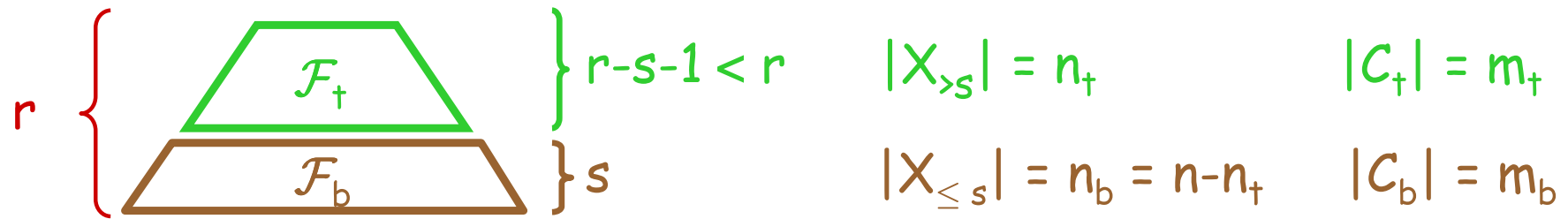


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 \end{aligned}$$



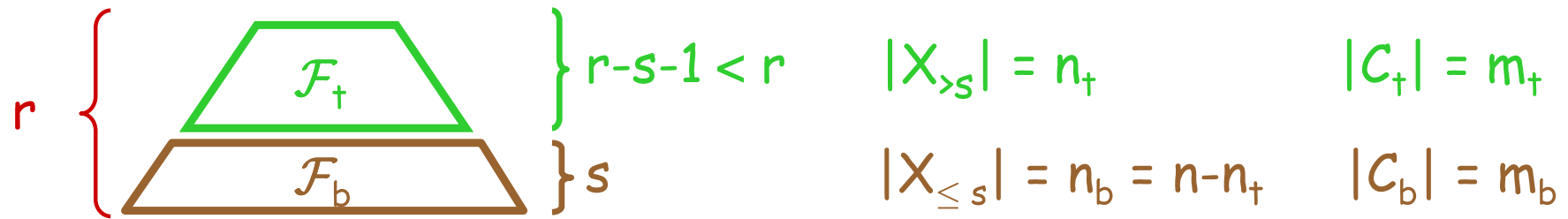
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Each node in \mathcal{F}_+ has at least $s+1$ children in \mathcal{F}_b , and they must all be different roots of \mathcal{F}_b .



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$$f(m, n, r) \leq f(m_+, n_+, r-s-1) + f(m_b, n_b, s) + n - (s+2) \cdot n_+ + m_+$$

$$f(m,n,r) \leq f(m_+,n_+,r-s-1) + f(m_b,n_b,s) + n - (s+2) \cdot n_+ + m_+$$

$$n_+ + n_b = n$$

$$m_+ + m_b \leq m$$

$$0 \leq s < r$$

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Assume: $f(\mu, \nu, \rho) \leq k \cdot \mu + \nu \cdot g(\rho)$

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choose $s = g(r)$

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$$\phi(m, n, r) \leq \phi(m_b, n, g(r)) + n$$

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$$\phi(m, n, r) \leq n \cdot g^*(r)$$

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$$f(m, n, r) \leq (k+1) \cdot m + n \cdot g^*(r)$$

Shifting Lemma:

If $f(m,n,r) \leq k \cdot m + n \cdot g(r)$

then also $f(m,n,r) \leq (k+1) \cdot m + n \cdot g^*(r)$

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Shifting Corollary:

If $f(m,n,r) \leq k \cdot m + n \cdot g(r)$

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for any $i \geq 0$

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$$g(r) = r-1$$

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$$\text{set } s = \lfloor r/2 \rfloor$$

$$f(m,n,r) \leq f(m_b,n_b,r/2) + n + m_+$$

$$f(m,n,r) - m \leq f(m_b,n_b,r/2) - m_b + n$$

$$f(m,n,r) \leq m + n \cdot \log r$$

If $f(m,n,r) \leq k \cdot m + n \cdot g(r)$

then also $f(m,n,r) \leq (k+i) \cdot m + n \cdot \overbrace{g^{** \dots *}}^i(r)$

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We know bound: $f(m,n,r) \leq m + n \cdot \log r$

Therefore for any $i \geq 0$:

$$f(m,n,r) \leq (i+1) \cdot m + n \cdot \log^{\overbrace{** \dots *}}^i(r)$$

$$\text{For any } i \geq 0 : f(m,n,r) \leq (i+1) \cdot m + n \cdot \log^{** \overbrace{\dots}^i} (r)$$

$$\text{For any } i \geq 0 : f(m,n,r) \leq (i+1) \cdot m + n \cdot \log^{*\dots*}(r)$$

Choice of i :

$$\text{For any } i \geq 0 : f(m,n,r) \leq (i+1) \cdot m + n \cdot \log^{** \dots *}(r)$$

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$$\text{Define } \alpha(r) = \min\{ i \mid \log^{** \dots *}(r) \leq i \}$$

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$$f(m,n,r) \leq (m+n)(1+\alpha(r))$$

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Choice of i :

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$$\text{Define } \alpha(m,n,r) = \min\{ i \mid \log^{** \overbrace{\dots}^i} (r) \leq m/n \}$$

$$f(m,n,r) \leq m(2 + \alpha(m,n,r))$$

$$\text{For any } i \geq 0 : f(m,n,r) \leq (i+1) \cdot m + n \cdot \log^{** \dots *}(r)$$

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