

## 9 Union Find

**Union Find Data Structure  $\mathcal{P}$ :** Maintains a partition of **disjoint** sets over elements.

- ▶  $\mathcal{P}$ . **makeset**( $x$ ): Given an element  $x$ , adds  $x$  to the data-structure and creates a singleton set that contains only this element. Returns a locator/handle for  $x$  in the data-structure.
- ▶  $\mathcal{P}$ . **find**( $x$ ): Given a handle for an element  $x$ ; find the set that contains  $x$ . Returns a representative/identifier for this set.
- ▶  $\mathcal{P}$ . **union**( $x, y$ ): Given two elements  $x$ , and  $y$  that are currently in sets  $S_x$  and  $S_y$ , respectively, the function replaces  $S_x$  and  $S_y$  by  $S_x \cup S_y$  and returns an identifier for the new set.

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### Algorithm 1 Kruskal-MST( $G = (V, E), w$ )

```
1:  $A \leftarrow \emptyset$ ;  
2: for all  $v \in V$  do  
3:    $v.\text{set} \leftarrow \mathcal{P}.\text{makeset}(v.\text{label})$   
4: sort edges in non-decreasing order of weight  $w$   
5: for all  $(u, v) \in E$  in non-decreasing order do  
6:   if  $\mathcal{P}.\text{find}(u.\text{set}) \neq \mathcal{P}.\text{find}(v.\text{set})$  then  
7:      $A \leftarrow A \cup \{(u, v)\}$   
8:      $\mathcal{P}.\text{union}(u.\text{set}, v.\text{set})$ 
```

# List Implementation

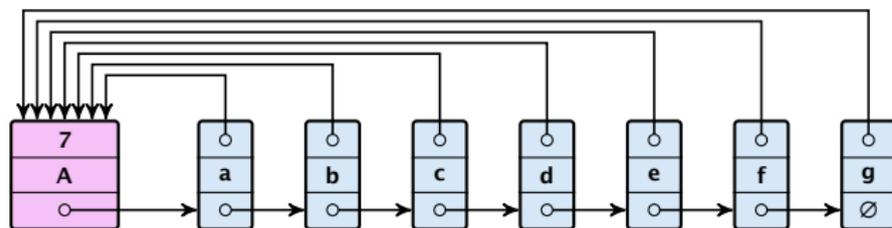
- ▶ The elements of a set are stored in a list; each node has a backward pointer to the head.
- ▶ The head of the list contains the identifier for the set and a field that stores the size of the set.



- ▶ `makeset(x)` can be performed in constant time.
- ▶ `find(x)` can be performed in constant time.

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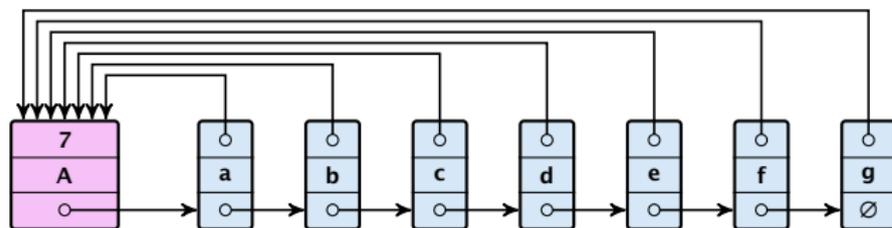
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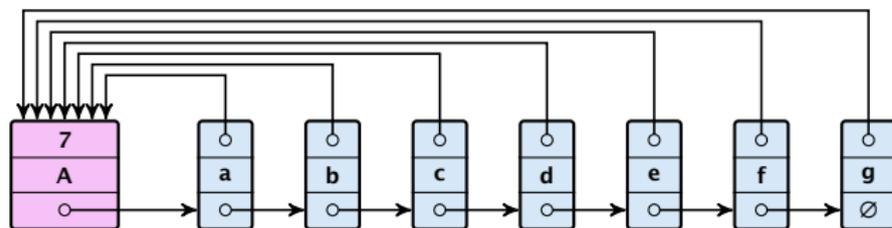
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## **union( $x, y$ )**

- ▶ Determine sets  $S_x$  and  $S_y$ .
- ▶ Traverse the smaller list (say  $S_y$ ), and change all backward pointers to the head of list  $S_x$ .
- ▶ Insert list  $S_y$  at the head of  $S_x$ .
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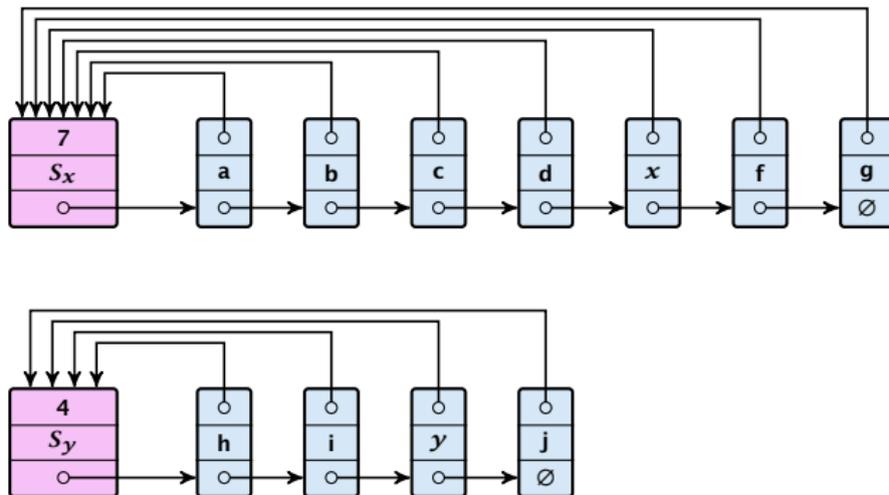
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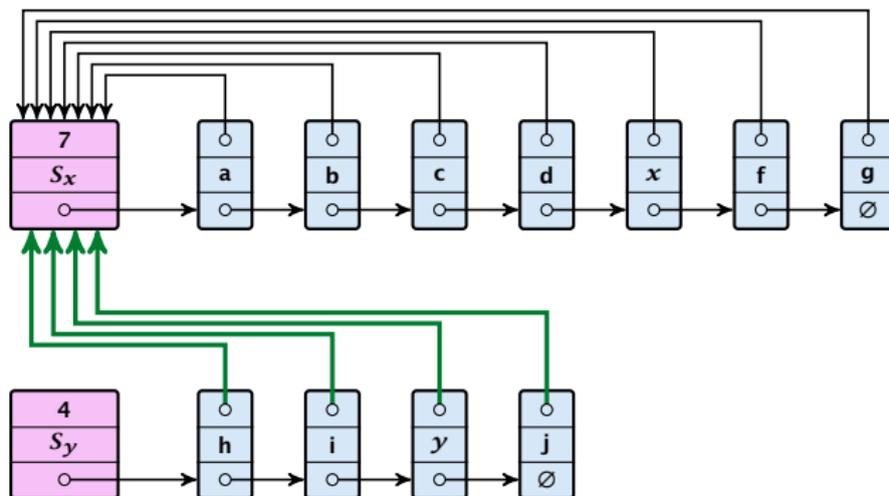
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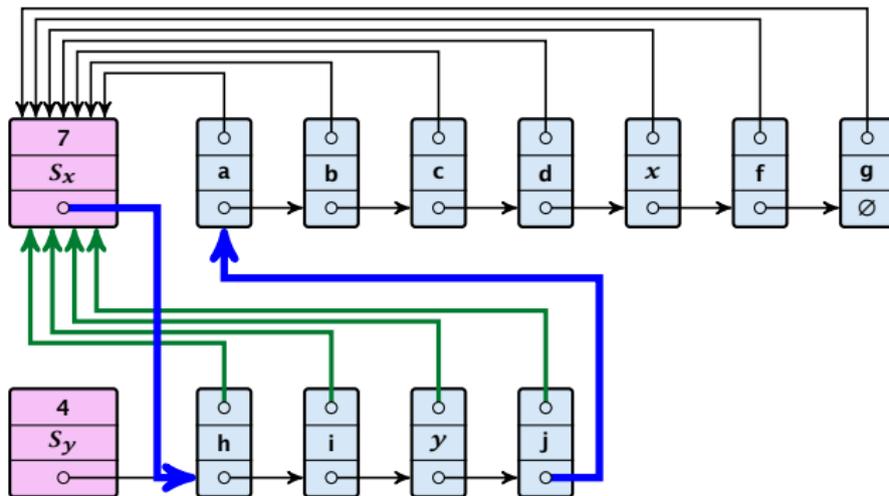
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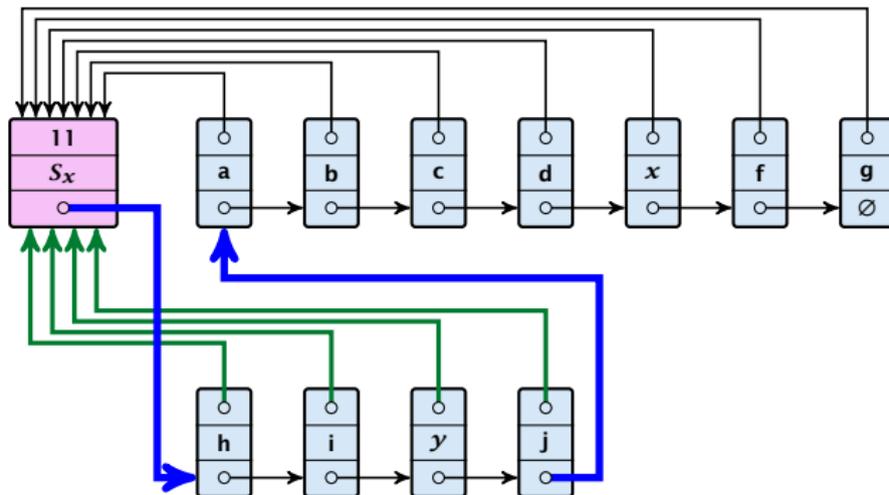
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## Running times:

- ▶  $\text{find}(x)$ : constant
- ▶  $\text{makeset}(x)$ : constant
- ▶  $\text{union}(x, y)$ :  $\mathcal{O}(n)$ , where  $n$  denotes the number of elements contained in the set system.

# List Implementation

## Lemma 1

*The list implementation for the ADT union find fulfills the following amortized time bounds:*

- ▶  $\text{find}(x): \mathcal{O}(1)$ .
- ▶  $\text{makeset}(x): \mathcal{O}(\log n)$ .
- ▶  $\text{union}(x, y): \mathcal{O}(1)$ .

# The Accounting Method for Amortized Time Bounds

- ▶ There is a bank account for every element in the data structure.
- ▶ Initially the balance on all accounts is zero.
- ▶ Whenever for an operation the amortized time bound exceeds the actual cost, the difference is credited to some bank accounts of elements involved.
- ▶ Whenever for an operation the actual cost exceeds the amortized time bound, the difference is charged to bank accounts of some of the elements involved.
- ▶ If we can find a charging scheme that guarantees that balances always stay positive the amortized time bounds are proven.

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# List Implementation

- ▶ For an operation whose actual cost exceeds the amortized cost we charge the **excess** to the elements involved.
- ▶ In total we will charge at most  $\mathcal{O}(\log n)$  to an element (regardless of the request sequence).
- ▶ For each element a makeset operation occurs as the first operation involving this element.
- ▶ We inflate the amortized cost of the makeset-operation to  $\Theta(\log n)$ , i.e., at this point we fill the bank account of the element to  $\Theta(\log n)$ .
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**makeSet( $x$ ):** The actual cost is  $\mathcal{O}(1)$ . Due to the cost inflation the amortized cost is  $\mathcal{O}(\log n)$ .

**find( $x$ ):** For this operation we define the amortized cost and the actual cost to be the same. Hence, this operation does not change any accounts. Cost:  $\mathcal{O}(1)$ .

**union( $x, y$ ):**

Let  $x$  and  $y$  be two disjoint sets. Let  $x$  be the smaller set. Then, the actual cost is

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- ▶ Otw. the actual cost is  $\mathcal{O}(\min\{|S_x|, |S_y|\})$ .
- ▶ Assume wlog. that  $S_x$  is the smaller set; let  $c$  denote the hidden constant, i.e., the actual cost is at most  $c \cdot |S_x|$ .
- ▶ Charge  $c$  to every element in set  $S_x$ .

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## Lemma 2

*An element is charged at most  $\lceil \log_2 n \rceil$  times, where  $n$  is the total number of elements in the set system.*

### Proof.

Whenever an element  $x$  is charged the number of elements in  $x$ 's set doubles. This can happen at most  $\lceil \log n \rceil$  times.  $\square$

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# Implementation via Trees

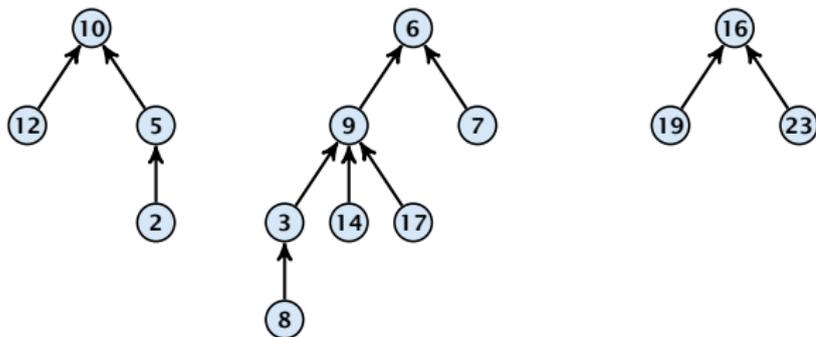
- ▶ Maintain nodes of a set in a tree.
- ▶ The root of the tree is the label of the set.
- ▶ Only pointer to parent exists; we cannot list all elements of a given set.
- ▶ Example:



Set system  $\{2, 5, 10, 12\}$ ,  $\{3, 6, 7, 8, 9, 14, 17\}$ ,  $\{16, 19, 23\}$ .

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## **makeset( $x$ )**

- ▶ Create a singleton tree. Return pointer to the root.
- ▶ Time:  $\mathcal{O}(1)$ .

## **find( $x$ )**

Start at element  $x$  in the tree, and repeatedly dereference the pointer

to the root.

Time complexity:  $\mathcal{O}(h)$ , where  $h$  is the height of the tree.

Amortized time:  $\mathcal{O}(1)$ , by the tree contraction lemma.

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- ▶ Start at element  $x$  in the tree. Go upwards until you reach the root.
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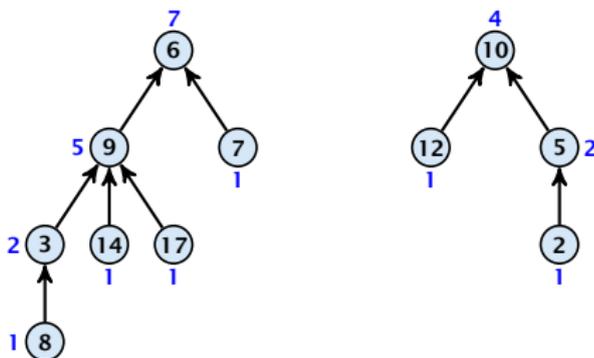
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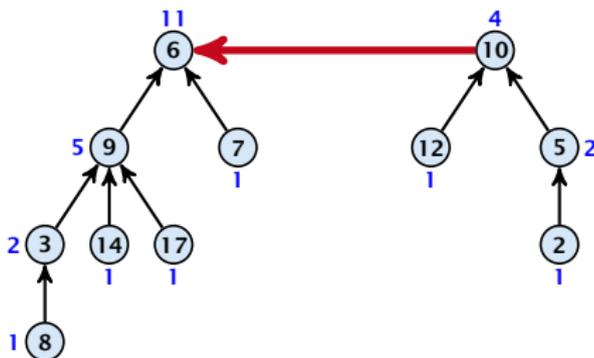


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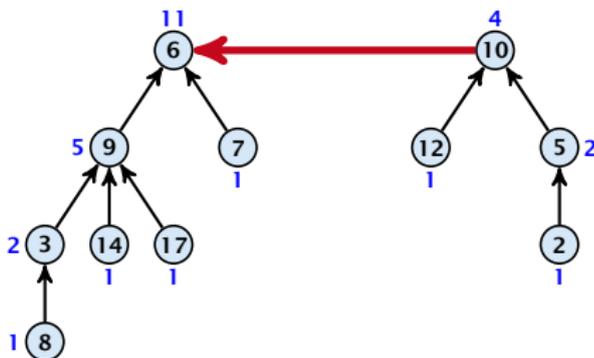


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- ▶ Time: constant for  $\text{link}(a, b)$  plus two find-operations.

# Implementation via Trees

## Lemma 3

The running time (non-amortized!!!) for  $\text{find}(x)$  is  $\mathcal{O}(\log n)$ .

Proof.

When we go from a node with rank  $r$  to a child of a node with rank  $r-1$ , we decrease the rank of the node by at least one. Since the rank of the root is at most  $\log n$ , the number of nodes visited during the search is at most  $\log n$ . Therefore, the running time of  $\text{find}(x)$  is  $\mathcal{O}(\log n)$ .



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The running time (non-amortized!!!) for  $\text{find}(x)$  is  $\mathcal{O}(\log n)$ .

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- ▶ When we attach a tree with root  $c$  to become a child of a tree with root  $p$ , then  $\text{size}(p) \geq 2 \text{size}(c)$ , where  $\text{size}$  denotes the value of the size-field right after the operation.
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The running time (non-amortized!!!) for  $\text{find}(x)$  is  $\mathcal{O}(\log n)$ .

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# Path Compression

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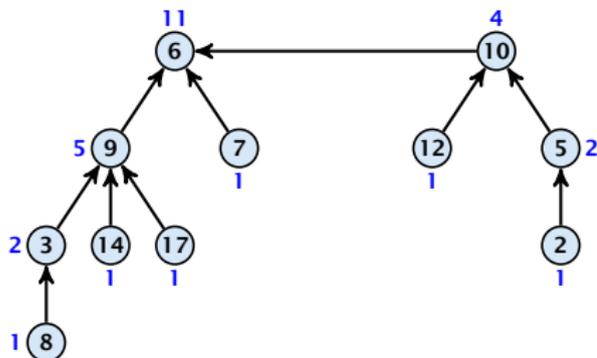
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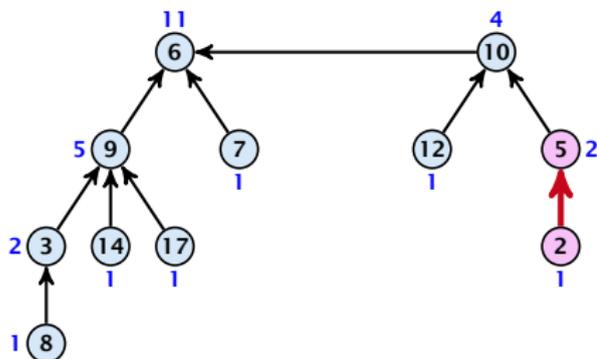
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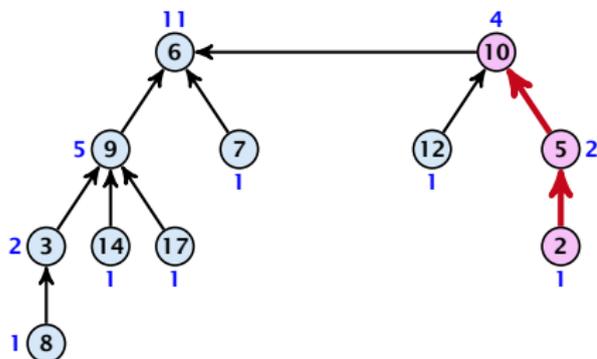


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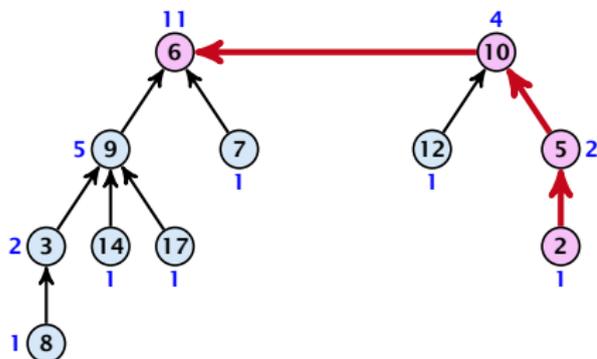


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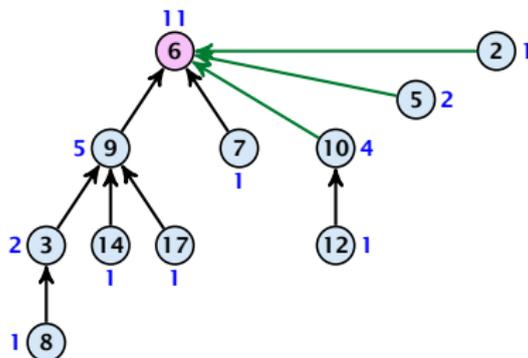


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# Amortized Analysis

## Definitions:

- $n(x)$ : the number of nodes that were in the subtree rooted at  $x$  when  $x$  became the child of another node (i.e. the number of nodes if  $x$  is the root).
- $r(x)$ : the rank of  $x$  is the same as the size of  $x$ 's subtree in the case that there are no find-operations.

## Lemma 4

*The rank of a parent must be strictly larger than the rank of a child.*

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- ▶  $\text{size}(v) :=$  the number of nodes that were in the sub-tree rooted at  $v$  when  $v$  became the child of another node (or the number of nodes if  $v$  is the root).

Note that this is the same as the size of  $v$ 's subtree in the case that there are no find-operations.

- ▶  $\text{rank}(v) = \lfloor \log(\text{size}(v)) \rfloor$ .
- ▶  $\Rightarrow \text{size}(v) \geq 2^{\text{rank}(v)}$ .

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# Amortized Analysis

## Lemma 5

There are at most  $n/2^s$  nodes of rank  $s$ .

Proof.

Let's say a node  $x$  has rank  $s$ . It has  $2^{s-1}$  children at the time that its parent is added.

Each of these children has rank  $s-1$  during the running time of the algorithm.

This being the case, the rank sequence of the roots of the  $2^{s-1}$  subtrees that contain  $x$  during the running time of the algorithm is  $s-1, s-2, \dots, 0$ .

Thus every node with rank  $s-1$  is a child of every rank  $s$  node. In other words, every rank  $s$  node is spanned by at least  $2^{s-1}$  different nodes. □

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### Proof.

- ▶ Let's say a node  $v$  sees node  $x$  if  $v$  is in  $x$ 's sub-tree at the time that  $x$  becomes a child.
- ▶ A node  $v$  sees at most one node of rank  $s$  during the running time of the algorithm.
- ▶ This holds because the rank-sequence of the roots of the different trees that contain  $v$  during the running time of the algorithm is a strictly increasing sequence.
- ▶ Hence, every node sees at most one rank  $s$  node, but every rank  $s$  node is seen by at least  $2^s$  different nodes. □

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## Theorem 6

*Union find with path compression fulfills the following amortized running times:*

- ▶  $\text{makeset}(x) : \mathcal{O}(\log^*(n))$
- ▶  $\text{find}(x) : \mathcal{O}(\log^*(n))$
- ▶  $\text{union}(x, y) : \mathcal{O}(\log^*(n))$

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In the following we assume  $n \geq 2$ .

rank-group:

A node with rank  $r$  has  $2^r$  children with rank  $r-1$ .

The rank-group  $r$  contains only nodes with rank  $r$  or

rank

A rank-group  $r$  contains at most

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- ▶ The rank-group  $g = 0$  contains only nodes with rank 0 or rank 1.
- ▶ A rank group  $g \geq 1$  contains ranks  $\text{tow}(g-1) + 1, \dots, \text{tow}(g)$ .
- ▶ The maximum non-empty rank group is  $\log^*(\lfloor \log n \rfloor) \leq \log^*(n) - 1$  (which holds for  $n \geq 2$ ).
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# Amortized Analysis

## Accounting Scheme:

- create an account for every find-operation
- create an account for every node

The cost for a find-operation is equal to the length of the path traversed. We charge the cost for going from  $v$  to  $\text{parent}[v]$  as follows:

- if  $v$  is the root we charge the cost to the account of  $v$
- if  $v$  is not the root we charge the cost to the account of  $\text{parent}[v]$
- if the credit-number of  $\text{parent}[v]$  is the same as that of  $v$  (before starting path compression) we charge the cost to the node-account of  $\text{parent}[v]$
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- ▶ if the grand-father of  $v$  is the root (the case of the root's grand-children) we charge the cost to the account of the root (before storing path compression) we charge the cost to the node's account
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## Observations:

- The number of changes done by the union-find for  $n$  nodes and  $m$  edges is  $O(m \log n)$  times when increasing the number of nodes.
- The number of changes done by the union-find is  $O(m \log n)$  times when increasing the number of the parent array elements.
- After some changes to  $n$ , the parent will be in a larger array group, and will never be changed again.
- The total change made by a node in rank group  $r$  is at most

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- ▶ After a node  $v$  is charged its parent-edge is re-assigned. The rank of the parent strictly increases.
- ▶ After some charges to  $v$  the parent will be in a larger rank-group.  $\Rightarrow v$  will never be charged again.
- ▶ The total charge made to a node in rank-group  $g$  is at most  $\text{tow}(g) - \text{tow}(g - 1) - 1 \leq \text{tow}(g)$ .

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$$\begin{aligned}n(g) &\leq \sum_{s=\text{tow}(g-1)+1}^{\text{tow}(g)} \frac{n}{2^s} = \frac{n}{2^{\text{tow}(g-1)+1}} \sum_{s=0}^{\text{tow}(g)-\text{tow}(g-1)-1} \frac{1}{2^s} \\ &\leq \frac{n}{2^{\text{tow}(g-1)+1}} \sum_{s=0}^{\infty} \frac{1}{2^s}\end{aligned}$$

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Hence,

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Hence,

$$\sum_g n(g) \text{tow}(g) \leq n(0) \text{tow}(0) + \sum_{g \geq 1} n(g) \text{tow}(g) \leq n \log^*(n)$$

# Amortized Analysis

Without loss of generality we can assume that all **makeset**-operations occur at the start.

This means if we inflate the cost of **makeset** to  $\log^* n$  and add this to the node account of  $v$  then the balances of all node accounts will sum up to a positive value (this is sufficient to obtain an amortized bound).

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# Amortized Analysis

The analysis is not tight. In fact it has been shown that the amortized time for the union-find data structure with path compression is  $\mathcal{O}(\alpha(m, n))$ , where  $\alpha(m, n)$  is the inverse Ackermann function which grows a lot lot slower than  $\log^* n$ . (Here, we consider the average running time of  $m$  operations on at most  $n$  elements).

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# Amortized Analysis

$$A(x, y) = \begin{cases} y + 1 & \text{if } x = 0 \\ A(x - 1, 1) & \text{if } y = 0 \\ A(x - 1, A(x, y - 1)) & \text{otw.} \end{cases}$$

$$\alpha(m, n) = \min\{i \geq 1 : A(i, \lfloor m/n \rfloor) \geq \log n\}$$

- ▶  $A(0, y) = y + 1$
- ▶  $A(1, y) = y + 2$
- ▶  $A(2, y) = 2y + 3$
- ▶  $A(3, y) = 2^{y+3} - 3$
- ▶  $A(4, y) = \underbrace{2^{2^{2^2}}}_{y+3 \text{ times}} - 3$

