

# Union-Find with Balancing and Path Compression

run time analysis

the most famous run time analysis there is

## review: algorithm

- make-set

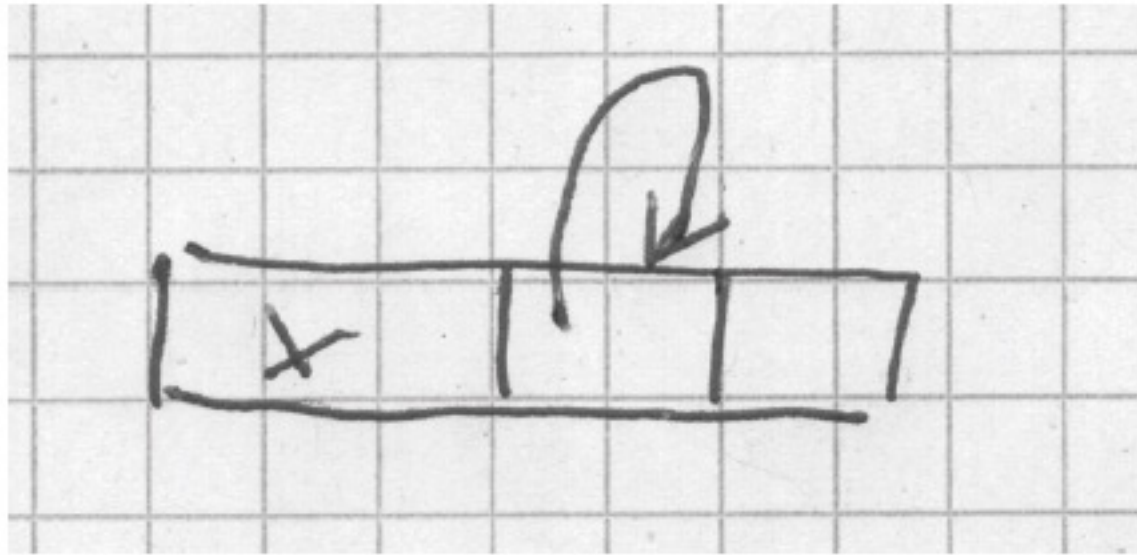


Figure 1: a record which points to itself is a root/representative

---

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make-set (x) :  
TEA[x].e = x;  
p(x) := x;  r(x) := 0
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---

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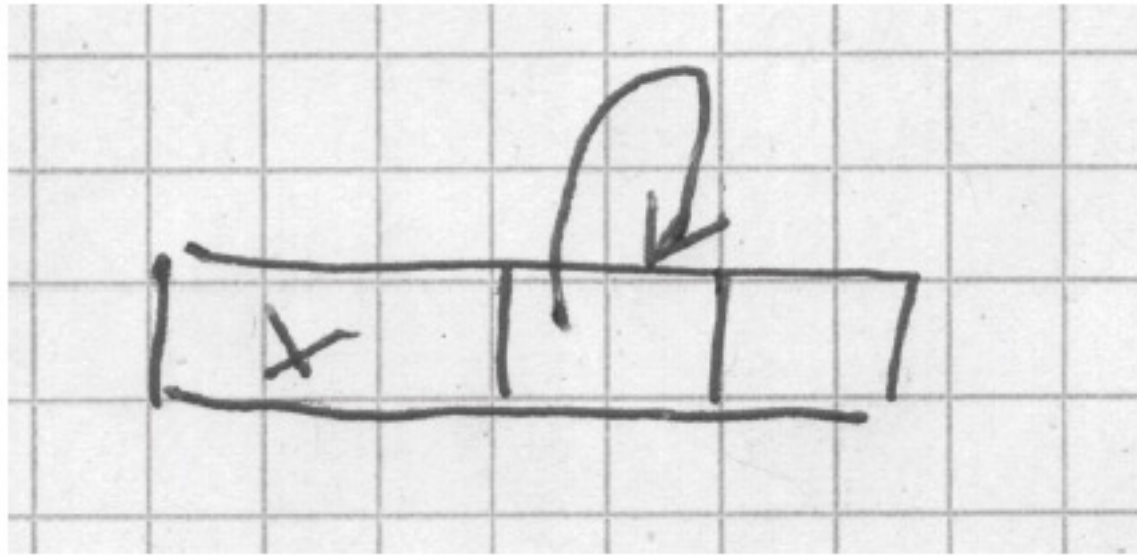


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- union and link with balancing

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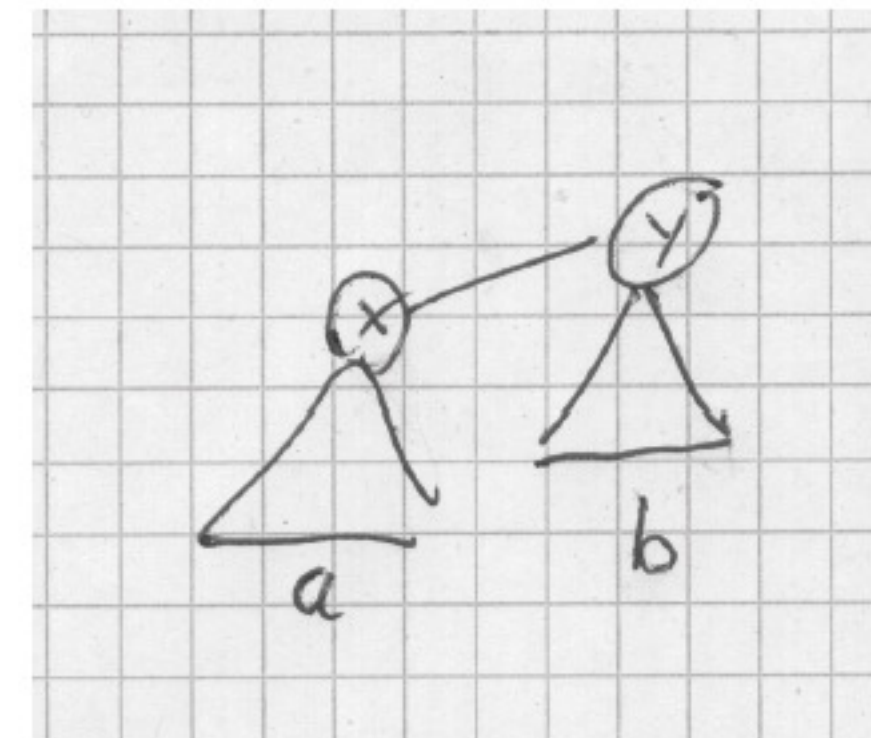
```
union(x, y) : link(find(x), find(y))
```

---

---

```
link(x, y) :  
if r(x) < r(y) {p(x) := y} /*make y predecessor of x*/;  
if r(x) > r(y) {p(y) := x} /*make x predecessor of y*/;  
if r(x) = r(y) {p(x) := y; r(y) = r(y) + 1} /*increase rank of y*/
```

---



## review: algorithm

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```
find(x): if x != p(x)
{ p(x) := find(p(x)) } /*recursive call with side effect*/
return p(x)
```

---

find with path compression

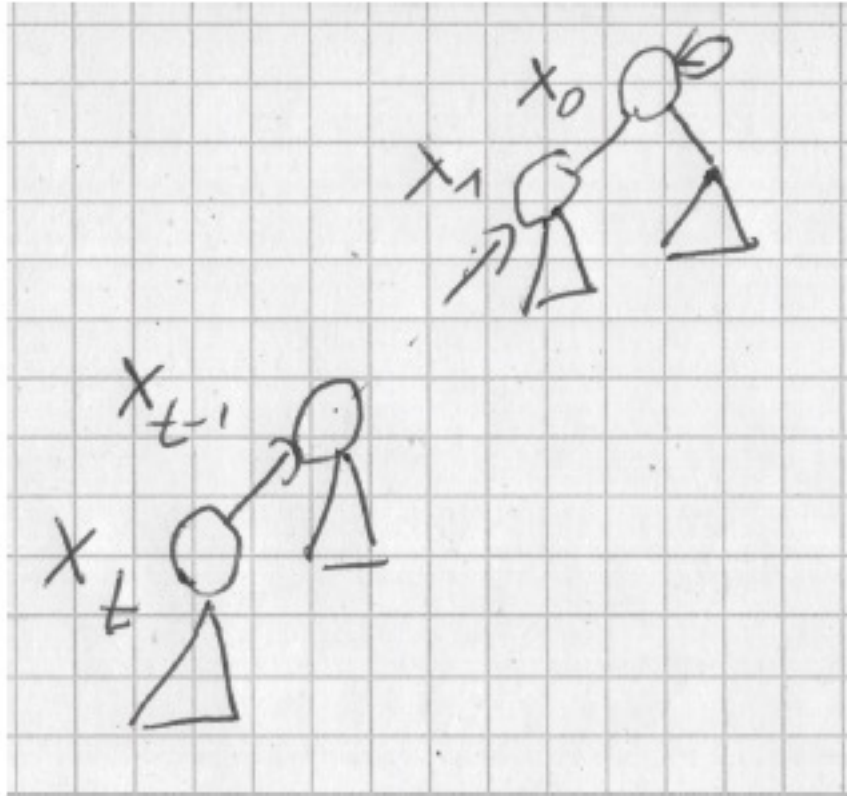


Figure 3: parent chasing from  $x = x_t$  touches elements  $x_{t-1}, \dots, x_0$

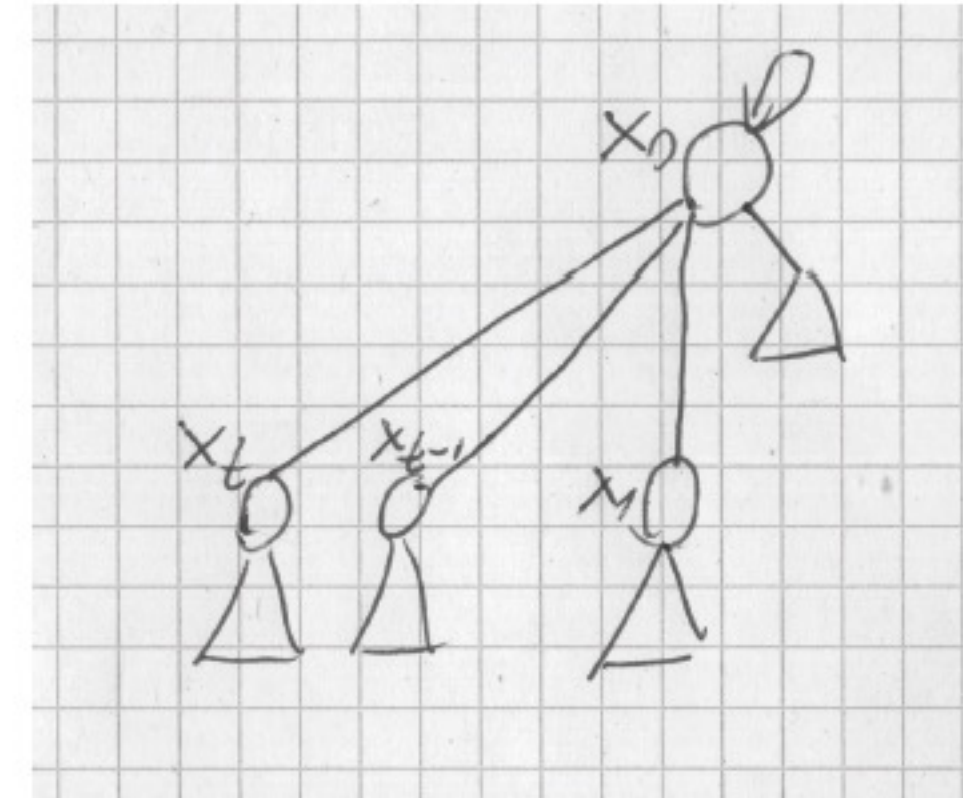


Figure 4: after path compression all nodes  $x_t, \dots, x_1$  are sons of the root  $x_0$

## review: Ackermann's function

Iterating  $i$  times function  $f$ :

$$\begin{aligned}f^{(0)}(j) &= j \\f^{(i+1)}(j) &= f(f^{(i)}(j))\end{aligned}$$

$$A_k(j) = \begin{cases} j+1 & k=0 \\ A_{k-1}^{(j+1)}(j) \end{cases}$$



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$$A_0(j) = j+1 = S(j)$$

**Lemma 1.**

$$A_1(j) = 2j+1$$

**Lemma 2.**

$$A_2(j) = 2^{j+1}(j+1) - 1$$

**Lemma 3.**

$$A_k(j) < A_k(j+1)$$

*Proof.* exercise

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**def:** 'inverse Ackermann function'

$$\alpha(n) = \min\{k \mid A_k(1) \geq n\}$$

$$\alpha(n) = \begin{cases} 0 & 0 \leq n \leq 2 \\ 1 & n = 3 \\ 2 & 4 \leq n \leq 7 \\ 3 & 8 \leq n \leq 2047 \\ 4 & 2048 \leq n \leq A_4(1) \end{cases}$$

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**theorem:**

run time of union-find algorithm with path compression:  $O(n + m \cdot \alpha(n))$



## properties of rank

### Lemma 4.

1. ranks are nondecreasing along parent edges

$$r(x) \leq r(p(x))$$

2. they are strictly along edges increasing except at roots

$$r(x) < r(p(x)) \leftrightarrow x \neq p(x)$$

3. ranks are strictly increasing along a path to a root

4. ranks of parents increase in time

$$r(p(x)) \leq r'(p'(x))$$

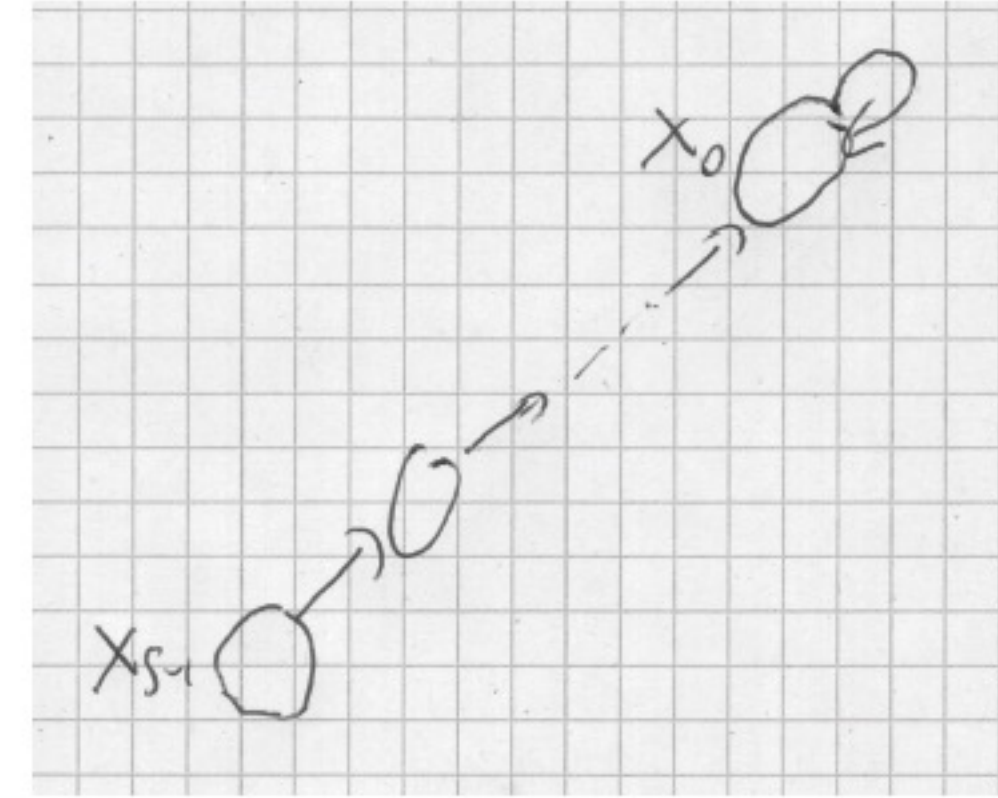


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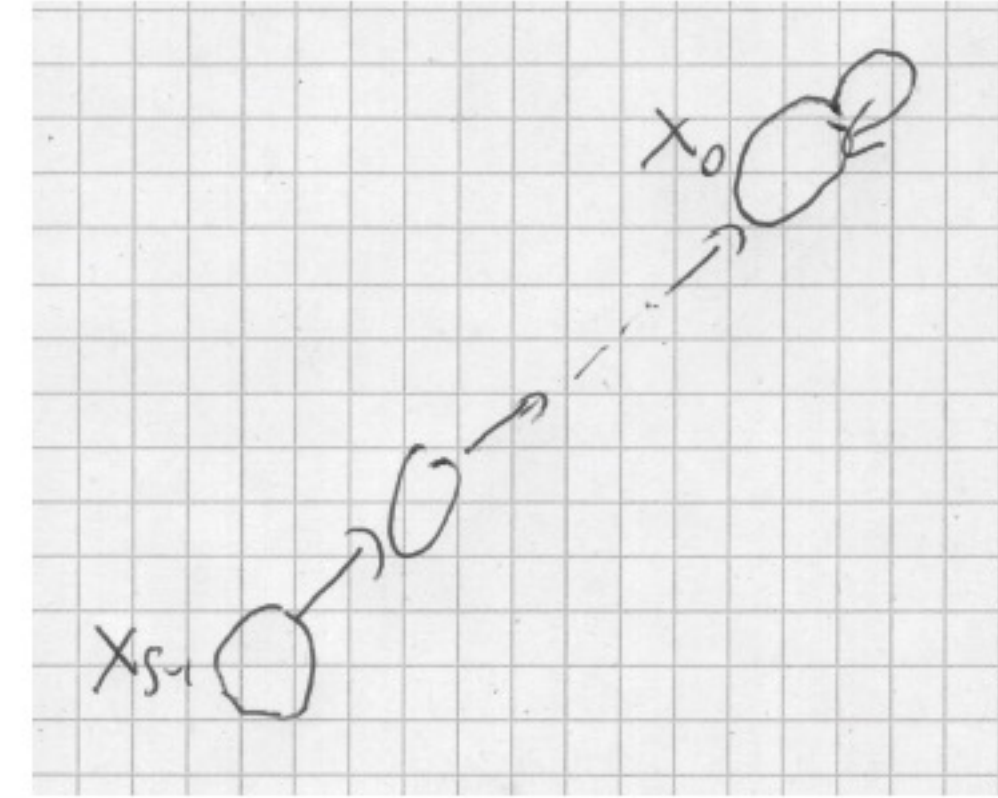


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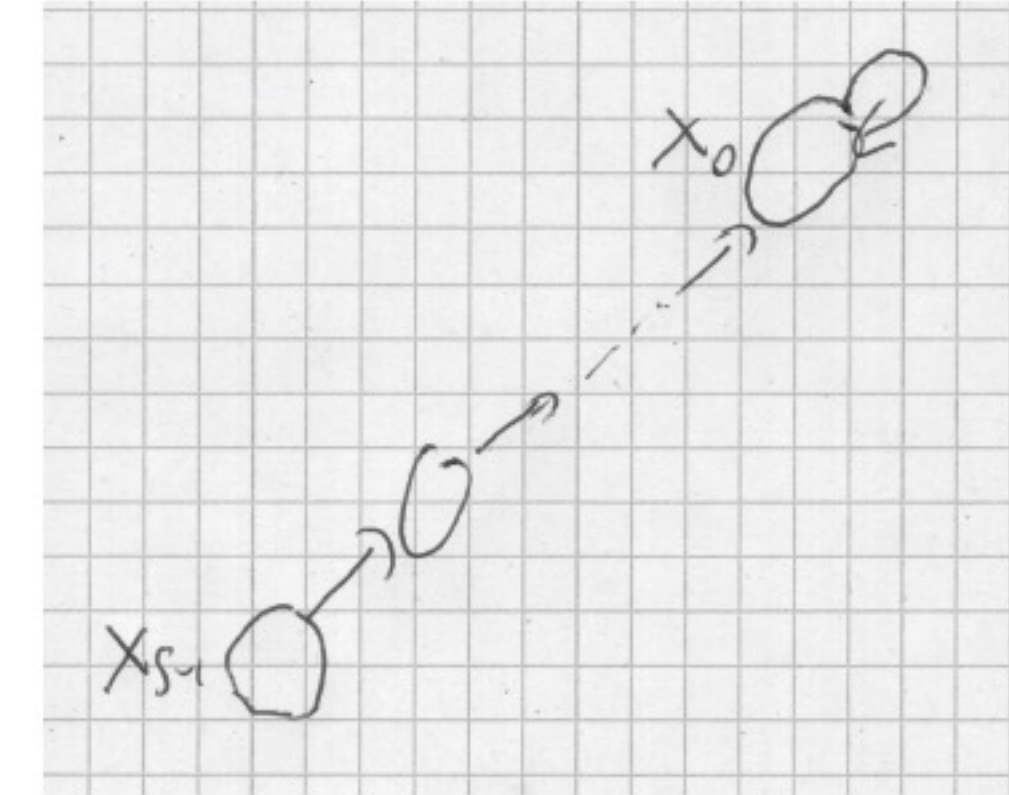


Figure 5: On a path to the root we have  $r(x_{s-1}) < \dots < r(x_0)$

- Now prove 1 and 2 by induction on link and find operations. Details: exercise.
- 3 follows from 1 and 2.
- 4 follows from 3 and the algorithms for link and path compressions. Details: exercise.



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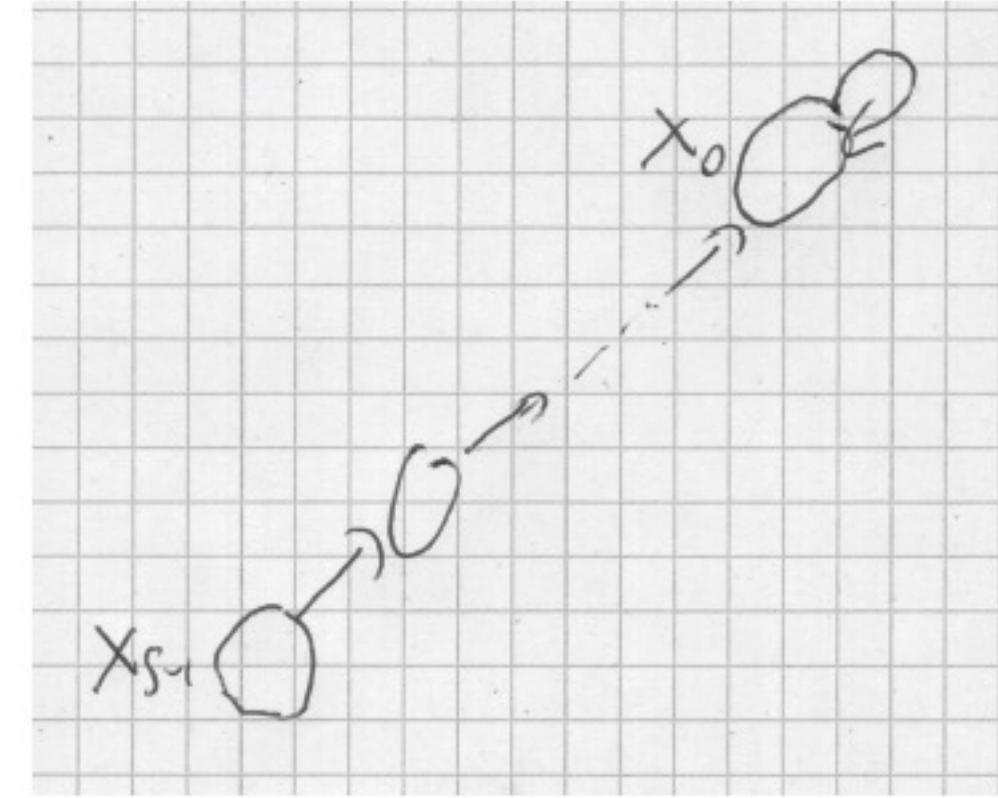


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### Lemma 5.

$$r(x) \leq n - 1$$

*Proof.* trivial induction on link operations: increase rank at most by 1. At most  $n - 1$  such operations possible.  $\square$

## counting make-set, find and link operations

**Lemma 6.** *Let*

- $m'$ : *number of make-set, find and union operations*
- $m$ : *number of mak-set, find and link operations*

*Then*

$$m' \leq m \leq 3m'$$



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Then

$$m' \cdot \alpha(m') = O(m \cdot \alpha(m))$$

Thus it sufices to estimate time for  $m$  make-set, find and link operations

## partial definition of potential function

- $\phi_q(x)$ : potential at node  $x$  after  $q$  operations
- $\Phi_q$ : potential after  $q$  operations

$$\Phi_q = \sum_x \phi_q(x)$$

$$\Phi_0 = 0$$

- invariant:

$$\Phi_q \geq 0$$

### partial definition of potential function:

for roots or nodes with rank 0:

$$x = p(x) \vee r(x) = 0 \rightarrow \phi(x) = \alpha(n) \cdot r(x)$$

## level

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### auxiliary function: level:

For  $x$  with

$$x \neq p(x) \wedge r(x) \neq 0$$

define

$$\ell(x) = \max\{k \mid r(p(x)) \geq A_k(r(x))\}$$

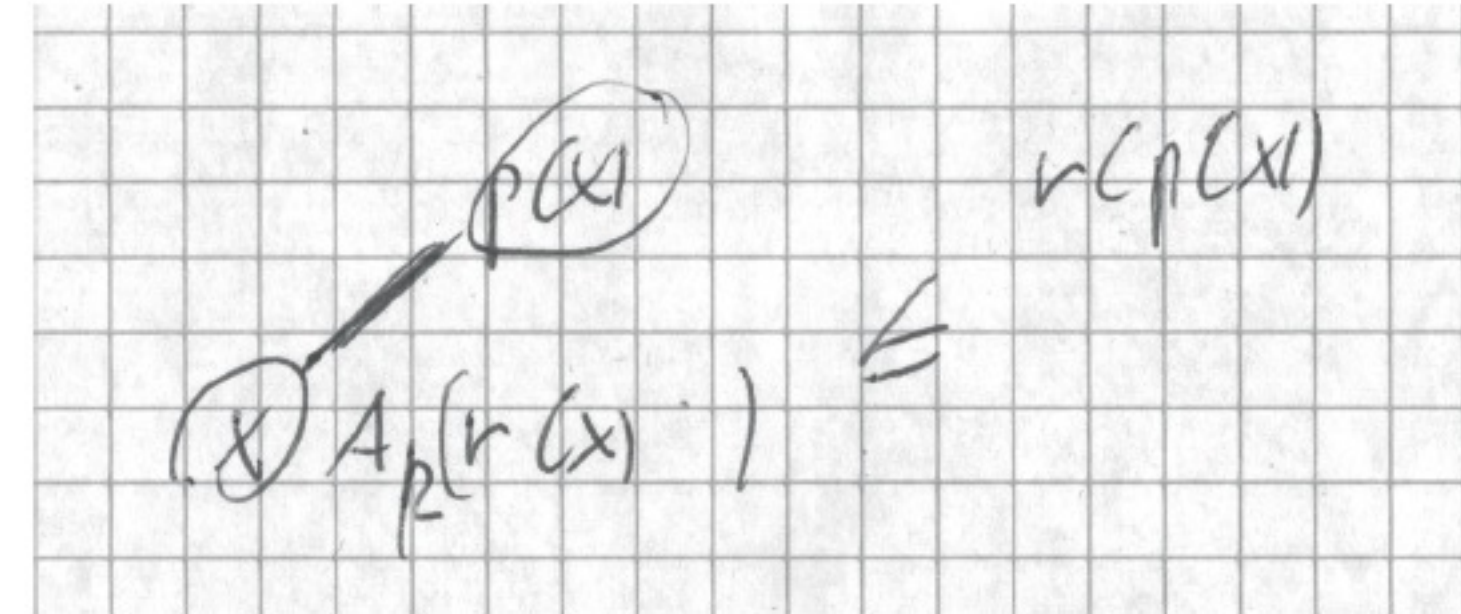


Figure 6:  $\ell(x)$  is the largest  $k$  for which this inequality applies

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eqn. 21.1 in [CLRS]:

**Lemma 7.**

$$0 \leq \ell(x) < \alpha(n)$$

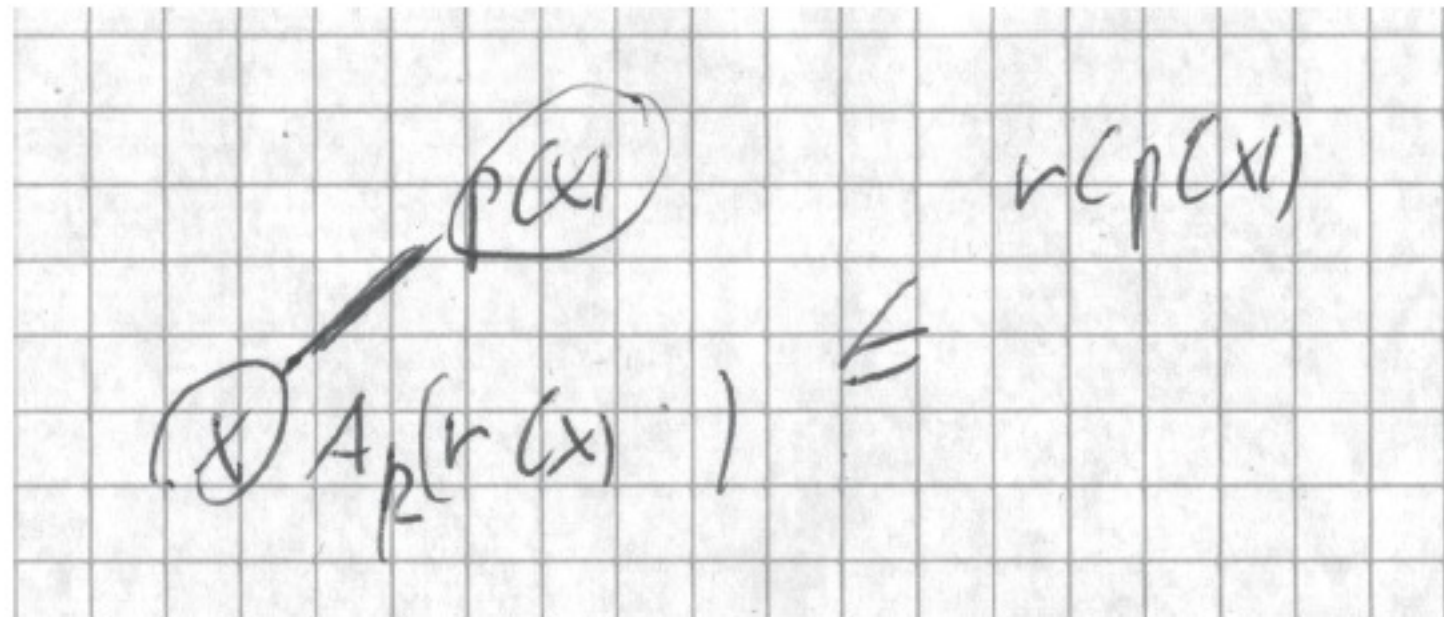


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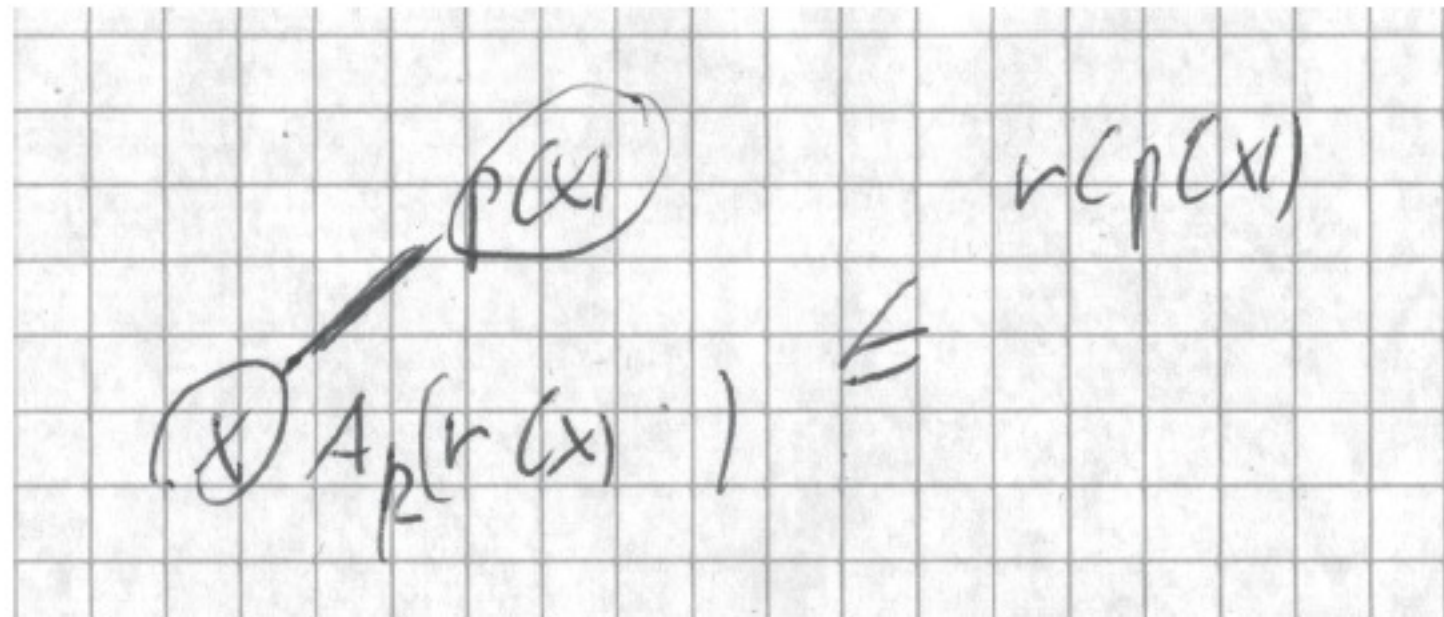


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$$\begin{aligned} A_0(r(x)) &= r(x) + 1 && \text{(def. of } A_0) \\ &\leq r(p(x)) && \text{(lemma 4)} \end{aligned}$$

$$\rightarrow \ell(x) \geq 0$$

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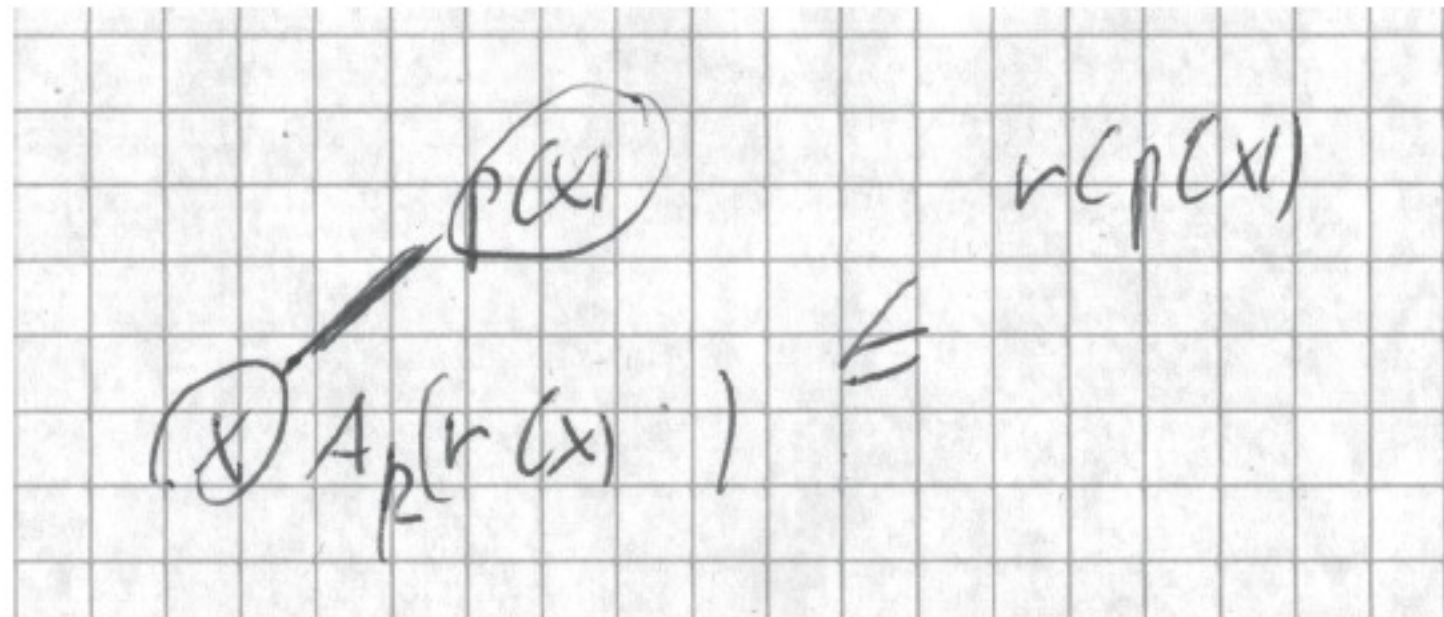


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$$\begin{aligned} r(p(x)) &< n \quad (\text{lemma 5}) \\ &\leq A_{\alpha(n)}(1) \quad (\text{def. of } \alpha(n)) \\ &\leq A_{\alpha(n)}(r(x)) \quad (\text{lemma 3}) \end{aligned}$$

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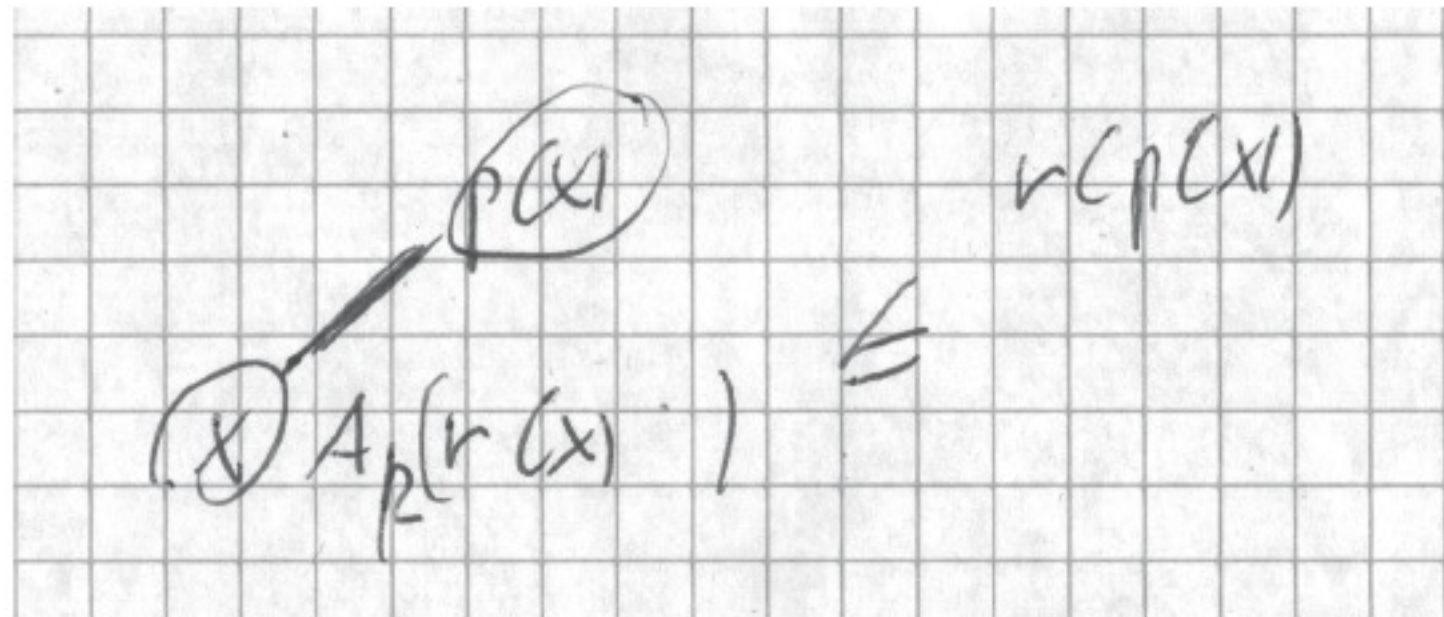


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$$\rightarrow \ell(x) \leq \alpha(n)$$

**Lemma 8.** *Ranks of predecessors and hence levels increase in time. For each operation*

$$r(p(x)) \leq r'(p'(x))$$

$$\cancel{\ell'(x) \leq \ell'(x)} \quad \ell(x) \leq \ell'(x)$$

*Proof.* Exercise. Attention: parents change during find operations. □



iter

**auxiliary function: iter:**

$$i(x) = \max\{i \mid A_{\ell(x)}^{(i)}(r(x)) \leq r(p(x))\}$$

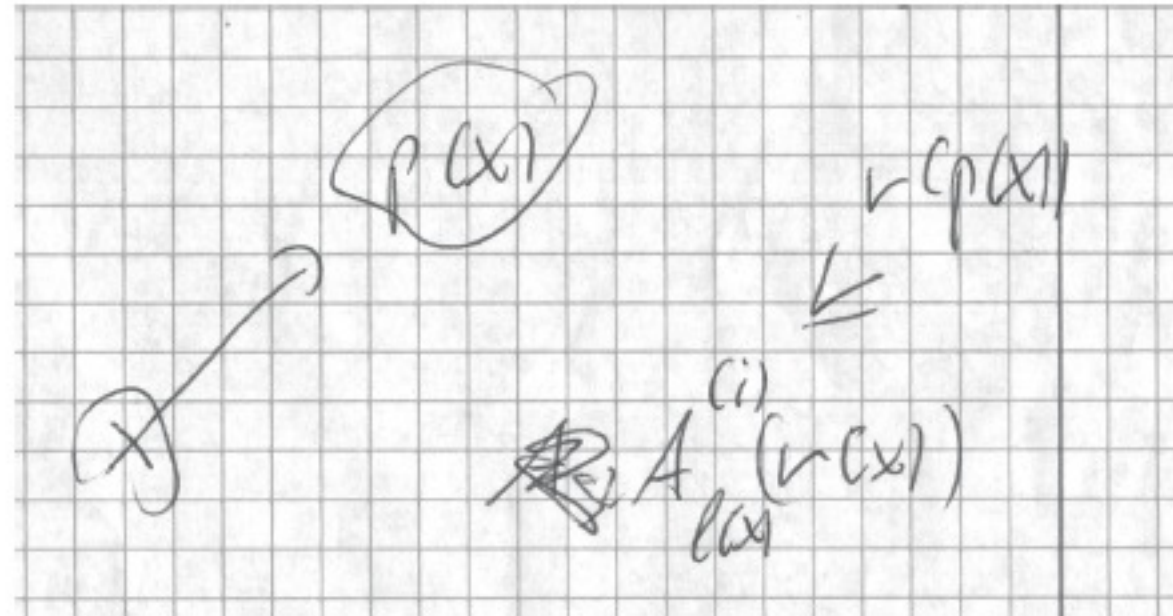


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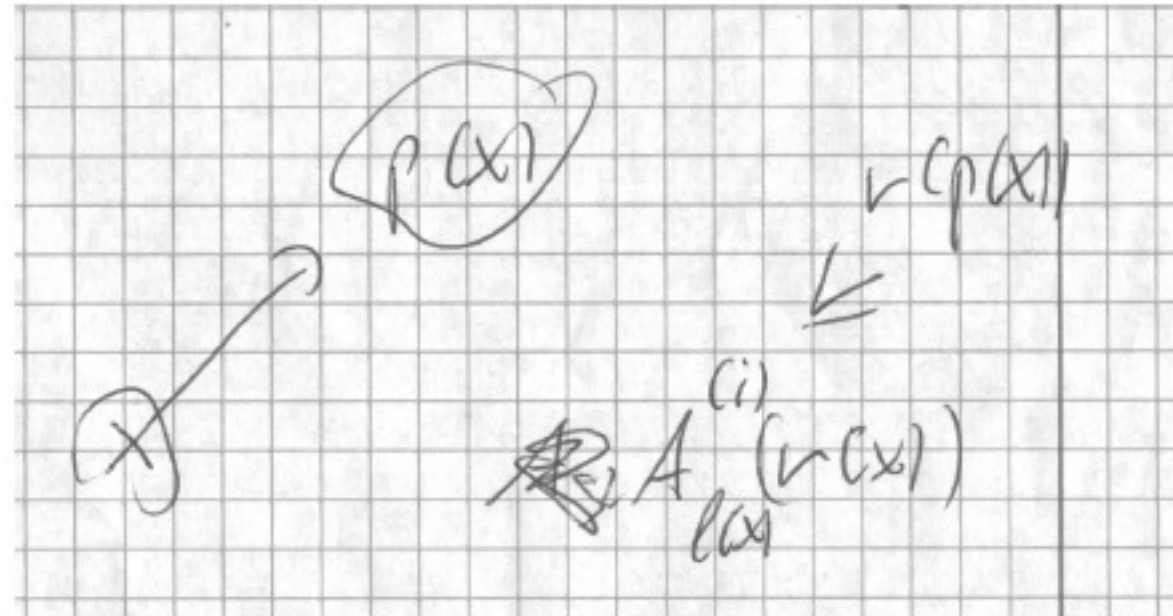


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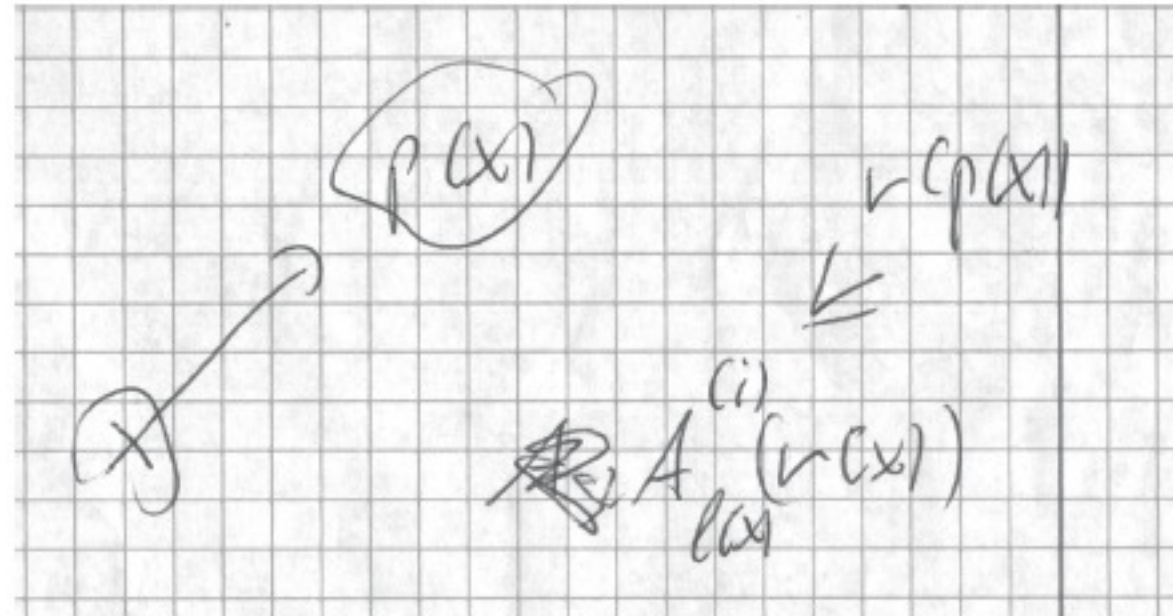
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$$\begin{aligned} A_{\ell(x)}^1(r(x)) &= A_{\ell(x)}(r(x)) \quad (\text{def. of iteration}) \\ &\leq r(p(x)) \quad (\text{def. of } \ell) \end{aligned}$$

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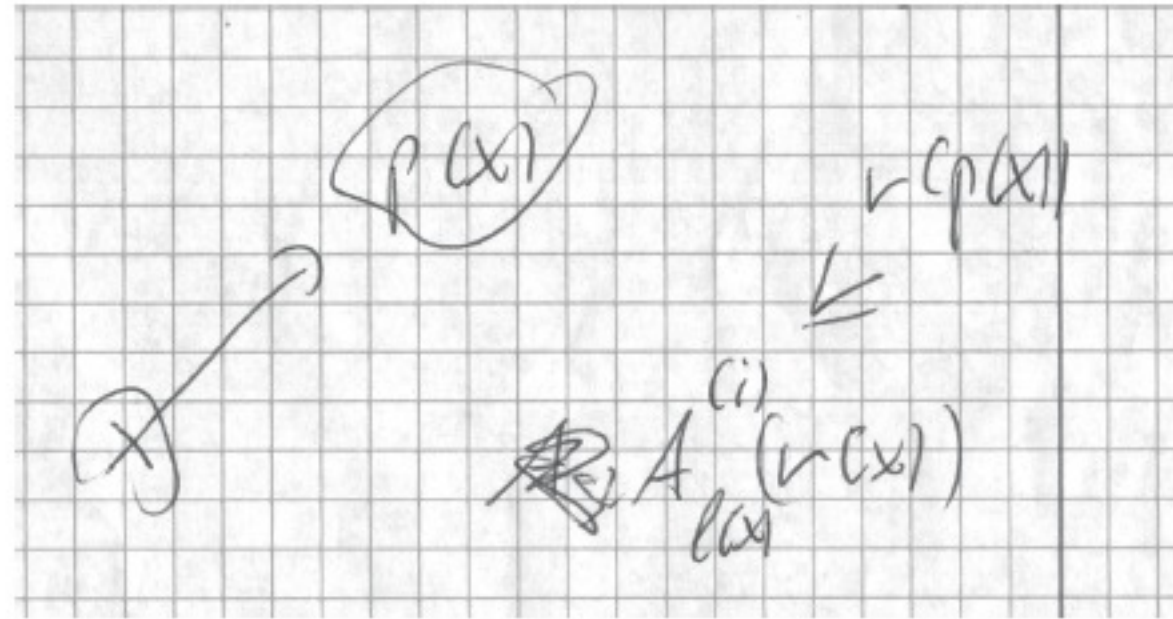


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$$\begin{aligned} r(p(x)) &< A_{\ell(x)+1}(r(x)) \quad (\text{def. of } \ell) \\ &= A_{\ell(x)}^{(r(x)+1)}(r(x)) \quad (\text{def. of } A_k(j)) \end{aligned}$$

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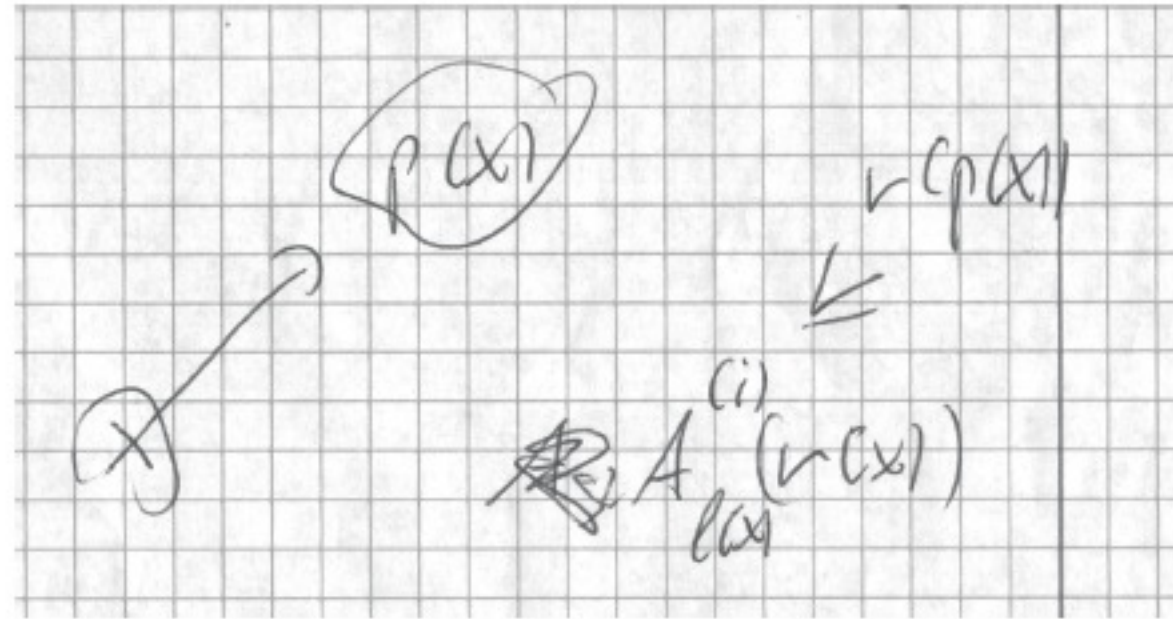


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$$i \leq r(x)$$

From  $r(p(x)) \leq r'(p'(x))$  follows

**Lemma 10.**

$$\ell'(x) = \ell(x) \rightarrow i(x) \leq i'(x)$$

$$i'(x) < i(x) \rightarrow \ell(x) < \ell'(x)$$

## potential function

**def. of potential function**

$$\phi(x) = \begin{cases} \alpha(n) \cdot r(n) & x = p(x) \vee r(x) = 0 \\ (\alpha(n) - \ell(x)) \cdot r(x) - i(x) & \text{otherwise} \end{cases}$$

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$$\begin{aligned} \phi(x) &= (\alpha(n) - \ell(x)) \cdot r(x) - i(x) \\ &\geq (\alpha(n) - (\alpha(n) - 1)) \cdot r(n) - r(x) \quad (\text{lemmas 7 and 9}) \\ &= 0 \end{aligned}$$

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## the heavy weapon

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**Lemma 12.** *Let  $x \neq p(x)$ , i.e.  $x$  is not a root and suppose a link or find operation is executed. Then*

- *the potential of  $x$  does not increase*

$$\phi'(x) \leq \phi(x)$$

- *if  $r(x) \geq 1$  and if  $\ell(x)$  or  $i(x)$  change*

$$r(x) \geq 1 \wedge (\ell'(x) \neq \ell(x) \vee i'(x) \neq i(x))$$

*then the potential  $\phi(x)$  decreases*

$$\phi'(x) \leq \phi(x) - 1$$

$$x \neq p(x) \rightarrow r(x) = r'(x)$$

$$r(x) = 0 \rightarrow \phi(x) = \phi'(x) = 0$$



## the heavy weapon

### def. of potential function

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$$r(x) = 0 \rightarrow \phi(x) = \phi'(x) = 0$$

Assume  $r(x) \geq 0$

- 

$$\ell(x) = \ell'(x) \rightarrow i(x) \leq i'(x) \quad (\text{lemma 10})$$

$$i(x) = i'(x) \rightarrow \phi'(x) = \phi(x)$$

$$i'(x) \geq i(x) + 1 \rightarrow \phi'(x) \leq \phi(x) - 1$$

## the heavy weapon

### def. of potential function

$$\phi(x) = \begin{cases} \alpha(n) \cdot r(n) & x = p(x) \vee r(x) = 0 \\ (\alpha(n) - \ell(x)) \cdot r(x) - i(x) & \text{otherwise} \end{cases}$$

**Lemma 12.** *Let  $x \neq p(x)$ , i.e.  $x$  is not a root and suppose a link or find operation is executed. Then*

- *the potential of  $x$  does not increase*

$$\phi'(x) \leq \phi(x)$$

- *if  $r(x) \geq 1$  and if  $\ell(x)$  or  $i(x)$  change*

$$r(x) \geq 1 \wedge (\ell'(x) \neq \ell(x) \vee i'(x) \neq i(x))$$

*then the potential  $\phi(x)$  decreases*

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•

$$\ell'(x) \geq \ell(x) + 1$$

$$\begin{aligned} \phi(x) - \phi'(x) &= (\alpha(n) - \ell(x)) \cdot r(x) - i(x) - ((\alpha(n) - \ell'(x)) \cdot r(x) - i'(x)) \\ &= (\ell'(x) - \ell(x)) \cdot r(x) + i'(x) - i(x) \\ &\geq r(x) + i'(x) - i(x) \\ &\geq r(x) + 1 - r(x) \quad (\text{lemma 9}) \\ &= 1 \end{aligned}$$

## amortized cost of operations: make-set

**def. of potential function**

$$\phi(x) = \begin{cases} \alpha(n) \cdot r(n) & x = p(x) \vee r(x) = 0 \\ (\alpha(n) - \ell(x)) \cdot r(x) - i(x) & \text{otherwise} \end{cases}$$

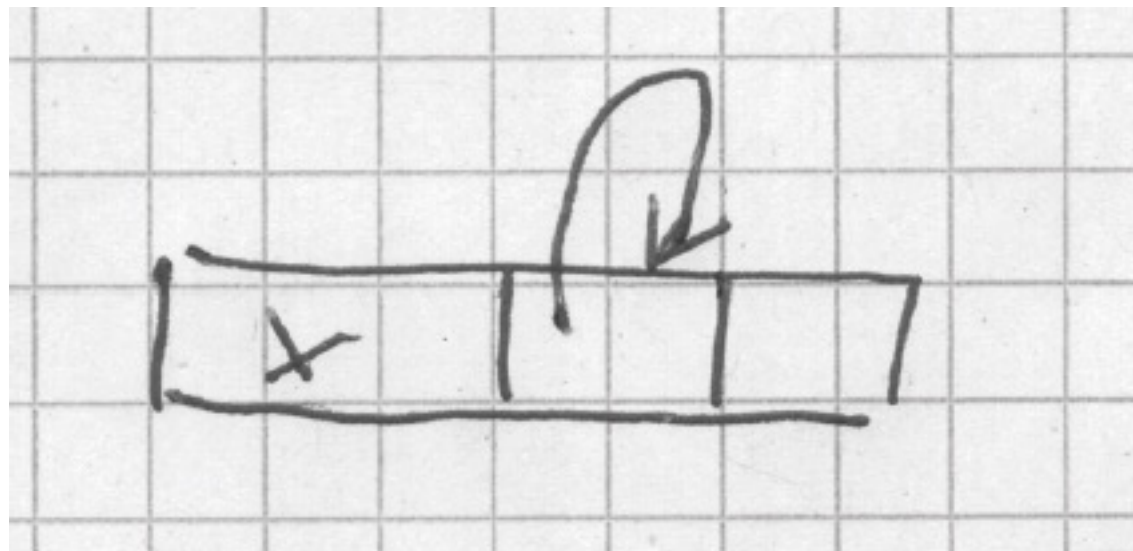
**make-set:**

**Lemma 13.**

$$op = make - set(x) \rightarrow \hat{c} = O(1)$$

*Proof.*

$$\phi'(x) = 0, \Phi' = \Phi, \hat{c} = c + \Phi' - \Phi = c$$





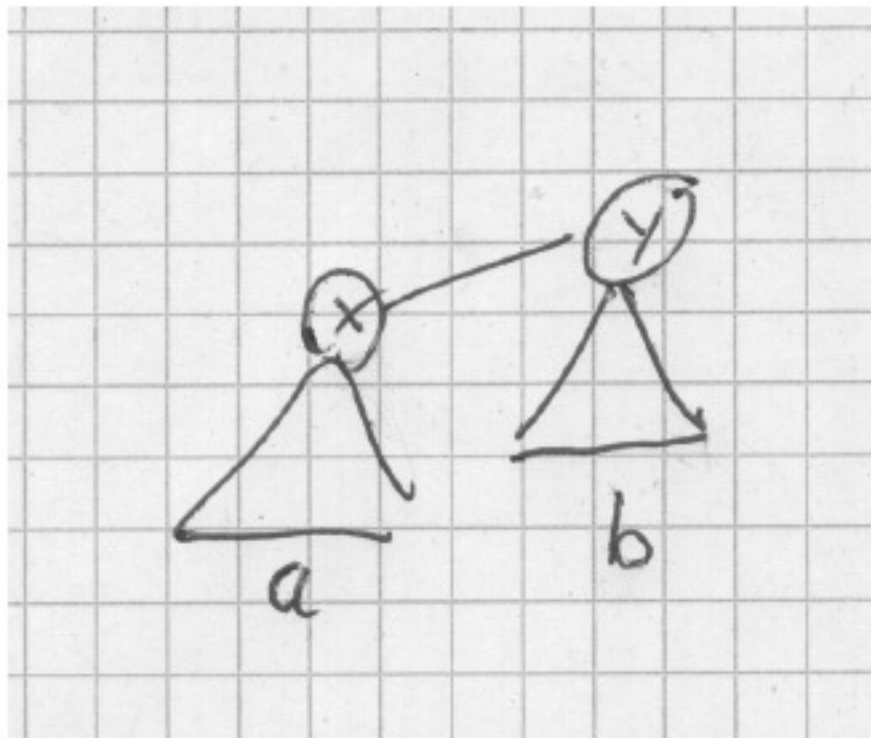
## amortized cost of operations: link

**def. of potential function**

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**Lemma 14.**

$$op = \text{link}(x, y) \rightarrow \hat{c} = O(\alpha(n))$$



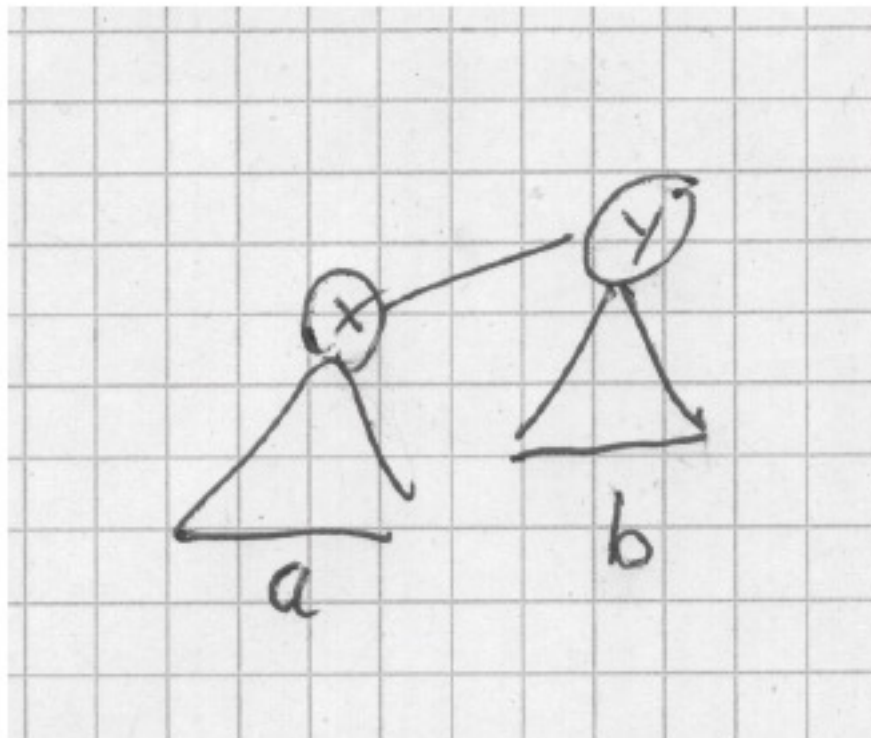
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**Lemma 14.**

$$op = \text{link}(x, y) \rightarrow \hat{c} = O(\alpha(n))$$



- nodes  $z$  which are no root. Potential not increasing.

$$z \notin \{x, y\} \rightarrow \phi'(z) \leq \phi(z) \quad (\text{lemma 12})$$

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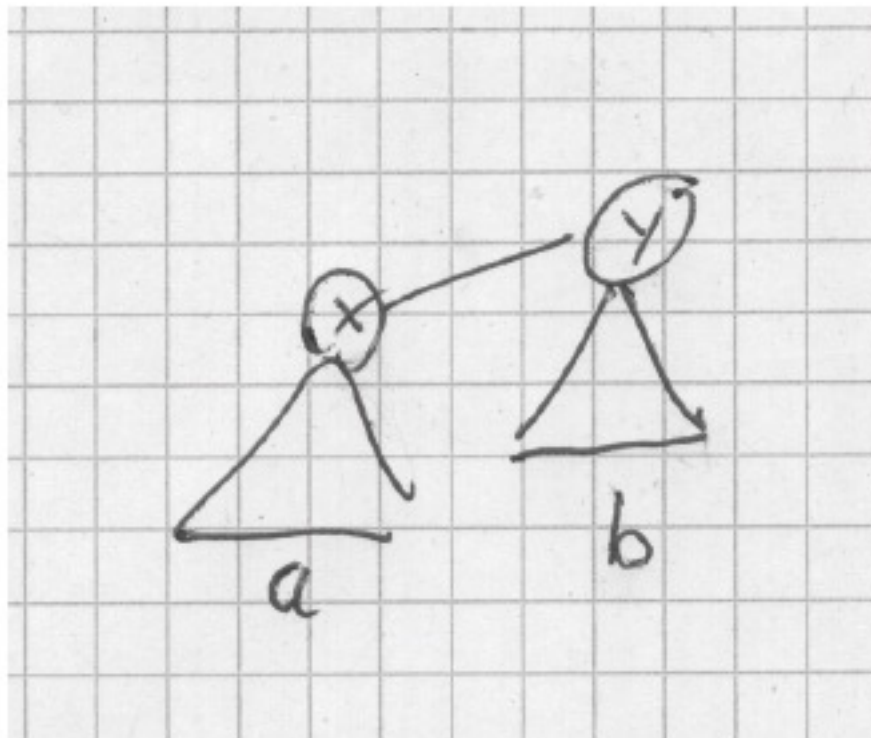
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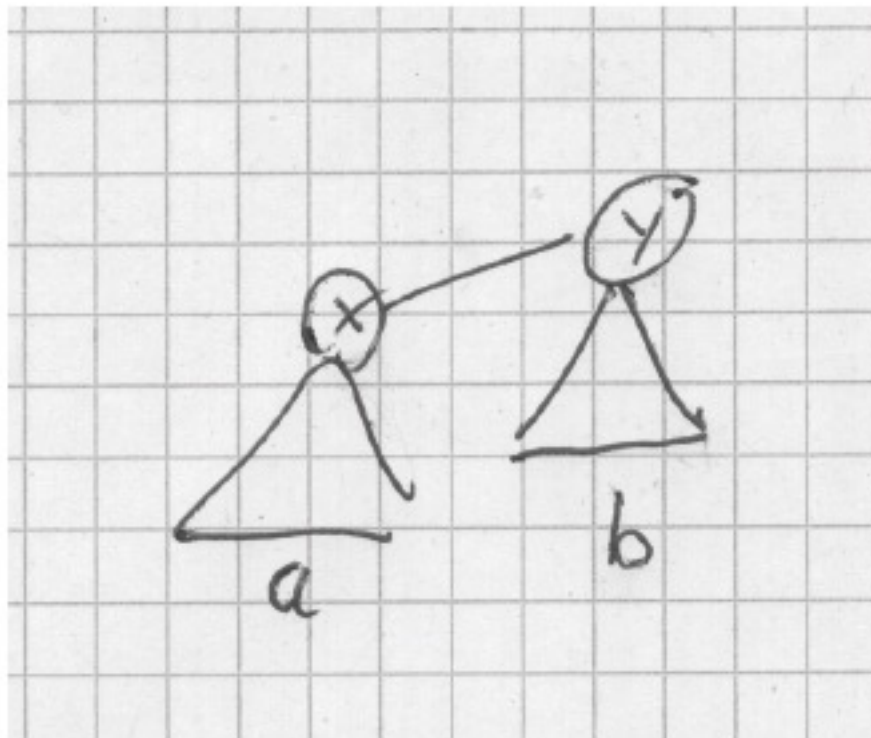
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case  $r(x) > 0$ : potential falling.

$$\begin{aligned} \phi'(x) &= (\alpha(n) - \ell'(x)) \cdot r'(x) - i'(x) \\ &= (\alpha(n) - \ell'(x)) \cdot r(x) - i'(x) \\ &\leq \alpha(n) \cdot r(x) - 1 \quad (\text{lemmas 7 and 9}) \\ &= \phi(x) - 1 \end{aligned}$$

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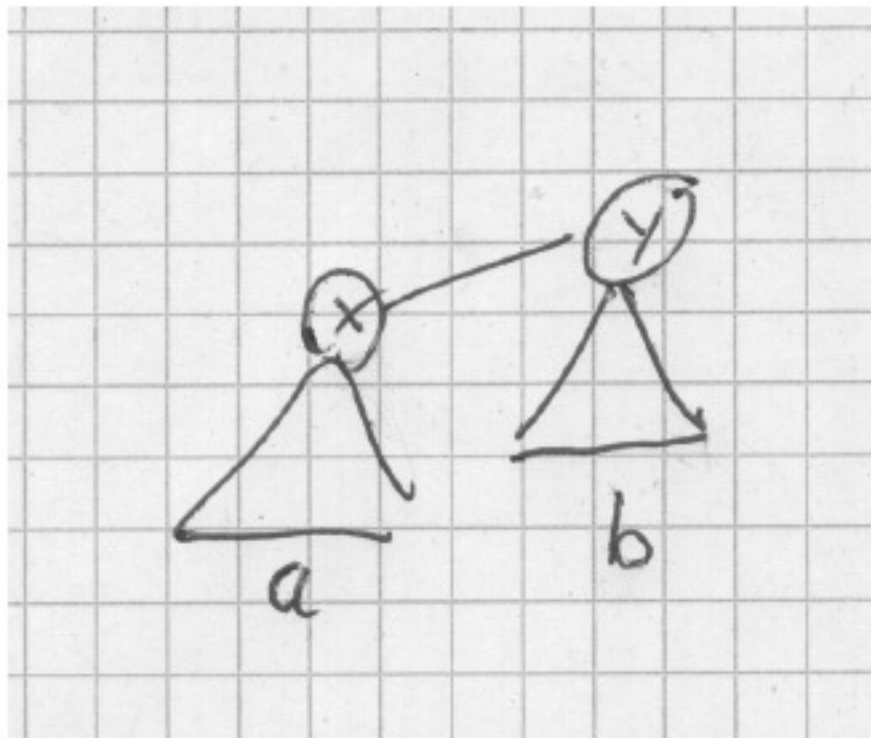
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$$r'(y) \in \{r(y), r(y) + 1\}$$

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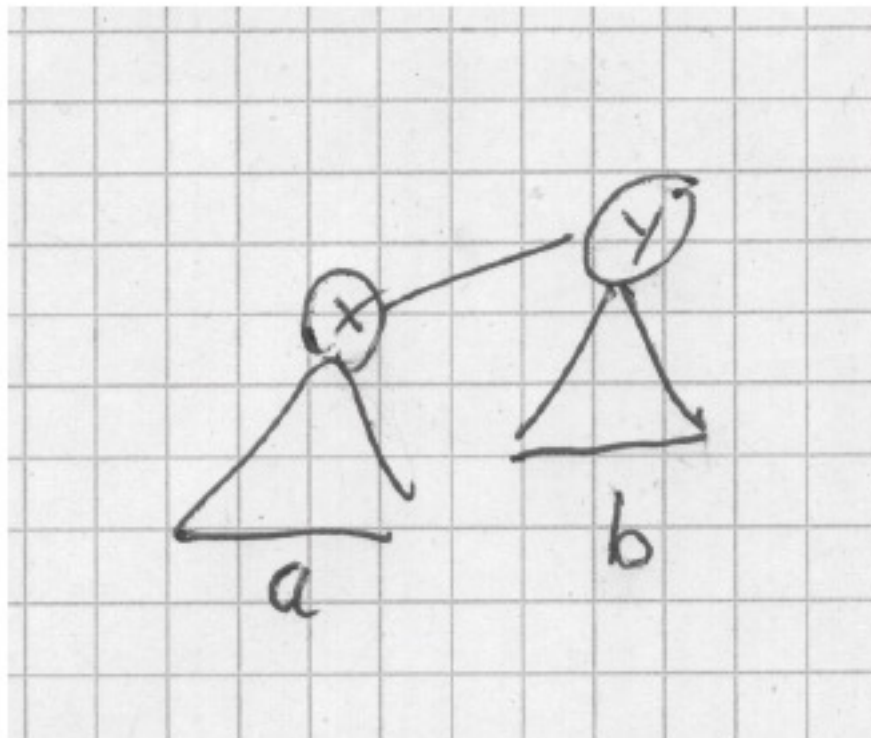
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$$z \notin \{x, y\} \rightarrow \phi'(z) \leq \phi(z) \quad (\text{lemma 12})$$

$$\hat{c} = c + \phi'(y) - \phi(y) = O(1) + O(\alpha(n))$$

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amortized cost of operations: find  
defining the unit of cost

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**We define first the unit of cost for  $c$ :**

accessing (and processing) 1 node costs 1. Then the compression of a path  
with  ~~$h$~~  nodes has cost  $c = s$

**S**



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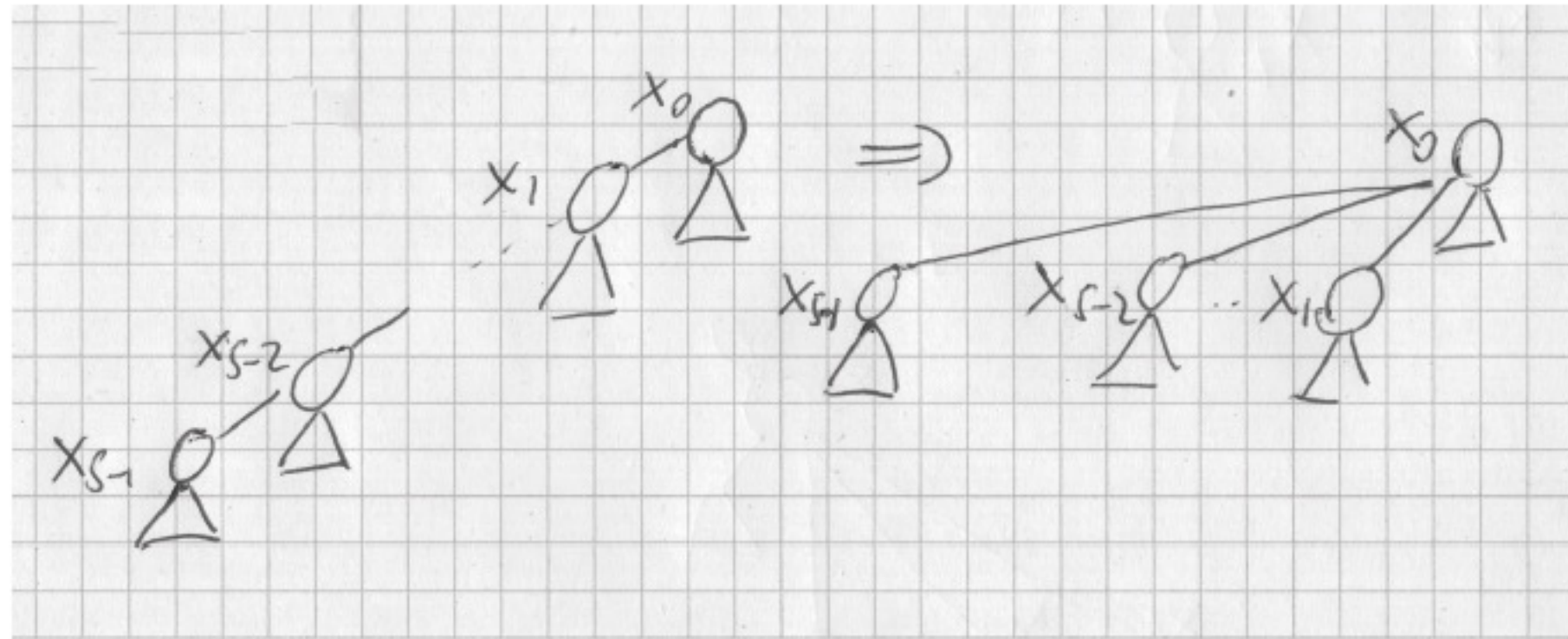


Figure 9: Compression of a find path with  $s$  nodes  $x_{s-1}, \dots, x_0$  processes exactly these nodes and has thus cost  $s$



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**find**  
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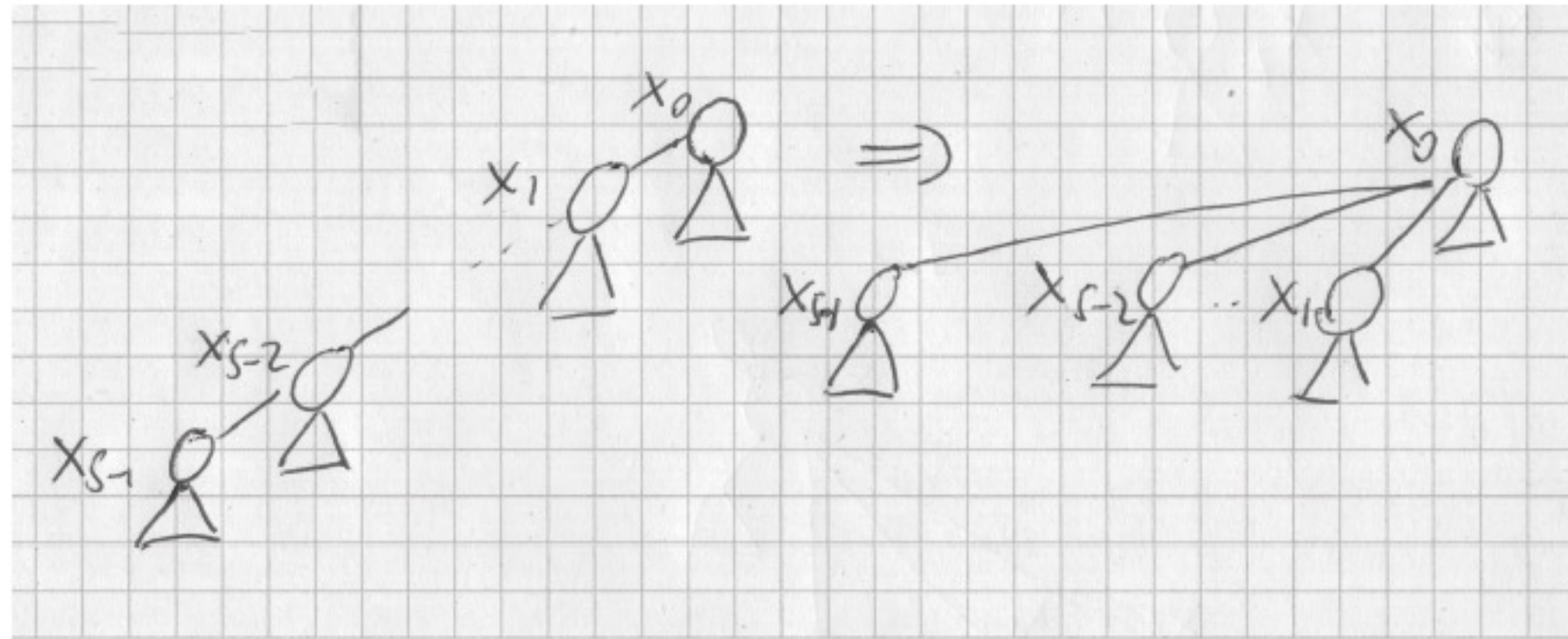


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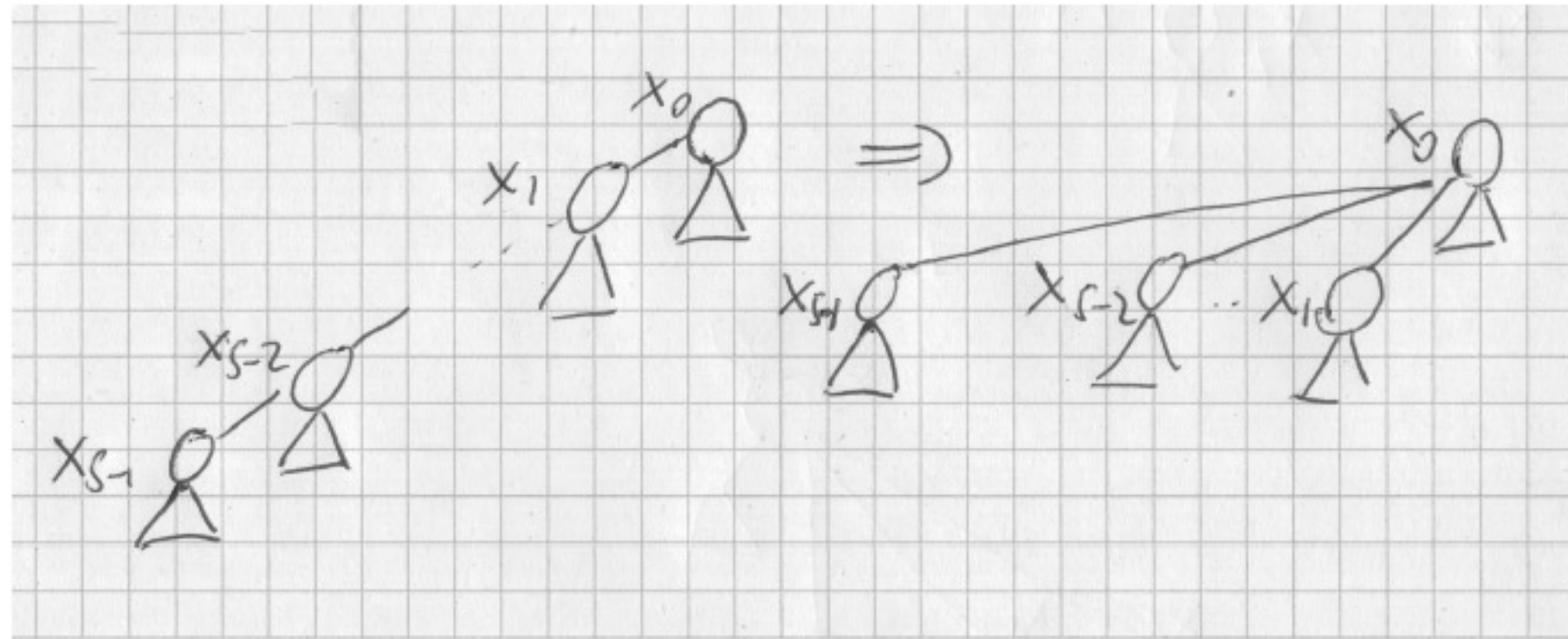


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$$\phi'(x_0) = \phi(x_0) = \alpha(n) \cdot r(x_0)$$

Lemma 12  $\rightarrow$ :

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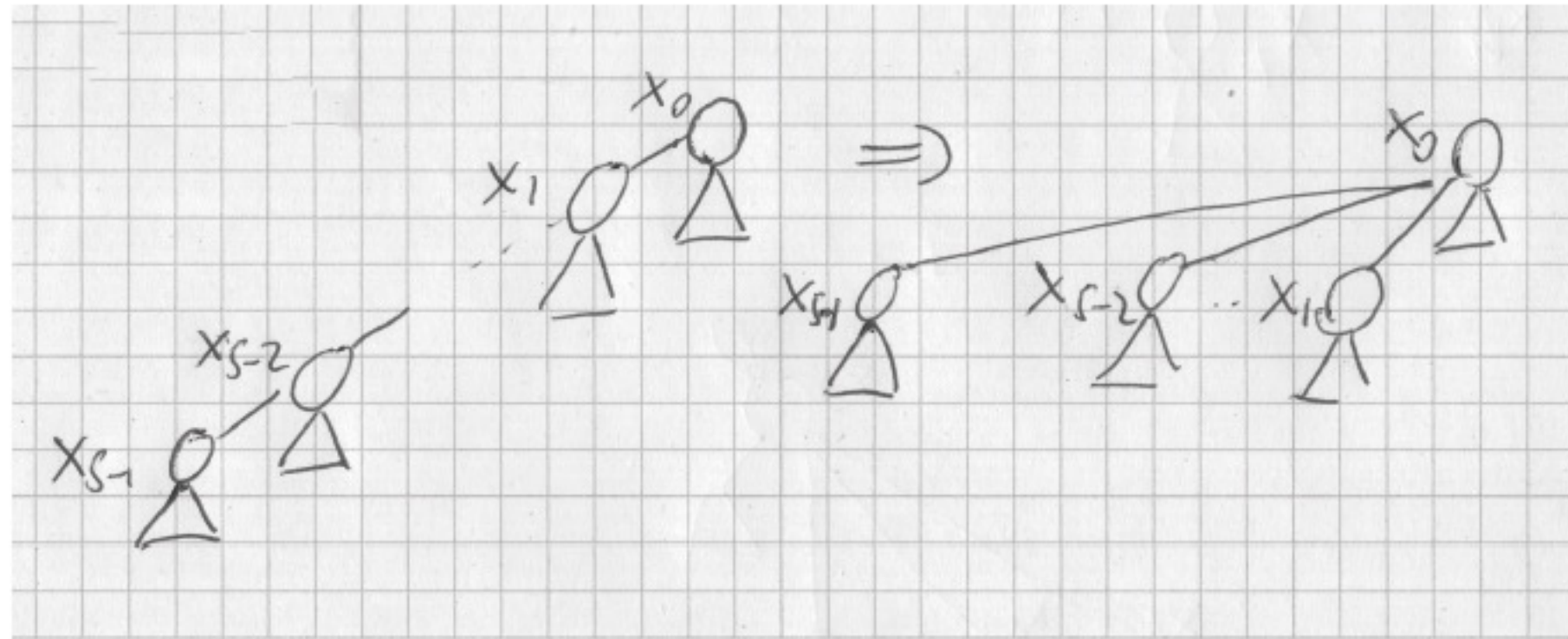


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Lemma 12  $\rightarrow$ :

$$\phi'(x_i) \leq \phi(x_i) \text{ for } 1 \leq i \leq s-1$$

goal: define large enough set

$$E \subseteq \{x_0, \dots, x_{s-1}\}$$

such that

$$\phi'(x) \leq \phi(x) - 1 \text{ for all } x \in E$$

Then

$$\hat{c} \leq s + \sum_{x \in E} (\phi'(x) - \phi(x)) = s - \#E$$

Done if

$$\#E \geq s - O(\alpha(n))$$

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$$E = \{x_i \mid r(x_i) > 0, \exists j. 0 < j < i \wedge \ell(x_i) = \ell(x_j)\}$$

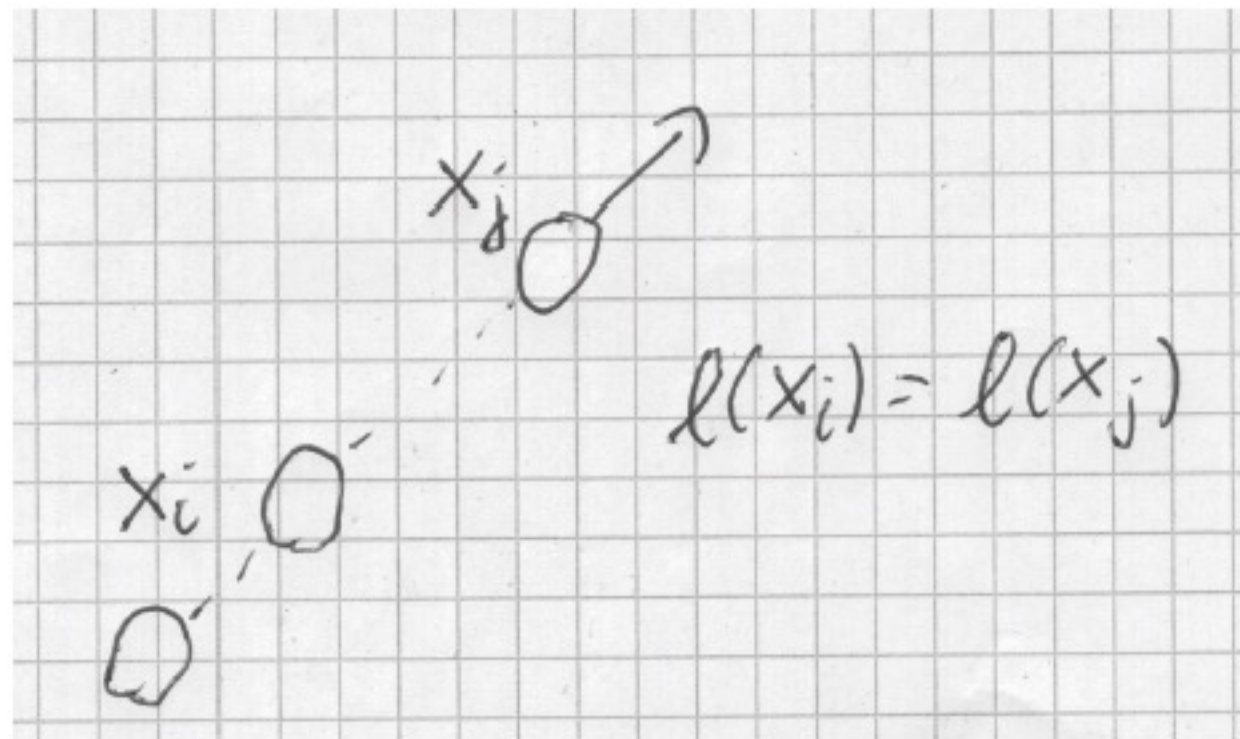


Figure 10: For  $x_i \in E$  we need  $r(x_i) > 0$  and some node  $x_j$  with the same level must be properly between  $x_i$  and the root



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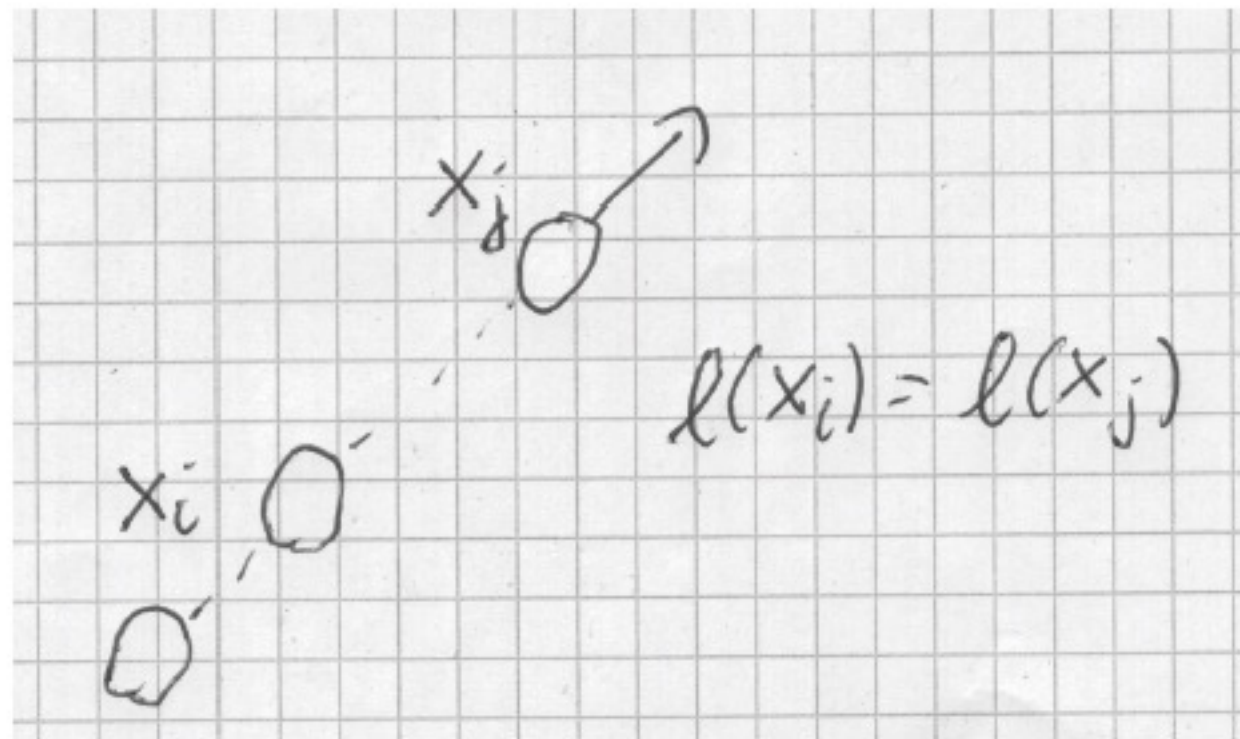


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### Lemma 16.

$$\# E \geq s - \alpha(n) - 2$$

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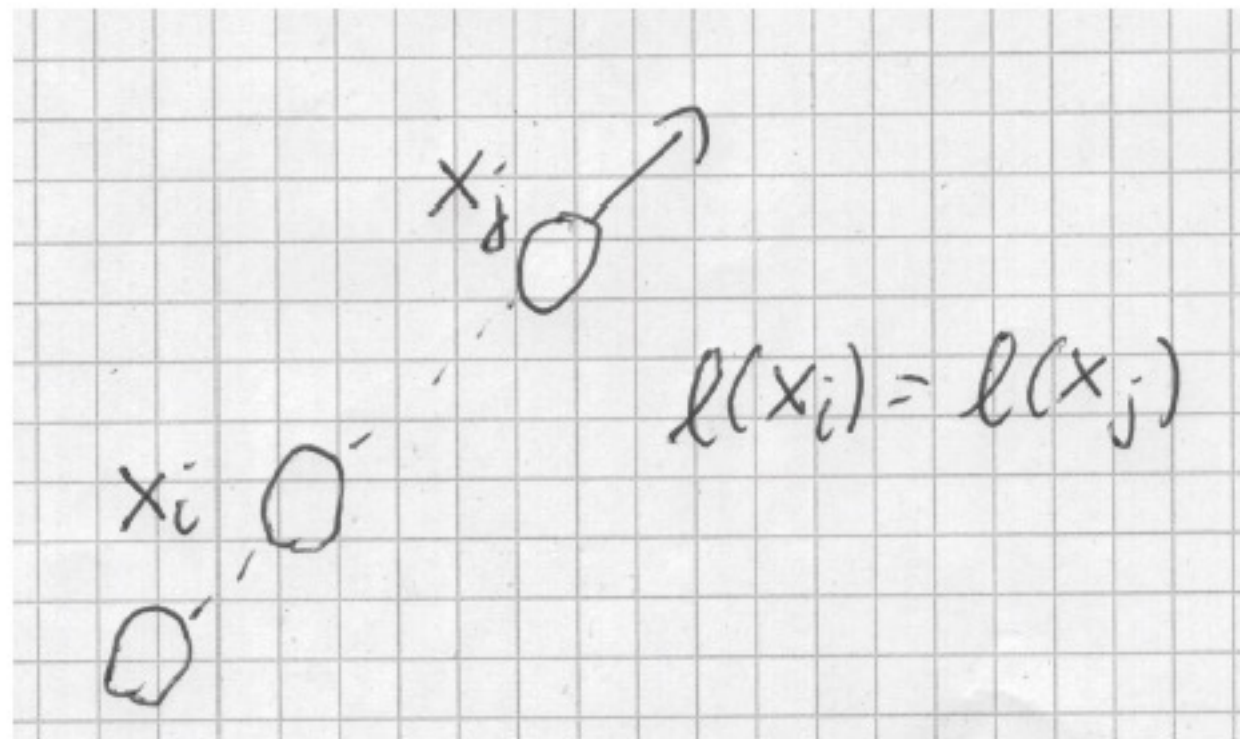


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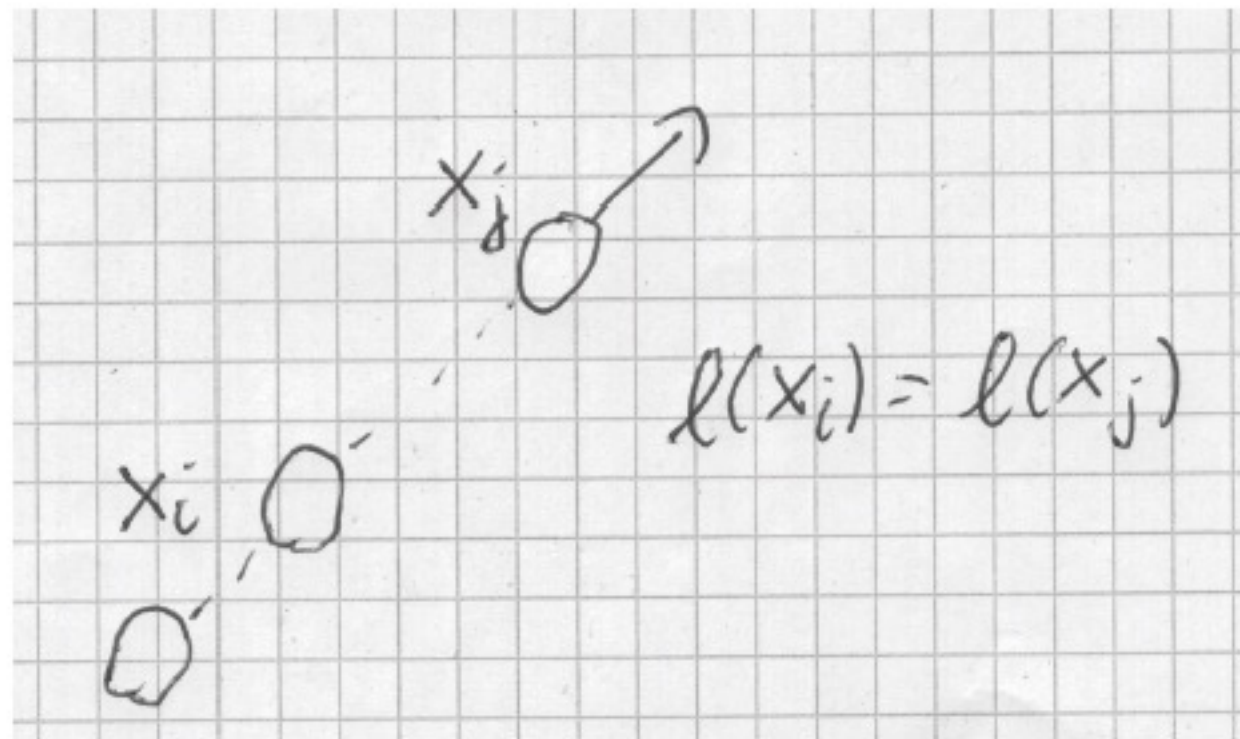


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### Lemma 16.

$$\# E \geq s - \alpha(n) - 2$$

for  $i \in [0 : s - 1]$  node  $x_i$  not in  $E$

- possibly if  $r(x_i) = 0$ , i.e.  $x_i = x_{s-1}$  is a leaf
- if  $x_i = x_0$ , i.e.  $x_i$  is the root
- if  $x_i$  is last node on path with level  $\ell(x)$

$$\forall j. 0 < j < i \rightarrow \ell(x_j) \neq \ell(x_i)$$

### Lemma 7

$$0 \leq \ell(x) < \alpha(n)$$

excludes at most  $\alpha(n)$  nodes

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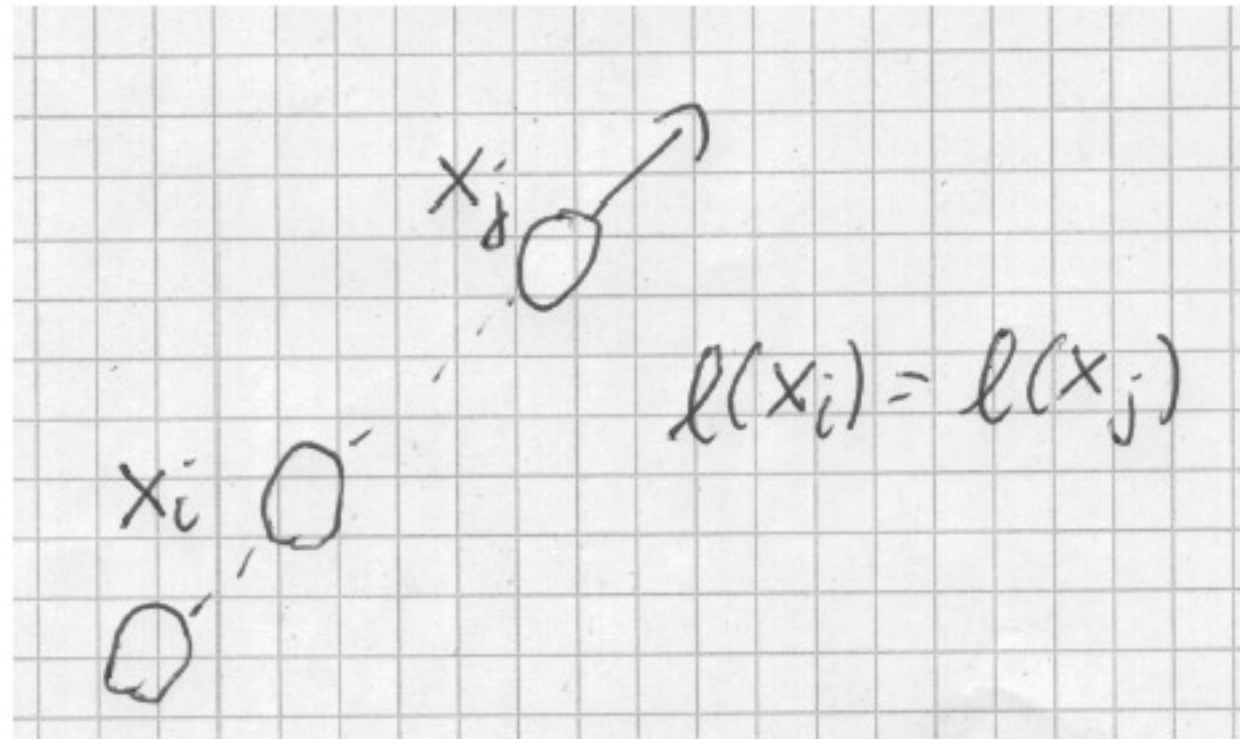


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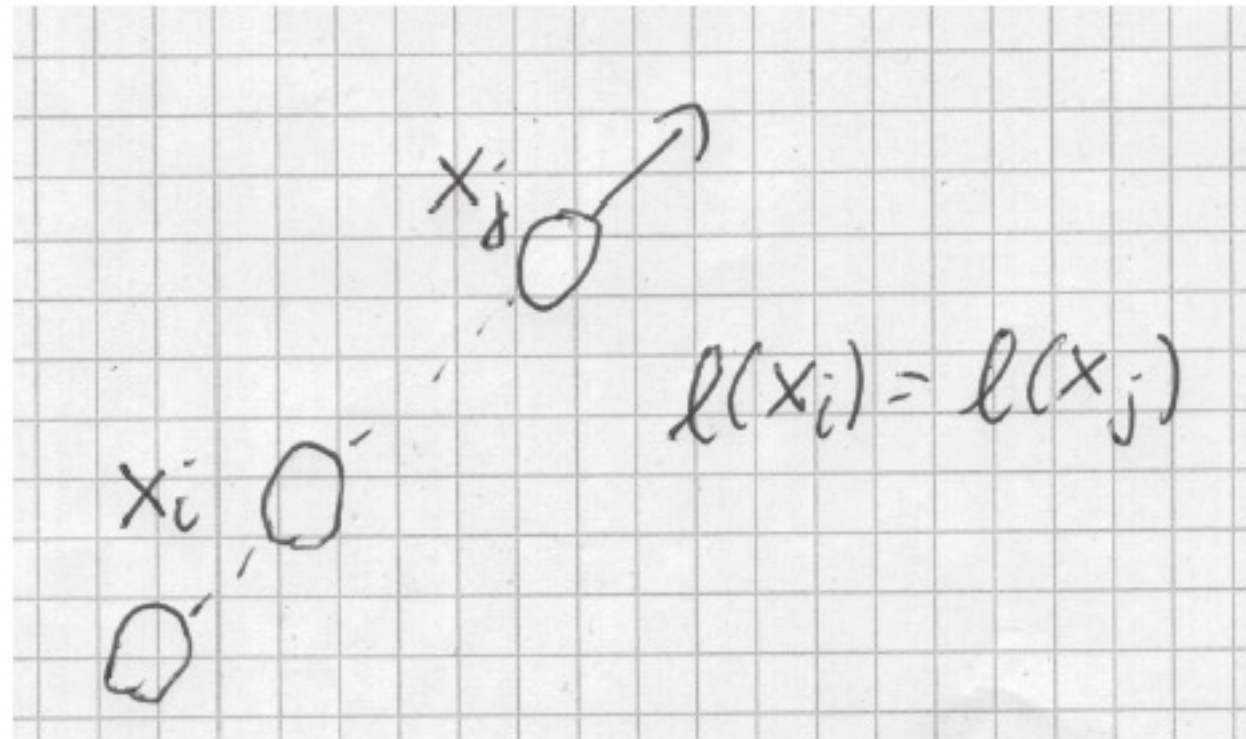


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$$x \in E \rightarrow \phi'(x) \leq \phi(x) - 1$$

$$x = x_i, y = x_j, k = \ell(x) = \ell(y)$$

$$r(p(x)) \geq A_k^{(i(x))}(r(x)) \quad (\text{def. of } i(x)) \quad (1)$$

$$r(p(y)) \geq A_k(r(y)) \quad (\text{def. of } \ell(x)) \quad (2)$$

$$r(y) \geq r(p(x)) \quad (\text{lemma 4}) \quad (3)$$

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$$op = \text{link}(x) \rightarrow \hat{c} = O(\alpha(n))$$

$$E = \{x_i \mid r(x_i) > 0, \exists j. 0 < j < i \wedge \ell(x_i) = \ell(x_j)\}$$

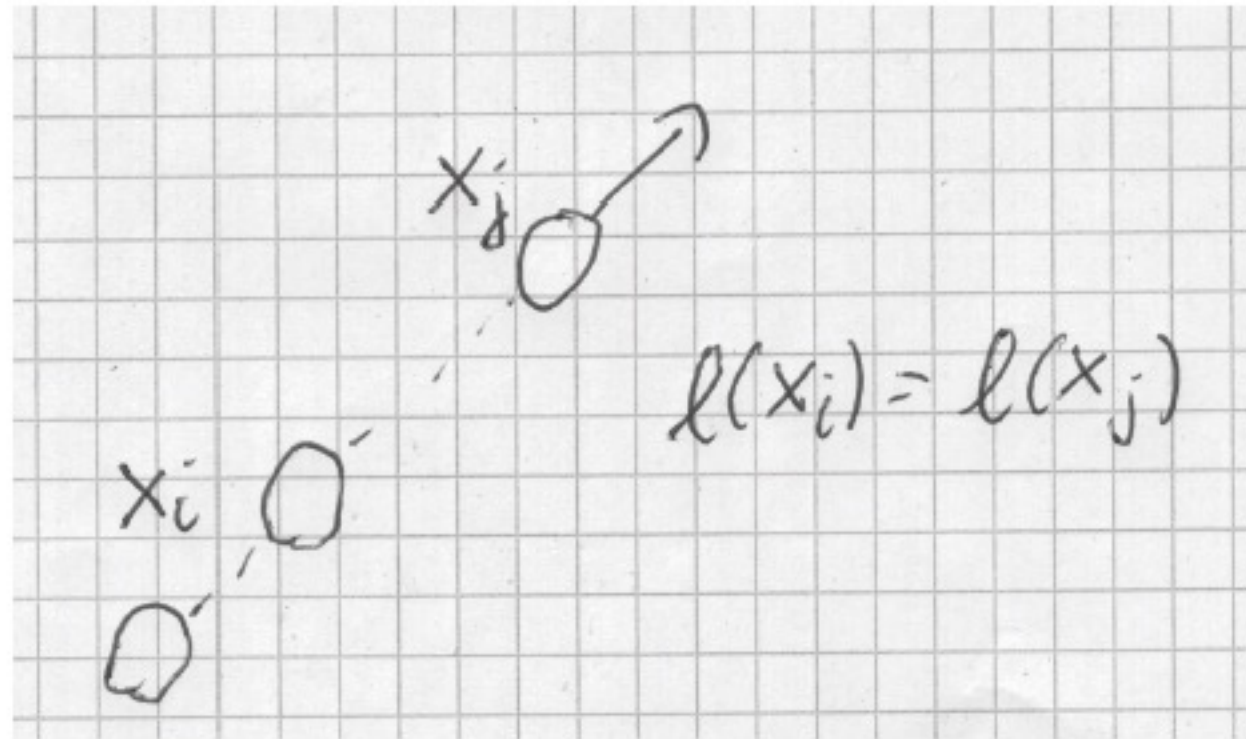


Figure 10: For  $x_i \in E$  we need  $r(x_i) > 0$  and some node  $x_j$  with the same level must be properly between  $x_i$  and the root

### Lemma 16.

#  $E \geq s - \alpha(n) - 2$

### Lemma 17.

$$x \in E \rightarrow \phi'(x) \leq \phi(x) - 1$$

$$x = x_i, y = x_j, k = \ell(x) = \ell(y)$$

$$r(p(x)) \geq A_k^{(i(x))}(r(x)) \quad (\text{def. of } i(x)) \quad (1)$$

$$r(p(y)) \geq A_k(r(y)) \quad (\text{def. of } \ell(x)) \quad (2)$$

$$r(y) \geq r(p(x)) \quad (\text{lemma 4}) \quad (3)$$

$$r(p(y)) \geq A_k(r(y)) \quad (\text{eqn. 2}) \quad (4)$$

$$\geq A_k(r(p(x))) \quad (\text{lemma 3 and eqn. 3}) \quad (5)$$

$$\geq A_k(A_k^{(i(x))}(r(x))) \quad (\text{lemma 3 and eqn. 1}) \quad (6)$$

$$= A_k^{(i(x)+1)}(r(x)) \quad (\text{def. of iteration}) \quad (7)$$



## amortized cost of operations: find

### def. of potential function

$$\phi(x) = \begin{cases} \alpha(n) \cdot r(n) & x = p(x) \vee r(x) = 0 \\ (\alpha(n) - \ell(x)) \cdot r(x) - i(x) & \text{otherwise} \end{cases}$$

### Lemma 15.

find

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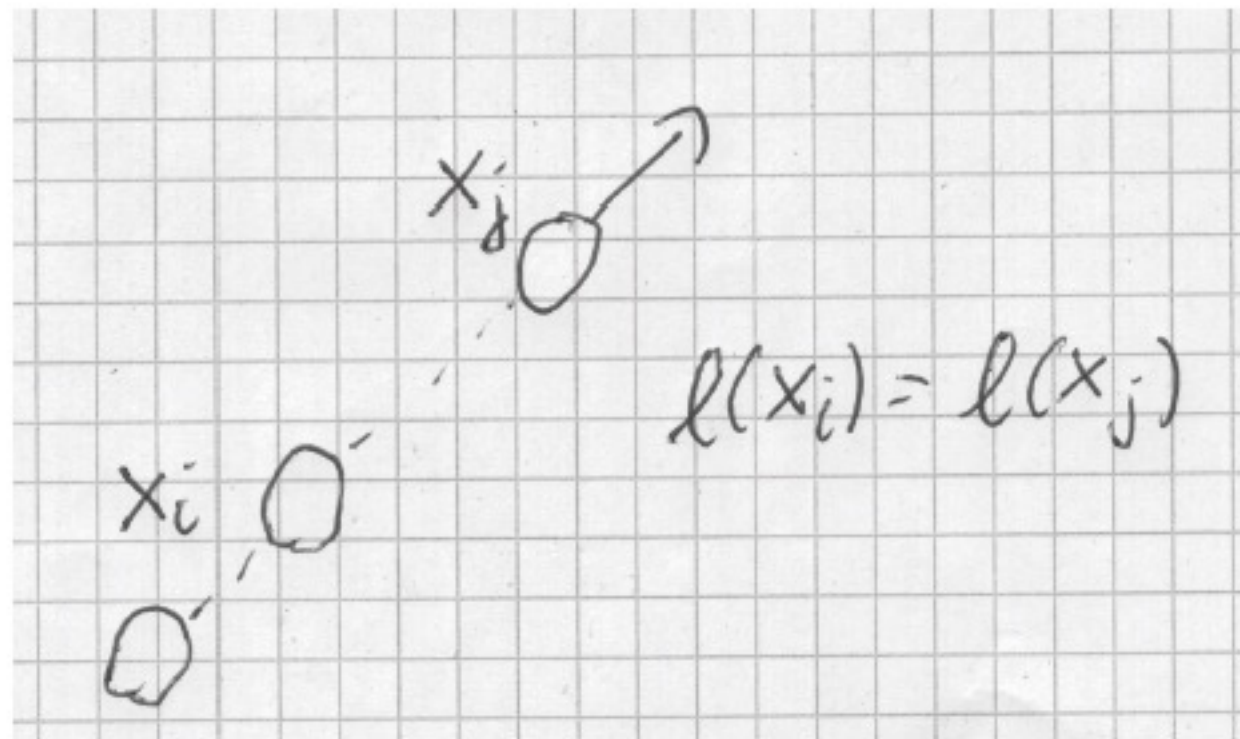


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after path compression:

$$r'(p'(x)) = r(x_0)$$

$$= r'(p'(y))$$

$$\geq r(p(y)) \quad (\text{lemma 4})$$

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$$= A_k^{(i(x)+1)}(r'(x)) \quad (\text{lemma 4}) \quad \text{proof of..}$$

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- if  $k = \ell'(x)$

$$r'(p'(x)) \geq A_{\ell'(x)}^{(i(x)+1)}(r'x)$$

$$i'(x) \geq i(x) + 1$$

- lemma 12

$$\ell'(x) \neq \ell(x) \vee i'(x) \neq i(x) \rightarrow \phi'(x) \leq \phi(x) - 1$$



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**done!**