

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.

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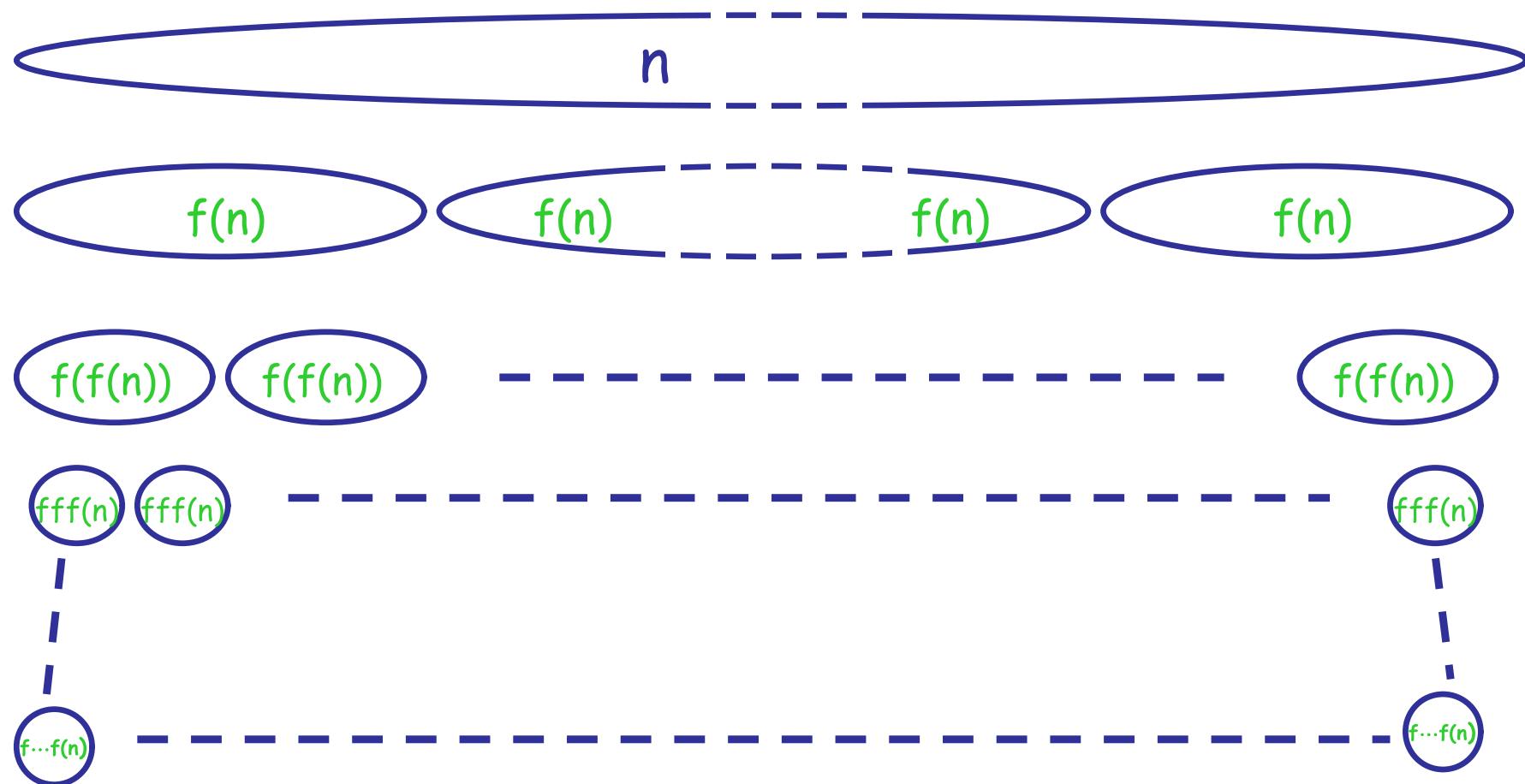
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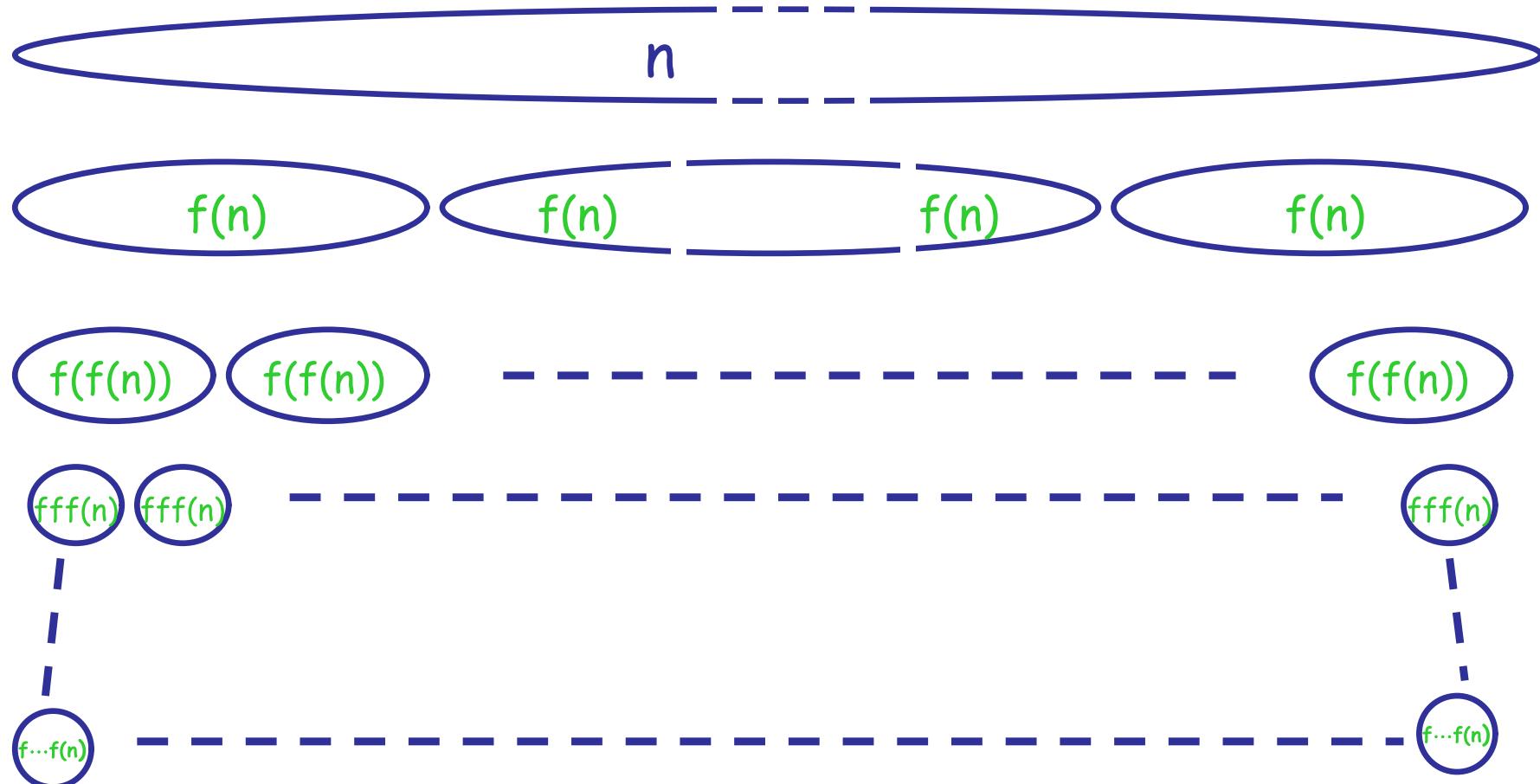
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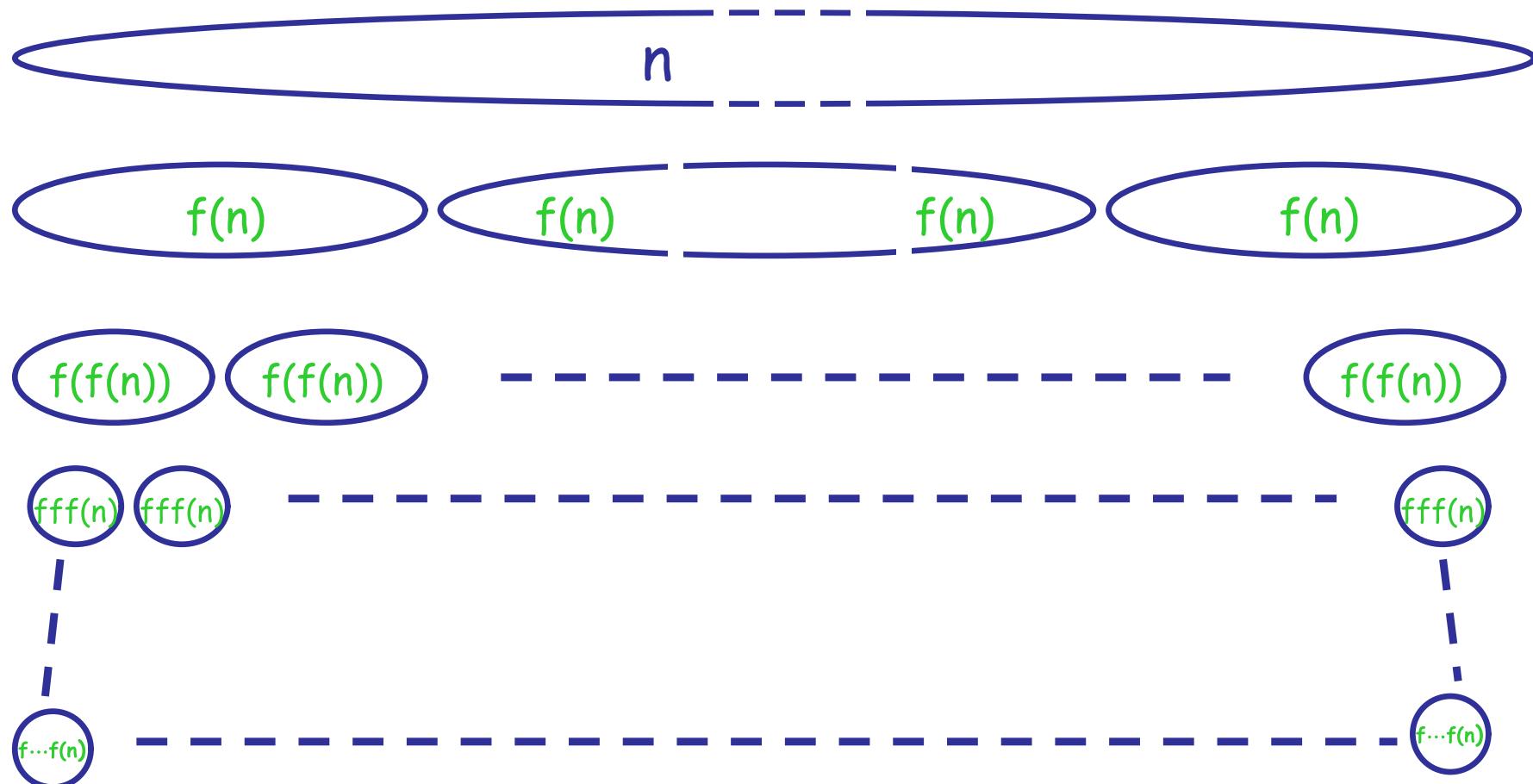
(f needs to satisfy contraction condition $f(n) < n$ for $n > 1$.)





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^* :

$f(n)$

$n-1$

$n-2$

$n-c$

$n/2$

n/c

\sqrt{n}

$\log n$

$f^*(n)$

$n-1$

$n/2$

n/c

$\log_2 n$

$\log_c n$

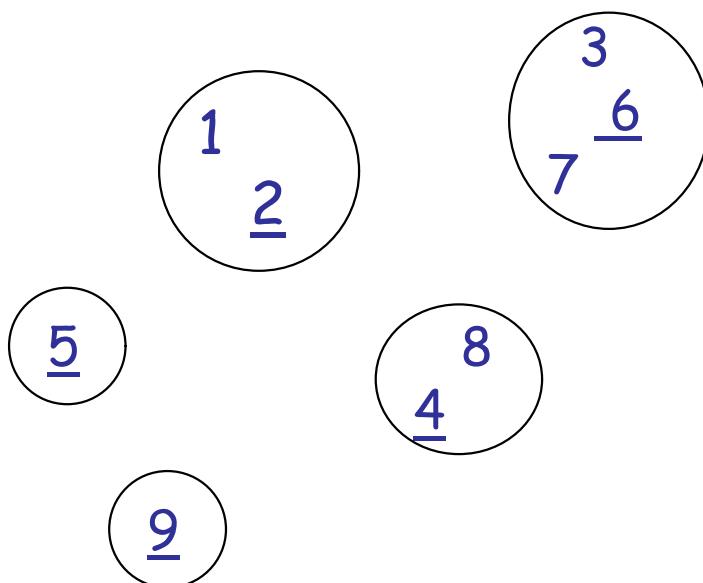
$\log \log n$

$\log^* n$

Union Find with Path Compressions

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Maintain partition of $S = \{1, 2, \dots, n\}$
under operations

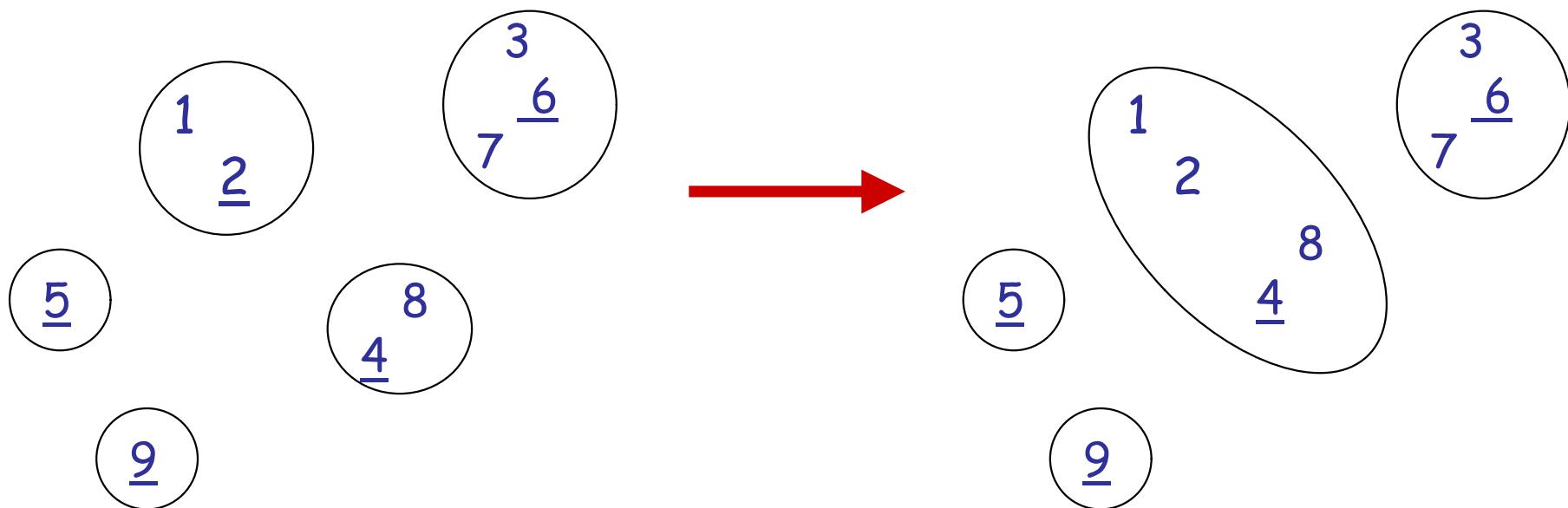


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Union(2, 4)

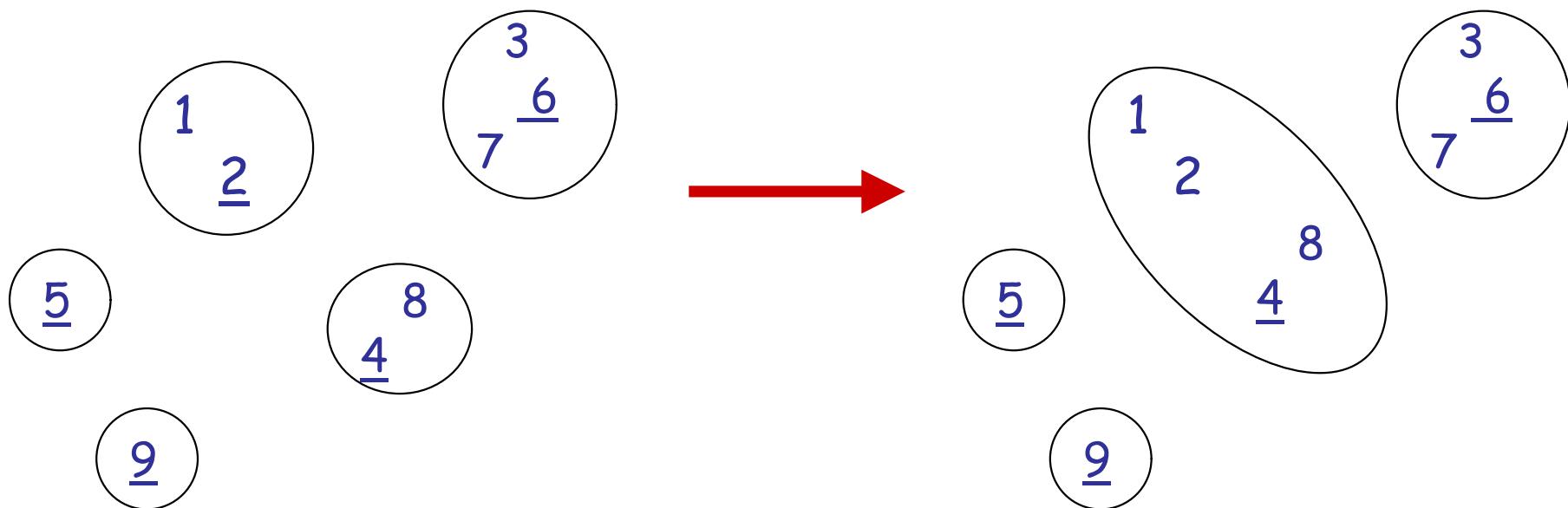


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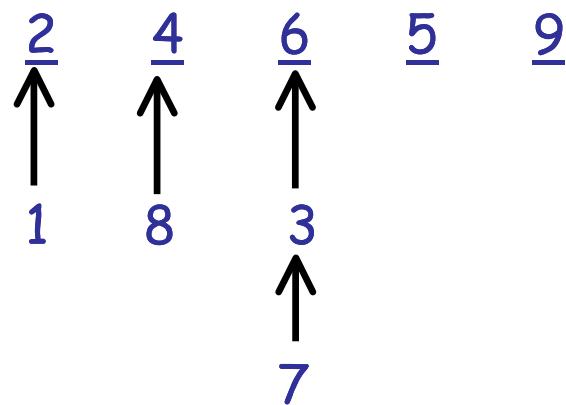
Union(2, 4)



Find(3) = 6 (representative element)

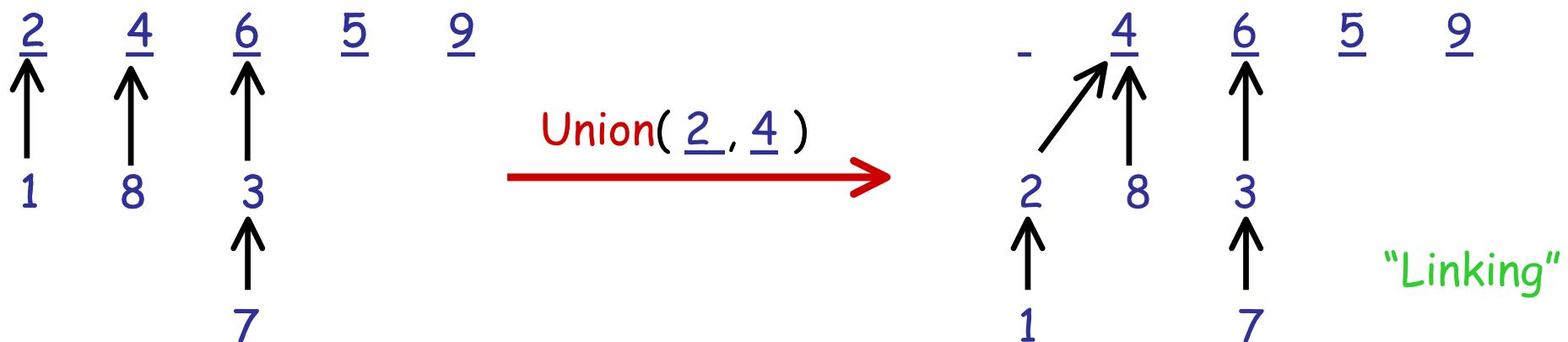
Implementation

- * 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



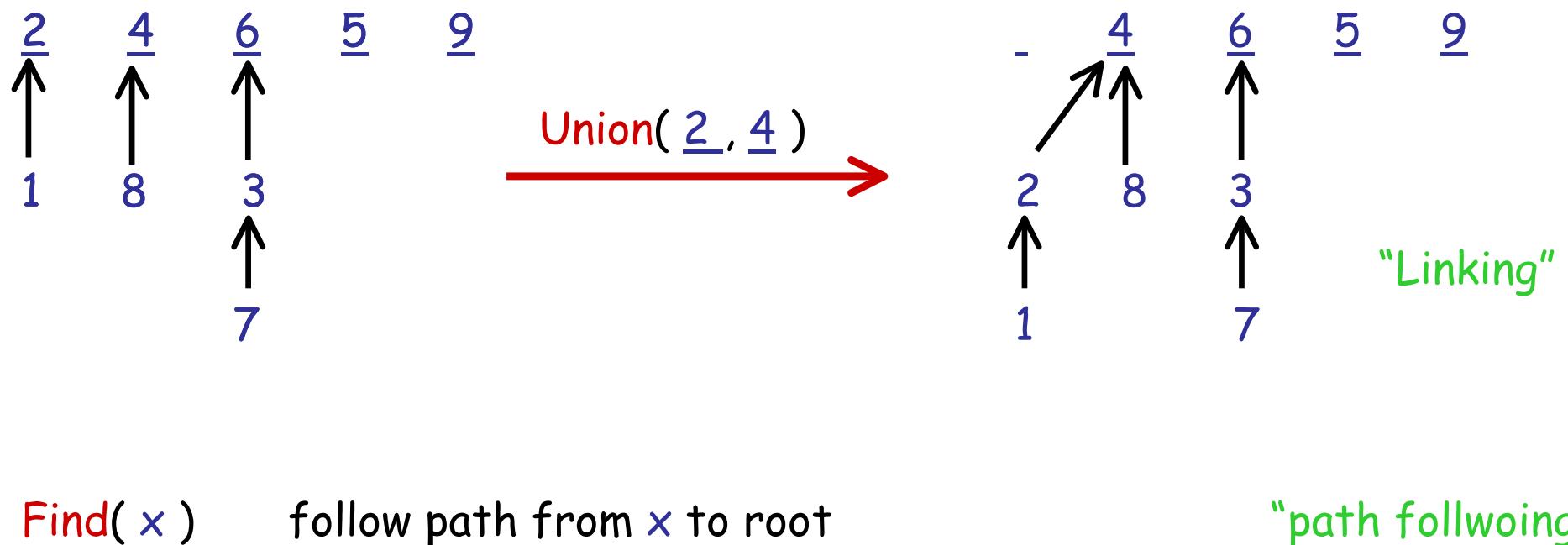
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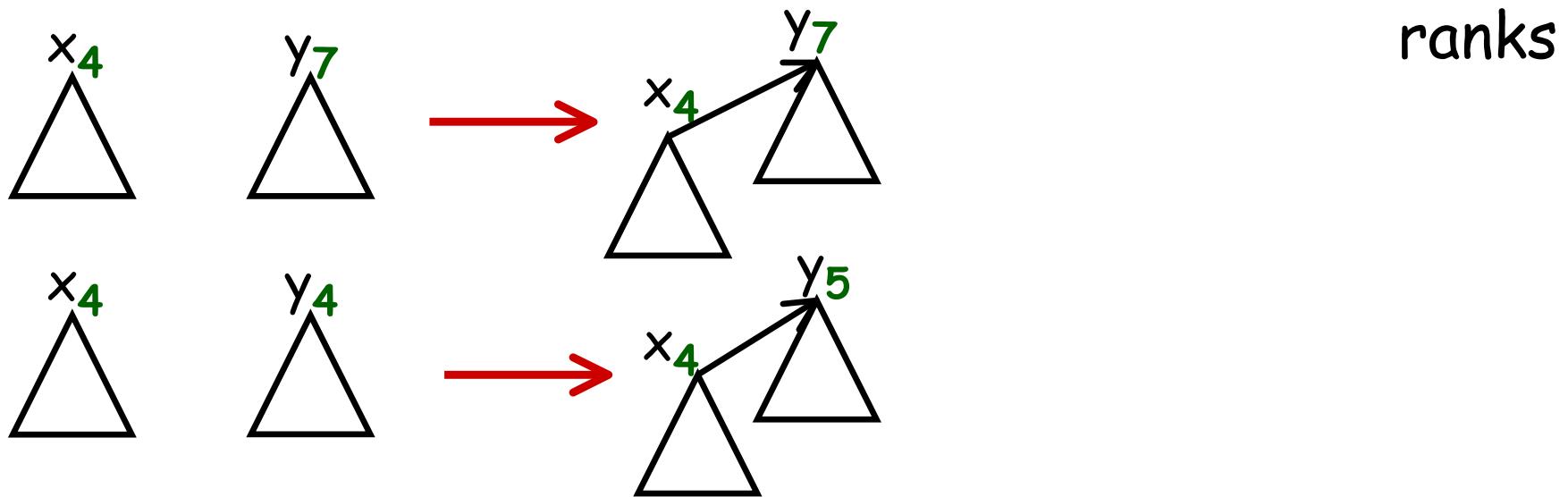
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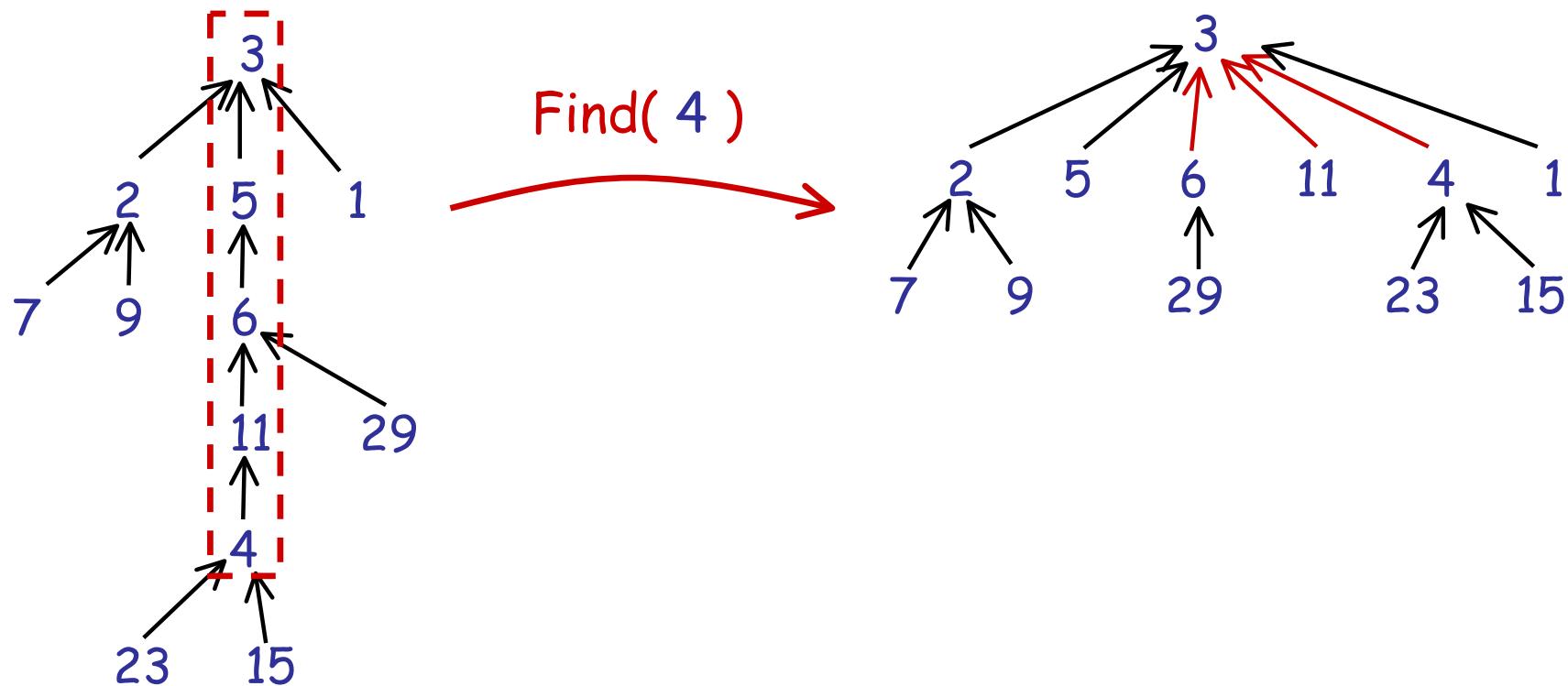
Heuristic 1: "linking by rank"

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



Heuristic 2: Path compression

when performing a $\text{Find}(x)$ operation make all nodes in the "findpath" children of the root



sequence of Union and Find operation

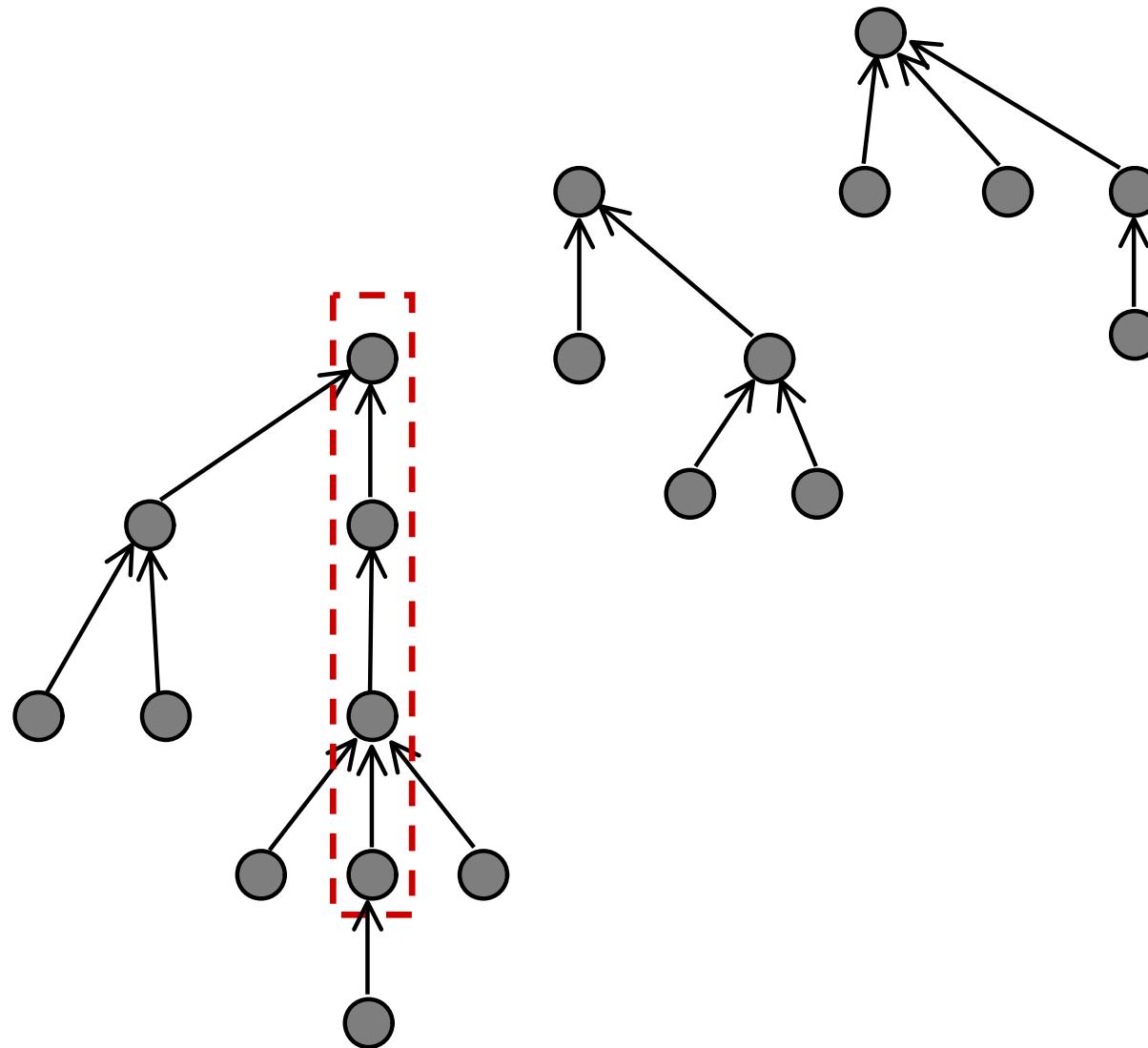
Explicit cost model:

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

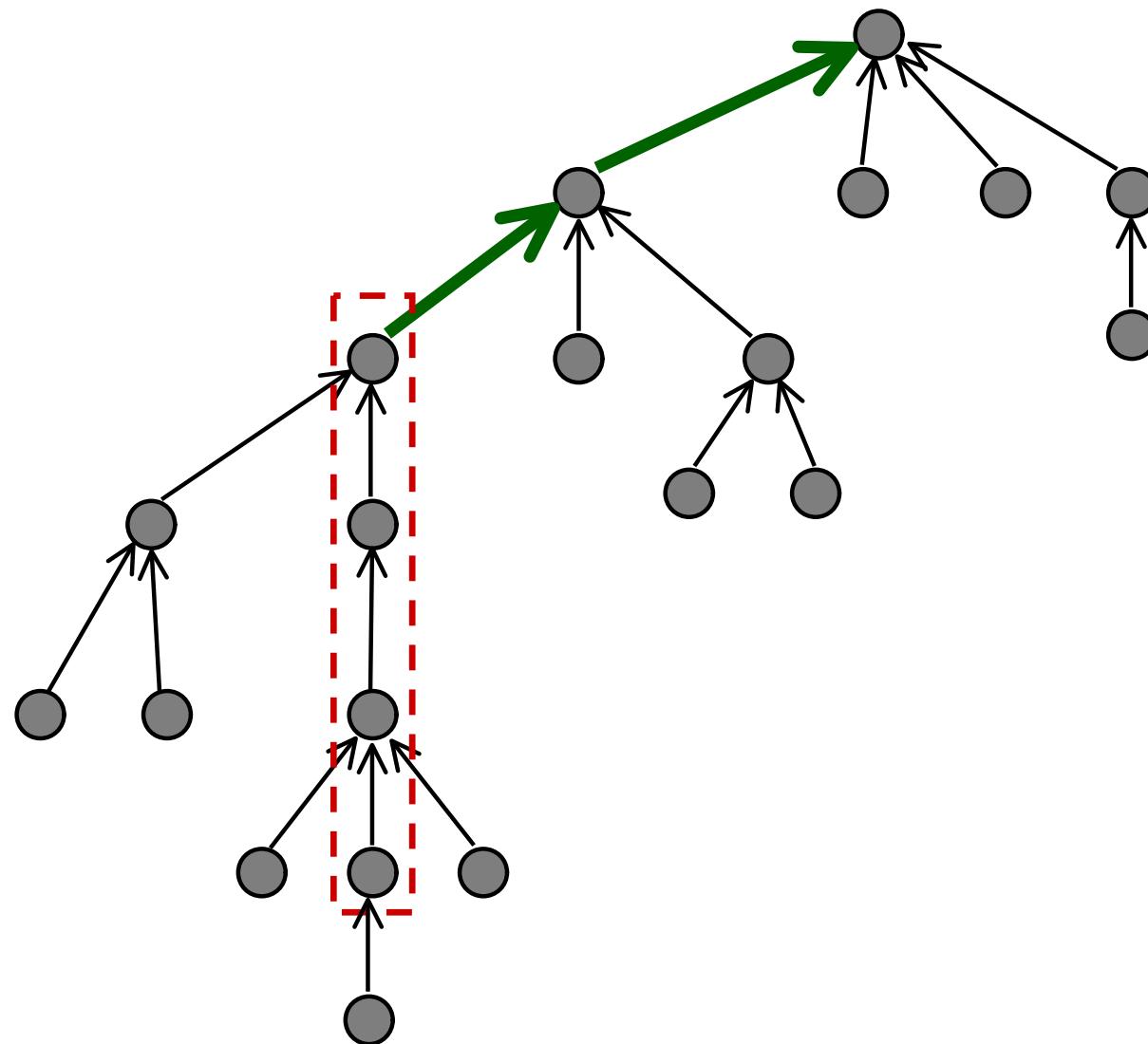
Time for $\text{Union}(x, y) = O(1) = O(\text{cost(Union}(x,y)))$

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

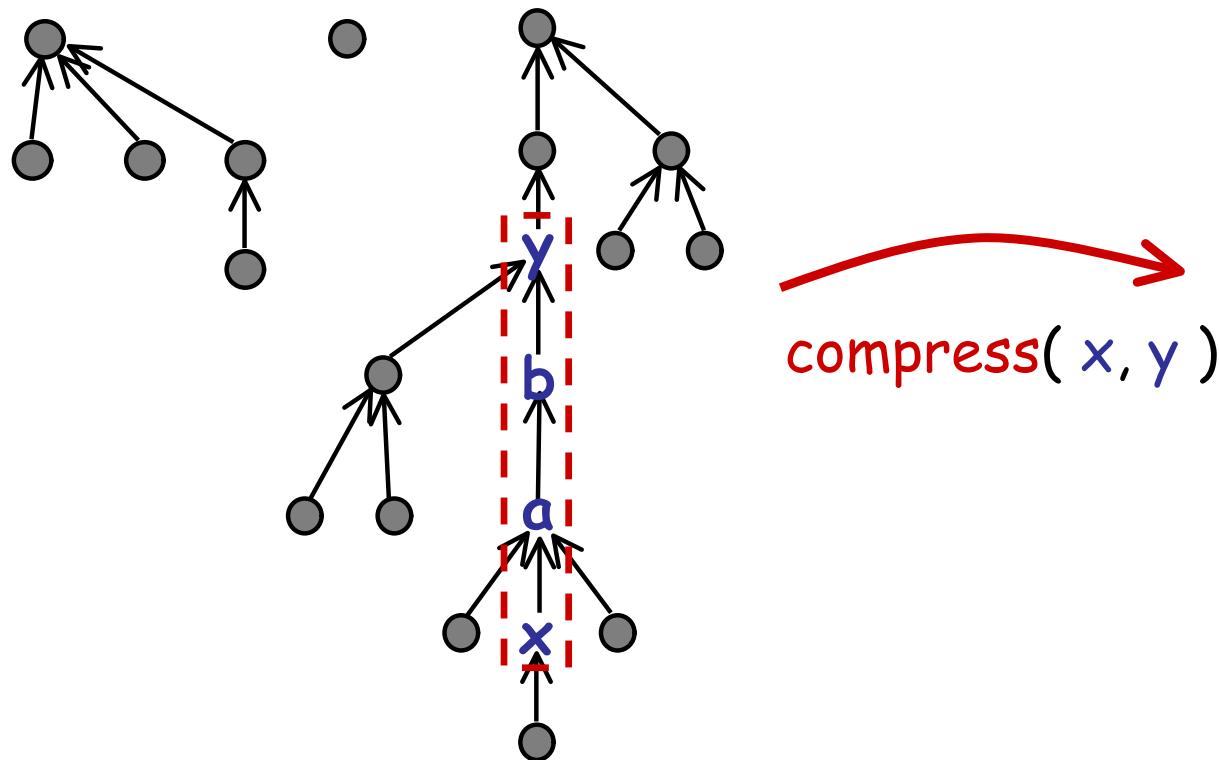
For analysis assume all **Unions** are performed first, but **Find**-paths are only followed (and compressed) to correct node.



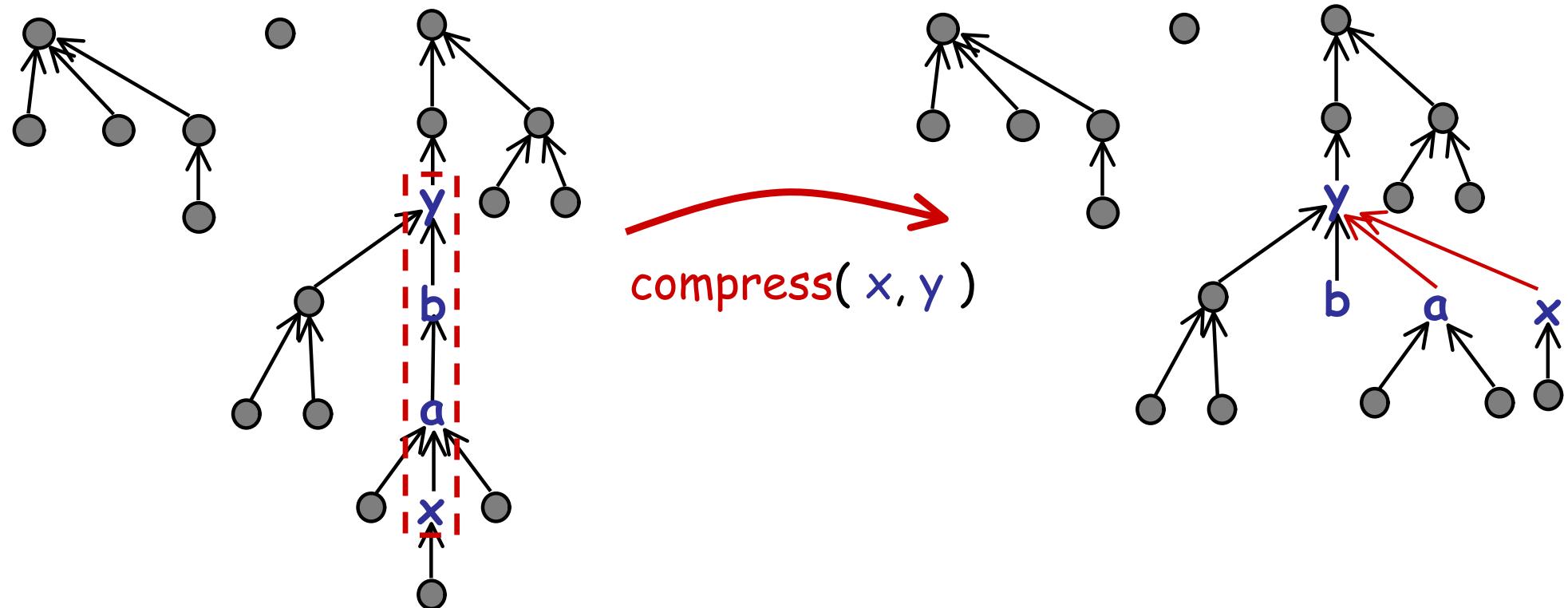
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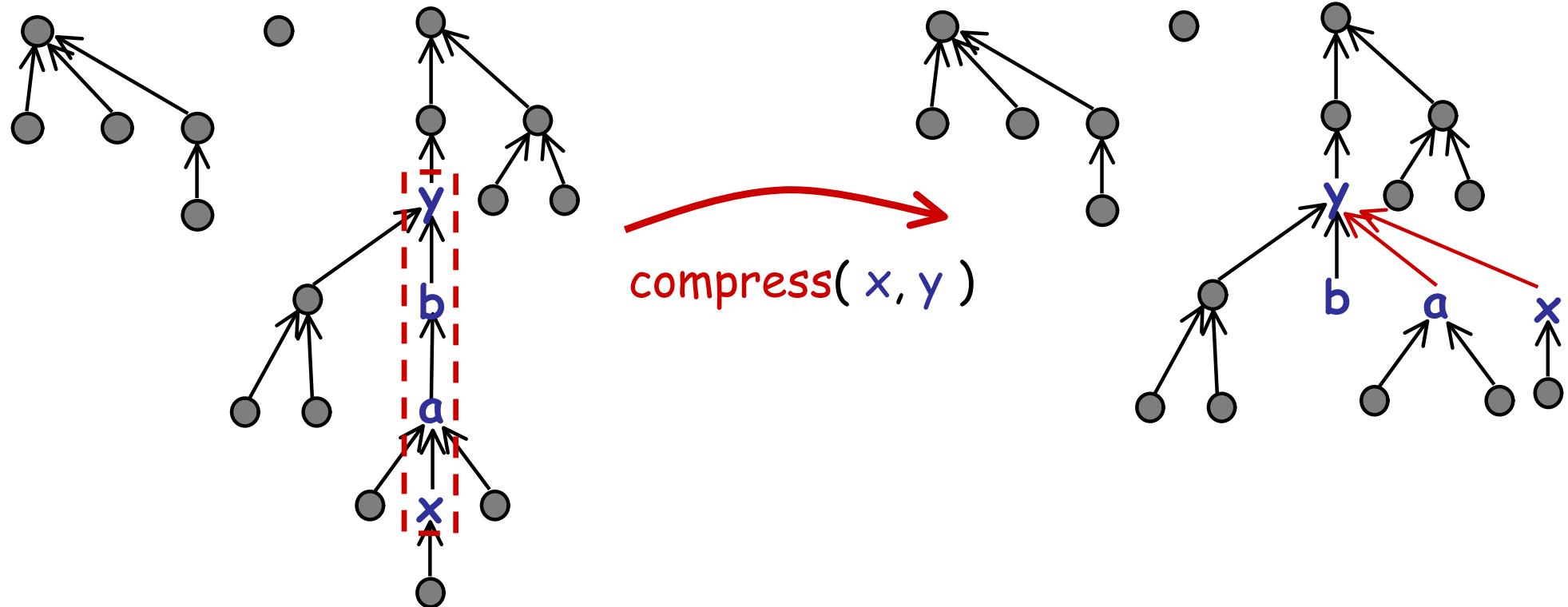
General path compression in forest \mathcal{F}



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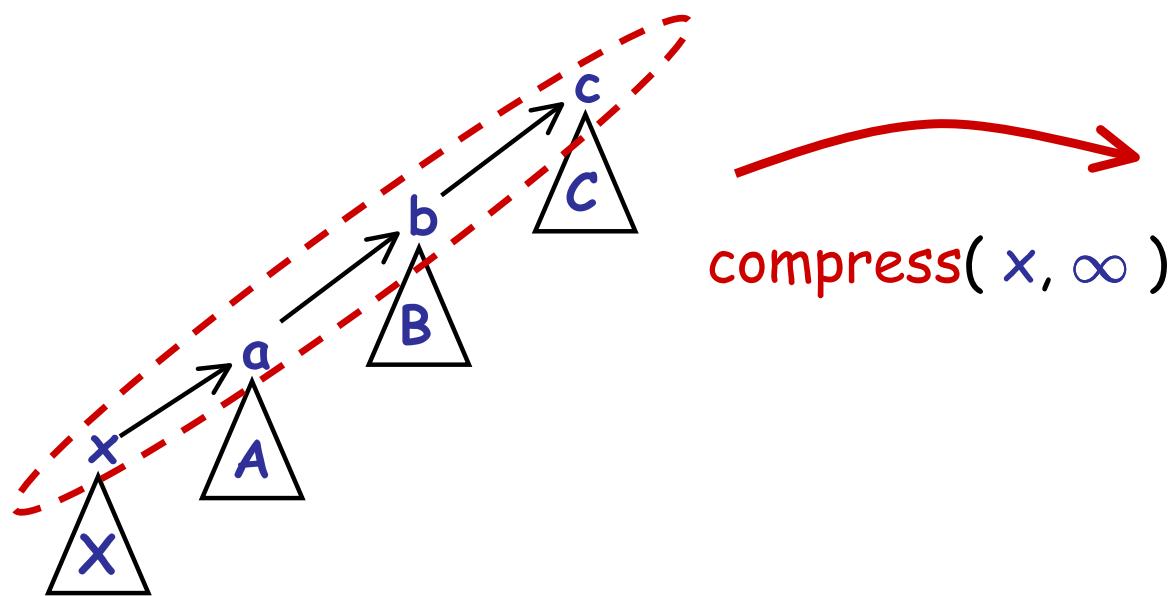
$\text{cost}(\text{compress}(x, y)) = \# \text{ of nodes that get a new parent}$

General path compression in forest \mathcal{F}

“rootpath compress”

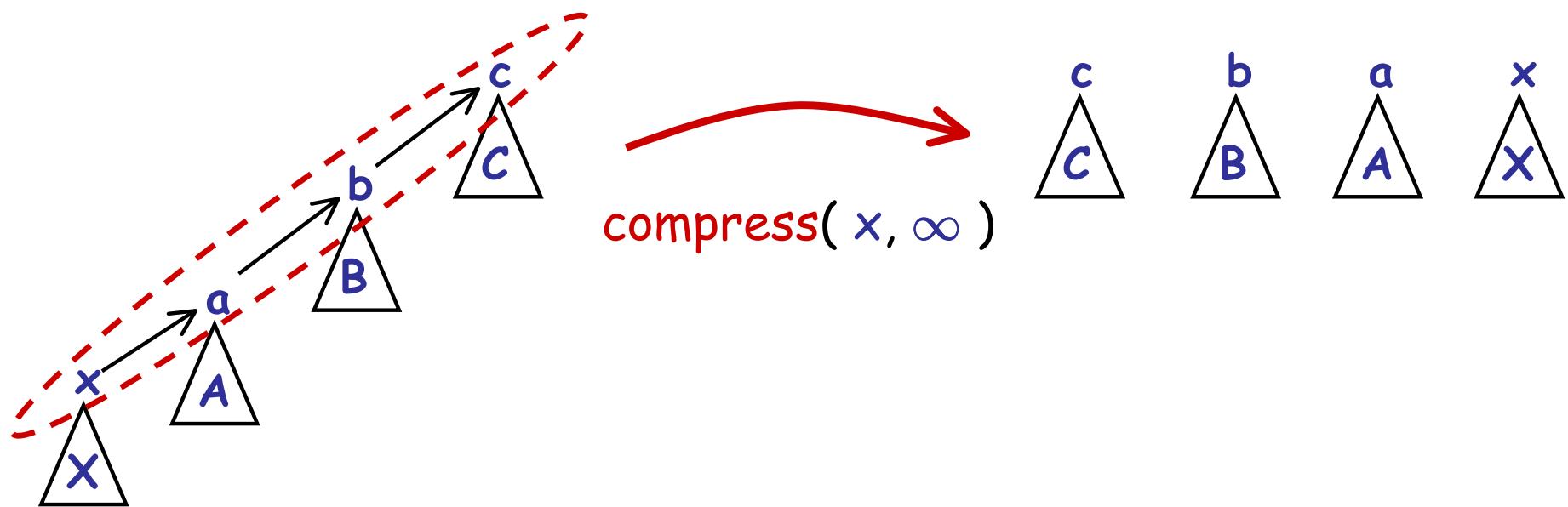
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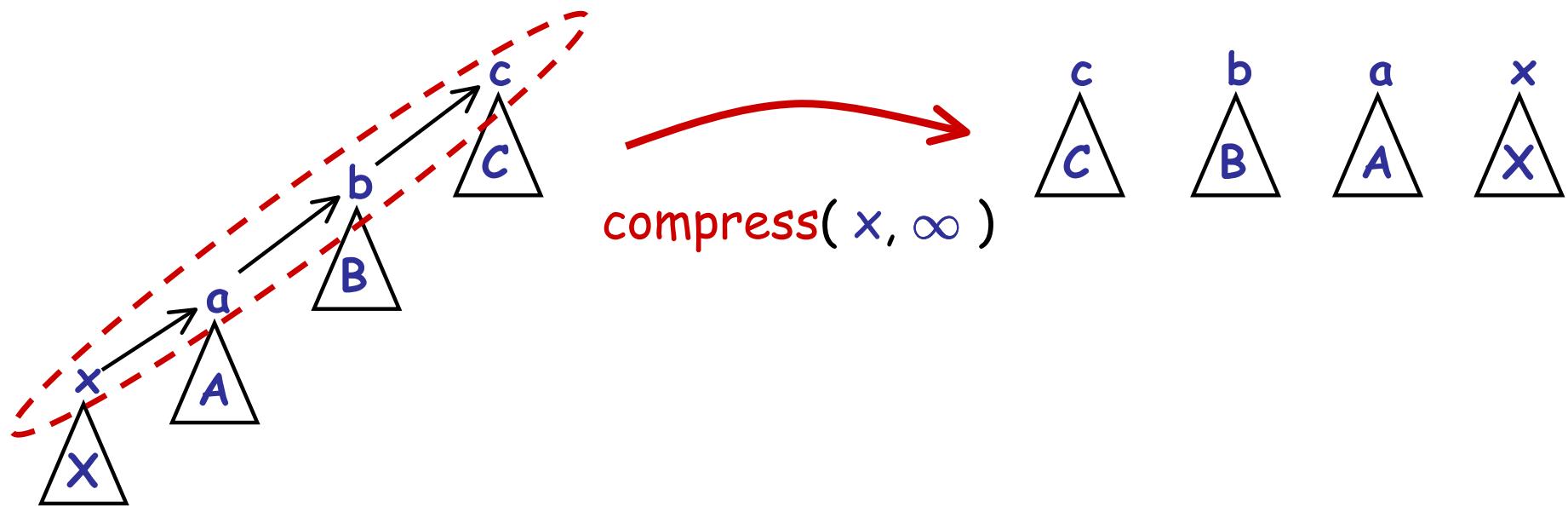
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General path compression in forest \mathcal{F}

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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

C sequence of compress operations on \mathcal{F}

$|C| = \#$ of true compress operations in C

(rootpath compresses excluded)

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

Problem formulation

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

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

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”,

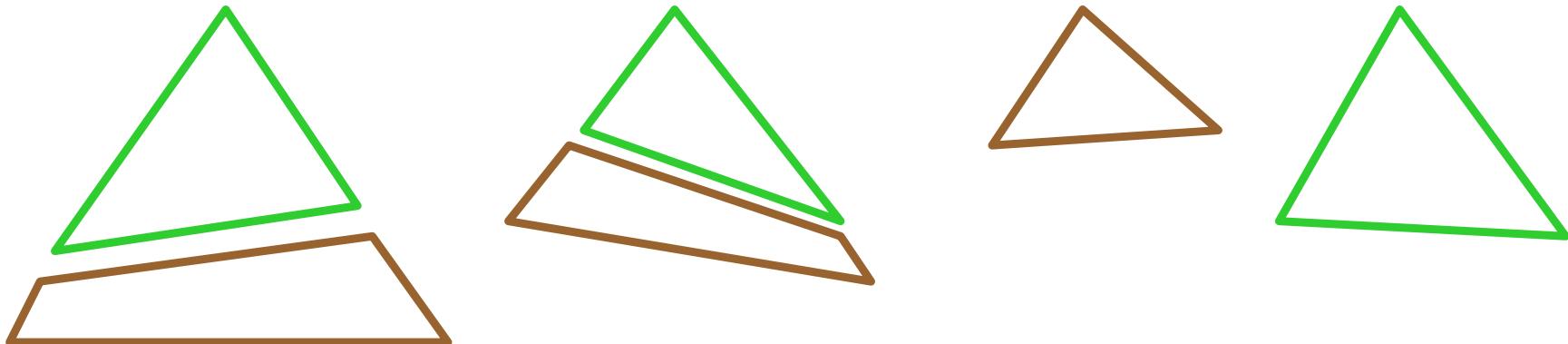
i.e. $x \in X_+ \Rightarrow$ every ancestor of x is in X_+ also

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

partition of X into “top part” X_t
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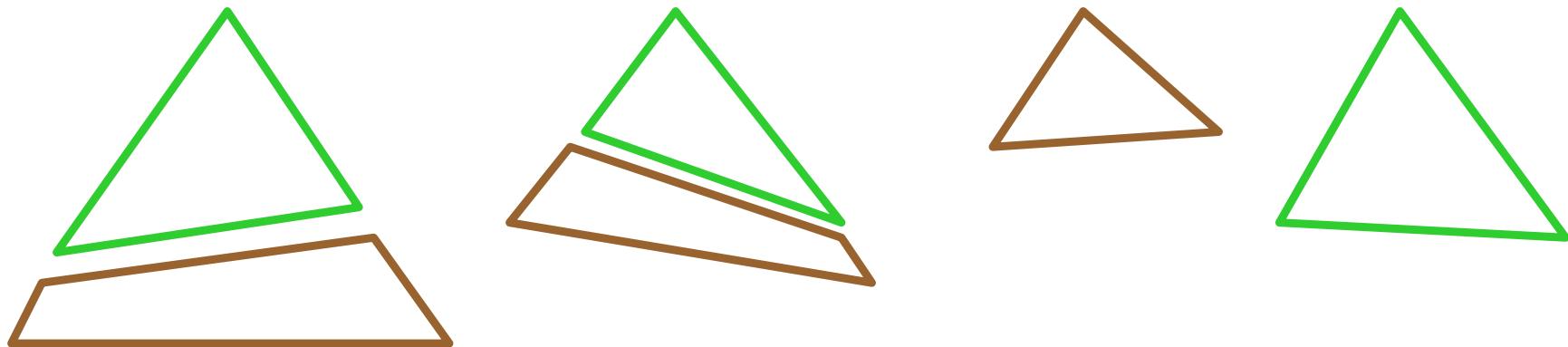


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Note: X_t, X_b dissection for \mathcal{F}' obtained from \mathcal{F} by sequence of path compressions } \Rightarrow X_t, X_b is dissection for \mathcal{F}'

Main Lemma:

C ... sequence of operations on \mathcal{F} with node set X
 X_t, X_b dissection for \mathcal{F} inducing subforests $\mathcal{F}_t, \mathcal{F}_b$

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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_t from C :

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compression paths from C

case 1:



into C_t

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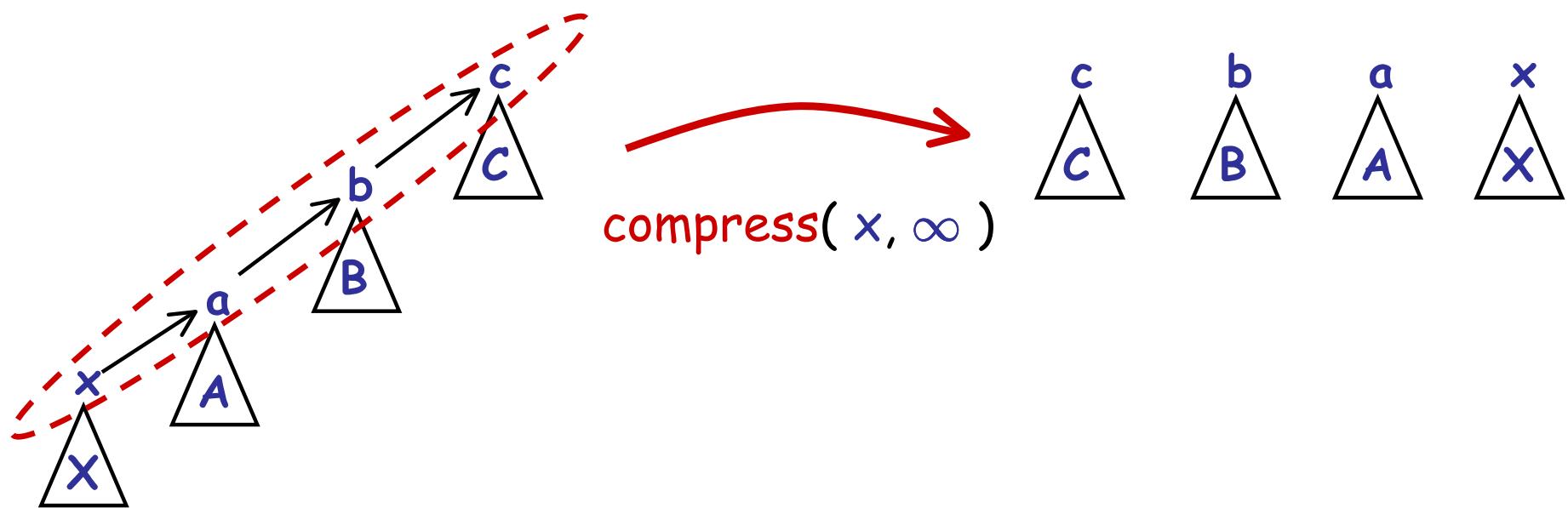
case 3:



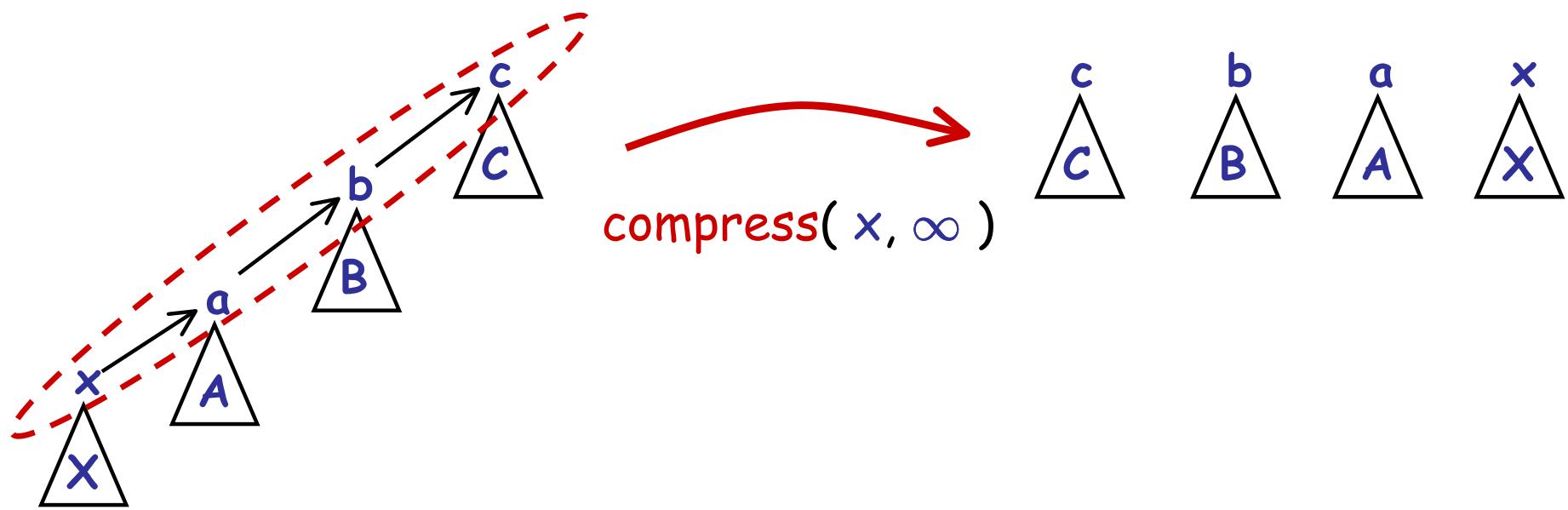
into C_t

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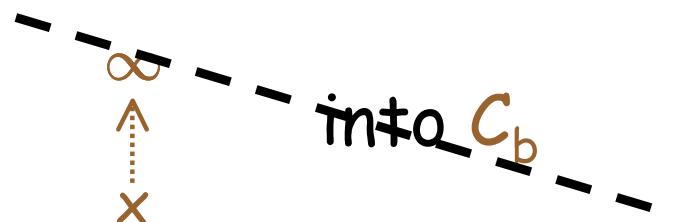
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$$\text{cost}(C) \leq \text{cost}(C_b) + \text{cost}(C_t) + |X_b| + |C_t|$$

$\text{cost}(C)$

green node gets new green parent:

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

brown node gets new brown parent:

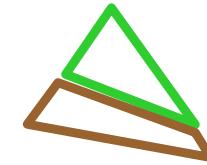
accounted by $\text{cost}(C_b)$

brown node gets new green parent:
for the first time

accounted by $|X_b|$

brown node gets new green parent:
again

accounted by $|C_t|$



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- $\#\text{roots}(\mathcal{F}_b)$

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$$\begin{aligned} \text{cost}(C) &\leq \text{cost}(C_b) + \text{cost}(C_+) \\ &+ |X_b| - \#\text{roots}(\mathcal{F}_b) + |C_+| \end{aligned}$$

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

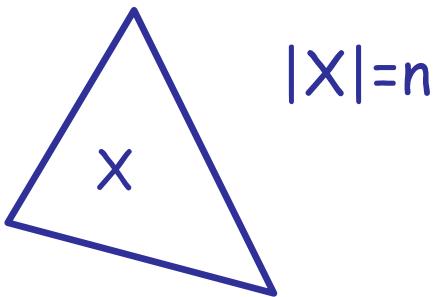
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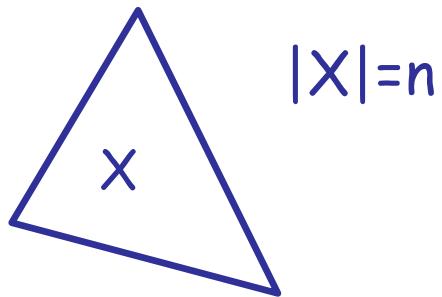


C compression sequence $|C|=m$

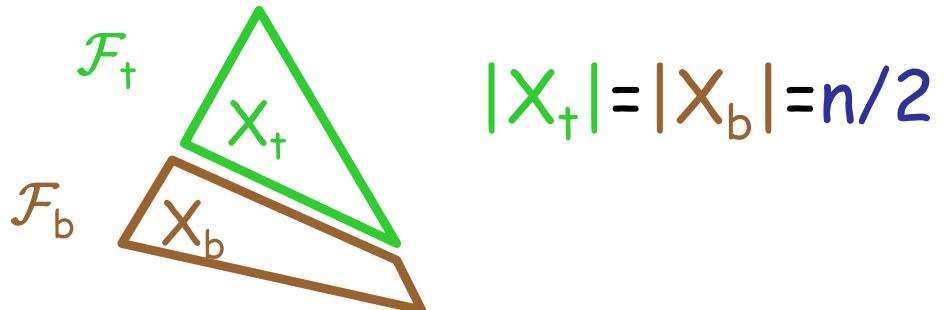
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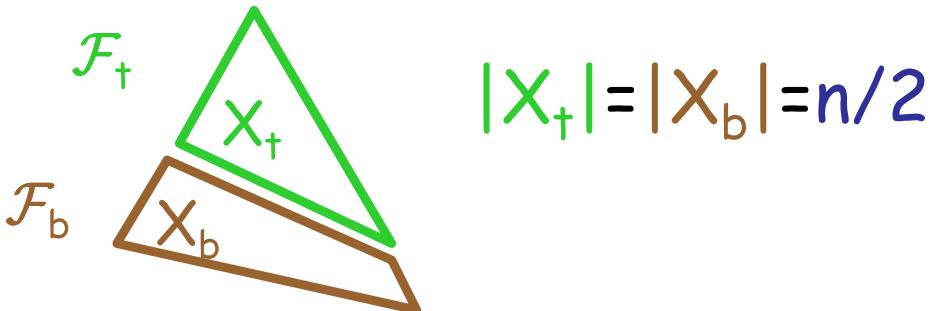
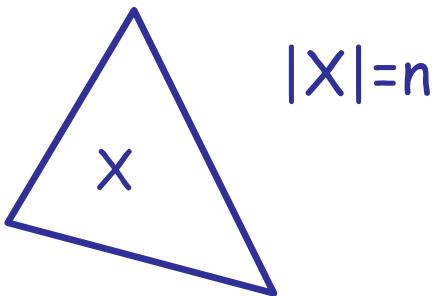


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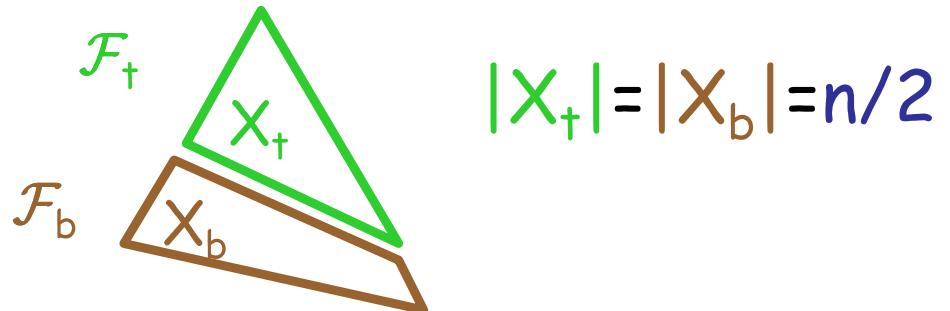
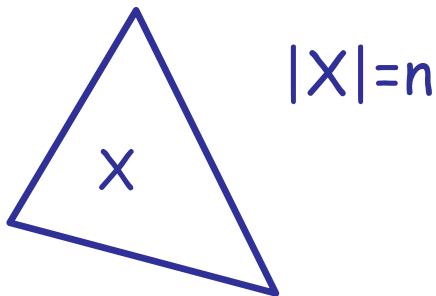
$$m_b + m_t \leq m$$

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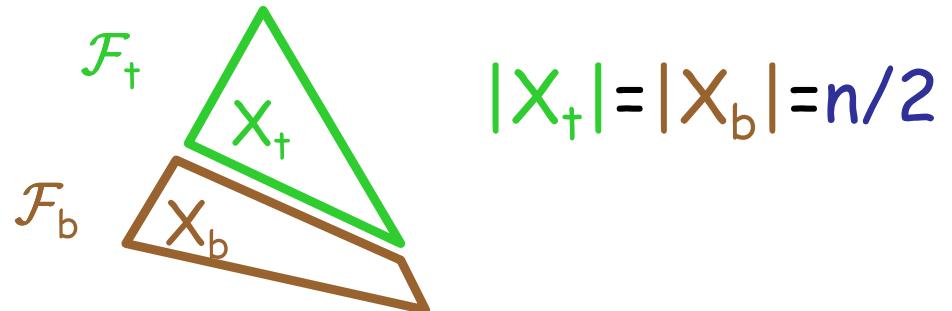
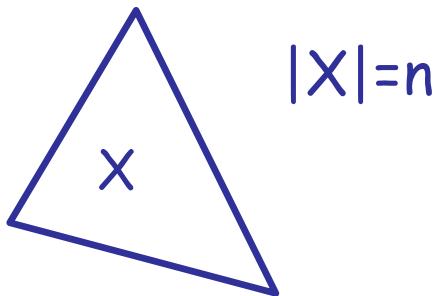
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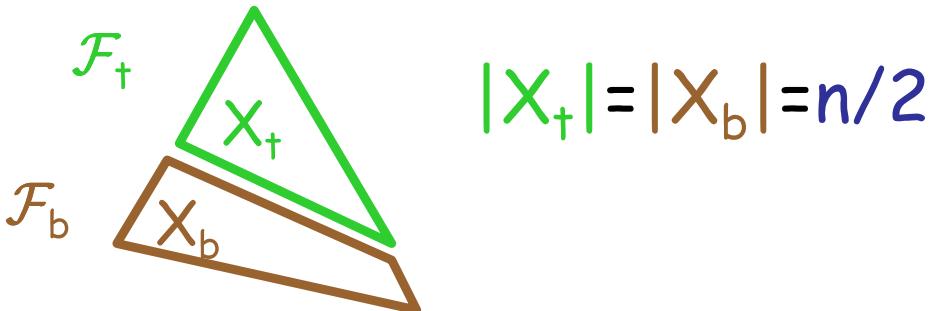
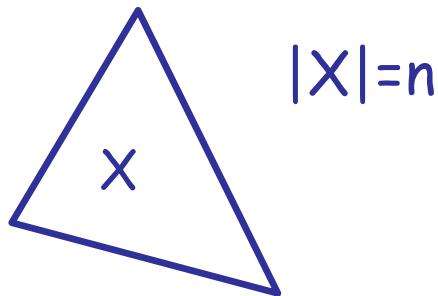
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$$\leq (m_b + m_t + n/2 + n/2) \log n/2 + n + m$$

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

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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Note: Union by rank produces rank forests !

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

Inheritance Lemma:

Rank forest with maximum rank r and node set X

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

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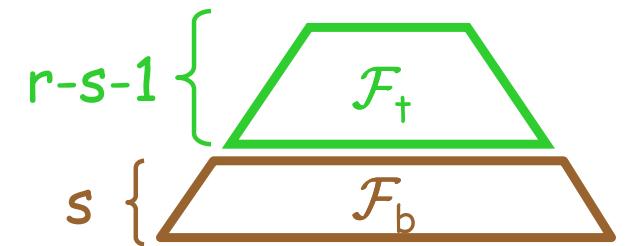
- i) $X_{\leq s}, X_{>s}$ is a dissection for \mathcal{F}
- ii) $\mathcal{F}_{\leq s}$ is a rank forest with maximum rank $\leq s$
- iii) $\mathcal{F}_{>s}$ is a rank forest with maximum rank $\leq r-s-1$
- iv) $|X_{>s}| \leq |X| / 2^{s+1}$

Inheritance Lemma:

Rank forest with maximum rank r and node set X

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

- 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 $\leq r-s-1$



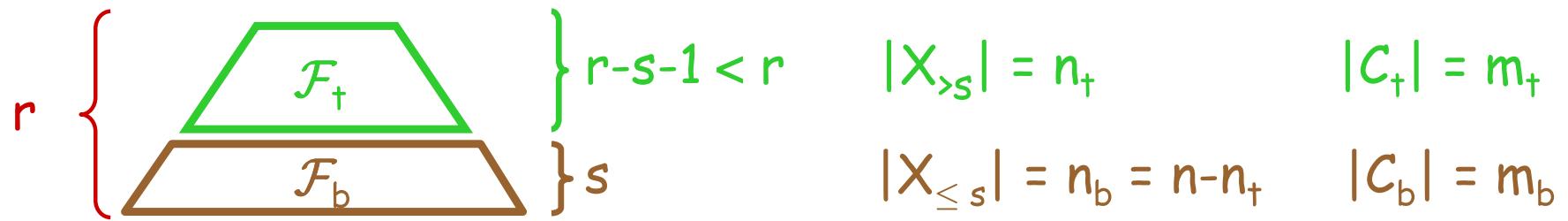
$f(m, n, r)$ = maximum cost of any compression sequence C , with $|C|=m$, in rank forest \mathcal{F} with n nodes and maximum rank r .

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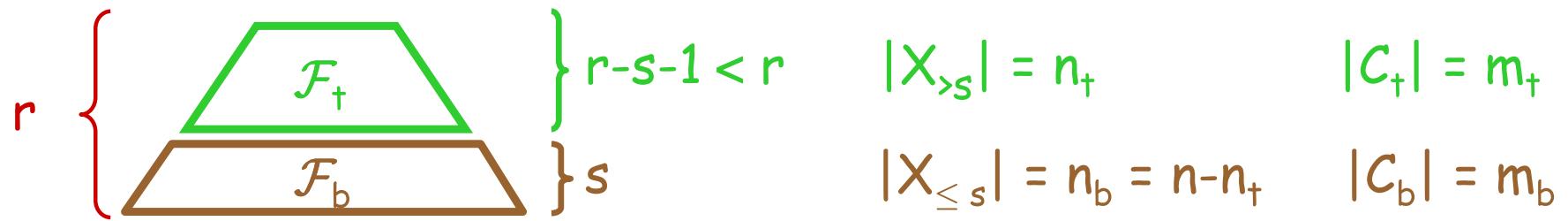
Trivial bounds:

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

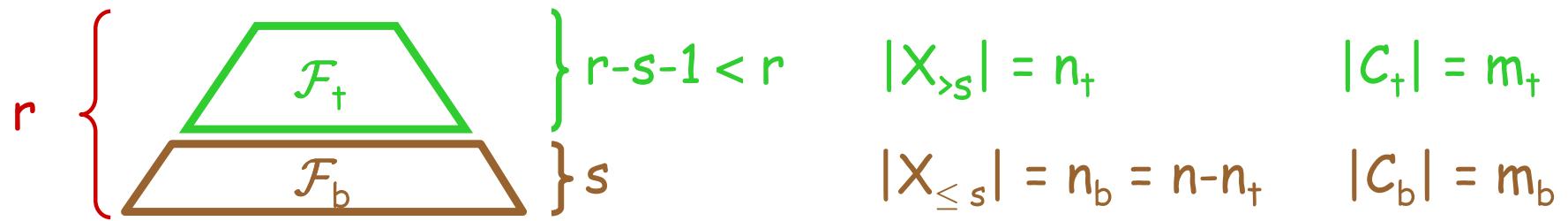
$$f(m,n,r) \leq (r-1) \cdot m$$



$$\text{cost}(C) \leq \text{cost}(C_t) + \text{cost}(C_b) + |X_b| - \#\text{rts}(\mathcal{F}_b) + |C_t|$$

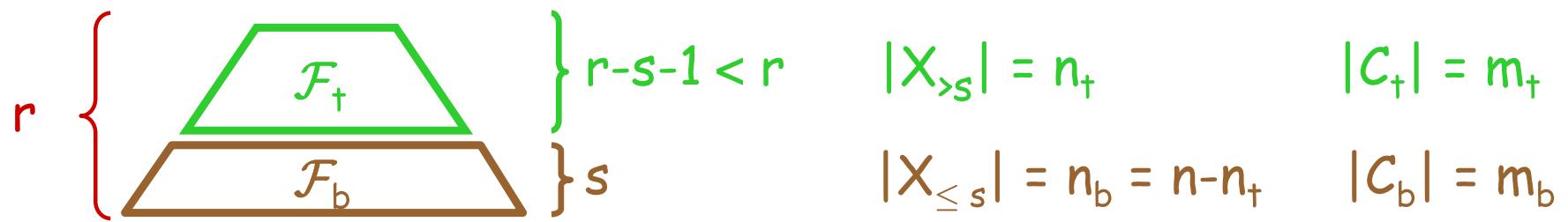


$$\begin{aligned} \text{cost}(C) &\leq \text{cost}(C_t) + \text{cost}(C_b) + |X_b| - \#\text{rts}(\mathcal{F}_b) + |C_t| \\ &\leq f(m_t, n_t, r-s-1) + \end{aligned}$$

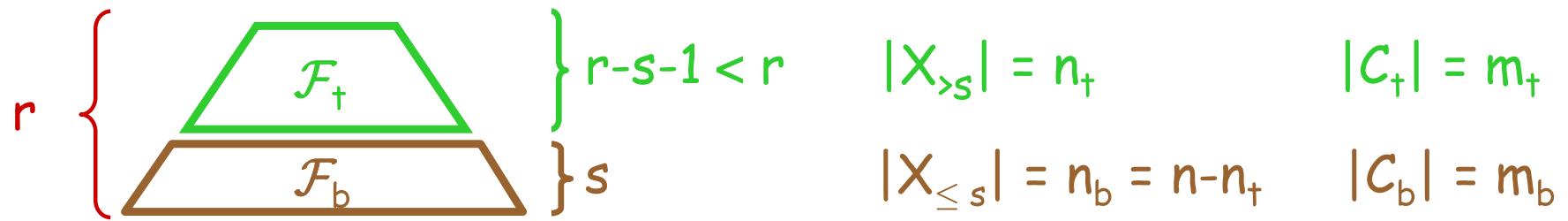


$$\begin{aligned} |X_{>s}| &= n_t & |C_t| &= m_t \\ |X_{\leq s}| &= n_b = n - n_t & |C_b| &= m_b \end{aligned}$$

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



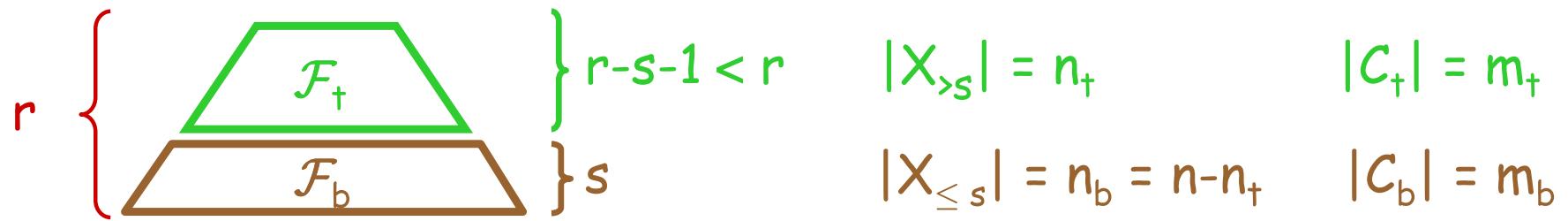
$$\begin{aligned}
 \text{cost}(C) &\leq \text{cost}(C_t) + \text{cost}(C_b) + |X_b| - \#\text{rts}(F_b) + |C_t| \\
 &\leq f(m_t, n_t, r-s-1) + f(m_b, n_b, s) + n - n_t -
 \end{aligned}$$



$$|X_{>s}| = n_t \quad |C_t| = m_t$$

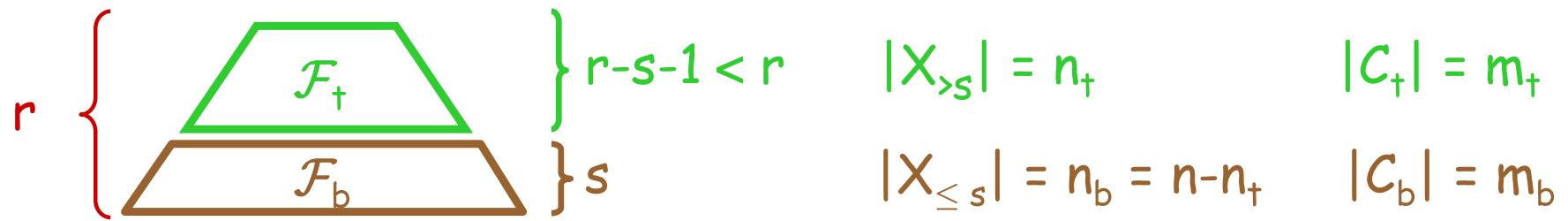
$$|X_{\leq s}| = n_b = n - n_t \quad |C_b| = m_b$$

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



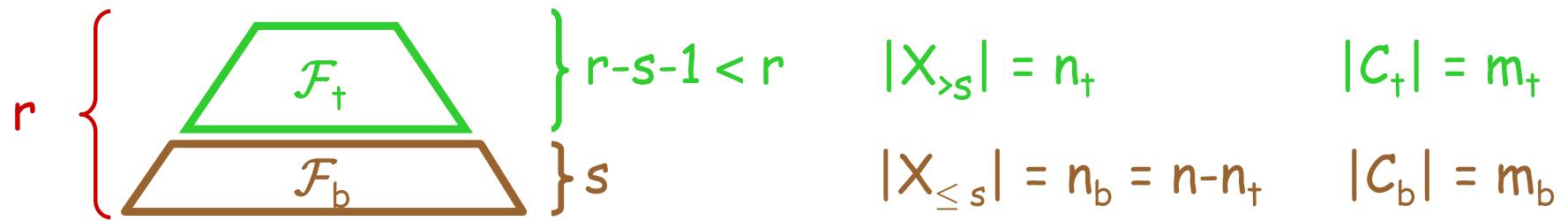
$$\begin{aligned} \text{cost}(C) &\leq \text{cost}(C_t) + \text{cost}(C_b) + |X_b| - \#\text{rts}(\mathcal{F}_b) + |C_t| \\ &\leq f(m_t, n_t, r-s-1) + f(m_b, n_b, s) + n - n_t - (s+1) \cdot n_t + \end{aligned}$$

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



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

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



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

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

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

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

$$\begin{array}{l} n_t + n_b = n \\ m_t + m_b \leq m \end{array} \quad 0 \leq s < r$$

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

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Assume: $f(\mu, v, p) \leq k \cdot \mu + v \cdot g(p)$

$$\begin{aligned} f(m, n, r) &\leq k \cdot m_t + n_t \cdot g(r-s-1) + f(m_b, n_b, s) + n - (s+2) \cdot n_t + m_t \\ &\leq k \cdot m_t + n_t \cdot g(r) + f(m_b, n_b, s) + n - s \cdot n_t + m_t \end{aligned}$$

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choose $s = g(r)$

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choose $s = g(r)$

$$\begin{aligned} f(m, n, r) &\leq (k+1) \cdot m_t + f(m_b, n_b, s) + n \\ &\leq (k+1) \cdot m_t + f(m_b, n, s) + n \end{aligned}$$

$$\textcolor{red}{s} = g(r)$$

$$f(m,n,r) \leq \textcolor{blue}{(k+1)} \cdot m_+ + f(m_b,n,\textcolor{red}{s}) + n$$

$$s = g(r)$$

$$f(m, n, r) \leq (k+1) \cdot m_t + f(m_b, n, s) + n \quad | \quad -(k+1) \cdot (m_b + m_t)$$

$$s = g(r)$$

$$f(m, n, r) \leq (k+1) \cdot m_t + f(m_b, n, s) + n \quad \overbrace{\quad \quad \quad}^m - (k+1) \cdot (m_b + m_t)$$

$$s = g(r)$$

$$f(m, n, r) \leq (k+1) \cdot m_t + f(m_b, n, s) + n \quad \Bigg| \quad \overbrace{-(k+1) \cdot (m_b + m_t)}^m$$

$$f(m, n, r) - (k+1) \cdot m \leq f(m_b, n, s) - (k+1) \cdot m_b + n$$

$$s = g(r)$$

$$f(m, n, r) \leq (k+1) \cdot m_t + f(m_b, n, s) + n \quad \left| \quad \overbrace{\quad \quad \quad}^m -(k+1) \cdot (m_b + m_t)$$

$$f(m, n, r) - (k+1) \cdot m \leq f(m_b, n, s) - (k+1) \cdot m_b + n$$

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

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

$$s = g(r)$$

$$f(m, n, r) \leq (k+1) \cdot m_t + f(m_b, n, s) + n \quad \left| \quad \overbrace{\quad \quad \quad}^m -(k+1) \cdot (m_b + m_t)$$

$$f(m, n, r) - (k+1) \cdot m \leq f(m_b, n, s) - (k+1) \cdot m_b + n$$

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

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

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

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

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

for any $i \geq 0$

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

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$$= 0 \cdot m + n \cdot (r-1)$$

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

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

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

$$\begin{aligned} n_t + n_b &= n \\ m_t + m_b &\leq m \end{aligned} \quad 0 \leq s < r$$

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$$\begin{aligned} f(m, n, r) &\leq n_t \cdot (r-s-2) + f(m_b, n_b, s) + n - (s+2) \cdot n_t + m_t \\ &\leq n_t \cdot (r-2s-4) + f(m_b, n_b, s) + n + m_t \end{aligned}$$

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set $s = \lfloor r/2 \rfloor$

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

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

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set $s = \lfloor r/2 \rfloor$

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

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

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

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set $s = \lfloor r/2 \rfloor$

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

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

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

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

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

for any $i \geq 0$

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

Therefore for any $i \geq 0$:

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

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

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

Choice of i :

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

Choice of i :

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

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

Choice of i :

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

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

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

Choice of i :

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$$\leq (m+n)(1+\alpha(\log n))$$

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

Choice of i :

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

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

Choice of i :

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

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

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

Choice of i :

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

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

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

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

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