Disjoint-Set Forests

Thanks for Showing Up!

Outline for Today

Incremental Connectivity

Maintaining connectivity as edges are added to a graph.

• Disjoint-Set Forests

A simple data structure for incremental connectivity.

Union-by-Rank and Path Compression

• Two improvements over the basic data structure.

Forest Slicing

A technique for analyzing these structures.

The Ackermann Inverse Function

An unbelievably slowly-growing function.

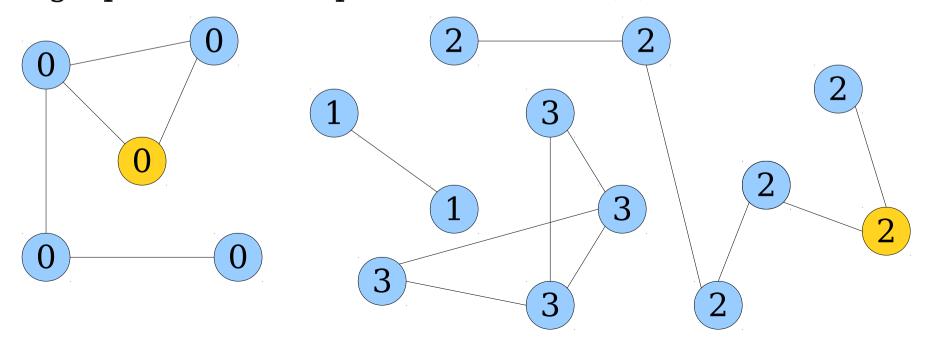
The Dynamic Connectivity Problem

The Connectivity Problem

• The *graph connectivity problem* is the following:

Given an undirected graph *G*, preprocess the graph so that queries of the form "are nodes *u* and *v* connected?"

• Using $\Theta(m+n)$ preprocessing, can preprocess the graph to answer queries in time O(1).

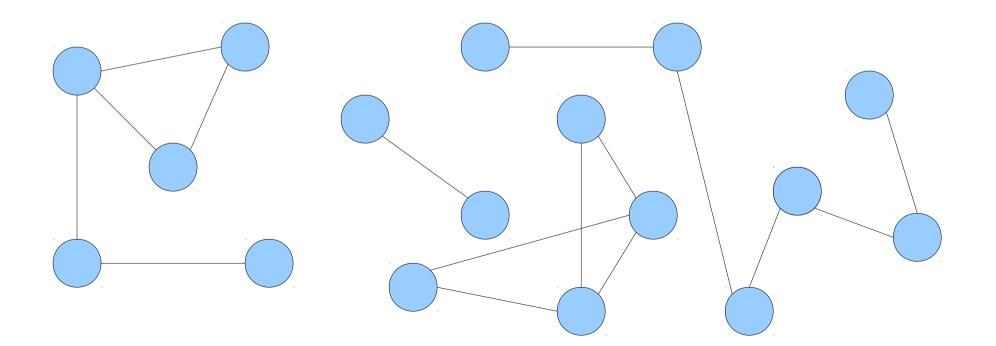


Dynamic Connectivity

• The *dynamic connectivity problem* is the following:

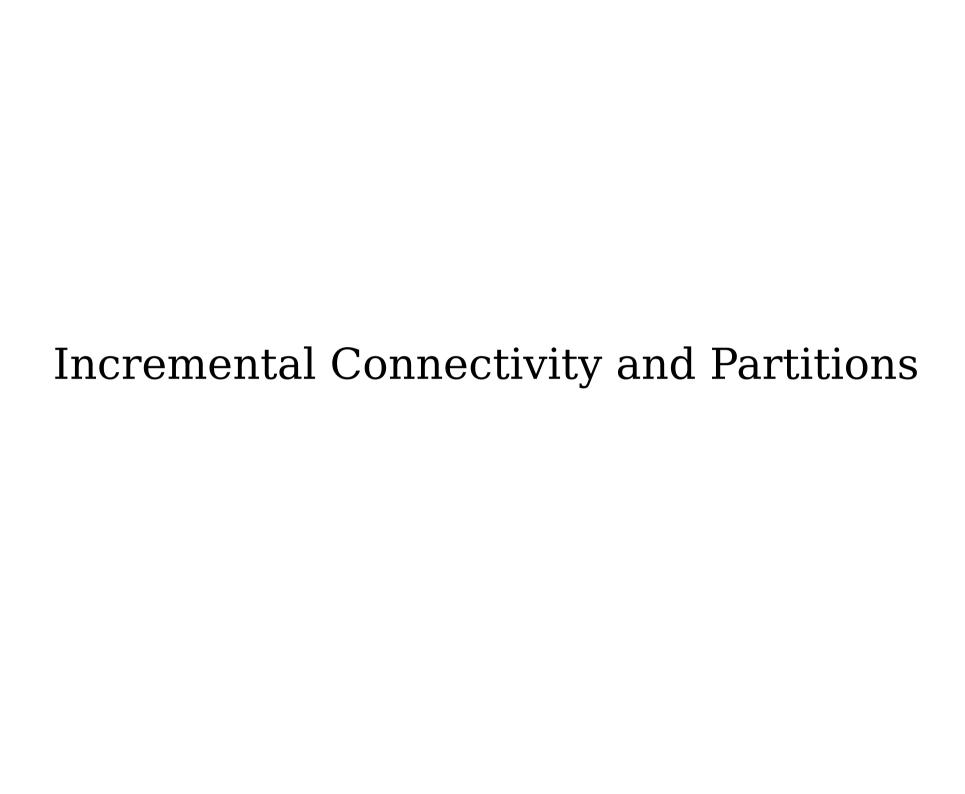
Maintain an undirected graph G so that edges may be inserted an deleted and connectivity queries may be answered efficiently.

• This is a *much* harder problem!



Dynamic Connectivity

- Today, we'll focus on the *incremental dynamic connectivity problem:* maintaining connectivity when edges can only be added, not deleted.
- Has applications to Kruskal's MST algorithm and to many other online connectivity settings.
 - Look up percolation theory for an example.
- These data structures are also used as building blocks in other algorithms:
 - Speeding up Edmond's blossom algorithm for finding maximum matchings.
 - As a subroutine in Tarjan's offline lowest common ancestors algorithm.
 - Building meldable priority queues out of non-meldable queues.



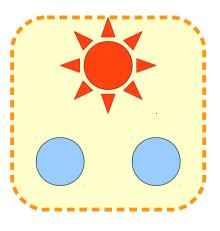
Set Partitions

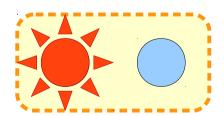
- The incremental connectivity problem is equivalent to maintaining a partition of a set.
- Initially, each node belongs to its own set.
- As edges are added, the sets at the endpoints become connected and are merged together.
- Querying for connectivity is equivalent to querying for whether two elements belong to the same set.

Representatives

- Given a partition of a set *S*, we can choose one *representative* from each of the sets in the partition.
- Representatives give a simple proxy for which set an element belongs to: two elements are in the same set in the partition iff their set has the same representative.







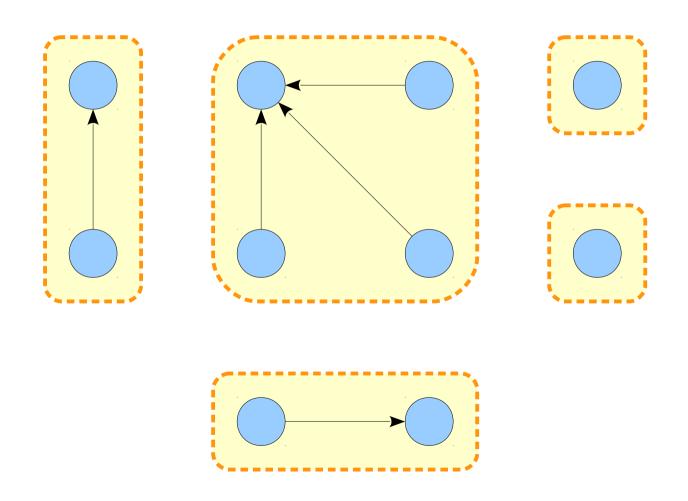
Union-Find Structures

- A *union-find structure* is a data structure supporting the following operations:
 - find(x), which returns the representative of the set containing node x, and
 - union(x, y), which merges the sets containing x and y into a single set.
- We'll focus on these sorts of structures as a solution to incremental connectivity.

Data Structure Idea

- *Idea*: Have each element store a pointer directly to its representative.
- To determine if two nodes are in the same set, check if they have the same representative.
- To link two sets together, change all elements of the two sets so they reference a single representative.

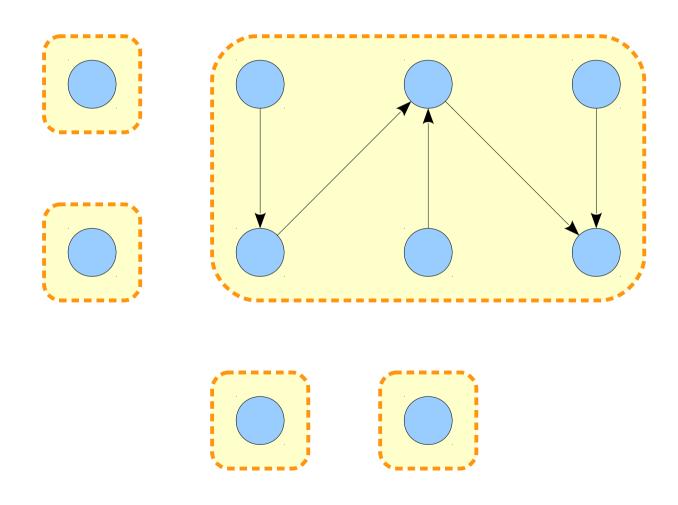
Using Representatives



Using Representatives

- If we update all the representative pointers in a set when doing a *union*, we may spend time O(n) per *union* operation.
 - If you're clever with how you change the pointers, you can make it amortized O(log n) per operation. Do you see how?
- Can we avoid paying this cost?

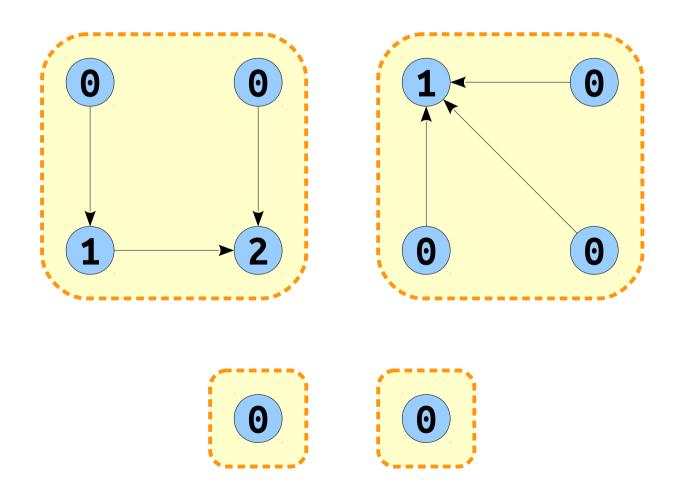
Hierarchical Representatives



Hierarchical Representatives

- In a degenerate case, a hierarchical representative approach will require time $\Theta(n)$ for some **find** operations.
- Therefore, some *union* operations will take time $\Theta(n)$ as well.
- Can we avoid these degenerate cases?

Union by Rank



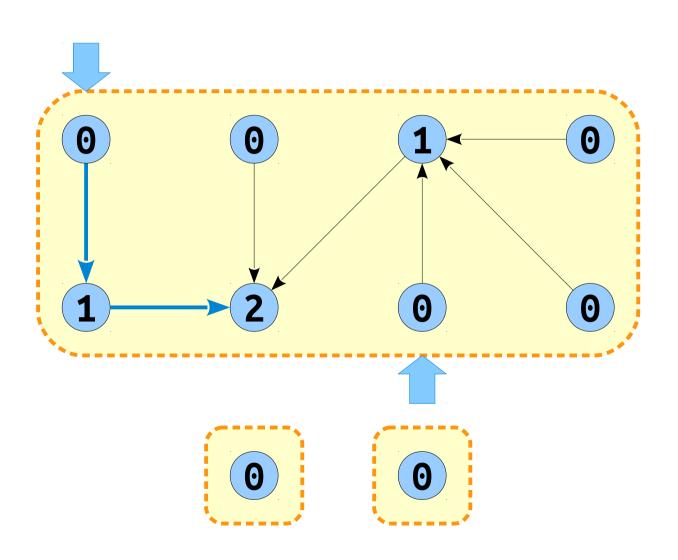
Union by Rank

- Assign to each node a rank that is initially zero.
- To link two trees, link the tree of the smaller rank to the tree of the larger rank.
- If both trees have the same rank, link one to the other and increase the rank of the other tree by one.

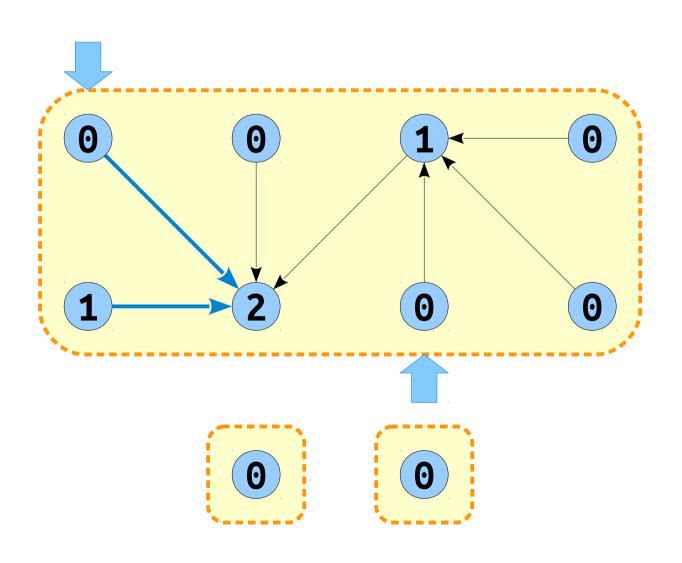
Union by Rank

- *Claim*: The number of nodes in a tree of rank r is at least 2^r .
 - Proof is by induction; intuitively, need to double the size to get to a tree of the next order.
 - Fun fact: the smallest tree with a root of rank r is a binomial tree of order r. Crazy!
- *Claim:* Maximum rank of a node in a graph with n nodes is $O(\log n)$.
- Runtime for *union* and *find* is now $O(\log n)$.
- *Useful fact for later on:* The number of nodes of rank r or higher in a disjoint set forest with n nodes is at most $n / 2^r$.

Path Compression



Path Compression



Path Compression

- **Path compression** is an optimization to the standard disjoint-set forest.
- When performing a *find*, change the parent pointers of each node found along the way to point to the representative.
- Purely using path compression, each operation has amortized cost $O(\log n)$.
- What happens if we combine this with unionby-rank?

The Claim

- *Claim:* The runtime of performing m *union* and *find* operations on an n-node disjoint-set forest using path compression and union-by-rank is $O(n + m\alpha(n))$, where α is an *extremely* slowly-growing function.
- The original proof of this result (which is included in CLRS) is due to Tarjan and uses a complex amortized charging scheme.
- Today, we'll use an an aggregate analysis due to Seidel and Sharir based on a technique called *forest-slicing*.

Where We're Going

- First, we're going to define our cost model so we know how to analyze the structure.
- Next, we'll introduce the forest-slicing approach and use it to prove a key lemma.
- Finally, we'll use that lemma to build recurrence relations that analyze the runtime.

Our Cost Model

- The cost of performing a union or find depends on the length of the paths followed.
- The cost of any one operation is

 $\Theta(1 + \#ptr-changes-made)$

because each time we visit a node that doesn't immediately point to its representative, we change where it points.

• Therefore, the cost of *m* operations is

 $\Theta(m + \#ptr-changes-made)$

• We will analyze the number of pointers changed across the life of the data structure to bound the overall cost.

Some Accounting Tricks

- To perform a *union* operation, we need to first perform two *find*s.
- After that, only O(1) time is required to perform the *union* operation.
- Therefore, we can replace each union(x, y) with three operations:
 - A call to **find**(x).
 - A call to **find**(y).
 - A linking step between the nodes found this way.
- Going forward, we will assume that each *union* operation will take worst-case time O(1).

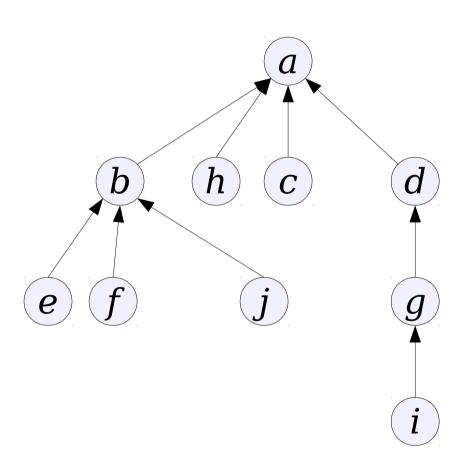
A Slight Simplification

- Currently, find(x) compresses from x up to its ancestor.
- For mathematical simplicity, we'll introduce an operation compress(x, y) that compresses from x upward to y, assuming that y is an ancestor of x.
- Our analysis will then try to bound the total cost of the *compress* operations.

Removing the Interleaving

- We will run into some trouble in our analysis because *union*s and *compress*es can be interleaved.
- To address this, we will will remove the interleaving by pretending that all *union*s come before all *compress*es.
- This does not change the overall work being done.

Removing the Interleaving



compress(j, b) union(b, a) compress(h, a) union(b, a)
compress(j, b)
compress(h, a)

$$f \rightarrow b$$

$$h \rightarrow b$$

$$j \rightarrow b$$

$$b \rightarrow a$$

$$h \rightarrow a$$

 $b \rightarrow a$ $f \rightarrow b$ $h \rightarrow b$ $j \rightarrow b$ $h \rightarrow a$

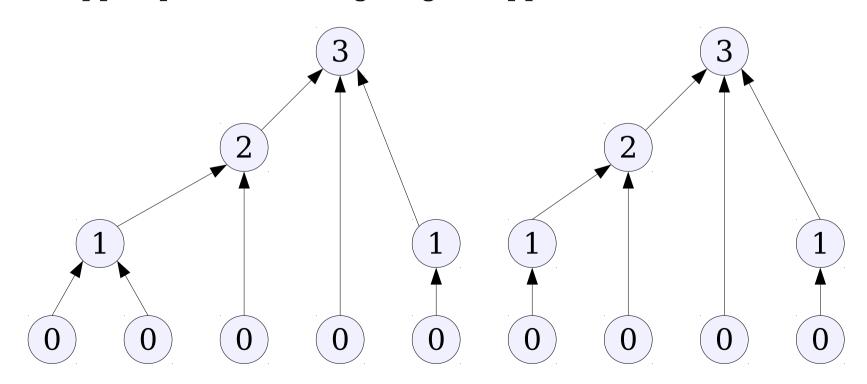
Recap: The Setup

- Transform any sequence of *union*s and *find*s as follows:
 - Replace all *union* operations with two *find*s and a *union* on the ancestors.
 - Replace each *find* operation with a *compress* operation indicating its start and end nodes.
 - Move all *union* operations to the front.
- Since all *union*s are at the front, we build the entire forest before we begin compressing.
- Can analyze *compress* assuming the forest has already been created for us.

A Quick Initial Analysis

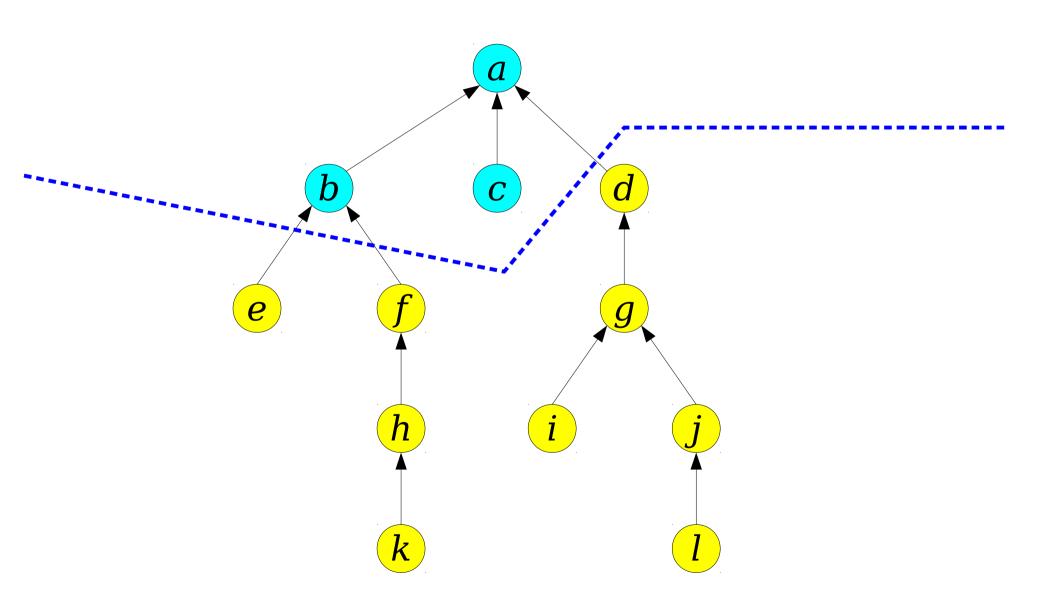
An Initial Analysis

- *Lemma:* Any series of m *compress* operation on a forest \mathscr{F} with n nodes and maximum rank r makes at most nr pointer changes.
- **Proof:** Every time a node's representative change, the rank of that representative increases. The maximum number of times this can happen per node is r, giving an upper bound of nr.



The Forest-Slicing Approach

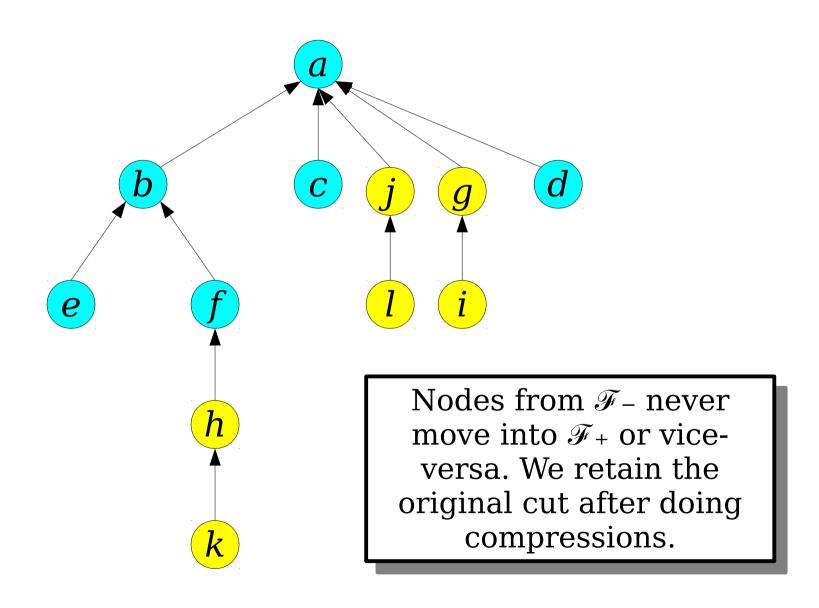
Forest-Slicing



Forest-Slicing

- Let F be a disjoint-set forest.
- Consider splitting \mathscr{F} into two forests \mathscr{F}_+ and \mathscr{F}_- with the following properties:
 - \mathscr{F}_+ is **upward-closed**: if $x \in \mathscr{F}_+$, then any ancestor of x is also in \mathscr{F}_+ .
 - \mathscr{F}_- is **downward-closed**: if $x \in \mathscr{F}_-$, then any descendant of x is also in \mathscr{F}_- .
- We'll call \mathscr{F}_+ the **top forest** and \mathscr{F}_- the **bottom forest**.

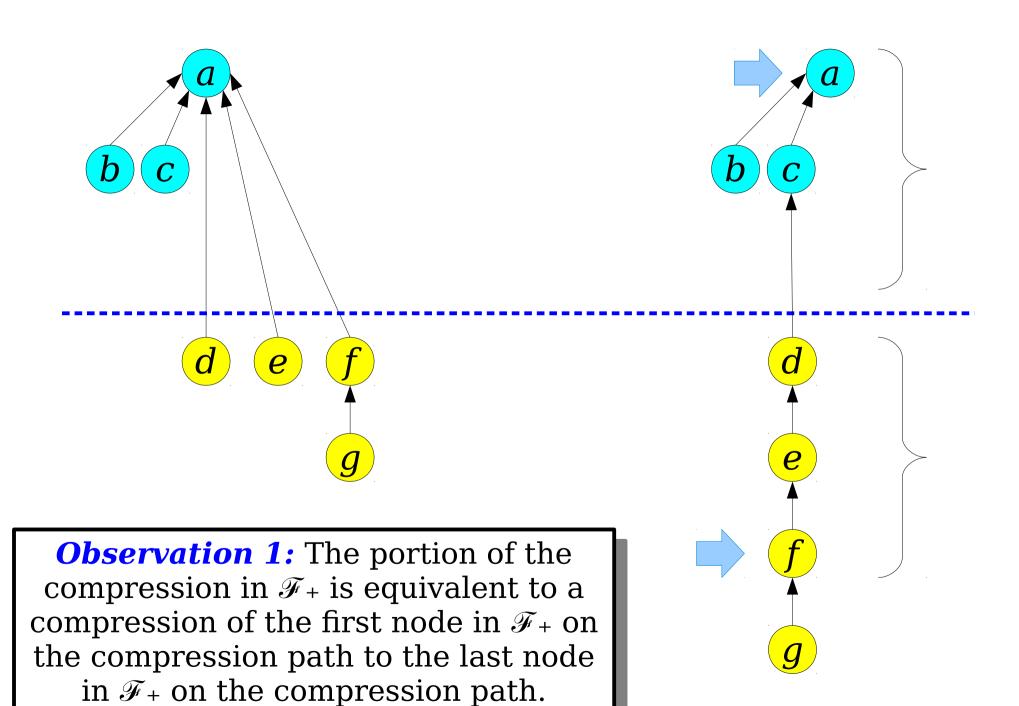
Forest-Slicing

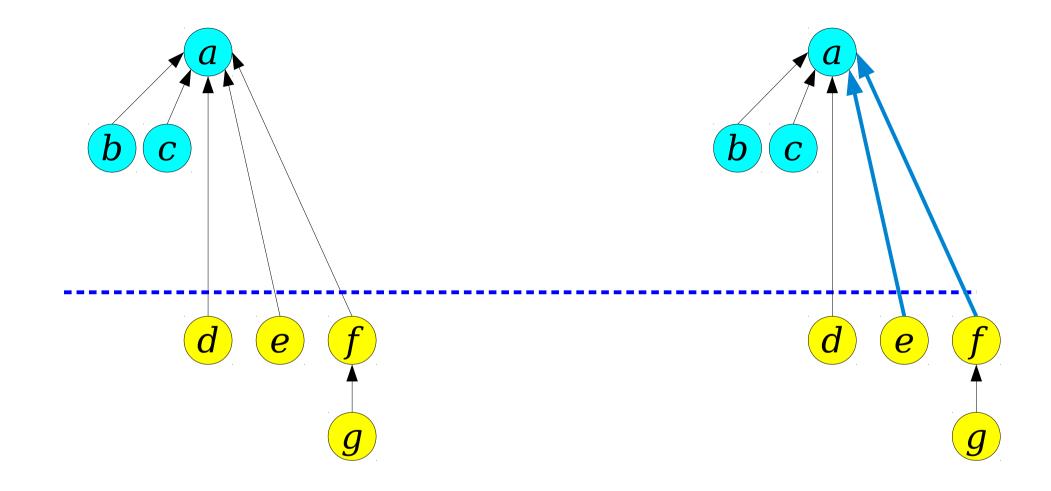


Why Slice Forests?

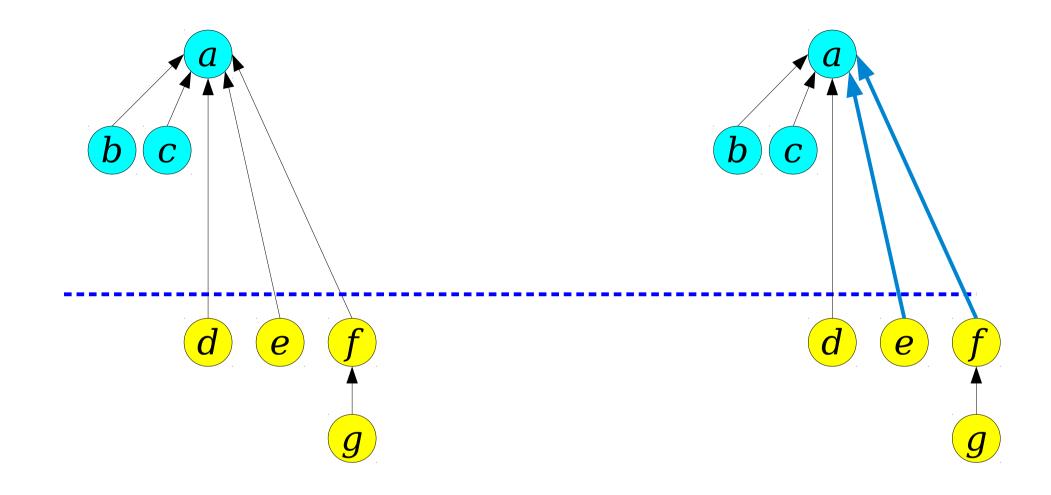
Forest-Slicing

- Key insight: Each compress operation is either
 - purely in \mathscr{F}_+ ,
 - purely in \mathscr{F}_{-} , or
 - crosses from \mathscr{F}_- into \mathscr{F}_+ .
- If we can bound the cost of *compress* operations that cross from \mathscr{F}_- to \mathscr{F}_+ , we can try to set up a recurrence relation to analyze the cost of those *compress*es.





Observation 2: The effect of the compression on \mathscr{F}_- is *not* the same as the effect of compressing from the first node in \mathscr{F}_- to the last node in \mathscr{F}_- .



Observation 3: The cost of the compress in \mathscr{F}_- is the number of nodes in \mathscr{F}_- that got a parent in \mathscr{F}_+ , plus (possibly) one more for the topmost node in \mathscr{F}_- on the compression path.

The Cost of Crossing Compressions

- Suppose we do m compressions, of which m_+ of them cross from \mathscr{F}_- into \mathscr{F}_+ .
- We can upper bound the cost of these compressions as the sum of the following:
 - the cost of all the tops of those compressions, which occur purely in \mathcal{F}_+ ;
 - the number of nodes in \mathscr{F}_- , since each node in \mathscr{F}_- gets a parent in \mathscr{F}_+ for the first time at most once; and
 - m_+ , since each compression may change the pointer of the topmost node on the path in \mathscr{F}_- .

Theorem: Let \mathscr{F} be a disjoint-set forest and let \mathscr{F}_+ and \mathscr{F}_- be a partition of \mathscr{F} into top and bottom forests.

Then for any series of m compressions C, there exist two sequences of compressions

- C_+ , a series of m_+ compressions purely in \mathscr{F}_+ ; and
- C_- , a series of m_- compressions purely in \mathscr{F}_- , such that
 - $\cdot m_{+} + m_{-} = m$
 - $\cdot \cot(C) \le \cot(C_+) + \cot(C_-) + n + m_+$

Compressions that appear purely in \mathscr{F}_+ or purely in \mathscr{F}_- , plus the tops of crossing compressions.

Nodes in \mathcal{F}_- getting their first parent in \mathcal{F}_+

Nodes in \mathcal{F}_- having their parent in \mathcal{F}_+ change.

Time-Out for Announcements!

The midterm is tonight from 7PM – 10PM in room 320-105.

Good luck!

Back to CS166!

The Main Analysis

Where We Are

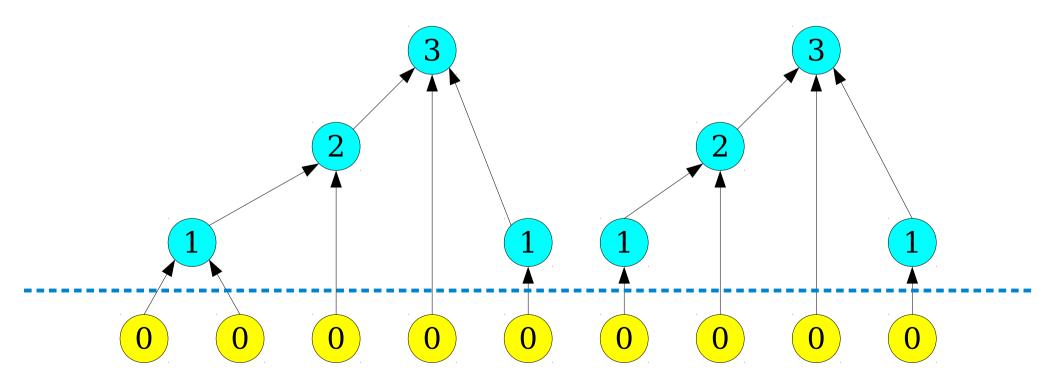
We now have a sort of recurrence relation for evaluating the runtime of a series *C* of *m compress*es on an *n*-node forest *F* sliced into *F*+ and *F*-:

$$cost(C) \le cost(C_+) + cost(C_-) + n + m_+$$

- This recurrence relation assumes that we already know how we've sliced \mathscr{F} into \mathscr{F}_+ and \mathscr{F}_- .
- To complete the analysis, we're going to need to precisely quantify what happens if we slice the forest in a number of different ways.

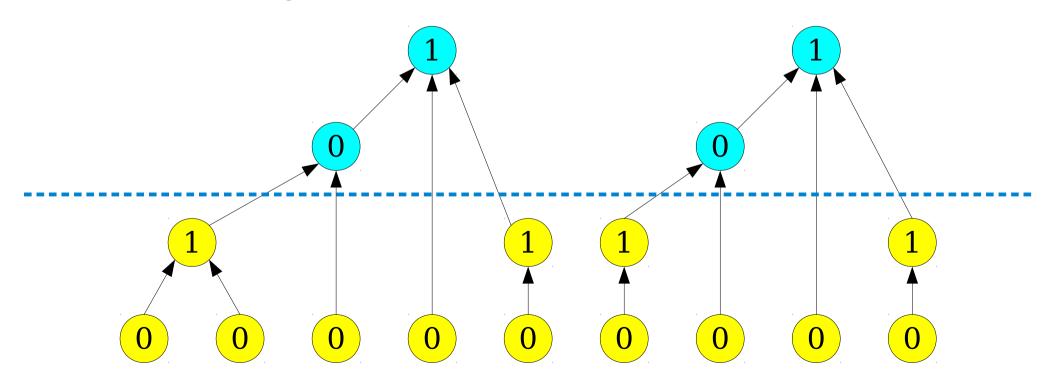
Natural Slices

• One "natural" way to slice a forest \mathscr{F} into \mathscr{F}_+ and \mathscr{F}_- is to pick some threshold rank. We then choose \mathscr{F}_+ to be all the nodes whose rank is above the threshold and \mathscr{F}_- to be all the other nodes.



Natural Slices

• If our initial forest has maximum rank r and we slice the forest at rank r', the bottom forest has maximum rank r' and the top forest is (essentially) a forest of rank r - r'.



Slicing our Forest

- Imagine that we have our forest \mathscr{F} of maximum rank r.
- Suppose we cut slice the forest into \mathscr{F}_+ and \mathscr{F}_- at some rank r'.
- We know that $cost(C) \le cost(C_+) + cost(C_-) + n + m_+.$
- Let's investigate $cost(C_+)$ and $cost(C_-)$ independently.

The Top Forest

- Let's begin by thinking about $cost(C_+)$, the cost of compresses in the top forest \mathscr{F}_+ .
- **Recall:** \mathcal{F}_+ consists of all nodes of rank r'or higher.
- Intuitively, we'd expect there to not be "too many" nodes in the top forest, since it's exponentially harder to get nodes of progressively harder orders.
- Using our lemma from before, we know that there can be at most $n / 2^r$ nodes in \mathcal{F}_+ .
- Therefore, using our (weak) bound from before, we see that

$$cost(C_+) \leq \frac{nr}{2r'}$$
.

Slicing our Forest

- Imagine that we have our forest \mathscr{F} of maximum rank r.
- Suppose we cut slice the forest into \mathscr{F}_+ and \mathscr{F}_- at some rank r'.
- We know that

$$cost(C) \le cost(C_+) + cost(C_-) + n + m_+.$$

Therefore

$$cost(C) \le nr / 2^{r'} + cost(C_-) + n + m_+.$$

• Let's now go investigate $cost(C_{-})$.

Improving our Recurrence

$$cost(C) \leq nr / 2^{r} + cost(C_{-}) + n + m_{+}.$$

- Notice that cost(*C*) is the cost of
 - doing m compresses,
 - in an *n*-node forest, with
 - maximum rank *r*.
- We now have $cost(C_{-})$, which is the cost of
 - doing m– **compress**es,
 - in a forest with at most *n* nodes, with
 - maximum rank r'.
- Let's make these dependencies more explicit.

Improving our Recurrence

$$cost(C) \leq nr / 2^{r} + cost(C_{-}) + n + m_{+}.$$

- Define T(m, n, r) to be the cost of
 - performing *m* compress operations,
 - in a forest of at most *n* nodes, where
 - the maximum rank is *r*.
- The above recurrence can be rewritten as $T(m, n, r) \le T(m_-, n, r') + nr / 2^{r'} + n + m_+$
- Now, we "just" need to solve this recurrence. Don't worry... it's not too bad!

Finalizing our Recurrence

$$T(m, n, r) \le T(m_-, n, r') + nr / 2r + n + m_+$$

- The above recurrence is dependent on having a choice of r' based on our choice of r.
- If we make r' too large, then the recurrence relation takes too long to bottom out and we'll expect a higher runtime.
- If we make r' too small, the $nr / 2^{r'}$ term will be too large and our analysis won't be tight.
- How do we balance these terms out?

Finalizing our Recurrence

$$T(m, n, r) \le T(m_-, n, r') + nr / 2^{r'} + n + m_+$$

• *Idea*: Choose $r' = \lg r$. Then

$$T(m, n, r) \le T(m_-, n, \lg r) + 2n + m_+.$$

- Imagine that this recurrence expands out *L* times before it bottoms out. Think about what happens:
 - The 2n term gets summed in L times.
 - The m_+ term the number of compresses in the top forest sums up to at most m across all compressions.
- Overall, we get $T(m, n, r) \leq 2nL + m$.

Iterated Logarithms

We now have

$$T(m, n, r) \le 2nL + m.$$

- The quantity L represents the number of layers in the recurrence, and at each step we have r dropping to $\lg r$.
- The *iterated logarithm*, denoted lg*n, is the number of times we can apply lg to n before it drops to some constant (say, 2). Therefore:

$$T(m, n, r) \le 2n \lg^* r + m.$$

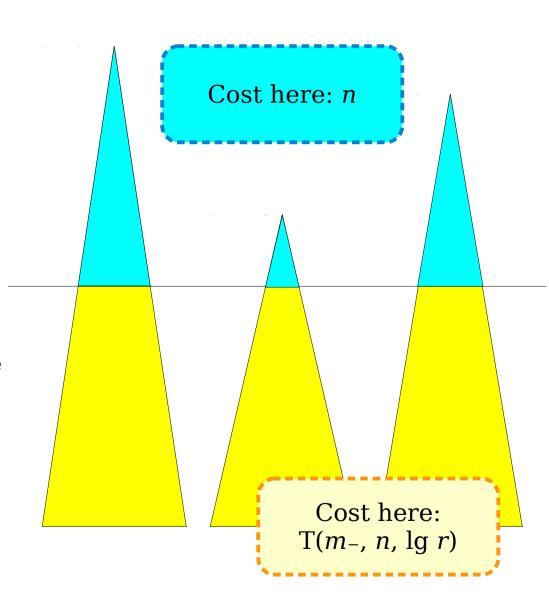
• And since the maximum rank is at most $\lg n$, we see that the cost of performing m operations on an n-node forest is $O(n \lg^* n + m)$.

Iterated Logarithms

- The function $\lg n$ is the inverse of the function 2^n ; that is, $2 \times 2 \times ... \times 2$, n times.
- The *tetration* operation, denoted ${}^{n}2$, is given by ${}^{n}2 = 2^{2^{n-2}}$, with n copies of 2 in the tower of exponents. It grows *extremely* quickly!
- The function lg* *n* is the inverse of tetration. It grows *extremely* slowly!
- *Useful fact:* $lg^* n \le 5$ for any n less than or equal to the number of atoms in the universe.

- Let's recap, how we got here.
- We begin with a forest \mathscr{F} of maximum rank r.
- We sliced \mathscr{F} at rank $\lg r$.
- We (directly) obtained a weak bound on the cost of the compressions in the (small) forest F₊.
- We recursively obtained a (good) bound on the cost of the compressions in the (larger) forest F_-.
- We solved the recurrence to get the bound

 $T(m, n, r) \leq 2n \lg^* r + m.$



What could we do to tighten the runtime bound?

• *Option 1:* Tighten the bound on the cost of the top forest.

Option 2: Slice the forest even lower to make the recursion tree shorter.

Previously, we used our weak bound that the cost of any series of operations on n nodes in a forest of maximum rank r was at most nr. We now have a bound of $2n \lg^* r + m$, which is much tighter.

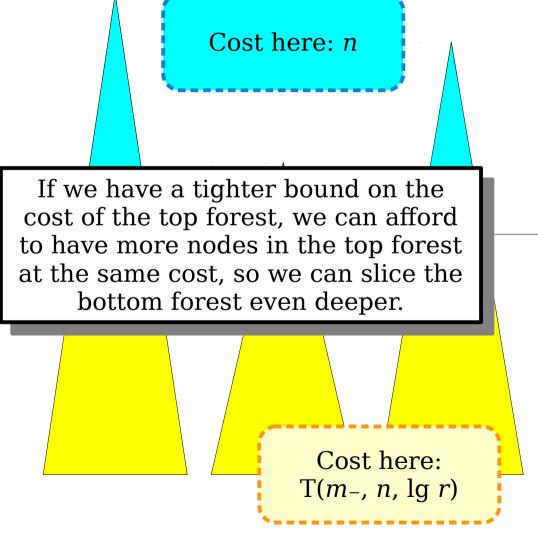
Cost here: *n*

Cost here: $T(m_-, n, \lg r)$

What could we do to tighten the runtime bound?

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Slicing our Forest, Again

- Imagine that we have a forest \mathscr{F} of maximum rank r.
- Suppose we cut slice the forest into \mathscr{F}_+ and \mathscr{F}_- at some rank r'.
- We know that

$$cost(C) \leq cost(C_+) + cost(C_-) + n + m_+.$$

Therefore

$$T(m, n, r) \le cost(C_+) + T(m, n, r') + n + m_+.$$

• Let's investigate $cost(C_+)$ using our previous analysis.

The Top Forest

- **Lemma:** In an *n*-node forest \mathscr{F} of maximum rank r, if we split \mathscr{F} into \mathscr{F}_+ and \mathscr{F}_- by cutting the forest at rank r', then $cost(C_+) \leq 2n \lg^* r / 2^{r'} + m_+$.
- **Proof:** There are $n / 2^r$ nodes in this forest and the maximum rank is at most r. The cost of performing m+ compress operations here is therefore

$$2(n/2^{r}) \lg^* r + m_+.$$

• Observation: Our previous bound was

$$rn / 2^{r'}$$
.

We previously set $r' = \lg r$ because that was as low as we could go without $cost(C_+)$ being too high. With our new bound, we can afford to make r' much lower.

Our Recurrence

• We had

$$T(m, n, r) \le cost(C_+) + T(m_-, n, r') + n + m_+.$$

So we now have

$$T(m, n, r) \le T(m_-, n, r') + 2n \lg^* r / 2^{r'} + n + 2m_+.$$

- Previously, we picked $r' = \lg r$ and ended up with a bound in terms of $\lg^* r$.
- Now, we pick $r' = \lg^* r$. Then we have

$$T(m, n, r) \le T(m_-, n, \lg^* r) + 2n + 2m_+.$$

• Using a similar analysis as before, if L is the number of layers in the recurrence, this solves to

$$T(m, n, r) \leq 2nL + 2m.$$

Iterated Iteration

We have

$$T(m, n, r) \leq 2nL + 2m,$$

where L is the number of layers in the iteration.

• At each step, we shrink r to $\lg^* r$. The maximum number of times we can do this is denoted $\lg^{**} r$, so we have

$$T(m, n, r) \le 2n \lg^{**} r + 2m.$$

• So the cost of any m operations is $O(n \lg^{**} n + m)$.

Iterated Iterated Logarithms

- The *pentation* operation is next in the family of fastgrowing functions.
- Just as tetration is iterated exponentiation, pentation is iterated tetration, so 2 pentated to the *n*th power, denoted _n2, is

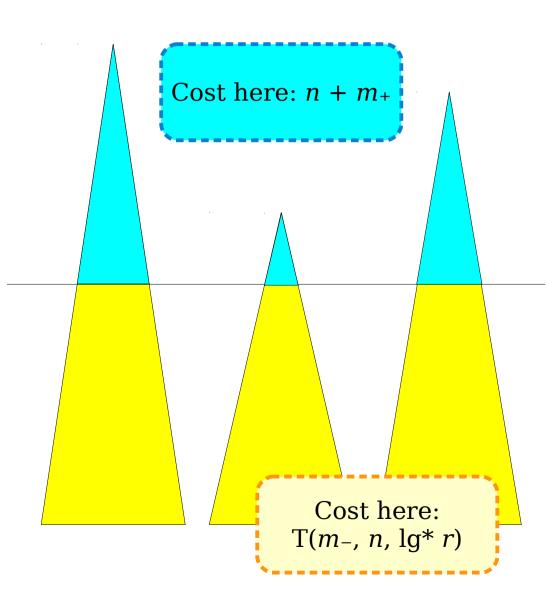
$$\left(2^{2^{2^{...^2}}}\right)$$
... $\left(2^{2^{2^{...^2}}}\right)$

where there are *n*2 copies of the exponential towers.

• The function lg** *n* is the inverse of pentation. It grows *unbelievably* slowly!

- Let's recap, how we got here.
- We begin with a forest \mathscr{F} of maximum rank r.
- We sliced \mathscr{F} at rank $\lg^* r$.
- We (directly) obtained a weak bound on the cost of the compressions in the (small) forest F₊.
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 $T(m, n, r) \leq 2n \lg^{**} r + 2m.$



What could we do to tighten the runtime bound?

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Option 2: Slice the forest even lower to make the recursion tree shorter.

Previously, we used our weak bound that the cost of any series of operations on n nodes in a forest of maximum rank r was at most $2n \lg^* r + m$. We now have a bound of $2n \lg^{**} r + 2m$, which is much tighter.

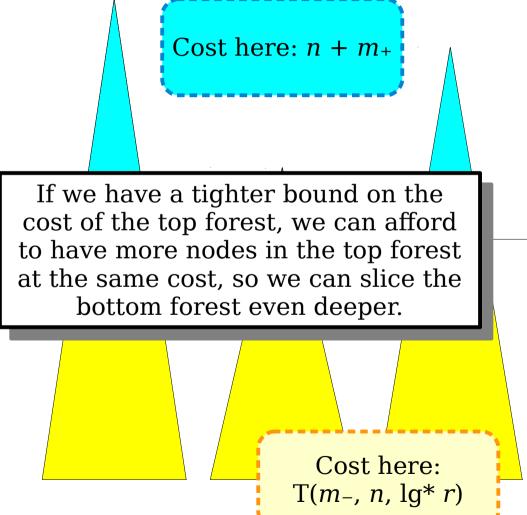
Cost here: $n + m_+$

Cost here: $T(m_-, n, \lg^* r)$

What could we do to tighten the runtime bound?

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• *Option 2:* Slice the forest even lower to make the recursion tree shorter.



The Feedback Lemma

• **Lemma:** Suppose we know that

$$T(m, n, r) \leq 2n \lg^{*(k)} n + km.$$

Then

$$T(m, n, r) \le 2n \lg^{*(k+1)} n + (k+1)m.$$

• **Proof:** Induction! Use the previous proof as a template: split the forest at rank $lg^{*(k)} r$, use the known bound to bound the cost of the top forest, and use recursion to bound the cost of the bottom forest. \blacksquare

The Final Steps

• For any $k \in \mathbb{N}$, we have

$$T(m, n, r) \leq 2n \lg^{*(k)} r + km.$$

• We can upper-bound r at $\log n$, so we have

$$T(m, n) \leq 2n \lg^{*(k)} n + km.$$

- As n gets larger and larger, we can increase the value of k to make the $\lg^{*(k)} n$ term at most some constant value.
- *Question:* What is that k, as a function of n?
- The **Ackermann inverse function**, denoted $\alpha(n)$, is

$$\alpha(n) = \min\{ k \in \mathbb{N} \mid \lg^{*(k)} n \le 3 \}$$

• **Theorem:** The cost of performing any m operations on any n-node disjoint set forest using union-by-rank and path compression is $O(n + m\alpha(n))$.

Intuiting $\alpha(n)$

- Imagine we want to define some function *A* such that
 - A(n, 0) = 2
 - A(n, 1) = 2 + 2 + ... + 2 = 2n
 - $A(n, 2) = 2 \times 2 \times ... \times 2 = 2^n$.
 - $A(n, 3) = 2^{2...^2} = n^2$. (tetration)
 - $A(n, 4) = {}^{2}...22 = {}_{n}2$. (pentation)
 - A(n, 5) doesn't have a name, but scares children.
- The function *A* is called an *Ackermann-type function*. There are a number of different functions in this family, but they all (fundamentally) apply higher and higher orders of functions to the arguments.

Intuiting $\alpha(n)$

• **Theorem:** Asymptotically, the function $\alpha(n)$ is the inverse of A(n, n), hence the name "Ackermann inverse".

• Intuition:

- lg n is the inverse of 2^n , which is A(n, 2).
- lg* n is the inverse of n2 (tetration), which is A(n, 3).
- \lg^{**} is the inverse of $_n^2$ (pentation), which is A(n, 4).
- $\alpha(n)$ tells you how many stars you need to make $\lg^{*(k)} n$ drop to a constant, which essentially asks for which essentially asks for what order of operation you need to invert.
- This function grows more slowly than *any* of the iterated logarithm families. It's so slowly-growing that an input to it that would make it more than, say, 10 can't even be expressed without inventing special notation for fast-growing numbers.

Intuiting $\alpha(n)$

- If you keep dividing by two, you should expect a log term.
- If you keep taking logs, you should expect a log* term.
- If you keep taking log*s, you should expect a log** term.
- If you keep adding stars to your logs, you should expect an α term.

Some Notes on $\alpha(n)$

- The term $\alpha(n)$ arises in many different algorithms:
 - Range semigroup queries: there's a lower bound of $\alpha(n)$ on the cost of a query under certain algebraic assumptions.
 - Minimum spanning trees: the fastest known deterministic MST algorithm runs in time $O(m\alpha(n))$ due to a connection to the above topic.
 - Splay trees: imagine you treat a splay tree as a deque. Hilariously, the best bound we have on the runtime of performing n deque operations is $O(n\alpha^*(n))$. It's suspected to be O(n), but this hasn't been proven.
- α(n) and its variants are the slowest-growing functions that are routinely encountered in algorithms and data structures. And now you know where it comes from!

Next Time

- Euler Tour Trees
 - Fully dynamic connectivity in forests.
- Dynamic Graphs
 - Fully dynamic connectivity in general graphs (ITA).