DSC 190

Data Structures & Algorithms

Today's Lecture

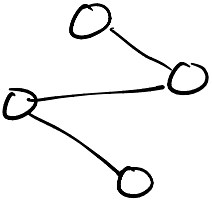
Disjoint Sets

- Often need to keep a collection of **disjoint sets**.
  - Example: $\{\{4, 6, 2, 0\}, \{1, 3\}, \{5\}\}$

- May need to union disjoint sets.

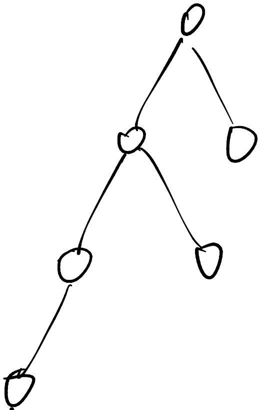
- May need to check if two items are in same set.

Use Case



- We are given a **stream** of nodes, edges.
- Want to keep track of CCs at every step.
- BFS/DFS take $\Theta(V + E)$ time; efficient to compute CCs once, but then need to recompute.

Use Cases



- Used in Kruskal’s algorithm for MST.
- Used in single linkage clustering.
- Used in Tarjan’s algorithm to find LCA in a tree.

Disjoint Sets, Abstractly

- A **disjoint sets** ADT represents a collection of disjoint sets.
  - Example: $\{\{4, 6, 2, 0\}, \{1, 3\}, \{5\}\}$
- Supports three operations:
  - `.make_set()`, `.find_set(x)`, `.union(x, y)`
- Sometimes called a **Union-Find** data type.

Assumption

- Elements are consecutive integers.
  - Example: $\{\{4, 6, 2, 0\}, \{1, 3\}, \{5\}\}$
- Not really a limitation.
  - Keep dictionary mapping, e.g., string ids to integers.

{{0}, {1}, {2}}

.make_set()

- Create a new singleton set.
- Element "id" automatically inferred, returned.

```
>>> ds = DisjointSet()
>>> ds.make_set()
0
>>> ds.make_set()
1
>>> ds.make_set()
2
```

.union(x, y)

$\{\{0\}, \{1\}, \{2\}\}$

$\Downarrow$

$\{\{0, 2\}, \{1\}\}$

- Union sets containing x and y.
- Updates data structure in-place.

```
>>> ds = DisjointSet()
>>> ds.make_set()
0
>>> ds.make_set()
1
>>> ds.make_set()
2
>>> ds.union(0, 2)
```

{{0, 2, 1}}

.find_set(x)

- Find **representative** of set containing x.
- Representative is arbitrary, but same for all items in same set.
- Used to test if two nodes in same set.
- Guaranteed to not change unless a union is performed.

```
>>> # ds is {{0}, {1}, {2}}
>>> ds.union(0, 2)
>>> ds.find_set(0)
0
>>> ds.find_set(2)
0
>>> ds.union(0, 1)
>>> ds.find_set(0)
1
>>> ds.find_set(1)
1
>>> ds.find_set(2)
1
```

Today's Lecture

- How do we implement a disjoint set?
- We'll introduce the **disjoint set forest** data structure.
- Talk about two heuristics that make it very efficient.

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DATA STRUCTURES & ALGORITHMS

Disjoint Set Forests

Implementing Disjoint Sets

- First idea: a `list` of `set`s.

  `[{2, 4, 3}, {1, 5}, {0}]`

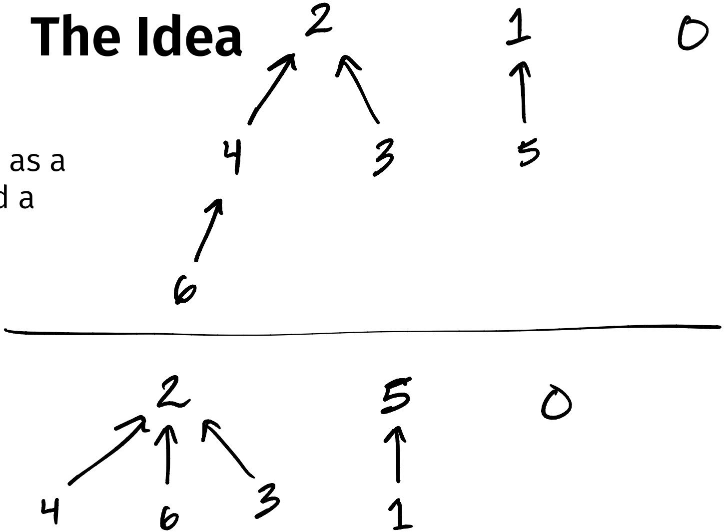
- **Problem**: unioning two `set`s takes time linear in size of smaller.

Looking Ahead

- We’ll design data structure so that all operations, including `union`, take (practically) $\Theta(1)$ time.

The Idea

- Represent collection as a forest of trees, called a **Disjoint Set Forest**.
- Example: {{2, 4, 3, 6}, {1, 5}, {0}}
- Not unique!



Tree Structure

- Each node has reference to **parent**.
- Not a binary tree!

Representing Forests

- We have several choices:
- 1) Each node is own **object** with `parent` attribute.
- 2) Keep a **list** containing parent of each element.

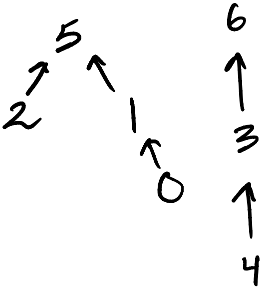
Approach #1

```
class DSFNode:

    def __init__(self, parent=None):
        self.parent = parent
```

- `make_set` becomes `DSFNode()`
- `find_set` and `union` are functions, not methods.
- They accept `DSFNode` objects.

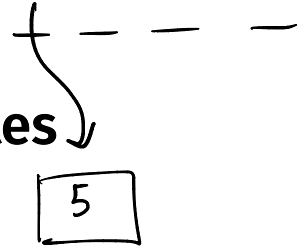
Approach #2

```python
class DisjointSetForest:

    def __init__(self):
        # self._parent[i] is
        # parent of element i
        self._parent = []

    def make_set(self):
        ...

    def find_set(self, x):
        ...

    def union(self, x, y):
        ...
```



[1, 5, 5, 6, 3, None, None]

Implementation Notes



- We'll use the second approach.
- We can use second representation because elements are consecutive integers.
- For cache locality, use numpy array, not `list`.

.make_set

0 1 2

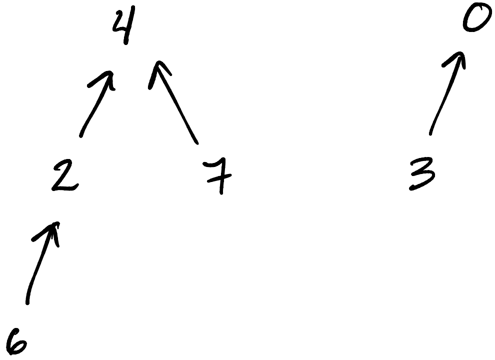
{ {0}, {1}, {2} }

```python
def make_set(self):
    # infer new element's "id"
    x = len(self._parent)
    self._parent.append(None)
    return x
```

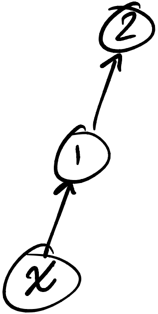
```python
>>> dsf = DisjointSetForest()
>>> dsf.make_set()
0
>>> dsf.make_set()
1
>>> dsf.make_set()
2
>>> dsf._parent
[None, None, None]
```

.find_set(x)

- Idea: use the “root” as the representative.



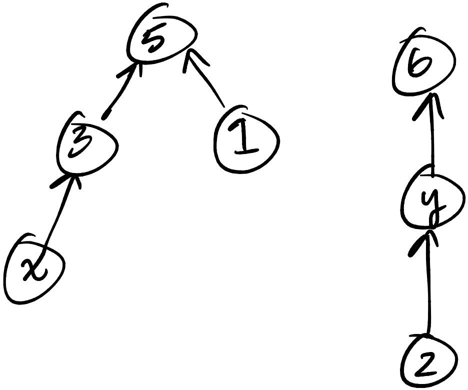
.find_set



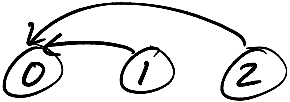

```
def find_set(self, x):
    if self._parent[x] is None:
        return x
    else:
        return self.find_set(self._parent[x])
```

.union(x, y)

- Idea: make one root the parent of the other.



.union(x, y)




```
def union(self, x, y):
    x_rep = self.find_set(x)
    y_rep = self.find_set(y)
    if x_rep != y_rep:
        self._parent[y_rep] = x_rep
```

```
>>> # dsf is {{0}, {1}, {2}}
>>> dsf._parent
[None, None, None]
>>> dsf.union(0, 1)
>>> dsf._parent
[None, 0, None]
>>> dsf.union(1, 2)
>>> dsf._parent
[None, 0, 0]
```

Analysis

- `.make_set`: $\Theta(1)$ time[1]
- `.union`: depends on `.find_set`
- `.find_set`: $O(h)$, where h is height of tree

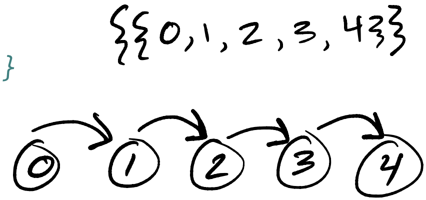
[1] Amortized, since we're using a dynamic array. But truly $\Theta(1)$ with an over-allocated static array or in the object representation.

Tree Height

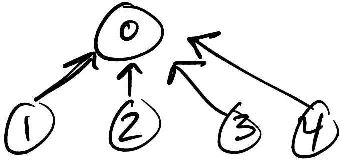
- Trees can be very deep, with $h = O(n)$.
  - `.find_set` and `.union` can take $\Theta(n)$ time!

- Example:

```
# dsf is {{0}, {1}, {2}, {3}, {4}}
>>> dsf.union(1, 0)
>>> dsf.union(2, 1)
>>> dsf.union(3, 2)
>>> dsf.union(4, 3)
```



Tree Height

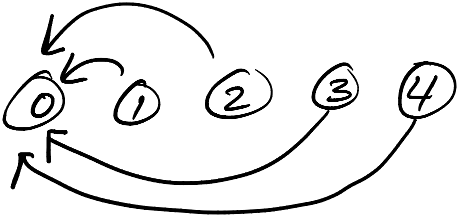


- But trees can also be shallow, with $h = O(1)$.

{{0,1,2,3,4}}

- Example:

```
# dsf is {{0}, {1}, {2}, {3}, {4}}
>>> dsf.union(0, 1)
>>> dsf.union(1, 2)
>>> dsf.union(2, 3)
>>> dsf.union(3, 4)
```



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Data Structures & Algorithms

Path Compression and Union-by-Rank

The Bad News

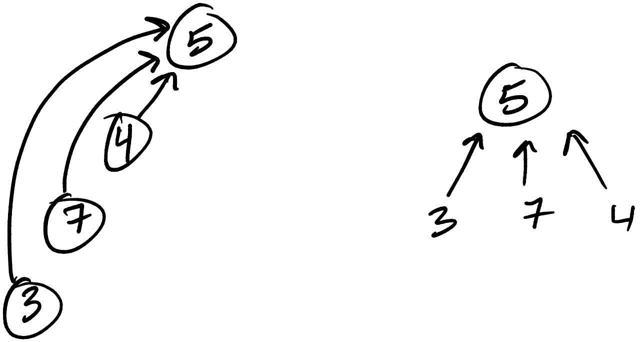
- We saw that the tree can become very deep.
- In worst case, `.find_set` and thus `.union` take $\Theta(n)$ time.

Heuristics

- Now: two heuristics helping trees stay shallow.
- **Union-by-Rank** and **Path Compression**
- Together, these result in a massive speed up.

Path Compression

- Idea: if we find a long path during `.find_set`, "compress" it to (possibly) reduce height.

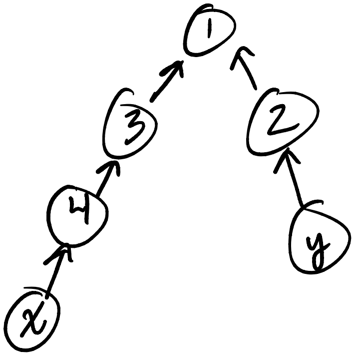


.find_set

```
def find_set(self, x):
    if self._parent[x] is None:
        return x
    else:
        root = self.find_set(self._parent[x])
        self._parent[x] = root
        return root
```

Union-by-Rank

- Should we `.union(x, y)` or `.union(y, x)`?



Union-by-Rank

- Placing deeper tree under shallower tree increases height by one.
- But placing shallower tree under deeper tree doesn’t increase height.
- **Idea**: always place shallower tree under deeper.

Rank

- We need to keep track of height (**rank**) of each tree.
- Store `rank` attribute.
- `rank[i]` is height[2] of tree rooted at node *i*.

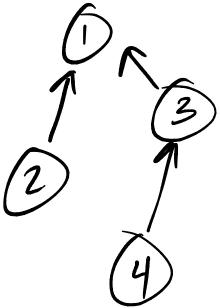
[2] Exactly the height if path compression isn't used, but upper bound if it is.

Rank

```
class DisjointSetForest:

    def __init__(self):
        self._parent = []
        self._rank = []

    def make_set(self):
        # infer new element's "id"
        x = len(self._parent)
        self._parent.append(None)
        self._rank.append(0)
        return x
```

.union

```
def union(self, x, y):
    x_rep = self.find_set(x)
    y_rep = self.find_set(y)

    if x_rep == y_rep:
        return

    if self._rank[x_rep] > self._rank[y_rep]:
        self._parent[y_rep] = x_rep
    else:
        self._parent[x_rep] = y_rep
        if self._rank[x_rep] == self._rank[y_rep]:
            self._rank[y_rep] += 1
```



Note

- With path compression, rank is no longer *exactly* the height – it is an upper bound.
- But this is good enough.

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Data Structures & Algorithms

Analysis

Analysis of DSF

- A DSF with path compression and union-by-rank ensures trees are shallow.
- How does this affect runtime?

Answer

- Assuming union-by-rank and path compression...
- In a sequence of m operations, n of which are `.make_sets`...
- Amortized cost of a single operation is $O(\alpha(n))$.
- α is the **inverse Ackermann function**, and it is essentially constant.

Inverse Ackermann

$\alpha(n)$	n
0	$n \in [0, 1, 2]$
1	$n = 3$
2	$n \in [4, \ldots, 7]$
3	$n \in [8, \ldots, 2047]$
4	$n \in [2048, \ldots, 2^{2048}]$ and beyond

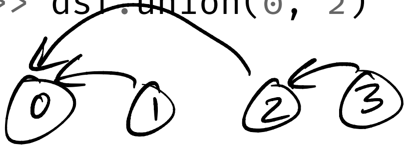
Proof

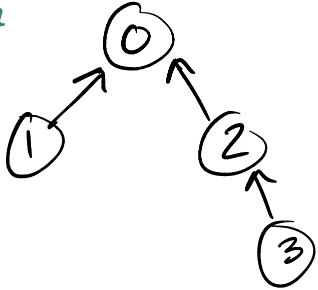
- The formal analysis is quite involved.
- But we’ll provide some intuition.

Union-by-rank Alone

- Union-by-rank alone ensures height is $O(\log n)$.

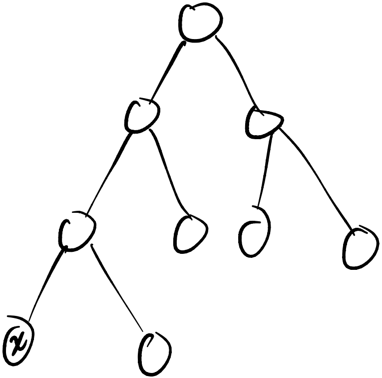
```
# dsf is {{0}, {1}, {2}, {3}}
>>> dsf.union(0, 1)
>>> dsf.union(2, 3)
>>> dsf.union(0, 2)
```





Union-by-rank Alone

- Union-by-rank alone ensures `.find_set` is $O(\log n)$.



Path Compression + U-by-R

- With path compression, individual `.find_set` calls can take $O(\log n)$.

- But they massively improve subsequent calls.
  - For other nodes, too!