### Kruskal's Algorithm; Disjoint Sets CSE 332 Spring 2021

Instructor: Hannah C. Tang

#### **Teaching Assistants:**

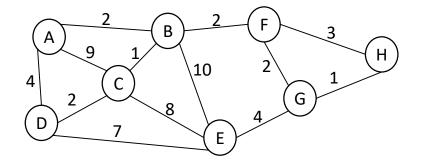
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- How many times do you need to take the log of 20,035,299,304,068,464,649,790,723,515,602,557,504,478,254,755,69 7,514,192,650,169,737 to get to a value <= 1?</li>
  - Hint: that value is equal to 2<sup>65536</sup>, and 65536 = 2<sup>16</sup>
- \* *Bonus*: find an MST using Prim's Algorithm on this graph:



#### **Lecture Outline**

#### \* Disjoint Sets ADT (aka Union/Find ADT)

- Kruskal's Algorithm, for realz
  - Review and Example
  - Correctness Proof
- Up-Trees Data Structure
  - Representation
  - Optimization: Weighted Union
  - Optimization: Path Compression

# **Disjoint Sets ADT (1 of 2)**

#### **Disjoint Sets ADT. A**

collection of elements and sets of those elements.

- An element can only belong to a single set.
- Each set is identified by a unique id.
- Sets can be combined/ connected/ unioned.

- The Disjoint Sets ADT has two operations:
  - find(e): gets the id of the element's set
  - union(e1, e2): combines the set containing e1 with the set containing e2
- Example: ability to travel to drive to a country
  - union(france, germany)
  - union(spain, france)
  - find(spain) == find(germany)?
  - union(england, france)

## Disjoint Sets ADT (2 of 2)

- Applications include percolation theory (computational chemistry) and .... Kruskal's algorithm
- Simplifying assumptions
  - We can map elements to indices quickly
  - We know all the items in advance; they're all disconnected initially
- Later this lecture, we'll see:
  - We can do union() in constant time
  - We can get find() to be *amortized* constant time
    - Worst case O(log n) for an individual find operation

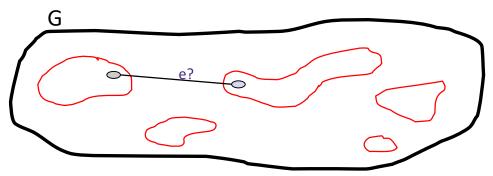
#### **Lecture Outline**

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- Kruskal's Algorithm, for realz
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  - Correctness Proof

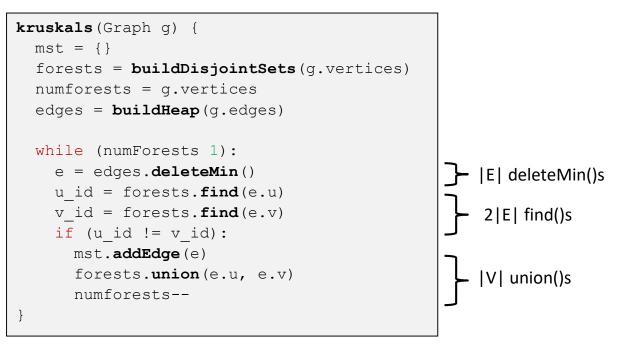
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#### Kruskal's Algorithm

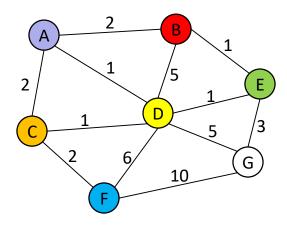
- Kruskal's thinks edge by edge
  - Eg, start from lightest edge and consider by increasing weight
  - Compare against Dijkstra's and Prim's, which think vertex by vertex
- \* Outline:
  - Start with a *forest* of |V| MSTs
  - Successively connect them ((ie, eliminate a tree) by adding edges
  - Do not add an edge if it creates a cycle



### Kruskal's Algorithm: Pseudocode



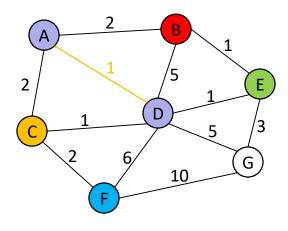
 $\begin{aligned} & \textit{Runtime: } |\mathsf{E}|(\mathsf{log}|\mathsf{E}| + 2\mathsf{log}|\mathsf{V}| + 1) + |\mathsf{V}|(1 + 1 + 1) \in \mathsf{O}(|\mathsf{E}|\mathsf{log}|\mathsf{V}| + |\mathsf{V}|\mathsf{log}|\mathsf{V}|) \\ & \textit{However, since we know } \mathsf{E} \in \mathsf{O}(|\mathsf{V}|^2), \textit{runtime} \in \mathsf{O}(|\mathsf{E}|\mathsf{log}|\mathsf{V}|) \end{aligned}$ 



<u>MST</u>:

Num Trees: 7

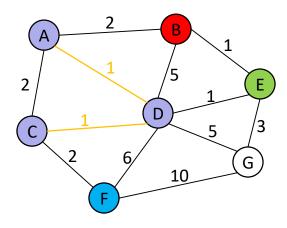
Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)



<u>MST</u> :
(A, D)
Num Trees

6

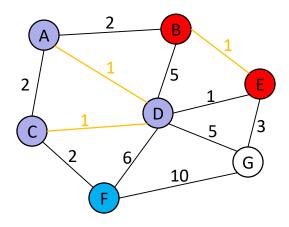
Weight	Edges
1	( <i>A</i> , <i>D</i> ), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)



<u>MST</u> :	
(A, D), (C	, D
Num Tre	<u>es</u> :

5

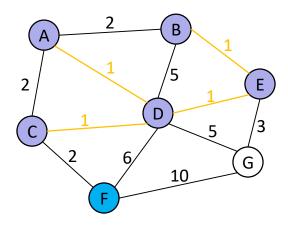
Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)



#### <u>MST</u>: (A, D), (C, D), (B, E)

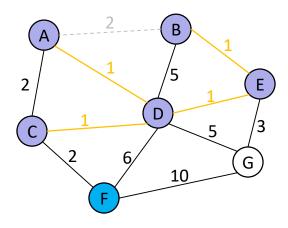
<u>Num Trees</u>: 4

Weight	Edges
1	(A,D), (C,D), (B,E), <b>(D,E)</b>
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)



Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)

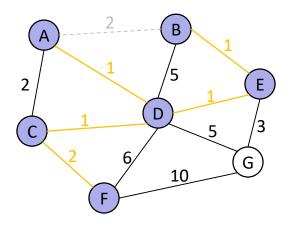
<u>MST</u>: (A, D), (C, D), (B, E), (D, E) <u>Num Trees</u>: 3



Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)

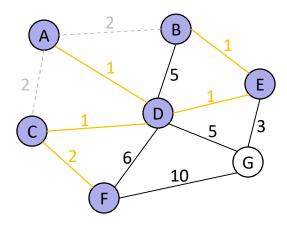
MST:

(A, D), (C, D), (B, E), (D, E) Num Trees: 3



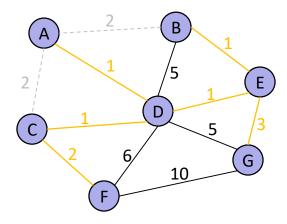
Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), <b>(</b> A,C <b>)</b>
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)

<u>MST</u>: (A, D), (C, D), (B, E), (D, E), (C, F) <u>Num Trees</u>: 2



Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)

<u>MST</u>: (A, D), (C, D), (B, E), (D, E), (C, F) <u>Num Trees</u>: 2



Hark, an MST!!! Total Cost: 9

Weight	Edges
1	(A,D), (C,D), (B,E), (D,E)
2	(A,B), (C,F), (A,C)
3	(E,G)
5	(D,G), (B,D)
6	(D,F)
10	(F,G)

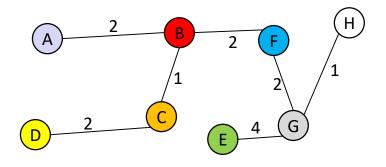
#### <u>MST</u>:

(A, D), (C, D), (B, E), (D, E), (C, F), (E, G) <u>Num Trees</u>: 1

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Find an MST in this graph using Kruskal's Algorithm:



Weight	Edges
1	(B, C), (G, H)
2	(A,B), (B, F), (C,D), (F,G)
4	(E,G)

<u>MST</u>:

#### **Kruskal's Algorithm: Demos and Visualizations**

- Prim's Visualization
  - https://www.youtube.com/watch?v=6uq0cQZOyoY
  - Prim's jumps around the fringe, adding edges by edge weight
- Kruskal's Visualization:
  - https://www.youtube.com/watch?v=ggLyKfBTABo
  - Kruskal's jumps around the graph not just the fringe because it chooses edges by edge weight independent of the "tree under construction"
- Conceptual demo:
  - <u>https://docs.google.com/presentation/d/1RhRSYs9Jbc335P24p7vR-6PLXZUI-1EmeDtqieL9ad8/present?ueb=true&slide=id.g375bbf9ace\_0\_645</u>

#### **Lecture Outline**

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- Kruskal's Algorithm, for realz
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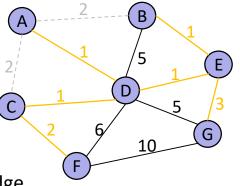
#### **Kruskal's Algorithm: Correctness**

- Kruskal's algorithm is clever, simple, and efficient
  - But does it generate a <u>minimum spanning tree</u>?
- First: it generates <u>a spanning tree</u>
  - To show <u>treeness</u>, need to show lack of cycles
  - To show that it's <u>a single</u> tree, need to show it's connected
  - To show <u>spanning</u>ness, need to show that all vertices are included
- \* Second: there is no spanning tree with lower total cost ...

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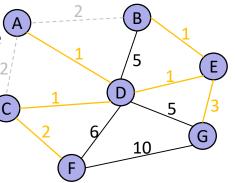
### Kruskal's Output is a Spanning Tree (1 of 2)

- To show treeness, need to show lack of cycles
  - By definition: Kruskal's doesn't add an edge if it creates a cycle
- To show that it's <u>a single</u> tree, need to show it's connected
  - By contradiction: suppose Kruskal's generates >1 tree. Since the original graph
     G was connected, there exists an edge in G that connects Kruskal's trees. Adding this edge would not create a cycle, so Kruskal's would have included it. CONTRADICTION



#### Kruskal's Output is a Spanning Tree (2 of 2)

- To show <u>spanning</u>ness, need to show that all vertices are included
  - By contradiction: suppose Kruskal's tree T does not include any edges adjacent to some vertex v. Since the original graph G was connected, there exists at least one edge in G that is adjacent to v. The minimum of these edges would not have created a cycle with T, so Kruskal's would have included it. CONTRADICTION



#### **Kruskal's Optimality: Inductive Proof Setup**

- Let F (stands for "forest") be the set of edges Kruskal has added at some point during its execution.
- Claim: F is a subset of one or more MSTs for the graph
  - (Therefore, once |F|=|V|-1, we have a single MST)
- \* Proof: By induction on |F|
  - Base case: |F|=0. The empty set is a subset of all MSTs
  - Inductive case: |F|=k+1. By induction, before adding the (k+1)<sup>th</sup> edge (call it e), there was some MST T such that F-{e} ⊆ T ...

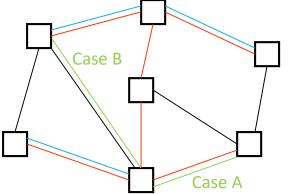
T is "the real" MST

**F** is Kruskal's output at the k+1<sup>th</sup> step

e is the the k+1<sup>th</sup> edge Kruskal's will add

## Staying a Subset of <u>Some</u> MST

- Claim: F is a subset of one or more MSTs for the graph
- ✤ Things we know so far:
  - <mark>F-{e}⊆T</mark>

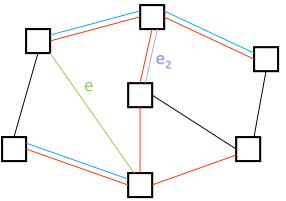


- *Proof*: Two disjoint cases:
  - A. If  $\{e\} \subseteq T$ , then  $F \subseteq T$  and proof is done
  - B. Else, e forms a cycle with some simple path (call it p) in T
    - Must be a cycle since T is a spanning tree

# Staying a Subset of Some MST

T is "the real" MST F is Kruskal's output at the k+1<sup>th</sup> step e is the "wrong" edge Kruskal's will add e, is an edge in T (but not F) along a cycle

- Claim: F is a subset of one or more MSTs for the graph
- ✤ Things we know so far:
  - <mark>F-{e}⊆T</mark>
  - e forms a cycle with T



- \* New claim: There is an edge  $e_2$  on **p** such that  $e_2$  is not in **F** 
  - Otherwise, Kruskal's would not have added e

#### T is "the real" MST

- Staying a Subset of <u>Some</u> MST
- F is Kruskal's output at the k+1<sup>th</sup> step e is the "wrong" edge Kruskal's will <u>add</u> e, is the "right" edge Kruskal's missed/will miss
- Claim: F is a subset of one or more MSTs for the graph
- ✤ Things we know so far:
  - <mark>F-{e}⊆T</mark>
  - e forms a cycle with T
  - e<sub>2</sub> (on **p**) is not in **F**

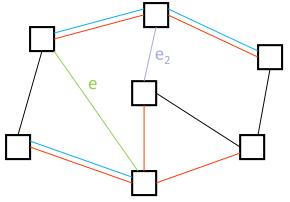
- New claim: e<sub>2</sub>.weight == e.weight
  - If e<sub>2</sub>.weight > e.weight, then T is not an MST
    - T-{e<sub>2</sub>}+{e} is a spanning tree with lower cost. Contradiction!!
  - If e<sub>2</sub>.weight < e.weight, then Kruskal's would have already considered e<sub>2</sub>
    - Would have added it since F-{e} has no cycles (T has no cycles and F-{e} ⊆ T)
    - But e<sub>2</sub> is not in F. Contradiction!!

#### T is "the real" MST

- **F** is Kruskal's output at the k+1<sup>th</sup> step
- e is the "wrong" edge Kruskal's will add
- e<sub>2</sub> is the "right" edge Kruskal's missed/will miss
- Claim: F is a subset of one or more MSTs for the graph

Staying a Subset of Some MST

- ✤ Things we know so far:
  - <mark>F-{e}⊆T</mark>
  - e forms a cycle with T
  - e<sub>2</sub> (on **p**) is not in F
  - e<sub>2</sub>.weight == e.weight



- New claim: T-{e<sub>2</sub>}+{e} is (also) an MST
  - It's a spanning tree because p-{e<sub>2</sub>}+{e} connects the same nodes as p
  - It's minimal because its cost equals cost of T, an MST
- \* Since  $F \subseteq T-\{e_2\}+\{e\}$ , F is a subset of one or more MSTs Done!

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### Implementing the Disjoint Sets ADT (1 of 2)

- If we have *n* elements, what is the total cost of *m* find()s + ≤ *n*-1 union()s?
  - Can we have >n union()s?
- ✤ Goal: O(m+n) total for these operations
  - i.e. O(1) <u>amortized</u> for all operations!
- Is our goal possible?
  - Can get O(1) worst-case union()
  - Would be nice if we could also get O(1) worst-case find(), but...
  - Known result: both find() and union() can't have worst-case O(1)

### Implementing the Disjoint Sets ADT (2 of 2)

#### \* Observation:

- Trees let us find many elements given a single root
- ✤ Idea:
  - If we reverse the pointers (ie, point up from child to parent), we can find a single root from many elements
- Decision:
  - One up-tree for each set
  - The ID of the set is (hash of) the tree root
  - (as before, we will use integer elements for in-lecture examples)

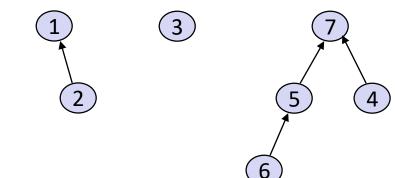
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#### **Up-Trees Data Structure for Disjoint Sets ADT**

\* Initial State: 1 2 3 4 5 6

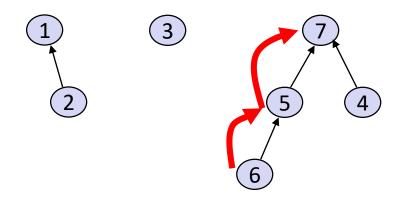
After several union()s:



Roots are the IDs for each set:

#### **Up-Trees Find**

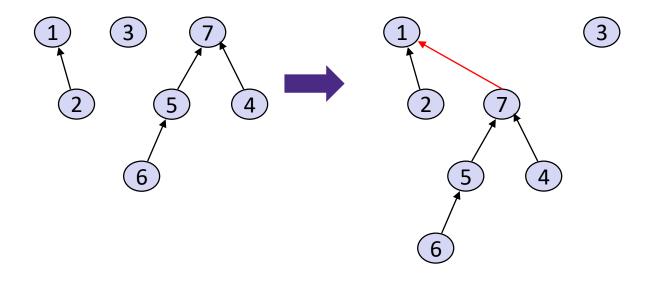
- \* find(x): follow x to the root and return the root ID
  - Eg: find(6) = 7



#### **Up-Trees Union**

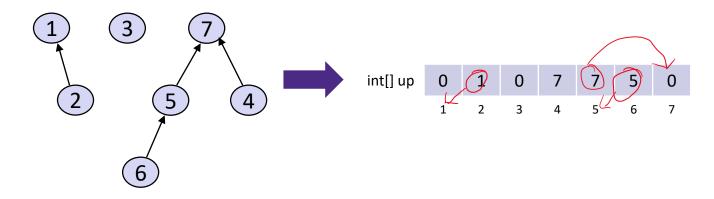
\* union(x, y): assuming x and y are roots, point y to x

- If x or y are not roots, can require caller to call find() first or do a find() internally
- Eg: union(1, 7) vs union(2, 5)



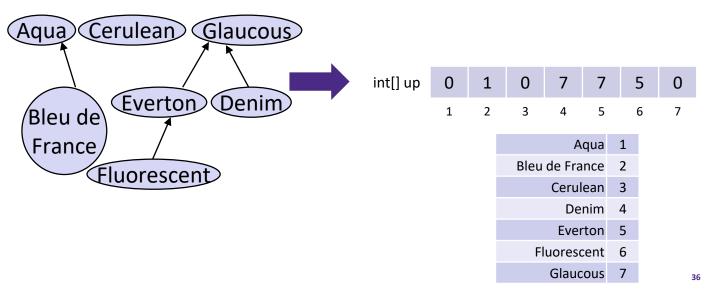
#### **Up-Trees Representation (1 of 2)**

- Up-trees can be represented as an array of indices, where the element is the index of the parent
  - up[x] = 0 means x is a root
  - Note: in these slides, array is 1-indexed; 0-indexed is also fine



#### **Up-Trees Representation (2 of 2)**

- Up-trees can be represented as an array of indices, where the element is the index of the parent
  - Can contain non-integer values if we use a hash table to map values to indices



#### **Up-Trees Implementation**

void union(int x, int y) {
 up[y] = x;
}

```
int find(int x) {
  while (up[x] != 0) {
    x = up[x];
  }
  return x;
}
```

Worst-case runtime for union():

Worst-case runtime for find():

Total runtime for n-1 union()s and m find()s:

-Remember: we can't have ≥n calls to union()

Α.

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- What is the runtime for ...
  - union(), worst-case
  - find(), worst-case
  - n-1 union()s + m find()s

```
Θ(1) / O(1) / O(n + m)
Θ(1) / O(h) / O(n + mh)
```

- h is the height of the up-tree
- c. Θ(1) / O(n) / O(n<sup>2</sup>)
  - Θ(1) / O(n) / O(n + mn)
- E.  $\Theta(1) / O(n) / O(n + m^2)$

```
void union(int x, int y) {
  up[y] = x;
```

```
int find(int x) {
   while (up[x] != 0) {
        x = up[x];
   }
   return x;
}
```

#### **Worst-case Union**

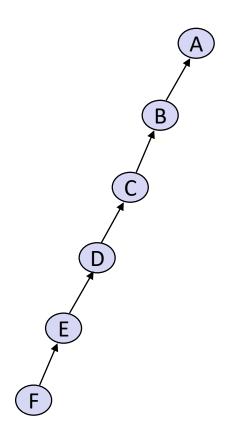
union(A, B)

union(B, C)

union(C, D)

union(D, E)

union(E, F)



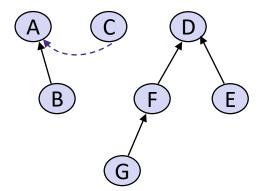
(F) If only I could keep these trees (semi-?)balanced

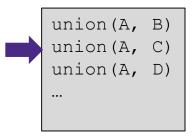
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# Weighted Union (1 of 3)

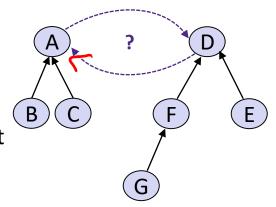
 Our naïve union() always picked the same argument (the second one) to become the child in the unioned result

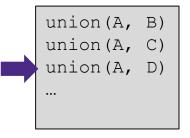




# Weighted Union (2 of 3)

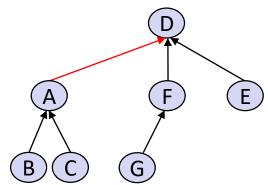
- Our naïve union() always picked the same argument (the second one) to become the child in the unioned result
- Let's make it smarter:
  - Pick the smaller tree (ie, tree with fewer nodes) to be the new child
    - i.e., "weight" = "num nodes"
  - Add the new child to the heavier-tree's root

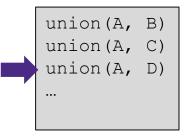




# Weighted Union (3 of 3)

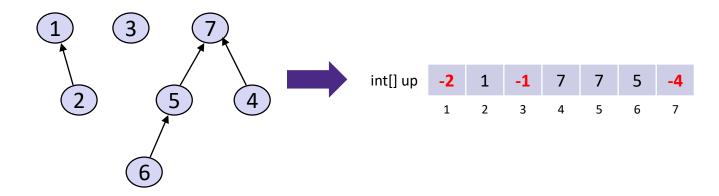
- Our naïve union() always picked the same argument (the second one) to become the child in the unioned result
- Weighted union:
  - Pick the smaller tree (ie, tree with fewer nodes) to be the new child
    - i.e., "weight" = "num nodes"
  - Add the new child to the heavier-tree's root





#### Weighted Union: Representation

- Need to store number of nodes (or "weight") of each tree
- Instead of '0', we can store the root's weight instead!
  - Use negative values to indicate they're not indices
  - See Weiss, 8.4



#### **Weighted Union: Implementation**

void union(int x, int y) {
 up[y] = x;
}

```
weightedUnion(int x, int y) {
    wx = weight[x];
    wy = weight[y];
    if (wx < wy) {
        up[x] = y;
        weight[y] = wx + wy;
    } else {
        up[y] = x;
        weight[x] = wx +wy;
    }
}</pre>
```

union()'s runtime is still O(1)!

Does this (slightly) added complexity help us balance the up-trees and improve find()?

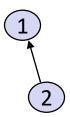
- \* Consider the worst case: tree height grows as fast as possible
  - ie, up-tree and up-subtrees are "spindly"

N	Н
1	0

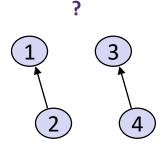


- Consider the worst case: tree height grows as fast as possible
  - ie, up-tree and up-subtrees are "spindly"

N	Н
1	0
2	1



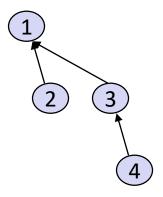
- Consider the worst case: tree height grows as fast as possible
  - ie, up-tree and up-subtrees are "spindly"



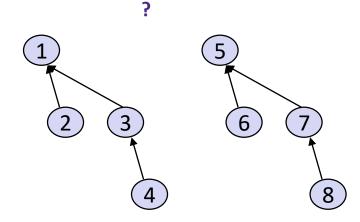
N	Н
1	0
2	1
4	?

Consider the worst case: tree height grows as fast as possible

N	Н
1	0
2	1
4	2

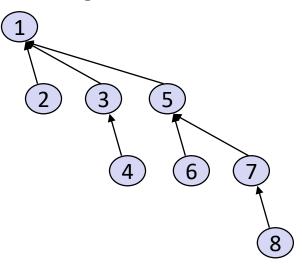


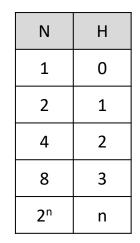
- Consider the worst case: tree height grows as fast as possible
  - ie, up-tree and up-subtrees are "spindly"



N	Н
1	0
2	1
4	2
8	?

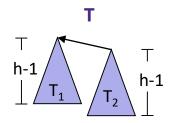
- Consider the worst case: tree height grows as fast as possible
  - ie, up-tree and up-subtrees are "spindly"
- Worst-case height and worst-case find() is Θ(log N)





# Weighted Union Performance: Proof

- An up-tree with height h using weighted union has weight at least 2<sup>h</sup>
- Proof by induction
  - Base-case: h = 0. The up-tree has one node and 2<sup>0</sup> = 1
  - Inductive step: Assume true for all h' < h</p>



Minimum weight up-tree of height h formed by weighted unions

We know:  

$$W(T_1) \ge 2^{h-1}$$
  
 $W(T_2) \ge 2^{h-1}$   
 $W(T_1) \ge W(T_2)$   
 $M(T_1) \ge W(T_2)$   
 $M(T_2) \ge 0$   
 $M(T_1) \ge W(T_2)$   
 $M(T_2) \ge 0$   
 $M(T_$ 

Therefore  $W(T) \ge 2^h$ 

# gradescope

#### gradescope.com/courses/256241

- What is the runtime for ...
  - weighted union(), worst-case
  - find(), worst-case
  - n-1 union()s + m find()s

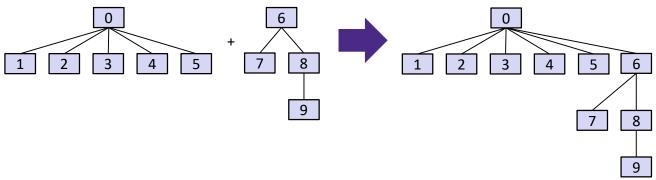
- A.  $\Theta(1) / \Theta(1) / O(n + m)$
- B.  $\Theta(1) / \Theta(n) / O(n + m^2)$ 
  - ) Θ(1) / Θ(log n) / Ο(n + m log n)
- D.  $\Theta(1) / \Theta(\log n) / O(n + m^2)$

```
weightedUnion(int x, int y) {
    wx = weight[x];
    wy = weight[y];
    if (wx < wy) {
        up[x] = y;
        weight[y] = wx + wy;
    } else {
        up[y] = x;
        weight[x] = wx +wy;
    }
}</pre>
```

```
int find(int x) {
  while (up[x] > 0) {
    x = up[x];
  }
  return x;
}
```

# Why Weights Instead of Heights?

\* We used the *number of items* in a tree to decide upon the root



- Why not use the *height* of the tree?
  - Heighted Union's runtime is asymptotically the same: Θ(log N)
    - Proof is left as an exercise to the reader ;)
  - Easier to track weights than heights, and heighted union doesn't combine very well with the next optimization technique for find()

#### **Lecture Outline**

- Disjoint Sets ADT (aka Union/Find ADT)
- Kruskal's Algorithm, for realz
  - Review and Example
  - Correctness Proof
- Up-Trees Data Structure
  - Representation
  - Optimization: Weighted Union
  - Optimization: Path Compression

#### **Modifying Data Structures <u>To Preserve Invariants</u>**

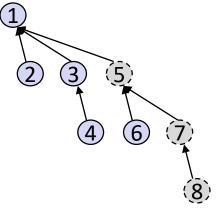
- Thus far, the modifications we've studied are designed to preserve invariants (aka "repair the data structure")
  - Tree rotations: preserve AVL tree balance
  - Promoting keys / splitting leaves: preserve B-tree node sizes (eg, L+1 keys stored in a leaf node)
- Notably, the modifications don't improve runtime between identical method calls
  - If avl.find(x) takes 2 μs, we expect future calls to take ~2 μs
  - If we call avl.find(x) m times, the total runtime should be ~2m μs

#### **Modifying Data Structures** <u>for Future Gains</u>

- Path compression is entirely different: we are modifying the up-tree to *improve future performance*
  - If uptree.find(x) takes 2  $\mu$ s, we expect future calls to take <2  $\mu$ s
  - If we call uptree.find(x) m times, the total runtime should be <2m μs</p>
    - ... and possibly even << 2m  $\mu s$

#### Path Compression: Idea

Recall the worst-case structure if we use weighted union:

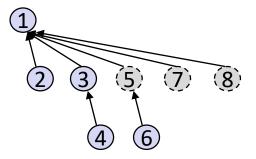


Idea: When we find(8), move all visited nodes under the root

 Additional cost is insignificant (same order of growth), so run path compression on every find()

#### Path Compression: Example

Recall the worst-case structure if we use weighted union

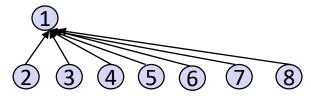


Idea: When we find(8), move all visited nodes under the root

- Additional cost is insignificant (same order of growth), so run path compression on every find()
- Doesn't meaningfully change runtime for *this* invocation of find(8), but *subsequent* find(8)s (and subsequent find(7)s and find(5)s and ...) will be faster!

#### Path Compression: Details and Runtime

With "enough" find()s, we end up with a very shallow tree:



\* How much is "enough"? Probably m>n (hopefully were finding unique values....)

# **Path Compression: Implementation**

```
int find(int x) {
  while (up[x] != 0) {
    x = up[x];
  }
  return x;
}
```

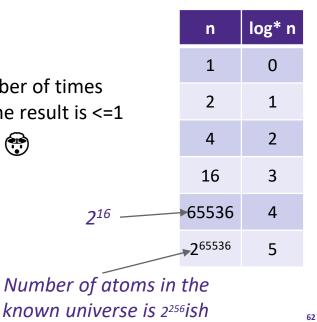
```
int pathCompressionFind(int x) {
 while (up[x] > 0) {
   x = up[x];
  int root = x;
  // Change the parent for all
  // nodes along this path
 while (up[x] > 0) {
   x = up[x];
   up[x] = root;
  return root;
```

find()'s <u>worst-case</u> runtime is still O(log n)!

Does this (slightly) added complexity help us make the up-trees shallower and improve <u>sequences of find()</u>?

# Path Compression: Runtime

- A sequence of *m* find()s on *n* elements has total O(*m* log\**n*) time
  - Assumes weighted union and path compression
  - See Weiss for proof
- ✤ log\*n is really cheap!
  - log\*n is the "iterated log": the number of times you need to apply log to *n* before the result is <=1
  - For all practical purposes,  $\log^* n < 5$
  - So  $O(m \cdot 5)$  for *m* operations!
- So find() is amortized O(1)
  - And union() is still worst case O(1)



## Interlude: A Really Slow Function

- Ackermann's function is a really big function A(x, y) with inverse α(x, y) which is really small
- \*  $\alpha$  shows up in:
  - Computation Geometry (surface complexity)
  - Combinatorics of sequences
- \* How fast does  $\alpha(x, y)$  grow?
  - Even slower than iterated log!
  - For all practical purposes, α(x, y) < 4</p>

# Path Compression: <u>Tighter</u> Runtime

- \* A sequence of *m* union()s + find()s on a set of *n* elements has worst-case total  $O(m \cdot \alpha(m, n))$  time
  - Assumes weighted union and path compression
  - Proved by Robert Tarjan in 1984
    - (Tarjan is also known for Fibonacci heaps and splay trees)
  - Complex analysis, but inverse-Ackermann's is a tighter bound than iterated-log
- So find() is still <u>amortized</u> O(1)
  - Since  $O(m \cdot 4)$  for *m* operations!
  - And union() is still worst case O(1)