## Advanced Algorithms

## Online Algorithms

## Ski-Rental Problem and Paging

Johannes Zink • WS23/24


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- We don't know the weather (much) in advance.


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## Task.

- Not knowing $T$, devise a strategy if and when to buy skis.


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- $\frac{c_{\text {det }}}{c_{\mathrm{OPT}}}$ costs for optimal startegy


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■ The w.c. ratio is minimum if $\frac{3+\alpha}{2}=1+\frac{1}{2 \alpha} \Rightarrow \alpha=\frac{\sqrt{5}-1}{2}$

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■ The w.c. ratio is minimum if $\frac{3+\alpha}{2}=1+\frac{1}{2 \alpha} \Rightarrow \alpha=\frac{\sqrt{5}-1}{2}$
$\Rightarrow$ Strategy IV (with $\alpha=\frac{\sqrt{5}-1}{2} \approx 0.62$ ) is 1.81-competitive, randomized, and better than any deterministic strategy.

## Ski-Rental Problem - Strategy IV

Can we get below this bound using randomization? - Let's try!
Strategy IV: throw a coin; HEADS: buy on the M-th good day
TAILS: buy on the $\alpha$ M-th good day $(\alpha \in(0,1))$
■ Observation: worst case can only be $T=M$ or $T=\alpha M$
$\square$ Case $T=M: \frac{E\left[c_{\text {StrategylV }}\right]}{c_{\text {OPT }}}=\frac{\frac{1}{2} \cdot(2 M-1)+\frac{1}{2} \cdot((1+\alpha) M-1)}{M}=\frac{3+\alpha}{2}-\frac{1}{M} \stackrel{M \sim \infty}{=} \frac{3+\alpha}{2}$
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$\Rightarrow$ Strategy IV (with $\alpha=\frac{\sqrt{5}-1}{2} \approx 0.62$ ) is 1.81-competitive, randomized, and better than any deterministic strategy.
$\square$ With a more sophisticated probability distribution for the time we buy skis, we can expect even a competitive ratio of $\frac{e}{e-1} \approx 1.58$.

Online vs. Offline Algorithms

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Online Algorithm

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Ski-Rental Problem, searching in unkown environments, Cow-Path Problem, Job-Shop Scheduling, Insertion Sort, Paging (replacing entries in a memory)

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Given (offline/online):

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## Paging - Definition



| $p_{2}$ | $p_{3}$ | $p_{4}$ | $p_{6}$ | $p_{7}$ | $p_{9}$ |
| :--- | :--- | :--- | :--- | :--- | :--- |

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$$
\begin{array}{|l|l|l|l|l|}
\hline p_{2} & p_{1} & p_{4} & p_{6} & p_{7} \\
\hline
\end{array}
$$

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## Paging - Definition

fulfilled page requests

$$
\begin{aligned}
& k \\
& \underset{\text { page request }}{p_{4} p_{8} p_{3}} \leftarrow \sigma
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$p_{3} p_{4}$
fulfilled page requests


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$$
\begin{gathered}
p_{3} p_{4} p_{8} \\
\text { fulfilled page requests }
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$$

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& k \\
& \begin{array}{|l|l|l|l|l|}
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Objective value:

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Objective value:

- Minimize the number of page faults while fulfilling $\sigma$.


## Paging - Det. Strat.

■ On a page fault, a Paging algorithm chooses which page to evict from the cache.

## Paging - Det. Strat. $p_{4} p_{8} p_{8} p_{5} p_{4}$ <br> fulfilled page requests <br> 

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#  <br> $$
\begin{array}{|l|l|l|l|l|} \hline p_{1} & p_{2} & p_{3} & p_{6} & p_{7} \\ \hline \end{array} p_{9} \quad \zeta \text { page fault }
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$\square$ If the $k$ page faults of LRU in $P_{i}$ are on distinct pages (different from $p$ ), we're done.


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- Show: $P_{i}$ contains $k$ distinct page requests different from $p$ (implies a fault for MIN).
$\square$ If the $k$ page faults of LRU in $P_{i}$ are on distinct pages (different from $p$ ), we're done.
- Assume LRU has in $P_{i}$ two page faults on one page $q$. In between, $q$ has to be evicted from the cache. According to LRU, there were $k$ distinct page requests in between.


## Paging - Det. Strategies - Analysis

## Theorem 2. LRU \& FIFO are $k$-competitive. No deterministic strategy is better.

## Proof. (only for LRU, FIFO similar)

- Initially, the cache contains the same pages for all strategies.

MIN: optimal strategy $\sigma$ : sequence of pages

■ We partition $\sigma$ into phases $P_{0}, P_{1}, \ldots$, s.t. LRU has at most $k$ faults in $P_{0}$ and exactly $k$ faults in each other phase.

- We show next: MIN has at least 1 fault in each phase.
- Clearly, MIN also faults in $P_{0}$; consider $P_{i}(i \geq 1)$ and let $p$ be the last page of $P_{i-1}$.
- Show: $P_{i}$ contains $k$ distinct page requests different from $p$ (implies a fault for MIN).
- If the $k$ page faults of LRU in $P_{i}$ are on distinct pages (different from $p$ ), we're done.
- Assume LRU has in $P_{i}$ two page faults on one page $q$. In between, $q$ has to be evicted from the cache. According to LRU, there were $k$ distinct page requests in between.

■ Similarly, if LRU faults on $p$ in $P_{i}$, there were $k$ distinct page requests in between.

## Paging - Det. Strategies - Analysis

Theorem 2. LRU \& FIFO are $k$-competitive. No deterministic strategy is better. Proof. (only for LRU, FIFO similar)
■ Remains to prove: No deterministic strategy is better than $k$-competitive.

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■ Remains to prove: No deterministic strategy is better than $k$-competitive.
■ Let there be $k+1$ pages in the memory system.

## Paging - Det. Strategies - Analysis

Theorem 2. LRU \& FIFO are $k$-competitive. No deterministic strategy is better.

## Proof. (only for LRU, FIFO similar)

■ Remains to prove: No deterministic strategy is better than $k$-competitive.
■ Let there be $k+1$ pages in the memory system.

- For any deterministic strategy there is a worst-case page sequence $\sigma^{\star}$ always requesting the page that is currently not in the cache.


## Paging - Det. Strategies - Analysis

## Theorem 2. LRU \& FIFO are $k$-competitive. No deterministic strategy is better.

## Proof. (only for LRU, FIFO similar)

■ Remains to prove: No deterministic strategy is better than $k$-competitive.
■ Let there be $k+1$ pages in the memory system.
■ For any deterministic strategy there is a worst-case page sequence $\sigma^{\star}$ always requesting the page that is currently not in the cache.
■ Let MIN have a page fault on the $i$-th page of $\sigma^{\star}$.

## Paging - Det. Strategies - Analysis

## Theorem 2. LRU \& FIFO are $k$-competitive. No deterministic strategy is better.

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■ Let there be $k+1$ pages in the memory system.
■ For any deterministic strategy there is a worst-case page sequence $\sigma^{\star}$ always requesting the page that is currently not in the cache.
■ Let MIN have a page fault on the $i$-th page of $\sigma^{\star}$.

- Then the next $k-1$ requested pages are in the cache already \& the next fault occurs on the $(i+k)$-th page of $\sigma^{\star}$ the earliest. Until then, the det. strategy has $k$ faults.


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■ Remains to prove: No deterministic strategy is better than $k$-competitive.
■ Let there be $k+1$ pages in the memory system.

- For any deterministic strategy there is a worst-case page sequence $\sigma^{\star}$ always requesting the page that is currently not in the cache.
■ Let MIN have a page fault on the $i$-th page of $\sigma^{\star}$.
- Then the next $k-1$ requested pages are in the cache already \& the next fault occurs on the $(i+k)$-th page of $\sigma^{\star}$ the earliest. Until then, the det. strategy has $k$ faults.
$\Rightarrow$ The competitive ratio cannot be better than $\frac{\left|\sigma^{\star}\right|}{\left|\frac{\sigma^{\star} \mid}{k}\right|} \stackrel{\left|\sigma^{\star}\right| \mid \cdots \infty}{=} k$.


## Paging - Rand. Strat.

Randomized strategy: MARKING

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■ Proceeds in phases

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- At the beginning of each phase, all pages are unmarked.
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■ A page for eviction is chosen uniformly at random from the unmarked pages.

## Paging - Rand. Strat.

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- At the beginning of each phase, all pages are unmarked.
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■ If all pages are marked and a page fault occurs, unmark all and start new phase.

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## Paging - Rand. Strat.



## Paging - Rand. Strat.



$$
\begin{array}{|l|l|l|l|l|l|}
\hline p_{4} & p_{2} & p_{6} & p_{7} & p_{8} & p_{9} \\
\hline
\end{array}
$$

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## Paging - Rand. Strat. mark requested page $\xlongequal[p_{1} \mid p_{5} p_{3}]{k}$

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##  $p_{q} p_{p} p_{2} p_{g} p_{7} \mid p_{8} p_{p}$

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## Paging - Rand. Strat.



| $p_{4}$ | $p_{2}$ | $p_{6}$ | $p_{7}$ | $p_{8}$ | $p_{9}$ |
| :--- | :--- | :--- | :--- | :--- | :--- |

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## Paging - Rand. Strat.

is already marked $\overbrace{p_{1}\left|\rho_{5}\right| q_{3}}^{k} \stackrel{p_{5}}{\text { page request }}$

| $p_{4}$ | $p_{2}$ | $p_{6}$ | $p_{7}$ | $p_{8}$ |
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$$
\begin{array}{|l|l|l|l|l|}
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## Paging - Rand. Strat.



Phase $P_{1}$
Randomized strategy: MARKING
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## Paging - Rand. Strat.



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## Paging - Rand. Strat.


$p_{4}\left|p_{1}\right| p_{2}\left|p_{7}\right| p_{8} \mid p_{9}$

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- If all pages are marked and a page fault occurs, unmark all and start new phase.

Theorem 3. MARKING is $2 H_{k}$-competitive.

## Remark.

$H_{k}=1+\frac{1}{2}+\frac{1}{3}+\ldots+\frac{1}{k}$ is the $k$-th harmonic number and for $k \geq 2: H_{k}<\ln (k)+1$.

## Paging - Rand. Strategy - Analysis

Theorem 3. MARKING is $2 H_{k}$-competitive.
Proof.

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- A page is stale if it is unmarked, but was marked in $P_{i-1}$.
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## Paging - Rand. Strategy - Analysis

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## Proof.

$\square$ A page is stale if it is unmarked, but was marked in $P_{i-1}$.

- A page is clean if it is unmarked, but not stale.
- $S_{\text {MARK }}\left(S_{\text {MIN }}\right)$ : set of pages in the cache of MARKING (MIN)


## Paging - Rand. Strategy - Analysis

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- $S_{\text {MARK }}\left(S_{\text {MIN }}\right)$ : set of pages in the cache of MARKING (MIN)
$\square d_{\text {begin }}:\left|S_{\text {MIN }}-S_{\text {MARK }}\right|$ at the beginning of $P_{i}$


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■ : number of clean pages requested in $P_{i}$

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■ c: number of clean pages requested in $P_{i}$
$\square$ MIN has $\geq \max \left(c-d_{\text {begin }}, d_{\text {end }}\right)$ faults.

## Paging - Rand. Strategy - Analysis

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■ c: number of clean pages requested in $P_{i}$
$\square$ MIN has $\geq \max \left(c-d_{\text {begin }}, d_{\text {end }}\right) \geq \frac{1}{2}\left(c-d_{\text {begin }}+d_{\text {end }}\right)$ faults.

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$\square$ MIN has $\geq \max \left(c-d_{\text {begin }}, d_{\mathrm{end}}\right) \geq \frac{1}{2}\left(c-d_{\text {begin }}+d_{\mathrm{end}}\right)=\frac{c}{2}-\frac{d_{\text {begin }}}{2}+\frac{d_{\text {end }}}{2}$ faults.


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MIN has $\geq \max \left(c-d_{\text {begin }}, d_{\text {end }}\right) \geq \frac{1}{2}\left(c-d_{\text {begin }}+d_{\text {end }}\right)=\frac{c}{2}-\frac{d_{\text {begin }}}{2}+\frac{d_{\text {end }}}{2}$ faults. Over all phases, all $\frac{d_{\text {begin }}}{2}$ and $\frac{d_{\text {end }}}{2}$ cancel out, except the first $\frac{d_{\text {begin }}}{2}$ and the last $\frac{d_{\text {end }}}{2}$.

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$\square$ Since the first $d_{\text {begin }}=0$, MIN has at least $\frac{c}{2}$ faults per phase.


## Paging - Rand. Strategy - Analysis

Theorem 3. MARKING is $2 \mathrm{H}_{k}$-competitive.
Proof.

- For the clean pages, MARKING has $c$ faults.

We consider phase $P_{i}$.

## Paging - Rand. Strategy - Analysis

## Theorem 3. MARKING is $2 H_{k}$-competitive.

## Proof.

■ For the clean pages, MARKING has $c$ faults.
$\square$ For the stale pages, there are $s=k-c \leq k-1$ requests.

## Paging - Rand. Strategy - Analysis

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■ For the stale pages, there are $s=k-c \leq k-1$ requests.
$\square$ For requests $j=1, \ldots, s$ to stale pages, consider the expected number of faults $E\left[F_{j}\right]$.

## Paging - Rand. Strategy - Analysis

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- For the clean pages, MARKING has $c$ faults.


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$\square$ For the stale pages, there are $s=k-c \leq k-1$ requests.

- For requests $j=1, \ldots, s$ to stale pages, consider the expected number of faults $E\left[F_{j}\right]$.
$\square c(j): \#$ clean pages requested in $P_{i}$ at the time the $j$-th stale page is requested $s(j)$ : \# pages that were stale at the beginning of $P_{i}$ and have not been requested


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## Paging - Rand. Strategy - Analysis

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## Reminder.

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$\Rightarrow$ exponential improvement!

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■ Online algorithms operate in a setting different from that of classical algorithms. However, this setting of incomplete information is very natural and occurs often in real-world applications. Can you think of further examples?

- We might also transform a classical problem with incomplete information into an online problem. E.g.: Matching problem for ride sharing.

■ Randomization can help to improve our behavior on worst-case instances. You may also think of: we are less predictable for an adversary.

## Literature

Main source:
■ Sabine Storandt's lecture script "Randomized Algorithms" (2016-2017)
Original papers:

- [Belady '66] "A Study of Replacement Algorithms for Virtual-Storage Computer."

■ [Sleator, Tarjan '85] "Amortized Efficiency of List Update and Paging Rules."
■ [Fiat, Karp, Luby, McGeoch, Sleator, Young '91] "Competitive Paging Algorithms."

