

# Amortised Analysis

## Algorithms and Complexity Theory

Matei Popovici<sup>1</sup>

<sup>1</sup>POLITEHNICA University of Bucharest  
Computer Science and Engineering Department, Bucharest, Romania

October 26, 2012

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position
  - **delete**: removes an element and frees a certain position

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position
  - **delete**: removes an element and frees a certain position
- When the table is **full**, its capacity **doubles**

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position
  - **delete**: removes an element and frees a certain position
- When the table is **full**, its capacity **doubles**

What is the *cost* of performing a **sequence**  $S$  of **insert/delete** operations on a table  $T$  ?

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position
  - **delete**: removes an element and frees a certain position
- When the table is **full**, its capacity **doubles**

What is the *cost* of performing a **sequence**  $S$  of **insert/delete** operations on a table  $T$  ?

Notation:



# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position
  - **delete**: removes an element and frees a certain position
- When the table is **full**, it's capacity **doubles**

What is the *cost* of performing a **sequence**  $S$  of **insert/delete** operations on a table  $T$  ?

Notation:

- $cost(S)$ : *the cost of the sequence  $S$  of operations on  $T$*

# Motivation

Let  $T$  be a **table**, with **capacity**  $n$ .

- Possible operations on  $V$ :
  - **insert**: adds an element at the next free position
  - **delete**: removes an element and frees a certain position
- When the table is **full**, it's capacity **doubles**

What is the *cost* of performing a **sequence**  $S$  of **insert/delete** operations on a table  $T$  ?

Notation:

- $cost(S)$ : *the cost of the sequence  $S$  of operations on  $T$*
- $c_i^S$  (or just  $c_i$  when  $S$  is understood from the context): *the cost of the  $i$ -th operation in  $S$*

# Insertion in $T$ (case 1)

Assume  $T$  is in the following state:

# Insertion in $T$ (case 1)

Assume  $T$  is in the following state:



# Insertion in $T$ (case 1)

Assume  $T$  is in the following state:



Assume operation  $i$  is **insertion**. Then,  $T$  becomes:

# Insertion in $T$ (case 1)

Assume  $T$  is in the following state:



Assume operation  $i$  is **insertion**. Then,  $T$  becomes:



# Insertion in $T$ (case 1)

Assume  $T$  is in the following state:



Assume operation  $i$  is **insertion**. Then,  $T$  becomes:



The cost of operation  $i$  is:  $c_i = 1$

# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



What happens on **insertion**:

# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



What happens on **insertion**:



# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



What happens on **insertion**:

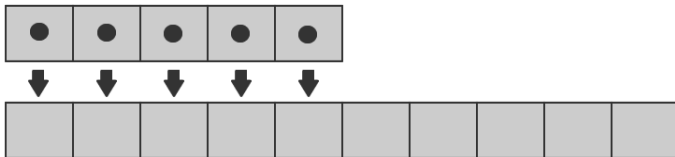


# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



What happens on **insertion**:



# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



What happens on **insertion**:



# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



After **insertion**  $T$  becomes:



# Insertion in $T$ (case 2)

Assume  $T$  is in the following state:



After **insertion**  $T$  becomes:



The cost of operation  $i$  is:  $c_i = k + 1$  where  $k$  is the number of elements in  $T$



# Deletion in $T$

Assume  $T$  is in the following state:

# Deletion in $T$

Assume  $T$  is in the following state:



# Deletion in $T$

Assume  $T$  is in the following state:



Assume operation  $i$  is **deletion**. Then,  $T$  becomes:

# Deletion in $T$

Assume  $T$  is in the following state:



Assume operation  $i$  is **deletion**. Then,  $T$  becomes:



# Deletion in $T$

Assume  $T$  is in the following state:



Assume operation  $i$  is **deletion**. Then,  $T$  becomes:



The cost of operation  $i$  is:  $c_i = 1$

# More assumptions

Let  $T$  be a table and  $S$  be a sequence of operations:

- we consider  $T$  to be of **capacity/size 0**, before running  $S$ .
- deleting an element from  $T$  when it is empty has cost 1 and leaves  $T$  unchanged.

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :



# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :
  - $T$  can contain **at most  $n$  insertions**, therefore it cannot be of size bigger than  $n$

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :
  - $T$  can contain **at most  $n$  insertions**, therefore it cannot be of size bigger than  $n$
  - The worst case occurs when  $T$  is full, and the operation is **insertion**: **all elements have to be copied**

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :
  - $T$  can contain **at most  $n$  insertions**, therefore it cannot be of size bigger than  $n$
  - The worst case occurs when  $T$  is full, and the operation is **insertion: all elements have to be copied**
- Hence,  $cost(S) = n \cdot O(n) = O(n^2)$

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :
  - $T$  can contain **at most  $n$  insertions**, therefore it cannot be of size bigger than  $n$
  - The worst case occurs when  $T$  is full, and the operation is **insertion: all elements have to be copied**
- Hence,  $cost(S) = n \cdot O(n) = O(n^2)$

Code:

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :
  - $T$  can contain **at most  $n$  insertions**, therefore it cannot be of size bigger than  $n$
  - The worst case occurs when  $T$  is full, and the operation is **insertion: all elements have to be copied**
- Hence,  $cost(S) = n \cdot O(n) = O(n^2)$

Code:

- For  $n = 50$ , the cost hardly gets over 100, and never exceeds 113

# Motivation

What is the cost of performing a **sequence**  $S = op_1 \dots op_n$  of **insert/delete** operations on a table  $T$  ?

Reasoning I:

- In the worst case scenario, one operation costs  $O(n)$ :
  - $T$  can contain **at most  $n$  insertions**, therefore it cannot be of size bigger than  $n$
  - The worst case occurs when  $T$  is full, and the operation is **insertion: all elements have to be copied**
- Hence,  $cost(S) = n \cdot O(n) = O(n^2)$

Code:

- For  $n = 50$ , the cost hardly gets over 100, and never exceeds 113
- **The approximation  $O(n^2)$  is poor !**

# Simplifying assumptions

Let  $T$  be a table and  $S$  be a sequence of operations on  $T$ .  
Then:

# Simplifying assumptions

Let  $T$  be a table and  $S$  be a sequence of operations on  $T$ .  
Then:

- $c_i \geq c_j$  for any **insertion**  $i$  and **deletion**  $j$  in  $S$ .



# Simplifying assumptions

Let  $T$  be a table and  $S$  be a sequence of operations on  $T$ .  
Then:

- $c_i \geq c_j$  for any **insertion**  $i$  and **deletion**  $j$  in  $S$ .
- $cost(S') \geq cost(S'')$  for all sequences  $S'$  and  $S''$  of the same size, such that  $S'$  **contains only insertions**

# Simplifying assumptions

Let  $T$  be a table and  $S$  be a sequence of operations on  $T$ .  
Then:

- $c_i \geq c_j$  for any **insertion**  $i$  and **deletion**  $j$  in  $S$ .
- $cost(S') \geq cost(S'')$  for all sequences  $S'$  and  $S''$  of the same size, such that  $S'$  **contains only insertions**

Let us assume that  $S$  is a sequence with **only insertion operations**

# Simplifying assumptions

Let  $T$  be a table and  $S$  be a sequence of operations on  $T$ .  
Then:

- $c_i \geq c_j$  for any **insertion**  $i$  and **deletion**  $j$  in  $S$ .
- $cost(S') \geq cost(S'')$  for all sequences  $S'$  and  $S''$  of the same size, such that  $S'$  **contains only insertions**

Let us assume that  $S$  is a sequence with **only insertion operations**

Then:

$$c_i = \begin{cases} i & \text{if } i - 1 \text{ is a power of } 2 \\ 1 & \text{otherwise} \end{cases}$$

# The aggregate method

## The aggregate method

# The aggregate method

## The aggregate method

- we *aggregate* the cost of the sequence

# The aggregate method

## The aggregate method

- we *aggregate* the cost of the sequence
- we **average** over the number of operations

# The aggregate method

## The aggregate method

- we *aggregate* the cost of the sequence
- we **average** over the number of operations
- we obtain the **average cost** of an operation, **in the worst case**

# The aggregate method

## The aggregate method

- we *aggregate* the cost of the sequence
- we **average** over the number of operations
- we obtain the **average cost** of an operation, **in the worst case**

Downsides:



# The aggregate method

## The aggregate method

- we *aggregate* the cost of the sequence
- we **average** over the number of operations
- we obtain the **average cost** of an operation, **in the worst case**

Downsides:

- the average cost may be **imprecise** ( $O(1)$ )

# The aggregate method

## The aggregate method

- we *aggregate* the cost of the sequence
- we **average** over the number of operations
- we obtain the **average cost** of an operation, **in the worst case**

Downsides:

- the average cost may be **imprecise** ( $O(1)$ )
- we do not distinguish between **types** of operations

# The accounting method

## The accounting method

# The accounting method

## The accounting method

- we assign *prices* for **each type** of operation. We call the price **amortized cost**

# The accounting method

## The accounting method

- we assign *prices* for **each type** of operation. We call the price **amortized cost**
- we require that  $\sum_{i \in S} \hat{c}_i \geq \sum_{i \in S} c_i$  for any sequence  $S$

# The accounting method

## The accounting method

- we assign *prices* for **each type** of operation. We call the price **amortized cost**
- we require that  $\sum_{i \in S} \hat{c}_i \geq \sum_{i \in S} c_i$  for any sequence  $S$

Downsides:

# The accounting method

## The accounting method

- we assign *prices* for **each type** of operation. We call the price **amortized cost**
- we require that  $\sum_{i \in S} \hat{c}_i \geq \sum_{i \in S} c_i$  for any sequence  $S$

Downsides:

- sometimes it is hard to find the proper amortised cost for each operation

# The potential method

## The potential method



# The potential method

## The potential method

- we assign a *potential*  $\Phi(D_i)$  to any **state**  $D_i$  of our data structure.  $D_i$  is the state of our data structure after operation  $i$  from sequence  $S$  was performed.

# The potential method

## The potential method

- we assign a *potential*  $\Phi(D_i)$  to any **state**  $D_i$  of our data structure.  $D_i$  is the state of our data structure after operation  $i$  from sequence  $S$  was performed.
- we require that  $\Phi(D_n) - \Phi(D_0) \geq 0$  for any **sequence of  $n$  operations**

# The potential method

## The potential method

- we assign a *potential*  $\Phi(D_i)$  to any **state**  $D_i$  of our data structure.  $D_i$  is the state of our data structure after operation  $i$  from sequence  $S$  was performed.
- we require that  $\Phi(D_n) - \Phi(D_0) \geq 0$  for any **sequence of  $n$  operations**
- we **derive** amortized costs:  $\hat{c}_i = c_i + \Phi(D_i) - \Phi(D_{i-1})$

# The potential method

## The potential method

- we assign a *potential*  $\Phi(D_i)$  to any **state**  $D_i$  of our data structure.  $D_i$  is the state of our data structure after operation  $i$  from sequence  $S$  was performed.
- we require that  $\Phi(D_n) - \Phi(D_0) \geq 0$  for any **sequence of  $n$  operations**
- we **derive** amortized costs:  $\hat{c}_i = c_i + \Phi(D_i) - \Phi(D_{i-1})$

Downsides:

# The potential method

## The potential method

- we assign a *potential*  $\Phi(D_i)$  to any **state**  $D_i$  of our data structure.  $D_i$  is the state of our data structure after operation  $i$  from sequence  $S$  was performed.
- we require that  $\Phi(D_n) - \Phi(D_0) \geq 0$  for any **sequence of  $n$  operations**
- we **derive** amortized costs:  $\hat{c}_i = c_i + \Phi(D_i) - \Phi(D_{i-1})$

Downsides:

- sometimes it is hard to find the proper potential function  $\Phi$

# Bibliography I



Thomas H. Cormen, Clifford Stein, Ronald L. Rivest, and Charles E. Leiserson.

*Introduction to Algorithms.*

McGraw-Hill Higher Education, 2nd edition, 2001.