# On the price of clustering and related issues

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## Online: receive items one by one

#### Classic Bin Packing (BP)

Offline: receive all items together

- A set of items. Item i has a size  $s_i \in [0,1]$
- An unlimited supply of bins of capacity 1
- Pack into a minimum number of bins

Here, colors have no particular meaning

bin 2

bin 1



bin 1 bin 2 bin 3

		Some greedy algorithms					
1	0.1						
	0.2	Fire	st Fi	t	(FF)		
		<b>Process the</b>					
170	0.6	items as a					
		list.					
	0.5	Pack each	0.05				
	0.5	item into the	0.6	1	0.4		
		minimum		- 20			
10	0.05	indexed bin	0.2		0.5		
	0.4	where it can	0.1		0.5		
No. 1		be packed		1			
1 al	0.2		bin 1		bin 2		
	D						

0.2

bin 3





**Next Fit** Has one active bin Packs an item into the active bin If this is impossible, the active bin is closed and a new active bin is opened.



By sorting the items, one can apply NFD or NFI **NFI** is the same algorithm as FFI for this problem

0.1

0.2

0.6

0.5

0.4

0.1

# **Bin packing** with types

Every item has two attributes A **size as always, and a type** (also called **color)** 



There are items of six types in the example

(Fake) applications in cloud computing: The types are locations of data

# Motivation: Cloud Computing



## **Clustered solutions**

- These are solutions where **each bin can contain only items of one type**
- A cluster is the set of items of one type
- The packing problem is solved independently for every type/cluster
- Every cluster may be packed optimally or using any other algorithm
- In an optimal clustered solution every cluster is packed optimally
- Application-wise: every cluster is a set of items of a user, which are placed in one location

# **Globally optimal solutions**

- These are solutions where the partition into clusters/types/colors is not taken into account
- Such a solution is just a solution for standard bin packing, where items have sizes

and this is the only attribute

- All items are in one location
- This solution may be much better than an optimal clustered solution

## **Assumptions on clusters**

- It is assumed that for every cluster, an optimal solution requires at least a given number of bins k
- The parameter k is small: 2 or 3

  Maybe 4..
- Why? Because otherwise it is possible that every item will be of a different type and items may be very small



Price of clustering **Introduced: [AESV'19]** Azar, Emek, van Stee, Vainstein, SPAA 2019 The price of clustering (PoC) is the worst case ratio between the optimal cost of a clustered solution and the optimal cost of a globally optimal solution The PoC is defined as a function of k **k** = the lower bound on the optimal cost (number of bins) of a single cluster As we saw, the PoC it is infinite if k=1

# The approximation ratio

#### For minimization problems

- The strict measure
  - Worst-case ratio between the cost of the algorithm and the cost of an optimal solution
  - Here "the algorithm" can be a clustered solution, an optimal solution is an optimal global solution, and the approximation ratio is the PoC

#### • The asymptotic measure

Compare only for inputs with sufficiently large optimal costs Optimal cost of at least N, let N grow to infinity

The results for the PoC will hold for both measures Most other results are proved for the asymptotic measure This is the standard measure for bin packing Considered to be more meaningful for algorithms

## **Parametric bin packing**

- In the standard bin packing problem, items can have **any size in (0,1]**
- In some applications, items sizes are **relatively small or bounded**
- The parametric variant with the parameter b<1 is defined such that all items have sizes in (0,b]</li>
- In some cases, it is assumed that  $b = \frac{1}{t}$ for an integer t>1

#### **Properties of parametric BP** For **FF and NF** and any output, it holds that every bin except for possibly the last one has a total size of items above 1-b Thus, if b tends to zero, **the asymptotic** approximation ratio tends to 1 The absolute approximation ratio can be larger, for example $0.07 \times 5$ $0.05 \times 12$ $0.08 \times 8$ $0.06 \times 6$ $0.05 \times 1$ $0.05 \times 13$ Where the optimal solution is $0.06 \times 6$ $0.08 \times 8$ $0.07 \times 5$

and such examples exist for smaller items as well

## The case k=2

• We will show why this case is not so interesting for classic bin packing,

not even for the parametric case

- As we will see, the case k=2 is more interesting for other variants of bin packing
   [AESV'19] the PoC for k=2 is 2
   Upper bound:
- It is possible to analyze a greedy algorithm instead of an optimal solution
- In this analysis, the number of bins for each cluster is not smaller compared to an optimal solution for the cluster, and it is at least k

Upper bound – using FF						
Notation:						
OPT	the number of bins for a globally optimal solution					
S	the total size of items $OPT \ge S$					
<b>OPT</b> <sub>i</sub>	the optimal number of bins for cluster i					
A <sub>i</sub>	the number of bins used by FF for cluster i $A_i \ge OPT_i$					
Bins of a given cluster i :						
At least half full on average at least two bins						

#### **Bins are at least half full:**

because there are at least two bins and no pair of bins can be combined



 $\sum OPT_i \leq 2 \cdot OPT$ 

 $OPT \geq S$ 

Almost trivial

This trivial bound cannot be tight, can it? or at least not tight for small items? Can a cluster have items that do not fit into a bin, but they just barely do not fit, so the second bin is quite empty?

# **Tightness**

For a large positive integer N There are **N** clusters, where every cluster has (N+1) items, each of size  $\frac{1}{N}$ and it requires two bins, for a total of 2N bins in the clustered solution The tight ratio of 2 A globally optimal solution: is valid also for any parametric case. N+1 bins, every bin has N items For any value of b,  $\frac{2N}{N+1} \to 2$ choose a Ratio: sufficiently large N

Larger values of k: lower bounds The lower bound on the PoC for k=3 by [AESV'19] is ~1.93344

The greedy sequence for bin packing is used:  $\frac{1}{2} + \varepsilon, \ \frac{1}{3} + \varepsilon, \frac{1}{7} + \varepsilon, \ \frac{1}{43} + \varepsilon, \frac{1}{1807} + \varepsilon, \dots$ An optimal solution has one set of bins with these items and another set of the same cardinality N (a large positive integer) with **pairs of items** of the form  $\frac{1}{2} + i \cdot \delta$ ,  $\frac{1}{2} - i \cdot \delta$ Where  $\delta$  is much smaller than  $\varepsilon$ 



A globally optimal solution **OPT** with 2N bins

$$\frac{3\left(N+\frac{N}{5}+\frac{N}{13}+\frac{N}{85}+\cdots\right)}{2N} \sim 1.93344$$

 $\delta \cdot N < \varepsilon$ 

#### The clusters:



Two additional items are added arbitrarily to some cluster

N-1 clusters no two items fit together and therefore three bins are needed for each cluster

$$\frac{1}{3} + \varepsilon$$
 Five times

N/5 clusters no three items fit together and therefore three bins are needed for each cluster



N/13 clusters

N/85 clusters

85 times

 $\frac{1}{43} + \varepsilon$ 



$\frac{1}{2}$	+	δ
$\frac{1}{3}$	_	8
$\frac{1}{6}$	+	δ

N/5 bins

Still N/5 such clusters, still no three items fit together and therefore three bins are needed for each cluster

11 times

But some of the bins of OPT with such items can be different and there will be clusters with

Using items slightly smaller than 1/6 packed with some items of size  $\frac{1}{3} + \epsilon$  allows a further improvement

## What about larger values of k? Similar constructions



no three items fit together and therefore four bins are needed for each cluster

no seven items fit together and therefore four bins are needed for each cluster

no six items fit together and therefore four bins are needed for each cluster

Would this lead to the tight bound for k growing to infinity? Do we get the standard 1.69103? Yes, only the bins of OPT with

 $\frac{1}{2} + \varepsilon$ ,  $\frac{1}{3} + \varepsilon$ ,  $\frac{1}{7} + \varepsilon$ ,  $\frac{1}{43} + \varepsilon$ ,  $\frac{1}{1807} + \varepsilon$ , ... are needed, because the effect of one sparse bin per cluster becomes insignificant

## **Upper bounds**

- The upper bound of [AESV'19] for k=3 on the PoC is based on defining linear constraints on the solution, and solving it using a computer
- The resulting upper bound on the PoC is 1.951
- It should have been 1.95, minor errors introduced due to the computer assisted proof and rounding
- This value was improved to
- **581/300~1.93667** E. 2019 For simplicity, we will show how to obtain 1.95 easily
- We use weight functions that connect a globally optimal solution to an optimal clustered solution
- The total weight of all items is fixed for a given input and we bound it using both solutions

An upper bound via a weight function We use the next function:  $w: [0,1] \rightarrow [0,1.95]$ (for the improved upper bound, the weight function has five cases rather than two)

 $w(x) = 1.8 \cdot x + \begin{cases} 0.15 & for \quad x > \frac{1}{2} \\ 0 & otherwise \end{cases}$ 

The main task is that of finding a good weight function, the rest is easier

<u>Claim:</u> For every bin (of a globally optimal solution), the total weight is at most 1.95

<u>Proof:</u> The first part of the weight function is multiplied by at most 1 for all items together, since their total size is at most 1. There is at most of item of size above  $\frac{1}{2}$  that might add 0.15.

### An analysis of one cluster

To complete the proof, we show that for every cluster, **the total weight of its items is at least the number of bins for the cluster** in **an optimal solution for it** 

Instead of an optimal solution, **we use FFD for the cluster** – so the number of bins it **still at least k**.

The **number of bins could increase** but this only means that we get a **larger lower bound on the total weight** 

### Analysis for a cluster

There are two main cases in the proof. We visualize several special cases of these cases, just to see the main idea.

Three bins, there are two items of sizes above 1/2. Those two items are packed into the first two bins by FFD. Every two bins have total size above 1, and therefore the total size for the three bins is above 1.5.

We have a total weight of at least:  $1.8 \cdot 1.5 + 2 \cdot 0.15 = 3$ 



2. Three bins, there are no items of sizes above  $\frac{1}{2}$ . The first item of the last bin has size in (1/3,1/2]. The items of sizes in (1/3,1/2] are packed first, and therefore there are at least five such items. We have a total weight of at least:  $1.8 \cdot \left(\frac{5}{3}\right) = 3$ 

3. Three bins, there are no items of sizes above  $\frac{1}{2}$ . The first item of the last bin has size in (0,1/3]. The other two bins have total sizes above 2/3. Every pair of bins has total size above 1 together.

We have a total weight of at least:  $1.8 \cdot \left(\frac{2}{3} + 1\right) = 3$ 

### The modified weight function

 $w(x) = \frac{21}{13} \cdot x + \begin{cases} \frac{997}{3900} & for \quad x > \frac{1}{2} \\ \frac{256}{3900} & for \quad \frac{1}{3} < x \le \frac{1}{2} \\ \frac{216}{3900} & for \quad \frac{1}{4} < x \le \frac{1}{3} \\ \frac{40}{3900} & for \quad \frac{1}{6} < x \le \frac{1}{4} \\ 0 & for \quad x \le \frac{1}{6} \end{cases}$ 

# **Batched bin packing**

For a parameter q>1, items are presented in q batches

- All items of a batch appear at once
- The items of a batch should be packed before another batch is presented

(q+1) batches is never easier than q since batches could be empty <u>Two variants</u>

- 1. Use the same bins for all batches
  - Open new bins, if necessary, at any time
  - This is an intermediate model between online and offline

2. Must use separate bins for different batches

- This variant can be seen as an offline problem
- It is related to clustered solutions and we will only discuss this second batched model

# Does the separate bins model lead to an approximation ratio of q?

- For the absolute approximation ratio **YES**, it does.
  - An algorithm that packs each batch optimally separately has at most this ratio

Even by splitting an optimal solution into the separate batches, every bin is split into at most k bins

- If there are q items of sizes 1/q
  - Each appears in its own batch
  - An optimal solution for the entire input uses one bin, but any batched solution has q bins
- For the asymptotic approximation ratio?
  - Not at all!

#### Simple bounds for two batches

What about the following simple approach, which has to be the best possible:

- Pack the first batch optimally

– Pack the second batch optimally into new bins An example (lower bound) for an integer N: Batch 1: 2N+1 items, each of size 0.4 Batch 2: 2N+1 items, each of size 0.6 **OPT for the entire input:** 2N+1 bins **with {0.4,0.6**} An optimal solution for batch 1: N times {0.4, 0.4}, one {0.4} An optimal solution for batch 2: **2N+1 times {0.6}** (N+1)+(2N+1)=3N+2 bins versus 2N+1 bins

# **Known upper bounds**

- FFD has asymptotic approximation ratio for two batches 19/12~1.58333 [Dósa2017]
- Why is that?
  - q=2 is much harder than offline
  - Since FFD is applied, the solutions
    for the batches are not always optimal
    Split an example into two parts
    First batch: 12N items of sizes 0.26
    and 12N items of sizes 0.23 (7N bins)
    In a second batch, 12N items of sizes 0.51

12N new bins OPT=12N, ALG=19N



0.26	0.23
0.26	0.23
0.78	0.92
1 0.23	

0.23

0.23

0.23

0.26

0.51

1

0.26





# The separate bins model does not lead to a high asymptotic approximation ratio

- The ratio is always (much) smaller than 2
- Even for large q, the value ~1.69103 is tight
- For two batches the ratio is 1.5
  - 5/3 for three batches
  - Etc.
- For simplicity we will solve NP-hard problems to optimality
  - Online algorithms are not limited to certain running times
  - It is possible to obtain almost the same bound by using an asymptotic approximation scheme instead
    - The additive constant may be larger

The optimal algorithm for two batches (E., 2016) Our algorithm has an absolute approximation ratio of 2 and an asymptotic approximation ratio of 3/2In our example, we found a family of instances for all odd values of ALG where  $OPT = 1.5 \cdot ALG + 0.5$ Where ALG denotes the total cost for the algorithm, that is, for both batches together. The example shows that this is the tight absolute/asymptotic approximation ratio of the algorithm for separate bins, using ALG=1, ALG  $\rightarrow \infty$ 

# Analysis

- Consider an optimal solution for the entire input (both batches)
  - with X bins
- We construct certain solutions for the two batches separately
  - Not necessarily optimal ones
  - We can consider their total cost
  - The sum of costs of optimal solutions for the two batches is not larger
An optimal solution



Creating three bins out of two bins such that items of different batches are packed separately

# Easy, but is this really helpful?

### Every two bins become three

Either all the items of these pair of bins for the first batch have total size **at most 1**, or else all the items those of the second batch have total size of **at most 1** (it is possible that **both properties hold**)

- If there is an odd number of bins in OPT, the last bin is converted into two bins
- We got at most 1.5·X+0.5 bins from X bins (we get just 1.5·X bins if X is even)

### But doesn't the ratio get much larger for large q, even if we pack each batch optimally?

• For the general case, we define **"megaitems"** and define a solution for them

### Packing each batch separately

- This is done offline, just for the proof
   It is not an algorithm!
- A **mega-item** is a maximal subset of items packed into one bin of OPT and belonging to one batch
- We already defined this for q=2
   every bin of OPT had at most two mega-items

### How to pack mega-items?

- We can use FFI (First Fit Increasing)
- Why? It is equivalent to NFI
  - NF: Use one active bin for packing
  - Open a new active bin when cannot pack
  - Never return to a bin that could not be used
- An example: 0.15,0.2,0.25,0.3,0.35,0.4,0.45,0.5,0.5,0.55



But this is not optimal!

# Analysis

- The packing is indeed not optimal, but in this way we can analyze all batches together rather than separately
- We can use a weight function
  [Baker, Coffman 1981]
- The function as used for NFI for actual items (not mega-items)
  - Actually, it was used for NFD, but they have the same number of output bins for every input [Fisher'88]

### **But...**

- There is an additive constant for every batch
- So we get that the cost is ~1.69103
   times OPT plus O(q)
   Recall that the value 1.69103 is a sum of a series 1+1/2+1/6+1/42+1/1806+...
- The ratio is smaller for fixed q
  - The sum of the first q values
  - -3/2 for q=2
  - 5/3 for q=3

## **Still on drawbacks**

- Can we avoid such a large additive constant? No
- because of the lower bound of q on the absolute approximation ratio with separate bins
- What about the case where bins are not separate for the separate batches?
  - Harder to analyze
  - The bas examples are the same
  - Already for q=3 a purely online algorithm is better than the one we could analyze where bins are separate

# new Open end bin packing problems (OEBP)

In such problems a bin can have **items of total size above 1** but the total size **after removing an item has to be strictly below 1** 

**Max-OEBP:** the total size has to be below 1 after excluding **the largest item** (or excluding any item)

**Min-OEBP:** the total size has to be below 1 after excluding **the smallest item** 

one item "sticks out"

Why study this? Because it is similar to bin packing, yet it is quite different



**Examples and differences**  $\{0.3, 0.4, 0.5\}$  the total size is 1.2but the bin is valid for both variants Max-OEBP  $\{0.3, 0.4\}$  0.7  $\{0.4, 0.5\}$  0.9 Min-OEBP  $\{0.2, 0.3, 0.4, 0.5\}$ 1.4 Max-OEBP  $\{0.2, 0.3, 0.4\}$ Valid 0.9 $\{0.3, 0.4, 0.5\}$  1.2 Min-OEBP Not valid

### Some known results for OEBP

For standard BP we will not discuss such results since some of us are familiar with them.

There are two other variants of OEBP, which we will not discuss either.

All variants of OEBP have asymptotic polynomial time approximation schemes

For the two problems studied here:

Leung, Dror, Young, 2001, Lin, Yang, Xu, 2006, 2010

Lin, Yang & Xu also analyze greedy algorithms and online algorithms for min-OEBP, in particular for the parametric case where 1/b is an integer

Other results for online algorithms are proved or can be deduced from Yang and Leung, 2003, E. & Levin, 2020, Balogh, E., Levin, 2020.

## **Greedy algorithms for Max-OEBP**

FF for this variant: add every new item to the bin of the smallest index that will remain valid after the addition. For example,  $\{0.2, 0.7, 0.2\}$  is valid.

It is possible to add 0.4 but impossible to add 0.65, since 0.8<1 but 1.05>1

A bin of total size below 1 can always receive another item, so every bin (except for the last one) will have total size of at least 1.

This is not true to Min-OEBP, the bin {0.2,0.2} with respect to an item of size 0.9.

For Min-OEBP the property is nevertheless true for FFD because the every new item is the current smallest item. **The only greedy algorithm studied previously for Max-OEBP is FFD (Ongkunaruk,2005).** She showed that if all items have sizes in [0,1), the asymptotic approximation ratio is 1.5.

We can in fact show this even if there may be items of size 1, though the proof requires a new ingredient. The reason for the slightly longer proof is that as long as only items of size 1 are packed (first), each one is packed into its own bin, and items of sizes close to 1 can be added later.

#### Here, we will discuss FF for Max-OEBP.

The general case is not very interesting: The upper bound is 2 since no bin can have a total size of 2 or more, and almost every bin of FF has a total size of 1 or more. The lower bound example is also simple (next slide).

OPT has M bins with  $(N-1) \times \frac{1}{N}$ , 1 If FF gets the small items first, they are packed into bins of the form  $N \times \frac{1}{N}$  that cannot receive additional items. Afterwards, it has M bins of the form {1} In total,  $M \cdot \frac{N-1}{N} + M$  bins, and the ratio tends to 2 for large N. Can we avoid items of size 1?

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- For b=0.999999 the asymptotic approximation ratio is 1.5
- The same ratio holds also in the case where b=1 but items of size 1 are impossible, because no bin of FF can have just one item.

### An example for the parametric case

The asymptotic approximation ratio never exceeds 1+b, but in some cases it is smaller.

Consider the case b=0.4



The resulting ratio is 1.35 and it is tight. The proof requires a new weight function and a long calculation. A class of weight functions is defined such that all values of b are covered by the proof

### The weight function

For the case  $b \in (\frac{1}{2}, \frac{1}{2}]$  $w(x) = \begin{cases} x & for \quad x < \frac{1}{3} \\ \frac{x+1}{4} & for \quad \frac{1}{3} \le x \le b \end{cases}$ For the case  $b \in (\frac{1}{4}, \frac{1}{2}]$  $w(x) = \begin{cases} x & for \quad x < \frac{1}{4} \\ \frac{2x+3}{3} & for \quad \frac{1}{4} \le x < b \end{cases}$ Etc.

### **Batched bin packing for Max-OEBP**

Here, the asymptotic approximation ratio is 2 for any number of batches  $q \ge 2$ 

The lower bound once again consists of items of size 1 and items of size 1/N, such that by splitting them into two batches the result is similar to the output we saw for FF

The upper bound is also standard, since bins are half full on average. The additive constant depends on q and this cannot be avoided

# **The PoC for Max-OEBP**

The value of the PoC is 3 if every cluster requires at least two bins (k=2).

In the lower bound example, there are items of sizes 1 and items of size  $\varepsilon$ 

An optimal solution has N bins with

{ $\varepsilon, \varepsilon, ..., \varepsilon, 1$ } Total size below 1 for the epsilons There is a cluster with all items of size 1, which requires N bins Total size  $1 + 2\varepsilon$ 

Other clusters are of the form  $\{\varepsilon, \varepsilon, ..., \varepsilon\}$ , so every cluster requires two bins, which adds almost 2N bins.

The PoC for Min-OEBP with k=2 The value of the PoC in the case k=2 is 4 (every cluster requires at least two bins) In the lower bound example, there are items of sizes  $1 - \varepsilon$  and items of size  $\varepsilon$ An optimal solution has N bins with Total  $\{1 - \varepsilon, 1 - \varepsilon\}$  and one bin with  $\{2\varepsilon, 2\varepsilon, ..., 2\varepsilon\}$ size of 1 Clusters are of the form  $\{1 - \varepsilon, 2\varepsilon, 2\varepsilon\}$ . In this variant, often it is the case that every bin of an optimal solution has identical or very similar items There are 2N clusters. For every cluster, the sum without the smallest item the sum is  $1 + \varepsilon$ , so every cluster requires two bins, and there are 4N bins in total.

### An example for the parametric case

Here, we unfortunately do not have tight bounds for all values of b. But we do have such bounds for some cases.

# For example, in the case b=0.8, we can show tight bounds of 3

The upper bound requires yet another complicated weight function.

There are two different lower bound constructions because the situation is different in the two cases [0.5,0.8], [0.8,1)

### Two lower bound constructions for b=0.8 and the PoC for Min-OEBP with k=2

OPT

Items are much smaller than 0.8

Every cluster



*Each item has size* 3ε



There are  $1.5 \cdot N$  clusters, and each one requires two bins There are  $3 \cdot N$  bins

### Two lower bound constructions for b=0.8 and the PoC for Min-OEBP



There are  $6 \cdot N$  clusters, and each one requires two bins There are  $12 \cdot N$  bins

### The weight function for b=0.8

$$w(x) = \begin{cases} \frac{5}{4} \cdot x & for \ x \le \frac{1}{5} \\ \frac{1}{4} & for \ \frac{1}{5} \le x \le \frac{1}{4} \\ x & for \ \frac{1}{4} \le x \le \frac{3}{4} \\ \frac{3}{4} & for \ \frac{3}{4} \le x \le \frac{4}{5} \end{cases}$$

The function w is continuous again. The point ½ is not a breakpoint of the weight function, but it does have a special role in the proof Thank you!

for connecting to Zoom and for listening

> Questions? **Comments**? **Complaints? Jokes**? New results?