

# On the Efficiency of Association-rule Mining Algorithms

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**Abstract.** In this paper, we first focus our attention on the question of how much space remains for performance improvement over current association rule mining algorithms. Our strategy is to compare their performance against an “Oracle algorithm” that knows in advance the identities of all frequent itemsets in the database and only needs to gather their actual supports to complete the mining process. Our experimental results show that current mining algorithms do not perform uniformly well with respect to the Oracle for all database characteristics and support thresholds. In many cases there is a substantial gap between the Oracle’s performance and that of the current mining algorithms. Second, we present a new mining algorithm, called ARMOR, that is constructed by making minimal changes to the Oracle algorithm. ARMOR consistently performs within a factor of two of the Oracle on both real and synthetic datasets over practical ranges of support specifications.

## 1 Introduction

We focus our attention on the question of how much space remains for performance improvement over current association rule mining algorithms. Our approach is to compare their performance against an “**Oracle algorithm**” that knows *in advance* the identities of all frequent itemsets in the database and only needs to gather the actual supports of these itemsets to complete the mining process. Clearly, *any* practical algorithm will have to do at least this much work in order to generate mining rules. This “Oracle approach” permits us to clearly demarcate the maximal space available for performance improvement over the currently available algorithms. Further, it enables us to construct new mining algorithms from a completely different perspective, namely, as *minimally-altered derivatives* of the Oracle.

First, we show that while the notion of the Oracle is conceptually simple, its *construction* is not equally straightforward. In particular, it is critically dependent on the choice of data structures used during the counting process. We present a carefully engineered implementation of Oracle that makes the best choices for these design parameters at each stage of the counting process. Our experimental results show that there is a considerable gap in the performance between the Oracle and existing mining algorithms.

Second, we present a new mining algorithm, called **ARMOR** (Association Rule Mining based on ORacle), whose structure is derived by making minimal changes to

the Oracle, and is guaranteed to complete in two passes over the database. Although ARMOR is derived from the Oracle, it may be seen to share the positive features of a variety of previous algorithms such as PARTITION [6], CARMA [2], AS-CPA [3], VIPER [7] and DELTA [4]. Our empirical study shows that ARMOR consistently performs within a factor of two of the Oracle, over both real (BMS-WebView-1 [11] from Blue Martini Software) and synthetic databases (from the IBM Almaden generator [1]) over practical ranges of support specifications.

*Problem Scope* The environment we consider, similar to the majority of the prior art in the field, is one where the data mining system has a single processor and the pattern lengths in the database are small relative to the number of items in the database. We focus on algorithms that generate *boolean* association rules where the only relevant information in each database transaction is the presence or absence of an item. That is, we restrict our attention to the class of *sequential bottom-up* mining algorithms for generating boolean association rules.

## 2 The Oracle Algorithm

In this section we present the Oracle algorithm which, as mentioned in the Introduction, “magically” knows in advance the identities of all frequent itemsets in the database and only needs to gather the actual supports of these itemsets. Clearly, *any* practical algorithm will have to do at least this much work in order to generate mining rules. Oracle takes as input the database,  $\mathcal{D}$  in item-list format (which is organized as a set of rows with each row storing an ordered list of item-identifiers (IID), representing the items purchased in the transaction), the set of frequent itemsets,  $F$ , and its corresponding negative border,  $N$ , and outputs the supports of these itemsets by making *one scan* over the database. We first describe the mechanics of the Oracle algorithm below and then move on to discuss the rationale behind its design choices in Section 2.2.

### 2.1 The Mechanics of Oracle

For ease of exposition, we first present the manner in which Oracle computes the supports of 1-itemsets and 2-itemsets and then move on to longer itemsets. Note, however, that the algorithm actually performs all these computations *concurrently* in one scan over the database.

#### Counting Singletons and Pairs

*Data-Structure Description* The counters of singletons (1-itemsets) are maintained in a 1-dimensional lookup array,  $\mathcal{A}_1$ , and that of pairs (2-itemsets), in a lower triangular 2-dimensional lookup array,  $\mathcal{A}_2$ . (Similar arrays are also used in Apriori [1, 8] for its first two passes.) The  $k^{\text{th}}$  entry in the array  $\mathcal{A}_1$  contains two fields: (1) *count*, the counter for the itemset  $X$  corresponding to the  $k^{\text{th}}$  item, and (2) *index*, the number of frequent itemsets prior to  $X$  in  $\mathcal{A}_1$ , if  $X$  is frequent; **null**, otherwise.

```

ArrayCount ( $T, \mathcal{A}_1, \mathcal{A}_2$ )
Input: Transaction  $T$ , Array for 1-itemsets  $\mathcal{A}_1$ , Array for 2-itemsets  $\mathcal{A}_2$ 
Output: Arrays  $\mathcal{A}_1$  and  $\mathcal{A}_2$  with their counts updated over  $T$ 
1.   Itemset  $T^f = \mathbf{null}$ ; // to store frequent items from  $T$  in Item-List format
2.   for each item  $i$  in transaction  $T$ 
3.        $\mathcal{A}_1[i.id].count + +$ ;
4.       if  $\mathcal{A}_1[i.id].index \neq \mathbf{null}$ 
5.           append  $i$  to  $T^f$ 
6.   for  $j = 1$  to  $|T^f|$  // enumerate 2-itemsets
7.       for  $k = j + 1$  to  $|T^f|$ 
8.            $index_1 = \mathcal{A}_1[T^f[j].id].index$  // row index
9.            $index_2 = \mathcal{A}_1[T^f[k].id].index$  // column index
10.           $\mathcal{A}_2[index_1, index_2] + +$ ;

```

**Fig. 1. Counting Singletons and Pairs in Oracle**

*Algorithm Description* The ArrayCount function shown in Figure 1 takes as inputs, a transaction  $T$  along with  $\mathcal{A}_1$  and  $\mathcal{A}_2$ , and updates the counters of these arrays over  $T$ . In the ArrayCount function, the individual items in the transaction  $T$  are enumerated (lines 2–5) and for each item, its corresponding count in  $\mathcal{A}_1$  is incremented (line 3). During this process, the frequent items in  $T$  are stored in a separate itemset  $T^f$  (line 5). We then enumerate all pairs of items contained in  $T^f$  (lines 6–10) and increment the counters of the corresponding 2-itemsets in  $\mathcal{A}_2$  (lines 8–10).

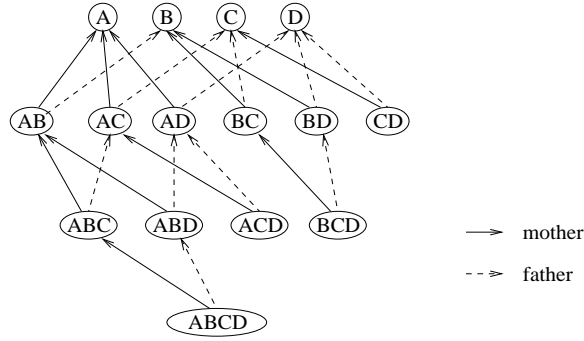
### Counting $k$ -itemsets, $k > 2$

*Data-Structure Description* Itemsets in  $F \cup N$  of length greater than 2 and their related information (counters, etc.) are stored in a DAG structure  $\mathcal{G}$ , which is pictorially shown in Figure 2 for a database with items  $\{A, B, C, D\}$ . Although singletons and pairs are stored in lookup arrays, as mentioned before, for expository ease, we assume that they too are stored in  $\mathcal{G}$  in the remainder of this discussion.

Each itemset is stored in a separate node of  $\mathcal{G}$  and is linked to the first two (in a lexicographic ordering) of its subsets. We use the terms “mother” and “father” of an itemset to refer to the (lexicographically) first and second subsets, respectively. E.g.,  $\{A, B\}$  and  $\{A, C\}$  are the mother and father respectively of  $\{A, B, C\}$ . For each itemset  $X$  in  $\mathcal{G}$ , we also store with it links to those supersets of  $X$  for which  $X$  is a mother. We call this list of links as *childset*. E.g.,  $\{BC, BD\}$  is the childset of  $B$ .

Since each itemset is stored in a separate node in the DAG, we use the terms “itemset” and “node” interchangeably in the remainder of this discussion. Also, we use  $\mathcal{G}$  to denote the set of itemsets that are stored in the DAG structure  $\mathcal{G}$ .

*Algorithm Description* We use a *partitioning scheme* [6] wherein the database is logically divided into  $n$  disjoint horizontal partitions  $P_1, P_2, \dots, P_n$ . In this scheme, itemsets being counted are enumerated only at the *end of each partition* and not after every tuple. Each partition is as large as can fit in available main memory. For ease of exposition, we



**Fig. 2. DAG Structure Containing Power Set of {A,B,C,D}**

assume that the partitions are equi-sized. However, the technique is easily extendible to arbitrary partition sizes.

The pseudo-code of Oracle is shown in Figure 3 and operates as follows: The `ReadNextPartition` function (line 3) reads tuples from the next partition and simultaneously creates tid-lists<sup>1</sup> (within that partition) of singleton itemsets in  $\mathcal{G}$ . The `Update` function (line 5) is then applied on each singleton in  $\mathcal{G}$ . This function takes a node  $M$  in  $\mathcal{G}$  as input and updates the counts of all descendants of  $M$  to reflect their counts over the current partition. The count of any itemset within a partition is equal to the length of its corresponding tidlist (within that partition). The tidlist of an itemset can be obtained as the intersection of the tidlists of its mother and father and this process is started off using the tidlists of frequent 1-itemsets. The exact details of tidlist computation are discussed later.

We now describe the manner in which the itemsets in  $\mathcal{G}$  are enumerated after reading in a new partition. The set of links,  $\bigcup_{M \in \mathcal{G}} M.childset$ , induce a spanning tree of  $\mathcal{G}$  (e.g. consider only the solid edges in Figure 2). We perform a *depth first search* on this spanning tree to enumerate all its itemsets. When a node in the tree is visited, we compute the tidlists of all its children. This ensures that when an itemset is visited, the tidlists of its mother and father have already been computed.

The above processing is captured in the function `Update` whose pseudo-code is shown in Figure 4. Here, the tidlist of a given node  $M$  is first converted to the tid-vector format<sup>2</sup> (line 1). Then, tidlists of all children of  $M$  are computed (lines 2–4) after which the same children are visited in a depth first search (lines 5–6).

The mechanics of tidlist computation, as promised earlier, are given in Figure 5. The `Intersect` function shown here takes as input a tid-vector  $B$  and a tid-list  $T$ . Each  $tid$  in  $T$  is added to the result if  $B[offset]$  is 1 (lines 2–5) where  $offset$  is defined in line 3 and represents the position of the transaction  $T$  relative to the current partition.

<sup>1</sup> A tid-list of an itemset  $X$  is an ordered list of TIDs of transactions that contain  $X$ .

<sup>2</sup> A tid-vector of an itemset  $X$  is a bit-vector of 1's and 0's to represent the presence or absence respectively, of  $X$  in the set of customer transactions.

```

Oracle ( $\mathcal{D}, \mathcal{G}$ )
Input: Database  $\mathcal{D}$ , Itemsets to be Counted  $\mathcal{G} = \mathcal{F} \cup \mathcal{N}$ 
Output: Itemsets in  $\mathcal{G}$  with Supports
1.    $n =$  Number of Partitions
2.   for  $i = 1$  to  $n$ 
3.       ReadNextPartition( $P_i, \mathcal{G}$ );
4.       for each singleton  $X$  in  $\mathcal{G}$ 
5.           Update( $X$ );

```

**Fig. 3. The Oracle Algorithm**

```

Update ( $M$ )
Input: DAG Node  $M$ 
Output:  $M$  and its Descendents with Counts Updated
1.    $B =$  convert  $M.tidlist$  to Tid-vector format //  $B$  is statically allocated
2.   for each node  $X$  in  $M.childset$ 
3.        $X.tidlist =$  Intersect( $B, X.father.tidlist$ );
4.        $X.count += |X.tidlist|$ 
5.   for each node  $X$  in  $M.childset$ 
6.       Update( $X$ );

```

**Fig. 4. Updating Itemset Counts**

```

Intersect ( $B, T$ )
Input: Tid-vector  $B$ , Tid-list  $T$ 
Output:  $B \cap T$ 
1.   Tid-list  $result = \phi$ 
2.   for each  $tid$  in  $T$ 
3.        $offset = tid + 1 -$  (tid of first transaction in current partition)
4.       if  $B[offset] = 1$  then
5.            $result = result \cup tid$ 
6.   return  $result$ 

```

**Fig. 5. Tid-vector and Tid-list Intersection**

## 2.2 Optimality of Oracle

We show that Oracle is optimal in two respects: (1) It enumerates only those itemsets in  $\mathcal{G}$  that need to be enumerated, and (2) The enumeration is performed in the most efficient way possible. These results are based on the following two theorems. Due to lack of space we have deferred the proofs of theorems to [5].

**Theorem 1.** *If the size of each partition is large enough that every itemset in  $\mathcal{F} \cup \mathcal{N}$  of length greater than 2 is present at least once in it, then the only itemsets being enumerated in the Oracle algorithm are those whose counts need to be incremented in that partition.*

**Theorem 2.** *The cost of enumerating each itemset in Oracle is  $\Theta(1)$  with a tight constant factor.*

While Oracle is optimal in these respects, we note that there may remain some scope for improvement in the details of *tidlist computation*. That is, the **Intersect** function (Figure 5) which computes the intersection of a tid-vector  $B$  and a tid-list  $T$  requires  $\Theta(|T|)$  operations.  $B$  itself was originally constructed from a tid-list, although this cost is amortized over many calls to the **Intersect** function. We plan to investigate in our future work whether the intersection of two sets can, in general, be computed more efficiently – for example, using **diffsets**, a novel and interesting approach suggested in [10]. The diffset of an itemset  $X$  is the set-difference of the tid-list of  $X$  from that of its mother. Diffsets can be easily incorporated in Oracle – only the **Update** function in Figure 4 of Section 2 is to be changed to compute diffsets instead of tidlists by following the techniques suggested in [10].

*Advantages of Partitioning Schemes* Oracle, as discussed above, uses a partitioning scheme. An alternative commonly used in current association rule mining algorithms, especially in hashtable [1] based schemes, is to use a tuple-by-tuple approach. A problem with the tuple-by-tuple approach, however, is that there is considerable wasted enumeration of itemsets. The core operation in these algorithms is to determine all candidates that are subsets of the current transaction. Given that a frequent itemset  $X$  is present in the current transaction, we need to determine all candidates that are immediate supersets of  $X$  and are also present in the current transaction. In order to achieve this, it is often necessary to enumerate and check for the presence of many more candidates than those that are actually present in the current transaction.

### 3 The ARMOR Algorithm

As will be shown in our experiments (Section 4), there is a considerable gap in the performance between the Oracle and existing mining algorithms. We now move on to describe our new mining algorithm, ARMOR (Association Rule Mining based on ORacle). In this section, we overview the main features and the flow of execution of ARMOR – the details of candidate generation are deferred to [5] due to lack of space.

The guiding principle in our design of the ARMOR algorithm is that we consciously make an attempt to determine the *minimal amount of change* to Oracle required to result in an online algorithm. This is in marked contrast to the earlier approaches which designed new algorithms by trying to address the limitations of *previous* online algorithms. That is, we approach the association rule mining problem from a completely different perspective.

In ARMOR, as in Oracle, the database is conceptually partitioned into  $n$  disjoint blocks  $P_1, P_2, \dots, P_n$ . At most *two* passes are made over the database. In the first pass we form a set of candidate itemsets,  $\mathcal{G}$ , that is guaranteed to be a superset of the set of frequent itemsets. During the first pass, the counts of candidates in  $\mathcal{G}$  are determined over each partition in exactly the same way as in Oracle by maintaining the candidates in a DAG structure. The 1-itemsets and 2-itemsets are stored in lookup arrays as in

```

ARMOR ( $\mathcal{D}, I, \text{minsup}$ )
Input: Database  $\mathcal{D}$ , Set of Items  $I$ , Minimum Support  $\text{minsup}$ 
Output:  $F \cup N$  with Supports
1.    $n = \text{Number of Partitions}$ 

      //— First Pass —
2.    $\mathcal{G} = I$  // candidate set (in a DAG)
3.   for  $i = 1$  to  $n$ 
4.       ReadNextPartition( $P_i, \mathcal{G}$ );
5.       for each singleton  $X$  in  $\mathcal{G}$ 
6.            $X.\text{count} += |X.\text{tidlist}|$ 
7.           Update1( $X, \text{minsup}$ );

      //— Second Pass —
8.   RemoveSmall( $\mathcal{G}, \text{minsup}$ );
9.   OutputFinished( $\mathcal{G}, \text{minsup}$ );
10.  for  $i = 1$  to  $n$ 
11.      if (all candidates in  $\mathcal{G}$  have been output)
12.          exit
13.      ReadNextPartition( $P_i, \mathcal{G}$ );
14.      for each singleton  $X$  in  $\mathcal{G}$ 
15.          Update2( $X, \text{minsup}$ );

```

**Fig. 6. The ARMOR Algorithm**

Oracle. But unlike in Oracle, candidates are inserted and removed from  $\mathcal{G}$  at the end of each partition. Generation and removal of candidates is done *simultaneously* while computing counts. The details of candidate generation and removal during the first pass are described in [5] due to lack of space. For ease of exposition we assume in the remainder of this section that all candidates (including 1-itemsets and 2-itemsets) are stored in the DAG.

Along with each candidate  $X$ , we also store the following three integers as in the CARMA algorithm [2]: (1)  $X.\text{count}$ : the number of occurrences of  $X$  since  $X$  was last inserted in  $\mathcal{G}$ . (2)  $X.\text{firstPartition}$ : the index of the partition at which  $X$  was inserted in  $\mathcal{G}$ . (3)  $X.\text{maxMissed}$ : upper bound on the number of occurrences of  $X$  before  $X$  was inserted in  $\mathcal{G}$ .

While the CARMA algorithm works on a tuple-by-tuple basis, we have adapted the semantics of these fields to suit the partitioning approach. If the database scanned so far is  $d$ , then the support of any candidate  $X$  in  $\mathcal{G}$  will lie in the range  $[X.\text{count}/d, (X.\text{maxMissed} + X.\text{count})/d]$  [2]. These bounds are denoted by  $\text{minSupport}(X)$  and  $\text{maxSupport}(X)$ , respectively. We define an itemset  $X$  to be  $d$ -frequent if  $\text{minSupport}(X) \geq \text{minsup}$ . Unlike in the CARMA algorithm where only  $d$ -frequent itemsets are stored at any stage, the DAG structure in ARMOR contains other candidates, including the *negative border* of the  $d$ -frequent itemsets, to ensure efficient candidate generation. The details are given in [5].

At the end of the first pass, the candidate set  $\mathcal{G}$  is pruned to include only  $d$ -frequent itemsets and their negative border. The counts of itemsets in  $\mathcal{G}$  over the entire database are determined during the second pass. The counting process is again identical to that of Oracle. No new candidates are generated during the second pass. However, candidates may be removed. The details of candidate removal in the second pass is deferred to [5].

The pseudo-code of ARMOR is shown in Figure 6 and is explained below.

*First Pass* At the beginning of the first pass, the set of candidate itemsets  $\mathcal{G}$  is initialized to the set of singleton itemsets (line 2). The `ReadNextPartition` function (line 4) reads tuples from the next partition and simultaneously creates tid-lists of singleton itemsets in  $\mathcal{G}$ .

After reading in the entire partition, the `Update1` function (details in [5]) is applied on each singleton in  $\mathcal{G}$  (lines 5–7). It increments the counts of existing candidates by their corresponding counts in the current partition. It is also responsible for generation and removal of candidates.

At the end of the first pass,  $\mathcal{G}$  contains a superset of the set of frequent itemsets. For a candidate in  $\mathcal{G}$  that has been inserted at partition  $P_j$ , its count over the partitions  $P_j, \dots, P_n$  will be available.

*Second Pass* At the beginning of the second pass, candidates in  $\mathcal{G}$  that are neither  $d$ -frequent nor part of the current negative border are removed from  $\mathcal{G}$  (line 8). For candidates that have been inserted in  $\mathcal{G}$  at the first partition, their counts over the entire database will be available. These itemsets with their counts are output (line 9). The `OutputFinished` function also performs the following task: If it outputs an itemset  $X$  and  $X$  has no supersets left in  $\mathcal{G}$ ,  $X$  is removed from  $\mathcal{G}$ .

During the second pass, the `ReadNextPartition` function (line 13) reads tuples from the next partition and creates tid-lists of singleton itemsets in  $\mathcal{G}$ . After reading in the entire partition, the `Update2` function (details in [5]) is applied on each singleton in  $\mathcal{G}$  (lines 14–15). Finally, before reading in the next partition we check to see if there are any more candidates. If not, the mining process terminates.

### 3.1 Memory Utilization in ARMOR

In the design and implementation of ARMOR, we have opted for speed in most decisions that involve a space-speed tradeoff. Therefore, the main memory utilization in ARMOR is certainly more as compared to algorithms such as Apriori. However, in the following discussion, we show that the memory usage of ARMOR is well within the reaches of current machine configurations. This is also experimentally confirmed in the next section.

The main memory consumption of ARMOR comes from the following sources: (1) The 1-d and 2-d arrays for storing counters of singletons and pairs, respectively; (2) The DAG structure for storing counters of longer itemsets, including tidlists of those itemsets, and (3) The current partition.

The total number of entries in the 1-d and 2-d arrays and in the DAG structure corresponds to the number of candidates in ARMOR, which as we have discussed in [5], is only marginally more than  $|F \cup N|$ . For the moment, if we disregard the space occupied

by tidlists of itemsets, then the amortized amount of space taken by each candidate is a small constant (about 10 integers for the dag and 1 integer for the arrays). E.g., if there are 1 million candidates in the dag and 10 million in the array, the space required is about 80MB. Since the environment we consider is one where the pattern lengths are small, the number of candidates will typically be comparable to or well within the available main memory. [9] discusses alternative approaches when this assumption does not hold.

Regarding the space occupied by tidlists of itemsets, note that ARMOR only needs to store tidlists of  $d$ -frequent itemsets. The number of  $d$ -frequent itemsets is of the same order as the number of frequent itemsets,  $|F|$ . The total space occupied by tidlists while processing partition  $P_i$  is then bounded by  $|F| \times |P_i|$  integers. E.g., if  $|F| = 5K$  and  $|P_i| = 20K$ , then the space occupied by tidlists is bounded by about 400MB. We assume  $|F|$  to be in the range of a few thousands at most because otherwise the total number of rules generated would be enormous and the purpose of mining would not be served. Note that the above bound is very pessimistic. Typically, the lengths of tidlists are much smaller than the partition size, especially as the itemset length increases.

Main memory consumed by the current partition is small compared to the above two factors. E.g., If each transaction occupies 1KB, a partition of size 20K would require only 20MB of memory. Even in these extreme examples, the total memory consumption of ARMOR is 500MB, which is acceptable on current machines.

Therefore, *in general we do not expect memory to be an issue* for mining market-basket databases using ARMOR. Further, even if it does happen to be an issue, it is easy to modify ARMOR to free space allocated to tidlists at the expense of time:  $M.tidlist$  can be freed after line 3 in the Update function shown in Figure 4.

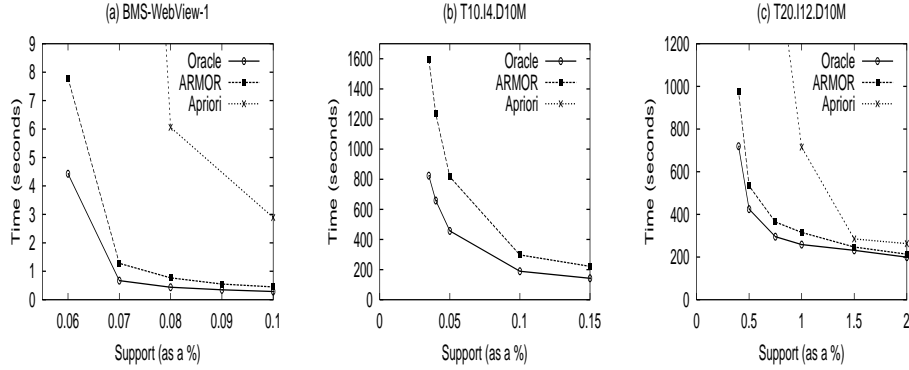
A final observation to be made from the above discussion is that the main memory consumption of ARMOR is proportional to the size of the *output* and does not “explode” as the input problem size increases.

## 4 Performance Study

In the previous section, we have described the Oracle and ARMOR algorithms. We have conducted a detailed study to assess the performance of ARMOR with respect to the Oracle algorithm. For completeness and as a reference point, we have also included the classical Apriori in our evaluation suite. The performance of other algorithms including VIPER and FP-growth are not presented here due to lack of space, but are available in [5].

Our experiments cover a range of database and mining workloads, and include the typical and extreme cases considered in previous studies. The performance metric in all the experiments is the *total execution time* taken by the mining operation. Due to space limitations, we show only a few representative experiments here – the others are available in [5].

Our experiments were conducted on a 700-MHz Pentium III workstation running Red Hat Linux 6.2, configured with a 1 GB main memory and three local 18 GB SCSI 10000 rpm disks. All the algorithms in our evaluation suite are written in C++. Finally, the partition size in ARMOR and Oracle was fixed to be 20K tuples.



**Fig. 7. Performance of ARMOR**

The real dataset used in our experiments was BMS-WebView-1 [11] from Blue Martini Software, while the synthetic databases were generated using the IBM Almaden generator [1]. Our synthetic databases were generated with parameters T10.I4 (following the standard naming convention introduced in [1]) and T20.I12 with 10M tuples in each of them. The number of items in the supermarket and the number of potentially frequent itemsets was set to 1K and 2K, respectively.

We set the rule support threshold values to as low as was feasible with the available main memory. At these low support values the number of frequent itemsets exceeded sixty thousand! Beyond this, we felt that the number of rules generated would be enormous and the purpose of mining – to find interesting patterns – would not be served. In particular, we set the rule support threshold values for the BMS-WebView-1, T10.I4 and T20.I12 databases to the ranges (0.06%–0.1%), (0.035%–0.1%), and (0.4%–2%), respectively. The results of these experiments are shown in Figures 7a–c. The x-axis in these graphs represent the support threshold values while the y-axis represents the response times of the algorithms being evaluated.

In these graphs, we first see that the response times of all algorithms increase exponentially as the support threshold is reduced. This is only to be expected since the number of itemsets in the output,  $F \cup N$ , increases exponentially with decrease in the support threshold. We also see that Apriori is uncompetitive with ARMOR and Oracle. In Figure 7b, Apriori did not feature at all since its response time was out of the range of the graph even for the highest support threshold.

Next, we see that ARMOR’s performance is close to that of Oracle for high supports. This is because of the following reasons: The density of the frequent itemset distribution is sparse at high supports resulting in only a few frequent itemsets with supports “close” to *minsup*. Hence, frequent itemsets are likely to be locally frequent within most partitions. Even if they are not locally frequent in a few partitions, it is very likely that they are still *d*-frequent over these partitions. Hence, their counters are updated even over these partitions. Therefore, the complete counts of most candidates would be available at the end of the first pass resulting in a “light and short” second pass. Hence, it is expected that ARMOR’s performance will be close to that of Oracle.

Since the frequent itemset distribution becomes dense at low supports, the above argument does not hold in this support region. Hence we see that ARMOR’s performance relative to Oracle decreases at low supports. But, what is far more important is that ARMOR consistently performs within a *factor of two* of Oracle, the worst case being 1.94 times (at 0.035% support threshold for the T10.I4 database). As shown in [5], prior algorithms do not have this feature – while they are good for some workloads, they did not perform consistently well over the entire range of databases and support thresholds.

*Memory Utilization* In order to measure the main memory utilization of ARMOR, we set the total number of items,  $N$ , to 20K items for the T10.I4 database – this environment represents an extremely stressful situation for ARMOR with regard to memory utilization due to the very large number of items. The complete results of this experiment are not shown due to lack of space. They are available in [5]. However, the worst case was at the lowest support threshold of 0.1% where the memory consumption of ARMOR for  $N = 1K$  items was 104MB while for  $N = 20K$  items, it was 143MB – an increase in less than 38% for a 20 times increase in the number of items! The reason for this is that the main memory utilization of ARMOR does not depend directly on the number of items, but only on the size of the output,  $F \cup N$ , as discussed in Section 3.1.

#### 4.1 Discussion of Experimental Results

We now explain why ARMOR should typically perform within a factor of two of Oracle. First, we notice that the only difference between the single pass of Oracle and the first pass of ARMOR is that ARMOR continuously generates and removes candidates. Since the generation and removal of candidates in ARMOR is dynamic and efficient, this does not result in a significant additional cost for ARMOR.

Since candidates in ARMOR that are neither  $d$ -frequent nor part of the current negative border are continuously removed, any itemset that is locally frequent within a partition, but not globally frequent in the entire database is likely to be removed from  $G$  during the course of the first pass (unless it belongs to the current negative border). Hence the resulting candidate set in ARMOR is a good approximation of the required mining output. In fact, in our experiments, we found that in the worst case, the number of candidates counted in ARMOR was only about *ten percent* more than the required mining output. The above two reasons indicate that the cost of the first pass of ARMOR is only slightly more than that of (the single pass in) Oracle.

Next, we notice that the only difference between the second pass of ARMOR and (the single pass in) Oracle is that in ARMOR, candidates are continuously removed. Hence the number of itemsets being counted in ARMOR during the second pass quickly reduces to much less than that of Oracle. Moreover, ARMOR does not necessarily perform a complete scan over the database during the second pass since this pass ends when there are no more candidates. Due to these reasons, we would expect that the cost of the second pass of ARMOR is usually less than that of (the single pass in) Oracle.

Since the cost of the first pass of ARMOR is usually only slightly more than that of (the single pass in) Oracle and that of the second pass is usually less than that of (the single pass in) Oracle, it follows that ARMOR will typically perform within a factor of two of Oracle.

## 5 Conclusions

In this paper, our approach was to quantify the algorithmic performance of association rule mining algorithms with regard to an idealized, but practically infeasible, “Oracle”. The Oracle algorithm utilizes a partitioning strategy to determine the supports of itemsets in the required output. It uses direct lookup arrays for counting singletons and pairs and a DAG data-structure for counting longer itemsets. We have shown that these choices are optimal in that only required itemsets are enumerated and that the cost of enumerating each itemset is  $\Theta(1)$ . Our experimental results showed that there was a substantial gap between the performance of current mining algorithms and that of the Oracle.

We also presented a new online mining algorithm called ARMOR, that was constructed with minimal changes to Oracle to result in an online algorithm. ARMOR utilizes a new method of candidate generation that is dynamic and incremental and is guaranteed to complete in two passes over the database. Our experimental results demonstrate that ARMOR performs within a *factor of two* of Oracle for both real and synthetic databases with acceptable main memory utilization.

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