

# Counting Defective Parking Functions

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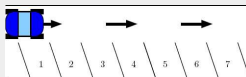
September 19, 2008

- 1 A parking problem (defective parking functions)
- 2 Enumeration (generating functions)
- 3 Asymptotics (limit distributions)
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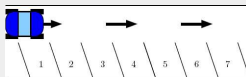
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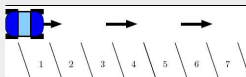
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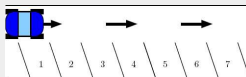
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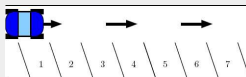
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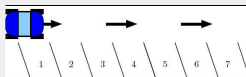


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- $n^m$  sequences of choices
- If all drivers park successfully, the sequence is called a *parking function*
- If  $k$  drivers fail to park, the sequence is called a *defective parking function of degree  $k$*

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## Theorem

*Every permutation of a defective parking function of degree  $k$  is also a defective parking function of degree  $k$ .*



## The counting problem

Enumerate the number

$$cp(n, m, k)$$

of assignments of  $m$  drivers to  $n$  spaces such that exactly  $k$  drivers leave

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## The probabilistic question

What is the probability

$$p_{n,m}(k) = \frac{1}{n^m} \text{cp}(n, m, k)$$

that for a randomly chosen assignment exactly  $k$  drivers leave? In particular, are there interesting **limiting distributions**?

Many equivalent or related formulations, for example

- Hashing with linear probing

[Konheim and Weiss, 1966]

[Flajolet, Poblete and Viola, 1998]

- Drop-push model for percolation

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Connections to other combinatorial objects:

- labelled trees, major functions, acyclic functions, Prüfer code, non-crossing partitions, hyperplane arrangements, priority queues, Tutte polynomial of graphs, inversion in trees

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$\text{cp}(n, n, k)$	$k = 0$	1	2	3	4	5	6
$n = 1$	1						
2	3	1					
3	16	10	1				
4	125	107	23	1			
5	1296	1346	436	46	1		
6	16807	19917	8402	1442	87	1	
7	262144	341986	173860	41070	4320	162	1

$\text{cp}(n, n, k)$ : the number of car parking assignments of  $n$  cars to  $n$  spaces such that  $k$  cars are not parked.

## Theorem

For  $m \leq n$ ,

$$\text{cp}(n, m, 0) = (n + 1 - m)(n + 1)^{m-1}$$

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Proof (adapted from Pollak ( $m = n$ ), 1974).

- Consider a circular car park with  $m$  cars and spaces  $(1, \dots, n, n + 1)$ .



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- A sequence will be a parking function for the original problem on  $(1, \dots, n)$  *if and only if* space  $n + 1$  remains empty.
- Space  $n + 1$  is empty with probability  $(n + 1 - m)/(n + 1)$ .



## Definition

For  $r, s, k \in \mathbb{N}_0$  let  $a(r, s, k)$  denote the number of choices for which  $r$  spaces remain empty,  $s$  spaces are occupied in the end and  $k$  people drive home.

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- $n = s + r$  parking spaces,  $m = s + k$  drivers
- $\text{cp}(n, m, k) = a(n - m + k, m - k, k)$

## Lemma (A recursion)

*For  $r, s, k \in \mathbb{N}_0$ , the number of assignments of  $s + k$  drivers to  $s + r$  spaces such that  $r$  spaces remain empty,  $s$  spaces are occupied and  $k$  drivers leave is recursively defined by*

$$a(r, s, k) =$$

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$$a(r, s, k) = \begin{cases} 1 & \text{if } r = s = k = 0, \\ \sum_{i=0}^{k+1} \binom{s+k}{k+1-i} \cdot a(r, s-1, i) & \text{if } k > 0, \\ a(r-1, s, 0) + \sum_{i=0}^{k+1} \binom{s+k}{k+1-i} \cdot a(r, s-1, i) & \text{if } k = 0 \text{ and } (r > 0 \text{ or } s > 0). \end{cases}$$

## Lemma (A functional equation)

Let  $A$  be the formal power series in the three variables  $u$ ,  $v$ , and  $t$  defined by

$$A(u, v, t) := \sum_{r, s, k \geq 0} a(r, s, k) \cdot u^r \frac{v^s t^k}{(s+k)!}.$$

Then  $A(u, v, t)$  is the unique solution of

$$0 = \left(\frac{v}{t} e^t - 1\right) \cdot A(u, v, t) + \left(u - \frac{v}{t}\right) \cdot A(u, v, 0) + 1$$

in the ring of formal power series in  $u$ ,  $v$  and  $t$ .



Solving

$$0 = \left(\frac{v}{t}e^t - 1\right) \cdot A(u, v, t) + \left(u - \frac{v}{t}\right) \cdot A(u, v, 0) + 1$$

with the **Kernel Method**:

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$$T(v) = \sum_{i=1}^{\infty} \frac{i^{i-1}}{i!} \cdot v^i$$

- Now we can solve

$$0 = \left(u - \frac{v}{T(v)}\right) \cdot A(u, v, 0) + 1$$

for  $A(u, v, 0)$ .

## Lemma (The explicit generating function)

*The generating function for the car parking problem is given by*

$$A(u, v, t) = \frac{1}{1 - \frac{v}{t}e^t} + \frac{u - \frac{v}{t}}{1 - \frac{v}{t}e^t} \cdot \frac{e^{T(v)}}{1 - ue^{T(v)}},$$

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Now extract the coefficients  $a(r, s, k) \dots$

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### Theorem

*The number of car parking assignments of  $m$  cars on  $n$  spaces such that **at least**  $k$  cars do not find a parking space is given by*

$$S(n, m, k) = \sum_{i=0}^{m-k} \binom{m}{i} \cdot (n-m+k) \cdot (n-m+k+i)^{i-1} \cdot (m-k-i)^{m-i}.$$



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- $S(n, m, k) = \sum_{j=k}^m \text{cp}(n, m, j)$
- The car parking numbers  $\text{cp}(n, m, k)$  are given by

$$\text{cp}(n, m, k) = S(n, m, k) - S(n, m, k+1)$$

- Remembering that  $cp(n, m, 0) = (n + 1 - m)(n + 1)^{m-1}$ , we can rewrite

$$S(n, m, k) = \sum_{i=0}^{m-k} \binom{m}{i} cp(n-m+k+i-1, i, 0) \cdot (m-k-i)^{m-i}.$$

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- If at least  $k$  cars do not find a parking space, then there are at least  $\ell = n + k - m$  empty parking spaces, and we rewrite

$$S(n, m, \ell + m - n) = \sum_{i=0}^{n-\ell} \binom{m}{i} \cdot cp(\ell + i - 1, i, 0) \cdot (n - \ell - i)^{m-i}.$$

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- This expression leads to a direct combinatorial proof.

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## Proof.

- Assuming the  $\ell$ -th empty space occurs at position  $\ell + i$ , there are  $i$  cars successfully parked in the  $\ell + i - 1$  spaces to the left of it, which is counted by  $\text{cp}(\ell + i - 1, i, 0)$ .



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- The remaining  $m - i$  cars are assigned to the  $n - \ell - i$  rightmost spaces in  $(n - \ell - i)^{m-i}$  different ways.
- Sum over all possible values of  $i$ .



Notice that

$$S(n, m, k) = \sum_{i=0}^{m-k} \binom{m}{i} \cdot (n-m+k) \cdot (n-m+k+i)^{i-1} \cdot (m-k-i)^{m-i}$$

are partial sums occurring in

### Lemma (Abel's Binomial Identity, 1826)

For all  $a, b \in \mathbb{R}$ ,  $m \in \mathbb{N}_0$ ,

$$\sum_{i=0}^m \binom{m}{i} \cdot a \cdot (a+i)^{i-1} \cdot (b-i)^{m-i} = (a+b)^m$$

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- In fact,  $S(n, m, 0) = n^m$  gives a combinatorial proof for Abel's identity for  $a = n - m$  and  $b = m$ .

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- Consider the distribution of the probability of a parking function with defect  $k$ ,

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- Different regimes:
  - $m \ll n$ : cars park with probability 1
  - $m \sim \lambda n$ ,  $\lambda < 1$ : discrete limit law
  - $(\sqrt{m} \ll m - n \ll m$ : exponential distribution)
  - $m - n \sim \lambda\sqrt{m}$ : linear-exponential distribution
  - $(\sqrt{m} \ll n - m \ll m$ : exponential distribution)
  - $m \sim \lambda n$ ,  $\lambda > 1$ : discrete limit law
  - $m \gg n$ : cars leave with probability 1



Define

$$P_{n,m}(k) = \frac{1}{n^m} S(n, m, k) = \sum_{j=k}^m p_{n,m}(j)$$

•  $m \ll n: P_{n,m}(k) \rightarrow 0$

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- $m \sim \lambda n$ ,  $\lambda > 1$ : discrete limit law

$$P_{n,m}(n - m + k) \rightarrow k \sum_{l=0}^{\infty} \frac{(l+k)^{l-1}}{l!} \lambda^l e^{-\lambda(l+k)}$$

Define

$$P_{n,m}(k) = \frac{1}{n^m} S(n, m, k) = \sum_{j=k}^m p_{n,m}(j)$$

- $m \ll n$ :  $P_{n,m}(k) \rightarrow 0$
- $m \sim \lambda n$ ,  $\lambda < 1$ : discrete limit law

$$P_{n,m}(k) \rightarrow (1 - \lambda) \sum_{l=0}^k (-1)^{k-l} \frac{(l+1)^{k-l}}{(k-l)!} \lambda^{k-l} e^{\lambda(l+1)}$$

- $m \sim \lambda n$ ,  $\lambda > 1$ : discrete limit law

$$P_{n,m}(n - m + k) \rightarrow k \sum_{l=0}^{\infty} \frac{(l+k)^{l-1}}{l!} \lambda^l e^{-\lambda(l+k)}$$

- $m \gg n$ :  $P_{n,m}(k) \rightarrow 1$

The interesting scaling regime  $m - n \sim \lambda\sqrt{m}$

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## Theorem

*Let  $x \in \mathbb{R}^+$  and  $y \in \mathbb{R}$ . Then the limiting probability that in a random assignment of  $n + \lfloor y\sqrt{n} \rfloor$  drivers to  $n$  spaces at least  $\lfloor x\sqrt{n} \rfloor$  drivers fail to park is*

$$\lim_{n \rightarrow \infty} P_{n, n + \lfloor y\sqrt{n} \rfloor}(\lfloor x\sqrt{n} \rfloor) = \begin{cases} e^{-2x(x-y)} & \text{if } x > y, \\ 1 & \text{otherwise.} \end{cases}$$

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Therefore we have approximately

$$\frac{\text{cp}(n, m, k)}{n^m} \approx \frac{2}{n} \cdot (2k - m + n) \cdot e^{-2k(k-m+n)/n}$$

## Proof.

Approximate the expression for  $S(n, m, k)$  by an integral

$$\begin{aligned} & \lim_{n \rightarrow \infty} P_{n, n + \lfloor y\sqrt{n} \rfloor}(\lfloor x\sqrt{n} \rfloor) \\ &= \int_0^1 \frac{x - y}{\sqrt{2\pi\alpha^3(1-\alpha)}} \cdot \exp\left(-\frac{(x - (1-\alpha)y)^2}{2\alpha(1-\alpha)}\right) d\alpha. \end{aligned}$$



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Under the substitution  $\alpha = \frac{u(x-y)}{x+u(x-y)}$  this integral simplifies to

$$\begin{aligned} &= \frac{1}{\sqrt{2\pi}} \cdot \int_0^\infty \sqrt{\frac{x(x-y)}{u^3}} \cdot \exp\left(-x \cdot (x-y) \cdot \frac{(1+u)^2}{2u}\right) du \\ &= \exp(-2x(x-y)). \end{aligned}$$



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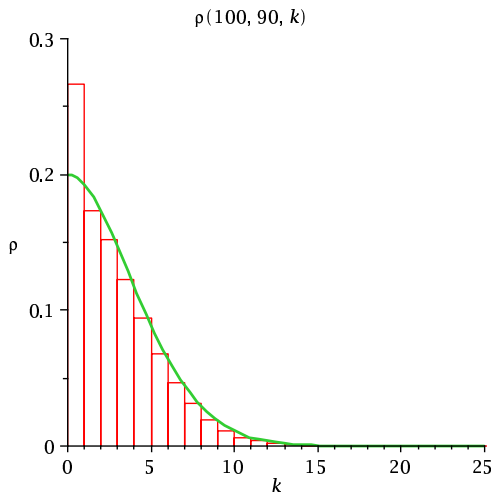
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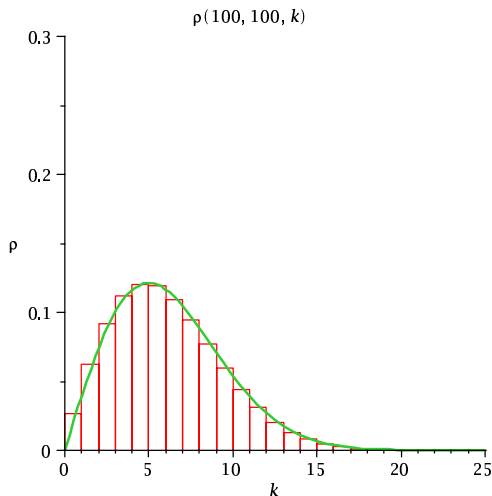
NB: neither Maple nor Mathematica can do the above integral!

Less cars than parking spaces ( $n > m$ ):



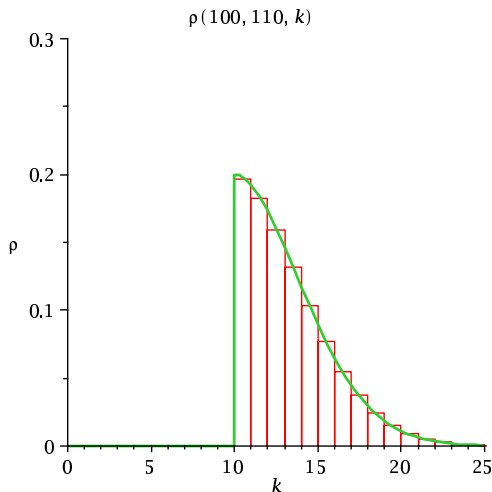
$$\frac{cp(n, m, k)}{n^m} \approx \frac{2}{n} \cdot (2k - m + n) \cdot e^{-2k(k-m+n)/n}$$

Equal number of cars and parking spaces ( $n = m$ ):



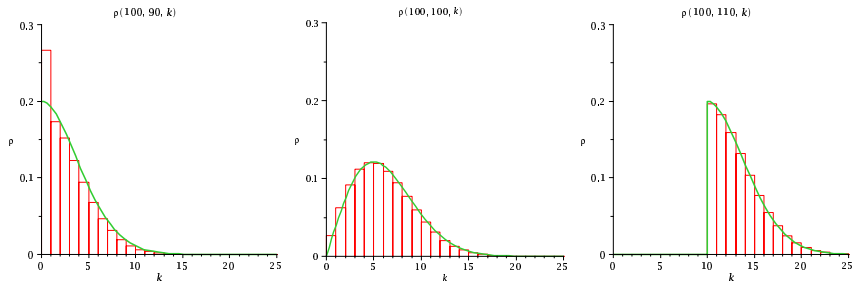
$$\frac{cp(n, m, k)}{n^m} \approx \frac{2}{n} \cdot (2k - m + n) \cdot e^{-2k(k-m+n)/n}$$

More cars than parking spaces ( $n < m$ ):



$$\frac{\text{cp}(n, m, k)}{n^m} \approx \frac{2}{n} \cdot (2k - m + n) \cdot e^{-2k(k-m+n)/n}$$

The approximation is surprisingly accurate:



$$\frac{\text{cp}(n, m, k)}{n^m} \approx \frac{2}{n} \cdot (2k - m + n) \cdot e^{-2k(k-m+n)/n}$$

What is the probability that the car park is full?

What is the probability that the car park is full?

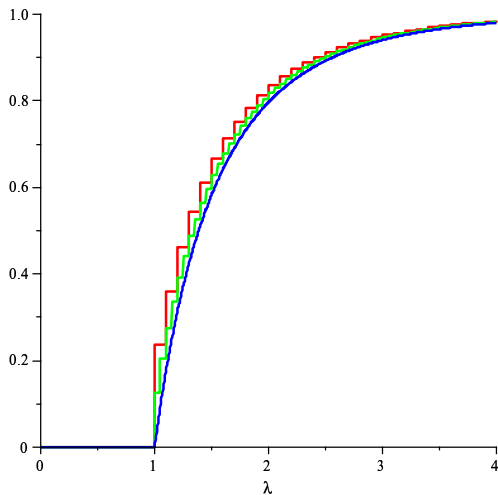
### Theorem

Let  $\lambda \in \mathbb{R}^+$ . Then the limiting probability that in a random assignment of  $\lfloor \lambda n \rfloor$  drivers to  $n$  spaces all spaces are occupied is

$$\lim_{n \rightarrow \infty} \frac{\text{cp}(n, \lfloor \lambda n \rfloor, \lfloor \lambda n \rfloor - n)}{n^{\lfloor \lambda n \rfloor}} = \begin{cases} 0 & \text{if } \lambda \leq 1, \\ 1 - \frac{1}{\lambda} \cdot T(\lambda e^{-\lambda}) & \text{if } \lambda > 1. \end{cases}$$



$n = 10, 20, \infty$ :



$$\left. \frac{\text{cp}(n, m, m-n)}{n^m} \right|_{m=\lfloor \lambda n \rfloor} \approx 1 - \frac{1}{\lambda} T(\lambda e^{-\lambda})$$

## Reference for this work:

- P. J. Cameron, D. Johannsen, T. Prellberg, and P. Schweitzer, "Counting defective parking functions", Electron. J. Combinat. **15** (2008) R92 (arXiv:0803.0302v2) (submitted to EJC on March 3, 2008)

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## Related work by Alois Panholzer, TU Wien:

- “Limiting distribution results for a discrete parking problem”, GOCPS 2008 (talk presented on March 5, 2008)
- “On a discrete parking problem”, AofA 2008 (talk presented on April 17, 2008)

- 1 A parking problem (defective parking functions)
- 2 Enumeration (generating functions)
- 3 Asymptotics (limit distributions)
- 4 Conclusion and outlook**

## Summary:

- Introduced interesting and apparently new parking problem
- Solved the counting problem (Kernel method)
- Discussed limiting probability distributions

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## Outlook:

- So far only “weak limit laws” - can refine analysis
- Extension to several generalised parking problems in the literature possible

# The End