

# BBM 202 - ALGORITHMS



**HACETTEPE UNIVERSITY**

**DEPT. OF COMPUTER ENGINEERING**

**ERKUT ERDEM**

## **HASHING, SEARCH APPLICATIONS**

**Mar. 24, 2015**

**Acknowledgement:** The course slides are adapted from the slides prepared by R. Sedgwick and K. Wayne of Princeton University.

# TODAY

- ▶ Hashing
- ▶ Search Applications

# TODAY

- ▶ **Hashing**
- ▶ Search applications

# HASHING

- ▶ Hash functions
- ▶ Separate chaining
- ▶ Linear probing

# ST implementations: summary

implementation	worst-case cost (after N inserts)			average-case cost (after N random inserts)			ordered iteration?	key interface
	search	insert	delete	search hit	insert	delete		
sequential search (unordered list)	N	N	N	N/2	N	N/2	no	<code>equals()</code>
binary search (ordered array)	$\lg N$	N	N	$\lg N$	N/2	N/2	yes	<code>compareTo()</code>
BST	N	N	N	$1.38 \lg N$	$1.38 \lg N$	?	yes	<code>compareTo()</code>
red-black BST	$2 \lg N$	$2 \lg N$	$2 \lg N$	$1.00 \lg N$	$1.00 \lg N$	$1.00 \lg N$	yes	<code>compareTo()</code>

**Q.** Can we do better?

**A.** Yes, but with different access to the data (if we don't need ordered ops).

# Hashing: basic plan

Save items in a **key-indexed table** (index is a function of the key).

**Hash function.** Method for computing array index from key.

`hash("it") = 3`



`hash("times") = 3`

## Issues.

- Computing the hash function.
- Equality test: Method for checking whether two keys are equal.
- Collision resolution: Algorithm and data structure to handle two keys that hash to the same array index.

## Classic space-time tradeoff.

- No space limitation: trivial hash function with key as index.
- No time limitation: trivial collision resolution with sequential search.
- Space and time limitations: hashing (the real world).

# HASHING

- ▶ **Hash functions**
- ▶ Separate chaining
- ▶ Linear probing

# Computing the hash function

**Idealistic goal.** Scramble the keys uniformly to produce a table index.

- Efficiently computable.
- Each table index equally likely for each key.

thoroughly researched problem,  
still problematic in practical applications

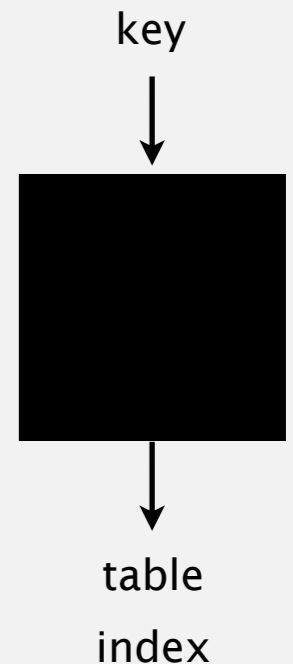
**Ex 1. Phone numbers.**

- Bad: first three digits.
- Better: last three digits.

**Ex 2. Social Security numbers.**

- Bad: first three digits.
- Better: last three digits.

573 = California, 574 = Alaska  
(assigned in chronological order within geographic region)



**Practical challenge.** Need different approach for each key type.

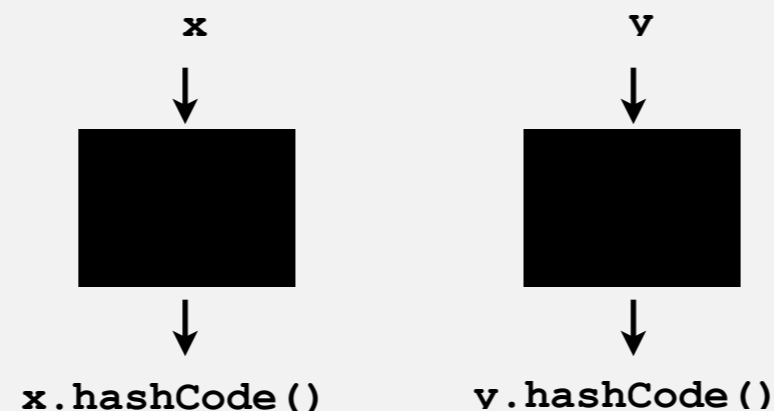


# Java's hash code conventions

All Java classes inherit a method `hashCode()`, which returns a 32-bit `int`.

**Requirement.** If `x.equals(y)`, then `(x.hashCode() == y.hashCode())`.

**Highly desirable.** If `!x.equals(y)`, then `(x.hashCode() != y.hashCode())`.



**Default implementation.** Memory address of `x`.

**Legal (but poor) implementation.** Always return 17.

**Customized implementations.** `Integer`, `Double`, `String`, `File`, `URL`, `Date`, ...

**User-defined types.** Users are on their own.

# Implementing hash code: integers, booleans, and doubles

## Java library implementations

```
public final class Integer
{
    private final int value;
    ...

    public int hashCode()
    { return value; }
}
```


```
public final class Boolean
{
    private final boolean value;
    ...

    public int hashCode()
    {
        if (value) return 1231;
        else      return 1237;
    }
}
```

```
public final class Double
{
    private final double value;
    ...

    public int hashCode()
    {
        long bits = doubleToLongBits(value);
        return (int) (bits ^ (bits >>> 32));
    }
}
```

convert to IEEE 64-bit representation;  
xor most significant 32-bits  
with least significant 32-bits



# Implementing hash code: strings

## Java library implementation

```
public final class String
{
    private final char[] s;
    ...

    public int hashCode()
    {
        int hash = 0;
        for (int i = 0; i < length(); i++)
            hash = s[i] + (31 * hash);
        return hash;
    }
}
```

*i*<sup>th</sup> character of *s*

char	Unicod
...	...
'a'	97
'b'	98
'c'	99
...	...

- Horner's method to hash string of length  $L$ :  $L$  multiplies/adds.
- Equivalent to  $h = s[0] \cdot 31^{L-1} + \dots + s[L-3] \cdot 31^2 + s[L-2] \cdot 31^1 + s[L-1] \cdot 31^0$ .

**Ex.** `String s = "call";`  
`int code = s.hashCode();` ←  $3045982 = 99 \cdot 31^3 + 97 \cdot 31^2 + 108 \cdot 31^1 + 108 \cdot 31^0$   
 $= 108 + 31 \cdot (108 + 31 \cdot (97 + 31 \cdot (99)))$   
(Horner's method)

# Implementing hash code: strings

## Performance optimization.

- Cache the hash value in an instance variable.
- Return cached value.

```
public final class String
{
    private int hash = 0;
    private final char[] s;
    ...

    public int hashCode()
    {
        int h = hash;
        if (h != 0) return h;
        for (int i = 0; i < length(); i++)
            h = s[i] + (31 * hash);
        hash = h;
        return h;
    }
}
```

← cache of hash code

← return cached value

← store cache of hash code

# Implementing hash code: user-defined types

```
public final class Transaction implements Comparable<Transaction>
{
    private final String who;
    private final Date when;
    private final double amount;

    public Transaction(String who, Date when, double amount)
    { /* as before */ }

    ...

    public boolean equals(Object y)
    { /* as before */ }
```

```
public int hashCode()
{
    int hash = 17;
    hash = 31*hash + who.hashCode();
    hash = 31*hash + when.hashCode();
    hash = 31*hash + ((Double) amount).hashCode();
    return hash;
}
```

nonzero constant

for reference types,  
use hashCode()

for primitive types,  
use hashCode()  
of wrapper type

typically a small prime

# Hash code design

"Standard" recipe for user-defined types.

- Combine each significant field using the  $31x + y$  rule.
- If field is a primitive type, use wrapper type `hashCode()`.
- If field is null, return 0.
- If field is a reference type, use `hashCode()`. ← applies rule recursively
- If field is an array, apply to each entry. ← or use `Arrays.deepHashCode()`

**In practice.** Recipe works reasonably well; used in Java libraries.

**In theory.** Keys are bitstring; "universal" hash functions exist.

**Basic rule.** Need to use the whole key to compute hash code; consult an expert for state-of-the-art hash codes.

# Modular hashing

Hash code. An `int` between  $-2^{31}$  and  $2^{31}-1$ .

Hash function. An `int` between 0 and  $M-1$  (for use as array index).

typically a prime or power of 2

```
private int hash(Key key)
{ return key.hashCode() % M; }
```

bug

```
private int hash(Key key)
{ return Math.abs(key.hashCode()) % M; }
```

1-in-a-billion bug

`hashCode()` of "polygenelubricants" is  $-2^{31}$

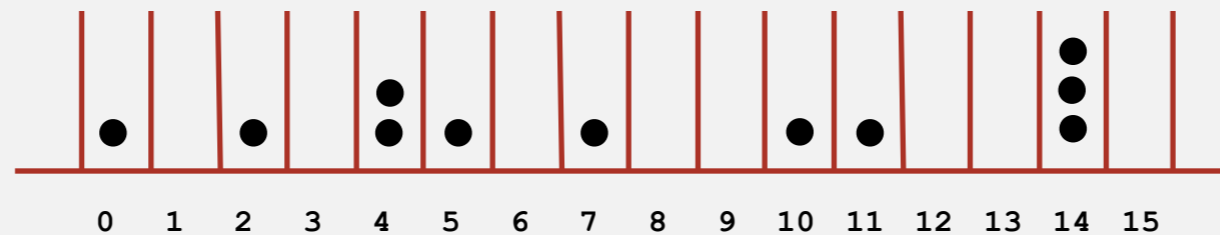
```
private int hash(Key key)
{ return (key.hashCode() & 0x7fffffff) % M; }
```

correct

# Uniform hashing assumption

**Uniform hashing assumption.** Each key is equally likely to hash to an integer between 0 and  $M - 1$ .

**Bins and balls.** Throw balls uniformly at random into  $M$  bins.



**Birthday problem.** Expect two balls in the same bin after  $\sim \sqrt{\pi M / 2}$  tosses.

**Coupon collector.** Expect every bin has  $\geq 1$  ball after  $\sim M \ln M$  tosses.

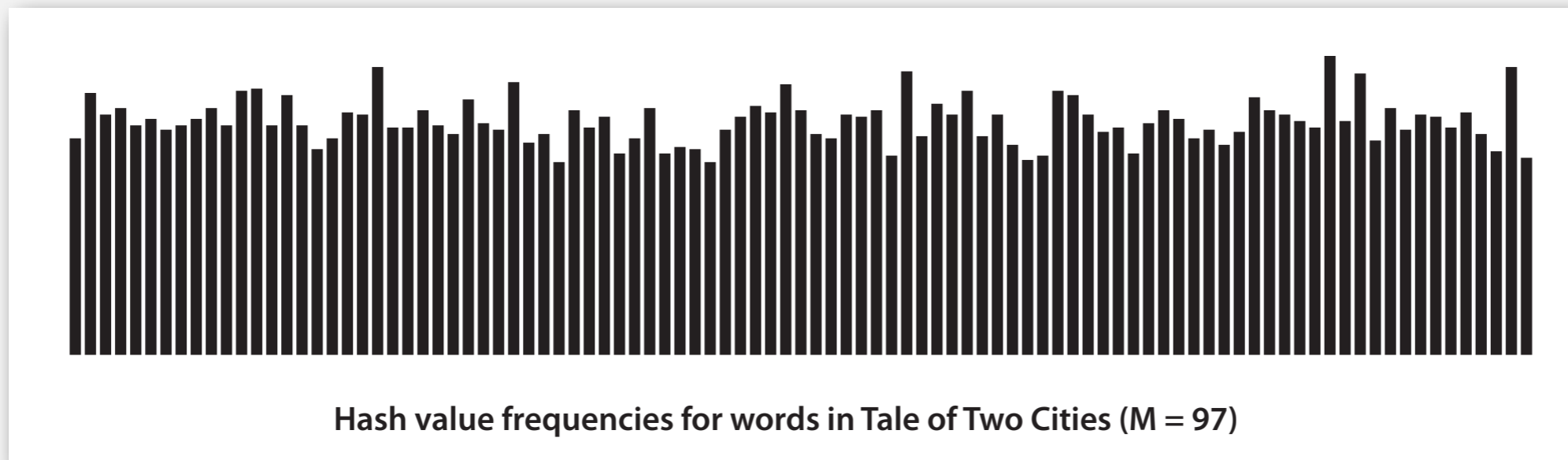
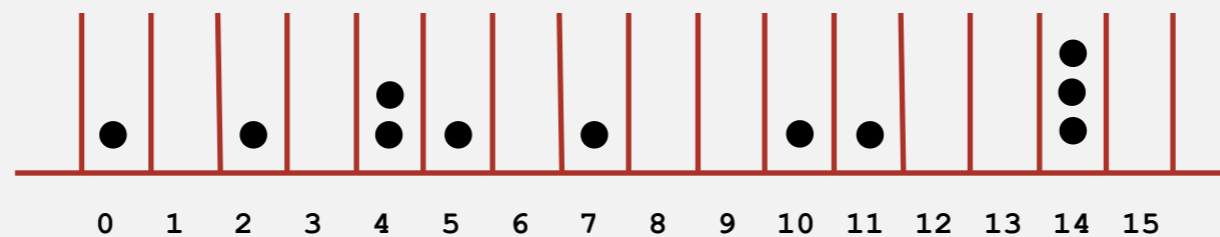
**Load balancing.** After  $M$  tosses, expect most loaded bin has  $\Theta(\log M / \log \log M)$  balls.



# Uniform hashing assumption

**Uniform hashing assumption.** Each key is equally likely to hash to an integer between 0 and  $M - 1$ .

**Bins and balls.** Throw balls uniformly at random into  $M$  bins.



Java's `String` data uniformly distribute the keys of Tale of Two Cities

# HASHING

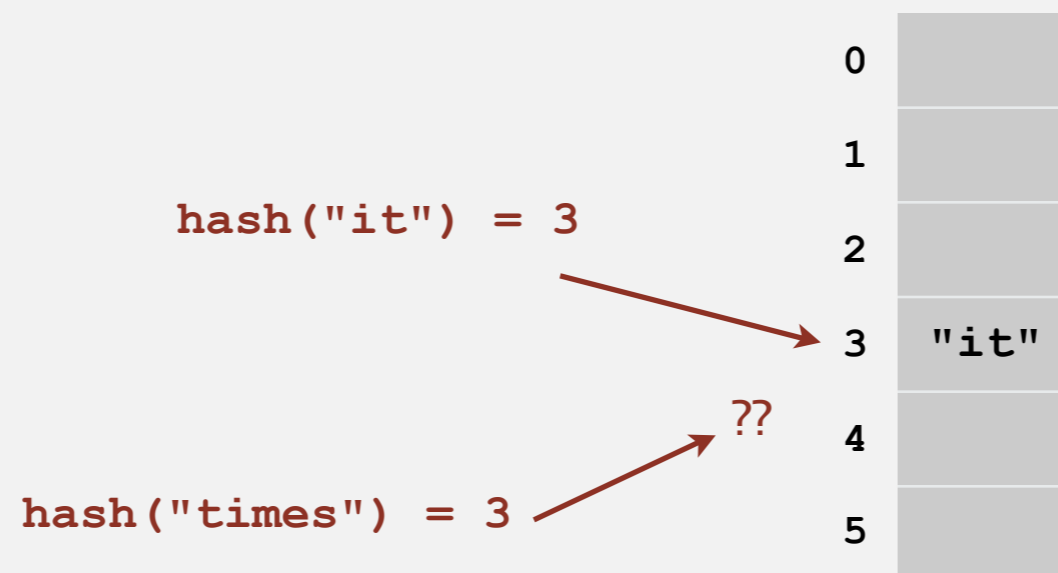
- ▶ Hash functions
- ▶ **Separate chaining**
- ▶ Linear probing

# Collisions

**Collision.** Two distinct keys hashing to same index.

- Birthday problem  $\Rightarrow$  can't avoid collisions unless you have a ridiculous (quadratic) amount of memory.
- Coupon collector + load balancing  $\Rightarrow$  collisions will be evenly distributed.

**Challenge.** Deal with collisions efficiently.



# Separate chaining symbol table

Use an array of  $M < N$  linked lists. [H. P. Luhn, IBM 1953]

- Hash: map key to integer  $i$  between 0 and  $M - 1$ .
- Insert: put at front of  $i^{\text{th}}$  chain (if not already there).
- Search: need to search only  $i^{\text{th}}$  chain.

key	hash	value
-----	------	-------

S	2	0
---	---	---

E	0	1
---	---	---

A	0	2
---	---	---

R	4	3
---	---	---

C	4	4
---	---	---

H	4	5
---	---	---

E	0	6
---	---	---

X	2	7
---	---	---

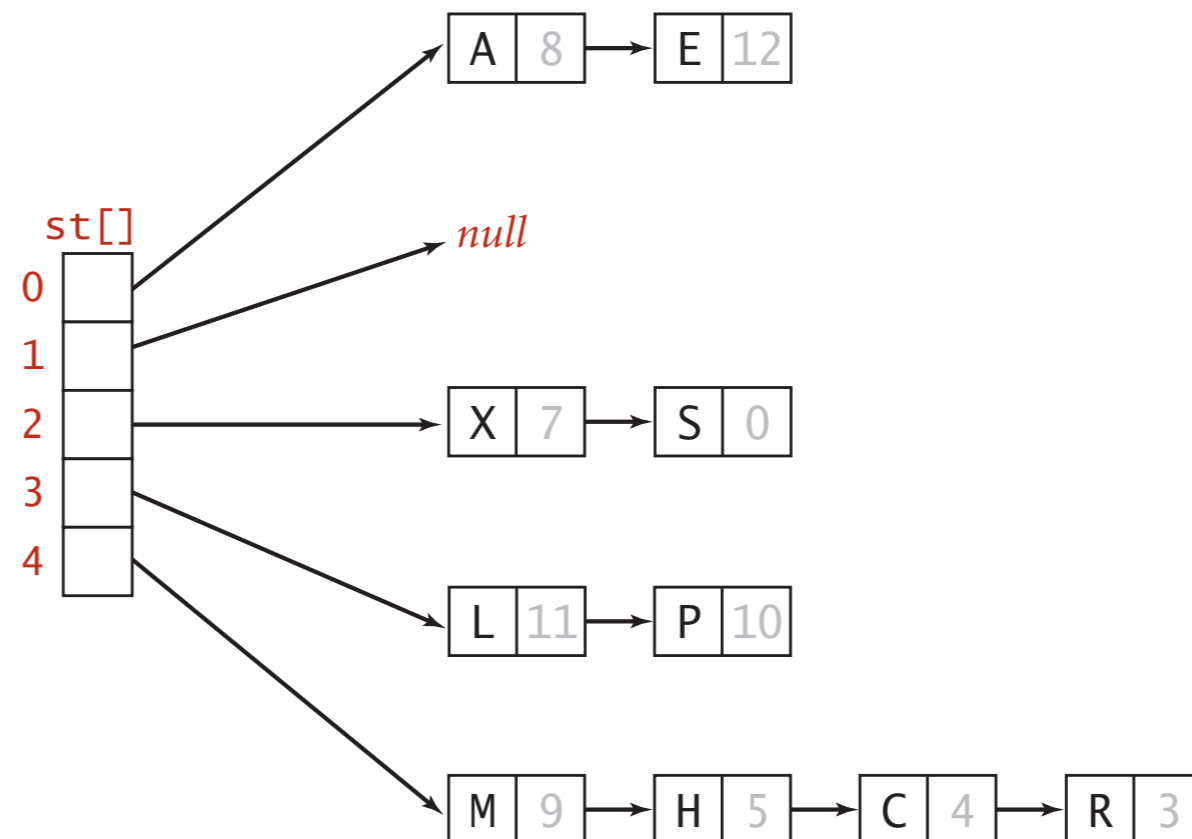
A	0	8
---	---	---

M	4	9
---	---	---

P	3	10
---	---	----

L	3	11
---	---	----

E	0	12
---	---	----



# Separate chaining ST: Java implementation

```
public class SeparateChainingHashST<Key, Value>
{
    private int M = 97;           // number of chains
    private Node[] st = new Node[M]; // array of chains

    private static class Node
    {
        private Object key;
        private Object val;
        private Node next;
        ...
    }

    private int hash(Key key)
    { return (key.hashCode() & 0x7fffffff) % M; }

    public Value get(Key key) {
        int i = hash(key);
        for (Node x = st[i]; x != null; x = x.next)
            if (key.equals(x.key)) return (Value) x.val;
        return null;
    }
}
```

array doubling  
and halving  
code omitted

← no generic array creation

← (declare key and value of type Object)

# Separate chaining ST: Java implementation

```
public class SeparateChainingHashST<Key, Value>
{
    private int M = 97;           // number of chains
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    private static class Node
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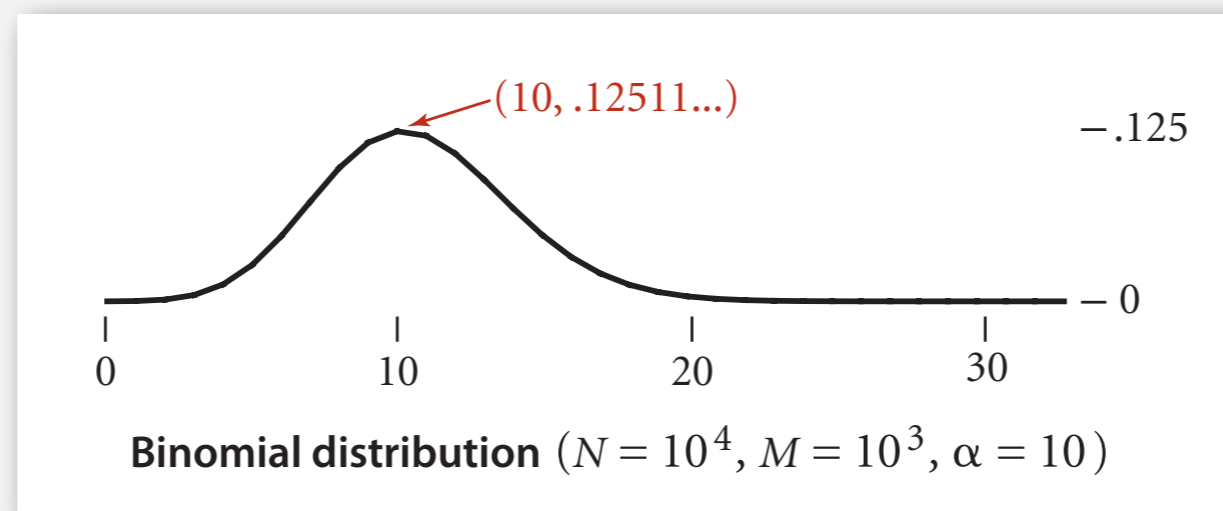
    private int hash(Key key)
    { return (key.hashCode() & 0x7fffffff) % M; }

    public void put(Key key, Value val) {
        int i = hash(key);
        for (Node x = st[i]; x != null; x = x.next)
            if (key.equals(x.key)) { x.val = val; return; }
        st[i] = new Node(key, val, st[i]);
    }
}
```

# Analysis of separate chaining

**Proposition.** Under uniform hashing assumption, probability that the number of keys in a list is within a constant factor of  $N/M$  is extremely close to 1.

**Pf sketch.** Distribution of list size obeys a binomial distribution.



`equals()` and `hashCode()`

**Consequence.** Number of probes for search/insert is proportional to  $N/M$ .

- $M$  too large  $\Rightarrow$  too many empty chains.
- $M$  too small  $\Rightarrow$  chains too long.
- Typical choice:  $M \sim N/5 \Rightarrow$  constant-time ops.

$M$  times faster than  
sequential search

# ST implementations: summary

implementation	worst-case cost (after N inserts)			average case (after N random inserts)			ordered iteration?	key interface
	search	insert	delete	search hit	insert	delete		
sequential search (unordered list)	N	N	N	N/2	N	N/2	no	<code>equals()</code>
binary search (ordered array)	$\lg N$	N	N	$\lg N$	N/2	N/2	yes	<code>compareTo()</code>
BST	N	N	N	$1.38 \lg N$	$1.38 \lg N$	?	yes	<code>compareTo()</code>
red-black tree	$2 \lg N$	$2 \lg N$	$2 \lg N$	$1.00 \lg N$	$1.00 \lg N$	$1.00 \lg N$	yes	<code>compareTo()</code>
separate chaining	$\lg N^*$	$\lg N^*$	$\lg N^*$	$3-5^*$	$3-5^*$	$3-5^*$	no	<code>equals()</code>

\* under uniform hashing assumption



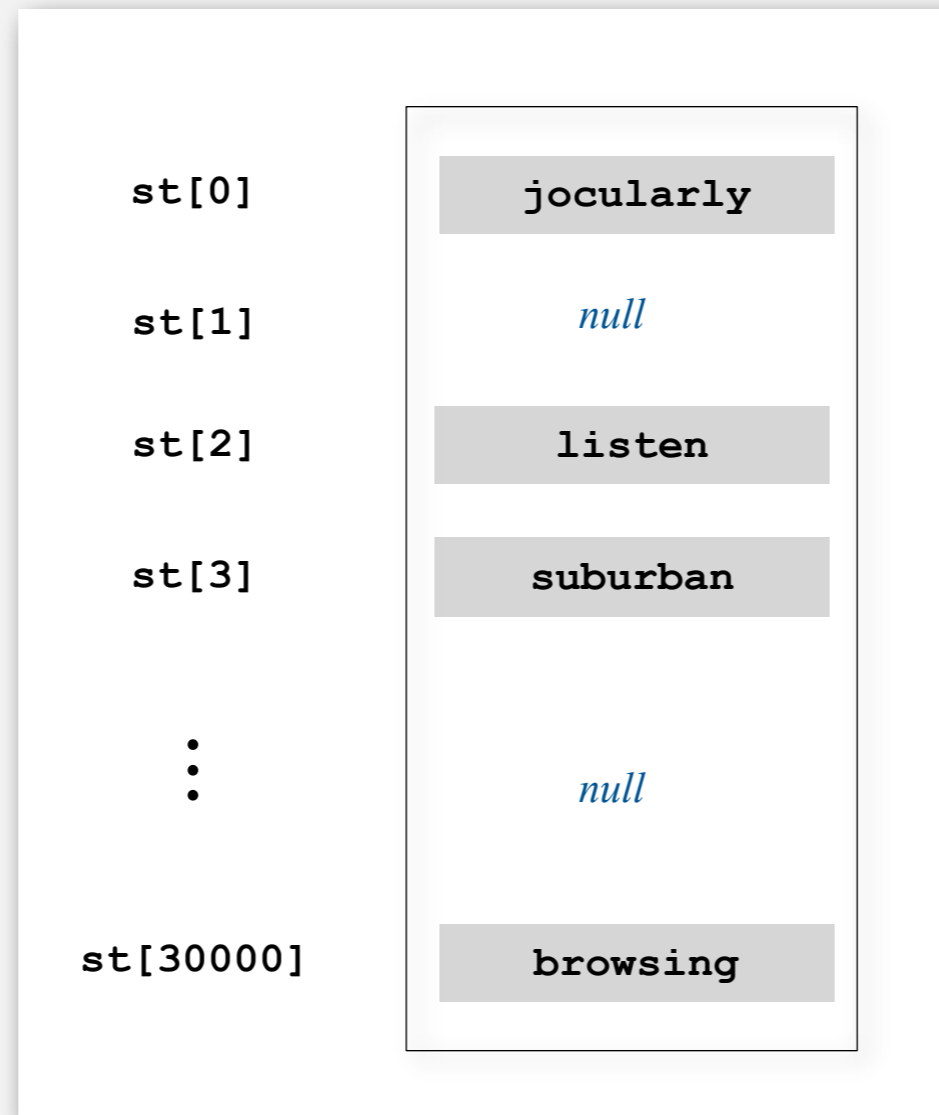
# HASHING

- ▶ Hash functions
- ▶ Separate chaining
- ▶ **Linear probing**

# Collision resolution: open addressing

Open addressing. [Amdahl-Boehme-Rochester-Samuel, IBM 1953]

When a new key collides, find next empty slot, and put it there.



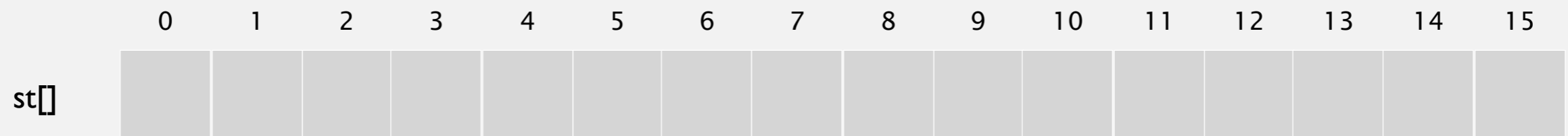
linear probing ( $M = 30001$ ,  $N = 15000$ )

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table



$M = 16$

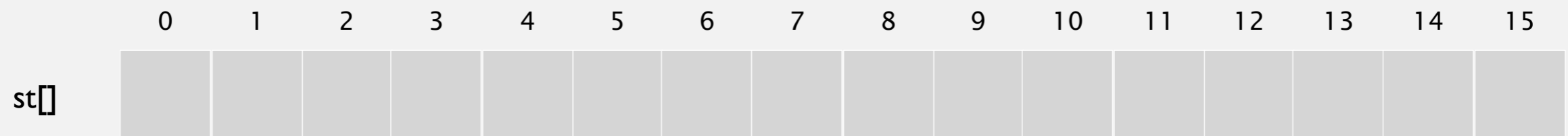
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**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert  $S$

hash( $S$ ) = 6



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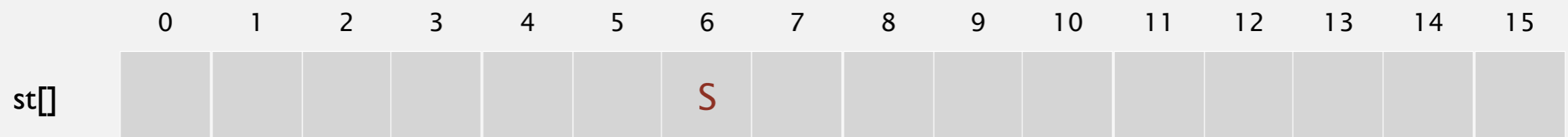
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$M = 16$

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**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]							S									

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between  $0$  and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert E

hash(E) = 10

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]							S									

M = 16



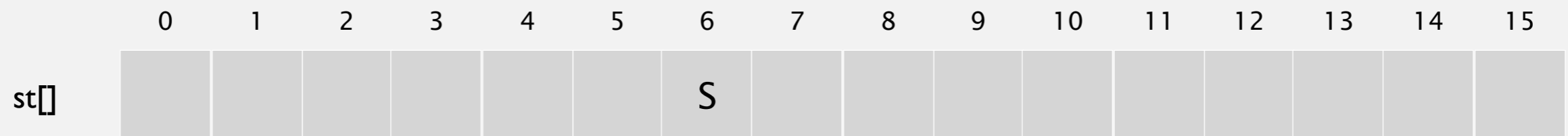
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linear probing hash table

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st[]							S				E					

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert A

hash(A) = 4

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]							S				E					

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between  $0$  and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert  $A$

hash( $A$ ) =  $4$



# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

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M = 16

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**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A		S				E					

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert R

hash(R) = 14

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A		S				E					

M = 16



# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert R

hash(R) = 14

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A		S				E					

M = 16

R

# Linear probing hash table

**Hash.** Map key to integer  $i$  between  $0$  and  $M - 1$ .

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M = 16

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linear probing hash table

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**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert C

hash(C) = 5

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A		S				E				R	

M = 16

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insert H

hash(H) = 4

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st[]					A	C	S				E				R	

M = 16



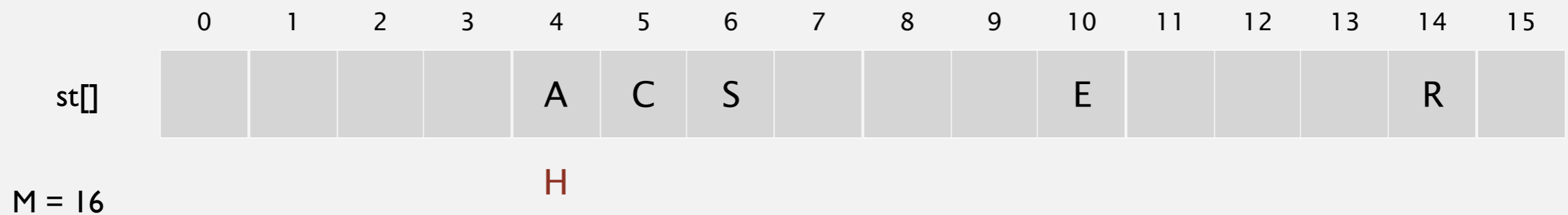
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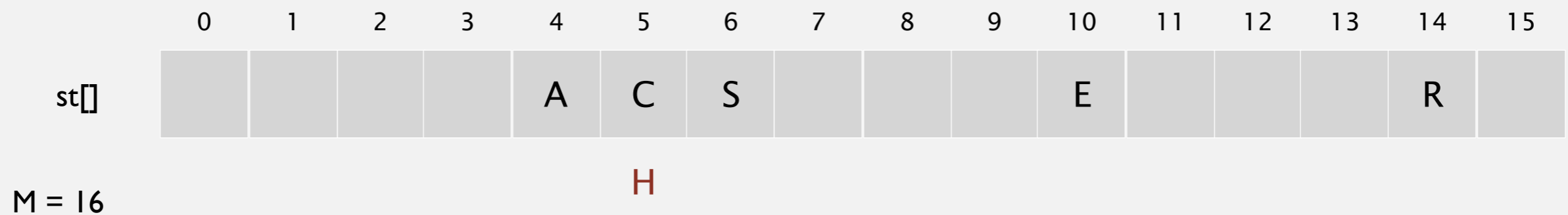
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# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert H

hash(H) = 4



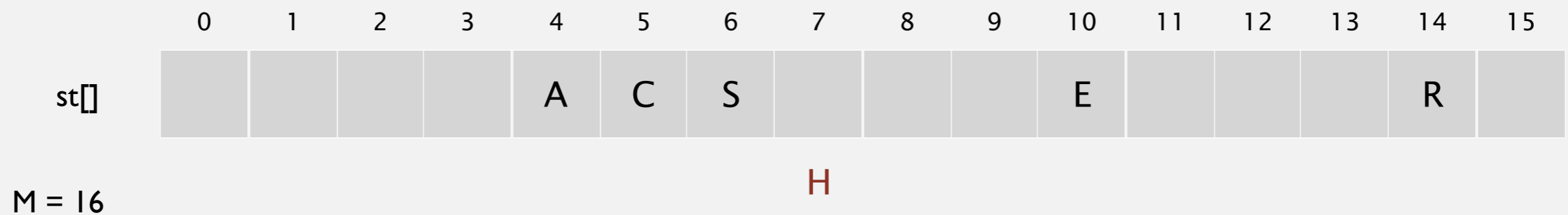
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insert H

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# Linear probing hash table

**Hash.** Map key to integer  $i$  between  $0$  and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert H

hash(H) = 4

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert X

hash(X) = 15

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert X

hash(X) = 15

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	

M = 16

X



# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

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	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert M

hash(M) = 1

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

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hash(M) = 1

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]					A	C	S	H			E				R	X

M = 16

M

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert M

hash(M) = 1

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]		M			A	C	S	H			E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]		M			A	C	S	H			E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert P

hash(P) = 14

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]		M			A	C	S	H			E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert P

hash(P) = 14

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]		M			A	C	S	H			E				R	X

M = 16

P





# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert P

hash(P) = 14

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H			E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H			E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

insert L

hash(L) = 6

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H			E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

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	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H			E				R	X

M = 16

L

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hash(L) = 6

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16



# Linear probing hash table

**Hash.** Map key to integer  $i$  between  $0$  and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search E

hash(E) = 10

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search E

hash(E) = 10

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

E

search hit  
(return corresponding value)

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search L

hash(L) = 6

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

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	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

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st[]	P	M			A	C	S	H	L		E				R	X

M = 16

L



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st[]	P	M			A	C	S	H	L		E				R	X

M = 16

L

search hit  
(return corresponding value)

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**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

linear probing hash table

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

$M = 16$

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search K

hash(K) = 5

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search K

hash(K) = 5

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

K

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**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

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st[]	P	M			A	C	S	H	L		E				R	X

M = 16

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**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search K

hash(K) = 5

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

K

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search K

hash(K) = 5

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

K

# Linear probing hash table

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

search K

hash(K) = 5

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

M = 16

K

search miss  
(return null)



# Linear probing - Summary

**Hash.** Map key to integer  $i$  between 0 and  $M - 1$ .

**Insert.** Put at table index  $i$  if free; if not try  $i + 1$ ,  $i + 2$ , etc.

**Search.** Search table index  $i$ ; if occupied but no match, try  $i + 1$ ,  $i + 2$ , etc.

**Note.** Array size  $M$  must be greater than number of key-value pairs  $N$ .

	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
st[]	P	M			A	C	S	H	L		E				R	X

$M = 16$

# Linear probing ST implementation


```
public class LinearProbingHashST<Key, Value>
{
    private int M = 30001;
    private Value[] vals = (Value[]) new Object[M];
    private Key[] keys = (Key[]) new Object[M];

    private int hash(Key key) { /* as before */ }

    public void put(Key key, Value val)
    {
        int i;
        for (i = hash(key); keys[i] != null; i = (i+1) % M)
            if (keys[i].equals(key))
                break;
        keys[i] = key;
        vals[i] = val;
    }

    public Value get(Key key)
    {
        for (int i = hash(key); keys[i] != null; i = (i+1) % M)
            if (key.equals(keys[i]))
                return vals[i];
        return null;
    }
}
```

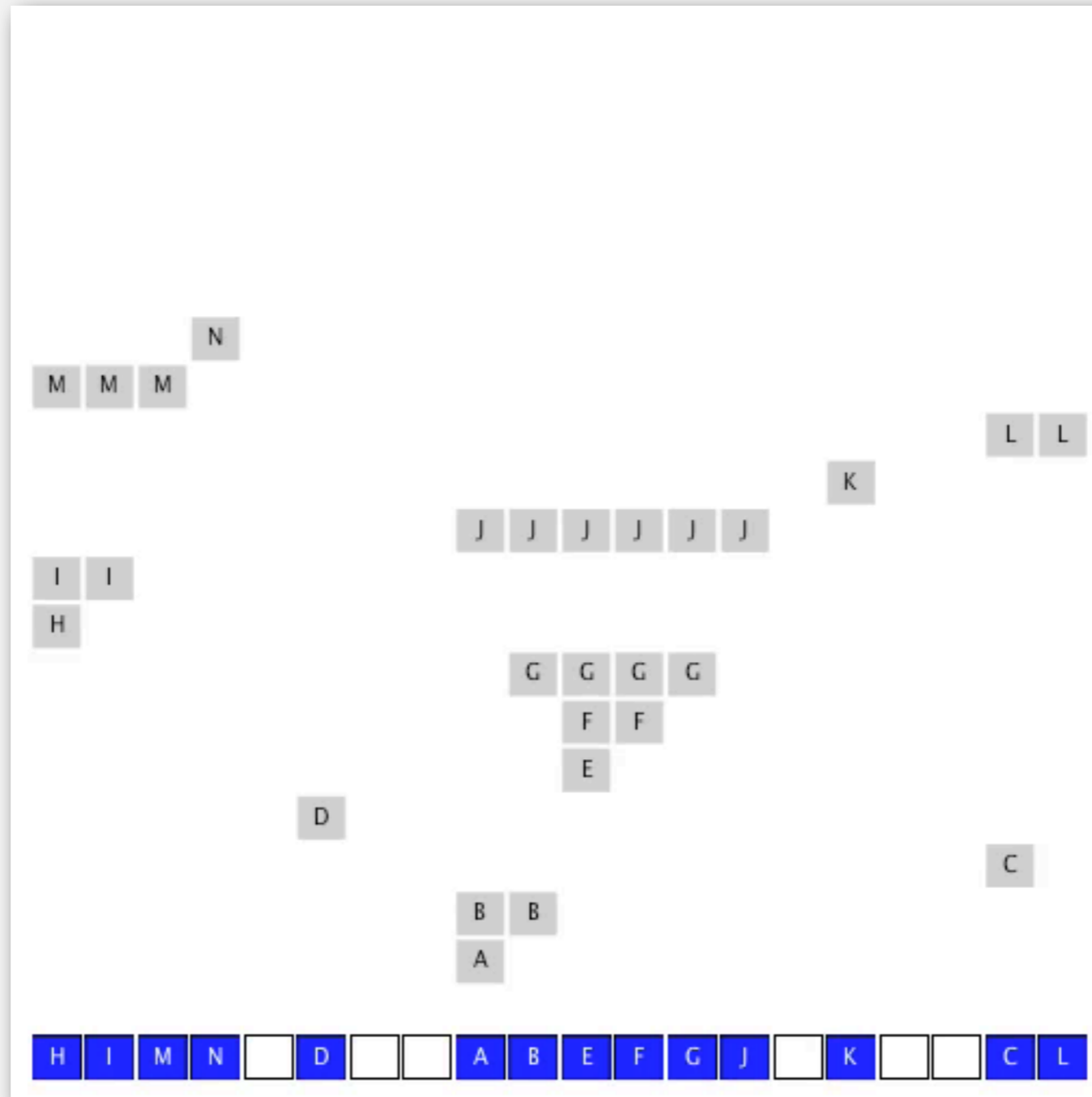
array doubling  
and halving  
code omitted



# Clustering

**Cluster.** A contiguous block of items.

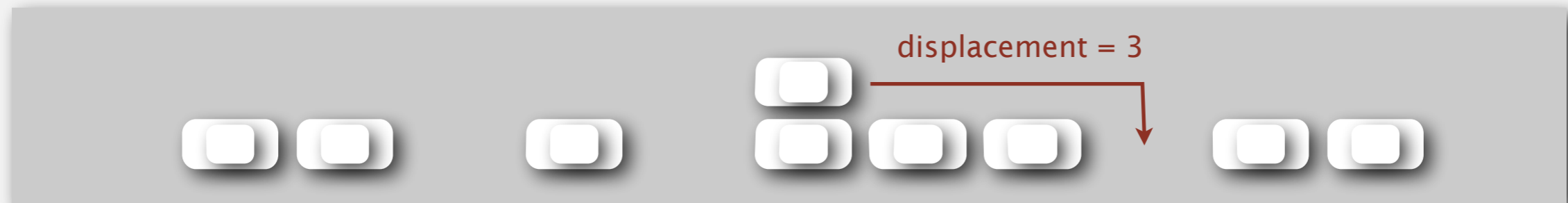
**Observation.** New keys likely to hash into middle of big clusters.



# Knuth's parking problem

**Model.** Cars arrive at one-way street with  $M$  parking spaces. Each desires a random space  $i$ : if space  $i$  is taken, try  $i + 1, i + 2, \text{ etc.}$

**Q.** What is mean displacement of a car?



**Half-full.** With  $M / 2$  cars, mean displacement is  $\sim 3 / 2$ .

**Full.** With  $M$  cars, mean displacement is  $\sim \sqrt{\pi M / 8}$

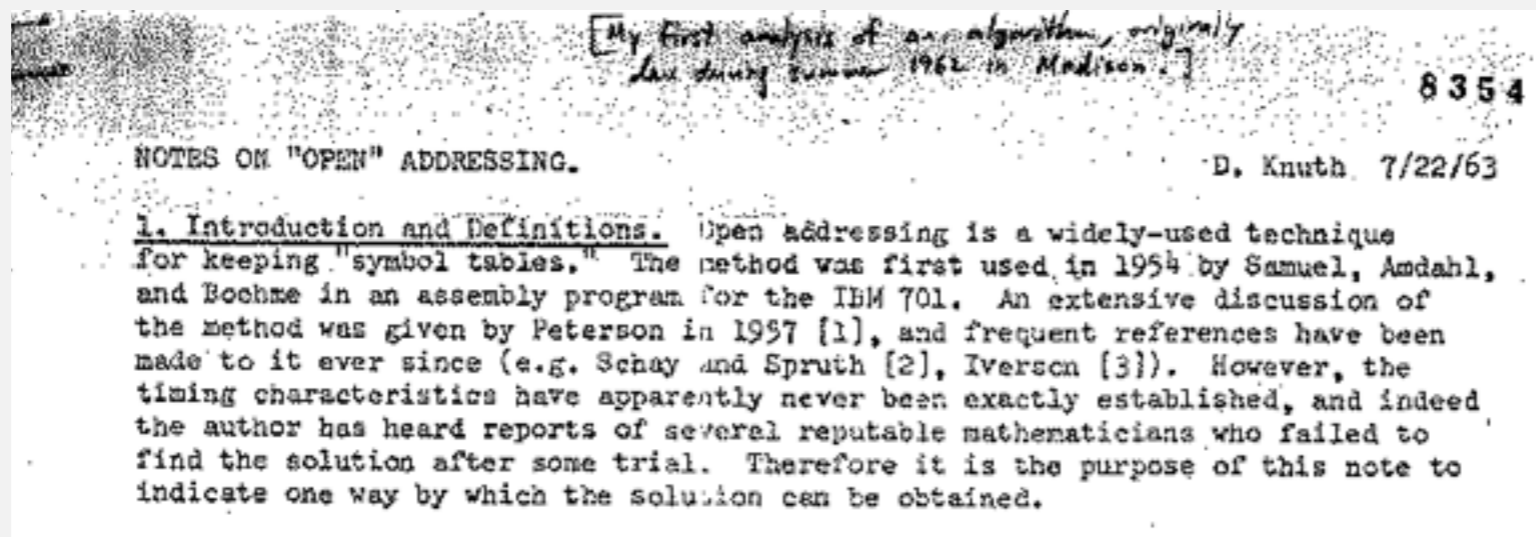
# Analysis of linear probing

**Proposition.** Under uniform hashing assumption, the average number of probes in a linear probing hash table of size  $M$  that contains  $N = \alpha M$  keys is:

$$\sim \frac{1}{2} \left( 1 + \frac{1}{1 - \alpha} \right) \quad \sim \frac{1}{2} \left( 1 + \frac{1}{(1 - \alpha)^2} \right)$$

search hit                      search miss / insert

Pf.



## Parameters.

- $M$  too large  $\Rightarrow$  too many empty array entries.
- $M$  too small  $\Rightarrow$  search time blows up.
- Typical choice:  $\alpha = N / M \sim 1/2$ .  $\longleftarrow$  # probes for search hit is about 3/2  
# probes for search miss is about 5/2

# ST implementations: summary

implementation	worst-case cost (after N inserts)			average case (after N random inserts)			ordered iteration?	key interface
	search	insert	delete	search hit	insert	delete		
sequential search (unordered list)	N	N	N	N/2	N	N/2	no	<code>equals()</code>
binary search (ordered array)	$\lg N$	N	N	$\lg N$	N/2	N/2	yes	<code>compareTo()</code>
BST	N	N	N	$1.38 \lg N$	$1.38 \lg N$	?	yes	<code>compareTo()</code>
red-black tree	$2 \lg N$	$2 \lg N$	$2 \lg N$	$1.00 \lg N$	$1.00 \lg N$	$1.00 \lg N$	yes	<code>compareTo()</code>
separate chaining	$\lg N$ *	$\lg N$ *	$\lg N$ *	$3-5$ *	$3-5$ *	$3-5$ *	no	<code>equals()</code>
linear probing	$\lg N$ *	$\lg N$ *	$\lg N$ *	$3-5$ *	$3-5$ *	$3-5$ *	no	<code>equals()</code>

\* under uniform hashing assumption

# War story: String hashing in Java

## String `hashCode()` in Java 1.1.

- For long strings: only examine 8-9 evenly spaced characters.
- Benefit: saves time in performing arithmetic.

```
public int hashCode()  
{  
    int hash = 0;  
    int skip = Math.max(1, length() / 8);  
    for (int i = 0; i < length(); i += skip)  
        hash = s[i] + (37 * hash);  
    return hash;  
}
```

- Downside: great potential for bad collision patterns.

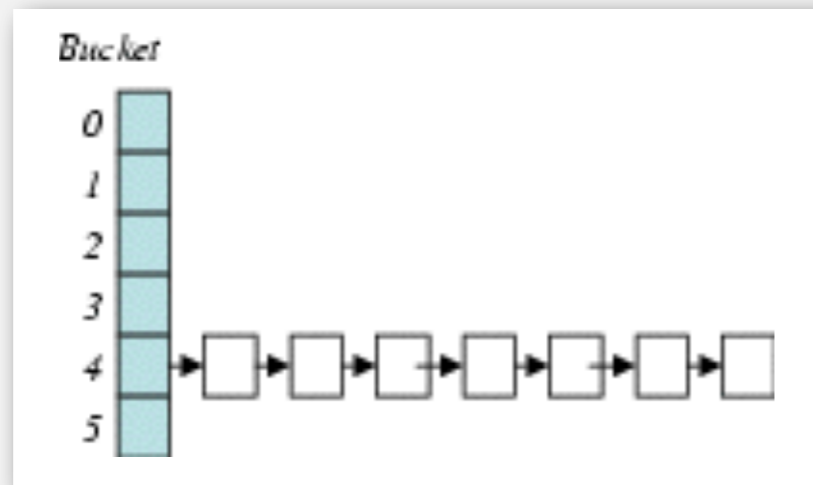
```
http://www.cs.princeton.edu/introcs/13loop/Hello.java  
http://www.cs.princeton.edu/introcs/13loop/Hello.class  
http://www.cs.princeton.edu/introcs/13loop/Hello.html  
http://www.cs.princeton.edu/introcs/12type/index.html  
↑      ↑      ↑      ↑      ↑      ↑      ↑      ↑
```

# War story: algorithmic complexity attacks

Q. Is the uniform hashing assumption important in practice?

A. Obvious situations: aircraft control, nuclear reactor, pacemaker.

A. Surprising situations: **denial-of-service** attacks.



malicious adversary learns your hash function  
(e.g., by reading Java API) and causes a big pile-up  
in single slot that grinds performance to a halt

**Real-world exploits.** [Crosby-Wallach 2003]

- Bro server: send carefully chosen packets to DOS the server, using less bandwidth than a dial-up modem.
- Perl 5.8.0: insert carefully chosen strings into associative array.
- Linux 2.4.20 kernel: save files with carefully chosen names.



# Algorithmic complexity attack on Java

**Goal.** Find family of strings with the same hash code.

**Solution.** The base 31 hash code is part of Java's string API.

key	hashCode ()
"Aa"	2112
"BB"	2112

key	hashCode ()
"AaAaAaAa"	-540425984
"AaAaAaBB"	-540425984
"AaAaBBaA"	-540425984
"AaAaBBBB"	-540425984
"AaBBaAaA"	-540425984
"AaBBaABB"	-540425984
"AaBBBBaA"	-540425984
"AaBBBBBB"	-540425984

key	hashCode ()
"BBAaAaAa"	-540425984
"BBAaAaBB"	-540425984
"BBAaBBaA"	-540425984
"BBAaBBBB"	-540425984
"BBBBaAaA"	-540425984
"BBBBaABB"	-540425984
"BBBBBBaA"	-540425984
"BBBBBBBB"	-540425984

**$2^N$  strings of length  $2N$  that hash to same value!**

# Diversion: one-way hash functions

**One-way hash function.** "Hard" to find a key that will hash to a desired value (or two keys that hash to same value).

**Ex.** MD4, MD5, SHA-0, SHA-1, SHA-2, WHIRLPOOL, RIPEMD-160, ....  
*known to be insecure*

```
String password = args[0];
MessageDigest sha1 =
MessageDigest.getInstance("SHA1");
byte[] bytes = sha1.digest(password);

/* prints bytes as hex string */
```

**Applications.** Digital fingerprint, message digest, storing passwords.

**Caveat.** Too expensive for use in ST implementations.

# Separate chaining vs. linear probing

## Separate chaining.

- Easier to implement delete.
- Performance degrades gracefully.
- Clustering less sensitive to poorly-designed hash function.

## Linear probing.

- Less wasted space.
- Better cache performance.

Q. How to delete?

Q. How to resize?

# Hashing: variations on the theme

Many improved versions have been studied.

**Two-probe hashing.** (separate-chaining variant)

- Hash to two positions, insert key in shorter of the two chains.
- Reduces expected length of the longest chain to  $\log \log N$ .

**Double hashing.** (linear-probing variant)

- Use linear probing, but skip a variable amount, not just 1 each time.
- Effectively eliminates clustering.
- Can allow table to become nearly full.
- More difficult to implement delete.

**Cuckoo hashing.** (linear-probing variant)

- Hash key to two positions; insert key into either position; if occupied, reinsert displaced key into its alternative position (and recur).
- Constant worst case time for search.



# Hash tables vs. balanced search trees

## Hash tables.

- Simpler to code.
- No effective alternative for unordered keys.
- Faster for simple keys (a few arithmetic ops versus  $\log N$  compares).
- Better system support in Java for strings (e.g., cached hash code).

## Balanced search trees.

- Stronger performance guarantee.
- Support for ordered ST operations.
- Easier to implement `compareTo()` correctly than `equals()` and `hashCode()`.

## Java system includes both.

- Red-black BSTs: `java.util.TreeMap`, `java.util.TreeSet`.
- Hash tables: `java.util.HashMap`, `java.util.IdentityHashMap`.

# TODAY

- ▶ Hashing
- ▶ **Search applications**

# SEARCH APPLICATIONS

- ▶ Sets
- ▶ Dictionary clients
- ▶ Indexing clients
- ▶ Sparse vectors

Mathematical set. A collection of distinct keys.

```
public class SET<Key extends Comparable<Key>>
```

---

```
    SET () create an empty set
```

```
    void add (Key key) add the key to the set
```

```
    boolean contains (Key key) is the key in the set?
```

```
    void remove (Key key) remove the key from the set
```

```
    int size () return the number of keys in the set
```

```
    Iterator<Key> iterator () iterator through keys in the set
```

Q. How to implement?

A. Remove “value” from any ST implementation



# Exception filter

- Read in a list of words from one file.
- Print out all words from standard input that are { in, not in } the list.

```
% more list.txt
```

```
was it the of
```

```
% java WhiteList list.txt < tinyTale.txt
```

```
it was the of it was the of
```

```
it was the of it was the of
```

```
it was the of it was the of
```

```
it was the of it was the of
```

```
it was the of it was the of
```

```
% java BlackList list.txt < tinyTale.txt
```

```
best times worst times
```

```
age wisdom age foolishness
```

```
epoch belief epoch incredulity
```

```
season light season darkness
```

```
spring hope winter despair
```

← list of exceptional words

# Exception filter applications

- Read in a list of words from one file.
- Print out all words from standard input that are { in, not in } the list.

application	purpose	key	in list
spell checker	identify misspelled words	word	dictionary words
browser	mark visited pages	URL	visited pages
parental controls	block sites	URL	bad sites
chess	detect draw	board	positions
spam filter	eliminate spam	IP address	spam addresses
credit cards	check for stolen cards	number	stolen cards

# Exception filter: Java implementation

- Read in a list of words from one file.
- Print out all words from standard input that are { in, not in } the list.

```
public class WhiteList
{
    public static void main(String[] args)
    {
        SET<String> set = new SET<String>();

        In in = new In(args[0]);
        while (!in.isEmpty())
            set.add(in.readString());

        while (!StdIn.isEmpty())
        {
            String word = StdIn.readString();
            if (set.contains(word))
                StdOut.println(word);
        }
    }
}
```

← create empty set of strings

← read in whitelist

← print words not in list

# Exception filter: Java implementation

- Read in a list of words from one file.
- Print out all words from standard input that are { in, not in } the list.

```
public class BlackList
{
    public static void main(String[] args)
    {
        SET<String> set = new SET<String>();

        In in = new In(args[0]);
        while (!in.isEmpty())
            set.add(in.readString());

        while (!StdIn.isEmpty())
        {
            String word = StdIn.readString();
            if (!set.contains(word))
                StdOut.println(word);
        }
    }
}
```

← create empty set of strings

← read in whitelist

← print words not in list

# SEARCH APPLICATIONS

- ▶ Sets
- ▶ **Dictionary clients**
- ▶ Indexing clients
- ▶ Sparse vectors

# Dictionary lookup

## Command-line arguments.

- A comma-separated value (CSV) file.
- Key field.
- Value field.

## Ex 1. DNS lookup.

```
% java LookupCSV ip.csv 0 1
```

```
adobe.com
```

```
192.150.18.60
```

```
www.princeton.edu
```

```
128.112.128.15
```

```
ebay.edu
```

```
Not found
```

```
% java LookupCSV ip.csv 1 0
```

```
128.112.128.15
```

```
www.princeton.edu
```

```
999.999.999.99
```

```
Not found
```

URL is key    IP is value

IP is key    URL is value

```
% more ip.csv
www.princeton.edu,128.112.128.15
www.cs.princeton.edu,128.112.136.35
www.math.princeton.edu,128.112.18.11
www.cs.harvard.edu,140.247.50.127
www.harvard.edu,128.103.60.24
www.yale.edu,130.132.51.8
www.econ.yale.edu,128.36.236.74
www.cs.yale.edu,128.36.229.30
espn.com,199.181.135.201
yahoo.com,66.94.234.13
msn.com,207.68.172.246
google.com,64.233.167.99
baidu.com,202.108.22.33
yahoo.co.jp,202.93.91.141
sina.com.cn,202.108.33.32
ebay.com,66.135.192.87
adobe.com,192.150.18.60
163.com,220.181.29.154
passport.net,65.54.179.226
tom.com,61.135.158.237
nate.com,203.226.253.11
cnn.com,64.236.16.20
daum.net,211.115.77.211
blogger.com,66.102.15.100
fastclick.com,205.180.86.4
wikipedia.org,66.230.200.100
rakuten.co.jp,202.72.51.22
...
```

# Dictionary lookup

## Command-line arguments.

- A comma-separated value (CSV) file.
- Key field.
- Value field.

## Ex 2. Amino acids.

```
% java LookupCSV amino.csv 0 3
ACT
Threonine
TAG
Stop
CAT
Histidine
```

codon is key      name is value

```
% more amino.csv
TTT,Phe,F,Phenylalanine
TTC,Phe,F,Phenylalanine
TTA,Leu,L,Leucine
TTG,Leu,L,Leucine
TCT,Ser,S,Serine
TCC,Ser,S,Serine
TCA,Ser,S,Serine
TCG,Ser,S,Serine
TAT,Tyr,Y,Tyrosine
TAC,Tyr,Y,Tyrosine
TAA,Stop,Stop,Stop
TAG,Stop,Stop,Stop
TGT,Cys,C,Cysteine
TGC,Cys,C,Cysteine
TGA,Stop,Stop,Stop
TGG,Trp,W,Tryptophan
CTT,Leu,L,Leucine
CTC,Leu,L,Leucine
CTA,Leu,L,Leucine
CTG,Leu,L,Leucine
CCT,Pro,P,Proline
CCC,Pro,P,Proline
CCA,Pro,P,Proline
CCG,Pro,P,Proline
CAT,His,H,Histidine
CAC,His,H,Histidine
CAA,Gln,Q,Glutamine
CAG,Gln,Q,Glutamine
CGT,Arg,R,Arginine
CGC,Arg,R,Arginine
...
```

# Dictionary lookup

## Command-line arguments.

- A comma-separated value (CSV) file.
- Key field.
- Value field.

## Ex 3. Class list.

```
% java LookupCSV classlist.csv 4 1
```

```
eberl
```

```
Ethan
```

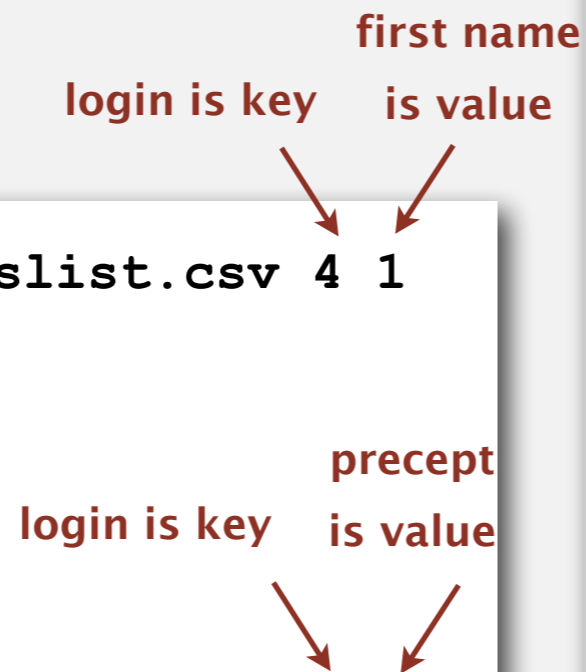
```
nwebb
```

```
Natalie
```

```
% java LookupCSV classlist.csv 4 3
```

```
dpan
```

```
P01
```



```
% more classlist.csv  
13,Berl,Ethan Michael,P01,eberl  
11,Bourque,Alexander Joseph,P01,abourque  
12,Cao,Phillips Minghua,P01,pcao  
11,Chehoud,Christel,P01,cchehoud  
10,Douglas,Malia Morioka,P01,malia  
12,Haddock,Sara Lynn,P01,shaddock  
12,Hantman,Nicole Samantha,P01,nhantman  
11,Hesterberg,Adam Classen,P01,ahesterb  
13,Hwang,Roland Lee,P01,rhwang  
13,Hyde,Gregory Thomas,P01,ghyde  
13,Kim,Hyunmoon,P01,hktwo  
11,Kleinfeld,Ivan Maximillian,P01,ikleinfe  
12,Korac,Damjan,P01,dkorac  
11,MacDonald,Graham David,P01,gmacdona  
10,Michal,Brian Thomas,P01,bmichal  
12,Nam,Seung Hyeon,P01,seungnam  
11,Nastasescu,Maria Monica,P01,mnastase  
11,Pan,Di,P01,dpan  
12,Partridge,Brenton Alan,P01,bpartrid  
13,Rilee,Alexander,P01,arilee  
13,Roopakalu,Ajay,P01,aroopaka  
11,Sheng,Ben C,P01,bsheng  
12,Webb,Natalie Sue,P01,nwebb  
...
```



# Dictionary lookup: Java implementation

```
public class LookupCSV
```

```
{
```

```
    public static void main(String[] args)
```

```
    {
```

```
        In in = new In(args[0]);
```

```
        int keyField = Integer.parseInt(args[1]);
```

```
        int valField = Integer.parseInt(args[2]);
```

← process input file

```
        ST<String, String> st = new ST<String, String>();
```

```
        while (!in.isEmpty())
```

```
        {
```

```
            String line = in.readLine();
```

```
            String[] tokens = database[i].split(",");
```

```
            String key = tokens[keyField];
```

```
            String val = tokens[valField];
```

```
            st.put(key, val);
```

```
        }
```

← build symbol table

```
        while (!StdIn.isEmpty())
```

```
        {
```

```
            String s = StdIn.readString();
```

```
            if (!st.contains(s)) StdOut.println("Not found");
```

```
            else StdOut.println(st.get(s));
```

```
        }
```

```
    }
```

```
}
```

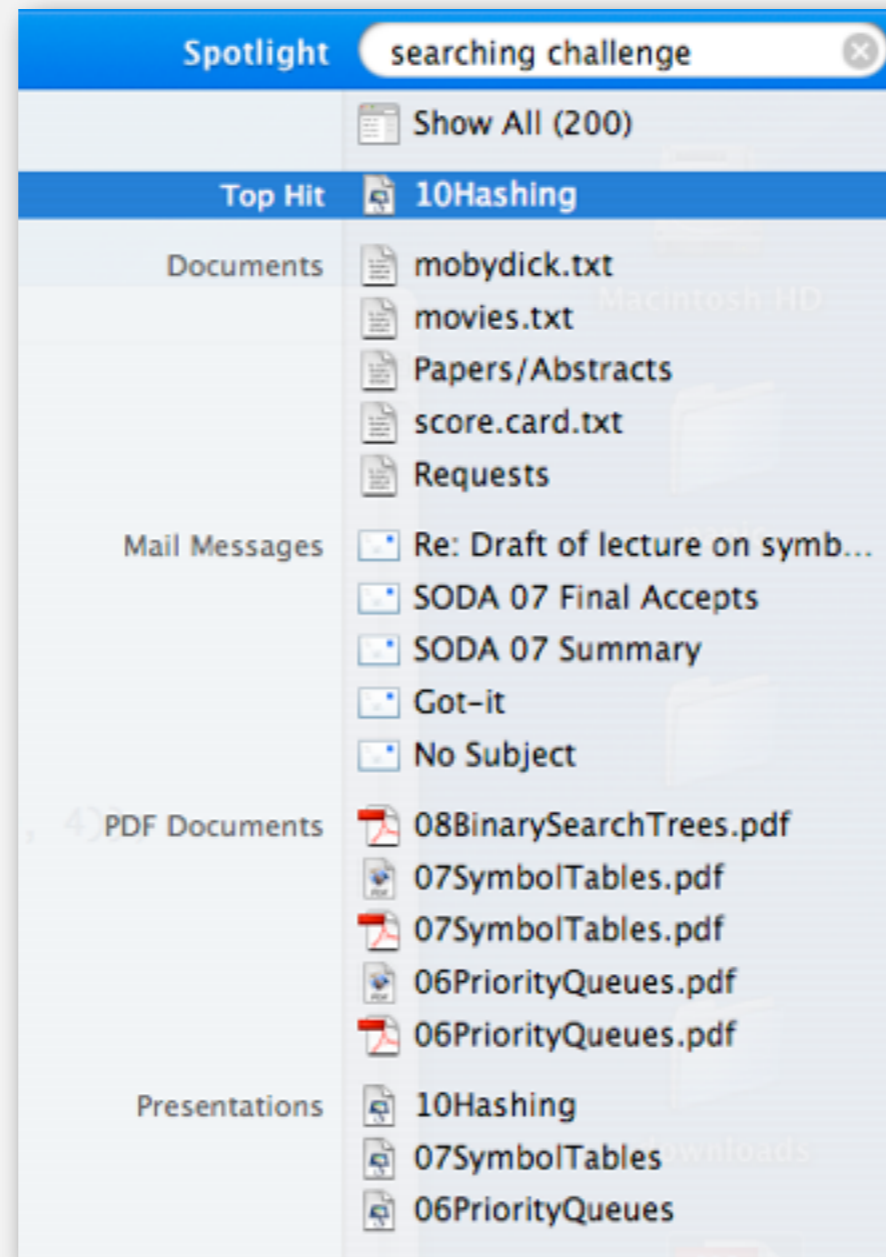
← process lookups  
with standard I/O

# SEARCH APPLICATIONS

- ▶ Sets
- ▶ Dictionary clients
- ▶ **Indexing clients**
- ▶ Sparse vectors

# File indexing

Goal. Index a PC (or the web).



# File indexing

**Goal.** Given a list of files specified, create an index so that you can efficiently find all files containing a given query string.

```
% ls *.txt
aesop.txt magna.txt moby.txt
sawyer.txt tale.txt

% java FileIndex *.txt
freedom
magna.txt moby.txt tale.txt

whale
moby.txt

lamb
sawyer.txt aesop.txt
```

```
% ls *.java

% java FileIndex *.java
BlackList.java Concordance.java
DeDup.java FileIndex.java ST.java
SET.java WhiteList.java

import
FileIndex.java SET.java ST.java

Comparator
null
```

# File indexing

**Goal.** Given a list of files specified, create an index so that you can efficiently find all files containing a given query string.

```
% ls *.txt
aesop.txt magna.txt moby.txt
sawyer.txt tale.txt

% java FileIndex *.txt
freedom
magna.txt moby.txt tale.txt

whale
moby.txt

lamb
sawyer.txt aesop.txt
```

```
% ls *.java

% java FileIndex *.java
BlackList.java Concordance.java
DeDup.java FileIndex.java ST.java
SET.java WhiteList.java

import
FileIndex.java SET.java ST.java

Comparator
null
```

**Solution.** Key = query string; value = set of files containing that string.

# File indexing

```
public class FileIndex
{
    public static void main(String[] args)
    {
        ST<String, SET<File>> st = new ST<String, SET<File>>();

        for (String filename : args) {
            File file = new File(filename);
            In in = new In(file);
            while (!in.isEmpty())
            {
                String word = in.readString();
                if (!st.contains(word))
                    st.put(s, new SET<File>());
                SET<File> set = st.get(key);
                set.add(file);
            }
        }

        while (!StdIn.isEmpty())
        {
            String query = StdIn.readString();
            StdOut.println(st.get(query));
        }
    }
}
```

symbol table

list of file names  
from command line

for each word in  
file, add file to  
corresponding set

process queries

## Goal. Index for an e-book.

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# Concordance

**Goal.** Preprocess a text corpus to support concordance queries: given a word, find all occurrences with their immediate contexts.

```
% java Concordance tale.txt  
cities  
tongues of the two *cities* that were blended in  
  
majesty  
their turnkeys and the *majesty* of the law fired  
me treason against the *majesty* of the people in  
of his most gracious *majesty* king george the third  
  
princeton  
no matches
```



# Concordance

```
public class Concordance
{
    public static void main(String[] args)
    {
        In in = new In(args[0]);
        String[] words = StdIn.readAll().split("\\s+");
        ST<String, SET<Integer>> st = new ST<String, SET<Integer>>();
        for (int i = 0; i < words.length; i++)
        {
            String s = words[i];
            if (!st.contains(s))
                st.put(s, new SET<Integer>());
            SET<Integer> pages = st.get(s);
            set.put(i);
        }

        while (!StdIn.isEmpty())
        {
            String query = StdIn.readString();
            SET<Integer> set = st.get(query);
            for (int k : set)
                // print words[k-5] to words[k+5]
        }
    }
}
```

← read text and  
build index

← process queries  
and print  
concordances

# SEARCH APPLICATIONS

- ▶ Sets
- ▶ Dictionary clients
- ▶ Indexing clients
- ▶ Sparse vectors

# Vectors and matrices

**Vector.** Ordered sequence of  $N$  real numbers.

**Matrix.**  $N$ -by- $N$  table of real numbers.

vector operations

$$\begin{aligned}a &= [0 \quad 3 \quad 15], \quad b = [-1 \quad 2 \quad 2] \\a + b &= [-1 \quad 5 \quad 17] \\a \circ b &= (0 \cdot -1) + (3 \cdot 2) + (15 \cdot 2) = 36 \\|a| &= \sqrt{a \circ a} = \sqrt{0^2 + 3^2 + 15^2} = 3\sqrt{26}\end{aligned}$$

matrix-vector multiplication

$$\begin{bmatrix} 0 & 1 & 1 \\ 2 & 4 & -2 \\ 0 & 3 & 15 \end{bmatrix} \times \begin{bmatrix} -1 \\ 2 \\ 2 \end{bmatrix} = \begin{bmatrix} 4 \\ 2 \\ 36 \end{bmatrix}$$

# Sparse vectors and matrices

**Sparse vector.** An N-dimensional vector is **sparse** if it contains  $O(1)$  nonzeros.

**Sparse matrix.** An N-by-N matrix is **sparse** if it contains  $O(N)$  nonzeros.

**Property.** Large matrices that arise in practice are sparse.

$$[ 0 \quad 0 \quad .36 \quad .36 \quad .18 ]$$

$$\begin{bmatrix} 0 & .90 & 0 & 0 & 0 \\ 0 & 0 & .36 & .36 & .18 \\ 0 & 0 & 0 & .90 & 0 \\ .90 & 0 & 0 & 0 & 0 \\ .47 & 0 & .47 & 0 & 0 \end{bmatrix}$$

# Matrix-vector multiplication (standard implementation)

$$\begin{array}{c} \mathbf{a}[][] \\ \left[ \begin{array}{ccccc} 0 & .90 & 0 & 0 & 0 \\ 0 & 0 & .36 & .36 & .18 \\ 0 & 0 & 0 & .90 & 0 \\ .90 & 0 & 0 & 0 & 0 \\ .47 & 0 & .47 & 0 & 0 \end{array} \right] \end{array} \begin{array}{c} \mathbf{x}[] \\ \left[ \begin{array}{c} .05 \\ .04 \\ .36 \\ .37 \\ .19 \end{array} \right] \end{array} = \begin{array}{c} \mathbf{b}[] \\ \left[ \begin{array}{c} .036 \\ .297 \\ .333 \\ .045 \\ .1927 \end{array} \right] \end{array}$$

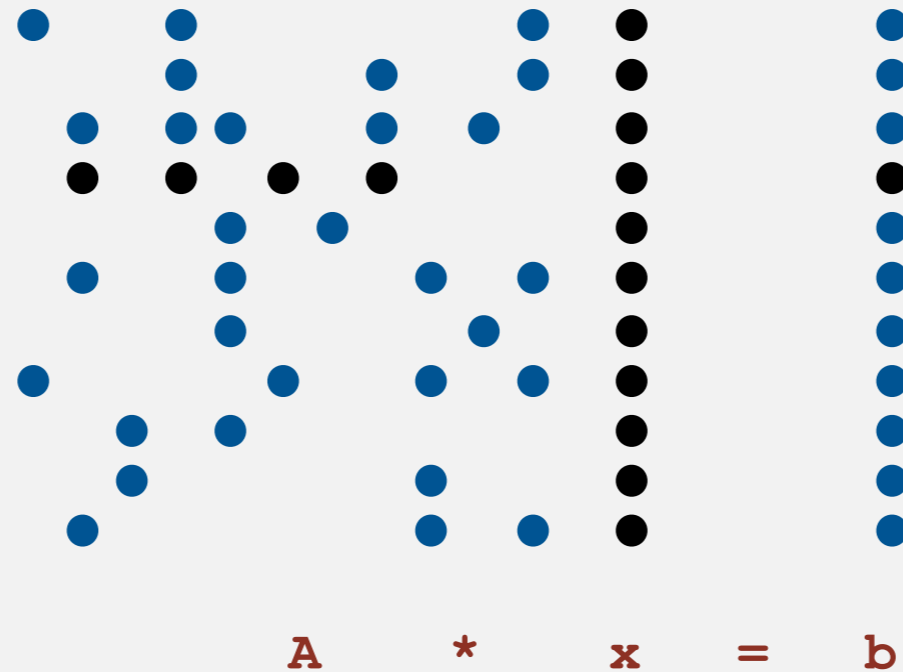
```
...
double[][] a = new double[N][N];
double[] x = new double[N];
double[] b = new double[N];
...
// initialize a[][] and x[]
...
for (int i = 0; i < N; i++)
{
    sum = 0.0;
    for (int j = 0; j < N; j++)
        sum += a[i][j]*x[j];
    b[i] = sum;
}
```

nested loops  
( $N^2$  running  
time)

# Sparse matrix-vector multiplication

**Problem.** Sparse matrix-vector multiplication.

**Assumptions.** Matrix dimension is 10,000; average nonzeros per row  $\sim 10$ .



# Vector representations

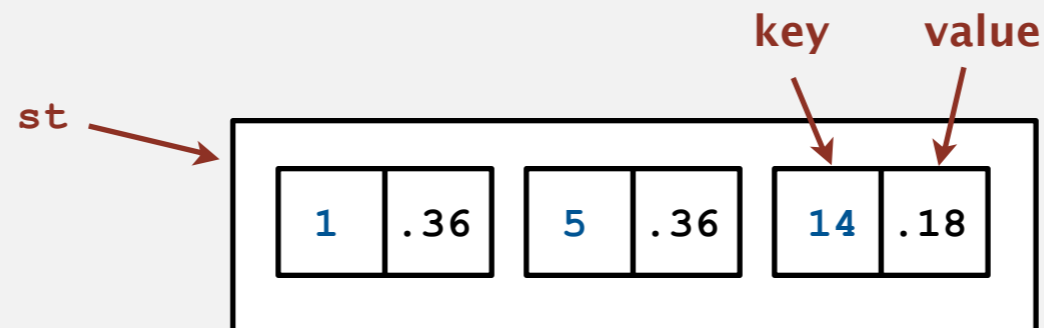
## ID array (standard) representation.

- Constant time access to elements.
- Space proportional to  $N$ .

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
0	.36	0	0	0	.36	0	0	0	0	0	0	0	0	.18	0	0	0	0	0

## Symbol table representation.

- Key = index, value = entry.
- Efficient iterator.
- Space proportional to number of nonzeros.



# Sparse vector data type

```
public class SparseVector  
{
```

```
    private HashST<Integer, Double> v;
```

← HashST because order not important

```
    public SparseVector()  
    {
```

```
        v = new HashST<Integer, Double>();  
    }
```

← empty ST represents all 0s vector

```
    public void put(int i, double x)  
    {
```

```
        v.put(i, x);  
    }
```

←  $a[i] = \text{value}$

```
    public double get(int i)  
    {
```

```
        if (!v.contains(i)) return 0.0;
```

```
        else return v.get(i);
```

```
    }
```

← return  $a[i]$

```
    public Iterable<Integer> indices()  
    {
```

```
        return v.keys();  
    }
```

```
    public double dot(double[] that)  
    {
```

```
        double sum = 0.0;
```

```
        for (int i : indices())
```

```
            sum += that[i]*this.get(i);
```

```
        return sum;
```

```
    }
```

```
}
```

← dot product is constant  
time for sparse vectors



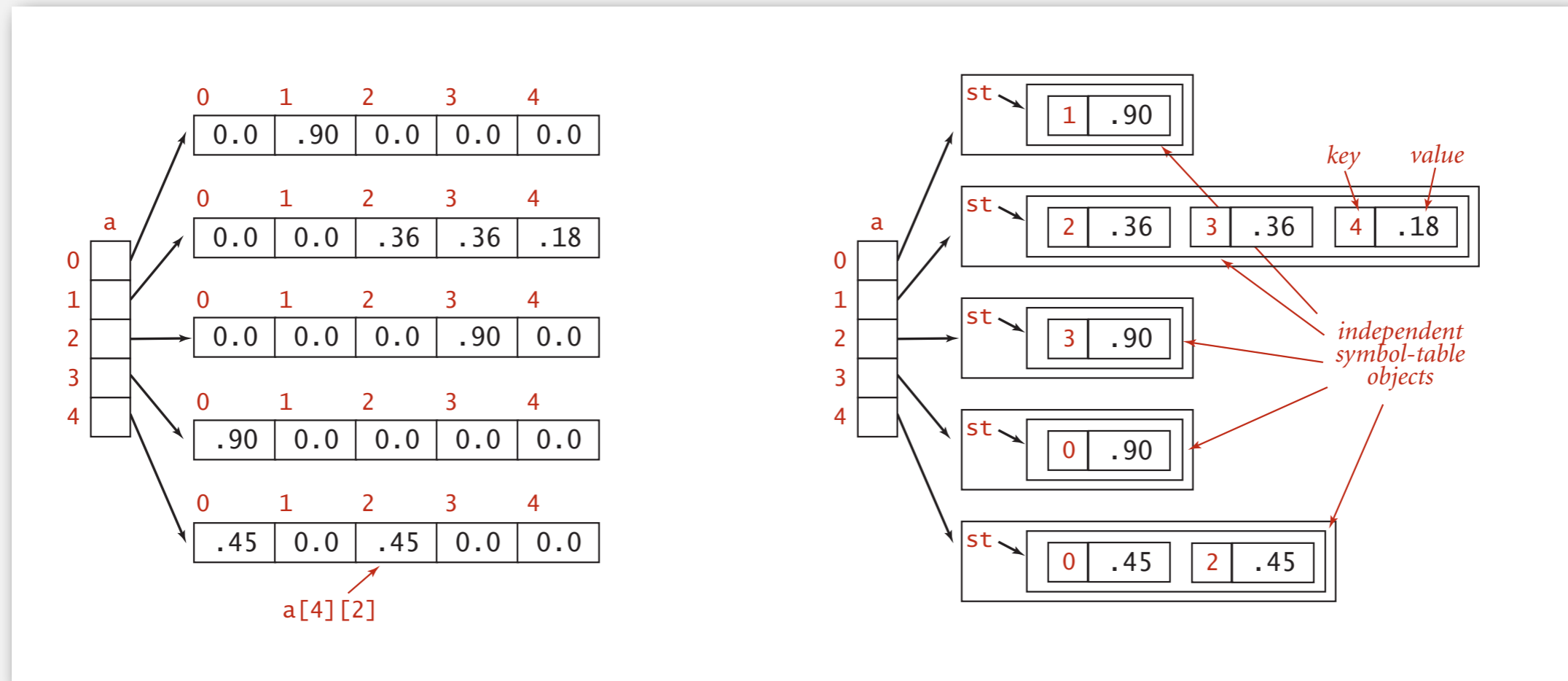
# Matrix representations

**2D array (standard) matrix representation:** Each row of matrix is an **array**.

- Constant time access to elements.
- Space proportional to  $N^2$ .

**Sparse matrix representation:** Each row of matrix is a **sparse vector**.

- Efficient access to elements.
- Space proportional to number of nonzeros (plus  $N$ ).



# Sparse matrix-vector multiplication

$$\begin{array}{c} \mathbf{a}[][] \\ \left[ \begin{array}{ccccc} 0 & .90 & 0 & 0 & 0 \\ 0 & 0 & .36 & .36 & .18 \\ 0 & 0 & 0 & .90 & 0 \\ .90 & 0 & 0 & 0 & 0 \\ .47 & 0 & .47 & 0 & 0 \end{array} \right] \end{array} \begin{array}{c} \mathbf{x}[] \\ \left[ \begin{array}{c} .05 \\ .04 \\ .36 \\ .37 \\ .19 \end{array} \right] \end{array} = \begin{array}{c} \mathbf{b}[] \\ \left[ \begin{array}{c} .036 \\ .297 \\ .333 \\ .045 \\ .1927 \end{array} \right] \end{array}$$

```
..
SparseVector[] a = new SparseVector[N];
double[] x = new double[N];
double[] b = new double[N];
...
// Initialize a[] and x[]
...
for (int i = 0; i < N; i++)
    b[i] = a[i].dot(x);
```

← linear running time  
for sparse matrix

# Sample searching challenge

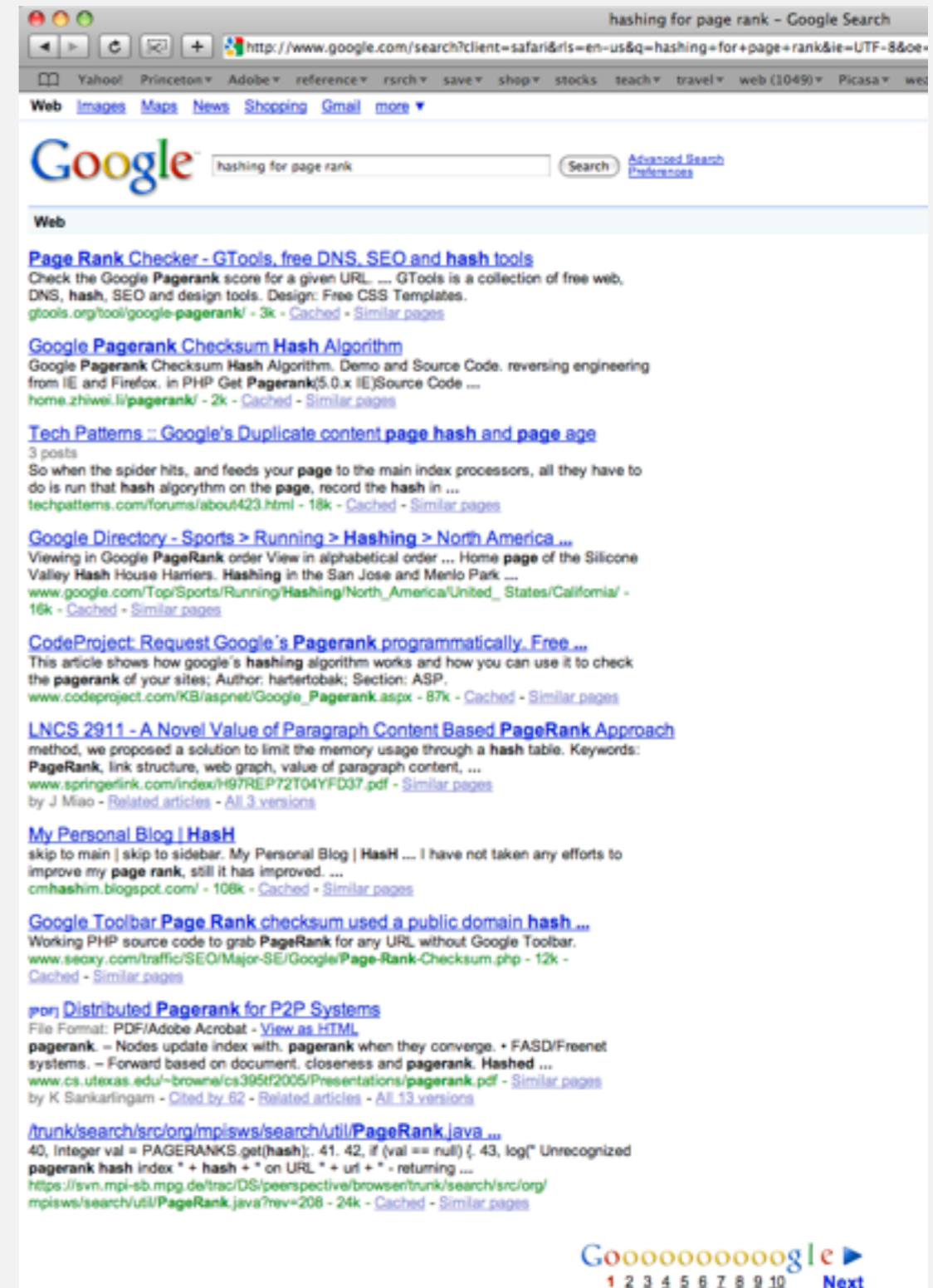
Problem. Rank pages on the web.

Assumptions.

- Matrix-vector multiply
- 10 billion+ rows
- sparse

Which “searching” method to use to access array values?

1. Standard 2D array representation
2. Symbol table
3. Doesn't matter much.



# Sample searching challenge

Problem. Rank pages on the web.

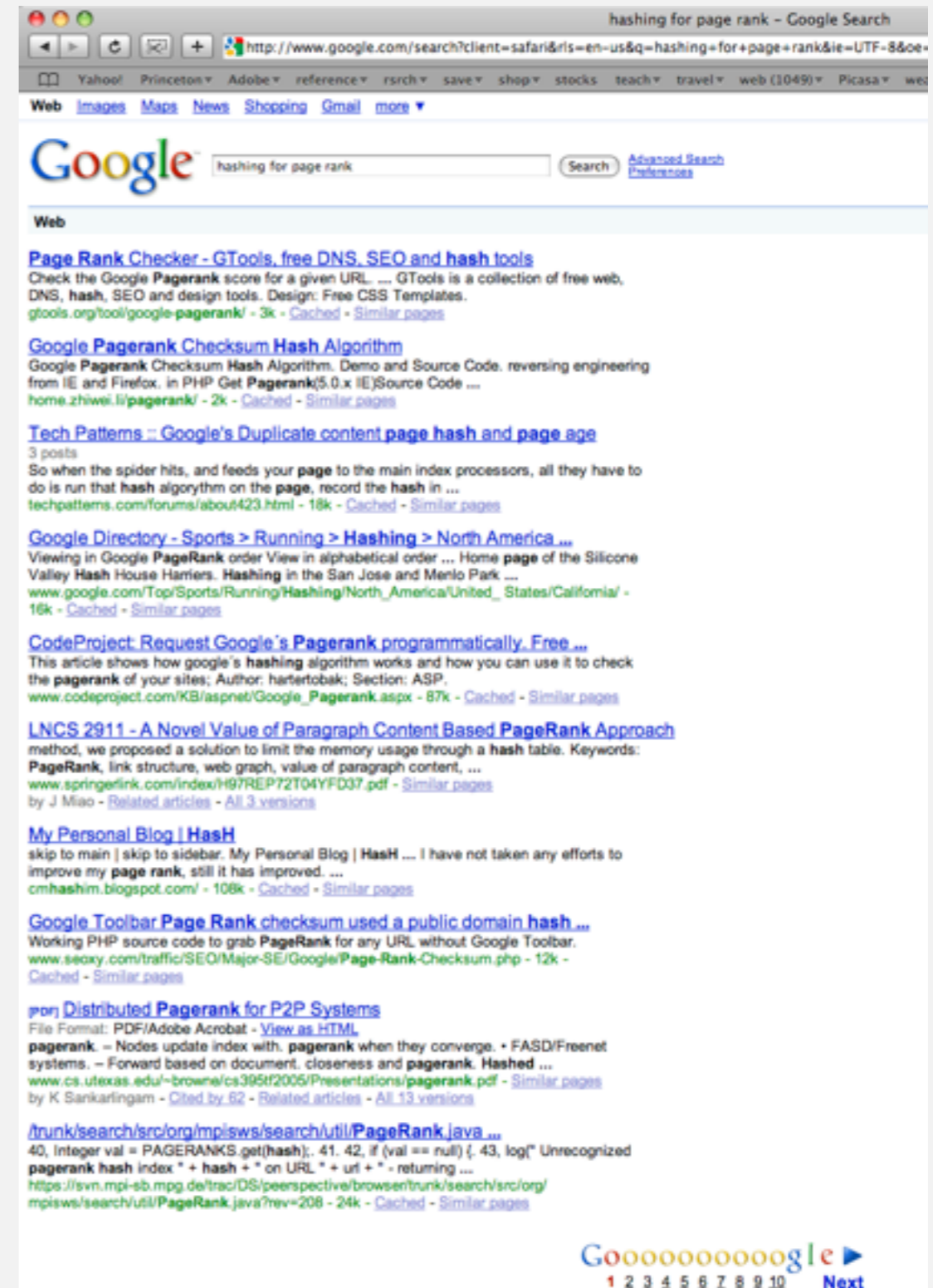
Assumptions.

- Matrix-vector multiply
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Which “searching” method to use to access array values?

- ~~1. Standard 2D array representation~~
- ✓ 2. Symbol table
- ~~3. Doesn't matter much.~~

cannot be done  
without fast  
algorithm



# Sparse vector data type

```
public class SparseVector
{
    private int N;           // length
    private ST<Integer, Double> st; // the elements
```

```
public SparseVector(int N)
```

```
{
    this.N = N;
    this.st = new ST<Integer, Double>();
}
```

← all 0s vector

```
public void put(int i, double value)
```

```
{
    if (value == 0.0) st.remove(i);
    else st.put(i, value);
}
```

← a[i] = value

```
public double get(int i)
```

```
{
    if (st.contains(i)) return st.get(i);
    else return 0.0;
}
```

← return a[i]

```
...
```

# Sparse vector data type (cont)

```
public double dot(SparseVector that)
{
    double sum = 0.0;
    for (int i : this.st)
        if (that.st.contains(i))
            sum += this.get(i) * that.get(i);
    return sum;
}
```

← dot product

```
public double norm()
{ return Math.sqrt(this.dot(this)); }
```

← 2-norm

```
public SparseVector plus(SparseVector that)
{
    SparseVector c = new SparseVector(N);
    for (int i : this.st)
        c.put(i, this.get(i));
    for (int i : that.st)
        c.put(i, that.get(i) + c.get(i));
    return c;
}
```

← vector  
sum

```
}
```

# Sparse matrix data type

```
public class SparseMatrix
{
    private final int N;          // length
    private SparseVector[] rows; // the elements
```

```
public SparseMatrix(int N)
{
    this.N = N;
    this.rows = new SparseVector[N];
    for (int i = 0; i < N; i++)
        this.rows[i] = new SparseVector(N);
}
```

← all 0s matrix

```
public void put(int i, int j, double value)
{ rows[i].put(j, value); }
```

←  $a[i][j] = \text{value}$

```
public double get(int i, int j)
{ return rows[i].get(j); }
```

← return  $a[i][j]$

```
public SparseVector times(SparseVector x)
{
    SparseVector b = new SparseVector(N);
    for (int i = 0; i < N; i++)
        b.put(i, rows[i].dot(x));
    return b;
}
```

← matrix-vector  
multiplication

```
}
```

# Compressed row storage (CRS)

## Compressed row storage.

- Store nonzeros in a 1D array `val[]`.
- Store column index of each nonzero in parallel 1D array `col[]`.
- Store first index of each row in array `row[]`.

$$A = \begin{bmatrix} 11 & 0 & 0 & 41 \\ 0 & 22 & 0 & 0 \\ 0 & 0 & 33 & 43 \\ 14 & 0 & 34 & 44 \\ 0 & 25 & 0 & 0 \\ 16 & 26 & 36 & 46 \end{bmatrix}$$

i	row[]
0	0
1	2
2	3
3	5
4	8
5	9
6	13

i	col[]	val[]
0	1	11
1	4	41
2	2	22
3	3	33
4	4	43
5	1	14
6	3	34
7	4	44
8	2	25
9	1	16
10	2	26
11	3	36
12	4	46



# Compressed row storage (CRS)

## Benefits.

- Cache-friendly.
- Space proportional to number of nonzeros.
- Very efficient matrix-vector multiply.

```
double[] y = new double[N];  
for (int i = 0; i < n; i++)  
    for (int j = row[i]; j < row[i+1]; j++)  
        y[i] += val[j] * x[col[j]];
```

**Downside.** No easy way to add/remove nonzeros.

**Applications.** Sparse Matlab.