# Optimize judiciously

" More computing sins are committed in the name of efficiency (without necessarily achieving it) than for any other single reasonincluding blind stupidity. " - William A. Wulf

"We should forget about small efficiencies, say about 97% of the time: premature optimization is the root of all evil. " - Donald E. Knuth

"We follow two rules in the matter of optimization: Rule 1: Don't do it. Rule 2 (for experts only). Don't do it yet - that is, not until you have a perfectly clear and unoptimized solution." - M.A. Jackson

Reference: Effective Java by Joshua Bloch

#### ST implementations: summary

http://www.cs.princeton.edu/algs4/44hash

References:

Algorithms in Java, Chapter 14

:		guarantee		average case			ordered	operations	
implementation	search	insert	delete	search hit	insert	delete	iteration?	on keys	
unordered list	N	Ν	N	N/2	N	N/2	no	equals()	
ordered array	lg N	Ν	Ν	lg N	N/2	N/2	yes	compareTo()	
BST	Ν	Ν	Ν	1.38 lg N	1.38 lg N	?	yes	compareTo()	
randomized BST	3 lg N	3 lg N	3 lg N	1.38 lg N	1.38 lg N	1.38 lg N	yes	compareTo()	
red-black tree	3 lg N	3 lg N	3 lg N	lg N	lg N	lg N	yes	compareTo()	

Algorithms in Java, 4th Edition · Robert Sedgewick and Kevin Wayne · Copyright © 2008 · March 9, 2008 12:34:01 PM

Hashing

hash functions collision resolution

▶ applications

Q. Can we do better?

#### Hashing: basic plan

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

Hash function. Method for computing table index from key. 0 1 hash("it") = 32



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

Hash function. Method for computing table index from key.

٥

#### 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 table index.

#### Classic space-time tradeoff.

- No space limitation: trivial hash function with key as address.
- No time limitation: trivial collision resolution with sequential search.
- Limitations on both time and space: hashing (the real world).

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#### Computing the hash function

## Idealistic goal: scramble the keys uniformly.

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

thoroughly researched problem, still problematic in practical applications

## Practical challenge. Need different approach for each $\kappa_{ey}$ type.

### Ex: Social Security numbers.

- Bad: first three digits.Better: last three digits.
- 573 = California, 574 = Alaska (assigned in chronological order within a given geographic region)

#### Ex: phone numbers.

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



## Hash codes and hash functions

Hash code. All Java classes have a method hashcode(), which returns an int.



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

#### First attempt.



Bug. Don't use (code % M) as array index. 1-in-a billion bug. Don't use (Math.abs(code) % M) as array index. OK. Safe to use ((code & 0x7fffffff) % M) as array index.



#### Java's hash code conventions

### The method hashcode() is inherited from object.

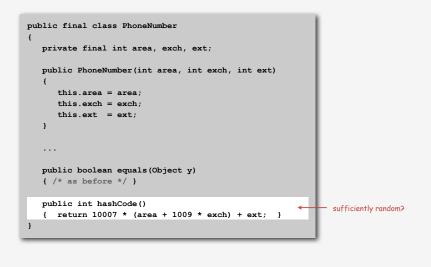
- Ensures hashing can be used for every object type.
- Enables expert implementations for each type.

#### Available implementations.

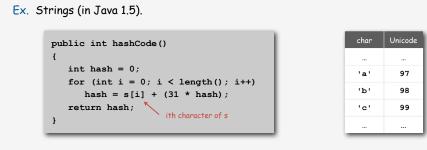
- Default implementation: memory address of x.
- Customized implementations: string, URL, Integer, Date, ....
- User-defined types: users are on their own.

### Implementing hash code: phone numbers

Ex. Phone numbers: (609) 867-5309.



## Implementing hash code: strings



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

Ex.	<pre>String s = "call";</pre>		
LA.	<pre>int code = s.hashCode(); &lt;</pre>	F	3045982 = 99·31 <sup>3</sup> + 97·31 <sup>2</sup> + 108·31 <sup>1</sup> + 108·31 <sup>0</sup> = 108 + 31 <sup>.</sup> (108 + 31 · (97 + 31 · (99)))

Provably random? Well, no.

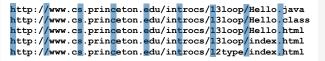
## A poor hash code design

#### Ex. Strings (in Java 1.1).

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

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

• Downside: great potential for bad collision patterns.

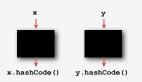


## Designing a good hash function

#### Requirements.

- If x.equals(y), then we must also have (x.hashCode() == y.hashCode()).
- Repeated calls to x.hashCode() must return the same value (provided no info used in equals() is changed).

Highly desirable. If !x.equals(y), then we want (x.hashCode() != y.hashCode()).



Basic rule. Need to use the whole key to compute hash code.

Fundamental problem. Need a theorem for each type to ensure reliability.

Digression: using a hash function for data mining

## Use content to characterize documents.

#### Applications.

- Search documents on the web for documents similar to a given one.
- Determine whether a new document belongs in one set or another.



Context. Effective for literature, genomes, Java code, art, music, data, video.

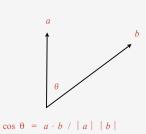
Digression: using a hash function for data mining

## Approach.

- Fix order k and dimension a.
- Compute (hashcode() % d) for all k-grams in the document.
- Result is a-dimensional vector profile of each document.

To compare documents: Consider angle  $\theta$  separating vectors

- $\cos \theta$  close to 0: not similar.
- $\cos \theta$  close to 1: similar.



## Digression: using a hash function for data mining

% more	tale.txt			
it was	the best of times			
it was	the worst of times			
it was	the age of wisdom			
it was	the age of			
foolis	hness			
% more	genome.txt			
CTTTCG	GTTTGGAACC			
GAAGCCGCGCGTCT				
TGTCTGCTGCAGC				
ATCGTT	2			

	tale.txt		genome.txt		
i	10-grams with hash code i	freq	10-grams with hash code i	freq	
0		0		0	
1		0		0	
435	"best of ti" "foolishnes"	2	"TTTCGGTTTG" "TGTCTGCTGC"	2	
8999	"it was the"	8		0	
12122		0	"CTTTCGGTTT"	3	
34543	"t was the b"	5	"ATGCGGTCGA"	4	
65535					

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# Digression: using a hash function for data mining

priv	ate String name;	
priv	ate double[] profile;	
publ {	ic Document(String name, int k, int d)	
t	his.name = name;	
S	<pre>tring doc = (new In(name)).readAll();</pre>	- 8
i	nt N = doc.length();	- 8
р	rofile = new double[d];	- 8
f	or (int $i = 0$ ; $i < N-k$ ; $i++$ )	- 8
{		- 8
	<pre>int h = doc.substring(i, i+k).hashCode();</pre>	- 8
	<pre>profile[Math.abs(h % d)] += 1;</pre>	- 8
}		- 8
}		
publ	ic double simTo(Document that)	
1 /	* compute dot product and divide by magnitudes */	}

## Digression: using a hash function for data mining

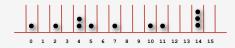
file	description
Cons	US Constitution
TomS	Tom Sawyer
Huck	Huckleberry Finn
Prej	Pride and Prejudice
Pict	a photograph
DJIA	financial data
Amaz	amazon.com website .html source
ACTG	genome

	Cons	TomS	Huck	Prej	Pict	DJIA	Amaz	ACTO
Cons	1.00	0.89	0.87	0.88	0.35	0.70	0.63	0.58
TomS	0.89	1.00	0.98	0.96	0.34	0.75	0.66	0.62
Huck	0.87	0.98	1.00	0.94	0.32	0.74	0.65	0.61
Prej	0.88	0.96	0.94	1.00	0.34	0.76	0.67	0.63
Pict	0.35	0.34	0.32	0.34	1.00	0.29	0.48	0.24
DJIA	0.70	0.75	0.74	0.76	0.29	1.00	0.62	0.58
Amaz	0.63	0.66	0.65	0.67	0.48	0.62	1.00	0.45
ACTG	0.58	0.62	0.61	0.63	0.24	0.58	0.45	1.00

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Helpful results from probability theory

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



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

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

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

#### hash functions

# collision resolution

#### ► applications

#### Collisions

Collision. Two distinct keys hashing to same index.

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

5 items, 11 table positions

~ .5 items per table position

12 11

approach 2: minimize collisions

← good choice: M ~ N/10

#### Challenge. Deal with collisions efficiently.

25 items, 11 table positions

~2 items per table position

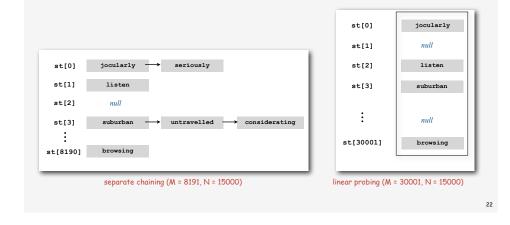
approach 1: accept multiple collisions

Collision resolution: two approaches

# Separate chaining. [H. P. Luhn, IBM 1953]

Put keys that collide in a list associated with index.

Open addressing. [Amdahl-Boehme-Rocherster-Samuel, IBM 1953] When a new key collides, find next empty slot, and put it there.

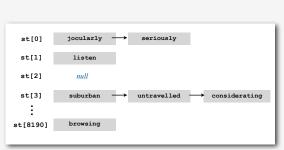


Collision resolution approach 1: separate chaining

#### Use an array of M < N linked lists.

• Hash: map key to integer i between 0 and M-1.

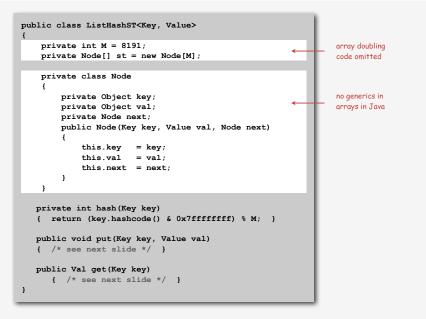
- Insert: put at front of ith chain (if not already there).
- Search: only need to search ith chain.



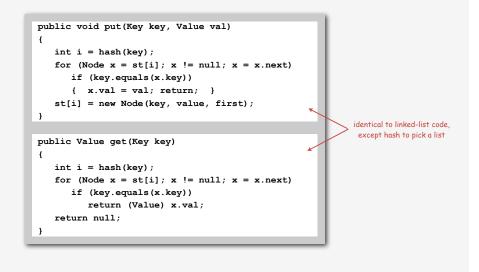
key	hash
"call"	7121
"me"	3480
"ishmael"	5017
"seriously"	0
"untravelled"	3
"suburban"	3

separate chaining (M = 8191, N = 15000)

## Separate chaining ST: Java implementation (skeleton)



## Separate chaining ST: Java implementation (put and get)



#### Analysis of separate chaining

#### Separate chaining performance.

- Cost is proportional to length of chain.
- Average length of chain  $\alpha$  = N / M.
- Worst case: all keys hash to same chain.

Proposition. Let  $\alpha > 1$ . For any t > 1, probability that chain length  $> t \alpha$  is exponentially small in t.

depends on hash map being random map

#### Parameters.

- M too large  $\Rightarrow$  too many empty chains.
- M too small  $\Rightarrow$  chains too long.
- Typical choice:  $M \sim N/10 \Rightarrow$  constant-time ops.

Collision resolution approach 2: linear probing

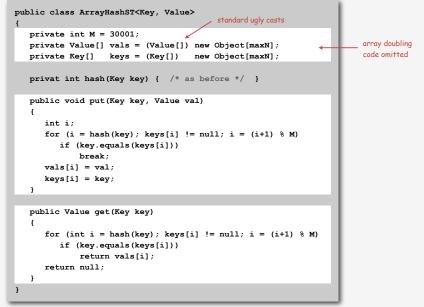
#### Use an array of size M » N.

- Hash: map key to integer i between 0 and M-1.
- Insert: put in slot i if free; if not try i+1, i+2, etc.
- Search: search slot i; if occupied but no match, try i+1, i+2, etc.

qood choice: M ~ 2N



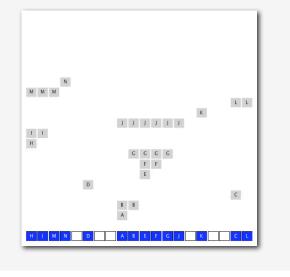
#### Linear probing ST implementation



#### 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, ...

Q. What is mean displacement of a car?



Empty. With M/2 cars, mean displacement is ~ 3/2. Full. With M cars, mean displacement is ~  $\sqrt{\pi M / 8}$ 

Analysis of linear probing

#### Linear probing performance.

- Insert and search cost depend on length of cluster.
- Average length of cluster  $\alpha$  = N / M.  $\leftarrow$
- Worst case: all keys hash to same cluster.

Proposition. [Knuth 1962] Let  $\alpha < 1$  be the load factor.

average probes for insert/search miss  

$$\frac{1}{2} \left( 1 + \frac{1}{(1 - \alpha)^2} \right) = (1 + \alpha + 2\alpha^2 + 3\alpha^3 + 4\alpha^4 + \dots)/2$$
average probes for search hit  

$$\frac{1}{2} \left( 1 + \frac{1}{(1 - \alpha)} \right) = 1 + (\alpha + \alpha^2 + \alpha^3 + \alpha^4 + \dots)/2$$

— but keys more likely to

hash to big clusters

#### Parameters.

- Load factor too small  $\Rightarrow$  too many empty array entries.
- Load factor too large  $\Rightarrow$  clusters coalesce.
- Typical choice:  $M \sim 2N \Rightarrow$  constant-time ops.

## Hashing: variations on the theme

Many improved versions have been studied.

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

- Hash to two positions, put key in shorter of the two chains.
- Reduces average 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.

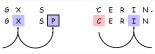
#### Double hashing

Idea. Avoid clustering by using second hash to compute skip for search.

Hash function. Map key to integer i between 0 and M-1. Second hash function. Map key to nonzero skip value k.

Ex: k = 1 + (v mod 97).

hashCode() 6 x

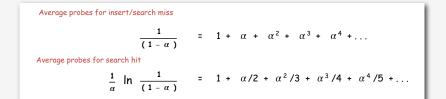


Effect. Skip values give different search paths for keys that collide.

Best practices. Make k and M relatively prime.

## Double hashing performance

Theorem. [Guibas-Szemerédi] Let  $\alpha$  = N / M < 1 be average length of cluster.



Parameters. Typical choice:  $\alpha \sim 1.2 \Rightarrow$  constant-time ops.

Disadvantage. Deletion is cumbersome to implement.

# Summary of symbol-table implementations

5		guarantee		average case ord		ordered	operations	
implementation	search	insert	delete	search hit	insert	delete	iteration?	on keys
unordered list	Ν	Ν	Ν	N/2	N	N/2	no	equals()
ordered array	lg N	Ν	Ν	lg N	N/2	N/2	yes	compareTo()
BST	Ν	Ν	N	1.38 lg N	1.38 lg N	?	yes	compareTo()
randomized BST	3 lg N	3 lg N	3 lg N	1.38 lg N	1.38 lg N	1.38 lg N	yes	compareTo()
red-black tree	3 lg N	3 lg N	3 lg N	lg N	lg N	lg N	yes	compareTo()
hashing	1*	1*	1*	1*	1*	1*	no	equals() hashCode()

#### \* assumes random hash function

## Hashing Tradeoffs

#### Separate chaining vs. linear probing/double hashing.

- Space for links vs. empty table slots.
- Small table + linked allocation vs. big coherent array.

# Linear probing vs. double hashing.

		load factor					
		50%	66%	75%	90%		
linear probing	get	1.5	2.0	3.0	5.5		
	put	2.5	5.0	8.5	55.5		
double hashing	get	1.4	1.6	1.8	2.6		
	put	1.5	2.0	3.0	5.5		

number of probes

#### Hashing versus balanced trees

## Hashing

- 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).
- Does your hash function produce random values for your key type??

## Balanced trees.

- Stronger performance guarantee.
- Can support many more ST operations for ordered keys.
- Easier to implement compareTo() correctly than equals() and hashCode().

#### Java system includes both.

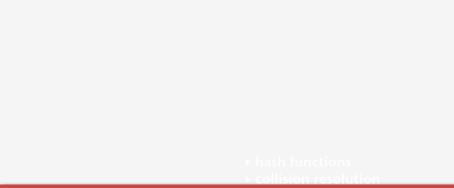
- Red-black trees: java.util.TreeMap, java.util.TreeSet.
- Hashing: java.util.HashMap, java.util.IdentityHashMap.

#### Typical "full" symbol table API

public class	<pre>public class *ST<key comparable<key="" extends="">, Value&gt; implements Iterable<key></key></key></pre>						
	*ST()	create an empty symbol table					
void	<pre>put(Key key, Value val)</pre>	put key-value pair into the table					
Value	get(Key key)	return value paired with key; null if no such value					
boolean	contains (Key key)	is there a value paired with key?					
Key	min()	return smallest key					
Key	max()	return largest key					
Key	ceil(Key key)	return smallest key in table $\geq$ query key					
Key	floor(Key key)	return largest key in table $\leq$ query key					
void	remove(Key key)	remove key-value pair from table					
Iterator <key></key>	iterator()	iterator through keys in table					

Hashing is not suitable for implementing such an API (no order). BSTs are easy to extend to support such an API (basic tree ops).

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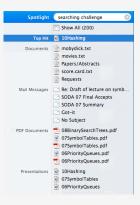
## applications

#### Searching challenge

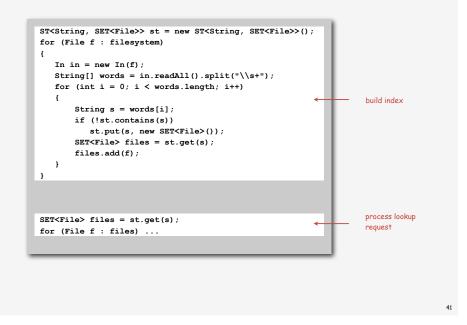
Problem. Index for a PC or the web. Assumptions. 1 billion++ words to index.

## Which searching method to use?

- Hashing implementation of st.
- Hashing implementation of SET.
- Red-black-tree implementation of st.
- Red-black-tree implementation of SET.
- Doesn't matter much.



#### Index for search in a PC



## Searching challenge

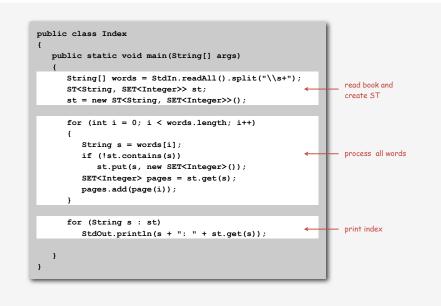
Problem. Index for an e-book. Assumptions. Book has 100,000+ words.

### Which searching method to use?

- Hashing implementation of st.
- Hashing implementation of SET.
- Red-black-tree implementation of sT.
- Red-black-tree implementation of SET.
- Doesn't matter much.

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#### Index for a book



#### Searching challenge 5

Problem. Sparse matrix-vector multiplication. Assumptions. Matrix dimension is 10,000; average nonzeros per row ~ 10.

## Which searching method to use?

- 1) Unordered array.
- 2) Ordered linked list.
- 3) Ordered array with binary search.
- 4) Need better method, all too slow.
- 5) Doesn't matter much, all fast enough.

Vector. Ordered sequence of N real numbers. Matrix. N-by-N table of real numbers.

#### vector operations

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

#### matrix-vector multiplication

[0	1	1]		[-1]		[4]	
2	4	-2	×	2	=	4 2 36	
0	3	15		2		36	

### Sparse vectors and matrices

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

Property. Large matrices that arise in practice are sparse.

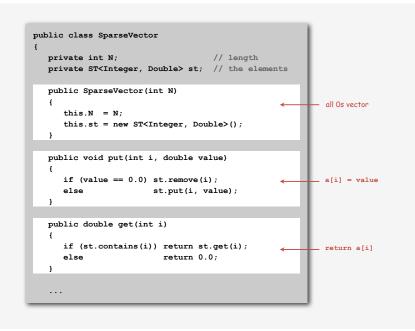
#### 2D array matrix representation.

- Constant time access to elements.
- Space proportional to N<sup>2</sup>.

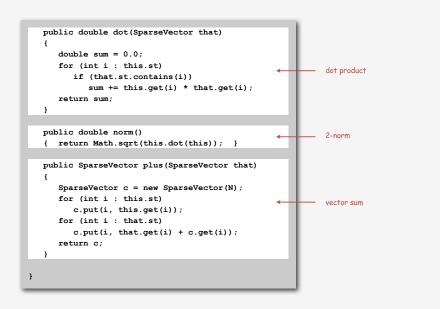
## Goal.

- Efficient access to elements.
- Space proportional to number of nonzeros.

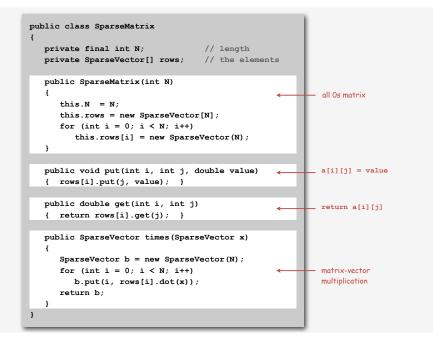
#### Sparse vector data type



## Sparse vector data type (cont)



#### Sparse matrix data type



## Algorithmic complexity attack on Java

Goal. Find 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()	key	hashCode()
"АаАаАаАа"	-540425984	"BBAaAaAa"	-540425984
"AaAaAaBB"	-540425984	"BBAaAaBB"	-540425984
"AaAaBBAa"	-540425984	"BBAaBBAa"	-540425984
"AaAaBBBB"	-540425984	"BBAaBBBB"	-540425984
"AaBBAaAa"	-540425984	"BBBBAaAa"	-540425984
"AaBBAaBB"	-540425984	"BBBBAaBB"	-540425984
"AaBBBBAa"	-540425984	"BBBBBBAa"	-540425984
"AaBBBBBB"	-540425984	"BBBBBBBB"	-540425984

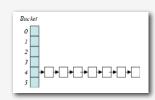
 $2^{\mathsf{N}}$  strings of length 2N that hash to same value!

## Hashing in the wild: algorithmic complexity attacks

## Is the random hash map assumption important in practice?

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

#### One-way hash functions

One-way hash function. Hard to find a key that will hash to a desired value, or to find 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 shal = MessageDigest.getInstance("SHA1"); byte[] bytes = shal.digest(password);

/\* prints bytes as hex string \*/

Applications. Digital fingerprint, message digest, storing passwords. Caveat. Too expensive for use in ST implementations.