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Hashing tries to directly compute the memory location from the given key. The goal is to have constant search time.



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• Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.



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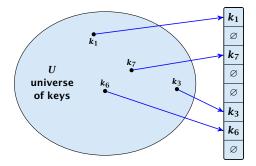
### The hash-function *h* should fulfill:

- Fast to evaluate.
- Small storage requirement.
- Good distribution of elements over the whole table.



# **Direct Addressing**

Ideally the hash function maps all keys to different memory locations.

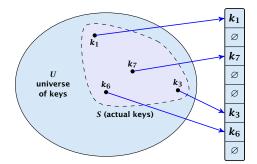


This special case is known as Direct Addressing. It is usually very unrealistic as the universe of keys typically is quite large, and in particular larger than the available memory.



# **Perfect Hashing**

Suppose that we know the set S of actual keys (no insert/no delete). Then we may want to design a simple hash-function that maps all these keys to different memory locations.



Such a hash function *h* is called a perfect hash function for set *S*.



5.9 Hashing

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If we do not know the keys in advance, the best we can hope for is that the hash function distributes keys evenly across the table.



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Hence, there may be two elements  $k_1, k_2$  from the set *S* that map to the same memory location (i.e.,  $h(k_1) = h(k_2)$ ). This is called a collision.



Typically, collisions do not appear once the size of the set *S* of actual keys gets close to *n*, but already when  $|S| \ge \omega(\sqrt{n})$ .



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#### Lemma 16

The probability of having a collision when hashing m elements into a table of size n under uniform hashing is at least

$$1 - e^{-\frac{m(m-1)}{2n}} \approx 1 - e^{-\frac{m^2}{2n}}$$
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#### Uniform hashing:

Choose a hash function uniformly at random from all functions  $f: U \rightarrow [0, ..., n-1]$ .



Proof.

Let  $A_{m,n}$  denote the event that inserting m keys into a table of size n does not generate a collision. Then



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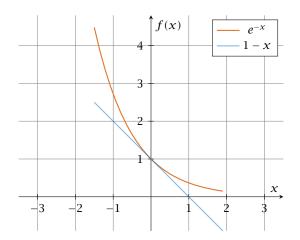
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Here the first equality follows since the  $\ell$ -th element that is hashed has a probability of  $\frac{n-\ell+1}{n}$  to not generate a collision under the condition that the previous elements did not induce collisions.





The inequality  $1 - x \le e^{-x}$  is derived by stopping the Taylor-expansion of  $e^{-x}$  after the second term.



5.9 Hashing

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# **Resolving Collisions**

The methods for dealing with collisions can be classified into the two main types

- open addressing, aka. closed hashing
- hashing with chaining, aka. closed addressing, open hashing.



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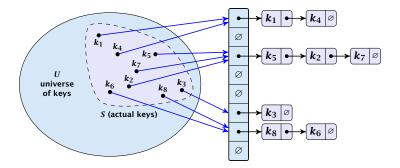
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There are applications e.g. computer chess where you do not resolve collisions at all.



Arrange elements that map to the same position in a linear list.

- Access: compute h(x) and search list for key[x].
- Insert: insert at the front of the list.





5.9 Hashing

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We assume uniform hashing for the following analysis.



The time required for an unsuccessful search is 1 plus the length of the list that is examined.



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The time required for an unsuccessful search is 1 plus the length of the list that is examined. The average length of a list is  $\alpha = \frac{m}{n}$ . Hence, if A is the collision resolving strategy "Hashing with Chaining" we have

 $A^- = 1 + \alpha \ .$ 



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5.9 Hashing

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$$= 1+\frac{m-1}{2n} = 1+\frac{\alpha}{2}-\frac{\alpha}{2m} .$$

Hence, the expected cost for a successful search is  $A^+ \leq 1 + \frac{\alpha}{2}$ .



#### Disadvantages:

- pointers increase memory requirements
- pointers may lead to bad cache efficiency

#### Advantages:

- no à priori limit on the number of elements
- deletion can be implemented efficiently
- by using balanced trees instead of linked list one can also obtain worst-case guarantees.





5.9 Hashing

All objects are stored in the table itself.



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**Search**(*k*): Try position h(k, 0); if it is empty your search fails; otw. continue with h(k, 1), h(k, 2), ....

**Insert**(x): Search until you find an empty slot; insert your element there. If your search reaches h(k, n - 1), and this slot is non-empty then your table is full.



Choices for h(k, j):

Linear probing:
 h(k, i) = h(k) + i mod n
 (sometimes: h(k, i) = h(k) + ci mod n).



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#### • Double hashing: $h(k, i) = h_1(k) + ih_2(k) \mod n.$

For quadratic probing and double hashing one has to ensure that the search covers all positions in the table (i.e., for double hashing  $h_2(k)$  must be relatively prime to n (teilerfremd); for quadratic probing  $c_1$  and  $c_2$  have to be chosen carefully).



## **Linear Probing**

Advantage: Cache-efficiency. The new probe position is very likely to be in the cache.



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#### Lemma 17

Let *L* be the method of linear probing for resolving collisions:

$$L^{+} \approx \frac{1}{2} \left( 1 + \frac{1}{1 - \alpha} \right)$$
$$L^{-} \approx \frac{1}{2} \left( 1 + \frac{1}{(1 - \alpha)^{2}} \right)$$



5.9 Hashing

## **Quadratic Probing**

- Not as cache-efficient as Linear Probing.
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#### Lemma 18

Let Q be the method of quadratic probing for resolving collisions:

$$Q^+ \approx 1 + \ln\left(\frac{1}{1-\alpha}\right) - \frac{\alpha}{2}$$
  
 $Q^- \approx \frac{1}{1-\alpha} + \ln\left(\frac{1}{1-\alpha}\right) - \alpha$ 



5.9 Hashing

### **Double Hashing**

Any probe into the hash-table usually creates a cache-miss.



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#### Lemma 19

Let D be the method of double hashing for resolving collisions:

$$D^+ \approx \frac{1}{\alpha} \ln\left(\frac{1}{1-\alpha}\right)$$
  
 $D^- \approx \frac{1}{1-\alpha}$ 



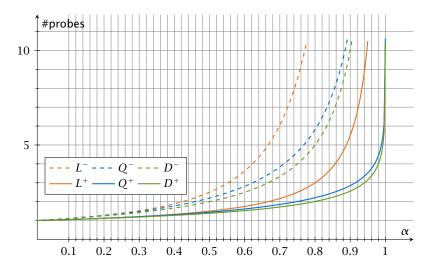
#### **Open Addressing**

#### Some values:

α	Linear Probing		Quadratic Probing		Double Hashing	
	$L^+$	$L^{-}$	$Q^+$	$Q^-$	$D^+$	$D^-$
0.5	1.5	2.5	1.44	2.19	1.39	2
0.9	5.5	50.5	2.85	11.40	2.55	10
0.95	10.5	200.5	3.52	22.05	3.15	20



# **Open Addressing**





5.9 Hashing

We analyze the time for a search in a very idealized Open Addressing scheme.

► The probe sequence h(k, 0), h(k, 1), h(k, 2),... is equally likely to be any permutation of (0, 1,..., n − 1).





5.9 Hashing

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 $\Pr[A_1 \cap A_2 \cap \dots \cap A_{i-1}]$ =  $\Pr[A_1] \cdot \Pr[A_2 \mid A_1] \cdot \Pr[A_3 \mid A_1 \cap A_2] \cdot \dots \cdot \Pr[A_{i-1} \mid A_1 \cap \dots \cap A_{i-2}]$ 

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$$\Pr[X \ge i] = \frac{m}{n} \cdot \frac{m-1}{n-1} \cdot \frac{m-2}{n-2} \cdot \ldots \cdot \frac{m-i+2}{n-i+2}$$



5.9 Hashing

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5.9 Hashing

 $\mathbb{E}[X]$ 



5.9 Hashing

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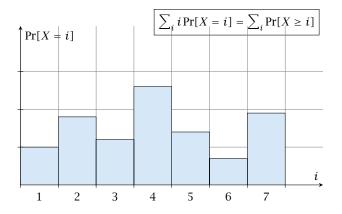
5.9 Hashing

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$$\frac{1}{1-\alpha} = 1 + \alpha + \alpha^2 + \alpha^3 + \dots$$

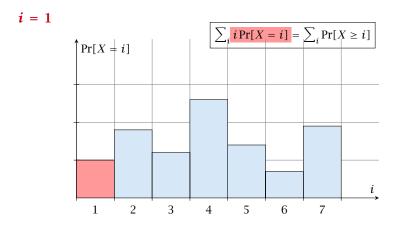


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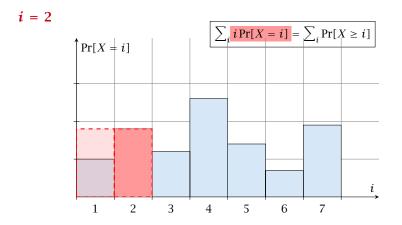


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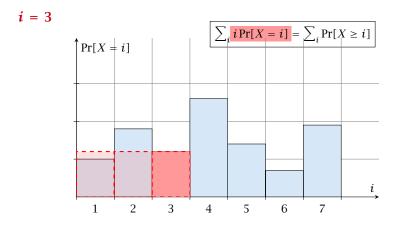


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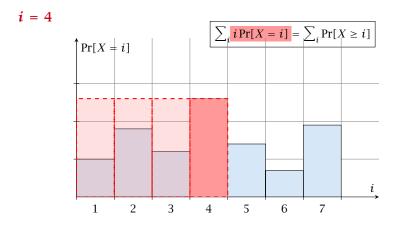


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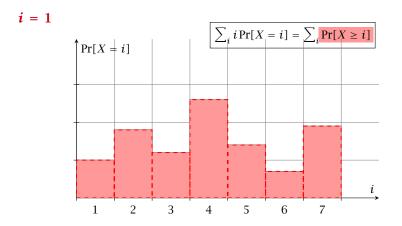


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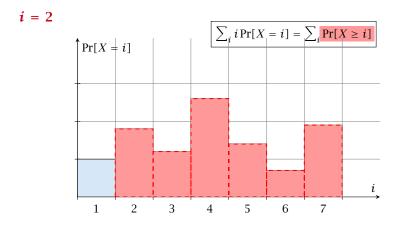


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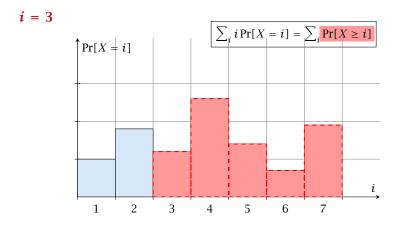


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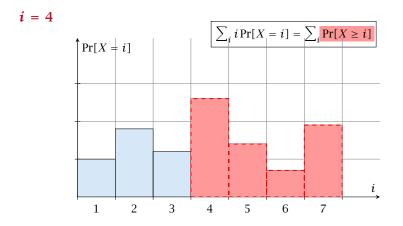


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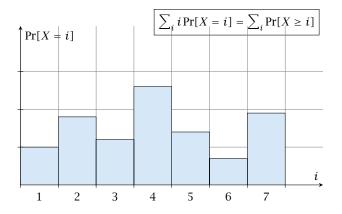


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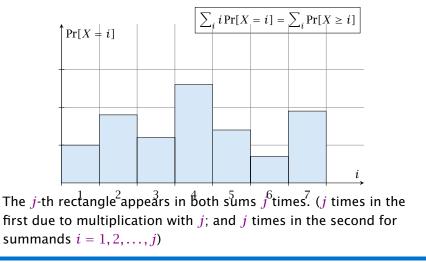


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5.9 Hashing

## Analysis of Idealized Open Address Hashing

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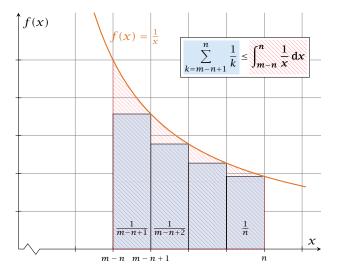
$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i} = \frac{n}{m} \sum_{i=0}^{m-1} \frac{1}{n-i} = \frac{1}{\alpha} \sum_{k=n-m+1}^{n} \frac{1}{k}$$
$$\leq \frac{1}{\alpha} \int_{n-m}^{n} \frac{1}{x} dx = \frac{1}{\alpha} \ln \frac{n}{n-m} = \frac{1}{\alpha} \ln \frac{1}{1-\alpha} .$$



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# Analysis of Idealized Open Address Hashing





#### How do we delete in a hash-table?

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- For hashing with chaining this is not a problem. Simply search for the key, and delete the item in the corresponding list.
- For open addressing this is difficult.



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  - During an insertion if a deleted-marker is encountered an element can be inserted there.
  - During a search a deleted-marker must not be used to terminate the probe sequence.
- The table could fill up with deleted-markers leading to bad performance.
- If a table contains many deleted-markers (linear fraction of the keys) one can rehash the whole table and amortize the cost for this rehash against the cost for the deletions.

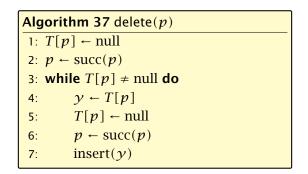


 For Linear Probing one can delete elements without using deletion-markers.



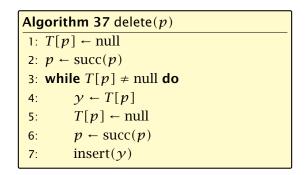
- For Linear Probing one can delete elements without using deletion-markers.
- Upon a deletion elements that are further down in the probe-sequence may be moved to guarantee that they are still found during a search.





 $\ensuremath{p}$  is the index into the table-cell that contains the object to be deleted.





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Pointers into the hash-table become invalid.





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However, the assumption of uniform hashing that h is chosen randomly from all functions  $f: U \rightarrow [0, ..., n-1]$  is clearly unrealistic as there are  $n^{|U|}$  such functions. Even writing down such a function would take  $|U| \log n$  bits.



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Universal hashing tries to define a set  $\mathcal{H}$  of functions that is much smaller but still leads to good average case behaviour when selecting a hash-function uniformly at random from  $\mathcal{H}$ .



### **Definition 20**

A class  $\mathcal{H}$  of hash-functions from the universe U into the set  $\{0, \ldots, n-1\}$  is called universal if for all  $u_1, u_2 \in U$  with  $u_1 \neq u_2$ 

$$\Pr[h(u_1) = h(u_2)] \le \frac{1}{n}$$
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where the probability is w.r.t. the choice of a random hash-function from set  $\mathcal{H}.$ 



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Note that this means that the probability of a collision between two arbitrary elements is at most  $\frac{1}{n}$ .



### **Definition 21**

A class  $\mathcal{H}$  of hash-functions from the universe U into the set  $\{0, \ldots, n-1\}$  is called 2-independent (pairwise independent) if the following two conditions hold

- For any key  $u \in U$ , and  $t \in \{0, ..., n-1\} \Pr[h(u) = t] = \frac{1}{n}$ , i.e., a key is distributed uniformly within the hash-table.
- For all u<sub>1</sub>, u<sub>2</sub> ∈ U with u<sub>1</sub> ≠ u<sub>2</sub>, and for any two hash-positions t<sub>1</sub>, t<sub>2</sub>:

$$\Pr[h(u_1) = t_1 \wedge h(u_2) = t_2] \le \frac{1}{n^2} .$$



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### This requirement clearly implies a universal hash-function.



#### **Definition 22**

A class  $\mathcal{H}$  of hash-functions from the universe U into the set  $\{0, \ldots, n-1\}$  is called *k*-independent if for any choice of  $\ell \leq k$  distinct keys  $u_1, \ldots, u_\ell \in U$ , and for any set of  $\ell$  not necessarily distinct hash-positions  $t_1, \ldots, t_\ell$ :

$$\Pr[h(u_1) = t_1 \wedge \cdots \wedge h(u_\ell) = t_\ell] \leq \frac{1}{n^\ell} ,$$

where the probability is w.r.t. the choice of a random hash-function from set  $\mathcal{H}$ .



#### **Definition 23**

A class  $\mathcal{H}$  of hash-functions from the universe U into the set  $\{0, \ldots, n-1\}$  is called  $(\mu, k)$ -independent if for any choice of  $\ell \leq k$  distinct keys  $u_1, \ldots, u_\ell \in U$ , and for any set of  $\ell$  not necessarily distinct hash-positions  $t_1, \ldots, t_\ell$ :

$$\Pr[h(u_1) = t_1 \wedge \cdots \wedge h(u_\ell) = t_\ell] \leq \frac{\mu}{n^\ell} ,$$

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Let  $U := \{0, ..., p-1\}$  for a prime p. Let  $\mathbb{Z}_p := \{0, ..., p-1\}$ , and let  $\mathbb{Z}_p^* := \{1, ..., p-1\}$  denote the set of invertible elements in  $\mathbb{Z}_p$ .



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Define

 $h_{a,b}(x) := (ax + b \mod p) \mod n$ 



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#### Lemma 24

The class

$$\mathcal{H} = \{h_{a,b} \mid a \in \mathbb{Z}_p^*, b \in \mathbb{Z}_p\}$$

is a universal class of hash-functions from U to  $\{0, ..., n-1\}$ .





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Proof.

Let  $x, y \in U$  be two distinct keys. We have to show that the probability of a collision is only 1/n.



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where we use that  $\mathbb{Z}_p$  is a field (Körper) and, hence, has no zero divisors (nullteilerfrei).



The hash-function does not generate collisions before the (mod *n*)-operation. Furthermore, every choice (*a*, *b*) is mapped to a different pair (*t<sub>x</sub>*, *t<sub>y</sub>*) with *t<sub>x</sub>* := *ax* + *b* and *t<sub>y</sub>* := *ay* + *b*.

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  - $a \equiv (t_x t_y)(x y)^{-1} \pmod{p}$  $b \equiv t_y - ay \pmod{p}$



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From the range 0, ..., p - 1 the values  $t_x, t_x + n, t_x + 2n, ...$  map to  $t_x$  after the modulo-operation. These are at most  $\lceil p/n \rceil$  values.





5.9 Hashing

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As  $t_{\mathcal{Y}} \neq t_{\mathcal{X}}$  there are

 $\left\lceil \frac{p}{n} \right\rceil - 1$ 



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$$\left\lceil \frac{p}{n} \right\rceil - 1 \le \frac{p}{n} + \frac{n-1}{n} - 1$$



As  $t_{\mathcal{Y}} \neq t_{\mathcal{X}}$  there are

$$\left\lceil \frac{p}{n} \right\rceil - 1 \le \frac{p}{n} + \frac{n-1}{n} - 1 \le \frac{p-1}{n}$$



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possibilities for choosing  $t_{\mathcal{Y}}$  such that the final hash-value creates a collision.



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possibilities for choosing  $t_{\mathcal{Y}}$  such that the final hash-value creates a collision.

This happens with probability at most  $\frac{1}{n}$ .





5.9 Hashing

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It is also possible to show that  $\mathcal H$  is an (almost) pairwise independent class of hash-functions.

$$\Pr_{t_{x} \neq t_{y} \in \mathbb{Z}_{p}^{2}} \begin{bmatrix} t_{x} \mod n = h_{1} \\ \uparrow \\ t_{y} \mod n = h_{2} \end{bmatrix}$$



It is also possible to show that  $\mathcal H$  is an (almost) pairwise independent class of hash-functions.

$$\frac{\left\lfloor \frac{p}{n} \right\rfloor^2}{p(p-1)} \le \Pr_{t_x \neq t_y \in \mathbb{Z}_p^2} \left[ \begin{array}{c} t_x \mod n = h_1 \\ t_y \mod n = h_2 \end{array} \right] \le \frac{\left\lceil \frac{p}{n} \right\rceil^2}{p(p-1)}$$



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Note that the middle is the probability that  $h(x) = h_1$  and  $h(y) = h_2$ . The total number of choices for  $(t_x, t_y)$  is p(p-1). The number of choices for  $t_x$   $(t_y)$  such that  $t_x \mod n = h_1$  $(t_y \mod n = h_2)$  lies between  $\lfloor \frac{p}{n} \rfloor$  and  $\lceil \frac{p}{n} \rceil$ .



#### **Definition 25**

Let  $d \in \mathbb{N}$ ;  $q \ge (d+1)n$  be a prime; and let  $\bar{a} \in \{0, \dots, q-1\}^{d+1}$ . Define for  $x \in \{0, \dots, q-1\}$ 

$$h_{\bar{a}}(x) := \left(\sum_{i=0}^{d} a_i x^i \mod q\right) \mod n \; .$$

Let  $\mathcal{H}_n^d := \{h_{\bar{a}} \mid \bar{a} \in \{0, \dots, q-1\}^{d+1}\}$ . The class  $\mathcal{H}_n^d$  is (e, d+1)-independent.

Note that in the previous case we had d = 1 and chose  $a_d \neq 0$ .





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For the coefficients  $\bar{a} \in \{0, \dots, q-1\}^{d+1}$  let  $f_{\bar{a}}$  denote the polynomial

$$f_{\tilde{a}}(x) = \left(\sum_{i=0}^{d} a_i x^i\right) \mod q$$



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The polynomial is defined by d + 1 distinct points.



Fix  $\ell \le d + 1$ ; let  $x_1, \ldots, x_\ell \in \{0, \ldots, q - 1\}$  be keys, and let  $t_1, \ldots, t_\ell$  denote the corresponding hash-function values.

Fix  $\ell \le d + 1$ ; let  $x_1, \ldots, x_\ell \in \{0, \ldots, q - 1\}$  be keys, and let  $t_1, \ldots, t_\ell$  denote the corresponding hash-function values.

Let  $A^{\ell} = \{h_{\tilde{a}} \in \mathcal{H} \mid h_{\tilde{a}}(x_i) = t_i \text{ for all } i \in \{1, \dots, \ell\}\}$ 

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 $h_{\tilde{a}} \in A^{\ell} \Leftrightarrow h_{\tilde{a}} = f_{\tilde{a}} \bmod n$  and

$$f_{\bar{a}}(x_i) \in \underbrace{\{t_i + \alpha \cdot n \mid \alpha \in \{0, \dots, \lceil \frac{q}{n} \rceil - 1\}\}}_{=:B_i}$$

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We first fix the values for inputs  $x_1, \ldots, x_\ell$ . We have

 $|B_1| \cdot \ldots \cdot |B_\ell|$ 

possibilities to do this (so that  $h_{\bar{a}}(x_i) = t_i$ ).

Now, we choose  $d - \ell + 1$  other inputs and choose their value arbitrarily. We have  $q^{d-\ell+1}$  possibilities to do this.



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Therefore we have

$$|B_1| \cdot \ldots \cdot |B_\ell| \cdot q^{d-\ell+1} \leq \lceil \frac{q}{n} \rceil^\ell \cdot q^{d-\ell+1}$$

possibilities to choose  $\bar{a}$  such that  $h_{\bar{a}} \in A_{\ell}$ .



Therefore the probability of choosing  $h_{\tilde{a}}$  from  $A_{\ell}$  is only

 $\frac{\lceil \frac{q}{n} \rceil^{\ell} \cdot q^{d-\ell+1}}{q^{d+1}}$ 



Therefore the probability of choosing  $h_{\tilde{a}}$  from  $A_{\ell}$  is only

$$\frac{\lceil \frac{q}{n} \rceil^{\ell} \cdot q^{d-\ell+1}}{q^{d+1}} \leq \frac{(\frac{q+n}{n})^{\ell}}{q^{\ell}}$$



Therefore the probability of choosing  $h_{\tilde{a}}$  from  $A_{\ell}$  is only

$$\frac{\lceil \frac{q}{n} \rceil^{\ell} \cdot q^{d-\ell+1}}{q^{d+1}} \leq \frac{(\frac{q+n}{n})^{\ell}}{q^{\ell}} \leq \left(\frac{q+n}{q}\right)^{\ell} \cdot \frac{1}{n^{\ell}}$$



### **Universal Hashing**

Therefore the probability of choosing  $h_{\tilde{a}}$  from  $A_{\ell}$  is only

$$\frac{\lceil \frac{q}{n} \rceil^{\ell} \cdot q^{d-\ell+1}}{q^{d+1}} \le \frac{\left(\frac{q+n}{n}\right)^{\ell}}{q^{\ell}} \le \left(\frac{q+n}{q}\right)^{\ell} \cdot \frac{1}{n^{\ell}} \\ \le \left(1 + \frac{1}{\ell}\right)^{\ell} \cdot \frac{1}{n^{\ell}}$$



### **Universal Hashing**

Therefore the probability of choosing  $h_{\tilde{a}}$  from  $A_{\ell}$  is only

$$\begin{aligned} \frac{\lceil \frac{q}{n} \rceil^{\ell} \cdot q^{d-\ell+1}}{q^{d+1}} &\leq \frac{\left(\frac{q+n}{n}\right)^{\ell}}{q^{\ell}} \leq \left(\frac{q+n}{q}\right)^{\ell} \cdot \frac{1}{n^{\ell}} \\ &\leq \left(1 + \frac{1}{\ell}\right)^{\ell} \cdot \frac{1}{n^{\ell}} \leq \frac{e}{n^{\ell}} \end{aligned}$$



### **Universal Hashing**

Therefore the probability of choosing  $h_{\tilde{a}}$  from  $A_{\ell}$  is only

$$\begin{aligned} \frac{\lceil \frac{q}{n} \rceil^{\ell} \cdot q^{d-\ell+1}}{q^{d+1}} &\leq \frac{(\frac{q+n}{n})^{\ell}}{q^{\ell}} \leq \left(\frac{q+n}{q}\right)^{\ell} \cdot \frac{1}{n^{\ell}} \\ &\leq \left(1 + \frac{1}{\ell}\right)^{\ell} \cdot \frac{1}{n^{\ell}} \leq \frac{e}{n^{\ell}} \end{aligned}$$

This shows that the  $\mathcal{H}$  is (e, d + 1)-universal.

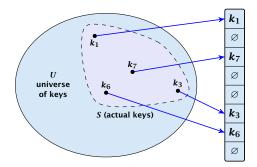
The last step followed from  $q \ge (d+1)n$ , and  $\ell \le d+1$ .



5.9 Hashing

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Suppose that we **know** the set S of actual keys (no insert/no delete). Then we may want to design a **simple** hash-function that maps all these keys to different memory locations.





5.9 Hashing



5.9 Hashing

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Let m = |S|. We could simply choose the hash-table size very large so that we don't get any collisions.



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$$\mathbb{E}[\#\mathsf{Collisions}] = \binom{m}{2} \cdot \frac{1}{n} \ .$$



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Can we get an upper bound on the probability of having collisions?

The probability of having 1 or more collisions can be at most  $\frac{1}{2}$  as otherwise the expectation would be larger than  $\frac{1}{2}$ .





5.9 Hashing

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We can find such a hash-function by a few trials.



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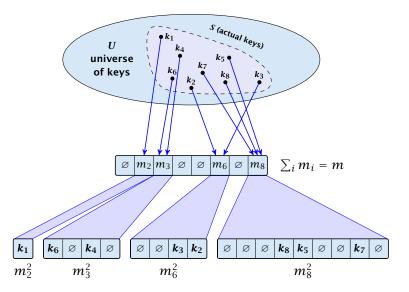
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However, a hash-table size of  $n = m^2$  is very very high.

We construct a two-level scheme. We first use a hash-function that maps elements from S to m buckets.

Let  $m_j$  denote the number of items that are hashed to the *j*-th bucket. For each bucket we choose a second hash-function that maps the elements of the bucket into a table of size  $m_j^2$ . The second function can be chosen such that all elements are mapped to different locations.









5.9 Hashing

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The total memory that is required by all hash-tables is  $\mathcal{O}(\sum_j m_j^2)$ . Note that  $m_j$  is a random variable.

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$$= 2\binom{m}{2}\frac{1}{m} + m = 2m - 1 \quad .$$



5.9 Hashing

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We need only  $\mathcal{O}(m)$  time to construct a hash-function h with  $\sum_j m_j^2 = \mathcal{O}(4m)$ , because with probability at least 1/2 a random function from a universal family will have this property.

Then we construct a hash-table  $h_j$  for every bucket. This takes expected time  $\mathcal{O}(m_j)$  for every bucket. A random function  $h_j$  is collision-free with probability at least 1/2. We need  $\mathcal{O}(m_j)$  to test this.

We only need that the hash-functions are chosen from a universal family!!!





5.9 Hashing

#### Goal:

Try to generate a hash-table with constant worst-case search time in a dynamic scenario.



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#### Goal:

Try to generate a hash-table with constant worst-case search time in a dynamic scenario.

- ► Two hash-tables T<sub>1</sub>[0,..., n 1] and T<sub>2</sub>[0,..., n 1], with hash-functions h<sub>1</sub>, and h<sub>2</sub>.
- ► An object x is either stored at location T<sub>1</sub>[h<sub>1</sub>(x)] or T<sub>2</sub>[h<sub>2</sub>(x)].



#### Goal:

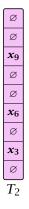
Try to generate a hash-table with constant worst-case search time in a dynamic scenario.

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- An object x is either stored at location  $T_1[h_1(x)]$  or  $T_2[h_2(x)]$ .
- A search clearly takes constant time if the above constraint is met.



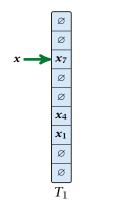
#### Insert:

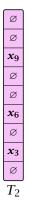






Insert:

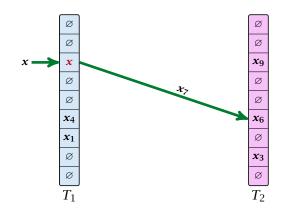






5.9 Hashing

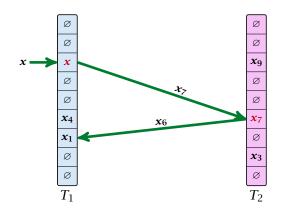
Insert:





5.9 Hashing

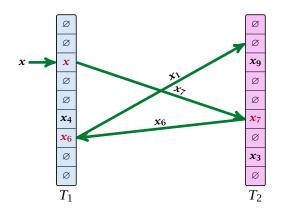
Insert:





5.9 Hashing

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5.9 Hashing

```
Algorithm 38 Cuckoo-Insert(x)
1: if T_1[h_1(x)] = x \lor T_2[h_2(x)] = x then return
 2: steps \leftarrow 1
 3: while steps \leq maxsteps do
4:
    exchange x and T_1[h_1(x)]
 5: if x = null then return
6: exchange x and T_2[h_2(x)]
7: if x = null then return
 8:
     steps \leftarrow steps +1
 9: rehash() // change hash-functions; rehash everything
10: Cuckoo-Insert(x)
```



We call one iteration through the while-loop a step of the algorithm.



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- We call a sequence of iterations through the while-loop without the termination condition becoming true a phase of the algorithm.
- We say a phase is successful if it is not terminated by the maxstep-condition, but the while loop is left because x = null.





5.9 Hashing

#### What is the expected time for an insert-operation?



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We first analyze the probability that we end-up in an infinite loop (that is then terminated after maxsteps steps).



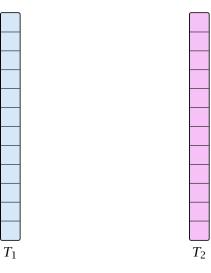
5.9 Hashing

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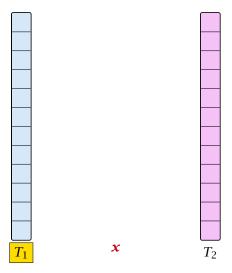
Formally what is the probability to enter an infinite loop that touches *s* different keys?





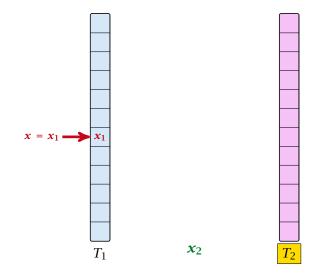


5.9 Hashing



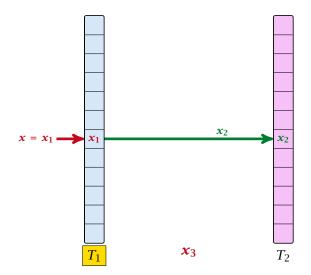


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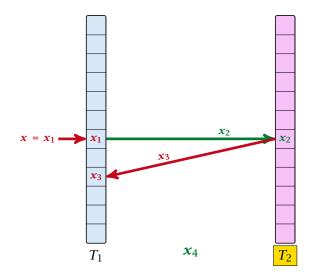


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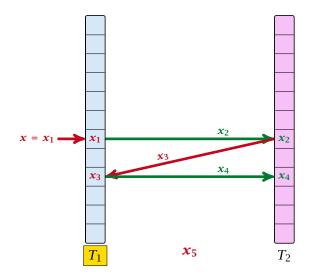


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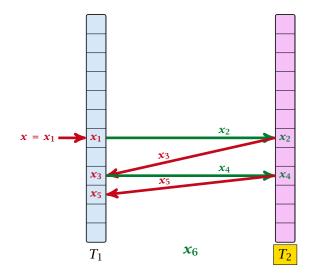


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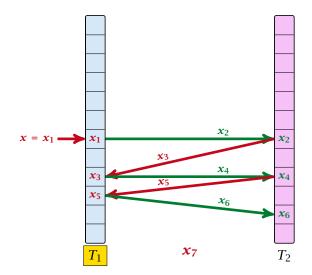


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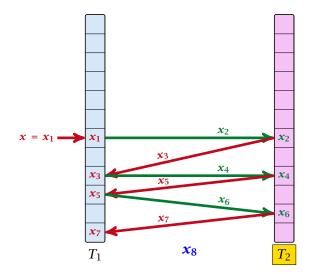


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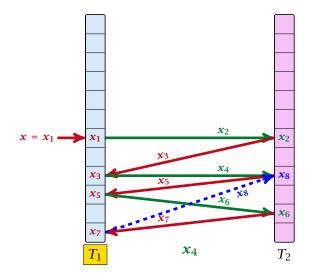


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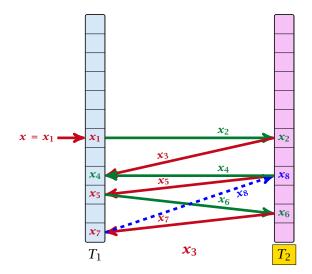


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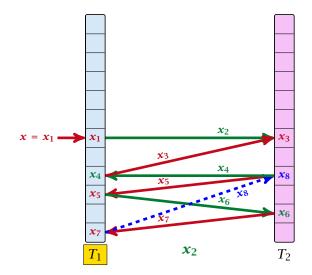


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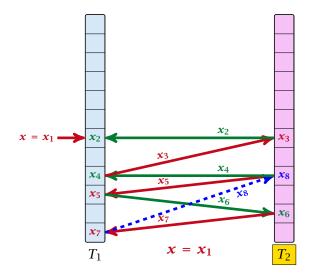


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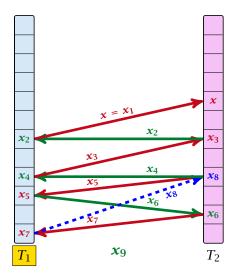


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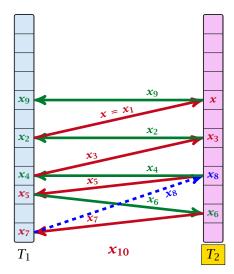


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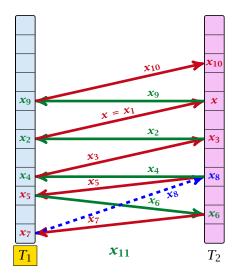


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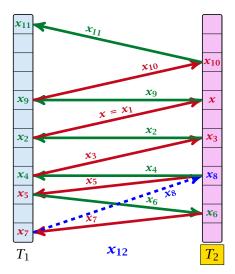


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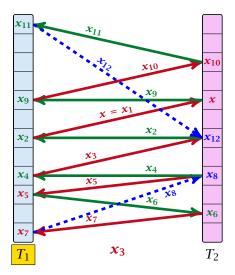


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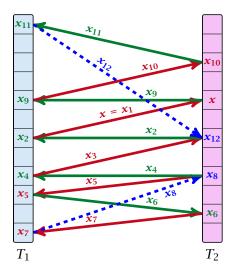


5.9 Hashing



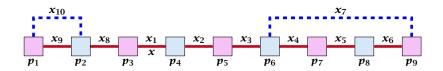


5.9 Hashing





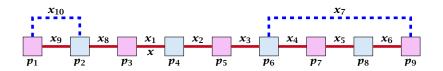
5.9 Hashing



A cycle-structure of size *s* is defined by



5.9 Hashing

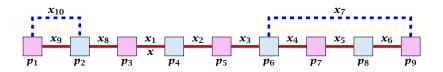


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▶ s - 1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).



5.9 Hashing

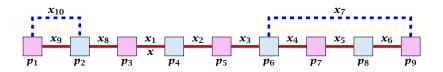


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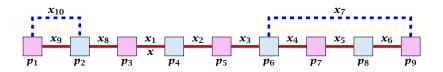
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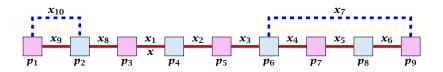




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- The leftmost cell is "linked forward" to some cell on the right.
- The rightmost cell is "linked backward" to a cell on the left.
- One link represents key x; this is where the counting starts.



A cycle-structure is active if for every key  $x_{\ell}$  (linking a cell  $p_i$  from  $T_1$  and a cell  $p_j$  from  $T_2$ ) we have

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5.9 Hashing

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#### **Observation:**

If during a phase the insert-procedure runs into a cycle there must exist an active cycle structure of size  $s \ge 3$ .



What is the probability that all keys in a cycle-structure of size s correctly map into their  $T_1$ -cell?



5.9 Hashing

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These events are independent.



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## The probability that a given cycle-structure of size s is active is at most $\frac{\mu^2}{n^{2s}}$ .

What is the probability that there exists an active cycle structure of size *s*?



The number of cycle-structures of size *s* is at most

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- There are  $n^{s-1}$  possibilities to choose the cells.



The probability that there exists an active cycle-structure is therefore at most

$$\sum_{s=3}^{\infty} s^3 \cdot n^{s-1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$



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Hence,

$$\Pr[\mathsf{cycle}] = \mathcal{O}\left(\frac{1}{m^2}\right)$$
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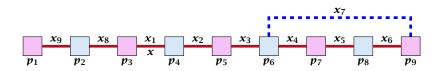


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Now, we analyze the probability that a phase is not successful without running into a closed cycle.





Sequence of visited keys:

 $x = x_1, x_2, x_3, x_4, x_5, x_6, x_7, x_3, x_2, x_1 = x, x_8, x_9, \dots$ 



Consider the sequence of not necessarily distinct keys starting with x in the order that they are visited during the phase.



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**Lemma 26** If the sequence is of length p then there exists a sub-sequence of at least  $\frac{p+2}{3}$  keys starting with x of distinct keys.



#### Proof.

Let i be the number of keys (including x) that we see before the first repeated key. Let j denote the total number of distinct keys.

The sequence is of the form:

 $x = x_1 \rightarrow x_2 \rightarrow \cdots \rightarrow x_i \rightarrow x_r \rightarrow x_{r-1} \rightarrow \cdots \rightarrow x_1 \rightarrow x_{i+1} \rightarrow \cdots \rightarrow x_j$ 

As  $r \leq i - 1$  the length p of the sequence is

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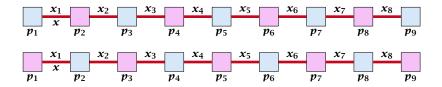
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Either sub-sequence  $x_1 \rightarrow x_2 \rightarrow \cdots \rightarrow x_i$  or sub-sequence  $x_1 \rightarrow x_{i+1} \rightarrow \cdots \rightarrow x_j$  has at least  $\frac{p+2}{3}$  elements.



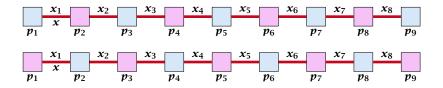


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5.9 Hashing

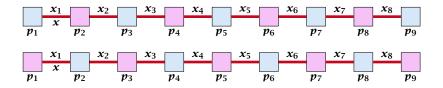
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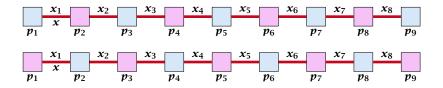




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#### **Observation:**

If a phase takes at least t steps without running into a cycle there must exist an active path-structure of size (2t + 2)/3.



The probability that a given path-structure of size s is active is at most  $\frac{\mu^2}{n^{2s}}$ .



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5.9 Hashing

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by choosing  $\ell \geq \log\left(\frac{1}{2\mu^2m^2}\right)/\log\left(\frac{1}{1+\epsilon}\right) = \log\left(2\mu^2m^2\right)/\log\left(1+\epsilon\right)$ 



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This gives maxsteps =  $\Theta(\log m)$ .



So far we estimated

$$\Pr[\mathsf{cycle}] \le \mathcal{O}\Big(rac{1}{m^2}\Big)$$

and

 $\Pr[\mathsf{unsuccessful} \mid \mathsf{no cycle}] \le \mathcal{O}\Big(\frac{1}{m^2}\Big)$ 



5.9 Hashing

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5.9 Hashing

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This means the expected cost for a successful phase is constant (even after accounting for the cost of the incomplete step that finishes the phase).





5.9 Hashing

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The expected number of unsuccessful rehashes is  $\sum_{i\geq 1} p^i = \frac{1}{1-p} - 1 = \frac{p}{1-p} = \mathcal{O}(p).$ 

Therefore the expected cost for re-hashes is  $\mathcal{O}(m) \cdot \mathcal{O}(p) = \mathcal{O}(1)$ .



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$$\begin{split} \mathbf{E}[X_i^{S}] &= \mathbf{E}[\mathsf{steps} \mid \mathsf{phase \ successful}] \cdot \Pr[\mathsf{phase \ successful}] \\ &+ \max \mathsf{steps} \cdot \Pr[\mathsf{not \ successful}] \end{split}$$

### **Formal Proof**

Let  $Y_i$  denote the event that the *i*-th rehash occurs and does not lead to a valid configuration (i.e., one of the m + 1 insertions fails):

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# $\mathbf{E}\left[\sum_{i}\sum_{s}Z_{i}X_{i}^{s}\right]$



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Note that  $Z_i$  is independent of  $X_j^s$ ,  $j \ge i$  (however, it is not independent of  $X_j^s$ , j < i). Hence,

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#### What kind of hash-functions do we need?



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Since maxsteps is  $\Theta(\log m)$  the largest size of a path-structure or cycle-structure contains just  $\Theta(\log m)$  different keys.



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Since maxsteps is  $\Theta(\log m)$  the largest size of a path-structure or cycle-structure contains just  $\Theta(\log m)$  different keys.

Therefore, it is sufficient to have  $(\mu, \Theta(\log m))$ -independent hash-functions.



#### How do we make sure that $n \ge (1 + \epsilon)m$ ?

```
• Let \alpha := 1/(1 + \epsilon).
```



- Let  $\alpha := 1/(1 + \epsilon)$ .
- Keep track of the number of elements in the table. When  $m \ge \alpha n$  we double n and do a complete re-hash (table-expand).



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- Whenever *m* drops below  $\alpha n/4$  we divide *n* by 2 and do a rehash (table-shrink).



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- Note that right after a change in table-size we have  $m = \alpha n/2$ . In order for a table-expand to occur at least  $\alpha n/2$  insertions are required. Similar, for a table-shrink at least  $\alpha n/4$  deletions must occur.



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- Keep track of the number of elements in the table. When  $m \ge \alpha n$  we double n and do a complete re-hash (table-expand).
- Whenever *m* drops below  $\alpha n/4$  we divide *n* by 2 and do a rehash (table-shrink).
- Note that right after a change in table-size we have  $m = \alpha n/2$ . In order for a table-expand to occur at least  $\alpha n/2$  insertions are required. Similar, for a table-shrink at least  $\alpha n/4$  deletions must occur.
- Therefore we can amortize the rehash cost after a change in table-size against the cost for insertions and deletions.



#### Lemma 27

*Cuckoo Hashing has an expected constant insert-time and a worst-case constant search-time.* 



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Note that the above lemma only holds if the fill-factor (number of keys/total number of hash-table slots) is at most  $\frac{1}{2(1+\epsilon)}$ .

