

Open Addressing

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Outline

- To handle collisions, chained hash tables require special memory allocation
 - Can we create a hash table without additional memory allocation?
- We will deal with collisions by storing collisions in the same table
 - We will define a rule, dictating where to look next





Collision Handling in Hash Tables

Common strategies to handle collisions in hash tables

- Closed addressing: Store all elements with hash collisions in a secondary data structures (linked list, BST, etc.)
 - Chained hash table
- Perfect Hashing: Choose a hash function to ensure that collisions don't happen (if possible)
- Open addressing: Define a rule to locate the next cell
 - Linear probing, Quadratic probing, double hashing





□ Suppose an object hashes to bin 5

• If bin 5 is empty, we can store the object in bin 5







□ Suppose, however, another object hashes to bin 5

• Without a linked list, we cannot store the object in bin 5







□ We could have a rule which says:

Look in the next bin to see if it is occupied







- The rule must be general enough to deal with the fact that the next cell could also be occupied
 - For example, continue searching until the first empty bin is found
 - The rule must be simple i.e., fast search







□ We could then store the object in the next location

• Problem: we can only store as many objects as there are entries in the array: the load factor $\lambda \leq 1$







Open Addressing: Supporting Other Operations

□ The rule should support both search and remove.

- \square Recall that our goal is $\Theta(1)$ access times
 - Q. how do we avoid to access too many bins (on average)?

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





Open Addressing: Strategies

- There are numerous strategies for defining the order in which the bins should be searched:
 - Linear probing
 - Quadratic probing
 - Double hashing
- □ There are many alternate strategies, as well:
 - Last come, first served
 - Always place the object into the bin moving what may be there already
 - Cuckoo hashing





Linear Probing





Linear Probing

- The easiest method to probe is to search forward linearly
- \square Assume we are inserting into bin k:
 - If bin *k* is empty, we occupy it
 - Otherwise, check bin k + 1, k + 2, and so on, until an empty bin is found
 - If we reach the end of the array, go back to the front (bin 0)



Linear Probing

 \Box Consider a hash table with M = 16 bins

- □ Given a hexadecimal number as input:
 - Suppose the hash function outputs the least significant 4-bits of input
 - Example: for 6B72A₁₆, the initial bin is A





Insertion

 Insert these numbers into this initially empty hash table:
19A, 207, 3AD, 488, 5BA, 680, 74C, 826, 946, ACD, B32, C8B, DBE, E9C







\Box Start with the first four values:

19A, 207, 3AD, 488









□ Start with the first four values:

19**A**, 20**7**, 3A**D**, 48**8**









□ Next we must insert 5BA







Next we must insert 5BA

- Bin A is occupied
- We search forward for the next empty bin







□ Next we are adding 680, 74C, 826







- □ Next we are adding 680, 74C, 826
 - All the bins are empty—simply insert them









□ Next, we must insert 946







□ Next, we must insert 946

- Bin 6 is occupied
- The next empty bin is 9









□ Next, we must insert ACD







□ Next, we must insert ACD

- Bin D is occupied
- The next empty bin is E









□ Next, we insert B32







\Box Next, we insert B32

Bin 2 is unoccupied









□ Next, we insert C8B







□ Next, we insert C8B

- Bin B is occupied
- The next empty bin is F









\Box Next, we insert D59







\Box Next, we insert D59

- Bin 9 is occupied
- The next empty bin is 1







□ Finally, insert E9C







□ Finally, insert E9C

- Bin C is occupied
- The next empty bin is 3







□ Having completed these insertions:

- The load factor is $\lambda = 14/16 = 0.875$
- The average number of probes is $38/14 \approx 2.71$







Resizing the array

- To double the capacity of the array, each value must be rehashed
 - Now the hash function outputs the least significant 5-bits of input
 - 680, B32, ACD, 5BA, 826, 207, 488, D59 may be immediately placed

0	1	2	3	4	5	6	7	8	9	А	В	С	D	Е	F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D	1E	1F
680						826	207	488					AC D					B32	2						D59	5BA					





Resizing the array

- To double the capacity of the array, each value must be rehashed
 - 19A resulted in a collision





Resizing the array

- To double the capacity of the array, each value must be rehashed
 - 946 resulted in a collision




Resizing the array

- To double the capacity of the array, each value must be rehashed
 - 74C fits into its bin





Resizing the array

- To double the capacity of the array, each value must be rehashed
 - 3AD resulted in a collision





Resizing the array

- To double the capacity of the array, each value must be rehashed
 - Both E9C and C8B fit without a collision
 - The load factor is $\lambda = 14/32 = 0.4375$
 - The average number of probes is $18/14 \approx 1.29$

0	1	2	3	4	5	6	7	8	9	А	В	С	D	Е	F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D	1E	1F
680	0					826	207	488	946		C8E	3740	AC D	3AD			946	5 B32							D59	5BA	19A	E9C			





- \Box Testing for membership is similar to insertions:
 - Start at the appropriate bin, and searching forward until
 - 1. The item is found,
 - 2. An empty bin is found, or
 - 3. We have traversed the entire array

0	1	2	3	4	5	6	7	8	9	A	В	С	D	E	F
680	D59	B32	E9C			826	207	488	946	19A	5BA	74C	3AD	ACD	C8B



□ Searching for C8B







□ Searching for C8B

- Examine bins B, C, D, E, F
- The value is found in Bin F







□ Searching for 23E







□ Searching for 23E

- Search bins E, F, 0, 1, 2, 3, 4
- The last bin is empty; therefore, 23E is not in the table









□ We cannot simply remove elements from the hash table







Erasing

□ We cannot simply remove elements from the hash table

For example, consider erasing 3AD







Erasing

□ We cannot simply remove elements from the hash table

- For example, consider erasing 3AD
- If we just erase it, it is now an empty bin
 - By our algorithm, we cannot find ACD, C8B and D59

0	1	2	3	4	5	6	7	8	9	А	В	С	D	E	F
680	D59	B32	E93			826	207	488	946	19A	5BA	74C	\bigcirc	ACD	C8B



Erasing

- □ Instead, you should mark the cell "erased".
 - This "erased cell" is different from an empty cell---the search should not stop at an erased cell

0	1	2	3	4	5	6	7	8	9	А	В	С	D	E	F
680	D59	B32	E93			826	207	488	946	19A	5BA	74C	Ū	ACD	C8B

 \Box Each cell may be represented with the following states:

- Occupied
- Empty
- Erased

Your "cell" positioning algorithm should be different for "search" and "insert"





□ We have already observed the following phenomenon:

 With more insertions, the contiguous regions (or *clusters*) get larger

0	1	2	3	4	5	6	7	8	9	А	В	С	D	Е	F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D	1E	1F
680						826	207	488	946		C8B	74C	AC D	3AD			946	B32							D59	5BA	19A	E9C			

□ This results in longer search times





□ We currently have three clusters of length four

0	1	2	3	4	5	6	7	8	9	А	В	С	D	Е	F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D	1E	1F
680						826	207	488	946)	C8B	740	AC	3AD			946	B32	2						D59	5BA	19A	E9C			





□ There is a $5/32 \approx 16$ % chance that an insertion will fill Bin A







□ There is a $5/32 \approx 16$ % chance that an insertion will fill Bin A

 This causes two clusters to *coalesce* into one larger cluster of length 9

0 1	2	3	4	5	6	7	8	9	А	В	С	D	Е	F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D	1E	1F
680					826	207	488	946	747	C8B	740		3AD			946	B32							D59	5BA	19A	E9C			



□ There is now a $11/32 \approx 34$ % chance that the next insertion will increase the length of this cluster





 As the cluster length increases, the probability of further increasing the length increases



 \Box In general:

- Suppose that a cluster is of length ℓ
- An insertion either into any bin occupied by the chain or into the locations immediately before or after it will increase the length of the chain
- This gives a probability of $\frac{\ell+2}{M}$





Run-time analysis

 \square Recall: our goal is to keep all operations O(1).

- □ Which operations should we analyze?
 - Search
 - Unsuccessful search: After probing, we failed to find a key k in HT
 - Successful search: After probing, we found a key k in HT
 - Insert
 - The runtime would be the same as an unsuccessful search
 - Remove
 - The runtime would be the same as a successful search



Run-time Analysis: Unsuccessful Search

Theorem

Given a linear-probing hash table with the load factor λ , the expected number of probes in an unsuccessful search is at most 1/(1- λ), assuming uniform hashing



Run-time Analysis: Unsuccessful Search

□ **Proof** (details in CLRS p274)

- In an unsuccessful search
 - every probe (except the last) accesses an occupied cell, which does not contain the desired key
 - The last probe accesses an empty cell
- Let the random variable X be the number of probes made in an unsuccessful search
- Let the event A_i be the event that an i-th probe occurs, and it is to an occupied cell (which does not contain the desired key)

Thus, the event
$$\{x \ge \alpha \le i \le A_1 \cap A_2 \cap \cdots \cap A_{n-1}\}$$

 $P_r\{A_1 \cap \cdots \cap A_{n-1}\} = P_r(A_1) \cdot P_r(A_2|A_1) \cdot P_r(A_3|A_1 \cap A_n)$
 $\cdots \cdot P_r(A_{n-1}|A_1 \cap \cdots \cap A_{n-2})$
 $P_r(A_1) = \frac{n-1}{M-1}$
 $P_r(A_1|A_1) = \frac{n-1}{M-1}$
 $P_r(A_1|A_1 \cap \cdots \cap A_{n-1}) = \frac{n-(j-1)}{M-(j-1)}$

 $P_{V}\left\{X \ge \hat{A}\right\} = \frac{n}{M} \cdot \frac{n-l}{M-1} \cdots \frac{n-(l-2)}{M-(l-2)}$ $\leq \left(\frac{n}{M}\right)^{n-1} = \lambda^{n-1}$ $E(X) \leq \sum_{k=1}^{\infty} P_{V}(X \ge \hat{A}) \leq \sum_{k=1}^{\infty} \lambda^{n-1}$ $= |+\lambda + \lambda^{2} + \cdots = \frac{l}{l-\lambda}$





Run-time Analysis: Insertion

□ Corollary

Inserting an element into a linear-probing hash table with load factor λ requires at most $1/(1 - \lambda)$ probes on average, assuming uniform hashing

Proof sketch

An unsuccessful search implies that an empty cell is found, which can be used for the insertion. So the insertion should take no more than the unsuccessful search.





Run-time Analysis: Successful Search

□ Theorem

 Given a linear-probing hash table, the expected number of probes in a successful search is at most

$$\frac{1}{\lambda}\ln\left(\frac{1}{1-\lambda}\right)$$

- Assuming uniform hashing
- Assuming that each key in the table is equally likely to be search for.
- □ **Proof sketch** (CLRS p276)
 - The successful search should take place after the insertion (w.r.t. key k)
 - The successful search would follow the same probing sequence as the insertion
 - So we take the average of the probing sequence in the insertion is the average number of successful probes





Run-time analysis

The analysis shows that if we assume λ is constant, all operations are O(1) on average.

	Average	Worst
Search	O(1)	O(n)
Insert	O(1)	O(n)
Delete	O(1)	O(n)

- □ Still the analysis implicates that as λ gets bigger, the number of probes increases.
 - Q. What's the number of probes if the table is half full?
 - Q. what's the number of probes if the table is 90% full?





Run-time analysis

- \Box The analysis implies:
 - Choose *M* large enough so that we will not pass the load factor
 - This could waste memory
 - Double the number of bins if the chosen load factor is reached
 - Rehashing will be required

- Q. Would other collision resolution methods help to reduce the number of probes?
 - It won't help the asymptotic complexity, but may help for some cases
 - We will cover quadratic probing next





Quadratic Probing





Primary Clustering in Linear Probing

□ Recall Linear probing:

- Look at bins k, k + 1, k + 2, k + 3, k + 4, ...
- Linear probing causes primary clustering
- All entries follow the same search pattern for bins:

```
int initial = hash<sub>M</sub>(x);
for ( int k = 0; k < M; ++k ) {
    bin = (initial + k) % M;
    // ...
}</pre>
```





Description

 Quadratic probing suggests moving forward by different amounts

```
□ For example,

int initial = hash<sub>M</sub>(x);

for ( int k = 0; k < M; ++k ) {

    bin = (initial + k*k) % M;

}
```



Description

□ Problem:

- Will initial + k*k step through all of the bins?
- Here, the array size is 10:

```
M = 10;
initial = 5
for ( int k = 0; k <= M; ++k ) {
    std::cout << (initial + k*k) % M << ' ';
}</pre>
```

The output is

5 6 9 4 1 0 1 4 9 6 5



Description

□ Problem:

- Will initial + k*k step through all of the bins?
- Now the array size is 12:

```
M = 12;
initial = 5
for ( int k = 0; k <= M; ++k ) {
    std::cout << (initial + k*k) % M << ' ';
}</pre>
```

The output is now

5 6 9 2 9 6 5 6 9 2 9 6 5



Best in Theory: Making M Prime

□ Theorem:

If the table size is M = p a prime number and a quadratic probing is used, the first p/2 probes are distinct.

 This theorem in fact implies that at least the half of slots will be visited before the probe sequence repeats.





Best in Theory: Making M Prime

Proof by contradiction:

Suppose there is a slot, which is visited twice during the first M/2 probes. Let *i* and *j* be such two visits, where $0 \le i < j \le \frac{M}{2}$.

$$(H + i2)% M = (H + j2)%M$$

(H + j²) = (H + i²) + kM
j² = i² + kM
j² - i² = kM
(j - i)(j + i) = kM

Because *M* is prime, either (j - i) or (j + i) should have a factor *M*. In other words, either (j - i) or (j + i) should be divisible by *M*.

Case#1:
$$(j - i)$$
 is divisible by M .
From assumption, $i < j \le \frac{M}{2}$.
So $(j - i) < M$, which contradicts the case#1 constraint.

Case#2:
$$(j + i)$$
 is divisible by M .
From assumption, $i < j \le \frac{M}{2}$.
So $(j + i) < M$, which contradicts the case#2 constraint.





Best in Theory: Making M Prime

Engineering difficulties in using a prime M in practice:

- No optimized modulus operations
 - The modulus operator % is relatively slow
 - With a prime M, you cannot optimize with &, <<, or >>
- Troublesome memory management
 - Memory Fragmentation
- Doubling the number of bins is difficult:
 - You always need to find the next prime number
 - What is the next prime after 263?
 - ✓ You can't pick 2 * 263 as it's not a prime number





Generic Use

□ More generally, we could consider an approach like:

```
int initial = hash<sub>M</sub>(x);
for ( int k = 0; k < M; ++k ) {
    bin = (initial + c1*k + c2*k*k) % M;
}</pre>
```





Practical Use: $M = 2^m$ with constraints

□ If we ensure $M = 2^m$ then choose

$$c_1 = c_2 = \frac{1}{2}$$

int initial = hash_M(x);

- Note that k + k*k is always even
- This guarantees that all M entries are visited before the pattern repeats!
 - Proof sketch: Similar to the proof when *M* is prime





Practical Use: $M = 2^m$ with constraints

□ For example:

• Use an array size of 16:

```
M = 16;
initial = 5
for ( int k = 0; k <= M; ++k ) {
    std::cout << (initial + (k + k*k)/2) % M << ' ';
}</pre>
```

The output is now

```
5 6 8 11 15 4 10 1 9 2 12 7 3 0 14 <mark>13 13</mark>
```


Practical Use: $M = 2^m$ with constraints

There is an even easier means of calculating this approach

```
int bin = hash<sub>M</sub>(x);
for ( int k = 0; k < M; ++k ) {
    bin = (bin + k) % M;
}</pre>
```

• Recall that $\frac{k^2 + k}{2} = \sum_{j=0}^{k} j$, so just keep adding the next highest value





 \Box Consider a hash table with M = 16 bins

- □ Given a 2-digit hexadecimal number:
 - The least-significant digit is the primary hash function (bin)
 - Example: for $6B7A_{16}$, the initial bin is A







Insert these numbers into this initially empty hash table
 9A, 07, AD, 88, BA, 80, 4C, 26, 46, C9, 32, 7A, BF, 9C









Start with the first four values:

9A, 07, AD, 88









Start with the first four values:

9A, 07, AD, 88









□ Next we must insert BA







- □ Next we must insert BA
 - The next bin is empty









□ Next we are adding 80, 4C, 26







□ Next we are adding 80, 4C, 26

All the bins are empty—simply insert them









\Box Next, we must insert 46







□ Next, we must insert 46

- Bin 6 is occupied
- Bin 6 + 1 = 7 is occupied
- Bin 7 + 2 = 9 is empty

0	1	2	3	4	5	6	7	8	9	А	В	С	D	E	F
80						26	07	88	46	9A	BA	4C	AD		







\Box Next, we must insert C9







Next, we must insert C9

- Bin 9 is occupied
- Bin 9 + 1 = A is occupied
- Bin A + 2 = C is occupied
- Bin C + 3 = F is empty

0	1	2	3	4	5	6	7	8	9	А	В	С	D	E	F
80						26	07	88	46	9A	BA	4C	AD		C9





\square Next, we insert 32

Bin 2 is unoccupied







□ Next, we insert 7A

- Bin A is occupied
- Bins A + 1 = B, B + 2 = D and D + 3 = 0 are occupied
- Bin 0 + 4 = 4 is empty







\square Next, we insert BF

- Bin F is occupied
- Bins F + 1 = 0 and 0 + 2 = 2 are occupied
- Bin 2 + 3 = 5 is empty





- □ Finally, we insert 9C
 - Bin C is occupied
 - Bins C + 1 = D, D + 2 = F, F + 3 = 2, 2 + 4 = 6 and 6 + 5 = B are occupied
 - Bin B + 6 = 1 is empty





□ Having completed these insertions:

- The load factor is $\lambda = 14/16 = 0.875$
- The average number of probes is $32/14 \approx 2.29$







- To double the capacity of the array, each value must be rehashed
 - 80, 9C, 32, 7A, BF, 26, 07, 88 may be immediately placed
 - We use the least-significant five bits for the initial bin



- If the next least-significant digit is
 - Even, use bins 0 F
 - Odd, use bins 10 1F





- To double the capacity of the array, each value must be rehashed
 - 46 results in a collision
 - We place it in bin 9





- To double the capacity of the array, each value must be rehashed
 - 9A results in a collision
 - We place it in bin 1B





- To double the capacity of the array, each value must be rehashed
 - BA also results in a collision
 - We place it in bin 1D





- To double the capacity of the array, each value must be rehashed
 - 4C and AD don't cause collisions





- To double the capacity of the array, each value must be rehashed
 - Finally, C9 causes a collision
 - We place it in bin A





- To double the capacity of the array, each value must be rehashed
 - The load factor is $\lambda = 14/32 = 0.4375$
 - The average number of probes is $20/14 \approx 1.43$

0	1	2	3	4	5	6	7	8	9	А	В	С	D	Е	F	10	11	12	13	14	15	16	17	18	19	1A	1B	1C	1D	1E	1F
80						26	07	88	46	C9		4C	AD					32								7A	9A	9C	BA		BF



Run-time Analysis

 To summarize, quadratic probing shows the same asymptotic complexity as linear probing.

	Average	Worst					
Search	O(1)	O(n)					
Insert	O(1)	O(n)					
Delete	O(1)	O(n)					



Secondary clustering

Advantage of quadratic probing over linear probing

Quadratic probing avoids primary clustering

One weakness with quadratic problem

- Objects initially placed in the same bin will follow the same sequence
- It forms yet another clustering, so called the secondary clustering
- Q. how would you solve this problem?

References

- [1] Wikipedia, http://en.wikipedia.org/wiki/Hash_function
- [2] Cormen, Leiserson, and Rivest, Introduction to Algorithms, McGraw Hill, 1990.
- [3] Weiss, Data Structures and Algorithm Analysis in C++, 3rd Ed., Addison Wesley.





Reading Assignment #4 – Chapter 5 and 6

Quiz #3: 11/30 (4-5 questions, 50 mins, Lecture will follow)





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