### Dictionary:

- **S.** insert(x): Insert an element x.
- S. delete(x): Delete the element pointed to by x.
- S. search(k): Return a pointer to an element e with key[e] = k in S if it exists; otherwise return null.

### Dictionary:

- **S.** insert(x): Insert an element x.
- S. delete(x): Delete the element pointed to by x.
- ▶ *S.* search(k): Return a pointer to an element e with key[e] = k in S if it exists; otherwise return null.

So far we have implemented the search for a key by carefully choosing split-elements.

### Dictionary:

- **S.** insert(x): Insert an element x.
- S. delete(x): Delete the element pointed to by x.
- ▶ *S.* search(k): Return a pointer to an element e with key[e] = k in S if it exists; otherwise return null.

So far we have implemented the search for a key by carefully choosing split-elements.

Then the memory location of an object x with key k is determined by successively comparing k to split-elements.

### Dictionary:

- S. insert(x): Insert an element x.
- S. delete(x): Delete the element pointed to by x.
- ▶ *S.* search(k): Return a pointer to an element e with key[e] = k in S if it exists; otherwise return null.

So far we have implemented the search for a key by carefully choosing split-elements.

Then the memory location of an object x with key k is determined by successively comparing k to split-elements.

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

#### **Definitions:**

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

#### **Definitions:**

- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .

#### **Definitions:**

- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .
- Array T[0, ..., n-1] hash-table.

#### **Definitions:**

- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .
- Array  $T[0,\ldots,n-1]$  hash-table.
- ► Hash function  $h: U \rightarrow [0, ..., n-1]$ .

#### **Definitions:**

- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .
- Array  $T[0,\ldots,n-1]$  hash-table.
- ► Hash function  $h: U \rightarrow [0, ..., n-1]$ .

### The hash-function h should fulfill:

#### **Definitions:**

- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .
- Array  $T[0,\ldots,n-1]$  hash-table.
- ► Hash function  $h: U \rightarrow [0, ..., n-1]$ .

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

Fast to evaluate.

#### **Definitions:**

- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .
- Array  $T[0, \ldots, n-1]$  hash-table.
- ► Hash function  $h: U \rightarrow [0, ..., n-1]$ .

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

- Fast to evaluate.
- Small storage requirement.

#### **Definitions:**

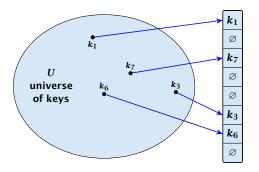
- ▶ Universe U of keys, e.g.,  $U \subseteq \mathbb{N}_0$ . U very large.
- ▶ Set  $S \subseteq U$  of keys,  $|S| = m \le |U|$ .
- Array  $T[0,\ldots,n-1]$  hash-table.
- ► Hash function  $h: U \rightarrow [0, ..., n-1]$ .

### The hash-function h should fulfill:

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

# **Direct Addressing**

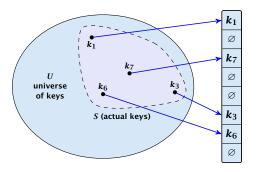
Ideally the hash function maps all keys to different memory locations.



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.

14. Jan. 2024

251/330

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.

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.

**Problem: Collisions** 

Usually the universe U is much larger than the table-size n.

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.

#### **Problem: Collisions**

Usually the universe U is much larger than the table-size n.

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  $|S| \ge \omega(\sqrt{n})$ .

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

#### Lemma 20

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

$$1 - e^{-\frac{m(m-1)}{2n}} \approx 1 - e^{-\frac{m^2}{2n}}$$
.

14. Jan. 2024

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

#### Lemma 20

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

$$1 - e^{-\frac{m(m-1)}{2n}} \approx 1 - e^{-\frac{m^2}{2n}} .$$

## **Uniform hashing:**

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



14. Jan. 2024

#### Proof.

#### Proof.

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

 $Pr[A_{m,n}]$ 

#### Proof.

$$\Pr[A_{m,n}] = \prod_{\ell=1}^{m} \frac{n-\ell+1}{n}$$

#### Proof.

$$\Pr[A_{m,n}] = \prod_{\ell=1}^{m} \frac{n-\ell+1}{n} = \prod_{j=0}^{m-1} \left(1 - \frac{j}{n}\right)$$

#### Proof.

$$\Pr[A_{m,n}] = \prod_{\ell=1}^{m} \frac{n-\ell+1}{n} = \prod_{j=0}^{m-1} \left(1 - \frac{j}{n}\right)$$

$$\leq \prod_{j=0}^{m-1} e^{-j/n}$$

#### Proof.

$$\Pr[A_{m,n}] = \prod_{\ell=1}^{m} \frac{n-\ell+1}{n} = \prod_{j=0}^{m-1} \left(1 - \frac{j}{n}\right)$$

$$\leq \prod_{j=0}^{m-1} e^{-j/n} = e^{-\sum_{j=0}^{m-1} \frac{j}{n}}$$

#### Proof.

$$\Pr[A_{m,n}] = \prod_{\ell=1}^{m} \frac{n-\ell+1}{n} = \prod_{j=0}^{m-1} \left(1 - \frac{j}{n}\right)$$

$$\leq \prod_{j=0}^{m-1} e^{-j/n} = e^{-\sum_{j=0}^{m-1} \frac{j}{n}} = e^{-\frac{m(m-1)}{2n}}.$$

#### Proof.

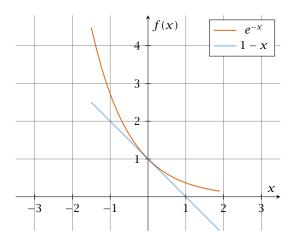
Let  $A_{m,n}$  denote the event that inserting m keys into a table of size n does not generate a collision. Then

$$\Pr[A_{m,n}] = \prod_{\ell=1}^{m} \frac{n-\ell+1}{n} = \prod_{j=0}^{m-1} \left(1 - \frac{j}{n}\right)$$

$$\leq \prod_{j=0}^{m-1} e^{-j/n} = e^{-\sum_{j=0}^{m-1} \frac{j}{n}} = e^{-\frac{m(m-1)}{2n}}.$$

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.

14. Jan. 2024



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



# **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.

# **Resolving Collisions**

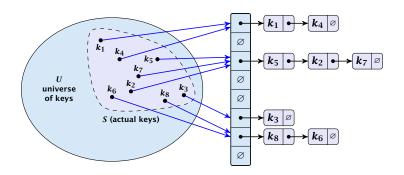
The methods for dealing with collisions can be classified into the two main types

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

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.



Let A denote a strategy for resolving collisions. We use the following notation:

Let A denote a strategy for resolving collisions. We use the following notation:

►  $A^+$  denotes the average time for a **successful** search when using A;

Let A denote a strategy for resolving collisions. We use the following notation:

- ►  $A^+$  denotes the average time for a **successful** search when using A;
- ▶  $A^-$  denotes the average time for an **unsuccessful** search when using A;

Let A denote a strategy for resolving collisions. We use the following notation:

- A<sup>+</sup> denotes the average time for a successful search when using A;
- $A^-$  denotes the average time for an **unsuccessful** search when using A;
- We parameterize the complexity results in terms of  $\alpha := \frac{m}{n}$ , the so-called fill factor of the hash-table.

Let A denote a strategy for resolving collisions. We use the following notation:

- A<sup>+</sup> denotes the average time for a successful search when using A;
- $A^-$  denotes the average time for an **unsuccessful** search when using A;
- We parameterize the complexity results in terms of  $\alpha := \frac{m}{n}$ , the so-called fill factor of the hash-table.

We assume uniform hashing for the following analysis.

14. Jan. 2024

258/330

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

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  $\alpha = \frac{m}{n}$ .

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

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

For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

260/330

For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

This is 1 plus the number of elements that lie before k in k's list.

260/330

For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

This is 1 plus the number of elements that lie before k in k's list.

Let  $k_{\ell}$  denote the  $\ell$ -th key inserted into the table.

For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

This is 1 plus the number of elements that lie before k in k's list.

Let  $k_{\ell}$  denote the  $\ell$ -th key inserted into the table.

Let for two keys  $k_i$  and  $k_j$ ,  $X_{ij}$  denote the indicator variable for the event that  $k_i$  and  $k_j$  hash to the same position. Clearly,  $\Pr[X_{ij}=1]=1/n$  for uniform hashing.

For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

This is 1 plus the number of elements that lie before k in k's list.

Let  $k_{\ell}$  denote the  $\ell$ -th key inserted into the table.

Let for two keys  $k_i$  and  $k_j$ ,  $X_{ij}$  denote the indicator variable for the event that  $k_i$  and  $k_j$  hash to the same position. Clearly,  $\Pr[X_{ij}=1]=1/n$  for uniform hashing.

The expected successful search cost is

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right]$$



14. Jan. 2024

For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

This is 1 plus the number of elements that lie before k in k's list.

Let  $k_{\ell}$  denote the  $\ell$ -th key inserted into the table.

Let for two keys  $k_i$  and  $k_j$ ,  $X_{ij}$  denote the indicator variable for the event that  $k_i$  and  $k_j$  hash to the same position. Clearly,  $\Pr[X_{ij}=1]=1/n$  for uniform hashing.

The expected successful search cost is

 $\mathrm{E}\left[rac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}
ight)
ight]$ 



For a successful search observe that we do **not** choose a list at random, but we consider a random key k in the hash-table and ask for the search-time for k.

This is 1 plus the number of elements that lie before k in k's list.

Let  $k_{\ell}$  denote the  $\ell$ -th key inserted into the table.

Let for two keys  $k_i$  and  $k_j$ ,  $X_{ij}$  denote the indicator variable for the event that  $k_i$  and  $k_j$  hash to the same position. Clearly,  $\Pr[X_{ij}=1]=1/n$  for uniform hashing.

The expected successful search cost is

$$\mathbb{E}\left[rac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}
ight)
ight] \cos t$$
 for key  $k_i$ 

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right]$$

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right] = \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}E\left[X_{ij}\right]\right)$$

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right] = \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}E\left[X_{ij}\right]\right)$$
$$=\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}\frac{1}{n}\right)$$

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right] = \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}E\left[X_{ij}\right]\right)$$
$$=\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}\frac{1}{n}\right)$$
$$=1+\frac{1}{mn}\sum_{i=1}^{m}(m-i)$$

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right] = \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}E\left[X_{ij}\right]\right)$$

$$=\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}\frac{1}{n}\right)$$

$$=1+\frac{1}{mn}\sum_{i=1}^{m}(m-i)$$

$$=1+\frac{1}{mn}\left(m^{2}-\frac{m(m+1)}{2}\right)$$

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right] = \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}E\left[X_{ij}\right]\right)$$

$$= \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}\frac{1}{n}\right)$$

$$= 1+\frac{1}{mn}\sum_{i=1}^{m}(m-i)$$

$$= 1+\frac{1}{mn}\left(m^{2}-\frac{m(m+1)}{2}\right)$$

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

$$E\left[\frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}X_{ij}\right)\right] = \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}E\left[X_{ij}\right]\right)$$

$$= \frac{1}{m}\sum_{i=1}^{m}\left(1+\sum_{j=i+1}^{m}\frac{1}{n}\right)$$

$$= 1+\frac{1}{mn}\sum_{i=1}^{m}(m-i)$$

$$= 1+\frac{1}{mn}\left(m^{2}-\frac{m(m+1)}{2}\right)$$

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

$$\begin{split} \mathbf{E} \left[ \frac{1}{m} \sum_{i=1}^{m} \left( 1 + \sum_{j=i+1}^{m} X_{ij} \right) \right] &= \frac{1}{m} \sum_{i=1}^{m} \left( 1 + \sum_{j=i+1}^{m} \mathbf{E} \left[ X_{ij} \right] \right) \\ &= \frac{1}{m} \sum_{i=1}^{m} \left( 1 + \sum_{j=i+1}^{m} \frac{1}{n} \right) \\ &= 1 + \frac{1}{mn} \sum_{i=1}^{m} (m-i) \\ &= 1 + \frac{1}{mn} \left( m^2 - \frac{m(m+1)}{2} \right) \\ &= 1 + \frac{m-1}{2n} = 1 + \frac{\alpha}{2} - \frac{\alpha}{2m} \end{split} .$$

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.

All objects are stored in the table itself.

All objects are stored in the table itself.

Define a function h(k, j) that determines the table-position to be examined in the j-th step. The values  $h(k, 0), \ldots, h(k, n-1)$  must form a permutation of  $0, \ldots, n-1$ .

All objects are stored in the table itself.

Define a function h(k, j) that determines the table-position to be examined in the j-th step. The values  $h(k,0),\ldots,h(k,n-1)$ must form a permutation of  $0, \ldots, n-1$ .

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

All objects are stored in the table itself.

Define a function h(k,j) that determines the table-position to be examined in the j-th step. The values  $h(k,0),\ldots,h(k,n-1)$  must form a permutation of  $0,\ldots,n-1$ .

**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).
```

#### Choices for h(k, j):

Linear probing:

$$h(k,i) = h(k) + i \mod n$$
  
(sometimes:  $h(k,i) = h(k) + ci \mod n$ ).

Quadratic probing:

$$h(k, i) = h(k) + c_1 i + c_2 i^2 \mod n$$
.

#### Choices for h(k, j):

Linear probing:

$$h(k,i) = h(k) + i \mod n$$
  
(sometimes:  $h(k,i) = h(k) + ci \mod n$ ).

Quadratic probing:

$$h(k, i) = h(k) + c_1 i + c_2 i^2 \mod n.$$

Double hashing:

$$h(k,i) = h_1(k) + ih_2(k) \mod n$$
.

#### Choices for h(k, j):

Linear probing:

```
h(k,i) = h(k) + i \mod n
(sometimes: h(k,i) = h(k) + ci \mod n).
```

Quadratic probing:  $h(k, i) = h(k) + c_1 i + c_2 i^2 \mod n$ .

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).

14. Jan. 2024

264/330

#### **Linear Probing**

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

#### **Linear Probing**

- Advantage: Cache-efficiency. The new probe position is very likely to be in the cache.
- Disadvantage: Primary clustering. Long sequences of occupied table-positions get longer as they have a larger probability to be hit. Furthermore, they can merge forming larger sequences.

## **Linear Probing**

- Advantage: Cache-efficiency. The new probe position is very likely to be in the cache.
- Disadvantage: Primary clustering. Long sequences of occupied table-positions get longer as they have a larger probability to be hit. Furthermore, they can merge forming larger sequences.

#### Lemma 21

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

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

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



#### **Quadratic Probing**

- Not as cache-efficient as Linear Probing.
- Secondary clustering: caused by the fact that all keys mapped to the same position have the same probe sequence.

266/330

## **Quadratic Probing**

- Not as cache-efficient as Linear Probing.
- Secondary clustering: caused by the fact that all keys mapped to the same position have the same probe sequence.

#### Lemma 22

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

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

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

#### **Double Hashing**

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

# **Double Hashing**

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

#### Lemma 23

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

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

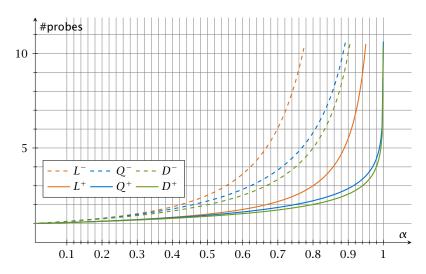
$$D^- \approx \frac{1}{1-\alpha}$$

### **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**





7.7 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).

Let X denote a random variable describing the number of probes in an unsuccessful search.

Let X denote a random variable describing the number of probes in an unsuccessful search.

$$Pr[A_1 \cap A_2 \cap \cdots \cap A_{i-1}]$$

Let X denote a random variable describing the number of probes in an unsuccessful search.

$$Pr[A_1 \cap A_2 \cap \cdots \cap A_{i-1}]$$

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

Let X denote a random variable describing the number of probes in an unsuccessful search.

$$Pr[A_1 \cap A_2 \cap \cdots \cap A_{i-1}]$$

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

$$\Pr[X \ge i]$$

Let X denote a random variable describing the number of probes in an unsuccessful search.

$$Pr[A_1 \cap A_2 \cap \cdots \cap A_{i-1}]$$

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

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

Let X denote a random variable describing the number of probes in an unsuccessful search.

$$Pr[A_1 \cap A_2 \cap \cdots \cap A_{i-1}]$$

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

$$\Pr[X \ge i] = \frac{m}{n} \cdot \frac{m-1}{n-1} \cdot \frac{m-2}{n-2} \cdot \dots \cdot \frac{m-i+2}{n-i+2}$$
$$\le \left(\frac{m}{n}\right)^{i-1}$$

Let X denote a random variable describing the number of probes in an unsuccessful search.

$$Pr[A_1 \cap A_2 \cap \cdots \cap A_{i-1}]$$

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

$$\Pr[X \ge i] = \frac{m}{n} \cdot \frac{m-1}{n-1} \cdot \frac{m-2}{n-2} \cdot \dots \cdot \frac{m-i+2}{n-i+2}$$
$$\le \left(\frac{m}{n}\right)^{i-1} = \alpha^{i-1} .$$

E[X]

$$E[X] = \sum_{i=1}^{\infty} \Pr[X \ge i]$$

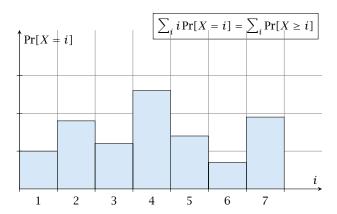
$$E[X] = \sum_{i=1}^{\infty} \Pr[X \ge i] \le \sum_{i=1}^{\infty} \alpha^{i-1}$$

$$E[X] = \sum_{i=1}^{\infty} \Pr[X \ge i] \le \sum_{i=1}^{\infty} \alpha^{i-1} = \sum_{i=0}^{\infty} \alpha^{i}$$

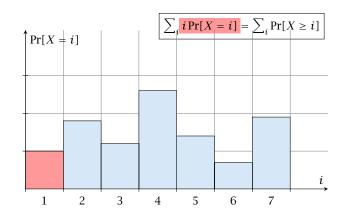
$$E[X] = \sum_{i=1}^{\infty} \Pr[X \ge i] \le \sum_{i=1}^{\infty} \alpha^{i-1} = \sum_{i=0}^{\infty} \alpha^{i} = \frac{1}{1-\alpha}.$$

$$E[X] = \sum_{i=1}^{\infty} \Pr[X \ge i] \le \sum_{i=1}^{\infty} \alpha^{i-1} = \sum_{i=0}^{\infty} \alpha^{i} = \frac{1}{1-\alpha}.$$

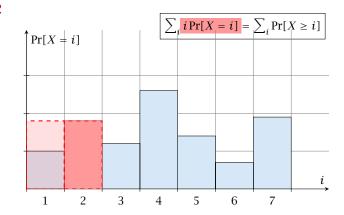
$$\frac{1}{1-\alpha}=1+\alpha+\alpha^2+\alpha^3+\dots$$



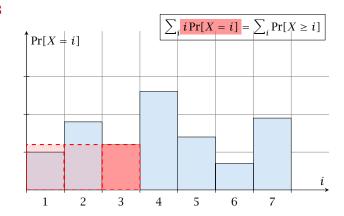
$$i = 1$$



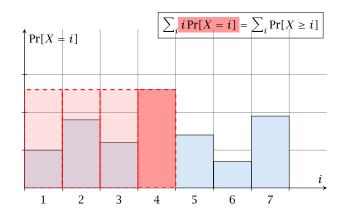
$$i = 2$$



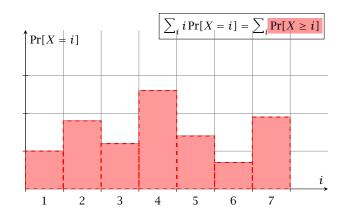
$$i = 3$$



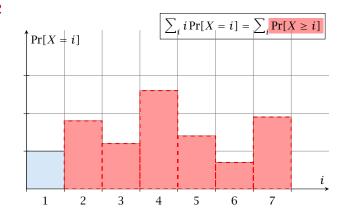
$$i = 4$$



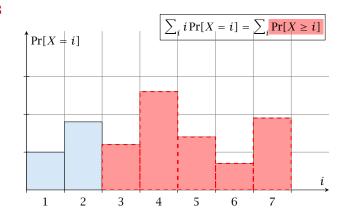




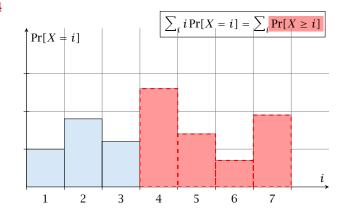
$$i = 2$$

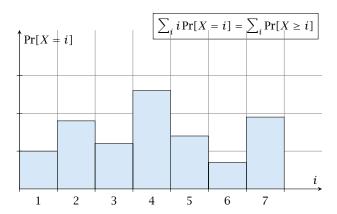


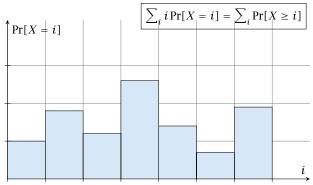
$$i = 3$$



$$i = 4$$







The j-th rectangle<sup>2</sup> appears in both sums j<sup>6</sup> times. (j times in the first due to multiplication with j; and j times in the second for summands i = 1, 2, ..., j)

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n} = \frac{n}{n-i}$ .

274/330

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n}=\frac{n}{n-i}$ .

$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i}$$

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n}=\frac{n}{n-i}$ .

$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i} = \frac{n}{m} \sum_{i=0}^{m-1} \frac{1}{n-i}$$

14. Jan. 2024

274/330

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n} = \frac{n}{n-i}$ .

$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i} = \frac{n}{m} \sum_{i=0}^{m-1} \frac{1}{n-i} = \frac{1}{\alpha} \sum_{k=n-m+1}^{n} \frac{1}{k}$$

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n}=\frac{n}{n-i}$ .

$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i} = \frac{n}{m} \sum_{i=0}^{m-1} \frac{1}{n-i} = \frac{1}{\alpha} \sum_{k=n-m+1}^{n} \frac{1}{k}$$

$$\leq \frac{1}{\alpha} \int_{n-m}^{n} \frac{1}{x} dx$$

The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n}=\frac{n}{n-i}$ .

$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i} = \frac{n}{m} \sum_{i=0}^{m-1} \frac{1}{n-i} = \frac{1}{\alpha} \sum_{k=n-m+1}^{n} \frac{1}{k}$$

$$\leq \frac{1}{\alpha} \int_{n-m}^{n} \frac{1}{x} dx = \frac{1}{\alpha} \ln \frac{n}{n-m}$$

# **Analysis of Idealized Open Address Hashing**

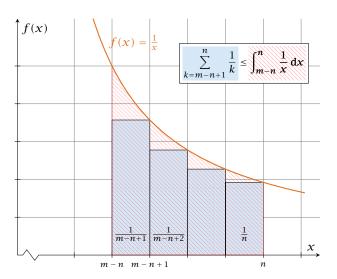
The number of probes in a successful search for k is equal to the number of probes made in an unsuccessful search for k at the time that k is inserted.

Let k be the i+1-st element. The expected time for a search for k is at most  $\frac{1}{1-i/n}=\frac{n}{n-i}$ .

$$\frac{1}{m} \sum_{i=0}^{m-1} \frac{n}{n-i} = \frac{n}{m} \sum_{i=0}^{m-1} \frac{1}{n-i} = \frac{1}{\alpha} \sum_{k=n-m+1}^{n} \frac{1}{k}$$

$$\leq \frac{1}{\alpha} \int_{n-m}^{n} \frac{1}{x} dx = \frac{1}{\alpha} \ln \frac{n}{n-m} = \frac{1}{\alpha} \ln \frac{1}{1-\alpha} .$$

# **Analysis of Idealized Open Address Hashing**



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

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

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

- 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.

276/330

Simply removing a key might interrupt the probe sequence of other keys which then cannot be found anymore.

277/330

- Simply removing a key might interrupt the probe sequence of other keys which then cannot be found anymore.
- One can delete an element by replacing it with a deleted-marker.

- Simply removing a key might interrupt the probe sequence of other keys which then cannot be found anymore.
- One can delete an element by replacing it with a deleted-marker.
  - During an insertion if a deleted-marker is encountered an element can be inserted there.

**7.7 Hashing** 14. Jan. 2024

277/330

- Simply removing a key might interrupt the probe sequence of other keys which then cannot be found anymore.
- One can delete an element by replacing it with a deleted-marker.
  - 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.

- Simply removing a key might interrupt the probe sequence of other keys which then cannot be found anymore.
- One can delete an element by replacing it with a deleted-marker.
  - 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.

14. Jan. 2024

- Simply removing a key might interrupt the probe sequence of other keys which then cannot be found anymore.
- One can delete an element by replacing it with a deleted-marker.
  - 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.

# Algorithm 37 delete(p) 1: $T[p] \leftarrow \text{null}$ 2: $p \leftarrow \text{succ}(p)$ 3: while $T[p] \neq \text{null do}$ 4: $y \leftarrow T[p]$ 5: $T[p] \leftarrow \text{null}$ 6: $p \leftarrow \text{succ}(p)$ 7: insert(y)

p is the index into the table-cell that contains the object to be deleted.

# Algorithm 37 delete(p) 1: $T[p] \leftarrow \text{null}$ 2: $p \leftarrow \text{succ}(p)$ 3: while $T[p] \neq \text{null do}$ 4: $y \leftarrow T[p]$ 5: $T[p] \leftarrow \text{null}$ 6: $p \leftarrow \text{succ}(p)$ 7: insert(y)

p is the index into the table-cell that contains the object to be deleted.

Pointers into the hash-table become invalid.



Regardless, of the choice of hash-function there is always an input (a set of keys) that has a very poor worst-case behaviour.

Regardless, of the choice of hash-function there is always an input (a set of keys) that has a very poor worst-case behaviour.

Therefore, so far we assumed that the hash-function is random so that regardless of the input the average case behaviour is good.

Regardless, of the choice of hash-function there is always an input (a set of keys) that has a very poor worst-case behaviour.

Therefore, so far we assumed that the hash-function is random so that regardless of the input the average case behaviour is good.

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

14. Jan. 2024 280/330

Regardless, of the choice of hash-function there is always an input (a set of keys) that has a very poor worst-case behaviour.

Therefore, so far we assumed that the hash-function is random so that regardless of the input the average case behaviour is good.

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

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  $\mathcal H$ .



14. Jan. 2024

#### **Definition 24**

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

$$\Pr[h(u_1) = h(u_2)] \le \frac{1}{n}$$
,

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

#### **Definition 24**

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

$$\Pr[h(u_1) = h(u_2)] \le \frac{1}{n}$$
,

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

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

#### **Definition 25**

A class  $\mathcal H$  of hash-functions from the universe U into the set  $\{0,\dots,n-1\}$  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  $u_1, u_2 \in U$  with  $u_1 \neq u_2$ , and for any two hash-positions  $t_1, t_2$ :

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

#### **Definition 25**

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  $u_1, u_2 \in U$  with  $u_1 \neq u_2$ , and for any two hash-positions  $t_1, t_2$ :

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

This requirement clearly implies a universal hash-function.



14. Jan. 2024

#### **Definition 26**

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

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

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

#### **Definition 27**

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  $t_1,\ldots,t_\ell$ :

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

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



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

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

Define

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

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

Define

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

#### Lemma 28

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  $\{0, \ldots, n-1\}$ .

#### Proof.

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

### Proof.

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

 $ax + b \not\equiv ay + b \pmod{p}$ 

### Proof.

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

 $ax + b \not\equiv ay + b \pmod{p}$ 

If  $x \neq y$  then  $(x - y) \not\equiv 0 \pmod{p}$ .

#### Proof.

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

 $ax + b \not\equiv ay + b \pmod{p}$ 

If 
$$x \neq y$$
 then  $(x - y) \not\equiv 0 \pmod{p}$ .

Multiplying with  $a \not\equiv 0 \pmod{p}$  gives

$$a(x - y) \not\equiv 0 \pmod{p}$$

#### Proof.

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

 $ax + b \not\equiv ay + b \pmod{p}$ 

If 
$$x \neq y$$
 then  $(x - y) \not\equiv 0 \pmod{p}$ .

Multiplying with  $a \not\equiv 0 \pmod{p}$  gives

$$a(x - y) \not\equiv 0 \pmod{p}$$

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  $\pmod{n}$ -operation. Furthermore, every choice (a,b) is mapped to a different pair  $(t_x,t_y)$  with  $t_x:=ax+b$  and  $t_y:=ay+b$ .

The hash-function does not generate collisions before the  $\pmod{n}$ -operation. Furthermore, every choice (a,b) is mapped to a different pair  $(t_x,t_y)$  with  $t_x:=ax+b$  and  $t_y:=ay+b$ .

This holds because we can compute a and b when given  $t_x$  and  $t_y$ :

The hash-function does not generate collisions before the  $\pmod{n}$ -operation. Furthermore, every choice (a,b) is mapped to a different pair  $(t_x,t_y)$  with  $t_x:=ax+b$  and  $t_y:=ay+b$ .

This holds because we can compute a and b when given  $t_x$  and  $t_y$ :

$$t_X \equiv ax + b \pmod{p}$$
  
 $t_Y \equiv ay + b \pmod{p}$ 

▶ The hash-function does not generate collisions before the  $\pmod{n}$ -operation. Furthermore, every choice (a,b) is mapped to a different pair  $(t_x,t_y)$  with  $t_x:=ax+b$  and  $t_y:=ay+b$ .

This holds because we can compute a and b when given  $t_x$  and  $t_y$ :

$$t_{x} \equiv ax + b \qquad (\text{mod } p)$$

$$t_{y} \equiv ay + b \qquad (\text{mod } p)$$

$$t_{x} - t_{y} \equiv a(x - y) \qquad (\text{mod } p)$$

$$t_{y} \equiv ay + b \qquad (\text{mod } p)$$

The hash-function does not generate collisions before the  $\pmod{n}$ -operation. Furthermore, every choice (a,b) is mapped to a different pair  $(t_x,t_y)$  with  $t_x:=ax+b$  and  $t_y:=ay+b$ .

This holds because we can compute a and b when given  $t_{\chi}$  and  $t_{\gamma}$ :

$$t_{x} \equiv ax + b \qquad (\text{mod } p)$$

$$t_{y} \equiv ay + b \qquad (\text{mod } p)$$

$$t_{x} - t_{y} \equiv a(x - y) \qquad (\text{mod } p)$$

$$t_{y} \equiv ay + b \qquad (\text{mod } p)$$

$$a \equiv (t_{x} - t_{y})(x - y)^{-1} \qquad (\text{mod } p)$$

$$b \equiv t_{y} - ay \qquad (\text{mod } p)$$

There is a one-to-one correspondence between hash-functions (pairs (a, b),  $a \ne 0$ ) and pairs  $(t_x, t_y)$ ,  $t_x \ne t_y$ .

There is a one-to-one correspondence between hash-functions (pairs (a, b),  $a \ne 0$ ) and pairs  $(t_x, t_y)$ ,  $t_x \ne t_y$ .

Therefore, we can view the first step (before the  $\operatorname{mod} n$ operation) as choosing a pair  $(t_x, t_y)$ ,  $t_x \neq t_y$  uniformly at
random.

There is a one-to-one correspondence between hash-functions (pairs (a, b),  $a \ne 0$ ) and pairs  $(t_x, t_y)$ ,  $t_x \ne t_y$ .

Therefore, we can view the first step (before the mod n-operation) as choosing a pair  $(t_x, t_y)$ ,  $t_x \neq t_y$  uniformly at random.

What happens when we do the mod n operation?

There is a one-to-one correspondence between hash-functions (pairs (a, b),  $a \ne 0$ ) and pairs  $(t_x, t_y)$ ,  $t_x \ne t_y$ .

Therefore, we can view the first step (before the mod noperation) as choosing a pair  $(t_x, t_y)$ ,  $t_x \neq t_y$  uniformly at random.

What happens when we do the mod n operation?

Fix a value  $t_x$ . There are p-1 possible values for choosing  $t_y$ .

There is a one-to-one correspondence between hash-functions (pairs (a, b),  $a \ne 0$ ) and pairs  $(t_x, t_y)$ ,  $t_x \ne t_y$ .

Therefore, we can view the first step (before the  $\operatorname{mod} n$ operation) as choosing a pair  $(t_x, t_y)$ ,  $t_x \neq t_y$  uniformly at
random.

What happens when we do the mod n operation?

Fix a value  $t_x$ . There are p-1 possible values for choosing  $t_y$ .

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.

As  $t_y \neq t_x$  there are

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

As  $t_y \neq t_x$  there are

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

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

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

As  $t_y \neq t_x$  there are

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

possibilities for choosing  $t_y$  such that the final hash-value creates a collision.

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

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

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

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

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

$$\Pr_{t_{\mathcal{X}} \neq t_{\mathcal{Y}} \in \mathbb{Z}_p^2} \left[ \begin{array}{c} t_{\mathcal{X}} \bmod n = h_1 \\ t_{\mathcal{Y}} \bmod n = h_2 \end{array} \right]$$

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

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

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

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

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  $\lceil \frac{p}{n} \rceil$ .

14. Jan. 2024

#### **Definition 29**

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  $x \in \{0, \dots, q-1\}$ 

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

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  $a_d \neq 0$ .

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

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

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

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

The polynomial is defined by d+1 distinct points.

Fix  $\ell \leq d+1$ ; 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  $\ell \leq d+1$ ; 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  $A^{\ell} = \{h_{\bar{a}} \in \mathcal{H} \mid h_{\bar{a}}(x_i) = t_i \text{ for all } i \in \{1, \dots, \ell\}\}$ 

Fix  $\ell \leq d+1$ ; 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 
$$A^{\ell}=\{h_{\bar{a}}\in\mathcal{H}\mid h_{\bar{a}}(x_i)=t_i \text{ for all } i\in\{1,\ldots,\ell\}\}$$
  
Then

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

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

Fix  $\ell \leq d+1$ ; 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 
$$A^{\ell} = \{h_{\bar{a}} \in \mathcal{H} \mid h_{\bar{a}}(x_i) = t_i \text{ for all } i \in \{1, \dots, \ell\} \}$$
  
Then 
$$h_{\bar{a}} \in A^{\ell} \Leftrightarrow h_{\bar{a}} = f_{\bar{a}} \bmod n \text{ and}$$

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

In order to obtain the cardinality of  $A^{\ell}$  we choose our polynomial by fixing d+1 points.

Fix  $\ell \leq d+1$ ; 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 
$$A^{\ell} = \{h_{\bar{a}} \in \mathcal{H} \mid h_{\bar{a}}(x_i) = t_i \text{ for all } i \in \{1, \dots, \ell\} \}$$
  
Then 
$$h_{\bar{a}} \in A^{\ell} \Leftrightarrow h_{\bar{a}} = f_{\bar{a}} \bmod n \text{ and}$$

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

In order to obtain the cardinality of  $A^{\ell}$  we choose our polynomial by fixing d+1 points.

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

Fix  $\ell \leq d+1$ ; 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 
$$A^{\ell} = \{h_{\tilde{a}} \in \mathcal{H} \mid h_{\tilde{a}}(x_i) = t_i \text{ for all } i \in \{1, \dots, \ell\}\}$$
  
Then

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

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

In order to obtain the cardinality of  $A^\ell$  we choose our polynomial by fixing d+1 points.

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.

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

Therefore we have

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

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  $h_{ ilde{a}}$  from  $A_{\ell}$  is only

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

### **Universal Hashing**

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

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

# **Universal Hashing**

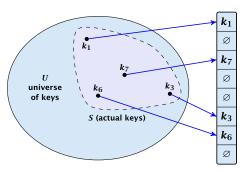
Therefore the probability of choosing  $h_{ ilde{a}}$  from  $A_{\ell}$  is only

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

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

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

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.



14. Jan. 2024

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

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

Using a universal hash-function the expected number of collisions is

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

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

Using a universal hash-function the expected number of collisions is

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

If we choose  $n=m^2$  the expected number of collisions is strictly less than  $\frac{1}{2}$ .

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

Using a universal hash-function the expected number of collisions is

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

If we choose  $n=m^2$  the expected number of collisions is strictly less than  $\frac{1}{2}$ .

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

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

Using a universal hash-function the expected number of collisions is

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

If we choose  $n=m^2$  the expected number of collisions is strictly less than  $\frac{1}{2}$ .

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  $\frac{1}{2}$ .



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

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

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

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

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

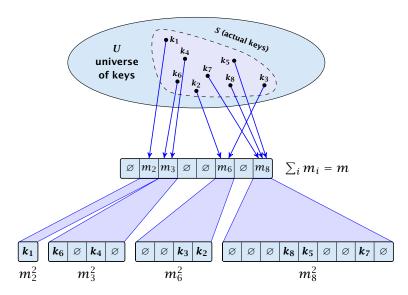
We construct a two-level scheme. We first use a hash-function that maps elements from  ${\cal S}$  to  ${\cal m}$  buckets.

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

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.





7.7 Hashing 14. Jan. 2024

299/330

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.

$$\mathbb{E}\left[\sum_{j}m_{j}^{2}\right]$$

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.

$$E\left[\sum_{j} m_{j}^{2}\right] = E\left[2\sum_{j} {m_{j} \choose 2} + \sum_{j} m_{j}\right]$$

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.

$$E\left[\sum_{j} m_{j}^{2}\right] = E\left[2\sum_{j} {m_{j} \choose 2} + \sum_{j} m_{j}\right]$$
$$= 2E\left[\sum_{j} {m_{j} \choose 2}\right] + E\left[\sum_{j} m_{j}\right]$$

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

$$E\left[\sum_{j} m_{j}^{2}\right] = E\left[2\sum_{j} {m_{j} \choose 2} + \sum_{j} m_{j}\right]$$
$$= 2E\left[\sum_{j} {m_{j} \choose 2}\right] + E\left[\sum_{j} m_{j}\right]$$

The first expectation is simply the expected number of collisions, for the first level. Since we use universal hashing we have

7.7 Hashing 14. lan. 2024

300/330

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.

$$E\left[\sum_{j} m_{j}^{2}\right] = E\left[2\sum_{j} {m_{j} \choose 2} + \sum_{j} m_{j}\right]$$
$$= 2E\left[\sum_{j} {m_{j} \choose 2}\right] + E\left[\sum_{j} m_{j}\right]$$

The first expectation is simply the expected number of collisions, for the first level. Since we use universal hashing we have

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

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!!!

#### Goal:

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

#### Goal:

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

► Two hash-tables  $T_1[0,...,n-1]$  and  $T_2[0,...,n-1]$ , with hash-functions  $h_1$ , and  $h_2$ .

#### Goal:

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

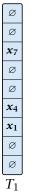
- ▶ Two hash-tables  $T_1[0,...,n-1]$  and  $T_2[0,...,n-1]$ , with hash-functions  $h_1$ , and  $h_2$ .
- ▶ An object x is either stored at location  $T_1[h_1(x)]$  or  $T_2[h_2(x)]$ .

#### Goal:

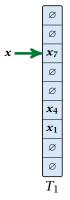
Try to generate a hash-table with constant worst-case search time in a dynamic scenario.

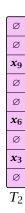
- ▶ Two hash-tables  $T_1[0,...,n-1]$  and  $T_2[0,...,n-1]$ , with hash-functions  $h_1$ , and  $h_2$ .
- An object x is either stored at location  $T_1[h_1(x)]$  or  $T_2[h_2(x)]$ .
- ► A search clearly takes constant time if the above constraint is met.

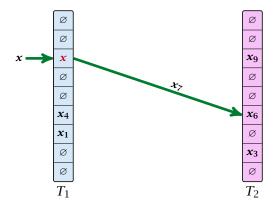
#### Insert:

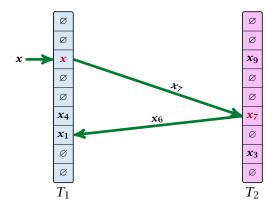


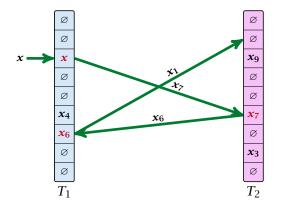
Ø Ø  $x_9$ Ø Ø  $x_6$ Ø  $\boldsymbol{x}_3$  $T_2$ 











### **Algorithm 38** Cuckoo-Insert(x)

```
1: if T_1[h_1(x)] = x \vee 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 = \text{null} then return

6: exchange x and T_2[h_2(x)]

7: if x = \text{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.

- ▶ We call one iteration through the while-loop a step of the algorithm.
- We call a sequence of iterations through the while-loop without the termination condition becoming true a phase of the algorithm.

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

What is the expected time for an insert-operation?

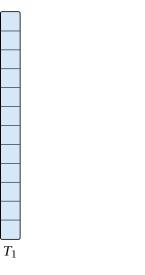
#### What is the expected time for an insert-operation?

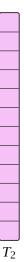
We first analyze the probability that we end-up in an infinite loop (that is then terminated after maxsteps steps).

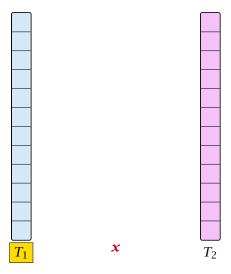
#### What is the expected time for an insert-operation?

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

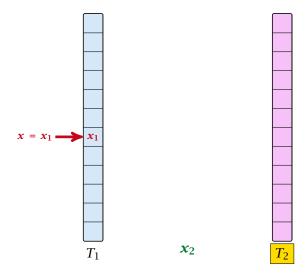
Formally what is the probability to enter an infinite loop that touches s different keys?

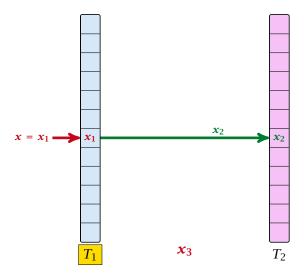


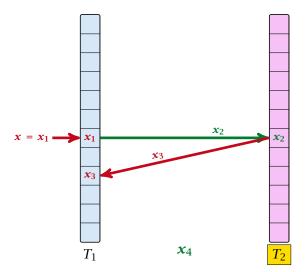


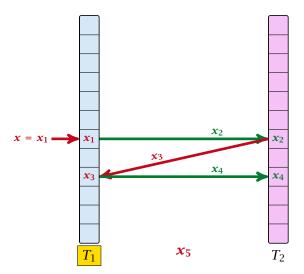


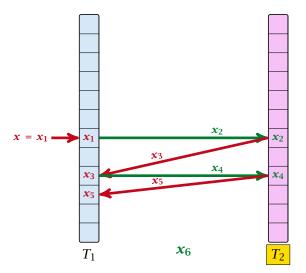


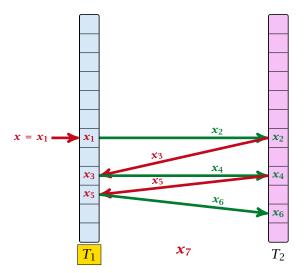


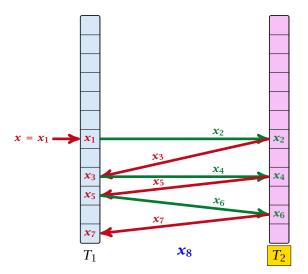


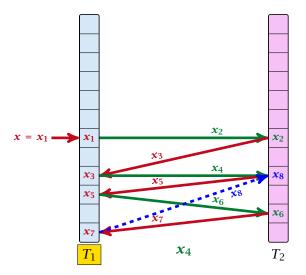


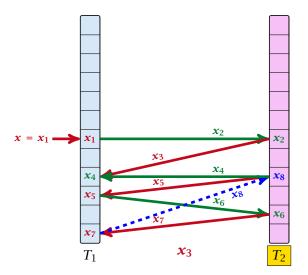


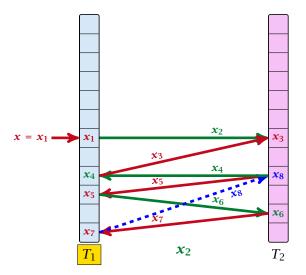


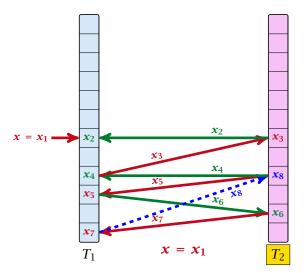


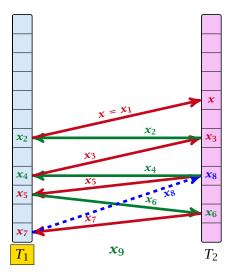


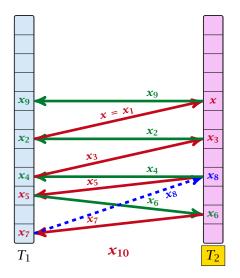


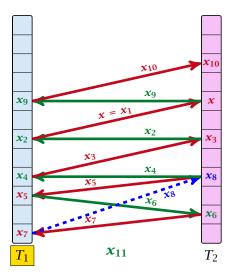


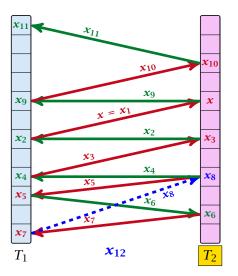


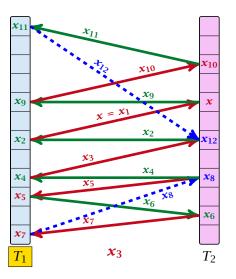


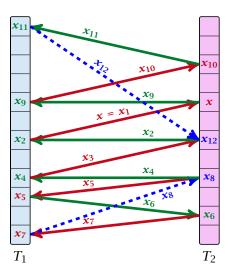


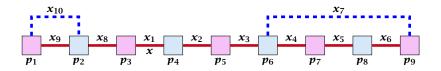




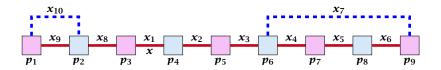






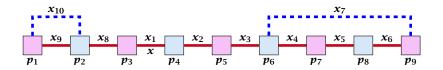


A cycle-structure of size s is defined by



A cycle-structure of size s is defined by

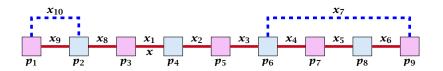
 $\triangleright$  s-1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).



A cycle-structure of size s is defined by

- ▶ s-1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).
- ▶ *s* distinct keys  $x = x_1, x_2, ..., x_s$ , linking the cells.

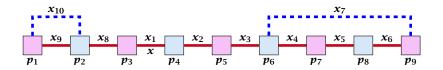
ng 14. Jan. 2024 308/330



A cycle-structure of size s is defined by

- ightharpoonup s-1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).
- s distinct keys  $x = x_1, x_2, \dots, x_s$ , linking the cells.
- The leftmost cell is "linked forward" to some cell on the right.

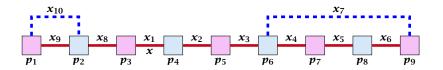
14. Jan. 2024 308/330



A cycle-structure of size s is defined by

- ▶ s-1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).
- *s* distinct keys  $x = x_1, x_2, ..., x_s$ , linking the cells.
- The leftmost cell is "linked forward" to some cell on the right.
- ► The rightmost cell is "linked backward" to a cell on the left.

14. Jan. 2024



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

- ightharpoonup s-1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).
- *s* distinct keys  $x = x_1, x_2, ..., x_s$ , linking the cells.
- 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.



14. Jan. 2024

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

$$h_1(x_\ell) = p_i$$
 and  $h_2(x_\ell) = p_i$ 

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

$$h_1(x_\ell) = p_i$$
 and  $h_2(x_\ell) = p_j$ 

#### 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?

7.7 Hashing

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

This probability is at most  $\frac{\mu}{n^s}$  since  $h_1$  is a  $(\mu,s)$ -independent hash-function.

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

This probability is at most  $\frac{\mu}{n^s}$  since  $h_1$  is a  $(\mu, s)$ -independent hash-function.

What is the probability that all keys in the cycle-structure of size s correctly map into their  $T_2$ -cell?

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

This probability is at most  $\frac{\mu}{n^s}$  since  $h_1$  is a  $(\mu, s)$ -independent hash-function.

What is the probability that all keys in the cycle-structure of size s correctly map into their  $T_2$ -cell?

This probability is at most  $\frac{\mu}{n^s}$  since  $h_2$  is a  $(\mu,s)$ -independent hash-function.

14. Jan. 2024

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

This probability is at most  $\frac{\mu}{n^s}$  since  $h_1$  is a  $(\mu, s)$ -independent hash-function.

What is the probability that all keys in the cycle-structure of size s correctly map into their  $T_2$ -cell?

This probability is at most  $\frac{\mu}{n^s}$  since  $h_2$  is a  $(\mu, s)$ -independent hash-function.

These events are independent.



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

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

$$s^3 \cdot n^{s-1} \cdot m^{s-1}$$
.

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

$$s^3 \cdot n^{s-1} \cdot m^{s-1}$$
.

► There are at most  $s^2$  possibilities where to attach the forward and backward links.

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

$$s^3 \cdot n^{s-1} \cdot m^{s-1}$$
.

- ► There are at most  $s^2$  possibilities where to attach the forward and backward links.
- There are at most s possibilities to choose where to place key x.

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

$$s^3 \cdot n^{s-1} \cdot m^{s-1}$$
.

- ► There are at most  $s^2$  possibilities where to attach the forward and backward links.
- There are at most s possibilities to choose where to place key x.
- ▶ There are  $m^{s-1}$  possibilities to choose the keys apart from x.

14. Jan. 2024

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

$$s^3 \cdot n^{s-1} \cdot m^{s-1}$$
.

- ► There are at most  $s^2$  possibilities where to attach the forward and backward links.
- There are at most s possibilities to choose where to place key x.
- ▶ There are  $m^{s-1}$  possibilities to choose the keys apart from x.
- ▶ There are  $n^{s-1}$  possibilities to choose the cells.

14. Jan. 2024

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

$$\sum_{s=3}^{\infty} s^3 \cdot n^{s-1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}} = \frac{\mu^2}{nm} \sum_{s=3}^{\infty} s^3 \left(\frac{m}{n}\right)^s$$

$$\sum_{s=3}^{\infty} s^3 \cdot n^{s-1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}} = \frac{\mu^2}{nm} \sum_{s=3}^{\infty} s^3 \left(\frac{m}{n}\right)^s$$

$$\leq \frac{\mu^2}{m^2} \sum_{s=2}^{\infty} s^3 \left(\frac{1}{1+\epsilon}\right)^s$$

$$\begin{split} \sum_{s=3}^{\infty} s^3 \cdot n^{s-1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}} &= \frac{\mu^2}{nm} \sum_{s=3}^{\infty} s^3 \left(\frac{m}{n}\right)^s \\ &\leq \frac{\mu^2}{m^2} \sum_{s=3}^{\infty} s^3 \left(\frac{1}{1+\epsilon}\right)^s \leq \mathcal{O}\left(\frac{1}{m^2}\right) \; . \end{split}$$

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

$$\begin{split} \sum_{s=3}^{\infty} s^3 \cdot n^{s-1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}} &= \frac{\mu^2}{nm} \sum_{s=3}^{\infty} s^3 \left(\frac{m}{n}\right)^s \\ &\leq \frac{\mu^2}{m^2} \sum_{s=3}^{\infty} s^3 \left(\frac{1}{1+\epsilon}\right)^s \leq \mathcal{O}\left(\frac{1}{m^2}\right) \ . \end{split}$$

Here we used the fact that  $(1 + \epsilon)m \le n$ .

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

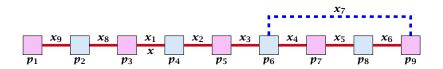
$$\begin{split} \sum_{s=3}^{\infty} s^3 \cdot n^{s-1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}} &= \frac{\mu^2}{nm} \sum_{s=3}^{\infty} s^3 \left(\frac{m}{n}\right)^s \\ &\leq \frac{\mu^2}{m^2} \sum_{s=3}^{\infty} s^3 \left(\frac{1}{1+\epsilon}\right)^s \leq \mathcal{O}\left(\frac{1}{m^2}\right) \ . \end{split}$$

Here we used the fact that  $(1 + \epsilon)m \le n$ .

Hence,

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

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.

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

#### Lemma 30

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

$$p = i + r + (j - i) \le i + j - 1$$
.

#### 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:

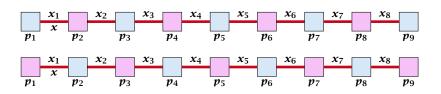
$$x = x_1 \rightarrow x_2 \rightarrow \cdots \rightarrow x_i \rightarrow x_r \rightarrow x_{r-1} \rightarrow \cdots \rightarrow x_1 \rightarrow x_{i+1} \rightarrow \cdots \rightarrow x_j$$

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

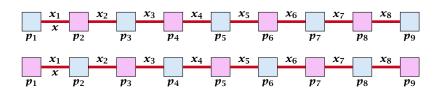
$$p = i + r + (j - i) \le i + j - 1$$
.

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.



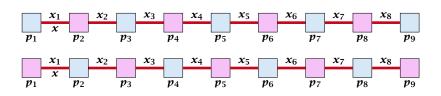


A path-structure of size s is defined by



A path-structure of size s is defined by

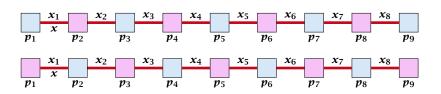
ightharpoonup s+1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).



A path-structure of size s is defined by

- $\triangleright$  s+1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).
- $\triangleright$  s distinct keys  $x = x_1, x_2, \dots, x_s$ , linking the cells.

7.7 Hashing 14. Jan. 2024



### A path-structure of size s is defined by

- ightharpoonup s + 1 different cells (alternating btw. cells from  $T_1$  and  $T_2$ ).
- s distinct keys  $x = x_1, x_2, ..., x_s$ , linking the cells.
- ▶ The leftmost cell is either from  $T_1$  or  $T_2$ .

7.7 Hashing

A path-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

$$h_1(x_\ell) = p_i$$
 and  $h_2(x_\ell) = p_j$ 

#### 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  $\frac{\mu^2}{n^{2s}}$ .

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

The probability that there exists an active path-structure of size  $\boldsymbol{s}$  is at most

$$2 \cdot n^{s+1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$

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

The probability that there exists an active path-structure of size  $\boldsymbol{s}$  is at most

$$2 \cdot n^{s+1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$

$$\leq 2\mu^2 \left(\frac{m}{n}\right)^{s-1}$$

14. Jan. 2024

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

The probability that there exists an active path-structure of size s is at most

$$2 \cdot n^{s+1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$

$$\leq 2\mu^2 \left(\frac{m}{n}\right)^{s-1} \leq 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{s-1}$$

14. Jan. 2024

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

The probability that there exists an active path-structure of size s is at most

$$2 \cdot n^{s+1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$

$$\leq 2\mu^2 \left(\frac{m}{n}\right)^{s-1} \leq 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{s-1}$$

Plugging in s = (2t + 2)/3 gives

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

The probability that there exists an active path-structure of size s is at most

$$2 \cdot n^{s+1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$

$$\leq 2\mu^2 \left(\frac{m}{n}\right)^{s-1} \leq 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{s-1}$$

Plugging in s = (2t + 2)/3 gives

$$\leq 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2t+2)/3-1}$$

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

The probability that there exists an active path-structure of size s is at most

$$2 \cdot n^{s+1} \cdot m^{s-1} \cdot \frac{\mu^2}{n^{2s}}$$

$$\leq 2\mu^2 \left(\frac{m}{n}\right)^{s-1} \leq 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{s-1}$$

Plugging in s = (2t + 2)/3 gives

$$\leq 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2t+2)/3-1} = 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2t-1)/3} \ .$$

We choose maxsteps  $\geq 3\ell/2 + 1/2$ .

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

Pr[unsuccessful | no cycle]

We choose maxsteps  $\geq 3\ell/2+1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

```
\begin{split} & Pr[\text{unsuccessful} \mid \text{no cycle}] \\ & \leq Pr[\exists \text{ active path-structure of size at least } \tfrac{2\text{maxsteps}+2}{3}] \end{split}
```

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

```
\begin{split} & \text{Pr}[\text{unsuccessful} \mid \text{no cycle}] \\ & \leq \text{Pr}[\exists \text{ active path-structure of size at least } \frac{2\text{maxsteps}+2}{3}] \\ & \leq \text{Pr}[\exists \text{ active path-structure of size at least } \ell+1] \end{split}
```

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

```
Pr[unsuccessful | no cycle] \leq \Pr[\exists \text{ active path-structure of size at least } \frac{2\text{maxsteps}+2}{3}] \leq \Pr[\exists \text{ active path-structure of size at least } \ell+1] \leq \Pr[\exists \text{ active path-structure of size exactly } \ell+1]
```

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

```
\begin{split} & \text{Pr}[\text{unsuccessful} \mid \text{no cycle}] \\ & \leq \text{Pr}[\exists \text{ active path-structure of size at least } \frac{2\text{maxsteps}+2}{3}] \\ & \leq \text{Pr}[\exists \text{ active path-structure of size at least } \ell+1] \\ & \leq \text{Pr}[\exists \text{ active path-structure of size exactly } \ell+1] \\ & \leq 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^\ell \end{split}
```

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

Pr[unsuccessful | no cycle]

- $\leq Pr[\,\exists \text{ active path-structure of size at least } \frac{2\text{maxsteps}+2}{3}\,]$
- $\leq \Pr[\exists \text{ active path-structure of size at least } \ell+1]$
- $\leq \Pr[\exists \text{ active path-structure of size exactly } \ell+1]$

$$\leq 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^{\ell} \leq \frac{1}{m^2}$$

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

Pr[unsuccessful | no cycle]

 $\leq Pr[\exists \text{ active path-structure of size at least } \tfrac{2\text{maxsteps}+2}{3}]$ 

 $\leq$  Pr[ $\exists$  active path-structure of size at least  $\ell+1$ ]

 $\leq$  Pr[ $\exists$  active path-structure of size exactly  $\ell+1$ ]

$$\leq 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^\ell \leq \frac{1}{m^2}$$

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

We choose maxsteps  $\geq 3\ell/2 + 1/2$ . Then the probability that a phase terminates unsuccessfully without running into a cycle is at most

Pr[unsuccessful | no cycle]

$$\leq Pr[\exists \text{ active path-structure of size at least } \frac{2\text{maxsteps}+2}{3}]$$

$$\leq$$
 Pr[ $\exists$  active path-structure of size at least  $\ell+1$ ]

$$\leq \Pr[\exists \text{ active path-structure of size exactly } \ell+1]$$

$$\leq 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^{\ell} \leq \frac{1}{m^2}$$

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

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

So far we estimated

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

and

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

So far we estimated

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

and

$$\Pr[\mathsf{unsuccessful} \mid \mathsf{no} \; \mathsf{cycle}] \leq \mathcal{O}\left(\frac{1}{m^2}\right)$$

#### Observe that

Pr[successful] = Pr[no cycle] - Pr[unsuccessful | no cycle]

So far we estimated

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

and

$$\Pr[\mathsf{unsuccessful} \mid \mathsf{no} \; \mathsf{cycle}] \leq \mathcal{O}\left(\frac{1}{m^2}\right)$$

#### Observe that

$$Pr[successful] = Pr[no cycle] - Pr[unsuccessful | no cycle]$$
  
  $\geq c \cdot Pr[no cycle]$ 

So far we estimated

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

and

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

#### Observe that

$$Pr[successful] = Pr[no cycle] - Pr[unsuccessful | no cycle]$$
  
  $\geq c \cdot Pr[no cycle]$ 

for a suitable constant c > 0.

The expected number of complete steps in the successful phase of an insert operation is:

The expected number of complete steps in the successful phase of an insert operation is:

The expected number of complete steps in the successful phase of an insert operation is:

```
E[number of steps | phase successful]
```

```
= \sum_{t>1} \Pr[\text{search takes at least } t \text{ steps} \mid \text{phase successful}]
```

The expected number of complete steps in the successful phase of an insert operation is:

```
E[number of steps | phase successful]
= \sum_{t>1} \Pr[\text{search takes at least } t \text{ steps } | \text{ phase successful}]
```

#### We have

Pr[search at least *t* steps | successful]

The expected number of complete steps in the successful phase of an insert operation is:

E[number of steps | phase successful]

$$= \sum_{t>1} \Pr[\text{search takes at least } t \text{ steps} \mid \text{phase successful}]$$

#### We have

Pr[search at least t steps | successful]

=  $Pr[search at least t steps \land successful] / Pr[successful]$ 

The expected number of complete steps in the successful phase of an insert operation is:

$$\begin{aligned} & \text{E}[\text{number of steps} \mid \text{phase successful}] \\ &= \sum_{t \geq 1} \Pr[\text{search takes at least } t \text{ steps} \mid \text{phase successful}] \end{aligned}$$

#### We have

```
\begin{split} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ | \ \mathsf{successful}] \\ &= \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{successful}] / \Pr[\mathsf{successful}] \\ &\leq \frac{1}{c} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{successful}] / \Pr[\mathsf{no} \ \mathsf{cycle}] \end{split}
```

The expected number of complete steps in the successful phase of an insert operation is:

$$\begin{split} & \text{E[number of steps} \mid \text{phase successful}] \\ &= \sum_{t \geq 1} \Pr[\text{search takes at least } t \text{ steps} \mid \text{phase successful}] \end{split}$$

#### We have

```
\begin{aligned} &\Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ | \ \mathsf{successful}] \\ &= \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{successful}] / \Pr[\mathsf{successful}] \\ &\leq \frac{1}{c} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{successful}] / \Pr[\mathsf{no} \ \mathsf{cycle}] \\ &\leq \frac{1}{c} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{no} \ \mathsf{cycle}] / \Pr[\mathsf{no} \ \mathsf{cycle}] \end{aligned}
```

The expected number of complete steps in the successful phase of an insert operation is:

$$\begin{split} & \text{E}[\text{number of steps} \mid \text{phase successful}] \\ &= \sum_{t \geq 1} \Pr[\text{search takes at least } t \text{ steps} \mid \text{phase successful}] \end{split}$$

#### We have

```
\begin{aligned} &\Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ | \ \mathsf{successful}] \\ &= \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{successful}] / \Pr[\mathsf{successful}] \\ &\leq \frac{1}{c} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{successful}] / \Pr[\mathsf{no} \ \mathsf{cycle}] \\ &\leq \frac{1}{c} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ \land \ \mathsf{no} \ \mathsf{cycle}] / \Pr[\mathsf{no} \ \mathsf{cycle}] \\ &= \frac{1}{c} \Pr[\mathsf{search} \ \mathsf{at} \ \mathsf{least} \ t \ \mathsf{steps} \ | \ \mathsf{no} \ \mathsf{cycle}] \ . \end{aligned}
```

Hence,

Hence,

$$\leq \frac{1}{c} \sum_{t>1} \Pr[\text{search at least } t \text{ steps} \mid \text{no cycle}]$$

Hence,

$$\leq \frac{1}{c} \sum_{t>1} \Pr[\text{search at least } t \text{ steps} \mid \text{no cycle}]$$

$$\leq \frac{1}{c} \sum_{t \geq 1} 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^{(2t-1)/3}$$

Hence,

$$\leq \frac{1}{c} \sum_{t>1} \Pr[\text{search at least } t \text{ steps} \mid \text{no cycle}]$$

$$\leq \frac{1}{c} \sum_{t \geq 1} 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^{(2t-1)/3} = \frac{1}{c} \sum_{t \geq 0} 2\mu^2 \Big(\frac{1}{1+\epsilon}\Big)^{(2(t+1)-1)/3}$$

Hence,

$$\leq \frac{1}{c} \sum_{t \geq 1} \Pr[\text{search at least } t \text{ steps} \mid \text{no cycle}]$$

$$\leq \frac{1}{c} \sum_{t \geq 1} 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2t-1)/3} = \frac{1}{c} \sum_{t \geq 0} 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2(t+1)-1)/3}$$

$$= \frac{2\mu^2}{c(1+\epsilon)^{1/3}} \sum_{t \geq 0} \left(\frac{1}{(1+\epsilon)^{2/3}}\right)^t$$

Hence,

$$\leq \frac{1}{c} \sum_{t \geq 1} \Pr[\text{search at least } t \text{ steps} \mid \text{no cycle}]$$

$$\leq \frac{1}{c} \sum_{t \geq 1} 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2t-1)/3} = \frac{1}{c} \sum_{t \geq 0} 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2(t+1)-1)/3}$$

$$= \frac{2\mu^2}{c(1+\epsilon)^{1/3}} \sum_{t \geq 0} \left(\frac{1}{(1+\epsilon)^{2/3}}\right)^t = \mathcal{O}(1) .$$

Hence,

E[number of steps | phase successful]

$$\leq \frac{1}{c} \sum_{t \geq 1} \Pr[\text{search at least } t \text{ steps} \mid \text{no cycle}]$$

$$\leq \frac{1}{c} \sum_{t \geq 1} 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2t-1)/3} = \frac{1}{c} \sum_{t \geq 0} 2\mu^2 \left(\frac{1}{1+\epsilon}\right)^{(2(t+1)-1)/3}$$

$$= \frac{2\mu^2}{c(1+\epsilon)^{1/3}} \sum_{t \geq 0} \left(\frac{1}{(1+\epsilon)^{2/3}}\right)^t = \mathcal{O}(1) .$$

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).



A phase that is not successful induces cost for doing a complete rehash (this dominates the cost for the steps in the phase).

A phase that is not successful induces cost for doing a complete rehash (this dominates the cost for the steps in the phase).

The probability that a phase is not successful is  $q = O(1/m^2)$ (probability  $\mathcal{O}(1/m^2)$  of running into a cycle and probability  $\mathcal{O}(1/m^2)$  of reaching maxsteps without running into a cycle).

A phase that is not successful induces cost for doing a complete rehash (this dominates the cost for the steps in the phase).

The probability that a phase is not successful is  $q = \mathcal{O}(1/m^2)$  (probability  $\mathcal{O}(1/m^2)$  of running into a cycle and probability  $\mathcal{O}(1/m^2)$  of reaching maxsteps without running into a cycle).

A rehash try requires m insertions and takes expected constant time per insertion. It fails with probability  $p:=\mathcal{O}(1/m)$ .

A phase that is not successful induces cost for doing a complete rehash (this dominates the cost for the steps in the phase).

The probability that a phase is not successful is  $q = \mathcal{O}(1/m^2)$  (probability  $\mathcal{O}(1/m^2)$  of running into a cycle and probability  $\mathcal{O}(1/m^2)$  of reaching maxsteps without running into a cycle).

A rehash try requires m insertions and takes expected constant time per insertion. It fails with probability  $p := \mathcal{O}(1/m)$ .

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



14. Jan. 2024

A phase that is not successful induces cost for doing a complete rehash (this dominates the cost for the steps in the phase).

The probability that a phase is not successful is  $q = \mathcal{O}(1/m^2)$  (probability  $\mathcal{O}(1/m^2)$  of running into a cycle and probability  $\mathcal{O}(1/m^2)$  of reaching maxsteps without running into a cycle).

A rehash try requires m insertions and takes expected constant time per insertion. It fails with probability  $p := \mathcal{O}(1/m)$ .

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  $\mathcal{O}(m) \cdot \mathcal{O}(p) = \mathcal{O}(1)$ .



14. Jan. 2024 325/330

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):

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):

$$\Pr[Y_i|Z_i] \le (m+1) \cdot \mathcal{O}(1/m^2) \le \mathcal{O}(1/m) =: p.$$

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):

$$\Pr[Y_i|Z_i] \le (m+1) \cdot \mathcal{O}(1/m^2) \le \mathcal{O}(1/m) =: p.$$

Let  $Z_i$  denote the event that the i-th rehash occurs:

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):

$$\Pr[Y_i|Z_i] \le (m+1) \cdot \mathcal{O}(1/m^2) \le \mathcal{O}(1/m) =: p.$$

Let  $Z_i$  denote the event that the *i*-th rehash occurs:

$$\Pr[Z_i] \le \prod_{j=0}^{j-1} \Pr[Y_h \mid Z_j] \le p^i$$

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):

$$\Pr[Y_i|Z_i] \le (m+1) \cdot \mathcal{O}(1/m^2) \le \mathcal{O}(1/m) =: p.$$

Let  $Z_i$  denote the event that the *i*-th rehash occurs:

$$\Pr[Z_i] \le \prod_{j=0}^{t-1} \Pr[Y_h \mid Z_j] \le p^i$$

Let  $X_i^s$ ,  $s \in \{1, ..., m+1\}$  denote the cost for inserting the s-th element during the i-th rehash (assuming i-th rehash occurs):

$$E[X_i^s]$$

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):

$$\Pr[Y_i|Z_i] \le (m+1) \cdot \mathcal{O}(1/m^2) \le \mathcal{O}(1/m) =: p.$$

Let  $Z_i$  denote the event that the i-th rehash occurs:

$$\Pr[Z_i] \le \prod_{j=0}^{t-1} \Pr[Y_h \mid Z_j] \le p^i$$

Let  $X_i^s$ ,  $s \in \{1, ..., m+1\}$  denote the cost for inserting the s-th element during the i-th rehash (assuming i-th rehash occurs):

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

#### **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):

$$\Pr[Y_i|Z_i] \le (m+1) \cdot \mathcal{O}(1/m^2) \le \mathcal{O}(1/m) =: p.$$

Let  $Z_i$  denote the event that the *i*-th rehash occurs:

$$\Pr[Z_i] \le \prod_{i=0}^{t-1} \Pr[Y_h \mid Z_j] \le p^i$$

Let  $X_i^s$ ,  $s \in \{1, ..., m+1\}$  denote the cost for inserting the s-th element during the i-th rehash (assuming i-th rehash occurs):

$$\begin{split} \mathbf{E}[X_i^{s}] &= \mathbf{E}[\mathsf{steps} \mid \mathsf{phase} \; \mathsf{successful}] \cdot \Pr[\mathsf{phase} \; \mathsf{sucessful}] \\ &+ \mathsf{maxsteps} \cdot \Pr[\mathsf{not} \; \mathsf{sucessful}] = \mathcal{O}(1) \;\;. \end{split}$$

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

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

$$E\left[\sum_{i}\sum_{s}Z_{i}X_{s}^{i}\right] = \sum_{i}\sum_{s}E[Z_{i}] \cdot E[X_{s}^{i}]$$

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

$$E\left[\sum_{i}\sum_{s}Z_{i}X_{s}^{i}\right] = \sum_{i}\sum_{s}E[Z_{i}] \cdot E[X_{s}^{i}]$$

$$\leq \mathcal{O}(m) \cdot \sum_{i}p^{i}$$

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

$$E\left[\sum_{i}\sum_{s}Z_{i}X_{s}^{i}\right] = \sum_{i}\sum_{s}E[Z_{i}] \cdot E[X_{s}^{i}]$$

$$\leq \mathcal{O}(m) \cdot \sum_{i}p^{i}$$

$$\leq \mathcal{O}(m) \cdot \frac{p}{1-p}$$

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

$$\begin{split} \mathbf{E}\left[\sum_{i}\sum_{s}Z_{i}X_{s}^{i}\right] &= \sum_{i}\sum_{s}\mathbf{E}[Z_{i}]\cdot\mathbf{E}[X_{s}^{i}] \\ &\leq \mathcal{O}(m)\cdot\sum_{i}p^{i} \\ &\leq \mathcal{O}(m)\cdot\frac{p}{1-p} \\ &= \mathcal{O}(1) \ . \end{split}$$

What kind of hash-functions do we need?

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

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

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

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  $\alpha := 1/(1 + \epsilon)$ .

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

- ▶ 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).

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

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

329/330

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

- ▶ 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).
- 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.

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

- ▶ 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).
- 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 31

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

#### Lemma 31

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

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