## Probability and Computing - Classic Hash Tables

Stefan Walzer, Maximilian Katzmann | WS 2023/2024


## Prüfungsanmeldung

- Am einfachsten: Hier angeben, wann ihr Zeit habt: https://www.terminplaner.dfn.de/W4m8QyA9vvp1K19m
- Alternativ: Email an Stefan und Max.
- Wir bieten euch dann einen Termin per Email an.


## Content

1. Conceptions: What is a Hash Function?

- Hashing in the Wild
- What should a Theorist do?

2. Use Case 1: Hash Table with Chaining

- Using SUHA
- Using Universal Hashing

3. Use Case 2: Linear Probing

- Using SUHA
- Using Universal Hashing


## 4. Conclusion

## Hash Table with Chaining

e.g. std::unordered_set, java.util.HashMap

## Terminology

D: Universe (or domain) of keys
(strings, integers, game states in chess)
$S \subseteq D: \quad$ set of $n$ keys (possibly with associated data)
$h: D \rightarrow R$ : hash function, range usually $R=[m]$
$\alpha=\frac{n}{m}: \quad$ load factor, $\alpha \leq \alpha_{\text {max }}=\mathcal{O}(1)$


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## Goal

Operations in time $t$ with $\mathbb{E}[t]=\mathcal{O}(1)$.
Randomness comes from the hash function.

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## Ideal Hash Functions

Every function from $D$ to $R$ is equally likely to be $h$.

## Ideal Hash Functions are Impractical

## Naive Idea

- Let $R^{D}$ denote all functions from $D$ to $R$. We pick $h \sim \mathcal{U}\left(R^{D}\right)$.
- There are $|R|$ options for the hash of each $x \in D$
- Hence: $\left|R^{D}\right|=|R|^{|D|}$

| $x \in D$ | $x_{1}$ | $x_{2}$ | $x_{3}$ | $\ldots$ | $x_{\|D\|}$ |
| ---: | :---: | :---: | :---: | :---: | :---: |
| $h(x) \in R$ | $?$ | $?$ | $?$ | $\ldots$ | $?$ |

## Why $h \sim \mathcal{U}\left(R^{D}\right)$ is desirable

- $h \sim \mathcal{U}\left(R^{D}\right) \Leftrightarrow \forall x_{1}, \ldots, x_{n} \in D: h\left(x_{1}\right), h\left(x_{2}\right), \ldots, h\left(x_{n}\right)$ are independent and uniformly random in $R$.
$\hookrightarrow$ independence is very useful in an analysis
- In particular: $\forall x_{1}, \ldots, x_{n} \in D, \forall i_{1}, \ldots, i_{n}: \underset{h \sim \mathcal{U}\left(R^{D}\right)}{\operatorname{Pr}}\left[h\left(x_{1}\right)=i_{1} \wedge \ldots \wedge h\left(x_{n}\right)=i_{n}\right]=|R|^{-n}$.

Why $h \sim \mathcal{U}\left(R^{D}\right)$ is unwieldy

$$
\log _{2}\left(|R|^{|D|}\right)=|D| \cdot \log _{2}(|R|) \text { bits to store } h \sim \mathcal{U}\left(R^{D}\right) \quad \rightsquigarrow \quad \text { for } D=\{0,1\}^{64}: \text { more than } 2^{64} \text { bits. }
$$

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Conceptions: What is a Hash Function?

Use Case 1: Hash Table with Chaining 00000000

Use Case 2: Linear Probing 000000000000000

## What is a Hash Function?

## (it depends on who you ask)

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## Cryptographic Hash Function

A collision resistant function such as $h=$ sha256sum
\$ sha256sum myfile.txt
018a7eaee8a...3e79043e21ab4 myfile.txt
Range $R=\{0,1\}^{256}$. It is hard to find $x, y$ with $h(x)=h(y)$.
$\hookrightarrow$ Files with equal hashes are likely the same.

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Files with equal hashes are likely the same.
```


## Cryptographic Pseudorandom Function

A function $f$ : Seeds $\times D \rightarrow R$ where $\log _{2} \mid$ Seeds $\mid$ is small and no efficient algorithm can distinguish

- $f(s, \cdot)$ for $s \sim \mathcal{U}$ (Seeds) and
- $h(\cdot)$ for $h \sim \mathcal{U}\left(R^{D}\right)$,
except with negligible probability.
Conceptions: What is a Hash Function?
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## What is a Hash Function?

## (it depends on who you ask)

Karlsruhe Institute of Technology

## Hash Function in Algorithm Engineering

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Use Case 2: Linear Probing 000000000000000

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## Hash Function in Algorithm Engineering

- typically small range $|R|=\mathcal{O}(n)$ $\hookrightarrow$ cannot be collision resistant
- should behave like $h \sim \mathcal{U}\left(R^{D}\right)$ in my application
- should be fast to evaluate
- adversarial settings rarely considered, although:

Conceptions: What is a Hash Function? $\quad$ Use Case 1: Hash Table with Chaining
0000000

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## Conclusion

 000
## Hashing in Practice

## Black Magic, do not touch!

## MurmurHash

## Bitshifts, Magic Constants,

uint32_t murmur3_32 (const uint8_t* key,
uint $32 \mathrm{t} \mathrm{h}=$ seed
uint32 t k;
for (size_t $i=$ len >> 2; i; i--) \{ memcpy(\&k, key, sizeof(uint32 t)); key $+=$ sizeof(uint32 t); $\mathrm{h}^{\wedge}=$ murmur_32 $\operatorname{scramble}(\mathrm{k})$ $h=(h \ll 13) \mid(h \gg 19) ;$
$h=h * 5+0 x e 6546 \mathrm{~b} 64 ;$
\}
[...]
return $h$;
\}
static inline uint32 t murmur_32 scramble(uint32_t k) \{
k *= 0xcc9e2d51;
$k=(k \ll 15)$ | $(k \gg 17)$
k * $=0 \times 1 \mathrm{~b} 873593$
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    uint32_t k;
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        memcpy(&k, key, sizeof(uint32_t));
        key += sizeof(uint32_t);
        h ^= murmur_32_scramble(k)
        h = (h<< 13) | (h >> 19);
        h = h * 5 + 0xe6546b64;
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static inline uint32_t murmur_32 scramble(uint32_t k) {
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## Usage

For $R=[m]$, pick seed $\sim \mathcal{U}\left(\{0,1\}^{32}\right)$ and use

$$
h(x)=\text { murmur3_32 }(x, \text { seed }) \bmod m .
$$

(should avoid modulo in practice, see https://github.com/lemire/fastrange)

## Does $h$ behave like a random function?

- YES, with respect to many statistical tests.
see https://github.com/aappleby/smhasher
- NO, HashDoS attacks are known.
see https://en.wikipedia.org/wiki/MurmurHash\#Vulnerabilities


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- MAYBE, for your favourite application.


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## What should a Theorist do?

## Approach 1: Ignore the Problem

## Simple Uniform Hashing Assumption (SUHA)

- We have access to $h \sim \mathcal{U}\left(R^{D}\right)$ for any $R$ and $D$.
- $h$ takes $\mathcal{O}(1)$ time to evaluate.
- $h$ takes no space to store.


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- Modelling assumption.
$\hookrightarrow$ like e.g. ideal gas law in physics
- Excellent track record in non-adversarial settings.


## What should a Theorist do?

## Approach 2: Bring your own Hash Functions

## Analyse Algorithm using Universal Hashing

1 Define family $\mathcal{H} \subseteq R^{D}$ of hash functions with $\log (|\mathcal{H}|)$ not too large. $\hookrightarrow$ sampling and storing $h \in \mathcal{H}$ is cheap
2 Proof that algorithm with $h \sim \mathcal{U}(\mathcal{H})$ has good expected behaviour.

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- Mathematical structure of $\mathcal{H}$ must be amenable to analysis.
- Rigorously covers non-adversarial settings.
- Proofs often difficult.
$\hookrightarrow$ Wider theory practice gap than with SUHA.


## What should a Theorist do?

Approach 3: Let the Cryptographers do the Work

## How to Analyse your Algorithm using Cryptographic Assumptions

1 Analyse algorithm under SUHA.
2 Actually use cryptographic pseudorandom function $f$.

- Case 1: Everything still works. Great! :-)
- Case 2: Something fails.
$\Rightarrow$ Your use case can tell the difference between $f$ and true randomness.
$\hookrightarrow$ The cryptographers said this is impossible. \&


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## Should we use cryptographic pseudorandom functions?

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https://en.wikipedia.org/wiki/SipHash
- NO. Too slow in high-performance settings.

| Hash Function | MiB / sec |
| ---: | ---: |
| SipHash | 944 |
| Murmur3F | 7623 |
| xxHash64 | 12109 |

(source: https://github.com/rurban/smhasher)

Conceptions: What is a Hash Function? 000000

## Conclusion

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## Hash Table with Chaining

## Search Time under Chaining

$$
\begin{aligned}
& \max _{S \subseteq D} \max _{x \in D} \\
& |S|=n
\end{aligned}
$$

$$
1+|\{y \in S \mid h(y)=h(x)\}|
$$



## Hash Table with Chaining

## Search Time under Chaining

For $n, m \in \mathbb{N}$ and a family $\mathcal{H} \subseteq[m]^{D}$ of hash functions the maximum expected search time is at most

$$
T_{\text {chaining }}(n, m, \mathcal{H})=\max _{\substack{S \subseteq D \\|S|=n}} \max _{x \in D} \mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}[1+|\{y \in S \mid h(y)=h(x)\}|]
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Key set is worst case. Only $h \in \mathcal{H}$ is random. Key set is fixed before $h$ is chosen.


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Theorem: Hash Table with Chaining under SUHA

$$
\text { If } \mathcal{H}=[m]^{D} \text { then } T_{\text {chaining }}(n, m, \mathcal{H}) \leq 2+\alpha=\mathcal{O}(1) \text { if } \alpha \in \mathcal{O}(1)
$$

## Analysis of Hash Table with Chaining under SUHA

## Theorem: Hash Table with Chaining under SUHA

Let $\mathcal{H}=[m]^{D}, S \subseteq D$ with $|S|=n$ and $x \in D$ then

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\mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}[1+|\{y \in S \mid h(y)=h(x)\}|] \leq 2+\alpha
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## Proof.

$$
\mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}[1+|\{y \in S \mid h(y)=h(x)\}|]
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## Analysis of Hash Table with Chaining under SUHA

## Theorem: Hash Table with Chaining under SUHA

Let $\mathcal{H}=[m]^{D}, S \subseteq D$ with $|S|=n$ and $x \in D$ then

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\mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}[1+|\{y \in S \mid h(y)=h(x)\}|] \leq 2+\alpha
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## Proof.

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\begin{aligned}
& \mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}[1+|\{y \in S \mid h(y)=h(x)\}|] \\
= & \mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}\left[1+\sum_{y \in S} \mathbb{1}_{\{h(y)=h(x)\}}\right]
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= & 1+\sum_{y \in S} \mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}\left[\mathbb{1}_{\{h(y)=h(x)\}}\right] & & =2+\sum_{y \in S \backslash\{x\}} \frac{1}{m} \leq 2+\frac{n}{m}=2+\alpha .
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## Content

1. Conceptions: What is a Hash Function?

- Hashing in the Wild
- What should a Theorist do?


## 2. Use Case 1: Hash Table with Chaining

- Using SUHA
- Using Universal Hashing

3. Use Case 2: Linear Probing

- Using SUHA
- Using Universal Hashing


## 4. Conclusion

## A Universal Hash Family

## Definition: c-universal hash family

A class $\mathcal{H} \subseteq[m]^{D}$ is called $c$-universal if: $\quad \forall x \neq y \in D: \underset{h \sim \mathcal{U}(\mathcal{H})}{\operatorname{Pr}}[h(x)=h(y)] \leq \frac{c}{m}$.

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\text { Note: } \mathcal{H}=[m]^{D} \text { is } 1 \text {-universal. }
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## Reminder (?): Finite Fields

Let $\mathbb{F}_{p}=\{0, \ldots, p-1\}$ for a prime number $p$. Then $\left(\mathbb{F}_{p}, \times, \oplus\right)$ is a field where

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a \times b:=(a \cdot b) \bmod p \quad \text { and } \quad a \oplus b:=(a+b) \bmod p \text {. }
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In particular $\left(\mathbb{F}_{p}^{*}:=\mathbb{F}_{p} \backslash\{0\}, \times\right)$ is a group.

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## The class of Linear Hash Functions

Assume $D \subseteq \mathbb{F}_{p}$ for prime $p$. Then the following class is 1 -universal:

$$
\mathcal{H}_{p, m}^{\operatorname{lin}}:=\left\{x \mapsto((a \times x) \oplus b) \bmod m \mid a \in \mathbb{F}_{p}^{*}, b \in \mathbb{F}_{p}\right\} .
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Proof that $\mathcal{H}_{p, m}^{\text {lin }}:=\left\{x \mapsto((a \times x) \oplus b) \bmod m \mid a \in \mathbb{F}_{p}^{*}, b \in \mathbb{F}_{p}\right\}$ is 1-universal.
Let $x \neq y \in \mathbb{F}_{p}$. (To show: $\operatorname{Pr}_{h \sim \mathcal{H}_{p, m}^{\text {in }}}[h(x)=h(y)] \leq 1 / m$.)

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## Analysis of Hash Table with Chaining

## ... using a Universal Hash Family

## Theorem

If $\mathcal{H} \subseteq[m]^{D}$ is a $c$-universal hash family then $T_{\text {chaining }}(n, m, \mathcal{H}) \leq 2+c \alpha=\mathcal{O}(1)$ if $\alpha \in \mathcal{O}(1)$ and $c \in \mathcal{O}(1)$.

## Proof: Mostly the same.

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\forall S \subseteq[D], \forall x \in D: \quad \mathbb{E}_{h \sim \mathcal{U}(\mathcal{H})}[1+|\{y \in S \mid h(y)=h(x)\}|]
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= & 2+\sum_{y \in S \backslash\{x\}} \frac{c}{m} \leq 2+\frac{c n}{m}=2+c \alpha .
\end{aligned}
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## More Universal Families

## Examples for Universal Hash Families

- " $((a x+b) \bmod p) \bmod m$ " is 1-universal

$$
\begin{gathered}
\text { as discussed: } D=\mathbb{F}_{p}, \quad R=[m], \\
\mathcal{H}_{p, m}^{\text {lin }}:=\left\{x \mapsto((a \times b) \oplus b) \bmod m \mid a \in \mathbb{F}_{p}^{*}, b \in \mathbb{F}_{p}\right\}
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## More Universal Families

## Examples for Universal Hash Families

- " $((a x+b) \bmod p) \bmod m$ " is 1-universal

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- " $(a x \bmod p) \bmod m$ " is only 2 -universal:

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- Multiply-Shift is 2-universal:

$$
\begin{aligned}
& D=\left\{0, \ldots, 2^{w}-1\right\}, \quad R=\left\{0, \ldots, 2^{\ell}-1\right\} \\
& \mathcal{H}=\left\{x \mapsto\left\lfloor\left((a \cdot x+b) \bmod 2^{w}\right) / 2^{w-\ell}\right\rfloor \mid\right. \\
& \text { odd } \left.a \in\left\{1, \ldots, 2^{w}-1\right\}, b \in\left\{0, \ldots, 2^{w}-1\right\} .\right\}
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## More Universal Families

## Examples for Universal Hash Families

- " $((a x+b) \bmod p) \bmod m$ " is 1 -universal
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3. Use Case 2: Linear Probing

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4. Conclusion

## Hash Table with Linear Probing



## Hash Table with Linear Probing

$S:$ set of $n$ keys
$m: \#$ of buckets
$\alpha=n / m$


## Hash Table with Linear Probing



## Operations

For key $x$ probe buckets $h(x), h(x)+1, h(x)+2, \ldots(\bmod m)$. Insert. Put $x$ into first empty bucket.

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| $\equiv$ | $\boldsymbol{\top}$ |  | $\triangle$ | $\boldsymbol{q}$ | $\odot$ | $\star$ | $\ddagger$ | $\dagger$ |  |  | $\diamond$ |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |

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- Lookup $(x \in S)$ : At most $x$ 's insertion time.


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- Lookup $(x \in S)$ : At most $x$ 's insertion time.
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$\hookrightarrow$ It suffices to understand insertion times!


## Theorem: Linear Probing under SUHA

Let $T_{n, m}$ be the random insertion time into a linear probing hash table. If $\frac{1}{2} \leq \alpha=\frac{n}{m}<\alpha_{\text {max }}$ for some $\alpha_{\text {max }}<1$ then under SUHA we have

$$
\mathbb{E}\left[T_{n, m}\right]=\quad \mathcal{O}(1)
$$

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For key $x$ probe buckets $h(x), h(x)+1, h(x)+2, \ldots(\bmod m)$.
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$$
\left.\mathbb{E}\left[T_{n, m}\right]=\mathcal{O}\left(\frac{1}{\left(1-\alpha_{\max }\right)^{2}}\right)=\mathcal{O}(1) . \quad \text { (not here }\right)
$$

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## 4. Conclusion

## Preparation: A concentration bound

## Chernoff

For $X \sim \operatorname{Bin}(n, p)$ and $\varepsilon \in[0,1]$ we have $\operatorname{Pr}[X \geq(1+\varepsilon) \mathbb{E}[X]] \leq \exp \left(-\varepsilon^{2} \mathbb{E}[X] / 3\right)$.

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Lemma: $\operatorname{Pr}[\geq k$ hits in segment of length $k]$

range of $k$ buckets (wlog $i=1$ )
Let $k \in \mathbb{N}$ and $X=|\{y \in S \mid h(y) \in\{1, \ldots, k\}\}|$.

$$
\text { Then } \operatorname{Pr}_{h \sim \mathcal{U}\left(R^{D}\right)}[X \geq k] \leq \exp \left(-(1-\alpha)^{2} k / 3\right) .
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## Proof

Let $S=\left\{x_{1}, \ldots, x_{n}\right\}$ and $X_{i}=\mathbb{1}_{\left\{h\left(x_{i}\right) \in\{1, \ldots, k\}\right\}} \sim \operatorname{Ber}\left(\frac{k}{m}\right)$. Then $X=\sum_{i \in[n]} X_{i} \sim \operatorname{Bin}\left(n, \frac{k}{m}\right)$ with $\mathbb{E}[X]=\frac{k n}{m}=\alpha k$.

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$$
\begin{aligned}
\operatorname{Pr}[X \geq k] & =\operatorname{Pr}\left[X \geq \frac{1}{\alpha} \mathbb{E}[X]\right] \\
& =\operatorname{Pr}\left[X \geq\left(1+\frac{1-\alpha}{\alpha}\right) \mathbb{E}[X]\right] \\
& \leq \exp \left(-\left(\frac{1-\alpha}{\alpha}\right)^{2} \alpha k / 3\right) \\
& \left.\leq \exp \left(-(1-\alpha)^{2} k / 3\right) . \quad \text { (using } \frac{1}{2} \leq \alpha \leq 1\right)
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$$

## Proof: Expected LP-Insertion Time under SUHA is $\mathcal{O}(1)$

## $\mathbb{E}[T]$



Proof: Expected LP-Insertion Time under SUHA is $\mathcal{O}(1)$

$$
\mathbb{E}[T] \leq \mathbb{E}[B]
$$


$A_{u, v}:\{u, v\}$ is maximal occupied block:


## Reasoning:

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& \stackrel{(1)}{\leq} \sum_{k \geq 1} k \cdot \sum_{d=0}^{k-1} \operatorname{Pr}\left[A_{h(x)-d, h(x)-d+k-1}\right] \stackrel{(2)}{=} \sum_{k \geq 1} k \cdot k \cdot \operatorname{Pr}\left[A_{1, k}\right]
\end{aligned}
$$


$A_{u, v}:\{u, v\}$ is maximal occupied block:
$\cdots \square|u|||l| l| l . .$.

## Reasoning:

(1) Union Bound.
(2) $h(x)$ is independent of keys in the table and hash distribution is invariant under cyclic shifts.

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(3) \\
\leq \\
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\\
\\
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& \leq \sum_{k \geq 1} k^{2} \cdot \exp \left(-\left(1-\alpha_{\max }\right)^{2} k / 3\right)=\mathcal{O}(1)
\end{aligned}
$$

$$
\text { Wolfram Alpha gives: } \int_{0}^{\infty} k^{2} \exp \left(-\left(1-\alpha_{\max }\right)^{2} k / 3\right)=\frac{54}{\left(1-\alpha_{\max }\right)^{6}}
$$


$A_{u, v}:\{u, v\}$ is maximal occupied block:

$\cdots \cdot$|  | $u$ |  |  |  | $v$ |
| :--- | :--- | :--- | :--- | :--- | :--- |
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## Degrees of Independence

## (Mutual / Collective) Independence

A family $\mathcal{E}$ of events is independent if $\forall k \in \mathbb{N}$ and distinct $E_{1}, \ldots, E_{k} \in \mathcal{E}$ we have

$$
\operatorname{Pr}\left[\bigcap_{i=1}^{k} E_{i}\right]=\prod_{i=1}^{k} \operatorname{Pr}\left[E_{i}\right] .
$$

A family $\mathcal{X}$ of discrete random variables is independent if $\forall k \in \mathbb{N}$, distinct $X_{1}, \ldots, X_{k} \in \mathcal{X}$ and all $x_{1}, \ldots, x_{k} \in \mathbb{R}$ we have

$$
\operatorname{Pr}\left[\bigwedge_{i=1}^{k} x_{i}=x_{i}\right]=\prod_{i=1}^{k} \operatorname{Pr}\left[X_{i}=x_{i}\right] .
$$

## Degrees of Independence

## Pairwise Independence

A family $\mathcal{E}$ of events is pairwise independent if for distinct $E_{1}, E_{2} \in \mathcal{E}$ we have

$$
\operatorname{Pr}\left[E_{1} \cap E_{2}\right]=\operatorname{Pr}\left[E_{1}\right] \cdot \operatorname{Pr}\left[E_{2}\right]
$$

A family $\mathcal{X}$ of discrete random variables is pairwise independent if for all distinct $X_{1}, X_{2} \in \mathcal{X}$ and all $x_{1}, x_{2} \in \mathbb{R}$ we have

$$
\operatorname{Pr}\left[X_{1}=x_{1} \wedge X_{2}=x_{2}\right]=\operatorname{Pr}\left[X_{1}=x_{1}\right] \cdot \operatorname{Pr}\left[X_{2}=x_{2}\right]
$$

## Degrees of Independence

## $d$-wise Independence

A family $\mathcal{E}$ of events is $d$-wise independent if $\forall k \in\{2, \ldots, d\}$ and distinct $E_{1}, \ldots, E_{k} \in \mathcal{E}$ we have

$$
\operatorname{Pr}\left[\bigcap_{i=1}^{k} E_{i}\right]=\prod_{i=1}^{k} \operatorname{Pr}\left[E_{i}\right] .
$$

A family $\mathcal{X}$ of discrete random variables is $d$-wise independent if $\forall k \in\{2, \ldots, d\}$, distinct $X_{1}, \ldots, X_{k} \in \mathcal{X}$ and all $x_{1}, \ldots, x_{k} \in \mathbb{R}$ we have

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\operatorname{Pr}\left[\bigwedge_{i=1}^{k} x_{i}=x_{i}\right]=\prod_{i=1}^{k} \operatorname{Pr}\left[x_{i}=x_{i}\right]
$$

## d-Independent Hash Family

## Definition: $d$-Independent Hash Family

A family $\mathcal{H} \subseteq[R]^{D}$ of hash functions is $d$-independent if for distinct
$x_{1}, \ldots, x_{d} \in D$ and any $i_{1}, \ldots, i_{d} \in R: \quad$ (grey is implied by black)
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## Corollary: Smaller Ranges (proof omitted)

- If $m$ divides $|\mathbb{F}|$, then adding "mod $m$ " gives a $d$-independent family $\mathcal{H}^{\prime} \subseteq[m]^{\mathbb{F}}$.
- If $m$ does not divide $|\mathbb{F}|$, then adding "mod $m$ " gives a family $\mathcal{H}^{\prime} \subseteq[m]^{\mathbb{F}}$ such that for $h \sim \mathcal{U}\left(\mathcal{H}^{\prime}\right)$ the family $(h(x))_{x \in \mathbb{F}}$ is $d$-independent but only approximately uniformly distributed in $[m]$.

Proof: $\mathcal{H}:=\left\{x \mapsto \sum_{i=0}^{d-1} a_{i} x^{i} \mid a_{0}, \ldots, a_{d-1} \in \mathbb{F}\right\}$ is $d$-independent

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For $h \in \mathcal{H}$ (given via $a_{0}, \ldots, a_{d-1}$ ) the following is equivalent:

$$
\begin{array}{ll}
h\left(x_{1}\right)=i_{1} & a_{0}+a_{1} x_{1}+\cdots+a_{d-1} x_{1}^{d-1}=i_{1} \\
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\end{array}
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Exactly one vector $\vec{a}=M^{-1} \cdot \vec{i}$ solves the equation.

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\Rightarrow \operatorname{Pr}_{h \sim \mathcal{U}(\mathcal{H})}\left[\forall j: h\left(x_{j}\right)=i_{j}\right]=\operatorname{Pr}_{a_{0}, \ldots, a_{d-1} \sim \mathcal{U}(\mathbb{F})}\left[\vec{a}=M^{-1} \cdot \vec{i}\right]=\mathbb{F}^{-d}
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## Concentration Bound for $d$-Independent Variables

## (Tricky) Exercise

Let $d$ be even and $X_{1}, \ldots, X_{n} \sim \operatorname{Ber}(p)$ a $d$-independent family of random variables with $p=\Omega(1 / n)$. Let $X=\sum_{i=1}^{n} X_{i}$. Then for any $\varepsilon>0$ we have

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\operatorname{Pr}[X-\mathbb{E}[X] \geq \varepsilon \mathbb{E}[X]]=\mathcal{O}\left(\varepsilon^{-d} \mathbb{E}[X]^{-d / 2}\right)
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## Remark: Weaker than Chernoff, stronger than Chebyshev

Chebycheff gives $\operatorname{Pr}[X-\mathbb{E}[X] \geq \varepsilon \mathbb{E}[X]] \leq \frac{1-p}{\varepsilon^{2} \mathbb{E}[X]}$. (requires $d=2$ )
Chernoff gave $\operatorname{Pr}[X-\mathbb{E}[X] \geq \varepsilon \mathbb{E}[X]] \leq \exp \left(-\varepsilon^{2} \mathbb{E}[X] / 3\right)$. (requires $d=n$ ).

## Preparation: A Concentration Bound

again for $d$-independence

## Lemma (last slide)

For $d$-independent $X_{1}, \ldots, X_{n} \sim \operatorname{Ber}(p)$ and $X=\sum_{i \in[n]} X_{i}$ we have $\operatorname{Pr}[X \geq(1+\varepsilon) \mathbb{E}[X]]=\mathcal{O}\left(\varepsilon^{-d} \mathbb{E}[X]^{-d / 2}\right)$.

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## Lemma: $\geq k$ hits in segment of length $k$


range of $k$ buckets (wlog $i=1$ )
Let $\mathcal{H}$ be a $d$-independent hash family and $h \sim \mathcal{U}(\mathcal{H})$.
Let $k \in \mathbb{N}$ and $X=|\{y \in S \mid h(y) \in\{1, \ldots, k\}\}|$.
Then $\operatorname{Pr}[X \geq k] \leq \mathcal{O}\left((1-\alpha)^{-d} k^{-d / 2}\right)$.

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## Proof

Let $S=\left\{x_{1}, \ldots, x_{n}\right\}$ and $X_{i}=\mathbb{1}_{\left\{h\left(x_{i}\right) \in\{1, \ldots, k\}\right\}} \sim \operatorname{Ber}\left(\frac{k}{m}\right)$. Then $X=\sum_{i \in[n]} X_{i}$ fits the Lemma with $\mathbb{E}[X]=\frac{k n}{m}=\alpha k$.

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$$
\begin{aligned}
\operatorname{Pr}[X \geq k] & =\operatorname{Pr}\left[X \geq \frac{1}{\alpha} \mathbb{E}[X]\right] \\
& =\operatorname{Pr}\left[X \geq\left(1+\frac{1-\alpha}{\alpha}\right) \mathbb{E}[X]\right] \\
& =\mathcal{O}\left(\left(\frac{1-\alpha}{\alpha}\right)^{-d}(\alpha k)^{-d / 2}\right) \\
& \left.\leq \mathcal{O}\left((1-\alpha)^{-d} k^{-d / 2}\right) . \quad \text { using } \alpha \leq 1\right)
\end{aligned}
$$

## Theorem: Linear Probing with $d$-independence

Under the same conditions as before, except with 9-independent hash functions, the insertion time $T_{n, m}$ for linear probing satisfies:

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\mathbb{E}\left[T_{n, m}\right]=\mathcal{O}(1)
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$A_{u, v}:\{u, v\}$ is a maximal occupied block:


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& \leq \sum_{k \geq 1} k^{-2} \cdot \mathcal{O}\left((1-\alpha)^{-8}\right) \\
& \stackrel{(3)}{=} \frac{\pi^{2}}{6} \mathcal{O}\left((1-\alpha)^{-8}\right)=\mathcal{O}(1) .
\end{aligned}
$$

## Final Remarks on Linear Probing + Universal Hashing

## Much more is known about insertion times of linear probing:

- Any 5 -independent family gives $\mathcal{O}\left(\frac{1}{(1-\alpha)^{2}}\right)$.
$\hookrightarrow$ A. Pagh, R. Pagh, and Ruzic 2011
- An (artificially bad) 4-independent family gives $\Omega(\log n)$.
$\hookrightarrow$ Pătraşcu and Thorup 2016
- A (well-designed) 4-independent family gives $\mathcal{O}\left(\frac{1}{(1-\alpha)^{2}}\right)$.
$\hookrightarrow$ Puatracscu and Thorup 2013


## Conclusion

## Technical Takeaway: Performance of Hash Tables

For both an ideal hash function (SUHA) and a random hash function from a suitable universal class, a hash table using linear probing or chaining provably has an expected running time of $\mathcal{O}(\mathbf{1})$ per operation.

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## Non-Technical Takeaway: Approaches to analyse hashing based algorithms



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## Non-Technical Takeaway: Approaches to analyse hashing based algorithms



## Anhang: Mögliche Prüfungsfragen I

- Was könnte eine Idealvorstellung einer Hashfunktion sein? Inwiefern wäre eine ideale Hashfunktion nützlich? Was ist das Problem an dieser Vorstellung?
- Was ist die Simple Uniform Hashing Assumption (SUHA)? Was spricht dafür diese Annahme zu treffen? Welche Alternativen gibt es?
- Inwiefern ist eine pseudozufällige Funktion mit kryptographischen Ununterscheidbarkeitsgarantien nützlich für uns? Wie ist der Zusammenhang zur SUHA?*
- Universelles Hashing:
- Wie ist $c$-Universalität definiert?
- Welche $c$-universellen Hashklasse haben wir kennengelernt? Wie haben wir die $c$-Universalität bewiesen?
- Wie ist $d$-Unabhängigkeit für eine Hashklasse definiert?
- Welche $d$-universelle Hashklasse haben wir kennengelernt?
- Welcher Zusammenhang besteht zwischen $d$-Unabhängigkeit und $c$-Universalität? (Übungsaufgabe)
- Chernoff Schranken sind für Summen unabhängiger Zufallsvariablen gedacht. Was kann man machen, wenn die Zufallsvariablen nur $d$-unabhängig sind?*


## Anhang: Mögliche Prüfungsfragen II

- Betrachten wir Hashing mit verketteten Listen:
- Welche Schranke an die erwartete Einfügezeit haben wir bewiesen? Wie?
- An welcher Stelle spielt die Verteilung der Hashfunktion eine Rolle?
- Nenne eine hinreichende Eigenschaft, die eine universelle Hashklasse haben sollte, damit der Beweis funktioniert.
- Betrachten wir Hashing mit linearem Sondieren:
- Welche Schranke an die erwartete Laufzeit haben wir bewiesen? Wie?
- An welcher Stelle spielt die Verteilung der Hashfunktion eine Rolle?
- Nenne eine hinreichende Eigenschaft, die eine universelle Hashklasse haben sollte, damit der Beweis funktioniert.
- Wie wir diese Eigenschaft ausgenutzt?*


## References I

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