

feb 27 2022

shelat

Greedy is only good for certain problems

caching

cache hit



CPU

load r2, addr a store r4, addr b







How do we manage a fully-associate cache?

When it is full, which element do we replace?

problem statement

input:

output:

cache is

problem statement

input: K, the size of the cache $d_1, d_2, ..., d_m$ memory accesses

output: schedule for that cache that minimizes # of cache misses while satisfying requests

cache is fully associative, line size is 1

contrast with reality

contrast with reality

In a real situation, we may not know the future memory access patterns.

Some caches have additional restrictions, like line-size, associativity, etc.

However, this algorithm can still be used to compare a real-world algorithm against the optimum cache miss rate possible.

Belady eviction rule

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Replace the element in the cache that is accessed "farthest into the future"













Here is an alternate optimal set of cache operations.

Surprising theorem

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The schedule S_{ff} produced by the Belady "farthest in the future" eviction rule is optimal.



Reduced schedule:



A list of instructions for each access that is either "NOP" or "evict x for y"

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Reduced schedule:

A schedule in which "evict x for y" instruction only occurs when y is accessed.

Note: any schedule can be transformed into a reduced schedule with the same or fewer cache misses. (Idea: starting at the end, defer "evict...t" until y is read)

Non-Reduced Schedule example



Example of a non-reduced schedule. At this point, the cache evicts (b,c) when "a" is being accessed. It is possible to delay this eviction until "c" is accessed, thereby leading to a reduced schedule.

Exchange lemma

Exchange lemma

Let S be a reduced schedule that agrees with S_{ff} on the first j accesses.

Then there exists a schedule S' that agrees with $S_{f\!f}$ on the first j+1 accesses and has the same or fewer misses.

What does it mean for 2 schedules to agree?

A schedule is a sequence of cache instructions: NOP,NOP,NOP,evict(c,d),NOP,NOP,...



For example, these two schedules agree on the first three operations.

Some optimal schedule.

 S^*







Some optimal schedule. 1* C Agrees with $S_{\!f\!f}$ on the first access. Can be constructed by applying the Lemma Agrees with S_{ff} on to S^* which agrees the first two on 0 accesses. accesses.



Some optimal schedule.

1* S S_3 Agrees with S_{ff} on the first access. Can be constructed by applying the Lemma Agrees with S_{ff} on to S^* which agrees the first two on 0 accesses. accesses.

 S_{n-1} Sff

 S_{ff} has the same number of cache misses as S^* .

Agrees with S_{ff} on the first three accesses.

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Agrees with S_{ff} on the first three accesses.

 $miss(S^*) \ge miss(S_1) \ge miss(S_2) \ge \dots \ge miss(S_n)$







Since S^* is optimal, this means that all of these relations need to be equality.

This also means the S_{ff} is therefore optimal.







$$miss(S^*) \ge miss(S_1) \ge miss(S_2) \ge \dots \ge miss(S_n) = miss(S_{ff})$$

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Proof of Lemma

Let S be a reduced sched that agrees with $S_{\rm ff}$ on the first j items. There exists a reduced sched **S'** that agrees with $S_{\rm ff}$ on the first j+1 items and has the same or fewer #misses as S.

Proof of Lemma

Let S be a reduced sched that agrees with $S_{\rm ff}$ on the first j items. There exists a reduced sched **S'** that agrees with $S_{\rm ff}$ on the first j+1 items and has the same or fewer #misses as S.

At time j, both S and S_{ff} have the same state. Let d be the element accessed at time j+1.






Both S and S_{ff} agree since both do NOPs at j+1.

Proof of lemma

State of the cache after J operations under the two schedules.



easy case 2



easy case 2 d is not in the cache, but both schedules "evict e for d."



easy case 2 d is not in the cache, but both schedules "evict e for d."

Both S and $S_{f\!f}$ agree at j+1.

Proof of lemma



Proof of lemma







The state of the cache after this operation:





Challenge: the lemma requires us to find some schedule S' that agrees with $S_{f\!f}$ and has the same or fewer misses as S.

Timeline







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Copy j+1 from S_{ff} . Then copy from S until t (the first time that either e or f are involved). Then copy from S until the end.

Timeline



Copy j+1 from S_{ff} . Then copy from S until t (the first time that either e or f are involved). Then copy from S until the end. Challenge: Argue that S' has the same misses as S.



Let *t* be the first access that either e or f are involved. What if t is "access e":



What if t = access e:

d e

S needs to evict some element to load e. If it evicts(f,e), then S' can do a NOP.



S

If it evicts(h,e) $h \neq f$, S' can evict(h,f) and maintain equality of the cache.







This case is impossible because f is accessed "farthest in the future."



what if t is evict(f,x) ?



what if t is evict(f,x) ?

Then S' can evict(e,x) and have the same cache state.



What have we shown



Let S be a reduced sched that agrees with $S_{\rm ff}$ on the first j items. There exists a reduced sched **S'** that agrees with $S_{\rm ff}$ on the first j+1 items and has the same or fewer #misses as **S**. Let S be a reduced sched that agrees with $S_{\rm ff}$ on the first j items. There exists a reduced sched **S'** that agrees with $S_{\rm ff}$ on the first j+1 items and has the same or fewer #misses as S.





Recap

The greedy algorithm is quite simple.

But the analysis for why the solution works is more subtle and complicated.

In this case, we had to apply the exchange lemma multiple times to prove optimality.

Huffman





SAMUEL MORSE







MOSCOW — President Vladimir V. Putin's typically theatrical order to withdraw the bulk of Russian forces from Syria, a process that the Defense Ministry said it began on Tuesday, seemingly caught Washington, Damascus and everybody in between off guard — just the way the Russian leader likes it.

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Characters in the msg

 $c \in C \quad f_c \qquad T$ e: 235 i: 200 o: 170 u: 87 p: 78 g: 47 b: 40 f: 24

881

<u>cole</u> <u>T</u> • <u>000</u> ℓ_c $c \in C \quad f_c$ ∩e: 235 i: 200 3 3 3 3 3 3 3 3 3 3 3 3 001 o: 170 010 87 011 u: 78 100 p: g: 47 101 b: 40 110 f: 24 7 111 -881

 $\overline{}$

def: cost of an encoding att time, cappens in the m $B(T, \{f_c\}) = \sum f_c \cdot \ell_c$ Clength of the encoding of $c \in C$ $c \in C \quad f_c$ T ℓ_c 000 001 e: 235 i: 200 o: 170 010 с. u: 87 011 78 100 p: g: 47 101 3 b: 40 110 f: 24 3 111 2643 881-3 Ξ

character frequency



Morse code

International Morse Code

- 1 dash = 3 dots.
- The space between parts of the same letter = 1 dot.
- The space between letters = 3 dots.
- The space between words = 7 dots.



Morse code

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A A ETET (2-ENT AET. EK

def: prefix-free code
def: prefix code

 $\forall x, y \in C, x \neq y \implies \text{CODE}(x) \text{ not a prefix of } \text{CODE}(y)$

e:	235	Θ
i:	200	10
0:	170	110
u:	87	1110
p:	78	11110
g:	47	111110
b:	40	1111110
f:	24	11111110
		\sim

Example of a prefix free code

decoding a prefix code

e: 235 0 10 i: 200 o: 170 110 u: 87 1110 p: 78 11110 g: 47 111110 b: 40 1111110 11111110 f: 24









binary tree

The prefix-free code and the binary tree are different representations of the same object.

use tree to encode $c \in C \quad f_c$ T ℓ_c 2, 2 2. 00 01 10 e: 235 i: 200 0 o: 170 3 ' u: 87 110 p: 78 111 3 • Ø 0 0

p

u

i

0

e

goal

(all frequencies are > 0)

Given the character frequencies $\{f_c\}_{c\in C}$

PRODUCE A PREFIX CODE T WITH SMALLEST COST $\min_{T} B(T, \{f_c\})$

property







A full tree has nodes with either 0 or 2 children.

property



A full tree has nodes with either 0 or 2 children. →Consider a node with only 1 child.

a:0100

prope



A full tree has nodes with either 0 or 2 children. Consider a node with only 1 child.

The length of the code for this child can be reduced by replacing the parent with the child.

Thus, the cost of the code can be reduced or remain equal if the parent is replaced by the child

divide & conquer Tug of War?





counter-example

e: 32 2: 64 i: 25 2: 50 o: 20 3: 60 u: 18 2: 36 p: 5 3: 15 225



counter-example





By switching {u,o}, the cost of the code can be reduced. It can be reduced further with an optimal code.

Huffman construction



















Resulting coll





e:	235	01	470
i:	200	11	400
0:	170	10	340
u:	87	0011	348
p:	78	0010	312
g:	47	0000	188
b:	40	00011	200
f:	24	00010	120
			2378



objective

The goal is to prove that the procedure outlined produced an optimal code. Taking a greedy step to make the problem one size smaller is optimal.

LEMMA: Let $x, y \in C$ be characters with smallest frequencies f_x, f_y . There exists an optimal prefix code T'' for C in which x, y are siblings. That is, the codes for x, y have the same length and only differ in the last bit.



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Idea: take an arbitrary optimal tree T for a prefix code and modify it into another optimal tree in which x,y are sibling children at the lowest level of the tree.

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PROOF: Let T be an optimal code. If my are siblings in T, then the learna holds. If not, let a, be the sibling nodes with the largest depth. These Z must exist because T is full.

LEMMA: Let $x, y \in C$ be characters with smallest frequencies f_x, f_y . There exists an optimal prefix code T'' for C in which x, y are siblings. That is, the codes for x, y have the same length and only differ in the last bit.

PROOF:

Let T be an optimal code. If x, y are siblings in T, then the lemma holds. Otherwise, since T is full, let a, b be the sibling

nodes with the largest depth. (Q: Why do a, b exist?)



LEMMA: Let $x, y \in C$ be characters with smallest frequencies f_x, f_y . There exists an optimal prefix code T'' for C in which x, y are siblings. That is, the codes for x, y have the same length and only differ in the last bit.

EXAMPLE OF SUCH A TREE



Suppose wlog that $f_x \leq f_a, f_y \leq f_b$

The first step is to exchange x with a to construct a new tree T'.

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 $B(T) = Z + f_x \cdot \ell_x + f_a \cdot \ell_a$

$$B(T') = Z + f_x \cdot \ell_a + f_a \cdot \ell_x$$
This tree is optimal.

7 $B(T) = \mathbb{Z} + f_{x} \cdot \mathcal{\ell}_{x} + f_{a} \cdot \mathcal{\ell}_{a}$ $B(T') = Z + f_x \cdot \ell_a + f_a \cdot \ell_x$ $= \int_{-\infty}^{\infty} f_x \cdot \ell_x - f_x \cdot \ell_x$ $B(T) - B(T') = f_{\mathcal{K}} (l_{\mathcal{K}} - l_{\alpha}) + f_{\alpha} (l_{\alpha} - l_{\mathcal{K}})$ $= f_{x}(l_{x}-l_{n}) - f_{a}(l_{x}-l_{n}) \qquad B(T) - B(T') = 0$ = $(f_{x} - f_{a})(l_{x}-l_{n}) \qquad be cause B(T) is optimized$ because B(T) is optimal =) B(T') is optimal 40

This tree is optimal.



 $B(T) - B(T') = f_x \ell_x + f_a \ell_a - f_a \ell_x - f_x \ell_a$ $= f_x (\ell_x - \ell_a) - f_a (\ell_x - \ell_a)$ $= (f_x - f_a)(\ell_x - \ell_a)$ Both terms must be ≤ 0 because $f_x \leq f_a, \ell_x \leq \ell_a$ But since B(T) is optimal, the product must be 0.

$$f_x \leq f_a$$

$$B(T) = \sum_c f_c \ell_c + f_x \ell_x + f_a \ell_a \quad B(T') = \sum_c f_c \ell'_c + f_x \ell'_x + f_a \ell'_a$$

$$B(T) - B(T') = 0$$
This mean that T' is also an optimal code.





We can apply the same argument to y, b.

$$\underbrace{B(T') - B(T'') = 0}_{\text{is also optimel.}}$$





 $B(T) - B(T') \ge 0$ $B(T') - B(T'') \ge 0$

 $T^{\prime\prime}_{
m is also optimal}$

exchange argument

LEMMA: Let $x, y \in C$ be characters with smallest frequencies f_x, f_y . There exists an optimal prefix code T'' for C in which x, y are siblings. That is, the codes for x, y have the same length and only differ in the last bit.



optimal sub-structure $f_x f_y$



optimal sub-structure 200 170 87 78 47 40 235 PROBLEM OF SIZE n $f_{c'}$ 235 200 170 87 78 47 64 PROBLEM OF SIZE n-1 f_z LEMMA: The optimal prifix free code T for & fe } consists of computing the optimal code for Sfc. 3 and then replacing 2 with Exig3.

optimal sub-structure f_c 235 200 170 87 78 47 40 24 PROBLEM OF SIZE N f_c' 235 200 170 87 78 47 64 f_c' 235 200 170 87 78 47 64 f_z' 78 47 64 f_z 78 47 64

LEMMA: The optimal solution T for f_c consists of computing an optimal solution T' for $f_{c'}$ and replacing the node for z with an internal node having children x, y.

Let T' be an optimal solution for $f_{c'}$ of size n-1.



Our lemma suggests constructing T by replacing z with {x,y} leaves.





$$B(T) = B(T') - f_z \ell_z + (\ell_z + 1)(f_x + f_y)$$

= $B(T') + f_x + f_y$





Rearranging, we get $B(T') = B(T) - f_x - f_y$

Suppose T is not optimal

What does that mean?

There exists some other code (l s.t. B(u) = B(T) and in U, x and y are siblings by the exchange lemma.

Suppose T is not optimal

What does that mean?

There exists another tree U such that B(U) < B(T).

Moreover, by the exchange lemma, there exists a U' such that x,y are siblings.









B(U') < B(T')





B(U') < B(T')



