

COMP526 (Fall 2023) University of Liverpool version 2023-10-20 19:49 H

Learning Outcomes

- 1. Know and use typical notions for *strings* (substring, prefix, suffix, etc.).
- **2.** Understand principles and implementation of the *KMP*, *BM*, and *RK* algorithms.
- **3.** Know the *performance characteristics* of the KMP, BM, and RK algorithms.
- **4.** Be able to solve simple *stringology problems* using the *KMP failure function*.

Unit 4: String Matching



Outline

4 String Matching

- 4.1 String Notation
- 4.2 Brute Force
- 4.3 String Matching with Finite Automata
- 4.4 Constructing String Matching Automata
- 4.5 The Knuth-Morris-Pratt algorithm
- 4.6 Beyond Optimal? The Boyer-Moore Algorithm
- 4.7 The Rabin-Karp Algorithm

4.1 String Notation

Ubiquitous strings

- *string* = sequence of characters
 - universal data type for ... everything!
 - natural language texts
 - programs (source code)
 - websites
 - XML documents
 - DNA sequences
 - bitstrings
 - ... a computer's memory ~> ultimately any data is a string
 - $\rightsquigarrow\,$ many different tasks and algorithms
 - ► This unit: finding (exact) occurrences of a pattern text.
 - ► Ctrl+F
 - ► grep
 - computer forensics (e.g. find signature of file on disk)
 - virus scanner
 - basis for many advanced applications

Notations

- alphabet Σ : finite set of allowed characters; $\sigma = |\Sigma|$ "a string over alphabet Σ "
 - letters (Latin, Greek, Arabic, Cyrillic, Asian scripts, ...)
 - "what you can type on a keyboard", Unicode characters
 - $\{0,1\}$; nucleotides $\{A, C, G, T\}$;...

comprehensive standard character set including emoji and all known symbols

zero-based (like arrays)!

- $\Sigma^n = \Sigma \times \cdots \times \Sigma$: strings of length $n \in \mathbb{N}_0$ (*n*-tuples)
- $\Sigma^{\star} = \bigcup_{n \ge 0} \Sigma^n$: set of all (finite) strings over Σ
- $\Sigma^+ = \bigcup_{n \ge 1} \Sigma^n$: set of **all** (finite) **nonempty** strings over Σ
- $\varepsilon \in \Sigma^0$: the *empty* string (same for all alphabets)
- ▶ for $S \in \Sigma^n$, write S[i] (other sources: S_i) for *i*th character $(0 \le i < n)$
- for $S, T \in \Sigma^*$, write $ST = S \cdot T$ for **concatenation** of *S* and *T*
- ▶ for $S \in \Sigma^n$, write S[i..j] or $S_{i,j}$ for the substring $S[i] \cdot S[i+1] \cdots S[j]$ $(0 \le i \le j < n)$
 - ► S[0..*j*] is a prefix of S; S[*i*..*n* − 1] is a suffix of S
 - ► S[i..j) = S[i..j-1] (endpoint exclusive) $\rightsquigarrow S = S[0..n)$

String matching – Definition

Search for a string (pattern) in a large body of text

► Input:

- $T \in \Sigma^n$: The *text* (haystack) being searched within
- ▶ $P \in \Sigma^m$: The *pattern* (needle) being searched for; typically $n \gg m$

Output:

- ▶ the first occurrence (match) of P in T: $\min\{i \in [0..n m) : T[i..i + m] = P\}$
- or NO_MATCH if there is no such i ("P does not occur in T")

► Variant: Find **all** occurrences of *P* in *T*.

 \rightsquigarrow Can do that iteratively (update *T* to T[i + 1..n) after match at *i*)

Example:

- ▶ T = "Where is he?"
- $\blacktriangleright P_1 = "he" \iff i = 1$
- ▶ $P_2 =$ "who" \rightsquigarrow NO_MATCH

string matching is implemented in Java in String.indexOf, in Python as str.find

4.2 Brute Force

Abstract idea of algorithms

String matching algorithms typically use guesses and checks:

- A guess is a position *i* such that *P* might start at T[i]. Possible guesses (initially) are $0 \le i \le n - m$.
- A **check** of a guess is a comparison of T[i + j] to P[j].
- Note: need all *m* checks to verify a single *correct* guess *i*, but it may take (many) fewer checks to recognize an *incorrect* guess.
- Cost measure: #character comparisons
- \rightsquigarrow #checks $\leq n \cdot m$ (number of possible checks)

Brute-force method

1 procedure bruteForceSM(T[0..n), P[0..m)) 2 for i := 0, ..., n - m - 1 do 3 for j := 0, ..., m - 1 do 4 if $T[i + j] \neq P[j]$ then break inner loop 5 if j == m then return i6 return NO MATCH

- try all guesses i
- check each guess (left to right); stop early on mismatch
- essentially the implementation in Java!

Example:
 T = abbbababbab
 P = abba
 ~> 15 char cmps

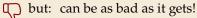
 $(vs n \cdot m = 44)$ not too bad!

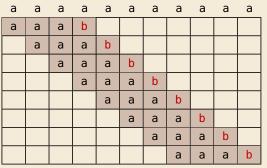
а	b	b	b	а	b	а	b	b	а	b
а	b	b	а							
	а									
		а								
			а							
				а	b	b				
					а					
						а	b	b	а	
	_	a b	a b b a	a b b a a . a a .	a b b a a a a a b a a a a a a a	a b a a a a a b a b a b	a b a a a a a a a b a b	a b a a a a a a a a a b a b b	a b a a a a a a b a a a a a	a b b a

Brute-force method – Discussion

Brute-force method can be good enough

- typically works well for natural language text
- also for random strings





- Worst possible input: $P = a^{m-1}b$, $T = a^n$
- Worst-case performance: $(n m + 1) \cdot m$
- \rightsquigarrow for $m \le n/2$ that is $\Theta(mn)$

- ▶ Bad input: lots of self-similarity in $T! \rightarrow$ can we exploit that?
- ► brute force does 'obviously' stupid repetitive comparisons ~>> can we avoid that?

Roadmap

- Approach 1 (this week): Use *preprocessing* on the pattern P to eliminate guesses (avoid 'obvious' redundant work)
 - Deterministic finite automata (DFA)
 - Knuth-Morris-Pratt algorithm
 - Boyer-Moore algorithm
 - Rabin-Karp algorithm
- ► Approach 2 (~> Unit 8): Do preprocessing on the text T Can find matches in time independent of text size(!)
 - inverted indices
 - Suffix trees
 - Suffix arrays

4.3 String Matching with Finite Automata

Theoretical Computer Science to the rescue!

- string matching = deciding whether $T \in \Sigma^{\star} \cdot P \cdot \Sigma^{\star}$
- $\Sigma^* \cdot P \cdot \Sigma^*$ is *regular* formal language
- $\rightsquigarrow \exists$ deterministic finite automaton (DFA) to recognize $\Sigma^{\star} \cdot P \cdot \Sigma^{\star}$
- \rightsquigarrow can check for occurrence of *P* in |T| = n steps!





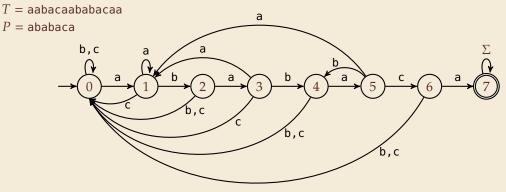
We are not quite done yet.

- ▶ (Problem 0: programmer might not know automata and formal languages ...)
- Problem 1: existence alone does not give an algorithm!
- Problem 2: automaton could be very big!

String matching with DFA

- Assume first, we already have a deterministic automaton
- How does string matching work?

Example:



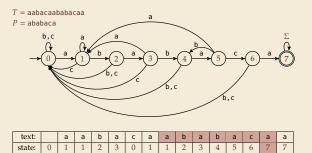
text:		а	а	b	а	с	а	а	b	а	b	а	С	а	а
state:	0	1	1	2	3	0	1	1	2	3	4	5	6	7	7

String matching DFA – Intuition

Why does this work?

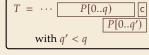
Main insight:

State *q* means: *"we have seen P*[0..*q*) *until here (but not any longer prefix of P)"*



▶ If the next text character *c* does not match, we know:

- (i) text seen so far ends with $P[0...q) \cdot c$
- (ii) $P[0...q) \cdot c$ is not a prefix of P
- (iii) without reading c, P[0..q) was the *longest* prefix of P that ends here.



- \rightsquigarrow New longest matched prefix will be (weakly) shorter than q
- → All information about the text needed to determine it is contained in $P[0...q) \cdot c!$

4.4 Constructing String Matching Automata

NFA instead of DFA?

It remains to *construct* the DFA.

► trivial part:
$$\rightarrow 0$$
 $\stackrel{\Sigma}{\longrightarrow} 1$ $\stackrel{b}{\longrightarrow} 2$ $\stackrel{a}{\longrightarrow} 3$ $\stackrel{b}{\longrightarrow} 4$ $\stackrel{a}{\longrightarrow} 5$ $\stackrel{c}{\longrightarrow} 6$ $\stackrel{a}{\longrightarrow} 7$

▶ that actually is a *nondeterministic finite automaton* (NFA) for $\Sigma^* P \Sigma^*$

→ We *could* use the NFA directly for string matching:

- at any point in time, we are in a set of states
- accept when one of them is final state

Example:

text:		а	а	b	а	с	а	а	b	а	b	а	с	а	а
state:	0	0,1	0,1	0,2	0,1,3	0	0,1	0,1	0,2	0,1,3	0,2,4	0,1,3,5	0,6	0,1,7	0,1,7

But maintaining a whole set makes this slow ...

Computing DFA directly



You have an NFA and want a DFA? Simply apply the power-set construction (and maybe DFA minimization)!

The powerset method has exponential state blow up! I guess I might as well use brute force ...



Ingenious algorithm by Knuth, Morris, and Pratt: construct DFA *inductively*: Suppose we add character P[j] to automaton A_{j-1} for P[0..j)

- add new state and matching transition ~> easy
- for each $c \neq P[j]$, we need $\delta(j, c)$ (transition from (j) when reading c)
- $\delta(j, c) = \text{ length of the longest prefix of } P[0..j)c \text{ that is a suffix of } P[1..j)c$
 - = state of automaton after reading *P*[1..*j*)*c*
 - $\leq j \rightsquigarrow$ can use known automaton A_{j-1} for that!
- \rightsquigarrow can directly compute A_j from A_{j-1} !

) seems to require simulating automata $m \cdot \sigma$ times

State *q* means: "we have seen *P*[0..*q*) until here (but not any longer prefix of *P*)"

Computing DFA efficiently

KMP's second insight: simulations in one step differ only in last symbol

 \rightsquigarrow simply maintain state *x*, the state after reading *P*[1..*j*).

copy its transitions

update x by following transitions for P[j]

```
procedure constructDFA(P[0..m))
```

```
<sup>2</sup> // \delta[q][c] = target state when reading c in state q
```

```
\mathbf{for} \ c \in \Sigma \ \mathbf{do}
```

```
_{4} \qquad \qquad \delta[0][c] := 0
```

```
_{5} \delta[0][P[0]] := 1
```

```
x := 0
```

8

9

11

```
7 for j = 1, ..., m - 1 do
```

```
for c \in \Sigma do // copy transitions
```

```
\delta[j][c] := \delta[x][c]
```

10 $\delta[j][P[j]] := j + 1 // match edge$

 $x := \delta[x][P[j]] // update x$

Example: P[0..6) = ababac

$\delta(c,q)$	0	1	2	3	4	5
а	1	1	3	1	5	1
b	0	2	0	4	0	4
С	0	0	0	0	0	6

String matching with DFA – Discussion

Time:

- Matching: *n* table lookups for DFA transitions
- ▶ building DFA: $\Theta(m\sigma)$ time (constant time per transition edge).
- $\rightsquigarrow \Theta(m\sigma + n)$ time for string matching.

Space:

• $\Theta(m\sigma)$ space for transition matrix.

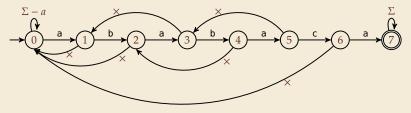
fast matching time actually: hard to beat! **total time asymptotically optimal for small alphabet** (for $\sigma = O(n/m)$)

Substantial **space overhead**, in particular for large alphabets

4.5 The Knuth-Morris-Pratt algorithm

Failure Links

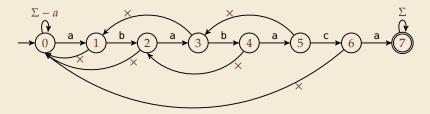
- ► Recall: String matching with is DFA fast, but needs table of $m \times \sigma$ transitions.
- ▶ in fast DFA construction, we used that all simulations differ only by *last* symbol
- ✓ KMP's third insight: do this last step of simulation from state *x* during *matching*! ... but how?
- **Answer:** Use a new type of transition, the *failure links*
 - Use this transition (only) if no other one fits.
 - ▶ × *does not consume a character.* → might follow several failure links

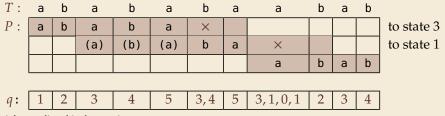


→ Computations are deterministic (but automaton is not a real DFA.)

Failure link automaton – Example

Example: T = abababaaaca, P = ababaca





(after reading this character)

The Knuth-Morris-Pratt Algorithm

¹ procedure KMP(T[0..n), P[0..m)) fail[0..m] := failureLinks(P)2 i := 0 // current position in T3 q := 0 // current state of KMP automaton4 while i < n do 5 if T[i] == P[q] then 6 i := i + 1; q := q + 17 if q == m then 8 **return** *i* – *q* // occurrence found 9 else // i.e. $T[i] \neq P[q]$ 10 if $q \ge 1$ then 11 $q := fail[q] // follow one \times$ 12 else 13 i := i + 114 end while 15 return NO MATCH 16

- only need single array *fail* for failure links
- (procedure failureLinks later)

Analysis: (matching part)

- always have fail[j] < j for $j \ge 1$
- \rightsquigarrow in each iteration
 - either advance position in text
 (i := i + 1)
 - or shift pattern forward (guess *i* - *q*)
- each can happen at most n times
- $\rightsquigarrow \leq 2n$ symbol comparisons!

Computing failure links

- ▶ failure links point to error state *x* (from DFA construction)
- \rightsquigarrow run same algorithm, but store *fail*[*j*] := *x* instead of copying all transitions

```
<sup>1</sup> procedure failureLinks(P[0..m))
      fail[0] := 0
2
      x := 0
3
      for i := 1, ..., m - 1 do
4
           fail[j] := x
5
           // update failure state using failure links:
6
           while P[x] \neq P[i]
7
                if x == 0 then
8
                     x := -1; break
9
                else
10
                     x := fail[x]
11
           end while
12
           x := x + 1
13
       end for
14
```

Analysis:

- ▶ *m* iterations of for loop
- while loop always decrements x
- x is incremented only once per iteration of for loop
- $\rightsquigarrow \leq m$ iterations of while loop *in total*
- $\rightsquigarrow \leq 2m$ symbol comparisons

Knuth-Morris-Pratt – Discussion

Time:

- $\leq 2n + 2m = O(n + m)$ character comparisons
- clearly must at least read both T and P
- $\rightsquigarrow KMP has optimal worst-case complexity!$

Space:

• $\Theta(m)$ space for failure links

total time asymptotically optimal (for any alphabet size)reasonable extra space

The KMP prefix function

- ▶ It turns out that the failure links are useful beyond KMP
- ▶ a slight variation is more widely used: (for historic reasons) the (KMP) *prefix function* $F : [1..m 1] \rightarrow [0..m 1]$:

F[j] is the length of the longest prefix of P[0..j] that is a suffix of P[1..j].

• Can show: fail[j] = F[j-1] for $j \ge 1$, and hence

fail[j] = length of thelongest prefix of P[0..j)that is a suffix of P[1..j). 4.6 Beyond Optimal? The Boyer-Moore Algorithm

Motivation

- ▶ KMP is an optimal algorithm, isn't it? What else could we hope for?
- ► KMP is "only" optimal in the worst-case (and up to constant factors)
- how many comparisons do we need for the following instance? T = aaaaaaaaaaaaaaaaaaa, P = xxxxx
 - there are no matches
 - we can *certify* the correctness of that output with only 4 comparisons:

Т	а	а	а	а	а	а	а	а	а	а	а	а	а	а	а	а
					х											
										х						
															х	
																х

→ We did *not* even read most characters!

Boyer-Moore Algorithm

- Let's check guesses from right to left!
- ▶ If we are lucky, we can eliminate several shifts in one shot!

must avoid (excessive) redundant checks, e. g., for $T = a^n$, $P = ba^{m-1}$

 \rightsquigarrow New rules:

- **Bad character jumps**: Upon mismatch at T[i] = c:
 - ▶ If *P* does not contain *c*, shift *P* entirely past *i*!
 - ▶ Otherwise, shift *P* to align the *last occurrence* of *c* in *P* with *T*[*i*].
- Good suffix jumps:

Upon a mismatch, shift so that the already matched *suffix* of *P* aligns with a previous occurrence of that suffix (or part of it) in *P*. (Details follow; ideas similar to KMP failure links)

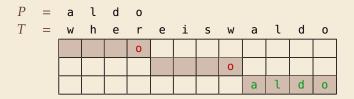
 \rightsquigarrow two possible shifts (next guesses); use larger jump.

Boyer-Moore Algorithm – Code

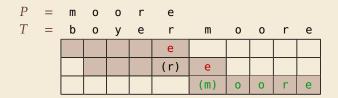
```
<sup>1</sup> procedure boyerMoore(T[0..n), P[0..m))
       \lambda := \text{computeLastOccurrences}(P)
2
       \gamma := \text{computeGoodSuffixes}(P)
3
      i := 0 // current guess
4
      while i < n - m
5
            j := m - 1 // next position in P to check
6
            while j \ge 0 \land P[j] == T[i + j] do
7
                i := i - 1
8
            if j = -1 then
9
                 return i
10
            else
11
                 i := i + \max\{j - \lambda[T[i+j]], \gamma[j]\}
12
       return NO MATCH
13
```

- λ and γ explained below
- shift forward is larger of two heuristics
- shift is always positive (see below)

Bad character examples



 \rightsquigarrow 6 characters not looked at

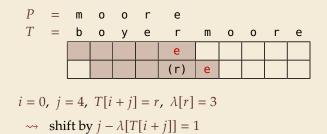


 \rightsquigarrow 4 characters not looked at

Last-Occurrence Function

- Preprocess pattern P and alphabet Σ
- *last-occurrence function* $\lambda[c]$ defined as
 - the largest index i such that P[i] = c or
 - ▶ −1 if no such index exists

LAUI	ipic.	1 -	- 11101	JIC	
С	m	0	r	е	all others
$\lambda[c]$	0	2	3	4	-1

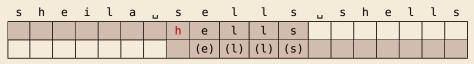


- λ easily computed in $O(m + \sigma)$ time.
- store as array $\lambda[0..\sigma)$.

► Example: P = moore

Good suffix examples

1. $P = sells_{i}shells$



2. P = odetofood

i	ι	i	k	е	f	0	0	d	f	r	0	m	m	е	Х	i	С	0
				0	f	0	0	d										
							(0)	(d)										

matched suffix

- **Crucial ingredient:** longest suffix of P[j+1..m) that occurs earlier in *P*.
- 2 cases (as illustrated above)
 - **1.** complete suffix occurs in $P \rightarrow$ characters left of suffix are *not* known to match
 - **2.** part of suffix occurs at beginning of *P*

Good suffix jumps

- Precompute *good suffix jumps* $\gamma[0..m)$:
 - For $0 \le j < m$, $\gamma[j]$ stores shift if search failed at P[j]
 - At this point, had T[i+j+1...i+m) = P[j+1...m), but $T[i] \neq P[j]$
 - $\rightsquigarrow \gamma[j]$ is the shift $m \ell$ for the *largest* ℓ such that
 - ▶ P[j+1..m) is a suffix of $P[0..\ell)$ and $P[j] \neq P[j-(m-\ell)]$

			h	е	ι	ι	S				
			×	(e)	(1)	(l)	(s)				

-OR-

• $P[0..\ell)$ is a suffix of P[j+1..m)

		0	f	0	0	d					
					(0)	(d)					

- Computable (similar to KMP failure function) in $\Theta(m)$ time.
- Note: You do not need to know how to find the values γ[j] for the exam, but you should be able to find the next guess on examples.

Boyer-Moore algorithm – Discussion

Worst-case running time $\in O(n + m + \sigma)$ if *P* does *not* occur in *T*. (follows from not at all obvious analysis!)

 \square As given, worst-case running time $\Theta(nm)$ if we want to report all occurrences

- To avoid that, have to keep track of implied matches. (tricky because they can be in the "middle" of P)
- Note: KMP reports all matches in O(n + m) without modifications!

On typical *English text*, Boyer Moore probes only approx. 25% of the characters in *T*! ~ Faster than KMP on English text.

requires moderate extra space $\Theta(m + \sigma)$

4.7 The Rabin-Karp Algorithm

Space – The final frontier

- ▶ Knuth-Morris-Pratt has great worst case and real-time guarantees
- Boyer-Moore has great typical behavior
- ▶ What else to hope for?
- All require Ω(m) extra space; can be substantial for large patterns!
- Can we avoid that?

Rabin-Karp Fingerprint Algorithm – Idea

Idea: use *hashing* (but without explicit hash tables)

- Precompute & store only *hash* of pattern
- Compute hash for each guess
- ▶ If hashes agree, check characterwise

Example: (treat (sub)strings as decimal numbers) P = 59265 T = 3141592653589793238Hash function: $h(x) = x \mod 97$ $\rightsquigarrow h(P) = 95.$

Rabin-Karp Fingerprint Algorithm – First Attempt

¹ **procedure** rabinKarpSimplistic(T[0..n), P[0..m)) M := suitable prime number 2 $h_P := \text{computeHash}(P[0..m), M)$ 3 **for** i := 0, ..., n - m **do** 4 $h_T := \text{computeHash}(T[i..i + m), M)$ 5 if $h_T == h_P$ then 6 if T[i..i + m] == P // m comparisons 7 then return *i* 8 return NO MATCH 9

• never misses a match since $h(S_1) \neq h(S_2)$ implies $S_1 \neq S_2$

▶ $h(T[k..k+m) \text{ depends on } m \text{ characters } \rightarrow \text{ naive computation takes } \Theta(m) \text{ time}$

 \rightsquigarrow Running time is $\Theta(mn)$ for search miss . . . can we improve this?

Rabin-Karp Fingerprint Algorithm – Fast Rehash

- **Crucial insight:** We can update hashes in constant time.
 - Use previous hash to compute next hash
 - ► *O*(1) time per hash, except first one

Example:

- ▶ Pre-compute: 10000 mod 97 = 9
- Previous hash: 41592 mod 97 = 76
- ▶ Next hash: 15926 mod 97 = ??

Observation:

$$15926 \mod 97 = (41592 - (4 \cdot 10000)) \cdot 10 + 6 \mod 97$$

= (76 - (4 \cdot 9 \cdot)) \cdot 10 + 6 \cdot 6 \cdot 97
= 406 \cdot 6 \cdot 97 = 18

for above hash function!

Rabin-Karp Fingerprint Algorithm – Code

• use a convenient radix $R \ge \sigma$ (R = 10 in our examples; $R = 2^k$ is faster)

Choose modulus *M* at *random* to be huge prime (randomization against worst-case inputs)

▶ all numbers remain $\leq 2R^2 \iff O(1)$ time arithmetic on word-RAM

¹ **procedure** rabinKarp(T[0..n), P[0..m), R) M := suitable prime number 2 $h_P := \text{computeHash}(P[0..m), M)$ 3 $h_T := \text{computeHash}(T[0..m), M)$ 4 $s := R^{m-1} \mod M$ 5 **for** i := 0, ..., n - m **do** 6 if $h_T == h_P$ then 7 if T[i..i+m) = P8 return *i* 9 if i < n - m then 10 $h_T := ((h_T - T[i] \cdot s) \cdot R + T[i + m]) \mod M$ 11 return NO MATCH 12

Rabin-Karp – Discussion

- \square Expected running time is O(m + n)
- Extends to 2D patterns and other generalizations
- Only constant extra space!

String Matching Conclusion

	Brute- Force	DFA	KMP	BM	RK	Suffix trees*
Preproc. time	_	$O(m\sigma)$	O(m)	$O(m + \sigma)$	O(m)	<i>O</i> (<i>n</i>)
Search time	O(nm)	O(n)	O(n)	O(n) (often better)	O(n + m) (expected)	O(m)
Extra space	—	$O(m\sigma)$	O(m)	$O(m + \sigma)$	<i>O</i> (1)	<i>O</i> (<i>n</i>)

* (see Unit 8)