# Principles of Software Construction:

The Design of the Collections API – Parts 1 & 2

**Josh Bloch** 

**Charlie Garrod** 





#### Administrivia

- Homework 4b due today
- Grab an API design quick reference!
  - https://drive.google.com/open?id=0B941PmRjYRpn WDBYZTVhZkE5Vm8

# We take you back now to the late '90s

- It was a simpler time
  - Java had only Vector, Hashtable & Enumeration
  - But it needed more; platform was growing!
- The barbarians were pounding the gates
  - JGL was a transliteration of STL to Java
  - It had 130 (!) classes and interfaces
  - The JGL designers wanted badly to put it in the JDK
- It fell to me to design something better<sup>©</sup>

IST institute for SOFTWARE RESEARCH

### Here's the first collections talk ever

- Debuted at JavaOne 1998
- No one knew what a collections framework was
  - Or why they needed one
- Talk aimed to
  - Explain the concept
  - Sell Java programmers on this framework
  - Teach them to use it



# The Java<sup>TM</sup> Platform Collections Framework

Joshua Bloch
Sr. Staff Engineer, Collections Architect
Sun Microsystems, Inc.





institute for SOFTWARE RESEARCH

#### What is a Collection?

- Object that groups elements
- Main Uses
  - Data storage and retrieval
  - Data transmission
- Familiar Examples
  - java.util.Vector
  - java.util.Hashtable
  - array



IST institute for SOFTWARE RESEARCH

### What is a Collections Framework?

- Unified Architecture
  - Interfaces implementation-independence
  - Implementations reusable data structures
  - Algorithms reusable functionality
- Best-known examples
  - C++ Standard Template Library (STL)
  - Smalltalk collections



IST institute for SOFTWARE RESEARCH

#### Benefits

- Reduces programming effort
- Increases program speed and quality
- Interoperability among unrelated APIs
- Reduces effort to learn new APIs
- Reduces effort to design new APIs
- Fosters software reuse



IST institute for SOFTWARE RESEARCH

### Design Goals

- Small and simple
- Reasonably powerful
- Easily extensible
- Compatible with preexisting collections
- Must feel familiar





15-214

9

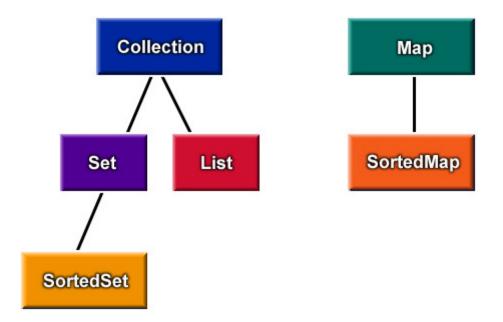
#### **Architecture Overview**

- Core Collection Interfaces
- General-Purpose Implementations
- Wrapper Implementations
- Abstract Implementations
- Algorithms





### Core Collection Interfaces





IST institute for SOFTWARE RESEARCH

15-214 **11** 

### Collection Interface

```
public interface Collection<E> {
   int size();
   boolean isEmpty();
   boolean contains(Object element);
   boolean remove(Object element); // Optional
   Iterator<E> iterator();
   Object[] toArray();
   T[] toArray(T a[]);
   // Bulk Operations
   boolean containsAll(Collection<?> c);
   boolean addAll(Collection<? Extends E> c); // Optional
   boolean removeAll(Collection<?> c); // Optional
   boolean retainAll(Collection<?> c); // Optional
   void clear();
                                     // Optional
```

IST institute for SOFTWARE RESEARCH

### Iterator Interface

- Replacement for Enumeration interface
  - Adds remove method
  - Improves method names

```
public interface Iterator<E> {
    boolean hasNext();
    E next();
    void remove(); // Optional
}
```





# Collection Example

#### Reusable algorithm to eliminate nulls

```
public static boolean removeNulls(Collection<?> c) {
    for (Iterator<?> i = c.iterator(); i.hasNext(); ) {
        if (i.next() == null)
            i.remove();
    }
}
```



IST institute for SOFTWARE RESEARCH

15-214

14

### Set Interface

- Adds no methods to Collection!
- Adds stipulation: no duplicate elements
- Mandates equals and hashCode calculation

```
public interface Set<E> extends Collection<E> {
}
```



IS Institute for SOFTWARE

#### Set Idioms

```
Set<Type> s1, s2;
boolean isSubset = s1.containsAll(s2);
Set<Type> union = new HashSet<>(s1);
union = union.addAll(s2);
Set<Type> intersection = new HashSet<>(s1);
intersection.retainAll(s2);
Set<Type> difference = new HashSet<>(s1);
difference.removeAll(s2);
Collection<Type> c;
Collection<Type> noDups = new HashSet<>(c);
```



### List Interface

#### A sequence of objects

```
public interface List<E> extends Collection<E> {
   E get(int index);
   E set(int index, E element);  // Optional
   void add(int index, E element); // Optional
   Object remove(int index); // Optional
   boolean addAll(int index, Collection<? extends E> c);
                                    // Optional
   int indexOf(Object o);
    int lastIndexOf(Object o);
   List<E> subList(int from, int to);
   ListIterator<E> listIterator();
   ListIterator<E> listIterator(int index);
```



### List Example

#### Reusable algorithms to swap and randomize

```
public static <E> void swap(List<E> a, int i, int j) {
    E tmp = a.get(i);
    a.set(i, a.get(j));
    a.set(j, tmp);
private static Random r = new Random();
public static void shuffle(List<?> a) {
    for (int i = a.size(); i > 1; i--)
        swap(a, i - 1, r.nextInt(i));
```



IST institute for SOFTWARE RESEARCH

#### List Idioms

```
List<Type> a, b;
// Concatenate two lists
a.addAll(b);
// Range-remove
a.subList(from, to).clear();
// Range-extract
List<Type> partView = a.subList(from, to);
List<Type> part = new ArrayList<>(partView);
partView.clear();
```



IST Institute for SOFTWARE RESEARCH

### Map Interface

### A key-value mapping

```
public interface Map<K,V> {
   int size();
   boolean isEmpty();
   boolean containsKey(Object key);
   boolean containsValue(Object value);
   Object get(Object key);
   Object put(K key, V value); // Optional
   Object remove(Object key); // Optional
   void putAll(Map<? Extends K, ? Extends V> t); // Opt.
   void clear();  // Optional
   // Collection Views
   public Set<K> keySet();
   public Collection<V> values();
   public Set<Map.Entry<K,V>> entrySet();
```

IST institute for SOFTWARE RESEARCH

### Map Idioms

```
// Iterate over all keys in Map m
Map<Key, Val> m;
for (iterator<Key> i = m.keySet().iterator(); i.hasNext(); )
    System.out.println(i.next());
// As of Java 5 (2004)
for (Key k : m.keySet())
    System.out.println(i.next());
// "Map algebra"
Map<Key, Val> a, b;
boolean isSubMap = a.entrySet().containsAll(b.entrySet());
Set<Key> commonKeys =
    new HashSet<>(a.keySet()).retainAll(b.keySet); [sic!]
//Remove keys from a that have mappings in b
a.keySet().removeAll(b.keySet());
```

# General Purpose Implementations

### **Consistent Naming and Behavior**

JAVA		Implementations			
		Hash Table	Resizable Array	Balanced Tree	Linked List
Interfaces	Set	HashSet		TreeSet	
	List		ArrayList		Linked List
	Мар	HashMap		TreeMap	



# Choosing an Implementation

- Set
  - HashSet -- O(1) access, no order guarantee
  - TreeSet -- O(log n) access, sorted
- Map
  - HashMap -- (See HashSet)
  - TreeMap -- (See TreeSet)
- List
  - ArrayList -- O(1) random access, O(n) insert/remove
  - LinkedList -- O(n) random access, O(1) insert/remove;
    - Use for queues and deques (no longer a good idea!)



# Implementation Behavior

#### Unlike Vector and Hashtable...

- Fail-fast iterator
- Null elements, keys, values permitted
- **Not** thread-safe





15-214 **24** 

### Synchronization Wrappers

### A new approach to thread safety

- Anonymous implementations, one per core interface
- Static factories take collection of appropriate type
- Thread-safety assured if all access through wrapper
- Must manually synchronize iteration
- It was new then; it's old now!
  - Synch wrappers are largely obsolete
  - Made obsolete by concurrent collections



IS I institute for SOFTWARE

L5-214 **25** 

# Synchronization Wrapper Example

```
Set<String> s = Collections.synchronizedSet(new HashSet<>());
s.add("wombat"); // Thread-safe
synchronized(s) {
    Iterator<String> i = s.iterator(); // In synch block!
   while (i.hasNext())
        System.out.println(i.next());
// In Java 5 (post-2004)
synchronized(s) {
   for (String t : s)
        System.out.println(i.next());
```



### Unmodifiable Wrappers

- Analogous to synchronization wrappers
  - Anonymous implementations
  - Static factory methods
  - One for each core interface
- Provide read-only access



IST institute for SOFTWARE RESEARCH

15-214 **27** 

# Convenience Implementations

- Arrays.asList(E[] a)
  - Allows array to be "viewed" as List
  - Bridge to Collection-based APIs
- EMPTY\_SET, EMPTY\_LIST, EMPTY\_MAP
  - immutable constants
- singleton(E o)
  - immutable set with specified object
- nCopies(E o)
  - immutable list with n copies of object





# **Custom Implementation Ideas**

- Persistent
- Highly concurrent
- High-performance, special-purpose
- Space-efficient representations
- Fancy data structures
- Convenience classes



IST Institute for SOFTWARE RESEARCH

### Custom Implementation Example

#### It's easy with our abstract implementations

```
// List adapter for primitive int array
public static List intArrayList(int[] a) {
    return new AbstractList() {
        public Integer get(int i) {
            return new Integer(a[i]);
        public int size() { return a.length; }
        public Object set(int i, Integer e) {
            int oldVal = a[i];
            a[i] = e.intValue();
            return new Integer(oldVal);
```



ISI institute for SOFTWARE RESEARCH

### Reusable Algorithms

```
static <T extends Comparable<? super T>> void sort(List<T> list);
static int binarySearch(List list, Object key);
static <T extends Comparable<? super T>> T min(Collection<T> coll);
static <T extends Comparable<? super T>> T max(Collection<T> coll);
static <E> void fill(List<E> list, E e);
static <E> void copy(List<E> dest, List<? Extends E> src);
static void reverse(List<?> list);
static void shuffle(List<?> list);
```



### Algorithm Example 1

### Sorting lists of comparable elements

```
List<String> strings; // Elements type: String
Collections.sort(strings); // Alphabetical order
LinkedList<Date> dates; // Elements type: Date
Collections.sort(dates); // Chronological order
// Comparable interface (Infrastructure)
public interface Comparable<E extends Comparable<E>>
   int compareTo(Object o);
```

IST institute for SOFTWARE RESEARCH

### Comparator Interface

#### Infrastructure

- Specifies order among objects
  - Overrides natural order on comparables
  - Provides order on non-comparables

```
public interface Comparator<T> {
    public int compare(T o1, T o2);
}
```



IST institute for SOFTWARE RESEARCH

# Algorithm Example 2

#### Sorting with a comparator

```
List<String> strings; // Element type: String
Collections.sort(strings, Collections.ReverseOrder());
// Case-independent alphabetical order
static Comparator<String> cia = new Comparator<>() {
    public int compare(String c1, String c2) {
        return c1.toLowerCase().compareTo(c2.toLowerCase());
Collections.sort(strings, cia);
```

ISI institute for SOFTWARE RESEARCH

# Compatibility

#### Old and new collections interoperate freely

- Upward Compatibility
  - Vector<E> implements List<E>
  - Hashtable<K,V> implements Map<K,V>
  - Arrays.asList(myArray)
- Backward Compatibility
  - myCollection.toArray()
  - new Vector<>(myCollection)
  - new Hashtable<>(myMap)



IST institute for SOFTWARE RESEARCH

### API Design Guidelines

- Avoid ad hoc collections
  - Input parameter type:
    - Any collection interface (Collection, Map best)
    - Array may sometimes be preferable
  - Output value type:
    - Any collection interface or class
    - Array
- Provide adapters for your legacy collections

#### Sermon

- Programmers:
  - Use new implementations and algorithms
  - Write reusable algorithms
  - Implement custom collections

- API Designers:
  - Take collection interface objects as input
  - Furnish collections as output

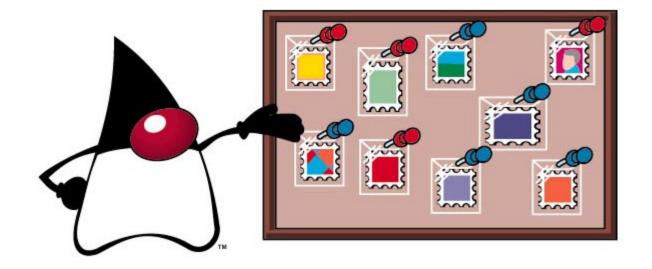


institute for SOFTWARE RESEARCH

15-214

37

#### For More Information



http://java.sun.com/products/jdk/1.2/docs/
 guide/collections/index.html





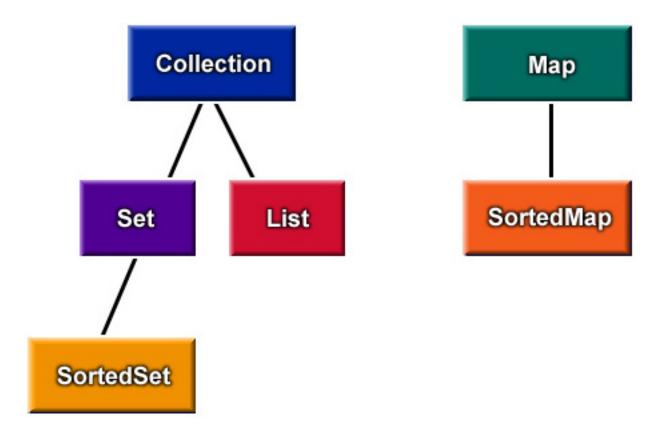
### Takeaways

- Collections haven't changed that much since '98
- API has grown, but essential character unchanged
  - With arguable exception of Java 8 streams (2014)

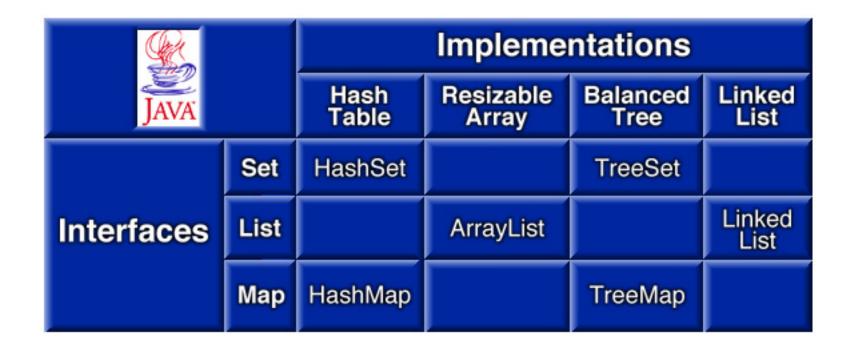
#### Part 2: Outline

- I. The initial release of the collections API
- II. Design of the first release
- III. Evolution
- IV. Code example
- V. Critique

## Collection **interfaces** *first release, 1998*



## General-purpose **implementations** *first release, 1998*



IST institute for SOFTWARE RESEARCH

### Other implementations

#### first release, 1998

- Convenience implementations
  - Arrays.asList(Object[] a)
  - EMPTY\_SET, EMPTY\_LIST, EMPTY\_MAP
  - singleton(Object o)
  - nCopies(Object o)
- Decorator implementations
  - Unmodifiable{Collection,Set,List,Map,SortedMap}
  - Synchronized{Collection,Set,List,Map,SortedMap}
- Special Purpose implementation WeakHashMap

IST institute for SOFTWARE RESEARCH

# Reusable **algorithms** first release, 1998

```
static void sort(List[]);

    static int binarySearch(List list, Object key);

static object min(List[]);
static object max(List[]);

    static void fill(List list, Object o);

    static void copy(List dest, List src);

    static void reverse(List list);

    static void shuffle(List list);
```

## And that's all there was to it!

### OK, I told a little white lie:

### Array utilities, first release, 1998

- static int binarySearch(type[] a, type key)
- static int binarySearch(Object[] a, Object key, Comparator c)
- static boolean equals(type[] a, type[] a2)
- static void fill(type[] a, type val)
- static void fill(type[] a, int fromIndex, int toIndex, type val)
- static void sort(type[] a)
- static void sort(type[] a, int fromIndex, int toIndex)
- static void sort(type[] a, Comparator c)
- static void sort(type[] a, int fromIdx, int toidx, Comparator c)

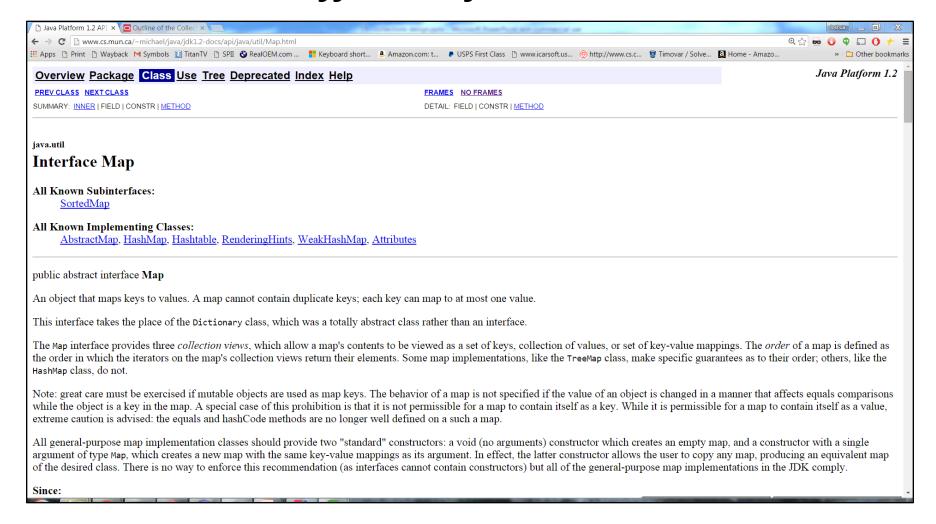
ISI institute for SOFTWARE RESEARCH

#### **Documentation matters**

Reuse is something that is far easier to say than to do. Doing it requires both good design and very good documentation. Even when we see good design, which is still infrequently, we won't see the components reused without good documentation.

- D. L. Parnas, Software Aging. Proceedings of the 16th International Conference on Software Engineering, 1994

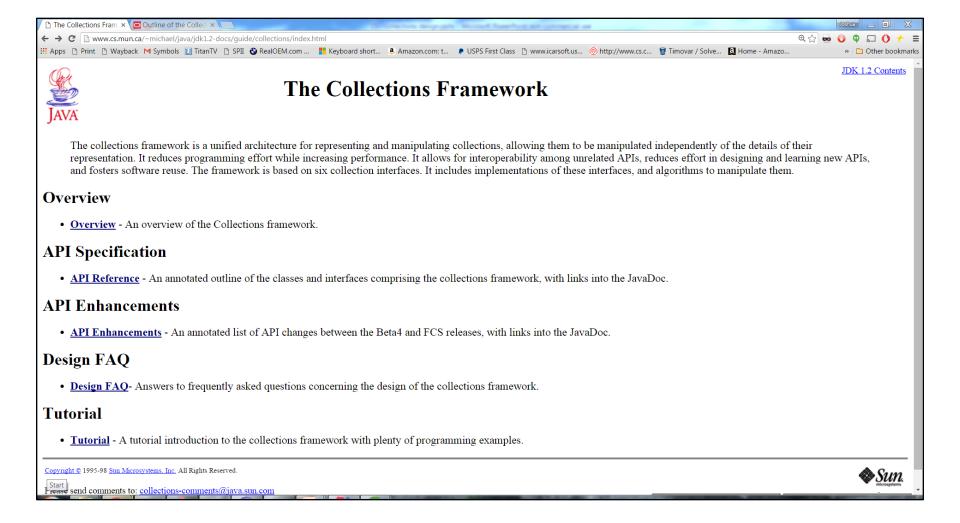
## Of course you need good JavaDoc But it is not sufficient for a substantial API



IST institute for SOFTWARE RESEARCH

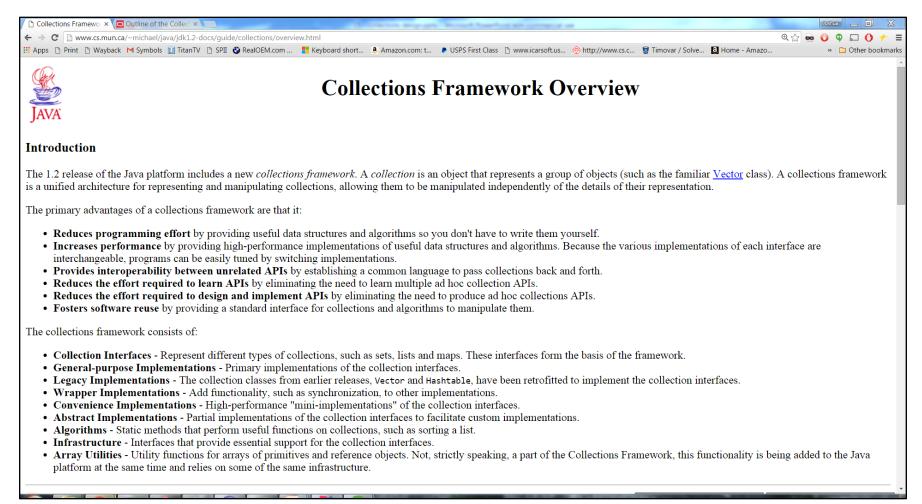
15-214 48

### A single place to go for documentation



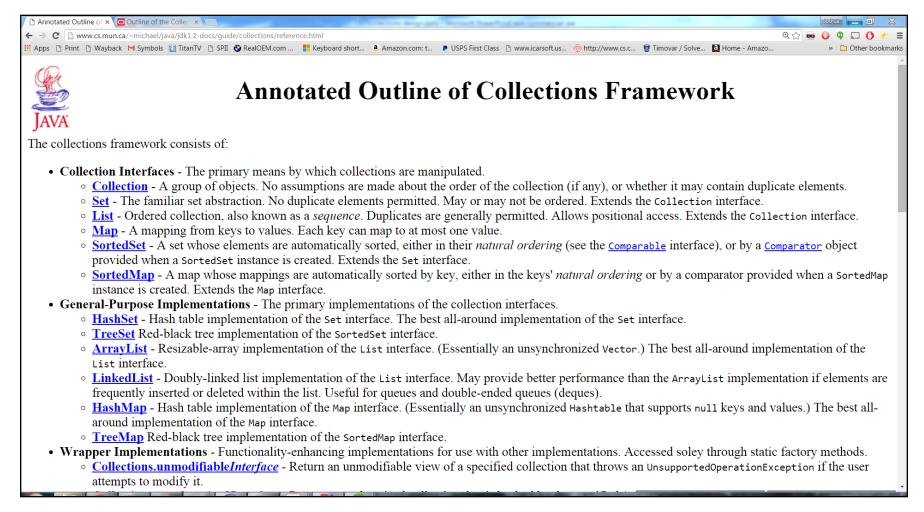
IST institute for SOFTWARE RESEARCH

## Overviews provide understanding A place to go when first learning an API



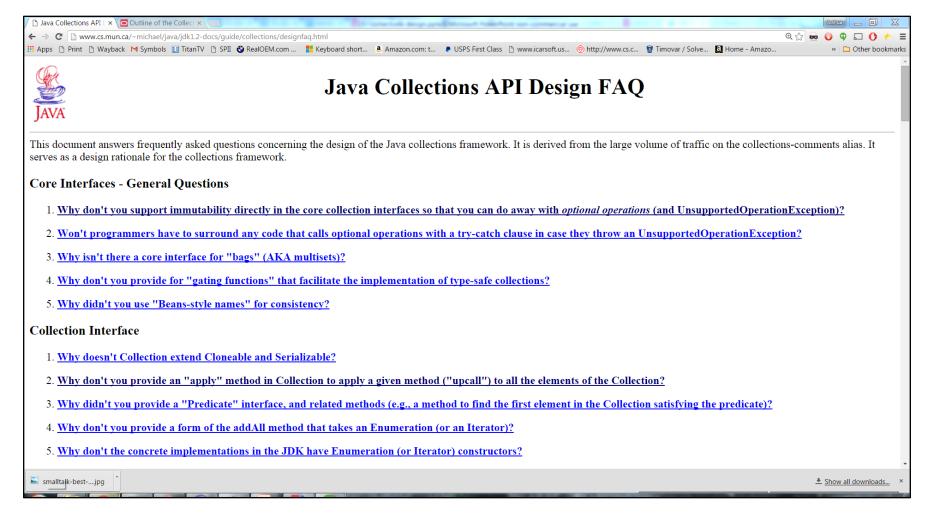
IST institute for SOFTWARE RESEARCH

## Annotated outlines provide access They're awesome and underutilized



15-214 **51** 

## A design rationale saves you hassle and provides a testament to history



IST institute for SOFTWARE RESEARCH

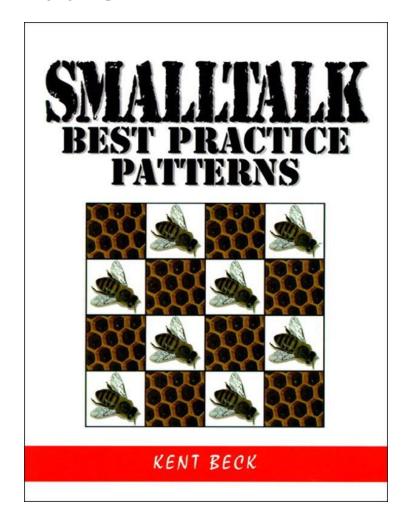
#### Outline

- I. The initial release of the collections API
- II. Design of the first release
- III. Evolution
- IV. Code example
- V. Critique



#### A wonderful source of use cases

"Good artists copy, great artists steal." – Pablo Picasso



IST institute for SOFTWARE RESEARCH

#### You must maintain an issues list

- Centralizes all open and closed design issues
- List pros and cons for each possible decision
- Essential for efficient progress
- Forms the basis of a design rationale



#### The first draft of API was not so nice

- Map was called Table
- No HashMap, only Hashtable
- No algorithms (Collections, Arrays)
- Contained some unbelievable garbage



## Automatic alias detection A horrible idea that died on the vine

```
* This interface must be implemented by Collections and Tables that are
* <i>views</i> on some backing collection. (It is necessary to
* implement this interface only if the backing collection is not
* <i>encapsulated</i> by this Collection or Table; that is, if the
* backing collection might conceivably be be accessed in some way other
* than through this Collection or Table.) This allows users
* to detect potential <i>aliasing</i> between collections.
* If a user attempts to modify one collection
* object while iterating over another, and they are in fact views on
                                                                                          * >
* the same backing object, the iteration may behave erratically.
* However, these problems can be prevented by recognizing the
* situation, and "defensively copying" the Collection over which
* iteration is to take place, prior to the iteration.
public interface Alias {
     * Returns the identityHashCode of the object "ultimately backing" this
     * collection, or zero if the backing object is undefined or unknown.
     * The purpose of this method is to allow the programmer to determine
     * when the possiblity of <i>aliasing</i> exists between two collections
     * (in other words, modifying one collection could affect the other).
      This
     * is critical if the programmer wants to iterate over one collection and
     * modify another: if the two collections are aliases, the effects of
     * the iteration are undefined, and it could loop forever. To avoid
     * this behavior, the careful programmer must "defensively copy" the
     * collection prior to iterating over it whenver the possibility of
     * aliasing exists.
     * If this collection is a view on an Object that does not impelement
     * Alias, this method must return the IdentityHashCode of the backing
     * Object. For example, a List backed by a user-provided array would
     * return the IdentityHashCode of the array.
```

```
* If this collection is a <i>view</i> on another Object that implements
* Alias, this method must return the backingObjectId of the backing
* Object. (To avoid the cost of recursive calls to this method, the
* backingObjectId may be cached at creation time).
* For all collections backed by a particular "external data source" (a
* SOL database, for example), this method must return the same value.
* The IdentityHashCode of a "proxy" Object created just for this
* purpose will do nicely, as will a pseudo-random integer permanently
* associated with the external data source.
* For any collection backed by multiple Objects (a "concatenation
* view" of two Lists, for instance), this method must return zero.
* Similarly, for any <i>view</i> collection for which it cannot be
* determined what Object backs the collection, this method must return
* zero. It is always safe for a collection to return zero as its
* backingObjectId, but doing so when it is not necessary will lead to
* inefficiency.
 * The possibility of aliasing between two collections exists iff
 * any of the following conditions are true:
              The two collections are the same Object.
              Either collection implements Alias and has a
                  backingObjectId that is the identityHashCode of
                  the other collection.
              Either collection implements Alias and has a
                  backingObjectId of zero.
              Both collections implement Alias and they have equal
                  backingObjectId's.
* @see java.lang.System#identityHashCode
* @since JDK1.2
int backingObjectId():
```

IST institute for SOFTWARE RESEARCH

#### I received a *lot* of feedback

- Initially from a small circle of colleagues
  - Some very good advice
  - Some not so good
- Then from the public at large: beta releases
  - Hundreds of messages
  - Many API flaws were fixed in this stage
  - I put up with a lot of flaming



## Review from a *very* senior engineer

API	vote	notes
Array	yes	But remove binarySearch* and toList
BasicCollection	no	I don't expect lots of collection classes
BasicList	no	see List below
Collection	yes	But cut toArray
Comparator	no	
DoublyLinkedList	no	(without generics this isn't worth it)
HashSet	no	
LinkedList	no	(without generics this isn't worth it)
List	no	I'd like to say yes, but it's just way
		bigger than I was expecting
RemovalEnumeration no		
Table	yes	BUT IT NEEDS A DIFFERENT NAME
TreeSet	no	

I'm generally not keen on the toArray methods because they add complexity

Simiarly, I don't think that the table Entry subclass or the various views mechanisms carry their weight.

ISI institute for SOFTWARE RESEARCH

#### III. Evolution of Java collections

Release, Year	Changes		
JDK 1.0, 1996	Java Released: Vector, Hashtable, Enumeration		
JDK 1.1, 1996	(No API changes)		
J2SE 1.2, 1998	Collections framework added		
J2SE 1.3, 2000	(No API changes)		
J2SE 1.4, 2002	LinkedHash{Map,Set}, IdentityHashSet, 6 new algorithms		
J2SE 5.0, 2004	Generics, for-each, enums: generified everything, Iterable Queue, Enum{Set,Map}, concurrent collections		
Java 6, 2006	<pre>Deque, Navigable{Set,Map}, newSetFromMap, asLifoQueue</pre>		
Java 7, 2011	No API changes. Improved sorts & defensive hashing		
Java 8, 2014	Lambdas (+ streams and internal iterators)		

IST institute for SOFTWARE RESEARCH

### IV. Example – How to find anagrams

- Alphabetize the characters in each word
  - $\cot \rightarrow \cot, \deg \rightarrow \deg, mouse \rightarrow emosu$
  - Resulting string is called alphagram
- Anagrams share the same alphagram!
  - stop  $\rightarrow$  opst, post  $\rightarrow$  opst, tops  $\rightarrow$  opst, opts  $\rightarrow$  opst
- So go through word list making "multimap" from alphagram to word!



## How to find anagrams in Java (1)

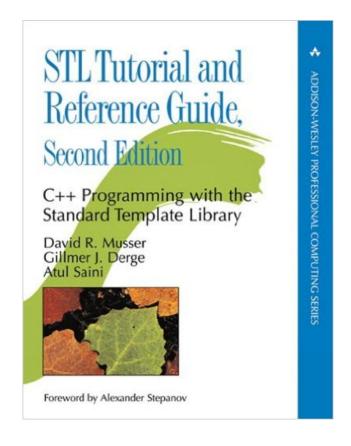
```
public static void main(String[] args) throws IOException {
   // Read words from file and put into a simulated multimap
   Map<String, List<String>> groups = new HashMap<>();
   try (Scanner s = new Scanner(new File(args[0]))) {
        while (s.hasNext()) {
            String word = s.next();
            String alpha = alphabetize(word);
            List<String> group = groups.get(alpha);
            if (group == null)
                groups.put(alpha, group = new ArrayList<>());
            group.add(word);
```

## How to find anagrams in Java (2)

```
// Print all anagram groups above size threshold
    int minGroupSize = Integer.parseInt(args[1]);
    for (List<String> group : groups.values())
        if (group.size() >= minGroupSize)
            System.out.println(group.size() + ": " + group);
// Returns the alphagram for a string
private static String alphabetize(String s) {
   char[] a = s.toCharArray();
   Arrays.sort(a);
   return new String(a);
```

## Demo – Anagrams

## Two slides in Java vs. a chapter in STL Java's verbosity is somewhat exaggerated



### V. Critique

#### Some things I wish I'd done differently

- Algorithms should return collection, not void or boolean
  - Turns ugly multiliners into nice one-liners
    private static String alphabetize(String s) {
     return new String(Arrays.sort(s.toCharArray()));
    }
- Collection should have get(), remove()
  - Queue and Deque eventually did this
- Sorted{Set,Map} should have proper navigation
  - Navigable{Set,Map} are warts



#### Conclusion

- It takes a lot of work to make something that appears obvious
  - Coherent, unified vision
  - Willingness to listen to others
  - Flexibility to accept change
  - Tenacity to resist change
  - Good documentation!
- It's worth the effort!
  - A solid foundation can last two+ decades

IST institute for SOFTWARE RESEARCH