# Interate programming

Moderated by Christopher J. Van Wyk

n May and June 1986, Programming
Pearls took up literate programming, an
approach to programming espoused by
Donald Knuth. Knuth's premise is that the
best programs are meant for people as well as
machines; they are meant to be read as well
as run. He built a system, WEB, that scans
specially structured technical reports to
extract Pascal statements interwoven
with the text, forming from them
an executable program. Pascal is
not essential; WEB can work as

language, such as Fortran.

A literate program contains not only the needed statements in a programming language, but also a precise problem statement, a summary of the background needed to understand the solution, an evaluation of alternatives, assessments of trade-offs between the running time and space,

well with any other programming

or between running time and programming time, and sugges-

tions on how to modify the program. Program code segments are inserted in the text at points logical to the intellectual development of the algorithm. A literate program pays careful attention to lucidity of presentation and presents all arguments needed to understand why the program will actually work as intended. To emphasize the literary side, the second Pearl included a critique of Knuth's program that evaluated it on these points.

The response to both Pearls was strong and positive. Jon Bentley proposed that *Communications* regularly devote space to interesting, literate programs and their well-written critiques. I agreed that it would be

worth an experiment to see whether interest among readers, authors, and critics would be sustained. With his help, we commissioned Christopher Van Wyk of AT&T Bell Laboratories to be the moderator of a new column on literate programming, inaugurated with this issue. Van Wyk received his Ph.D. from Stanford University in 1980 and has spent

the intervening years at Bell Labs
working on programming languages for graphics and algorithms for computational
geometry.

As moderator, Van Wyk will pose the problems to be considered, solicit and receive literate pro-

grams, obtain critiques, and publish
the results within
the tight space
constraints of a
magazine—all
tasks that will use

to the fullest the considerable skills he brings to the position. The column will appear three

or four times annually, and in the middle of 1988, the experiment will be evaluated for renewal. This experiment can succeed only with your full support. If you are interested in being the author of a literate program, or acting as the literary critic, contact Van Wyk at the address listed in the masthead:

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### **PRINTING COMMON WORDS**

#### Moderator's Introduction to Column 1

Two Programming Pearls columns in 1986 presented literate programs by Donald Knuth. The May 1986 column contained a WEB program to generate a sorted list of M distinct numbers randomly chosen from 1 through N. Programming Pearls of April 1987 contained readers' comments on Knuth's literate program, as well as an unimplemented solution to the problem by David Gries. The June 1986 Programming Pearls presented Knuth's WEB program to print the k most common words in a file, in decreasing order by frequency. That column also elicited comments from many readers.

Several readers wondered how well a small example can serve to illustrate the features of a system for literate programming. The issue arose in two very different ways: One reader who thought WEB worked acceptably in the small doubted that it would serve a large project well; another suggested that the WEB solution's apparent clumsiness in the small could be attributed to its being designed for larger, more complex programs.

A couple of readers very much appreciated Doug McIlroy's addition of a figure to the documentation. They also thought that trie-sorting in Sections 37–39 needed more comments than "The restructuring operations are slightly subtle here."

One sharp-eyed reader noticed that, although Section 38 uses "the fact that count [0] = 0," count [0] is never initialized. Although some Pascal compilers detect references to uninitialized variables, apparently the compiler that Knuth used at SAIL does not.

In this inaugural column, we present another solution to the problem of printing the k most common words in a file. The author of this solution is David Hanson, a professor of computer science at Princeton University and an editor of the journal Software—Practice & Experience. Hanson's program illustrates nicely the use of abstract data types on the way to the solution of a problem. It discusses the role of profiles of execution in the design of good programs, a topic that is also discussed in this month's Programming Pearls. Hanson's solution shows how one can design a system for

literate programming that involves much less machinery than WEB. Finally, note that Hanson solved a slightly different problem than Knuth; although that makes little difference to our discussion of literate programs, it highlights the importance of careful problem specification in the design of large systems.

#### **Printing Common Words**

1. Introduction. In describing Don Knuth's WEB system in one of his "Programming Pearls" [Communications of the ACM 29, 5 (May 1986), 364-369], Jon Bentley "assigned" the following programming problem: "Given a text file and an integer k, you are to print the k most common words in the file (and the number of their occurrences) in decreasing frequency."

It is unclear from this problem statement what to do with "ties," that is, does k refer to words or word frequencies? For example, in the problem statement, "the" occurs three times, "k," "in," "and," and "file" each occurs twice, and the rest of the words each occurs once. If the program is invoked with the statement as input and k=2, which word should be output as the second most common word? A rephrasing of the problem removes the ambiguity: "Given a text file and an integer k, you are to print the words (and their frequencies of occurrence) whose frequencies of occurrence are among the k largest in order of decreasing frequency."

Using this problem statement, the output of the program with the original problem statement as input and with k=2 is

3 the

2 file

2 and

2 in

2 k

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Bentley posed this problem to present a "real" example of WEB usage. For more information about WEB, see Knuth's "Literate Programming," *The Computer Journal* 27, 2 (May 1984), 97-111. Knuth's solution appears in *Communications of the ACM* 29, 6 (June 1986), 471-483, along with a review by Doug McIlroy.

The solution given here is written in the C programming language and presented using the loom system to generate the printed program and its explanation. loom is a preprocessor whose input is a text file with embedded references to fragments of the program. loom retrieves these fragments, optionally pushes them through arbitrary filters, and integrates the result into the output.

loom's output is usually input to a document formatter, such as troff or TeX. loom was originally written by Janet Incerpi and Robert Sedgewick and used in preparation of Sedgewick's book Algorithms (Addison-Wesley, Reading, Mass., 1983). Starting from their program, I rewrote loom for use in writing a book and several papers.

loom is not as ambitious or as comprehensive as WEB. It does, however, have the virtue of independence from both formatting and programming languages. It does not, for example, provide the comprehensive indexing, cross-referencing, or pretty printing facilities of WEB. With help from its associated filters, loom does provide indexing of the identifiers used in the program fragments, although the index is omitted here for brevity. And since it is not necessary to present the whole program, irrelevant details can be omitted permitting the documentation to concentrate on the important aspects of the programs. I have formatted this program description in a style similar to WEB for comparison purposes, but the formatting of loom's output is not constrained to any one style. Using loom also has an effect similar to WEB: Developing and writing about programs concurrently affect both activities dramatically.

2. Definitions. The problem statement does not give a precise definition of a "word" or of the details of program invocation. Words are given by the set  $\{w \mid w = aa^* \text{ and } |w| \leq 100\}$  where  $a \in \{a \cdots z, A \cdots Z\}$ ; that is, a word is a sequence of one or more upper- or lowercase letters, up to a maximum of 100 letters. Only the first 100 characters are considered for words longer than 100 characters.

The program, called common, is invoked with a single optional argument that gives the value of k and reads its input from the standard input file. If the argument is omitted, the value of the environment variable PAGESIZE is used; the default is 22.

3. The main program. As suggested in Software Tools by Kernighan and Plauger (Addison-Wesley, Reading, Mass., 1976), the structure of the program can often be derived from the structure of the input data. The input to common is a sequence of zero or more words, which suggests the following structure for the main program:

```
/* initialize k */
/* initialize word table */
while (getword(buf, MAXWORD) != EOF)
   addword(buf);
printwords(k);
```

where buf is a character array of MAXWORD characters, and getword places the next word in the input in buf and returns its length, or EOF at the end of file. MAXWORD is defined to be 101 to allow room for a terminating null character. addword adds the word in buf to the table of words, and printwords(k) prints the words with the k largest frequencies.

Getting program arguments and environment variables, such as k and PAGESIZE, is a common feature of many UNIX® programs and the code is idiomatic. Examples can be found in *The UNIX Programming Environment* by B. W. Kernighan and R. Pike (Prentice-Hall, Englewood Cliffs, N.J., 1984).

4. Reading words. getword reads the next word from the input. This is accomplished by discarding characters up to the next occurrence of a letter, then gathering up the letters into the argument buffer:

```
int getword(buf, size)
char *buf;
int size;
  char *p:
  int c;
  p = buf;
  while ((c = getchar()) != EOF)
     if (isletter(c)) {
       do {
          if (size > 1) {
             *p++ = c;
             size--;
          c = getchar();
          } while (isletter(c));
        *p = '\0';
       return p - buf;
        }
  return EOF:
```

size is compared with 1 to ensure that there is room for the terminating null character. isletter is a macro that tests for upper- or lowercase letters:

```
#define isletter(c) (c >= 'a' && c <= 'z' || \
c >= 'A' && c <= 'Z')
```

5. Storing the words. The words must be stored in a table along with the number of times they occur in the input. This table must handle two kinds of access: While the input is being read, the table is "indexed" with a word in order to increment its frequency count. After the input has been read, the entries with the k largest fre-

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quency counts must be located and printed in decreasing order of those counts.

These two kinds of access are disjoint; that is, initially, all accesses to the table are of the first kind, followed by only accesses of the second kind. Consequently, the table representation can be designed to facilitate the first kind of access, and then *changed* to facilitate the second.

A hash table is appropriate for indexing the table with words. Since the size of the input is unknown, a hash table in which collisions are resolved by chaining is used. Space for both the word and the table entry can be allocated dynamically. The hash table itself, hashtable, is an array of pointers to word structures:

The bounds of hashtable are 0 to  $2^n - 1$ , where n is 12 here. Using a power of two facilitates rapid computation of the index into hashtable given a hash number: If h is a hash number, the index is hathable is initialized in main to NULL pointers.

6. addword(buf) adds the null-terminated string in buf to hashtable, if necessary, and increments its count field. To compute the index into hashtable, the contents of buf must be "hashed" to yield a hash number h, from which the index is computed as described above. A simple yet effective hash function is to sum the codes of the characters in buf. This function also yields the length of the word, which is needed to add new words to the table. Putting this all together produces addword:

```
addword(buf)
char *buf:
{
  unsigned int h;
  int len;
  char *s, *alloc();
  struct word *wp;
  h = 0:
              /* compute hash number of buf[1..] */
  s = buf;
  for (len = 0; *s; len++)
     h += *s++:
  for (wp = hashtable[h&HASHSIZE]; wp;
     wp = wp->next)
        if (strcmp(wp->word, buf) == 0)
          break:
  if (wp == NULL) {
                            /* a new word */
     wp = (struct word *) alloc(1, sizeof *wp);
     wp->word = alloc(len + 1, sizeof(char));
     strcpy(wp->word, buf);
     wp -> count = 0;
     wp->next = hashtable[h&HASHSIZE];
     hashtable[h&HASHSIZE] = wp;
     total++;
     }
  wp->count++:
```

addword also increments a global integer, total, which counts the number of distinct words in the table. This number is required in the second phase of the program. strcmp is a C library function that returns 0 if its two arguments point to identical strings, and strcpy is a C library function that copies the characters in its second argument into its first.

alloc(n, size) allocates space for n contiguous objects of size bytes each by calling calloc, a C library function that does the actual allocation and clears the allocated space. alloc's primary purpose is to catch allocation failures. Many C programmers erroneously assume that calloc cannot fail. On machines like the VAX, allocation rarely fails, but on smaller machines, failure is common.

7. Printing the words. As suggested in the outline for main, given above, printwords (k) prints the desired output. To print the k most common words as specified, printwords must sort the contents of the table in decreasing order of the count values, and print the first k entries. Since the frequencies range between 1 and N, where N is the number of words, sorting them can be accomplished in time proportional to N (assuming everything fits into memory) by allocating an array of pointers to words that is indexed by the frequency of occurrence. Each element in the array points to the list of words with the same count values; that is, list[i] points to the list of words with count fields equal to i.

```
printwords(k)
int k;
{
  int i, max;
  struct word *wp, **list, *q;
  list = (struct word **) alloc(total, sizeof wp);
  max = 0;
  for (i = 0; i \le HASHSIZE; i++)
     for (wp = hashtable[i]; wp; wp = q) {
       q = wp->next;
        wp->next = list[wp->count];
        list[wp->count] = wp;
        if (wp->count > max)
          max = wp->count;
  for (i = max; i \ge 0 & k > 0; i--)
     if ((wp = list[i]) & k k -- > 0)
        for (; wp; wp = wp->next)
          printf("%d %s\n", wp->count, wp->word);
}
```

max keeps track of the largest frequency count, which is usually much less than N, and provides a starting point for the reverse scan of list.

8. Performance. Bentley did not give specific performance criteria for common, but he did say that "a user should be able to find the 100 most frequent words in a twenty-page technical paper without undue emotional trauma." To test common I concatenated seven of the documents from volume 2 of the UNIX Programmer's Manual from the Berkeley 4.2 UNIX system to form a

test file with 11,786 lines, 47,878 words (by common's definition of "word"), 4,149 of which are unique, and 275,516 characters. (The documents were the descriptions of awk, ef1, the UNIX implementation, the UNIX i/o system, lex, sccs, and sed.)

common with k=0 and this test file as input took 4.6 s on a VAX 8600 running Berkeley 4.3 UNIX. By way of comparison, consider the following program, called charcount:

```
main()
{
   int c, n = 0;
   while ((c = getchar()) != EOF)
        n++;
   printf("%d\n". n);
}
```

charcount is about the minimum "interesting" program in this class of programs, and its execution time gives a measure of the cost of simply reading the input. With the test file as input, charcount ran in  $0.9 \, \mathrm{s}$ . The ratio of the speed of common to charcount, which is independent of machine dependencies such as CPU speed and I/O costs, is 5.11. Thus, using the implementation of common described above, finding the k most common words costs approximately five times as much as just counting the characters.

9. Improvements. To investigate the propects for improving the execution speed of common, I profiled its execution with gprof [S. L. Graham, P. B. Kessler, and M. K. McKusick, "An Execution Profiler for Modular Programs," Software—Practice & Experience 13, 8 (Aug. 1983), 671–685]. gprof takes profiling data produced by executing the program and generates a report detailing the cost of each function and its dynamic descendants.

These measurements revealed that addword and its descendants accounted for 62 percent of the execution time. For example, strcmp was called 144,219 times and accounted for 21 percent of the *total* execution time. strcmp was the most frequently called function. getword accounted for 32 percent of the execution time, and the other functions accounted for the remaining 6 percent.

10. The cost of strcmp can be reduced two ways: doing fewer comparisons and putting the code in-line. To do the string comparison in-line, the if statement in addword in which strcmp is called is replaced by

```
for (s1 = buf, s2 = wp->word; *s1 == *s2; s2++)
  if (*s1++ == '\0') {
    wp->count++;
    return;
    }
```

and the remainder of addword is revised accordingly. This change reduced the running time by 10.8 percent to 4.56 charcounts (4.1 s).

The number of string comparisons can be reduced by storing additional information with each word that is checked before the string comparison is undertaken. For example, the hash number for each word can be stored in a hash field, and only those words for which wp->hash is equal to h are actually compared to buf. I tried this improvement, and it *increased* the running time to 5 charcounts. I also tried storing and comparing the lengths instead of the hash numbers, and the result was the same.

11. The test input has 4,149 different words, which is slightly larger than the size of hashtable (4,096). With a hash table size of 512 and the improvements described above, the running time increased to 5.56 charcounts (5 s). gprof showed that 66 percent of the time was spent in addword, 29 percent in getword, and 5 percent elsewhere.

The time spent searching the hash chains would be reduced if the most common words were near the front of the chains. This effect can be accomplished by using the "move-to-front" heuristic: Each time a word is found, it is moved to the front of its hash chain. This heuristic can be incorporated into addword by adding a pointer that "follows" wp down the chain:

```
addword(buf)
char *buf:
  unsigned int h;
  int len;
  char *s, *s1, *s2, *alloc();
  struct word *wp, **q, **t;
  h = 0:
              /* compute hash number of buf[1..] */
  s = buf;
  for (len = 0; *s; len++)
     h += *s++:
  t = q = \&hashtable[h\&HASHSIZE];
  for (wp = *q; wp; q = &wp->next, wp = wp->next)
     for (s1 = buf, s2 = wp->word; *s1 == *s2; s2++)
        if (*s1++ == '\0') {
          wp->count++;
          if (wp != *t) {
             *q = wp->next;
             wp->next = *t;
             *t = wp;
             }
          return;
  wp = (struct word *) alloc(1, sizeof *wp);
  wp->word = alloc(len + 1, sizeof(char));
  strcpy(wp->word, buf);
  wp->count = 1;
  *q = wp;
  total++:
```

This change reduced the running time with a hash table size of 512 to 4.56 charcounts (4.1 s)—equal to that of the time for a hash table size of 4,096 without the heuristic. Using a hash table size of 4,096 and the move-to-front heuristic, the running time was 4.5 charcounts (4 s). This last measurement verifies that the heuristic does not impair performance when the size of the input is less than the hash table size, which is not obvious from

₹ IŠ

the code. For other applications of the move-to-front heuristic, see J. L. Bentley, D. D. Sleator, R. E. Tarjan, and V. K. Wei, "A Locally Adaptive Data Compression Scheme," Communications of the ACM 29, 4 (Apr. 1986), 320–330, and the references therein.

12. Identifying the common words in a 47,878-word file in 4.5 charcounts seemed fast enough to avoid "undue trauma." Nevertheless, I wondered if the standard UNIX macros for testing character classes were significantly faster than the isletter macro above. The standard macros use table lookup and bit testing, which could be faster than the explicit comparisons used in isletter.

This change reduced the running time by 8 percent to 4.1 charcounts (3.7 s). I made the change by including the standard header file and by defining isletter to be isalpha. On UNIX systems where EOF is not a valid argument to the isalpha, isletter should be defined as (c != EOF && isalpha(c)). Both definitions gave the same timings.

gprof indicated that in this *final* version of common, addword and its descendants took 54 percent of the time, getword took 39 percent, and everything else took the remaining 7 percent. On behalf of addword, alloc and its descendants accounted for 11 percent of the time, so allocation accounts for about 20 percent of the cost of addword. By preallocating some space at compile time, this cost might be reduced by half, but this change would yield only a 5 percent speedup, so it was not attempted.

The changes made to improve common's performance were made as additions to the program, and conditional compilation is used to select the "fast" version. Thus both the program and this document describe not only the initial program, but also trace its evolution.

13. Development notes. Writing common and this documentation, which was done concurrently, took about 9.5 hours. The initial 5 hours included a false start: The

#### **Review of Hanson's Solution**

[John Gilbert is an associate professor of computer science at Cornell University. His insightful comments on programs have impressed me for many years; this review shows that he has not lost his touch.]

What is a literate program, anyway? A program, like an essay, can be written for many purposes: to teach, to learn, to experiment with new forms, to solve an immediate problem, to sell refrigerators, or to sell workstations. The solutions to Jon Bentley's problem by Knuth, McIlroy, and Hanson are all "literate programs," but they differ in style to a startling degree.

Architecture may be a better metaphor than writing for an endeavor that closely mixes art, science, craft, and engineering. "Put up a house on a creek near a waterfall," we say, and look at what each artisan does: first version sorted the words by making list (in function printwords) an array of pointers to words and calling the C library function qsort to sort them. This version ran in 11.22 charcounts (10.1 s), and I spent another 2.5 hours making measurements and improvements. Ultimately, I reduced the running time to 4.5 charcounts by replacing the general qsort (which calls a function for every comparison and took over 50 percent of the time) with one written specifically for sorting an array of pointers to words, and by applying the improvements described above.

Chris Fraser and I observed that the frequency counts were in the range 1 to N, and he suggested the rather obvious linear-time radix sort (with radix N+1) described above. Indeed, final measurements show that printwords takes only 1 percent of the time. I spent the other 4.5 hours revising the program and this explanation and rerunning the performance measurements.

14. Typical loom usage involves the document file and the program files (e.g., common.lo and common.c). The document file contains references to fragments in the program files. loom combines these into a TEX input file (e.g., common.tex), which is typeset by TEX.

For small programs, such as common, the document and program files can be combined into a single file; for common both are combined into common.c. C conditional compilation facilities are used to remove the document part when common.c is compiled, and loom processes common.c to form common.tex, obtaining the code fragments from common.c. Thus a single file contains both the program and its explanation, making loom's usage similar to WEB's.

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The artist, Frank Lloyd Wright (or Don Knuth), designs Fallingwater, a building beautiful within its setting, comfortable as a dwelling, audacious in technique, and masterful in execution.

Doug McIlroy, consummate engineer, disdains to practice architecture at all on such a pedestrian task; he hauls in the pieces of a prefabricated house and has the roof up that afternoon. (After all, his firm makes the best prefabs in the business.) David Hanson puts together a roomy and craftsmanlike cabin, probably closest of the three to the spirit of the original commission.

The programs differ not only in their proportions of art, engineering, and craftsmanship, but in their very intent. Of course the authors wrote them to solve a set problem, but each seems to have had a different purpose in mind. Knuth's is art and exposition. McIlroy's solves a one-shot problem. Hanson's could be a piece of

real-world software, perhaps inside some unusual word processing system.

Hanson first chooses his floor plan and building materials—that is, an algorithm and data structures. Craftsmanlike, he balances efficiency, clarity, and the natural use of available materials. Some analysis (which he could have made even more explicit than he did for the benefit of the apprentice carpenter) points the way: Say the input is n words of which d are different, and the output is to be k words. We expect k to be much smaller than d, and d to be much smaller than n. The necessary abstract data type is a multiset of words, supporting the operations "Insert" and "List" (in order of decreasing frequency), with a sequence of Inserts preceding the single List. Space is at a premium in large text processing applications, so the data structure should have size O(d) rather than O(n). Then Insert should be as fast as possible, since Insert alone needs to happen n times. List need only deal with d items.

Given these constraints, hashing for Insert and sorting for List are appropriate choices of well-tried materials. Hanson's linear-time bucket sort for the frequencies in List is an elegant final touch. Notice the different trade-offs in the three programs: Knuth expends a good deal of effort to introduce a novel data structure for efficiency; McIlroy uses the fastest and most easily built Insert of all, namely, appending to a sequence, but the cost is a data structure of size O(n).

After these basic choices are made, the house is well laid out, and the rooms are planned harmoniously—the program is cleanly divided into manageable bites of code and documentation. The word processor's maintainer will be glad the architect has found a "balance between formal and informal exposition so that a reader can grasp what is happening without being overwhelmed by detail" [1]. Here the loom system seems to provide considerable support, though Hanson has too little space to show us as much about it as we might wish.

Inside the individual rooms, the architect is surprisingly careless in his choice of floors and moldings. Many variable names are misleading or uninformative: The parameter "size" to getword is used locally to measure space left in a buffer, "total" violates the rule that a global variable should have the most descriptive name possible (it's the total number of different words encountered), and the names "p" and "c" in getword, "h" and "s" and "wp" in addword, and "i" and "q" in printwords are content free and sometimes undocumented. The text contains no mention of either the fact or the reason that getword returns the length of the word as its value; I suspect this window frame was borrowed from another house without being planed to fit properly. (It also requires that EOF not happen to be a positive integer smaller than size.) The eight English words of comments within the C code should either have been expanded into a reasonable commenting style or left out on the grounds that the

textual documentation makes them unnecessary.

To Hanson's credit, these stylistic infelicities are all confined to pieces of code small enough to be puzzled out without too much trouble, but they would keep me from using the program as an example of style in a beginning computer science course. The move-to-front version of addword in Section 11 goes farthest over the line between the concise and the cryptic.

A program to solve the common-words problem must read its input from someplace and convert the resulting string of characters into a sequence of words. This is the plumbing of a text processing program—usually ugly, never interesting to discuss, and always the first thing that clogs up. (Unclogging the plumbing took half the effort I spent on my solution to this problem, though that's partly because I was learning Common Lisp at the time.) McIlroy's plumbing is my favorite, since the natural idiom for transforming a stream of data from one type to another is a coroutine rather than a subroutine, and UNIX filters and pipes do that perfectly. (The ugly part is the quote marks on two adiacent lines that mean a newline character.) Hanson's plumbing is not beautiful, but he does a good job of isolating it from the rest of the program. The owner can ignore the plumbing until it needs work, and then fix it without tearing down the walls.

Literacy in programming means different things in different circumstances. It's not a matter of artistry or efficiency alone; it's more a question of suitability in context. Knuth's expository gem will teach future readers about programming style and data structures, whether they use the code or not. McIlroy's six liner is not itself an enduring piece of work, but it is a clear example of how to use an enduring set of tools. Hanson's real-world code, then, must be evaluated according to whether it is robust, flexible, and easy to maintain. Despite roughness in low-level style, the program meets these goals well. Hanson demonstrates that "literate programming" is a viable approach to creating works of craft as well as works of art.

#### REFERENCE

1. Knuth, D.E. Literate programming. Comput. J. 27, 2 (1984), 97-111.

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