## Splay Trees

Recap from Last Time

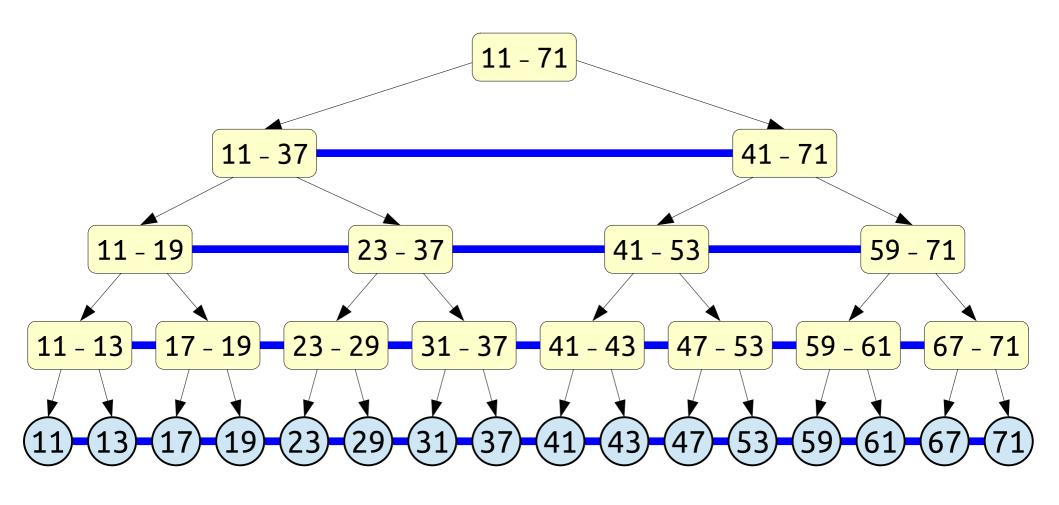
<b>Property</b>	Description	Met by
Balance	Lookups take time $O(\log n)$ .	Traditional balanced BST
Entropy	Lookups take expected time $O(1 + H)$ .	Weight-equalized trees
Dynamic Finger	Lookups take $O(\log \Delta)$ . $\Delta$ measures distance.	Level-linked BST with finger
Working Set	Lookups take O(log t), t measures recency.	Iacono's structure

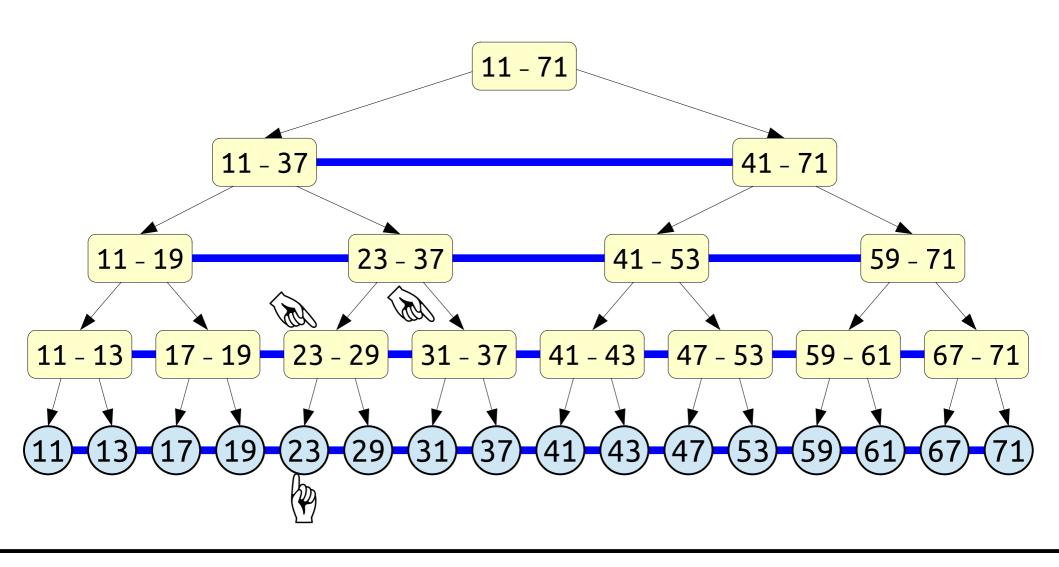
Consider a discrete probability distribution with elements  $x_1, ..., x_n$ , where element  $x_i$  has access probability  $p_i$ .

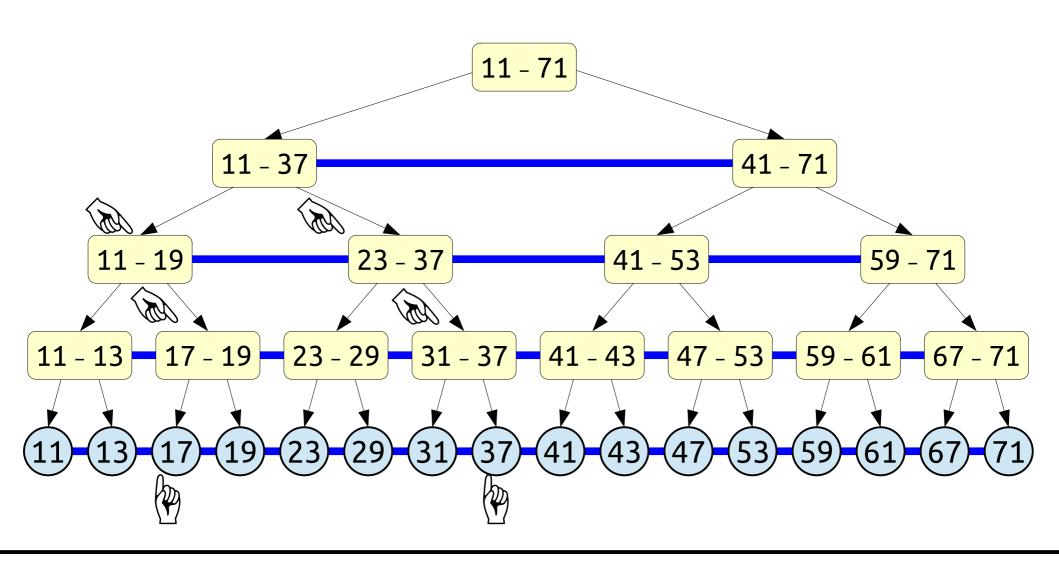
The **Shannon entropy** of this probability distribution, denoted  $H_p$  (or just H, where p is implicit) is the quantity

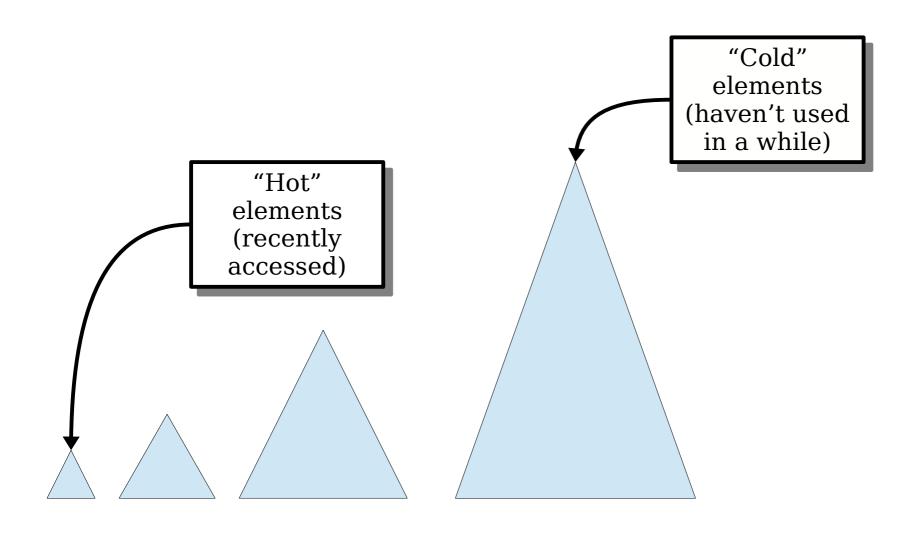
$$H_p = \sum_{i=1}^n p_i \lg \frac{1}{p_i}.$$

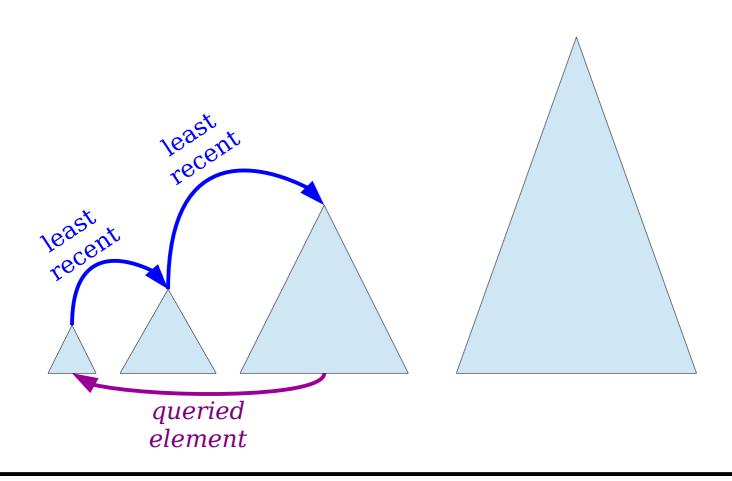
**Theorem:** The expected cost of a lookup in *any* BST with keys  $x_1, ..., x_n$  and access probabilities  $p_1, ..., p_n$  is  $\Omega(1 + H)$ .











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Is there a single BST with all of these properties?

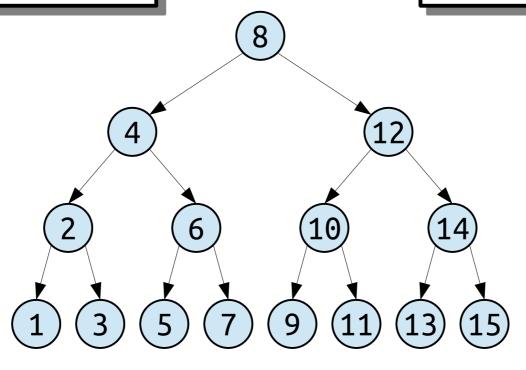
<b>Property</b>	Description	Met by
Balance	Lookups take time O(log <i>n</i> ).	Splay tree
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## Yes!

New Stuff!

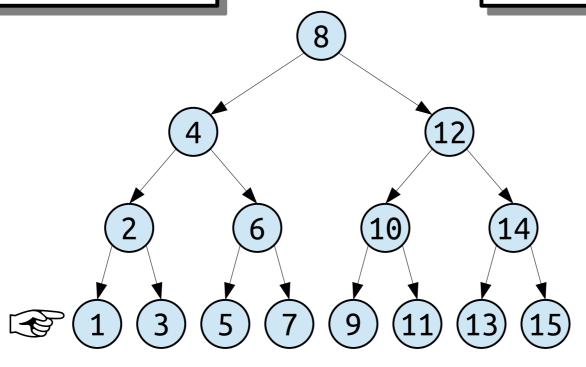
Idea 1: Get the working set property by choosing a clever BST shape.

**Problem:** We can always pick a set of hot elements deep in the tree.

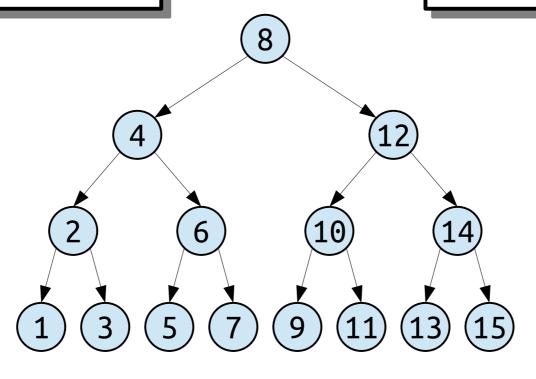


Idea 2: Get the working set property by adding a finger into our BST.

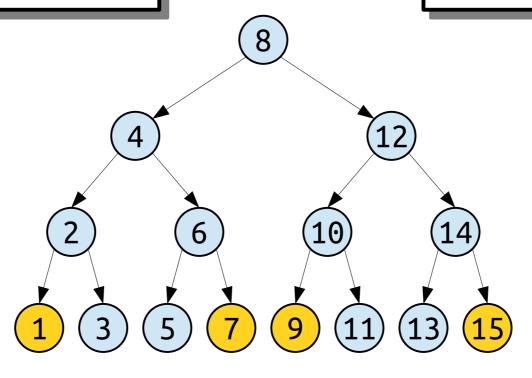
**Problem:** What if those keys aren't near each other in key space?



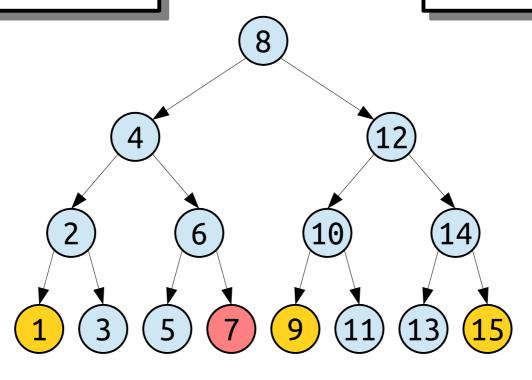
**Strategy:** After querying a node, rotate it up to the root of the tree.

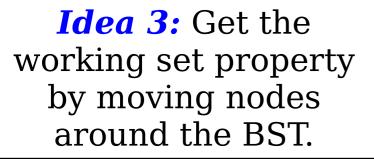


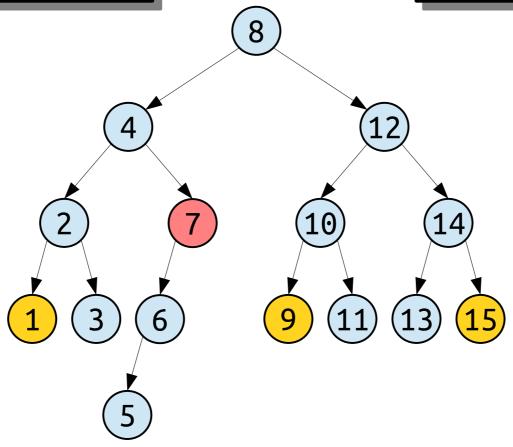
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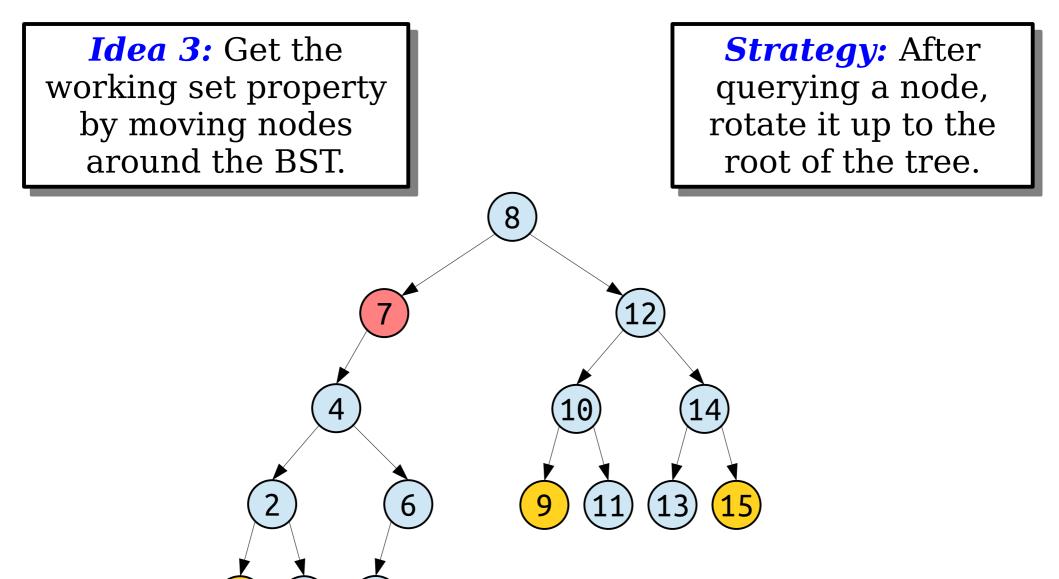


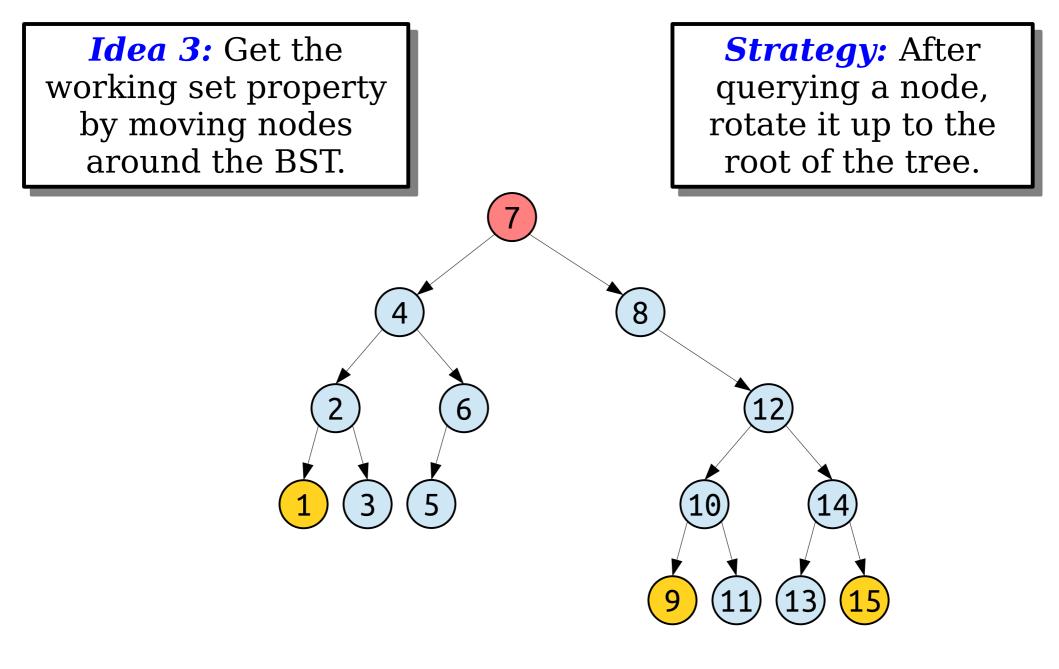
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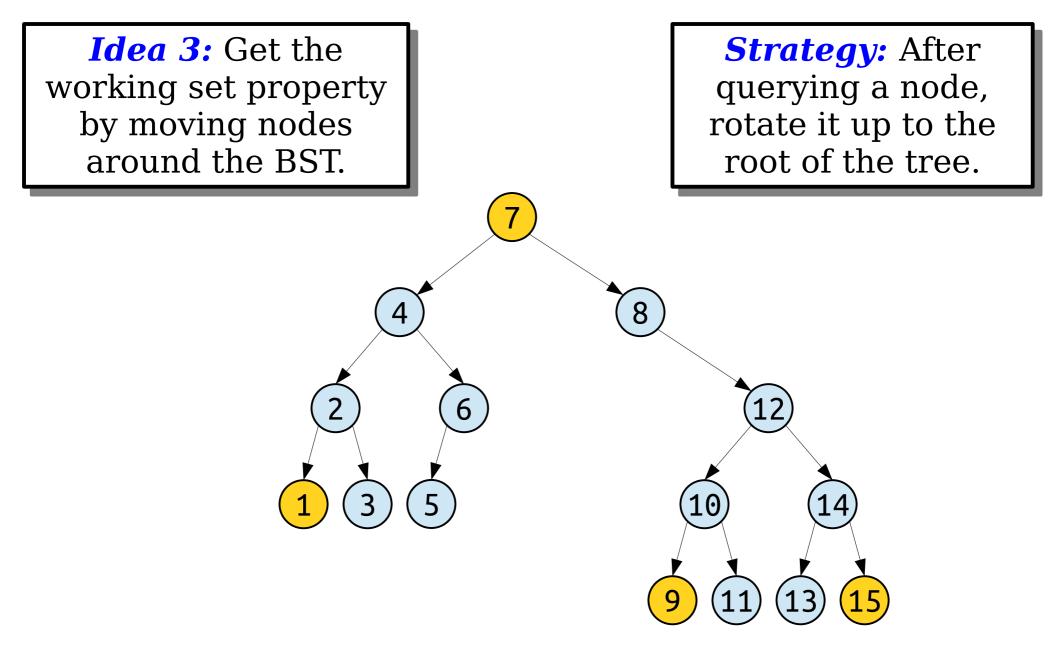


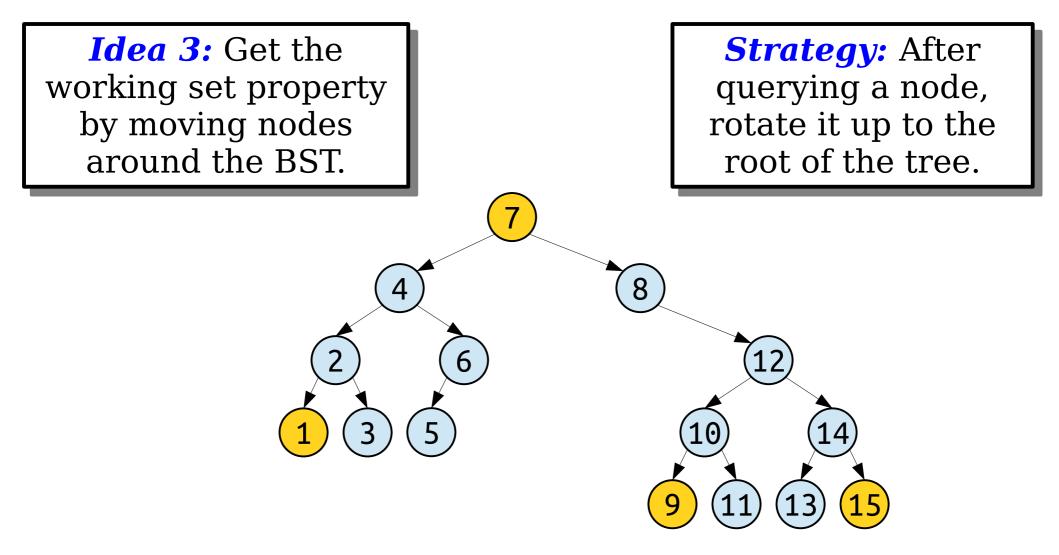


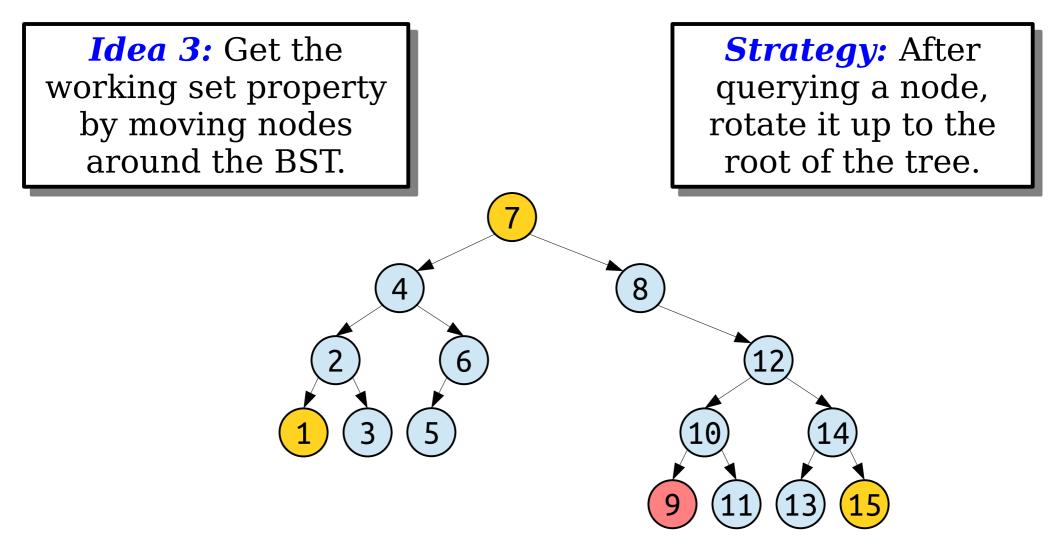


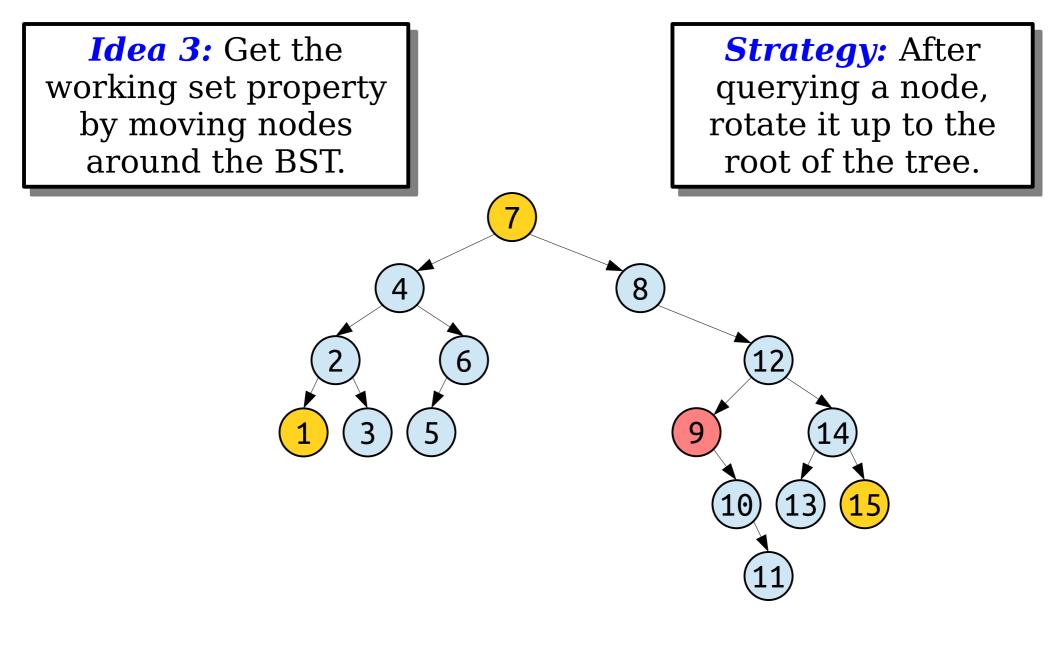


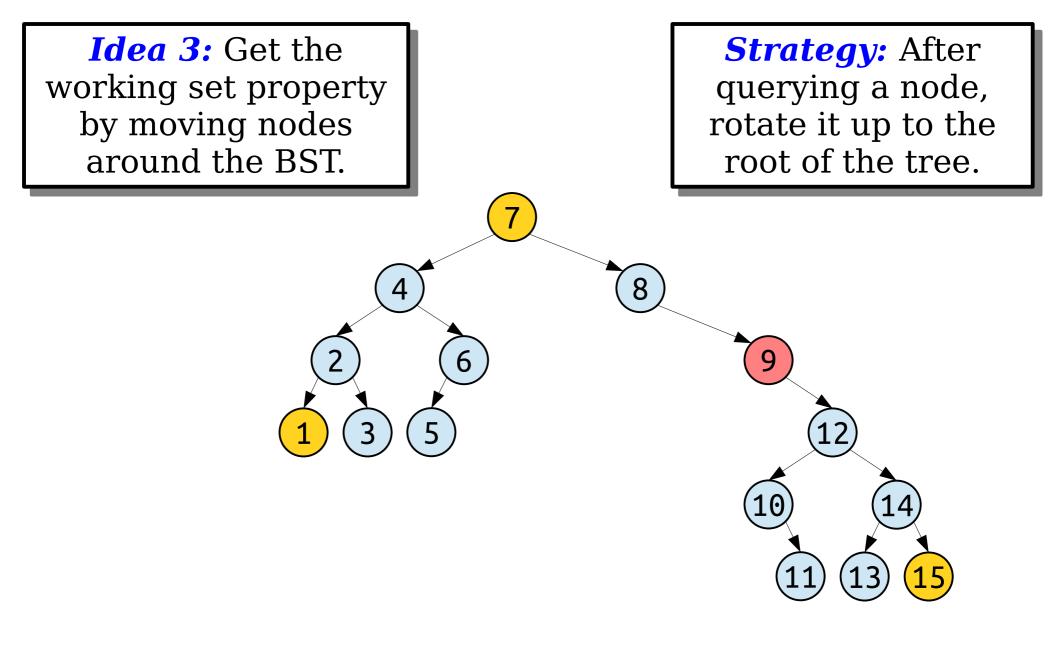


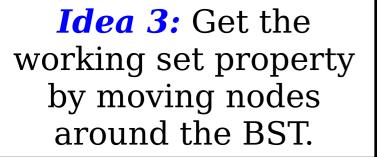


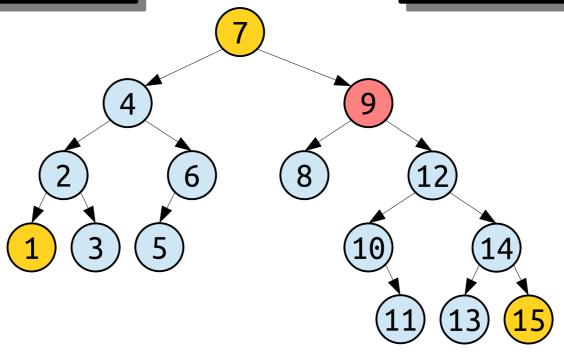


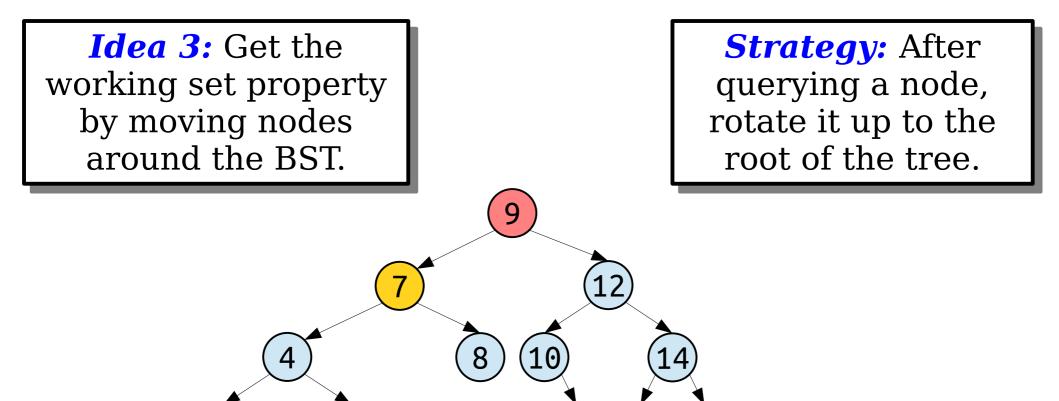


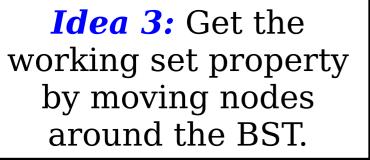


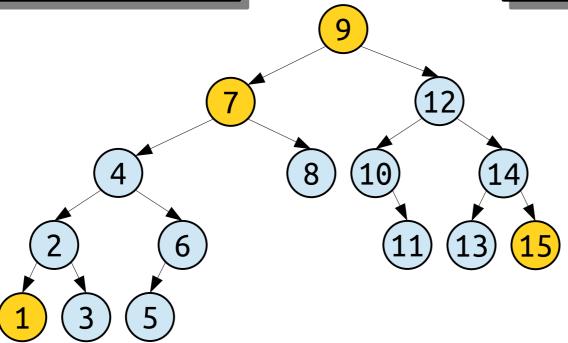


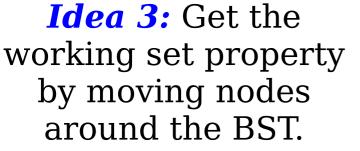


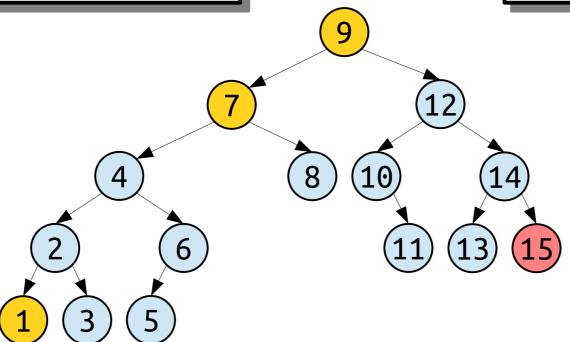


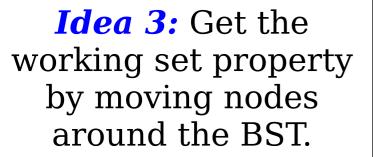


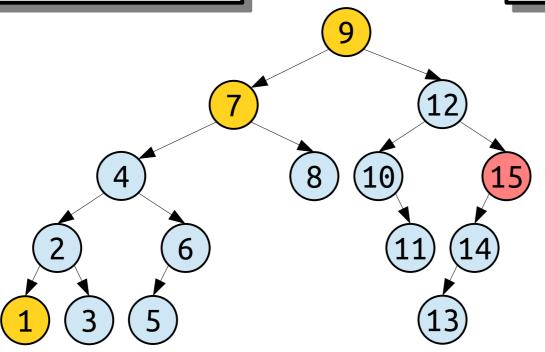




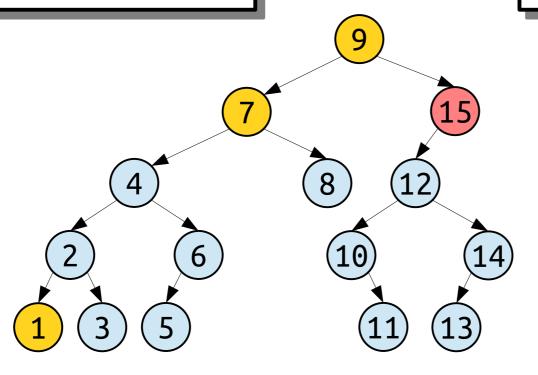




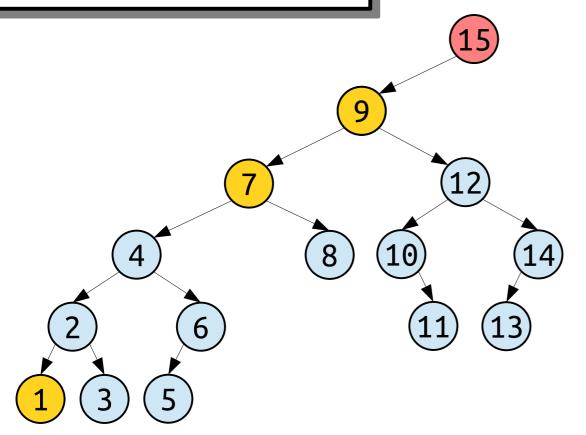




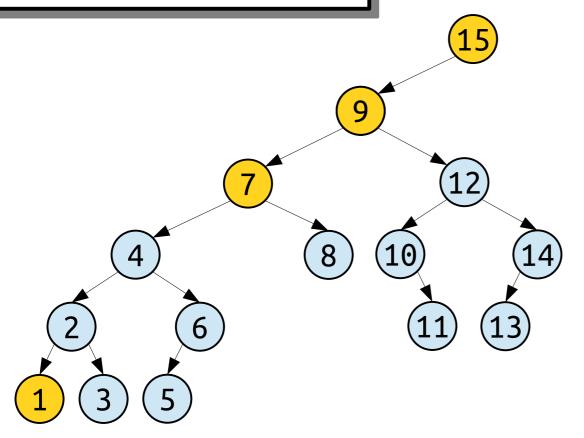
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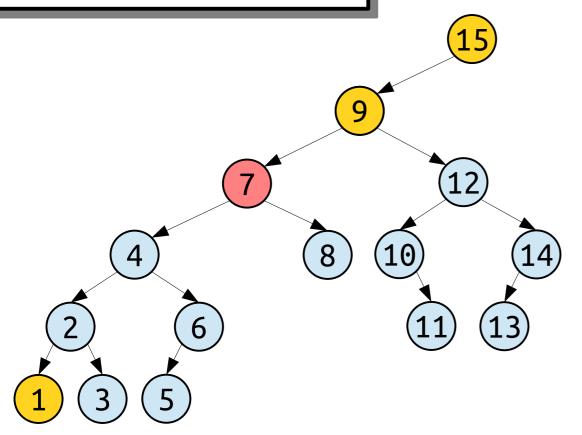
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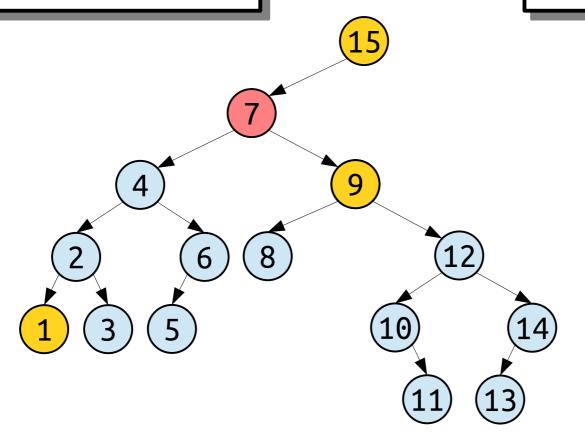
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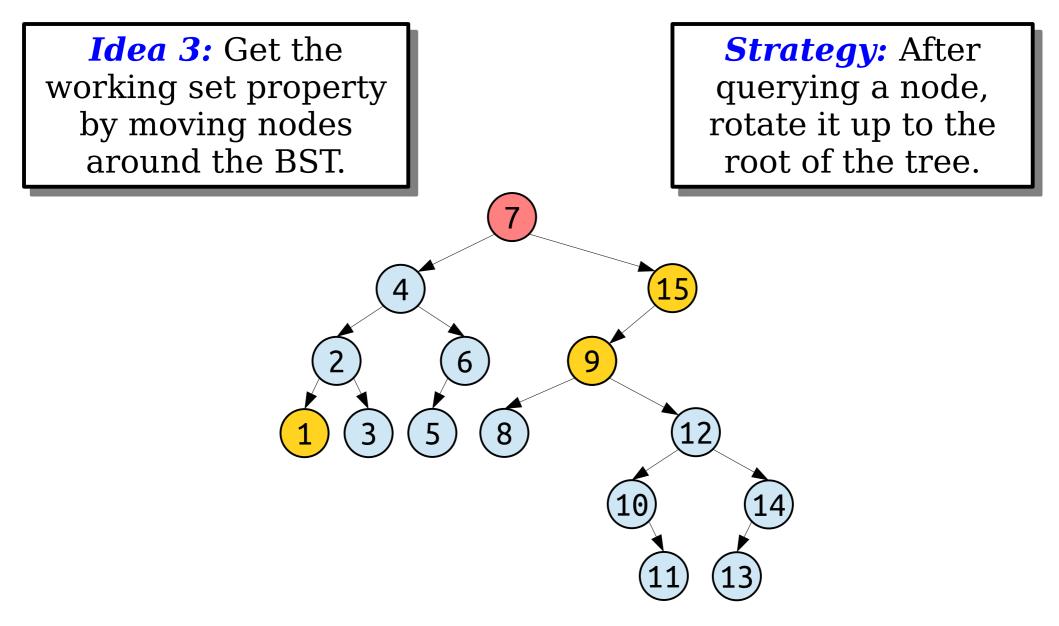


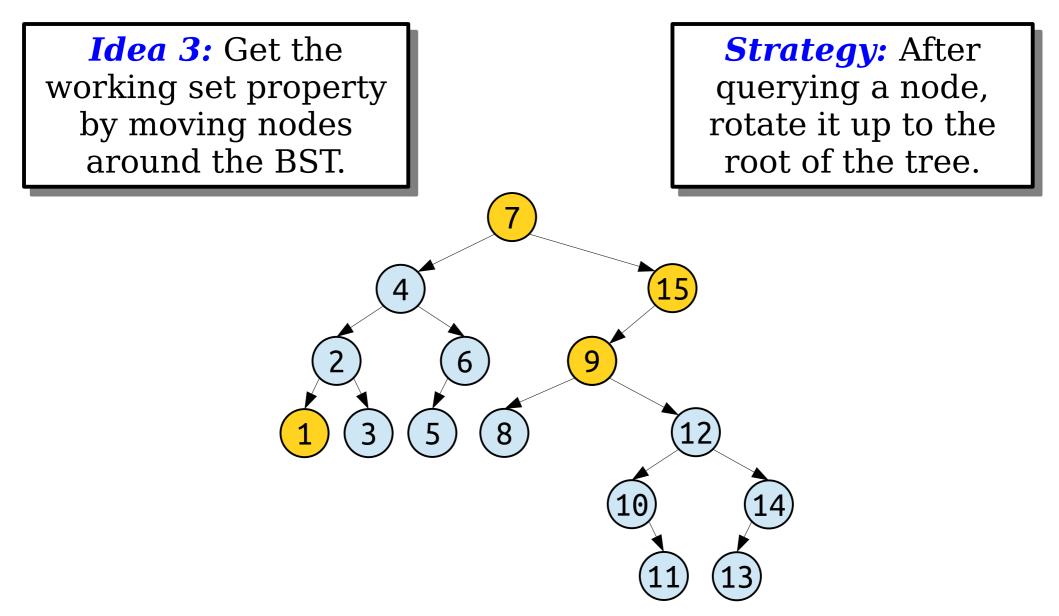
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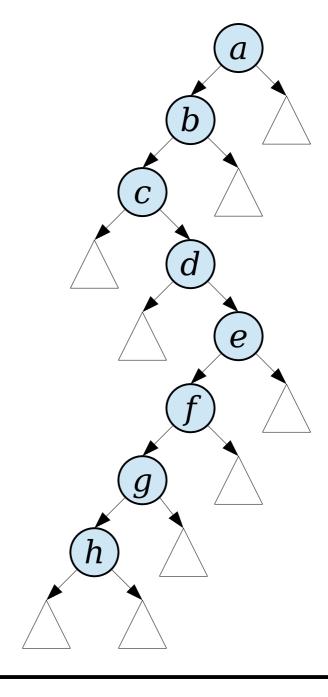
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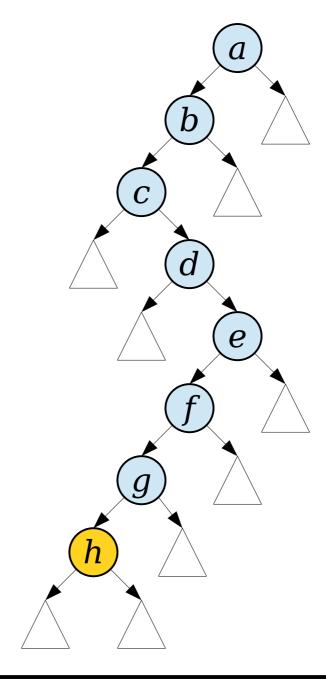


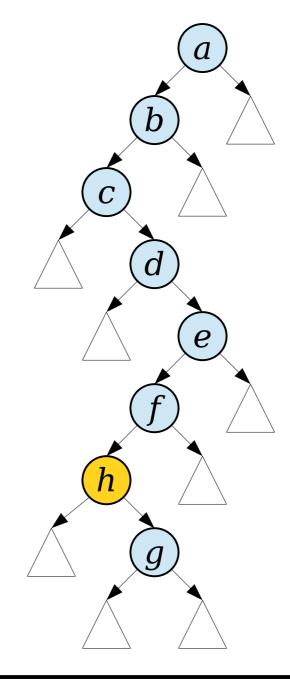


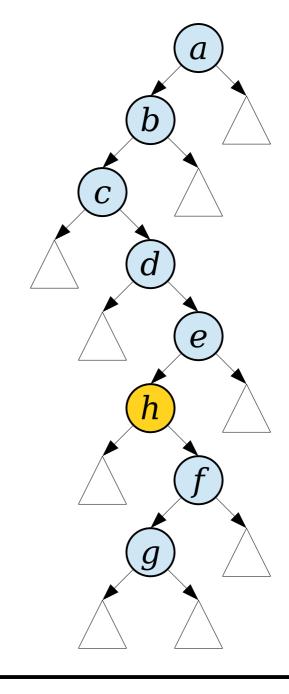


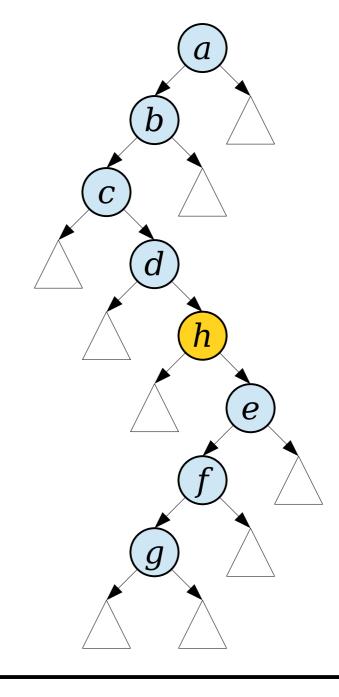
How do we build a BST with the working set property?

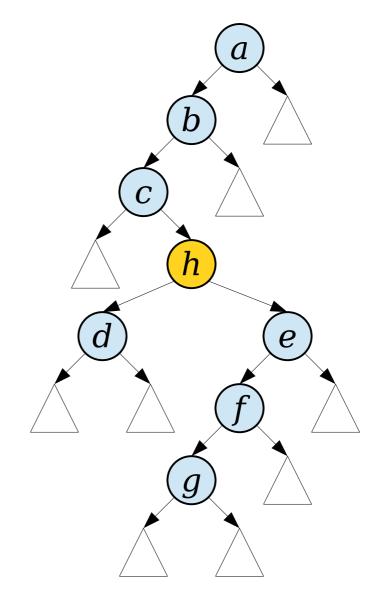


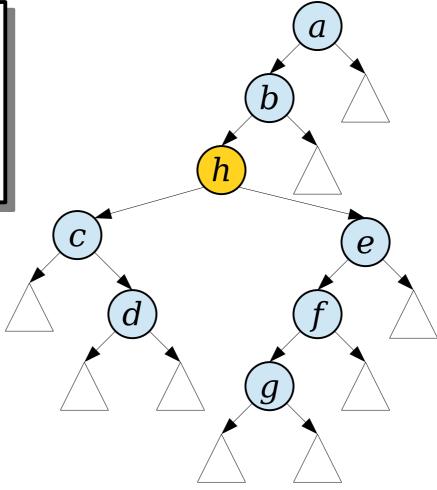


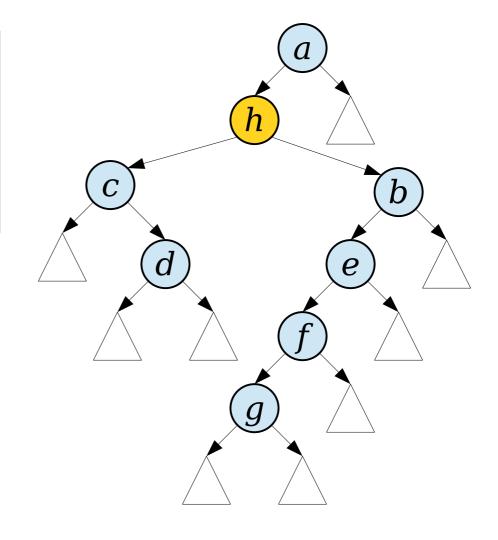


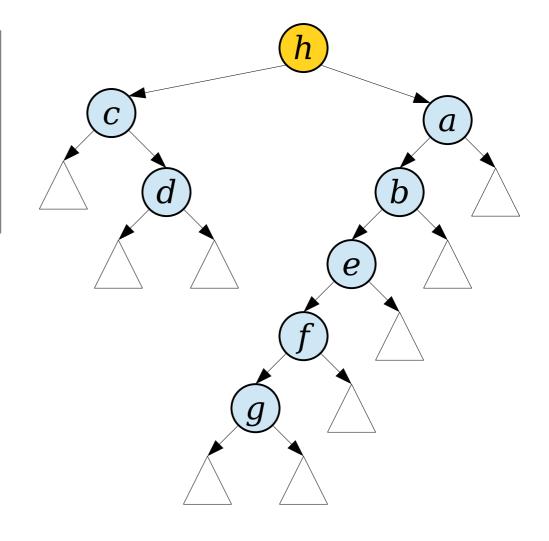


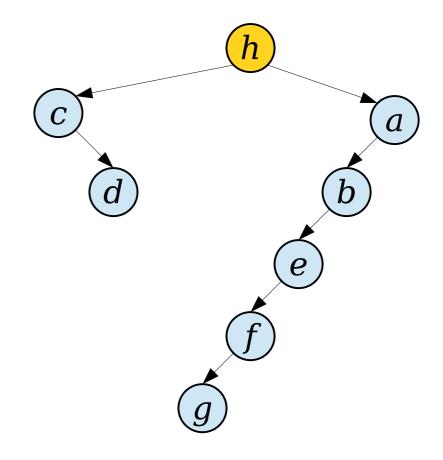


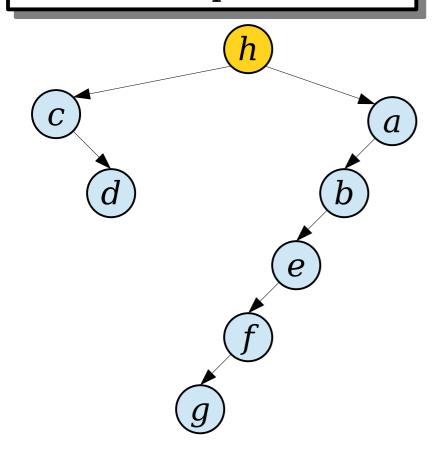


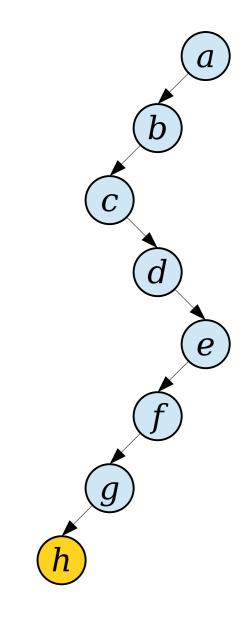


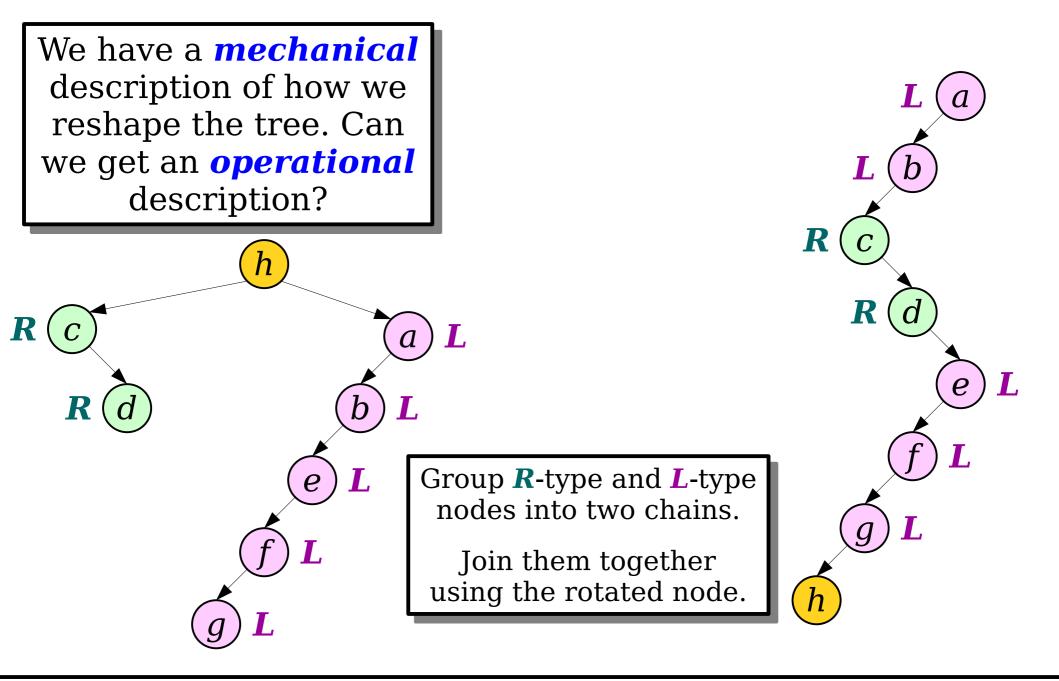


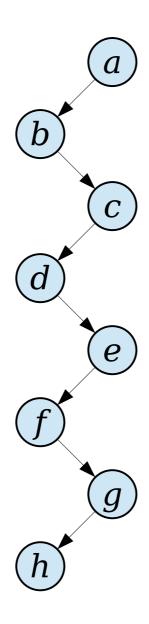






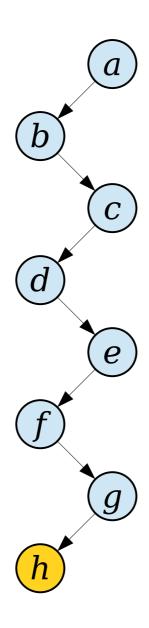






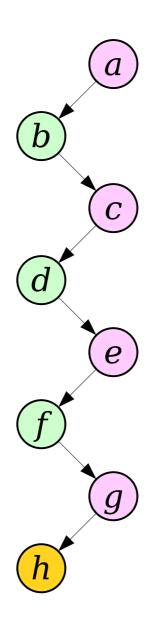
Group *R*-type and *L*-type nodes into two chains.

Join them together using the rotated node.



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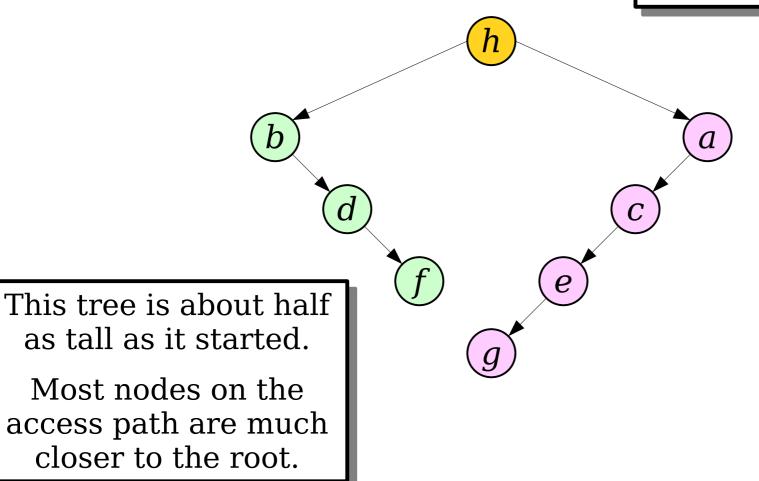


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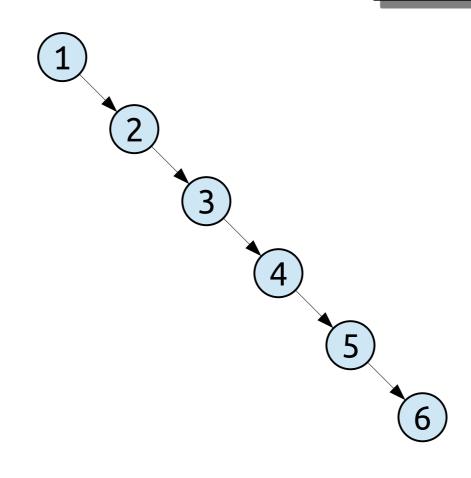
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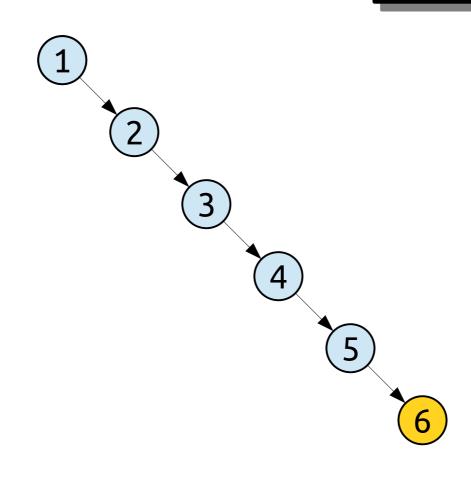
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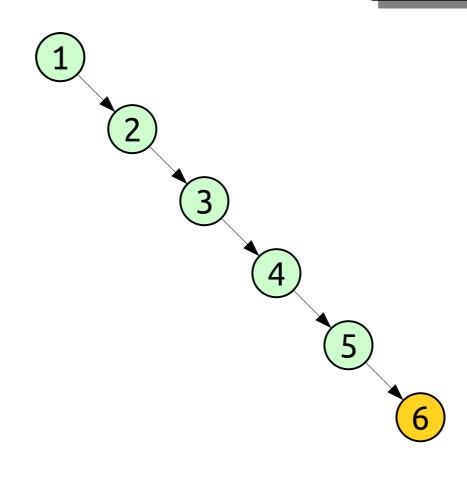
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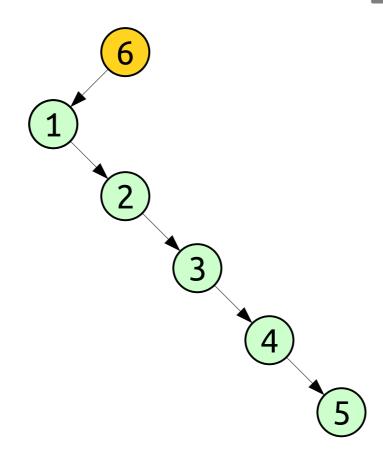
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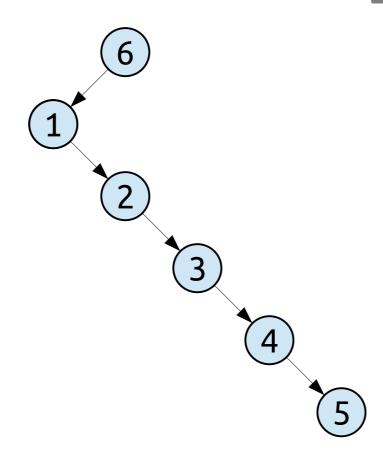
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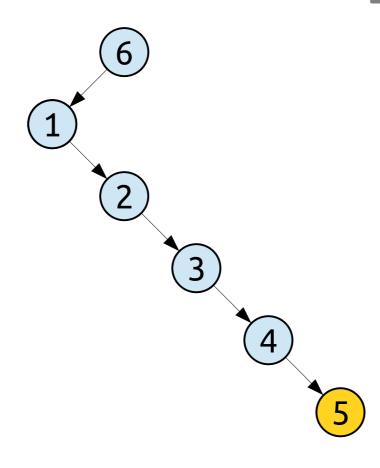
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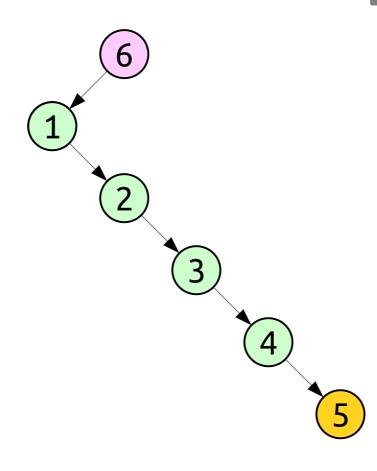
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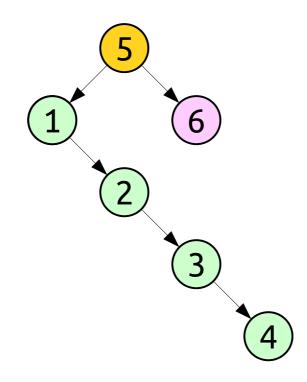
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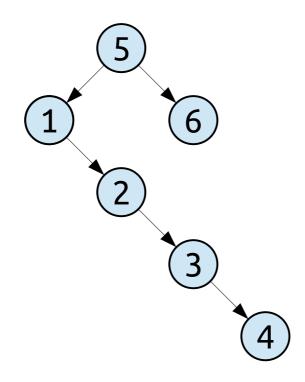
Group **R**-type and **L**-type nodes into two chains.

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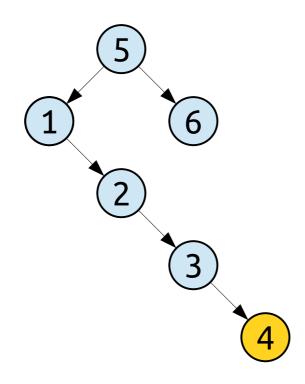
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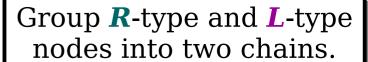
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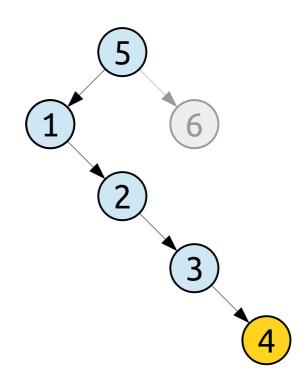
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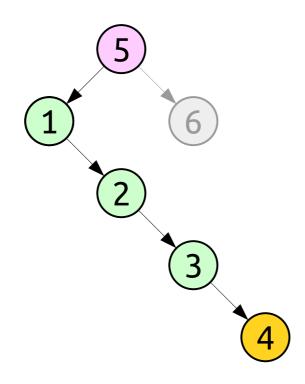


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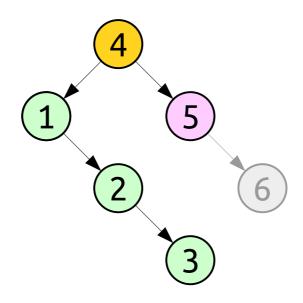
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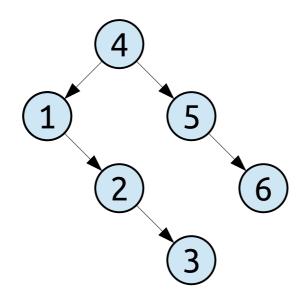
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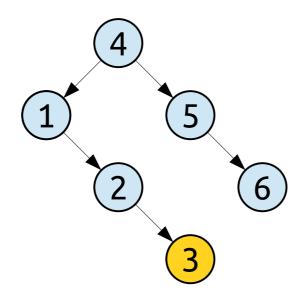
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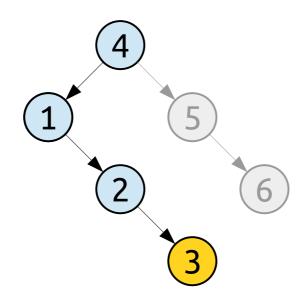
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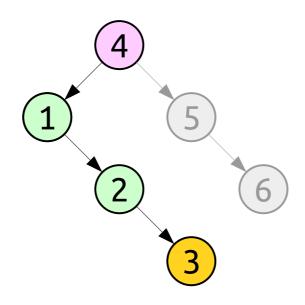
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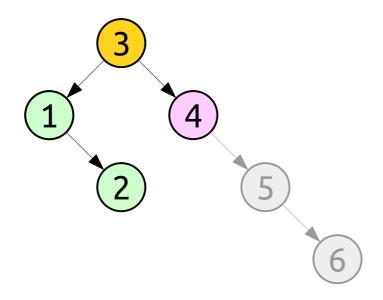
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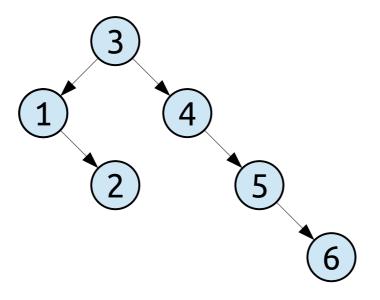
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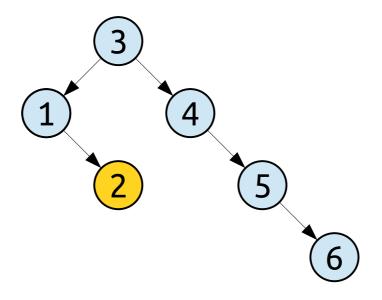
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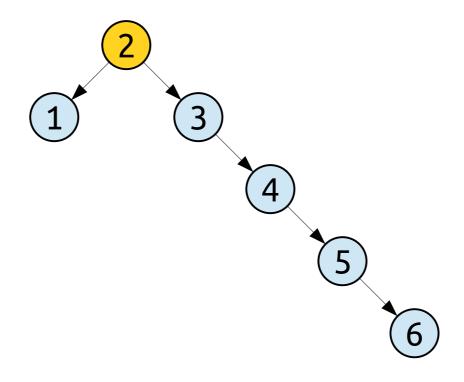
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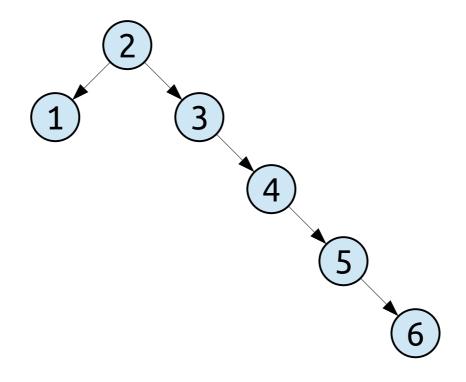
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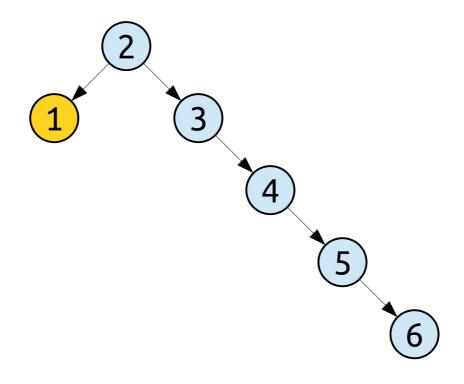
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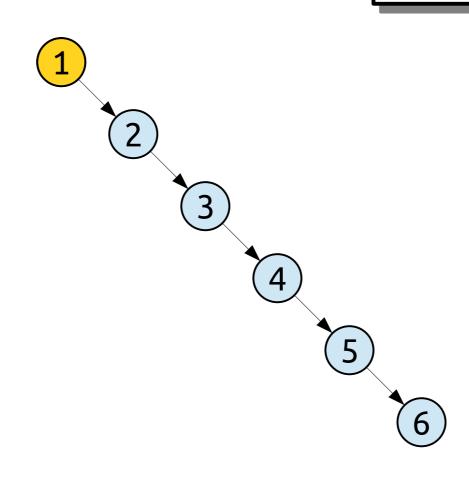
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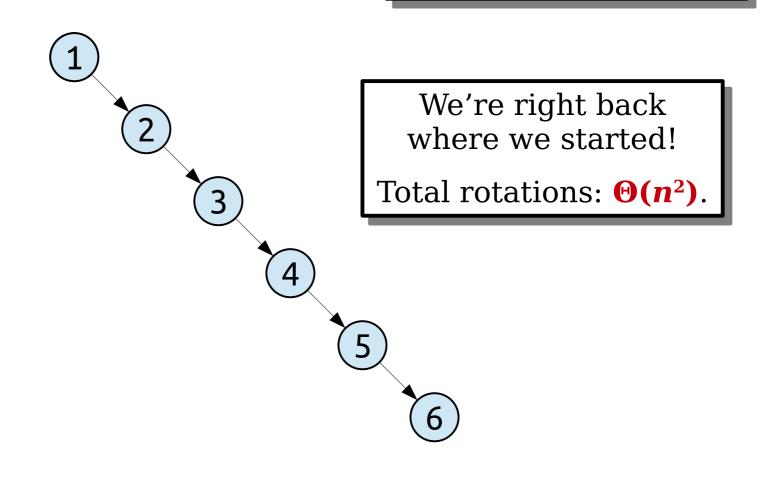
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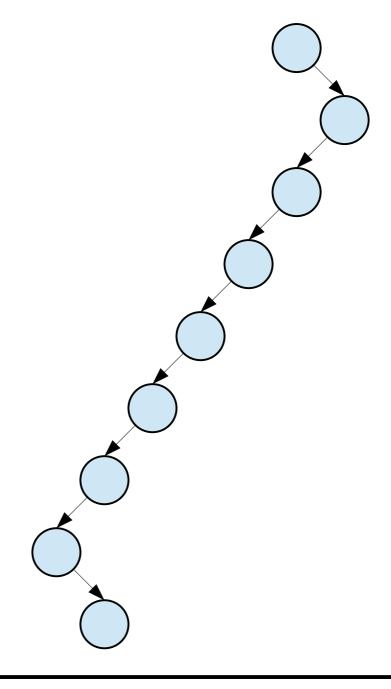
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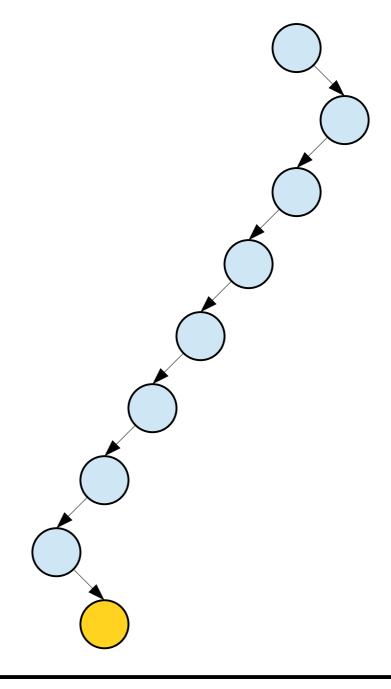


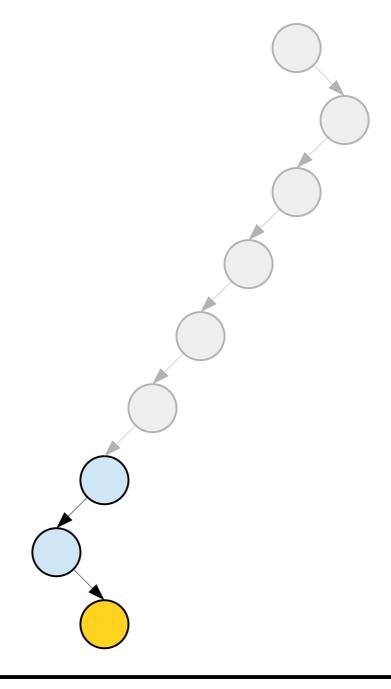
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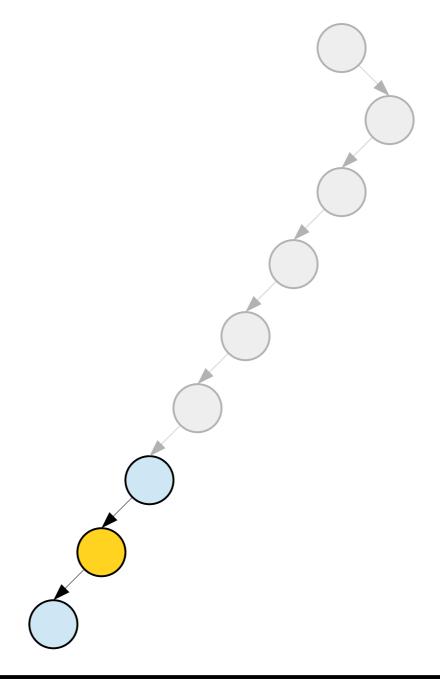
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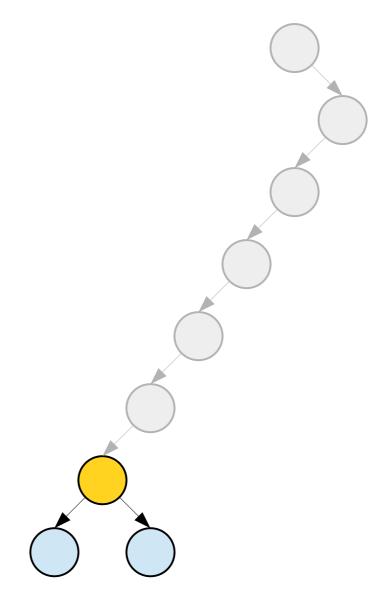




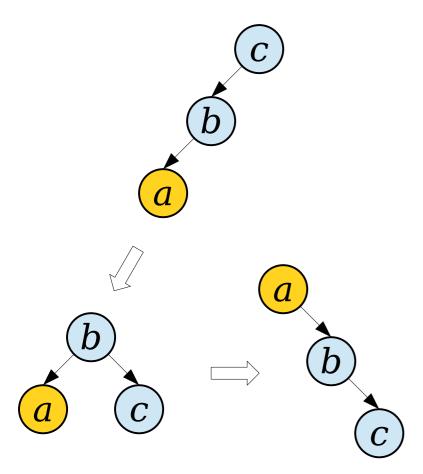


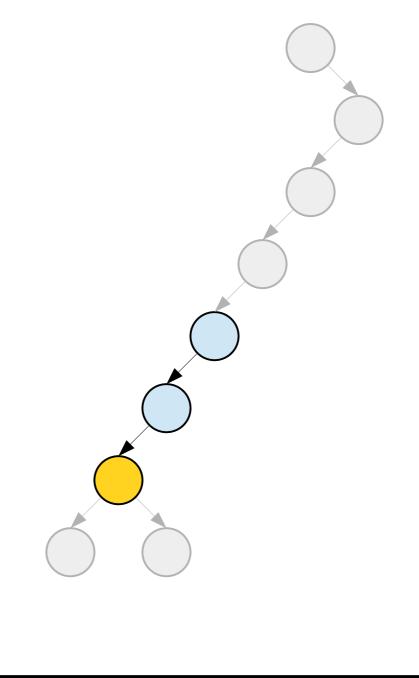


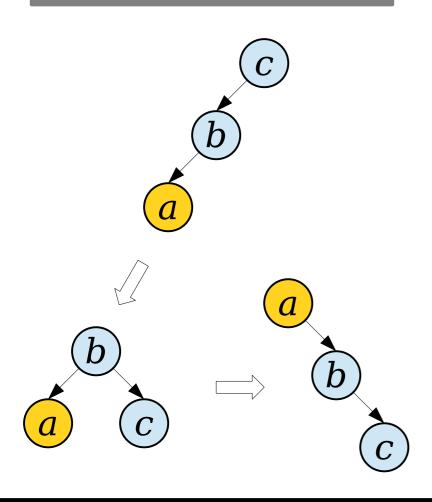


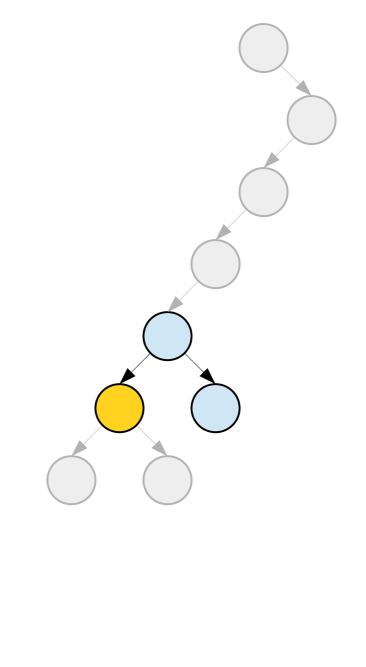


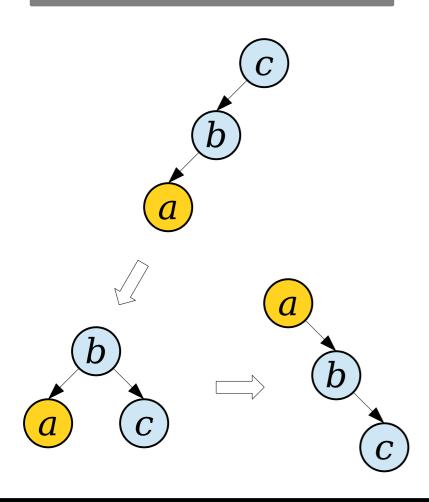
**Question:** How do we fix rotate-to-root to work well with long chains of nodes?

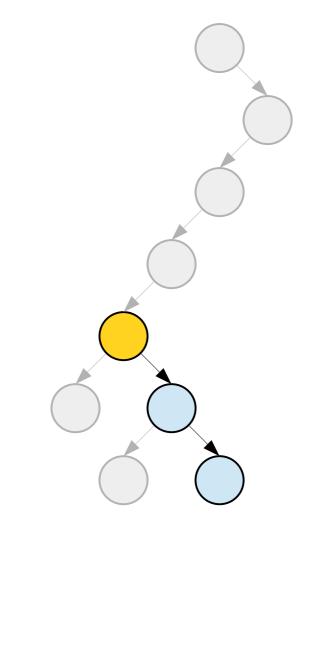


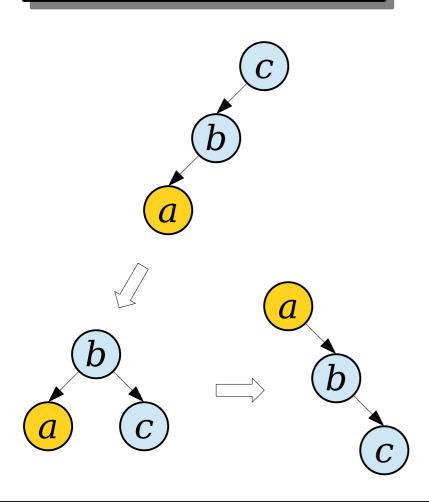


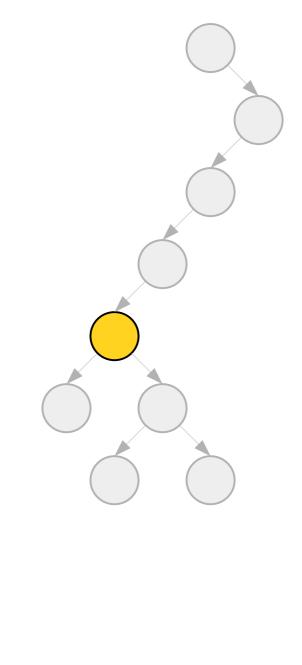


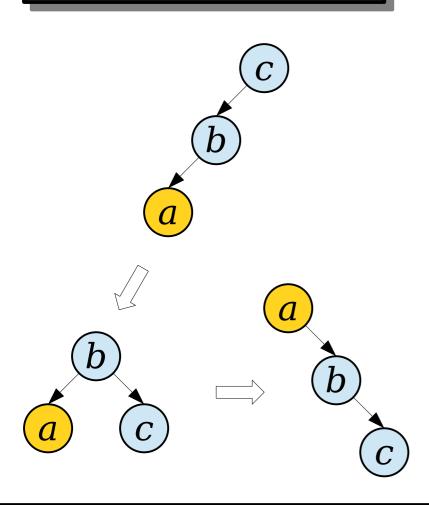


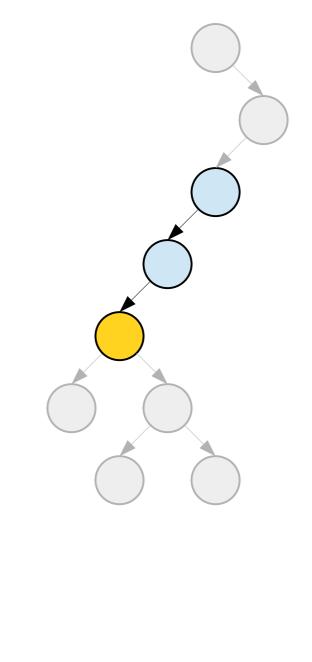


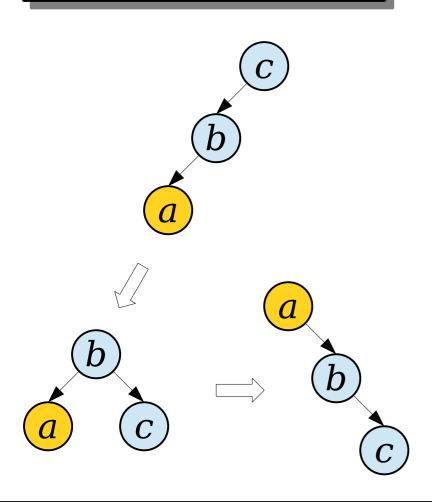


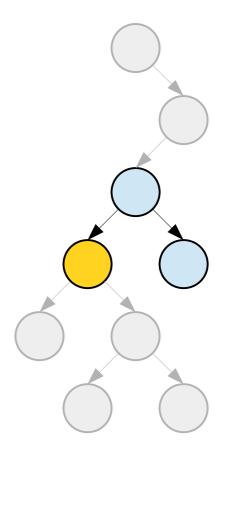


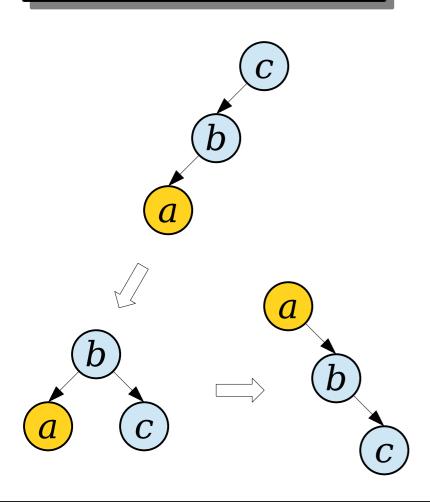


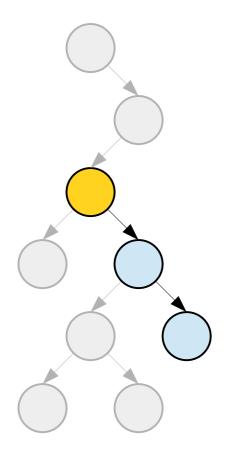


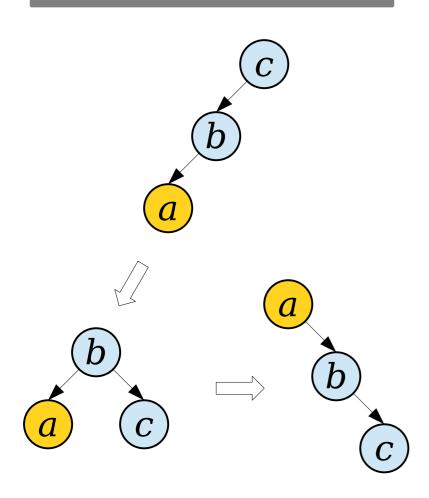


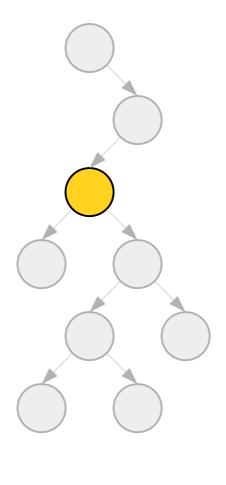


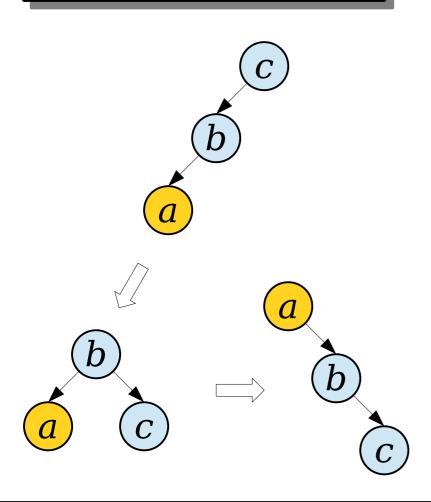


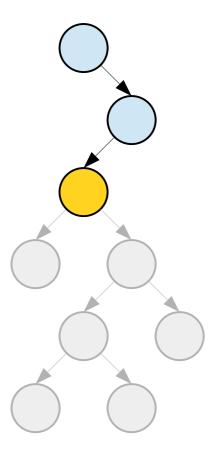


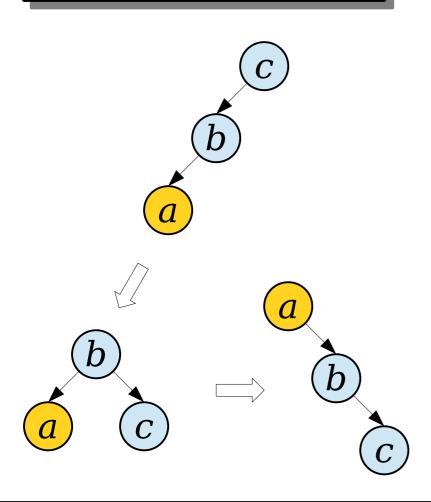


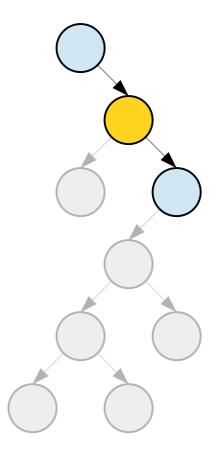


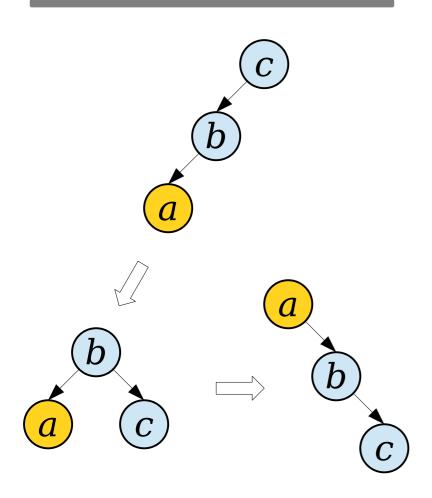


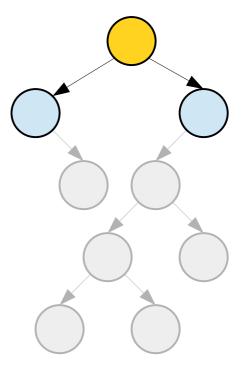


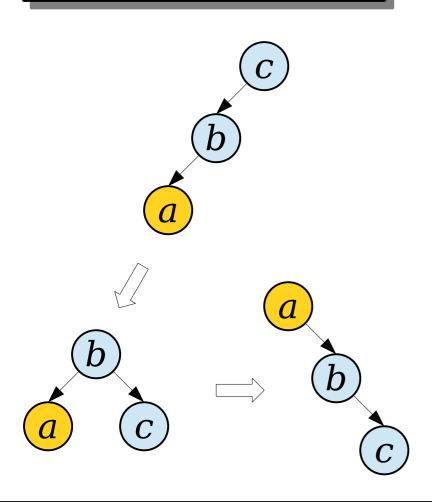


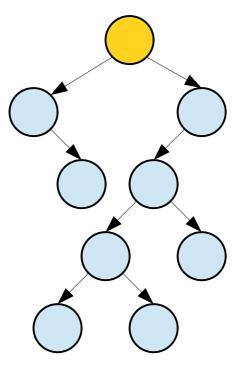










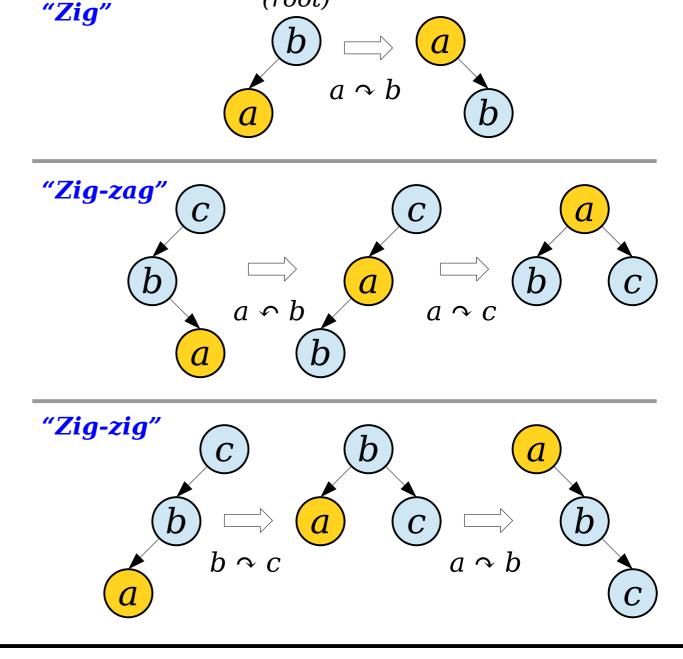


**Intuition:** We already handle zig-zags well. Let's just fix the linear case. **Observation:** This new rule roughly cuts the height of the access path in half.

This procedure for moving a node to the root of the tree is called *splaying*.

Intuition: Use rotate-to-root, except when nodes chain in the same direction.

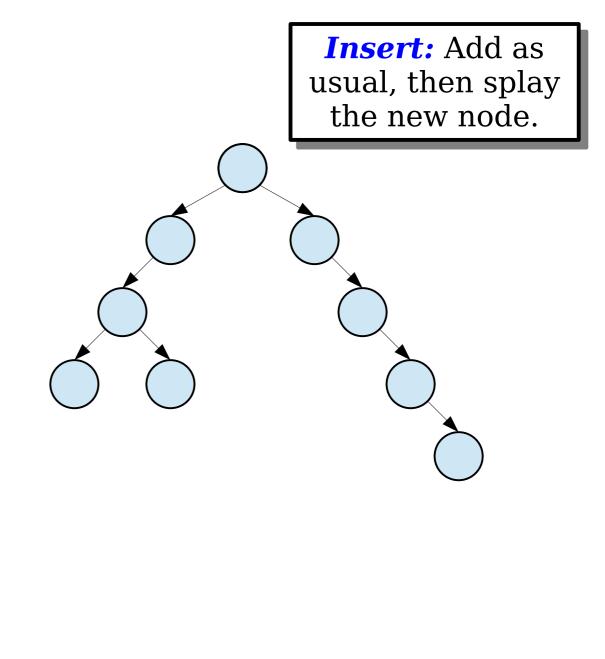
Mechanics: Look back two steps in the tree and apply the appropriate rotation rules.



(root)

Theorem: The amortized cost of splaying a node is  $O(\log n)$ .

Claim: Every splay tree operation cost is bounded by O(1) splays and takes amortized time  $O(\log n)$ .



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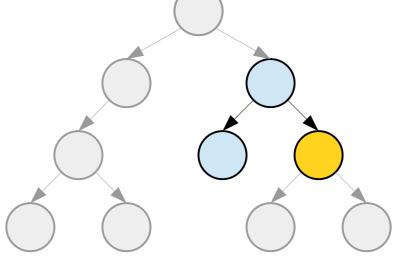
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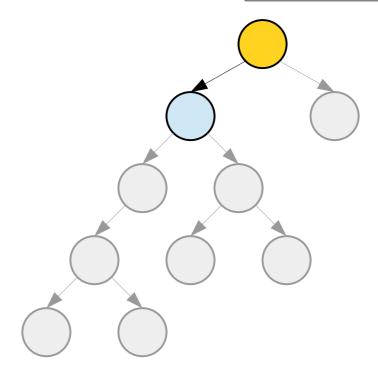
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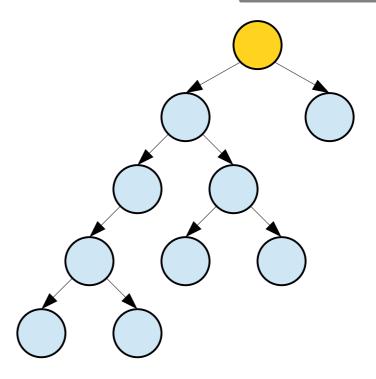
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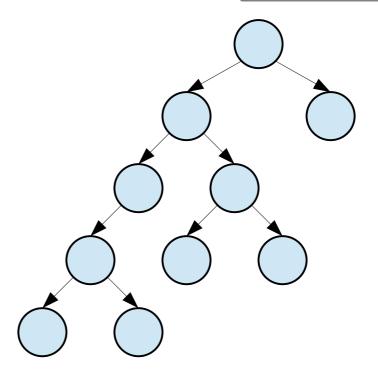
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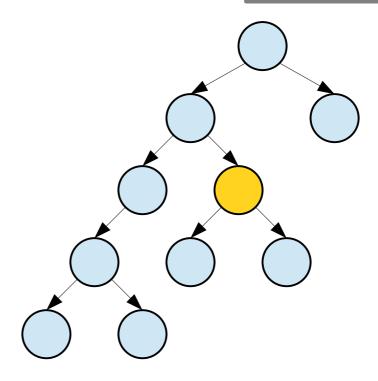
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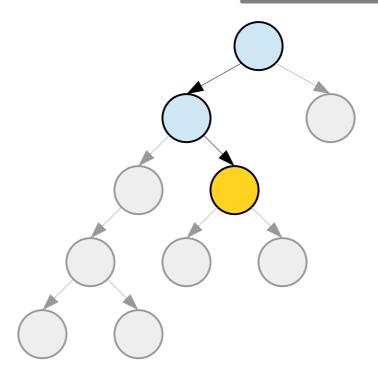
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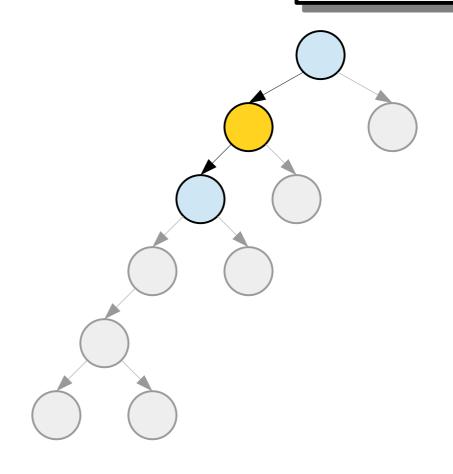
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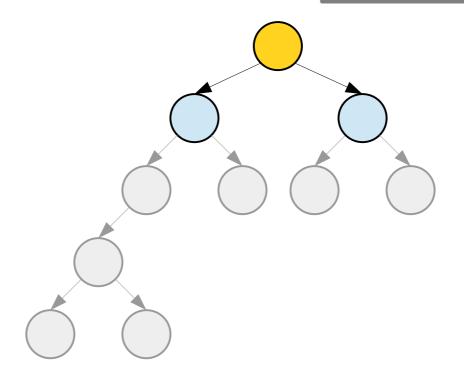
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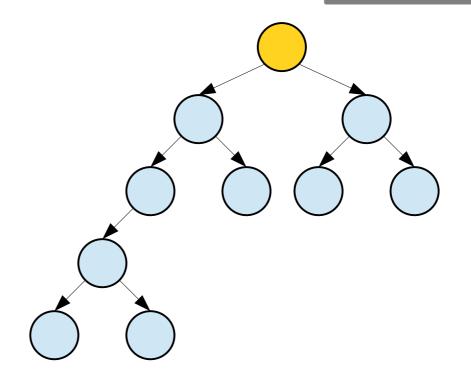
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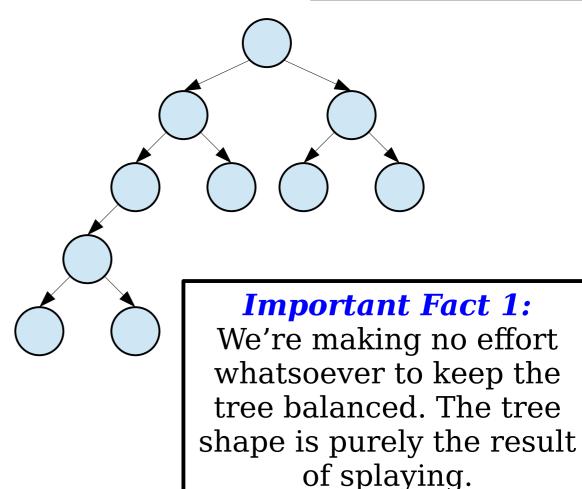
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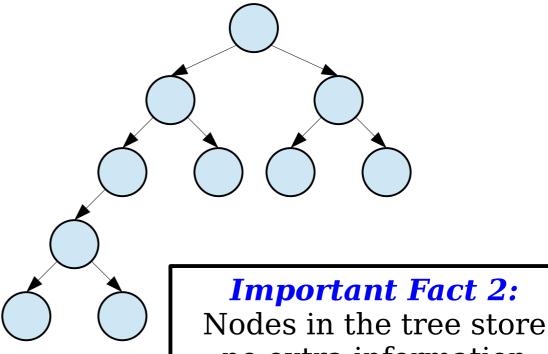
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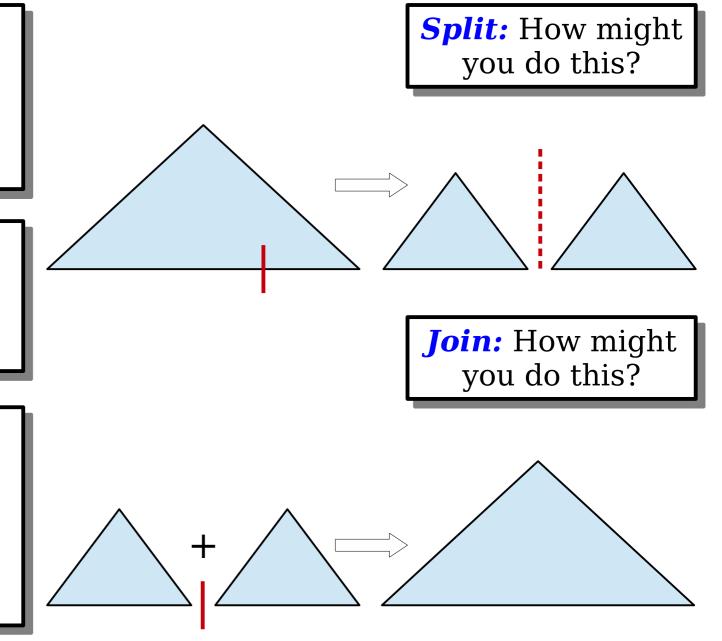
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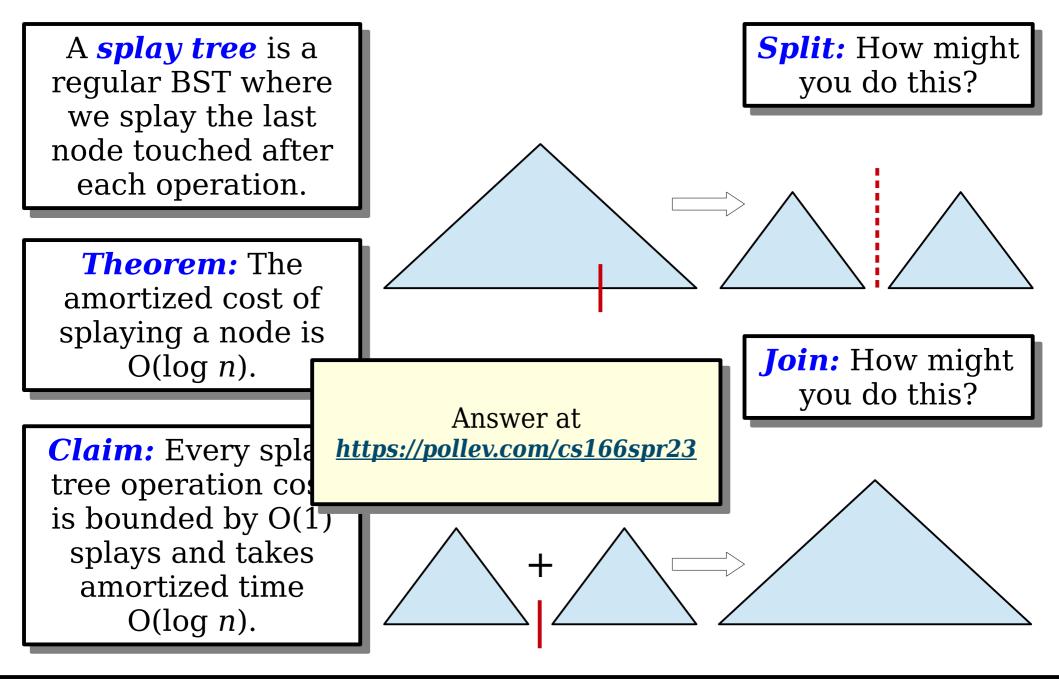


no extra information beyond left and right pointers. (Contrast with, say, a red/black tree.)

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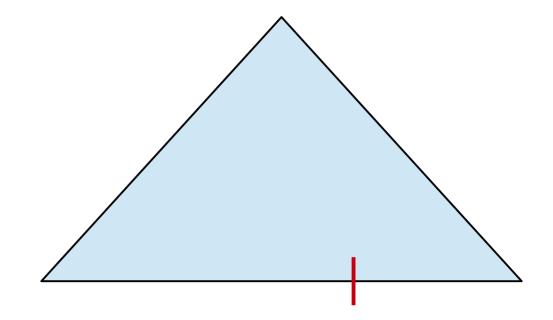




Split: Search for the smallest value bigger than the split point. Splay it to the root and cut one link.

**Theorem:** The amortized cost of splaying a node is  $O(\log n)$ .

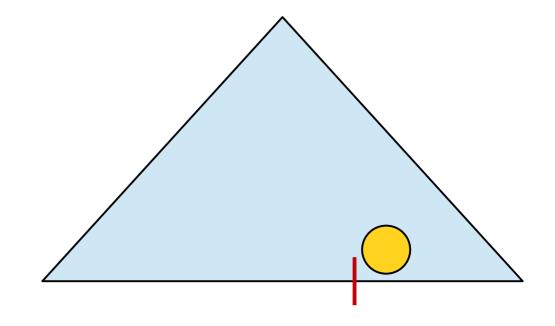
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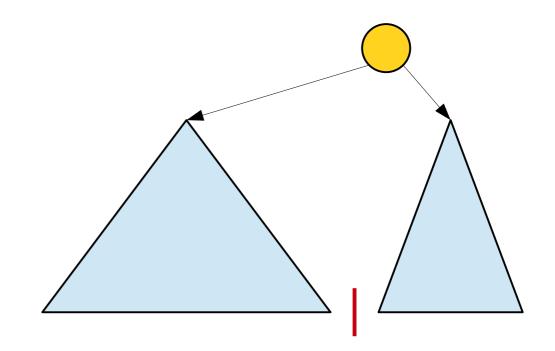
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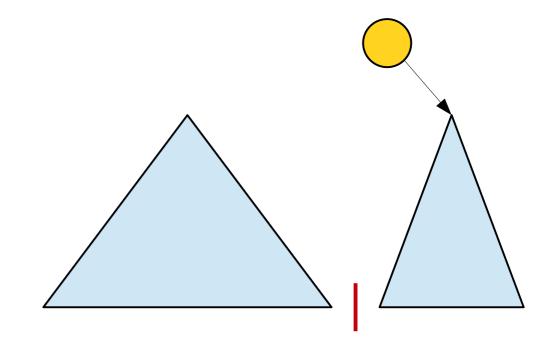
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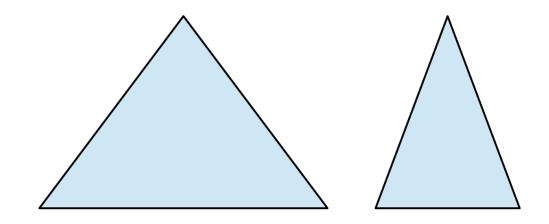
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Join: Splay the largest value in the left tree to the root, then add the right tree as its right child.

**Theorem:** The amortized cost of splaying a node is  $O(\log n)$ .

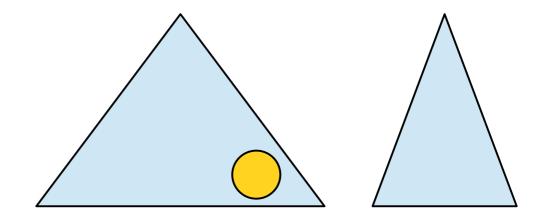
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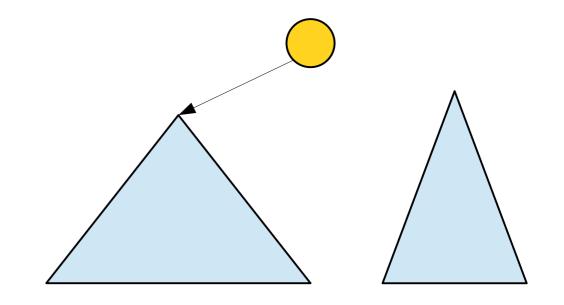
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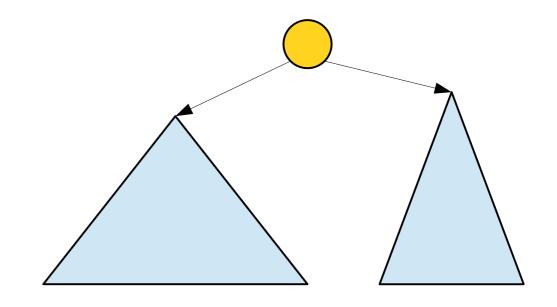
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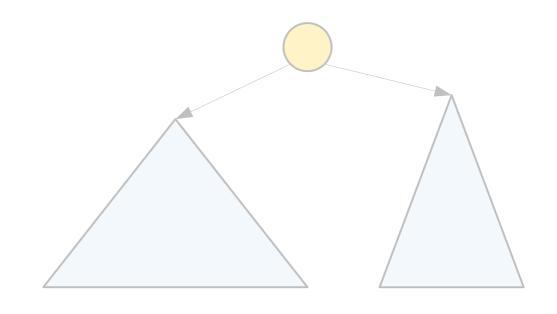
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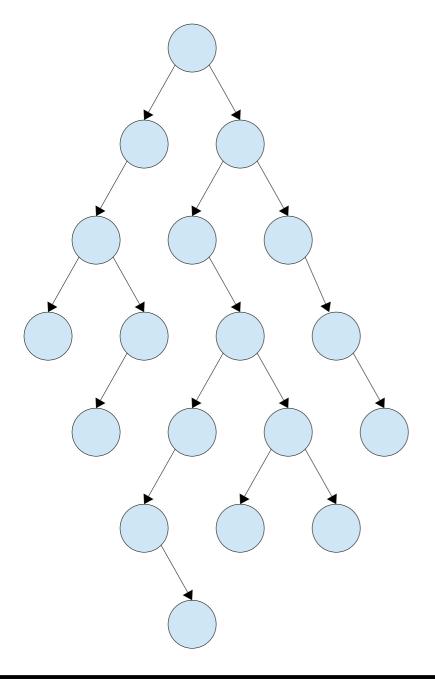


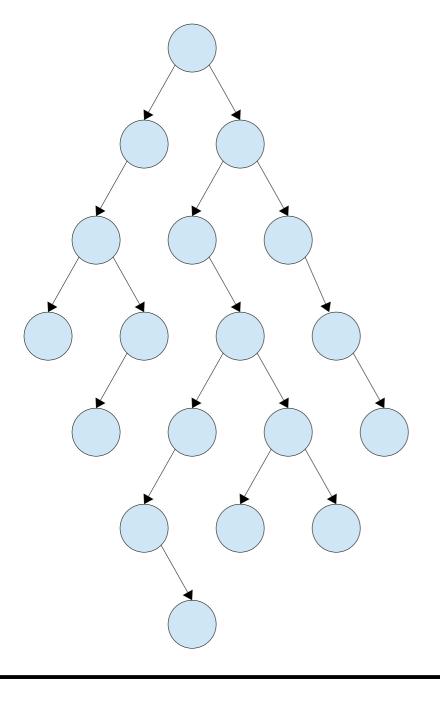
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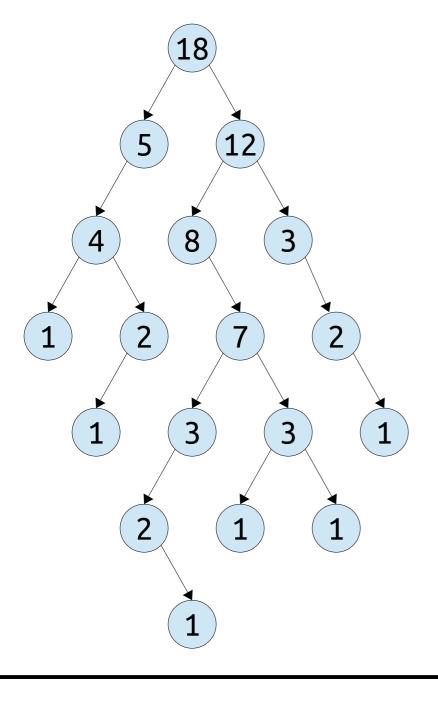
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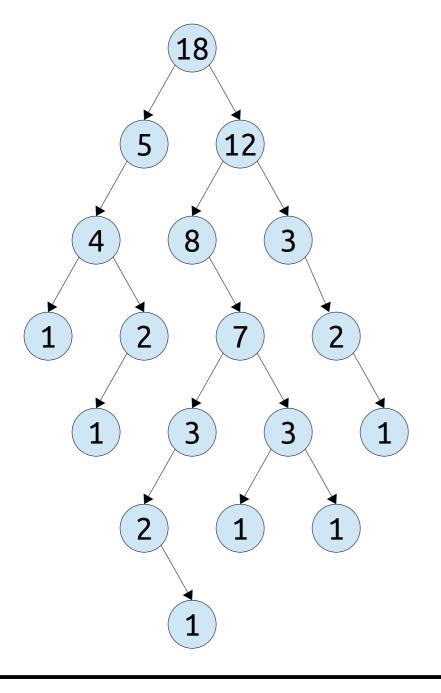
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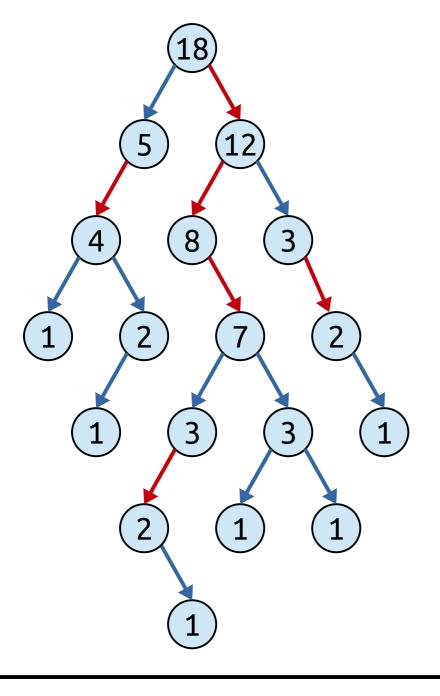




Mark each edge as blue or red:

$$s(child) \leq \frac{1}{2} \cdot s(parent)$$
  
 $s(child) > \frac{1}{2} \cdot s(parent)$ 

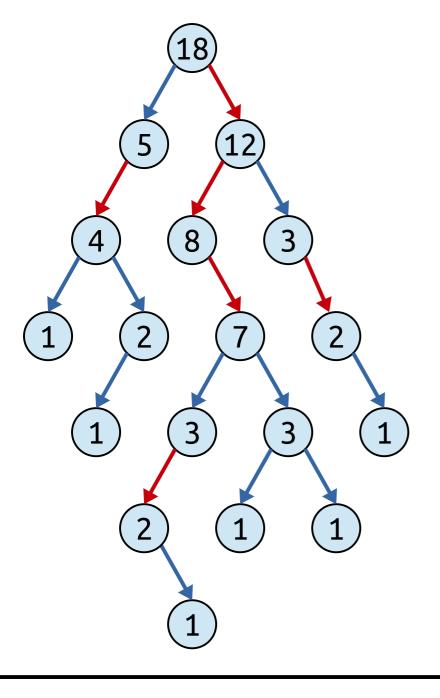
Blue edges make lots of progress.



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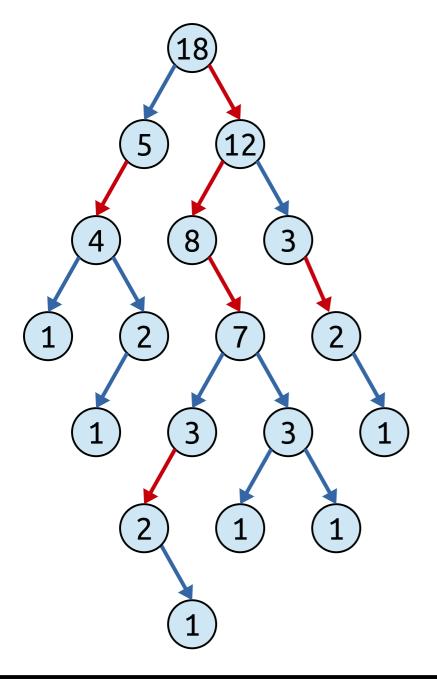
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Cost of visiting a node:

O(#blue-used + #red-used)



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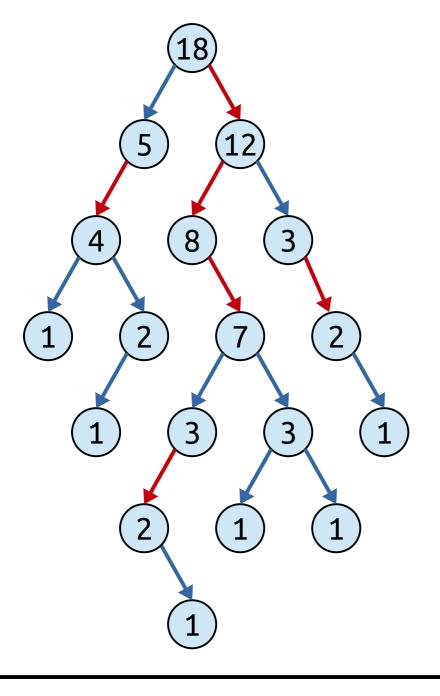
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Blue edges make lots of progress.

Cost of visiting a node:

O(**#blue-used** + **#red-used**)

*Idea:* Bound the cost of blue edges, then amortize away the cost of red edges. This is called a *heavy/light decomposition*.



Mark each edge as blue or red:

$$s(child) \leq \frac{1}{2} \cdot s(parent)$$

$$\longrightarrow$$
  $s(child) > \frac{1}{2} \cdot s(parent)$ 

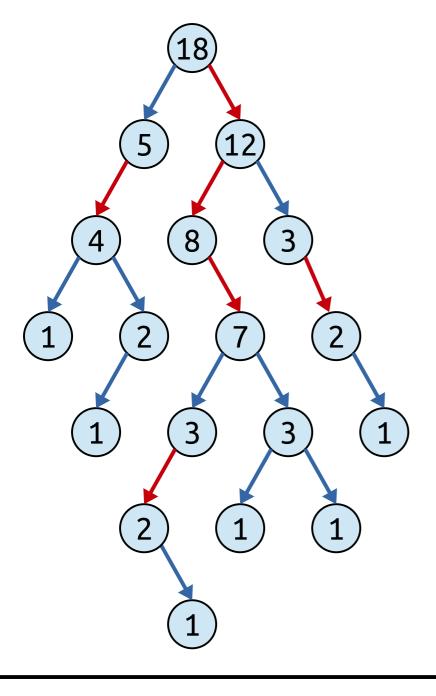
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Cost of visiting a node:

O(**#blue-used** + **#red-used**)

Give a bound on O(**#blue-used**) and explain your reasoning.

Answer at <a href="https://pollev.com/cs166spr23">https://pollev.com/cs166spr23</a>



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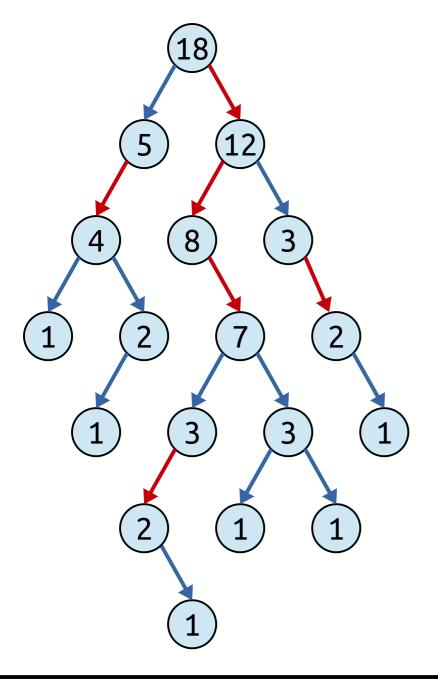
$$s(child) \leq \frac{1}{2} \cdot s(parent)$$
  
 $s(child) > \frac{1}{2} \cdot s(parent)$ 

Blue edges make lots of progress.

Cost of visiting a node:

 $O(\log n + \#red-used)$ 

*Intuition:* Blue edges discard half the remaining nodes. You can only do that O(log *n*) times before running out of nodes.



Mark each edge as blue or red:

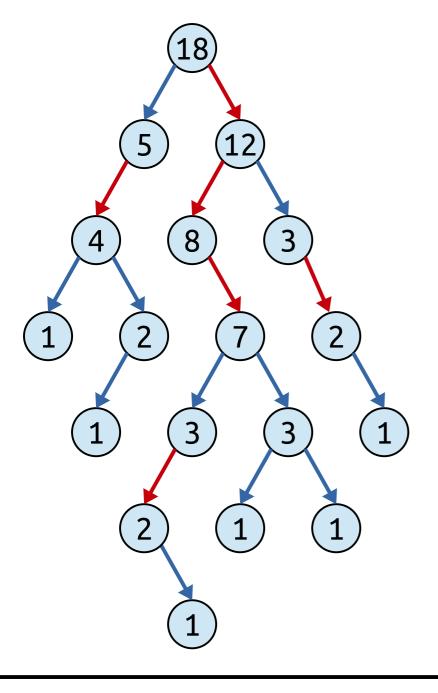
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Cost of visiting a node:

 $O(\log n + \#red\text{-used})$ 

*Goal:* Find a potential function that penalizes red edges and rewards blue edges.



Mark each edge as blue or red:

 $\rightarrow$  lg  $s(child) \leq \lg s(parent) - 1$ 

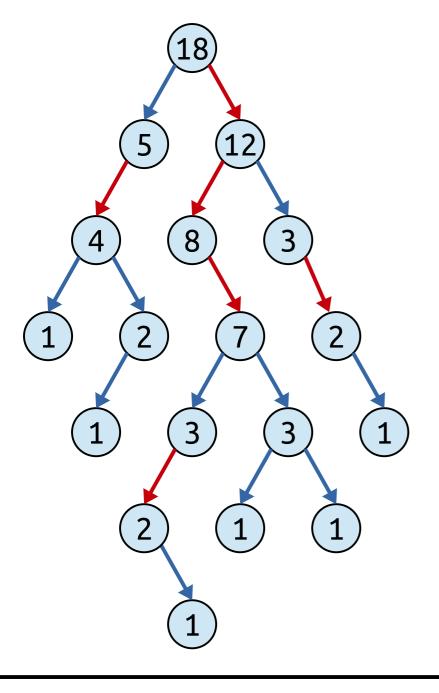
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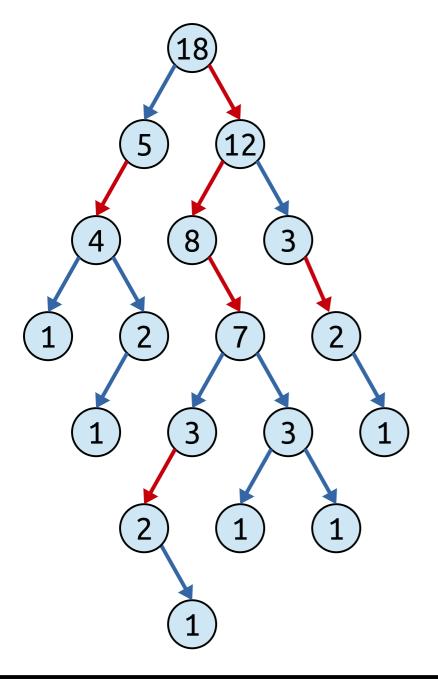
 $\longrightarrow$  lg s(child) > lg s(parent) - 1

Blue edges make lots of progress.

Cost of visiting a node:

 $O(\log n + \#red\text{-used})$ 

**Observation:** If there are a lot of red edges, then  $\lg s(x)$  will frequently be large.



Mark each edge as blue or red:

$$\rightarrow$$
 lg  $s(child) \le \lg s(parent) - 1$ 

$$\longrightarrow$$
 lg  $s(child) >$  lg  $s(parent) - 1$ 

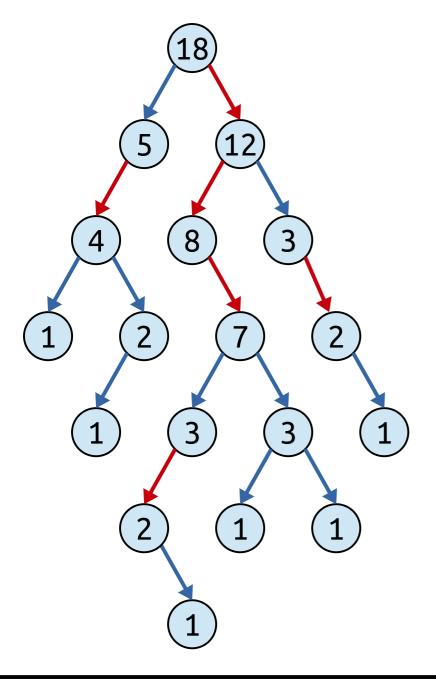
Blue edges make lots of progress.

Cost of visiting a node:

$$O(\log n + \#red-used)$$

Choose our potential to be

$$\Phi = \sum_{i=1}^n \lg s(x_i).$$

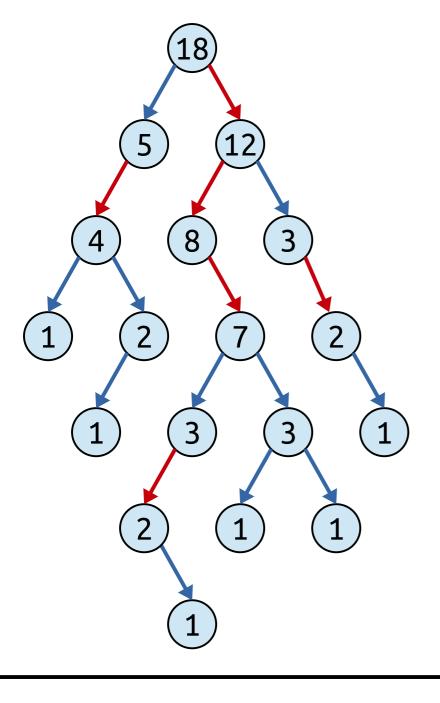


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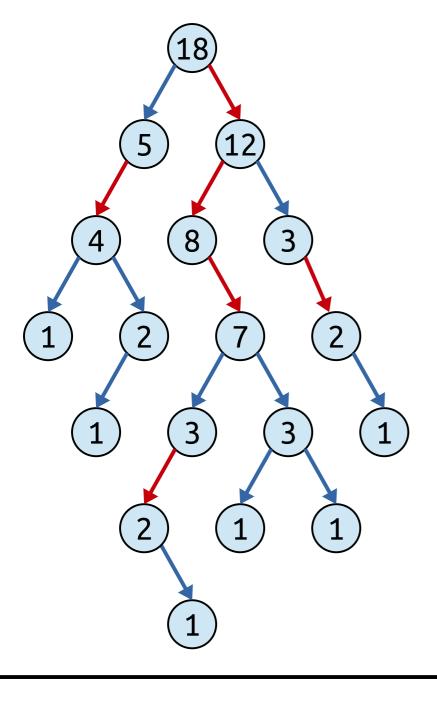
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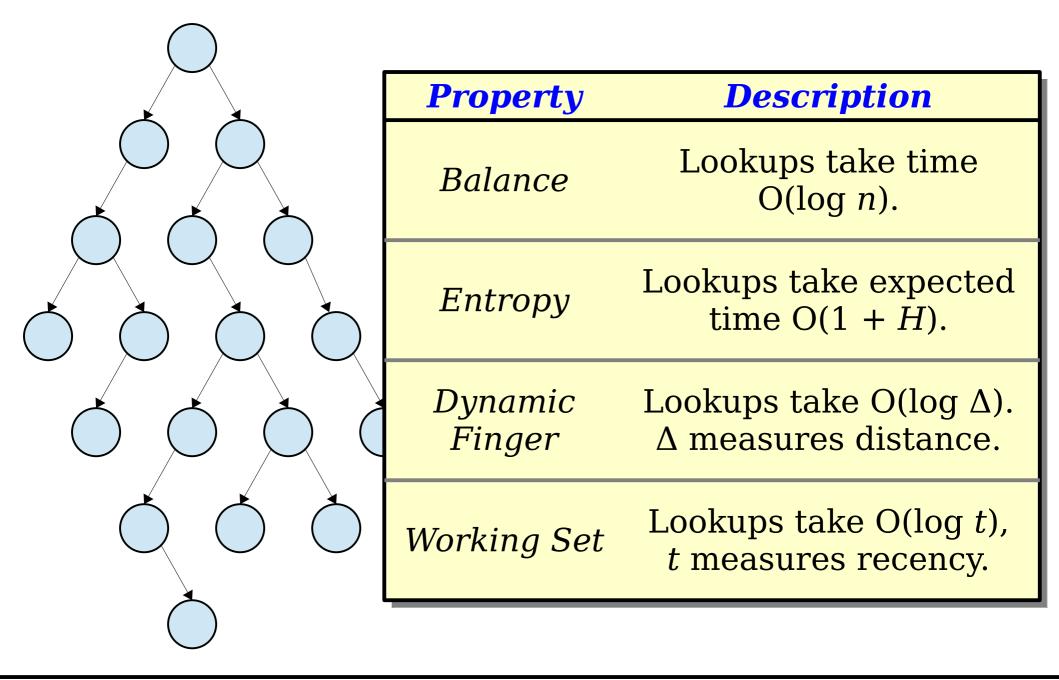
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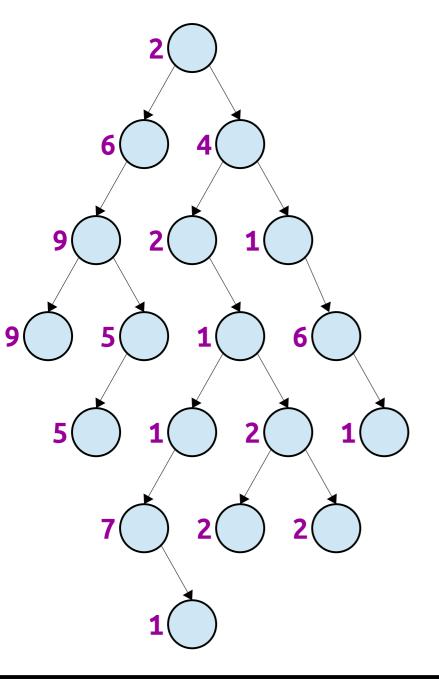
Choose our potential to be

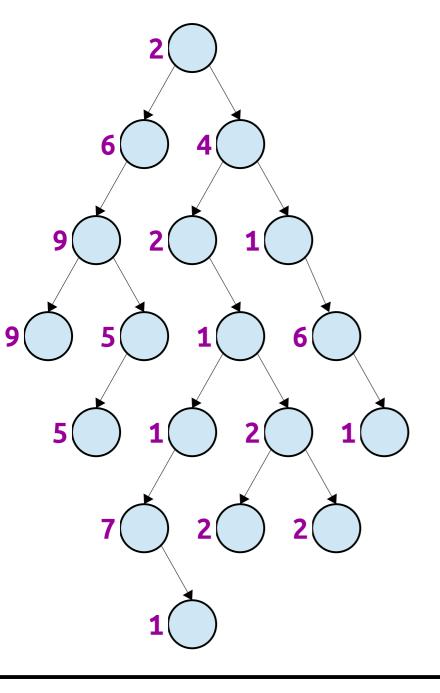
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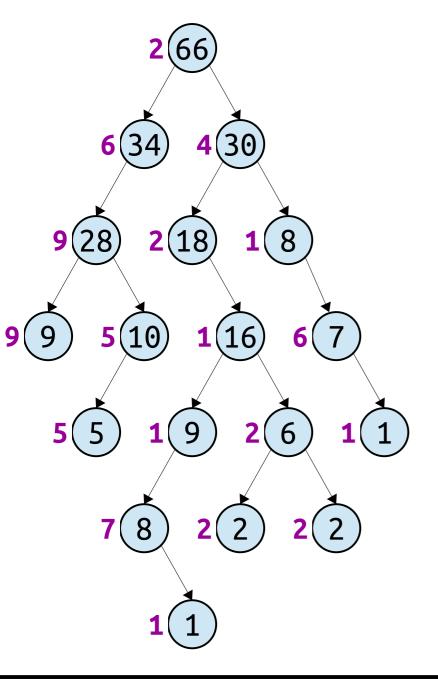
**Theorem:** The amortized cost of a splay operation is  $O(\log n)$ .



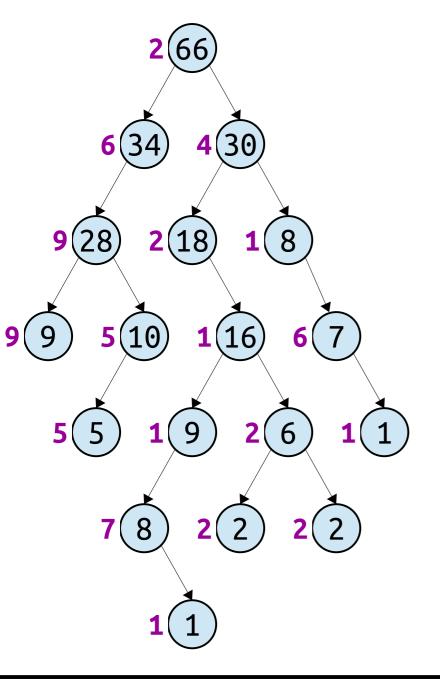




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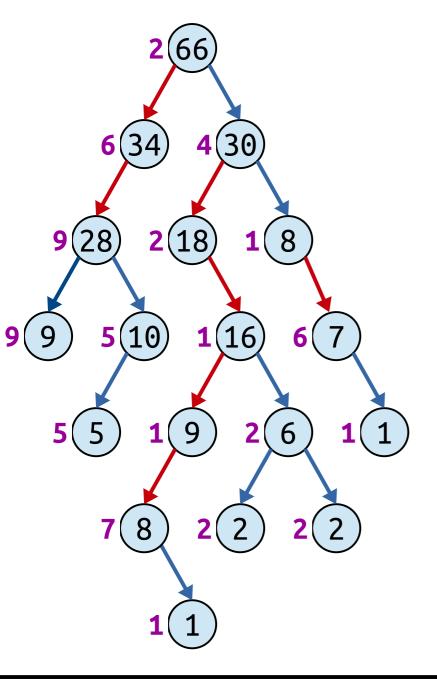


Let  $s(x_i)$  be the sum of the weights in the tree rooted at  $x_i$ .

Mark each edge as blue or red:

 $\longrightarrow$  lg  $s(child) \le lg \ s(parent) - 1$ 

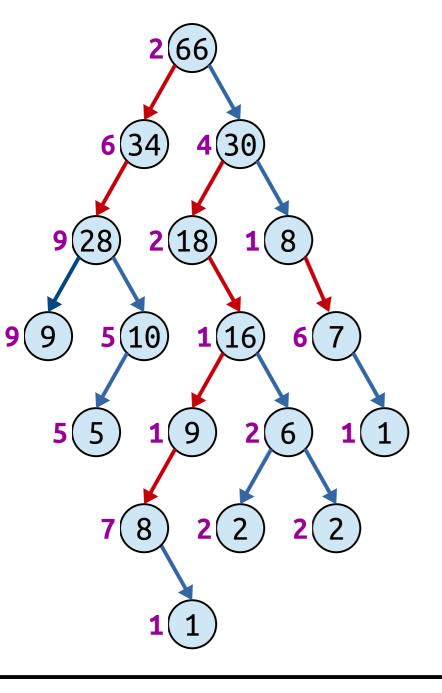
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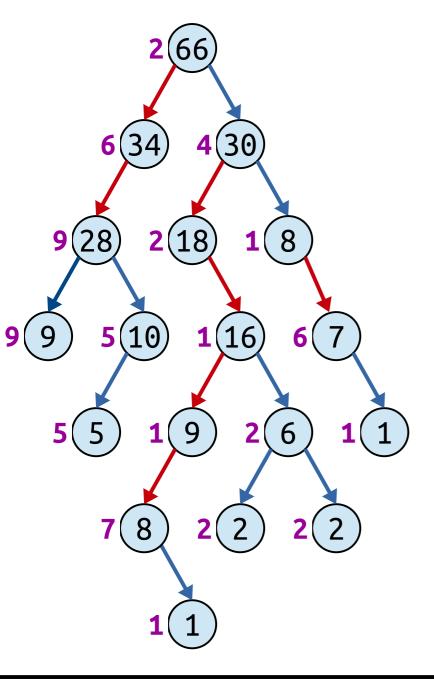
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Cost of visiting a node:

O(#blue-used + #red-used)



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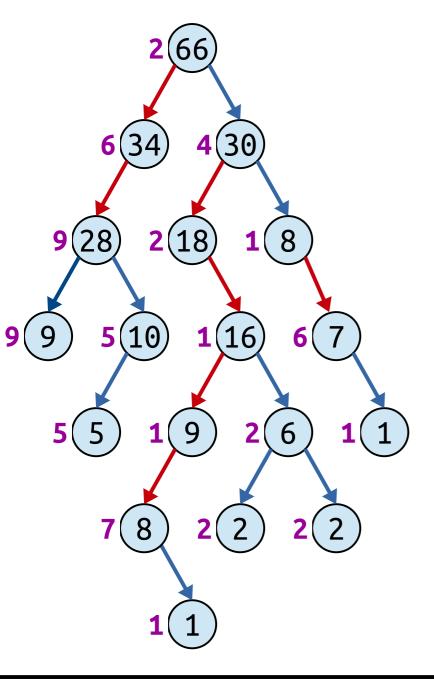
Mark each edge as blue or red:

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How do we bound **#blue-used**?



Let  $s(x_i)$  be the sum of the weights in the tree rooted at  $x_i$ .

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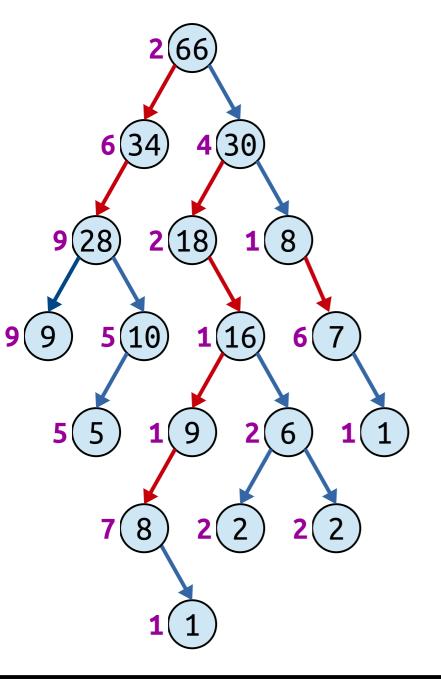
→  $\lg s(child) \le \lg s(parent) - 1$ 

 $\rightarrow$  lg s(child) > lg s(parent) - 1

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How do we bound **#blue-used**? <a href="https://pollev.com/cs166spr23">https://pollev.com/cs166spr23</a>



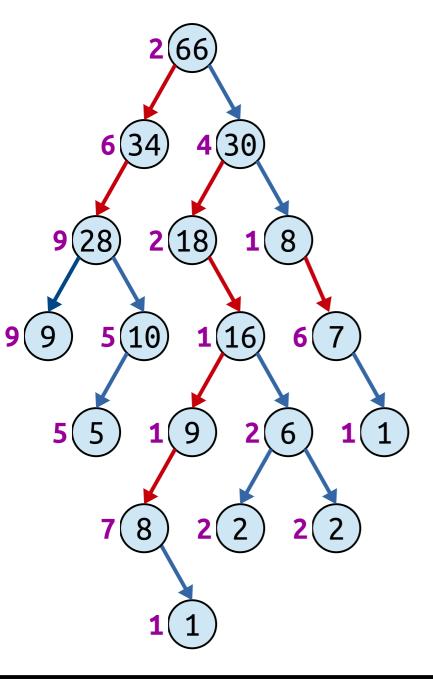
Let  $s(x_i)$  be the sum of the weights in the tree rooted at  $x_i$ .

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Cost of visiting a node:

 $O(\log (W / w_i) + \#red-used)$ 



Let  $s(x_i)$  be the sum of the weights in the tree rooted at  $x_i$ .

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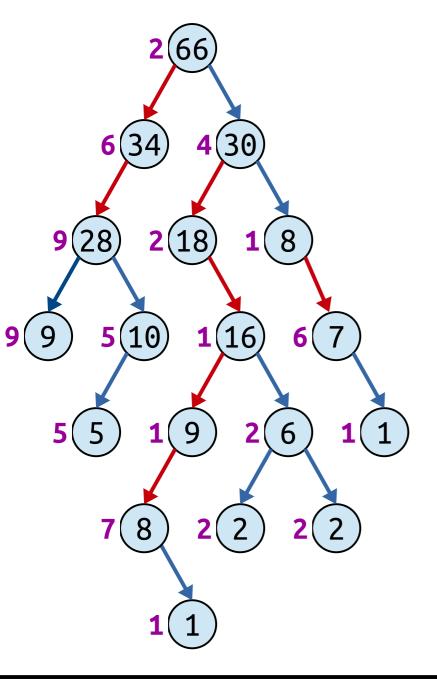
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Cost of visiting a node:

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Set 
$$\Phi = \sum_{i=1}^{n} \lg s(x_i)$$
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**Theorem:** The amortized cost of a splay is  $O(1 + \log (W / w_i))$ .

Set 
$$\Phi = \sum_{i=1}^{n} \lg s(x_i)$$
.

# The Access Lemma

- Assign weights  $w_1$ , ...,  $w_n$  to the nodes in the tree.
  - These weights are purely for accounting purposes and don't actually appear anywhere on the tree.
- Let  $W = w_1 + ... + w_n$ .
- Lemma: The amortized cost of splaying at a node  $x_i$  is

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- Lemma: The amortized cost of splaying at a node  $x_i$  is

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The total weight across all nodes should be small to keep this term small.

The weight of frequent items should be high to make this term low.

<b>Property</b>	Description
Balance	Lookups take time O(log <i>n</i> ).
Entropy	Lookups take expected time $O(1 + H)$ .
Dynamic Finger	Lookups take O( $\log \Delta$ ). $\Delta$ measures distance.
Working Set	Lookups take O(log t), t measures recency.

**Balance Property:** The cost of any lookup in the binary search tree is O(log *n*), where *n* is the number of nodes.

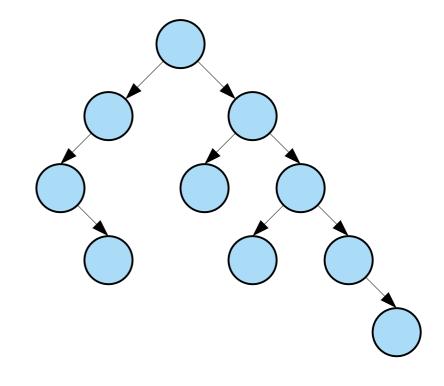
Assign each node weight  $\frac{1}{n}$ .

$$W = 1$$
$$w_i = \frac{1}{n}$$

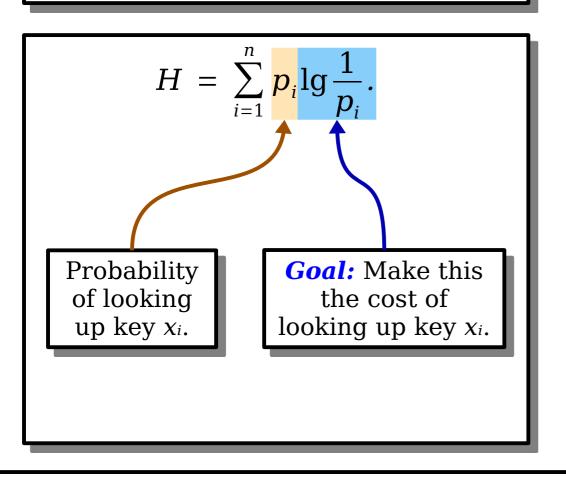
Amortized cost of a lookup:

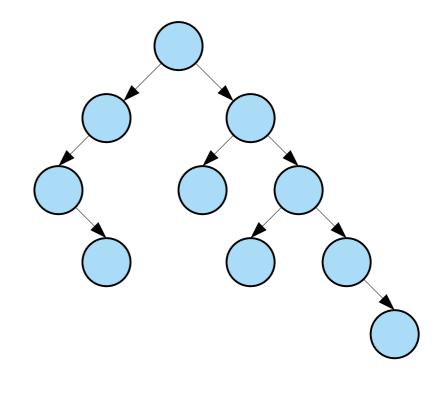
$$O(1 + \log W + \log (1/w_i))$$

- $= O(1 + \log 1 + \log n)$
- $= O(\log n).$



Entropy Property: Expected cost of a lookup is O(1 + H), assuming lookups are drawn from a fixed distribution.





**Entropy Property:** Expected cost of a lookup is O(1 + H), assuming lookups are drawn from a fixed distribution.

$$H = \sum_{i=1}^n p_i \lg \frac{1}{p_i}.$$

Pick  $w_i = p_i$ .

$$W = 1$$
.

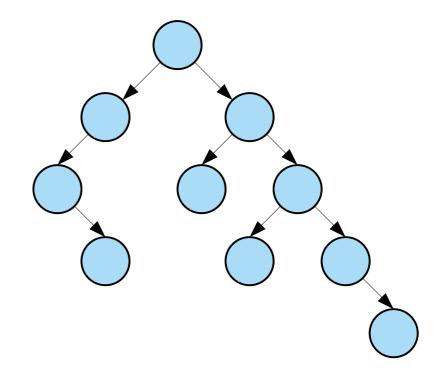
Cost of looking up key  $x_i$ :

$$O(1 + \log W + \log (1/w_i))$$

$$= O(1 + \log 1 + \log (1/p_i))$$

$$= O(1 + \log (1/p_i))$$

So expected cost is O(1 + H).

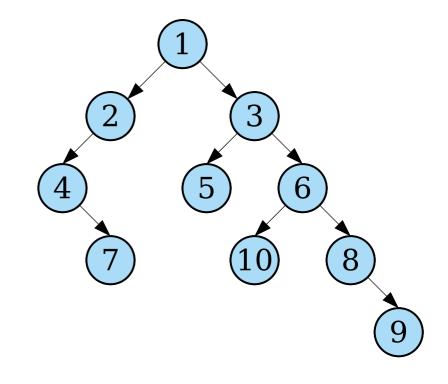


Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.

It doesn't immediately seem like we can use the theorem below, since the value of *t* depends on what accesses have been done recently.

For now, let's set that aside and focus on one snapshot in time.

Each key  $x_i$  is annotated with its value of  $t_i$ . How do we pick weights?



Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.

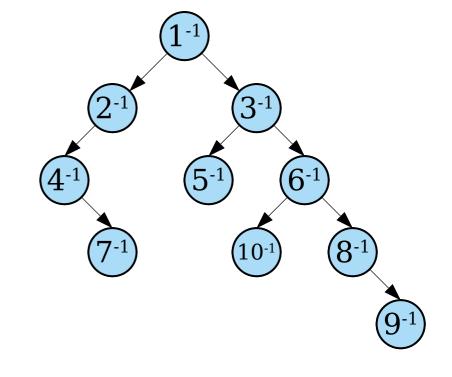
Reasoning by analogy:

**Balance:** Target is  $O(\log n)$ . Picked  $w_i = 1/n$ .

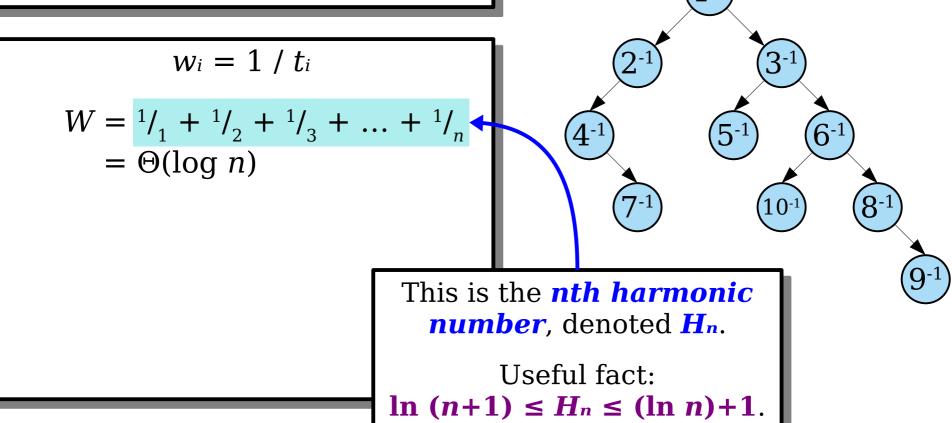
**Entropy:** Target is  $O(\log (1/p_i))$ . Picked  $w_i = p_i$ .

Working Set: Target is  $O(\log t_i)$ . Pick  $w_i = 1 / t_i$ .

**Question:** Does this work?



Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.



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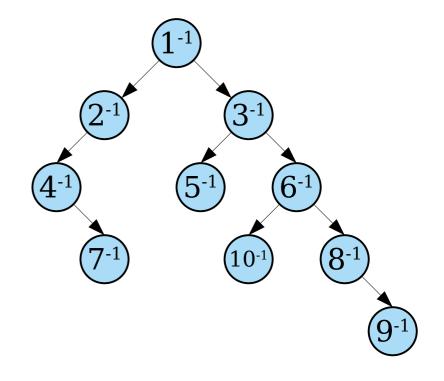
$$w_i = 1 / t_i$$

$$W = \frac{1}{1} + \frac{1}{2} + \frac{1}{3} + \dots + \frac{1}{n}$$
  
=  $\Theta(\log n)$ 

$$O(1 + \log W + \log (1/w_i))$$

$$= O(\log t_i + \log \log n).$$

Close! can we do better?



Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.

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Close! can we do better?

The sum of the weights is too large for *W* to work out the way we want.

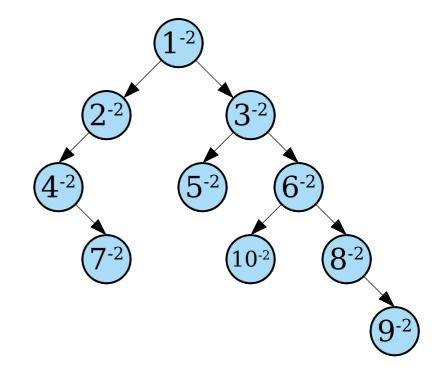
Can we can pick weights so that W = O(1) and  $\log (1 / w_i) = O(\log t_i)$ ?

9-1

Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.

$$w_{i} = 1 / t_{i}^{2}$$

$$W = \frac{1}{1^{2}} + \frac{1}{2^{2}} + \frac{1}{3^{2}} + \dots + \frac{1}{n^{2}}$$



Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.

$$W = \frac{1}{t_{1^{2}}} + \frac{1}{t_{2^{2}}} + \frac{1}{t_{3^{2}}} + \dots + \frac{1}{t_{n^{2}}}$$

$$= O(1)$$

$$Useful fact:$$

$$\sum_{i=1}^{\infty} \frac{1}{i^{2}} = \frac{\pi^{2}}{6}$$

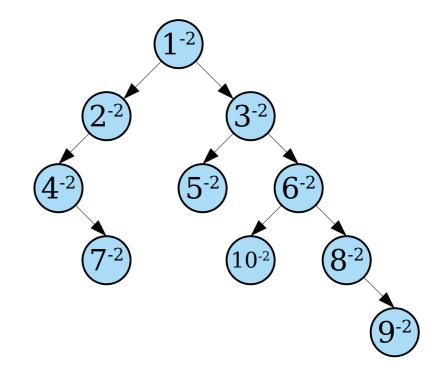
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$$O(1 + \log W + \log (1/w_i))$$
  
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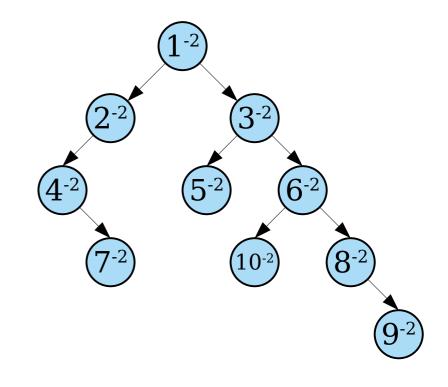
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If we pick a fixed snapshot in time and assign each key weight  $1/t_i^2$ , then the amortized cost of a lookup, at that snapshot, is  $O(\log t_i)$ .

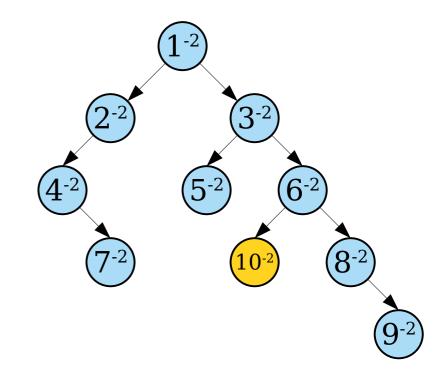
But after doing this, all the  $t_i$  values change. What happens as a result?



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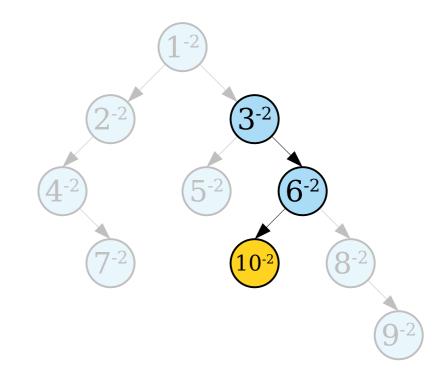
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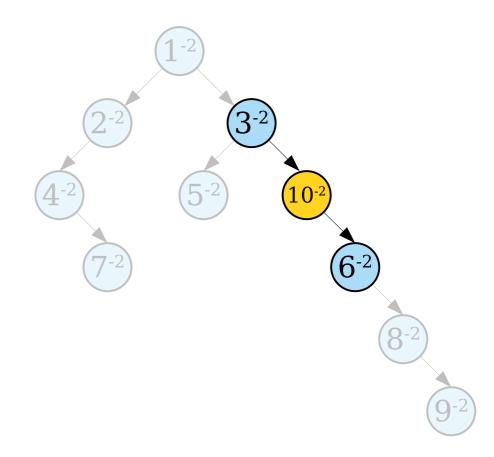
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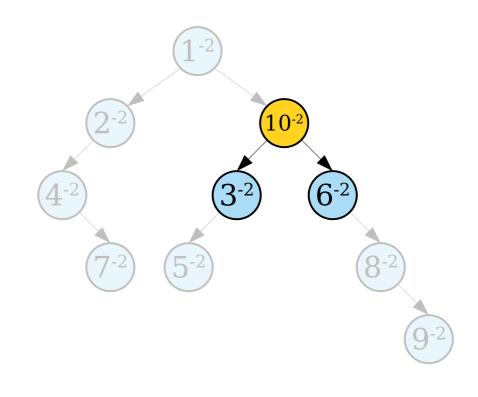
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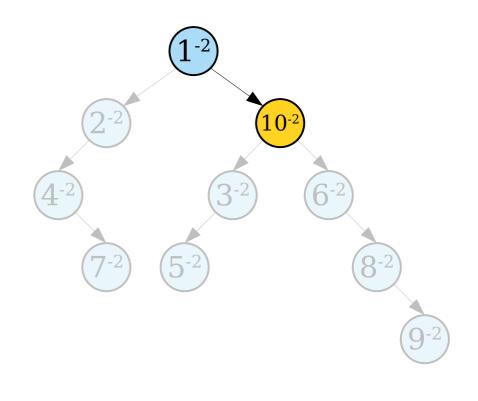
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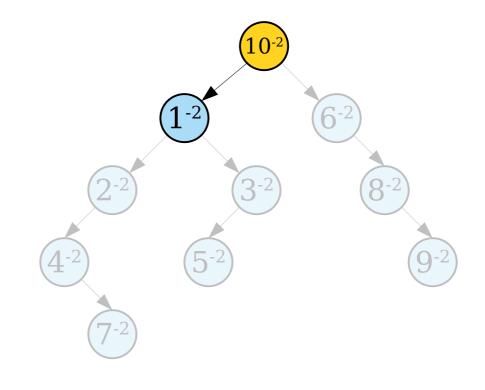
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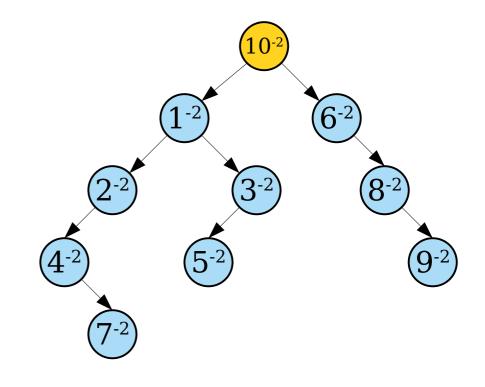
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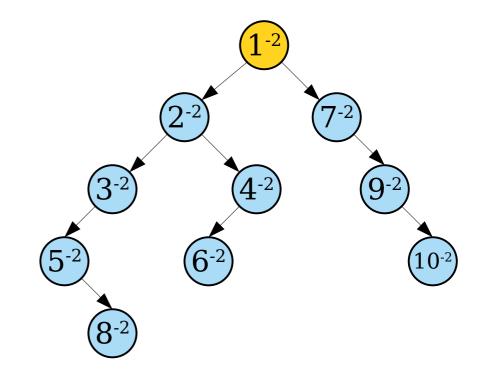
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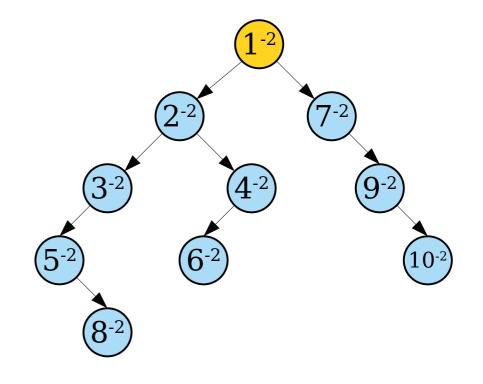


Lookups take time O(log t), where t is the number of keys queried since the last time element was queried.

**Recall:** Each node's *size* is the weight of its subtree.

$$\Phi = \sum_{i=1}^n \lg s(x_i).$$

Changing weights this way can't increase  $s(x_i)$  for any node, so  $\Phi$  can't increase after the splay.

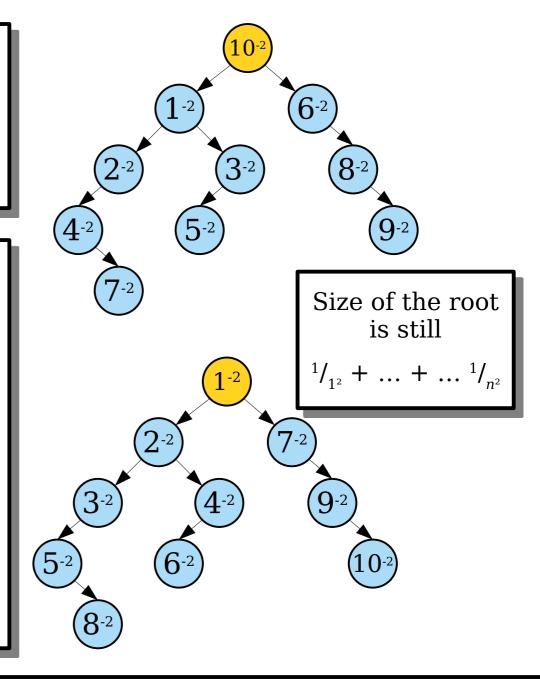


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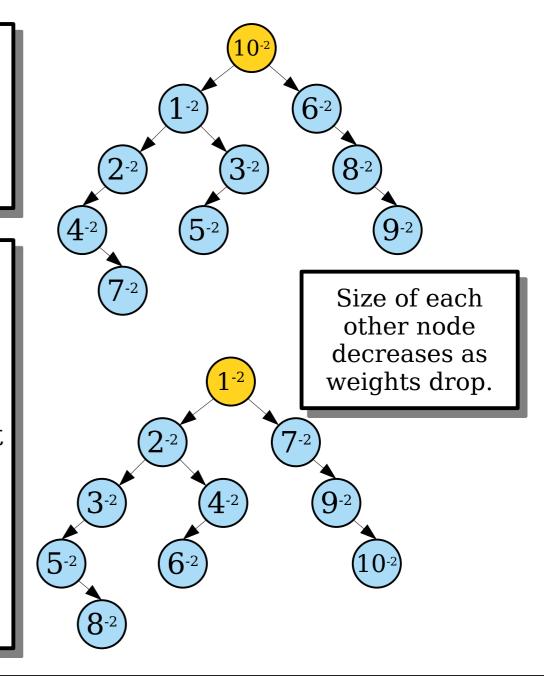


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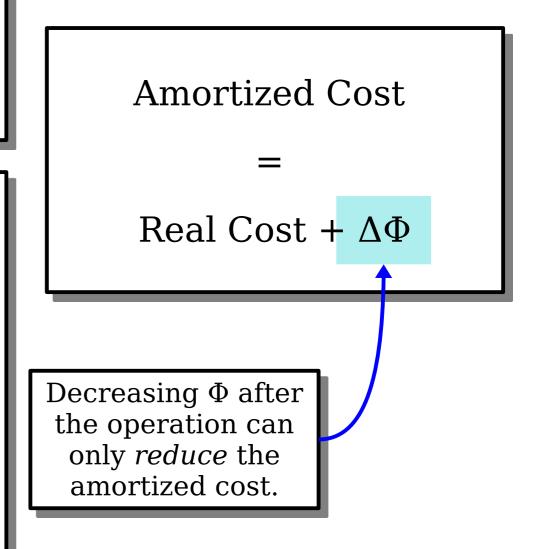
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So the amortized cost of each operation is still  $O(\log t_i)$ , even in the dynamic case!

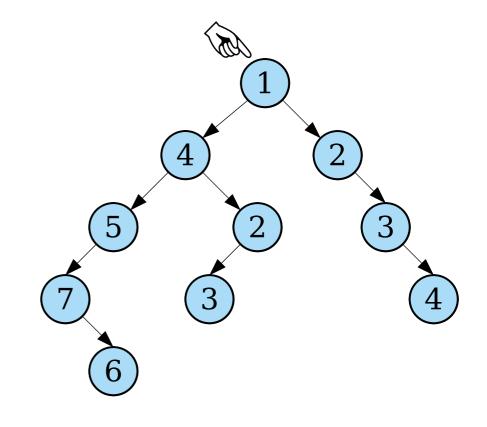


Lookups take time  $O(\log \Delta)$ , where  $\Delta$  is the number of keys between the last key queried and the current key queried.

It doesn't immediately seem like we can use the theorem below, since the value of  $\Delta$  depends on what accesses have been done recently.

For now, let's set that aside and focus on one snapshot in time.

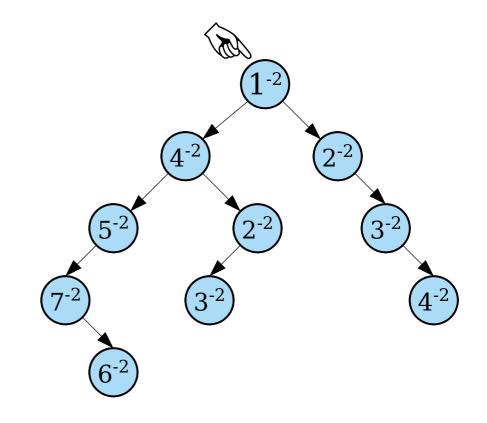
Each key  $x_i$  is annotated with its value  $\Delta_i$ , the rank difference to the last element. How do we pick weights?



Lookups take time  $O(\log \Delta)$ , where  $\Delta$  is the number of keys between the last key queried and the current key queried.

Pick 
$$w_i = 1 / \Delta_{i^2}$$

$$W \le \frac{2}{1^2} + \frac{2}{2^2} + \frac{2}{3^2} + \dots + \frac{2}{n^2}$$



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$$W \le \frac{2}{1^2} + \frac{2}{2^2} + \frac{2}{3^2} + \dots + \frac{2}{n^2}$$

$$= O(1)$$
There are at most two keys at distance  $k$  from the finger, one in each direction.

Lookups take time  $O(\log \Delta)$ , where  $\Delta$  is the number of keys between the last key queried and the current key queried.

#### Pick $w_i = 1 / \Delta_{i^2}$

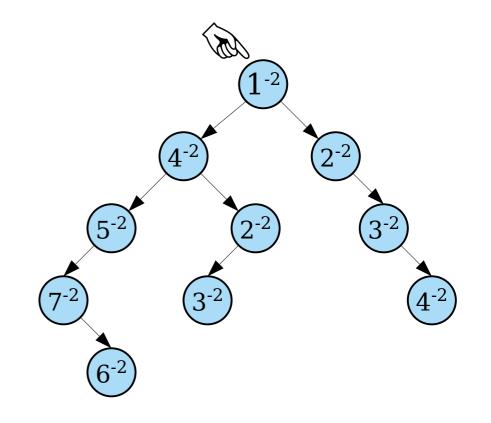
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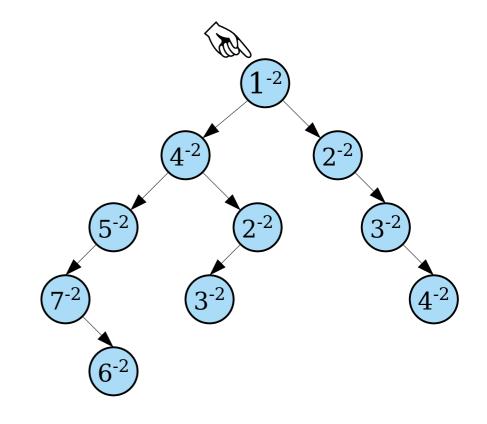
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Lookups take time  $O(\log \Delta)$ , where  $\Delta$  is the number of keys between the last key queried and the current key queried.

If we pick a fixed snapshot in time and assign each key weight  $1/\Delta_i^2$ , then the amortized cost of a lookup, at that snapshot, is  $O(\log \Delta_i)$ .

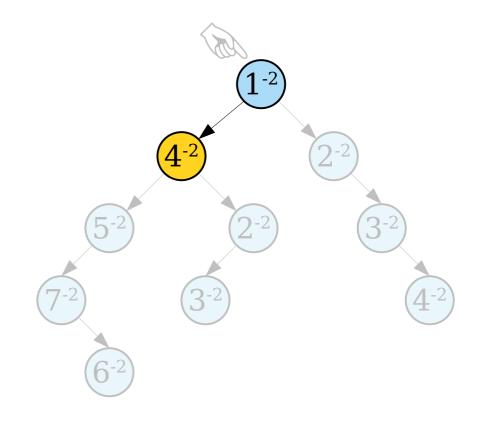
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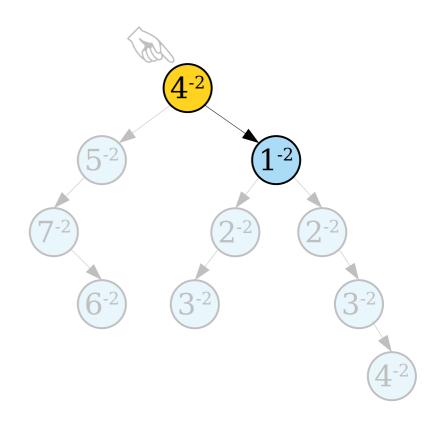
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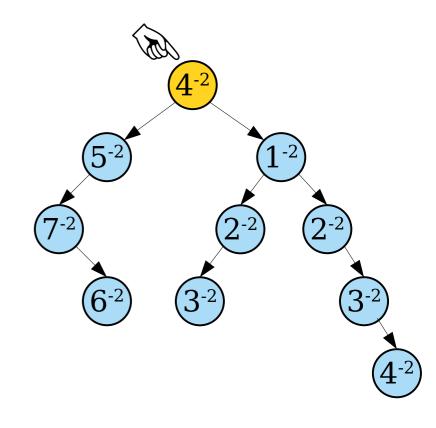
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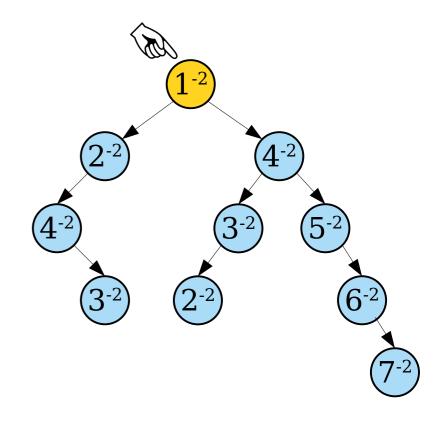
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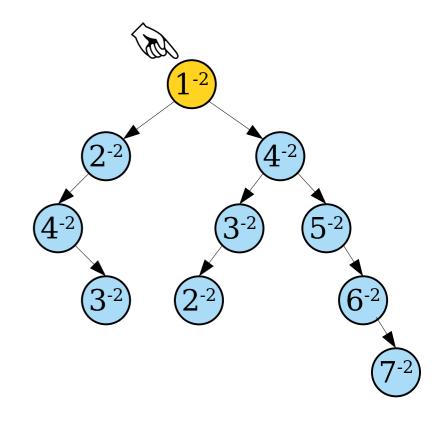
If we pick a fixed snapshot in time and assign each key weight  $1/\Delta_i^2$ , then the amortized cost of a lookup, at that snapshot, is  $O(\log \Delta_i)$ .

But after doing this, all the  $\Delta_i$  values change. What happens as a result?



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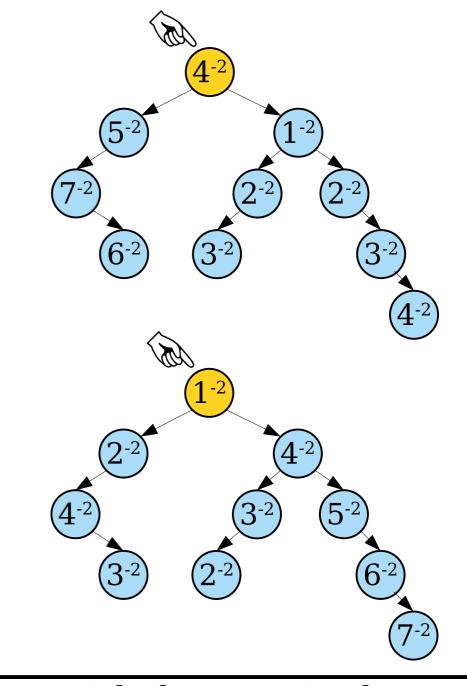
**Problem:** Unlike before, the sizes of subtrees can both grow and shrink after splaying. There isn't a clear way to proceed.



**Dynamic Finger Property:**Leadring takes time Officer A

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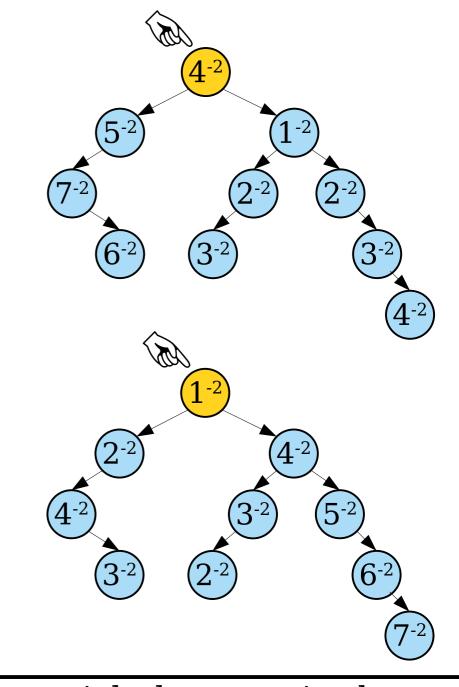
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**Problem:** Unlike before, the sizes of subtrees can both grow and shrink after splaying. There isn't a clear way to proceed.

However, we did just prove the **static finger property**: if you fix some key in advance and let  $\delta_i$  be the number of keys between  $x_i$  and that key, then lookups take time  $O(\log \delta_i)$ .



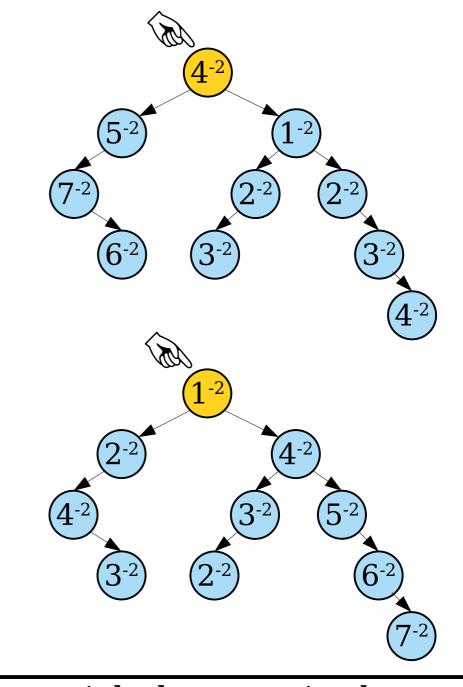
Dynamic Finger Property: Lookups take time  $O(\log \Delta)$ , where  $\Delta$  is the number of keys between the last key queried

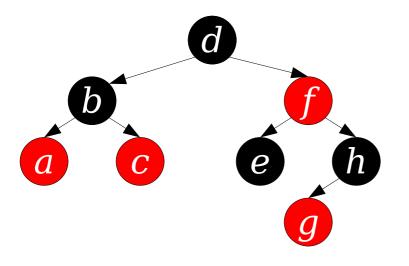
**Theorem:** Splay trees have the dynamic finger property.

and the current key queried.

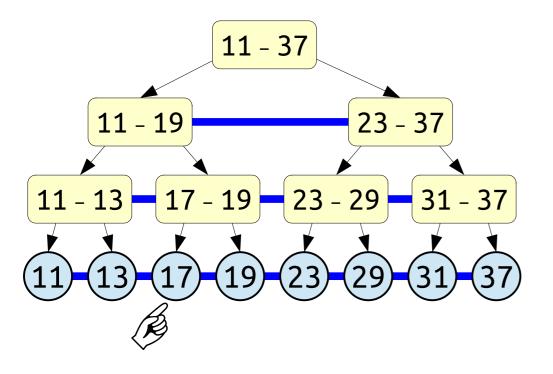
**Proof:** 85 pages of analysis. See Cole et al, "On the Dynamic Finger Conjecture for Splay Trees."

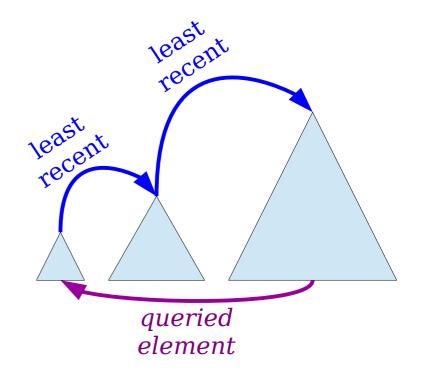
*Open Problem:* Find a simpler proof that splay trees have the dynamic finger property.





Is all the creativity that goes into each of these structures captured by a single, simple binary search tree?





Just how fast *are* splay trees?

Pick any (long) sequence of operations. Pick any BST T, including one that, like a splay tree, is allowed to reshape itself.

Dynamic Optimality Conjecture:
Cost of performing those operations on a splay tree

 $\leq$ 

 $O(1) \cdot Cost$  of performing those operations on T

Stated differently: no matter how clever you are with your BST design, you will never be able to beat a splay tree by more than a constant factor.

This is an open problem! And it's a big one!

Just how fast *are* splay trees?

- So... if splay trees are so great, why aren't we using them everywhere instead of other tree structures?
  - 1. Amortized versus worst-case bounds are not always acceptable in practice.
  - 2. Poor support for concurrency, especially in lookup-heavy loads.
  - 3. Slightly higher constant factors than some other trees, due to the number of memory writes per operation.

Many of drawbacks can be mitigated in practice, and we do see splay trees used fairly extensively in practice alongside red/black and B-trees.

**Excellent Idea:** Code up splay trees and measure their performance!

Just how fast *are* splay trees?

- Worst-case efficiency (the balance property) isn't the only metric we can use to measure BST performance.
- Specialized data structures like weight-balanced trees, levellinked finger search trees, and Iacono's structure can be designed to meet these bounds.
- For a BST to have all these properties at once, it needs to be able to move nodes around.
- Rotate-to-root is a plausible but inefficient mechanism for reordering nodes.
- Splaying corrects for rotate-toroot by handling linear chains more intelligently.

- Splaying provides simple implementations of all common BST operations.
- By using a heavy/light decomposition, we can isolate the effects of poor tree shapes.
- Using a sum-of-logs potential allows us to amortize away heavy edges.
- Splay trees have the balance property, entropy property, dynamic finger property, and working set property.
- It's an open problem in data structure theory whether it's possible to improve upon splay trees in an amortized sense.

#### To Summarize...

# Next Time

## • Dynamic Connectivity

• Answering questions about graphs as those graphs change.

## • Disjoint-Set Forests

Solving a special case of dynamic connectivity.

## • The Ackermann Inverse Function

 A shockingly slowly-growing function with a more fearsome reputation than it deserves.