

## Indexing Structures for Files

In this chapter we assume that a file already exists with some primary organization such as the unordered, ordered, or hashed organizations that were described in Chapter 17. We will describe additional auxiliary access structures called **indexes**, which are used to speed up the retrieval of records in response to certain search conditions. The index structures are additional files on disk that provide **secondary access paths**, which provide alternative ways to access the records without affecting the physical placement of records in the primary data file on disk. They enable efficient access to records based on the **indexing fields** that are used to construct the index. Basically, any field of the file can be used to create an index, and multiple indexes on different fields—as well as indexes on multiple fields—can be constructed on the same file. A variety of indexes are possible; each of them uses a particular data structure to speed up the search. To find a record or records in the data file based on a search condition on an indexing field, the index is searched, which leads to pointers to one or more disk blocks in the data file where the required records are located. The most prevalent types of indexes are based on ordered files (single-level indexes) and tree data structures (multilevel indexes, B<sup>+</sup>-trees). Indexes can also be constructed based on hashing or other search data structures. We also discuss indexes that are vectors of bits called *bitmap indexes*.

We describe different types of single-level ordered indexes—primary, secondary, and clustering—in Section 18.1. By viewing a single-level index as an ordered file, one can develop additional indexes for it, giving rise to the concept of multilevel indexes. A popular indexing scheme called **ISAM (Indexed Sequential Access Method)** is based on this idea. We discuss multilevel tree-structured indexes in Section 18.2. In Section 18.3 we describe B-trees and B<sup>+</sup>-trees, which are data structures that are commonly used in DBMSs to implement dynamically changing multilevel indexes. B<sup>+</sup>-trees have become a commonly accepted default structure for

generating indexes on demand in most relational DBMSs. Section 18.4 is devoted to alternative ways to access data based on a combination of multiple keys. In Section 18.5 we discuss hash indexes and introduce the concept of logical indexes, which give an additional level of indirection from physical indexes, allowing for the physical index to be flexible and extensible in its organization. In Section 18.6 we discuss multikey indexing and bitmap indexes used for searching on one or more keys. Section 18.7 summarizes the chapter.

## 18.1 Types of Single-Level Ordered Indexes

The idea behind an ordered index is similar to that behind the index used in a textbook, which lists important terms at the end of the book in alphabetical order along with a list of page numbers where the term appears in the book. We can search the book index for a certain term in the textbook to find a list of *addresses*—page numbers in this case—and use these addresses to locate the specified pages first and then *search* for the term on each specified page. The alternative, if no other guidance is given, would be to sift slowly through the whole textbook word by word to find the term we are interested in; this corresponds to doing a *linear search*, which scans the whole file. Of course, most books do have additional information, such as chapter and section titles, which help us find a term without having to search through the whole book. However, the index is the only exact indication of the pages where each term occurs in the book.

For a file with a given record structure consisting of several fields (or attributes), an index access structure is usually defined on a single field of a file, called an **indexing field** (or **indexing attribute**).<sup>1</sup> The index typically stores each value of the index field along with a list of pointers to all disk blocks that contain records with that field value. The values in the index are *ordered* so that we can do a *binary search* on the index. If both the data file and the index file are ordered, and since the index file is typically much smaller than the data file, searching the index using a binary search is a better option. Tree-structured multilevel indexes (see Section 18.2) implement an extension of the binary search idea that reduces the search space by 2-way partitioning at each search step, thereby creating a more efficient approach that divides the search space in the file  $n$ -ways at each stage.

There are several types of ordered indexes. A **primary index** is specified on the *ordering key field* of an **ordered file** of records. Recall from Section 17.7 that an ordering key field is used to *physically order* the file records on disk, and every record has a *unique value* for that field. If the ordering field is not a key field—that is, if numerous records in the file can have the same value for the ordering field—another type of index, called a **clustering index**, can be used. The data file is called a **clustered file** in this latter case. Notice that a file can have at most one physical ordering field, so it can have at most one primary index or one clustering index, but not both. A third type of index, called a **secondary index**, can be specified on any

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<sup>1</sup>We use the terms *field* and *attribute* interchangeably in this chapter.

*nonordering* field of a file. A data file can have several secondary indexes in addition to its primary access method. We discuss these types of single-level indexes in the next three subsections.

### 18.1.1 Primary Indexes

A **primary index** is an ordered file whose records are of fixed length with two fields, and it acts like an access structure to efficiently search for and access the data records in a data file. The first field is of the same data type as the ordering key field—called the **primary key**—of the data file, and the second field is a pointer to a disk block (a block address). There is one **index entry** (or **index record**) in the index file for each *block* in the data file. Each index entry has the value of the primary key field for the *first* record in a block and a pointer to that block as its two field values. We will refer to the two field values of index entry  $i$  as  $\langle K(i), P(i) \rangle$ .

To create a primary index on the ordered file shown in Figure 17.7, we use the **Name** field as primary key, because that is the ordering key field of the file (assuming that each value of Name is unique). Each entry in the index has a Name value and a pointer. The first three index entries are as follows:

$\langle K(1) = (\text{Aaron}, \text{Ed}), P(1) = \text{address of block 1} \rangle$   
 $\langle K(2) = (\text{Adams}, \text{John}), P(2) = \text{address of block 2} \rangle$   
 $\langle K(3) = (\text{Alexander}, \text{Ed}), P(3) = \text{address of block 3} \rangle$

Figure 18.1 illustrates this primary index. The total number of entries in the index is the same as the *number of disk blocks* in the ordered data file. The first record in each block of the data file is called the **anchor record** of the block, or simply the **block anchor**.<sup>2</sup>

Indexes can also be characterized as dense or sparse. A **dense index** has an index entry for *every search key value* (and hence every record) in the data file. A **sparse** (or **nondense**) **index**, on the other hand, has index entries for only some of the search values. A sparse index has fewer entries than the number of records in the file. Thus, a primary index is a nondense (sparse) index, since it includes an entry for each disk block of the data file and the keys of its anchor record rather than for every search value (or every record).

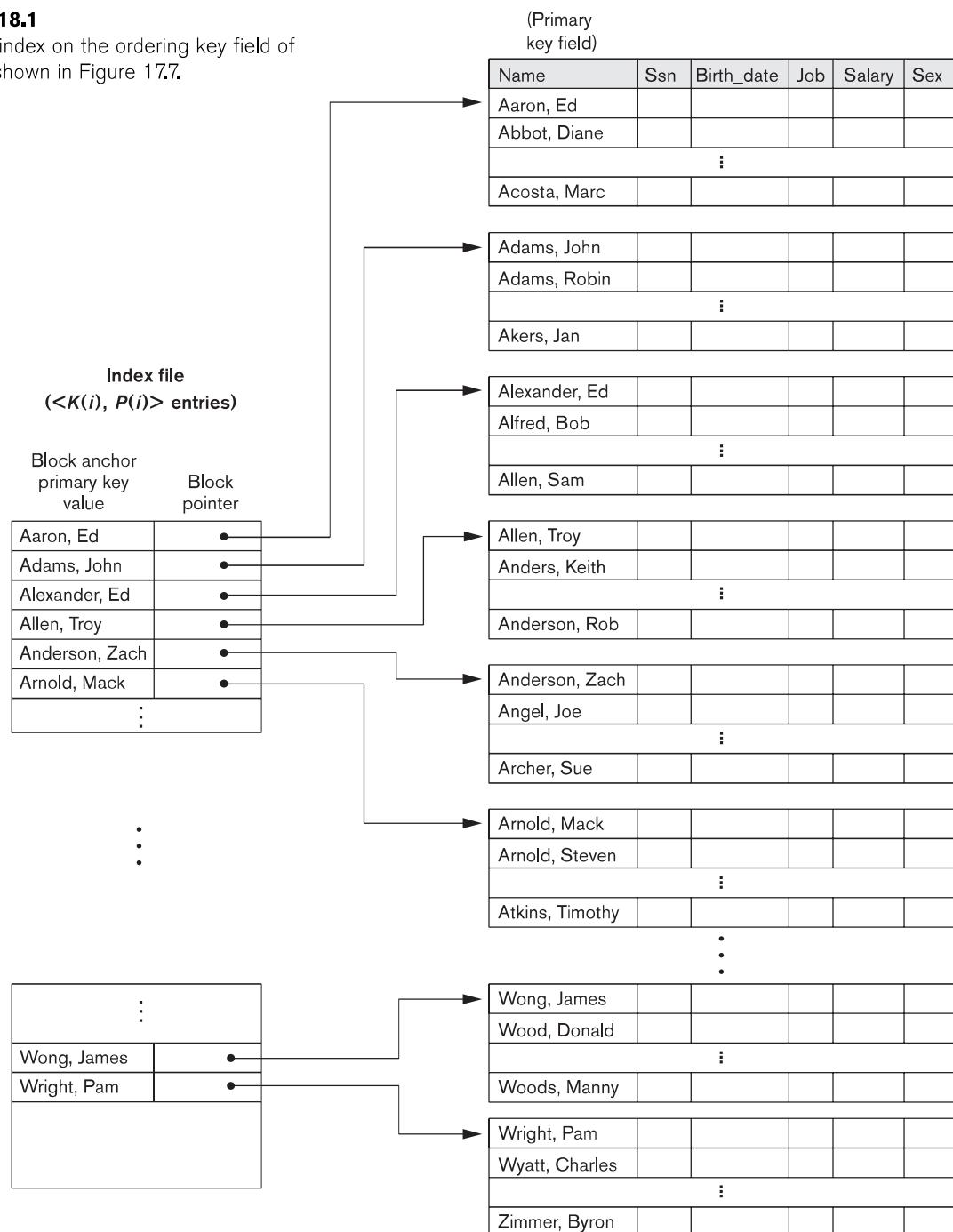
The index file for a primary index occupies a much smaller space than does the data file, for two reasons. First, there are *fewer index entries* than there are records in the data file. Second, each index entry is typically *smaller in size* than a data record because it has only two fields; consequently, more index entries than data records can fit in one block. Therefore, a binary search on the index file requires fewer block accesses than a binary search on the data file. Referring to Table 17.2, note that the binary search for an ordered data file required  $\log_2 b$  block accesses. But if the primary index file contains only  $b_i$  blocks, then to locate a record with a search key

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<sup>2</sup>We can use a scheme similar to the one described here, with the last record in each block (rather than the first) as the block anchor. This slightly improves the efficiency of the search algorithm.

**Figure 18.1**

Primary index on the ordering key field of the file shown in Figure 17.7.



value requires a binary search of that index and access to the block containing that record: a total of  $\log_2 b_i + 1$  accesses.

A record whose primary key value is  $K$  lies in the block whose address is  $P(i)$ , where  $K(i) \leq K < K(i+1)$ . The  $i$ th block in the data file contains all such records because of the physical ordering of the file records on the primary key field. To retrieve a record, given the value  $K$  of its primary key field, we do a binary search on the index file to find the appropriate index entry  $i$ , and then retrieve the data file block whose address is  $P(i)$ .<sup>3</sup> Example 1 illustrates the saving in block accesses that is attainable when a primary index is used to search for a record.

**Example 1.** Suppose that we have an ordered file with  $r = 30,000$  records stored on a disk with block size  $B = 1024$  bytes. File records are of fixed size and are unspanned, with record length  $R = 100$  bytes. The blocking factor for the file would be  $bfr = \lfloor (B/R) \rfloor = \lfloor (1024/100) \rfloor = 10$  records per block. The number of blocks needed for the file is  $b = \lceil (r/bfr) \rceil = \lceil (30000/10) \rceil = 3000$  blocks. A binary search on the data file would need approximately  $\lceil \log_2 b \rceil = \lceil (\log_2 3000) \rceil = 12$  block accesses.

Now suppose that the ordering key field of the file is  $V = 9$  bytes long, a block pointer is  $P = 6$  bytes long, and we have constructed a primary index for the file. The size of each index entry is  $R_i = (9 + 6) = 15$  bytes, so the blocking factor for the index is  $bfr_i = \lfloor (B/R_i) \rfloor = \lfloor (1024/15) \rfloor = 68$  entries per block. The total number of index entries  $r_i$  is equal to the number of blocks in the data file, which is 3000. The number of index blocks is hence  $b_i = \lceil (r_i/bfr_i) \rceil = \lceil (3000/68) \rceil = 45$  blocks. To perform a binary search on the index file would need  $\lceil (\log_2 b_i) \rceil = \lceil (\log_2 45) \rceil = 6$  block accesses. To search for a record using the index, we need one additional block access to the data file for a total of  $6 + 1 = 7$  block accesses—an improvement over binary search on the data file, which required 12 disk block accesses.

A major problem with a primary index—as with any ordered file—is insertion and deletion of records. With a primary index, the problem is compounded because if we attempt to insert a record in its correct position in the data file, we must not only move records to make space for the new record but also change some index entries, since moving records will change the *anchor records* of some blocks. Using an unordered overflow file, as discussed in Section 17.7, can reduce this problem. Another possibility is to use a linked list of overflow records for each block in the data file. This is similar to the method of dealing with overflow records described with hashing in Section 17.8.2. Records within each block and its overflow linked list can be sorted to improve retrieval time. Record deletion is handled using deletion markers.

### 18.1.2 Clustering Indexes

If file records are physically ordered on a nonkey field—which *does not* have a distinct value for each record—that field is called the **clustering field** and the data file

<sup>3</sup>Notice that the above formula would not be correct if the data file were ordered on a *nonkey field*; in that case the same index value in the block anchor could be repeated in the last records of the previous block.

is called a **clustered file**. We can create a different type of index, called a **clustering index**, to speed up retrieval of all the records that have the same value for the clustering field. This differs from a primary index, which requires that the ordering field of the data file have a *distinct value* for each record.

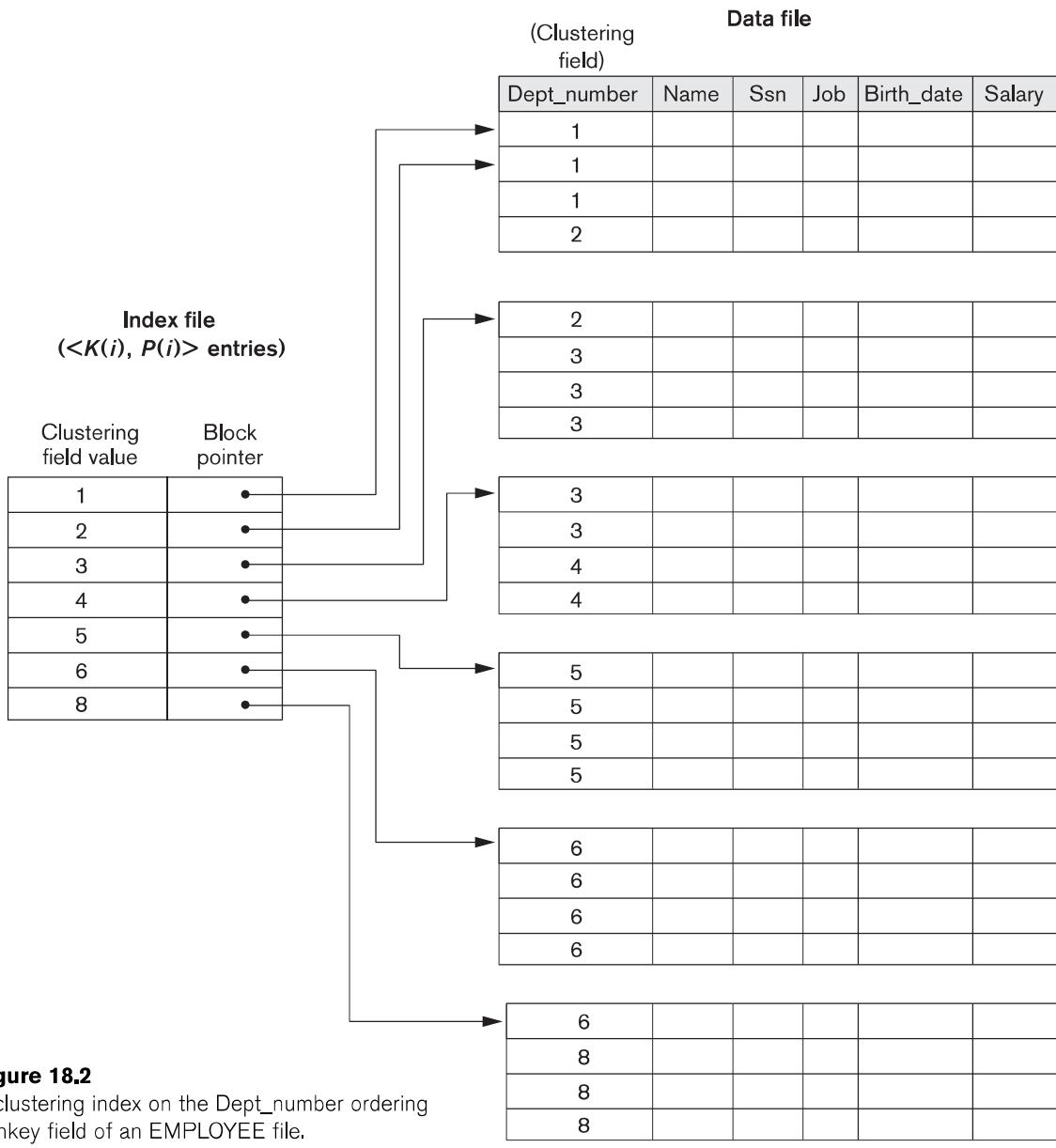
A clustering index is also an ordered file with two fields; the first field is of the same type as the clustering field of the data file, and the second field is a disk block pointer. There is one entry in the clustering index for each *distinct value* of the clustering field, and it contains the value and a pointer to the *first block* in the data file that has a record with that value for its clustering field. Figure 18.2 shows an example. Notice that record insertion and deletion still cause problems because the data records are physically ordered. To alleviate the problem of insertion, it is common to reserve a whole block (or a cluster of contiguous blocks) for *each value* of the clustering field; all records with that value are placed in the block (or block cluster). This makes insertion and deletion relatively straightforward. Figure 18.3 shows this scheme.

A clustering index is another example of a *nondense* index because it has an entry for every *distinct value* of the indexing field, which is a nonkey by definition and hence has duplicate values rather than a unique value for every record in the file. There is some similarity between Figures 18.1, 18.2, and 18.3 and Figures 17.11 and 17.12. An index is somewhat similar to dynamic hashing (described in Section 17.8.3) and to the directory structures used for extendible hashing. Both are searched to find a pointer to the data block containing the desired record. A main difference is that an index search uses the values of the search field itself, whereas a hash directory search uses the binary hash value that is calculated by applying the hash function to the search field.

### 18.1.3 Secondary Indexes

A **secondary index** provides a secondary means of accessing a data file for which some primary access already exists. The data file records could be ordered, unordered, or hashed. The secondary index may be created on a field that is a candidate key and has a unique value in every record, or on a nonkey field with duplicate values. The index is again an ordered file with two fields. The first field is of the same data type as some *nonordering field* of the data file that is an **indexing field**. The second field is either a *block* pointer or a *record* pointer. Many secondary indexes (and hence, indexing fields) can be created for the same file—each represents an additional means of accessing that file based on some specific field.

First we consider a secondary index access structure on a key (unique) field that has a *distinct value* for every record. Such a field is sometimes called a **secondary key**; in the relational model, this would correspond to any UNIQUE key attribute or to the primary key attribute of a table. In this case there is one index entry for *each record* in the data file, which contains the value of the field for the record and a pointer either to the block in which the record is stored or to the record itself. Hence, such an index is **dense**.

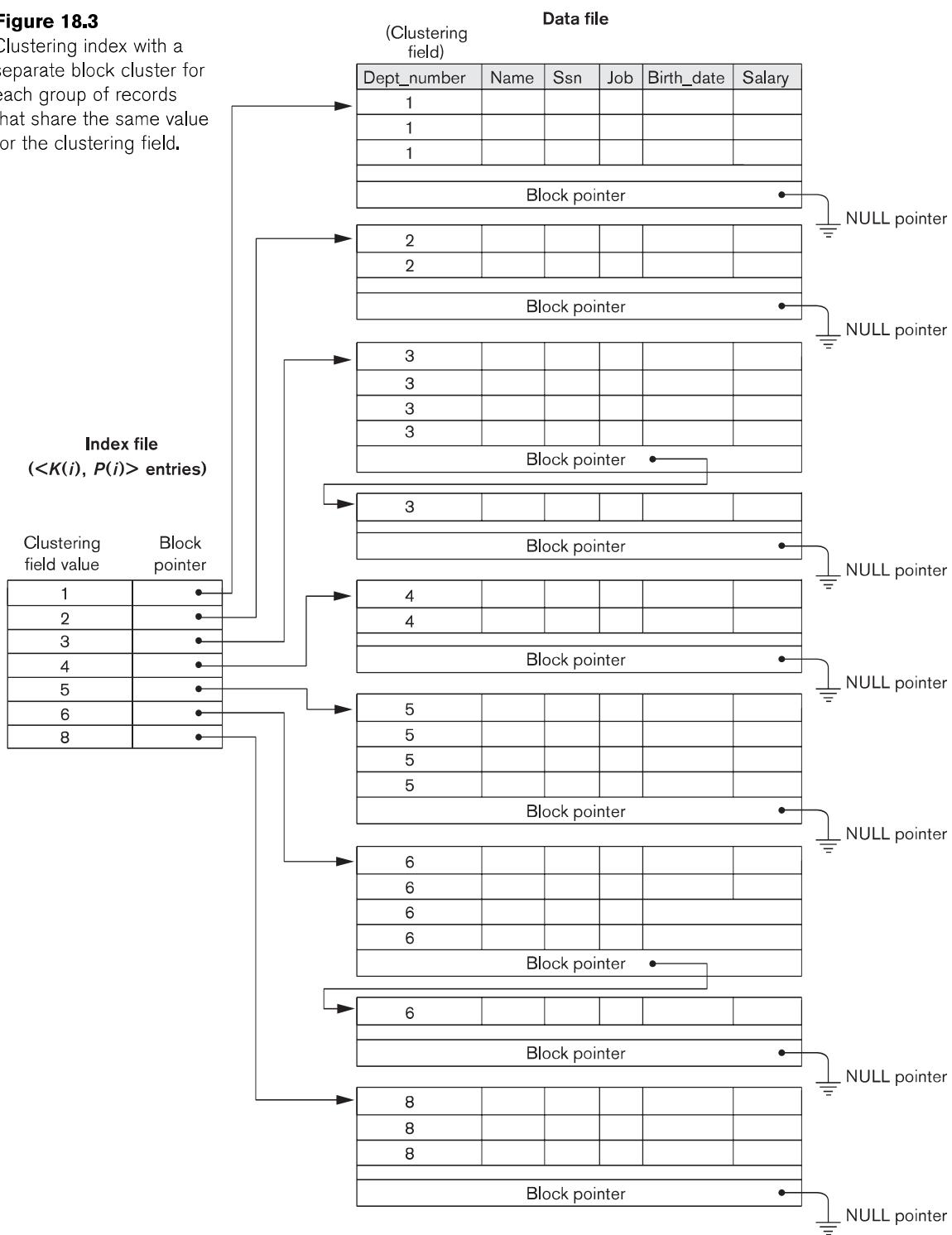
**Figure 18.2**

A clustering index on the Dept\_number ordering nonkey field of an EMPLOYEE file.

Again we refer to the two field values of index entry  $i$  as  $\langle K(i), P(i) \rangle$ . The entries are ordered by value of  $K(i)$ , so we can perform a binary search. Because the records of the data file are not physically ordered by values of the secondary key field, we cannot use block anchors. That is why an index entry is created for each record in the data

**Figure 18.3**

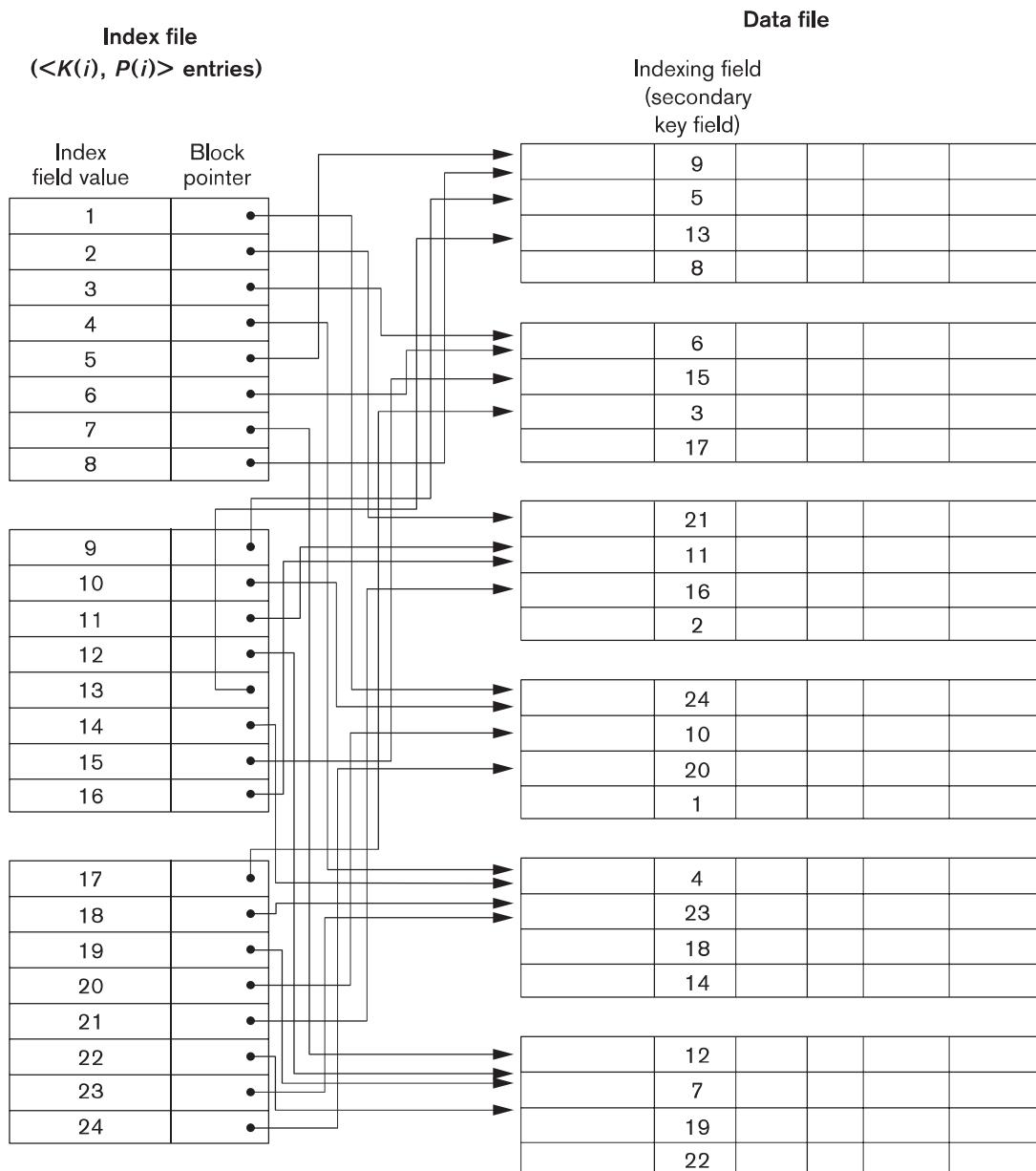
Clustering index with a separate block cluster for each group of records that share the same value for the clustering field.



file, rather than for each block, as in the case of a primary index. Figure 18.4 illustrates a secondary index in which the pointers  $P(i)$  in the index entries are *block pointers*, not record pointers. Once the appropriate disk block is transferred to a main memory buffer, a search for the desired record within the block can be carried out.

**Figure 18.4**

A dense secondary index (with block pointers) on a nonordering key field of a file.



A secondary index usually needs more storage space and longer search time than does a primary index, because of its larger number of entries. However, the improvement in search time for an arbitrary record is much greater for a secondary index than for a primary index, since we would have to do a *linear search* on the data file if the secondary index did not exist. For a primary index, we could still use a binary search on the main file, even if the index did not exist. Example 2 illustrates the improvement in number of blocks accessed.

**Example 2.** Consider the file of Example 1 with  $r = 30,000$  fixed-length records of size  $R = 100$  bytes stored on a disk with block size  $B = 1024$  bytes. The file has  $b = 3000$  blocks, as calculated in Example 1. Suppose we want to search for a record with a specific value for the secondary key—a nonordering key field of the file that is  $V = 9$  bytes long. Without the secondary index, to do a linear search on the file would require  $b/2 = 3000/2 = 1500$  block accesses on the average. Suppose that we construct a secondary index on that *nonordering key* field of the file. As in Example 1, a block pointer is  $P = 6$  bytes long, so each index entry is  $R_i = (9 + 6) = 15$  bytes, and the blocking factor for the index is  $bfr_i = \lfloor (B/R_i) \rfloor = \lfloor (1024/15) \rfloor = 68$  entries per block. In a dense secondary index such as this, the total number of index entries  $r_i$  is equal to the *number of records* in the data file, which is 30,000. The number of blocks needed for the index is hence  $b_i = \lceil (r_i/bfr_i) \rceil = \lceil (3000/68) \rceil = 442$  blocks.

A binary search on this secondary index needs  $\lceil (\log_2 b_i) \rceil = \lceil (\log_2 442) \rceil = 9$  block accesses. To search for a record using the index, we need an additional block access to the data file for a total of  $9 + 1 = 10$  block accesses—a vast improvement over the 1500 block accesses needed on the average for a linear search, but slightly worse than the 7 block accesses required for the primary index. This difference arose because the primary index was nondense and hence shorter, with only 45 blocks in length.

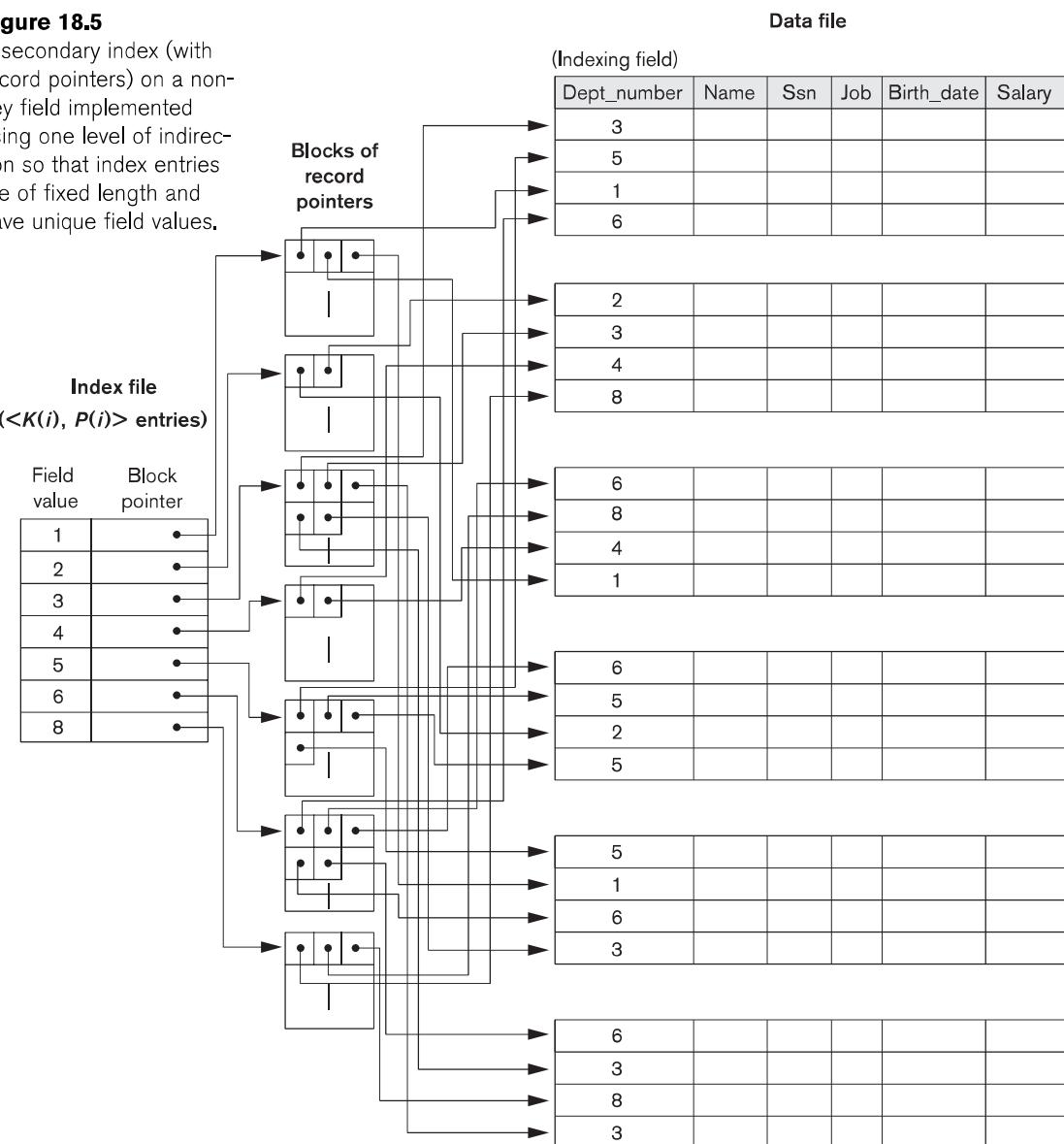
We can also create a secondary index on a *nonkey, nonordering field* of a file. In this case, numerous records in the data file can have the same value for the indexing field. There are several options for implementing such an index:

- Option 1 is to include duplicate index entries with the same  $K(i)$  value—one for each record. This would be a dense index.
- Option 2 is to have variable-length records for the index entries, with a repeating field for the pointer. We keep a list of pointers  $\langle P(i, 1), \dots, P(i, k) \rangle$  in the index entry for  $K(i)$ —one pointer to each block that contains a record whose indexing field value equals  $K(i)$ . In either option 1 or option 2, the binary search algorithm on the index must be modified appropriately to account for a variable number of index entries per index key value.
- Option 3, which is more commonly used, is to keep the index entries themselves at a fixed length and have a single entry for each *index field value*, but to create *an extra level of indirection* to handle the multiple pointers. In this nondense scheme, the pointer  $P(i)$  in index entry  $\langle K(i), P(i) \rangle$  points to a disk block, which contains a *set of record pointers*; each record pointer in that disk block points to one of the data file records with value  $K(i)$  for the indexing field. If some value  $K(i)$  occurs in too many records, so that their record pointers cannot fit in a single disk block, a cluster or linked list of blocks is

used. This technique is illustrated in Figure 18.5. Retrieval via the index requires one or more additional block accesses because of the extra level, but the algorithms for searching the index and (more importantly) for inserting of new records in the data file are straightforward. In addition, retrievals on complex selection conditions may be handled by referring to the record pointers, without having to retrieve many unnecessary records from the data file (see Exercise 18.23).

**Figure 18.5**

A secondary index (with record pointers) on a non-key field implemented using one level of indirection so that index entries are of fixed length and have unique field values,



Notice that a secondary index provides a **logical ordering** on the records by the indexing field. If we access the records in order of the entries in the secondary index, we get them in order of the indexing field. The primary and clustering indexes assume that the field used for **physical ordering** of records in the file is the same as the indexing field.

#### 18.1.4 Summary

To conclude this section, we summarize the discussion of index types in two tables. Table 18.1 shows the index field characteristics of each type of ordered single-level index discussed—primary, clustering, and secondary. Table 18.2 summarizes the properties of each type of index by comparing the number of index entries and specifying which indexes are dense and which use block anchors of the data file.

**Table 18.1** Types of Indexes Based on the Properties of the Indexing Field

	<b>Index Field Used for Physical Ordering of the File</b>	<b>Index Field Not Used for Physical Ordering of the File</b>
Indexing field is key	Primary index	Secondary index (Key)
Indexing field is nonkey	Clustering index	Secondary index (NonKey)

**Table 18.2** Properties of Index Types

Type of Index	Number of (First-level) Index Entries	Dense or Nondense (Sparse)	Block Anchoring on the Data File
Primary	Number of blocks in data file	Nondense	Yes
Clustering	Number of distinct index field values	Nondense	Yes/no <sup>a</sup>
Secondary (key)	Number of records in data file	Dense	No
Secondary (nonkey)	Number of records <sup>b</sup> or number of distinct index field values <sup>c</sup>	Dense or Nondense	No

<sup>a</sup>Yes if every distinct value of the ordering field starts a new block; no otherwise.

<sup>b</sup>For option 1.

<sup>c</sup>For options 2 and 3.