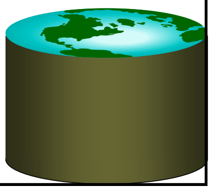
Tree-Structured Indexes

R & G Chapter 10

"If I had eight hours to chop down a tree, I'd spend six sharpening my ax."

Abraham Lincoln



Review: Files, Pages, Records

- Abstraction of stored data is "files" with "pages" of "records".
  - Records live on *pages*
  - Physical Record ID (RID) = <page#, slot#>
- *Variable length* data requires more sophisticated structures for records and pages. (why?)
  - Fields in Records: offset array in header
  - Records on Pages: Slotted pages w/internal offsets & free space area
- Often best to be "lazy" about issues such as free space management, exact ordering, etc. (why?)
- Files can be unordered (heap), sorted, or kinda sorted (i.e., "clustered") on a *search key.*
  - Tradeoffs are update/maintenance cost vs. speed of accesses via the search key.
  - Files can be clustered (sorted) at most one way.
- Indexes can be used to speed up many kinds of accesses. (i.e., "access paths")

Tree-Structured Indexes: Introduction

- Selections of form field <op> constant
- Equality selections (op is =)
  - Either "tree" or "hash" indexes help here.
- Range selections (op is one of <, >, <=, >=, BETWEEN)
  - "Hash" indexes don't work for these.
- More complex selections (e.g. spatial containment)
  - There are fancier trees that can do this… more on this soon!

- Tree-structured indexing techniques support both *range selections* and *equality selections*.
- *ISAM*: static structure; early index technology.
- *B+ tree*: dynamic, adjusts gracefully under inserts and deletes.
- ISAM = Indexed Sequential Access Method

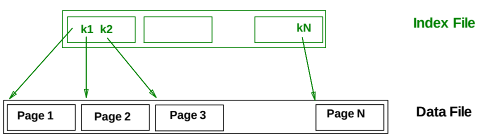
A Note of Caution

- ISAM is an old-fashioned idea
  - B+-trees are usually better, as we'll see
    - Though not *always*
- But, it's a good place to start
  - Simpler than B+-tree, but many of the same ideas

- Upshot
  - **Don't** brag about being an ISAM expert on your resume
  - **Do** understand how they work, and tradeoffs with B+-trees

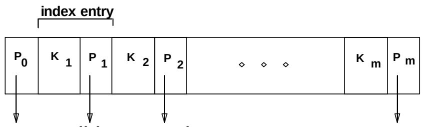
Range Searches

- ``*Find all students with gpa > 3.0*''
  - If data is in sorted file, do binary search to find first such student, then scan to find others.
  - Cost of binary search in a database can be quite high. Q: Why???
- Simple idea: Create an `index' file.

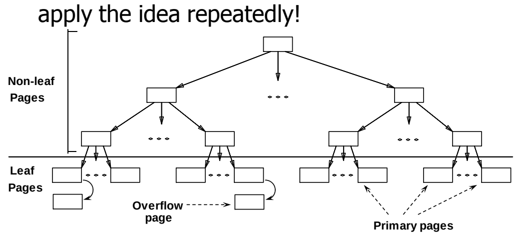


Can do binary search on (smaller) index file!

ISAM



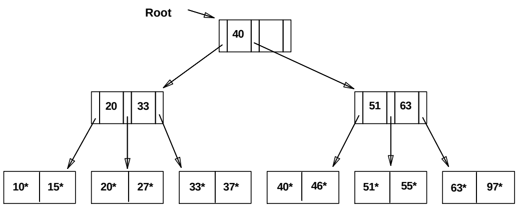
- Index file may still be quite large. But we can apply the idea repeatedly!



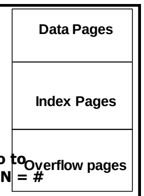
Leaf pages contain data entries.

Example ISAM Tree

- ***Index entries*:<search key value, page id>** **they direct search for data entries *in leaves.***
- **Example where each node can hold 2 entries;**



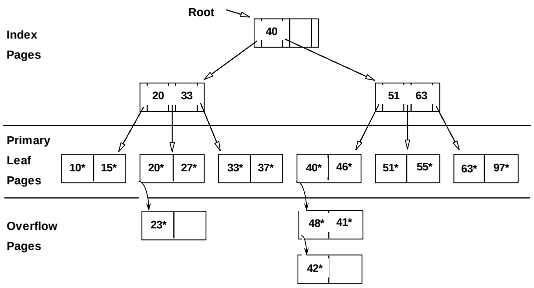
ISAM is a STATIC Structure



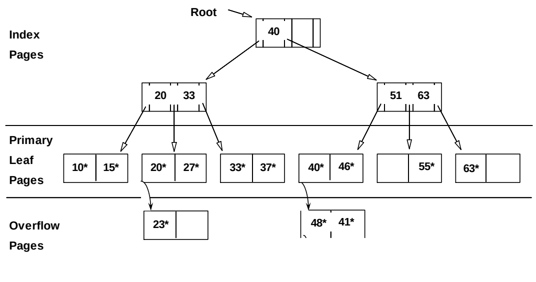
- ***File creation*: Leaf (data) pages allocated**
- **sequentially, sorted by search key; then**
- **index pages allocated, then overflow pgs.**
- ***Search*: Start at root; use key comparisons to go to leaf. Cost = log $_F$ N ; F = # entries/pg (i.e., fanout), N = # leaf pgs**
  – no need for `next-leaf-page' pointers. (Why?)
- ***Insert*: Find leaf that data entry belongs to, and put it there. Overflow page if necessary.**
- ***Delete*: Find and remove from leaf; if empty page, de-allocate.**

Static tree structure: *inserts/deletes affect only leaf pages.*

Example: Insert 23*, 48*, 41*, 42*



... then Deleting 42*, 51*, 97*



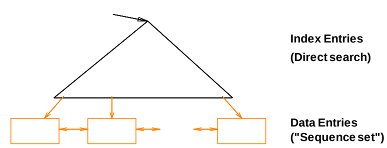
Note that 51 appears in index levels, but not in leaf!*

ISAM ---- Issues?

- Pros
  – ????
- Cons
  – ????

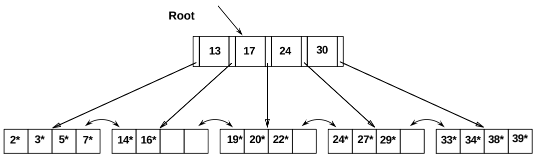
B+ Tree: The Most Widely Used Index

- **Insert/delete at log $_F$ N cost; keep tree *height-balanced*.**
  – F = fanout, N = # leaf pages
- **Minimum 50% occupancy (except for root). Each node contains *m entries where* d <= *m* <= 2d entries. "d" is called the *order* of the tree.**
- **Supports equality and range-searches efficiently.**
- **As in ISAM, all searches go from root to leaves, but structure is dynamic.**



Example B+ Tree

- Search begins at root, and key comparisons direct it to a leaf (as in ISAM).
- Search for 5*, 15*, all data entries >= 24* ...



Based on the search for 15, we <u>know</u> it is not in the tree!*

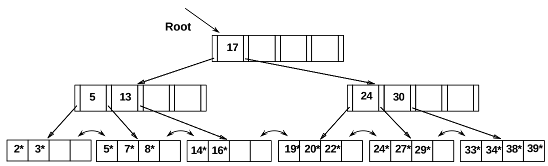
B+ Trees in Practice

- Typical order: 100. Typical fill-factor: 67%.
  - average fanout = 133
- Typical capacities:
  - Height 2: 133^3 = 2,352,637 entries
  - Height 3: 133^4 = 312,900,700 entries
- Can often hold top levels in buffer pool:
  - Level 1 = 1 page = 8 Kbytes
  - Level 2 = 133 pages = 1 Mbyte
  - Level 3 = 17,689 pages = 133 MBytes

Inserting a Data Entry into a B+ Tree

- Find correct leaf *L.*
- Put data entry onto *L*.
  - If *L* has enough space, *done*!
  - Else, must <u>*split*</u> *L (into L and a new node L2)*
    - Redistribute entries evenly, **<u>copy up</u>** middle key.
    - Insert index entry pointing to *L2* <u>into parent</u> of *L*.
- This can happen recursively
  - To split index node, redistribute entries evenly, but **<u>push up</u>** middle key. (Contrast with leaf splits.)
- Splits "grow" tree; root split increases height.
  - Tree growth: gets <u>*wider*</u> or <u>*one level taller at top.*</u>

Example B+ Tree - Inserting 8*

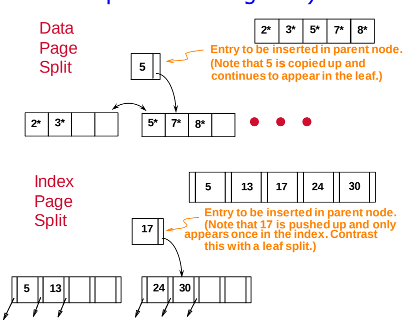


❖ Notice that root was split, leading to increase in height.

❖ In this example, we can avoid split by re-distributing entries; however, this is usually not done in practice.

Data vs. Index Page Split
(from previous example of inserting "8*")

- Observe how minimum occupancy is guaranteed in both leaf and index pg splits.
- Note difference between *copy-up* and *push-up*; be sure you understand the reasons for this.



Deleting a Data Entry from a B+ Tree

- Start at root, find leaf *L* where entry belongs.
- Remove the entry.
  - If L is at least half-full, *done!*
  - If L has only **d-1** entries,
    - Try to re-distribute, borrowing from <u>*sibling*</u> *(adjacent node with same parent as L).*
    - If re-distribution fails, <u>*merge*</u> *L* and sibling.
- If merge occurred, must delete entry (pointing to *L* or sibling) from parent of *L*.
- Merge could propagate to root, decreasing height.

In practice, many systems do not worry about ensuring half-full pages. Just let page slowly go empty; if it's truly empty, just delete from tree and leave unbalanced.

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Prefix Key Compression

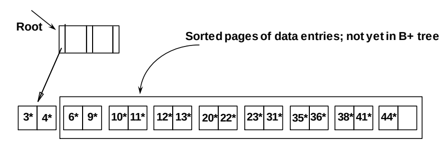
- Important to increase fan-out. (Why?)
- Key values in index entries only `direct traffic'; can often compress them.
  - E.g., If we have adjacent index entries with search key values *Dannon Yogurt*, *David Smith* and *Devarakonda Murthy*, we can abbreviate *David Smith* to *Dav.* (The other keys can be compressed too ...)
    - Is this correct? Not quite! What if there is a data entry *Davey Jones*? (Can only compress *David Smith* to *Davi*)
    - In general, while compressing, must leave each index entry greater than every key value (in any subtree) to its left.
- Insert/delete must be suitably modified.

Suffix Key Compression

- If many index entries share a common prefix
  - E.g. MacDonald, MacEnroe, MacFeeley
  - Store the common prefix "Mac" at a well known location on the page, use suffixes as split keys
- Particularly useful for composite keys
  - Why?

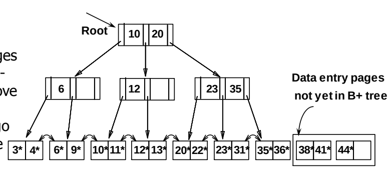
Bulk Loading of a B+ Tree

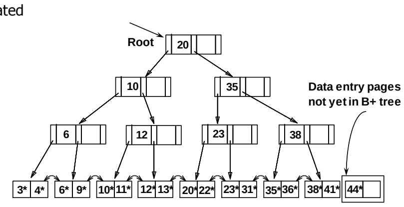
- If we have a large collection of records, and we want to create a B+ tree on some field, doing so by repeatedly inserting records is very slow.
  - Also leads to minimal leaf utilization --- why?
- *Bulk Loading* can be done much more efficiently.
- *Initialization*: Sort all data entries, insert pointer to first (leaf) page in a new (root) page.



Bulk Loading (Contd.)

- Index entries for leaf pages always entered into right-most index page just above leaf level. When this fills up, it splits. (Split may go up right-most path to the root.)
- Much faster than repeated inserts.





Summary of Bulk Loading

- Option 1: multiple inserts.
  - Slow.
  - Does not give sequential storage of leaves.
- Option 2: *Bulk Loading*
  - Fewer I/Os during build.
  - Leaves will be stored sequentially (and linked, of course).
  - Can control "fill factor" on pages.

A Note on `Order'

- *Order* (**d**) concept replaced by physical space criterion in practice (`*at least half-full*').
  - Index pages can typically hold many more entries than leaf pages.
  - Variable sized records and search keys mean different nodes will contain different numbers of entries.
  - Even with fixed length fields, multiple records with the same search key value (*duplicates*) can lead to variable-sized data entries (if we use Alternative (3)).
- Many real systems are even sloppier than this --- only reclaim space when a page is *completely* empty.

Summary

- Tree-structured indexes are ideal for range-searches, also good for equality searches.
- ISAM is a static structure.
  - Only leaf pages modified; overflow pages needed.
  - Overflow chains can degrade performance unless size of data set and data distribution stay constant.
- B+ tree is a dynamic structure.
  - Inserts/deletes leave tree height-balanced; $\log_F N$ cost.
  - High fanout (**F**) means depth rarely more than 3 or 4.
  - Almost always better than maintaining a sorted file.

Summary (Contd.)

  - Typically, 67% occupancy on average.
  - Usually preferable to ISAM, modulo *locking* considerations; adjusts to growth gracefully.
  - If data entries are data records, splits can change rids!
- Key compression increases fanout, reduces height.
- Bulk loading can be much faster than repeated inserts for creating a B+ tree on a large data set.
- Most widely used index in database management systems because of its versatility. One of the most optimized components of a DBMS.