Carnegie Mellon University

Database Systems

Tree & Filters: B+Trees



ADMINISTRIVIA

Project #1 is due Sunday Sept 29th @ 11:59pm

→ Recitation + Profiling Tutorial: <u>@160</u>

Homework #3 will be released on Sept 25th

Mid-term Exam on Wednesday Oct 9th

- \rightarrow In-class in this room.
- \rightarrow More info next week.



UPCOMING DATABASE TALKS

DataFusion (DB Seminar)

- → Monday Sept 23rd @ 4:30pm ET
- \rightarrow Zoom



DataFusion Comet (DB Seminar)

- → Monday Sept 30th @ 4:30pm ET
- \rightarrow Zoom



Oracle Talk (DB Group)

- → Tuesday Oct 1st @ 12:00pm ET
- → GHC 6501





LAST CLASS

Hash tables are important data structures that are used all throughout a DBMS.

- \rightarrow Space Complexity: O(n)
- \rightarrow Average Time Complexity: **O(1)**

Static vs. Dynamic Hashing schemes

DBMSs use mostly hash tables for their internal data structures.



INDEXES VS. FILTERS

An <u>index</u> data structure of a subset of a table's attributes that are organized and/or sorted to the location of specific tuples using those attributes.

 \rightarrow Example: B+Tree

A <u>filter</u> is a data structure that answers set 查询某个元素是否位于集合中. membership queries; it tells you whether a record (likely) exists for a key but <u>not</u> where it is located.

→ Example: Bloom Filter

数据更新的同步:并发访问的线程安全性和并发性.

在表上更新的数据需要保证同步到索引或过滤器的数据结构中.



TODAY'S AGENDA

B+Tree Overview

Design Choices

Optimizations



B-TREE FAMILY

There is a specific data structure called a **B-Tree**.

People also use the term to generally refer to a class of balanced tree data structures:

- → **B-Tree** (1970)
- → **B+Tree** (1973)
- \rightarrow **B*Tree** (1977?)
- \rightarrow B^{link}-Tree (1981)
- → **Bε-Tree** (2003)
- → **Bw-Tree** (2013)



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B-TREE FA

D1-82-0989

There is a specific data structu

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- → **Bε-Tree** (2003)
- \rightarrow **Bw-Tree** (2013)

ORGANIZATION AND MAINTENANCE OF LARGE

ORDERED INDICES

v

R. Bayer

and

E. McCreight

Mathematical and Information Sciences Report No. 20
Mathematical and Information Sciences Laboratory
BOEING SCIENTIFIC RESEARCH LABORATORIES
July 1970

B-TREE FA

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The Ubiquitous B-Tree

DOUGLAS COMER

Computer Science Department, Purdue University, West Lafayette, Indiana 47907

B-trees have become, de facto, a standard for file organization. File indexes of users, dedicated database systems, and general purpose access methods have all been proposed and implemented using B-trees. This paper reviews B-trees and shows why they have been so successful It discusses the major variations of the B-tree, especially the B*-tree, contrasting the relative merits and costs of each implementation. It illustrates a general purpose access method which uses a B-tree.

Keywords and Phrases: B-tree, B*-tree, B*-tree, file organization, index

CR Categories: 3.73 3.74 4.33 4 34

INTRODUCTION

The secondary storage facilities available on large computer systems allow users to store, update, and recall data from large collections of information called files. A computer must retrieve an item and place it in main memory before it can be processed. In order to make good use of the computer resources, one must organize files intelligently, making the retrieval process efficient.

The choice of a good file organization depends on the kinds of retrieval to be performed. There are two broad classes of retrieval commands which can be illustrated by the following examples:

Sequential: "From our employee file, pre-

pare a list of all employees' names and addresses," and

Random: "From our employee file, extract the information about employee J. Smith".

We can imagine a filing cabinet with three drawers of folders, one folder for each employee. The drawers might be labeled "A-

might be labeled with the employees' last names. A sequential request requires the searcher to examine the entire file, one folder at a time. On the other hand, a random request implies that the searcher. guided by the labels on the drawers and folders, need only extract one folder.

Associated with a large, randomly accessed file in a computer system is an index which, like the labels on the drawers and folders of the file cabinet, speeds retrieval by directing the searcher to the small part of the file containing the desired item. Figure 1 depicts a file and its index. An index may be physically integrated with the file, like the labels on employee folders, or physically separate, like the labels on the drawers. Usually the index itself is a file. If the index file is large, another index may be built on top of it to speed retrieval further, and so on. The resulting hierarchy is similar to the employee file, where the topmost index consists of labels on drawers, and the next level of index consists of labels on

Natural hierarchies, like the one formed by considering last names as index entries, G," "H-R," and "S-Z," while the folders do not always produce the best perform-

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B-TREE FAMILY

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Efficient Locking for Concurrent Operations on B-Trees

PHILIP L. LEHMAN
Carnegie-Mellon University
and
S. BING YAO

Purdue University

The B-tree and its variants have been found to be highly useful (both theoretically and in practice) for storing large amounts of information, especially on secondary storage devices. We examine the problem of overcoming the inherent difficulty of concurrent operations on such structures, using a practical storage model. A single additional "link" pointer in each node allows a process to easily recover from tree modifications greated by other concurrent processes. Our solution compares (and a single additional "link" gather is simpler (no read-locks are used) and informal correctness proof for our system is given.

Key Words and Phrasee: database, data structures, B-tree, index organizations, concurrent algorithms, concurrency controls, locking protocoles, correctness, consistency, multiway search trees CR Categories: 3.73, 3.74, 4.32, 4.33, 4.34, 5.34

1. INTRODUCTION

The B-tree [2] and its variants have been widely used in recent years as a data structure for storing large files of information, especially on secondary storage devices [7]. The guaranteed small (average) search, insertion, and election time for these structures makes them quite appealing for database applications.

A topic of current integers in database applications.

A topic of current interest in database design is the construction of databases that can be manipulated concurrently and correctly by several processes. In this paper, we consider a simple variant of the B-tree (actually of the B-tree, proposed by Wedekind [15]) especially well suited for use in a concurrent database.

Methods for concurrent operations on B*-trees have been discussed by Bayer and Schkolnick [3] and others [6, 12, 13]. The solution given in the current paper

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This research was supported by the transfer of the properties of the pro

This research was supported by the National Science Foundation under Grant MCS76-16604.

Authors' present addresses: P. L. Lehman, Department of Computer Science, Carnegie-Mellon and Management, University, Fittsburgh, PA 15213; S. B. Yao, Department of Computer Science, Carnegie-Mellon and Management, University of Maryland, College Park, MD 20742.

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ACM Transactions on Database Systems, Vol. 6, No. 4, December 1981, Pages 650-670.

R-TREE CAMTLY

postgres / src / backend / access / nbtree / README 🔘 Raw ☐ ± Ø → Blame Code src/backend/access/nbtree/README Btree Indexing ========= This directory contains a correct implementation of Lehman and Yao's high-concurrency B-tree management algorithm (P. Lehman and S. Yao, Efficient Locking for Concurrent Operations on B-Trees, ACM Transactions on Database Systems, Vol 6, No. 4, December 1981, pp 650-670). We also use a simplified version of the deletion logic described in Lanin and Shasha (V. Lanin and D. Shasha, A Symmetric Concurrent B-Tree Algorithm, Proceedings of 1986 Fall Joint Computer Conference, pp 380-389). The basic Lehman & Yao Algorithm

Efficient Locking for Concurrent Operations on B-Trees

HILIP L. LEHMAN

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RODUCTION

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B+TREE

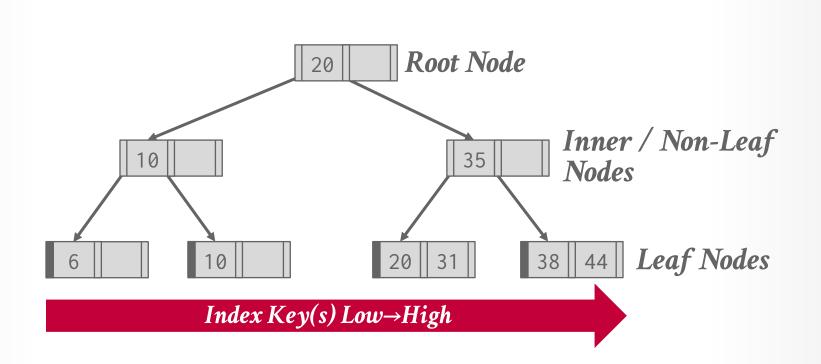
A <u>B+Tree</u> is a self-balancing, ordered m-way tree for searches, sequential access, insertions, and deletions in $O(\log_m n)$ where m is the tree fanout.

- → It is perfectly balanced (i.e., every leaf node is at the same depth in the tree)
- → Every node other than the root is at least half-full m/2-1 ≤ #keys ≤ m-1
- \rightarrow Every inner node with **k** keys has **k+1** non-null children.
- → Optimized for reading/writing large data blocks.

Some real-world implementations relax these properties, but we will ignore that for now...

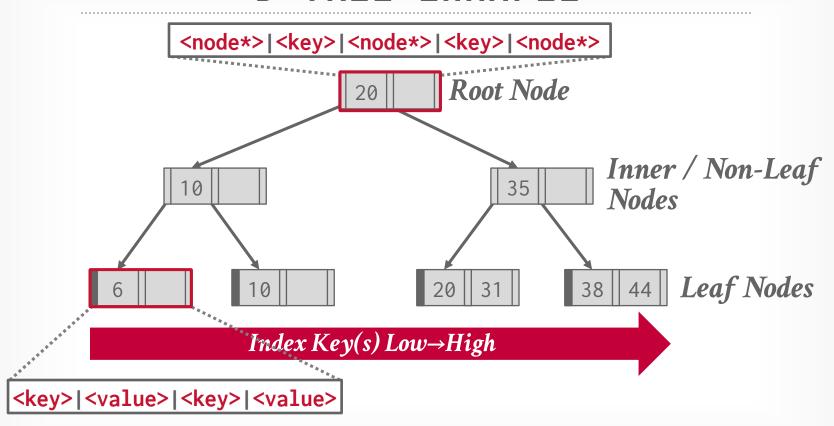


B+TREE EXAMPLE



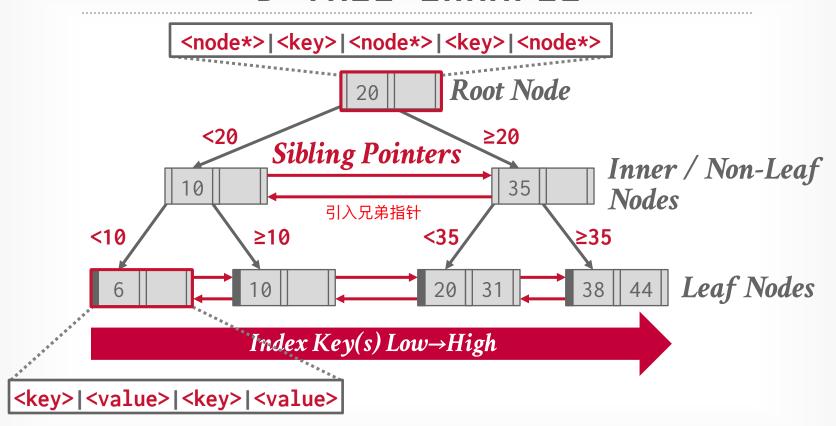


B+TREE EXAMPLE





B+TREE EXAMPLE





NODES

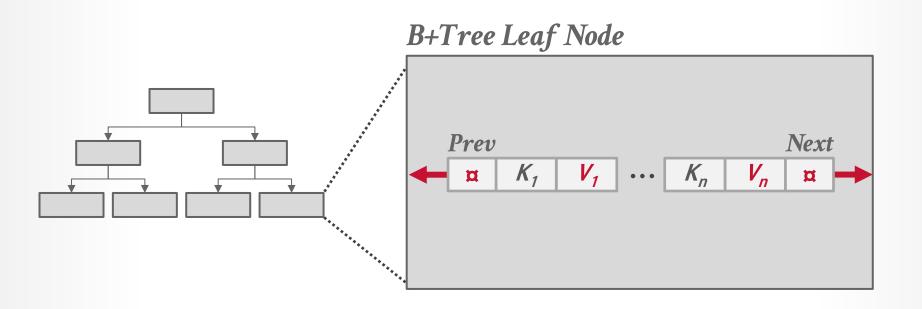
Every B+Tree node is comprised of an array of key/value pairs.

- \rightarrow The keys are derived from the index's target attribute(s).
- → The values will differ based on whether the node is classified as an **inner node** or a **leaf node**.

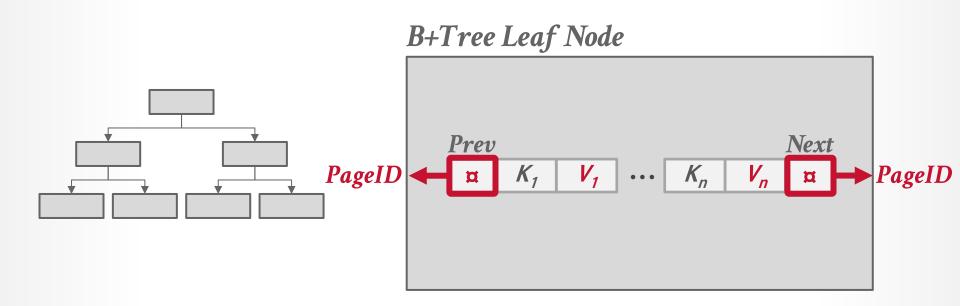
The arrays are (usually) kept in sorted key order.

Store all **NULL** keys at either first or last leaf nodes.

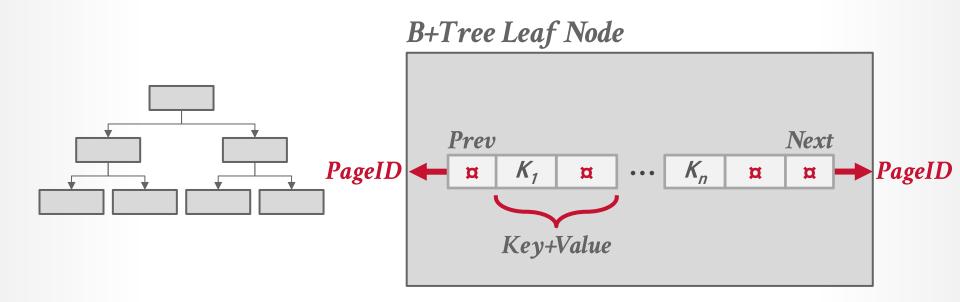




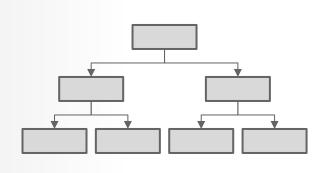




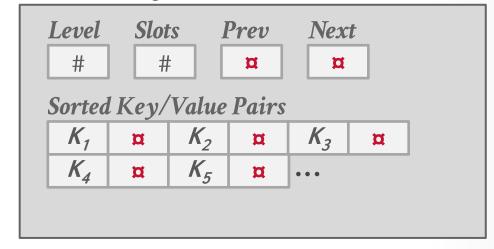




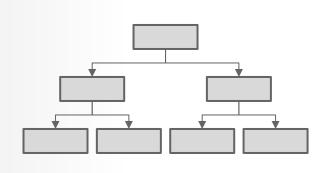




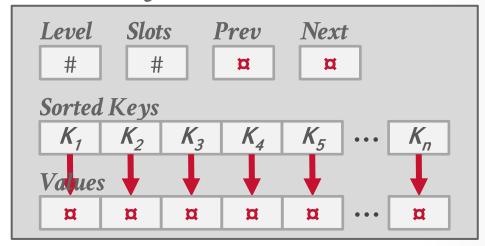
B+Tree Leaf Node







B+Tree Leaf Node





LEAF NODE VALUES

Approach #1: Record IDs 页码+偏移量

- \rightarrow A pointer to the location of the tuple to which the index entry corresponds.
- → Most common implementation.









Approach #2: Tuple Data

- → Index-Organized Storage (<u>Lecture #0</u>4)
- → Primary Key Index: Leaf nodes store the contents of the tuple.
- → Secondary Indexes: Leaf nodes store tuples' primary key as their values.











B-TREE VS. B+TREE

The original **B-Tree** from 1971 stored keys and values in all nodes in the tree.

→ More space-efficient, since each key only appears once in the tree.

A **B**+**Tree** only stores values in leaf nodes. Inner nodes only guide the search process.



B+TREE - INSERT

Find correct leaf node L.

Insert data entry into L in sorted order.

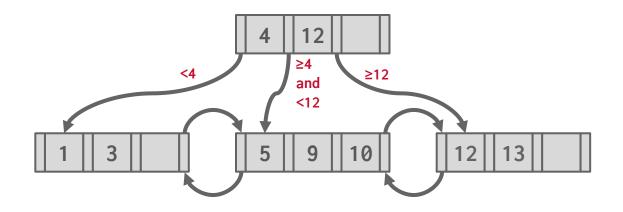
If L has enough space, done!

Otherwise, split L keys into L and a new node L₂

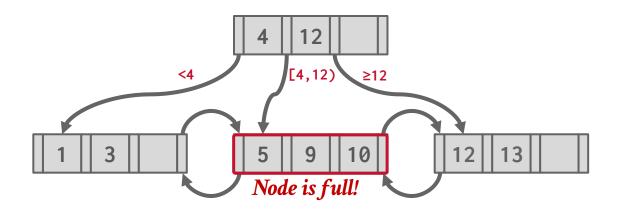
- → Redistribute entries evenly, copy up middle key.
- \rightarrow Insert index entry pointing to L_2 into parent of L.

To split inner node, redistribute entries evenly, but push up middle key.

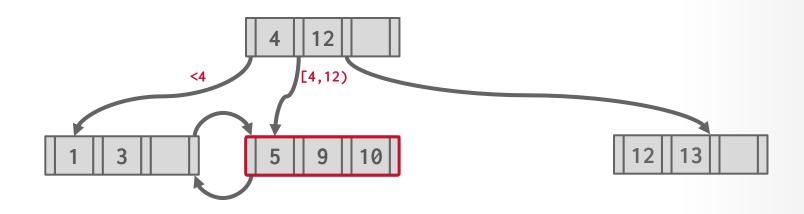




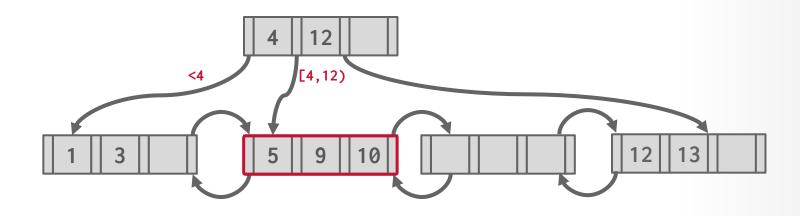




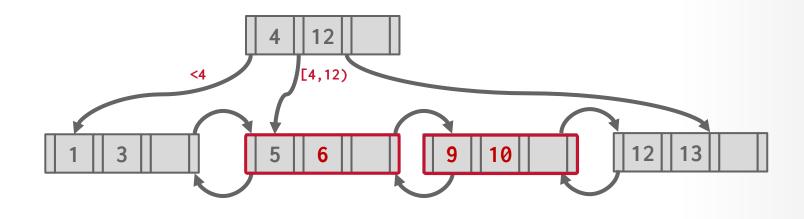




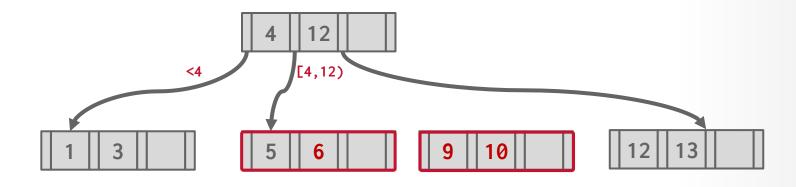




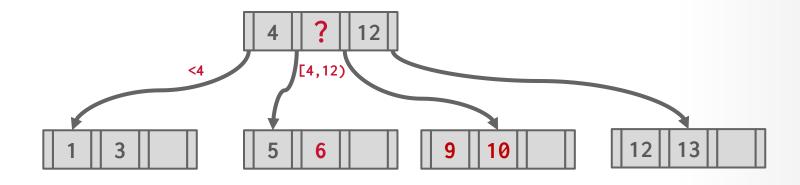




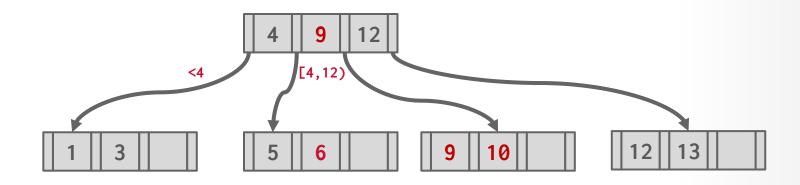




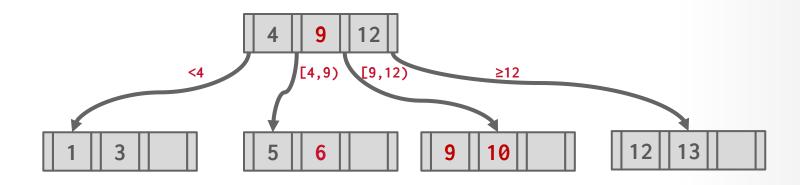






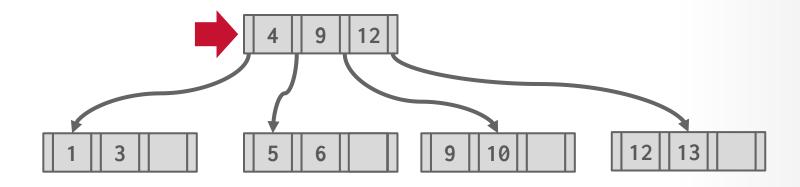






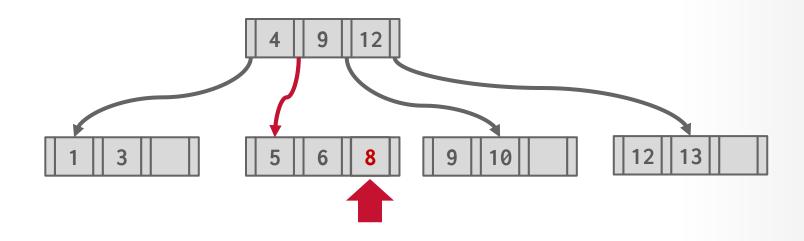


Insert 6



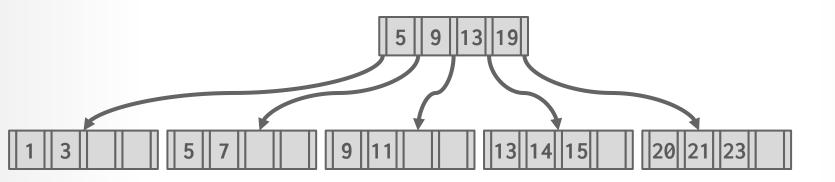


Insert 6



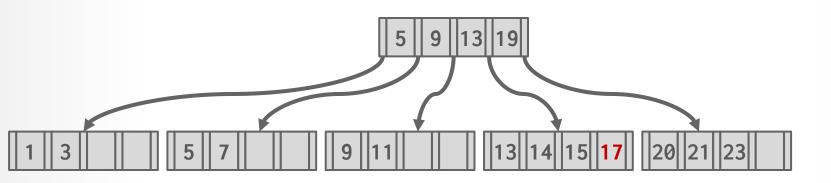


Insert 17





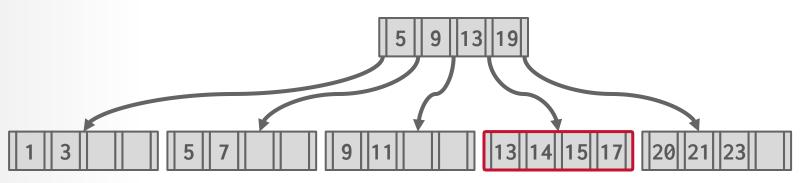
Insert 17





Insert 17

Insert 16

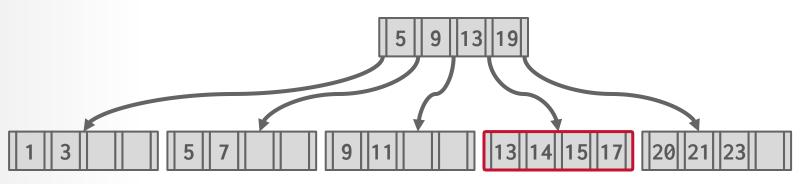


No space in the node where the new key "belongs".



Insert 17

Insert 16

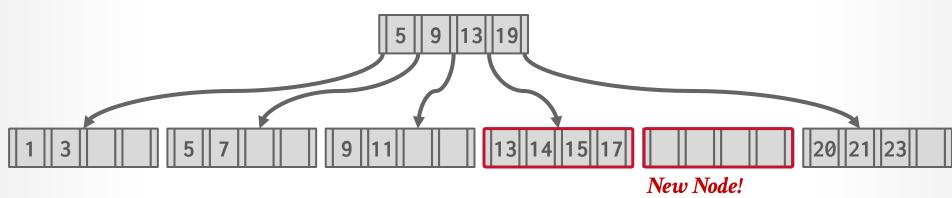


Split the node!
Copy the middle key.
Push the key up.



Insert 17

Insert 16

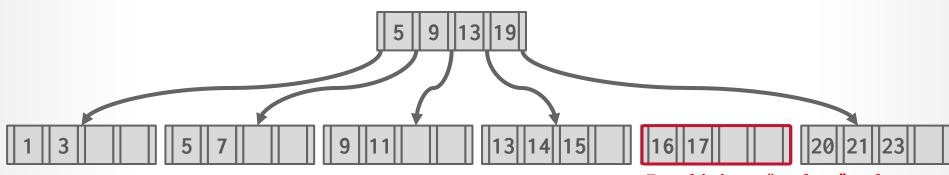


Shuffle keys from the node that triggered the split.



Insert 17

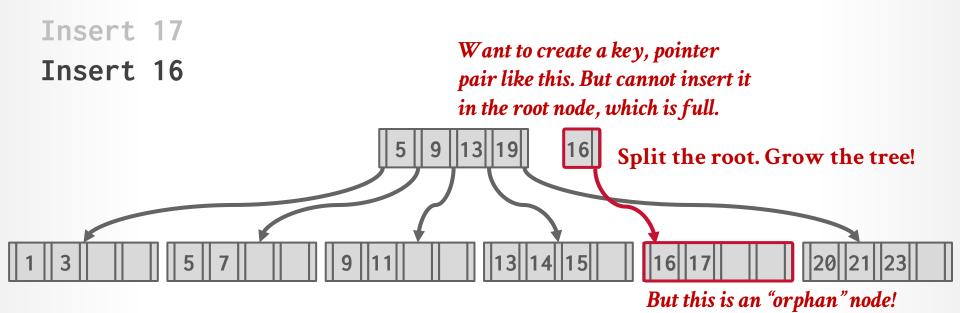
Insert 16



But this is an "orphan" node!
No parent node points to it.



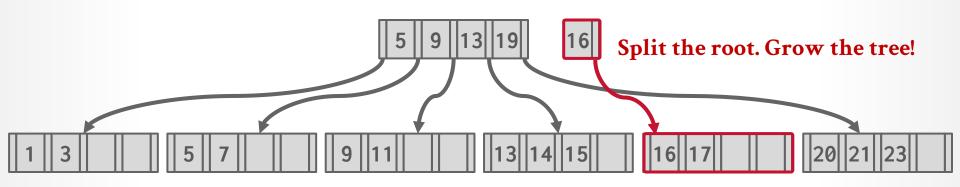
No parent node points to it.



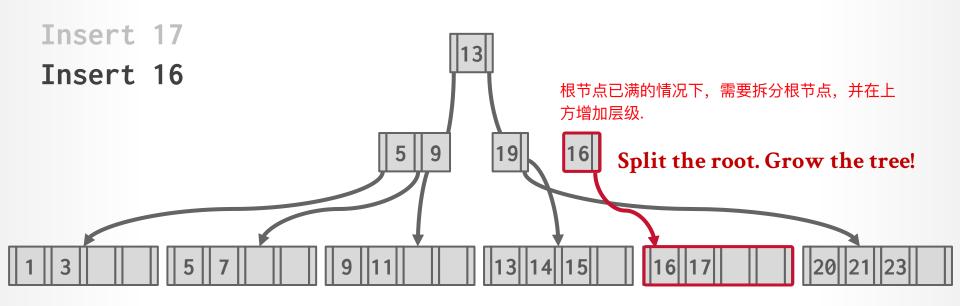


Insert 17

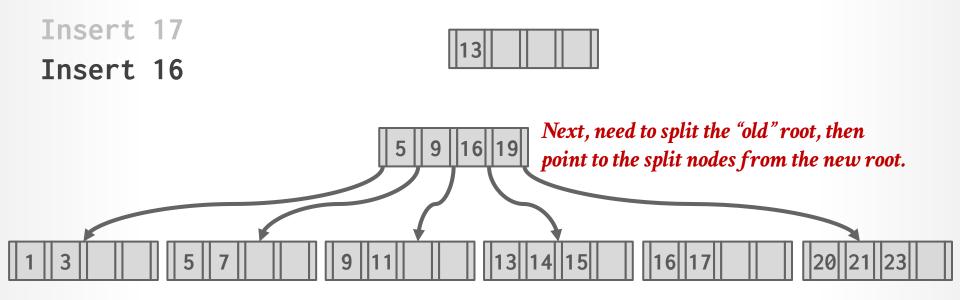
Insert 16



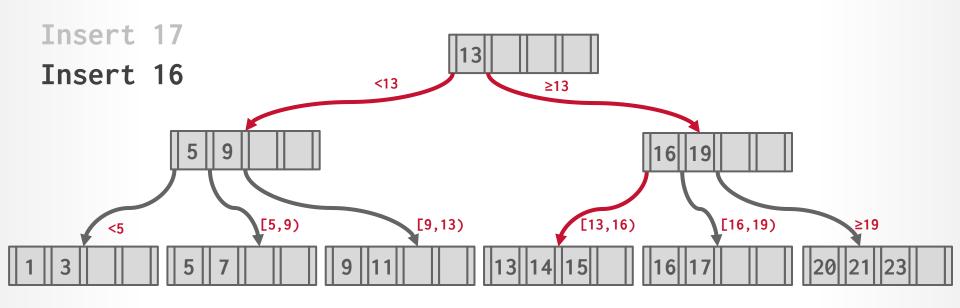














B+TREE - DELETE

Start at root, find leaf L where entry belongs. Remove the entry.

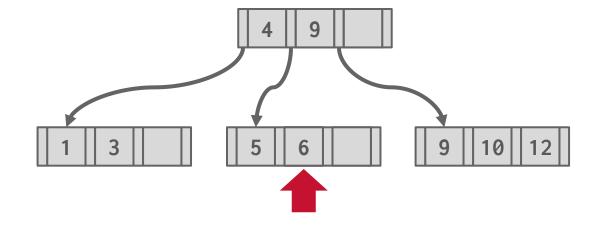
If L is at least half-full, done!

If L has only m/2-1 entries,

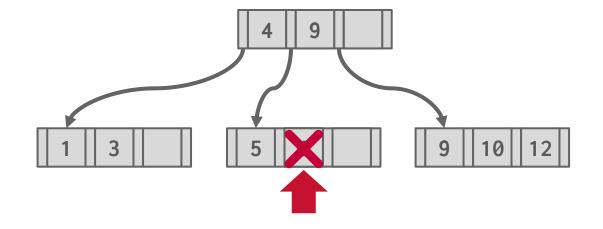
- → Try to re-distribute, borrowing from sibling (adjacent node with same parent as L).
- \rightarrow If re-distribution fails, merge L and sibling.

If merge occurred, must delete entry (pointing to L or sibling) from parent of L.



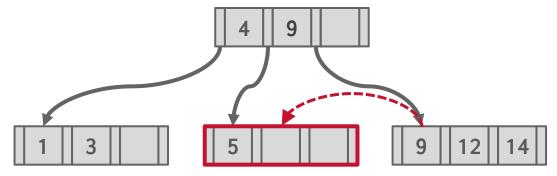








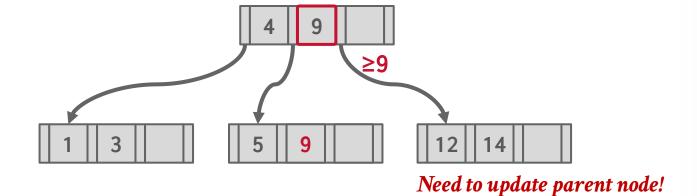
Delete 6



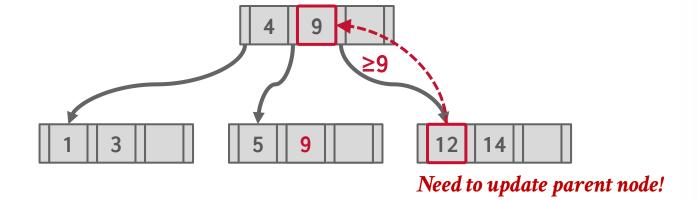
Borrow from a "rich" sibling node.

Could borrow from either sibling.

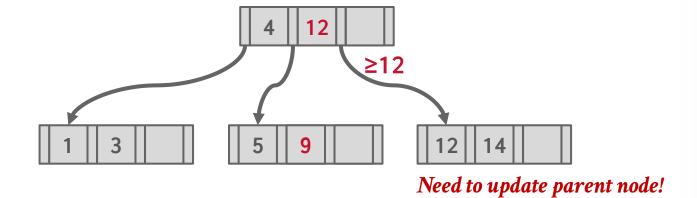




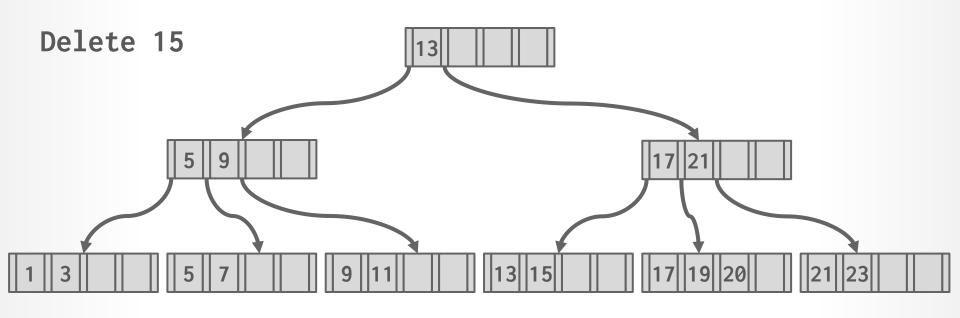




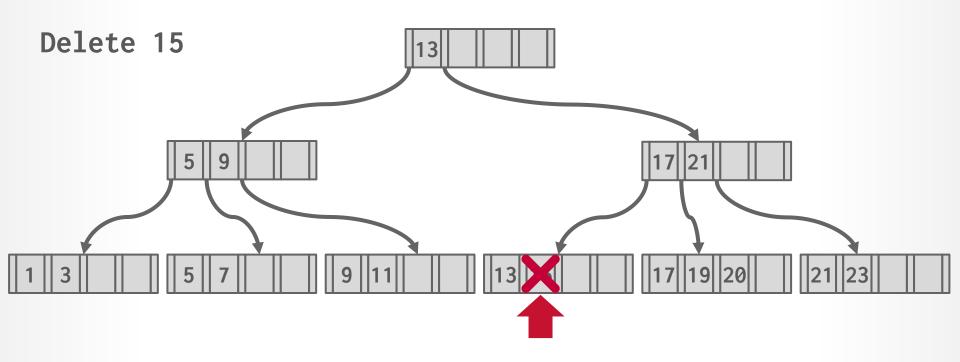




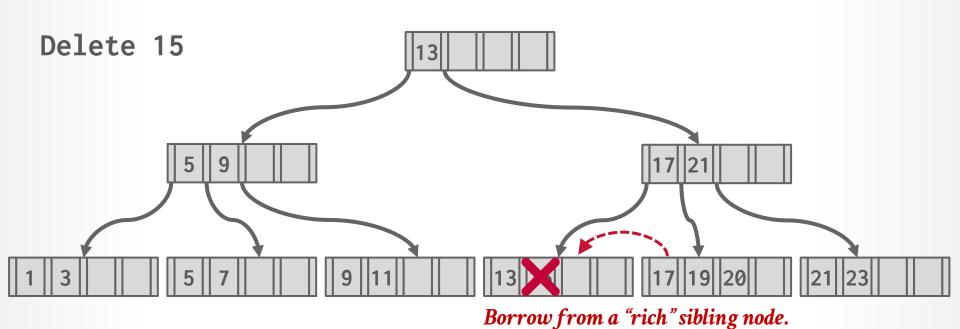




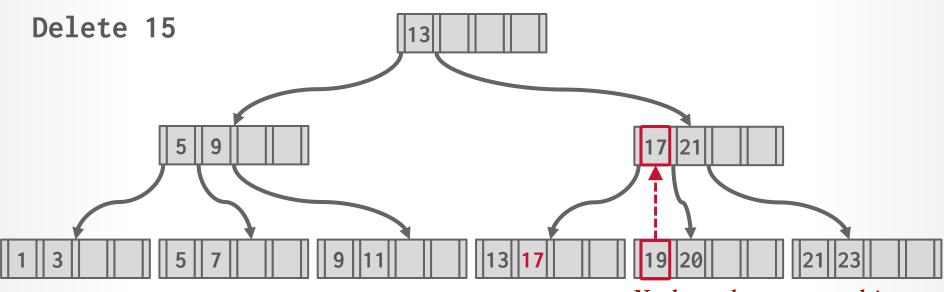






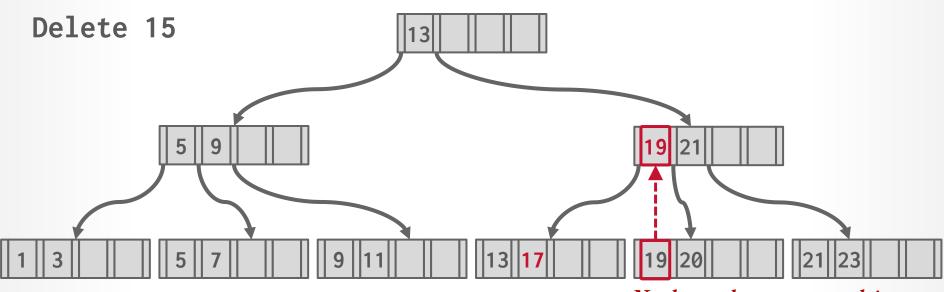






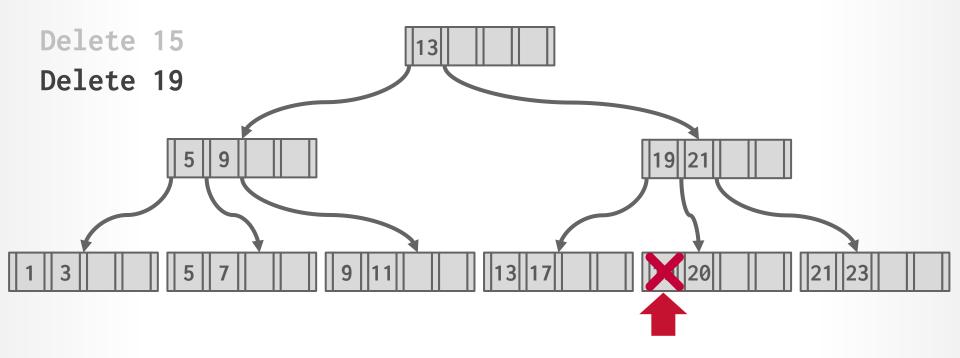
Need to update parent node!



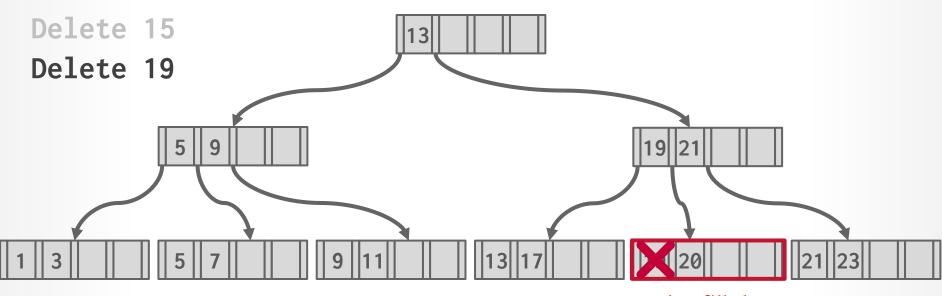


Need to update parent node!



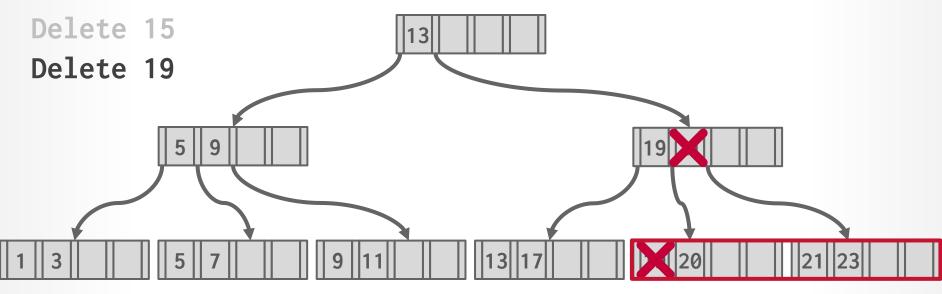






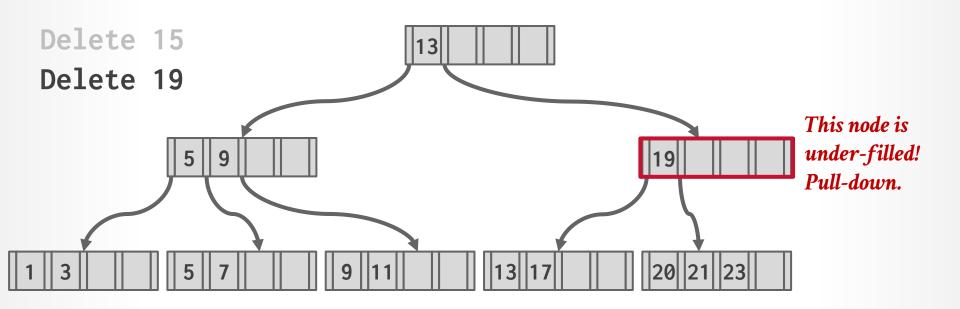
Under-filled!
No "rich" sibling nodes to borrow.
Merge with a sibling



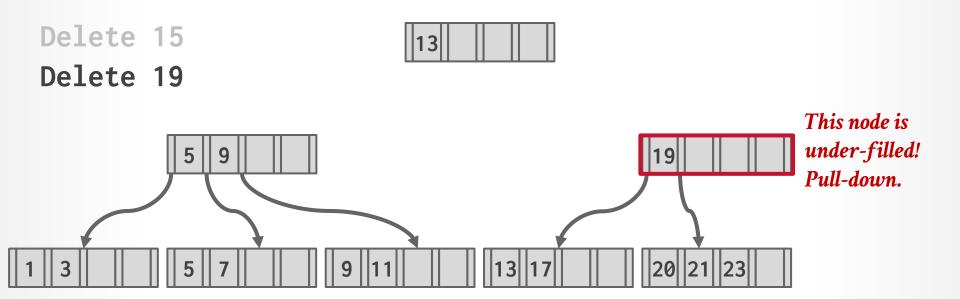


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No "rich" sibling nodes to borrow.
Merge with a sibling



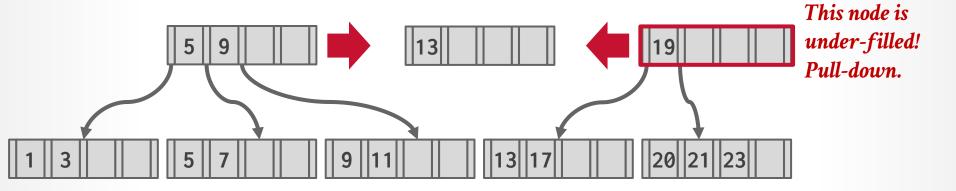






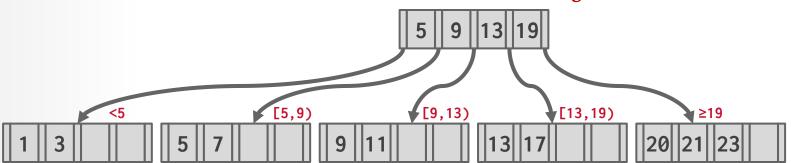


Delete 15



Delete 15
Delete 19

The tree has shrunk in height.





COMPOSITE INDEX

A <u>composite index</u> is when the key is comprised of two or more attributes.

 \rightarrow Example: Index on <a,b,c>

```
CREATE INDEX my_idx ON xxx (a, b DESC, c NULLS FIRST);
```

DBMS can use B+Tree index if the query provides a "prefix" of composite key.

- \rightarrow Supported: (a=1 AND b=2 AND c=3)
- \rightarrow Supported: (a=1 AND b=2)
- \rightarrow Rarely Supported: (b=2), (c=3)



COMPOSITE INDEX

A <u>composite index</u> is when the key is comprised of two or more attributes.

 \rightarrow Example: Index on <a,b,c>

```
Sort Order

CREATE INDEX my_idx ON xxx (a, b DESC, c NULLS FIRST);

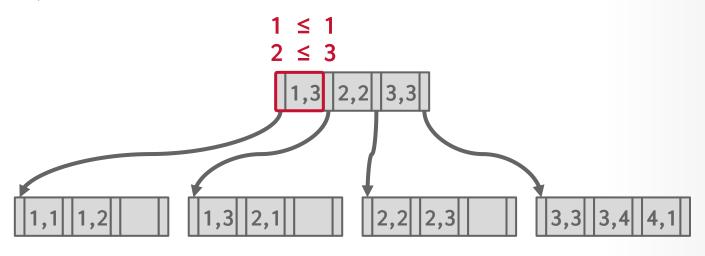
Null Handling
```

DBMS can use B+Tree index if the query provides a "prefix" of composite key.

- \rightarrow Supported: (a=1 AND b=2 AND c=3)
- \rightarrow Supported: (a=1 AND b=2)
- \rightarrow Rarely Supported: (b=2), (c=3)

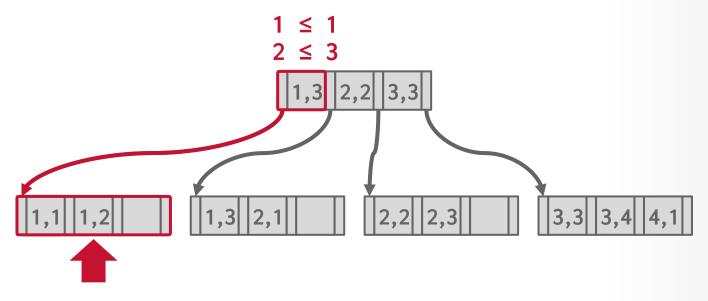


Find Key=(1,2)

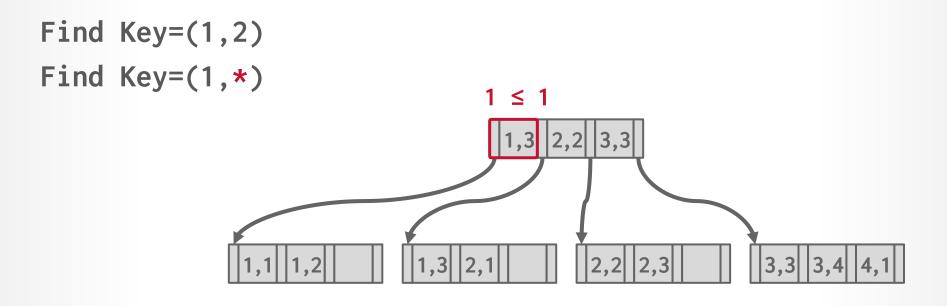




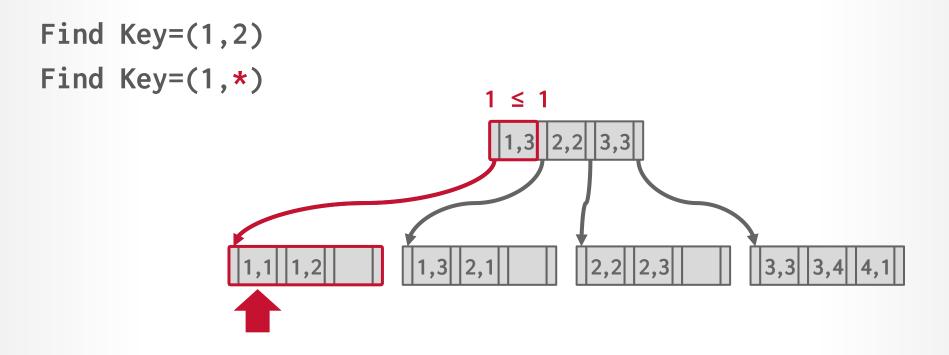
Find Key=(1,2)











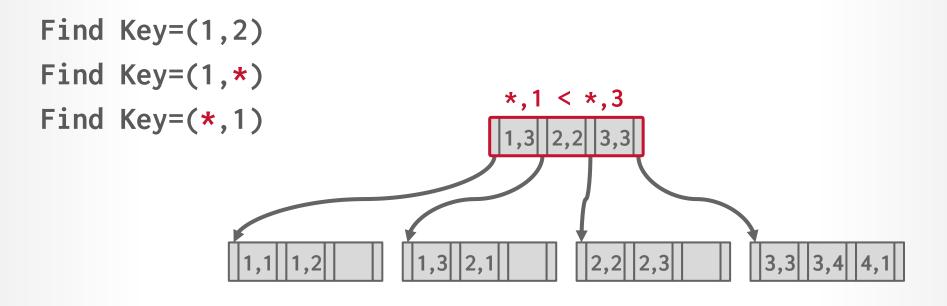


SELECTION CONDITIONS

Find Key=(1,2)Find Key=(1,*) 1 ≤ 1 $(1,*) \leq (2,*)$

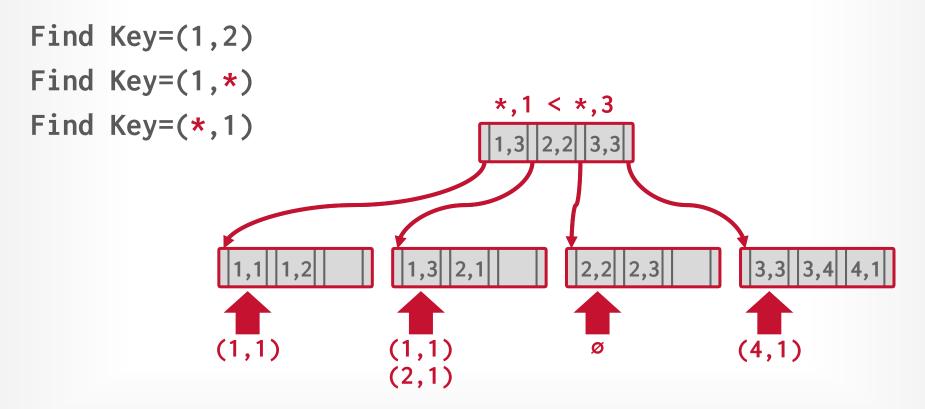


SELECTION CONDITIONS





SELECTION CONDITIONS





B+TREE - DUPLICATE KEYS

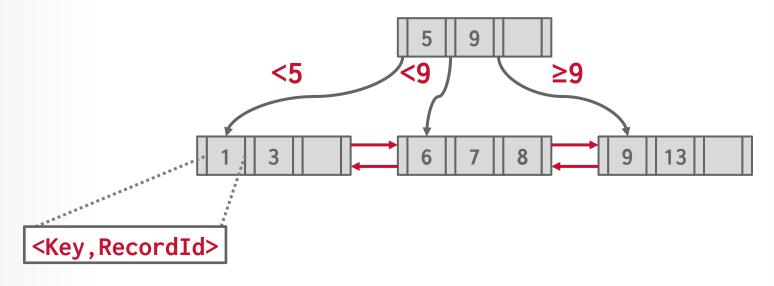
Approach #1: Append Record ID

- → Add the tuple's unique Record ID as part of the key to ensure that all keys are unique.
- \rightarrow The DBMS can still use partial keys to find tuples.

Approach #2: Overflow Leaf Nodes

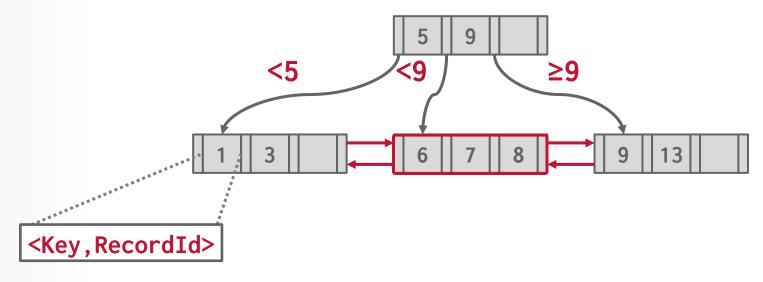
- → Allow leaf nodes to spill into overflow nodes that contain the duplicate keys.
- \rightarrow This is more complex to maintain and modify.





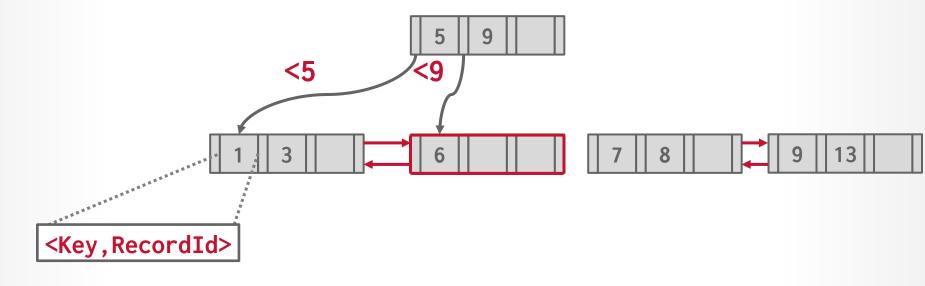


Insert <6,(Page,Slot)>



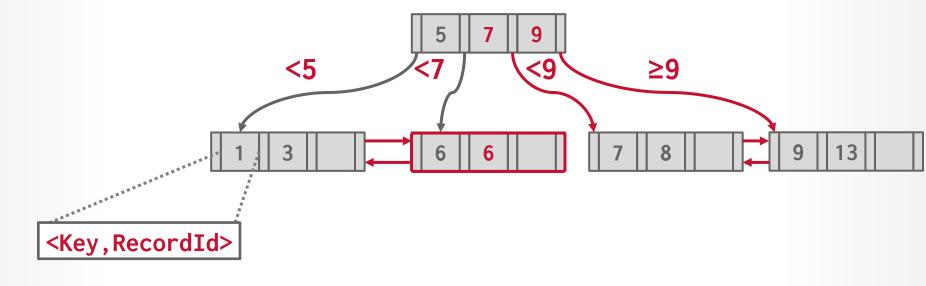


Insert <6,(Page,Slot)>



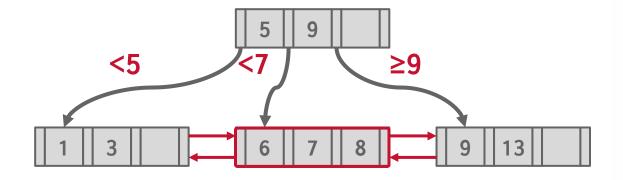


Insert <6,(Page,Slot)>





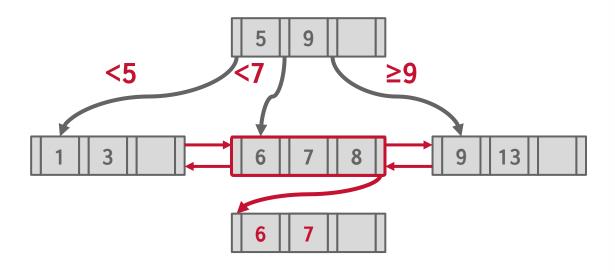
B+TREE - OVERFLOW LEAF NODES





B+TREE - OVERFLOW LEAF NODES

Insert 6

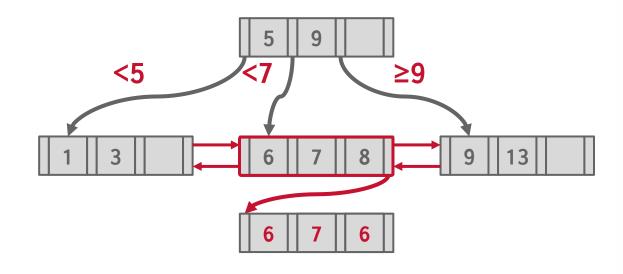




B+TREE - OVERFLOW LEAF NODES

Insert 6

Insert 7





CLUSTERED INDEXES

The table is stored in the sort order specified by the primary key.

 \rightarrow Can be either heap- or index-organized storage.

Some DBMSs always use a clustered index.

→ If a table does not contain a primary key, the DBMS will automatically make a hidden primary key.

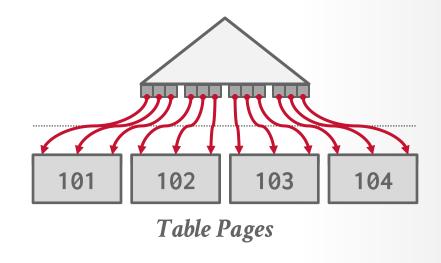
Other DBMSs cannot use them at all.



CLUSTERED B+TREE

Traverse to the left-most leaf page and then retrieve tuples from all leaf pages.

This will always be better than sorting data for each query.

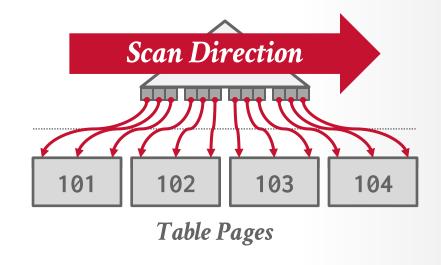




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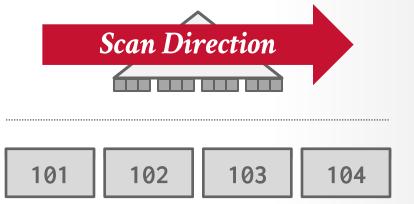




Retrieving tuples in the order they appear in a non-clustered index is inefficient due to redundant reads.

A better approach is to find all the tuples that the query needs and then sort them based on their page ID.

The DBMS retrieves each page once.

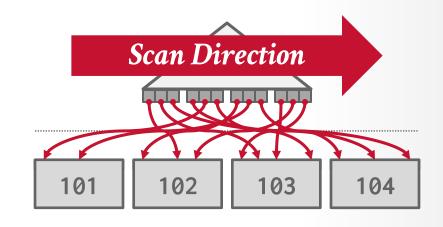




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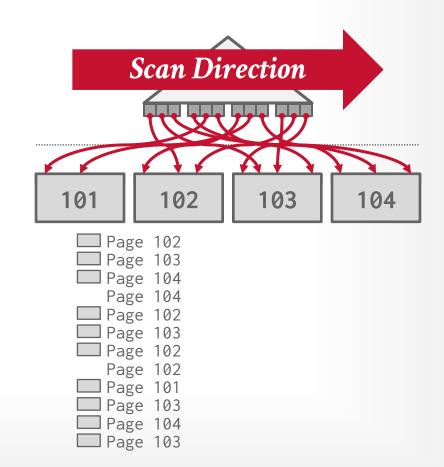
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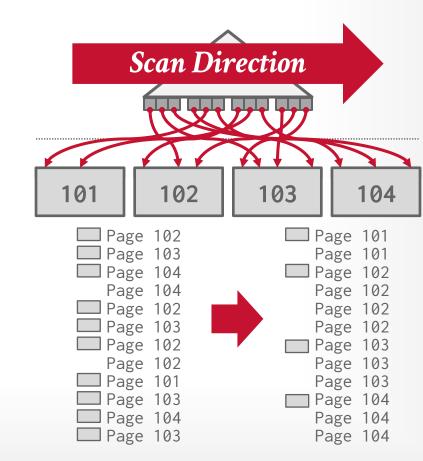


Retrieving tuples in the order they appear in a non-clustered index is inefficient due to redundant reads.

根据 pageID 进行排序.

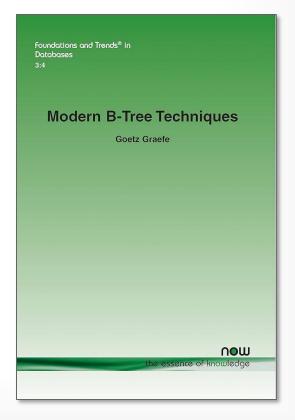
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B+TREE DESIGN CHOICES

Node Size Merge Threshold Variable-Length Keys Intra-Node Search





B+TREE DESIGN

Node Size Merge Threshold Variable-Length Keys Intra-Node Search Foundations and Trends® in Databases 13:3

> More Modern B-Tree Techniques

> > Goetz Graefe



the essence of knowledge



NODE SIZE

The slower the storage device, the larger the optimal node size for a B+Tree. ^{硬件设备的读取速度越慢,叶子节点的页面越大:} 便于最大化顺序访问.

 \rightarrow HDD: ~1MB

 \rightarrow SSD: ~10KB

→ In-Memory: ~512B

Optimal sizes can vary depending on the workload

→ Leaf Node Scans vs. Root-to-Leaf Traversals



MERGE THRESHOLD

Some DBMSs do not always merge nodes when they are half full.

→ Average occupancy rate for B+Tree nodes is 69%. 如果节点频繁地执行插入和删除操作,允许该节点是非半满的状态.

Delaying a merge operation may reduce the amount of reorganization.

It may also be better to let smaller nodes exist and then periodically rebuild entire tree.

This is why PostgreSQL calls their B+Tree a "non-balanced" B+Tree (nbtree).



VARIABLE-LENGTH KEYS

Approach #1: Pointers

- \rightarrow Store the keys as pointers to the tuple's attribute.
- → Also called <u>T-Trees</u> (in-memory DBMSs)

Approach #2: Variable-Length Nodes

- \rightarrow The size of each node in the index can vary.
- → Requires careful memory management.

Approach #3: Padding

 \rightarrow Always pad the key to be max length of the key type.

Approach #4: Key Map / Indirection 通常的实现方案.

→ Embed an array of pointers that map to the key + value list within the node.



Approach #1: Linear

- \rightarrow Scan node keys from beginning to end.
- \rightarrow Use SIMD to vectorize comparisons.





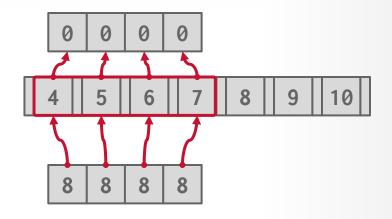
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Approach #1: Linear

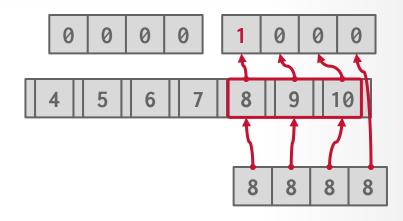
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_mm_cmpeq_epi32_mask(a, b)

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OPTIMIZATIONS

Prefix Compression

Deduplication

Suffix Truncation

Pointer Swizzling

Bulk Insert

Buffered Updates

Many more...

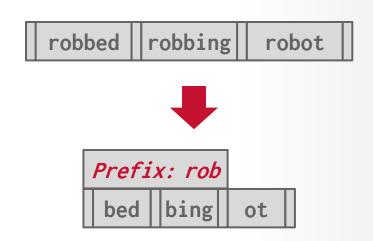


PREFIX COMPRESSION

Sorted keys in the same leaf node are likely to have the same prefix.

Instead of storing the entire key each time, extract common prefix and store only unique suffix for each key.

→ Many variations.





DEDUPLICATION

Non-unique indexes can end up storing multiple copies of the same key in leaf nodes.

The leaf node can store the key once and then maintain a "posting list" of tuples with that key (similar to what we discussed for hash tables).

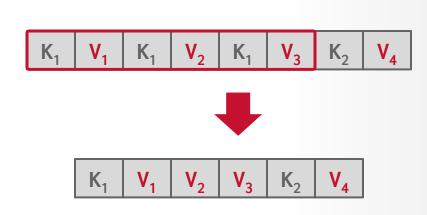




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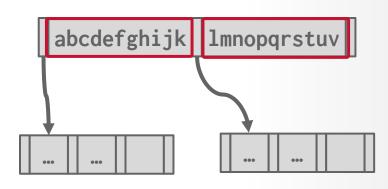


SUFFIX TRUNCATION

The keys in the inner nodes are only used to "direct traffic".

 \rightarrow We don't need the entire key.

Store a minimum prefix that is needed to correctly route probes into the index.

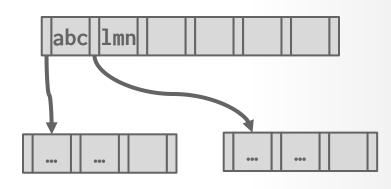


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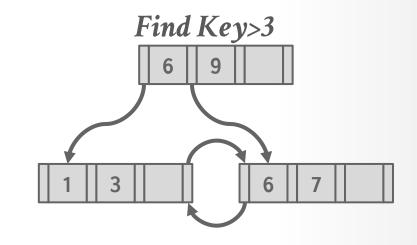
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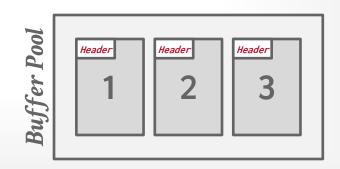


指针交换技术: 使用页地址指针替换 page id 指针.

Nodes use page ids to reference other nodes in the index. The DBMS must get the memory location from the page table during traversal.

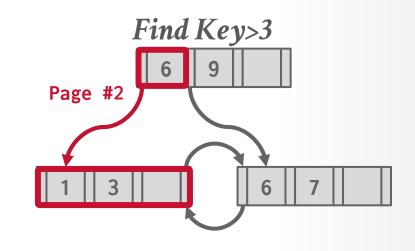
需要根据 page id 到 buffer pool 查找需要的页地址指针.

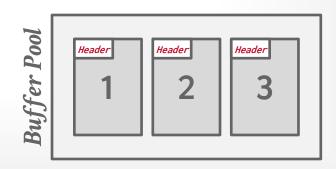






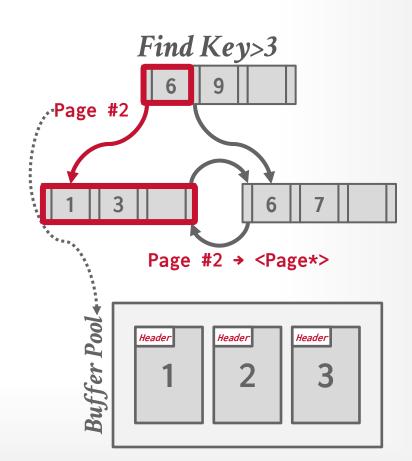
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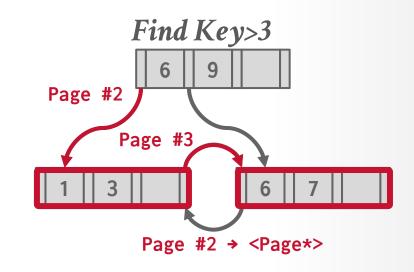


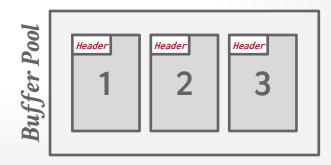
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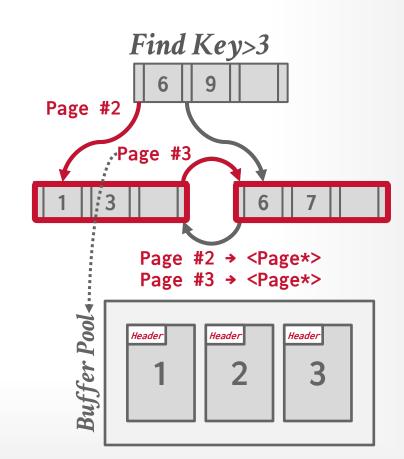
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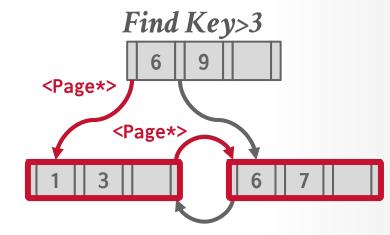
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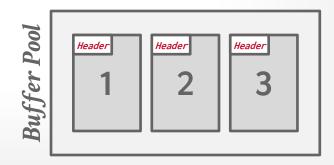


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If a page is pinned in the buffer pool, then we can store raw pointers instead of page ids. This avoids address lookups from the page table.



存储页地址指针后,就可避免额外的 buffer pool 查找操作.



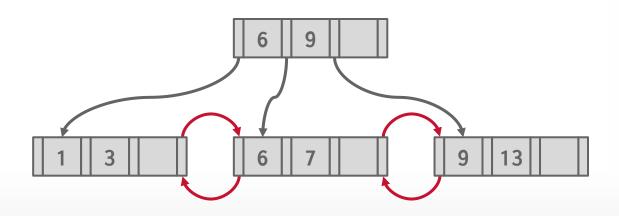


BULK INSERT

The fastest way to build a new B+Tree for an existing table is to first sort the keys and then build the index from the bottom up.

Keys: 3, 7, 9, 13, 6, 1

Sorted Keys: 1, 3, 6, 7, 9, 13





OBSERVATION

Modifying a B+tree is expensive when the DBMS has to split/merge nodes.

- \rightarrow Worst case is when DBMS reorganizes the entire tree.
- → The worker that causes a split/merge is responsible for doing the work.

What if there was a way to delay updates and then apply multiple changes together in a batch?



Instead of immediately applying updates, store changes to key/value entries in log buffers at inner nodes.

→ aka Fractal Trees / Bε-trees.

Updates cascade down to lower nodes incrementally when buffers get full.



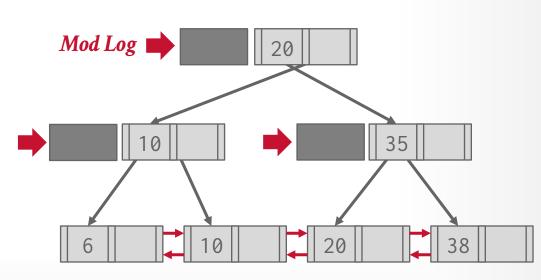












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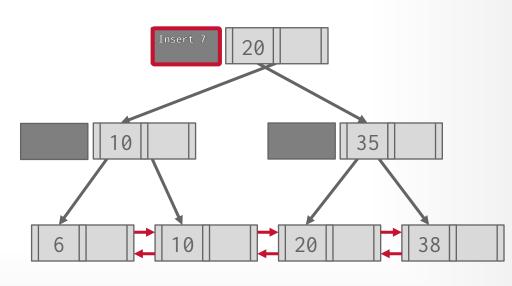








Insert 7





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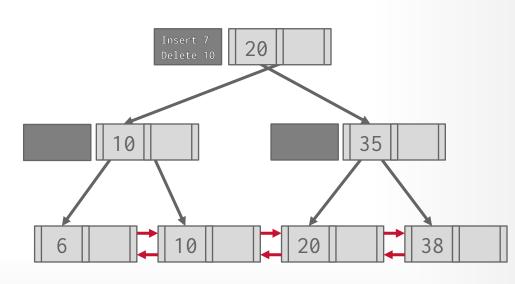








Insert 7 Delete 10





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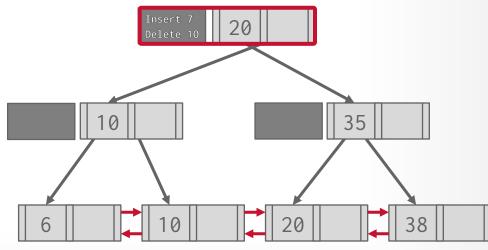












Find 10

10 已经被逻辑删除,无需向下遍历,直接返回.



0

Instead of immediately applying updates, store changes to key/value entries in log buffers at inner nodes.

Insert 40

→ aka Fractal Trees / Bε-trees.

当上层 log 已满时,向下推送应 Updates cascade down to用这个 log 修改. lower nodes incrementally when buffers get full.













Instead of immediately applying updates, store changes to key/value entries in log buffers at inner nodes.

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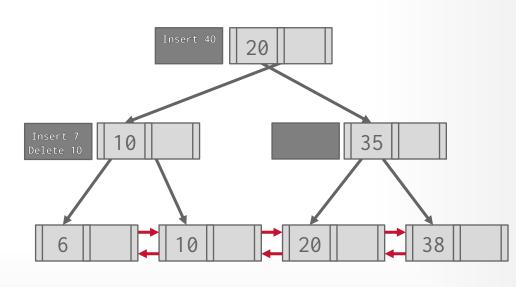








Insert 40





CONCLUSION

The venerable B+Tree is (almost) always a good choice for your DBMS.



NEXT CLASS

Bloom Filters

Tries / Radix Trees / Patricia Trees

Skip Lists

Inverted Indexes

Vector Indexes

