Announcements

- **Project 2** – posted!
  Partner selection due by 11pm Wed 10/16 *at the latest*.
- **Homework 3** – due Friday 10/18
Today

- Dictionaries
  - B-Trees
Our goal

- **Problem**: A dictionary with so much data most of it is on disk

- **Desire**: A balanced tree (logarithmic height) that is even shallower than AVL trees so that we can minimize disk accesses and exploit disk-block size

- **A key idea**: Increase the branching factor of our tree
**M-ary Search Tree**

- Build some sort of search tree with branching factor $M$:
  - Have an array of sorted children (`Node[]`)
  - Choose $M$ to fit snugly into a disk block (1 access for array)

Perfect tree of height $h$ has \((M^{h+1}-1)/(M-1)\) nodes (textbook, page 4)

What is the **height** of this tree?
What is the worst case running time of **find**?
M-ary Search Tree

- # hops for \textit{find}?
  - If we have a balanced M-ary tree:
  - Approx. $\log_M n$ hops instead of $\log_2 n$ (for balanced BST)
  - Example: $M = 256 (=2^8)$ and $n = 2^{40}$ that’s 5 hops instead of 40 hops
- Sounds good, but how do we decide which branch to take?
  - Binary tree: Less than/greater than node value?
  - M-ary: In range 1? In range 2? In range 3?... In range $M$?
- Runtime of \textit{find} if balanced: $O(\log_2 M \log_M n)$
  - $\log_M n$ is the height we traverse.
  - $\log_2 M$: At each step, find the correct child branch to take using binary search among the M options!
Questions about M-ary search trees

- What should the order property be?
- How would you rebalance (ideally without more disk accesses)?
- Storing real data at inner-nodes (like we do in a BST) seems kind of wasteful…
  - To access the node, will have to load the data from disk, even though most of the time we won’t use it!!
  - Usually we are just “passing through” a node on the way to the value we are actually looking for.

So let’s use the branching-factor idea, but for a different kind of balanced tree:
- **Not** a binary search tree
- But still logarithmic height for any $M > 2$
**B+ Trees (we and the book say “B Trees”)**

- Two types of nodes: **internal nodes** & **leaves**
- Each **internal node** has room for up to $M-1$ keys and $M$ children
  - No other data; **all data at the leaves!**
- **Order property:**
  Subtree **between** keys $a$ and $b$
  contains only data that is $\geq a$ and $< b$ (notice the $\geq$)
- **Leaf** nodes have up to $L$ sorted data items
- As usual, we’ll ignore the “along for the ride” data in our examples
  - Remember no data at non-leaves

![B+ Tree Diagram]

Remember:
- **Leaves** store data
- **Internal nodes** are ‘signposts’
Find

- Different from BST in that we *don’t store data at internal nodes*

- But **find** is still an easy root-to-leaf recursive algorithm
  - At each internal node do binary search on (up to) M-1 keys to find the branch to take
  - At the leaf do binary search on the (up to) L data items

- But to get logarithmic running time, we need a balance condition…
Structure Properties

- **Root** (special case)
  - If tree has \( \leq L \) items, root is a leaf (occurs when starting up, otherwise unusual)
  - Else has between 2 and \( M \) children

- **Internal nodes**
  - Have between \( \lceil M/2 \rceil \) and \( M \) children, i.e., at least half full

- **Leaf nodes**
  - All leaves at the same depth
  - Have between \( \lceil L/2 \rceil \) and \( L \) data items, i.e., at least half full

Any \( M > 2 \) and \( L \) will work, but:

We pick \( M \) and \( L \) **based on disk-block size**
Example

Suppose $M=4$ (max # pointers in internal node) and $L=5$ (max # data items at leaf)

- All internal nodes have at least 2 children
- All leaves have at least 3 data items (only showing keys)
- All leaves at same depth

Note on notation: Inner nodes drawn horizontally, leaves vertically to distinguish. Include empty cells
Balanced enough

Not hard to show height $h$ is logarithmic in number of data items $n$

- Let $M > 2$ (if $M = 2$, then a list tree is legal – no good!)

- Because all nodes are at least half full (except root may have only 2 children) and all leaves are at the same level, the minimum number of data items $n$ for a height $h > 0$ tree is...

$$n \geq 2 \left\lceil \frac{M}{2} \right\rceil^{h-1} \left\lfloor \frac{L}{2} \right\rfloor$$

minimum number of leaves
minimum data per leaf
Example: B-Tree vs. AVL Tree

Suppose we have 100,000,000 items

- Maximum height of AVL tree?

- Maximum height of B tree with $M=128$ and $L=64$?
Example: B-Tree vs. AVL Tree

Suppose we have 100,000,000 items

• **Maximum height of AVL tree?**
  – Recall $S(h) = 1 + S(h-1) + S(h-2)$
  – lecture7.xlsx reports: 37

• **Maximum height of B tree with $M=128$ and $L=64$?**
  – Recall $2 \left\lceil \frac{M}{2} \right\rceil^{h-1} \left\lceil \frac{L}{2} \right\rceil$
  – lecture9.xlsx reports: 5 (and 4 is more likely)
  – Also not difficult to compute via algebra
Disk Friendliness

What makes B trees so disk friendly?

• Many keys stored in one internal node
  – All brought into memory in one disk access
    • IF we pick $M$ wisely
      – Makes the binary search over $M$-1 keys totally worth it
        (insignificant compared to disk access times)

• Internal nodes contain only keys
  – Any find wants only one data item; wasteful to load
    unnecessary items with internal nodes
  – So only bring one leaf of data items into memory
  – Data-item size doesn’t affect what $M$ is
Maintaining balance

• So this seems like a great data structure (and it is)

• But we haven’t implemented the other dictionary operations yet
  – insert
  – delete

• As with AVL trees, the hard part is maintaining structure properties
  – Example: for insert, there might not be room at the correct leaf
Building a B-Tree (insertions)

The empty B-Tree (the root will be a leaf at the beginning)

$M = 3 \quad L = 3$

Just need to keep data in order
When we ‘overflow’ a leaf, we split it into 2 leaves
• Parent gains another child
• If there is no parent (like here), we create one; how do we pick the key shown in it?
  • Smallest element in right tree
$M = 3 \quad L = 3$

Split leaf again

Insert(15)
Split the internal node (in this case, the root)

What now?

\[ M = 3 \quad L = 3 \]

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Note: Given the leaves and the structure of the tree, we can always fill in internal node keys;
‘the smallest value in my right branch’
**Insertion Algorithm**

1. Insert the data in its leaf in sorted order

2. If the leaf now has \( L+1 \) items, *overflow!*
   - Split the leaf into two nodes:
     - Original leaf with \( \lceil (L+1)/2 \rceil \) smaller items
     - New leaf with \( \lfloor (L+1)/2 \rfloor = \lceil L/2 \rceil \) larger items
   - Attach the new child to the parent
     - Adding new key to parent in sorted order

3. If step (2) caused the parent to have \( M+1 \) children, *overflow!*
   - ...
Insertion algorithm continued

3. If an internal node has $M+1$ children
   - Split the node into two nodes
     • Original node with $\left\lceil \frac{(M+1)}{2} \right\rceil$ smaller items
     • New node with $\left\lfloor \frac{(M+1)}{2} \right\rfloor = \left\lceil \frac{M}{2} \right\rceil$ larger items
   - Attach the new child to the parent
     • Adding new key to parent in sorted order

Splitting at a node (step 3) could make the parent overflow too
   - So repeat step 3 up the tree until a node doesn’t overflow
   - If the root overflows, make a new root with two children
     • This is the only case that increases the tree height
Efficiency of insert

- Find correct leaf: $O(\log_2 M \log_M n)$
- Insert in leaf: $O(L)$
- Split leaf: $O(L)$
- Split parents all the way up to root: $O(M \log_M n)$

Total: $O(L + M \log_M n)$

But it’s not that bad:
- Splits are not that common (only required when a node is FULL, $M$ and $L$ are likely to be large, and after a split, will be half empty)
- Splitting the root is extremely rare
- Remember disk accesses were the name of the game: $O(\log_M n)$
B-Tree Reminder: Another dictionary

• Before we talk about deletion, just keep in mind overall idea:
  – Large data sets won’t fit entirely in memory
  – Disk access is slow
  – Set up tree so we do one disk access per node in tree
  – Then our goal is to keep tree shallow as possible
  – Balanced binary tree is a good start, but we can do better than $\log_2 n$ height
  – In an M-ary tree, height drops to $\log_M n$
    • Why not set M really really high? Height 1 tree…
    • Instead, set M so that each node fits in a disk block
And Now for Deletion…

Delete(32)

Easy case: Leaf still has enough data; just remove

\[ M = 3 \quad L = 3 \]
Delete(15)

Is there a problem?

M = 3  L = 3

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$M = 3 \quad L = 3$

Adopt from neighbor!

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Delete(16)

Is there a problem?

\( M = 3 \quad L = 3 \)
$M = 3 \quad L = 3$

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Merge with neighbor!

But hey, Is there a problem?
Delete(14)

\[ M = 3 \quad L = 3 \]

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Delete(18)

\[ M = 3 \quad L = 3 \]

Is there a problem?

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Merge with neighbor!

But hey, is there a problem?
Merge with neighbor!

But hey, Is there a problem?
$M = 3 \quad L = 3$

Pull out the root!
Deletion Algorithm, part 1

1. Remove the data from its leaf

2. If the leaf now has $\left\lceil L/2 \right\rceil - 1$, underflow!
   - If a neighbor has $> \left\lceil L/2 \right\rceil$ items, adopt and update parent
   - Else merge node with neighbor
     • Guaranteed to have a legal number of items
     • Parent now has one less node

3. If step (2) caused the parent to have $\left\lceil M/2 \right\rceil - 1$ children, underflow!
   - ...

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Deletion algorithm (continued)

3. If an internal node has $\lceil M/2 \rceil - 1$ children
   - If a neighbor has $> \lceil M/2 \rceil$ items, adopt and update parent
   - Else merge node with neighbor
     • Guaranteed to have a legal number of items
     • Parent now has one less node, may need to continue up the tree

If we merge all the way up through the root, that’s fine unless the root went from 2 children to 1
   - In that case, delete the root and make child the root
   - This is the only case that decreases tree height
Worst-Case Efficiency of Delete

- Find correct leaf: $O(\log_2 M \log_M n)$
- Remove from leaf: $O(L)$
- Adopt from or merge with neighbor: $O(L)$
- Adopt or merge all the way up to root: $O(M \log_M n)$

Total: $O(L + M \log_M n)$

But it’s not that bad:
- Merges are not that common
- Disk accesses are the name of the game: $O(\log_M n)$
**Insert vs delete comparison**

**Insert**
- Find correct leaf: \(O(\log_2 M \log_M n)\)
- Insert in leaf: \(O(L)\)
- Split leaf: \(O(L)\)
- Split parents all the way up to root: \(O(M \log_M n)\)

**Delete**
- Find correct leaf: \(O(\log_2 M \log_M n)\)
- Remove from leaf: \(O(L)\)
- Adopt/merge from/with neighbor leaf: \(O(L)\)
- Adopt or merge all the way up to root: \(O(M \log_M n)\)
**B Trees in Java?**

For most of our data structures, we have encouraged writing high-level, reusable code, such as in Java with generics.

It is worthwhile to know enough about “how Java works” to understand why this is probably a bad idea for B trees:

- If you just want a balanced tree with worst-case logarithmic operations, no problem
  - If $M=3$, this is called a 2-3 tree
  - If $M=4$, this is called a 2-3-4 tree
- Assuming our goal is efficient number of disk accesses
  - Java has many advantages, but it wasn’t designed for this

The key issue is extra *levels of indirection*…
Naïve approach in Java

Even if we assume data items have `int` keys, you cannot get the data representation you want for “really big data”

```java
interface Keyed {
    int getKey();
}

class BTreeNode<E implements Keyed> {
    static final int M = 128;
    int[] keys = new int[M-1];
    BTreeNode<E>[] children = new BTreeNode[M];
    int numChildren = 0;
    ...
}

class BTreeLeaf<E implements Keyed> {
    static final int L = 32;
    E[] data = (E[]) new Object[L];
    int numItems = 0;
    ...
}
```
What that looks like in Java

BTreeNode (Interior node)

keys
children
numChildren: 70

[12, 20, 45]
(array of M-1 ints)

BTreeLeaf (Leaf node)

data
numItems: 20

Note: data objects not in contiguous memory.
The moral

• The whole idea behind B trees was to keep related data in contiguous memory

• But that’s “the best you can do” in Java
  – Again, the advantage is generic, reusable code
  – But for your performance-critical web-index, not the way to implement your B-Tree for terabytes of data

• Other languages (e.g., C++) have better support for “flattening objects into arrays”

• Levels of indirection matter!
Conclusion: Balanced Trees

- **Balanced** trees make good dictionaries because they guarantee logarithmic-time **find**, **insert**, and **delete**
  - Essential and beautiful computer science
  - But only if you can maintain balance within the time bound

- **AVL trees** maintain balance by tracking height and allowing all children to differ in height by at most 1

- **B trees** maintain balance by keeping nodes at least half full and all leaves at same height

- Other great balanced trees (see text; worth knowing they exist)
  - **Red-black trees**: all leaves have depth within a factor of 2
  - **Splay trees**: self-adjusting; amortized guarantee; no extra space for height information