CSE 332: Data Abstractions

Lecture 9: B Trees

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Winter 2013

## Announcements

- **Project 2** – posted!
  Partner selection due by 11pm Wed 1/30 *at the latest*.
- **Homework 3**– due Friday Feb 1st posted later today



## Today

- Dictionaries
  - B-Trees



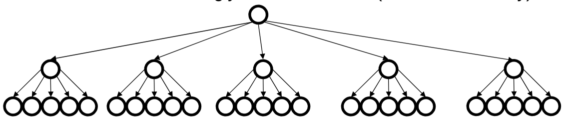
## Our goal

- **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)

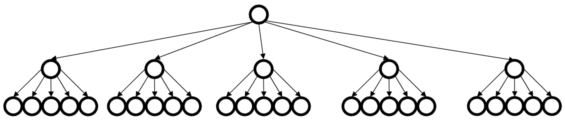


Perfect tree of height *h* has $(M^{h+1}-1)/(M-1)$ nodes (textbook, page 4)

What is the **height** of this tree?
What is the worst case running time of **find**?



## M-ary Search Tree



- # hops for **`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 **`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*

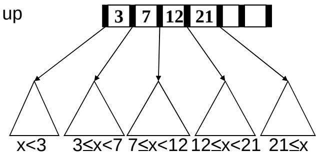
- What should the **order** property be?
- How would you **rebalance** (ideally without more disk accesses)?
- Storing **real data** at inner-nodes (like we do in a BST) seems kind of wasteful…
  - To access the node, will have to load the **data** from disk, *even though most of the time we won't use 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")*

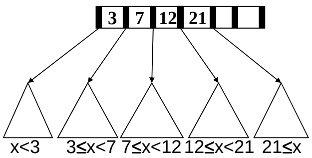
- Two types of nodes: **internal nodes** & **leaves**
- Each **internal node** has room for up to *M-1* keys and *M* children
  - No other data; all data at the leaves!
- Order property:
  Subtree **between** keys *a* and *b* contains only data that is $\geq a$ and $< b$ (notice the $\geq$)
- **Leaf** 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




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:

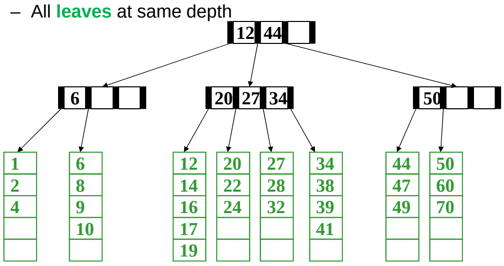
We pick M and L ***based on disk-block size***



## *Example*

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

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






## *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…

$$n \geq \underbrace{2\lceil M/2 \rceil^{h-1}}_{\text{minimum number of leaves}} \underbrace{\lceil L/2 \rceil}_{\text{minimum data per leaf}}$$

## *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 $(2 \lceil M/2 \rceil^{h-1}) \lceil L/2 \rceil$
  – 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

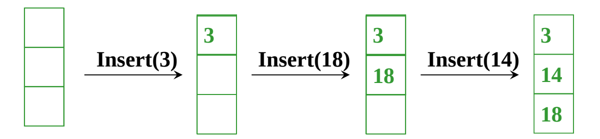


## *Maintaining balance*

- 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)*



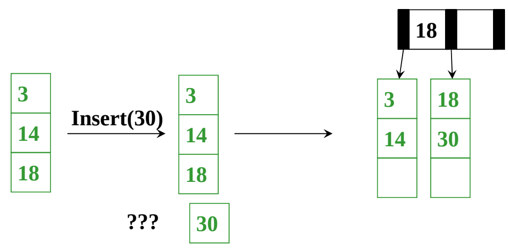

**The empty B-Tree (the root will be a leaf at the beginning)**

**Just need to keep data in order**

***M* = 3 *L* = 3**

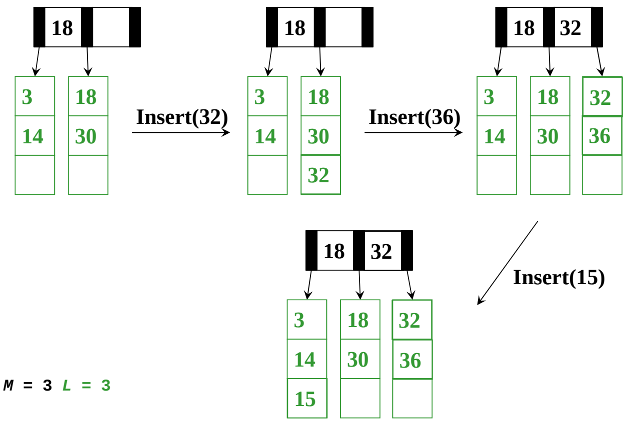


***M* = 3 *L* = 3**



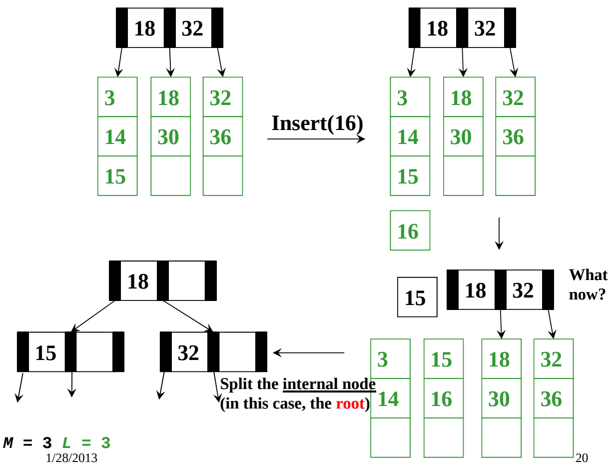

**•When we 'overflow' a leaf, we split it into 2 leaves**
**•Parent gains another child**
**•If there is no parent (like here), we create one; how do we pick the key shown in it?**
**•Smallest element in right tree**

## Split leaf again



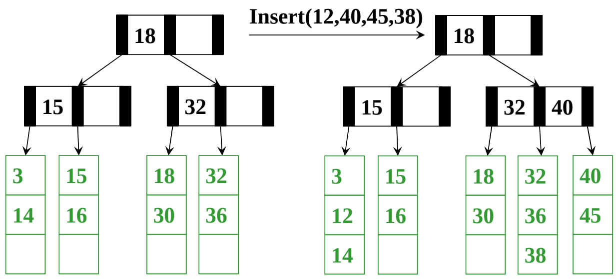

$M = 3$ $L = 3$






$M = 3$ $L = 3$






$M = 3$ $L = 3$

**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 $\lceil (M+1)/2 \rceil$ smaller items
     - New **node** with $\lfloor (M+1)/2 \rfloor = \lceil M/2 \rceil$ 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: $O(\log_M n)$

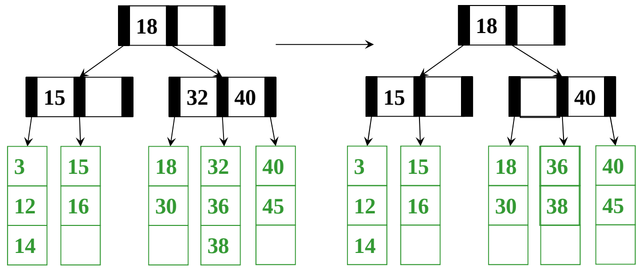
## *B-Tree Reminder: Another dictionary*

- 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)**

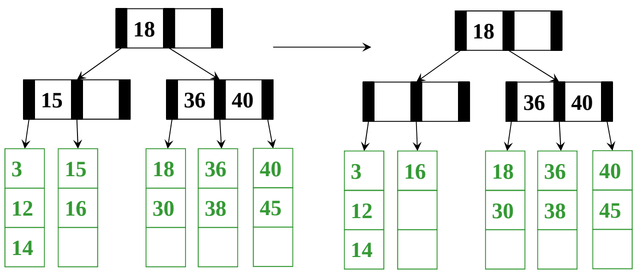



**Easy case: Leaf still has enough data; just remove**

`M = 3 L = 3`



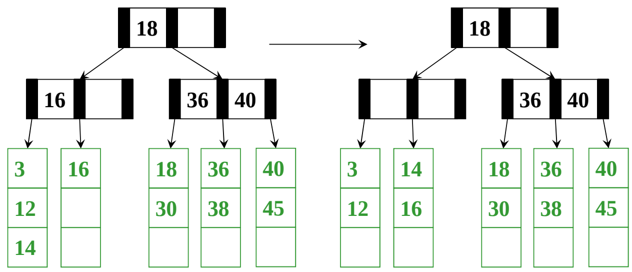
**Delete(15)**




Is there a problem?

`M = 3 L = 3`



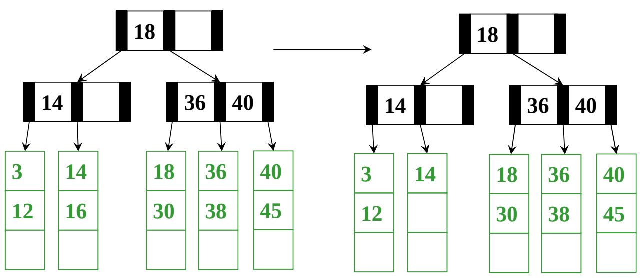



Adopt from neighbor!

`M = 3 L = 3`



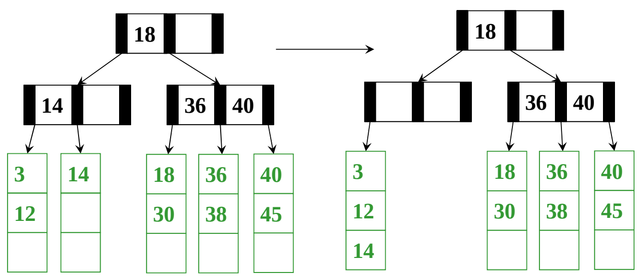
**Delete(16)**




Is there a problem?

`M = 3 L = 3`

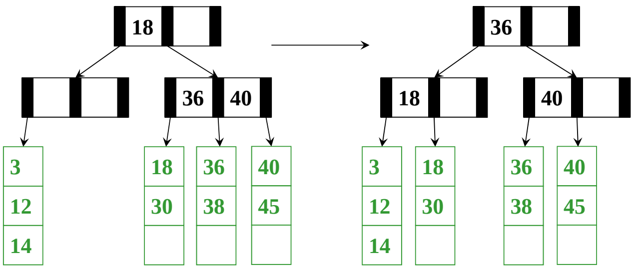





Merge with neighbor!

`M = 3 L = 3`

But hey, Is there a problem?

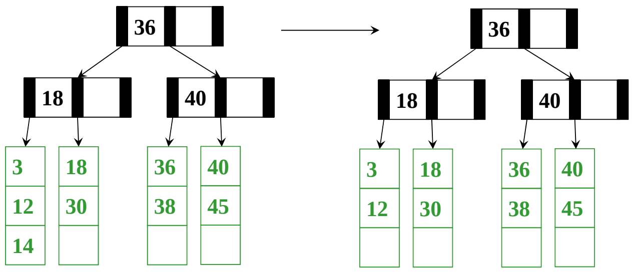



*M* = 3 *L* = 3

Adopt from neighbor!



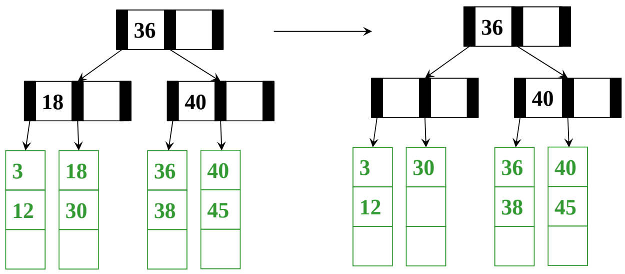
**Delete(14)**




*M* = 3 *L* = 3



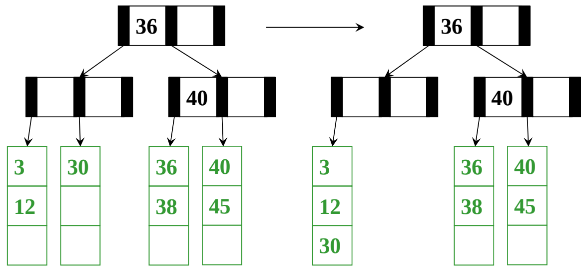
**Delete(18)**




*M* = 3 *L* = 3

Is there a problem?



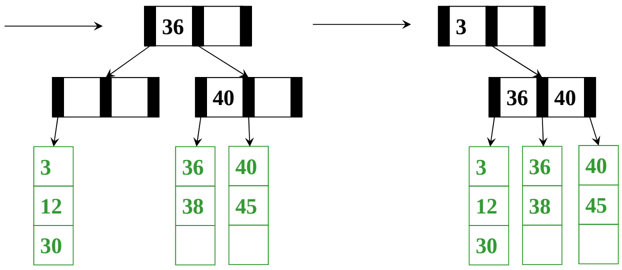



*M* = 3 *L* = 3

Merge with neighbor!

But hey, Is there a problem?



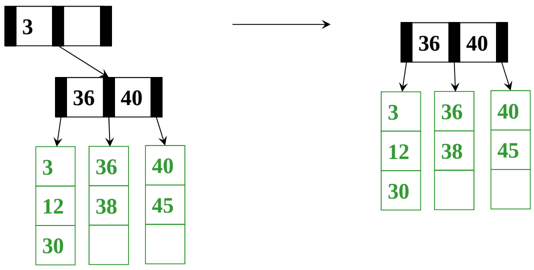



*M* = 3 *L* = 3

Merge with neighbor!

But hey, Is there a problem?






*M* = 3 *L* = 3

Pull out the root!

## Deletion Algorithm, part 1

1. Remove the data from its leaf

2. If the leaf now has $\lceil$`L/2`$\rceil$ `- 1`, *underflow!*
   – If a neighbor has > $\lceil$`L/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

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



## 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*…



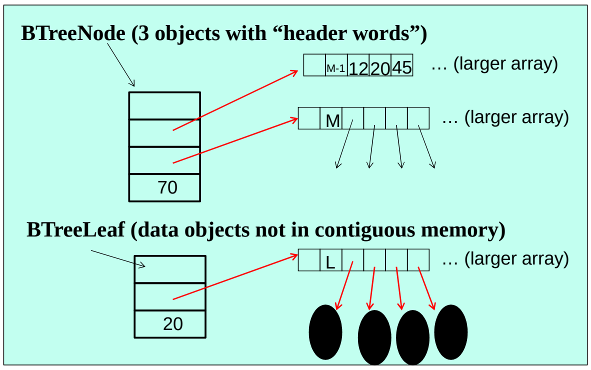
## Naïve approach

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

```
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

**All the red references indicate unnecessary indirection**






## 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