



## MongoDB Operations Rapid Start Training



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# MongoDB Operations Rapid Start Training

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# 1 Introduction

*Warm Up (page 3)* Activities to get the class started

*MongoDB - The Company (page 4)* About MongoDB, the company

*MongoDB Overview (page 4)* MongoDB philosophy and features

*MongoDB Stores Documents (page 7)* The structure of data in MongoDB

*MongoDB Data Types (page 10)* An overview of BSON data types in MongoDB

*Lab: Installing and Configuring MongoDB (page 12)* Install MongoDB and experiment with a few operations.

## 1.1 Warm Up

### Introductions

- Who am I?
- My role at MongoDB
- My background and prior experience

### Getting to Know You

- Who are you?
- What role do you play in your organization?
- What is your background?
- Do you have prior experience with MongoDB?

### MongoDB Experience

- Who has never used MongoDB?
- Who has some experience?
- Who has worked with production MongoDB deployments?
- Who is more of a developer?
- Who is more of an operations person?

## 1.2 MongoDB - The Company

### 10gen

- MongoDB was initially created in 2008 as part of a hosted application stack.
- The company was originally called 10gen.
- As part of their overarching plan to create the 10gen platform, the company built a database.
- Suddenly everybody said: “I like that! Give me that database!”

### Origin of MongoDB

- 10gen became a database company.
- In 2013, the company rebranded as MongoDB, Inc.
- The founders have other startups to their credit: DoubleClick, ShopWiki, Gilt.
- The motivation for the database came from observing the following pattern with application development.
  - The user base grows.
  - The associated body of data grows.
  - Eventually the application outgrows the database.
  - Meeting performance requirements becomes difficult.

## 1.3 MongoDB Overview

### Learning Objectives

Upon completing this module students should understand:

- MongoDB vs. relational databases and key/value stores
- Vertical vs. horizontal scaling
- The role of MongoDB in the development stack
- The structure of documents in MongoDB
- Array fields
- Embedded documents
- Fundamentals of BSON

## MongoDB is a Document Database

Documents are associative arrays like:

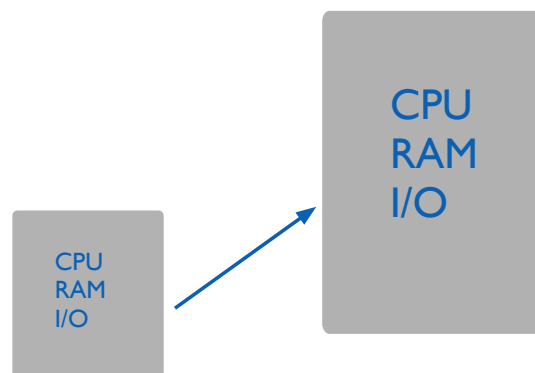
- Python dictionaries
- Ruby hashes
- PHP arrays
- JSON objects

## An Example MongoDB Document

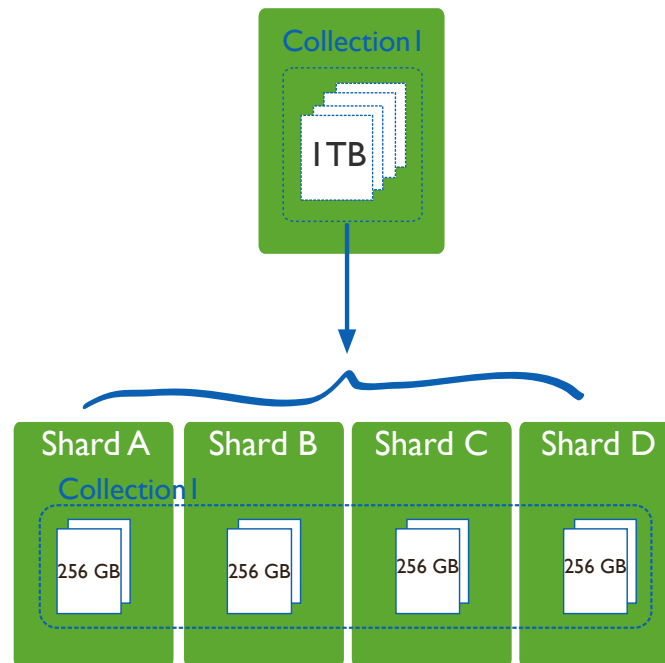
A MongoDB document expressed using JSON syntax.

```
{
  "_id" : "/apple-reports-second-quarter-revenue",
  "headline" : "Apple Reported Second Quarter Revenue Today",
  "date" : ISODate("2015-03-24T22:35:21.908Z"),
  "author" : {
    "name" : "Bob Walker",
    "title" : "Lead Business Editor"
  },
  "copy" : "Apple beat Wall St expectations by reporting ...",
  "tags" : [
    "AAPL", "Earnings", "Cupertino"
  ],
  "comments" : [
    { "name" : "Frank", "comment" : "Great Story" },
    { "name" : "Wendy", "comment" : "When can I buy an Apple Watch?" }
  ]
}
```

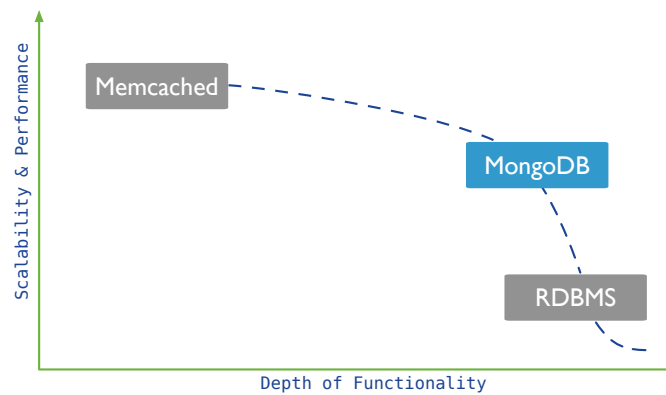
## Vertical Scaling



## Scaling with MongoDB

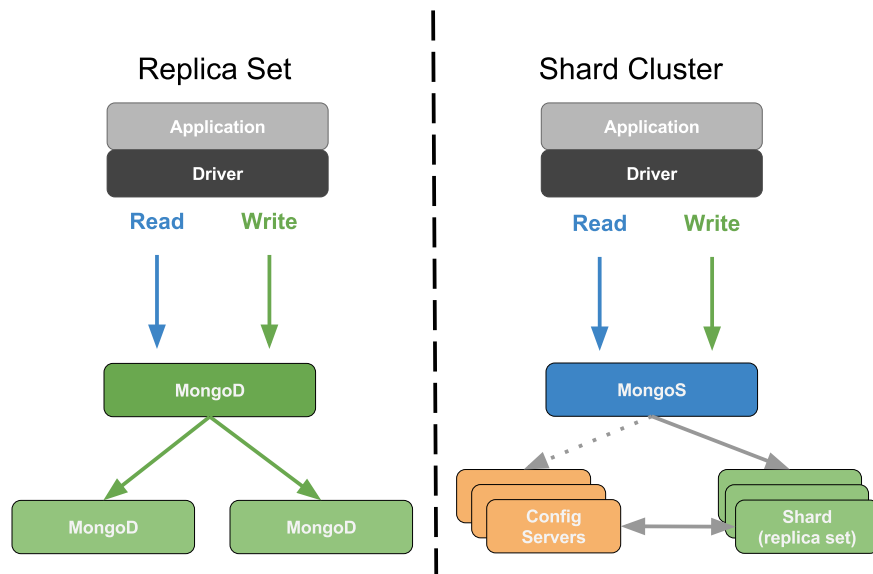


## Database Landscape





## MongoDB Deployment Models



## 1.4 MongoDB Stores Documents

### Learning Objectives

Upon completing this module, students should understand:

- JSON
- BSON basics
- That documents are organized into collections

### JSON

- JavaScript Object Notation
- Objects are associative arrays.
- They are composed of key-value pairs.

## A Simple JSON Object

```
{
  "firstname" : "Thomas",
  "lastname"  : "Smith",
  "age"       : 29
}
```

## JSON Keys and Values

- Keys must be strings.
- Values may be any of the following:
  - string (e.g., “Thomas”)
  - number (e.g., 29, 3.7)
  - true / false
  - null
  - array (e.g., [88.5, 91.3, 67.1])
  - object
- More detail at [json.org](http://json.org)<sup>1</sup>.

## Example Field Values

```
{
  "headline" : "Apple Reported Second Quarter Revenue Today",
  "date"     : ISODate("2015-03-24T22:35:21.908Z"),
  "views"    : 1234,
  "author"   : {
    "name"    : "Bob Walker",
    "title"   : "Lead Business Editor"
  },
  "tags"     : [
    "AAPL",
    23,
    { "name" : "city", "value" : "Cupertino" },
    { "name" : "stockPrice", "value": NumberDecimal("143.51") },
    [ "Electronics", "Computers" ]
  ]
}
```

---

<sup>1</sup><http://json.org/>

## BSON

- MongoDB stores data as Binary JSON (BSON).
- MongoDB drivers send and receive data in this format.
- They map BSON to native data structures.
- BSON provides support for all JSON data types and several others.
- BSON was designed to be lightweight, traversable and efficient.
- See [bsonspec.org](http://bsonspec.org)<sup>2</sup>.

### BSON Hello World

```
// JSON
{ "hello" : "world" }

// BSON
"\x16\x00\x00\x00\x02hello\x00
\x06\x00\x00\x00world\x00\x00"
```

### A More Complex BSON Example

```
// JSON
{ "BSON" : [ "awesome", 5.05, 1986 ] }

// BSON
"\x3b\x00\x00\x00\x04BSON\x00\x26\x00
\x00\x00\x020\x00\x08\x00\x00
\x00awesome\x00\x011\x00\x33\x33\x33\x33\x33
\x14\x40\x102\x00\xc2\x07\x00\x00
\x00\x00"
```

## Documents, Collections, and Databases

- Documents are stored in collections.
- Collections are contained in a database.
- Example:
  - Database: products
  - Collections: books, movies, music
- Each database-collection combination defines a namespace.
  - products.books
  - products.movies
  - products.music

---

<sup>2</sup><http://bsonspec.org/#/specification>

## The `_id` Field

- All documents must have an `_id` field.
- The `_id` is immutable.
- If no `_id` is specified when a document is inserted, MongoDB will add the `_id` field.
- MongoDB assigns a unique ObjectId as the value of `_id`.
- Most drivers will actually create the ObjectId if no `_id` is specified.
- The `_id` field is unique to a collection (namespace).

## 1.5 MongoDB Data Types

### Learning Objectives

By the end of this module, students should understand:

- What data types MongoDB supports
- Special consideration for some BSON types

### What is BSON?

BSON is a binary serialization of JSON, used to store documents and make remote procedure calls in MongoDB. For more in-depth coverage of BSON, specifically refer to [bsonspec.org](http://bsonspec.org)<sup>3</sup>

---

**Note:** All official MongoDB drivers map BSON to native types and data structures

---

### BSON types

MongoDB supports a wide range of BSON types. Each data type has a corresponding number and string alias that can be used with the `$type` operator to query documents by BSON type.

**Double** 1 “double”

**String** 2 “string”

**Object** 3 “object”

**Array** 4 “array”

**Binary data** 5 “binData”

**ObjectId** 7 “objectId”

**Boolean** 8 “bool”

**Date** 9 “date”

**Null** 10 “null”

---

<sup>3</sup><http://bsonspec.org/>

## BSON types continued

**Regular Expression** 11 “regex”

**JavaScript** 13 “javascript”

**JavaScript (w/ scope)** 15 “javascriptWithScope”

**32-bit integer** 16 “int”

**Timestamp** 17 “timestamp”

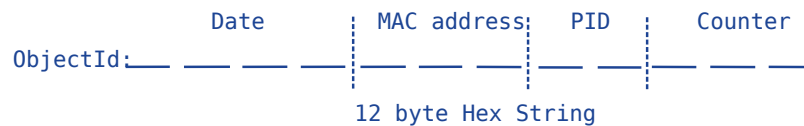
**64-bit integer** 18 “long”

**Decimal128** 19 “decimal”

**Min key** -1 “minKey”

**Max key** 127 “maxKey”

## ObjectId



```
> ObjectId()  
ObjectId("58dc309ce3f39998099d6275")
```

## Timestamps

BSON has a special timestamp type for *internal* MongoDB use and is **not** associated with the regular Date type.

## Date

BSON Date is a 64-bit integer that represents the number of milliseconds since the Unix epoch (Jan 1, 1970). This results in a representable date range of about 290 million years into the past and future.

- Official BSON spec refers to the BSON Date type as UTC datetime
- Signed data type. Negative values represent dates before 1970.

```
var today = ISODate() // using the ISODate constructor
```

## Decimal

In MongoDB 3.4, support was added for 128-bit decimals.

- The **decimal** BSON type uses the decimal128 decimal-based floating-point numbering format.
- This supports 34 significant digits and an exponent range of **-6143** to **+6144**.
- Intended for applications that handle monetary and scientific data that requires exact precision.

## How to use Decimal

For specific information about how your preferred driver supports decimal128, click [here](#)<sup>4</sup>.

In the Mongo shell, we use the *NumberDecimal()* constructor.

- Can be created with a string argument or a double
- Stored in the database as *NumberDecimal*("999.4999")

```
> NumberDecimal("999.4999")
NumberDecimal("999.4999")
> NumberDecimal(999.4999)
NumberDecimal("999.4999")
```

## Decimal Considerations

- If upgrading an existing database to use **decimal128**, it is recommended a new field be added to reflect the new type. The old field may be deleted after verifying consistency
- If any fields contain **decimal128** data, they will not be compatible with previous versions of MongoDB. There is no support for downgrading datafiles containing decimals
- **decimal** types are not strictly equal to their **double** representations, so use the **NumberDecimal** constructor in queries.

## 1.6 Lab: Installing and Configuring MongoDB

### Learning Objectives

Upon completing this exercise students should understand:

- How MongoDB is distributed
- How to install MongoDB
- Configuration steps for setting up a simple MongoDB deployment
- How to run MongoDB
- How to run the Mongo shell

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<sup>4</sup><https://docs.mongodb.com/ecosystem/drivers/>

## Production Releases

64-bit production releases of MongoDB are available for the following platforms.

- Windows
- OSX
- Linux
- Solaris

## Installing MongoDB

- Visit <https://docs.mongodb.com/manual/installation/>.
- Please install the Enterprise version of MongoDB.
- Click on the appropriate link, such as “Install on Windows” or “Install on OS X” and follow the instructions.
- Versions:
  - Even-numbered builds are production releases, e.g., 2.4.x, 2.6.x.
  - Odd-numbers indicate development releases, e.g., 2.5.x, 2.7.x.

## Linux Setup

```
PATH=$PATH:<path to mongodb>/bin
```

```
sudo mkdir -p /data/db
```

```
sudo chmod -R 744 /data/db
```

```
sudo chown -R `whoami` /data/db
```

## Install on Windows

- Download and run the .msi Windows installer from [mongodb.org/downloads](http://mongodb.org/downloads).
- By default, binaries will be placed in the following directory.

```
C:\Program Files\MongoDB\Server\<VERSION>\bin
```
- It is helpful to add the location of the MongoDB binaries to your path.
- To do this, from “System Properties” select “Advanced” then “Environment Variables”

## Create a Data Directory on Windows

- Ensure there is a directory for your MongoDB data files.
- The default location is `\data\db`.
- Create a data directory with a command such as the following.

```
md \data\db
```

## Launch a mongod

Explore the `mongod` command.

```
<path to mongodb>/bin/mongod --help
```

Launch a `mongod` with the MMAPv1 storage engine:

```
<path to mongodb>/bin/mongod --storageEngine mmapv1
```

Alternatively, launch with the WiredTiger storage engine (default).

```
<path to mongodb>/bin/mongod
```

Specify an alternate path for data files using the `--dbpath` option. (Make sure the directory already exists.) E.g.,

```
<path to mongodb>/bin/mongod --dbpath /test/mongodb/data/wt
```

## The MMAPv1 Data Directory

```
ls /data/db
```

- The `mongod.lock` file
  - This prevents multiple `mongods` from using the same data directory simultaneously.
  - Each MongoDB database directory has one `.lock`.
  - The lock file contains the process id of the `mongod` that is using the directory.
- Data files
  - The names of the files correspond to available databases.
  - A single database may have multiple files.



## The WiredTiger Data Directory

```
ls /data/db
```

- The mongod.lock file
  - Used in the same way as MMAPv1.
- Data files
  - Each collection and index stored in its own file.
  - Will fail to start if MMAPv1 files found

## Import Exercise Data

```
unzip usb_drive.zip
```

```
cd usb_drive
```

```
mongoimport -d sample -c tweets twitter.json
```

```
mongoimport -d sample -c zips zips.json
```

```
mongoimport -d sample -c grades grades.json
```

```
cd dump
```

```
mongorestore -d sample city
```

```
mongorestore -d sample digg
```

**Note:** If there is an error importing data directly from a USB drive, please copy the sampledata.zip file to your local computer first.

## Launch a Mongo Shell

Open another command shell. Then type the following to start the Mongo shell.

```
mongo
```

Display available commands.

help

## Explore Databases

Display available databases.

```
show dbs
```

To use a particular database we can type the following.

```
use <database_name>
```

```
db
```

## Exploring Collections

```
show collections
```

```
db.<COLLECTION>.help()
```

```
db.<COLLECTION>.find()
```

## Admin Commands

- There are also a number of admin commands at our disposal.
- The following will shut down the mongod we are connected to through the Mongo shell.
- You can also just kill with Ctrl-C in the shell window from which you launched the mongod.

```
db.adminCommand( { shutdown : 1 } )
```

- Confirm that the mongod process has indeed stopped.
- Once you have, please restart it.

## 2 CRUD

*Creating and Deleting Documents* (page 17) Inserting documents into collections, deleting documents, and dropping collections

*Reading Documents* (page 22) The find() command, query documents, dot notation, and cursors

*Query Operators* (page 29) MongoDB query operators including: comparison, logical, element, and array operators

*Updating Documents* (page 33) Using update methods and associated operators to mutate existing documents

### 2.1 Creating and Deleting Documents

#### Learning Objectives

Upon completing this module students should understand:

- How to insert documents into MongoDB collections.
- `_id` fields:
- How to delete documents from a collection
- How to remove a collection from a database
- How to remove a database from a MongoDB deployment

#### Creating New Documents

- Create documents using `insertOne()` and `insertMany()`.
- For example:

```
// Specify the collection name
db.<COLLECTION>.insertOne( { "name" : "Mongo" } )

// For example
db.people.insertOne( { "name" : "Mongo" } )
```

#### Example: Inserting a Document

Experiment with the following commands.

```
use sample

db.movies.insertOne( { "title" : "Jaws" } )

db.movies.find()
```

## Implicit `_id` Assignment

- We did not specify an `_id` in the document we inserted.
- If you do not assign one, MongoDB will create one automatically.
- The value will be of type `ObjectId`.

## Example: Assigning `_ids`

Experiment with the following commands.

```
db.movies.insertOne( { "_id" : "Jaws", "year" : 1975 } )
db.movies.find()
```

## Inserts will fail if...

- There is already a document in the collection with that `_id`.
- You try to assign an array to the `_id`.
- The argument is not a well-formed document.

## Example: Inserts will fail if...

```
// fails because _id can't have an array value
db.movies.insertOne( { "_id" : [ "Star Wars",
                                "The Empire Strikes Back",
                                "Return of the Jedi" ] } )

// succeeds
db.movies.insertOne( { "_id" : "Star Wars" } )

// fails because of duplicate id
db.movies.insertOne( { "_id" : "Star Wars" } )

// malformed document
db.movies.insertOne( { "Star Wars" } )
```

## `insertMany()`

- You may bulk insert using an array of documents.
- Use `insertMany()` instead of `insertOne()`

## Ordered insertMany()

- For ordered inserts MongoDB will stop processing inserts upon encountering an error.
- Meaning that only inserts occurring before an error will complete.
- The default setting for `db.<COLLECTION>.insertMany` is an ordered insert.
- See the next exercise for an example.

### Example: Ordered insertMany()

Experiment with the following operation.

```
db.movies.insertMany( [ { "_id" : "Batman", "year" : 1989 },
                        { "_id" : "Home Alone", "year" : 1990 },
                        { "_id" : "Ghostbusters", "year" : 1984 },
                        { "_id" : "Ghostbusters", "year" : 1984 } ] )
db.movies.find()
```

## Unordered insertMany()

- Pass `{ ordered : false }` to `insertMany()` to perform unordered inserts.
- If any given insert fails, MongoDB will still attempt all of the others.
- The inserts may be executed in a different order than you specified.
- The next exercise is very similar to the previous one.
- However, we are using `{ ordered : false }`.
- One insert will fail, but all the rest will succeed.

### Example: Unordered insertMany()

Experiment with the following insert.

```
db.movies.insertMany( [ { "_id" : "Jaws", "year" : 1975 },
                        { "_id" : "Titanic", "year" : 1997 },
                        { "_id" : "The Lion King", "year" : 1994 } ],
                      { ordered : false } )
db.movies.find()
```

## The Shell is a JavaScript Interpreter

- Sometimes it is convenient to create test data using a little JavaScript.
- The mongo shell is a fully-functional JavaScript interpreter. You may:
  - Define functions
  - Use loops
  - Assign variables
  - Perform inserts

## Exercise: Creating Data in the Shell

Experiment with the following commands.

```
for (i=1; i<=10000; i++) {  
  db.stuff.insert( { "a" : i } )  
}
```

```
db.stuff.find()
```

## Deleting Documents

You may delete documents from a MongoDB deployment in several ways.

- Use `deleteOne()` and `deleteMany()` to delete documents matching a specific set of conditions.
- Drop an entire collection.
- Drop a database.

### Using `deleteOne()`

- Delete a document from a collection using `deleteOne()`
- This command has one required parameter, a query document.
- The first document in the collection matching the query document will be deleted.

## Using deleteMany()

- Delete multiple documents from a collection using deleteMany().
- This command has one required parameter, a query document.
- All documents in the collection matching the query document will be deleted.
- Pass an empty document to delete all documents.

## Example: Deleting Documents

Experiment with removing documents. Do a find() after each deleteMany() command below.

```
for (i=1; i<=20; i++) { db.testcol.insertOne( { _id : i, a : i } ) }

db.testcol.deleteMany( { a : 1 } ) // Delete the first document

// $lt is a query operator that enables us to select documents that
// are less than some value. More on operators soon.
db.testcol.deleteMany( { a : { $lt : 5 } } ) // Remove three more

db.testcol.deleteOne( { a : { $lt : 10 } } ) // Remove one more

db.testcol.deleteMany() // Error: requires a query document.

db.testcol.deleteMany( { } ) // All documents removed
```

## Dropping a Collection

- You can drop an entire collection with db.<COLLECTION>.drop()
- The collection and all documents will be deleted.
- It will also remove any metadata associated with that collection.
- Indexes are one type of metadata removed.
- **All collection and indexes files are removed and space allocated reclaimed.**
  - Wired Tiger only!
- More on meta data later.

### Example: Dropping a Collection

```
db.colToBeDropped.insertOne( { a : 1 } )
show collections // Shows the colToBeDropped collection

db.colToBeDropped.drop()
show collections // collection is gone
```

### Dropping a Database

- You can drop an entire database with `db.dropDatabase()`
- This drops the database on which the method is called.
- It also deletes the associated data files from disk, freeing disk space.
- Beware that in the mongo shell, this does not change database context.

### Example: Dropping a Database

```
use tempDB
db.testcoll1.insertOne( { a : 1 } )
db.testcoll2.insertOne( { a : 1 } )

show dbs // Here they are
show collections // Shows the two collections

db.dropDatabase()
show collections // No collections
show dbs // The db is gone

use sample // take us back to the sample db
```

## 2.2 Reading Documents

### Learning Objectives

Upon completing this module students should understand:

- The query-by-example paradigm of MongoDB
- How to query on array elements
- How to query embedded documents using dot notation
- How the mongo shell and drivers use cursors
- Projections
- Cursor methods: `.count()`, `.sort()`, `.skip()`, `.limit()`



## The `find()` Method

- This is the fundamental method by which we read data from MongoDB.
- We have already used it in its basic form.
- `find()` returns a cursor that enables us to iterate through all documents matching a query.
- We will discuss cursors later.

## Query by Example

- To query MongoDB, specify a document containing the key / value pairs you want to match
- You need only specify values for fields you care about.
- Other fields will not be used to exclude documents.
- The result set will include all documents in a collection that match.

## Example: Querying by Example

Experiment with the following sequence of commands.

```
db.movies.drop()
db.movies.insertMany( [
  { "title" : "Jaws", "year" : 1975, "imdb_rating" : 8.1 },
  { "title" : "Batman", "year" : 1989, "imdb_rating" : 7.6 }
] )
db.movies.find()

db.movies.find( { "year" : 1975 } )

// Multiple Batman movies from different years, find the correct one
db.movies.find( { "year" : 1989, "title" : "Batman" } )
```

## Querying Arrays

- In MongoDB you may query array fields.
- Specify a single value you expect to find in that array in desired documents.
- Alternatively, you may specify an entire array in the query document.
- As we will see later, there are also several operators that enhance our ability to query array fields.

## Example: Querying Arrays

```
db.movies.drop()
db.movies.insertMany(
  [{ "title" : "Batman", "category" : [ "action", "adventure" ] },
    { "title" : "Godzilla", "category" : [ "action", "adventure", "sci-fi" ] },
    { "title" : "Home Alone", "category" : [ "family", "comedy" ] }
  ])

// Match documents where "category" contains the value specified
db.movies.find( { "category" : "action" } )

// Match documents where "category" equals the value specified
db.movies.find( { "category" : [ "action", "sci-fi" ] } ) // no documents

// only the second document
db.movies.find( { "category" : [ "action", "adventure", "sci-fi" ] } )
```

## Querying with Dot Notation

- Dot notation is used to query on fields in embedded documents.
- The syntax is:

```
"field1.field2" : value
```

- Put quotes around the field name when using dot notation.

## Example: Querying with Dot Notation

```
db.movies.insertMany(
  [ {
    "title" : "Avatar",
    "box_office" : { "gross" : 760,
                    "budget" : 237,
                    "opening_weekend" : 77
                  },
  },
    {
    "title" : "E.T.",
    "box_office" : { "gross" : 349,
                    "budget" : 10.5,
                    "opening_weekend" : 14
                  },
  }
  ] )

db.movies.find( { "box_office" : { "gross" : 760 } } ) // no values

// dot notation
db.movies.find( { "box_office.gross" : 760 } ) // expected value
```

## Example: Arrays and Dot Notation

```
db.movies.insertMany( [
  { "title" : "E.T.",
    "filming_locations" :
      [ { "city" : "Culver City", "state" : "CA", "country" : "USA" },
        { "city" : "Los Angeles", "state" : "CA", "country" : "USA" },
        { "city" : "Cresecent City", "state" : "CA", "country" : "USA" }
      ] },
  { "title": "Star Wars",
    "filming_locations" :
      [ { "city" : "Ajim", "state" : "Jerba", "country" : "Tunisia" },
        { "city" : "Yuma", "state" : "AZ", "country" : "USA" }
      ] } ] )

db.movies.find( { "filming_locations.country" : "USA" } ) // two documents
```

## Projections

- You may choose to have only certain fields appear in result documents.
- This is called projection.
- You specify a projection by passing a second parameter to `find()`.

## Projection: Example (Setup)

```
db.movies.insertOne(
{
  "title" : "Forrest Gump",
  "category" : [ "drama", "romance" ],
  "imdb_rating" : 8.8,
  "filming_locations" : [
    { "city" : "Savannah", "state" : "GA", "country" : "USA" },
    { "city" : "Monument Valley", "state" : "UT", "country" : "USA" },
    { "city" : "Los Anegeles", "state" : "CA", "country" : "USA" }
  ],
  "box_office" : {
    "gross" : 557,
    "opening_weekend" : 24,
    "budget" : 55
  }
})
```

## Projection: Example

```
db.movies.findOne( { "title" : "Forrest Gump" },
                  { "title" : 1, "imdb_rating" : 1 } )
{
  "_id" : ObjectId("5515942d31117f52a5122353"),
  "title" : "Forrest Gump",
  "imdb_rating" : 8.8
}
```

## Projection Documents

- Include fields with `fieldName: 1`.
  - Any field not named will be excluded
  - except `_id`, which must be explicitly excluded.
- Exclude fields with `fieldName: 0`.
  - Any field not named will be included.

## Example: Projections

```
for (i=1; i<=20; i++) {
  db.movies.insertOne(
    { "_id" : i, "title" : i,
      "imdb_rating" : i, "box_office" : i } )
}
db.movies.find()
// no "box_office"
db.movies.find( { "_id" : 3 }, { "title" : 1, "imdb_rating" : 1 } )
// no "imdb_rating"
db.movies.find( { "_id" : { $gte : 10 } }, { "imdb_rating" : 0 } )
// just "title"
db.movies.find( { "_id" : 4 }, { "_id" : 0, "title" : 1 } )
// just "imdb_rating", "box_office"
db.movies.find( { "_id" : 5 }, { _id : 0, "title" : 0 } )
// Can't mix inclusion/exclusion except _id
db.movies.find( { "_id" : 6 }, { "title" : 1, "imdb_rating" : 0 } )
```

## Cursors

- When you use `find()`, MongoDB returns a cursor.
- A cursor is a pointer to the result set
- You can get iterate through documents in the result using `next()`.
- By default, the mongo shell will iterate through 20 documents at a time.

## Example: Introducing Cursors

```
db.testcol.drop()
for (i=1; i<=10000; i++) {
    db.testcol.insertOne( { a : Math.floor( Math.random() * 100 + 1 ),
                          b : Math.floor( Math.random() * 100 + 1 ) } )
}
db.testcol.find()

it
it
```

## Example: Cursor Objects in the Mongo Shell

```
// Assigns the cursor returned by find() to a variable x
var x = db.testcol.find()

// Displays the first document in the result set.
x.next()

// True because there are more documents in the result set.
x.hasNext()

// Assigns the next document in the result set to the variable y.
y = x.next()

// Return value is the value of the a field of this document.
y.a

// Displaying a cursor prints the next 20 documents in the result set.
x
```

## Cursor Methods

- `count()`: Returns the number of documents in the result set.
- `limit()`: Limits the result set to the number of documents specified.
- `skip()`: Skips the number of documents specified.

## Example: Using `count()`

```
db.testcol.drop()
for (i=1; i<=100; i++) { db.testcol.insertOne( { a : i } ) }

// all 100
db.testcol.count()

// just 41 docs
db.testcol.count( { a : { $lt : 42 } } )

// Another way of writing the same query
db.testcol.find( { a : { $lt : 42 } } ).count( )
```

### Example: Using sort ()

```
db.testcol.drop()
for (i=1; i<=20; i++) {
    db.testcol.insertOne( { a : Math.floor( Math.random() * 10 + 1 ),
                           b : Math.floor( Math.random() * 10 + 1 ) } )
}

db.testcol.find()

// sort descending; use 1 for ascending
db.testcol.find().sort( { a : -1 } )

// sort by b, then a
db.testcol.find().sort( { b : 1, a : 1 } )

// $natural order is just the order on disk.
db.testcol.find().sort( { $natural : 1 } )
```

### The skip () Method

- Skips the specified number of documents in the result set.
- The returned cursor will begin at the first document beyond the number specified.
- Regardless of the order in which you specify skip () and sort () on a cursor, sort () happens first.

### The limit () Method

- Limits the number of documents in a result set to the first k.
- Specify k as the argument to limit ()
- Regardless of the order in which you specify limit (), skip (), and sort () on a cursor, sort () happens first.
- Helps reduce resources consumed by queries.

### The distinct () Method

- Returns all values for a field found in a collection.
- Only works on one field at a time.
- Input is a string (not a document)

### Example: Using `distinct()`

```
db.movie_reviews.drop()
db.movie_reviews.insertMany( [
  { "title" : "Jaws", "rating" : 5 },
  { "title" : "Home Alone", "rating" : 1 },
  { "title" : "Jaws", "rating" : 7 },
  { "title" : "Jaws", "rating" : 4 },
  { "title" : "Jaws", "rating" : 8 } ] )
db.movie_reviews.distinct( "title" )
```

## 2.3 Query Operators

### Learning Objectives

Upon completing this module students should understand the following types of MongoDB query operators:

- Comparison operators
- Logical operators
- Element query operators
- Operators on arrays

### Comparison Query Operators

- `$lt`: Exists and is less than
- `$lte`: Exists and is less than or equal to
- `$gt`: Exists and is greater than
- `$gte`: Exists and is greater than or equal to
- `$ne`: Does not exist or does but is not equal to
- `$in`: Exists and is in a set
- `$nin`: Does not exist or is not in a set

### Example (Setup)

```
// insert sample data
db.movies.insertMany( [
  {
    "title" : "Batman",
    "category" : [ "action", "adventure" ],
    "imdb_rating" : 7.6,
    "budget" : 35
  },
  {
    "title" : "Godzilla",
    "category" : [ "action",
    "adventure", "sci-fi" ],
    "imdb_rating" : 6.6
  },
  {
```

```

    "title" : "Home Alone",
    "category" : [ "family", "comedy" ],
    "imdb_rating" : 7.4
  }
] )

```

### Example: Comparison Operators

```

db.movies.find()

db.movies.find( { "imdb_rating" : { $gte : 7 } } )

db.movies.find( { "category" : { $ne : "family" } } )

db.movies.find( { "title" : { $in : [ "Batman", "Godzilla" ] } } )

db.movies.find( { "title" : { $nin : [ "Batman", "Godzilla" ] } } )

```

### Logical Query Operators

- \$or: Match either of two or more values
- \$not: Used with other operators
- \$nor: Match neither of two or more values
- \$and: Match both of two or more values
  - This is the default behavior for queries specifying more than one condition.
  - Use \$and if you need to include the same operator more than once in a query.

### Example: Logical Operators

```

db.movies.find( { $or : [
  { "category" : "sci-fi" }, { "imdb_rating" : { $gte : 7 } }
] } )

// more complex $or, really good sci-fi movie or mediocre family movie
db.movies.find( { $or : [
  { "category" : "sci-fi", "imdb_rating" : { $gte : 8 } },
  { "category" : "family", "imdb_rating" : { $gte : 7 } }
] } )

// find bad movies
db.movies.find( { "imdb_rating" : { $not : { $gt : 7 } } } )

```



## Example: Logical Operators

```
// find movies within an imdb_rating range
db.movies.find( { "imdb_rating" : { $gt : 5 , $lte : 7 } } ) // and is implicit

// queries can be nested, why are there no results?
db.movies.find( { $and : [
  { $or : [
    { "category" : "sci-fi", "imdb_rating" : { $gte : 8 } },
    { "category" : "family", "imdb_rating" : { $gte : 7 } }
  ] } ,
  { $or : [
    { "category" : "action", "imdb_rating" : { $gte : 6 } }
  ] }
] } )
```

## Element Query Operators

- `$exists`: Select documents based on the existence of a particular field.
- `$type`: Select documents based on their type.
- See [BSON types](#)<sup>5</sup> for reference on types.

## Example: Element Operators

```
db.movies.find( { "budget" : { $exists : true } } )

// type 1 is Double
db.movies.find( { "budget" : { $type : 1 } } )

// type 3 is Object (embedded document)
db.movies.find( { "budget" : { $type : 3 } } )
```

## Array Query Operators

- `$all`: Array field must contain all values listed.
- `$size`: Array must have a particular size. E.g., `$size : 2` means 2 elements in the array
- `$elemMatch`: All conditions must be matched by at least one element in the array

---

<sup>5</sup><http://docs.mongodb.org/manual/reference/bson-types>

## Example: Array Operators

```
db.movies.find( { "category" : { $all : [ "sci-fi", "action" ] } } )

db.movies.find( { "category" : { $size : 3 } } )
```

## Example: \$elemMatch

```
db.movies.insertOne( {
  "title" : "Raiders of the Lost Ark",
  "filming_locations" : [
    { "city" : "Los Angeles", "state" : "CA", "country" : "USA" },
    { "city" : "Rome", "state" : "Lazio", "country" : "Italy" },
    { "city" : "Florence", "state" : "SC", "country" : "USA" }
  ] } )

// This query is incorrect, it won't return what we want
db.movies.find( {
  "filming_locations.city" : "Florence",
  "filming_locations.country" : "Italy"
} )

// $elemMatch is needed, now there are no results, this is expected
db.movies.find( {
  "filming_locations" : {
    $elemMatch : {
      "city" : "Florence",
      "country" : "Italy"
    } } } )
```

## 2.4 Updating Documents

### Learning Objectives

Upon completing this module students should understand

- The `replaceOne()` method
- The `updateOne()` method
- The `updateMany()` method
- The required parameters for these methods
- Field update operators
- Array update operators
- The concept of an upsert and use cases.
- The `findOneAndReplace()` and `findOneAndUpdate()` methods

### The `replaceOne()` Method

- Takes one document and replaces it with another
  - But leaves the `_id` unchanged
- Takes two parameters:
  - A matching document
  - A replacement document
- This is, in some sense, the simplest form of update

### First Parameter to `replaceOne()`

- Required parameters for `replaceOne()`
  - The query parameter:
    - \* Use the same syntax as with `find()`
    - \* Only the first document found is replaced
- `replaceOne()` cannot delete a document

## Second Parameter to `replaceOne()`

- The second parameter is the replacement parameter:
  - The document to replace the original document
- The `_id` must stay the same
- You must replace the entire document
  - You cannot modify just one field
  - Except for the `_id`

## Example: `replaceOne()`

```
db.movies.insertOne( { title: "Batman" } )
db.movies.find()
db.movies.replaceOne( { title : "Batman" }, { imdb_rating : 7.7 } )
db.movies.find()
db.movies.replaceOne( { imdb_rating: 7.7 },
                      { title: "Batman", imdb_rating: 7.7 } )
db.movies.find()
db.movies.replaceOne( { }, { title: "Batman" } )
db.movies.find() // back in original state
db.movies.replaceOne( { }, { _id : ObjectId() } )
```

## The `updateOne()` Method

- Mutate one document in MongoDB using `updateOne()`
  - Affects only the `_first_` document found
- Two parameters:
  - A query document
    - \* same syntax as with `find()`
  - Change document
    - \* Operators specify the fields and changes

## `$set` and `$unset`

- Use to specify fields to update for `UpdateOne()`
- If the field already exists, using `$set` will change its value
  - If not, `$set` will create it, set to the new value
- Only specified fields will change
- Alternatively, remove a field using `$unset`

## Example (Setup)

```
db.movies.insertMany( [
  {
    "title" : "Batman",
    "category" : [ "action", "adventure" ],
    "imdb_rating" : 7.6,
    "budget" : 35
  },
  {
    "title" : "Godzilla",
    "category" : [ "action",
    "adventure", "sci-fi" ],
    "imdb_rating" : 6.6
  },
  {
    "title" : "Home Alone",
    "category" : [ "family", "comedy" ],
    "imdb_rating" : 7.4
  }
] )
```

## Example: \$set and \$unset

```
db.movies.updateOne( { "title" : "Batman" },
  { $set : { "imdb_rating" : 7.7 } } )
db.movies.updateOne( { "title" : "Godzilla" },
  { $set : { "budget" : 1 } } )
db.movies.updateOne( { "title" : "Home Alone" },
  { $set : { "budget" : 15,
    "imdb_rating" : 5.5 } } )
db.movies.updateOne( { "title" : "Home Alone" },
  { $unset : { "budget" : 1 } } )
db.movies.find()
```

## Update Operators

- **\$inc**: Increment a field's value by the specified amount.
- **\$mul**: Multiply a field's value by the specified amount.
- **\$rename**: Rename a field.
- **\$set**: Update one or more fields (already discussed).
- **\$unset**: Delete a field (already discussed).
- **\$min**: Updates the field value to a specified value if the specified value is less than the current value of the field
- **\$max**: Updates the field value to a specified value if the specified value is greater than the current value of the field
- **\$currentDate**: Set the value of a field to the current date or timestamp.

## Example: Update Operators

```
db.movies.updateOne( { title: "Batman" }, { $inc: { "imdb_rating" : 2 } } )
db.movies.updateOne( { title: "Home Alone" }, { $inc: { "budget" : 5 } } )
db.movies.updateOne( { title: "Batman" }, { $mul: { "imdb_rating" : 4 } } )
db.movies.updateOne( { title: "Batman" },
    { $rename: { budget: "estimated_budget" } } )
db.movies.updateOne( { title: "Home Alone" }, { $min: { budget: 5 } } )
db.movies.updateOne( { title: "Home Alone" },
    { $currentDate : { last_updated: { $type: "timestamp" } } } )
// increment movie rating by 1
db.movie_mentions.updateOne( { title: "Batman" },
    { $inc: { "imdb_rating" : 1 } } )
```

## The updateMany() Method

- Takes the same arguments as updateOne
- Updates all documents that match
  - updateOne stops after the first match
  - updateMany continues until it has matched all

<b>Warning:</b> Without an appropriate index, you may scan every document in the collection.
--

## Example: updateMany()

```
// let's start tracking the number of sequels for each movie
db.movies.updateOne( { }, { $set : { "sequels" : 0 } } )
db.movies.find()
// we need updateMany to change all documents
db.movies.updateMany( { }, { $set : { "sequels" : 0 } } )
db.movies.find()
```

## Array Element Updates by Index

- You can use dot notation to specify an array index
- You will update only that element
  - Other elements will not be affected

## Example: Update Array Elements by Index

```
// add a sample document to track mentions per hour
db.movie_mentions.insertOne(
  { "title" : "E.T.",
    "day" : ISODate("2015-03-27T00:00:00.000Z"),
    "mentions_per_hour" : [ 0, 0, 0, 0, 0, 0, 0, 0,
                           0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0,
                           0, 0 ]
  } )

// update all mentions for the fifth hour of the day
db.movie_mentions.updateOne(
  { "title" : "E.T." } ,
  { "$set" : { "mentions_per_hour.5" : 2300 } } )
```

## Array Operators

- `$push`: Appends an element to the end of the array.
- `$pushAll`: Appends multiple elements to the end of the array.
- `$pop`: Removes one element from the end of the array.
- `$pull`: Removes all elements in the array that match a specified value.
- `$pullAll`: Removes all elements in the array that match any of the specified values.
- `$addToSet`: Appends an element to the array if not already present.

## Example: Array Operators

```
db.movies.updateOne(
  { "title" : "Batman" },
  { $push : { "category" : "superhero" } } )
db.movies.updateOne(
  { "title" : "Batman" },
  { $pushAll : { "category" : [ "villain", "comic-based" ] } } )
db.movies.updateOne(
  { "title" : "Batman" },
  { $pop : { "category" : 1 } } )
db.movies.updateOne(
  { "title" : "Batman" },
  { $pull : { "category" : "action" } } )
db.movies.updateOne(
  { "title" : "Batman" },
  { $pullAll : { "category" : [ "villain", "comic-based" ] } } )
```

## The Positional \$ Operator

- <sup>6</sup>\$ is a positional operator that specifies an element in an array to update.
- It acts as a placeholder for the first element that matches the query document.
- \$ replaces the element in the specified position with the value given.
- Example:

```
db.<COLLECTION>.updateOne(  
  { <array> : value ... },  
  { <update operator> : { "<array>.$" : value } }  
)
```

### Example: The Positional \$ Operator

```
// the "action" category needs to be changed to "action-adventure"  
db.movies.updateMany( { "category": "action", },  
  { $set: { "category.$" : "action-adventure" } } )
```

## Upserts

- If no document matches a write query:
  - By default, nothing happens
  - With `upsert: true`, inserts one new document
- Works for `updateOne()`, `updateMany()`, `replaceOne()`
- Syntax:

```
db.<COLLECTION>.updateOne( <query document>,  
  <update document>,  
  { upsert: true } )
```

## Upsert Mechanics

- Will update if documents matching the query exist
- Will insert if no documents match
  - Creates a new document using equality conditions in the query document
  - Adds an `_id` if the query did not specify one
  - Performs the write on the new document
- `updateMany()` will only create one document
  - If none match, of course

---

<sup>6</sup><http://docs.mongodb.org/manual/reference/operator/update/positional>



## Example: Upserts

```
db.movies.updateOne( { "title" : "Jaws" },
                    { $inc: { "budget" : 5 } },
                    { upsert: true } )

db.movies.updateMany( { "title" : "Jaws II" },
                     { $inc: { "budget" : 5 } },
                     { upsert: true } )

db.movies.replaceOne( { "title" : "E.T.", "category" : [ "scifi" ] },
                     { "title" : "E.T.", "category" : [ "scifi" ], "budget" : 1 },
                     { upsert: true } )
```

## save()

- The `db.<COLLECTION>.save()` method is syntactic sugar
  - Similar to `replaceOne()`, querying the `_id` field
  - Upsert if `_id` is not in the collection
- Syntax:

```
db.<COLLECTION>.save( <document> )
```

## Example: save()

- If the document in the argument does not contain an `_id` field, then the `save()` method acts like `insertOne()` method
  - An `ObjectId` will be assigned to the `_id` field.
- If the document in the argument contains an `_id` field: then the `save()` method is equivalent to a `replaceOne` with the query argument on `_id` and the `upsert` option set to `true`

```
// insert
db.movies.save( { "title" : "Beverly Hills Cops", "imdb_rating" : 7.3 } )

// update with { upsert: true }
db.movies.save( { "_id" : 1234, "title" : "Spider Man", "imdb_rating" : 7.3 } )
```

## Be careful with save()

Careful not to modify stale data when using `save()`. Example:

```
db.movies.drop()
db.movies.insertOne( { "title" : "Jaws", "imdb_rating" : 7.3 } )

db.movies.find( { "title" : "Jaws" } )

// store the complete document in the application
doc = db.movies.findOne( { "title" : "Jaws" } )

db.movies.updateOne( { "title" : "Jaws" }, { $inc: { "imdb_rating" : 2 } } )
db.movies.find()
```

```
doc.imdb_rating = 7.4
```

```
db.movies.save(doc) // just lost our incrementing of "imdb_rating"
db.movies.find()
```

### **findOneAndUpdate() and findOneAndReplace()**

- Update (or replace) one document and return it
  - By default, the document is returned pre-write
- Can return the state before or after the update
- Makes a read plus a write atomic
- Can be used with upsert to insert a document

### **findOneAndUpdate() and findOneAndReplace() Options**

- The following are optional fields for the options document
- `projection`: <document> - select the fields to see
- `sort`: <document> - sort to select the first document
- `maxTimeoutMS`: <number> - how long to wait
  - Returns an error, kills operation if exceeded
- `upsert`: <boolean> if true, performs an upsert

### **Example: findOneAndUpdate()**

```
db.worker_queue.findOneAndUpdate(
  { state : "unprocessed" },
  { $set: { "worker_id" : 123, "state" : "processing" } },
  { upsert: true } )
```

### **findOneAndDelete()**

- Not an update operation, but fits in with findOneAnd ...
- Returns the document and deletes it.
- Example:

```
db.foo.drop();
db.foo.insertMany( [ { a : 1 }, { a : 2 }, { a : 3 } ] );
db.foo.find(); // shows the documents.
db.foo.findOneAndDelete( { a : { $lte : 3 } } );
db.foo.find();
```

## 3 Indexes

*Index Fundamentals* (page 41) An introduction to MongoDB indexes

*Compound Indexes* (page 47) Indexes on two or more fields

*Multikey Indexes* (page 52) Indexes on array fields

*Text Indexes* (page 56) Text Indexes

*Lab: Using explain()* (page 59) Lab: Finding and Addressing Slow Operations

*Lab: Finding and Addressing Slow Operations* (page 60) Lab: Using explain()

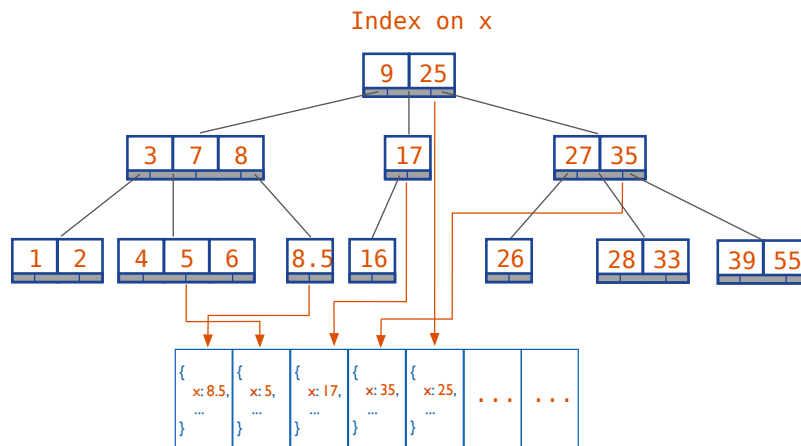
### 3.1 Index Fundamentals

#### Learning Objectives

Upon completing this module students should understand:

- The impact of indexing on read performance
- The impact of indexing on write performance
- How to choose effective indexes
- The utility of specific indexes for particular query patterns

#### Why Indexes?



## Types of Indexes

- Single-field indexes
- Compound indexes
- Multikey indexes
- Geospatial indexes
- Text indexes

## Exercise: Using `explain()`

Let's explore what MongoDB does for the following query by using `explain()`.

We are projecting only `user.name` so that the results are easy to read.

```
db.tweets.find( { "user.followers_count" : 1000 },
                { "_id" : 0, "user.name": 1 } )
```

```
db.tweets.find( { "user.followers_count" : 1000 } ).explain()
```

## Results of `explain()`

With the default `explain()` verbosity, you will see results similar to the following:

```
{
  "queryPlanner" : {
    "plannerVersion" : 1,
    "namespace" : "twitter.tweets",
    "indexFilterSet" : false,
    "parsedQuery" : {
      "user.followers_count" : {
        "$eq" : 1000
      }
    }
  },
```

## Results of `explain()` - Continued

```
    "winningPlan" : {
      "stage" : "COLLSCAN",
      "filter" : {
        "user.followers_count" : {
          "$eq" : 1000
        }
      },
      "direction" : "forward"
    },
    "rejectedPlans" : [ ]
  },
  ...
}
```

## **explain() Verbosity Can Be Adjusted**

- **default:** determines the winning query plan but does not execute query
- **executionStats:** executes query and gathers statistics
- **allPlansExecution:** runs all candidate plans to completion and gathers statistics

### **explain("executionStats")**

```
> db.tweets.find( { "user.followers_count" : 1000 } )  
  .explain("executionStats")
```

Now we have query statistics:

```
..  
"executionStats" : {  
  "executionSuccess" : true,  
  "nReturned" : 8,  
  "executionTimeMillis" : 107,  
  "totalKeysExamined" : 0,  
  "totalDocsExamined" : 51428,  
  "executionStages" : {  
    "stage" : "COLLSCAN",  
    "filter" : {  
      "user.followers_count" : {  
        "$eq" : 1000  
      }  
    }  
  },  
}
```

### **explain("executionStats") - Continued**

```
  "nReturned" : 8,  
  "executionTimeMillisEstimate" : 100,  
  "works" : 51430,  
  "advanced" : 8,  
  "needTime" : 51421,  
  "needFetch" : 0,  
  "saveState" : 401,  
  "restoreState" : 401,  
  "isEOF" : 1,  
  "invalidates" : 0,  
  "direction" : "forward",  
  "docsExamined" : 51428  
}  
...  
}
```

## **explain("executionStats") Output**

- `nReturned` : number of documents returned by the query
- `totalDocsExamined` : number of documents touched during the query
- `totalKeysExamined` : number of index keys scanned
- A `totalKeysExamined` or `totalDocsExamined` value much higher than `nReturned` indicates we need a better index
- Based on `.explain()` output, this query would benefit from a better index

## **Other Operations**

In addition to `find()`, we often want to use `explain()` to understand how other operations will be handled.

- `aggregate()`
- `count()`
- `group()`
- `update()`
- `remove()`
- `findAndModify()`
- `insert()`

## **db.<COLLECTION>.explain()**

`db.<COLLECTION>.explain()` returns an `ExplainableCollection`.

```
> var explainable = db.tweets.explain()
> explainable.find( { "user.followers_count" : 1000 } )
```

equivalent to

```
> db.tweets.explain().find( { "user.followers_count" : 1000 } )
```

also equivalent to

```
> db.tweets.find( { "user.followers_count" : 1000 } ).explain()
```

## Using `explain()` for Write Operations

Simulate the number of writes that would have occurred and determine the index(es) used:

```
> db.tweets.explain("executionStats").remove( { "user.followers_count" : 1000 } )

> db.tweets.explain("executionStats").update( { "user.followers_count" : 1000 },
  { $set : { "large_following" : true } }, { multi: true } )
```

## Single-Field Indexes

- Single-field indexes are based on a single field of the documents in a collection.
- The field may be a top-level field.
- You may also create an index on fields in embedded documents.

## Creating an Index

The following creates a single-field index on `user.followers_count`.

```
db.tweets.createIndex( { "user.followers_count" : 1 } )
db.tweets.find( { "user.followers_count" : 1000 } ).explain()
```

`explain()` indicated there will be a substantial performance improvement in handling this type of query.

## Listing Indexes

List indexes for a collection:

```
db.tweets.getIndexes()
```

List index keys:

```
db.tweets.getIndexKeys()
```

## Indexes and Read/Write Performance

- Indexes improve read performance for queries that are supported by the index.
- Inserts will be slower when there are indexes that MongoDB must also update.
- The speed of updates may be improved because MongoDB will not need to do a collection scan to find target documents.
- An index is modified any time a document:
  - Is inserted (applies to *all* indexes)
  - Is deleted (applies to *all* indexes)
  - Is updated in such a way that its indexed field changes

## Index Limitations

- You can have up to 64 indexes per collection.
- You should NEVER be anywhere close to that upper bound.
- Write performance will degrade to unusable at somewhere between 20-30.

## Use Indexes with Care

- Every query should use an index.
- Every index should be used by a query.
- Any write that touches an indexed field will update every index that touches that field.
- Indexes require RAM.
- Be mindful about the choice of key.

## Additional Index Options

- Sparse
- Unique
- Background

## Sparse Indexes in MongoDB

- Sparse indexes only contain entries for documents that have the indexed field.

```
db.<COLLECTION>.createIndex(  
  { field_name : 1 },  
  { sparse : true } )
```

## Defining Unique Indexes

- Enforce a unique constraint on the index
  - On a per-collection basis
- Can't insert documents with a duplicate value for the field
  - Or update to a duplicate value
- No duplicate values may exist prior to defining the index

```
db.<COLLECTION>.createIndex(  
  { field_name : 1 },  
  { unique : true } )
```



## Building Indexes in the Background

- Building indexes in foreground is a blocking operation.
- Background index creation is non-blocking, however, takes longer to build.
- Initially larger, or less compact, than an index built in the foreground.

```
db.<COLLECTION>.createIndex(  
  { field_name : 1 },  
  { background : true } )
```

## 3.2 Compound Indexes

### Learning Objectives

Upon completing this module students should understand:

- What a compound index is.
- How compound indexes are created.
- The importance of considering field order when creating compound indexes.
- How to efficiently handle queries involving some combination of equality matches, ranges, and sorting.
- Some limitations on compound indexes.

### Introduction to Compound Indexes

- It is common to create indexes based on more than one field.
- These are called `compound indexes`.
- You may use up to 31 fields in a compound index.
- You may not use hashed index fields.

### The Order of Fields Matters

Specifically we want to consider how the index will be used for:

- Equality tests, e.g.,

```
db.movies.find( { "budget" : 7, "imdb_rating" : 8 } )
```

- Range queries, e.g.,

```
db.movies.find( { "budget" : 10, "imdb_rating" : { $lt : 9 } } )
```

- Sorting, e.g.,

```
db.movies.find( { "budget" : 10, "imdb_rating" : 6 }  
  ).sort( { "imdb_rating" : -1 } )
```

## Designing Compound Indexes

- Let's look at some guiding principles for building compound indexes.
- These will generally produce a good if not optimal index.
- You can optimize after a little experimentation.
- We will explore this in the context of a running example.

### Example: A Simple Message Board

Requirements:

- Find all messages in a specified timestamp range.
- Select for whether the messages are anonymous or not.
- Sort by rating from highest to lowest.

### Load the Data

```
a = [ { "timestamp" : 1, "username" : "anonymous", "rating" : 3 },
      { "timestamp" : 2, "username" : "anonymous", "rating" : 5 },
      { "timestamp" : 3, "username" : "sam", "rating" : 1 },
      { "timestamp" : 4, "username" : "anonymous", "rating" : 2 },
      { "timestamp" : 5, "username" : "martha", "rating" : 5 } ]
db.messages.insertMany(a)
```

### Start with a Simple Index

Start by building an index on { timestamp : 1 }

```
db.messages.createIndex( { timestamp : 1 }, { name : "myindex" } )
```

Now let's query for messages with timestamp in the range 2 through 4 inclusive.

```
db.messages.find( { timestamp : { $gte : 2, $lte : 4 } } ).explain("executionStats")
```

Analysis:

- Explain plan shows good performance, i.e. totalKeysExamined = n.
- However, this does not satisfy our query.
- Need to query again with { username : "anonymous" } as part of the query.

## Query Adding username

Let's add the user field to our query.

```
db.messages.find( { timestamp : { $gte : 2, $lte : 4 },
                  username : "anonymous" } ).explain("executionStats")
```

totalKeysExamined > n.

## Include username in Our Index

```
db.messages.dropIndex( "myindex" );
db.messages.createIndex( { timestamp : 1, username : 1 },
                        { name : "myindex" } )
db.messages.find( { timestamp : { $gte : 2, $lte : 4 },
                  username : "anonymous" } ).explain("executionStats")
```

totalKeysExamined is still > n. Why?

**totalKeysExamined > n**

timestamp	username
1	"anonymous"
2	"anonymous"
3	"sam"
4	"anonymous"
5	"martha"

## A Different Compound Index

Drop the index and build a new one with user.

```
db.messages.dropIndex( "myindex" );
db.messages.createIndex( { username : 1, timestamp : 1 },
                        { name : "myindex" } )

db.messages.find( { timestamp : { $gte : 2, $lte : 4 },
                  username : "anonymous" } ).explain("executionStats")
```

totalKeysExamined is 2. n is 2.

**totalKeysExamined == n**

username	timestamp
"anonymous"	1
"anonymous"	2
"anonymous"	4
"sam"	2
"martha"	5

## Let Selectivity Drive Field Order

- Order fields in a compound index from most selective to least selective.
- Usually, this means equality fields before range fields.
- When dealing with multiple equality values, start with the most selective.
- If a common range query is more selective instead (rare), specify the range component first.

## Adding in the Sort

Finally, let's add the sort and run the query

```
db.messages.find( {  
    timestamp : { $gte : 2, $lte : 4 },  
    username : "anonymous"  
} ).sort( { rating : -1 } ).explain("executionStats");
```

- Note that the winningPlan includes a SORT stage
- This means that MongoDB had to perform a sort in memory
- In memory sorts can degrade performance significantly
  - Especially if used frequently
  - In-memory sorts that use > 32 MB will abort

## In-Memory Sorts

Let's modify the index again to allow the database to sort for us.

```
db.messages.dropIndex( "myindex" );  
db.messages.createIndex( { username : 1, timestamp : 1, rating : 1 },  
    { name : "myindex" } );  
db.messages.find( {  
    timestamp : { $gte : 2, $lte : 4 },  
    username : "anonymous"  
} ).sort( { rating : -1 } ).explain("executionStats");
```

- The explain plan remains unchanged, because the sort field comes after the range fields.
- The index does not store entries in order by rating.
- Note that this requires us to consider a tradeoff.

## Avoiding an In-Memory Sort

Rebuild the index as follows.

```
db.messages.dropIndex( "myindex" );
db.messages.createIndex( { username : 1, rating : 1, timestamp : 1 },
                        { name : "myindex" } );
db.messages.find( {
    timestamp : { $gte : 2, $lte : 4 },
    username : "anonymous"
} ).sort( { rating : -1 } ).explain("executionStats");
```

- We no longer have an in-memory sort, but need to examine more keys.
- `totalKeysExamined` is 3 and `n` is 2.
- This is the best we can do in this situation and this is fine.
- However, if `totalKeysExamined` is much larger than `n`, this might not be the best index.

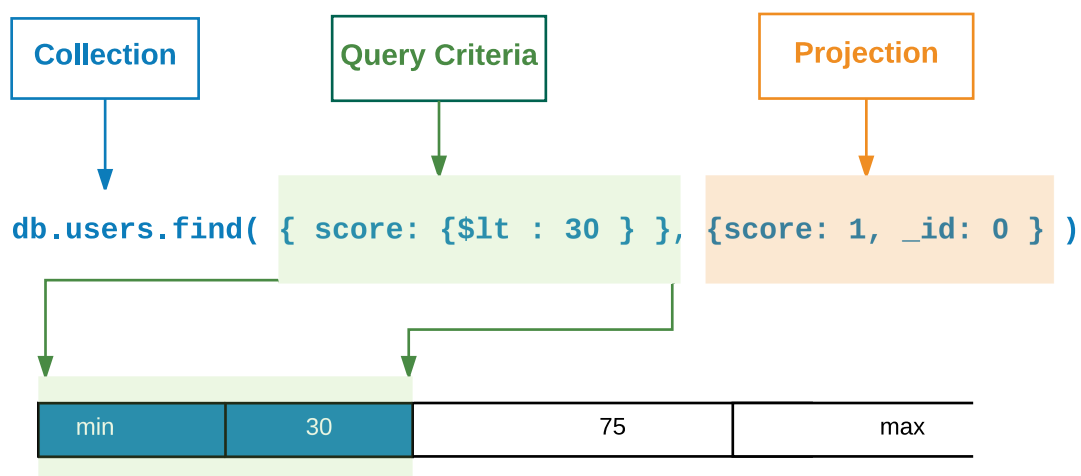
## No need for stage : SORT

username	rating	timestamp
"anonymous"	2	4
"anonymous"	3	1
"anonymous"	5	2
"sam"	1	2
"martha"	5	5

## General Rules of Thumb

- Equality before range
- Equality before sorting
- Sorting before range

## Covered Queries



- When a query and projection include only the indexed fields, MongoDB will return results directly from the index.
- There is no need to scan any documents or bring documents into memory.
- These covered queries can be very efficient.

### Exercise: Covered Queries

```
db.testcol.drop()
for (i=1; i<=20; i++) {
  db.testcol.insertOne({ "_id" : i, "title" : i, "name" : i,
                        "rating" : i, "budget" : i })
};
db.testcol.createIndex( { "title" : 1, "name" : 1, "rating" : 1 } )

// Not covered because _id is present.
db.testcol.find( { "title" : 3 },
                { "title" : 1, "name" : 1, "rating" : 1 }
                ).explain("executionStats")

// Not covered because other fields may exist in matching docs.
db.testcol.find( { "title" : 3 },
                { "_id" : 0, "budget" : 0 } ).explain("executionStats")

// Covered query!
db.testcol.find( { "title" : 3 },
                { "_id" : 0, "title" : 1, "name" : 1, "rating" : 1 }
                ).explain("executionStats")
```

## 3.3 Multikey Indexes

### Learning Objectives

Upon completing this module, students should understand:

- What a multikey index is
- When MongoDB will use a multikey index to satisfy a query
- How multikey indexes work
- How multikey indexes handle sorting
- Some limitations on multikey indexes

## Introduction to Multikey Indexes

- A multikey index is an index on an array.
- An index entry is created on each value found in the array.
- Multikey indexes can support primitives, documents, or sub-arrays.
- There is nothing special that you need to do to create a multikey index.
- You create them using `createIndex()` just as you would with an ordinary single-field index.
- If there is an array as a value for an indexed field, the index will be multikey on that field.

### Example: Array of Numbers

```
db.race_results.drop()
db.race_results.createIndex( { "lap_times" : 1 } )
a = [ { "lap_times" : [ 3, 5, 2, 8 ] },
      { "lap_times" : [ 1, 6, 4, 2 ] },
      { "lap_times" : [ 6, 3, 3, 8 ] } ]
db.race_results.insertMany( a )

// Used the index
db.race_results.find( { lap_times : 1 } ).explain()

// One document found.
// Index not used, because it is naive to position.
db.race_results.find( { "lap_times.2" : 3 } ).explain()
```

### Exercise: Array of Documents, Part 1

Create a collection and add an index on the `comments.rating` field:

```
db.blog.drop()
b = [ { "comments" : [
      { "name" : "Bob", "rating" : 1 },
      { "name" : "Frank", "rating" : 5.3 },
      { "name" : "Susan", "rating" : 3 } ] },
      { "comments" : [
        { name : "Megan", "rating" : 1 } ] },
      { "comments" : [
        { "name" : "Luke", "rating" : 1.4 },
        { "name" : "Matt", "rating" : 5 },
        { "name" : "Sue", "rating" : 7 } ] } ]
db.blog.insertMany(b)

db.blog.createIndex( { "comments" : 1 } )
// vs
db.blog.createIndex( { "comments.rating" : 1 } )

// for this query
db.blog.find( { "comments.rating" : 5 } )
```

## Exercise: Array of Documents, Part 2

For each of the three queries below:

- How many documents will be returned?
- Will it use our multi-key index? Why or why not?
- If a query will not use the index, which index will it use?

```
db.blog.find( { "comments" : { "name" : "Bob", "rating" : 1 } } )
db.blog.find( { "comments" : { "rating" : 1 } } )
db.blog.find( { "comments.rating" : 1 } )
```

## Exercise: Array of Arrays, Part 1

Add some documents and create an index simulating a player in a game moving on an X,Y grid.

```
db.player.drop()
db.player.createIndex( { "last_moves" : 1 } )
c = [ { "last_moves" : [ [ 1, 2 ], [ 2, 3 ], [ 3, 4 ] ] },
      { "last_moves" : [ [ 3, 4 ], [ 4, 5 ] ] },
      { "last_moves" : [ [ 4, 5 ], [ 5, 6 ] ] },
      { "last_moves" : [ [ 3, 4 ] ] },
      { "last_moves" : [ [ 4, 5 ] ] } ]
db.player.insertMany(c)
db.player.find()
```

## Exercise: Array of Arrays, Part 2

For each of the queries below:

- How many documents will be returned?
- Does the query use the multi-key index? Why or why not?
- If the query does not use the index, what is an index it could use?

```
db.player.find( { "last_moves" : [ 3, 4 ] } )
db.player.find( { "last_moves" : 3 } )
db.player.find( { "last_moves.1" : [ 4, 5 ] } )
db.player.find( { "last_moves.2" : [ 2, 3 ] } )
```



## How Multikey Indexes Work

- Each array element is given one entry in the index.
- So an array with 17 elements will have 17 entries – one for each element.
- Multikey indexes can take up much more space than standard indexes.

## Multikey Indexes and Sorting

- If you sort using a multikey index:
  - A document will appear at the first position where a value would place the document.
  - It will not appear multiple times.
- This applies to array values generally.
- It is not a specific property of multikey indexes.

## Exercise: Multikey Indexes and Sorting

```
db.testcol.drop()
a = [ { x : [ 1, 11 ] }, { x : [ 2, 10 ] }, { x : [ 3 ] },
      { x : [ 4 ] }, { x : [ 5 ] } ]
db.testcol.insert(a)

db.testcol.createIndex( { x : 1 } )

// x : [ 1, 11 ] array comes first. It contains the lowest value.
db.testcol.find().sort( { x : 1 } )

// x : [ 1, 11 ] array still comes first. Contains the highest value.
db.testcol.find().sort( { x : -1 } )
```

## Limitations on Multikey Indexes

- You cannot create a compound index using more than one array-valued field.
- This is because of the combinatorics.
- For a compound index on two array-valued fields you would end up with  $N * M$  entries for one document.
- You cannot have a hashed multikey index.
- You cannot have a shard key use a multikey index.
- We discuss shard keys in another module.
- The index on the `_id` field cannot become a multikey index.

### Example: Multikey Indexes on Multiple Fields

```
db.testcol.drop()
db.testcol.createIndex( { x : 1, y : 1 } )

// no problems yet
db.testcol.insertOne( { _id : 1, x : 1, y : 1 } )

// still OK
db.testcol.insertOne( { _id : 2, x : [ 1, 2 ], y : 1 } )

// still OK
db.testcol.insertOne( { _id : 3, x : 1, y : [ 1, 2 ] } )

// Won't work
db.testcol.insertOne( { _id : 4, x : [ 1, 2 ], y : [ 1, 2 ] } )
```

## 3.4 Text Indexes

### Learning Objectives

Upon completing this module, students should understand:

- The purpose of a text index
- How to create text indexes
- How to search using text indexes
- How to rank search results by relevance score

### What is a Text Index?

- A text index is based on the tokens (words, etc.) used in string fields.
- MongoDB supports text search for a number of languages.
- Text indexes drop language-specific stop words (e.g. in English “the”, “an”, “a”, “and”, etc.).
- Text indexes use simple, language-specific suffix stemming (e.g., “running” to “run”).

### Creating a Text Index

You create a text index a little bit differently than you create a standard index.

```
db.<COLLECTION>.createIndex( { <field name> : "text" } )
```

## Exercise: Creating a Text Index

Create a text index on the “dialog” field of the `montyPython` collection.

```
db.montyPython.createIndex( { dialog : "text" } )
```

## Creating a Text Index with Weighted Fields

- Default weight of 1 per indexed field.
- Weight is relative to other weights in text index.

```
db.<COLLECTION>.createIndex(  
  { "title" : "text", "keywords": "text", "author" : "text" },  
  { "weights" : {  
    "title" : 10,  
    "keywords" : 5  
  }})
```

- Term match in “title” field has 10 times (i.e. 10:1) the impact as a term match in the “author” field.

## Creating a Text Index with Weighted Fields

- The default weight is 1 for each indexed field.
- The weight is relative to other weights in a text index.

```
db.<COLLECTION>.createIndex(  
  { "title" : "text", "keywords": "text", "author" : "text" },  
  { "weights" : {  
    "title" : 10,  
    "keywords" : 5  
  }})
```

- Term match in “title” field has 10 times (i.e. 10:1) the impact as a term match in the “author” field.

## Text Indexes are Similar to Multikey Indexes

- Continuing our example, you can treat the `dialog` field as a multikey index.
- A multikey index with each of the words in `dialog` as values.
- You can query the field using the `$text` operator.

## Exercise: Inserting Texts

Let's add some documents to our montyPython collection.

```
db.montyPython.insertMany( [
  { _id : 1,
    dialog : "What is the air-speed velocity of an unladen swallow?" },
  { _id : 2,
    dialog : "What do you mean? An African or a European swallow?" },
  { _id : 3,
    dialog : "Huh? I... I don't know that." },
  { _id : 45,
    dialog : "You're using coconuts!" },
  { _id : 55,
    dialog : "What? A swallow carrying a coconut?" } ] )
```

## Querying a Text Index

Next, let's query the collection. The syntax is:

```
db.<COLLECTION>.find( { $text : { $search : "query terms go here" } } )
```

## Exercise: Querying a Text Index

Using the text index, find all documents in the montyPython collection with the word “swallow” in it.

```
// Returns 3 documents.
db.montyPython.find( { $text : { $search : "swallow" } } )
```

## Exercise: Querying Using Two Words

- Find all documents in the montyPython collection with either the word ‘coconut’ or ‘swallow’.
- By default MongoDB ORs query terms together.
- E.g., if you query on two words, results include documents using either word.

```
// Finds 4 documents, 3 of which contain only one of the two words.
db.montyPython.find( { $text : { $search : "coconut swallow" } } )
```

## Search for a Phrase

- To match an exact phrase, include search terms in quotes (escaped).
- The following query selects documents containing the phrase “European swallow”:

```
db.montyPython.find( { $text: { $search: "\"European swallow\"" } } )
```

## Text Search Score

- The search algorithm assigns a relevance score to each search result.
- The score is generated by a vector ranking algorithm.
- The documents can be sorted by that score.

```
db.<COLLECTION>.find(
  { $text : { $search : "swallow coconut" } },
  { textScore: { $meta : "textScore" } }
).sort(
  { textScore: { $meta: "textScore" } }
) )
```

## 3.5 Lab: Using explain()

### Exercise: explain(“executionStats”)

Drop all indexes from previous exercises:

```
mongo performance
> db.sensor_readings.dropIndexes()
```

Create an index for the “active” field:

```
db.sensor_readings.createIndex({ "active" : 1 } )
```

How many index entries and documents are examined for the following query? How many results are returned?

```
db.sensor_readings.find(
  { "active": false, "_id": { $gte: 99, $lte: 1000 } }
).explain("executionStats")
```

## 3.6 Lab: Finding and Addressing Slow Operations

### Exercise: Determine Indexes Needed

- In a mongo shell run `performance.b()`. This will run in an infinite loop printing some output as it runs various statements against the server.
- Now imagine we have detected a performance problem and suspect there is a slow operation running.
- Find the slow operation and terminate it. Every slow operation is assumed to run for 100ms or more.
- In order to do this, open a second window (or tab) and run a second instance of the mongo shell.
- What indexes can we introduce to make the slow queries more efficient? Disregard the index created in the previous exercise.

## 4 Replica Sets

*Introduction to Replica Sets (page 61)* An introduction to replication and replica sets

*Elections in Replica Sets (page 64)* The process of electing a new primary (automated failover) in replica sets

*Replica Set Roles and Configuration (page 69)* Configuring replica set members for common use cases

*The Oplog: Statement Based Replication (page 71)* The process of replicating data from one node of a replica set to another

*Write Concern (page 73)* Balancing performance and durability of writes

*Read Preference (page 77)* Configuring clients to read from specific members of a replica set

*Lab: Setting up a Replica Set (page 78)* Launching members, configuring, and initiating a replica set

### 4.1 Introduction to Replica Sets

#### Learning Objectives

Upon completing this module, students should understand:

- Striking the right balance between cost and redundancy
- The many scenarios replication addresses and why
- How to avoid downtime and data loss using replication

#### Use Cases for Replication

- High Availability
- Disaster Recovery
- Functional Segregation

#### High Availability (HA)

- Data still available following:
  - Equipment failure (e.g. server, network switch)
  - Datacenter failure
- This is achieved through automatic failover.

## Disaster Recovery (DR)

- We can duplicate data across:
  - Multiple database servers
  - Storage backends
  - Datacenters
- Can restore data from another node following:
  - Hardware failure
  - Service interruption

## Functional Segregation

There are opportunities to exploit the topology of a replica set:

- Based on physical location (e.g. rack or datacenter location)
- For analytics, reporting, data discovery, system tasks, etc.
- For backups

## Large Replica Sets

Functional segregation can be further exploited by using large replica sets.

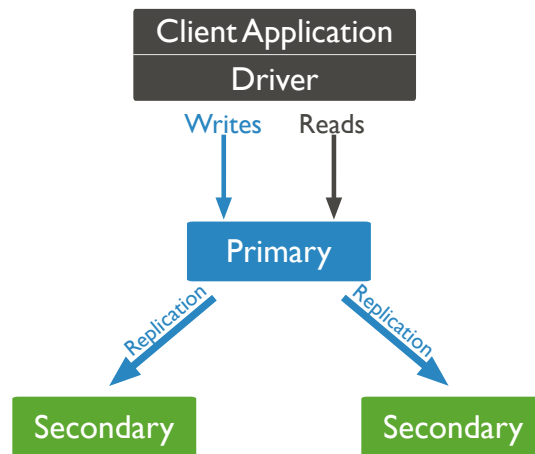
- 50 node replica set limit with a maximum of 7 voting members
- Useful for deployments with a large number of data centers or offices
- Read only workloads can position secondaries in data centers around the world (closer to application servers)

## Replication is Not Designed for Scaling

- Can be used for scaling reads, but generally not recommended.
- Drawbacks include:
  - Eventual consistency
  - Not scaling writes
  - Potential system overload when secondaries are unavailable
- Consider sharding for scaling reads and writes.



## Replica Sets



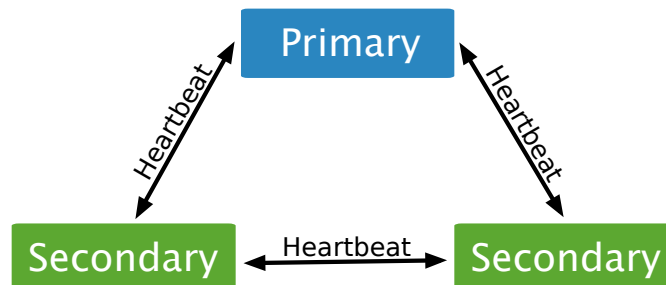
### Primary Server

- Clients send writes to the primary only.
- MongoDB, Inc. maintains client drivers in many programming languages like Java, C#, Javascript, Python, Ruby, and PHP.
- MongoDB drivers are replica set aware.

### Secondaries

- A secondary replicates operations from another node in the replica set.
- Secondaries usually replicate from the primary.
- Secondaries may also replicate from other secondaries. This is called replication chaining.
- A secondary may become primary as a result of a failover scenario.

### Heartbeats



## The Oplog

- The operations log, or oplog, is a special capped collection that is the basis for replication.
- The oplog maintains one entry for each document affected by every write operation.
- Secondaries copy operations from the oplog of their sync source.

## Initial Sync

- Occurs when a new server is added to a replica set, or we erase the underlying data of an existing server (`--dbpath`)
- All existing collections except the *local* collection are copied
- As of MongoDB  $\geq 3.4$ , all indexes are built while data is copied
- As of MongoDB  $\geq 3.4$ , initial sync is more resilient to intermittent network failure/degradation

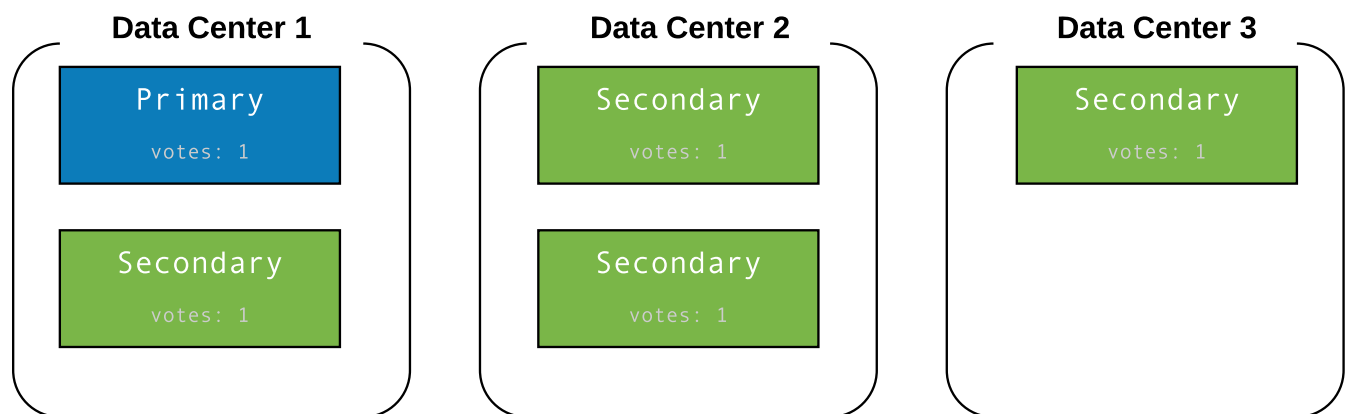
## 4.2 Elections in Replica Sets

### Learning Objectives

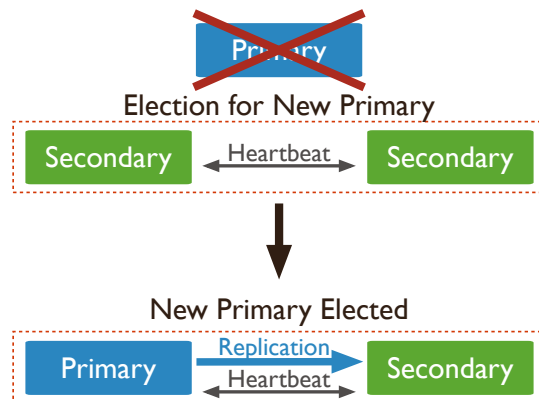
Upon completing this module students should understand:

- That elections enable automated failover in replica sets
- How votes are distributed to members
- What prompts an election
- How a new primary is selected

### Members and Votes



## Calling Elections



## Selecting a New Primary

- Depends on which replication protocol version is in use
- PV0
  - Priority
  - Optime
  - Connections
- PV1
  - Optime
  - Connections

## Priority

- PV0 factors priority into voting.
- The higher its priority, the more likely a member is to become primary.
- The default is 1.
- Servers with a priority of 0 will never become primary.
- Priority values are floating point numbers 0 - 1000 inclusive.

## Optime

- Optime: Operation time, which is the timestamp of the last operation the member applied from the oplog.
- To be elected primary, a member must have the most recent optime.
- Only optimes of visible members are compared.

## Connections

- Must be able to connect to a majority of the members in the replica set.
- Majority refers to the total number of votes.
- Not the total number of members.

## When will a primary step down?

- After receiving the `replSetStepDown` or `rs.stepDown()` command.
- If a secondary is eligible for election and has a higher priority.
- If it cannot contact a majority of the members of the replica set.

## replSetStepDown Behavior

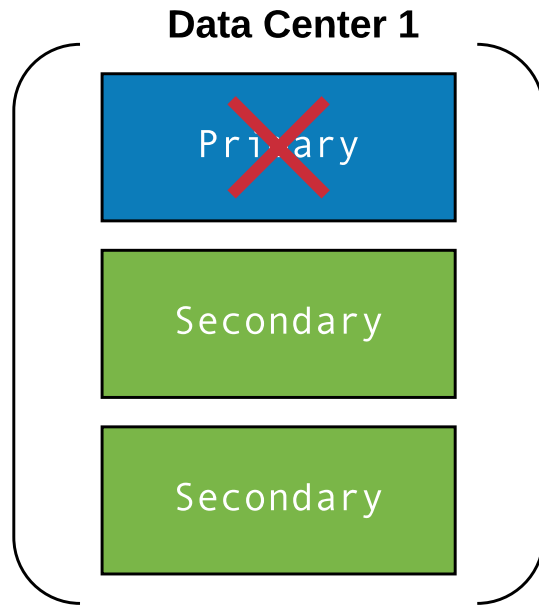
- Primary will attempt to terminate long running operations before stepping down.
- Primary will wait for electable secondary to catch up before stepping down.
- “secondaryCatchUpPeriodSecs” can be specified to limit the amount of time the primary will wait for a secondary to catch up before the primary steps down.

## Exercise: Elections in Failover Scenarios

- We have learned about electing a primary in replica sets.
- Let’s look at some scenarios in which failover might be necessary.

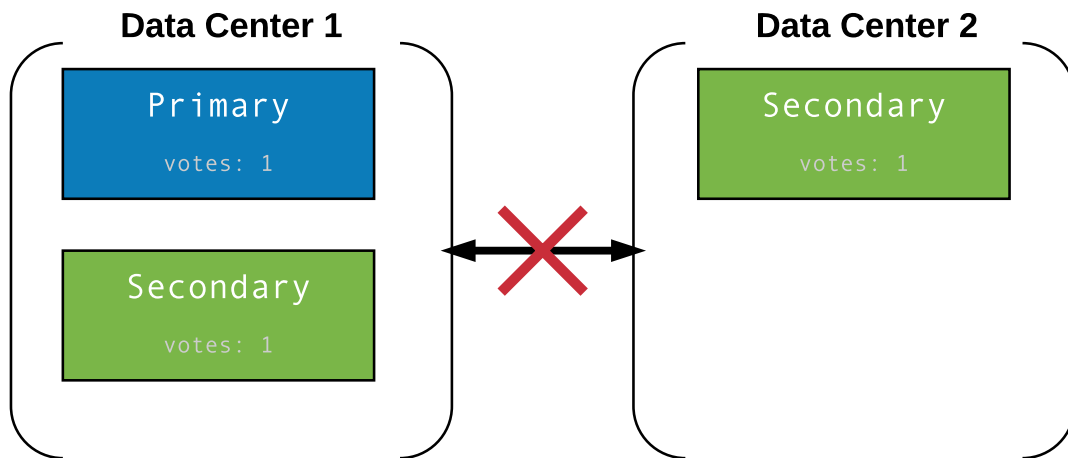
### Scenario A: 3 Data Nodes in 1 DC

Which secondary will become the new primary?



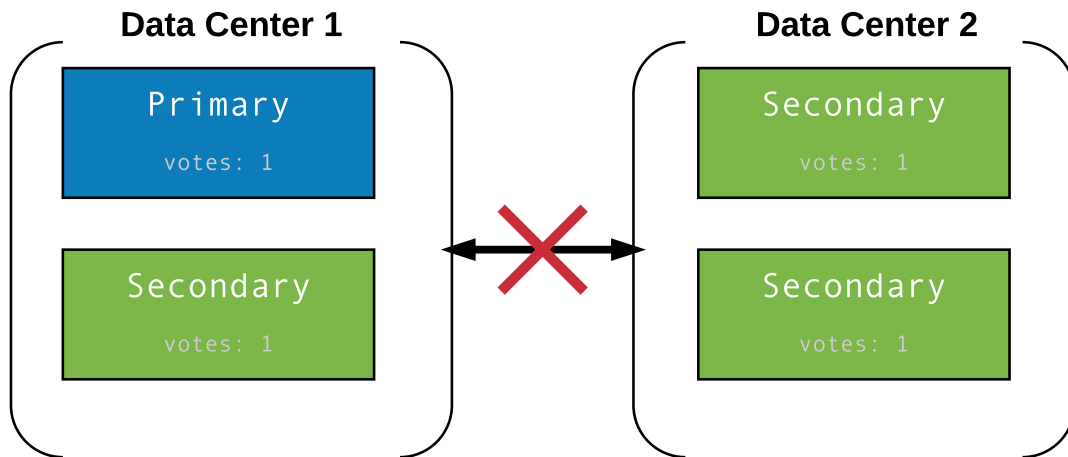
**Scenario B: 3 Data Nodes in 2 DCs**

Which member will become primary following this type of network partition?



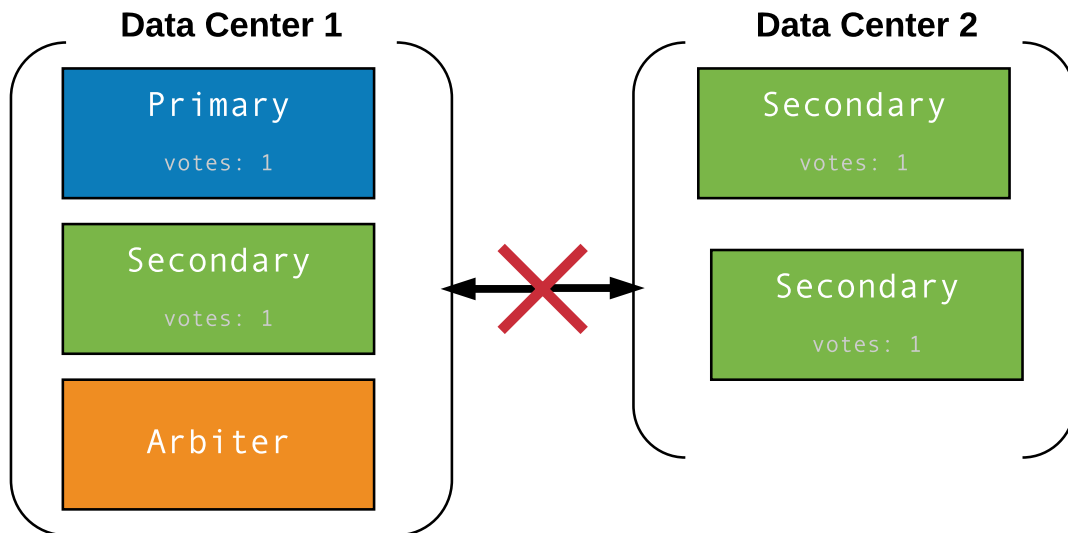
**Scenario C: 4 Data Nodes in 2 DCs**

What happens following this network partition?



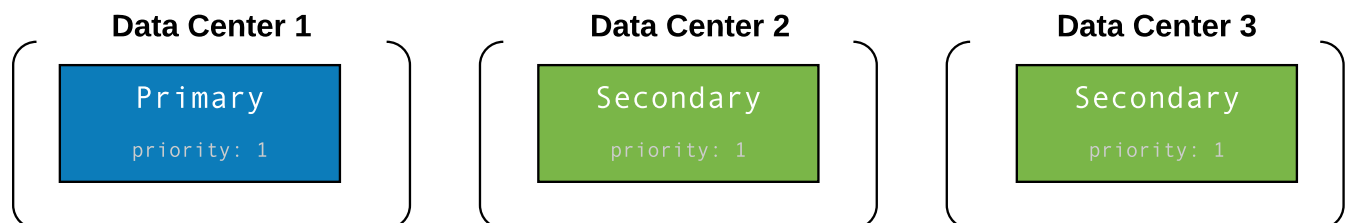
#### Scenario D: 5 Nodes in 2 DCs

The following is similar to Scenario C, but with the addition of an arbiter in Data Center 1. What happens here?



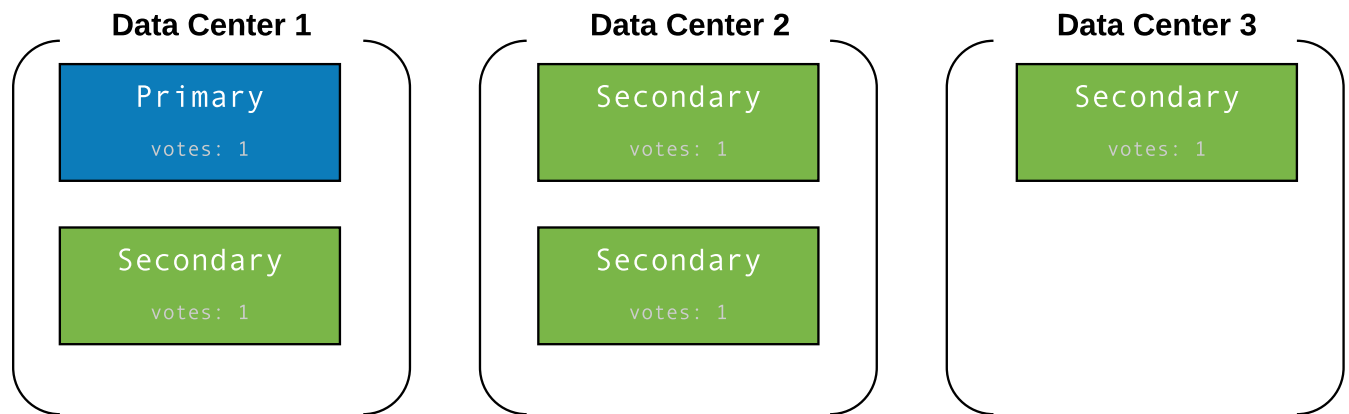
#### Scenario E: 3 Data Nodes in 3 DCs

- What happens here if any one of the nodes/DCs fail?
- What about recovery time?



## Scenario F: 5 Data Nodes in 3 DCs

What happens here if any one of the nodes/DCs fail? What about recovery time?



## 4.3 Replica Set Roles and Configuration

### Learning Objectives

Upon completing this module students should understand:

- The use of priority to preference certain members or datacenters as primaries.
- Hidden members.
- The use of hidden secondaries for data analytics and other purposes (when secondary reads are used).
- The use of `slaveDelay` to protect against operator error.

### Example: A Five-Member Replica Set Configuration

- For this example application, there are two datacenters.
- We name the hosts accordingly: `dc1-1`, `dc1-2`, `dc2-1`, etc.
  - This is just a clarifying convention for this example.
  - MongoDB does not care about host names except to establish connections.
- The nodes in this replica set have a variety of roles in this application.

## Configuration

```
conf = {                                // 5 data-bearing nodes
  _id: "mySet",
  members: [
    { _id : 0, host : "dc1-1.example.net:27017", priority : 5 },
    { _id : 1, host : "dc1-2.example.net:27017", priority : 5 },
    { _id : 2, host : "dc2-1.example.net:27017" },
    { _id : 3, host : "dc1-3.example.net:27017", hidden : true },
    { _id : 4, host : "dc2-2.example.net:27017", hidden : true,
      slaveDelay: 7200 }
  ]
}
```

## Principal Data Center

```
{ _id : 0, host : "dc1-1.example.net", priority : 5 },
{ _id : 1, host : "dc1-2.example.net", priority : 5 },
```

## Data Center 2

```
{ _id : 2, host : "dc2-1.example.net:27017" },
```

## What about dc1-3 and dc2-2?

```
// Both are hidden.
// Clients will not distribute reads to hidden members.
// We use hidden members for dedicated tasks.
{ _id : 3, host : "dc1-3.example.net:27017", hidden : true },
{ _id : 4, host : "dc2-2.example.net:27017", hidden : true,
  slaveDelay: 7200 }
```



## What about dc2-2?

```
{ _id : 4, host : "dc2-2.example.net:27017", hidden : true,
  slaveDelay : 7200 }
```

## 4.4 The Oplog: Statement Based Replication

### Learning Objectives

Upon completing this module students should understand:

- Binary vs. statement-based replication.
- How the oplog is used to support replication.
- How operations in MongoDB are translated into operations written to the oplog.
- Why oplog operations are idempotent.
- That the oplog is a capped collection and the implications this holds for syncing members.

### Binary Replication

- MongoDB replication is statement based.
- Contrast that with binary replication.
- With binary replication we would keep track of:
  - The data files
  - The offsets
  - How many bytes were written for each change
- In short, we would keep track of actual bytes and very specific locations.
- We would simply replicate these changes across secondaries.

### Tradeoffs

- The good thing is that figuring out where to write, etc. is very efficient.
- But we must have a byte-for-byte match of our data files on the primary and secondaries.
- The problem is that this couples our replica set members in ways that are inflexible.
- Binary replication may also replicate disk corruption.

## Statement-Based Replication

- Statement-based replication facilitates greater independence among members of a replica set.
- MongoDB stores a statement for every operation in a capped collection called the `oplog`.
- Secondaries do not simply apply exactly the operation that was issued on the primary.

### Example

Suppose the following command is issued and it deletes 100 documents:

```
db.foo.deleteMany({ age : 30 })
```

This will be represented in the `oplog` with records such as the following:

```
{ "ts" : Timestamp(1407159845, 5), "h" : NumberLong("-704612487691926908"),  
  "v" : 2, "op" : "d", "ns" : "bar.foo", "b" : true, "o" : { "_id" : 65 } }  
{ "ts" : Timestamp(1407159845, 1), "h" : NumberLong("6014126345225019794"),  
  "v" : 2, "op" : "d", "ns" : "bar.foo", "b" : true, "o" : { "_id" : 333 } }  
{ "ts" : Timestamp(1407159845, 4), "h" : NumberLong("8178791764238465439"),  
  "v" : 2, "op" : "d", "ns" : "bar.foo", "b" : true, "o" : { "_id" : 447 } }  
{ "ts" : Timestamp(1407159845, 3), "h" : NumberLong("-1707391001705528381"),  
  "v" : 2, "op" : "d", "ns" : "bar.foo", "b" : true, "o" : { "_id" : 1033 } }  
{ "ts" : Timestamp(1407159845, 2), "h" : NumberLong("-6814297392442406598"),  
  "v" : 2, "op" : "d", "ns" : "bar.foo", "b" : true, "o" : { "_id" : 9971 } }
```

## Replication Based on the Oplog

- One statement per document affected by each write: insert, update, or delete.
- Provides a level of abstraction that enables independence among the members of a replica set:
  - With regard to MongoDB version.
  - In terms of how data is stored on disk.
  - Freedom to do maintenance without the need to bring the entire set down.

### Operations in the Oplog are Idempotent

- Each operation in the `oplog` is idempotent.
- Whether applied once or multiple times it produces the same result.
- Necessary if you want to be able to copy data while simultaneously accepting writes.

## The Oplog Window

- Oplogs are capped collections.
- Capped collections are fixed-size.
- They guarantee preservation of insertion order.
- They support high-throughput operations.
- Like circular buffers, once a collection fills its allocated space:
  - It makes room for new documents.
  - By overwriting the oldest documents in the collection.

## Sizing the Oplog

- The oplog should be sized to account for latency among members.
- The default size oplog is usually sufficient.
- But you want to make sure that your oplog is large enough:
  - So that the oplog window is large enough to support replication
  - To give you a large enough history for any diagnostics you might wish to run.

## 4.5 Write Concern

### Learning Objectives

Upon completing this module students should understand:

- How and when rollback occurs in MongoDB.
- The tradeoffs between durability and performance.
- Write concern as a means of ensuring durability in MongoDB.
- The different levels of write concern.

### What happens to the write?

- A write is sent to a primary.
- The primary acknowledges the write to the client.
- The primary then becomes unavailable before a secondary can replicate the write

## Answer

- Another member might be elected primary.
- It will not have the last write that occurred before the previous primary became unavailable.
- When the previous primary becomes available again:
  - It will note it has writes that were not replicated.
  - It will put these writes into a `rollback` file.
  - A human will need to determine what to do with this data.
- This is default behavior in MongoDB and can be controlled using `write concern`.

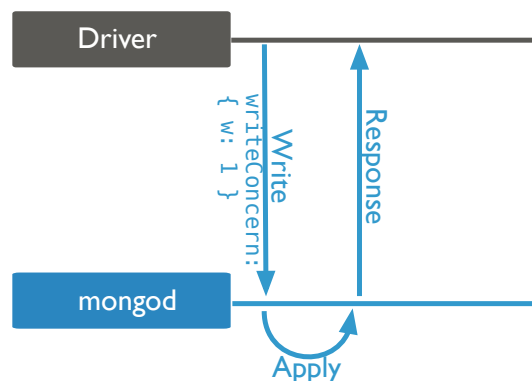
## Balancing Durability with Performance

- The previous scenario is a specific instance of a common distributed systems problem.
- For some applications it might be acceptable for writes to be rolled back.
- Other applications may have varying requirements with regard to durability.
- Tunable write concern:
  - Make critical operations persist to an entire MongoDB deployment.
  - Specify replication to fewer nodes for less important operations.

## Defining Write Concern

- Clients may define the write concern per write operation, if necessary.
- Standardize on specific levels of write concerns for different classes of writes.
- In the discussion that follows we will look at increasingly strict levels of write concern.

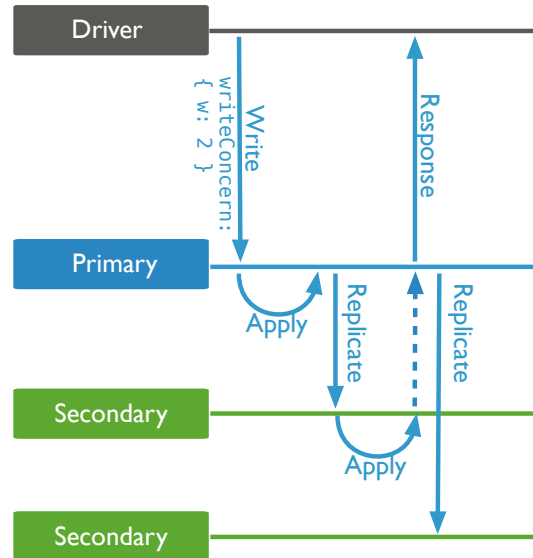
**Write Concern: { w : 1 }**



### Example: { w : 1 }

```
db.edges.insertOne( { from : "tom185", to : "mary_p" },  
                    { writeConcern : { w : 1 } } )
```

### Write Concern: { w : 2 }



### Example: { w : 2 }

```
db.customer.updateOne( { user : "mary_p" },  
                      { $push : { shoppingCart:  
                                { _id : 335443, name : "Brew-a-cup",  
                                  price : 45.79 } } },  
                      { writeConcern : { w : 2 } } )
```

### Other Write Concerns

- You may specify any integer as the value of the `w` field for write concern.
- This guarantees that write operations have propagated to the specified number of members.
- E.g., { `w` : 3 }, { `w` : 4 }, etc.
- When using PV1 (replication protocol version 1), `writeConcernMajorityJournalDefault`<sup>7</sup> is on by default for versions `>= 3.4`
  - Ensures writes are written to disk before being acknowledge from secondaries.

<sup>7</sup><http://docs.mongodb.org/manual/reference/replica-configuration/#rsconf.writeConcernMajorityJournalDefault>

**Write Concern:** { w : "majority" }

- Ensures the primary completed the write (in RAM).
- Ensures write operations have propagated to a majority of a replica set's **voting** members.
- Avoids hard coding assumptions about the size of your replica set into your application.
- Using majority trades off performance for durability.
- It is suitable for critical writes and to avoid rollbacks.

**Example:** { w : "majority" }

```
db.products.updateOne({ _id : 335443 },
                      { $inc : { inStock : -1 } },
                      { writeConcern : { w : "majority" } })
```

### Quiz: Which write concern?

Suppose you have a replica set with 7 data nodes. Your application has critical inserts for which you do not want rollbacks to happen. Secondaries may be taken down from time to time for maintenance, leaving you with a potential 4 server replica set. Which write concern is best suited for these critical inserts?

- { w : 1 }
- { w : 2 }
- { w : 3 }
- { w : 4 }
- { w : "majority" }

### Further Reading

See [Write Concern Reference](#)<sup>8</sup> for more details on write concern configurations, including setting timeouts and identifying specific replica set members that must acknowledge writes (i.e. [tag sets](#)<sup>9</sup>).

---

<sup>8</sup><http://docs.mongodb.org/manual/reference/write-concern>

<sup>9</sup><http://docs.mongodb.org/manual/tutorial/configure-replica-set-tag-sets/#replica-set-configuration-tag-sets>

## 4.6 Read Preference

### What is Read Preference?

- Read preference allows you to specify the nodes in a replica set to read from.
- Clients only read from the primary by default.
- There are some situations in which a client may want to read from:
  - Any secondary
  - A specific secondary
  - A specific type of secondary
- Only read from a secondary if you can tolerate possibly stale data, as not all writes might have replicated.

### Use Cases

- Running systems operations without affecting the front-end application.
- Providing local reads for geographically distributed applications.
- Maintaining availability during a failover.

### Not for Scaling

- In general, do *not* read from secondaries to provide extra capacity for reads.
- [Sharding](http://docs.mongodb.org/manual/sharding)<sup>10</sup> increases read and write capacity by distributing operations across a group of machines.
- Sharding is a better strategy for adding capacity.

### Read Preference Modes

MongoDB drivers support the following read preferences. Note that hidden nodes will never be read from when connected via the replica set.

- **primary**: Default. All operations read from the primary.
- **primaryPreferred**: Read from the primary but if it is unavailable, read from secondary members.
- **secondary**: All operations read from the secondary members of the replica set.
- **secondaryPreferred**: Read from secondary members but if no secondaries are available, read from the primary.
- **nearest**: Read from member of the replica set with the least network latency, regardless of the member's type.

---

<sup>10</sup><http://docs.mongodb.org/manual/sharding>

## Tag Sets

- There is also the option to use tag sets.
- You may tag nodes such that queries that contain the tag will be routed to one of the servers with that tag.
- This can be useful for running reports, say for a particular data center or nodes with different hardware (e.g. hard disks vs SSDs).

For example, in the mongo shell:

```
conf = rs.conf()
conf.members[0].tags = { dc : "east", use : "production" }
conf.members[1].tags = { dc : "east", use : "reporting" }
conf.members[2].tags = { use : "production" }
rs.reconfig(conf)
```

## 4.7 Lab: Setting up a Replica Set

### Overview

- In this exercise we will setup a 3 data node replica set on a single machine.
- In production, each node should be run on a dedicated host:
  - To avoid any potential resource contention
  - To provide isolation against server failure

### Create Data Directories

Since we will be running all nodes on a single machine, make sure each has its own data directory.

On Linux or Mac OS, run the following in the terminal to create the 3 directories `~/data/rs1`, `~/data/rs2`, and `~/data/rs3`:

```
mkdir -p ~/data/rs{1,2,3}
```

On Windows, run the following command instead in Command Prompt or PowerShell:



```
md c:\data\rs1 c:\data\rs2 c:\data\rs3
```

## Launch Each Member

Now start 3 instances of `mongod` in the foreground so that it is easier to observe and shutdown.

On Linux or Mac OS, run *each* of the following commands in its *own terminal window*:

```
mongod --replSet myReplSet --dbpath ~/data/rs1 --port 27017 --oplogSize 200
mongod --replSet myReplSet --dbpath ~/data/rs2 --port 27018 --oplogSize 200
mongod --replSet myReplSet --dbpath ~/data/rs3 --port 27019 --oplogSize 200
```

On Windows, run *each* of the following commands in its *own Command Prompt or PowerShell window*:

```
mongod --replSet myReplSet --dbpath c:\data\rs1 --port 27017 --oplogSize 200
mongod --replSet myReplSet --dbpath c:\data\rs2 --port 27018 --oplogSize 200
mongod --replSet myReplSet --dbpath c:\data\rs3 --port 27019 --oplogSize 200
```

## Status

- At this point, we have 3 `mongod` instances running.
- They were all launched with the same `replSet` parameter of “myReplSet”.
- Despite this, the members are not aware of each other yet.
- This is fine for now.

## Connect to a MongoDB Instance

- Connect to the one of the MongoDB instances with the `mongo` shell.
- To do so run the following command in the terminal, Command Prompt, or PowerShell:

```
mongo // connect to the default port 27017
```

## Configure the Replica Set

```
rs.initiate()
// wait a few seconds
rs.add ('<HOSTNAME>:27018')
rs.addArb ('<HOSTNAME>:27019')

// Keep running rs.status() until there's a primary and 2 secondaries
rs.status()
```

## Problems That May Occur When Initializing the Replica Set

- bindIp parameter is incorrectly set
- Replica set configuration may need to be explicitly specified to use a different hostname:

```
> conf = {
  _id: "<REPLICA-SET-NAME>",
  members: [
    { _id : 0, host : "<HOSTNAME>:27017"},
    { _id : 1, host : "<HOSTNAME>:27018"},
    { _id : 2, host : "<HOSTNAME>:27019",
      "arbiterOnly" : true},
  ]
}
> rs.initiate(conf)
```

## Write to the Primary

While still connected to the primary (port 27017) with mongo shell, insert a simple test document:

```
db.testcol.insert({ a: 1 })
db.testcol.count()

exit    // Or Ctrl-d
```

## Read from a Secondary

Connect to one of the secondaries. E.g.:

```
mongo --port 27018
```

Read from the secondary

```
rs.slaveOk()
db.testcol.find()
```

## Review the Oplog

```
use local
db.oplog.rs.find()
```

## Changing Replica Set Configuration

To change the replica set configuration, first connect to the primary via mongo shell:

```
mongo --port <PRIMARY_PORT> # e.g. 27017
```

Let's raise the priority of one of the secondaries. Assuming it is the 2nd node (e.g. on port 27018):

```
cfg = rs.conf()
cfg["members"][1]["priority"] = 10
rs.reconfig(cfg)
```

## Verifying Configuration Change

You will see errors like the following, which are expected:

```
2014-10-07T17:01:34.610+0100 DBClientCursor::init call() failed
2014-10-07T17:01:34.613+0100 trying reconnect to 127.0.0.1:27017 (127.0.0.1) failed
2014-10-07T17:01:34.617+0100 reconnect 127.0.0.1:27017 (127.0.0.1) ok
reconnected to server after rs command (which is normal)
```

Verify that the replica set configuration is now as expected:

```
rs.conf()
```

The secondary will now become a primary. Check by running:

```
rs.status()
```

## Further Reading

- [Replica Configuration](http://docs.mongodb.org/manual/reference/replica-configuration/)<sup>11</sup>
- [Replica States](http://docs.mongodb.org/manual/reference/replica-states/)<sup>12</sup>

---

<sup>11</sup><http://docs.mongodb.org/manual/reference/replica-configuration/>

<sup>12</sup><http://docs.mongodb.org/manual/reference/replica-states/>

## 5 Sharding

*Introduction to Sharding* (page 82) An introduction to sharding

*Balancing Shards* (page 89) Balancing Shards

*Shard Zones* (page 91) Brief introduction to Shard Tagging

### 5.1 Introduction to Sharding

#### Learning Objectives

Upon completing this module, students should understand:

- What problems sharding solves
- When sharding is appropriate
- The importance of the shard key and how to choose a good one
- Why sharding increases the need for redundancy

#### Contrast with Replication

- In an earlier module, we discussed Replication.
- This should never be confused with sharding.
- Replication is about high availability and durability.
  - Taking your data and constantly copying it
  - Being ready to have another machine step in to field requests.

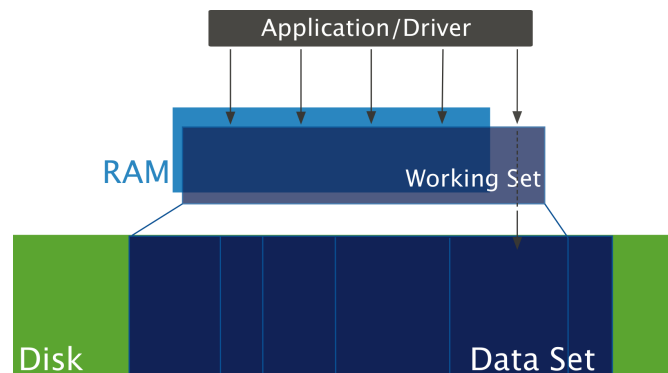
#### Sharding is Concerned with Scale

- What happens when a system is unable to handle the application load?
- It is time to consider scaling.
- There are 2 types of scaling we want to consider:
  - Vertical scaling
  - Horizontal scaling

## Vertical Scaling

- Adding more RAM, faster disks, etc.
- When is this the solution?
- First, consider a concept called the *working set*.

## The Working Set



## Limitations of Vertical Scaling

- There is a limit to how much RAM one machine can support.
- There are other bottlenecks such as I/O, disk access and network.
- Cost may limit our ability to scale up.
- There may be requirements to have a large working set that no single machine could possibly support.
- This is when it is time to scale horizontally.

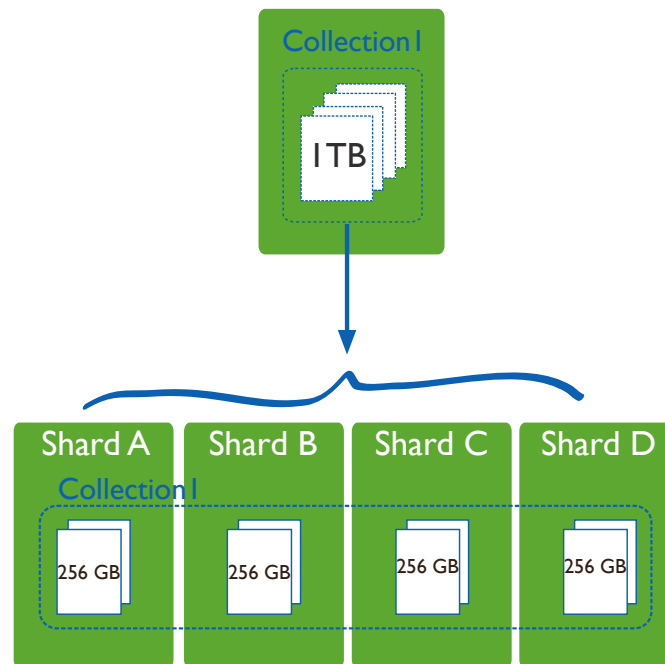
## Sharding Overview

- MongoDB enables you to scale horizontally through sharding.
- Sharding is about adding more capacity to your system.
- MongoDB's sharding solution is designed to perform well on commodity hardware.
- The details of sharding are abstracted away from applications.
- Queries are performed the same way as if sending operations to a single server.
- Connections work the same by default.

## When to Shard

- If you have more data than one machine can hold on its drives
- If your application is write heavy and you are experiencing too much latency.
- If your working set outgrows the memory you can allocate to a single machine.

## Dividing Up Your Dataset



## Sharding Concepts

To understanding how sharding works in MongoDB, we need to understand:

- Shard Keys
- Chunks

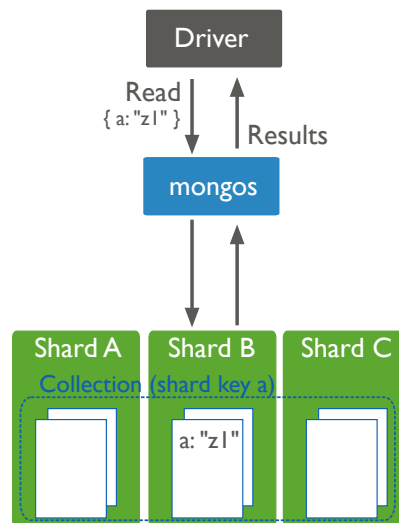
### Shard Key

- You must define a shard key for a sharded collection.
- Based on one or more fields (like an index)
- Shard key defines a space of values
- Think of the key space like points on a line
- A key range is a segment of that line

## Shard Key Ranges

- A collection is partitioned based on shard key ranges.
- The shard key determines where documents are located in the cluster.
- It is used to route operations to the appropriate shard.
- For reads and writes
- Once a collection is sharded, you cannot change a shard key.

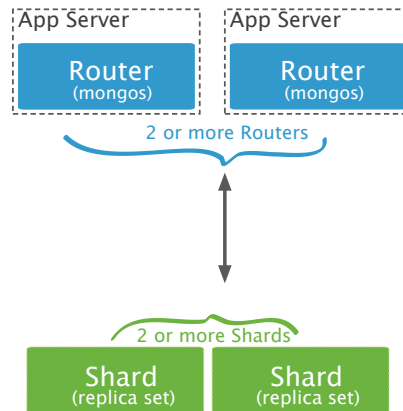
## Targeted Query Using Shard Key



## Chunks

- MongoDB partitions data into `chunks` based on shard key ranges.
- This is bookkeeping metadata.
- MongoDB attempts to keep the amount of data balanced across shards.
- This is achieved by migrating chunks from one shard to another as needed.
- There is nothing in a document that indicates its chunk.
- The document does not need to be updated if its assigned chunk changes.

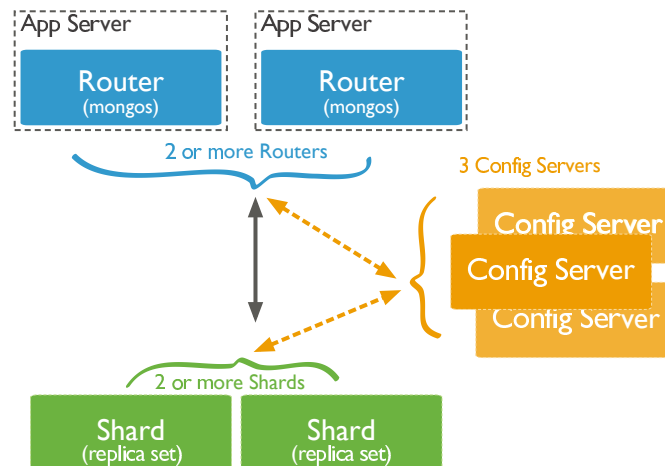
## Sharded Cluster Architecture



### Mongos

- A mongos is responsible for accepting requests and returning results to an application driver.
- In a sharded cluster, nearly all operations go through a mongos.
- A sharded cluster can have as many mongos routers as required.
- It is typical for each application server to have one mongos.
- Always use more than one mongos to avoid a single point of failure.

### Config Servers





## Config Server Hardware Requirements

- Quality network interfaces
- A small amount of disk space (typically a few GB)
- A small amount of RAM (typically a few GB)
- The larger the sharded cluster, the greater the config server hardware requirements.

## Possible Imbalance?

- Depending on how you configure sharding, data can become unbalanced on your sharded cluster.
  - Some shards might receive more inserts than others.
  - Some shards might have documents that grow more than those in other shards.
- This may result in too much load on a single shard.
  - Reads and writes
  - Disk activity
- This would defeat the purpose of sharding.

## Balancing Shards

- If a chunk grows too large MongoDB will split it into two chunks.
- The MongoDB balancer keeps chunks distributed across shards in equal numbers.
- However, a balanced sharded cluster depends on a good shard key.

## With a Good Shard Key

You might easily see that:

- Reads hit only 1 or 2 shards per query.
- Writes are distributed across all servers.
- Your disk usage is evenly distributed across shards.
- Things stay this way as you scale.

## With a Bad Shard Key

You might see that:

- Your reads hit every shard.
- Your writes are concentrated on one shard.
- Most of your data is on just a few shards.
- Adding more shards to the cluster will not help.

## Choosing a Shard Key

Generally, you want a shard key:

- That has high cardinality
- That is used in the majority of read queries
- For which the values read and write operations use are randomly distributed
- For which the majority of reads are routed to a particular server

## More Specifically

- Your shard key should be consistent with your query patterns.
- If reads usually find only one document, you only need good cardinality.
- If reads retrieve many documents:
  - Your shard key supports locality
  - Matching documents will reside on the same shard

## Cardinality

- A good shard key will have high cardinality.
- A relatively small number of documents should have the same shard key.
- Otherwise operations become isolated to the same server.
- Because documents with the same shard key reside on the same shard.
- Adding more servers will not help.
- Hashing will not help.

## Non-Monotonic

- A good shard key will generate new values non-monotonically.
- Datetimes, counters, and ObjectIds make bad shard keys.
- Monotonic shard keys cause all inserts to happen on the same shard.
- Hashing will solve this problem.
- However, doing range queries with a hashed shard key will perform a scatter-gather query across the cluster.

## Shards Should be Replica Sets

- As the number of shards increases, the number of servers in your deployment increases.
- This increases the probability that one server will fail on any given day.
- With redundancy built into each shard you can mitigate this risk.

## 5.2 Balancing Shards

### Learning Objectives

Upon completing this module students should understand:

- Chunks and the balancer
- The status of chunks in a newly sharded collection
- How chunk splits automatically occur
- Advantages of pre-splitting chunks
- How the balancer works

### Chunks and the Balancer

- Chunks are groups of documents.
- The shard key determines which chunk a document will be contained in.
- Chunks can be split when they grow too large.
- The balancer decides where chunks go.
- It handles migrations of chunks from one server to another.

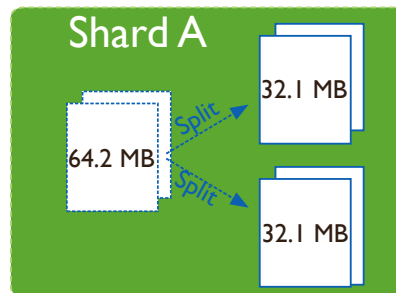
## Chunks in a Newly Sharded Collection

- The range of a chunk is defined by the shard key values of the documents the chunk contains.
- When a collection is sharded it starts with just one chunk.
- The first chunk for a collection will have the range:

```
{ $minKey : 1 } to { $maxKey : 1 }
```

- All shard key values from the smallest possible to the largest fall in this chunk's range.

## Chunk Splits



## Pre-Splitting Chunks

- You may pre-split data before loading data into a sharded cluster.
- Pre-splitting is useful if:
  - You plan to do a large data import early on
  - You expect a heavy initial server load and want to ensure writes are distributed

## Start of a Balancing Round

- A balancing round is initiated by the balancer process on the primary config server.
- This happens when the difference in the number of chunks between two shards becomes too large.
- Specifically, the difference between the shard with the most chunks and the shard with the fewest.
- A balancing round starts when the imbalance reaches:
  - 2 when the cluster has < 20 chunks
  - 4 when the cluster has 20-79 chunks
  - 8 when the cluster has 80+ chunks

## Balancing is Resource Intensive

- Chunk migration requires copying all the data in the chunk from one shard to another.
- Each individual shard can be involved in one migration at a time. Parallel migrations can occur for each shard migration pair (source + destination).
- The amount of possible parallel chunk migrations for  $n$  shards is  $n/2$  rounded down.
- MongoDB creates splits only after an insert operation.
- For these reasons, it is possible to define a balancing window to ensure the balancer will only run during scheduled times.

## Chunk Migration Steps

1. The balancer process sends the `moveChunk` command to the source shard.
2. The source shard continues to process reads/writes for that chunk during the migration.
3. The destination shard requests documents in the chunk and begins receiving copies.
4. After receiving all documents, the destination shard receives any changes to the chunk.
5. Then the destination shard tells the config db that it has the chunk.
6. The destination shard will now handle all reads/writes.
7. The source shard deletes its copy of the chunk.

## Concluding a Balancing Round

- Each chunk will move:
  - From the shard with the most chunks
  - To the shard with the fewest
- A balancing round ends when all shards differ by at most one chunk.

## 5.3 Shard Zones

### Learning Objectives

Upon completing this module students should understand:

- The purpose for shard zones
- Advantages of using shard zones
- Potential drawbacks of shard zones

## Zones - Overview

- Shard zones allow you to “tie” data to one or more shards.
- A shard zone describes a range of shard key values.
- If a chunk is in the shard tag range, it will live on a shard with that tag.
- Shard tag ranges cannot overlap. In the case we try to define overlapping ranges an error will occur during creation.

### Example: DateTime

- Documents older than one year need to be kept, but are rarely used.
- You set a part of the shard key as the ISODate of document creation.
- Add shards to the LTS zone.
- These shards can be on cheaper, slower machines.
- Invest in high-performance servers for more frequently accessed data.

### Example: Location

- You are required to keep certain data in its home country.
- You include the country in the shard tag.
- Maintain data centers within each country that house the appropriate shards.
- Meets the country requirement but allows all servers to be part of the same system.
- As documents age and pass into a new zone range, the balancer will migrate them automatically.

### Example: Premium Tier

- You have customers who want to pay for a “premium” tier.
- The shard key permits you to distinguish one customer’s documents from all others.
- Tag the document ranges for each customer so that their documents will be located on shards of the appropriate tier (zone).
- Shards tagged as premium tier run on high performance servers.
- Other shards run on commodity hardware.
- See [Manage Shard Zone](http://docs.mongodb.org/manual/tutorial/manage-shard-zone/)<sup>13</sup>

---

<sup>13</sup><http://docs.mongodb.org/manual/tutorial/manage-shard-zone/>

## **Zones - Caveats**

- Because tagged chunks will only be on certain servers, if you tag more than those servers can handle, you'll have a problem.
  - You're not only worrying about your overall server load, you're worrying about server load for each of your tags.
- Your chunks will evenly distribute themselves across the available zones. You cannot control things more fine grained than your tags.

## 6 Security

*Security Introduction* (page 94) An introduction to security options in MongoDB

*Authorization* (page 96) Authorization in MongoDB

*Authentication* (page 102) Authentication in MongoDB

*Auditing* (page 103) Auditing in MongoDB

*Encryption* (page 105) Encryption at rest in MongoDB

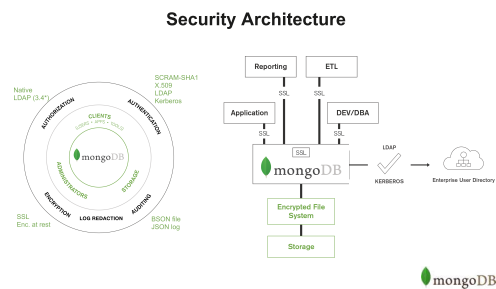
### 6.1 Security Introduction

#### Learning Objectives

Upon completing this module students should understand:

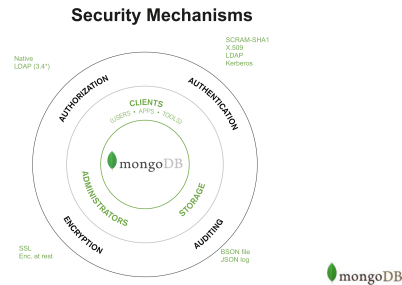
- The high-level overview of security in MongoDB
- Security options for MongoDB
  - Authentication
  - Authorization
  - Transport Encryption
  - Enterprise only features

#### A High Level Overview





## Security Mechanisms



## Authentication Options

- Community
  - Challenge/response authentication using SCRAM-SHA-1 (username & password)
  - X.509 Authentication (using X.509 Certificates)
- Enterprise
  - Kerberos
  - LDAP

## Authorization via MongoDB

- Predefined roles
- Custom roles
- LDAP authorization (MongoDB Enterprise)
  - Query LDAP server for groups to which a user belongs.
  - Distinguished names (DN) are mapped to roles on the `admin` database.
  - Requires external authentication (x.509, LDAP, or Kerberos).

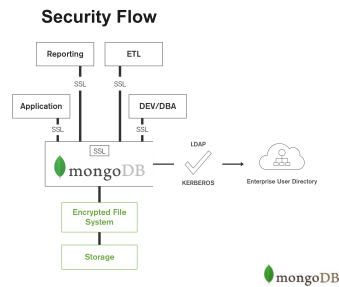
## Transport Encryption

- TLS/SSL
  - May use certificates signed by a certificate authority or self-signed.
- FIPS (MongoDB Enterprise)

## Network Exposure Options

- `bindIp` limits the ip addresses the server listens on.
- Using a non-standard port can provide a layer of obscurity.
- MongoDB should still be run only in a trusted environment.

## Security Flow



## 6.2 Authorization

### Learning Objectives

Upon completing this module, students should be able to:

- Outline MongoDB's authorization model
- List authorization resources
- Describe actions users can take in relation to resources
- Create roles
- Create privileges
- Outline MongoDB built-in roles
- Grant roles to users
- Explain LDAP authorization

## Authorization vs Authentication

Authorization and Authentication are generally confused and misinterpreted concepts:

- Authorization defines the rules by which users can interact with a given system:
  - Which operations can they perform
  - Over which resources
- Authentication is the mechanism by which users identify and are granted access to a system:
  - Validation of credentials and identities
  - Controls access to the system and operational interfaces

## Authorization Basics

- MongoDB enforces a role-based authorization model.
- A user is granted roles that determine the user's access to database resources and operations.

**The model determines:**

- Which roles are granted to users
- Which privileges are associated with roles
- Which actions can be performed over different resources

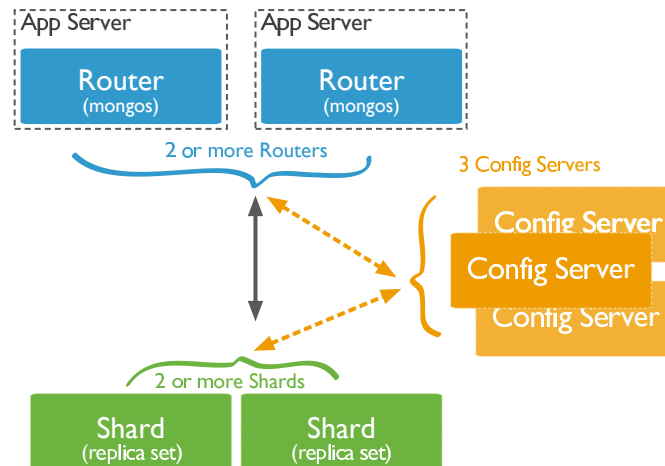
## What is a resource?

- Databases?
- Collections?
- Documents?
- Users?
- Nodes?
- Shard?
- Replica Set?

## Authorization Resources

- Databases
- Collections
- Cluster

## Cluster Resources



## Types of Actions

Given a resource, we can consider the available actions:

- Query and write actions
- Database management actions
- Deployment management actions
- Replication actions
- Sharding actions
- Server administration actions
- Diagnostic actions
- Internal actions

## Specific Actions of Each Type

Query / Write	Database Mgmt	Deployment Mgmt
find insert remove update	enableProfiler createIndex createCollection changeOwnPassword ...	planCacheRead storageDetails authSchemaUpgrade killop ...

See the [complete list of actions](#)<sup>14</sup> in the MongoDB documentation.

## Authorization Privileges

A privilege defines a pairing between a resource as a set of permitted actions.

Resource:

```
{"db": "yourdb", "collection": "mycollection"}
```

Action: find

Privilege:

```
{  
  resource: {"db": "yourdb", "collection": "mycollection"},  
  actions: ["find"]  
}
```

## Authorization Roles

MongoDB grants access to data through a role-based authorization system:

- Built-in roles: pre-canned roles that cover the most common sets of privileges users may require
- User-defined roles: if there is a specific set of privileges not covered by the existing built-in roles you are able to create your own roles

## Built-in Roles

Database Admin	Cluster Admin	All Databases
dbAdmin dbOwner userAdmin	clusterAdmin clusterManager clusterMonitor hostManager	readAnyDatabase readWriteAnyDatabase userAdminAnyDatabase dbAdminAnyDatabase

Database User	Backup & Restore
read readWrite	backup restore

Superuser	Internal
root	__system

<sup>14</sup><https://docs.mongodb.com/manual/reference/privilege-actions/>

## Built-in Roles

To grant roles while creating an user:

```
use admin
db.createUser(
  {
    user: "myUser",
    pwd: "$up3r$3cr7",
    roles: [
      {role: "readAnyDatabase", db: "admin"},
      {role: "dbOwner", db: "superdb"},
      {role: "readWrite", db: "yourdb"}
    ]
  }
)
```

## Built-in Roles

To grant roles to existing user:

```
use admin
db.grantRolesToUser(
  "reportsUser",
  [
    { role: "read", db: "accounts" }
  ]
)
```

## User-defined Roles

- If no suitable built-in role exists, we can create a role.
- Define:
  - Role name
  - Set of privileges
  - List of inherit roles (optional)

```
use admin
db.createRole({
  role: "insertAndFindOnlyMyDB",
  privileges: [
    {resource: { db: "myDB", collection: "" }, actions: ["insert", "find"]}
  ],
  roles: []})
```

## Role Privileges

To check the privileges of any particular role we can get that information using the `getRole` method:

```
db.getRole("insertAndFindOnlyMyDB", {showPrivileges: true})
```

## LDAP Authorization

As of MongoDB 3.4, MongoDB supports *authorization* with LDAP.

### How it works:

1. User authenticates via an external mechanism

```
$ mongo --username alice \  
      --password secret \  
      --authenticationMechanism PLAIN \  
      --authenticationDatabase '$external'
```

### LDAP Authorization (cont'd)

2. Username is transformed into LDAP query

```
[  
  {  
    match: "(.+ )@ENGINEERING",  
    substitution: "cn={0},ou=engineering,dc=example,dc=com"  
  }, {  
    match: "(.+ )@DBA",  
    substitution: "cn={0},ou=dba,dc=example,dc=com"  
  }  
]
```

## LDAP Authorization (cont'd)

### 3. MongoDB queries the LDAP server

- A single entity's attributes are treated as the user's roles
- Multiple entity's distinguished names are treated as the user's roles

## Mongoldap

`mongoldap` can be used to test configurations between MongoDB and an LDAP server

```
$ mongoldap -f mongod.conf \  
--user "uid=alice,ou=Users,dc=example,dc=com" \  
--password secret
```

## 6.3 Authentication

### Learning Objectives

Upon completing this module, you should understand:

- Authentication mechanisms
- External authentication
- Native authentication
- Internal node authentication
- Configuration of authentication mechanisms

### Authentication

- Authentication is concerned with:
  - Validating identities
  - Managing certificates / credentials
  - Allowing accounts to connect and perform authorized operations
- MongoDB provides native authentication and supports X509 certificates, LDAP, and Kerberos as well.



## Authentication Mechanisms

MongoDB supports a number of authentication mechanisms:

- SCRAM-SHA-1 (default  $\geq 3.0$ )
- MONGODB-CR (legacy)
- X509 Certificates
- LDAP (MongoDB Enterprise)
- Kerberos (MongoDB Enterprise)

## Internal Authentication

For internal authentication purposes (mechanism used by replica sets and sharded clusters) MongoDB relies on:

- Keyfiles
  - Shared password file used by replica set members
  - Hexadecimal value of 6 to 1024 chars length
- X509 Certificates

## Simple Authentication Configuration

To get started we just need to make sure we are launching our mongod instances with the `--auth` parameter.

```
mongod --dbpath /data/db --auth
```

For any connections to be established to this mongod instance, the system will require a username and password.

```
mongo -u user -p
Enter password:
```

## 6.4 Auditing

### Learning Objectives

Upon completing this module, you should be able to:

- Outline the auditing capabilities of MongoDB
- Enable auditing
- Summarize auditing configuration options

## Auditing

- MongoDB Enterprise includes an auditing capability for mongod and mongos instances.
- The auditing facility allows administrators and users to track system activity
- Important for deployments with multiple users and applications.

## Audit Events

Once enabled, the auditing system can record the following operations:

- Schema
- Replica set and sharded cluster
- Authentication and authorization
- CRUD operations (DML, off by default)

## Auditing Configuration

The following are command-line parameters to mongod/mongos used to configure auditing.

Enable auditing with `--auditDestination`.

- `--auditDestination`: where to write the audit log
  - syslog
  - console
  - file
- `--auditPath`: audit log path in case we define “file” as the destination

## Auditing Configuration (cont'd)

- `--auditFormat`: the output format of the emitted event messages
  - BSON
  - JSON
- `--auditFilter`: an expression that will filter the types of events the system records

By default we only audit DDL operations but we can also enable DML (requires `auditAuthorizationSuccess` set to true)

## Auditing Message

The audit facility will launch a message every time an auditable event occurs:

```
{
  atype: <String>,
  ts : { "$date": <timestamp> },
  local: { ip: <String>, port: <int> },
  remote: { ip: <String>, port: <int> },
  users : [ { user: <String>, db: <String> }, ... ],
  roles: [ { role: <String>, db: <String> }, ... ],
  param: <document>,
  result: <int>
}
```

## Auditing Configuration

If we want to configure our audit system to generate a *JSON* file we would need express the following command:

```
mongod --auditDestination file --auditPath /some/dir/audit.log --auditFormat JSON
```

If we want to capture events from a particular user *myUser*:

```
mongod --auditDestination syslog --auditFilter '{"users.user": "myUser"}'
```

To enable DML we need to set a specific parameter:

```
mongod --auditDestination console --setParameter auditAuthorizationSuccess=true
```

## 6.5 Encryption

### Learning Objectives

Upon completing this module, students should understand:

- The encryption capabilities of MongoDB
- Network encryption
- Native encryption
- Third party integrations

## Encryption

MongoDB offers two levels of encryption

- Transport layer
- Encryption at rest (MongoDB Enterprise >=3.2)

## Network Encryption

- MongoDB enables TLS/SSL for transport layer encryption of traffic between nodes in a cluster.
- Three different network architecture options are available:
  - Encryption of application traffic connections
  - Full encryption of all connections
  - Mixed encryption between nodes

## Native Encryption

MongoDB Enterprise comes with a encrypted storage engine.

- Native encryption supported by WiredTiger
- Encrypts data at rest
  - AES256-CBC: 256-bit Advanced Encryption Standard in Cipher Block Chaining mode (default)
    - \* symmetric key (same key to encrypt and decrypt)
  - AES256-GCM: 256-bit Advanced Encryption Standard in Galois/Counter Mode
  - FIPS is also available
- Enables integration with key management tools

## Encryption and Replication

- Encryption is not part of replication:
  - Data is not natively encrypted on the wire
    - \* Requires transport encryption to ensure secured transmission
  - Encryption keys are not replicated
    - \* Each node should have their own individual keys

### Third Party Integration

- Key Management Interoperability Protocol (KMIP)
  - Integrates with Vormetric Data Security Manager (DSM) and SafeNet KeySecure
- Storage Encryption
  - Linux Unified Key Setup (LUKS)
  - IBM Guardium Data Encryption
  - Vormetric Data Security Platform
    - \* Also enables Application Level Encryption on per-field or per-document
  - Bitlocker Drive Encryption

## 7 Reporting Tools and Diagnostics

*Performance Troubleshooting (page 108)* An introduction to reporting and diagnostic tools for MongoDB

### 7.1 Performance Troubleshooting

#### Learning Objectives

Upon completing this module students should understand basic performance troubleshooting techniques and tools including:

- `mongostat`
- `mongotop`
- `db.setProfilingLevel()`
- `db.currentOp()`
- `db.<COLLECTION>.stats()`
- `db.serverStatus()`

#### **mongostat and mongotop**

- `mongostat` samples a server every second.
  - See current ops, pagefaults, network traffic, etc.
  - Does not give a view into historic performance; use Ops Manager for that.
- `mongotop` looks at the time spent on reads/writes in each collection.

#### **Exercise: mongostat (setup)**

In one window, perform the following commands.

```
db.testcol.drop()
for (i=1; i<=10000; i++) {
  arr = [];
  for (j=1; j<=1000; j++) {
    doc = { _id: (1000 * (i-1) + j), a: i, b: j, c: (1000 * (i-1) + j) };
    arr.push(doc)
  };
  db.testcol.insertMany(arr);
  var x = db.testcol.find( { b : 255 } );
  x.next();
  var x = db.testcol.find( { _id : 1000 * (i-1) + 255 } );
  x.next();
  var x = "asdf";
  db.testcol.updateOne( { a : i, b : 255 }, { $set : { d : x.pad(1000) } });
  print(i)
}
```

### Exercise: mongostat (run)

- In another window/tab, run mongostat.
- You will see:
  - Inserts
  - Queries
  - Updates

### Exercise: mongostat (create index)

- In a third window, create an index when you see things slowing down:

```
db.testcol.createIndex( { a : 1, b : 1 } )
```
- Look at mongostat.
- Notice that things are going significantly faster.
- Then, let's drop that and build another index.

```
db.testcol.dropIndexes()  
db.testcol.createIndex( { b : 1, a : 1 } )
```

### Exercise: mongotop

Perform the following then, in another window, run mongotop.

```
db.testcol.drop()  
for (i=1; i<=10000; i++) {  
  arr = [];  
  for (j=1; j<=1000; j++) {  
    doc = { _id: (1000*(i-1)+j), a: i, b: j, c: (1000*(i-1)+j) };  
    arr.push(doc)  
  };  
  db.testcol.insertMany(arr);  
  var x = db.testcol.find( {b: 255} ); x.next();  
  var x = db.testcol.find( { _id: 1000*(i-1)+255 } ); x.next();  
  var x = "asdf";  
  db.testcol.updateOne( {a: i, b: 255}, { $set: {d: x.pad(1000)}} );  
  print(i)  
}
```

## **db.currentOp()**

- currentOp is a tool that asks what the db is doing at the moment.
- currentOp is useful for finding long-running processes.
- Fields of interest:
  - microsecs\_running
  - op
  - query
  - lock
  - waitingForLock

## **Exercise: db.currentOp()**

Do the following then, connect with a separate shell, and repeatedly run `db.currentOp()`.

```
db.testcol.drop()
for (i=1; i<=10000; i++) {
  arr = [];
  for (j=1; j<=1000; j++) {
    doc = {_id: (1000*(i-1)+j), a: i, b: j, c: (1000*(i-1)+j)};
    arr.push(doc)
  };
  db.testcol.insertMany(arr);
  var x = db.testcol.find( {b: 255} ); x.next();
  var x = db.testcol.find( {_id: 1000*(i-1)+255 } ); x.next();
  var x = "asdf";
  db.testcol.updateOne( {a: i, b: 255}, {$set: {d: x.pad(1000)}});
  print(i)
}
```

## **db.<COLLECTION>.stats()**

- Used to view the current stats for a collection.
- Everything is in bytes; use the multiplier parameter to view in KB, MB, etc
- You can also use `db.stats()` to do this at scope of the entire database



## Exercise: Using Collection Stats

Look at the output of the following:

```
db.testcol.drop()
db.testcol.insertOne( { a : 1 } )
db.testcol.stats()
var x = "asdf"
db.testcol2.insertOne( { a : x.pad(10000000) } )
db.testcol2.stats()
db.stats()
```

## The Profiler

- Off by default.
- To reset, `db.setProfilingLevel(0)`
- At setting 1, it captures “slow” queries.
- You may define what “slow” is.
- Default is 100ms: `db.setProfilingLevel(1)`
- E.g., to capture 20 ms: `db.setProfilingLevel(1, 20)`

## The Profiler (continued)

- If the profiler level is 2, it captures all queries.
  - This will severely impact performance.
  - Turns all reads into writes.
- Always turn the profiler off when done (set level to 0)
- Creates `db.system.profile` collection

## Exercise: Exploring the Profiler

Perform the following, then look in your `db.system.profile`.

```
db.setProfilingLevel(0)
db.testcol.drop()
db.system.profile.drop()
db.setProfilingLevel(2)
db.testcol.insertOne( { a : 1 } )
db.testcol.find()
var x = "asdf"
db.testcol.insertOne( { a : x.pad(10000000) } ) // ~10 MB
db.setProfilingLevel(0)
db.system.profile.find().pretty()
```

## **db.serverStatus()**

- Takes a snapshot of server status.
- By taking diffs, you can see system trends.
- Most of the data that MMS gets is from here.

## **Exercise: Using db.serverStatus()**

- Open up two windows. In the first, type:

```
db.testcol.drop()  
var x = "asdf"  
for (i=0; i<=10000000; i++) {  
    db.testcol.insertOne( { a : x.pad(100000) } )  
}
```

- In the second window, type periodically:

```
var x = db.serverStatus(); x.metrics.document
```

## **Analyzing Profiler Data**

- Enable the profiler at default settings.
- Run for 5 seconds.
- Slow operations are captured.
- The issue is there is not a proper index on the message field.
- You will see how fast documents are getting inserted.
- It will be slow b/c the documents are big.

## **Performance Improvement Techniques**

- Appropriate write concerns
- Bulk operations
- Good schema design
- Good Shard Key choice
- Good indexes

## Performance Tips: Write Concern

- Increasing the write concern increases data safety.
- This will have an impact on performance, however.
- This is especially true when there are network issues.

## Bulk Operations

- Using bulk operations (including `insertMany` and `updateMany` ) can improve performance, especially when using write concern greater than 1.
- These enable the server to amortize acknowledgement.
- Can be done with both `insertMany` and `updateMany` .

## Exercise: Comparing `insertMany` with `mongostat`

Let's spin up a 3-member replica set:

```
mkdir -p /data/replset/{1,2,3}
mongod --logpath /data/replset/1/mongod.log \
      --dbpath /data/replset/1 --replSet mySet --port 27017 --fork
mongod --logpath /data/replset/2/mongod.log \
      --dbpath /data/replset/2 --replSet mySet --port 27018 --fork
mongod --logpath /data/replset/3/mongod.log \
      --dbpath /data/replset/3 --replSet mySet --port 27019 --fork

echo "conf = {_id: 'mySet', members: [{_id: 0, host: 'localhost:27017'}, \
    {_id: 1, host: 'localhost:27018'}, {_id: 2, host: 'localhost:27019'}]}; \
rs.initiate(conf)" | mongo
```

## `mongostat`, `insertOne` with `{w: 1}`

Perform the following, with `writeConcern : 1` and `insertOne()`:

```
db.testcol.drop()
for (i=1; i<=10000; i++) {
  for (j=1; j<=1000; j++) {
    db.testcol.insertOne( { _id : (1000 * (i-1) + j),
                          a : i, b : j, c : (1000 * (i-1) + j) },
                          { writeConcern : { w : 1 } } );
  };
  print(i);
}
```

Run `mongostat` and see how fast that happens.

## Multiple insertOne s with {w: 3}

Increase the write concern to 3 (safer but slower):

```
db.testcol.drop()
for (i=1; i<=10000; i++) {
  for (j=1; j<=1000; j++) {
    db.testcol.insertOne(
      { _id: (1000 * (i-1) + j), a: i, b: j, c: (1000 * (i-1)+ j)},
      { writeConcern: { w: 3 } }
    );
  };
  print(i);
}
```

Again, run mongostat.

## mongostat, insertMany with {w: 3}

- Finally, let's use insertMany to our advantage:
- Note that writeConcern is still { w: 3 }

```
db.testcol.drop()
for (i=1; i<=10000; i++) {
  arr = []
  for (j=1; j<=1000; j++) {
    arr.push(
      { _id: (1000 * (i-1) + j), a: i, b: j, c: (1000 * (i-1)+ j) }
    );
  };
  db.testcol.insertMany( arr, { writeConcern : { w : 3 } } );
  print(i);
}
```

## Schema Design

- The structure of documents affects performance.
- Optimize for your application's read/write patterns.
- We want as few requests to the database as possible to perform a given application task.
- See the data modeling section for more information.

## Shard Key Considerations

- Choose a shard key that distributes load across your cluster.
- Create a shard key such that only a small number of documents will have the same value.
- Create a shard key that has a high degree of randomness.
- Your shard key should enable a mongos to target a single shard for a given query.

## Indexes and Performance

- Reads and writes that don't use an index will cripple performance.
- In compound indexes, order matters:
  - Sort on a field that comes before any range used in the index.
  - You can't skip fields; they must be used in order.
  - Revisit the indexing section for more detail.

## 8 Backup and Recovery

*Backup and Recovery* (page 116) An overview of backup options for MongoDB

### 8.1 Backup and Recovery

Disasters Do Happen



## Human Disasters



### Terminology: RPO vs. RTO

- **Recovery Point Objective (RPO):** How much data can you afford to lose?
- **Recovery Time Objective (RTO):** How long can you afford to be off-line?

### Terminology: DR vs. HA

- **Disaster Recovery (DR)**
- **High Availability (HA)**
- Distinct business requirements
- Technical solutions may converge

## Quiz

- Q: What's the hardest thing about backups?
- A: Restoring them!
- **Regularly test that restoration works!**

## Backup Options

- Document Level
  - Logical
  - mongodump, mongorestore
- File system level
  - Physical
  - Copy files
  - Volume/disk snapshots

## Document Level: mongodump

- Dumps collection to BSON files
- Mirrors your structure
- Can be run live or in offline mode
- Does not include indexes (rebuilt during restore)
- --dbpath for direct file access
- --oplog to record oplog while backing up
- --query/filter selective dump

## **mongodump**

```
$ mongodump --help
Export MongoDB data to BSON files.
```

options:

--help	produce help message
-v [ --verbose ]	be more verbose (include multiple times for more verbosity e.g. -vvvvv)
--version	print the program's version and exit
-h [ --host ] arg	mongo host to connect to ( /s1,s2 for
--port arg	server port. Can also use --host hostname
-u [ --username ] arg	username
-p [ --password ] arg	password
--dbpath arg	directly access mongod database files in path
-d [ --db ] arg	database to use
-c [ --collection ] arg	collection to use (some commands)
-o [ --out ] arg (=dump)	output directory or "-" for stdout
-q [ --query ] arg	json query
--oplog	Use oplog for point-in-time snapshotting



## File System Level

- **Must use journaling!**
- Copy `/data/db` files
- Or snapshot volume (e.g., LVM, SAN, EBS)
- *Seriously, always use journaling!*

## Ensure Consistency

Flush RAM to disk and stop accepting writes:

- `db.fsyncLock()`
- Copy/Snapshot
- `db.fsyncUnlock()`

## File System Backups: Pros and Cons

- Entire database
- Backup files will be large
- Fastest way to create a backup
- Fastest way to restore a backup

## Document Level: `mongorestore`

- `mongorestore`
- `--oplogReplay` replay oplog to point-in-time

## File System Restores

- All database files
- Selected databases or collections
- Replay Oplog

## Backup Sharded Cluster

1. Stop Balancer (and wait) or no balancing window
2. Stop one config server (data R/O)
3. Backup Data (shards, config)
4. Restart config server
5. Resume Balancer

## Restore Sharded Cluster

1. Dissimilar # shards to restore to
2. Different shard keys?
3. Selective restores
4. Consolidate shards
5. Changing addresses of config/shards

## Tips and Tricks

- mongodump/mongorestore
  - --oplog[Replay]
  - --objcheck/--repair
  - --dbpath
  - --query/--filter
- bsondump
  - inspect data at console
- LVM snapshot time/space tradeoff
  - Multi-EBS (RAID) backup
  - clean up snapshots





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