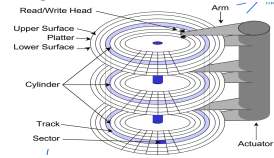


L1 - Data Storage

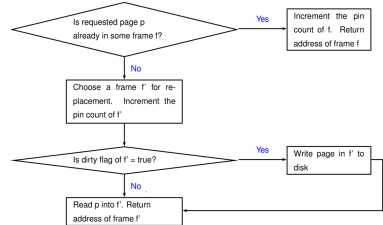
Magnetic Disks



- Disk Access Time** Seek time + Rotational Latency + Transfer time
- Response time** Queueing delay + Disk access time
- Rotational Delay** $\frac{1}{2} \frac{60s}{RPM}$
- Transfer Time** sectors on the same track * $\frac{TimePerRevolution}{SectorsPerTrack}$

Buffer Manager

- Buffer pool** Main memory allocated for DBMS
- pin count** is incremented upon pinning
- dirty bit** is updated when the page is unpinned (if modified)
- Replacement is only possible if pin count == 0

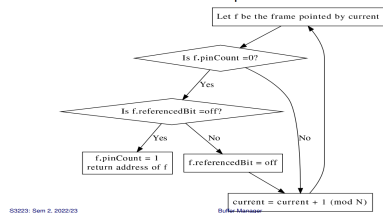


Replacement Policies LRU Policy

- Maintains a queue of pointers to frames with pin count = 0

Clock Replacement Policy

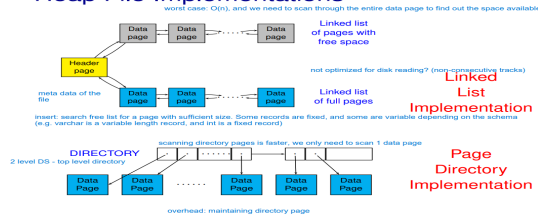
N = number of frames in buffer pool



- Simplifies LRU with a second chance round robin system
- Each frame has a **reference bit** that is turned on when pin count reaches 0
- Replaces a page when referenced bit is off and pin count is 0

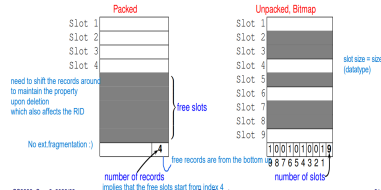
File Organisation

Heap File Implementations



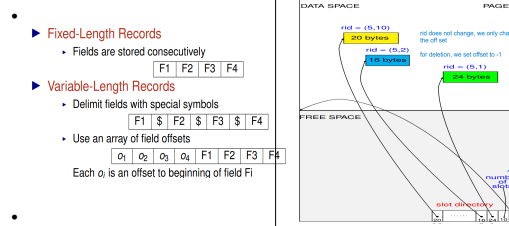
Page Formats: Fixed Length Records

- Packed Organisation** Store records in contiguous slots
- Unpacked Organisation** Uses a bit array to maintain free slots



Page Formats: Slotted Page (variable length record)

- Store records in slots of (record offset, record length)
- Record Offset: Offset of the record from the start of the page



L2 And L3 - Indexing

- A search key is a sequence of k attributes. If $k \geq 1$, composite key
- A search key is an unique index if it is a candidate key
- An index is stored as a file

Format of data entries

- Format 1: k^* is an actual data record with search value k
- Format 2: k^* is the form (k, rid)
- Format 3: k^* is the form (k, rid-list*)
- Note: Different formats affects the number of data entries stored in a page

Clustered Vs Unclustered

- Clustered**: Order of data entries is the same as the order of data records. Can only be built on ordered field (e.g. primary key)
- Unclustered**: Order of data entries does not correspond to the order of data records
- The implication is that we can read an entire clustered page with 1 I/O
- B+ Tree: Format 1 is clustered, Format 2 and 3 can be clustered if data records are sorted on the search key
- Hash: Only format 1 is clustered since hashing do not store data entries in search key order

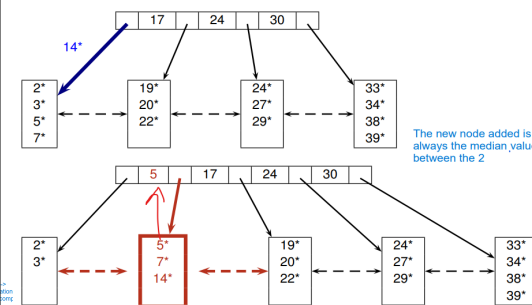
Tree Based Index - B+ Tree

- Leaf nodes are doubly linked and store Data Entries

- Internal nodes store index entries (p0, k, p1 ... pk, k, pk+1)
- Internal nodes contains m entries, $m \in [d, 2d]$ → space utilisation $\geq 50\%$
- Root contains m entries, $m \in [1, 2d]$

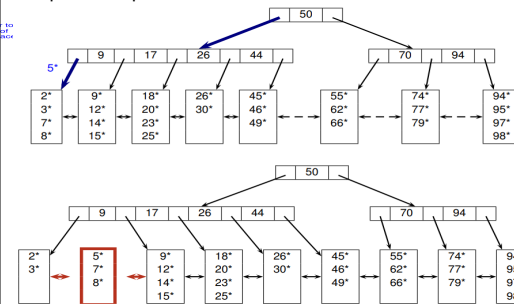
B+ Tree - Split Overflow Nodes

- Distribute d+1 entries to the new leaf node
- Create new entry index using smallest key in the new node (middle key)
- Insert new entry into parent node of overflowed node

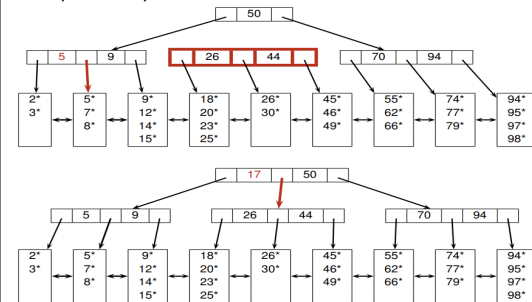


B+ Tree - Overflow Propagation

5 is pushed up



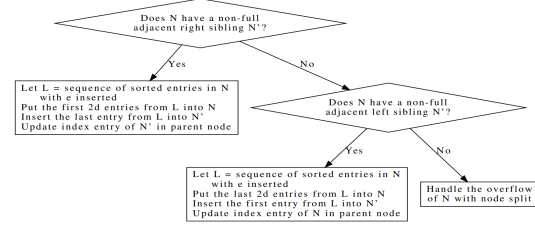
17 is pushed up



Excess middle node is pushed updated to parent node

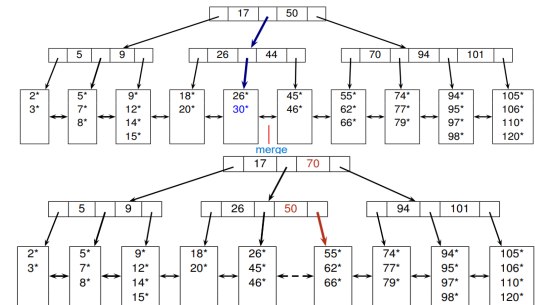
B+ Tree - Redistribution of data entries

Two nodes are siblings if they have the same parent node



B+ Tree - Underflow

- Underflow occurs when a node has less than d entries
- Underflow is resolved by redistributing entries between siblings
- An underflow node is merged if each of its adjacent siblings have exactly d entries



B+ Tree - Bulk Loading

- Initializing a B+ tree by insertion is expensive (need to traverse tree n times)
- 1. Sort all data entries by search key
- 2. Initialise B+ tree with an empty root page
- 3. Load data entries into leaf pages
- 4. In asc order, insert the index entry of each leaf page into the rightmost parent node

Hash Based Index

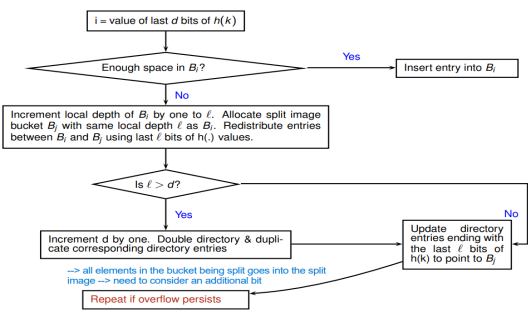
- Does not support range search, only equality queries

Static Hashing

- N buckets, each bucket has 1 primary page and ≥ 0 overflow pages
- To maintain performance, we need to routinely construct bigger hash tables and redistribute data entries

Dynamic Hashing - Extendible Hashing

- No overflow pages! A bucket can be thought of as a page
- At most 2 Disk I/Os for equality search (at most 1 if directory and bucket fits in memory)
- Instead of maintaining data entries, we maintain pointers to data entries in buckets
- Instead of maintaining buckets, maintain a directory of pointers to buckets
- The directory has 2^d buckets, where d is the global depth – large overhead if hashing is uniform
- Each director entry differs by a unique d-bit address
- Two directories are corresponding iff their addresses differ only in the dth bit
- All entries with the same local depth (l) have the same last l bits in h(k)



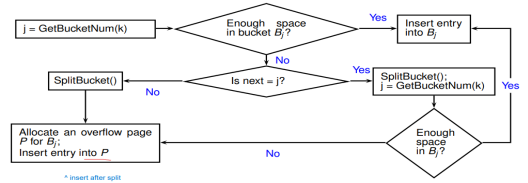
Extendible Hashing - Split, Double

- Split and doubling is checked every time a bucket is full
- Doubling only happens if local depth = global depth
- The split image has the same depth as the split bucket
- Other than the split image of the split bucket, split image of other buckets points to the same corresponding bucket
- Each bucket is pointed by $2^{(d-l)}$ directories

Extendible Hashing - Deletion

- B_i is deallocated
- I decrement by 1
- Directory Entries that point to B_i points to its corresponding bucket

Dynamic Hashing - Linear Hashing



- GetBucketNum(k)** returns bucket # where entry with search key k is located

$$GetBucketNum(k) = \begin{cases} \phi_{next}(k) & \text{if } \phi_{next}(k) \geq next, \\ \phi_{next+1}(k) & \text{otherwise.} \end{cases}$$

search key in unsplit (points to next bucket)
- SplitBucket()** splits bucket B_{next}
 - Redistribute the entries in B_{next} into $B_{next+N_{new}}$ using $\phi_{next+1}()$
 - $next = next + 1$
 - if $(next == N_{new})$ then $level = level + 1$; $next = 0$

search key in split (points to next bucket)

- One I/O for equality search (more per number of overflow pages in bucket)
- Performs worse than extendible hashing if distribution is skewed
- Does not require a directory
- Higher average space utilisation, but longer overflow chains
- Has a family of hash functions, with each having a range twice of its predecessor
- N_0 : initial number of buckets
- $N_i = 2^i N_0$: number of buckets at start of round i
- $next$: the next bucket to be split, this is incremented every time split happens
- $h_i = h(k) \bmod N_i$: hash function for round i , if the bucket $\leq next$ (already split)
- $h_{i+1} = h(k) \bmod N_{i+1}$: hash function for round $i+1$, if the bucket $> next$
- Split Criteria: By default, split when a bucket overflows

Linear Hashing - Deletion

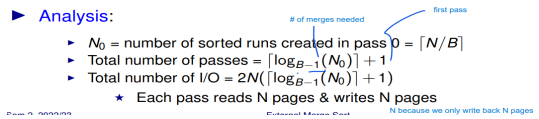
- Essentially the inverse of insertion
- If the last bucket is empty \rightarrow delete it, $next \leftarrow next - 1$
- If $next$ is 0, set it to $M/2 - 1$, and we can decrement level by 1 (half of buckets have been deleted if $next$ is 0)
- Merging with corresponding bucket is optional

L4: Query Evaluation - Sort, Select

Sorting - External Merge Sort

Projection, join, bulk loading etc all require sorting

- Uses B number of buffer pages
- Pass 0**: Creation of sorted runs
 - Read in and sort B pages at a time
 - Number of sorted runs created = $\lceil N/B \rceil$
 - Size of each sorted run = B pages (except possibly for last run)
- Pass $i, i \geq 1$** : Merging of sorted runs
 - Use $B-1$ buffer pages for input & one buffer page for output
 - Performs (B-1)-way merge



External Merge Sort - Bocked I/O

- Read and write in blocks of b buffer pages (replace b with 1 for unoptimised)
- $\lfloor \frac{B-b}{b} \rfloor$ blocks for input, 1 block for output
- Can merge at most $\lfloor \frac{B-b}{b} \rfloor$ sorted runs in each merge pass
- $F = \lfloor \frac{B}{b} \rfloor - 1$ runs can be merged at each pass
- Num passes = $\log_F N_0$

B+ tree sort

- B+ Tree is sorted by key
- Format 1 (clustered): Sequential Scan
- Format 2/3: Retrieve data using RID for each data entry
- Unclustered implies more I/Os

Access Path refers to the different ways to retrieve tuples from a relation. It is either a **file scan** or a **index plus matching selection condition**. The more **selective** the access paths, the fewer pages are read from the disk.

- Table scan: scan all data pages
- Index scan: scan all index pages
- Table intersection: combine results from multiple index scans (union, intersect). Find RIDs of each predicate and get the intersection

Query: Selection Covering Index

- I is a covering index of $query Q$ if I contains all attributes of Q
- No RID lookup is needed, Index-only plan
- If data is unclustered, unsorted, no index - \hat{z} best way is to collect all entries and sort by RID before doing I/O

CNF Predicate

- Find RIDs of each predicate and get the intersection
- Conjuncts are in the form (R.A op c V R.a op R.b)
- CNF are conjuncts (or terms) connected by \wedge

Matching Predicates - B+ Tree

- Non-disjunctive CNF (no \vee)
- At most one non-equality comparison operator which must be on the **last attribute in the CNF**
- $(k_1 = c_1) \wedge (k_2 = c_2) \wedge \dots k_i op c_i I = (k_1, k_2 \dots k_n)$
- The order of k matters, and there cannot be missing K_i in the middle of the CNF
- Having inequality operator before equality operator makes the query to be less selective

Matching Predicates - Hasing

- No inequality operators
- $(k_1 = c_1) \wedge \dots k_i = c_n I = (k_1, k_2 \dots k_n)$
- Unlike B+ tree, **all predicates must match**

$l = (\text{age}, \text{weight}, \text{height}), p = (\text{age} \geq 20 \wedge \text{age} \geq 18 \text{weight} = 50 \wedge \text{height} = 150 \wedge \text{level} = 3)$

Primary Conjuncts: The subset of conjuncts in p that l matches

Primary Conjuncts: $\text{age} \geq 20 \wedge \text{age} \geq 18$

Covered Conjuncts: The subset of conjuncts in p that l covers (conjuncts that appear in l). Primary conjunct \subseteq covered conjunct

Covered Conjuncts: $\text{age} \geq 20 \wedge \text{age} \geq 18 \wedge \text{height} = 150$

Cost Notation

Notation	Meaning
r	relational algebra expression
$ r $	number of tuples in output of r
$ r $	number of pages in output of r
b_d	number of data records that can fit on a page
b_i	number of data entries that can fit on a page
F	average fanout of B ⁺ -tree index (i.e., number of pointers to child nodes)
h	height of B ⁺ -tree index (i.e., number of levels of internal nodes)
	$h = \lceil \log_F(\lceil \frac{ R }{b_i} \rceil) \rceil$ if format-2 index on table R
B	number of available buffer pages

Cost of B+-tree index evaluation of p

Let p' =primary conjuncts of p — p_c =covered conjuncts of p

- Navigate internal nodes to locate the first leaf page

$$Cost_{internal} = \begin{cases} \lceil \log_F(\lceil \frac{|R|}{b_d} \rceil) \rceil |Format 1| \\ \lceil \log_F(\lceil \frac{|R|}{b_i} \rceil) \rceil |Otherwise| \end{cases}$$

- This is traversing the height of B+ tree
- Scan leaf pages to access all qualifying data entries

$$Cost_{leaf} = \begin{cases} \lceil \frac{||\sigma_{p'}(R)||}{b_d} \rceil |Format 1| \\ \lceil \frac{||\sigma_{p'}(R)||}{b_i} \rceil |Otherwise| \end{cases}$$

- This is the cost of reading qualifying conjuncts
- Using p_c would be wrong since covering conjuncts may be non-matching which results in more reads from the leaves

- Retrieve qualified data records using RID lookups. 0 if I is covering OR format 1 index. $||\sigma_{p_c}(R)||$ otherwise

Cost of RID lookups could be reduced by first sorting the RIDs

$$\frac{||\sigma_{p_c}(R)||}{b_d} \leq Cost_{rid} \leq \min\{\frac{||\sigma_{p_c}(R)||}{b_i}, |R|\}$$

assuming clustered/organized data (sequenced I/O)
 calling because we have to read the additional page for the remainder RIDs

Cost of Hash index evaluation of p

- Format 1: cost to retrieve **data entries** is at least $\lceil \frac{||\sigma_{p'}(R)||}{b_d} \rceil$
- Format 2: cost to retrieve **data entries** is at least $\lceil \frac{||\sigma_{p'}(R)||}{b_i} \rceil$
- Format 2: Cost to retrieve **data records** is 0 if it is a covering index (all information in data entry) OR $||\sigma_{p'}(R)||$ otherwise

L5: Query Evaluation - Projection and Join

- $\pi^*(R)$ refers to projection without removing duplicates
- $\pi(R)$ involves 1. Removing unwanted attributes 2. Removing duplicates
- Sorting is better if we have many duplicates or if hte distribution is nonuniform(overflow more likely for hashing paritions)
- Sorting allows results to be sorted
- If $B > \sqrt{|\pi_L^*(R)|}$, then both sorting and hashing has similar I/O costs ($\lceil \frac{|R|}{B} \rceil \rightarrow |R| + 2 * |\pi_L^*(R)|$)

Approach 1: project based on sorting

- Naive**: Extract attributes L from records $\rightarrow \pi_L^*(R) \rightarrow$ Sort attributes \rightarrow Remove duplicates
- Cost: Cost to scan records ($|R|$) + Cost to output to temporary result ($|\pi_L^*(R)|$) \rightarrow cost to sort records ($2|\pi_L^*(R)| \log_m(N_0) + 1$) \rightarrow Cost to scan data records ($|\pi_L^*(R)|$)
- Optimisation**: Create Sorted runs with attributes L only (Pass 0) \rightarrow Merge sorted runs and remove duplicates $\rightarrow \pi_L(R)$

Approach 2: project based on hashing

- Build a main-memory hash table to detect and remove duplicates. Insert to the hashtable if then entry is not already in it.
- 1. Partition R into $R_1, R_2 \dots R_{B-1}$, hash on $\pi_L(t)$ for $t \in R \leftarrow (\pi_L^*(R_i))$ does not intersect $\pi_L^*(R_j), i! = j$
- 1.1 Use 1 buffer for input and (B-1) for output
- 1.2 Read R 1 page at a time, and hash tuples into B-1 partitions
- 1.3 Flush output buffer to disk when full
- 2. Eliminate duplicates in each partition $\pi_L^*(R_i)$
- $\pi_L(R) = \cup_i^{B-1} (\pi_L(R_i))$
- 2.1 For each partition, Initialise an in-memory hash table and insert each tuple into B_j if $t \notin B_j$

Parition overflow: Hash table $\pi_L^*(R_i)$ is larger than available memory buffers.

Solution: Recursively apply hash-based partitioning to overflowed partitions.

Analysis: Effective (no overflow) when $B > \frac{|\pi_L^*(R)|}{B-1} * f \approx \sqrt{f * \pi_L^*(R)|}$

If no partition overflow: (partition) $|R| + \pi_L^*(R)|$ + (duplicate elimination) $|\pi_L^*(R)|$

Index based projection: Do index scan if the wanted attribtues \subseteq search key

Join $R \bowtie_\theta S$, where R is the outer relation and S is the inner relation

- Tuple-based**
 - Cost: $|R| + |R| * |S|$
 - for each tuple r in R
 - for each tuple s in S
 - if (r matches s) then output (r, s) 4 to result
- Page-based**
 - Load P_R and P_S to main memory
 - Cost: $|R| + |R| * |S|$
 - for each page P_R in R
 - for each page P_S in S
 - for each tuple $r \in P_R$
 - for each tuple $s \in P_S$
 - if (r matches s) then output (r, s) 4 to result
- Block-based**
 - Allocate 1 page for S , 1 for output, B-2 for R
 - $|R| \leq |S|$
 - Cost: $|R| + (\lceil \frac{|R|}{B} \rceil - 2) * |S|$
 - while Scanning R
- Index Nested Loop Join**
 - There is an index on the join attributes of S
 - Uniform distribution: r joins $\lceil \frac{||S||}{||\pi_{B_j}(S)||} \rceil$ tuples in S
 - format 1
B+Tree: $R + |R| * |J|$
 - $J = \log_F(\lceil \frac{||S||}{b_d} \rceil)$ (tree traversal) + $\lceil \frac{||S||}{b_d ||\pi_{B_j}(S)||} \rceil$ (search leaf nodes)
 - for $r \in R$
 - use r to probe S 's index to find matching tuples