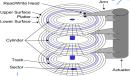
CS3223 AY22/23 Sem 2 github.com/SeekSaveServe

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 * TimePerRevolutionSectors PerTrack

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 possbile if pin count == 0

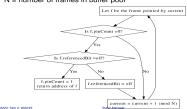


Replacement Policies LRU Policy

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

Clock Replacement Policy

N = number of frames in buffer pool Is f.pinCount =0



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

File Organisation

Heap File Implementations • Internal nodes contains m entries, $m \in [d, 2d] \rightarrow space$ utilisation > 50% List Implementation

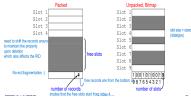
Page

Directory

Implementation

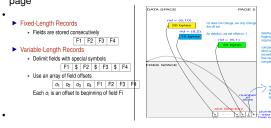
Page Formats: Fixed Length Records

- 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 ¿ 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 oreder 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

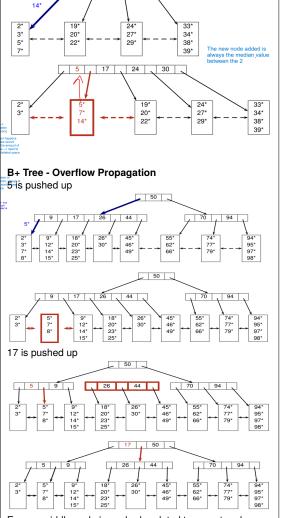
Tree Based Index - B+ Tree

· Leaf nodes are doubly linked and store Data Entries

- Internal nodes sotre index entries (p0, k, p1 ... pk, k,
- Root contains m entries, m ∈ [1, 2d]

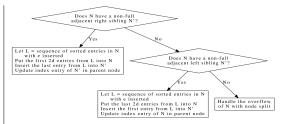
B+ Tree - Split Overflow Nodes

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



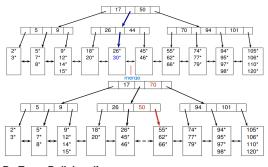
Excess middle node is pushed updated to parent node B+ Tree - Redistribution of data entries

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
- · An underflow node is merged if each of its adjacent siblings have exactly d entries



B+ Tree - Bulk Loading

- Initiazing 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

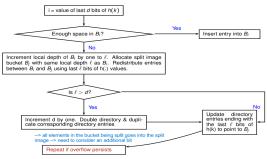
· Does not support range search, only equality queries

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 diffets by a unique d-bit adddress
- · Two directories are corresponding iff their addresses differ only in the dth bit
- · All entries with the same local depth (I) have the same last I bits in h(k)



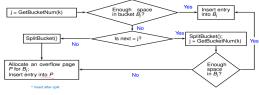
Extendible Hashing - Split, Double

- · 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

SplitBucket() splits bucket Bnext

- - Redistribute the entries in B_{next} into $B_{next+N_{level}}$ using $h_{level+1}()$
 - if (next = N_{level}) then { level = level + 1; next = 0 }
- 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
- · Has a family of hash functions, with each having a range twice of its predecessor
- N₀: 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 happnes
- $h_{i+1} = h(k) \mod N_{i+1}$: hash function for round i, if the bucket > next (already split)
- $h_i = h(k) mod N_i$: hash function for round i+1, if the bucket > next
- · Split Citeria: 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-
- 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 = [N/B] Size of each sorted run = B pages (except possibly for last run)
- Pass i, i > 1: Merging of sorted runs
 - ▶ Use B 1 buffer pages for input & one buffer page for output
 - Performs (B-1)-way merge
- ► Analysis:
 - N_0 = number of sorted runs created in pass $0 = \lceil N/B \rceil$
 - ► Total number of passes = $\lceil \log_{B-1}(N_0) \rceil + 1$
 - Total number of I/O = $2N(\lceil \log_{B-1}(N_0) \rceil + 1)$
 - * Each pass reads N pages & writes N pages

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
- $F = \lfloor \frac{B}{k} \rfloor 1$ runs can be merged at each pass
- Num passes = $\log_E N_0$

B+ tree sort

- · B+ Tree is sorted by key
- Format 1 (clustered): Seguential 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, intersec). 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 O
- No RID lookup is needed, Index-only plan
- If data is unclustered, unsorted, no index -; 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 ∧

Matching Predicates - B+ Tree

- Non-disjunctive CNF (no ∨)
- · At most one non-equality comparison operator which must be on the last attribute in the CNF
- $(k_1 = c_1) \wedge (k_2 = c_2) \wedge ... k_i opc_i | I = (k_1, k_2 ... k_n)$
- 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

 $(k_1 = c_1) \wedge ... k_i = c_n | I = (k_1, k_2 ... k_n)$ Unlike B+ tree, all predicates must match

I=(age, weight, height), p=($age \ge 20 \land age \ge 18weight =$ $50 \wedge height = 150 \wedge level = 3$

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

Primary Conjuncts: $age > 20 \land age > 18$

Covered Conjuncts: The subset of conjuncts in p that I covers (conjuncts that appear in I). Primary conjunct ⊂ covered conjunct

Covered Conjuncts: $age \ge 20 \land age \ge 18 \land height = 150$ Cost Notation

Notation	Meaning	
r	relational algebra expression	
r	number of tuples in output of r data records	
r	number of pages in output of r	
b _d	number of data records that can fit on a page	
bi	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	
В	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

1. Navigate internal nodes to locate the first leaf page

$$Cost_{internal} = \begin{cases} \lceil log_F(\lceil \frac{||R||}{b_d} \rceil) \rceil | Format1 \\ \lceil log_F(\lceil \frac{||R||}{b_i} \rceil) \rceil | Otherwise \end{cases}$$

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

$$Cost_{leaf} = \begin{cases} \lceil \frac{||\sigma_{p'}(R)||}{b_d} \rceil |Format1 \\ \lceil \frac{||\sigma_{p'}(R)||}{b_t} \rceil |Otherwise \end{cases}$$

- 2.1 This is the cost of reading qualifying conjuncts
- $\frac{1}{2}$.2 Using p_c would be wrong since covering conjuncts may be non-matching which results in more reads from the leaves
- 3 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

$$\underset{\text{assuming}}{\|\sigma_{g_{\mathcal{C}}}(R)\|} \|\sigma_{g_{\mathcal{C}}}(R)\| \le Cost_{rid} \le \min\{\|\sigma_{g_{\mathcal{C}}}(R)\|, |R|\} \\ \underset{\text{collisioned conditional cose for the remainder RDs}$$

Cost of Hash index evaluation of p

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

Approach 1: project based on sorting

- Naive: Extract attributes L from records $\rightarrow \pi_{\tau}^*(R) \rightarrow$ Sort attributes → Remove duplicates
- Cost: Cost to scan records (|R|) + Cost to output to temporary result $(|\pi_I^*(R)|) \to \cos t$ to sort records $(2|\pi_L^*(R)|\log_m(N_0)+1) \to \text{Cost to scan data records}$
- 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 $R_1, R_2...R_{B-1}$, hash on $\pi_L(t)$ for $t \in R \leftarrow (\pi_T^*(R_i) \text{ does not intersect } \pi_T^*(R_i), i! = j)$
- 1 Use 1 buffer for input and (B-1) for output
- .2 Read R 1 page at a time, and hash tuples into B-1 partitions
- .3 Flush output buffer to disk when full
- 2. Eliminate duplicates in each partition $\pi_{\tau}^*(R_i)$
- $\pi_L(R) = \cup_i^{B-1}(\pi_L(R_i))$
- 2.1 For each partition, Initialise an in-memory hash table and insert each tuple into B_i if $t \notin B_i$

Parition overflow: Hash table $\pi_{\tau}^{*}(R_{i})$ 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) $|R| + \pi_I^*(R)|$ + (duplicate elimination) $|\pi_{\tau}^{*}(R)|$

Index based projection: Do index scan if the wanted attribtues ⊂ 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

- 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 nested-loop

- · Allocate 1 page for S, 1 for output. B-2 for R |R| < |S|
- Cost:
- $|R| + (\lceil \frac{|R|}{B-2} \rceil * |S|)$
- $|R| \leq |S|$
- · while Scanning R
- · read next (B-2) pages of R to buffer
- for P_S in S
- read P_S into Buffer

$r \in buffer \land s \in P_S$

- if (r matches s) then output (r, s)4 to result
- · Without materialisation: $\left\lceil \frac{|R|}{B-2} \right\rceil * |T|$

Index Nested Loop Join

- · There is an index on the join attributes of S
- Uniform distribution: r joins $\lceil \frac{||S||}{||\pi_{B_i}(S)||} \rceil$ tuples in S
- format 1 B+Tree:|R| + ||R|| * J

• J = $\log_F(\lceil\frac{|S||}{b_d}\rceil)$ (tree traversal)+ $\lceil\frac{|S||}{b_d||\pi_{B_j}(S)||}$ (search leaf nodes)

- for $r \in R$
- use r to probe S's index to find matching tuples

• Load P_R and P_S to main • Sort-Merge Join

- · Sort R and S on join attributes and merge
- Cost:

```
1) +
```

- $\begin{array}{l} 2|\pi_L^*(S)|(\log_{B-1}(\frac{|S|}{B}) + \\ 1) + |\pi_L^*(R)| + |\pi_L^*(S)| \end{array}$ • merging cost is |R| +
- ||R|| * |S| if each tuple of R requires a full scan of S
- Optimisation: B > $N(R, i) + N(S, i) + 1 \ge$ $\sqrt{|R|+|S|}$
- · We can choose which relation to partition again if this is not met
- · Cost: cost of getting R, S + k(write out (|R| + |S|))
- + m(merge (|R| + |S|))
- · If sorted on join column: |R| + |S|

Grace Hash Join

- Partition into B-1partitions
- · If no partition overflow $(B > \sqrt{f * |S|})$:
- k(Cost to partition R, S) + Cost of probe phase
- · Partition cost = cost of getting R + cost to write partitions(|R|)
- Probe cost = |R| + |S|

L6: Query Optimisation

- 1. Search space: Queries considered
- Search Place Queries being considered
- Linear if at least one operand for each join is a base relation, bushy otherwise
- Left-deep if every right join operand is a base relation
- Right-deep if every left join operand is a base relation

2. Plan enumeration - for joins between 2 tables

```
Input: A SPJ query q on relations R_1, R_2, \dots, R_n
Output: An optimal query plan for q
       for i = 1 to n do
02
           optPlan(\{R_i\}) = best access plan for R_i
03.
        for i = 2 to n do
            for each S \subseteq \{R_1, \dots, R_n\}, |S| = i do
05.
                bestPlan = dummy plan with cost(bestPlan) = ∞
06.
               for each S_j, S_k, |S_j| \in [1, i), S = S_j \cup S_k do p = \text{best way to join optPlan}(S_i) and \text{optPlan}(S_k)
07.
                    if (cost(p) \le cost(bestplan)) then
08.
                optPlan(S) = bestPlan
11. return optPlan(\{R_1, \dots, R_n\})
```

- Decide on the plan for the 2 operands
- $2|\pi_L^*(R)|(\log_{B-1}(\sqrt{\frac{|R|}{B}}))$ + Decide on the plan to join: Block nested loop, sort merge join, grace hash join

3. Cost Model

- · Uniformity: uniform distribution of all values
- Independence: Independent distribution of values in different attributes
- Inclusion: for $R \bowtie S$, $if||\pi_A(R)|| \leq ||\pi_B(S)||$ then $\pi_A(R) \subset \pi_B(S)$

Plans-no join, 1 table

- **Table scan** Scan the entire table. Cost: |R|
- Index scan Scan the index. Cost: 2 + |leaf pages satisfying the predicate + ||entries satisfying predicate|| (unclustered)
- Index intersection with I_a I_b Cost to partition predicate1(R) + Cost to partition predicate2(R) + cost to intersect partitions 1,2 + cost to RID lookup
- cost to partition: Scan index for matching pages + cost to write partitions from matching entries

Histogram

- Equiwidth Each bucket has equal number of values
- Estimate: $\frac{1}{|bucket|}$ * ||bucket||
- Equidepth Each bucket has equal number of tuples
- Sub-ranges can overlap, tuples of the same value can be in 2 adjacent buckets
- $\frac{1}{|bucke_A|}$ * $||bucket_A||$ + $\frac{1}{|bucke_B|}$ * $||bucket_B||$ + ...
- MCV Separately track the top-k MCV and exclude them from the bucket

Size of auery

- Join $||R||*||S||*\frac{1}{\max(||\pi_b(R)||,||\pi_b(S)||)}$
- Select OR $(1-(p(\ a=x)*p(\ b=y))*||R||)$
- Select AND p(a = x) * p(b = y) * ||R||

L7: Transaction Management

View Equivalent

- If T_i reads A from T_i in S. then T_i must also read A from T_i in S'
- For each data object A, the Xact (if any) that performs the final write on A in S must also perform the final write on A in S'

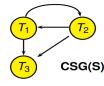
Conflicting actions - WW, WR

- Dirty Read T2 read uncommitted write from T1
- Unrepeatable Read T2 updates an object that T1 has previously read and T2 commits while T1 is still in progress → T1 can get a different value from read
- Lost Update T2 overwrites the value of an object that has been modified by T1 while T1 is still in progress
- View serializable prevents These
- Blind write $R_1(X), W_2(Y), W_1(X)$ Blind write: $W_2(Y)$
- Conflict Serializable Conflict equivalent to serial schedule, view serializable and not blind write
- Non Conflict Serializable find conflicting action pairs(R1(x) W1(x)), (R2(x) W1(x))

Conflict Serializability Graph

- V contains a node for each committed Xact in S
- E contains (T_i, T_i) if an action precedes and conflicts with one of T_i 's actions

 $R_1(A)$, $W_2(A)$, Commit₂, $W_1(A)$, Commit₁, $W_3(A)$, Commit₃



Schedules

- Cascading aborts T_i read from $T_i \to T_i$ aborts $\to T_i$
- Recoverable $\forall T \in S$ T2 must commit after T1 if T2 reads from T1
- Cascadeless Whenever T_i reads from T_i in S. Commit must precede this action
- Theorem 4: Cascadeless → Recoverable (not iff)
- Strict to use before-images, $\forall W_i(O) \in S$, O is not read or written by another Xact until Ti either aborts or commits
- Theorem 5: Strict → Cascadless (not iff) 2PL
- To read an object O, a Xact must hold a S-lock or X-lock
- To write to an object O, a Xact must hold a X-lock on O
- Once a Xact releases a lock, the Xact can't request any
- · Theorem 1: 2PL is conflict serializable

Strict 2PL

- To read an object O, a Xact must hold a S-lock or X-lock
- To write to an object O. a Xact must hold a X-lock on O.
- · A Xact must hold on to locks until Xact commits or aborts
- Theorem 2: Strict 2PL is strict and conflict serializable
- · Strict 2PL prevents cascading rollback and deadlock and ensures recoverability

Detect deadlocks

- Waits-for graph (WFG) → Deadlock is detected if WFG has a cycle
- · Breaks a deadlock by aborting a Xact in cycle

Deadlock Prevention

- Each Xact is assigned a timestamp when it starts
- Assume older (smaller time stamp) Xacts have higher priority than younger Xacts
- \triangleright Suppose T_i requests for a lock that conflicts with a lock held by T_i
- ► Two possible deadlock prevention policies:
 - ► Wait-die policy: lower-priority Xacts never wait for higher-priority Xacts
 - ► Wound-wait policy: higher-priority Xacts never wait for lower-priority Xacts

Prevention Policy	T_i has higher priority	T_i has lower priority
Wait-die	T_i waits for T_j	T _i aborts
Wound-wait	T _j aborts	T_i waits for T_j

L8: MVCC

Multi Version Serializable Schedle (MVSS)

- multiversion view equivalent if S and S' have the same set of read-from relationships
- i.e. Ri (xj) occurs in S iff Ri (xj) occurs in S'
- · Monoversion Schedule each read action returns the most recently created object version
- MVSS if there exists a serial Monoversion schedule that is multiversion view equivalent to S
- Note that a MVSS is not necessarily conflict serializable schedule if it is not a valid monoversion schedule
- E.g. W1(x1), R2(x0), R2(y0), W1(y1), C1, C2 is MVSS with (T2, T1) but contains conflicting actions W1(x1) and R2(X0)

Snapshot Isolation (SI)

- · Each Xact has a snapshot of the database at the start of the Xact and sees only versions from that snapshot and its own writes
- FUW T needs to acquire X-lock on O (if not wait), and if O has been updated by a concurrent T' then T aborts
- FCW (no locks) before committing T checks if O has been updated, abort if it has been updated
- · Write-skew anomaly, not MVSS: $R_1(X_0), R_2(X_0), R_1(Y_1), R_2(Y_2), W_1(X_1),$ $Commit1, W_2(Y_2), Commit2$

Transaction Dependencies

- WW from T1 to T2: T1 writes some version of X and T2 writes the immediate successor
- WR from T1 to T2: T1 writes some version of X which is
- RW from T1 to T2: T1 reads some version of X and T2 writes the immediate successor DSG V = xacts, E = Dependencies, use −− > for

concurrent transactions and → for non-concurrent