Access Paths

Data Structures

The DBMS needs several separate data structures

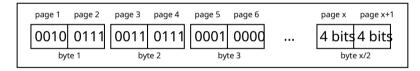
- for the free space management
- for the data itself (storage and retrieval)
- for unusually large data
- for index structures to speed up access

We will look at these in more detail.

Free Space Inventory

Problem: Where do we have space for incoming data?

Traditional solution: free space bitmap



Each nibble indicates the fill status of a given page.

Free Space Inventory (2)

Encode the fill status in 4 bits (some system use only 1 or 2):

- must approximate the status
- one possibility: data size / $\frac{\text{page size}}{2^{bits}}$
- loss of accuracy in the lower range
- logarithmic scale is often better
- [log₂(text size)]
- or a combination (logarithmic for lower range, linear for upper range)

Encodes the free space (alternative: the used space) in a few bits.

Free Space Inventory (3)

When inserting data,

- compute the required FSI entry (e.g., ≤ 7)
- scan the FSI for a matching entry
- insert the data on this page

Problem:

- linear effort
- FSI is small, for 16KB pages 1 FSI page covers 512MB
- but scan still not free
- only 16 FSI values, cache the next matching page (range)
- most pages will be static (and full anyway)
- segments will mostly grow at the end
- cache avoids scanning most of the FSI entries

Allocation

Allocating pages (or parts of a page) benefits from application knowledge

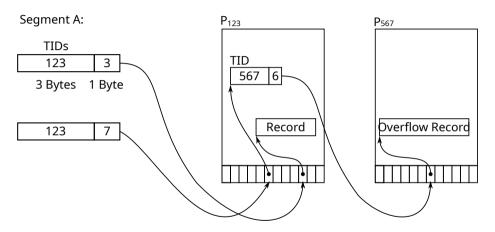
- often larger pieces are inserted soon after each other
- e.g. a set of tuples
- or one very large data item
- should be allocated close to each other

Allocation interface is usually

allocate(min, max)

- max is a hint to improve data layout
- some interfaces (e.g., segment growth) even implement over-allocation
- reduces fragmentation

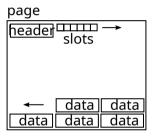
Slotted Pages



(TID size varies, but will most likely be at least 8 bytes on modern systems)

Slotted Pages (2)

Tuples are stored in slotted pages



- data grows from one side, slots from the other
- the page is full when both meet
- updates/deletes complicate issues, though
- might require garbage collection/compactification

Slotted Pages (3)

Header:

LSN for recovery

slotCount number of used slots

firstFreeSlot to speed up locating free slots

dataStart lower end of the data

freeSpace space that would be available after compactification

Note: a slotted page can contain hundreds of entries! Requires some care to get good performance.

Slotted Pages (4)

Slot:

```
offset start of the data item length length of the data item
```

Special cases:

- free slot: offset = 0, length = 0
- zero-length data item: offset > 0, length = 0

Slotted Pages (5)

Problem:

- 1. transaction T_1 updates data item i_1 on page P_1 to a very small size (or deletes i_1)
- 2. transaction T_2 inserts a new item i_2 on page P_1 , filling P_1 up
- 3. transaction T_2 commits
- 4. transaction T_1 aborts (or T_3 updates i_1 again to a larger size)

TID concept \Rightarrow create an indirection **but** where to put it? Would have to move i_1 and i_2 .

Slotted Pages (6)

Logic is much simpler if we can store the TID inside the slot

- borrow a bit from the TID (or have some other way to detect invalid TIDs)
- if the slot contains a valid TID, the entry is redirected
- otherwise, it is a regular slot

Depending on page size size, this wastes a bit space. But greatly simplifies the slotted page implementation.

Slotted Pages (7)

One possible slot implementation:

```
T S O O O L L L
```

- 1. if $T \neq 111111111_b$, the slot points to another record
- 2. otherwise the record is on the current page
 - 2.1 if S = 0, the item is at offset O, with length L
 - 2.2 otherwise, the item was moved from another page
 - it is also placed at offset O, with length L
 - but the first 8 bytes contain the original TID

The original TID is important for scanning.

Record Layout

The tuples have to be materialized somehow.

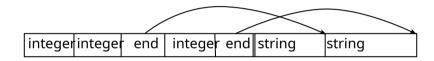
One possibility: serialize the attributes

integer	intege	length	string	integei	length	string
_	_	_	_	_	-	_

Problem: accessing an attribute is O(n) in worst case.

Record Layout (2)

It is better to store offset instead of lengths



- splits tuple into two parts
- fixed size header and variable size tail
- header contains pointers into the tail
- allows for accessing any attribute in O(1)

Record Layout (3)

For performance reasons one should even reorder the attributes

- split strings into length and data
- re-order attributes by decreasing alignment
- place variable-length data at the end
- variable length has alignment 1

Gives better performance without wasting any space on padding.

NULL Values

What about NULL values?

- represent an unknown/unspecified value
- is a special value outside the regular domain

Multiple ways to store it

- either pick an invalid value (not always possible)
- or use a separate NULL bit

NULL bits allow for omitting NULL values from the tuple

- complicates the access logic
- but saves space
- useful if NULL values are common.

Compression

Some DBMS apply compression techniques to the tuples

- most of the time, compression is **not** added to save space!
- disk is cheap after all
- compression is used to improve performance!
- reducing the size reduces the bandwidth consumption

Some people really care about space consumption, of course. But outside embedded DBMSs it is usually an afterthought.

Compression (2)

What to compress?

- the larger data compressed chunk, the better the compression
- but: DBMS has to handle updates
- usually rules out page-wise compression
- individual tuples can be compressed more easily

How to compress?

- general purpose compression like LZ77 too expensive
- compression is about performance, after all
- most system use special-purpose compression
- byte-wise to keep performance reasonable

Compression (3)

A useful technique for integer: variable length encoding

```
length (2 bits) data (0-4 bytes)
```

	Variant A	Variant B
00	1 byte value	NULL, 0 bytes value
01	2 bytes value	1 byte value
10	3 bytes value	2 bytes value
11	4 bytes value	4 bytes value

Compression (4)

The length is fixed length, the compressed data is variable length

fixed f	fixed	len₁len₂len₃len	4comp	comp ₂	comp ₄
---------	-------	-----------------	-------	-------------------	-------------------

Problem: locating compressed attributes

- depends on preceding compression
- would require decompressing all previous entries
- not too bad, but can be sped up
- use a lookup tuples per length byte

Compression (5)

Another popular technique: dictionary compression

Dictionary:

1	Berlin
2	München
3	Passauerstraße

Tuples:

city	street	number	
1	3	5	
2	3	7	

- stores strings in a dictionary
- stores only the string id in the tuple
- factors out common strings
- can greatly reduce the data size
- can be combined with integer compression

Compression (6)

```
Compressing the strings: FSST
     corpus
                                              corpus
                         symbol table
(uncompressed)
                                          (compressed)
http://in.tum.de
                                               063
                          http://
                                     7
http://cwi.nl
                                               07
                                     4
                          www.
www.uni-jena.de
                                               123
                          uni-jena
www.wikipedia.org
                                               1854
                          .de
http://www.vldb.org
                                               0194
                          .ora
. . .
                                               . . .
                                     6
                          in.tum
                                     6
                          cwi.nl
                          wikipedi
                                     8
                          vldb
                      255
                           symbol lenath
```

- compresses even short strings
- allow for random access within compressed data
- very fast decompression

Long Records

Data is organized in pages

- many reasons for this, including recovery, buffer management, etc.
- a tuple must fit on a single page
- limits the maximum size of a tuple

What about large tuples?

- sometimes the user wants to store something large
- e.g., embed a document
- SQL supports this via BLOB/CLOB

Requires some mechanism so handle these large records.

Long Records (2)

Simply spanning pages is not a good idea:

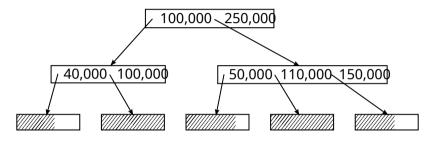
- must read an unbounded number of pages to access a tuple
- greatly complicates buffering
- a tuple might not even fit into main memory!
- updates that change the size are complicated
- intermediate results during query processing

Instead, keep the main tuple size down

- BLOBS/CLOBS are stored separate from the tuple
- tuple only contains a pointer
- increases the costs of accessing the BLOB, but simplifies tuple processing

Long Records (3)

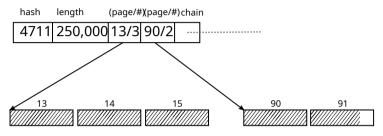
BLOBs can be stored in a B-Tree like fashion



- (relative) offset is search key
- allows for accessing and updating arbitrary parts
- very flexible and powerful
- but might be over-sophisticated
- SQL does not offer this interface anyway

Long Records (4)

Using an extent list is simpler



- real tuple points to BLOB tuple
- BLOB tuple contains a header and an extent list
- in worst case the extent list is chained, but should rarely happen
- extent list only allows for manipulating the BLOB in one piece
- but this is usually good enough
- hash and length to speed up comparisons

Long Records (5)

It makes sense to optimize for short BLOBs/CLOBs

- users misuse BLOBs/CLOBs
- they use CLOB to avoid specifying a maximum length
- but most CLOBs are short in reality
- on the other hand some BLOBs are really huge
- the DBMS cannot know
- so BLOBs can be arbitrary large, but short BLOBs should be more efficient

Approach:

- 1. BLOBs smaller than TID are encoded in BLOB TID
- 2. BLOBs smaller than page size are stored in BLOB record
- 3. only larger BLOBs use the full mechanism

Index Structures

Data is often indexed

- speeds up lookup
- de-facto mandatory for primary keys
- useful for selective queries

Two important access classes:

- point queries find all tuples with a given value (might be a compound)
- range queries find all tuples within a given value range

Support for more complex predicates is rare.

B-Tree

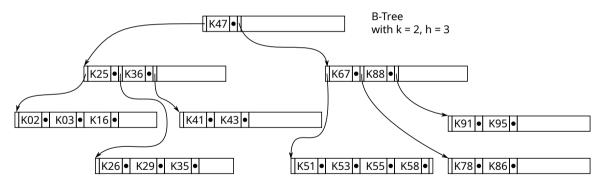
B-Trees (including variants) are the dominant data structure for external storage.

Classical definition:

- a B-Tree has a degree k
- each node except the root has at least k entries
- each node has at most 2k entries
- all leaf nodes are at the same depth

B-Tree (2)

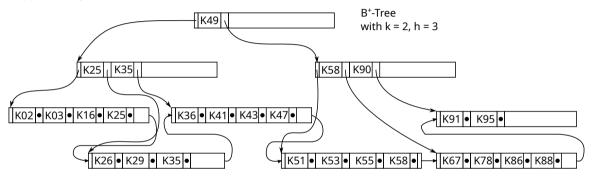
Example:



The • is the TID of the corresponding tuple.

B⁺-Tree

Most DBMS use the B⁺-Tree variant:



- key+TID only in leaf nodes
- inner nodes contain separators, might or might not occur in the data
- increases the fanout of inner nodes
- simplifies the B-Tree logic

Page Structure

Inner Node:

LSN for recovery

upper page of right-most child

count number of entries key/child key/child-page pairs

... ...

Leaf Node:

LSN for recovery

~0 leaf node marker

next next leaf node

count number of entries

key/tid key/TID pairs

... ...

Similar to slotted pages for variable keys.

Operations - Lookup

Lookup a search key within the B⁺-tree:

- 1. start with the root node
- 2. is the current node a leaf?
 - if yes, return the current page (locate the entry on it)
- 3. find the first entry \geq search key (binary search)
- 4. if no such entry is found, go the *upper*, otherwise go to the corresponding page
- 5. continue with 2

Lookup can return a concrete entry or just the position on the appropriate leaf page (depends on usage pattern).

Operations - Insert

Insert a new entry into the B⁺-tree:

- 1. lookup the appropriate leaf page
- 2. is there free space on the leaf?
 - if yes, insert entry and stop
- 3. split the leaf into two, insert entry on proper side
- 4. insert maximum of left page as separator into parent
- 5. if the parent overflow, split parent and continue with 4
- 6. create a new root if needed

Operations - Delete

Remove an entry from the B⁺-tree:

- 1. lookup the appropriate leaf page
- 2. remove the entry from the current page
- 3. is the current page at least half full?
 - if yes, stop
- 4. is the neighboring page more than half full?
 - if yes, balance both pages, update separator, and stop
- 5. merge neighboring page into current page
- 6. remove the separator from the parent, continue with 3

Most systems simplify the delete logic and accept under-full pages.

Operations - Range Scan

Read all entries within a (start, stop(range

- 1. lookup the start value
- 2. enumerate subsequent entries on the current page
- 3. use the *next* pointer to find the next page
- 4. stop once the stop value is reached

Very efficient, in particular if leaf nodes are consecutive on disk.

Indexing Multiple Attribute

Compound keys are compared lexicographically:

$$(a_1, a_2) < (b_1, b_2) \Leftrightarrow (a_1 < b_1) \lor (a_1 = b_1 \land a_2 < b_2)$$

Otherwise compound keys are quite similar to atomic keys.

- when all attributes are bound, difference is minor
- if only a prefix is bound, the suffix is specified as range

$$a_1=5\Rightarrow (5,-\infty)\leq (a_1,a_2)\leq (5,\infty)$$

Indexing Non-Unique Values

Users can create indexes on any attributes

- not necessarily unique
- in fact might contain millions of duplicates
- main problem: index maintenance
- how to locate a tuple for update/delete?

Solution: only index unique values

- append TID to non-key attributes
- TID works as a tie-breaker
- increases space consumption a bit
- but guarantees O(log n) access

Concurrent Access

How to handle concurrent access?

- simple page locking/latching is not enough
- will protect against "simple" (single page) changes
- but pages depend upon each other (pointers)

The classical technique is lock coupling

- a thread latches both the page and its parent page
- i.e., latch the root, latch the first level, release the root, latch the second level etc.
- prevents conflicts, as pages can only be split when the parent is latched
- no deadlocks, as the latches are ordered

Concurrent Access (2)

But what about inserts?

- when a leaf is split, the separator is propagated up
- might go up to the root
- but we have only locked one parent

Lock coupling up is not an option (deadlocks)

One way around it: "safe" inner pages

- while going down, check if the inner page has enough space for one more entry
- if not, split it
- ensures that we never go up more than one step

Concurrent Access (3)

Alternative: restart

- 1. first try to insert using simple lock coupling
- 2. if we do not have to split the inner node everything is fine
- 3. otherwise release all latches
- 4. restart the operation, but now keep all latches up to the root
- 5. all operations can be executed safely now

- greatly reduces concurrency
- but should happen rarely
- simpler to implement, in particular for variable-length keys

B-link Trees

- lock coupling latches two nodes at a time
- seems cheap, but effectively it locks hundreds (all children of the parent node)
- it would be nicer to lock only one page

For pure lookups that is possible when adding *next* pointers to inner nodes:

- 1. latch a page, find the child page, release the page
- 2. latch the child page
- 3. might have been split in between, check neighboring pages

Requires some care when deleting.

Bulkloading

How to build an B-tree for a large amount of data?

- repeated inserts are inefficient
- a lot of random I/O
- pages are touched multiple times

Instead: sort the data before inserting

- now inserts become more efficient.
- good locality

But we can do even better.

Bulkloading (2)

To construct an initial B⁺-Tree:

- 1. sort the data
- 2. spool data into leaf pages
 - ▶ fill the pages completely
 - remember largest value (separator) in each page in a temp file
- 3. spool the separators into inner pages
 - ► fill the pages completely
 - remember largest value (separator) in each page in a temp file
- 4. repeat 3 until only one inner page remains (root)

Produces a compact, clustered B⁺-tree.

Bulkloading (3)

Existing B⁺-trees are a bit more problematic, but can still be updated in bulk

- 1. sort the data
- 2. merge the data into the existing tree
- 3. form pages, remember separators, etc.
- 4. start a new chunk once a page would contain only entries from the original tree
- 5. merge in the separators as above

Minimizes I/O, but destroys clustering. Usually a good compromise.

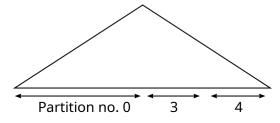
Partitioned B-Tree

Bulk operations are fine if they are rare, but they are disruptive

- usually the B-tree has to be take offline
- the new cannot be queries easily
- existing queries must be halted

Basic idea: partition the B-tree

- add an artificial column in front
- creates separate partitions with the B-tree



Partitioned B-Tree (2)

Benefits:

- partitions are largely independent of each other
- one can append to the "rightmost" partition without disrupting the rest
- the index stays always online
- partitions can be merged lazily
- merge only when beneficial

Drawbacks:

- no "global" order any more
- lookups have to access all partitions
- deletion is non-trivial ("anti-matter")

Variable Length Records

So far B-trees are defined for fixed-length keys

- all nodes have between k and 2k entries
- simplifies life considerably
- e.g., we "know" if an inner node is full

But in reality, entries can be variable length

- strings
- variable-length encoding, NULL
- compounds of these

Usually keys are opaque. The B-tree does not understand the structure. (One could special-case single strings).

Variable Length Records (2)

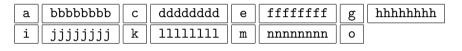
Variable length keys are problematic. Consider the following example:

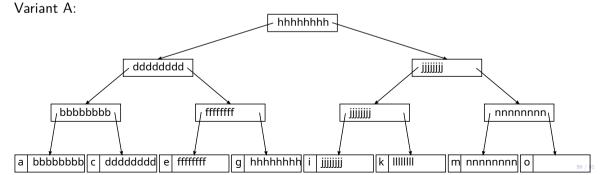
a	bbbbbbbb	С	dddddddd	е	ffffffff	g	hhhhhhhh
i	jjjjjjj	k	11111111	m	nnnnnnn	0	

All entries have either length 1 or length 8.

Variable Length Records (2)

Variable length keys are problematic. Consider the following example:

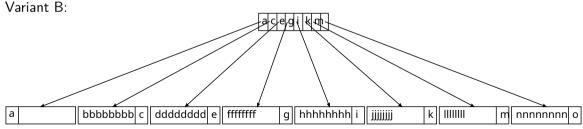




Variable Length Records (2)

Variable length keys are problematic. Consider the following example:

a	bbbbbbbb	С	dddddddd	е	ffffffff	g	hhhhhhhh
i	jjjjjjj	k	11111111	m	nnnnnnn	0	



Height 2 (ignores space consumption for pointers)

Variable Length Records (3)

Separator choice is crucial!

- affects fanout and space consumption
- all standard guarantees are off if normal algorithms are used for variable-length keys

Non-trivial issue

- greedy algorithms exist for the bulkloading case
- idea: recursively pick the smallest value as separator such that the resulting group sizes vary within a constant factor
- can also be extended to the dynamic case (rebuild as need), but non-trivial
- difficult, but gives good amortized bounds

Variable Length Records (4)

Minimal support: modify the split logic

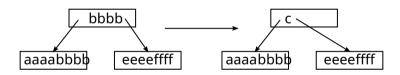
- 1. when a page overflows, build the sorted list of all values
- 2. instead of picking the median value as separator, pick the smallest value within 20% around the median
- 3. for ties, prefer values closer to the median

- pragmatic solution, but not optimal
- can still degenerate
- avoids the worst mistakes

Prefix B⁺-tree

A B⁺-tree can contain separators that do not occur in the data

We can use this to save space:



- choose the smallest possible separator.
- no change to the lookup logic required

Prefix B⁺-tree (2)

We can do even better by factoring out a common prefix:



- only one prefix per page
- the change to the lookup logic is minor
- the lookup key itself is adjusted
- sometimes only inner nodes, to keep scans cheap

Prefix B⁺-tree (3)

The lexicographic sort order makes prefix compression attractive:

- neighboring entries tend to differ only at the end
- a common prefix occurs very frequently
- not only for strings, also for compound keys etc.
- in particular important if partitioned B-trees
- with big-endian ordering any value might get compressed

Hash-Based Indexes

In main memory a hash table is usually faster than a search tree

- compute a hash-value h, compute a slot (e.g., s = h mod |T|, access the table T[s]
- promises O(1) access
- (if everything works out fine)

A DBMS could profit from this, too. But:

- random I/O is very expensive on disk
- collisions are problematic (e.g., when chaining)
- rehashing is prohibitive

But there are hashing schemes for external storage.

Hash-Based Indexes (2)

Hash indexes are not as versatile as tree indexes:

- only support point query
- range queries are very problematic
- order preserving hashing exists, but is questionable
- quality of the hash function is critical

As a consequence, mainly useful for primary key indexes

- unique keys
- key collisions would be very dangerous
- how to delete a tuple with an indexes attribute of there are 1 million other tuples with the same value?
- can be fixed by separate indexing within duplicate values (complicated)

Extendible Hashing

A central problem of hashing schemes on disk are the table size

- hard to known beforehand
- too small ⇒ too many collisions
- chaining is expensive on disk
- too large ⇒ waste of space
- would have to grow over time

Traditional solution for main memory: rehashing

- re-map items to hash table sizes
- involves touching every item
- poor locality, a lot of random I/O
- prohibitive for disk

Idea: Allow for growing the hash table without rehashing by *sharing* table entries.

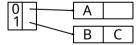
Extendible Hashing (2)

- hash table size is always a power of 2
- hash table points to buckets (pages)
- multiple table entries can point to the same bucket
- but always systematically (buddy systems)
- thus, the "depth" of the buckets varies



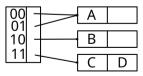
Extendible Hashing (3)

- when a bucket overflows, it is split
- if not a maximum depth, the depth is increased
- achieved by de-sharing slot entries
- one more bit becomes relevant
- items are distributed according to hash values



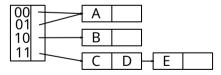
Extendible Hashing (4)

- if the depth cannot be increased, the table is doubled
- other buckets are unaffected
- entries are duplicated, resulting in new sharing
- new buckets are linked as usual



Extendible Hashing (5)

- once a maximum table size is reached start chaining
- ideally occurs rarely, traversing chains is expensive
- optionally one can balance chaining vs. table growth via load factor



Extendible Hashing (6)

Advantages:

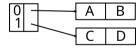
- ideally exactly two page accesses per lookup
- less than in a B-tree
- table can grow independent of existing buckets
- no need for re-hashing

Disadvantages:

- table growth is a very invasive operation
- large steps in space consumption
- what about hash collisions?
- same care is needed to avoid extreme table growth

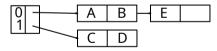
Linear Hashing

- linear hashing avoids the exponential directory growth
- it starts with a regular hash table with buckets



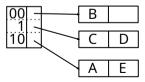
Linear Hashing (2)

- when a bucket overflows it uses chaining
- degrades performance, but ok if the chain is short



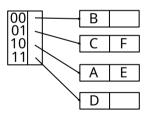
Linear Hashing (3)

- triggered by load factor or chain length a bucket is split
- chains are re-integrated into the bucket
- only one (i.e., the next) bucket is split, the rest remains untouched
- the range of buckets [1, k[has been split, the range [k, n] is unsplit (the range [n, n + 2k 2[contains the second halves)
- the directory grows page by page



Linear Hashing (3)

- more buckets are split on demand
- at some point all buckets have been split once
- then the cycle starts anew



Linear Hashing (4)

Advantages:

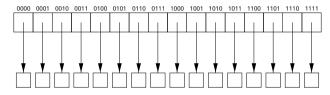
- avoids the disruptive directory growth of EH
- index grows linearly
- amortized the index structure is nice.

Disadvantages:

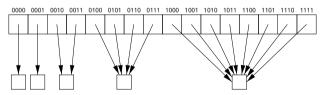
- chaining hurts performance
- it can take a while until chains are re-integrated
- page allocation for the directory problematic

Multi-Level Extendible Hashing

For uniform distributions the EH directory is nice:



But data skew causes poor space utilization

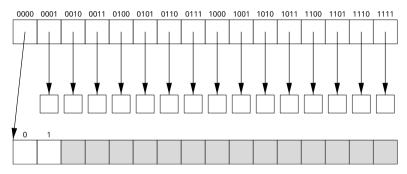


The directory size explodes.

skew is an unfortunate reality

Multi-Level Extendible Hashing (2)

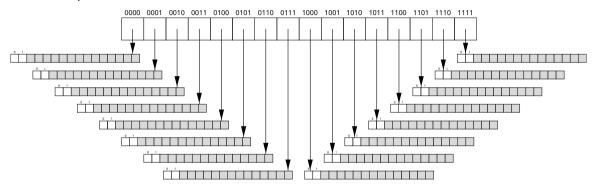
Basic idea: construct a tree of hash tables



- the next level uses the next k bits
- node size is page size
- additional page faults, but fanout is very large
- only the heavily used parts get additional levels

Multi-Level Extendible Hashing (2)

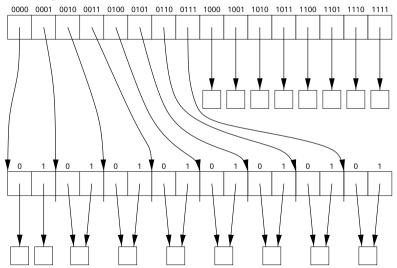
Problem: space utilization



- now uniform is the worst case
- all buckets will overflow at the same time
- second-level hash tables will be nearly empty
- leads to poor space utilization (and poor performance)

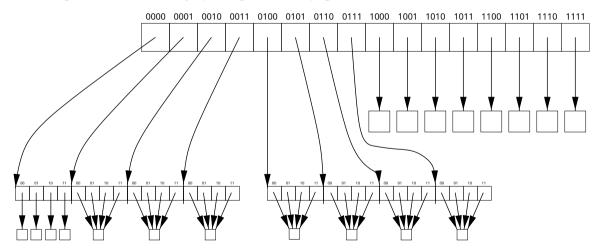
Multi-Level Extendible Hashing (3)

Instead: share inner page between buddies



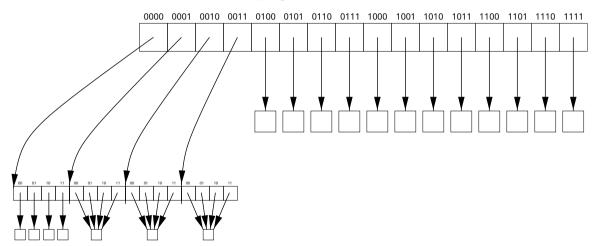
Multi-Level Extendible Hashing (4)

We can get additional bits by splitting the inner page



Multi-Level Extendible Hashing (5)

In fact here we can even move buddies up again



Multi-Level Extendible Hashing (6)

- uses a buddy system (boundaries are powers of 2)
- bit width etc. derived implicitly
- pointer structure contains enough information
- results in large fanout

It has some nice properties

- naturally adapts to data skew
- directory growth is not a problem
- but additional page accesses
- tree is very shallow, however

Bitmap Indexes

Classical indexes do not handle unselective predicates very well

- large fraction of tuples is returned
- index access is more expensive than a table scan
- but a combination of predicates might be selective
- index intersection would help, but is still expensive
- predicates might also contain disjunctions etc.

Expample: $\sigma_{(a=2\lor b=5)\land (c\neq 1)}(R)$

Could be answered by B-trees, but often not very efficient.

Bitmap Indexes (2)

When the attribute domain is small, it can be indexed using **bitmap indexes**

	a=2
tid_1	1
tid_2	0
tid_3	0
tid_4	1

	a=3
tid_1	0
tid_2	1
tid_3	0
tid_4	0

- one bitmap for every attribute value
- index intersections become bit operations
- very efficient
- remaining ones indicate matching tuples

...

Bitmap Indexes (3)

- bitmap indexes are compact (one bit per tuple)
- (plus tid directory if needed)
- and are usually sparse
- can be compressed very well
- run-length encoding in particular attractive
- intersection can be performed on the compressed form

Often outperforms other indexes for unselective attributes.

Small Materialized Aggregates

- data is usually stored in physical chunks
- pages, or chunks of pages
- clustering usually insertion order
- older chunks tend to remain static
- we can cheaply pre-computed (i.e., cache) some info

Some useful aggregates:

min	max	sum	count			
10	20	1500	1000			

Small Materialized Aggregates (2)

Before scanning a chunk, we examine the aggregate

- some predicates can be evaluated on the pure aggregate
- only for the current chunk, of course
- in particular skipping chunks is often possible
- aggregates can be directly re-used
- greatly saves I/O

What about updates?

- small materialized aggregates are like a cache
- can be updated eagerly or lazily
- an invalidation flag is enough

Multi-Dimensional Indexing

- huge field
- R-tree, grid file, pyramid schema, index intersection, ...
- hundreds of approaches
- we do not discuss them here

But: remember the curse of dimensionality

- we can only index a relative low number of dimensions
- for higher dimensions, range queries/proximity queries fail
- scan becomes faster than index structures