Evaluating Database Self-Tuning Strategies in a Common Extensible Framework

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Abstract. Database automatic tuning tools are an essential class of database applications for database administrators (DBAs) and researchers. These self-management systems involve recurring and ubiquitous tasks, such as data extraction for workload acquisition and more specific features that depend on the tuning strategy, such as the specification of tuning action types and heuristics. Given the variety of approaches and implementations, it would be desirable to evaluate existing database self-tuning strategies, particularly recent and new heuristics, in a standard testbed. In this paper, we propose a reuse-oriented framework approach towards assessing and comparing automatic relational database tuning strategies. We employ our framework to instantiate three customized automated database tuning tools extended from our framework kernel, employing strategies using combinations of different tuning actions (indexes, partial indexes, and materialized views) for various RDBMSs. Finally, we evaluate the effectiveness of these tools using a known database benchmark. Our results show that the framework enabled instantiating useful self-tuning tools for these multiple RDBMSs with low effort by just extending well-defined framework hot-spots. Additionally, the instantiated tools provided significant improvements in execution cost of a query workload generated from benchmark query templates. Our framework is made available as an open-source and extensible testbed for the database research community, thus facilitating the further evaluation of database self-tuning strategies.

1. Introduction

While we may find many different self-tuning tools already available to run, externally coupled or integrated within RDBMSs, there is a need for evaluating the effectiveness and efficiency of alternative self-tuning strategies across systems. Either we might want to check for existing features that are mandatory for a given application, or we would like to characterize the pros and cons of implemented heuristics when compared with new ones proposed in the literature. Ultimately, we wish to evaluate which self-tuning strategies bring the best-expected results for RDBMS performance in different contexts.

Specific tuning tasks have automatic support in some RDBMSs, but not in others. For example, it is possible to tune database parameters to server hardware with PostgreSQL automatically [PGTune 2019]. Still, it is hard to find tools for automating a variety of physical database design tasks (e.g., creating materialized views or partial indices). It is infeasible for the DBA to, promptly, test and evaluate all possible physical design tuning actions for a given workload, as even index selection is NP-hard [Piatetsky-
Software reuse is one of the significant goals of software engineering research [Frakes and Kang 2005]. It aims to reduce development and maintenance efforts and, at the same time, improve software quality due to the use of already designed software units, implemented, validated, and tested [Peters and Pedrycz 2000] [Sommerville 2011]. We observe that automatic database tuning tools share a core of common tasks, even though they might suggest different tuning action types. All self-tuning systems rely on basic tasks such as workload capture, data extraction, SQL parsing, or DBMS catalog access. Hence, this research area could take advantage of software reuse. However, reuse opportunities to support the comparison and evaluation of database self-tuning tools have not yet been systematically explored.

Aiming at taking a step towards bridging this gap, this paper describes how we may instantiate a reuse-oriented framework to support the evaluation of self-tuning tools for relational database systems. This framework reduces the effort of building a specialized database application by identifying a typical common architecture and enabling customization through well-defined framework hot-spots that may implement specific tuning strategies.

In pursuit of this aim, this paper makes the following contributions:

1. A suggested list of reuse-oriented requirements for database self-tuning tools, where we discuss possible modeling options and justify our choices;
2. A component-based architecture of a framework to create self-tuning applications for relational databases with its corresponding open-source implementation;
3. Three customized automatic database tuning tools extended from our framework kernel, employing strategies using combinations of different tuning actions (indexes, partial indexes, and materialized views) for different RDBMSs;
4. An evaluation of how effective our self-tuning tools are and how much they can reduce the execution cost of a query workload derived from a well-known benchmark.

Based on our results, we conclude that the framework enabled instantiating useful self-tuning tools employing different strategies, which significantly reduced query execution costs on different RDBMSs, with low effort. Hence, we believe that it can serve as a valuable common and extensible testbed for further evolving self-tuning strategies.

The remainder of this paper is organized as follows. Section 2 presents concepts about software reuse and database tuning. In Section 3, we propose a list of reuse-oriented requirements for database self-tuning tools. We discuss possible modeling options and justify our choices. The section also puts forward our software framework to support building database self-tuning tools. Section 4 depicts the evaluation process and experimental results for database self-tuning tools built using our framework. Section 5 describes the related work and discusses database self-tuning tools. Finally, Section 6 brings our concluding remarks.

2. Background

Software reuse is the use of existing software or software knowledge to develop new software. Reusable assets can be either reusable software or software knowledge. It aims
at reducing development and maintenance costs and improving software quality due to the use of already designed, implemented, validated and tested software units [Sommerville 2011]. Reusable software components are self-contained, clearly identifiable artifacts that describe or perform specific functions and have clear interfaces, appropriate documentation, and a defined reuse status [Sametinger 1997]. Components are ideally known as software pieces that can be reused in many software systems [Alvaro and Garcia 2007].

A framework is a reusable application that can be specialized to produce custom applications. Frameworks aim at reusing software units divided according to the requirements of the final software [Fayad et al. 1999]. Typical characteristics of software frameworks include a reusable, semi-complete application that can be specialized to produce custom applications or can act as an application generator directly related to a specific domain [Fayad and Schmidt 1997]. The points of the flexibility of a framework are called hot-spots, which are typically abstract classes or methods that must be implemented. If one wants to generate an application based on a framework, it is necessary to implement a specific code for each hot-spot. Some features of the framework are not mutable and constitute the framework kernel, also called frozen-spots.

Database tuning is the process of making a database application run faster. This usually means higher throughput, and it may also mean lower response time for some applications [Shasha and Bonnet 2002]. The process of database tuning is an activity where the Database Administrator (DBA) monitors the database, plans possible tuning actions, evaluates and executes them on the database system, and, again, monitors the database to observe the impact on the workload. Self-tuning tools automate this process by delegating steps performed by the DBA to autonomic mechanisms able to follow algorithms and heuristics to monitor and execute tuning actions.

Performance is the main optimization goal of the tuning activity. The literature considers different optimization goals, such as availability, fault tolerance, and resource consumption. In this paper, we present a framework to support developing self-tuning tools that can target any of these optimization opportunities.

Several reasons motivate database self-tuning systems: (i) the increasing complexity of multi-tenant monolithic applications and services; (ii) the growing complexity of RDBMS administration and tuning, which provides hundreds of tuning knobs; (iii) the high cost of ownership for RDBMS-based solutions, where hiring experts in system tuning and management is dominant [Chaudhuri and Weikum 2005].

There are many tuning action types defined in the literature. In this work, we focus on the manipulation of three access structures that may bring better performance for database systems: indexes, partial indexes, and materialized views. We will explore the action of creating these structures with a closer look into multiple RDBMSs, exploring our reuse-oriented framework approach.

3. Requirements and Framework Architecture Overview

There is a comprehensive amount of literature surrounding automatic tuning tools for database systems. They involve cost models, algorithms and heuristics, strategies on how to collect and use the database workload, and so on. Due to the different features of these tools, we present requirements for automatic tuning tools that are adherent to our reuse-oriented approach and benchmarking framework.
**Non-intrusive approach:** There are self-tuning tools that change the RDBMS source code to generate and evaluate tuning actions. They have the advantage of making more efficient predictions about tuning actions effectiveness. On the other hand, this intrusive approach depends on the availability of the RDBMS source code. Even in an open-source RDBMS, the tuning tools need to be revised with each new software release. All this makes maintenance costly. Non-intrusive methods for the creation and evaluation of tuning actions can provide more reuse opportunities, and decrease the maintenance cost. Furthermore, decoupling the tool is necessary to use the same self-tuning tool for multiple RDBMSs.

**Online workload analysis:** Database tuning tools use two main approaches: In the offline method, the DBA identifies and collects parts of the workload that are representative and provides them as input to the tuning tool. Alternatively, in the online approach, a tuning tool automatically tracks the RDBMS and evaluates which tuning actions should be executed for the current workload [Chen et al. 2010]. We chose the online strategy as a requirement by the automatic feature desired in a self-tuning application. The online approach presents two potential features which can be employed from a reuse perspective: (i) automating of the workload collection, a costly task, leaving the DBA free to perform other activities and save time; and (ii) allowing the tool to adapt the physical design of the database according to workload trends and possible seasonal variations.

**Handling different RDBMSs:** Aiming at large-scale reuse, we consider that the framework should be able to deploy self-tuning tools that can handle different RDBMSs. We propose multiple cost models for each self-tuning tool. The main idea is to create and evaluate tuning actions in a specific manner with different cost models for each RDBMS.

**Canonical cost model:** In order to allow working with multiple RDBMSs, we decided to create and use an external and independent canonical cost model. It has the following advantages: (i) It can be customized by both hardware setup and RDBMS brand; (ii) The tools are independent of RDBMS versions; and (iii) it can be applied to any open-source RDBMS, as well as to proprietary RDBMS. Another point that supports our decision to use canonical cost models is to be able to adjust costs for different hardware setups.

**Inclusion of new tuning action types:** Many proposals for tuning actions types can be found in the literature: creating and maintaining access structures such as indexes and materialized views, logical and physical database partitioning, query rewriting, adjusting RDBMS parameters and others [Bruno 2012] [Shasha and Bonnet 2002], [Chaudhuri and Narasayya 2007]. It is not feasible to model all these tuning actions, and new strategies may appear. Thus, the inclusion of new self-tuning action types becomes a relevant requirement. In fact, to develop a framework that allows further integration of new tuning action strategies with a low-impact on the proposed architecture represents an opportunity.

**Inclusion of new tuning heuristics:** For a tool to propose a tuning action (e.g., query rewriting), it usually needs to perform two general steps: (i) generate alternative tuning actions and (ii) evaluate the effectiveness and efficiency of these proposed actions. There are a significant number of heuristics developed for both steps (i) and (ii). Following the same argument for allowing inclusion of new tuning action types, we decided to also enable the inclusion of new heuristics for both steps. The self-tuning tools developed using our framework will be able to execute those heuristics independently and concurrently.
As a result, the heuristics can be ranked according to their effectiveness and efficiency, helping the DBA to choose the best tuning strategy for different scenarios.

Our framework architecture is focused on large-scale reuse to produce relational database self-tuning tools. It was designed to be able to keep track of workload changes to update the database configuration automatically or semi-automatically. Furthermore, we have designed mechanisms to include: (i) multiple RDBMSs, (ii) new tuning action types, and (iii) new heuristics for tuning actions, enabling their proper evaluation. The main benefits of developing a component-based framework originate from the modularity, reusability, and extensibility features [Fayad et al. 1999]. Hence, our framework explores these characteristics to satisfy those relevant requirements. Figure 1 shows the main components of our domain framework.

There are five components: RDBMS, Observer, Extractor, Predictor, Executor.

- The **RDBMS** component is responsible for encapsulating all specifications related to communication between the RDBMS and the framework. It has a hot-spot called *Connection Drive* that contains the implementation to connect and run queries over the database.

- The **Observer** component is responsible for capturing the database workload and statistics from the catalog. It has two frozen-spots: the *DB Catalog Reader* and *Workload Capture*. The *Workload Capture* runs continuously and has the purpose of monitoring and capturing the executed SQL commands and their execution plans (workload). The *Catalog Reader* frozen-spot gets the database statistics catalog and provides information about the database schema.

- The **Extractor** component fetches information from the captured workload that tuning heuristics use to propose and evaluate tuning actions. The *Workload Analysis* is a hot-spot that gives independence to instances of the framework for workload data mining.

- The **Predictor** component generates tuning actions based on the captured workload and each modeled self-tuning tool. It also analyzes these actions and defines which ones will bring the most significant benefit. The *Tuning Action Generation* hot-spot generates tuning actions using algorithms defined in the literature and implemented in the component. The Predictor also has the *Tuning Action Evaluation* hot-spot that identifies the subset of tuning actions that maximize the benefits and respects the computational resource limits.
Finally, the **Executor** Component is responsible for executing tuning actions that were considered useful for the workload by the Predictor component. The tuning actions can be performed when the DBA considers it appropriate, e.g. when the system is idle.

Further details about our framework specification are available at [https://github.com/BioBD/tap](https://github.com/BioBD/tap). Due to space constraints, we further focus this research work on the framework’s application, the evaluation of its efficacy, and the presentation of practical results considering actual RDBMSs.

### 4. Framework Instantiation and Self-Tuning Strategy Evaluation

Our proposal involves using our software framework to support the development and evaluation of customized self-tuning strategies for relational databases. Therefore, we conducted the following two steps:

1. We instantiated self-tuning tools employing different tuning actions and for different RDBMSs to (a) evaluate the feasibility of using the framework for such purpose and (b) use this experience as a basis to discuss the effort; and
2. We tested these tools in terms of their effectiveness on different RDBMSs to observe whether they would be useful (e.g., reduce query workload cost).

#### 4.1. The framework instantiation

There are two main ways to extend our framework, namely to include new tuning action types and to support new RDBMSs:

- **Tools for different database tuning action types** - we extended our framework using three self-tuning tools for distinct access structures:

  1. **Materialized views (MVs):** The suggested MVs are inferred from statistical analyses of the workload and the information about the database schema. Due to the characteristics of MVs, this tool is suitable for workloads that have analytical queries because, typically, MVs are considered good alternatives to SQL commands that have aggregations and summarizations [Shasha and Bonnet 2002]. The MV selection strategy used in this work is proposed and described in [Agrawal et al. 2006]

  2. **Indexes:** Index selection is considered one of the most important actions of the database tuning task, and it can bring significant benefit to the performance of database management systems [Bonnet and Shasha 2009]. This benefit occurs by reducing the number of pages that need to be copied from the disk to the main memory during an SQL command execution. The index selection strategy used here is proposed by Monteiro in [Monteiro 2008].

  3. **Partial indexes:** This tuning action uses a similar access structure as the previous one for indexes. These two types, when combined, can bring significant benefits to the execution of the workload. The index and partial index tools are complementary to each other, favoring their concurrent execution, and the gain in performance can be greater than when the strategies are executed independently [Stonebraker 1989]. The partial index strategy used here is proposed and described in [Fuentes et al. 2018].
These tools were initially developed to perform automatic tuning using an individual cost model for the PostgreSQL RDBMS, supporting its SQL specificities.

**Tools for different RDBMSs** - Once we tested the extensions for tuning actions, the resulting tools were extended (based on the framework’s hot-spots) to two other closed-source commercial RDBMSs. In the following, we refer to them as “DBMS X” and “DBMS Y”. This extension is significant because details about the SQL execution plan are specific for each RDBMS, and they are used by the cost models to predict the quality (or lack thereof) of tuning actions. Different execution plans necessitate different information extraction functions.

For all extensions performed, this validation helped us to refine the framework’s model iteratively. Besides the evaluation, it helped us both validate and justify the hot-spots and move some other functions to the framework’s core.

### 4.2. Experimental evaluation using the instantiated tools

Our framework helps researchers to develop self-tuning tools that can carry out database tuning actions automatically according to their specifics using the chosen RDBMS. Nevertheless, are these tools useful?

Due to space constraints, it is not feasible to present a complete evaluation for each strategy on each RDBMS or to provide in-depth discussions on the tuning strategies. Instead, we selected different tuning strategies and different RDBMSs to evaluate self-tuning tools derived from our framework in different scenarios. The strategy for the PostgreSQL tuning tool used indexes, partial indexes, and MVs. The strategy for the DBMS X tuning tool used indexes and MVs. Finally, the strategy for the DBMS Y tuning tool used only indexes. It was not possible to evaluate all three strategies in the commercial RDBMSs because they either lack support for partial indexes or constrain the query expressions that can be used in materialized views.

We tested our instantiated tools using the benchmark TPC-H [Transaction Processing Performance Council (TPC) 2018], which is one of the most frequently used database benchmarks for analytical workloads.

For what follows, we used PostgreSQL 10 and recent versions of the commercial RDBMSs. The machine configuration included an Intel I7 3.40GHz CPU, 16GB of RAM, and 2TB of HDD. We tested our tools using all the 22 TPC-H query templates on a database with a size of 10GB. For each query template, we instantiated 30 distinct variations. Therefore, our workload had 660 queries. For each query the framework generated, we instantiated 30 distinct variations. Therefore, our workload had 660 queries. In this context, each query has a distinct execution cost, i.e., queries created based on the same template have different restrictive attributes in the `where` clause.

Figure 2(a) shows the cost reduction to randomly execute the 660 queries. Given that different RDBMSs have different query cost units, we present the reduction percentage of each RDBMS considering its own cost units when compared to executing the workload on that RDBMS without any tuning actions.

It is possible to see (Figure 2(a)) that in all scenarios, the self-tuning tools produced significant cost reductions. The tuning strategies employed for the commercial (and more robust) RDBMSs, reduced the original costs up to 3/4. The strategy used for the open-source RDBMS PostgreSQL, achieved an improvement of more than 95%. We
believe that this huge improvement for PostgreSQL was due to the combined use of MVs, indexes and partial indexes. In order to further explain these improvements, it is necessary to describe a bit the TPC-H query costs.

The query execution costs for instances from the same template manage to have the same order of magnitude (e.g., all instances of Q1 have almost the same cost). Therefore, the most critical differences occur between the group of queries: firstly, Q17 and Q20, and secondly, the other queries (Figure 2(b)). We can see that the queries based on templates Q17 and Q20 correspond to 99% of the workload execution cost, while the sum of the costs of all other queries represents only 1%.

Figure 3 shows that our three self-tuning tools improved most of the queries of the workload. Regarding the low cost queries, the results are good for most of them, though some queries exhibited only small cost reductions.

However, huge performance improvements were obtained when improving the most expensive queries of the TPC-H benchmark: Q17 and Q20 (Figure 3). The impressive cost reduction obtained by the PostgreSQL tuning tool may be explained by the use of materialized views, indexes, and partial indexes together to answer these queries. Materialized views are data structures that precompute query answers to use them later. The answer was just ready on the materialized view structures when the RDBMS executed a query based on templates Q17 or Q20.

It is worth mentioning that the creation of materialized views can have a high cost as it computes all possible answers to a query template. The algorithms implemented in our tool did not create materialized views for all query templates, but only for the top-k most expensive queries. The discussion about these algorithms is out of scope here, but they are well described in [Agrawal et al. 2006] [Shasha and Bonnet 2002] [Zhou et al. 2008] [Shirkova 2011] [Halevy 2001].

Overall, the experimental tests showed that the self-tuning tools instantiated through our framework could produce effective and useful tuning results, employing different tuning strategies on different RDBMS. They could execute simultaneously and improve a well-known database benchmark workload.

**Figure 2**

(a) Workload cost reduction for different DBMSs.

(b) TPC-H workload cost distribution on PostgreSQL with 10GB database.
The main evidence found was that our reuse strategy did not restrict the capacity of our self-tuning tools. Even shared features of the framework kernel maintained their specific characteristics isolated and encapsulated. These results support the claim that our framework represents a valuable contribution to the community, enabling researchers to create and evaluate useful self-tuning tools employing different strategies with less effort by employing a software reuse strategy.

5. Related Work

Database self-tuning tools are, by nature, intrinsically complex. There are many specialized and vendor-specific tools, such as for workload monitoring [Curino et al. 2011] [SQL Server Profile 2017], and others that monitor and perform tuning actions in automatic or semi-automatic ways [Aken et al. 2017].

Among the ones that perform automatic database tuning, tools can be specialized in different types of tuning actions including indexes [Ameri 2016] [Tran et al. 2015], partial indexes [Stonebraker 1989], materialized views [Halevy 2001] [Chirkova and Yang 2012] [Baralis et al. 1997] and RDBMS parameters [Duan et al. 2009]. They can also perform more than one tuning action type on the same job [Ameri 2016] [Belknap et al. 2009] [Kimura et al. 2010] [de Oliveira et al. 2019] [Almeida et al. 2019]. Such tools typically implement specific strategies, thus requiring significant software design and implementation efforts. However, they offer no path towards reuse of these efforts nor a systematized platform to compare tuning strategies.

The work of [Aken et al. 2017] presents a new strategy based on machine learning models to test several knob configurations and propose them to DBAs. By the nature of machine learning models, we can consider this work to exhibit some level of flexibility to add new tuning action types. However, the authors do not discuss reuse and extensibility of tuning strategies, since their primary goal is to find the best knob configuration. This flexibility is more a consequence of the machine learning approach than the proposal of their work.
Regarding self-tuning tools using multiple tuning action types, the work of Pavlo et al. [Pavlo et al. 2017] presents a considerable number of distinct tuning action types as indexes, materialized views, partitioning, knob configuration, query optimization and features about database migration and resource elasticity. Still, their work concerns a new self-driven database management system. Even though they present strategies to include further tuning actions, they can not be used for other RDBMSs.

The work by Almeida et al. [de Oliveira et al. 2019] [Almeida et al. 2019] presents a framework to support the DBA on choices concerning tuning activities. Their research work includes the proposal of an ontology for database tuning that enables a formal approach for decisions and inferences. It permits the inclusion of new tuning types through the extension of that ontology. It might be one of the closest related works found in the literature. However, the primary goal of using the ontology is to offer transparency and confidence in the available tuning alternatives concerning the possible RDBMS scenarios through a concrete justification for the decisions made. Although a well-defined way to include new tuning practices is presented, a concrete and extensible tooling to compare self-tuning strategies across multiple RDBMSs is not available, in contrast to our work.

6. Concluding Remarks
Given the variety of approaches and implementations of self-tuning tools, it would be desirable to evaluate existing database self-tuning strategies, particularly recent and new heuristics, in a standard testbed.

In this paper, we presented a reuse-oriented framework approach towards assessing and comparing automatic relational database tuning strategies. We used our framework to instantiate three customized automated database tuning tools, employing strategies using combinations of different tuning actions for various RDBMSs.

We then evaluated these tools using a query workload derived from a known database benchmark. Results showed that the framework enabled instantiating useful customized self-tuning tools, which provided significant query execution cost reductions.

The main benefits of sharing this framework with the database research community, with respect to evaluating different tuning strategies, are twofold:

1. Instead of developing a complete tool, using the framework only specific hot-spots need to be extended, concerning the tuning strategies to be compared and adapting the tools to the RDBMS of interest; and

2. According to our results, the framework provides a common testbed that does not restrict the capacity of self-tuning tools and enables fair experimental comparisons by sharing main common features that are not related to the experimental factor of interest (i.e., the tuning strategy and the adaptation to the RDBMS).

The developed framework is open-sourced\(^1\) and can be further evolved by the scientific community to create and evaluate customized database self-tuning tools.

References

\(^1\)https://github.com/BioBD/tap


