Key-Value Storage Engines

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ABSTRACT

Key-value stores are everywhere. They power a diverse set of data-driven applications across both industry and science. Key-value stores are used as stand-alone NoSQL systems but they are also used as a part of more complex pipelines and systems such as machine learning and relational systems. In this tutorial, we survey the state-of-the-art approaches on how the core storage engine of a key-value store system is designed. We focus on several critical components of the engine, starting with the core data structures to lay out data across the memory hierarchy. We also discuss design issues related to caching, timestamps, concurrency control, updates, shifting workloads, as well as mixed workloads with both analytical and transactional characteristics. We cover designs that are read-optimized, write-optimized as well as hybrids. We draw examples from several state-of-the-art systems but we also put everything together in a general framework which allows us to model storage engine designs under a single unified model and reason about the expected behavior of diverse designs. In addition, we show that given the vast number of possible storage engine designs and their complexity, there is a need to be able to describe and communicate design decisions at a high level descriptive language and we present a first version of such a language. We then use that framework to present several open challenges in the field especially in terms of supporting increasingly more diverse and dynamic applications in the era of data science and AI, including neural networks, graphs, and data versioning.

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1 KEY-VALUE STORAGE ENGINES, AND APPLICATIONS

Key-Value systems support a key-value API and store and manage key-value pairs. Such key-value stores are everywhere, providing the storage backbone for an ever-growing number of diverse applications. The scenarios range from graph processing in social media [9, 14], to event log processing in cybersecurity [15], application data caching [51], NoSQL stores [57], flash translation layer design [21], time-series management [42, 43], and online transaction processing [26]. In addition, key-value stores increasingly have become an attractive solution as embedded systems in complex data-intensive applications, machine learning pipelines, and larger systems that support more complex data models. For example, key-value stores are utilized in SQL systems, e.g., FoundationDB [8] is a core part of Snowflake [18], while MyRocks integrates RockDB in MySQL as its back-end storage.

Storage Engine Design. At its core a key-value store implements a data structure that stores key-value pairs. Each data structure design achieves a specific balance regarding the fundamental trade-offs of read, update, and memory amplification [11]. For example, read amplification is defined as “how much more data do we have to read for every key we are looking for on top of accessing this particular key”. In fact read, update, and memory amplification further break down to more fine grained metrics such as point reads, range reads, updates, deletes, inserts, and memory needed for caching. The design of the core data structure affects each one of those performance properties as well as every feature and property of the system. For example, to support time-travel queries we need to decide how to store timestamps. To accelerate queries on recently accessed data we need to balance the available memory between caching and other structures needed to accelerate processing on base data, e.g., in-memory bloom filters, fence pointers that help skip I/O. In order to support efficient concurrent read and write requests, a storage engine might have to change the data layout from an in-place to an out-of-place paradigm.

Rapidly Changing System Requirements. Today more than ever, we want to build, or change and adapt a data system quickly such that we can keep up with the needs of ever changing applications and hardware. New applications or new features in existing applications, with new workload patterns, appear frequently. A single system is not capable of efficiently supporting diverse workloads. This is a problem for
several increasingly pressing reasons. First, new applications appear many of which introduce novel workload patterns that were not typical before. Second, existing applications keep redefining their services and features which affects their workload patterns directly and in many cases renders the existing underlying storage decisions sub-optimal or even bad. Third, hardware keeps changing which affects the CPU/bandwidth/latency balance; maximum performance requires low-level storage design changes. These problems boil down to the one size does not fit all problem which holds for overall system design [65] and for the storage layer [11]. Especially, in today’s cloud-based world even slightly sub-optimal designs by 1% translate to a massive loss in energy utilization and thus costs [44].

**There is no Perfect Design.** There exists no perfect data structure that minimizes all performance trade-offs [11, 39]. For example, if we add a log to support efficient out-of-place writes, we sacrifice memory/space cost as we may have duplicate entries, and read cost as future queries have to search both the core data structure and the log. In turn, this means that there exists no perfect key-value store that covers diverse performance requirements. Every design is a compromise. But then how do we know which design is best for an application, e.g., for specific data, access patterns, hardware used, or even a maximum financial budget on the cloud? And do we have enough designs and systems to cover the needs of emerging and ever-changing data-driven applications? Especially today with an increasingly diverse and large array of applications driven by new opportunities in data science, and machine learning, it is very critical to have systems properly designed at their core to match the requirements of the target application.

**Tutorial Structure.** The tutorial consists of three parts. The first part goes over the overall problem setting as described in this section, 1) defining key-value store systems, 2) describing traditional as well as emerging applications across data science fields, and 3) giving a view of critical open challenges especially towards diverse workloads and dynamic application scenarios. The second part discusses major research and industry trends from the past several years that have formed the state-of-the-art in key-value storage engines. In particular, we cover 1) read-optimized storage engines, 2) write-optimized storage engines, 3) design options and considerations on allocating memory across system components, 4) how to store time-stamps, and 5) how to store large values. In the third part, we present a unified framework that encapsulates all state-of-the-art designs and allows us to reason about the possible design space of storage engines. We also discuss how to describe and communicate storage engine designs and why this is a critical issue. Finally, we present the open challenge of self-designed key-value storage engines. We explain 1) the new opportunities they bring compared to past solutions, 2) how they can be applied to solve practical problems across many classes of data-intensive applications, and 3) the new research opportunities that arise from their fusion with past work. Self-designed systems [35, 40] know the possible design choices and their combinations for critical system design components such as data storage, and can choose the most appropriate design among drastically different choices.

## 2 STATE-OF-THE-ART ENGINE DESIGN

**The Big Three.** There are three predominant data structure designs for key-value stores to organize data. To give an idea of the diverse design goals and performance balances they provide, we go briefly through their core design characteristics. The first one is the B**+**tree [13]. The prototype B**+**tree design consists of a leaf level of independent nodes with sorted key-value pairs (typically multiple storage blocks each) and an index (logarithmic at the number of leaf nodes) which consists of nodes of fractional cascading fence pointers with a large fanout. For example, B**+**tree is the backbone design of the BerkeleyDB key-value store [53], now owned by Oracle, and the backbone of the WiredTiger key-value store [66], now used as the primary storage engine in MongoDB [52]. FoundationDB [8] also relies on a B**+**tree. Overall, B**+**tree achieves a good balance between read and write performance with a reasonable memory overhead that is primarily due to its fill factor in each node (typically 50%) and the auxiliary internal index nodes.

In the early 2000s, a new wave of applications emerged requiring faster writes, while still giving good read performance. At the same time, the advent of flash-based SSDs has made write I/Os 1-2 orders of magnitude costlier than read I/Os [1]. These workload and hardware trends led to two data structure design decisions for key-value stores: 1) buffering new data in memory, batching writes in secondary storage, and 2) avoiding global order maintenance. This class of designs was pioneered by the Log-Structured Merge Tree (LSM-tree) [54] which partitions data temporarily in a series of increasingly larger levels. Each key-value entry enters at the very top level (the in-memory write buffer) and is sort-merged at lower levels as more data arrives. In-memory structures such as Bloom filters, fence pointers and Tries help filter queries to avoid disk I/O [19, 67]. This design has been adopted in numerous industrial settings including LevelDB [30] and BigTable [17] at Google, ROCKSDB [27] at Facebook, Cassandra [45], HBase [33] and Accumulo [7] at Apache, Voldemort [47] at LinkedIn, Dynamo [24] at Amazon, WiredTiger [66] at MongoDB, and bLSM [61] and cLSM [29] at Yahoo, and more designs in research such as SlimDB [58], WiscKey [49], Monkey [19, 20], Dostoevsky [22], and LSM-bush [23]. Relational databases such as MySQL and
SQLite4 support this design too by mapping primary keys to rows as values. Overall, LSM-tree-based designs achieve better writes than B+-tree-based designs but they typically give up some read performance (e.g., for short-range queries) given that we have to look for data through multiple levels, and they also give up some memory amplification to hold enough in-memory filters to support efficient point queries. Crucial design knobs, such as fill factor for B+-tree and size ratio for LSM-tree, define the space amplification relationship among the two designs.

More recently, a third design emerged for applications that require even faster ingestion rates. The primary data structure design decision was to drop order maintenance. Data accumulates in an in-memory write buffer. Once full, it is pushed to secondary storage as yet another node of an ever-growing single level log. An in-memory index, e.g., a hash table, allows locating any key-value pair easily while the log is periodically merged to enforce an upper bound on the number of obsolete entries. This Log and Index design is employed by BitCask [62] at Riak, Sparkey [64] at Spotify, FASTER [16] at Microsoft, and many more systems in research [2, 46, 59]. Most systems use a hash table as the index over the log. Overall, such a design achieves excellent write performance, but it sacrifices read performance (for range queries), while the memory footprint is also typically higher since now all keys need to be indexed in-memory to minimize I/O needs per key.

Memory Management. One of the most critical decisions in key-value stores is how to distribute the available bits across the various in-memory components. For example, in an LSM-tree like design it is common to have numerous Bloom-filters in memory and other helper structures to help skip disk reads. Similarly, caching is used to help with access to recent items or data blocks. Buffers that holds recent updates/inserts also compete for memory bits. Overall each one of these components can have a positive impact in system performance but given a fixed budget and a workload and storage engine base design it is not always clear how to best assign memory.

Compactions and Splits. Depending on the exact design a NoSQL engine will need to frequently reorganize data such as to maintain certain performance invariants. For example, an LSM-tree like design needs to perform compactions as new data arrives such as to maintain order and remove past invalid values which have been updated out of place. Depending on the frequency of compactions the system can be characterized from read to write optimized. Furthermore, compactions may happen in-place or out-of-place. The latter allows queries to be served over the previous layout while the compaction is happening. This comes at the cost of temporarily duplicating the relevant data. In-place does not require any extra memory but needs to block queries. Understanding the design space of compactions and splits is critical for NoSQL storage engine design so we can navigate diverse application requirements.

Concurrency Control. Key-value storage engines need to support large numbers of concurrent queries. When reads and writes arrive at the same time then depending on the exact design of the engine there are a plethora of approaches on increasing throughput. For example, LSM-trees are inherently more able to process concurrent requests compared to a typical B-tree design because they update data out of place. Similarly, a log-structured hash table design goes a step further by performing much fewer compactions and thus creating fewer conflicts for reads and writes (at the expense of read cost). B-tree designs can also adopt an out of place approach by stacking updates in leaf nodes like BW-tree or across any node like B+-tree.

Time-travel Queries. A very useful property in business applications is to be able to query data based on the status of the system at a particular point in time. This means that key-value pairs should be associated with timestamps. Supporting even small number of versions, though, can be a significant overhead in terms of storage. At the same time the exact way the timestamps are stored is critical. For example, if timestamps are stored inline with the base date, then this can lead to significant overheads for all queries (since timestamps will need to be read along with the base data).

CPU vs I/O Cost. Primarily key-value engines deal with big data and as such the bulk of their performance cost comes from moving data from disk and across the memory hierarchy. However, still a significant part of the cost does come from CPU. For example, depending on the mix of access patterns in the workload an engine may be more or less intensive in moving data. Similarly, using compression leads to increased CPU costs and the exact form of compression used defines the balance of I/O saved versus CPU sacrificed. This trade-off becomes especially important on the cloud where both CPU and I/O cost contribute to the required budget while different cloud providers offer different (and often changing) cost policies.

Adaptive Indexing and Layouts. One way to “blend” performance properties for diverse workloads is through adaptivity. While the concept has not been studied in NoSQL storage there are a lot of parallels that can be drawn and we will use these concepts when we touch on the open challenges for NoSQL engines. Adaptive indexing [36] is a lightweight approach in self-tuning databases. Adaptive indexing addresses the limitations of offline and online indexing for dynamic workloads; it reacts to workload changes by building or refining indices partially and incrementally as part of query processing. That is, no DBA or offline processing is needed. By reacting to every single query with
lightweight actions, adaptive indexing manages to instantly adapt to a changing work load. As more queries arrive, the more the indices are refined and the more performance improves. Recently this area has received considerable attention with numerous works that study adaptivity with regards to base storage in relational systems, NoSQL systems, updates, concurrency, and time-series data management [4, 5, 10, 19, 25, 31, 32, 36, 37, 41, 48, 55, 56, 60, 63, 68]. Typically, in these lines of work the layout adapts to incoming requests. Similarly works on tuning via experiments [12], learning [6], and tuning via machine learning [3, 34] can adapt parts of a design using feedback from tests.

3 SELF-DESIGNED NOSQL STORAGE
In the third part of the tutorial we will describe in detail new research opportunities to create custom storage engines to match tailored applications requirements.

Self-designed Systems. Self-designed systems rely on the notion of mapping the possible space of critical design decisions in a system. For example, the Data Calculator introduced the design space of key-value storage [40]. The design space is defined by all designs that can be described as combinations and tunings of the “first principles of design”. A first principle is a fundamental design concept that cannot be broken into additional concepts, e.g., for data structure design: fence pointers, links, temporal partitioning, and so on. The intuition is that, over the past decades, researchers have invented numerous fundamental design concepts such that a plethora of new valid designs with interesting properties can be synthesized out of those. The design space presented in [40] is shown to cover state-of-the-art designs, but it also reveals that a massive number of additional storage designs can be derived. As an analogy consider the periodic table of elements in chemistry; it categorized existing elements, but it also predicted unknown elements and their properties. In the same way, we can create the periodic table of data structures [39] which describes more key-value store designs than stars on the sky. Similar efforts have created design spaces in cache coherency protocols for database servers [28] and the design of parallel algorithms [50].

A self-designed system uses the design space to automatically generate designs that fit best a target workload and hardware. To do that we need to know how the various points in the space differ in terms of the performance properties they give to the resulting system. For example, learned cost models [40] is a method that enables learning the costs of fundamental access patterns (random access, scan, sorted search) out of which we can synthesize the costs of complex algorithms for a given data structure specification. These costs can, in turn, be used by machine learning algorithms that iterate over machine generated data structure specifications to label designs, and to compute rewards, deciding which specification to try out next. For example, early results using genetic algorithms [38] and dynamic programming [40] show the strong potential of such approaches to automatically discover close to optimal storage designs.

In addition, design continuums [20, 22, 35] is another direction which allows for accurate fast search for the best design. A design continuum is a performance hyperplane that connects a specific subset of designs within the set of all possible designs. Design continuums are effectively a projection of the design space, a “pocket” of designs where we can identify unifying properties among its members. A design continuum unifies major distinct data structure designs under the same model. The critical insight and potential long-term impact is that such unifying models 1) render what we consider up to now as fundamentally different data structures to be seen as “views” of the very same overall design space, and 2) allow “seeing” new data structure designs with performance properties that are not feasible by existing designs. The core intuition behind the construction of design continuums is that all data structures arise from the very same set of fundamental design principles, i.e., a small set of data layout design concepts out of which we can synthesize any design that exists in the literature as well as new ones. We show how to construct, evaluate, and expand, design continuums and we also present the a continuum that unifies major data structure designs, i.e., B*tree, B+tree, LSM-tree, and LSH-table.

The practical benefit of a design continuum is that it creates a fast inference engine for the design of data structures. For example, we can predict near instantly how a specific design change in the underlying storage of a data system would affect performance, or reversely what would be the optimal data structure (from a given set of designs) given workload characteristics and a memory budget. In turn, these properties allow us to envision a new class of self-designing key-value stores with a substantially improved ability to adapt to workload and hardware changes by transitioning between drastically different data structure designs to assume a diverse set of performance properties at will.

Storage Engine Description. Another critical issue triggered by the vast design space of storage engine designs and its complexity is how we communicate the specifics of a particular design. This is critical for system architects and engineers to understand and maintain systems as they evolve. We argue that a high level language is needed to describe storage engine and we present ideas and open problems to achieving that.

Applications: Big Data, Data Science. In the last part of the tutorial we touch on how the new directions described can apply across numerous data-intensive areas. We discuss
broad data science applications such as statistics-heavy processing and machine learning systems. Effectively, all these areas have in common the need to process ever growing amounts of data. The data storage and exact processing algorithms supported need to vary depending on the exact access patterns desired by the high level algorithms/workloads and by the hardware. As data grows, even the slightest sub-optimality in these decisions can cost anything from hours to days in processing. The new ideas presented in this tutorial showcase open research problems towards being able to generate close to optimal storage systems for such data-intensive applications.

4 AUDIENCE, AND OUTPUT

Audience. The target audience for this tutorial is students, academics, researchers and software engineers with basic knowledge on data structures, algorithms and data system design. We assume basic understanding of fundamental data structures such as B-trees, LSM-trees, and Hash-tables. In addition, we assume basic knowledge of modeling and optimization. The tutorial is self-contained in providing all necessary background, no prior knowledge is needed on auto-tuning, adaptive systems/indexing, self-designed and learned systems.

Output. The target learning output is as follows:

1. understanding use cases of key-value systems
2. understanding state-of-the-art storage engine design
3. understanding the long term technical limitations of state-of-the-art systems
4. understanding the need of building new tailored systems that match the application needs
5. exposure to the new research challenges with self-designed NoSQL systems
6. exposure to the new opportunities across diverse data-intensive contexts: data science, machine learning, graphs

5 PRESENTERS

Stratos Idreos is an associate professor of Computer Science at Harvard University where he leads the Data Systems Laboratory. His research focuses on making it easy and even automatic to design workload and hardware conscious data structures and data systems with applications on relational, NoSQL, and broad data science and data exploration problems. Stratos was awarded the ACM SIGMOD Jim Gray Doctoral Dissertation award for his thesis on adaptive indexing. He received the 2011 ERCIM Cor Baayen award as “most promising European young researcher in computer science and applied mathematics” from the European Research Council on Informatics and Mathematics. In 2015 he was awarded the IEEE TCDE Rising Star Award from the IEEE Technical Committee on Data Engineering for his work on adaptive data systems. Stratos is also a recipient of the National Science Foundation Career award, and the Department of Energy Early Career award.

Mark Callaghan is a Distinguished Engineer at MongoDB and works on database performance. Previously he lead web-scale MySQL efforts at Facebook and Google for 14 years and worked on DBMS internals at Oracle and Informix for 9 years. He has an MS in CS from UW-Madison. He is interested in using math to understand the relationship between performance and efficiency in index structures.

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