

# Building knowledge base management systems

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**Abstract.** Advanced applications in fields such as CAD, software engineering, real-time process control, corporate repositories and digital libraries require the construction, efficient access and management of large, shared knowledge bases. Such knowledge bases cannot be built using existing tools such as expert system shells, because these do not scale up, nor can they be built in terms of existing database technology, because such technology does not support the rich representational structure and inference mechanisms required for knowledge-based systems. This paper proposes a generic architecture for a knowledge base management system intended for such applications. The architecture assumes an object-oriented knowledge representation language with an assertional sublanguage used to express constraints and rules. It also provides for general-purpose deductive inference and special-purpose temporal reasoning. Results reported in the paper address several knowledge base management issues. For storage management, a new method is proposed for generating a logical schema for a given knowledge base. Query processing algorithms are offered for semantic and physical query optimization, along with an enhanced cost model for query cost estimation. On concurrency control, the paper describes a novel concurrency control policy which takes advantage of knowledge base structure and is shown to outperform two-phase locking for highly structured knowledge bases and update-intensive transactions. Finally, algorithms for compilation and efficient processing of constraints and rules during knowledge base operations are described. The paper describes original results, including novel data structures and algorithms, as well as preliminary performance evaluation data. Based on these results, we conclude that knowledge base management systems which can accommodate large knowledge bases are feasible.

**Key words:** Knowledge base management systems – Storage management – Concurrency control – Constraint enforcement – Rule management

## 1 Introduction

“... Databases will be exploited in many environments in the year 2000 and will offer many new functions and features. The combination of new environments and new application areas will pressure database technology to invent new functionality ... At the same time, the natural evolution of database technology will provide a technology push to make databases usable for a much broader range of applications. ...” Patricia G. Selinger.<sup>1</sup>

Many advanced applications in diverse areas such as CAD, software engineering, real-time process control, corporate repositories and digital libraries require the construction, efficient access and management of large, shared knowledge bases. For example,

- a CAD application for aircraft design may involve tens of thousands of generic objects, rules and constraints, and hundreds of thousands of instances of the design schema, where the generic objects describe aircraft parts (wings, engines, fuselage, etc.), while constraints and rules specify policies that must be respected, because they represent physical laws, government standards or company regulations;
- real-time knowledge-based systems, which need to monitor incoming data for an industrial process or for traffic control and offer diagnostic assistance to human operators in case of an emergency; knowledge bases for such applications need to store information about the process being monitored, the problems that can arise and how to diagnose them; for an industrial process, such knowledge includes a plant schematic, knowledge about plant components (pipes, valves, boilers, etc.) and their operational characteristics, knowledge about hardwired functions (what does it mean when alarm 692 goes off) and diagnostic knowledge used by plant operators to determine the nature of an emergency (Kramer et al. 1996);
- “grand challenges”, such as information system support for environmental global change research (Stonebraker

<sup>1</sup> VLDB-93 invited lecture, Dublin, Ireland.

and Dozier 1991) and the human GENOME project (Frenkel 1991);

- knowledge-sharing applications that involve construction of generic knowledge bases that include thousands of concept descriptions and are used as references in the construction of knowledge-based systems (Neches 1991).

Such knowledge bases may be built in terms of existing knowledge representation systems (expert system shells, for instance) or AI languages such as Lisp or Prolog. Unfortunately, such implementations do not scale up for several reasons, including inefficient memory management, lack of provisions for sharing, expensive (and sometimes ill-defined) knowledge base operations (Lockemann et al. 1991; Ishikawa et al. 1993).

Alternatively, such knowledge bases may be built on top of one or more existing database management tools. Unfortunately, this is not a satisfactory solution either. First, the modeling facilities provided by existing database management tools only support a subset of the rich representational structures and inference mechanisms of knowledge representation schemes. Second, available optimization mechanisms do not exploit the rich structure and semantic properties of knowledge bases. Finally, this approach delegates important managerial aids, such as semantic integrity enforcement, to the end-users of the knowledge base, rather than to the system that manages the knowledge base.

This paper proposes a generic architecture for a knowledge base management system (KBMS) and describes a body of results addressing issues that range from storage management, query processing and concurrency control to rule processing. The proposed system offers a rich representational framework including structuring mechanisms (generalization, aggregation, classification and others), as well as an assertion language for expressing deductive rules and integrity constraints. Moreover, the system supports reasoning mechanisms, including deductive inference, constraint enforcement and temporal reasoning. The representation language adopted for the KBMS design is Telos (Mylopoulos et al. 1990).

The term “knowledge base” is used throughout the paper, instead of “database”, mostly for historical reasons. There are no technical grounds for distinguishing between the two terms, in view of the fact that (extended) database systems (such as ones managing object-oriented, active and deductive databases) do support some deductive and non-deductive inference mechanisms and structuring facilities analogous to those found in knowledge bases. The difference in meaning, if any, between the two terms is mostly in the degree to which they support representational, structuring and inference capabilities.

The rest of the paper is organized as follows. Section 2 presents a brief overview of the knowledge representation framework of Telos. Section 3 proposes a generic architecture for a KBMS and its components. Sections 4–7 describe, respectively, research results on storage management, query processing, concurrency control and constraint and rule management. Each one of these sections defines the problem in the context of knowledge bases, identifies limitations of existing approaches (if such exist) and proposes solutions,

along with an evaluation. The methodology used to evaluate the proposed research results varies with the results being evaluated. Section 8 summarizes the results of this work and outlines open problems for further research.

## 2 Overview of Telos

The representational framework of Telos (Mylopoulos et al. 1990) constitutes a generalization of graph-theoretic data structures used in semantic networks (Findler 1979), semantic data models (Hull and King 1987) and object-oriented representations (Zdonik and Maier 1989). Telos treats attributes as first-class citizens, supports a powerful classification (or instantiation) mechanism which enhances extensibility and offers special representational and inferential mechanisms for temporal knowledge. In addition, there have been formal accounts of the semantics of the language based on an axiomatic approach (Stanley 1986) or a possible-worlds model (Plexousakis 1993b). This section introduces the core features of Telos which are divided into *structural*, *temporal* and *assertional* features. A more comprehensive description of the language can be found elsewhere (Mylopoulos et al. 1990).

### 2.1 Structural component

A Telos knowledge base consists of structured objects built out of two kinds of primitive units, *individuals* and *attributes*. Individuals are intended to represent entities (concrete ones such as `John`, or abstract ones such as `Person`), whereas, attributes represent binary relationships between entities or other relationships. Individuals and attributes are referred to by a common term – *proposition*. As in object models, Telos propositions have their own internal identifiers.

Every proposition  $p$  consists of a *source*, a *label* and a *destination* which can be retrieved through the functions  $\text{from}(p)$ ,  $\text{label}(p)$  and  $\text{to}(p)$ . A proposition can be represented by a 3-tuple<sup>2</sup> (e.g., [`Martin`, `age`, `35`]).

Propositions (individuals and attributes) are organized along three dimensions, referred to in the literature as *attribution* (Attardi and Simi 1981), *classification* and *generalization* (Brodie et al. 1984).

*Structured objects* consist of collections of (possibly multi-valued) attributes that have a common proposition as a source, thus adding a simple form of *aggregation*. The structured object corresponding to an individual, for example, may consist of the following set of propositions:

```
{MTS, [MTS, InstanceOf, Employee],
 [MTS, name, Martin], [MTS, sal, 30000],
 [MTS, addr, '10 King's College Road'],
 [MTS, dept, 'Computer Science']}
```

In this case, `MTS`, an employee named `Martin`, has a `sal` attribute with value `30000`, an `addr` attribute with value `10 King's College Road` and an attribute

<sup>2</sup> Later, when the temporal dimension is introduced, propositions will be shown as 4-tuples.

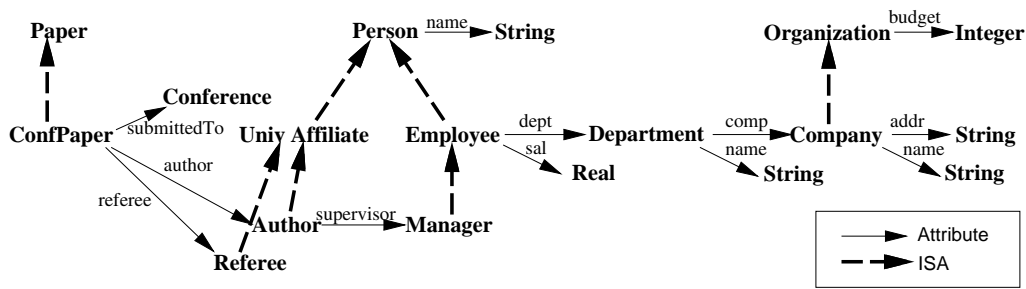


Fig. 1. An example Telos knowledge base

dept with value Computer Science. Note that an attribute may also represent abstract relationships such as [Person, addr, GeographicLocation], intended to represent the concept of the address relationship between persons and geographic locations.

Each proposition is an instance of one or more generic propositions called *classes* – thus giving rise to a classification hierarchy. Propositions are classified into *tokens* – propositions having no instances and intended to represent concrete entities in the domain of discourse, *simple classes* – propositions having only tokens as instances, *meta-classes* – having only simple classes as instances, *meta-meta-classes*, and so on.

Orthogonal to the classification dimension, classes can be organized in terms of *generalization* or *isA* hierarchies. A class may have incomparable generalizations leading to hierarchies that are directed acyclic graphs rather than trees. The attribute mechanism is also used for attaching assertions (deductive rules and integrity constraints) to Telos objects. Inheritance of attributes with respect to generalization is assumed to be strict in the sense that a class definition cannot override inherited attributes.

Figure 1 shows an example Telos knowledge base in the form of a labeled directed graph. Instantiation, generalization and attribution relationships are represented as edges in the graph. For example, in Fig. 1 the attribute [Employee, dept, Department] is represented in this graph as an edge between Employee and Department which is labeled by dept.

## 2.2 The temporal component

Every Telos proposition has an associated *history* time and a *belief* time. The history time of a proposition represents the lifetime of a proposition in the application domain (i.e., the lifetime of an entity or a relationship). A proposition's belief time, on the other hand, refers to the time when the proposition is believed by the knowledge base, i.e., the interval between the moment the proposition is added to the knowledge base and the time when its belief is terminated. Both history and belief time are represented by means of time *intervals*. The model of time adopted is a modification of Allen's framework (Allen 1983). Seven exclusive temporal relations (e.g., equal, meet, before, after, during, start, end) together with their inverses are used to characterize the possible positions of two intervals on a linear time line. Temporal relationships participate in

the expression of deductive rules and integrity constraints in the assertion language. Disjunction of temporal relationships is disallowed in order to facilitate efficient temporal reasoning.

A proposition with history time will now be a 4-tuple. For example, the proposition [Martian, addr, '10 King's College Road', 1/1/89..3/10/89] means that Martian had an addr of 10 King's College Road during the period 1/1/89 to 3/10/89. The time component of a proposition  $p$  may be retrieved using the function  $\text{when}(p)$ .

Telos has several built-in temporal constants, such as dates and times (e.g., 1988/12/07 denoting December 7, 1988, 1988 denoting the interval starting at the beginning of 1988 and ending at the end of 1988), semi-infinite intervals having conventional dates or times as one endpoint (e.g., 1986/10/25 .. \*) and the infinite interval Alltime.

## 2.3 The assertional component

Telos provides an assertion language for the expression of deductive rules and integrity constraints. The assertion language is a first-order language with equality.

Function symbols of the language that have already been mentioned in the previous sections are  $\text{from}(p)$ ,  $\text{label}(p)$ ,  $\text{to}(p)$  and  $\text{when}(p)$ , returning the source, label, destination and duration of  $p$ , respectively. In addition, the assertion language supports selection operations, which make it possible to "navigate" through a Telos knowledge base. The selection operations include a dot function operation  $x.1 [r1 t1]$  which evaluates to the set of  $\text{to}$ -values of the attributes of proposition with source  $x$  which belong to the attribute class labeled by  $1$  during intervals which are in relation  $r1$  with time interval  $t1$ . The definitions of other functions can be found elsewhere (Mylopoulos et al. 1990). The terms of the language include variables, constants (including conventional dates) and the result of applying functions to terms.

The atomic formulae of the assertion language include the predicates  $\text{prop}()$ ,  $\text{instanceOf}()$ ,  $\text{isA}()$ ,  $\text{att}()$  for an attribute  $\text{att}$ , the temporal predicates before, during, overlaps, meets, starts, finishes, equal and their inverses after, contains, overlapped by, met by, started by and finished by. The predicate  $\text{prop}(p, x, y, z, t)$  means that  $p$  is a proposition with components  $x, y, z$  and  $t$ . The predicate  $\text{instanceOf}(x, y, t1, t2)$  means that  $x$  is an instance of  $y$  for the time period

$t_1$  and is believed by the system for the time period  $t_2$ . Similarly, the predicate  $\text{isA}(x \ y, t_1, t_2)$  means that  $x$  is a specialization of  $y$  for the time  $t_1$  and is believed by the system for time  $t_2$ . Finally,  $\text{att}(x \ y, t_1, t_2)$  denotes that  $y$  is a value of the attribute  $\text{att}$  of  $x$  for  $t_1$  and is believed for  $t_2$ . Also, for any terms  $x$  and  $y$  and any evaluable predicate  $\theta$ ,  $x \theta \ y$  is an atomic formula with the obvious meaning.

A meta-predicate  $\text{Holds}$  denotes the truth of an atomic formula during a time interval. For example, the history-time assertion  $\text{Holds}(p(x, y), t)$  means that there exists a time interval  $t_0$  such that  $\text{prop}(\text{pid}, x, p, y, t_0) \wedge (t_0 \text{ contains } t)$  is true, if  $p$  is a basic predicate, or that the truth of  $p(x, y)$  at time  $t$  is derivable from the knowledge base via the deductive rules, if  $p$  is a derived predicate. The predicate  $p$  is restricted to be a non-evaluable and non-temporal predicate<sup>3</sup>, since the truth of evaluable or temporal predicates is not dependent on their evaluation over a particular time interval. A belief-time assertion has the form  $\text{Believed}(HT, t')$ , where  $\text{Believed}$  is a meta-predicate denoting that a history-time assertion  $HT$  is believed by the system throughout a belief time interval  $t'$ . Using these predicates leads to more succinct temporal expressions.

Well-formed formulae of the assertion language are formed by using the meta-predicates  $\text{Holds}$  and  $\text{Believed}$ , logical connectives and restricted quantification. Restricted quantification is of the form  $\text{Forall } x/C$  and  $\text{Exists } x/C$  for a Telos class  $C$ . The assertion language is used to pose queries or to specify the integrity constraints and deductive rules in the knowledge base.

With respect to the knowledge base of Fig. 1, the following query retrieves all the employees who have had an increase of more than \$5000 in their salary in 1988 and according to the beliefs of the system from the beginning of 1988 and on.

```
ASK e/Employee : Exist t1, t2/TimeInterval
(e[t1].sal ≤ e[t2].sal - 5000)
  and (t1 before t2)
  ON 1988
  AS OF (1988..*)
```

Similarly, referring to the example knowledge base of Fig. 1, the following formula expresses the constraint that “no author of a conference paper can be a referee for it”. Moreover, the constraint is assumed to be valid from (the beginning of) 1988 and on.

```
Forall p/ConfPaper Forall x/Author
Forall r/Referee Forall t/TimeInterval
(Holds(author(p, x), t) ∧ Holds(referee(p, r), t)
⇒ (r ≠ x)) (at 1988..*)
```

The same constraint could also be expressed without the meta-predicate  $\text{Holds}$  as:

```
Forall p/ConfPaper ∀x/Author
∀r/Referee /∀t1, t2, t3, t4/TimeInterval
[author(p, x, t1, t2) ∧ referee(p, r, t3, t4)
```

<sup>3</sup> Evaluable predicates are those consisting of a comparison or set membership operator. Temporal predicates correspond to the 13 possible interval relationship. The remaining predicates are called non-evaluable.

```
∧ during(t3, t1) ∧ during(t4, t2)
⇒ [r ≠ x](at 1988..*)
```

The two forms of this constraint are equivalent, but as we can see, the former is more succinct than the latter. Also, the latter form includes explicit quantification over belief time intervals. For the purpose of this section, we will only use the succinct form.

The above constraint is an example of a *static* constraint, i.e., a property applicable to all states of the domain of discourse. The canonical example of a *dynamic* integrity constraint, expressing the property that “an employee’s salary should never decrease”, can be expressed by the following assertion language formula:

```
Forall p/Employee Forall s, s'/Integer
Forall t1, t2/TimeInterval
(Holds(salary(p, s), t1) ∧ Holds(salary(p, s'), t2)
∧ before(t1, t2) ⇒ (s ≤ s')) (at 02/01/1988..*)
```

Notice the absence of belief-time assertions from the expressions of the above constraints. Both formulae are interpreted over the same belief-time interval.

Constraints, as well as deductive rules, are associated with history and belief time intervals. In the previous examples, the history time intervals associated with the constraints are the semi-infinite intervals  $(1988 \dots *)$  and  $(02/01/1988 \dots *)$ , respectively. If no such association appears explicitly with their definition, both intervals are assumed to be equal to  $(\text{systemtime} \dots *)$ , where  $\text{systemtime}$  denotes the current system time. Examples of different kinds of constraints expressible in the assertion language are given in Sect. 7.

Syntactically, deductive rules are considered to be special cases of integrity constraints. The general form of a deductive rule is  $\text{Forall } x_1/C_1 \dots \text{Forall } x_n/C_n (F \Rightarrow A)$ , where  $F$  is a well-formed formula and  $A$  is a history-time assertion or an evaluable predicate. As an example, consider the rule “A university affiliate works in the department that has the same address as she does”, expressed by the formula:

```
Forall u/UnivAffiliate Forall d/Department
Forall s, s'/Address Forall t/TimeInterval
(Holds(address(u, s), t) ∧ Holds(D_addr(d, s'), t)
∧ (s = s')) ⇒ Holds(works_in(u, d), t) (at 1988..*)
```

### 3 System architecture

The KBMS design is based on an extensible and layered architecture. An extensible architecture is necessary because the KBMS is intended to support both general-purpose and special-purpose inference mechanisms. Special-purpose inference mechanisms, for example, spatial reasoning, case-based reasoning, need to be incorporated depending on specific application needs, whereas, general-purpose mechanisms will be common across all applications. A layered architecture supports design based on increasing levels of abstraction, thereby partitioning the overall design problem of KBMSs into several sub-problems. In the long term, such an architecture can lead to standard interfaces for each layer

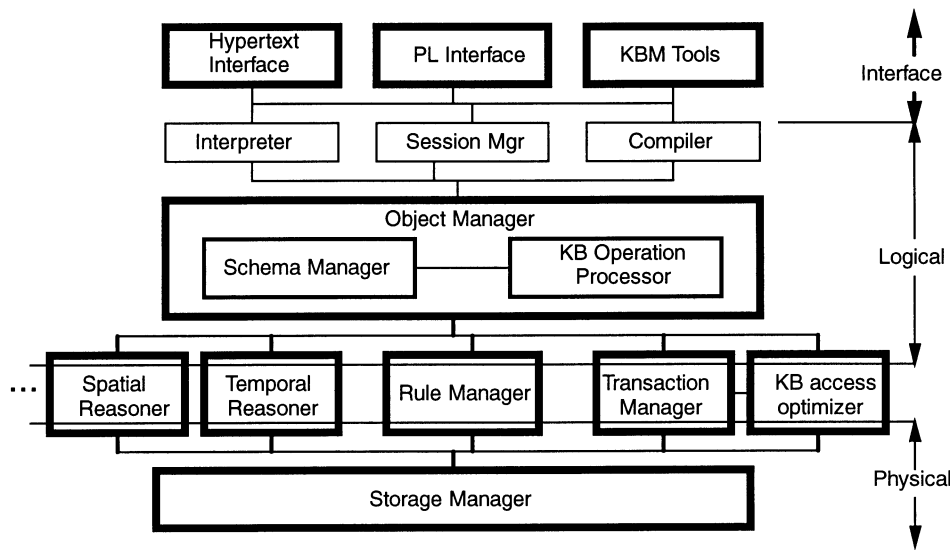


Fig. 2. Global KBMS architecture

and its components, so that layer implementations can be re-used across different KBMSs.

The system architecture adopted is shown in Fig. 2.<sup>4</sup> The architecture provides for three different layers: an interface layer, which offers different types of user interfaces, a logical layer which handles primitive knowledge base operations for retrieval and update, a physical layer which manages the data structures used to store the knowledge base, and a variety of indices and other auxiliary information.

The interface layer offers knowledge base users a variety of services, including a hypertext interface for ad hoc user interactions and a programming language (PL) interface which supports the execution of application programs that include knowledge base operations. In addition, the interface layer may include knowledge base management (KBM) tools for knowledge acquisition, knowledge base verification, validation, evolution and knowledge sharing (Neches et al. 1991), (Buchanan and Wilkins 1993). These services are interfaced with the logical layer through the knowledge representation language interpreter or compiler and a session manager.

The logical layer maintains information on class definitions, including rules and constraints, and supports primitive knowledge base operations such as TELL and ASK (Mylopoulos et al. 1990). Its services are implemented on top of the physical layer in terms of a collection of modules which provide for basic data management functions, such as access path planning for efficient query processing and concurrent execution of transactions, special-purpose reasoners for temporal, spatial or other types of reasoning, as well as a rule management component which supports deductive inference and constraint checking.

Finally, the physical layer is responsible for the management of the disk-based data structures on which the knowledge base is stored, indices supported by the architecture, caching policies, etc. The functionality of the bottom part

of this layer is assumed to be provided by a storage kernel such as the ones designed for object-oriented and nested relational databases (Carey et al. 1986; Paul et al. 1987; Biliris 1992).

The remainder of the paper focuses on the logical layer and the modules that implement it on top of the physical layer.

#### 4 Storage management

Despite the pace of hardware advances, the knowledge bases envisioned for the proposed KBMS will be too large to fit in main memory. Existing knowledge base building tools, such as expert system shells, do not provide for efficient secondary memory storage. When the size of a knowledge base grows beyond system limits, these tools rely on the underlying operating system which manages memory through paging for disk I/O. This means that disk I/O, generally considered the most serious bottleneck to a system's performance, is delegated to a system component that knows nothing about the structure and access patterns of the knowledge base. Not surprisingly, such implementations do not scale up to knowledge bases of size beyond  $O(10^4)$  tokens. On the other hand, the coupling of an expert system shell to an existing (say, relational) DBMS for storing the knowledge base is also a non-solution because conventional data models are not sufficiently rich to support the representational and inferential features of a KBMS, thus rendering DBMS-supported optimization techniques ineffective.

Our objective in this section is to devise a suitable scheme for storing the knowledge base on a disk, taking into account the semantic features of a Telos knowledge base. Within our framework, the generation of a storage management scheme is viewed as a three-step process. In the first step, called logical design, the knowledge base structure is mapped into a set of logical storage structures (such as a relational schema). The second step, called physical design, determines disk layout for the relations defined during logical design. The third step makes provisions for indices to

<sup>4</sup> It has to be noted that this is a fairly abstract and high-level design. Implementation is in a very primitive stage. The performance results reported were obtained by simulation.

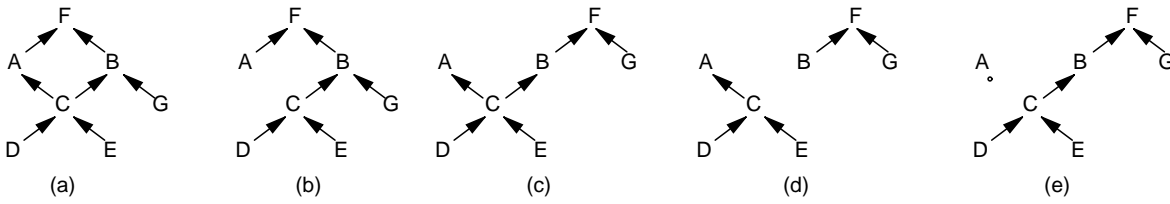


Fig. 3a–e. ISA hierarchies

be used for accessing stored information. In this paper, we limit the discussion to logical design and indexing.

#### 4.1 Related work

From the logical storage design approaches that have been proposed for object-oriented databases, two prominent approaches are the  $n$ -ary (direct) storage model (NSM) and the decomposition storage model (DSM) (Valduriez et al. 1986; Copeland and Khoshafian 1985). The DSM has been proposed as an implementation technique for relational and complex object databases. According to the DSM, a separate relation is defined for each attribute of a class. As a result, class instances have values of their attributes distributed over many relations. Object identifiers (OIDs) serve as the connectives of different attribute values of the same object. A major advantage of the DSM is that it can be easily implemented and does not require storage reorganization because of schema evolution.<sup>5</sup> Disadvantages of the DSM include relatively high storage cost (usually double the cost of non-decomposed storage schemes) and inefficiency in executing operations which access many attributes of a single object. Because of these reasons, the DSM is definitely not appropriate for applications that tend to process objects in their entirety (e.g., CAD/CAM or software engineering). In the NSM, a separate relation is defined for each class in the knowledge base. If the total number of attributes for a class, including the attributes inherited from parent classes, is  $n$ , then the relation corresponding to this class will have  $n + 1$  attributes. The extra attribute in the relation is needed for the OID. If the value of an attribute of a class is another object (or set of objects), then two variations of the NSM are possible. In the first, the entire object (resp. set of objects) is stored directly as the attribute value. In the second variation, an OID (resp. set of OIDs) is stored instead of the entire object. The advantage of this method is that it efficiently supports the access of a large number of attributes or sub-classes of a given class. Its greatest disadvantage is that it is inflexible with respect to schema updates and has poor performance on sub-class updates.

In summary, both methods can deal with complex objects, while, in addition, the DSM offers support for generalization (or *isa*) hierarchies. However, neither method addresses issues of storage management for temporal knowledge, deductive rules and integrity constraints. In this section, we propose an algorithm called controlled decomposition method (CDM) that combines the advantages of both

<sup>5</sup> Schema evolution means adding to or deleting from the knowledge base classes or attributes.

the NSM and DSM and also takes into account temporal knowledge.

As far as access methods are concerned, the most promising solution for knowledge bases is the join index (Valduriez 1987). The join index is used, as part of the data storage, by the DSM. Once again, however, this index cannot be adopted as it is, because it offers no provisions for dealing with temporal attributes. The CDM extends this index to the temporal join index (TJI) for this purpose.

#### 4.2 The CDM

Generation of a logical design using the CDM involves three steps. The first step transforms a given generalization hierarchy from a general graph to a forest (a set of trees). The second step generates relations corresponding to the forest. The final step creates hierarchical OIDs for the tuples of the relations created in step 2.

Assume that the *isa* hierarchy associated with a knowledge base is represented as a directed acyclic graph  $G = (V, E)$ , where  $V$  is the set of classes and  $E$  is the set of *isa* relationships, declared or derived, between these classes. Furthermore, it is assumed that statistics for frequency of access (number of accesses over time) for every class  $v \in V$ , denoted  $f(v)$ , and frequency of access for every attribute  $a$  of a class  $v$ , denoted  $g(v, a)$ , are available. Such information can be obtained by, for instance, looking at the trace of transactions operating on a knowledge base over a period of time. We define the *most preferred parent* of a node  $v$ , with parents  $v_1, v_2, \dots, v_k$ , as node  $v_i$  if  $f(v_i) \geq f(v_j)$ ,  $1 \leq j \leq k$ . If more than one node satisfies this criterion, we arbitrarily pick one of them as the most preferred parent.

The CDM rule for transforming an *isa* hierarchy into a forest is then defined as follows:

- C1. For every class  $v \in V$  choose only one outgoing edge, the one leading to the most preferred parent. The attribute list of the class  $v$  is extended with the attributes inherited from the disconnected parents.

For example, decomposing the hierarchy shown in Fig. 3a involves comparing the values of  $f(A)$  and  $f(B)$ . If  $f(A) > f(B)$ , the resulting hierarchy will be as shown in Fig. 3b. It can also be the case that a class does not have a unique common ancestor (for an example, see Fig. 3c). In such a case, rule C1 is used to break a hierarchy into two. Figure 3d and e shows the possible outcome, depending on which of  $f(B)$  and  $f(A)$  is greater.

- C2. For each class in this forest, a relation is created with attributes as determined by rule C4 below.

PERSON			EMPLOYEE (ISA PERSON)				DEPARTMENT			
P_ID	ENAM		E_ID	SAL			D_ID	DNAME		
P31	1..6	Alex	P31	1..6	{45	1..4,	D1	1..6	{Res	1..4,
P03	4..8	Mary			55	5..6}			Sales	5..6}
P24	8..10	Mike	P24	8..10	{60	8..10}	D2	1..10	{Adm	1..10}
P25	6..9	Nick	P25	6..9	{55	6..9}	D3	4..10	{Dev	4..10}
P37	6..10	Karen	P28	5..10	{45	5..8,	D6	9..10	{Res	9..10}
P28	5..10	John			60	9..10}	D7	9..10	{Dev	9..10}

EMP_DEPT			DEPT_COMP			ORGANIZATION					
E_ID	D_ID	TIME	D_ID	C_ID	TIME	O_ID	BUDGET				
P31	D1	1..6	D1	O11	1..6	O05	3..9	{30M	3..4,	60M	5..9}
P34	D2	6..8	D2	O11	1..10						
P34	D3	9..10	D3	O11	4..8						
P25	D3	6..9	D3	O12	9..10						
P37	D6	9..10	D6	O13	9..10						
P28	D7	9..10	D7	O14	9..10						

COMPANY (ISA ORGANIZATION)					
C_ID	CNAME			CADDR	
O11	1..10	{ML	1..8,	{TOR	1..10}
		MA	9..10}		
O12	4..10	{KC	6..10}	{Toronto	4..8
				Paris	9..10}

Fig. 4. Relations created by the CDM

- C3. A token is stored as a tuple in the relation corresponding to the most general class of which the token is an instance. OIDs are assigned to each tuple using a hierarchical scheme (see Topaloglou 1993).
- C4. A relation corresponding to a class will have all the local attributes of that class, except in the following cases:
- C4a. If an attribute has a complex domain (i.e., its values are instances of another class), the relation corresponding to this class is decomposed by creating a separate relation for that attribute. Consider the class  $R$  and its attribute  $A$  that has class  $S$  as its domain. If  $r_i$  denotes the OID corresponding to a tuple in  $R$  and  $s_i$  denotes the OID corresponding to a tuple in  $S$ , then the decomposed relation  $RS$  is specified as:
- $$RS = \{(r_i, s_i, t) | r_i.A \text{ [at } t] = s_i\}$$
- C4b. If an attribute  $A$  of a class  $R$  has a simple domain (e.g., Integer, String, etc.) and its access frequency  $g(A, R)$  is greater than a threshold value  $g_T$ , then the relation corresponding to class  $R$  is decomposed such that the attribute  $A$  is stored in a separate relation  $RA$ . If  $r_i$  is an OID for a tuple in  $R$ , then the relation  $RA$  is specified as follows:
- $$RA = \{(r_i, a_i, t) | r_i.A \text{ [at } t] = a_i\}$$
- C5. Every attribute  $A$  is stored as a 3-tuple  $\langle a_i, h_i, b_i \rangle$ , where  $a_i$  is the value of the attribute,  $h_i$  is the history time and  $b_i$  is the belief time.<sup>6</sup>

According to this logical schema representation of the knowledge base, the attributes of a class that are spread across several relations will have the same OID. The reader may have noticed that rules C2, C3 and C4a are adaptations from the DSM, whereas rule C4b is adopted from the NSM. Rule C5 accounts for temporal knowledge.

The relations which are generated by the CDM algorithm for a portion of the knowledge base of Fig. 2 are shown in Fig. 4. The EMPLOYEE relation stores only the local attribute

of the Employee class (e.g., sal) whereas the employee name is stored in the PERSON relation (rule C4). Since the attribute dept of the class Employee has a complex domain Department, a separate EMP\_DEPT relation is created for it. The example only shows the history times associated with each attribute and instance-of relationship. In particular, each attribute value is stored with its corresponding history time interval. Values of the attribute at different history times are indicated by braces.

### 4.3 Performance evaluation of the CDM

This section compares the CDM with the DSM and the NSM with respect to storage cost and reorganization cost incurred by changes in the schema.

#### 4.3.1 Storage cost

The following table summarizes the parameters which characterize a tree-structured isA hierarchy  $\mathcal{H}$ . (We consider a tree-structured hierarchy here, because the rule C1 of the CDM transforms an arbitrary isA hierarchy into a set of trees.)

#### Knowledge Base Parameters

- $C$  number of classes in  $\mathcal{H}$
- $d$  average degree of decomposition in  $\mathcal{H}$
- $l$  average number of locally defined attributes per class
- $N$  average number of instances per class
- $b$  branching factor of the isA tree
- $h$  height of the isA tree
- $i$  size of an OID, attribute value and temporal identifier<sup>7</sup>

Let us now compute the required disk storage ( $rds$ ) for each of the three models.

<sup>7</sup> For simplicity, we assume that these sizes are equal and thus in Equation 1, for instance, we use the multiplier 2 to denote a value and a temporal identifier. A more general model that does not make this assumption is available elsewhere (Topaloglou 1993).

<sup>6</sup> In the discussion that follows we restrict ourselves to history time only.

**Table 1.** Summary of update costs

update operation	NSM	DSM	CDM
insert attribute	not supported	new binary relation	rule C4
insert sub(super)class	not supported	$l + 1$ new relations	rules C2, C4
insert token (in disk writes)	1	$1 + 2n$	$(1 - d) + d(1 + 2n)$

As mentioned earlier, NSM stores one relation with  $n + 1$  fields per class, where  $n$  is the sum of the number of locally defined attributes and the number of inherited attributes. The total number of relations is  $\sum_{k=0}^h b^k$ . A class at depth  $k$  has  $k * l$  inherited attributes, giving  $n = l + kl$ . Therefore, the required disk storage is estimated by the equation:

$$\text{rds(NSM)} = \sum_{k=0}^h [(2 * (l + kl) + 1) b^k N]. \quad (1)$$

DSM stores one relation per attribute which amounts to  $\sum_{k=0}^h b^k l$  relations. In each relation there is a tuple for each of the instances of that class. Therefore, the total number of DSM tuples is determined by the formula  $N = \sum_{k=0}^h (b^k l) (1 + \sum_{j=k+1}^h b^j) N$ . Each tuple has three fields. Therefore, the rds can be estimated as follows:

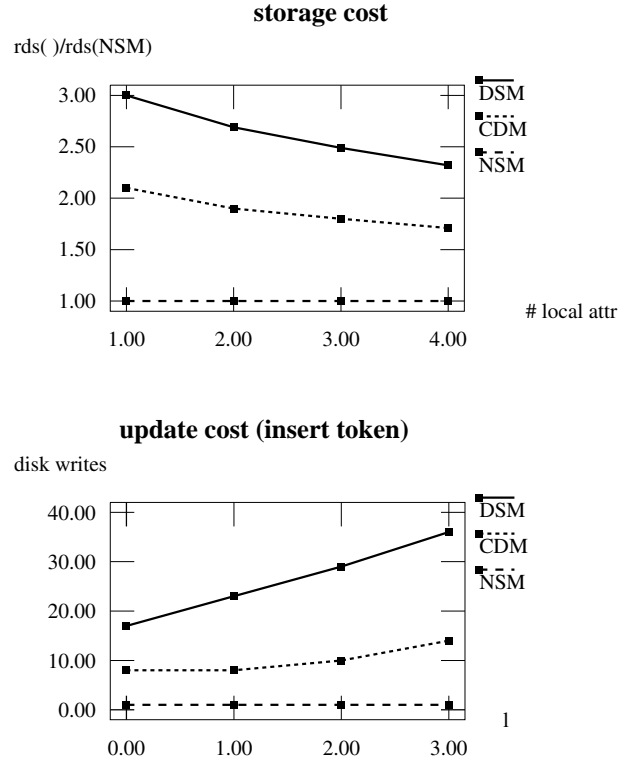
$$\text{rds(DSM)} = \sum_{k=0}^h 3 * (b^k l) (1 + \sum_{j=k+1}^h b^j) N. \quad (2)$$

Note that Eqs. 1 and 2 modify (Copeland and Khoshafian 1985) formulas for NSM and DSM storage, taking into account attributes defined over *isa* hierarchies.

In the CDM, the degree of decomposition depends on the average number of attributes with complex domains and the access frequency of the attributes. The storage cost for CDM is the weighted sum of the costs for the NSM and DSM, except for one difference. Unlike NSM, the attributes are not inherited, and in each relation corresponding to each class, there is a tuple corresponding to all its instances. Therefore, in Eq. 1, the term  $kl$  is dropped when computing the storage cost, and a correction  $cor(NSM)$  is applied to take into account the cost of storage of the instances (a more detailed analysis appears elsewhere; Topaloglou 1993). With this change, the expression for the storage cost of CDM is as follows:

$$\text{rds(CDM)} = (1 - d) * (\text{rds(NSM)} + \text{cor(NSM)}) + d * \text{rds(DSM)}. \quad (3)$$

The estimates of space costs suggested by the above formulae confirm the claim of Copeland-Khoshafian (1985) that DSM requires 2 to 4 times more data storage than NSM. As expected, CDM's storage costs fall between those of the other two schemes. The first graph in Fig. 5 shows relative storage costs for a balanced-tree *isa* hierarchy with height 4 and branching factor 2 as the number of local attributes for each class is varied from 1 to 4. These results suggest that CDM requires on average 65% of the required space of DSM.

**Fig. 5.** a Storage and b update cost

### 4.3.2 Update costs

The most frequent types of updates in a knowledge base and their estimated cost functions are given below. The comparisons are also shown in Table 1.<sup>8</sup>

1. *Adding a new attribute to a class.* This type of update can be realized incrementally by creating a new relation for this attribute.

2. *Adding a sub-class/super-class.* First, the new class receives an identifier denoting its position in the *isa* hierarchy. Then, a new relation with  $l + 1$  fields is created;  $l$  is the number of the specialized attributes associated with the new class that have primitive attribute domains. Those with complex domains form additional relations, as required by rule C4.

3. *Inserting a new token.* For the NSM, this operation requires a single tuple insertion which corresponds to one disk access. In the DSM, this operation requires  $2n + 1$  writes, where  $n$  is the number of attributes of the token. The cost in CDM is the weighted sum of the costs of the NSM and DSM models. Experimental results have shown that the CDM's cost can be as low as 1/4 of DSM costs (Topaloglou 1993).

<sup>8</sup> Deletions in Telos are analyzed as transactions consisting of an update value and an insertion part.

4. *Updating the value of an attribute.* First, the relevant storage record is located by accessing an index. Then, the block which contains that record is written and the attribute's index is updated. For the DSM, as with the CDM, this requires on average three writes (Khoshafian and Copeland 1986). Appropriate buffering policy may further minimize that cost. The graph of Fig. 5b shows the cost for the token insertion case.

In summary, the CDM performs as well as the DSM on attribute value and schema updates, and performs better than the DSM on token updates. The CDM's performance is worse than that of the NSM's for token updates. However, the NSM cannot handle schema updates at all. A summary of the comparison is presented in Table 1.

#### 4.4 Access methods

The access methods supported in the proposed KBMS architecture are based on three types of indices: the simple temporal index (STI), the TJI, and the record-addressing index (RAI). STI and TJI are used to select OIDs satisfying a certain condition. Given an OID, RAI determines the location of its components on disk. Due to space limitations, only a brief discussion of STI and TJI is presented here. The interested reader can find more details about the functionality and the performance of the above indices elsewhere (Topaloglou 1993).

The STI and TJI are generalizations of non-temporal indices where, in contrast to the traditional  $\langle key, value \rangle$  pair, each entry is a triplet  $\langle key, value, time \rangle$ , where *time* is the history time during which the entry is true. With these indices, it is possible to perform selection using keys and time simultaneously. Since the index entries are no longer points, it is assumed that they are implemented as spatial access methods (Guttman 1984). Moreover, the indices are hierarchical in the sense that one index stores information for all the instances of a class (including inherited ones). This choice is consistent with a previous study (Kim et al. 1989), which shows that a hierarchical index always outperforms the simple class index.

The STI is used on attributes with primitive domains. Its searching key is a pair of a domain value and a time segment, i.e.,  $\langle value, time \rangle$ , and the returned value is a list of qualified token identifiers. An STI is defined for most frequently accessed attributes. The design of a more comprehensive set of criteria for index selection, along the lines studied in Finkelstein et al. (1988) and Frank et al. (1992) remains an unresolved problem.

The TJI is used to describe a time-dependent relationship between the instances of two classes. In a TJI corresponding to the classes R and S, each entry is a 3-tuple  $\langle r, s, t \rangle$ , where *r* and *s* are OIDs for some instances of classes R and S, and *t* is the history time for which this relationship is true. For example, the relations DEPT\_COMP and EMP\_DEPT in Fig. 4 represent such relationships. The searching key in a TJI is a pair of an OID and a temporal interval. For example, for the key  $\langle OID, time \rangle$ , a TJI will return the OIDs of instances of the second class which are in a TJI tuple containing *OID* for a time interval overlapping with *time*. Moreover, TJI is a bi-directional index, so that it can be accessed by the OID of the

either of the classes. To make the two-way access efficient, we assume that two copies of a TJI are stored. Each copy is clustered on one of the OIDs of the two classes. A series of TJIs can be used to form the temporal equivalent of the multi-join index (Bertino and Kim 1989).

## 5 Query processing

For the Telos KBMS, queries are specified through an ASK operation (Mylopoulos et al. 1990) that has the following structure:

$$\begin{aligned} & \text{ASK } x_1/S_1, \dots, x_n/S_n : W \\ & \text{ON } t_1 \\ & \text{AS OF } t_2 \end{aligned}$$

$x_1, \dots, x_n$  are assumed to be target variables for which the query processor needs to determine values;  $S_1, \dots, S_n$  are either set expressions or classes which denote the range of the variables;  $t_1, t_2$  are time interval constants such as dates, and *W* is a formula expressed in the Telos assertion language. The temporal sub-expression in the query formula is interpreted as follows: *answer the query W with respect to all propositions whose history time is covered by or overlaps with  $t_1$ , according to what was believed by the knowledge base over the interval  $t_2$ .*

For example, the first query shown below retrieves all employees who had a salary increase of more than 5K since the beginning of 1988, according to the system's beliefs for the same time period. The second query retrieves all employees who worked for the database group of IBM in 1990, according to what the system currently believes. The first query is a temporal query and the second is a historical query (Snodgrass 1987).

- Q1. ASK  $e/\text{Employee} : \text{Exist } t_1, t_2 / \text{TimeInterval}$   
 $(e[t_1].\text{salary} \leq e[t_2].\text{salary} - 5000)$   
 and  $(t_1 \text{ before } t_2)$   
 ON 1988  
 AS OF (1988..\*)
- Q2. ASK  $e/\text{Employee} : e.\text{dept.comp.name} = \text{"IBM"}$   
 and  $e.\text{dept.name} = \text{"dbgroup"}$   
 ON 1990

As with database systems, such queries are expressed in a declarative fashion, in the sense that a query does not indicate how the data should be accessed from the knowledge base physical store. In general, a query is subjected to four phases of processing: parsing, optimization, code generation and execution (Selinger et al. 1979). The focus of this section is on the optimization phase.

Query optimization for knowledge bases is hard for several reasons. First, the representation formalism adopted for the knowledge bases is more expressive given a query language with temporal, spatial, class- and meta-class-related expressions. This requires us to develop new methods for the problem of syntactic and semantic simplification. Similarly, novel indexing techniques for knowledge bases, for instance, ones dealing with temporal knowledge or deductive rules, render existing optimization techniques ineffective and require new ones in their place.

Our proposed query optimization method consists of two phases: *semantic query optimization* and *physical query optimization*. During semantic query optimization, a query is simplified according to the semantic features of the knowledge base, resulting in a query that is equivalent to the original but less expensive to evaluate. During physical query optimization, estimates are obtained for the cost of different access operations required to evaluate the query, resulting in a sequence of operations (the *access plan*) that will lead to minimum execution cost. This section addresses both semantic and physical query optimization.

### 5.1 Semantic query optimization

Semantic query optimization in knowledge bases exploits the semantic information due to structural, temporal and assertional properties. That allows for three different steps of semantic optimization: temporal, syntactic and semantic simplification.

The contributions of our method are the following. First, we propose *temporal simplification* in the context of knowledge bases. Second, we have reformulated the known techniques for *syntactic simplification* (Jarke and Koch 1984; Chakravarthy et al. 1988) to exploit the properties of a knowledge base, such as generalization and aggregation. Finally, we have advanced the *semantic transformation* techniques by using theory resolution (Stickel 1985) and specialized reasoners. In the following, we summarize the three steps in semantic optimization. More details can be found elsewhere (Topaloglou et al. 1992).

#### 5.1.1 Temporal simplification

Temporal simplification attempts to identify those parts of a knowledge base that are relevant to a query from a temporal viewpoint (Jarke and Koubarakis 1989). Temporal simplification involves the following three steps:

1. check for inconsistent or redundant temporal constraints in the query expression;
2. check whether there are available data for all the target variables of the query, for the *historical* and the *belief* period that the query refers to;
3. select the part of the knowledge base which is involved in the answering of the query from a temporal viewpoint. At this step, the deductive rules and the integrity constraints that are effective for the time periods specified in the query are selected.

The first step is formulated as a constraint satisfaction problem (CSP) on the temporal relations of the query formula. These relations are interval constraints which belong in the *pointsable* class and therefore the CSP is solved in polynomial time (Vilain et al. 1989).

The second step requires us to maintain meta-information which is able to answer the following schema query: *does class C have instances in the knowledge base at the historical (resp. belief) time of the query?* On a “no” answer for this, the original query receives “empty answer” and its

processing is completed. The testing of the temporal condition in the schema query is formulated as a CSP with *integer-order* constraints, which is solved in polynomial time (Dechter et al. 1989).

For the last step, we need to index the rules and the constraints on their history and belief time. In the two-dimensional space that history and belief time define, each rule or constraint is viewed as a rectangular area. We use an *R-tree*-based spatial access method (Guttman 1984) to assist the temporal selection with logarithmic complexity.

#### 5.1.2 Syntactic simplification

Syntactic simplification exploits the properties of the structural features of Telos (i.e., *isA*, *instanceOf* and *proposition* relationships). Also, sub-expressions within the query expression that are always true, always false, or inconsistent are detected.

The syntactic simplification algorithm operates on a query graph representation of the syntactic aspects of the query, where the input query is submitted in prenex disjunctive normal form. *Nodes* in a query graph represent the constant and variable terms and *edges* represent the atomic formulae. The query transformations are carried out using graph re-writing operations. The transformation rules are divided into two groups: *completion rules* and *simplification rules*.

Completion rules add information to the query that may be used either for inconsistency detection or simplification. For instance, the *isA* transitivity rule adds the predicate  $isA(C1, C3, t1*t3, t2*t4)$  for any  $isA(C1, C2, t1, t2) \wedge isA(C2, C3, t3, t4)$  pattern that is encountered in the query expression.<sup>9</sup>

When the completion phase is executed, the simplification rules are applied to obtain a simplified representation of the query, to eliminate redundant information and to detect inconsistent queries. As an example, the query sub-expression  $isA(C1, C2, t1, t2) \wedge isA(C2, C1, t3, t4)$  is replaced with *False* if  $t1*t3$  and  $t2*t4$  are not defined.

#### 5.1.3 Semantic transformation

The objectives of the semantic transformation step are the same as in the previous step, except that it uses deductive rules and integrity constraints. This step proceeds as follows: it takes as input the set of relevant deductive rules and integrity constraints, called the *rule base*, which is returned from the temporal simplification algorithm, and the query form which is returned from the syntactic simplification algorithm and applies the transformation to the query using theory resolution (Stickel 1985).

There are some unique features of this algorithm. First, it uses the reduced-size rule base that is produced by the temporal simplification and is specific to the query being optimized; consequently, it reduces the search space for the

<sup>9</sup>  $t_k = t_i * t_j$  denotes the common time interval between two intervals  $t_i, t_j$  in case they overlap, and it is undefined if they are disjoint.

resolution-based transformations. Second, it uses theory resolution that can accommodate the use of specialized reasoners for taxonomic, inequality and temporal sub-expressions of Telos queries. Theory resolution is, in general, more efficient than classical resolution, because it decreases the length of refutations and the size of the search space. Finally, our semantic transformation algorithm has been shown to be sound (Topaloglou et al. 1992).

## 5.2 Physical query optimization

The task of the physical query optimizer is to take the simplified query as generated by the semantic optimization phase and generate an optimal execution strategy. The success of a query optimizer in discovering an optimal execution strategy depends critically on how well it can utilize the available physical data structure and the associated access methods. Therefore, statistics about the knowledge base need to be available, as well as a cost model that predicts the cost of using each access operation.

The contributions of this section are as follows. First, we develop the necessary cost formulae for the estimate indicators, which consist of the disk I/O costs and size estimates of intermediate results. Second, we identify a set of access level operations and associated costs for executing simple queries, and we generalize this result to more complex queries. Third, we tackle the problem of access planning in queries with arbitrary number of path expressions. Finally, we show through an experimental study that, in the context of our KBMS, join-index-based query processing achieves better performance than the nest-loop and sort-merge methods.

The physical query optimizer performs the following steps. Initially, a simplified query obtained from the semantic query optimizer, is transformed to a query graph which is successively transformed into a set of parametrized operator trees and a set of execution trees. Each execution tree represents a possible access plan. Once the execution trees are available, the one with the least cost is selected using the access optimizer. We will now explain each of these steps in more detail.

### 5.2.1 Query graphs

Suppose the formula  $\bar{w}$  of the example query (shown at the beginning of this section) has the form  $F_1 \wedge F_2 \wedge \dots \wedge F_n$ . Each  $F_i$  is a path expression  $x_i.A_1.A_2 \dots A_k.a_i \text{ op } v_i$  where  $x_i$  is a variable ranging over a target class  $C_i$ . Each  $A_j$  denotes a complex attribute<sup>10</sup> from class  $C_{j-1}$  to class  $C_j$ ,  $a_i$  is a simple attribute defined at class  $C_k$ ,  $v_i$  is an atomic value from the domain of attribute  $a_i$  and  $\text{op}$  is a restriction operator from the set  $\{=, \leq, <, \geq, >\}$ . Each  $A_i$  defines an attribute link between the classes  $C_{j-1}$  and  $C_j$ , except  $A_1$ , which defines a link between the class of  $x_i$  and  $C_1$ . For example, the

<sup>10</sup> Recall that a simple attribute is an attribute whose values range over primitive domains, such as integers and strings. The values of a complex attribute range over non-primitive domains, for example, `Employee`. Also notice that the form of the query graph in the physical optimization is different from the one used in the syntactic simplification.

path expressions in query Q2 are `e.dept.comp.name = "IBM"` and `e.dept.name = "dbgroup"`.

Let  $\mathbf{C}$  be the set of all distinct classes for which attribute links occur in  $\bar{w}$ . A query graph then is defined as the undirected graph whose set of nodes is  $\mathbf{C}$  and its set of edges consists of all  $(C_{j-1}, C_j)$  pairs for which a distinct attribute  $A_j$  appears in  $\bar{w}$ . The nodes of classes for which a primitive attribute restriction of the form  $a_i \text{ op } v_i$  appears in  $\bar{w}$  are annotated by a label  $(a_i, \text{op}, v_i, \tau)$ , where  $\tau$  is the historical time specified in the ON field of the query ( $\tau$  is substituted by the temporal constant `Now` if no historical time is specified). For example, the query graph for the query Q2 is as shown in Fig. 6.

### 5.2.2 Parametrized operator trees

Given a query graph, we first need to find an order in which the query graph nodes are to be processed, and second, to replace the conceptual entities appearing in the query graph with physical entities and operations for manipulating them. The first step is called the *execution ordering* generation step and its output is a set of *parametrized operator trees* (*PO trees*). This step is formulated as follows:

**input:** a query graph  $QG$

**output:** a set of *PO trees*, each of which is denoted as,  $J(\dots J(J(C_1, C_2), C_3), \dots C_n)$ , and represents the different orderings of  $QG$  nodes,  $C_1, C_2, \dots C_n$  such that

P1.  $C_1$  is any node (class) in  $QG$ .

P2. In  $QG$ ,  $C_i$  is adjacent to one of the nodes in the sequence  $C_1 \dots C_{i-1}$ .

$J$  is a PO which represents the intermediate results and is defined in more detail later.

Another way to understand the *PO tree* is to view it as a left-deep tree representation of a possible traversal of the underlying query graph. More specifically, a *PO tree* is a binary tree in which every internal node has at least one leaf node from the set of nodes of the query graph. A non-leaf node of the tree represents the result obtained by applying the operation  $J$  to its children. As we will see in the sequel, this operation involves one of the standard join operations.

The rationale for focusing on left-deep trees, rather than the more general bushy trees, stems from three observations. First, the search space (that is, all possible access plans) in case of the generalized bushy trees becomes unmanageably large. Second, it has been argued that the space of left-deep trees covers the space containing the execution strategies that incur the least cost, where cost is typically measured in terms of disk I/O required by the strategy (Steinbrunn et al. 1993). Third, in the controlled decomposition model adopted here, the left-deep trees better utilize the join index relations that are available.

The number of all possible *PO trees* for a query graph with  $n$  nodes is at most  $n(n-1)$ . Property P2 in conjunction with the connectivity of the query graph decreases the number of possible *PO trees*. As an example, in Fig. 6, we show a possible *PO tree* for query Q2.

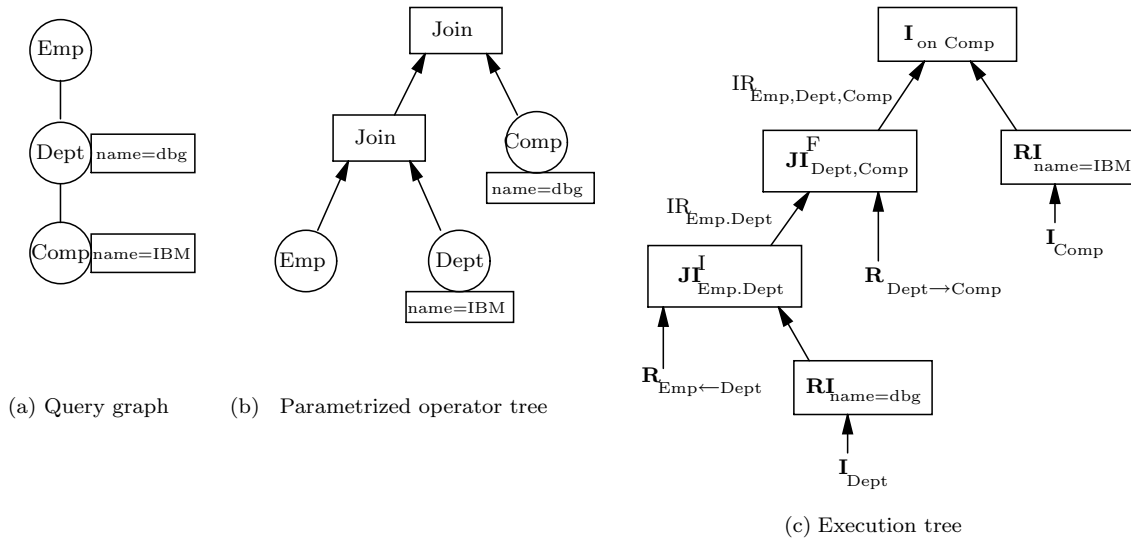


Fig. 6a–c. An example of the successive stages in the processing of query Q2

Table 2. Costs of basic operations

Operation	Cost
Scan	$S(R_C, P) = \frac{ C  * SIZE(TUPLE_{R_C})}{B}$
Restriction Indexing	$RI(I_C, P) = h_{tree} + \sigma(P) * LP$
Inverted Join Index	$JII(R_{C1 \leftarrow C2}, L_{C2}) = Yao( L_{C2} , LP, V_{C,2} * r) + h_{tree_I}$
Forward Join Index	$JIF(R_{C1 \rightarrow C2}, L_{C1}) = Yao( L_{C1} , LP,  C1  * r) + h_{tree_F}$
Intersection	$I(L1, L2) =  L1  \times  L2 $
Object Fetching	$F(R_C, L_C, P) = Yao( L_C , M_{R_C},  C )$

Legend:

$R_C$	storage relation for class $C$ ;	$P$	qualification predicate
$\sigma$	selectivity of a predicate;	$I_{C_a}$	index relation for class $C$ , attr. $a$
$B$	storage capacity of a page;	$L_C$	list of OIDs of class $C$
$Yao(K, M, N)$	Yao's formula (Yao 1977);	$LP$	Index pages at leaf level
$V_{C,i}$	unique instances of $C$ in the domain of $i$ th attribute;	$r_a$	avg. number of historical values associated with each occurrence of attr. $a$
$h_{tree}$	height of an index tree;	$M_{R_C}$	number of pages for storage relation $R_C$
$ C $	cardinality of a class;	$R_{C1 \leftarrow C2}$	join index relation

### 5.2.3 Execution trees

An execution tree (ET) is a parametrized tree in which the exact steps for materializing the query result are specified. To this end, logical entities are replaced by physical storage relations as well as the low-level operations that manipulate these relations. Recall that a logical class entity  $C_i$  is materialized in terms of a set of physical relations such that a physical relation  $R_{C_i}$  stores the subset of its primitive attributes. Furthermore, a physical join relation  $R_{C_i, C_j}$  materializes the join between classes  $C_i$  and  $C_j$ , which is due to the complex attribute  $A$  of  $C_i$ . The final ET is expressed in terms of primitive operation being performed on these physical entities.

Before proceeding further, we will briefly present the primitive operations that can be used to access the data from the physical store. The following operations, which are also listed in Table 2, are available in our storage model.

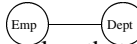
- *Scan*. A scan operation,  $S(R_C, P)$ , accepts a predicate  $P$  and a physical relation  $R_C$  for class  $C$  as input and returns a list of OIDs for objects satisfying the predicate.
- *Index retrieval*. An index retrieval,  $RI(I_C, P)$ , accepts as input a qualification predicate  $P$  on some attribute

(possibly temporal) of a class  $C$ , and uses an index tree (B-tree for a non-temporal case, R-tree for the temporal case), denoted  $I_C$ , to return a list of OIDs for objects satisfying the predicate.

- *Forward join index*. An inverted join index operation,  $JIF(R_{C1 \rightarrow C2}, L_{C1})$ , accepts as input a list of OIDs of class  $C_1$  and uses the join index relation  $R_{C1 \rightarrow C2}$  to return the OIDs of class  $C_2$  that are joined through the attribute link. If the list of OIDs of  $C_1$  is not specified, then the entire index relation is scanned.
- *Inverted join index*. A forward join index operation,  $JII(R_{C1 \leftarrow C2}, L_{C2})$ , is the inverse of the above operation except that now the OIDs of the domain class  $C_2$  are used to look up the matching OIDs of class  $C_1$ . Here, the physical index relation  $R_{C1 \leftarrow C2}$  is used instead.
- *Intersection*. An intersection operation,  $I(L1, L2)$ , takes as input two lists of OIDs of the same class and returns the OIDs that are common to both lists.
- *Object fetching*. An object fetching operation,  $F(R_C, L_C, P)$ , takes a physical relation  $R_C$  for class  $C$ , a list  $L_C$  of OIDs and a predicate  $P$  as input. It then accesses the objects in the list and applies the predicate  $P$ , thereby retaining only the ones satisfying  $P$ . Note that this op-

eration is different from the scan operation in the sense that only a subset of objects are retrieved which may be dispersed over several pages.

In generating an ET from a *PO* tree, we substitute the nodes of the *PO* tree with the primitive operations along with the physical relations that they operate on. Each leaf node is labelled by one of the primitive operations (index retrieval or scan) and each non-leaf node is labelled by the join method (forward join index, inverted join index or intersection). The following two examples explain this process in detail.

**Example. Two-classes query.** The query graph for this query is:  , and the *PO* tree is  $J(Emp, Dept)$ . Suppose also that there exists a restriction predicate  $name = \text{"dbgroup"}$  on class *Dept*. Notice that this query is a sub-query of Q2. The following ETs can be generated:

ET1:  $JJ^I(R_{Emp \leftarrow Dept}, RI(I_{Dept}, P_2))$   
 ET2:  $F(R_{Dept}, JJ^F(R_{Emp \rightarrow Dept}, -)), name = \text{dbgroup})$   
 ET3:  $I(JJ^F(R_{Emp \rightarrow Dept}, -), RI(I_{Dept}, name = \text{dbgroup}))$

*Multiple classes query.* Without any loss of generality we can assume the simple case of three classes. For convenience, we take this to be Q2. Figure 6a shows the query graph. There are four POs that are accepted by property P2:

$J(J(Emp, Dept), Comp), J(J(Dept, Emp), Comp),$   
 $J(J(Dept, Comp), Emp), J(J(Comp, Dept), Emp)$

Let us now explore one of these PO trees, say  $J(J(Emp, Dept), Comp)$  (Fig. 6b). For these POs, we can derive six ETs. As seen above, there are three possibilities for the  $J(Emp, Dept)$  operation. Let  $IR_{Emp, Dept}$  be the intermediate result of this operation. Finally, for the remaining  $J(IR_{Emp, Dept}, Comp)$  step there are two execution possibilities:

EP1:  $I(RI(I_{Comp}, name = \text{IBM}), JJ^F(R_{Dept \rightarrow Comp}, IR))$   
 EP2:  $I(IR, JJ^I(R_{Dept \leftarrow Comp}, RI(Comp, name = \text{IBM})))$

Continuing this process for the rest of the *PO* trees, we can derive 24 possible ETs. Figure 6c shows one of them (ET1+EP1). The next section describes how to avoid generating the vast number of all possible ET trees.

#### 5.2.4 The selection of an access plan

As the number of classes in the query increases, it becomes prohibitively expensive to simply enumerate all the access plans in the strategy space. For a query with  $n$  classes, there are  $n(n-1)$  parametrized trees generated, in the worst case. Unfortunately, the substitution of the primitive operations on the parametrized tree implies  $O(2^{n-1})$  size of the execution space that obviates the enumeration of all possible executions (Selinger et al. 1979).

In order to pick an ET with an optimal cost, we need a cost function that is used to compute the cost of access plan corresponding to each ET. Furthermore, we need a heuristic

search algorithm to walk selectively the space of possible executions. The costs of the primitive operations that were shown in the previous section are given in Table 2. For our KBMS, we have adopted a heuristic search method based on the enumeration of the most promising execution plan based on the selectivity of classes. Exploring randomized algorithms (Ioannidis and Kang 1991) is a topic for future research.

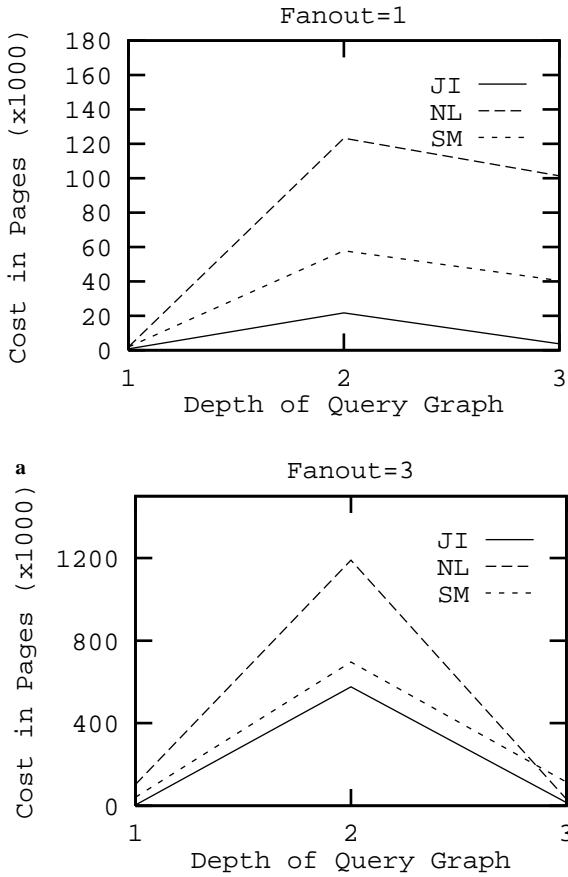
#### 5.2.5 Performance analysis

In this section, our goal is to quantitatively evaluate the proposed join-index-based query processing methods. Specifically, this section compares the join index strategy to the sort-merge and nested-loop strategies. The sort-merge strategy represents the traditional database approach in computing large joins. The nested-loop strategy represents the traditional AI approach in query processing, where processing is done in a tuple-oriented fashion (Bocca 1986). Our key conclusion is that our choice of using the join index for evaluating joins performs better than the sort-merge and nested-loop methods.

In our test knowledge base, the total number of classes is 40. We also varied the fanout that connects each class with the others in the aggregation hierarchy, from one to three. The cardinality of classes at levels 0, 1, 2, and 3 are randomly selected from the intervals (20–50k), (10–20k), (5–10k) and (1–5k) respectively. Each class has two primitive attributes, one of which is indexed. Moreover, each attribute cardinality is randomly chosen from the range (5–20%) of the domain class cardinality. Thus, these comprise the complex attributes in each class on which join indices are built. The fanout determines the length of aggregation hierarchies that are generated. The object size for each class is chosen at random between 200 and 300 bytes. It should be noted that we varied these parameters and the relative performance of the strategies remained unaffected. Also, the number of classes chosen was deemed reasonably large in view of statistics empirically observed in real knowledge bases (Chaudhri 1995). The cardinalities of the classes and the primitive attributes were chosen randomly within reasonable ranges as in Ioannidis et al. (1993). This has thus ensured that the generation of data is not biased towards a particular strategy.

For the above knowledge base, random queries were generated with path expressions that had a given fanout and depth of query graph (QG). The fanout controls the number of complex attributes emanating from a given node in QG or, alternatively, the number of path expressions in the query qualification. The depth of the query graph, on the other hand, controls the length of the path expressions for each predicate. In addition, some of the nodes, which are chosen randomly, have a restriction predicate on a simple attribute.

For each join strategy, we keep track of the number of page I/Os incurred as we process each class (node) in the access plan. For the join-index, we make use of the cost model presented earlier to estimate the cost of performing the join. For nested-loop and sort-merge, we use known formulae, which are shown below. In these formulae, the parameter



b

Fig. 7a,b. Cost of join execution over path expressions

$M_c$  denotes the number of data pages needed to store the objects of class  $c$ , and  $Mem$  denotes the size of the main memory cache in pages.

$$\text{Nested-loop (NL): } \frac{\max(M_{c_1}, M_{c_2})}{Mem-1} \min(M_{c_1}, M_{c_2}) + \max(M_{c_1}, M_{c_2})$$

$$\text{Sort-merge (SM): } M_{c_1} \log M_{c_1} + M_{c_2} \log M_{c_2} + M_{c_1} + M_{c_2}$$

The results for fanout values of 1 and 3 are shown in Fig. 7. For each graph, the fanout is fixed and then the depth is varied. Clearly, the join-index query strategy outperforms both the nested-loop and sort-merge in all configurations of the QG. Note also that the nested-loop sometimes does better than sort-merge, as in a knowledge base setup joins are not large. As we increase the number of path expressions and the depth, the cost may actually decrease, since the addition of new predicates restricts the number of qualifying instances and, in turn, the size of intermediate results.

The superiority of the join-index strategy stems from its ability to focus only on the relevant OIDs as the algorithm traverses attributes moving from one class to another during the resolution of the query. In contrast, the other two methods experience drastic deterioration whenever a class, with large cardinality, is encountered along the path.

These results experimentally establish that the join-index-based query processing is indeed a better approach for evaluating queries in a KBMS setting.

## 6 Concurrency control

This section focuses on *locking-based* algorithms for knowledge bases, as these have been most successful in ensuring serializability for relational and object-oriented databases. The best known locking algorithm, *two-phase locking* (2PL) (Eswaran et al. 1976), works along the following lines. Associated with each data item is a distinct “lock”. A transaction must acquire a lock on a data item before accessing it. While a transaction holds a lock on a data item no other transaction may access it.<sup>11</sup> A transaction cannot acquire any additional locks once it has started releasing locks (hence the name “two-phase” locking).

Transactions in a knowledge base system often access a large number of data items. In such situations, 2PL implies that a transaction will have to hold each lock until it finishes acquiring all the locks that it will ever need, thereby locking most of the knowledge base for other users. Hence, concurrency is significantly reduced when running such “global” transactions. For this reason, our research has been directed towards the development of new methods that only hold a small number of locks at any one time, even for global transactions.

Interestingly, knowledge bases generally possess much richer internal structure than that of traditional databases (e.g., generalization and aggregation hierarchies, deductive rules, temporal dimensions defined in terms of history or belief time, etc.). Information about this structure can be potentially useful in allowing release of locks before a transaction has acquired all the locks that it needs. Indeed, concurrency control algorithm does exist for databases that have a directed acyclic graph structure [and is accordingly called *DAG policy* (Silberschatz and Kedem 1980; Yannakakis 1982)]. Under the DAG policy, a transaction may begin execution by locking any item. Subsequently, it can lock an item if it has locked all the predecessors of that item in the past and is currently holding a lock on at least one of those predecessors. Moreover, under the DAG policy, a transaction may only lock an item once. The DAG policy exploits the assumption that there are no cycles in the underlying structure and the structure does not undergo any change. Unfortunately, such a policy cannot be adopted for knowledge bases without modifications. The structure of a knowledge base is likely to contain cycles (e.g., the inference graph generated for a collection of recursive rules) and will undergo change (e.g., when rules are added or deleted).

In summary, neither 2PL nor DAG policies are, by themselves, appropriate for knowledge bases. 2PL is too conservative, thereby causing reduced concurrency, while the DAG policy does not provide sufficient functionality. Accordingly, we are proposing a new graph-based policy, the *dynamic directed graph policy* (DDG) that can handle cycles and updates in the knowledge base and also allows release of locks before a transaction commits, thereby promising better performance than 2PL.

<sup>11</sup> In a simple generalization of this model, the transactions may hold *shared* and *exclusive* locks on data items.

## 6.1 The DDG policy

For purposes of concurrency control, a knowledge base is a directed graph  $G(V, E)$ , where  $V$  is a set of nodes  $v_i$  (e.g., Employee in Fig. 1), and  $E$  is a set of edges which are ordered pairs  $(v_i, v_j)$  of nodes (e.g., (Manager, Employee) in Fig. 1). This graph includes as a sub-graph the class schema mentioned in Sect. 4 and also represents structural information about tokens and cross-references among deductive rules. There can be several alternative ways to generate such a graph for a given knowledge base. In the performance experiments that we report later, the graph was created by representing each class and each token by a node and introducing an edge between two nodes if there is a semantic relationship (for example, partof or isA) between the two.

We first define some properties of directed graphs that are necessary for specifying our algorithm. A *root* of a directed graph is a node that does not have any predecessors. A directed graph is *rooted* if it has a unique root and there is a path from the root to every other node in the graph. A directed graph is *connected*, if the underlying undirected graph is connected. A *strongly connected component* (SCC)  $G_i$  of a directed graph  $G$  is a maximal set of nodes such that, for each  $A, B \in G_i$ , there is a path from  $A$  to  $B$ . An SCC is *non-trivial* if it has more than one node. An *entry point* of an SCC,  $G_i$ , is a node  $B$  such that there is an edge  $(B, A)$  in  $G$ ,  $A$  is in  $G_i$ , but  $B$  is not in  $G_i$ . Thus, if a node is an SCC by itself, its entry points are simply its predecessors.

The dominator  $D$  of a set of nodes  $W$  is a node such that, for each node  $A \in W$ , either every path from the root to  $A$  passes through  $D$ , or  $D$  lies on the same SCC as  $A$ . Thus, in a rooted graph, the root dominates all the nodes in the graph, including itself. All nodes on a SCC dominate each other.

The DDG policy has three types of rules. *Preprocessing rules* convert an arbitrary graph to a rooted and connected graph. *Locking rules* specify how each transaction should acquire locks. *Maintenance rules* specify additional operations that must be executed by transactions to keep the structure rooted and connected. The rest of the discussion in this section focuses on locking rules. A detailed description of the DDG algorithm appears elsewhere (Chaudhri 1995).

A transaction may lock a node in *shared* or *exclusive* mode (Bernstein et al. 1987). Two transactions may simultaneously lock a node only if both lock it in shared mode. (The version of the DDG policy that supports both shared and exclusive locks is called the DDG-SX policy, but for the sake of brevity in the present paper, we continue to use the DDG policy to denote the DDG-SX policy.) The locking rules for the DDG policy are as follows:

- L1.** Before a transaction  $T$  performs any INSERT, DELETE or WRITE operation on a node  $A$  (or an edge  $(A, B)$ ),  $T$  has to lock  $A$  (both  $A$  and  $B$ ) in exclusive mode. Before  $T$  performs a READ operation on a node  $A$  (an edge  $(A, B)$ ), it has to lock  $A$  (both  $A$  and  $B$ ) in either mode.
- L2.** A node that is being inserted can be locked at any time.
- L3.** Each node can be locked by  $T$  at most once.
- L4.** The first lock obtained by  $T$  can be on any node. If the first node locked by  $T$  belongs to a non-trivial SCC,

all nodes on that SCC are locked together in the first step.

Subsequently,

- L5.** All nodes on an SCC are locked together if:
- L5a.** All entry points of that SCC in the *present state* of  $G$  have been locked by  $T$  in past, and  $T$  is now holding a lock on at least one of them, and
- L5b.** For every node  $A$  on this SCC that is a successor of an entry point, and every path  $A_1, \dots, A_p, A, p \geq 1$ , in the present state of the underlying undirected graph of  $G$ , such that  $T$  has locked  $A_1$  (in any mode), and  $A_2, \dots, A_p$  in shared mode,  $T$  has not unlocked any of  $A_1, \dots, A_p$  so far.

**Theorem 6.1.** *The DDG-SX policy produces only serializable schedules (Chaudhri 1995; Chaudhri and Hadzilacos 1995).*

In general, the DDG policy does not permit concurrency within cycles (see rule L4 above). This suggests that if a knowledge base contains very large cycles which need to be locked as one node, concurrency will be reduced. We have a version of the DDG policy (called, DDG' policy) that does permit concurrency within cycles (Chaudhri et al. 1992). We adopted the above version, because the transactions in knowledge bases tend to access all the nodes on a cycle together and, therefore, the cycles are a natural unit of locking.

In order for a transaction to be able to satisfy locking rules L3a and L3b for all the nodes that it needs to lock, it has to begin by locking the dominator of all the nodes that it is going to access. This is not a contradiction to locking rule L1, which just states that to lock the first node (which would usually be the dominator of the set of nodes that the transaction expects to lock), no other condition needs to be satisfied.

## 6.2 Implementation of the DDG policy

There are two main issues in the implementation of the DDG policy. First, to enforce the rules of the locking policy, we need to compute and maintain information about several graph properties. Second, we need a mechanism to decide the order in which the locks should be acquired and released.

To enforce the locking rules, we need information on the dominator relationships and the SCCs within the knowledge base graph. In our implementation, the dominator tree of the knowledge base is computed at compile time using a bit vector algorithm (Lengauer and Tarjan 1979). Using this information, the dominator of the set of nodes in the transaction can be computed in time linear in the length of a transaction using the nearest common ancestor algorithm (Schieber and Vishkin 1988). The dominator information is maintained using an incremental algorithm (Carroll 1988). The information on SCCs is computed at compile time in time  $O(m)$  (Aho et al. 1987), where  $m$  is the number of edges in the graph. We developed a new algorithm for incrementally maintaining information on SCCs as the knowledge base evolves (Chaudhri 1995), as the algorithm for this purpose was not available.

Let us describe the order in which a transaction acquires and releases locks. A transaction always begins by locking

the dominator of all the nodes that it might access. The dominator is computed on the assumption that a transaction may access all the descendants of the first node on which it requests a lock. Subsequently, every time a lock is requested, the locking conditions are checked, and if not enough predecessors are locked (rule L5a), lock requests for them are issued recursively. Before a node  $A$  can be unlocked by a transaction  $T$ , the following conditions must be satisfied:

- U1.**  $A$  is no longer needed by  $T$ , and
- U2.** releasing the lock on node  $A$  does not prevent the locking of any of its successors at a later stage in the execution of  $T$  (as required by rule L5a), and
- U3.** for every path  $A, A_1, \dots, A_p, B$  in the present state of the underlying undirected graph, such that  $A$  is locked (in any mode),  $A_1, \dots, A_p$  are locked in shared mode,  $T$  intends to lock  $B$  in future,  $T$  must not unlock any of  $A, A_1, \dots, A_p$  (by locking rule L5b).

To implement U1, we require  $T$  to send a message to the lock manager when it has finished processing a node.

To implement U2, we have to know how many of the descendants might be later locked by  $T$ . Moreover, of all the predecessors of a node  $A$ , only one has to be kept locked until  $T$  locks  $A$ . Therefore, we distinguish one of the predecessors that needs to be locked until all the successors have been locked, and associate with it the number of successors that are yet to be locked. Once the number of successors yet to be locked for a node becomes zero, U2 is satisfied for this node.

To implement U3, we check all the undirected paths from  $A$  to all the nodes that  $T$  may lock in future. U3 needs to be checked only when  $T$  acquires an exclusive lock or when  $T$  locks a node, none of whose descendants will be locked by it in future. The check can be made more efficient by observing that, if U3 is not satisfied for a node  $A$ , it is also not satisfied for descendants of  $A$ , and therefore, the paths passing through them need not be checked.

These data structures are integrated into the lock manager by maintaining an *unlock table*. This table is indexed on the node identifier and transaction identifier. An *unlock* record has three fields that were described above: *neededByTransaction*, *onePredecessor* and *count*. These entries are created when the transaction begins execution and are incrementally updated as the transaction progresses and as changes in the underlying structure of the graph occur.

### 6.3 Performance results

The DDG policy has been implemented in the DeNet (Livny 1986) simulation environment. Our performance model is similar to that presented in (Agrawal et al. 1987) and has four components: a *source*, which generates transactions, a *transaction manager*, which models the execution behavior of transactions, a concurrency control manager, which implements the details of a particular algorithm; and a resource manager, which models the CPU and I/O resources of the database. More details about the model and the simulations are available elsewhere (Chaudhri et al. 1994).

The primary performance metric adopted for the simulation is the response time of transactions in each class. We

employ a batch means method for the statistical data analysis of our results, and run each simulation long enough to obtain sufficiently tight confidence intervals (90% confidence level, within 5% of the mean; Law and Kelton 1991).

Performance of the DDG policy was studied on a knowledge base under development for industrial process control. The objects represented in the knowledge base (boilers, valves, preheaters, alarms, etc.) are organized into a collection of classes, each with its own sub-classes, instances and semantic relationships to other classes.

There are five kinds of relationships in this knowledge base. The *isA* relationship captures the class-sub-class relationship, the *instanceOf* relationship represents the instances of a class, the *linkedTo* relationship stores how the components are linked to each other in the power plant, the *partOf* relationship indicates the part-sub-part relationship. And finally, the *Equipment* relationship associates an equipment with each alarm.

For our experiments, we view this knowledge base as a directed graph. Each class and each instance is represented by a node. There are 2821 nodes in this graph. There is an edge between two nodes if they have some semantic relationship. For example, there is an edge from node  $A$  to node  $B$ , if the object represented by  $B$  is a part of the object represented by node  $A$ .

The graph corresponding to this knowledge base has cycles and undergoes changes. Moreover, the knowledge base receives two types of transactions. The first type consists of short transactions, which look-up or update an attribute value and occasionally change the structural relationships in the knowledge base (such as *isA*, *partOf*, etc.). The second class consists of long transactions which search the knowledge base along one of its structural relationships. The proportion of the transactions of the first type was determined to be 73% with the remaining 27% being of the second type.

Calibration of the simulation required determination of the relative running costs of the 2PL and DDG policies. For this, we divided running costs into three components: setup, locking and commit cost. For the DDG policy, the setup cost includes pre-processing of the transactions and generating information that will be used in prereleasing locks. It also includes the cost of creating entries in the lock table and the transaction table. For 2PL, no pre-processing of the transactions is required but entries in the transaction table and the lock table are created at setup time. The locking cost includes the CPU time required between the time a lock request was made and the time it was finally granted. If the transaction gets blocked, information on the processing used so far is maintained and, when it gets unblocked later, it is added to any further processing used. For the DDG policy, the cost of locking also includes the cost of checking for lock pre-release, cost of releasing locks and cost of unblocking of transactions in each call to the lock manager. The cost of commit includes the processing required to release all the locks and to finally commit the transaction. In general, the cost of commit for 2PL is higher as compared to the DDG policy. This is because, under the DDG policy, a transaction would have already released several of its locks prior to commit, whereas for the 2PL policy all the locks are released at commit time.

All simulation measurements were done on a DECStation 5000 (model 132). The values of overheads are subject to fluctuations. To maintain the consistency of results across different simulation runs, the values of overheads measured from the implementation were given as parameters to the simulation.

These parameters, along with the knowledge base and its associated transactions, were used as input to the simulation model. Preliminary experiments showed that, for the parameter values of this application, the system response degrades due to a large number of long transactions and that the number of short transactions is not the key influencing factor. Therefore, we used a load control strategy in which the number of long transactions active at any time is controlled, whereas short transactions are processed as soon as they enter the system. In Fig. 8, we plot the percentage improvement in response time of Class-2 transactions obtained by using the DDG policy as compared to 2PL. If  $R(j)_{2PL}$  and  $R(j)_{DDG}$  are the mean response times of transactions in class  $j$ , then the percentage improvement of the DDG policy over 2PL is computed as  $100 \times (R(j)_{2PL} - R(j)_{DDG})/R(j)_{2PL}$ .

The results for Class-2 transactions indicate that, when Class-1 transactions are read only, the performance of the DDG policy is comparable to 2PL. When Class-1 transactions also perform some updates, the DDG policy can improve considerably (of the order of 50%) the response time of Class-2 transactions that are running concurrently. The results for Class-1 transactions are not shown here. We found that at low update probabilities there was slight degradation (about 10%) in Class-1 response time by using the DDG policy, and at high update probabilities there was no significant difference between the two algorithms. These results make sense, because when there are only shared locks in a transaction, the DDG policy cannot allow any release of locks before its locked point, but incurs extra overhead and therefore, leads to a slight degradation in response time. On the other hand, if the Class-1 transactions are update intensive, they release locks before their locked point, and the extra overhead is more than offset by the increased concurrency obtained due to lock pre-release leading to a net improvement in Class-2 response time.

In Fig. 8, we can observe that the improvements are smaller at high multi-programming levels. At low multi-programming levels (for example, at  $MPL=1$ ), any release of locks by a transaction before its locked point contributes to the improvement in response time of concurrently executing Class-2 transactions. At higher multi-programming levels, this may not be necessarily true, because the lock released by a Class-1 transaction could be acquired by another Class-1 transaction giving no benefit to Class-2 transactions. As a result, we see greater improvements in the Class-2 response time at low multi-programming levels of Class-1 as compared to improvements at high multi-programming levels.

The overall system response time can be computed as the weighted sum of the individual class response times, where class throughputs are used as weights. In the APACS workload the throughput of Class-2 (25 transactions/s) is much higher than the throughput of Class-1 (approximately 0.4 transactions/s), and therefore the behavior of Class-2 transactions dominates the overall response time. On computing

the improvements in the overall response time, we found that improvements were very close to the corresponding values for Class-2 response time, as shown in Fig. 8.

In view of the relative behavior of the two algorithms, we designed an adaptive scheme which can switch between 2PL and the DDG policy, depending on the load conditions. Such a scheme uses 2PL at low write probabilities and the DDG policy at high write probabilities, thus giving the best of the two algorithms. Since simultaneously using the two algorithms may lead to non-serializable, schedules the adaptive scheme uses a transition phase while switching from one algorithm to the other. While switching from 2PL to the DDG policy, transactions locked according to the DDG policy are forced to behave as 2PL transactions by delaying the release of lock until locked point. While switching from the DDG to 2PL, the adaptive scheme waits until all active transactions running under the DDG policy complete execution. This results in an algorithm which is a hybrid of 2PL and the DDG policy and performs consistently better than a concurrency control algorithm that only uses 2PL.

Of course, an important consideration in the choice between the two algorithms is the relative complexity of the two algorithms. The DDG policy is more complex than 2PL, and therefore, its implementation requires a greater effort. For example, in our simulation, 2PL required approximately 1000 lines of code and the DDG policy required 3000 lines of code. Our simulations incorporate the cost of extra complexity by measurements of run-time overhead of the two algorithms and show that there is a net improvement in response times. Thus, the final choice between the DDG policy and 2PL has to be made by the implementor, who has to evaluate whether the improvements shown above are worth the added complexity of the DDG policy.

Even though our experiments are based on a knowledge base of rather small size, we can predict the relative performance of the two algorithms on larger knowledge bases. It has been shown that the performance results of a 2PL algorithm on a knowledge base of size of  $D$  entities with  $N$  active transactions are indicative of its performance on another knowledge base of size  $bD$  entities with  $bN$  active transactions, where  $b > 0$  (Tay 1987). In a similar fashion, we expect that our results are representative of the relative performance of 2PL and the DDG policy on knowledge bases that are larger and have greater number of active transactions. Another important aspect in scaling up of these results to larger knowledge bases is the run-time cost for incremental maintenance of graph properties, which include, SCCs and dominator relationships. The run-time cost of incremental algorithms is highly dependent on the nature of changes in the graph. For example, if the insertions and deletions to the graph cause only local changes in a graph property, the run-time cost is minimal. On the other hand, if the changes are such that they lead to a change in a substantial part of the solution, the computational cost can be excessive. It is difficult to comment on this aspect in the absence of a specific knowledge base and its workload. In general, if the database is highly structured (Chaudhri 1995) the locality of changes is almost assured, and the incremental algorithms and therefore the results presented in this section will scale up to larger problems.

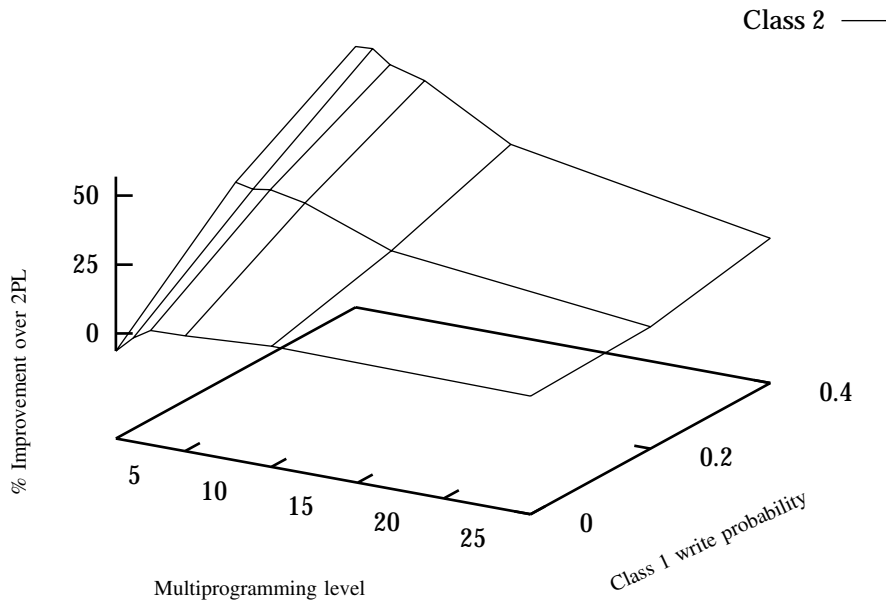


Fig. 8. Comparison of DDG and 2PL – percentage improvements

The present section has presented an overview of the results based on the second author’s doctoral dissertation (Chaudhri 1995), which have also been published as conference length papers (Chaudhri et al. 1992, 1994; Chaudhri and Hadzilacos 1995; Chaudhri and Mylopoulos 1995).

## 7 Integrity constraint and rule management

Integrity constraints specify the valid states of a knowledge base (*static* constraints), as well as the allowable knowledge base state transitions (*dynamic* constraints). Integrity constraints are used to express general, complex semantic relationships that cannot be built into the data structures used to represent knowledge. Such relationships may refer to state transitions or histories (Plexousakis 1993a).

As an example, consider the following integrity constraints on the knowledge base of Sect. 2. (These constraints are expressed in an equivalent form without using the meta-predicate Holds.)

- IC1:  $\forall p/\text{ConfPaper } \forall x/\text{Author } \forall r/\text{Referee}$   
 $\forall t_1, t_2, t_3, t_4/\text{TimeInterval}$   
 $[author(p, x, t_1, t_2) \wedge referee(p, r, t_3, t_4)$   
 $\wedge during(t_3, t_1) \wedge during(t_4, t_2)] \Rightarrow [r \neq x]$
- IC2:  $\forall c/\text{Conference } \forall p/\text{ConfPaper } \forall a/\text{Author}$   
 $\forall d/\text{Department } \forall t_1, t_2/\text{TimeInterval}$   
 $(submitted\_to(p, c, t_1, t_2) \wedge organized\_by(c, d, t_1, t_2)$   
 $\wedge author(p, a, t_1, t_2) \wedge works\_in(a, d, t_1, t_2) \Rightarrow \text{False})$
- IC3:  $\forall p/\text{Employee}(\forall s, s'/\text{Integer}$   
 $\forall t_1, t_2, t_3/\text{TimeInterval}$   
 $(salary(p, s, t_1, t_2) \wedge salary(p, s', t_3, t_2)$   
 $\wedge before(t_1, t_3) \Rightarrow (s \leq s'))$
- IC4:  $\forall p, c, l/\text{Proposition } \forall t, t'/\text{TimeInterval}$   
 $(prop(p, c, l, c, t) \wedge instanceOf(p, \text{Class}, t, t') \Rightarrow$   
 $(\forall T, T'/\text{TimeInterval } (overlaps(t, T)$   
 $\wedge overlaps(t', T'))$   
 $\Rightarrow instanceOf(p, \text{Class}, T, T'))$

Constraints IC1 and IC2 are *static*, expressing the properties that “no author of a paper can be its referee” and “an author cannot submit a paper to a conference organized by the department she works in”, respectively. Constraint IC3 enforces the property that “an employee’s salary can never decrease”. This constraint expresses a *transitional* property, as it refers to more than one state of the domain being modeled. Constraints referring to multiple domain states are called *dynamic*. The last of the above formulae is an example of a dynamic epistemic (meta-) constraint expressing the property that “the system cannot stop believing a class definition”. Constraints of this type refer to multiple knowledge base states in addition to multiple domain states.

The above types of constraints are significantly more general than functional dependencies, type constraints and other types of constraints traditionally supported in relational or object-oriented databases. In particular, these constraints contain semantic information in the form of aggregation and generalization relationships, and represent temporal knowledge.

The presence of deductive rules in a knowledge base is an additional impediment to the problem of constraint enforcement, because implicitly derived knowledge may affect the properties specified by the constraints. For example, consider the following deductive rules:

- DR1:  $\forall u/\text{UnivAffiliate } \forall d/\text{Department}$   
 $\forall s, s'/\text{String } \forall t_1, t_2/\text{TimeInterval}$   
 $(address(u, s, t_1, t_2) \wedge D\_addr(d, s', t_1, t_2)$   
 $\wedge (s = s') \Rightarrow works\_in(u, d, t_1))$
- DR2:  $\forall d/\text{Department } \forall u/\text{University } \forall s/\text{String}$   
 $\forall t_1, t_2/\text{TimeInterval}$   
 $(univ(d, u, t_1, t_2) \wedge location(u, s, t_1, t_2)$   
 $\Rightarrow D\_addr(d, s, t_1))$

DR1 and DR2 express the rules that “A university affiliate works in the department that has the same address as she does” and “A university department’s address is the same

as the university's location", respectively. Looking at the expressions of rule DR1 and constraint IC2, it can be easily seen that an update in any of the literals in the body of DR1 may change the truth value of its conclusion literal which occurs in IC2 and thus violate IC2. In the same fashion, facts implicitly derived using DR2 may trigger the evaluation of DR1 and, as before, violate constraint IC2.

The key issue in our research has been to devise an efficient method for *constraint checking*. Constraint checking consists of verifying that all constraints remain satisfied in the state resulting from an update to the knowledge base. Constraint checking constitutes a major performance bottleneck and most commercially available database systems only guarantee very limited types of integrity constraint checking, if at all. *Incremental* integrity checking methods are based on the premise that constraints are known to be satisfied prior to an update. Accordingly, only a subset of the constraints needs to be verified after the update, namely those that are affected by it. Moreover, incremental integrity checking can be further optimized by specializing integrity constraints with respect to the anticipated types of updates and by performing simplifications on the specialized forms. In the presence of deductive rules, an integrity checking method must account for implicit updates induced by the interaction of explicit updates and deductive rules. In other words, it has to be verified that no implicitly generated insertion or deletion may violate any of the constraints. The method we propose in this section is an incremental compile-time simplification method that accounts for implicit updates, as well as for temporal knowledge.

A last issue in constraint enforcement is that of *integrity recovery*, i.e., the undertaking of appropriate action for restoring the consistency of the knowledge base once it has been violated by some updating transaction. At present, we adopt a coarse-grained approach to integrity recovery, namely the rejection of any integrity-violating transaction. A transaction is not committed until all constraints are found to be satisfied.<sup>12</sup>

### 7.1 Inadequacies of existing methods

A number of incremental constraint-checking techniques for relational (e.g., Nicolas 1982; Ceri and Widom 1990; Ling and Lee 1992; Gupta et al. 1994), deductive (e.g., Decker 1986; Bry et al. 1988; Kuchenhoff 1991), object-oriented (Jeusfeld and Jarke 1991) and temporal databases (Chomicki 1992), have appeared in the recent literature. A complementary approach, which modifies transactions prior to their execution to ensure knowledge base integrity, is studied in (Stonebraker 1975) and (Wallace 1991). Along the same lines, a transaction modification technique for temporal constraints has been proposed in (Lipeck 1990), but does not account for implicit updates. A transaction modification method for temporal constraints and implicit updates appears in (Plexousakis 1996) and (Plexousakis and Mylopoulos 1996). Transaction modification is less flexible

<sup>12</sup> A finer grained approach could initiate a sequence of updates that change the knowledge base, so that constraints are satisfied in the resulting state.

than constraint simplification, since each transaction has to be modified for each relevant constraint.

Most promising, as a basis for enforcing more expressive constraints such as the ones expressible in the assertion language of Telos, are the *compilation method* of Bry et al. (1988) and the *historical knowledge minimization* techniques of Hulsmann and Saake (1990) and Chomicki (1992). The former method, extended with the ability to deal with object identity, aggregation and classification, has been used in the integrity sub-system of the deductive object base Concept-Base (Jeusfeld and Jarke 1991; also based on a version of Telos). However, this method does not deal with temporal or dynamic constraints. Historical knowledge minimization techniques assume a formulation of constraints in temporal logic and attempt to minimize the historical information required in order to verify the constraints. They are applicable to relational databases only and assume a fixed set of constraints. Thus, neither of these methods by itself is sufficient to deal with the integrity constraints of our KBMS.

This section describes a novel method for compile-time simplification of temporal integrity constraints in a deductive object-oriented setting. The method uses a comprehensive compilation and simplification scheme that leads to an efficient implementation of constraint checking by allowing us to pre-compute implicit updates at compile time. Moreover, a number of optimization steps, including temporal simplification, are performed at compile time, so that the resulting forms are easier to evaluate at update time. The compilation scheme allows for dynamic insertion or removal of integrity constraints and deductive rules without having to re-compile the entire knowledge base. The method is described in more detail in Plexousakis (1993a).

### 7.2 A constraint enforcement algorithm

Our constraint enforcement method operates in two phases: *compilation* and *evaluation*. Compilation is performed at schema definition time and leads to the organization of simplified forms of rules and constraints into a *dependence graph*, a structure that reflects their logical and temporal interdependence. The evaluation phase is performed every time there is an update to the knowledge base. This phase is responsible for enforcing the constraints and incrementally maintaining the dependence graph that was generated during compilation. We will first give some definitions and then describe the compilation and evaluation phases in more detail.

#### 7.2.1 Formal framework

Integrity constraints are expressed declaratively as rectified<sup>13</sup> closed well-formed formulae of the assertion language. An integrity constraint can have one of the following two forms:

$$\begin{aligned} I &\equiv \forall x_1/C_1 \dots \forall x_k/C_k F, \text{ or} \\ I &\equiv \exists x_1/C_1 \dots \exists x_k/C_k F, \end{aligned}$$

<sup>13</sup> A formula is rectified if no two quantifiers introduce the same variable (Bry et al. 1988).

where  $F$  is any well-formed formula of the assertion language whose quantified sub-formulae are of the above forms and in which the variables  $x_1, \dots, x_k$  are free variables. Each  $C_i$  is a Telos class and the meaning of each restricted quantification is that the variable bound by the quantifier ranges over the extension of the class instead of the entire domain. Any constraint in this form is *range-restricted* (Decker 1986).<sup>14</sup>

The typed quantifications  $\forall x/C F$  and  $\exists x/C F$  are short forms for the formulae:

$$\begin{aligned} &\forall x \forall t \text{instanceOf}(x, C, t) \\ &\wedge \text{instanceOf}(t, \text{TimeInterval}, \text{Alltime}) \Rightarrow \\ &F, \\ &\exists x \exists t \text{instanceOf}(x, C, t) \\ &\wedge \text{instanceOf}(t, \text{TimeInterval}, \text{Alltime}) \wedge F. \end{aligned}$$

The introduction of temporal variables and their restricting literals is necessary, since all atomic formulae of the assertion language have a temporal component.

Deductive rules are considered to be special cases of integrity constraints. Their general form is:

$$\text{DR} \equiv \forall x_1/C_1 \dots \forall x_n/C_n (F \Rightarrow A),$$

where  $F$  is subject to the same restrictions as above and  $A$  is an atom of the assertion language. In addition, deductive rules are assumed to be *stratified*<sup>15</sup> (Ullamn 1988).

Let us now introduce some terminology that we will use in the rest of the section.

**Definition 7.1.** *An update is an instantiated literal. A positive literal is considered as an insertion, whereas a negative literal is considered as a deletion.*

Given the general form of constraints, it can be seen that a constraint is affected by an update only when a “tuple” is inserted into the extension of a literal occurring negatively in the constraint, or when a “tuple” is deleted from the extension of a literal occurring positively in the constraint. The definition of *relevance* found in (Jeusfeld and Jarke 1991) is not sufficient in the presence of time. The following definition provides sufficient conditions for “relevance” of a constraint to an update by considering the relationships of the time intervals participating in the literals of the constraint and the update.

**Definition 7.2.** (Affecting Update) *An update  $U(-, -, t_1, t_2)$  is an affecting update for a constraint  $I$  with history and belief time intervals  $T$  and  $T'$  respectively, if and only if there exists a literal  $L(-, -, -, -)$  in  $I$  such that  $L$  unifies with the complement of  $U$  and the intersections  $t_1 * T$  and  $t_2 * T'$  are non-empty.*

Similar to the above definition, we define the notion of *concerned class* for a literal  $L$ . The role of a concerned class is to limit the search space for constraints affected by an update. This is possible because of the fine granularity – not

<sup>14</sup> This class of constraints is equivalent to both the *restricted quantification form* of Bry et al. (1988) and the *range form* of Jeusfeld and Jarke (1991).

<sup>15</sup> A set of rules is stratified if, whenever a negated literal  $P$  occurs in the body of a rule with head  $Q$ , there is no derivation path for  $P$  in which  $Q$  occurs in the body of a rule.

found in relational databases – provided by aggregation. Determining concerned classes for literals in constraints takes into account the instantiation and specialization relationships in the knowledge base.

**Definition 7.3.** (Concerned Class) *A class  $C(-, -, t_1, t_2)$  is a concerned class for a literal  $L(-, -, T, T')$  if and only if inserting or deleting an instance of  $C$  affects the truth of  $L$ , the intersections  $t_1 * T$  and  $t_2 * T'$  are non-empty and  $C$  is the most specialized class with these properties.*

The notions of *dependence* and *direct dependence* are used to characterize the logical and temporal interdependence between rules and constraints and the generation of implicit updates. A *dependence graph* is a structure representing such a dependence relation for a set of deductive rules and integrity constraints.

**Definition 7.4.** (Direct Dependence) *A literal  $L$  directly depends on literal  $K$  if and only if there exists a rule of the form  $\forall x_1/C_1 \dots \forall x_n/C_n (F \Rightarrow A)$  such that there exists a literal in the body  $F$  of the rule unifying with  $K$  with most general unifier  $\theta$  and  $A\theta = L$ .*

*Dependence* is the transitive closure of *direct dependence*.

**Definition 7.5.** (Dependence) *A literal  $L$  depends on literal  $K$  if and only if it directly depends on  $K$  or depends on a literal  $M$  that directly depends on  $K$ .*

For example, literal *works\_in* of constraint IC2 directly depends on literal *D\_addr* of rule DR1 and (transitively) depends on literal *location* of rule DR2.

## 7.2.2 Compilation phase

The compilation process employs a number of rules for *parametrized form generation* and *formula simplification*. The former type of rules generate a simplified parametrized form for each integrity constraint and deductive rule defined. Formula simplification rules apply a number of simplification steps, including temporal simplifications to the original expressions, in order to produce more easily evaluable forms. The final step in the compilation phase is *dependence graph generation*. This incremental process accepts as input the parametrized forms generated and represents them in the form of a dependence graph. In the following paragraphs, we describe the application of the above rules and the generation of the graph structure in more detail.

**7.2.2.1 Parametrized form generation.** For each literal  $l$  occurring in a constraint or the body of a deductive rule, the compilation process generates a *parametrized simplified structure* (PSS). A PSS is a 6-tuple  $\langle l, p, c, h, b, s \rangle$ , where  $l$  is the literal,  $p$  is the list of instantiation variables<sup>16</sup> occurring in  $l$ ,  $c$  is the concerned class of  $l$ ,  $h$  is the history time and  $b$  is the belief time of the constraint or rule with respect to which the simplified form is generated. A PSS allows us to efficiently retrieve the constraints or rules affected by an

<sup>16</sup> Instantiation variables are universally quantified and are not governed by an existential quantifier.

update by indexing with respect to time, characteristic literal or class. The rules for the generation of parametrized forms are given below. Rules PF1a to PF1d are used to determine concerned classes for literals. Rules PF2 to PF5 are used to simplify the formulae and generate the parametrized forms.

- PF1. For each literal appearing in an integrity constraint or deductive rule, compute the concerned class as follows:
- PF1a. *Instantiation literals*: for literals of the form  $\text{instanceOf}(x, y, t_1, t_2)$ , if  $y$  is instantiated, then  $y$  is the concerned class provided this class exists during  $t_1$  and its existence is believed during  $t_2$ ; otherwise, the built-in class `InstanceOf` is the concerned class.
- PF1b. *Generalization literals*: for literals of the form  $\text{isA}(x, y, t_1, t_2)$  where both  $x$  and  $y$  stand for classes, the concerned class is the built-in class `isA`, since the truth of an `isA` literal does not depend on the insertion/deletion of instances to/from the extensions of  $x$  and  $y$ .
- PF1c. *Attribute literals*: for a literal of the form  $\text{att}(x, y, t_1, t_2)$ , where  $\text{att}$  is an attribute of the class  $x$ , if both  $x$  and  $y$  are un-instantiated, then the concerned class of the literal is the unique attribute class  $q$  with components  $\text{from}(q) = X$ ,  $\text{label}(q) = \text{att}$ ,  $\text{to}(q) = Y$  and  $\text{when}(q) = T$ , that is such that  $x$  is an instance of  $X$  for  $t_1$ ,  $y$  is an instance of  $Y$  for  $t_1$  and both these are believed during  $t_2$ . In other words, the most specialized concerned class is the attribute class that includes all instantiated attributes that relate objects  $x$  and  $y$  of types  $X$  and  $Y$ , respectively, under the assumption that to each attribute literal of the assertion language corresponds a unique proposition with the above properties.
- PF1d. For a literal of the form  $\text{prop}(p, x, y, z, t)$ , if the components  $x$  and  $z$  are equal, then the concerned class is the built-in class `Individual`; if not, the concerned class is the class `Attribute`. In case none of  $x$  and  $z$  are instantiated, the concerned class is the class `Proposition`. However, `prop` literals will not be considered in the generation of simplified forms, because it is assumed that, for every proposition  $p$  with components  $x, y, z, t$ , there exist token propositions in the knowledge base defining the components.<sup>17</sup>
- PF2. Drop the quantifiers binding the instantiation variables and set the parameter list to be the list of instantiation variables.
- PF3. Constrain the temporal variables with respect to the history and belief times of the constraint using the `during` temporal predicate and conjoin them with the constraint or rule.
- PF4. Substitute the atom into (from) whose extension an insertion (deletion) takes place by the Boolean constant `True` (`False`), since after the update it is known that the fact expressed by the literal is true (false).

- PF5. Apply absorption rules (see Table 3) until no further simplification is possible.
- PF6. Apply temporal simplification rules (see Table 4) until no further simplification is possible.

**Example:** The concerned class for literal *author* of constraint IC1 is the attribute class defined by the proposition (`Paper`, *author*, `Author`,  $t$ ), with  $t$  satisfying the properties of rule PF1c. Assume that the history and belief time intervals of the constraint are the intervals  $(01/01/1988..*)$  and  $(21/01/1988..*)$ , respectively. Applying the rest of the rules to constraint IC1 for an insertion  $\text{author}(P, X, T, T')$  yields:

$$\begin{aligned} & \forall r/\text{Referee} \forall t_3, t_4 \text{TimeInterval} \\ & (\text{referee}(P, r, t_3, t_4) \\ & \wedge \text{during}(t_3, T) \wedge \text{during}(t_4, T') \\ & \wedge \text{during}(t_3, (01/01/1988..*)) \\ & \wedge \text{during}(t_4, (02/01/1988..*)) \\ & \Rightarrow (r \neq X)) \end{aligned}$$

At update time, if the constraint is affected by the update, the form that will have to be verified is

$$\forall r/\text{Referee} (\text{referee}(P, r, t_3, t_4) \wedge \text{during}(t_3, T) \wedge \text{during}(t_4, T') \Rightarrow (r \neq X)).$$

Let us briefly comment on the application of compilation to dynamic (epistemic) constraints. The expressions of dynamic constraints may contain atoms occurring more than once, since the properties expressed refer to two or more states. In such a case, the compilation process will generate one PSS for each literal occurrence. The forms will differ in their parameter lists, as well as in their simplified forms. The original constraint will be violated if any of its simplified forms is. However, in such a case, not all occurrences of the literal can be replaced by their truth values on the basis that both the update and the fact that constraints were satisfied before the updates are known. This would be possible only if it were known that the constraints were non-trivially satisfied in the previous state. A logical implication is trivially satisfied if its antecedent is false. This kind of knowledge requires the maintenance of meta-level information about the satisfaction of constraints. For the moment, we will assume that no such knowledge is available and that a PSS is generated for each literal occurrence in an integrity constraint. The following example shows the application of the compilation process in the case of a dynamic constraint.

**Example:** Assume that the history and belief time intervals of constraint IC3 of our working example are  $T$  and  $T'$ , respectively. The literal *salary* occurs twice in the expression of the constraint. Only one of the history time variables  $t_1$  and  $t_3$  will be instantiated in each of the two forms. It is known that the constraint is satisfied before an update to a *salary* literal occurs. Hence, according to the current beliefs of the system, either all employees have not had a change in salary, or, for those that have had a salary change, this change was an increase. If no information exists about whether the satisfaction of the constraint prior to the update is strict or trivial, the following two forms can be generated by the compilation process:

<sup>17</sup> It is possible to express *referential integrity* in Telos as a meta-constraint in the assertion language.

**Table 3.** Absorption rules

$\phi \wedge \text{True} \equiv \phi$	$\phi \wedge \text{False} \equiv \text{False}$	$\phi \Rightarrow \text{True} \equiv \text{True}$	$\phi \Rightarrow \text{False} \equiv \neg\phi$
$\phi \vee \text{True} \equiv \text{True}$	$\phi \vee \text{False} \equiv \phi$	$\text{True} \Rightarrow \phi \equiv \phi$	$\text{False} \Rightarrow \phi \equiv \text{True}$
$\neg\text{True} \equiv \text{False}$	$\neg\text{False} \equiv \text{True}$	$\phi \Leftrightarrow \text{True} \equiv \phi$	$\phi \Leftrightarrow \text{False} \equiv \neg\phi$

$$\begin{aligned} & \forall s/\text{Integer} \forall t_1/\text{TimeInterval} (\text{salary}(p, s, t_1, t_2) \\ & \quad \wedge \text{during}(t_1, T) \wedge \text{during}(t_3, T) \\ & \quad \wedge \text{before}(t_1, t_3) \wedge \text{during}(t_2, T') \Rightarrow (s \leq s')), \\ & \forall s'/\text{Integer} \forall t_3/\text{TimeInterval} (\text{salary}(p, s', t_3, t_2) \\ & \quad \wedge \text{during}(t_1, T) \wedge \text{during}(t_3, T) \\ & \quad \wedge \text{before}(t_1, t_3) \wedge \text{during}(t_2, T') \Rightarrow (s \leq s')). \end{aligned}$$

Were it known that IC3 was non-trivially satisfied, only one simplified form would be generated, namely the form resulting from dropping all quantifiers from the above forms and replacing the *salary* literals by `True`. If however it was trivially satisfied before the update, i.e., at least one of the *salary* literals was false or the temporal constraint was violated, then the *salary* literals cannot be eliminated.  $\diamond$

**7.2.2.2 Temporal simplification.** The objective of temporal simplification rules is to simplify a conjunction of temporal relationships into a single temporal relationship. In its full generality, this task is intractable (Allen 1983). In our method, however, we require that at least one of the temporal variables in each temporal relation should be instantiated, and with this condition the simplification can be performed efficiently. In fact, only a table lookup is required.

Formally, the problem of temporal simplification is stated as follows: given a conjunction  $\text{during}(t, i_1) \wedge r_1(t, i_2) \wedge r_2(i_1, i_2)$ , where  $r_1$  and  $r_2$  are any of the 13 possible relationships (or their negation) between any two time intervals, and  $i_1, i_2$  are known time intervals, find a temporal relationship  $r$  and an interval  $i$  such that  $r(t, i)$  is satisfied if and only if the original conjunction is satisfied. For some combinations of  $r_1$  and  $r_2$ ,  $r$  is a disjunction of temporal relationships. In those cases, and for the sake of completeness, we do not replace the original expression by the equivalent disjunction. Table 4 shows the simplified forms obtainable from the various combinations of temporal relationships for  $r_1$  and  $r_2$ . **F** denotes a logical contradiction, and the cases where no simplification is possible without introducing disjunction are denoted by the entry “**no simp.**”.

**Example:** Consider the conjunction

$$\begin{aligned} & \text{during}(t, 01/88..09/88) \wedge \text{before}(t, 05/88..12/88) \\ & \wedge \text{overlaps}(01/88..09/88, 05/88..12/88). \end{aligned}$$

Using Table 4, it can be simplified into  $\text{during}(t, 01/88..05/88)$ .  $\diamond$

**7.2.2.3 Formal properties of simplification.** The following properties have been proven for the simplification method described in the previous paragraphs. Detailed proofs can be found elsewhere (Plexousakis 1996).

**Theorem 7.1.** *The simplification rules PF1–PF6 are sound. Temporal simplification (rule PF6) is also complete.*

The simplification method consists of a number of truth-preserving transformations that produce formulae which, if proven not to be satisfied in the resulting knowledge base

state, imply that the original formulae are not satisfied. Moreover, no inconsistency can be introduced by any of the simplification steps. Temporal simplification is also complete in the sense that all possible temporal transformations are performed. No transformation takes place in those cases where the derived temporal relationship is a disjunction of temporal predicates.

**7.2.2.4 Dependence graph organization.** This section describes the organization of compiled forms of integrity constraints and deductive rules into a dependence graph. The graph is used for computing the effects (direct or indirect) of updates on integrity constraints.

The notions of *dependence* and *direct dependence* have already been defined in Sub-section 7.2.1. The dependence graph for a knowledge base  $KB$  with a set of integrity constraints  $I$  and a set of deductive rules  $R$  is defined as follows:

**Definition 7.6.** *Given  $KB = (\cdot, I, R)$ , the dependence graph for  $KB$  is a directed graph  $G = (V, E)$  with the following properties. There is a node  $v \in V$  corresponding to each parametrized simplified structure (PSS) of each deductive rule and integrity constraint. The set  $V$  is partitioned into two disjoint sets  $V_I$  and  $V_R$ , where each  $v \in V_I$  is a PSS corresponding to a literal appearing in an integrity constraint and each  $v \in V_R$  is a literal appearing in a deductive rule. There is an edge  $(u, v) \in E$  between nodes  $u \in V_R$  and  $v \in V$  if and only if  $v$  directly depends on  $u$ . The set  $E$  of edges is made up of edges between rule nodes ( $E_{RR}$ ) and edges from rule to constraint nodes ( $E_{RC}$ ).*

**Example:** Figure 9 shows the dependence graph for our working example. The edge from the PSS for literal `address` of rule DR1 to the `works_in` literal of IC2 denotes the direct dependence of IC2 on constraint DR1.

From the previous definition it can be seen that the dependence graph has a special structure: there are no edges outgoing from a node  $v \in V_I$ . There can be cycles among deductive rule nodes in the graph. This happens when  $R$  contains mutually recursive rules. There are no trivial cycles in the graph and it has the following property (Plexousakis 1996):

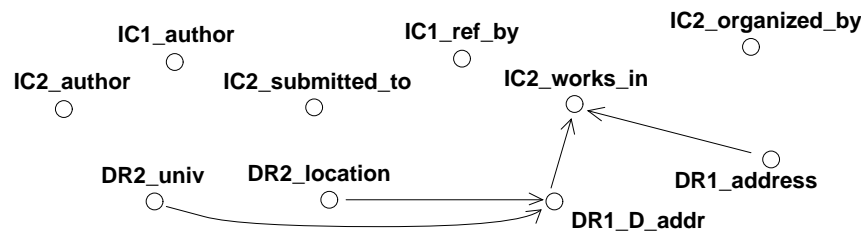
**Theorem 7.2.** *For any Telos knowledge base, dependence graph construction yields a graph that may contain cycles of length at most equal to the number of deductive rules participating in the same recursive scheme.*

Furthermore, the graph is sparse for an average number  $\alpha$  of literals per rule body or constraint greater than 2. The graph’s sparsity will be exploited for the efficient maintenance of the graph’s transitive closure. The dependence graph is constructed once when the knowledge base is compiled and is updated incrementally when new rules or constraints are inserted or deleted. The transitive closure of the graph is computed by a modification of the  $\delta$ -wavefront algorithm (Qadah et al. 1991). The algorithm

**Table 4.** Temporal simplification table

$r1(l,i2)$ $r2(i1,i2)$	b	d	o	m	s	f	e	a	c	ob	mb	sb	fb
before (b)	during $i1$	F	F	F	F	F	F	F	F	F	F	F	F
during (d)	F	during $i1$	F	F	F	F	F	F	F	F	F	F	F
overlaps (o)	during $i1-i1*i2$	during $i1*i2$	overlaps $i1*i2$	finishes $i1-i1*i2$	starts $i1*i2$	F	F	F	F	F	F	F	F
meets (m)	during $i1$	F	F	F	F	F	F	F	F	F	F	F	F
starts (s)	F	during $i1$	F	F	F	F	F	F	F	F	F	F	F
finishes (f)	F	during $i1$	F	F	F	finishes $i1$	F	F	F	F	F	F	F
equal (e)	F	during $i1$	F	F	F	F	F	F	F	F	F	F	F
after (a)	F	F	F	F	F	F	F	during $i1$	F	F	F	F	F
contains (c)	during $(i1-,i2-)$	during $i2$	no simp.	finishes $(i1-,i2-)$	starts $i2$	finishes $i2$	equal $i2$	during $(i2+,i1+)$	no simp.	no simp.	starts $(i2+,i1+)$	starts $(i2-,i1+)$	finishes $(i1-,i2+)$
overlapped by (ob)	F	during $(i1-,i2+)$	F	F	F	finishes $(i1-,i2+)$	F	during $(i2+,i1+)$	F	no simp.	starts $(i2+,i1+)$	F	finishes $(i1-,i2+)$
met by (mb)	F	F	F	F	F	F	F	during $i1$	F	F	F	F	F
started by (sb)	F	during $i2$	F	F	F	finishes $i2$	F	during $i1-i2$	F	no simp.	starts $i1-i2$	F	F
finished by (fb)	during $(i1-,i2-)$	during $i2$	no simp.	finishes $(i1-,i2-)$	starts $i2$	F	F	F	F	F	F	F	finishes $i1$

F: false; \*: intersection operator; -: difference operator; no simp.: no simplification possible; t-: left endpoint; t+: right endpoint

**Fig. 9.** A dependence graph

has been modified to apply to cyclic graphs and take advantage of the dependence graph properties. Evaluating the dependence graph's transitive closure amounts to computing the *potential implicit* updates caused by explicit updates on literals occurring in the bodies of deductive rules. The *actual implicit* updates are obtained during the evaluation phase. The time complexity for computing implicit updates caused by an explicit update matching some node in the graph is  $O(|E|)$ , and  $O(|V_R| * |E|)$  for computing the transitive closure of the entire graph by solving  $|V_R|$  single-source problems (Plexousakis 1996). Experiments with randomly generated dependence graphs have shown that, on the average, the execution time of computing single-source implicit updates is sub-linear in  $|E|$  (Plexousakis 1993a).

### 7.2.3 Evaluation phase

In this section, we describe the evaluation phase of our algorithm. We first discuss how the dependence graph generated in the compilation phase is used to check the integrity constraints at the time of update. Then we describe how this graph is incrementally maintained as the set of integrity constraints and deductive rules changes.

#### 7.2.3.1 Using dependence graphs for constraint checking.

The dependence graph reflects both the logical and temporal interdependence of rules and constraints. To check if an update  $U$  affects an integrity constraint, we first locate all literals  $L_i$  in the dependence graph that unify with the update. The set of integrity constraints that may be violated are those which have at least one node on a path initiating at a literal  $L_i$ . As mentioned earlier, the dependence graph transitive closure can be pre-computed at compile time. Hence, at update time reachability information does not need to be re-computed. It suffices to verify that the potential implicit updates are actual updates by instantiating the literals of the implicit updates and evaluating the bodies of rules in which they belong. For example, in Fig. 9, an update on literal *univ* might cause a violation of constraint IC2, since one of IC2's literals lies on a path with source from *univ*.

#### 7.2.3.2 Incremental maintenance of dependence graphs.

As rules and constraints are inserted or deleted, we incrementally modify the dependence graph instead of reconstructing it from scratch. The dependence relationships between rules and constraints also change and have to be reflected in the graph's transitive closure that was computed during the compilation phase. In the rest of this section, we briefly describe

how insertions and deletions of rules and constraints are handled. A more detailed description of the algorithms for incremental transitive closure maintenance and their complexity can be found elsewhere (Plexousakis 1993a, 1995).

Insertion of an integrity constraint is accepted only if the constraint is satisfied by the knowledge base. Then it is transformed into a set of parametrized forms, one for each of its literals. These forms are added as nodes to the dependence graph and in case that there exist rules already in the graph on which the constraint directly depends, edges from the rule nodes to the constraint nodes are added. The worst-case complexity of the dependence graph modification in case of a constraint insertion is  $O(|V_R|)$ , since the newly introduced nodes have to be connected with as many rule nodes as the number of rules whose conclusion literal matches the constraint literal. On the average, as experimental results with randomly generated graphs suggest, the cost is much smaller, since only a subset of the deductive rules will match the constraint literals. The deletion of a constraint cannot violate the integrity of the knowledge base. It suffices to remove all nodes corresponding to some simplified form of the constraint along with their incident edges. The worst-case complexity of the deletion process is  $O(|E|)$ .

When a new deductive rule is inserted, its direct dependence to existing rules or constraints is determined and represented in the graph. If there exist PSSs of constraints or rules with literals unifying with the rule's conclusion literal, then the conclusions of the rule and any implicit updates must be derived and checked for possible constraint violations. If no violation of constraints arises, then the rule is compiled and inserted in the dependence graph. If a literal of a rule/constraint unifies with the rule's conclusion, then appropriate edges are added, as described in the previous section. This process has a worst-case complexity of  $O(|V_R| * |E|)$ . Similarly, if an already compiled rule is to be deleted and there exist rules or constraints with literals matching the rule's negated conclusion, then the literals deducible with this rule are treated as normal deletions. If they do not cause integrity violation, the parametrized forms of the rule must be deleted along with all their incident edges. Rule deletion requires a worst-case time of  $O(|V_R| * |E|)$ . An analytical model giving more precise characterizations of the cost of updates of rules and constraints can be found elsewhere (Plexousakis 1996).

In addition to updating the dependence graph, we also need to incrementally compute its transitive closure. Incremental transitive closure algorithms available in the literature can deal only with DAGs (Ibaraki and Katoh 1983; Italiano 1988). In our research, we have developed an algorithm that incrementally computes transitive closure for general graphs (Plexousakis 1996). Our preliminary experiments with randomly generated sparse cyclic graphs have shown that this algorithm can efficiently update the transitive closure of a dependence graph. In the experiments carried out, the average cost for on-line transitive closure maintenance of sparse dependence graph was as low as  $0.1 * |E|$  for the case of randomly generated sparse cyclic graphs.

## 8 Concluding remarks

The proposed architecture for a knowledge base management system addresses several performance issues in a novel way.

- The physical data structures on which the knowledge base is stored are derived through the CDM and include a novel temporal indexing technique.
- The query optimization includes semantic optimization in the presence of temporal knowledge, as well physical optimization based on the cost models for our new storage and indexing schemes.
- Our concurrency control algorithms are extensions of existing algorithms for DAG databases, intended to take full advantage of the rich structure of a knowledge base; moreover, we have proven the correctness of our concurrency control policy, and have established both implementation and performance results.
- Our assertion compilation methods combine and extend previous results on compiling and simplifying static and dynamic temporal assertions. Soundness and completeness of the simplification method have been proven and preliminary performance results have been established.

Clearly, the design and performance analysis of the proposed architecture is not complete. In particular, work is in progress on the physical design of the KBMS (Shrufi 1994), exploring the use of existing database storage kernels. A thorough experimental performance analysis is planned to validate the cost function of our storage and query model. The study of semantic criteria for reducing the search space when an access is planned is an issue that requires further research. The use of machine learning techniques, in order to train the query optimizer with past experience, is one possible direction for further exploration. Record clustering and buffer management are other directions of research that could lead to performance improvements.

We are generalizing our concurrency control algorithm, so that it can distinguish between different semantic relationships, and to include multiple granularities of locking. Further down the road, we expect that the issues of fault tolerance, such as recovery, will become more important.

As far as rule management is concerned, a hybrid theorem prover for simplified constraints needs to be devised, possibly by combining existing special-purpose reasoners. Moreover, issues such as the efficient storage and access of the dependence graph and storage and indexing of rules and constraints are currently under investigation. The performance of the compilation method needs to be assessed and compared to methods that interleave compilation and evaluation (e.g., (Kuchenhoff 1991)). A dual approach to constraint enforcement, based on compiling constraints into transaction specifications, is a topic of current research (Plexousakis 1996) and (Plexousakis and Mylopoulos 1996). Finally, a more fine-grained approach to integrity violation needs to be devised, possibly adopting ideas of finite constraint satisfiability (Bry et al. 1988).

In addition, we are working towards benchmarks for knowledge based systems, so that we can have a standard method to evaluate the algorithms developed for such systems.

On the basis of these results, we believe that a KBMS technology which offers the representational and inferential mechanisms of state-of-the-art knowledge representation schemes, while at the same time addresses efficiently database issues such as storage management, query processing and concurrency control, is viable.

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