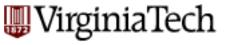


# CS 4604: Introduction to Database Management Systems

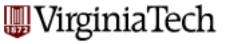
B. Aditya Prakash

Lecture #11: Query Processing and Midterm Review



#### **Outline**

- introduction
- selection
- projection
- join
- set & aggregate operations



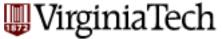
#### Introduction

- Today's topic: QUERY PROCESSING
- Some database operations are EXPENSIVE
- Can greatly improve performance by being "smart"
  - e.g., can speed up 1,000,000x over naïve approach



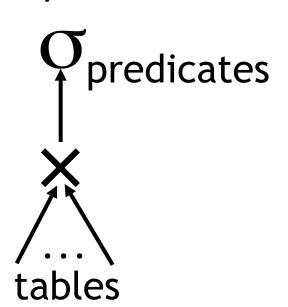
## Introduction (cnt'd)

- Main weapons are:
  - clever implementation techniques for operators
  - exploiting "equivalencies" of relational operators
  - using statistics and cost models to choose among these.

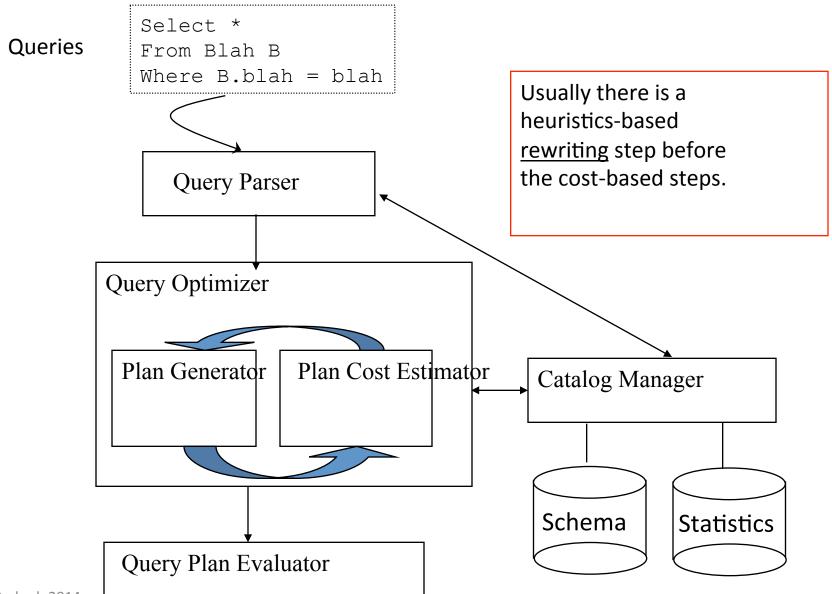


## A Really Bad Query Optimizer

- For each Select-From-Where query block
  - do cartesian products first
  - then do selections
  - etc, ie.:
    - GROUP BY; HAVING
    - projections
    - ORDER BY
- Incredibly inefficient
  - Huge intermediate results!



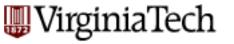
## WirginiaTech Cost-based Query Sub-System





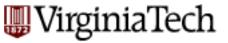
### **The Query Optimization Game**

- "Optimizer" is a bit of a misnomer...
- Goal is to pick a "good" (i.e., low expected cost) plan.
  - Involves choosing access methods, physical operators, operator orders, ...
  - Notion of cost is based on an abstract "cost model"



## **Relational Operations**

- We will consider how to implement:
  - Selection ( $\sigma$ ) Selects a subset of rows from relation.
  - <u>Projection</u> ( $\pi$ ) Deletes unwanted columns from relation.
  - Join ( $\triangleright \triangleleft$ ) Allows us to combine two relations.
  - Set-difference (-) Tuples in reln. 1, but not in reln. 2.
  - *Union* ( $\cup$ ) Tuples in reln. 1 and in reln. 2.
  - Aggregation (SUM, MIN, etc.) and GROUP BY
- Recall: ops can be composed!
- Later (after spring break), we'll see how to optimize queries with many ops



## **Schema for Examples**

Sailors (<u>sid</u>: integer, sname: string, rating: integer, age: real)
Reserves (<u>sid</u>: integer, bid: integer, day: dates, rname: string)

- Similar to old schema; rname added for variations.
- Sailors:
  - Each tuple is 50 bytes long, 80 tuples per page, 500 pages.
  - $N=500, p_s=80.$
- Reserves:
  - Each tuple is 40 bytes long, 100 tuples per page, 1000 pages.
  - $M=1000, p_R=100.$



## **Simple Selections**

- Of the form  $\sigma_{R.attr\,op\,value}(R)$
- Question: how best to perform?

```
SELECT *
FROM Reserves R
WHERE R.rname < 'C%'
```



## **Simple Selections**

- A: Depends on:
  - what indexes/access paths are available
  - what is the expected size of the result (in terms of number of tuples and/or number of pages)

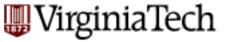


## **Simple Selections**

Size of result approximated as

size of R \* reduction factor

- "reduction factor" is also called *selectivity*.
- estimate of reduction factors is based on statistics –
   we will discuss shortly.



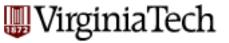
#### **Alternatives for Simple Selections**

- With no index, unsorted:
  - Must essentially scan the whole relation
  - cost is M (#pages in R). For "reserves" = 1000 I/ Os.



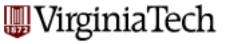
## Simple Selections (cnt'd)

- With no index, sorted:
  - cost of binary search + number of pages containing results.
  - For reserves = 10 I/Os + [selectivity\*#pages]



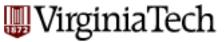
## Simple Selections (cnt'd)

- With an index on selection attribute:
  - Use index to find qualifying data entries,
  - then retrieve corresponding data records.
  - (Hash index useful only for equality selections.)

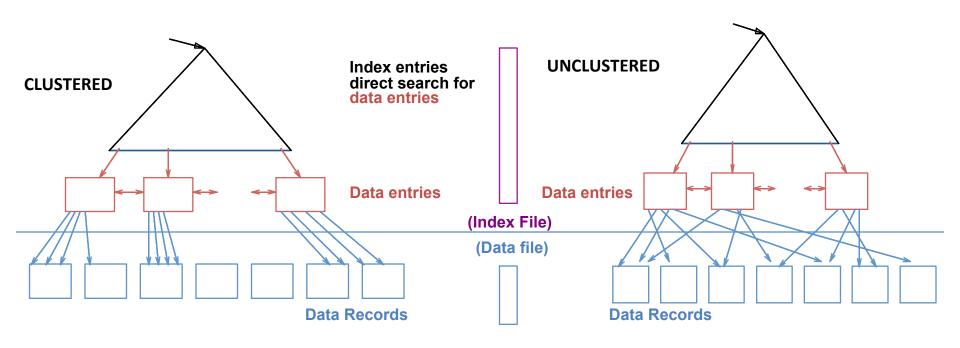


### Using an Index for Selections

- Cost depends on #qualifying tuples, and clustering.
  - Cost:
    - finding qualifying data entries (typically small)
    - plus cost of retrieving records (could be large w/o clustering).



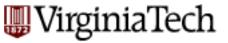
## Selections using Index (cnt'd)





## Selections using Index (cnt'd)

- In example "reserves" relation, if 10% of tuples qualify (100 pages, 10,000 tuples).
  - With a *clustered* index, cost is little more than 100 I/Os;
  - if *unclustered*, could be up to 10,000 I/Os! unless...



## Selections using Index (cnt'd)

- Important refinement for unclustered indexes:
  - 1. Find qualifying data entries.
  - 2. Sort the rid's of the data records to be retrieved.
  - 3. Fetch rids in order. This ensures that each data page is looked at just once (though # of such pages likely to be higher than with clustering).



(day<8/9/94 AND rname= 'Paul') OR bid=5 OR sid=3

Q: What would you do?



(day<8/9/94 AND rname= 'Paul') OR bid=5 OR sid=3

- Q: What would you do?
- A: try to find a selective (clustering) index.
   Specifically:



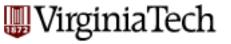
(day<8/9/94 AND rname= 'Paul') OR bid=5 OR sid=3

- Convert to <u>conjunctive normal form (CNF)</u>:
  - (day<8/9/94 OR bid=5 OR sid=3 ) AND (rname= 'Paul' OR bid=5 OR sid=3)
- We only discuss the case with no ORs (a conjunction of terms of the form attr op value).



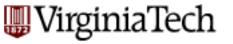
(day<8/9/94 AND rname= 'Paul') OR bid=5 OR sid=3

- A B-tree index <u>matches</u> (a conjunction of) terms that involve only attributes in a *prefix* of the search key.
  - Index on  $\langle a, b, c \rangle$  matches a=5 AND b=3, but not b=3.
- For Hash index, must have all attributes in search key



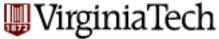
## Two Approaches to General Selections

- First approach: Find the cheapest accessory path, retrieve tuples using it, and apply any remaining terms that don't match the index
- <u>Second approach</u>: get rids from first index;
   rids from second index; intersect and fetch.



## Two Approaches to General Selections

- First approach: Find the cheapest access path, retrieve tuples using it, and apply any remaining terms that don't match the index:
  - Cheapest access path: An index or file scan with fewest I/Os.
  - Terms that match this index reduce the number of tuples retrieved; other terms help discard some retrieved tuples, but do not affect number of tuples/pages fetched.



## **Cheapest Access Path - Example**

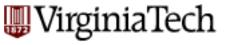
- Consider day < 8/9/94 AND bid=5 AND skip sid=3.
- A B+ tree index on day can be used;
  - then, bid=5 and sid=3 must be checked for each retrieved tuple.
- Similarly, a hash index on <bid, sid> could be used;
  - Then, day<8/9/94 must be checked.



## Cheapest Access Path - cnt' d

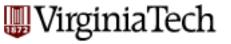
■ Consider day < 8/9/94 AND bid=5 AND

- How about a B+tree on <rname,day>?
- How about a B+tree on <day, rname>?
- How about a Hash index on <day, rname>?



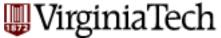
#### Intersection of RIDs

- Second approach: if we have 2 or more manifestives (w/Alternatives (2) or (3) for data entries):
  - Get sets of rids of data records using each matching index.
  - Then intersect these sets of rids.
  - Retrieve the records and apply any remaining terms.



Intersection of RIDs (cnt'd)

- EXAMPLE: Consider day<8/9/94 AND bid=5 And sid=3.
- With a B+ tree index on day and an index on sid,
- we can retrieve rids of records satisfying day<8/9/94 using the first,</li>
- rids of recs satisfying sid=3 using the second,
- intersect,
- retrieve records and check bid=5.



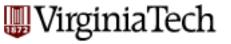
## **The Projection Operation**

- Issue is removing duplicates.
- Basic approach: sorting
  - 1. Scan R, extract only the needed attrs (why?)
  - 2. Sort the resulting set
  - 3. Remove adjacent duplicates

Cost: Reserves with size ratio 0.25 = 250 pages. With 20 buffer pages can sort in 2 passes, so

1000 +250 + 2 \* 2 \* 250 + 250 = 2500 I/Os

SELECT DISTINCT
R.sid, R.bid
FROM Reserves R



## **Projection**



- Can improve by modifying external sort algorithm (see chapter 13):
  - Modify Pass 0 of external sort to eliminate unwanted fields.
  - Modify merging passes to eliminate duplicates.

Cost: for above case: read 1000 pages, write out 250 in runs of 40 pages, merge runs = 1000 + 250 +250 = 1500.



## **Discussion of Projection**

- If an index on the relation contains all wanted attributes in its search key, can do index-only scan.
  - Apply projection techniques to data entries (much smaller!)



## **Discussion of Projection**

- If an ordered (i.e., tree) index contains all wanted attributes as *prefix* of search key, can do even better:
  - Retrieve data entries in order (index-only scan), discard unwanted fields, compare adjacent tuples to check for duplicates.

A B-tree index <u>matches</u> (a conjunction of) terms that involve only attributes in a *prefix* of the search key.

- Index on  $\langle a, b, c \rangle$  matches a=5 AND b=3, but not b=3.

For Hash index, must have all attributes in search key



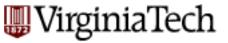
#### **Joins**

- Joins are very common.
- Joins can be very expensive (cross product in worst case).
- Many approaches to reduce join cost.



#### **Joins**

- Join techniques we will cover:
  - Nested-loops join
  - Index-nested loops join
  - Sort-merge join
  - Hash join



#### **Equality Joins With One Join Column**

SELECT \*
FROM Reserves R1, Sailors S1
WHERE R1.sid=S1.sid

- In algebra: R ⋈ S. Common! Must be carefully optimized. R × S is large; so, R × S followed by a selection is inefficient.
- Remember, join is associative and commutative.

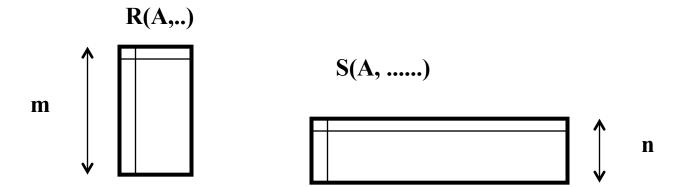


#### **Equality Joins**

- Assume:
  - M pages in R, p<sub>R</sub> tuples per page, m tuples total
  - N pages in S, p<sub>s</sub> tuples per page, n tuples total
  - In our examples, R is Reserves and S is Sailors.
- We will consider more complex join conditions later.
- Cost metric: # of I/Os. We will ignore output costs.

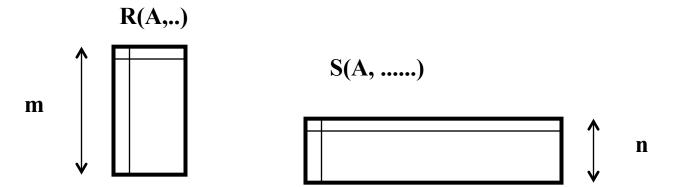


Algorithm #0: (naive) nested loop (<u>SLOW</u>!)





• Algorithm #0: (naive) nested loop (<u>SLOW</u>!) for each tuple r of R for each tuple s of S print, if they match

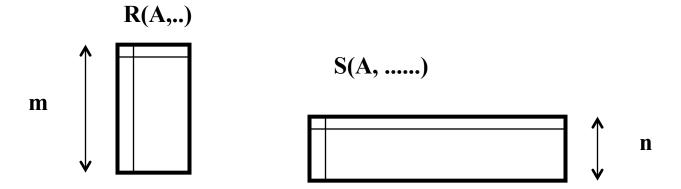




Algorithm #0: (naive) nested loop (<u>SLOW</u>!)

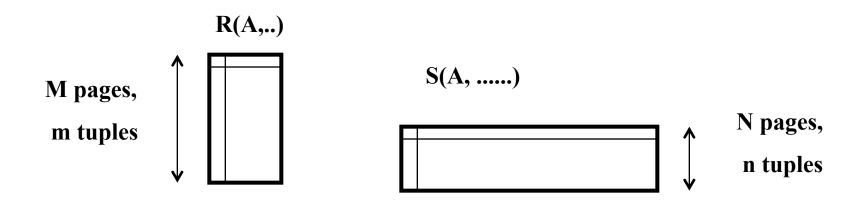
for each tuple r of R outer relation
for each tuple s of S inner relation

print, if they match



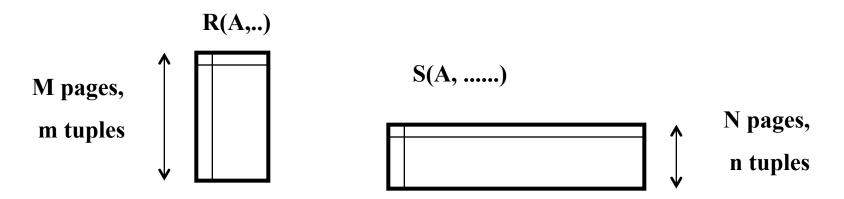


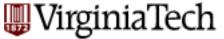
- Algorithm #0: why is it bad?
- how many disk accesses ('M' and 'N' are the number of blocks for 'R' and 'S')?





- Algorithm #0: why is it bad?
- how many disk accesses ('M' and 'N' are the number of blocks for 'R' and 'S')? M +m\*N





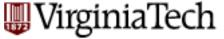
### Simple Nested Loops Join

Actual number

```
(p_R * M) * N + M = 100*1000*500 + 1000 I/Os.
- At 10ms/IO, Total: ???
```

What if smaller relation (S) was outer?

What assumptions are being made here?



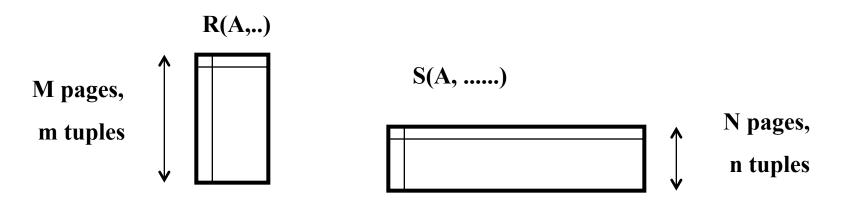
#### Simple Nested Loops Join

- Actual number
- $(p_R * M) * N + M = 100*1000*500 + 1000 I/Os.$ 
  - At 10ms/IO, Total: ~6days (!)
- What if smaller relation (S) was outer?
  - slightly better
- What assumptions are being made here?
  - 1 buffer for each table (and 1 for output)



- Algorithm #1: Blocked nested-loop join
  - read in a block of R
    - read in a block of S
      - print matching tuples

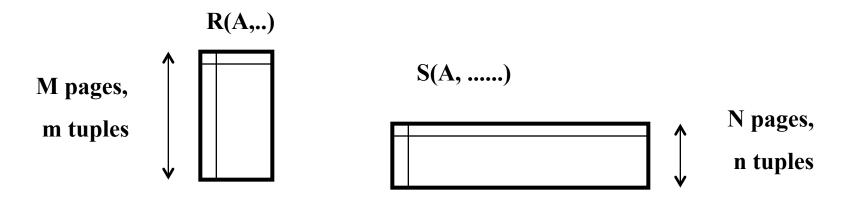
COST?





- Algorithm #1: Blocked nested-loop join
  - read in a block of R
    - read in a block of S
      - print matching tuples

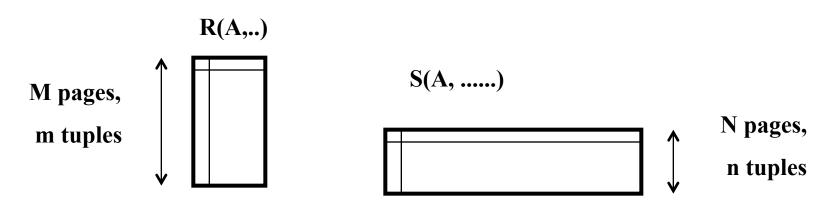
$$COST = M + M * N$$





• Which one should be the outer relation?

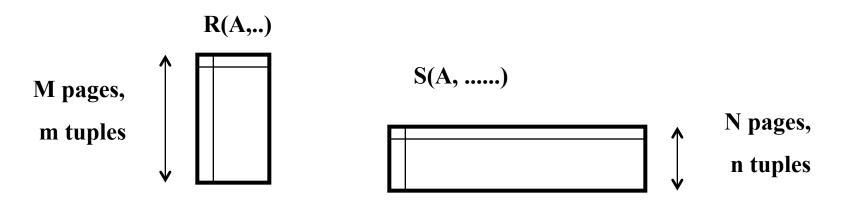
$$COST = M + M*N$$





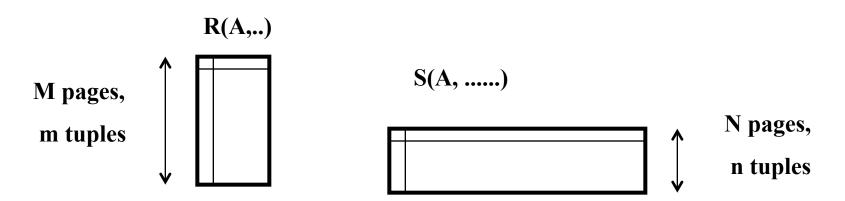
- Which one should be the outer relation?
- A: the smallest (page-wise)

$$COST = M + M*N$$



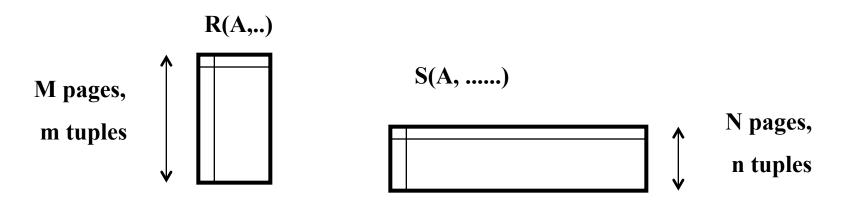


- M=1000, N=500
- Cost = 1000 + 1000\*500 = 501,000
- =  $5010 \sec \sim 1.4h$



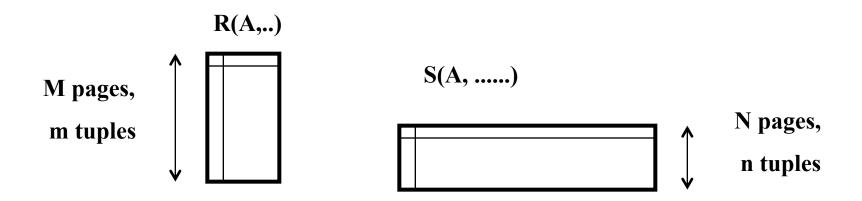


- M=1000, N=500 if smaller is outer:
- Cost = 500 + 1000\*500 = 500,500
- =  $5005 \sec \sim 1.4h$



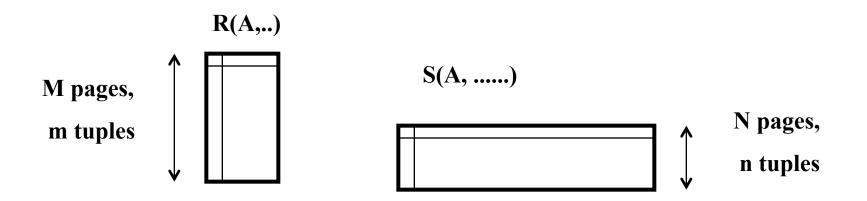


• What if we have B buffers available?





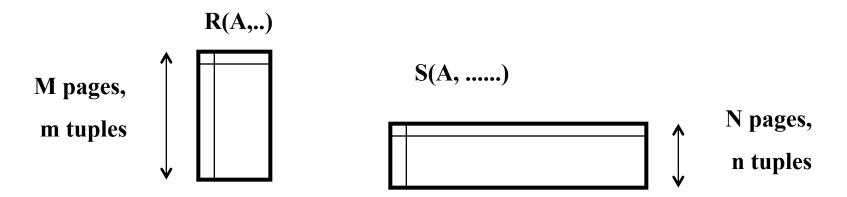
- What if we have B buffers available?
- A: give *B-2* buffers to outer, 1 to inner, 1 for output





- Algorithm #1: Blocked nested-loop join
  - − read in *B*-2 blocks of R
    - read in a block of S
      - print matching tuples

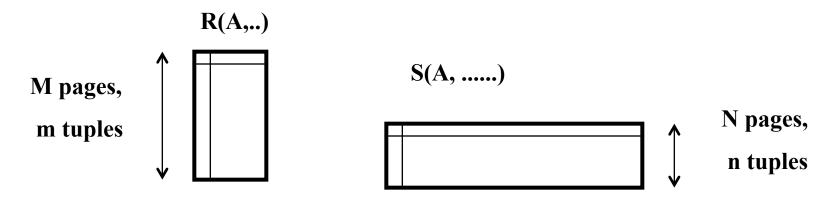
COST=?





- Algorithm #1: Blocked nested-loop join
  - read in *B-2* blocks of R
    - read in a block of S
      - print matching tuples

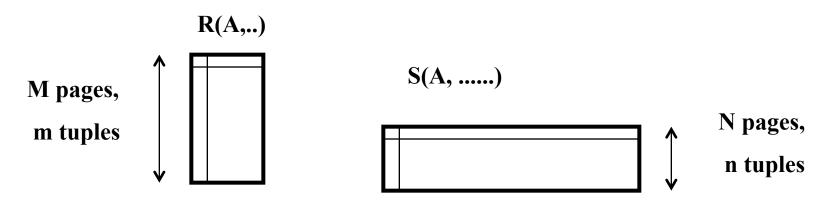
$$COST = M + M/(B-2)*N$$





- and, actually:
- Cost = M + ceiling(M/(B-2)) \* N

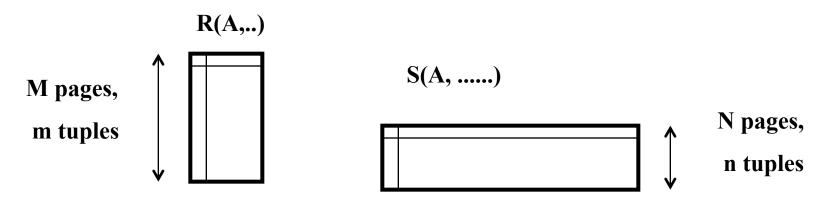
$$COST = M + M/(B-2)*N$$





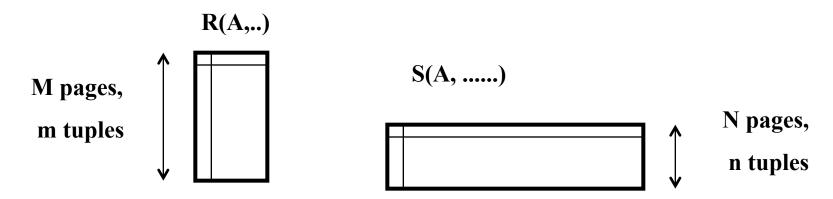
- If smallest (outer) fits in memory
- (ie., B = N + 2),
- Cost =?

$$COST = N+N/(B-2)*M$$





- If smallest (outer) fits in memory
- (ie., B = N + 2),
- Cost = N+M (minimum!) COST = N+N/(B-2)\*M





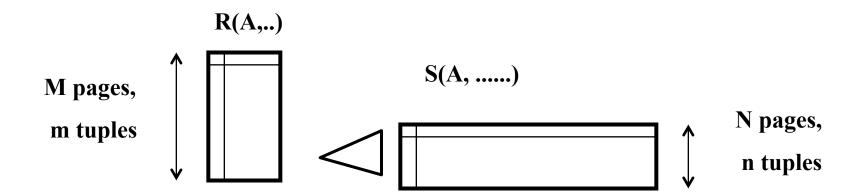
#### Nested loops - guidelines

- pick as outer the smallest table (= fewest pages)
- fit as much of it in memory as possible
- loop over the inner



# Index NL join

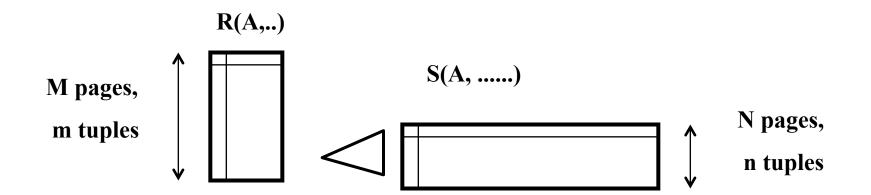
- use an existing index, or even build one on the fly
- cost: M + m \* c (c: look-up cost)





# Index NL join

- cost: M + m \* c (c: look-up cost)
- 'c' depends whether the index is clustered or not.





#### **Joins**

- Join techniques we will cover:
  - Nested-loops join
  - Index-nested loops join

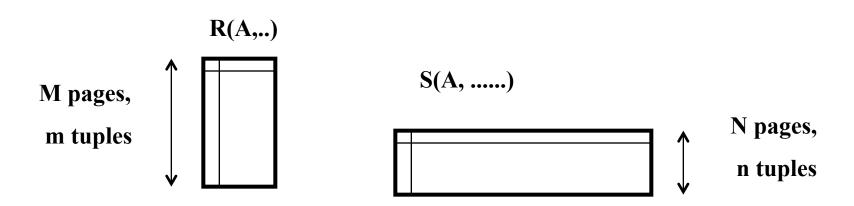


- Sort-merge join
- Hash join



#### Sort-merge join

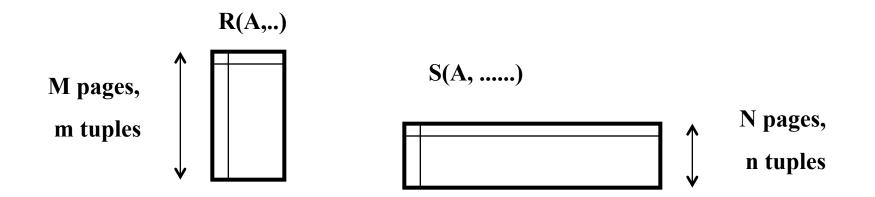
- sort both on joining attributed
- scan each and merge
- Cost, given B buffers?

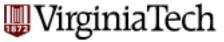




# Sort-merge join

- Cost, given B buffers?
- $\sim 2*M*logM/logB + 2*N*logN/logB + M + N$





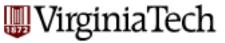
#### **Sort-Merge Join**

Useful if



#### **Sort-Merge Join**

- Useful if
  - one or both inputs are already sorted on join attribute(s)
  - output is required to be sorted on join attributes(s)
- "Merge" phase can require some back tracking if duplicate values appear in join column



#### **Example of Sort-Merge Join**

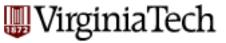
sid	sname	rating	age
22	dustin	7	45.0
28	yuppy	9	35.0
31	lubber	8	55.5
44	guppy	5	35.0
58	rusty	10	35.0

sid	<u>bid</u>	day	rname
28	103	12/4/96	guppy
28	103	11/3/96	yuppy
31	101	10/10/96	dustin
31	102	10/12/96	lubber
31	101	10/11/96	lubber
58	103	11/12/96	dustin



#### **Example of Sort-Merge Join**

- With 35, 100 or 300 buffer pages, both Reserves and Sailors can be sorted in 2 passes; total join cost: 7500.
- (while Block Nested Loop (BNL) cost: 2,500 to 15,000 I/Os)



#### Sort-merge join

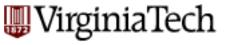
Worst case for merging phase?

Cost?



#### Refinements

- All the refinements of external sorting
- plus overlapping of the merging of sorting with the merging of joining.



#### **Joins**

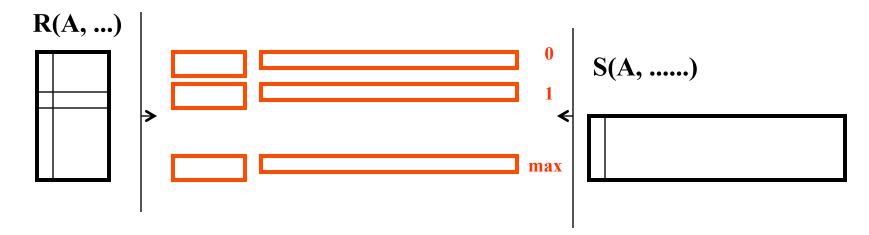
- Join techniques we will cover:
  - Nested-loops join
  - Index-nested loops join
  - Sort-merge join





# Hash joins

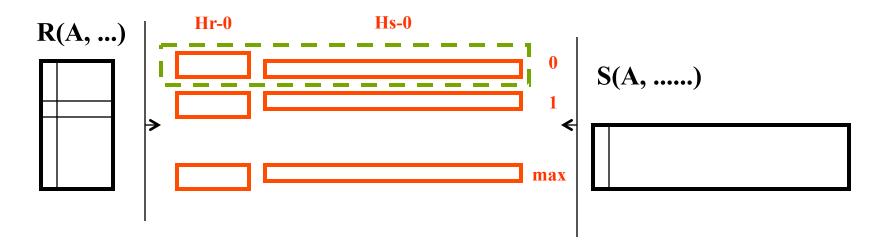
- hash join: use hashing function h()
  - hash 'R' into (0, 1, ..., 'max') buckets
  - hash 'S' into buckets (same hash function)
  - join each pair of matching buckets





# Hash join - details

- how to join each pair of partitions Hr-i, Hs-i?
- A: build another hash table for Hs-i, and probe it with each tuple of Hr-i





## Hash join - details

- In more detail:
- Choose the (page-wise) smallest if it fits in memory, do ~NL
  - and, actually, build a hash table (with h2() != h())
  - and probe it, with each tuple of the other



## Hash join details

- what if Hs-i is too large to fit in mainmemory?
- A: recursive partitioning
- more details (overflows, hybrid hash joins): in book
- cost of hash join? (if we have enough buffers:)
   3(M + N) (why? See next slide)



#### **Cost of Hash-Join**

In partitioning phase, read+write both relns; 2(M+N). In matching phase, read both relns; M+N I/Os.

• In our running example, this is a total of 4500 I/Os.



### Hash join details

[cost of hash join? (if we have enough buffers:)
3(M + N)

What is 'enough'? sqrt(N), or sqrt(M)?



## Hash join details

- [cost of hash join? (if we have enough buffers:)3(M + N)
- What is 'enough'? sqrt(N), or sqrt(M)?
- A: sqrt( smallest) (why?)
  - Because you only need enough memory to hold the hash table partitions of the smaller table in memory so B > size of smaller/B -1 → B ~ sqrt(size-of-smaller)

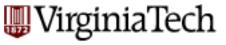


#### Sort-Merge Join vs. Hash Join

 Given a minimum amount of memory both have a cost of 3(M+N) I/Os.

(min. memory for sort-merge = sqrt(larger table) using aggressive refinements---in textbook)

(min. memory for hash = sqrt(smaller table)---see previous slides)



## Sort-Merge vs Hash join

- Hash Join Pros:
  - **—** 55
  - **— ? ? ?**
  - **—** ??
- Sort-Merge Join Pros:
  - **—** 55



## Sort-Merge vs Hash join

- Hash Join Pros:
  - Superior if relation sizes differ greatly
  - Shown to be highly parallelizable (beyond scope of class)
- Sort-Merge Join Pros:

**—** 55



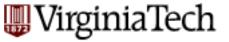
## Sort-Merge vs Hash join

#### Hash Join Pros:

- Superior if relation sizes differ greatly
- Shown to be highly parallelizable (beyond scope of class)

#### Sort-Merge Join Pros:

- Less sensitive to data skew
- Result is sorted (may help "upstream" operators)
- goes faster if one or both inputs already sorted



#### **General Join Conditions**

- Equalities over several attributes (e.g., R.sid=S.sid AND R.rname=S.sname):
  - all previous methods apply, using the composite key



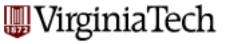
#### **General Join Conditions**

- Inequality conditions (e.g., *R.rname < S.sname*):
- which methods still apply?
  - -NL
  - index NL
  - Sort merge
  - Hash join



#### **General Join Conditions**

- Inequality conditions (e.g., R.rname < S.sname):</p>
- which methods still apply?
  - NL (probably, the best!)
  - index NL (only if clustered index)
  - Sort merge (does not apply!) (why?)
  - Hash join (does not apply!) (why?)



### **Set Operations**



- Intersection and cross-product: special cases of join
- Union (Distinct) and Except: similar; we'll do union:
- Effectively: concatenate; use sorting or hashing
- Sorting based approach to union:
  - Sort both relations (on combination of all attributes).
  - Scan sorted relations and merge them.
  - Alternative: Merge runs from Pass 0 for both relations.



## Set Operations, cont' d

- Hash based approach to union:
  - Partition R and S using hash function h.
  - For each S-partition, build in-memory hash table (using h2), scan corresponding R-partition and add tuples to table while discarding duplicates.

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## Aggregate Operations (AVG, MIN, etc.)

- Without grouping:
  - In general, requires scanning the relation.
  - Given index whose search key includes all attributes in the SELECT or WHERE clauses, can do index-only scan.



#### Summary

- A virtue of relational DBMSs:
  - queries are composed of a few basic operators
  - The implementation of these operators can be carefully tuned
  - Important to do this!
- Many alternative implementation techniques for each operator
  - No universally superior technique for most operators.

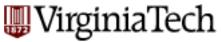
"it depends" [Guy Lohman (IBM)]





## Summary cont' d

- Must consider available alternatives for each operation in a query and choose best one based on system statistics, etc.
  - Part of the broader task of optimizing a query composed of several ops.



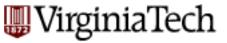
#### **MIDTERM REVIEW**



#### **Course Outline**

- Weeks 1–4: Query/ Manipulation Languages and Data Modeling
  - Relational Algebra
  - Data definition
  - Programming with SQL
  - Entity-Relationship (E/R) approach
  - Specifying Constraints
  - Good E/R design
- Weeks 5–8: Indexes, Processing and Optimization
  - Storing
  - Hashing/Sorting
  - Query Optimization
  - NoSQL and Hadoop

- Week 9-10: Relational Design
  - Functional Dependencies
  - Normalization to avoid redundancy
- Week 11-12: Concurrency Control
  - Transactions
  - Logging and Recovery
- Week 13–14: Students' choice
  - Practice Problems
  - XML
  - Data mining and warehousing

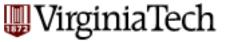


#### Course Outline: For Midterm Exam

- Weeks 1–4: Query/ Manipulation Languages and Data Modeling
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No Query Processing/ **Optimization** 



## FUNDAMENTAL Relational operators

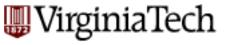
• selection  $\sigma_{condition}$  (R)

ullet projection  $\pi_{att-list}(R)$ 

cartesian productR X S

set union
R U S

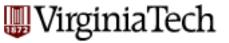
set difference
R - S



## **Relational ops**

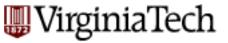
Surprisingly, they are enough!

- Derived/convenience operators:
  - set intersection
  - − join (theta join, natural join)
  - 'rename' operator  $\rho_{R'}(R)$
  - division  $R \div S$



#### **Extended Operators**

- Powerful operators based on basic relational operators and bag semantics.
- Sorting: convert a relation into a list of tuples.
- Duplicate elimination: turn a bag into a set by eliminating duplicate tuples.
- Grouping: partition the tuples of a relation into groups, based on their values among specified attributes.
- Aggregation: used by the grouping operator and to manipulate/combine attributes.
- Extended projections: projection on steroids.
- Outerjoin: extension of joins that make sure every tuple is in the output.



#### **Basic SQL Query**

SELECT [DISTINCT] target-list FROM relation-list WHERE qualification;

- Relation-list: A list of relation names (possibly with range-variable after each name).
- Target-list: A list of attributes of relations in relation-list
- Qualification: conditions on attributes
- DISTINCT: optional keyword for duplicate removal.
  - Default = no duplicate removal!



#### SQL

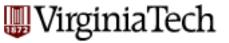
- Handling Sub-queries
- SQL Data Definition Commands
- Constraints
- Triggers

**-** ...



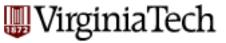
## E/R Diagrams

- IMPORTANT:
  - Follow only lecture slides for this topic!
  - Differences from the book:
    - More details
    - Slightly different notation



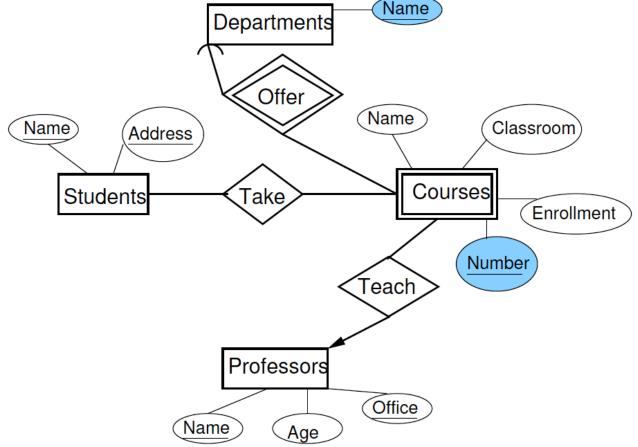
## Relationships

- Show a many-one relationship by an arrow entering the "one" side.
  Many —— One
- Show a one-one relationship by arrows entering both entity sets.
   One ← → One
- In some situations, we can also assert "exactly one," i.e., each entity of one set must be related to exactly one entity of the other set. To do so, we use a rounded arrow.

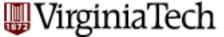


#### E/R Example (does not contain ISA)

Each department teaches multiple courses. Each course has a number. What is the key for the entity set Courses?



Prakash 2014 100



# Converting E/R Diagrams to Relational Designs

- Entity Set → Relation
  - Attribute of Entity Set → Attribute of a Relation
- Relationship → relation whose attributes are
  - Attribute of the relationship itself
  - Key attributes of the connected entity sets
- Several special cases:
  - Weak entity sets.
  - Combining relations (especially for many-one relationships)
  - ISA relationships and subclasses



#### **Tree Indexes**

- B+-Trees
  - Carefully internalize the Definition!
  - Searching
  - Inserting
  - Deleting



## Hashing/Sorting

- Extendible Hashing
- Linear Hashing
- External Sorting

- Again, how to search and build, internalize the structure
- Sorting: understand the process, how to cost it, how many passes it takes etc.



#### **Exam**

- No aids allowed EXCEPT:
  - Only written (not typed) 1 letter-size page (you may use both sides)
  - A calculator (NOT your smartphone)
- Duration: 75 mins, during class March 6,
   Thursday
- More or less equal weightage to all the topics
  - Questions will be similar to the HWs, Handouts