# Advanced SQL

02 — The Core of SQL

Summer 2022

Torsten Grust Universität Tübingen, Germany

# 1 The Core of SQL

- Let us recollect the **core constructs of SQL**, synchronize notation, and introduce query conventions.
- If you need to refresh your SQL memory, consider
  - the notes for DB1 (Chapters 6 and 9)
  - the PostgreSQL web (Part II, The SQL Language)
- We will significantly expand on this base SQL vocabulary during the semester.

#### Sample Table

Table T serves as a common "playground" for the upcoming SQL queries:

<u>a</u>	b	C	d
1	'X'	true	10
2	'y'	true	40
3	'X'	false	30
4	'y'	false	20
5	X	true	NULL

Table T

```
CREATE TABLE T (a int PRIMARY KEY, -- implies NOT NULL b text, -- here: char(1) c boolean, d int);
```

#### 2 Row Variables

• Iterate over all rows of table T (in *some* order: bag semantics), bind **row variable** t to current row:

```
SELECT t -- 2 t is bound to current row of T FROM T AS t -- 1 bind/introduce t
```

- If you omit AS t in the FROM clause, a row variable T (generally: AS ) will be implicitly introduced.
- This course: always explicitly introduce/name row variables for disambiguation, clarity, readability.

```
SELECT t -- 2 t is bound to current row of T FROM T AS t -- 1 bind/introduce t
```

 Row variable t is iteratively bound to row values whose field values and types are determined by the rows of table T:

field names: a b c d 
$$t = (5, | x', true, NULL) \\ t = (1, | x', true, 10) \\ \vdots \\ t = (2, | y', true, 40)$$
field types: int text boolean int

#### Row Types

- t:: T with T = (a int, b text, c boolean, d int). Row type T is defined when CREATE TABLE T (...) is performed.
- ullet A row type au can also be explicitly defined via

# CREATE TYPE $\tau$ AS (a int, b text, c boolean, d int)

 A table T1 equivalent to T — well, almost... — may then be created via

#### CREATE TABLE T1 OF $\tau$

1 Read :: as "has type."

#### Row Field Access and \* ("Star")

- Named field access uses dot notation. Assume t :: T and binding t ≡ (5, 'x', true, NULL) then:
  - t.b evaluates to 'x' (of type text),
  - t.d evaluates to NULL (of type int).
- Field names are *not* first-class in SQL and must be provided verbatim (i.e., may *not* be computed).
- Notation t.\* abbreviates t.a, t.b, t.c, t.d in contexts where this makes sense.<sup>2</sup>

<sup>&</sup>lt;sup>2</sup> t.\* is most often used in SELECT clauses.

• Row comparisons between rows t<sub>1</sub>, t<sub>2</sub> are performed field-by-field and lexicographically (provided that the field types match). Assume t<sub>1</sub> :: T, t<sub>2</sub> :: T:

```
\circ t_1 = t_2 \iff t_1.a = t_2.a AND \cdots AND t_1.d = t_2.d \circ t_1 < t_2 \iff t_1.a < t_2.a OR (t_1.a = t_2.a AND t_1.b < t_2.b) OR \cdots
```

• A row value is NULL iff all of its field values are NULL.

Assume the binding t = (NULL, NULL, NULL, NULL). Then t IS NULL holds.

#### 3 The SELECT Clause

A **SELECT clause** evaluates n expressions  $e_1, ..., e_n$ :

#### **SELECT** $e_1$ **AS** $c_1$ , ..., $e_n$ **AS** $c_n$

- Creates n columns named  $c_1, \ldots, c_n$ .
- In absence of AS  $c_i$ , PostgreSQL assigns name "?column?" (for all such unnamed columns)  $\Rightarrow$  ambigiuity  $\stackrel{*}{\simeq}$ .
- This course: explicitly use AS to name columns unless a name can be derived from e<sub>i</sub> (e.g., when e<sub>i</sub> ≡ t.a).
- If column/table names are case-sensitive or contain whitespace/symbols/keywords: wrap in quotes "c:".

#### Standalone SELECT

- If query Q generates n row bindings, SELECT is evaluated n times to emit n rows (but see aggregates below).
- A standalone SELECT (no FROM clause) is evaluated exactly once and emits a single row:

SELECT 1 + 41 AS "The Answer", 'Gla' || 'DOS' AS Portal;

The Answer	portal
42	GlaDOS

# 4 Literal Tables (VALUES)

A VALUES clause constructs a transient table from a list of provided row values  $e_i$ :

#### VALUES $e_1, \ldots, e_n$

- If n > 1, the  $e_i$  must agree in arity and field types (row value  $e_1$  is used to infer and determine types).
- VALUES automatically assigns column names "column $\langle i \rangle$ ". Use column aliasing to assign names (see FROM below).
- Orthogonality: a VALUES clause (in parentheses (...)) may be used anywhere a SQL query expects a table.

```
5 Generating Row Variable Bindings (FROM)
```

A FROM clause expects a set of tables  $T_i$  and successively binds the row variables  $t_i$  to the tables' rows:

- The  $T_i$  may be table names or SQL queries computing tables (enclosed in  $(\cdots)$ ).
- If you need to rename the columns of  $T_i$  (recall the VALUES clause), use **column aliasing** on all (or only the first  $k \ge 0$  columns:

$$T_i$$
 AS  $t_i(\underline{c_{i1}}, \underline{...}, \underline{c_{ik}})$ 

## FROM Computes Cartesian Products

```
SELECT ... FROM T_1 AS t_1, ..., T_n AS t_n
```

- This FROM clause generates  $|T_1| \times \cdots \times |T_n|$  bindings. Semantics: compute the **Cartesian product**  $T_1 \times \cdots \times T_n$ , draw the bindings for the  $t_i$  from this product.
- FROM operates over a *set* of tables (',' is associative and commutative).
- In particular, row variable  $t_i$  is not in scope in the table subqueries  $T_{i+1}$ , ...,  $T_n$  (but see LATERAL).

# 6 WHERE Discards Row Bindings

A WHERE clause introduces a predicate p that is evaluated under all row variable bindings generated by FROM:

- ullet All row variables  $t_i$  are in scope in p.
- Only bindings that yield p = true are passed on.<sup>3</sup>
- Absence of a WHERE clause is interpreted as WHERE true.

<sup>&</sup>lt;sup>3</sup> If p evaluates to NULL  $\neq$  true, the binding is discarded.

# 7 Compositionality: Subqueries Instead of Values

The meaning of a complex expression is determined by the meanings of constituent expressions. ??

—Principle of Compositionality

With the advent of the SQL-92 and SQL:1999 standards, SQL has gained in compositionality and orthogonality:

- Wherever a (tabular or scalar) value  $\nu$  is required, a SQL expression in (...)—a **subquery**—may be used to compute  $\nu$ .
- Subqueries nest to arbitrary depth.

#### Scalar Subqueries: Atomic Values

A SQL query that computes a **single-row**, **single-column table** (column name  $\Box$  irrelevant) may be **used in place of an atomic value**  $\nu$ :



#### In a scalar subquery...

- ... an empty table is interpreted as NULL,
- ... a table with > 1 rows or > 1 columns will yield a runtime error ...

# Scalar Subqueries: Atomic Values

- Runtime errors for WHERE t.a > 2 or SELECT t.a, t.d
- Subquery yields NULL: WHERE t.a = 0
- AS \_ assigns a "don't care" column name—this is a case where column naming is obsolete and adds nothing.

## Scalar Subqueries: Row Values

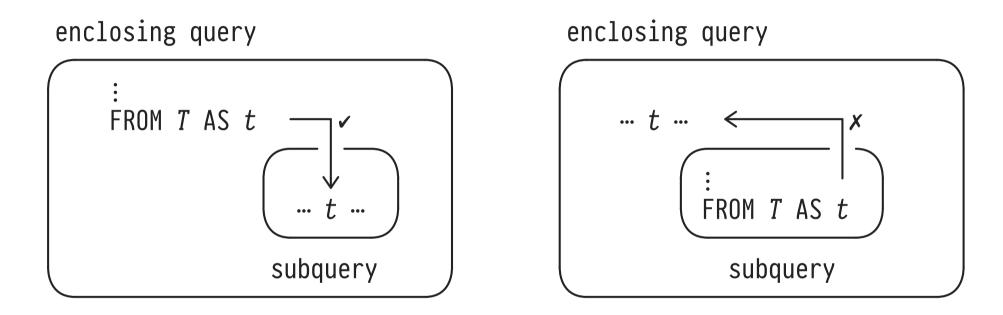
A SQL query that computes a **single-row table** with column names  $c_i$  may be **used in place of row value**  $(v_1, ..., v_n)$  with field names  $c_i$ :



#### In a scalar subquery...

- ... an empty table is interpreted as (NULL, ..., NULL),
- ... a table with > 1 rows will yield a runtime error.

Subqueries may refer to any row variable t bound in their enclosing queries (up to the top-level query):



• NB: Seen from inside the subquery—i.e., inside the (...)—row variable t is free (binding provided externally).

# Subqueries, Free Row Variables, Correlation

• If t is free in subquery q, we may understand the subquery as a function q(t): you supply a value for t, I will compute the (tabular) value of q:

```
SELECT t1.*

FROM T AS t1

WHERE t1.b <> (SELECT t2.b
FROM T AS t2
WHERE t1.a = t2.a)

\uparrow
free evaluated 5 times under t1 bindings:

t1 \equiv (1, ...)
t1 \equiv (2, ...)
t1 \equiv (3, ...)
t1 \equiv (4, ...)
t1 \equiv (5, ...)
```

 Subqueries featuring free variables are also known as correlated.

```
8 Row Ordering (ORDER BY)
```

SQL tables are unordered bags of rows, but rows may be locally ordered for result display or positional access:

```
      SELECT ...
      -- 3

      FROM ...
      -- 1

      WHERE ...
      -- 2

      ORDER BY e<sub>1</sub>, ..., e<sub>n</sub>
      -- 4
```

- The order of the  $e_i$  matters: sort order is determined lexicographically with  $e_1$  being the major criterion.
- Sort criteria e<sub>i</sub> are expressions that may refer to column names in the SELECT clause (evaluated after SELECT).

#### SELECT t.\* FROM T AS t ...

		a	b	С	d	
		5	'X'	true	NULL	
		1	'X'	true	10	
		4	'y'	false	20	
		3	'X'	false	30	
		2	'y'	true	40	
•••	ORDE	R	BY t.	d ASC	NULLS	FIRST

	a	b	C	d	
	4	'y'	false	20	
	2	'ŷ'	true	40	
	3	'X'	false	30	
	1	'X'	true	10	
	_ 5	'X'	true	NULL	
•••	ORDI	ER BY	t.b D	ESC,	t.c

• Note: ASC (ascending) is default. NULL is larger than any non-NULL value. Ties: order is implementation-dependent.

ORDER BY establishes a well-defined row order that is **local** to the current (sub)query:

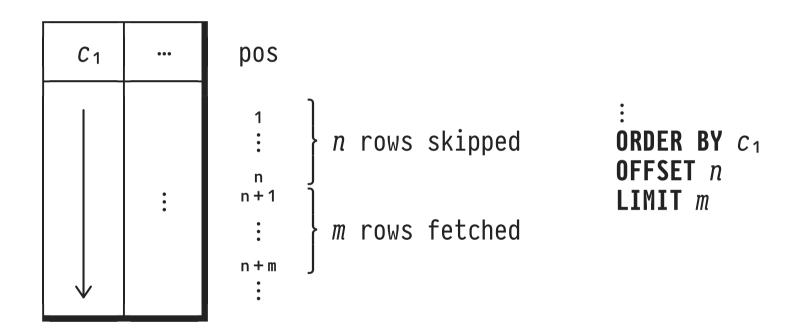
```
may yield rows in any order

SELECT t1.*
FROM (SELECT t2.*
FROM T AS t2
ORDER BY t2.a) AS t1;

guaranteed row order
inside the subquery only
```

- Never rely on row orders that appear consistent across runs—may vary between DBMSs, presence of indexes, etc.
- Q: What, then, is such local row order good for?

Once row order has been established it makes sense to "skip to the nth row" or "fetch the next m rows."



- OFFSET 0: read from the start. LIMIT ALL: fetch all rows.
- Alternative syntax: FETCH [FIRST | NEXT] m ROWS ONLY.

# 9 Identify Particular Rows Among Peers (DISTINCT ON)

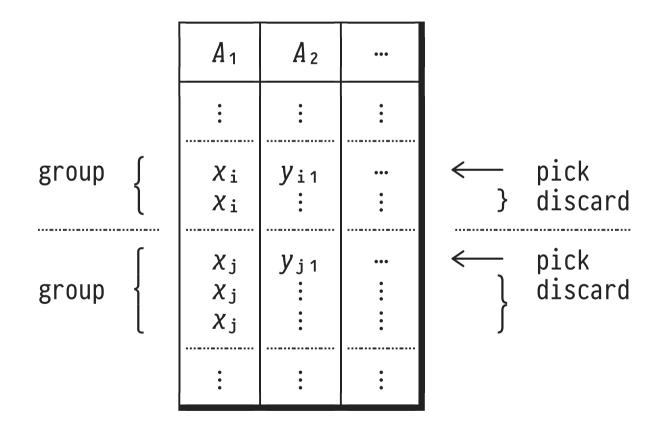
Extract the first row among a group of equivalent rows:

```
prefix of ORDER BY clause SELECT DISTINCT ON (e_1, ..., e_n) (c_1, ..., c_k) -- 2 FROM ... ORDER BY (e_1, ..., e_n) (e_1, ..., e_n) (e_1, ..., e_n) -- 3
```

- 1. Sort rows in  $e_1$ , ...,  $e_n$ ,  $e_{n+1}$ , ...,  $e_m$  order.
- 2. Rows with identical  $e_1$ , ...,  $e_n$  values form one group.
- 3. From each of these groups, pick the first row in  $e_{n+1}$ , ...,  $e_m$  order.
- ! Without ORDER BY, step 3 picks any row in each group.

# DISTINCT ON: Group, Then Pick First in Each Group

SELECT DISTINCT ON  $(A_1)$  ... -- For each  $A_1$ , pick the row ... FROM ... ORDER BY  $A_1$ ,  $A_2$  DESC -- ... with the largest  $A_2$ 



## DISTINCT: Table-Wide Duplicate Removal

Keep only a single row from each group of duplicates:

- True duplicate removal: rows are considered identical if they agree on **all** k columns  $c_{i}$ .
- Row order is irrelevant. DISTINCT returns a set of rows.
- May use SELECT ALL ... to explicitly document that a query is expected to return duplicate rows.

<sup>&</sup>lt;sup>4</sup> This is equivalent to SELECT DISTINCT ON  $(c_1,...,c_k)$   $c_1,...,c_k$  FROM ....

# 10 | Summarizing Values: Aggregates

**Aggregate functions** (short: aggregates) reduce a collection of values to a single value (think summation, maximum).

• Simplest form: collection ≡ entire table:

```
SELECT agg_1(e_1) AS c_1, ..., agg_n(e_n) AS c_n FROM ...
```

- Reduction of input rows: result table will have one row.
- Cannot mix aggregates with non-aggregate expression *e* in a SELECT clause: which value of *e* should we pick?

<sup>&</sup>lt;sup>5</sup> But see GROUP BY later on.

```
SELECT agg(e) AS c — e will typically refer to t — range over entire table T
```

Aggregate agg defined by triple (Φ<sup>agg</sup>, z<sup>agg</sup>, ⊕<sup>agg</sup>):
 Φ<sup>agg</sup> (empty): aggregate of the empty value collection
 z<sup>agg</sup> (zero): aggregate value initialiser
 ⊕<sup>agg</sup> (merge): add value to existing aggregate

```
a \leftarrow \phi^{agg} -- a will be aggregate value

for t in T -- iterate over all rows of T

x \leftarrow e(t) -- value to be aggregated

if x \neq \text{NULL} -- aggregates ignore NULL values (x)

a \leftarrow \phi^{agg} -- once we see first non-NULL value:

a \leftarrow \phi^{agg} -- initialize aggregate

a \leftarrow \phi^{agg} -- maintain running aggregate
```

# Aggregate Functions: Semantics

Aggregate agg	φagg	Z <sup>agg</sup>	$\bigoplus$ agg(a, $\chi$ )
COUNT	0	0	a + 1
SUM	$NULL^6$	0	a + x
AVG <sup>7</sup>	NULL	<0, 0>	(a.1 + x, a.2 + 1)
MAX	NULL	-∞	$\max_{2}(a, x)$
MIN	NULL	+∞	$\min_{2}(a, x)$
bool_and	NULL	true	$a \wedge x$
bool_or	NULL	false	$a \vee x$
•	:	•	•

• The special form COUNT(\*) counts rows regardless of their fields' contents (NULL, in particular).

<sup>&</sup>lt;sup>6</sup> If you think "this is wrong," we're two already. Possible upside: sum differentiates between summation over an empty collection vs. a collection of all 0s.

<sup>&</sup>lt;sup>7</sup> Returns a.1 / a.2 as final aggregate value.

## Aggregate Functions on Table T

#rows	#d		max(b)		
_5	4	100	'y'	false	true
		p	≡ true		

#rows	#d	Σd	max(b)	Уc	0E=bE
0	0	NULL	NULL	NULL	NULL

$$p \equiv false$$

#### Ordered Aggregates

- For most aggregates agg, merge ⊕agg is commutative (and associative): row order does not matter.
- Order-sensitive aggregates admit a trailing ORDER BY  $e_1$ , ...,  $e_n$  argument that defines row order:

```
cast to text separator string

SELECT string_agg(t.a :: text, ',' ORDER BY t.d) AS "all a"

FROM T AS t
```

all a '1,4,3,2,5'

 $<sup>^{8}</sup>$   $\oplus$  string-agg essentially is || (string concatenation) which is not commutative.

## Filtered and Unique Aggregates

```
SELECT agg(e) FILTER (WHERE p)
FROM ...
```

• FILTER clause alters aggregate semantics (see \*):

```
:

x ← e(t)

if x ≠ NULL ∧ p(x):

:
```

```
SELECT agg(DISTINCT e)
FROM ...
```

Aggregates distinct (non-NULL) values of expression e.
 (May use ALL to flag that duplicates are expected.)

# 11 Forming Groups of Rows

Once FROM has generated row bindings, SQL clauses operate row-by-row. After GROUP BY: operate group-by-group:

```
      SELECT e<sub>1</sub>, ..., e<sub>m</sub>
      -- 5

      FROM ...
      -- 1

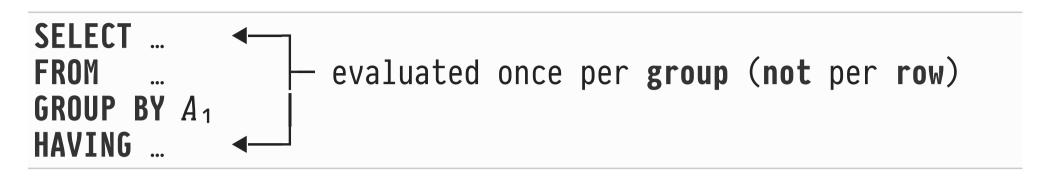
      WHERE ...
      -- 2

      GROUP BY g<sub>1</sub>, ..., g<sub>n</sub>
      -- 3

      HAVING p
      -- 4
```

- All rows that agree on all expressions g<sub>i</sub> (the set of grouping criteria) form one group.
- $\Rightarrow$  Steps 4 and 5 process groups (not individual rows). This affects expressions p and the  $e_j$ .

#### **GROUP BY Partitions Rows**



	A <sub>1</sub>	A 2	•••
	•	•	:
the $x_i$ group {	<i>X</i> i	<i>y</i> <sub>i1</sub>	:
the $x_j$ group $\left\{ \begin{array}{c} \end{array} \right.$	Х <sub>ј</sub> Хј	Уј1 Уј2	:
	•	•	•

Grouping partitions the row bindings:

- there are no empty groups
- each row belongs to exactly one group

## **GROUP BY Changes Field Types From** $\tau$ **To bag** $(\tau)$ <sup>9</sup>

```
SELECT t.b, t.d FROM T AS t GROUP BY t.b

SELECT the(t.b) AS b, SUM(t.d) AS "Σd"

FROM T AS t GROUP BY t.b
```

- t.d references current group of d values: violates 1NF!
   ⇒ After GROUP BY: must use aggregates on field values.
- t.b references current group of b values all of which are
   equal in a group ⇒ SQL: using just t.b is OK.
- (\* May think of hypothetical aggregate the(e) that picks one among equal e values.)

<sup>&</sup>lt;sup>9</sup> A view of GROUP BY that is due to Philip Wadler.

#### Aggregates are Evaluated Once Per Group

group	size	Σd	∀even(a)	all a
' X '	3	40	false	'1;3;5'
'y'	2	60	true	'2;4'

 HAVING p acts like WHERE but after grouping: p = false discards groups (not rows).

### Grouping Criteria

- The grouping criteria g<sub>i</sub> form a set—order is irrelevant.
- Grouping on a **key** effectively puts each row in its own singleton group. (Typically a query smell .)
- Expressions e that are functionally dependent on the gi are constant within a group (and thus can be used in SELECT).
  - $\circ$  If SQL does not know about the FD, explicitly add e to the set of  $g_i$ —this will not affect the grouping.

### 12 | Bag and Set Operations

Tables contain **bags of rows.** SQL provides the common family of binary **bag operations** (no row order):

```
q_1 UNION ALL q_2 -- U<sup>+</sup> (bag union) q_1 INTERSECT ALL q_2 -- N<sup>+</sup> (bag intersection) q_1 EXCEPT ALL q_2 -- \<sup>+</sup> (bag difference)
```

- Row types (width, field types) of the  $q_i$  must match.
- With ALL, row multiplicaties are respected: if row r occurs  $n_i$  times in  $q_i$ , r will occur  $\max(n_1-n_2,0)$  times in  $q_1$  EXCEPT ALL  $q_2$  (INTERSECT ALL:  $\min(n_1,n_2)$ ).
  - Without ALL: obtain set semantics (no duplicates).

#### 13 | Multi-Dimensional Data

- Relational representation of *measures* (*facts*) depending on multiple parameters (*dimensions*).
- Example: table prehistoric with dimensions class, herbivore?, legs, fact species:

<u>class</u>	<u>herbivore?</u>	<u>legs</u>	species
'mammalia'	true	2	'Megatherium'
'mammalia'	true	4	'Paraceratherium'
'mammalia'	false	2	NULL
'mammalia'	false	4	'Sabretooth'
'reptilia'	true	2	'Iguanodon' 'Brachiosaurus'
'reptilia'	true	4	'Brachiosaurus'
'reptilia'	false	2	'Velociraptor'
'reptilia'	false	4	NULL

Table prehistoric

#### Multiple GROUP BYs: GROUPING SETS

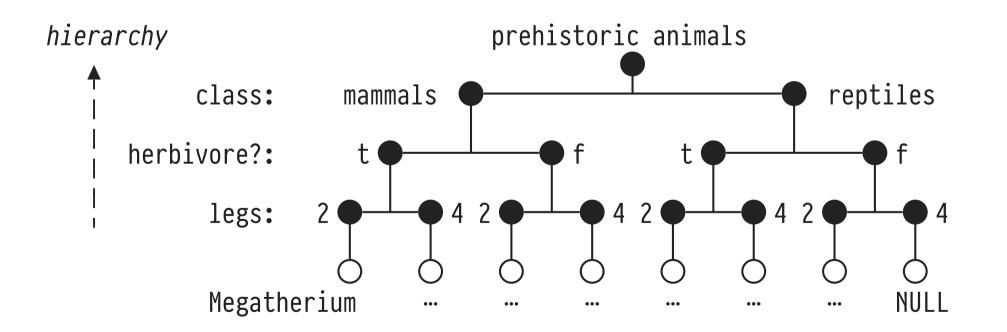
- Analyze (here: group, then aggregate) table T along multiple dimensions ⇒ perform separate GROUP BYs on each relevant dimension:
- SQL syntactic sugar:

```
SELECT e_1, ..., e_m
FROM T
GROUP BY GROUPING SETS (G_1, \ldots, G_n)
-- G_i: grouping criteria sets in (\cdots)
```

Yields n GROUP BY queries q<sub>i</sub>, glued together by
 UNION ALL. If non-aggregate e<sub>i</sub> ∉ G<sub>i</sub>, e<sub>i</sub> ≡ NULL in q<sub>i</sub>.

• Group along a path from any node  $G_n$  up to the root:

ROLLUP 
$$(G_1,...,G_n) \equiv GROUPING SETS ((G_1,...,G_{n-1},G_n) | hierarchy , (G_1), ..., (G_1), ..., (G_1), ..., (G_1), ...$$



### Analyze All Dimension Combinations: CUBE

• = slice for herbivore? = true

herbivore? — true

false

mam rep

class

CUBE 
$$(G_1, ..., G_n) \equiv GROUPING SETS ((G_1, ..., G_n))$$
 all  $2^n$  subsets  $(G_1, ..., G_n)$  all  $2^n$  considered

## 14 | SQL Evaluation vs. Reading Order

```
SELECT DISTINCT ON (es 7) es 8, aggs 6
FROM
   qs
WHERE
GROUP BY es
HAVING p
 ORDER BY es
OFFSET
ITMIT
```

### Query Nesting and (Non-)Readability

```
SELECT ...

FROM (SELECT ...

FROM ...

FROM ...

: ) AS descriptive

: ) AS ...

:
```

- The more complex the query and the more useful the descriptive name becomes, the deeper it is buried.  $\heartsuit$
- Query is a syntactic monolith. Tough to develop a query in stages/phases and assess the correctness of its parts.

### 15 The let...in of SQL: WITH (Common Table Expressions)

Use **common table expressions (CTEs)** to bind table names before they are used, potentially multiple times:

```
 \begin{array}{c} \textbf{WITH} \\ T_1(c_{11},...,c_{1,k1}) \ \textbf{AS} \ (\\ q_1 \ ), \\ \vdots \\ T_n(c_{n1},...,c_{n,kn}) \ \textbf{AS} \ (\\ q_n \ ) \end{array} \right\} \begin{array}{c} \text{Query } q_i \ \text{may refer to} \\ \text{tables } T_1, \ ..., \ T_{i-1} \\ q \ \text{may refer to all tables } T_i \end{array}
```

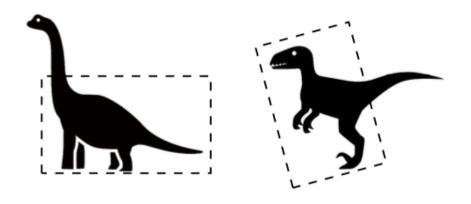
- "Literate SQL": Reading and writing order coincide.
- Think of let  $T_1 = q_1$ , ...  $T_n = q_n$  in q in your favorite FP language. The  $T_i$  are undefined outside WITH.

- 1. **Define queries in stages**, intermediate results in tables  $T_i$ . May use  $q = TABLE T_i^{10}$  to debug stage i.
- 2. Bundle a query with test data:

<sup>&</sup>lt;sup>10</sup> Syntactic sugar for SELECT t.\* FROM  $T_i$  AS t.

## 16 Use Case: WITH (Dinosaur Body Shapes)

Paleontology: dinosaur body shape (height/length ratio) and form of locomotion (using 2 or 4 legs) correlate:



 Use this correlation to infer bipedality (quadropedality) in incomplete dinosaur data sets:

<u>species</u>	height	length	legs
Gallimimus	2.4	5.5	?

# Dinosaur Body Shapes

<u>species</u>	height	length	legs
Ceratosaurus	4.0	6.1	2
Deinonychus	1.5	2.7	2
Microvenator	0.8	1.2	2
Plateosaurus	2.1	7.9	2
Spinosaurus	2.4	12.2	2 2 2 2
Tyrannosaurus	7.0	15.2	2
Velociraptor	0.6	1.8	2
Apatosaurus	2.2	22.9	4
Brachiosaurus	7.6	30.5	4
Diplodocus	3.6	27.1	4
Supersaurus	10.0	30.5	4
Albertosaurus	4.6	9.1	NULL
Argentinosaurus	10.7	36.6	NULL
Compsognathus	0.6	0.9	NULL
Gallimimus	2.4	5.5	NULL
Mamenchisaurus	5.3	21.0	NULL
Oviraptor	0.9	1.5	NULL
Ultrasaurus	8.1	30.5	NULL

Table dinosaurs

# Dinosaur Body Shapes

```
WITH
bodies(legs, shape) AS (
    SELECT d.legs, AVG(d.height / d.length) AS shape
    FROM dinosaurs AS d
    WHERE d.legs IS NOT NULL
    GROUP BY d.legs
)
:
```

<u>legs</u>	shape
2	0.447
4	0.201

Transient Table bodies

# Dinosaur Body Shapes

#### • Query Plan: 11

- 0. Assume average body shapes in bodies are available
- 1. Iterate over all dinosaurs d:
  - $\blacksquare$  If locomotion for d is known, output d as is
  - If locomotion for d is unknown:
    - Compute body shape for d
    - Find the shape entry b in bodies that matches d's shape the closest
    - Use the locomotion (column legs) in b to complete d, output completed d

<sup>&</sup>lt;sup>11</sup> In this course, *query plan* refers to a "plan of attack" for a query problem, not EXPLAIN output.