

# DATABASE MANAGEMENT SYSTEMS (Creadits 3)

MSc. Luong Tran Ngoc Khiet May - 2021

#### Course content



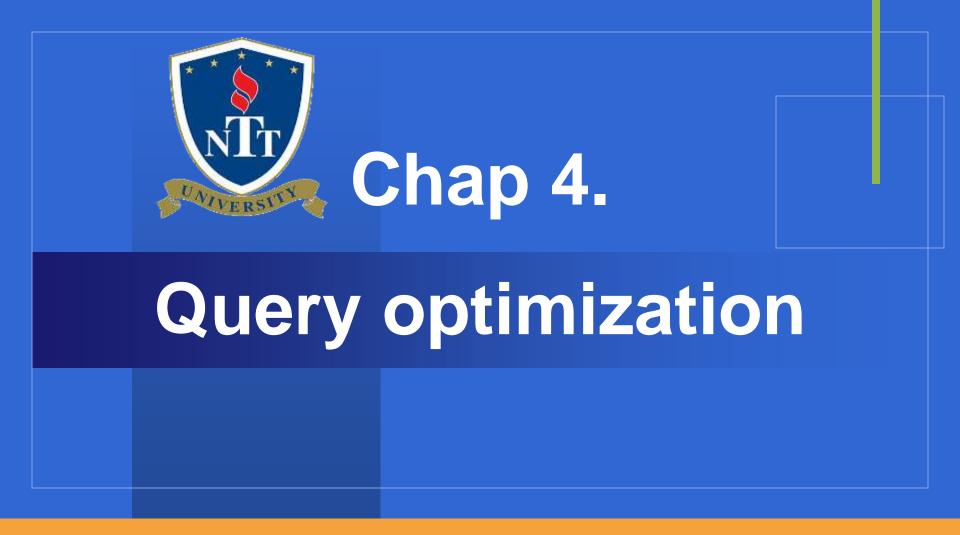
Chap 1. Overview

Chap 2. Data storage management

Chap 3. Programming with Cursors

**Chap 4. Query optimization** 

Chap 5. Continuous transaction processing



MSc. Luong Tran Ngoc Khiet

NTT Institute of International Education (NIIE)

# Target - Content

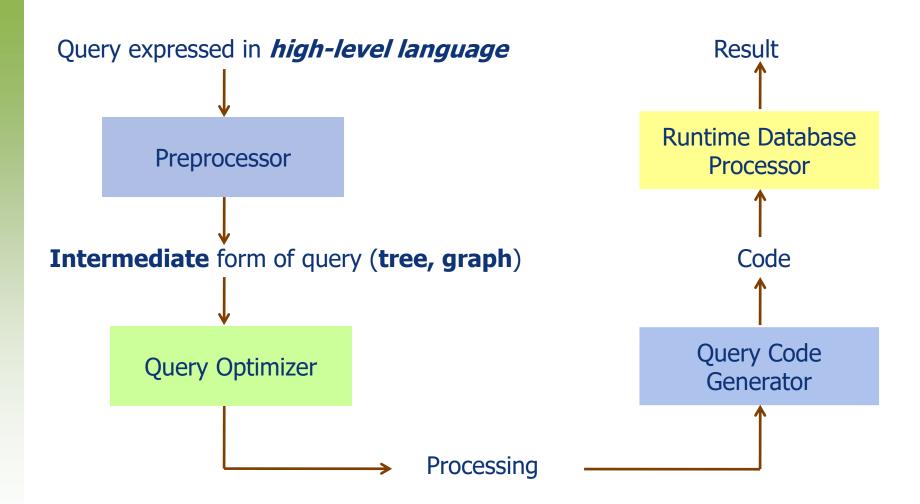


Understand the process of executing queries

Build queries effectively

- 1. Query execution process
- 2. Preprocess the query
- 3. Transform the query
- 4. Optimize the query







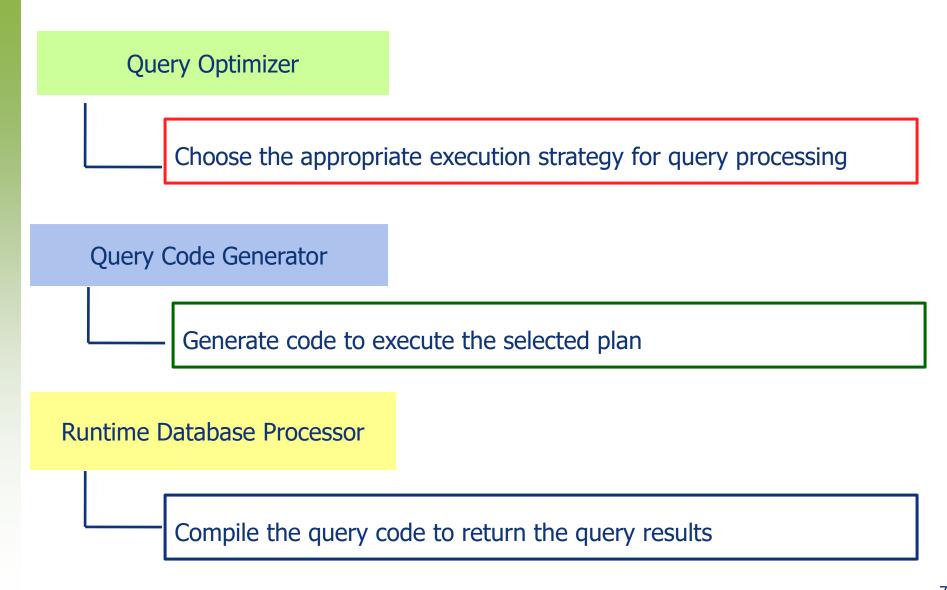
#### Preprocessor

**Scanning:** Identify keywords, attribute names, relationship names, etc.

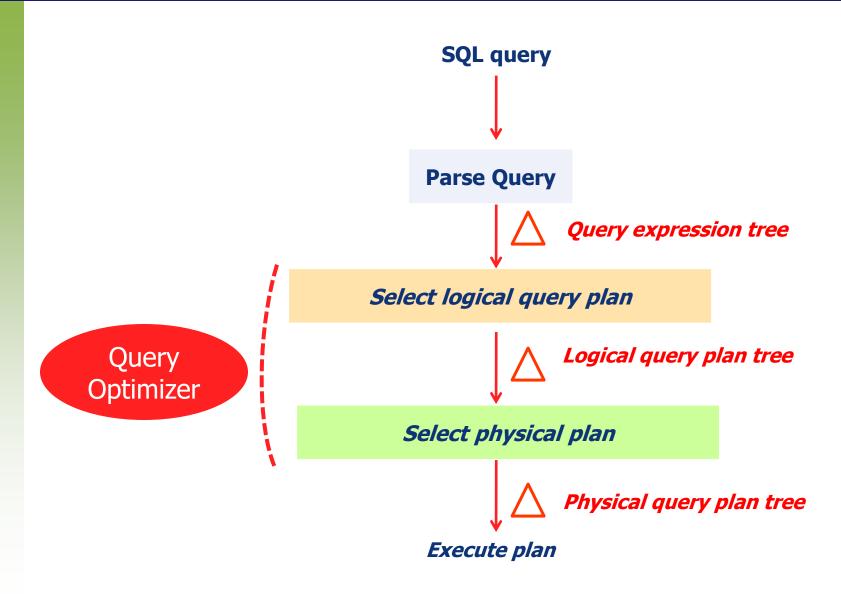
**Parsing:** Check language syntax, Parse Tree representation

*Validating*: Check semantics: relationships, attributes, data types









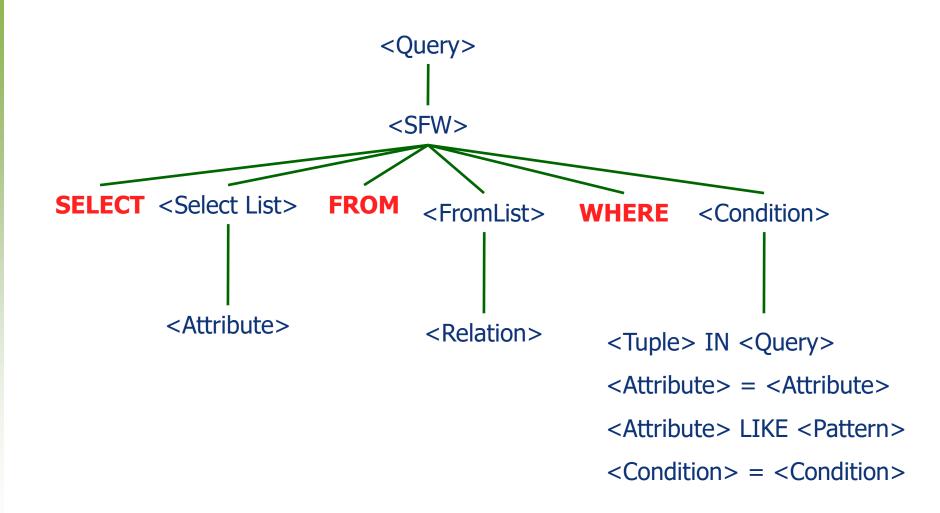
#### Content



- 1. Query execution process
- 2. Preprocess the query
- 3. Transform the query
- 4. Optimize the query

# 2. Preprocess the query





# 2. Preprocess the query



NHANVIEN (manv, tennv, ngaysinh, phai, luong) THAMGIA (mada, manv, ngaybd, ngaykt)

\_\_\_\_\_\_

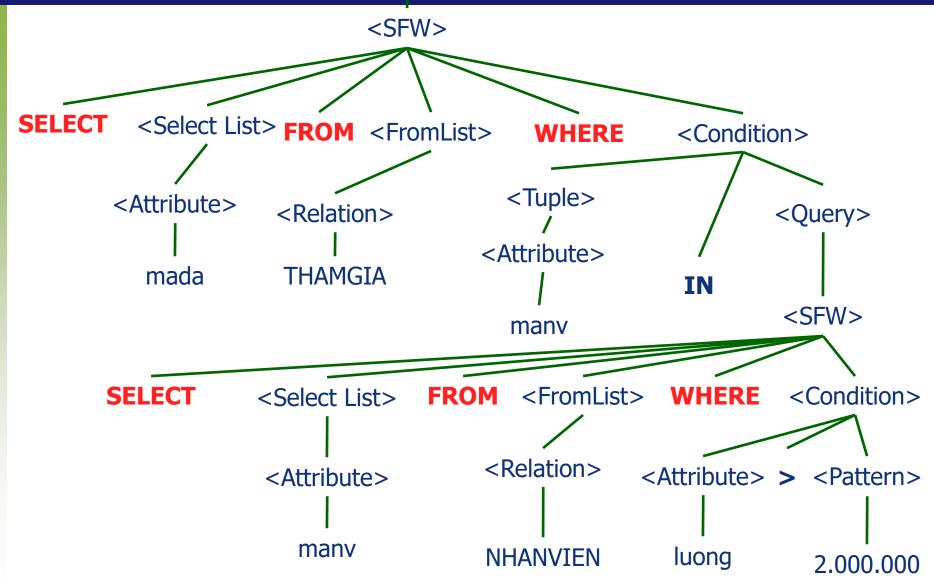
List project codes for which employees participating with salary >2,000,000

SELECT mada FROM THAMGIA
WHERE manv IN (
SELECT manv FROM NHANVIEN
WHERE luong > '2.000.000')

**Query expression tree** 

#### <Query>





#### Content



- 1. Query execution process
- 2. Preprocess the query
- 3. Transform the query
  - 3.1 Convert from SQL to Relational Algebra
  - 3.2 Equivalent transformation rules in Relational Algebra
- 4. Optimize the query

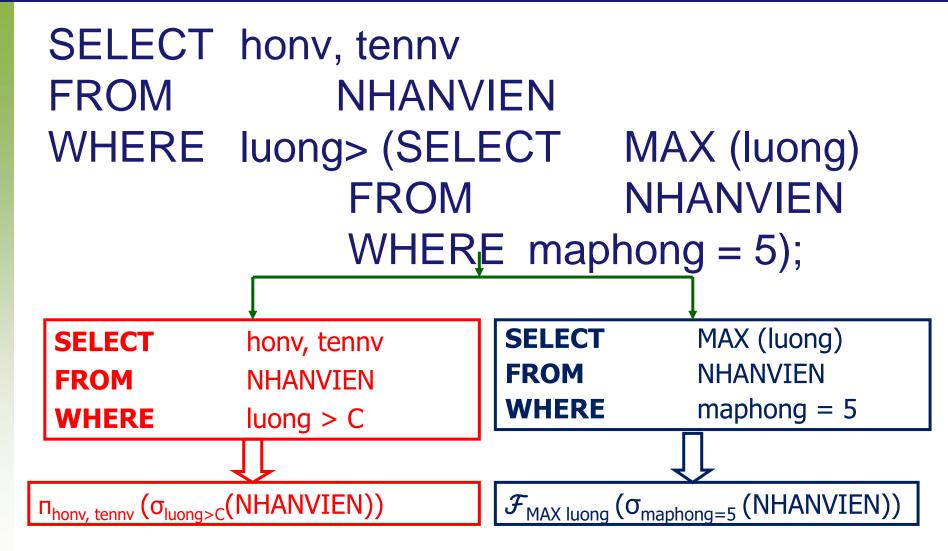
# 3.1 Convert from SQL to Relational Algebra



- Query block: SELECT-FROM-WHERE-GROUP BY-HAVING unit query block used to switch to Relational Algebra
- Nested query: split into command blocks into unit query blocks (query blocks)

# 3.1 Convert from SQL to Relational Algebra





#### Content



- 1. Query execution process
- 2. Preprocess the query
- 3. Transform the query
  - 3.1 Convert from SQL to Relational Algebra
  - 3.2 Equivalent transformation rules in Relational Algebra
- 4. Optimize the query



#### R1: Handling AND operators in conditions

$$\sigma_{c1ANDc2...ANDcn}(R) \equiv \sigma_{c1}(\sigma_{c2}(...\sigma_{cn}(R))...)$$

#### NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)



R2: Change the order of selections

$$\sigma_{c1}(\sigma_{c2}(R)) \equiv \sigma_{c2}(\sigma_{c1}(R))$$

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)



#### R3: Handling projections

$$\pi_{}(\pi_{}(...\pi_{}(R))...) \equiv \pi_{}(R)$$

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

 $\pi$  manv, honv, tennv ( $\pi$  manv, honv, tennv, ngaysinh (NHANVIEN))

π many, hony, tenny (NHANVIEN)



#### R4: Change the order of selections and projections

$$\pi_{A1,A2,...,An}(\sigma_c(R)) \equiv \sigma_c(\pi_{A1,A2,...,An}(R))$$

Nếu như c ⊂ [A1...An]

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

π manv, honv, tennv, phai (σ<sub>phai = 'NAM'</sub> (NHANVIEN))

σ<sub>phai= 'NAM'</sub>(π manv, honv, tennv, phai (NHANVIEN))



R5: Commutative properties of natural join and Cartesian join

$$(R \bowtie_C S) = (S \bowtie_C R) \qquad (R \times S) = (S \times R)$$

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

PHONGBAN (maphong, tenphong, maql)

(NHANVIEN M PHONGBAN)

NV.maphong= PB.maphong

(PHONGBAN M NHANVIEN)

**NV.maphong= PB.maphong** 



R6a: Change the order between selection and union

$$\sigma_c(R) \leq S) \equiv (\sigma_c(R)) \leq S$$
N\text{\text{\text{e}}} \text{nhur} \text{c} \subseteq R \text{(hay} \text{c} \supseteq S)

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

PHONGBAN (maphong, tenphong, maql)



R6b: Distribution between selection and combination

$$\sigma_c(R \bowtie S) \equiv (\sigma_{c_1}(R)) \bowtie (\sigma_{c_2}(S))$$

Nếu c = c1 and c2,  $(c1 \in R \text{ và } c2 \in S)$ 

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

PHONGBAN (maphong, tenphong, maql)



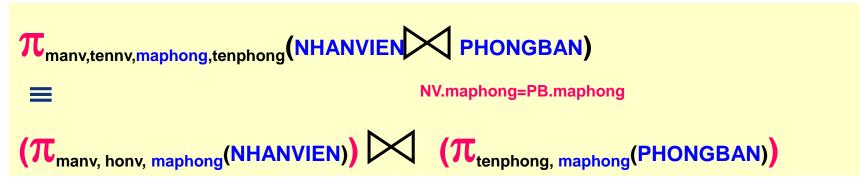
#### R7a: Distribution between projection and conjunction

$$\prod_{L} (R \bowtie_{C} S) \equiv (\prod_{A_{1}, A_{2}, A_{3}, \dots A_{N}} (R)) \bowtie_{C} (\prod_{B_{1}, B_{2}, B_{3}, \dots B_{M}} (S))$$

$$L = \{A_{1}, \dots, A_{N}, B_{1}, \dots, B_{M}\}; R (A_{1}, \dots, A_{N}); S (B_{1}, \dots, B_{M}) \ V \text{ or } c \subset L$$

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

#### PHONGBAN (maphong, tenphong, maql)



NV.maphong=PB.maphong



#### R7b: Distribution between projection and conjunction

$$\prod_{L} (R \bowtie_{C} S) \equiv (\prod_{A_{1}, A_{2}, A_{3}, \dots A_{N}, A_{N+1} A_{N+2} \dots A_{N+K}} (R)) \bowtie_{C} (\prod_{B_{1}, B_{2}, B_{3}, \dots B_{M} B_{M+1} B_{M+2} \dots B_{M+P}} (S))$$

Với c  $\not\subset$  L, R(A<sub>1</sub>,...,A<sub>N</sub>, A<sub>N+1</sub>,... A<sub>N+K</sub>) S(B<sub>1</sub>,...,B<sub>M</sub>, B<sub>M+1</sub>,...,B<sub>M+P</sub>)

NHANVIEN (manv, honv, tennv, ngaysinh, phai, luong, maphong)

PHONGBAN (maphong, tenphong, maql)

 $(\pi_{\text{manv, tennv, maphong}}(\text{NHANVIEN}))$   $(\pi_{\text{tenphong, maphong}}(\text{PHONGBAN}))$ 

NV.maphong=PB.maphong



#### R8: Commutation of union and intersection

$$R \cup S \equiv S \cup R$$
$$R \cap S \equiv S \cap R$$



R9: Combination of nature join, Cartesian join, union and intersection

$$(R \theta S) \theta T = R \theta (S \theta T)$$



R10: Distribution of selection over operations

$$\sigma_c(R \theta S) = (\sigma_c(R)) \theta (\sigma_c(S))$$

Which  $\theta$  is one of the operations  $\cap_{i} \cup_{j} -$ 



R11: Distribution of projection with respect to mathematical operations

Which  $\theta$  is one of the operations  $\cap$ ,  $\cup$ , -

$$\prod_{L} (R \theta S) = (\prod_{L} (R)) \theta (\prod_{L} (S))$$



R12: Convert math operations ( $\sigma$ , ×) become a join

$$\sigma_c(R \times S) = R \bowtie_c S$$

#### De Morgan:

c = NOT (c1 AND c2) = NOT (c1) OR NOT (c2)

$$c \equiv NOT (c1 OR c2) \equiv NOT (c1) AND NOT (c2)$$

#### Content



- 1. Query execution process
- 2. Preprocess the query
- 3. Transform the query
- 4. Optimize the query
  - 4.1 Heuristic algorithm
  - 4.2 Cost estimation



- 1. Apply **R1**, splits multiple selections into a sequence of selections.
- 2. Apply **R2**, **R4**, **R6** and **R10**, to push the selection as deep as possible
- 3. Apply **R9** to reorganize the syntax tree so that the selection is made most profitable (least select) → heuristic
- 4. Combine the Cartesian join and the appropriate projections that follow
- 5. Apply **R3**, **R4**, **R7** and **R11** to push the projection down as deep as possible (new projection may arise)
- 6. Focus on selections
- 7. Apply **R3** to remove useless projections



List full name NHANVIEN born after 1960 and working on project 'ABC'

#### **SQL**

**SELECT** honv, tennv

FROM NHANVIEN NV, DEAN DA, THAMGIA TG

WHERE mada='ABC' AND NV.manv=TG.manv AND

DA.mada=TG.mada AND ngaysinh> '31-12-1960'

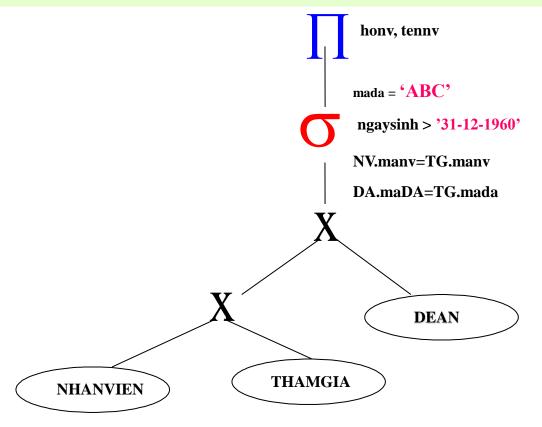
#### Relational algebra

honv, tennv mada = 'ABC' ngaysinh '31-12-1960' NV.manv=TG.manv \ DA.mada=TG.mada

(NHANVIEN x DEAN x THAMGIA))

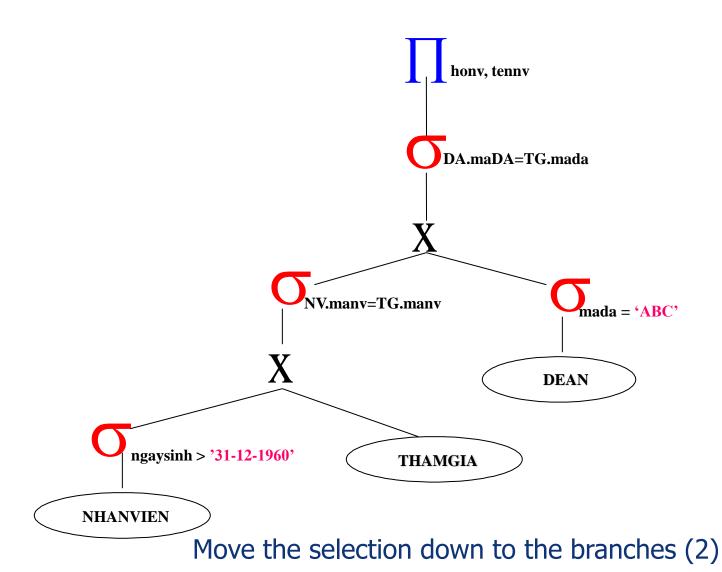


 $\Pi_{\text{honv, tennv}}$  (  $\sigma_{\text{mada}} = \text{`ABC'} \land \text{ngaysinh} > \text{`31-12-1960'} \land \text{NV.manv} = \text{TG.manv} \land \text{DA.mada} = \text{TG.mada}$  (NHANVIEN x DEAN x THAMGIA))

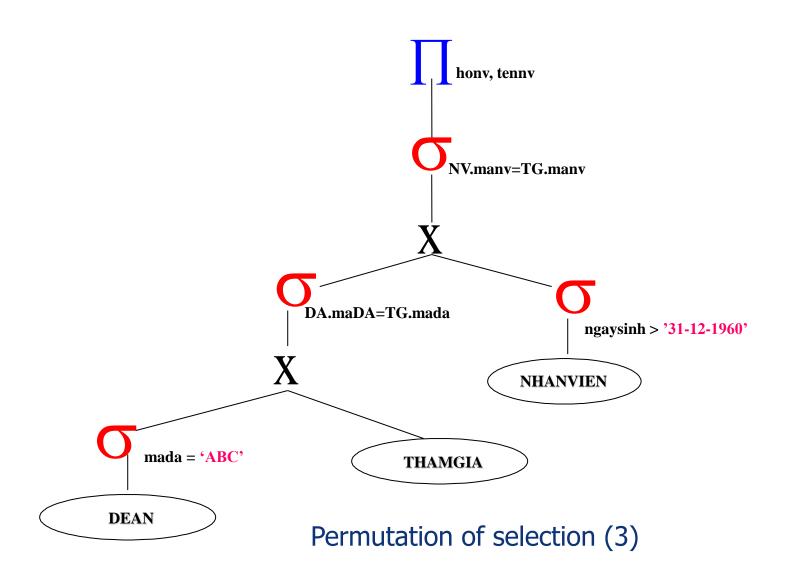


Tree representing query expressions (1)



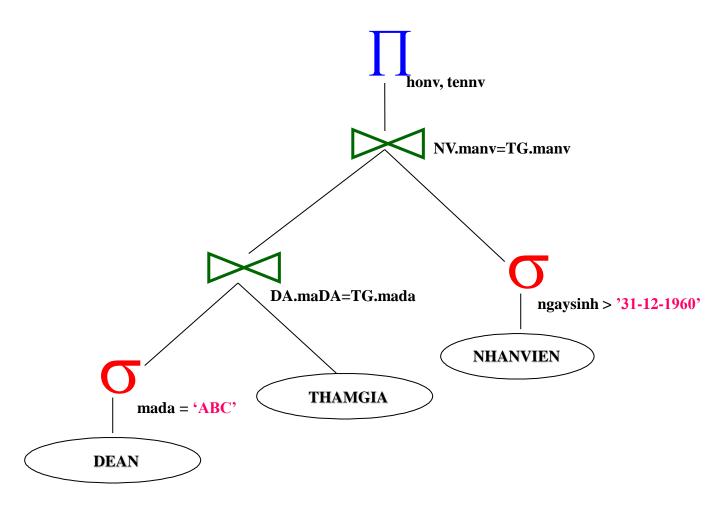






# 4.1 Heuristic algorithm

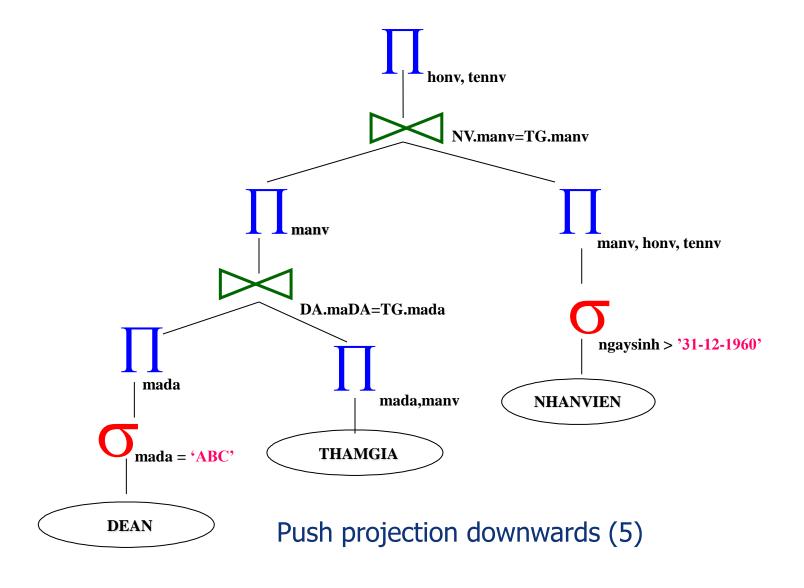




Replace Cartesian products and selections with conjunctions (4)

# 4.1 Heuristic algorithm





# 4.1 Heuristic algorithm



#### Relational algebra

```
\Pi_{\text{honv,tennv}}((\pi_{\text{mada}}(\sigma_{\text{mada}} + \Delta_{\text{BC'}}(DEAN)))) \bowtie (\pi_{\text{mada, manv}}(THAMGIA))
DA.mada = TG.mada
NV.manv = TG.manv (\pi_{\text{manv,honv,tennv}}(\sigma_{\text{ngaysinh}}) > 31-12-1960' (NHANVIEN))))
```

#### **SQL**

```
SELECT honv, tennv
FROM

(SELECT mada FROM DEAN
WHERE mada = 'ABC') AS DA INNER JOIN
(SELECT mada, manv FROM THAMGIA) AS TG
ON DA.mada=TG.mada INNER JOIN
(SELECT manv, honv, tennv FROM NHANVIEN WHERE ngaysinh> '31-12-1960' ) NV
ON NV.manv=TG.manv
```



Given the following database schema:

- •SVIEN (MASV, TENSV, NAM, MAKHOA)
- •HPHAN (MAHP, MAMH, HOCKY, NAM, GV)
- •KQUA (MASV, MAHP, DIEM)

Use heuristic algorithms to optimize query execution

«List student names, course codes, and student scores in semester 1, school year 2013»

 $\Pi_{\mathsf{TENSV},\,\mathsf{MAMH},\,\mathsf{DIEM}}$ 

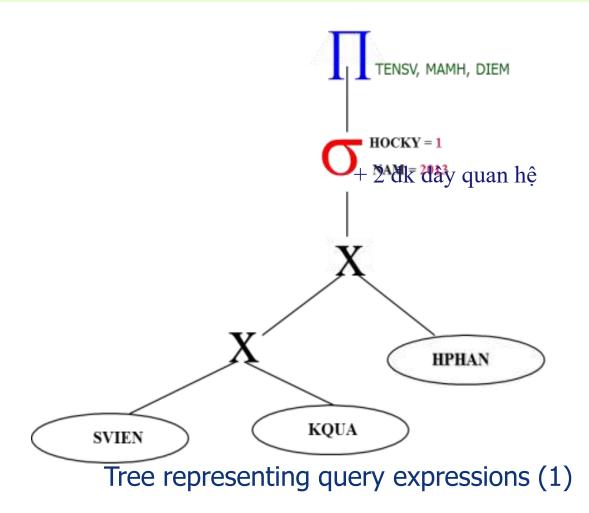
THOCKY = 1 ∧ NAM=2013 ∧ relationship wire conditions

(SVIEN x KQUA x HPHAN))

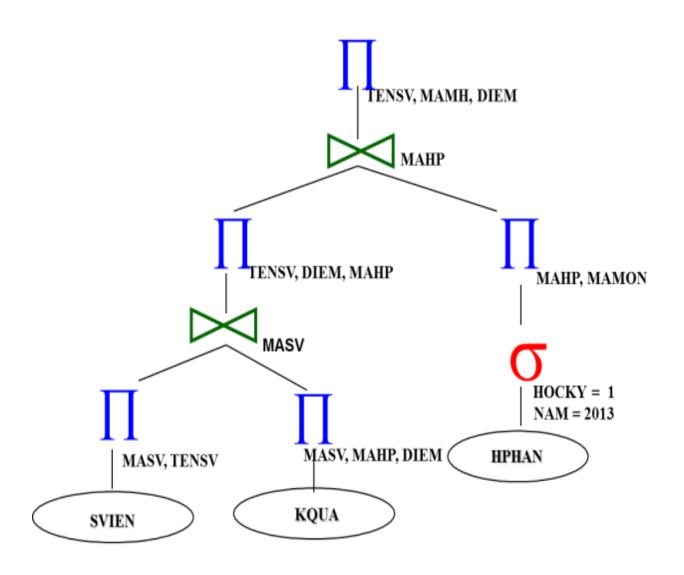


 $\Pi_{\mathsf{TENSV},\,\mathsf{MAMH},\,\mathsf{DIEM}}$ 

 $\sigma_{HOCKY = 1 \land NAM=2013}$  (SVIEN x KQUA x HPHAN))









SELECT A. TENSV, B. DIEM, C. MAMH FROM (SELECT TENSV, DIEM, MAHP FROM (SELECT MASV, TENSV FROM SVIEN) A JOIN (SELECT MASV, MAHP, TENSV, MAMH, DIEM DIEM FROM KQUA) B MAHP ON A.MASV=B.MASV )) C JOIN (SELECT MAHP, MAMH TENSV, DIEM, MAHP FROM HPHAN MAHP, MAMON WHERE HOCKY=1 AND MASV NAM=2013) D HOCKY = 1ON C.MAHP=D.MAHP NAM = 2013MASV, MAHP, DIEM HPHAN MASV, TENSV KQUA SVIEN



Given the following database schema:

CAUTHU(MACT, TENCT, MACLB, NGAYSINH)

CLB(MACLB, TENCLB, SOLUONGCT)

Write the query 'List the player ID (MACT), player name (TENCT), date of birth (NGAYSINH) belonging to the club with the number of players (SOLUONGCT) less than 12 players'.

Optimize the execution of the above query using the heuristic algorithm.



Given the following database schema:

CAUTHU(<u>MACT</u>, TENCT, *MACLB*, NGAYSINH)

CLB(MACLB, TENCLB, SOLUONGCT)

Write the query 'List the player ID (MACT), player name (TENCT), date of birth (NGAYSINH) belonging to the club with the number of players (SOLUONGCT) less than 12 players'.

SELECT A.MACT, A.TENCT, A.NGAYSINH
FROM (SELECT MACT,TENCT, NGAYSINH, MACLB
FROM CAUTHU) A
JOIN
(SELECT MACLB,SOLUONGCT
FROM CLB WHERE SOLUONGCT<12) B
ON A.MACLB=B.MACLB

#### Content



- 1. Query execution process
- 2. Preprocess the query
- 3. Transform the query
- 4. Optimize the query
  - 4.1 Heuristic algorithm
  - 4.2 Cost estimation
    - 4.2.1 Cost function for Select
    - 4.2.2 Cost function for Join

#### 4.2 Cost estimation



Compare costs between query execution options: choose the one with the lowest cost

Secondary storage costs Storage costs Calculation costs Cost of memory usage Communication costs

#### 4.2 Cost estimation



#### • File size parameters

#### **NHANVIEN**

manv	tenv	phai	hsl
NV01	An	Nam	1.5
NV02	Bình	Nam	1.5
NV03	Dung	Nữ	3
NV04	Duyên	Nữ	2.5

manv: char (20)

tennv: nvarchar (50)

phai: nvarchar (10)

hsl (hệ số lương): double

- •Number of records in the table (tuples): T(R)
- Size of 1 piece of records: S(R)
- •Total number of blocks containing all tuples: b
- •Number of records in 1 block: bfr
- ■Number of different values of attribute A (size of value domain): V(R,A)

# Sample



2	Α	В	С	D
	X	1	10	а
	X	1	20	b
	У	1	30	а
	У	1	40	С
	Z	1	50	d

A: character 20 bytes

B: integer 4 bytes

C: date 8 bytes

D: character 68 bytes

1 block = 1024 bytes (block header: 24 bytes)

$$T(R) = 5$$
  $V(R, A) = 3$   $V(R, B) = 1$   
 $S(R) = 100*$   $V(R, C) = 5$   $V(R, D) = 4$   
 $B(R) = 1$ 

# Example exercises:



#### For relations R(a,b,c)

With: a,b integer 4 Bytes

c string 100 Bytes

Header of each set is 12 Bytes

1 Block 1024 Bytes

Block Header 24 Bytes

Record number of the table T(R) = 10000

Calculate number of records in 1 block?

Number of Blocks needed to store 10,000 records?

Calculate the minimum file size that can contain the above number of records?

## Example exercises:



For relations R(a,b,c) with:

a,b integer 4 Bytes; c string

100 Bytes

Header of each set is 12 Bytes

1 Block

1024 Bytes

**Block Header** 

24 Bytes

Calculate number of records in 1 block?

bfr= 1000/120 ≈ 8 records

Number of Blocks needed to store 10,000 records

 $B(R) = 10\ 000/8 = 1250\ (blocks)$ 

What is the minimum file size that can hold the above number of records? (1250\*1024) Bytes

## Example exercises:



#### For relations R(a,b,c)

With: a,b integer 4 Bytes

c string 100 Bytes

Header of each set is 12 Bytes

1 Block 1024 Bytes

Block Header 24 Bytes

Record number of the table T(R) = 10000

If  $S = \prod_{a+b,c}(R)$  Calculate B(R) (Hint: 1 Tuple 116 Bytes)

If 
$$U = \prod_{a,b}(R)$$
 Calculate B(R)



#### [Ullman + 2001]

**Estimate** W=  $\sigma_{A=x}(R)$  (for condition equal =)

$$T(W) = \frac{T(R)}{V(R, A)}$$



## [Ullman + 2001]

$$\Leftrightarrow$$
 Estimate W=  $\sigma_{A>X}(R)$  (for condition >, >=, <, <=)

Cách 1 
$$T(W) = \frac{T(R)}{2}$$

Cách 2 
$$T(W) = \frac{T(R)}{3}$$



#### For example:

R (A, B, C), cost calculation S=  $\sigma_{A=10 \land B<20}$  (R)

With 
$$T(R)=10.000$$
;  $V(R,A)=50$ 

We have:

$$T(W) = \frac{T(R)}{V(R,A)} = \frac{10000}{50 \times 3}$$



[Elmasri+2003]

- The function calculates the cost for Select according to the search method P<sub>i</sub>: S<sub>i</sub>
- Block access cost calculated by function S<sub>i</sub>: C<sub>Si</sub>



#### ❖S1. Linear search

- Browse each record, and check whether the attribute value of that record meets the selection condition (not necessarily the = condition) or not.
- Complexity: O(n)



#### ❖S1. Linear search

For non-key attributes

$$C_{S1a} = b$$

For condition =, key attribute

$$C_{S1b} = (b/2)$$

especially, if no scraps are found C<sub>S1b</sub> = b



## ❖S2. Binary Search

- If the selection condition (=) on the attribute is ordered, binary search is more efficient than linear search.
- Complexity : O(log<sub>2</sub>n)



## ❖S2. Binary Search

$$C_{S2} = log_2b + [(s/bfr)] - 1$$

s: number of records that satisfy condition = on attribute  $A_k$ 

Especially for = conditions on key (or UNIQUE)attributes

$$C_{S2} = log_2 b$$



#### Example: Given a relational schema

**Nhanvien** (manv, honv, tennv, ngaysinh, gioitinh, luong, maphong)

Phongban (maphong, tenphong, ngaythanhlap, maql)

**Question:** Calculate the cost for the following query

Query:  $\sigma_{\text{maphong}>5} \wedge \sigma_{\text{manv}=\text{'NV05'}}$  (Nhanvien)

With  $r_{NV} = 10.000$  records,  $b_{NV} = 2000$  blocks



# ❖ Query: σ<sub>maphong>5 ∧ manv='NV05'</sub> (Nhanvien)

With conditional maphong>5

$$C_{S1a} = b = 2000$$

With conditional manv='NV05'

$$C_{S1a} = b/2 = 1000$$

$$C_{S2} = log_2b = log_22000 = log_22.10^3 = 1 + 3log_210 \approx 11$$

→ So select the condition manv='NV05' to execute first



#### [Ullman,+ 2001]

R1 (A, B, C); R2 (A, D) 
$$W = R1 \bowtie R2$$

Case 1: 
$$V(R1,A) \leq V(R2,A)$$

$$T(W) = T(R1)x \frac{T(R2)}{V(R2, A)}$$

Case 2: 
$$V(R2,A) \leq V(R1,A)$$

$$T(W) = T(R2)x \frac{T(R1)}{V(R1, A)}$$



## [Ullman + 2001]

•• Overview: 
$$T(W) = \frac{T(R1) \times T(R2)}{\max(V(R1, A), V(R2, A))}$$

The number of attribute values that do not participate in the union

$$V (W, A) = min \{V (R1, A), V(R2, A)\}$$

$$V (W, B) = V (R1, B) \qquad V (W, C) = V (R1, C)$$

$$V (W, D) = V (R2, D)$$



[Elmasri+2003]

- •The function calculates the cost for Join according to the search method  $P_i: J_i$
- Block access cost calculated by function J<sub>i</sub>: C<sub>ji</sub>

**Note:** the cost function is only based on the number of blocks transferred from memory to disk (not mentioning calculation time, storage costs and other factors)



Selectivity of combination (js)

$$js = |(R \bowtie_C S)| / |R \times S| = |(R \bowtie_C S)| / (|R| * |S|)$$
  
 $0 <= js <= 1$ 

The size of the result set after performing the

union 
$$|(R \bowtie_C S)| = js * |R| * |S|$$

- ❖ R.A=S.B
  - If A is the key of R then  $|(R \bowtie_C S)| \le |S|$ ,  $js \le 1/|R|$
  - If B is the key of S then  $|(R \bowtie_C S)| <= |R|, js <= 1/|S|$



#### ❖J1. Join combination

Suppose R is the outer loop

$$C_{J1} = b_R + (b_R^*b_S) + ((js^* |R|^* |S|)/bfr_{RS})$$



Example: Calculate the cost for the following conclusion

Query: NHANVIEN

NV.maphong=PB.maphong PHONGBAN

With:  $r_{Nhanvien}$ =10000,  $r_{Phongban}$ =125,  $b_{Nhanvien}$ =2000,  $b_{Phongban}$ =13,  $b_{NV\_PB=4}$ 



Using J1 with NHANVIEN is the outer loop

$$C_{J1} = b_{NV} + (b_{NV}^* b_{PB}) + ((js^* r_{NV}^* r_{PB})/br f_{NV_PB})$$
  
=2000 + (2000\*13) + ((1/125 \* 10000 \* 125)/4) =30500

Using J1 with PHONGBAN is the outer loop

$$C_{J1} = b_{PB} + (b_{PB} * b_{NV}) + ((js * r_{NV} * r_{PB})/brf_{NV\_PB})$$
  
=13+ (13\*2000) + ((1/125 \* 10000 \* 125)/4) =28513

So use PHONGBAN as the outer loop

#### Discussion



