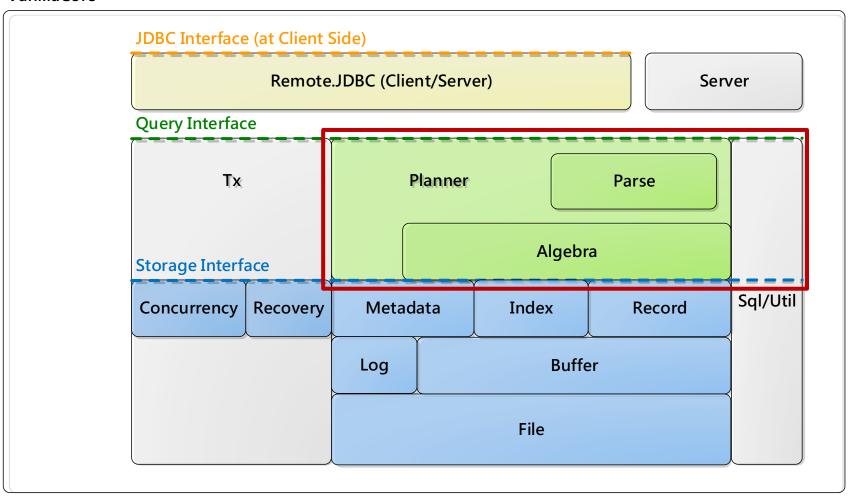
# **Query Processing**

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# **Query Engine**

#### VanillaCore



#### Outline

- Overview
- Parsing and Validating SQL commands
  - Syntax vs. Semantics
  - Lexer, parser, and SQL data
  - Predicates
  - Verifier
- Scans and plans
- Query planning
  - Deterministic planners

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# Recap: Finding Major

#### JDBC client

```
Connection conn = null;
try {
      // Step 1: connect to database server
      Driver d = new JdbcDriver();
      conn = d.connect("jdbc:vanilladb://localhost", null);
      conn.setAutoCommit(false);
      conn.setReadOnly(true);
      // Step 2: execute the query
      Statement stmt = conn.createStatement();
      String qry = "SELECT s-name, d-name FROM departments,
             + "students WHERE major-id = d-id";
      ResultSet rs = stmt.executeQuery(gry);
      // Step 3: loop through the result set
      rs.beforeFirst();
      System.out.println("name\tmajor");
      System.out.println("-----");
      while (rs.next()) {
             String sName = rs.getString("s-name");
             String dName = rs.getString("d-name");
             System.out.println(sName + "\t" + dName);
      rs.close();
} catch (SQLException e) {
      e.printStackTrace();
} finally {
      try { // Step 4: close the connection
             if (conn != null) conn.close();
      } catch (SQLException e) {
             e.printStackTrace();
```

Native (server side)

```
VanillaDb.init("studentdb");
// Step 1 correspondence
Transaction tx = VanillaDb.txMgr().transaction(
Connection. TRANSACTION SERIALIZABLE, true);
// Step 2 correspondence
Planner planner = VanillaDb.newPlanner();
String query = "SELECT s-name, d-name FROM departments, "
      + "students WHERE major-id = d-id";
Plan plan = planner.createQueryPlan(query, tx);
Scan scan = plan.open();
// Step 3 correspondence
System.out.println("name\tmajor");
System.out.println("-----");
while (scan.next()) {
      String sName = (String) scan.getVal("s-name").asJavaVal()
      String dName = (String) scan.getVal("d-name").asJavaVal()
      System.out.println(sName + "\t" + dName);
scan.close();
// Step 4 correspondence
tx.commit();
```

## Query Evaluation: Input and Output

- Input:
  - A SQL command (string)
- Output for SELECT:
  - Scan (iterator of records) of the output table
  - By planner.createQueryPlan().open()
- Output for others commands (CREATE, INSERT, UPDATE, DELETE):
  - #records affected
  - By planner.executeUpdate()

#### What does a Planner do?

- 1. Parses the SQL command
- 2. Verifies the SQL command
- 3. Finds a good plan for the SQL command
- 4. a. Returns the plan (createQueryPlan())
  b. Executes the plan by iterating through the corresponding scan and returns #records affected (executeUpdate())

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  b. Executes the plan by iterating through the
  scan and returns #records affected
  (executeUpdate())

## **SQL Statement Processing**

- Input:
  - A SQL statement
- Output:
  - Internal SQL data object that can be fed to the constructors of various plans/scans
- Two stages:
  - Parsing (syntax-based)
  - Verification (semantic-based)

## Syntax vs. Semantics

- The syntax of a language is a set of rules that describes the strings that could possibly be meaningful statements
- Is this statement syntactically legal?

```
SELECT FROM TABLES t1 AND t2 WHERE b - 3
```

- No
  - SELECT clause must refer to some field
  - TABLES is not a keyword
  - AND should separate predicates not tables
  - b-3 is not a predicate

## Syntax vs. Semantics

Is this statement syntactically legal?

```
SELECT a FROM t1, t2 WHERE b = 3
```

- Yes, we can infer that this statement is a query
- But is it actually meaningful?
- The semantics of a languages specifies the actual meaning of a syntactically correct string
- Whether it is semantically legal depends on
  - Is a a field name?
  - Are t1, t2 the names of tables?
  - Is b the name of a numeric field?
- Semantic information is stored in the database's metadata (catalog)

# Syntax vs. Semantics in VanillaCore

- Parser converts a SQL statement to SQL data based on the syntax
  - Exceptions are thrown upon syntax error
  - Outputs SQL data, e.g., QueryData, InsertData,
     ModifyData, CreatTableData, etc.
  - All defined in query.parse package
- Verifier examines the metadata to validate the semantics of SQL data
  - Defined in query.planner package

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## Parsing SQL Commands

- Parser uses a parsing algorithm to convert a SQL string to SQL data
  - To be detailed later
- Uses a *lexical analyzer* (also called *lexer* or tokenizer) that splits the SQL string into tokens when reading



#### **Tokens**

- Each token has a type and a value
- VanillaCore lexical analyzer supports five token types:
  - Single-character *delimiters*, such as the comma ,
  - Numeric constants, such as 123.6
     (scientific notation is not supported)
  - String constants, such as 'netdb'
  - Keywords, such as SELECT, FROM, and WHERE
  - *Identifiers*, such as t1, a, and b
- E.g., SELECT a FROM t1, t2 WHERE b = 3

Туре	Value
Keyword	SELECT
Identifier	а
Keyword	FROM
Identifier	t1
Delimiter	,
Identifier	t2
Keyword	WHERE
Identifier	b
Delimiter	=
Numeric Constant	3

# Whitespace

- A SQL command is split at whitespace characters
  - E.g., spaces, tabs, new lines, etc.
- The only exception are those inside '...'

#### Stream-based API

- Reads a SQL string only once
- matchXXX
  - Returns whether the next token is of the specified type
- eatXXX
  - Returns the value of the next token if the token is of the specified type
  - Otherwise throws
    BadSyntaxException

#### Lexer

- keywords : Collection<String>
- tok : StreamTokenizer
- + Lexer(s : String)
- + matchDelim(delimiter : char) : boolean
- + matchNumericConstant() : boolean
- + matchStringConstant(): boolean
- + matchKeyword(keyword : String) : boolean
- + matchld(): boolean
- + eatDelim(delimiter : char)
- + eatNumericConstant() : double
- + eateStringConstant() : String
- + eatKeyword(keyword : String)
- + eatId() : String

# Implementing the Lexical Analyzer

- Java SE offers 2 built-in tokenizers
- java.util.StringTokenizer
  - Supports only two kinds of token: delimiters and words
- java.io.StreamTokenizer
  - Has an extensive set of token types, including all five types used by VanillaCore
  - Wrapped by Lexer in VanillaDB

#### Lexer

```
public class Lexer {
    private Collection<String> keywords;
    private StreamTokenizer tok;
    public Lexer(String s) {
        initKeywords();
        tok = new StreamTokenizer(new StringReader(s));
        tok.wordChars(' ', ' ');
        tok.ordinaryChar('.');
        // ids and keywords are converted into lower case
        tok.lowerCaseMode(true); // TT WORD
        nextToken();
    public boolean matchDelim(char delimiter) {
        return delimiter == (char) tok.ttype;
    public boolean matchNumericConstant() {
        return tok.ttype == StreamTokenizer.TT NUMBER;
```

#### Lexer

```
public boolean matchStringConstant() {
    return '\'' == (char) tok.ttype; // 'string'
}
public boolean matchKeyword(String keyword) {
    return tok.ttype == StreamTokenizer.TT WORD
    && tok.sval.equals(keyword) && keywords.contains(tok.sval);
}
public double eatNumericConstant() {
    if (!matchNumericConstant())
        throw new BadSyntaxException();
    double d = tok.nval;
    nextToken();
    return d;
public void eatKeyword(String keyword) {
    if (!matchKeyword(keyword))
        throw new BadSyntaxException();
    nextToken();
}
```

## Setting Up StreamTokenizer

- The constructor for Lexer sets up a stream tokenizer as follows:
  - tok.ordinaryChar('.') tells the tokenizer to interpret the period character as a delimiter
  - tok.lowerCaseMode (true) tells the tokenizer to convert all string tokens (but not quoted strings) to lower case

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#### Grammar

- A grammar is a set of rules that describe how tokens can be legally combined
  - We have already seen the supported SQL grammar by VanillaCore

Each grammar rule specifies the syntactic
 category and its content

#### Grammar

- Syntactic category is the left side of a grammar rule, and it denotes a particular concept in the language
  - <Field> as field name
- The content of a category is the right side of a grammar rule, and it is the set of strings that satisfy the rule
  - IdTok matches any identifier token

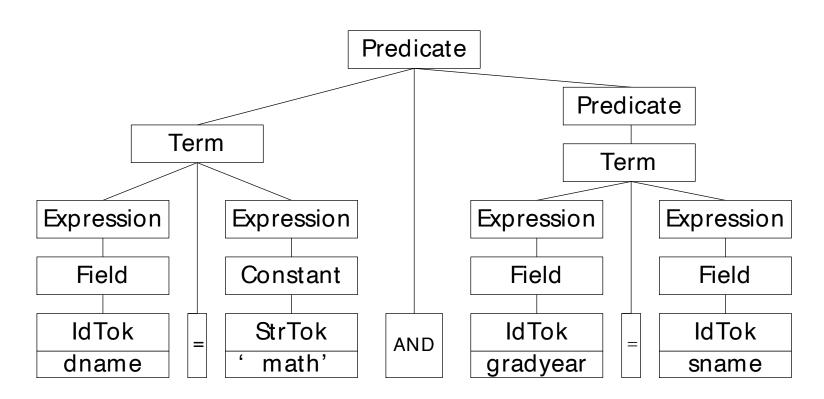
#### Parse Tree

- We can draw a parse tree to depict how a string belongs to a particular syntactic category
  - Syntactic categories as its internal nodes, and tokens as its leaf nodes
  - The children of a category node correspond to the application of a grammar rule
- Used by a parsing algorithm to verify if a given string is syntactically legal
  - An exception is fired if the tree cannot be constructed following the grammar

#### Parse Tree

Parse tree for a predicate string:

dname = 'math' AND gradyear = sname



## Parsing Algorithm

- The complexity of the parsing algorithm is usually in proportion to the complexity of supported grammar
- VanillaCore has simple SQL grammar, and so we will use the simplest parsing algorithm, known as recursive descent

#### Recursive-Descent Parser

 A recursive-descent parser has a method for each grammar rule, and calls these methods recursively to traverse the parse tree in prefix order

#### Recursive-Descent Parser

```
<Field>
public class PredParser {
                                                    := IdTok
    private Lexer lex;
                                           <Constant>
                                                    := StrTok | NumericTok
    public PredParser(String s) {
        lex = new Lexer(s);
    }
    public void field() {
        lex.eatId();
    public Constant constant() {
        if (lex.matchStringConstant())
            return new VarcharConstant(lex.eatStringConstant());
        else
            return new DoubleConstant(lex.eatNumericConstant());
    }
```

```
public Expression queryExpression() {
    return lex.matchId() ? new FieldNameExpression(id()) :
              new ConstantExpression(constant());
}
public Term term() {
    Expression lhs = queryExpression();
    Term.Operator op;
    if (lex.matchDelim('=')) {
         lex.eatDelim('=');
                                               <Expression>
         op = OP EQ;
                                                   := <Field> | <Constant>
    } else if (lex.matchDelim('>')) {
                                                <Term>
         lex.eatDelim('>');
                                                   := <Expression> = <Expression>
         if (lex.matchDelim('=')) {
                                                <Predicate>
              lex.eatDelim('=');
                                                   := <Term> [ AND <Predicate> ]
              op = OP GTE;
         } else
             op = OP GT;
    } else ...
    Expression rhs = queryExpression();
    return new Term(lhs, op, rhs);
}

    Prefix traversal

public Predicate predicate() {
    Predicate pred = new Predicate(term());
    while (lex.matchKeyword("and")) {
         lex.eatKeyword("and");
         pred.conjunctWith(term());
    return pred;
```

allows a SQL string to be read just once

## SQL Data

- Parser returns SQL data
  - E.g., when the parsing the query statement (syntactic category <Query>), parser will returns a QueryData object
- All SQL data are defined in query.parse package

# Parser and QueryData

#### Parser - lex : Lexer + Parser(s : String) + updateCmd(): Object + query(): QueryData - id(): String - constant(): Constant - queryExpression(): Expression - term(): Term - predicate(): Predicate - create(): Object - delete(): DeleteData - insert(): InsertData - modify(): ModifyData - createTable(): CreateTableData - createView(): CreateViewData - createIndex(): CreateIndexData

# QueryData + QueryData(projFields: Set<String>, tables: Set<String>, pred: Predicate, groupFields: Set<String>, aggFn: Set<AggregationFn>, sortFields: List<String>, sortDirs: List<Integer>) + projectFields(): Set<String> + tables(): Set<String> + pred(): Predicate + groupFields(): Set<String> + aggregationFn(): Set<String> + sortFields(): List<String> + sortFields(): List<String> + sortDirs(): List<Integer> + toString(): String

## Other SQL data

#### InsertData

+ InsertData(tblname : String, flds : List<String>,

vals : List<Constant>)
+ tableName() : String
+ fields() : List<String>
+ val() : List<Constant>

#### CreateTableData

+ InsertData(tblname : String, sch : Schema)

+ tableName(): String + newSchema: Schema

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#### Predicate

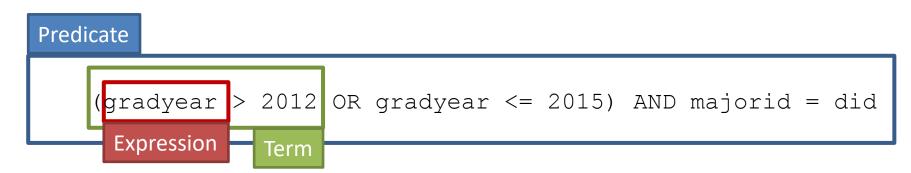
```
<Field> := IdTok

<Constant> := StrTok | NumericTok

<Expression> := <Field> | <Constant>

<Term> := <Expression> = <Expression>
<Predicate> := <Term> [ AND <Predicate> ]
```

- Classes defined in sql.predicates in VanillaCore
- For example,



### Expression

- VanillaCore has three Expression implementations
  - ConstanExpression
  - FieldNameExpression
  - BinaryArithmeticExpression

### <<interface>> Expression

- + isConstant() : boolean
- + isFieldName() : boolean
- + asConstant() : Constant
- + asFieldName(): String
- + hasField(fldName : String) : boolean
- + evaluate(rec : Record) : Constant
- + isApplicableTo(sch : Schema) : boolean

### Methods of Expression

- The method evaluate (rec) returns the value (of type Constant) of the expression with respect to the passed record
  - Used by, e.g., SelectScan during query evaluation
- The methods is Constant, is FieldName, as Constant, and as FieldName allow clients to get the contents of the expression, and are used by planner in analyzing a query
- The method isApplicableTo tells the planner whether the expression mentions fields only in the specified schema

### Methods of Expression

• FieldNameExpression

```
public class FieldNameExpression implements Expression {
   private String fldName;
   public FieldNameExpression(String fldName) {
   this.fldName = fldName;
   public Constant evaluate(Record rec) {
   return rec.getVal(fldName);
   public boolean isApplicableTo(Schema sch) {
   return sch.hasField(fldName);
```

#### Term

Term supports five operators

```
- OP_EQ(=),OP_LT(<),OP_LTE(<=),
OP_GE(>),andOP_GTE(>=)
```

#### Term

<<final>> + OP EQ : Operator

<<final>> + OP LT : Operator

<<final>> + OP LTE : Operator

<<final>> + OP\_GE : Operator

<<final>> + OP GTE : Operator

+ Term(lhs : Expression, op : Operator, rhs :

Expression)

+ operator(fldname : String) : Operator

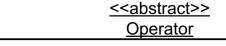
+ oppositeConstant(fldname : String) : Constant

+ oppositeField(fldname : String) : String

+ isApplicableTo(sch : Schema) : boolean

+ isSatisfied(rec : Record) : boolean

+ toString(): String



-> <<abstract>> complement() : Operator <<abstract>> isSatisfied(lhs : Expression, rhs : Expression, rec : Record) : boolean

 The method isSatisfied (rec) returns true if given the specified record, the two expressions evaluate to matching values

Term5: created = 2012/11/15

	blog_id	url	created	author_id
X	33981		2009/10/31	729
0	33982		2012/11/15	730
X	41770		2012/10/20	729

```
public boolean isSatisfied(Record rec) {
    return op.isSatisfied(lhs, rhs, rec);
}
```

### Operator in Term

- Implement the supported operators of term
- OP LTE

```
public static final Operator OP_LTE = new Operator() {
    Operator complement() {
        return OP_GTE;
    }

    boolean isSatisfied(Expression lhs, Expression rhs, Record rec) {
        return lhs.evaluate(rec).compareTo(rhs.evaluate(rec)) <= 0;
    }

    public String toString() {
        return "<=";
    }
};</pre>
```

 The method oppositeConstant returns a constant if this term is of the form "F<OP>C" where F is the specified field, <OP> is an operator, and C is some constant

#### • Examples:

```
Term1: majorid > 5
    // the opposite constant of majorid is 5

Term2: 2012 <= gradyear
    // the opposite constant of gradyear is 2012</pre>
```

 The method oppositeConstant returns a constant if this term is of the form "F<OP>C" where F is the specified field, <OP> is an operator, and C is some constant

- The method oppositeField returns a field name if this term is of the form "F1<OP>F2" where F1 is the specified field, <OP> is an operator, and F2 is another field
- Examples:

```
Term1: majorid > 5
    // the opposite field of "majorid" is null

Term3: since = gradyear
    // the opposite field of gradyear is since
    // the opposite field of since is gradyear
```

- The method isApplicableTo tells the planner whether both expressions of this term apply to the specified schema
- Examples:

#### Predicate

• A predicate in VanillaCore is a conjunct of terms, e.g., term1 AND term2 AND ...

```
Predicate
+ Predicate()
+ Predicate(t : Term)
// used by the parser
+ conjunctWith(t : Term)
// used by a scan
+ isSatisfied(rec : Record) : boolean
// used by the query planner
+ selectPredicate(sch : Schema) : Predicate
+ joinPredicate(sch1 : Schema, sch2 : Schema) : Predicate
+ constantRange(fldname : String) : ConstantRange
+ joinFields(fldname : String) : Set<String>
+ toString(): String
```

- The methods of Predicate address the needs of several parts of the database system:
  - A select scan evaluates a predicate by calling isSatisfied
  - The parser construct a predicate as it processes the WHERE clause, and it calls conjoinWith to conjoin another term
  - The rest of the methods help the query planner to analyze the scope of a predicate and to break it into smaller pieces

- The method selectPredicate returns a subpredicate that applies only to the specified schema
- Example:

 The method selectPredicate returns a subpredicate that applies only to the specified schema

```
public Predicate selectPredicate(Schema sch) {
    Predicate result = new Predicate();
    for (Term t : terms)
        if (t.isApplicableTo(sch))
        result.terms.add(t);
    if (result.terms.size() == 0)
        return null;
    else
        return result;
}
```

 The method joinPredicate returns a subpredicate that applies to the union of the two specified schemas, but not to either schema individually

```
Table s with schema(sid, sname, majorid)
Table d with schema(did, dname)

Predicate1:
    majorid = did AND majorid > 5 AND sid >= 100
    // the join predicate for tables s, d: majorid = did
```

 The method joinPredicate returns a subpredicate that applies to the union of the two specified schemas, but not to either schema separately

 The method constantRange determines if the specified field is constrained by a constant range in this predicate. If so, the method returns that range

• The method joinFields determines if there are terms of the form "F1=F2" or result in "F1=F2" via equal transitivity, where F1 is the specified field and F2 is another field. If so, the method returns the names of all join fields

```
Predicate3: sid = did AND did = tid
     // the join fields of sid are {did, tid}
```

### Creating a Predicate in a Query Parser

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# Things that Parser Cannot Ensure

 The parser cannot enforce type compatibility, because it doesn't know the types of the identifiers it sees

```
dname = 'math' AND gradyear = sname
```

The parser also cannot enforce compatible list size

```
INSERT INTO dept (did, dname) VALUES ('math')
```

#### Verification

 Before feeding the SQL data into the plans/scans, the planner asks the Verifier to verify the semantics correctness of the data

#### Verification

- The Verifier checks whether:
  - The mentioned tables and fields actually exist in the catalog
  - The mentioned fields are not ambiguous
  - The actions on fields are type-correct
  - All constants are of correct type and size to their corresponding fields

### Verifying the INSERT Statement

```
public static void verifyInsertData(InsertData data, Transaction tx) {
     // examine table name
     TableInfo ti = VanillaDb.catalogMgr().getTableInfo(data.tableName(), tx);
     if (ti == null)
          throw new BadSemanticException("table " + data.tableName() + " does not exist");
     Schema sch = ti.schema();
     List<String> fields = data.fields();
     List<Constant> vals = data.vals();
     // examine whether values have the same size with fields
     if (fields.size() != vals.size())
          throw new BadSemanticException("#fields and #values does not match");
     // verify field existence and type
     for (int i = 0; i < fields.size(); i++) {</pre>
          String field = fields.get(i);
          Constant val = vals.get(i);
          // check field existence
          if (!sch.hasField(field))
                throw new BadSemanticException("field " + field+ " does not exist");
          // check whether field matches value type
           if (!verifyConstantType(sch, field, val))
                throw new BadSemanticException("field " + field
                           + " doesn't match corresponding value in type");
```

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#### What does a Planner do?

- 1. Parses the SQL command
- 2. Verifies the SQL command
- 3. Finds a good *plan* for the SQL command
- 4. a. Returns the plan (createQueryPlan())
  b. Executes the plan by iterating through the scan and returns #records affected
  (executeUpdate())

What's the difference between scans and plans?

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## SQL and Relational Algebra (1/2)

 Recall that a SQL command can be expressed as at-least one tree in relational algebra

```
FROM blog_pages b users u

WHERE b.author_id=u.user_id

AND u.name='Steven Sinofsky'

AND b.created >= 2011/1/1;
```

# Why this translation?

## SQL and Relational Algebra (2/2)

- SQL is difficult to implement directly
  - A single SQL command can embody several tasks
- Relational algebra is relatively easy to implement
  - Each *operator* denotes a small, well-defined task

```
project(s, select...)

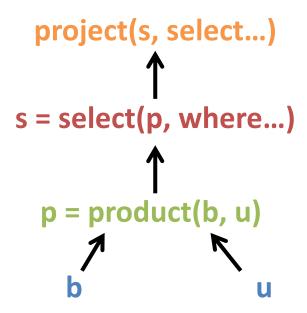
s = select(p, where...)

p = product(b, u)

b
u
```

### Operators

- Single-table operators
  - select, project, sort, rename, extend, groupby, etc.
- Two-table operators
  - product, join, semijoin, etc.
- Operands
  - Tables, views, output of other operators, predicates, etc.
- Output
  - Always a table
  - To be returned or used as a param of the next op



#### Scans

- A scan represents the output of an operator in a relational algebra tree
  - I.e., output of a subtree (partial query)
- All scans in VanillaCore implement the Scan interface
- In query.algebra package

```
ProjectScan(s, select...)

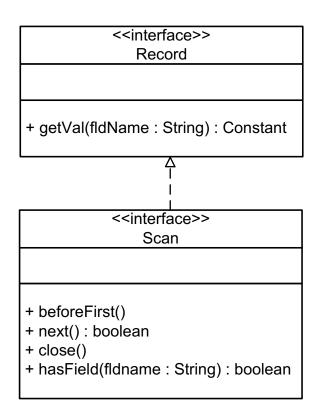
s = SelectScan(p, where...)

p = ProductScan(b, u)

TableScan of b
TableScan of u
```

#### The Scan Interface

- An iterator of output records of a partial query
- Not to confuse with RecordFile
  - A RecordFile is an iterator of records in a table file
  - Storage-specific



### Using a Scan

```
public static void printNameAndGradyear(Scan s) {
    s.beforeFirst();
    while (s.next()) {
        Constant sname = s.getVal("sname");
        Constant gradyear = s.getVal("gradyear");
        System.out.println(sname + "\t" + gradyear);
    }
    s.close();
}
```

#### **Basic Scans**

# Building a Scan Tree

```
VanillaDb.init("studentdb");
Transaction tx =
    VanillaDb.txMgr().transaction(
    Connection.TRANSACTION_SERIALIZABLE, true);
TableInfo ti =
    VanillaDb.catalogMgr().getTableInfo("b", tx);
Scan ts = new TableScan(ti, tx);
Predicate pred = new Predicate("..."); // sid = 5
Scan ss = new SelectScan(ts, pred);
Collection<String> projectFld =
    Arrays.asList("sname");
Scan ps = new ProjectScan(ss, projectFld);
ps.beforeFirst();
while (ps.next())
    System.out.println(ps.getVal("sname"));
ps.close();
```

```
ProjectScan
(s, select sname)

s = SelectScan
(b, where sid = 5)

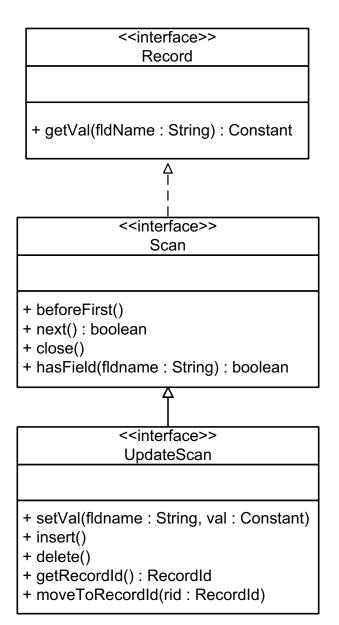
TableScan of b
```

## **Updatable Scans**

- A scan is read-only by default
- We need the TableScan and SelectScan to be updatable to support UPDATE and DELETE commands:

#### UpdateScan

- Provides setters
- Allows random access
  - Useful to indices
- Implemented by TableScan and SelectScan
- Not every scan is updatable
  - A scan is updatable only if every record r in the scan has a corresponding record r' in underlying database table



## Using Updatable Scans

```
SQL command:
                          UPDATE enroll SET grade = 'A+'
                                   WHERE section-id = 53;
Code:
VanillaDb.init("studentdb");
Transaction tx = VanillaDb.txMgr().newTransaction(
       Connection.TRANSACTION_SERIALIZABLE, false);
TableInfo ti = VanillaDb.catalogMgr().getTableInfo("enroll", tx);
Scan ts = new TableScan(ti, tx);
Predicate pred = new Predicate(...); // section-id = 53
UpdateScan us = new SelectScan(ts, pred);
us.beforeFirst();
while (us.next())
    us.setVal("grade", new VarcharConstant("A+"));
us.close();
```

```
public class TableScan implements UpdateScan {
     private RecordFile rf;
     private Schema schema;
     public TableScan(TableInfo ti, Transaction tx) {
           rf = ti.open(tx);
           schema = ti.schema();
     }
     public void beforeFirst() {
           rf.beforeFirst();
     }
     public boolean next() {
           return rf.next();
     }
     public void close() {
           rf.close();
     }
     public Constant getVal(String fldName) {
           return rf.getVal(fldName);
     }
     public boolean hasField(String fldName) {
           return schema.hasField(fldName);
     }
     public void setVal(String fldName, Constant val) {
           rf.setVal(fldName, val);
```

#### TableScan

 Basically, tasks are delegated to a

RecordFile

#### SelectScan

```
public class SelectScan implements UpdateScan {
    private Scan s;
    private Predicate pred;
    public SelectScan(Scan s, Predicate pred) {
        this.s = s;
        this.pred = pred;
    }
    public boolean next() {
        while (s.next())
            // if current record satisfied the predicate
            if (pred.isSatisfied(s))
                return true;
        return false;
    public void setVal(String fldname, Constant val) {
        UpdateScan us = (UpdateScan) s;
        us.setVal(fldname, val);
```

```
public class ProductScan implements Scan {
     private Scan s1, s2;
     private boolean isLhsEmpty;
     public ProductScan(Scan s1, Scan s2) {
           this.s1 = s1;
           this.s2 = s2;
           s1.beforeFirst();
           isLhsEmpty = !s1.next();
     }
     public boolean next() {
           if (isLhsEmpty)
                return false;
           if (s2.next())
                return true;
           else if (!(isLhsEmpty = !s1.next())) {
                s2.beforeFirst();
                return s2.next();
           } else
                return false;
     }
     public Constant getVal(String fldName) {
           if (s1.hasField(fldName))
                return s1.getVal(fldName);
           else
                return s2.getVal(fldName);
```

#### ProductScan

 Iterates through records following the nested loops

## ProjectScan

```
public class ProjectScan implements Scan {
    private Scan s;
    private Collection<String> fieldList;
    public ProjectScan(Scan s, Collection<String> fieldList) {
        this.s = s;
        this.fieldList = fieldList;
    }
    public boolean next() {
        return s.next();
    public Constant getVal(String fldName) {
        if (hasField(fldName))
            return s.getVal(fldName);
        else
            throw new RuntimeException("field " + fldName + " not found.");
```

```
project(s, select blog_id)
                                  SELECT blog_id FROM b, u
       beforeFirst()
                                             WHERE name = "Picachu"
                                             AND author id = user id;
select(p, where name = 'Picachu'
        land author_id = user_id)
          beforeFirst()
product(b, u)
    beforeFirst()
                             beforeFirst()
                                             user_id
         blog_id
                            author_id
                url
                   created
                                                              balance
                                                   name
         33981
                   2009/10/31
                                                   Steven Sinofsky
                                                              10,235
```

729

730

Picachu

NULL

729

730

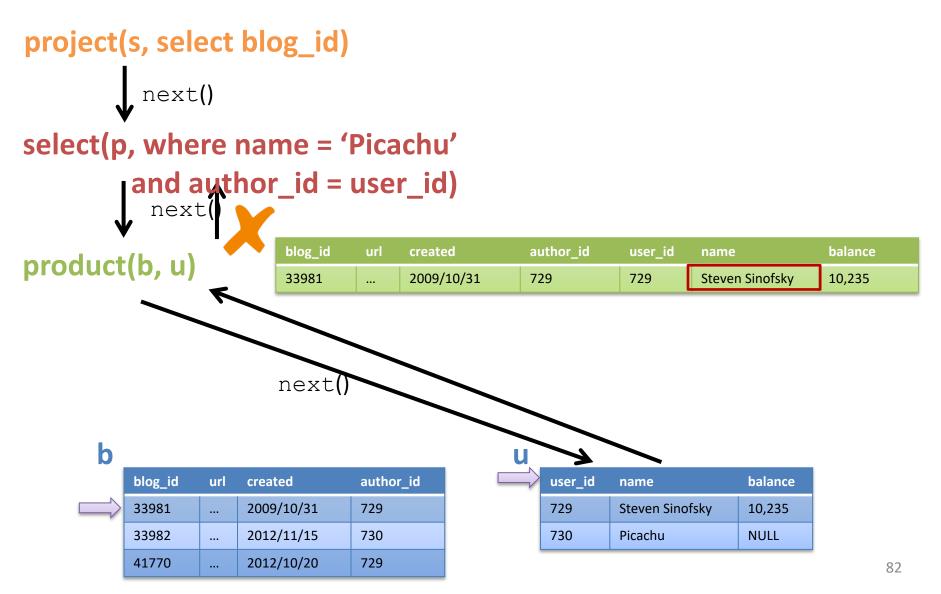
729

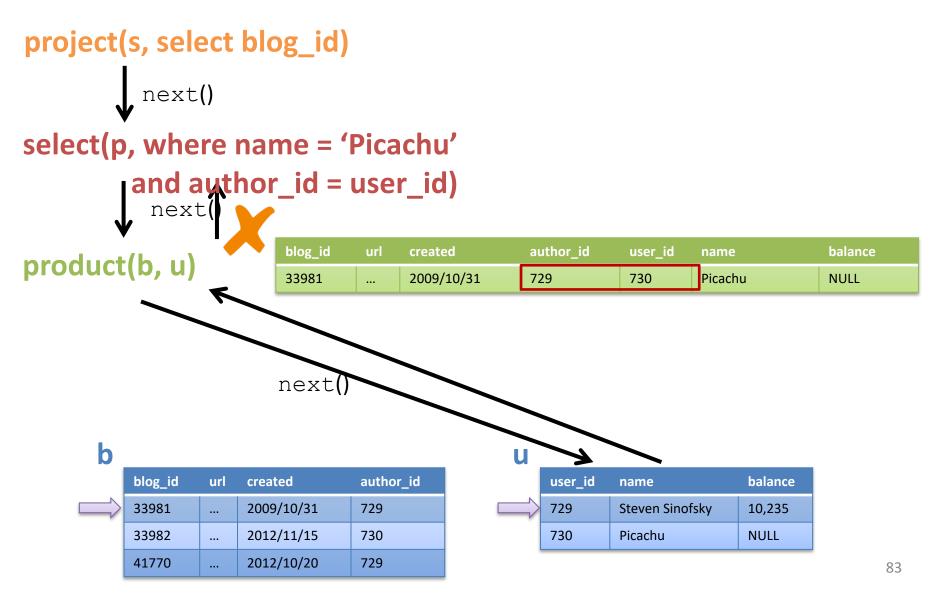
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2012/10/20

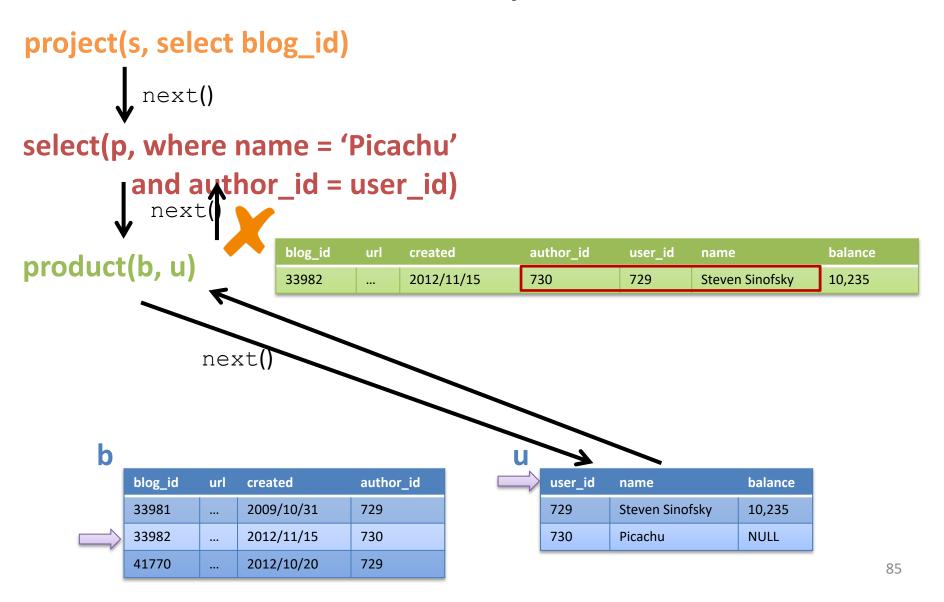
33982

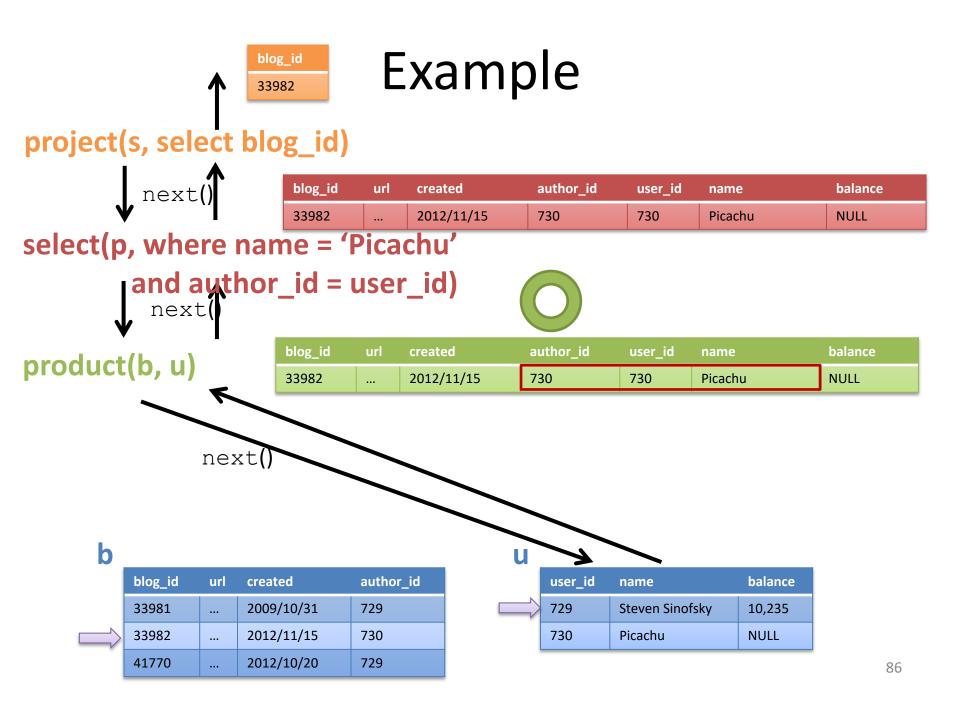
41770

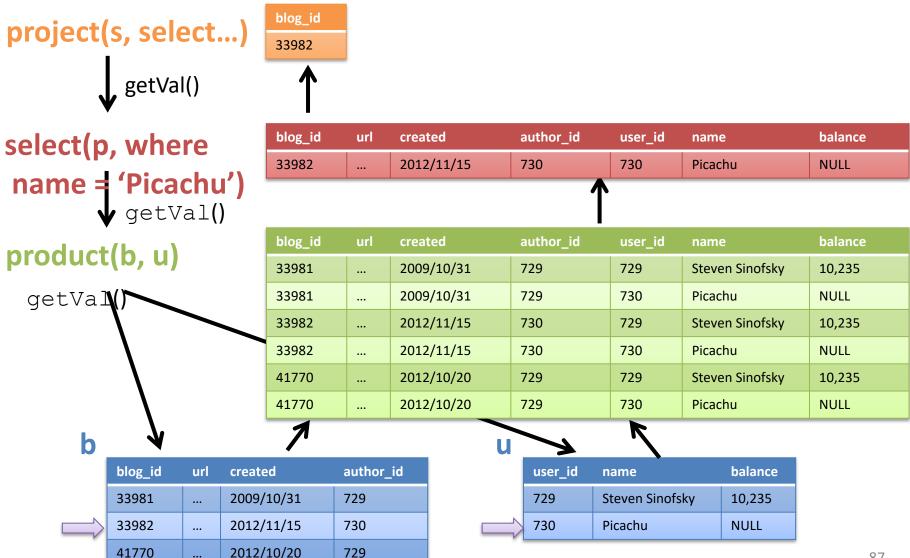




```
project(s, select blog_id)
         next()
select(p, where name = 'Picachu'
          and author_id = user_id)
next()
product(b, u)
                                       false
                         beforeFi
        next
        b
                                                     u
            blog_id
                                     author_id
                                                         user_id
                                                                               balance
                    url
                        created
                                                                 name
            33981
                                                                 Steven Sinofsky
                        2009/10/31
                                    729
                                                                               10,235
                                                         729
            33982
                        2012/11/15
                                    730
                                                         730
                                                                 Picachu
                                                                               NULL
                    ...
                        2012/10/20
                                    729
            41770
```

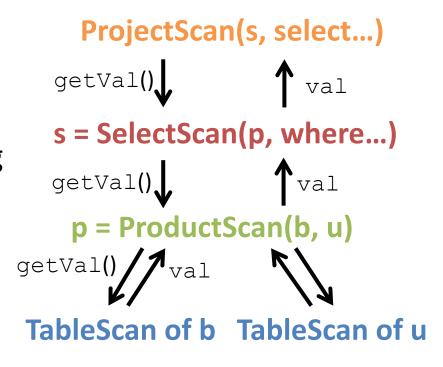






# Pipelined Scanning

- The above operators implement *pipelined scanning*
  - Calling a method of a node results in recursively calling the same methods of child nodes on-the-fly
  - Records are computed one at a time as needed---no intermediate records are saved



## Pipelined vs. Materialized

- Despite its simplicity, pipelined scanning is inefficient in some cases
  - E.g., when implementing SortScan (for ORDER BY)
  - Needs to iterate the entire child to find the next record
- Later, we will see materialized scanning in some scans
  - Intermediate records are materialized to a temp table (file)
  - E.g., the SortScan can use an external sorting algorithm to sort all records at once, save them, and return each record upon next() is called
- Pipelined or materialized?
  - Saving in scanning cost vs. materialization overhead

#### Outline

- Overview
- Parsing and Validating SQL commands
  - Syntax vs. Semantics
  - Lexer, parser, and SQL data
  - Predicates
  - Verifier
- Scans and plans
- Query planning
  - Deterministic planners

#### Scan Tree for SQL Command?

Given the scans:



Can you build a scan tree for this query:

```
SELECT sname FROM student, dept

WHERE major-id = d-id

AND s-id = 5 AND major-id = 4;
```

#### Which One is Better?

```
SELECT sname FROM student, dept
               WHERE major-id = d-id
                       AND s-id = 5 AND major-id = 4;
                                                  ProjectScan
       ProjectScan
                                                  SelectScan
                                                 major-id=d-id
        SelectScan
                                                  ProductScan
       ProductScan
                                        SelectScan
                                   s-id=5 and major-id=4
                TableScan
TableScan
 student
                  dept
                                                           TableScan
                                        TableScan
                                         student
                                                             dept
```

## Why Does It Matter?

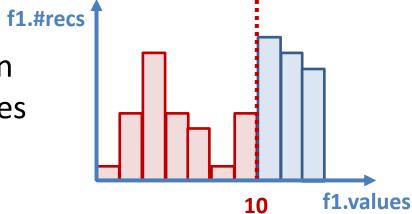
- A good scan tree can be faster than a bad one for orders of magnitude
- Consider the product scan at middle
  - Let R(student)=10000, B(student)=1000, B(dept)=500, and selectivity(s-id=5&major-id=4)=0.01
  - Each block access requires 10ms
- Left: (1000+10000\*500)\*10ms = 13.9 hours
- Right: (1000+10000\*0.01\*500)\*10ms = 8.4 mins
- We need a way to estimate the cost of a scan tree without actual scanning
  - As we just did above

#### Which Cost to Estimate?

- CPU delay, memory delay, or I/O delay?
- The number of block accesses performed by a scan is usually the most important factor in determining running time of a query
- Usually needs other estimates, such as the number of output records and value histogram

# Estimating Block Access (1/2)

- E.g., SELECT(T1, WHERE f1<10)
- Statistics metadata for T1:
  - VH(T1, f1), R(T1), B(T1)
  - Updated by a full table scan every, say, 100 table updates
- #blocks accessed?
  - B(T1) \* (
    VH(T1, f1).predHistogram(WHERE...).recordsOutput()
    / R(T1) )

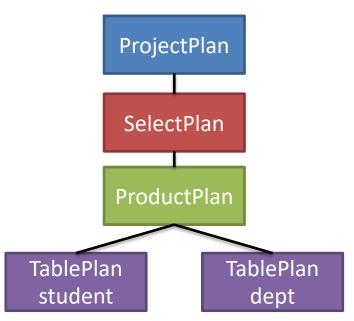


# Estimating Block Access (2/2)

- Complications
  - Multiple fields in SELECT (e.g., f1=f2)
  - Multiple tables, etc.
- Topics of query optimization

#### The Plan Interface

- A cost estimator for a partial query
- Each plan instance corresponds to an operator in relational algebra
  - Also to a subtree



## Using a Query Plan

```
VanillaDb.init("studentdb");
Transaction tx = VanillaDb.txMgr().transaction(
                                                    select(p, where...)
    Connection.TRANSACTION SERIALIZABLE, true);
Plan pb = new TablePlan("b", tx);
Plan pu = new TablePlan("u", tx);
                                                   p = product(b, u)
Plan pp = new ProductPlan(pb, pu);
Predicate pred = new Predicate(...);
Plan sp = new SelectPlan(pp, pred);
sp.blockAccessed(); // estimate #blocks accessed
// open corresponding scan only if sp has low cost
Scan s = sp.open();
s.beforeFirst();
while (s.next())
s.getVal("bid");
s.close();
```

#### Plan before Scan

- A plan (tree) is a blueprint for evaluating a query
- Estimates cost by accessing statistics metadata only
  - No actual I/Os
  - Memory access only, very efficient
- Once a good plan is decided, we then create a scan following the blueprint

# Opening a Scan Tree

The open ()
 constructs a scan
 tree with the
 same structure as
 the current plan

```
public class TablePlan implements Plan {
       public Scan open() {
       return new TableScan(ti, tx);
       . . .
 }
public class SelectPlan implements Plan {
      public SelectPlan(Plan p, Predicate pred) {
            this.p = p;
            this.pred = pred;
      }
      public Scan open() {
            Scan s = p.open();
            return new SelectScan(s, pred);
public class ProductPlan implements Plan {
      public ProductPlan(Plan p1, Plan p2) {
            this.p1 = p1;
            this.p2 = p2;
      public Scan open() {
            Scan s1 = p1.open();
            Scan s2 = p2.open();
            return new ProductScan(s1, s2);
}
```

#### How to Find a Good Plan Tree?

- The planner can create multiple trees first,
   and then pick the one having the lowest cost
- Determining the best plan tree for a SQL command is call *planning*

#### Outline

- Overview
- Parsing and Validating SQL commands
  - Syntax vs. Semantics
  - Lexer, parser, and SQL data
  - Predicates
  - Verifier
- Scans and plans
- Query planning
  - Deterministic planners

#### What does a Planner do?

- 1. Parses the SQL command
- 2. Verifies the SQL command
- 3. Finds a good plan for the SQL command
- 4. a. Returns the plan (createQueryPlan ())
  b. Executes the plan by iterating through the scan and returns #records affected
  (executeUpdate())

# Planning

- Input:
  - SQL data
- Output:
  - A good plan tree

Done by the *planner*

## Using the VanillaCore Planner

```
VanillaDb.init("studentdb");
Planner planner = VanillaDb.planner();
Transaction tx = VanillaDb.txMgr().transaction(
Connection.TRANSACTION SERIALIZABLE, false);
// part 1: Process a query
String qry = "SELECT sname FROM student";
Plan p = planner.createQueryPlan(qry, tx);
Scan s = p.open();
s.beforeFirst();
while (s.next())
System.out.println(s.getVal("sname"));
s.close();
// part 2: Process an update command
String cmd = "DELETE FROM student WHERE majorid = 30";
int numRecs = planner.executeUpdate(cmd, tx);
System.out.println(numRecs + " students were deleted");
tx.commit();
```

#### Planner

- In VanillaCore, all planner implementations are placed in query.planner package
- A client can obtain a Planner object by calling server. VanillaDb.planner()

#### 

## Query and Update Planners

- After verifying the parsed SQL data, the Planner delegates the planning tasks to
  - QueryPlanner
  - UpdatePlanner
  - implementations
- Interfaces defined in query.planner package

#### Planner

```
public class Planner {
   private QueryPlanner qPlanner;
   private UpdatePlanner uPlanner;
   public Planner(QueryPlanner qPlanner, UpdatePlanner uPlanner)
       this.qPlanner = qPlanner;
       this.uPlanner = uPlanner;
   public Plan createQueryPlan(String qry, Transaction tx) {
       Parser parser = new Parser(qry);
       QueryData data = parser.query();
       Verifier.verifyQueryData(data, tx);
       return qPlanner.createPlan(data, tx);
```

### Planner

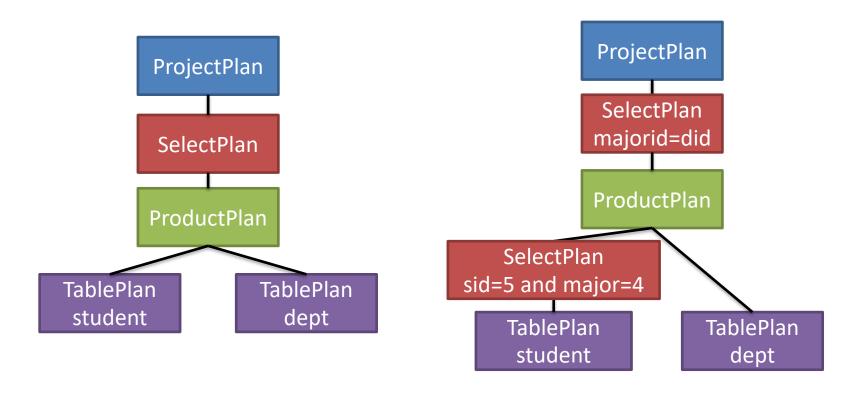
```
public int executeUpdate(String cmd, Transaction tx) {
     if (tx.isReadOnly())
          throw new UnsupportedOperationException();
     Parser parser = new Parser(cmd);
     Object obj = parser.updateCommand();
     if (obj instanceof InsertData) {
          Verifier.verifyInsertData((InsertData) obj, tx);
           return uPlanner.executeInsert((InsertData) obj, tx);
     } else if (obj instanceof DeleteData) {
          Verifier.verifyDeleteData((DeleteData) obj, tx);
           return uPlanner.executeDelete((DeleteData) obj, tx);
     } else if (obj instanceof ModifyData) {
          Verifier.verifyModifyData((ModifyData) obj, tx);
           return uPlanner.executeModify((ModifyData) obj, tx);
     } else if (obj instanceof CreateTableData) {
          Verifier.verifyCreateTableData((CreateTableData) obj, tx);
           return uPlanner.executeCreateTable((CreateTableData) obj, tx);
     } else if (obj instanceof CreateViewData) {
          Verifier.verifyCreateViewData((CreateViewData) obj, tx);
          return uPlanner.executeCreateView((CreateViewData) obj, tx);
     } else if (obj instanceof CreateIndexData) {
          Verifier.verifyCreateIndexData((CreateIndexData) obj, tx);
           return uPlanner.executeCreateIndex((CreateIndexData) obj, tx);
     } else
          throw new UnsupportedOperationException();
```

# **Query Planning**

Plan tree?

```
SELECT sname FROM student, dept
WHERE majorid = did

AND sid = 5 AND majorid = 4
```

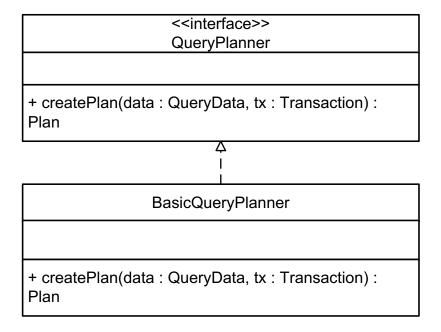


# Deterministic Query Planning Algorithm

- Construct a plan for each table T in the FROM clause
  - a. If T is a table, then the plan is a table plan for T
  - b. If T is a view, then the plan is the result of calling this algorithm recursively on the definition of T
- 2. Take the product of plans from Step 1 if needed
- 3. A Select on predicate in the WHERE clause if needed
- 4. Project on the fields in the SELECT clause

# QueryPlanner

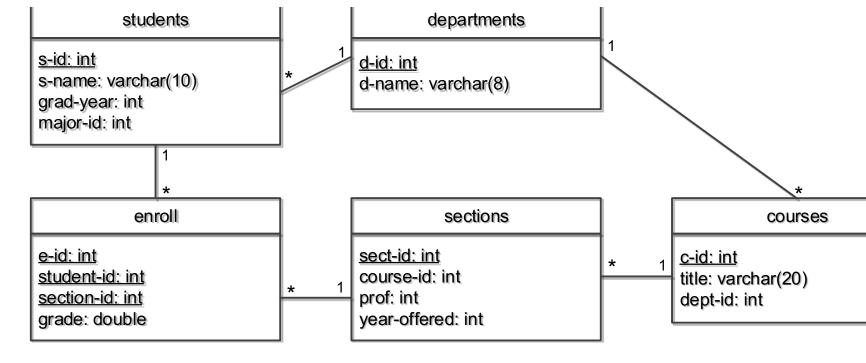
- The BasicQueryPlanner implements the deterministic planning algorithm
  - In query.planner



# BasicQueryPlanner

### The simplified code:

```
public Plan createPlan(QueryData data, Transaction tx) {
    // Step 1: Create a plan for each mentioned table or view
    List<Plan> plans = new ArrayList<Plan>();
    for (String tblname : data.tables()) {
         String viewdef = VanillaDb.catalogMgr().getViewDef(tblname, tx);
         if (viewdef != null)
              plans.add(VanillaDb.planner().createQueryPlan(viewdef, tx));
         else
              plans.add(new TablePlan(tblname, tx));
    // Step 2: Create the product of all table plans
    Plan p = plans.remove(0);
    for (Plan nextplan : plans)
         p = new ProductPlan(p, nextplan);
    // Step 3: Add a selection plan for the predicate
    p = new SelectPlan(p, data.pred());
    // Step 4: Project onto the specified fields
    p = new ProjectPlan(p, data.projectFields());
    return p;
```



# Where to place GROUP BY, HAVING, and ORDER BY?

```
SELECT major-id, AVG(grade)
FROM students, enroll
WHERE s-id = student-id AND sec-id = ...
GROUP BY major-id
HAVING AVG(grade) >= 60
ORDER BY AVG(grade) DESC;
```

# Logical Planning Order (Bottom Up)

- 1. Table plans (FROM)
- 2. Product plan (FROM)
- 3. Select plan (WHERE)
- 4. Group-by plan (GROUP BY)
- 5. Project (SELECT)
- 6. Having plan (HAVING)
- 7. Sort plan (ORDER BY)
- Fields mentioned in HAVING and ORDER BY clauses must appear in the project list

# **Update Planning**

- DDLs and update commands are usually simpler than SELECTs
  - Single table
  - WHERE only, no GROUP BY, HAVING, SORT BY, etc.
- Deterministic planning algorithm is often sufficient
- BasicUpdatePlanner implements
   deterministic planning algorithm for updates

# BasicUpdatePlanner

#### <<interface>> **UpdatePlanner** + executeInsert(data : InsertData, tx : Transaction) : int + executeDelete(data : DeleteData, tx : Transaction) : int + executeModify(data : ModifyData, tx : Transaction) : int + executeCreateTable(data : CreateTableData, tx : Transaction) : int + executeCreateView(data : CreateViewData, tx : Transaction) : int + executeCreateIndex(data : CreateIndexData, tx : Transaction) : int BasicUpdatePlanner + executeInsert(data : InsertData, tx : Transaction) : int + executeDelete(data : DeleteData, tx : Transaction) : int + executeModify(data : ModifyData, tx : Transaction) : int + executeCreateTable(data : CreateTableData, tx : Transaction) : int + executeCreateView(data : CreateViewData, tx : Transaction) : int + executeCreateIndex(data : CreateIndexData, tx : Transaction) : int

## executeModify

 The modification statement are processed by the method executeModify

```
public int executeModify(ModifyData data, Transaction tx) {
    Plan p = new TablePlan(data.tableName(), tx);
    p = new SelectPlan(p, data.pred());
    UpdateScan us = (UpdateScan) p.open();
    us.beforeFirst();
    int count = 0;
    while (us.next()) {
        Collection<String> targetflds = data.targetFields();
        for (String fld : targetflds)
            us.setVal(fld, data.newValue(fld).evaluate(us));
        count++;
    us.close();
    VanillaDb.statMgr().countRecordUpdates(data.tableName(), count);
    return count;
```

#### executeInsert

 The insertion statement are processed by the method executeInsert

```
public int executeInsert(InsertData data, Transaction tx) {
    Plan p = new TablePlan(data.tableName(), tx);
    UpdateScan us = (UpdateScan) p.open();
    us.insert();
    Iterator<Constant> iter = data.vals().iterator();
    for (String fldname : data.fields())
        us.setVal(fldname, iter.next());

us.close();
    VanillaDb.statMgr().countRecordUpdates(data.tableName(), 1);
    return 1;
}
```

## Methods for DDL Statements

## References

- Ramakrishnan Gehrke., chapters 4, 12, 14 and 15, Database management System, 3ed
- Edward Sciore., chapters 17, 18 and 19, Database Design and Implementation
- Hellerstein, J. M., Stonebraker, M., and Hamilton, J., Architecture of a database system, Foundations and Trends in Databases, 1, 2, 2007

# You Have Assignment!

# Assignment: Explain Query Plan

- Implement EXPLAIN SELECT
  - Shows how a SQL statement is executed by dumping the execution plan chosen by the planner
- E.g., EXPLAIN SELECT w-id FROM warehouses, dist WHERE w-id=d-id GROUP By w-id
- Output: a table with one record of one field query-plan of type varchar (500):

```
ProjectPlan (#blks=1, #recs=30)
   -> GroupByPlan (#blks=1, #recs=30)
   -> SortPlan (#blks=1, #recs=30)
        -> SelectPlan pred(w-id=d-id) (#blks=62, #recs=30)
        -> ProductPlan (#blks=62, #recs=900)
        -> TablePlan on(dist) (#blks=2, #recs=30)
        -> TablePlan on(warehouses) (#blks=2, #recs=30)
Actual #recs: 30
```

• A JDBC client can get the result through RemoteResultSet.getString("query-plan")

# Assignment: Explain Query Plan

Format for each node:

```
- ${PLAN_TYPE} [optional information]
  (#blks=${BLOCKS ACCESSED}, #recs=${OUTPUT RECORDS})
```

- Actual #recs
  - The actual number of records output from the corresponding scan

# Assignment: Explain Query Plan

- Report
  - How you implement explain operation
    - API changes and/or new classes
  - We provide the TPC-C testbed to test this assignment
    - Show the output of at least 4 different types of queries (print screen)
      - Single table query
      - Multiple tables query
      - Query with group by and order by
      - Query with group by and an aggregation function

## Hint

- Related packages:
  - query.algebra, query.parse, query.planner
- Better start from parser and lexer
  - SQL data for explain
- Implement a new plan for explain and modify existing plans
- Implement a new scan for explain

## Hint

- To use and modify the BasicQueryPlaner, change the default query planner type in properties file
  - At src/main/resources/org/vanilladb/core/vanilladb. properties
  - To

```
org.vanilladb.core.server.VanillaDb.QUERYPLANNE
R=org.vanilladb.core.query.planner.
BasicQueryPlanner
```