

Chapter 15: Query Processing

Database System Concepts, 7th Ed.

©Silberschatz, Korth and Sudarshan See www.db-book.com for conditions on re-use



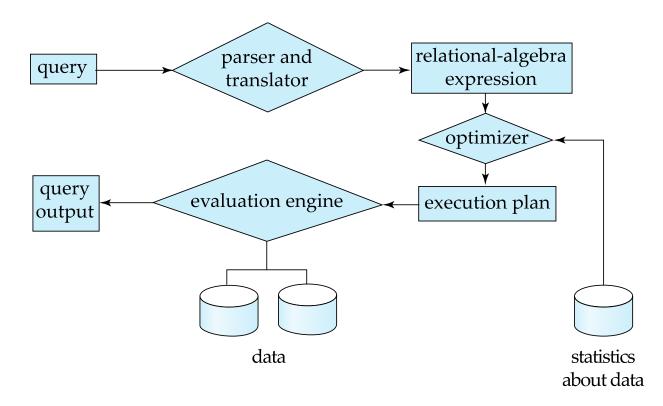
Chapter 15: Query Processing

- Overview
- Measures of Query Cost
- Selection Operation
- Sorting
- Join Operation
- Other Operations
- Evaluation of Expressions



Basic Steps in Query Processing

- 1. Parsing and translation
- 2. Optimization
- 3. Evaluation





Basic Steps in Query Processing (Cont.)

- Parsing and translation
 - translate the query into its internal form. This is then translated into relational algebra.
 - Parser checks syntax, verifies relations
- Evaluation
 - The query-execution engine takes a query-evaluation plan, executes that plan, and returns the answers to the query.



Basic Steps in Query Processing: Optimization

- A relational algebra expression may have many equivalent expressions
 - E.g., $\sigma_{salary<75000}(\prod_{salary}(instructor))$ is equivalent to $\prod_{salary}(\sigma_{salary<75000}(instructor))$
- Each relational algebra operation can be evaluated using one of several different algorithms
 - Correspondingly, a relational-algebra expression can be evaluated in many ways.
- Annotated expression specifying detailed evaluation strategy is called an evaluation-plan. E.g.,:
 - Use an index on salary to find instructors with salary < 75000,
 - Or perform complete relation scan and discard instructors with salary
 ≥ 75000



Basic Steps: Optimization (Cont.)

- Query Optimization: Amongst all equivalent evaluation plans choose the one with lowest cost.
 - Cost is estimated using statistical information from the database catalog
 - e.g.. number of tuples in each relation, size of tuples, etc.
- In this chapter we study
 - How to measure query costs
 - Algorithms for evaluating relational algebra operations
 - How to combine algorithms for individual operations in order to evaluate a complete expression
- In Chapter 16
 - We study how to optimize queries, that is, how to find an evaluation plan with lowest estimated cost



Measures of Query Cost

- Many factors contribute to time cost
 - disk access, CPU, and network communication
- Cost can be measured based on
 - response time, i.e. total elapsed time for answering query, or
 - total resource consumption
- We use total resource consumption as cost metric
 - Response time harder to estimate, and minimizing resource consumption is a good idea in a shared database
- We ignore CPU costs for simplicity
 - Real systems do take CPU cost into account
 - Network costs must be considered for parallel systems
- We describe how estimate the cost of each operation
 - We do not include cost to writing output to disk



Measures of Query Cost

- Disk cost can be estimated as:
 - Number of seeks * average-seek-cost
 - Number of blocks read * average-block-read-cost
 - Number of blocks written * average-block-write-cost
- For simplicity we just use the number of block transfers from disk and the number of seeks as the cost measures
 - t_T time to transfer one block
 - Assuming for simplicity that write cost is same as read cost
 - t_S time for one seek
 - Cost for b block transfers plus S seeks
 b * t_T + S * t_S
- t_S and t_T depend on where data is stored; with 4 KB blocks:
 - High end magnetic disk: $t_S = 4$ msec and $t_T = 0.1$ msec
 - SSD: $t_S = 20$ -90 microsec and $t_T = 2$ -10 microsec for 4KB



Measures of Query Cost (Cont.)

- Required data may be buffer resident already, avoiding disk I/O
 - But hard to take into account for cost estimation.
- Several algorithms can reduce disk IO by using extra buffer space
 - Amount of real memory available to buffer depends on other concurrent queries and OS processes, known only during execution
- Worst case estimates assume that no data is initially in buffer and only the minimum amount of memory needed for the operation is available
 - But more optimistic estimates are used in practice



Selection Operation

- File scan
- Algorithm A1 (linear search). Scan each file block and test all records to see whether they satisfy the selection condition.
 - Cost estimate = b_r block transfers + 1 seek
 - b_r denotes number of blocks containing records from relation r
 - If selection is on a key attribute, can stop on finding record
 - $cost = (b_r/2)$ block transfers + 1 seek
 - Linear search can be applied regardless of
 - selection condition or
 - ordering of records in the file, or
 - availability of indices
- Note: binary search generally does not make sense since data is not stored consecutively
 - except when there is an index available,
 - and binary search requires more seeks than index search



Selections Using Indices

- Index scan search algorithms that use an index
 - selection condition must be on search-key of index.
- A2 (clustering index, equality on key). Retrieve a single record that satisfies the corresponding equality condition
 - $Cost = (h_i + 1) * (t_T + t_S)$ -- assume only the root is in memory
- A3 (clustering index, equality on nonkey) Retrieve multiple records.
 - Records will be on consecutive blocks
 - Let b = number of blocks containing matching records
 - $Cost = h_i^* (t_T + t_S) + t_S + t_T^* b$



Selections Using Indices

- A4 (secondary index, equality on key/non-key).
 - Retrieve a single record if the search-key is a candidate key

•
$$Cost = (h_i + 1) * (t_T + t_S)$$

- Retrieve multiple records if search-key is not a candidate key
 - each of n matching records may be on a different block
 - Cost = $(h_i + n) * (t_T + t_S)$
 - Can be very expensive!



Selections Involving Comparisons

- Can implement selections of the form $\sigma_{A < V}(r)$ or $\sigma_{A > V}(r)$ by using
 - a linear file scan,
 - or by using indices in the following ways:
- A5 (clustering index, comparison). (Relation is sorted on A)
 - For $\sigma_{A \ge V}(r)$ use index to find first tuple $\ge V$ and scan relation sequentially from there
 - For $\sigma_{A \le V}(r)$ just scan relation sequentially till first tuple > v; do not use index
- A6 (secondary index, comparison).
 - For $\sigma_{A \ge V}(r)$ use index to find first index entry $\ge v$ and scan index sequentially from there, to find pointers to records.
 - For $\sigma_{A \le V}(r)$ just scan leaf pages of index finding pointers to records, till first entry > V
 - In either case, retrieve records that are pointed to
 - requires an I/O per record; Linear file scan may be cheaper!



Implementation of Complex Selections

- Conjunction(合取): $\sigma_{\theta 1} \wedge \theta_{2} \wedge \dots \theta_{n}(r)$
- A7 (conjunctive selection using one index).
 - Select a combination of θ_i and algorithms A1 through A7 that results in the least cost for $\sigma_{\theta_i}(r)$.
 - Test other conditions on tuple after fetching it into memory buffer.
- A8 (conjunctive selection using composite index).
 - Use appropriate composite (multiple-key) index if available.
- A9 (conjunctive selection by intersection of identifiers).
 - Requires indices with record pointers.
 - Use corresponding index for each condition, and take intersection of all the obtained sets of record pointers.
 - Then fetch records from file
 - If some conditions do not have appropriate indices, apply test in memory.



Algorithms for Complex Selections

- Disjunction(析取): $\sigma_{\theta 1} \vee_{\theta 2} \vee \ldots_{\theta n} (r)$.
- A10 (disjunctive selection by union of identifiers).
 - Applicable if all conditions have available indices.
 - Otherwise use linear scan.
 - Use corresponding index for each condition, and take union of all the obtained sets of record pointers.
 - Then fetch records from file
- Negation: $\sigma_{-\theta}(r)$
 - Use linear scan on file
 - If very few records satisfy $\neg \theta$, and an index is applicable to θ
 - Find satisfying records using index and fetch from file

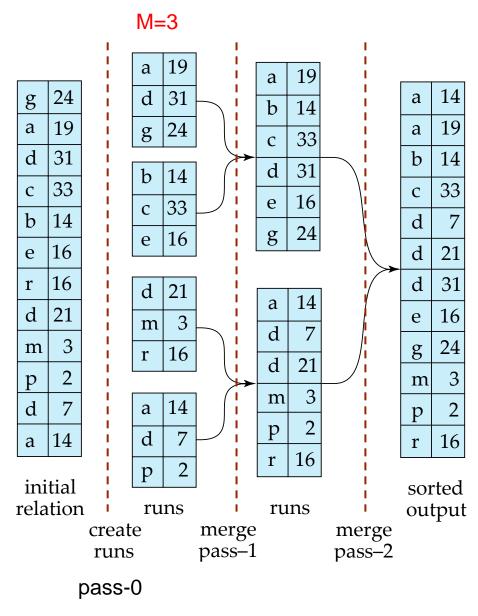


Sorting

- For relations that fit in memory, techniques like quicksort can be used.
- For relations that don't fit in memory, external sort-merge is a good choice.
- Remeber (Internal) merge sort?

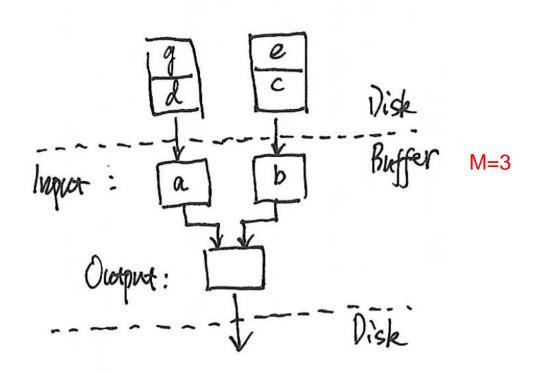


Example: External Sorting Using Sort-Merge





Example: External Sorting Using Sort-Merge



pass-1



2-Way External Merge Sort

Let's assume:

- Buffer size M=3
 - Input buffer size = 2 (can merge two blocks each time)
 - Output buffer size = 1
- Number of records B_r = 12, and one record per block

Sorting begins:

Pass-0: generate $\lceil B_r/M \rceil$ sorted runs

Pass-1: merge two runs each time, generate $[B_r/M]/2$ sorted runs

Pass-2: $\lceil B_r/M \rceil / 2^2$ sorted runs ...

Pass-n: $\lceil B_r/M \rceil / 2^n$ sorted runs ...

Until: only 1 sorted run

Total No. of passes: $\lceil \log_2(B_r/M) \rceil + 1$

Total block transfers: $2^*B_r^*$ (No. of passes)



External Sort-Merge

Let *M* denote memory size (in pages).

- 1. Pass-0: **Create sorted runs**. Let *i* be 0 initially. Repeatedly do the following till the end of the relation:
 - (a) Read M blocks of relation into memory
 - (b) Sort the in-memory blocks
 - (c) Write sorted data to run R_i; increment i.

Let the final value of *i* be *N*

$$N=\lceil B_r/M \rceil$$

2. Merge the runs (next slide).....



External Sort-Merge (Cont.)

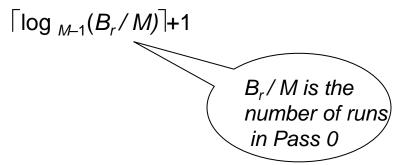
- **2.** Merge the runs (N-way merge). We assume (for now) that N < M.
 - Use N blocks of memory to buffer input runs, and 1 block to buffer output. Read the first block of each run into its buffer page
 - 2. repeat
 - 1. Select the first record (in sort order) among all buffer pages
 - 2. Write the record to the output buffer. If the output buffer is full write it to disk.
 - Delete the record from its input buffer page.
 If the buffer page becomes empty then read the next block (if any) of the run into the buffer.
 - 3. **until** all input buffer pages are empty:

Total number of passes required: only 2



External Sort-Merge (Cont.)

- If $N \ge M$, several merge passes are required.
 - In each pass, contiguous groups of M 1 runs are merged.
 - A pass reduces the number of runs by a factor of M-1, and creates runs longer by the same factor.
 - E.g. If M=11, and there are 90 runs, one pass reduces the number of runs to 9, each 10 times the size of the initial runs
 - Repeated passes are performed till all runs have been merged into one.
- Total number of passes required:





External Merge Sort (Cont.)

- Cost analysis:
 - 1 block per run leads to too many seeks during merge
 - Instead use b_b buffer blocks per run
 - \rightarrow read/write b_h blocks at a time
 - Can merge \(\bar{M}\) b_b\\ _-1 runs in one pass
 - Total number of merge passes required: \[\log_{\left|M/bb|-1}(B_r/M) \].
 - Block transfers for initial run creation as well as in each pass is 2B_r
 - for final pass, we don't count write cost
 - we ignore final write cost for all operations since the output of an operation may be sent to the parent operation without being written to disk
 - Thus total number of block transfers for external sorting:

$$B_r(2 \lceil \log_{|M/bb|-1} (B_r/M) \rceil + 1)$$

Seeks: next slide



External Merge Sort (Cont.) ***

- Cost of seeks
 - During run generation: one seek to read each run and one seek to write each run
 - $2\lceil B_r/M \rceil$
 - During the merge phase
 - Need $2 \lceil B_r / b_b \rceil$ seeks for each merge pass
 - except the final one which does not require a write
 - Total number of seeks:

$$2\lceil B_r/M \rceil + \lceil B_r/b_b \rceil (2\lceil \log_{\lfloor M/bb \rfloor - 1}(B_r/M) \rceil - 1)$$



Join Operation

- Several different algorithms to implement joins
 - Nested-loop join
 - Block nested-loop join
 - Indexed nested-loop join
 - Merge-join
 - Hash-join
- Choice based on cost estimate
- Examples use the following information
 - Number of records of student: 5,000 takes: 10,000
 - Number of blocks of student: 100 takes: 400



Nested-Loop Join

- To compute the theta join r ⋈ θ s
 for each tuple t_r in r do begin
 for each tuple t_s in s do begin
 test pair (t_r, t_s) to see if they satisfy the join condition θ if they do, add t_r t_s to the result.
 end
 end
- r is called the outer relation and s the inner relation of the join.
- Requires no indices and can be used with any kind of join condition.
- Expensive since it examines every pair of tuples in the two relations.



Nested-Loop Join (Cont.)

- In the worst case, if there is enough memory only to hold one block of each relation, the estimated cost is
 - $n_r*b_s+b_r$ block transfers, plus n_r+b_r seeks (假定內循环表每个盘块相邻)
 - 外循环表每个盘块即使相邻, 最坏情况下也需要b, 个seek, 为什么?
- If the smaller relation fits entirely in memory, use that as the inner relation.
 - Reduces cost to $b_r + b_s$ block transfers and 2 seeks (假定內外循环的表每个盘块都相邻)
- Assuming worst case memory availability cost estimate is
 - with student as outer relation:
 - 5000 * 400 + 100 = 2,000,100 block transfers,
 - 5000 + 100 = 5100 seeks
 - with takes as the outer relation
 - 10000 * 100 + 400 = 1,000,400 block transfers and 10,400 seeks
- If smaller relation (student) fits entirely in memory, the cost estimate will be 500 block transfers.
- Block nested-loops algorithm (next slide) is preferable.



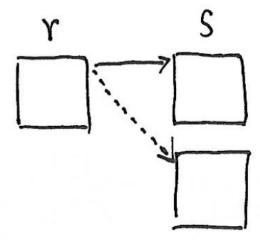
Block Nested-Loop Join

 Variant of nested-loop join in which every block of inner relation is paired with every block of outer relation.

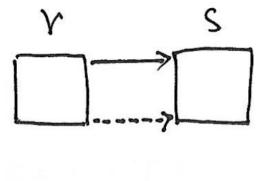
```
for each block B_r of r do begin
for each block B_s of s do begin
for each tuple t_r in B_r do begin
Check if (t_r, t_s) satisfy the join condition
if they do, add t_r \cdot t_s to the result.
end
end
end
```



Nested-Loop Join



Block Nested-Loop Join





Block Nested-Loop Join (Cont.)

- Worst case estimate: $b_r * b_s + b_r$ block transfers + 2 * b_r seeks
 - Each block in the inner relation s is read once for each block in the outer relation
- Best case: $b_r + b_s$ block transfers + 2 seeks.
- Improvements to nested loop and block nested loop algorithms:
 - In block nested-loop, use M 2 disk blocks as blocking unit for outer relations, where M = memory size in blocks; use remaining two blocks to buffer inner relation and output
 - Cost = $\lceil b_r / (M-2) \rceil * b_s + b_r$ block transfers + $2 \lceil b_r / (M-2) \rceil$ seeks
 - If equi-join attribute forms a key on inner relation, stop inner loop on first match
 - Scan inner loop forward and backward alternately, to make use of the blocks remaining in buffer (with LRU replacement)
 - Use index on inner relation if available (next slide)



Indexed Nested-Loop Join

- Index lookups can replace file scans if
 - join is an equi-join or natural join and
 - an index is available on the inner relation's join attribute
 - Can construct an index just to compute a join.
- For each tuple t_r in the outer relation r, use the index to look up tuples in s that satisfy the join condition with tuple t_r .
- Worst case: buffer has space for only one page of r, and, for each tuple in r, we perform an index lookup on s.
- Cost of the join: $b_r(t_T + t_S) + n_r * c$
 - Where c is the cost of traversing index and fetching all matching s tuples for one tuple or r
 - c can be estimated as cost of a single selection on s using the join condition.
- If indices are available on join attributes of both r and s, use the relation with fewer tuples as the outer relation.



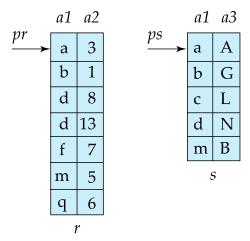
Example of Nested-Loop Join Costs

- Compute student ⋈ takes, with student as the outer relation.
- Let takes have a primary B+-tree index on the attribute ID, which contains 20 entries in each index node.
- Since takes has 10,000 tuples, the height of the tree is 4, and one more access is needed to find the actual data (400 blocks)
- student has 5000 tuples (100 blocks)
- Cost of block nested loops join
 - 400*100 + 100 = 40,100 block transfers + 2 * 100 = 200 seeks
 - assuming worst case memory
 - may be significantly less with more memory
- Cost of indexed nested loops join
 - 100 + 5000 * 5 = 25,100 block transfers and seeks.
 - CPU cost likely to be less than that for block nested loops join



Merge-Join

- 1. Sort both relations on their join attribute (if not already sorted on the join attributes).
- 2. Merge the sorted relations to join them
 - Join step is similar to the merge stage of the sort-merge algorithm.
 - 2. Main difference is handling of duplicate values in join attribute every pair with same value on join attribute must be matched
 - Detailed algorithm in book





Merge-Join (Cont.)

- Can be used only for equi-joins and natural joins
- Each block needs to be read only once (assuming all tuples for any given value of the join attributes fit in memory
- Thus the cost of merge join is:

$$b_r + b_s$$
 block transfers $+ \lceil b_r / b_b \rceil + \lceil b_s / b_b \rceil$ seeks

- + the cost of sorting if relations are unsorted.
- Assume b_b buffer blocks are allocated to each relation
- hybrid merge-join: If one relation is sorted, and the other has a secondary B+-tree index on the join attribute
 - Merge the sorted relation with the leaf entries of the B+-tree.
 - Sort the result on the addresses of the unsorted relation's tuples
 - Scan the unsorted relation in physical address order and merge with previous result, to replace addresses by the actual tuples
 - Sequential scan more efficient than random lookup



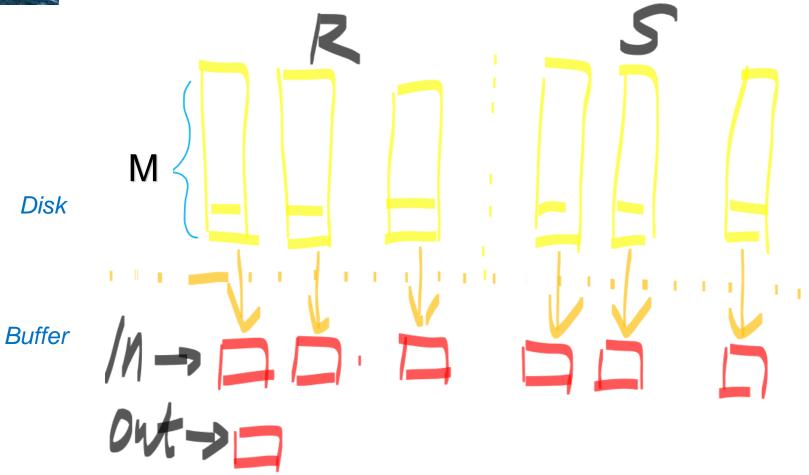
Refinement of Sort-Merge Join

- We can combine the merging phases in the sorting of R and S with the merging required for the join.
 - Let B_R and B_S be the # of pages of the two relations respectively
 - □ Let # of buffer pages = M, and M > $\sqrt{B_R + B_S}$
 - Pass 0: use the sorting refinement (p15.21) that produces runs of length
 - \square Then, #runs of R is B_R/M, and #runs of S is B_S/M.
 - Pass 1: Allocate 1 page per run of each relation, and `merge' while checking the join condition \(\)

因为满足 $B_R/M+B_S/M<M$,所以两个表的所有有序段(runs)都可以同时合并



How to merge the two relations in Pass-1?





Refinement of Sort-Merge Join

- □ Cost:
 - Pass 0: read+write each relation
 - Pass 1: read each relation in (only) merging pass (omit writing of result tuples).
- ☐ In example instructor ⋈ teaches

Let M=25, cost goes to 1500 I/Os.

- □ Pass 0: (400+100)*2
- □ Pass 1: 400+100

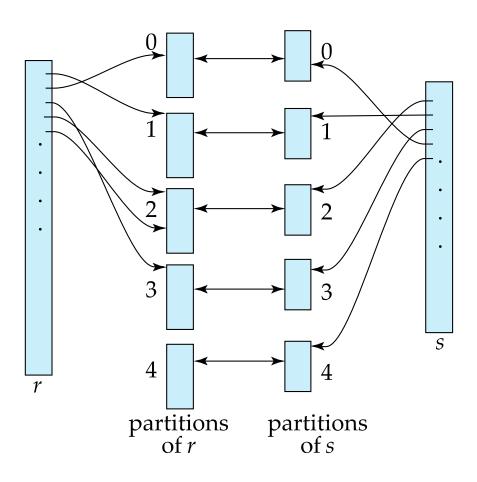


Hash-Join

- Applicable for equi-joins and natural joins.
- A hash function h is used to partition tuples of both relations
- *h* maps *JoinAttrs* values to {0, 1, ..., *n*}, where *JoinAttrs* denotes the common attributes of *r* and *s* used in the natural join.
 - r_0, r_1, \ldots, r_n denote partitions of r tuples
 - Each tuple $t_r \in r$ is put in partition r_i where $i = h(t_r[JoinAttrs])$.
 - s_0, s_1, \ldots, s_n denotes partitions of s tuples
 - Each tuple $t_s \in s$ is put in partition s_i , where $i = h(t_s [JoinAttrs])$.
- *Note:* In book, Figure 12.10 r_i is denoted as $H_{ri,}$ s_i is denoted as H_{si} and n is denoted as n_h .



Hash-Join (Cont.)





Hash-Join Algorithm

The hash-join of *r* and *s* is computed as follows.

- 1. Partition the relation s using hashing function h. When partitioning a relation, one block of memory is reserved as the output buffer for each partition.
- 2. Partition *r* similarly.
- 3. For each i:
 - (a)Load s_i into memory and build an in-memory hash index on it using the join attribute. This hash index uses a different hash function than the earlier one h.
 - (b) Read the tuples in r_i from the disk one by one. For each tuple t_r locate each matching tuple t_s in s_i using the in-memory hash index. Output the concatenation of their attributes.

Relation s is called the **build input** and r is called the **probe input**.



Hash-Join algorithm (Cont.)

- The value n and the hash function h is chosen such that each s_i should fit in memory.
 - Typically n is chosen as 「b_s/M] * f where f is a "fudge factor" (修正 因子), typically around 1.2
 - The probe relation partitions r_i need not fit in memory
- **Recursive partitioning** required if number of partitions *n* is greater than number of pages *M* of memory.
 - instead of partitioning n ways, use M-1 partitions for s
 - Further partition the M-1 partitions using a different hash function
 - Use same partitioning method on r
 - Rarely required: e.g., with block size of 4 KB, recursive partitioning not needed for relations of < 1GB with memory size of 2MB, or relations of < 36 GB with memory of 12 MB



Handling of Overflows

- Partitioning is said to be skewed if some partitions have significantly more tuples than some others
- Hash-table overflow occurs in partition s_i if s_i does not fit in memory.
 Reasons could be
 - Many tuples in s with same value for join attributes
 - Bad hash function
- Overflow resolution can be done in build phase
 - Partition s_i is further partitioned using different hash function.
 - Partition r_i must be similarly partitioned.
- Overflow avoidance performs partitioning carefully to avoid overflows during build phase
 - E.g., partition build relation into many partitions, then combine them
- Both approaches fail with large numbers of duplicates
 - Fallback option: use block nested loops join on overflowed partitions



Cost of Hash-Join

- If recursive partitioning is not required: cost of hash join is $3(b_r + b_s) + 4*n$ block transfers, and $2(\lceil b_r/b_b \rceil + \lceil b_s/b_b \rceil) + 2*n$ seeks
 - The overhead 4*n is usually quite small compared to b_r + b_s and can be ignored. b_b is the size of input buffer.
 - See p716 of the textbook for an explanation
- If recursive partitioning required:
 - number of passes required for partitioning build relation s to less than M blocks per partition is $\lceil log_{M/bb} \rfloor_{-1} (b_s/M) \rceil$
 - best to choose the smaller relation as the build relation.
 - Total cost estimate is:

$$2(b_r + b_s) \lceil log_{M/bb - 1}(b_s/M) \rceil + b_r + b_s$$
 block transfers + $2(\lceil b_r/b_b \rceil + \lceil b_s/b_b \rceil) \lceil log_{M/bb - 1}(b_s/M) \rceil$ seeks

- If the entire build input can be kept in main memory no partitioning is required
 - Cost estimate goes down to $b_r + b_s$.



Example of Cost of Hash-Join

instructor ⋈ teaches

- Assume that memory size is 20 blocks
- $b_{instructor}$ = 100 and $b_{teaches}$ = 400.
- instructor is to be used as build input. Partition it into five partitions, each of size 20 blocks. This partitioning can be done in one pass.
- Similarly, partition teaches into five partitions, each of size 80. This
 is also done in one pass.
- Therefore total cost, ignoring cost of writing partially filled blocks:
 - 3(100 + 400) = 1500 block transfers



Evaluation of Expressions

- So far: we have seen algorithms for individual operations
- Alternatives for evaluating an entire expression tree
 - Materialization: generate results of an expression whose inputs are relations or are already computed, materialize (store) it on disk. Repeat.
 - Pipelining: pass on tuples to parent operations even as an operation is being executed
- We study above alternatives in more detail

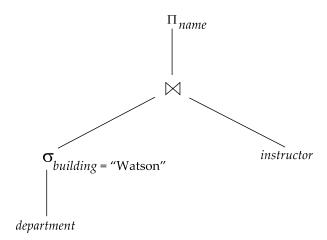


Materialization

- Materialized evaluation: evaluate one operation at a time, starting at the lowest-level. Use intermediate results materialized into temporary relations to evaluate next-level operations.
- E.g., in figure below, compute and store

$$\sigma_{building = "Watson"}(department)$$

then compute and store its join with *instructor*, and finally compute the projection on *name*.





Materialization (Cont.)

- Materialized evaluation is always applicable
- Cost of writing results to disk and reading them back can be quite high
 - Our cost formulas for operations ignore cost of writing results to disk, so
 - Overall cost = Sum of costs of individual operations + cost of writing intermediate results to disk
- Double buffering: use two output buffers for each operation, when one
 is full write it to disk while the other is getting filled
 - Allows overlap of disk writes with computation and reduces execution time



Pipelining

- Pipelined evaluation: evaluate several operations simultaneously, passing the results of one operation on to the next.
- E.g., in previous expression tree, don't store result of

$$\sigma_{building = "Watson"}(department)$$

- instead, pass tuples directly to the join. Similarly, don't store result of join, pass tuples directly to projection.
- Much cheaper than materialization: no need to store a temporary relation to disk.
- Pipelining may not always be possible e.g., sort, hash-join.
- For pipelining to be effective, use evaluation algorithms that generate output tuples even as tuples are received for inputs to the operation.
- Pipelines can be executed in two ways: demand driven and producer driven



Pipelining (Cont.)

- In demand driven or lazy evaluation
 - system repeatedly requests next tuple from top level operation
 - Each operation requests next tuple from children operations as required, in order to output its next tuple
 - In between calls, operation has to maintain "state" so it knows what to return next
- In producer-driven or eager pipelining
 - Operators produce tuples eagerly and pass them up to their parents
 - Buffer maintained between operators, child puts tuples in buffer, parent removes tuples from buffer
 - if buffer is full, child waits till there is space in the buffer, and then generates more tuples
 - System schedules operations that have space in output buffer and can process more input tuples
- Alternative name: pull and push models of pipelining



End of Chapter 15



Assignments

- **1**5.1, 15.3
- Submission deadline: Dec 8, 2024



- 原来这么多数据库的部分底层模块是用c++实现的
 - https://blog.csdn.net/m0_75032658/article/details/137469550
- 怎么实现一个简单的数据库系统? 知乎 https://www.zhihu.com/question/26802517
- 做数据库内核开发的是不是很少? 知乎 https://www.zhihu.com/question/445283801