# **CS307 Project1 Report**

### **Basic information**

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contributions: 50% 50%

Task 1: 安钧文, 张海涵

Task2: create table 安钧文

Task3: import data 安钧文, bonus 安钧文 张海涵

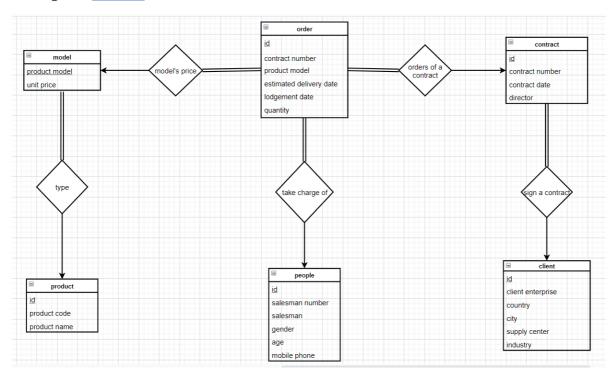
Taks4: DBMS 安钧文, File I/O 张海涵, indexing 安钧文,user privilege 张海涵,comparison with

python 安钧文

report:安钧文,张海涵

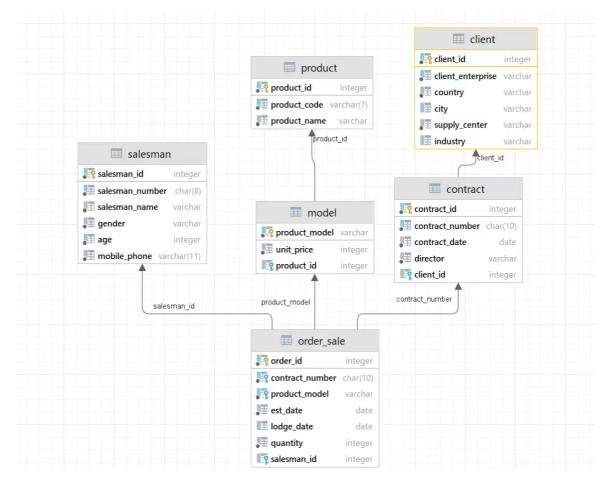
# Task 1: E-R Diagram

Plotting tool: 迅捷画图



# **Task 2: Database Design**

# 1) E-R diagram generated by DataGrip



## 2) Describe table design

According to the E-R diagram, we designed six entity set: salesman, contract, model, order\_sale, product and client.

Firstly, we divided the data into four group: salesman, product, contract and client.

- For group salesman, we can easily group attributes: salesman (name), salesman\_number, gender, age and mobile\_phone. Considering about salesman\_number is the identifier like student ID, so set salesman\_number unique not null.
- For group product, noticed that one product\_code has only one product\_name and many product\_model, so separated table product contains product\_code and product\_name, set product\_code not null unique, and table model to store the specific message like model's unit\_price. So the one-to-many relationship can be founded. We use the foreign key in model to constrain the relation.
- For group client, note that one client\_enterprise has its own supply\_center, country, city and industry, so we grouped them. In real life, client enterprise is unique, so set it not null unique.
- For group contract, noticed that one contract has one and only one <code>contract\_date</code>, <code>director</code> and <code>client\_enterprise</code>, but can contain many <code>product\_model</code> s, with different <code>estimated\_delivery\_date</code> 、 <code>lodgement\_date</code> and <code>quantity</code>. About this two kind of information, we create table <code>contract</code> to store the contract public information, set <code>contract\_number</code> unique not null. And table <code>order\_sale</code> to store the specific information. Considering that the info in <code>order\_sale</code> depend on contract and its model, so we set <code>contract\_number</code> and <code>product\_model</code> as composite primary key. The relation between <code>contract</code> and <code>order\_sale</code> is one-to-many, we use foreign key in order\_sale to constrain the unique attributes.

Then describe the relations in our database:

- The relation between product and model is one-to-many.
- The relation between salesman and order\_sale is one-to-many.
- The relation between client and contract is one-to-many.
- The relation between model and order\_sale, contract and order\_sale is one-to-many.

In many side, there are always foreign keys to constraint the relation.

#### Notes:

Test for NF:

It must satisfy 1NF because the info in contract\_info.csv is already atomic.

For 2NF, just need to test table order\_sale. The attributes in this table is part of single line info in contract\_info.csv. And the contract\_number and product\_model determined the single line. So it satisfies.

The table design is also satisfy 3NF.

• In every table(except table mode1), set a serial primary key id to simplify the reference.

## Task 3: Data Import

### 1) Script Code:

The script is modified from AverageLoader.java in the given demo. Here we only provide essential parts of the script. Some parts of code are omitted for simplification.

#### Method openDB()

This is the method which connects to our database and declares <code>insert...values</code> SQL statements for data importing.

#### Method closeDB()

This is the method that closes the database after successful imports.

```
private static void closeDB() {
    stmtClient.close();
    con.close();
    con = null;
}
```

### Method loadData()

This is an overloaded method designed for inserting different number of columns. Here we only show one of them.

```
private static void loadData(String a, String b, PreparedStatement stm)
    throws SQLException {
    stm.setString(1, a);
    stm.setString(2, b);
    stm.executeUpdate();
}
```

#### Method main()

This is the main method that we give parameters, do the imports, and measure the efficiency.

```
public static void main(String[] args) {
   String fileName = null;
   boolean verbose = false;
   //configure database parameters
   Properties defprop = new Properties();
   defprop.put("host", "localhost"); defprop.put("user", "checker");
   defprop.put("password", "123456");
   defprop.put("database", "contract_project");
   Properties prop = new Properties(defprop);
   try (BufferedReader infile = new BufferedReader(new FileReader(fileName))) {
       String line;
       String[] parts;
       String a, b, c, d, e, f; //column names
       int cnt = 0;
openDB(prop.getProperty("host"),prop.getProperty("database"),prop.getProperty("
user"), prop.getProperty("password"));
       while ((line = infile.readLine()) != null) {
            parts = line.split(",");
            if (parts.length > 1) {
                a = parts[0];
                b = parts[1];
                loadData(a, b, stmtOrder);
                cnt++;
           }}
       con.commit();
       closeDB();
   }}
```

## 2) Script Descriptions

#### **Prerequisites**:

contract\_info.csv should be filtered in advance. First, we only want the columns that matches the target table. Second, the rows in unique column must not contain duplicate values. A filtered .csv file is needed for the script to function properly.

For example, we need to import data to table product. First, we create a new .csv file that contains only product code and product name. Next, since we set product code as unique, we need to filter out all duplicate rows in the column. After that, we are ready to use the script.

Note that to reach the requirements, the user can either use a script written in java (code in zip file) or simply use Microsoft Excel's built in functions.

To distinguish from further tests, all .csv files used here does not include a serial id column, file names are xxx\_wout.csv (model table itself doesn't have a id column, so this particular file won't be distinguished).

#### Steps:

- 1. Configure database parameters in main
- 2. Declare SQL statements in openDB, here we use stmtProduct (insert into table product) as an example.
- 3. Enter program arguments in "Edit Configurations". It should be -v filename. For example, -v product\_wout.csv
- 4. Configure arguments to pass into loadbata in main. The last argument should be your SQL statement, the rest are data parts to be imported. If successfully imported, you should see its speed and number of records imported, otherwise an exception.
  - For example, product\_wout.csv has 2 columns, thus parts is a String array of length 2. parts[0] is product code and parts[1] is product name (matched with the order in your .csv file). Call method loadData(parts[0], parts[1], stmtProduct).

#### **Cautions:**

- 1. While passing arguments into loadData, please be aware of their order. Their order match the order of ? in the SQL statement passed in.
- 2. Please put all the required files in the project directory.
- 3. If there exists foreign keys in a table to be imported, you should also include a unique column of the referenced table in your target .csv file.
  - For example, include the referenced client enterprise in contract\_wout.csv for table contract's foreign key.
- 4. This script can only import data of one table at a time.

## 3) Import Data with Python

We implemented three methods to import data using Python 3.9.6. Methods 1 and 2 use psycopg2, method 3 uses pandas and sqlalchemy. All tests use table order\_sale and data order.csv, full script is in the zip file.

#### 1. Use execute()

This method is similar to the script described above. We use execute() function to insert data, which inserts data one row at a time. commit() after all inserts are executed.

### 2. Use execute\_batch()

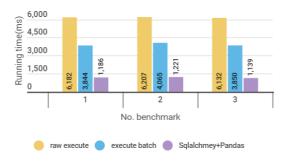
This method is similar to <code>GoodLoader.java</code> in the provided demo, which execute groups of statements at a time, improving the performance. <code>commit()</code> after calling <code>execute\_batch()</code>. Note that before calling <code>execute\_batch()</code>, all data rows needs to be converted to tuples, and appending these tuples into a <code>args\_list</code> to pass in to <code>execute\_batch()</code>. This preprocessing stage could cause reduced speed, here we only used file object and use iteration to process. There may exist other more optimized approach.

### 3. Use create\_engine and to\_sql()

This method uses two extra libraries. sqlalchemy is used to create a engine that connect to database, and pandas is used to import data to a table.

**One critical flaw** is that it will replace the original table and change the columns' data types according to the data types generated in pandas's dataframe. In our example, [int] will be converted to bigint, and other types will be converted to text.

#### Test results:

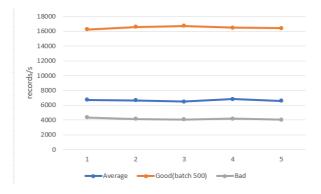


From the figure, <code>execute\_batch()</code> is much faster than <code>execute()</code>, which shows that batch loading can increase performance by reducing the number of server roundtrips. Although method 3 is much better in performance, but it's destructive to the tables, so users should treat it with care. Another interesting fact is that method 1 and the original java script uses similar methods (execute one at a time, commit at last), but java is slightly faster than python.

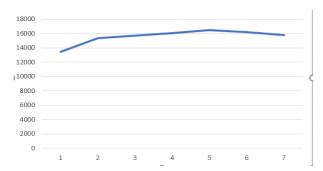
## 4) Other ways to import and optimize

Based on GoodLoader.java and BadLoader.java in demo, we modified it and import data. In GoodLoader.java, we use Batch to commit several statements in a time.

Then we test 5 times of the three methods, through the result, we can see the GoodLoader is about 2.5 times faster than AverageLoader, and about 4 times faster than BadLoader.



Try to find the optimized batch size, we change the size to 10, 50, 100, 200, 500, 1000, 2000, in each size we test for 5 times and calculate the average result. Then draw the diagram:



Through the diagram, we can see the fifth test, which batch size is 500, it reaches a local maximum. So we choose the 500 as the batch size.

# Task4 - Compare DBMS with File I/O

### 1) Test environment

### **Hardware specification:**

CPU: Intel(R) Core(TM) i5-10500 CPU @ 3.10GHz

RAM: 16.0 GB

Disk: 1TB SATA/600 HDD

### **Software specification:**

Operating System: Windows 10 Professional 21H2

DBMS: Postgresql 14.2

Programming languages: Java (version 1.8.0\_321), Python (version 3.9.6)

Development environment:

- 1. IDE: IntelliJ IDEA 2021.3.2 Ultimate Edition for Java development, PyCharm 2021.3.2 Ultimate Edition for Python development.
- 2. Libraries: postgresq1-42.2.5.jar and java.io.\* used for Java development, psycopg2, file object, pandas 1.4.2 and sq1a1chemy for Python development.

Data visualization tool: Infogram

## 2) Test data

### **DBMS**:

In this task, we mainly used table order\_sale to experiment. In some multi-table query tests, other tables were also used. Here we only provide DDL of table order\_sale, other tables' DDL are included in zip file. We added foreign key constraint after the table is created using alter table.

```
add constraint sm_fk foreign key (salesman_id) references salesman
(salesman_id);
```

### Data file:

In this task, we directly use the export tables transfer to .csv as the file document. And mainly use order.csv for test.

## 3) Script Description

### DataManipulation.java:

An interface which includes the methods that we will use. Here's a list of methods implemented:

```
public void openDatasource();
public void closeDatasource();
//single table queries
public String allOrders();
public String findOrdersByModel(String model);
public String findOrdersByQuantity(int min, int max);
//single table aggregate function queries
public int countAllContracts();
public String maxQuantityContract();
public String countOrdersByModel(String model);
public String mostOrdersContract();
//multiple table queries
public String countSalesmanOrders();
public String findOrdersByPrice(int min,int max);
public String findContractClientIndustry(String industry);
//insert
public void addOneOrder(String str);
//delete
public void deleteOrderByID(int id);
//update
public void updateQuantityByID(int quantity,int id);
```

### DatabaseManipulation.java:

The script that conduct data manipulations using Database API. Method <code>openDatasource()</code> and <code>closeDatasource()</code> are used to connect and disconnect from the database. Other methods are used to manipulate data using SQL statements. After each <code>selection</code> query, result set is built into strings which are ready to print. While testing, the tester can also choose to print the query result to make sure the query fetch correct results.

For example, method allorders() corresponds to select \* from order\_sale, and it returns every row and every column in order\_sale.

Methods with parameters are also included, for example, findordersByModel(String model) corresponds to select contract\_number, product\_model from order\_sale where product\_model like ? , parameter model is passed to replace ? .

### FileManipulation.java:

The script that conduct data manipulations using file API.

In file IO, we don't need to consider the time cost in <code>openDatasource()</code> and <code>closeDatasource()</code>. Methods almost use many string functions like <code>split()</code>, <code>substring()</code>, use <code>hashmap</code> and <code>list</code> to record data and bind different table in multiple query.

### Client.java:

The program that runs benchmark. It creates instances of FileManipulation and DatabaseManipulation, and benchmark them separately by calling benchmarkFM() and benchmarkDM(). System.currentTimeMillis() is used to get current time.

```
FileManipulation fm = new FileManipulation();
DataManipulation dm = new DatabaseManipulation();
benchmarkDM(dm);
benchmarkFM(fm);
```

## 4) Comparative analysis

Here we conducted comparative analysis between DBMS and file IO of four types of operation: select, insert, update, delete. We'll compare them on statement level. **Time spent on opening and closing database are not counted.** 

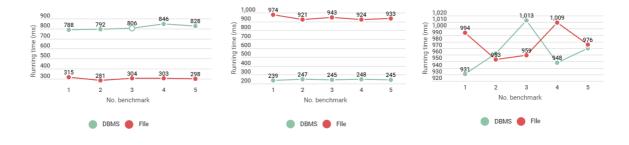
Test results may differ depending on the testing environment and implementation.

### Select:

10 different select queries will be analyzed. Each type of query will be executed repeatedly for more than 10 times to get a clearer time comparison. Specific number of executions are stated below (x10 means 10 repeated executions). Additionally, each benchmark will be run 5 times to make test result more robust and plausible. All values are in milliseconds (ms).

#### Single table selections:

Below are result figures of select statements 1 to 3 organized from left to right.



#### Observations and thoughts:

- 1. While selecting all rows in a table (statement 1), file IO is faster than DMBS. This could be due to implementation. While printing query result, it need to go through the result set and again and append each column to string, but this step is done using file IO during query, which means DBMS is spending twice the time of file IO to query and print.
- 2. While selecting specific rows using <code>like</code>, DBMS is faster than file IO. Different from selecting all rows, result set is much smaller, thus printing result takes much less time here.

  Additionally, there could be optimization in Postgres described <a href="here">here</a>, where as file IO must iterate all rows to produce the results.

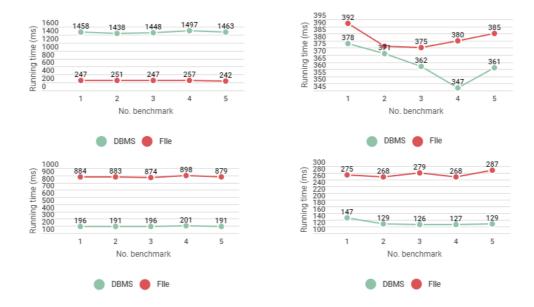
When all possible execution plans have been generated, the optimizer searches for the least-expensive plan. Each plan is assigned an estimated execution cost. Cost estimates are measured in units of disk I/O.

After choosing the (apparently) least-expensive execution plan, the query executor starts at the beginning of the plan and asks the topmost operator to produce a result set. Each operator transforms its input set into a result set.

- 3. While performing range queries, DBMS and file IO have similar efficiency, again, this could be influenced by result set size of DMBS, and the extra time needed to print the results. In this experiment, the result set should be about half the size of all rows. Further tests on range query and result set are shown below.
- 4. File IO takes similar amount of time in test 2 and 3, because it just iterate all rows and print the queried rows, with no extra printing time needed.

### Single table aggregate function selections:

Below are result figures of select statements 4 to 5 in the first row and 6 to 7 in the second row, both organized from left to right.

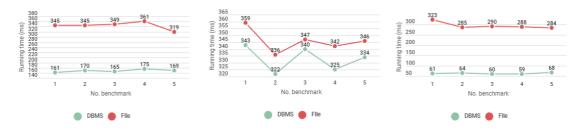


### Observations and thoughts:

- distinct keyword makes DBMS much slower in queries (test 4) than file IO. According to this page, distinct sorts the result set and filters out the duplicate records. In file IO, Hashmap is used to filter out duplicate data, which is much more efficient, as is shown in the figure.
- 2. max() has similar efficiency in both file IO and DBMS, but DBMS is slightly faster. File IO used Hashmap and Arraylist to filter and sort the data, which implies that Postgresql could also use similar technique to find max value.
- 3. DBMS is more than 4 times faster than file IO in test 6, and twice as fast as file IO in test 7 while performing subqueries, which again indicates Postgres' optimization query strategy.

### Multiple table selections:

Below are result figures of select statements 8 to 10 organized from left to right.



#### Observations and thoughts:

1. Generally, DBMS is faster than file IO while doing multi-table queries. As stated <u>here</u>, optimization could happen while performing these queries.

If the query involves two or more tables, the planner can suggest a number of different methods for joining the tables.

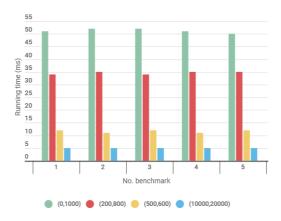
2. Test 9 involves between and keyword, still efficiency could be influenced by result set size.

### Further experiments on result set size

The below query are performed with different parameters, 10 times for each set of parameter.

```
select contract_number, product_model, quantity from order_sale where quantity between ? and ? -- (0,1000),(200,800),(500,600),(10000,20000)
```

Here's the result:



Now we can clearly see that result set size do have an influence on efficiency of DBMS. **This** result only applies to SQL statements in java, and when in need of printing the result set.

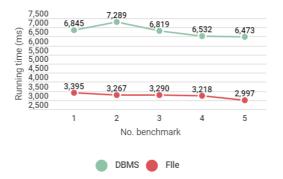
#### Insert:

We have prepared 25000 rows of new data to insert into the original order\_sale table. We will use the following statement, and repeat it for 25000 times, each corresponding to a row of new data. We have ensured <code>contract\_number</code> and <code>product\_mode1</code> will remain unique so that they can be inserted into the table. The data and data generation script are in zip file.

Both methods' time count start after reading in the data and end when there's no more data in buffered reader.

```
insert into order_sale (order_id, contract_number,
product_model,est_date,lodge_date,quantity,salesman_id) values (?,?,?,?,?,?);
```

Results are shown below:



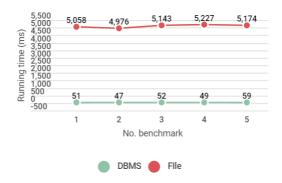
DBMS takes twice the time of file IO. This could be because DBMS requires extra steps to load data for every column (the parameters in values()), while file IO only has to write in the line directly.

### Update:

We will update 100 rows' quantity attribute to 5000 using the below statement.

```
update order_sale set quantity = ? where order_id = ? -- order_id are from 1 to
100
```

Results are shown below:



DBMS is more faster than File IO. This could be because the test statement updates a single line. File IO needs to read and rewrite after called every time. So when doing a large range of update, the more read and rewrite time will waste much times. But if we change the statement to find a range of order\_id in a time, it will be more faster because it just need one time read and rewrite.

### Delete:

Similar to insert, we will delete the data 100 rows at a time. The deleted rows are newly inserted in insert test.

```
delete from order_sale where order_id=? -- benchmark will run 5 times, so
order_id are from 50001 to 50500
```

Results are shown below:



The result could be due to similar reason as update because of the constraint of statement.

Note that all additional tests below use original order\_sale table (without 25000 new columns or updated quantity).

## 5) Database indexing and file IO

### **Index types**

According to <u>document</u>, there are multiple index types in Postgres, and the user can decide which index type to use with <u>using</u> keyword. Here, we will only focus on B+ tree index implementation.

B+ tree is a type of balanced binary search tree that contains keys of stored data. It's especially useful in database systems or file systems, as it can greatly reduce time spent on disk IO. Different from B-tree (which is used in Postgres), B+ tree is more efficient in doing range queries since the leaf nodes are doubly linked, so that it won't need to search from the root again and again.

In this project, we will compare the efficiency of different statements in DBMS with or without index, and in file IO with or without B+ tree optimization.

### **B+ tree implementation**

We have included a basic B+ tree implementation in java, which can perform insert/search operations.

There are two classes: **Bplustree** and **Node**. Degree of the tree indicates how many keys can put in a single node, since we only have a table with 50000 rows in it, we will set max degree to 10000.

```
public class Bplustree {
    public Node root; //root of the tree
    public int maxD; //max degree
    public HashMap<Integer, String> map = new HashMap<>(); //key-value pair
}

public class Node {
    int maxD,minD,curD; //max degree, min degree, current number of keys in node
    Node left,right; //left/right leaf (if isLeaf=true)
    Node parent; //parent node
    ArrayList<Node> child; //child pointers
    ArrayList<Integer> keys; //stored keys (sorted)
    boolean isLeaf=false; //if true, it can access data using Bplustree's map
}
```

insert/search are declared in Bplustree. Note that delete operation is not implemented, as we didn't use this operation.

```
public void insert(int key, String val){} //insert key and it's value
public Object searchValue(int key) {} //search for key's value
public Object rangeSearch(int min, int max){} //search for values bounded by
keys min and max (min inclusive, max exclusive)
public Object updateValue(int key, String newValue){}//update value of key in
map, and return updated value
```

### **Primary key indexes**

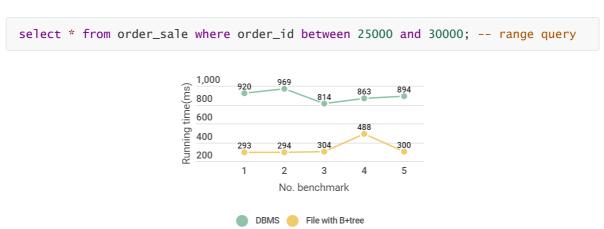
According to Postgres <u>document</u>, adding a unique or primary key constraint will automatically create a unique b-tree index on the column or group of columns used in the constraint.

While using DBMS to operate on these columns (e.g. select \* from order\_sale where order\_id = 35000), indexing is used automatically to improve its efficiency. However, running data manipulation using file IO doesn't have that kind of improvement, so that it's significantly slower than DBMS.

We then used this statement to benchmark running time (repeatedly run 500 times) of DBMS, raw file IO and file IO with B+ tree. **Note that the process of building a B+ tree (create index) is also counted into running time in all related benchmarks.** 



To test B+ tree's effectiveness on range queries, we benchmarked again using this statement. Range size is set smaller to reduce the extra print time.



B+ tree is significantly more efficient than raw file IO, and is even slightly faster than DBMS in single query. In range queries, B+ tree is significantly faster than DBMS, indicating B+ tree's effectiveness in searching elements in a range.

### Non-primary key indexes

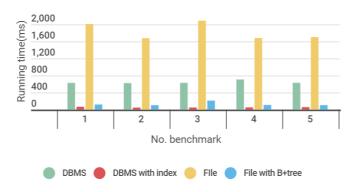
Besides indexing on primary key and unique columns, indexes can also be created on other columns according to <u>document</u>.

We created an index on product\_model column and sort it in ascending order.

```
create index model_asc on order_sale (product_model asc);
```

We used this statement to benchmark running time (repeatedly run 100 times) of DBMS before and after creating the index, raw file IO and file IO with B+ tree. Here create index statement for DBMS's time is not counted, as it is done in Datagrip.

```
select contract_number,product_model from order_sale where product_model like
'Mp437';
```



As we can see, index and B+ tree both improved efficiency significantly. It's worth noting that product\_model itself is not a unique column, which means there could be duplicate keys in B+ tree if not treated carefully. To solve it, I put all rows that have the same model into the same B+ tree key, and B+ tree's keys are created from table model, which has unique product\_model column. Thus building the tree takes more time.

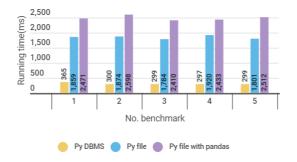
## 6) Comparisons with Python

We also tested performance in Python using psycopg2 for DBMS, file object and pandas for file IO. Four statements are tested, and related python script is in the zip file.

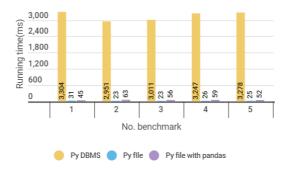
```
select * from order_sale where product_model like 'Mp437'; -- x50
insert into order_sale (order_id, contract_number,
product_model,est_date,lodge_date,quantity,salesman_id) values (?,?,?,?,?,?);
-- x25000
update order_sale set quantity = 5000 where order_id = 1; -- x100
delete from order_sale where order_id=?; -- x100
```

Test methods and repeated times are the same as that in java, so that readers can also compare python data with java's.

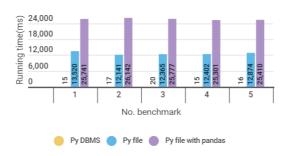
select result:



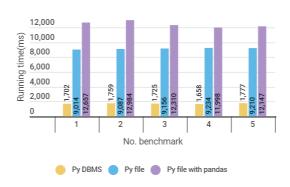
insert result:



update result:



delete result:



From the figures, DBMS performs better than file in select, delete, update, which bears the same result as that in Java. However, performance of DBMS in Java and Python differs, as select is faster in Python, but the rest are slower. File IO's advantage lies in insert (same as Java's file IO), because only writing to a file is much more efficient than DBMS.

## 7) User Privileges management

### Design

Noticed that the database has only one user checker, which has the privileges of create role and is a superuser.

Considering the object and environment of contract, we design another four role: company, director, person\_manager and visitor.

Denoted: Insert ->I, Delete ->D, Select -> S, Update -> U

The privileges of users and roles is:

	login	create role	password	
checker	Υ	Υ	123456	
company	Υ	N	456	
director	Υ	N	cs307	
person_manager	Υ	N	654321	
visitor	Υ	N	123	

All user can login with their own password and **select** all the tables in database.

Company has the right to operate their infos, so grant company **IDU** to table client. It can update their product and add model, so grant **IDU** to table product and model.

Company and director jointly take part in contract foundation, so set **IDU** to table **order\_sale** and **contract**.

People\_manager can control the salesman changes, so set **IDU** to table salesman.

Visitor has no right to change the data.

The privileges shows in this form:

(Y implies the role can **IDU** to this table, N implies the role can not **IDU** to this table.)

	order_sale	contract	client	product	model	salesman
checker	Υ	Υ	Υ	Υ	Υ	Υ
company	Υ	Υ	Υ	Υ	Υ	N
director	Υ	Υ	N	N	N	N
person_manager	N	N	N	N	N	Υ
visitor	N	N	N	N	N	N

### **Test**

Use some sql statements to check privileges.

```
select * from order_sale where contract_number = 'CSE00000000';
update client set supply_center = 'ShenZhen' where client_id = 1;
insert into salesman values(991,'21112221','zhang','Male',26,13945620153);
update order_sale set lodge_date = '2022-04-17' where order_id = 1;
delete from salesman where salesman_id = 991;
```

We choose three examples:

Test for visitor:



Test for director:

Test for person\_manager:

Server [localhost]: localhost Database [postgres]: contracts Port [5432]: 5432 Username [postgres]: person_ma 用户 person_manager 的口令: psql (14.2) 输入 "help" 来获取帮助信息.	s_project anager	INSERT 0 1 contracts_pro	ject=> insert into ject=> select * fro salesman_number	om salesman where	
	product_model  ElectronicDictionar ExhaustFanD8 MultifunctionalT4 ServerBarebonesH4 TvBaseR1	991 (1 行记录)	21112221	zhang	Male