Carnegie Mellon University

Database Systems

Query Planning & Optimization



ADMINISTRIVIA

Project #3 is due Sunday Nov 17th @ 11:59pm

→ Recitation will be next week

Homework #4 is due Sunday Nov 3rd @ 11:59pm



UPCOMING DATABASE TALKS

Exon (DB Seminar)

- → Monday Oct 28th @ 4:30pm
- \rightarrow Zoom



Synnada (DB Seminar)

- → Monday Nov 4th @ 4:30pm
- \rightarrow Zoom



InfluxDB (DB Seminar)

- → Monday Nov 11th @ 4:30pm
- \rightarrow Zoom





LAST CLASS

We talked about how to design the DBMS's architecture to execute queries in parallel.

The query plan is comprised of physical operators that specify the algorithm to invoke at each step of the plan.



LAST CLASS

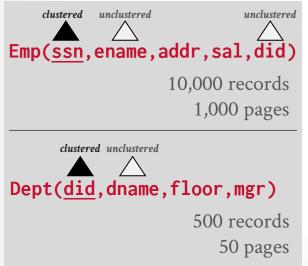
We talked about how to design the DBMS's architecture to execute queries in parallel.

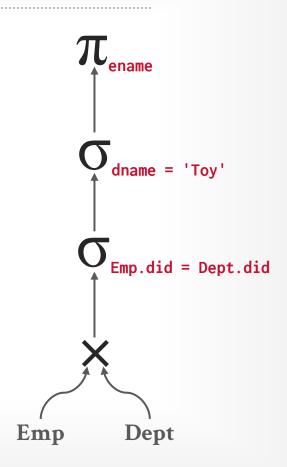
The query plan is comprised of physical operators that specify the algorithm to invoke at each step of the plan.

But how do we go from SQL to a query plan?



```
SELECT DISTINCT ename
FROM Emp E JOIN Dept D
ON E.did = D.did
WHERE D.dname = 'Toy'
```



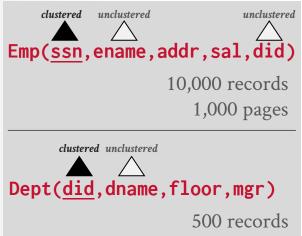


查询优化的主要目的是降低 I/O 成本

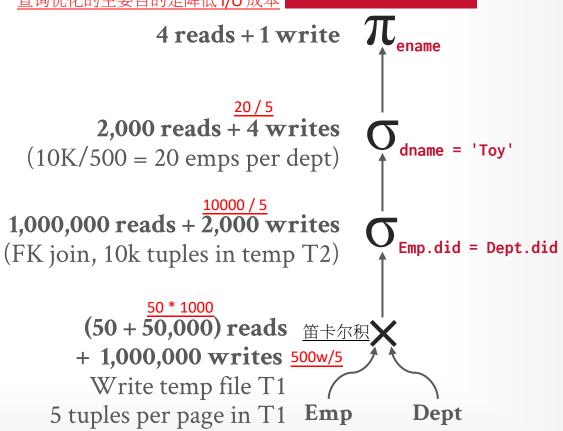
Total: 2M I/Os

FROM Emp E JOIN Dept D
ON E.did = D.did
WHERE D.dname = 'Toy'

Catalog

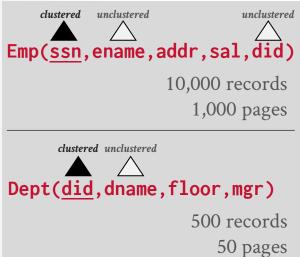


50 pages

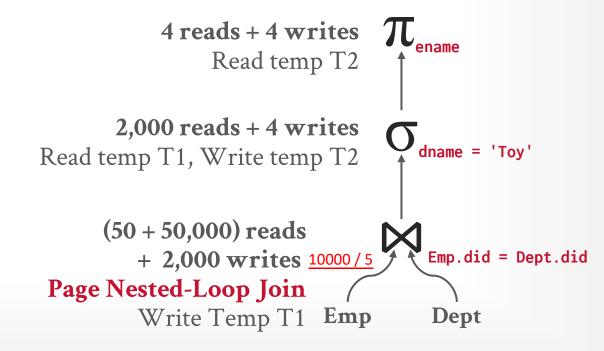


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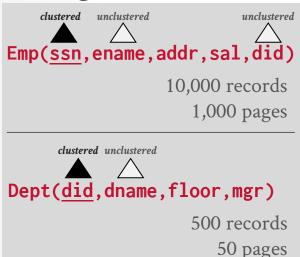


Total: 54k I/Os



SELECT DISTINCT ename
FROM Emp E JOIN Dept D
ON E.did = D.did
WHERE D.dname = 'Toy'

Catalog

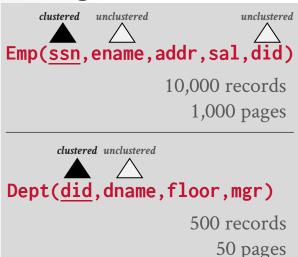


4 reads + 4 writes Read temp T2 **2,000** reads + 4 writes dname = 'Toy' Read temp T1, Write temp T2 (50 + 50,000) reads + 2,000 writes Emp.did = Dept.did Page Nested-Loop Join Write Temp T1 Dept

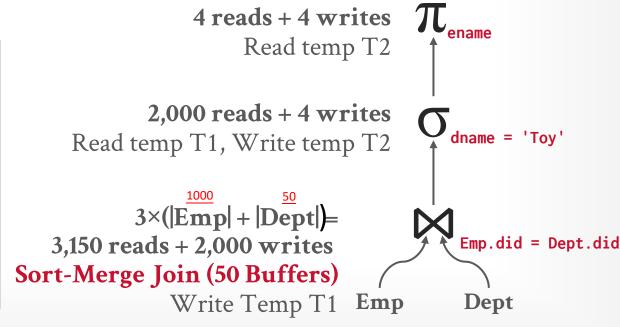
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Catalog



Total: 7,159 I/Os



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ON E.did = D.did
WHERE D.dname = 'Toy'

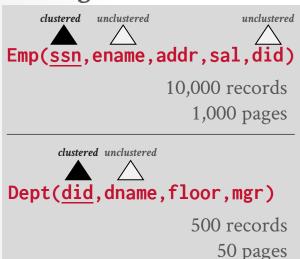
No Pipelining!

→ Materialization Model



Total: 7,159 I/Os

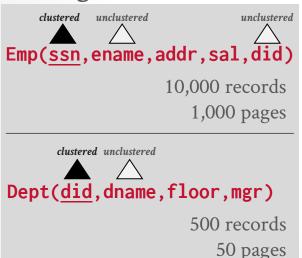
Catalog

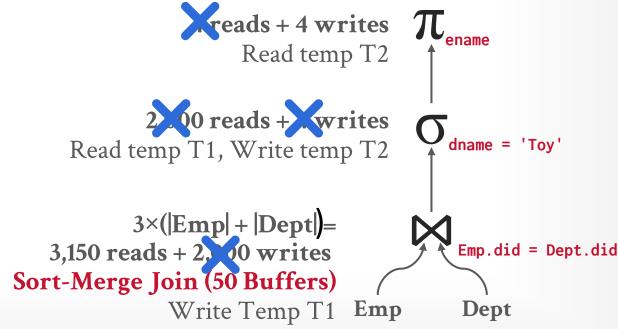


4 reads + 4 writes Read temp T2 **2.000** reads + 4 writes dname = 'Tov' Read temp T1, Write temp T2 $3\times(|Emp|+|Dept|)=$ 3,150 reads + 2,000 writes Emp.did = Dept.did Sort-Merge Join (50 Buffers) Write Temp T1 Dept

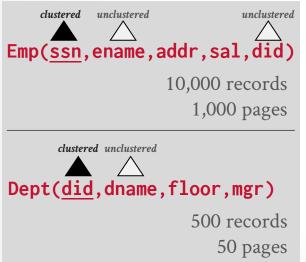
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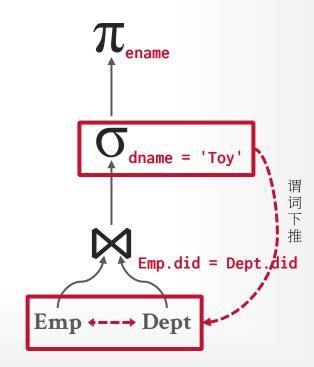
Vectorization Model No Pipelining! Materialization Model Total: 3,151 I/Os Total: 7,159 I/Os



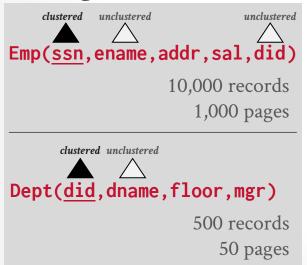


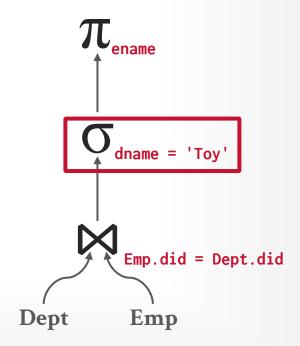
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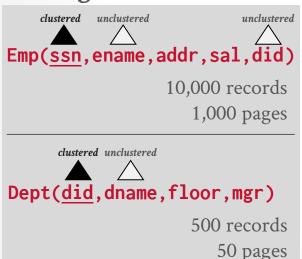
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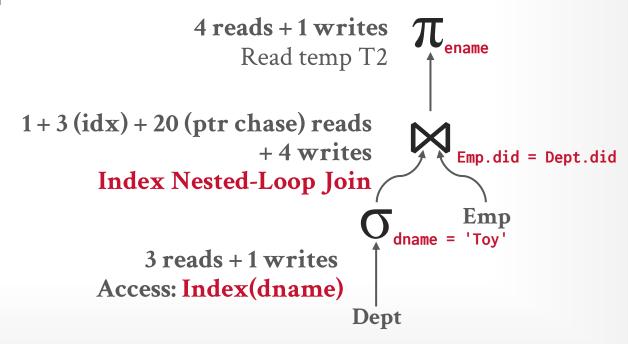


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Catalog



Total: 37 I/Os

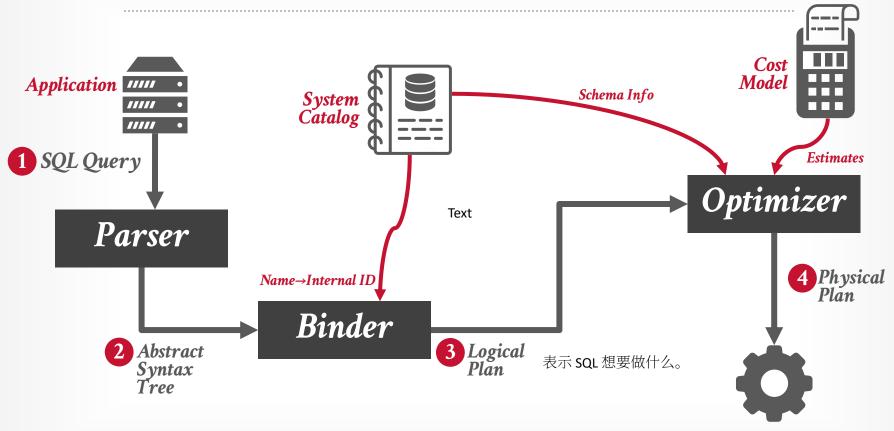


TODAY'S AGENDA

Background
Heuristic / Ruled-based Optimization
Cost-based Optimization
Cost Model Estimation



ARCHITECTURE OVERVIEW





LOGICAL VS. PHYSICAL PLANS

The optimizer generates a mapping of a <u>logical</u> algebra expression to the optimal equivalent physical algebra expression.

Physical operators define a specific execution strategy using an access path.

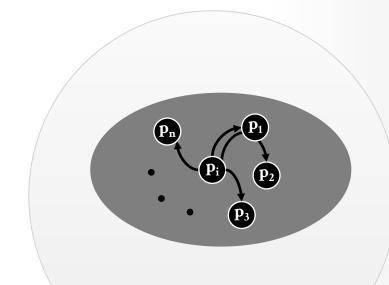
- → They can depend on the physical format of the data that they process (i.e., sorting, compression).
- → Not always a 1:1 mapping from logical to physical.



QUERY OPTIMIZATION (Q0)

- 1. Identify candidate equivalent trees (logical). It is an NP-hard problem, so the space is large.
- 2. For each candidate, find the execution plan (physical). Estimate the cost of each plan.
- 3. Choose the best (physical) plan.

Practically: Choose from a subset of all possible plans.



Entire search space very large, as QO is NP-hard (w.r.t. # joins)

在巨大的搜索空间中,需要在有限的时间内选择成本最低的执行计划。

QUERY OPTIMIZATION

Heuristics / Rules

- → Rewrite the query to remove (guessed) inefficiencies.
- → Examples: always do selections first or push down projections as early as possible. 減少搜索空间的坏区域。
- → These techniques may need to examine catalog, but they do not need to examine data.

Cost-based Search

- \rightarrow Use a model to estimate the cost of executing a plan.
- → Enumerate multiple equivalent plans for a query and pick the one with the lowest cost.



LOGICAL PLAN OPTIMIZATION

Transform a logical plan into an equivalent logical plan using pattern matching rules. rewrite

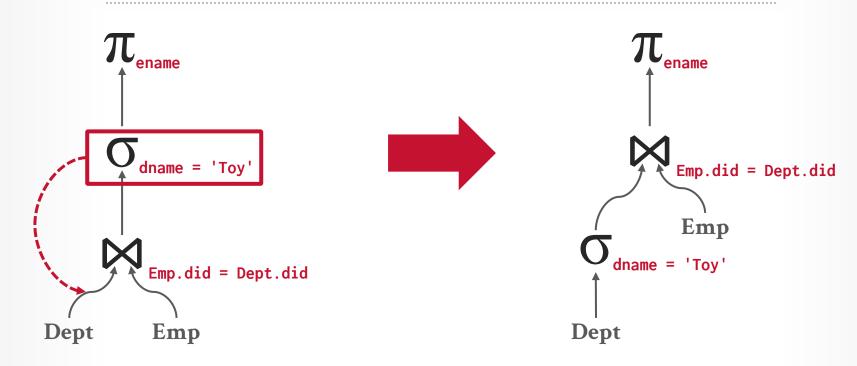
The goal is to increase the likelihood of <u>增加找到最优计划的可能性</u>。 enumerating the optimal plan in the search.

→ Many equivalence rules for relational algebra!

Cannot compare plans because there is no cost model but can "direct" a transformation to a preferred side.



PREDICATE PUSHDOWN



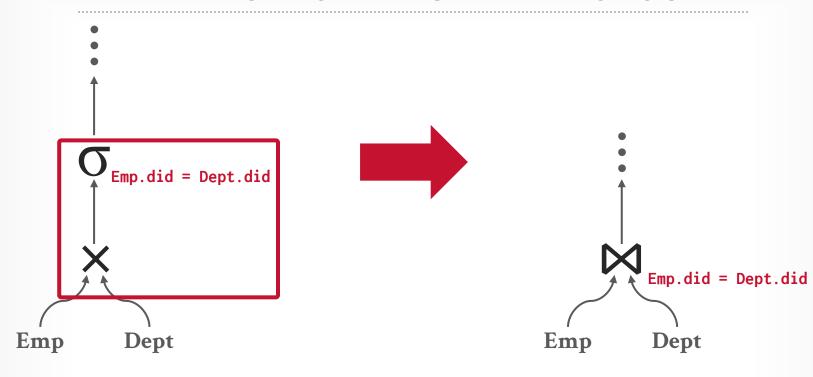
$$\pi_{\text{ename}}(\sigma_{\text{dname} = \text{'Toy'}}(\text{Dept} \bowtie \text{Emp}))$$



$$\pi_{\text{ename}}(\text{Emp} \bowtie \sigma_{\text{dname} = 'Toy'}(\text{Dept}))$$



REPLACE CARTESIAN PRODUCT



$$\dots (\sigma_{\text{Dept.did} = \text{Emp.did}} (\text{Dept} \times \text{Emp}))$$

笛卡尔积

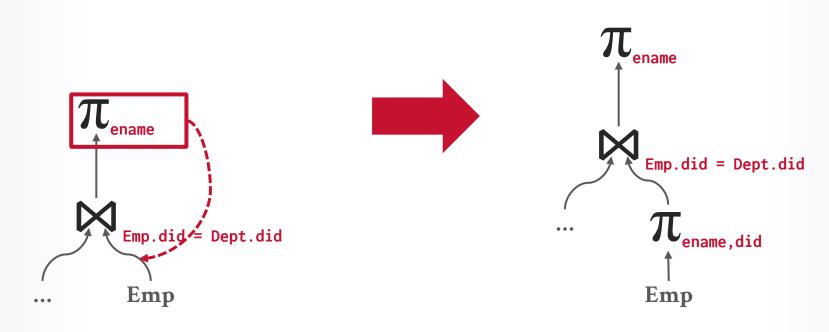


... $(Emp \bowtie_{Emp.did = Dept.did} Dept)$

inner join



PROJECTION PUSHDOWN 投影下推



$$\pi_{\text{Emp.ename}}(...\bowtie_{\text{did}}\text{Emp})$$



$$\pi_{\text{Emp.ename}}(...\bowtie_{\text{did}}(\pi_{\text{ename, did}}\text{Emp}))$$



QUERY OPTIMIZATION

Heuristics / Rules

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COST-BASED QUERY OPTIMIZATION

We will start with cost-based, bottom-up QO

 \rightarrow Aka the "classic" IBM System R optimizer

Approach: Enumerate different plans for the query and estimate their costs.

- \rightarrow Single relation.
- \rightarrow Multiple relations.
- \rightarrow Nested sub-queries.

It chooses the best plan it has seen for the query after exhausting all plans or some timeout.



SINGLE-RELATION QUERY PLANNING

Pick the best access method.

- → Sequential Scan
- → Binary Search (clustered indexes)
- → Index Scan

Predicate evaluation ordering.

Simple heuristics are often good enough for this.



MULTI-RELATION QUERY PLANNING

Approach #1: Generative / Bottom-Up

- → Start with nothing and then iteratively assemble and add building blocks to generate a query plan.
- → **Examples:** System R, Starburst

Approach #2: Transformation / Top-Down

- → Start with the outcome that the query wants, and then transform it to equivalent alternative sub-plans to find the optimal plan that gets to that goal.
- → **Examples**: Volcano, Cascades



BOTTOM-UP OPTIMIZATION

排除明显不合理的方案

Use <u>static rules</u> to perform initial optimization. Then use dynamic programming to determine the best join order for tables using a divide-and-conquer search method

Examples: IBM System R, DB2, MySQL, Postgres, most open-source DBMSs.



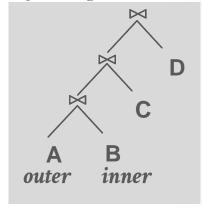
Break query into blocks and generate logical operators for each block.

For each logical operator, generate a set of physical operators that implement it.

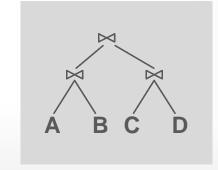
→ All combinations of join algorithms and access paths

Then, iteratively construct a "left-deep" join tree that minimizes the estimated amount of work to execute the plan.

Left-Deep Tree



Bushy Tree





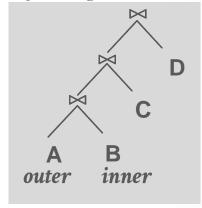
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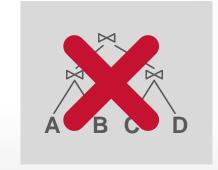
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Left-Deep Tree



Bushy Tree





SELECT ARTIST. NAME

FROM ARTIST, APPEARS, ALBUM

WHERE ARTIST.ID=APPEARS.ARTIST_ID

AND APPEARS.ALBUM_ID=ALBUM.ID

AND ALBUM. NAME="Andy's OG Remix"

ORDER BY ARTIST.ID

Step #1: Choose the best access paths to each table

ARTIST: Sequential Scan

APPEARS: Sequential Scan

ALBUM: Index Look-up on **NAME**



SELECT ARTIST.NAME

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Step #1: Choose the best access paths to each table

Step #2: Enumerate all possible join orderings for tables

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```
ARTIST ⋈ APPEARS ⋈ ALBUM

APPEARS ⋈ ALBUM ⋈ ARTIST

ALBUM ⋈ APPEARS ⋈ ARTIST

APPEARS ⋈ ARTIST ⋈ ALBUM

ARTIST × ALBUM ⋈ APPEARS

ALBUM × ARTIST ⋈ APPEARS

⋮ ⋮
```

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to each table

Step #2: Enumerate all possible join

orderings for tables

Step #3: Determine the join ordering with the lowest cost

ARTIST: Sequential Scan

APPEARS: Sequential Scan

ALBUM: Index Look-up on **NAME**

ARTIST ⋈ APPEARS ⋈ ALBUM

APPEARS ⋈ ALBUM ⋈ ARTIST

ALBUM ⋈ APPEARS ⋈ ARTIST

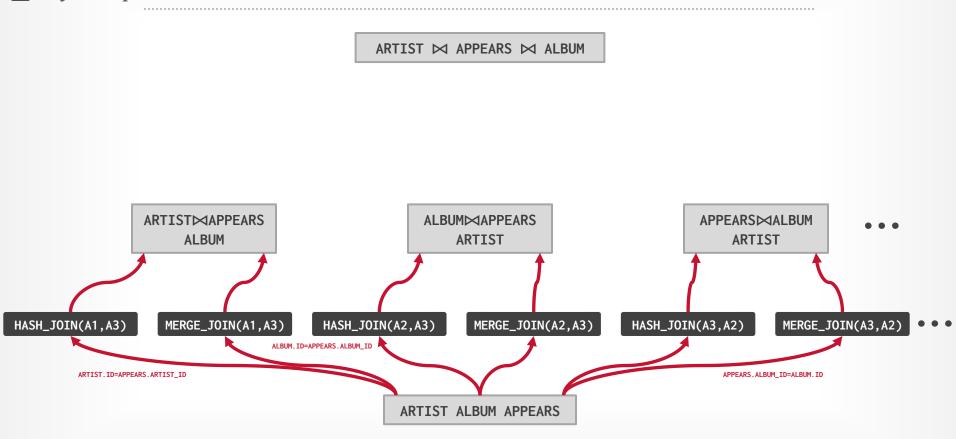
APPEARS ⋈ ARTIST ⋈ ALBUM

ARTIST × ALBUM ⋈ APPEARS

ALBUM × ARTIST ⋈ APPEARS

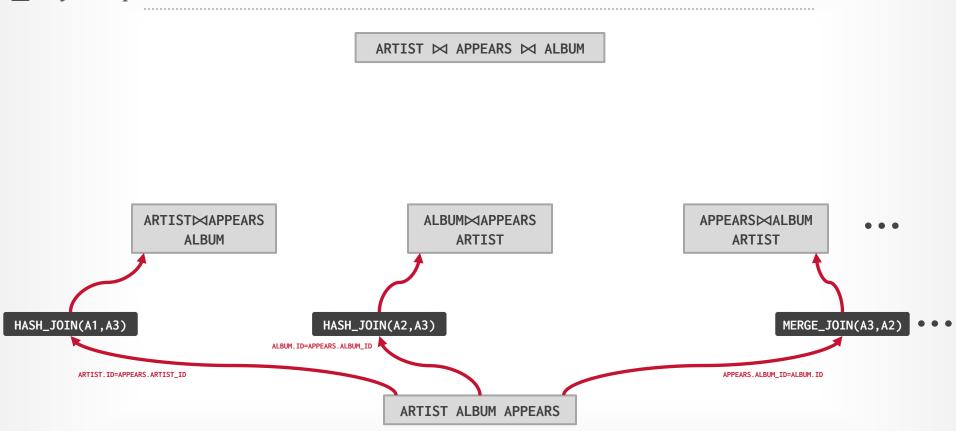








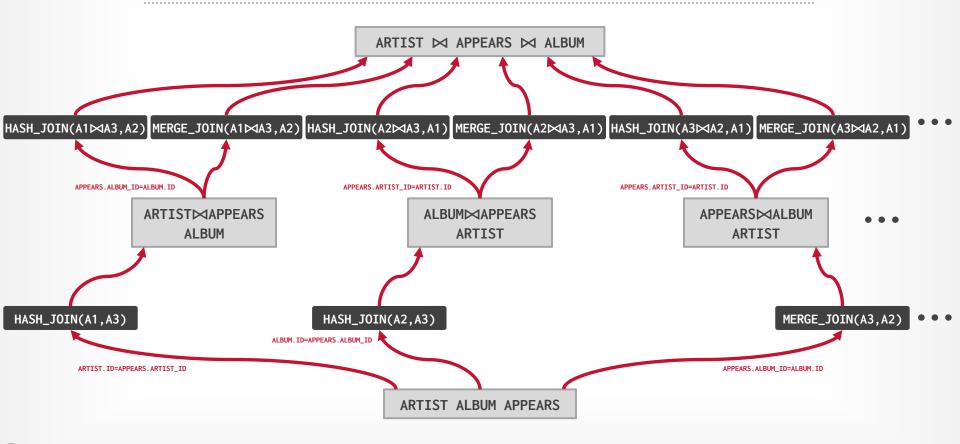






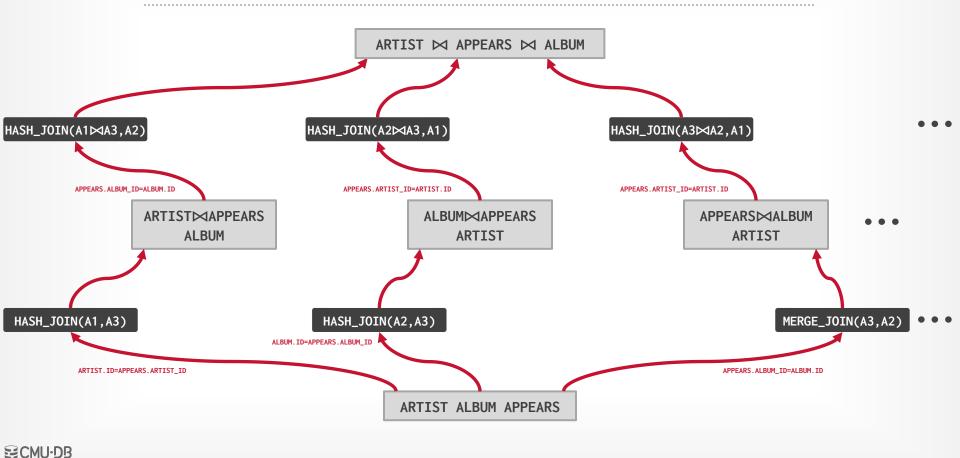


SYSTEM R OPTIMIZER





SYSTEM R OPTIMIZER

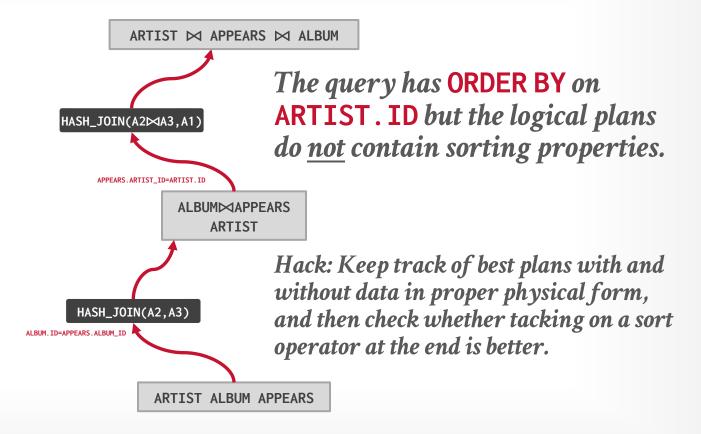






Physical Op

SYSTEM R OPTIMIZER





TOP-DOWN OPTIMIZATION

Start with a logical plan of what we want the query to be. Perform a branch-and-bound search to traverse the plan tree by converting logical operators into physical operators.

- → Keep track of global best plan during search.
- → Treat physical properties of data as first-class entities during planning.

Examples: MSSQL, Greenplum, CockroachDB



TOP-DOWN OPTIMIZATION

Start with a logical plan of what we want the query to be.

ARTIST ⋈ APPEARS ⋈ ALBUM ORDER-BY(ARTIST.ID)

TOP-DOWN OPTIMIZATION

Start with a logical plan of what we want the query to be.

Invoke rules to create new nodes and traverse tree.

- \rightarrow Logical \rightarrow Logical:
 - JOIN(A,B) to JOIN(B,A)
- → Logical→Physical:
 JOIN(A,B) to HASH_JOIN(A,B)

ARTIST ⋈ APPEARS ⋈ ALBUM ORDER-BY(ARTIST.ID)

ARTIST⋈APPEARS

ALBUM⋈APPEARS

ARTIST⋈ALBUM

ARTIST

ALBUM

APPEARS

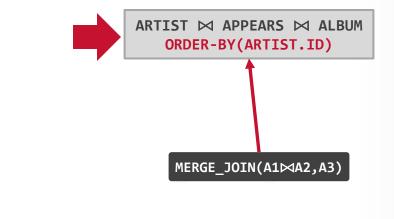
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ARTIST⋈APPEARS ALB

ALBUMAPPEARS

ARTIST⋈ALBUM

ARTIST

ALBUM

APPEARS

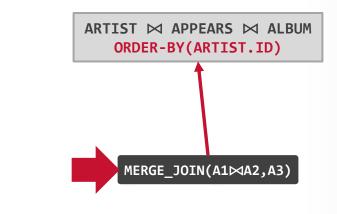
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ARTIST⋈APPEARS

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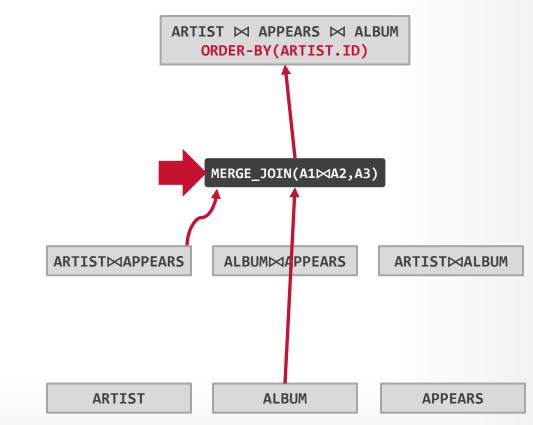
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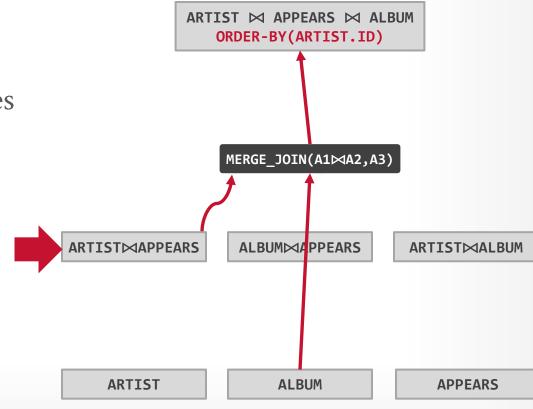


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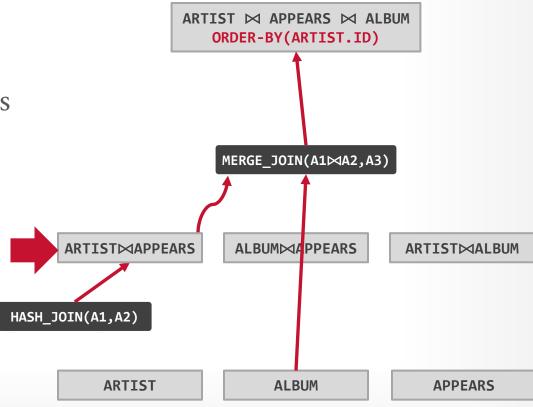


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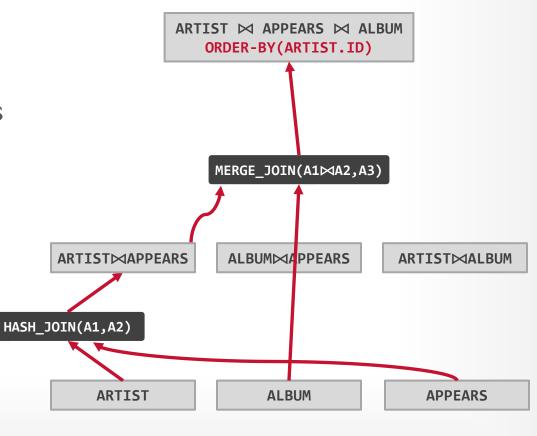


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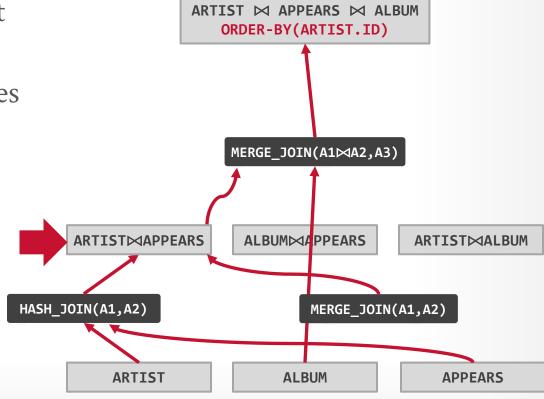


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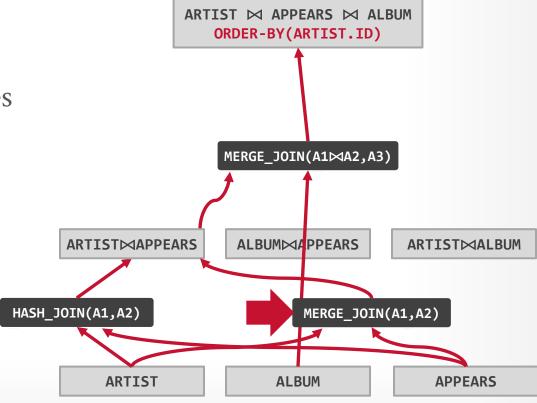


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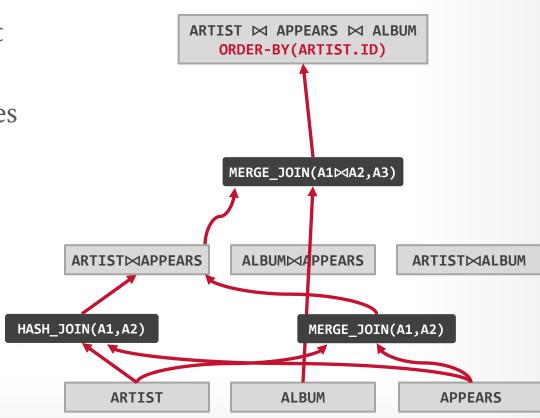
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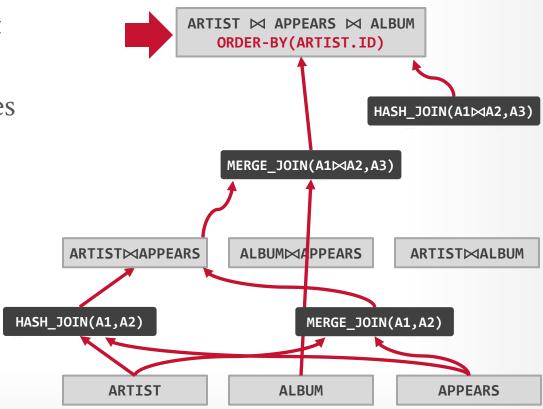


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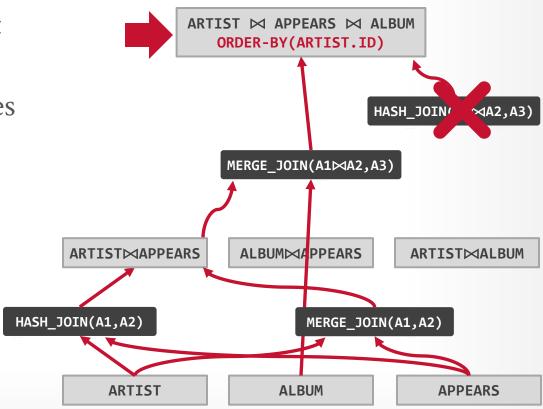


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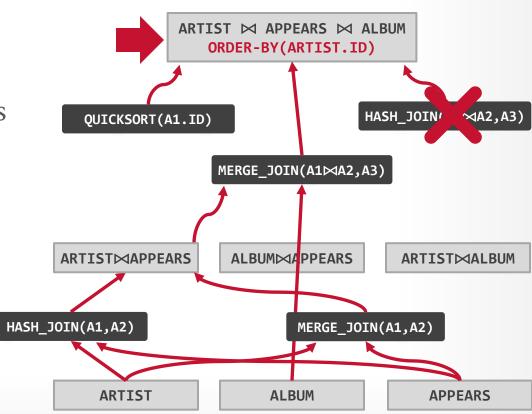


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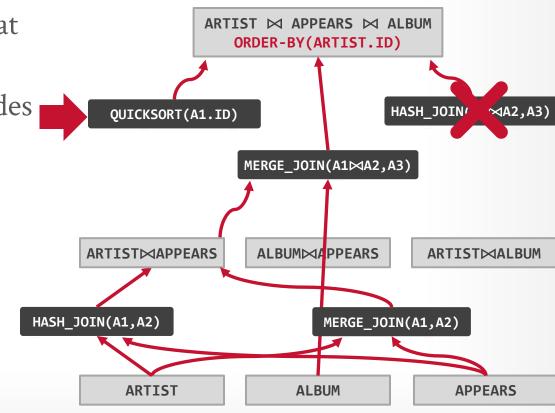


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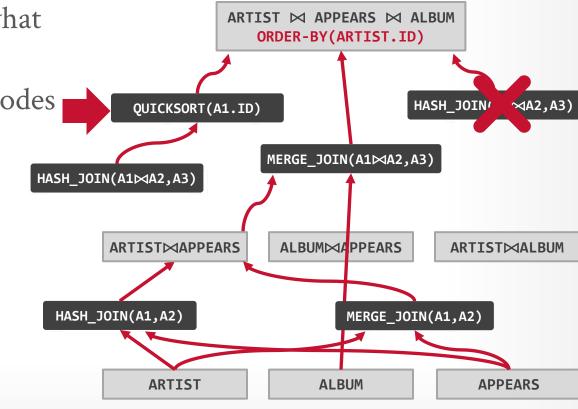
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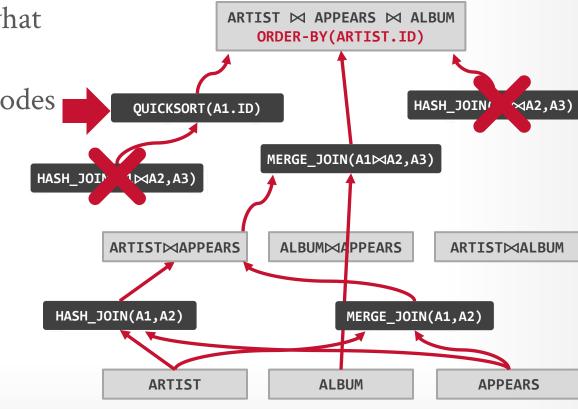


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OBSERVATION

Applications often execute nested queries.

- → We could optimize each block using the methods we have discussed.
- → However, this may be inefficient since we optimize each block separately without a global approach.

What if we could flatten a nested query into a single block and optimize it?

- \rightarrow Then, apply single-block query optimization methods.
- → Even if one cannot flatten to a single block, flattening to <u>fewer</u> blocks is still beneficial.



NESTED SUB-QUERIES

The DBMS treats nested sub-queries in the where clause as functions that take parameters and return a single value or set of values.

Approach #1: Rewrite to <u>de-correlate</u> and/or flatten them. <u>重写来消除相关性</u>

Approach #2: Decompose nested query and store results in a temporary table.



NESTED SUB-QUERIES: REWRITE

```
SELECT name FROM sailors AS S
WHERE EXISTS (
    SELECT * FROM reserves AS R
    WHERE S.sid = R.sid
    AND R.day = '2022-10-25'
)
```



NESTED SUB-QUERIES: REWRITE

```
SELECT name FROM sailors AS S
WHERE EXISTS (
    SELECT * FROM reserves AS R
     WHERE S.sid = R.sid
       AND R.day = '2022-10-25'
                     重写为连接
SELECT name
  FROM sailors AS S, reserves AS R
 WHERE S.sid = R.sid
   AND R.day = '2022-10-25'
```



Sub-queries are written to temporary tables that are discarded after the query finishes.



```
|SELECT S.sid, MIN(R.day)
  FROM sailors S, reserves R, boats B
 WHERE S.sid = R.sid
   AND R.bid = B.bid
   AND B.color = 'red'
   AND S.rating = (SELECT MAX(S2.rating)
                     FROM sailors S2)
 GROUP BY S.sid
HAVING COUNT(*) > 1
                      Nested Block
```



```
SELECT MAX(rating) FROM sailors
SELECT S.sid, MIN(R.day)
  FROM sailors S, reserves R, boats B
 WHERE S.sid = R.sid
   AND R.bid = B.bid
   AND B.color = 'red'
   AND S.rating = (SELECT MAX(S2.rating)
                     FROM sailors S2)
 GROUP BY S.sid
HAVING COUNT(*) > 1
```

Nested Block



```
SELECT MAX(rating) FROM sailors
|SELECT S.sid, MIN(R.day)
  FROM sailors S, reserves R, boats B
 WHERE S.sid = R.sid
   AND R.bid = B.bid
   AND B.color = 'red'
   AND S.rating = ### ◆
 GROUP BY S.sid
HAVING COUNT(*) > 1
```



```
Inner Block | SELECT MAX(rating) FROM sailors
           SELECT S.sid, MIN(R.day)
              FROM sailors S, reserves R, boats B
             WHERE S.sid = R.sid
              AND R.bid = B.bid
              AND B.color = 'red'
              AND S.rating = ### ←
             GROUP BY S.sid
           HAVING COUNT(*) > 1
```

Outer Block



An optimizer transforms a query's expressions (e.g., WHERE/ON clause predicates) into the minimal set of expressions.

Implemented using if/then/else clauses or a pattern-matching rule engine.

- \rightarrow Search for expressions that match a pattern.
- \rightarrow When a match is found, rewrite the expression.
- \rightarrow Halt if there are no more rules that match.



Impossible / Unnecessary Predicates

SELECT * FROM A WHERE 1 = 0



Impossible / Unnecessary Predicates

SELECT * FROM A WHERE false;



Impossible / Unnecessary Predicates

```
SELECT * FROM A WHERE false;
```

```
SELECT * FROM A WHERE NOW() IS NULL;
```



Impossible / Unnecessary Predicates

```
SELECT * FROM A WHERE false;
```

SELECT * **FROM** A **WHERE** false;



Impossible / Unnecessary Predicates

```
SELECT * FROM A WHERE false;

SELECT * FROM A WHERE false;
```

Merging Predicates

```
SELECT * FROM A
WHERE val BETWEEN 1 AND 100
OR val BETWEEN 50 AND 150;
```



EXPRESSION REWRITING

Impossible / Unnecessary Predicates

```
SELECT * FROM A WHERE false;
```

```
SELECT * FROM A WHERE false;
```

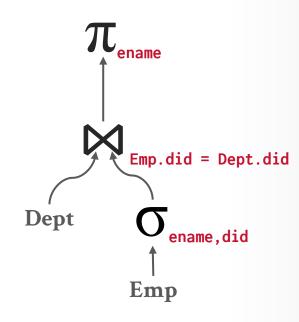
Merging Predicates

```
SELECT * FROM A
WHERE val BETWEEN 1 AND 150;
```



OBSERVATION

We have formulas for the operator algorithms (e.g. the cost formulas for hash join, sort merge join, ...), but we also need to estimate the size of the output that an operator produces.

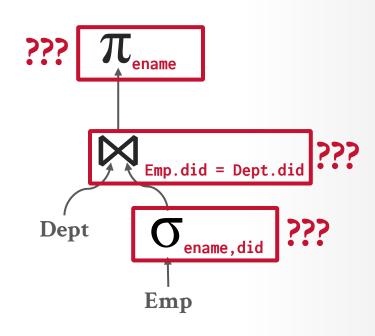




OBSERVATION

We have formulas for the operator algorithms (e.g. the cost formulas for hash join, sort merge join, ...), but we also need to estimate the size of the output that an operator produces.

This is hard because the output of each operators depends on its input.





COST ESTIMATION

The DBMS uses a cost model to predict the behavior of a query plan given a database state.

 \rightarrow This is an <u>internal</u> cost that allows the DBMS to compare one plan with another.

It is too expensive to run every possible plan to determine this information, so the DBMS need a way to derive this information.



COST MODEL COMPONENTS

Choice #1: Physical Costs

- → Predict CPU cycles, I/O, cache misses, RAM consumption, network messages...
- → Depends heavily on hardware.

Choice #2: Logical Costs

- \rightarrow Estimate output size per operator.
- \rightarrow Independent of the operator algorithm.
- \rightarrow Need estimations for operator result sizes.



POSTGRES COST MODEL

Uses a combination of CPU and I/O costs that are weighted by "magic" constant factors.

Default settings are obviously for a disk-resident database without a lot of memory:

- → Processing a tuple in memory is **400x** faster than reading a tuple from disk.
- \rightarrow Sequential I/O is **4x** faster than random I/O.



19.7.2. Planner Cost Constants

The *cost* variables described in this section are measured on an arbitrary scale. Only their relative values matter, hence scaling them all up or down by the same factor will result in no change in the planner's choices. By default, these cost variables are based on the cost of sequential page fetches; that is, seq_page_cost is conventionally set to 1.0 and the other cost variables are set with reference to that. But you can use a different scale if you prefer, such as actual execution times in milliseconds on a particular machine.

Note: Unfortunately, there is no well-defined method for determining ideal values for the cost variables. They are best treated as averages over the entire mix of queries that a particular installation will receive. This means that changing them on the basis of just a few experiments is very risky.

seq_page_cost (floating point)

Sets the planner's estimate of the cost of a disk page fetch that is part of a series of sequential fetches. The default is 1.0. This value can be overridden for tables and indexes in a particular tablespace by setting the tablespace parameter of the same name (see ALTER TABLESPACE).

random_page_cost (floating point)



STATISTICS

The DBMS stores internal statistics about tables, attributes, and indexes in its internal catalog.

Different systems update them at different times.

Manual invocations:

- → Postgres/SQLite: **ANALYZE**
- → Oracle/MySQL: **ANALYZE TABLE**
- → SQL Server: **UPDATE STATISTICS**
- → DB2: RUNSTATS

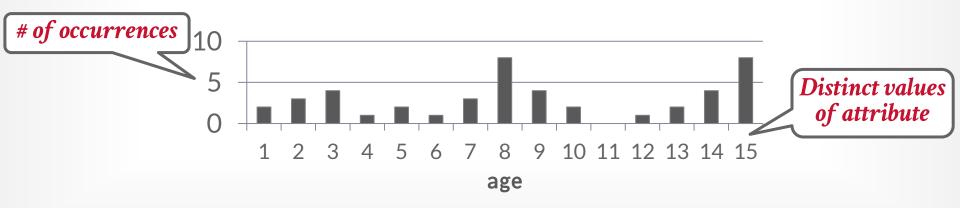


The <u>selectivity</u> (sel) of a predicate P is the fraction of tuples that qualify.

Equality Predicate: A=constant

→ sel(A=constant) = #occurences/|R|

SELECT * FROM people WHERE age = 9



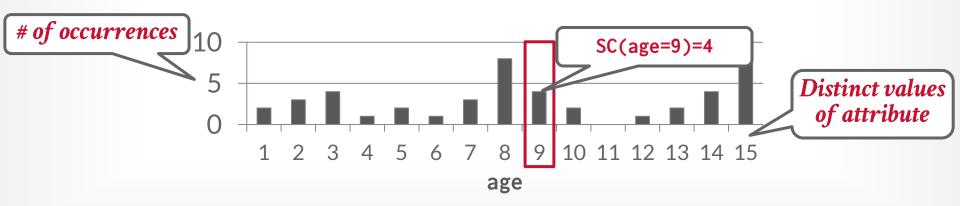


The <u>selectivity</u> (sel) of a predicate P is the fraction of tuples that qualify.

Equality Predicate: A=constant

- → sel(A=constant) = #occurences/|R|
- \rightarrow Example: sel(age=9) =

```
SELECT * FROM people
WHERE age = 9
```



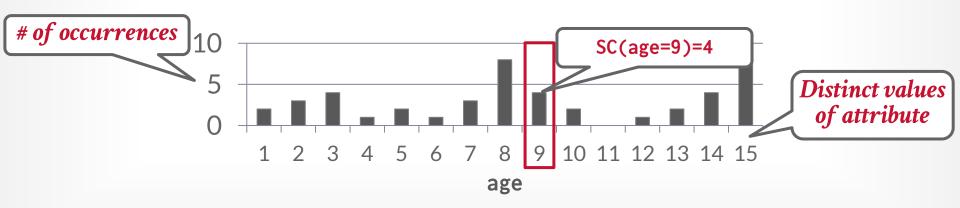


The **selectivity** (**sel**) of a predicate **P** is the fraction of tuples that qualify.

Equality Predicate: A=constant

- → sel(A=constant) = #occurences/|R|
- \rightarrow Example: sel(age=9) = 4/45

SELECT * FROM people WHERE age = 9





Assumption #1: Uniform Data

→ The distribution of values (except for the heavy hitters) is the same.

Assumption #2: Independent Predicates

→ The predicates on attributes are independent

Assumption #3: Inclusion Principle

→ The domain of join keys overlap such that each key in the inner relation will also exist in the outer table.



CORRELATED ATTRIBUTES

Consider a database of automobiles:

 \rightarrow # of Makes = 10, # of Models = 100

And the following query:

→ (make="Honda" AND model="Accord")

With the independence and uniformity assumptions, the selectivity is:

 $\rightarrow 1/10 \times 1/100 = 0.001$

But since only Honda makes Accords the real selectivity is 1/100 = 0.01

STATISTICS

Choice #1: Histograms

→ Maintain an occurrence count per value (or range of values) in a column.

Choice #2: Sketches

→ Probabilistic data structure that gives an approximate count for a given value.

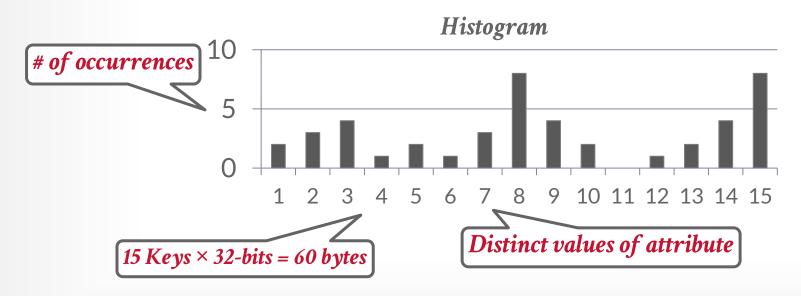
Choice #3: Sampling

→ DBMS maintains a small subset of each table that it then uses to evaluate expressions to compute selectivity.



HISTOGRAMS

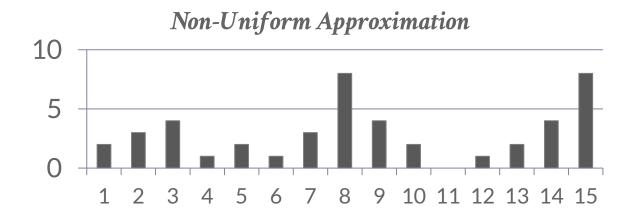
Our formulas are nice, but we assume that data values are uniformly distributed.





EQUI-WIDTH HISTOGRAM

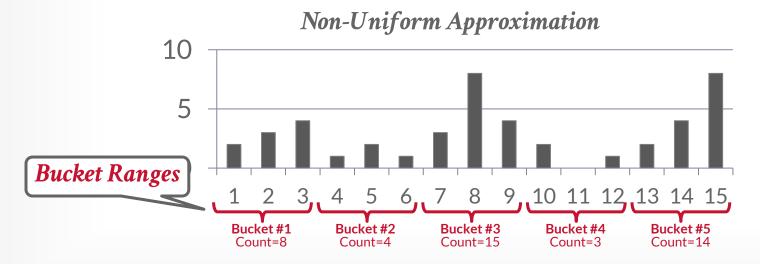
Maintain counts for a group of values instead of each unique key. All buckets have the same width (i.e., same # of value).





EQUI-WIDTH HISTOGRAM

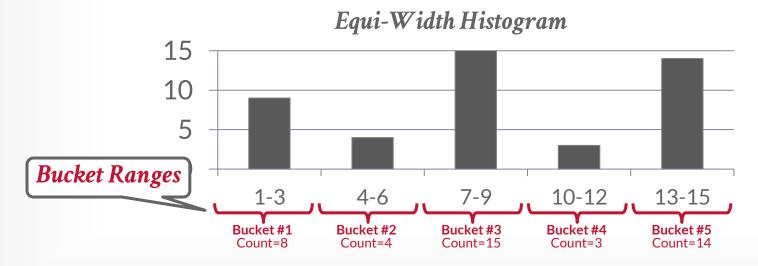
Maintain counts for a group of values instead of each unique key. All buckets have the same width (i.e., same # of value).





EQUI-WIDTH HISTOGRAM

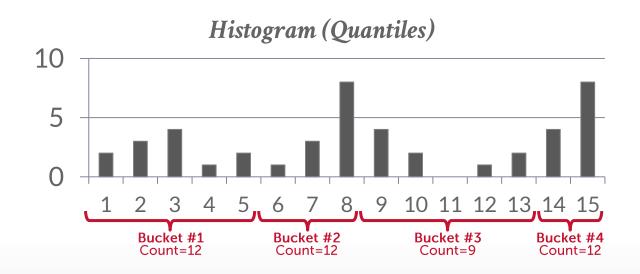
Maintain counts for a group of values instead of each unique key. All buckets have the same width (i.e., same # of value).





EQUI-DEPTH HISTOGRAMS

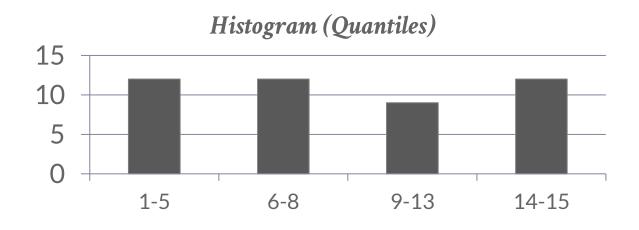
Vary the width of buckets so that the total number of occurrences for each bucket is roughly the same.





EQUI-DEPTH HISTOGRAMS

Vary the width of buckets so that the total number of occurrences for each bucket is roughly the same.





SKETCHES

Probabilistic data structures that generate approximate statistics about a data set.

Cost-model can replace histograms with sketches to improve its selectivity estimate accuracy.

Most common examples:

- → Count-Min Sketch (1988): Approximate frequency count of elements in a set.
- → <u>HyperLogLog</u> (2007): Approximate the number of distinct elements in a set.



SAMPLING

Modern DBMSs also collect samples from tables to estimate selectivities.

Update samples when the underlying tables changes significantly.

SELECT AVG(age)
 FROM people
 WHERE age > 50

id	name	age	status
1001	Obama	63	Rested
1002	Swift	34	Paid
1003	Tupac	25	Dead
1004	Bieber	30	Crunk
1005	Andy	43	Illin
1006	TigerKing	61	Jailed

: 1 billion tuples



SAMPLING

Modern DBMSs also collect samples from tables to estimate selectivities.

Update samples when the underlying tables changes significantly.

Table Sample

1001	Obama	63	Rested
1003	Tupac	25	Dead
1005	Andy	43	Illin

SELECT AVG(age)
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1005	Andy	43	Illin
1006	TigerKing	61	Jailed





SAMPLING

Modern DBMSs also collect samples from tables to estimate selectivities.

Update samples when the underlying tables changes significantly.

Table Sample

sel(age>50) = 1/3

1001	Obama	63	Rested
1003	Tupac	25	Dead
1005	Andy	43	Illin

SELECT AVG(age)
 FROM people
 WHERE age > 50

id	name	age	status
1001	Obama	63	Rested
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1005	Andy	43	Illin
1006	TigerKing	61	Jailed





CONCLUSION

Query optimization is critical for a database system.

- \rightarrow SQL \rightarrow Logical Plan \rightarrow Physical Plan
- → Flatten queries before going to the optimization part. Expression handling is also important.
- → Estimate costs using models based on summarizations.

QO enumeration can be bottom-up or top-down.

If you like this and want to make cash money after you leave CMU, take <u>15-799</u> in spring 2025.



NEXT CLASS

Transactions!

→ aka the second hardest part about database systems

