

**Query Processing**

CPS 116  
Introduction to Database Systems

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**Announcements (November 13)**

- ❖ Homework #3 graded
  - Grades have been entered on Blackboard
- ❖ Homework #4 to be assigned next Tuesday

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**Overview**

- ❖ Many different ways of processing the same query
  - Scan? Sort? Hash? Use an index?
  - All have different performance characteristics and/or make different assumptions about data
- ❖ Best choice depends on the situation
  - Implement all alternatives
  - Let the query optimizer choose at run-time

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## Notation

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- ❖ Relations:  $R, S$
- ❖ Tuples:  $r, s$
- ❖ Number of tuples:  $|R|, |S|$
- ❖ Number of disk blocks:  $B(R), B(S)$
- ❖ Number of memory blocks available:  $M$
- ❖ Cost metric
  - Number of I/O's
  - Memory requirement

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## Table scan

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- ❖ Scan table  $R$  and process the query
  - Selection over  $R$
  - Projection of  $R$  without duplicate elimination
- ❖ I/O's:  $B(R)$ 
  - Trick for selection: stop early if it is a lookup by key
- ❖ Memory requirement: 2 (+1 for double buffering)
- ❖ Not counting the cost of writing the result out

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## Nested-loop join

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- ❖  $R \bowtie_p S$
- ❖ For each block of  $R$ , and for each  $r$  in the block:
  - For each block of  $S$ , and for each  $s$  in the block:
    - Output  $rs$  if  $p$  evaluates to true over  $r$  and  $s$
    - $R$  is called the outer table;  $S$  is called the inner table
- ❖ I/O's:  $B(R) + |R| \cdot B(S)$
- ❖ Memory requirement: 3 (+1 for double buffering)
- ❖ Improvement:
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  - I/O's:
  - Memory requirement:

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## More improvements of nested-loop join <sup>7</sup>

- ❖ Stop early if the key of the inner table is being matched
- ❖ Make use of available memory
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  - I/O's:
  - Memory requirement:  $M$  (as much as possible)
- ❖ Which table would you pick as the outer?

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## External merge sort <sup>8</sup>

- Remember (internal-memory) merge sort?  
Problem: sort  $R$ , but  $R$  does not fit in memory
- ❖ Pass 0: read  $M$  blocks of  $R$  at a time, sort them, and write out a level-0 run
    - There are  $\lceil B(R) / M \rceil$  level-0 sorted runs
  - ❖ Pass  $i$ : merge  $(M - 1)$  level- $(i-1)$  runs at a time, and write out a level- $i$  run
    - $(M - 1)$  memory blocks for input, 1 to buffer output
    - # of level- $i$  runs =  $\lceil \# \text{ of level-}(i-1) \text{ runs} / (M - 1) \rceil$
  - ❖ Final pass produces 1 sorted run

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## Example of external merge sort <sup>9</sup>

- ❖ Input: 1, 7, 4, 5, 2, 8, 3, 6, 9
- ❖ Pass 0
  - 1, 7, 4  $\rightarrow$  1, 4, 7
  - 5, 2, 8  $\rightarrow$  2, 5, 8
  - 9, 6, 3  $\rightarrow$  3, 6, 9
- ❖ Pass 1
  - 1, 4, 7 + 2, 5, 8  $\rightarrow$  1, 2, 4, 5, 7, 8
  - 3, 6, 9
- ❖ Pass 2 (final)
  - 1, 2, 4, 5, 7, 8 + 3, 6, 9  $\rightarrow$  1, 2, 3, 4, 5, 6, 7, 8, 9

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## Performance of external merge sort <sup>10</sup>

- ❖ Number of passes:  $\lceil \log_{M-1} \lceil B(R) / M \rceil \rceil + 1$
- ❖ I/O's
  - Multiply by  $2 \cdot B(R)$ : each pass reads the entire relation once and writes it once
  - Subtract  $B(R)$  for the final pass
  - Roughly, this is  $O(B(R) \cdot \log_M B(R))$
- ❖ Memory requirement:  $M$  (as much as possible)

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## Some tricks for sorting <sup>11</sup>

- ❖ Double buffering
  - Allocate an additional block for each run
  - Overlap I/O with processing
  - Trade-off:
- ❖ Blocked I/O
  - Instead of reading/writing one disk block at time, read/write a bunch ("cluster")
  - More sequential I/O's
  - Trade-off:

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## Sort-merge join <sup>12</sup>

- ❖  $R \bowtie_{R.A = S.B} S$
- ❖ Sort  $R$  and  $S$  by their join attributes, and then merge
  - $r, s$  = the first tuples in sorted  $R$  and  $S$
  - Repeat until one of  $R$  and  $S$  is exhausted:
    - If  $r.A > s.B$  then  $s$  = next tuple in  $S$
    - else if  $r.A < s.B$  then  $r$  = next tuple in  $R$
    - else output all matching tuples, and  $r, s$  = next in  $R$  and  $S$
- ❖ I/O's: sorting  $+ 2 B(R) + 2 B(S)$ 
  - In most cases (e.g., join of key and foreign key)
  - Worst case is

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## Example

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$R:$	$S:$	$R \bowtie_{R.A = S.B} S:$
$\Rightarrow r_{1.A} = 1$	$\Rightarrow s_{1.B} = 1$	$r_1 s_1$
$\Rightarrow r_{2.A} = 3$	$\Rightarrow s_{2.B} = 2$	$r_2 s_3$
$r_{3.A} = 3$	$\Rightarrow s_{3.B} = 3$	$r_2 s_4$
$\Rightarrow r_{4.A} = 5$	$s_{4.B} = 3$	$r_3 s_3$
$\Rightarrow r_{5.A} = 7$	$\Rightarrow s_{5.B} = 8$	$r_3 s_4$
$\Rightarrow r_{6.A} = 7$		$r_7 s_5$
$\Rightarrow r_{7.A} = 8$		

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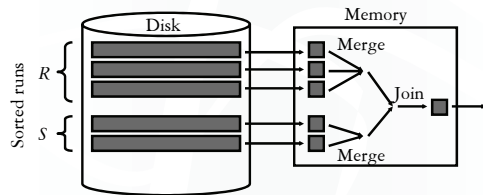
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## Optimization of SMJ

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- ❖ Idea: combine join with the merge phase of merge sort
- ❖ Sort: produce sorted runs of size  $M$  for  $R$  and  $S$
- ❖ Merge and join: merge the runs of  $R$ , merge the runs of  $S$ , and merge-join the result streams as they are generated!




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## Performance of two-pass SMJ

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- ❖ I/O's:  $3 \cdot (B(R) + B(S))$
- ❖ Memory requirement
  - To be able to merge in one pass, we should have enough memory to accommodate one block from each run:  $M > B(R) / M + B(S) / M$
  - $M > \text{sqrt}(B(R) + B(S))$

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## Other sort-based algorithms

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- ❖ Union (set), difference, intersection
  - More or less like SMJ
- ❖ Duplication elimination
  - External merge sort
    - Eliminate duplicates in sort and merge
- ❖ GROUP BY and aggregation
  - External merge sort
    - Produce partial aggregate values in each run
    - Combine partial aggregate values during merge
    - Partial aggregate values don't always work though

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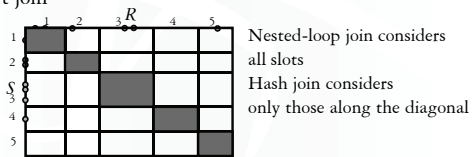
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## Hash join

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- ❖  $R \bowtie_{R.A = S.B} S$
- ❖ Main idea
  - Partition  $R$  and  $S$  by hashing their join attributes, and then consider corresponding partitions of  $R$  and  $S$
  - If  $r.A$  and  $s.B$  get hashed to different partitions, they don't join




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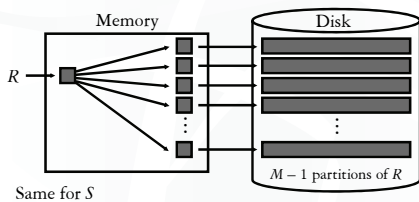
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## Partitioning phase

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- ❖ Partition  $R$  and  $S$  according to the same hash function on their join attributes




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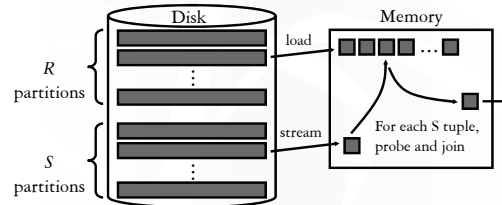
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## Probing phase

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- ❖ Read in each partition of  $R$ , stream in the corresponding partition of  $S$ , join
  - Typically build a hash table for the partition of  $R$ 
    - Not the same hash function used for partition, of course!




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## Performance of hash join

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- ❖ I/O's:  $3 \cdot (B(R) + B(S))$
- ❖ Memory requirement:
  - In the probing phase, we should have enough memory to fit one partition of  $R$ :  $M - 1 \geq B(R) / (M - 1)$
  - $M > \sqrt{B(R)}$
  - We can always pick  $R$  to be the smaller relation, so:  $M > \sqrt{\min(B(R), B(S))}$

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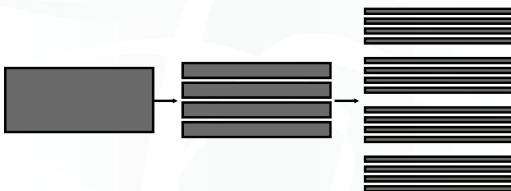
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## Hash join tricks

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- ❖ What if a partition is too large for memory?
  - Read it back in and partition it again!
    - See the duality in multi-pass merge sort here?




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## Hash join versus SMJ

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(Assuming two-pass)

- ❖ I/O's: same
- ❖ Memory requirement:
  
- ❖ Other factors

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## What about nested-loop join?

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## Other hash-based algorithms

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- ❖ Union (set), difference, intersection
  - More or less like hash join
- ❖ Duplicate elimination
  - Check for duplicates within each partition/bucket
- ❖ GROUP BY and aggregation
  - Apply the hash functions to GROUP BY attributes
  - Tuples in the same group must end up in the same partition/bucket
  - Keep a running aggregate value for each group

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## Duality of sort and hash

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- ❖ Divide-and-conquer paradigm
  - Sorting: physical division, logical combination
  - Hashing: logical division, physical combination
- ❖ Handling very large inputs
  - Sorting: multi-level merge
  - Hashing: recursive partitioning
- ❖ I/O patterns
  - Sorting: sequential write, random read (merge)
  - Hashing: random write, sequential read (partition)

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## Selection using index

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- ❖ Equality predicate:  $\sigma_{A=v}(R)$ 
  - Use an ISAM, B<sup>+</sup>-tree, or hash index on  $R(A)$
- ❖ Range predicate:  $\sigma_{A>v}(R)$ 
  - Use an ordered index (e.g., ISAM or B<sup>+</sup>-tree) on  $R(A)$
  - Hash index is not applicable
- ❖ Indexes other than those on  $R(A)$  may be useful
  - Example: B<sup>+</sup>-tree index on  $R(A, B)$
  - How about B<sup>+</sup>-tree index on  $R(B, A)$ ?

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## Index versus table scan

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Situations where index clearly wins:

- ❖ Index-only queries which do not require retrieving actual tuples
  - Example:  $\pi_A(\sigma_{A>v}(R))$
- ❖ Primary index clustered according to search key
  - One lookup leads to all result tuples in their entirety

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## Index versus table scan (cont'd)

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BUT(!):

- ❖ Consider  $\sigma_{A > v}(R)$  and a secondary, non-clustered index on  $R(A)$ 
  - Need to follow pointers to get the actual result tuples
  - Say that 20% of  $R$  satisfies  $A > v$ 
    - Could happen even for equality predicates
  - I/O's for index-based selection: lookup + 20%  $|R|$
  - I/O's for scan-based selection:  $B(R)$
  - Table scan wins if a block contains more than 5 tuples

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## Index nested-loop join

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- ❖  $R \bowtie_{R.A = S.B} S$
- ❖ Idea: use the value of  $R.A$  to probe the index on  $S(B)$
- ❖ For each block of  $R$ , and for each  $r$  in the block:
  - Use the index on  $S(B)$  to retrieve  $s$  with  $s.B = r.A$
  - Output  $rs$
- ❖ I/O's:  $B(R) + |R| \cdot$  (index lookup)
  - Typically, the cost of an index lookup is 2-4 I/O's
  - Beats other join methods if  $|R|$  is not too big
  - Better pick  $R$  to be the smaller relation
- ❖ Memory requirement: 2

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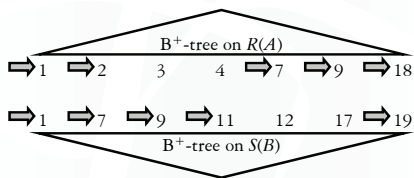
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## Zig-zag join using ordered indexes

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- ❖  $R \bowtie_{R.A = S.B} S$
- ❖ Idea: use the ordering provided by the indexes on  $R(A)$  and  $S(B)$  to eliminate the sorting step of sort-merge join
- ❖ Trick: use the larger key to probe the other index
  - Possibly skipping many keys that don't match




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## Summary of tricks

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- ❖ Scan
  - Selection, duplicate-preserving projection, nested-loop join
- ❖ Sort
  - External merge sort, sort-merge join, union (set), difference, intersection, duplicate elimination, GROUP BY and aggregation
- ❖ Hash
  - Hash join, union (set), difference, intersection, duplicate elimination, GROUP BY and aggregation
- ❖ Index
  - Selection, index nested-loop join, zig-zag join

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