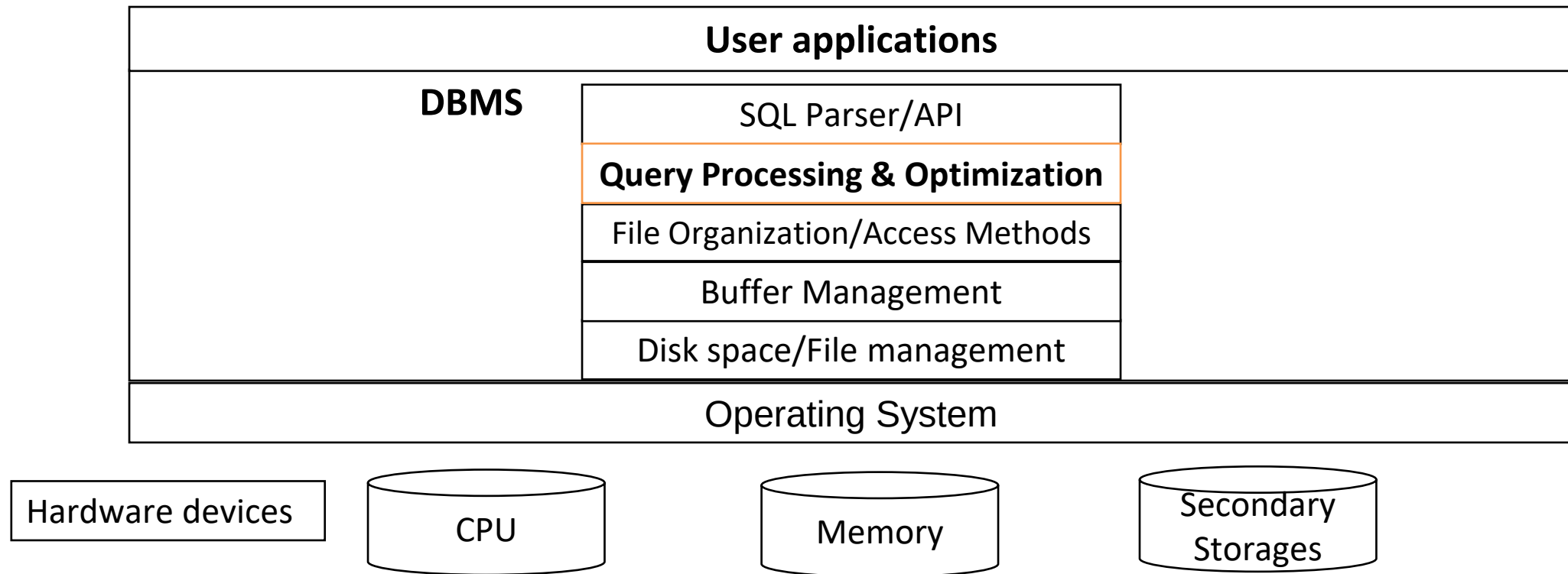


CSE462/562: Database Systems (Spring 22)

Lecture 11: Query Processing

3/29/2022

Big picture



What's discussed so far

- The lower-level storage layer in DBMS
 - Disk/file space management
 - Buffer management
 - File organization
 - Access methods
 - Indexing
- How to answer queries/perform updates?
 - Relational algebra vs SQL
 - *Correctness?*
 - *Efficiently?*
- Query processing & optimization

student

sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Find the names and the grades of all the students enrolled in the course 562 who were admitted in the year of 2021?

100	s22	562	4.0
102	s22	562	2.3
100	f21	560	3.7
101	s21	560	3.3
102	f21	560	4.0
103	s22	460	2.7
101	f21	560	3.3
103	f21	250	4.0

Simple select query and relational algebra

- Recall that the basic form of SELECT query can be translated into extended relational algebra
 - The conceptual way of answering the query
 - With some non-relational operators (notably Sort).

-- SQL SELECT with no aggregation

```
SELECT  [DISTINCT]   $E_1, E_2, \dots, E_m$ 
FROM     $R_1, R_2, \dots, R_n$ 
[WHERE   $P$ ]
[ORDER BY  $expr$  [ASC|DESC] [, ...]]
```

-- SQL with aggregation

```
SELECT   $E'_1, E'_2, \dots, E'_m, F_1(E''_1), \dots, F_k(E''_k)$ 
FROM     $R_1, R_2, \dots, R_n$ 
[WHERE   $P$ ]
[GROUP BY  $E_1, E_2, \dots, E_l$ 
[HAVING  $P'$ ]]
[ORDER BY  $expr$  [ASC|DESC] [, ...]]
```

non-relational

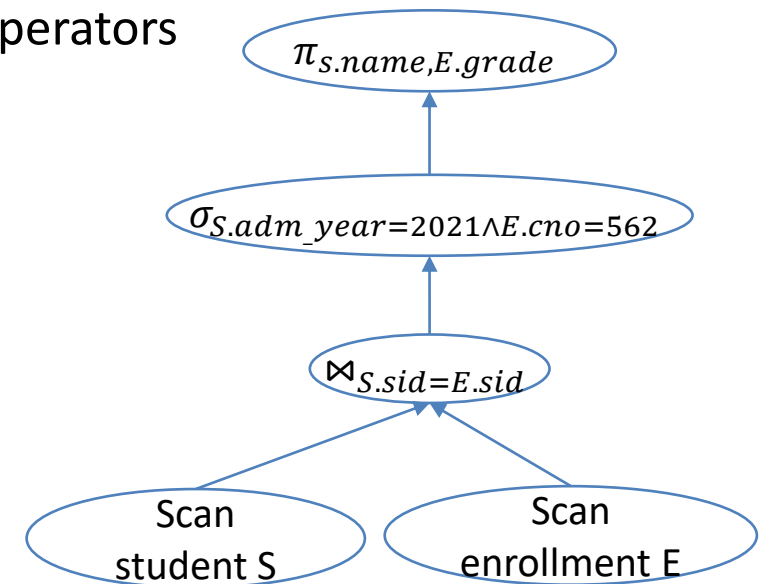
$Sort \left(Distinct \left(\pi_{E_1, E_2, \dots, E_m} \sigma_P R_1 \times R_2 \times \dots \times R_n \right) \right)$

$Q \leftarrow \sigma_P R_1 \times R_2 \times \dots \times R_n$

$Sort \left(\pi_{E'_1, E'_2, \dots, E'_m, F_1(E''_1), \dots, F_k(E''_k)} \sigma_{P'} \left(E_1, E_2, \dots, E_l \gamma_{F_1(E''_1), \dots, F_k(E''_k)} Q \right) \right)$

Query processing overview

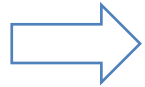
- DBMS translates SQL to a special internal language
 - Query plans
 - *logical*: extended relational algebra with some non-relational operators
 - *physical*: describes the actual implementation of the operators
- Think of query plans as data-flow graphs
 - Edges: flow of records
 - Vertices: relational and non-relational *operators*
 - Input/Output of the operators: relations
- Three stages of query processing
 - **Parsing & query rewriting**: SQL $\rightarrow$ logical plan
 - **Query optimization**:
logical plan $\rightarrow$ optimized logical plan $\rightarrow$ physical plan
 - **Query execution**: evaluating the physical plan over the database



An example of logical plan

Query processing overview

ODBC/JDBC/
command
line frontend



SQL Query

```
SELECT S.name, E.grade
FROM student S, enrollment E
WHERE S.sid = E.sid
      AND S.adm_year = 2021
      AND E.cno = 562;
```

SQL
Parser*



* include multiple intermediate steps (e.g., parsing
tree/analysis/rewriting)

(Extended) Relational Algebra

$\pi_{S.name, E.grade} \sigma_{S.adm_year=2021 \wedge E.cno=562} S \bowtie_{S.sid=E.sid} E$

Internally represented as



Query result

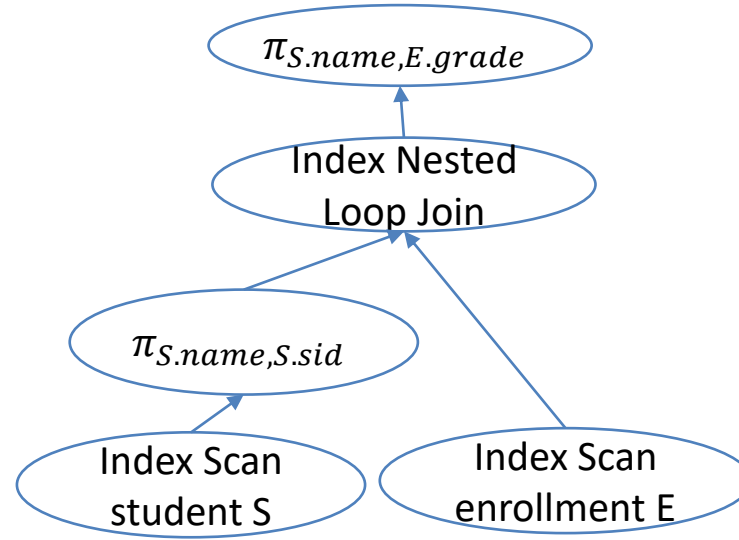
S.name	E.grade
Alice	4.0
Charlie	2.3

(2 rows)

Query
Execution



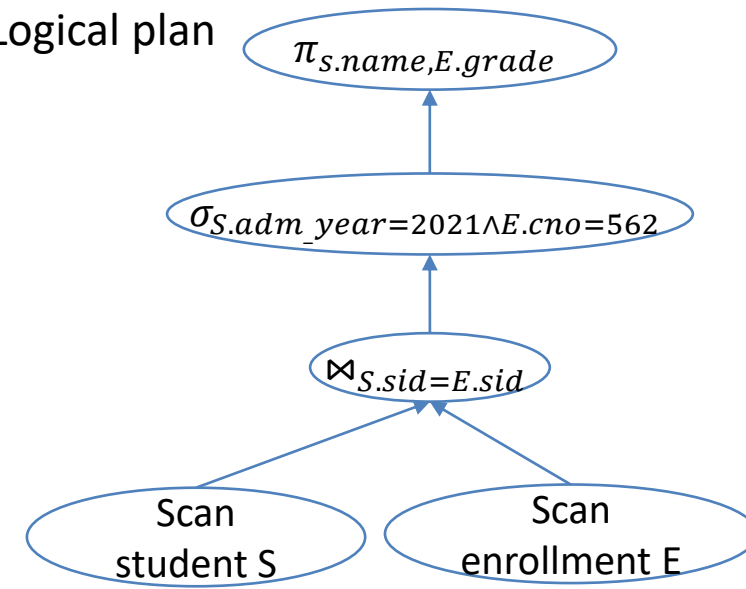
Physical plan



Query
Optimizer



Logical plan



Parsing and query rewriting

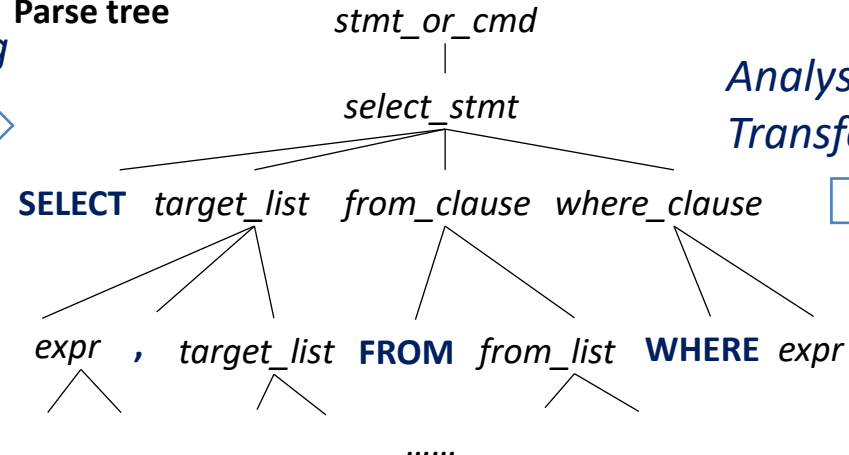
- SQL Parser are usually generated from a context-free grammar using compiler tools
 - e.g., antlr (LL grammar), lex+yacc/flex+bison (LR grammar/LALR(1) grammar)
 - We'll omit the details which are covered in compiler courses
 - Produces a *parse tree* for a SQL query
- Analysis and transformation into logical plan
 - A parse tree represents the syntactical structure of a SQL query -- not suitable for query processing
 - Needs to be translated into a logical plan
 - Catalog information helps resolving tables/columns/types/expressions/functions
- Query rewriting
 - User defined/system defined rules for transforming queries (e.g., non-materialized views, customized rewriting rules)

SQL Query

```
SELECT S.name, E.grade
FROM student S, enrollment E
WHERE S.sid = E.sid
      AND S.adm_year = 2021
      AND E.cno = 562;
```

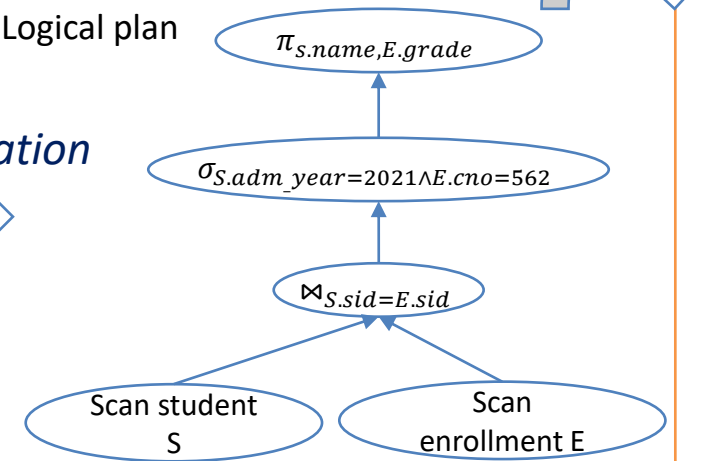
Parsing

Parse tree



Analysis & Transformation

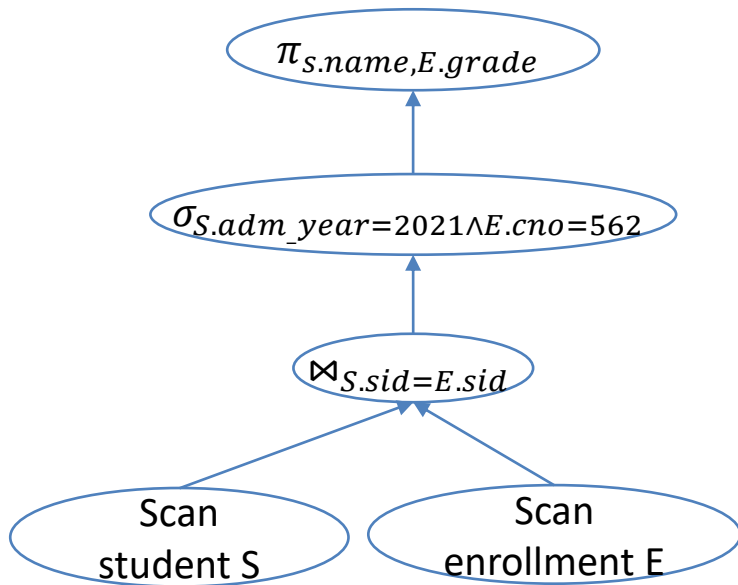
Logical plan



Query optimization (a preview)

- Many equivalent plans exist for the same query
 - Efficiency varies
- Query optimization
 - Finding *the best a not-too-bad plan* with reasonable overhead
 - Generally divided into two phases

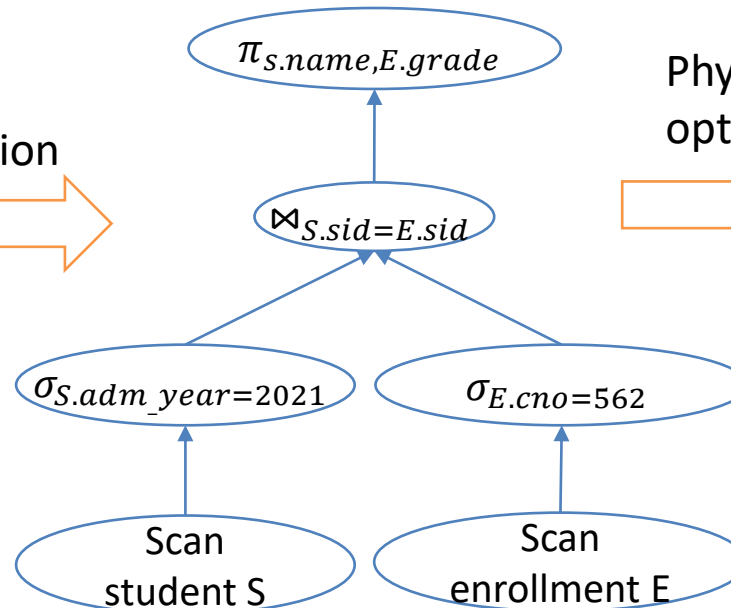
Logical Plan



Logical optimization



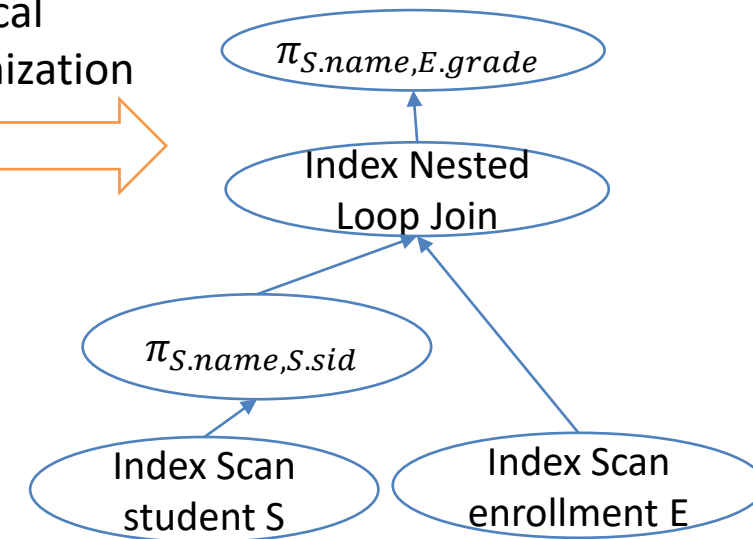
Optimized Logical Plan



Physical optimization



Physical Plan



Query execution

- Query executor needs to evaluate the result of a physical plan over a database instance
- Query interpretation vs compilation
 - To date, most DBMS uses a single piece of binary code that “**interprets**” the query plans
 - Uses run-time information to determine which function(s) to call
 - Easy to implement with runtime polymorphism (e.g., C++/Java/Scala)
 - Some modern DBMS **compiles** query plans into binary code for efficiency (e.g., [1])
 - Avoids virtual function call overhead in tight loops
 - More efficient for queries over large database
 - Overhead for compilation (LLVM to the rescue) and a bit harder to implement
 - Can take hybrid approach:
 - e.g., only compiling expression trees into binary code, while interpreting the physical plan

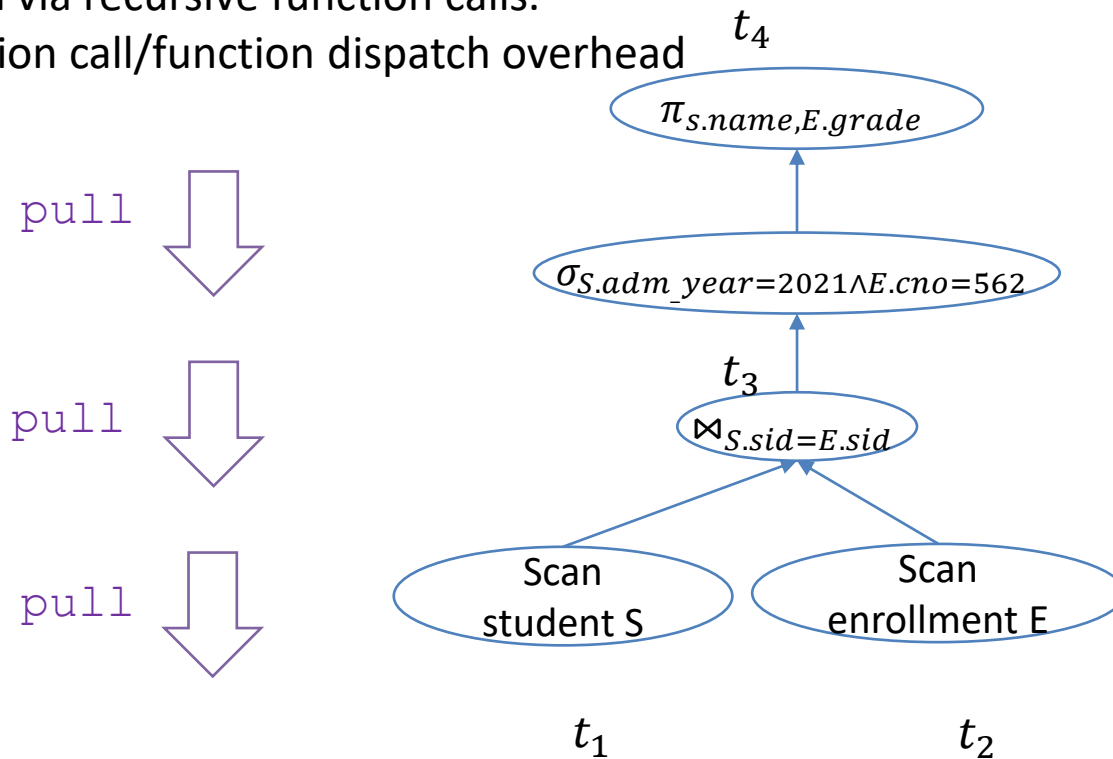
[1] Efficiently Compiling Efficient Query Plans for Modern Hardware. Thomas Neumann, 2011.

Query execution (cont'd)

- *Pull-based* vs *push-based* query execution

Pull-based query execution

- Start from root and pull data from children
- Tuple passed via recursive function calls.
- Virtual function call/function dispatch overhead

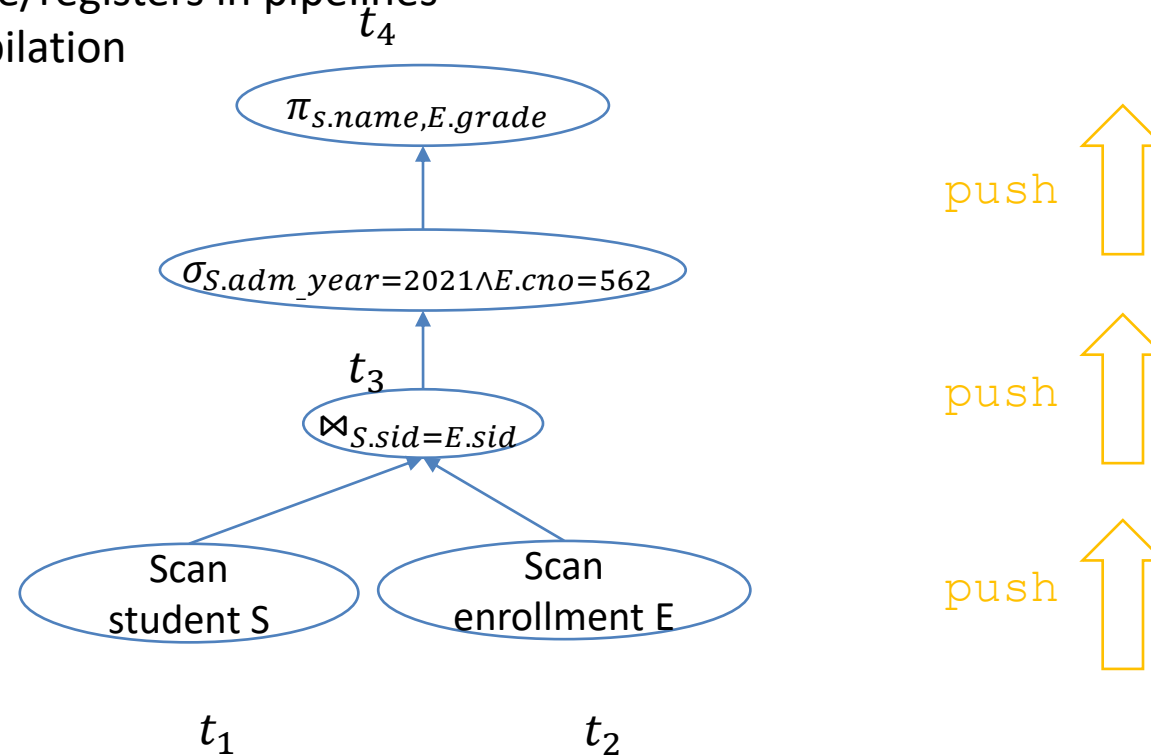


Query execution (cont'd)

- *Pull-based* vs *push-based* query execution

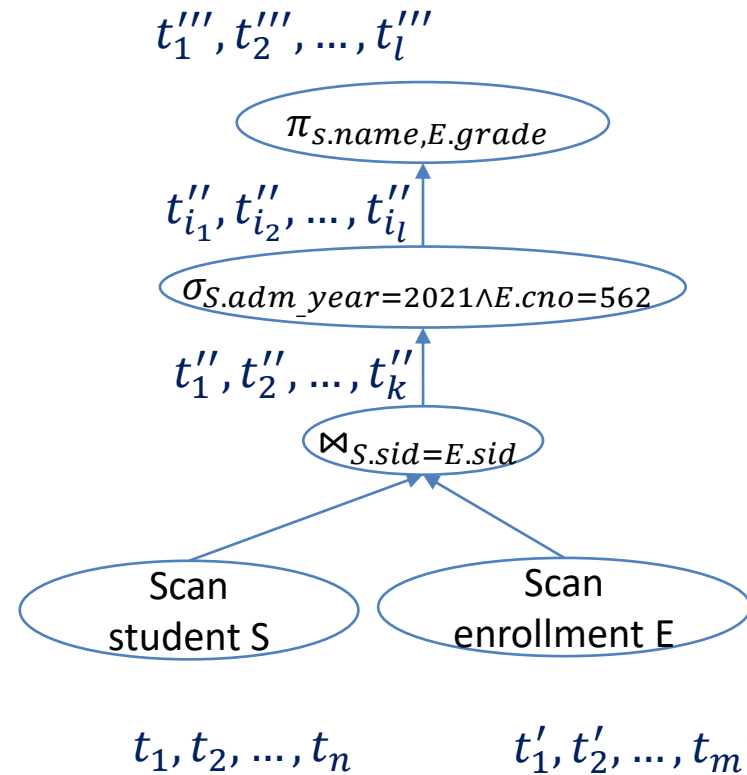
Push-based query execution

- Start from leaf and push data to parent
- Allows more efficient use of cache/registers in pipelines
 - when used with query compilation



Query execution (cont'd)

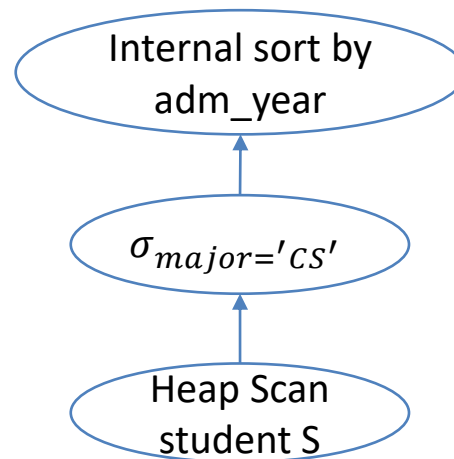
- *Pull-based* vs *push-based* query execution
- *Pipelining* vs *materialization*



Query execution models

- Several models for implementing the operators
 - Volcano model (aka iterator model)
 - most traditional and widely used one
 - pull-based execution
 - Materialization model
 - Vectorization model
- Running example

```
SELECT * FROM student
WHERE major='CS' ORDER BY adm_year;
```



Volcano model

- Operators implemented as subclasses of some `iterator` interface similar to below

```
struct iterator {  
    void init();  
    Record next();  
    void close();  
    void rewind();  
    Iterator *inputs[];  
};
```

- *Encapsulation*
 - Edges are encoded as inputs (aka child iterators)
 - Each operator implementation maintains its own internal state in its subclass
 - Generally, any operator can be input to any other operators
- *Evaluation strategy: pull-based execution*
 - Call `next()` repeatedly on the root
 - Iterators recursively call `next()` on the inputs
 - Can be pipelining or materializing, depending on the operators
- Note: the iterator tree sometimes is a separate homomorphic tree to the physical plan
 - Allows caching of physical plan (read-only)
 - A new iterator tree for storing mutable execution state per query

Example: heap scan

```
struct heap_scan_iterator: public iterator {
    heap_scan_iterator(relation R) { // leaf level, no input in heap scan
        table = create a Table object over R;
    }
    void init() {
        iter = create and initialize an iterator over t; // initializing internal states
    }
    Record next() {
        if (iter.next()) {
            return the record in iter;
        }
        return an invalid record;
    }
    void close() {
        close the iterator and the table;
    }
    void rewind() {
        close and recreate a iterator in iter;
    }
    // internal state of a heap scan
    Table *table;
    Table::Iterator iter;
};
```

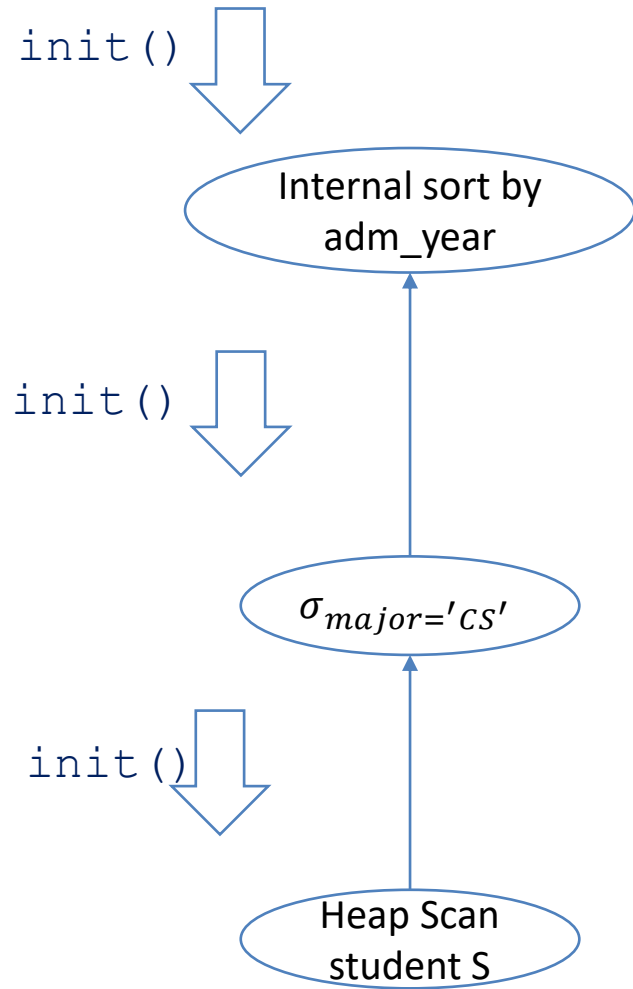
Example: selection σ (streaming)

```
struct selection_iterator: public iterator {
    selection_iterator(iterator *c, BooleanExpression *e): {
        set input[0] = c; // selection has one input node
        set pred = e;
    }
    void init() {
        input[0]->init(); // iterator implementation must recursively initialize the inputs
    }
    Record next() {
        while (r = input[0]->next()) { // call next on the input iterator to get the next record for selection
            if (pred evaluates to true on record r) { return r; } // only return when pred is true
        }
        return an invalid record;
    }
    void close() {
        input[0]->close();
    }
    void rewind() {
        input[0]->rewind();
    }
    // internal state of a selection. note that no record is ever stored in the iterator
    BooleanExpression *pred;
};
```


Example: internal sort (blocking)

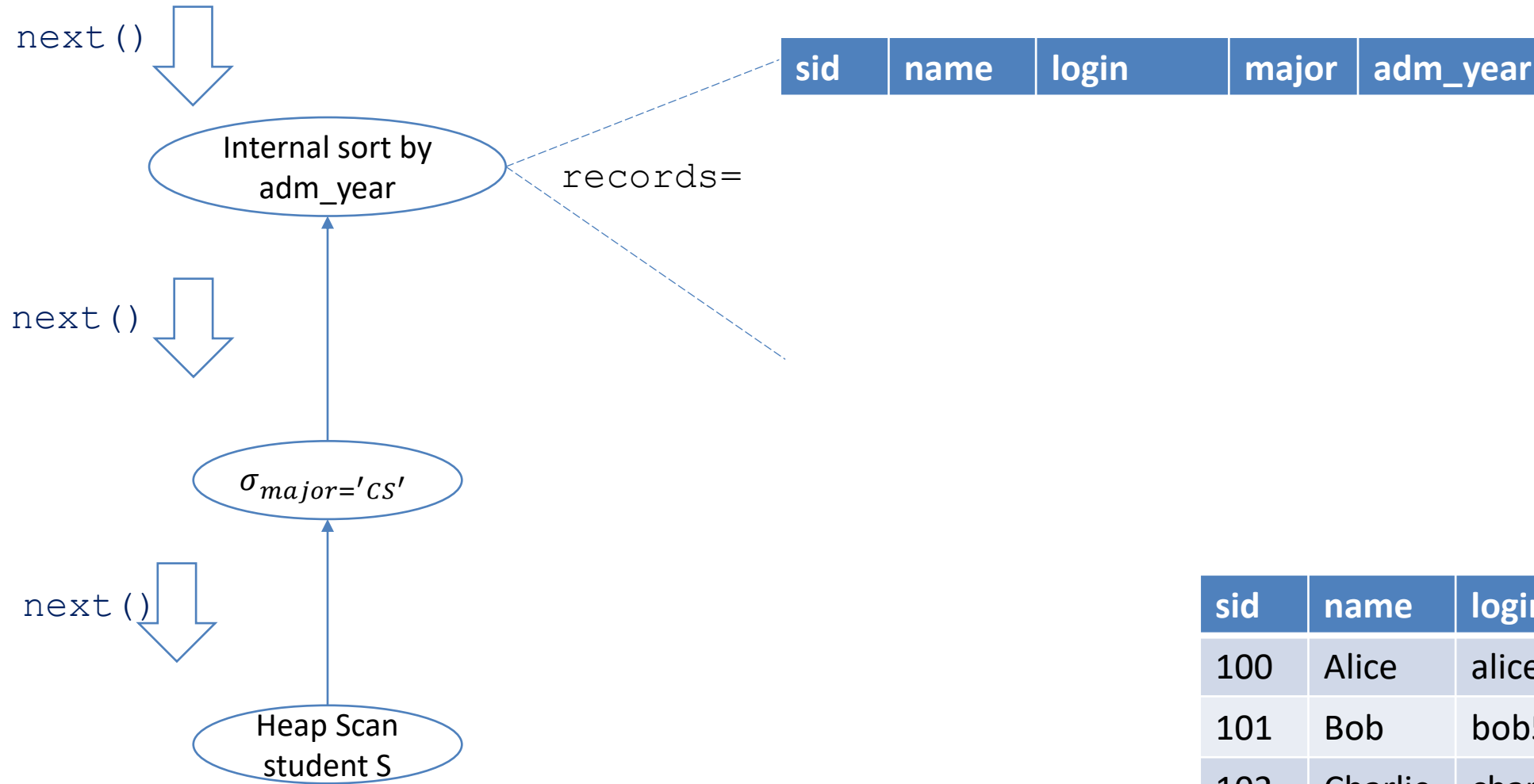
```
struct internal_sort_iterator: public iterator { // ctor omitted
    void init() {
        input[0]->init(); // iterator implementation must recursively initialize the inputs
    }
    Record next() {
        if (!valid) {
            while (r = input[0]->next()) records.push_back(r);
            sort r; set i to 0; set valid to true;
        } // will not return until all the records from the input are fetched
        if (i < records.size()) return records[i++];
        return an invalid record;
    }
    void close() {
        input[0]->close();
    }
    void rewind() {
        set i to 0; // think: why not call input[0]->rewind()?
    }
    // internal state of an internal sort. note that all the records from the input iterator are stored here.
    Expressions *columns;
    int n;
    bool valid;
    size_t i;
    vector<Record> records;
};
```

Example: putting it together



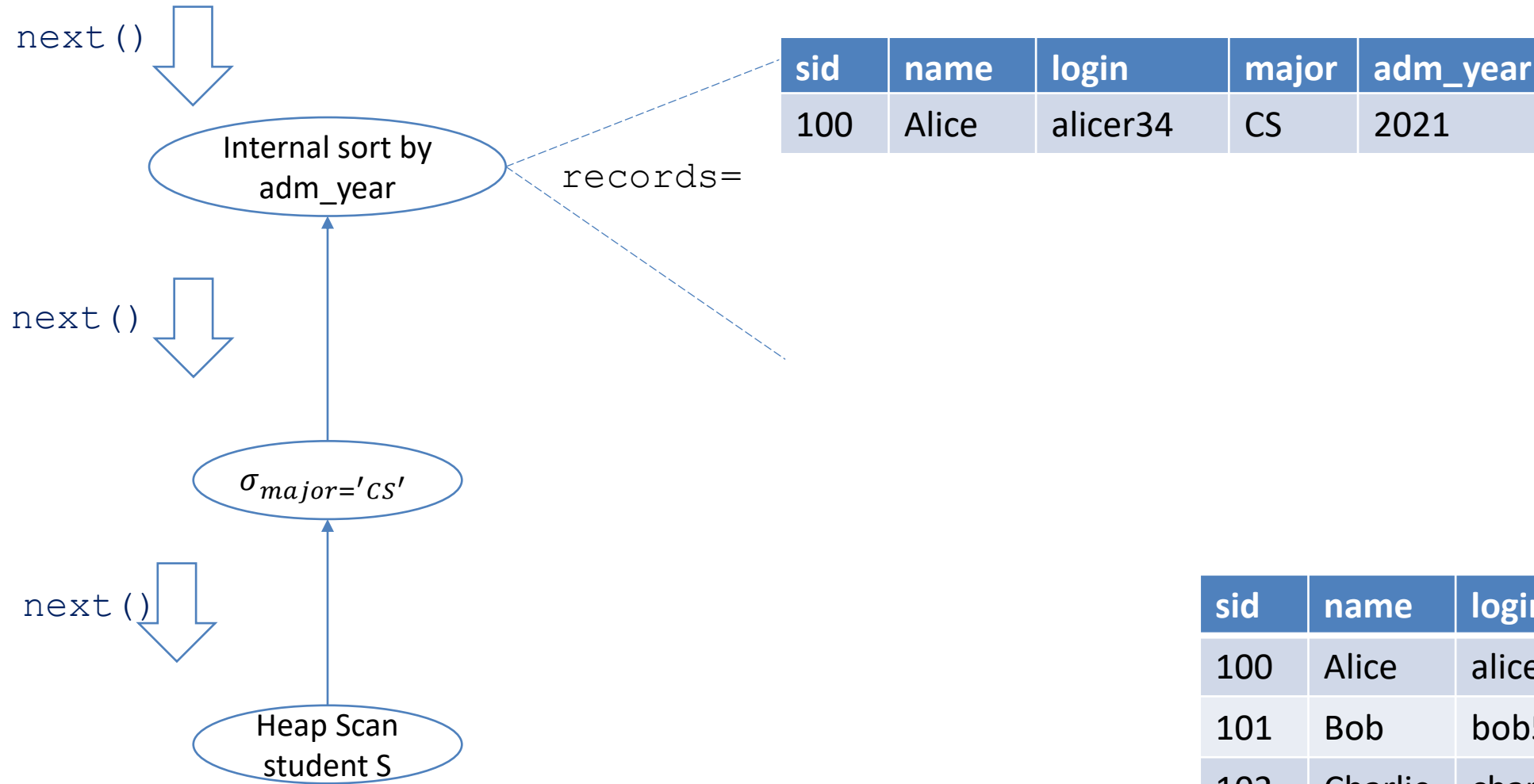
sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Example: putting it together



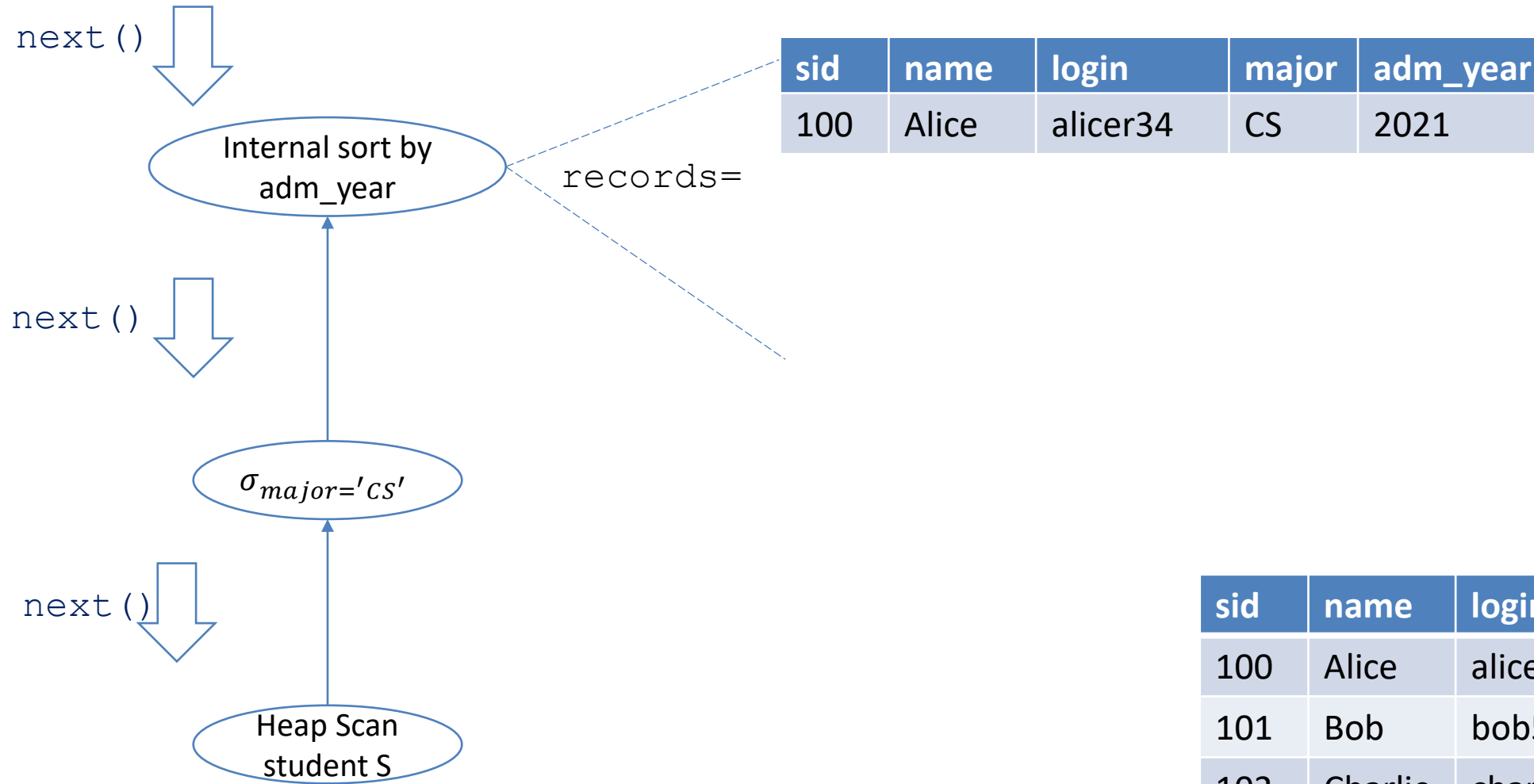
sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Example: putting it together



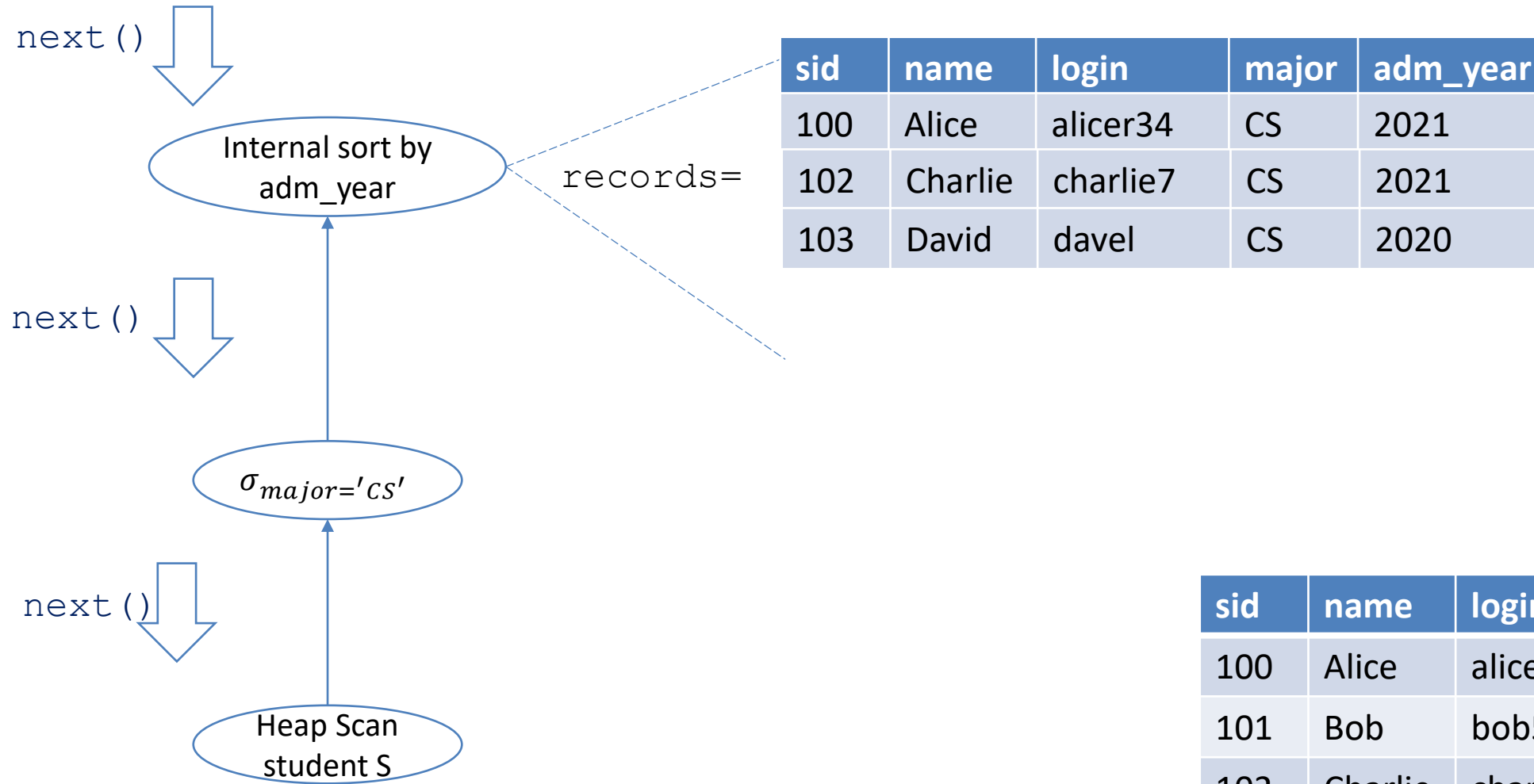
sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Example: putting it together



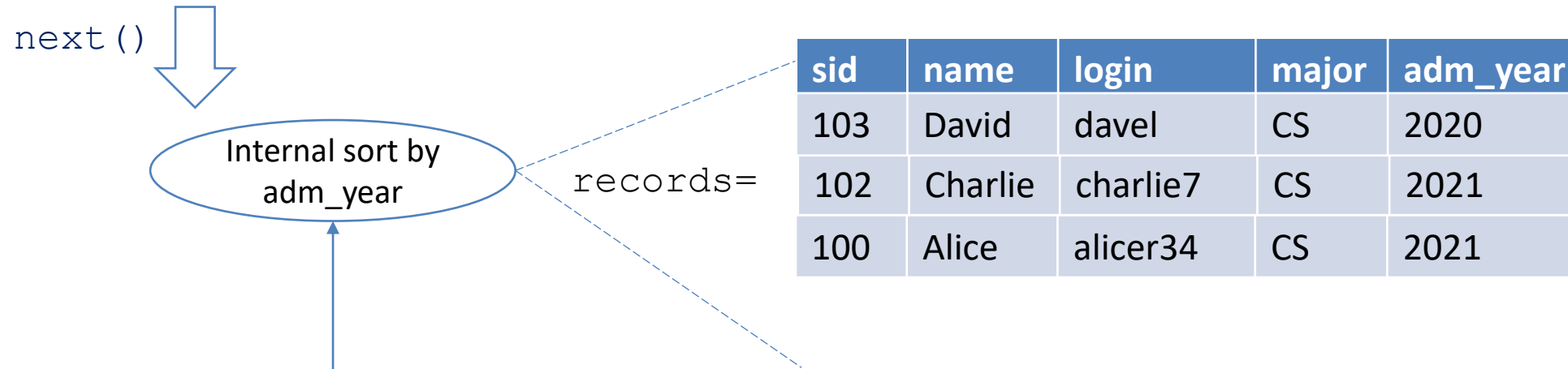
sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Example: putting it together



sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Example: putting it together



sid	name	login	major	adm_year
100	Alice	alicer34	CS	2021
101	Bob	bob5	CE	2020
102	Charlie	charlie7	CS	2021
103	David	davel	CS	2020

Materialization model

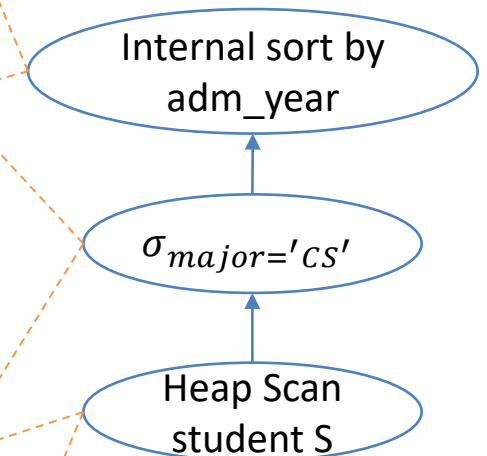
- Fully materializes results in each operator
 - Emits all results as a whole
 - Can send tuples in row or column formats
 - Can push down hints to avoid scanning too many records

- Good for queries that touches a few records at a time
 - OLTP workload
 - Not good for those with large intermediate results

```
output = child.output()
sort(output)
return out
```

```
out = []
for t in child.output():
    if t.major == 'CS':
        out.append(t)
return out
```

```
out = []
for t in S:
    out.append(t)
return out;
```



Vectorization model

- Emits a small batch of results at a time
 - Still needs to loop over a `next()` function
 - Fewer function calls & can often leverage SIMD
 - Bounded memory usage unlike materialization model
 - Good for OLAP workload

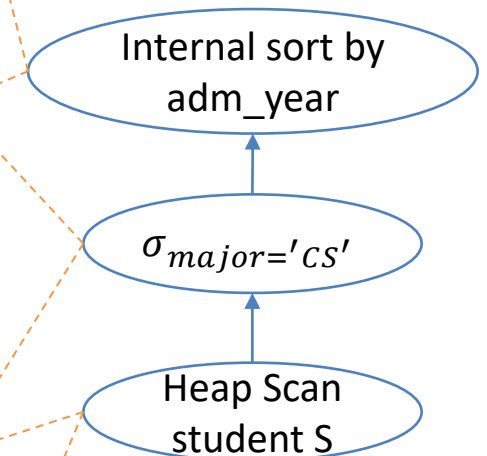
```
out = []
while c_out = child.Next():
    out.extend(c_out)
sort(out)
return out
```

- Batch size may depend on hardware or workload properties

```
out = []
while c_out = child.Next():
    out.extend(
        filter(c_out, "major = 'CS'"))
    if |out| >= k:
        return out
```

- DBMS often takes a hybrid approach

```
out = []
continue scan t in S:
    out.append(t)
    if |out| >= k:
        return out
```



Summary

- This lecture
 - Overview of query processing
 - Query execution models
- Next lecture
 - Implementation of basic operators
 - External sorting