

# Database Management Systems

## Query Optimization

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# Basics of query optimization

## Why optimizing a query?

So that it is processed efficiently.

## What is meant by efficiently?

Minimizing the cost of query evaluation.

## Who will minimize?

The system, not the user.

# Basics of query optimization

## Why optimizing a query?

So that it is processed efficiently.

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## Who will minimize?

The system, not the user.

**Query optimization is facilitating a system to construct a query-evaluation plan for processing a query efficiently, without expecting users to write efficient queries**



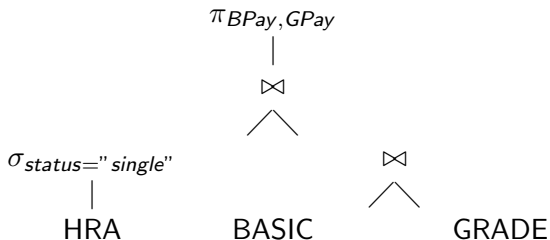






## An example query – revised

Find the basic pay and grade pay of ISI employees who are single.



**Note:** Marital status is a part of HRA table.



# Evaluating query cost

The basic parameters for estimating the query cost are

- The number of seek operations performed
- The number of blocks read
- The number of blocks written

## Intuitive (Naive) approach for least-cost query finding:

- 1 Generate expressions that are logically equivalent to the original expression
- 2 Annotate the resultant expressions in alternative ways to generate alternative query evaluation plans.
- 3 Go to 1 until you get some new expression.











# Size estimation for selection operation

**Assumption:** Attribute values are uniformly distributed

- $S(\sigma_{X=x}(R))$ :  $\frac{N_R}{V(X,R)}$
- $S(\sigma_{X \leq x}(R))$ :  $\frac{N_R * (x - \min(X,R) + 1)}{\max(X,R) - \min(X,R) + 1}$ , where  $\min(X,R)$  and  $\max(X,R)$  denote the minimum and maximum values of the attribute  $X$  in  $R$ , respectively
- $S(\sigma_{\theta_1 \wedge \theta_2 \wedge \dots \wedge \theta_n}(R))$ :  $\frac{S_1 * S_2 * \dots * S_n}{N_R^{n-1}}$ , where  $S_i$  denotes the estimated size of the selection operation  $\sigma_{\theta_i}(R)$
- $S(\sigma_{\theta_1 \vee \theta_2 \vee \dots \vee \theta_n}(R))$ :  $\frac{N_R^n - (N_R - S_1) * (N_R - S_2) * \dots * (N_R - S_n)}{N_R^{n-1}}$ , where  $S_i$  denotes the estimated size of the selection operation  $\sigma_{\theta_i}(R)$
- $S(\sigma_{-\theta}(R))$ :  $N_R - S(\sigma_{\theta}(R))$

**Note:**  $S_i$  denotes  $S(\sigma_{\theta_i})$ , where  $\theta_i$  represents a predicate.



# Size estimation for selection – A conceptual example

Consider the following table and its system catalog information:

Table: TOY

ID	COLOR	COST
T1	Blue	10
T2	Blue	10
T3	Red	20
T4	Blue	20
T5	Red	30
T6	Red	30

$$N_{TOY} = 6$$

$$V(COLOR, TOY) = 2$$

$$V(COST, TOY) = 3$$

$$\min(COST, TOY) = 10$$

$$\max(COST, TOY) = 30$$

$$H_{TOY} = 3$$

- $S(\sigma_{COLOR=Red}(TOY)) = \frac{N_{TOY}}{V(COLOR, TOY)} = 3.$
- $S(\sigma_{COST \leq 20}(TOY)) = \frac{N_{TOY} * (20 - \min(COST, TOY) + 1)}{\max(COST, TOY) - \min(COST, TOY) + 1} \sim 3.14.$
- $S(\sigma_{(COLOR=Red) \wedge (COST \leq 20)}(TOY)) = \frac{S(\sigma_{COLOR=Red}(TOY)) * S(\sigma_{COST \leq 20}(TOY))}{N_{TOY}} \sim 1.57$

# Size estimation for Cartesian product and natural join

## Cartesian product:

$\mathcal{S}(R_1 \times R_2)$  is equal to  $N_{R_1} * N_{R_2}$  (each tuple occupies  $L_{R_1} + L_{R_2}$  bytes).

## Natural join:

- If  $A(R_1) \cap A(R_2) = \phi$ :  $\mathcal{S}(R_1 \bowtie R_2)$  equals to  $N_{R_1} * N_{R_2}$
- If  $A(R_1) \cap A(R_2)$  is a key for  $R_1$ :  $\mathcal{S}(R_1 \bowtie R_2)$  is no greater than  $N_{R_2}$
- If  $A(R_1) \cap A(R_2)$  is a key for  $R_2$ :  $\mathcal{S}(R_1 \bowtie R_2)$  is no greater than  $N_{R_1}$
- If  $A(R_1) \cap A(R_2)$  is a key for neither  $R_1$  nor  $R_2$ :  $\mathcal{S}(R_1 \bowtie R_2)$  is the maximum of  $\frac{N_{R_1} * N_{R_2}}{V(X, R_1)}$  and  $\frac{N_{R_1} * N_{R_2}}{V(X, R_2)}$

## Size estimation for other operations

- Projection:  $\mathcal{S}(\pi_X(R))$  equals to  $V(X, R)$
- Aggregation: Involves a size of  $V(X, R)$
- Set union operation:  $\mathcal{S}(R_1 \cup R_2)$  is no greater than  $N_{R_1} + N_{R_2}$
- Set intersection operation:  $\mathcal{S}(R_1 \cap R_2)$  is no greater than  $\min(N_{R_1}, N_{R_2})$
- Set difference operation:  $\mathcal{S}(R_1 - R_2)$  is no greater than  $N_{R_1}$



## Query size estimation – Example I

**Given a relation  $R$  with 60 tuples. If  $R$  has an attribute  $Age$  within the range  $[20, 30]$  and there are 15 distinct values for the attribute  $Height$  minimum of which is 170, estimate the size of the query  $\sigma_{(Age \leq 23) \vee Height=170}(R)$ .**

**Solution:** It is given that  $N_R = 60$ ,  $\min(Age, R) = 20$ ,  $\max(Age, R) = 30$ ,  $\min(Height, R) = 170$  and  $V(Height, R) = 15$ . Therefore, with uniform distribution assumption, the size of the query can be estimated as  $\mathcal{S}(\sigma_{(Age \leq 23) \vee Height=170}(R))$

$$\begin{aligned}
 &= \frac{N_R^2 - (N_R - \mathcal{S}(\sigma_{Age \leq 23}(R))) * (N_R - \mathcal{S}(\sigma_{Height=170}(R)))}{N_R} \\
 &= \frac{N_R^2 - (N_R - \frac{N_R * (23 - \min(Age, R))}{\max(Age, R) - \min(Age, R)}) * (N_R - \frac{N_R}{V(Height, R)})}{N_R} \\
 &= 20.8.
 \end{aligned}$$

## Query size estimation – Example II

Let  $R1(ID, Name)$  and  $R2(Roll, CGPA)$  be a pair of relations. Now if  $ID$  be the primary key for  $R1$  and the attribute  $Roll$  has a minimum value of 118002001, then estimate the size of the query  $\sigma_{ID=11}(R1) \bowtie \sigma_{Roll \leq 118002000}(R2)$ .



## Query size estimation – Example II

Let  $R1(ID, Name)$  and  $R2(Roll, CGPA)$  be a pair of relations. Now if  $ID$  be the primary key for  $R1$  and the attribute  $Roll$  has a minimum value of 118002001, then estimate the size of the query  $\sigma_{ID=11}(R1) \bowtie \sigma_{Roll \leq 118002000}(R2)$ .

**Solution:** If  $ID$  be the primary key of  $R1$ , then it should have distinct values satisfying  $V(ID, R1) = N_{R1}$ . Again it is given that  $\min(Roll, R2) = 118002001$ . Therefore, with the assumption of uniform distribution over the attribute domains, the given query size can be estimated as  $\mathcal{S}(\sigma_{ID=11}(R1) \bowtie \sigma_{Roll \leq 118002000}(R2))$

$$\begin{aligned}
 &= \mathcal{S}(\sigma_{ID=11}(R1)) \times \mathcal{S}(\sigma_{Roll \leq 118002000}(R2)) \\
 &= \frac{N_{R1}}{V(ID, R1)} \times \frac{N_{R2} * (118002000 - \min(Roll, R2) + 1)}{\max(Roll, R2) - \min(Roll, R2) + 1} \\
 &= \frac{N_{R1}}{N_{R1}} \times \frac{N_{R1} * (118002000 - 118002001 + 1)}{\max(Roll, R2) - 118002001} = 0.
 \end{aligned}$$

## Query size estimation – Example III

**Given a pair of relations  $R1$  and  $R2$ , wherein the primary key of  $R1$  (say  $K$ ) is the only foreign key of  $R2$ , estimate the size of the following queries. Assume that the number of tuples in  $R1$  and  $R2$  are  $t1$  and  $t2$ , respectively.**

- i)  $R1 \bowtie R2$ .
- ii)  $R1 \times R2$ .
- iii)  $\sigma_{K='19BM6JP01'}(R1) \times R2$ .

## Query size estimation – Example III

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- i)  $R1 \bowtie R2$ .
- ii)  $R1 \times R2$ .
- iii)  $\sigma_{K='19BM6JP01'}(R1) \times R2$ .

### Solution:

- i) No greater than  $t_2$ .
- ii)  $t_1 t_2$ .
- iii)  $t_2$ .









## Query equivalence – An observation

Suppose the following queries are applied on a relation  $R(X, Y, Z)$ .

$$Q1 : \sigma_{\theta_1}(\sigma_{\theta_2}(R))$$

$$Q2 : \sigma_{\theta_2}(\sigma_{\theta_1}(R))$$

Let the predicates  $\theta_1$  and  $\theta_2$  perform equality check (let for a single value) on the attributes  $X$  and  $Z$ , respectively.

Compare the efficiencies of  $Q1$  and  $Q2$  if it is mentioned that  $V(X, R) > V(Y, R) > V(Z, R)$ .



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Compare the efficiencies of  $Q1$  and  $Q2$  if it is mentioned that  $V(X, R) > V(Y, R) > V(Z, R)$ .

**Solution:**  $Q2$  is better because it first selects on the attribute  $X$ , having more distinct entries, returning lesser number of tuples. Note that, all the attributes in  $R$  have same number of values (corresponding to the tuples).

## Query equivalence – On theta-join

- Commutative property of theta-join:  $R_1 \bowtie_{\theta} R_2 \equiv R_2 \bowtie_{\theta} R_1$ .
- Theta joins are associative in the following way:  
 $(R_1 \bowtie_{\theta_1} R_2) \bowtie_{\theta_2 \wedge \theta_3} R_3 \equiv R_1 \bowtie_{\theta_1 \wedge \theta_3} (R_2 \bowtie_{\theta_2} R_3)$ , where  $\theta_2$  involves attributes only from  $R_2$  and  $R_3$ . Any of these conditions may be empty, and hence it follows that the Cartesian product operation is also associative.
- The selection operation distributes over the theta-join operation under the following two conditions:
  - 1 It distributes when all the attributes in selection condition  $\theta_0$  involve only the attributes of one of the relations (say  $R_1$ ) being joined. i.e.  $\sigma_{\theta_0}(R_1 \bowtie_{\theta} R_2) \equiv (\sigma_{\theta_0}(R_1) \bowtie_{\theta} R_2)$ .
  - 2 It distributes when selection condition  $\theta_1$  involves only the attributes of  $R_1$  and  $\theta_2$  involves only the attributes of  $R_2$ . i.e.  $\sigma_{\theta_1 \wedge \theta_2}(R_1 \bowtie_{\theta} R_2) \equiv (\sigma_{\theta_1}(R_1) \bowtie_{\theta} \sigma_{\theta_2}(R_2))$ .

## Query equivalence – On theta-join

- The projection operation distributes over the theta-join operation under the following two conditions:
  - 1 Let  $L_1$  and  $L_2$  be the attributes of  $R_1$  and  $R_2$ , respectively, and the join condition  $\theta$  involves the attributes only in  $L_1 \cup L_2$ .  
Then we have

$$\pi_{L_1 \cup L_2}(R_1 \bowtie_{\theta} R_2) \equiv (\pi_{L_1}(R_1)) \bowtie_{\theta} (\pi_{L_2}(R_2)).$$

- 2 Consider a join operation  $R_1 \bowtie_{\theta} R_2$  and suppose  $L_1$  and  $L_2$  be the sets of attributes from  $R_1$  and  $R_2$ , respectively. Further assume that  $L_3$  and  $L_4$  denote the attributes of  $R_1$  and  $R_2$ , respectively, that are involved in join condition  $\theta$ , but are not in  $L_1 \cup L_2$ . Then we have

$$\pi_{L_1 \cup L_2}(R_1 \bowtie_{\theta} R_2) \equiv \pi_{L_1 \cup L_2}((\pi_{L_1 \cup L_3}(R_1)) \bowtie_{\theta} (\pi_{L_2 \cup L_4}(R_2))).$$



## Query equivalence – On set operations

- Commutative property of set union:  $R_1 \cup R_2 \equiv R_2 \cup R_1$ .
- Associative property of set union:  $(R_1 \cup R_2) \cup R_3 \equiv R_1 \cup (R_2 \cup R_3)$ .
- Commutative property of set intersection:  $R_1 \cap R_2 \equiv R_2 \cap R_1$ .
- Associative property of set intersection:  $(R_1 \cap R_2) \cap R_3 \equiv R_1 \cap (R_2 \cap R_3)$ .
- The selection operation distributes over the union, intersection and set difference operations:  $\sigma_\theta(R_1 - R_2) \equiv \sigma_\theta(R_1) - \sigma_\theta(R_2)$  (replacing ‘-’ with either  $\cup$  or  $\cap$  also holds).
- Again we have the equivalence relation:  $\sigma_\theta(R_1 - R_2) \equiv \sigma_\theta(R_1) - R_2$  (replacing ‘-’ with  $\cap$  also holds, but not for  $\cup$ ).
- Distributive property of projection over union:  $\pi_X(R_1 \cup R_2) \equiv (\pi_X(R_1)) \cup (\pi_X(R_2))$ . Note that, the attribute set  $X$  belongs to both  $R_1$  and  $R_2$ .

# Motivation behind query tuning

For a given query, find a *correct* execution plan that has the lowest *cost* (e.g., time, size, etc.).

Note that, no optimizer can truly produce the *optimal* plan, hence do the following:

- Use estimation techniques to guess real plan cost.
- Use heuristics to limit the search space.

**Note:** Query tuning is a part of the DBMS and it is proven to be NP-Complete.



## Nested query processing

Query optimizers often use nested loops while joining tables containing small number of rows with an efficient driving condition. It is important to have an index on column of inner join table as this table is probed every time for a new value from outer table.

However, nested queries are quite complicated to process.

**Note:** We cannot always un-nest sub-queries (its tricky!!!).



# Query tuning – Example I

If Cartesian product and natural join on the pair of relations  $R1$  and  $R2$ , with number of tuples  $t_1$  and  $t_2$  respectively, produce the same result, then (if possible) tune the following query:

$$\sigma_{R1.X=10}(R1 \times (R1 \times R2)).$$

Estimate the size of your query.

# Query tuning – Example I

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$$\sigma_{R1.X=10}(R1 \times (R1 \times R2)).$$

Estimate the size of your query.

Solution: ???

# Logical and physical plan

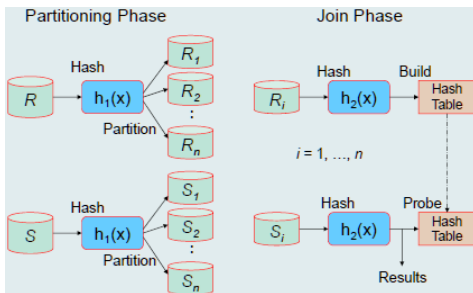
The optimizer generates a mapping of a logical algebra expression to the optimal equivalent physical algebra expression.

Physical operators define a specific execution strategy using a particular 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.



# Physical plans – Hash join



## Physical plans – Sort Merge join

Sort merge join is used to join two independent data sources. They perform better than the nested loop when the volume of data is big in tables.

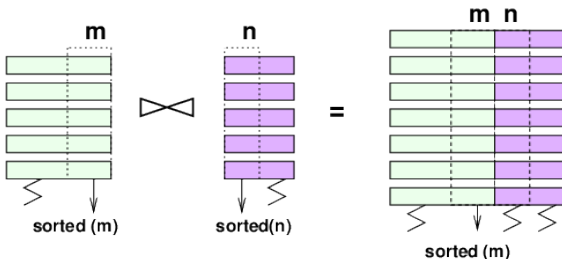
They perform better than hash join when the join condition is either an inequality condition or if sorting is anyways required due to some other attribute (other than join) like *order by*.

The full operation is done in two parts as follows:

- 1 Sort join operation
- 2 Merge join operation

**Note:** If the data is already sorted, first step is avoided.

# Physical plans – Sort Merge join



# Optimizing search strategies

There are several ways to optimize the searching mechanism as listed below:

- Heuristics
- Heuristics + Cost-based join order search
- Randomized algorithms
- Stratified search
- Unified search



# Optimization based on heuristics

Define static rules that transform logical operators to a physical plan. Some of these as follows:

- Perform most restrictive selection early
- Perform all selections before joins
- Predicate/Limit/Projection pushdowns
- Join ordering based on cardinality

**Note:** Original versions of INGRES and Oracle (until mid 1990s) used this.

# Optimization based on heuristics – An example

Consider the following three relations ACTOR, MOVIE and ACTS with primary keys {AID}, {MID} and {AID, MID}, respectively.

ACTOR

AID	Name
1	Amitabh Bachchan
2	Taapsee Pannu
3	Aksay Kumar
4	Prabhas
5	Shraddha Kapoor
6	Kangana Ranaut

MOVIE

MID	Name
1	Badla
2	Kesari
3	Saaho
4	Mental Hai Kya

ACTS

AID	MID
1	1
2	1
3	2
5	3
4	3
6	4

# Optimization based on heuristics – An example

Suppose we want to retrieve the names of actors who acted in the movie *Saaho*.

The following query serves the purpose:

```
select ACTOR.Name from ACTOR, ACTS, MOVIE where
ACTOR.AID = ACTS.AID and ACTS.MID = MOVIE.MID and
MOVIE.Name = "Saaho";
```

Let us see how a heuristics based optimizer works!!!

# Optimization based on heuristics – An example

**Step 1:** Decompose a complex query into single-variable queries

Q

```
select ACTOR.Name from ACTOR, ACTS, MOVIE where
ACTOR.AID = ACTS.AID and ACTS.MID = MOVIE.MID and
MOVIE.Name = "Saaho";
```

Q1

```
select MOVIE.MID into
TEMP1 from MOVIE where
MOVIE.Name = "Saaho";
```

Q2

```
select ACTOR.Name from
ACTOR, ACTS, TEMP1
where ACTOR.AID =
ACTS.AID and ACTS.MID =
TEMP1.MID;
```

# Optimization based on heuristics – An example

**Step 1:** Decompose a complex query into single-variable queries  
(Continued ...)

Q2

```
select ACTOR.Name from ACTOR, ACTS, TEMP1 where  
ACTOR.AID = ACTS.AID and ACTS.MID = TEMP1.MID;
```

Q3

```
select ACTS.AID into TEMP2  
from ACTS, TEMP1 where  
ACTS.MID = TEMP1.MID;
```

Q4

```
select ACTOR.Name from  
ACTOR, TEMP2 where  
ACTOR.AID = TEMP2.AID;
```

# Optimization based on heuristics – An example

**Step 2:** Substitute the values in the order  $Q1 \rightarrow Q3 \rightarrow Q4$

Q1

```
select MOVIE.MID into TEMP1 from MOVIE where MOVIE.Name = "Saaho";
```

<b>MID</b>
3

# Optimization based on heuristics – An example

**Step 2:** Substitute the values in the order Q1 → Q3 → Q4  
(Continued ...)

Q3

```
select ACTS.AID into TEMP2 from ACTS, TEMP1 where  
ACTS.MID = 3;
```

AID
5
4

# Optimization based on heuristics – An example

**Step 2:** Substitute the values in the order Q1 → Q3 → Q4  
(Continued ...)

Q4

```
select ACTOR.Name from ACTOR, TEMP2 where ACTOR.AID =  
TEMP2.AID;
```

Name
Shraddha Kapoor
Prabhas



# Optimization based on heuristics – Pros and cons

## Advantages:

- 1 Easy to implement and debug.
- 2 Works reasonably well and is fast for simple queries.

## Disadvantages:

- 1 Relies on magic constants that predict the efficacy of a planning decision.
- 2 Nearly impossible to generate good plans when operators have complex inter-dependencies.

# Optimization based on heuristics + cost-based join order search

Use static rules to perform initial optimization. Then use dynamic programming to determine the best join order for tables.

- First cost-based query optimizer
- Bottom-up planning (forward chaining) using a divide-and-conquer search method

**Note:** System R, early IBM DB2, most open-source DBMSs used this.

# System R style optimization

- 1 Break query up into blocks and generate the logical operators for each block.
- 2 For each logical operator, generate a set of physical operators that implement it.
  - All combinations of join algorithms and access paths
- 3 Then iteratively construct a *left-deep* tree that minimizes the estimated amount of work to execute the plan.

## System R style optimization – An example

Suppose we want to retrieve the names of actors who acted in the movie *Saaho* ordered by their actor ID.

The following query serves the purpose:

```
select ACTOR.Name from ACTOR, ACTS, MOVIE where
ACTOR.AID = ACTS.AID and ACTS.MID = MOVIE.MID and
MOVIE.Name = "Saaho" order by ACTOR.AID;
```

Let us see how the System R optimizer works!!!

# System R style optimization – An example

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

- ACTOR: Sequential Scan
- ACTS: Sequential Scan
- MOVIE: Index Look-up on Name

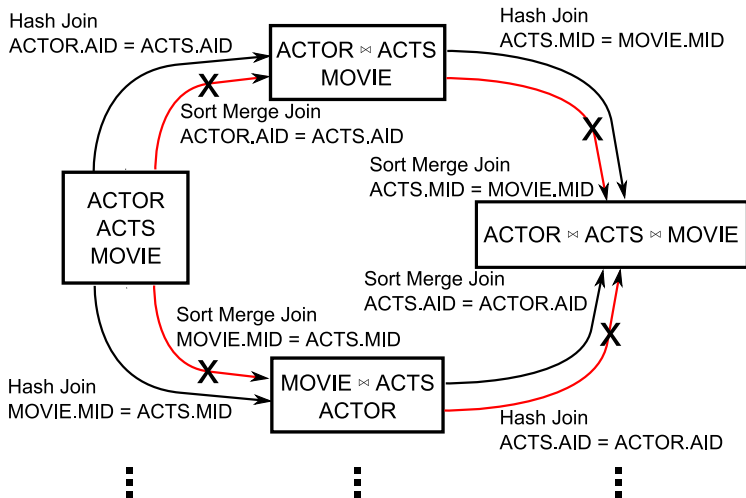
# System R style optimization – An example

**Step 2:** Enumerate all possible join orderings for tables

- ACTOR ⋈ ACTS ⋈ MOVIE
- ACTOR ⋈ MOVIE ⋈ ACTS
- ACTS ⋈ ACTOR ⋈ MOVIE
- ACTS ⋈ MOVIE ⋈ ACTOR
- MOVIE ⋈ ACTOR ⋈ ACTS
- MOVIE ⋈ ACTS ⋈ ACTOR

# System R style optimization – An example

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







# Optimization based on randomized algorithms

Perform a random walk over a solution space of all possible (valid) plans for a query.

Continue searching until a cost threshold is reached or the optimizer runs for a particular length of time.

**Note:** Postgres' genetic algorithm used this.





# Optimization based on unified search

Unify the notion of both logical  $\rightarrow$  logical and logical  $\rightarrow$  physical transformations.

– No need for separate stages because everything is transformations.

This approach generates a lot more transformations so it makes heavy use of memorization to reduce redundant work.