TODAY’S AGENDA

Background
Optimization Basics
Optimizer Search Strategies
For a given query, find a **correct** execution plan that has the lowest “cost”.

This is the part of a DBMS that is the hardest to implement well (proven to be NP-Complete).

No optimizer truly produces the “optimal” plan
→ Use estimation techniques to guess real plan cost.
→ Use heuristics to limit the search space.
ARCHITECTURE OVERVIEW

SQL Query

SQL Rewriter (Optional)

Binder

Abstract Syntax Tree

Optimizer

Tree Rewriter (Optional)

Annotated AST

Cost Estimates

Physical Plan

System Catalog

Annotated AST

CMU 15-721 (Spring 2017)
LOGICAL VS. PHYSICAL PLANS

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.
Two relational algebra expressions are said to be **equivalent** if on every legal database instance the two expressions generate the same set of tuples.

Example: $(A \bowtie (B \bowtie C)) = (B \bowtie (A \bowtie C))$
Observation

Query planning for OLTP queries is easy because they are sargable.

→ It is usually just picking the best index.
→ Joins are almost always on foreign key relationships with a small cardinality.
→ Can be implemented with simple heuristics.

We will focus on OLAP queries in this lecture.
COST ESTIMATION

Generate an estimate of the cost of executing a plan for the current state of the database.
→ Interactions with other work in DBMS
→ Size of intermediate results
→ Choices of algorithms, access methods
→ Resource utilization (CPU, I/O, network)
→ Data properties (skew, order, placement)

We will discuss this more next week…
DESIGN CHOICES

Optimization Granularity
Optimization Timing
Plan Stability
OPTIMIZATION GRANULARITY

Choice #1: Single Query
→ Much smaller search space.
→ DBMS cannot reuse results across queries.
→ In order to account for resource contention, the cost model must account for what is currently running.

Choice #2: Multiple Queries
→ More efficient if there are many similar queries.
→ Search space is much larger.
→ Useful for scan sharing.
Choice #1: Static Optimization
→ Select the best plan prior to execution.
→ Plan quality is dependent on cost model accuracy.
→ Can amortize over executions with prepared stmts.

Choice #2: Dynamic Optimization
→ Select operator plans on-the-fly as queries execute.
→ Will have reoptimize for multiple executions.
→ Difficult to implement/debug (non-deterministic)

Choice #3: Hybrid Optimization
→ Compile using a static algorithm.
→ If the error in estimate > threshold, reoptimize
Choice #1: Hints
→ Allow the DBA to provide hints to the optimizer.

Choice #2: Fixed Optimizer Versions
→ Set the optimizer version number and migrate queries one-by-one to the new optimizer.

Choice #3: Backwards-Compliant Plans
→ Save query plan from old version and provide it to the new DBMS.
OPTIMIZATION SEARCH STRATEGIES

Heuristics
Heuristics + Cost-based Join Order Search
Randomized Algorithms
Stratified Search
Unified Search
HEURISTIC-BASED OPTIMIZATION

Define static rules that transform logical operators to a physical plan.
→ Perform most restrictive selection early
→ Perform all selections before joins
→ Predicate/Limit/Projection pushdowns
→ Join ordering based on cardinality

Example: Original versions of INGRES and Oracle (until mid 1990s)
**EXAMPLE DATABASE**

| CREATE TABLE ARTIST (       |
| ID INT PRIMARY KEY,         |
| NAME VARCHAR(32) )         |
| CREATE TABLE ALBUM (        |
| ID INT PRIMARY KEY,         |
| NAME VARCHAR(32) UNIQUE )   |
| CREATE TABLE APPEARS (      |
| ARTIST_ID INT              |
| REFERENCES ARTIST(ID),     |
| ALBUM_ID INT               |
| REFERENCES ALBUM(ID),      |
| PRIMARY KEY                |
| (ARTIST_ID, ALBUM_ID) )    |
Step #1: Decompose into single-variable queries

Retrieve the names of people that appear on Andy's mixtape

**Q1**

```
SELECT ALBUM.ID AS ALBUM_ID INTO TEMP1
FROM ALBUM
WHERE ALBUM.NAME = "Andy's OG Remix"
```

**Q2**

```
SELECT ARTIST.NAME
FROM ARTIST, APPEARS, TEMP1
WHERE ARTIST.ID = APPEARS.ARTIST_ID
AND APPEARS.ALBUM_ID = TEMP1.ALBUM_ID
AND ALBUM.NAME = "Andy's OG Remix"
```
**INGRES OPTIMIZER**

**Step #1: Decompose into single-variable queries**

**Q1**

```
SELECT ALBUM.ID AS ALBUM_ID INTO TEMP1
FROM ALBUM
WHERE ALBUM.NAME="Andy's OG Remix"
```

**Q2**

```
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"
```

Retrieve the names of people that appear on Andy's mixtape.
Retrieve the names of people that appear on Andy's mixtape

**Step #1: Decompose into single-variable queries**

**Q1**
```
SELECT ALBUM.ID AS ALBUM_ID INTO TEMP1
FROM ALBUM
WHERE ALBUM.NAME = "Andy's OG Remix"
```

**Q3**
```
SELECT APPEARS.ARTIST_ID INTO TEMP2
FROM APPEARS, TEMP1
WHERE APPEARS.ALBUM_ID = TEMP1.ALBUM_ID
```

**Q4**
```
SELECT ARTIST.NAME
FROM ARTIST, TEMP2
WHERE ARTIST.ARTIST_ID = TEMP2.ARTIST_ID
```
Retrieve the names of people that appear on Andy's mixtape

Step #1: Decompose into single-variable queries

Step #2: Substitute the values from Q1→Q3→Q4

Q1

```
SELECT ALBUM.ID AS ALBUM_ID INTO TEMP1
FROM ALBUM
WHERE ALBUM.NAME="Andy's OG Remix"
```
Retrieve the names of people that appear on Andy's mixtape

```
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"
```

**Step #1: Decompose into single-variable queries**

**Q3**

```
SELECT APPEARS.ARTIST_ID INTO TEMP2 
FROM APPEARS, TEMP1
WHERE APPEARS.ALBUM_ID=TEMP1.ALBUM_ID
```

**Q4**

```
SELECT ARTIST.NAME 
FROM ARTIST, TEMP2
WHERE ARTIST.ARTIST_ID=TEMP2.ARTIST_ID
```

**Step #2: Substitute the values from Q1→Q3→Q4**
Retrieve the names of people that appear on Andy's mixtape

**Q4**

\[
\text{SELECT ARTIST.NAME FROM ARTIST, TEMP2 WHERE ARTIST.ARTIST_ID=TEMP2.ARTIST_ID}
\]

**Step #1: Decompose into single-variable queries**

\[
\text{SELECT ARTIST.NAME FROM ARTIST, TEMP2 WHERE ARTIST.ARTIST_ID=TEMP2.ARTIST_ID}
\]

**Step #2: Substitute the values from Q1→Q3→Q4**

\[
\text{SELECT APPEARS.ARTIST_ID FROM APPEARS WHERE APPEARS.ALBUM_ID=9999}
\]

\[
\text{SELECT ALBUM_ID 9999}
\]

\[
\text{SELECT APPEARS.ARTIST_ID FROM APPEARS WHERE APPEARS.ALBUM_ID=9999}
\]

\[
\text{SELECT ARTIST.NAME FROM ARTIST, APPEARS, ALBUM WHERE ARTIST.ID=APPEARS.ARTIST_ID AND APPEARS.ALBUM_ID=ALBUM.ID AND ALBUM.NAME="Andy's OG Remix"}
\]

\[
\text{SELECT ARTIST.NAME FROM ARTIST, APPEARS, ALBUM WHERE ARTIST.ID=APPEARS.ARTIST_ID AND APPEARS.ALBUM_ID=ALBUM.ID AND ALBUM.NAME="Andy's OG Remix"}
\]

\[
\text{SELECT ARTIST.NAME FROM ARTIST, APPEARS, ALBUM WHERE ARTIST.ID=APPEARS.ARTIST_ID AND APPEARS.ALBUM_ID=ALBUM.ID AND ALBUM.NAME="Andy's OG Remix"}
\]
Step #1: Decompose into single-variable queries

Step #2: Substitute the values from Q1→Q3→Q4

Retrieve the names of people that appear on Andy's mixtape

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FROM ARTIST, APPEARS, ALBUM
WHERE ARTIST.ID=APPEARS.ARTIST_ID
AND APPEARS.ALBUM_ID=ALBUM.ID
AND ALBUM.NAME="Andy's OG Remix"
```
Retrieve the names of people that appear on Andy's mixtape

```sql
SELECT ARTIST.NAME
FROM ARTIST, APPEARS, ALBUM
WHERE ARTIST.ID=APPEARS.ARTIST_ID
AND APPEARS.ALBUM_ID=ALBUM.ID
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```

**Step #1: Decompose into single-variable queries**

**Step #2: Substitute the values from Q1→Q3→Q4**
Retrieve the names of people that appear on Andy's mixtape

```sql
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FROM ARTIST, APPEARS, ALBUM
WHERE ARTIST.ID=APPEARS.ARTIST_ID
AND APPEARS.ALBUM_ID=ALBUM.ID
AND ALBUM.NAME="Andy's OG Remix"
```

**Step #1: Decompose into single-variable queries**

**Step #2: Substitute the values from Q1→Q3→Q4**
HEURISTIC-BASED OPTIMIZATION

Advantages:
→ Easy to implement and debug.
→ Works reasonably well and is fast for simple queries.

Disadvantages:
→ Relies on magic constants that predict the efficacy of a planning decision.
→ Nearly impossible to generate good plans when operators have complex inter-dependencies.
HEURISTICS + COST-BASED JOIN 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

Example: System R, early IBM DB2, most open-source DBMSs
SYSTEM R OPTIMIZER

Break query up into blocks and generate the 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” tree that minimizes the estimated amount of work to execute the plan.
Retrieve the names of people that appear on Andy’s mixtape ordered by their artist id.

```sql
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
Retrieve the names of people that appear on Andy’s mixtape ordered by their artist id.

```
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

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

- ARTIST ▫️ APPEARS ▫️ ALBUM
- APPEARS ▫️ ALBUM ▫️ ARTIST
- ALBUM ▫️ APPEARS ▫️ ARTIST
- APPEARS ▫️ ARTIST ▫️ ALBUM
- ARTIST ▫️ ALBUM ▫️ APPEARS
- ALBUM ▫️ ARTIST ▫️ APPEARS
- ⋮    ⋮    ⋮
SYSTEM R OPTIMIZER

Retrieve the names of people that appear on Andy’s mixtape ordered by their artist id.

```
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

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

**Step #3:** Determine the join ordering with the lowest cost
SYSTEM R OPTIMIZER

ARTIST APPEARS ALBUM

ARTIST APPEARS ALBUM

ALBUM APPEARS ARTIST

• • •
**SYSTEM R OPTIMIZER**

**Hash Join**
ARTIST.ID=APPEARS.ARTIST_ID

**SortMerge Join**
ARTIST.ID=APPEARS.ARTIST_ID

**SortMerge Join**
ALBUM.ID=APPEARS.ALBUM_ID

**Hash Join**
ALBUM.ID=APPEARS.ALBUM_ID

• • •
**ARTIST**$
iota$
**APPEARS**$
iota$
**ALBUM**

Hash Join
ARTIST.ID=APPEARS.ARTIST_ID

**ARTIST**$
iota$
**APPEARS**$
iota$
**ALBUM**$
iota$

Hash Join
ALBUM.ID=APPEARS.ALBUM_ID
Hash Join
ARTIST.ID=APPEARS.ARTIST_ID

ARTIST

APPEARS

ALBUM

Hash Join
APPEARS.ALBUM_ID=ALBUM.ID

SortMerge Join
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Hash Join
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Hash Join
ARTIST.ID=APPEARS.ARTIST_ID

ARTIST

APPEARS

ALBUM

Hash Join
APPEARS.ALBUM_ID=ALBUM.ID

ALBUM

APPEARS

ARTIST

Hash Join
ALBUM.ID=APPEARS.ALBUM_ID

SortMerge Join
APPEARS.ARTIST_ID=ARTIST.ID

ARTIST

APPEARS

ALBUM

SYSTEM R OPTIMIZER
The query uses **ORDER BY** on **ARTIST.ID** but the logical plans do not contain any information about sorting.
The query uses `ORDER BY` on `ARTIST_ID` but the logical plans do not contain any information about sorting.
HEURISTICS + COST-BASED JOIN SEARCH

Advantages:
→ Usually finds a reasonable plan without having to perform an exhaustive search.

Disadvantages:
→ All the same problems as the heuristic-only approach.
→ Left-deep join trees are not always optimal.
→ Have to take in consideration the physical properties of data in the cost model (e.g., sort order).
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.

Example: Postgres’ genetic algorithm.
SIMULATED ANNEALING

Start with a query plan that is generated using the heuristic-only approach.

Compute random permutations of operators (e.g., swap the join order of two tables)
→ Always accept a change that reduces cost
→ Only accept a change that increases cost with some probability.
→ Reject any change that violates correctness (e.g., sort ordering)
More complicated queries use a **genetic algorithm** that selects join orderings.

At the beginning of each round, generate different variants of the query plan.

Select the plans that have the lowest cost and permute them with other plans. Repeat. → The mutator function only generates valid plans.
RANDOMIZED ALGORITHMS

Advantages:
→ Jumping around the search space randomly allows the optimizer to get out of local minimums.
→ Low memory overhead (if no history is kept).

Disadvantages:
→ Difficult to determine why the DBMS may have chosen a particular plan.
→ Have to do extra work to ensure that query plans are deterministic.
→ Still have to implement correctness rules.
Writing query transformation rules in a procedural language is hard and error-prone.
→ No easy way to verify that the rules are correct without running a lot of fuzz tests.
→ Generation of physical operators per logical operator is decoupled from deeper semantics about query.

A better approach is to use a declarative DSL to write the transformation rules and then have the optimizer enforce them during planning.
OPTIMIZER GENERATORS

Use a rule engine that allows transformations to modify the query plan operators.
The physical properties of data is embedded with the operators themselves.

Choice #1: Stratified Search
→ Planning is done in multiple stages

Choice #2: Unified Search
→ Perform query planning all at once.
STRATIFIED SEARCH

First rewrite the logical query plan using transformation rules.
→ The engine checks whether the transformation is allowed before it can be applied.
→ Cost is never considered in this step.

Then perform a cost-based search to map the logical plan to a physical plan.
STARBURST OPTIMIZER

Better implementation of the System R optimizer that uses declarative rules.

Stage #1: Query Rewrite
→ Compute a SQL-block-level, relational calculus-like representation of queries.

Stage #2: Plan Optimization
→ Execute a System R-style dynamic programming phase once query rewrite has completed.

Example: Latest version of IBM DB2
STARBURST OPTIMIZER

Advantages:
→ Works well in practice with fast performance.

Disadvantages:
→ Difficult to assign priorities to transformations
→ Some transformations are difficult to assess without computing multiple cost estimations.
→ Rules maintenance is a huge pain.
UNIFIED SEARCH

Unify the notion of both logical→logical and logical→physical transformations.

→ No need for separate stages because everything is transformations.

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

General purpose cost-based query optimizer, based on equivalence rules on algebras.
→ Easily add new operations and equivalence rules.
→ Treats physical properties of data as first-class entities during planning.
→ Top-down approach (backward chaining) using branch-and-bound search.

Example: Academic prototypes
TOP-DOWN VS. BOTTOM-UP

Top-down Optimization
→ Start with the final outcome that you want, and then work down the tree to find the optimal plan that gets you to that goal.
→ Example: Volcano, Cascades

Bottom-up Optimization
→ Start with nothing and then build up the plan to get to the final outcome that you want.
→ Examples: System R, Starburst
Start with a logical plan of what we want the query to be.

ARTIST ⊙ APPEARS ⊙ ALBUM
ORDER-BY(ARTIST.ID)
Start with a logical plan of what we want the query to be.

Invoke rules to create new nodes and traverse tree.

→ Logical → Logical:
  JOIN(A,B) to JOIN(B,A)

→ Logical → Physical:
  JOIN(A,B) to HASH_JOIN(A,B)
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Can create “enforcer” rules that require input to have certain properties.
**VOLCANO OPTIMIZER**

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Can create “enforcer” rules that require input to have certain properties.
The optimizer needs to enumerate all possible transformations without repeating.

Go from logical to physical plan as fast as possible, then try alternative plans.

→ Use a top-down rules engine that performs branch-and-bound pruning.
→ Use memoization to cache equivalent operators.
VOLCANO OPTIMIZER

Advantages:
→ Use declarative rules to generate transformations.
→ Better extensibility with an efficient search engine. Reduce redundant estimations using memoization.

Disadvantages:
→ All equivalence classes are completely expanded to generate all possible logical operators before the optimization search.
→ Not easy to modify predicates.
PARTING THOUGHTS

Query optimization is **hard**.

This is why the NoSQL systems didn’t implement it (at first).
NEXT CLASS

Optimizers! First Blood, Part II

Cascades / Orca / Columbia