

# **Computer Science 460**

## **Introduction to Database Systems**

Boston University, Spring 2026

David G. Sullivan, Ph.D.

Course Overview .....	2
Database Design and ER Models.....	8
The Relational Model .....	23
Relational Algebra.....	34
SQL: A First Look.....	pre-lecture: 49 / in-lecture: 54
SQL: Pattern Matching, Aggregates and Subqueries.....	pre-lecture: 59 / in-lecture: 74
SQL: Subgroups, Joins and Outer Joins .....	pre-lecture: 81 / in-lecture: 93
SQL: Data Types; Other Commands.....	pre-lecture: 104 / in-lecture: 112
SQL: Practice Writing Queries .....	116
Storage Fundamentals; Record Formats .....	125
Index Structures.....	133
Implementing a Logical-to-Physical Mapping .....	149
Semistructured Data and XML.....	160
Transactions and Schedules.....	184
Concurrency Control I: Locking .....	201
Concurrency Control II: Timestamps .....	214
Distributed Databases and Replication.....	229
Processing Distributed Data Using MapReduce .....	247
NoSQL Databases .....	264
Recovery and Logging .....	293
Two-Phase Commit; Course Wrap-up.....	317

# Introduction to Database Systems

## Course Overview

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## Databases and DBMSs

- A *database* is a collection of related data.
  - refers to the data itself, *not* the program
- Managed by some type of *database management system* (DBMS)

## The Conventional Approach

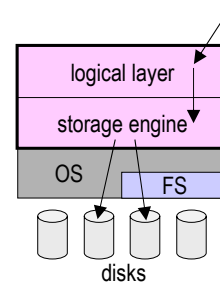
- Use a DBMS that employs the *relational model*
  - use the SQL query language
- Examples: IBM DB2, Oracle, Microsoft SQL Server, MySQL
- Typically follow a client-server model
  - the database server manages the data
  - applications act as clients
- Extremely powerful
  - SQL allows for a wide range of queries
  - support *transactions* and the associated guarantees

## Limitations of the Conventional Approach

- Can be overkill for applications that don't need all the features
- Can be hard / expensive to setup / maintain / tune
- May not provide the necessary functionality
- Footprint may be too large
  - example: can't put a conventional RDBMS on a small embedded system
- May be unnecessarily slow for some tasks
  - overhead of IPC, query processing, etc.
- Does not scale well to large clusters

## What Other Options Are There?

- View a DBMS as being composed of two layers.
- At the bottom is the *storage layer* or *storage engine*.
  - stores and manages the data
- Above that is the *logical layer*.
  - provides an abstract representation of the data
  - based on some data model
  - includes some query language, tool, or API for accessing and modifying the data
- To get other approaches, choose different options for the layers.



## Course Overview

- data models/representations (logical layer), including:
  - entity-relationship (ER): used in database design
  - relational (including SQL)
  - semistructured: XML, JSON
  - noSQL variants
- implementation issues (storage layer), including:
  - storage and index structures
  - transactions
  - concurrency control
  - logging and recovery
  - distributed databases and replication

## Prerequisite

- CS 112
  - data structures
  - proficiency in Java
  - see me if you're not sure

## Labs

- Will help you prepare for and get started on the assignments
- Will also reinforce the key concepts
- **ASAP: Complete Lab 0**
  - short tasks to prepare you for the semester
  - on the course website:  
<https://cs-people.bu.edu/dgs/courses/cs460>

**CS 460**  
Boston University

Home  
Lectures  
Labs  
Problem Sets

Syllabus  
Schedule  
Staff  
Office Hours  
Collaboration

Blackboard  
Plaza  
Gradescope

### Introduction to Database Systems

#### Welcome!

The first lecture of the semester will be held on September 7 in PHO 206. **There are no labs on September 6.**

For more information, contact Dr. Sullivan.

#### Course information

##### Course description

This course covers the fundamental concepts of database systems. Topics include data models (ER, relational, and others); query languages (relational algebra, SQL, and others); implementation techniques of database management systems (index structures, concurrency control, recovery, and query processing); management of semistructured and complex data; distributed and noSQL databases.

##### Prerequisite

CAS CS 112

##### Instructor

David G. Sullivan, Ph.D., Master Lecturer  
(see the staff page for contact information and office hours)

## Course Materials

- **Required:** *The CS 460 Coursepack*
  - use it during pre-lecture and lecture – need to fill in the blanks!
  - PDF version is available on Blackboard
  - recommended: get it printed
    - FedEx Office (Cummington & Comm Ave.)
    - to order, follow the instructions in Lab 0
- **Required** in-class software: Top Hat Pro platform
  - used for pre-lecture quizzes, in-lecture exercises, attendance
  - create your account and purchase a subscription ASAP
- **Optional** textbooks:
  - *Database Systems: The Complete Book* (2<sup>nd</sup> edition) by Garcia-Molina et al.
  - *Database Management Systems* by Ramakrishnan & Gehrke

## Grading

1. Five problem sets (25%)
  - most have 2 parts → 8 due dates
  - can submit up to 24 hours late with a 10% penalty
  - no submissions after 24 hours
2. Exams
  - two midterms (30%) – during lecture; no makeups!
  - final exam (35%)
    - can replace lowest assignment and lowest midterm
    - **see syllabus for date and time**
3. Participation (10%)

***To pass the course, you must have a passing PS average  
and a passing average across the three exams***

## Participation

- Full credit if you:
  - earn 85% of the points for pre-lecture and in-lecture questions
  - make 85% of the lecture-attendance votes
  - attend 85% of the labs
- If you end up with  $x\%$  for a given component where  $x < 85$ , you will get  $x/85$  of the possible points.
- This policy is designed to allow for occasional absences for special circumstances.
- If you need to miss a lecture:
  - watch its recording ASAP (available on Blackboard)
  - keep up with the pre-lecture tasks and the assignments
  - do not email me!

## Course Staff

- Instructor: David Sullivan (dgs@bu.edu)
- Teaching fellow, teaching assistants, and course assistants: see staff page of course website
- Office hours:  
[https://cs-people.bu.edu/dgs/courses/cs460/office\\_hours.shtml](https://cs-people.bu.edu/dgs/courses/cs460/office_hours.shtml)
- For questions: [post on Piazza](#) or [cs460-staff@cs.bu.edu](mailto:cs460-staff@cs.bu.edu)

# Database Design and ER Models

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

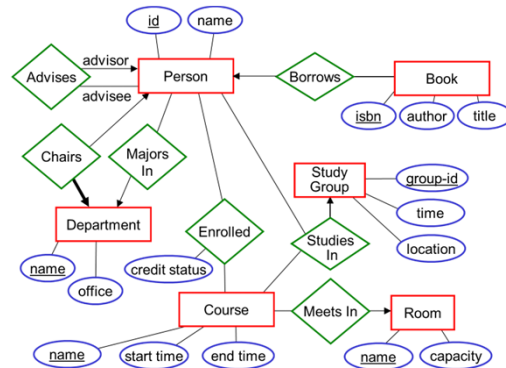
## Database Design

- In database design, we determine:
  - which pieces of data to include
  - how they are related
  - how they should be grouped/decomposed
- End result: a *logical schema* for the database
  - describes the contents and structure of the database



## ER Models

- An *entity-relationship (ER) model* is a tool for database design.
  - graphical
  - implementation-neutral



- ER models specify:
  - the relevant entities ("things") in a given domain
  - the relationships between them

## Sample Domain: A University

- Want to store data about:
  - employees
  - students
  - courses
  - departments
- How many tables do you think we'll need?
  - can be hard to tell before doing the design!
  - in particular, hard to determine which tables are needed to encode *relationships* between data items

## Entities: the "Things"

- Represented using rectangles.

- Examples:

Course

Student

Employee

- Strictly speaking, each rectangle represents an *entity set*, which is a collection of individual entities.

Course

CS 460  
English 101  
CS 105  
...

Student

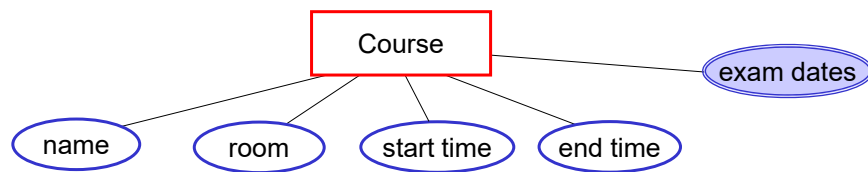
Jill Jones  
Alan Turing  
Jose Delgado  
...

Employee

Robert Brown  
Dave Sullivan  
Margo Seltzer  
...

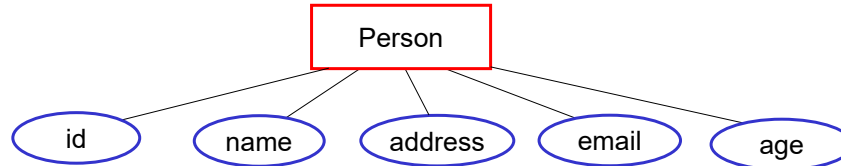
## Attributes

- Associated with entities are *attributes* that describe them.
  - represented as ovals connected to the entity by a line
  - double oval = attribute that can have multiple values



## Keys

- A *key* is an attribute or collection of attributes that can be used to uniquely identify each entity in an entity set.
- An entity set may have more than one possible key.
  - example:



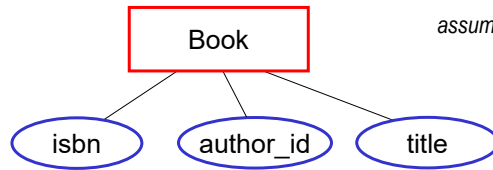
- possible keys include:

## Candidate Key

- A *candidate key* is a *minimal* collection of attributes that is a key.
  - minimal = no unnecessary attributes are included
    - *not* the same as *minimum*
- Example: assume (name, address, age) is a key for Person
  - it is a *minimal* key because we lose uniqueness if we remove any of the three attributes:
    - (name, address) may not be unique
      - e.g., a father and son with the same name and address
    - (name, age) may not be unique
    - (address, age) may not be unique
- Example: (id, email) is a key for Person
  - it is *not* minimal, because just one of these attributes is sufficient for uniqueness
  - therefore, it is *not* a candidate key

## Key vs. Candidate Key

- Consider an entity set for books:



*assume that: each book has a unique isbn  
an author doesn't write two books  
with the same title*

key?

candidate key?

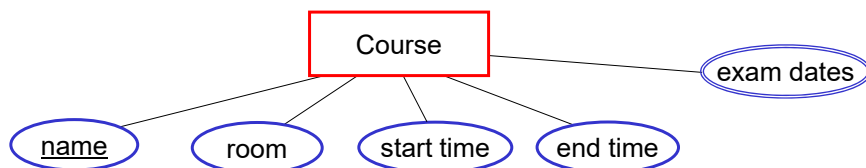
isbn

author\_id, title

author\_id, isbn

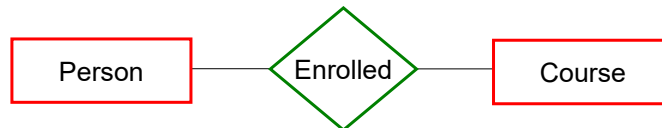
## Primary Key

- We typically choose one of the candidate keys as the *primary key*.
- In an ER diagram, we underline the primary key attribute(s).

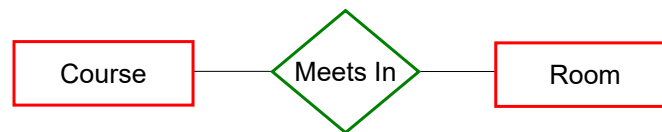


## Relationships Between Entities

- Relationships between entities are represented using diamonds that are connected to the relevant entity sets.
- For example: students are enrolled in courses

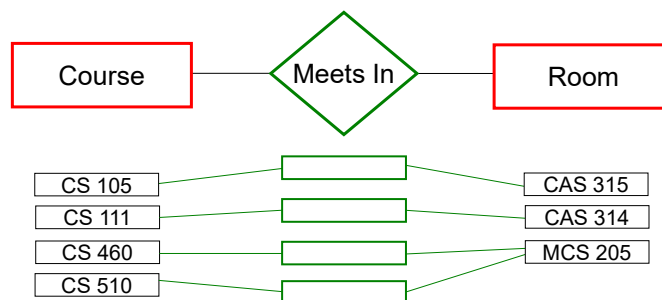


- Another example: courses meet in rooms



## Relationships Between Entities (cont.)

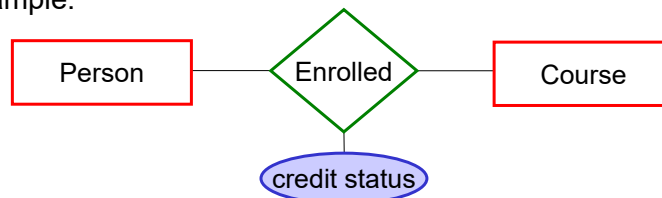
- Strictly speaking, each diamond represents a *relationship set*, which is a collection of relationships between individual entities.



- In a given set of relationships:
  - an individual entity may appear 0, 1, or multiple times
  - a given *combination* of entities may appear at most once
    - example: the combination (CS 105, CAS 315) may appear at most once

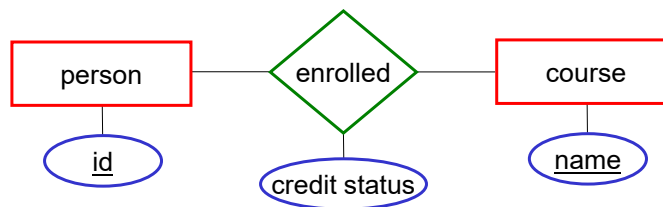
## Attributes of Relationships

- A relationship set can also have attributes.
  - they specify info. associated with the relationships in the set
- Example:



## Key of a Relationship Set

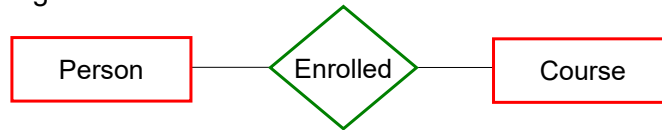
- A key of a relationship set can be formed by taking the union of the primary keys of its participating entities.
  - example: (person.id, course.name) is a key of enrolled



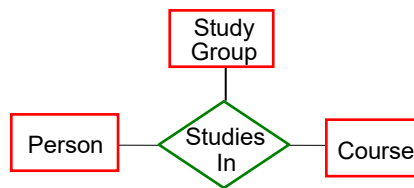
- The resulting key may or may not be a primary key.  
Why?

## Degree of a Relationship Set

- Enrolled is a *binary* relationship set: it connects two entity sets.
  - degree = 2

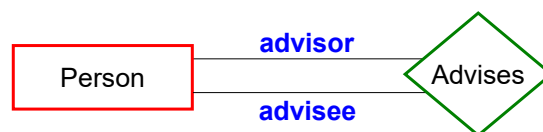


- It's also possible to have higher-degree relationship sets.
- A *ternary* relationship set connects three entity sets.
  - degree = 3



## Relationships with Role Indicators

- It's possible for a relationship set to involve more than one entity from the same entity set.
- For example: every student has a faculty advisor, where students and faculty members are both members of the Person entity set.



- In such cases, we use *role indicators* (labels on the lines) to distinguish the roles of the entities in the relationship.

## Cardinality (or Key) Constraints

- A *cardinality constraint* (or *key constraint*) limits the number of times that a given entity can appear in a relationship set.
- Example: each course meets in at most one room



- A key constraint specifies a functional mapping from one entity set to another.
  - each course is mapped to at most one room (course  $\rightarrow$  room)
  - as a result, each course appears in at most one relationship in the *meets in* relationship set
- The arrow in the ER diagram has same direction as the mapping.
  - note: the R&G book uses a different convention for the arrows

## Cardinality Constraints (cont.)

- The presence or absence of cardinality constraints divides relationships into three types:
  - many-to-one
  - one-to-one
  - many-to-many
- We'll limit ourselves to cardinality constraints on *binary* relationship sets.
- We'll now look at each type of relationship.



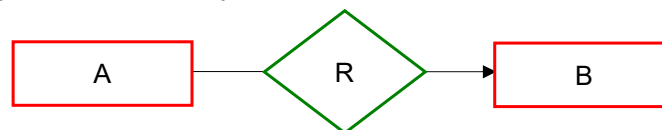
## Many-to-One Relationships



- Meets In is an example of a *many-to-one* relationship.
- We need to specify a *direction* for this type of relationship.
  - example: Meets In is many-to-one from Course to Room
- Each course participates in *at most one* Meets In relationship.
  - could be 0 (if the course doesn't have a room)
  - could be 1
  - cannot be more than 1
- Each room can participate in an arbitrary number (0, 1, 2, ...) of Meets In relationships.

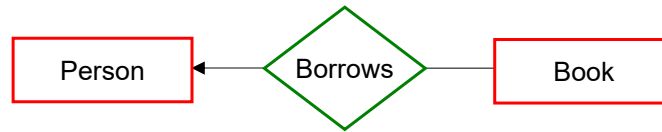
## Many-to-One Relationships (cont.)

- In general, in a many-to-one relationship from A to B:



- an entity in A can be related to *at most one* entity in B
- an entity in B can be related to an arbitrary number of entities in A (0 or more)

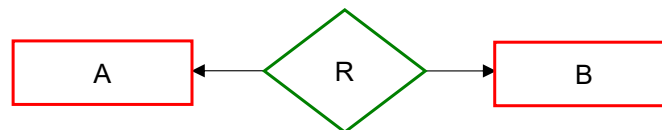
### Another Example of a Many-to-One Relationship



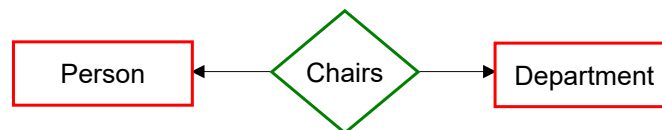
- The diagram above says that:
  - a given book can be borrowed by at most one person
  - a given person can borrow an arbitrary number of books
- Borrows is a many-to-one relationship from Book to Person.

### One-to-One Relationships

- In a *one-to-one relationship* involving A and B: **[not from A to B]**
  - an entity in A can be related to *at most one* entity in B
  - an entity in B can be related to *at most one* entity in A
- We indicate a one-to-one relationship by putting an arrow on both sides of the relationship:

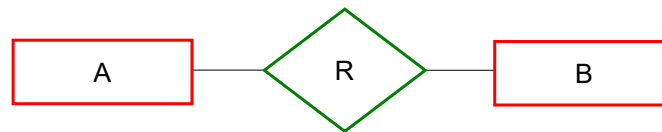


- Example: each department has at most one chairperson, and each person chairs at most one department.

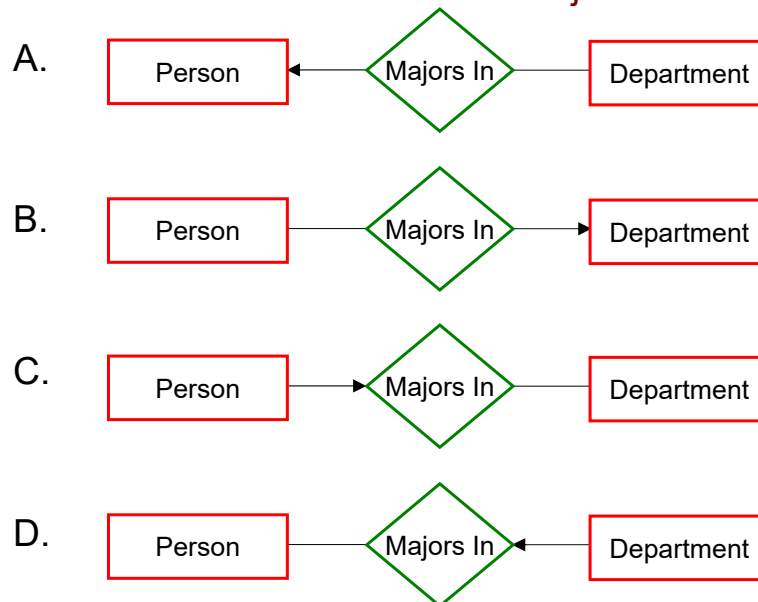


## Many-to-Many Relationships

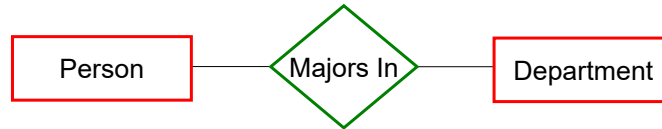
- In a *many-to-many relationship* involving A and B:
  - an entity in A can be related to an arbitrary number of entities in B (0 or more)
  - an entity in B can be related to an arbitrary number of entities in A (0 or more)
- If a relationship has no cardinality constraints specified (i.e., if there are no arrows on the connecting lines), it is assumed to be many-to-many.



How can we indicate that each student has at most one major?



What type of relationship is *Majors In*?



- A. many-to-many
- B. many-to-one from Person to Department
- C. many-to-one from Department to Person
- D. one-to-one

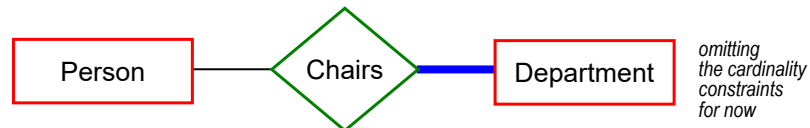
What if each student can have more than one major?



- *Majors In* is what type of relationship in this case?

## Participation Constraints

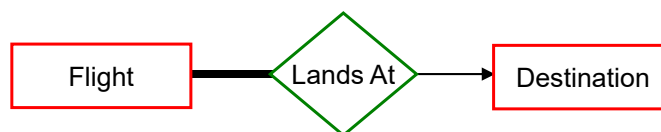
- Cardinality constraints allow us to specify that each entity will appear *at most* once in a given relationship set.
- Participation constraints allow us to specify that each entity will appear *at least* once (i.e., 1 or more time).
  - indicate using a thick line (or double line)
- Example: each department must have at least one chairperson.



- We say Department has *total participation* in Chairs.
  - by contrast, Person has *partial participation*

## Participation Constraints (cont.)

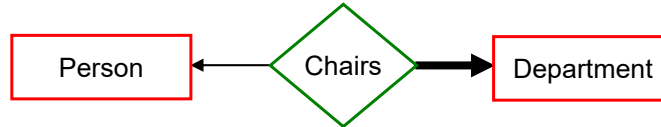
- We can combine cardinality and participation constraints:



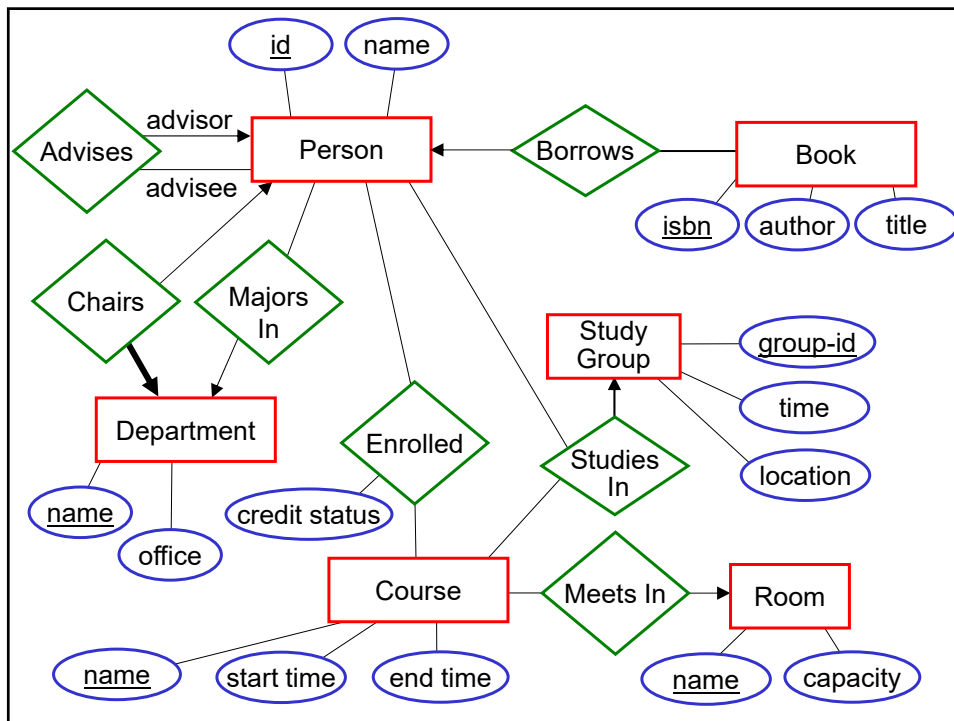
- each flight lands at *exactly one* destination
  - thick line from Flight to Lands At specifies at least one
  - arrow into Destination specifies at most one
  - at least one + at most one = exactly one

## Participation Constraints (cont.)

- Here's another example of cardinality + participation:



- a person chairs at most one department
  - specified by which arrow?
- a department has \_\_\_\_\_ person as a chair
  - arrow into Person specifies at most one
  - thick line from Dept to Chairs specifies at least one
  - at most one + at least one = exactly one



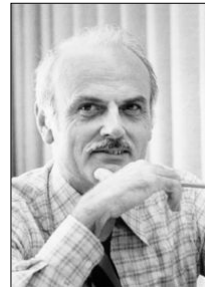
# The Relational Model

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## The Relational Model: A Brief History

- Defined in a landmark 1970 paper by Edgar 'Ted' Codd.
- Earlier data models were closely tied to the physical representation of the data.
- The relational model was revolutionary because it provided *data independence* – separating the *logical* model of the data from its underlying *physical* representation.
- Allows users to access the data *without* understanding how it is stored on disk.



## The Relational Model: Basic Concepts

- A *database* consists of a collection of *tables*.
- Example of a table:

<i>id</i>	<i>name</i>	<i>address</i>	<i>class</i>	<i>dob</i>
12345678	Jill Jones	Canaday C-54	2011	3/10/85
25252525	Alan Turing	Lowell House F-51	2008	2/7/88
33566891	Audrey Chu	Pfoho, Moors 212	2009	10/2/86
45678900	Jose Delgado	Eliot E-21	2009	7/13/88
66666666	Count Dracula	The Dungeon	2007	11/1431
...	...	...	...	...

- Each *row* in a table holds data that describes either:
  - an *entity*
  - a *relationship* between two or more entities
- Each *column* in a table represents one attribute of an entity.
  - each column has a *domain* of possible values

## Relational Model: Terminology

- Two sets of terminology:
  - table = relation
  - row = tuple
  - column = attribute
- We'll use both sets of terms.



## Requirements of a Relation

- Each column must have a unique name.
- The values in a column must be of the same type (i.e., must come from the same domain).
  - integers, real numbers, dates, strings, etc.
- Each cell must contain a single value.
  - example: we *can't* do something like this:

<i>id</i>	<i>name</i>	...	<i>phones</i>
12345678	Jill Jones	...	123-456-5678, 234-666-7890
25252525	Alan Turing	...	777-777-7777, 111-111-1111
...	...	...	...

- No two rows can be identical.
  - identical rows are known as *duplicates*

## Null Values

- By default, the domains of most columns include a special value called *null*.
- Null values can be used to indicate that:
  - the value of an attribute is unknown for a particular tuple
  - the attribute doesn't apply to a particular tuple. example:

*Student*

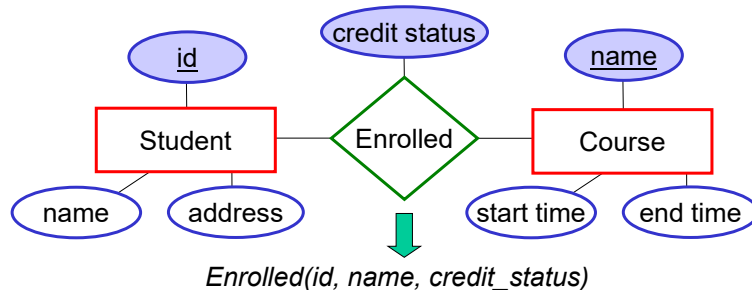
<i>id</i>	<i>name</i>	...	<i>major</i>
12345678	Jill Jones	...	computer science
25252525	Alan Turing	...	mathematics
33333333	Dan Dabbler	...	<i>null</i>

## Relational Schema

- The *schema* of a relation consists of:
  - the name of the relation
  - the names of its attributes
  - the attributes' domains (although we'll ignore them for now)
- Example:  
*Student(id, name, address, email, phone)*
- The schema of a relational database consists of the schema of all of the relations in the database.

## ER Diagram to Relational Database Schema

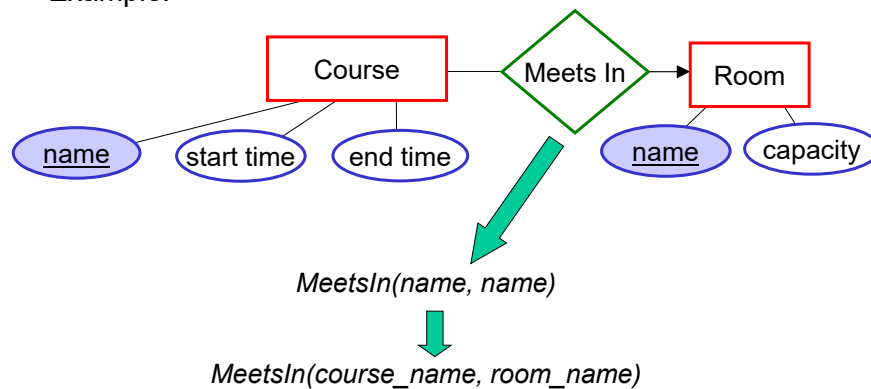
- Basic process:
  - entity set → a relation with the same attributes
  - relationship set → a relation whose attributes are:
    - the primary keys of the connected entity sets
    - the attributes of the relationship set
- Example of converting a relationship set:



- in addition, we would create a relation for each entity set

## Renaming Attributes

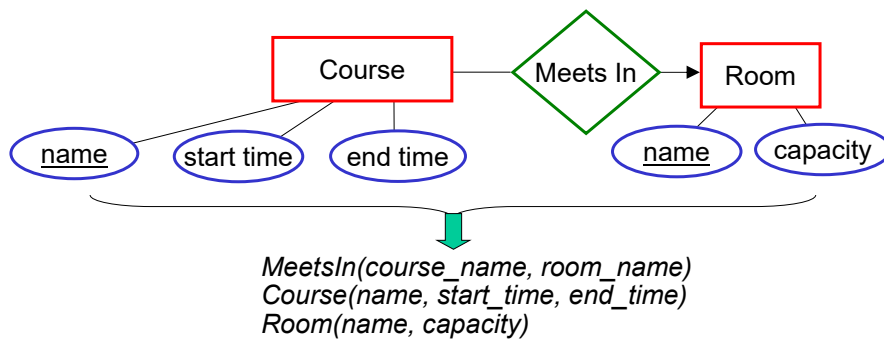
- When converting a relationship set to a relation, there may be multiple attributes with the same name.
  - need to rename them
- Example:



- We may also choose to rename attributes for the sake of clarity.

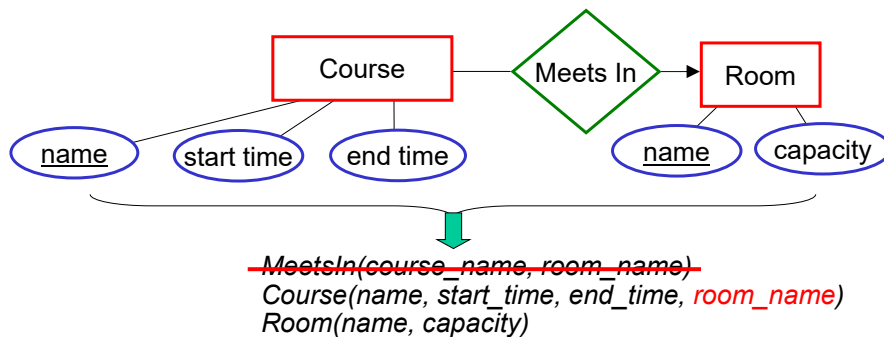
## Recall: ER Diagram to Relational Database Schema

- Ordinarily, a binary relationship set will produce three relations:
  - one for the relationship set
  - one for each of the connected entity sets
- Example:



## Special Case: Many-to-One Relationship Sets

- However, if a relationship set is many-to-one, we often:
  - eliminate the relation for the relationship set
  - capture the relationship set in the relation used for the entity set on the *many* side of the relationship



## Special Case: Many-to-One Relationship Sets (cont.)

- Advantages of this approach:
  - makes some types of queries more efficient to execute
  - uses less space

Course		MeetsIn	
name	...	course_name	room_name
cscie50b		cscie50b	Sci Ctr B
cscie119		cscie119	Sever 213
cscie160		cscie160	Sci Ctr A
cscie268		cscie268	Sci Ctr A

Course		
name	...	room_name
cscie50b		Sci Ctr B
cscie119		Sever 213
cscie160		Sci Ctr A
cscie268		Sci Ctr A

### Special Case: Many-to-One Relationship Sets (cont.)

- If one or more entities don't participate in the relationship, there will be null attributes for the fields that capture the relationship:

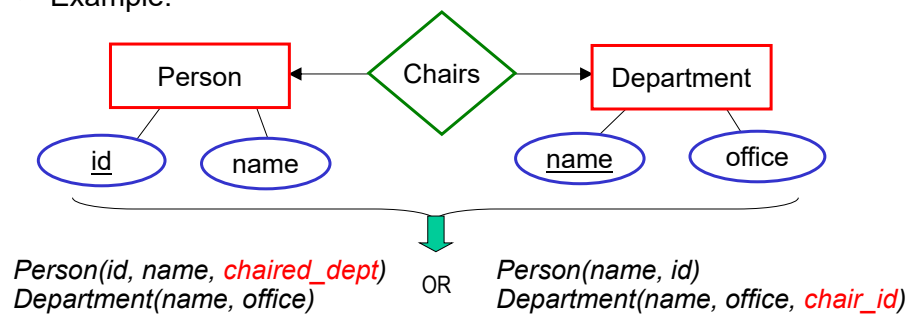
Course

<u>name</u>	...	<u>room_name</u>
cscie50b		Sci Ctr B
cscie119		Sever 213
cscie160		Sci Ctr A
cscie268		Sci Ctr A
cscie160		NULL

- If a large number of entities don't participate in the relationship, it may be better to use a separate relation.

### Special Case: One-to-One Relationship Sets

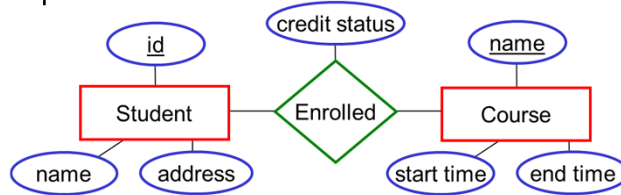
- Here again, we're able to have only two relations – one for each of the entity sets.
- In this case, we can capture the relationship set in the relation used for *either of the entity sets*.
- Example:



- which of these would probably make more sense?

## Many-to-Many Relationship Sets

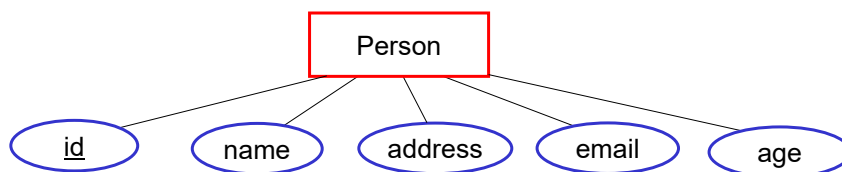
- For many-to-many relationship sets, we need to use a *separate relation* for the relationship set.
- example:



- can't capture the relationships in the *Student* table
  - a given student can be enrolled in multiple courses
- can't capture the relationships in the *Course* table
  - a given course can have multiple students enrolled in it
- need to use a separate table:  
*Enrolled(student\_id, course\_name, credit\_status)*

## Recall: Primary Key

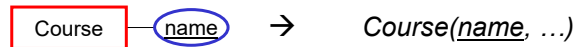
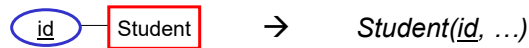
- We typically choose one of the candidate keys as the *primary key*.
- In an ER diagram, we underline the primary key attribute(s).



- In the relational model, we also designate a primary key by underlining it.  
*Person(id, name, address, ...)*
- A relational DBMS will ensure that no two rows have the same value / combination of values for the primary key.
  - known as a *uniqueness constraint*

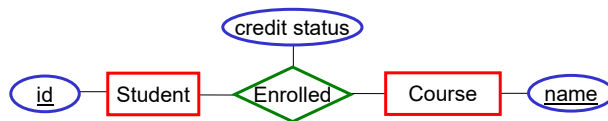
## Primary Keys of Relations for Entity Sets

- When translating an *entity set* to a relation, the relation gets the same primary key as the entity set.



## Primary Keys of Relations for Relationship Sets

- When translating a relationship set to a relation, the primary key depends on the cardinality constraints.
- For a *many-to-many* relationship set, we take the union of the primary keys of the connected entity sets.



→ Enrolled(student id, course name, credit\_status)

- doing so prevents a given *combination* of entities from appearing more than once in the relation
- it still allows a single entity (e.g., a single student or course) to appear multiple times, as part of different combinations

## Primary Keys of Relations for Relationship Sets (cont.)

- For a *many-to-one* relationship set, if we decide to use a separate relation for it, what should that relation's primary key include?

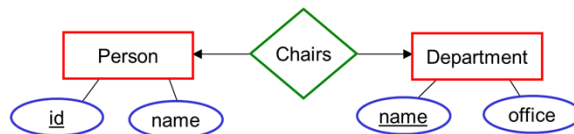


→ *Borrows*(*person\_id*, *isbn*)

- limiting the primary key enforces the cardinality constraint
  - in this example, the DBMS will ensure that a given book is borrowed by at most once person
- how else could we capture this relationship set?

## Primary Keys of Relations for Relationship Sets (cont.)

- For a *one-to-one* relationship set, what should the primary key of the resulting relation be?



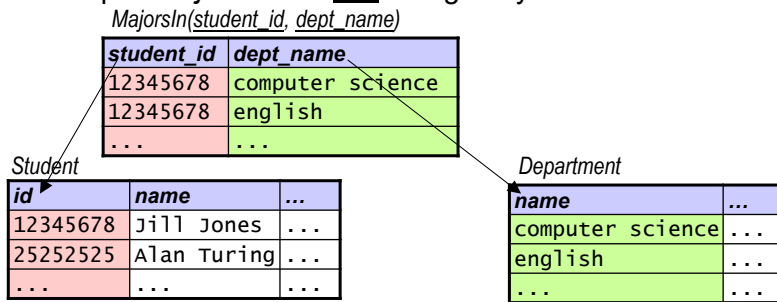
→ *Chairs*(*person\_id*, *department\_name*)



## Foreign Keys

- A *foreign key* is attribute(s) in one relation that take on values from the primary-key attribute(s) of another relation.

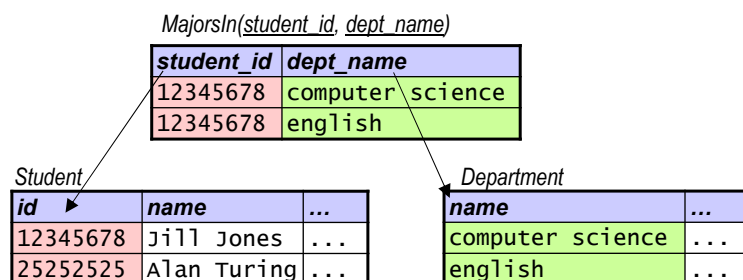
- example: *MajorsIn* has two foreign keys



- We use foreign keys to capture relationships between entities.
- All values of a foreign key must match the referenced attribute(s) of some tuple in the other relation.
  - known as a *referential integrity* constraint

## Enforcing Constraints

- Example: assume that the tables below show *all* of their tuples.



- Which of the following operations would the DBMS allow?
  - adding (12345678, 'John Smith', ...) to *Student*
  - adding (33333333, 'Howdy Doody', ...) to *Student*
  - adding (12345678, 'physics') to *MajorsIn*
  - adding (25252525, 'english') to *MajorsIn*

## Relational Algebra

Computer Science 460  
Boston University

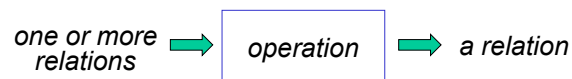
David G. Sullivan, Ph.D.

### Example Domain: a University

- Four relations that store info. about a type of entity:  
*Student*(id, name)  
*Department*(name, office)  
*Room*(id, name, capacity)  
*Course*(name, start\_time, end\_time, room\_id)
- Two relations that capture relationships between entities:  
*MajorsIn*(student\_id, dept\_name)  
*Enrolled*(student\_id, course\_name, credit\_status)
- What do *student\_id*, *dept\_name*, and *course\_name* have in common?

## Relational Algebra

- The query language proposed by Codd.
  - a collection of operations on relations
- Each operation:
  - takes one or more relations
  - produces a relation



- Relations are treated as sets.
  - all duplicate tuples are removed from an operation's result

## Selection

- **What it does:** selects tuples from a relation that match a predicate
  - predicate = condition
- **Syntax:**  $\sigma_{\text{predicate}}(\text{relation})$
- **Example:** Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	cscie50b	undergrad
25252525	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
45678900	cscie119	graduate

$\sigma_{\text{credit\_status} = \text{'graduate'}}(\text{Enrolled}) =$

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
45678900	cscie268	graduate
45678900	cscie119	graduate

- Predicates may include:  $>$ ,  $<$ ,  $=$ ,  $\neq$ , etc., as well as *and*, *or*, *not*

## Projection

- **What it does:** extracts attributes from a relation
- **Syntax:**  $\pi_{\text{attributes}}(\text{relation})$
- **Example:** Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	cscie50b	undergrad
25252525	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
45678900	cscie119	graduate

$\pi_{\text{student\_id, credit\_status}}(\text{Enrolled}) =$

<i>student_id</i>	<i>credit_status</i>
12345678	undergrad
25252525	undergrad
45678900	graduate
33566891	non-credit
45678900	graduate

duplicates, so we  
keep only one

<i>student_id</i>	<i>credit_status</i>
12345678	undergrad
25252525	undergrad
45678900	graduate
33566891	non-credit

## Combining Operations

- Since each operation produces a relation, we can combine them.
- **Example:** Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	cscie50b	undergrad
25252525	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
45678900	cscie119	graduate

$\pi_{\text{student\_id, credit\_status}}(\sigma_{\text{credit\_status} = \text{'graduate'}}(\text{Enrolled})) =$

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
45678900	cscie268	graduate
45678900	cscie119	graduate

<i>student_id</i>	<i>credit_status</i>
45678900	graduate
45678900	graduate

<i>student_id</i>	<i>credit_status</i>
45678900	graduate

How many rows are in the result of this query?

MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

$\pi_{\text{student\_id}} (\sigma_{\text{dept\_name} \neq \text{'comp sci'}}(\text{MajorsIn}))$

## Assignment

- **What it does:** assigns the result of an operation to a temporary variable, or to an existing relation
- **Syntax:** relation  $\leftarrow$  rel. alg. expression
- **Our use:** to break a long query into steps

- example:

$\pi_{\text{student\_id}, \text{credit\_status}} (\sigma_{\text{credit\_status} = \text{'graduate'}}(\text{Enrolled}))$

- alternative, two-step version using assignment:

$\text{Grads} \leftarrow \sigma_{\text{credit\_status} = \text{'graduate'}}(\text{Enrolled})$

$\pi_{\text{student\_id}, \text{credit\_status}}(\text{Grads})$

## Mathematical Foundations: Cartesian Product

- Let:  $A$  be the set of values  $\{a_1, a_2, \dots\}$   
 $B$  be the set of values  $\{b_1, b_2, \dots\}$
- The *Cartesian product* of  $A$  and  $B$  (written  $A \times B$ ) is the set of all possible ordered pairs  $(a_i, b_j)$ , where  $a_i \in A$  and  $b_j \in B$ .
- Example:  
 $A = \{\text{apple, pear, orange}\}$   
 $B = \{\text{cat, dog}\}$   
 $A \times B = \{(\text{apple, cat}), (\text{apple, dog}), (\text{pear, cat}), (\text{pear, dog}), (\text{orange, cat}), (\text{orange, dog})\}$
- Example:  
 $C = \{5, 10\}$   
 $D = \{2, 4\}$   
 $C \times D = ?$

## Mathematical Foundations: Cartesian Product (cont.)

- We can also take the Cartesian product of three or more sets.
- $A \times B \times C$  is the set of all possible ordered triples  $(a_i, b_j, c_k)$ , where  $a_i \in A$ ,  $b_j \in B$ , and  $c_k \in C$ .
  - example:  
 $C = \{5, 10\}$   
 $D = \{2, 4\}$   
 $E = \{\text{'hi'}, \text{'there'}\}$   
 $C \times D \times E = \{(5, 2, \text{'hi'}), (5, 2, \text{'there'}), (5, 4, \text{'hi'}), (5, 4, \text{'there'}), (10, 2, \text{'hi'}), (10, 2, \text{'there'}), (10, 4, \text{'hi'}), (10, 4, \text{'there'})\}$
- $A_1 \times A_2 \times \dots \times A_n$  is the set of all possible ordered *tuples*  $(a_{1i}, a_{2j}, \dots, a_{nk})$ , where  $a_{de} \in A_d$ .

## Cartesian Product in Relational Algebra

- **What it does:** takes two relations,  $R_1$  and  $R_2$ , and forms a new relation containing all possible combinations of tuples from  $R_1$  with tuples from  $R_2$
- **Syntax:**  $R_1 \times R_2$
- **Example:** see following slides
- **Rules:**
  - $R_1$  and  $R_2$  must have different names
  - the resulting relation has a schema that consists of the attributes of  $R_1$  followed by the attributes of  $R_2$   
 $(a_{11}, a_{12}, \dots, a_{1m}) \times (a_{21}, \dots, a_{2n}) \rightarrow (a_{11}, \dots, a_{1m}, a_{21}, \dots, a_{2n})$
  - if there are two attributes with the same name, we prepend the name of the original relation
    - example:  $S(g, h, i) \times T(i, j, g) \rightarrow (S.g, h, S.i, T.i, j, T.g)$

## Cartesian Product in Relational Algebra (cont.)

- **Example:**

S			T			S x T					
g	h	i	i	j	g	S.g	h	S.i	T.i	j	T.g
foo	10	4	4	100	foo	foo	10	4	4	100	foo
foo	10	4	4	300	bop	foo	10	4	4	300	bop
bar	20	5	4	300	bop	foo	10	4	5	400	baz
baz	30	6	5	400	baz	foo	10	4	5	600	bar
baz	30	6	5	600	bar	bar	20	5	4	100	foo
						bar	20	5	4	300	bop
						bar	20	5	5	400	baz
						bar	20	5	5	600	bar
						baz	30	6	4	100	foo
						baz	30	6	4	300	bop
						baz	30	6	5	400	baz
						baz	30	6	5	600	bar

## Natural Join

- **What it does:** performs a "filtered" Cartesian product
  - filters out / removes the tuples in which attributes with the same name have different values
- **Syntax:**  $R_1 \bowtie R_2$
- **Example:**

S			T			S $\bowtie$ T			
g	h	i	i	j	g	g	h	i	j
foo	10	4	4	100	foo	foo	10	4	100
bar	20	5	4	300	bop	bar	20	5	600
baz	30	6	5	400	baz				
			5	600	bar				

## Performing the Natural Join

- **Step 1:** take the full Cartesian product
- **Example:**

S			T			S x T					
g	h	i	i	j	g	S.g	h	S.i	T.i	j	T.g
foo	10	4	4	100	foo	foo	10	4	4	100	foo
bar	20	5	4	300	bop	foo	10	4	4	300	bop
baz	30	6	5	400	baz	foo	10	4	5	400	baz
			5	600	bar	foo	10	4	5	600	bar
					foo	bar	20	5	4	100	foo
					bop	bar	20	5	4	300	bop
					baz	bar	20	5	5	400	baz
					bar	bar	20	5	5	600	bar
					foo	baz	30	6	4	100	foo
					bop	baz	30	6	4	300	bop
					baz	baz	30	6	5	400	baz
					bar	baz	30	6	5	600	bar



## Performing the Natural Join

- **Step 2:** perform a selection in which we filter out tuples in which attributes with the same name have different values
  - if there are no attributes with the same name, skip this step
- **Example:**

S			T			S x T					
<i>g</i>	<i>h</i>	<i>i</i>	<i>i</i>	<i>j</i>	<i>g</i>	<i>S.g</i>	<i>h</i>	<i>S.i</i>	<i>T.i</i>	<i>j</i>	<i>T.g</i>
foo	10	4	4	100	foo	foo	10	4	4	100	foo
bar	20	5	4	300	bop	foo	10	4	5	400	baz
baz	30	6	5	400	baz	foo	10	4	5	600	bar
			5	600	bar	bar	20	5	4	100	foo
						bar	20	5	4	300	bop
						bar	20	5	5	400	baz
						bar	20	5	5	600	bar
						baz	30	6	4	100	foo
						baz	30	6	4	300	bop
						baz	30	6	5	400	baz
						baz	30	6	5	600	bar

## Performing the Natural Join

- **Step 2:** perform a selection in which we filter out tuples in which attributes with the same name have different values
  - if there are no attributes with the same name, skip this step
- **Example:**

S			T			S x T					
<i>g</i>	<i>h</i>	<i>i</i>	<i>i</i>	<i>j</i>	<i>g</i>	<i>S.g</i>	<i>h</i>	<i>S.i</i>	<i>T.i</i>	<i>j</i>	<i>T.g</i>
foo	10	4	4	100	foo	foo	10	4	4	100	foo
bar	20	5	4	300	bop	bar	20	5	5	600	bar
baz	30	6	5	400	baz						
			5	600	bar						

## Performing the Natural Join

- **Step 3:** perform a projection that keeps only one copy of each duplicated column.
- **Example:**

S			T								
<i>g</i>	<i>h</i>	<i>i</i>	<i>i</i>	<i>j</i>	<i>g</i>	<i>S.g</i>	<i>h</i>	<i>S.i</i>	<i>T.i</i>	<i>j</i>	<i>T.g</i>
foo	10	4	4	100	foo	foo	10	4	4	100	foo
bar	20	5	4	300	bop	bar	20	5	5	600	bar
baz	30	6	5	400	baz						
			5	600	bar						

↓

<i>g</i>	<i>h</i>	<i>i</i>	<i>j</i>
foo	10	4	100
bar	20	5	600

## Performing the Natural Join

- **Final result:** a table with all combinations of "matching" rows from the original tables.
- **Example:**

S			T			S ⋈ T			
<i>g</i>	<i>h</i>	<i>i</i>	<i>i</i>	<i>j</i>	<i>g</i>	<i>g</i>	<i>h</i>	<i>i</i>	<i>j</i>
foo	10	4	4	100	foo	foo	10	4	100
bar	20	5	4	300	bop	bar	20	5	600
baz	30	6	5	400	baz				
			5	600	bar				

How many rows and how many columns  
are in  $\text{Enrolled} \bowtie \text{MajorsIn}$ ?

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
33566891	comp sci
98765432	english
66666666	the occult

### Natural Join: Summing Up

- The natural join is equivalent to the following:
  - Cartesian product, then selection, then projection
- The resulting relation's schema consists of the attributes of  $R_1 \times R_2$ , but with common attributes included only once
$$(a, b, c) \times (a, d, c, f) \rightarrow (a, b, c, d, f)$$
- If there are no common attributes,  $R_1 \bowtie R_2 = R_1 \times R_2$

## Condition Joins (aka Theta Joins)

- **What it does:** performs a "filtered" Cartesian product according to a specified predicate
- **Syntax:**  $R_1 \bowtie_{\theta} R_2$ , where  $\theta$  is a predicate
- **Fundamental-operation equivalent:** cross, **select using  $\theta$**   
 $M \bowtie_{(d > c)} N = ?$
- **Example:**

M

a	b	c
foo	10	4
bar	20	5
baz	30	6

N

d	e
3	100
4	300
5	400
6	600

a	b	c	d	e
foo	10	4	3	100
foo	10	4	4	300
foo	10	4	5	400
foo	10	4	6	600
bar	20	5	3	100
bar	20	5	4	300
bar	20	5	5	400
bar	20	5	6	600
baz	30	6	3	100
baz	30	6	4	300
baz	30	6	5	400
baz	30	6	6	600

## Condition Joins (aka Theta Joins)

- **What it does:** performs a "filtered" Cartesian product according to a specified predicate
- **Syntax:**  $R_1 \bowtie_{\theta} R_2$ , where  $\theta$  is a predicate
- **Fundamental-operation equivalent:** cross, select using  $\theta$
- **Example:**

M

a	b	c
foo	10	4
bar	20	5
baz	30	6

N

d	e
3	100
4	300
5	400
6	600

$M \bowtie_{(d > c)} N$

a	b	c	d	e
foo	10	4	5	400
foo	10	4	6	600
bar	20	5	6	600

Which of these queries finds the names of all courses taken by comp sci majors?

Enrolled

student_id	course_name	credit_status
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
33566891	comp sci
98765432	english
66666666	the occult

If there is more than one correct answer, select all answers that apply.

- A.  $\pi_{\text{course\_name}}(\sigma_{\text{dept\_name} = \text{'comp sci'}}(\text{Enrolled} \times \text{MajorsIn}))$
- B.  $\pi_{\text{course\_name}}(\sigma_{\text{dept\_name} = \text{'comp sci'}}(\text{Enrolled} \bowtie \text{MajorsIn}))$
- C.  $\pi_{\text{course\_name}}(\text{Enrolled} \bowtie_{\text{dept\_name} = \text{'comp sci'}} \text{MajorsIn}))$
- D.  $\pi_{\text{course\_name}}(\text{Enrolled} \bowtie (\sigma_{\text{dept\_name} = \text{'comp sci'}}(\text{MajorsIn})))$

## Joins and Unmatched Tuples

- Let's say we want to know the majors of all enrolled students – **including those with no major**. We begin by trying natural join:

Enrolled

student_id	course_name	credit_status
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
33566891	comp sci
98765432	english
66666666	the occult

Enrolled  $\bowtie$  MajorsIn

student_id	course_name	credit_status	dept_name
12345678	cscie50b	undergrad	comp sci
45678900	cscie160	undergrad	mathematics
45678900	cscie268	graduate	mathematics
33566891	cscie119	non-credit	comp sci

- Why isn't this sufficient?

## Outer Joins

- Outer joins allow us to include unmatched tuples in the result.
- Left outer join** ( $R_1 \bowtie R_2$ ): in addition to the natural-join tuples, include an extra tuple for each tuple from  $R_1$  with no match in  $R_2$ 
  - in the extra tuples, give the  $R_2$  attributes values of null

Enrolled

student_id	course_name	credit_status
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
33566891	comp sci
98765432	english
66666666	the occult

Enrolled  $\bowtie$  MajorsIn

student_id	course_name	credit_status	dept_name
12345678	cscie50b	undergrad	comp sci
45678900	cscie160	undergrad	mathematics
45678900	cscie268	graduate	mathematics
33566891	cscie119	non-credit	comp sci
25252525	cscie119	graduate	null

## Outer Joins (cont.)

- Right outer join** ( $R_1 \bowtie R_2$ ): include an extra tuple for each tuple from  $R_2$  with no match in  $R_1$

Enrolled

student_id	course_name	credit_status
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
33566891	comp sci
98765432	english
66666666	the occult

Enrolled  $\bowtie$  MajorsIn

student_id	course_name	credit_status	dept_name
12345678	cscie50b	undergrad	comp sci
45678900	cscie160	undergrad	mathematics
45678900	cscie268	graduate	mathematics
33566891	cscie119	non-credit	comp sci
98765432	null	null	english
66666666	null	null	the occult

## Outer Joins (cont.)

- **Full outer join** ( $R_1 \bowtie R_2$ ): include an extra tuple for each tuple from either relation with no match in the other relation

Enrolled  $\bowtie$  MajorsIn

student_id	course_name	credit_status	dept_name
12345678	cscie50b	undergrad	comp sci
45678900	cscie160	undergrad	mathematics
45678900	cscie268	graduate	mathematics
33566891	cscie119	non-credit	comp sci
25252525	cscie119	graduate	null
98765432	null	null	english
66666666	null	null	the occult

- Outer joins can include a subscript if the join condition isn't based on columns with the same name.
  - example: left outer join of Course and Room tables

Course  $\bowtie_{\text{room\_id} = \text{id}}$  Room

## Set Difference

- **What it does:** selects tuples that are in one relation but not in another.
- **Syntax:**  $R_1 - R_2$
- **Rules:**
  - the relations must have the same number of attributes, and corresponding attributes must have the same domain
  - the resulting relation inherits its attribute names from the first relation
  - duplicates are eliminated, since relational algebra treats relations as sets

## Set Difference (cont.)

- Example:

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
33566891	comp sci
98765432	english
66666666	the occult

Enrolled

student_id	course_name	credit_status
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

$$\pi_{\text{student\_id}}(\text{MajorsIn}) - \pi_{\text{student\_id}}(\text{Enrolled})$$

student_id	—	student_id	=	student_id
12345678		12345678		
45678900		45678900		
33566891		45678900		98765432
98765432		33566891		66666666
66666666		25252525		

## Set Difference (cont.)

- Example of where set difference is required:

Of the students enrolled in courses, which ones are not enrolled in any courses for graduate credit?

student_id	course_name	credit_status
12345678	cscie50b	undergrad
45678900	cscie160	undergrad
45678900	cscie268	graduate
33566891	cscie119	non-credit
25252525	cscie119	graduate

- The following query does *not* work. Why?

$$\pi_{\text{student\_id}}(\sigma_{\text{credit\_status} \neq \text{'graduate'}}(\text{Enrolled}))$$

- This query *does* work:

$$\pi_{\text{student\_id}}(\text{Enrolled}) - \pi_{\text{student\_id}}(\sigma_{\text{credit\_status} = \text{'graduate'}}(\text{Enrolled}))$$



Pre-Lecture  
The SQL Query Language:  
Simple SELECT Commands

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

Course

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

Department

<i>name</i>	<i>office</i>
comp sci	MCS 140
mathematics	MCS 140
the occult	The Dungeon
english	235 Bay State Road

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

## SELECT (from a single table)

- Sample query:  
SELECT student\_id  
FROM Enrolled  
WHERE credit\_status = 'grad';

- Basic syntax:  
SELECT *column1, column2, ...*  
FROM *table*  
WHERE *selection condition*;

### Important notes:

- *Non-numeric column values are surrounded by single quotes.*
- *Table/column names and SQL keywords are not surrounded by quotes.*

- the FROM clause specifies which table you are using
- the WHERE clause specifies which rows should be included in the result
- the SELECT clause specifies which columns should be included

## SELECT (from a single table) (cont.)

- Example:  
SELECT student\_id  
FROM Enrolled  
WHERE credit\_status = 'grad';

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



WHERE credit\_status = 'grad';

student_id	course_name	credit_status
45678900	CS 460	grad
45678900	CS 510	grad

SELECT  
student\_id



student_id
45678900
45678900

## Selecting Entire Columns

- If there's no WHERE clause, the result will consist of one or more entire columns. No rows will be excluded.

```
SELECT student_id  
FROM Enrolled;
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

```
SELECT  
student_id
```



student_id
12345678
25252525
45678900
33566891
45678900

## Selecting Entire Rows

- If we want the result to include entire rows (i.e., all of the columns), we use a \* in the SELECT clause:

```
SELECT *  
FROM Enrolled  
WHERE credit_status = 'grad';
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



WHERE credit\_status = 'grad';

student_id	course_name	credit_status
45678900	CS 460	grad
45678900	CS 510	grad

## The WHERE Clause

```
SELECT column1, column2, ...  
FROM table  
WHERE selection condition;
```

- The selection condition must be an expression that evaluates to either true or false.
  - example: `credit_status = 'grad'`
  - can include any column from the table(s) in the FROM clause
- The results of the SELECT command will include only those tuples for which the selection condition evaluates to true.

## Simple Comparisons

- The simplest selection condition is a comparison that uses one of the following *comparison operators*:

<u>operator</u>	<u>name</u>
<	less than
>	greater than
<=	less than or equal to
>=	greater than or equal to
=	equal to
!=	not equal to

## Practice

- Write a query that finds the names and capacities of all rooms that hold at least 70 people.

SELECT  
FROM  
WHERE

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30



id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
5000	CAS 314	80



name	capacity
CAS Tsai	500
CAS BigRoom	100
EDU Lecture Hall	100
CAS 314	80

## Extra Practice: How could we get all attributes of the movies whose year is 2010?

Movie

id	name	year	rating	runtime
2488496	Star Wars: The Force Awakens	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0120338	Titanic	1997	PG-13	194
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95
0240772	Ocean's Eleven	2001	PG-13	116
...				

- A. SELECT all  
FROM Movie  
WHERE year = 2010;
- B. SELECT year = 2010  
FROM Movie;
- C. FROM Movie  
SELECT year = 2010;
- D. SELECT \*  
FROM Movie  
WHERE year = 2010;

# SQL: A First Look

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## Recall: SELECT (from a single table)

- Sample query:  
`SELECT student_id  
FROM Enrolled  
WHERE credit_status = 'grad';`

- Basic syntax:  
`SELECT column1, column2, ...  
FROM table  
WHERE selection condition;`

### **Important notes:**

- Non-numeric column values are surrounded by single quotes.
- Table/column names and SQL keywords are not surrounded by quotes.

- the FROM clause specifies which table you are using
- the WHERE clause specifies which rows should be included in the result
- the SELECT clause specifies which columns should be included

## How could we get all info about movies released in 2010?

Movie

id	name	year	rating	runtime
2488496	Star Wars: The Force Awakens	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0120338	Titanic	1997	PG-13	194
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95
0240772	Ocean's Eleven	2001	PG-13	116
...				

- A. `SELECT all`  
`FROM Movie`  
`WHERE year = 2010;`
- B. `SELECT year = 2010`  
`FROM Movie;`
- C. `FROM Movie`  
`SELECT year = 2010;`
- D. `SELECT *`  
`FROM Movie`  
`WHERE year = 2010;`

## SELECT and Relational Algebra

- SELECT commands implement most rel-alg operations
- **Basic syntax:**  
`SELECT a1, a2, ...`  
`FROM R1, R2, ...`  
`WHERE selection predicate;`
- **Relational-algebra equivalent:** cross, select, project
  - 1) take the cartesian product  $R_1 \times R_2 \times \dots$
  - 2) perform a selection that selects tuples from the cross product that satisfy the predicate in the WHERE clause
  - 3) perform a projection of attributes  $a_1, a_2, \dots$  from the tuples selected in step 2, *leaving duplicates alone by default*

(These steps tell us what tuples will appear in the resulting relation, but the command may be executed differently for the sake of efficiency.)
- **Note:** the SELECT clause by itself specifies a projection!  
The WHERE clause specifies a selection.

## Example Query

- Given these relations:  
*Student(id, name)*  
*Enrolled(student\_id, course\_name, credit\_status)*  
*MajorsIn(student\_id, dept\_name)*  
 we want find the major of the student Alan Turing.

- Here's a query that will give us the answer:

```
SELECT dept_name
FROM Student, MajorsIn
WHERE name = 'Alan Turing'
AND id = student_id;
```

```
SELECT dept_name
FROM Student, MajorsIn
WHERE name = 'Alan Turing' AND id = student_id;
```

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student x MajorsIn

<i>id</i>	<i>name</i>	<i>student_id</i>	<i>dept_name</i>
12345678	Jill Jones	12345678	comp sci
12345678	Jill Jones	45678900	mathematics
12345678	Jill Jones	25252525	comp sci
12345678	Jill Jones	45678900	english
12345678	Jill Jones	66666666	the occult
25252525	Alan Turing	12345678	comp sci
25252525	Alan Turing	45678900	mathematics
25252525	Alan Turing	25252525	comp sci
25252525	Alan Turing	45678900	english
...	...	...	...



```
SELECT dept_name
FROM Student, MajorsIn
WHERE name = 'Alan Turing' AND id = student_id;
```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student x MajorsIn

id	name	student_id	dept_name
12345678	Jill Jones	12345678	comp sci
12345678	Jill Jones	45678900	mathematics
12345678	Jill Jones	25252525	comp sci
12345678	Jill Jones	45678900	english
12345678	Jill Jones	66666666	the occult
25252525	Alan Turing	12345678	comp sci
25252525	Alan Turing	45678900	mathematics
25252525	Alan Turing	25252525	comp sci
25252525	Alan Turing	45678900	english
...	...	...	...

```
SELECT dept_name
FROM Student, MajorsIn
WHERE name = 'Alan Turing' AND id = student_id;
```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

After selecting only combinations that satisfy the WHERE clause:

id	name	student_id	dept_name
25252525	Alan Turing	25252525	comp sci

After extracting the attribute specified in the SELECT clause:

dept_name
comp sci

## Join Conditions

- Here's the query from the previous problem:

```
SELECT dept_name
FROM Student, MajorsIn
WHERE name = 'Alan Turing'
AND id = student_id;
```
- $id = student\_id$  is a *join condition* – a condition that is used to match up "related" tuples from the two tables.
  - it selects the tuples in the Cartesian product that "make sense"
  - for  $N$  tables, you typically need  $N - 1$  join conditions**

Student		MajorsIn	
<i>id</i>	<i>name</i>	<i>student_id</i>	<i>dept_name</i>
12345678	Jill Jones	12345678	comp sci
25252525	Alan Turing	45678900	mathematics
33566891	Audrey Chu	25252525	comp sci
45678900	Jose Delgado	45678900	english
66666666	Count Dracula	66666666	the occult

Pre-Lecture  
SQL: Pattern Matching,  
Comparisons Involving NULL

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

Our simple university database...

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

Course

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
CS 999	19:30:00	21:30:00	NULL

Department

<i>name</i>	<i>office</i>
comp sci	MCS 140
mathematics	MCS 140
the occult	The Dungeon
english	235 Bay State Road

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

## Pattern Matching

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

- Let's say we want the names and capacities of all rooms in CAS.
  - the names begin with 'CAS'
  - need to find courses with names matching this pattern

- This won't work:

```
SELECT name, capacity
FROM Room
WHERE name = 'CAS';
```

- This will:

```
SELECT name, capacity
FROM Room
WHERE name LIKE 'CAS%';
```

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

## The LIKE Operator and Wildcards

- Use LIKE whenever we need to match a pattern.
- Form the pattern using one of more *wildcard characters*:
  - % stands for 0 or more arbitrary characters
  - \_ stands for a single arbitrary character

## More Examples of Pattern Matching

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

```
SELECT name
FROM Student
WHERE name LIKE '%u%';
```



<i>name</i>
Alan Turing
Audrey Chu
Count Dracula

```
SELECT name
FROM Student
WHERE name LIKE '_u%';
```



2 underscores

```
SELECT name
FROM Student
WHERE name LIKE '%u';
```



## Comparisons Involving NULL

Course

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
CS 999	19:30:00	21:30:00	NULL

- a room\_id of NULL indicates the course is only offered online
- How could we find all of the online-only courses?
- This query produces no results!
 

```
SELECT name
FROM Course
WHERE room_id = NULL;
```

## Comparisons Involving NULL

- Because NULL is a special value, any comparison involving NULL that uses the standard operators is always false.
- The following will *a/ways* be false:
  - `room_id = NULL`
  - `room_id != NULL`
  - `NULL = NULL`
- SQL provides special operators:
  - `IS NULL`
  - `IS NOT NULL`
- This query will find the online-only courses:

```
SELECT name
FROM Course
WHERE room_id IS NULL;
```

## Pre-Lecture SQL: Removing Duplicates; Aggregate Functions

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Removing Duplicates

- By default, the relation produced by a SELECT command may include duplicate tuples.
  - example: find the IDs of all students enrolled in a course

```
SELECT student_id  
FROM Enrolled;
```

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



<i>student_id</i>
12345678
25252525
<b>45678900</b>
33566891
<b>45678900</b>

## Removing Duplicates (cont.)

- To eliminate duplicates, add the keyword **DISTINCT**:

```
SELECT DISTINCT student_id  
FROM Enrolled;
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



student_id
12345678
25252525
<b>45678900</b>
33566891

- More generally:

```
SELECT DISTINCT column1, column2, ...
```

## Aggregate Functions

- The **SELECT** clause can include an *aggregate function*.
  - performs a computation on a set of values
- Example: find the average capacity of rooms in CAS:

```
SELECT AVG(capacity)  
FROM Room  
WHERE name LIKE 'CAS%';
```

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

AVG



<b>AVG(capacity)</b>
154.0



## Aggregate Functions (cont.)

- Other aggregate functions include:
  - SUM, MAX, MIN, and COUNT

```
SELECT SUM(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

SUM



## Aggregate Functions (cont.)

- Other aggregate functions include:
  - SUM, MAX, MIN, and COUNT

```
SELECT MAX(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

MAX



## Aggregate Functions (cont.)

- Other aggregate functions include:
  - SUM, MAX, MIN, and COUNT

```
SELECT MIN(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

MIN ↓

## Aggregate Functions (cont.)

- Other aggregate functions include:
  - SUM, MAX, MIN, and COUNT

```
SELECT COUNT(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

COUNT ↓

## Aggregates and DISTINCT

- example: find the number of students enrolled for courses:  

```
SELECT COUNT(student_id)
FROM Enrolled;
```

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

## Aggregates and DISTINCT

- example: find the number of students enrolled for courses:  

```
SELECT COUNT(student_id)
FROM Enrolled;
```

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



<i>COUNT(student)</i>
5

## Aggregates and DISTINCT

- example: find the number of students enrolled for courses:  

```
SELECT COUNT(student_id)
FROM Enrolled;
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



COUNT(student)
5

## Aggregates and DISTINCT

- example: find the number of students enrolled for courses:  

```
SELECT COUNT(DISTINCT student_id)
FROM Enrolled;
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



## COUNT(\*) vs. COUNT(attribute)

- SELECT COUNT(\*) counts the number of tuples in a result.
- example: find the total number of courses

```
SELECT COUNT(*)  
FROM Course;
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
CS 999	19:30:00	21:30:00	NULL



COUNT(*)
5

## COUNT(\*) vs. COUNT(attribute)

- SELECT COUNT(\*) counts the number of tuples in a result.
- example: find the total number of courses

```
SELECT COUNT(*)  
FROM Course;
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
CS 999	19:30:00	21:30:00	NULL



COUNT(*)
5

- SELECT COUNT(attribute) counts the number of non-NULL values of that attribute in a result.

- example: find the number of courses that meet in a room

```
SELECT COUNT(room_id)  
FROM Course;
```



COUNT(room_id)
4

## Pre-Lecture Subqueries in SQL

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Recall: Aggregate Functions

- What is the largest capacity of any room in the CAS building?

```
SELECT MAX(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

MAX



<i>MAX(capacity)</i>
500

## A Restriction on Aggregate Functions

- What if we also wanted the *name* of the max-capacity room?

```
SELECT name, MAX(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

This does *not* work  
in standard SQL!

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

WHERE



id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
4000	CAS 315	40
5000	CAS 314	80
6000	CAS 226	50

SELECT name



name
CAS Tsai
CAS BigRoom
CAS 315
CAS 314
CAS 226

MAX



MAX(capacity)
500

**error!**

## A Restriction on Aggregate Functions (cont.)

- What if we also wanted the *name* of the max-capacity room?

```
SELECT name, MAX(capacity)
FROM Room
WHERE name LIKE 'CAS%';
```

This does *not* work  
in standard SQL!

- In general, a SELECT clause *cannot* combine:
  - an aggregate function
  - a column name that is on its own  
(and is not being operated on by an aggregate function)
- We'll see an important exception to this soon.

## Subqueries

- A *subquery* allows us to use the result of one query in the evaluation of another query.

- We can use a subquery to solve the previous problem:

```
SELECT name, capacity
FROM Room
WHERE name LIKE 'CAS%'
      AND capacity = (SELECT MAX(capacity)
                      FROM Room
                      WHERE name LIKE 'CAS%');
```

*the subquery*



```
SELECT name, capacity
FROM Room
WHERE name LIKE 'CAS%'
      AND capacity = 500;
```



<i>name</i>	<i>capacity</i>
CAS Tsai	500

## Note Carefully!

```
SELECT name, capacity
FROM Room
WHERE name LIKE 'CAS%'
      AND capacity = (SELECT MAX(capacity)
                      FROM Room
                      WHERE name LIKE 'CAS%');
```

*the subquery*

- if we remove the condition from the subquery, might not get the largest capacity in CAS
- if we remove the condition from the outer query, might also get ...



## Subqueries and Set Membership

- Subqueries can be used to test for *set membership* in conjunction with the **IN** and **NOT IN** operators.
  - example: find all students who are not enrolled in CS 105

```
SELECT name
FROM Student
WHERE id NOT IN (SELECT student_id
                  FROM Enrolled
                  WHERE course_name = 'CS 105');
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

subquery ↓

student_id
12345678
33566891



Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula



## SQL: Pattern Matching, Aggregates, and Subqueries

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Recall: The LIKE Operator and Wildcards

- Use LIKE whenever we need to match a pattern.
- Form the pattern using one of more *wildcard characters*:
  - % stands for 0 or more arbitrary characters
  - \_ stands for a single arbitrary character

## How could we use pattern matching to get info. about movies rated PG or PG-13?

Movie

id	name	year	rating	runtime
2488496	Star Wars: The Force Awakens	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0120338	Titanic	1997	PG-13	194
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95
0240772	Ocean's Eleven	2001	PG-13	116
...				

Assume the ratings shown here are the only ratings in the table.

- A. 

```
SELECT *
FROM Movie
WHERE rating LIKE 'PG%';
```
- B. 

```
SELECT *
FROM Movie
WHERE rating LIKE 'PG_';
```
- C. 

```
SELECT *
FROM Movie
WHERE rating LIKE '_G%';
```

## What about these patterns for finding PG and PG-13?

Movie

id	name	year	rating	runtime
2488496	Star Wars: The Force Awakens	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0120338	Titanic	1997	PG-13	194
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95
0240772	Ocean's Eleven	2001	PG-13	116
...				

Assume the ratings shown here are the only ratings in the table.

```
SELECT *
FROM Movie
WHERE rating LIKE '%G%';

SELECT *
FROM Movie
WHERE rating LIKE 'PG';

SELECT *
FROM Movie
WHERE rating = 'PG-13';
```

## Recall: Comparisons Involving NULL

- Because NULL is a special value, any comparison involving NULL that uses the standard operators is *always* false.
- For example, all of the following will always be false:

```
room = NULL          NULL != 10
room != NULL         NULL = NULL
```

- This is useful for cases like the following:

- assume that we add a country column to Student
- use NULL for students whose country is unknown
- to get all students from a foreign country:

<i>id</i>	<i>name</i>	<i>country</i>
12345678	Jill Jones	USA
25252525	Alan Turing	UK
33566891	Audrey Chu	China
45678900	Jose Delgado	USA
66666666	Count Dracula	NULL

```
SELECT name
FROM Student
WHERE country != 'USA';  // won't include NULLs
```

## Recall: Comparisons Involving NULL (cont.)

- To test for the presence or absence of a NULL value, use special operators:

```
IS NULL
IS NOT NULL
```

- Example: find students whose country is unknown

```
SELECT name
FROM Student
WHERE country IS NULL;
```

## Recall: Removing Duplicates

- By default, a SELECT command *may* produce duplicates
- To eliminate them, add the DISTINCT keyword:  
`SELECT DISTINCT column1, column2, ...`

## How could we determine how many people have won Best Actor?

Oscar

movie_id	person_id	type	year
1663202	0000138	BEST-ACTOR	2016
3170832	0488953	BEST-ACTRESS	2016
3682448	0753314	BEST-SUPPORTING-ACTOR	2016
0810819	2539953	BEST-SUPPORTING-ACTRESS	2016
1663202	0327944	BEST-DIRECTOR	2016
1895587	NULL	BEST-PICTURE	2016
...			

- A. `SELECT COUNT(person_id)`  
`FROM Oscar`  
`WHERE type = 'BEST-ACTOR';`
- B. `SELECT TOTAL(person_id)`  
`FROM Oscar`  
`WHERE type = 'BEST-ACTOR';`
- C. `SELECT COUNT(*)`  
`FROM Oscar`  
`WHERE type = 'BEST-ACTOR';`
- D. two or more of the queries at left would work
- E. none of the queries at left would work

## What about this?

Oscar

<i>movie_id</i>	<i>person_id</i>	<i>type</i>	<i>year</i>
1663202	0000138	BEST-ACTOR	2016
3170832	0488953	BEST-ACTRESS	2016
3682448	0753314	BEST-SUPPORTING-ACTOR	2016
0810819	2539953	BEST-SUPPORTING-ACTRESS	2016
1663202	0327944	BEST-DIRECTOR	2016
1895587	NULL	BEST-PICTURE	2016
...			

```
SELECT COUNT(DISTINCT *)
FROM Oscar
WHERE type = 'BEST-ACTOR';
```

## COUNT(\*) vs. COUNT(attribute)

- SELECT COUNT(\*) counts the number of tuples in a result.
  - example: find the total number of courses

```
SELECT COUNT(*)
FROM Course;
```

Course

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL



COUNT(*)
6

- SELECT COUNT(attribute) counts the number of non-NULL values of that attribute in a result.
  - example: find the number of courses that meet in a room

```
SELECT COUNT(room_id)
FROM Course;
```



COUNT(room_id)
5

How could we find the shortest  
PG-13 movie in the database?

Movie

<i>id</i>	<i>name</i>	<i>year</i>	<i>rating</i>	<i>runtime</i>
2488496	Star Wars: The Force Awakens	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95
0118998	Dr. Dolittle	1998	PG-13	85
...				

- A. `SELECT name, MIN(runtime)`  
`FROM Movie`  
`WHERE rating = 'PG-13';`
- B. `SELECT name, runtime`  
`FROM Movie`  
`WHERE runtime = (SELECT MIN(runtime) FROM Movie`  
`WHERE rating = 'PG-13');`
- C. `SELECT name, runtime`  
`FROM Movie`  
`WHERE rating = 'PG-13'`  
`AND runtime = (SELECT MIN(runtime) FROM Movie`  
`WHERE rating = 'PG-13');`
- D. two of these would work
- E. all three would work

## A Restriction on Aggregate Functions

```
SELECT name, MIN(runtime)
FROM Movie
WHERE rating = 'PG-13';
```

This does *not* work  
in standard SQL!

Movie

id	name	year	rating	runtime
2488496	Star Wars...	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95
0118998	Dr. Dolittle	1998	PG-13	85
...				



id	name	year	rating	runtime
2488496	Star Wars...	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0118998	Dr. Dolittle	1998	PG-13	85
...				

SELECT name

name
Star Wars...
Iron Man 2
Dr. Dolittle
...

MIN

MIN(runtime)
85

don't have same  
number of rows;  
**error!**

## A Restriction on Aggregate Functions (cont.)

```
SELECT name, MIN(runtime)
FROM Movie
WHERE rating = 'PG-13';
```

This does *not* work  
in standard SQL!

- In general, a SELECT clause *cannot* combine:
  - an aggregate function
  - a column name that is on its own  
(and is not being operated on by an aggregate function)
- We'll see an important exception to this soon.
- Warning:** SQLite lets you violate this rule, but...
  - doing so is *not* standard SQL
  - you should **not** do this in your work for this class!



## Pre-Lecture Queries Involving Subgroups (GROUP BY and HAVING)

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Applying an Aggregate Function to Subgroups

- A GROUP BY clause allows us to:
  - group together tuples that have a common value
  - apply an aggregate function to the tuples in each subgroup

- Example: find the enrollment of each course:

```
SELECT COUNT(*)  
FROM Enrolled;
```

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
45678900	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
66666666	CS 111	ugrad
25252525	CS 105	grad

## Applying an Aggregate Function to Subgroups

- A GROUP BY clause allows us to:
  - group together tuples that have a common value
  - apply an aggregate function to the tuples in each subgroup
- Example: find the enrollment of each course:

```
SELECT course_name, COUNT(*)  
FROM Enrolled  
GROUP BY course_name;
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
45678900	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
66666666	CS 111	ugrad
25252525	CS 105	grad



course_name	COUNT(*)
CS 105	3
CS 111	2
CS 460	1

## Applying an Aggregate Function to Subgroups

- A GROUP BY clause allows us to:
  - group together tuples that have a common value
  - apply an aggregate function to the tuples in each subgroup

- Example: find the enrollment of each course:

```
SELECT course_name, COUNT(*)  
FROM Enrolled  
GROUP BY course_name;
```

- When you group by an attribute, you can include it in the SELECT clause with an aggregate function.

## Evaluating a query with GROUP BY

```
SELECT course_name, COUNT(*)
FROM Enrolled
GROUP BY course_name;
```

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
45678900	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
66666666	CS 111	ugrad
25252525	CS 105	grad



student_id	course_name	credit_status
12345678	CS 105	ugrad
33566891	CS 105	non-credit
25252525	CS 105	grad
45678900	CS 111	ugrad
66666666	CS 111	ugrad
45678900	CS 460	grad

course_name	COUNT(*)
CS 105	3
CS 111	2
CS 460	1

## GROUP BY + WHERE

```
SELECT course_name, COUNT(*)
FROM Enrolled
WHERE credit_status = 'ugrad'
GROUP BY course_name;
```

student_id	course_name	credit_status
12345678	CS 105	ugrad
45678900	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
66666666	CS 111	ugrad
25252525	CS 105	grad

WHERE ↓

student_id	course_name	credit_status
12345678	CS 105	ugrad
45678900	CS 111	ugrad
66666666	CS 111	ugrad

GROUP BY ↓

student_id	course_name	credit_status
12345678	CS 105	ugrad
45678900	CS 111	ugrad
66666666	CS 111	ugrad

- The WHERE clause is applied *before* the GROUP BY clause.

## Applying a Condition to Subgroups

- What if I only want courses with more than one student?

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
45678900	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
66666666	CS 111	ugrad
25252525	CS 105	grad



course_name	COUNT(*)
CS 105	3
CS 111	2
CS 460	1

HAVING



course_name	COUNT(*)
CS 105	3
CS 111	2

- This won't work:

```
SELECT course, COUNT(*)  
FROM Enrolled  
WHERE COUNT(*) > 1  
GROUP BY course;
```

- WHERE is applied *before* GROUP BY.

- This will:

```
SELECT course, COUNT(*)  
FROM Enrolled  
GROUP BY course  
HAVING COUNT(*) > 1;
```

- HAVING is applied *after* GROUP BY.
  - used for all conditions involving aggregates

## Pre-Lecture SQL: Joins Revisited

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Another Example of Joining Tables

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

- Example: find the names of all students enrolled in CS 105 who are majoring in comp sci.

```
SELECT  
FROM Student, Enrolled, MajorsIn  
WHERE
```

3 tables, so we need

\_\_\_\_\_ join conditions!

## Dealing with Ambiguous Column Names

Student		Enrolled			MajorsIn	
id	name	student_id	course_name	credit_status	student_id	dept_name
12345678	Jill Jones	12345678	CS 105	ugrad	12345678	comp sci
25252525	Alan Turing	25252525	CS 111	ugrad	45678900	mathematics
33566891	Audrey Chu	45678900	CS 460	grad	25252525	comp sci
45678900	Jose Delgado	33566891	CS 105	non-credit	45678900	english
66666666	Count Dracula	45678900	CS 510	grad	66666666	the occult

- Example: find the names of all students enrolled in CS 105 who are majoring in comp sci.

```

SELECT name
FROM Student, Enrolled, MajorsIn
WHERE id = Enrolled.student_id
      AND Enrolled.student_id = MajorsIn.student_id
      AND course_name = 'CS 105'
      AND dept_name = 'comp sci';

```

## Dealing with Ambiguous Column Names

Student		Enrolled			MajorsIn	
id	name	student_id	course_name	credit_status	student_id	dept_name
12345678	Jill Jones	12345678	CS 105	ugrad	12345678	comp sci
25252525	Alan Turing	25252525	CS 111	ugrad	45678900	mathematics
33566891	Audrey Chu	45678900	CS 460	grad	25252525	comp sci
45678900	Jose Delgado	33566891	CS 105	non-credit	45678900	english
66666666	Count Dracula	45678900	CS 510	grad	66666666	the occult

- Example: find the names of all students enrolled in CS 105 who are majoring in comp sci.

```

SELECT Student.name
FROM Student, Enrolled, MajorsIn
WHERE Student.id = Enrolled.student_id
      AND Enrolled.student_id = MajorsIn.student_id
      AND Enrolled.course_name = 'CS 105'
      AND MajorsIn.dept_name = 'comp sci';

```

## Aliases for Table Names

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

- Example: find the names of all students enrolled in CS 105 who are majoring in comp sci.

```
SELECT S.name
FROM Student AS S, Enrolled AS E, MajorsIn AS M
WHERE S.id = E.student_id
      AND E.student_id = M.student_id
      AND E.course_name = 'CS 105'
      AND M.dept_name = 'comp sci';
```

```
SELECT S.name
FROM Student S, Enrolled E, MajorsIn M
WHERE S.id = E.student_id
      AND E.student_id = M.student_id
      AND E.course_name = 'CS 105'
      AND M.dept_name = 'comp sci';
```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student x Enrolled x MajorsIn

id	name	E.student_id	course_name	credit_status	M.student_id	dept_name
12345678	Jill Jones	12345678	CS 105	ugrad	12345678	comp sci
12345678	Jill Jones	12345678	CS 105	ugrad	45678900	mathematics
12345678	Jill Jones	12345678	CS 105	ugrad	25252525	comp sci
12345678	Jill Jones	12345678	CS 105	ugrad	45678900	english
12345678	Jill Jones	12345678	CS 105	ugrad	66666666	the occult

```

SELECT S.name
FROM Student S, Enrolled E, MajorsIn M
WHERE S.id = E.student_id
      AND E.student_id = M.student_id
      AND E.course_name = 'CS 105'
      AND M.dept_name = 'comp sci';

```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student x Enrolled x MajorsIn **125 rows in all!**

id	name	E.student_id	course_name	credit_status	M.student_id	dept_name
12345678	Jill Jones	12345678	CS 105	ugrad	12345678	comp sci
12345678	Jill Jones	12345678	CS 105	ugrad	45678900	mathematics
12345678	Jill Jones	12345678	CS 105	ugrad	25252525	comp sci
12345678	Jill Jones	12345678	CS 105	ugrad	45678900	english
12345678	Jill Jones	12345678	CS 105	ugrad	66666666	the occult
12345678	Jill Jones	25252525	CS 111	ugrad	12345678	comp sci
12345678	Jill Jones	25252525	CS 111	ugrad	45678900	mathematics
12345678	Jill Jones	25252525	CS 111	ugrad	25252525	comp sci
12345678	Jill Jones	25252525	CS 111	ugrad	45678900	english
12345678	Jill Jones	25252525	CS 111	ugrad	66666666	the occult

```

SELECT S.name
FROM Student S, Enrolled E, MajorsIn M
WHERE S.id = E.student_id
      AND E.student_id = M.student_id
      AND E.course_name = 'CS 105'
      AND M.dept_name = 'comp sci';

```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student x Enrolled x MajorsIn, followed by the join conditions...

id	name	E.student_id	course_name	credit_status	M.student_id	dept_name
12345678	Jill Jones	12345678	CS 105	ugrad	12345678	comp sci
25252525	Alan Turing	25252525	CS 111	ugrad	25252525	comp sci
45678900	Jose Delgado	45678900	CS 460	grad	45678900	mathematics
45678900	Jose Delgado	45678900	CS 460	grad	45678900	english
45678900	Jose Delgado	45678900	CS 510	grad	45678900	mathematics
45678900	Jose Delgado	45678900	CS 510	grad	45678900	english



```

SELECT S.name
FROM Student S, Enrolled E, MajorsIn M
WHERE S.id = E.student_id
      AND E.student_id = M.student_id
      AND E.course_name = 'CS 105'
      AND M.dept_name = 'comp sci';

```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student x Enrolled x MajorsIn, followed by the join conditions and the rest of the WHERE clause

id	name	E.student_id	course_name	credit_status	M.student_id	dept_name
12345678	Jill Jones	12345678	CS 105	ugrad	12345678	comp sci

after SELECT

name
Jill Jones

## Pre-Lecture SQL: Outer Joins

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Finding the Room of Each Course

- Need a query that forms (course name, room name) pairs.

Course

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	GCB 204	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

desired result of the query

<i>Course.name</i>	<i>Room.name</i>
CS 105	GCB 204
CS 111	CAS 314
EN 101	CAS Tsai
CS 460	MCS 205
CS 510	MCS 205
PH 101	NULL

- Will this work?

```
SELECT Course.name, Room.name
FROM Course, Room
WHERE room_id = id;
```

```
SELECT Course.name, Room.name
FROM Course, Room
WHERE room_id = id;
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	GCB 204	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

Course x Room 42 rows in all!

Course.name	start_time	end_time	room_id	id	Room.name	capacity
CS 105	13:00:00	14:00:00	4000	1000	CAS Tsai	500
CS 105	13:00:00	14:00:00	4000	2000	CAS BigRoom	100
CS 105	13:00:00	14:00:00	4000	3000	EDU Lecture Hall	100
CS 105	13:00:00	14:00:00	4000	4000	GCB 204	40
CS 105	13:00:00	14:00:00	4000	5000	CAS 314	80
CS 105	13:00:00	14:00:00	4000	6000	CAS 226	50
CS 105	13:00:00	14:00:00	4000	7000	MCS 205	30
CS 111	09:30:00	11:00:00	5000	1000	CAS Tsai	500
CS 111	09:30:00	11:00:00	5000	2000	CAS BigRoom	100
CS 111	09:30:00	11:00:00	5000	3000	EDU Lecture Hall	100
CS 111	09:30:00	11:00:00	5000	4000	GCB 204	40
CS 111	09:30:00	11:00:00	5000	5000	CAS 314	80
...						

```
SELECT Course.name, Room.name
FROM Course, Room
WHERE room_id = id;
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	GCB 204	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

Course x Room, followed by the join condition

Course.name	start_time	end_time	room_id	id	Room.name	capacity
CS 105	13:00:00	14:00:00	4000	4000	GCB 204	40
CS 111	09:30:00	11:00:00	5000	5000	CAS 314	80
EN 101	11:00:00	12:30:00	1000	1000	CAS Tsai	500
CS 460	16:00:00	17:30:00	7000	7000	MCS 205	30
CS 510	12:00:00	13:30:00	7000	7000	MCS 205	30

Course.name	Room.name
CS 105	GCB 204
CS 111	CAS 314
EN 101	CAS Tsai
CS 460	MCS 205
CS 510	MCS 205

- The last row of Course doesn't have a match in Room.
  - it is an "unmatched row"
  - thus it's not in the result of the join
  - to get it, we need an *outer join*

```
SELECT Course.name, Room.name
FROM Course LEFT OUTER JOIN Room ON room_id = id;
```

the "left" table  
(the one to the left of  
LEFT OUTER JOIN)

the "right"  
table

the join condition goes  
in a special ON clause

- A left outer join includes unmatched rows from the left table in the result.

```
SELECT Course.name, Room.name
FROM Course LEFT OUTER JOIN Room ON room_id = id;
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	GCB 204	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

result of the LEFT OUTER JOIN

Course.name	start_time	end_time	room_id	id	Room.name	capacity
CS 105	13:00:00	14:00:00	4000	4000	GCB 204	40
CS 111	09:30:00	11:00:00	5000	5000	CAS 314	80
EN 101	11:00:00	12:30:00	1000	1000	CAS Tsai	500
CS 460	16:00:00	17:30:00	7000	7000	MCS 205	30
CS 510	12:00:00	13:30:00	7000	7000	MCS 205	30
PH 101	14:30:00	16:00:00	NULL	NULL	NULL	NULL

Course.name	Room.name
CS 105	GCB 204
CS 111	CAS 314
EN 101	CAS Tsai
CS 460	MCS 205
CS 510	MCS 205
PH 101	NULL

- A left outer join adds an extra row to its result for any row from the left table that doesn't have a match in the right.
  - uses NULLs for the right-table attributes in the extra rows

## SQL: Queries Involving Subgroups; Joins Revisited; Outer Joins

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Recall: A Restriction on Aggregate Functions

```
SELECT name, MIN(runtime)
FROM Movie
WHERE rating = 'PG-13';
```

This does *not* work  
in standard SQL!

- In general, a SELECT clause *cannot* combine:
  - an aggregate function
  - a column name that is on its own  
(and is not being operated on by an aggregate function)
- We'll see an important exception to this soon.
- **Warning:** SQLite lets you violate this rule, but...
  - doing so is *not* standard SQL
  - you should **not** do this in your work for this class!

## Applying an Aggregate Function to Subgroups

- A GROUP BY clause allows us to:
  - group together tuples that have a common value
  - apply an aggregate function to the tuples in each subgroup
- Example: find the enrollment of each course:

```
SELECT course_name, COUNT(*)  
FROM Enrolled  
GROUP BY course_name;
```
- When you group by an attribute, you can include it in the SELECT clause with an aggregate function.

## What does this query do?

```
SELECT dept_name, COUNT(*)  
FROM MajorsIn  
GROUP BY dept_name;
```

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult
25252525	mathematics

How could we limit this to departments with only 1 student?

```
SELECT dept_name, COUNT(*)
FROM MajorsIn
GROUP BY dept_name;
```

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult
25252525	mathematics



student_id	dept_name	dept_name	COUNT(*)
12345678	comp sci	comp sci	2
25252525	comp sci	mathematics	2
45678900	mathematics	english	1
25252525	mathematics	the occult	1
45678900	english		
66666666	the occult		

How could we limit this to departments with only 1 student?

```
SELECT dept_name, COUNT(*)
FROM MajorsIn
GROUP BY dept_name;
```

- A. 

```
SELECT dept_name, COUNT(*)
FROM MajorsIn
WHERE COUNT(*) = 1
GROUP BY dept_name;
```
- B. 

```
SELECT dept_name, COUNT(*)
FROM MajorsIn
GROUP BY dept_name
WHERE COUNT(*) = 1;
```
- C. 

```
SELECT dept_name, COUNT(*)
FROM MajorsIn
HAVING COUNT(*) = 1
GROUP BY dept_name;
```
- D. 

```
SELECT dept_name, COUNT(*)
FROM MajorsIn
GROUP BY dept_name
HAVING COUNT(*) = 1;
```
- E. more than one of these works

## Sorting the Results

- An **ORDER BY** clause sorts the tuples in the result of the query by one or more attributes.
  - ascending order by default (see below)

- example:

```
SELECT name, capacity
FROM Room
WHERE capacity >= 500
ORDER BY capacity;
```

<i>name</i>	<i>capacity</i>
Sci Ctr B	500
Emerson 105	500
Sanders Theatre	1000

## Sorting the Results (cont.)

- An **ORDER BY** clause sorts the tuples in the result of the query by one or more attributes.
  - ascending order by default, use DESC to get descending
  - attributes after the first one are used to break ties
- example:

```
SELECT name, capacity
FROM Room
WHERE capacity >= 500
ORDER BY capacity DESC, name;
```

order by **capacity in descending order (DESC)**  
-- i.e., from highest to lowest

if two tuples have the  
same capacity, list them  
in ascending order (the default)  
by **name** (i.e., in dictionary order)

<i>name</i>	<i>capacity</i>
Sanders Theatre	1000
Emerson 105	500
Sci Ctr B	500



## Writing Queries: Rules of Thumb

- Start with the FROM clause. Which table(s) do you need?
- If you need more than one table, determine the necessary join conditions.
  - for N tables, you typically need N – 1 join conditions
- Determine if a GROUP BY clause is needed.
  - are you performing computations involving subgroups?
- Determine any other conditions that are needed.
  - if they rely on aggregate functions, put in a HAVING clause
  - otherwise, add to the WHERE clause
  - is a subquery needed?
- Fill in the rest of the query: SELECT, ORDER BY?
  - is DISTINCT needed?

## Which tables do I need? How many join conditions?

- Find the names of all rooms that CS majors have courses in.

SELECT  
FROM  
WHERE

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	GCB 204	40
5000	CAS 314	80
6000	CAS 226	50
7000	MCS 205	30

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Which of these is a *correctly formed* join condition for this problem?

- Find the names of all rooms that CS majors have courses in.

```
SELECT
FROM Course, Room, Enrolled, MajorsIn
WHERE ???
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
...			

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
...		

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
...		

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
...	

- A. room\_id = id                      C. student\_id = student\_id  
 B. course\_name = name            D. two or more are correct

Complete the query...

- Find the names of all rooms that CS majors have courses in.

```
SELECT
FROM Course, Room, Enrolled, MajorsIn
WHERE
```

Course

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
...			

Room

id	name	capacity
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
...		

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
...		

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
...	

## What does this give? How can we get just the movies that won Oscars?

```
SELECT name
FROM Movie, Oscar;
```

Movie

id	name	year	rating	runtime
2488496	Star Wars...	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95

Oscar

movie_id	person_id	type	year
2488496	1111111	BEST-ACTOR	2016
1228705	2222222	BEST-ACTRESS	2011
2488496	NULL	BEST-PICTURE	2016

## Counting Oscars Won by Movies

```
SELECT name, COUNT(*)
FROM Movie, Oscar
WHERE id = movie_id
GROUP BY name;
```

Movie

id	name	year	rating	runtime
2488496	Star Wars...	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95

Oscar

movie_id	person_id	type	year
2488496	1111111	BEST-ACTOR	2016
1228705	2222222	BEST-ACTRESS	2011
2488496	NULL	BEST-PICTURE	2016

Movie x Oscar, followed by join condition, followed by GROUP BY

id	name	Movie. year	rating	runtime	movie_id	person_id	type	Oscar. year
2488496	Star Wars...	2015	PG-13	138	2488496	1111111	BEST-ACTOR	2016
2488496	Star Wars...	2015	PG-13	138	2488496	NULL	BEST-PICTURE	2016
1228705	Iron Man 2	2010	PG-13	124	1228705	2222222	BEST-ACTRESS	2011

after SELECT

name	COUNT(*)
Star Wars...	2
Iron Man 2	1

## What if we wanted a count for each movie?

```
SELECT name, COUNT(*)
FROM Movie, Oscar
WHERE id = movie_id
GROUP BY name;
```

Movie

id	name	year	rating	runtime
2488496	Star Wars...	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95

Oscar

movie_id	person_id	type	year
2488496	1111111	BEST-ACTOR	2016
1228705	2222222	BEST-ACTRESS	2011
2488496	NULL	BEST-PICTURE	2016

Movie x Oscar, followed by join condition, followed by GROUP BY

id	name	Movie. year	rating	runtime	movie_id	person_id	type	Oscar. year
2488496	Star Wars...	2015	PG-13	138	2488496	1111111	BEST-ACTOR	2016
2488496	Star Wars...	2015	PG-13	138	2488496	NULL	BEST-PICTURE	2016
1228705	Iron Man 2	2010	PG-13	124	1228705	2222222	BEST-ACTRESS	2011

after SELECT

name	COUNT(*)
Star Wars...	2
Iron Man 2	1

name	COUNT
Star Wars...	2
Iron Man 2	1
Toy Story 3	0
Despicable Me	0

## Which of these would work?

Movie

id	name	year	rating	runtime
2488496	Star Wars...	2015	PG-13	138
1228705	Iron Man 2	2010	PG-13	124
0435761	Toy Story 3	2010	G	103
1323594	Despicable Me	2010	PG	95

Oscar

movie_id	person_id	type	year
2488496	1111111	BEST-ACTOR	2016
1228705	2222222	BEST-ACTRESS	2011
2488496	NULL	BEST-PICTURE	2016

- A. SELECT name, COUNT(\*)  
FROM Movie, Oscar  
WHERE id = movie\_id  
GROUP BY name;
- B. SELECT name, COUNT(type)  
FROM Movie, Oscar  
WHERE id = movie\_id  
GROUP BY name;
- C. SELECT name, COUNT(type)  
FROM Movie LEFT OUTER JOIN Oscar  
ON id = movie\_id  
GROUP BY name;
- D. SELECT name, COUNT(\*)  
FROM Movie LEFT OUTER JOIN Oscar  
ON id = movie\_id  
GROUP BY name;

name	COUNT
Star Wars...	2
Iron Man 2	1
Toy Story 3	0
Despicable Me	0

## Finding the Majors of Enrolled Students

- We want the IDs and majors of every student who is enrolled in a course – including those with no major.

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

- Desired result:

student_id	dept_name
12345678	comp sci
25252525	comp sci
45678900	mathematics
45678900	english
33566891	null

- Relational algebra:  $\pi_{\text{student\_id, dept\_name}}(\text{Enrolled} \bowtie \text{MajorsIn})$
- SQL: 

```
SELECT DISTINCT Enrolled.student_id, dept_name
FROM Enrolled LEFT OUTER JOIN MajorsIn
ON Enrolled.student_id = MajorsIn.student_id;
```

## Left Outer Joins

```
SELECT DISTINCT Enrolled.student_id, dept_name
FROM Enrolled LEFT OUTER JOIN MajorsIn
ON Enrolled.student_id = MajorsIn.student_id;
```

```
SELECT ...
FROM T1 LEFT OUTER JOIN T2 ON join condition
WHERE ...
```

- The result is equivalent to:
  - forming the Cartesian product  $T1 \times T2$
  - selecting the rows in  $T1 \times T2$  that satisfy the join condition in the ON clause
  - including an extra row for each unmatched row from T1 (the "left table")
  - filling the T2 attributes in the extra rows with nulls
  - applying the other clauses as before

Enrolled. student_id	course_ name	credit_ status	MajorsIn. student_id	dept_name
12345678	CS 105	ugrad	12345678	comp sci
25252525	CS 111	ugrad	25252525	comp sci
45678900	CS 460	grad	45678900	math...
45678900	CS 460	grad	45678900	english
45678900	CS 510	grad	45678900	math...
45678900	CS 510	grad	45678900	english

## Left Outer Joins

```
SELECT DISTINCT Enrolled.student_id, dept_name
FROM Enrolled LEFT OUTER JOIN MajorsIn
ON Enrolled.student_id = MajorsIn.student_id;
```

```
SELECT ...
FROM T1 LEFT OUTER JOIN T2 ON join condition
WHERE ...
```

- The result is equivalent to:
  - forming the Cartesian product T1 x T2
  - selecting the rows in T1 x T2 that satisfy the join condition in the ON clause
  - including an extra row for each unmatched row from T1 (the "left table")
  - filling the T2 attributes in the extra rows with nulls
  - applying the other clauses as before

Enrolled. student_id	course_ name	credit_ status	MajorsIn. student_id	dept_name
12345678	CS 105	ugrad	12345678	comp sci
25252525	CS 111	ugrad	25252525	comp sci
45678900	CS 460	grad	45678900	math...
45678900	CS 460	grad	45678900	english
45678900	CS 510	grad	45678900	math...
45678900	CS 510	grad	45678900	english
33566891	CS 105	non-cr		

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

## Left Outer Joins

```
SELECT DISTINCT Enrolled.student_id, dept_name
FROM Enrolled LEFT OUTER JOIN MajorsIn
ON Enrolled.student_id = MajorsIn.student_id;
```

```
SELECT ...
FROM T1 LEFT OUTER JOIN T2 ON join condition
WHERE ...
```

- The result is equivalent to:
  - forming the Cartesian product T1 x T2
  - selecting the rows in T1 x T2 that satisfy the join condition in the ON clause
  - including an extra row for each unmatched row from T1 (the "left table")
  - filling the T2 attributes in the extra rows with nulls
  - applying the other clauses as before

Enrolled. student_id	course_ name	credit_ status	MajorsIn. student_id	dept_name
12345678	CS 105	ugrad	12345678	comp sci
25252525	CS 111	ugrad	25252525	comp sci
45678900	CS 460	grad	45678900	math...
45678900	CS 460	grad	45678900	english
45678900	CS 510	grad	45678900	math...
45678900	CS 510	grad	45678900	english
33566891	CS 105	non-cr	null	null

Enrolled. student_id	dept_name
12345678	comp sci
25252525	comp sci
45678900	mathematics
45678900	english
33566891	null

## Outer Joins Can Have a WHERE Clause

- Example: find the IDs and majors of all students enrolled in CS 105 (including those with no major):

```
SELECT Enrolled.student_id, dept_name
FROM Enrolled LEFT OUTER JOIN MajorsIn
      ON Enrolled.student_id = MajorsIn.student_id
WHERE course_name = 'CS 105';
```

- to limit the results to students in CS 105, we need a WHERE clause with the appropriate condition
- this new condition should *not* be in the ON clause because it's *not* being used to match up rows from the two tables

## Outer Joins Can Have Extra Tables

- Example: find the **names** and majors of all students enrolled in CS 105 (including those with no major):

```
SELECT Student.name, dept_name
FROM Student, Enrolled LEFT OUTER JOIN MajorsIn
      ON Enrolled.student_id = MajorsIn.student_id
WHERE Student.id = Enrolled.student_id
      AND course_name = 'CS 105';
```

- we need Student in the FROM clause to get the student's names
- the extra table requires an additional join condition, which goes in the WHERE clause

## Pre-Lecture SQL: Data Types; Creating Tables and Inserting Rows

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Data Types

- Recall: The values in a given column must be of the same type (i.e., must come from the same domain).
- Numeric types include:
  - INTEGER
  - REAL: a real number (i.e., one with a decimal)
- Non-numeric types include:
  - DATE (e.g., '2017-02-23')
  - TIME (e.g., '15:30:30')
  - two types for *strings* (i.e., arbitrary sequences of characters)
    - CHAR for fixed-length strings
    - VARCHAR for variable-length strings



### CHAR vs. VARCHAR

- CHAR( $n$ ) is for *fixed-length* strings of exactly  $n$  characters.
- VARCHAR( $n$ ) is for *variable-length* strings of up to  $n$  characters.
  - used for values that can have a wide range of possible lengths
- Example: types for a *Person* table:
  - VARCHAR(64) for the person's name
  - VARCHAR(128) for the street address
  - VARCHAR(32) for the city
  - CHAR(2) for the state abbreviation ('MA', 'NY', etc.)
  - CHAR(5) for the zip code
  - CHAR(8) for the id – since every id has the same # of digits
    - example: '00123456'
    - a numeric type would *not* keep the leading 0s

### CHAR vs. VARCHAR (cont.)

- With both CHAR( $n$ ) and VARCHAR( $n$ ), if the user attempts to specify value with more than  $n$  characters, it is truncated.
  - examples:
- If the user attempts to specify a value of less than  $n$  characters:
  - if the type is CHAR( $n$ ), the system pads with spaces
  - if the type is VARCHAR( $n$ ), the system does *not* pad
  - examples:

<u>type</u>	<u>user-specified value</u>	<u>value stored</u>
CHAR(5)	'123456'	'12345'
VARCHAR(10)	'computer science'	

<u>type</u>	<u>user-specified value</u>	<u>value stored</u>
CHAR(5)	'123'	'123 '
VARCHAR(10)	'math'	

## Creating a New Table

- **Basic syntax:**

```
CREATE TABLE table_name(  
    column1_name column1_type,  
    column2_name column2_type,  
    ...  
);
```

After this command, the table is initially empty!

- **Examples:**

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

```
CREATE TABLE Student(  
    id CHAR(8),  
    name VARCHAR(30)  
);
```

Room

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500
2000	CAS BigRoom	100
3000	EDU Lecture Hall	100
4000	CAS 315	40
...		

## Specifying Primary Keys

- Specify a single-column primary key after the column's type:

```
CREATE TABLE Student(  
    id CHAR(8) PRIMARY KEY,  
    name VARCHAR(30)  
);
```

- If the primary key is a combination of two or more columns, specify it separately:

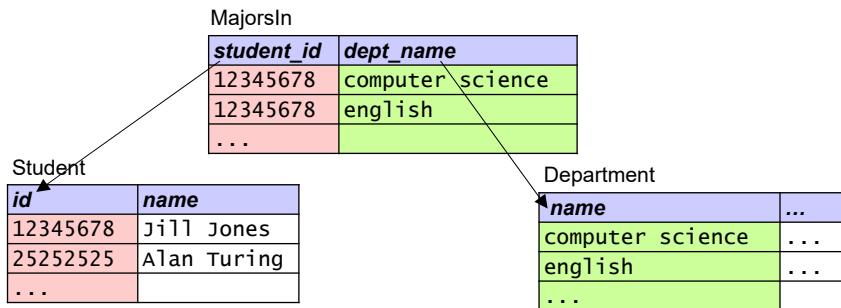
MajorsIn

<i>student_id</i>	<i>dept_name</i>
12345678	computer science
12345678	english
...	

```
CREATE TABLE MajorsIn(  
    student_id CHAR(8), dept_name VARCHAR(30),  
    PRIMARY KEY (student_id, dept_name)  
);
```

## Specifying Foreign Keys

- Need to specify both:
  - the foreign key itself
  - the corresponding primary key in the form `Table(column)`



```
CREATE TABLE MajorsIn(
    student_id CHAR(8), dept_name VARCHAR(30),
    PRIMARY KEY (student, dept),
    FOREIGN KEY (student_id) REFERENCES Student(id),
    FOREIGN KEY
);
```

## Adding a Single Row to an Existing Table

- Syntax:**  
`INSERT INTO table VALUES (val1, val2, ...);`
- Example:**  
`INSERT INTO Room VALUES ('1234', 'MCS 148', 45)`

*id is CHAR(4), so need quotes!*

Room			Room		
<i>id</i>	<i>name</i>	<i>capacity</i>	<i>id</i>	<i>name</i>	<i>capacity</i>
1000	CAS Tsai	500	1000	CAS Tsai	500
2000	CAS BigRoom	100	2000	CAS BigRoom	100
3000	EDU Lecture Hall	100	3000	EDU Lecture Hall	100
4000	CAS 315	40	4000	CAS 315	40
			1234	MCS 148	45

- Notes:**
  - need to specify the values in the appropriate order (based on the order of the columns in `CREATE TABLE`)
  - non-numeric values are surrounded by single quotes
  - the DBMS won't allow you to insert a row if it violates a uniqueness or referential-integrity constraint

## Pre-Lecture SQL: Other Commands

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### DELETE: Removing Existing Rows

- syntax: `DELETE FROM table`  
`WHERE selection condition;`

```
DELETE FROM Student
WHERE id = '45678900';
```

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula



Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
66666666	Count Dracula

```
DELETE FROM Enrolled
WHERE student_id = '45678900';
```

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad



Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
33566891	CS 105	non-credit

## The order of deletions can matter!

```
DELETE FROM Student
WHERE id = '45678900';
```

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula



Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
66666666	Count Dracula

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

## The order of deletions can matter! (cont.)

- Before deleting a row, we must first remove all references to that row from foreign keys in other tables.

Enrolled

student_id	course_name	credit_status
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	grad

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

Student

id	name
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

## UPDATE: Changing Values in Existing Rows

- syntax: `UPDATE table`  
`SET list of changes`  
`WHERE selection condition;`

```
UPDATE MajorsIn
SET dept_name = 'physics'
WHERE student_id = '45678900';
```

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult



MajorsIn

student_id	dept_name
12345678	comp sci
45678900	physics
25252525	comp sci
45678900	physics
66666666	the occult

## UPDATE: Changing Values in Existing Rows

- syntax: `UPDATE table`  
`SET list of changes`  
`WHERE selection condition;`

```
UPDATE MajorsIn
SET dept_name = 'physics'
WHERE student_id = '45678900'
```

`AND _____;`

MajorsIn

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult



MajorsIn


student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	physics
66666666	the occult

## UPDATE: Changing Values in Existing Rows (cont.)

- syntax: `UPDATE table`  
`SET list of changes`  
`WHERE selection condition;`

```
UPDATE Course
SET start_time = '13:25:00', end_time = '14:15:00',
    room_id = '6000'
WHERE name = 'CS 105';
```

name	start_time	end_time	room_id
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL




name	start_time	end_time	room_id
CS 105	13:25:00	14:15:00	6000
CS 111	09:30:00	11:00:00	5000
EN 101	11:00:00	12:30:00	1000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
PH 101	14:30:00	16:00:00	NULL

## DROP TABLE: Removing an Entire Table

- syntax: `DROP TABLE table;`

```
DROP TABLE MajorsIn;
```

student_id	dept_name
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult



no table!

- If a table is referred to by a foreign key in another table, it cannot be dropped until either:
  - the other table is dropped first
  - or
  - the foreign-key constraint is removed from the other table (we won't look at how to do this)

## SQL: Data Types; Other Commands

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Recall: SQL Data Types

- Numeric types include:
  - INTEGER
  - REAL: a real number (i.e., one that may have a fractional part)
- Non-numeric types include:
  - DATE (e.g., '2017-02-23')
  - TIME (e.g., '15:30:30')
  - two types for *strings* (i.e., arbitrary sequences of characters)
    - CHAR
    - VARCHAR



Given the CREATE TABLE command shown below, what tuple would be added by the INSERT command?

```
CREATE TABLE Student(  
  id CHAR(8) PRIMARY KEY,  
  name VARCHAR(30)  
);
```

```
INSERT INTO Student  
VALUES ('4567', 'Robert Brown');
```

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

- A. ('4567', 'Robert Brown')
- B. ('4567', 'Robert Brown')
- C. ('4567', 'Robert Brown')
- D. ('4567', 'Robert Brown')

What if we swapped the two values in the INSERT?

```
CREATE TABLE Student(  
  id CHAR(8) PRIMARY KEY,  
  name VARCHAR(30)  
);
```

```
INSERT INTO Student  
VALUES ('Robert Brown', '4567');
```

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

## Types in SQLite

- SQLite has its own types, including:
  - INTEGER
  - REAL
  - TEXT
- It also allows you to use the typical SQL types, but it converts them to one of its own types.
- As a result, the length restrictions indicated for CHAR and VARCHAR are not observed.
- It is also more lax in type checking than typical DBMSs.

## What about the other foreign key in Enrolled?

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	ugrad

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

```
CREATE TABLE Enrolled(
  student_id CHAR(8), course_name VARCHAR(10),
  credit_status VARCHAR(10),
  PRIMARY KEY (student_id, course_name),
  FOREIGN KEY (student_id) REFERENCES Student(id),
  );
```

Course

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
CS 105	13:00:00	14:00:00	4000
CS 111	09:30:00	11:00:00	5000
CS 460	16:00:00	17:30:00	7000
CS 510	12:00:00	13:30:00	7000
CS 999	19:30:00	21:30:00	NULL

## Does the order of these insertions matter?

Enrolled

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	CS 105	ugrad
25252525	CS 111	ugrad
45678900	CS 460	grad
33566891	CS 105	non-credit
45678900	CS 510	ugrad

Student

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

- ① INSERT INTO Enrolled VALUES('4567', 'CS 105', 'grad');  
② INSERT INTO Student VALUES ('4567', 'Robert Brown');
- A. ① must come before ②  
B. ② must come before ①  
C. the order of the two INSERT commands doesn't matter

## SQL: Practice Writing Queries

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Writing Queries: Rules of Thumb

- Start with the FROM clause. Which table(s) do you need?
- If you need more than one table, determine the necessary join conditions.
  - for N tables, you typically need N – 1 join conditions
  - is an outer join needed? – i.e., do you want unmatched tuples?
- Determine if a GROUP BY clause is needed.
  - are you performing computations involving subgroups?
- Determine any other conditions that are needed.
  - if they rely on aggregate functions, put in a HAVING clause
  - otherwise, add to the WHERE clause
  - is a subquery needed?
- Fill in the rest of the query: SELECT, ORDER BY?
  - is DISTINCT needed?

### Which of these problems would require a GROUP BY?

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- A. finding the Best-Picture winner with the best/smallest earnings rank
- B. finding the number of Oscars won by each person that has won an Oscar
- C. finding the number of Oscars won by each person, including people who have not won any Oscars
- D. both B and C, but not A
- E. A, B, and C

Which would require a subquery?

Which would require a LEFT OUTER JOIN?

### Now Write the Queries!

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 1) Find the Best-Picture winner with the best/smallest earnings rank. The result should have the form (name, earnings\_rank). Assume no two movies have the same earnings rank.

## Now Write the Queries!

Person(id, name, dob, pob)  
 Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
 Actor(actor\_id, movie\_id)    Director(director\_id, movie\_id)  
 Oscar(movie\_id, person\_id, type, year)

2) Find the number of Oscars won by each person that has won an Oscar. Produce tuples of the form (name, num Oscars).

3) Find the number of Oscars won by each person, including people who have not won an Oscar.

**Student**

<i>id</i>	<i>name</i>
12345678	Jill Jones
25252525	Alan Turing
33566891	Audrey Chu
45678900	Jose Delgado
66666666	Count Dracula

**Room**

<i>id</i>	<i>name</i>	<i>capacity</i>
1000	Sanders Theatre	1000
2000	Sever 111	50
3000	Sever 213	100
4000	Sci Ctr A	300
5000	Sci Ctr B	500
6000	Emerson 105	500
7000	Sci Ctr 110	30

**Course**

<i>name</i>	<i>start_time</i>	<i>end_time</i>	<i>room_id</i>
cscie119	19:35:00	21:35:00	4000
cscie268	19:35:00	21:35:00	2000
cs165	16:00:00	17:30:00	7000
cscie275	17:30:00	19:30:00	7000

**Department**

<i>name</i>	<i>office</i>
comp sci	MD 235
mathematics	Sci Ctr 520
the occult	The Dungeon
english	Sever 125

**Enrolled**

<i>student_id</i>	<i>course_name</i>	<i>credit_status</i>
12345678	cscie268	ugrad
25252525	cs165	ugrad
45678900	cscie119	grad
33566891	cscie268	non-credit
45678900	cscie275	grad

**MajorsIn**

<i>student_id</i>	<i>dept_name</i>
12345678	comp sci
45678900	mathematics
25252525	comp sci
45678900	english
66666666	the occult

### Practice Writing Queries

Student(id, name)    Department(name, office)    Room(id, name, capacity)  
Course(name, start\_time, end\_time, room\_id)    MajorsIn(student\_id, dept\_name)  
Enrolled(student\_id, course\_name, credit\_status)

- 1) Find all rooms that can seat at least 100 people.
  
  
  
  
  
- 2) Find the course or courses with the earliest start time.

### Practice Writing Queries (cont.)

Student(id, name)    Department(name, office)    Room(id, name, capacity)  
Course(name, start\_time, end\_time, room\_id)    MajorsIn(student\_id, dept\_name)  
Enrolled(student\_id, course\_name, credit\_status)

- 3) Find the number of majors in each department.
  
  
  
  
  
- 4) Find all courses taken by CS ('comp sci') majors.

### Practice Writing Queries (cont.)

Student(id, name)    Department(name, office)    Room(id, name, capacity)  
Course(name, start\_time, end\_time, room\_id)    MajorsIn(student\_id, dept\_name)  
Enrolled(student\_id, course\_name, credit\_status)

5) Create a list of all Students who are *not* enrolled in a course.

Why won't this work?

```
SELECT name
FROM Student, Enrolled
WHERE Student.id != Enrolled.student_id;
```

### Practice Writing Queries (cont.)

Student(id, name)    Department(name, office)    Room(id, name, capacity)  
Course(name, start\_time, end\_time, room\_id)    MajorsIn(student\_id, dept\_name)  
Enrolled(student\_id, course\_name, credit\_status)

6) Find the number of CS majors enrolled in cscie268.

6b) Find the number of CS majors enrolled in any course.



### Practice Writing Queries (cont.)

Student(id, name)    Department(name, office)    Room(id, name, capacity)  
Course(name, start\_time, end\_time, room\_id)    MajorsIn(student\_id, dept\_name)  
Enrolled(student\_id, course\_name, credit\_status)

- 7) Find the number of majors that each student has declared.

### Practice Writing Queries (cont.)

Student(id, name)    Department(name, office)    Room(id, name, capacity)  
Course(name, start\_time, end\_time, room\_id)    MajorsIn(student\_id, dept\_name)  
Enrolled(student\_id, course\_name, credit\_status)

- 8) For each department with more than one majoring student, output the department's name and the number of majoring students.

## Extra Practice Writing Queries

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 1) Find the ids and names of everyone in the database who acted in *Avatar*.

## Extra Practice Writing Queries (cont.)

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 2) How many people in the database did not act in *Avatar*?

Will this work?

```
SELECT COUNT(*)  
FROM Person P, Actor A, Movie M  
WHERE P.id = A.actor_id AND M.id = A.movie_id  
AND M.name != 'Avatar';
```

If not, what will?

### Extra Practice Writing Queries (cont.)

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 3) How many people in the database who were born in California have won an Oscar? (assume pob = city, state, country)

### Extra Practice Writing Queries (cont.)

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 4) Find the ids and names of everyone in the database who has acted in a movie directed by James Cameron.  
(Hint: One table is needed twice!)

### Extra Practice Writing Queries (cont.)

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 5) Which movie ratings have an average runtime that is greater than 120 minutes, and what are their average runtimes?

### Extra Practice Writing Queries (cont.)

Person(id, name, dob, pob)  
Movie(id, name, year, rating, runtime, genre, earnings\_rank)  
Actor(actor\_id, movie\_id) Director(director\_id, movie\_id)  
Oscar(movie\_id, person\_id, type, year)

- 6) For each person in the database born in Boston, find the number of movies in the database (possibly 0) in which the person has acted.

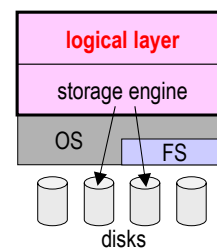
## Storage Fundamentals; Record Formats

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Review: DBMS Architecture

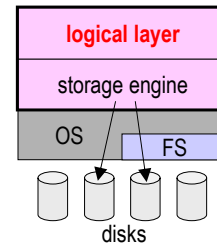
- A DBMS can be viewed as a composition of two layers.
- At the bottom is the *storage layer* or *storage engine*, which takes care of storing and retrieving the data.
- Above that is the *logical layer*, which provides an abstract representation of the data.



## Logical-to-Physical Mapping

- The logical layer implements a mapping between:

the *logical schema* of a database  
↓ ↑  
its *physical representation*



- In the relational model, the schema includes:
  - attributes/columns, including their types
  - tuples/rows
  - relations/tables
- To be model-neutral, we'll use these terms instead:
  - field* for an individual data value
  - record* for a group of fields
  - collection* for a group of records

## Logical-to-Physical Mapping (cont.)

- We'll consider:
  - how to map logical records to their physical representation
  - how to organize the records in a given collection
    - including the use of index structures
- Different approaches require different amounts of *metadata* – data about the data.
  - example: the types and lengths of the fields
  - per-record* metadata – stored within each record
  - per-collection* metadata – stored once for the entire collection
- Assumptions about data in the rest of this set of slides:
  - each character is stored using 1 byte
  - integer data values are stored using 4 bytes
  - integer metadata (e.g., offsets) are stored using 2 bytes

## Fixed- or Variable-Length Records?

- This choice depends on:
  - the types of fields that the records contain
  - the number of fields per record, and whether it can vary
- Simple case: use fixed-length records when
  - all fields are fixed-length (e.g., CHAR or INTEGER),
  - there is a fixed number of fields per record

## Fixed- or Variable-Length Records? (cont.)

- The choice is less straightforward when you have either:
  - variable-length fields (e.g., VARCHAR)
  - a variable number of fields per record (e.g., in XML)

### Two options:

1. fixed-length records: always allocate the maximum possible length

...	comp sci	...
...	math	...

- plusses and minuses:
  - + less metadata is needed, because:
    - every record has the same length
    - a given field is in a consistent position within all records
  - + changing a field's value doesn't change the record's length
    - thus, changes never necessitate moving the record
  - we waste space when a record has fields shorter than their max length, or is missing fields

## Fixed- or Variable-Length Records? (cont.)

2. variable-length records: only allocate the space that each record actually needs

...	comp	sci	...
...	math	...	

- plusses and minuses:
  - more metadata is needed in order to:
    - determine the boundaries between records
    - determine the locations of the fields in a given record
  - changing a field's value can change the record's length
    - thus, we may need to move the record
- + we *don't* waste space when a record has fields shorter than their max length, or is missing fields

## Format of Fixed-Length Records

- With fixed-length records, we store the fields one after the other.
- If a fixed-length record contains a variable-length field:
  - allocate the max. length of the field
  - use a delimiter (# below) if the value is shorter than the max.
- Example:
 

```
Dept(id CHAR(7), name VARCHAR(20), num_majors INT)
```

id	name	num_majors
1234567	comp sci#	200
9876543	math#	125
4567890	history & literature	175

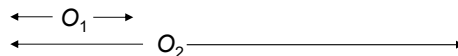
- why doesn't 'history & literature' need a delimiter?



### Format of Fixed-Length Records (cont.)

- To find the position of a field, use *per-collection* metadata.
  - typically store the *offset* of each field ( $O_1$  and  $O_2$  below) – how many bytes the field is from the start of the record

id	name	num_majors
1234567	comp sci#	200
9876543	math#	125
4567890	history & literature	175



- Notes:
  - the delimiters are the only *per-record* metadata
  - the records are indeed fixed-length – 31 bytes each!
    - 7 bytes for id, which is a CHAR(7)
    - 20 bytes for name, which is a VARCHAR(20)
    - 4 bytes for num\_majors, which is an INT

### Format of Variable-Length Records

- With variable-length records, we need *per-record* metadata to determine the locations of the fields.
- For simplicity, we'll assume all records in a given collection have the same # of fields.
- We'll look at how the following record would be stored:  

CHAR(7)VARCHAR(20)INT

('1234567','comp sci',200)
- We'll consider two types of operations:
  - finding/extracting the value of a single field  

```
SELECT num_majors
FROM Dept
WHERE name = 'comp sci';
```
  - updating the value of a single field
    - its length may become smaller or larger

## Format of Variable-Length Records (cont.)

- Option 1: Precede each field by its length.

CHAR(7)	VARCHAR(20)	INT
7	1234567	8
	comp sci	4
		200

- finding/extracting the value of a single field
  - to find the position of a field, may need to repeatedly:
    - read a prior field's length
    - use that length to jump over the field's value
  - example: to read the value of the third field above:
    - read the 7, jump over the next 7 bytes
    - read the 8, jump over the next 8 bytes
    - read the 4, read in the next 4 bytes to get 200
- updating the value of a single field

if it changes in size, we need to shift the values after it, but we don't need to change their metadata

## Format of Variable-Length Records (cont.)

- Option 2: Put offsets and other metadata in a record header.

# of bytes from the start of the record							
0	2	4	6	8	15	23	
8	15	23	27	1234567	comp sci	200	

record header

### computing the offsets

- 3 fields in record → 4 offsets, each of which is a 2-byte int
- thus, the offsets take up  $4 \times 2 = 8$  bytes
- $\text{offset}_0 = 8$ , because field<sub>0</sub> comes right after the header
- $\text{offset}_1 = 8 + \text{len}('1234567') = 8 + 7 = 15$
- $\text{offset}_2 = 15 + \text{len}('comp sci') = 15 + 8 = 23$
- $\text{offset}_3 = \text{offset of the end of the record}$   
 $= 23 + 4$  (since 200 an int)  $= 27$

*We store this offset because it may be needed to compute the length of a field's value!*

## Format of Variable-Length Records (cont.)

Option 2 (cont.)

0	2	4	6	8	15	23
8	15	23	27	1234567	comp sci	200

- More generally, a record with  $n$  fields needs  $n+1$  offsets.
  - $\text{offset}_i$  = the offset of field <sub>$i$</sub>  for  $0 \leq i < n$
  - the last offset ( $\text{offset}_n$ ) is *always* the length of the record.
- Efficiency of the two key operations:
  1. finding/extracting the value of a single field  
more efficient than option 1, because we can jump directly to the field we're interested in
  2. updating the value of a single field  
less efficient than options 1 and 2 if the length changes. why?

## Representing Null Values

- One option: use per-record metadata.
  - example: if using records that begin with a header of offsets, use a special offset (e.g., -1) for NULL values.
  - the record

('1234567', 'comp sci', NULL)

would be stored as follows:

0	2	4	6	8	15
8	15	-1	23	1234567	comp sci

### Which is the correct record header?

We're inserting the following row into a simplified Movie table:

CHAR(7)      VARCHAR(64)      INT      VARCHAR(5)      INT  
( '4975722', 'Moonlight', 111, 'R', NULL)

and we're using: -1 for NULL

1-byte chars, 2-byte offsets, 4-byte ints

A. 

12	19	28	32	-1	33
----	----	----	----	----	----

B. 

12	19	28	32	33	-1
----	----	----	----	----	----

C. 

10	17	26	29	-1	30
----	----	----	----	----	----

D. 

10	17	26	29	30	-1
----	----	----	----	----	----

E. 

10	17	26	30	-1	33
----	----	----	----	----	----

## Index Structures

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## Accessing the Disk

- Data is arranged on disk in units called *blocks*.
  - typically fairly large (e.g., 4K or 8K)
- Relatively speaking, disk I/O is very expensive.
  - in the time it takes to read a single disk block, the processor could be executing millions of instructions!
- The DBMS tries to minimize the number of disk accesses.

## Index Structures

- An index structure stores (key, value) pairs.
  - also known as a *dictionary* or *map*
  - we will sometimes refer to the (key, value) pairs as *items*
- The index allows us to more efficiently access a given record.
  - quickly find it based on a particular field
  - instead of scanning through the entire collection to find it, which could require *many* disk reads!
- A given collection of records may have multiple index structures:
  - one *clustered* or *primary* index
  - some number of *unclustered* or *secondary* indices
- Each index structure has a corresponding file on disk.
  - the DBMS divides these files into units called *pages*
  - typically, each page is one disk block

## Clustered/Primary Index

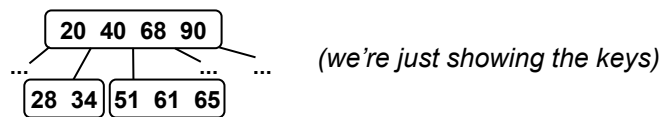
- The *clustered* index is the one that stores the full records.
  - also known as a *primary index*, because it is typically based on the primary key
- If the records are stored outside of an index structure, the resulting file is sometimes called a *heap file*.
  - managed somewhat like the heap memory region

## Unclustered/Secondary Indices

- In addition to the clustered/primary index, there can be one or more *unclustered* indices based on other fields.
  - also known as *secondary indices*
- Example: *Customer(id, name, street, city, state, zip)*
  - primary index:  
(key, value) = (*id*, all of the remaining fields in the record)
  - a secondary index to enable quick searches by name  
(key, value) = (*name*, *id*)    *does not include the other fields!*
- We need two lookups when we start with the secondary index.
  - example: looking for Ted Codd's zip code
  - search for 'Ted Codd' in the secondary index  
→ '123456' (his id)
  - search for '123456' in the primary index  
→ his full record, including his zip code

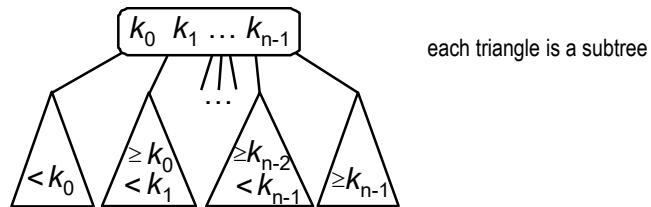
## B-Trees

- A B-tree of order  $m$  is a tree in which each node has:
  - at most  $2m$  items (and, for interior nodes,  $2m + 1$  children)
  - at least  $m$  items (and, for interior nodes,  $m + 1$  children)
  - exception: the root node may have as few as 1 item
- Example: a B-tree of order 2



- A B-tree has *perfect balance*: all paths from the root node to a leaf node have the same length.

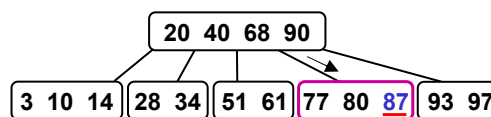
## Search in B-Trees



- A B-tree is a *search tree*.
  - like a binary search tree, but can have more keys per node
- When searching for an item whose key is  $k$ , we never need to enter more than one of the subtrees of a node.

## Search in B-Trees (cont.)

- Example: search for the item whose key is 87



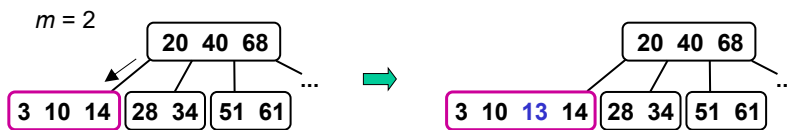
- Here's pseudocode for the algorithm:
 

```
search(key, node) {
    if (node == null) return null;
    i = 0;
    while (i < node.numkeys && node.key[i] < key)
        i++;
    if (i == node.numkeys || node.key[i] != key)
        return search(key, node.child[i]);
    else // node.key[i] == key
        return node.data[i];
}
```



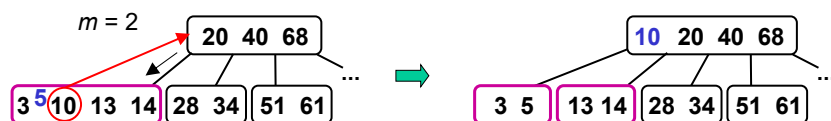
## Insertion in B-Trees

- Algorithm for inserting an item with a key  $k$ :  
 search for  $k$  until you reach a leaf node  
 if the leaf node has fewer than  $2m$  items, add the new item to the leaf node  
 else *split the node*, dividing up the  $2m + 1$  items:  
   the first/smallest  $m$  items remain in the original node  
   the last/largest  $m$  items go in a new node  
   send the middle item up and insert it (and a pointer to the new node) in the parent
- Example: insert 13



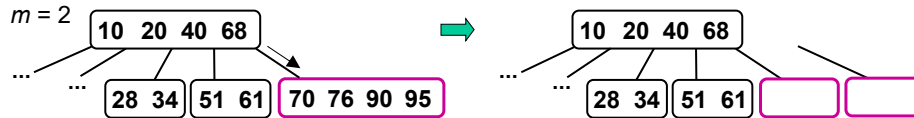
## Insertion in B-Trees (cont.)

- Algorithm for inserting an item with a key  $k$ :  
 search for  $k$  until you reach a leaf node  
 if the leaf node has fewer than  $2m$  items, add the new item to the leaf node  
 else *split the node*, dividing up the  $2m + 1$  items:  
   the first/smallest  $m$  items remain in the original node  
   the last/largest  $m$  items go in a new node  
   send the middle item up and insert it (and a pointer to the new node) in the parent
- Example **with a split**: insert 5 into the previous result

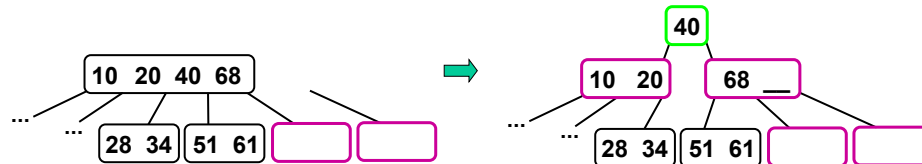


## Splits in B-Trees (cont.)

- Another example: Insert 93 into this tree:



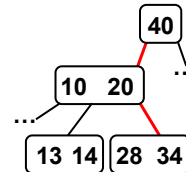
- The \_\_\_\_\_ is sent up to the root.  
The root has no room, so it is also split, and a new root is formed:



- When an interior node is split, the  $2m + 2$  pointers are split evenly between the original node and the new node.
- Splitting the root increases the tree's height by 1, but the tree is still balanced. This is only way that the tree's height increases!

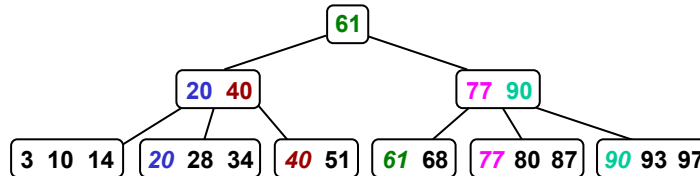
## Other Details of B-Trees

- Each node in the tree corresponds to one page in the corresponding index file.
  - child pointers = page numbers
- Efficiency: In the worst case, searching for an item involves traversing a single path from the root to a leaf node.
  - # of nodes accessed  $\leq$  tree height + 1
  - each interior node has at least  $m$  children
    - $\rightarrow$  tree height  $\leq \log_m n$ , where  $n = \#$  of items
    - $\rightarrow$  search and insertion are  $O(\log_m n)$
- To minimize disk I/O, make  $m$  as large as possible.
  - but not too large!
  - if  $m$  is too large, can end up with items that don't fit on the page and are thus stored in separate *overflow pages*



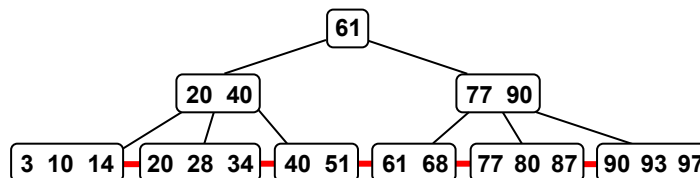
## B+Trees

- A B+tree is a B-tree variant in which:
  - data items are only found in the leaf nodes
  - interior nodes contain only keys and child pointers
  - an item's key may appear in a leaf node *and* an interior node
- Example: a B+tree of order 2



## One Advantage of B+Trees

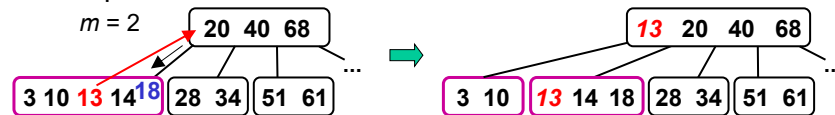
- Having all items in leaf nodes means we can:
  - link the leaf nodes together
  - more efficiently scan through the items in key order
    - example: find all items with keys from 25-65 (range search)



## Differences in the Algorithms for B+Trees

- When searching, we keep going until we reach a leaf node, even if we see the key in an interior node.
- When splitting a leaf node with  $2m + 1$  items:
  - the first  $m$  items remain in the original node as before
  - *all* of the remaining  $m + 1$  items are put in the new node, *including the middle item*
  - the key of the middle item is *copied* into the parent

- Example: insert 18



- Splitting an interior node is the same as before, but with keys only:
  - first  $m$  keys stay in original node, last  $m$  keys go to new node
  - middle key is sent up to parent (not copied)

## Deletion in B-Trees and B+Trees

- Search for the item and remove it.
- If a node N ends up with fewer than  $m$  items, do one of the following:
  - if a sibling node has more than  $m$  items, take items from it and add them to N
  - if the sibling node only has  $m$  items, *merge* N with the sibling
- If the key of the removed item is in an interior node, *don't* remove it from the interior node.
  - we need the key to navigate to the node's children
  - can remove when the associated child node is merged with a sibling
- Some systems don't worry about nodes with too few items.
  - assume items will be added again eventually

### Ideal Case: Searching = Indexing

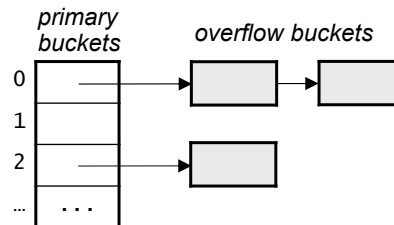
- The ideal index structure would be one in which:  
key of data item = the page number where the item is stored
- In most real-world problems, we can't do this.
  - the key values may not be integers
  - we can't afford to give each key value its own page
- To get something close to the ideal, we perform *hashing*:
  - use a *hash function* to convert the keys to page numbers  
 $h(\text{'hello'}) \rightarrow 5$
- The resulting index structure is known as a *hash table*.

### Hash Tables: In-Memory vs. On-Disk

- In-memory:
  - the hash value is used as an index into an array
  - depending on the approach you're taking, a given array element may only hold one item
  - need to deal with *collisions* = two values hashed to same index
- On-disk:
  - the hash value tells you which *page* the item should be on
  - because pages are large, each page serves as a *bucket* that stores multiple items
  - need to deal with full buckets

## Static vs. Dynamic Hashing

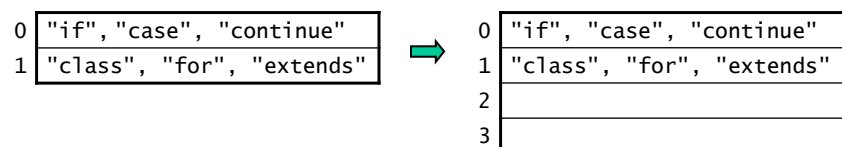
- In *static hashing*, the number of buckets never changes.
  - if a bucket becomes full, we use overflow buckets/pages



- why is this problematic?
- In *dynamic hashing*, the number of buckets can grow over time.
  - can be expensive if you're not careful!

## A Simplistic Approach to Dynamic Hashing

- Assume that:
  - we're using keys that are strings
  - $h(\text{key}) = \text{number of characters in key}$
  - we use mod (%) to ensure we get a valid bucket number:  
$$\text{bucket index} = h(\text{key}) \% \text{number of buckets}$$
- When the hash table gets to be too full:
  - double the number of buckets
  - rehash all existing items. why?



## Linear Hashing

- It does **not** use the modulus to determine the bucket index.
- Rather, it treats the hash value as a binary number, and it uses the *i* **rightmost** bits of that number:
  - $i = \text{ceil}(\log_2 n)$  where  $n$  is the current number of buckets
  - example:  $n = 3 \rightarrow i = \text{ceil}(\log_2 3) = 2$

- If there's a bucket with the index given by the  $i$  rightmost bits, put the key there.

$h(\text{"if"}) = 2 = 000000\textcolor{blue}{10}$	00 = 0	"case"
$h(\text{"case"}) = 4 = 000001\textcolor{blue}{00}$	01 = 1	
$h(\text{"class"}) = 5 = ?$	10 = 2	"if"
$h(\text{"continue"}) = 8 = ?$		

- If not, use the bucket specified by the rightmost  $i - 1$  bits
  - $h(\text{"for"}) = 3 = 000000\textcolor{red}{1}$  (11 = 3 is too big, so use 1)
  - $h(\text{"extends"}) = ?$

## Linear Hashing: Adding a Bucket

- In linear hashing, we keep track of three values:
  - $n$ , the number of buckets
  - $i$ , the number of bits used to assign keys to buckets
  - $f$ , some measure of how full the buckets are
- When  $f$  exceeds some threshold, we:
  - add **only one** new bucket
  - increment  $n$  and update  $i$  as needed
  - rehash/move keys as needed
- We only need to rehash the keys in **one** of the old buckets!
  - if the new bucket's binary index is  $1xyz$  ( $xyz$  = arbitrary bits), rehash the bucket with binary index  $0xyz$
- Linear hashing has to grow the table more often, but each new addition takes very little work.

## Example of Adding a Bucket

- Assume that:
  - our measure of fullness,  $f$  = # of items in hash table
  - we add a bucket when  $f > 2^n$
- Continuing with our previous example:
  - $n = 3$ ;  $f = 6 = 2^3$ , so we're at the threshold
  - adding "switch" exceeds the threshold, so we:
    - add a new bucket whose index = 3 = 11 in binary
    - increment  $n$  to 4  $\rightarrow i = \text{ceil}(\log_2 4) = 2$  (*unchanged*)

$n = 3, i = 2$		$n = 4, i = 2$	
00 = 0	"case", "continue"	00 = 0	"case", "continue"
01 = 1	"class", "for", "extends"	01 = 1	"class", "for", "extends"
10 = 2	"if", "switch"	10 = 2	"if", "switch"
		11 = 3	

## Example of Adding a Bucket (cont.)

- Which previous bucket do we need to rehash?

$n = 4, i = 2$	
00 = 0	"case", "continue"
01 = 1	"class", "for", "extends"
10 = 2	"if", "switch"
11 = 3	



## Example of Adding a Bucket (cont.)

- Which previous bucket do we need to rehash?
  - new bucket has a binary index of 11
  - because this bucket wasn't there before, items that should now be in 11 were originally put in 01 (using the rightmost  $i - 1$  bits)
  - thus, we rehash bucket 01:
    - $h(\text{"class"}) = 5 = 000001\mathbf{01}$  (leave where it is)
    - $h(\text{"for"}) = 3 = 000000\mathbf{11}$  (move to new bucket)
    - $h(\text{"extends"}) = ?$

$n = 4, i = 2$				$n = 4, i = 2$	
00=0	"case", "continue"	→	00=0	"case", "continue"	
01=1	<b>"class", "for", "extends"</b>		01=1	<b>"class"</b>	
10=2	"if", "switch"		10=2	"if", "switch"	
11=3			11=3	<b>"for"</b>	

## Additional Details

- If the number of buckets exceeds  $2^i$ , we increment  $i$  and begin using one additional bit.

$n = 4, i = 2, f = 9, 9 > 2*4$				$n = 5, i = 3$	
00=0	"case", "continue"	→	000=0	"case", "continue"	
01=1	"class", <b>"while"</b>		001=1	"class", "while"	
10=2	"if", "switch", <b>"String"</b>		010=2	"if", "switch", "String"	
11=3	"for", "extends"		011=3	"for", "extends"	
			100=4		

which bucket should be rehashed?

- bucket 0
- bucket 1
- bucket 2
- bucket 3

## Additional Details

- If the number of buckets exceeds  $2^i$ , we increment  $i$  and begin using one additional bit.

$n = 4, i = 2, f = 9, 9 > 2^4$

00=0	"case", "continue"
01=1	"class", "while"
10=2	"if", "switch", "String"
11=3	"for", "extends"



$n = 5, i = 3$

000=0	"continue"
001=1	"class", "while"
010=2	"if", "switch", "String"
011=3	"for", "extends"
100=4	"case"

- The process of adding a bucket is sometimes referred to as *splitting* a bucket.
  - example: adding bucket 4  $\iff$  splitting bucket 0 because some of 0's items may get moved to bucket 4
- The split bucket:
  - may retain all, some, or none of its items
  - may not be as full as other buckets
    - thus, linear hashing still allows for overflow buckets as needed

## More Examples

- Assume again that we add a bucket whenever the # of items exceeds  $2n$ .
- What will the table below look like after inserting the following sequence of keys? (assume no overflow buckets are needed)

"toString": h("toString") = ?  
 "private": h("private") = ?  
 "interface": h("interface") = ?

$n = 5, i = 3$

000=0	"continue"
001=1	"class", "while"
010=2	"if", "switch", "String"
011=3	"for", "extends"
100=4	"case"



$n = 6, i = 3$

000=0	
001=1	
010=2	
011=3	
100=4	
101=5	

## Hash Table Efficiency

- In the best case, search and insertion require at most one disk access.
- In the worst case, search and insertion require  $k$  accesses, where  $k$  is the length of the largest bucket chain.
- Dynamic hashing can keep the worst case from being too bad.

## Hash Table Limitations

- It can be hard to come up with a good hash function for a particular data set.
- The items are not ordered by key. As a result, we can't easily:
  - access the records in sorted order
  - perform a range search
  - perform a rank search – get the  $k$ th largest value of some field

We *can* do all of these things with a B-tree / B+tree.

### Which Index Structure Should You Choose?

- Recently accessed pages are stored in a *cache* in memory.
- Working set = collection of frequently accessed pages
- If the working set fits in the cache, use a B-tree / B+tree.
  - efficiently supports a wider range of queries (see last slide)
- If the working set can't fit in memory:
  - choose a B-tree/B+tree if the workload exhibits *locality*
    - locality = a query for a key is often followed by a query for a key that is nearby in the space of keys
    - because the items are sorted by key, the neighbor will be in the cache
  - choose a hash table if the working set is very large
    - uses less space for "bookkeeping" (pointers, etc.), and can thus fit more of the working set in the cache
    - fewer operations are needed before going to disk

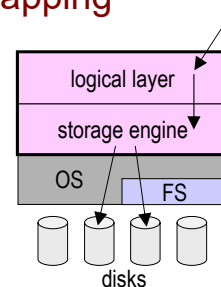
# Implementing a Logical-to-Physical Mapping

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## Recall: Logical-to-Physical Mapping

- Recall our earlier diagram of a DBMS, which divides it into two layers:
  - the *logical layer*
  - the *storage layer* or *storage engine*

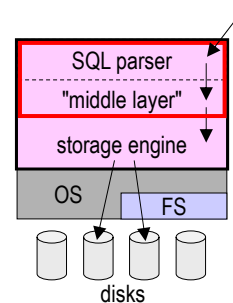


- The logical layer implements a mapping from the logical schema of a collection of data to its physical representation.
  - example: for the relational model, it maps:

attributes		fields
tuples	to	records
relations		files and index structures
selects, projects, etc.		scans, searches, field extractions

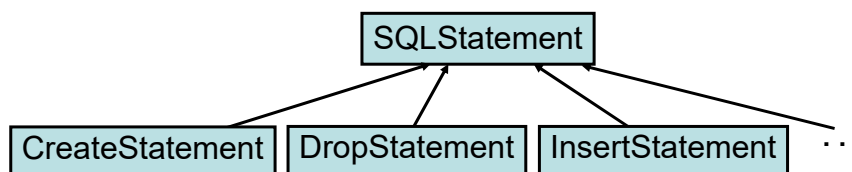
## Your Task

- On the homework, you will implement portions of the logical-to-physical mapping for a simple relational DBMS.
- We're giving you:
  - a SQL parser
  - a storage engine: Berkeley DB
  - portions of the code needed for the mapping, and a framework for the code that you will write
- In a sense, we've divided the logical layer into two layers:
  - a SQL parser
  - everything else – the "middle layer"
    - you'll implement parts of this



## The Parser

- Takes a string containing a SQL statement
- Creates an instance of a subclass of the class SQLStatement:



- SQLStatement is an *abstract class*.
  - contains fields and methods inherited by the subclasses
  - includes an *abstract* execute() method
    - just the method header, not the body
- Each subclass implements its own version of execute()
  - you'll do this for some of the subclasses

## SQLStatement Class

- Looks something like this:

```
public abstract class SQLStatement {  
    private ArrayList<Table> tables;  
    private ArrayList<Column> columns;  
    private ArrayList<Object> columnVals;  
    private ConditionalExpression where;  
    private ArrayList<Column> whereColumns;  
    public abstract void execute();  
    ...  
}
```

Java's built-in  
ArrayList class.  
Use the Java API to see  
the available methods!

## The Storage Engine: Berkeley DB (BDB)

- An embedded database library for managing key/value pairs
  - fast: runs in the application's address space, no IPC
  - reliable: transactions, recovery, etc.
- One example of a type of noSQL database known as a key-value store.
- We're using Berkeley DB Java Edition (JE)
- Note: We're *not* using the Berkeley DB SQL interface.
  - we're writing our own!

## Berkeley DB, B+Trees and Tables

- A *database* in BDB is a collection of key/value pairs that are stored in the same index structure.
- BDB Java Edition always uses a B+tree.
  - other versions of BDB provide other index-structure options
- We'll use one BDB database (i.e., one B+tree) for each table/relation.
  - use the table's primary key for the keys in the key/value pairs
    - assume it's always a single column
  - if no primary key was specified when the table was created, we'll use the first column

## Marshalling and Unmarshalling the Data

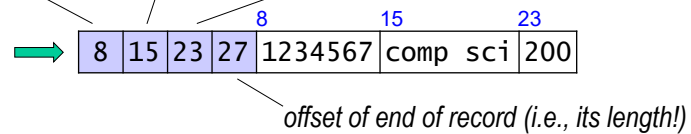
- The on-disk keys and values are *byte arrays* – i.e., arbitrary collections of bytes.
- Berkeley DB does *not* attempt to interpret them.
- When inserting a row in a table, we need to turn its collection of fields into a key/value pair.
  - creating the necessary byte arrays
- This process is referred to as *marshalling* the data.
- The reverse process is known as *unmarshalling*:
  - obtain the key/value pair for a given row
  - extract one or more field values from the underlying byte arrays



## Recall: Option 2 for Variable-Length Records

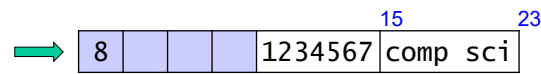
- Here's what option 2 did:

('1234567', 'comp sci', 200)



- What if we change the value of the last field to null?

('1234567', 'comp sci', null)



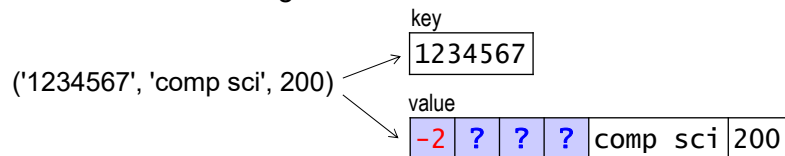
## The Required Record Format

- Here's what we did in PS 2:

('1234567', 'comp sci', 200) →

8	15	23	27	1234567	comp	sci	200
---	----	----	----	---------	------	-----	-----

- We'll do something a bit different in PS 3:



- the primary-key value becomes the key in the key/value pair
- the value is the other fields with a header of offsets
- we use a special offset for the primary-key in the header (note: it won't always be the first column!)
- what should the remaining offsets be in this case? (assume 2-byte offsets and 4-byte integer values)

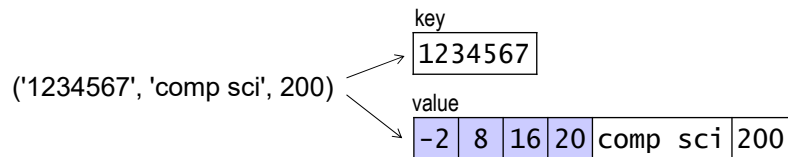
## Classes for Manipulating Byte Arrays

- RowOutput: an output stream that writes into a byte array
  - inherits from Java's DataOutputStream:
    - writeBytes(String val)
    - writeShort(int val) // can use for offsets!
    - writeInt(int val)
    - writeDouble(double val)
  - methods for obtaining the results of the writes:
    - getBufferBytes()
    - getBufferLength()
  - includes a toString() method that shows the current contents of the byte array

## Classes for Manipulating Byte Arrays (cont.)

- RowInput: an input stream that reads from a byte array
  - methods that take an offset from the start of the byte array
    - readBytesAtOffset(int offset, int length)
    - readIntAtOffset(int offset)
    - etc.
  - methods that read from the current offset (i.e., from where the last read left off)
    - readNextBytes(int length)
    - readNextInt()
    - etc.
  - includes a toString() method that shows the contents of the byte array and the current offset

## Example of Marshalling



- Marshalling this row could be done as follows:

```
RowOutput keyBuffer = new RowOutput();
keyBuffer.writeBytes("1234567");

RowOutput valuebuffer = new RowOutput();
valueBuffer.writeShort(-2);
valueBuffer.writeShort(8);
valueBuffer.writeShort(16);
valueBuffer.writeShort(20);
valueBuffer.writeBytes("comp sci");
valueBuffer.writeInt(200);
```

## Database and DatabaseEntry objects

- Recall: we're using one BDB *database* (i.e., one B+tree) for each table/relation.
- To interact with one of these databases in our code, we use objects from classes provided by Berkeley DB.
- Each B+tree is represented by an object of type `Database`
- When working with a given key/value pair, we use two objects of type `DatabaseEntry`:
  - one for the key
  - one for the value

## Inserting Data into a BDB Database

- Create the DatabaseEntry objects for the key and value:  

```
// see previous slide for marshalling code
byte[] bytes = keyBuffer.getBufferBytes();
int numBytes = keyBuffer.getBufferLength();
DatabaseEntry key = new DatabaseEntry(bytes, 0, numBytes);

bytes = valueBuffer.getBufferBytes();
numBytes = valueBuffer.getBufferLength();
DatabaseEntry value = new DatabaseEntry(bytes, 0, numBytes);
```
- Use the Database putNoOverwrite method:  

```
Database db; // see PS 3 for how to obtain it!
OperationStatus ret = db.putNoOverwrite(null, key, value);
```

  - **null** because we are not using transactions
  - if there is an existing key/value pair with the specified key:
    - the insertion fails
    - the method returns `OperationStatus.KEYEXIST`
  - if the insertion succeeds, returns `OperationStatus.SUCCESS`

## Cursors in Berkeley DB

- In general, a *cursor* is a construct used to iterate over records in a database file.
  - similar to an iterator for a collection class
- In BDB, cursors iterate over key/value pairs in a BDB database.
  - based on method calls using an instance of the Cursor class
- The key/value pairs are returned in "empty" DatabaseEntry objects that are passed as parameters to the cursor's getNext method:  

```
DatabaseEntry key = new DatabaseEntry();
DatabaseEntry value = new DatabaseEntry();
OperationStatus ret = curs.getNext(key, value, null);
```

## Table Iterators

- In PS 3, a cursor is used to implement a `TableIterator` class.
- It can be used to iterate over the tuples in either:
  - an entire single table:

```
SELECT *  
FROM Movie;
```
  - or the relation that is produced by applying a selection operator to the tuples of single table:

```
SELECT *  
FROM Movie  
WHERE rating = 'PG-13' and year > 2010;
```
- A `TableIterator` has:
  - fields for the current key/value pair accessed by the cursor
  - methods for advancing/resetting the cursor
  - a method you'll implement for getting a column's value

## Unmarshalling a Single Field's Value

- You will write a `TableIterator` method that unmarshalls the value of a single column from the current key/value pair.

```
public Object getColumnVal(int colIndex)
```
- First, you'll need to create the necessary `RowInput` objects:

```
RowInput keyIn = new RowInput(this.key.getData());  
RowInput valueIn = new RowInput(this.value.getData());
```
- Then you'll use `RowInput` methods to access the necessary offset(s) and value.
- You should *not* unmarshall the entire record – only the portions that are needed to get the value of the specified column.
- Thus, you should mostly use the "at offset" versions of the `RowInput` methods.
  - `readBytesAtOffset`, `readIntAtOffset`, etc.

## Examples of Unmarshalling: Assumptions

- We have a simplified version of the Movie table from PS 1:  
`Movie(id CHAR(7), name VARCHAR(64), runtime INT, rating VARCHAR(5), earnings_rank INT)`
- We didn't specify a primary key when we created the table.
  - thus, id is the primary key – and the key in the key/value pair
  - the rest of the row is in the value portion of the key/value pair
- We're using 2-byte offsets.
  - -2 indicates the primary key
  - -1 indicates a NULL value
- The cursor/iterator is currently positioned on this key/value pair:

		0	2	4	6	8	10	12		21	25
key	4975722										
value		-2	12	21	25	-1	26	Moonlight	111	R	

## Example 1

	0	2	4	6	8	10	12		21	25
value	-2	12	21	25	-1	26	Moonlight	111	R	

`Movie(id CHAR(7), name VARCHAR(64), runtime INT, rating VARCHAR(5), earnings_rank INT)`

- To retrieve the movie's name (field<sub>1</sub> – the second field):
  - determine that offset<sub>1</sub> is 1\*2 = 2 bytes from the start
  - perform a read at an offset of 2 to obtain offset<sub>1</sub> → 12
  - because name is a VARCHAR, read offset<sub>2</sub> → 21 and compute this name's length = 21 – 12 = 9
  - read 9 bytes at an offset of 12 bytes → 'Moonlight'

## Example 2

	0	2	4	6	8	10	12		21	25
value	-2	12	21	25	-1	26	Moonlight		111	R

Movie(id CHAR(7), name VARCHAR(64), runtime INT,  
rating VARCHAR(5), earnings\_rank INT)

- To retrieve the earnings\_rank (field<sub>4</sub>)
  - determine that offset<sub>4</sub> is  $4 \times 2 = 8$  bytes from the start
  - perform a read at an offset of 8 to obtain offset<sub>4</sub> → -1
  - conclude that the value is NULL

## Example 3

	0	2	4	6	8	10	12		21	25
value	-2	12	21	25	-1	26	Moonlight		111	R

Movie(id CHAR(7), name VARCHAR(64), runtime INT,  
rating VARCHAR(5), earnings\_rank INT)

- To retrieve the rating (field<sub>3</sub>):
  - determine that offset<sub>3</sub> is  $3 \times 2 = 6$  bytes from the start
  - perform a read at an offset of 6 to obtain offset<sub>3</sub> → 25
  - because rating is a VARCHAR:
    - read offset<sub>4</sub> → -1, so we need to keep going!
    - read offset<sub>5</sub> → 26
    - compute this rating's length =  $26 - 25 = 1$
  - read 1 byte at an offset of 25 → 'R'

## Semistructured Data and XML

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Structured Data

- We've covered two logical data models thus far:
  - ER diagrams
  - relational schemas
- Both use a *schema* to define the structure of the data.
- The schema in these models is:
  - *separate* from the data itself
  - *rigid*: all data items of a particular type must have the same set of fields/attributes



## Semistructured Data

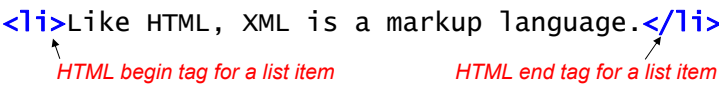
- In semistructured data:
  - there may or may not be a *separate* schema
  - the schema is *not* rigid
    - example: capturing people's addresses
      - some records may have 4 separate fields:
        - street, city, state, zip
      - other records may use a single address field
- Semistructured data is *self-documenting*.
  - information describing the data is embedded with the data

```
<course>
  <name>CS 460</name>
  <begin>1:25</begin>
  ...
</course>
```

## Semistructured Data (cont.)

- Its features facilitate:
  - the integration of information from different sources
  - the exchange of information between applications
- Example: company A receives data from company B
  - A only cares about certain fields in certain types of records
  - B's data includes:
    - other types of records
    - other fields within the records that company A cares about
  - with semistructured data, A can easily recognize and ignore unexpected elements
  - the exchange is more complicated with structured data

## XML (Extensible Markup Language)

- One way of representing semistructured data.
- Like HTML, XML is a *markup language*.
  - it annotates ("marks up") documents with tags
  - tags generally come in pairs:
    - begin tag: `<tagname>`
    - end tag: `</tagname>`
  - example:  
`<li>`Like HTML, XML is a markup language.`</li>`  


HTML begin tag for a list item      HTML end tag for a list item
- Unlike HTML, XML is *extensible*.
  - the set of possible tags – and their meaning – is not fixed

## XML Elements

- An XML *element* is:
  - a begin tag
  - an end tag (in some cases, this is merged into the begin tag)
  - all info. between them.
  - example:  
`<name>CS 460</name>`
- An element can include other nested *child elements*.  
`<course>`  
    `<name>CS 460</name>`  
    `<begin>1:25</begin>`  
    ...  
`</course>`
- Related XML elements are grouped together into *documents*.
  - may or may not be stored as an actual text document

## XML Attributes

- An element may also include *attributes* that describe it.
- Specified within the element's begin tag.
  - syntax: *name="value"*
- Example:

```
<course catalog_number="12345" exam_group="16">  
  <name>CS 460</name>  
  <begin>1:25</begin>  
  ...  
</course>
```

## Attributes vs. Child Elements

	<i><b>attribute</b></i>	<i><b>child element</b></i>
<i><b>number of occurrences</b></i>	at most once in a given element	an arbitrary number of times
<i><b>value</b></i>	always a string	can have its own children

- The string values used for attributes can serve special purposes (more on this later)

## Well-Formed XML

- In a *well-formed* XML document:
  - there is a single root element that contains all other elements
    - may optionally be preceded by an XML declaration (more on this in a moment)
  - each child element is completely nested within its parent
    - this would *not* be allowed:

```
<course><name>CS 460</name>
  <time>
    <begin>1:25</begin>
    <end>2:15</end>
  </course>
</time>
```
- The elements need not correspond to any predefined standard.
  - a separate schema is not required

## Example of an XML Document

```
<?xml version="1.0" standalone="yes"?>  ← optional declaration
<university-data> ← single root element
  <course>
    <name>CS 111</name>
    <start>10:10</start>
    <end>11:00</end>
  </course>
  <room>
    <bldg>CAS</bldg>
    <num>B12</num>
  </room>
  <course>
    <name>CS 460</name>
    <time>
      <begin>1:25</begin>
      <end>2:15</end>
    </time>
  </course>
  ...
</university-data>
```

## Specifying a Separate Schema

- XML doesn't require a separate schema.
- However, we still need one if we want programs to:
  - easily process XML documents
  - validate the contents of a given document
- The resulting schema can still be semistructured.
  - for example, can include optional components
  - more flexible than ER models and relational schema

## Special Types of Attributes

- **ID** an identifier that must be unique within the document (among *all* ID attributes – not just this attribute)
- **IDREF** a single value that is the value of an ID attribute elsewhere in the document
- **IDREFS** a *list* of ID values from elsewhere in the document

## Capturing Relationships in XML

- Option 1: store references from one element to other elements using ID, IDREF and IDREFS attributes:

```
<course cid="c20119" teachers="P123456 P567890">
  <cname>CS 111</cname>
  ...
</course>

<course cid="c20268" teachers="P123456" room="R64210">
  <cname>CS 460</cname>
  ...
</course>

<person pid="P123456" teaches="c20119 c20268">
  <pname>
    <last>Sullivan</last>
    <first>David</first>
  </pname>
</person>

<room rid="R64210">
  <name>CAS 522</name>
  ...
</room>
```

- Where have we seen something similar?

## Capturing Relationships in XML (cont.)

- Option 2: use child elements:


```
<course cid="c20119">
  <cname>CS 111</cname>
  <teacher id="P123456">David Sullivan</teacher>
  <teacher id="P567890">Tiago Januario</teacher>
  <room>CAS 522</room>
</course>

...

<person pid="P123456">
  <pname>
    <last>Sullivan</last>
    <first>David</first>
  </pname>
  <course-taught>CS 111</course-taught>
  <course-taught>CS 460</course-taught>
</person>
```

- There are pluses and minuses to each approach.
  - we'll revisit this design issue later in the course

## Many-to-Many Relationships in XML

- Consider this many-to-many relationship set:

```
graph LR; Person[Person] --- Teaches{Teaches}; Teaches --- Course[Course];
```

  - a given person can teach more than one course
  - a given course can have more than one teacher
- In the relational model, we need a separate table for these relationships: `Teaches(person_id, course_id)`
  - can't capture them in the `Person` or `Course` table. why?
- In XML, we *can* represent multi-valued attributes:
  - attributes can store a list of values (e.g., `IDREFS`)
  - an element can have multiple child elements of the same type
- Therefore, we *can* capture many-to-many relationships within the elements used for one or both of the entity sets.

## Many-to-Many Relationships in XML (cont.)

- Option 1: capture *Teaches* relationships using an `IDREFS` attribute in person and/or course elements:

```
<course cid="C20119" teachers="P123456 P567890">
  <cname>CS 111</cname>
  ...
</course>

<course cid="C20268" teachers="P123456">
  <cname>CS 460</cname>
  ...
</course>

<person pid="P123456" teaches="C20119 C20268">
  <pname>
    <last>Sullivan</last>
    <first>David</first>
  </pname>
</person>
```

## Many-to-Many Relationships in XML (cont.)

- Option 2: capture *Teaches* relationships using multiple child elements within person and/or course elements:

```
<course cid="C20119">
  <cname>CS 111</cname>
  <teacher id="P123456">David Sullivan</teacher>
  <teacher id="P567890">Tiago Januario</teacher>
</course>

...
<person pid="P123456">
  <pname>
    <last>Sullivan</last>
    <first>David</first>
  </pname>
  <course-taught>CS 111</course-taught>
  <course-taught>CS 460</course-taught>
</person>
```

## Summary: Features of an XML Document

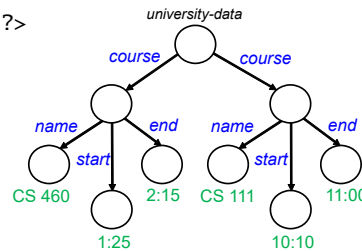
```
<?xml version="1.0" standalone="yes"?> ← optional declaration
<university-data> ← single root element
  <course cid="C20268" teacher="P123456">
    <name>CS 460</name>
    <start>1:25</start>
    <end>2:15</end>
  </course>
  <course cid="C20119" teacher="P123456" room="CAS 522">
    <name>CS 111</name><start>10:10</start><end>11:00</end>
  </course>
  <person pid="P123456"
    teaches="C20119 C20268">
    <name>
      <last>Sullivan</last>
      <first>David</first>
    </name>
  </person>
  <holiday date="04/15/2019" />
  ...
</university-data>
```

- *Elements* can have other *child elements* nested inside them.
- *Attributes* are found in the start tag of an element.
- *Simple elements* have no children or attributes.
- *Empty elements* only have a start tag (and possibly attributes)
  - use a / at end of start tag



## XML Documents as Trees

```
<?xml version="1.0" standalone="yes"?>
<university-data>
  <course><name>CS 460</name>
    <start>1:25</start>
    <end>2:15</end>
  </course>
  ...
  <course><name>CS 111</name>
    <start>10:10</start>
    <end>11:00</end>
  </course>
  ...
</university-data>
```



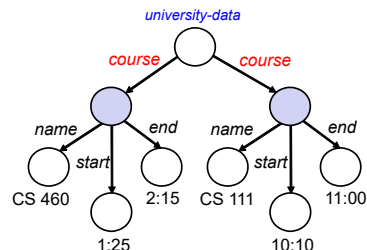
- Elements correspond to nodes in the tree.
  - root element == root node of the entire tree
  - child element == child of a node
  - leaf nodes == empty elements or ones without child elements
- Start tags are edge labels.
- Attributes and text values are data stored in the node.

## XPath Expressions

- Used to specify one or more elements or attributes by providing a path to the relevant nodes in the document tree.
  - like a pathname in a hierarchical filesystem
- Expressions that begin with / specify a path that begins at the root of the document.

**/university-data/course**

- selects all **course** elements that are children of the **university-data** root element



## XPath Expressions (cont.)

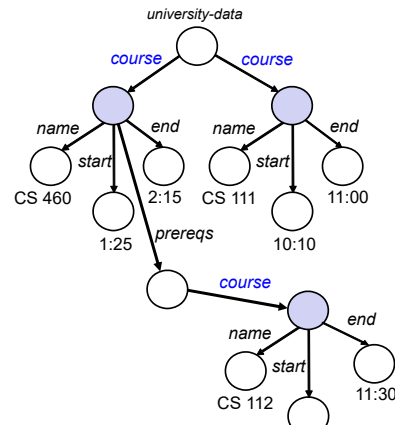
- Used to specify one or more elements or attributes by providing a path to the relevant nodes in the document tree.
  - like a pathname in a hierarchical filesystem
- Expressions that begin with / specify a path that begins at the root of the document.

/university-data/course

- selects all course elements that are children of the university-data root element
- Expressions that begin with // select elements from *anywhere* in the document.

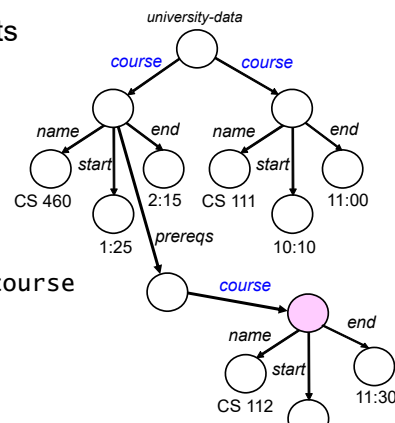
//course

- selects *all* course elements, regardless of where they appear



## XPath Expressions (cont.)

- What path expression could we use to get only course elements that capture prerequisites?
  - i.e., ones that are children of a prereqs element (like the pink node below)
  - not including course elements from elsewhere
  - assume that all prereqs elements have the same level of nesting as the one shown here



- //prereqs/course
- /university-data/course/prereqs/course
- either A or B would work
- neither A nor B would work

## XPath Expressions (cont.)

- Attribute names are preceded by an @ symbol:
  - example: `//person/@pid`
    - selects all `pid` attributes of all `person` elements

## Predicates in XPath Expressions

```
<course cid="C20119" teacher="P123456" room="CAS 522">  
  <name>CS 111</name><start>10:10</start><end>11:00</end>  
</course>  
<course cid="C20268" teacher="P123456">  
  <name>CS 460</name><start>1:25</start><end>2:15</end>  
</course>  
<course cid="C20757" teacher="P778787" room="COM 101">  
  <name>CS 112</name><start>11:30</start><end>12:45</end>  
</course>
```

---

- Example:  
`//course[@teacher="P123456"]`
  - selects all `course` elements with a `teacher` attribute of "P123456"
- In general, predicates are:
  - surrounded by square brackets
  - applied to elements selected by the preceding path expression

## Predicates in XPath Expressions (cont.)

```
<course cid="C20119" teacher="P123456" room="CAS 522">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course cid="C20268" teacher="P123456">
  <name>CS 460</name><start>1:25</start><end>2:15</end>
</course>

<course cid="C20757" teacher="P778787" room="COM 101">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

---

`//course[name="CS 460"]`

- selects all course elements with a name child element whose value is "CS 460"

➔ `<course cid="C20268" teacher="P123456">
 <name>CS 460</name><start>1:25</start><end>2:15</end>
</course>`

`//course[start="1:25"]/name`

## Predicates in XPath Expressions (cont.)

```
<course cid="C20119" teacher="P123456" room="CAS 522">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course cid="C20268" teacher="P123456">
  <name>CS 460</name><start>1:25</start><end>2:15</end>
</course>

<course cid="C20757" teacher="P778787" room="COM 101">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

---

`//course[name="CS 112"]/@room`

## Predicates in XPath Expressions (cont.)

```
<course cid="C20119" teacher="P123456" room="CAS 522">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course cid="C20268" teacher="P123456">
  <name>CS 460</name><start>1:25</start><end>2:15</end>
</course>

<course cid="C20757" teacher="P778787" room="COM 101">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

---

- We can test for the presence of an element or attribute:
  - example: `//course[@room]`
    - selects all course elements that have a specified room attribute
- We can use the `contains()` function for substring matching:
  - example: `//course[contains(name, "CS")]`

## Predicates in XPath Expressions (cont.)

```
<room>
  <building>CAS</building><room_num>212</room_num>
</room>
<room>
  <building>CAS</building><room_num>100</room_num>
</room>
<room>
  <building>KCB</building><room_num>101</room_num>
</room>
<room>
  <building>PSY</building><room_num>228D</room_num>
</room>
```

---

- Use `.` to represent nodes selected by the preceding path.  
`//room/room_num[. < 200]`
  - selects all room\_num elements with values < 200
- `//room[room_num < 200]`
  - selects all room elements with room\_num child values < 200

## Predicates in XPath Expressions (cont.)

```
<room>
  <building>CAS</building><room_num>212</room_num>
</room>
<room>
  <building>CAS</building><room_num>100</room_num>
</room>
<room>
  <building>KCB</building><room_num>101</room_num>
</room>
<room>
  <building>PSY</building><room_num>228D</room_num>
</room>
```

- Use `..` to represent the *parents* of the nodes selected by the preceding path.

`//room_num[../building="CAS"]` → `<room_num>212</room_num>`  
`<room_num>100</room_num>`

- selects all `room_num` elements for parent elements that also have a `building` child whose value is "CAS"
- this is similar: `//room[building="CAS"]/room_num`

## Predicates in XPath Expressions (cont.)

```
<room>
  <building>CAS</building><room_num>212</room_num>
</room>
<office>
  <building>CAS</building><room_num>100</room_num>
</office>
<room>
  <building>KCB</building><room_num>101</room_num>
</room>
<office>
  <building>PSY</building><room_num>228D</room_num>
</office>
```

- If there are *other* elements that also have nested `room_num` and `building` elements (like `office` elements above)
  - `//room_num[../building="CAS"]` will get `room_num` children from *all* such elements with a `building` child = "CAS"
  - `//room[building="CAS"]/room_num` will only get `room_num` children from *room* elements with a `building` child = "CAS"

### What would this expression select?

```
<course cid="C20119" teacher="P123456" room="CAS 522">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course cid="C20268" teacher="P123456">
  <name>CS 460</name><start>1:25</start><end>2:15</end>
</course>

<course cid="C20757" teacher="P778787" room="COM 101">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

---

`//end[../@teacher="P778787"]`

- A. `<course cid="C20757" teacher="P778787" room="COM 101">
 <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>`
- B. `<course teacher="P778787"><end>12:45</end></course>`
- C. `<end>12:45</end>`
- D. none of these

### Which of these would select the highlighted element?

```
<course id="C20119" teacher="P123456" room="011">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course id="C20268" teacher="P123456">
  <name>CS 460</name><start>13:25</start><end>14:15</end>
</course>

<course id="C20757" teacher="P778787" room="789">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

- 
- A. `//course[start = "10:10"]`
  - B. `//course/start[. = "10:10"]`
  - C. `/course/start[. = "10:10"]`
  - D. `/course[start = "10:10"]`
  - E. `//start[../end = "11:00"]`

## XQuery and FLWOR Expressions

- XQuery is to XML documents what SQL is to relational tables.
- XPath is a subset of XQuery.
  - every XPath expression is a valid XQuery query
- In addition, XQuery provides FLWOR expressions.
  - similar to SQL SELECT commands
  - syntax: 

```
for $fvar1 in xpath_f1,
    $fvar2 in xpath_f2, ...
let $lvar1 := xpath_l1, ...
where condition
order by xpath_o1, ...
return result-format
```

## FLWOR Expressions

```
for $r in //room[contains(name, "CAS")],
    $c in //course
let $e := //person[contains(@enrolled, $c/@id)]
where $c/@room = $r/@id and count($e) > 20
order by $r/name
return ($r/name, $c/name)
```

- The for clause is like the FROM clause in SQL.
  - the query iterates over all combinations of values from its XPath expressions (like Cartesian product!)
  - query above looks at combos of CAS rooms and courses
- The let clause is applied to each combo. from the for clause.
  - each variable gets the *full set* produced by its XPath expr.
  - unlike a for clause, which assigns the results of the XPath expression one value at a time
  - can then use aggregate functions on the set: count, sum, avg, min, max



## FLWOR Expressions (cont.)

```
for $r in //room[contains(name, "CAS")],  
    $c in //course  
let $e := //person[contains(@enrolled, $c/@id)]  
where $c/@room = $r/@id and count($e) > 20  
order by $r/name  
return ($r/name, $c/name)
```

- The where clause is applied to the results of for and let.
  - note: predicates with aggregate functions can be in the where clause (unlike SQL, which uses HAVING instead)
- If the where clause is true, the return clause is applied.
- The order by clause can be used to sort the results.

## Note: The Location of Predicates

```
for $r in //room[contains(name, "CAS")],  
    $c in //course  
let $e := //person[contains(@enrolled, $c/@id)]  
where $c/@room = $r/@id and count($e) > 20  
order by $r/name  
return ($r/name, $c/name)
```

- It's sometimes possible to move components of the where clause up into the for clause as predicates.
- In the above query, we could move the first condition up:

```
for $r in //room[contains(name, "CAS")],  
    $c in //course[@room = $r/@id]  
let $e := //person[contains(@enrolled, $c/@id)]  
where count($e) > 20  
order by $r/name  
return ($r/name, $c/name)
```

## return Clause

```
<course cid="C20119" teacher="P123456" room="CAS 522">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course cid="C20268" teacher="P123456">
  <name>CS 460</name><start>13:25</start><end>14:15</end>
</course>

<course cid="C20757" teacher="P778787" room="COM 101">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

---

- Like the SELECT clause in SQL.
- Can be used to perform something like a projection.

```
for $c in //course
where $c/start > "11:00"
return $c/name
```

```
➔ <name>CS 460</name>
   <name>CS 112</name>
```

## return Clause (cont.)

- Another example:

```
for $c in //course
where $c/start > "11:00"
return ($c/name, $c/start)
```
- To return multiple elements/attributes for each item:
  - separate them using a comma
  - surround them with parentheses, because the comma operator has higher precedence and would end the FLWOR

## Reshaping the Output

- We can reshape the output by constructing new elements:

```
for $c in //course
where $c/start > "11:00"
return <after11-course>
      { string($c/name), " - ", string($c/start) }
      </after11-course>
```
- the `string()` function gives just the value of a simple element
  - without its start and end tags
- when constructing a new element, need curly braces around expressions that should be evaluated
  - otherwise, they'll be treated as literal text that is the value of the new element
- here again, use commas to separate items
  - because we're using `string()`, there are no newlines after the name and start time
  - we use a string literal to put something between them

## Reshaping the Output (cont.)

```
<course id="C20119" teacher="P123456" room="011">
  <name>CS 111</name><start>10:10</start><end>11:00</end>
</course>

<course id="C20268" teacher="P123456">
  <name>CS 460</name><start>13:25</start><end>14:15</end>
</course>

<course id="C20757" teacher="P778787" room="789">
  <name>CS 112</name><start>11:30</start><end>12:45</end>
</course>
```

---

```
for $c in //course
where $c/start > "11:00"
return <after11-course>
      { string($c/name), " - ", string($c/start) }
      </after11-course>
```

- The result will look something like this:

```
<after11-course>CS 460 - 13:25</after11-course>
<after11-course>CS 112 - 11:30</after11-course>
```

## for vs. let

- Here's an example that illustrates how they differ:

```
for $d in document("depts.xml")/depts/dept/deptno
let $e := document("emps.xml")/emps/emp[deptno = $d]
where count($e) >= 10
return <big-dept>
{
  $d,
  <headcount>{ count($e) }</headcount>,
  <avgsal>{ avg($e/salary) }</avgsal>
}
</big-dept>
```

- the for clause assigns to \$d one deptno element at a time
- for each value of \$d, the let clause assigns to \$e the *full set* of emp elements from that department
- the where clause limits us to depts with >= 10 employees
- we create a new element for each such dept.
- we use functions on the set \$e and on values derived from it

## Nested Queries

- We can nest FLWOR expressions:
  - example: group together each instructor's person info. with the courses taught by him/her

```
for $p in //person[@teaches]
return <instructor-courses>
{ $p,
  for $c in //course
  where contains($p/@teaches, $c/@id)
  return $c
}
</instructor-courses>
```

- result:

```
<instructor-courses>
  <person id="P123456" teaches="C20119 C20268">
    <name><last>Sullivan</last>...</name>
  </person>
  <course id="C20119" teacher="P123456">
    <name>CS 111</name> ...
  </course>
  ...
</instructor-courses>
...
```

## Reformatting the Results of the Previous Query

```
for $p in //person[@teaches]
return
  <instructor>
  { <name>
    { string($p/pname/first), " ", string($p/pname/last) }
    </name>,


    for $c in //course
    where contains($p/@teaches, $c/@id)
    return <course>{ string($c/name) } </course>
  }
</instructor>
```

- result:

```
<instructor>
  <name>David Sullivan</name>
  <course>CS 111</course>
  <course>CS 460</course>
  ...
</instructor>
...
```

## Extra Practice: Write a FLWOR Query

```
<course id="C20119">
  <name>CS 111</name>...
</course>
...
<person enrolled="C20119">
  <name><last>Hopper</last>
    <first>Grace</first>
  </name>
</person>
<person
  enrolled="C20119 C20268">
  <name><first>Ted</first>
    <last>Codd</last>
  </name>
</person>
...
```



```
<cs_course>
  <name>CS 111</name>
  <student>Grace Hopper</student>
  <student>Ted Codd</student>
  ...
</cs_course>
...
```

- For each CS course, output a `cs_course` element with:
  - a child element for the name of the course
  - child elements of type `student` with the *full name* of a student enrolled in the course

## Extra Practice: Write a FLWOR Query

```
<course id="C20119">
  <name>CS 111</name>...
</course>
...
<person enrolled="C20119">
  <name><last>Hopper</last>
    <first>Grace</first>
  </name>
</person>
<person
  enrolled="C20119 C20268">
  <name><first>Ted</first>
    <last>Codd</last>
  </name>
</person>
...
```



```
<cs_course>
  <name>CS 111</name>
  <student>Grace Hopper</student>
  <student>Ted Codd</student>
  ...
</cs_course>
...
```

```
for $c in //course
let
where contains($c/name, "CS")
order by
return
```


## An Incorrect Version

```
for $c in //course,
    $p in //person
where contains($c/name, "CS")
and contains($p/@enrolled, $c/@id)
return <cs_course> {
    $c/name,
    <student> {
        string($p/name/first),
        string($p/name/last)
    } </student>
} </cs_course>
```

- What does it produce?

## What if we only wanted course names and # students?

```
<course id="C20119">
  <name>CS 111</name>...
</course>
...
<person enrolled="C20119">
  <name><last>Hopper</last>
    <first>Grace</first>
  </name>
</person>
...
```



```
<cs_course>
  <name>CS 111</name>
  <num_students>400</num_students>
</cs_course>
...
```

```
for $c in //course[contains(name, "CS")]
let $students := //person[contains(@enrolled, $c/@id)]
return <cs_course> {

} </cs_course>
```

- Would courses with no enrolled students be included?

# Transactions and Schedules

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## Transactions: An Overview

- A *transaction* is a sequence of operations that is treated as a single logical operation. (abbreviation = txn)

- Example: a balance transfer

*transaction T1*

```
read balance1  
write(balance1 - 500)  
read balance2  
write(balance2 + 500)
```

- Transactions are *all-or-nothing*: all of a transaction's changes take effect or none of them do.



## Executing a Transaction

1. Issue a command indicating the start of the transaction.
2. Perform the operations in the transaction.
  - in SQL: SELECT, UPDATE, etc.
3. End the transaction in one of two ways:
  - *commit it*: make all of its results visible and persistent
    - *all* of the changes happen
  - *roll it back / abort it*: undo all of its changes, returning to the state before the transaction began
    - *none* of the changes happen

## Why Do We Need Transactions?

- To prevent problems stemming from system failures.
  - example: a balance transfer

```
read balance1
write(balance1 - 500)
CRASH
read balance2
write(balance2 + 500)
```

## Why Do We Need Transactions? (cont.)

- To ensure that operations performed by different users don't overlap in problematic ways.
- example: this should *not* be allowed

user 1

```
read balance1  
write(balance1 - 500)
```

```
read balance2  
write(balance2 + 500)
```

user 2

```
read balance1  
read balance2  
if (balance1+balance2 < min)  
    write(balance1 - fee)
```

## ACID Properties

- A transaction has the following “ACID” properties:
  - A**tomicity: either all of its changes take effect or none do
  - C**onsistency preservation: its operations take the database from one consistent state to another
    - consistent = satisfies the constraints from the schema, and any other expectations about the values in the database
  - I**solation: it is not affected by and does not affect other concurrent transactions
  - D**urability: once it commits, its changes survive failures
- The user plays a role in consistency preservation.
  - ex: add to balance2 the same amnt subtracted from balance1
  - the DBMS helps by rejecting changes that violate constraints
  - guaranteeing the other properties also preserves consistency

## Atomicity and Durability

- These properties are guaranteed by the part of the system that performs logging and recovery.
- After a crash, the recovery subsystem:
  - *redoes* as needed all changes by committed txns
  - *undoes* as needed all changes by uncommitted txns
    - restoring the old values of the changed data items
- We'll look more at logging and recovery later in the semester.

## Isolation

- To guarantee isolation, the DBMS has to prevent problematic interleavings like the one we saw earlier:

transaction T1

```
read balance1
write(balance1 - 500)
```

```
read balance2
write(balance2 + 500)
```

transaction T2

```
read balance1
read balance2
if (balance1+balance2 < min)
    write(balance1 - fee)
```

- One possibility: enforce a *serial schedule* (no interleaving).

```
read balance1
write(balance1 - 500)
read balance2
write(balance2 + 500)
```

or

```
read balance1
read balance2
if (balance1+balance2 < min)
    write(balance1 - fee)
```

```
read balance1
read balance2
if (balance1+balance2 < min)
    write(balance1 - fee)
```

```
read balance1
write(balance1 - 500)
read balance2
write(balance2 + 500)
```

- doesn't make sense for performance reasons. why?

## Serializability

- A *serializable schedule* is one whose effects are equivalent to the effects of some serial schedule. For example:

schedule 1	schedule 2 (a serial schedule)
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>transaction T1</p> <pre>read X X = X + 5 write X  read Y Y = Y + 6 write Y</pre> </div> <div style="width: 45%;"> <p>transaction T2</p> <pre>read Y Y = Y + 2 write Y  read X X = X + 10 write X</pre> </div> </div>	<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>transaction T1</p> <pre>read X X = X + 5 write X read Y Y = Y + 6 write Y</pre> </div> <div style="width: 45%;"> <p>transaction T2</p> <pre>read Y Y = Y + 2 write Y read X X = X + 10 write X</pre> </div> </div>
<ul style="list-style-type: none"> <li>X is increased by 15</li> <li>Y is increased by 8</li> </ul>	<ul style="list-style-type: none"> <li>X is increased by 15</li> <li>Y is increased by 8</li> </ul>

- Because the effects of schedule 1 are equivalent to the effects of a serial schedule (schedule 2), schedule 1 is *serializable*.

## Not All Schedules Are Serializable!

- Schedule 1 is a special case.

schedule 1	schedule 2 (a serial schedule)
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>transaction T1</p> <pre>read X X = X + 5 write X  read Y Y = Y + 6 write Y</pre> </div> <div style="width: 45%;"> <p>transaction T2</p> <pre>read Y Y = Y + 2 write Y  read X X = X + 10 write X</pre> </div> </div>	<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>transaction T1</p> <pre>read X X = X + 5 write X read Y Y = Y + 6 write Y</pre> </div> <div style="width: 45%;"> <p>transaction T2</p> <pre>read Y Y = Y + 2 write Y read X X = X + 10 write X</pre> </div> </div>

- both T1 and T2 use addition to change the values of X and Y
- addition is commutative
- thus, the order in which T1 and T2 make their changes doesn't matter!

## Not All Schedules Are Serializable! (cont.)

- If we change T2 so that it uses multiplication, the original interleaving is no longer serializable.

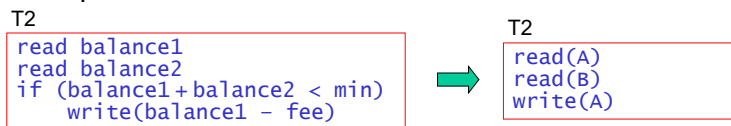
schedule 1B	schedule 2B	schedule 3
<p>transaction T1</p> <pre>read X X = X + 5 write X  read Y Y = Y + 6 write Y</pre> <p>transaction T2B</p> <pre>read Y Y = Y * 2 write Y  read X X = X * 10 write X</pre>	<p>transaction T1</p> <pre>read X X = X + 5 write X read Y Y = Y + 6 write Y</pre> <p>transaction T2B</p> <pre>read Y Y = Y * 2 write Y read X X = X * 10 write X</pre>	<p>transaction T2B</p> <pre>read Y Y = Y * 2 write Y read X X = X * 10 write X</pre> <p>transaction T1</p> <pre>read X X = X + 5 write X read Y Y = Y + 6 write Y</pre>
<ul style="list-style-type: none"> <li><math>X \rightarrow 10(X + 5)</math></li> <li><math>Y \rightarrow 2Y + 6</math></li> </ul>	<ul style="list-style-type: none"> <li><math>X \rightarrow 10(X + 5)</math></li> <li><math>Y \rightarrow 2(Y + 6)</math></li> </ul>	<ul style="list-style-type: none"> <li><math>X \rightarrow 10X + 5</math></li> <li><math>Y \rightarrow 2Y + 6</math></li> </ul>

Because the effects schedule 1B are **not** equivalent to the effects of *any* serial schedule of T1 + T2B, schedule 1B is **not** serializable.

## Conventions for Schedules

- We abstract all transactions into sequences of reads and writes.

- example:



- we use a different variable for each data item that is read or written
- we ignore:
  - the actual meaning and values of the data items
  - the nature of the changes that are made to them
  - things like comparisons that a transaction does in its own address space

### Conventions for Schedules (cont.)

- We can represent a schedule using a table.
  - one column for each transaction
  - operations are performed in the order given by reading from top to bottom

$T_1$	$T_2$
$r(A)$	$r(B)$
$w(A)$	$r(A)$
	$w(A)$

- We can also write a schedule on a single line using this notation:
  - $r_i(A)$  = transaction  $T_i$  reads  $A$
  - $w_i(A)$  = transaction  $T_i$  writes  $A$
- example for the table above:  
 $r_1(A); r_2(B); w_1(A); r_2(A); w_2(A)$

### Serializability of Abstract Schedules

- How can we determine if an abstract schedule is serializable?
  - given that we don't know the exact nature of the changes made to the data
- We'll focus on the following:
  - which transaction is the last one to write each data item
    - that's the version that will be seen after the schedule
  - which version of a data item is read by each transaction
    - assume that if a transaction reads a different version, its subsequent behavior might be different

## Conflicts in Schedules

- A *conflict* is a pair of actions that can't be swapped without potentially changing the behavior of one or more transactions.
- Examples in the schedule at right:
  - $w_1(A)$  and  $r_2(A)$ 
    - swapping them leads T2 to read a different value of A
    - this may cause T2 to behave differently
  - $w_2(B)$  and  $w_1(B)$ 
    - swapping them means later readers of B will see a different value of B
    - this may cause them to behave differently
  - $r_1(B)$  and  $r_2(B)$  do *not* conflict. why?

T <sub>1</sub>	T <sub>2</sub>
$r(B)$	$r(B)$
$w(A)$	$r(A)$
	$w(A)$
	$w(B)$
$w(B)$	...
...	...

## Which Actions Conflict?

- Actions in different transactions conflict if:
  - they involve the same data item
  - at least one of them is a write
- Pairs of actions that *do* conflict (assume  $i \neq j$ ):
  - $w_i(A); r_j(A)$  the value read by T<sub>j</sub> may change if we swap them
  - $r_i(A); w_j(A)$  the value read by T<sub>i</sub> may change if we swap them
  - $w_i(A); w_j(A)$  subsequent reads may change if we swap them
  - two actions from the same txn (their order is fixed by the client)
- Pairs of actions that *don't* conflict:
  - $r_i(A); r_j(A)$  – two reads of the same item by different txns
  - $r_i(A); r_j(B)$
    - $r_i(A); w_j(B)$
    - $w_i(A); r_j(B)$
    - $w_i(A); w_j(B)$

} operations on two *different* items by different txns

## Conflict Serializability

- Rather than ensuring serializability, it's easier to ensure a stricter condition known as *conflict serializability*.
- A schedule is *conflict serializable* if we can turn it into a serial schedule by swapping pairs of *consecutive* actions that *don't* conflict.

### Example of a Conflict Serializable Schedule

$r_2(A); r_1(A); r_2(B); w_1(A); w_2(B); r_1(B); w_1(B)$   
 $r_2(A); r_2(B); r_1(A); w_1(A); w_2(B); r_1(B); w_1(B)$   
 $r_2(A); r_2(B); r_1(A); w_2(B); w_1(A); r_1(B); w_1(B)$   
 $r_2(A); r_2(B); w_2(B); r_1(A); w_1(A); r_1(B); w_1(B)$

T <sub>1</sub>	T <sub>2</sub>		T <sub>1</sub>	T <sub>2</sub>
	r(A)			r(A)
r(A)	r(B)			r(B)
w(A)	w(B)	→	r(A)	w(B)
r(B)			w(A)	
w(B)			r(B)	
			w(B)	

- The final schedule is referred to as an *equivalent serial schedule*.
  - *serial* – all of T<sub>2</sub>, followed by all of T<sub>1</sub>
  - *equivalent* – it produces the same results as the original schedule



## Testing for Conflict Serializability

- Because conflicting pairs of actions can't be swapped, they impose constraints on the order of the txns in an equivalent serial schedule.
  - example: if a schedule includes  $w_1(A) \dots r_2(A)$ , T1 must come before T2 in any equivalent serial schedule
- To test for conflict serializability:
  - determine all such constraints
  - make sure they aren't contradictory
- Example:  $r_2(A); r_1(A); r_2(B); w_1(A); w_2(B); r_1(B); w_1(B)$ 

$r_2(A) \dots w_1(A)$  means T2 must come before T1

$r_2(B) \dots w_1(B)$  means T2 must come before T1

$w_2(B) \dots r_1(B)$  means T2 must come before T1

$w_2(B) \dots w_1(B)$  means T2 must come before T1

}

no contradictions,  
so this schedule is  
equivalent to the  
serial ordering T2;T1

Thus, this schedule *is* conflict serializable.

## Testing for Conflict Serializability (cont.)

- What about this schedule?  $r_1(B); w_1(B); r_2(B); r_2(A); w_2(A); r_1(A)$
- **How many** of the following pairs of actions from this schedule conflict?
 

$r_1(B); r_2(B)$

$r_1(B); w_2(A)$

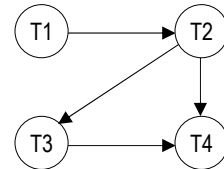
$w_1(B); r_2(B)$

$r_2(B); r_2(A)$

$w_2(A); r_1(A)$

## Using a Precedence Graph

- Tests for conflict serializability can use a *precedence graph*.
  - the vertices/nodes are the transactions
  - add an edge for each precedence constraint:  $T1 \rightarrow T2$  means  $T1$  must come before  $T2$  in an equivalent serial schedule
- Example:  $r_2(A); r_3(A); r_1(B); w_4(A); w_2(B); r_3(B)$ 
  - $r_2(A) \dots w_4(A)$  means  $T2 \rightarrow T4$
  - $r_3(A) \dots w_4(A)$  means  $T3 \rightarrow T4$
  - $r_1(B) \dots w_2(B)$  means  $T1 \rightarrow T2$
  - $w_2(B) \dots r_3(B)$  means  $T2 \rightarrow T3$



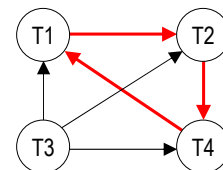
- After the graph is constructed, we test for *cycles* (i.e., paths of the form  $A \rightarrow \dots \rightarrow A$ ).
  - if the graph is acyclic, the schedule is conflict serializable
    - use the constraints to determine an equivalent serial schedule (in this case:  $T1; T2; T3; T4$ )
  - if there's a cycle, the schedule is *not* conflict serializable

## More Examples

- Determine if the following are conflict serializable:

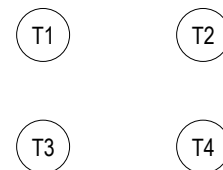
- $r_1(A); r_3(A); r_1(B); w_2(A); r_4(A); w_2(B); w_3(C); w_4(C); r_1(C)$

$r_1(A) \dots w_2(A)$  means  $T1 \rightarrow T2$   
 $r_3(A) \dots w_2(A)$  means  $T3 \rightarrow T2$   
 $r_1(B) \dots w_2(B)$  means  $T1 \rightarrow T2$   
 $w_2(A) \dots r_4(A)$  means  $T2 \rightarrow T4$   
 $w_3(C) \dots w_4(C)$  means  $T3 \rightarrow T4$   
 $w_3(C) \dots r_1(C)$  means  $T3 \rightarrow T1$   
 $w_4(C) \dots r_1(C)$  means  $T4 \rightarrow T1$



cycle:  $T1 \rightarrow T2 \rightarrow T4 \rightarrow T1$   
 not conflict serializable

- $r_1(A); w_3(A); w_4(A); w_2(B); r_2(B); r_1(B); r_4(B)$



## Conflict Serializability vs. Serializability

- Conflict serializability is a *sufficient* condition for serializability, but it's not a *necessary* condition.
  - all conflict serializable schedules are serializable
  - not all serializable schedules are conflict serializable
- Consider the following schedule involving three txns:
- It *is not* conflict serializable, because:
  - $r_2(A) \dots w_1(A)$  means  $T_2 \rightarrow T_1$
  - $w_1(A) \dots w_2(A)$  means  $T_1 \rightarrow T_2$
- It *is* serializable because its effects are equivalent to either  $T_1; T_2; T_3$  or  $T_2; T_1; T_3$  why?

T <sub>1</sub>	T <sub>2</sub>	T <sub>3</sub>
r(A)	r(A)	
w(A)	r(B)	
	w(A)	r(B)
		w(A)

## Recoverability

- While serializability is important, it isn't enough for full isolation.
- Consider the serializable schedule at right.
  - includes "c" actions that indicate when the transactions commit
- Imagine that the system crashes:
  - after* T<sub>1</sub>'s commit
  - before* T<sub>2</sub>'s commit
- During recovery from the crash, the system:
  - keeps* all of T<sub>1</sub>'s changes, because it committed before the crash
  - undoes* all of T<sub>2</sub>'s changes, because it didn't commit before the crash

T <sub>1</sub>	T <sub>2</sub>
r(B)	r(A)
w(A)	w(B)
c	
CRASH	c

## Recoverability (cont.)

- This is problematic!
  - T1 reads T2's write of B
  - it then performs actions that may be based on the new value of B
  - during recovery from the crash, T2 is rolled back
    - B's old value is restored
  - it's possible T1 would have behaved differently if it had read B's old value
  - it's too late to roll back T1, because it has already committed!
- We say that this schedule is *unrecoverable*.
  - if a crash occurs between the two commits, the process of recovering from the crash could lead to problematic results

T <sub>1</sub>	T <sub>2</sub>
r(B) w(A) c	r(A) w(B)
CRASH	
	c

## Recoverability (cont.)

- In a *recoverable* schedule, if T1 reads a value written by T2, T1 must commit *after* T2 commits.
- This allows us to safely recover from a crash at any point:

unrecoverable		recoverable	
T <sub>1</sub>	T <sub>2</sub>	T <sub>1</sub>	T <sub>2</sub>
r(B) w(A) c	r(A) w(B)	r(B) w(A) c	r(A) w(B) c

T <sub>1</sub>	T <sub>2</sub>
r(B) w(A) c	r(A) w(B) c
CRASH	

the reader of the changed value survives the crash, but so does the writer

T <sub>1</sub>	T <sub>2</sub>
r(B) w(A) c	r(A) w(B) c
CRASH	

the writer of the changed value is rolled back, but so is the reader

T <sub>1</sub>	T <sub>2</sub>
r(B) w(A) c	r(A) w(B) c
CRASH	

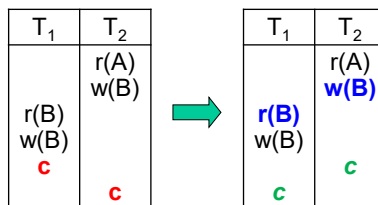
the reader is rolled back and the writer isn't, but that's okay since the writer didn't base its actions on what the reader did

## Dirty Reads and Cascading Rollbacks

- *Dirty data* is data written by an uncommitted txn.
  - it remains dirty until the txn is either:
    - committed: in which case the data is no longer dirty and it is safe for other txns to read it
    - rolled back: in which case the write of the dirty data is undone
- A *dirty read* is a read of dirty data.
- Dirty reads can lead to *cascading rollbacks*.
  - if the writer of the dirty data is rolled back, the reader must be, too

## Dirty Reads and Cascading Rollbacks (cont.)

- We made our earlier schedule recoverable by switching the order of the commits:



- Could the revised schedule lead to a cascading rollback?
  
  
  
- To get a *cascadeless* schedule, don't allow dirty reads.

## Goals for Schedules

- We want to ensure that schedules of concurrent txns are:
  - *serializable*: equivalent to some serial schedule
  - *recoverable*: ordered so that the system can safely recover from a crash or undo an aborted transaction
  - *cascadeless*: ensure that rolling back one transaction does not produce a series of *cascading rollbacks*
- To achieve these goals, we use some type of *concurrency control mechanism*.
  - *controls* the actions of *concurrent* transactions
  - prevents problematic interleavings

## Extra Practice

- Is the schedule at right:
  - conflict serializable?

T <sub>1</sub>	T <sub>2</sub>
	r(B)
r(B)	
w(A)	w(B)
	r(A)
c	c

- serializable?
- recoverable?
- cascadeless?

### Extra Practice

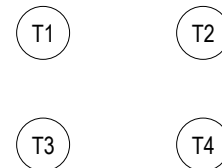
- What scenarios involving the schedule at right could produce cascading rollbacks?

T <sub>1</sub>	T <sub>2</sub>	T <sub>3</sub>
r(B) w(A)	r(C) w(B)	w(C)
...	...	r(A) ...

### Is This Schedule Conflict Serializable?

- Draw the precedence graph to find out!

$w_1(A); r_2(B); r_2(A); r_4(A); w_2(B); r_4(B); w_4(C); r_3(D); w_3(C)$



- Yes. It is equivalent to the serial schedule T1;T2;T3;T4
- Yes. It is equivalent to the serial schedule T1;T2;T4;T3
- No. The graph includes the cycle T1 → T4 → T2 → T1
- No. The graph includes the cycle T1 → T2 → T4 → T1

### What If We Add This Write?

- Draw the precedence graph to find out!

$w_1(A)$ ;  $r_2(B)$ ;  $r_2(A)$ ;  $r_4(A)$ ;  $w_2(B)$ ;  $r_4(B)$ ;  $w_4(C)$ ;  $r_3(D)$ ;  $w_3(C)$ ;  **$w_1(D)$**

T1

T2

T3

T4



## Concurrency Control I: Locking

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Goals for Schedules

- We want to ensure that schedules of concurrent txns are:
  - *serializable*: equivalent to some serial schedule
  - *recoverable*: ordered so that the system can safely recover from a crash or undo an aborted transaction
  - *cascadeless*: ensure that an abort of one transaction does not produce a series of *cascading rollbacks*
- To achieve these goals, we use some type of *concurrency control mechanism*.
  - *controls* the actions of *concurrent* transactions
  - prevents problematic interleavings

## Locking

- Locking is one way to provide concurrency control.
- Involves associating one or more *locks* with each *database element*.
  - each page
  - each record
  - possibly even each collection

## Locking Basics

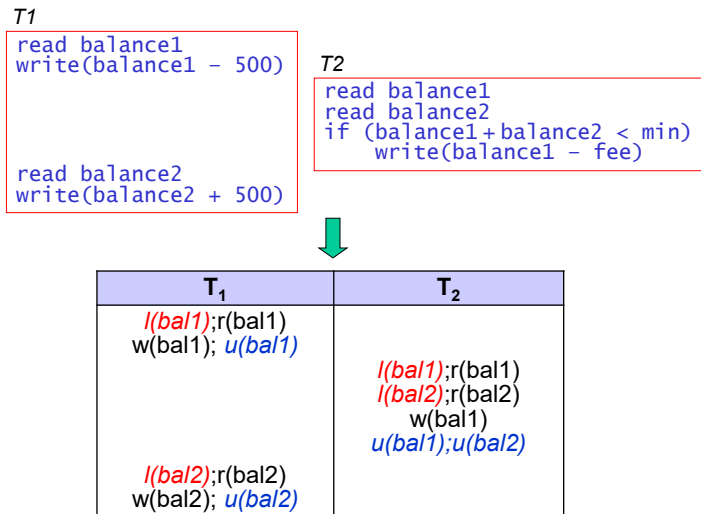
- A transaction must **request and acquire a lock** for a data element before it can access it.

T <sub>1</sub>	T <sub>2</sub>
l(X) r(X)  w(X) u(X)	l(X) <b>denied; wait for T1</b>  l(X) <b>granted</b> r(X) u(X)

- In our initial scheme, every lock can be held by only one txn at a time.
- As necessary, the DBMS:
  - **denies** lock requests for elements that are currently locked
  - makes the requesting transaction wait
- A transaction **unlocks an element** when it's done with it.
- After the unlock, the DBMS can grant the lock to a waiting txn.
  - we'll show a **second lock request** when the lock is granted

## Locking and Serializability

- Just having locks isn't enough to guarantee serializability.
- Example: our problematic schedule can still be carried out.



## Two-Phase Locking (2PL)

- One way to ensure serializability is *two-phase locking (2PL)*.
- 2PL requires that *all* of a txn's lock actions come before *all* its unlock actions.
- Two phases:
  - lock-acquisition phase:  
a txn acquires locks, but it doesn't release any
  - lock-release phase:  
once a txn releases a lock, it can't acquire any new ones
- Reads and writes can occur in both phases.
  - provided that a txn holds the necessary locks
- 2PL is *per-transaction*.
  - one txn could be in its lock-release phase  
while another txn is still in its lock-acquisition phase

## Two-Phase Locking (2PL) (cont.)

- In our earlier example, T1 does *not* follow the 2PL rule.

T <sub>1</sub>	T <sub>2</sub>
l(bal1);r(bal1) w(bal1); <b>u(bal1)</b>	l(bal1);r(bal1) l(bal2);r(bal2) w(bal1) u(bal1);u(bal2)
<b>l(bal2)</b> ;r(bal2) w(bal2); u(bal2)	

2PL would prevent this interleaving.

- More generally, 2PL produces conflict serializable schedules.

## An Informal Argument for 2PL's Correctness

- Consider schedules involving only two transactions.  
To get one that is *not* conflict serializable, we need:
  - at least one conflict that requires T1 → T2
    - T1 operates first on the data item in this conflict
    - T1 must unlock it before T2 can lock it: u<sub>1</sub>(A) .. l<sub>2</sub>(A)
  - at least one conflict that requires T2 → T1
    - T2 operates first on the data item in this conflict
    - T2 must unlock it before T1 can lock it: u<sub>2</sub>(B) .. l<sub>1</sub>(B)
- Consider all of the ways these pairs of actions could be ordered:
  - .. u<sub>1</sub>(A) .. l<sub>2</sub>(A) .. u<sub>2</sub>(B) .. l<sub>1</sub>(B) ..
  - .. u<sub>2</sub>(B) .. l<sub>1</sub>(B) .. u<sub>1</sub>(A) .. l<sub>2</sub>(A) ..
  - .. u<sub>1</sub>(A) .. u<sub>2</sub>(B) .. l<sub>2</sub>(A) .. l<sub>1</sub>(B) ..
  - .. u<sub>2</sub>(B) .. u<sub>1</sub>(A) .. l<sub>1</sub>(B) .. l<sub>2</sub>(A) ..
  - .. u<sub>1</sub>(A) .. u<sub>2</sub>(B) .. l<sub>1</sub>(B) .. l<sub>2</sub>(A) ..
  - .. u<sub>2</sub>(B) .. u<sub>1</sub>(A) .. l<sub>2</sub>(A) .. l<sub>1</sub>(B) ..
  - none of these are possible under 2PL, because they require at least one txn to lock after unlocking.

## The Need for Different Types of Locks

- With only one type of lock, overlapping transactions can't read the same data item, even though two reads don't conflict.
- To get around this, use more than one *mode* of lock.

## Exclusive vs. Shared Locks

- An *exclusive lock* allows a transaction to write or read an item.
  - gives the txn exclusive access to that item
  - only one txn can hold it at a given time
  - $xl_i(A)$  = transaction  $T_i$  requests an exclusive lock for A
    - if another txn holds *any* lock for A,  $T_i$  must wait until that lock is released
- A *shared lock* only allows a transaction to read an item.
  - multiple txns can hold a shared lock for the same data item at the same time
  - $sl_i(A)$  = transaction  $T_i$  requests a shared lock for A
    - if another txn holds an *exclusive* lock for A,  $T_i$  must wait until that lock is released

## Examples of Using Shared and Exclusive Locks

$sl_i(A)$  = transaction  $T_i$  requests a shared lock for A

$xl_i(A)$  = transaction  $T_i$  requests an exclusive lock for A

- Examples:

$T_1$	$T_2$
	$xl(A); w(A)$
$sl(B); r(B)$	$sl(B); r(B)$
$xl(C); r(C)$	
$w(C)$	$u(A); u(B)$
$u(B); u(C)$	

without shared locks,  $T_2$  would need to wait until  $T_1$  unlocked B

Note:  $T_1$  acquires an exclusive lock before reading C. why?

$T_1$	$T_2$
$xl(A); sl(B)$	
$w(A); u(A)$	$sl(A)$
	$sl(B)$
	$xl(B)$

## What About Recoverability / Cascadelessness?

- 2PL alone does *not* guarantee either of them.

- Example:

$T_1$	$T_2$
	$xl(A); w(A)$
	$sl(C)$
$xl(A); r(A)$	$u(A)$
$w(A); u(A)$	$r(C); u(C)$
commit	commit

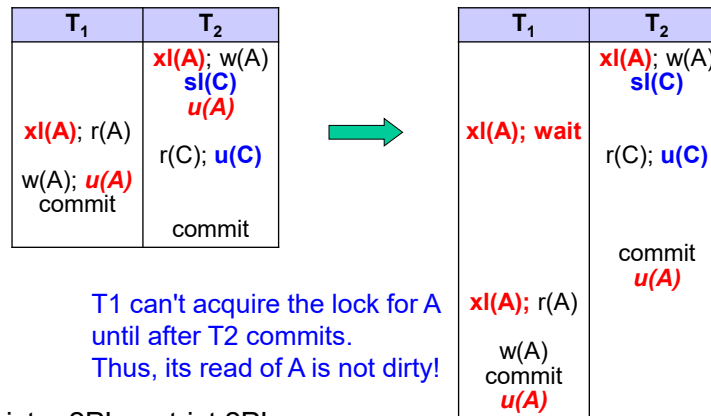
2PL? **yes**

not recoverable. why not?

not cascadeless. why not?

## Strict Locking

- *Strict locking* makes txns hold all *exclusive* locks until they commit or abort.
  - doing so prevents dirty reads, which means schedules will be recoverable and cascadeless



- strict + 2PL = strict 2PL

## Rigorous Locking

- Under strict locking, it's possible to get something like this:

T <sub>1</sub>	T <sub>2</sub>	T <sub>3</sub>
...		
sl(A); r(A)		
u(A)		
...		
	xl(A); w(A)	
	commit	
	u(A)	
		sl(A); r(A)
		commit
		u(A)
		print A
commit		
print A		

- T3 reports A's new value.
- T1 reports A's old value, even though it commits after T3.
- the ordering of commits (T2,T3,T1) is not same as the equivalent serial ordering (T1,T2,T3)

- *Rigorous locking* requires txns to hold *all* locks until commit/abort.
- It guarantees that transactions commit in the same order as they would in the equivalent serial schedule.
- rigorous + 2PL = rigorous 2PL

## Deadlock

- Consider the following schedule:

T <sub>1</sub>	T <sub>2</sub>
sl(B);r(B)	xl(A);w(A)
sl(A)	xl(B)
denied; wait for T2	denied; wait for T1

- This schedule produces *deadlock*.
  - T1 is waiting for T2 to unlock A
  - T2 is waiting for T1 to unlock B
  - neither can make progress!
- We'll see later how to deal with this.

## Lock Upgrades

- It can be problematic to acquire an exclusive lock earlier than necessary.
- Instead:
  - acquire a shared lock to read the item
  - upgrade* to an exclusive lock when you need to write
  - may need to wait to upgrade if others hold shared locks
- Note: we're **not** releasing the shared lock before acquiring the exclusive one. why not?

T <sub>1</sub>	T <sub>2</sub>
xl(A) r(A)	
VERY LONG computation	sl(A)
w(A)	waits a long time for T1!
u(A)	
	r(A) finally!

T <sub>1</sub>	T <sub>2</sub>
sl(A) r(A)	
VERY LONG computation	sl(A)
xl(A)	r(A) right away!
w(A)	u(A)
u(A)	



## A Problem with Lock Upgrades

- Upgrades can lead to deadlock:
  - two txns each hold a shared lock for an item
  - both txns attempt to upgrade their locks
  - each txn is waiting for the other to release its shared lock
  - deadlock!*
- Example:

T <sub>1</sub>	T <sub>2</sub>
sl(A) r(A) xl(A) <i>denied;</i> <i>wait for T2</i>	sl(A) r(A)   xl(A) <i>denied;</i> <i>wait for T1</i>

## Update Locks

- To avoid deadlocks from lock upgrades, some systems provide two different lock modes for reading:
  - shared locks – used if you *only* want to read an item
  - update locks* – used if you want to read an item *and later update it*

	shared lock	update lock
what does holding this type of lock let you do?	read the locked item	read the locked item (in anticipation of updating it later)
can it be upgraded to an exclusive lock?	<b>no</b> (not in this locking scheme)	<b>yes</b>
how many txns can hold this type of lock for a given item?	an arbitrary number	<b>only one</b> (and thus there can't be a deadlock from two txns trying to upgrade!)

## Different Locks for Different Purposes

- If you only need to read an item, acquire a shared lock.
- If your first action on an item is a write, acquire an exclusive lock.
- If you need to read and then write an item:
  - acquire an update lock for the read
  - upgrade it to an exclusive lock for the write
  - this sequence of operations is sometimes called *read-modify-write* (RMW)

## Compatibility Matrix for Locks

- Should a lock request be granted?

		mode of lock requested for item		
		shared	exclusive	update
mode of existing lock for that item (held by a different txn)	shared	yes	no	yes
	exclusive	no	no	no
	update	no	no	no

- When there are one or more shared locks on an item, a txn can still acquire an update lock for that item.
  - allows for concurrency on the read portion of RMW txns
- There can't be more than one update lock on an item.
  - prevents deadlocks when upgrading from update to exclusive
- If a txn holds an update lock on an item, other txns *can't* acquire any *new* locks on that item.
  - prevents the RMW txn from waiting indefinitely to upgrade

## Which requests are granted? (select all that apply)

T <sub>1</sub>	T <sub>2</sub>	T <sub>3</sub>
sl(B) r(B) ul(C) r(C)	sl(A) r(A)  ul(B) r(B)  xl(A) w(A)	sl(A) r(A)   ul(C) r(C)
xl(C) w(C) ...		

ul<sub>i</sub>(A) = T<sub>i</sub> requests an update lock for A

← request A

← request B

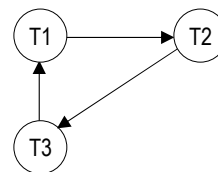
← request C

← request D

## Detecting and Handling Deadlocks

- When DBMS detects a deadlock, it roll backs one of the deadlocked transactions.
- Can use a *waits-for graph* to detect the deadlock.
  - the vertices are the transactions
  - an edge from T<sub>1</sub> → T<sub>2</sub> means T<sub>1</sub> is waiting for T<sub>2</sub> to release a lock
  - a cycle indicates a deadlock
- Example:

T <sub>1</sub>	T <sub>2</sub>	T <sub>3</sub>
xl(A)		xl(C)
	sl(B) sl(C)	sl(A)
	<b>denied; wait for T<sub>3</sub></b>	<b>denied; wait for T<sub>1</sub></b>
xl(B) <b>denied; wait for T<sub>2</sub></b>		



cycle – deadlock!

## Another Example

- Would the following schedule produce deadlock?

$r_1(B); w_1(B); r_3(A); r_2(C); r_2(B); r_1(A); w_1(A); w_3(C); w_2(A); r_1(C); w_3(A)$

$T_1$	$T_2$	$T_3$
$sl(B); r(B)$ $xl(B); w(B)$	$sl(C); r(C)$	$sl(A); r(A)$

### assumptions:

- rigorous 2PL
- a lock is requested just before it's first needed
- update locks are not used
- upgrades of shared locks are allowed
- a txn commits after its final read or write

T1

T2

T3

## Extra Practice

- Would the following schedule produce deadlock?

$w_1(A); w_3(B); r_3(C); r_2(D); r_1(D); w_1(D); w_2(C); r_3(A); w_2(A)$

$T_1$	$T_2$	$T_3$
$xl(A); w(A)$		

### assumptions:

- rigorous 2PL
- a lock is requested just before it's first needed
- update locks are not used
- upgrades of shared locks are allowed
- a txn commits after its final read or write

T1

T2

T3

## Extra Practice 2

Would the following schedule produce deadlock?

$w_2(A); w_3(C); r_3(A); r_1(B); w_1(C); w_3(A); w_2(D); r_1(A)$

$T_1$	$T_2$	$T_3$

assumptions:

- rigorous 2PL
- a lock is requested just before it's first needed
- update locks are not used
- upgrades of shared locks are allowed
- a txn commits after its final read or write

T1

T2

T3

## Concurrency Control II: Timestamps

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### Timestamp-Based Concurrency Control

- In this alternative approach to concurrency control, the DBMS assigns timestamps to txns.
  - $TS(T)$  = the timestamp of transaction T
  - the timestamps must be unique
  - $TS(T1) < TS(T2)$  if and only if T1 started *before* T2
- The system ensures that all operations are consistent with a serial ordering *based on the timestamps*.
  - if  $TS(T1) < TS(T2)$ , the DBMS only allows actions that are consistent with the serial schedule T1; T2
    - produces schedules that are serializable
- Systems that use this approach do *not* need locks.

## Timestamp-Based Concurrency Control (cont.)

- Examples of actions that are not allowed:
  - example 1:

*actual schedule*

T <sub>1</sub>	T <sub>2</sub>
TS = 102 w(A)	TS = 100 r(C)  r(A)

**not allowed**

- T2 starts before T1
- thus, T2 comes before T1 in the equivalent serial schedule (see left)
- in the serial schedule, T2 would *not* see T1's write
- thus, T2's read should have come *before* T1's write, and we can't allow the read
- we say that **T2's read is too late**

*equivalent serial schedule*

T <sub>1</sub>	T <sub>2</sub>
TS = 102 w(A) ...	TS = 100 r(C) r(A) ...

## Timestamp-Based Concurrency Control (cont.)

- Examples of actions that are not allowed:
  - example 2:

*actual schedule*

T <sub>1</sub>	T <sub>2</sub>
TS = 205 r(A)  w(B)	TS = 209 r(B)

**not allowed**

- T1 starts before T2
- thus, T1 comes before T2 in the equivalent serial schedule (see left)
- in the serial schedule, T2 *would* see T1's write
- thus, T1's write should have come *before* T2's read, and we can't allow the write
- we say that **T1's write is too late**

*equivalent serial schedule*

T <sub>1</sub>	T <sub>2</sub>
TS = 205 r(A) w(B) ...	TS = 209 r(B) ...

### Timestamp-Based Concurrency Control (cont.)

- When a txn attempts to perform an action that is inconsistent with a timestamp ordering:
  - the offending txn is rolled back
  - it is restarted with a new, larger timestamp
- With a larger timestamp, the txn comes later in the equivalent serial ordering.
  - allows it to perform the offending operation
- Rolling back the txn ensures that all of its actions correspond to the new timestamp.

### Timestamps on Data Elements

- To determine if an action should be allowed, the DBMS associates two timestamps with each data element:
  - a *read timestamp*:  
 $RTS(A)$  = the largest timestamp of any txn that has read A
    - the timestamp of the reader that comes latest in the equivalent serial ordering
  - a *write timestamp*:  
 $WTS(A)$  = the largest timestamp of any txn that has written A
    - the timestamp of the writer that comes latest in the equivalent serial ordering
    - *the timestamp of the txn that wrote A's current value*



### Timestamp Rules for Reads

- When T tries to read A:
  - if  $TS(T) < WTS(A)$ , roll back T and restart it
    - T comes *before* the txn that wrote A, so T shouldn't be able to see A's current value
    - T's read is too late (see our earlier example 1)
  - **else** allow the read
    - T comes *after* the txn that wrote A, so the read is OK
    - the system also updates  $RTS(A)$ :  
 $RTS(A) = \max(TS(T), RTS(A))$ 
      - why can't we just set  $RTS(A)$  to T's timestamp?

### Timestamp Rules for Reads (cont.)

- Example: assume that T1 wants to read A, and we have the following timestamps:  
 $TS(T1) = 30$                        $WTS(A) = 10$   
 $TS(T2) = 50$                        $RTS(A) = 50$
- T1 started before T2 ( $30 < 50$ )
  - thus T1 comes before T2 in the equivalent serial ordering
- T2 has already read A. How do we know?
- Despite that, it's okay for T1 to read A.
  - reads don't conflict, so we don't care about the equivalent serial ordering of *two readers* of an item
  - what matters is that T1 comes after the *writer* of A's current value ( $30 > 10$ )

## Timestamp Rules for Writes

- When T tries to write A:
  - if  $TS(T) < RTS(A)$ , roll back T and restart it
    - T comes *before* the txn that read A, so that other txn should have read the value T wants to write
    - T's write is too late (see our earlier example 2)
  - else if  $TS(T) < WTS(A)$ , ignore the write and let T continue
    - T comes *before* the txn that wrote A's current value
    - thus, in the equivalent serial schedule, T's write would have been overwritten by A's current value
  - else allow the write
    - how should the system update  $WTS(A)$ ?

## Thomas Write Rule

- The policy of ignoring out-of-date writes is known as the *Thomas Write Rule*:
  - ...else if  $TS(T) < WTS(A)$ , ignore the write and let T continue
- What if there is a txn that should have read A *between* the two writes? It's still okay to ignore T's write of A.
  - example:
    - $TS(T) = 80$ ,  $WTS(A) = 100$  → we ignore T's write of A what if txn U with  $TS(U) = 90$  is supposed to read A?
    - if U had already read A, Thomas write rule wouldn't apply:
      - $RTS(A) = 90$
      - T would be rolled back because  $TS(T) < RTS(A)$
    - if U tries to read A after we ignore T's write:
      - U will be rolled back because  $TS(U) < WTS(A)$

## Extra Practice Problem

- Consider the following scenario:
  - $TS(T1) = 80$ ,  $TS(T2) = 50$
  - T1 is allowed to read item C, and it gets a value from before either transaction began.
  - T2 then wants to write C.  
How should the system respond?
- Hint:* You don't need to know the RTS and WTS values. You can just use:
  - the fact that T1 read an earlier value of C
  - the equivalent serial schedule based on the timestamps

## Example of Using Timestamps

- They prevent our problematic balance-transfer example.

*T1*

```
read balance1
write(balance1 - 500)

read balance2
write(balance2 + 500)
```

*T2*

```
read balance1
read balance2
if (balance1 + balance2 < min)
  write(balance1 - fee)
```

T1	T2	bal1	bal2
TS = 350 r(bal1) w(bal1)		RTS = WTS = 0	RTS = WTS = 0
	TS = 375 r(bal1); r(bal2) w(bal1)	RTS = 350 WTS = 350	
r(bal2) w(bal2) <b>denied: rollback</b>		RTS = 375 WTS = 375	RTS = 375
			RTS: no change

what's the problem here?

## Preventing Dirty Reads Using a Commit Bit

- We associate a **commit bit  $c(A)$**  with each data element A.
  - tells us whether the writer of A's value has committed
  - initially,  $c(A)$  is true
- When a txn is allowed to write A:
  - set  $c(A)$  to false
  - update  $WTS(A)$  as before
- If the timestamps would allow a txn to read A but  $c(A)$  is false, the txn is made to wait.
  - preventing a dirty read!
- When A's writer commits, we:
  - set  $c(A)$  to true
  - allow waiting txns try again

T1	T2	A
		RTS = 0 WTS = 0 <b><math>c = \text{true}</math></b>
TS = 200 r(A) w(A)		RTS = 200 <b><math>c = \text{false}</math></b> WTS = 200
	TS = 210 r(A) <b>denied: wait</b>	
<b>commit</b>	<b>r(A)?</b>	<b><math>c = \text{true}</math></b>

## Example of Using Timestamps and Commit Bits

- The balance-transfer example would now proceed differently.

*T1*

```
read balance1
write(balance1 - 500)
```

*T2*

```
read balance1
read balance2
if (balance1 + balance2 < min)
  write(balance1 - fee)
```

```
read balance2
write(balance2 + 500)
```

T1	T2	bal1	bal2
		RTS = WTS = 0 $c = \text{true}$	RTS = WTS = 0 $c = \text{true}$
TS = 350 r(bal1) w(bal1)		RTS = 350 WTS = 350; $c = \text{false}$	
	TS = 375 r(bal1) <b>denied: wait</b>		
r(bal2) w(bal2) commit	r(bal1) <b>and completes</b>	$c = \text{true}$ RTS = 375	RTS = 350 WTS = 350; $c = \text{false}$ $c = \text{true}$

## Commit Bits: Other Details

- If a txn is allowed to write A and c(A) is already false:
  - c(A) remains false
  - update WTS(A) as before
- If the timestamps would cause a txn's write of A to *be ignored* but c(A) is false, the txn must wait.
  - we'll need its write if the writer of A's current value is rolled back

T1	T2	A
		RTS = 0 WTS = 0 <b>c = true</b>
	TS = 400 w(A)	<b>c = false</b> WTS = 400
TS = 450 w(A)		<b>c stays false</b> WTS = 450
	w(A) <b>denied: wait</b>	
commit	<b>w(A) ignored</b> ...	<b>c = true</b>

## Commit Bits: Other Details (cont.)

- Note: c(A) remains false until the writer of the *current value* commits.
- Example: what if T2 had committed after T1's write?

T1	T2	A
		RTS = 0 WTS = 0 <b>c = true</b>
	TS = 400 w(A)	<b>c = false</b> WTS = 400
TS = 450 w(A)		<b>c stays false</b> WTS = 450
	<b>commit</b>	

## Timestamps and Transaction Rollbacks

- What happens when a txn T is rolled back?
  - restore the prior state (value and timestamps) of all data elements of which T is the most recent writer
  - set the commit bits of those elements based on whether the writer of the prior value has committed
  - make waiting txns try again
  - in addition, if there were a data element B for which  $RTS(B) == TS(T)$ , we would restore its old RTS value

T1	T2	A
		RTS = 0 WTS = 0 <b>c = true</b>
	TS = 400 w(A)	<b>c = false</b> <b>WTS = 400</b>
TS = 450 w(A)		<b>c stays false</b> WTS = 450
<b>roll back</b>	w(A) <b>denied:</b> <b>wait</b>	<b>WTS = 400</b> <b>c = false</b>
	w(A) <b>allowed!</b>	no changes

## Summary: Timestamp Rules for Reads and Writes when not using commit bits

- When T tries to read A:
  - if  $TS(T) < WTS(A)$ , roll back T and restart it
    - T's read is too late
  - else allow the read
    - set  $RTS(A) = \max(TS(T), RTS(A))$
- When T tries to write A:
  - if  $TS(T) < RTS(A)$ , roll back T and restart it
    - T's write is too late
  - else if  $TS(T) < WTS(A)$ , ignore the write and let T continue
    - in the equiv serial sched, T's write would be overwritten
  - else allow the write
    - set  $WTS(A) = TS(T)$

### Summary: Timestamp Rules for Reads and Writes when using commit bits

- When T tries to read A:
  - if  $TS(T) < WTS(A)$ , roll back T and restart it
    - T's read is too late
  - else if  $TS(T) == WTS(A)$ , allow the read, regardless of  $c(A)$
  - else allow the read (but if  $c(A) == false$ , make it wait)
    - set  $RTS(A) = \max(TS(T), RTS(A))$
- When T tries to write A:
  - if  $TS(T) < RTS(A)$ , roll back T and restart it
    - T's write is too late
  - else if  $TS(T) < WTS(A)$ , ignore the write and let T continue (but if  $c(A) == false$ , make it wait)
    - in the equiv serial sched, T's write would be overwritten
  - else allow the write
    - set  $WTS(A) = TS(T)$  (and set  $c(A)$  to false)

### Summary: Other Details for Timestamps

- When the writer of *the current value* of data item A commits, we:
  - set  $c(A)$  to true
  - allow waiting txns try again
- When a txn T is rolled back, we process:
  - all data elements A for which  $WTS(A) == TS(T)$ 
    - restore their prior state (value and timestamps)
    - set their commit bits based on whether the writer of the prior value has committed
    - make waiting txns try again
  - all data elements A for which  $RTS(A) == TS(T)$ 
    - restore their prior RTS

## Extra Practice Problem 1

- How will this schedule be executed with commit bits?

$$w_1(A); w_2(A); r_3(B); w_3(B); r_3(A); r_2(B); w_1(B); r_2(A)$$

T1	T2	T3	A	B
			RTS = WTS = 0 c = true	RTS = WTS = 0 c = true

## Extra Practice Problem 2

- How will this schedule be executed with commit bits?

$$r_1(B); r_2(B); w_1(B); w_3(A); w_2(A); w_3(B); r_2(A)$$

T1	T2	T3	A	B
			RTS = WTS = 0 c = true	RTS = WTS = 0 c = true



## Multiversion Timestamp Protocol

- To reduce the number of rollbacks, the DBMS can keep old versions of data elements, along with the associated timestamps.
- When a txn T tries to read A, it's given the version of A that it should read, based on the timestamps.
  - the DBMS never needs to roll back a read-only transaction!*

*two different versions of A*

T1	T2	T3	A(0)	A(105)
TS = 105	TS = 101		RTS = WTS = 0 c = true; val = "foo"	
r(A) w(A)			RTS = 105	<i>created</i> RTS = 0; WTS = 105 c = false; val = "bar"
commit	r(A): <i>get A(0)</i>		no change	c = true
		TS = 112 <i>r(A)</i> <i>get A(105)</i>		<i>RTS = 112</i>

## Multiversion Timestamp Protocol (cont.)

- Because each write creates a new version, the WTS of a given version never changes.
- The DBMS maintains RTSs and commit bits for each version, and it updates them using the same rules as before.
- If txn T attempts to write A:
  - find the version of A that T should be overwriting (the one with the largest WTS  $\leq$  TS(T))
  - compare TS(T) with the RTS of that version
  - example: txn T (TS = 50) wants to write A
    - it should be overwriting A(0)
    - show we allow its write and create A(50)?

A(0)	A(105)
RTS = 75	RTS = 0

## Multiversion Timestamp Protocol (cont.)

- If T's write of A is *not* too late:
    - if T has already written A, update that version's value
    - otherwise, create a new version of A with  $WTS = TS(T)$
  - Writes are never ignored.
    - there may be active txns that should read that version
  - Versions can be discarded as soon as there are no active transactions that could read them.
    - can discard  $A(t_1)$  if:
      - there is another, later version,  $A(t_2)$ , with  $t_2 > t_1$   
*and*
      - there is no active transaction with a  $TS < t_2$
    - example: we can discard  $A(0)$  as soon as ...?
- | $A(0)$     | $A(1)$     |
|------------|------------|
| $RTS = 75$ | $RTS = 75$ |

<b>A(0)</b>	<b>A(105)</b>
RTS = 75	RTS = 0

### Extra Practice Problem 3

Execute using **multiversion** timestamps and **no commit bits**:

$$r_2(A); w_1(B); r_3(A); r_3(B); w_3(B); r_2(B); w_2(A)$$

T1	T2	T3	A(0)	B(0)
			WTS = 0 RTS = 0	WTS = 0 RTS = 0

## Locking vs. Timestamps

- Advantages of timestamps:
  - txns spend less time waiting
  - no deadlocks
- Disadvantages of timestamps:
  - can get more rollbacks, which are expensive
  - may use somewhat more space to keep track of timestamps
- Advantages of locks:
  - only deadlocked txns are rolled back
- Disadvantages of locks:
  - unnecessary waits may occur

### Practice 4a: timestamps, no commit bits, one version/item

$$r_1(X); w_2(X); r_3(X); w_3(Y); w_1(Y); r_2(Y); w_3(Y); c_1; c_2; c_3$$

T1	T2	T3	X	Y
			WTS = 0 RTS = 0	WTS = 0 RTS = 0

### Practice 4b: timestamps, no commit bits, *multiversion*

$$r_1(X); w_2(X); r_3(X); w_3(Y); w_1(Y); r_2(Y); w_3(Y); c_1; c_2; c_3$$

T1	T2	T3	X(0)	Y(0)			
			WTS=0 RTS=0	WTS=0 RTS=0			

### Practice 4c: rigorous two-phase locking, no update locks

$$r_1(X); w_2(X); r_3(X); w_3(Y); w_1(Y); r_2(Y); w_3(Y); c_1; c_2; c_3$$

$T_1$	$T_2$	$T_3$

T1

T2

T3

## Distributed Databases and Replication

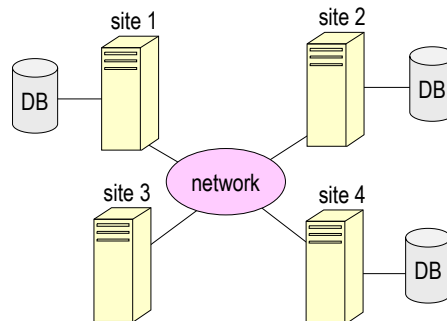
Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

### What Is a Distributed Database?

- One in which data is:
  - *partitioned* / *fragmented* among multiple machines and/or
  - *replicated* – copies of the same data are made available on multiple machines
- It is managed by a *distributed DBMS (DDBMS)* – processes on two or more machines that jointly provide access to a single logical database.
- The machines in question may be:
  - at different locations (e.g., different branches of a bank)
  - at the same location (e.g., a cluster of machines)
- In the remaining slides, we will use the term *site* to mean one of the machines involved in a DDBMS.
  - may or may not be at the same location

## What Is a Distributed Database? (cont.)

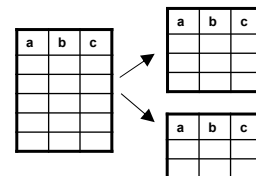


- A given site may have a local copy of all, part, or none of a particular database.
  - makes requests of other sites as needed

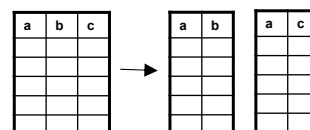
## Fragmentation / Sharding

- Divides up a database's records among several sites
  - the resulting "pieces" are known as *fragments/shards*
- Let R be a collection of records of the same type (e.g., a relation).
- *Horizontal fragmentation* divides up the "rows" of R.

- $R(a, b, c) \rightarrow R1(a, b, c), R2(a, b, c), \dots$
- $R = R1 \cup R2 \cup \dots$



- *Vertical fragmentation* divides up the "columns" of R.
  - $R(a, b, c) \rightarrow R1(a, b), R2(a, c), \dots$  (a is the primary key)
  - $R = R1 \bowtie R2 \bowtie \dots$



## Fragmentation / Sharding (cont.)

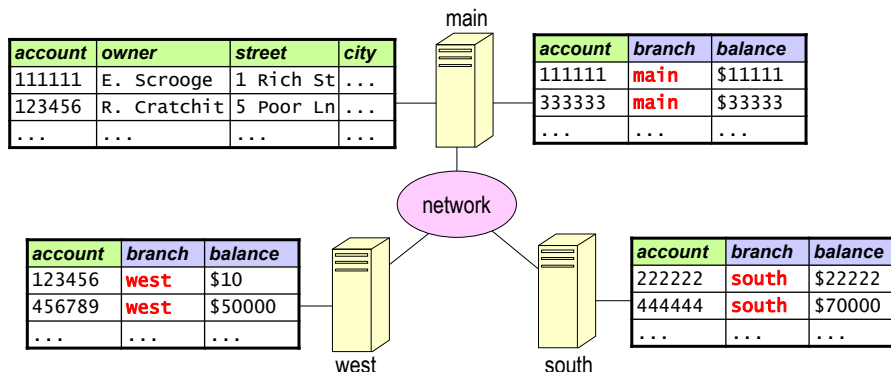
- Another version of vertical fragmentation:  
divide up the tables (or other collections of records).
  - e.g., site 1 gets tables A and B
  - site 2 gets tables C and D

## Example of Fragmentation

- Here's a relation from a centralized bank database:

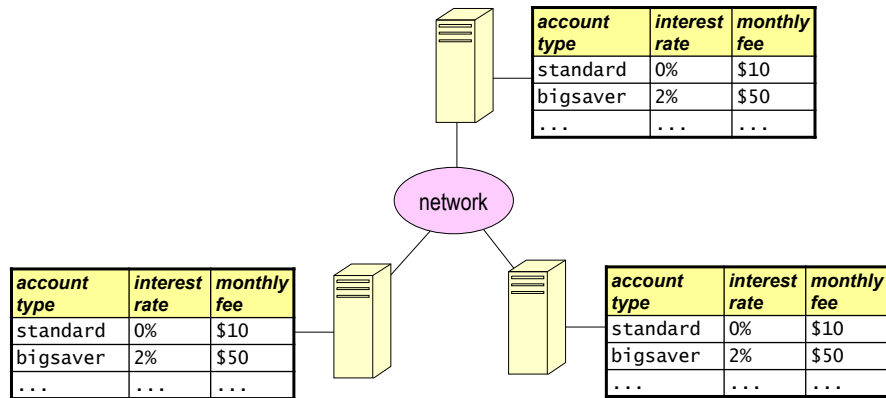
account	owner	street	city	branch	balance
111111	E. Scrooge	1 Rich St	...	main	\$11111
123456	R. Cratchit	5 Poor Ln	...	west	\$10
...	...	...	...	...	...

- Here's one way of fragmenting it:



## Replication

- Replication involves putting copies of the same collection of records at different sites.



## Reasons for Using a DDBMS

- to improve performance
  - how does distribution do this?
- to provide *high availability*
  - replication allows a database to remain available in the event of a failure at one site
- to allow for modular growth
  - add sites as demand increases
  - adapt to changes in organizational structure
- to integrate data from two or more existing systems
  - without needing to combine them
  - allows for the continued use of legacy systems
  - gives users a unified view of data maintained by different organizations

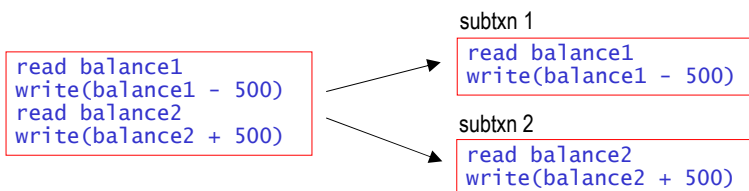


## Challenges of Using a DDBMS (partial list)

- determining the best way to distribute the data
  - when should we use vertical/horizontal fragmentation?
  - what should be replicated, and how many copies do we need?
- determining the best way to execute a query
  - need to factor in communication costs
- maintaining integrity constraints (primary key, foreign key, etc.)
- ensuring that copies of replicated data remain consistent
- managing *distributed txns*: ones that involve data at multiple sites
  - atomicity and isolation can be harder to guarantee

## Distributed Transactions

- A *distributed transaction* involves data stored at multiple sites.
- One of the sites serves as the *coordinator* of the transaction.
  - one option: the site on which the txn originated
- The coordinator divides a distributed transaction into *subtransactions*, each of which executes on one of the sites.



## Types of Replication

- In *synchronous replication*, transactions are guaranteed to see the most up-to-date value of an item.
- In *asynchronous replication*, transactions are *not* guaranteed to see the most up-to-date value.

## Synchronous Replication I: Read-Any, Write-All

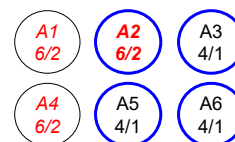
- *Read-Any*: when reading an item, access *any* of the replicas.
- *Write-All*: when writing an item, must update *all* of the replicas.
- Works well when reads are much more frequent than writes.
- Drawback: writes are very expensive.

## Synchronous Replication II: Voting

- When writing, update some fraction of the replicas.
  - each value has a version number that is increased when the value is updated
- When reading, read enough copies to ensure you get at least one copy of the most recent value (see next slide).
  - the copies "vote" on the value of the item
  - the copy with the highest version number is the most recent
- Drawback: reads are now more expensive

## Synchronous Replication II: Voting (cont.)

- How many copies must be read?
  - let:  $n$  = the number of copies  
 $w$  = the number of copies that are written  
 $r$  = the number of copies that are read
  - need:  $r > n - w$  (i.e., at least  $n - w + 1$ )
  - example:  $n = 6$  copies  
update  $w = 3$  copies  
must read at least 4 copies
- Example: 6 copies of data item A, each with value = 4, version = 1.
  - txn 2 updates A1, A2, and A4 to be 6 (and their version number becomes 2)
  - txn 1 reads A2, A3, A5, and A6
  - A2 has the highest version number (2), so its value (6) is the most recent.



Which of these allow us to ensure that clients always get the most up-to-date value?

- 10 replicas – i.e., 10 copies of each item
- voting-based approach with the following requirements:

	<u>number of copies accessed when reading</u>	<u>number of copies accessed when writing</u>
A.	7	3
B.	5	5
C.	9	2
D.	4	8

(select all that work)

Distributed Concurrency Control

- To ensure the isolation of distributed transactions, need some form of distributed concurrency control.
- Extend the concurrency control schemes that we studied earlier.
  - we'll focus on extending strict 2PL
- If we just used strict 2PL at each site, we would ensure that the schedule of subtxns *at each site* is serializable.
  - why isn't this sufficient?

## Distributed Concurrency Control (cont.)

- Example of why special steps are needed:
  - voting-based synchronous replication with 6 replicas
  - let's say that we configure the voting as before:
    - each write updates 3 copies
    - each read accesses 4 copies
  - can end up with schedules that are not conflict serializable
- example:

T <sub>1</sub>	T <sub>2</sub>
xl(A1); xl(A2); xl(A3) w(A1); w(A2); w(A3)	xl(A4); xl(A5); xl(A6) w(A4); w(A5); w(A6)
xl(B1); xl(B2); xl(B3) w(B1); w(B2); w(B3)	xl(B4); xl(B5); xl(B6) w(B4); w(B5); w(B6)

Xi = the copy of item X  
at site i

T1 should come *before*  
T2 based on the order in  
which they write A.

T1 should come *after* T2  
based on the order in  
which they write B.

## What Do We Need?

- We need shared and exclusive locks for a *logical item*,  
not just for individual copies of that item.
  - referred to as *global locks*
  - doesn't necessarily mean locking every copy
- Requirements for global locks:
  - no two txns can hold a global exclusive lock for the same item
  - any number of txns can hold a global shared lock for an item
  - a txn cannot acquire a global exclusive lock on an item  
if another txn holds a global shared lock on that item,  
and vice versa

### What Do We Need? (cont.)

- In addition, we need to ensure the correct ordering of operations *within* each distributed transaction.
  - don't want a subtxn to get ahead of where it should be in the context of the txn as a whole
  - relevant even in the absence of replication
  - one option: have the coordinator of the txn acquire the necessary locks before sending operations to a site

### Option 1: Centralized Locking

- One site manages the lock requests for *all* items in the distributed database.
  - even items that don't have copies stored at that site
  - since there's only one place to acquire locks, these locks are obviously global locks!
- Problems with this approach:
  - the lock site can become a bottleneck
  - if the lock site crashes, operations at all sites are blocked

### Option 2: Primary-Copy Locking

- One copy of an item is designated the *primary copy*.
- The site holding the primary copy handles all lock requests for that item.
  - acquiring a shared lock for the primary copy gives you a global shared lock for the item
  - acquiring an exclusive lock for the primary copy gives you a global exclusive lock for the item
- To prevent one site from becoming a bottleneck, distribute the primary copies among the sites.
- Problem: If a site goes down, operations are blocked on all items for which it holds the primary copy.

### Option 3: Fully Distributed Locking

- No one site is responsible for managing lock requests for a given item.
- A transaction acquires a global lock for an item by locking a sufficient number of the item's copies.
  - these local locks combine to form the global lock
- To acquire a global shared lock, acquire local shared locks for a sufficient number of copies (see next slide).
- To acquire a global exclusive lock, acquire local exclusive locks for a sufficient number of copies (see next slide).

### Option 3: Fully Distributed Locking (cont.)

- How many copies must be locked?
  - let:  $n$  = the total number of copies  
 $x$  = the number of copies that must be locked to acquire a global exclusive lock  
 $s$  = the number of copies that must be locked to acquire a global shared lock
- we need  $x > n/2$ 
  - guarantees that no two txns can both acquire a global exclusive lock at the same time
- we need  $s > n - x$  (i.e.,  $s + x > n$ )
  - if there's a global exclusive lock on an item, there aren't enough unlocked copies for a global shared lock
  - if there's a global shared lock on an item, there aren't enough unlocked copies for a global excl. lock

### Option 3: Fully Distributed Locking (cont.)

- Our earlier example would no longer be possible:

T <sub>1</sub>	T <sub>2</sub>
$xl(A1); xl(A2); xl(A3)$ $w(A1); w(A2); w(A3)$  $xl(B1); xl(B2); xl(B3)$ $w(B1); w(B2); w(B3)$	$xl(A4); xl(A5); xl(A6)$ $w(A4); w(A5); w(A6)$  $xl(B4); xl(B5); xl(B6)$ $w(B4); w(B5); w(B6)$



T <sub>1</sub>	T <sub>2</sub>
$xl(A1); xl(A2); xl(A3);$ $xl(A6)$ $w(A1); w(A2); w(A3);$ $w(A6)$	$xl(A4); xl(A5);$ $xl(A6) - \text{denied}$ must wait for T1

- $n = 6$
- need  $x > 6/2$
- must acquire at least 4 local exclusive locks before writing



## Synchronous Replication and Fully Distributed Locking

- Read-any write-all:
  - when writing an item, a txn must update all of the replicas
    - this gives it  $x = n$  exclusive locks, so  $x > n/2$
  - when reading an item, a txn can access any of the replicas
    - this gives it  $s = 1$  shared lock, and  $1 > n - n$
- Voting:
  - when writing, a txn updates *a majority of the copies* – i.e.,  $w$  copies, where  $w > n/2$ .
    - this gives it  $x > n/2$  exclusive locks as required
  - when reading, a txn reads  $r > n - w$  copies
    - this gives it  $s > n - x$  shared locks as required

## Summary: Distributed Concurrency Control

- With replicated data, need to be able to acquire *global locks*.
- **Option 1: Centralized locking**
  - one site manages the lock requests for *all* items, even ones that it doesn't have copies for
  - problem: becomes a bottleneck and a single point of failure
- **Option 2: Primary-copy locking**
  - designate one copy of each item as its primary copy
  - locking the primary copy gives you a global lock
  - spread the primary copies across the sites
- For both of these options, voting just needs:
  - $r > n - w$        $n$  = total # of copies
  - $w$  = # of copies written
  - $r$  = # of copies read

## Summary: Distributed Concurrency Control (cont.)

- **Option 3: Fully distributed locking**
  - acquires a global lock by locking a sufficient number of the item's copies
  - for an exclusive lock, need to lock  $x > n/2$  copies
  - for a shared lock, need to lock  $s > n - x$  copies
  - given the inequalities for distributed locking, we now have **an added requirement for voting:**
    - $w > n/2$        $n$  = total # of copies
    - $r > n - w$        $w$  = # of copies written
    - $r$  = # of copies read

## Which of these would work?

- 9 replicas – i.e., 9 copies of each item
- *fully distributed* locking
- voting-based approach with the following requirements:

	number of copies	
	<u>read</u>	<u>written</u>
A.	5	5
B.	6	4
C.	7	3
D.	4	5
(select all that work)		

### Which of these would work?


- 9 replicas – i.e., 9 copies of each item
- *primary-copy* locking
- voting-based approach with the following requirements:

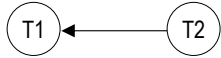
	number of copies	
	<u>read</u>	<u>written</u>
A.	5	5
B.	6	4
C.	7	3
D.	4	5

(select all that work)

### Distributed Deadlock Handling

- Under centralized locking, we can just use the waits-for graphs that we studied earlier in the semester.
- Under the other two locking schemes, *deadlock detection* becomes more difficult.
  - local waits-for graphs alone will not necessarily detect a deadlock
    - example:

site 1:  


site 2:  

- one option: periodically send local waits-for graphs to one site that checks for deadlocks
- Instead of using deadlock detection, it's often easier to use a timeout-based scheme.
  - if a txn waits too long, presume deadlock and roll it back!

### Recall: Types of Replication

- In *synchronous replication*, transactions are guaranteed to see the most up-to-date value of an item.
- In *asynchronous replication*, transactions are *not* guaranteed to see the most up-to-date value.

### Asynchronous Replication I: Primary Site

- In *primary-site replication*, one replica is designated the *primary* or *master* replica.
- All writes go to the primary.
  - propagated asynchronously to the other replicas (the *secondaries*)
- The secondaries can only be read.
  - no locks are acquired when accessing them
  - thus, we only use them when performing read-only txns
- Drawbacks of this approach?

## Asynchronous Replication II: Peer-to-Peer

- In *peer-to-peer replication*, more than one replica can be updated.
- Problem: need to somehow resolve conflicting updates!

## Which of these would work?

- 9 replicas – i.e., 9 copies of each item
- fully distributed locking
- voting-based approach with the following requirements:

fully distributed locking  
with  $n$  copies:

- write (and lock)  
 $w > n/2$  copies
- read (and lock)  
 $r > n - w$  copies

number of copies  
read      written

A.      5      5      yes →

B.      6      4

C.      7      3

D.      4      5

● a copy locked  
with a shared lock

● a copy locked with  
an exclusive lock

● ● ● ● ● ○ ○ ○ ○

if one txn has a global shared lock,  
no one can get a global exclusive lock

● ● ● ● ● ○ ○ ○ ○

if one txn has a global exclusive lock,  
no one can get a global shared lock  
or a global exclusive lock

### Which of these would work?

- 9 replicas – i.e., 9 copies of each item
- fully distributed locking
- voting-based approach with the following requirements:

fully distributed locking  
with  $n$  copies:

- write (and lock)  
 $w > n/2$  copies
- read (and lock)  
 $r > n - w$  copies

	number of copies			<span>● a copy locked with a shared lock</span> <span>● a copy locked with an exclusive lock</span>
	<u>read</u>	<u>written</u>		
A.	5	5	yes	<p>if one txn has a global shared lock, no one else can get a global exclusive lock</p>
B.	6	4	no →	<p>if one txn has a global exclusive lock, no one else can get a global shared lock</p>
C.	7	3	no	<p><b>problem:</b> two txns <i>can</i> both get a global exclusive lock at the same time!</p>
D.	4	5		

### Which of these would work?

- 9 replicas – i.e., 9 copies of each item
- fully distributed locking
- voting-based approach with the following requirements:

fully distributed locking  
with  $n$  copies:

- write (and lock)  
 $w > n/2$  copies
- read (and lock)  
 $r > n - w$  copies

	number of copies			<span>● a copy locked with a shared lock</span> <span>● a copy locked with an exclusive lock</span>
	<u>read</u>	<u>written</u>		
A.	5	5	yes	<p><b>problem:</b> if one txn has a global shared lock, someone else can get a global excl. lock</p>
B.	6	4	no	<p><b>problem:</b> if one txn has a global excl lock, someone else can get a global shared lock</p>
C.	7	3	no	
D.	4	5	no →	<p>if one txn has a global exclusive lock, no one else can get a global exclusive lock</p>

# Processing Distributed Data Using MapReduce

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## MapReduce

- A framework for computation on large data sets that are fragmented and replicated across a cluster of machines.
  - spreads the computation across the machines, letting them work in parallel
  - tries to minimize the amount of data that is transferred between machines
- The original version was Google's MapReduce system.
- An open-source version is part of the Hadoop project.
  - we'll use it as part of PS 4

### Sample Problem: Totalling Customer Orders

- Acme Widgets is a company that sells only one type of product.
- *Data set*: a large collection of records about customer orders
  - fragmented and replicated across a cluster of machines
  - sample record:  

```
( 'u123', 500, '03/22/17', 'active' )
```

```
customer id  amount ordered  date ordered  order status
```
- *Desired computation*: For each customer, compute the total amount in that customer's active orders.
- Inefficient approach: Ship all of the data to one machine and compute the totals there.

### Sample Problem: Totalling Customer Orders (cont.)

- MapReduce does better using "divide-and-conquer" approach.
  - splits the collection of records into subcollections that are processed in parallel
- For each subcollection, a *mapper task* maps the records to smaller key-value pairs – in this case, (cust\_id, amount active).  

```
( 'u123', 500, '03/22/17', 'active' ) → ( 'u123', 500 )  
( 'u456', 50, '02/10/17', 'done' ) → ( 'u456', 0 )  
( 'u123', 150, '03/23/17', 'active' ) → ( 'u123', 150 )  
( 'u456', 75, '03/28/17', 'active' ) → ( 'u456', 75 )
```
- These smaller pairs are distributed by cust\_id to other tasks that again work in parallel.
- These *reducer tasks* combine the pairs for a given cust\_id to compute the per-customer totals:  

```
( 'u123', 500 ) ➔ ( 'u123', 650 )   ( 'u456', 0 ) ➔ ( 'u456', 75 )  
( 'u123', 150 ) ➔ ( 'u123', 650 )   ( 'u456', 75 ) ➔ ( 'u456', 75 )
```

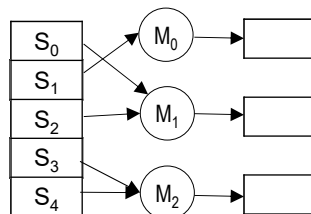


## Benefits of MapReduce

- Parallel processing reduces overall computation time.
- Less data is sent between machines.
  - the mappers often operate on local data
  - the key-value pairs sent to the reducers are smaller than the original records
  - an initial reduction can sometimes be done locally
    - example: compute local subtotals for each customer, then send those subtotals to the reducers
- It provides fault tolerance.
  - if a given task fails or is too slow, re-execute it
- The framework handles all of the hard/messy parts.
- The user can just focus on the problem being solved!

## MapReduce In General: Mapping

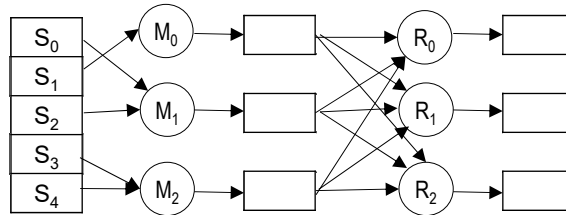
- The system divides up the collection of input records, and assigns each subcollection  $S_i$  to a mapper task  $M_j$ .



- The mappers apply a map function to each record:  
 $\text{map}(k, v):$  # treat record as a key-value pair  
emit 0 or more new key-value pairs  $(k', v')$ 
  - the resulting keys and values (the *intermediate results*) can have different types than the original ones
  - the input and intermediate keys do *not* have to be unique

## MapReduce In General: Reducing

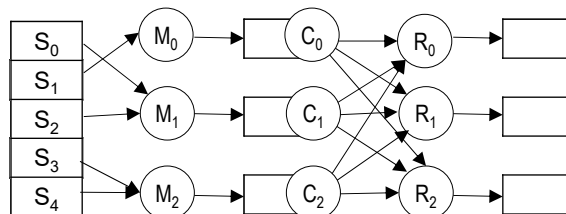
- The system partitions the intermediate results by key, and assigns each range of keys to a reducer task  $R_k$ .



- Key-value pairs with the same key are grouped together:  
 $(k', v'_0), (k', v'_1), (k', v'_2) \rightarrow (k', [v'_0, v'_1, v'_2, \dots])$ 
  - so that *all* values for a given key are processed together
- The reducers apply a reduce function to each (key, value-list):  
 $\text{reduce}(k', [v'_0, v'_1, v'_2, \dots]):$   
emit 0 or more key-value pairs  $(k'', v'')$ 
  - the types of the  $(k'', v'')$  can be different from the  $(k', v')$

## MapReduce In General: Combining (Optional)

- In some cases, the intermediate results can be aggregated locally using *combiner* tasks  $C_n$ .



- Often, the combiners use the same reduce function as the reducers.
  - produces partial results that can then be combined
- This cuts down on the data transferred to the reducers.

## Hadoop MapReduce Framework

- Implemented in Java
- It also includes other, non-Java options for writing MapReduce applications.
- In PS 4, you'll write simple MapReduce applications in Java.
- To do so, you need to become familiar with some key classes from the MapReduce API.
- We'll also review some relevant Java concepts.

## Classes and Interfaces for Keys and Values

- Found in the `org.apache.hadoop.io` package
- Types used for values must implement the `writable` interface.
  - includes methods for efficiently serializing/writing the value
- Types used for keys must implement `writableComparable`.
  - in addition to the `writable` methods, must also have a `compareTo()` method that allows values to be compared
  - needed to sort the keys and create key subranges
- The following classes implement both interfaces:
  - `IntWritable` – for 4-byte integers
  - `LongWritable` – for long integers
  - `DoubleWritable` – for floating-point numbers
  - `Text` – for strings/text (encoded using UTF8)

## Recall: Generic Classes

```
public class ArrayList<T> {  
    private T[] items;  
    ...  
    public boolean add(T item) {  
        ...  
    }  
    ...  
}
```

- The header of a generic class includes one or more *type variables*.
  - in the above example: the variable T
- The type variables serve as placeholders for actual data types.
- They can be used as the types of:
  - fields
  - method parameters
  - method return types

## Recall: Generic Classes (cont.)

```
public class ArrayList<T> {  
    private T[] items;  
    ...  
    public boolean add(T item) {  
        ...  
    }  
    ...  
}
```

- When we create an instance of a generic class, we specify types for the type variables:  

```
ArrayList<Integer> vals = new ArrayList<Integer>();
```

  - vals will have an items field of type `Integer[]`
  - vals will have an add method that takes an `Integer`
- We can also do this when we create a subclass of a generic class:  

```
public class IntList extends ArrayList<Integer> {  
    ...  
}
```

## Mapper Class

```
public class Mapper<KEYIN, VALUEIN, KEYOUT, VALUEOUT>
```

type variables  
for the (key, value)  
pairs given to the  
mapper

type variables  
for the (key, value)  
pairs produced by  
the mapper

- the principal method:  
void map(KEYIN key, VALUEIN value, Context context)
- To implement a mapper:
  - extend this class with appropriate replacements for the type variables; for example:  
class MyMapper  
extends Mapper<Object, Text, Text, IntWritable>
  - override map()

## Reducer Class

```
public class Reducer<KEYIN, VALUEIN, KEYOUT, VALUEOUT>
```

type variables  
for the (key, value)  
pairs given to the  
reducer

type variables  
for the (key, value)  
pairs produced by  
the reducer

- the principal method:  
void reduce(KEYIN key, Iterable<VALUEIN> values,  
Context context)
- To implement a reducer:
  - extend this class with appropriate replacements for the type variables
  - override reduce()

## Context Objects

- Both `map()` and `reduce()` are passed a Context object:  
`void map(KEYIN key, VALUEIN value, Context context)`  
`void reduce(KEYIN key, Iterable<VALUEIN> values, Context context)`
- Allows Mappers and Reducers to communicate with the MapReduce framework.
- Includes a `write()` method used to output (key, value) pairs:  
`void write(KEYOUT key, VALUEOUT value)`

## Example

```
class MyMapper extends Mapper<Object, Text,  
                             LongWritable, IntWritable>
```

Which of these is the correct header for the map method?

- A. `void map(LongWritable key, IntWritable value, Context context)`
- B. `void map(Text key, LongWritable value, Context context)`
- C. `void map(Object key, IntWritable value, Context context)`
- D. `void map(Object key, Text value, Context context)`

### Example 1: Birth-Month Counter

- **The data:** text file(s) containing person records that look like this  
id,name,dob,email  
where dob is in the form yyyy-mm-dd
- **The problem:** Find the number of people born in each month.

### Example 1: Birth-Month Counter (cont.)

- map should:
  - extract the month from the person's dob
  - emit a single key-value pair of the form (month string, 1)

111,Alan Turing,1912-06-23,al@aol.com	→ ("06", 1)
234,Grace Hopper,1906-12-09,gmh@harvard.edu	→ ("12", 1)
444,Ada Lovelace,1815-12-10,ada@1800s.org	→ ("12", 1)
567,Howard Aiken,1900-03-08,aiken@harvard.edu	→ ("03", 1)
777,Joan Clarke,1917-06-24,joan@bletchley.org	→ ("06", 1)
999,J. von Neumann,1903-12-28,jvn@princeton.edu	→ ("12", 1)
- The intermediate results are distributed by key to the reducers.
- reduce should:
  - add up the 1s for a given month
  - emit a single key-value pair of the form (month string, total)

("06", [1, 1])	→ ("06", 2)
("12", [1, 1, 1])	→ ("12", 3)
("03", [1])	→ ("03", 1)

## Mapper for Example 1

```
public class BirthMonthCounter {  
    public static class MyMapper  
        extends Mapper<Object, Text, Text, IntWritable>
```

- For data obtained from text files, the Mapper's inputs will be key-values pairs in which:
  - value = a single line from one of the files (a **Text** value)
  - key = the location of the line in the file (a **LongWritable**)
    - however, we use the **Object** type for the key because we ignore it, and thus we don't need any **LongWritable** methods
- The map method will output pairs in which:
  - key = a month string (use **Text** for it)
  - value = 1 (use **IntWritable**)

## Mapper for Example 1 (cont.)

```
public class BirthMonthCounter {  
    public static class MyMapper  
        extends Mapper<Object, Text, Text, IntWritable>  
    {  
        public void map(Object key, Text value,  
                        Context context)  
        {  
            String record = value.toString();  
            // code to extract month string goes here  
            context.write(new Text(month),  
                          new IntWritable(1));  
        }  
    }  
    ...  
}
```



## Splitting a String

- The `String` class includes a method named `split()`.
  - breaks a string into component strings
  - takes a parameter indicating what delimiter should be used when performing the split
  - returns a `String` array containing the components

- Example:

```
String sentence = "How now brown cow?";  
String[] words = sentence.split(" ");  
System.out.println(words[0]);  
System.out.println(words[3]);  
System.out.println(words.length);
```

would output:

## Processing an Input Record in map

`void map(Object key, Text value, Context context)`

- Recall: `value` is a `Text` object representing one record.
  - for Example 1, it looks like:  
`111,Alan Turing,1912-06-23,al@aol.com`
- To extract the month string:
  - use the `toString()` method to convert `Text` to `String`:  
`String line = value.toString();`
  - split `line` on the commas to get the fields:  
`String[] fields = line.split(",");`
  - similarly, split the date field on the hyphens to get its components
  - could we just split `line` on the hyphens?

## Reducer for Example 1

```
public static class MyMapper
    extends Mapper<Object, Text, Text, IntWritable>
{
    ...
}

public static class MyReducer
    extends Reducer<Text, IntWritable,
                  Text, LongWritable>
{
    public void reduce(Text key,
                      Iterable<IntWritable> values, Context context)
    {
        // code to add up the list of 1s goes here
        context.write(key, new LongWritable(total));
    }
    ...
}
```

- Use LongWritable to avoid overflow with large totals.

## Processing the List of Values in reduce

```
void reduce(Text key, Iterable<IntWritable> values,
            Context context)
```

- Use a *for-each* loop. In this case:  
for (IntWritable val : values)
- More generally, if values is of type Iterable<T> :  
for (T val : values)
- To extract the underlying value from most writable objects, use the get() method:  
int count = val.get(); // val is IntWritable
- However, Text doesn't have a get() method.
  - use toString() instead (see earlier notes)

### Reducer for Birth-Month Counter

```
public class BirthMonthCounter {  
    ...  
    public static class MyReducer  
        extends Reducer<Text, IntWritable,  
                        Text, LongWritable>  
    {  
        public void reduce(Text key,  
                            Iterable<IntWritable> values, Context context)  
        {  
            long total = 0;  
            for (IntWritable val : values) {  
                total += val.get()  
            }  
  
            context.write(key, new LongWritable(total));  
        }  
        ...  
    }  
}
```

- Use long and LongWritable to avoid overflow.

### Example 2: Month with the Most Birthdays

- **The data:** same as Example 1. Records of the form  
id,name,dob,email  
where dob is in the form yyyy-mm-dd
- **The problem:** Find the month with the most birthdays.

### Example 2: Month with the Most Birthdays (cont.)

- map should behave as before:  
111,Alan Turing,1912-06-23,al@ao1.com → ("06", 1)  
234,Grace Hopper,1906-12-09,gmh@harvard.edu → ("12", 1)  
444,Ada Lovelace,1815-12-10,ada@1800s.org → ("12", 1)
- reduce needs to:
  - add up the 1s for a given month  
("06", [1, 1]) → ("06", 2)  
("12", [1, 1, 1]) → ("12", 3)  
("03", [1]) → ("03", 1)
  - determine which month has the largest total
  - **but...**
    - there can be multiple reducer tasks, each of which handles one subset of the months
    - each reducer can only determine the largest month in its subset
  - **the solution:** a *chain* of two MapReduce jobs

### Example 2: Chaining Jobs

- First job = count birth months as we did in Example 1
  - map: person record → (birth month, 1)
  - reduce: (birth month, [1, 1, ...]) → (birth month, total)
- The outputs of the reducers from this first job are stored in *tab-delimited* text files.
  - in this case, each line of an output file has the form  
"birth month\ttotal"

### Example 2: Chaining Jobs (cont.)

- The second job processes the results of the first job, and sends them all to a *single reducer*.
  - map: reads from text file(s) created by the first job
    - like all mappers that read from text files:
      - input key = a line number that we ignore
      - input value = one record from the file
    - (line num, "birth month\ttotal") → (c, "birth month\ttotal")
      - output **key** = an arbitrary **constant c**, used for *all* of the k-v pairs that the mapper emits!
      - output **value** = an unchanged record from the 1<sup>st</sup> job!
        - (linenum1, "06\t2") → ("c", "06\t2")
        - (linenum2, "12\t3") → ("c", "12\t3")
        - (linenum3, "03\t1") → ("c", "03\t1")
    - with only one output key, there is only one reducer!
  - reduce: called *once*, finds the month with the most birthdays  
("c", ["06\t2", "12\t3", "03\t1"]) → ("12", 3)

### Example 2: Chaining Jobs (cont.)

```
public class MostBirthdaysMonth {
    public static class MyMapper1 extends... {
        ...
    }
    public static class MyReducer1 extends... {
        ...
    }
    public static class MyMapper2 extends... {
        ...
    }
    public static class MyReducer2 extends... {
        ...
    }
    ...
}
```

## Job Objects

- We use a Job object to:
  - provide information about our MapReduce job, such as:
    - the name of the Mapper class
    - the name of the Reducer class
    - the types of values produced by the job
    - the format of the input to the job
  - execute the job
- We'll give you a template for the necessary method calls.

## Configuring and Running the Job

```
public class BirthMonthCounter {  
    public static class MyMapper extends... {  
        ...  
    public static class MyReducer extends... {  
        ...  
    public static void main(String[] args)  
        throws Exception {  
            // code to configure and run the job  
        }  
    }  
}
```

## Configuring and Running the Job

```
public static void main(String[] args)
    throws Exception {
    Configuration conf = new Configuration();
    Job job = Job.getInstance(conf, "birth month");
    job.setJarByClass(BirthMonthCounter.class);
    job.setMapperClass(MyMapper.class);
    job.setReducerClass(MyReducer.class);

    // types for mapper's output keys and values
    job.setMapOutputKeyClass(Text.class);
    job.setMapOutputValueClass(IntWritable.class);

    // types for reducer's output keys and values
    job.setOutputKeyClass(Text.class);
    job.setOutputValueClass(LongWritable.class);

    job.setInputFormatClass(TextInputFormat.class);
    FileInputFormat.addInputPath(job, new Path(args[0]));
    FileOutputFormat.setOutputPath(job, new Path(args[1]));
    job.waitForCompletion(true);
}
```

## Configuring and Running a Chain of Jobs

```
public static void main(String[] args) throws Exception {
    Configuration conf = new Configuration();
    Job job1 = Job.getInstance(conf, "birth month");
    job1.setJarByClass(MostBirthdaysMonth.class);
    job1.setMapperClass(MyMapper1.class);
    job1.setReducerClass(MyReducer1.class);
    // set types for outputs of first mapper/reducer here
    ...
    FileInputFormat.addInputPath(job1, new Path(args[0]));
    FileOutputFormat.setOutputPath(job1, new Path(args[1]));
    job1.waitForCompletion(true);

    Job job2 = Job.getInstance(conf, "max month");
    job2.setJarByClass(MostBirthdaysMonth.class);
    job2.setMapperClass(MyMapper2.class);
    job2.setReducerClass(MyReducer2.class);
    // set types for outputs of second mapper/reducer here
    ...
    FileInputFormat.addInputPath(job2, new Path(args[1]));
    FileOutputFormat.setOutputPath(job2, new Path(args[2]));
    job2.waitForCompletion(true);
}
```

# NoSQL Databases

Computer Science 460  
Boston University

David G. Sullivan, Ph.D.

## The Rise of NoSQL

- Beginning in the early 2000s, web-based applications increasingly needed to deal with massive amounts of:
  - data
  - traffic / queries
- Scalability is crucial.
  - load can increase rapidly and unpredictably
- Large servers are expensive and can only grow so large.
- Solution: use clusters of small commodity machines
  - use both fragmentation/sharding and replication
  - cheaper
  - greater overall reliability



## The Rise of NoSQL (cont.)

- Problem: Relational DBMSs do not scale well to large clusters.
- Google and Amazon each developed their own alternative approaches to data management on clusters.
  - Google: BigTable
  - Amazon: DynamoDB
- The papers that Google and Amazon published about their efforts got others interested in developing similar DBMSs.
  - ➔ noSQL

## What Does NoSQL Mean?

- Not well defined.
- Typical characteristics of NoSQL DBMSs:
  - don't use SQL / the relational model
  - designed for use on clusters
    - support for sharding/fragmentation and replication
  - schema-less or flexible schema
- One good overview:  
Sadalage and Fowler, *NoSQL Distilled*  
(Addison-Wesley, 2013).

## Flavors of NoSQL

- Various taxonomies have been proposed
- The main classes of NoSQL databases are:
  - *key-value stores*
  - *document databases*
  - column-family (aka big-table) stores
  - graph databases
- We'll limit ourselves to the first two classes.

## Key-Value Stores

- We've already worked with one of these: Berkeley DB
- Simple data model: key/value pairs
- The keys are *opaque*.
  - the DBMS does *not* attempt to interpret them
- Queries are limited to query by key.
  - get/put/update/delete a key/value pair
  - iterate over key/value pairs

## Document Databases

- Also store key/value pairs
- Unlike key-value stores, the value is *not* opaque.
  - it is a *document* containing semistructured data
  - it *can* be examined and used by the DBMS
- Queries:
  - can be based on the key (as in key/value stores)
  - more often, are based on the contents of the document

## Example Document Database: MongoDB

- Mongo (from humongous)
- Key features include:
  - replication for high availability
  - auto-sharding for scalability
  - documents are expressed using JSON/BSON
- Related documents are grouped together into *collections*.
  - what does this remind you of?



## JSON

- JSON is an alternative data model for semistructured data.
  - JavaScript Object Notation
- Built on two key structures:
  - an *object*, which is a sequence of *fields* (name:value pairs)

```
{ id: "1000",  
  name: "Sanders Theatre",  
  capacity: 1000 }
```
  - an *array* of values

```
[ "123-456-7890", "222-222-2222", "333-333-3333" ]
```
- A value can be:
  - an atomic value: string, number, true, false, null
  - an object
  - an array

### Example: JSON Object for a Person

```
{  firstName: "John",  
    lastName: "Smith",  
    age: 25,  
    address: {  
        streetAddress: "21 2nd Street",  
        city: "New York",  
        state: "NY",  
        postalCode: "10021"  
    },  
    phoneNumbers: [  
        { type: "home",  
          number: "212-555-1234"  
        },  
        { type: "mobile",  
          number: "646-555-4567"  
        }  
    ]  
}
```

## BSON

- MongoDB actually uses BSON.
  - a binary representation of JSON
  - BSON = marshalled JSON!
- BSON includes some additional types that are not part of JSON.
  - in particular, a type called ObjectId for unique id values.
- Each MongoDB document is a BSON object.

## The `_id` Field

- Every MongoDB document must have an `_id` field.
  - its value must be unique within the collection
  - acts as the primary key of the collection
  - it is the key in the key/value pair
- If you create a document without an `_id` field:
  - MongoDB adds the field for you
  - assigns it a unique BSON ObjectId

## MongoDB Terminology

relational term	MongoDB equivalent
database	database
table	collection
row	document
attributes	fields (name:value pairs)
primary key	the <code>_id</code> field, which is the key associated with the document

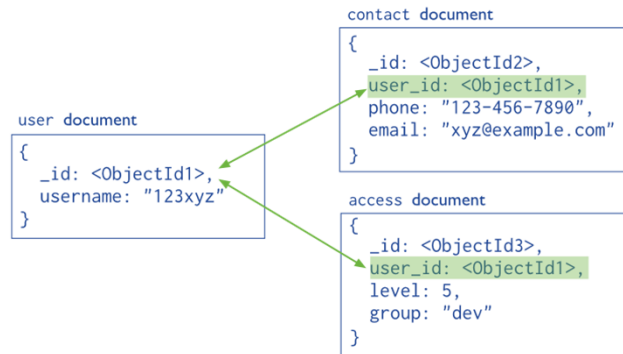
- Documents in a given collection typically have a similar purpose.
- However, no schema is enforced.
  - different documents in the same collection can have different fields

## Data Modeling in MongoDB

- Need to determine how to map entities and relationships → collections of documents
- Typically give each type of entity its own collection.
  - e.g., a collection of movie documents
- Need to figure out how to capture the relationships.

## Capturing Relationships in MongoDB

- Two options:
  - store references to other documents using their `_id` values



source: docs.mongodb.org/manual/core/ data-model-design

- where have we seen this before?

## Capturing Relationships in MongoDB (cont.)

- Two options (cont.):
  - embed documents within other documents



source: docs.mongodb.org/manual/core/ data-model-design

- where have we seen this before?

## Factors Relevant to Data Modeling in MongoDB

- Typically, a single query only accesses a single collection of documents.
  - newer versions allow joins, but they are inefficient
    - group together data that would otherwise need to be joined
- Atomicity is only provided for operations on a single document (and its embedded subdocuments).
  - group together data that needs to be updated as part of single logical operation (e.g., a balance transfer!)
  - group together data items A and B if A's current value affects whether/how you update B

## Factors Relevant to Data Modeling (cont.)

- If an update makes a document bigger than the space allocated for it on disk, it may need to be relocated.
  - slows down the update, and can cause disk fragmentation
  - MongoDB adds padding to documents to reduce the need for relocation
    - use references if embedded documents could lead to significant growth in the size of the document over time



## Data Model for the Movie Database

- Recall our movie database from PS 1.  
*Person(id, name, dob, pob)*  
*Movie(id, name, year, rating, runtime, genre, earnings\_rank)*  
*Oscar(movie\_id, person\_id, type, year)*  
*Actor(actor\_id, movie\_id)*  
*Director(director\_id, movie\_id)*
- Three types of entities: movies, people, oscars
- Need to decide how we should capture the relationships
  - between movies and actors
  - between movies and directors
  - between Oscars and the associated people and movies

## Data Model for the Movie Database (cont.)

- Assumptions about the relationships:
  - there are only one or two directors per movie
  - there are approx. five actors associated with each movie
  - the number of people associated with a given movie is fixed
  - each Oscar has exactly one associated movie and at most one associated person
- Assumptions about the queries:
  - Queries that involve both movies and people usually involve only the *names* of the people, not their other info.  
**common:** *Who directed Avatar?*  
**common:** *Which movies did Tom Hanks act in?*  
**less common:** *Which movies have actors from Boston?*
  - Queries that involve both Oscars and other entities usually involve only the *name(s)* of the person/movie.

### Data Model for the Movie Database (cont.)

- Given our assumptions, we can take a hybrid approach that includes both references and embedding.
- Use three collections: movies, people, oscars
- Use references as follows:
  - in movie documents, include ids of the actors and directors
  - in oscar documents, include ids of the person and movie
- Whenever we refer to a person or movie, we also embed the associated entity's name.
  - allows us to satisfy common queries like *Who acted in...?*

### Data Model for the Movie Database (cont.)

- In addition, add two boolean fields to person documents:
  - hasActed, hasDirected
  - only include when true
  - allows us to find all actors/directors that meet criteria involving their pob/dob
- Note that most per-entity state appears only once, in the main document for that entity.
- The only duplication is of people/movie names and ids.
  - reducing duplication also reduces the possibility of inconsistencies in the database
- Our design also ensures that documents won't grow significantly over time.

### Sample Movie Document

```
{ _id: "0499549",
  name: "Avatar",
  year: 2009,
  rating: "PG-13",
  runtime: 162,
  genre: "AVYS",
  earnings_rank: 1,
  actors: [ { id: "0000244",
              name: "Sigourney Weaver" },
            { id: "0002332",
              name: "Stephen Lang" },
            { id: "0735442",
              name: "Michelle Rodriguez" },
            { id: "0757855",
              name: "Zoe Saldana" },
            { id: "0941777",
              name: "Sam Worthington" } ],
  directors: [ { id: "0000116",
                  name: "James Cameron" } ] }
```

### Sample Person and Oscar Documents

```
{ _id: "0000059",
  name: "Laurence Olivier",
  dob: "1907-5-22",
  pob: "Dorking, Surrey, England, UK",
  hasActed: true,
  hasDirected: true
}

{ _id: ObjectId("528bf38ce6d3df97b49a0569"),
  year: 2013,
  type: "BEST-ACTOR",
  person: { id: "0000358",
             name: "Daniel Day-Lewis" },
  movie: { id: "0443272",
            name: "Lincoln" }
}
```

## Queries in MongoDB

- Each query can only access a single collection of documents.
- Use a method called `db.collection.find()`

`db.collection.find(<selection>, <projection>)`

- *collection* is the name of the collection
- *<selection>* is an optional document that specifies one or more selection criteria
  - omitting it (i.e., using an empty document `{}`) selects all documents in the collection
- *<projection>* is an optional document that specifies which fields should be returned
  - omitting it gets all fields in the document
- Example: find the names of all R-rated movies:  
`db.movies.find({ rating: "R" }, { name: 1 })`

## Comparison with SQL

- Example: find the names and runtimes of all R-rated movies that were released in 2000.
- SQL:

```
SELECT name, runtime
FROM Movie
WHERE rating = 'R' and year = 2000;
```
- MongoDB:

```
db.movies.find({ rating: "R", year: 2000 },
               { name: 1, runtime: 1 })
```

## Query Selection Criteria

`db.collection.find(<selection>, <projection>)`

- To find documents that match a set of field values, use a selection document consisting of those name/value pairs (see previous example).

- Operators for other types of comparisons:

MongoDB	SQL equivalent
<code>\$gt</code> , <code>\$gte</code>	<code>&gt;</code> , <code>&gt;=</code>
<code>\$lt</code> , <code>\$lte</code>	<code>&lt;</code> , <code>&lt;=</code>
<code>\$ne</code>	<code>!=</code>

- Example: find all movies with an earnings rank `<= 200`  
`db.movies.find({ earnings_rank: { $lte: 200 } })`
- Note that the operator is the field name of a subdocument.

## Query Selection Criteria (cont.)

- Logical operators: `$and`, `$or`, `$not`, `$nor`
  - take an *array* of selection subdocuments
  - example: find all movies rated R or PG-13:  

```
db.movies.find({ $or: [ { rating: "R" },  
                        { rating: "PG-13" }  
                      ]  
                })
```
  - example: find all movies *except* those rated R or PG-13 :  

```
db.movies.find({ $nor: [ { rating: "R" },  
                        { rating: "PG-13" }  
                      ]  
                })
```

### Query Selection Criteria (cont.)

- To test for set-membership or lack thereof: `$in`, `$nin`
  - example: find all movies rated R or PG-13:  

```
db.movies.find({ rating: { $in: ["R", "PG-13"] } })
```
  - example: find all movies *except* those rated R or PG-13 :  

```
db.movies.find({ rating: { $nin: ["R", "PG-13"] } })
```
- To test for the presence/absence of a field: `$exists`
  - example: find all movies with an earnings rank:  

```
db.movies.find({ earnings_rank: { $exists: true } })
```
  - example: find all movies *without* an earnings rank:  

```
db.movies.find({ earnings_rank: { $exists: false } })
```

### Logical AND

- You get an implicit logical AND by simply specifying a list of fields.
  - recall our previous example:  

```
db.movies.find({ rating: "R", year: 2000 })
```
  - example: find all R-rated movies shorter than 90 minutes:  

```
db.movies.find({ rating: "R",  
                runtime: { $lt: 90 }  
              })
```

## Logical AND (cont.)

- \$and is needed if the subconditions involve the same field
  - can't have duplicate field names in a given document
- Example: find all Oscars given in the 1990s.
  - the following would **not** work:

```
db.oscars.find({ year: { $gte: 1990 },
                  year: { $lte: 1999 }
                })
```
  - do this instead:

```
db.oscars.find({ $and: [ { year: { $gte: 1990 } },
                        { year: { $lte: 1999 } } ]
                })
```

## Pattern Matching

- Use a pattern surrounded with //
  - example: find all people born in Boston

```
db.people.find({ pob: /Boston,/ })
```
- Can use a \* wildcard character to indicate 0 or more characters.
  - equivalent to % in SQL
- You get a \* wildcard by default on either end of the pattern.
  - example: /Boston,/ is the same as /\*Boston,\*/
  - use: ^ to match the beginning of the value  
\$ to match the end of the value
    - /Boston,/ would match "South Boston, Mass"
    - /^Boston,/ would not, because the ^ indicates "Boston" must be at the start of the value

## Query Practice Problem

- Recall our sample person document:

```
{ _id: "0000059",  
  name: "Laurence Olivier",  
  dob: "1907-5-22",  
  pob: "Dorking, Surrey, England, UK",  
  hasActed: true,  
  hasDirected: true  
}
```

- How could we find all directors born in the UK? (Select all that apply.)

- A. `db.people.find({ pob: /UK$/, hasDirected: true })`
- B. `db.people.find({ pob: /UK$/,  
 hasDirected: { $exists: true } })`
- C. `db.people.find({ pob: /UK/,  
 hasDirected: { $exists: true } })`
- D. `db.people.find({ $pob: /UK/, $hasDirected: true })`

## Queries on Arrays/Subdocuments

- If a field has an array type

```
db.collection.find( { arrayField: val } )
```

finds all documents in which `val` is at least one of the elements in the array associated with `arrayField`

- Example: suppose that we stored a movie's genres as an array:

```
{ _id: "0317219", name: "Cars", year: 2006,  
  rating: "G", runtime: 124, earnings_rank: 80,  
  genre: ["N", "C", "F"], ... }
```

- to find all animated movies – ones with a genre of "N":

```
db.movies.find( { genre: "N" } )
```

- Given that we actually store the genres as a single string (e.g., "NCF"), how would we find animated movies?



### Queries on Arrays/Subdocuments (cont.)

- Use dot notation to access fields within a subdocument, or within an array of subdocuments:
  - example: find all Oscars won by the movie *Gladiator*:  
> `db.oscars.find( { "movie.name": "Gladiator" } )`  

```
{ _id: <ObjectID1>, year: 2001,
  type: "BEST-PICTURE",
  movie: { id: "0172495",
           name: "Gladiator" }}
{ _id: <ObjectID2>, year: 2001,
  type: "BEST-ACTOR",
  movie: { id: "0172495",
           name: "Gladiator" },
  person: { id: "0000128",
            name: "Russell Crowe" }}
```
- **Note:** When using dot notation, the field name must be surrounded by quotes.

### Queries on Arrays/Subdocuments (cont.)

- example: find all movies in which Tom Hanks has acted:  
> `db.movies.find( { "actors.name": "Tom Hanks" } )`  

```
{ _id: "0107818", name: "Philadelphia", year: 1993,
  rating: "PG-13", runtime: 125, genre: "D"
  actors: [ { id: "0000158",
               name: "Tom Hanks" },
             { id: "0000243",
               name: "Denzel Washington" },
             ...
            ],
  directors: [ { id: "0001129",
                  name: "Jonathan Demme" } ]
}
{ _id: "0109830", name: "Forrest Gump", year: 1994,
  rating: "PG-13", runtime: 142, genre: "CD"
  actors: [ { id: "0000158",
               name: "Tom Hanks" },
             ...
            ]
}
```

## Projections

`db.collection.find(<selection>, <projection>)`

- The projection document is a list of *fieldname: value* pairs:
  - a value of 1 indicates the field should be included
  - a value of 0 indicates the field should be excluded
- Recall our previous example:

```
db.movies.find({ rating: "R", year: 2000 },
               { name: 1, runtime: 1 })
```
- Example: find all info. about R-rated movies except their genres:

```
db.movies.find({ rating: "R" }, { genre: 0 })
```

## Projections (cont.)

- The `_id` field is returned unless you explicitly exclude it.

```
> db.movies.find({ rating: "R", year: 2011 },
                  { name: 1 })
{ _id: "1411697", name: "The Hangover Part II" }
{ _id: "1478338", name: "Bridesmaids" }
{ _id: "1532503", name: "Beginners" }
```

```
> db.movies.find({ rating: "R", year: 2011 },
                  { name: 1, _id: 0 })
{ name: "The Hangover Part II" }
{ name: "Bridesmaids" }
{ name: "Beginners" }
```
- A given projection should either have:
  - all values of 1: specifying the fields to include
  - all values of 0: specifying the fields to exclude
  - one exception: specify fields to include, and exclude `_id`

### Iterating Over the Results of a Query

- `db.collection.find()` returns a cursor that can be used to iterate over the results of a query
- In the MongoDB shell, if you don't assign the cursor to a variable, it will automatically be used to print up to 20 results.
  - if more than 20, use the command `it` to continue the iteration

### Aggregation

- Recall the aggregate operators in SQL: `AVG()`, `SUM()`, etc.
- More generally, *aggregation* involves computing a result from a collection of data.
- MongoDB supports two approaches to aggregation:
  - single-purpose aggregation methods
  - an aggregation pipeline

## Single-Purpose Aggregation Methods

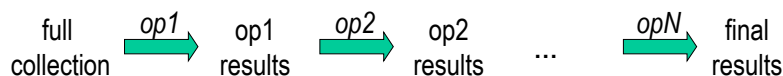
- `db.collection.count(<selection>)`
  - returns the number of documents in the collection that satisfy the specified selection document
  - ex: how many R-rated movies are shorter than 90 minutes?  

```
db.movies.count({ rating: "R",  
                  runtime: { $lt: 90 } })
```
- `db.collection.distinct(<field>, <selection>)`
  - returns an array with the distinct values of the specified field in documents that satisfy the specified selection document
  - if omit the selection, get all distinct values of that field
  - ex: which actors have been in one or more of the top 10 grossing movies?  

```
db.movies.distinct("actors.name",  
                  { earnings_rank: { $lte: 10 } })
```

## Aggregation Pipeline

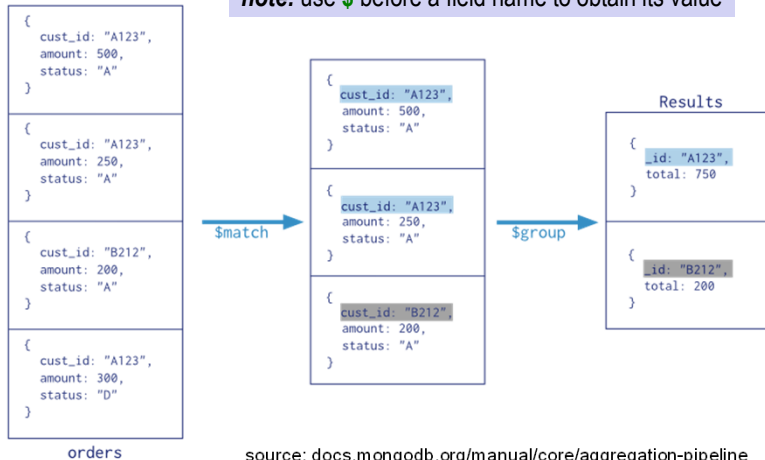
- A more general-purpose and flexible approach to aggregation is to use a *pipeline* of aggregation operations.
- Each stage of the pipeline:
  - takes a set of documents as input
  - applies a *pipeline operator* to those documents, which transforms / filters / aggregates them in some way
  - produces a new set of documents as output
- `db.collection.aggregate(  
 { <pipeline-op1>: <pipeline-expression1> },  
 { <pipeline-op2>: <pipeline-expression2> },  
 ...,  
 { <pipeline-opN>: <pipeline-expressionN> } )`



## Aggregation Pipeline Example

```
db.orders.aggregate(  
  { $match: { status: "A" } },  
  { $group: { _id: "$cust_id", total: { $sum: "$amount" } } }  
)
```

**note:** use **\$** before a field name to obtain its value



## Pipeline Operators

- **\$project** – include, exclude, rename, or create fields
  - Example of a single-stage pipeline using `$project`:

```
db.people.aggregate(  
  { $project: {  
    name: 1,  
    whereBorn: "$pob",  
    yearBorn: { $substr: ["$dob", 0, 4] }  
  }  
})
```
  - for each document in the people collection, extracts:
    - name (1 = include, as in earlier projection documents)
    - pob, which is renamed whereBorn
    - a new field called yearBorn, which is derived from the existing pob values (yyyy-m-d → yyyy)
    - the `_id` field, because we didn't exclude it
  - **note:** use **\$** before a field name to obtain its value

## Pipeline Operators (cont.)

- `$group` – like GROUP BY in SQL

```
$group: { _id: <field to group by>,  
          <computed-field-1>,  
          ..., <computed-field-N> }
```
- example: compute the number of movies with each rating

```
db.movies.aggregate(  
  { $group: { _id: "$rating",  
              numMovies: { $sum: 1 }  
            } } )
```
- `{ $sum: 1 }` is equivalent to COUNT(\*) in SQL
  - for each document in a given subgroup,  
 adds 1 to that subgroup's value of the computed field
- can also sum values of a specific field (see earlier slide)
- `$sum` is one example of an *accumulator*
- others include: `$min`, `$max`, `$avg`, `$addToSet`

## Pipeline Operators (cont.)

- `$match` – selects documents according to some criteria

```
$match: <selection>
```

where `<selection>` has identical syntax to the selection documents used by `db.collection.find()`
- `$unwind` – takes a document with an array of values and creates a separate document for each value in the array.
  - may be needed to allow for subsequent grouping
  - see the next example

## Example of a Three-Stage Pipeline

```
db.movies.aggregate(  
  { $match: { year: 2013 } },  
  { $project: { _id: 0,  
                movie: "$name",  
                actor: "$actors.name" } },  
  { $unwind: "$actor" }  
)
```

- What does each stage do?
  - \$match: select movies released in 2013
  - \$project: for each such movie, create a document with:
    - no \_id field
    - the name field of the movie, but renamed movie
    - the names of the actors (an array), as a field named actor
  - \$unwind: turn each movie's document into a set of documents, one for each actor in the array of actors

## Example of a Three-Stage Pipeline: Stage 1

```
db.movies.aggregate(  
  { $match: { year: 2013 } },  
  { $project: { _id: 0,  
                movie: "$name",  
                actor: "$actors.name" } },  
  { $unwind: "$actor" }  
)
```

---

```
{  
  _id: "1951264",  
  name: "The Hunger Games: Catching Fire",  
  year: 2013,  
  ...  
  actors: [  
    { id: "2225369", name: "Jennifer Lawrence" },  
    { id: "2955013", name: "Liam Hemsworth" },  
    { id: "4425051", name: "Jack Quaid" },  
    { id: "1193262", name: "Taylor St. Clair" },  
    { id: "0480808", name: "Sandra Ellis Lafferty" } ],  
  "directors": ...  
}  
{  
  _id: "1300854",  
  name: "Iron Man 3",  
  year: 2013,  
  ...  
  actors: [  
    { id: "0000375", name: "Robert Downey Jr." },  
    ...  
  ]  
}
```

## Example of a Three-Stage Pipeline: Stage 2

```
db.movies.aggregate(  
  { $match: { year: 2013 } },  
  { $project: { _id: 0,  
                movie: "$name",  
                actor: "$actors.name" } },  
  { $unwind: "$actor" }  
)  
  
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: ["Jennifer Lawrence",  
         "Liam Hemsworth",  
         "Jack Quaid",  
         "Taylor St. Clair",  
         "Sandra Ellis Lafferty"]  
}  
{  
  movie: "Iron Man 3",  
  actor: ["Robert Downey Jr.",  
         "Gwyneth Paltrow",  
         "Don Cheadle",  
         "Guy Pearce",  
         "Rebecca Hall"]  
}  
...
```

## Example of a Three-Stage Pipeline: Stage 3

```
db.movies.aggregate(  
  { $match: { year: 2013 } },  
  { $project: { _id: 0,  
                movie: "$name",  
                actor: "$actors.name" } },  
  { $unwind: "$actor" }  
)  
  
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: ["Jennifer Lawrence",  
         "Liam Hemsworth",  
         "Jack Quaid",  
         "Taylor St. Clair",  
         "Sandra Ellis Lafferty"]  
}  
{  
  movie: "Iron Man 3",  
  actor: ["Robert Downey Jr.",  
         "Gwyneth Paltrow",  
         "Don Cheadle",  
         "Guy Pearce",  
         "Rebecca Hall"]  
}  
...  
}
```



```
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: "Jennifer Lawrence"  
}  
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: "Liam Hemsworth"  
}  
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: "Jack Quaid"  
}  
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: "Taylor St. Clair"  
}  
{  
  movie: "The Hunger Games: Catching Fire",  
  actor: "Sandra Ellis Lafferty"  
}  
...
```



## Another Example: What does each stage do?

```
db.oscars.aggregate(  
  { $match: { year: { $gte: 1980 } } },  
  { $group: { _id: "$year", count: { $sum: 1 } } },  
  { $match: { count: { $gt: 6 } } },  
  { $project: { _id: 0, year: "$_id",  
                num_awards: "$count" } } )
```

- first \$match: select Oscars awarded in 1980 or later
- \$group: take the Oscar docs selected by \$match and:
  - create subgroups based on year (as specified by \_id field)
  - for each subgroup, create a new doc with year as \_id and a count field with the num. of Oscars from that year
- second \$match: select docs for years with more than 6 Oscars
- \$project: for each such year, create a document with:
  - no \_id field
  - the \_id field produced by \$group, but renamed year
  - the count field produced by \$group, renamed num\_awards

## More on Computing Aggregates

```
db.oscars.aggregate(  
  { $match: { year: { $gte: 1980 } } },  
  { $group: { _id: "$year",  
              count: { $sum: 1 } } },  
  { $match: { count: { $gt: 6 } } },  
  { $project: { _id: 0,  
                year: "$_id",  
                num_awards: "$count" } } )
```

- The \$group stage in the prior query computed a separate count for each of several subgroups.
- This is comparable to using an aggregate function with GROUP BY in SQL.

### More on Computing Aggregates (cont.)

- What if we just want to compute a single count, average, etc.?
  - example: find the average runtime of all R-rated movies.
- In SQL, we would do something like this (with no GROUP BY):

```
SELECT AVG(runtime)
FROM Movie
WHERE rating = 'R';
```

- In MongoDB, we still need a \$group stage, but we group on null in order to create a single group:

```
db.movies.aggregate(
  { $match: { rating: "R" } },
  { $group: { _id: null,
              avg_runtime: { $avg: "$runtime" } } },
  { $project: { _id: 0, avg_runtime: 1 } }
)
```

### Two Additional Pipeline Operators

- **\$sort** – sorts documents according to one of the fields

```
{ $sort: { field1_to_sort_on: sort_order1,
              field2_to_sort_on: sort_order2, ... } }
```

  - for sort\_order, use 1 for ascending  
-1 for descending

- **\$limit** – include only the first n documents in a set of results

```
{ $limit: n }
```

- Example: Find the name and runtime of the movie with the longest runtime:

```
db.movies.aggregate( { $sort: { runtime: -1 } },
                     { $limit: 1 },
                     { $project: { _id: 0,
                                   name: 1,
                                   runtime: 1 } } )
```

- note: if 2 or more movies are tied, will only get one of them

## Sample documents from our three collections...

movies

```
{ _id: "0499549", name: "Avatar", year: 2009, rating: "PG-13",  
  runtime: 162, genre: "AVYS", earnings_rank: 4,  
  actors: [ { id: "0000244", name: "Sigourney Weaver" },  
            { id: "0757855", name: "Zoe Saldana" }, ... ],  
  directors: [ { id: "0000116", name: "James Cameron" } ] }
```

people

```
{ _id: "0000059", name: "Laurence Olivier", dob: "1907-5-22",  
  pob: "Dorking, Surrey, England, UK",  
  hasActed: true, hasDirected: true }
```

oscars

```
{ _id: ObjectId("528bf38ce6d3df97b49a0569"),  
  year: 2013, type: "BEST-ACTOR",  
  person: { id: "0000358", name: "Daniel Day-Lewis" },  
  movie: { id: "0443272", name: "Lincoln" } }
```

## Practice Query

movies

```
{ _id: "0499549", name: "Avatar", year: 2009, rating: "PG-13",  
  runtime: 162, genre: "AVYS", earnings_rank: 4,  
  actors: [ { id: "0000244", name: "Sigourney Weaver" },  
            { id: "0757855", name: "Zoe Saldana" }, ... ],  
  directors: [ { id: "0000116", name: "James Cameron" } ] }
```

people

```
{ _id: "0000059", name: "Laurence Olivier", dob: "1907-5-22",  
  pob: "Dorking, Surrey, England, UK",  
  hasActed: true, hasDirected: true }
```

oscars

```
{ _id: ObjectId("528bf38ce6d3df97b49a0569"),  
  year: 2013, type: "BEST-ACTOR",  
  person: { id: "0000358", name: "Daniel Day-Lewis" },  
  movie: { id: "0443272", name: "Lincoln" } }
```

Query: Find the names of people who have won Best Director more than once, and how many times they've won.

```
db.____.aggregate({ $match: _____ },  
                   { $group: { _id: _____,  
                               num_wins: _____ } },  
                   { $match: _____ },  
                   { $project: { _id: 0, name: _____,  
                                num_wins: 1 } })
```

### Extra Practice Writing Queries

- 1) Find the names of all people in the database who acted in *Avatar*.

- SQL:

```
SELECT P.name
FROM Person P, Actor A, Movie M
WHERE P.id = A.actor_id
AND M.id = A.movie_id
AND M.name = 'Avatar';
```

- MongoDB:

### Extra Practice Writing Queries (cont.)

- 2) How many people in the database who were born in California have won an Oscar?

- SQL:

```
SELECT COUNT(DISTINCT P.id)
FROM Person P, Oscar O
WHERE P.id = O.person_id
AND P.pob LIKE '%,%California%';
```

- Can't easily answer this question using our MongoDB version of the database. Why not?

## Recovery and Logging

Computer Science 460  
Boston University

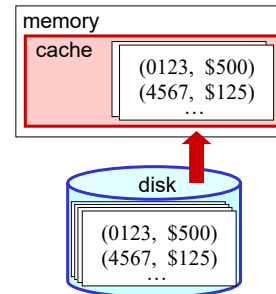
David G. Sullivan, Ph.D.

### Review: ACID Properties

- A transaction has the following “ACID” properties:
  - Atomicity: either all of its changes take effect or none do
  - Consistency preservation: its operations take the database from one consistent state to another
  - Isolation: it is not affected by and does not affect other concurrent transactions
  - Durability: once it completes, its changes survive failures
- We’ll now look at how the DBMS guarantees atomicity and durability.
  - ensured by the subsystem responsible for *recovery*

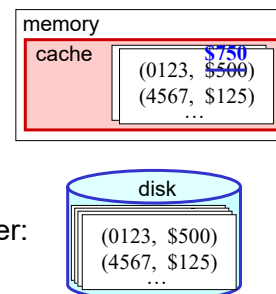
## Caching and Reads

- When a database page is read from disk, it is stored in a region of memory known as the *cache*.
- If a transaction needs an item whose page is already in the cache, it can access it without any disk I/O.
  - improving performance!



## Caching and Writes

- When a page is updated, the changes are initially made to the in-memory / cached version of the page.
  - don't go to disk right away – improving performance!
- An updated page goes to disk when it's either:
  - *evicted* to make room for other pages
  - *forced* to disk by the DBMS
- It's possible for the DBMS to *pin* a page in memory, to ensure it isn't evicted until an appropriate time.
- If a crash occurs, updates to a cached page may not have made it to disk before the crash.



## What Is Recovery?

- Recovery is performed after:
  - a crash of the DBMS
  - other non-catastrophic failures (e.g., a reboot)
  - (for catastrophic failures, need an archive or replication)
- It makes everything right again.
  - allows the rest of the DBMS to be built as if failures don't occur
- "the scariest code you'll ever write" (Margo Seltzer)
  - it has to work
  - it's rarely executed
  - it can be difficult to test

## What Is Recovery? (cont.)

- During recovery, the DBMS takes the steps needed to:
  - *redo* changes made by any committed txn, if there's a chance the changes didn't make it to disk
    - ➔ durability: the txn's changes are still there after the crash
    - ➔ atomicity: *all* of its changes take effect
  - *undo* changes made by any txn that didn't commit, if there's a chance the changes made it to disk
    - ➔ atomicity: *none* of its changes take effect
    - also used when a transaction is rolled back
- In order for recovery to work, need to maintain enough state about txns to be able to redo or undo them.

## Logging

- The *log* is a file that stores the info. needed for recovery.
- It contains:
  - **update records**, each of which summarizes a write
  - records for **transaction begin** and **commit**
- It does *not* record reads.
  - don't affect the state of the database
  - aren't relevant to recovery
- The log is append-only: records are added at the end, and blocks of the log file are written to disk sequentially.
  - more efficient than non-sequential writes to the database files

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; old: 3000; new: 2500
225	txn: 1; item: D2; old: 1000; new: 1500
350	txn: 2; BEGIN
400	txn: 2; item: D3; old: 7200; new: 6780
470	txn: 1; item: D1; old: 2500; new: 2750
550	txn: 1; COMMIT
585	txn: 2; item: D2; old: 1500; new: 1300
675	txn: 2; item: D3; old: 6780; new: 6760

## Write-Ahead Logging (WAL)

- Both updated database pages and log records are cached.
- It's important that they go to disk in a specific order.
- Example of what can go wrong:

```
read balance1
write(balance1 - 500)
read balance2
write(balance2 + 500)
CRASH
```

- assume that:
  - `write(balance1 - 500)` made it to disk
  - `write(balance2 + 500)` didn't make it to disk
  - neither of the corresponding log records made it to disk
- the database is in an inconsistent state
- without the log records, the recovery system can't restore it



## Write-Ahead Logging (WAL) (cont.)

- The write-ahead logging (WAL) policy:  
*before a modified database page is written to disk,  
all update log records describing changes on that page  
must be forced to disk*
  - the log records are "written ahead" of the database page
- This ensures that the recovery system can restore the database to a consistent state.

## Undo-Redo Logging

- Update log records must include both the old *and* new values of the changed data element.
- Example log after a crash:
  - the database could be in an inconsistent state
  - why?
    - some of T1's changes may not have made it to disk.  
*need to redo*
    - some of T2's changes may have made it to disk.  
*need to undo*

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; old: 3000; new: 2500
225	txn: 1; item: D2; old: 1000; new: 1500
350	txn: 2; BEGIN
400	txn: 2; item: D3; old: 7200; new: 6780
470	txn: 1; item: D1; old: 2500; new: 2750
500	txn: 1; item: D2; old: 1500; new: 2100
550	txn: 1; COMMIT
585	txn: 2; item: D2; old: 2100; new: 1300
675	txn: 2; item: D3; old: 6780; new: 6760

### Undo-Redo Logging (cont.)

- To ensure that it can undo/redo txns as needed, undo-redo logging follows the WAL policy.
- In addition, it does the following when a transaction commits:
  1. writes the commit log record to the in-memory log buffer
  2. forces to disk all dirty log records (dirty = not yet written to disk)
- It does *not* force the dirty database pages to disk.
- At recovery, it performs two passes:
  - first, a *backward pass* to undo uncommitted transactions
  - then, a *forward pass* to redo committed transactions

### Recovery Using Undo-Redo Logging

- *Backward pass*: begin at the last log record and scan backward
  - for each commit record, add the txn to a *commit list*
  - for each update by a txn *not* on the commit list, undo the update (restoring the old value)
  - for now, we skip:
    - updates by txns that *are* on the commit list
    - all begin records
- *Forward pass*:
  - for each update by a txn that *is* on the commit list, redo the update (writing the new value)
  - skip updates by txns that are *not* on the commit list, because they were handled on the backward pass
  - skip other records as well

## Recovery Using Undo-Redo Logging (cont.)

- Here's how it would work on our earlier example:

LSN	record contents	backward pass	forward pass
100	txn: 1; BEGIN	skip	skip
150	txn: 1; item: D1; old: 3000; new: 2500	skip	redo: D1 = 2500
225	txn: 1; item: D2; old: 1000; new: 1500	skip	redo: D2 = 1500
350	txn: 2; BEGIN	skip	skip
400	txn: 2; item: D3; old: 7200; new: 6780	undo: D3 = 7200	skip
470	txn: 1; item: D1; old: 2500; new: 2750	skip	redo: D1 = 2750
500	txn: 1; item: D2; old: 1500; new: 2100	skip	redo: D2 = 2100
550	txn: 1; COMMIT	add to commit list	skip
585	txn: 2; item: D2; old: 2100; new: 1300	undo: D2 = 2100	skip
675	txn: 2; item: D3; old: 6780; new: 6760	undo: D3 = 6780	skip

- Recovery restores the database to a consistent state that reflects:
  - all* of the updates by txn 1 (which committed before the crash)
  - none* of the updates by txn 2 (which did *not* commit)

## The Details Matter!

LSN	record contents	backward pass	forward pass
100	txn: 1; BEGIN	skip	skip
150	txn: 1; item: D1; old: 3000; new: 2500	skip	redo: D1 = 2500
225	txn: 1; item: D2; old: 1000; new: 1500	skip	redo: D2 = 1500
350	txn: 2; BEGIN	skip	skip
400	txn: 2; item: D3; old: 7200; new: 6780	undo: D3 = 7200	skip
470	txn: 1; item: D1; old: 2500; new: 2750	skip	redo: D1 = 2750
500	txn: 1; item: D2; old: 1500; new: 2100	skip	redo: D2 = 2100
550	txn: 1; COMMIT	add to commit list	skip
585	txn: 2; item: D2; old: 2100; new: 1300	undo: D2 = 2100	skip
675	txn: 2; item: D3; old: 6780; new: 6760	undo: D3 = 6780	skip

- Scanning backward at the start of recovery provides the info needed for undo / redo decisions.
  - when we see an update, we already know whether the txn has committed!

## The Details Matter!

<i>LSN</i>	<i>record contents</i>	<i>backward pass</i>	<i>forward pass</i>
100	txn: 1; BEGIN	skip	skip
150	txn: 1; item: D1; old: 3000; new: 2500	skip	redo: D1 = 2500
225	txn: 1; item: D2; old: 1000; new: 1500	skip	redo: D2 = 1500
350	txn: 2; BEGIN	skip	skip
400	txn: 2; item: D3; old: 7200; new: 6780	undo: D3 = 7200	skip
470	txn: 1; item: D1; old: 2500; new: 2750	skip	redo: D1 = 2750
500	txn: 1; item: D2; old: 1500; new: 2100	skip	redo: D2 = 2100
550	txn: 1; COMMIT	add to commit list	skip
585	txn: 2; item: D2; old: 2100; new: 1300	undo: D2 = 2100	skip
675	txn: 2; item: D3; old: 6780; new: 6760	undo: D3 = 6780	skip

- 2) To ensure the correct values are on disk after recovery, we:
- put all redos after all undos (consider D2 above)
  - perform the undos in reverse order (consider D3 above)
  - perform the redos in the same order as the original updates (consider D1 above)

## Extra practice: Perform recovery on this log

<i>LSN</i>	<i>record contents</i>		
100	txn: 1; BEGIN		
210	txn: 1; item: D1; old: 45; new: 75		
300	txn: 2; BEGIN		
420	txn: 2; item: D2; old: 80; new: 25		
500	txn: 2; item: D3; old: 30; new: 60		
525	txn: 2; COMMIT		
570	txn: 1; item: D3; old: 60; new: 90		

## Logical Logging

- We've assumed that update records store the old + new values of the changed data element.
- It's also possible to use *logical logging*, which stores a logical description of the update operation.
  - example: increment D1 by 1
- Logical logging is especially useful when we use pages or blocks as data elements, rather than records.
  - storing the old and new contents of a page or block would take up a lot of space
  - instead, store a logical description
    - for example: "add record r somewhere on D1"

## Logical Logging (cont.)

- When we store old and new data values, the associated undo/redo operations are *idempotent*.
  - can be performed multiple times without changing the result
- Problem: logical update operations *may not be* idempotent.
  - example: if "increment D1 by 1" has already been performed, we don't want to redo it
  - example: if "increment D1 by 1" has not been performed, we don't want to undo it
  - example: if "add record r to page D1" has already been performed, we don't want to redo it
- To ensure that only the necessary undo/redos are made, the DBMS makes use of the *log sequence numbers (LSNs)* associated with the update log records.

## Storing LSNs with Data Elements

- When a data element is updated, the DBMS:
  - stores the LSN of the update log record with the data element
    - known as the *datum LSN*
  - stores the old LSN of the data element in the log record

log file

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; new: "bar"; old: "foo"; olsn: 0
225	txn: 1; item: D2; new: "boy"; old: "oh"; olsn: 0
350	txn: 2; BEGIN
400	txn: 2; item: D3; new: "boo"; old: "moo"; olsn: 0
470	txn: 1; item: D1; new: "cat"; old: "bar"; olsn: 150
550	txn: 1; COMMIT
585	txn: 2; item: D2; new: "pie"; old: "boy"; olsn: 225
675	txn: 2; item: D3; new: "zip"; old: "boo"; olsn: 400

data elements (value / datum LSN)

D1	D2	D3
"foo" / 0	"oh" / 0	"moo" / 0
"bar" / 150		
	"boy" / 225	
		"boo" / 400
"cat" / 470		
	"pie" / 585	
		"zip" / 675

## Storing LSNs with Data Elements (cont.)

- Recall: When a crash occurs, we're *not* guaranteed that the most recent value of a given data element made it to disk.
  - similarly, the *on-disk* datum LSN may *not* be the most recent one

log file

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; new: "bar"; old: "foo"; olsn: 0
225	txn: 1; item: D2; new: "boy"; old: "oh"; olsn: 0
350	txn: 2; BEGIN
400	txn: 2; item: D3; new: "boo"; old: "moo"; olsn: 0
470	txn: 1; item: D1; new: "cat"; old: "bar"; olsn: 150
550	txn: 1; COMMIT
585	txn: 2; item: D2; new: "pie"; old: "boy"; olsn: 225
675	txn: 2; item: D3; new: "zip"; old: "boo"; olsn: 400

data elements (value / datum LSN)

D1	D2	D3
"foo" / 0	"oh" / 0	"moo" / 0
"bar" / 150		
	"boy" / 225	
		"boo" / 400
"cat" / 470		
	"pie" / 585	
		"zip" / 675

## Recovery Using LSNs

- During recovery, there are three LSNs to consider for each update record:
  - the **record LSN**: the one for the update record itself
  - the on-disk **datum LSN** for the data item
    - the one associated with it in the database file
  - the **olsn**: the old datum LSN for the data item
    - the one associated with it when the update was originally requested

on-disk datum LSNs:  
D4: 0, D5: 0, **D6: 1100**, D7: 930

LSN	record contents
700	txn: 3; BEGIN
770	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0
825	txn: 4; BEGIN
850	txn: 4; item: D4; old: 9000; new: 8500; olsn: 0
900	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0
930	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0
980	txn: 4; COMMIT
1000	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850
<b>1100</b>	txn: 3; item: <b>D6</b> ; old: 8.9; new: 4.1; olsn: <b>900</b>

## The Backward Pass Using LSNs

- During the backward pass, we undo an update if:
  - the txn did *not* commit
  - datum LSN** == **record LSN**
- When we undo, we also set:  
datum LSN = olsn

on-disk datum LSNs:  
D4: 0, D5: 0, **D6: 1100**, D7: 930

LSN	record contents
700	txn: 3; BEGIN
770	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0
825	txn: 4; BEGIN
850	txn: 4; item: D4; old: 9000; new: 8500; olsn: 0
900	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0
930	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0
980	txn: 4; COMMIT
1000	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850
<b>1100</b>	txn: 3; item: <b>D6</b> ; old: 8.9; new: 4.1; olsn: <b>900</b>

## Which updates will be undone?

- datum LSNs: D4: 0      D5: 0      D6: 1100      D7: 930

LSN	record contents	backward pass	forward pass
700	txn: 3; BEGIN		
<b>770</b>	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0		
825	txn: 4; BEGIN		
<b>850</b>	txn: 4; item: D4; old: 9000; new: 8500; olsn: 0		
<b>900</b>	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0		
<b>930</b>	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0		
980	txn: 4; COMMIT		
<b>1000</b>	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850		
<b>1100</b>	txn: 3; item: D6; old: 8.9; new: 4.1; olsn: 900		



## Which updates will be undone?

- datum LSNs: D4: 0      D5: 0      D6: 1100, 900      D7: 930, 0

LSN	record contents	backward pass	forward pass
700	txn: 3; BEGIN	skip	
770	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0	0 != 770 don't undo	
825	txn: 4; BEGIN	skip	
850	txn: 4; item: D4; old: 9000; new: 8500; olsn: 0	skip	
900	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0	skip	
930	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0	930 == 930 undo: D7 = "zoo" datum LSN = 0	
980	txn: 4; COMMIT	add to commit list	
1000	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850	0 != 1000 don't undo	
1100	txn: 3; item: D6; old: 8.9; new: 4.1; olsn: 900	1100 == 1100 undo: D6 = 8.9 datum LSN = 900	

## The Forward Pass Using LSNs

- During the forward pass, we redo an update if:
  - the txn *did* commit
  - datum LSN == olsn**
- When we redo, we also set:  
datum LSN = record LSN

on-disk datum LSNs:  
**D4: 0**, D5: 0, D6: 900, D7: 0

LSN	record contents
700	txn: 3; BEGIN
770	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0
825	txn: 4; BEGIN
<b>850</b>	txn: 4; item: <b>D4</b> ; old: 9000; new: 8500; olsn: <b>0</b>
900	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0
930	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0
980	txn: 4; COMMIT
1000	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850
1100	txn: 3; item: D6; old: 8.9; new: 4.1; olsn: 900

## Which updates will be redone?

- datum LSNs: D4: 0      D5: 0      D6: 1100, **900**      D7: ~~930~~, **0**

LSN	record contents	backward pass	forward pass
700	txn: 3; BEGIN	skip	
<b>770</b>	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0	0 != 770 don't undo	
825	txn: 4; BEGIN	skip	
<b>850</b>	txn: 4; item: D4; old: 9000; new: 8500; olsn: 0	skip	
<b>900</b>	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0	skip	
<b>930</b>	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0	930 == 930 undo: D7 = "zoo" datum LSN = 0	
980	txn: 4; COMMIT	add to commit list	
<b>1000</b>	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850	0 != 1000 don't undo	
<b>1100</b>	txn: 3; item: D6; old: 8.9; new: 4.1; olsn: 900	1100 == 1100 undo: D6 = 8.9 datum LSN = 900	

### Which updates will be redone?

- datum LSNs: D4: ~~0~~, 850 D5: 0 D6: 1100, 900 D7: ~~930~~, 0

LSN	record contents	backward pass	forward pass
700	txn: 3; BEGIN	skip	skip
770	txn: 3; item: D5; old: "foo"; new: "bar"; olsn: 0	0 != 770 don't undo	skip
825	txn: 4; BEGIN	skip	skip
850	txn: 4; item: D4; old: 9000; new: 8500; olsn: 0	skip	0 == 0 redo: D4 = 8500 datum LSN = 850
900	txn: 4; item: D6; old: 5.7; new: 8.9; olsn: 0	skip	900 != 0 don't redo
930	txn: 3; item: D7; old: "zoo"; new: "cat"; olsn: 0	930 == 930 undo: D7 = "zoo" datum LSN = 0	skip
980	txn: 4; COMMIT	add to commit list	skip
1000	txn: 3; item: D4; old: 8500; new: 7300; olsn: 850	0 != 1000 don't undo	skip
1100	txn: 3; item: D6; old: 8.9; new: 4.1; olsn: 900	1100 == 1100 undo: D6 = 8.9 datum LSN = 900	skip

### Recall: Undo-Redo Logging

- To ensure that it can undo/redo txns as needed, undo-redo logging follows the WAL policy.
- In addition, it does the following when a transaction commits:
  1. writes the commit log record to the in-memory log buffer
  2. forces to disk all dirty log records (dirty = not yet written to disk)
- It does *not* force the dirty database pages to disk.
- At recovery, it performs two passes:
  - first, a *backward pass* to undo uncommitted transactions
  - then, a *forward pass* to redo committed transactions

### Undo-Only Logging

- Only store the info. needed to undo txns.
  - update records include only the old value
- Like undo-redo logging, undo-only logging follows WAL.
- In addition, all database pages changed by a transaction must be forced to disk before allowing the transaction to commit. Why?
- At transaction commit:
  1. force all dirty log records to disk
  2. force database pages changed by the txn to disk
  3. write the commit log record
  4. force the commit log record to disk
- During recovery, the system only performs the backward pass.

### Redo-Only Logging

- Only store the info. needed to redo txns.
  - update records include only the new value
- Like the other two schemes, redo-only logging follows WAL.
- In addition, all database pages changed by a txn are held in memory until it commits and its commit record is forced to disk.
- At transaction commit:
  1. write the commit log record
  2. force all dirty log records to disk(changed database pages are allowed to go to disk anytime after this)
- If a transaction aborts, none of its changes can be on disk.
- During recovery, perform the backward pass to build the commit list (no undos). Then perform the forward pass as in undo-redo.

## Practice Problem

- Recall the three logging schemes:
  - undo-redo, undo-only, redo-only

txn 1  
writes 75 for D1  
writes 90 for D3

- What type of logging is being used to create the log at right?*

txn 2  
writes 25 for D2  
writes 60 for D3

LSN	record contents
100	txn: 1; BEGIN
210	txn: 1; item: D1; old: 45
300	txn: 2; BEGIN
420	txn: 2; item: D2; old: 80
500	txn: 2; item: D3; old: 30
525	txn: 2; COMMIT
570	txn: 1; item: D3; old: 60

## Practice Problem

- Recall the three logging schemes:
  - undo-redo, undo-only, redo-only

txn 1  
 writes 75 for D1  
 writes 90 for D3

- What type of logging is being used to create the log at right?  
 undo-only

txn 2  
 writes 25 for D2  
 writes 60 for D3

- To make the rest of the problem easier, add the new values to the log...

LSN	record contents
100	txn: 1; BEGIN
210	txn: 1; item: D1; old: 45; new: 75
300	txn: 2; BEGIN
420	txn: 2; item: D2; old: 80; new: 25
500	txn: 2; item: D3; old: 30; new: 60
525	txn: 2; COMMIT
570	txn: 1; item: D3; old: 60; new: 90

## Practice Problem

- Recall the three logging schemes:
  - undo-redo, undo-only, redo-only

txn 1  
 writes 75 for D1  
 writes 90 for D3

- At the start of recovery, what are the possible on-disk values under **undo-only**?

txn 2  
 writes 25 for D2  
 writes 60 for D3

- does *not* pin values in memory  
 → may go to disk at any time
- at commit, forces values written by txn to disk  
 → older values are no longer possible

LSN	record contents
100	txn: 1; BEGIN
210	txn: 1; item: D1; old: 45; new: 75
300	txn: 2; BEGIN
420	txn: 2; item: D2; old: 80; new: 25
500	txn: 2; item: D3; old: 30; new: 60
525	txn: 2; COMMIT
570	txn: 1; item: D3; old: 60; new: 90

in-memory      possible on-disk

D1:

D2:

D3:

### Practice Problem

- Recall the three logging schemes:
  - undo-redo, undo-only, redo-only

txn 1  
writes 75 for D1  
writes 90 for D3

- At the start of recovery, what are the possible on-disk values under **redo-only**?

txn 2  
writes 25 for D2  
writes 60 for D3

- does pin values in memory  
→ *can't* go to disk until commit
- at commit, unpins values but does *not* force them to disk  
→ older values are still possible

LSN	record contents
100	txn: 1; BEGIN
210	txn: 1; item: D1; old: 45; new: 75
300	txn: 2; BEGIN
420	txn: 2; item: D2; old: 80; new: 25
500	txn: 2; item: D3; old: 30; new: 60
525	txn: 2; COMMIT
570	txn: 1; item: D3; old: 60; new: 90

in-memory      possible on-disk

D1:

D2:

D3:

### Practice Problem

- Recall the three logging schemes:
  - undo-redo, undo-only, redo-only

txn 1  
writes 75 for D1  
writes 90 for D3

- At the start of recovery, what are the possible on-disk values under **undo-redo**?

txn 2  
writes 25 for D2  
writes 60 for D3

- does *not* pin values in memory  
→ *may* go to disk at any time
- at commit, does *not* force dirty data to disk  
→ older values are still possible

LSN	record contents
100	txn: 1; BEGIN
210	txn: 1; item: D1; old: 45; new: 75
300	txn: 2; BEGIN
420	txn: 2; item: D2; old: 80; new: 25
500	txn: 2; item: D3; old: 30; new: 60
525	txn: 2; COMMIT
570	txn: 1; item: D3; old: 60; new: 90

in-memory      possible on-disk

D1:

D2:

D3:

## Comparing the Three Logging Schemes

- Factors to consider in the comparison:
  - complexity/efficiency of recovery
  - size of the log files
  - what needs to happen when a txn commits
  - other restrictions that a logging scheme imposes on the system
- We'll list advantages and disadvantages of each scheme.
- Undo-only:
  - + smaller logs than undo-redo
  - + simple and quick recovery procedure (only one pass)
  - forces log and data to disk at commit;  
have to wait for the I/Os

## Comparing the Three Logging Schemes (cont.)

- Redo-only:
  - + smaller logs than undo-redo
  - +/- recovery: more complex than undo-only, less than undo-redo
  - must be able to cache all changes until the txn commits
    - limits the size of transactions
    - constrains the replacement policy of the cache
  - + forces only log records to disk at commit
- Undo-redo:
  - larger logs
  - more complex recovery
  - + forces only log records to disk at commit
  - + don't need to retain all data in the cache until commit



## Checkpoints

- As a DBMS runs, the log gets longer and longer.
  - thus, recovery could end up taking a very long time!
- To avoid long recoveries, periodically perform a *checkpoint*.
  - force data and log records to disk to create a consistent on-disk database state
  - during recovery, don't need to consider operations that preceded this consistent state

## Static Checkpoints

- Stop activity and wait for a consistent state.
  - 1) prohibit new transactions from starting and wait until all current transactions have aborted or committed.
- Once there is a consistent state:
  - 2) force all dirty log records to disk  
(dirty = not yet written to disk)
  - 3) force all dirty database pages to disk
  - 4) write a *checkpoint record* to the log
    - these steps must be performed in the specified order!
- When performing recovery, go back to the most recent checkpoint record.
- Problem with this approach?

## Dynamic Checkpoints

- Don't stop and wait for a consistent state.  
Steps:
  - 1) prevent all update operations during the checkpoint
  - 2) force all dirty log records to disk
  - 3) force all dirty database pages to disk
  - 4) write a *checkpoint record* to the log
    - include a list of all active txns
- When performing recovery:
  - backward pass: go back until you've seen the start records of all uncommitted txns in the most recent checkpoint record
  - forward pass: begin from the log record that comes after the most recent checkpoint record. why?
  - note: if all txns in the checkpoint record are on the commit list, we stop the backward pass at the checkpoint record

## Example of Recovery with Dynamic Checkpoints

- Initial datum LSNs: D4: 110      D5: 140,0    D6: 80

LSN	record contents	backward pass	forward pass
100	txn: 1; BEGIN		
110	txn: 1; item: D4; old: 20; new: 15; olsn: 0		
120	txn: 2; BEGIN	<b>stop here</b>	
130	txn: 1; COMMIT	add to commit list	
140	txn: 2; item: D5; old: 12; new: 13; olsn: 0	undo: D5 = 12 datum LSN = 0	
150	<b>CHECKPOINT (active txns = 2)</b>	note active txns	
160	txn: 2; item: D4; old: 15; new: 50; olsn: 110	don't undo	<b>start here</b> skip
170	txn: 3; BEGIN	skip	skip
180	txn: 3; item: D6; old: 6; new: 8; olsn: 80	don't undo	skip

Could D4 have a datum LSN of less than 110?

## Reviewing the Log Record Types

- Why is each type needed?
  - assume undo-redo logging
- **update records**: hold the info. needed to undo/redo changes
- **commit records**: allow us to determine which changes should be undone and which should be redone
- **begin records**: allow us to determine the extent of the backward pass in the presence of dynamic checkpoints
- **checkpoint records**: limit the amount of the log that is processed during recovery

## Extra Practice

- What type of logging is being used to create the log at right?
- At the start of recovery, what are the possible on-disk values?

original values:  
D1=1000, D2=3000

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; new: 2500
350	txn: 2; BEGIN
400	txn: 2; item: D2; new: 6780
470	txn: 1; item: D1; new: 2750
550	txn: 1; COMMIT
585	txn: 2; item: D1; new: 1300

### Extra Practice

- What if the DBMS were using **undo-only** logging instead?

original values:  
D1=1000, D2=3000

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; new: 2500
350	txn: 2; BEGIN
400	txn: 2; item: D2; new: 6780
470	txn: 1; item: D1; new: 2750
550	txn: 1; COMMIT
585	txn: 2; item: D1; new: 1300

- At the start of recovery, what are the possible on-disk values?

	<u>in-memory</u>	<u>possible on-disk</u>
D1:		1000
D2:		3000

### Extra Practice

- What if the DBMS were using **undo-redo** logging instead?

original values:  
D1=1000, D2=3000

LSN	record contents
100	txn: 1; BEGIN
150	txn: 1; item: D1; new: 2500
350	txn: 2; BEGIN
400	txn: 2; item: D2; new: 6780
470	txn: 1; item: D1; new: 2750
550	txn: 1; COMMIT
585	txn: 2; item: D1; new: 1300

- At the start of recovery, what are the possible on-disk values?

	<u>in-memory</u>	<u>possible on-disk</u>
D1:		1000
D2:		3000

## Two-Phase Commit; Course Wrap-up

Computer Science 460  
Boston University

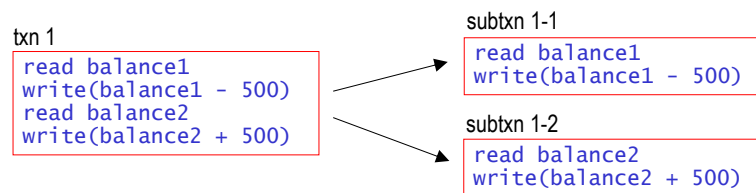
David G. Sullivan, Ph.D.

### Atomicity

- In a centralized database, logging and recovery are enough to ensure atomicity.
  - if a txn's commit record makes it to the log, *all* of its changes will eventually take effect
  - if a txn's commit record isn't in the log when a crash occurs, *none* of its changes will remain after recovery
- What about atomicity in a distributed database?

## Recall: Distributed Transactions

- A *distributed transaction* involves data stored at multiple sites.
- One of the sites serves as the *coordinator* of the transaction.
- The coordinator divides a distributed transaction into *subtransactions*, each of which executes on one of the sites.



## Distributed Atomicity

- In a distributed database:
  - each site performs local logging and recovery of its subtxns
  - that alone is *not* enough to ensure atomicity
- The sites must coordinate to ensure that either:
  - *all* of the subtxns are committed
  - or
  - *none* of them are

### Distributed Atomicity (cont.)

- Example of what could go wrong:
  - a subtxn at one of the sites deadlocks and is aborted
  - before the coordinator of the txn finds out about this, it tells the other sites to commit, and they do so
- Another example:
  - the coordinator notifies the other sites that it's time to commit
  - most of the sites commit their subtxns
  - one of the sites crashes before committing

### Two-Phase Commit (2PC)

- A protocol for deciding whether to commit a distributed txn.
- Basic idea:
  - coordinator asks sites if they're ready to commit
  - if a site is ready, it:
    1. *prepares* its subtxn – putting it in the *ready state*
    2. tells the coordinator it's ready
  - if all sites say they're ready, all subtxns are committed
  - otherwise, all subtxns are aborted (i.e., rolled back)
- Preparing a subtxn means ensuring it can be *either* committed or rolled back – even after a failure.
  - need to at least...
  - some logging schemes need additional steps
- After saying it's ready, a site *must wait* to be told what to do next.

## 2PC Phase I: Prepare

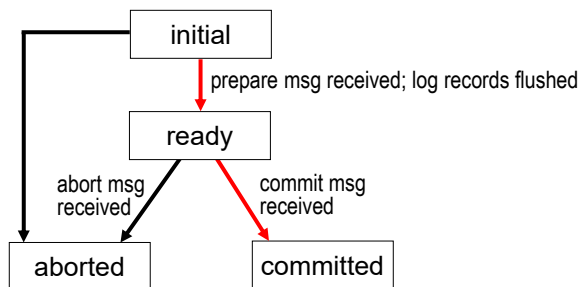
- When it's time to commit a distributed txn T, the coordinator:
  - force-writes a *prepare record* for T to its own log
  - sends a *prepare message* to each participating site
- If a site can commit its subtxn, it:
  - takes the steps needed to put its txn in the ready state
  - force-writes a *ready record* for T to its log
  - sends a *ready message* for T to the coordinator and **waits**
- If a site needs to abort its subtxn, it:
  - force-writes a *do-not-commit record* for T to its log
  - sends a *do-not-commit message* for T to the coordinator
  - can it abort the subtxn now?
- Note: we always log a message before sending it to others.
  - allows the decision to send the message to survive a crash

## 2PC Phase II: Commit or Abort

- The coordinator reviews the messages from the sites.
  - if it doesn't hear from a site within some time interval, it assumes a do-not-commit message
- If all sites sent ready messages for T, the coordinator:
  - force-writes a commit record for T to its log
    - T is now officially committed
  - sends *commit messages* for T to the participating sites
- Otherwise, the coordinator:
  - force-writes an abort record for T to its log
  - sends *abort messages* for T to the participating sites
- Each site:
  - force-writes the appropriate record (commit or abort) to its log
  - commits or aborts its subtxn as instructed



## 2PC State Transitions



- A subtxn can enter the aborted state from the initial state at any time.
- After entering the ready state, it can only enter the aborted state after receiving an abort message.
- A subtxn can only enter the committed state from the ready state, and only after receiving a commit message.

## Recovery When Using 2PC

- When a site recovers, it decides whether to undo or redo its subtxn for a txn T based on the last record for T in its log.
- Case 1: the last log record for T is a commit record.
  - redo the subtxn's updates as needed
- Case 2: the last log record for T is an abort record.
  - undo the subtxn's updates as needed
- Case 3: the last log record for T is a do-not-commit record.
  - undo the subtxn's updates as needed
  - why is this correct?

### Recovery When Using 2PC (cont.)

- Case 4: the last log record for T is from before 2PC began (e.g., an update record).
  - undo the subtxn's updates as needed
  - this works in both of the possible situations:
    - 2PC has already completed without hearing from this site  
*why?*
    - 2PC is still be going on  
*why?*
- Case 5: the last log record for T is a ready record.
  - contact the coordinator (or another site) to determine T's fate
  - the site will still be able to commit or abort as needed. *why?*
  - if it can't reach another site, it must block until it can reach one!

### What if the Coordinator Fails?

- The other sites can either:
  - wait for the coordinator to recover
  - elect a new coordinator
- In the meantime, each site can determine the fate of any current distributed transactions.
- Case 1: a site has *not* received a prepare message for txn T
  - can abort its subtxn for T
  - preferable to waiting for the coordinator to recover, because it allows the T's fate to be decided
- Case 2: a site *has* received a prepare message for T, but has *not* yet sent ready message
  - can also abort its subtxn for T now. *why?*

### What if the Coordinator Fails? (cont.)

- Case 3: a site sent a ready message for T but didn't hear back
  - poll the other sites to determine T's fate

<u>evidence</u>	<u>conclusion/action</u>
at least one site has a commit record for T	???
at least one site has an abort record for T	???
no commit/abort records for T; at least one site does <i>not</i> have a ready record for T	???
no commit/abort records for T; <i>all</i> surviving sites have ready records for T	can't know T's fate unless coordinator recovers. why?

### 2PC Practice Problem 1

- A txn T requires subtxns at sites A (the coordinator), B, and C.
- As part of 2PC:
  - site A sends prepare messages to B and C
  - sites B and C send ready messages to A

Given the above scenario, which of the following will always be true?

- A. Sites B and C have already taken the steps needed to prepare their subtxns.
- B. Sites B and C can commit their subtxns before hearing back from site A.
- C. Transaction T will eventually be committed.
- D. more than one of the above

## 2PC Practice Problem 2

- Txns 1 and 2 require subtxns at A (the coordinator), B, and C.
- At a given point in time, the sites have the following logs:

site A (coordinator)

record contents
txn: 1; BEGIN
txn: 1; item: D1; old: 45; ...
txn: 2; BEGIN
txn: 2; item: D2; old: 80; ...
txn: 1; PREPARE
txn: 1; READY
txn: 2; PREPARE

site B

record contents
txn: 1; BEGIN
txn: 1; item: D3; old: 50; ...
txn: 1; item: D4; old: 70; ...
txn: 2; BEGIN
txn: 2; item: D5; old: 60; ...
txn: 1; READY
txn: 2; item: D9; old: 35; ...

site C

record contents
txn: 1; BEGIN
txn: 1; item: D6; old: 15; ...
txn: 2; BEGIN
txn: 1; item: D7; old: 20; ...
txn: 1; READY
txn: 2; item: D8; old: 10
txn: 2; READY

- Which of these could be the next log record that site A writes?
  - txn: 1; COMMIT
  - txn: 2; COMMIT
  - txn: 2; ABORT
  - more than one of the above

## 2PC Practice Problem 2 (cont.)

- Txns 1 and 2 require subtxns at A (the coordinator), B, and C.
- At a given point in time, the sites have the following logs:

site A (coordinator)

record contents
txn: 1; BEGIN
txn: 1; item: D1; old: 45; ...
txn: 2; BEGIN
txn: 2; item: D2; old: 80; ...
txn: 1; PREPARE
txn: 1; READY
txn: 2; PREPARE

site B

record contents
txn: 1; BEGIN
txn: 1; item: D3; old: 50; ...
txn: 1; item: D4; old: 70; ...
txn: 2; BEGIN
txn: 2; item: D5; old: 60; ...
txn: 1; READY
txn: 2; item: D9; old: 35; ...

site C

record contents
txn: 1; BEGIN
txn: 1; item: D6; old: 15; ...
txn: 2; BEGIN
txn: 1; item: D7; old: 20; ...
txn: 1; READY
txn: 2; item: D8; old: 10
txn: 2; READY

(assuming nothing else has been added to site A's log)

- Which of these could be the next log record that **site B** writes?
  - txn: 1; COMMIT
  - txn: 2; COMMIT
  - txn: 2; ABORT

### 2PC Practice Problem 3

- Txns 1 and 2 require subtxns at A (the coordinator), B, and C.
- At a given point in time, the sites have the following logs:

site A (coordinator)

record contents
txn: 1; BEGIN
txn: 1; item: D1; old: 45; ...
txn: 2; BEGIN
txn: 2; item: D2; old: 80; ...
txn: 1; PREPARE
txn: 1; READY
txn: 2; PREPARE

site B

record contents
txn: 1; BEGIN
txn: 1; item: D3; old: 50; ...
txn: 1; item: D4; old: 70; ...
txn: 2; BEGIN
txn: 2; item: D5; old: 60; ...
txn: 1; READY
txn: 2; item: D9; old: 35; ...

site C

record contents
txn: 1; BEGIN
txn: 1; item: D6; old: 15; ...
txn: 2; BEGIN
txn: 1; item: D7; old: 20; ...
txn: 1; READY
txn: 2; item: D8; old: 10
txn: 2; READY

- If site B crashes now, what should happen during its recovery?

### 2PC Practice Problem 4

site A (coordinator)

record contents
txn: 1; BEGIN
txn: 1; item: D1; old: 45; ...
txn: 2; BEGIN
txn: 2; item: D2; old: 80; ...
txn: 1; PREPARE
txn: 1; READY
txn: 2; PREPARE

site B

record contents
txn: 1; BEGIN
txn: 1; item: D3; old: 50; ...
txn: 1; item: D4; old: 70; ...
txn: 2; BEGIN
txn: 2; item: D5; old: 60; ...
txn: 1; READY
txn: 2; item: D9; old: 35; ...

site C

record contents
txn: 1; BEGIN
txn: 1; item: D6; old: 15; ...
txn: 2; BEGIN
txn: 1; item: D7; old: 20; ...
txn: 1; READY
txn: 2; item: D8; old: 10
txn: 2; READY

- If site A (the coord.) crashes now, what should the other sites do?

txn 1

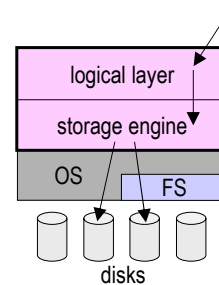
txn 2

site B:

site C:

## Looking Back

- Recall our two-layer view of a DBMS:
- When choosing an approach to information management, choose an option for each layer.
- We've seen several options for the storage layer:
  - transactional storage engine
  - plain-text files (e.g., for XML or JSON)
  - native XML DBMS
  - NoSQL DBMS (with support for sharding and replication)
- We've also looked at several options for the logical layer:
  - relational model
  - semistructured: XML, JSON
  - other NoSQL models: key/value pairs, column-families

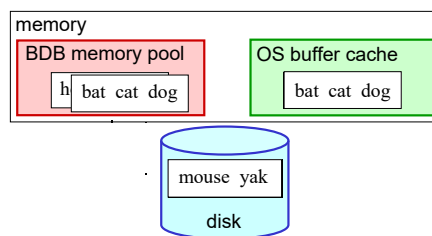


## One Size Does *Not* Fit All

- An RDBMS is an extremely powerful tool for managing data.
- However, it may not always be the best choice.
  - see the first lecture for a reminder of the reasons why!
- Need to learn to choose the right tool for a given job.
- In some cases, may need to develop new tools!

## Implementing a Storage Engine

- We looked at ways that data is stored on disk.
- We considered *index structures*.
  - B-trees and hash tables
  - provide efficient search and insertion according to one or more key fields
- We also spoke briefly about the use of *caching* to reduce disk I/Os.



## Implementing a *Transactional* Storage Engine

- We looked at how the “ACID” properties are guaranteed:
  - Atomicity: either all of a txn’s changes take effect or none do
  - Consistency preservation: a txn’s operations take the database from one consistent state to another
  - Isolation: a txn is not affected by other concurrent txns
  - Durability: once a txn completes, its changes survive failures

## Distributed Databases and NoSQL Stores

- We looked at how databases can be:
  - fragmented/sharded
  - replicated
- We also looked at NoSQL data stores:
  - designed for use on clusters of machines
  - can handle massive amounts of data / queries

## Logical-to-Physical Mapping

- The topics related to storage engines are potentially relevant to *any* database system.
  - not just RDBMSs
  - any logical layer can be built on top of any storage layer
- Regardless of the model, you need a *logical-to-physical mapping*.
- In PS 3, you implemented part of a logical-to-physical mapping for the relational model using Berkeley DB.

