

Everything You Wanted
To Know
About FIRST_ROWS_n
But Were Afraid To Ask

Randolf Geist

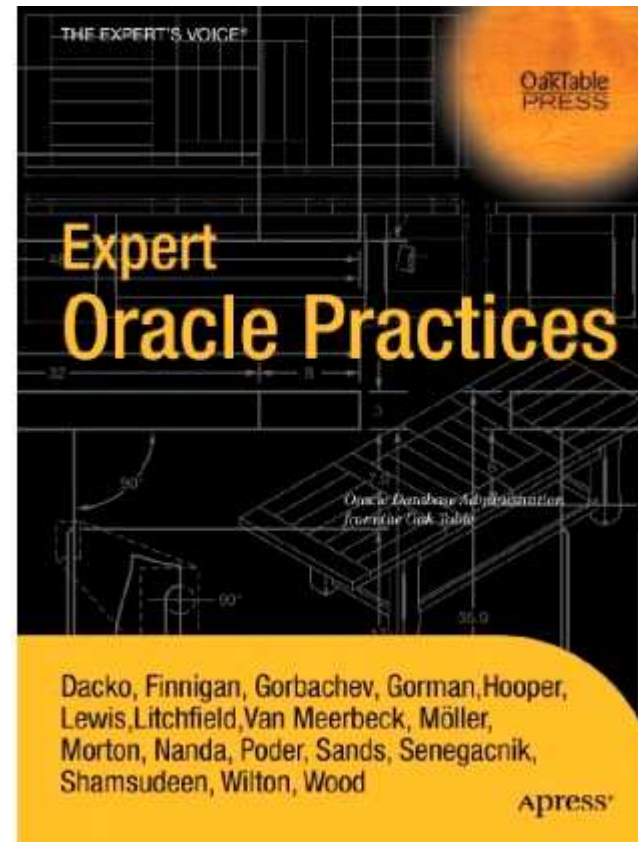
Who am I

- Independent Consultant
- Located in Germany
- Oracle ACE, OCP 8i, 9i, 10g
- Member of the OakTable Network
- My Blog: Oracle related stuff



Who am I

Co-author of
the forthcoming
OakTable book
"Expert
Oracle
Practices"



Highlights

- Introduction to the Cost-Based Optimizer's (CBO) OPTIMIZER_MODEs
- Evolution of the CBO – FIRST_ROWS, FIRST_ROWS_n
- Top N / Pagination queries, advanced techniques
- A deeper look at FIRST_ROWS_n, examples, quirks, oddities
- Questions and Answers

Everything You Wanted To Know About FIRST_ROWS_n

Introduction to the Cost-Based
Optimizer's (CBO)
OPTIMIZER_MODEs

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

- CHOOSE between Rule Based Optimizer (RBO) and CBO: Default in pre-10g
- ALL_ROWS: Default in 10g and later
- FIRST_ROWS: Deprecated since 9i
- Oracle 9i introduced FIRST_ROWS_1, FIRST_ROWS_10, FIRST_ROWS_100 and FIRST_ROWS_1000 along with the FIRST_ROWS(n) hint

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

When to use which mode?

- Often heard:

“In OLTP environments use
FIRST_ROWS / FIRST_ROWS_n,
because typically you retrieve only a
few rows with the queries”

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

Philosophy ALL_ROWS:

The optimizer assumes that all rows from the generated result set will be processed / fetched by the client

This is true in most cases, therefore ALL_ROWS is a good general approach and default from 10g on

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

Philosophy ALL_ROWS

- What about the “OLTP environment” statement?
- Assuming that the optimizer estimates the correct cardinality, queries identifying only a few rows still retrieve *all* of these few rows, so ALL_ROWS is applicable here as well, no need to use FIRST_ROWS/FIRST_ROWS_n

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

So when do we need FIRST_ROWS(_n)?

Philosophy FIRST_ROWS(_n):

- The optimizer assumes that only a ***few*** first rows from a ***larger*** result set will be processed / fetched by the client

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

In most cases these are so called Top N /
Pagination queries:

- Show the top N rows from an ordered result set. Popular examples: Search results in Google / Amazon
- Retrieve the result set in pages -
Pagination queries
- This is only reasonable if a deterministic order has been defined for the result set

Cost-Based Optimizer (CBO) - OPTIMIZER_MODEs

- If you don't retrieve only the first rows from a larger result set but the `FIRST_ROWS(_n)` modes speed up the query processing, you very likely only were lucky due to the side effects of the `FIRST_ROWS(_n)` modes
- You should be able to get the same performance with `ALL_ROWS` provided that the optimizer estimates are in the right ballpark

Everything You Wanted To Know About FIRST_ROWS_n

Evolution of the CBO –
FIRST_ROWS,
FIRST_ROWS_n

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

- FIRST_ROWS introduced with the CBO in Version 7
- FIRST_ROWS uses a mixture of heuristics and cost based optimization
- Some built-in high-level constraints are:
 - Use index to avoid SORT operation
 - Try to avoid Hash / Sort Merge Join, use NESTED LOOP join

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

Example Setup (1)

```
create table first_k_rows_test
(
    sort_order    varchar2(10) null,
    filter_col    number        null,
    filler        char(200)
);

insert into first_k_rows_test
select  dbms_random.string('x', 10) as sort_order,
        case when level <= 10 then 1 else 0 end as filter_col,
        'x' as filler
from dual
connect by level <= 100000;

commit;
```

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

Example Setup (2)

```
create index first_k_rows_test_idx1 on first_k_rows_test(filter_col);  
  
create index first_k_rows_test_idx2 on first_k_rows_test(sort_order);  
  
exec dbms_stats.gather_table_stats(null, 'first_k_rows_test',  
method_opt=>'for all columns size 1 for columns filter_col size 254');
```

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

ALL_ROWS Baseline

```
select /*+ all_rows */
      *
from
      first_k_rows_test a,
      first_k_rows_test b
where
      a.filter_col = 1
and    a.sort_order = b.sort_order
order by
      a.sort_order;
```

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

ALL_ROWS Baseline Plan

Id	Operation	Name	Rows	Cost	(%CPU)
0	SELECT STATEMENT		10	23	(5)
1	SORT ORDER BY		10	23	(5)
2	NESTED LOOPS		10	22	(0)
3	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST	10	2	(0)
* 4	INDEX RANGE SCAN	FIRST_K_ROWS_TEST_IDX1	10	1	(0)
5	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST	1	2	(0)
* 6	INDEX RANGE SCAN	FIRST_K_ROWS_TEST_IDX2	1	1	(0)

Predicate Information (identified by operation id):

- 4 - access("A"."FILTER_COL"=1)
- 6 - access("A"."SORT_ORDER"="B"."SORT_ORDER")

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

FIRST_ROWS query

```
select /*+ first_rows */
      *
from
      first_k_rows_test a,
      first_k_rows_test b
where
      a.filter_col = 1
and    a.sort_order = b.sort_order
order by
      a.sort_order;
```

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

FIRST_ROWS plan

```
-----  
| Id | Operation | Name | Rows | Cost (%CPU) |  
-----  
| 0 | SELECT STATEMENT | | 1 | 100K (1) |  
| 1 | NESTED LOOPS | | 1 | 100K (1) |  
| * 2 | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST | 1 | 100K (1) |  
| 3 | INDEX FULL SCAN | FIRST_K_ROWS_TEST_IDX2 | 100K | 432 (2) |  
| 4 | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST | 1 | 2 (0) |  
| * 5 | INDEX RANGE SCAN | FIRST_K_ROWS_TEST_IDX2 | 1 | 1 (0) |  
-----
```

Predicate Information (identified by operation id):

```
-----  
2 - filter("A"."FILTER_COL"=1)  
5 - access("A"."SORT_ORDER"="B"."SORT_ORDER")
```

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

- These high-level constraints can lead to inefficient execution plans:
 - Favoring an inefficient index over an highly selective index
 - Using inefficient NESTED LOOP joins where other join methods can be more efficient
- `_sort_elimination_cost_ratio` parameter influences FIRST_ROWS calculation

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

- FIRST_ROWS_n introduced in Oracle 9i, FIRST_ROWS deprecated
- FIRST_ROWS_n: Fully cost based, no built-in heuristics (?)
- However: Still some internal tweaks that favor index access under certain circumstances, so it doesn't choose always the plan with the lowest cost

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

FIRST_ROWS_n approach:

- The optimizer knows about the requested number of rows (the “n” in FIRST_ROWS_n)
- Either explicitly set via OPTIMIZER_MODEs:
 - FIRST_ROWS_[1 | 10 | 100 | 1000]
 - or via FIRST_ROWS(n) hint: e.g. FIRST_ROWS(50)

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

FIRST_ROWS_n approach:

- Or implicitly via ROWNUM predicates:
SELECT
FROM (query [ORDER BY order])
WHERE ROWNUM <= n
- “_optimizer_rownumpred_based_fkr”
parameter applies, default “true” in
recent releases

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

FIRST_ROWS_n approach:

- Knowing the “n” is essential, because the optimizer now works out how many rows the result set is estimated to produce
- This is basically done performing an initial (and partial) ALL_ROWS optimization

Cost-Based Optimizer (CBO) - FIRST_ROWS(_n) Evolution

FIRST_ROWS_n approach:

- With the knowledge of “n” and the total number of rows estimated, the optimizer can calculate a “proration factor”, which is basically

$$n / \text{total_number_of_rows}$$

- This “proration factor” is then used in the following optimization steps when calculating costs

Everything You Wanted To Know About FIRST_ROWS_n

Top N / Pagination queries,
advanced techniques

Cost-Based Optimizer (CBO) - Top N - Pagination Queries

Modified example setup

```
truncate table first_k_rows_test;
```

```
insert into first_k_rows_test
  select  dbms_random.string('x', 10),
         case when level <= 5000 then 1 else 0 end,
         'x' as filler
  from dual
 connect by level <= 100000;
```

```
exec dbms_stats.gather_table_stats(null, 'first_k_rows_test',
method_opt=>'for all columns size 1 for columns filter_col size 254');
```

Cost-Based Optimizer (CBO) - Top N - Pagination Queries

Simple Top N query

```
select
    *
from (
    select
        t.*
    from
        first_k_rows_test t
    order by
        sort_order
)
where
    rownum <= 10;
```

Cost-Based Optimizer (CBO) - Top N - Pagination Queries

Execution plan - first attempt

```
-----  
| Id  | Operation          | Name                | Rows  | Cost (%CPU)|  
-----  
|  0  | SELECT STATEMENT   |                    |    10 |   5516   (1)|  
|*   1  |   COUNT STOPKEY   |                    |      |             |  
|    2  |     VIEW           |                    | 100K  |   5516   (1)|  
|*   3  |      SORT ORDER BY STOPKEY |                    | 100K  |   5516   (1)|  
|    4  |        TABLE ACCESS FULL | FIRST_K_ROWS_TEST | 100K  |    833   (2)|  
-----
```

Predicate Information (identified by operation id):

- ```

1 - filter(ROWNUM<=10)
3 - filter(ROWNUM<=10)
```

## Index doesn't get used - why?

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Example Setup

```
create table first_k_rows_test
(
 sort_order varchar2(10) null,
 filter_col number null,
 filler char(200)
);
```

**B\*tree indexes don't cover expressions  
that consist entirely of NULLs!**

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

B\*tree index can only be used for ordering if the index covers all values (NULLs!)

- Either define column as NOT NULL or have predicates in place that imply NOT NULL
- Or make the index cover NULL values e.g. contains a NOT NULL column or use function-based index:

```
create index first_k_rows_test_idx2 on first_k_rows_test(
sort_order,
' ');
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Execution plan - second attempt

```

| Id | Operation | Name | Rows | Cost (%CPU)|

0	SELECT STATEMENT		10	12 (0)
* 1	COUNT STOPKEY			
2	VIEW		10	12 (0)
3	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST	100K	12 (0)
4	INDEX FULL SCAN	FIRST_K_ROWS_TEST_IDX2	10	2 (0)

```

Predicate Information (identified by operation id):

```

1 - filter(ROWNUM<=10)
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Modified example setup

```
drop index first_k_rows_test_idx1;
```

```
drop index first_k_rows_test_idx2;
```

```
create unique index first_k_rows_test_idx on first_k_rows_test
(
 filter_col
, sort_order
);
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Top N query including filter

```
select
 *
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
where
 rownum <= 10;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Execution plan - first attempt

```

| Id | Operation | Name | Rows | Cost (%CPU) |

0	SELECT STATEMENT		10	1056 (2)
* 1	COUNT STOPKEY			
2	VIEW		4699	1056 (2)
* 3	SORT ORDER BY STOPKEY		4699	1056 (2)
4	COUNT			
* 5	TABLE ACCESS FULL	FIRST_K_ROWS_TEST	4699	834 (2)

```

Predicate Information (identified by operation id):

- ```
-----  
1 - filter(ROWNUM<=10)  
3 - filter(ROWNUM<=10)  
5 - filter("FILTER_COL"=1)
```

Index again doesn't get used - why?

Cost-Based Optimizer (CBO) - Top N - Pagination Queries

Example Setup

```
create table first_k_rows_test
(
    sort_order    varchar2(10) null,
    filter_col    number          null,
    filler        char(200)
);
```

Sorting character strings:

Client NLS settings are relevant!

Cost-Based Optimizer (CBO) - Top N - Pagination Queries

NLS sorting issues

- Set NLS_SORT to BINARY in session to support sort by conventional index

```
ALTER SESSION SET NLS_SORT = BINARY;
```

- Create function-based index using NLSSORT function

```
create index first_k_rows_test_idx on first_k_rows (  
    filter_col  
    , NLSSORT(sort_order, 'NLS_SORT=GERMAN')  
);
```

Cost-Based Optimizer (CBO) - Top N - Pagination Queries

Execution plan - second attempt

```
-----  
| Id | Operation | Name | Rows | Cost (%CPU) |  
-----  
| 0 | SELECT STATEMENT | | 10 | 13 (0) |  
| * 1 | COUNT STOPKEY | | | |  
| 2 | VIEW | | 11 | 13 (0) |  
| 3 | COUNT | | | |  
| 4 | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST | 11 | 13 (0) |  
| * 5 | INDEX RANGE SCAN | FIRST_K_ROWS_TEST_IDX | | 2 (0) |  
-----
```

Predicate Information (identified by operation id):

- ```

1 - filter(ROWNUM<=10)
5 - access("FILTER_COL"=1)
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Pagination query using ROWNUM

```
select
 *
from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 20
) v2
where rn >= 11
order by rn;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Pagination query using ROWNUM

```
select
 *
from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 20
) v2
where rn >= 11
order by rn;
```

This corresponds to the Top N query, but it needs now to identify as many rows as indicated by the page requested

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Pagination query using ROWNUM

```
select
 *
from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 20
) v2
where rn >= 11
order by rn;
```

Now we discard all the rows except for those left for the page to display

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Execution plan

```

| Id | Operation | Name | Rows | Cost (%CPU)|

0	SELECT STATEMENT		20	23 (5)
1	SORT ORDER BY		20	23 (5)
* 2	VIEW		20	22 (0)
* 3	COUNT STOPKEY			
4	VIEW		20	22 (0)
5	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST	20	22 (0)
* 6	INDEX RANGE SCAN	FIRST_K_ROWS_TEST_IDX		2 (0)

```

Predicate Information (identified by operation id):

```

2 - filter("RN">=11)
3 - filter(ROWNUM<=20)
6 - access("FILTER_COL"=1)
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

Same query, use FIRST\_ROWS(n) hint

```
select /*+ first_rows(10) */
 *
from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 20
) v2
where rn >= 11
order by rn;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Execution plan

| Id  | Operation                   | Name                  | Rows | Cost (%CPU) |
|-----|-----------------------------|-----------------------|------|-------------|
| 0   | SELECT STATEMENT            |                       | 10   | 13 (8)      |
| 1   | SORT ORDER BY               |                       | 10   | 13 (8)      |
| * 2 | VIEW                        |                       | 10   | 12 (0)      |
| * 3 | COUNT STOPKEY               |                       |      |             |
| 4   | VIEW                        |                       | 10   | 12 (0)      |
| 5   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST     | 10   | 12 (0)      |
| * 6 | INDEX RANGE SCAN            | FIRST_K_ROWS_TEST_IDX |      | 2 (0)       |

Predicate Information (identified by operation id):

- 2 - filter("RN">=11)
- 3 - filter(ROWNUM<=20)
- 6 - access("FILTER\_COL"=1)

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Pagination query using analytic functions

```
select /*+ first_rows(10) */
 *
from (
 select
 row_number() over (order by sort_order) as rn
 , t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
where
 rn between 11 and 20
-- and rownum <= 10 -- Instead of FIRST_ROWS(10) hint
order by
 rn;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

Execution plan slightly different

| Id  | Operation                    | Name                  | Rows | Cost (%CPU) |
|-----|------------------------------|-----------------------|------|-------------|
| 0   | SELECT STATEMENT             |                       | 10   | 13 (8)      |
| 1   | SORT ORDER BY                |                       | 10   | 13 (8)      |
| * 2 | VIEW                         |                       | 10   | 12 (0)      |
| * 3 | <b>WINDOW NOSORT STOPKEY</b> |                       | 10   | 12 (0)      |
| 4   | TABLE ACCESS BY INDEX ROWID  | FIRST_K_ROWS_TEST     | 10   | 12 (0)      |
| * 5 | INDEX RANGE SCAN             | FIRST_K_ROWS_TEST_IDX |      | 2 (0)       |

Predicate Information (identified by operation id):

- 2 - filter("RN">=11 AND "RN"<=20)
- 3 - **filter(ROW\_NUMBER() OVER ( ORDER BY "T"."SORT\_ORDER")<=20)**
- 5 - access("FILTER\_COL"=1)

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Effect of FIRST\_ROWS(n) hint

```
select /*+ first_rows(10) */
 *
from (
 select
 row_number() over (order by sort_order) as rn
 , t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
where
 rn between 3991 and 4000
-- and rownum <= 10 -- Instead of FIRST_ROWS(10) hint
order by
 rn;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

Optimizer is "clueless" - actual execution

| Id  | Operation                   | Name                  | Cost | E-Rows | A-Rows | Buffers |
|-----|-----------------------------|-----------------------|------|--------|--------|---------|
| 1   | SORT ORDER BY               |                       | 13   | 10     | 10     | 3984    |
| * 2 | VIEW                        |                       | 12   | 10     | 10     | 3984    |
| * 3 | WINDOW NOSORT STOPKEY       |                       | 12   | 10     | 4000   | 3984    |
| 4   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST     | 12   | 10     | 4001   | 3984    |
| * 5 | INDEX RANGE SCAN            | FIRST_K_ROWS_TEST_IDX | 2    |        | 4001   | 15      |

Predicate Information (identified by operation id):

- 2 - filter(("RN">=3991 AND "RN"<=4000))
- 3 - filter(ROW\_NUMBER() OVER ( ORDER BY "T"."SORT\_ORDER")<=4000)
- 5 - access("FILTER\_COL"=1)

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

Things look better with ROWNUM

```
select
 *
from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 4000
) v2
where rn >= 3991
order by rn;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Execution plan

```

| Id | Operation | Name | Rows | Cost (%CPU)|

0	SELECT STATEMENT		4000	4226 (1)
1	SORT ORDER BY		4000	4226 (1)
* 2	VIEW		4000	4017 (1)
* 3	COUNT STOPKEY			
4	VIEW		4000	4017 (1)
5	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST	4000	4017 (1)
* 6	INDEX RANGE SCAN	FIRST_K_ROWS_TEST_IDX		14 (0)

```

Predicate Information (identified by operation id):

```

```

```
2 - filter("RN">=3991)
3 - filter(ROWNUM<=4000)
6 - access("FILTER_COL"=1)
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

Advanced Pagination query - see next page

```

select
 i.rn
 , t.*
from (
 select
 *
 from
 (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.rowid as row_id
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
)
 where
 rownum <= 4000
)
 where
 rn >= 3991
 and rownum <= 10
) i
 , first_k_rows_test t
where
 t.rowid = i.row_id
order by
 rn;

```

```

select
 i.rn
 , t.*
from (
 select
 *
 from
 (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.rowid as row_id
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 4000
)
 where
 rn >= 3991
 and rownum <= 10
) i
 , first_k_rows_test t
where
 t.rowid = i.row_id
order by
 rn;

```

Get the first 4000 rows, ROWID only, therefore index only operation

```

select
 rownum as rn
 , v1.*
from (
 select
 t.rowid as row_id
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
where
 rownum <= 4000

```

Discard all rows  
(ROWIDs) of the  
previous pages  
except for the  
page requested

```
select
 i.rn
 , t.*
from (
 select
 *
 from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.rowid as row_id
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 4000
)
 where
 rn >= 3991
 and
 rownum <= 10
) i
 , first_k_rows_test t
where
 t.rowid = i.row_id
order by
 rn;
```

Finally pick only the rows from the table that belong to the page requested - minimizing the necessary visits to the table itself

```
select
 i.rn
 , t.*
from (
 select
 *
 from (
 select
 rownum as rn
 , v1.*
 from (
 select
 t.rowid as row_id
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
) v1
 where
 rownum <= 4000
)
 where
 rn >= 3991
 and rownum <= 10
) i
 , first_k_rows_test t
where
 t.rowid = i.row_id
order by
 rn;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

## Execution plan

| Id  | Operation                  | Name                  | Starts | E-Rows | A-Rows | Buffers |
|-----|----------------------------|-----------------------|--------|--------|--------|---------|
| 1   | SORT ORDER BY              |                       | 1      | 10     | 10     | 25      |
| 2   | NESTED LOOPS               |                       | 1      | 10     | 10     | 25      |
| 3   | VIEW                       |                       | 1      | 10     | 10     | 15      |
| * 4 | COUNT STOPKEY              |                       | 1      |        | 10     | 15      |
| * 5 | VIEW                       |                       | 1      | 4000   | 10     | 15      |
| * 6 | COUNT STOPKEY              |                       | 1      |        | 4000   | 15      |
| 7   | VIEW                       |                       | 1      | 4718   | 4000   | 15      |
| * 8 | INDEX RANGE SCAN           | FIRST_K_ROWS_TEST_IDX | 1      | 4718   | 4000   | 15      |
| 9   | TABLE ACCESS BY USER ROWID | FIRST_K_ROWS_TEST     | 10     | 1      | 10     | 10      |

Predicate Information (identified by operation id):

- 4 - filter(ROWNUM<=10)
- 5 - filter("RN">=3991)
- 6 - filter(ROWNUM<=4000)
- 8 - access("FILTER\_COL"=1)

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

---

Advanced Pagination query using subquery  
see next page

```

select
 3991 + rownum - 1 as rn
, t.*
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 and
 sort_order >=
 (
 select
 sort_order
 from (
 select
 sort_order
 , rownum rn
 from (
 select
 sort_order
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
 where rownum <= 3991
)
 where rn = 3991
)
 order by sort_order
) t
where rownum <= 10;

```

Get the  
SORT\_ORDER for  
the first 3991  
rows, index-only

```
select
 3991 + rownum - 1 as rn
, t.*
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 and
 sort_order >=
 (
 select
 sort_order
 from (
 select
 sort_order
 , rownum rn
 from (
 select
 sort_order
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
 where rownum <= 3991
)
)
 where rn = 3991
)
order by sort_order
) t
where rownum <= 10;
```

Discard all rows except for the first row of the requested page

```
select
 3991 + rownum - 1 as rn
, t.*
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 and
 sort_order >=
 (
 select
 sort_order
 from (
 select
 sort_order
 , rownum rn
 from (
 select
 sort_order
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
 where rownum <= 3991
)
 where rn = 3991
)
 order by sort_order
) t
where rownum <= 10;
```

Get the actual rows from the table, using the same filter expression again, but starting with the first row identified in the subquery

```
select
 3991 + rownum - 1 as rn
, t.*
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 and
 sort_order >=
 (
 select
 sort_order
 from (
 select
 sort_order
 , rownum rn
 from (
 select
 sort_order
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
 where rownum <= 3991
)
 where rn = 3991
)
 order by sort_order
) t
where rownum <= 10;
```

Limit the number of rows accessed to the page size - so we need to visit only as many table rows as the page size

```
select
 3991 + rownum - 1 as rn
, t.*
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 and
 sort_order >=
 (
 select
 sort_order
 from (
 select
 sort_order
 , rownum rn
 from (
 select
 sort_order
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
 where rownum <= 3991
)
 where rn = 3991
)
 order by sort_order
) t
where rownum <= 10;
```

# Cost-Based Optimizer (CBO) - Top N - Pagination Queries

## Execution plan

| Id  | Operation                   | Name                         | Starts | E-Rows | A-Rows | Buffers |
|-----|-----------------------------|------------------------------|--------|--------|--------|---------|
| * 1 | COUNT STOPKEY               |                              | 1      |        | 10     | 27      |
| 2   | VIEW                        |                              | 1      | 10     | 10     | 27      |
| 3   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST            | 1      | 10     | 10     | 27      |
| * 4 | <b>INDEX RANGE SCAN</b>     | <b>FIRST_K_ROWS_TEST_IDX</b> | 1      | 42     | 10     | 17      |
| * 5 | VIEW                        |                              | 1      | 200    | 1      | 15      |
| * 6 | COUNT STOPKEY               |                              | 1      |        | 3991   | 15      |
| 7   | VIEW                        |                              | 1      | 200    | 3991   | 15      |
| * 8 | <b>INDEX RANGE SCAN</b>     | <b>FIRST_K_ROWS_TEST_IDX</b> | 1      | 200    | 3991   | 15      |

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<=10)
- 4 - access("FILTER\_COL"=1 AND "SORT\_ORDER">= AND "SORT\_ORDER" IS NOT NULL)
- 5 - filter("RN"=3991)
- 6 - filter(ROWNUM<=3991)
- 8 - access("FILTER\_COL"=1)

# Everything You Wanted To Know About FIRST\_ROWS\_n

---

A deeper look at  
FIRST\_ROWS(\_n),  
examples, quirks, oddities

# A Deeper Look - FIRST\_ROWS mechanics

---

## Overview of FIRST\_ROWS mode (1)

- Two different scenarios
  - Single table access
  - Joins
- `_sort_elimination_cost_ratio` defines the "breakpoint" between index usage to avoid sort and plans with a sort operation

# A Deeper Look - FIRST\_ROWS mechanics

---

## Overview of FIRST\_ROWS mode (2)

- `_sort_elimination_cost_ratio` default value = 0, see example next slides
- When setting it to a non-default, positive integer then the index to avoid the sort is used if the cost of using it is less than the cost of doing the sort multiplied by the value of the parameter

# A Deeper Look - FIRST\_ROWS mechanics

---

```
_sort_elimination_cost_ratio = 0
```

## Example Setup (1)

```
create table first_k_rows_test
(
 sort_order varchar2(10) not null,
 filter_col number null,
 filler char(200)
);

insert into first_k_rows_test
select dbms_random.string('x', 10) as sort_order,
 case when level <= 120 then 1 else 0 end as filter_col,
 'x' as filler
from dual
connect by level <= 100000;

commit;
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## Example Setup (2)

```
create index first_k_rows_test_idx2 on first_k_rows_test(sort_order);

exec dbms_stats.gather_table_stats(null, 'first_k_rows_test',
method_opt=>'for all columns size 1 for columns filter_col size 254');
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## ALL\_ROWS Baseline

```
select /*+ all_rows */
 *
from first_k_rows_test
where filter_col = 1
order by
 sort_order;
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## ALL\_ROWS Baseline Plan

```

| Id | Operation | Name | Rows | Cost (%CPU) |

0	SELECT STATEMENT		120	835 (2)
1	SORT ORDER BY		120	835 (2)
* 2	TABLE ACCESS FULL	FIRST_K_ROWS_TEST	120	834 (2)

```

Predicate Information (identified by operation id):

```

2 - filter("FILTER_COL"=1)
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## FIRST\_ROWS query

```
select /*+ first_rows */
 *
from first_k_rows_test
where filter_col = 1
order by
 sort_order;
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## FIRST\_ROWS Plan

```

| Id | Operation | Name | Rows | Cost (%CPU) |

0	SELECT STATEMENT		120	835 (2)
1	SORT ORDER BY		120	835 (2)
* 2	TABLE ACCESS FULL	FIRST_K_ROWS_TEST	120	834 (2)

```

Predicate Information (identified by operation id):

```

2 - filter("FILTER_COL"=1)
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## Example Setup (3) - slight modification

```
truncate table first_k_rows_test;
```

```
insert into first_k_rows_test
```

```
 select dbms_random.string('x', 10) as sort_order,
 case when level <= 121 then 1 else 0 end as filter_col,
 'x' as filler
 from dual
 connect by level <= 100000;
```

```
commit;
```

```
exec dbms_stats.gather_table_stats(null, 'first_k_rows_test',
method_opt=>'for all columns size 1 for columns filter_col size 254');
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## FIRST\_ROWS Plan

| Id  | Operation                   | Name                   | Rows | Cost (%CPU) |
|-----|-----------------------------|------------------------|------|-------------|
| 0   | SELECT STATEMENT            |                        | 121  | 100K (1)    |
| * 1 | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST      | 121  | 100K (1)    |
| 2   | INDEX FULL SCAN             | FIRST_K_ROWS_TEST_IDX2 | 100K | 426 (2)     |

Predicate Information (identified by operation id):

1 - filter("FILTER\_COL"=1)

$$120 * 835 = 100,200$$

$$121 * 835 = 101,035$$

`_sort_elimination_cost_ratio = num_rows`

# A Deeper Look - FIRST\_ROWS mechanics

---

## Example Setup (4) - Joins

```
truncate table first_k_rows_test;

insert into first_k_rows_test
 select dbms_random.string('x', 10) as sort_order,
 case when level <= 10 then 1 else 0 end as filter_col,
 'x' as filler
 from dual
 connect by level <= 100000;

commit;

exec dbms_stats.gather_table_stats(null, 'first_k_rows_test',
method_opt=>'for all columns size 1 for columns filter_col size 254');
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## ALL\_ROWS Baseline

```
select /*+ all_rows */
 *
from
 first_k_rows_test a,
 first_k_rows_test b
where
 a.filter_col = 1
and a.sort_order = b.sort_order
order by
 a.sort_order;
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## ALL\_ROWS Baseline Plan

| Id  | Operation                   | Name                   | Rows | Cost (%CPU) |
|-----|-----------------------------|------------------------|------|-------------|
| 0   | SELECT STATEMENT            |                        | 10   | 855 (2)     |
| 1   | SORT ORDER BY               |                        | 10   | 855 (2)     |
| 2   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST      | 1    | 2 (0)       |
| 3   | NESTED LOOPS                |                        | 10   | 854 (2)     |
| * 4 | TABLE ACCESS FULL           | FIRST_K_ROWS_TEST      | 10   | 834 (2)     |
| * 5 | INDEX RANGE SCAN            | FIRST_K_ROWS_TEST_IDX2 | 1    | 1 (0)       |

Predicate Information (identified by operation id):

- 4 - filter("A"."FILTER\_COL"=1)
- 5 - access("A"."SORT\_ORDER"="B"."SORT\_ORDER")

# A Deeper Look - FIRST\_ROWS mechanics

---

## FIRST\_ROWS query

```
select /*+ first_rows */
 *
from
 first_k_rows_test a,
 first_k_rows_test b
where
 a.filter_col = 1
and a.sort_order = b.sort_order
order by
 a.sort_order;
```

# A Deeper Look - FIRST\_ROWS mechanics

---

## FIRST\_ROWS Plan

```

```

| Id  | Operation                   | Name                   | Rows | Cost (%CPU) |
|-----|-----------------------------|------------------------|------|-------------|
| 0   | SELECT STATEMENT            |                        | 10   | 100K (1)    |
| 1   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST      | 1    | 2 (0)       |
| 2   | NESTED LOOPS                |                        | 10   | 100K (1)    |
| * 3 | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST      | 10   | 100K (1)    |
| 4   | INDEX FULL SCAN             | FIRST_K_ROWS_TEST_IDX2 | 100K | 426 (2)     |
| * 5 | INDEX RANGE SCAN            | FIRST_K_ROWS_TEST_IDX2 | 1    | 1 (0)       |

```

```

Predicate Information (identified by operation id):

```

```

```
3 - filter("A"."FILTER_COL"=1)
5 - access("A"."SORT_ORDER"="B"."SORT_ORDER")
```

So we are back at old behaviour with joins

**`_sort_elimination_cost_ratio = 0` means  
`infinite`**

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## Overview of FIRST\_ROWS\_n mode

- Controlled via `_optimizer_fkr_index_cost_bias`
- Default value = 10
- Range of values: 1..1000
- `index_cost < greatest( FTS_cost, reduced FTS_cost * _optimizer_fkr_index_cost_bias )`
- But... ?

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## Test setup (1)

```
create table t2
pctfree 40
pctused 1
as
select
 mod(id, 10) + 1 as col1
 , id as col2
 , id as colx
 , rpad('x', 1000, 'x') as filler
from (
 select
 level as id
 from
 dual
 connect by
 level <= 1000
);
```

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## Test setup (1)

```
update t2 set col1 = 1 where col1 = 2 and rownum <= 1;
```

```
commit;
```

```
create index t2_idx_filter on t2 (col1);
```

```
create index t2_idx_sort on t2 (col1, col2);
```

```
exec dbms_stats.gather_table_stats(null, 't2',
 method_opt=>'for all columns size 1 for columns col1 size
 254')
```

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## ALL\_ROWS result

```
select * from t2 where col1 = 1;
```

| Id  | Operation         | Name | Rows | Cost (%CPU) |
|-----|-------------------|------|------|-------------|
| 0   | SELECT STATEMENT  |      | 101  | 69 (0)      |
| * 1 | TABLE ACCESS FULL | T2   | 101  | 69 (0)      |

```
select * from t2 where col1 = 2;
```

| Id  | Operation         | Name | Rows | Cost (%CPU) |
|-----|-------------------|------|------|-------------|
| 0   | SELECT STATEMENT  |      | 99   | 69 (0)      |
| * 1 | TABLE ACCESS FULL | T2   | 99   | 69 (0)      |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

```
_optimizer_fkr_index_cost_bias = 1
```

```
select * from (
select * from t2 where coll = 1
)
where rownum <= 67;
```

| Id  | Operation                   | Name          | Rows | Cost (%CPU)   |
|-----|-----------------------------|---------------|------|---------------|
| 0   | SELECT STATEMENT            |               | 67   | <b>69</b> (0) |
| * 1 | COUNT STOPKEY               |               |      |               |
| 2   | TABLE ACCESS BY INDEX ROWID | T2            | 67   | 69 (0)        |
| * 3 | INDEX RANGE SCAN            | T2_IDX_FILTER |      | 1 (0)         |

```
select * from (
select * from t2 where coll = 1
)
where rownum <= 68;
```

| Id  | Operation         | Name | Rows      | Cost (%CPU)   |
|-----|-------------------|------|-----------|---------------|
| 0   | SELECT STATEMENT  |      | 68        | 48 (0)        |
| * 1 | COUNT STOPKEY     |      |           |               |
| * 2 | TABLE ACCESS FULL | T2   | <b>68</b> | <b>48</b> (0) |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

```
_optimizer_fkr_index_cost_bias = 1
```

```
select * from (
select * from t2 where col1 = 2
)
where rownum <= 98;
```

| Id  | Operation                   | Name          | Rows      | Cost (%CPU)    |
|-----|-----------------------------|---------------|-----------|----------------|
| 0   | SELECT STATEMENT            |               | 98        | 100 (0)        |
| * 1 | COUNT STOPKEY               |               |           |                |
| 2   | TABLE ACCESS BY INDEX ROWID | T2            | <b>98</b> | <b>100</b> (0) |
| * 3 | INDEX RANGE SCAN            | T2_IDX_FILTER |           | 1 (0)          |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

```
_optimizer_fkr_index_cost_bias = 1
```

```
select * from (
select * from t2 where col1 = 2
order by col2
)
where rownum <= 67;
```

| Id  | Operation                   | Name        | Rows | Cost (%CPU) |
|-----|-----------------------------|-------------|------|-------------|
| 0   | SELECT STATEMENT            |             | 67   | 70 (0)      |
| * 1 | COUNT STOPKEY               |             |      |             |
| 2   | VIEW                        |             | 67   | 70 (0)      |
| 3   | TABLE ACCESS BY INDEX ROWID | T2          | 99   | 70 (0)      |
| * 4 | INDEX RANGE SCAN            | T2_IDX_SORT | 67   | 2 (0)       |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

```
_optimizer_fkr_index_cost_bias = 1
```

```
select * from (
select * from t2 where col1 = 2
order by col2
)
where rownum <= 68;
```

| Id  | Operation             | Name | Rows | Cost (%CPU) |
|-----|-----------------------|------|------|-------------|
| 0   | SELECT STATEMENT      |      | 68   | 70 (2)      |
| * 1 | COUNT STOPKEY         |      |      |             |
| 2   | VIEW                  |      | 99   | 70 (2)      |
| * 3 | SORT ORDER BY STOPKEY |      | 99   | 70 (2)      |
| * 4 | TABLE ACCESS FULL     | T2   | 99   | 69 (0)      |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

`_optimizer_fkr_index_cost_bias = 1000` ????

```
select * from (
select * from t2 where col1 = 2
order by col2
)
where rownum <= 68;
```

| Id  | Operation             | Name | Rows | Cost (%CPU) |
|-----|-----------------------|------|------|-------------|
| 0   | SELECT STATEMENT      |      | 68   | 70 (2)      |
| * 1 | COUNT STOPKEY         |      |      |             |
| 2   | VIEW                  |      | 99   | 70 (2)      |
| * 3 | SORT ORDER BY STOPKEY |      | 99   | 70 (2)      |
| * 4 | TABLE ACCESS FULL     | T2   | 99   | 69 (0)      |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## Test setup (2)

```
create table first_k_rows_test
(
 sort_order varchar2(10),
 filter_col number,
 filler char(200)
);

insert into first_k_rows_test
 select dbms_random.string('x', 10),
 case
 when level <= 5000
 then 1
 else 0 end,
 'x' as filler
 from dual
 connect by level <= 100000;

commit;
```

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## Test setup (2)

```
create index first_k_rows_test_idx on first_k_rows_test
 (filter_col, sort_order);
```

```
exec dbms_stats.gather_table_stats(null, 'first_k_rows_test',
 method_opt=>'for all columns size 1 for columns filter_col
 size 254', estimate_percent=>null);
```

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

## ALL\_ROWS result

```
select
 t.*
from
 first_k_rows_test t
where
 filter_col = 1
order by
 sort_order;
```

| Id  | Operation         | Name              | Rows | Cost (%CPU) |
|-----|-------------------|-------------------|------|-------------|
| 0   | SELECT STATEMENT  |                   | 5000 | 1071 (2)    |
| 1   | SORT ORDER BY     |                   | 5000 | 1071 (2)    |
| * 2 | TABLE ACCESS FULL | FIRST_K_ROWS_TEST | 5000 | 834 (2)     |

# A Deeper Look - FIRST\_ROWS\_n mechanics

---

```
_optimizer_fkr_index_cost_bias = 1 ????
```

```
select
 *
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
where
 rownum <= 4999;
```

| Id  | Operation                   | Name                  | Rows        | Cost (%CPU)     |
|-----|-----------------------------|-----------------------|-------------|-----------------|
| 0   | SELECT STATEMENT            |                       | <b>4999</b> | <b>5024</b> (1) |
| * 1 | COUNT STOPKEY               |                       |             |                 |
| 2   | VIEW                        |                       | 5000        | 5024 (1)        |
| 3   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST     | 5000        | 5024 (1)        |
| * 4 | INDEX RANGE SCAN            | FIRST_K_ROWS_TEST_IDX |             | 18 (0)          |

# A Deeper Look - FIRST\_ROWS\_n

---

Requesting more rows than estimated in  
ALL\_ROWS mode

```
select
 t.*
from
 first_k_rows_test t
where
 filter_col = 1;
```

| Id  | Operation         | Name              | Rows        | Cost | (%CPU) |
|-----|-------------------|-------------------|-------------|------|--------|
| 0   | SELECT STATEMENT  |                   | 5003        | 834  | (2)    |
| * 1 | TABLE ACCESS FULL | FIRST_K_ROWS_TEST | <b>5003</b> | 834  | (2)    |

# A Deeper Look - FIRST\_ROWS\_n

---

```
select
 *
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
where
 rownum <= 4999;
```

| Id  | Operation                   | Name                         | Rows | Cost (%CPU) |
|-----|-----------------------------|------------------------------|------|-------------|
| 0   | SELECT STATEMENT            |                              | 4999 | 5029 (1)    |
| * 1 | COUNT STOPKEY               |                              |      |             |
| 2   | VIEW                        |                              | 5003 | 5029 (1)    |
| 3   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST            | 5003 | 5029 (1)    |
| * 4 | <b>INDEX RANGE SCAN</b>     | <b>FIRST_K_ROWS_TEST_IDX</b> |      | 21 (0)      |

# A Deeper Look - FIRST\_ROWS\_n

---

```
select
 *
from (
 select
 t.*
 from
 first_k_rows_test t
 where
 filter_col = 1
 order by
 sort_order
)
where
 rownum <= 5010;
```

| Id  | Operation             | Name              | Rows | Cost (%CPU) |
|-----|-----------------------|-------------------|------|-------------|
| 0   | SELECT STATEMENT      |                   | 5003 | 1071 (2)    |
| * 1 | COUNT STOPKEY         |                   |      |             |
| 2   | VIEW                  |                   | 5003 | 1071 (2)    |
| * 3 | SORT ORDER BY STOPKEY |                   | 5003 | 1071 (2)    |
| * 4 | TABLE ACCESS FULL     | FIRST_K_ROWS_TEST | 5003 | 834 (2)     |

# A Deeper Look - FIRST\_ROWS\_n

---

```
alter session set tracefile_identifier = 'first_rows_n_greater_than_all_rows';
```

```
alter session set events '10053 trace name context forever, level 1';
```

```
explain plan for
```

```
select
```

```
 *
```

```
from
```

```
 (
```

```
 select
```

```
 t.*
```

```
 from
```

```
 first_k_rows_test t
```

```
 where
```

```
 filter_col = 1
```

```
 order by
```

```
 sort_order
```

```
)
```

```
where
```

```
 rownum <= 5010;
```

```
alter session set events '10053 trace name context off';
```

# A Deeper Look - FIRST\_ROWS\_n And DML

---

DML and FIRST\_ROWS\_n don't mix

```
update
 first_k_rows_test t
set
 filter_col = 1
where
 filter_col = 0
and
 rownum <= 1
returning
 sort_order into :retval;
```

Special case: Get just the first row(s) for  
update

# A Deeper Look - FIRST\_ROWS\_n And DML

---

## Execution plan

| Id  | Operation                | Name                     | Starts   | E-Rows       | A-Rows   | Buffers    |
|-----|--------------------------|--------------------------|----------|--------------|----------|------------|
| 1   | UPDATE                   | FIRST_K_ROWS_TEST        | 1        |              | 1        | 312        |
| * 2 | COUNT STOPKEY            |                          | 1        |              | 1        | 307        |
| * 3 | <b>TABLE ACCESS FULL</b> | <b>FIRST_K_ROWS_TEST</b> | <b>1</b> | <b>90415</b> | <b>1</b> | <b>307</b> |

Predicate Information (identified by operation id):

- 2 - filter(ROWNUM<=1)
- 3 - filter("FILTER\_COL"=0)

# A Deeper Look - FIRST\_ROWS\_n And DML

---

## Hints required to get it right

```
update /*+ index_rs(t) */
 first_k_rows_test t
set
 filter_col = 1
where
 filter_col = 0
and rownum <= 1
returning
 sort_order into :retval;
```

# A Deeper Look - FIRST\_ROWS\_n And DML

---

## Execution plan

| Id  | Operation        | Name                  | Starts | E-Rows | A-Rows | Buffers |
|-----|------------------|-----------------------|--------|--------|--------|---------|
| 1   | UPDATE           | FIRST_K_ROWS_TEST     | 1      |        | 1      | 7       |
| * 2 | COUNT STOPKEY    |                       | 1      |        | 1      | 2       |
| * 3 | INDEX RANGE SCAN | FIRST_K_ROWS_TEST_IDX | 1      | 90415  | 1      | 2       |

Predicate Information (identified by operation id):

- 2 - filter(ROWNUM<=1)
- 3 - filter("FILTER\_COL"=0)

# A Deeper Look - Bitmap Indexes

---

- FIRST\_ROWS(n) doesn't consider Bitmap Indexes for avoiding ORDER BYs
- FIRST\_ROWS does

# A Deeper Look - Bitmap Indexes

---

## Modified test setup

```
drop index first_k_rows_test_idx2;
```

```
create bitmap index first_k_rows_test_bitmap on
first_k_rows_test (sort_order);
```

```
alter table first_k_rows_test
modify sort_order null;
```

# A Deeper Look - Bitmap Indexes

---

## FIRST\_ROWS query

```
select /*+ first_rows */
 *
from
 first_k_rows_test t
order by
 sort_order;
```

| Id | Operation                     | Name                            | Rows | Cost (%CPU) |
|----|-------------------------------|---------------------------------|------|-------------|
| 0  | SELECT STATEMENT              |                                 | 100K | 5271 (1)    |
| 1  | TABLE ACCESS BY INDEX ROWID   | FIRST_K_ROWS_TEST               | 100K | 5271 (1)    |
| 2  | BITMAP CONVERSION TO ROWIDS   |                                 |      |             |
| 3  | <b>BITMAP INDEX FULL SCAN</b> | <b>FIRST_K_ROWS_TEST_BITMAP</b> |      |             |

# A Deeper Look - Bitmap Indexes

---

## FIRST\_ROWS(n) query

```
select * from (
 select *
 from
 first_k_rows_test t
 order by
 sort_order
)
where rownum <= 10;
```

| Id  | Operation                | Name                     | Rows | Cost (%CPU) |
|-----|--------------------------|--------------------------|------|-------------|
| 0   | SELECT STATEMENT         |                          | 10   | 5516 (1)    |
| * 1 | COUNT STOPKEY            |                          |      |             |
| 2   | VIEW                     |                          | 100K | 5516 (1)    |
| * 3 | SORT ORDER BY STOPKEY    |                          | 100K | 5516 (1)    |
| 4   | <b>TABLE ACCESS FULL</b> | <b>FIRST_K_ROWS_TEST</b> | 100K | 833 (2)     |

# A Deeper Look - Bitmap Indexes

---

## FIRST\_ROWS(n) query - hinted

```
select * from (
select /*+ index(t, first_k_rows_test_bitmap) */
*
from
 first_k_rows_test t
order by
 sort_order
)
where rownum <= 10;
```

| Id  | Operation                     | Name                            | Rows | Cost (%CPU) |
|-----|-------------------------------|---------------------------------|------|-------------|
| 0   | SELECT STATEMENT              |                                 | 10   | 7 (0)       |
| * 1 | COUNT STOPKEY                 |                                 |      |             |
| 2   | VIEW                          |                                 | 10   | 7 (0)       |
| 3   | TABLE ACCESS BY INDEX ROWID   | FIRST_K_ROWS_TEST               | 10   | 7 (0)       |
| 4   | BITMAP CONVERSION TO ROWIDS   |                                 |      |             |
| 5   | <b>BITMAP INDEX FULL SCAN</b> | <b>FIRST_K_ROWS_TEST_BITMAP</b> |      |             |

# A Deeper Look - Bitmap Indexes

---

FIRST\_ROWS(n) query - hinted

## Runtime Statistics

| Id  | Operation                   | Name                     | Starts | E-Rows | A-Rows | Buffers |
|-----|-----------------------------|--------------------------|--------|--------|--------|---------|
| * 1 | COUNT STOPKEY               |                          | 1      |        | 10     | 12      |
| 2   | VIEW                        |                          | 1      | 10     | 10     | 12      |
| 3   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST        | 1      | 10     | 10     | 12      |
| 4   | BITMAP CONVERSION TO ROWIDS |                          | 1      |        | 10     | 2       |
| 5   | BITMAP INDEX FULL SCAN      | FIRST_K_ROWS_TEST_BITMAP | 1      |        | 10     | 2       |

# A Deeper Look - Bitmap Indexes

---

## FIRST\_ROWS(n) query - filter added

```
select * from (
 select
 *
 from
 first_k_rows_test t
 where
 sort_order >= '0'
 order by
 sort_order
)
where rownum <= 10;
```

| Id  | Operation                   | Name                     | Rows | Cost (%CPU) |
|-----|-----------------------------|--------------------------|------|-------------|
| 0   | SELECT STATEMENT            |                          | 10   | 7 (0)       |
| * 1 | COUNT STOPKEY               |                          |      |             |
| 2   | VIEW                        |                          | 10   | 7 (0)       |
| 3   | TABLE ACCESS BY INDEX ROWID | FIRST_K_ROWS_TEST        | 10   | 7 (0)       |
| 4   | BITMAP CONVERSION TO ROWIDS |                          |      |             |
| * 5 | BITMAP INDEX RANGE SCAN     | FIRST_K_ROWS_TEST_BITMAP |      |             |

# A Deeper Look - Potential parsing overhead

---

- In more recent releases (in particular in 11g and later) there is a measurable parsing overhead when using `FIRST_ROWS(n)` mode
- The following block simply hard parses a query 1,000 times

# A Deeper Look - Potential parsing overhead

---

```
declare
 c integer;
begin
 c := dbms_sql.open_cursor;
 for i in 1..1000 loop
 dbms_sql.parse(c, '
select /* PARSE_' || to_char(i, 'TM') || ' */
 *
from
 first_k_rows_test a
where a.filter_col > (
select
 avg(b.filter_col)
from
 first_k_rows_test b
where
 b.sort_order = a.sort_order
)
 ', dbms_sql.NATIVE);
 end loop;
 dbms_sql.close_cursor(c);
end;
/
```

# A Deeper Look - Potential parsing overhead

---

- In ALL\_ROWS mode this takes on my test system approx. **5.5** seconds (11.1.0.7)
- Let's run the same in FIRST\_ROWS(1) mode

# A Deeper Look - Potential parsing overhead

---

```
declare
 c integer;
begin
 c := dbms_sql.open_cursor;
 for i in 1..1000 loop
 dbms_sql.parse(c, '
select /*+ FIRST_ROWS(1) */ /* PARSE_' || to_char(i, 'TM') || ' */
 *
from
 first_k_rows_test a
where a.filter_col > (
select
 avg(b.filter_col)
from
 first_k_rows_test b
where
 b.sort_order = a.sort_order
)
 ', dbms_sql.NATIVE);
 end loop;
 dbms_sql.close_cursor(c);
end;
/
```

# A Deeper Look - Potential parsing overhead

---

- In FIRST\_ROWS(1) mode this takes on my test system approx. **10** seconds (11.1.0.7)
- With well behaving applications not relevant, but there is some overhead that might lead to problems with applications that do a lot of hard parsing

# A Deeper Look - Things Can Go Wrong (1)

---

## Test setup - function-based index

```
create table test_sort(name,object_name)
as
select 'select',object_name from
dba_objects;
```

```
create index i_test_sort_1 on
test_sort(substr(name,0,3),object_name);
```

```
exec dbms_stats.gather_table_stats(null,'TEST_SORT');
```

# A Deeper Look - Things Can Go Wrong (1)

---

## Simple Top-N query using expression

```
select
 *
from (
 select
 *
 from
 test_sort
 where
 substr(name,0,3) = 'sel'
 order by
 object_name
)
where
 rownum<=10;
```

# A Deeper Look - Things Can Go Wrong (1)

---

## Execution plan 10.2.0.4

```

| Id | Operation | Name | Rows | Cost (%CPU) |

0	SELECT STATEMENT		10	529 (4)
* 1	COUNT STOPKEY			
2	VIEW		50744	529 (4)
* 3	SORT ORDER BY STOPKEY		50744	529 (4)
* 4	TABLE ACCESS FULL	TEST_SORT	50744	75 (6)

```

Predicate Information (identified by operation id):

- ```
-----  
1 - filter(ROWNUM<=10)  
3 - filter(ROWNUM<=10)  
4 - filter(SUBSTR("NAME",0,3)='sel')
```

A Deeper Look - Things Can Go Wrong (1)

Execution plan 11.1.0.7

Id	Operation	Name	Rows	Cost (%CPU)
0	SELECT STATEMENT		10	8 (0)
* 1	COUNT STOPKEY			
2	VIEW		10	8 (0)
3	TABLE ACCESS BY INDEX ROWID	TEST_SORT	10	8 (0)
* 4	INDEX RANGE SCAN	I_TEST_SORT_1		3 (0)

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<=10)
- 4 - access(SUBSTR("NAME",0,3)='sel')**

A Deeper Look - Things Can Go Wrong (1)

Workaround in 10.2.0.4

```
select
    *
from (
    select
        *
    from
        test_sort
    where
        substr(name,0,3) = 'sel'
    order by
        substr(name,0,3), object_name
    )
where
    rownum<=10;
```

A Deeper Look - Things Can Go Wrong (1)

Workaround execution plan 10.2.0.4

Id	Operation	Name	Rows	Cost (%CPU)
0	SELECT STATEMENT		10	8 (0)
* 1	COUNT STOPKEY			
2	VIEW		10	8 (0)
3	TABLE ACCESS BY INDEX ROWID	TEST_SORT	50744	8 (0)
* 4	INDEX RANGE SCAN	I_TEST_SORT_1	10	3 (0)

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<11)
- 4 - access(SUBSTR("NAME",0,3)='sel')**

A Deeper Look - Things Can Go Wrong (2)

Test setup - Join with group by and filter

```
create table first_k_rows_test1
as
select
    id
    , mod(id, 100) as id_join
    , mod(id, 100) as filter_col
    , rpad('x', 100) as filler
from
    (
    select
        level as id
    from
        dual
    connect by
        level <= 100000
    );
```

<http://forums.oracle.com/forums/thread.jspa?threadID=934895>

A Deeper Look - Things Can Go Wrong (2)

Test setup - Join with group by and filter

```
create table first_k_rows_test2
as
select
    id_join
    , upper(dbms_random.string('a',15)) as group_col
from
    (
    select distinct
        id_join
    from
        first_k_rows_test1
    );

create index first_k_rows_test2_idx on first_k_rows_test2 (group_col);

exec dbms_stats.gather_table_stats(null, 'first_k_rows_test1')

exec dbms_stats.gather_table_stats(null, 'first_k_rows_test2')
```

A Deeper Look - Things Can Go Wrong (2)

The query

```
select
    group_col
from
    (
    select
        t2.group_col
        , count(*) as cnt
    from
        first_k_rows_test1 t1
        , first_k_rows_test2 t2
    where
        t1.id_join = t2.id_join
and t2.group_col != 'BLA'
and t1.filter_col between 1 and 2
    group by
        t2.group_col
    order by
        cnt desc
    )
where
    rownum <= 1;
```

A Deeper Look - Things Can Go Wrong (2)

Execution plan 10.2.0.4 + 11.1.0.7

Id	Operation	Name	Rows	Cost (%CPU)
0	SELECT STATEMENT		1	35 (3)
* 1	COUNT STOPKEY			
2	VIEW		2	35 (3)
* 3	SORT ORDER BY STOPKEY		2	35 (3)
4	SORT GROUP BY NOSORT		2	35 (3)
5	NESTED LOOPS		2	35 (3)
6	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST2	99	2 (0)
* 7	INDEX FULL SCAN	FIRST_K_ROWS_TEST2_IDX	1	1 (0)
* 8	TABLE ACCESS FULL	FIRST_K_ROWS_TEST1	2	33 (4)

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<=1)
- 3 - filter(ROWNUM<=1)
- 7 - filter("T2"."GROUP_COL"<>'BLA')
- 8 - filter("T1"."FILTER_COL"<=2 AND "T1"."FILTER_COL">=1 AND "T1"."ID_JOIN"="T2"."ID_JOIN")

A Deeper Look - Things Can Go Wrong (2)

Runtime statistics

Id	Operation	Name	Starts	E-Rows	A-Rows	Buffers
* 1	COUNT STOPKEY		1		1	164K
2	VIEW		1	2	1	164K
* 3	SORT ORDER BY STOPKEY		1	2	1	164K
4	SORT GROUP BY NOSORT		1	2	2	164K
5	NESTED LOOPS		1	2	2000	164K
6	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST2	1	99	100	2
* 7	INDEX FULL SCAN	FIRST_K_ROWS_TEST2_IDX	1	1	100	1
* 8	TABLE ACCESS FULL	FIRST_K_ROWS_TEST1	100	2	2000	164K

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<=1)
- 3 - filter(ROWNUM<=1)
- 7 - filter("T2"."GROUP_COL"<>'BLA')
- 8 - filter(("T1"."FILTER_COL"<=2 AND "T1"."FILTER_COL">=1 AND "T1"."ID_JOIN"="T2"."ID_JOIN"))

A Deeper Look - Things Can Go Wrong (2)

Potential workarounds:

- Use `ALL_ROWS` hint
- Use pre-10.2.0.3 optimizer features
- Use "`_first_k_rows_dynamic_proration`" parameter

```
alter session set "_first_k_rows_dynamic_proration" = false;
```

- Obviously functionality changes from release to release, since 10.2.0.3 enabled by default (true)

A Deeper Look - Things Can Go Wrong (2)

Workaround execution plan

Id	Operation	Name	Starts	E-Rows	A-Rows	Buffers
* 1	COUNT STOPKEY		1		1	1644
2	VIEW		1	99	1	1644
* 3	SORT ORDER BY STOPKEY		1	99	1	1644
4	HASH GROUP BY		1	99	2	1644
* 5	HASH JOIN		1	2931	2000	1644
* 6	TABLE ACCESS FULL	FIRST_K_ROWS_TEST2	1	99	100	3
* 7	TABLE ACCESS FULL	FIRST_K_ROWS_TEST1	1	2990	2000	1641

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<=1)
- 3 - filter(ROWNUM<=1)
- 5 - access("T1"."ID_JOIN"="T2"."ID_JOIN")
- 6 - filter("T2"."GROUP_COL"<>'BLA')
- 7 - filter(("T1"."FILTER_COL"<=2 AND "T1"."FILTER_COL">=1))

A Deeper Look - Things Can Go Wrong (2)

- But using the "`_first_k_rows_dynamic_proration`" not always helps. Slightly changing the query - for example removing the filter predicate - will result in the bad execution plan, even with the parameter set to "false"
- Let's see how the plan looks like when forcing the nested loop operation and the parameter set to false

A Deeper Look - Things Can Go Wrong (2)

Execution plan with workaround

Id	Operation	Name	Rows	Cost (%CPU)
0	SELECT STATEMENT		1	458 (3)
* 1	COUNT STOPKEY			
2	VIEW		99	458 (3)
* 3	SORT ORDER BY STOPKEY		99	458 (3)
4	HASH GROUP BY		99	458 (3)
* 5	HASH JOIN		2931	456 (2)
* 6	TABLE ACCESS FULL	FIRST_K_ROWS_TEST2	99	2 (0)
* 7	TABLE ACCESS FULL	FIRST_K_ROWS_TEST1	2990	454 (2)

Predicate Information (identified by operation id):

- 1 - filter(ROWNUM<=1)
- 3 - filter(ROWNUM<=1)
- 5 - access("T1"."ID_JOIN"="T2"."ID_JOIN")
- 6 - filter("T2"."GROUP_COL"<>'BLA')
- 7 - filter("T1"."FILTER_COL"<=2 AND "T1"."FILTER_COL">=1)

A Deeper Look - Things Can Go Wrong (2)

Execution plan with forced NL

Id	Operation	Name	Rows	Cost (%CPU)
0	SELECT STATEMENT		1	463 (3)
* 1	COUNT STOPKEY			
2	VIEW		23	463 (3)
* 3	SORT ORDER BY STOPKEY		23	463 (3)
4	SORT GROUP BY NOSORT		23	463 (3)
5	NESTED LOOPS		23	463 (3)
6	TABLE ACCESS BY INDEX ROWID	FIRST_K_ROWS_TEST2	99	2 (0)
* 7	INDEX FULL SCAN	FIRST_K_ROWS_TEST2_IDX	2	1 (0)
* 8	TABLE ACCESS FULL	FIRST_K_ROWS_TEST1	15	231 (3)

Predicate Information (identified by operation id):

```
1 - filter(ROWNUM<=1)
3 - filter(ROWNUM<=1)
7 - filter("T2"."GROUP_COL" <> 'BLA')
8 - filter("T1"."FILTER_COL" <= 2 AND "T1"."FILTER_COL" >= 1 AND
"T1"."ID_JOIN" = "T2"."ID_JOIN")
```

Everything You Wanted To Know About FIRST_ROWS_n

Summary (1)

- Important to understand when to use FIRST_ROWS(_n) optimization
- FIRST_ROWS is deprecated since 9i and might produce suboptimal execution plans, in particular when joins are involved

Everything You Wanted To Know About FIRST_ROWS_n

Summary (2)

- Advanced techniques for Pagination queries when frequently accessing later pages
- If there are issues with executions plans, one can try to set the "`_first_k_rows_dynamic_proration`" parameter to false in 10.2.0.4 and later

Everything You Wanted To Know About FIRST_ROWS_n

Questions

&

Answers

Everything You Wanted To Know About FIRST_ROWS_n

Thank you!