

---

---

## DATABASE MANAGEMENT SYSTEMS

Subject Code: 10CS54  
Exam Hours: 03

I.A. Marks: 25  
Total Hours: 52

Hours/Week: 04  
Exam Marks: 100

### PART - A

#### UNIT – 1

**6 Hours**

**Introduction:** Introduction; An example; Characteristics of Database approach; Actors on the screen; Workers behind the scene; Advantages of using DBMS approach; A brief history of database applications; when not to use a DBMS. Data models, schemas and instances; Three-schema architecture and data independence; Database languages and interfaces; the database system environment; Centralized and client-server architectures; Classification of Database Management systems.

#### UNIT – 2

**6 Hours**

**Entity-Relationship Model:** Using High-Level Conceptual Data Models for Database Design; An Example Database Application; Entity Types, Entity Sets, Attributes and Keys; Relationship types, Relationship Sets, Roles and Structural Constraints; Weak Entity Types; Refining the ER Design; ER Diagrams, Naming Conventions and Design Issues; Relationship types of degree higher than two.

#### UNIT – 3

**8 Hours**

**Relational Model and Relational Algebra:** Relational Model Concepts; Relational Model Constraints and Relational Database Schemas; Update Operations, Transactions and dealing with constraint violations; Unary Relational Operations: SELECT and PROJECT; Relational Algebra Operations from Set Theory; Binary Relational Operations: JOIN and DIVISION; Additional Relational Operations; Examples of Queries in Relational Algebra; Relational Database Design Using ER- to-Relational Mapping.

#### UNIT – 4

**6 Hours**

**SQL – 1:** SQL Data Definition and Data Types; Specifying basic constraints in SQL; Schema change statements in SQL; Basic queries in SQL; More complex SQL Queries.

### PART - B

#### UNIT – 5

**6 Hours**

**SQL – 2 :** Insert, Delete and Update statements in SQL; Specifying constraints as Assertion and Trigger; Views (Virtual Tables) in SQL; Additional features of SQL; Database programming issues and techniques; Embedded SQL, Dynamic SQL; Database stored procedures and SQL / PSM.

#### UNIT – 6

**6 Hours**

---

---

**Database Design – 1:** Informal Design Guidelines for Relation Schemas; Functional dependencies; Normal Forms Based on Primary Keys; General Definitions of Second and Third Normal Forms; Boyce-Codd Normal Form

**UNIT – 7**

**6 Hours**

**Database Design -2:** Properties of Relational Decompositions; Algorithms for Relational Database Schema Design; Multivalued Dependencies and Fourth Normal Form; Join Dependencies and Fifth Normal Form; Inclusion Dependencies; Other Dependencies and Normal Forms

**UNIT – 8**

**8 Hours**

**Transaction Management:** The ACID Properties; Transactions and Schedules; Concurrent Execution of Transactions; Lock- Based Concurrency Control; Performance of locking; Transaction support in SQL; Introduction to crash recovery; 2PL, Serializability and Recoverability; Lock Management; Introduction to ARIES; The log; Other recovery-related structures; The write-ahead log protocol; Check pointing; Recovering from a System Crash; Media Recovery; Other approaches and interaction with concurrency control.

**Text Books:**

1. Elmasri and Navathe: Fundamentals of Database Systems, 5th Edition, Pearson Education, 2007. (Chapters 1, 2, 3 except 3.8, 5, 6.1 to 6.5, 7.1, 8, 9.1, 9.2 except SQLJ, 9.4, 10)
2. Ragu Ramakrishnan and Johannes Gehrke: Database Management Systems, 3rd Edition, McGraw-Hill, 2003. (Chapters 16, 17.1, 17.2, 18)

**Reference Books:**

1. Silberschatz, Korth and Sudharshan: Data base System Concepts, 6th Edition, Mc-GrawHill, 2010.
2. C.J. Date, A. Kannan, S. Swamynatham: An Introduction to Database Systems, 8th Edition, Pearson Education, 2006

**INDEX SHEET**

<b><u>Contents</u></b>	<b><u>Page No</u></b>
<b>Unit 1 Databases and Database Users</b>	<b>7-17</b>
1.1 Introduction	
1.2: An Example:	
1.3: Characteristics of the Database Approach:	
1.4: Actors on the Scene	
1.5: Workers behind the Scene	
1.6: Capabilities/Advantages of DBMS's	
1.7: A Brief History of Database Applications	
1.8: When Not to Use a DBMS	
<b>Unit 2 ENTITY.1 Data Models, Schemas, and Instances</b>	<b>18-31</b>
2.1-RELATIONSHIP MODEL	
2.1.2: Schemas, Instances, and Database State	
2.2 DBMS Architecture and Data Independence	
2.2.1: Three-Schema Architecture	
2.3 Database Languages and Interfaces	
2.3.1 DBMS Languages	
2.3.2 DBMS Interfaces	
2.4 Database System Environment	
2.5 Centralized and Client/Server Architectures for DBMS's	
2.6 Classification of DBMS's	
2.7. Modeling Using the Entity-Relationship Model	

## 2.8 Entity-Relationship (ER) Model

### 2.8.1 Entities and Attributes

### 2.8.2: Entity Types, Entity Sets, Keys, and Domains

### 2.8.3 Initial Conceptual Design of COMPANY database

## 2.9 Relationship Types, Sets, Roles, and Structural Constraints

### 2.9.1: Ordering of entity types in relationship types

### 2.9.2 Degree of a relationship type

### 2.9.3 Constraints on Relationship Types

### 2.9.4 Attributes of Relationship Types

## 2.10 Weak Entity Types

# **UNIT 3 The Relational Data Model and Relational Database Constraints and Relational Algebra**

32-50

## 3.1 Relational Model Concepts

### 3.1.2 Characteristics of Relations

### 3.1.3 Relational Model Notation

## 3.2 Relational Model Constraints and Relational Database Schemas

### 3.2.1 Domain Constraints

### 3.2.2 Key Constraints

### 3.2.3 Relational Databases and Relational Database Schemas

### 3.2.4 Entity Integrity, Referential Integrity, and Foreign Keys

## 3.3 Update Operations and Dealing with Constraint Violations

### 3.3.1 Insert

### 3.3.2 Delete

### 3.3.3 Update:

### 3.3.4 Transactions and dealing with constraints

3.4 Relational Operation

3.5 Relational algebra operation Set theory Operations

3.6 JOIN Operations

3.7 Additional Relational Operations

3.8 Examples of Queries in Relational Algebra

3.9 Relational Database Design Using ER-to-Relational Mapping

**UNIT 4 SQL The Relational Database Standard**

51-61

4.1 Data Definition, Constraints, and Schema Changes in SQL2

4.2 Basic Queries in SQL

4.3 More Complex SQL Queries

**UNIT 5 SQL The Relational Database Standard**

62-71

5.1 Update Statements in SQL

5.2 Views in SQL

5.3 Additional features

5.4 Database Programming

5.5 Embedded SQL

5.6 Dynamic SQL

5.7 Database stored procedures and SQL/PSM

**UNIT-6 Data Base design-1**

72-84

6.1 Informal design guidelines for relation schemas

6.1.1 Semantics of relations attributes

6.2. Inference Rules

6.3 Normalization

6.3.1 First Normal Form (1NF)

6.3.2 Second Normal Form (2NF)

### 6.3.3 Third Normal Form (3NF)

### 6.4 Boyce-Codd Normal Form (BCNF)

## **UNIT-7 Data base design 2**

85-91

### 7.1 Properties of relational decomposition

### 7.2 Algorithms for Relational Database Schema Design

#### 7.2.1 Decomposition and Dependency Preservation

#### 7.2.2 Lossless-join Dependency

### 7.3 Multivolume Dependencies and Fourth Normal Form (4NF)

#### 7.3.1 Fourth Normal Form (4NF)

### 7.4 Join Dependencies and 5 NF

### 7.5 Other dependencies:

#### 7.5.1 Template Dependencies

#### 7.5.2 Domain Key Normal Form

## **UNIT 8 Transaction Processing Concepts**

92-104

### 8.1 Introduction to Transaction Processing

### 8.2 Transactions, Read and Write Operations

### 8.3 Why Concurrency Control Is Needed

### 8.4 Why Recovery Is Needed

### 8.5 Transaction and System Concepts

### 8.6 The System Log

### 8.7 Desirable Properties of Transactions

### 8.8 Schedules and Recoverability

**UNIT 1****Databases and Database Users**

- 1.1 Introduction
  - 1.2: An Example:
  - 1.3: Characteristics of the Database Approach:
  - 1.4: Actors on the Scene
  - 1.5: Workers Behind the Scene
  - 1.6: Capabilities/Advantages of DBMS's
  - 1.7: A Brief History of Database Applications
  - 1.8: When Not to Use a DBMS
-

## Unit 1 Databases and Database Users

### 1.1 Introduction

**Importance:** Database systems have become an essential component of life in modern society, in that many frequently occurring events trigger the accessing of at least one database: bibliographic library searches, bank transactions, hotel/airline reservations, grocery store purchases, online (Web) purchases, etc., etc.

#### Traditional vs. more recent applications of databases:

The applications mentioned above are all "traditional" ones for which the use of rigidly-structured textual and numeric data suffices. Recent advances have led to the application of database technology to a wider class of data. Examples include **multimedia** databases (involving pictures, video clips, and sound messages) and **geographic** databases (involving maps, satellite images).

Also, database search techniques are applied by some WWW search engines.

#### Definitions

The term **database** is often used, rather loosely, to refer to just about any collection of related data. E&N say that, in addition to being a collection of related data, a database must have the following properties:

- It represents some aspect of the real (or an imagined) world, called the **miniworld** or **universe of discourse**. Changes to the miniworld are reflected in the database. Imagine, for example, a UNIVERSITY miniworld concerned with students, courses, course sections, grades, and course prerequisites.
- It is a logically coherent collection of data, to which some meaning can be attached. (Logical coherency requires, in part, that the database not be self-contradictory.)
- It has a purpose: there is an intended group of users and some preconceived applications that the users are interested in employing.

To summarize: a database has some source (i.e., the miniworld) from which data are derived, some degree of interaction with events in the represented miniworld (at least insofar as the data is updated when the state of the miniworld changes), and an audience that is interested in using it.

**An Aside: data vs. information vs. knowledge:** Data is the representation of "facts" or "observations" whereas information refers to the meaning thereof (according to some interpretation). Knowledge, on the other hand, refers to the ability to use information to achieve intended ends.

**Computerized vs. manual:** Not surprisingly (this being a CS course), our concern will be with computerized database systems, as opposed to manual ones, such as the card catalog-based



systems that were used in libraries in ancient times (i.e., before the year 2000). (Some authors wouldn't even recognize a non-computerized collection of data as a database, but E&N do.)

**Size/Complexity:** Databases run the range from being small/simple (e.g., one person's recipe database) to being huge/complex (e.g., Amazon's database that keeps track of all its products, customers, and suppliers).

**Definition:** A **database management system** (DBMS) is a collection of programs enabling users to create and maintain a database.

More specifically, a DBMS is a general purpose software system facilitating each of the following (with respect to a database):

- **definition:** specifying data types (and other constraints to which the data must conform) and data organization
- **construction:** the process of storing the data on some medium (e.g., magnetic disk) that is controlled by the DBMS
- **manipulation:** querying, updating, report generation
- **sharing:** allowing multiple users and programs to access the database "simultaneously"
- **system protection:** preventing database from becoming corrupted when hardware or software failures occur
- **security protection:** preventing unauthorized or malicious access to database.

Given all its responsibilities, it is not surprising that a typical DBMS is a complex piece of software.

A database together with the DBMS software is referred to as a **database system**. (See Figure 1.1, page 7.)

## 1.2: An Example:

UNIVERSITY database in Figure 1.2. Notice that it is relational!

Among the main ideas illustrated in this example is that each file/relation/table has a set of named fields/attributes/columns, each of which is specified to be of some data type. (In addition to a data type, we might put further restrictions upon a field, e.g., GRADE\_REPORT must have a value from the set {'A', 'B', ..., 'F'}.)

The idea is that, of course, each table will be populated with data in the form of records/tuples/rows, each of which represents some entity (in the miniworld) or some relationship between entities.

For example, each record in the **STUDENT** table represents a —surprise!— student. Similarly for the **COURSE** and **SECTION** tables.

On the other hand, each record in **GRADE\_REPORT** represents a relationship between a student and a section of a course. And each record in **PREREQUISITE** represents a relationship between two courses.

Database manipulation involves querying and updating.

Examples of (informal) queries:

- Retrieve the transcript(s) of student(s) named 'Smith'.
- List the names of students who were enrolled in a section of the 'Database' course in Spring 2006, as well as their grades in that course section.
- List all prerequisites of the 'Database' course.

Examples of (informal) updates:

- Change the CLASS value of 'Smith' to sophomore (i.e., 2).
- Insert a record for a section of 'File Processing' for this semester.
- Remove from the prerequisites of course 'CMPS 340' the course 'CMPS 144'.

Of course, a query/update must be conveyed to the DBMS in a precise way (via the query language of the DBMS) in order to be processed.

As with software in general, developing a new database (or a new application for an existing database) proceeds in phases, including **requirements analysis** and various levels of **design** (conceptual (e.g., Entity-Relationship Modeling), logical (e.g., relational), and physical (file structures)).

### 1.3: Characteristics of the Database Approach:

**Database approach vs. File Processing approach:** Consider an organization/enterprise that is organized as a collection of departments/offices. Each department has certain data processing "needs", many of which are unique to it. In the **file processing approach**, each department would control a collection of relevant data files and software applications to manipulate that data.

For example, a university's Registrar's Office would maintain data (and programs) relevant to student grades and course enrollments. The Bursar's Office would maintain data (and programs) pertaining to fees owed by students for tuition, room and board, etc. (Most likely, the people in these offices would not be in direct possession of their data and programs, but rather the university's Information Technology Department would be responsible for providing services such as data storage, report generation, and programming.)

One result of this approach is, typically, **data redundancy**, which not only wastes storage space but also makes it more difficult to keep changing data items consistent with one another, as a change to one copy of a data item must be made to all of them (called **duplication-of-effort**). **Inconsistency** results when one (or more) copies of a datum are changed but not others. (E.g., If

you change your address, informing the Registrar's Office should suffice to ensure that your grades are sent to the right place, but does not guarantee that your next bill will be, as the copy of your address "owned" by the Bursar's Office might not have been changed.)

In the **database approach**, a single repository of data is maintained that is used by all the departments in the organization. (Note that "single repository" is used in the logical sense. In physical terms, the data may be distributed among various sites, and possibly mirrored.)

### **Main Characteristics of database approach:**

1. **Self-Description:** A database system includes—in addition to the data stored that is of relevance to the organization— a complete definition/description of the database's structure and constraints. This **meta-data** (i.e., data about data) is stored in the so-called **system catalog**, which contains a description of the structure of each file, the type and storage format of each field, and the various constraints on the data (i.e., conditions that the data must satisfy).

See Figures 1.1 and 1.3.

The system catalog is used not only by users (e.g., who need to know the names of tables and attributes, and sometimes data type information and other things), but also by the DBMS software, which certainly needs to "know" how the data is structured/organized in order to interpret it in a manner consistent with that structure. Recall that a DBMS is general purpose, as opposed to being a specific database application. Hence, the structure of the data cannot be "hard-coded" in its programs (such as is the case in typical file processing approaches), but rather must be treated as a "parameter" in some sense.

2. **Insulation between Programs and Data; Data Abstraction:**

**Program-Data Independence:** In traditional file processing, the structure of the data files accessed by an application is "hard-coded" in its source code. (E.g., Consider a file descriptor in a COBOL program: it gives a detailed description of the layout of the records in a file by describing, for each field, how many bytes it occupies.)

If, for some reason, we decide to change the structure of the data (e.g., by adding the first two digits to the YEAR field, in order to make the program Y2K compliant!), **every** application in which a description of that file's structure is hard-coded must be changed!

In contrast, DBMS access programs, in most cases, do not require such changes, because the structure of the data is described (in the system catalog) separately from the programs that access it and those programs consult the catalog in order to ascertain the structure of the data (i.e., providing a means by which to determine boundaries between records and between fields within records) so that they interpret that data properly.

See Figure 1.4.

In other words, the DBMS provides a conceptual or logical view of the data to application programs, so that the underlying implementation may be changed without the programs being modified. (This is referred to as program-data independence.)

Also, which access paths (e.g., indexes) exist are listed in the catalog, helping the DBMS to determine the most efficient way to search for items in response to a query.

### Data Abstraction:

- A **data model** is used to hide storage details and present the users with a conceptual view of the database.
- Programs refer to the data model constructs rather than data storage details

Note: In fairness to COBOL, it should be pointed out that it has a COPY feature that allows different application programs to make use of the same file descriptor stored in a "library". This provides some degree of program-data independence, but not nearly as much as a good DBMS does. End of note.

**Example** by which to illustrate this concept: Suppose that you are given the task of developing a program that displays the contents of a particular data file. Specifically, each record should be displayed as follows:

```
Record #i:  
  value of first field  
  value of second field  
  ...  
  ...  
  value of last field
```

To keep things very simple, suppose that the file in question has fixed-length records of 57 bytes with six fixed-length fields of lengths 12, 4, 17, 2, 15, and 7 bytes, respectively, all of which are ASCII strings. Developing such a program would not be difficult. However, the obvious solution would be tailored specifically for a file having the particular structure described here and would be of no use for a file with a different structure.

Now suppose that the problem is generalized to say that the program you are to develop must be able to display any file having fixed-length records with fixed-length fields that are ASCII strings. Impossible, you say? Well, yes, unless the program has the ability to access a description of the file's structure (i.e., lengths of its records and the fields therein), in which case the problem is not hard at all. This illustrates the power of metadata, i.e., data describing other data.

3. **Multiple Views of Data:** Different users (e.g., in different departments of an organization) have different "views" or perspectives on the database. For example, from the point of view of a Bursar's Office employee, student data does not include anything about which courses were taken or which grades were earned. (This is an example of a **subset** view.)

As another example, a Registrar's Office employee might think that GPA is a field of data in each student's record. In reality, the underlying database might calculate that value each time it is needed. This is called **virtual** (or **derived**) data.

A view designed for an academic advisor might give the appearance that the data is structured to point out the prerequisites of each course.

(See Figure 1.5, page 14.)

A good DBMS has facilities for defining multiple views. This is not only convenient for users, but also addresses security issues of data access. (E.g., The Registrar's Office view should not provide any means to access financial data.)

4. **Data Sharing and Multi-user Transaction Processing:** As you learned about (or will) in the OS course, the simultaneous access of computer resources by multiple users/processes is a major source of complexity. The same is true for multi-user DBMS's.

Arising from this is the need for **concurrency control**, which is supposed to ensure that several users trying to update the same data do so in a "controlled" manner so that the results of the updates are as though they were done in some sequential order (rather than interleaved, which could result in data being incorrect).

This gives rise to the concept of a **transaction**, which is a process that makes one or more accesses to a database and which must have the appearance of executing in isolation from all other transactions (even ones that access the same data at the "same time") and of being atomic (in the sense that, if the system crashes in the middle of its execution, the database contents must be as though it did not execute at all).

Applications such as **airline reservation systems** are known as **online transaction processing** applications.

## 1.4: Actors on the Scene

These apply to "large" databases, not "personal" databases that are defined, constructed, and used by a single person via, say, Microsoft Access.

- Users may be divided into
  - Those who actually use and control the database content, and those who design, develop and maintain database applications (called “Actors on the Scene”), and
  - Those who design and develop the DBMS software and related tools, and the computer systems operators (called “Workers Behind the Scene”).
- 1. **Database Administrator (DBA):** This is the chief administrator, who oversees and manages the database system (including the data and software). Duties include authorizing users to access the database, coordinating/monitoring its use, acquiring hardware/software for upgrades, etc. In large organizations, the DBA might have a support staff.
- 2. **Database Designers:** They are responsible for identifying the data to be stored and for choosing an appropriate way to organize it. They also define **views** for different categories of users. The final design must be able to support the requirements of all the user sub-groups.
- 3. **End Users:** These are persons who access the database for **querying, updating, and report generation**. They are main reason for database's existence!
  - **Casual end users:** use database occasionally, needing different information each time; use query language to specify their requests; typically middle- or high-level managers.
  - **Naive/Parametric end users:** Typically the biggest group of users; frequently query/update the database using standard **canned transactions** that have been carefully programmed and tested in advance. Examples:
    - bank tellers check account balances, post withdrawals/deposits
    - reservation clerks for airlines, hotels, etc., check availability of seats/rooms and make reservations.
    - shipping clerks (e.g., at UPS) who use buttons, bar code scanners, etc., to update status of in-transit packages.
  - **Sophisticated end users:** engineers, scientists, business analysts who implement their own applications to meet their complex needs.
  - **Stand-alone users:** Use "personal" databases, possibly employing a special-purpose (e.g., financial) software package. Mostly maintain personal databases using ready-to-use packaged applications.
  - An example is a tax program user that creates its own internal database.
  - Another example is maintaining an address book
- 4. **System Analysts, Application Programmers, Software Engineers:**
  - **System Analysts:** determine needs of end users, especially naive and parametric users, and develop specifications for canned transactions that meet these needs.
  - **Application Programmers:** Implement, test, document, and maintain programs that satisfy the specifications mentioned above.

### 1.5: Workers Behind the Scene

- **DBMS system designers/implementors:** provide the DBMS software that is at the foundation of all this!

- **Tool developers:** design and implement software tools facilitating database system design, performance monitoring, creation of graphical user interfaces, prototyping, etc.
- **Operators and maintenance personnel:** responsible for the day-to-day operation of the system.

### 1.6: Capabilities/Advantages of DBMS's

1. **Controlling Redundancy:** Data redundancy (such as tends to occur in the "file processing" approach) leads to **wasted storage space**, **duplication of effort** (when multiple copies of a datum need to be updated), and a higher likelihood of the introduction of **inconsistency**.

On the other hand, redundancy can be used to improve performance of queries. Indexes, for example, are entirely redundant, but help the DBMS in processing queries more quickly.

Another example of using redundancy to improve performance is to store an "extra" field in order to avoid the need to access other tables (as when doing a JOIN, for example). See Figure 1.6 (page 18): the StudentName and CourseNumber fields need not be there.

A DBMS should provide the capability to automatically enforce the rule that no inconsistencies are introduced when data is updated. (Figure 1.6 again, in which Student\_name does not match Student\_number.)

2. **Restricting Unauthorized Access:** A DBMS should provide a **security and authorization subsystem**, which is used for specifying restrictions on user accounts. Common kinds of restrictions are to allow read-only access (no updating), or access only to a subset of the data (e.g., recall the Bursar's and Registrar's office examples from above).
3. **Providing Persistent Storage for Program Objects:** Object-oriented database systems make it easier for complex runtime objects (e.g., lists, trees) to be saved in secondary storage so as to survive beyond program termination and to be retrievable at a later time.
4. **Providing Storage Structures for Efficient Query Processing:** The DBMS maintains indexes (typically in the form of trees and/or hash tables) that are utilized to improve the execution time of queries and updates. (The choice of which indexes to create and maintain is part of physical database design and tuning (see Chapter 16) and is the responsibility of the DBA.

The **query processing and optimization** module is responsible for choosing an efficient query execution plan for each query submitted to the system. (See Chapter 15.)

5. **Providing Backup and Recovery:** The subsystem having this responsibility ensures that recovery is possible in the case of a system crash during execution of one or more transactions.



6. **Providing Multiple User Interfaces:** For example, query languages for casual users, programming language interfaces for application programmers, forms and/or command codes for parametric users, menu-driven interfaces for stand-alone users.
7. **Representing Complex Relationships Among Data:** A DBMS should have the capability to represent such relationships and to retrieve related data quickly.
8. **Enforcing Integrity Constraints:** Most database applications are such that the semantics (i.e., meaning) of the data require that it satisfy certain restrictions in order to make sense. Perhaps the most fundamental constraint on a data item is its data type, which specifies the universe of values from which its value may be drawn. (E.g., a Grade field could be defined to be of type Grade\_Type, which, say, we have defined as including precisely the values in the set { "A", "A-", "B+", ..., "F" }.

Another kind of constraint is referential integrity, which says that if the database includes an entity that refers to another one, the latter entity must exist in the database. For example, if (R56547, CIL102) is a tuple in the Enrolled\_In relation, indicating that a student with ID R56547 is taking a course with ID CIL102, there must be a tuple in the Student relation corresponding to a student with that ID.

9. **Permitting Inferencing and Actions Via Rules:** In a **deductive** database system, one may specify declarative rules that allow the database to infer new data! E.g., Figure out which students are on academic probation. Such capabilities would take the place of application programs that would be used to ascertain such information otherwise.

**Active** database systems go one step further by allowing "active rules" that can be used to initiate actions automatically.

## 1.7: A Brief History of Database Applications

- Early Database Applications:
  - The Hierarchical and Network Models were introduced in mid 1960s and dominated during the seventies.
  - A bulk of the worldwide database processing still occurs using these models.
- Relational Model based Systems:
  - Relational model was originally introduced in 1970, was heavily researched and experimented with in IBM Research and several universities.
  - Object-oriented and emerging applications:

Object-Oriented Database Management Systems (OODBMSs) were introduced in late 1980s and early 1990s to cater to the need of complex data processing in CAD and other applications.

- Their use has not taken off much.

Many relational DBMSs have incorporated object database concepts, leading to a new category called object-relational DBMSs (ORDBMSs)



Extended relational systems add further capabilities (e.g. for multimedia data, XML, and other data types)

- Relational DBMS Products emerged in the 1980s
- Data on the Web and E-commerce Applications:
- Web contains data in HTML (Hypertext markup language) with links among pages.
- This has given rise to a new set of applications and E-commerce is using new standards like XML (eXtended Markup Language).
- Script programming languages such as PHP and JavaScript allow generation of dynamic Web pages that are partially generated from a database
  - New functionality is being added to DBMSs in the following areas:
    - Scientific Applications
    - XML (eXtensible Markup Language)
    - Image Storage and Management
    - Audio and Video data management
    - Data Warehousing and Data Mining
    - Spatial data management
    - Time Series and Historical Data Management
  - The above gives rise to new research and development in incorporating new data types, complex data structures, new operations and storage and indexing schemes in database systems.
  - Also allow database updates through Web pages

### 1.8: When Not to Use a DBMS

#### Main inhibitors (costs) of using a DBMS:

- High initial investment and possible need for additional hardware.
- Overhead for providing generality, security, concurrency control, recovery, and integrity functions.
- When a DBMS may be unnecessary:
  - If the database and applications are simple, well defined, and not expected to change.
  - If there are stringent real-time requirements that may not be met because of DBMS overhead.
  - If access to data by multiple users is not required.
- When no DBMS may suffice:
  - If the database system is not able to handle the complexity of data because of modeling limitations
  - If the database users need special operations not supported by the DBMS.

**UNIT 2****ENTITY.1 Data Models, Schemas, and Instances****ENTITY.1 Data Models, Schemas, and Instances****2.1-RELATIONSHIP MODEL****2.1.2: Schemas, Instances, and Database State****2.2 DBMS Architecture and Data Independence****2.2.1: Three-Schema Architecture****2.3 Database Languages and Interfaces****2.3.1 DBMS Languages****2.3.2 DBMS Interfaces****2.4 Database System Environment****2.5 Centralized and Client/Server Architectures for DBMS's****2.6 Classification of DBMS's****2.7.Modeling Using the Entity-Relationship Model****2.8 Entity-Relationship (ER) Model****2.8.1 Entities and Attributes****2.8.2: Entity Types, Entity Sets, Keys, and Domains****2.8.3 Initial Conceptual Design of COMPANY database****2.9 Relationship Types, Sets, Roles, and Structural Constraints****2.9.1:Ordering of entity types in relationship types****2.9.2 Degree of a relationship type****2.9.3 Constraints on Relationship Types****2.9.4 Attributes of Relationship Types****2.10 Weak Entity Types**

## UNIT 2 ENTITY-RELATIONSHIP MODEL

### 2.1 Data Models, Schemas, and Instances

One fundamental characteristic of the database approach is that it provides some level of data abstraction by hiding details of data storage that are irrelevant to database users.

A **data model** ---a collection of concepts that can be used to describe the conceptual/logical structure of a database--- provides the necessary means to achieve this abstraction.

By structure is meant the data types, relationships, and constraints that should hold for the data.

Most data models also include a set of **basic operations** for specifying retrievals/updates.

Object-oriented data models include the idea of objects having behavior (i.e., applicable methods) being stored in the database (as opposed to purely "passive" data).

According to C.J. Date (one of the leading database experts), a **data model** is an abstract, self-contained, logical definition of the objects, operators, and so forth, that together constitute the abstract machine with which users interact. The objects allow us to model the structure of data; the operators allow us to model its behavior.

In the relational data model, data is viewed as being organized in two-dimensional tables comprised of tuples of attribute values. This model has operations such as Project, Select, and Join.

A data model is not to be confused with its **implementation**, which is a physical realization on a real machine of the components of the abstract machine that together constitute that model.

Logical vs. physical!!

There are other well-known data models that have been the basis for database systems. The best-known models pre-dating the relational model are the **hierarchical** (in which the entity types form a tree) and the **network** (in which the entity types and relationships between them form a graph).

**Categories of Data Models** (based on degree of abstractness):

- **high-level/conceptual**: (e.g., ER model of Chapter 3) provides a view close to the way users would perceive data; uses concepts such as
  - **entity**: real-world object or concept (e.g., student, employee, course, department, event)
  - **attribute**: some property of interest describing an entity (e.g., height, age, color)
  - **relationship**: an interaction among entities (e.g., works-on relationship between an employee and a project)

- **Representational/implementational:** intermediate level of abstractness; example is relational data model (or the network model alluded to earlier). Also called **record-based** model.
- **Low-level/physical:** gives details as to how data is stored in computer system, such as record formats, orderings of records, access paths (indexes). (See Chapters 13-14.)

### 2.1.2: Schemas, Instances, and Database State

One must distinguish between the description of a database and the database itself. The former is called the **database schema**, which is specified during design and is not expected to change often. (See Figure 2.1, p. 33, for schema diagram for relational UNIVERSITY database.)

The actual data stored in the database probably changes often. The data in the database at a particular time is called the **state** of the database, or a **snapshot**.

Application requirements change occasionally, which is one of the reasons why software maintenance is important. On such occasions, a change to a database's schema may be called for. An example would be to add a `Date_of_Birth` field/attribute to the `STUDENT` table. Making changes to a database schema is known as **schema evolution**. Most modern DBMS's support schema evolution operations that can be applied while a database is operational.

## 2.2 DBMS Architecture and Data Independence

**2.2.1: Three-Schema Architecture:** (See Figure 2.2, page 34.) This idea was first described by the ANSI/SPARC committee in late 1970's. The goal is to separate (i.e., insert layers of "insulation" between) user applications and the physical database. C.J. Date points out that it is an ideal that few, if any, real-life DBMS's achieve fully.

- **internal level:** has an internal/physical schema that describes the physical storage structure of the database using a low-level data model)
- **Conceptual level:** has a conceptual schema describing the (logical) structure of the whole database for a community of users. It hides physical storage details, concentrating upon describing entities, data types, relationships, user operations, and constraints. Can be described using either high-level or implementational data model.
- **External/view level:** includes a number of external schemas (or user views), each of which describes part of the database that a particular category of users is interested in, hiding rest of database. Can be described using either high-level or implementational data model. (In practice, usually described using same model as is the conceptual schema.)

Users (including application programs) submit queries that are expressed with respect to the external level.

It is the responsibility of the DBMS to **transform** such a query into one that is expressed with respect to the internal level (and to transform the result, which is at the internal level, into its equivalent at the external level).

Example: Select students with GPA > 3.5.

Q: How is this accomplished?

By virtue of **mappings** between the levels:

- **external/conceptual** mapping (providing **logical** data independence)
- **conceptual/internal** mapping (providing **physical** data independence)

**Data independence** is the capacity to change the schema at one level of the architecture without having to change the schema at the next higher level. We distinguish between **logical** and **physical** data independence according to which two adjacent levels are involved. The former refers to the ability to change the conceptual schema without changing the external schema. The latter refers to the ability to change the internal schema without having to change the conceptual.

For an **example of physical data independence**, suppose that the internal schema is modified (because we decide to add a new index, or change the encoding scheme used in representing some field's value, or stipulate that some previously unordered file must be ordered by a particular field ). Then we can change the mapping between the conceptual and internal schemas in order to avoid changing the conceptual schema itself.

Not surprisingly, the process of transforming data via mappings can be costly (performance-wise), which is probably one reason that real-life DBMS's don't fully implement this 3-schema architecture.

## 2.3 Database Languages and Interfaces

A DBMS supports a variety of users and must provide appropriate languages and interfaces for each category of users.

### DBMS Languages

- DDL (Data Definition Language): used (by the DBA and/or database designers) to specify the conceptual schema.
- SDL (Storage Definition Language): used for specifying the internal schema
- VDL (View Definition Language): used for specifying the external schemas (i.e., user views)
- DML (Data Manipulation Language): used for performing operations such as retrieval and update upon the populated database

The above description represents some kind of ideal. In real-life, at least so far, the de facto standard DBMS language is SQL (Standard Query Language), which has constructs to support

the functions needed by DDL, VDL, and DML languages. (Early versions of SQL had features in support of SDL functions, but no more.)

### 2.3.1 DBMS Languages

Menu-based, forms-based, gui-based, natural language, special purpose for parametric users, for DBA.

### 2.3.2 DBMS Interfaces

- Menu-based interfaces for web clients or browsing
- Forms-based interfaces
- GUI's
- Natural Language Interfaces
- Speech Input and Output
- Interfaces for parametric users
- Interfaces for the DBA

## 2.4 Database System Environment

See Figure 2.3, page 41.

## 2.5 Centralized and Client/Server Architectures for DBMS's

## 2.6 Classification of DBMS's

Based upon

- underlying data model (e.g., relational, object, object-relational, network)
- multi-user vs. single-user
- centralized vs. distributed
- cost
- general-purpose vs. special-purpose
- types of **access path** options

## 2.7 Data Modeling Using the Entity-Relationship Model

### Outline of Database Design

The main phases of database design are depicted in Figure 3.1, page 59:

- **Requirements Collection and Analysis:** purpose is to produce a description of the users' requirements.

- **Conceptual Design:** purpose is to produce a conceptual schema for the database, including detailed descriptions of entity types, relationship types, and constraints. All these are expressed in terms provided by the data model being used. (Remark: As the ER model is focused on precisely these three concepts, it would seem that the authors are predisposed to using that data model!)
- **Implementation:** purpose is to transform the conceptual schema (which is at a high/abstract level) into a (lower-level) representational/implementational model supported by whatever DBMS is to be used.
- **Physical Design:** purpose is to decide upon the internal storage structures, access paths (indexes), etc., that will be used in realizing the representational model produced in previous phase.

## 2.8: Entity-Relationship (ER) Model

Our focus now is on the second phase, **conceptual design**, for which The **Entity-Relationship (ER) Model** is a popular high-level conceptual data model.

In the ER model, the main concepts are **entity**, **attribute**, and **relationship**.

### 2.8.1 Entities and Attributes

**Entity:** An entity represents some "thing" (in the miniworld) that is of interest to us, i.e., about which we want to maintain some data. An entity could represent a physical object (e.g., house, person, automobile, widget) or a less tangible concept (e.g., company, job, academic course).

**Attribute:** An entity is described by its attributes, which are properties characterizing it. Each attribute has a **value** drawn from some **domain** (set of meaningful values).

Example: A PERSON entity might be described by Name, BirthDate, Sex, etc., attributes, each having a particular value.

What distinguishes an entity from an attribute is that the latter is strictly for the purpose of describing the former and is not, in and of itself, of interest to us. It is sometimes said that an entity has an independent existence, whereas an attribute does not. In performing data modeling, however, it is not always clear whether a particular concept deserves to be classified as an entity or "only" as an attribute.

We can classify attributes along these dimensions:

- simple/atomic vs. composite
- single-valued vs. multi-valued (or set-valued)
- Stored vs. derived (Note from instructor: this seems like an implementational detail that ought not to be considered at this (high) level of abstraction.)

A **composite** attribute is one that is composed of smaller parts. An **atomic** attribute is indivisible or indecomposable.

- **Example 1:** A BirthDate attribute can be viewed as being composed of (sub-)attributes for month, day, and year.
- **Example 2:** An Address attribute (Figure 3.4, page 64) can be viewed as being composed of (sub-)attributes for street address, city, state, and zip code. A street address can itself be viewed as being composed of a number, street name, and apartment number. As this suggests, composition can extend to a depth of two (as here) or more.

To describe the structure of a composite attribute, one can draw a tree (as in the aforementioned Figure 3.4). In case we are limited to using text, it is customary to write its name followed by a parenthesized list of its sub-attributes. For the examples mentioned above, we would write

BirthDate(Month,Day,Year)

Address(StreetAddr(StrNum, StrName, AptNum), City, State, Zip)

**Single- vs. multi-valued** attribute: Consider a PERSON entity. The person it represents has (one) SSN, (one) date of birth, (one, although composite) name, etc. But that person may have zero or more academic degrees, dependents, or (if the person is a male living in Utah) spouses! How can we model this via attributes AcademicDegrees, Dependents, and Spouses? One way is to allow such attributes to be multi-valued (perhaps set-valued is a better term), which is to say that we assign to them a (possibly empty) set of values rather than a single value.

To distinguish a multi-valued attribute from a single-valued one, it is customary to enclose the former within curly braces (which makes sense, as such an attribute has a value that is a set, and curly braces are traditionally used to denote sets). Using the PERSON example from above, we would depict its structure in text as

PERSON(SSN, Name, BirthDate(Month, Day, Year), { AcademicDegrees(School, Level, Year) }, { Dependents }, ...)

Here we have taken the liberty to assume that each academic degree is described by a school, level (e.g., B.S., Ph.D.), and year. Thus, AcademicDegrees is not only multi-valued but also composite. We refer to an attribute that involves some combination of multi-valuedness and compositeness as a **complex** attribute.

A more complicated example of a complex attribute is AddressPhone in Figure 3.5 (page 65). This attribute is for recording data regarding addresses and phone numbers of a business. The structure of this attribute allows for the business to have several offices, each described by an address and a set of phone numbers that ring into that office. Its structure is given by

{ AddressPhone( { Phone(AreaCode, Number) }, Address(StrAddr(StrNum, StrName, AptNum), City, State, Zip)) }

**Stored vs. derived** attribute: Perhaps independent and derivable would be better terms for these (or non-redundant and redundant). In any case, a derived attribute is one whose value can be calculated from the values of other attributes, and hence need not be stored. **Example:** Age can be calculated from BirthDate, assuming that the current date is accessible.



**The Null value:** In some cases a particular entity might not have an applicable value for a particular attribute. Or that value may be unknown. Or, in the case of a multi-valued attribute, the appropriate value might be the empty set.

Example: The attribute DateOfDeath is not applicable to a living person and its correct value may be unknown for some persons who have died.

In such cases, we use a special attribute value (non-value?), called **null**. There has been some argument in the database literature about whether a different approach (such as having distinct values for not applicable and unknown) would be superior.

### 2.8.2: Entity Types, Entity Sets, Keys, and Domains

Above we mentioned the concept of a PERSON entity, i.e., a representation of a particular person via the use of attributes such as Name, Sex, etc. Chances are good that, in a database in which one such entity exists, we will want many others of the same kind to exist also, each of them described by the same collection of attributes. Of course, the values of those attributes will differ from one entity to another (e.g., one person will have the name "Mary" and another will have the name "Rumpelstiltskin"). Just as likely is that we will want our database to store information about other kinds of entities, such as business transactions or academic courses, which will be described by entirely different collections of attributes.

This illustrates the distinction between entity types and entity instances. An **entity type** serves as a template for a collection of **entity instances**, all of which are described by the same collection of attributes. That is, an entity type is analogous to a **class** in object-oriented programming and an entity instance is analogous to a particular object (i.e., instance of a class).

In ER modeling, we deal only with entity types, not with instances. In an ER diagram, each entity type is denoted by a rectangular box.

An **entity set** is the collection of all entities of a particular type that exist, in a database, at some moment in time.

**Key Attributes of an Entity Type:** A minimal collection of attributes (often only one) that, by design, distinguishes any two (simultaneously-existing) entities of that type. In other words, if attributes  $A_1$  through  $A_m$  together form a key of entity type  $E$ , and  $e$  and  $f$  are two entities of type  $E$  existing at the same time, then, in at least one of the attributes  $A_i$  ( $0 < i \leq m$ ),  $e$  and  $f$  must have distinct values.

An entity type could have more than one key. (An example of this appears in Figure 3.7, page 67, in which the CAR entity type is postulated to have both { Registration(RegistrationNum, State) } and { VehicleID } as keys.)

**Domains (Value Sets) of Attributes:** The domain of an attribute is the "universe of values" from which its value can be drawn. In other words, an attribute's domain specifies its set of allowable values. The concept is similar to **data type**.

### Example Database Application: COMPANY

Suppose that Requirements Collection and Analysis results in the following (informal) description of the COMPANY miniworld:

The company is organized as a collection of **departments**.

- Each department
  - has a unique name
  - has a unique number
  - is associated with a set of locations
  - has a particular employee who acts as its manager (and who assumed that position on some date)
  - has a set of employees assigned to it
  - controls a set of projects
- Each project
  - has a unique name
  - has a unique number
  - has a single location
  - has a set of employees who work on it
  - is controlled by a single department
- Each employee
  - has a name
  - has a SSN that uniquely identifies her/him
  - has an address
  - has a salary
  - has a sex
  - has a birthdate
  - has a direct supervisor
  - has a set of dependents
  - is assigned to one department
  - works some number of hours per week on each of a set of projects (which need not all be controlled by the same department)
- Each dependent
  - has first name
  - has a sex
  - has a birthdate
  - is related to a particular employee in a particular way (e.g., child, spouse, pet)
  - is uniquely identified by the combination of her/his first name and the employee of which (s)he is a dependent

### 2.8.3 Initial Conceptual Design of COMPANY database

Using the above structured description as a guide, we get the following preliminary design for entity types and their attributes in the COMPANY database:

- DEPARTMENT(Name, Number, { Locations }, Manager, ManagerStartDate, { Employees }, { Projects })
- PROJECT(Name, Number, Location, { Workers }, ControllingDept)
- EMPLOYEE(Name(FName, MInit, LName), SSN, Sex, Address, Salary, BirthDate, Dept, Supervisor, { Dependents }, { WorksOn(Project, Hours) })
- DEPENDENT(Employee, FirstName, Sex, BirthDate, Relationship)

Remarks: Note that the attribute WorksOn of EMPLOYEE (which records on which projects the employee works) is not only multi-valued (because there may be several such projects) but also composite, because we want to record, for each such project, the number of hours per week that the employee works on it. Also, each candidate key has been indicated by underlining.

For similar reasons, the attributes Manager and ManagerStartDate of DEPARTMENT really ought to be combined into a single composite attribute. Not doing so causes little or no harm, however, because these are single-valued attributes. Multi-valued attributes would pose some difficulties, on the other hand. Suppose, for example, that a department could have two or more managers, and that some department had managers Mary and Harry, whose start dates were 10-4-1999 and 1-13-2001, respectively. Then the values of the Manager and ManagerStartDate attributes should be { Mary, Harry } and { 10-4-1999, 1-13-2001 }. But from these two attribute values, there is no way to determine which manager started on which date. On the other hand, by recording this data as a set of ordered pairs, in which each pair identifies a manager and her/his starting date, this deficiency is eliminated. End of Remarks

## 2.9 Relationship Types, Sets, Roles, and Structural Constraints

Having presented a preliminary database schema for COMPANY, it is now convenient to clarify the concept of a **relationship** (which is the last of the three main concepts involved in the ER model).

**Relationship:** This is an association between two entities. As an example, one can imagine a STUDENT entity being associated to an ACADEMIC\_COURSE entity via, say, an ENROLLED\_IN relationship.

Whenever an attribute of one entity type refers to an entity (of the same or different entity type), we say that a relationship exists between the two entity types.

From our preliminary COMPANY schema, we identify the following **relationship types** (using descriptive names and ordering the participating entity types so that the resulting phrase will be in active voice rather than passive):

- EMPLOYEE MANAGES DEPARTMENT (arising from Manager attribute in DEPARTMENT)
- DEPARTMENT CONTROLS PROJECT (arising from ControllingDept attribute in PROJECT and the Projects attribute in DEPARTMENT)
- EMPLOYEE WORKS\_FOR DEPARTMENT (arising from Dept attribute in EMPLOYEE and the Employees attribute in DEPARTMENT)

- EMPLOYEE SUPERVISES EMPLOYEE (arising from Supervisor attribute in EMPLOYEE)
- EMPLOYEE WORKS\_ON PROJECT (arising from WorksOn attribute in EMPLOYEE and the Workers attribute in PROJECT)
- DEPENDENT DEPENDS\_ON EMPLOYEE (arising from Employee attribute in DEPENDENT and the Dependents attribute in EMPLOYEE)

In ER diagrams, relationship types are drawn as diamond-shaped boxes connected by lines to the entity types involved. See Figure 3.2, page 62. Note that attributes are depicted by ovals connected by lines to the entity types they describe (with multi-valued attributes in double ovals and composite attributes depicted by trees). The original attributes that gave rise to the relationship types are absent, having been replaced by the relationship types.

A **relationship set** is a set of instances of a relationship type. If, say, R is a relationship type that relates entity types A and B, then, at any moment in time, the relationship set of R will be a set of ordered pairs (x,y), where x is an instance of A and y is an instance of B. What this means is that, for example, if our COMPANY miniworld is, at some moment, such that employees e<sub>1</sub>, e<sub>3</sub>, and e<sub>6</sub> work for department d<sub>1</sub>, employees e<sub>2</sub> and e<sub>4</sub> work for department d<sub>2</sub>, and employees e<sub>5</sub> and e<sub>7</sub> work for department d<sub>3</sub>, then the WORKS\_FOR **relationship set** will include as **instances** the ordered pairs (e<sub>1</sub>, d<sub>1</sub>), (e<sub>2</sub>, d<sub>2</sub>), (e<sub>3</sub>, d<sub>1</sub>), (e<sub>4</sub>, d<sub>2</sub>), (e<sub>5</sub>, d<sub>3</sub>), (e<sub>6</sub>, d<sub>1</sub>), and (e<sub>7</sub>, d<sub>3</sub>). See Figure 3.9 on page 71 for a graphical depiction of this.

**2.9.1 Ordering of entity types in relationship types:** Note that the order in which we list the entity types in describing a relationship is of little consequence, except that the relationship name (for purposes of clarity) ought to be consistent with it. For example, if we swap the two entity types in each of the first two relationships listed above, we should rename them IS\_MANAGED\_BY and IS\_CONTROLLED\_BY, respectively.

**2.9.2 Degree of a relationship type:** Also note that, in our COMPANY example, all relationship instances will be ordered pairs, as each relationship associates an instance from one entity type with an instance of another (or the same, in the case of SUPERVISES) relationship type. Such relationships are said to be binary, or to have degree two. Relationships with degree three (called ternary) or more are also possible, although not as common. This is illustrated in Figure 3.10 (page 72), where a relationship SUPPLY (perhaps not the best choice for a name) has as instances ordered triples of suppliers, parts, and projects, with the intent being that inclusion of the ordered triple (s<sub>2</sub>, p<sub>4</sub>, j<sub>1</sub>), for example, indicates that supplier s<sub>2</sub> supplied part p<sub>4</sub> to project j<sub>1</sub>).

**Roles in relationships:** Each entity that participates in a relationship plays a particular role in that relationship, and it is often convenient to refer to that role using an appropriate name. For example, in each instance of a WORKS\_FOR relationship set, the employee entity plays the role of worker or (surprise!) employee and each department plays the role of employer or (surprise!) department. Indeed, as this example suggests, often it is best to use the same name for the role as for the corresponding entity type.

An exception to this rule occurs when the same entity type plays two (or more) roles in the same relationship. (Such relationships are said to be reCURsive, which I find to be a misleading use of

that term. A better term might be self-referential.) For example, in each instance of a SUPERVISES relationship set, one employee plays the role of supervisor and the other plays the role of supervisee.

### 2.9.3 Constraints on Relationship Types

Often, in order to make a relationship type be an accurate model of the miniworld concepts that it is intended to represent, we impose certain constraints that limit the possible corresponding relationship sets. (That is, a constraint may make "invalid" a particular set of instances for a relationship type.)

There are two main kinds of relationship constraints (on binary relationships). For illustration, let  $R$  be a relationship set consisting of ordered pairs of instances of entity types  $A$  and  $B$ , respectively.

- **cardinality ratio:**

- **1:1 (one-to-one):** Under this constraint, no instance of  $A$  may participate in more than one instance of  $R$ ; similarly for instances of  $B$ . In other words, if  $(a_1, b_1)$  and  $(a_2, b_2)$  are (distinct) instances of  $R$ , then neither  $a_1 = a_2$  nor  $b_1 = b_2$ .  
**Example:** Our informal description of COMPANY says that every department has one employee who manages it. If we also stipulate that an employee may not (simultaneously) play the role of manager for more than one department, it follows that MANAGES is 1:1.
- **1:N (one-to-many):** Under this constraint, no instance of  $B$  may participate in more than one instance of  $R$ , but instances of  $A$  are under no such restriction. In other words, if  $(a_1, b_1)$  and  $(a_2, b_2)$  are (distinct) instances of  $R$ , then it cannot be the case that  $b_1 = b_2$ .  
**Example:** CONTROLS is 1:N because no project may be controlled by more than one department. On the other hand, a department may control any number of projects, so there is no restriction on the number of relationship instances in which a particular department instance may participate. For similar reasons, SUPERVISES is also 1:N.
- **N:1 (many-to-one):** This is just the same as 1:N but with roles of the two entity types reversed.  
**Example:** WORKS\_FOR and DEPENDS\_ON are N:1.
- **M:N (many-to-many):** Under this constraint, there are no restrictions. (Hence, the term applies to the absence of a constraint!)  
**Example:** WORKS\_ON is M:N, because an employee may work on any number of projects and a project may have any number of employees who work on it.

Notice the notation in Figure 3.2 for indicating each relationship type's cardinality ratio.

Suppose that, in designing a database, we decide to include a binary relationship  $R$  as described above (which relates entity types  $A$  and  $B$ , respectively). To determine how  $R$  should be constrained, with respect to cardinality ratio, the questions you should ask are these:

May a given entity of type B be related to multiple entities of type A?  
May a given entity of type A be related to multiple entities of type B?

The pair of answers you get maps into the four possible cardinality ratios as follows:

(yes,yes)-->M:N  
(yes,no)-->N:1  
(no,yes)-->1:N  
(no, no) --> 1:1

- **participation**: specifies whether or not the existence of an entity depends upon its being related to another entity via the relationship.
  - **total participation (or existence dependency)**: To say that entity type A is constrained to **participate totally** in relationship R is to say that if (at some moment in time) R's instance set is  $\{ (a_1, b_1), (a_2, b_2), \dots (a_m, b_m) \}$ , then (at that same moment) A's instance set must be  $\{ a_1, a_2, \dots, a_m \}$ . In other words, there can be no member of A's instance set that does not participate in at least one instance of R.

According to our informal description of COMPANY, every employee must be assigned to some department. That is, every employee instance must participate in at least one instance of WORKS\_FOR, which is to say that EMPLOYEE satisfies the total participation constraint with respect to the WORKS\_FOR relationship.

In an ER diagram, if entity type A must participate totally in relationship type R, the two are connected by a double line. See Figure 3.2.

- **partial participation**: the absence of the total participation constraint! (E.g., not every employee has to participate in MANAGES; hence we say that, with respect to MANAGES, EMPLOYEE participates partially. This is not to say that for all employees to be managers is not allowed; it only says that it need not be the case that all employees are managers.

## 2.9.4 Attributes of Relationship Types

Relationship types, like entity types, can have attributes. A good example is WORKS\_ON, each instance of which identifies an employee and a project on which (s)he works. In order to record (as the specifications indicate) how many hours are worked by each employee on each project, we include Hours as an attribute of WORKS\_ON. (See Figure 3.2 again.) In the case of an M:N relationship type (such as WORKS\_ON), allowing attributes is vital. In the case of an N:1, 1:N, or 1:1 relationship type, any attributes can be assigned to the entity type opposite from the 1 side. For example, the StartDate attribute of the MANAGES relationship type can be given to either the EMPLOYEE or the DEPARTMENT entity type.

**2.10 Weak Entity Types**: An entity type that has no set of attributes that qualify as a key is called **weak**. (Ones that do are **strong**.)

An entity of a weak identity type is uniquely identified by the specific entity to which it is related (by a so-called **identifying relationship** that relates the weak entity type with its so-called **identifying** or **owner entity type**) in combination with some set of its own attributes (called a partial key).

**Example:** A DEPENDENT entity is identified by its first name together with the EMPLOYEE entity to which it is related via DEPENDS\_ON. (Note that this wouldn't work for former heavyweight boxing champion George Foreman's sons, as they all have the name "George"!)

Because an entity of a weak entity type cannot be identified otherwise, that type has a **total participation constraint** (i.e., **existence dependency**) with respect to the identifying relationship.

This should not be taken to mean that any entity type on which a total participation constraint exists is weak. For example, DEPARTMENT has a total participation constraint with respect to MANAGES, but it is not weak.

In an ER diagram, a weak entity type is depicted with a double rectangle and an identifying relationship type is depicted with a double diamond.

**Design Choices for ER Conceptual Design:** Sometimes it is not clear whether a particular miniworld concept ought to be modeled as an entity type, an attribute, or a relationship type. Here are some guidelines (given with the understanding that schema design is an iterative process in which an initial design is refined repeatedly until a satisfactory result is achieved):

- As happened in our development of the ER model for COMPANY, if an attribute of entity type A serves as a reference to an entity of type B, it may be wise to refine that attribute into a binary relationship involving entity types A and B. It may well be that B has a corresponding attribute referring back to A, in which case it, too, is refined into the aforementioned relationship. In our COMPANY example, this was exemplified by the Projects and ControllingDept attributes of DEPARTMENT and PROJECT, respectively.
- An attribute that exists in several entity types may be refined into its own entity type. For example, suppose that in a UNIVERSITY database we have entity types STUDENT, INSTRUCTOR, and COURSE, all of which have a Department attribute. Then it may be wise to introduce a new entity type, DEPARTMENT, and then to follow the preceding guideline by introducing a binary relationship between DEPARTMENT and each of the three aforementioned entity types.
- An entity type that is involved in very few relationships (say, zero, one, or possibly two) could be refined into an attribute (of each entity type to which it is related).



## UNIT 3

### The Relational Data Model and Relational Database Constraints

#### The Relational Data Model and Relational Database Constraints and Relational Algebra

##### 3.1 Relational Model Concepts

###### 3.1.2 Characteristics of Relations

###### 3.1.3 Relational Model Notation

##### 3.2 Relational Model Constraints and Relational Database Schemas

###### 3.2.1 Domain Constraints

###### 3.2.2 Key Constraints

###### 3.2.3 Relational Databases and Relational Database Schemas

###### 3.2.4 Entity Integrity, Referential Integrity, and Foreign Keys

##### 3.3 Update Operations and Dealing with Constraint Violations

###### 3.3.1 Insert

###### 3.3.2 Delete

###### 3.3.3 Update:

###### 3.3.4 Transactions and dealing with constraints

##### 3.4 Relational Operation

##### 3.5 Relational algebra operation Set theory Operations

###### 3.6 JOIN Operations

##### 3.7 Additional Relational Operations

###### 3.8 Examples of Queries in Relational Algebra

##### 3.9 Relational Database Design Using ER-to-Relational Mapping



---

---

## UNIT 3

# The Relational Data Model and Relational Database Constraints and Relational Algebra Origins

### 3.1 Relational Model Concepts

- **Domain:** A (usually named) set/universe of atomic values, where by "atomic" we mean simply that, from the point of view of the database, each value in the domain is indivisible (i.e., cannot be broken down into component parts).

Examples of domains (some taken from page 147):

- USA\_phone\_number: string of digits of length ten
- SSN: string of digits of length nine
- Name: string of characters beginning with an upper case letter
- GPA: a real number between 0.0 and 4.0
- Sex: a member of the set { female, male }
- Dept\_Code: a member of the set { CMPS, MATH, ENGL, PHYS, PSYC, ... }

These are all logical descriptions of domains. For implementation purposes, it is necessary to provide descriptions of domains in terms of concrete **data types** (or **formats**) that are provided by the DBMS (such as String, int, boolean), in a manner analogous to how programming languages have intrinsic data types.

- **Attribute:** the name of the role played by some value (coming from some domain) in the context of a **relational schema**. The domain of attribute A is denoted  $\text{dom}(A)$ .
- **Tuple:** A tuple is a mapping from attributes to values drawn from the respective domains of those attributes. A tuple is intended to describe some entity (or relationship between entities) in the miniworld.

As an example, a tuple for a PERSON entity might be

{ Name --> "Rumpelstiltskin", Sex --> Male, IQ --> 143 }

- **Relation:** A (named) set of tuples all of the same form (i.e., having the same set of attributes). The term **table** is a loose synonym. (Some database purists would argue that a table is "only" a physical manifestation of a relation.)
- **Relational Schema:** used for describing (the structure of) a relation. E.g.,  $R(A_1, A_2, \dots, A_n)$  says that R is a relation with attributes  $A_1, \dots, A_n$ . The **degree** of a relation is the number of attributes it has, here n.

Example: STUDENT(Name, SSN, Address)

(See Figure 5.1, page 149, for an example of a STUDENT relation/table having several tuples/rows.)

---

---

One would think that a "complete" relational schema would also specify the domain of each attribute.

- **Relational Database:** A collection of **relations**, each one consistent with its specified relational schema.

### 3.1.2 Characteristics of Relations

**Ordering of Tuples:** A relation is a set of tuples; hence, there is no order associated with them. That is, it makes no sense to refer to, for example, the 5th tuple in a relation. When a relation is depicted as a table, the tuples are necessarily listed in some order, of course, but you should attach no significance to that order. Similarly, when tuples are represented on a storage device, they must be organized in some fashion, and it may be advantageous, from a performance standpoint, to organize them in a way that depends upon their content.

**Ordering of Attributes:** A tuple is best viewed as a mapping from its attributes (i.e., the names we give to the roles played by the values comprising the tuple) to the corresponding values. Hence, the order in which the attributes are listed in a table is irrelevant. (Note that, unfortunately, the set theoretic operations in relational algebra (at least how E&N define them) make implicit use of the order of the attributes. Hence, E&N view attributes as being arranged as a sequence rather than a set.)

**Values of Attributes:** For a relation to be in First Normal Form, each of its attribute domains must consist of atomic (neither composite nor multi-valued) values. Much of the theory underlying the relational model was based upon this assumption. Chapter 10 addresses the issue of including non-atomic values in domains. (Note that in the latest edition of C.J. Date's book, he explicitly argues against this idea, admitting that he has been mistaken in the past.)

The **Null** value: used for don't know, not applicable.

**Interpretation of a Relation:** Each relation can be viewed as a **predicate** and each tuple in that relation can be viewed as an assertion for which that predicate is satisfied (i.e., has value **true**) for the combination of values in it. In other words, each tuple represents a fact. Example (see Figure 5.1): The first tuple listed means: There exists a student having name Benjamin Bayer, having SSN 305-61-2435, having age 19, etc.

Keep in mind that some relations represent facts about entities (e.g., students) whereas others represent facts about relationships (between entities). (e.g., students and course sections).

The **closed world assumption** states that the only true facts about the miniworld are those represented by whatever tuples currently populate the database.

### 3.1.3 Relational Model Notation:

- $R(A_1, A_2, \dots, A_n)$  is a relational schema of degree  $n$  denoting that there is a relation  $R$  having as its attributes  $A_1, A_2, \dots, A_n$ .

- By convention, Q, R, and S denote relation names.
- By convention, q, r, and s denote relation states. For example,  $r(R)$  denotes one possible state of relation R. If R is understood from context, this could be written, more simply, as r.
- By convention, t, u, and v denote tuples.
- The "dot notation" R.A (e.g., STUDENT.Name) is used to qualify an attribute name, usually for the purpose of distinguishing it from a same-named attribute in a different relation (e.g., DEPARTMENT.Name).
- 

### 3.2 Relational Model Constraints and Relational Database Schemas

Constraints on databases can be categorized as follows:

- **inherent model-based:** Example: no two tuples in a relation can be duplicates (because a relation is a set of tuples)
- **schema-based:** can be expressed using DDL; this kind is the focus of this section.
- **application-based:** are specific to the "business rules" of the miniworld and typically difficult or impossible to express and enforce within the data model. Hence, it is left to application programs to enforce.

Elaborating upon **schema-based constraints**:

**3.2.1 Domain Constraints:** Each attribute value must be either **null** (which is really a non-value) or drawn from the domain of that attribute. Note that some DBMS's allow you to impose the **not null** constraint upon an attribute, which is to say that that attribute may not have the (non-)value **null**.

**3.2.2 Key Constraints:** A relation is a set of tuples, and each tuple's "identity" is given by the values of its attributes. Hence, it makes no sense for two tuples in a relation to be identical (because then the two tuples are actually one and the same tuple). That is, no two tuples may have the same combination of values in their attributes.

Usually the miniworld dictates that there be (proper) subsets of attributes for which no two tuples may have the same combination of values. Such a set of attributes is called a **superkey** of its relation. From the fact that no two tuples can be identical, it follows that the set of all attributes of a relation constitutes a superkey of that relation.

A **key** is a minimal superkey, i.e., a superkey such that, if we were to remove any of its attributes, the resulting set of attributes fails to be a superkey.

**Example:** Suppose that we stipulate that a faculty member is uniquely identified by Name and Address and also by Name and Department, but by no single one of the three attributes mentioned. Then { Name, Address, Department } is a (non-minimal) superkey and each of { Name, Address } and { Name, Department } is a key (i.e., minimal superkey).

**Candidate key:** any key! (Hence, it is not clear what distinguishes a key from a candidate key.)

**Primary key:** a key chosen to act as the means by which to identify tuples in a relation. Typically, one prefers a primary key to be one having as few attributes as possible.

### 3.2.3 Relational Databases and Relational Database Schemas

A **relational database schema** is a set of schemas for its relations (see Figure 5.5, page 157) together with a set of **integrity constraints**.

A **relational database state/instance/snapshot** is a set of states of its relations such that no integrity constraint is violated. (See Figure 5.6, page 159, for a snapshot of COMPANY.)

### 3.2.4 Entity Integrity, Referential Integrity, and Foreign Keys

**Entity Integrity Constraint:** In a tuple, none of the values of the attributes forming the relation's primary key may have the (non-)value **null**. Or is it that at least one such attribute must have a non-null value? In my opinion, E&N do not make it clear!

**Referential Integrity Constraint:** (See Figure 5.7) A **foreign key** of relation R is a set of its attributes intended to be used (by each tuple in R) for identifying/referring to a tuple in some relation S. (R is called the referencing relation and S the referenced relation.) For this to make sense, the set of attributes of R forming the foreign key should "correspond to" some superkey of S. Indeed, by definition we require this superkey to be the primary key of S.

This constraint says that, for every tuple in R, the tuple in S to which it refers must actually be in S. Note that a foreign key may refer to a tuple in the same relation and that a foreign key may be part of a primary key (indeed, for weak entity types, this will always occur). A foreign key may have value **null** (necessarily in all its attributes??), in which case it does not refer to any tuple in the referenced relation.

**Semantic Integrity Constraints:** application-specific restrictions that are unlikely to be expressible in DDL. Examples:

- salary of a supervisee cannot be greater than that of her/his supervisor
- salary of an employee cannot be lowered

## 3.3 Update Operations and Dealing with Constraint Violations

For each of the update operations (Insert, Delete, and Update), we consider what kinds of constraint violations may result from applying it and how we might choose to react.

### 3.3.1 Insert:

- domain constraint violation: some attribute value is not of correct domain
- entity integrity violation: key of new tuple is **null**

- key constraint violation: key of new tuple is same as existing one
- referential integrity violation: foreign key of new tuple refers to non-existent tuple

Ways of dealing with it: reject the attempt to insert! Or give user opportunity to try again with different attribute values.

### 3.3.2 Delete:

- Referential integrity violation: a tuple referring to the deleted one exists.

Three options for dealing with it:

- Reject the deletion
- Attempt to **cascade** (or **propagate**) by deleting any referencing tuples (plus those that reference them, etc., etc.)
- modify the foreign key attribute values in referencing tuples to **null** or to some valid value referencing a different tuple

### 3.3.3 Update:

- Key constraint violation: primary key is changed so as to become same as another tuple's
- referential integrity violation:
  - foreign key is changed and new one refers to nonexistent tuple
  - primary key is changed and now other tuples that had referred to this one violate the constraint

**3.3.4 Transactions:** This concept is relevant in the context where multiple users and/or application programs are accessing and updating the database concurrently. A transaction is a logical unit of work that may involve several accesses and/or updates to the database (such as what might be required to reserve several seats on an airplane flight). The point is that, even though several transactions might be processed concurrently, the end result must be as though the transactions were carried out sequentially. (Example of simultaneous withdrawals from same checking account.)

## he Relational Algebra

- Operations to manipulate relations.
- Used to specify retrieval requests (queries).
- Query result is in the form of a relation

### 3.4 Relational Operations:

SELECT  $\sigma$  and PROJECT  $\pi$  operations.

Set operations: These include UNION  $\cup$ , INTERSECTION  $\cap$ , DIFFERENCE  $-$ , CARTESIAN PRODUCT  $\times$ .

JOIN operations  $\bowtie$ .

Other relational operations: DIVISION, OUTER JOIN, AGGREGATE FUNCTIONS.

### 3.4.1 SELECT $\sigma$ and PROJECT $\pi$

**SELECT** operation (denoted by  $\sigma$ ):

- Selects the tuples (rows) from a relation R that satisfy a certain selection condition  $c$
- Form of the operation:  $\sigma_c$
- The condition  $c$  is an arbitrary Boolean expression on the attributes of R
- Resulting relation has the same attributes as R
- Resulting relation includes each tuple in  $r(R)$  whose attribute values satisfy the condition

Examples:

$\sigma_{DNO=4}(\text{EMPLOYEE})$

$\sigma_{\text{SALARY}>30000}(\text{EMPLOYEE})$

$\sigma_{(DNO=4 \text{ AND } \text{SALARY}>25000) \text{ OR } DNO=5}(\text{EMPLOYEE})$

**PROJECT** operation (denoted by  $\pi$ ):

- Keeps only certain attributes (columns) from a relation R specified in an attribute list  $L$
- Form of operation:  $\pi_L(R)$
- Resulting relation has only those attributes of R specified in  $L$
- The PROJECT operation eliminates duplicate tuples in the resulting relation so that it

remains a mathematical set (no duplicate elements).

Example:

$\pi_{\text{SEX}, \text{SALARY}}(\text{EMPLOYEE})$

If several male employees have salary 30000, only a single tuple  $\langle M, 30000 \rangle$  is kept in the resulting relation.

**Figure 7.8** Results of SELECT and PROJECT operations.

- (a)  $\sigma_{(DNO=4 \text{ AND } SALARY > 25000) \text{ OR } (DNO=5 \text{ AND } SALARY > 30000)}(EMPLOYEE)$ .  
 (b)  $\pi_{LNAME, FNAME, SALARY}(EMPLOYEE)$ . (c)  $\pi_{SEX, SALARY}(EMPLOYEE)$

(a)

FNAME	MINIT	LNAME	SSN	BDATE	ADDRESS	SEX	SALARY	SUPERSSN	DNO
Franklin	T	Wong	333445555	1955-12-08	638 Voss, Houston, TX	M	40000	888665555	5
Jennifer		Wallace	987654321	1941-06-20	291 Berry, Bellaire, TX	F	43000	888665555	4
Ramesh		Narayan	666884444	1962-09-15	975 FireOak, Humble, TX	M	38000	333445555	5

(b)

LNAME	FNAME	SALARY
Smith	John	30000
Wong	Franklin	40000
Zelaya	Alicia	25000
Wallace	Jennifer	43000
Narayan	Ramesh	38000
English	Joyce	25000
Jabbar	Ahmad	25000
Borg	James	55000

(c)

SEX	SALARY
M	30000
M	40000
F	25000
F	43000
M	38000
M	25000
M	55000

**Duplicate tuples are eliminated by the  $\pi$  operation.**

**Sequences of operations:**

Several operations can be combined to form a relational algebra expression (query)

Example: Retrieve the names and salaries of employees who work in department 4:

$$\pi_{FNAME, LNAME, SALARY}(\sigma_{DNO=4}(EMPLOYEE))$$

Alternatively, we specify explicit intermediate relations for each step:

$$DEPT4\_EMPS \leftarrow \sigma_{DNO=4}(EMPLOYEE)$$

$$\rho \leftarrow \pi_{FNAME, LNAME, SALARY}(DEPT4\_EMPS)$$

Attributes can optionally be renamed in the resulting left-hand-side relation (this may be required for some operations that will be presented later):

$$DEPT4\_EMPS \leftarrow \sigma_{DNO=4}(EMPLOYEE)$$

$$\rho(FIRSTNAME, LASTNAME, SALARY) \leftarrow \pi_{FNAME, LNAME, SALARY}(DEPT4\_EMPS)$$

**Figure 7.9** Results of relational algebra expressions.

(a)  $\pi_{\text{LNAME, FNAME, SALARY}}(\sigma_{\text{DNO}=5}(\text{EMPLOYEE}))$ . (b) The same expression using intermediate relations and renaming of attributes.

(a)

FNAME	LNAME	SALARY
John	Smith	30000
Franklin	Wong	40000
Ramesh	Narayan	38000
Joyce	English	25000

(b)

TEMP	FNAME	MINIT	LNAME	SSN	BDATE	ADDRESS	SEX	SALARY	SUPERSSN	DNO
	John	B	Smith	123456789	1965-01-09	731 Fondren, Houston, TX	M	30000	333445555	5
	Franklin	T	Wong	333445555	1965-12-08	638 Voss, Houston, TX	M	40000	888885555	5
	Ramesh	K	Narayan	668884444	1962-09-15	975 Fire Oak, Humble, TX	M	38000	333445555	5
	Joyce	A	English	453453453	1972-07-31	5631 Rice, Houston, TX	F	25000	333445555	5

	FIRSTNAME	LASTNAME	SALARY
	John	Smith	30000
	Franklin	Wong	40000
	Ramesh	Narayan	38000
	Joyce	English	25000

### 3.5 Relational algebra operation Set theory Operations

Binary operations from mathematical set theory:

**UNION:**  $R_1 \cup R_2$ ,

**INTERSECTION:**  $R_1 \cap R_2$ ,

**SET DIFFERENCE:**  $R_1 - R_2$ ,

**CARTESIAN PRODUCT:**  $R_1 \times R_2$ .

For  $\cup$ ,  $\cap$ ,  $-$ , the operand relations  $R_1(A_1, A_2, \dots, A_n)$  and  $R_2(B_1, B_2, \dots, B_n)$  must have the same number of attributes, and the domains of corresponding attributes must be compatible; that is,  $\text{dom}(A_i) = \text{dom}(B_i)$  for  $i=1, 2, \dots, n$ . This condition is called union compatibility. The resulting relation for  $\cup$ ,  $\cap$ , or  $-$  has the same attribute names as the first operand relation  $R_1$  (by convention).



**Figure 7.11** Illustrating the set operations union, intersection, and difference. (a) Two union compatible relations. (b)  $\text{STUDENT} \cup \text{INSTRUCTOR}$ . (c)  $\text{STUDENT} \cap \text{INSTRUCTOR}$ . (d)  $\text{STUDENT} - \text{INSTRUCTOR}$ . (e)  $\text{INSTRUCTOR} - \text{STUDENT}$ .

(a)	STUDENT	FN	LN
		Susan	Yao
		Ramesh	Shah
		Johnny	Kohler
		Barbara	Jones
		Amy	Ford
		Jimmy	Wang
		Ernest	Gilbert

	INSTRUCTOR	FNAME	LNAME
		John	Smith
		Ricardo	Browne
		Susan	Yao
		Francis	Johnson
		Ramesh	Shah

(b)	FN	LN
	Susan	Yao
	Ramesh	Shah
	Johnny	Kohler
	Barbara	Jones
	Amy	Ford
	Jimmy	Wang
	Ernest	Gilbert
	John	Smith
	Ricardo	Browne
	Francis	Johnson

(c)	FN	LN
	Susan	Yao
	Ramesh	Shah

(d)	FN	LN
	Johnny	Kohler
	Barbara	Jones
	Amy	Ford
	Jimmy	Wang
	Ernest	Gilbert

(e)	FNAME	LNAME
	John	Smith
	Ricardo	Browne
	Francis	Johnson

## CARTESIAN PRODUCT

$$R(A_1, A_2, \dots, A_m, B_1, B_2, \dots, B_n) \leftarrow R_1(A_1, A_2, \dots, A_m) \times R_2(B_1, B_2, \dots, B_n)$$

A tuple  $t$  exists in  $R$  for each combination of tuples  $t_1$  from  $R_1$  and  $t_2$  from  $R_2$  such that:

$$t[A_1, A_2, \dots, A_m] = t_1 \text{ and } t[B_1, B_2, \dots, B_n] = t_2$$

If  $R_1$  has  $n_1$  tuples and  $R_2$  has  $n_2$  tuples, then  $R$  will have  $n_1 * n_2$  tuples.

CARTESIAN PRODUCT is a meaningless operation on its own. It can combine related tuples from two relations if followed by the appropriate SELECT operation.

Example: Combine each DEPARTMENT tuple with the EMPLOYEE tuple of the manager.

$\text{DEP\_EMP} \leftarrow \text{DEPARTMENT} \times \text{EMPLOYEE}$

$\text{DEPT\_MANAGER} \leftarrow \sigma_{\text{MGRSSN}=\text{SSN}}(\text{DEP\_EMP})$

Figure 7.12 An illustration of the CARTESIAN PRODUCT operation.

FEMALE EMPs	FNAME	MINT	LNAME	SSN	EDATE	ADDRESS	SEX	SALARY	SUPERSSN	DNO
	Alisa	J	Zelays	000007777	1905-07-10	3321 Castle Springs TX	F	25000	007054321	4
	Jennifer	S	Wallace	007054321	1941-06-20	201 Cherry,Bakers, TX	F	40000	000000000	4
	Joyce	A	English	453453453	1970-07-31	5631 Rize-Houston TX	F	25000	333445555	5

EMINAMES	FNAME	LNAME	SSN
	Alisa	Zelays	000007777
	Jennifer	Wallace	007054321
	Joyce	English	453453453

EMP_DEPENDENTS	FNAME	LNAME	SSN	ESSN	DEPENDENT NAME	SEX	EDATE	***
	Alisa	Zelays	000007777	333445555	Alisa	F	1905-04-05	***
	Alisa	Zelays	000007777	333445555	Theodore	M	1903-10-25	***
	Alisa	Zelays	000007777	333445555	Joy	F	1958-05-03	***
	Alisa	Zelays	000007777	007054321	Almer	M	1940-02-28	***
	Alisa	Zelays	000007777	123456789	Michael	M	1935-01-04	***
	Alisa	Zelays	000007777	123456789	Alisa	F	1905-12-30	***
	Alisa	Zelays	000007777	123456789	Elizabeth	F	1907-05-05	***
	Jennifer	Wallace	007054321	333445555	Alisa	F	1905-04-05	***
	Jennifer	Wallace	007054321	333445555	Theodore	M	1903-10-25	***
	Jennifer	Wallace	007054321	333445555	Joy	F	1958-05-03	***
	Jennifer	Wallace	007054321	007054321	Almer	M	1940-02-28	***
	Jennifer	Wallace	007054321	123456789	Michael	M	1935-01-04	***
	Jennifer	Wallace	007054321	123456789	Alisa	F	1905-12-30	***
	Jennifer	Wallace	007054321	123456789	Elizabeth	F	1907-05-05	***
	Joyce	English	453453453	333445555	Alisa	F	1905-04-05	***
	Joyce	English	453453453	333445555	Theodore	M	1903-10-25	***
	Joyce	English	453453453	333445555	Joy	F	1958-05-03	***
	Joyce	English	453453453	007054321	Almer	M	1940-02-28	***
	Joyce	English	453453453	123456789	Michael	M	1935-01-04	***
	Joyce	English	453453453	123456789	Alisa	F	1905-12-30	***
	Joyce	English	453453453	123456789	Elizabeth	F	1907-05-05	***

ACTUAL_DEPENDENTS	FNAME	LNAME	SSN	ESSN	DEPENDENT NAME	SEX	EDATE
	Jennifer	Wallace	007054321	007054321	Almer	M	1940-02-28

RESULT	FNAME	LNAME	DEPENDENT NAME
	Jennifer	Wallace	Almer

3.6 JOIN Operations

**THETA JOIN:** Similar to a CARTESIAN PRODUCT followed by a SELECT. The condition c is called a join condition.

$$R(A_1, A_2, ..., A_m, B_1, B_2, ..., B_n) \leftarrow R_1(A_1, A_2, ..., A_m) \bowtie_c R_2(B_1, B_2, ..., B_n)$$

**EQUIJOIN:** The join condition c includes one or more equality comparisons involving attributes from R<sub>1</sub> and R<sub>2</sub>. That is, c is of the form:

$$(A_i=B_j) \text{ AND } ... \text{ AND } (A_h=B_k); 1 \leq i, h \leq m, 1 \leq j, k \leq n$$

In the above EQUIJOIN operation:

A<sub>i</sub>, ..., A<sub>h</sub> are called the **join attributes** of R<sub>1</sub>

B<sub>j</sub>, ..., B<sub>k</sub> are called the **join attributes** of R<sub>2</sub>

Example of using EQUIJOIN:

Retrieve each DEPARTMENT's name and its manager's name:

$$T \leftarrow \text{DEPARTMENT} \bowtie_{\text{MGRSSN} = \text{SSN}} \text{EMPLOYEE}$$

$$\text{RESULT} \leftarrow \pi_{\text{DNAME}, \text{FNAME}, \text{LNAME}}(\text{T})$$

### NATURAL JOIN (\*):

In an EQUIJOIN  $R \leftarrow R_1 \bowtie R_2$ , the join attribute of  $R_2$  appear redundantly in the result relation  $R$ . In a NATURAL JOIN, the redundant join attributes of  $R_2$  are eliminated from  $R$ . The equality condition is implied and need not be specified.

$$R \leftarrow R_1 * (\text{join attributes of } R_1), (\text{join attributes of } R_2) R_2$$

Example: Retrieve each EMPLOYEE's name and the name of the DEPARTMENT he/she works for:

$$T \leftarrow \text{EMPLOYEE} *_{(\text{DNO}), (\text{DNUMBER})} \text{DEPARTMENT}$$

$$\text{RESULT} \leftarrow \pi_{\text{FNAME}, \text{LNAME}, \text{DNAME}}(\text{T})$$

If the join attributes have the same names in both relations, they need not be specified and we can write  $R \leftarrow R_1 * R_2$ .

Example: Retrieve each EMPLOYEE's name and the name of his/her SUPERVISOR:

$$\text{SUPERVISOR}(\text{SUPERSSN}, \text{SFN}, \text{SLN}) \leftarrow \pi_{\text{SSN}, \text{FNAME}, \text{LNAME}}(\text{EMPLOYEE})$$

$$T \leftarrow \text{EMPLOYEE} * \text{SUPERVISOR}$$

$$\text{RESULT} \leftarrow \pi_{\text{FNAME}, \text{LNAME}, \text{SFN}, \text{SLN}}(\text{T})$$

**Figure 7.14** An illustration of the NATURAL JOIN operation. (a) PROJ\_DEPT  $\leftarrow$  PROJECT \* DEPT. (b) DEPT\_LOCS  $\leftarrow$  DEPARTMENT \* DEPT\_LOCATIONS.

(a)

PROJ_DEPT	PNAME	<u>PNUMBER</u>	PLOCATION	DNUM	DNAME	MGRSSN	MGRSTARTDATE
	ProductX	1	Bellaire	5	Research	333445555	1988-05-22
	ProductY	2	Sugarland	5	Research	333445555	1988-05-22
	ProductZ	3	Houston	5	Research	333445555	1988-05-22
	Computerization	10	Stafford	4	Administration	987654321	1995-01-01
	Reorganization	20	Houston	1	Headquarters	888665555	1981-06-19
	Newbenefits	30	Stafford	4	Administration	987654321	1995-01-01

(b)

DEPT_LOCS	DNAME	DNUMBER	MGRSSN	MGRSTARTDATE	LOCATION
	Headquarters	1	888665555	1981-06-19	Houston
	Administration	4	987654321	1995-01-01	Stafford
	Research	5	333445555	1988-05-22	Bellaire
	Research	5	333445555	1988-05-22	Sugarland
	Research	5	333445555	1988-05-22	Houston

Note: In the original definition of NATURAL JOIN, the join attributes were required to have the same names in both relations.

There can be a more than one set of join attributes with a different meaning between the same two relations. For example:

JOIN ATTRIBUTES  
RELATIONSHIP

EMPLOYEE.SSN=	EMPLOYEE manages
	DEPARTMENT.MGRSSN
the DEPARTMENT	
EMPLOYEE.DNO=	EMPLOYEE works for
DEPARTMENT.DNUMBER	the DEPARTMENT

Example: Retrieve each EMPLOYEE's name and the name of the DEPARTMENT he/she works for:

$T \leftarrow \text{EMPLOYEE} \bowtie_{\text{DNO=DNUMBER}} \text{DEPARTMENT}$

$\text{RESULT} \leftarrow \pi_{\text{FNAME,LNAME,DNAME}}(T)$

A relation can have a set of join attributes to join it with itself :

<u>JOIN ATTRIBUTES</u>	<u>RELATIONSHIP</u>
EMPLOYEE(1).SUPERSSN=	EMPLOYEE(2) supervises
EMPLOYEE(2).SSN	EMPLOYEE(1)

One can think of this as joining two distinct copies of the relation, although only one relation actually exists. In this case, renaming can be useful.

Example: Retrieve each EMPLOYEE's name and the name of his/her SUPERVISOR:

$SUPERVISOR(SSN, SFN, SLN) \leftarrow \pi_{SSN, FNAME, LNAME}(EMPLOYEE)$

$T \leftarrow EMPLOYEE \bowtie_{SUPERSSN=SSN} SUPERVISOR$

$RESULT \leftarrow \pi_{FNAME, LNAME, SFN, SLN}(T)$

### Complete Set of Relational Algebra Operations:

All the operations discussed so far can be described as a sequence of only the operations SELECT, PROJECT, UNION, SET DIFFERENCE, and CARTESIAN PRODUCT.

Hence, the set  $\{\sigma, \pi, \cup, -, \times\}$  is called a complete set of relational algebra operations. Any query language equivalent to these operations is called **relationally complete**.

For database applications, additional operations are needed that were not part of the original relational algebra. These include:

1. Aggregate functions and grouping.
2. OUTER JOIN and OUTER UNION.

### 3.7 Additional Relational Operations

#### AGGREGATE FUNCTIONS ( $\Sigma$ )

Functions such as SUM, COUNT, AVERAGE, MIN, MAX are often applied to sets of values or sets of tuples in database applications

$\langle \text{grouping attributes} \rangle \Sigma_{\langle \text{function list} \rangle}(R)$

The grouping attributes are optional

Example 1: Retrieve the average salary of all employees (no grouping needed):

$\rho(\text{AVGSAL}) \leftarrow \sigma_{\text{AVERAGE SALARY}}(\text{EMPLOYEE})$

Example 2: For each department, retrieve the department number, the number of employees, and the average salary (in the department):

$\rho_{(\text{DNO}, \text{NUMEMPS}, \text{AVGSAL})} \leftarrow \text{DNO } \sigma_{\text{COUNT SSN, AVERAGE SALARY}}(\text{EMPLOYEE})$

DNO is called the grouping attribute in the above example

**Figure 7.16** An illustration of the AGGREGATE FUNCTION operation. (a)  $R(\text{DNO}, \text{NO\_OF\_EMPLOYEES}, \text{AVERAGE\_SAL}) \leftarrow \text{DNO } \sigma_{\text{COUNT SSN, AVERAGE SALARY}}(\text{EMPLOYEE})$ . (b)  $\text{DNO } \sigma_{\text{COUNT SSN, AVERAGE SALARY}}(\text{EMPLOYEE})$ . (c)  $\sigma_{\text{COUNT SSN, AVERAGE SALARY}}(\text{EMPLOYEE})$ .

(a)

	DNO	NO_OF_EMPLOYEES	AVERAGE_SAL
	5	4	33250
	4	3	31000
	1	1	55000

## OUTER JOIN

In a regular EQUIJOIN or NATURAL JOIN operation, tuples in  $R_1$  or  $R_2$  that do not have matching tuples in the other relation do not appear in the result

Some queries require all tuples in  $R_1$  (or  $R_2$  or both) to appear in the result

When no matching tuples are found, **nulls** are placed for the missing attributes

**LEFT OUTER JOIN:**  $R_1 \bowtie R_2$  lets every tuple in  $R_1$  appear in the result

**RIGHT OUTER JOIN:**  $R_1 \bowtie R_2$  lets every tuple in  $R_2$  appear in the result

**FULL OUTER JOIN:**  $R_1 \bowtie R_2$  lets every tuple in  $R_1$  or  $R_2$  appear in the result

**Figure 7.18** The LEFT OUTER JOIN operation.

RESULT	FNAME	MINIT	LNAME	DNAME
	John	B	Smith	null
	Franklin	T	Wong	Research
	Alicia	J	Zelaya	null
	Jennifer	S	Wallace	Administration
	Ramesh	K	Narayan	null
	Joyce	A	English	null
	Ahmad	V	Jabbar	null
	James	E	Borg	Headquarters

### 3.8 Examples of Queries in Relational Algebra

- **Q1: Retrieve the name and address of all employees who work for the ‘Research’ department.**

RESEARCH\_DEPT  $\leftarrow \sigma$  DNAME='Research' (DEPARTMENT)

RESEARCH\_EMPS  $\leftarrow$  (RESEARCH\_DEPT  $\bowtie$  DNUMBER=DNOEMPLOYEEEMPLOYEE)

RESULT  $\leftarrow \pi$  FNAME, LNAME, ADDRESS (RESEARCH\_EMPS)

- **Q6: Retrieve the names of employees who have no dependents.**

ALL\_EMPS  $\leftarrow \pi$  SSN(EMPLOYEE)

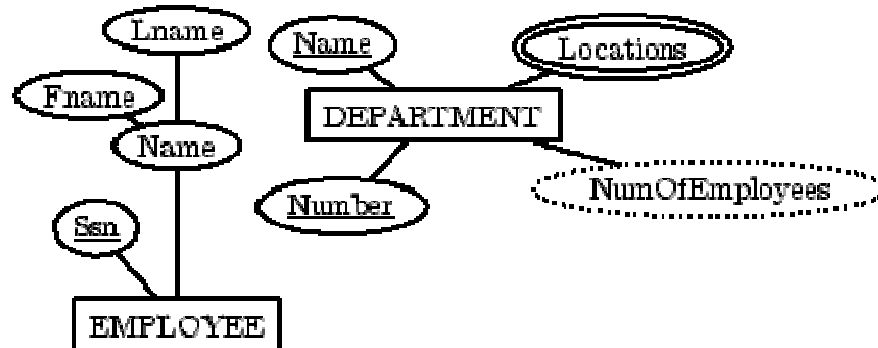
EMPS\_WITH\_DEPS(SSN)  $\leftarrow \pi$  ESSN(DEPENDENT)

EMPS\_WITHOUT\_DEPS  $\leftarrow$  (ALL\_EMPS - EMPS\_WITH\_DEPS)

RESULT  $\leftarrow \pi$  LNAME, FNAME (EMPS\_WITHOUT\_DEPS \* EMPLOYEE)

### 3.9 Relational Database Design Using ER-to-Relational Mapping

Step 1: For each **regular (strong) entity type** E in the ER schema, create a relation R that includes all the simple attributes of E.



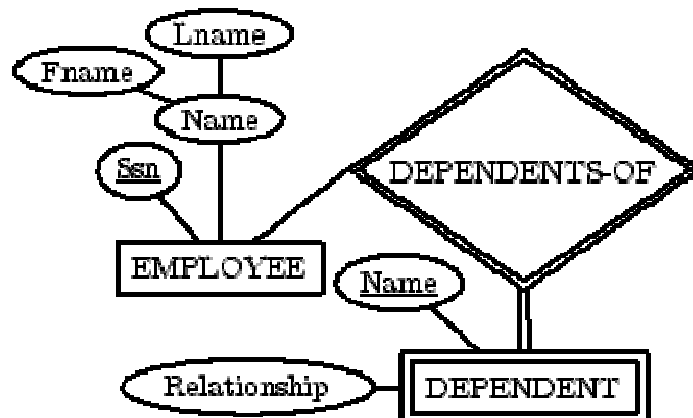
EMPLOYEE

<u>SSN</u>	Lname	Fname

DEPARTMENT

<u>NUMBER</u>	NAME

Step 2: For each **weak entity type** W in the ER schema with owner entity type E, create a relation R, and include all simple attributes (or simple components of composite attributes) of W as attributes. In addition, include as foreign key attributes of R the primary key attribute(s) of the relation(s) that correspond to the owner entity type(s).

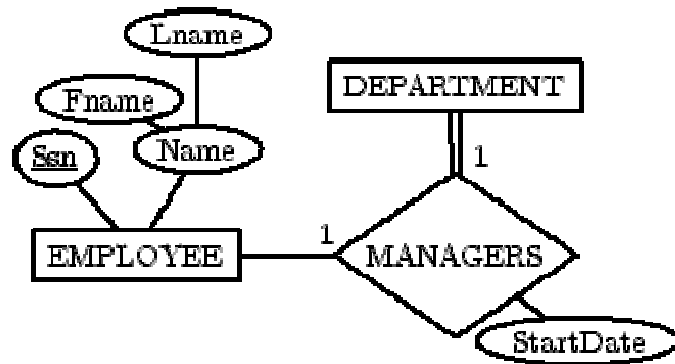


DEPENDENT

<u>EMPL-SSN</u>	<u>NAME</u>	Relationship



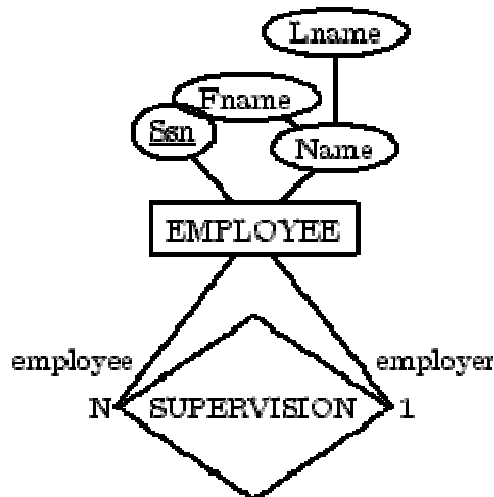
Step 3: For each **binary 1:1 relationship type** R in the ER schema, identify the relations S and T that correspond to the entity types participating in R. Choose one of the relations, say S, and include the primary key of T as a foreign key in S. Include all the simple attributes of R as attributes of S.



DEPARTMENT

MANAGER-SSN	StartDate
-------------	-----------

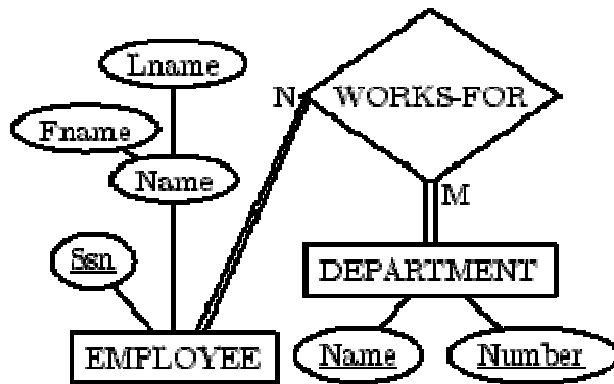
Step 4: For each regular **binary 1:N relationship type** R identify the relation (N) relation S. Include the primary key of T as a foreign key of S. Simple attributes of R map to attributes of S.



EMPLOYEE

SupervisorSSN
---------------

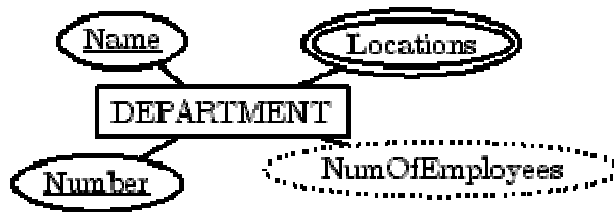
Step 5: For each **binary M:N relationship type** R, create a relation S. Include the primary keys of participant relations as foreign keys in S. Their combination will be the primary key for S. Simple attributes of R become attributes of S.



## WORKS-FOR

EmployeeSSN	DeptNumber

Step 6: For each **multi-valued attribute A**, create a new relation R. This relation will include an attribute corresponding to A, plus the primary key K of the parent relation (entity type or relationship type) as a foreign key in R. The primary key of R is the combination of A and K.



## DEP-LOCATION

Location	DEP-NUMBER

Step 7: For each **n-ary relationship type R**, where  $n > 2$ , create a new relation S to represent R. Include the primary keys of the relations participating in R as foreign keys in S. Simple attributes of R map to attributes of S. The primary key of S is a combination of all the foreign keys that reference the participants that have cardinality constraint  $> 1$ .

For a recursive relationship, we will need a new relation.

---

## UNIT 4

### SQL The Relational Database Standard

#### SQL The Relational Database Standard

4.1 Data Definition, Constraints, and Schema Changes in SQL2

4.2 Basic Queries in SQL

4.3 More Complex SQL Queries

---

## UNIT 4

# SQL The Relational Database Standard

## 4.1 Data Definition, Constraints, and Schema Changes in SQL2

- Structured Query Language (SQL) was designed and implemented at IBM Research.
- Created in late 70's, under the name of SEQUEL
- A standard version of SQL (ANSI 1986), is called SQL86 or SQL1.
- A revised version of standard SQL, called SQL2 (or SQL92).
- SQL are going to be extended with objectoriented and other recent database concepts.
- Consists of
  - A Data Definition Language (DDL) for declaring database schemas
  - Data Manipulation Language (DML) for modifying and querying database instances
- In SQL, relation, tuple, and attribute are called table, row, and columns respectively.
- The SQL commands for data definition are CREATE, ALTER, and DROP.
- The CREATE TABLE Command is used to specify a new table by giving it a name and specifying its attributes (columns) and constraints.
- Data types available for attributes are:
  - Numeric integer, real (formatted, such as DECIMAL(10,2))
  - CharacterString fixedlength and varyinglength
  - BitString fixedlength, varyinglength
  - Date in the form YYYYMMDD
  - Time in the form HH:MM:SS
  - Timestamp includes both the DATE and TIME fields
  - Interval to increase/decrease the value of date, time, or timestamp

## 4.2 Basic Queries in SQL

- SQL allows a table (relation) to have two or more tuples that are identical in all their attributes values. Hence, an **SQL table** is not a set of tuple, because a set does not allow two identical members; rather it is a multiset of tuples.
- A basic query statement in SQL is the SELECT statement.
- The SELECT statement used in SQL has no relationship to the SELECT operation of relational algebra.

### The SELECT Statement

The syntax of this command is:

```
SELECT    <attribute list>
FROM      <table list>
WHERE     <Condition>;
```

Some example:

Query 0: Retrieve the birthday and address of the employee(s) whose name is 'John B. Smith'

```
Q0:      SELECT BDATE, ADDRESS
          FROM   EMPLOYEE
          WHERE  FNAME = 'John' AND  MINIT='B' AND  LNAME = 'SMITH'
```

Query 1: Retrieve the name and address of all employee who work for the 'Research' Dept.

```
Q1:      SELECT FNAME, LNAME, ADDRESS
          FROM   EMPLOYEE, DEPARTMENT
          WHERE  DNAME = 'Research' AND  DNUMBER = DNO
```

Query 2: For every project located in 'Stafford', list the project number, the controlling department number, and the department manager's last name, address, and birthdate.

```
Q2:      SELECT PNUMBER, DNUM, LNAME, ADDRESS, BDATE
          FROM   PROJECT, DEPARTMENT, EMPLOYEE
          WHERE  DNUM=DNUMBER AND  MGRSSN=SSN AND  PLOCATION =
'Stafford'
```

### **Dealing with Ambiguous Attribute Names and Renaming (Aliening)**

Ambiguity in the case where attributes are same name need to qualify the attribute using DOT separator

e.g., WHERE DEPARTMENT.DNUMBER=EMPLOYEE.DNUMBER

More Ambiguity in the case of queries that refer to the same relation twice

Query 8: For each employee, retrieve the employee's first and last name and the first and last name of his or her immediate supervisor

```
Q8:      SELECT E.FNAME, E.LNAME, S.FNAME, S.LNAME
          FROM   EMPLOYEE AS E, EMPLOYEE AS S
```

WHERE E.SUPERSSN=S.SSN

### Unspecified WHERE Clause and Use of Asterisk (\*)

A missing WHERE clause indicates no conditions, which means all tuples are selected

In case of two or more table, then all possible tuple combinations are selected

Example: Q10: Select all EMPLOYEE SSNs , and all combinations of EMPLOYEE SSN and DEPARTMENT DNAME

SELECT SSN, DNAME

FROM EMPLOYEE, DEPARTMENT

More

To retrieve all the attributes, use \* in SELECT clause

Retrieve all employees working for Dept. 5

SELECT \*

FROM EMPLOYEE

WHERE DNO=5

### Substring Comparisons, Arithmetic Operations, and Ordering

- like, binary operator for comparing strings
- %, wild card for strings
- \_, wild card for characters
- ||, concatenate operation for strings

(name like '%a\_') is true for all names having 'a' as second letter from the end.

- Partial strings are specified by using '
  - SELECT FNAME, LNAME
  - FROM EMPLOYEE
  - WHERE FNAME LIKE '%Mc%';
- In order to list all employee who were born during 1960s we have the followings:
  - SELECT FNAME, LNAME
  - FROM EMPLOYEE
  - WHERE BDATE LIKE '6\_\_\_\_\_';

- SQL also supports addition, subtraction, multiplication and division (denoted by +, -, \*, and /, respectively) on numeric values or attributes with numeric domains.

**Examples:** Show the resulting salaries if every employee working on the 'ProductX' project is given a 10 percent raise.

```
SELECT  FNAME, LNAME, 1.1*SALARY
FROM    EMPLOYEE, WORKS_ON, PROJECT
WHERE   SSN=ESSN AND PNO=PNUMBER AND PNAME='ProductX';
```

Retrieve all employees in department number 5 whose salary between \$30000 and \$40000.

```
SELECT  *
FROM    EMPLOYEE
WHERE   (SALARY BETWEEN 30000 AND 40000) AND DNO=5;
```

It is possible to order the tuples in the result of a query.

```
SELECT  DNAME, LNAME, FNAME, PNAME
FROM    DEPARTMENT, EMPLOYEE, WORKS_ON, PROJECT
WHERE   DNUMBER=DNO AND SSN=ESSN AND PNO=PNUMBER
ORDER BY DNAME, LNAME, FNAME;
```

The default order is in ascending order, but user can specify

```
ORDER BY DNAME DESC, LNAME ASC, FNAME, ASC;
```

### Tables as Sets in SQL

SQL treats table as a **multiset**, which means duplicate tuples are OK

SQL does not delete duplicate because Duplicate elimination is an expensive operation (sort and delete) user may be interested in the result of a query in case of aggregate function, we do not want to eliminate duplicates

To eliminate duplicate, use DISTINCT

examples

Q11: Retrieve the salary of every employee, and (Q!2) all distinct salary values

Q11: SELECT ALL SALARY

```
FROM EMPLOYEE
```

Q12: SELECT DISTINCT SALARY

FROM EMPLOYEE

### 4.3 More Complex SQL Queries

Complex SQL queries can be formulated by composing nested SELECT/FROM/WHERE clauses within the WHERE clause of another query

Example: Q4: Make a list of Project numbers for projects that involve an employee whose last name is 'Smith', either as a worker or as a manager of the department that controls the project

```
Q4    SELECT DISTINCT PNUMBER
      FROM PROJECT
      WHERE PNUMBER IN (SELECT PNUMBER
                        FROM PROJECT, DEPARTMENT, EMPLOYEE
                        WHERE DNUM=DNUMBER AND MGRSSN=SSN AND LNAME='Smith'
OR    PNUMBER IN (SELECT PNO
                  FROM WORKS_ON, EMPLOYEE
                  WHERE ESSN=SSN AND LNAME='Smith')
```

### IN operator and set of unioncompatible tuples

Example:

```
SELECT DISTINCT ESSN
FROM WORKS_ON
WHERE (PNO, HOURS) IN (SELECT PNO, HOURS
                      FROM WORKS_ON
                      WHERE SSN='123456789')
```

ANY, SOME and >, <=, <>, etc.

**The keyword ALL**



In addition to the IN operator, a number of other comparison operators can be used to compare a single value  $v$  to a set of multiset  $V$ .

ALL  $V$  returns TRUE if  $v$  is greater than all the value in the set

Select the name of employees whose salary is greater than the salary of all the employees in department 5

```
SELECT LNAME, FNAME
FROM EMPLOYEE
WHERE SALARY > ALL (SELECT SALARY
                    FROM EMPLOYEE
                    WHERE DNO=5);
```

### **Ambiguity in nested query**

```
SELECT E.FNAME, E.LNAME
FROM EMPLOYEE AS E
WHERE E.SSN IN (SELECT ESSN
               FROM DEPENDENT
               WHERE ESSN=E.SSN AND E.FNAM=DEPENDENT_NAME AND
SEX=E.SEX
```

### **Correlated Nested Query**

Whenever a condition in the WHERE clause of a nested query references some attributes of a relation declared in the outer query, the two queries are said to be correlated. The result of a correlated nested query is different for each tuple (or combination of tuples) of the relation(s) the outer query.

In general, any nested query involving the = or comparison operator IN can always be rewritten as a single block query

```
SELECT E.FNAME, E.LNAME
FROM EMPLOYEE E, DEPENDENT D
WHERE E.SSN=D.ESSN AND E.SEX=D.SEX AND E.FNAME =D.DEPENDENT=NAME
```

Query 12: Retrieve the name of each employee who has a dependent with the same first name as the employee.

```
Q12:  SELECT E.FNAME, E.LNAME
      FROM EMPLOYEE AS E
      WHERE E.SSN IN (SELECT      ESSN
```

```

FROM DEPENDENT
WHERE E.SSN=E.SSN AND
E.FNAME=DEPENDENT_NAME)

```

In Q12, the nested query has a different result for each tuple in the outer query.

The original SQL as specified for SYSTEM R also had a CONTAINS comparison operator, which is used in conjunction with nested correlated queries. This operator was dropped from the language, possibly because of the difficulty in implementing it efficiently. Most implementations of SQL do not have this operator. The CONTAINS operator compares two sets of values, and returns TRUE if one set contains all values in the other set (reminiscent of the division operation of algebra).

Query 3: Retrieve the name of each employee who works on all the projects controlled by department number 5.

Q3: SELECT FNAME, LNAME

FROM EMPLOYEE WHERE ( (SELECT PNO FROM WORKS\_ON WHERE SSN=ESSN)

CONTAINS (SELECT PNUMBER FROM PROJECT WHERE DNUM=5) )

In Q3, the second nested query, which is not correlated with the outer query, retrieves the project numbers of all projects controlled by department 5.

The first nested query, which is correlated, retrieves the project numbers on which the employee works, which is different for each employee tuple because of the correlation.

### THE EXISTS AND UNIQUE FUNCTIONS IN SQL

EXISTS is used to check whether the result of a correlated nested query is empty (contains no tuples) or not. We can formulate Query 12 in an alternative form that uses EXISTS as Q12B below.

Query 12: Retrieve the name of each employee who has a dependent with the same first name as the employee.

```

SELECT E.FNAME, E.LNAME
FROM EMPLOYEE E
WHERE EXISTS (SELECT *
              FROM DEPENDENT
              WHERE E.SSN=ESSN AND SEX=E.SEX AND
E.FNAME=DEPENDENT_NAME)

```

Query 6: Retrieve the names of employees who have no dependents.

Q6: SELECT FNAME, LNAME

```
FROM EMPLOYEE
WHERE NOT EXISTS (SELECT *
                  FROM DEPENDENT
                  WHERE SSN=ESSN)
```

In Q6, the correlated nested query retrieves all DEPENDENT tuples related to an EMPLOYEE tuple. If none exist, the EMPLOYEE tuple is selected. EXISTS is necessary for the expressive power of SQL.

### EXPLICIT SETS AND NULLS IN SQL

It is also possible to use an explicit (enumerated) set of values in the WHERE clause rather than a nested query. Query 13: Retrieve the social security numbers of all employees who work on project number 1, 2, or 3.

Retrieve SSNs of all employees who work on project number 1,2,3

```
SELECT DISTINCT ESSN
FROM WORKS_ON
WHERE PNO IN (1,2,3)
```

### Null example

SQL allows queries that check if a value is NULL (missing or undefined or not applicable). SQL uses IS or IS NOT to compare NULLs because it considers each NULL value distinct from other NULL values, so equality comparison is not appropriate.

Retrieve the names of all employees who do not have supervisors

```
SELECT FNAME, LNAME
```

```
FROM EMPLOYEE
```

```
WHERE SUPERSSN IS NULL
```

Note: If a join condition is specified, tuples with NULL values for the join attributes are not included in the result.

### Join Revisit

Retrieve the name and address of every employee who works for 'Search' department

```
SELECT FNAME, LNAME, ADDRESS
FROM (EMPLOYEE JOIN DEPARTMENT ON DNO=DNUMBER)
WHERE DNAME='Search'
```

## Aggregate Functions

Include COUNT, SUM, MAX, MIN, and AVG

Query 15: Find the sum of the salaries of all employees the 'Research' dept, and the max salary, the min salary, and average:

```
SELECT SUM(SALARY), MAX(SALARY), MIN(SALARY) AVG(SALARY)
```

```
FROM EMPLOYEE
```

```
WHERE DNO=FNUMBER AND DNAME='RSEARCH'
```

Query 16: Find the maximum salary, the minimum salary, and the average salary among employees who work for the 'Research' department.

```
Q16:  SELECT MAX(SALARY), MIN(SALARY), AVG(SALARY)
      FROM  EMPLOYEE, DEPARTMENT
      WHERE DNO=DNUMBER AND DNAME='Research'
```

Queries 17 and 18: Retrieve the total number of employees in the company (Q17), and the number of employees in the 'Research' department (Q18).

```
Q17:  SELECT COUNT (*)
      FROM  EMPLOYEE
```

```
Q18:  SELECT COUNT (*)
      FROM  EMPLOYEE, DEPARTMENT
      WHERE DNO=DNUMBER AND DNAME='Research'
```

## Example of grouping

In many cases, we want to apply the aggregate functions to subgroups of tuples in a relation. Each subgroup of tuples consists of the set of tuples that have the same value for the grouping attribute(s).

The function is applied to each subgroup independently.

SQL has a GROUP BY clause for specifying the grouping attributes, which must also appear in the SELECT clause.

For each project, select the project number, the project name, and the number of employees who work on that project.

```
SELECT PNUMBER, PNAME, COUNT(*)
```

```
FROM PROJECT, WORKS_ON
```

```
WHERE PNUMBER=PNO
```

```
GROUP BY PNUMBER, PNAME
```

In Q20, the EMPLOYEE tuples are divided into group each group having the same value for the grouping attribute DNO

The COUNT and AVG functions are applied to each such group of tuples separately. The SELECT clause includes only the grouping attribute and the functions to be applied on each group of tuples. A join condition can be used in conjunction with grouping

Query 21: For each project, retrieve the project number, project name, and the number of employees who work on that project.

```
Q21:  SELECT      PNUMBER, PNAME, COUNT (*)
      FROM  PROJECT, WORKS_ON
      WHERE PNUMBER=PNO
      GROUP BY    PNUMBER, PNAME
```

In this case, the grouping and functions are applied after the joining of the two relations

THE HAVINGCLAUSE:

Sometimes we want to retrieve the values of these functions for only those groups that satisfy certain conditions. The HAVING clause is used for specifying a selection condition on groups (rather than on individual tuples)

Query 22: For each project on which more than two employees work , retrieve the project number, project name, and the number of employees who work on that project.

```
Q22:  SELECT      PNUMBER, PNAME, COUNT (*)
      FROM  PROJECT, WORKS_ON
      WHERE PNUMBER=PNO
      GROUP BY    PNUMBER, PNAME
      HAVING      COUNT (*) > 2
```

---

---

## **UNIT 5**

### **SQL 2 The Relational Database Standard**

#### SQL 2 The Relational Database Standard

5.1 Update Statements in SQL

5.2 Views in SQL

5.3 Additional features

5.4 Database Programming

5.5 Embedded SQL

5.6 Dynamic SQL

5.7 Database stored procedures and SQL/PSM

---

---

## UNIT 5 SQL The Relational Database Standard

### 5.1 Update Statements in SQL

#### The Insert Command

INSERT INTO EMPLOYEE

VALUES ('Richard','K','Marini',653298653,'30dec52',98 Oak Forest, Katy,  
TX','M',37000,'987654321',4)

More on Insert

Use explicit attribute names:

INSERT INTO EMPLOYEE (FNAME, LNAME,SSN)

VALUES ('Richard','Marini', '653298653'

#### The DELETE Command

DELETE FROM EMPLOYEE

WHERE LNAME='Brown'

#### The UPDATE Command

Used to modify values of one or more selected tuples

Change the location and controlling department number of project number 10 to 'Bellaire' and 5 respectively

UPDATE PROJECT

SET PLOCATION = 'Bellaire', DNUM=5

Where PNUMBER=10;

### 5.2 Views in SQL

A view refers to a single table that is derived from other tables

CREATE VIEW WORKS\_ON1

```
AS SELECT FNAME, LNAME, PNAME, HOURS
FROM EMPLOYEE, PROJECT, WORKS_ON WHERE SSN=ESSN AND PNO=PNUMBER
```

More on View

```
CREATE VIEW DEPT_INFO(DEPT_NAME, NO_OF_EMPLS, TOTAL_SAL)
AS SELECT DNAME, COUNT(*), SUM(SALARY)
FROM DEPARTMENT, EMPLOYEE
WHERE DNUMBER=DNO
```

```
GROUP BY DNAME
```

More on view

Treat WORKS\_ON1 like a base table as follows

```
SELECT FNAME, LNAME
FROM WORKS_ON1
WHERE PNAME='PROJECTX'
```

### **Main advantage of view:**

Simplify the specification of commonly used queries

More on View

A View is always up to date;

A view is realized at the time we specify(or execute) a query on the view

```
DROP VIEW WORKS_ON1
```

### **Updating of Views**

Updating the views can be complicated and ambiguous

In general, an update on a view on defined on a single table w/o any aggregate functions can be mapped to an update on the base table

More on Views



We can make the following observations:

A view with a single defining table is updatable if we view contain PK or CK of the base table

View on multiple tables using joins are not updatable

View defined using grouping/aggregate are not updatable

Specifying General Constraints

Users can specify certain constraints such as semantics constraints

CREATE ASSERTION SALARY\_CONSTRAINT

```
CHECK ( NOT EXISTS ( SELECT * FROM EMPLOYEE E, EMPLOYEE M,
DEPARTMENT D
```

```
WHERE E.SALARY > M. SALARY AND E.DNO=D.NUMBER AND D.MGRSSN=M.SSN))
```

### 5.3 Additional features

Granting and revoking privileges

Embedding SQL statements in a general purpose languages (C, C++, COBOL, PASCAL)

SQL can also be used in conjunction with a general purpose programming language, such as PASCAL, COBOL, or PL/I. The programming language is called the host language. The embedded SQL statement is distinguished from programming language statements by prefixing it with a special character or command so that a preprocessor can extract the SQL statements. In PL/I the keywords EXEC SQL precede any SQL statement. In some implementations, SQL statements are passed as parameters in procedure calls. We will use PASCAL as the host programming language, and a "\$" sign to identify SQL statements in the program. Within an embedded SQL command, we may refer to program variables, which are prefixed by a "%" sign. The programmer should declare program variables to match the data types of the database attributes that the program will process. These program variables may or may not have names that are identical to their corresponding attributes.

Example: Write a program segment (loop) that reads a social security number and prints out some information from the corresponding EMPLOYEE tuple

```
E1:      LOOP:='Y';
         while LOOP = 'Y' do
             begin
                 writeln('input social security number:');
                 readln(SOC_SEC_NUM);
                 $SELECT FNAME, MINIT, LNAME, SSN, BDATE,
                     ADDRESS, SALARY
```

```

        INTO %E.FNAME, %E.MINIT, %E.LNAME, %E.SSN,
            %E.BDATE, %E.ADDRESS, %E.SALARY
        FROM EMPLOYEE
        WHERE SSN=%SOC_SEC_NUM ;
        writeln( E.FNAME, E.MINIT, E.LNAME, E.SSN,
E.BDATE, E.ADDRESS, E.SALARY);
        writeln('more social security numbers (Y or N)? ');
        readln(LOOP)
    end;

```

In E1, a single tuple is selected by the embedded SQL query; that is why we are able to assign its attribute values directly to program variables. In general, an SQL query can retrieve many tuples. The concept of a cursor is used to allow tuple-at-a-time processing by the PASCAL program CURSORS: We can think of a cursor as a pointer that points to a single tuple (row) from the result of a query. The cursor is declared when the SQL query command is specified. A subsequent OPEN cursor command fetches the query result and sets the cursor to a position before the first row in the result of the query; this becomes the current row for the cursor. Subsequent FETCH commands in the program advance the cursor to the next row and copy its attribute values into PASCAL program variables specified in the FETCH command. An implicit variable SQLCODE communicates to the program the status of SQL embedded commands. An SQLCODE of 0 (zero) indicates successful execution. Different codes are returned to indicate exceptions and errors. A special END\_OF\_CURSOR code is used to terminate a loop over the tuples in a query result. A CLOSE cursor command is issued to indicate that we are done with the result of the query. When a cursor is defined for rows that are to be updated the clause FOR UPDATE OF must be in the cursor declaration, and a list of the names of any attributes that will be updated follows. The condition WHERE CURRENT OF cursor specifies that the current tuple is the one to be updated (or deleted).

Example: Write a program segment that reads (inputs) a department name, then lists the names of employees who work in that department, one at a time. The program reads a raise amount for each employee and updates the employee's salary by that amount.

```

E2:      writeln('enter the department name:'); readln(DNAME);
        $SELECT DNUMBER INTO %DNUMBER
        FROM DEPARTMENT
        WHERE DNAME=%DNAME;
        $DECLARE EMP CURSOR FOR
            SELECT SSN, FNAME, MINIT, LNAME, SALARY
            FROM EMPLOYEE
            WHERE DNO=%DNUMBER
        FOR UPDATE OF SALARY;
        $OPEN EMP;
        $FETCH EMP INTO %E.SSN, %E.FNAME, %E.MINIT,
            %E.LNAME, %E.SAL;
        while SQLCODE = 0 do

```

```
begin
writeln('employee name: ', E.FNAME, E.MINIT, E.LNAME);
writeln('enter raise amount: '); readln(RAISE);
$UPDATE EMPLOYEE SET SALARY = SALARY + %RAISE
    WHERE CURRENT OF EMP;
$FETCH EMP INTO %E.SSN, %E.FNAME, %E.MINIT,
    %E.LNAME, %E.SAL;

end;
$CLOSE CURSOR EMP;
```

## 5.4 Database Programming

- Objective:
  - To access a database from an application program (as opposed to interactive interfaces)
- Why?
  - An interactive interface is convenient but not sufficient
    - A majority of database operations are made thru application programs (increasingly thru web applications)
- Embedded commands:
  - Database commands are embedded in a general-purpose programming language
- Library of database functions:
  - Available to the host language for database calls; known as an API
    - API standards for Application Program Interface
- A brand new, full-fledged language
  - Minimizes impedance mismatch

### Impedance Mismatch

- Incompatibilities between a host programming language and the database model, e.g.,
  - type mismatch and incompatibilities; requires a new binding for each language
  - set vs. record-at-a-time processing
    - need special iterators to loop over query results and manipulate individual values
- Client program opens a connection to the database server
- Client program submits queries to and/or updates the database
- When database access is no longer needed, client program closes (terminates) the connection

## 5.5 Embedded SQL

- Most SQL statements can be embedded in a general-purpose host programming language such as COBOL, C, Java
- An embedded SQL statement is distinguished from the host language statements by enclosing it between EXEC SQL or EXEC SQL BEGIN and a matching END-EXEC or EXEC SQL END (or semicolon)

- Syntax may vary with language
- Shared variables (used in both languages) usually prefixed with a colon (:) in SQL
- Variables inside DECLARE are shared and can appear (while prefixed by a colon) in SQL statements
- SQLCODE is used to communicate errors/exceptions between the database and the program

```
int loop;
```

```
EXEC SQL BEGIN DECLARE SECTION;
```

```
    varchar dname[16], fname[16], ...;
```

```
    char ssn[10], bdate[11], ...;
```

```
    int dno, dnumber, SQLCODE, ...;
```

```
EXEC SQL END DECLARE SECTION;
```

- Connection (multiple connections are possible but only one is active)

```
CONNECT TO server-name AS connection-name
```

```
AUTHORIZATION user-account-info;
```

- Change from an active connection to another one

```
SET CONNECTION connection-name;
```

- Disconnection

```
DISCONNECT connection-name;
```

```
loop = 1;
```

```
while (loop) {
```

```
    prompt ("Enter SSN: ", ssn);
```

```
    EXEC SQL
```

```
        select FNAME, LNAME, ADDRESS, SALARY
```

```
        into :fname, :lname, :address, :salary
```

```
        from EMPLOYEE where SSN == :ssn;
```

```
if (SQLCODE == 0) printf(fname, ...);  
  
else printf("SSN does not exist: ", ssn);  
  
prompt("More SSN? (1=yes, 0=no): ", loop);
```

END-EXEC

- A cursor (iterator) is needed to process multiple tuples
- FETCH commands move the cursor to the next tuple
- CLOSE CURSOR indicates that the processing of query results has been completed
- Objective:

## 5.6 Dynamic SQL

Composing and executing new (not previously compiled) SQL statements at run-time

- a program accepts SQL statements from the keyboard at run-time
- a point-and-click operation translates to certain SQL query
- Dynamic update is relatively simple; dynamic query can be complex
  - because the type and number of retrieved attributes are unknown at compile time

```
EXEC SQL BEGIN DECLARE SECTION;
```

```
varchar sqlupdatestring[256];
```

```
EXEC SQL END DECLARE SECTION;
```

```
...prompt ("Enter update command:", sqlupdatestring);
```

```
EXEC SQL PREPARE sqlcommand FROM :sqlupdatestring;
```

- EXEC SQLSQLJ: a standard for embedding SQL in Java
- An SQLJ translator converts SQL statements into Java
  - These are executed thru the JDBC interface
- Certain classes have to be imported
  - E.g., java.sql

```
EXECUTE sqlcommand;
```

- Environment record:
  - Keeps track of database connections
- Connection record:
  - Keep tracks of info needed for a particular connection
- Statement record:
  - Keeps track of info needed for one SQL statement

- Description record:
  - Keeps track of tuples
- Load SQL/CLI libraries
- Declare record handle variables for the above components (called: SQLHSTMT, SQLHDBC, SQLHENV, SQLHDEC)
- Set up an environment record using SQLAllocHandle
- Set up a connection record using SQLAllocHandle
- Set up a statement record using SQLAllocHandle
- Prepare a statement using SQL/CLI function SQLPrepare
- Bound parameters to program variables
- Execute SQL statement via SQLExecute
- Bound query columns to a C variable via SQLBindCol
- Use SQLFetch to retrieve column values into C variables

### 5.7 Database stored procedures and SQL/PSM

- Persistent procedures/functions (modules) are stored locally and executed by the database server
  - As opposed to execution by clients
- Advantages:
  - If the procedure is needed by many applications, it can be invoked by any of them (thus reduce duplications)
  - Execution by the server reduces communication costs
  - Enhance the modeling power of views
- Disadvantages:
  - Every DBMS has its own syntax and this can make the system less portable

- A stored procedure

CREATE PROCEDURE procedure-name (params)

local-declarations

procedure-body;

- A stored function

CREATE FUNCTION fun-name (params) RETURNS return-type

local-declarations

function-body;

- Calling a procedure or function

CALL procedure-name/fun-name (arguments);

- SQL/PSM:
  - Part of the SQL standard for writing persistent stored modules
- SQL + stored procedures/functions + additional programming constructs
  - E.g., branching and looping statements
  - Enhance the power of SQL

```
CREATE FUNCTION DEPT_SIZE (IN deptno INTEGER)
RETURNS VARCHAR[7]
DECLARE TOT_EMPS INTEGER;
SELECT COUNT (*) INTO TOT_EMPS
    FROM SELECT EMPLOYEE WHERE DNO = deptno;
IF TOT_EMPS > 100 THEN RETURN "HUGE"
    ELSEIF TOT_EMPS > 50 THEN RETURN "LARGE"
    ELSEIF TOT_EMPS > 30 THEN RETURN "MEDIUM"
    ELSE RETURN "SMALL"
ENDIF;
```

## **UNIT 6**

### **Data Base design-1**

#### Data Base design-1

##### 6.1 Informal design guidelines for relation schemas

###### 6.1.1 Semantics of relations attributes

##### 6.2. Inference Rules

##### 6.3 Normalization

###### 6.3.1 First Normal Form (1NF)

###### 6.3.2 Second Normal Form (2NF)

###### 6.3.3 Third Normal Form (3NF)

##### 6.4 Boyce-Codd Normal Form (BCNF)



## UNIT-6 Data Base design-1

### 6.1 Informal design guidelines for relation schemas

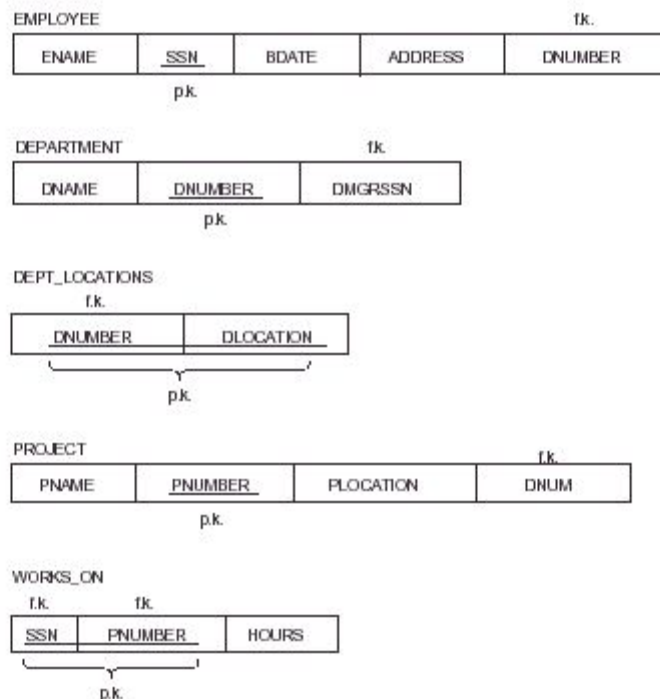
The four informal measures of quality for relation schema

- Semantics of the attributes
- Reducing the redundant values in tuples
- Reducing the null values in tuples
- Disallowing the possibility of generating spurious tuples

#### 6.1.1 Semantics of relations attributes

Specifies how to interpret the attributes values stored in a tuple of the relation. In other words, how the attribute value in a tuple relate to one another.

**Figure 14.1** Simplified version of the COMPANY relational database schema.



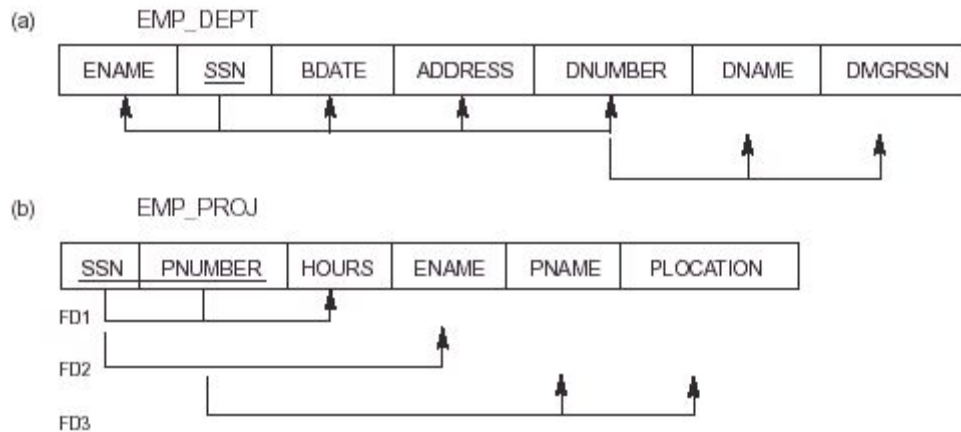
**Guideline 1:** Design a relation schema so that it is easy to explain its meaning. Do not combine attributes from multiple entity types and relationship types into a single relation.

Reducing redundant values in tuples. Save storage space and avoid update anomalies.

- Insertion anomalies.
- Deletion anomalies.

- Modification anomalies.

**Figure 14.3** Two relation schemas and their functional dependencies. Both suffer from update anomalies. (a) The EMP\_DEPT relation schema. (b) The EMP\_PROJ relation schema.



### Insertion Anomalies

To insert a new employee tuple into EMP\_DEPT, we must include either the attribute values for that department that the employee works for, or nulls.

It's difficult to insert a new department that has no employee as yet in the EMP\_DEPT relation. The only way to do this is to place null values in the attributes for employee. This causes a problem because SSN is the primary key of EMP\_DEPT, and each tuple is supposed to represent an employee entity - not a department entity.

### Deletion Anomalies

If we delete from EMP\_DEPT an employee tuple that happens to represent the last employee working for a particular department, the information concerning that department is lost from the database.

### Modification Anomalies

In EMP\_DEPT, if we change the value of one of the attributes of a particular department- say the manager of department 5- we must update the tuples of all employees who work in that department.

**Guideline 2:** Design the base relation schemas so that no insertion, deletion, or modification anomalies occur. Reducing the null values in tuples. e.g., if 10% of employees have offices, it is better to have a separate relation, EMP\_OFFICE, rather than an attribute OFFICE\_NUMBER in EMPLOYEE.

**Guideline 3:** Avoid placing attributes in a base relation whose values are mostly null. Disallowing spurious tuples.

**Spurious tuples** - tuples that are not in the original relation but generated by natural join of decomposed subrelations.

Example: decompose EMP\_PROJ into EMP\_LOCS and EMP\_PROJ1.

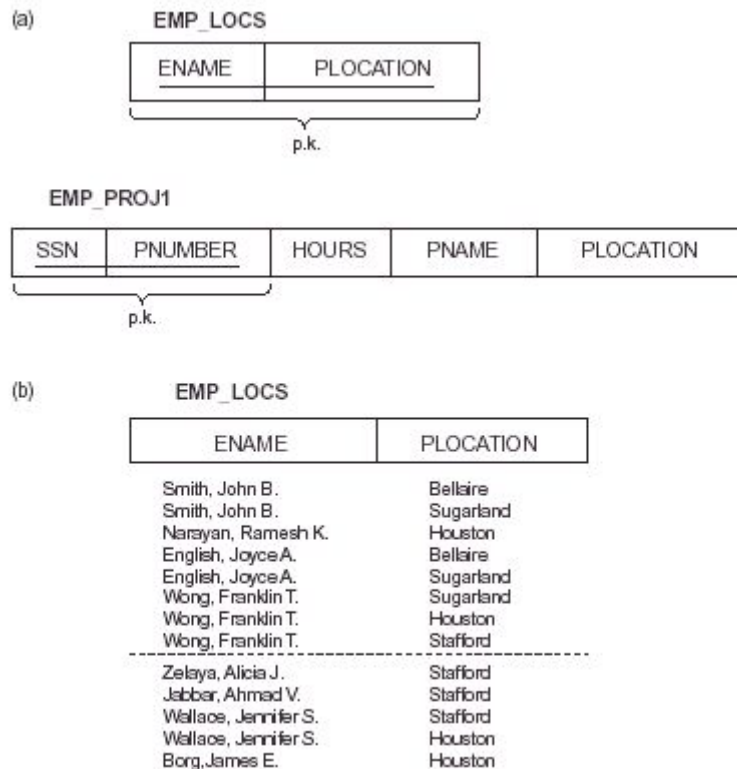


Fig. 14.5a

**Guideline 4:** Design relation schemas so that they can be naturally JOINed on primary keys or foreign keys in a way that guarantees no spurious tuples are generated.

**6.2 A functional dependency (FD)** is a constraint between two sets of attributes from the database. It is denoted by

$X \twoheadrightarrow Y$

We say that "Y is **functionally dependent** on X". Also, X is called the left-hand side of the FD. Y is called the right-hand side of the FD.

A functional dependency is a property of the semantics or meaning of the attributes, i.e., a property of the relation schema. They must hold on all relation states (extensions) of R. Relation extensions  $r(R)$ . A FD  $X \twoheadrightarrow Y$  is a full functional dependency if removal of any attribute from X

means that the dependency does not hold any more; otherwise, it is a partial functional dependency.

Examples:

1.  $SSN \twoheadrightarrow ENAME$
2.  $PNUMBER \twoheadrightarrow \{PNAME, PLOCATION\}$
3.  $\{SSN, PNUMBER\} \twoheadrightarrow HOURS$

FD is property of the relation schema  $R$ , not of a particular relation state/instance

Let  $R$  be a relation schema, where  $X \subseteq R$  and  $Y \subseteq R$

$$t_1, t_2 \in r, \quad t_1[X] = t_2[X] \Rightarrow t_1[Y] = t_2[Y]$$

The FD  $X \twoheadrightarrow Y$  holds on  $R$  if and only if for all possible relations  $r(R)$ , whenever two tuples of  $r$  agree on the attributes of  $X$ , they also agree on the attributes of  $Y$ .

- the single arrow  $\twoheadrightarrow$  denotes "functional dependency"
- $X \twoheadrightarrow Y$  can also be read as "X determines Y"
- the double arrow  $\Rightarrow$  denotes "logical implication"

### 6.2.1 Inference Rules

**IR1. Reflexivity** e.g.  $X \twoheadrightarrow X$

- a formal statement of trivial dependencies; useful for derivations

**IR2. Augmentation** e.g.  $X \twoheadrightarrow Y \Rightarrow XZ \twoheadrightarrow Y$

- if a dependency holds, then we can freely expand its left hand side

**IR3. Transitivity** e.g.  $X \twoheadrightarrow Y, Y \twoheadrightarrow Z \Rightarrow X \twoheadrightarrow Z$

- the "most powerful" inference rule; useful in multi-step derivations

**Armstrong inference rules are sound**

meaning that given a set of functional dependencies  $F$  specified on a relation schema  $R$ , any dependency that we can infer from  $F$  by using IR1 through IR3 holds every relation state  $r$  of  $R$  that specifies the dependencies in  $F$ . In other words, rules can be used to derive precisely the closure or no additional FD can be derived.

**complete**

meaning that using IR1 through IR3 repeatedly to infer dependencies until no more dependencies can be inferred results in the complete set of all possible dependencies that can be inferred from  $F$ . In other words, given a set of FDs, all implied FDs can be derived using these 3 rules.

**Closure of a Set of Functional Dependencies**

Given a set  $X$  of FDs in relation  $R$ , the set of all FDs that are implied by  $X$  is called the closure of  $X$ , and is denoted  $X^+$ .

**Algorithms for determining  $X^+$** 

```

 $X^+ := X;$ 

repeat
   $\text{old}X^+ := X^+$ 
  for each FD  $Y \twoheadrightarrow Z$  in F do
    if  $Y \subseteq X^+$  then  $X^+ := X^+ \cup Z;$ 
until  $\text{old}X^+ = X^+;$ 

```

Example:

$A \twoheadrightarrow BC$

$E \twoheadrightarrow CF$

$B \twoheadrightarrow E$

$CD \twoheadrightarrow EF$

Compute  $\{A, B\}^+$  of the set of attributes under this set of FDs.

Solution:

Step1:  $\{A, B\}^+ := \{A, B\}.$

Go round the inner loop 4 time, once for each of the given FDs.  
 On the first iteration, for  $A \twoheadrightarrow BC$   
 $\subseteq \{A, B\}^+ \subseteq \{A, B\}^+ := \{A, B, C\}.$

Step2: On the second iteration, for  $E \twoheadrightarrow CF$ ,  $\notin \{A, B, C\}$

Step3 : On the third iteration, for  $B \twoheadrightarrow E$   
 $\subseteq \{A, B, C\}^+ \subseteq \{A, B, C, E\}.$

Step4: On the fourth iteration, for  $CD \twoheadrightarrow EF$  remains unchanged.

Go round the inner loop 4 times again. On the first iteration result does not change; on the second it expands to {A,B,C,E,F}; On the third and forth it does not change.

Now go round the inner loop 4 times. Closure does not change and so the whole process terminates, with

$$\{A,B\}^+ = \{A,B,C,E,F\}$$

Example.

F = { SSN  $\rightarrow$  ENAME, PNUMBER  $\rightarrow$  {PNAME, PLOCATION}, {SSN,PNUMBER}  $\rightarrow$  HOURS }

$$\{SSN\}^+ = \{SSN, ENAME\}$$

$$\{PNUMBER\}^+ = ?$$

$$\{SSN,PNUMBER\}^+ = ?$$

### 6.3 Normalization

**The purpose of normalization.**

- The problems associated with redundant data.
- The identification of various types of update anomalies such as insertion, deletion, and modification anomalies.
- How to recognize the appropriateness or quality of the design of relations.
- The concept of functional dependency, the main tool for measuring the appropriateness of attribute groupings in relations.
- How functional dependencies can be used to group attributes into relations that are in a known normal form.
- How to define normal forms for relations.
- How to undertake the process of normalization.
- How to identify the most commonly used normal forms, namely first (1NF), second (2NF), and third (3NF) normal forms, and Boyce-Codd normal form (BCNF).
- How to identify fourth (4NF), and fifth (5NF) normal forms.

Main objective in developing a logical data model for relational database systems is to create an accurate representation of the data, its relationships, and constraints. To achieve this objective, we must identify a suitable set of relations. A technique for producing a set of relations with desirable properties, given the data requirements of an enterprise

## NORMAL FORMS

A relation is defined as a set of tuples. By definition, all elements of a set are distinct; hence, all tuples in a relation must also be distinct. This means that no two tuples can have the same combination of values for all their attributes.

Any set of attributes of a relation schema is called a **superkey**. Every relation has at least one superkey—the set of all its attributes. A **key** is a minimal superkey, i.e., a superkey from which we cannot remove any attribute and still have the uniqueness constraint hold.

In general, a relation schema may have more than one key. In this case, each of the keys is called a **candidate key**. It is common to designate one of the candidate keys as the **primary key** of the relation. A **foreign key** is a key in a relation R but it's not a key (just an attribute) in other relation R' of the same schema.

### Integrity Constraints

The **entity integrity constraint** states that no primary key value can be null. This is because the primary key value is used to identify individual tuples in a relation; having null values for the primary key implies that we cannot identify some tuples.

The **referential integrity constraint** is specified between two relations and is used to maintain the consistency among tuples of the two relations. Informally, the referential integrity constraint states that a tuple in one relation that refers to another relation must refer to an existing tuple in that relation.

An attribute of a relation schema R is called a **prime attribute** of the relation R if it is a member of any key of the relation R. An attribute is called **nonprime** if it is not a prime attribute—that is, if it is not a member of any candidate key.

The goal of normalization is to create a set of relational tables that are free of redundant data and that can be consistently and correctly modified. This means that all tables in a relational database should be in the in the third normal form (3 NF).

Normalization of data can be looked on as a process during which unsatisfactory relation schemas are decomposed by breaking up their attributes into smaller relation schemas that possess desirable properties. One objective of the original normalization process is to ensure that the update anomalies such as insertion, deletion, and modification anomalies do not occur.

The most commonly used normal forms

- First Normal Form (1NF)
- Second Normal Form (2NF)
- Third Normal Form (3NF)
- Boyce-Codd Normal Form

Other Normal Forms

- Fourth Normal Form
- Fifth Normal Form

- Domain Key Normal Form

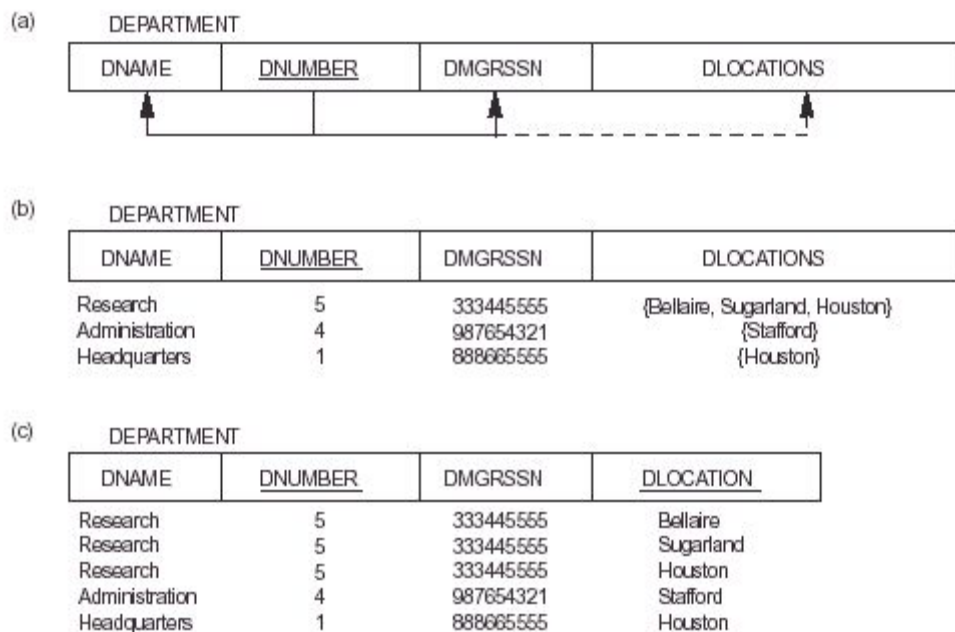
### 6.3.1 First Normal Form (1NF)

First normal form is now considered to be part of the formal definition of a relation; historically, it was defined to disallow multivalued attributes, composite attributes, and their combinations. It states that the domains of attributes must include only atomic (simple, indivisible) values and that the value of any attribute in a tuple must be a single value from the domain of that attribute.

Practical Rule: "Eliminate Repeating Groups," i.e., make a separate table for each set of related attributes, and give each table a primary key.

Formal Definition: A relation is in first normal form (1NF) if and only if all underlying simple domains contain atomic values only.

**Figure 14.8** Normalization into 1NF. (a) Relation schema that is not in 1NF. (b) Example relation instance. (c) 1NF relation with redundancy.



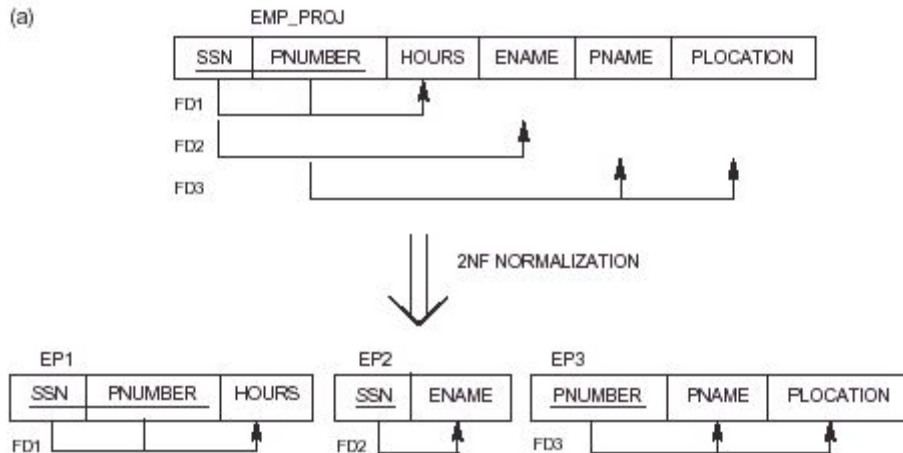
### 6.3.2 Second Normal Form (2NF)

Second normal form is based on the concept of fully functional dependency. A functional  $X \rightarrow Y$  is a fully functional dependency is removal of any attribute A from X means that the dependency does not hold any more. A relation schema is in 2NF if every nonprime attribute in relation is fully functionally dependent on the primary key of the relation. It also can be restated as: a relation schema is in 2NF if every nonprime attribute in relation is not partially dependent on any key of the relation.



Practical Rule: "Eliminate Redundant Data," i.e., if an attribute depends on only part of a multivalued key, remove it to a separate table.

Formal Definition: A relation is in second normal form (2NF) if and only if it is in 1NF and every nonkey attribute is fully dependent on the primary key.



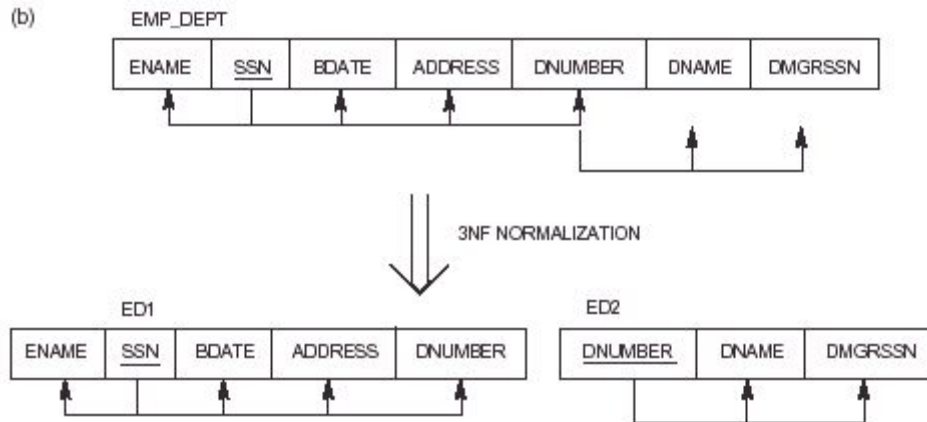
### 6.3.3 Third Normal Form (3NF)

Third normal form is based on the concept of transitive dependency. A functional dependency  $X \rightarrow Y$  in a relation is a transitive dependency if there is a set of attributes  $Z$  that is not a subset of any key of the relation, and both  $X \rightarrow Z$  and  $Z \rightarrow Y$  hold. In other words, a relation is in 3NF if, whenever a functional dependency

$X \rightarrow A$  holds in the relation, either (a)  $X$  is a superkey of the relation, or (b)  $A$  is a prime attribute of the relation.

Practical Rule: "Eliminate Columns not Dependent on Key," i.e., if attributes do not contribute to a description of a key, remove them to a separate table.

Formal Definition: A relation is in third normal form (3NF) if and only if it is in 2NF and every nonkey attribute is nontransitively dependent on the primary key.



1NF: R is in 1NF iff all domain values are atomic.

2NF: R is in 2NF iff R is in 1NF and every nonkey attribute is fully dependent on the key.

3NF: R is in 3NF iff R is 2NF and every nonkey attribute is non-transitively dependent on the key.

#### 6.4 Boyce-Codd Normal Form (BCNF)

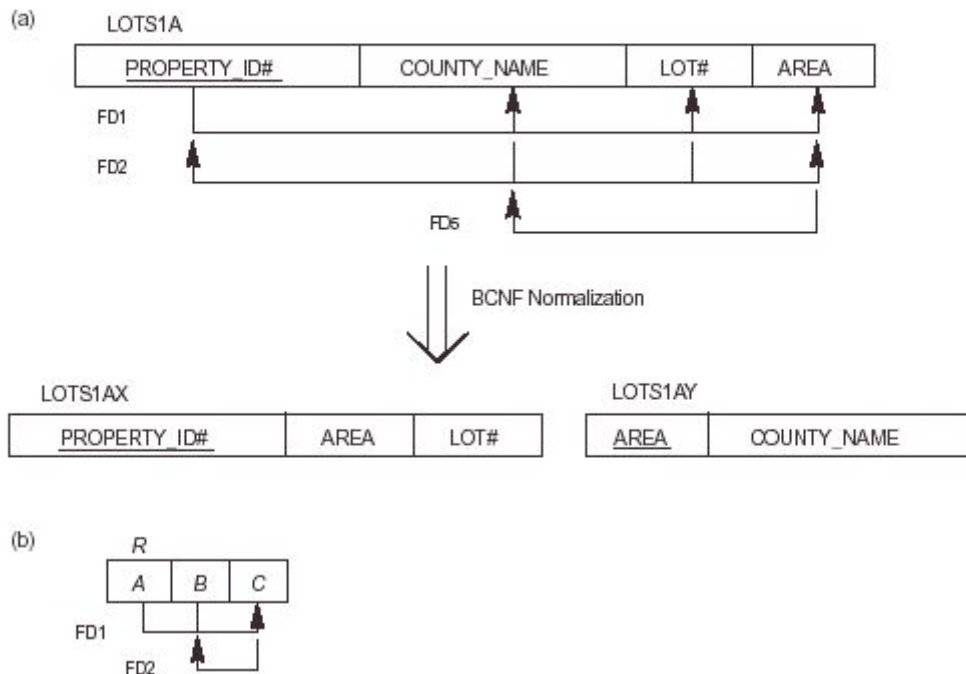
A relation schema R is in Boyce-Codd Normal Form (BCNF) if whenever a FD  $X \rightarrow A$  holds in R, then X is a superkey of R

- Each normal form is strictly stronger than the previous one:
- Every 2NF relation is in 1NF Every 3NF relation is in 2NF
- Every BCNF relation is in 3NF
- There exist relations that are in 3NF but not in BCNF

A relation is in BCNF, if and only if every determinant is a candidate key.

Additional criteria may be needed to ensure the the set of relations in a relational database are satisfactory.

**Figure 14.12** Boyce-Codd normal form. (a) BCNF normalization with the dependency of FD2 being “lost” in the decomposition. (b) A relation  $R$  in 3NF but not in BCNF.



**Figure 14.13** A relation TEACH that is in 3NF but not in BCNF.

TEACH

STUDENT	COURSE	INSTRUCTOR
Narayan	Database	Mark
Smith	Database	Navathe
Smith	Operating Systems	Ammar
Smith	Theory	Schulman
Wallace	Database	Mark
Wallace	Operating Systems	Ahamad
Wong	Database	Omiecinski
Zelaya	Database	Navathe

If  $X \rightarrow Y$  is non-trivial then  $X$  is a super key

<u>STREET</u>	<u>CITY</u>	<u>ZIP</u>
---------------	-------------	------------

$\{CITY, STREET\} \twoheadrightarrow ZIP$

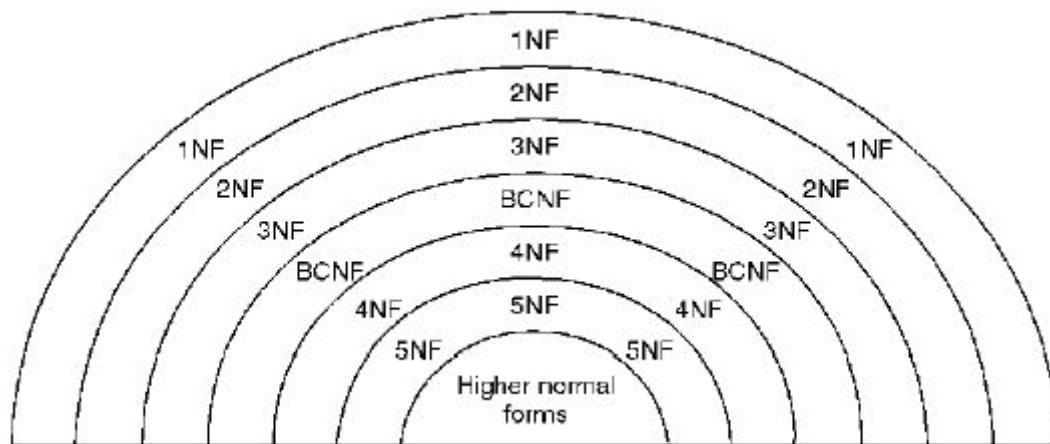
$ZIP \twoheadrightarrow CITY$

- Insertion anomaly: the city of a zip code can't be stored, if the street is not given

### Normalization

<u>STREET</u>	<u>ZIP</u>	<u>ZIP</u>	<u>CITY</u>

### Relationship Between Normal Forms



---

## UNIT 7

### Data base design 2

7.1 Properties of relational decomposition

7.2 Algorithms for Relational Database Schema Design

7.2.1 Decomposition and Dependency Preservation

7.2.2 Lossless-join Dependency

7.3 Multivolume Dependencies and Fourth Normal Form (4NF)

7.3.1 Fourth Normal Form (4NF)

7.4 Join Dependencies and 5 NF

7.5 Other dependencies:

7.5.1 Template Dependencies

7.5.2 Domain Key Normal Form

---

## UNIT-7 Data base design 2

### 7.1 Properties of relational decomposition

Normalization Algorithms based on FDs to synthesize 3NF and BCNF describe two desirable properties (known as properties of decomposition).

- Dependency Preservation Property
- Lossless join property

**Dependency Preservation Property** enables us to enforce a constraint on the original relation from corresponding instances in the smaller relations.

**Lossless join property** enables us to find any instance of the original relation from corresponding instances in the smaller relations (Both used by the design algorithms to achieve desirable decompositions).

A property of decomposition, which ensures that no spurious rows are generated when relations are reunited through a natural join operation.

### 7.2 Algorithms for Relational Database Schema Design

Individual relations being in higher normal do not guarantee a good design Database schema must possess additional properties to guarantee a good design.

#### Relation Decomposition and Insufficiency of Normal Forms

Suppose  $R = \{ A_1, A_2, \dots, A_n \}$  that includes all the attributes of the database.  $R$  is a universal relation schema, which states that every attribute name is unique. Using FDs, the algorithms decomposes the universal relation schema  $R$  into a set of relation schemas

$D = \{ R_1, R_2, \dots, R_n \}$  that will become the relational database schema;  $D$  is called a decomposition of  $R$ . Each attribute in  $R$  will appear in at least one relation schema  $R_i$  in the decomposition so that no attributes are lost; we have

$$\bigcup_{i=1}^m R_i = R$$

This is called attribute preservation condition of a decomposition.

#### 7.2.1 Decomposition and Dependency Preservation

We want to preserve dependencies because each dependencies in  $F$  represents a constraint on the database.

We would like to check easily that updates to the database do not result in illegal relations being created.

It would be nice if our design allowed us to check updates without having to compute natural joins. To know whether joins must be computed, we need to determine what functional dependencies may be tested by checking each relation individually.

Let  $F$  be a set of functional dependencies on schema  $R$ . Let  $D = \{R_1, R_2, \dots, R_n\}$  be a decomposition of  $R$ . Given a set of dependencies  $F$  on  $R$ , the projection of  $F$  on  $R_i$ ,  $\pi_{R_i}(F)$ , where  $R_i$  is a subset of  $R$ , is the set of all functional dependencies  $X \rightarrow Y$  such that attributes in  $X \cup Y$  are all contained in  $R_i$ . Hence the projection of  $F$  on each relation schema  $R_i$  in the decomposition  $D$  is the set of FDs in  $F^+$ , such that all their LHS and RHS attributes are in  $R_i$ . Hence, the projection of  $F$  on each relation schema  $R_i$  in the decomposition  $D$  is the set of functional dependencies in  $F^+$ .

$$((\pi_{R_1}(F)) \cup (\pi_{R_2}(F)) \cup \dots \cup (\pi_{R_m}(F)))^+ = F^+$$

i.e., the union of the dependencies that hold on each  $R_i$  belongs to  $D$  be equivalent to closure of  $F$  (all possible FDs)

/\*Decompose relation,  $R$ , with functional dependencies, into relations,  $R_1, \dots, R_n$ , with associated functional dependencies,

$F_1, \dots, F_k$ .

The decomposition is **dependency preserving** iff:

$$F^+ = (F_1 \sqcup \dots \sqcup F_k)^+ \text{ */}$$

If each functional dependency specified in  $F$  either appeared directly in one of the relation schema  $R$  in the decomposition  $D$  or could be inferred from the dependencies that appear in some  $R$ .

### 7.2.2 Lossless-join Dependency

A property of decomposition, which ensures that no spurious rows are generated when relations are reunited through a natural join operation.

Lossless-join property refers to when we decompose a relation into two relations - we can rejoin the resulting relations to produce the original relation.

$$R_1 \bowtie R_2 = R$$

Decompose relation,  $R$ , with functional dependencies,  $F$ , into relations,  $R_1$  and  $R_2$ , with attributes,  $A_1$  and  $A_2$ , and associated functional dependencies,  $F_1$  and  $F_2$ .

- Decompositions are projections of relational schemas

R	A	B	C
	a1	b1	c1
	a2	b2	c2
	a3	b1	c3

$\pi_{A,B}$	A	B
	a1	b1
	a2	b2
	a3	b1

$\pi_{B,C}$	B	C
	b1	c1
	b2	c2
	b1	c3

- Old tables should be derivable from the newer ones through the natural join operation

$A,B(R) \bowtie B,C(R)$	A	B	C
	a1	b1	c1
	a2	b2	c2
	a3	b1	c3
	a1	b1	c3
	a3	b1	c1

- Wrong!
- $R_1, R_2$  is a lossless join decomposition of R iff the attributes common to  $R_1$  and  $R_2$  contain a key for at least one of the involved relations

R	A	B	C
	a1	b1	c1
	a2	b2	c2
	a3	b1	c1

$A,B$	A	B
	a1	b1
	a2	b2
	a3	b1

$B,C$	B	C
	b1	c1
	b2	c2

- $A,B(R) \bowtie B,C(R) = B$

The decomposition is **lossless iff**:

- $A_1 \sqsubseteq A_2 \sqsubseteq A_1 \setminus A_2$  is in  $F^+$ , or



- $A_1 \sqsubseteq A_2 \sqsubseteq A_2 \setminus A_1$  is in  $F^+$

However, sometimes there is the requirement to decompose a relation into more than two relations. Although rare, these cases are managed by join dependency and 5NF.

### 7.3 Multivalued Dependencies and Fourth Normal Form (4NF)

4NF associated with a dependency called **multi-valued dependency** (MVD). MVDs in a relation are due to first normal form (1NF), which disallows an attribute in a row from having a set of values.

MVD represents a dependency between attributes (for example, A, B, and C) in a relation, such that for each value of A there is a set of values for B, and a set of values for C. However, the set of values for B and C are independent of each other.

MVD between attributes A, B, and C in a relation using the following notation

$A \twoheadrightarrow B$  (A multidetermines B)

$A \twoheadrightarrow C$

Formal Definition of Multivalued Dependency

A **multivalued dependency** (MVD)  $X \twoheadrightarrow Y$  specified on R, where X, and Y are both subsets of R and  $Z = (R - (X \cup Y))$  specifies the following restrictions on  $r(R)$

$$t_3[X] = t_4[X] = t_1[X] = t_2[X]$$

$$t_3[Y] = t_1[Y] \text{ and } t_4[Y] = t_2[Y]$$

$$t_3[Z] = t_2[Z] \text{ and } t_4[Z] = t_1[Z]$$

#### 7.3.1 Fourth Normal Form (4NF)

A relation that is in Boyce-Codd Normal Form and contains no MVDs. BCNF to 4NF involves the removal of the MVD from the relation by placing the attribute(s) in a new relation along with a copy of the determinant(s).

A Relation is in 4NF if it is in 3NF and there is no multivalued dependencies.

(a) EMP

ENAME	PNAME	DNAME
Smith	X	John
Smith	Y	Anna
Smith	X	Anna
Smith	Y	John

(b) EMP\_PROJECTS      EMP\_DEPENDENTS

ENAME	PNAME
Smith	X
Smith	Y

ENAME	DNAME
Smith	John
Smith	Anna

(c) SUPPLY

SNAME	PARTNAME	PROJNAME
Smith	Bolt	ProjX
Smith	Nut	ProjY
Adamsky	Bolt	ProjY
Walton	Nut	ProjZ
Adamsky	Null	ProjX
Adamsky	Bolt	ProjX
Smith	Bolt	ProjY

(d) R1      R2      R3

SNAME	PARTNAME
Smith	Bolt
Smith	Nut
Adamsky	Bolt
Walton	Nut
Adamsky	Null

SNAME	PROJNAME
Smith	ProjX
Smith	ProjY
Adamsky	ProjY
Walton	ProjZ
Adamsky	ProjX

PARTNAME	PROJNAME
Bolt	ProjX
Nut	ProjY
Bolt	ProjY
Nut	ProjZ
Null	ProjX

**Figure 15.4** Fourth and fifth normal form. (a) The EMP relation with two MVDS: ENAME  $\rightarrow$  PNAME and ENAME  $\rightarrow$  DNAME. (b) Decomposing EMP into two relations in 4NF. (c) The relation SUPPLY with no MVDS satisfies 4NF but does not satisfy 5NF if the JD(R1, R2, R3) holds. (d) Decomposing SUPPLY into three 5NF relations.

## 7.4 Join Dependencies and 5 NF

A **join dependency (JD)**, denoted by  $JD\{R_1, R_2, \dots, R_n\}$ , specified on relation schema  $R$ , specifies a constraint on the states  $r$  of  $R$ . The constraint states that every legal state  $r$  of  $R$  should have a lossless join decomposition into  $R_1, R_2, \dots, R_n$ ; that is, for every such  $r$  we have

$$* (\pi_{R_1}(r), (\pi_{R_2}(r), \dots (\pi_{R_n}(r)) = r$$

Lossless-join property refers to when we decompose a relation into two relations - we can rejoin the resulting relations to produce the original relation. However, sometimes there is the requirement to decompose a relation into more than two relations. Although rare, these cases are managed by join dependency and 5NF.

## 5NF (or project-join normal form (PJNF))

A relation that has no join dependency.

## 7.5 Other dependencies:

### 7.5.1 Template Dependencies

The idea behind template dependencies is to specify a template—or example—that defines each constraint or dependency. There are two types of templates: tuple-generating templates and constraint-generating templates. A template consists of a number of hypothesis tuples that are meant to show an example of the tuples that may appear in one or more relations. The other part of the template is the template conclusion. For tuple-generating templates, the conclusion is a set of tuples that must also exist in the relations if the hypothesis tuples are there. For constraint-generating templates, the template conclusion is a condition that must hold on the hypothesis tuples.

### 7.5.2 Domain Key Normal Form

The idea behind **domain-key normal form (DKNF)** is to specify (theoretically, at least) the "ultimate normal form" that takes into account all possible types of dependencies and constraints.

A relation is said to be in **DKNF** if all constraints and dependencies that should hold on the relation can be enforced simply by enforcing the domain constraints and key constraints on the relation.

However, because of the difficulty of including complex constraints in a DKNF relation, its practical utility is limited, since it may be quite difficult to specify general integrity constraints. For example, consider a relation CAR(MAKE, VIN#) (where VIN# is the vehicle identification number) and another relation MANUFACTURE(VIN#, COUNTRY) (where COUNTRY is the country of manufacture). A general constraint may be of the following form: "If the MAKE is either Toyota or Lexus, then the first character of the VIN# is a 'J' if the country of manufacture is Japan; if the MAKE is Honda or Acura, the second character of the VIN# is a 'J' if the country of manufacture is Japan." There is no simplified way to represent such constraints short of writing a procedure (or general assertions) to test them.

---

---

## UNIT 8

### Data base design 2

#### Transaction Processing Concepts

- 8.1 Introduction to Transaction Processing
  - 8.2 Transactions, Read and Write Operations
  - 8.3 Why Concurrency Control Is Needed
  - 8.4 Why Recovery Is Needed
  - 8.5 Transaction and System Concepts
  - 8.6 The System Log
  - 8.7 Desirable Properties of Transactions
  - 8.8 Schedules and Recoverability
  - 8.10 Characterizing Schedules Based on Recoverability
- 
-

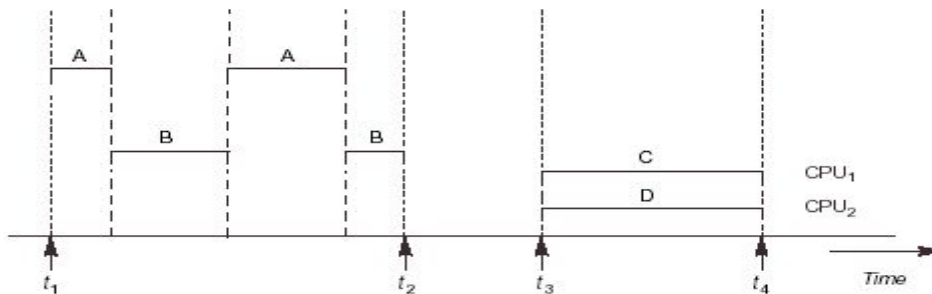
## UNIT 8 Transaction Processing Concepts

### 8.1 Introduction to Transaction Processing

#### Single-User Versus Multiuser Systems

- A DBMS is **single-user** if at most one user at a time can use the system, and it is **multiuser** if many users can use the system—and hence access the database—concurrently.
- Most DBMS are multiuser (e.g., airline reservation system).
- Multiprogramming operating systems allow the computer to execute multiple programs (or processes) at the same time (having one CPU, concurrent execution of processes is actually interleaved).
- If the computer has multiple hardware processors (CPUs), parallel processing of multiple processes is possible.

**Figure 19.1** Interleaved processing versus parallel processing of concurrent transactions.



### 8.2 Transactions, Read and Write Operations

- A transaction is a logical unit of database processing that includes one or more database access operations (e.g., insertion, deletion, modification, or retrieval operations). The database operations that form a transaction can either be embedded within an application program or they can be specified interactively via a high-level query language such as SQL. One way of specifying the transaction boundaries is by specifying explicit **begin transaction** and **end transaction** statements in an application program; in this case, all database access operations between the two are considered as forming one transaction. A single application program may contain more than one transaction if it contains several transaction boundaries. If the database operations in a transaction do not update the database but only retrieve data, the transaction is called a **read-only transaction**.
- Read-only transaction - do not changes the state of a database, only retrieves data.
- The basic database access operations that a transaction can include are as follows:

- `read_item(X)`: reads a database item `X` into a program variable `X`.
- `write_item(X)`: writes the value of program variable `X` into the database item named `X`.

Executing a `read_item(X)` command includes the following steps:

3. Find the address of the disk block that contains item `X`.
  4. Copy that disk block into a buffer in main memory (if that disk block is not already in some main memory buffer).
  5. Copy item `X` from the buffer to the program variable named `X`.

Executing a `write_item(X)` command includes the following steps:

6. Find the address of the disk block that contains item `X`.
  7. Copy that disk block into a buffer in main memory (if that disk block is not already in some main memory buffer).
  8. Copy item `X` from the program variable named `X` into its correct location in the buffer.
  9. Store the updated block from the buffer back to disk (either immediately or at some later point in time).

**Figure 19.2** Two sample transactions. (a) Transaction  $T_1$ .  
(b) Transaction  $T_2$ .

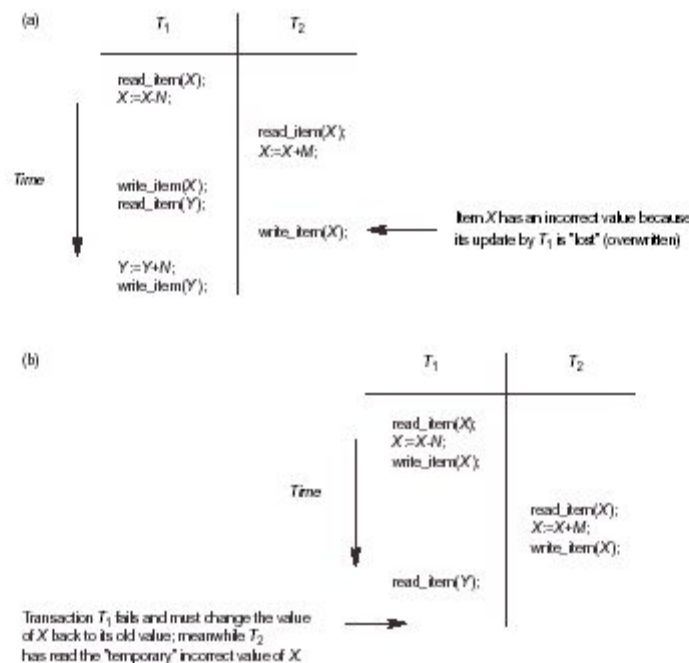
(a)	$T_1$	(b)	$T_2$
	<code>read_item (X);</code>		<code>read_item (X);</code>
	<code>X:=X-N;</code>		<code>X:=X+M;</code>
	<code>write_item (X);</code>		<code>write_item (X);</code>
	<code>read_item (Y);</code>		
	<code>Y:=Y+N;</code>		
	<code>write_item (Y);</code>		

### 8.3 Why Concurrency Control Is Needed

- The Lost Update Problem.

This problem occurs when two transactions that access the same database items have their operations interleaved in a way that makes the value of some database item incorrect. Suppose that transactions  $T_1$  and  $T_2$  are submitted at approximately the same time, and suppose that their operations are interleaved then the final value of item  $X$  is incorrect, because  $T_2$  reads the value of  $X$  before  $T_1$  changes it in the database, and hence the updated value resulting from  $T_1$  is lost. For example, if  $X = 80$  at the start (originally there were 80 reservations on the flight),  $N = 5$  ( $T_1$  transfers 5 seat reservations from the flight corresponding to  $X$  to the flight corresponding to  $Y$ ), and  $M = 4$  ( $T_2$  reserves 4 seats on  $X$ ), the final result should be  $X = 79$ ; but in the interleaving of operations, it is  $X = 84$  because the update in  $T_1$  that removed the five seats from  $X$  was lost.

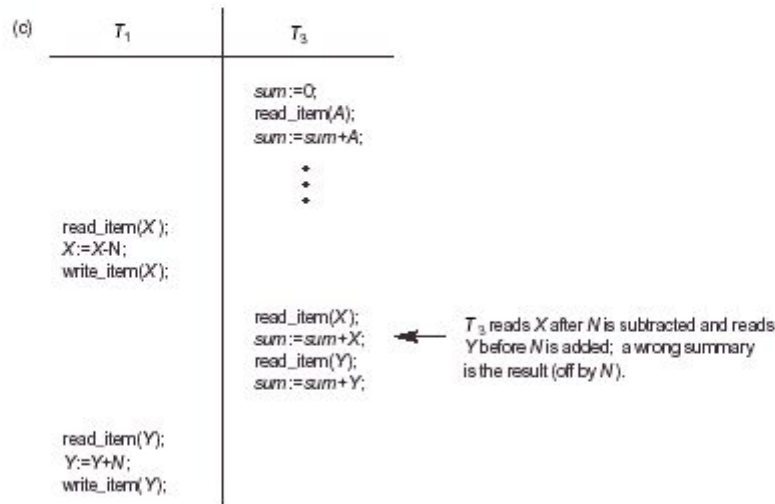
**Figure 19.3** Some problems that occur when concurrent execution is uncontrolled. (a) The lost update problem. (b) The temporary update problem.



- **The Temporary Update (or Dirty Read) Problem.**

This problem occurs when one transaction updates a database item and then the transaction fails for some reason. The updated item is accessed by another transaction before it is changed back to its original value. Figure 19.03(b) shows an example where  $T_1$  updates item  $X$  and then fails before completion, so the system must change  $X$  back to its original value. Before it can do so, however, transaction  $T_2$  reads the "temporary" value of  $X$ , which will not be recorded permanently in the database because of the failure of  $T_1$ . The value of item  $X$  that is read by  $T_2$  is called dirty data, because it has been created by a transaction that has not completed and committed yet; hence, this problem is also known as the dirty read problem.

**Figure 19.3** Some problems that occur when concurrent execution is uncontrolled. (c) The incorrect summary problem.



- **The Incorrect Summary Problem.**

If one transaction is calculating an aggregate summary function on a number of records while other transactions are updating some of these records, the aggregate function may calculate some values before they are updated and others after they are updated. For example, suppose that a transaction  $T_3$  is calculating the total number of reservations on all the flights; meanwhile, transaction  $T_1$  is executing. If the interleaving of operations shown in Figure 19.03(c) occurs, the result of  $T_3$  will be off by an amount  $N$  because  $T_3$  reads the value of  $X$  after  $N$  seats have been subtracted from it but reads the value of  $Y$  before those  $N$  seats have been added to it.

Another problem that may occur is called **unrepeatable read**, where a transaction  $T$  reads an item twice and the item is changed by another transaction  $T'$  between the two reads. Hence,  $T$  receives different values for its two reads of the same item. This may occur, for example, if during an airline reservation transaction, a customer is inquiring about seat availability on several flights. When the customer decides on a particular flight, the transaction then reads the number of seats on that flight a second time before completing the reservation.

## 8.4 Why Recovery Is Needed

Whenever a transaction is submitted to a DBMS for execution, the system is responsible for making sure that either (1) all the operations in the transaction are completed



successfully and their effect is recorded permanently in the database, or (2) the transaction has no effect whatsoever on the database or on any other transactions. The DBMS must not permit some operations of a transaction T to be applied to the database while other operations of T are not. This may happen if a transaction **fails** after executing some of its operations but before executing all of them.

### Types of Failures

Failures are generally classified as transaction, system, and media failures. There are several possible reasons for a transaction to fail in the middle of execution:

1. A computer failure (system crash): A hardware, software, or network error occurs in the computer system during transaction execution. Hardware crashes are usually media failures—for example, main memory failure.
2. A transaction or system error: Some operation in the transaction may cause it to fail, such as integer overflow or division by zero. Transaction failure may also occur because of erroneous parameter values or because of a logical programming error. In addition, the user may interrupt the transaction during its execution.
3. Local errors or exception conditions detected by the transaction: During transaction execution, certain conditions may occur that necessitate cancellation of the transaction. For example, data for the transaction may not be found. Notice that an exception condition, such as insufficient account balance in a banking database, may cause a transaction, such as a fund withdrawal, to be canceled. This exception should be programmed in the transaction itself, and hence would not be considered a failure.
4. Concurrency control enforcement: The concurrency control method (see Chapter 20) may decide to abort the transaction, to be restarted later, because it violates serializability (see Section 19.5) or because several transactions are in a state of deadlock.
5. Disk failure: Some disk blocks may lose their data because of a read or write malfunction or because of a disk read/write head crash. This may happen during a read or a write operation of the transaction.
6. Physical problems and catastrophes: This refers to an endless list of problems that includes power or air-conditioning failure, fire, theft, sabotage, overwriting disks or tapes by mistake, and mounting of a wrong tape by the operator.

Failures of types 1, 2, 3, and 4 are more common than those of types 5 or 6. Whenever a failure of type 1 through 4 occurs, the system must keep sufficient information to recover from the failure. Disk failure or other catastrophic failures of type 5 or 6 do not happen frequently; if they do occur, recovery is a major task.

The concept of transaction is fundamental to many techniques for concurrency control and recovery from failures.

## 8.5 Transaction and System Concepts

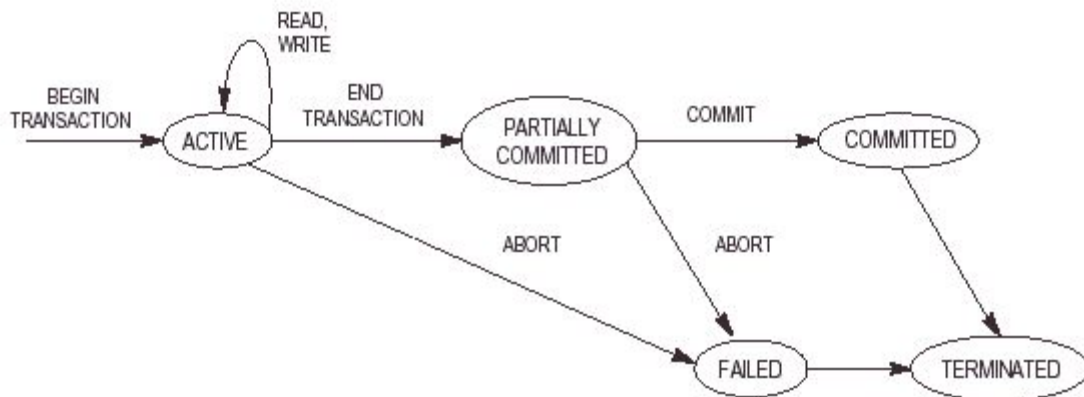
### Transaction States and Additional Operations

A transaction is an atomic unit of work that is either completed in its entirety or not done at all. For recovery purposes, the system needs to keep track of when the transaction starts, terminates, and commits or aborts (see below). Hence, the recovery manager keeps track of the following operations:

- BEGIN\_TRANSACTION: This marks the beginning of transaction execution.
- READ or WRITE: These specify read or write operations on the database items that are executed as part of a transaction.
- END\_TRANSACTION: This specifies that READ and WRITE transaction operations have ended and marks the end of transaction execution. However, at this point it may be necessary to check whether the changes introduced by the transaction can be permanently applied to the database (committed) or whether the transaction has to be aborted because it violates serializability (see Section 19.5) or for some other reason.
- COMMIT\_TRANSACTION: This signals a successful end of the transaction so that any changes (updates) executed by the transaction can be safely **committed** to the database and will not be undone.
- ROLLBACK (or ABORT): This signals that the transaction has ended unsuccessfully, so that any changes or effects that the transaction may have applied to the database must be undone.

Figure 19.04 shows a state transition diagram that describes how a transaction moves through its execution states. A transaction goes into an **active state** immediately after it starts execution, where it can issue READ and WRITE operations. When the transaction ends, it moves to the **partially committed state**. At this point, some recovery protocols need to ensure that a system failure will not result in an inability to record the changes of the transaction permanently (usually by recording changes in the system log ). Once this check is successful, the transaction is said to have reached its commit point and enters the **committed state**. Once a transaction is committed, it has concluded its execution successfully and all its changes must be recorded permanently in the database.

**Figure 19.4** State transition diagram illustrating the states for transaction execution.



## 8.6 The System Log

- To be able to recover from failures that affect transactions, the system maintains a log to keep track of all transactions that affect the values of database items.
- Log records consists of the following information (T refers to a unique transaction\_id):
  - [start\_transaction, T]: Indicates that transaction T has started execution.
  - [write\_item, T,X,old\_value,new\_value]: Indicates that transaction T has changed the value of database item X from old\_value to new\_value.
  - [read\_item, T,X]: Indicates that transaction T has read the value of database item X.
  - [commit,T]: Indicates that transaction T has completed successfully, and affirms that its effect can be committed (recorded permanently) to the database.
  - [abort,T]: Indicates that transaction T has been aborted.

## 8.7 Desirable Properties of Transactions

Transactions should possess the following (ACID) properties:

Transactions should possess several properties. These are often called the **ACID properties**, and they should be enforced by the concurrency control and recovery methods of the DBMS. The following are the ACID properties:

- Atomicity:** A transaction is an atomic unit of processing; it is either performed in its entirety or not performed at all.

2. **Consistency preservation:** A transaction is consistency preserving if its complete execution take(s) the database from one consistent state to another.
3. **Isolation:** A transaction should appear as though it is being executed in isolation from other transactions. That is, the execution of a transaction should not be interfered with by any other transactions executing concurrently.
4. **Durability or permanency:** The changes applied to the database by a committed transaction must persist in the database. These changes must not be lost because of any failure.

The atomicity property requires that we execute a transaction to completion. It is the responsibility of the transaction recovery subsystem of a DBMS to ensure atomicity. If a transaction fails to complete for some reason, such as a system crash in the midst of transaction execution, the recovery technique must undo any effects of the transaction on the database.

### 8.8 Schedules and Recoverability

A **schedule** (or **history**)  $S$  of  $n$  transactions  $T_1, T_2, \dots, T_n$  is an ordering of the operations of the transactions subject to the constraint that, for each transaction  $T_i$  that participates in  $S$ , the operations of  $T_i$  in  $S$  must appear in the same order in which they occur in  $T_i$ . Note, however, that operations from other transactions  $T_j$  can be interleaved with the operations of  $T_i$  in  $S$ . For now, consider the order of operations in  $S$  to be a total ordering, although it is possible theoretically to deal with schedules whose operations form partial orders.

$$S_a: r_1(X); r_2(X); w_1(X); r_1(Y); w_2(X); w_1(Y);$$

Similarly, the schedule for Figure 19.03(b), which we call  $S_b$ , can be written as follows, if we assume that transaction  $T_1$  aborted after its `read_item(Y)` operation:

$$S_b: r_1(X); w_1(X); r_2(X); w_2(X); r_1(Y); a_1;$$

Two operations in a schedule are said to **conflict** if they satisfy all three of the following conditions:

1. they belong to different transactions;
2. they access the same item  $X$ ; and
3. at least one of the operations is a `write_item(X)`.

For example, in schedule  $S_a$ , the operations  $r_1(X)$  and  $w_2(X)$  conflict, as do the operations  $r_2(X)$  and  $w_1(X)$ , and the operations  $w_1(X)$  and  $w_2(X)$ . However, the operations  $r_1(X)$  and  $r_2(X)$  do not conflict, since they are both read operations; the operations  $w_2(X)$  and  $w_1(Y)$  do not conflict, because they operate on distinct data items  $X$  and  $Y$ ; and the operations  $r_1(X)$  and  $w_1(X)$  do not conflict, because they belong to the same transaction.

A schedule  $S$  of  $n$  transactions  $T_1, T_2, \dots, T_n$ , is said to be a **complete schedule** if the following conditions hold:

1. The operations in  $S$  are exactly those operations in  $T_1, T_2, \dots, T_n$ , including a commit or abort operation as the last operation for each transaction in the schedule.
2. For any pair of operations from the same transaction  $T_i$ , their order of appearance in  $S$  is the same as their order of appearance in  $T_i$ .
3. For any two conflicting operations, one of the two must occur before the other in the schedule.

### 8.10 Characterizing Schedules Based on Recoverability

once a transaction  $T$  is committed, it should never be necessary to roll back  $T$ . The schedules that theoretically meet this criterion are called recoverable schedules and those that do not are called **nonrecoverable**, and hence should not be permitted.

A schedule  $S$  is recoverable if no transaction  $T$  in  $S$  commits until all transactions  $T'$  that have written an item that  $T$  reads have committed. A transaction  $T$  **reads** from transaction  $T'$  in a schedule  $S$  if some item  $X$  is first written by  $T'$  and later read by  $T$ . In addition,  $T'$  should not have been aborted before  $T$  reads item  $X$ , and there should be no transactions that write  $X$  after  $T'$  writes it and before  $T$  reads it (unless those transactions, if any, have aborted before  $T$  reads  $X$ ).

Consider the schedule  $S'_a$  given below, which is the same as schedule  $S_a$  except that two commit operations have been added to  $S_a$ :

$$S'_a: r_1(X); r_2(X); w_1(X); r_1(Y); w_2(X); c_2; w_1(Y); c_1;$$

$S'_a$  is recoverable, even though it suffers from the lost update problem. However, consider the two (partial) schedules  $S_c$  and  $S_d$  that follow:

$$S_c: r_1(X); w_1(X); r_2(X); r_1(Y); w_2(X); c_2; a_1;$$

$$S_d: r_1(X); w_1(X); r_2(X); r_1(Y); w_2(X); w_1(Y); c_1; c_2;$$

$$S_e: r_1(X); w_1(X); r_2(X); r_1(Y); w_2(X); w_1(Y); a_1; a_2;$$

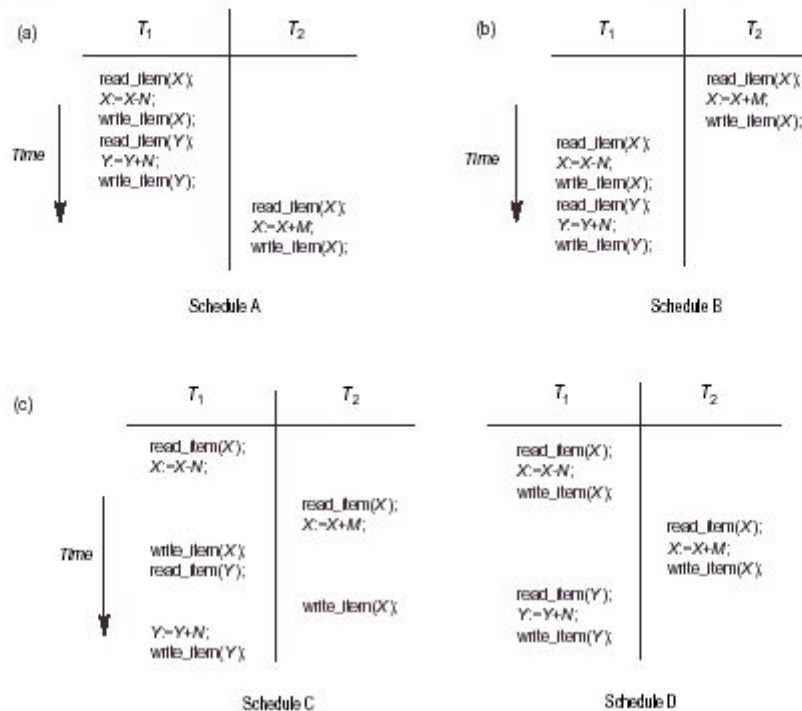
$S_c$  is not recoverable, because T2 reads item X from T1, and then T2 commits before T1 commits. If T1 aborts after the c2 operation in  $S_c$ , then the value of X that T2 read is no longer valid and T2 must be aborted after it had been committed, leading to a schedule that is not recoverable. For the schedule to be recoverable, the c2 operation in  $S_c$  must be postponed until after T1 commits. If T1 aborts instead of committing, then T2 should also abort as shown in  $S_e$ , because the value of X it read is no longer valid.

In a recoverable schedule, no committed transaction ever needs to be rolled back. However, it is possible for a phenomenon known as **cascading rollback** (or **cascading abort**) to occur, where an uncommitted transaction has to be rolled back because it read an item from a transaction that failed.

### Serializability of Schedules

- If no interleaving of operations is permitted, there are only two possible arrangement for transactions T1 and T2.
  1. Execute all the operations of T1 (in sequence) followed by all the operations of T2 (in sequence).
  2. Execute all the operations of T2 (in sequence) followed by all the operations of T1
- A schedule S is serial if, for every transaction T all the operations of T are executed consecutively in the schedule.
- A schedule S of n transactions is serializable if it is equivalent to some serial schedule of the same n transactions.

**Figure 19.5** Examples of serial and nonserial schedules involving transactions  $T_1$  and  $T_2$ . (a) Serial schedule A:  $T_1$  followed by  $T_2$ . (b) Serial schedule B:  $T_2$  followed by  $T_1$ . (c) Two nonserial schedules C and D with interleaving of operations.



## 8.11 Transaction Support in SQL

- An SQL transaction is a logical unit of work (i.e., a single SQL statement).
- The access mode can be specified as READ ONLY or READ WRITE. The default is READ WRITE, which allows update, insert, delete, and create commands to be executed.
- The diagnostic area size option specifies an integer value  $n$ , indicating the number of conditions that can be held simultaneously in the diagnostic area.
- The isolation level option is specified using the statement ISOLATION LEVEL.
- the default isolation level is SERIALIZABLE.

A sample SQL transaction might look like the following:

```
EXEC SQL WHENEVER SQLERROR GOTO UNDO;
EXEC SQL SET TRANSACTION
  READ WRITE
  DIAGNOSTICS SIZE 5
  ISOLATION LEVEL SERIALIZABLE;
```

```
EXEC SQL INSERT INTO EMPLOYEE (FNAME, LNAME, SSN, DNO, SALARY)
  VALUES ('Jabbar', 'Ahmad', '998877665', 2, 44000);
EXEC SQL UPDATE EMPLOYEE
  SET SALARY = SALARY * 1.1 WHERE DNO = 2;
EXEC SQL COMMIT;
```

```
GOTO THE_END;  
UNDO: EXEC SQL ROLLBACK;  
THE_END: ...;
```