

**STUDENT**

Name	Student_number	Class	Major
Smith	17	1	CS
Brown	8	2	CS

**COURSE**

Course_name	Course_number	Credit_hours	Department
Intro to Computer Science	CS1310	4	CS
Data Structures	CS3320	4	CS
Discrete Mathematics	MATH2410	3	MATH
Database	CS3380	3	CS

**SECTION**

Section_identifier	Course_number	Semester	Year	Instructor
85	MATH2410	Fall	07	King
92	CS1310	Fall	07	Anderson
102	CS3320	Spring	08	Knuth
112	MATH2410	Fall	08	Chang
119	CS1310	Fall	08	Anderson
135	CS3380	Fall	08	Stone

**GRADE\_REPORT**

Student_number	Section_identifier	Grade
17	112	B
17	119	C
8	85	A
8	92	A
8	102	B
8	135	A

**PREREQUISITE**

Course_number	Prerequisite_number
CS3380	CS3320
CS3380	MATH2410
CS3320	CS1310

**Figure 1.2**

A database that stores student and course information.

Database *manipulation* involves querying and updating. Examples of queries are as follows:

- Retrieve the transcript—a list of all courses and grades—of ‘Smith’
- List the names of students who took the section of the ‘Database’ course offered in fall 2008 and their grades in that section
- List the prerequisites of the ‘Database’ course

Examples of updates include the following:

- Change the class of ‘Smith’ to sophomore
- Create a new section for the ‘Database’ course for this semester
- Enter a grade of ‘A’ for ‘Smith’ in the ‘Database’ section of last semester

These informal queries and updates must be specified precisely in the query language of the DBMS before they can be processed.

At this stage, it is useful to describe the database as a part of a larger undertaking known as an information system within any organization. The Information Technology (IT) department within a company designs and maintains an information system consisting of various computers, storage systems, application software, and databases. Design of a new application for an existing database or design of a brand new database starts off with a phase called **requirements specification and analysis**. These requirements are documented in detail and transformed into a **conceptual design** that can be represented and manipulated using some computerized tools so that it can be easily maintained, modified, and transformed into a database implementation. (We will introduce a model called the Entity-Relationship model in Chapter 7 that is used for this purpose.) The design is then translated to a **logical design** that can be expressed in a data model implemented in a commercial DBMS. (In this book we will emphasize a data model known as the Relational Data Model from Chapter 3 onward. This is currently the most popular approach for designing and implementing databases using relational DBMSs.) The final stage is **physical design**, during which further specifications are provided for storing and accessing the database. The database design is implemented, populated with actual data, and continuously maintained to reflect the state of the miniworld.

## 1.3 Characteristics of the Database Approach

A number of characteristics distinguish the database approach from the much older approach of programming with files. In traditional **file processing**, each user defines and implements the files needed for a specific software application as part of programming the application. For example, one user, the *grade reporting office*, may keep files on students and their grades. Programs to print a student’s transcript and to enter new grades are implemented as part of the application. A second user, the *accounting office*, may keep track of students’ fees and their payments. Although both users are interested in data about students, each user maintains separate files—and programs to manipulate these files—because each requires some data not avail-

able from the other user's files. This redundancy in defining and storing data results in wasted storage space and in redundant efforts to maintain common up-to-date data.

In the database approach, a single repository maintains data that is defined once and then accessed by various users. In file systems, each application is free to name data elements independently. In contrast, in a database, the names or labels of data are defined once, and used repeatedly by queries, transactions, and applications. The main characteristics of the database approach versus the file-processing approach are the following:

- Self-describing nature of a database system
- Insulation between programs and data, and data abstraction
- Support of multiple views of the data
- Sharing of data and multiuser transaction processing

We describe each of these characteristics in a separate section. We will discuss additional characteristics of database systems in Sections 1.6 through 1.8.

### 1.3.1 Self-Describing Nature of a Database System

A fundamental characteristic of the database approach is that the database system contains not only the database itself but also a complete definition or description of the database structure and constraints. This definition is stored in the DBMS catalog, which contains information such as the structure of each file, the type and storage format of each data item, and various constraints on the data. The information stored in the catalog is called **meta-data**, and it describes the structure of the primary database (Figure 1.1).

The catalog is used by the DBMS software and also by database users who need information about the database structure. A general-purpose DBMS software package is not written for a specific database application. Therefore, it must refer to the catalog to know the structure of the files in a specific database, such as the type and format of data it will access. The DBMS software must work equally well with *any number of database applications*—for example, a university database, a banking database, or a company database—as long as the database definition is stored in the catalog.

In traditional file processing, data definition is typically part of the application programs themselves. Hence, these programs are constrained to work with only *one specific database*, whose structure is declared in the application programs. For example, an application program written in C++ may have struct or class declarations, and a COBOL program has data division statements to define its files. Whereas file-processing software can access only specific databases, DBMS software can access diverse databases by extracting the database definitions from the catalog and using these definitions.

For the example shown in Figure 1.2, the DBMS catalog will store the definitions of all the files shown. Figure 1.3 shows some sample entries in a database catalog.

These definitions are specified by the database designer prior to creating the actual database and are stored in the catalog. Whenever a request is made to access, say, the Name of a STUDENT record, the DBMS software refers to the catalog to determine the structure of the STUDENT file and the position and size of the Name data item within a STUDENT record. By contrast, in a typical file-processing application, the file structure and, in the extreme case, the exact location of Name within a STUDENT record are already coded within each program that accesses this data item.

### 1.3.2 Insulation between Programs and Data, and Data Abstraction

In traditional file processing, the structure of data files is embedded in the application programs, so any changes to the structure of a file may require *changing all programs* that access that file. By contrast, DBMS access programs do not require such changes in most cases. The structure of data files is stored in the DBMS catalog separately from the access programs. We call this property **program-data independence**.

#### RELATIONS

Relation_name	No_of_columns
STUDENT	4
COURSE	4
SECTION	5
GRADE_REPORT	3
PREREQUISITE	2

**Figure 1.3**

An example of a database catalog for the database in Figure 1.2.

#### COLUMNS

Column_name	Data_type	Belongs_to_relation
Name	Character (30)	STUDENT
Student_number	Character (4)	STUDENT
Class	Integer (1)	STUDENT
Major	Major_type	STUDENT
Course_name	Character (10)	COURSE
Course_number	XXXXNNNN	COURSE
....	....	....
....	....	....
....	....	....
Prerequisite_number	XXXXNNNN	PREREQUISITE

*Note:* Major\_type is defined as an enumerated type with all known majors. XXXXNNNN is used to define a type with four alpha characters followed by four digits.

For example, a file access program may be written in such a way that it can access only STUDENT records of the structure shown in Figure 1.4. If we want to add another piece of data to each STUDENT record, say the *Birth\_date*, such a program will no longer work and must be changed. By contrast, in a DBMS environment, we only need to change the description of STUDENT records in the catalog (Figure 1.3) to reflect the inclusion of the new data item *Birth\_date*; no programs are changed. The next time a DBMS program refers to the catalog, the new structure of STUDENT records will be accessed and used.

In some types of database systems, such as object-oriented and object-relational systems (see Chapter 11), users can define operations on data as part of the database definitions. An **operation** (also called a *function* or *method*) is specified in two parts. The *interface* (or *signature*) of an operation includes the operation name and the data types of its arguments (or parameters). The *implementation* (or *method*) of the operation is specified separately and can be changed without affecting the interface. User application programs can operate on the data by invoking these operations through their names and arguments, regardless of how the operations are implemented. This may be termed **program-operation independence**.

The characteristic that allows program-data independence and program-operation independence is called **data abstraction**. A DBMS provides users with a **conceptual representation** of data that does not include many of the details of how the data is stored or how the operations are implemented. Informally, a **data model** is a type of data abstraction that is used to provide this conceptual representation. The data model uses logical concepts, such as objects, their properties, and their interrelationships, that may be easier for most users to understand than computer storage concepts. Hence, the data model *hides* storage and implementation details that are not of interest to most database users.

For example, reconsider Figures 1.2 and 1.3. The internal implementation of a file may be defined by its record length—the number of characters (bytes) in each record—and each data item may be specified by its starting byte within a record and its length in bytes. The STUDENT record would thus be represented as shown in Figure 1.4. But a typical database user is not concerned with the location of each data item within a record or its length; rather, the user is concerned that when a reference is made to Name of STUDENT, the correct value is returned. A conceptual representation of the STUDENT records is shown in Figure 1.2. Many other details of file storage organization—such as the access paths specified on a file—can be hidden from database users by the DBMS; we discuss storage details in Chapters 17 and 18.

Data Item Name	Starting Position in Record	Length in Characters (bytes)
Name	1	30
Student_number	31	4
Class	35	1
Major	36	4

**Figure 1.4**

Internal storage format for a STUDENT record, based on the database catalog in Figure 1.3.

In the database approach, the detailed structure and organization of each file are stored in the catalog. Database users and application programs refer to the conceptual representation of the files, and the DBMS extracts the details of file storage from the catalog when these are needed by the DBMS file access modules. Many data models can be used to provide this data abstraction to database users. A major part of this book is devoted to presenting various data models and the concepts they use to abstract the representation of data.

In object-oriented and object-relational databases, the abstraction process includes not only the data structure but also the operations on the data. These operations provide an abstraction of miniworld activities commonly understood by the users. For example, an operation `CALCULATE_GPA` can be applied to a `STUDENT` object to calculate the grade point average. Such operations can be invoked by the user queries or application programs without having to know the details of how the operations are implemented. In that sense, an abstraction of the miniworld activity is made available to the user as an **abstract operation**.

### 1.3.3 Support of Multiple Views of the Data

A database typically has many users, each of whom may require a different perspective or **view** of the database. A view may be a subset of the database or it may contain **virtual data** that is derived from the database files but is not explicitly stored. Some users may not need to be aware of whether the data they refer to is stored or derived. A multiuser DBMS whose users have a variety of distinct applications must provide facilities for defining multiple views. For example, one user of the database of Figure 1.2 may be interested only in accessing and printing the transcript of each student; the view for this user is shown in Figure 1.5(a). A second user, who is interested only in checking that students have taken all the prerequisites of each course for which they register, may require the view shown in Figure 1.5(b).

### 1.3.4 Sharing of Data and Multiuser Transaction Processing

A multiuser DBMS, as its name implies, must allow multiple users to access the database at the same time. This is essential if data for multiple applications is to be integrated and maintained in a single database. The DBMS must include **concurrency control** software to ensure that several users trying to update the same data do so in a controlled manner so that the result of the updates is correct. For example, when several reservation agents try to assign a seat on an airline flight, the DBMS should ensure that each seat can be accessed by only one agent at a time for assignment to a passenger. These types of applications are generally called **online transaction processing (OLTP)** applications. A fundamental role of multiuser DBMS software is to ensure that concurrent transactions operate correctly and efficiently.

The concept of a **transaction** has become central to many database applications. A transaction is an *executing program* or *process* that includes one or more database accesses, such as reading or updating of database records. Each transaction is supposed to execute a logically correct database access if executed in its entirety without interference from other transactions. The DBMS must enforce several transaction

**TRANSCRIPT**

Student_name	Student_transcript				
	Course_number	Grade	Semester	Year	Section_id
Smith	CS1310	C	Fall	08	119
	MATH2410	B	Fall	08	112
Brown	MATH2410	A	Fall	07	85
	CS1310	A	Fall	07	92
	CS3320	B	Spring	08	102
	CS3380	A	Fall	08	135

(a)

**COURSE\_PREREQUISITES**

Course_name	Course_number	Prerequisites
Database	CS3380	CS3320
		MATH2410
Data Structures	CS3320	CS1310

(b)

**Figure 1.5**

Two views derived from the database in Figure 1.2. (a) The TRANSCRIPT view.  
 (b) The COURSE\_PREREQUISITES view.

properties. The **isolation** property ensures that each transaction appears to execute in isolation from other transactions, even though hundreds of transactions may be executing concurrently. The **atomicity** property ensures that either all the database operations in a transaction are executed or none are. We discuss transactions in detail in Part 9.

The preceding characteristics are important in distinguishing a DBMS from traditional file-processing software. In Section 1.6 we discuss additional features that characterize a DBMS. First, however, we categorize the different types of people who work in a database system environment.

## 1.4 Actors on the Scene

For a small personal database, such as the list of addresses discussed in Section 1.1, one person typically defines, constructs, and manipulates the database, and there is no sharing. However, in large organizations, many people are involved in the design, use, and maintenance of a large database with hundreds of users. In this section we identify the people whose jobs involve the day-to-day use of a large database; we call them the *actors on the scene*. In Section 1.5 we consider people who may be called *workers behind the scene*—those who work to maintain the database system environment but who are not actively interested in the database contents as part of their daily job.

### 1.4.1 Database Administrators

In any organization where many people use the same resources, there is a need for a chief administrator to oversee and manage these resources. In a database environment, the primary resource is the database itself, and the secondary resource is the DBMS and related software. Administering these resources is the responsibility of the **database administrator (DBA)**. The DBA is responsible for authorizing access to the database, coordinating and monitoring its use, and acquiring software and hardware resources as needed. The DBA is accountable for problems such as security breaches and poor system response time. In large organizations, the DBA is assisted by a staff that carries out these functions.

### 1.4.2 Database Designers

**Database designers** are responsible for identifying the data to be stored in the database and for choosing appropriate structures to represent and store this data. These tasks are mostly undertaken before the database is actually implemented and populated with data. It is the responsibility of database designers to communicate with all prospective database users in order to understand their requirements and to create a design that meets these requirements. In many cases, the designers are on the staff of the DBA and may be assigned other staff responsibilities after the database design is completed. Database designers typically interact with each potential group of users and develop **views** of the database that meet the data and processing requirements of these groups. Each view is then analyzed and *integrated* with the views of other user groups. The final database design must be capable of supporting the requirements of all user groups.

### 1.4.3 End Users

**End users** are the people whose jobs require access to the database for querying, updating, and generating reports; the database primarily exists for their use. There are several categories of end users:

- **Casual end users** occasionally access the database, but they may need different information each time. They use a sophisticated database query language to specify their requests and are typically middle- or high-level managers or other occasional browsers.
- **Naive or parametric end users** make up a sizable portion of database end users. Their main job function revolves around constantly querying and updating the database, using standard types of queries and updates—called **canned transactions**—that have been carefully programmed and tested. The tasks that such users perform are varied:
  - Bank tellers check account balances and post withdrawals and deposits.
  - Reservation agents for airlines, hotels, and car rental companies check availability for a given request and make reservations.



- Employees at receiving stations for shipping companies enter package identifications via bar codes and descriptive information through buttons to update a central database of received and in-transit packages.
- **Sophisticated end users** include engineers, scientists, business analysts, and others who thoroughly familiarize themselves with the facilities of the DBMS in order to implement their own applications to meet their complex requirements.
- **Standalone users** maintain personal databases by using ready-made program packages that provide easy-to-use menu-based or graphics-based interfaces. An example is the user of a tax package that stores a variety of personal financial data for tax purposes.

A typical DBMS provides multiple facilities to access a database. Naive end users need to learn very little about the facilities provided by the DBMS; they simply have to understand the user interfaces of the standard transactions designed and implemented for their use. Casual users learn only a few facilities that they may use repeatedly. Sophisticated users try to learn most of the DBMS facilities in order to achieve their complex requirements. Standalone users typically become very proficient in using a specific software package.

#### 1.4.4 System Analysts and Application Programmers (Software Engineers)

**System analysts** determine the requirements of end users, especially naive and parametric end users, and develop specifications for standard canned transactions that meet these requirements. **Application programmers** implement these specifications as programs; then they test, debug, document, and maintain these canned transactions. Such analysts and programmers—commonly referred to as **software developers** or **software engineers**—should be familiar with the full range of capabilities provided by the DBMS to accomplish their tasks.

### 1.5 Workers behind the Scene

In addition to those who design, use, and administer a database, others are associated with the design, development, and operation of the DBMS *software and system environment*. These persons are typically not interested in the database content itself. We call them the *workers behind the scene*, and they include the following categories:

- **DBMS system designers and implementers** design and implement the DBMS modules and interfaces as a software package. A DBMS is a very complex software system that consists of many components, or **modules**, including modules for implementing the catalog, query language processing, interface processing, accessing and buffering data, controlling concurrency, and handling data recovery and security. The DBMS must interface with other system software such as the operating system and compilers for various programming languages.

- **Tool developers** design and implement **tools**—the software packages that facilitate database modeling and design, database system design, and improved performance. Tools are optional packages that are often purchased separately. They include packages for database design, performance monitoring, natural language or graphical interfaces, prototyping, simulation, and test data generation. In many cases, independent software vendors develop and market these tools.
- **Operators and maintenance personnel** (system administration personnel) are responsible for the actual running and maintenance of the hardware and software environment for the database system.

Although these categories of workers behind the scene are instrumental in making the database system available to end users, they typically do not use the database contents for their own purposes.

## 1.6 Advantages of Using the DBMS Approach

In this section we discuss some of the advantages of using a DBMS and the capabilities that a good DBMS should possess. These capabilities are in addition to the four main characteristics discussed in Section 1.3. The DBA must utilize these capabilities to accomplish a variety of objectives related to the design, administration, and use of a large multiuser database.

### 1.6.1 Controlling Redundancy

In traditional software development utilizing file processing, every user group maintains its own files for handling its data-processing applications. For example, consider the UNIVERSITY database example of Section 1.2; here, two groups of users might be the course registration personnel and the accounting office. In the traditional approach, each group independently keeps files on students. The accounting office keeps data on registration and related billing information, whereas the registration office keeps track of student courses and grades. Other groups may further duplicate some or all of the same data in their own files.

This **redundancy** in storing the same data multiple times leads to several problems. First, there is the need to perform a single logical update—such as entering data on a new student—multiple times: once for each file where student data is recorded. This leads to *duplication of effort*. Second, *storage space is wasted* when the same data is stored repeatedly, and this problem may be serious for large databases. Third, files that represent the same data may become *inconsistent*. This may happen because an update is applied to some of the files but not to others. Even if an update—such as adding a new student—is applied to all the appropriate files, the data concerning the student may still be *inconsistent* because the updates are applied independently by each user group. For example, one user group may enter a student's birth date erroneously as 'JAN-19-1988', whereas the other user groups may enter the correct value of 'JAN-29-1988'.

In the database approach, the views of different user groups are integrated during database design. Ideally, we should have a database design that stores each logical data item—such as a student’s name or birth date—in *only one place* in the database. This is known as **data normalization**, and it ensures consistency and saves storage space (data normalization is described in Part 6 of the book). However, in practice, it is sometimes necessary to use **controlled redundancy** to improve the performance of queries. For example, we may store `Student_name` and `Course_number` redundantly in a `GRADE_REPORT` file (Figure 1.6(a)) because whenever we retrieve a `GRADE_REPORT` record, we want to retrieve the student name and course number along with the grade, student number, and section identifier. By placing all the data together, we do not have to search multiple files to collect this data. This is known as **denormalization**. In such cases, the DBMS should have the capability to *control* this redundancy in order to prohibit inconsistencies among the files. This may be done by automatically checking that the `Student_name`–`Student_number` values in any `GRADE_REPORT` record in Figure 1.6(a) match one of the `Name`–`Student_number` values of a `STUDENT` record (Figure 1.2). Similarly, the `Section_identifier`–`Course_number` values in `GRADE_REPORT` can be checked against `SECTION` records. Such checks can be specified to the DBMS during database design and automatically enforced by the DBMS whenever the `GRADE_REPORT` file is updated. Figure 1.6(b) shows a `GRADE_REPORT` record that is inconsistent with the `STUDENT` file in Figure 1.2; this kind of error may be entered if the redundancy is *not controlled*. Can you tell which part is inconsistent?

1.6.2 Restricting Unauthorized Access

When multiple users share a large database, it is likely that most users will not be authorized to access all information in the database. For example, financial data is often considered confidential, and only authorized persons are allowed to access such data. In addition, some users may only be permitted to retrieve data, whereas

**Figure 1.6**  
Redundant storage  
of `Student_name`  
and `Course_name` in  
`GRADE_REPORT`.  
(a) Consistent data.  
(b) Inconsistent  
record.

(a)	GRADE_REPORT				
	Student_number	Student_name	Section_identifier	Course_number	Grade
	17	Smith	112	MATH2410	B
	17	Smith	119	CS1310	C
	8	Brown	85	MATH2410	A
	8	Brown	92	CS1310	A
(b)	GRADE_REPORT				
	Student_number	Student_name	Section_identifier	Course_number	Grade
	17	Brown	112	MATH2410	B