

## DATABASE PRINCIPLES

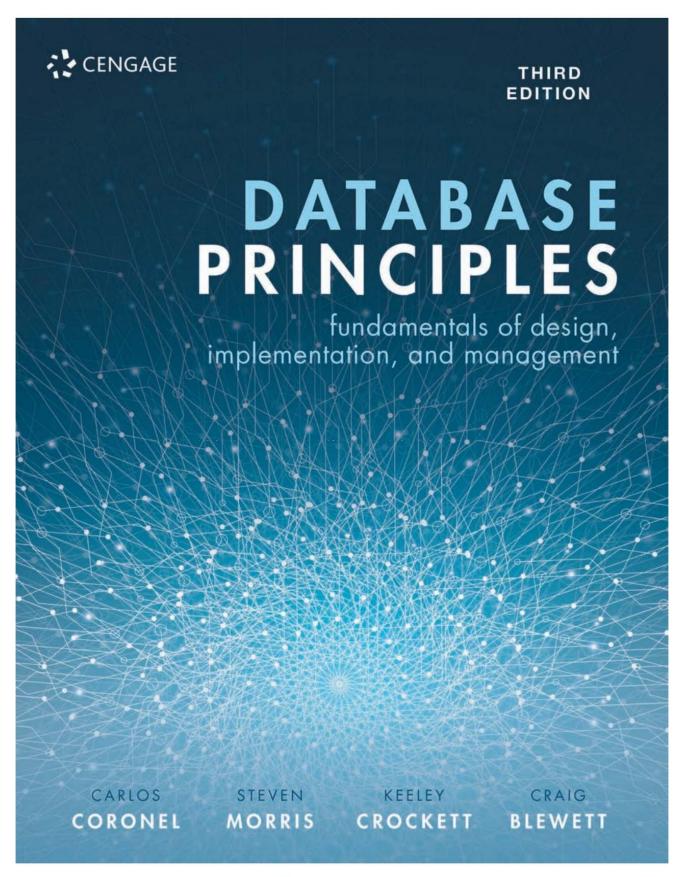
fundamentals of design, implementation, and management

CORONEL

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## **PREFACE**

We are excited to introduce the third edition of *Database Principles*, which is designed to provide a solid and practical foundation for the design, implementation and management of database systems. This foundation is built on the notion that, while databases are very practical things, their successful creation depends on understanding the important concepts that define them.

This edition is suitable for a first course in databases at undergraduate level and will also provide essential material for conversion postgraduate courses. Providing comprehensive and practical coverage of core database concepts, it is an ideal text not only for those studying database management systems in the context of computer science, but also those on courses in the areas of business technology, introductory data science and data analytics.

#### The Approach: Continued Emphasis on the Stages of Design

As the title suggests, *Database Principles: Design, Implementation, and Management* covers three broad aspects of database systems. However, for several important reasons, special attention is given to database design:

- The availability of excellent database software enables even database-inexperienced people to create databases and database applications. Unfortunately, the 'create without design' approach usually paves the way to any number of database disasters. In our experience, many, if not most, database system failures are traceable to poor design and cannot be solved with the help of even the best programmers and managers. Nor is better DBMS software likely to overcome problems created or magnified by poor design. Using an analogy, even the best bricklayers and carpenters can't create a good building from a bad blueprint.
- Most difficult problems associated with database system management seem to be triggered by poorly designed databases. It hardly seems worthwhile to use scarce resources to develop excellent and extensive database system management skills in order to exercise them on crises induced by poorly designed databases.
- Design provides an excellent means of communication. Clients are more likely to get what they need when database system design is approached carefully and thoughtfully. In fact, clients may discover how their organisations really function once a good database design is completed.
- Familiarity with database design techniques promotes one's understanding of current database technologies. For example, because data warehouses derive much of their data from operational databases, data warehouse concepts, structures, and procedures make more sense when the operational database's structure and implementation are understood.

Because the practical aspects of database design are stressed, we have covered design concepts and procedures in detail, making sure that the numerous end-of-chapter problems are sufficiently challenging for students to develop real and useful design skills. We also make sure that students understand the potential and actual conflicts between database design elegance, information requirements, and transaction processing speed. For example, it makes little sense to design databases that meet design

#### xiv Preface

elegance standards while they fail to meet end-user information requirements. Therefore, we explore the use of carefully defined trade-offs to ensure that the databases are capable of meeting end-user requirements while conforming to high design standards.

This edition retains the use of UML (Unified Modelling Language) notation for data modelling. Continual development by the Object Management Group has led to UML becoming an International Standard (UML 2.5.1 is available as the 2017 edition standard: ISO/IEC 19505-1 and 19505-2), which is continually reviewed. In keeping with the second edition, UML has continued to be used to produce entity relationship models within this third edition. However, as organisations still use both Chen and Crow's Foot notation approaches to data modelling in order to maintain legacy systems, it is important that familiarity is maintained. Appendix E, Comparison of ER Modelling Notations, contains coverage of both these notations.

## **CHANGES TO THE THIRD EDITION**

In this third edition, we have added some new features and continued to strengthen the already strong database design coverage. Here are just a few of the highlights:

- To support the growth of Big Data and NoSQL technology, we have added a new Chapter 16: Big Data and NoSQL. The chapter focuses in greater depth on the characteristics of Big Data and the technologies that have been developed to support its use, including Hadoop and MongoDB.
- New and expanded coverage of data visualisation tools and techniques in Chapter 15, Databases for Business Intelligence.
- New and updated Business Vignettes to provide topical discussion points in the classroom.
- Coverage of MongoDB with hands-on exercises for querying MongoDB databases (Appendix Q).
- An additional appendix containing coverage of Neo4j with hands-on exercises for querying graph databases (Appendix R).

## **ACKNOWLEDGEMENTS**

The publisher acknowledges the contribution of the following lecturers, who provided invaluable feedback on the second and third editions:

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- Duncan McPhee, University of Glamorgan

For this edition, I would like to say a special thanks to Pamela Quick, who previously worked as a Senior Lecturer in the School of Computing, Maths and Digital Technology at Manchester Metropolitan University. Her years of experience within the database field have been very valuable, specifically the coverage of relational algebra.

On this third edition, I have been lucky to work with a very patient, supportive and professional Publisher, Marinda Louw. Marinda provided fantastic support in answering all my emails. It has been a pleasure working with you.

Last, and certainly not least, thank you to my family (my ohana) for your patience and support.

Keeley Crockett January 2020

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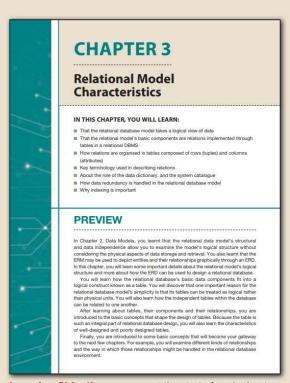
## **WALK-THROUGH TOUR**

THE RELATIONAL REVOLUTION —
AN HISTORICAL JOURNEY

Linst the late 1970s, distabases stored large amounts of data in structures that were inflexible and difficult to nealgale. Programmers needed to know what clients wanted to do with the data before the database was designed. Adding or changing the way the data were stored or analysed was time-consuming and expensive.

In 1970, Edgar Ted' Codd, a mathematician employed by IBM, published a groundbreaking article entitled. 'A Beltisonal Model of Data for Large Shared Data Banks'. At the time, nobody realised that Codd's theories would spark a technological revolution on par with the development of personal computers and the internet. For Chamberline, on-involved the part of personal computers and the internet. For Chamberline and the internet of personal computers and the internet of the Chamberline, and the contract of the contract

**Business Vignettes** illustrate the part topics with a genuine scenario and show how the subject integrates with the real world.



**Learning Objectives** appear at the start of each chapter to help you monitor your understanding and progress through each chapter. Each chapter also ends with a summary section that recaps the key content for revision purposes.

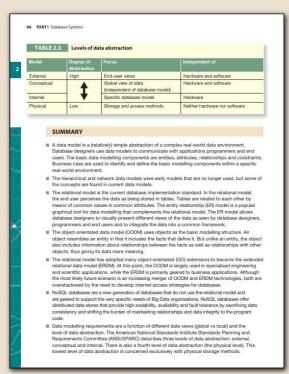


**Chapter Previews** set the scene for the chapter and provide an overview of the chapter's contents.

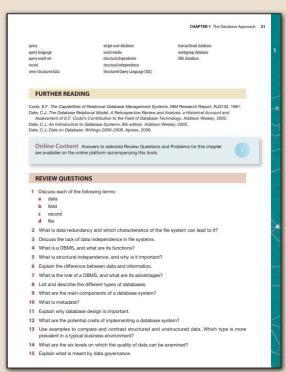


**Online Content** boxes draw attention to relevant material on the online platform for this book.

**Notes** highlight important facts about the concepts introduced in the chapter.

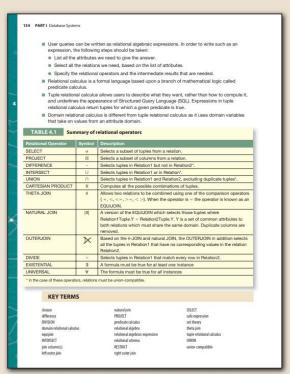


**Summary** Each chapter ends with a comprehensive summary that provides a thorough recap of the issues in each chapter, helping you to assess your understanding and revise key content.

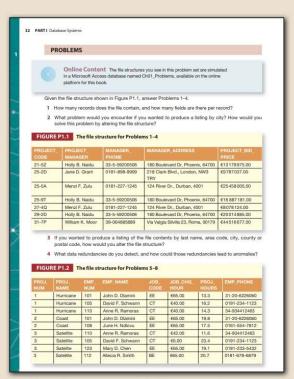


Further Reading allows you to explore the subject further, and acts as a starting point for projects and assignments.

Review Questions help reinforce and test your knowledge and understanding, and provide a basis for group discussions and activities.



**Key Terms** are listed at the end of the chapter and explained in full in a Glossary at the end of the book, enabling you to find explanations of key terms quickly.



**Problems** become progressively more complex as students draw on the lessons learnt from the completion of preceding problems.

## **DEDICATION**

To my son, Kona, of whom I am so proud - keep following your dreams.

To Craig, my best friend and patient husband. Thank you for supporting my crazy busy life – without you nothing would be possible. In memory of my father, Frank Crockett, who inspired me to be the person I am today. To my mother, Norma Crockett, who is the angel in my life. Thank you for always being there for me.

To my mother- and father-in-law Jackie and Bill Smith who have provided me with much love and support.

In memory of Leslie Crockett, a true gentleman and much-loved uncle.

To my family and friends, all of whom have painted rainbows in my life.

Much love and aloha to you all.

Keeley Crockett



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An open-access area for students including, for example, online appendices, useful weblinks and glossary terms.

Lecturers: to discover the dedicated teaching digital support resources accompanying this textbook please register here for access: cengage.com/dashboard/#login

Students: to discover the dedicated learning digital support resources accompanying this textbook, please search for Database Principles: Fundamentals of Design, Implementation, and Management. Edition on: cengage.com

## BE UNSTOPPABLE!



## **DATABASE PRINCIPLES**

## Part I

## **DATABASE SYSTEMS**

- The Database Approach
- 2 Data Models
- Relational Model Characteristics
- 4 Relational Algebra and Calculus

#### **BUSINESS VIGNETTE**

## THE RELATIONAL REVOLUTION – AN HISTORICAL JOURNEY

Until the late 1970s, databases stored large amounts of data in structures that were inflexible and difficult to navigate. Programmers needed to know what clients wanted to do with the data before the database was designed. Adding or changing the way the data were stored or analysed was time-consuming and expensive.

In 1970, Edgar 'Ted' Codd, a mathematician employed by IBM, published a groundbreaking article entitled 'A Relational Model of Data for Large Shared Data Banks'. At the time, nobody realised that Codd's theories would spark a technological revolution on par with the development of personal computers and the internet. Don Chamberlin, co-inventor of SQL, the most popular database query language today, explains: 'There was this guy Ted Codd who had some kind of strange mathematical notation, but nobody took it very seriously.'

Then Ted Codd organised a symposium, and Chamberlin listened as Codd reduced complicated five-page programs to one line. 'And I said, "Wow," Chamberlin recalls. The symposium convinced IBM to fund System R, a research project that built a prototype of a relational database, which would eventually lead to the creation of SQL and DB2. IBM, however, kept System R on the back burner for a number of years, which turned out to be a crucial decision, because the company had a vested interest in IMS, a reliable, high-end database system that had been released in 1968.

At about the same time as System R started up, two professors from the University of California at Berkeley, who had read Codd's work, established a similar project called Ingres. The competition between the two tight-knit groups fuelled a series of papers. Unaware of the market potential of this research, IBM allowed its staff to publish these papers. Among those reading the papers was Larry Ellison, who had just founded a small company called Software Development Laboratories. Recruiting programmers from System R and Ingres, and securing funding from the CIA and the Navy, Ellison was able to market the first SQL-based relational database in 1979, well before IBM.

By 1983, the company (Software Development Laboratories) had released a portable version of the database, had grossed over €3 910 000 annually, and had changed its name to Oracle.

Spurred on by competition, IBM finally released SQL/DS, its first relational database, in 1980.1 In 2008, a group of leading database researchers met in Berkeley and issued a report declaring that the industry had reached an exciting turning point and was on the verge of another database revolution.2

In 2010, Oracle acquired MySQL as part of its acquisition of Sun. It has since maintained the free open-source MySQL Community Edition while providing several versions (Standard Edition, Enterprise Edition and Cluster Edition) for commercial customers. In 2019, the release of MySQL Document Store brought together the SQL and the NoSQL languages, enabling developers to link SQL relational tables to schema-less NoSQL databases. 3 Oracle's latest offering is Oracle Database 19c, where the 'c' represents cloud; new versions now come out every year.

In our historical journey, we must also mention PostgreSQL, developed in1986 as part of the POSTGRES project at the University of California at Berkeley. PostgreSQL<sup>4</sup> is a free, open source, object-relational database that extends the traditional SQL language by allowing creation of new datatypes and functions, and the ability to write code in different programming languages. It is a strong competitor to MySQL, given that it has had over 33 years of active development.

Analysts, journalists and business leaders continually see new developments with data acquisition and its management, such as the explosion of unstructured data, the growing importance of business intelligence, and the emergence of cloud technologies, which may require the development of new database models. Although traditional relational databases meet rigorous standards for data integrity and consistency, they do not scale unstructured data as well as new database models such as NoSQL. NoSQL is also known as a non-relational database, which allows the storage and retrieval of unstructured data using a dynamic schema. A key question asked by database developers today is whether they need a NoSQL database or an SQL database for their application. For example, Twitter and Facebook, which do not require high levels of data consistency and integrity, have adopted NoSQL databases. In 2019, businesses are opting for SQL and NoSQL multiple database combinations, which suggests that one size does not fit all.

As of March 2019, the most popular database management systems worldwide were Oracle, MySQL, Microsoft SQL and PostgreSQL.5 So, what is the future? Disruptive database technologies are required for business to remain competitive and the key is real-time data. Alternative database models such as cloud database platforms, which have the capability for real-time data analytics, are for certain. Big data has a role to play as additional data sources must be processed using data pipelines, all in accordance with the new General Data Protection Regulation (GDPR) data regulations. The relational model will survive, but it will also adapt at unprecedented speed.

<sup>1 &#</sup>x27;IBM and Oracle Trade Barbs over Databases', https://phys.org/news/2007-05-ibm-oracle-barbsdatabases.html

<sup>2</sup> Rakesh Agrawal et al., 'The Claremont Report on Database Research', http://db.cs.berkeley.edu/claremont/ claremontreport08.pdf.

<sup>3</sup> MySQL Editions, www.mysql.com/products/

<sup>4</sup> PostgreSQL, www.postgresql.org/about/

<sup>5</sup> Top 10 Databases for 2019, The Database Journal, www.databasejournal.com/features/oracle/slideshows/ top-10-2019-databases.html

## **CHAPTER 1**

## The Database Approach

#### IN THIS CHAPTER, YOU WILL LEARN:

- The difference between data and information
- What a database is, what the different types of databases are, and why they are valuable assets for decision making
- The importance of database design
- How modern databases evolved from file systems
- About flaws in file system data management
- What the database system's main components are and how a database system differs from a file system
- The main functions of a database management system (DBMS)
- The role of open source database systems
- The importance of data governance and data quality

#### **PREVIEW**

Good decisions require good information, which is derived from raw facts known as data. Data are likely to be managed most efficiently when they are stored in a database. In this chapter, you learn what a database is, what it does and why it yields better results than other data management methods. You will also learn about different types of databases and why database design is so important.

Databases evolved from computer file systems. Although file system data management is now largely outmoded, understanding the characteristics of file systems is important because they are the source of serious data management limitations. In this chapter, you will also learn how the database system approach helps eliminate most of the shortcomings of file system data management.

#### 1.1 DATA VS INFORMATION

To understand what drives database design, you need to understand the difference between data and information. **Data** are raw facts. The word *raw* indicates that the facts have not yet been processed to reveal their meaning. For example, suppose that you want to know what the users of a computer lab think of its services. Typically, you would begin by surveying users to assess the computer lab's performance. Figure 1.1, Panel (a), shows the Web survey form that enables users to respond to your questions. When the survey form has been completed, the form's raw data are saved to a data repository, such as the one shown in Figure 1.1, Panel (b). Although you now have the facts in hand, they are not particularly useful in this format – reading page after page of zeros and ones is not likely to provide much insight. Therefore, you transform the raw data into a data summary like the one shown in Figure 1.1, Panel (c). It is now possible to get quick answers to questions such as, 'What is the composition of our lab's customer base?' In this case, you can quickly determine that most of your customers are second-year undergraduates (38 per cent) and first-year undergraduates (32 per cent). And, because graphics can enhance your ability to extract meaning from data quickly, you show the data summary bar graph in Figure 1.1, Panel (d).

