Contents

Chapter 1  Introduction
1.1 Database-System Applications  1
1.2 Purpose of Database Systems  3
1.3 View of Data  6
1.4 Database Languages  9
1.5 Relational Databases  12
1.6 Database Design  15
1.7 Data Storage and Querying  20
1.8 Transaction Management  22
1.9 Database Architecture  23
1.10 Data Mining and Information Retrieval  25
1.11 Specialty Databases  26
1.12 Database Users and Administrators  27
1.13 History of Database Systems  29
1.14 Summary  31
Exercises  33
Bibliographical Notes  35

PART ONE  ■  RELATIONAL DATABASES

Chapter 2  Introduction to the Relational Model
2.1 Structure of Relational Databases  39
2.2 Database Schema  42
2.3 Keys  45
2.4 Schema Diagrams  46
2.5 Relational Query Languages  47
2.6 Relational Operations  48
2.7 Summary  52
Exercises  53
Bibliographical Notes  55

Chapter 3  Introduction to SQL
3.1 Overview of the SQL Query Language  57
3.2 SQL Data Definition  58
3.3 Basic Structure of SQL Queries  63
3.4 Additional Basic Operations  74
3.5 Set Operations  79
3.6 Null Values  83
3.7 Aggregate Functions  84
3.8 Nested Subqueries  90
3.9 Modification of the Database  98
3.10 Summary  104
Exercises  105
Bibliographical Notes  112
## Contents

### Chapter 4 Intermediate SQL
- 4.1 Join Expressions 113
- 4.2 Views 120
- 4.3 Transactions 127
- 4.4 Integrity Constraints 128
- 4.5 SQL Data Types and Schemas 136
- 4.6 Authorization 143
- 4.7 Summary 150
- Exercises 152
- Bibliographical Notes 156

### Chapter 5 Advanced SQL
- 5.1 Accessing SQL From a Programming Language 157
- 5.2 Functions and Procedures 173
- 5.3 Triggers 180
- 5.4 Recursive Queries** 187
- 5.5 Advanced Aggregation Features** 192
- 5.6 OLAP** 197
- 5.7 Summary 209
- Exercises 211
- Bibliographical Notes 216

### Chapter 6 Formal Relational Query Languages
- 6.1 The Relational Algebra 217
- 6.2 The Tuple Relational Calculus 239
- 6.3 The Domain Relational Calculus 245
- 6.4 Summary 248
- Exercises 249
- Bibliographical Notes 254

### PART TWO DATABASE DESIGN

### Chapter 7 Database Design and the E-R Model
- 7.1 Overview of the Design Process 259
- 7.2 The Entity-Relationship Model 262
- 7.3 Constraints 269
- 7.4 Removing Redundant Attributes in Entity Sets 272
- 7.5 Entity-Relationship Diagrams 274
- 7.6 Reduction to Relational Schemas 283
- 7.7 Entity-Relationship Design Issues 290
- 7.8 Extended E-R Features 295
- 7.9 Alternative Notations for Modeling Data 304
- 7.10 Other Aspects of Database Design 310
- 7.11 Summary 313
- Exercises 315
- Bibliographical Notes 321
## Chapter 8  Relational Database Design

8.1 Features of Good Relational Designs 323  
8.2 Atomic Domains and First Normal Form 327  
8.3 Decomposition Using Functional Dependencies 329  
8.4 Functional-Dependency Theory 338  
8.5 Algorithms for Decomposition 348  
8.6 Decomposition Using Multivalued Dependencies 355  
8.7 More Normal Forms 360  
8.8 Database-Design Process 361  
8.9 Modeling Temporal Data 364  
8.10 Summary 367  
Exercises 368  
Bibliographical Notes 374

## Chapter 9  Application Design and Development

9.1 Application Programs and User Interfaces 375  
9.2 Web Fundamentals 377  
9.3 Servlets and JSP 383  
9.4 Application Architectures 391  
9.5 Rapid Application Development 396  
9.6 Application Performance 400  
9.7 Application Security 402  
9.8 Encryption and Its Applications 411  
9.9 Summary 417  
Exercises 419  
Bibliographical Notes 426

### PART THREE  ■  DATA STORAGE AND QUERYING

## Chapter 10  Storage and File Structure

10.1 Overview of Physical Storage Media 429  
10.2 Magnetic Disk and Flash Storage 432  
10.3 RAID 441  
10.4 Tertiary Storage 449  
10.5 File Organization 451  
10.6 Organization of Records in Files 457  
10.7 Data-Dictionary Storage 462  
10.8 Database Buffer 464  
10.9 Summary 468  
Exercises 470  
Bibliographical Notes 473

## Chapter 11  Indexing and Hashing

11.1 Basic Concepts 475  
11.2 Ordered Indices 476  
11.3 B*-Tree Index Files 485  
11.4 B*-Tree Extensions 500  
11.5 Multiple-Key Access 506  
11.6 Static Hashing 509  
11.7 Dynamic Hashing 515  
11.8 Comparison of Ordered Indexing and Hashing 523  
11.9 Bitmap Indices 524  
11.10 Index Definition in SQL 528  
11.11 Summary 529  
Exercises 532  
Bibliographical Notes 536
Chapter 12  Query Processing
12.1 Overview  537
12.2 Measures of Query Cost  540
12.3 Selection Operation  541
12.4 Sorting  546
12.5 Join Operation  549
12.6 Other Operations  563
12.7 Evaluation of Expressions  567
12.8 Summary  572
Exercises  574
Bibliographical Notes  577

Chapter 13  Query Optimization
13.1 Overview  579
13.2 Transformation of Relational Expressions  582
13.3 Estimating Statistics of Expression Results  590
13.4 Choice of Evaluation Plans  598
13.5 Materialized Views**  607
13.6 Advanced Topics in Query Optimization**  612
13.7 Summary  615
Exercises  617
Bibliographical Notes  622

PART FOUR  TRANSACTION MANAGEMENT

Chapter 14  Transactions
14.1 Transaction Concept  627
14.2 A Simple Transaction Model  629
14.3 Storage Structure  632
14.4 Transaction Atomicity and Durability  633
14.5 Transaction Isolation  635
14.6 Serializability  640
14.7 Transaction Isolation and Atomicity  647
14.8 Transaction Isolation Levels  648
14.9 Implementation of Isolation Levels  650
14.10 Transactions as SQL Statements  653
14.11 Summary  655
Exercises  657
Bibliographical Notes  660

Chapter 15  Concurrency Control
15.1 Lock-Based Protocols  661
15.2 Deadlock Handling  674
15.3 Multiple Granularity  679
15.4 Timestamp-Based Protocols  682
15.5 Validation-Based Protocols  686
15.6 Multiversion Schemes  689
15.7 Snapshot Isolation  692
15.8 Insert Operations, Delete Operations, and Predicate Reads  697
15.9 Weak Levels of Consistency in Practice  701
15.10 Concurrency in Index Structures**  704
15.11 Summary  708
Exercises  712
Bibliographical Notes  718
Chapter 16  Recovery System
16.1 Failure Classification 721
16.2 Storage 722
16.3 Recovery and Atomicity 726
16.4 Recovery Algorithm 735
16.5 Buffer Management 738
16.6 Failure with Loss of Nonvolatile Storage 743
16.7 Early Lock Release and Logical Undo Operations 744
16.8 ARIES** 750
16.9 Remote Backup Systems 756
16.10 Summary 759
Exercises 762
Bibliographical Notes 766

PART FIVE  ■  SYSTEM ARCHITECTURE

Chapter 17  Database-System Architectures
17.1 Centralized and Client–Server Architectures 769
17.2 Server System Architectures 772
17.3 Parallel Systems 777
17.4 Distributed Systems 784
17.5 Network Types 788
17.6 Summary 791
Exercises 793
Bibliographical Notes 794

Chapter 18  Parallel Databases
18.1 Introduction 797
18.2 I/O Parallelism 798
18.3 Interquery Parallelism 802
18.4 Intraquery Parallelism 803
18.5 Intraoperation Parallelism 804
18.6 Interoperation Parallelism 813
18.7 Query Optimization 814
18.8 Design of Parallel Systems 815
18.9 Parallelism on Multicore Processors 817
18.10 Summary 819
Exercises 821
Bibliographical Notes 824

Chapter 19  Distributed Databases
19.1 Homogeneous and Heterogeneous Databases 825
19.2 Distributed Data Storage 826
19.3 Distributed Transactions 830
19.4 Commit Protocols 832
19.5 Concurrency Control in Distributed Databases 839
19.6 Availability 847
19.7 Distributed Query Processing 854
19.8 Heterogeneous Distributed Databases 857
19.9 Cloud-Based Databases 861
19.10 Directory Systems 870
19.11 Summary 875
Exercises 879
Bibliographical Notes 883
PART SIX  ■  DATA WAREHOUSING, DATA MINING, AND INFORMATION RETRIEVAL

Chapter 20  Data Warehousing and Mining
20.1 Decision-Support Systems 887
20.2 Data Warehousing 889
20.3 Data Mining 893
20.4 Classification 894
20.5 Association Rules 904
20.6 Other Types of Associations 906
20.7 Clustering 907
20.8 Other Forms of Data Mining 908
20.9 Summary 909
Exercises 911
Bibliographical Notes 914

Chapter 21  Information Retrieval
21.1 Overview 915
21.2 Relevance Ranking Using Terms 917
21.3 Relevance Using Hyperlinks 920
21.4 Synonyms, Homonyms, and Ontologies 925
21.5 Indexing of Documents 927
21.6 Measuring Retrieval Effectiveness 929
21.7 Crawling and Indexing the Web 930
21.8 Information Retrieval: Beyond Ranking of Pages 931
21.9 Directories and Categories 935
21.10 Summary 937
Exercises 939
Bibliographical Notes 941

PART SEVEN  ■  SPECIALTY DATABASES

Chapter 22  Object-Based Databases
22.1 Overview 945
22.2 Complex Data Types 946
22.3 Structured Types and Inheritance in SQL 949
22.4 Table Inheritance 954
22.5 Array and Multiset Types in SQL 956
22.6 Object-Identity and Reference Types in SQL 961
22.7 Implementing O-R Features 963
22.8 Persistent Programming Languages 964
22.9 Object-Relational Mapping 973
22.10 Object-Oriented versus Object-Relational 973
22.11 Summary 975
Exercises 976
Bibliographical Notes 980

Chapter 23  XML
23.1 Motivation 981
23.2 Structure of XML Data 986
23.3 XML Document Schema 990
23.4 Querying and Transformation 998
23.5 Application Program Interfaces to XML 1008
23.6 Storage of XML Data 1009
23.7 XML Applications 1016
23.8 Summary 1019
Exercises 1021
Bibliographical Notes 1024
PART EIGHT  ■  ADVANCED TOPICS

Chapter 24  Advanced Application Development

24.1 Performance Tuning  1029
24.2 Performance Benchmarks  1045
24.3 Other Issues in Application Development  1048
24.4 Standardization  1051
24.5 Summary  1056
Exercises  1057
Bibliographical Notes  1059

Chapter 25  Spatial and Temporal Data and Mobility

25.1 Motivation  1061
25.2 Time in Databases  1062
25.3 Spatial and Geographic Data  1064
25.4 Multimedia Databases  1076
25.5 Mobility and Personal Databases  1079
25.6 Summary  1085
Exercises  1087
Bibliographical Notes  1089

Chapter 26  Advanced Transaction Processing

26.1 Transaction-Processing Monitors  1091
26.2 Transactional Workflows  1096
26.3 E-Commerce  1102
26.4 Main-Memory Databases  1105
26.5 Real-Time Transaction Systems  1108
26.6 Long-Duration Transactions  1109
26.7 Summary  1115
Exercises  1117
Bibliographical Notes  1119

PART NINE  ■  CASE STUDIES

Chapter 27  PostgreSQL

27.1 Introduction  1123
27.2 User Interfaces  1124
27.3 SQL Variations and Extensions  1126
27.4 Transaction Management in PostgreSQL  1137
27.5 Storage and Indexing  1146
27.6 Query Processing and Optimization  1151
27.7 System Architecture  1154
Bibliographical Notes  1155

Chapter 28  Oracle

28.1 Database Design and Querying Tools  1157
28.2 SQL Variations and Extensions  1158
28.3 Storage and Indexing  1162
28.4 Query Processing and Optimization  1172
28.5 Concurrency Control and Recovery  1180
28.6 System Architecture  1183
28.7 Replication, Distribution, and External Data  1188
28.8 Database Administration Tools  1189
28.9 Data Mining  1191
Bibliographical Notes  1191
## Chapter 29 IBM DB2 Universal Database

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>29.1 Overview</td>
<td>1193</td>
</tr>
<tr>
<td>29.2 Database-Design Tools</td>
<td>1194</td>
</tr>
<tr>
<td>29.3 SQL Variations and Extensions</td>
<td>1195</td>
</tr>
<tr>
<td>29.4 Storage and Indexing</td>
<td>1200</td>
</tr>
<tr>
<td>29.5 Multidimensional Clustering</td>
<td>1203</td>
</tr>
<tr>
<td>29.6 Query Processing and Optimization</td>
<td>1207</td>
</tr>
<tr>
<td>29.7 Materialized Query Tables</td>
<td>1212</td>
</tr>
<tr>
<td>29.8 Autonomic Features in DB2</td>
<td>1214</td>
</tr>
<tr>
<td>29.9 Tools and Utilities</td>
<td>1215</td>
</tr>
<tr>
<td>29.10 Concurrency Control and Recovery</td>
<td>1217</td>
</tr>
<tr>
<td>29.11 System Architecture</td>
<td>1219</td>
</tr>
<tr>
<td>29.12 Replication, Distribution, and External Data</td>
<td>1220</td>
</tr>
<tr>
<td>29.13 Business Intelligence Features</td>
<td>1221</td>
</tr>
<tr>
<td>Bibliographical Notes</td>
<td>1222</td>
</tr>
</tbody>
</table>

## Chapter 30 Microsoft SQL Server

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>30.1 Management, Design, and Querying Tools</td>
<td>1223</td>
</tr>
<tr>
<td>30.2 SQL Variations and Extensions</td>
<td>1228</td>
</tr>
<tr>
<td>30.3 Storage and Indexing</td>
<td>1233</td>
</tr>
<tr>
<td>30.4 Query Processing and Optimization</td>
<td>1236</td>
</tr>
<tr>
<td>30.5 Concurrency and Recovery</td>
<td>1241</td>
</tr>
<tr>
<td>30.6 System Architecture</td>
<td>1246</td>
</tr>
<tr>
<td>30.7 Data Access</td>
<td>1248</td>
</tr>
<tr>
<td>30.8 Distributed Heterogeneous Query Processing</td>
<td>1250</td>
</tr>
<tr>
<td>30.9 Replication</td>
<td>1251</td>
</tr>
<tr>
<td>30.10 Server Programming in .NET</td>
<td>1253</td>
</tr>
<tr>
<td>30.11 XML Support</td>
<td>1258</td>
</tr>
<tr>
<td>30.12 SQL Server Service Broker</td>
<td>1261</td>
</tr>
<tr>
<td>30.13 Business Intelligence</td>
<td>1263</td>
</tr>
<tr>
<td>Bibliographical Notes</td>
<td>1267</td>
</tr>
</tbody>
</table>

## PART TEN APPENDICES

### Appendix A Detailed University Schema

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.1 Full Schema</td>
<td>1271</td>
</tr>
<tr>
<td>A.2 DDL</td>
<td>1272</td>
</tr>
<tr>
<td>A.3 Sample Data</td>
<td>1276</td>
</tr>
</tbody>
</table>

### Appendix B Advanced Relational Design (contents online)

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>B.1 Multivalued Dependencies</td>
<td>B1</td>
</tr>
<tr>
<td>B.2 Domain-Key Normal Form</td>
<td>B8</td>
</tr>
<tr>
<td>B.3 Summary</td>
<td>B10</td>
</tr>
<tr>
<td>Exercises</td>
<td>B10</td>
</tr>
<tr>
<td>Bibliographical Notes</td>
<td>B12</td>
</tr>
</tbody>
</table>

### Appendix C Other Relational Query Languages (contents online)

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>C.1 Query-by-Example</td>
<td>C1</td>
</tr>
<tr>
<td>C.2 Microsoft Access</td>
<td>C9</td>
</tr>
<tr>
<td>C.3 Datalog</td>
<td>C11</td>
</tr>
<tr>
<td>C.4 Summary</td>
<td>C25</td>
</tr>
<tr>
<td>Exercises</td>
<td>C26</td>
</tr>
<tr>
<td>Bibliographical Notes</td>
<td>C30</td>
</tr>
</tbody>
</table>
Appendix D  Network Model (contents online)
D.1 Basic Concepts  D1
D.2 Data-Structure Diagrams  D2
D.3 The DBTG CODASYL Model  D7
D.4 DBTG Data-Retrieval Facility  D13
D.5 DBTG Update Facility  D20
D.6 DBTG Set-Processing Facility  D22
D.7 Mapping of Networks to Files  D27
D.8 Summary  D31
Exercises  D32
Bibliographical Notes  D35

Appendix E  Hierarchical Model (contents online)
E.1 Basic Concepts  E1
E.2 Tree-Structure Diagrams  E2
E.3 Data-Retrieval Facility  E13
E.4 Update Facility  E17
E.5 Virtual Records  E20
E.6 Mapping of Hierarchies to Files  E22
E.7 The IMS Database System  E24
E.8 Summary  E25
Exercises  E26
Bibliographical Notes  E29

Bibliography  1283
Index  1315