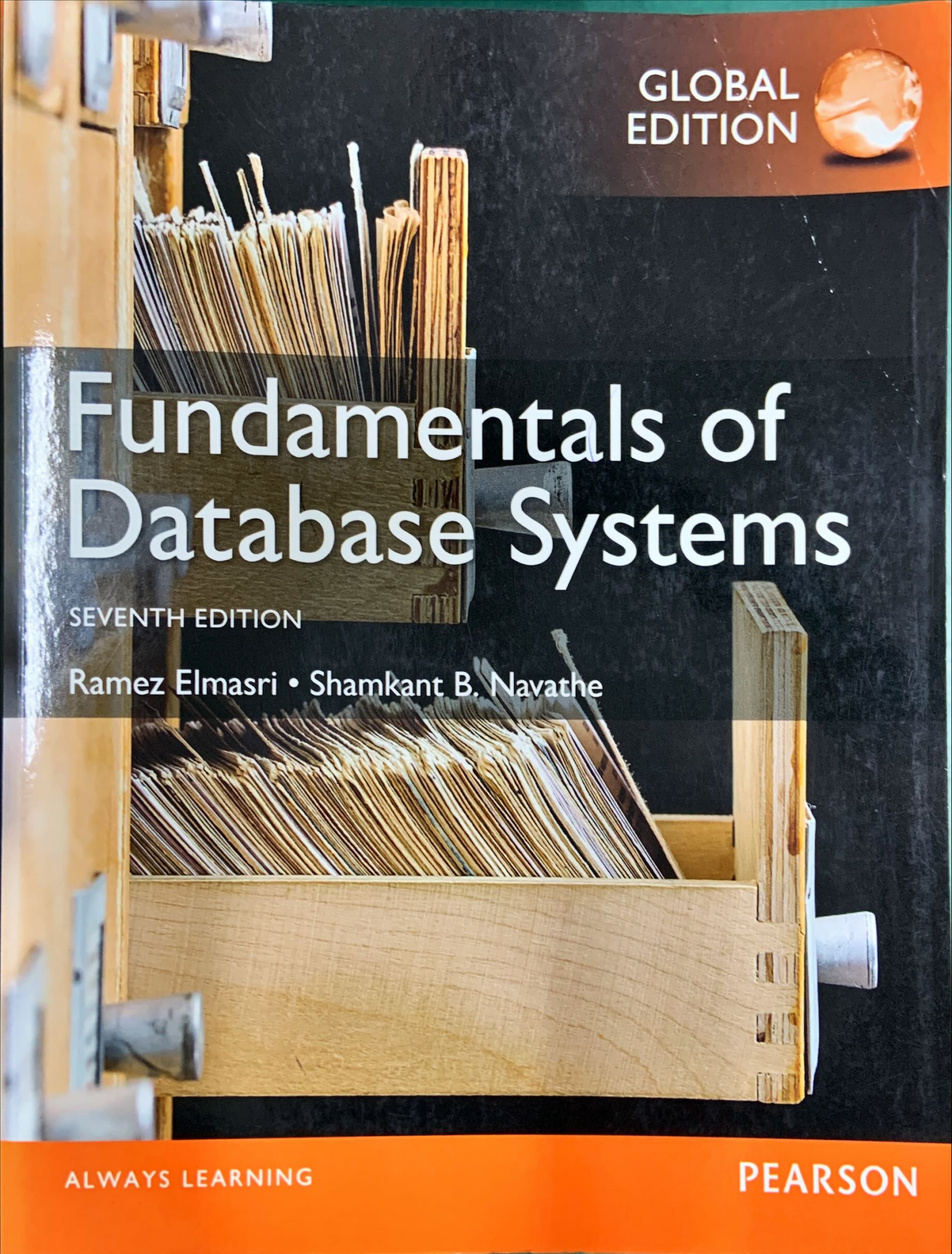
GLOBAL EDITION
Fundamentals of Database Systems
SEVENTH EDITION
Ramez Elmasri • Shamkant B. Navathe
ALWAYS LEARNING
PEARSON

FUNDAMENTALS OF

Database Systems

SEVENTH EDITION

GLOBAL EDITION

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Preface

This book introduces the fundamental concepts necessary for designing, using, and implementing database systems and database applications. Our presentation stresses the fundamentals of database modeling and design, the languages and models provided by the database management systems, and database system implementation techniques. The book is meant to be used as a textbook for a one- or two-semester course in database systems at the junior, senior, or graduate level, and as a reference book. Our goal is to provide an in-depth and up-to-date presentation of the most important aspects of database systems and applications, and related technologies. We assume that readers are familiar with elementary programming and data-structuring concepts and that they have had some exposure to the basics of computer organization.

New to This Edition

The following key features have been added in the seventh edition:

- A reorganization of the chapter ordering (this was based on a survey of the instructors who use the textbook); however, the book is still organized so that the individual instructor can choose to follow the new chapter ordering or *choose a different ordering of chapters* (for example, follow the chapter order from the sixth edition) when presenting the materials.
- There are two new chapters on recent advances in database systems and big data processing; one new chapter (Chapter 24) covers an introduction to the newer class of database systems known as **NOSQL databases**, and the other new chapter (Chapter 25) covers technologies for processing **big data**, including **MapReduce** and **Hadoop.**
- The chapter on query processing and optimization has been expanded and reorganized into two chapters; Chapter 18 focuses on strategies and algorithms for query processing whereas Chapter 19 focuses on query optimization techniques.
- A second UNIVERSITY database example has been added to the early chapters (Chapters 3 through 8) in addition to our COMPANY database example from the previous editions.
- Many of the individual chapters have been updated to varying degrees to include newer techniques and methods; rather than discuss these enhancements here,

we will describe them later in the preface when we discuss the organization of the seventh edition.

The following are key features of the book:

- A self-contained, flexible organization that can be tailored to individual needs; in particular, *the chapters can be used in different orders* depending on the instructor's preference.
- A companion website (www.pearsonglobaleditions.com/Elmasri) includes data to be loaded into various types of relational databases for more realistic student laboratory exercises.
- A dependency chart (shown later in this preface) to show which chapters depend on other earlier chapters; this can guide the instructor who wants to tailor the *order of presentation of the chapters.*
- A collection of supplements, including a robust set of materials for instructors and students such as PowerPoint slides, figures from the text, and an instructor's guide with solutions.

Organization and Contents of the Seventh Edition

There are some organizational changes in the seventh edition as well as improvement to the individual chapters. The book is now divided into 12 parts as follows:

- Part 1 (Chapters 1 and 2) describes the basic introductory concepts necessary for a good understanding of database models, systems, and languages. Chapters 1 and 2 introduce databases, typical users, and DBMS concepts, terminology, and architecture, as well as a discussion of the progression of database technologies over time and a brief history of data models. These chapters have been updated to introduce some of the newer technologies such as NOSQL systems.
- Part 2 (Chapters 3 and 4) includes the presentation on entity-relationship modeling and database design; however, it is *important to note* that instructors can cover the relational model chapters (Chapters 5 through 8) *before Chapters 3 and 4* if that is their preferred order of presenting the course materials. In Chapter 3, the concepts of the Entity-Relationship (ER) model and ER diagrams are presented and used to illustrate conceptual database design. Chapter 4 shows how the basic ER model can be extended to incorporate additional modeling concepts such as subclasses, specialization, generalization, union types (categories) and inheritance, leading to the enhanced-ER (EER) data model and EER diagrams. The notation for the class diagrams of UML are also introduced in Chapters 7 and 8 as an alternative model and diagrammatic notation for ER/EER diagrams.
- Part 3 (Chapters 5 through 8) includes a detailed presentation on relational databases and SQL with some additional new material in the SQL chapters to cover a few SQL constructs that were not in the previous edition. Chapter 5

describes the basic relational model, its integrity constraints, and update operations. Chapter 6 describes some of the basic parts of the SQL standard for relational databases, including data definition, data modification operations, and simple SQL queries. Chapter 7 presents more complex SQL queries, as well as the SQL concepts of triggers, assertions, views, and schema modification. Chapter 8 describes the formal operations of the relational algebra and introduces the relational calculus. The material on SQL (Chapters 6 and 7) is presented before our presentation on relational algebra and calculus in Chapter 8 to allow instructors to start SQL projects early in a course if they wish (it is possible to cover Chapter 8 before Chapters 6 and 7 if the instructor desires this order). The final chapter in Part 2, Chapter 9, covers ER- and EER-to-relational mapping, which are algorithms that can be used for designing a relational database schema from a conceptual ER/EER schema design.

- Part 4 (Chapters 10 and 11) are the chapters on database programming techniques; these chapters can be assigned as reading materials and augmented with materials on the particular language used in the course for programming projects (much of this documentation is readily available on the Web). Chapter 10 covers traditional SQL programming topics, such as embedded SQL, dynamic SQL, ODBC, SQLJ, JDBC, and SQL/CLI. Chapter 11 introduces Web database programming, using the PHP scripting language in our examples, and includes new material that discusses Java technologies for Web database programming.
- Part 5 (Chapters 12 and 13) covers the updated material on object-relational and object-oriented databases (Chapter 12) and XML (Chapter 13); both of these chapters now include a presentation of how the SQL standard incorporates object concepts and XML concepts into more recent versions of the SQL standard. Chapter 12 first introduces the concepts for object databases, and then shows how they have been incorporated into the SQL standard in order to add object capabilities to relational database systems. It then covers the ODMG object model standard, and its object definition and query languages. Chapter 13 covers the XML (eXtensible Markup Language) model and languages, and discusses how XML is related to database systems. It presents XML concepts and languages, and compares the XML model to traditional database models. We also show how data can be converted between the XML and relational representations, and the SQL commands for extracting XML documents from relational tables.
- Part 6 (Chapters 14 and 15) are the normalization and relational design theory chapters (we moved all the formal aspects of normalization algorithms to Chapter 15). Chapter 14 defines functional dependencies, and the normal forms that are based on functional dependencies. Chapter 14 also develops a step-by-step intuitive normalization approach, and includes the definitions of multivalued dependencies and join dependencies. Chapter 15 covers normalization theory, and the formalisms, theories,

and algorithms developed for relational database design by normalization, including the relational decomposition algorithms and the relational synthesis algorithms.

- Part 7 (Chapters 16 and 17) contains the chapters on file organizations on disk (Chapter 16) and indexing of database files (Chapter 17). Chapter 16 describes primary methods of organizing files of records on disk, including ordered (sorted), unordered (heap), and hashed files; both static and dynamic hashing techniques for disk files are covered. Chapter 16 has been updated to include materials on buffer management strategies for DBMSs as well as an overview of new storage devices and standards for files and modern storage architectures. Chapter 17 describes indexing techniques for files, including B-tree and B^+-tree data structures and grid files, and has been updated with new examples and an enhanced discussion on indexing, including how to choose appropriate indexes and index creation during physical design.
- Part 8 (Chapters 18 and 19) includes the chapters on query processing algorithms (Chapter 18) and optimization techniques (Chapter 19); these two chapters have been updated and reorganized from the single chapter that covered both topics in the previous editions and include some of the newer techniques that are used in commercial DBMSs. Chapter 18 presents algorithms for searching for records on disk files, and for joining records from two files (tables), as well as for other relational operations. Chapter 18 contains new material, including a discussion of the semi-join and anti-join operations with examples of how they are used in query processing, as well as a discussion of techniques for selectivity estimation. Chapter 19 covers techniques for query optimization using cost estimation and heuristic rules; it includes new material on nested subquery optimization, use of histograms, physical optimization, and join ordering methods and optimization of typical queries in data warehouses.
- Part 9 (Chapters 20, 21, and 22) covers transaction processing concepts; concurrency control; and database recovery from failures. These chapters have been updated to include some of the newer techniques that are used in some commercial and open source DBMSs. Chapter 20 introduces the techniques needed for transaction processing systems, and defines the concepts of recoverability and serializability of schedules; it has a new section on buffer replacement policies for DBMSs and a new discussion on the concept of snapshot isolation. Chapter 21 gives an overview of the various types of concurrency control protocols, with a focus on two-phase locking. We also discuss timestamp ordering and optimistic concurrency control techniques, as well as multiple-granularity locking. Chapter 21 includes a new presentation of concurrency control methods that are based on the snapshot isolation concept. Finally, Chapter 23 focuses on database recovery protocols, and gives an overview of the concepts and techniques that are used in recovery.

- Part 10 (Chapters 23, 24, and 25) includes the chapter on distributed databases (Chapter 23), plus the two new chapters on NOSQL storage systems for big data (Chapter 24) and big data technologies based on Hadoop and MapReduce (Chapter 25). Chapter 23 introduces distributed database concepts, including availability and scalability, replication and fragmentation of data, maintaining data consistency among replicas, and many other concepts and techniques. In Chapter 24, NOSQL systems are categorized into four general categories with an example system in each category used for our examples, and the data models, operations, as well as the replication/distribution/scalability strategies of each type of NOSQL system are discussed and compared. In Chapter 25, the MapReduce programming model for distributed processing of big data is introduced, and then we have presentations of the Hadoop system and HDFS (Hadoop Distributed File System), as well as the Pig and Hive high-level interfaces, and the YARN architecture.
- Part 11 (Chapters 26 through 29) is entitled Advanced Database Models, Systems, and Applications and includes the following materials: Chapter 26 introduces several advanced data models including active databases/triggers (Section 26.1), temporal databases (Section 26.2), spatial databases (Section 26.3), multimedia databases (Section 26.4), and deductive databases (Section 26.5). Chapter 27 discusses information retrieval (IR) and Web search, and includes topics such as IR and keyword-based search, comparing DB with IR, retrieval models, search evaluation, and ranking algorithms. Chapter 28 is an introduction to data mining including overviews of various data mining methods such as associate rule mining, clustering, classification, and sequential pattern discovery. Chapter 29 is an overview of data warehousing including topics such as data warehousing models and operations, and the process of building a data warehouse.
- Part 12 (Chapter 30) includes one chapter on database security, which includes a discussion of SQL commands for discretionary access control (GRANT, REVOKE), as well as mandatory security levels and models for including mandatory access control in relational databases, and a discussion of threats such as SQL injection attacks, as well as other techniques and methods related to data security and privacy.

Appendix A gives a number of alternative diagrammatic notations for displaying a conceptual ER or EER schema. These may be substituted for the notation we use, if the instructor prefers. Appendix B gives some important physical parameters of disks. Appendix C gives an overview of the QBE graphical query language, and Appendixes D and E (available on the book's Companion Website located at www.pearsonglobaleditions.com/Elmasri) cover legacy database systems, based on the hierarchical and network database models. They have been used for more than thirty years as a basis for many commercial database applications and transaction-processing systems.

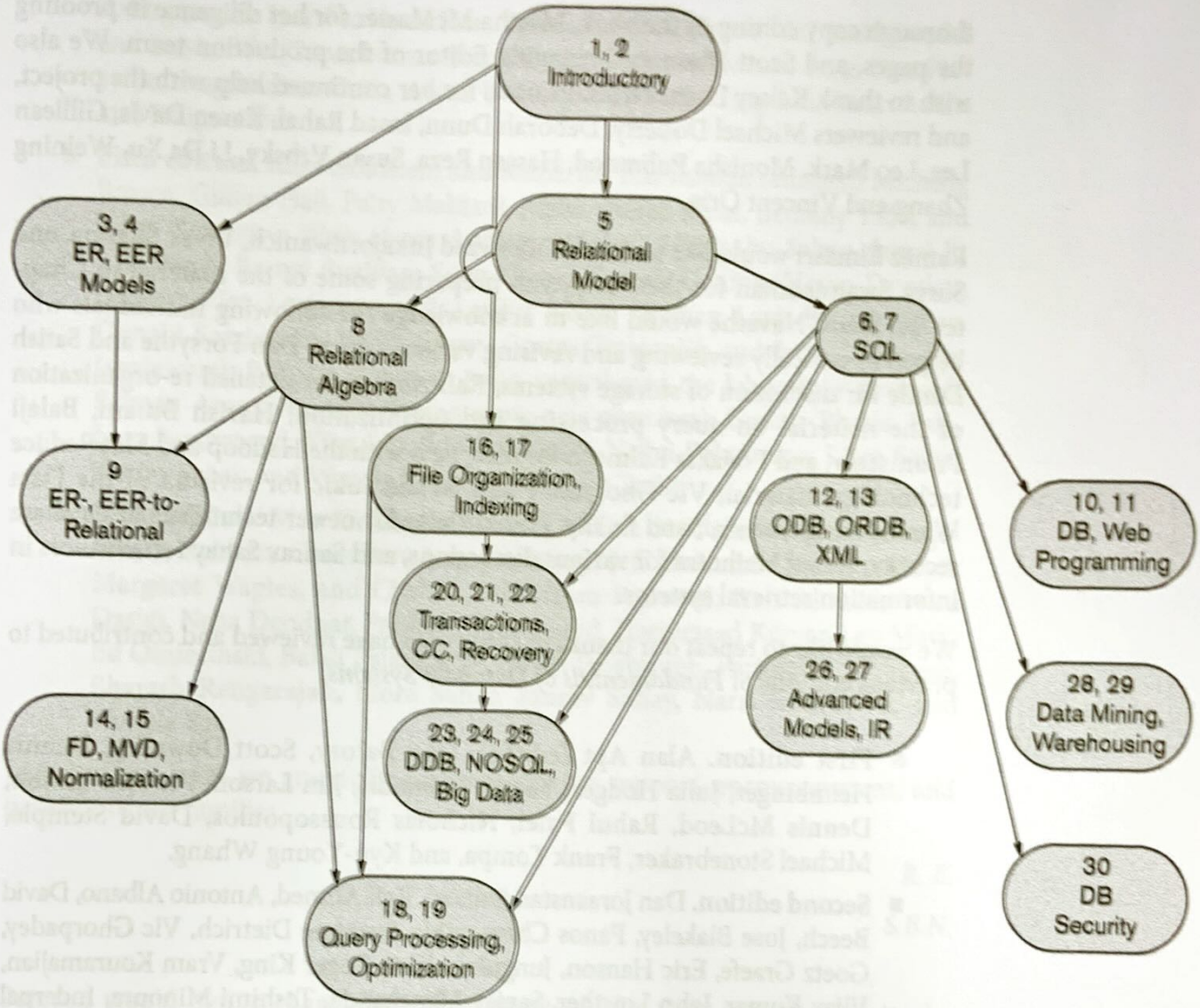
Guidelines for Using This Book

There are many different ways to teach a database course. The chapters in Parts 1 through 7 can be used in an introductory course on database systems in the order that they are given or in the preferred order of individual instructors. Selected chapters and sections may be left out and the instructor can add other chapters from the rest of the book, depending on the emphasis of the course. At the end of the opening section of some of the book's chapters, we list sections that are candidates for being left out whenever a less-detailed discussion of the topic is desired. We suggest covering up to Chapter 15 in an introductory database course and including selected parts of other chapters, depending on the background of the students and the desired coverage. For an emphasis on system implementation techniques, chapters from Parts 7, 8, and 9 should replace some of the earlier chapters.

Chapters 3 and 4, which cover conceptual modeling using the ER and EER models, are important for a good conceptual understanding of databases. However, they may be partially covered, covered later in a course, or even left out if the emphasis is on DBMS implementation. Chapters 16 and 17 on file organizations and indexing may also be covered early, later, or even left out if the emphasis is on database models and languages. For students who have completed a course on file organization, parts of these chapters can be assigned as reading material or some exercises can be assigned as a review for these concepts.

If the emphasis of a course is on database design, then the instructor should cover Chapters 3 and 4 early on, followed by the presentation of relational databases. A total life-cycle database design and implementation project would cover conceptual design (Chapters 3 and 4), relational databases (Chapters 5, 6, and 7), data model mapping (Chapter 9), normalization (Chapter 14), and application programs implementation with SQL (Chapter 10). Chapter 11 also should be covered if the emphasis is on Web database programming and applications. Additional documentation on the specific programming languages and RDBMS used would be required. The book is written so that it is possible to cover topics in various sequences. The following chapter dependency chart shows the major dependencies among chapters. As the diagram illustrates, it is possible to start with several different topics following the first two introductory chapters. Although the chart may seem complex, it is important to note that if the chapters are covered in order, the dependencies are not lost. The chart can be consulted by instructors wishing to use an alternative order of presentation.

For a one-semester course based on this book, selected chapters can be assigned as reading material. The book also can be used for a two-semester course sequence. The first course, *Introduction to Database Design and Database Systems*, at the sophomore, junior, or senior level, can cover most of Chapters 1 through 15. The second course, *Database Models and Implementation Techniques*, at the senior or first-year graduate level, can cover most of Chapters 16 through 30. The two-semester sequence can also be designed in various other ways, depending on the preferences of the instructors.



Supplemental Materials

Support material is available to qualified instructors at Pearson's instructor resource center (www.pearsonglobaleditions.com/elmasri). For access, contact your local Pearson representative.

- PowerPoint lecture notes and figures.
- A solutions manual.

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Contents

Preface 7
About the Authors 30

TRƯỜNG ĐẠI HỌC CÔNG NGHIỆP HÀ NỘI
TRUNG TÂM THÔNG TIN THƯ VIỆN
02 07
02380

part 1
Introduction to Databases

chapter 1 **Databases and Database Users** 33

1.1 Introduction 34
1.2 An Example 36
1.3 Characteristics of the Database Approach 40
1.4 Actors on the Scene 45
1.5 Workers behind the Scene 47
1.6 Advantages of Using the DBMS Approach 47
1.7 A Brief History of Database Applications 53
1.8 When Not to Use a DBMS 57
1.9 Summary 57
Review Questions 58
Exercises 58
Selected Bibliography 59

chapter 2 **Database System Concepts and Architecture** 61

2.1 Data Models, Schemas, and Instances 62
2.2 Three-Schema Architecture and Data Independence 66
2.3 Database Languages and Interfaces 68
2.4 The Database System Environment 72
2.5 Centralized and Client/Server Architectures for DBMSs 76
2.6 Classification of Database Management Systems 81
2.7 Summary 84
Review Questions 85
Exercises 85
Selected Bibliography 86

part 2
Conceptual Data Modeling and Database Design

chapter 3 Data Modeling Using the Entity–Relationship (ER) Model 89

3.1 Using High-Level Conceptual Data Models for Database Design 90
3.2 A Sample Database Application 92
3.3 Entity Types, Entity Sets, Attributes, and Keys 93
3.4 Relationship Types, Relationship Sets, Roles, and Structural Constraints 102
3.5 Weak Entity Types 109
3.6 Refining the ER Design for the COMPANY Database 110
3.7 ER Diagrams, Naming Conventions, and Design Issues 111
3.8 Example of Other Notation: UML Class Diagrams 115
3.9 Relationship Types of Degree Higher than Two 118
3.10 Another Example: A UNIVERSITY Database 122
3.11 Summary 124
Review Questions 126
Exercises 126
Laboratory Exercises 133
Selected Bibliography 134

chapter 4 The Enhanced Entity–Relationship (EER) Model 137

4.1 Subclasses, Superclasses, and Inheritance 138
4.2 Specialization and Generalization 140
4.3 Constraints and Characteristics of Specialization and Generalization Hierarchies 143
4.4 Modeling of UNION Types Using Categories 150
4.5 A Sample UNIVERSITY EER Schema, Design Choices, and Formal Definitions 152
4.6 Example of Other Notation: Representing Specialization and Generalization in UML Class Diagrams 157
4.7 Data Abstraction, Knowledge Representation, and Ontology Concepts 158
4.8 Summary 165
Review Questions 165
Exercises 166
Laboratory Exercises 173
Selected Bibliography 176

■ part 3
The Relational Data Model and SQL ■

chapter 5 **The Relational Data Model and Relational Database Constraints** 179

5.1 Relational Model Concepts 180
5.2 Relational Model Constraints and Relational Database Schemas 187
5.3 Update Operations, Transactions, and Dealing with Constraint Violations 195
5.4 Summary 199
Review Questions 200
Exercises 200
Selected Bibliography 205

chapter 6 **Basic SQL** 207

6.1 SQL Data Definition and Data Types 209
6.2 Specifying Constraints in SQL 214
6.3 Basic Retrieval Queries in SQL 217
6.4 INSERT, DELETE, and UPDATE Statements in SQL 228
6.5 Additional Features of SQL 231
6.6 Summary 232
Review Questions 233
Exercises 233
Selected Bibliography 235

chapter 7 **More SQL: Complex Queries, Triggers, Views, and Schema Modification** 237

7.1 More Complex SQL Retrieval Queries 237
7.2 Specifying Constraints as Assertions and Actions as Triggers 255
7.3 Views (Virtual Tables) in SQL 258
7.4 Schema Change Statements in SQL 262
7.5 Summary 264
Review Questions 266
Exercises 266
Selected Bibliography 268

chapter 8 **The Relational Algebra and Relational Calculus** 269

8.1 Unary Relational Operations: SELECT and PROJECT 271
8.2 Relational Algebra Operations from Set Theory 276

8.3 Binary Relational Operations: JOIN and DIVISION 281
8.4 Additional Relational Operations 289
8.5 Examples of Queries in Relational Algebra 295
8.6 The Tuple Relational Calculus 298
8.7 The Domain Relational Calculus 307
8.8 Summary 309
Review Questions 310
Exercises 311
Laboratory Exercises 316
Selected Bibliography 318

chapter 9 Relational Database Design by ER- and EER-to-Relational Mapping 319

9.1 Relational Database Design Using ER-to-Relational Mapping 320
9.2 Mapping EER Model Constructs to Relations 328
9.3 Summary 333
Review Questions 333
Exercises 333
Laboratory Exercises 335
Selected Bibliography 336

part 4
Database Programming Techniques

chapter 10 Introduction to SQL Programming Techniques 339

10.1 Overview of Database Programming Techniques and Issues 340
10.2 Embedded SQL, Dynamic SQL, and SQLJ 344
10.3 Database Programming with Function Calls and Class Libraries: SQL/CLI and JDBC 356
10.4 Database Stored Procedures and SQL/PSM 365
10.5 Comparing the Three Approaches 368
10.6 Summary 369
Review Questions 370
Exercises 370
Selected Bibliography 371

chapter 11 Web Database Programming Using PHP 373

11.1 A Simple PHP Example 374
11.2 Overview of Basic Features of PHP 376

11.3 Overview of PHP Database Programming 383
11.4 Brief Overview of Java Technologies for Database Web Programming 388
11.5 Summary 388
Review Questions 389
Exercises 389
Selected Bibliography 389

part 5
Object, Object-Relational, and XML: Concepts, Models, Languages, and Standards

chapter 12 Object and Object-Relational Databases 393

12.1 Overview of Object Database Concepts 395
12.2 Object Database Extensions to SQL 409
12.3 The ODMG Object Model and the Object Definition Language ODL 416
12.4 Object Database Conceptual Design 435
12.5 The Object Query Language OQL 438
12.6 Overview of the C++ Language Binding in the ODMG Standard 447
12.7 Summary 448
Review Questions 450
Exercises 451
Selected Bibliography 452

chapter 13 XML: Extensible Markup Language 455

13.1 Structured, Semistructured, and Unstructured Data 456
13.2 XML Hierarchical (Tree) Data Model 460
13.3 XML Documents, DTD, and XML Schema 463
13.4 Storing and Extracting XML Documents from Databases 472
13.5 XML Languages 473
13.6 Extracting XML Documents from Relational Databases 477
13.7 XML/SQL: SQL Functions for Creating XML Data 483
13.8 Summary 485
Review Questions 486
Exercises 486
Selected Bibliography 486

part 6
Database Design Theory and Normalization

chapter 14 Basics of Functional Dependencies and Normalization for Relational Databases 489

14.1 Informal Design Guidelines for Relation Schemas 491
14.2 Functional Dependencies 501
14.3 Normal Forms Based on Primary Keys 504
14.4 General Definitions of Second and Third Normal Forms 513
14.5 Boyce-Codd Normal Form 517
14.6 Multivalued Dependency and Fourth Normal Form 521
14.7 Join Dependencies and Fifth Normal Form 524
14.8 Summary 525
Review Questions 526
Exercises 527
Laboratory Exercises 531
Selected Bibliography 532

chapter 15 Relational Database Design Algorithms and Further Dependencies 533

15.1 Further Topics in Functional Dependencies: Inference Rules, Equivalence, and Minimal Cover 535
15.2 Properties of Relational Decompositions 543
15.3 Algorithms for Relational Database Schema Design 549
15.4 About Nulls, Dangling Tuples, and Alternative Relational Designs 553
15.5 Further Discussion of Multivalued Dependencies and 4NF 557
15.6 Other Dependencies and Normal Forms 560
15.7 Summary 563
Review Questions 564
Exercises 565
Laboratory Exercises 566
Selected Bibliography 567

■ part 7

File Structures, Hashing, Indexing, and Physical Database Design ■

chapter 16 Disk Storage, Basic File Structures, Hashing, and Modern Storage Architectures 571

16.1 Introduction 572
16.2 Secondary Storage Devices 577
16.3 Buffering of Blocks 586
16.4 Placing File Records on Disk 590
16.5 Operations on Files 594
16.6 Files of Unordered Records (Heap Files) 597
16.7 Files of Ordered Records (Sorted Files) 598
16.8 Hashing Techniques 602
16.9 Other Primary File Organizations 612
16.10 Parallelizing Disk Access Using RAID Technology 614
16.11 Modern Storage Architectures 618
16.12 Summary 622
Review Questions 623
Exercises 625
Selected Bibliography 628

chapter 17 Indexing Structures for Files and Physical Database Design 631

17.1 Types of Single-Level Ordered Indexes 632
17.2 Multilevel Indexes 643
17.3 Dynamic Multilevel Indexes Using B-Trees and B^+-Trees 647
17.4 Indexes on Multiple Keys 661
17.5 Other Types of Indexes 663
17.6 Some General Issues Concerning Indexing 668
17.7 Physical Database Design in Relational Databases 673
17.8 Summary 676
Review Questions 677
Exercises 678
Selected Bibliography 680

part 8
Query Processing and Optimization

chapter 18 Strategies for Query Processing 685

18.1 Translating SQL Queries into Relational Algebra and Other Operators 687
18.2 Algorithms for External Sorting 690
18.3 Algorithms for SELECT Operation 693
18.4 Implementing the JOIN Operation 698
18.5 Algorithms for PROJECT and Set Operations 706
18.6 Implementing Aggregate Operations and Different Types of JOINs 708
18.7 Combining Operations Using Pipelining 711
18.8 Parallel Algorithms for Query Processing 713
18.9 Summary 718
Review Questions 718
Exercises 719
Selected Bibliography 719

chapter 19 Query Optimization 721

19.1 Query Trees and Heuristics for Query Optimization 722
19.2 Choice of Query Execution Plans 731
19.3 Use of Selectivities in Cost-Based Optimization 740
19.4 Cost Functions for SELECT Operation 744
19.5 Cost Functions for the JOIN Operation 747
19.6 Example to Illustrate Cost-Based Query Optimization 756
19.7 Additional Issues Related to Query Optimization 758
19.8 An Example of Query Optimization in Data Warehouses 761
19.9 Overview of Query Optimization in Oracle 763
19.10 Semantic Query Optimization 767
19.11 Summary 768
Review Questions 769
Exercises 770
Selected Bibliography 770

part 9
Transaction Processing, Concurrency Control, and Recovery

chapter 20 Introduction to Transaction Processing Concepts and Theory 775

20.1 Introduction to Transaction Processing 776
20.2 Transaction and System Concepts 783
20.3 Desirable Properties of Transactions 787
20.4 Characterizing Schedules Based on Recoverability 789
20.5 Characterizing Schedules Based on Serializability 793
20.6 Transaction Support in SQL 803
20.7 Summary 806
Review Questions 807
Exercises 807
Selected Bibliography 809

chapter 21 Concurrency Control Techniques 811

21.1 Two-Phase Locking Techniques for Concurrency Control 812
21.2 Concurrency Control Based on Timestamp Ordering 822
21.3 Multiversion Concurrency Control Techniques 825
21.4 Validation (Optimistic) Techniques and Snapshot Isolation Concurrency Control 828
21.5 Granularity of Data Items and Multiple Granularity Locking 830
21.6 Using Locks for Concurrency Control in Indexes 835
21.7 Other Concurrency Control Issues 836
21.8 Summary 837
Review Questions 838
Exercises 839
Selected Bibliography 840

chapter 22 Database Recovery Techniques 843

22.1 Recovery Concepts 844
22.2 NO-UNDO/REDO Recovery Based on Deferred Update 851
22.3 Recovery Techniques Based on Immediate Update 853

22.4 Shadow Paging 856
22.5 The ARIES Recovery Algorithm 857
22.6 Recovery in Multidatabase Systems 861
22.7 Database Backup and Recovery from Catastrophic Failures 862
22.8 Summary 863
Review Questions 864
Exercises 865
Selected Bibliography 868

part 10
Distributed Databases, NOSQL Systems, and Big Data

chapter 23 Distributed Database Concepts 871

23.1 Distributed Database Concepts 872
23.2 Data Fragmentation, Replication, and Allocation Techniques for Distributed Database Design 877
23.3 Overview of Concurrency Control and Recovery in Distributed Databases 884
23.4 Overview of Transaction Management in Distributed Databases 887
23.5 Query Processing and Optimization in Distributed Databases 889
23.6 Types of Distributed Database Systems 895
23.7 Distributed Database Architectures 898
23.8 Distributed Catalog Management 905
23.9 Summary 906
Review Questions 907
Exercises 908
Selected Bibliography 910

chapter 24 NOSQL Databases and Big Data Storage Systems 913

24.1 Introduction to NOSQL Systems 914
24.2 The CAP Theorem 918
24.3 Document-Based NOSQL Systems and MongoDB 920
24.4 NOSQL Key-Value Stores 925
24.5 Column-Based or Wide Column NOSQL Systems 930
24.6 NOSQL Graph Databases and Neo4j 933
24.7 Summary 939
Review Questions 939
Selected Bibliography 940

chapter 25 Big Data Technologies Based on MapReduce and Hadoop 941

25.1 What Is Big Data? 944
25.2 Introduction to MapReduce and Hadoop 946
25.3 Hadoop Distributed File System (HDFS) 951
25.4 MapReduce: Additional Details 956
25.5 Hadoop v2 alias YARN 966
25.6 General Discussion 974
25.7 Summary 983
Review Questions 984
Selected Bibliography 986

■ part 11

Advanced Database Models, Systems, and Applications ■

chapter 26 Enhanced Data Models: Introduction to Active, Temporal, Spatial, Multimedia, and Deductive Databases 991

26.1 Active Database Concepts and Triggers 993
26.2 Temporal Database Concepts 1004
26.3 Spatial Database Concepts 1017
26.4 Multimedia Database Concepts 1024
26.5 Introduction to Deductive Databases 1029
26.6 Summary 1042
Review Questions 1044
Exercises 1045
Selected Bibliography 1048

chapter 27 Introduction to Information Retrieval and Web Search 1051

27.1 Information Retrieval (IR) Concepts 1052
27.2 Retrieval Models 1059
27.3 Types of Queries in IR Systems 1065
27.4 Text Preprocessing 1067
27.5 Inverted Indexing 1070
27.6 Evaluation Measures of Search Relevance 1074
27.7 Web Search and Analysis 1077

27.8 Trends in Information Retrieval 1087
27.9 Summary 1093
Review Questions 1094
Selected Bibliography 1096

chapter 28 Data Mining Concepts 1099

28.1 Overview of Data Mining Technology 1100
28.2 Association Rules 1103
28.3 Classification 1115
28.4 Clustering 1118
28.5 Approaches to Other Data Mining Problems 1121
28.6 Applications of Data Mining 1124
28.7 Commercial Data Mining Tools 1124
28.8 Summary 1127
Review Questions 1127
Exercises 1128
Selected Bibliography 1129

chapter 29 Overview of Data Warehousing and OLAP 1131

29.1 Introduction, Definitions, and Terminology 1132
29.2 Characteristics of Data Warehouses 1133
29.3 Data Modeling for Data Warehouses 1135
29.4 Building a Data Warehouse 1141
29.5 Typical Functionality of a Data Warehouse 1144
29.6 Data Warehouse versus Views 1145
29.7 Difficulties of Implementing Data Warehouses 1146
29.8 Summary 1147
Review Questions 1147
Selected Bibliography 1148

■ part 12
Additional Database Topics: Security ■

chapter 30 Database Security 1151

30.1 Introduction to Database Security Issues 1152
30.2 Discretionary Access Control Based on Granting and Revoking Privileges 1159
30.3 Mandatory Access Control and Role-Based Access Control for Multilevel Security 1164

30.4 SQL Injection 1173
30.5 Introduction to Statistical Database Security 1176
30.6 Introduction to Flow Control 1177
30.7 Encryption and Public Key Infrastructures 1179
30.8 Privacy Issues and Preservation 1183
30.9 Challenges to Maintaining Database Security 1184
30.10 Oracle Label-Based Security 1185
30.11 Summary 1188
Review Questions 1189
Exercises 1190
Selected Bibliography 1191

appendix A Alternative Diagrammatic Notations for ER Models 1193

appendix B Parameters of Disks 1197

appendix C Overview of the QBE Language 1201
C.1 Basic Retrievals in QBE 1201
C.2 Grouping, Aggregation, and Database Modification in QBE 1205

appendix D Overview of the Hierarchical Data Model
(located on the Companion Website at www.pearsonglobaleditions.com/Elmasri)

appendix E Overview of the Network Data Model
(located on the Companion Website at www.pearsonglobaleditions.com/Elmasri)

Bibliography 1209

Index 1245