### CSE532 Theory of Database Systems The Relational Data Model

CSE 532, Theory of Database Systems Stony Brook University <u>http://www.cs.stonybrook.edu/~cse532</u>

#### Table

- For relational databases data is stored in tables.
- Set of rows (no duplicates)
- Each *row* describes a different entity
- Each *column* states a particular fact about each entity
  - Each column has an associated *domain* 
    - Domain of *Status* = {fresh, soph, junior, senior}

Id	Name	Address	Status
1111	John	123 Main	fresh
2222	Mary	321 Oak	soph
1234	Bob	444 Pine	soph
9999	Joan	777 Grand	senior

#### Relation

- Mathematical entity corresponding to a table
  - row  $\sim$  tuple
  - column ~ *attribute*
- Values in a tuple are *related* to each other
  - John lives at 123 Main
- Relation **R** can be thought of as predicate **R** 
  - $\mathbf{R}(X, Y, Z)$  is true *iff* tuple (x, y, z) is in  $\mathbf{R}$ 
    - a tuple is an ordered fixed-sized sequence
  - **R** is a set of tuples:  $\mathbf{R} = \{(\text{John}, 111 \text{ Main St}, \text{fresh}), \ldots\}$

#### **Creating Tables**

CREATE TABLE Student ( *Id* INTEGER, *Name* CHAR(20), *Address* CHAR(50), *Status* CHAR(10), PRIMARY KEY (*Id*) )

Constraint

#### Operations

- Operations on relations are precisely defined
  - Take relation(s) as argument, produce new relation as result
    - Unary (*e.g.*, delete certain rows)
    - Binary (*e.g.*, **union, Cartesian product**)
- Corresponding operations defined on tables as well
- Using mathematical properties, *equivalence* can be decided
  - Important for *query optimization*:

## Structured Query Language: SQL

- Language for manipulating tables
- Declarative Statement specifies what needs to be obtained, not how it is to be achieved (e.g., how to access data, the order of operations)
- Due to declarativity of SQL, <u>DBMS determines</u> <u>evaluation strategy</u>
  - This greatly simplifies application programs
  - *But DBMS is not infallible*: programmers should have an idea of strategies used by DBMS so they can design better tables, indices, statements, in such a way that DBMS can evaluate statements efficiently

# Structured Query Language (SQL)

SELECT < attribute list> FROM WHERE < condition>

- Language for constructing a new table from argument table(s)
  - FROM indicates source tables
  - WHERE indicates which *rows* to retain
    - It acts as a filter
  - **SELECT** indicates which *columns* to extract from retained rows
    - Projection
- The result is a table.

#### Simple Example

SELECT *Name* FROM *Student* WHERE *Id* > 4999

	Id	Name	Address	Status		Name
	1234	John	123 Main	fresh		Mary
	5522	Mary	77 Pine	senior		Bill
	9876	Bill	83 Oak	junior		
			Result			
Student						

#### More Examples

SELECT Id, Name FROM Student

SELECT *Id*, *Name* FROM Student WHERE *Status* = 'senior'

SELECT \* FROM Student WHERE *Status* = 'senior'

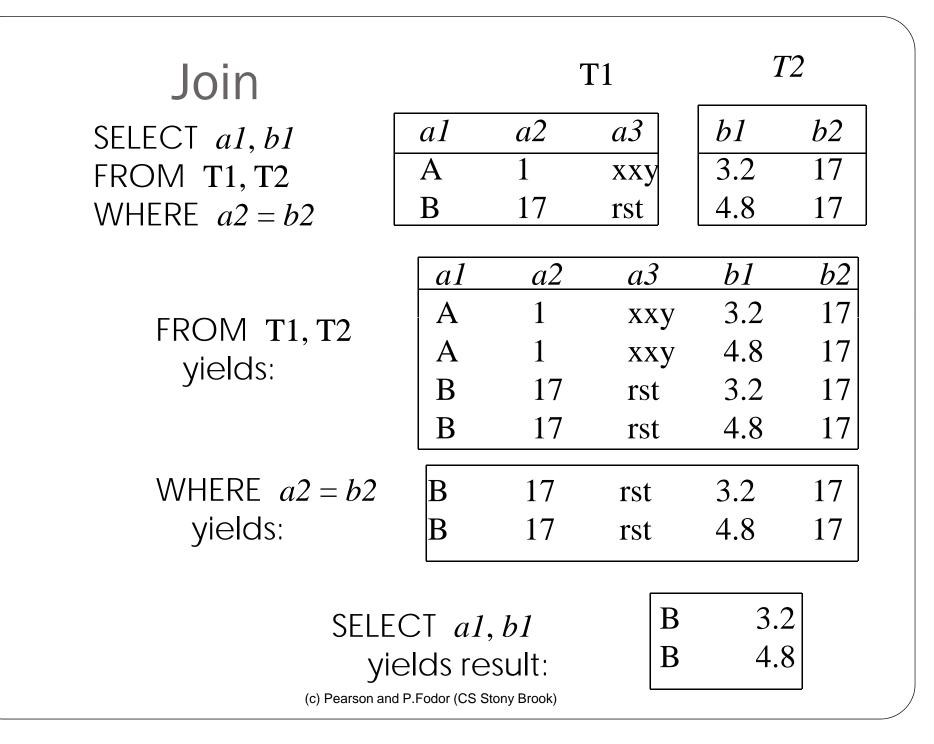
result is a table with one column and one row

SELECT COUNT(\*) FROM Student WHERE *Status* = 'senior'

## **Complex Example**

- **Goal:** table in which each row names a senior and gives a course taken and grade
- Combines information in two tables:
  - Student: Id, Name, Address, Status
  - Transcript: StudId, CrsCode, Semester, Grade

SELECT *Name*, *CrsCode*, *Grade* FROM Student, Transcript WHERE *StudId* = *Id* AND *Status* = '*senior*'



#### Modifying Tables

UPDATE *Student* SET *Status* = 'soph' WHERE *Id* = 11111111

INSERT INTO Student (*Id*, *Name*, *Address*, *Status*) VALUES (999999999, 'Bill', '432 Pine', 'senior')

DELETE FROM Student WHERE *Id* = 111111111

# Transactions

- Many enterprises use databases to store information about their state
  - *E.g.*, balances of all depositors
- The occurrence of a real-world event that changes the enterprise state requires the execution of a program that changes the database state in a corresponding way
  - *E.g.*, balance must be updated when you deposit
- A *transaction* is a program that accesses the database in response to real-world events

## Transactions

- Transactions are <u>not just ordinary programs</u>
- Additional requirements are placed on transactions (and particularly their execution environment) that go beyond the requirements placed on ordinary programs.
  - Atomicity
  - Consistency
  - Isolation
  - Durability

ACID properties

## **A**tomicity

- A real-world event either happens or does not happen.
  - Student either registers or does not register.
- Similarly, the system must ensure that either the transaction runs to completion (*commits*) or, if it does not complete, it has no effect at all (*aborts*).
  - This is not true of ordinary programs. A hardware or software failure could leave files partially updated.

# Integrity Constraints

- Rules of the enterprise generally limit the occurrence of certain real-world events.
  - Student cannot register for a course if current number of registrants = maximum allowed
- Correspondingly, allowable database states are restricted.
  - cur\_reg <= max\_reg
- These limitations are expressed as *integrity constraints*, which are assertions that must be satisfied by the database state.

### Consistency

- Transaction designer must ensure that
  - IF the database is in a state that satisfies all integrity constraints when execution of a transaction is started
  - THEN when the transaction completes:
    - All integrity constraints are once again satisfied (constraints can be violated in intermediate states)
    - New database state satisfies specifications of transaction

#### solation

- Deals with the execution of multiple transactions concurrently.
- If the initial database state is consistent and accurately reflects the real-world state, then the *serial* (one after another) execution of a set of consistent transactions preserves consistency.
- But serial execution is *inadequate* from a performance perspective.

### Durability

- The system must ensure that once a transaction commits its effect on the database state is not lost in spite of subsequent failures.
  - Not true of ordinary systems. For example, a media failure after a program terminates could cause the file system to be restored to a state that preceded the execution of the program.

# More on Isolation

- Concurrent (interleaved) execution of a set of transactions offers performance benefits, but might not be correct.
- **Example**: Two students execute the course registration transaction at about the same time

(*cur\_reg* is the number of current registrants)

```
T_{1}: \operatorname{read}(cur\_reg:29) \qquad \text{write}(cur\_reg:30)
T_{2}: \qquad \operatorname{read}(cur\_reg:29) \quad \text{write}(cur\_reg:30)
time \rightarrow
```

Result: Database state no longer corresponds to real-world state, integrity constraint violated.

# More on Isolation

- The effect of concurrently executing a set of transactions must be the same as if they had executed serially in some order
  - The execution is thus *not* serial, but *serializable*
- Serializable execution has better performance than serial, but performance might still be inadequate. Database systems offer several isolation levels with different performance characteristics (but some guarantee correctness only for certain kinds of transactions – not in general)

## **ACID Properties**

- The transaction monitor is responsible for ensuring atomicity, durability, and (the requested level of) isolation.
  - Hence it provides the abstraction of failure-free, nonconcurrent environment, greatly simplifying the task of the transaction designer.
- The transaction designer is responsible for ensuring the consistency of each transaction, but doesn't need to worry about concurrency and system failures.

### Data and Its Structure

- Data is actually stored as bits, but it is difficult to work with data at this level.
- It is convenient to view data at different *levels of abstraction*.
- *Schema*: Description of data at some abstraction level. Each level has its own schema.
- We will be concerned with three schemas: *physical*, *conceptual*, and *external*.

## Physical Data Level

- *Physical schema* describes details of how data is stored: tracks, cylinders, indices etc.
- Early applications worked at this level explicitly dealt with details.
- **Problem:** Routines were hard-coded to deal with physical representation.
  - Changes to data structure difficult to make.
  - Application code becomes complex since it must deal with details.
  - Rapid implementation of new features impossible.

# **Conceptual Data Level**

- Hides details.
  - In the relational model, the conceptual schema presents data as a set of tables.
- DBMS maps from conceptual to physical schema automatically.
- Physical schema can be changed without changing application:
  - DBMS would change mapping from conceptual to physical transparently
  - This property is referred to as *physical data independence*



Conceptual view of data

> Physical view of data

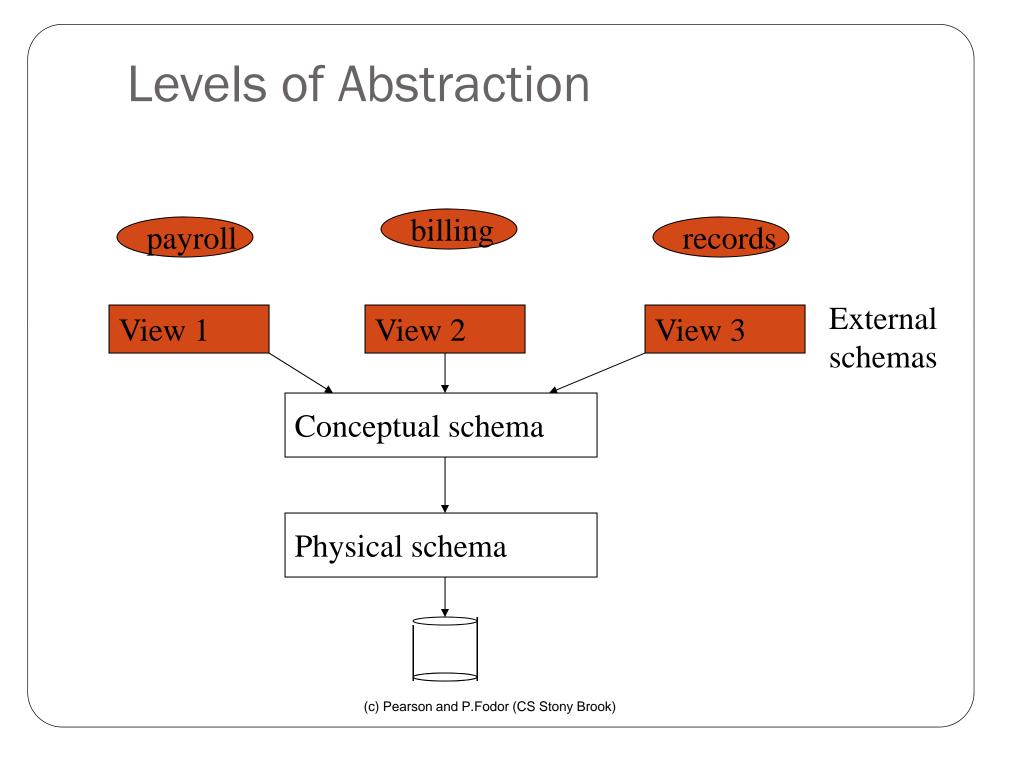
DBMS

## **External Data Level**

- In the relational model, the *external schema* also presents data as a set of relations.
- An external schema specifies a *view* of the data in terms of the conceptual level. It is tailored to the needs of a particular category of users.
  - Portions of stored data should not be seen by some users.
    - Students should not see their files in full.
    - Faculty should not see billing data.
  - Information that can be derived from stored data might be viewed as if it were stored.
    - GPA not stored, but calculated when needed.

# External Data Level (con't)

- Application is written in terms of an external schema.
- A view is computed when accessed (not stored).
- Different external schemas can be provided to different categories of users.
- Translation from external to conceptual done automatically by DBMS at run time.
- Conceptual schema can be changed without changing application:
  - Mapping from external to conceptual must be changed.
- Referred to as *conceptual data independence*.



# Data Model

- Schema: description of data at some level (*e.g.*, tables, attributes, constraints, domains)
- **Model**: tools and language for describing:
  - Conceptual and external schema
    - Data definition language (DDL)
  - Integrity constraints, domains (DDL)
  - Operations on data
    - Data manipulation language (DML)
  - Directives that influence the physical schema (affects performance, not semantics)
    - Storage definition language (SDL)

# **Relational Model**

- A particular way of structuring data (using relations)
- Simple
- Mathematically based
  - Expressions ( $\equiv$  *queries*) can be analyzed by DBMS
  - Queries are transformed to equivalent expressions automatically (*query optimization*)
    - Optimizers have limits (=> programmer needs to know how queries are evaluated and optimized)

### **Relation Instance**

- Relation is a set of tuples
  - Tuple ordering immaterial
  - No duplicates
  - *Cardinality* of relation = number of tuples
- All tuples in a relation have the same structure; constructed from the same set of attributes
  - Attributes are named (ordering is immaterial)
  - Value of an attribute is drawn from the attribute's *domain* 
    - There is also a special value **null** (value unknown or undefined), which belongs to no domain
  - *Arity* of relation = number of attributes

#### **Relation Schema**

- Relation name
- Attribute names & domains
- Integrity constraints like
  - The values of a particular attribute in all tuples are unique
  - The values of a particular attribute in all tuples are greater than 0
- Default values

### **Relational Database**

- Finite set of relations
- Each relation consists of a schema and an instance
- *Database schema* = set of relation schemas constraints among relations (*inter-relational* constraints)
- *Database instance* = set of (corresponding) relation instances

## Database Schema (Example)

- Student (*Id*: INT, *Name*: STRING, *Address*: STRING, *Status*: STRING)
- Professor (Id: INT, Name: STRING, DeptId: DEPTS)
- Course (DeptId: DEPTS, CrsName: STRING, CrsCode: COURSES)
- Transcript (*CrsCode*: COURSES, *StudId*: INT,
  - Grade: GRADES, Semester: SEMESTERS)
- Department(*DeptId*: DEPTS, *Name*: STRING)

# Integrity Constraints

- Part of schema
- Restriction on state (or of sequence of states) of data base
- Enforced by DBMS
- *Intra-relational* involve only one relation
  - Part of relation schema
  - e.g., all *Ids* are unique
- Inter-relational involve several relations
  - Part of relation schema or database schema

# **Constraint Checking**

- <u>Automatically</u> checked by DBMS
- Protects database from errors
- Enforces enterprise rules

# Kinds of Integrity Constraints

- Static restricts legal states of database
  - Syntactic (structural)
    - e.g., all values in a column must be unique
  - Semantic (involve meaning of attributes)
    - e.g., cannot register for more than 18 credits
- Dynamic limitation on sequences of database states
  - e.g., cannot raise salary by more than 5%

# Key Constraint

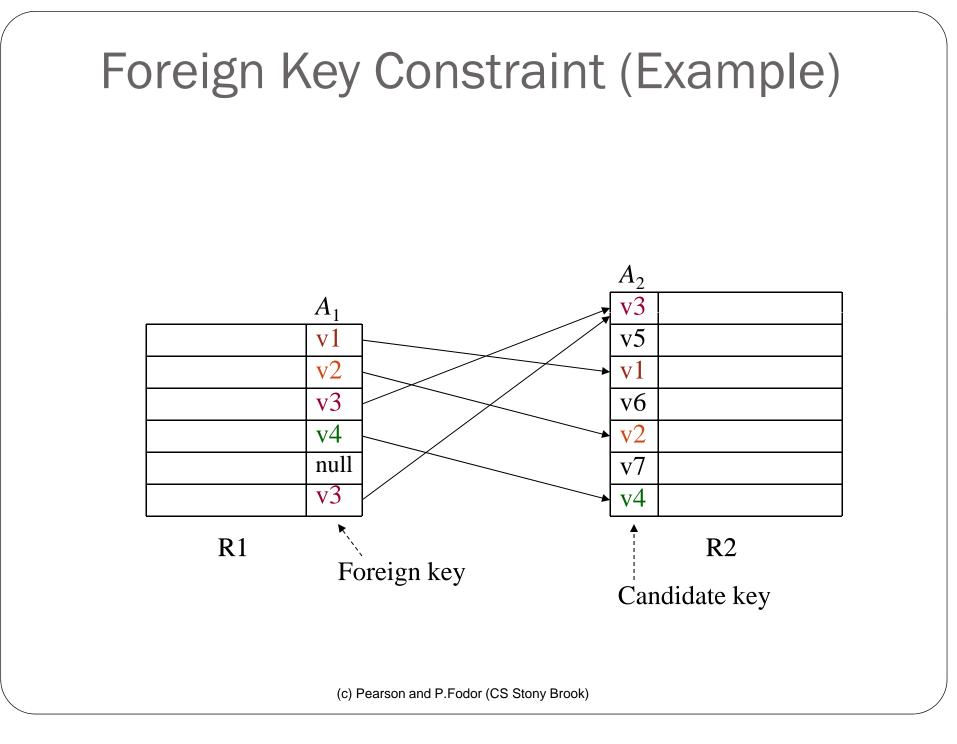
- A *key constraint* is a sequence of attributes A<sub>1</sub>,...,A<sub>n</sub> (n=1 possible) of a relation schema, S, with the following property:
  - A relation instance **s** of **S** satisfies the key constraint iff at most one row in **s** can contain a particular set of values,  $a_1, \ldots, a_n$ , for the attributes  $A_1, \ldots, A_n$
  - *Minimality*: no subset of  $A_1, \ldots, A_n$  is a key constraint
- Key
  - Set of attributes mentioned in a key constraint
    - e.g., *Id* in Student,
    - e.g., (StudId, CrsCode, Semester) in Transcript
  - It is *minimal*: no subset of a key is a key
    - (*Id*, *Name*) is not a key of Student

# Key Constraint (cont'd)

- *Superkey* set of attributes containing key
  - (*Id*, *Name*) is a superkey of Student
- Every relation has a key
- Relation can have several keys:
  - *primary key: Id* in Student (can't be **null**)
  - candidate key: (Name, Address) in Student

# Foreign Key Constraint

- *Referential integrity:* Item named in one relation must refer to tuples that describe that item in another
  - Transcript (CrsCode) references Course(CrsCode)
  - Professor(*DeptId*) references Department(*DeptId*)
- Attribute  $A_1$  is a *foreign key* of R1 referring to attribute  $A_2$  in R2, if whenever there is a value v of  $A_1$ , there is a tuple of R2 in which  $A_2$  has value v, and  $A_2$  is a key of R2
  - This is a special case of referential integrity: A<sub>2</sub> must be a candidate key of R2 (e.g., *CrsCode* is a key of Course in the above)
  - If no row exists in R2 => violation of referential integrity
  - Not all rows of R2 need to be referenced: relationship is not symmetric (e.g., some course might not be taught)
  - Value of a foreign key might not be specified (*DeptId* column of some professor might be **null**)



# Foreign Key (cont'd)

- Names of the attrs  $A_1$  and  $A_2$  need not be the same.
  - With tables:

Teaching(*CrsCode*: COURSES, *Sem*: SEMESTERS, *ProfId*: INT) Professor(*Id*: INT, *Name*: STRING, *DeptId*: DEPTS)

*ProfId* attribute of Teaching references *Id* attribute of Professor

- R1 and R2 need not be distinct.
  - Employee(*Id*:INT, *MgrId*:INT, ....)
    - Employee(*MgrId*) references Employee(*Id*)
  - Every manager is also an employee and hence has a unique row in Employee

# Foreign Key (cont'd)

• Foreign key might consist of several columns

- (CrsCode, Semester) of Transcript references (CrsCode, Semester) of Teaching
- $R1(A_1, \ldots, A_n)$  <u>references</u>  $R2(B_1, \ldots, B_n)$ 
  - $A_i$  and  $B_i$  must have same domains (although not necessarily the same names)
  - $B_1, \ldots, B_n$  must be a candidate key of R2

# Inclusion Dependency

- Referential integrity constraint that is not a foreign key constraint
- Teaching(CrsCode, Semester) references Transcript(CrsCode, Semester) (no empty classes allowed)
- Target attributes do not form a candidate key in Transcript (*StudId* missing)
- No simple enforcement mechanism for inclusion dependencies in SQL (requires *assertions -- later*)

# SQL

- Language for describing database schema and operations on tables
- *Data Definition Language* (DDL): sublanguage of SQL for describing schema

# Tables

- SQL entity that corresponds to a relation
- An element of the database schema
- SQL-92 is currently the most supported standard but is now superseded by SQL:1999 and SQL:2003
- Database vendors generally deviate from the standard, but eventually converge

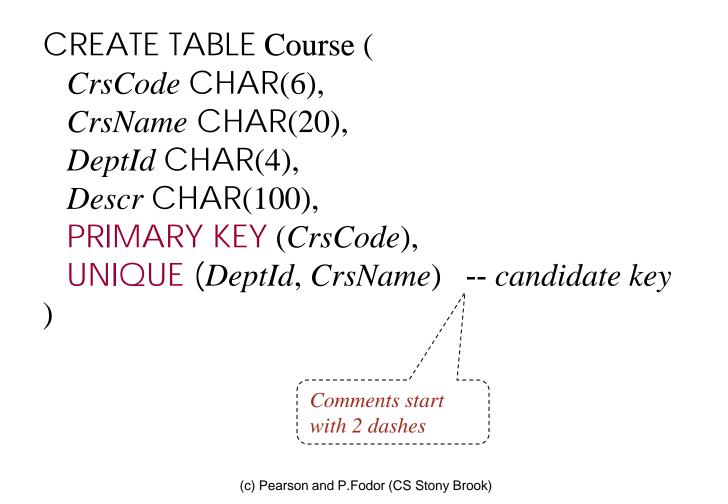
# **Table Declaration**

CREATE TABLE Student ( *Id*: INTEGER, *Name*: CHAR(20), *Address*: CHAR(50), *Status*: CHAR(10)

Id	Name	Address	Status
101222333		10 Cedar St	Freshman
234567890		22 Main St	Sophomore

#### Student

### Primary/Candidate Keys



# Null

- **Problem**: Not all information might be known when row is inserted (e.g., *Grade* might be missing from Transcript)
- A column might not be applicable for a particular row (e.g., *MaidenName* if row describes a male)
- *Solution*: Use place holder null
  - Not a value of any domain (although called null value)
    - Indicates the absence of a value
  - Not allowed in certain situations
    - Primary keys and columns constrained by NOT NULL

### **Default Value**

# -Value to be assigned if attribute value in a row is not specified

CREATE TABLE Student ( *Id* INTEGER, *Name* CHAR(20) NOT NULL, *Address* CHAR(50), *Status* CHAR(10) DEFAULT 'freshman', PRIMARY KEY (Id) )

# Semantic Constraints in SQL

- Primary key and foreign key are examples of *structural* constraints
- Semantic constraints
  - Express the logic of the application at hand:
    - e.g., number of registered students  $\leq$  maximum enrollment

# Semantic Constraints (cont'd)

- Used for application dependent conditions
- *Example*: limit attribute values

CREATE TABLE Transcript ( StudId INTEGER, CrsCode CHAR(6), Semester CHAR(6), Grade CHAR(1), CHECK (Grade IN ('A', 'B', 'C', 'D', 'F')), CHECK (StudId > 0 AND StudId < 100000000))

• Each row in table must satisfy condition

# Semantic Constraints (cont'd)

• *Example*: relate values of attributes in different columns

CREATE TABLE Employee ( *Id* INTEGER, *Name* CHAR(20), *Salary* INTEGER, *MngrSalary* INTEGER, CHECK (*MngrSalary* > Salary))

# Constraints – Problems

• **Problem 1**: Empty table always satisfies all CHECK constraints (an idiosyncrasy of the SQL standard)

CREATE TABLE Employee ( *Id* INTEGER, *Name* CHAR(20), *Salary* INTEGER, *MngrSalary* INTEGER, CHECK ( 0 < (SELECT COUNT (\*) FROM Employee)) )

• If Employee is empty, there are no rows on which to evaluate the CHECK condition.

# Constraints – Problems

• **Problem 2**: Inter-relational constraints should be symmetric

CREATE TABLE Employee ( Id INTEGER, Name CHAR(20), Salary INTEGER, MngrSalary INTEGER, CHECK ((SELECT COUNT (\*) FROM Manager) < (SELECT COUNT (\*) FROM Employee)))

- Why should constraint be in Employee an not Manager?
- What if Employee is empty?

#### Assertion

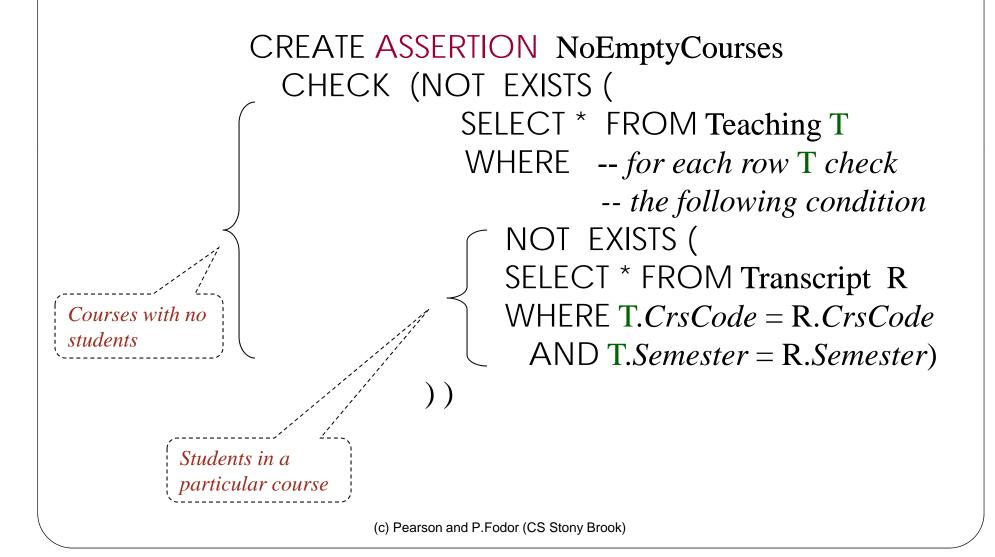
- Element of schema (like table)
- Symmetrically specifies an inter-relational constraint
- Applies to entire database (not just the individual rows of a single table)
  - hence it works even if Employee is empty

#### CREATE ASSERTION DontFireEveryone CHECK (0 < SELECT COUNT (\*) FROM Employee)

#### Assertion

#### CREATE ASSERTION KeepEmployeeSalariesDown CHECK (NOT EXISTS( SELECT \* FROM Employee E WHERE E.Salary > E.MngrSalary))

# Assertions and Inclusion Dependency



### Domains

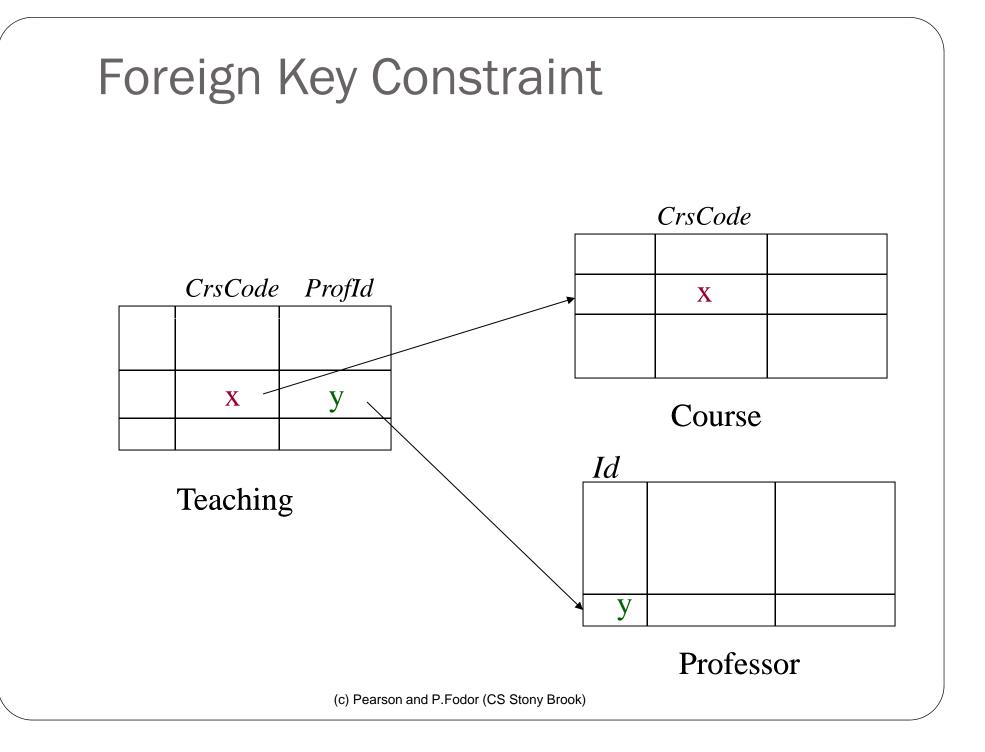
- Possible attribute values can be specified
  - Using a CHECK constraint or
  - Creating a new domain
- Domain can be used in several declarations
- Domain is a schema element

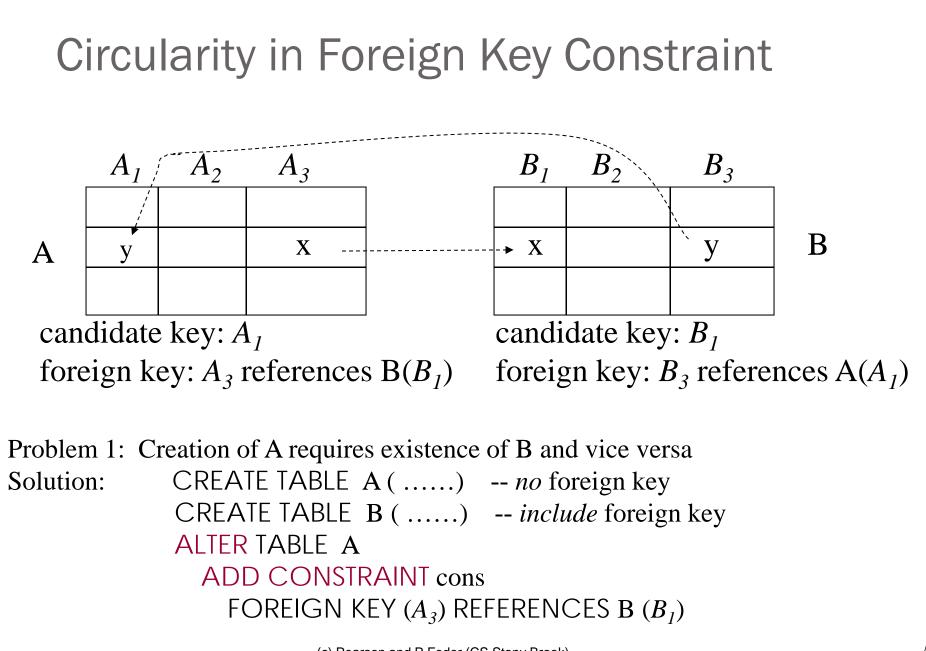
```
CREATE DOMAIN Grades CHAR (1)
CHECK (VALUE IN ('A', 'B', 'C', 'D', 'F'))
CREATE TABLE Transcript (
```

...., *Grade*: Grades, ....)

# Foreign Key Constraint

CREATE TABLE Teaching ( *ProfId* INTEGER, *CrsCode* CHAR (6), *Semester* CHAR (6), PRIMARY KEY (*CrsCode*, *Semester*), FOREIGN KEY (*CrsCode*) REFERENCES Course, FOREIGN KEY (*ProfId*) REFERENCES Professor (*Id*) )





# Circularity in Foreign Key Constraint (cont'd)

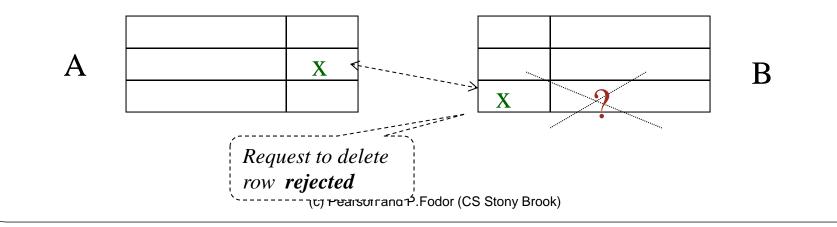
- Problem 2: Insertion of row in A requires prior existence of row in B and vice versa
- Solution: use appropriate *constraint checking mode*:
  - **IMMEDIATE** checking
  - **DEFERRED** checking

# **Reactive Constraints**

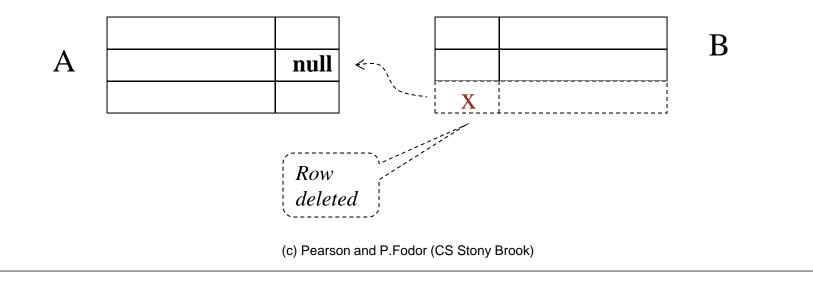
- Constraints enable DBMS to recognize a bad state and reject the statement or transaction that creates it
- More generally, it would be nice to have a mechanism that allows a user to specify how to *react* to a violation of a constraint
- SQL-92 provides a limited form of such a reactive mechanism for foreign key violations

# Handling Foreign Key Violations

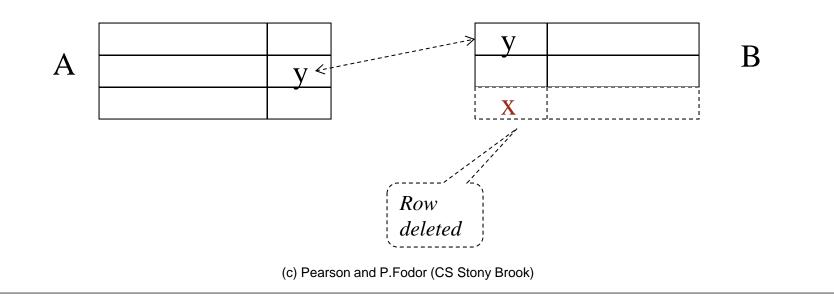
- Insertion into A: Reject if no row exists in B containing foreign key of inserted row
- Deletion from B:
  - NO ACTION: Reject if row(s) in A references row to be deleted (default response)



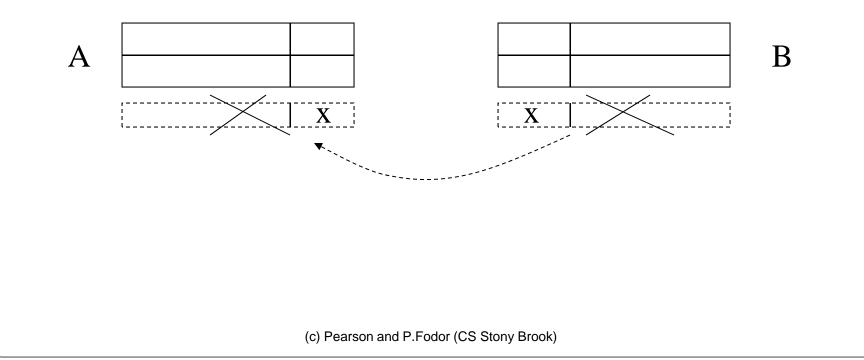
- Deletion from B (cont'd):
  - SET NULL: Set value of foreign key in referencing row(s) in A to **null**



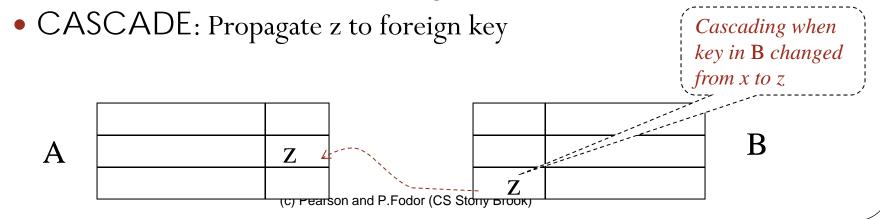
- Deletion from B (cont'd):
  - SET DEFAULT: Set value of foreign key in referencing row(s) in A to default value (y) which must exist in B



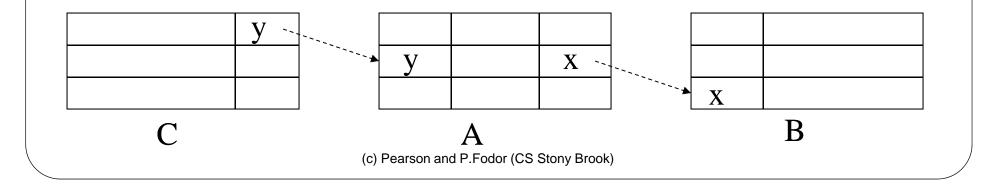
- Deletion from B (cont'd):
  - CASCADE: Delete referencing row(s) in A as well



- Update (change) foreign key in A: Reject if no row exists in B containing new foreign key
- Update candidate key in B (to z) same actions as with deletion:
  - NO ACTION: Reject if row(s) in A references row to be updated (default response)
  - SET NULL: Set value of foreign key to null
  - SET DEFAULT: Set value of foreign key to default



- The action taken to repair the violation of a foreign key constraint in A may cause a violation of a foreign key constraint in C
  - The action specified in C controls how that violation is handled;
  - If the entire chain of violations cannot be resolved, the initial deletion from B is rejected.



# **Specifying Actions**

CREATE TABLE Teaching ( *ProfId* INTEGER, *CrsCode* CHAR (6), *Semester* CHAR (6), PRIMARY KEY (*CrsCode*, *Semester*),

FOREIGN KEY (*ProfId*) REFERENCES Professor (*Id*) ON DELETE NO ACTION ON UPDATE CASCADE,

FOREIGN KEY (*CrsCode*) REFERENCES Course (*CrsCode*) ON DELETE SET NULL ON UPDATE CASCADE )

# Triggers

- A more general mechanism for handling events
  - Not in SQL-92, but is in SQL:1999
- Trigger is a schema element (like table, assertion, ...)

#### CREATE TRIGGER CrsChange AFTER UPDATE OF CrsCode, Semester ON Transcript WHEN (Grade IS NOT NULL) ROLLBACK

# Views

- Schema element
- Part of external schema
- A *virtual* table constructed from actual tables on the fly
  - Can be accessed in queries like any other table
  - Not materialized, constructed when accessed
  - Similar to a subroutine in ordinary programming

# **Views - Examples**

Part of external schema suitable for use in Bursar's office:

CREATE VIEW CoursesTaken (*StudId*, *CrsCode*, *Semester*) AS SELECT T.*StudId*, T.*CrsCode*, T.*Semester* FROM Transcript T

Part of external schema suitable for student with Id 123456789:

CREATE VIEW CoursesITook (*CrsCode*, *Semester*, *Grade*) AS SELECT T.*CrsCode*, T.*Semester*, T.*Grade* FROM Transcript T WHERE T.*StudId* = '123456789'

# Modifying the Schema

ALTER TABLE Student ADD COLUMN *Gpa* INTEGER DEFAULT 0

ALTER TABLE Student ADD CONSTRAINT GpaRange CHECK (*Gpa* >= 0 AND *Gpa* <= 4)

ALTER TABLE Transcript DROP CONSTRAINT Cons -- constraint names are useful

DROP TABLE Employee

DROP ASSERTION DontFireEveryone

# Access Control

- Databases might contain sensitive information
- Access has to be limited:
  - Users have to be identified *authentication* 
    - Generally done with passwords
  - Each user must be limited to modes of access appropriate to that user *authorization*
- SQL:92 provides tools for specifying an authorization policy but does not support authentication (vendor specific)

# Controlling Authorization in SQL

GRANT access\_list ON table TO user\_list

access modes: SELECT, INSERT, DELETE, UPDATE, REFERENCES

GRANT UPDATE (*Grade*) ON Transcript TO prof\_smith – Only the *Grade* column can be updated by prof\_smith

GRANT SELECT ON Transcript TO joe

Individual columns cannot be specified for SELECT access (in the SQL standard) – all columns of Transcript can be read

User

name

 But SELECT access control to individual columns can be simulated through views (next)

# Controlling Authorization in SQL Using Views

GRANT access ON view TO user\_list

GRANT SELECT ON CoursesTaken TO joe

-Thus views can be used to simulate access control to individual columns of a table

# Authorization Mode REFERENCES

- Foreign key constraint enforces relationship between tables that can be exploited to
  - *Control access*: can enable perpetrator prevent deletion of rows

CREATE TABLE DontDismissMe ( *Id* INTEGER, FOREIGN KEY (*Id*) REFERENCES Student ON DELETE NO ACTION )

• *Reveal information*: successful insertion into DontDissmissMe means a row with foreign key value exists in Student

INSERT INTO DontDismissMe ('111111111))

# REFERENCE Access mode (cont'd)

GRANT REFERENCES ON Student TO joe