Establishing referential integrity in legacy information systems - Reality bites!

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Abstract—Most modern relational DBMS have the ability to monitor and enforce referential integrity constraints (RICs). In contrast to new applications, however, heavily evolved legacy information systems may not make use of this important feature, if their design predates its availability. The detection of RICs in legacy systems has been a long-term research topic in the DB reengineering community and a variety of different methods have been proposed, analyzing schema, application code and data. However, empirical evidence on their application for reengineering large-scale industrial systems is scarce and all too often "problems" (case studies) are carefully selected to fit a particular "solution" (method), rather than the other way around. This paper takes a different approach. We analyze in detail the issues posed in reengineering a complex, mission-critical information system to support RICs. In our analysis, we find that many of the assumptions typically made in DB reengineering methods do not readily apply. Based on our findings, we design a process and tools for detecting RICs in context of our real-world problem and provide preliminary results on their effectiveness.

I. INTRODUCTION

Referential integrity is an important quality attribute of data stored in relational information systems (IS). It refers to the state where data stored in related tables obeys to the foreign key (FK) constraints defined between those tables. Most modern database management systems (DBMS) purpose for business applications provide features for declaring and automatically enforcing FK constraints. However, many legacy IS do not use these features or use them only to a limited degree (i.e., for more recently developed functionality), particularly if their original design predates availability of those mechanisms in the DBMS platform. Such applications must be reengineered in order to benefit from automated integrity enforcement. Although the database layer is not the only option for enforcing RICs (presentation and application layers are other options), pushing enforcement in this layer is often seen as the most reliable option to control many concurrent "channels" entering data into the system.

From a high level perspective, this reengineering process consists of two steps, namely FK identification and FK implementation. Research activity in this area has primarily focused on the first step (identification), which can be viewed as a form of design recovery. A wealth of different methods and tools have been proposed to recover FKs from a variety of data sources, including the database schema, application code, data instances, and documentation. While many FK identification methods have been proposed, empirical evidence about their comparative effectiveness in real-world industrial settings remains rare.

In contrast to many other research works that start by proposing a new or improved solution to the above described reengineering problem, followed by a validation with problem case studies (often hand picked to make a point), this paper starts by studying the actual problem in context of a real-world, large-scale legacy system in the healthcare industry. As a result of our analysis, we find that many of the assumptions commonly made in DB reengineering methods and tools do not readily apply in practice. Based on our problem analysis we devise a process for reengineering legacy IS with respect to establishing referential integrity constraints, incorporating, combining and extending existing reengineering methods. We report empirical results of implementing this process in the context of our problem case study system. Our results suggest that the process of reengineering legacy IS with respect to establishing referential integrity constraints may be considerably more complex than is commonly assumed. It must be understood as an incremental detection process.

II. FOUNDATIONS AND RELATED WORK

In relational databases, referential integrity constraints (RICs) are usually declared by means of foreign keys. A foreign key is a simple and intuitive construct through which a row in a table is used to reference another row in another table. Considering a table $S$ with key $KS$ on the one hand, and a set $FR$ of columns of table $R$ on the other hand, if $R.FR \rightarrow S.KS$ is declared as a foreign key, then for each row $r \in R$ (that is not null) there should exist a row $s \in S$ such that $r.FR = s.KS$. In other words, the set of values of $FR$ that appears in $R$ must be a part of the set of values of $KS$ of table $S$. The foreign key $FR$ acts as a reference to the rows of $S$.

Unfortunately, it is not unusual that RICs are left implicit, i.e., they are not explicitly declared in the DDL code of the database. Several reasons can be identified: the lack of background in database design in the software development teams [1], the limitations of the target database platform, or the necessity to tolerate data inconsistencies [2]. The problem of undeclared foreign keys elicitation has thus been extensively studied and a large variety of techniques have been proposed in the last two decades, each considering a particular information system artifact as main source of information:

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(1) **Schema analysis** [3]–[5]. Spotting similarities in names, value domains and representative patterns may help identify hidden constructs such as foreign keys.

(2) **Data analysis** [6]–[8]. Mining the database contents can be used to discover implicit properties or to check hypothetic constructs that have been suggested by the other techniques.

(3) **GUI analysis** [9], [10]. Forms, reports and dialog boxes are user-oriented views on the database that exhibit spatial structures, meaningful names, explicit usage guidelines and, at runtime, data population and error messages that can provide information on data structures and constraints.

(4) **Static program analysis** [11]–[13]. Even simple analysis, such as dataflow graph exploration, can bring valuable information on field structure and meaningful names. More sophisticated techniques such as program slicing can be used to identify complex constraint checking or foreign keys.

(5) **Dynamic program analysis** [14]. In the case of highly dynamic program-database interactions, the database queries may only exist at runtime. Hence recent techniques allowing to capture and analyse SQL execution traces in order to retrieve, among others, implicit referential links between columns of distinct tables.

It is essential to note that none of the above techniques is generally sufficient to recover all implicit referential constraints: there is no formal way to prove that all the undeclared foreign keys, and only them, have been discovered through a particular technique. As often, automated analysis techniques may only suggest possible foreign key candidates with a certain level of confidence. In addition, the availability of a ground truth, allowing to evaluate a particular detection technique, is not a realistic working assumption in the context of large legacy systems.

### III. Problem Case Study: OSCAR

Our case study is an open-source information system that is widely used in the healthcare industry in Canada, called OSCAR. OSCAR is a so-called Electronic Medical Record (EMR) system whose primary purpose is to maintain electronic patient records and interface with a variety of other information systems used in the healthcare industry. OSCAR has been developed since 2001, originally by the Department of Family Practice at McMaster University. Current development activities are coordinated by a not-for-profit company (“OSCAR EMR”), under an ISO 13485 certified development process.

OSCAR has been using MySQL as its DBMS platform. MySQL supports the choice of different alternative storage engines. During the first five years of OSCAR development, MySQL did not support a storage engine capable of enforcing referential integrity. Consequently, OSCAR’s database implementation does not make significant use of FK constraints but rather consists of seemingly unrelated tables. Over the last several years, OSCAR has been migrating to MySQL’s newer InnoDB storage engine, which provides full support for referential integrity enforcements. Since then, more recently developed parts of the system have made use of FK constraints. Still, the vast majority of the database tables remain without any explicit relationships in the schema. This situation has been a frequent source of frustration in the OSCAR developer community as it impedes program understanding and maintenance. It has also raised concerns with respect the integrity of patient health information and, ultimately, patient safety. Therefore, it has been a goal to reengineer OSCAR with respect to establishing more referential integrity constraints.

We encountered a number of challenges in our case study: **Size** One obstacle in this process is the sheer size of the database schema. With close to five hundred tables and some of the larger tables comprising over thousands of columns, identifying FKs cannot be a manual process but requires automated tool support.

**Multi-paradigm architecture** Another challenge is the unevenly evolved nature of the OSCAR architecture, which uses a multitude of different paradigms to access the database. Some older application modules still use embedded (dynamic) SQL queries, while newer modules use object-relational middleware descriptors (Hibernate mapping files), and yet newer application code uses code annotation tags based on the Java Persistence Architecture (JPA) standard. Therefore, no single method for detecting FKs in application code is likely to recall all relevant relationships.

**Confidential data** Knowledge about the actual database instances is an important prerequisite for the process of identifying RICs. It is not uncommon that the data in legacy information systems is considered business confidential. However, patient records are among the most sensitive and highly regulated information items in any industry and they cannot commonly be made available for the purpose of software engineering, even under non-disclosure agreements. We had to create software and a process to securely encrypt the data prior to FK analysis and attain approval from the University ethics board prior to our reengineering study.

### IV. REENGINEERING PROCESS

The reengineering process applied in this study starts with the identification of implicit integrity constraints through the triangulation of several RIC identification techniques. We present a process to address the RIC detection in a legacy system through the joint analysis of multiple sources of information: the database schema, the database contents and the program source code. The results obtained by each analysis technique are then combined in order to find a certain number of likely foreign key candidates. In the following, we describe each analysis step we follow in our reengineering process.

#### A. Schema Analysis

The Schema Analysis process is guided by the primary key constraints found in the tables of the schema. Each column `colPK` contained in a primary key of a table is used to search for other columns in the database schema that could reference it. Algorithm 1 specifies this process. We use `tabPK` and `colPK` variables to refer to the table and the column, respectively, of the primary key side.

**Algorithm 1 Schema Analysis algorithm**

```plaintext
result ← ∅
for tabPK ∈ schema do
  for colPK ∈ tabPK.constraintPK do
    result ← result + SearchForFK(tabPK, colPK)
  end for
end for
return result
```

In the `SearchForFK` function, columns are searched based on their names and data types (SQL type, length and precision)
as we show in Algorithm 2. Variables table and column are used to refer to the table and the column, respectively, analyzed as a candidate foreign key.

Algorithm 2 SearchForFK function

```plaintext
procedure SearchForFK(tabPK, colPK)
    result ← ∅
    for table ∈ schema do
        for column ∈ table do
            if column ≠ colPK then
                if column.type ≠ colPK.type
                    && column.length ≥ colPK.length
                        && column.precision ≥ colPK.precision
                        && EqualsNames(table, column, tabPK, colPK)
                    then
                        result ← result + (tabPK, colPK, column)
            end if
        end for
    end for
    return result
end procedure
```

The EqualsNames function returns true if the names of the columns and tables analyzed are compatible, and returns false otherwise. The meaning of compatible is based on the partial matching of the table and column names, according to their length. The function checks the length of the column name colFK considered as foreign key candidate. If the length ≥ 5 characters we check whether the target table name tabPK and/or the target column name colPK is included in colFK (only if its length is > 2, otherwise we consider that this name is not meaningful enough). If the length of colFK is < 5 characters we do not check if tabPK is contained in colFK (because we consider that names are not meaningful) and we only check the length of colPK. If it is > 2, we check if colPK is contained in colFK. Otherwise, we could suppose that colPK has a name like ‘id’ or something similar. In this scenario, a specific check is performed: we eliminate in colFK the occurrences of colPK and some other special characters like ‘.’. Then, we verify if the resulting name is part of tabPK. Let us illustrate this using an example. We could have a colFK named ‘prid’ which would be analyzed in relation to a colPK named ‘id’ in a table named ‘provider’. After elimination of the colPK from colFK, we would have the string ‘pr’ which would be contained in tabPK.

B. Data Analysis

The Data Analysis process utilizes the results generated by the Schema Analysis process as starting point. This approach is usually a necessity for large-scale legacy databases, as a brute-force data analysis with respect to detecting all potential foreign keys is usually computationally prohibitive.

Algorithm 3 Data Analysis algorithm

```plaintext
result ← ∅
for (tabPK, colPK, tabFK, colFK) do
    countFKReg ← select count(s) from tabPK
    countFKReg ← select count(s) from tabFK
    matching ← select colFK from tabFK
    intersect all
    select colFK from tabPK
    percentage ← (matching * 100)/countFKReg
    if percentage ≥ threshold then
        result ← result + (tabPK, colPK, tabFK, colFK)
    end if
end for
return result
```

Algorithm 3 shows how the data analysis is applied. Taking a set of foreign key candidates, the algorithm calculates the matching of values involved on each candidate. This matching defines how many values in tabFK, colFK can be found in tabPK, colPK. This matching value must be measured in relation to the number of rows in tabFK to calculate the percentage of matching values. The number of rows in tabFK is reported for better interpreting that percentage. The algorithm is set up by means of a threshold value which is established to only return candidate foreign keys (tabPK, colPK, tabFK, colFK) having a percentage value above the threshold value.

C. Static SQL Analysis

Some technologies allow one to embed SQL sentences in business logic code. For instance, the JDBC API\(^2\) on the Java platform can embed strings (using double quotes) defining SQL sentences as parameters. One could either define complete SQL sentences or build such sentences using several fragments of SQL code. Our Static SQL Analysis process enables to analyze the programs source code in order to identify, parse and exploit the SQL code fragments they contain. It is a linear process composed of 5 steps, where the output of one step constitutes the input of the next step. This process has first to identify the Java files implementing the OSCAR client applications. Then, it has to parse those source code files searching for literal strings containing SQL SELECT sentences. Once these sentences have been retrieved, they are parsed to extract the FROM and WHERE clauses. A join condition in a WHERE clause must comply with the following syntax: ‘columnA = columnB’, where columns could be prefixed by table alias or table names. As future work, we will consider other ways to define a join, e.g., using the in operator and nested queries. We assume in our analysis process that literal strings composing an SQL sentence are adjacent and properly ordered. We need to make this assumption as we use static analysis and the program code is not interpreted by our analyzer. Below, we briefly explain how the program analysis process is carried out by executing five distinct steps:

**Step 1:** A parser is used to extract string literals, i.e. sequences of characters between two delimiters, in each Java file of the OSCAR system. Delimiters are special language-dependent characters, like the double-quote or the single-quote.

**Step 2:** We analyze the strings obtained so far and all those which are not related to a SQL SELECT statement are discarded. We assume that a string is only related to a SELECT statement if it does contain some keywords of the SQL SELECT statement syntax or some table and column names occurring in the legacy database schema.

**Step 3:** We re-create a complete SELECT sentence by concatenating two or more strings. To do this, information about the string in needed like: the name of the Java file where it was found, the line number in the file and the position of the first character in the line.

**Step 4:** We extract the FROM and WHERE clauses from the resulting SELECT sentences. A pre-parsing step deals with discarding literal strings included after Step 3 but which generate noise due to the presence of parameters that are only determined at runtime.

**Step 5:** We analyze the content of the WHERE clauses, searching for a join condition and resolving the identity of each column involved in it, by using the table definitions in the FROM clause.

\(^2\)Java Database Connectivity
D. Hibernate Analysis

A large part of the OSCAR applications uses the Hibernate Object-Relational Mapping (ORM) to access the database. Hibernate allows developers to map Java classes to database tables. Those mappings are usually declared in a mapping file (an XML document) that instructs Hibernate how to map the Java classes to the database tables. We consider the Hibernate XML mapping files as another possible way to infer implicit foreign keys. Even if an ORM such as Hibernate offers an abstraction layer permitting to ignore the underlying database structures (and thus the presence of FKs), we consider that some legacy systems could use Hibernate to access to legacy databases with missing constraints (like OSCAR). Our Hibernate parser searches in each mapping file for a 'class' tag, where an entity name is mapped to a table name by means of 'name' and 'table' attributes, respectively. If both names are equal, 'table' attribute could be omitted. In a similar way, the attributes in an entity are declared by a 'property' tag and 'name' and 'column' attributes. Declarations of RICs can be defined using the following tags: 'one-to-one', 'many-to-one', 'one-to-many' and 'many-to-many'. Different kinds of RICs are permitted in a mapping file. We illustrate below some of the most common techniques:

Many-to-one relationships In the example below, the developer defined a many-to-one constraint between the tickler table and the tickler_update table mapped to TicklerUpdate class. In such a case, we can infer a foreign key from table tickler_update to table tickler. Our Hibernate parser identifies the 'name' attribute as the foreign key column, and the 'class' and 'column' attributes as the target primary key.

```xml
<class name="TicklerUpdate" table="tickler_update">
    <many-to-one name="tickler" class="Tickler" column="tickler_id" update="false">
        <view columns="tickler_id" />
    </many-to-one>
</class>
```

Many-to-many relationships In the example below, the developer defined a multi-valued association. The Hibernate parser identifies the 'name' attribute of 'set' tag as a foreign key column, and the 'class' and 'column' attributes contained in 'many-to-many' tag as the target primary key. But in this case, since an intermediate table must be referenced for both foreign keys, the 'table' attribute in the 'set' tag is needed to refer to an intermediate table name.

```xml
<class name="Site" table="site">
    <many-to-many columns="provider" name="Provider" provider="false" class="Provider" />
    <key columns="site_id" />
</class>
```

SQL query declarations Hibernate also allows developers to directly use SQL queries in the mapping file. Those queries could be a good indicator for inferring RICs too, especially when the query consists of a join between two tables.

E. JPA Analysis

JPA is a Java specification for persistence programming which describes the management of relational data in applications. JPA is a generic standard, independently of any particular ORM middleware. Different concrete ORM middleware products support JPA, including the aforementioned Hibernate middleware. However, using Hibernate “the JPA way” consists in using Java code annotations rather than XML mapping files to specify how persistent objects and their relationships are mapped to relational table structures. The most recent OSCAR components use JPA annotations rather than Hibernate mapping files. We therefore implemented a parser for JPA code annotations. For each JPA entity file a 'Table' annotation is searched, where an entity name is mapped to a table name by means of the 'name' attribute. If both names are equal, the 'Table' annotation can be omitted. Declarations of RICs are defined using one of the following annotations: 'ManyToOne', 'OneToMany' and 'ManyToMany'. For instance, the following 'one-to-many' annotation expresses the same RIC as in our Hibernate example. The 'JoinColumn' annotation contains attributes to define the foreign key column ('name') and the column of the target primary key ('referencedColumnName'). The table name containing the RIC is obtained from the entity class, and the table name referenced by the RIC is obtained from the class type in the attribute defining the relationship.

```xml
@Entity
public class Tickler {
    @JoinColumn(name="tickler_id")
    @ManyToOne(fetch=FetchType.EAGER)
    private TicklerUpdate updates = new HashSet<TicklerUpdate>();
}
```

V. RESULTS

As described above, we have implemented 5 different techniques for recovering implicit RICs. In this Section, we present the results obtained by combining those techniques and describe our chosen strategy for accepting and rejecting the RICs identified. After applying those techniques on the OSCAR system, we extracted 1.899 FK candidates. Figure 1 illustrates the distribution through the 5 techniques: 1.818 FK candidates were detected by the schema analysis; 291 by the data analysis; 28 by the Hibernate analysis; 32 by the JPA analysis, and 50 by the static SQL analysis.

Another iteration was required for further exploiting those first results. We defined a list of criteria allowing us to accept a FK candidate. Each candidate FK respecting at least one of those criteria is accepted.
1. The FK is proposed by the schema analysis and has a matching percentage above or equal to 90%.
2. The FK is proposed by the Hibernate analysis.
3. The FK is proposed by the JPA analysis.
4. The FK is proposed by the JPA static analysis and it refers to a primary/unique key.

After applying those criteria, we moved from 1.899 potential to 215 accepted candidates. The 1.684 remaining ones are
considered as unlikely. In order to reach higher precision in our results, we also considered 4 rejection criteria.
1. **Matching** The unlikely candidates having a data matching value lower than 90% are rejected.
2. **Bi-directionality** The unlikely candidates such as there exists an accepted candidate in the opposite direction, are rejected.
3. **Unicity** The unlikely candidates such as there exists an accepted candidate defined on the same column(s), are rejected.
4. **Transitivity** The accepted candidates that could be transitively derived from other accepted candidates are rejected.

Figure 2 represents the distribution of the accepted candidates through the 5 information sources after having considered our rejection criteria: 146 unlikely candidates have been rejected because they do not respect the minimal matching value; 1,219 unlikely candidates have been rejected by unicity; 23 unlikely candidates by bi-directionality while 37 previously-accepted candidates have been rejected by transitivity.

**VI. DISCUSSION AND CONCLUSIONS**

**Observations** The results obtained when identifying FK candidates in OSCAR yield to some interesting concluding observations. First, we observe that the different sources of information have different levels of reliability. Although we do not know the actual list of implicit foreign keys that are valid in OSCAR, we can already say that the schema analysis technique may lead to overly noisy results when used in isolation. However, there is no perfect source of information that would, alone, be sufficient for identifying all implicit FKs. For instance, while the Hibernate mapping file and the JPA annotations are reliable sources of information, they allowed us to recover a very limited subset of the implicit FKs in the OSCAR schema, i.e., those involved in the most recent tables. This observation directly relates to the evolution history of the system. We saw that the management of implicit RICs in a system may be largely inconsistent over time. Some old RICs have never been explicit declared, some more recent ones have been specified through Hibernate, and some others have been declared via JPA annotations. Hence, the RIC detection approach we propose in this paper, based on the triangulation of several RIC identification techniques for confirming/rejecting RIC candidates, seems very promising in the context of a legacy system that has been subject to a long evolution history.

**Limitations** Although it has shown some merits, our multi-source FK identification process suffers from several limitations. First, the threshold of 90% for the data consistency heuristics could be further validated and calibrated with respect to the number of rows in the referencing table. In addition, since we did not have access to a ground truth, it was difficult for us to precisely quantify the reliability and the complementarity of the different identification techniques we combine. This will be a prerequisite to further improve our triangulation process and devise a more accurate FK candidate ranking method. Finally, as we mentioned above, some OSCAR tables involved in a RIC candidate being empty, our results are partially incomplete as well.

**Future work** We anticipate several directions for future work in the context of RIC reengineering. First, we intend to further investigate the OSCAR case study, and to involve the developers in the establishment of a ground truth, even partial. Second, we plan to consider other sources of information for the identification and ranking of RIC candidates. We think, in particular, of integrating historical information. For instance, let us assume that the history analysis reveals that the same developer has created both tables involved in a RIC candidate, this could be seen as an additional confirmation argument. In contrast, if a RIC candidate involves two very recently created tables the names of which do not appear in the Hibernate file nor in the JPA annotations, this could be considered as a rejection argument. Last but not least, we intend to devise a tool-supported methodology for assisting developers to incrementally implement identified RIC candidates in a legacy software system as well as we plan to consider using the LSD approach [15] to generalize the parsing of tags.

**REFERENCES**