# **UNIT III-Normalization and Functional Dependency**

**Normalization** is a process of organizing the data in database to avoid data redundancy, insertion anomaly, update anomaly & deletion anomaly. Let’s discuss about anomalies first then we will discuss normal forms with examples.

**Anomalies in DBMS**

There are three types of anomalies that occur when the database is not normalized. These are – Insertion, update and deletion anomaly. Let’s take an example to understand this.

**Example**: Suppose a manufacturing company stores the employee details in a table named employee that has four attributes: emp\_id for storing employee’s id, emp\_name for storing employee’s name, emp\_address for storing employee’s address and emp\_dept for storing the department details in which the employee works. At some point of time the table looks like this:

|  |  |  |  |
| --- | --- | --- | --- |
| mp\_id | emp\_name | emp\_address | emp\_dept |
| 101 | Rick | Delhi | D001 |
| 101 | Rick | Delhi | D002 |
| 123 | Maggie | Agra | D890 |
| 166 | Glenn | Chennai | D900 |
| 166 | Glenn | Chennai | D004 |

The above table is not normalized. We will see the problems that we face when a table is not normalized.

**Update anomaly**: In the above table we have two rows for employee Rick as he belongs to two departments of the company. If we want to update the address of Rick then we have to update the same in two rows or the data will become inconsistent. If somehow, the correct address gets updated in one department but not in other then as per the database, Rick would be having two different addresses, which is not correct and would lead to inconsistent data.

**Insert anomaly**: Suppose a new employee joins the company, who is under training and currently not assigned to any department then we would not be able to insert the data into the table if emp\_dept field doesn’t allow nulls.

**Delete anomaly**: Suppose, if at a point of time the company closes the department D890 then deleting the rows that are having emp\_dept as D890 would also delete the information of employee Maggie since she is assigned only to this department.

To overcome these anomalies we need to normalize the data. In the next section we will discuss about normalization.

# **Normalization**

* Normalization is the process of organizing the data in the database.
* Normalization is used to minimize the redundancy from a relation or set of relations. It is also used to eliminate the undesirable characteristics like Insertion, Update and Deletion Anomalies.
* Normalization divides the larger table into the smaller table and links them using relationship.
* The normal form is used to reduce redundancy from the database table.

## Types of Normal Forms:

|  |  |
| --- | --- |
| **Normal Form** | **Description** |
| [1NF](https://www.javatpoint.com/dbms-first-normal-form) | A relation is in 1NF if it contains an atomic value. |
| [2NF](https://www.javatpoint.com/dbms-second-normal-form) | A relation will be in 2NF if it is in 1NF and all non-key attributes are fully functional dependent on the primary key. |
| [3NF](https://www.javatpoint.com/dbms-third-normal-form) | A relation will be in 3NF if it is in 2NF and no transition dependency exists. |
| [4NF](https://www.javatpoint.com/dbms-forth-normal-form) | A relation will be in 4NF if it is in Boyce Codd normal form and has no multi-valued dependency. |
| [5NF](https://www.javatpoint.com/dbms-fifth-normal-form) | A relation is in 5NF if it is in 4NF and not contains any join dependency and joining should be lossless. |

# **First Normal Form (1NF)**

* A relation will be 1NF if it contains an atomic value.
* It states that an attribute of a table cannot hold multiple values. It must hold only single-valued attribute.
* First normal form disallows the multi-valued attribute, composite attribute, and their combinations.

**Example:** Relation EMPLOYEE is not in 1NF because of multi-valued attribute EMP\_PHONE.

**EMPLOYEE table:**

|  |  |  |  |
| --- | --- | --- | --- |
| **EMP\_ID** | **EMP\_NAME** | **EMP\_PHONE** | **EMP\_STATE** |
| 14 | John | 7272826385, 9064738238 | UP |
| 20 | Harry | 8574783832 | Bihar |
| 12 | Sam | 7390372389, 8589830302 | Punjab |

The decomposition of the EMPLOYEE table into 1NF has been shown below:

|  |  |  |  |
| --- | --- | --- | --- |
| **EMP\_ID** | **EMP\_NAME** | **EMP\_PHONE** | **EMP\_STATE** |
| 14 | John | 7272826385 | UP |
| 14 | John | 9064738238 | UP |
| 20 | Harry | 8574783832 | Bihar |
| 12 | Sam | 7390372389 | Punjab |
| 12 | Sam | 8589830302 | Punjab |

# **Second Normal Form (2NF)**

* In the 2NF, relational must be in 1NF.
* No non-prime attribute is dependent on the proper subset of any candidate key of table.
* An attribute that is not part of any candidate key is known as non-prime attribute.

**Example:** Let's assume, a school can store the data of teachers and the subjects they teach. In a school, a teacher can teach more than one subject.

**TEACHER table**

|  |  |  |
| --- | --- | --- |
| **TEACHER\_ID** | **SUBJECT** | **TEACHER\_AGE** |
| 25 | Chemistry | 30 |
| 25 | Biology | 30 |
| 47 | English | 35 |
| 83 | Math | 38 |
| 83 | Computer | 38 |

In the given table, non-prime attribute TEACHER\_AGE is dependent on TEACHER\_ID which is a proper subset of a candidate key. That's why it violates the rule for 2NF.

To convert the given table into 2NF, we decompose it into two tables:

**TEACHER\_DETAIL table:**

|  |  |
| --- | --- |
| **TEACHER\_ID** | **TEACHER\_AGE** |
| 25 | 30 |
| 47 | 35 |
| 83 | 38 |

**TEACHER\_SUBJECT table:**

|  |  |
| --- | --- |
| **TEACHER\_ID** | **SUBJECT** |
| 25 | Chemistry |
| 25 | Biology |
| 47 | English |
| 83 | Math |
| 83 | Computer |

# **Third Normal Form (3NF)**

* A relation will be in 3NF if it is in 2NF and does not contain any transitive dependency.
* 3NF is used to reduce the data duplication. It is also used to achieve the data integrity.
* If there is no transitive dependency for non-prime attributes, then the relation must be in third normal form.

**Example:**

**EMPLOYEE\_DETAIL table:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **EMP\_ID** | **EMP\_NAME** | **EMP\_ZIP** | **EMP\_STATE** | **EMP\_CITY** | |
| 222 | Harry | 201010 | UP | Noida |
| 333 | Stephan | 02228 | US | Boston |
| 444 | Lan | 60007 | US | Chicago |
| 555 | Katharine | 06389 | UK | Norwich |
| 666 | John | 462007 | MP | Bhopal |

**Super key in the table above:**

* 1. {EMP\_ID}, {EMP\_ID, EMP\_NAME}, {EMP\_ID, EMP\_NAME, EMP\_ZIP}....so on

**Candidate key:** {EMP\_ID}

**Non-prime attributes:** In the given table, all attributes except EMP\_ID are non-prime.

Here, EMP\_STATE & EMP\_CITY dependent on EMP\_ZIP and EMP\_ZIP dependent on EMP\_ID. The non-prime attributes (EMP\_STATE, EMP\_CITY) transitively dependent on super key(EMP\_ID). It violates the rule of third normal form.

That's why we need to move the EMP\_CITY and EMP\_STATE to the new <EMPLOYEE\_ZIP> table, with EMP\_ZIP as a Primary key.

**EMPLOYEE table:**

|  |  |  |
| --- | --- | --- |
| **EMP\_ID** | **EMP\_NAME** | **EMP\_ZIP** |
| 222 | Harry | 201010 |
| 333 | Stephan | 02228 |
| 444 | Lan | 60007 |
| 555 | Katharine | 06389 |
| 666 | John | 462007 |

**EMPLOYEE\_ZIP table:**

|  |  |  |
| --- | --- | --- |
| **EMP\_ZIP** | **EMP\_STATE** | **EMP\_CITY** |
| 201010 | UP | Noida |
| 02228 | US | Boston |
| 60007 | US | Chicago |
| 06389 | UK | Norwich |
| 462007 | MP | Bhopal |

# **Boyce Codd normal form (BCNF)**

* BCNF is the advance version of 3NF. It is stricter than 3NF.
* A table is in BCNF if every functional dependency X → Y, X is the super key of the table.
* For BCNF, the table should be in 3NF, and for every FD, LHS is super key.

**Example:** Let's assume there is a company where employees work in more than one department.

**EMPLOYEE table:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **EMP\_ID** | **EMP\_COUNTRY** | **EMP\_DEPT** | **DEPT\_TYPE** | **EMP\_DEPT\_NO** |
| 264 | India | Designing | D394 | 283 |
| 264 | India | Testing | D394 | 300 |
| 364 | UK | Stores | D283 | 232 |
| 364 | UK | Developing | D283 | 549 |

**In the above table Functional dependencies are as follows:**

1. EMP\_ID  →  EMP\_COUNTRY
2. EMP\_DEPT  →   {DEPT\_TYPE, EMP\_DEPT\_NO}

**Candidate key: {EMP-ID, EMP-DEPT}**

The table is not in BCNF because neither EMP\_DEPT nor EMP\_ID alone are keys.

To convert the given table into BCNF, we decompose it into three tables:

**EMP\_COUNTRY table:**

|  |  |
| --- | --- |
| **EMP\_ID** | **EMP\_COUNTRY** |
| 264 | India |
| 264 | India |

**EMP\_DEPT table:**

|  |  |  |
| --- | --- | --- |
| **EMP\_DEPT** | **DEPT\_TYPE** | **EMP\_DEPT\_NO** |
| Designing | D394 | 283 |
| Testing | D394 | 300 |
| Stores | D283 | 232 |
| Developing | D283 | 549 |

**EMP\_DEPT\_MAPPING table:**

|  |  |
| --- | --- |
| **EMP\_ID** | **EMP\_DEPT** |
| D394 | 283 |
| D394 | 300 |
| D283 | 232 |
| D283 | 549 |

**Functional dependencies:**

1. EMP\_ID   →    EMP\_COUNTRY
2. EMP\_DEPT   →   {DEPT\_TYPE, EMP\_DEPT\_NO}

**Candidate keys:**

**For the first table:** EMP\_ID   
**For the second table:** EMP\_DEPT  
**For the third table:** {EMP\_ID, EMP\_DEPT}

Now, this is in BCNF because left side part of both the functional dependencies is a key.

# **Fourth normal form (4NF)**

* A relation will be in 4NF if it is in Boyce Codd normal form and has no multi-valued dependency.
* For a dependency A → B, if for a single value of A, multiple values of B exists, then the relation will be a multi-valued dependency.

### **Example**

**STUDENT**

|  |  |  |
| --- | --- | --- |
| **STU\_ID** | **COURSE** | **HOBBY** |
| 21 | Computer | Dancing |
| 21 | Math | Singing |
| 34 | Chemistry | Dancing |
| 74 | Biology | Cricket |
| 59 | Physics | Hockey |

The given STUDENT table is in 3NF, but the COURSE and HOBBY are two independent entity. Hence, there is no relationship between COURSE and HOBBY.

In the STUDENT relation, a student with STU\_ID, **21** contains two courses, **Computer** and **Math** and two hobbies, **Dancing** and **Singing**. So there is a Multi-valued dependency on STU\_ID, which leads to unnecessary repetition of data.

So to make the above table into 4NF, we can decompose it into two tables:

**STUDENT\_COURSE**

|  |  |
| --- | --- |
| **STU\_ID** | **COURSE** |
| 21 | Computer |
| 21 | Math |
| 34 | Chemistry |
| 74 | Biology |
| 59 | Physics |

**STUDENT\_HOBBY**

|  |  |
| --- | --- |
| **STU\_ID** | **HOBBY** |
| 21 | Dancing |
| 21 | Singing |
| 34 | Dancing |
| 74 | Cricket |
| 59 | Hockey |

# **Fifth normal form (5NF)**

* A relation is in 5NF if it is in 4NF and not contains any join dependency and joining should be lossless.
* 5NF is satisfied when all the tables are broken into as many tables as possible in order to avoid redundancy.
* 5NF is also known as Project-join normal form (PJ/NF).

### **Example**

|  |  |  |
| --- | --- | --- |
| **SUBJECT** | **LECTURER** | **SEMESTER** |
| Computer | Anshika | Semester 1 |
| Computer | John | Semester 1 |
| Math | John | Semester 1 |
| Math | Akash | Semester 2 |
| Chemistry | Praveen | Semester 1 |

In the above table, John takes both Computer and Math class for Semester 1 but he doesn't take Math class for Semester 2. In this case, combination of all these fields required to identify a valid data.

Suppose we add a new Semester as Semester 3 but do not know about the subject and who will be taking that subject so we leave Lecturer and Subject as NULL. But all three columns together acts as a primary key, so we can't leave other two columns blank.

So to make the above table into 5NF, we can decompose it into three relations P1, P2 & P3:

**P1**

|  |  |
| --- | --- |
| **SEMESTER** | **SUBJECT** |
| Semester 1 | Computer |
| Semester 1 | Math |
| Semester 1 | Chemistry |
| Semester 2 | Math |

**P2**

|  |  |
| --- | --- |
| **SUBJECT** | **LECTURER** |
| Computer | Anshika |
| Computer | John |
| Math | John |
| Math | Akash |
| Chemistry | Praveen |

**P3**

|  |  |
| --- | --- |
| **SEMSTER** | **LECTURER** |
| Semester 1 | Anshika |
| Semester 1 | John |
| Semester 1 | John |
| Semester 2 | Akash |
| Semester 1 | Praveen |

# **Functional Dependency**

The functional dependency is a relationship that exists between two attributes. It typically exists between the primary key and non-key attribute within a table.

1. X   →   Y

The left side of FD is known as a determinant, the right side of the production is known as a dependent.

**For example:**

Assume we have an employee table with attributes: Emp\_Id, Emp\_Name, Emp\_Address.

Here Emp\_Id attribute can uniquely identify the Emp\_Name attribute of employee table because if we know the Emp\_Id, we can tell that employee name associated with it.

Functional dependency can be written as:

1. Emp\_Id → Emp\_Name

We can say that Emp\_Name is functionally dependent on Emp\_Id.

## Types of Functional dependency

1. [Trivial functional dependency](https://beginnersbook.com/2015/04/trivial-functional-dependency-in-dbms/)
2. [Non-trivial functional dependency](https://beginnersbook.com/2015/04/non-trivial-functional-dependency-in-dbms/)
3. [Multivalued functional dependency](https://beginnersbook.com/2015/04/multivalued-dependency-in-dbms/)
4. [Transitive functional dependency](https://beginnersbook.com/2015/04/transitive-dependency-in-dbms/)

### **1. Trivial functional dependency**

* A → B has trivial functional dependency if B is a subset of A.
* The following dependencies are also trivial like: A → A, B → B

**Example:**

1. Consider a table with two columns Employee\_Id and Employee\_Name.
2. {Employee\_id, Employee\_Name}   →    Employee\_Id is a trivial functional dependency as
3. Employee\_Id is a subset of {Employee\_Id, Employee\_Name}.
4. Also, Employee\_Id → Employee\_Id and Employee\_Name   →    Employee\_Name are trivial dependencies too.

### **2. Non-trivial functional dependency**

* A → B has a non-trivial functional dependency if B is not a subset of A.
* When A intersection B is NULL, then A → B is called as complete non-trivial.

**Example:**

1. ID   →    Name,
2. Name   →    DOB

# **3.Multivalued Dependency**

* Multivalued dependency occurs when two attributes in a table are independent of each other but, both depend on a third attribute.
* A multivalued dependency consists of at least two attributes that are dependent on a third attribute that's why it always requires at least three attributes.
* Multivalued dependency occurs when there are more than one **independent** multivalued attributes in a table.
* **For example**: Consider a bike manufacture company, which produces two colors (Black and white) in each model every year.

|  |  |  |
| --- | --- | --- |
| **Bike\_model** | **Manuf\_year** | **Color** |
| M1001 | 2007 | Black |
| M1002 | 2007 | Red |
| M2012 | 2008 | Black |
| M2012 | 2008 | Red |
| M2222 | 2009 | Black |
| M2222 | 2009 | Red |

* Here columns manuf\_year and color are independent of each other and dependent on bike\_model. In this case these two columns are said to be multivalued dependent on bike\_model. These dependencies can be represented like this:
* bike\_model ->> manuf\_year

**4.Transitive dependency**

A functional dependency is said to be transitive if it is indirectly formed by two functional dependencies. For e.g.

X -> Z is a transitive dependency if the following three functional dependencies hold true:

* X->Y
* Y does not ->X
* Y->Z

**Note:** A transitive dependency can only occur in a relation of three of more attributes.

|  |  |  |
| --- | --- | --- |
| **Book** | **Author** | **Author\_age** |
| Game of Thrones | George R. R. Martin | 66 |
| Harry Potter | J. K. Rowling | 49 |
| Dying of the Light | George R. R. Martin | 66 |

{Book} ->{Author} (if we know the book, we knows the author name)

{Author} does not ->{Book}

{Author} -> {Author\_age}

Therefore as per the rule of **transitive dependency**: {Book} -> {Author\_age} should hold, that makes sense because if we know the book name we can know the author’s age.

# **Relational Decomposition**

* When a relation in the relational model is not in appropriate normal form then the decomposition of a relation is required.
* In a database, it breaks the table into multiple tables.
* If the relation has no proper decomposition, then it may lead to problems like loss of information.
* Decomposition is used to eliminate some of the problems of bad design like anomalies, inconsistencies, and redundancy.

## Types of Decomposition

1) Lossless decomposition

2) Lossy decomposition

3) Dependency preserving 

### **Lossless Decomposition**

* If the information is not lost from the relation that is decomposed, then the decomposition will be lossless.
* The lossless decomposition guarantees that the join of relations will result in the same relation as it was decomposed.
* The relation is said to be lossless decomposition if natural joins of all the decomposition give the original relation.

***2)Lossy decomposition***

* when a relation is decomposed into two or more relational schemas, the loss of information is unavoidable when the original relation is retrieved.
* The lossy decomposition does not guarantees that the join of relations will result in the same relation as it was decomposed.

### **Dependency Preserving**

* It is an important constraint of the database.
* In the dependency preservation, at least one decomposed table must satisfy every dependency.
* If a relation R is decomposed into relation R1 and R2, then the dependencies of R either must be a part of R1 or R2 or must be derivable from the combination of functional dependencies of R1 and R2.
* For example, suppose there is a relation R (A, B, C, D) with functional dependency set (A->BC). The relational R is decomposed into R1(ABC) and R2(AD) which is dependency preserving because FD A->BC is a part of relation R1(ABC).