

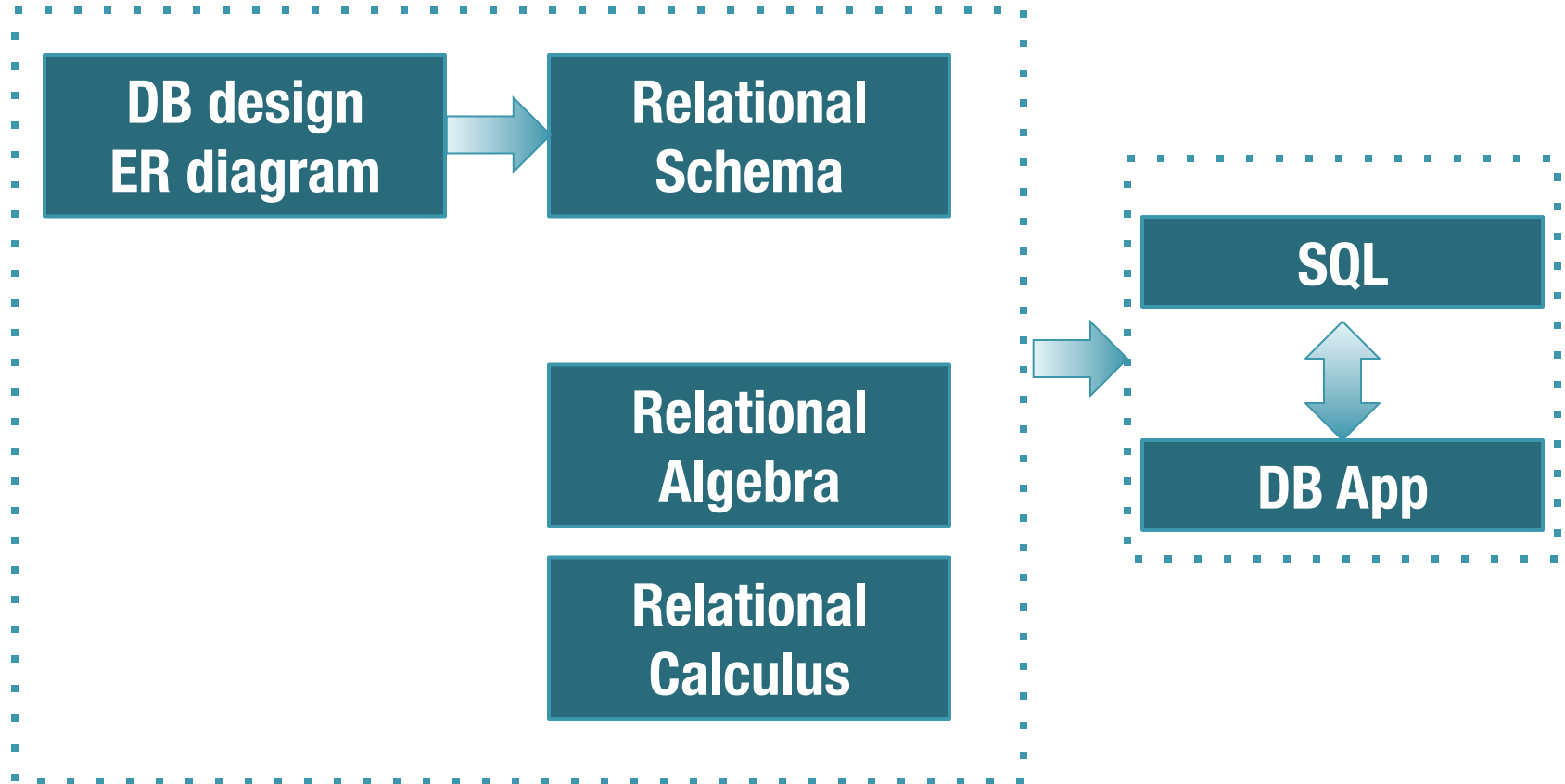


# Normalization

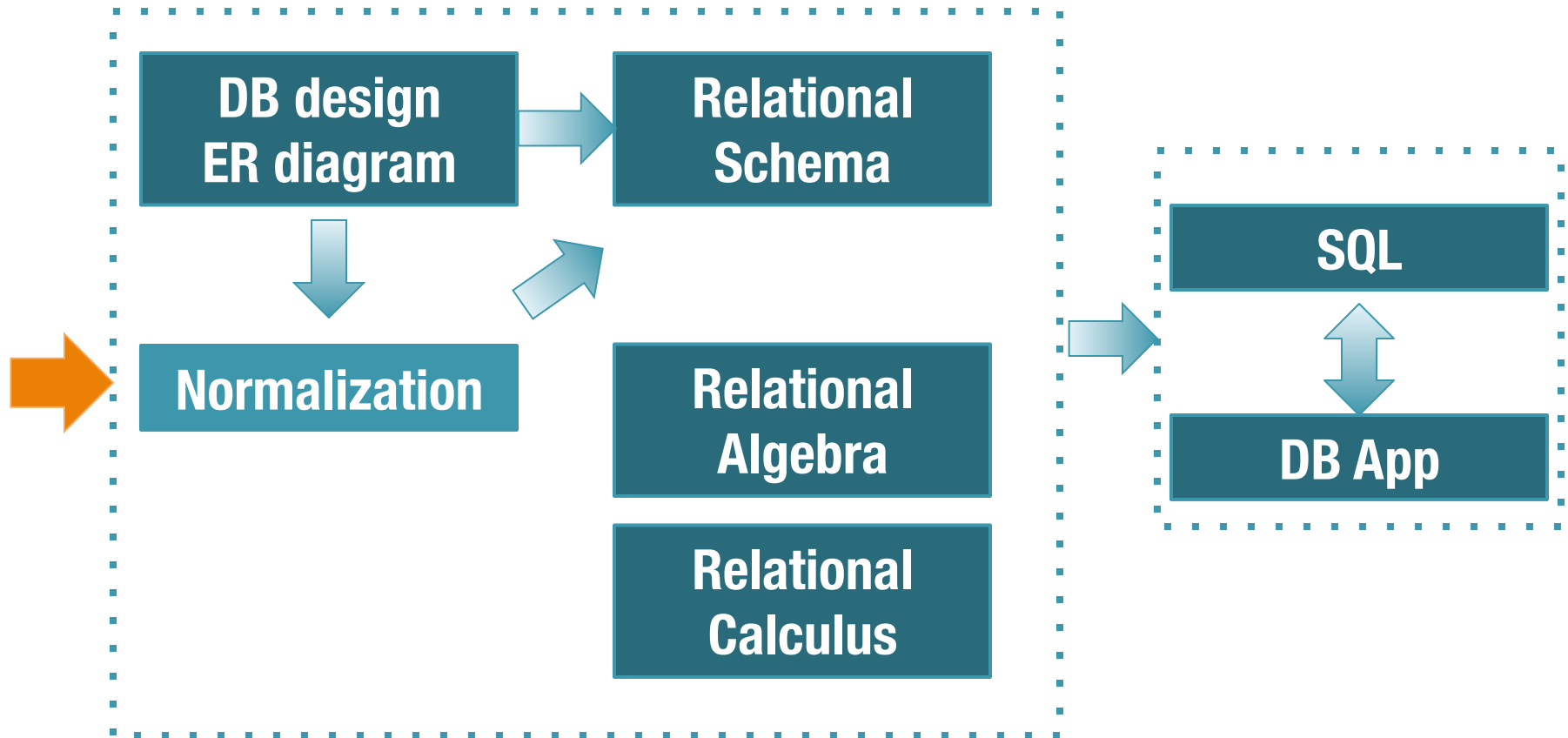
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## Chapter 19

# Review



# Today



# Database Design: The Story So Far

- Requirements Analysis
  - Data stored, operations, apps, ...
- Conceptual Database Design
  - Model high-level description of the data, constraints, ER model
- Logical Database Design
  - Choose a DBMS and design a database schema
- Schema Refinement
  - Normalize relations, avoid redundancy, anomalies...
- Physical Database Design
  - Examine physical database structures like indices, restructure...
- Security Design

# Form/Spreadsheet

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
			Paint	blue	\$10
			Flowers	pink	\$3
2	Beanery	A2, A3	Dynamite	boom	\$8

Good or bad table?



# Form/Spreadsheet

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$8
			Paint	blue	\$10
			Flowers	pink	\$3
2	Beanery	A2, A3	Dynamite	boom	\$8

## Problems

- (Supplier ID, item) appears to be the key, but Supplier ID is NULL in many places.
- Addresses can be multi-valued

# Normalization

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
			Paint	blue	\$10
			Flowers	pink	\$3
2	Beanery	A2, A3	Dynamite	boom	\$8

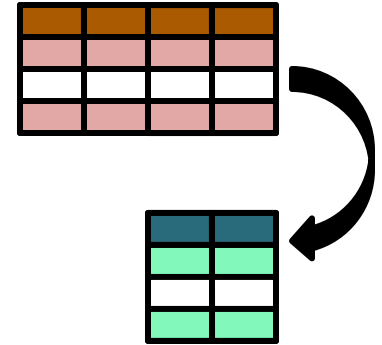
The above is not a good table!

Going to proper set of tables is called "normalization".

- avoid redundancy of data
- capture the dependencies inherent in the data

# Goal

- Design ‘good’ tables
  - What is good?
  - How to fix bad tables?
- In short:



We want tables where the attributes depend on the primary key, on the whole key, and nothing but the key.



# Two Approaches to Normalization

- Approach 1:

Create an ER model and then map to tables

- Approach 2 [Today]:

- State dependencies between attributes of tables
- Map dependencies to tables. Can be done automatically!

# 1<sup>st</sup> Normal Form – First Step

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

- Each value in table is single-valued
- Each row contains all the relevant data

We now have a relational table.  
Rows can be reordered, all rows independent.

# Redundancy and Errors I

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

Address mismatch

# Redundancy and Errors II

(Remember, we are trying to do this without using an ER)

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A1	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

**Redundant storage:** For each different item, we also store the address of the supplier.

# Redundancy Problems

- Redundant storage (space)
  - A supplier supplies multiple items

- Update anomalies

- Change address of a supplier
  - Need to change all instances!

- Insertion anomalies

- Insert a supplier
  - Has to insert other (unrelated) info too

- Deletion anomalies

- What if we want to delete the last item tuple?
  - Has to delete other (unrelated) info too

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$8
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8



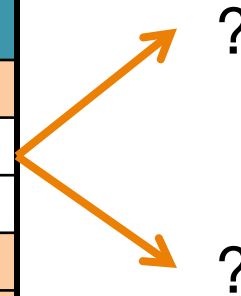
# Dealing with Redundancy

- Redundancy arises when schema forces an unnatural association among attributes
- The new trick we will learn today is to use the notion of **functional dependencies**

# Solution to Redundancy: Decomposition

- Split large relations to smaller ones

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8



- Decomposition should be used judiciously:
  - Normal forms:** guarantees against (some) redundancy
  - But, there can be a performance hit in going to smaller tables**

# Functional Dependencies (FD)

FDs capture dependencies among attributes

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

- ‘Supplier Name’ depends on the ‘Supplier ID’
- What does ‘depends on’ mean?



# FD: Definition

- Notation:  $a \rightarrow b$
- Read as: 'a' functionally determines 'b'
- **Informally:** If you know 'a', there is only one 'b' to match.

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

# FD: Definition

- Notation:  $a \rightarrow b$
- Read as: 'a' functionally determines 'b'
- **Informally:** If you know 'a', there is only one 'b' to match.
- **Formally:** A form of Integrity Constraint

D:  $X \rightarrow Y$        $X$  and  $Y$  subsets of relation  $R$ 's attributes  
 $t1 \in r, t2 \in r, \Pi_X(t1) = \Pi_X(t2) \Rightarrow \Pi_Y(t1) = \Pi_Y(t2)$

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1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

# FD: Example

FDs capture dependencies among attributes

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
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1	Acme	A1	Paint	blue	\$10
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2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8



# FD: Example

FDs capture dependencies among attributes

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
1	Acme	A1	Paint	blue	\$10
1	Acme	A2	Flowers	pink	\$3
2	Beanery	A2	Dynamite	boom	\$8
2	Beanery	A3	Dynamite	boom	\$8

- Supplier ID → Supplier Name
- Item → Desc
- Supplier ID, Item → Price

Other FDs?



# More on FDs

- An FD is a statement about **all** allowable relations.
  - Based only on application semantics, not a table instance

Primary Key IC: special case of FD

- Role of FDs in detecting redundancy:  
Relation R with 4 attributes, XYZK

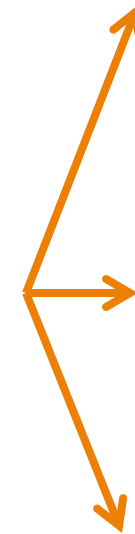
$X \rightarrow Y$  is violated in this table  
 $(X,Y)=(1,1)$  or  $(1,2)$

X	Y	Z	K
1	1	11	A
1	2	12	A
2	2	22	A
2	2	22	B

# Basic Normalization

- Write keys -> attribute mappings
- One table for each

Supplier ID	Supplier Name	Item	Desc	Price
1	Acme	Dynamite	boom	\$7
1	Acme	Paint	blue	\$10
1	Acme	Flowers	pink	\$3
2	Beanery	Dynamite	boom	\$8
2	Beanery	Dynamite	boom	\$8



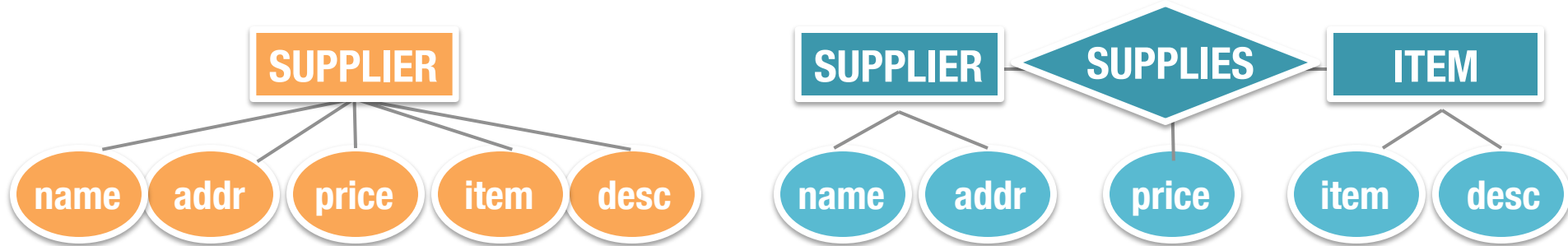
Supplier ID	Supplier Name
1	Acme
2	Beanery

Item	Desc
Dynamite	boom
Paint	blue
Flowers	pink

Supp ID	Item	Price
1	Dynamite	\$7
1	Paint	\$10
1	Flowers	\$3
2	Dynamite	\$8

- Supplier ID → Supplier Name
- Item → Desc
- Supplier ID, Item → Price

# Example: Constraints on Entity Set



- $S(\text{name}, \text{item}, \text{desc}, \text{addr}, \text{price})$ 
  - FD:  $\{n, i\} \rightarrow \{n, i, d, a, p\}$
  - FD:  $\{n\} \rightarrow \{a\}$
  - FD:  $\{i\} \rightarrow \{d\}$
- Decompose to: **NA**, **ID**, **INP**
- $Spl(\text{name}, \text{item}, \text{price})$ 
  - FD:  $\{n, i\} \rightarrow \{n, i, p\}$
- $Sup(\text{name}, \text{addr})$ 
  - FD:  $\{n\} \rightarrow \{n, a\}$
- $Item(\text{item}, \text{desc})$ 
  - FD:  $\{i\} \rightarrow \{i, d\}$

ER design is subjective and can have many E + Rs  
FDs: deeper understanding of schema

# Master goal

- Given relations
  - Supplier(sid, sname, ...)
  - Item( iid, desc, ...)
- And FD ( $\text{sid} \rightarrow \dots$ ,  $\text{iid} \rightarrow \dots$ )
- WRITE CODE
- To automatically generate ‘good’ schemas





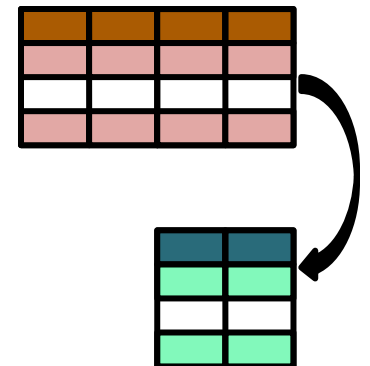


# How to find all the implied FDs?

- **F<sup>+</sup>: Closure of F** = Set of all FDs (including the derived ones)

Supplier ID → Supplier Name  
Item → Desc  
Supplier ID, Item → Price  
...

- How to obtain?
  - **F<sup>+</sup>** obtained by repeatedly applying Armstrong's Axioms



# Armstrong's Inference Axioms

- Axiom#1: Reflexive Property:
  - $(\text{Supplier ID}, \text{Item\#}) \rightarrow \text{Item\#}$
  - Obviously, if we know (Supplier ID and item#) pair, we know the item#
- In general, given attribute sets X and Y
  - Reflexivity: If  $Y \subseteq X$ , then  $X \rightarrow Y$
- In the above example, Y is [Item#]. X is [Supplier ID, Item#].
- This is called a trivial dependency.

# All the Inference Axioms

- Armstrong's Axioms ( $X, Y, Z$  are sets of attributes):
  - Reflexivity: If  $Y \subseteq X$ , then  $X \rightarrow Y$  (trivial dependency)
  - Augmentation: If  $X \rightarrow Y$ , then  $XZ \rightarrow YZ$  for any  $Z$
  - Transitivity: If  $X \rightarrow Y$  and  $Y \rightarrow Z$ , then  $X \rightarrow Z$   
e.g.  $\text{ename} \rightarrow \text{ejob}$ ,  $\text{ejob} \rightarrow \text{esal}$ ;  $\Rightarrow \text{ename} \rightarrow \text{esal}$
- Additional useful rules (derivable):
  - Union: If  $X \rightarrow Y$  and  $X \rightarrow Z$ , then  $X \rightarrow YZ$
  - Decomposition: If  $X \rightarrow YZ$ , then  $X \rightarrow Y$  and  $X \rightarrow Z$

# Deriving Union Rule from Axioms

- Prove: if  $X \rightarrow Y$  and  $X \rightarrow Z$  then  $X \rightarrow YZ$
- Proof:



- **Reflexivity:** If  $Y \subseteq X$ , then  $X \rightarrow Y$  (trivial dependency)
- **Augmentation:** If  $X \rightarrow Y$ , then  $XZ \rightarrow YZ$  for any  $Z$
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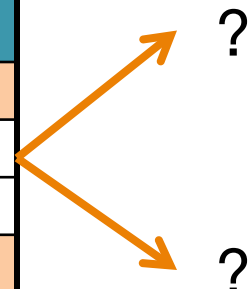
# Deriving Union Rule from Axioms

- Prove: if  $X \rightarrow Y$  and  $X \rightarrow Z$  then  $X \rightarrow YZ$
- Proof:
  1.  $X \rightarrow Y$  (given)
  2.  $X \rightarrow Z$  (given)
  3.  $XX \rightarrow XZ$  or  $X \rightarrow XZ$  (augmentation of 2)
  4.  $XZ \rightarrow YZ$  (augmentation of 1)
  5.  $X \rightarrow YZ$  (transitivity of 3 and 4)
- Possible to derive the decomposition rule from the basic Armstrong rules

# Solution to Redundancy: Decomposition

- Split large relations to smaller ones

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
1	Acme	A1	Dynamite	boom	\$7
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2	Beanery	A3	Dynamite	boom	\$8

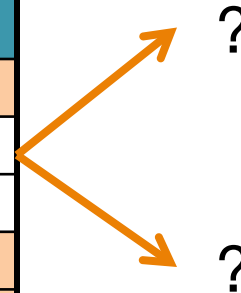


- Advantages:
  - Eliminate redundancy and anomalies
  - Lossless join when done right

# Solution to Redundancy: Decomposition

- Split large relations to smaller ones

Supplier ID	Supplier Name	Supplier Address	Item	Desc	Price
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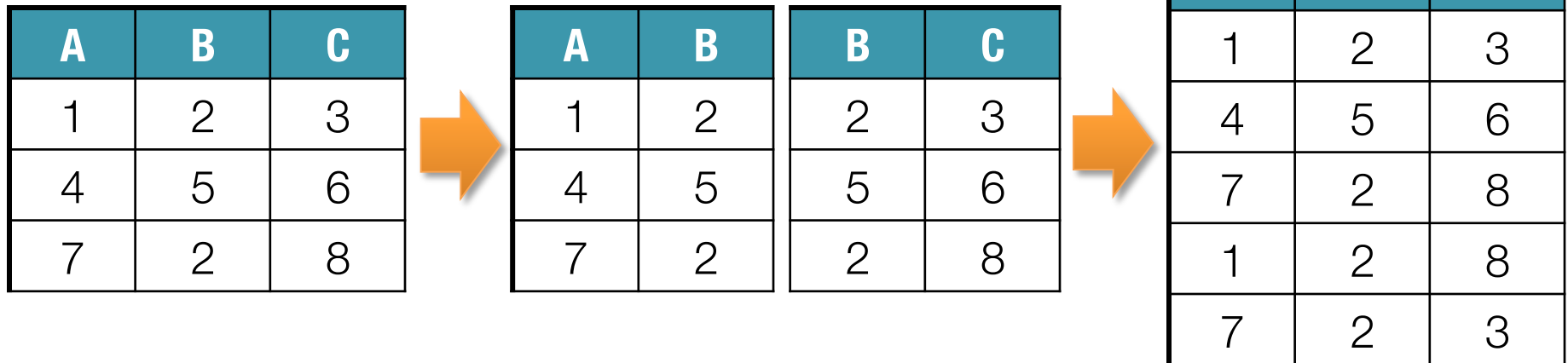
- Problems with decomposition
  - Some queries become more expensive (more joins)
  - Lossless Join: Can we reconstruct the original relation from instances of the decomposed relations?
  - Dependency Preservation: Checking dependencies may require joining the instances of the decomposed relations.

Must have

Good to have

# Lossless Join Decompositions

- Relation R, FDs F; Decomposed to X, Y
- Lossless-Join decomposition if:  
$$\pi_X(r) \bowtie \pi_Y(r) = r \quad \text{for every instance } r \text{ of } R$$
- Note,  $r \subseteq \pi_X(r) \bowtie \pi_Y(r)$  is always true, not vice versa, unless the join is lossless
- Can generalize to three or more relations





# Lossless Join (cont.)

- Relation R, FDs F; Decomposed to X, Y
  - Test: lossless-join w.r.t. F if and only if  $F^+$  contains:

$$X \cap Y \rightarrow X, \quad \text{or} \quad X \cap Y \rightarrow Y$$

i.e. attributes common to X and Y contain a key for either X or Y

(Note: Different test needed for decomposition into more than two relations)

Lossless join decomposition is always required!

# Lossless Decomposition: Example

**R1**

ssn	cid	grade
123	413	A
123	415	B
234	211	A

ssn, c-id  $\rightarrow$  grade

**R2**

ssn	name	addr
123	Smith	Main
234	Jones	Huron

ssn  $\rightarrow$  name, address

---

ssn	cid	grade	name	addr
123	413	A	Smith	Main
123	415	B	Smith	Main
234	211	A	Jones	Huron

ssn  $\rightarrow$  name, address  
ssn, cid  $\rightarrow$  grade

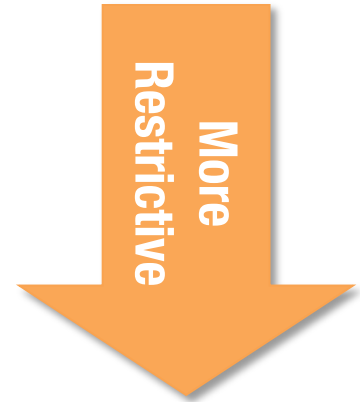
# Dependency Preserving Decomposition

- **Informally:** We don't want the original FDs to span two tables.
- R has a dependency-preserving decomposition to X, Y if  $F^+ = (F_x \cup F_y)^+$
- Note: F not necessarily  $= F_x \cup F_y$
- Example:
- R (sailor, boat, date)      F:  $\{D \rightarrow S, D \rightarrow B\}$
- Consider decomp. to X (sailor, boat)   Y (boat, date) and dependencies  $F_Y: \{D \rightarrow B\}$ .
- The above is not dependency preserving



# Normal Forms

- Certain kind of decomposition
- Guarantees that certain problems won't occur & obeys certain rules:
  - 1 NF : No set-valued attrs
  - 2 NF : Historical
  - 3 NF : ...
  - BCNF : Boyce-Codd Normal Form



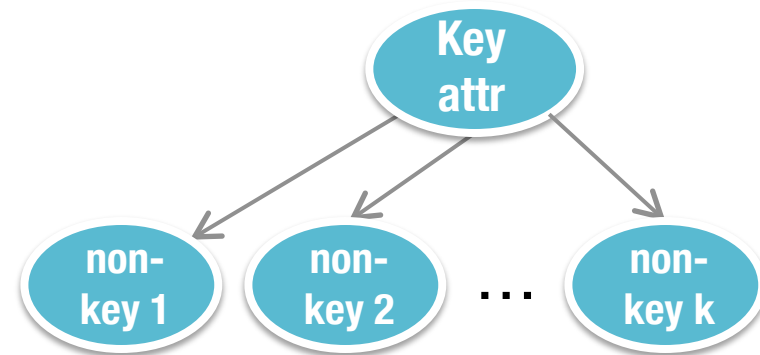
# Boyce-Codd Normal Form (BCNF)

- Rel.  $R$  with FDs  $F$  is in **BCNF** if, for all  $X \rightarrow A$  in  $F^+$ 
  - $A \subseteq X$  (**trivial** FD), or
  - $X$  is a super key

$X$ : subset of attributes  
 $A$ : single attribute

i.e. all non-trivial FDs over  $R$  are due to keys.

- No redundancy in  $R$**  (at least none that FDs detect)
- Most desirable normal form



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i.e. all non-trivial FDs over  $R$  are due to keys.

- No redundancy in  $R$**  (at least none that FDs detect)
- Most desirable normal form
- Consider a relation in BCNF and FD:  $X \rightarrow A$ , two tuples have the same  $X$  value
  - Can the  $y$  values be different?
  - NO! non-trivial dependency
    - $\Rightarrow X$  is a (super) key  $\Rightarrow$  the '?' must be  $y1$



X	Y	A
x	y1	a
x	?	a

# 3NF

- Relation R with FDs F is in **3NF** if, for all  $X \rightarrow A$  in  $F^+$ 
  - $A \subseteq X$  (trivial dependency) or
  - X is a super key or
  - A is part of some (minimal) key for R      **(prime attribute)**

X: subset of attributes


A: single attribute

Minimality of a key (i.e. not a super key) is crucial!

- BCNF implies 3NF, but 3NF does not imply BCNF

# 3NF: Example



- e.g. Reserves(Sailor, Boat, Date, CreditCard)
  - SBD  $\rightarrow$  SBDC, S  $\rightarrow$  C (not 3NF)  Why? SBD is the only key, S not a key, C not a key
  - If **additionally** C  $\rightarrow$  S, then CBD  $\rightarrow$  SBDC (i.e., CBD is also a key).  
 $\rightarrow$  Now in 3NF!
  - Note redundancy in (S, C); 3NF permits this
  - Compromise used when BCNF not achievable, or performance considerations

Lossless-join, dependency-preserving decomposition of R into a collection of 3NF relations is **always possible**.

Relation R with FDs F is in **3NF** if, for all  $X \rightarrow A$  in  $F^+$

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# Exercise 1: BCNF or 3NF?

- Relation  $R=(A,B,C,D,E)$

- FDs:

$$A \rightarrow BC$$

$$CD \rightarrow E$$

$$B \rightarrow D$$

$$E \rightarrow A$$

- Is  $R$  in BCNF?

- Is  $R$  in 3NF?



Hint:  
Use Armstrong's  
Axioms

- **Reflexivity:** If  $Y \subseteq X$ , then  $X \rightarrow Y$  (trivial dependency)
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# Exercise 1: BCNF or 3NF?

- **Keys:**

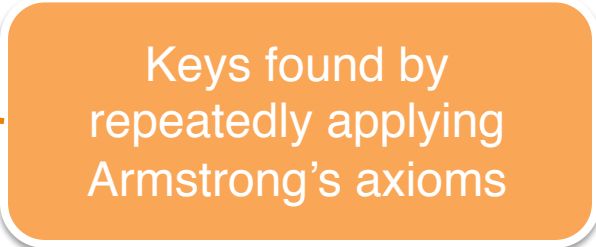
- A, E, CD, BC

- **Is R in BCNF?**

- No, because of  $B \rightarrow D$

- **Is R in 3NF?**

- Yes



Keys found by  
repeatedly applying  
Armstrong's axioms

- **Reflexivity:** If  $Y \subseteq X$ , then  $X \rightarrow Y$  (trivial dependency)
- **Augmentation:** If  $X \rightarrow Y$ , then  $XZ \rightarrow YZ$  for any  $Z$
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  - $A \subseteq X$  (trivial dependency) or
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- Note: F not necessarily  $= F_x \cup F_y$
- Example:
- R (sailor, boat, date)      F:  $\{D \rightarrow S, D \rightarrow B\}$
- Consider decomp. to X (sailor, boat)    Y (boat, date) and dependencies  $F_Y: \{D \rightarrow B\}$ .
- The above is not dependency preserving



# Exercise 2: FDs & Normal Forms

Suppose you are given the following relation R: ABCDEF

$BC \rightarrow D$

$CD \rightarrow B$

$D \rightarrow E$

$ACD \rightarrow F$

**IMPORTANT**

Optional after-class quiz

Submission: <https://goo.gl/CeTFbm>

Deadline: Thursday Feb 9 (noon)

*Counts only positively ("class" participation)*

1. Find the keys of R
2. List all of the above FDs that violate BCNF
3. List all of the above FDs that violate 3NF

# Exercise 2: Solution

1. All possible keys: ACD, ABC

2. Violates BCNF:

$BC \rightarrow D$ ,  $CD \rightarrow B$ ,  $D \rightarrow E$

3. Violates 3NF

$D \rightarrow E$

== FDs: ==  
 $BC \rightarrow D$   
 $CD \rightarrow B$   
 $D \rightarrow E$   
 $ACD \rightarrow F$



# Decomposition into BCNF

## High-Level Algorithm

**Input:** a relation  $R$  with FDs  $F$

1. Identify if any FDs violate BCNF (How?)
  - If  $X \rightarrow Y$  violates BCNF, decompose  $R$  into  $R - Y$  and  $XY$
2. Repeat for every  $X \rightarrow Y$  that violates BCNF.

**Output:** a collection of relations that are in BCNF

- Does this algorithm provide a lossless join decomposition?
  - Yes! Notice that  $X$  is a key for the relation  $XY$
- Several dependencies may cause violation of BCNF. The **order** in which we “deal with” them could lead to very **different sets of relations!**

# Algorithm for BCNF (relation R, FDs F)

done = false;

result = {R};

compute  $F^+$ ;

while (not done) do

    if  $\exists R_i \in \text{result}$  and  $R_i$  is not in BCNF

        let  $\alpha \rightarrow \beta$  be a nontrivial FD that holds in  $R_i$

            such that  $(\alpha \rightarrow R_i) \notin F^+$  and  $\alpha \cap \beta = \emptyset$  ;

        result = (result -  $R_i$ )  $\cup$  ( $R_i - \beta$ )  $\cup$  ( $\alpha, \beta$ ) ;

    else done = true ;



# Exercise 3: Fix R to be in BCNF

- Relation  $R=(A,B,C,D,E)$
- FDs:  $A \rightarrow BC$ ,  $CD \rightarrow E$ ,  $B \rightarrow D$ ,  $E \rightarrow A$
- Keys:  $A$ ,  $BC$ ,  $CD$ ,  $E$
- $B \rightarrow D$  violates BCNF
- Decompose R into:
  - $R1=(A,B,C,E)$   $R2=(B,D)$
- Is this decomposition lossless join?
  - Yes!  $R1 \cap R2 = B$  and  $B \rightarrow R2$
- Is it dependency preserving?
  - $F1: A \rightarrow BC, E \rightarrow A$
  - $F2: B \rightarrow D$
  - No!  $CD \rightarrow E$  is not in  $(F1 \cup F2)^+$

In this case,  
leave it in 3NF

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# Exercise 4

Suppose you are given the following relation R: ABCDEF

- $BC \rightarrow D$
- $CD \rightarrow B$
- $D \rightarrow E$
- $ACD \rightarrow F$

Now decompose R into R1 and R2,  
does each of them satisfy lossless join property?



- R1: ACDF, R2: ABCDE
- R1: BCD, R2: ABEF

# Exercise 4: Solution

- R1: ACDF, R2: ABCDE

It is lossless

Attributes common: ACD - it is a key

- R1: BCD, R2: ABEF

It is not lossless

Attributes common: B - not a key

# Refining an ER Diagram



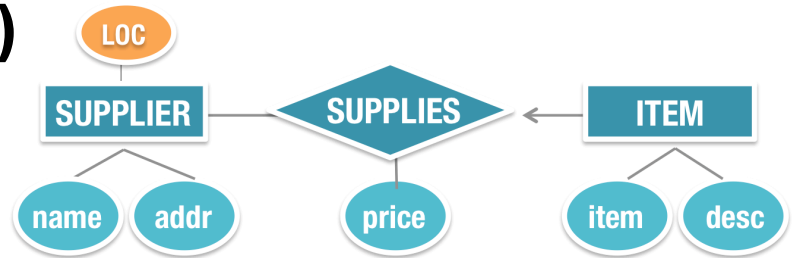
- Suppose you are **given the following schema**. You are asked to normalize it:
- IS (**item**, name, desc, loc, price)  
S (**name**, addr)
- Requirement: A supplier keeps all items of the same name in the same location **FD: name  $\rightarrow$  loc**

# Normalization Example

IS (item, name, desc, loc, price)

S (name, addr)

FDs =  $\{i \rightarrow ndlp, n \rightarrow la\}$



- IS is not in BCNF, due to  $n \rightarrow l$
- Break it up: IS(i,n,d,p), Loc(n,l)
- S(n,a) remains unchanged
- Now notice same key for S and Loc, so merge
- Loc (name, addr, loc)



# Refining an ER Diagram



- IS (**item**, name, desc, loc, price)  
S (**name**, addr)
- A supplier keeps all items of the same name in the same location **FD: name  $\rightarrow$  loc**

Solution:

IS (**item**, name, desc, price)

Loc (**name**, addr, loc)

New ER Diagram

# Normalization Summary

- Bad schemas lead to redundancy
  - Redundant storage, update, insert, and delete anomaly
- To “correct” bad schemas: decompose relations
  - Must be a lossless-join decomposition
  - Would like dependency preserving decompositions
- Desired Normal Forms
  - BCNF: allow only super-key functional dependencies
  - 3NF: allow dependencies with prime attributes on the RHS
    - Allows a limited form of redundancy
    - Trades off performance (avoid joins) for redundancy
  - 4NF: Use lossless decompositions for multi-valued dependencies