

# Introduction to Data Management

Relational DB Design Theory

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# Announcements

HW3 due Saturday (11:00 PM)

## Recap

- ER Diagrams
  - Conceptual modeling
  - · Rules of thumb for converting diagram into schema

```
CREATE TABLE Product (
    name VARCHAR(100) PRIMARY KEY,
    ...);

CREATE TABLE Company (
    name VARCHAR(100) PRIMARY KEY,
    ...);

CREATE TABLE Makes (
    cname VARCHAR(100) REFERENCES Company,
    pname VARCHAR(100) REFERENCES Product,
    PRIMARY KEY (cname, pname),
    ...);
```

Product makes Company

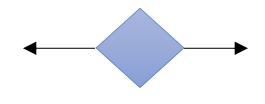
# Unique Constraint

- A UNIQUE attribute has a single unique value for each tuple in the relation.
- Same behavior we get with Primary Key, but we can have multiple UNIQUE

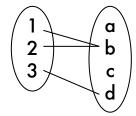
# Multiplicity of E/R Relations

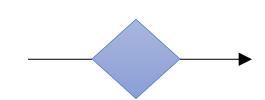
one-one:

1 2 b c d

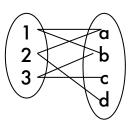


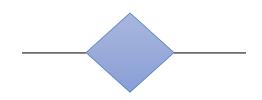
many-one



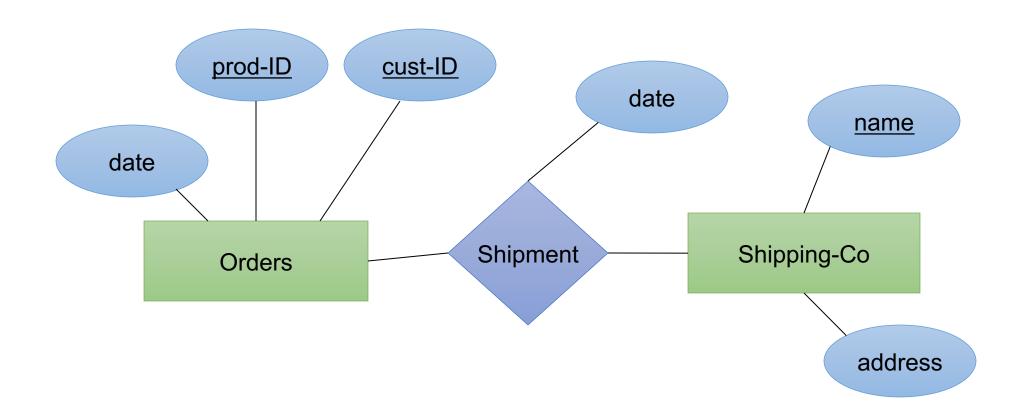


many-many



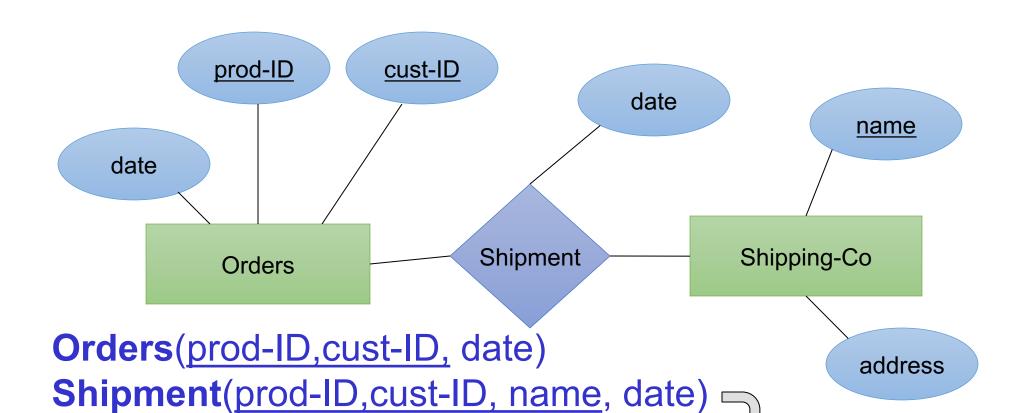


# N to N Relationships to Relations



Represent this in relations

# N to N Relationships to Relations



prod-ID

Gizmo55

Gizmo55

cust-ID

Joe12

Joe12

name

**UPS** 

**FEDEX** 

date

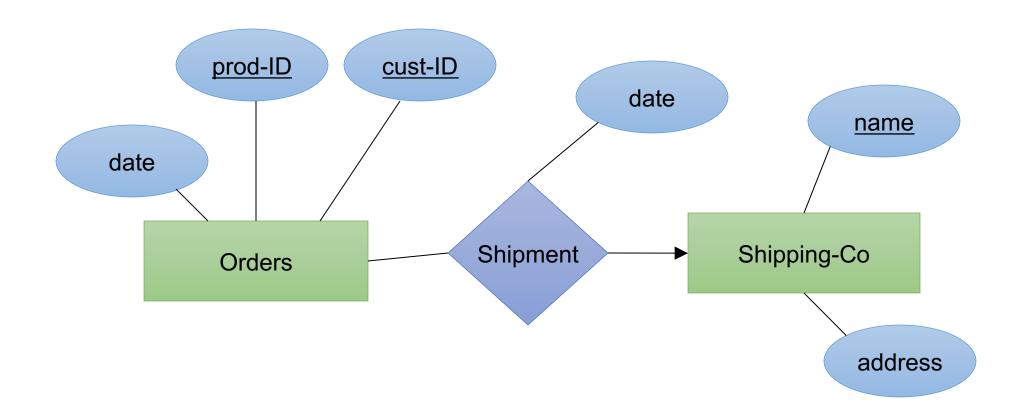
4/10/2011

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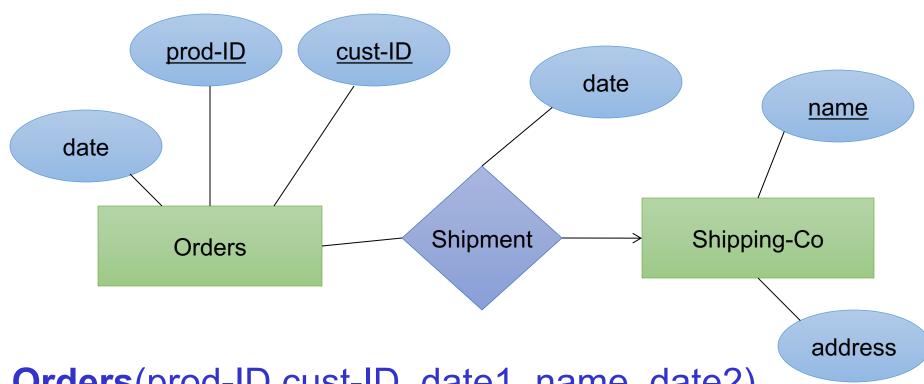
**Shipping-Co**(name, address)

# N to 1 Relationships to Relations



Represent this in relations

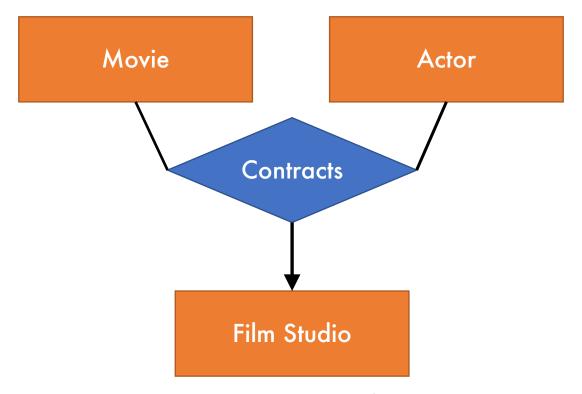
# N to 1 Relationships to Relations



Orders(prod-ID,cust-ID, date1, name, date2) Shipping-Co(name, address)

Remember: no separate relations for many-one relationship

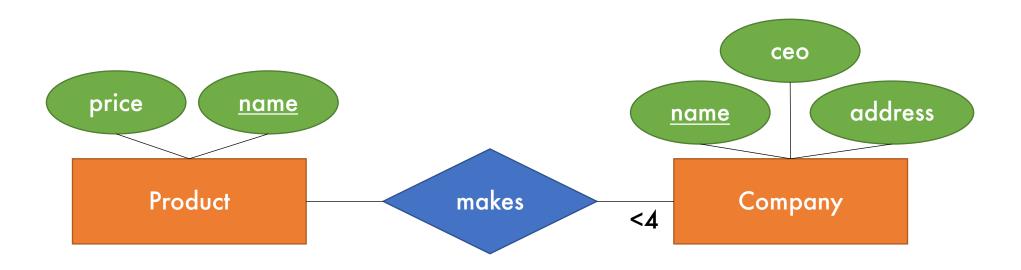
# Multi-Way Relations



[precisely: Arrow pointing to some E means that if we select one entity from each of the other entity sets in the relationship, that **combination of entities** is related to at most one entity in E]

### Misc Constraints

- Normal arrows are shorthand versions of (<=1)</p>
- Rounded arrows are shorthand versions of (=1)



Each product can be made by, at most, 3 companies

### Other Constraints

- CHECK (condition)
  - Single attribute
  - Single tuples

```
CREATE TABLE User (
    uid INT PRIMARY KEY,
    firstName TEXT,
    lastName TEXT,
    age INT CHECK (age > 12 AND age < 120),
    email TEXT,
    phone TEXT,
    CHECK (email IS NOT NULL OR phone IS NOT NULL)
);</pre>
```

```
ON UPDATE/ON DELETE
                → (default) error out
■ NO ACTION
                → update/delete referencers
CASCADE
                > set referencers' field to NULL
■ SET NULL
■ SET DEFAULT → set referencers' field to default

    Assumes default was set, e.g.

  CREATE TABLE Table (
     id INT DEFAULT 42 REFERENCES OtherTable,
```

```
CREATE TABLE Company (
name VARCHAR(100) PRIMARY KEY);
CREATE TABLE Product (
name VARCHAR(100) PRIMARY KEY,
cname VARCHAR(100)
REFERENCES Company
ON UPDATE CASCADE
ON DELETE SET NULL);
```

#### Company

#### **Product**

name
Hasbro
Nyform

name	cname
Beyblade	Hasbro
Troll	Hasbro



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```
UPDATE Company
   SET name = 'lmao'
WHERE name = 'Hasbro';
```



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### Assertions

- Hard to support
- Usually impractical
- Usually not supported
  - Simulated with triggers

# **Triggers**

### Triggers activate on a specified event

```
CREATE TRIGGER LowCredit ON Purchasing.PurchaseOrderHeader
AFTER INSERT AS
  IF (ROWCOUNT BIG() = 0) RETURN;
  IF EXISTS (SELECT *
             FROM Purchasing.PurchaseOrderHeader AS p
             JOIN inserted AS i
             ON p.PurchaseOrderID = i.PurchaseOrderID
             JOIN Purchasing. Vendor AS v
             ON v.BusinessEntityID = p.VendorID
             WHERE v.CreditRating = 5
    BEGIN
      RAISERROR ('A vendor''s credit rating is too
                   low to accept new purchase orders.', 16, 1);
      ROLLBACK TRANSACTION;
      RETURN
                                = you don't need to
    END;
                                study this for the class
GO
```

July 17, 2019 ER Diagrams 20

# Goals for Today

 Figure out the fundamentals of what makes a good schema

## Outline

- Background
  - · Anomalies, i.e. things we want to avoid
  - Functional Dependencies (FDs)
  - Closures and formal definitions of keys
- Normalization: BCNF Decomposition
- Loss less ness



### Make a simple directory that can:

- Hold information about name, SSN, phone, and city
- Associate people with the city they live in
- Associate people with any phone numbers they have

Name	SSN	Phone	City
Fred	123-45-6789	206-555-9999	Seattle
Fred	123-45-6789	206-555-8888	Seattle
Joe	987-65-4321	415-555-7777	San Francisco

The above instance does the job, but are there issues?



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- Redundancy → Slow Update
  - Change Fred's city to Bellevue (two rows!)
- Deletion Anomalies
  - How to delete Joe's phone without deleting Joe?



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### into this:



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#### into this:

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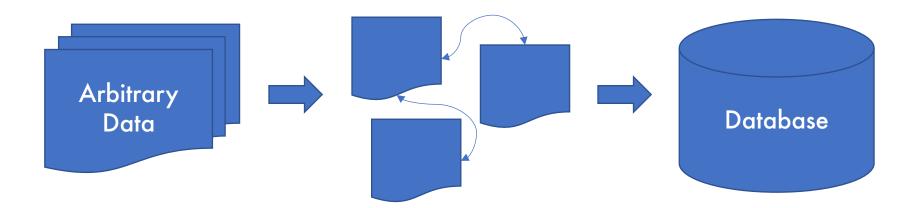
### How can we systematically avoid anomalies?

# Informal Design Guidelines

- Semantics of attributes should be self-evident
- Avoid redundant information in tuples
- Avoid NULL values in tuples
- Disallow the generation of "spurious" tuples
  - If certain tuples shouldn't exist, don't allow them

#### **Database Design**

Database Design or Logical Design or Relational Schema Design is the process of organizing data into a database model. This is done by considering what data needs to be stored and the interrelationship of the data.



Database Design is about (1) characterizing data and (2) organizing data

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(1) characterizing data and (2) organizing data

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(1) characterizing data and (2) organizing data

How to talk about properties we know or see in the data

# Data Interrelationships

# How do we start talking about data interrelationships?

- What rules govern our data?
  - Domain knowledge
    - Dimension vs measure
  - Pattern analysis

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The rules that are known to us since we **made them up** or they correlate to **things in the real world** 



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[ex] An engineer knows that a plane model determines the plane's wingspan

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Rules that are found by finding correlations within the given data

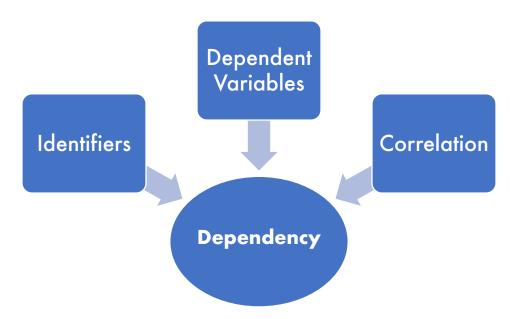


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#### **Functional Dependency**

A Functional Dependency  $A_1, ..., A_m \rightarrow B_1, ..., B_n$  holds in the relation R if:

$$\forall t,t' \in R, (t.A_1=t'.A_1 \wedge \ldots \wedge t.A_m=t'.A_m \rightarrow t.B_1=t'.B_1 \wedge \ldots \wedge t.B_n=t'.B_n)$$

Informally, some attributes determine other attributes.

$$A_1, \dots, A_m \to B_1, \dots, B_n$$

This is the antecedent

This is the consequent

Warning! Dependency does not imply causation!

Armstrong's Axioms

Axiom of Reflexivity (Trivial FD)

Axiom of Augmentation

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If  $B \subseteq A$  then  $A \rightarrow B$ 

Axiom of Augmentation

#### Armstrong's Axioms

Axiom of Reflexivity (Trivial FD)

```
If B \subseteq A then A \to B
[ex] \{name\} \subseteq \{name, job\} so \{name, job\} \to \{name\}
```

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### Armstrong's Axioms

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Axiom of Augmentation

If 
$$A \rightarrow B$$
 then  $\forall C, AC \rightarrow BC$ 

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If A \to B then \forall C, AC \to BC

[ex] \{ID\} \to \{name\} \text{ so } \{ID, job\} \to \{name, job\}
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#### Armstrong's Axioms

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$$[ex] \{name\} \subseteq \{name, job\} \text{ so } \{name, job\} \to \{name\}$$

Axiom of Augmentation

If 
$$A \to B$$
 then  $\forall C, AC \to BC$   
[ex]  $\{ID\} \to \{name\} \text{ so } \{ID, job\} \to \{name, job\}$ 

```
If A \rightarrow B and B \rightarrow C then A \rightarrow C
```

#### Armstrong's Axioms

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If B \subseteq A then A \to B
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Axiom of Augmentation

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If A \to B then \forall C, AC \to BC

[ex] \{ID\} \to \{name\} \text{ so } \{ID, job\} \to \{name, job\}
```

```
If A \rightarrow B and B \rightarrow C then A \rightarrow C

[ex] \{ID\} \rightarrow \{name\} \text{ and } \{name\} \rightarrow \{initials\}

so \{ID\} \rightarrow \{initials\}
```

#### Interesting Secondary Rules

Pseudo Transitivity

If 
$$A \rightarrow BC$$
 and  $C \rightarrow D$  then  $A \rightarrow BD$ 

Extensivity

If  $A \rightarrow B$  then  $A \rightarrow AB$ 

Can I do this to FDs?

```
I only know \{ID\} \rightarrow \{name\}
So \{ID, hair color\} \rightarrow \{name\}
```

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Yes!

Can I do this to FDs?

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Yes!

Adding more attributes to the antecedent can never remove attributes in the consequent.

What about this?

```
I only know \{ID\} \rightarrow \{name\}
So \{ID\} \rightarrow \{name, hair color\}
```

What about this?

```
I only know \{ID\} \rightarrow \{name\}
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No!

#### What about this?

```
I only know \{ID\} \rightarrow \{name\}
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```

#### No!

No way to use the axioms to introduce hair color to the consequent without also introducing it to the antecedent.

All this talk about FDs sounds awfully similar to keys...

#### **Closure**

The **Closure** of the set  $\{A_1, ..., A_m\}$ , written as  $\{A_1, ..., A_m\}^+$ , is the set of attributes B is such that  $A_1, ..., A_m \to B$ .

A closure finds everything a set of attributes determines.

#### Closure (example)

Given the functional dependencies:

- $SSN \rightarrow Name$
- $Name \rightarrow Initials$

- $Name^+ =$
- $SSN^+ =$
- $Initials^+ =$
- $\{SSN, Initials\}^+ =$

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- $Name^+ = \{Name, Initials\}$
- $SSN^+ = \{SSN, Name, Initials\}$
- $Initials^+ =$
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#### Closure (example)

#### Given the functional dependencies:

- $SSN \rightarrow Name$
- $Name \rightarrow Initials$

- $Name^+ = \{Name, Initials\}$
- $SSN^+ = \{SSN, Name, Initials\}$
- $Initials^+ = \{Initials\}$
- $\{SSN, Initials\}^+ = \{SSN, Name, Initials\}$

#### Closure Algorithm

Find the closure of  $\{A_1, \dots, A_m\}$ 

$$X=\{A_1,\dots,A_m\}$$

Repeat until X does not change:

if 
$$B1, ..., Bn \rightarrow C$$
 is a FD and  $B1, ..., Bn \in X$  then  $X \leftarrow X \cup C$ 

### In practice:

Repeated use of transitivity

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### In practice:

Repeated use of transitivity

If a FD applies, add the consequent to the answer

# Closure Example

Let's say we have the following relations and FDs:

```
Restaurants(rid, name, rating, popularity)
rid → name
rid → rating
rating → popularity
```

Compute  $\{rid\}^+$ 

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Compute  $\{rid\}^+$ 

 $\{rid\}^+ = rid, name, rating, popularity$  (it's a key!)

What do FDs and Closures do for us?

- Characterize the interrelationships of data
- Able to find keys

#### Superkey

A **Superkey** is a set of attributes  $A_1, ..., A_n$  s.t. for any single attribute B:

$$A_1, \ldots, A_n \to B$$

In other words, for the set of all attributes C in the relation R, the set  $\{A_1, \ldots, A_n\}$  is a superkey iff  $\{A_1, \ldots, A_n\}^+ = C$ 

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A **Key** is a minimal superkey, i.e. no subset of a key is a superkey.

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#### **Candidate Key**

When a relation has multiple keys, each key is a **Candidate Key**.

# Usefulness of Keys in Design

What intuitions do we get from data interrelationships?

- FDs that are not superkeys hint at redundancy we can decompose
  - If a FD antecedent is **not** a superkey, we can remove redundant information, i.e. the FD consequent

# Usefulness of Keys in Design

# What intuitions do we get from data interrelationships?

- FDs that are not superkeys hint at redundancy we can decompose
  - If a FD antecedent is **not** a superkey, we can remove redundant information, i.e. the FD consequent
- Rephrased
  - If A → B is holds on our relation, that's great if A is a superkey
  - $\bullet$  Otherwise, we can extract B into another table

# Usefulness of Keys in Design

Restaurants(rid, name, rating, popularity)
rid → name
rid → rating
rating → popularity

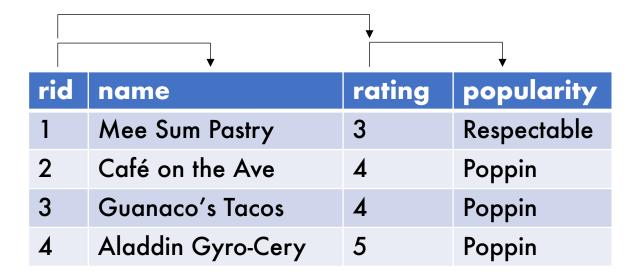
rid	name	rating	popularity
1	Mee Sum Pastry	3	Respectable
2	Café on the Ave	4	Poppin
3	Guanaco's Tacos	4	Poppin
4	Aladdin Gyro-Cery	5	Poppin

# Usefulness of Keys in Design

Restaurants(rid, name, rating, popularity)

```
rid → name
rid → rating

Fine because rid is a superkey
rating → popularity
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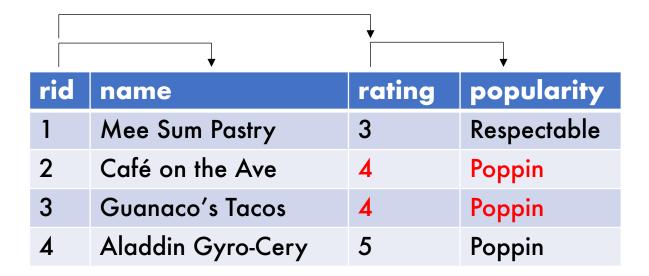


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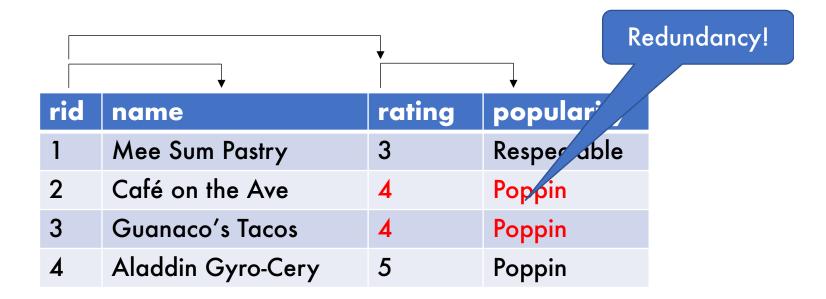


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rating → popularity



## Database Design

Database Design is about
(1) characterizing data and (2) organizing data

How to talk about properties we know or see in the data

# Database Design

Database Design is about
(1) characterizing data and (2) organizing data

How to organize data to promote ease of use and efficiency

### Normal Forms

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- 1NF → Flat (no nested tables)
- 2NF → No partial FDs (obsolete)
- 3NF → Preserve all FDs, but allow anomalies
- BCNF → No transitive FDs, but can lose FDs
- 4NF → Considers multi-valued dependencies
- 5NF → Considers join dependencies (hard to do)

Only a couple of these are practical outside of database theory

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## Normal Forms

#### 1NF

A relation R is in **First Normal Form** if all attribute values are atomic. Attribute values cannot be multivalued. Nested relations are not allowed.

We call data in 1NF "flat."

#### **BCNF**

A relation R is in **Boyce-Codd Normal Form (BCNF)** if for every non-trivial dependency,  $X \to A$ , X is a superkey.

Equivalently, a relation R is in BCNF if  $\forall X$  either  $X^+ = X$  or  $X^+ = C$  where C is the set of all attributes in R

#### Examples

- R(A, B, C) with FDs  $A \rightarrow B$  and  $B \rightarrow C$
- R(A, B, C) with FDs  $A \rightarrow BC$
- R(A, B, C) and S(A, D, E) with FDs  $A \rightarrow BCDE$  and  $E \rightarrow AD$

#### **BCNF**

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Equivalently, a relation R is in BCNF if  $\forall X$  either  $X^+ = X$  or  $X^+ = C$  where C is the set of all attributes in R

#### Examples

- R(A, B, C) with FDs  $A \rightarrow B$  and  $B \rightarrow C$  is not in BCNF
- R(A, B, C) with FDs  $A \rightarrow BC$  is in BCNF
- R(A,B,C) and S(A,D,E) with FDs  $A \to BCDE$  and  $E \to AD$  is in BCNF

## Decomposition

- "Extracting" attributes can be done with decomposition (split the schema into smaller parts)
- For this class, decomposition means the following:

$$R(A_1, ..., A_n, B_1, ..., B_m, C_1, ..., C_k) < \frac{R_1(A_1, ..., A_n, B_1, ..., B_m)}{R_2(A_1, ..., A_n, C_1, ..., C_k)}$$

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Some common attributes are present so we can rejoin data

#### **BCNF** Decomposition Algorithm

```
Normalize(R)

C \leftarrow \text{ the set of all attributes in } R

find X \text{ s.t. } X^+ \neq X \text{ and } X^+ \neq C

if X is not found

then "R is in BCNF"

else

decompose R into R_1(X^+) and R_2((C - X^+) \cup X)

Normalize(R_1)

Normalize(R_2)
```

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Normalize(R<sub>1</sub>)

Normalize(R<sub>2</sub>)
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Normalize(R<sub>1</sub>)

Normalize(R<sub>2</sub>)
```

Decompose into a relation where X is a superkey

Decompose into a relation with X and attributes X cannot determine

## **BCNF** Decomposition Example

```
Normalize(R)
C \leftarrow \text{ the set of all attributes in } R
find X \text{ s.t. } X^+ \neq X \text{ and } X^+ \neq C
if X \text{ is not found}
then "R is in BCNF"
else
decompose R \text{ into } R_1(X^+) \text{ and } R_2\big((C - X^+) \cup X\big)
Normalize(R<sub>1</sub>)
Normalize(R<sub>2</sub>)
```

Restaurants(rid, name, rating, popularity, recommended)
rid  $\rightarrow$  name, rating
rating  $\rightarrow$  popularity
popularity  $\rightarrow$  recommended

#### **Definition**

**Lossless Decomposition** is a reversible decomposition, i.e. rejoining all decomposed relations will always result exactly with the original data.

This is the opposite of a **Lossy Decomposition**, an irreversible decomposition, where rejoining all decomposed relations may result something other than the original data, specifically with extra tuples.

This concept might be familiar if you have ever encountered lossless data compression (e.g. Huffman encoding or PNG) or lossy data compression (e.g. JPEG).

# Is BCNF decomposition lossless?

Is BCNF decomposition lossless?

Yes!

Proofs below, for those interested. We will not test on them

#### Note on Best Practice



- You may inherit a database that could be lossy. Before you use it, it may be worth your time to check if it is lossy.
- Full normalization is nice but can be inefficient
  - Denormalization → don't normalize all the way

#### Definition - Heath's Theorem

Suppose we have the relation R and three disjoint subsets of the attributes of R we will write as  $A_1, ..., A_n, B_1, ..., B_m$ , and  $C_1, ..., C_k$ . Suppose we also have a FD that is  $A_1, ..., A_n \to B_1, ..., B_m$ .

**Heath's Theorem** states that the decomposition of R into  $R_1(A_1, ..., A_n, B_1, ..., B_m)$  and  $R_2(A_1, ..., A_n, C_1, ..., C_k)$  is <u>lossless</u> where  $R_1$  and  $R_2$  are the projections of R on their respective attributes.

$$R(A_1, ..., A_n, B_1, ..., B_m, C_1, ..., C_k) \stackrel{\bullet}{\sim} R_1(A_1, ..., A_n, B_1, ..., B_m)$$
 $R(A_1, ..., A_n, C_1, ..., C_k)$ 

By reflection, the same decomposition of R under the alternate FD  $A_1, ..., A_n \rightarrow C_1, ..., C_k$  is also lossless.

We can get to some lossless decomposition, but we should have a way to <u>verify losslessness</u>.

Verifying losslessness mathematically is checking that joining decompositions of the data equals the original data

- Assume we have a decomposition of R into  $S_1, ..., S_n$
- We want to show that  $R = S_1 \bowtie \cdots \bowtie S_n$
- Show  $R \subseteq S_1 \bowtie \cdots \bowtie S_n$  and  $R \supseteq S_1 \bowtie \cdots \bowtie S_n$

Showing  $R \subseteq S_1 \bowtie \cdots \bowtie S_n$  is somewhat simple:

The decomposition of R will have it so that every tuple of R is represented at least once  $\rightarrow$  never omit data in decomposition (projection)

Joining the decompositions (natural join → join on same attribute names with same values) will produce at least the original tuples

$$R \supseteq S_1 \bowtie \cdots \bowtie S_n$$
?

#### Chase Test (Tableau Method)

- 1. Generate a tableau of generic tuples representing each schema.
- 2. Each generic tuple has known values corresponding to the respective projection.
- 3. Until a row reflects the original generic tuple, continue to chase on FDs (extract more agreements of values)

R(A,B,C,D) decomposed S1(A,D),S2(A,C),S3(B,C,D)

**FDs**:  $A \rightarrow B$ ,  $B \rightarrow C$ ,  $CD \rightarrow A$ 

Prove:  $R \supseteq S_1 \bowtie \cdots \bowtie S_n$ 

Known:  $S1 = \pi_{A,D}(R)$ ,  $S2 = \pi_{A,C}(R)$ ,  $S3 = \pi_{B,C,D}(R)$ 

 $(a,d) \in S1, (a,c) \in S2, (b,c,d) \in S3$ 

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R(A,B,C,D) decomposed S1(A,D),S2(A,C),S3(B,C,D)

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 $(a,d) \in S1, (a,c) \in S2, (b,c,d) \in S3$ 

#### R must contain:

A	В	C	D
a	b1	c1	d
a	b2	C	d2
a3	b	C	d

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a3	b	C	d	a3	b	C	d

$$A \rightarrow B$$

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R(A,B,C,D) decomposed S1(A,D),S2(A,C),S3(B,C,D)

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a	b2	C	d2		a	<b>b</b> 1	C	d2		a	b1	C	d2
a3	b	C	d		a3	b	C	d		a3	b	C	d
				$A \to B$					$B \rightarrow C$	•			

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a	b1	<b>c</b> 1	d	a	b1	c1	d	a	b1	C	d	$CD \rightarrow A$
a	b2	C	d2	a	b1	C	d2	a	<b>b</b> 1	C	d2	$CD \rightarrow A$
a3	b	C	d	a3	b	C	d	a3	b	C	d	

$$A \to B$$
  $B \to C$ 

A	В	C	D
a	b1	C	d
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a	b2	C	d2	a	b1	C	d2	a	b1	C	d2	$CD \to A$
a3	b	C	d	a3	b	C	d	a3	b	C	d	

 $A \to B$   $B \to C$ 

A	В	C	D
a	b	C	d
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a	b1	<b>c1</b>	d	a	b1	c1	d	a	b1	C	d	$CD \rightarrow A$
a	b2	C	d2	a	b1	C	d2	a	b1	C	d2	$CD \to A$
a3	b	C	d	a3	b	C	d	a3	b	C	d	

$$A \rightarrow B$$

A	В	C	D
a	b	C	d
a	b	C	d
a	b	C	d

 $(a,b,c,d) \in R$ 

 $B \rightarrow C$ 

R(A, B, C, D) decomposed S1(A, D), S2(A, C), S3(B, C, D)

**FDs**:  $A \rightarrow B$ ,  $B \rightarrow C$ ,  $CD \rightarrow A$ 

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#### R must contain:

A	В	C	D	A	В	C	D	A	В	C	D	
a	b1	c1	d	a	b1	c1	d	a	b1	C	d	$CD \rightarrow A$
a	b2	C	d2	a	b1	C	d2	a	b1	C	d2	$CD \to A$
a3	b	C	d	a3	b	C	d	a3	b	C	d	

 $B \rightarrow C$ 

The decomposition of R into S1, S2, and S3 is lossless

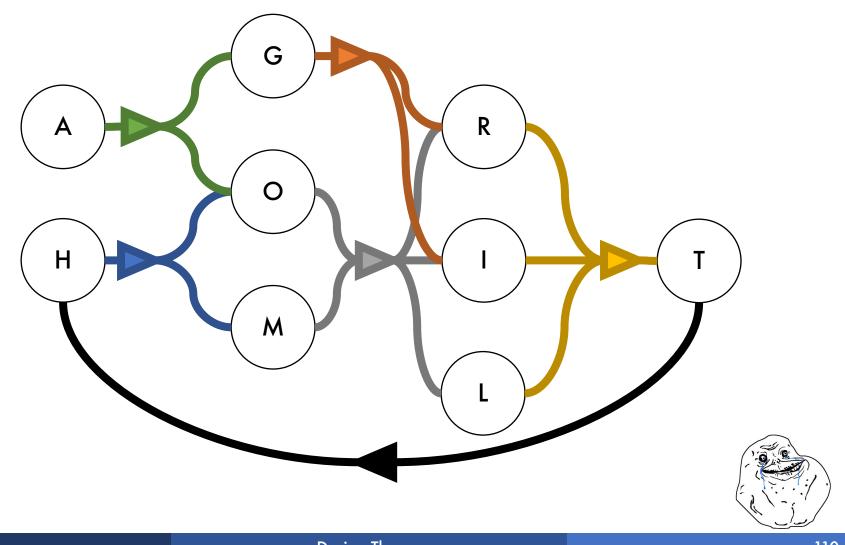
 $A \rightarrow B$ 

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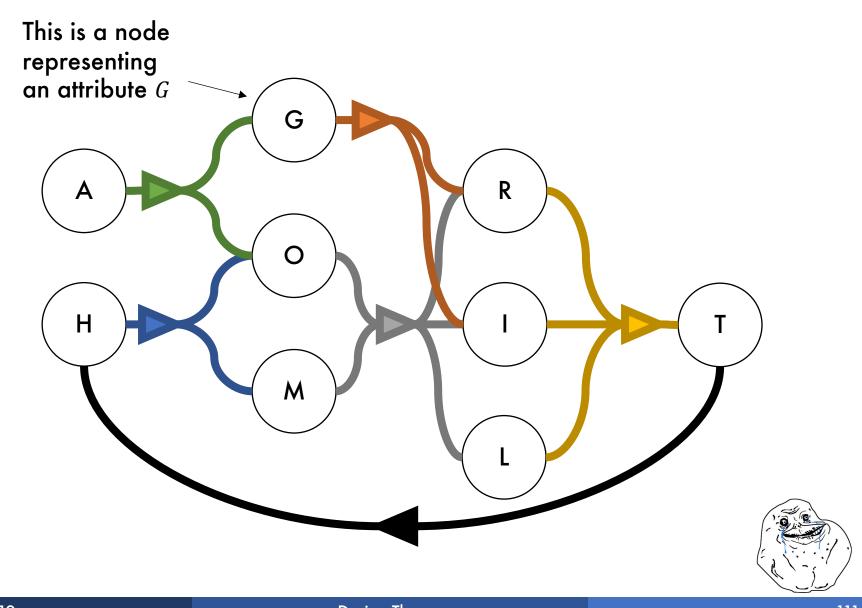
## Think About This



Visually representing FDs: Directed Hypergraphs!

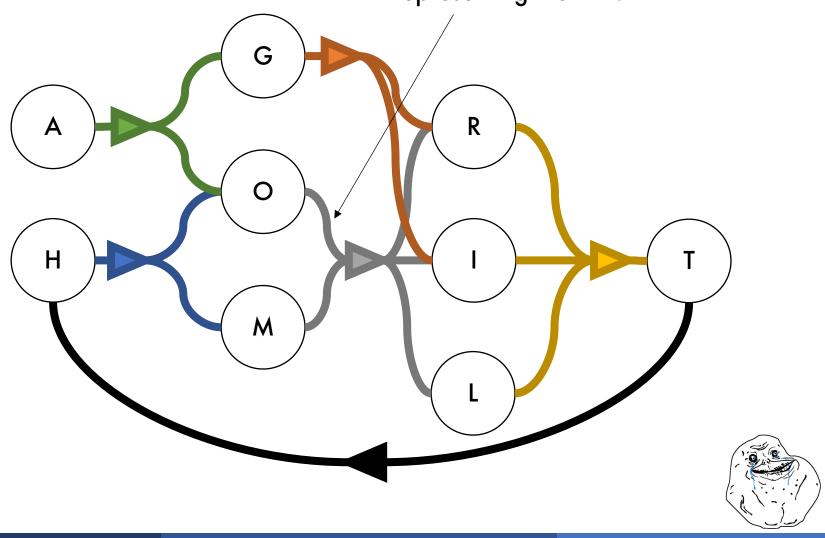




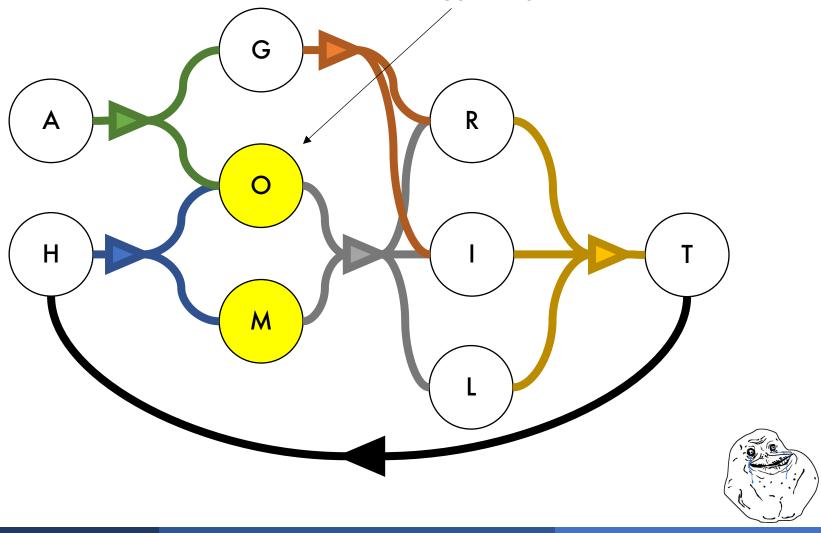




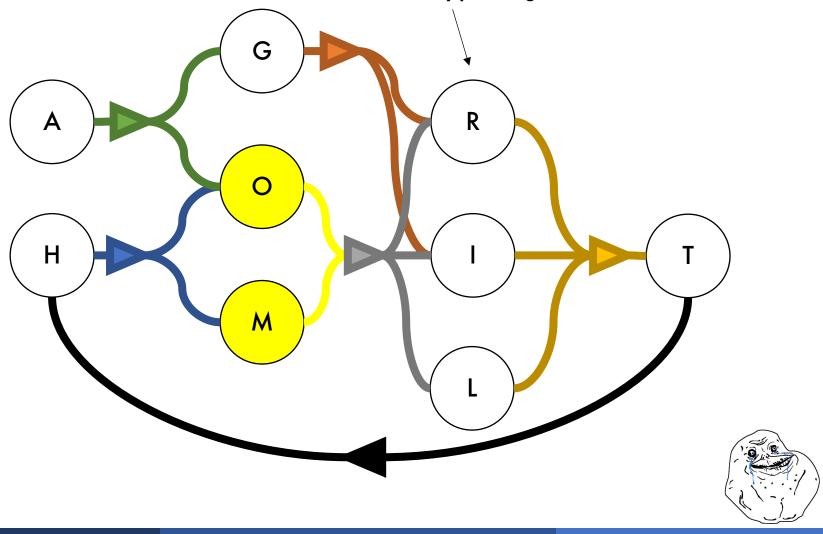
This is a directed hyperedge representing the FD  $OM \rightarrow RIL$ 



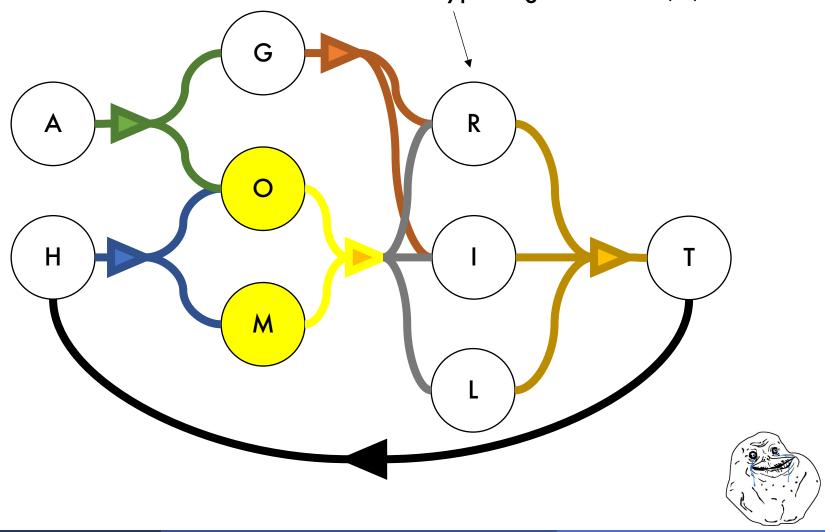




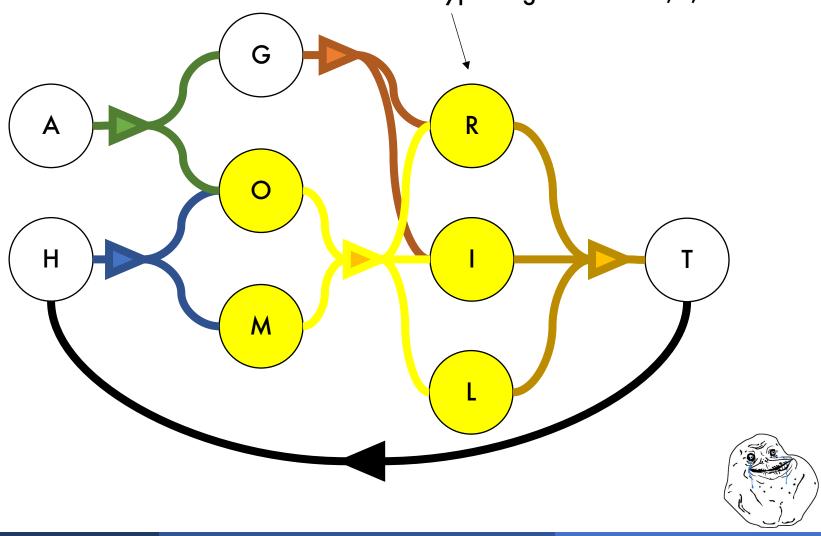






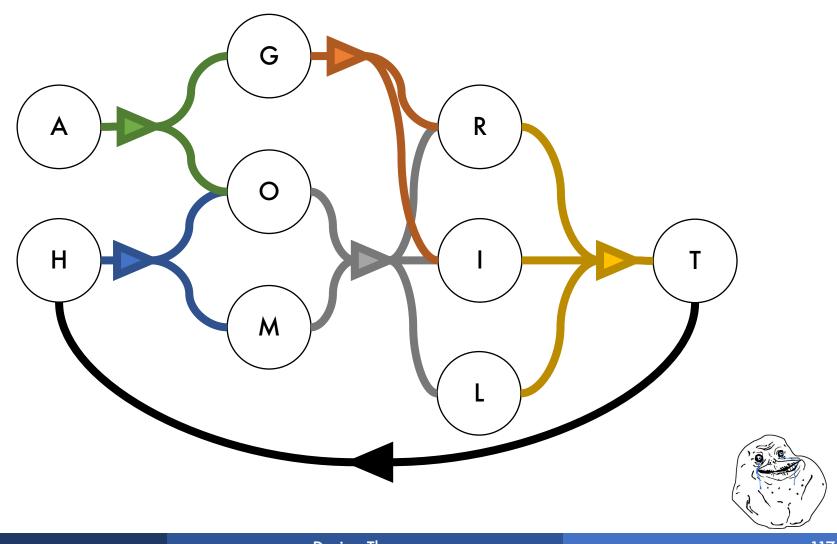






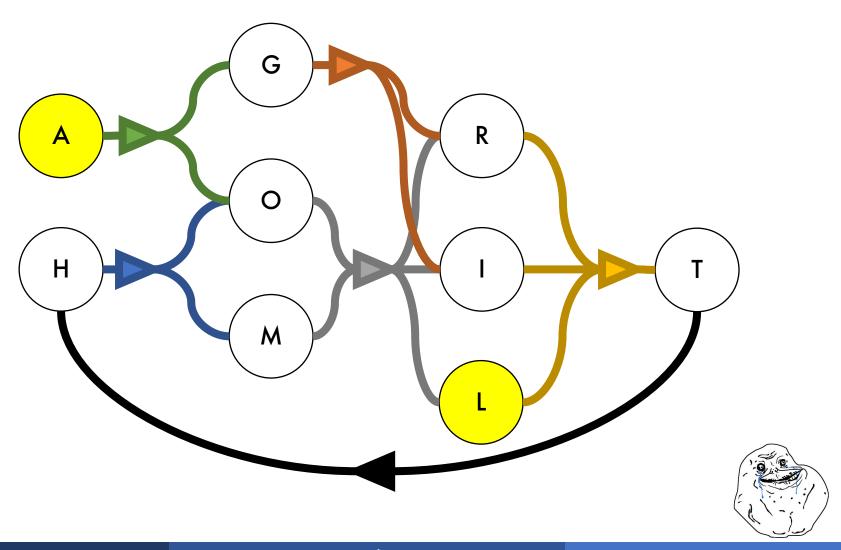


#### Compute the closure $\{A, L\}^+$



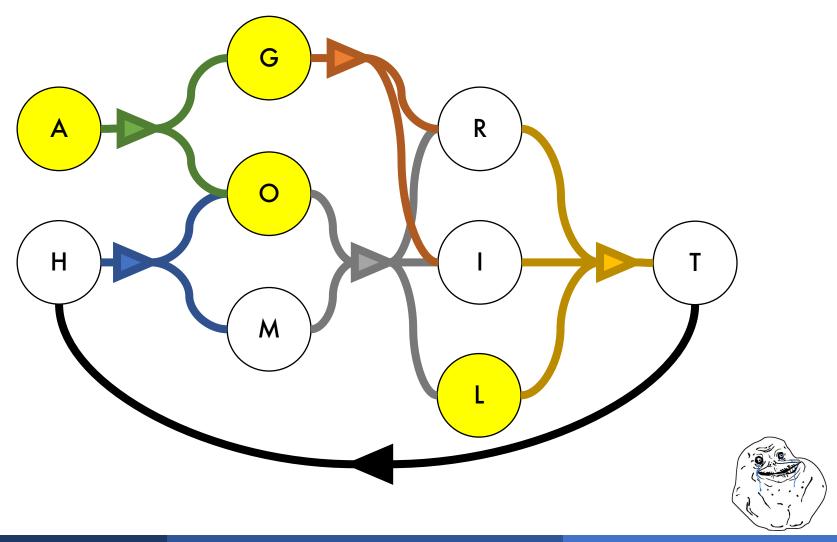


$${A, L}^+ = {A, L, ...}$$



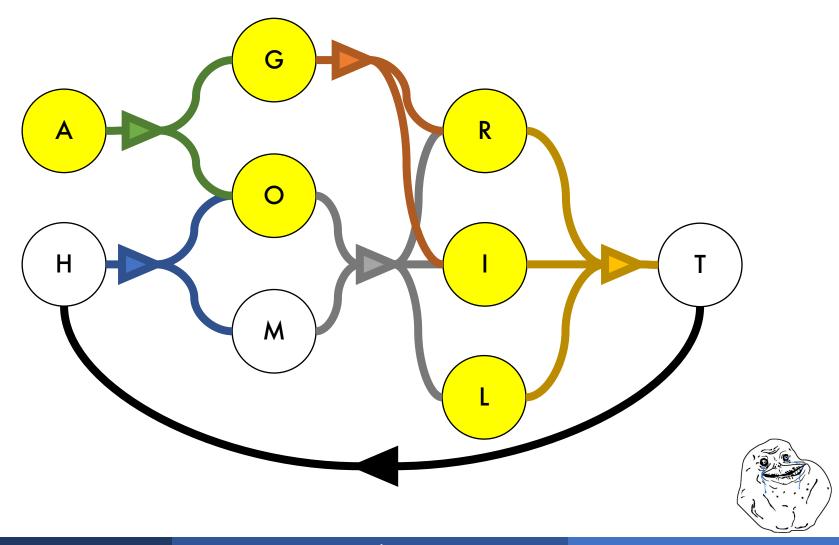


$${A, L}^+ = {A, L, G, O, ...}$$



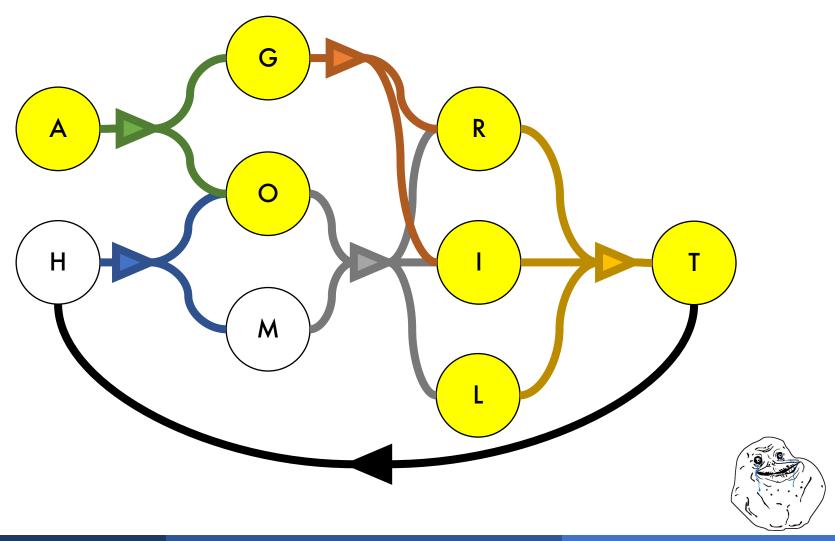


$${A,L}^+ = {A,L,G,O,R,I...}$$



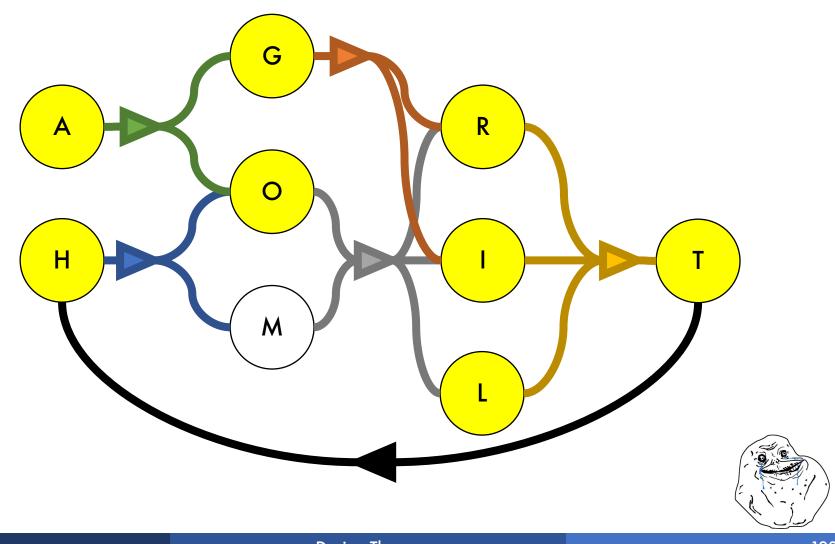


$${A,L}^+ = {A,L,G,O,R,I,T ...}$$



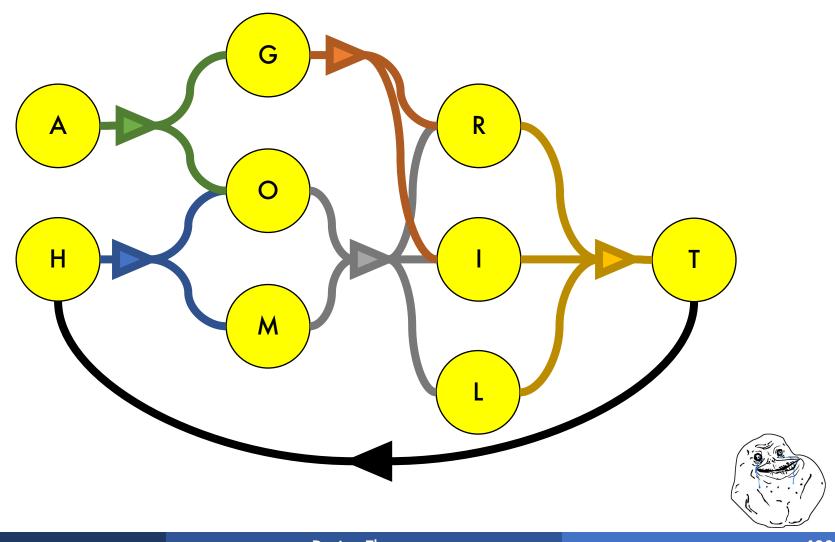


$${A, L}^+ = {A, L, G, O, R, I, T, H ...}$$



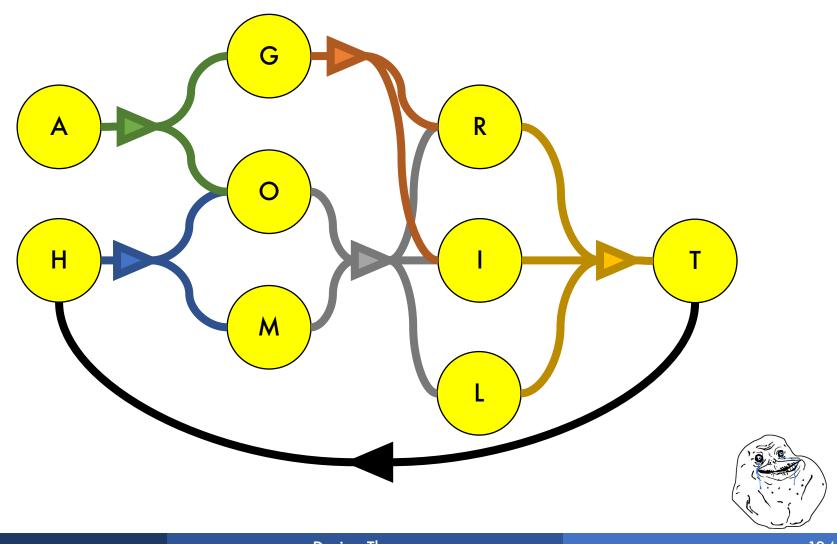


$${A,L}^+ = {A,L,G,O,R,I,T,H,M}$$



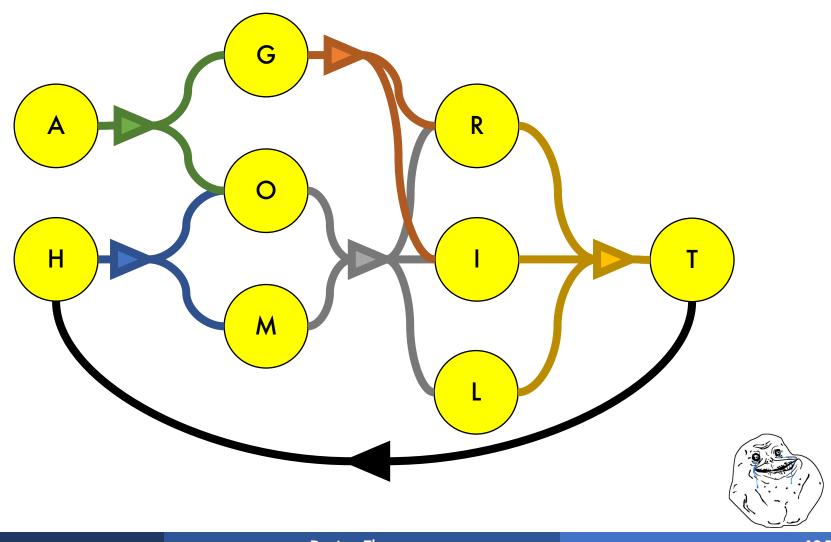


#### $\{A, L\}$ determines all attributes





 $\{A, L\}$  is a (super)key!



# Finding Keys

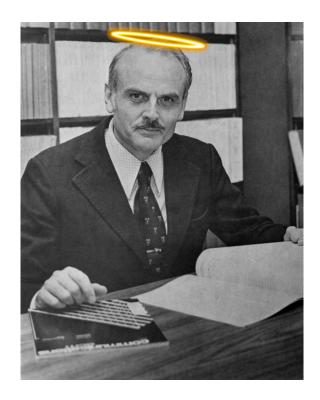
#### **Definition - Prime Attribute**

An attribute is a **Prime Attribute** if it is part of a candidate key, otherwise the attribute is considered **Nonprime** 



#### Normal Forms

"The key (1NF), the whole key (2NF), and nothing but the key (3NF), so help me Codd."





#### Normal Forms

#### Definition - Full Functional Dependency

In the functional dependency  $X \to A$ , an attribute A is **Fully Functionally Dependent** on X if there is no subset Y of X in which  $Y \to A$  holds.

Otherwise, if there is some Y where  $Y \to A$  holds, A is **Partially Dependent** on X.

#### Definition - Second Normal Form (2NF)

A relation R is in **Second Normal Form** if it is in 1NF and all nonprime attributes are fully functionally dependent on the primary key of R.



#### Normal Forms

#### Definition - Third Normal Form (3NF)

A relation R is in **Third Normal Form** if it is in **2NF** and if for all non-trivial FDs,  $X \to A$ , X is a superkey or A contains only prime attributes

