

**Transaction Processing**

CPS 116  
Introduction to Database Systems

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**Announcements (November 27)**

- ❖ Homework #4 due this Thursday
- ❖ Project demo period starts on December 7
  - Each project gets a 30-minute with me and Yi
  - Watch for an email this weekend scheduling demo slots
- ❖ Final exam on December 15

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**Review**

- ❖ ACID
  - Atomicity: TX's are either completely done or not done at all
  - Consistency: TX's should leave the database in a consistent state
  - Isolation: TX's must behave as if they are executed in isolation
  - Durability: Effects of committed TX's are resilient against failures
- ❖ SQL transactions
  - Begins implicitly
  - SELECT ...;
  - UPDATE ...;
  - ROLLBACK | COMMIT;

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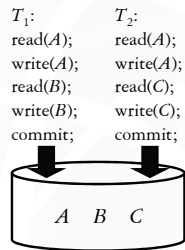
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## Concurrency control

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❖ Goal: ensure the “I” (isolation) in ACID




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## Good versus bad schedules

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Good!

$T_1$	$T_2$	$T_1$	$T_2$	$T_1$	$T_2$
r(A)		r(A)	r(A)	r(A)	
w(A)		w(A)	w(A)	w(A)	r(A)
r(B)		r(B)	w(A)	r(B)	w(A)
w(B)	r(A)	w(B)	r(C)	w(B)	r(C)
	w(A)		w(C)		w(C)
	r(C)				
	w(C)				

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## Serial schedule

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❖ Execute transactions in order, with no interleaving of operations

- $T_1.r(A), T_1.w(A), T_1.r(B), T_1.w(B), T_2.r(A), T_2.w(A), T_2.r(C), T_2.w(C)$
- $T_2.r(A), T_2.w(A), T_2.r(C), T_2.w(C), T_1.r(A), T_1.w(A), T_1.r(B), T_1.w(B)$

☞ Isolation achieved by definition!

❖ Problem: no concurrency at all

❖ Question: how to reorder operations to allow more concurrency

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## Conflicting operations

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- ❖ Two operations on the same data item conflict if at least one of the operations is a write
  - $r(X)$  and  $w(X)$  conflict
  - $w(X)$  and  $r(X)$  conflict
  - $w(X)$  and  $w(X)$  conflict
  - $r(X)$  and  $r(X)$  do not
  - $r/w(X)$  and  $r/w(Y)$  do not
- ❖ Order of conflicting operations matters
  - E.g., if  $T_1.r(A)$  precedes  $T_2.w(A)$ , then conceptually,  $T_1$  should precede  $T_2$

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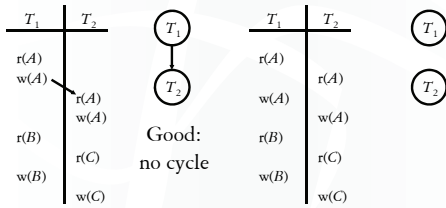
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## Precedence graph

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- ❖ A node for each transaction
- ❖ A directed edge from  $T_i$  to  $T_j$  if an operation of  $T_i$  precedes and conflicts with an operation of  $T_j$  in the schedule




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## Conflict-serializable schedule

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- ❖ A schedule is conflict-serializable iff its precedence graph has no cycles
- ❖ A conflict-serializable schedule is equivalent to some serial schedule (and therefore is “good”)
  - In that serial schedule, transactions are executed in the topological order of the precedence graph
  - You can get to that serial schedule by repeatedly swapping adjacent, non-conflicting operations from different transactions

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# Locking

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## ❖ Rules

- If a transaction wants to read an object, it must first request a shared lock (S mode) on that object
- If a transaction wants to modify an object, it must first request an exclusive lock (X mode) on that object
- Allow one exclusive lock, or multiple shared locks

	Mode of the lock requested		
	S	X	
Mode of lock(s) currently held by other transactions	S	Yes	No
	X	No	No

Grant the lock?  
Compatibility matrix

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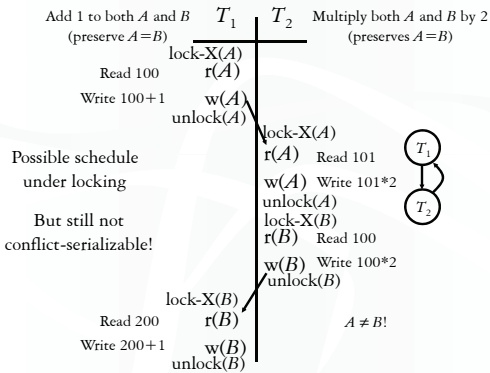
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# Basic locking is not enough

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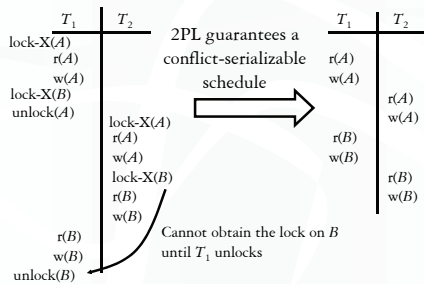
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# Two-phase locking (2PL)

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- ❖ All lock requests precede all unlock requests
  - Phase 1: obtain locks, phase 2: release locks




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## Problem of 2PL

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$T_1$	$T_2$
$r(A)$	
$w(A)$	
	$r(A)$
	$w(A)$
$r(B)$	
$w(B)$	
	$r(B)$
	$w(B)$
Abort!	

- ❖  $T_2$  has read uncommitted data written by  $T_1$
- ❖ If  $T_1$  aborts, then  $T_2$  must abort as well
- ❖ Cascading aborts possible if other transactions have read data written by  $T_2$

- ❖ Even worse, what if  $T_2$  commits before  $T_1$ ?
  - Schedule is not recoverable if the system crashes right after  $T_2$  commits

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## Strict 2PL

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- ❖ Only release locks at commit/abort time
  - A writer will block all other readers until the writer commits or aborts
- ☞ Used in most commercial DBMS (except Oracle)

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## Recovery

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- ❖ Goal: ensure "A" (atomicity) and "D" (durability) in ACID
- ❖ Execution model: to read/write  $X$ 
  - The disk block containing  $X$  must be first brought into memory
  - $X$  is read/written in memory
  - The memory block containing  $X$ , if modified, must be written back (flushed) to disk eventually




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## Failures

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- ❖ System crashes in the middle of a transaction  $T$ ; partial effects of  $T$  were written to disk
  - How do we undo  $T$  (atomicity)?
- ❖ System crashes right after a transaction  $T$  commits; not all effects of  $T$  were written to disk
  - How do we complete  $T$  (durability)?

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## Naïve approach

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- ❖ Force: When a transaction commits, all writes of this transaction must be reflected on disk
  - Without force, if system crashes right after  $T$  commits, effects of  $T$  will be lost
  - ☞ Problem:
- ❖ No steal: Writes of a transaction can only be flushed to disk at commit time
  - With steal, if system crashes before  $T$  commits but after some writes of  $T$  have been flushed to disk, there is no way to undo these writes
  - ☞ Problem:

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## Logging

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- ❖ Log
  - Sequence of log records, recording all changes made to the database
  - Written to stable storage (e.g., disk) during normal operation
  - Used in recovery
- ❖ Hey, one change turns into two—bad for performance?
  - But writes are sequential (append to the end of log)
  - Can use dedicated disk(s) to improve performance

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## Undo/redo logging rules

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- ❖ Record values before and after each modification:  
 $\langle T_i, X, \text{old\_value\_of\_}X, \text{new\_value\_of\_}X \rangle$
- ❖ A transaction  $T_i$  is committed when its commit log record  $\langle T_i, \text{commit} \rangle$  is written to disk
- ❖ Write-ahead logging (WAL): Before  $X$  is modified on disk, the log record pertaining to  $X$  must be flushed
  - Without WAL, system might crash after  $X$  is modified on disk but before its log record is written to disk—no way to undo
- ❖ No force: A transaction can commit even if its modified memory blocks have not been written to disk (since redo information is logged)
- ❖ Steal: Modified memory blocks can be flushed to disk anytime (since undo information is logged)

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## Undo/redo logging example

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$T_1$  (balance transfer of \$100 from  $A$  to  $B$ )

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read(A, a); a = a - 100;  
write(A, a);  
read(B, b); b = b + 100;  
write(B, b);  
commit;
```

Memory  
 ~~$A = 800,700$~~   
 ~~$B = 400,500$~~

Disk  
 ~~$A = 800,700$~~   
 ~~$B = 400,500$~~

Log  
 $\langle T_1, \text{start} \rangle$   
 $\langle T_1, A, 800,700 \rangle$   
 $\langle T_1, B, 400,500 \rangle$   
 $\langle T_1, \text{commit} \rangle$

Steal: can flush  
before commit

No force: can flush  
after commit

No restriction (except WAL) on when memory blocks can/should be flushed

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## Checkpointing

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- ❖ Where does recovery start?
- ❖ Naïve approach:
  - Stop accepting new transactions (lame!)
  - Finish all active transactions
  - Take a database dump
- ❖ Fuzzy checkpointing
  - Determine  $S$ , the set of currently active transactions, and log  $\langle \text{begin-checkpoint } S \rangle$
  - Flush all blocks (dirty at the time of the checkpoint) at your leisure
  - Log  $\langle \text{end-checkpoint } \text{begin-checkpoint\_location} \rangle$
  - Between begin and end, continue processing old and new transactions

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## Recovery: analysis and redo phase

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- ❖ Need to determine  $U$ , the set of active transactions at time of crash
  - ❖ Scan log backward to find the last end-checkpoint record and follow the pointer to find the corresponding  $\langle$  start-checkpoint  $S$   $\rangle$
  - ❖ Initially, let  $U$  be  $S$
  - ❖ Scan forward from that start-checkpoint to end of the log
    - For a log record  $\langle T, \text{start} \rangle$ , add  $T$  to  $U$
    - For a log record  $\langle T, \text{commit} \mid \text{abort} \rangle$ , remove  $T$  from  $U$
    - For a log record  $\langle T, X, \text{old}, \text{new} \rangle$ , issue  $\text{write}(X, \text{new})$
- ☞ Basically repeats history!

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## Recovery: undo phase

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- ❖ Scan log backward
    - Undo the effects of transactions in  $U$
    - That is, for each log record  $\langle T, X, \text{old}, \text{new} \rangle$  where  $T$  is in  $U$ , issue  $\text{write}(X, \text{old})$ , and log this operation too (part of the repeating-history paradigm)
    - Log  $\langle T, \text{abort} \rangle$  when all effects of  $T$  have been undone
- ☞ An optimization
- Each log record stores a pointer to the previous log record for the same transaction; follow the pointer chain during undo

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## Summary

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- ❖ Concurrency control
  - Serial schedule: no interleaving
  - Conflict-serializable schedule: no cycles in the precedence graph; equivalent to a serial schedule
  - 2PL: guarantees a conflict-serializable schedule
  - Strict 2PL: also guarantees recoverability
- ❖ Recovery: undo/redo logging with fuzzy checkpointing
  - Normal operation: write-ahead logging, no force, steal
  - Recovery: first redo (forward), and then undo (backward)

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