

UNIT 4**TRANSACTION MANAGEMENT****Unit 4 contents at a glance:****Transaction Management:**

- Transaction concept,
- transaction state,
- implementation of atomicity and durability,
- concurrent executions,
- Anomalies due to interleaved execution of transactions,
- serializability,
- recoverability,
- implementation of isolation

Concurrency control and recovery system:

- Concurrency control :
 - lock based protocols,
 - time stamp based protocols,
 - validation based protocols,
 - deadlock handling.
- Recovery system :
 - failure classification,
 - recovery and atomicity,
 - log -based recovery, shadow paging,
 - recovery with concurrent transactions,
 - ARIES algorithm

Transaction:

It refers to execution of any one user program in dbms.

(Or)

It can be defined as group of tasks being executed.

(Or)

It also referred to as an event that which occur on a database with read/write operation.

PROPERTIES OF TRANSACTION(ACID PROPERTIES):

- To ensure consistency , completeness of the database in scenario of concurrent access, system failure ,the following **ACID** properties can be enforced on to database.
 1. **Atomicity**,
 2. **Consistency**,
 3. **Isolation and**
 4. **Durability**

Atomicity:

- This property states that all of the instructions within a transaction must be executed or none of them should be executed.
 - This property states that all transactions execution must be atomic i.e. all actions should be carried out or none of the actions should be executed.
 - It involves following two operations.
 - Abort**: If a transaction aborts, changes made to database are not visible.
 - Commit**: If a transaction commits, changes made are visible.
- Atomicity is also known as the 'All or nothing rule'.

Example:

- Consider the following transaction **T** consisting of **T1** and **T2**: Transfer of 100 from account **X** to account **Y**.

Before: X : 500	Y: 200
Transaction T	
T1	T2
Read (X) X: = X - 100 Write (X)	Read (Y) Y: = Y + 100 Write (Y)
After: X : 400	Y : 300

- If the transaction fails after completion of **T1** but before completion of **T2**.(say, after **write(X)** but before **write(Y)**), then amount has been deducted from **X** but not added to **Y**. This results in an inconsistent database state. Therefore, the transaction must be executed in entirety in order to ensure correctness of database state.

Consistency:

- The database must remain in consistence state even after performing any kind of transaction ensuring correctness of the database.
- If we execute a particular transaction in isolation (or) together with other transaction in multiprogramming environment ,the transaction should give same result in any case.

- Each transaction, run by itself with no concurrent execution of other transactions, must preserve the consistency of the database. This property is called **consistency** and the DBMS assumes that it holds for each transaction. Ensuring this property of a transaction is the responsibility of the user.

example:

Before: X : 500	Y: 200
Transaction T	
T1	T2
Read (X) X: = X - 100 Write (X)	Read (Y) Y: = Y + 100 Write (Y)
After: X : 400	Y : 300

- Referring to the example above,
The total amount before and after the transaction must be maintained.
Total before T occurs = 500 + 200 = 700.
Total after T occurs = 400 + 300 = 700.
Therefore, database is **consistent**. Inconsistency occurs in case **T1** completes but **T2** fails. As a result T is incomplete.

Isolation:

- When executing multiple transactions concurrently & trying to access shared resources the system should create an order such that the only one transaction can access the shared resource at the same time & release it after completion of its execution for other transaction.
- This property ensures that multiple transactions can occur concurrently without leading to inconsistency of database state. Transactions occur independently without interference. Changes occurring in a particular transaction will not be visible to any other transaction until that particular change in that transaction is written to memory or has been committed.

Note: To achieve isolation you should use locking mechanism among shared resources.

example:

Let **X= 500, Y = 500**.

Consider two transactions **T** and **T''**.

T	T''
Read (X)	Read (X)
X: = X*100	Read (Y)
Write (X)	Z: = X + Y
Read (Y)	Write (Z)
Y: = Y - 50	
Write	

Suppose **T** has been executed till **Read (Y)** and then **T''** starts. As a result , interleaving of operations takes place due to which **T''** reads correct value of **X** but incorrect value of **Y** and sum computed by **T'': (X+Y = 50, 000+500=50, 500)** is thus not consistent with the sum at end of transaction: **T: (X+Y = 50, 000 + 450 = 50, 450)**. This results in database inconsistency, due to a loss of 50 units. Hence, transactions must take place in isolation and changes should be visible only after they have been made to the main memory.

Durability:

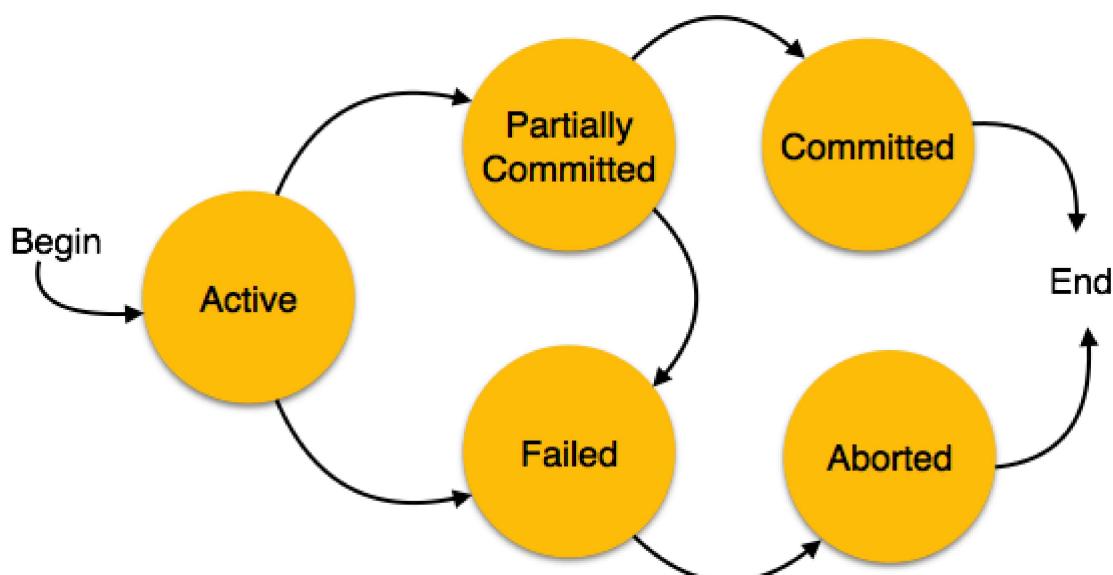
- This property states that once after the transaction is completed the changes that made should be permanent & should be recoverable even after system crash/power failure.
- This property ensures that once the transaction has completed execution, the updates and modifications to the database are stored in and written to disk and they persist even if system failure occurs. These updates now become permanent and are stored in a non-volatile memory.

Transaction states:

Every transaction undergoes several states in its execution.

A transaction can be in any one of the following states:

1. start
2. partially committed
3. committed
4. failed
5. aborted or terminate



Transaction state diagram

- **Active** - This is the first state of transaction and here the transaction is being executed. For example, updating or inserting or deleting a record is done here. But it is still not saved to the database. When we say transaction it will have set of small steps, and those steps will be executed here.
- **Partially Committed** - This is also an execution phase where last step in the transaction is executed. But data is still not saved to the database. In example of calculating total marks, final display the total marks step is executed in this state.
- **Committed** - In this state, all the transactions are permanently saved to the database. This step is the last step of a transaction, if it executes without fail.
- **Failed** - If a transaction cannot proceed to the execution state because of the failure of the system or database, then the transaction is said to be in failed state. In the total mark calculation example, if the database is not able fire a query to fetch the marks, i.e.; very first step of transaction, then the transaction will fail to execute.
- **Aborted** - If a transaction is failed to execute, then the database recovery system will make sure that the database is in its previous consistent state. If not, it brings the database to consistent state by aborting or rolling back the transaction. If the transaction fails in the middle of the transaction, all the executed transactions are rolled back to its consistent state before executing the transaction. Once the transaction is aborted it is either restarted to execute again or fully killed by the DBMS.

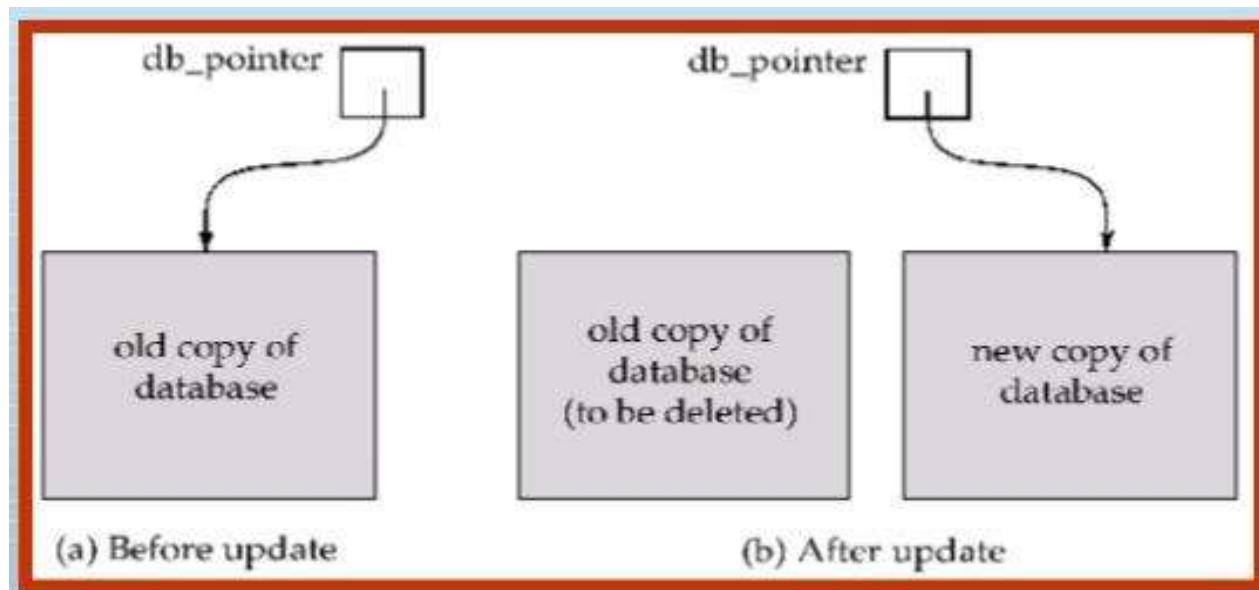
Implementation of Durability & Atomicity:

Durability and atomicity can be ensured by using Recovery manager which is available by default in every DBMS.

- We can **implement atomicity** by using
 1. Shadow copying technique
 2. Using recovery manager which available by default in DBMS.

1. Shadow copying technique:

1. Maintaining a shadow copy of original database & reflecting all changes to the database as a result of any transaction after committing the transaction.
2. The scheme also assumes that the database is simply a file on disk.
3. A pointer called db-pointer is maintained on disk; it points to the current copy of the database.
4. In the shadow-copy scheme, a transaction that wants to update the database first creates a complete copy of the database. All updates are done on the new database copy, leaving the original copy, the **shadow copy**, untouched. If at any point the transaction has to be aborted, the system merely deletes the new copy. The old copy of the database has not been affected.
5. If the transaction completes, it is committed as follows.
6. First, the operating system is asked to make sure that all pages of the new copy of the database have been written out to disk. (Unix systems use the flush command for this purpose.)
7. After the operating system has written all the pages to disk, the database system updates the pointer db-pointer to point to the new copy of the database; the new copy then becomes the current copy of the database. The old copy of the database is then deleted.



We now consider how the technique handles transaction and system failures.

First, **consider transaction failure**. If the transaction fails at any time before db-pointer is updated, the old contents of the database are not affected. We can abort the transaction by just deleting the new copy of the database. Once the transaction has been committed, all the updates that it performed are in the database pointed to by db-pointer. Thus, either all updates of the transaction are reflected, or none of the effects are reflected, regardless of transaction failure.

Now consider the issue of system failure. Suppose that the system fails at any time before the updated db-pointer is written to disk. Then, when the system restarts, it will read db-pointer and will thus see the original contents of the database, and none of the effects of the transaction will be visible on the database. Next, suppose that the system fails after db-pointer has been updated on disk. Before the pointer is updated, all updated pages of the new copy of the database were written to disk. Again, we assume that, once a file is written to disk, its contents will not be damaged even if there is a system failure. Therefore, when the system restarts, it will read db-pointer and will thus see the contents of the database *after* all the updates performed by the transaction.

****WE CAN IMPLEMENT DURABILITY AMONG DATA BASE USING :**

1. Recovery manager.
 2. Logs
- Partial transaction should be avoided for ensuring atomicity and durability.

LOGS:

- Logs keep track of actions carried out by transactions which can be used for the recovery of database in case of failure.
- Logs files should be stored always on stable storage devices.
- When a transaction begins its execution it is recorded in the log as follows

<Tn, start>

- When a transaction performs an operation it is recorded in log as follows

<Tn, X, V1, V2>

- When a transaction finishes its execution, it is recorded as
<Tn,commit>

CONCURRENT EXECUTION:

Executing a set of transactions simultaneously in a pre emptive and time shared method.

In DBMS concurrent execution of transaction can be implemented with interleaved execution.

TRANSACTION SCHEDULES:**Schedule:**

- It refers to the list of actions to be executed by transaction.
- A **schedule** is a process of grouping the transactions into one and executing them in a predefined order.
- Schedule of actions can be classified into 2 types.

1. Serializable schedule/serial schedule.

2. Concurrent schedule.

1. Serial schedule:

In the serial schedule the transactions are allowed to execute one after the other ensuring correctness of data.

A schedule is called serial **schedule**, if the transactions in the schedule are defined to execute one after the other.

2. Concurrent schedule:

Concurrent schedule allows the transaction to be executed in interleaved manner of execution.

Complete schedule:

It is a schedule of transactions where each transaction is committed before terminating. The example is shown below where transactions T1 and T2 terminates after committing the transactions.

Example:

T1	T2
A=1000	
Read(A)	
A=A+100	
Write(A)	Read(A)
	B=A-100
	Write(B)
	Commit
Read(B)	
Write(B)	
Commit	

SERIALIZABILITY:

A transaction is said to be **Serializable** if it is equivalent to serial schedule.

Serializability aspects are:

1. Conflict serializability.
2. View serializability.

1. Conflict serializability:

A schedule is **conflict serializable** if it is conflict equivalent to some serial schedule.

Conflict Equivalent: Two schedules are said to be conflict equivalent when one can be transformed to another by swapping non-conflicting operations.

Conflict Serializable: A schedule is called conflict serializable if it can be transformed into a serial schedule by swapping non-conflicting operations.

Conflicting operations: Two operations are said to be conflicting if all below conditions are satisfied:

- They belong to different transaction
- They operate on same data item
- At Least one of them is a write operation

it refers to two instructions of two different transactions may want to access same data to perform read/write operation.

Rules for conflict serializability:

- If two different transactions are both for read operation, then there is no conflict and can be allowed to execute any order.
- If one instruction performing read operation and other instruction performing write operation there will be conflict hence instruction ordering is important.
- If both transactions performing write operation then there will be in conflict so ordering the transaction can be done.

2. View serializability:

This is another type of serializability that can be derived by creating another schedule out of an existing Schedule.

A schedule is **view serializable** if it is view equivalent to some serial schedule. Every conflict serializable schedule is view serializable, although the converse is not true.

Two schedules S_1 and S_2 over the same set of transactions --any transaction that appears in either S_1 or S_2 must also appear in the other are **view equivalent** under these conditions:

1. If T_i reads the initial value of object A in S_1 , it must also read the initial value of A in S_2 .
 2. If T_i reads a value of A written by T_j in S_1 , it must also read the value of A written by T_j in S_2 .
 3. For each data object A , the transaction (if any) that performs the final write on A in S_1 must also perform the final write on A in S_2 .
- The above two schedules are view serializable or view equivalence, if the transactions in both schedules performs the actions in similar manner.
 - The above two schedules satisfy result view equivalence if the two schedule produces the same Result after execution.

Ex:

$s_1: R1(A), W1(A), R2(A), W2(A), R1(B), W1(B), R2(B), W2(B)$

Anomalies due to interleaved execution of transaction:

Due to interleaved execution of transaction the following anomalies can occur

1. reading uncommitted values(WR conflicts)
2. un repeatable reading data operation(RW conflicts)
3. Overwriting uncommitted data(WW)

1. reading uncommitted values(WR conflicts):

- If you try to the read the value which is not written on to the data base(not committed) will leads to write-read conflict which is called **dirty read operation**.

T1	T2
<i>R(A)</i>	
<i>W(A)</i>	
	<i>R(A)</i>
	<i>W(A)</i>
	<i>R(B)</i>
	<i>W(B)</i>
	Commit
<i>R(B)</i>	
<i>W(B)</i>	
Commit	

Figure 18.2 Reading Uncommitted Data

In above example, T1 write operation on data item A is not committed but it is being read by T2. So reading an uncommitted data will leads to inconsistency in database which is called dirty read operation.

2. un repeatable reading data operation(RW conflicts):

Reading the same object twice before committing the transaction might yield an inconsistency

–Read-then-Write (RW) Conflicts (Write-After-Read)

Unrepeatable problem means we get different values in different reads. For example in S1 say T2 read initially $x=5$ then T1 updated $x=1$ so now T2 will read $x=1$ here T2 has read two different values during consecutive reads This shouldn't have been allowed as T1 has not committed

3. Overwriting uncommitted data(WW conflicts)

WW conflicts if one transaction could over write the value of an object A which has been already modified by other transaction while first transaction still in progress .this kind of conflict refer to **blind write conflict**.

Recoverability:

It refers to the process of undoing the changes made to the database in case of any transaction failure due to system crash or any other reason.

Recoverability Schedule:

Based on whether recovery of failure transaction schedules are classified as

1. Irrecoverable schedules.
2. Recoverable schedules with cascade rollback.
3. Cascade less recoverability.

1. Irrecoverable schedules: schedules which can't be recovered

- If transaction T2 read the value updated by Transaction T1 followed by write operation commit then this schedule is called Irrecoverable Schedule. If transaction1 failed before committing

Example:

T1	T1's buffer space	T2	T2's buffer space	database
R(A)	A=5000			A=5000
A=A-100	A=4000			A=5000
W(A)	A=4000			A=5000
		R(A)	A=4000	A=4000
		A=A+500	A=4500	A=4000
		W(A) Commit;	A=4500	A=4000
Failure point				A=4000
Commit				A=4500

2. Recoverable schedule with cascade rollback: schedules which can be recoverable

Example:

T1	T1's buffer space	T2	T2's buffer space	database
R(A)	A=5000			A=5000
A=A-100	A=4000			A=5000
W(A)	A-4000			A=5000
		R(A)	A=4000	A=4000
		A=A+500	A=4500	A=4000
		W(A)	A=4500	A=4000
Failure point				A=4000
Commit				A=4500

- If transaction T2 reading a value updated by T1 & commit of T2 is delayed till the commit of T1, it is called recoverable schedule with cascade roll back.

3. Cascade less recoverability:

It refers to if T2 reads value updated by T1 only after T1 is committed.

Example:

T1	T1's buffer space	T2	T2's buffer space	database
R(A)	A=5000			A=5000
A=A-100	A=4000			A=5000
W(A)	A-4000			A=5000
commit		R(A)	A=4000	A=4000
		A=A+500	A=4500	A=4000
		W(A) Commit;	A=4500	A=4000
Failure point				A=4000
				A=4500

Implementation of Isolation:

- When more than one instruction of several transaction are being executed concurrently by using some sharable resources , the execution of instruction of one transaction should not interrupted the execution of instruction of another transaction.

1. Access to sharable resources should be order by using some locking mechanism:

Where one transaction locks the sharable resource before starting its execution & release the lock to other transaction after completion of its execution.

2. Locking protocols:

Locking mechanism can be implemented by using locking protocols which defined set of standard rule based on which transaction access, sharable resources.

Transaction control commands supported with SQL:

1. Commit.
2. Save point.
3. Roll back.

explain about usage of above 3 commands with syntaxes.

Precedence graph in serializability:

Precedence graph or serializability graph is used commonly to test conflict serializability of a schedule.

- It is a directed graph which consists of nodes $G(V,E)$ where nodes(v) represents set of transaction & E represents set of edges {E1,E2,...En}.
- The graph contains one node for each transaction T_i . Each edge E_i is of the form $T_j \rightarrow T_k$ Where T_j is starting node of edge j & T_k is ending node of edge k.
- An edge is constructed between nodes if one of the operations in transaction T_j appear in the schedule before some conflicting operation in transaction T_k .

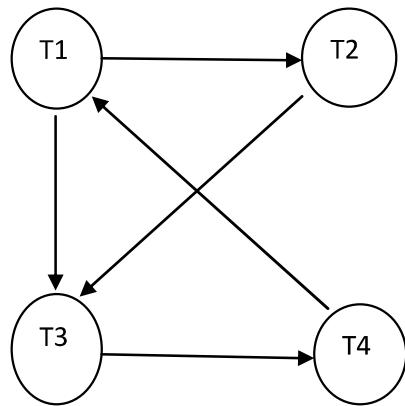
Algorithm:

1. Create a node T_n in the graph for each participating transaction in the schedule.
2. Draw edges from one transaction to another transaction when satisfy anyone of the following condition.
 - Condition 1:
 - If T_1 execute write operation i.e. $\text{write}(x)$ followed by T_2 execute read operation i.e. $\text{read}(x)$.
 - Condition 2:
 - When T_1 executes $\text{read}(x)$ followed by T_2 execute $\text{write}(x)$.
 - Condition 3:
 - When T_1 execute $\text{write}(x)$ followed by T_2 execute $\text{write}(x)$.
3. The given schedule is serializable if there are no cycles in the precedence graph.

Example for precedence graph:

draw precedence graph for below transaction schedule.

T1	T2	T3	T4
Read(x)			
	Read(x)		
Write(x)			
		Read(y)	
	Read(y)		
	Write(x)		
		Read(w)	
		Write(y)	
			Read(w)
			Read(z)
			Write(w)
Read(z)			
Write(z)			



As precedence graph is having cycles or closed loops, the given schedule is not serializable.

Example of conflict serializability:

S2:R1(X), R2(X), R2(Y), W2(Y), R1(Y), W1(X)

Sol:

S21:R2(X), R1(X), R2(Y), W2(Y), R1(Y), W1(Y)

S22:R2(X), R2(Y), R1(X), W2(Y), R1(Y), W1(Y)

S23:R2(X), R2(Y), W2(Y), R1(X), R1(Y), W1(Y)

The schedule S2 derives 3 more schedules (s21,s22,s23) which is called **conflict equivalence**

Concurrency Control:

In case of concurrent instruction executions to preserve atomicity, isolation and serializability, we use ‘lock-based’ protocol like .

Types of Locks:

1. Binary locks
 2. Shared /exclusive locks
- **Binary Locks** – A lock on a data item can be in two states; it is either locked or unlocked.
 - **Shared(S)/exclusive(X)** – This type of locking mechanism differentiates the locks based on their uses. If a lock is acquired on a data item to perform a write operation, it is an exclusive lock. Allowing more than one transaction to write on the same data item would lead the database into an inconsistent state. Read locks are shared because no data value is being changed.

Lock Compatibility Matrix –

- Lock Compatibility Matrix controls whether multiple transactions can acquire locks on the same resource at the same time.

	Shared	Exclusive
Shared	True	False
Exclusive	False	False

- If a resource is already locked by another transaction, then a new lock request can be granted only if the mode of the requested lock is compatible with the mode of the existing lock.
- Any number of transactions can hold shared locks on an item, but if any transaction holds an exclusive lock on item, no other transaction may hold any lock on the item.
- compatible locks held by other transactions have been released. Then the lock is granted.

Lock Granularity :

A database is basically represented as a collection of named data items. The size of the data item chosen as the unit of protection by a concurrency control program is called GRANULARITY.

Locking can take place at the following level :

- Database level.
- Table level.
- Page level.
- Row (Tuple) level.
- Attributes (fields) level.

i. Database level Locking :

At database level locking, the entire database is locked. Thus, it prevents the use of any tables in the database by transaction T2 while transaction T1 is being executed. Database level of locking is suitable for batch processes. Being very slow, it is unsuitable for on-line multi-user DBMSs.

ii. Table level Locking :

At table level locking, the entire table is locked. Thus, it prevents the access to any row (tuple) by transaction T2 while transaction T1 is using the table. If a transaction requires access to several tables, each table may be locked. However, two transactions can access the same database as long as they access different tables. Table level locking is less restrictive than database level. Table level locks are not suitable for multi-user DBMS

iii. Page level Locking :

At page level locking, the entire disk-page (or disk-block) is locked. A page has a fixed size such as 4 K, 8 K, 16 K, 32 K and so on. A table can span several pages, and a page can contain several rows (tuples) of one or more tables. Page level of locking is most suitable for multi-user DBMSs.

iv. Row (Tuple) level Locking :

At row level locking, particular row (or tuple) is locked. A lock exists for each row in each table of the database. The DBMS allows concurrent transactions to access different rows of the same table, even if the rows are located on the same page. The row level lock is much less restrictive than database level, table level, or page level locks. The row level locking improves the availability of data. However, the management of row level locking requires high overhead cost.

v. Attributes (fields) level Locking :

At attribute level locking, particular attribute (or field) is locked. Attribute level locking allows concurrent transactions to access the same row, as long as they require the use of different attributes within the row. The attribute level lock yields the most flexible multi-user data access. It requires a high level of computer overhead.

Locking protocols:

1. Simple lock based protocol
2. Conservative (or) pre-claim locking protocol.
- 3.2-phase locking protocol
4. Strict 2 phase locking protocol
5. Rigorous 2 phase locking protocol

Simple lock based protocol:

Simplistic lock-based protocols allow transactions to obtain a lock on every object before a 'write' operation is performed. Transactions may unlock the data item after completing the 'write' operation.

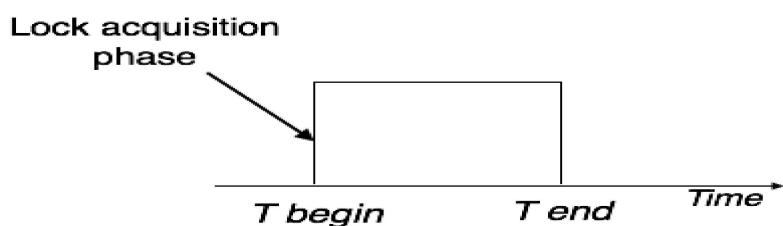
problems with simple locking are:

1. deadlocks
2. starvation

Conservative (or) pre-claim locking protocol:

Pre-claiming protocols evaluate their operations and create a list of data items on which they need locks. Before initiating an execution, the transaction requests the system for all the locks it needs beforehand.

If all the locks are granted, the transaction executes and releases all the locks when all its operations are over. If all the locks are not granted, the transaction rolls back and waits until all the locks are granted.



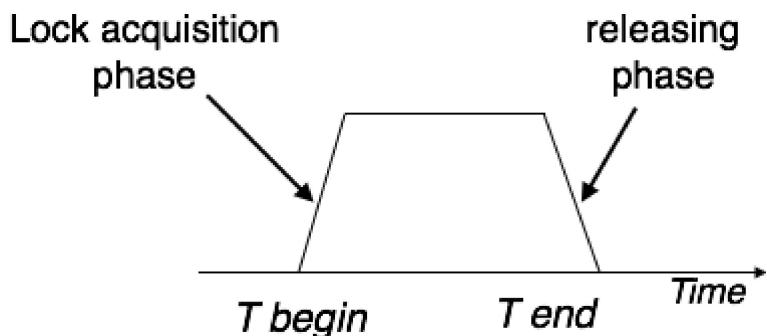
2-phase locking protocol:

This locking protocol divides the execution phase of a transaction into three parts.

- In the first part, when the transaction starts executing, it seeks permission for the locks it requires.
- The second part is where the transaction acquires all the locks. As soon as the transaction releases its first lock, the third phase starts.
- In third phase, the transaction cannot demand any new locks; it only releases the acquired locks.

This protocol can be divided into two phases,

1. **In Growing Phase**, a transaction obtains locks, but may not release any lock.
2. **In Shrinking Phase**, a transaction may release locks, but may not obtain any lock.



Two-phase locking has two phases, one is **growing**, where all the locks are being acquired by the transaction; and the second phase is shrinking, where the locks held by the transaction are being released.

To claim an exclusive (write) lock, a transaction must first acquire a shared (read) lock and then upgrade it to an exclusive lock.

Types of Two – Phase Locking Protocol

Following are the types of two – phase locking protocol:

1. Strict Two – Phase Locking Protocol
2. Rigorous Two – Phase Locking Protocol
3. Conservative Two – Phase Locking Protocol

Strict Two-Phase Locking:

1. If a transaction wants to read any value it can refer to a shared lock
2. If a transaction wants to write any particular value it can refer to an exclusive lock
3. A shared lock can be acquired by multiple transactions at the same time.
4. An exclusive lock can be requested by only one transaction at a time on any data item.
5. Strict Two-Phase Locking Protocol avoids cascaded rollbacks.
6. It ensures that if data is being modified by one transaction, then other transaction cannot read it until the first transaction commits.

phases in strict 2 phase locking:

phase 1: The first phase of Strict-2PL is the same as 2PL i.e. when the transaction starts executing, it seeks permission for the locks it requires.

phase 2: After acquiring all the locks in the first phase, the transaction continues to execute normally.

phase 3: But in contrast to 2PL, Strict-2PL does not release a lock after using it. Strict-2PL holds all the locks until the commit point and releases all the locks at a time.

Note: It releases only all exclusive locks but not shared locks after a transaction is committed .

This protocol is not free from deadlocks

Rigorous Two-Phase Locking

- Rigorous Two – Phase Locking Protocol avoids cascading rollbacks.
- This protocol requires that all the share and exclusive locks to be held until the transaction commits.
- It releases all the locks including shared and exclusive locks after committing the transactions.
- It considers the order of commit among transaction executions.

Conservative Two-Phase Locking Protocol

- Conservative Two – Phase Locking Protocol is also called as Static Two – Phase Locking Protocol.
- This protocol is almost free from deadlocks as all required items are listed in advance.
- It requires locking of all data items to access before the transaction starts.

UPGRADING AND DOWNGRADING of Locks:

- If a transaction is holding an exclusive lock over an object .It can simply **dowgrade** from exclusive lock to shared lock after completion of its updatation
- Similarly a shared lock can be **upgraded** to exclusive lock on particular data item. when there is no other transaction is holding exclusive lock on same data item
- Strict 2 phase locking protocol can be executed serial/concurrent execution of transaction
- examples for serial and concurrent execution are shown below:

T1	T2
S(A)	
R(A)	
X(A)	
W(A)	
COMMIT	
	X(A)
	W(A)
	COMMIT
Serial	

T1	T2
S(A)	
R(A)	
	X(A)
	W(A)
	commit
X(A)	
W(A)	
commit	
Concurrent	

IMPLEMENTING LOCKS:

- Every DBMS maintains a **lock manager** which maintain two tables called **lock table** and **transaction table**
- Lock table consist of information regarding locks on data item holding:
 1. No. of transaction holding lock
 2. Nature of lock(shared or exclusive)
 3. Pointer to the no. of locks requested in queue in given object.
- Transaction table:

Transaction table contain list of transactions and their corresponding locks assigned.

TIME STAMP BASED PROTOCOLS:

- The most commonly used concurrency protocol is the timestamp based protocol. This protocol uses either system time or logical counter as a timestamp.
- It starts working as soon as a transaction is created.
- Every transaction has a timestamp associated with it, and the ordering is determined by the age of the transaction.
- every data item is given the latest read and write-timestamp.
- This lets the system know when the last ‘read and write’ operation was performed on the data item.
- Each transaction is issued a timestamp when it enters into the system.
- Every read and write operations will be marked with a time stamp of their occurrence.
- Timestamp Based Protocol helps DBMS to identify the transactions.
- Time stamp is a unique identifier.
- Timestamp protocol determines the serializability order.
- It is most commonly used concurrency protocol.
- It uses either system time or logical counter as a timestamp.

Timestamp Ordering Protocol

- The TO Protocol ensures serializability among transactions in their conflicting read and write operations.
- The transaction of timestamp (T) is denoted as TS(T).
- Data item (X) of read timestamp is denoted by R-timestamp(X).
- Data item (X) of write timestamp is denoted by W-timestamp(X).

The below assumptions in Time stamp based ordering protocol are based on THOMAS WRITE RULE.

If a transaction T_i issues a $\text{read}(X)$ operation

- If $\text{TS}(T_i) < \text{Write-timestamp}(x)$, then Operation rejected
If $\text{TS}(T_i) \geq \text{Write-timestamp}(x)$, then Operation executed
All data items time stamps updated
- ***If a transaction T_i issues a $\text{write}(X)$ operation***
If $\text{TS}(T_i) < \text{Read-Timestamp}(x)$, then operation rejected
If $\text{TS}(T_i) < \text{Write-timestamp}(x)$, then operation rejected & T_i rolled back
Otherwise operation executed

Thomas' Write Rule

This rule states if $TS(T_i) < W\text{-timestamp}(X)$, then the operation is rejected and T_i is rolled back.

Time-stamp ordering rules can be modified to make the schedule view serializable.

Instead of making T_i rolled back, the 'write' operation itself is ignored.

Following are the three basic variants of timestamp-based methods of concurrency control:

- Total timestamp ordering
- Partial timestamp ordering
- Multiversion timestamp ordering

Total timestamp ordering :

The total timestamp ordering algorithm depends on maintaining access to granules in timestamp order by aborting one of the transactions involved in any conflicting access.

Partial timestamp ordering :

In a partial timestamp ordering, only non-permutable actions are ordered to improve upon the total timestamp ordering. In this case, both Read and Write granule timestamps are stored. The algorithm allows the granule to be read by any transaction younger than the last transaction that updated the granule. A transaction is aborted if it tries to update a granule that has previously been accessed by a younger transaction.

Multiversion Timestamp ordering :

The multiversion timestamp ordering algorithm stores several versions of an updated granule, allowing transactions to see a consistent set of versions for all granules it accesses. So, it reduces the conflicts that result in transaction restarts to those where there is a Write-Write conflict.

VALIDATION BASED PROTOCOLS:

These are also called as optimistic concurrency control method.

An optimistic concurrency control method is also known as validation or certification methods. No checking is done while the transaction is executing. The optimistic method does not require locking or timestamping techniques. Instead, a transaction is executed without restrictions until it is committed.

In validation based protocols every transaction is executed on 3 bases

1. read phase
2. validation phase
3. execute or write phase

1. Read phase:

In this phase transaction is executed and all the result will be stored in temporary variables local to transactions.

2. validation phase:

In this phase the transaction operations are validated without violating the serializability.

3. write phase:

In this phase when a transaction is validated successfully all the values of temporary variables is updated in the actual data base.

Validation phase:

A transaction is validated based on following time stamp

1. start(ti):

The time at which the transaction t_i started its execution.

2. validation(ti):

The time at which t_i is valid.

3. finish(ti):

The time at which t_i finish its write operation on the actual data base its execution.

Among two transactions $t_i \& t_j$, the transactions t_i is validated. If it satisfy one of the two conditions.

If for all t_i with $ts(t_i) < ts(t_j)$

1. $finish(t_i) < start(t_j)$
2. $Start(t_j) < finish(t_i) < validation(t_j)$

- The below example shows the interleaved execution of 3 phases of 2 transactions in which transaction t14 is validated.

T14	T15
Read(B)	
	Read(B)
	B=B-50
	Read(A)
	A=A+50
Read(A)	
Validate	
Display(A+B)	
	Validate
	Write(B)
	Write(A)

Advantages of Optimistic Methods for Concurrency Control :

- This technique is very efficient when conflicts are rare. The occasional conflicts result in the transaction roll back.
- The rollback involves only the local copy of data, the database is not involved and thus there will not be any cascading rollbacks.

Problems of Optimistic Methods for Concurrency Control :

- Conflicts are expensive to deal with, since the conflicting transaction must be rolled back.
- Longer transactions are more likely to have conflicts and may be repeatedly rolled back because of conflicts with short transactions.

DEAD LOCKS:

Consider two transaction t1 and t2. If t1 holds lock on data item x and t2 holds lock on data item y now t1 refers lock over y & t2 request lock over x then **deadlock situation** occur when none of the transaction are ready to release locks on x ,y.

- The following two techniques can be used for deadlock handling(prevention):
 1. wait-die
 2. wait-wound

1. wait-die:

- In wait die technique the older transaction waited in queue & younger will die.
 - The older transaction waits for the younger if the younger has accessed the granule first.
 - The younger transaction is aborted (dies) and restarted if it tries to access a granule after an older concurrent transaction.
- The wait-die based on time stamp of the transaction request for conflicting resources.

1) $ts(t1) < ts(t2)$: t1 will wait in a queue & t2 will die/abort.

2) $ts(t1) > ts(t2)$: t2 will be waiting in queue & t1 will abort/die

For example:

Suppose that transaction T_{22} , T_{23} , T_{24} have time-stamps 5, 10 and 15 respectively. If T_{22} requests a data item held by T_{23} then T_{22} will wait. If T_{24} requests a data item held by T_{23} , then T_{24} will be rolled back.

2. wait wound technique:

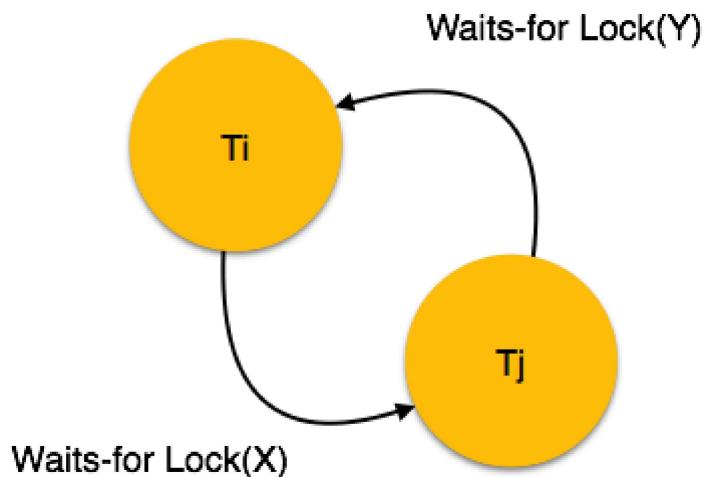
- It based on time stamp of transaction request
 - It is a preemptive technique for deadlock prevention. It is a counterpart to the wait-die scheme. When Transaction T_i requests a data item currently held by T_j , T_i is allowed to wait only if it has a timestamp larger than that of T_j , otherwise T_j is rolled back (T_j is wounded by T_i)

For example:

- Suppose that Transactions T_{22} , T_{23} , T_{24} have time-stamps 5, 10 and 15 respectively . If T_{22} requests a data item held by T_{23} , then data item will be preempted from T_{23} and T_{23} will be rolled back. If T_{24} requests a data item held by T_{23} , then T_{24} will wait.
- Here the younger transactions are made to wait in queue& older transaction going to abort.
 - 1) $ts(t1) < ts(t2)$: t2 will be in waiting state & t1 in abort.
 - 2) $ts(t1) > ts(t2)$: t1 will be in waiting & t2 in abort.

DEAD LOCK AVOIDANCE:**Wait for graph:**

- We use this technique for dead lock avoidance.
- This is a simple method available to track if any deadlock situation may arise.
- For each transaction entering into the system, a node is created.
- When a transaction T_i requests for a lock on an item, say X, which is held by some other transaction T_j , a directed edge is created from T_i to T_j . If T_j releases item X, the edge between them is dropped and T_i locks the data item.
- The system maintains this wait-for graph for every transaction waiting for some data items held by others. The system keeps checking if there's any cycle in the graph.



Here, we can use any of the two following approaches –

- First, do not allow any request for an item, which is already locked by another transaction. This is not always feasible and may cause starvation, where a transaction indefinitely waits for a data item and can never acquire it.
- The second option is to roll back one of the transactions. It is not always feasible to roll back the younger transaction, as it may be important than the older one. With the help of some relative algorithm, a transaction is chosen, which is to be aborted. This transaction is known as the **victim** and the process is known as **victim selection**.

CRASH RECOVERY:

- In the case of DBMS, durability is a key property along with atomicity.
- **Failure Classification in DBMS:**
 1. when a transaction is failed
 - 1) Logical error
 - 2) System error
 2. system crash
 3. disk failure
 4. storage structure
 - 1) volatile
 - 2) non volatile

Transaction failure

A transaction has to abort when it fails to execute or when it reaches a point from where it can't go any further. This is called transaction failure where only a few transactions or processes are hurt.

Transaction failure :

- Logical errors: transaction cannot complete due to some internal error condition
- System errors: the database system must terminate an active transaction due to an error condition (e.g., deadlock)

➤ System crash: a power failure or other hardware or software failure causes the system to crash. It is assumed that non-volatile storage contents are not corrupted.

➤ Disk failure: a head crash or similar failure destroys all or part of disk storage

Storage Structure:

- **Volatile storage:**
 - does not survive system crashes
 - examples: main memory, cache memory
- **Nonvolatile storage:**
 - survives system crashes
 - examples: disk, tape
- **Stable storage:**
 - a mythical form of storage that survives all failures
 - approximated by maintaining multiple copies on distinct nonvolatile media

Comparison between Volatile & Non-volatile Memory

Volatile Memory	Non-volatile Memory
✓ Information stored is lost if power turns off.	✓ Information stored is does not lost if power turns off.
✓ Types – All RAMs, SRAM, DRAM	✓ Types - All ROMs, EPROM, EEPROM
✓ Used for temporary storage	✓ Used for permanent storage
✓ Uses mainly Solid state devices	✓ Uses magnetic, optical or sold state devices
✓ Fast operation	✓ Slow operation

Recovery of data:

When a database is recovered after a failure it should ensure the atomicity property & following should be done after a crash.

- 1) we should check the status of all transactions whether they are executed completely or partially
- 2) Check for the transaction which are in the middle of execution & should take care of atomicity property with transaction.
- 3) We should check whether there are any transactions which can be completed after recovery.
- 4) If such transactions are there we should be rollback to previous commit point that allowed for execution.
- 5) The recovery of database can be done in 2 ways:
 1. By using logs
 2. by using shadow paging technique.

Log based recovery:

- Logs keep track of actions carried out by transactions which can be used for the recovery of database in case of failure.
- Logs files should be stored always on stable storage devices.
- When a transaction begins its execution it is recorded in the log as follows

<Tn, start>

- When a transaction performs an operation it is recorded in log as follows

<Tn, X, V1, V2>

- When a transaction finishes its execution, it is recorded as
 <Tn, commit>
- By using logs within DBMS the updation to the database can occur in 2 ways
 - 1) Deferred database updation(database is updated only after committing the transaction)
 - 2) Immediate database updation(updating database will be done immediately after execution of instructions without waiting for commit).
 - While recovering the data about transaction by using log files each transaction will be listed in one of the below list.
 1. re-do list
 2. undo list

No.	Deferred update recovery	Immediate update recovery
1	It is a protocol that the updates are written to the database only when transactions are committed.	It is a protocol that the updates are applied to the database as they occur without waiting for commit statement.
2	In case of transaction failure, just redo the operations of committed transactions.	In case of transaction failure, redo the committed transactions and at the same time undo the operations of uncommitted transaction.
3	For a write operation just update the log file, do not actually write the record in database.	For a write operation, update the log file and write the update to database buffer.
4	For a commit operation, update the log and perform actual update to the database.	For a commit operation just update the log file.
5	If the transaction aborts, just update the log record, do not perform any update in database.	If a transaction aborts, undo all the operations in the transaction using the log file as it contains the previous values.

Shadow Paging:

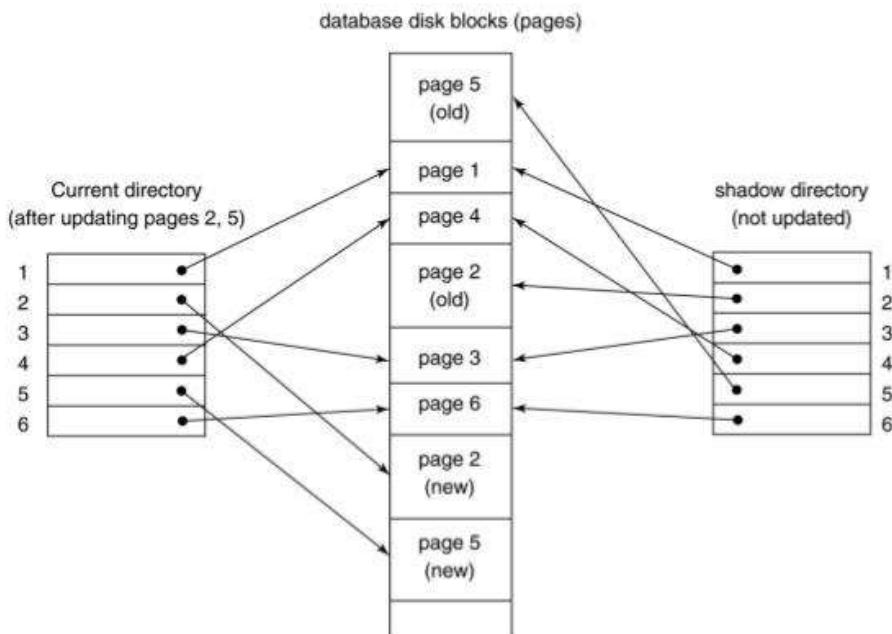
Concept of Shadow Paging Technique

- Shadow paging is an alternative to transaction-log based recovery techniques.
- Here, the database considered as made up of fixed size disk blocks, called pages. These pages mapped to physical storage using a table, called page table.
- The page table indexed by a page number of the database. The information about physical pages, in which database pages are stored, is kept in this page table.
- This technique is similar to paging technique used by Operating Systems to allocate memory, particularly to manage virtual memory.
- The following figure depicts the concept of shadow paging.

Execution of Transaction

- During the execution of the transaction, two-page tables maintained.
 1. **Current Page Table:** Used to access data items during transaction execution.
 2. **Shadow Page Table:** Original page table, and not get modified during transaction execution.
- Whenever any page is about to written for the first time
 1. A copy of this page made into a free page,
 2. The current page table made to point to the copy,
 3. The update made in this copy.

FIGURE 19.5 An example of shadow paging.



Shadow Paging

- In this technique, the database is considered to be made up of fixed-size disk blocks or pages for recovery purposes.
- Maintains two tables during the lifetime of a transaction-current page table and shadow page table.
- Store the shadow page table in nonvolatile storage, to recover the state of the database prior to transaction execution
- This is a technique for providing atomicity and durability.

When a transaction begins executing



Recovering data of concurrent transactions:

- While recovering concurrent transaction it is difficult to recover by using lock files so along with lock files check points are considered for the recovery of concurrent transaction.

Check point:

It is a point at a time where all transaction are committed & the database in consistence state.

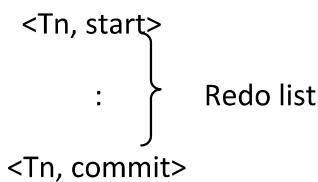
While recovering start from the end transaction till it reaches any check point.

During this process categorized each transaction into UNDO/REDO list.

All the transactions in UNDO list should not be saved.

All the transaction in Redo list should saved and rollback then.

$\langle T_n, \text{start} \rangle \rightarrow \text{undo list}$

**Granularity:**

It refers to the size of the database item which can be locked.

Multiple Granularity locking:

It refers to dividing the database into a hierarchy of data items on which locks can be applied as a whole or individual data item.

We can divide database hierarchy files into pages and each page consists of record.

ARIES Recovery Algorithm:

- A steal, no-force approach
 - Steal: if a frame is dirty and chosen for replacement, the page it contains is written to disk even if the modifying transaction is still active.
 - No-force: Pages in the buffer pool that are modified by a transaction are not forced to disk when the transaction commits.

Algorithms for Recovery and Isolation Exploiting Semantics, or ARIES is a recovery algorithm designed to work with a no-force, steal database approach.

The ARIES recovery procedure consists of three main steps:

1. Analysis

The analysis step identifies the dirty (updated) pages in the buffer, and the set of transactions active at the time of the crash. The appropriate point in the log where the REDO operation should start is also determined

2. REDO

The REDO phase actually reapplies updates from the log to the database. Generally, the REDO operation is applied to only committed transactions. However, in ARIES, this is not the case. Certain information in the ARIES log will provide the start point for REDO, from which REDO operations are applied until the end of the log is reached. In addition, information stored by ARIES and in the data pages will allow ARIES to determine whether the operation to be redone has actually been applied to the database and hence need not be reapplied. Thus only the necessary REDO operations are applied during recovery.

3. UNDO

During the UNDO phase, the log is scanned backwards and the operations of transactions that were active at the time of the crash are undone in reverse order. The information needed for ARIES to accomplish its recovery procedure includes the log, the Transaction Table, and the Dirty Page Table. In addition, check pointing is used. These two tables are maintained by the transaction manager and written to the log during check pointing.

Data structures used in ARIES algorithm:

1. page table
2. dirty page table
3. pageLSN
4. RedoLSN
5. Transaction Table
6. Checkpoint Log

** LSN stands for Log Sequence Number

For efficient recovery, we need Transaction table and Dirty Page table .

The above 2 tables are maintained by transaction manager

The **Transaction Table** contains an entry for *each active transaction*, with information such as the transaction ID, transaction status, and the LSN of the most recent log record for the transaction.

Transaction ID	Transaction Status	LSN of recent log

The **Dirty Page Table** contains an entry for each dirty page in the buffer, which includes the page ID and the LSN corresponding to the earliest update to that page.

PageID	LSN of earliest update to page

Checkpointing in ARIES consists of the following:

1. writing a begin_checkpoint record to the log,
2. writing an end_checkpoint record to the log, and
3. writing *the LSN* of the begin_checkpoint record to a special file.

This Checkpoint log file is accessed during recovery to locate the last checkpoint information.

After a crash, the ARIES recovery manager takes over.

Information from the last checkpoint is first accessed through the special file. The **analysis phase** starts at the begin_checkpoint record and proceeds to the end of the log. When the end_checkpoint record is encountered, the Transaction Table and Dirty Page Table are accessed (recall that these tables were written in the log during checkpointing). During analysis, the log records being analyzed may cause modifications to these two tables. For instance, if an end log record was encountered for a transaction T in the Transaction Table, then the entry for T is deleted from that table. If some other type of log record is encountered for a transaction T , then an entry for T is inserted into the Transaction Table, if not already present, and the last LSN field is modified. If the log record corresponds to a change for page P , then an entry would be made for page P (if not present in the table) and the associated LSN field would be modified. When the analysis phase is complete, the necessary information for REDO and UNDO has been compiled in the tables.

The REDO **phase** follows next.

ARIES starts redoing at a point in the log where it knows (for sure) that previous changes to dirty pages *have already been applied to the database on disk*. It can determine this by finding the smallest LSN, M , of all the dirty pages in the Dirty Page Table, which indicates the log position where ARIES needs to start the REDO phase. Any changes corresponding to an LSN $< M$, for redoable transactions, must have already been propagated to disk or already been overwritten in the buffer; otherwise, those dirty pages with that LSN would be in the buffer (and the Dirty Page Table). So, REDO starts at the log record with LSN = M and scans forward to the end of the log. For each change recorded in the log, the REDO algorithm would verify whether or not the change has to be reapplied. For example, if a change recorded in the log pertains to page P that is not in the Dirty Page Table, then this change is already on disk and does not need to be reapplied. Or, if a change recorded in the log (with LSN = N , say) pertains to page P and the Dirty Page Table contains an entry for P with LSN greater than N , then the change is already present. If neither of these two conditions hold, page P is read from disk and

the LSN stored on that page, $LSN(P)$, is compared with N . If $N < LSN(P)$, then the change has been applied and the page does not need to be rewritten to disk.

Once the REDO phase is finished, the database is in the exact state that it was in when the crash occurred. The set of active transactions—called the `undo_set`—has been identified in the Transaction Table during the analysis phase.

Now, the UNDO **phase** proceeds by scanning backward from the end of the log and undoing the appropriate actions. A compensating log record is written for each action that is undone. The UNDO reads backward in the log until every action of the set of trans-actions in the `undo_set` has been undone. When this is completed, the recovery process is finished and normal processing can begin again.

Example:

Consider the recovery example shown in Figure 23.5. There are three transactions: T_1 , T_2 , and T_3 . T_1 updates page C, T_2 updates pages B and C, and T_3 updates page A.

(a)

Lsn	Last_Lsn	Tran_id	Type	Page_id	Other_information
1	0	T_1	update	C	...
2	0	T_2	update	B	...
3	1	T_1	commit		...
4	begin checkpoint				
5	end checkpoint				
6	0	T_3	update	A	...
7	2	T_2	update	C	...
8	7	T_2	commit		...

(b)

TRANSACTION TABLE

Transaction_id	Last_Lsn	Status
T_1	3	commit
T_2	2	in progress

DIRTY PAGE TABLE

Page_id	Lsn
C	1
B	2

TRANSACTION TABLE			DIRTY PAGE TABLE		
(b)	Transaction_id	Last_Lsn	Status	Page_id	Lsn
T_1	3		commit	C	1
T_2	2		in progress	B	2

TRANSACTION TABLE			DIRTY PAGE TABLE		
(c)	Transaction_id	Last_Lsn	Status	Page_id	Lsn
T_1	3		commit	C	1
T_2	8		commit	B	2
T_3	6		in progress	A	6

Figure 23.5

An example of recovery in ARIES. (a) The log at point of crash. (b) The Transaction and Dirty Page Tables at time of checkpoint. (c) The Transaction and Dirty Page Tables after the analysis phase.

Figure 23.5(a) shows the partial contents of the log, and Figure 23.5(b) shows the contents of the Transaction Table and Dirty Page Table. Now, suppose that a crash occurs at this point. Since a checkpoint has occurred, the address of the associated begin_checkpoint record is retrieved, which is location 4. **The analysis phase starts from location 4 until it reaches the end.** The end_checkpoint record would contain the Transaction Table and Dirty Page Table in Figure 23.5(b), and the analysis phase will further reconstruct these tables. When the analysis phase encounters log record 6, a new entry for transaction T_3 is made in the Transaction Table and a new entry for page A is made in the Dirty Page Table. After log record 8 is analyzed, the status of transaction T_2 is changed to committed in the Transaction Table. Figure 23.5(c) shows the two tables after the analysis phase.

For the REDO phase, the smallest LSN in the Dirty Page Table is 1. Hence the REDO will start at log record 1 and proceed with the REDO of updates. The LSNs {1, 2, 6, 7} corresponding to the updates for pages C, B, A, and C, respectively, are not less than the LSNs of those pages (as shown in the Dirty Page Table). So those data pages will be read again and the updates reapplied from the log (assuming the actual LSNs stored on those data pages are less than the corresponding log entry). At this point, the REDO phase is finished and the **UNDO phase starts.** From the Transaction Table (Figure 23.5(c)), **UNDO is applied only to the active transaction T_3 .** The UNDO phase starts at log entry 6 (the last update for T_3) and proceeds backward in the log. The backward chain of updates for transaction T_3 (only log record 6 in this example) is followed and undone.