

1. Why transactions?

2. Transactions

3. Properties of Transactions: ACID

4. Logging



Example

Monthly bank interest transaction

Money

Account	****	Balance (\$)
3001		500
4001		100
5001		20
6001		60
3002		80
4002		-200
5002		320
•••		
30108		-100
40008		100
50002		20

Money (@4:29 am day+1)

Account	 Balance (\$)
3001	550
4001	110
5001	22
6001	66
3002	88
4002	-220
5002	352
30108	-110
40008	110
50002	22



Other Transactions

10:02 am Acct 3001: Wants 600\$
11:45 am Acct 5002: Wire for 1000\$

.

2:02 pm Acct 3001: Debit card for \$12.37

'T-Monthly-423'

Monthly Interest 10% 4:28 am Starts run on 10M bank accounts Takes 24 hours to run

UPDATE Money

SET Balance = Balance * 1.1

Q: How do I not wait for a day to access my \$\$\$s?



Big Idea: LOCKs

- Intuition:
 - 'Lock' each record for shortest time possible
 - (e.g, Locking Money Table for a day is not good enough)
- Key questions:
 - Which records? For how long? What's algorithm?

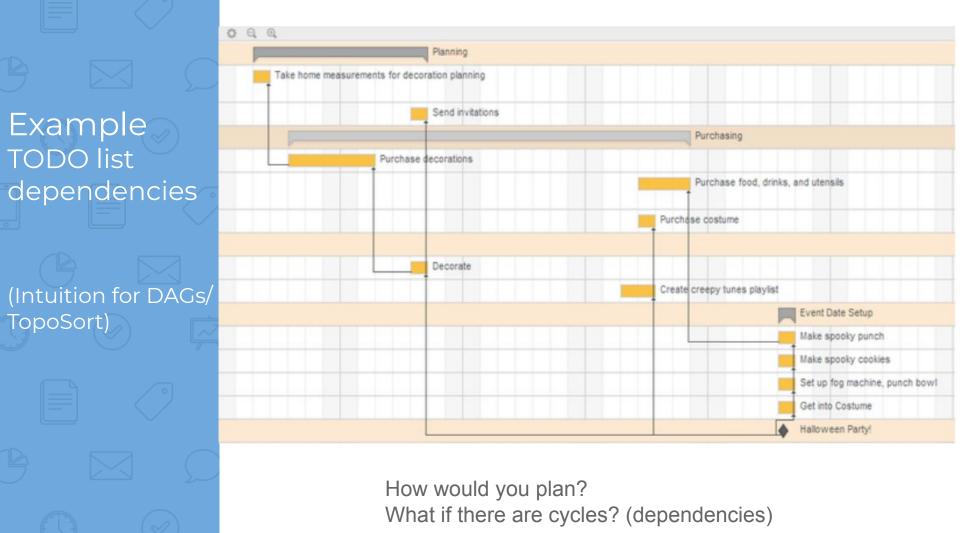


Many kinds of LOCKs. We'll study some simple ones!



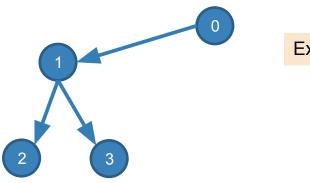
CS Concept Reminder: DAGs & Topological Orderings

- A **topological ordering** of a directed graph is a linear ordering of its vertices that respects all the directed edges
- A directed <u>acyclic</u> graph (DAG) always has one or more topological orderings
 - (And there exists a topological ordering if and only if there are no directed cycles)



DAGs & Topological Orderings

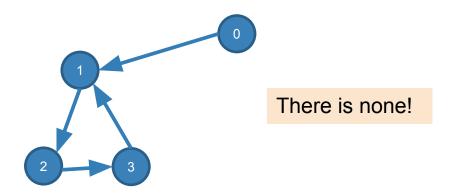
Ex: What is one possible topological ordering here?

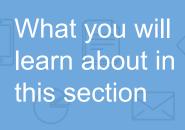


Ex: 0, 1, 2, 3 (or: 0, 1, 3, 2)

DAGs & Topological Orderings

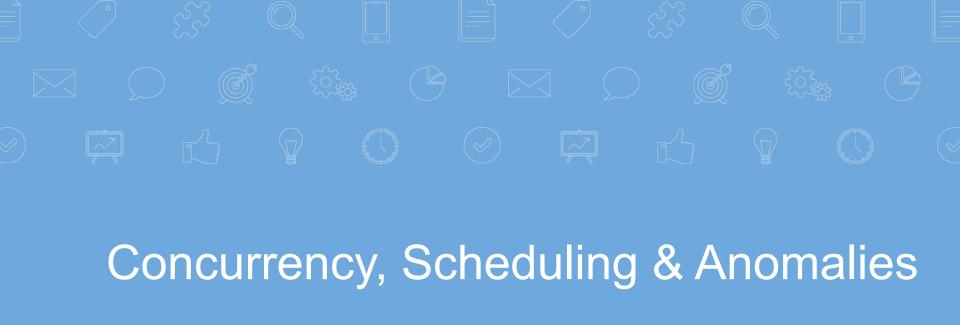
• Ex: What is one possible topological ordering here?





- 1. Concurrency
 - Interleaving & scheduling (Examples)
 - Conflict & Anomaly types (Formalize)

2. Locking: 2PL, Deadlocks (Algorithm)





Concurrency: Isolation & Consistency

DBMS maintains

1. <u>I</u>solation: Users execute each TXN as if they were the only user

AC<u>I</u>D

2. Consistency: TXNs must leave the DB in a consistent state

A<u>C</u>ID



Next 30 mins

- 1. We'll start with 2 TXNs and 2 resources 'A' and 'B'
- 2. Then generalize for more TXNs and more resources
- 3. Next week, how to do the LOCKing



Note the hard part...

...is the effect of *interleaving* transactions and *crashes*. See 245 for the gory details!

In cs145, we'll focus on a simplified model

T1: START TRANSACTION

UPDATE Accounts
SET Amt = Amt + 100
WHERE Name = 'A'

UPDATE Accounts SET Amt = Amt - 100 WHERE Name = 'B'

COMMIT

T1 transfers \$100 from B's account to A's account

T2: START TRANSACTION

UPDATE Accounts

SET Amt = Amt * 1.06

COMMIT

T2 credits both accounts with a 6% interest payment

Note:

- 1. DB does not care if T1 —> T2 or T2 —> T1 (which TXN executes first)
- 2. If developer does, what can they do? (Put T1 and T2 inside 1 TXN)

Example

A += 100

B -= 100

T1 transfers \$100 from B's account to A's account

A *= 1.06

B *= 1.06

T2 credits both accounts with a 6% interest payment

Goal for scheduling transactions:

- Interleave transactions to boost performance
- Data stays in a good state after commits and/or aborts (ACID)

We can look at the TXNs in a timeline view- serial execution:

 T_2

A *= 1.06

B *= 1.06

Ťime

T1 transfers \$100 from B's account to A's account

T2 credits both accounts with a 6% interest payment

The TXNs could occur in either order... DBMS allows!

3

T2 credits both accounts with a 6% interest payment

T1 transfers \$100 from B's account to A's account

The DBMS can also **interleave** the TXNs

 T_1

A += 100

B -= 100

 T_2

A *= 1.06

B *= 1.06

Time

T2 credits A's account with 6% interest payment, then T1 transfers \$100 to A's account...

T2 credits B's account with a 6% interest payment, then T1 transfers \$100 from B's account...

Interleaving & Isolation

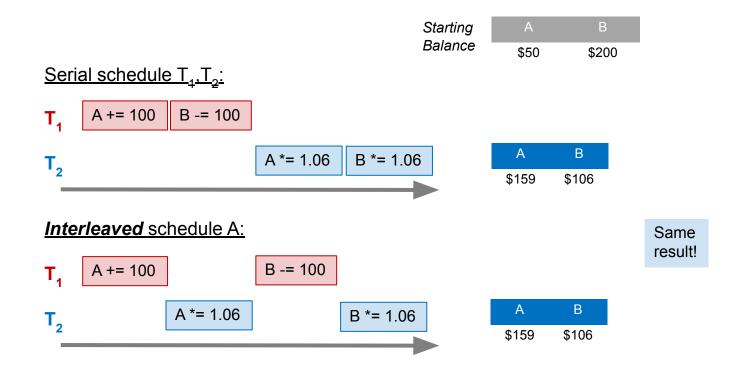
- The DBMS has freedom to interleave TXNs
- However, it must pick an interleaving or schedule such that isolation and consistency are maintained

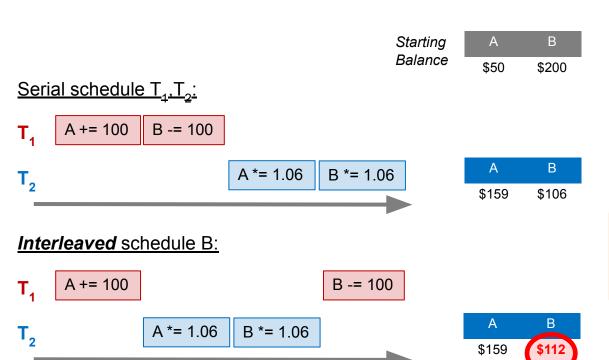
"With great power comes great responsibility"

A<u>CI</u>D

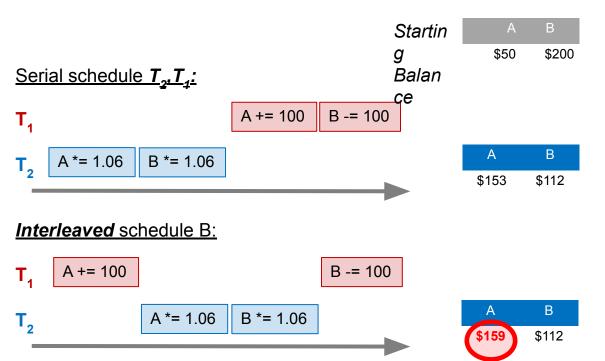
 → Must be as if the TXNs had executed serially!

DBMS must pick a schedule which maintains isolation & consistency



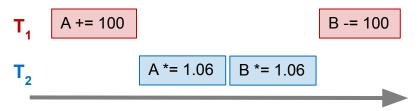


Different result than serial $T_1, T_2!$



Different result than serial T₂,T₁ ALSO!

Interleaved schedule B:



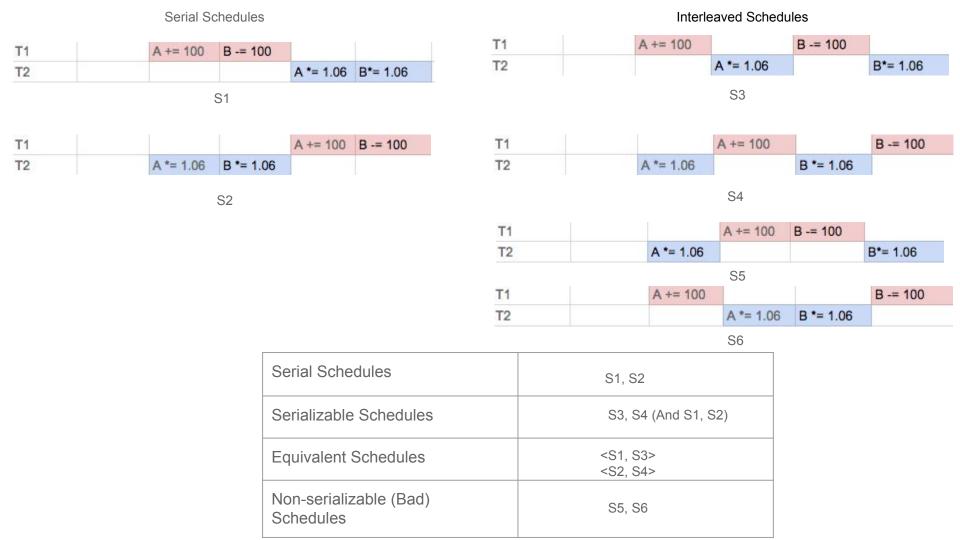
This schedule is different than *any serial* order! We say that it is <u>not serializable</u>

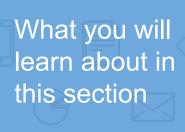


Scheduling Definitions

- A <u>serial schedule</u> is one that does not interleave the actions of different transactions
- A and B are <u>equivalent schedules</u> if, *for any database* state, the effect on DB of executing A is identical to the effect of executing B
- A <u>serializable schedule</u> is a schedule that is equivalent to **some** serial execution of the transactions.

The word "**some**" makes this definition powerful & tricky!





- 1. Concurrency
 - Interleaving & scheduling (Examples)
 - Conflict & Anomaly types (Formalize)

2. Locking: 2PL, Deadlocks (Algorithm)



Conflicts and Anomalies



General DBMS model: Concurrency as Interleaving TXNs

W(B)

T₁ R(A) W(A) R(B) W(B) T₂ R(A) W(A) R(B) W(B) Interleaved Schedule T₁ R(A) W(A) R(B) W(B)

W(A)

R(A)

Serial Schedule

Τ,

Each action in the TXNs reads a value from global memory and then writes one back to it (e.g, R(A) reads 'A')

For our purposes, having TXNs occur concurrently means interleaving their component actions (R/W)

We call the particular order of interleaving a **schedule**



Conflict Types

Two actions **conflict** if they are part of different TXNs, involve the same variable, and at least one of them is a write

Thus, there are three types of conflicts:

Why no "RR Conflict"?

- Read-Write conflicts (RW)
- Write-Read conflicts (WR)
- Write-Write conflicts (WW)

Note: <u>conflicts</u> happen often in many real world transactions. (E.g., two people trying to book an airline ticket)



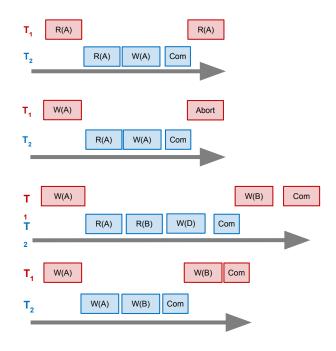
Classic Anomalies with Interleaved Execution

"Unrepeatable read":

"Dirty read" / Reading uncommitted data:

"Inconsistent read" / Reading partial commits:

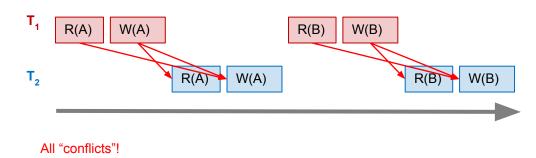
Partially-lost update:





Conflicts

Two actions **conflict** if they are part of different TXNs, involve the same variable, and at least one of them is a write





Note: Conflicts vs. Anomalies

Conflicts are in both "good" and "bad" schedules (they are a property of transactions)

Goal: Avoid Anomalies while interleaving transactions with conflicts!

 Do not create "bad" schedules where isolation and/or consistency is broken (i.e., Anomalies)





Conflict Serializability

Two schedules are **conflict equivalent** if:

- Every pair of conflicting actions of TXNs are ordered in the same way
 - (And involve the same actions of the same TXNs)

Schedule S is **conflict serializable** if S is *conflict equivalent* to some serial schedule

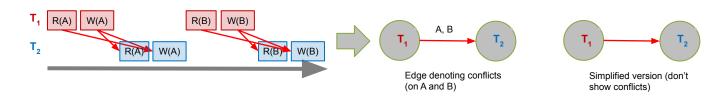
Conflict serializable ⇒ serializable

So if we have conflict serializable, we have consistency & isolation!



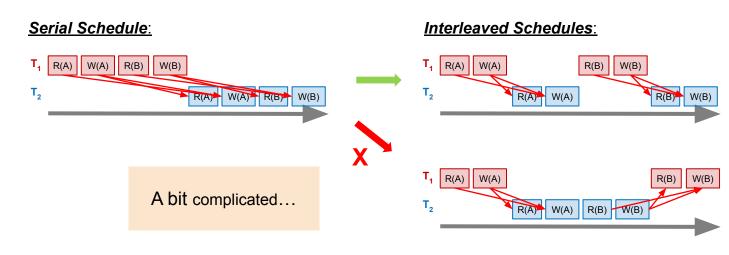
The Conflict Graph

- Let's now consider looking at conflicts at the TXN level
- Consider a graph where the **nodes are TXNs**, and there is an edge from $T_i \rightarrow T_j$ if any actions in T_i precede and conflict with any actions in T_i





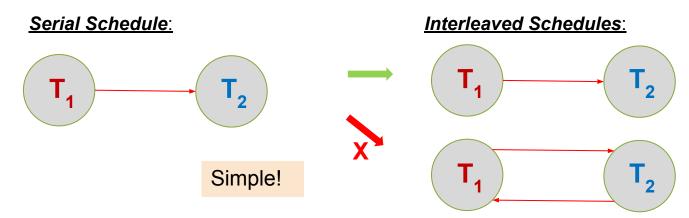
What can we say about "good" vs. "bad" conflict graphs?



Conflict serializability provides us with an operative notion of "good" vs. "bad" schedules! "Bad" schedules create data <u>Anomalies</u>



What can we say about "good" vs. "bad" conflict graphs?



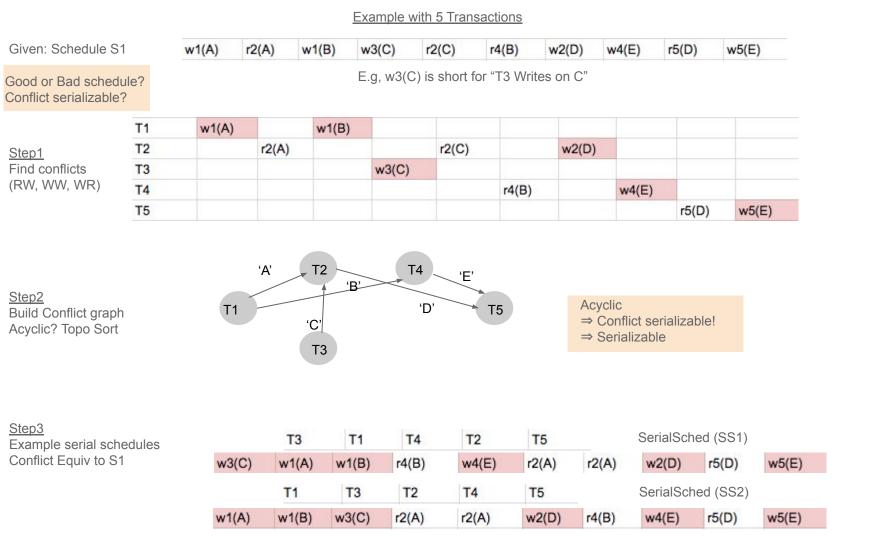
<u>Theorem</u>: Schedule is **conflict serializable** if and only if its conflict graph is <u>acyclic</u>



Connection to conflict serializability

 In the conflict graph, a topological (sort) ordering of nodes corresponds to a serial ordering of TXNs

<u>Theorem</u>: Schedule is **conflict serializable** if and only if its conflict graph is <u>acyclic</u>





Big Idea: LOCKs

- Intuition:
 - 'Lock' each record for shortest time possible
 - (e.g, Locking Money Table for a day is not good enough)
- Key questions:
 - Which records? For how long? What's algorithm?



We now have the tools to BUILD such locks. Next week!



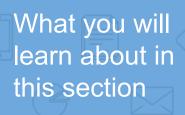
Quick intuition for use cases?

1. Construction

Locking algorithms to produce good schedules

2. Optimization?

Optimizer may take a schedule and reorder (if disk is slow, etc.)



- 1. Concurrency
 - Interleaving & scheduling (Examples)
 - Conflict & Anomaly types (Formalize)

2. Locking: 2PL, Deadlocks (Algorithm)

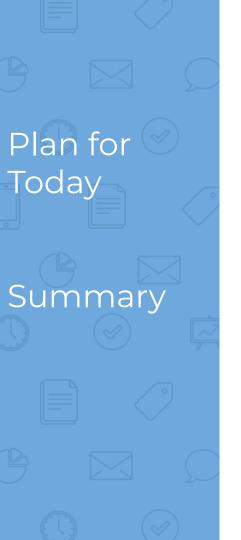
Summary

- Concurrency achieved by interleaving TXNs such that isolation & consistency are maintained
 - We formalized a notion of <u>serializability</u> that captured such a "good" interleaving schedule
- We defined <u>conflict serializability</u>



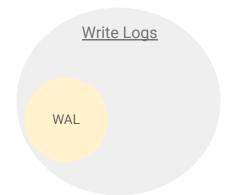
2PL: One Simple Locking algorithm

(now that we understand properties of schedules we want)



2 PL Locking

Putting it all together -- ACID Transactions





Note: this is an intro Next: Take 245/346 (Distributed Transactions) or read <u>Jim Gray's</u> classic



Strict Two-phase Locking (2PL) Protocol

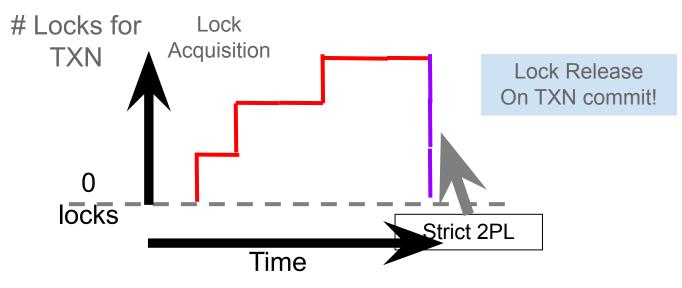
TXNs obtain:

- An X (exclusive) lock on object before writing.
 ⇒ No other TXN can get a lock (S or X) on that object. (e.g, X('A') is an exclusive lock on 'A')
- 2. An **S** (*shared*) lock on object before **reading**⇒ No other TXN can get *an X lock* on that object

All locks held by a TXN are released when TXN completes.



Picture of 2-Phase Locking (2PL)



2PL: A transaction can not request additional locks once it releases any locks. Thus, there is a "growing phase" followed by a "shrinking phase".

Strict 2PL: Release locks only at COMMIT (COMMIT Record flushed) or ABORT



Strict 2PL

If a schedule follows strict 2PL, it is **conflict serializable**...

- ...and thus serializable
- ...and we get isolation & consistency!

Popular implementation

- Simple!
- Produces subset of *all* conflict serializable schedules
- There are MANY more complex LOCKING schemes with better performance. (See CS 245/ CS 345)
- One key, subtle problem (next)

Example: Deadlock Detection



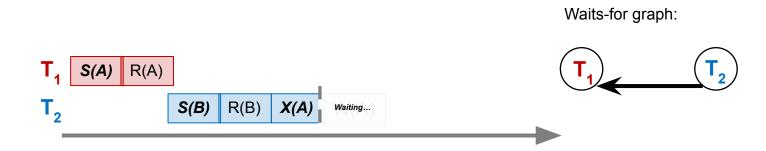
First, T₁ requests a shared lock on A to read from it

Deadlock Detection: Example



Next, T₂ requests a shared lock on B to read from it

Deadlock Detection: Example

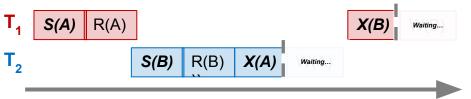


 T_2 then requests an exclusive lock on A to write to it- **now** T_2 is waiting on T_1 ...

Waits-For graph: Track which Transactions are waiting <u>IMPORTANT</u>: WAITS-FOR graph different than CONFLICT graph we learnt earlier!



Deadlock Detection: Example



Waits-for graph:



Cycle = DEADLOCK

Finally, T₁ requests an exclusive lock on B to write to it- **now T**₁ is waiting on T₂... **DEADLOCK!**



Deadlocks

Deadlock: Cycle of transactions waiting for locks to be released by each other.

Two ways of dealing with deadlocks:

- 1. Deadlock prevention
- 2. Deadlock detection



Deadlock Detection

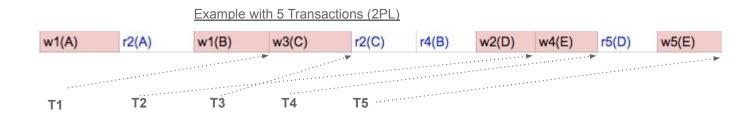
Create the waits-for graph:

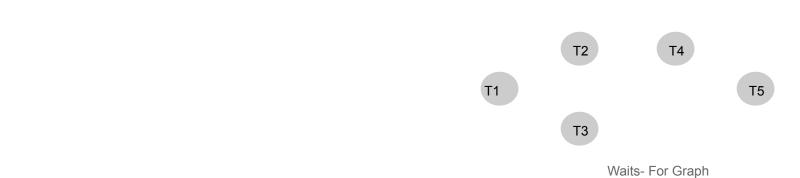
- Nodes are transactions
- There is an edge from $T_i \to T_j$ if T_i is waiting for T_j to release a lock

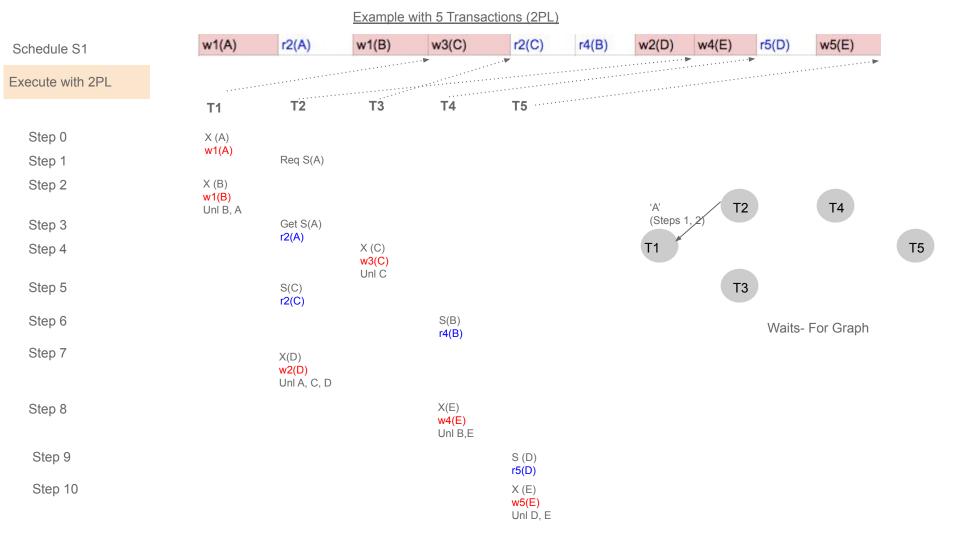
Periodically check for (and break) cycles in the waits-for graph

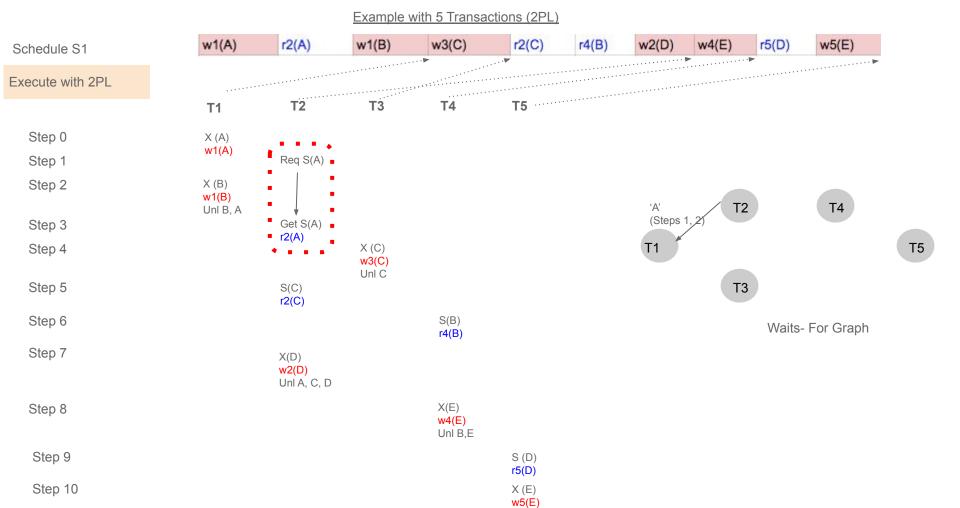
Schedule S1

Execute with 2PL



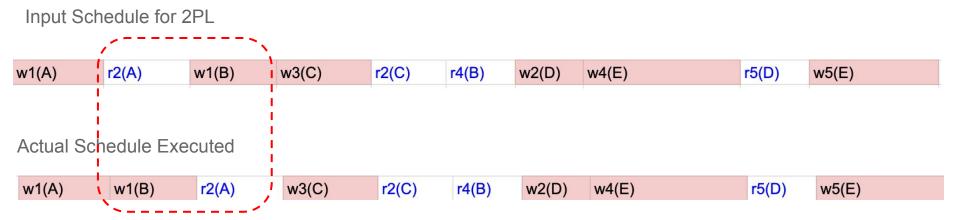






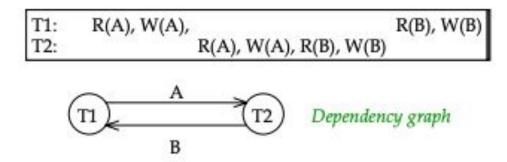
Unl D, E

Example1: What happened?



In general, 2PL/S2PL produce conflict-serializable schedules.

A schedule that is not conflict serializable:



If you Input above schedule into 2PL, what would happen? [Ans: R2(A) blocked until after W1(B). Therefore, conflict serialized. i.e.T1 \rightarrow T2]



Quick intuition for use cases?

1. Construction

Locking algorithms to produce good schedules

2. Optimization?

Optimizer may take a schedule and reorder (if disk is slow, etc.)



Strict 2PL vs 2PL?

2PL releases locks faster, higher performance, but has some subtle problems which Strict 2PL gets around by waiting to release locks (read: cascading rollbacks after class)

For cs145 in Fall'20,

- Focus on Strict 2PL for our tests, homeworks



Why study Transactions?

Good programming model for parallel applications on shared data!

Atomic

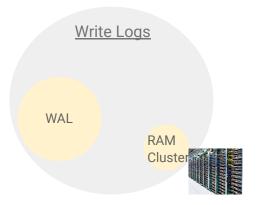
Consistent

Isolation

Durable

Design choices?

- Write update Logs (e.g., WAL logs)
- Serial? Parallel, interleaved and serializable?





Note: this is an intro

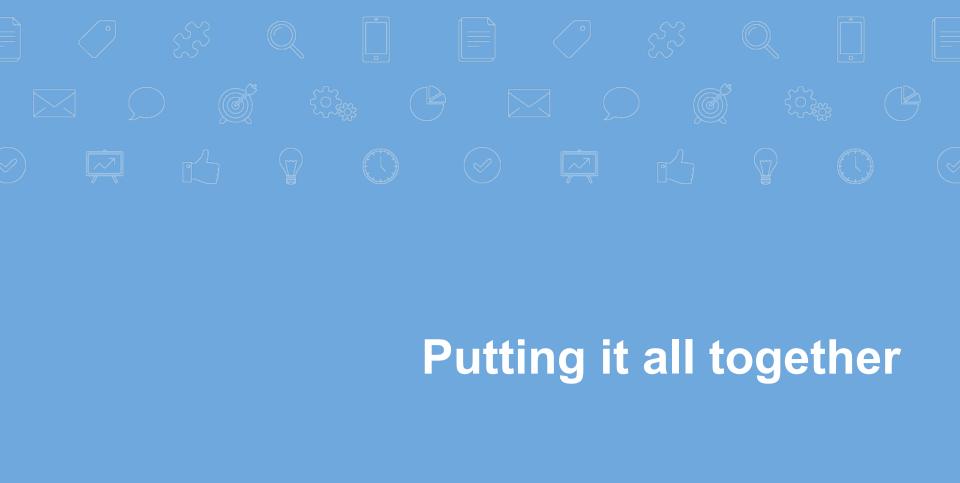
Next: Take 346 (Distributed Transactions) or read <u>Jim</u>

Gray's classic

Summary

Locking allows only conflict serializable schedules

• If the schedule completes... (it may deadlock!)



Monthly bank interest transaction

Money

Account	****	Balance (\$)	
3001		500	
4001		100	
5001		20	
6001		60	
3002		80	
4002		-200	
5002		320	

30108		-100	
40008		100	
50002		20	

Money (@4:29 am day+1)

Account	 Balance (\$)
3001	550
4001	110
5001	22
6001	66
3002	88
4002	-220
5002	352
30108	-110
40008	110
50002	22



Other Transactions

10:02 am Acct 3001: Wants 600\$
11:45 am Acct 5002: Wire for 1000\$

.

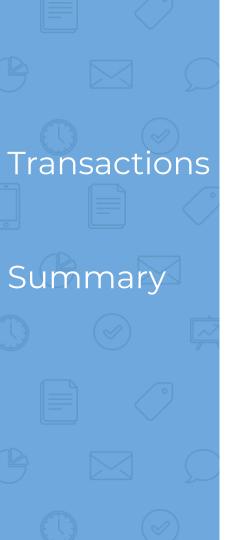
2:02 pm Acct 3001: Debit card for \$12.37

'T-Monthly-423'

Monthly Interest 10% 4:28 am Starts run on 10M bank accounts Takes 24 hours to run

UPDATE Money
SET Balance = Balance * 1.1

Q: How do I not wait for a day to access \$\$\$s?



Why study Transactions?

Good programming model for parallel applications on shared data!

Atomic

Consistent

Isolation

Durable

Design choices?

- Write update Logs (e.g., WAL logs)
- Serial? Parallel, interleaved and serializable?





Note: this is an intro

Next: Take 245/346 (Distributed Transactions) or read

Jim Gray's classic

Example Visa DB

Account	 Balance (\$)
3001	50
4001	10
5001	2
6001	6
3002	8
4002	-20
5002	32
30108	-10
40008	10
50002	2

Visa DB





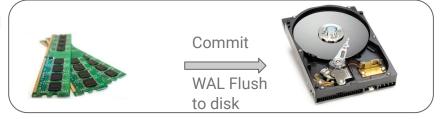
Transaction Queue

- 60000 user TXNs/sec
- Monthly 10% Interest TXN

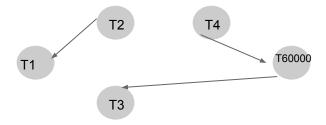


For each Transaction in Queue

- For relevant records
 - Use 2 PL to acquire/release locks
 - Process record
 - WAL Logs for updates
- Commit or Abort







Example WAL Logs

- for 'T-Monthly-423'

WAL (@4:29 am day+1)

Update Records

T-Monthly-423	START TRAN	ISACTION	
T-Monthly-423	3001	500	55
T-Monthly-423	4001	100	11
T-Monthly-423	5001	20	2
T-Monthly-423	6001	60	6
T-Monthly-423	3002	80	8
T-Monthly-423	4002	-200	-22
T-Monthly-423	5002	320	35
T-Monthly-423			
T-Monthly-423	30108	-100	-11
T-Monthly-423	40008	100	11
T-Monthly-423	50002	20	2
T-Monthly-423	COMMIT		

Commit Record



Write-Ahead Logging (WAL)

Algorithm: WAL

For each record update, write Update Record into LOG

Follow two Flush rules for LOG

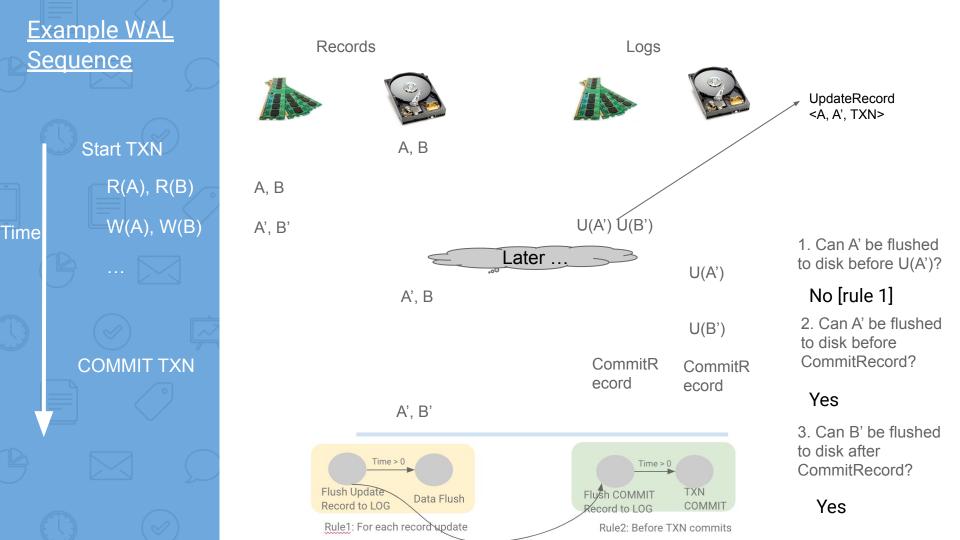
- Rule1: Flush <u>Update Record</u> into LOG before corresponding data page goes to storage
- Rule2: Before TXN commits,
 - Flush all <u>Update Records</u> to LOG
 - Flush COMMIT Record to LOG

→ **Durability**

→ <u>Atomicity</u>

Transaction is committed *once COMMIT* record is on stable storage





Example Visa DB -- Need Higher Performance?



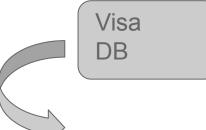


Transaction Queue

- 60000 TXNs/sec
- Monthly Interest TXN

'T-Monthly-423'

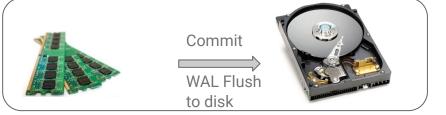
Monthly Interest 10% 4:28 am Starts run on 10M visa accounts Takes 24 hours to run



Design#2 VisaDB

For each Transaction in Queue

- For relevant records
 - Use 2 PL to acquire/release locks
 - Process record
 - WAL Logs for updates
- Commit or Abort

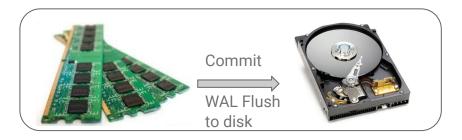


Replace with more sophisticated algorithms (cs245/cs345)

Cluster LOG model

A popular alternative (with tradeoffs)









Commit by replicating log and/or data to 'n' other machines (e.g. n = 2)

[On same rack, different rack or different datacenter]

Cluster LOG model

<u>Performance</u>

Failure model

Main model: RAM could fail, Disk is durable

VS

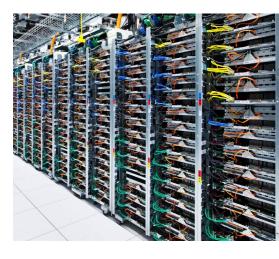
Cluster LOG model:

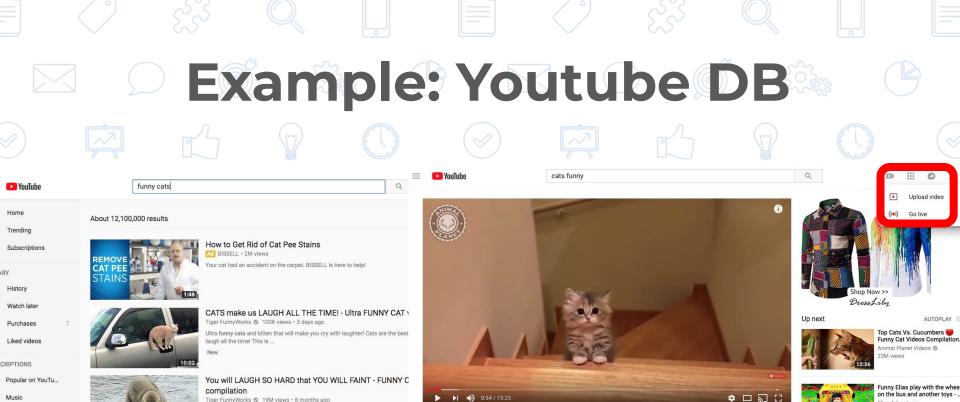
RAM on different machines don't fail at same time Power to racks is uncorrelated

Incremental cost to write to machine

Network speeds intra-datacenter could be 1-10 microsecs

[Lazily update data on disk later, when convenient]





Have you EVER LAUGHED HARDER? - Ultra FUNNY CATS FROM YOUTUBE Tiger FunnyWorks 2 124K views • 1 week ago

YouTube Premium

Movies & Shows

you like these furries the ..

Super funny cats and kitten that will make you scream with laughter! This is the I LAUGH challenge ever!

Well well, cats for you again. But this time, even better, even funnier, even mo

Baby Cats - Funny and Cute Baby Cat Videos Compilation (2018) Gatitos Bebes Video Recopilación | Animal Planet Videos

Paby Cate Funny and Cute Baby Cat Videos Compilation (2018) Catitoe Rebox Video Recopilacion

Elias Adventures 291 watching

FinvKittens HO

.3K watching

LIVE NOW

diablos [HD]

7.6M views

Mathew Garcia

SUBSCRIBE 337K

LIVE: Rescue kitten nursery! TinyKittens.com

Puss in boots and the three

LIVE NOW

Subscribe Here: https://goo.gl/qor4XN

Animal Planet Videos @

Published on May 23, 2018

809,337 views

Youtube writes

<u>Performance</u>

Design 1: WAL Log for Video Views <videoid, old # views, new # views>

WAL for Vide	o likes		
T-LIKE-4307	START TRAN	SACTION	
T-LIKE-4307	3001	537	538
T-LIKE-4307	COMMIT		
T-LIKE-4308	START TRANSACTION		
T-LIKE-4308	5309	10001	10002
T-LIKE-4308	COMMIT		
T-LIKE-4309	START TRANSACTION		
T-LIKE-4309	3001	538	539
T-LIKE-4309	COMMIT		

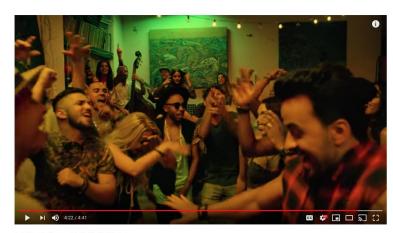
T-LIKE-4341	5309	10002	10003
T-LIKE-4351	5309	10003	10004
***	***		
T-LIKE-4383	START TRANSACTION		
T-LIKE-4383	5309	10004	10005
T-LIKE-4383	COMMIT		

Critique?

Correct?

Write Speed? Cost? Storage?

Bottlenecks?



Luis Fonsi - Despacito ft. Daddy Yankee

5,611,744,868 views







Youtube writes

<u>Performance</u>

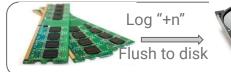
Design 2:

- Replicate #Video Views in cluster.
- Batch updates in Log

Update RAM on n=3 machines (<videoid, #likes>)



Micro-batch updates		
Txn (e.g, Timestamp)	VideoID	Batch Increment
1539893189	3001	100
1539893195	5309	5000
1539893225	3001	200
		400
	5309	100
		5000
	5309	100000
		10
1539893289	5309	10



Critique?

Correct?

Write Speed? Cost? Storage?

Bottlenecks?

System recovery?

Youtube writes

Performance

Vs Cost

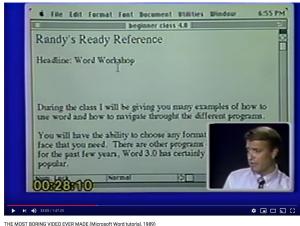


Popular video

Design #3

For most videos, Design 1 (full WAL logs)

For popular videos, Design 2



Unpopular video

Critique?

Correct? Write Speed? Cost? Storage? Bottlenecks? System recovery?



Design Questions?

Correctness: Need true ACID? Pseudo-ACID? What losses are OK?

Design parameters:

Any data properties you can exploit? (e.g., '+1', popular vs not)

How much RAM, disks and machines? How many writes per sec? How fast do you want system to recover?

Choose: WAL logs, Replication on n-machines, Hybrid? (More in cs345)



Why study Transactions?

Good programming model for parallel applications on shared data!

Atomic

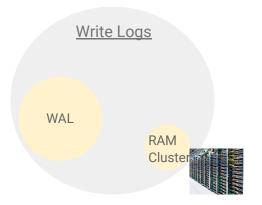
Consistent

Isolation

Durable

Design choices?

- Write update Logs (e.g., WAL logs)
- Serial? Parallel, interleaved and serializable?





Note: this is an intro

Next: Take 346 (Distributed Transactions) or read <u>Jim</u>

Gray's classic