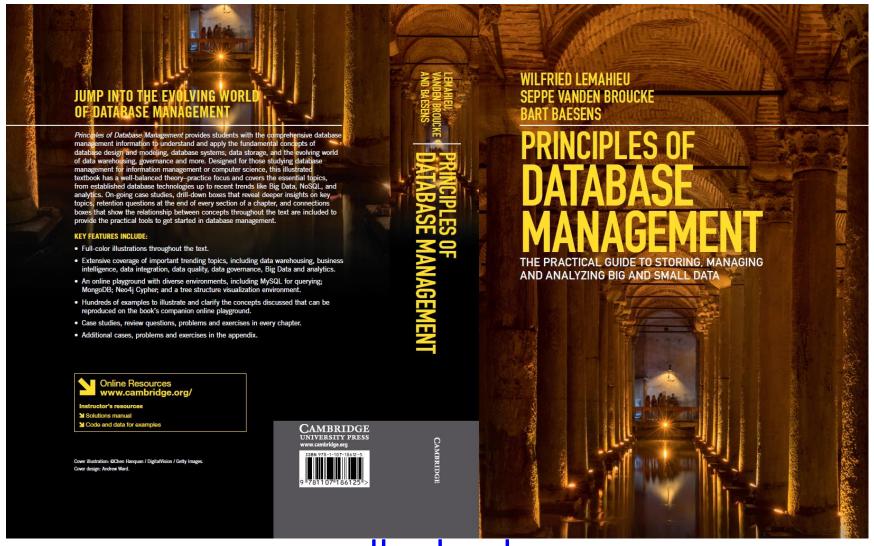
### **Basics of Transaction Management**



www.pdbmbook.com

### Introduction

- Transactions, Recovery and Concurrency Control
- Transactions and Transaction Management
- Recovery
- Concurrency Control
- The ACID Properties of Transactions

### Transactions, Recovery and Concurrency control

- Majority of databases are multi user databases
- Concurrent access to the same data may induce different types of anomalies
- Errors may occur in the DBMS or its environment
- DBMS must support ACID (Atomicity, Consistency, Isolation, Durability) properties

### Transactions, Recovery and Concurrency Control

- Transaction: set of database operations induced by a single user or application, that should be considered as one undividable unit of work
  - E.g., transfer between two bank accounts of the same customer
- Transaction always 'succeeds' or 'fails' in its entirety
- Transaction renders database from one consistent state into another consistent state

### Transactions, Recovery and Concurrency Control

- Examples of problems: hard disk failure, application/DBMS crash, division by 0, ...
- Recovery: activity of ensuring that, whichever of the problems occurred, the database is returned to a consistent state without any data loss afterwards
- Concurrency control: coordination of transactions that execute simultaneously on the same data so that they do not cause inconsistencies in the data because of mutual interference

### Transactions and Transaction Management

- Delineating transactions and the transaction lifecycle
- DBMS components involved in transaction management
- Logfile

### Delineating Transactions and the Transaction Lifecycle

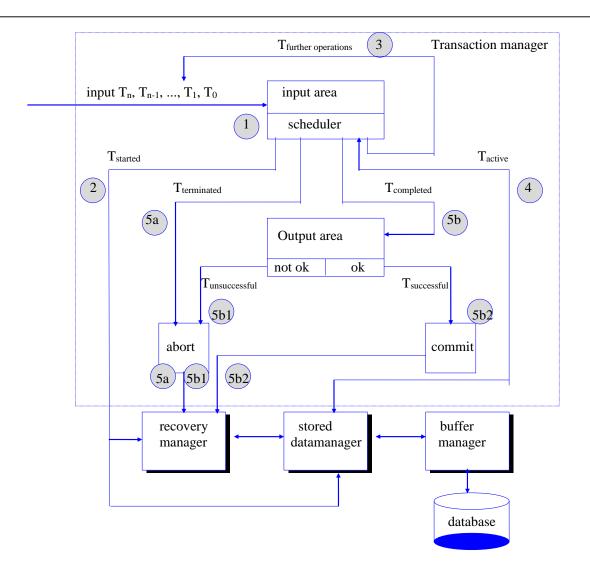
- Transactions boundaries can be specified implicitly or explicitly
  - Explicitly: begin\_transaction and end\_transaction
  - Implicitly: first executable SQL statement
- Once the first operation is executed, the transaction is active
- If transaction completed successfully, it can be committed. If not, it needs to be rolled back.

### Delineating Transactions and the Transaction Lifecycle

```
<begin transaction>
UPDATE account
SET balance = balance - :amount
WHERE accountnumber = :account to debit
UPDATE account
SET balance = balance + :amount
WHERE accountnumber = :account to credit
```

<end transaction>

#### DBMS Components Involved in Transaction Management



## Logfile

#### Logfile registers

- a unique log sequence number
- a unique transaction identifier
- a marking to denote the start of a transaction, along with the transaction's start time and indication whether the transaction is read only or read/write
- identifiers of the database records involved in the transaction, as well as the operation(s) they were subjected to
- before images of all records that participated in the transaction
- after images of all records that were changed by the transaction
- the current state of the transaction (active, committed or aborted)

## Logfile

- Logfile may also contain checkpoints
  - moments when buffered updates by active transactions, as present in the database buffer, are written to disk at once
- Write ahead log strategy
  - all updates are registered on the logfile before written to disk
  - before images are always recorded on the logfile prior to the actual values being overwritten in the physical database files

#### Recovery - Recovery facilities

# Logging

Tid	Time	Operation	Object	Before image	After image	pPtr	nPtr
T1	10:12	START				0	2
T1	10:13	UPDATE	STAFF SL21	(old value)	(new value)	1	8
T2	10:14	START				0	4
T2	10:16	INSERT	STAFF SG37		(new value)	3	5
T2	10:17	DELETE	STAFF SA9	(old value)		4	6
T2	10:17	UPDATE	PROPERTY PG16	(old value)	(new value)	5	9
Т3	10:18	START				0	11
T1	10:18	COMMIT				2	0
	10:19	CHECKPOINT	T2, T3				
T2	10:19	COMMIT				6	0
Т3	10:20	INSERT	PROPERTY PG4		(new value)	7	12
Т3	10:21	COMMIT				11	0

### Recovery

- Types of Failures
- System Recovery
- Media Recovery

### Types of Failures

- Transaction failure results from an error in the logic that drives the transaction's operations and/or in the application logic
- System failure occurs if the operating system or the database system crashes
- Media failure occurs if the secondary storage is damaged or inaccessible

### System Recovery

- In case of system failure, 2 types of transactions
  - already reached the committed state before failure
  - still in an active state
- Logfile is essential to take account of which updates were made by which transactions (and when) and to keep track of before images and after images needed for the UNDO and REDO
- Database buffer flushing strategy has impact on UNDO and REDO

### System Recovery

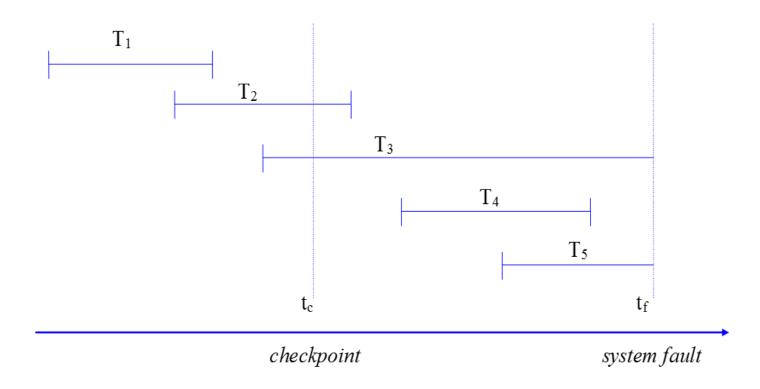
T<sub>1</sub>: nothing

T<sub>2</sub>: REDO

T<sub>3</sub>: UNDO

T<sub>4</sub>: REDO

T<sub>5</sub>: nothing



Note 1: checkpoint denotes moment the buffer manager last 'flushed' the database buffer to disk!

Note 2: similar reasoning can be applied in case of transaction failure (e.g.  $T_3$ ,  $T_5$ )

### Media Recovery

- Media recovery is invariably based on some type of data redundancy
  - Stored on offline (e.g., a tape vault) or online media (e.g., online backup hard disk drive)
- Tradeoff between cost to maintain the redundant data and time needed to restore the system
- Two types: disk mirroring and archiving

## Media Recovery

#### Disk mirroring

- a (near) real time approach that writes the same data simultaneously to 2 or more physical disks
- limited failover time but often costlier than archiving
- (limited) negative impact on write performance but opportunities for parallel read access

#### Archiving

- database files are periodically copied to other storage media (e.g. tape, hard disk)
- trade-off between cost of more frequent backups and cost of lost data
- full versus incremental backup

## Media Recovery

- Mixed approach: rollfoward recovery
  - Archive database files and mirror logfile such that the backup data can be complemented with (a redo of) the more recent transactions as recorded in the logfile
- Note: NoSQL databases allow for temporary inconsistency, in return for increased performance (eventual consistency)

### **Concurrency Control**

- Typical Concurrency Problems
- Schedules and Serial Schedules
- Serializable Schedules
- Optimistic and Pessimistic Schedulers
- Locking and Locking Protocols

- Scheduler is responsible for planning the execution of transactions and their operations
- Simple serial execution would be very inefficient
- Scheduler will ensure that operations of the transactions can be executed in an interleaved way
- Interference problems could occur
  - lost update problem
  - uncommitted dependency problem
  - inconsistent analysis problem

 Lost update problem occurs if an otherwise successful update of a data item by a transaction is overwritten by another transaction that wasn't 'aware' of the first update

time	$T_1$	$T_2$	amount <sub>x</sub>
t <sub>1</sub> t <sub>2</sub> t <sub>3</sub> t <sub>4</sub> t <sub>5</sub> t <sub>6</sub>	<pre>begin transaction read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> - 50 write(amount<sub>x</sub>) commit</pre>	<pre>begin transaction read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> + 120 write(amount<sub>x</sub>) commit</pre>	100 100 100 220 50 50

 If a transaction reads one or more data items that are being updated by another, as yet uncommitted, transaction, we may run into the uncommitted dependency (a.k.a. dirty read) problem

time	$T_1$	$T_2$	$amount_x$
t <sub>1</sub>		begin transaction	100
$t_2$		$read(amount_x)$	100
t <sub>3</sub>		$amount_x = amount_x + 120$	100
t <sub>4</sub>	begin transaction	$write(amount_x)$	220
$t_{5}$	$read(amount_x)$		220
$t_{6}$	$amount_x = amount_x - 50$	rollback	100
t <sub>7</sub>	$write(amount_x)$		170
t <sub>8</sub>	commit		170

• The **inconsistent analysis** problem denotes a situation where a transaction reads partial results of another transaction that simultaneously interacts with (and updates) the same data items.

time	$T_1$	$T_2$	amoun	$t_x$ y	z	sum
t <sub>1</sub>		begin transaction	100	75	60	
$t_1$	begin transaction	sum = 0	100	75 75	60	0
				_		_
t <sub>3</sub>	read(amount <sub>x</sub> )	$read(amount_x)$	100	75	60	0
$t_4$	$amount_x = amount_x - 50$	$sum = sum + amount_x$	100	75	60	100
$t_{\scriptscriptstyle{5}}$	write(amount <sub>x</sub> )	read(amount <sub>y</sub> )	50	75	60	100
$t_{6}$	read(amount <sub>z</sub> )	sum = sum + amount <sub>y</sub>	50	75	60	<b>17</b> 5
$t_7$	$amount_z = amount_z + 50$	·	50	75	60	175
$t_8$	write(amount <sub>z</sub> )		50	75	110	175
$t_9$	commit	read(amount <sub>z</sub> )	50	75	110	175
$t_{\scriptscriptstyle 10}$		$sum = sum + amount_z$	50	75	110	285
t <sub>11</sub>	1	commit	50	75	110	285

- Other concurrency related problems
  - nonrepeatable read (unrepeatable read) occurs when a transaction  $T_1$  reads the same row multiple times, but obtains different subsequent values, because another transaction  $T_2$  updated this row in the meantime
  - phantom reads can occur when a transaction  $T_2$  is executing insert or delete operations on a set of rows that are being read by a transaction  $T_1$

### Schedules and Serial Schedules

- A schedule S is a set of n transactions, and a sequential ordering over the statements of these transactions, for which the following property holds:
  - "For each transaction T that participates in a schedule S and for all statements  $s_i$  and  $s_j$  that belong to the same transaction T: if statement  $s_i$  precedes statement  $s_j$  in T, then  $s_i$  is scheduled to be executed before  $s_i$  in S."
- Schedule preserves the ordering of the individual statements within each transaction but allows an arbitrary ordering of statements between transactions

### Schedules and Serial Schedules

- Schedule S is serial if all statements s<sub>i</sub> of the same transaction T are scheduled consecutively, without any interleave with statements from a different transaction
- Serial schedules prevent parallel transaction execution
- We need a non-serial, correct schedule!

### Serializable Schedules

- A serializable schedule is a non-serial schedule which is equivalent to a serial schedule
- 2 schedules S<sub>1</sub> and S<sub>2</sub> (with the same transactions T<sub>1</sub>, T<sub>2</sub>, ..., T<sub>n</sub>) are equivalent if
  - For each operation read<sub>x</sub> of  $T_i$  in  $S_1$  the following holds: if a value x that is read by this operation, was last written by an operation write<sub>x</sub> of a transaction  $T_i$  in  $S_1$ , then that same operation read<sub>x</sub> of  $T_i$  in  $S_2$  should read the value of x, as written by the same operation write<sub>x</sub> of  $T_i$  in  $S_2$
  - For each value x that is affected by a write operation in these schedules, the last write operation write<sub>x</sub> in schedule  $S_1$ , as executed as part of transaction  $T_i$ , should also be the last write operation on x in schedule  $S_2$ , again as part of transaction  $T_i$ .

### Serializable Schedules

	schedule S₁ serial schedule		schedule S2 non serial schedule	
time	T <sub>1</sub>	T <sub>2</sub>	T <sub>1</sub>	<i>T</i> <sub>2</sub>
t <sub>1</sub> t <sub>2</sub> t <sub>3</sub> t <sub>4</sub> t <sub>5</sub> t <sub>6</sub> t <sub>7</sub> t <sub>8</sub> t <sub>10</sub> t <sub>11</sub> t <sub>12</sub> t <sub>13</sub> t <sub>14</sub> t <sub>15</sub> t <sub>16</sub> t <sub>17</sub>	<pre>begin transaction read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> + 50 write(amount<sub>x</sub>) read(amount<sub>y</sub>) amount<sub>y</sub> = amount<sub>y</sub> - 50 write(amount<sub>y</sub>) end transaction</pre>	<pre>begin transaction read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> x 2 write(amount<sub>x</sub>) read(amount<sub>y</sub>) amount<sub>x</sub> = amount<sub>x</sub> x 2 write(amount<sub>y</sub>) end transaction</pre>	write(amount <sub>y</sub> ) end transaction	<pre>begin transaction read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> x 2 write(amount<sub>x</sub>) read(amount<sub>y</sub>) amount<sub>y</sub> = amount<sub>y</sub> x 2 write(amount<sub>y</sub>) end transaction</pre>

### Serializable Schedules

- A precedence graph can be drawn to test a schedule for serializability
  - create a node for each transaction T<sub>i</sub>
  - create a directed edge  $T_i \rightarrow T_j$  if  $T_j$  reads a value after it was written by  $T_i$
  - create a directed edge  $T_i \rightarrow T_j$  if  $T_j$  writes a value after it was read by  $T_i$
  - create a directed edge  $T_i \rightarrow T_j$  if  $T_j$  writes a value after it was written by  $T_i$
- If precedence graph contains a cycle, the schedule is not serializable.
  - E.g., in the previous example, S<sub>2</sub> contains a cycle

### Optimistic and Pessimistic Schedulers

- Scheduler applies scheduling protocol
- Optimistic protocol
  - conflicts between simultaneous transactions are exceptional
  - transaction's operations are scheduled without delay
  - when transaction is ready to commit, it is verified for conflicts
  - if no conflicts, transaction is committed. Otherwise, rolled back.
- Pessimistic protocol
  - it is likely that transactions will interfere and cause conflicts
  - execution of transaction's operations delayed until scheduler can schedule them in such a way that chance of conflicts is minimized
  - will reduce the throughput to some extent
  - E.g., a serial scheduler

### Optimistic and Pessimistic Schedulers

- Locking can be used for optimistic and pessimistic scheduling
  - Pessimistic scheduling: locking used to limit the simultaneity of transaction execution
  - Optimistic scheduling: locks used to detect conflicts during transaction execution
- Timestamping
  - Read and write timestamps are attributes associated with a database object
  - Timestamps are used to enforce that a set of transactions' operations is executed in the appropriate order

## Locking and Locking Protocols

- Purposes of Locking
- Two-Phase Locking Protocol (2PL)
- Cascading Rollbacks
- Dealing with Deadlocks
- Isolation Levels
- Lock Granularity

## Purposes of Locking

- Purpose of *locking* is to ensure that, in situations where different concurrent transactions attempt to access the same database object, access is only granted in such a way that no conflicts can occur
- A lock is a variable that is associated with a database object, where the variable's value constrains the types of operations that are allowed to be executed on the object at that time
- Lock manager is responsible for granting locks (locking) and releasing locks (unlocking) by applying a locking protocol

## Purposes of Locking

- An exclusive lock (x-lock or write lock) means that a single transaction acquires the sole privilege to interact with that specific database object at that time
  - no other transactions are allowed to read or write it
- A shared lock (s-lock or read lock) guarantees that no other transactions will update that same object for as long as the lock is held
  - other transactions may hold a shared lock on that same object as well, however they are only allowed to read it

## Purposes of Locking

- If a transaction wants to update an object, an exclusive lock is required
  - only acquired if no other transactions hold any lock on the object
- Compatibility matrix

Type of lock(s) currently held on object

Type of lock requested

	unlocked	shared	exclusive
unlock shared	- yes	yes yes	yes no
exclusive	yes yes	no	no

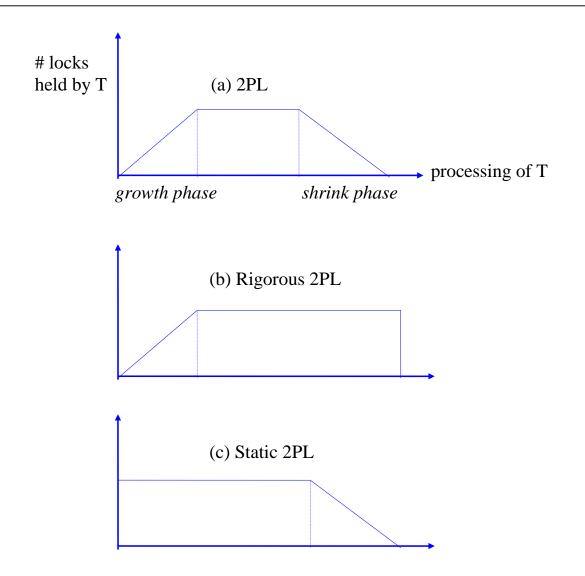
### Purposes of Locking

- Lock manager implements locking protocol
  - set of rules to determine what locks can be granted in what situation (based on e.g. compatibility matrix )
- Lock manager also uses a lock table
  - which locks are currently held by which transaction,
     which transactions are waiting to acquire certain locks,
     etc.
- Lock manager needs to ensure 'fairness' of transaction scheduling to, e.g., avoid starvation

- 2PL locking protocol works as follows:
  - Before a transaction can read (update) a database object, it should acquire a shared (exclusive) lock on that object
  - 2. Lock manager determines if requested locks can be granted, based on compatibility matrix
  - 3. Acquiring and releasing locks occurs in 2 phases
    - growth phase: locks can be acquired but no locks can be released
    - shrink phase: locks are gradually released, and no additional locks can be acquired

#### Variants

- Rigorous 2PL: transaction holds all its locks until it is committed
- Static 2PL (Conservative 2PL): transaction acquires all its locks right at the start of the transaction



#### Lost update problem with locking

time	$T_1$	$T_2$	$amount_x$
t <sub>1</sub> t <sub>2</sub> t <sub>3</sub> t <sub>4</sub> t <sub>5</sub> t <sub>6</sub> t <sub>7</sub> t <sub>8</sub> t <sub>9</sub> t <sub>10</sub>	begin transaction x-lock(amount <sub>x</sub> ) wait wait wait wait read(amount <sub>x</sub> ) amount <sub>x</sub> = amount <sub>x</sub> - 50 write(amount <sub>x</sub> ) commit	<pre>begin transaction x-lock(amount<sub>x</sub>) read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> + 120 write(amount<sub>x</sub>) commit unlock(amount<sub>x</sub>)</pre>	100 100 100 100 220 220 220 220 220 220
$t_{11}$ $t_{12}$	unlock(amount <sub>x</sub> )		170

Uncommitted dependency problem with locking

time	T <sub>1</sub>	$T_2$	amount $_{x}$
$t_{\scriptscriptstyle 1}$		begin transaction	100
$t_{2}$		$x$ -lock(amount $_x$ )	100
$t_3$		$read(amount_x)$	100
$t_4$	begin transaction	$amount_x = amount_x + 120$	100
t <sub>5</sub>	$x-lock(amount_x)$	$write(amount_x)$	220
$t_{6}$	wait	rollback	100
t <sub>7</sub>	wait	$unlock(amount_x)$	100
t <sub>8</sub>	$read(amount_x)$	, ,	100
$t_9$	$amount_x = amount_x - 50$		100
t <sub>10</sub>	$write(amount_x)$		50
t <sub>11</sub>	commit		50
t <sub>12</sub>	$unlock(amount_x)$		50

### Cascading Rollback

- Revisit the uncommitted dependency problem
  - problem is resolved if T<sub>2</sub> holds all its locks until it is rolled back
  - with 2PL protocol, locks can already be released before the transaction commits or aborts (shrink phase)

time	$T_1$	$T_2$	$amount_x$
t <sub>1</sub> t <sub>2</sub> t <sub>3</sub> t <sub>4</sub> t <sub>5</sub> t <sub>6</sub> t <sub>7</sub> t <sub>8</sub> t <sub>9</sub> t <sub>10</sub> t <sub>11</sub> t <sub>12</sub>	<pre>begin transaction x-lock(amount<sub>x</sub>) wait read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> - 50 write(amount<sub>x</sub>) commit unlock(amount<sub>x</sub>)</pre>	<pre>begin transaction x-lock(amount<sub>x</sub>) read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> + 120 write(amount<sub>x</sub>) unlock(amount<sub>x</sub>)</pre>	100 100 100 100 220 220 220 220 170 170

### Cascading Rollback

- Before transaction T<sub>1</sub> can be committed, the DBMS should ensure that all transactions that made changes to data items that were subsequently read by T<sub>1</sub> are committed first
- If transaction  $T_2$  is rolled back, all uncommitted transactions  $T_u$  that have read values written by  $T_2$  need to be rolled back
- All transactions that have in their turn read values written by the transactions T<sub>II</sub> need to be rolled back as well, and so forth
- Cascading rollbacks should be applied recursively
  - can be time-consuming
  - best way to avoid this, is for all transactions to hold their locks until they have reached the 'committed' state (e.g., rigorous 2PL)

### Dealing with Deadlocks

- A deadlock occurs if 2 or more transactions are waiting for one another's' locks to be released
- Example

time	$T_1$	$T_2$
t <sub>1</sub> t <sub>2</sub> t <sub>3</sub> t <sub>4</sub> t <sub>5</sub> t <sub>6</sub> t <sub>7</sub>	<pre>begin transaction x-lock(amount<sub>x</sub>) read(amount<sub>x</sub>) amount<sub>x</sub> = amount<sub>x</sub> - 50 write(amount<sub>x</sub>) x-lock(amount<sub>y</sub>) wait wait</pre>	<pre>begin transaction x-lock(amounty) read(amounty) amounty = amounty - 30 write(amounty) x-lock(amountx) wait</pre>

### Dealing with Deadlocks

- Deadlock prevention can be achieved by static 2PL
  - transaction must acquire all its locks upon the start
- Detection and resolution
  - wait for graph consisting of nodes representing active transactions and directed edges  $T_i \rightarrow T_j$  for each transaction  $T_i$  that is waiting to acquire a lock currently held by transaction  $T_i$
  - deadlock exists if the wait for graph contains a cycle
  - victim selection

- Level of transaction isolation offered by 2PL may be too stringent
- Limited amount of interference may be acceptable for better throughput
- Long-term lock is granted and released according to a protocol, and is held for a longer time, until the transaction is committed
- A short-term lock is only held during the time interval needed to complete the associated operation
  - use of short-term locks violates rule 3 of the 2PL protocol
  - can be used to improve throughput!

#### Isolation levels

- Read uncommitted is the lowest isolation level. Long-term locks are not taken into account; it is assumed that concurrency conflicts do not occur or simply that their impact on the transactions with this isolation level are not problematic. This isolation level is typically only allowed for read-only transactions, which do not perform updates anyway.
- Read committed uses long-term write locks, but short-term read locks. In this way, a transaction is guaranteed not to read any data that are still being updated by a yet uncommitted transaction. This resolves the lost update as well as the uncommitted dependency problem. However, the inconsistent analysis problem may still occur with this isolation level, as well as nonrepeatable reads and phantom reads.

- Isolation levels (contd.)
  - Repeatable read uses both long-term read locks and write locks.
     Thus, a transaction can read the same row repeatedly, without interference from insert, update or delete operations by other transactions. Still, the problem of phantom reads remains unresolved with this isolation level.
  - Serializable is the strongest isolation level and corresponds roughly to an implementation of 2PL. Now, phantom reads are also avoided.
     Note that in practice, the definition of serializability in the context of isolation levels merely comes down to the absence of concurrency problems, such as nonrepeatable reads and phantom reads.

Isolation level	Lost update	Uncommitted	Inconsistent	Nonrepeatable	Phantom
		dependency	analysis	read	read
Read uncommitted	Yes	Yes	Yes	Yes	Yes
Read committed	No	No	Yes	Yes	Yes
Repeatable read	No	No	No	No	Yes
Serializable	No	No	No	No	No

### **Lock Granularity**

- Database object for locking can be a tuple, a column, a table, a tablespace, a disk block, etc.
- Trade-off between locking overhead and transaction throughput
- Many DBMSs provide the option to have the optimal granularity level determined by the database system

### **ACID** Properties of Transactions

- ACID stands for Atomicity, Consistency, Isolation and Durability
- Atomicity guarantees that multiple database operations that alter the database state can be treated as one indivisible unit of work
  - recovery manager can induce rollbacks where necessary, by means of UNDO operations
- Consistency refers to the fact that a transaction, if executed in isolation, renders the database from one consistent state into another consistent state
  - developer is primary responsible
  - also an overarching responsibility of the DBMS's transaction management system

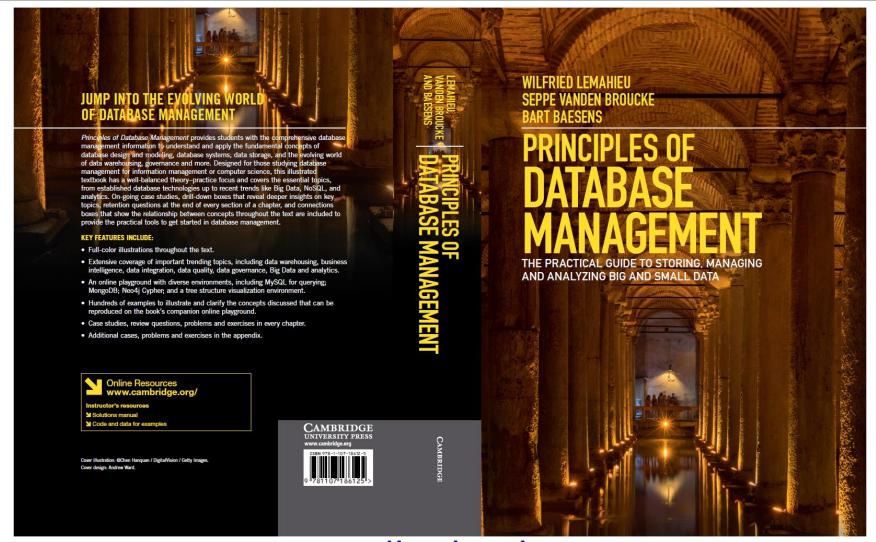
### **ACID** Properties of Transactions

- Isolation denotes that, in situations where multiple transactions are executed concurrently, the outcome should be the same as if every transaction were executed in isolation
  - responsibility of the concurrency control mechanisms of the DBMS, as coordinated by the scheduler
- Durability refers to the fact that the effects of a committed transaction should always be persisted into the database
  - Responsibility of recovery manager (e.g. by REDO operations or data redundancy)

#### Conclusions

- Transactions, Recovery and Concurrency Control
- Transactions and Transaction Management
- Recovery
- Concurrency Control
- The ACID Properties of Transactions

### More information?



www.pdbmbook.com