



Advanced Database Systems

Spring 2024

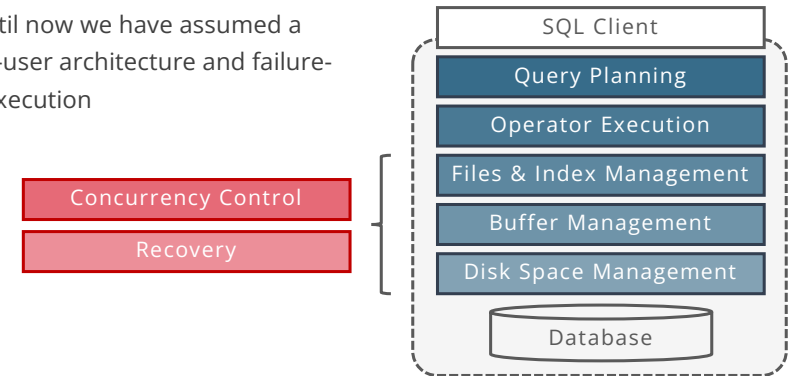
Lecture #24: Transactions

R&G: Chapters 16 & 17

1

ARCHITECTURE OF A DBMS

Up until now we have assumed a single-user architecture and failure-free execution



2

MOTIVATION

We both change the same record in a table at the same time.

How to avoid race condition?



Concurrency Control

You transfer £100 between bank accounts but there is a power failure.

What is the correct database state?



Recovery

Both concurrency control and recovery are based on a concept of transactions with **ACID** properties

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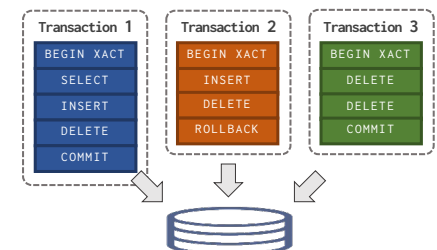
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TRANSACTIONS

A **transaction** is the execution of a sequence of operations (e.g., SQL queries) on a shared database to perform some higher-level function

Basic unit of change in a DBMS

Partial transactions are not allowed!



4

4

USER PERSPECTIVE: TRANSACTIONS

5

Transaction (abbr. txn) = **group of operations** the user wants the DBMS to treat “as one”

A new transaction starts with the **BEGIN** command

The transaction stops with either **COMMIT** or **ABORT (ROLLBACK)**

If commits, all changes are saved

If aborts, all changes are undone (as if the txn never executed at all)

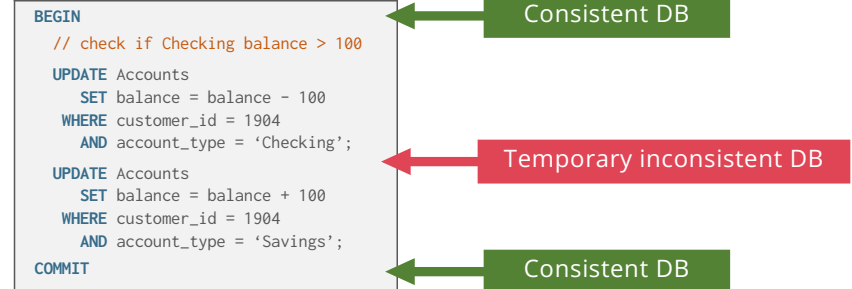
Abort can be either self-inflicted or caused by DBMS

5

TRANSACTION EXAMPLE

6

Transfer £100 from Checking to Savings account of user 1904



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TRANSACTION EXAMPLE

7

Transfer £100 from Checking to Savings account of user 1904

```
BEGIN
// check if Checking balance > 100
UPDATE Accounts
SET balance = balance - 100
WHERE customer_id = 1904
AND account_type = 'Checking';
UPDATE Accounts
SET balance = balance + 100
WHERE customer_id = 1904
AND account_type = 'Savings';
COMMIT
```

How to check if balance > 100?

Outside DBMS using another language

E.g., in Java or PHP code

Inside DBMS using **stored procedures**
expressed in PL/SQL or T-SQL

PL/SQL = SQL + procedural constructs such as
if-then-else, loops, variables, functions...

7

DATABASE PERSPECTIVE

8

A transaction may carry out many operations on the data retrieved from the database

However, the DBMS is only concerned about what data is read/written from/to the database

Changes to the “outside world” are beyond scope of the DBMS

8

TRANSACTIONS: FORMAL DEFINITION

9

Database = fixed set of named data objects (A, B, C, ...)

Transactions access object A using read A and write A, for short R(A) and W(A)

In a relational DBMS, an object can be an attribute, record, page, or table

Transaction = sequence of read and write operations

$T = \langle R(A), W(A), W(B), \dots \rangle$

DBMS's abstract view of a user program

9

STRAWMAN EXECUTION

10

Execute each txn **one-by-one** (serial order) as they arrive in the DBMS

One and only one txn can be running at the same time in the DBMS

Before a txn starts, **copy** the entire database to a new file and make all changes to that file

If the txn completes successfully, overwrite the original file with the new one

If the txn fails, just remove the dirty copy

SQLite executes transactions in serial order

10

CONCURRENT EXECUTION

11

A better approach is to allow **concurrent execution** of independent transactions

Why do we want that?

Better resource utilization and throughput (txns/sec)

Use the CPU while another txn is waiting for the disk

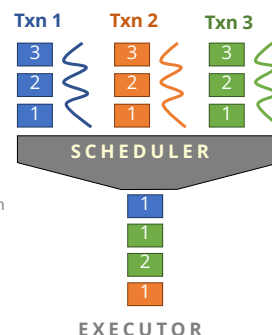
Multicore: Ideally, scale throughput in the # of CPUs

Decreased response times to users

One txn's latency need not be dependent on another unrelated txn

Or that's the hope

But we also would like **correctness** and **fairness**



11

TRANSACTION GUARANTEES: ACID

12

Atomicity: All actions in the txn happen, or *none* happen

"all or nothing"

Consistency: If each txn is consistent and the DB *starts* consistent, then it *ends* up consistent

"it looks correct to me"

Isolation: Execution of one txn is isolated from that of other txns

"as if alone"

Durability: If a txn commits, its effects persist

"survive failures"

12

ACID PROPERTIES: ATOMICITY

13

Two possible outcomes of executing a transaction:

Commit after completing all actions

Abort (or be aborted by the DBMS) after executing some actions

The DBMS guarantees that transactions are **atomic**

From user's point of view:

A transaction always either executes all its actions or executes no actions at all

Example:

Take £100 from account A, but then a power failure happens before crediting account B

When the DBMS comes back online, what should be the correct state of the database?

13

MECHANISMS FOR ENSURING ATOMICITY

14

Approach #1: Logging

DBMS logs all actions so that it can undo the actions of aborted transactions

Write-ahead logging is used by almost all modern database systems

Efficiency reasons: random writes turned into sequential writes through a log

Audit trail: everything done by the app is recorded

Approach #2: Shadow Paging (copy-on-write)

DBMS makes copies of pages and transactions make changes to those copies

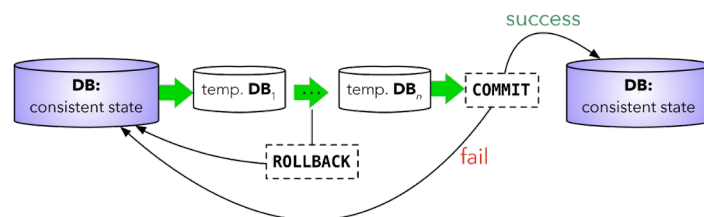
Only when the transaction commits is the page made visible to others

Few database systems do this (CouchDB, LMDB)

14

ACID PROPERTIES: CONSISTENCY

15



Database consistency

The database accurately models the real world and follows integrity constraints

Transactions in the future see the effects of transactions committed in the past

Transaction consistency

If the database is consistent before the txn starts (running alone), it will be also consistent after

Transaction consistency is the application's responsibility!

15

ACID PROPERTIES: ISOLATION

16

Users submit transactions, and each transaction executes as if it was running alone

The DBMS achieves concurrency by interleaving actions (read/writes of database objects) of various transactions

How do we achieve this?

16

MECHANISMS FOR ENSURING ISOLATION

17

A **concurrency control** protocol is how the DBMS decides the proper interleaving of operations from multiple transactions

Two main categories:

Pessimistic: Don't let problems arise in the first place

Optimistic: Assume conflicts are rare, deal with them after they happen

17

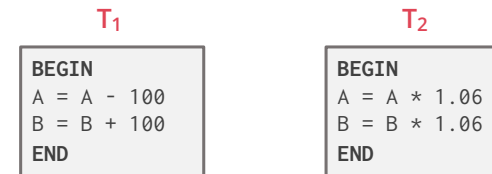
EXAMPLE

18

Assume at first accounts **A** and **B** each have £1000

T₁ transfers £100 from **A** to **B**

T₂ credits both accounts with 6% interest



18

EXAMPLE

20

Assume at first accounts **A** and **B** each have £1000

*What are the possible outcomes of running **T₁** and **T₂**?*

Many! But **A+B** should be $2000 * 1.06 = 2120$

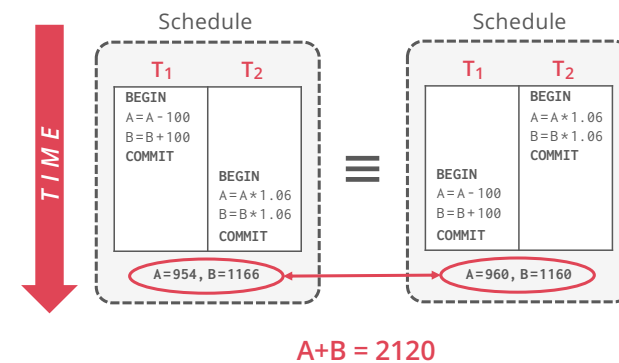
There is no guarantee that **T₁** will execute before **T₂** or vice versa, if both are submitted together

But the net effect must be equivalent to these two transactions running **serially** in some order

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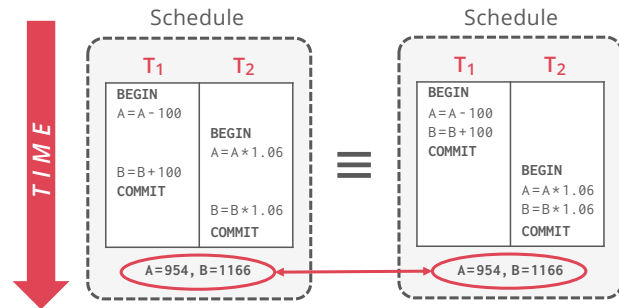
EXAMPLE: SERIAL EXECUTION

22



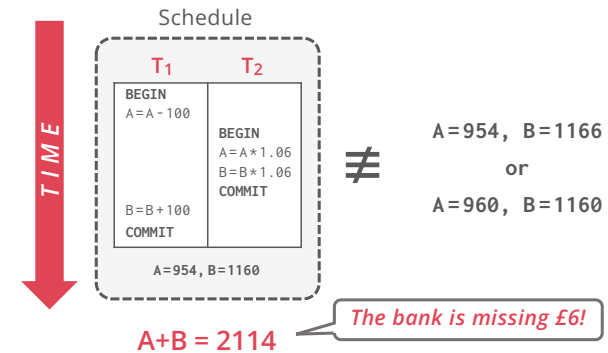
22

EXAMPLE: INTERLEAVING (GOOD)



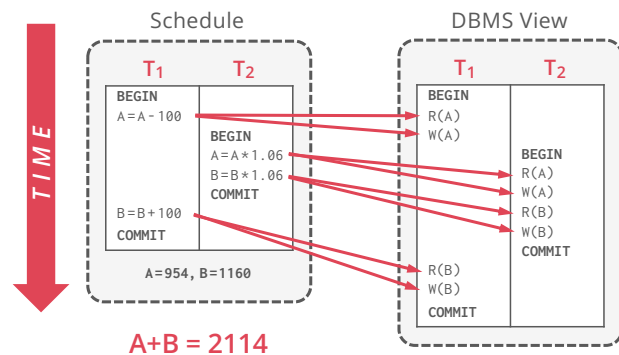
24

EXAMPLE: INTERLEAVING (BAD)



25

EXAMPLE: INTERLEAVING (BAD)



26

CORRECTNESS

How do we judge whether a schedule is correct?

If the schedule is **equivalent** to some **serial execution**

Schedule **S** for a set of transactions { T₁, ..., T_n }

S contains *all* steps of all transactions and order among steps in each T_i is *preserved*

S = { (T₁, read B), (T₂, read A), (T₂, write B), (T₁, write A) }

for short, **S** = { R₁(B), R₂(A), W₂(B), W₁(A) }

27

FORMAL PROPERTIES OF SCHEDULES

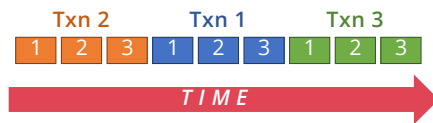
28

Equivalent schedules

For any database state, the effect of executing the first schedule is identical to the effect of executing the second schedule
Does not matter what the higher-level operations are!

Serial schedule (no concurrency)

A schedule that does not interleave the actions of different transactions



28

FORMAL PROPERTIES OF SCHEDULES

29

Serializable schedule

A schedule that is equivalent to some serial execution of the transactions
If each transaction preserves consistency, every serializable schedule preserves consistency

Serializability

Less intuitive notion of correctness compared to transaction initiation time or commit order

But it provides the DBMS with flexibility in scheduling operations

More flexibility means **better parallelism**

29

CONFLICTING OPERATIONS

30

We need a formal notion of equivalence that can be implemented efficiently based on the notion of "conflicting" operations

Two operations **conflict** if

They are by different transactions

They are on the same object and at least one of them is a write

Interleaved execution anomalies:

Read-Write conflicts (R-W)

Write-Read conflicts (W-R)

Write-Write conflicts (W-W)

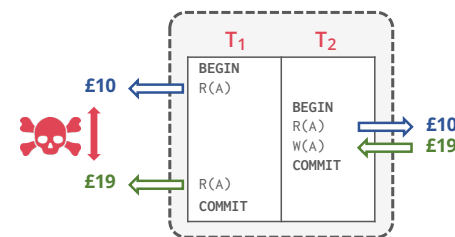
30

READ-WRITE CONFLICTS

31

Unrepeatable Reads

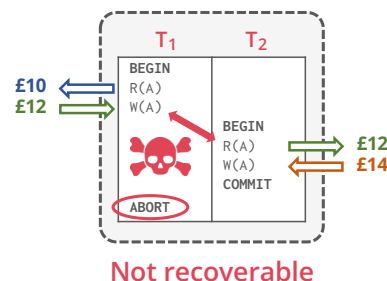
Violation of isolation, since the result is not as if it happened in a serial schedule



31

WRITE-READ CONFLICTS

Reading Uncommitted Data ("Dirty Reads")

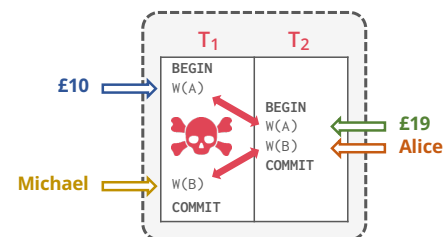


32

32

WRITE-WRITE CONFLICTS

Overwriting Uncommitted Data ("Lost Update")



33

33

FORMAL PROPERTIES OF SCHEDULES

Given these conflicts, we can now understand what it means for a schedule to be serializable

This is to check whether schedules are correct

This is not how to generate a correct schedule

There are levels of serializability

Conflict Serializability

Most DBMS try to support this

View Serializability

No DBMS supports this

34

34

CONFLICT SERIALIZABLE SCHEDULES

Two schedules are **conflict equivalent** iff

They involve the same actions of the same transactions

Every pair of conflicting actions is ordered in the same way

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

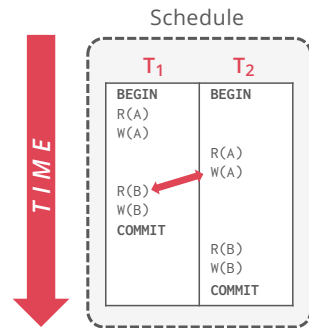
Intuition: Schedule **S** is conflict serializable if you can transform **S** into a serial schedule by swapping consecutive non-conflicting operations of different txns

35

35

CONFLICT SERIALIZABILITY: INTUITION

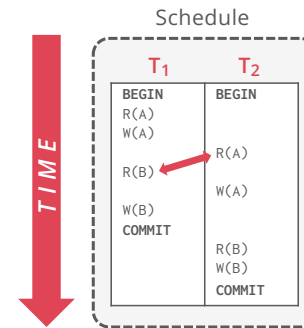
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36

CONFLICT SERIALIZABILITY: INTUITION

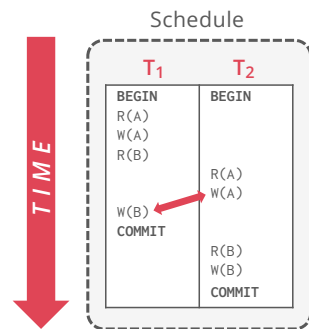
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37

CONFLICT SERIALIZABILITY: INTUITION

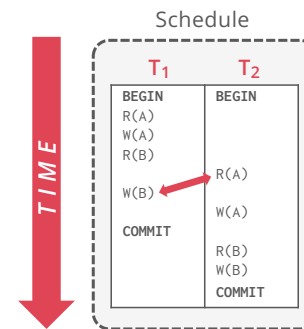
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38

CONFLICT SERIALIZABILITY: INTUITION

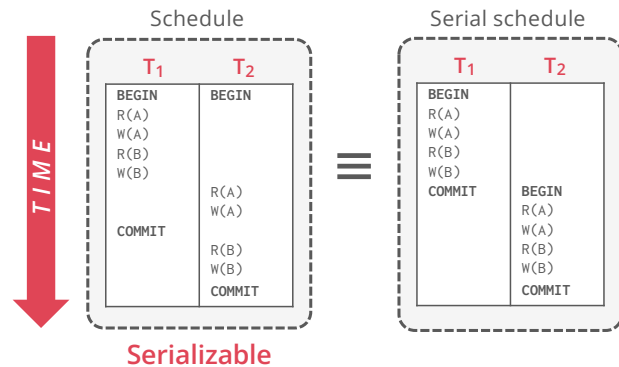
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CONFLICT SERIALIZABILITY: INTUITION

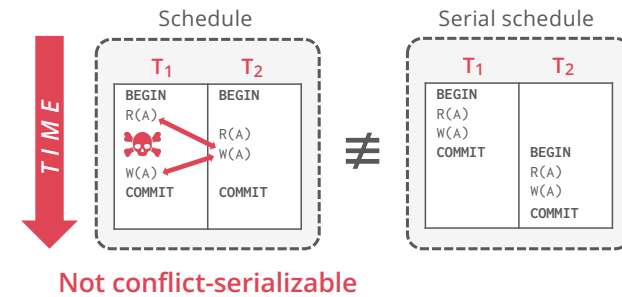
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CONFLICT SERIALIZABILITY: INTUITION

41



41

SERIALIZABILITY

42

Swapping operations is easy when there are only two txns in the schedule

But it's cumbersome when there are many txns

Are there any faster algorithms to figure this out other than transposing operations?

42

DEPENDENCY GRAPHS

43

Dependency graph for a schedule

One node per transaction

Edge from T_i to T_j if:

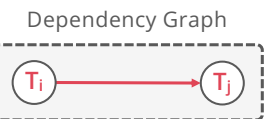
Operation O_i of T_i conflicts with an operation O_j of T_j and

O_i appears earlier in the schedule than O_j

Also known as a **conflict graph** or **precedence graph**

A schedule is conflict-serializable if and only if its dependency graph is acyclic

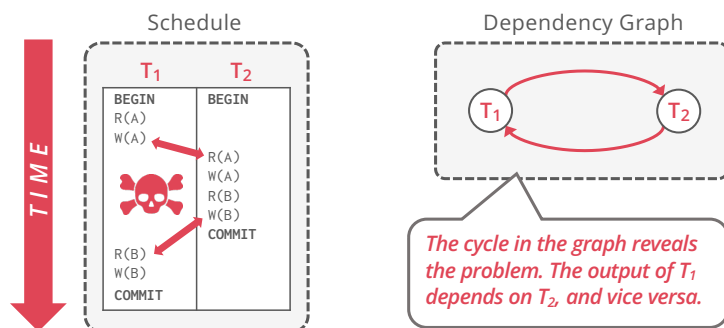
Equivalent serial schedule can be obtained by sorting the graph topologically



43

EXAMPLE #1

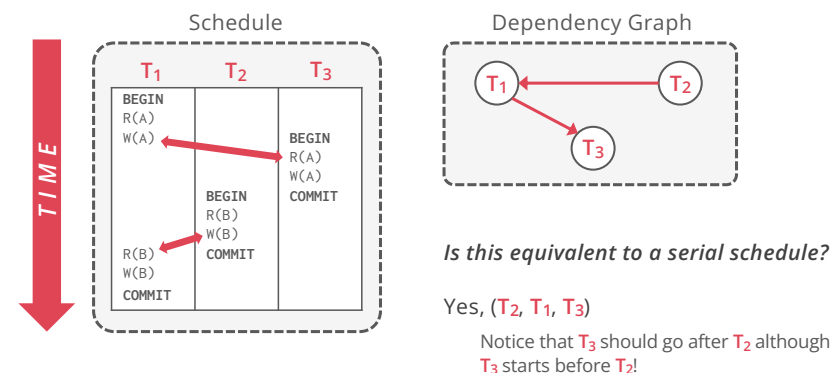
44



44

EXAMPLE #2 - THREESOME

45



45

VIEW SERIALIZABILITY

48

Alternative (weaker) notion of serializability

Schedule S_1 and S_2 are **view equivalent** iff

If T_1 reads initial value of A in S_1 , then T_1 also reads initial value of A in S_2

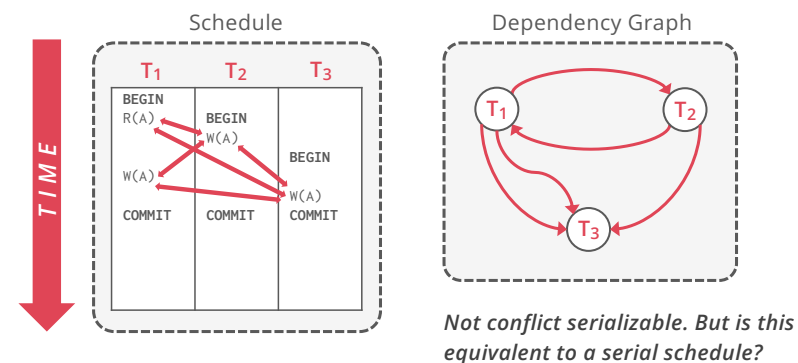
If T_1 reads value of A written by T_2 in S_1 , then T_1 also reads value of A written by T_2 in S_2

If T_1 writes final value of A in S_1 , then T_1 also writes final value of A in S_2

48

VIEW SERIALIZABILITY

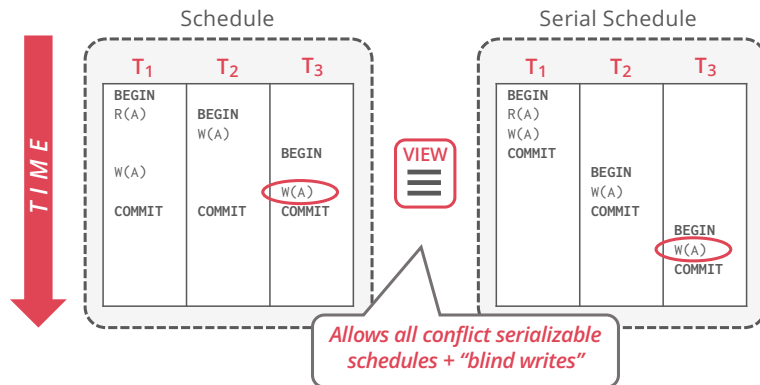
49



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VIEW SERIALIZABILITY

50



50

SERIALIZABILITY

51

Conflict serializability

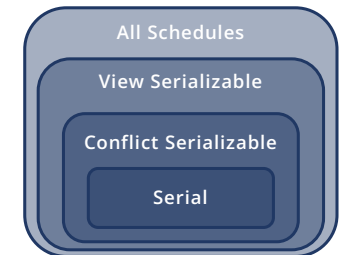
Can enforced efficiently
All DBMSs support it

View serializability

Admits (slightly) more schedules than CS
But it is difficult to enforce efficiently
No DBMS supports it

Neither definition allows all "serializable" schedules

They do not understand the meaning of the operations or the data



51

ACID PROPERTIES: DURABILITY

52

All of the changes of committed transactions must be persistent

No torn updates

No changes from failed transactions

The DBMS uses either logging or shadow paging to ensure that all changes are durable

More about logging in next lectures

52

SUMMARY

53

ACID Transactions

Atomicity: All or nothing

Consistency: Only valid data

Isolation: No interference

Durability: Committed data persists

Serializability

Serializable schedules

Conflict & view serializability

Checking for conflict serializability

Concurrency control and recovery are among the most important functions provided by a DBMS

53