Transactions

CSEP 544 M onday April 5,2004 A lan Fekete (U of Sydney)

0 verview

- Transactions
 - Concept
 - ACD properties
 - Exam ples and counter-exam ples
- Im plem entation techniques
- W eak isolation issues

FurtherReading

- Transaction concept: G arcia-M olina et al Chapter 8.6
- Im plem entation techniques: Garcia-Molina et al. Chapters 17-19
- B ig picture: "Principles of Transaction Processing" by P.B emstein and E.N ew com er
- The gory details: "Transaction Processing" by J. Gray and A. Reuter

Definition

- A transaction is a collection of one orm ore operations on one orm ore databases, which reflects a single real-world transition
 - In the real world, this happened (com pletely) or it didn'thappen at all (A tom icity)
- Commerce examples
 - Transferm oney between accounts
 - Purchase a group of products
- Student record system
 - Registerfora class (eitherw aitlist or allocated)

Coding a transaction

- Typically a computer-based system doing OLTP has a collection of application programs
- Each program is written in a high-level language, which calls DBM S to perform individual SQL statem ents
 - Eitherthrough en bedded SQL converted by preprocessor
 - Orthrough Call Level Interface where application constructs appropriate string and passes it to DBM S

W hywrite program s?

- W hy not just write a SQL statem entro express "w hat you w ant"?
- An individual SQL statem ent can't do enough
 - It can't update multiple tables
 - It can't perform complicated logic (conditionals, looping, etc)

сомм ш

- A sapp program is executing, it is "in a transaction"
- Program can execute COMMIT
 - SQL comm and to finish the transaction successfully
 - The next SQ L statem entw ill autom atically start a new transaction

W aming

- The idea of a transaction is hard to see when interacting directly with DBMS, instead of from an app program
- U sing an interactive query interface to DBM S, by default each SQL statement is treated as a separate transaction (with implicit COM M IT at end) unless you explicitly say "START TRANSACTION"

A Limitation

- Som e system s rule out having both DM L and DDL statem ents in a single transaction
- IE ., you can change the schem a, or change the data, but not both

ROLLBACK

- If the app gets to a place where it can't complete the transaction successfully, it can execute ROLLBACK
- This causes the system to "abort" the transaction
 - The database returns to the state w ilhout any of the previous changes m ade by activity of the transaction

Reasons for Rollback

- U serchanges theirm ind ("ctl-C"/cancel)
- App program finds a problem
 - Eg qty on hand < qty being sold
- System -initiated abort
 - System crash
 - Houækæping
 - Eg due to tim eouts

A tom icity

- Two possible outcom es for a transaction - It commits: all the changes are made
 - Itaborts: no changes are m ade
- That is, transaction's activities are all or nothing

Integrity

- A real world state is reflected by collections of values in the tables of the DBM S
- But not every collection of values in a table makes sense in the real world
- The state of the tables is restricted by integrity constraints
- Eg account num ber is unique
- Eg stock am ount can't be negative

Integrity (ctd)

- M any constraints are explicitly declared in the schem a
 - So the DBM S will enforce them
 - Especially: prim any key (som e colum n's values are non null, and different in every row) $\;$
 - And referential integrity: value of foreign key column is actually found in another "referenced" table
- Som e constraints are not declared
 They are business rules that are supposed to hold

Consistency

- Each transaction can be written on the assumption that all integrity constraints hold in the data, before the transaction runs
- It must make sure that its changes have the integrity constraints still holding
- How ever, there are allow ed to be interm ediate states where the constraints do not hold
- A transaction that does this, is called consistent
- This is an obligation on the program m er
 - U sually the organization has a testing/checking and sign-off m echanism before an application program is allowed to get installed in the production system

System obligations

- Provided the app program s have been written properly,
- Then the DBMS is supposed to make sure that the state of the data in the DBMS reflects the real world accurately, as affected by all the committed transactions

Local to global reasoning

- O rganization checks each app program as a separate task
 - Each app program numning on its own m oves from state w here integrity constraints are valid to another state w here they are valid
- System makes sure there are no nasty interactions
- So the final state of the data will satisfy all the integrity constraints

Example - Tables

- System form anaging inventory
- InStore (prod D, store D, qty)
- Product(prodID, desc, m nfr, ..., W arehouseQ ty)
- Order(ordenNo,prodD,qty,rcvd,....)
- Rowsneverdeleted!
 Untilgoodsreceived, rovd is null.
- A lso Store, Staff, etc etc

Example - Constraints

• Prim ary keys

- InStore: (prodID , storeID)
- Product:prodID
- 0 rder: orderId
- etc
- Foreign keys
 - Instore prodID references Product.prodID
 - etc

Example - Constraints

- Data values
 - Instore qty >= 0
 - 0 idenicvd <= cuinent_date or 0 idenicvd is null
- Business rules
 - for each p, (Sum of qty for product p am ong all stores and warehouse) >= 50
 - foreach p, (Sum of gty for product p am ong all stores and warehouse) >= 70 or there is an outstanding order ofproductp

Example - transactions

- MakeSale (store, product, qty)
- A coeptR eturn (store, product, qty)
- R cv0 rder(order)
- Restock (store, product, qty) - //m ove from warehouse to store
- ClearOut(store, product) - //m ove all held from store to w arehouse
- Transfer(from, to, product, qty)
 - //m ove goods betw een stores

Example - ClearOut

- Validate Input (appropriate product, store)
- SELECT qty INTO tmp FROM InStore
- W HERE StoreID = store AND prodID = product
- UPDATE Product SET W arehouseQ ty = W arehouseQ ty + tm p
- WHERE prodID = product UPDATE InStore
- SET Q ty = 0
- W HERE prodID = product • сомм т

Example - Restock

- Inputvalidation
- Valid product, store, qty
 Am ount of product in warehouse >= qty
 UPD ATE Product
- SET W arehouseQ ty = W arehouseQ ty rqty
- W HERE prodID = product
- If no record yet for product in store INSERT INTO InStore (product, store, qty)
- Else, UPDATE InStore
- SET qty = qty + qty W HERE prod \mathbb{D} = product and store \mathbb{D} = store
- COMMI

Example - Consistency

- How to write the app to keep integrity holding?
- M akeSale logic:
 - Reduce Instore qty
 - Calculate sum over all stores and warehouse
 - If sum < 50, then ROLLBACK // Sale fails
 - If sum < 70, check for order where date is null • If none found, insertnew order for say 25

Example - Consistency

- W e don'tneed any fancy logic for the business rules in A coeptR eturn, R estock, C learO ut, Transfer

 W hy?
- W hat is logic needed for R cvO rder?

Threats to data integrity

- Need for application rollback
- System crash
- Concurrent activity
- The system has mechanisms to handle these

Application rollback

- A transaction m ay have m ade changes to the data before discovering that these aren't appropriate
 - the data is in state where integrity constraints are false
 Application executes ROLLBACK
- System must som ehow return to earlier state
 Where integrity constraints hold
- So aborted transaction has no effect at all.

Example

- W hile running M akeSale, app changes InStore to reduce qty, then checks new sum
- If the new sum is below 50, txn aborts
- System must change InStore to restore previous value of qty
 - Som ew here, system mustrem em berw hat the previous value was!

System crash

- At time of crash, an application program may be part-way through (and the data may not meet integrity constraints)
- A lso, buffering can cause problem s
 - Note that system crash bees all buffered data, restart has only disk state
 - Effects of a comm itted tan m ay be only in buffer, not yet recorded in disk state
 - Lack of coordination between flushes of different buffered pages, so even if current state satisfies constraints, the disk state m ay not

Example

- Suppose crash occurs after
- M akeSale has reduced InStore qty
 found that new sum is 65
- found there is no unfilled order
- //butbefore it has inserted new order
- Attime of crash, integrity constraint did nothold
- Restart process must clean this up (effectively aborting the twn that was in progress when the crash happened)

Concurrency

- W hen operations of concurrent threads are interleaved, the effect on shared state can be unexpected
- W ellknown issue in operating systems, thread programming
 - see 0 S textbooks on critical section
 - Java use of synchronized keyw ord

Famous anom alies

• D irty data

 One task T mads data w ritten by T 'w hile T ' is minning, then T ' aborts (so its data was not appropriate)

Lostupdate

- Two tasks T and T' both modify the same data
 T and T' both com m it
- Final state show s effects of only T, but not of T'
- Inconsistent read
 - One task T sees som e butnot all changes m ade by T '
 - The values observed m ay not satisfy integrity constraints
 - This was not considered by the program mer, so code moves into absurd path

Example – Dirty data											
	pl	sl	25		pl	eta	- 10)			
	pl	s2	70		p2	eta	- 44				
 A cceptR etum (p1 s1 50) M akeSale (p1 s2 65) Update row 1:25 -> 75 	p2	sl	60		etc	etz	e et	8			
• update row 2:70->5	etc	etc	etc								
find sum :90 //no need to insert Initial state of InStore, Product											
 //row in Order Abort. 	pl	sl	25	ľ	1	etc	10	1			
 //rollback row 1 to 35 	pl	s2	5	p2		etc	44				
• COM M II	p2	sl	60	e	etc	etc	etc	1			
Integrity constraint is false:	etc	etc	etc					1			
Sum forpl is only 40! Final state of InStore, Product											







Example – Serializable execution													
		pl	sl	30		pl	eta	2 10)				
		pl	s2	45		p2	eta	- 4	1				
 Clear Ouer 	nOut(pl,sl) MakeSale(pl,s2,20) rvTnStone:otvis30	p2	sl	60		etc	eta	et et	c				
•	update row 2:45->25	etc	etc	etc	0 rder: em ptv								
•	find sum :65 no order forp1 yet. Ir	nitial	state	of In	Stoi	e, Pi	rodu	ict, 0	ı rde				
• Add	30 to W arehouseQ ty: 10->40	pl	sl	0	I	p1	etc	40	1				
• COM	IM II	pl	s2	25	I	2	etc	44	4				
:	Insert order for pl	p2	sl	60	e	etc	etc	etc					
ľ	Execution is like serial	etc	etc	etc									
	MakeSale;ClearOut			_	pl	25	Nu	аЩ (е	ŧc				
Final state of InStore, Product, Order									er				





- A tom ic
- State show seither all the effects of txn, ornone of them
 Consistent
 - Txn m oves from a state w here integrity holds, to another w here integrity holds
- Isolated
 - Effect of twns is the same as twns running one after another (ie boks like batch m ode)
- Durable
 - O noe a txn has committed, its effects remain in the database



- If program m erw rites applications so each txn is consistent
- And DBMS provides atom ic, isolated, durable execution
 - Is actual execution has same effect as some serial execution of those twos that committed (outnot those that aborted)
- Then the final state will satisfy all the integrity constraints

NB true even though system does not know all integrity constraints!

0 verview

- Transactions
- Im plem entation Techniques
 - Ideas, not details!
 - Im plications for application program m ers
 - Implications for DBAs
- W eak isolation issues

M ain im plem entation techniques

- Logging
 - Interaction with bufferm anagem ent
 - U se in restart procedure
- Locking
- Distributed Commit

Logging

- The log is an append-only collection of entries, show ing all the changes to data that happened, in order as they happened
- Eg when T1 changes field qty in row 3 from 15 to 75, this fact is recorded as a log entry
- Log also show swhen txns start/commit/abort

A log entry

- LSN : identifier for entry, increasing values
- Txn id
- Data item involved
- 0 ld value
- N*e*w value
 - Som etim es there are separate logs for old values and new values

Extra features

- Log also records changes m ade by system itself
 - Eg when old value is restored during rollback
- Log entries are linked for easier access to past entries
 - Link to previous log entry
 - Link to previous entry for the sam e txn

Bufferm anagem ent

- Each page has place for LSN of most recent change to that page
- When a page is fetched into buffer, DBMS remembers latest LSN at that time
- Log itself is produced in buffer, and flushed to disk (appending to previously flushed parts) from tim e to tim e
- In portant rules govern when buffer flushes can occur, relative to LSN s involved
 Som etin es a flush is forced (eg log flush forced when
 - tan commits)

U sing the log

- To rollback txn T
 - Follow chain of T's log entries, backwards
 - For each entry, restore data to old value, and produce new log record show ing the restoration
 - Produce log record for "abort T"

Restart

- A flera crash, follow the log forward, replaying the changes
 - ie.re-installnew value recorded in log
- Then rollback all txns that were active at the end of the log
- Now normal processing can resume

0 ptim izations

- U se LSN s recorded in each page of data, to avoid repeating changes already reflected in page
- Checkpoints: flush pages that have been in buffer too long
 - Record in log that this has been done
 - During restart, only repeat history since last (or second-last) checkpoint

Don'tbe too confident

- Crashes can occur during rollback or restart!
 A lgorithm sm ustbe idem potent
- M ustbe sure that log is stored separately from data (on different disk anay; often replicated offsite!)
 - In case disk crash comupts data, bg allow s fixing this
 - A leo, since log is append-only, don'tw anthave random access to data m oving disk heads aw ay

Complexities

- Changes to index structures
 - A void logging every tim e index is rearranged
- Multithreading in log writing
 - U se standard O S latching to prevent different tasks corrupting the log's structure

ARES

- Until 1992, textbooks and research papers described only simple logging techniques that did not deal with com plexities
- Then C . M ohan (IBM) published a series of papers describing A R IES algorithm s
 - Papers are very hard to read, and om itcrucial details, but at least the ideas of real system s are now available!

Im plications

- For application program m er
 - Choose txn boundaries to include everything that must be atom ic
 - -UseROLLBACK to get out from a mess
- ForDBA
 - Tune forperform ance: adjust checkpoint frequency, am ount of buffer for log, etc
 - Look after the log!

M ain im plem entation techniques

- Logging
- Locking
 - Lock manager
 - Lock m odes
 - G ranularity
 - U ser control
- Distributed Commit

Lock m anager

- A structure in (volatile m em ory) in the DBM S which rem em bers which twos have set locks on which data, in which m odes
- It rejects a request to get a new lock if a conflicting lock is already held by a different twn
- NB : a lock does not actually prevent access to the data, it only prevents getting a conflicting lock
 - So data protection only com es if the right lock is requested before every access to the data

Lock m odes

- Locks can be forw riting (W), reading (R) or otherm odes
- Standard conflict rules: two W locks on the sam e data item conflict, so do one W and one R lock on the sam e data
 - How ever, two R locks do not conflict
- Thus W = exclusive, R = shared

A utom atic lock m anagem ent

- DBM S requests the appropriate lock whenever the app program submits a request to read orw rite a data item
- If lock is available, the access is perform ed
- If lock is not available, the whole txn is blocked until the lock is obtained
 - A ftera conflicting lock has been released by the other txn that held it

Strict two-phase locking

- Locks that a txn obtains are kept until the txn com pletes
 - Once the two commits or aborts, then all its locks are released (as part of the commitor rollback processing)
- Twophases:
 - Locks are being obtained (while txn runs)
 - Locks are released (when txn finished)

Serializability E • If each transaction does strict tw o-phase locking (requesting all appropriate locks), then executions are serializable • A coeptRetun(pl, Update row 1:25 //t W -bods instrict //t W -bods instrint //t W -bods







Explicit lock m anagem ent

- W ith mostDBMS, the application program can include statements to set or release locks on a table
 - Details vary
- Eglock TABLE Instore IN EXCLUSIVE MODE

Im plications

- For application program m er
 - If txn readsm any rows in one table, consider locking the whole table first
 - Considerweaker isolation (see later)
- ForDBA
 - Tune forperform ance: adjustm ax num berof boks, granularity factors
 - Possibly redesign schem a to prevent unnecessary conflicts
 - Possibly adjust query plans if locking causes problem s

Im plem entation m echanism s

- Logging
- Locking
- Distributed Commit.

Transactions across multiple DBM S

- W ithin one transaction, there can be statem ents executed on m ore than one DBM S
- To be atom ic, we still need all-or-nothing
- Thatmeans: every involved system must produce the same outcome
 - All com mit the txn
 - Orallabortit

W hy it's hard

- Im agine sending to each DBM S to say "com m it this txn T now"
- Even though this message is on its way, any DBM S might abort T spontaneously - eg.due to a system crash

NB unrelated to "two-phase locking" Two-phase com m it

- The solution is for each DBM S to first m ove to a special situation, where the txn is "prepared"
- A crash w on't abort a prepared txn, it w ill leave it in prepared state
 - So all changes made by prepared tan must be recovered during restart (including any locks held before the crash!)



Read-only optim isation

- If a txn has involved a DBM S only for reading (but no modifications at that DBM S), then it can drop out after first round, without preparing
 - The outcom e doesn't matter to it!
 - Special phase 1 reply: ReadOnly

Fault-tolerantprotocol

- The interchange of m essages between the "coordinator" (part of the TPM onitor software) and each DBM S is tricky
 - Each participantmust record things in log at specific times
 - But the protocol copes with lost messages, inopportune crashes etc

Im plications

- For application program m er
- A void putting m odifications to m ultiple databases in a single twn
 - Perform ance suffers a lot
 - W -Locks are held during the m essage exchanges, which take much longer than usual twn durations
- ForDBA
 - Monitorperform ance carefully
 - M ake sure you have DBM S that support protocol

0 verview

- Transactions
- Im plem entation techniques
- W eak isolation issues
 - Explicituse of low levels
 - U se of replicas
 - Snapshot isolation

Problem swith serializability

- The perform ance reduction from isolation is high
 Transactions are often blocked because they want to read data that another tan has changed
- Form any applications, the accuracy of the data they read is not crucial
 - eg. overbooking a plane is ok in practice
 - eg.yourbanking decisions would not be very different if you saw yesterday's balance instead of the most upto-date

A and D m atter!

- Even when isolation isn'tneeded, no one is willing to give up atom icity and durability
 - These dealw ith ${\tt m}$ odifications a txn ${\tt m}$ akes
 - W riting is less frequent than reading, so log entries and write locks are considered worth the effort

Explicit isolation levels

- A transaction can be declared to have isolation properties that are less stringent than serializability
 - How ever SQL standard says that default should be serializable (also called "level 3 isolation")
 - In practice, most system s have w eaker default level, and most type run at weaker levels!

Browse

• SET TRANACTION ISOLATION LEVEL READ UNCOM MITTED

- Donotsetread locks at all
 - 0 f course, still set w rite boks before updating data
 - If fact, system forces the txn to be read-only unless you say otherw ise
- A llow s txn to read dirty data (from a txn that will later abort)

Cursorstability

- SET TRANACTION ISOLATION LEVEL
 READ COM M M IITED <u>Mostcom m on in practice</u>
 Set mad locks but release them after the read has
 - happened • eg.when cursorm oves onto anotherelem entduring scan of the results of am ultricow query
 - ie.do nothold R -locks till txn com m its/aborts
 - D ata is not dirty, but it can be inconsistent (between reads of different item s, or even between one read and a later one of the same item)
 - Especially, weid things happen between different rows neturned by a cursor

Repeatable read

- SET TRANACTION ISOLATION LEVEL REPEATABLE READ
 - Setread locks on data item s, and hold them till twn finished, but release locks on indices as soon as index has been exam ined
 - A llow s "phantom s", row s that are not seen in a query that ought to have been (or vice versa)
 - Problem s if one two is changing the set of row s that meet a condition, while another two is retrieving that set

Stale replicas

- In m any distributed processing situations, copies of data are kept at several sites

 eg.to allow chemp/fast local reading
- If updates try to alter all replicas, they become very slow and expensive (they need two-phase comm it, and they'll abort if a rem ote site is unavailable!)
- So allow replicas to be out-of-date
- Lazy propagation of updates

 Easily managed by shipping the log across from time to time

Reading stale replicas

- If a txn reads a local replica which is a bit stale, then the value read can be out-of-date, and potentially inconsistent with other data seen by the txn
- Impact is essentially the same as READ COM M IITED

Snapshot Isolation

- M ostDBMS vendors use variants of the standard algorithm s
- How ever, one very major vendor uses a different approach: Oracle
 - Before version 7.3 it did not support ISO LATION LEVEL SER TALIZABLE at all
 - Now itallows the SQL command, butuses a different algorithm called Snapshot Isolation

Snapshot Isolation

- Read of an item does not give current value
- Instead, use the recovery log to find value that had been m ost recently com m itted at the time the txn started
 - Exception: if the txn hasm odified the item , use the value it wrote itself
- The transaction sees a "snapshot" of the database, at an earlier time
 - Intuition: this should be consistent, if the database was consistent before

Checks for conflict

- If two overlapping txns try to modify the same item , one will be aborted
- Im plem ented with write locks on m odified row s
 - NB one tan out of the conflicting pair is aborted, rather than delayed as in conventional approach



- No cost for extra time-travel versions - They are in log anyway!
- Reading is never blocked
- Prevents the usual anom alies
 - N o dirty read
 - N o lostupdate
 - N o inconsistent read

Problem swith SI

- SIdoes not alw ays give serializable executions
 - (despite 0 racle using it for "ISO LATION LEVEL SER IALIZABLE)
- Integrity Constraints can be violated
 - Even if every application is written to be consistent!







To learn more

- CSEP 545 Transaction Processing
- Taughtby Prof PhilBernstein (M icrosoft & UW adjunct)
 - author of one of the best books on the subject (and inventor of som e of the important ideas!)