CSE 444: Database Internals

Lectures 13-14 Transactions

Announcements

• Lab 2 is due TODAY

- Lab 3 will be released today, part 1 due next Monday

- HW4 is due on Wednesday

 HW3 will be released on Thursday, due next week
- 544M: Paper 3 reading is due TODAY

– Papers 4 and 5 are due on same day in a few weeks

– Write-up should be 2 to 3 pages long since 2 papers

Motivating Example





Transaction

<u>**Definition</u>**: a transaction is a sequence of updates to the database with the property that either all complete, or none completes (all-or-nothing).</u>



In ad-hoc SQL: each statement = one transaction

Motivating Example

START TRANSACTION

```
UPDATE Budget
SET money=money-100
WHERE pid = 1
```

```
UPDATE Budget
SET money=money+60
WHERE pid = 2
```

UPDATE Budget SET money=money+40 WHERE pid = 3 COMMIT (or ROLLBACK)



Without START TRANSACTION, each SQL command is a transaction

Transactions

- Major component of database systems
- Critical for most applications; arguably more so than SQL
- Turing awards to database researchers:
 - Charles Bachman 1973
 - Edgar Codd 1981 for inventing relational dbs
 - Jim Gray 1998 for inventing transactions

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
 - Database returns to a state without any of the changes made by the transaction
- Several reasons: user, application, system

ACID Properties

- Atomicity: Either all changes performed by transaction occur or none occurs
- Consistency: A transaction as a whole does not violate integrity constraints
- Isolation: Transactions appear to execute one after the other in sequence
- Durability: If a transaction commits, its changes will survive failures

What Could Go Wrong?

Why is it hard to provide ACID properties?

- Concurrent operations
 - Isolation problems
 - We saw one example earlier
- Failures can occur at any time
 - Atomicity and durability problems
 - Later lectures
- Transaction may need to abort

Different Types of Problems

Client 1: INSERT INTO SmallProduct(name, price) SELECT pname, price FROM Product WHERE price <= 0.99

> DELETE Product WHERE price <=0.99

Client 2: SELECT count(*) FROM Product

> SELECT count(*) FROM SmallProduct

What could go wrong ?

Inconsistent reads

Different Types of Problems

```
Client 1:

UPDATE Product

SET Price = Price – 1.99

WHERE pname = 'Gizmo'

Client 2:

UPDATE Product

SET Price = Price*0.5

WHERE pname='Gizmo'
```

What could go wrong ?

Lost update

Different Types of Problems



What could go wrong? Dirty reads

Types of Problems: Summary

- Concurrent execution problems
 - Write-read conflict: dirty read (includes inconsistent read)
 - A transaction reads a value written by another transaction that has not yet committed
 - Read-write conflict: unrepeatable read
 - A transaction reads the value of the same object twice. Another transaction modifies that value in between the two reads
 - Write-write conflict: lost update
 - Two transactions update the value of the same object. The second one to write the value overwrite the first change
- Failure problems
 - DBMS can crash in the middle of a series of updates
 - Can leave the database in an inconsistent state

Terminology Needed For Lab 3 Buffer Manager Policies

STEAL or NO-STEAL

 Can an update made by an uncommitted transaction overwrite the most recent committed value of a data item on disk?

• FORCE or NO-FORCE

- Should all updates of a transaction be forced to disk before the transaction commits?
- Easiest for recovery: NO-STEAL/FORCE (lab 3)
- Highest performance: STEAL/NO-FORCE (lab 5)
- We will get back to this next week

Outline

- Transactions motivation, definition, properties
- Concurrency Control (the C in ACID)
 This week
- Recovery from failures (the A in ACID)
 Next week

Schedules

A <u>schedule</u> is a sequence of interleaved actions from all transactions





A Serial Schedule



Serializable Schedule

A schedule is <u>serializable</u> if it is equivalent to a serial schedule

A Serializable Schedule



A Non-Serializable Schedule





Serializable Schedules

• The role of the scheduler is to ensure that the schedule is serializable

Q: Why not run only serial schedules ? I.e. run one transaction after the other ?

Serializable Schedules

• The role of the scheduler is to ensure that the schedule is serializable

Q: Why not run only serial schedules ? I.e. run one transaction after the other ?

A: Because of very poor throughput due to disk latency.

Lesson: main memory databases may schedule TXNs serially

Still Serializable, but...



Schedule is serializable because t=t+100 and s=s+200 commute READ(A,s) s := s + 200 WRITE(A,s) READ(B,s) s := s + 200 WRITE(B,s)

READ(B, t) t := t+100 WRITE(B,t)

...we don't expect the scheduler to schedule this

Ignoring Details

- Assume worst case updates:
 We never commute actions done by transactions
- As a consequence, we only care about reads and writes
 - Transaction = sequence of R(A)'s and W(A)'s

Conflicts

- Write-Read WR
- Read-Write RW
- Write-Write WW

Conflicts:

Two actions by same transaction T_i:

 $r_i(X); w_i(Y)$

Two writes by T_i, T_i to same element



Read/write by T_i, T_i to same element





Definition A schedule is <u>conflict serializable</u> if it can be transformed into a serial schedule by a series of swappings of adjacent non-conflicting actions

- Every conflict-serializable schedule is serializable
- The converse is not true in general

Example:

r₁(A); w₁(A); r₂(A); w₂(A); r₁(B); w₁(B); r₂(B); w₂(B)



r₁(A); w₁(A); r₂(A); w₂(A); r₁(B); w₁(B); r₂(B); w₂(B)



 $r_1(A); w_1(A); r_1(B); w_1(B); r_2(A); w_2(A); r_2(B); w_2(B)$



 $r_1(A); w_1(A); r_1(B); w_1(B); r_2(A); w_2(A); r_2(B); w_2(B)$



r₁(A); w₁(A); r₁(B); w₁(B); r₂(A); w₂(A); r₂(B); w₂(B)



Testing for Conflict-Serializability

Precedence graph:

- A node for each transaction T_i,
- An edge from T_i to T_j whenever an action in T_i conflicts with, and comes before an action in T_i
- The schedule is serializable iff the precedence graph is acyclic

Example 1

r₂(A); r₁(B); w₂(A); r₃(A); w₁(B); w₃(A); r₂(B); w₂(B)






r₂(A); r₁(B); w₂(A); r₂(B); r₃(A); w₁(B); w₃(A); w₂(B)





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 A serializable schedule need not be conflict serializable, even under the "worst case update" assumption

$$w_1(X); w_2(X); w_2(Y); w_1(Y); w_3(Y);$$

Is this schedule conflict-serializable ?

 A serializable schedule need not be conflict serializable, even under the "worst case update" assumption

$$w_1(X); w_2(X); w_2(Y); w_1(Y); w_3(Y);$$

Is this schedule conflict-serializable?

 A serializable schedule need not be conflict serializable, even under the "worst case update" assumption

Equivalent, but not conflict-equivalent



Serializable, but not conflict serializable 42

Two schedules S, S' are *view equivalent* if:

- If T reads an initial value of A in S, then T reads the initial value of A in S'
- If T reads a value of A written by T' in S, then T reads a value of A written by T' in S'
- If T writes the final value of A in S, then T writes the final value of A in S'

View-Serializability

A schedule is *view serializable* if it is view equivalent to a serial schedule

Remark:

- If a schedule is *conflict serializable*, then it is also *view serializable*
- But not vice versa

Schedules with Aborted Transactions

- When a transaction aborts, the recovery manager undoes its updates
- But some of its updates may have affected other transactions !

Schedules with Aborted Transactions



Schedules with Aborted Transactions



Cannot abort T1 because cannot undo T2

Recoverable Schedules

A schedule is *recoverable* if:

- It is conflict-serializable, and
- Whenever a transaction T commits, all transactions who have written elements read by T have already committed

Recoverable Schedules





Cascading Aborts

- If a transaction T aborts, then we need to abort any other transaction T' that has read an element written by T
- A schedule avoids cascading aborts if whenever a transaction reads an element, the transaction that has last written it has already committed.

Avoiding Cascading Aborts



JZ

Review of Schedules

Serializability

Recoverability

- Serial
- Serializable
- Conflict serializable
- View serializable

- Recoverable
- Avoids cascading deletes

Scheduler

- The scheduler:
- Module that schedules the transaction's actions, ensuring serializability
- Two main approaches
- Pessimistic: locks
- Optimistic: time stamps, MV, validation

Pessimistic Scheduler

Simple idea:

- Each element has a unique lock
- Each transaction must first acquire the lock before reading/writing that element
- If the lock is taken by another transaction, then wait
- The transaction must release the lock(s)

Notation

$I_i(A)$ = transaction T_i acquires lock for element A $u_i(A)$ = transaction T_i releases lock for element A

A Non-Serializable Schedule



```
Example
                                   T2
T1
L_1(A); READ(A, t)
t := t+100
WRITE(A, t); U<sub>1</sub>(A); L<sub>1</sub>(B)
                                   L_2(A); READ(A,s)
                                   s := s*2
                                   WRITE(A,s); U<sub>2</sub>(A);
                                   L_2(B); DENIED...
READ(B, t)
t := t+100
WRITE(B,t); U_1(B);
                                   ...GRANTED; READ(B,s)
                                   s := s*2
                                   WRITE(B,s); U_2(B);
 Scheduler has ensured a conflict-serializable schedule
```

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But... T2 T1 $L_1(A)$; READ(A, t) t := t+100 WRITE(A, t); $U_1(A)$; L₂(A); READ(A,s) s := s*2 WRITE(A,s); U₂(A); $L_2(B)$; READ(B,s) s := s*2 WRITE(B,s); U₂(B); L₁(B); READ(B, t) t := t+100 WRITE(B,t); $U_1(B)$;

Locks did not enforce conflict-serializability !!! What's wrong ?

The 2PL rule:

- In every transaction, all lock requests must preceed all unlock requests
- This ensures conflict serializability ! (will prove this shortly)

Example: 2PL transactions T1 T_{T2} $L_1(A); L_1(B); READ(A, t)$ t := t+100WRITE(A, t); U₁(A)

L₂(A); READ(A,s) s := s*2 WRITE(A,s); L₂(B); DENIED...

READ(B, t) t := t+100 WRITE(B,t); U₁(B);

Now it is conflict-serializable

...GRANTED; READ(B,s) s := s*2 WRITE(B,s); U₂(A); U₂(B);



Equivalent to each transaction executing entirely the moment it enters shrinking phase

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Theorem: 2PL ensures conflict serializability

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Proof. Suppose not: then there exists a cycle in the precedence graph.



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Theorem: 2PL ensures conflict serializability

Proof. Suppose not: then there exists a cycle in the precedence graph.



Then there is the following <u>temporal</u> cycle in the schedule: $U_1(A) \rightarrow L_2(A)$ $L_2(A) \rightarrow U_2(B)$ why?

Theorem: 2PL ensures conflict serializability

Proof. Suppose not: then there exists a cycle in the precedence graph.



Then there is the following temporal cycle in the schedule: $U_1(A) \rightarrow L_2(A)$ $L_2(A) \rightarrow U_2(B)$ $U_2(B) \rightarrow L_3(B)$ $L_3(B) \rightarrow U_3(C)$ $U_3(C) \rightarrow L_1(C)$ C)→U₁(A) Contradiction

A New Problem: Non-recoverable Schedule

L₁(A); L₁(B); READ(A, t) t := t+100 WRITE(A, t); U₁(A)

READ(B, t) t := t+100 WRITE(B,t); U₁(B); L₂(A); READ(A,s) s := s*2 WRITE(A,s); L₂(B); DENIED...

...GRANTED; READ(B,s) s := s*2 WRITE(B,s); U₂(A); U₂(B); Commit

Abort

T1

Strict 2PL

- Strict 2PL: All locks held by a transaction are released when the transaction is completed; release happens at the time of COMMIT or ROLLBACK
- Schedule is recoverable
- Schedule avoids cascading aborts
- Schedule is strict: read book

Strict 2PL

T1	T2
L ₁ (A); READ(A)	
A := A + 100	
VVRIIC(A),	
	$L_2(A)$, DENIED
L ₁ (B); READ(B)	
B :=B+100	
WRITE(B);	
U ₁ (A),U ₁ (B); Rollback	

...GRANTED; READ(A) A := A*2 WRITE(A); $L_2(B); READ(B)$ B := B*2 WRITE(B); $U_2(A); U_2(B); Commit$

Summary of Strict 2PL

- Ensures serializability, recoverability, and avoids cascading aborts
- Issues: implementation, lock modes, granularity, deadlocks, performance
The Locking Scheduler

Task 1: -- act on behalf of the transaction

Add lock/unlock requests to transactions

- Examine all READ(A) or WRITE(A) actions
- Add appropriate lock requests
- On COMMIT/ROLLBACK release all locks
- Ensures Strict 2PL !

The Locking Scheduler

Task 2: -- act on behalf of the system Execute the locks accordingly

- Lock table: a big, critical data structure in a DBMS !
- When a lock is requested, check the lock table
 Grant, or add the transaction to the element's wait list
- When a lock is released, re-activate a transaction from its wait list
- When a transaction aborts, release all its locks
- Check for deadlocks occasionally

Lock Modes

- **S** = shared lock (for READ)
- X = exclusive lock (for WRITE)

Lock compatibility matrix:

	None	S	Х
None	OK	OK	OK
S	OK	OK	Conflict
X	OK	Conflict	Conflict

Lock Granularity

- Fine granularity locking (e.g., tuples)
 - High concurrency
 - High overhead in managing locks
- Coarse grain locking (e.g., tables, predicate locks)
 - Many false conflicts
 - Less overhead in managing locks
- Alternative techniques
 - Hierarchical locking (and intentional locks) [commercial DBMSs]
 - Lock escalation

Deadlocks

- Cycle in the wait-for graph:
 - T1 waits for T2
 - T2 waits for T3
 - T3 waits for T1
- Deadlock detection
 - Timeouts
 - Wait-for graph
- Deadlock avoidance
 - Acquire locks in pre-defined order
 - Acquire all locks at once before starting

Lock Performance



Active Transactions

The Tree Protocol

- An alternative to 2PL, for tree structures
- E.g. B-trees (the indexes of choice in databases)
- Because
 - Indexes are hot spots!
 - 2PL would lead to great lock contention

The Tree Protocol

Rules:

- The first lock may be any node of the tree
- Subsequently, a lock on a node A may only be acquired if the transaction holds a lock on its parent B
- Nodes can be unlocked in any order (no 2PL necessary)
- "Crabbing"
 - First lock parent then lock child
 - Keep parent locked only if may need to update it
 - Release lock on parent if child is not full
- The tree protocol is NOT 2PL, yet ensures conflictserializability !

- So far we have assumed the database to be a *static* collection of elements (=tuples)
- If tuples are inserted/deleted then the *phantom problem* appears

T1 T2

SELECT * FROM Product WHERE color='blue'

> INSERT INTO Product(name, color) VALUES ('gizmo', 'blue')

SELECT * FROM Product WHERE color='blue'

Is this schedule serializable ?

T1 T2

SELECT * FROM Product WHERE color='blue'

> INSERT INTO Product(name, color) VALUES ('gizmo', 'blue')

SELECT * FROM Product WHERE color='blue'

Suppose there are two blue products, X1, X2:

R1(X1),R1(X2),W2(X3),R1(X1),R1(X2),R1(X3)

T1 T2

SELECT * FROM Product WHERE color='blue'

> INSERT INTO Product(name, color) VALUES ('gizmo','blue')

SELECT * FROM Product WHERE color='blue'

Suppose there are two blue products, X1, X2:

R1(X1),R1(X2),W2(X3),R1(X1),R1(X2),R1(X3)

This is conflict serializable ! What's wrong ??

T1 T2

SELECT * FROM Product WHERE color='blue'

> INSERT INTO Product(name, color) VALUES ('gizmo','blue')

SELECT * FROM Product WHERE color='blue'

Suppose there are two blue products, X1, X2:

R1(X1),R1(X2),W2(X3),R1(X1),R1(X2),R1(X3)

Not serializable due to *phantoms*

- A "phantom" is a tuple that is invisible during part of a transaction execution but not invisible during the entire execution
- In our example:
 - T1: reads list of products
 - T2: inserts a new product
 - T1: re-reads: a new product appears !

- In a <u>static</u> database:
 - Conflict serializability implies serializability
- In a <u>dynamic</u> database, this may fail due to phantoms
- Strict 2PL guarantees conflict serializability, but not serializability

Dealing With Phantoms

- · Lock the entire table, or
- Lock the index entry for 'blue'
 If index is available
- Or use predicate locks
 - A lock on an arbitrary predicate

Dealing with phantoms is expensive !

Isolation Levels in SQL

1. "Dirty reads"

SET TRANSACTION ISOLATION LEVEL READ UNCOMMITTED

- 2. "Committed reads" SET TRANSACTION ISOLATION LEVEL READ COMMITTED
- 3. "Repeatable reads" SET TRANSACTION ISOLATION LEVEL REPEATABLE READ
- 4. Serializable transactions SET TRANSACTION ISOLATION LEVEL SERIALIZABLE

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1. Isolation Level: Dirty Reads

- "Long duration" WRITE locks
 Strict 2PL
- No READ locks
 - Read-only transactions are never delayed

Possible pbs: dirty and inconsistent reads

2. Isolation Level: Read Committed

- "Long duration" WRITE locks
 Strict 2PL
- "Short duration" READ locks
 - Only acquire lock while reading (not 2PL)

Unrepeatable reads When reading same element twice, may get two different values

3. Isolation Level: Repeatable Read

- "Long duration" WRITE locks
 Strict 2PL
- "Long duration" READ locks
 Strict 2PL

This is not serializable yet !!!



4. Isolation Level Serializable

- "Long duration" WRITE locks
 Strict 2PL
- "Long duration" READ locks

 Strict 2PL
- Deals with phantoms too

READ-ONLY Transactions

Client 1: START TRANSACTION INSERT INTO SmallProduct(name, price) SELECT pname, price FROM Product WHERE price <= 0.99

> DELETE FROM Product WHERE price <=0.99 COMMIT

Client 2: SET TRANSACTION READ ONLY START TRANSACTION SELECT count(*) FROM Product

> SELECT count(*) FROM SmallProduct COMMIT

May improve performance