

Database System Internals Transactions: Recovery (part 1)

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Main textbook (Garcia-Molina)

■ Ch. 17.2-4, 18.1-3, 18.8-9

Second textbook (Ramakrishnan)

■ Ch. 16-18

Also: M. J. Franklin. Concurrency Control and Recovery. The Handbook of Computer Science and Engineering, A. Tucker, ed., CRC Press, Boca Raton, 1997.

Transaction Management

Two parts:

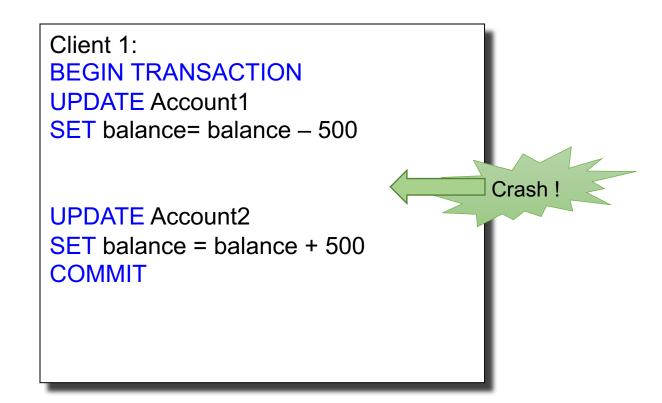
- Concurrency control: ACID
- Recovery from crashes: <u>ACID</u>

We already discussed concurrency control You are implementing locking in lab3

Today, we start recovery

| Type of Crash | Prevention | | |
|--------------------------------|-----------------------------------|--|--|
| Wrong data entry | Constraints and Data cleaning | | |
| Disk crashes | Redundancy: e.g. RAID, archive | | |
| Data center failures | Remote backups or replicas | | |
| System failures: e.g. power | DATABASE RECOVERY | | |

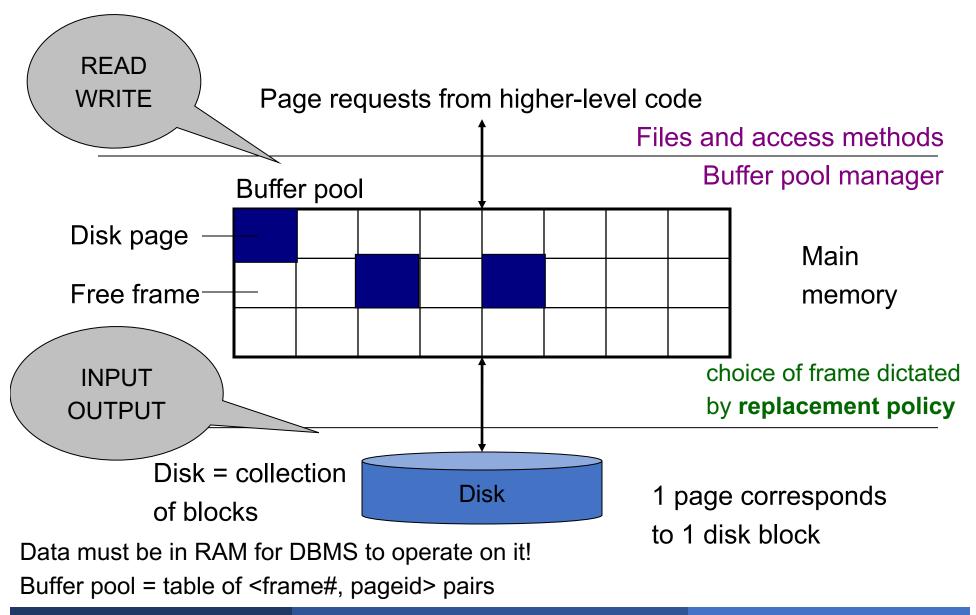
System Crash



System Failures

- Each transaction has internal state
- When system crashes, internal state is lost
 - Don't know which parts executed and which didn't
 - Need ability to undo and redo

Buffer Manager Review



Buffer Manager Review

- Enables higher layers of the DBMS to assume that needed data is in main memory
- Caches data in memory. Problems when crash occurs:
 - 1. If committed data was not yet written to disk
 - 2. If uncommitted data was flushed to disk

Transactions

Assumption: the database is composed of <u>elements</u>.

- 1 element can be either:
 - 1 page = physical logging
 - 1 record = logical logging
- In Lab 4 we use page-level elements

Primitive Operations of Transactions

- READ(X,t)
 - copy element X to transaction local variable t
- WRITE(X,t)
 - copy transaction local variable t to element X
- INPUT(X)
 - read element X to memory buffer
- OUTPUT(X)
 - write element X to disk

Running Example

BEGIN TRANSACTION

```
READ(A,t);

t := t*2;

WRITE(A,t);

READ(B,t);

t := t*2;

WRITE(B,t)

COMMIT;
```

Initially, A=B=8.

Atomicity requires that either

- (1) T commits and A=B=16, or
- (2) T does not commit and A=B=8.

Running Example

BEGIN TRANSACTION

```
READ(A,t);
```

```
t := t*2;
```

WRITE(A,t);

READ(B,t);

```
t ·= **
```

Will look at various crash scenarios

CO

What behavior do we want in each case?

Initially, A=B=8.

Atomicity requires that either

- (1) T commits and A=B=16, or
- (2) T does not commit and A=B=8.

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|---|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(A,t) | | | | | |
| INPUT(B) | | | | | |
| READ(B,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
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| INPUT(A) | | 8 | | 8 | 8 |
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| t:=t*2 | | | | | |
| WRITE(A,t) | | | | | |
| INPUT(B) | | | | | |
| READ(B,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
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| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | | | | | |
| INPUT(B) | | | | | |
| READ(B,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
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| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | | | | | |
| READ(B,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

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| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
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| READ(A,t) | 8 | 8 | | 8 | 8 |
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| WRITE(A,t) | 16 | 16 | | 8 | 8 |
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| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
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| COMMIT | | | | | |

Transaction

Buffer pool

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| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |

Transaction

Buffer pool

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT | | | | | |

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|---------------|-----------------------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT | | CCE 444 Trans | postion Description 1 | | |

Crash!

Yes it's bad: A=16, B=8....

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT | | | | | |

Crash !

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT | | | | | |

Crash!

Yes it's bad: A=B=16, but not committed

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT | | | | | |

Crash!

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|---------------|--------------------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT | | CSE 444 Trans | caction Rocovery 1 | | |

Crash !

No: that's OK

| Action | t | Mem A | Mem B | Disk A | Disk B |
|-------------------|----|---------|-------------------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |
| COMMIT v 12, 2025 | | 005.444 | action Recovery 1 | | |

Crash !

OUTPUT can also happen after COMMIT (details coming)

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

OUTPUT can also happen after COMMIT (details coming)

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| INPUT(A) | | 8 | | 8 | 8 |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Crash!

Atomic Transactions

FORCE or NO-FORCE

 Should all updates of a transaction be forced to disk before the transaction commits?

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/No-steal (most strict)

 FORCE: Pages of committed transactions must be forced to disk before commit

 NO-STEAL: Pages of uncommitted transactions cannot be written to disk

Easy to implement (how?) and ensures atomicity

No-Force/Steal (least strict)

 NO-FORCE: Pages of committed transactions need not be written to disk

STEAL: Pages of uncommitted transactions may be written to disk

In both cases, need a Write Ahead Log (WAL) to provide atomicity in face of failures

Write-Ahead Log (WAL)

The Log: append-only file containing log records

- Records every single action of every TXN
- Forces log entries to disk as needed
- After a system crash, use log to recover

Three types: UNDO, REDO, UNDO-REDO

Aries: is an UNDO-REDO log

Policies and Logs

| | NO-STEAL | STEAL |
|----------|----------|---------------|
| FORCE | Lab 3 | Undo Log |
| NO-FORCE | Redo Log | Undo-Redo Log |

"UNDO" Log

FORCE and **STEAL**

Undo Logging

Log records

- START T>
 - transaction T has begun
- <COMMIT T>
 - T has committed
- <ABORT T>
 - T has aborted
- <T,X,∨>
 - T has updated element X, and its <u>old</u> value was v
 - Idempotent, physical log records

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|----|-------|-------|--------|--------|------------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | 8 | | 8 | 8 | |
| READ(A,t) | 8 | 8 | | 8 | 8 | |
| t:=t*2 | 16 | 8 | | 8 | 8 | |
| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,<mark>8></t,a,<mark> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b,8> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | | | <commit t=""></commit> |

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|----|-------|-------|--------|--------|------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | 8 | | 8 | 8 | |
| READ(A,t) | 8 | 8 | | 8 | 8 | |
| t:=t*2 | 16 | 8 | | 8 | 8 | |
| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,8></t,a,8> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b, |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | Crock |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | Crash! |
| COMMIT | | | | | | <commit t=""></commit> |

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|----|-------|-------|--------|--------|------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | 8 | | 8 | 8 | |
| READ(A,t) | 8 | 8 | | 8 | 8 | |
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| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,8></t,a,8> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b,8> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | Crash! |
| COMMIT | | | | | | <commit t=""></commit> |

WHAT DO WE DO?

We UNDO by setting B=8 and A=8

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|----|-------|-------|--------|--------|------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | 8 | | 8 | 8 | |
| READ(A,t) | 8 | 8 | | 8 | 8 | |
| t:=t*2 | 16 | 8 | | 8 | 8 | |
| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,8></t,a,8> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b,8> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | | | <commit t=""></commit> |

What do we do now?

Crash!

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|----|-------|-------|--------|--------|------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | 8 | | 8 | 8 | |
| READ(A,t) | 8 | 8 | | 8 | 8 | |
| t:=t*2 | 16 | 8 | | 8 | 8 | |
| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,8></t,a,8> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b,8> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | | | <commit t=""></commit> |

What do we do now?

Nothing: log contains COMMIT
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• This is all we see (for example):

| Disk A | Disk B |
|--------|--------|
| 8 | 16 |

• This is all we see (for example):

| Disk A | Disk B |
|--------|--------|
| 8 | 16 |

```
<START T>
<T,A,8>
<T,B,8>
```

- This is all we see (for example):
- Need to step through the log

| Disk A | Disk B |
|--------|--------|
| 8 | 16 |

```
<START T>
<T,A,8>
<T,B,8>
```

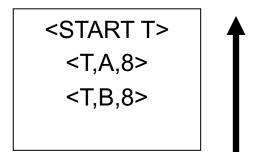
- This is all we see (for example):
- Need to step through the log

| Disk A | Disk B |
|--------|--------|
| 8 | 16 |

What direction?

- This is all we see (for example):
- Need to step through the log

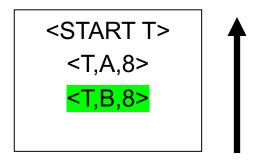
| Disk A | Disk B |
|--------|--------|
| 8 | 16 |



- What direction?
- In UNDO log, we start at the most recent and go backwards in time

- This is all we see (for example):
- Need to step through the log

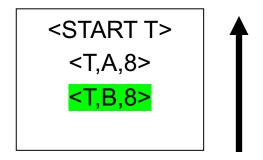
| Disk A | Disk B |
|--------|--------|
| 8 | 16 |



- What direction?
- In UNDO log, we start at the most recent and go backwards in time

- This is all we see (for example):
- Need to step through the log

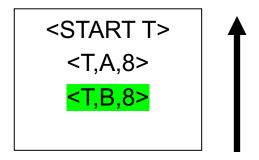
| Disk A | Disk B |
|--------|-----------------|
| 8 | <mark>16</mark> |



- What direction?
- In UNDO log, we start at the most recent and go backwards in time

- This is all we see (for example):
- Need to step through the log

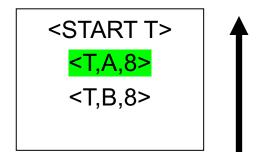
| Disk A | Disk B |
|--------|----------------|
| 8 | <mark>8</mark> |



- What direction?
- In UNDO log, we start at the most recent and go backwards in time

- This is all we see (for example):
- Need to step through the log

| Disk A | Disk B |
|----------------|--------|
| <mark>8</mark> | 8 |



- What direction?
- In UNDO log, we start at the most recent and go backwards in time

- If we see NO Commit statement:
 - We UNDO both changes: A=8, B=8
 - The transaction is atomic, since none of its actions have been executed
- In we see that T has a Commit statement
 - We don't undo anything
 - The transaction is atomic, since both it's actions have been executed

After system's crash, run recovery manager

 Decide for each transaction T whether it is completed or not

```
    <START T>....
    <START T>....
    ABORT T>....
    = yes
```

• <START T>.... = no

Undo all modifications by incomplete transactions

Recovery manager:

Read log from the end; cases:

<COMMIT T>: mark T as completed

<ABORT T>: mark T as completed

<T,X,v>: if T is not completed then write X=v to disk

else ignore

<START T>: ignore

```
... <T6,X6,v6> ... <START T5> <START T4> <T1,X1,v1> <T5,X5,v5> <T4,X4,v4> <COMMIT T5> <T3,X3,v3> <T2,X2,v2>
```

Question1: Which updates are undone?

Question 2:

How far back do we need to read in the log?

Question 3:

What happens if second crash during recovery?

```
... <T6,X6,v6> ... <START T5> <START T4> <T1,X1,v1> <T5,X5,v5> <T4,X4,v4> <COMMIT T5> <T3,X3,v3> <T2,X2,v2>
```

Question1: Which updates are undone?

Question 2:

How far back do we need to read in the log?
To the beginning.

Question 3:

What happens if second crash during recovery?

```
... <T6,X6,v6> ... <START T5> <START T4> <T1,X1,v1> <T5,X5,v5> <T4,X4,v4> <COMMIT T5> <T3,X3,v3> <T2,X2,v2>
```

Question1: Which updates are undone?

Question 2:

How far back do we need to read in the log?
To the beginning.

Question 3:

What happens if second crash during recovery?

No problem! Log records are idempotent. Can reapply.

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|------------|-------|----------|--------|--------|------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | | Vhen mu | | 8 | |
| READ(A,t) | 8 | | ve force | pages | 8 | |
| t:=t*2 | 16 | 8 | o disk? | 8 | | |
| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,8></t,a,8> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b,8> |
| OUTPUT(A) | 1 6 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | | | <commit t=""></commit> |

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|----|-------|-------|--------|--------|--------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | 8 | | 8 | 8 | |
| READ(A,t) | 8 | 8 | | 8 | 8 | |
| t:=t*2 | 16 | 8 | | 8 | 8 | |
| WRITE(A,t) | 16 | 16 | | 8 | 8 | <t,a,8></t,a,8> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 | |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 | <t,b,8></t,b,8> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | FOR | CE | ◆ <commit t=""></commit> |

RULES: log entry <u>before</u> OUTPUT <u>before</u> COMMIT

Undo-Logging Rules

U1: If T modifies X, then <T,X,v> must be written to disk before OUTPUT(X)

U2: If T commits, then OUTPUT(X) must be written to disk before <COMMIT T>

 Hence: OUTPUTs are done <u>early</u>, before the transaction commits

FORCE

Checkpointing

Checkpoint the database periodically

- Stop accepting new transactions
- Wait until all current transactions complete
- Flush log to disk
- Write a <CKPT> log record, flush
- Resume transactions

Undo Recovery with Checkpointing

During recovery, Can stop at first <CKPT> <T9,X9,v9> (all completed) <CKPT> <START T2> <START T3 <START T5> <START T4> <T1,X1,v1> <T5,X5,v5> <T4,X4,v4> <COMMIT T5> <T3,X3,v3> <T2,X2,v2>

other transactions

transactions T2,T3,T4,T5

Nonquiescent Checkpointing

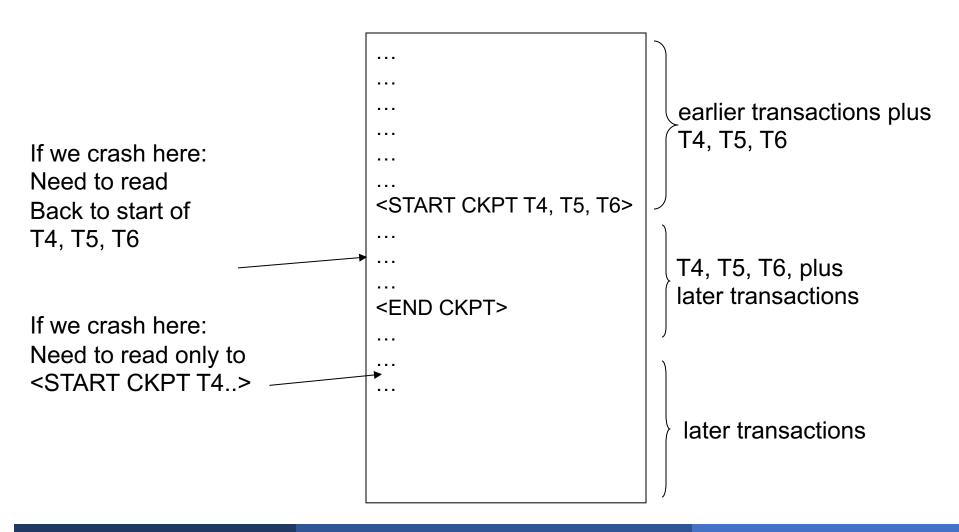
- Problem with checkpointing: database freezes during checkpoint
- Would like to checkpoint while database is operational
- Idea: nonquiescent checkpointing

Quiescent = being quiet, still, or at rest; inactive Non-quiescent = allowing transactions to be active

Nonquiescent Checkpointing

- Write a <START CKPT(T1,...,Tk)>
 where T1,...,Tk are all current active transactions.
 Flush log to disk
- Continue normal operation
- When all of T1,...,Tk have completed, write <END CKPT>, flush log to disk

Undo with Nonquiescent Checkpointing



Implementing ROLLBACK

- Recall: a transaction can end in COMMIT or ROLLBACK
- Idea: use the undo-log to implement ROLLBACK
- How ?
 - LSN = Log Sequence Number
 - Log entries for the same transaction are linked, using the LSN's
 - Read log in reverse, using LSN pointers

Implementing ROLLRACK

RecRO

- Ide
- Hov
 - •
 - •

•

```
...
<T9,X9,v9>
```

- ...
- (all completed)
- <CKPT>
- <START T2>
- <START T3
- <START T5>
- <START T4>
- <T1,X1,v1>
- <T5,X5,v5>
- <T2,X1,v2>
- <T4,X4,v4>
- <COMMIT T5>
- <T3,X3,v3>
- <T2,X2,v2>

CK

sing

REDO

NO-FORCE and **NO-STEAL**

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Is this bad?

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

CSE 444 – Transaction Recovery 1

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Is this bad?

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Crash!

Yes, it's bad: lost update

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Is this bad?

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Crash!

| Action | t | Mem A | Mem B | Disk A | Disk B |
|------------|----|-------|-------|--------|--------|
| | | | | | |
| READ(A,t) | 8 | 8 | | 8 | 8 |
| t:=t*2 | 16 | 8 | | 8 | 8 |
| WRITE(A,t) | 16 | 16 | | 8 | 8 |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 |
| t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WRITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| COMMIT | | | | | |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 |

Crash!