

Database System Internals Transactions: Recovery (part 1)

Paul G. Allen School of Computer Science and Engineering University of Washington, Seattle 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:

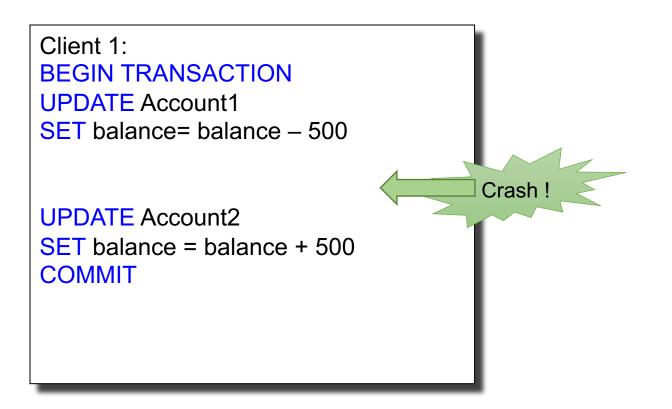
- Concurrency control: ACID
- Recovery from crashes: <u>ACID</u>

We already discussed concurrency control You are implementing locking in lab3

Today, we start recovery

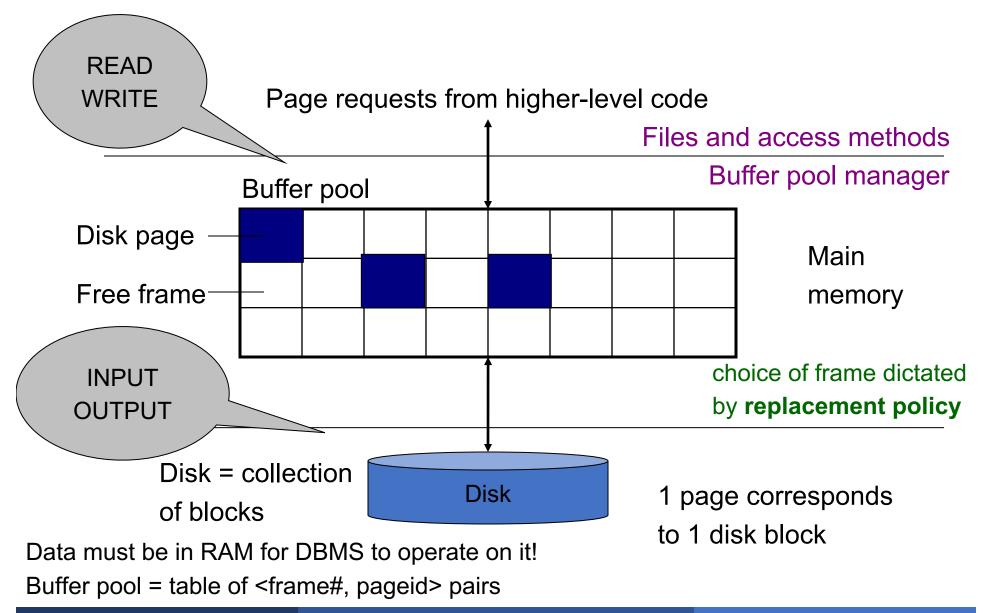
| Type of Crash | Prevention |
|--------------------------------|-----------------------------------|
| Wrong data entry | Constraints and Data cleaning |
| Disk crashes | Redundancy: e.g. RAID, archive |
| Data center failures | Remote backups or replicas |
| System failures: e.g. power | DATABASE RECOVERY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

System Crash



- 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>.
- I 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.

<u>Atomicity</u> 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;
                                Initially, A=B=8.
WRITE(A,t);
                                <u>Atomicity</u> requires that either
                                (1) T commits and A=B=16, or
READ(B,t);
                                (2) T does not commit and A=B=8.
    Will look at various crash scenarios
WR
    What behavior do we want in each case?
```

| | | Transactio | n Buffei | rpool | D | isk |
|-----------------|--------|------------|-----------------|-------------------|--------|--------|
| Ac | tion | t | Mem A | Mem B | Disk A | Disk B |
| INPU | JT(A) | | 8 | | 8 | 8 |
| REA | D(A,t) | | | | | |
| t:= | =t*2 | | | | | |
| WRI | E(A,t) | | | | | |
| INPU | JT(B) | | | | | |
| REA | D(B,t) | | | | | |
| t:= | =t*2 | | | | | |
| WRI | E(B,t) | | | | | |
| OUTF | PUT(A) | | | | | |
| OUTF | PUT(B) | | | | | |
| CO | MMIT | | | | | |
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| | Transaction | n Buffe | Buffer pool | | isk |
|-------------------|-------------|-----------------|-------------------|--------|--------|
| 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 | | | | | |
| WRITE(A,t) | | | | | |
| INPUT(B) | | | | | |
| READ(B,t) | | | | | |
| t:=t*2 | | | | | |
| WRITE(B,t) | | | | | |
| OUTPUT(A) | | | | | |
| OUTPUT(B) | | | | | |
| COMMIT | | | | | |
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| | | Transactior | n Buffei | rpool | Disk | |
|-------|---------------|-------------|-----------------|-------------------|--------|--------|
| | 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) | | | | | |
| | INPUT(B) | | | | | |
| | READ(B,t) | | | | | |
| | t:=t*2 | | | | | |
| | WRITE(B,t) | | | | | |
| | OUTPUT(A) | | | | | |
| | OUTPUT(B) | | | | | |
| | COMMIT | | | | | |
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| | | Transaction | n Buffei | Buffer pool | | isk |
|-----|----------------|-------------|-----------------|-------------------|--------|--------|
| | 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) | | | | | |
| | READ(B,t) | | | | | |
| | t:=t*2 | | | | | |
| | WRITE(B,t) | | | | | |
| | OUTPUT(A) | | | | | |
| | OUTPUT(B) | | | | | |
| | COMMIT | | | | | |
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| | | Transaction | n Buffei | Buffer pool | | isk |
|-----|----------------|-------------|-----------------|-------------------|--------|--------|
| | 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) | | | | | |
| | t:=t*2 | | | | | |
| | WRITE(B,t) | | | | | |
| | OUTPUT(A) | | | | | |
| | OUTPUT(B) | | | | | |
| | COMMIT | | | | | |
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| | | Transaction | n Buffei | Buffer pool | | isk |
|------|---------------|-------------|-----------------|-------------------|--------|--------|
| | 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 | | | | | |
| | WRITE(B,t) | | | | | |
| | OUTPUT(A) | | | | | |
| | OUTPUT(B) | | | | | |
| | COMMIT | | | | | |
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| | | Transaction | n Buffei | Buffer pool | | isk |
|-----|----------------|-------------|-----------------|-------------------|--------|--------|
| | 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) | | | | | |
| | OUTPUT(A) | | | | | |
| | OUTPUT(B) | | | | | |
| | COMMIT | | | | | |
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| | | Transaction | n Buffei | r pool | D | isk |
|--------------|-----------|-------------|-----------------|-------------------|--------|--------|
| A | Action | t | Mem A | Mem B | Disk A | Disk B |
| IN | PUT(A) | | 8 | | 8 | 8 |
| RE | AD(A,t) | 8 | 8 | | 8 | 8 |
| | t:=t*2 | 16 | 8 | | 8 | 8 |
| WF | RITE(A,t) | 16 | 16 | | 8 | 8 |
| IN | PUT(B) | 16 | 16 | 8 | 8 | 8 |
| RE | AD(B,t) | 8 | 16 | 8 | 8 | 8 |
| | t:=t*2 | 16 | 16 | 8 | 8 | 8 |
| WF | RITE(B,t) | 16 | 16 | 16 | 8 | 8 |
| OU | TPUT(A) | | | | | |
| OU | TPUT(B) | | | | | |
| | OMMIT | | | | | |
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| | | Transaction | | Buffer pool | | isk |
|------|----------------|-------------|-----------------|-------------------|--------|--------|
| | 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 | | | | | |
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| | | Transaction | n Buffei | Buffer pool | | isk |
|-----|----------------|-------------|-----------------|-------------------|--------|--------|
| | 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 | | | | | |
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| | 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 | Crash ! |
| | OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| | COMMIT | | | | | | |
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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 | Crash ! |
| | OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| | COMMIT | | | | | | |
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| | 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 | Crash ! |
| | COMMIT | | | | | | |
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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 | Crash ! |
| | COMMIT | | | | | | |
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| | 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 | Crash ! |
| | OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| | OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| | COMMIT | | | | | | |
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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 | Crash ! |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | | | |
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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 |
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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 | Crash ! |
| | OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
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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

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

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Undo Logging

Log records

- START T>
 - transaction T has begun
- <COMMIT T>
 - T has committed
- ABORT T>
 - T has aborted
- <T,X,v>
 - 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> |

WHAT DO WE DO ?

| 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,<mark>8></t,b,<mark> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | Crash ! |
| 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 | | |
| 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 | Crash ! | |
| COMMIT | | | | | | <commit t=""></commit> | |
| WHAT DO WE DO ? Oruary 21, 2025 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 ! bruary 21, 2025 CSE 444 – Transaction Recovery 1 43 | | | | | | |

| 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 ruary 21, 2025 CSE 444 – Transaction Recovery 1 | | | | | | |

• This is all we see (for example):

| Disk A | Disk B | <start t=""></start> |
|--------|--------|----------------------|
| 8 | 16 | <t,a,8></t,a,8> |
| | | <t,b,8></t,b,8> |
| | | |

• This is all we see (for example):

| Disk A | Disk B | <start t=""></start> |
|--------|--------|----------------------|
| 8 | 16 | <t,a,8></t,a,8> |
| | | <t,b,8></t,b,8> |
| | | |

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

| Disk A | Disk B | <start t=""></start> |
|--------|--------|----------------------|
| 8 | 16 | <t,a,8></t,a,8> |
| | | <t,b,8></t,b,8> |
| | | |

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

| Disk A | Disk B | <start t=""></start> |
|--------|--------|----------------------|
| 8 | 16 | <t,a,8></t,a,8> |
| | | <t,b,8></t,b,8> |
| | | |

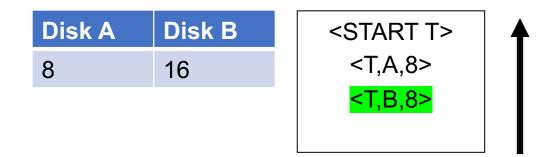
• What direction?

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



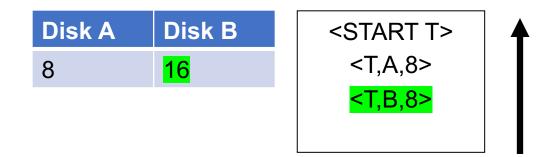
- What direction?
- In UNDO log, we start at the most recent and go backwards in time

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



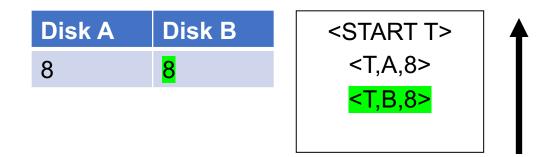
- What direction?
- In UNDO log, we start at the most recent and go backwards in time

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



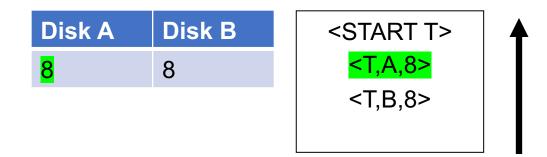
- What direction?
- In UNDO log, we start at the most recent and go backwards in time

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



- 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



- 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>....<COMMIT T>.... = yes
 - <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?

February 21, 2025

Crash !

••••

<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?

February 21, 2025

Crash !

• • •

. . .

<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.

Crash !

| Action | t | Mem A | Mem B | Disk A | Disk B | UNDO Log |
|------------|------------|-------|----------|--------|--------|------------------------|
| | | | | | | <start t=""></start> |
| INPUT(A) | | V | Vhen mu | ust | 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> |
| INPUT(B) | 16 | 16 | 8 | 8 | 8 | |
| READ(B,t) | 8 | 16 | 8 | 8 | 8 | 2 |
| 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) | 1 6 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | | | <commit t=""></commit> |

| INPUT(A) READ(A,t) t:=t*2 | 8 | 8 | | | | <start t=""></start> |
|---------------------------------|----|----|----|-----|----|----------------------|
| READ(A,t) | 8 | 8 | | | | |
| , <i>,</i> | 8 | | | 8 | 8 | |
| t:=t*2 | - | 8 | | 8 | 8 | |
| ·· · ∠ | 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 | -(<t,b,8>)</t,b,8> |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |
| COMMIT | | | | FOR | CE | |

Undo-Logging Rules

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

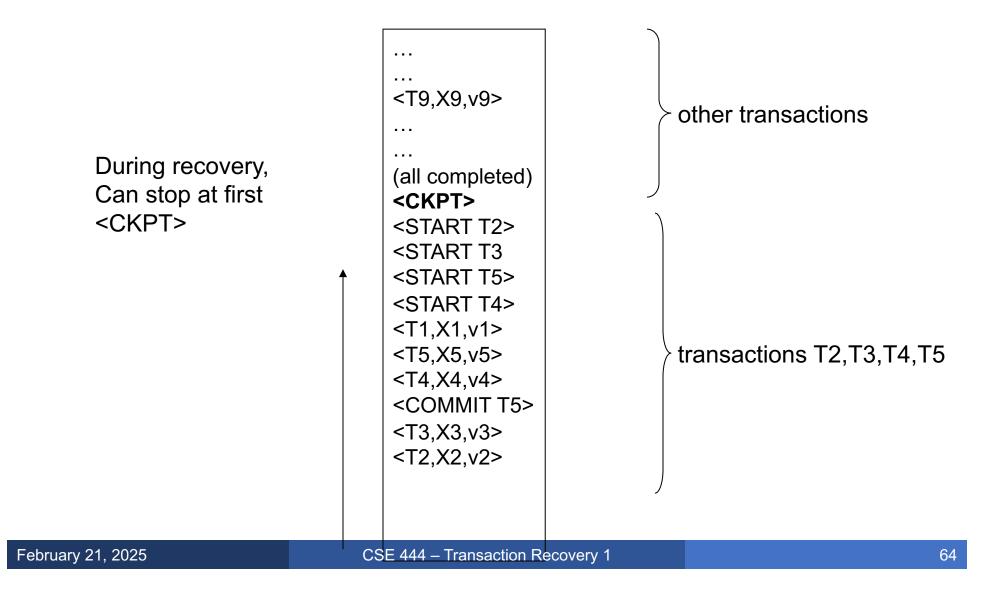
- U2: If T commits, then OUTPUT(X) must be written to disk before <COMMIT T>
- Hence: OUTPUTs are done <u>early</u>, before the transaction commits



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



Nonquiescent Checkpointing

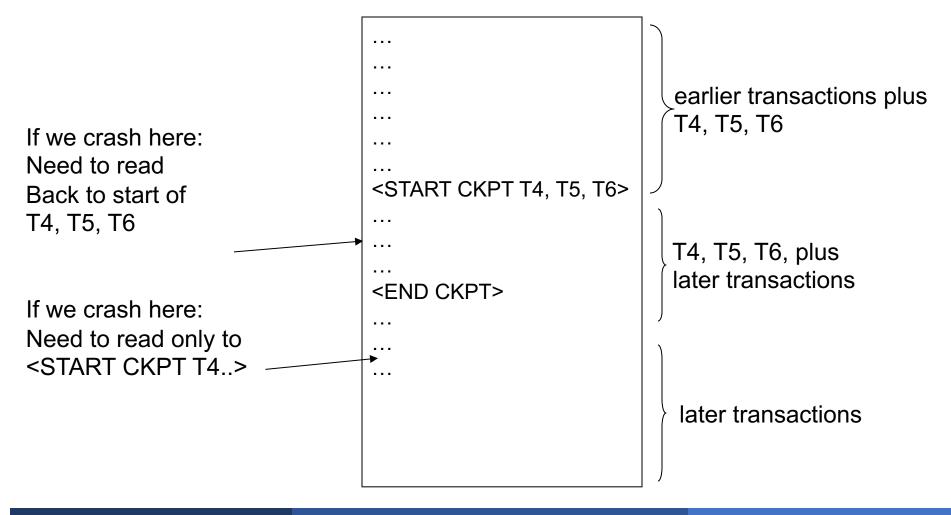
- Problem with checkpointing: database freezes during checkpoint
- Would like to checkpoint while database is operational
- Idea: nonquiescent checkpointing

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

Nonquiescent Checkpointing

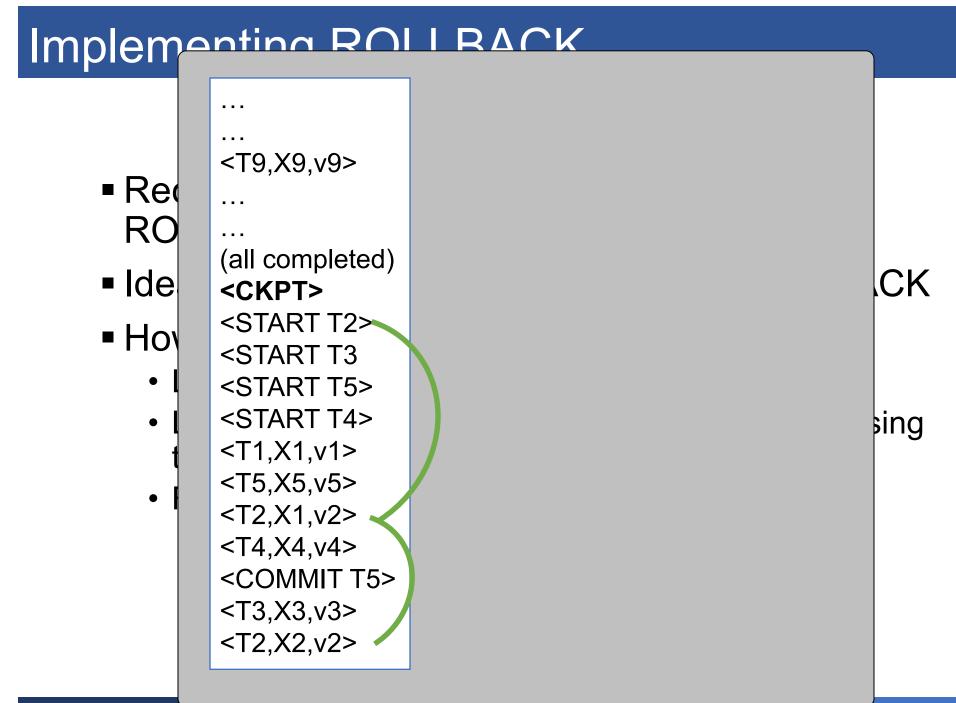
- Write a <START CKPT(T1,...,Tk)> where T1,...,Tk are all current active transactions. Flush log to disk
- Continue normal operation
- When all of T1,...,Tk have completed, write <END CKPT>, flush log to disk

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



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 |

| 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 |

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

| 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 |

| 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 | | | | | | Crash ! |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |

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 | | | | | | Create |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | Crash ! |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |

| 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 | Crash ! |
| COMMIT | | | | | | Clash: |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |

No: that's OK.

| 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 | Creak L |
| COMMIT | | | | | | Crash ! |
| OUTPUT(A) | 16 | 16 | 16 | 16 | 8 | |
| OUTPUT(B) | 16 | 16 | 16 | 16 | 16 | |