



# *Overview of Transaction Management*

## Chapter 16





# Database Transactions

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- ❖ A transaction is the DBMS' s abstract view of a *user program*: a sequence of database commands; disk reads and writes.
- ❖ *Concurrent execution* of user programs is essential for good DBMS performance.
  - Because disk accesses are frequent, and relatively slow, it is important to keep the cpu busy by working on several user programs concurrently.
- ❖ A user' s program may carry out many consecutive operations on the data retrieved from the database, but the DBMS is only concerned about what data is read/ written from/to the database.



# *ACID Properties of Transactions*

- ❖ *Atomic*: the end effect of a transaction should be *all or nothing*. Either it is executed to completion, or it is as if it never happened. (DBMS provides this)
- ❖ *Consistency*: Every transaction must preserve all constraints of the database. (User and DBMS)
- ❖ *Isolation*: The result of a transaction should give predictable results regardless of any concurrent transactions. (DBMS)
- ❖ *Durability*: Transactions must tolerate crashes and being aborted before completion allowing the database to be recoverable to a consistent state. (DBMS)



# Concurrency in a DBMS

- ❖ Users submit a transaction, and can think of it as executing *by itself* on the database.
  - Concurrency is provided by the DBMS, which interleaves the actions (reads/writes) of many transactions.
  - Each transaction must leave the database in a consistent state if the DB was consistent when the transaction began.
  - DBMSs only enforce Integrity Constraints
  - Beyond this, the DBMS does not understand the data. (e.g., it does not understand how interest on a bank account is computed).
- ❖ Issues: Effect of *interleaving transactions* and *crashes*.



# *Interleaving's Impact*

- ❖ Interleaving improves database performance
  - While one transaction waits for pages to be read from disk, the CPU processes other transactions. I/Os proceed in parallel with CPU activity  
(greater system utilization)
  - Increased system *throughput* (transactions/sec)
  - More “fair” than true sequential access; allows all pending transactions to make progress (heavy transactions, don't starve out light ones)
  - Predictable *latency* (delay from request to completion)
- ❖ However, interleaving can lead to anomalies
  - Sequential inconsistency



# Example

- ❖ Consider two transactions (*Xacts*):

T1:	BEGIN	C=C+100,	S=S-100	END
T2:	BEGIN	C=1.02*C,	S=1.04*S	END

- ❖ Intuitively, the first transaction is transferring \$100 from a savings to a checking account. The second is crediting both accounts interest payments.
- ❖ There is no guarantee that T1 will execute before T2 or vice-versa, if both are submitted together. However, the net effect *must* be equivalent to some execution of these two transactions run sequentially.

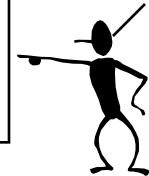


# Example (Contd.)

- ❖ Consider a possible interleaving (schedule):

T1:	$C=C+100,$	$S=S-100$
T2:	$C=1.02*C,$	$S=1.04*S$

Same result as T1 followed by T2



- ❖ This is OK. But what about:

T1:	$C=C+100,$	$S=S-100$
T2:	$C=1.02*C, S=1.04*S$	

Inconsistent with any order of T1 and T2



- ❖ The DBMS' s view of the second schedule:

T1:	$R_1(C), W_1(C),$	$R_1(S), W_1(S)$
T2:	$R_2(C), W_2(C), R_2(S), W_2(S),$	



# Scheduling Transactions

- ❖ Serial schedule: Schedule that does not interleave the actions of different transactions.
- ❖ Equivalent schedules: For any database state, the effect (on the set of objects in the database) of executing the first schedule is identical to the effect of executing the second schedule.
- ❖ Serializable schedule: A schedule that is equivalent to *some* serial execution of the transactions.

(Note: If each transaction preserves consistency, every serializable schedule also preserves consistency. )





# *Atomicity of Transactions*

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- ❖ An important property guaranteed by the DBMS is that transactions are *atomic*. That is, a user can think of a Xact as either always executing all its actions in one step, or not executing any actions at all.
- ❖ A transaction might *commit* after completing all its actions, or it could *abort* (or be aborted by the DBMS) after executing some actions.
- ❖ DBMS *logs* all actions so that it can *undo* aborted transactions.



# The 3 Classes of Anomalies

- ❖ Reading Uncommitted Data--  
*Write-Read (WR) Conflict*, “dirty reads”:

T1:	R(A), W(A),		R(B), W(B), Abort
T2:	R(A), W(A), R(B), W(B), C,		

- ❖ Unrepeatable Reads--  
*Read-Write (RW) Conflict*:

T1:	R(A),		W(A), R(B), W(B), C
T2:	R(A), W(A), R(B), W(B), C,		



T2' s write of A is lost



# Anomalies (Continued)

- ❖ Overwriting Uncommitted Data  
*Write-Write (WW) Conflict*, “blind write”:

T1:	W(A), 	W(B), C
T2:	W(A), W(B), C	



T1's write of A is lost

- ❖ All 3 anomalies involve at least one write
- ❖ How do we avoid these?



# *Lock-Based Concurrency Control*

- ❖ *Strict Two-phase Locking (Strict 2PL) Protocol:*
  - Each Xact must obtain a *shared (S)* lock on object before reading, and an *exclusive (X)* lock on object before writing. (of course, you can both read and write an object with an X lock)
  - All locks held by a transaction are released when the transaction completes (at Commit or Abort)
  - If an Xact holds an X lock on an object, no other Xact can get either an S or X lock on that object.
- ❖ Strict 2PL allows only serializable schedules.
  - Additionally, it simplifies aborts (more soon)



# Examples

- ❖ **Common case:** Xacts affect different parts of db. T1:  $B = f(B, A)$ , T2:  $C = g(C, A)$

T1:	S(A), R(A),	X(B), R(B), W(B), C
T2:	S(A), R(A), X(C), R(C), W(C), C	

- ❖ **Hot spots:** Xacts reference a common record.  
T1:  $A = f(A)$ , T2:  $B = f(B, A)$

T1:	X(A), R(A),	W(A), C	↘
T2:	S(A), ...	R(A), X(B), R(B), W(B), C	

T1:	X(A), ...	R(A), W(A), C
T2:	S(A), R(A), X(B),	R(B), W(B), C ↗



# Deadlocks

- ❖ Transactions request exclusive access to a common locked record. T1:  $B = f(B, A)$ , T2:  $A = g(A, B)$

T1: S(A),R(A),X(B),R(B),	W(B),C	↘
T2:	S(B),...	R(B),X(A),R(A),W(A),C

- ❖ A rare unfortunate ordering, where both transactions wait, and make no progress

T1: S(A),R(A),	X(B),...	Abort	↘
T2:	S(B),R(B),	X(A), ...	X(A), R(A), W(A), C

- ❖ Soln: DBMS monitors how long a transaction has been waiting and aborts it, thus freeing its locks



# *Aborting a Transaction*

- ❖ If a transaction  $T_i$  is aborted, all its actions have to be undone. Not only that, if  $T_j$  reads an object last written by  $T_i$ ,  $T_j$  must be aborted as well!
- ❖ Releasing transaction locks only on commit/abort avoids *cascading aborts* (abort handling is simplified)
  - If  $T_i$  writes an object,  $T_j$  can read it only after  $T_i$  frees lock.
- ❖ In order to *undo* the actions of an aborted transaction, the DBMS maintains a *log* in which every write is recorded. This mechanism is also used to recover from system crashes: all active Xacts at the time of the crash are aborted when the system comes back up.



# *Transactions in SQL*

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- ❖ Transactions begin on any statement that references a table (CREATE, UPDATE, SELECT, INSERT, etc.)
- ❖ Transactions end when either a “COMMIT” or “ROLLBACK” (Abort) command is reached
- ❖ SQL provides a “SAVEPOINT *name*” to break up transactions into intermediate pieces, which can be gotten back to using  
“ROLLBACK TO SAVEPOINT *name*”
- ❖ Operations between 2 savepoints are handled as separate Xactions, in terms of concurrency control





# The Log

- ❖ The following actions are recorded in the log:
  - *Ti writes an object*: the *old value* and the *new value*.
  - *Ti commits/aborts*: a log record indicating this action.
- ❖ Log records are chained together by Xact id, so it's easy to undo a specific Xact.
- ❖ All log related activities (and in fact, all concurrency-control related activities such as lock/unlock, dealing with deadlocks etc.) are handled transparently by the DBMS.
- ❖ Complication: committed writes might be held in the buffer pool



# Recovering From a Crash

- ❖ There are 3 phases in the *Aries* recovery algorithm:
  - Analysis: Scan the log forward (from the most recent *checkpoint*) to identify all Xacts that were in progress, and all dirty pages in the buffer pool at crash time
  - Redo: Redoes all updates to dirty pages in the buffer pool, as needed, to ensure that all logged updates are in fact carried out and written to disk.
  - Undo: The writes of all Xacts that were in progress at crash time are undone (by restoring the *old value* of the data, which is in the log record for the update), working backwards in the log. (Some care must be taken to handle the case of a crash occurring during the recovery process!)



# Summary

- ❖ Concurrency control and recovery are among the most important functions provided by a DBMS.
- ❖ Users need not worry about concurrency.
  - System automatically inserts lock/unlock requests and schedules actions of different Xacts in such a way as to ensure that the resulting execution is equivalent to executing the Xacts one after the other in some order.
- ❖ Write-ahead logging (WAL) is used to undo the actions of aborted transactions and to restore the system to a consistent state after a crash.
  - *Consistent state*: Only the effects of committed Xacts seen.