# CS 4604: Introduction to Database Management Systems

Logging and Recovery 1

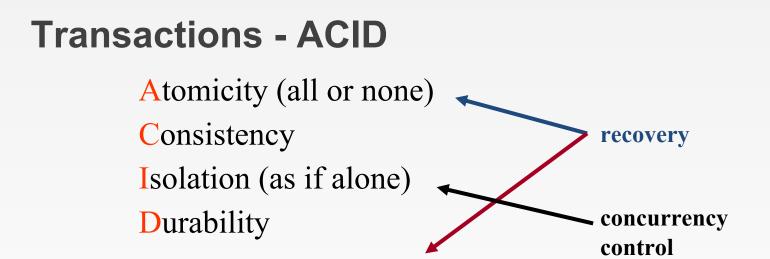
# Virginia Tech CS 4604 Sprint 2021 Instructor: Yinlin Chen



# **Today's Topics**

- Write-Ahead Log (WAL)
- Write-Ahead Log: ARIES



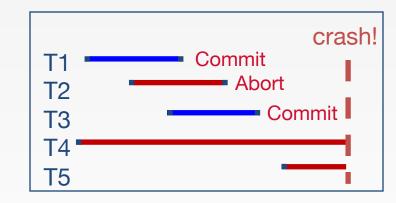


- Recovery Manager
  - Atomicity: undoing the actions of xacts that do not commit
  - Durability: making sure that all committed xacts survive system crashes
     and media failures
  - Also to rollback transactions that violate consistency



# Motivation

- Atomicity:
  - Transactions may abort ("Rollback").
- Durability:
  - What if DBMS stops running?
- Desired state after system restarts:
- T1 & T3 should be durable.
- T2, T4 & T5 should be aborted (effects not seen).
- Questions:
  - Why do transactions abort?
  - Why do DBMSs stop running?





# **Atomicity: Why Do Transactions Abort?**

- User/Application explicitly aborts
- Failed Consistency check
  - Integrity constraint violated
- Deadlock
- System failure prior to successful commit



#### **Transactions and SQL**

- Use transactions when the set of database operations you are making needs to be atomic
- SQL Basics
  - BEGIN: start a transaction block
  - COMMIT: commit the current transaction
  - ROLLBACK: abort the current transaction



## **SQL Savepoints**

- SAVEPOINT: define a new savepoint within the current transaction
  - SAVEPOINT <name>
  - RELEASE SAVEPOINT <name>
    - Makes it as if the savepoint never existed
  - ROLLBACK TO SAVEPOINT <name>
    - Statements since the savepoint are rolled back

```
BEGIN;
INSERT INTO table1 VALUES ('yes1');
SAVEPOINT sp1;
INSERT INTO table1 VALUES
('yes2');
RELEASE SAVEPOINT sp1;
SAVEPOINT sp2;
INSERT INTO table1 VALUES ('no');
ROLLBACK TO SAVEPOINT sp2;
INSERT INTO table1 VALUES ('yes3');
COMMIT;
```



# **Durability: Why do DBMSs stop running?**

- Operator Error
  - Trip over the power cord
  - Type the wrong command
- Configuration Error
  - Insufficient resources: disk space
  - File permissions, etc.
- Software Failure
  - DBMS bugs, security flaws, OS bugs
- Hardware Failure
  - Media failures: disk is corrupted
  - Server crashes



#### **Classification of failures:**

```
frequent; 'cheap'
```

```
logical errors (e.g., div. by 0)
system errors (e.g., deadlock)
system crash (e.g., power failure – volatile storage
(memory) is lost)
disk failure (non-volatile storage is lost)
```

rare; expensive

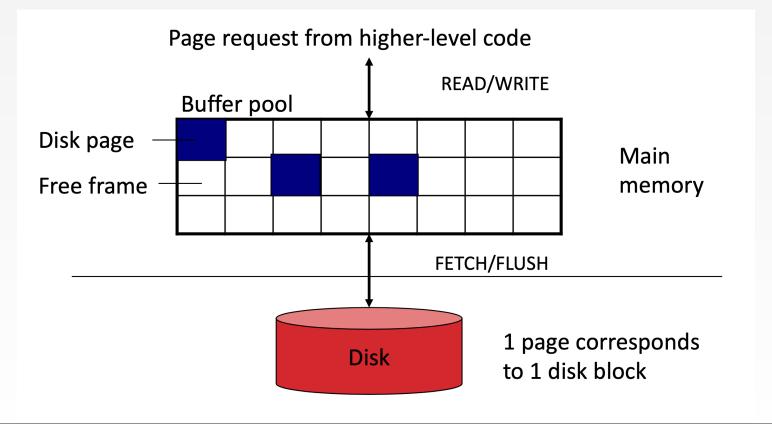


#### **Problem definition**

- Assumption: Concurrency control is in effect
  - Strict 2PL, in particular
- Assumption: Updates are happening "in place"
  - i.e., data is modified in buffer pool and pages in DB are overwritten
    - Transactions are not done on "private copies" of the data
- Challenge: Buffer Manager
  - Changes are performed in memory
  - Changes are then written to disk
  - This *discontinuity* complicates recovery



#### **Recap: Buffer Manager**



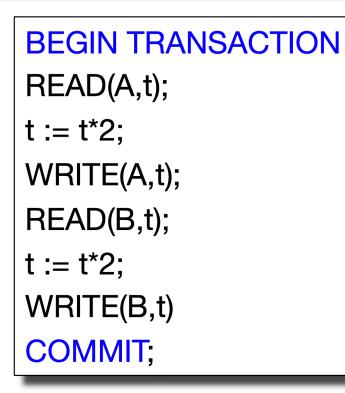


#### **Primitive Operations**

- READ(X,t)
  - copy value of data item X to transaction local variable t
- WRITE(X,t)
  - copy transaction local variable t to data item X
- FETCH(X)
  - read page containing data item X to memory buffer
- FLUSH(X)
  - write page containing data item X to disk



#### **Running Example**



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	Buffei	r pool	D	isk
Action	t	Mem A	Mem B	Disk A	Disk B
FETCH(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
FETCH(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
FLUSH(A)	16	16	16	16	8
FLUSH(B)	16	16	16	16	16
COMMIT					

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	Transaction	Buffer	Buffer pool		isk	
Action	t	Mem A	Mem B	Disk A	Disk B	
FETCH(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	
FETCH(B)	16	16	8	8	8	
READ(B,t)	8	16	8	8	8	1 10
t:=t*2	16	16	8	8	8	A = 16 B = 8
WRITE(B,t)	16	16	16	8	8	
FLUSH(A)	16	16	16	16	8	Crash!
FLUSH(B)	16	16	16	16	16	Crasn!
COMMIT						

	Transaction	Buffer	r pool	Disk		
Action	t	Mem A	Mem B	Disk A	Disk B	
FETCH(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	
FETCH(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	
FLUSH(A)	16	16	16	16	8	
FLUSH(B)	16	16	16	16	16	
COMMIT						

A = 16 B = 16

Crash!

	Transaction	Buffer	Buffer pool		isk	
Action	t	Mem A	Mem B	Disk A	Disk B	
FETCH(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	
FETCH(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!
FLUSH(A)	16	16	16	16	8	Crash!
FLUSH(B)	16	16	16	16	16	
COMMIT						

	Transaction	Buffer	r pool	D	isk	
Action	t	Mem A	Mem B	Disk A	Disk B	
FETCH(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	
FETCH(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	
FLUSH(A)	16	16	16	16	8	Problematic
FLUSH(B)	16	16	16	16	16	Crashes
COMMIT						·

# Solution: Logging (Write-Ahead Log)

- Log: append-only file containing log records
  - This is usually on a different disk, separate from the data pages, allowing recovery
- For every update, commit, or abort operation
  - Sequential write a log record
  - Multiple transactions run concurrently, log records are interleaved
  - Minimal info written to log: pack multiple updates in a single log page
- After a system crash, use log to:
  - Redo transactions that did commit
    - Redo ensures Durability
  - Undo transactions that didn't commit
    - Undo ensures Atomicity



# Solution: Logging (Write-Ahead Log)

- Log: append-only file containing log records
- Also performance implications:
  - Log is sequentially written (faster) as opposed to page writes (random I/O)
  - Log can also be compact, only storing the "delta" as opposed to page writes (write a page irrespective of change to the page)
- Pack many log records into a log page



# **Two Important Logging Decisions**

- Decision 1: STEAL or NO-STEAL
- Impacts ATOMICITY and UNDO
- Steal: allow the buffer pool (or another txn) to "steal" a pinned page of an uncommitted txn by flushing to disk
- No-steal: disallow above
- If we allow "Steal", then need to deal with uncommitted txn edits appearing on disk
  - To ensure Atomicity we need to support UNDO of uncommitted txns
- Oppositely, "No-steal" has poor performance (pinned pages limit buffer replacement)
  - But no UNDO required. Atomicity for free.

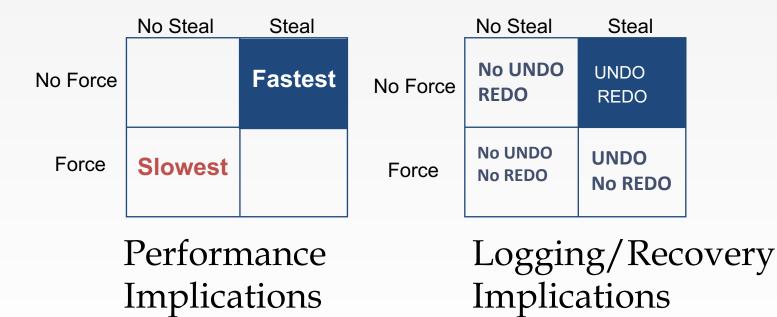


# **Two Important Logging Decisions**

- Decision 2: FORCE or NO-FORCE
- Impacts DURABILITY and REDO
- Force: ensure that all updates of a transaction is "forced" to disk prior to commit
- No-force: no need to ensure
- If we allow "No-force", then need to deal with committed txns not being durable
  - To ensure Durability we need to support REDO of committed txns
- Oppositely, "Force" has poor performance (lots of random I/O to commit)
  - But no REDO required, Durability for free.



#### **Buffer Management summary**





# **UNDO Logging (Force and Steal)**

- 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 old value was v



Action	t	Mem A	Mem B	Disk A	Disk B	UNDO Log
						<start t=""></start>
FETCH(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>
FETCH(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>
FLUSH(A)	16	16	16	16	8	
FLUSH(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>
FETCH(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>
FETCH(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>
FLUSH(A)	16	16	16	16	8	Crash !
FLUSH(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>	
FETCH(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>	
FETCH(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>	
FLUSH(A)	16	16	16	16	8	Cras	
FLUSH(B)	16	16	16	16	16		~~~~
COMMIT	We	e UNDO b	y setting E	B=8 and A=	=8	<commit t=""></commit>	

Action	t	Mem A	Mem B	Disk A	Disk B	UNDO Log
						<start t=""></start>
FETCH(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>
FETCH(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>
FLUSH(A)	16	16	16	16	8	
FLUSH(B)	16	16	16	16	16	
COMMIT	Noth			intoine OC		<commit t=""></commit>
	Nothi			ontains CC		Crash !

Action	t	Mem A	Mem B	Disk A	Disk B	UNDO Log
						<start t=""></start>
FETCH(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>
FETCH(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>
(FLUSH(A))	16	16		16	8	
FLUSH(B)	16	16	16	16	16	
COMMIT					FORCE	

RULES: log entry *before* FLUSH *before* COMMIT

# **Undo-Logging (Steal/Force) Rules**

- U1: If T modifies X, then <T,X,v> must be written to disk before FLUSH(X)
  - Want to record the old value before the new value replaces the old value permanently on disk **STEAL**
- U2: If T commits, then FLUSH(X) must be written to disk before <COMMIT T>
  - Want to ensure that all changes written by T have been reflected before T is allowed to commit FORCE
- Hence: FLUSHes are done *early*, before the transaction commits



# Redo Logging (NO-FORCE and NO-STEAL)

- One minor change to the undo log:
- <T, X, v>= T has updated element X, and its *new* value is v



Action	t	Mem A	Mem B	Disk A	Disk B	REDO Log
						<start t=""></start>
READ(A,t)	8	8		8	8	
t:=t*2	16	8		8	8	
WRITE(A,t)	16	16		8	8	<t,a,16></t,a,16>
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,16></t,b,16>
COMMIT						<commit t=""></commit>
FLUSH(A)	16	16	16	16	8	
FLUSH(B)	16	16	16	16	16	

Action	t	Mem A	Mem B	Disk A	Disk B	REDO Log	
						<start t=""></start>	
READ(A,t)	8	8		8	8		
t:=t*2	16	8		8	8		
WRITE(A,t)	16	16		8	8	<t,a,16></t,a,16>	
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,16></t,b,16>	
COMMIT						<commit t=""></commit>	
FLUSH(A)	16	16	16	16	8		~1
FLUSH(B)	16	16	16	16	16	C	rash !

We REDO by setting A=16 and B=16



Action	t	Mem A	Mem B	Disk A	Disk B	REDO Log	
						<start t=""></start>	
READ(A,t)	8	8		8	8		
t:=t*2	16	8		8	8		
WRITE(A,t)	16	16		8	8	<t,a,16></t,a,16>	
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,16> Crash !</t,b,16>	1
COMMIT						<commit t=""></commit>	
FLUSH(A)	16	16	16	16	8		
FLUSH(B)	16	16	16	16	16		

Nothing need to do

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Action	t	Mem A	Mem B	Disk A	Disk B	REDO Log
						<start t=""></start>
READ(A,t)	8	8		8	8	
t:=t*2	16	8		8	8	
WRITE(A,t)	16	16		8	8	<t,a,16></t,a,16>
READ(B,t)	8	16	8	8	8	
t:=t*2	16	16	8	8	8	
WRITE(B,t)	16	16	16	R	8	<t,b,16></t,b,16>
COMMIT			NO-STEAL			
FLUSH(A)	16	16	16	16	8	
FLUSH(B)	16	16	16	16	16	

RULE: FLUSH after COMMIT



#### **Redo-Logging Rules**

R1: If T modifies X, then both <T,X,v> and
 <COMMIT T> must be written to disk before
 FLUSH(X)

• Hence: FLUSHes are done late



# **Comparison Undo/Redo**

- Undo logging:
  - Data page FLUSHes must be done early
  - If <COMMIT T> is seen, T definitely has written all its data to disk (hence, don't need to undo)
- Redo logging
  - Data page FLUSHes must be done late
  - If <COMMIT T> is not seen, T definitely has not written any of its data to disk (hence there is no dirty data on disk)



# **Pro/Con Comparison Undo/Redo**

- Undo logging: (Steal/Force)
  - Pro: Less memory intensive: flush updated data pages as soon as log records are flushed, only then COMMIT
  - Con: Higher latency: forcing all dirty buffer pages to be flushed prior to COMMIT can take a long time
- Redo logging: (No Steal/No Force)
  - Con: More memory intensive: cannot flush data pages unless COMMIT log has been flushed.
  - Pro: Lower latency: don't need to wait until data pages are flushed to COMMIT



# Write-Ahead Logging for UNDO/REDO

- Log: An ordered list of log records to allow REDO/UNDO
  - Log record contains:
    - <TXID, pageID, offset, length, old data, new data>
  - and additional control info

	No Steal	Steal
No Force	No UNDO REDO	UNDO REDO
Force	No UNDO No REDO	UNDO No REDO



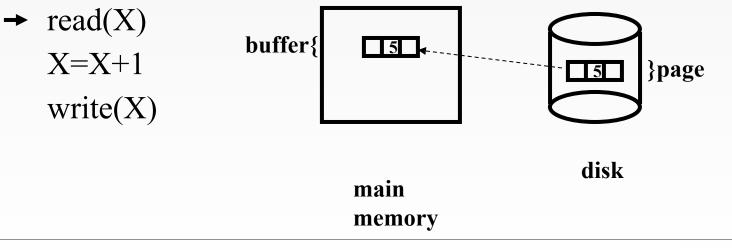
# Write-Ahead Logging (WAL)

- The Write-Ahead Logging Protocol:
  - 1. Must **force** the **log record** for an update **<u>before</u>** the corresponding **data page** gets to the DB disk.
  - 2. Must force all log records for a Xact before commit.
    - I.e., transaction is not committed until all of its log records including its "commit" record are on the stable log.
- #1 (with **UNDO** info) helps guarantee Atomicity.
- #2 (with **REDO** info) helps guarantee Durability.
- This allows us to implement Steal/No-Force

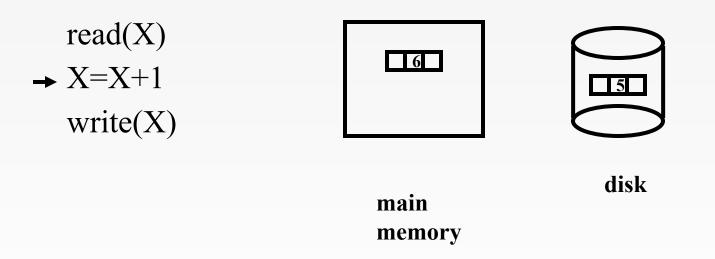


#### Example

Records are on disk for updates, they are copied in memory and flushed back on disk, *at the discretion of the O.S.*!

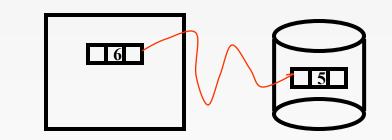






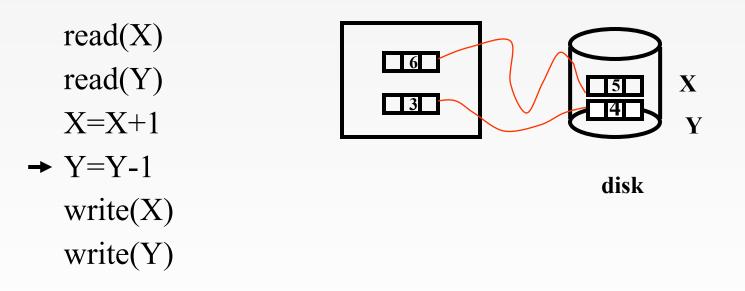


read(X) X=X+1 → write(X)

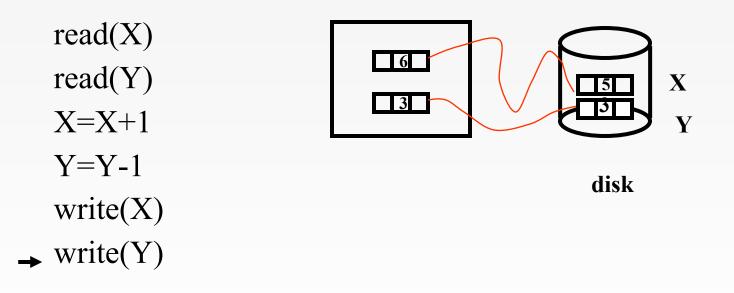


disk











## **Example: W.A.L.**

<T1 start> <T1, X, 5, 6> <T1, Y, 4, 3> <T1 commit> (or <T1 abort>)



## W.A.L. - intro

in general: transaction-id, data-item-id, old-value, new-value (assumption: each log record is **immediately** flushed on stable store)

each transaction writes a log record first, **before** doing the change

when done, write a <commit> record & exit



- log records have 'old' and 'new' values.
- modified buffers can be flushed at any time Each transaction:
- writes a log record first, before doing the change
- writes a 'commit' record (if all is well)
- exits



- Q: how, exactly?
- value of W on disk?
- value of W after recov.?
- value of Z on disk?
- value of Z after recov.?

before <T1 start> <T1, W, 1000, 2000> <T1, Z, 5, 10> <T1 commit>





- Q: how, exactly?
- value of W on disk?
- value of W after recov.?
- value of Z on disk?
- value of Z after recov.?

before <T1 start> <T1, W, 1000, 2000> <T1, Z, 5, 10>





Q: recovery algo? A: – redo committed xacts – undo uncommitted ones (more details: soon) before <T1 start> <T1, W, 1000, 2000> <T1, Z, 5, 10>





Idea: periodically, flush buffers Q: should we write

anything on the log? Q: what if the log is huge? before <T1 start> <T1, W, 1000, 2000> <T1, Z, 5, 10> ... <T500, B, 10, 12>





Q: should we write anything on the log?A: yes!Q: how does it help us? before <T1 start> <T1, W, 1000, 2000> <T1, Z, 5, 10> <checkpoint> ... <Checkpoint> <T500, B, 10, 12>





Q: how does it help us? A=? on disk? A=? after recovery? B=? on disk? B=? after recovery? C=? on disk? C=? after recovery?

<T1 start> ... <T1 commit> ... <T499, C, 1000, 1200> <checkpoint> <T499 commit> before <T500 start> <T500, A, 200, 400> <checkpoint> <T500, B, 10, 12>





Q: how does it help us? I.e., how is the recovery algorithm? <T1 start> ... <T1 commit> ... <T499, C, 1000, 1200> <checkpoint> <T499 commit> before <T500 start> <T500, A, 200, 400> <checkpoint> <T500, B, 10, 12>





Q: how is the recovery algorithm? A:

- undo uncommitted xacts (eg., T500)
- redo the ones committed after the last checkpoint (eg., none) <T1 start> ... <T1 commit> ... <T499, C, 1000, 1200> <checkpoint> <T499 commit> before <T500 start> <T500, A, 200, 400> <checkpoint> <T500, B, 10, 12>





Assume: strict 2PL



Log helps to rollback transactions (eg., after a deadlock + victim selection) Eg., rollback(T500): go backwards on log; restore old values

#### <T1 start> <checkpoint> <T499 commit> <T500 start> <T500, A, 200, 400> <T300 commit> before <checkpoint> <T500, B, 10, 12> <T500 abort>



- -recovery algo?
- undo uncommitted ones
- redo ones committed
   after the last checkpoint

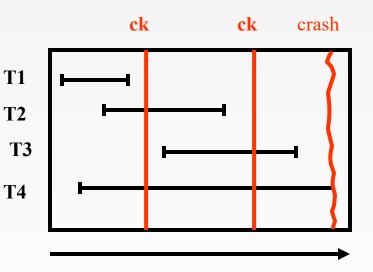
<t1 start=""></t1>		
•••		
<t300 start=""></t300>		
<checkpoint></checkpoint>		
<t499 commit=""></t499>		
<t500 start=""> / before</t500>		
<t500, 200,="" 400="" a,=""></t500,>		
<t300 commit=""></t300>		
<checkpoint></checkpoint>		

<T500, B, 10, 12>



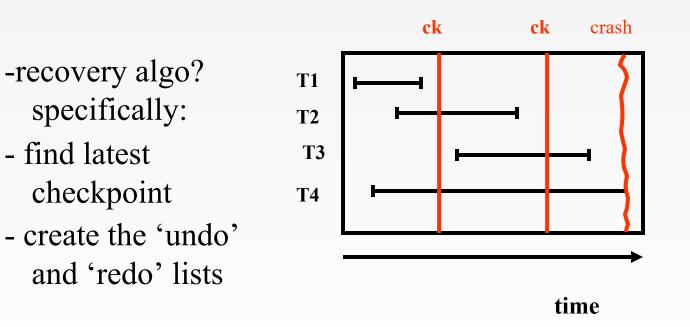
-recovery algo?

- undo uncommitted ones
- redo ones committed **after** the last checkpoint

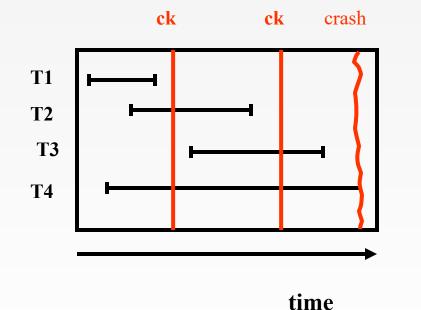


time







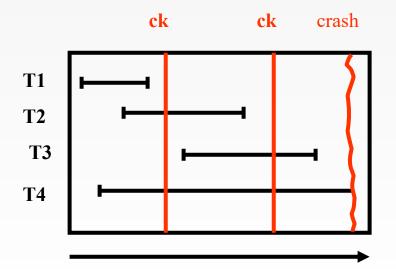




<checkpoint> should also contain a list of 'active' transactions (= not commited yet)



#### <checkpoint> should also contain a list of 'active' transactions





**Recovery algo:** 

- build 'undo' and 'redo' lists
- scan backwards, <u>undoing</u> ops
- by the 'undo'-list transactions
- go to most recent checkpoint
- scan forward, <u>re-doing</u> ops by

the 'redo'-list xacts



**Recovery algo:** 

- build 'undo' and 'redo' lists
- swap? - scan backwards, <u>undoing</u> ops by the 'undo'-list transactions
  - go to most recent checkpoint
  - scan forward, <u>re-doing</u> ops by the 'redo'-list xacts
    Actual ARIES algorithm: more clever (and more complicated) than that



**Observations**/Questions 1) what is the right order to undo/redo? 2) during checkpoints: assume that no changes are allowed by xacts (otherwise, 'fuzzy checkpoints') 3) recovery algo: must be idempotent (ie., can work, even if there is a failure **during** recovery! 4) how to handle buffers of stable storage?



## **Observations**

ARIES (coming up soon) handles all issues:

- 1) redo everything; undo after that
- 2) 'fuzzy checkpoints'
- 3) idempotent recovery
- 4) buffer log records;
  - flush all necessary log records before a page is written
  - flush all necessary log records before a x-act commits



## Conclusions

Write-Ahead Log, for loss of volatile storage, with incremental updates (STEAL, NO FORCE) and checkpoints On recovery: **undo** uncommitted; **redo** committed transactions.



# **Reading and Next Class**

- Logging and Recovery Part 1: Ch 16, 18
- Next: Logging and Recovery Part 2: Ch 18

