

Datenbanksysteme II: Recovery

Ulf Leser

Content of this Lecture

- Transactions
- Failures and Recovery
- Undo Logging
- Redo Logging
- Undo/Redo Logging
- Checkpointing

Transactions

- Transactions are the building blocks of operations on data
 - Sequences of SQL commands, possible embed. in a host language
- Motivation: Consistency
 - Data in a database always must be consistent
 - Inconsistency only tolerated temporarily
 - Inconsistency only tolerated in a controlled manner
- Informal definition: Given a consistent database, any transaction that runs in isolation will perform changes such that the database after executing the transaction is consistent again
 - But not necessarily in-between
- Consistent DB + TX + Synchronization → Consistent DB

Consistent States

- A database instance should be an image of a fraction of the real world
- Simple consistency rules
 - "Peter" is not an Integer
 - "Lehmann-Krause-Ufflhard-Beiersdorf" is longer than 40 characters
 - Every course at a university can have only one responsible teacher
 - A marriage is a connection between two people
 - There can be no tax rate above 100%
 - 300 ° Celsius is not a valid temperature
- Techniques
 - Data types (real, varchar, date, ...)
 - Data model (cardinality of relationships)
 - Constraints: Primary key, unique, foreign key, check, ...

Consistent States

Complex consistency rules

- If there are no purple cats, the attribute "color" of a relation "pets" must never be "purple" is the attribute "type" is "cat"
- 29.2.2005 is not a valid date
- Moving money from one account to another must not change the total amount of money over all accounts
 - To move X Euro from A to B, we must subtract X from account A and add X to account B
 - As things cannot happen at the very same time, in between the database is necessarily inconsistent

Techniques

- Trigger
- Transactions & synchronization

Formally

- TX define consistent states
- Definition:
 - A transaction T is a sequence of operations that, when executed in isolation, moves a database from one consistent state into another consistent state.
- All operations on a database must be part of a transaction
 - You might not notice, e.g., autocommit
 - Whenever a TX ends, a new one is started automatically

ACID Properties

- TX are associated with more than consistency
- Atomicity: All-or-nothing: Every TX happens entirely or not at all
- Consistency: Every TX moves a DB from a consistent state to a consistent state
- Isolation: Every TX can act on data as if there were no further TX running concurrently
- Durability: Changes performed by a TX are stable
 - Stable = preserved against failure of many (but not all) kinds

ACID Properties

- Atomicity: Every TX happens entirely or not at all
- Consistency: Every TX moves a DB from a consistent state to a consistent state
 - Recently, highly distributed protocols introduced "eventually consistent"
- Isolation: Every TX can act on data as if there were no further TX running concurrently
 - Not always achieved / achievable see next lecture
- Durability: Changes performed by a TX are stable
 - Stable = preserved against failure of many (but not all) kinds
 - This is duty of the recovery manager

Transactional Operations

Start T

- Usually performed implicitly
- Every command after an abort or a commit starts a new TX
- Commit T
 - Ends a TX; a consistent state is reached and must be preserved
- Rollback T (abort)
 - Ends a transaction; all changes must be undone
- Savepoint T (makes things easier)
 - Sets a mark in the middle of a transaction (no consistent state)
 - Allows a transaction to be roll-backed to this mark
 - One-level nested transactions

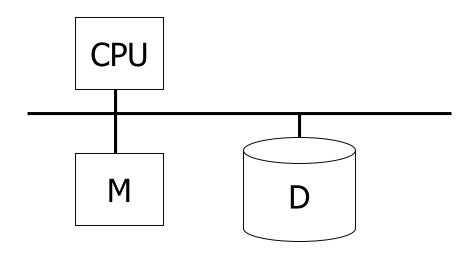
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Recovery

- TX are sequences of operations that take time to execute
- If we switch off power in-between
 - No ACID: TX was not executed entirely or nor
 - No ACID: States within a TX are inconsistent by definition
 - No ACID: changes may not be durable
- Recovery: Actions that allow a database to implement transactional behavior (ACID) despite failures
 - By taking proper actions before the failure happens
 - Does only work for some types of failures
- ACID: Next lecture

Hardware Model



- Memory is volatile, disk is durable
- Assumption: Data in memory is lost, data on disk remains
- Types of events
 - Desired events
 - Undesired but expected
 - Undesired and unexpected

Types of Failures

Undesired but expected

- Expected and compensated by recovery manager
- CPU stops
- Memory is corrupted and CPU stops (CRC check, etc.)
- RDBMS or OS crashes due to program bug
 - Hopefully not a bug in the recovery manager!

Undesired and unexpected

- Not expected by the recovery manager
- Wrong program
- Memory is corrupted and CPU does not notice / stop
- Media failure (but RAID etc.)
- Machine and all discs burn down (but Backup etc.)
- Machine gets infected by malicious and clever virus

Recovery

- During DB-startup, the recovery manager must be able to
 - Recognize that there was an error
 - Restore a consistent state of the database
 - All previously committed changes are present (durability)
 - All previously uncommitted changes are not present (atomicity)
 - Hence: Must know about all TX and their states at time of failure
 - Prepare for crash during ongoing recovery
 - Move to normal operations afterwards
 - Should do this as fast as possible

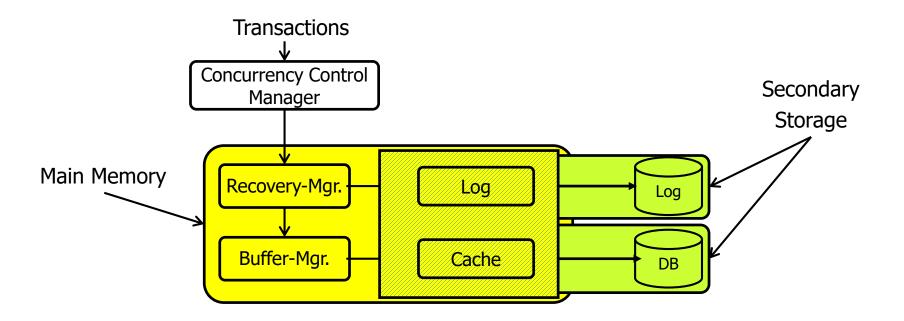
Limits

- Still, errors do happen
- Still, recovery does take time
- Still, media failures do occur
- To ensure 24x7x52 operations, use other methods on top
 - Backup, RAID, cluster with failover, hot-stand-by machine, ...

First Approach

- Naïve approach
 - Phase 1: All changes within a TX are only applied in main memory
 - Never write anything to disk before COMMIT
 - Phase 2: Upon COMMIT, write all changed blocks to disk
- Crash during phase 1
 - Nothing has been written
 - Everything is fine, atomicity and durability is preserved
- Crash during phase 2
 - Some blocks/changes have been written, some not
 - We do not know which, cannot rollback atomicity / durability hurt
- Imagine you are the recovery manager at start-up time
 - Have there been active transactions?
 - Is the DB consistent or not?

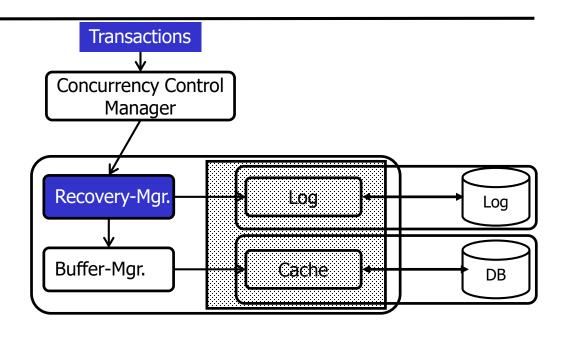
Architecture of a Recovery Manager



- In the following, we talk of "objects"
 - Usually means tuple (+ attribute)
 - Could also be block (more later)

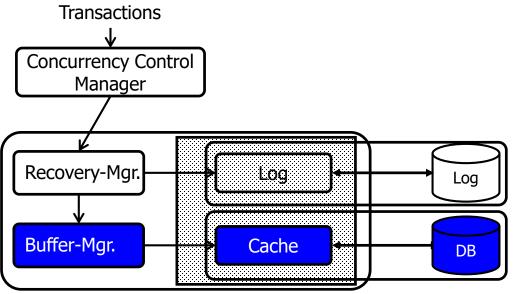
Transactions

- Transactions do
 - Read(X): Read object from block X
 - Write(X): Write object into block X
 - Commit
 - Abort
- Recovery manager intercepts all commands and performs something "secretly"



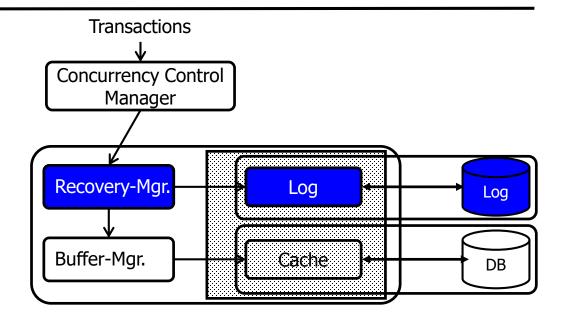
Buffer Manager

- Buffer manager
 - Upon read(X): If X not in mem, load(X); give access to block to TX
 - Involves replacing blocks in cache
 - Upon write(X): Change mem, usually nothing happens on disk
- Time between change in block and writing of changed block is unpredictable for buffer manager
 - In particular, a commit does not write anything to disk per-se
 - Aim of buffer manager: Maximize performance, minimize IO



Recovery Manager

- Intercepts all TX commands
- Performs logging to ensure AC-D
- Decides when logs are written to disk
 - If possible in batches
- Decides when buffers are written to disk
 - If possible in batches



- Assume constraint "A=B" and a transaction T
 - T performs <start; A := A*2; B := B*2; commit;>
- Sequence of operations (assume a write-through)

```
read (A); A := A*2
write (A);
read (B); B := B*2
write (B);
commit;
```

A: 8 16

B: **%** 16

memory

A: & 16

B: & 16

disk

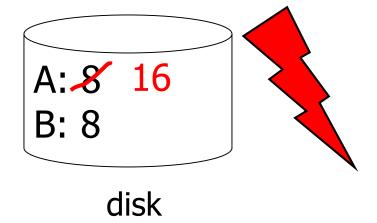
Failures

- Assume constraint A=B and transaction T
 - T performs A := A*2; B := B*2; commit;
- Sequence of operations (assume a write-through)

```
read (A); A := A*2
write (A);
read (B); B := B*2
write (B);
commit;
failure!
```

A: & 16 B: & 16

memory



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Undo Logging - Idea

- Short: "Log before block, block before commit"
 - Log block commit
 - Old values (before update) are saved to log and written to disk before any changed blocks are written
 - Changed blocks may be written early (before commit)
 - Changed blocks must not be written too late (after commit)
- If a commit happens, new values are on disk
 - Do not allow state "committed" before all blocks have been written
- If a crash happens, old values are in log
 - At recovery, always read from logs; not sure what is in the blocks
- Undo-logging: Premature changes are undone

Detailed Rules

During transaction processing

- Buffer manager may write uncommitted changes to disk
 - Gives lots of freedom to write in batches
- Old value must be in a disk-log before block is written
- TX state changes are written to log (TX number)
 - State of a transaction can be recovered from log
- Commits/aborts are also written to log
- Changed blocks must be on disk before commit is flushed to disk

During recovery

- Identify all transactions without commit or abort in log
- Find all log entries (=old values) of these transactions
- Undo changes: Replay entries in reverse order

Structure of the Log

$$W_{T1}(Y)$$
; $W_{T1}(X)$; $W_{T1}(Z)$; abort_{T1}; $W_{T2}(Y)$; commit_{T2}; $W_{T3}(Y)$

Transaction	Object	Old value
Т1	Y0 → Y1	¥0
Т1	$x0 \rightarrow x1$	x0
Т1	Z0 → Z1	z 0
Т1	Abort	
Т2	¥0 → ¥2	Y0
Т2	Commit	
т3	¥2 → ¥3	¥2

- Records: <tID, object (tupleId+attribute), old value>
- Commits and aborts are logged

Undo Logging Rules

Undo logging is based on three rules

- For every changed object generate undo log record with old value
 - For on INSERT, log a DELETE; for a DELETE, log an INSERT
- Before a block is written to disk, undo log record must be on disk
- Before a commit in the log is flushed to disk, all blocks changed by this transaction must have been written to disk

What does "flushing a commit" mean?

- Log records (as data blocks) are preferably written in batches
- Hence, there is a short period between a log operation and the point in time where this record appears on disk
- Flushing the log = writing all not-yet-written log records to disc

Reason for third rule

- All committed transactions are ignored during recovery
- Hence, if failure between log("commit") and writing of last changed block, database is inconsistent and this is not noticed

Example

Sequence of operations

```
- read (A); A := A*2
- write (A);
- read (B); B := B*2
- write (B);
```

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

A: **%** 16 B: **%** 16 A: 8 B: 8

Example – Normal Commit

Sequence of operations

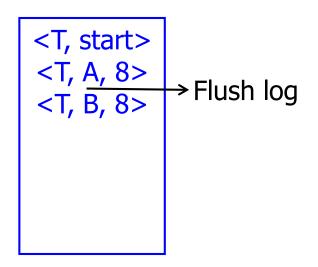
```
- read (A); A := A*2
- write (A);
- read (B); B := B*2
- write (B);
- commit;
```

<T, start>
<T, A, 8>
<T, B, 8>
Flush log
Flush blocks
Flush log

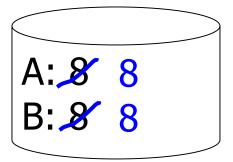
A: 8 16 B: 8 16 A: **%** 16 B: **%** 16

Sequence of operations

```
- read (A); A := A*2
- write (A);
- read (B); B := B*2
- write (B);
- read (C); C:=C-Afailure!
- write (C);
- commit;
```



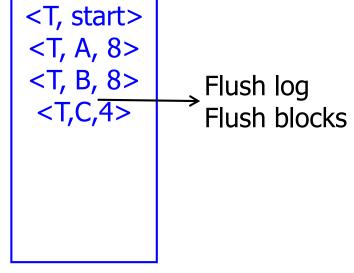
- Changes have not been written yet
 - But some log data
- We nevertheless undo as commit not in log
 - Unnecessary undo's could be omitted in principle if block-writes were logged



Sequence of operations

```
- read (A); A := A*2
- write (A);
- read (B); B := B*2
- write (B);
- read (C); C:=C-A;
- write (C);
- commit;
```

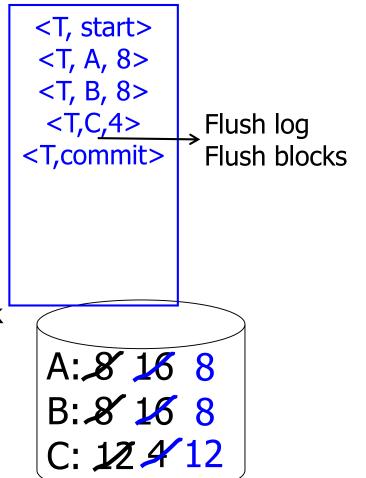
- Some disk blocks have been written, some not; commit has not been written
- We must undo



A: 8 16 8 B: 8 16 8

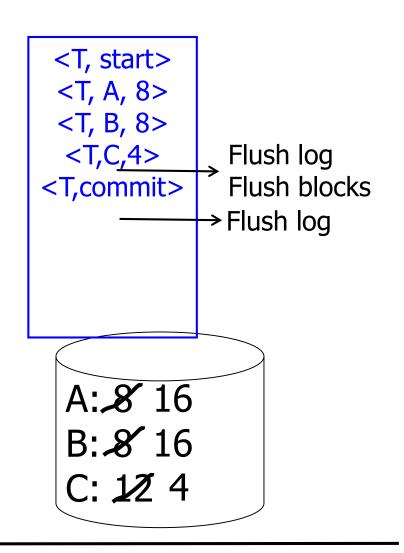
Sequence of operations

- Commit has not been flushed to disk yet
- We must undo all changes



Sequence of operations

- No problem, TX has finished normally
- Nothing to do, all committed changes are on disk



Aborts

- Any transaction may abort instead of commit
 - Deliberately (rare)
 - Triggered by sync manager due to synchronization issues
- Abort is treated similar to commit
 - Perform rollback in memory, replacing old values and treating these replacements as writes in the log
 - Need not be done later
 - Before an "abort" is flushed, all changed blocks must be on disk
 - Some blocks with wrong values might already have been written
 - Such changes of the TX must be undone
- Usage of log data to undo changes during abort
 - Problem: What if logs are already on disk and only there?
 - Quite possible for long-running TX on heavy-write databases
 - Need to reload logs for performing the abort

Recovery using Undo Logging

- When recovery manager is evoked during start-up
 - Read log from back to front (latest first)
 - When <T,commit> or <T,abort> is encountered, mark this TX and ignore all further records regarding T
 - Updated values are certainly on disk
 - If record <T, X, Y> is encountered without T having been marked before, change X to Y in block on disk
 - That is, undo changes in reverse order
 - Updated value may be on disk
 - If record <T, start> is encountered without T having been marked before, write <T,abort> to end of log
 - Marks this transaction as undone for future recoveries
- Doing all this efficiently is a considerable problem in itself
 - We don't want to read/write blocks for every change

Two Issues

- We must read the entire log
 - That may take a very long time
 - Checkpointing later
- What happens if system crashes during recovery?
 - Nothing
 - "Finished recovered" transactions are not undone again (abort has been written)
 - All others are undone
 - Recovery is idempotent

Drawbacks

- Buffer manager is forced to write blocks before flushing commits to log
 - Cannot chose freely when to write to maximize sequential writes
- However, commits should be performed quickly to release locks (see synchronization)
 - Ideally, logs are flushed with every commit
 - Thus, block manager must write blocks all the time
- Trade-Off
 - Batch writes are hindered bad performance
 - Commits are delayed bad performance

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Redo Logging

- We twist the idea the other way round
 - Write new values, not old values, to log
 - Do not write blocks before commit, but ensure that blocks are written after commit
 - Do not undo uncommitted transactions, but ignore them
 - Blocks have not been written
 - We redo committed transactions (ignored by undo logging)
 - Blocks might have not been written
- This defers block writes
 - Bad: Long running TX consume all available memory
 - DB might need to generate temporary areas on disk
 - Good: For short running TX, buffer manager has high degree of freedom when to flush blocks

Redo Logging Rules

Two redo logging rules

- For every write, generate redo log record containing new value
- Before any changed block is written to disk, transaction must have finished and all logs (including commit) must be flushed to disk
- Short: "Log before block, commit before block"
 - Log commit block

Consequence

- No changes that might have to be reset later are written to disk
- Good idea: Flush log with every commit to allow buffer manager to evict blocks from memory
 - Removes freedom from log manager
- Aborts are simple, since no changes have been written to disk;
 aborted TX may be ignored during recovery

How does recovery work?

Recovery with Redo Logging

- When recovery manager is evoked during start-up
 - Generate list L of all committed transactions (one scan)
 - Read log from front to back (earliest first)
 - If record <T, X, Y> is encountered with T∈L, set X to Y
 - That is, redo change in original order
 - Ignore all other records uncommitted transactions

Problem

- Procedure is idempotent, but we always need to redo all ever committed transactions
 - Undo logging also needs to read the entire log, but not undo transactions again and again at every crash
- That is very, very slow
- We really need checkpointing (later)

Wrap-Up

- Undo logging forces too frequent block writes
- Redo logging forces contention in buffer manager and extremely slow recovery
- Solution: Undo/redo logging

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Best of Both Worlds

- We need only two rules
 - Upon change, write old and new value into log
 - Before writing block, always flush respective logs
 - "Respective" all logs affecting objects of this block
 - WAL: Write ahead logging
 - Short: "Log before block"
- Having old and new values suffices to undo uncommitted transactions (undo logging) and redo committed transactions (redo logging)

Situations

- If block is on disk and commit was flushed, then crash
 - Recovery finds committed TX and redoes changes
 - Rec manager cannot be sure that blocks have been written
 - Introduces unnecessary redoing
- If block is on disk but commit not, then crash
 - Recovery finds missing commit and undoes changes
- If block is not on disk and commit was flushed, then crash
 - Recovery finds commit and redoes changes
- If neither block nor commit is on disk, then crash
 - Recovery finds missing commit and undoes changes
 - Introduces unnecessary undoing

Benefits

- Reduced dependencies between log writes and block writes
- Flushing commits is independent of flushing blocks
 - Lock/log manager can finish transactions and release locks by flushing commits without waiting for the block manager
 - Block manager may write blocks without waiting for transactions to commit (which may take a long time – user interactions, waits, ...)
 - But make sure block-specific logs are written first
 - Log manager and buffer manager have more degrees of freedom to organize larger sequential writes

Recovery with Undo/Redo Logging

- When recovery manager is evoked during start-up
 - Collect list L of finished transactions and list U of unfinished transactions
 - Backward pass read from latest to earliest and undo all changes of transactions in U
 - Forward pass read from earliest to latest and redo all changes of transactions in L
- This performs all changes of all transactions since DB start again, but ...
- ... combined with checkpointing, it is very efficient
 - Still generates large log files
 - Strategy for truncation/archiving of log files required

Example

```
1. <T1,start>
2. <T1,A,8,16>
3. <T1,commit>
4. <T2,start>
5. <T2,B,4,5>
6. <T2,A,16,2>
7. <T3,start>
8. <T3,C,2,3>
9. <T3,C,3,7>
10. <T3,commit>
11. CRASH
```

- Potentially on disk at crash: A=2, B=5, C=3
- We should have A=16, B=4, C=7
- Recovery
 - $-L = \{T1, T3\}, U = \{T2\}$
 - Backward read
 - Find records with t∈U: entries 5 and 6
 - Undo: write(A,16), write(B,4); log(t2,abort)
 - Forward read
 - Find entries with t∈L: {2, 8, 9}
 - Redo: write(A,16), write(C,3), write(C,7)
- Will this always work?

Slightly Different Example

```
1. <T1,start>
2. <T1,A,8,16>
3. <T1,commit>
4. <T2,start>
5. <T2,B,4,5>
6. <T2,A,16,2>
7. <T3,start>
8. <T3,A,2,3>
9. <T3,C,3,7>
10. <T3,commit>
11. CRASH
```

What happens?

- T1 changes A and commits
 - Change will be redone
- T2 changes B and A and does not commit
 - Changes will be undone
- T3 reads uncommitted change of A from T2, changes, and commits
 - Change will be redone

Problem

- T3 acts under false premises
- Something is wrong
- But: Synchronization not our business here

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Checkpointing

- Recovery may take very long
 - Undo logging: Find all uncommitted transactions and undo
 - Redo logging: Find all committed transactions and redo
 - Undo/redo logging: Do both
- But: When a transaction is committed, and all changes are written to disc and log is flushed – no need to touch this transaction any more in any future recovery
- Checkpointing: Define points in time (and in log) such that recovery only needs to go back until "roughly" there
- Notation
 A transaction is called active if it has neither committed nor aborted yet

Blocking (Quiescent) Checkpointing

- Simple way to achieve checkpointing
 - Recovery manager announces checkpoint and flushes "start ckpt" to log
 - No new transactions are allowed
 - System runs until all active transactions finish (with commit or abort) and all dirty blocks have been written
 - Recovery manager flushes "end ckpt" to log
 - DBMS resumes normal operations

Quiescent Checkpointing and Undo Logging

- At recovery time ...
- Read from back to front and undo uncommitted transactions
- When the first "end ckpt" is found, recovery is finished
 - All prior transaction have committed or were aborted
 - By the undo logging rules, changes must have been written to disk before commit/abort was flushed to log
- Any "start ckpt" found before the first "end ckpt" is ignored
 - "Before" logged later in time
 - Some transactions that were active at the "start ckpt" time might have finished before the crash – but not all of them
 - Needs recovery

Quiescent Checkpointing and Redo Logging

- At recovery time ...
- Scheme doesn't work as such why not?
 - (... non-quiescent checkpointing is better anyway)
- We would need to ensure that all blocks are written to disk before the "end ckpt" is flushed to log
- More dependencies "end ckpt" is almost like a database shutdown

Non-Quiescent Checkpointing

- Quiescent checkpointing essentially shuts-down DB
- None-Quiescent checkpointing
 - With start of checkpoint, write list of active TXs to log
 - DB always generates new transaction-ID during TX.start
 - When "start ckpt(17,22,23,25)" is found in log during recovery
 - All TX "older than L" had finished before
 - "Older than L": All TX with ID<17 plus TX with ID≤25 that are not in L
 - Four transactions were active at this point in time
 - Further TX might have become active during the checkpoint (ID>25)

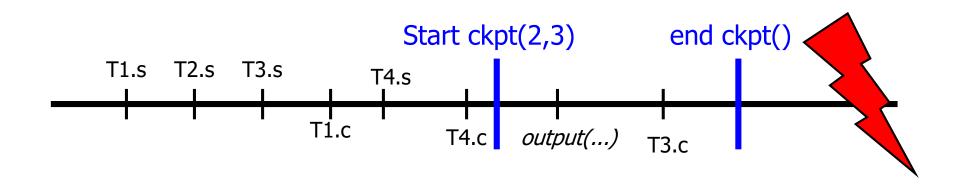
Non-Quiescent Ckpt for Undo/Redo Logging

- Recovery manager flushes "start ckpt(L)" to log
- DB operations continue normally
- All dirty blocks of TX older then L are flushed to disk
 - Need not be performed immediately
 - Advantage: More freedom when to write blocks
 - Disadvantage: Crash before "end chkp" makes checkpoint unusable
- When finished, recovery manager flushes "end ckpt" to log
 - All blocks of TX "older than L" are certainly on disk
 - These TX can be ignored during all future recovery
- Database operations are (almost) unaffected
 - Needs some bookkeeping of affected blocks

Recovery

- Read back in log
- If a "end ckpt" is found first
 - Locate the corresponding "start ckpt(L)"
 - TX older than L can be ignored
 - Perform undo/redo only for TX in L and later
 - Note: This requires reading also prior to "start ckpt(L)"
 - Log entries for TX in L have started before checkpoint
 - These need to be inspected
 - Idea: Chain log record per TX with backward pointers to avoid scans
- If a "start ckpt(L)" is found first
 - Doesn't help
 - We don't know if all blocks have been written already
 - Read further back to next "end ckpt"

Example



Recovery

- Transactions older than (2,3) can be ignored (T1)
- Transactions 2 is undone (no commit)
- Transaction 3 is redone (commit but unclear if blocks are on disk)
- Transaction 4 is redone (considered as newer as L)
 - This can be saves
 - Store with L the highest current transaction ID
 - Change definition of "older than L"

Again: Transactions that Abort

Assume

- Transaction T starts at time X
- Later, "start ckpt(T,...)" starts
- All blocks are flushed
- "end ckpt" is flushed, T is still active
- T aborts regularly
- System crashes

On recovery

- T was active at start of last checkpoint, so treatment necessary
- Some changes might have been written already (before the end of checkpoint), some not (those after the checkpoint)

Again: Transactions that Abort

Two options

- Transaction is considered as not committed
 - All changes are undone
- Transaction is considered as committed
 - So changes are redone
 - This requires that before a log record "abort" is written to disk, all changes of the transaction must have been undone und this must have been logged
 - Hence, the rollback undoing is redone during recovery

TX, Values, and Blocks

- Blocks in buffer usually contain tuples changed by different transactions
- Undo log: Before commit, all changes must be on disk
 - Will include uncommitted changes more undoing later
- Redo log: Before commit, no changes may be on disk
 - New problems for buffer manager always waiting for some active transaction in a block
- Undo/redo logging: No dependency between commit and writing of blocks

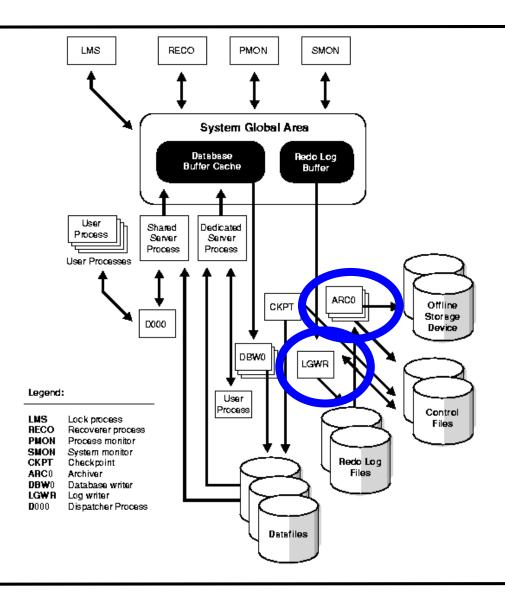
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- Checkpointing
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Recovery in Oracle

- Undo/redo logging with non-quiescent checkpointing
 - LGWR server process writes log in batches
 - Logs are maintained in "online redo log groups"
 - Each log is written in each group
 - Protect log from media failure spread groups over different disks
- Each log group consists of a list of files of fixed max size
 - When last file is full, logging starts filling the first file again
 - In "archive-log" mode, log files are archived before being overwritten
 - When is it save to overwrite logs?
 - With "start ckpt(L)", keep I = "log# of oldest log of any t∈L"
 - When "end ckpt" is reached, all log records older than I can be dumped

Recall



Traveling in Time (Flashback)

- In "archive-log" mode, any point in time is reachable
 - Even committed changes can be undone in principle
- Oracle flashback queries

```
- SELECT X
FROM Y AS OF TIMESTAMP '2007-07-13 02:19:00'
WHERE ...;
```

- Semantics: Return data as of all TX that committed prior to timestamp
 - Implementation: Use undo logs to undo all changes on Y of TX that had not committed prior to t
 - Can rollback some DDL
 - Useful in legal issues (audit: proof what was changed when)

Total Recall

- Normal logs cannot be accessed from within database
 - No SQL query for "Give me a list of all changes applied to this table since ..."
- Versioning: Track changes and make every version easily accessible
 - Linear versioning: At every point in time, there exists one version
 - Hierarchical versioning: Allow different "truths" at same time
 - "whatif analysis"
- Total recall option
 - Tracks all changes per table in immutable "history" tablespaces
 - "Retention" parameter for how long?
 - Internal implementation: Asynchronous analysis of redo/undo logs
 - No triggers, normal operations not affected