Lecture #20

Database Logging
ADMINISTRIVIA

**Project #3** is due Sun April 7, 2024 @ 11:59pm
→ Special OH: Sat April 4, 2024 @ 03:00pm-05:00pm, GHC 5117

**HW #5** is due Sat April 20, 2024 @ 11:59pm

**Final Exam**
→ Thu May 2, 2024 @ 05:30pm-08:30pm

**Lectures #23 and #24**
→ Recorded lectures and will be posted next week

**Lecture #26: Guest Speaker from Snowflake**
→ Devin Petersohn on “Beyond SQL: Dataframes in the Database”
MOTIVATION

Schedule

\[ T_1 \]

BEGIN
R(A)
W(A)
\vdots
COMMIT

Buffer Pool

TIME

Page
MOTIVATION

Schedule

\[ T_1 \]

BEGIN
R(A)
W(A)
⋮
COMMIT

Buffer Pool

Page

A=1

TIME
MOTIVATION

Schedule

BEGIN
R(A)
W(A)
⋮
COMMIT

Buffer Pool

\[
\begin{array}{c}
A=1 \\
\end{array}
\]

Page

TIME

T_1

A=1
MOTIVATION

Schedule

\[ T_1 \]

BEGIN
R(A)
W(A)
\vdots
COMMIT

Buffer Pool

\begin{array}{c}
A=1 \\
\end{array}

Page

\begin{array}{c}
A=1 \\
\end{array}
**MOTIVATION**

Schedule

BEGIN
R(A)
W(A)
⋮
COMMIT

Buffer Pool

A=2

Page
A=1
MOTIVATION
BEGIN
R(A)
W(A)
⋮
COMMIT

Buffer Pool

T₁

Page

A=1

A=2
Schedule

\[ T_1 \]

BEGIN
R(A)
W(A)
\vdots
COMMIT

Buffer Pool

Page

A=1

MOTIVATION

BEGIN R(A) W(A) \vdots COMMIT
CRASH RECOVERY

Recovery algorithms are techniques to ensure database consistency, transaction atomicity, and durability despite failures.

Recovery algorithms have two parts:

→ Actions during normal txn processing to ensure that the DBMS can recover from a failure.
→ Actions after a failure to recover the database to a state that ensures atomicity, consistency, and durability.
TODAY’S AGENDA

Failure Classification

Buffer Pool Policies

Shadow Paging

Write-Ahead Log

Logging Schemes

Checkpoints
STORAGE TYPES

Volatile Storage:
→ Data does **not** persist after power loss or program exit.
→ Examples: DRAM, SRAM

Non-volatile Storage:
→ Data persists after power loss and program exit.
→ Examples: HDD, SDD

Stable Storage:
→ A **non-existent** form of non-volatile storage that survives all possible failures scenarios.
CRASH RECOVERY: INTUITION

Volatile storage where the buffer pool sits, and non-volatile storage below it.

We want high performance, hence want to write to volatile storage.

Allow dirty pages in the buffer pool for performance, with buffer pool replacement policy dictating flush to non-volatile storage.
FAILURE CLASSIFICATION

Type #1 – Transaction Failures

Type #2 – System Failures

Type #3 – Storage Media Failures
TRANSACTION FAILURES

Logical Errors:
→ Transaction cannot complete due to some internal error condition (e.g., integrity constraint violation).

Internal State Errors:
→ DBMS must terminate an active transaction due to an error condition (e.g., deadlock).
SYSTEM FAILURES

Software Failure:
→ Problem with the OS or DBMS implementation (e.g., uncaught divide-by-zero exception).

Hardware Failure:
→ The computer hosting the DBMS crashes (e.g., power plug gets pulled).
→ Fail-stop Assumption: Non-volatile storage contents are assumed to not be corrupted by system crash.
STORAGE MEDIA FAILURE

Non-Repairable Hardware Failure:

→ A head crash or similar disk failure destroys all or part of non-volatile storage.

→ Destruction is assumed to be detectable (e.g., disk controller use checksums to detect failures).

The recovery protocol can’t recover from this! Database must be restored from an archived version.
OBSERVATION

The database’s primary storage location is on non-volatile storage, but this is slower than volatile storage. Use volatile memory for faster access:

→ First copy target record into memory.
→ Perform the writes in memory.
→ Write dirty records back to disk.

The DBMS needs to ensure the following:

→ The changes for any txn are durable once the DBMS has told somebody that it committed.
→ No partial changes are durable if the txn aborted.
UNDO VS. REDO

**Undo**: The process of removing the effects of an incomplete or aborted txn.

**Redo**: The process of re-applying the effects of a committed txn for durability.

How the DBMS supports this functionality depends on how it manages the buffer pool …
BUFFER POOL

Schedule

\[ \begin{align*}
T_1 & \quad T_2 \\
\text{BEGIN} & \quad \text{BEGIN} \\
R(A) & \quad R(B) \\
W(A) & \quad W(B) \\
\vdots & \quad \vdots \\
\text{ABORT} & \\
\text{COMMIT} & \\
\end{align*} \]
BUFFER POOL

Schedule

\[
\begin{array}{c|c}
T_1 & T_2 \\
\hline
\text{BEGIN} & \text{BEGIN} \\
\text{R(A)} & \text{R(B)} \\
\text{W(A)} & \text{W(B)} \\
\vdots & \vdots \\
\text{ABORT} & \text{COMMIT} \\
\end{array}
\]
BEGIN R(A)
W(A)

⋮

ABORT

BEGIN R(B)
W(B)
COMMIT

Buffer Pool

A=1 | B=9 | C=7

A=1 | B=9 | C=7
BEGIN R(A) W(A)
⋮
ABORT

BEGIN R(B) W(B) COMMIT

Buffer Pool
A=3 B=9 C=7

Buffer Pool
A=1 B=9 C=7

Schedule
T₁ T₂
BEGIN R(A) W(A) BEGIN R(B) W(B) COMMIT

TIME

BUFFER POOL
BUFFER POOL

Schedule

\[
\begin{array}{c|c}
T_1 & T_2 \\
\hline
\text{BEGIN} & \text{BEGIN} \\
R(A) & R(B) \\
W(A) & \\
\vdots & \\
\text{ABORT} & \\
\end{array}
\]

Buffer Pool

\[
\begin{array}{c}
A=1 \\
B=9 \\
C=7 \\
A=3 \\
B=9 \\
C=7 \\
\end{array}
\]
### Buffer Pool

**Schedule**

<table>
<thead>
<tr>
<th>Time</th>
<th>Operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>$T_1$</td>
<td>BEGIN $R(A)$ $W(A)$ $\vdots$ ABORT</td>
</tr>
<tr>
<td></td>
<td>BEGIN $R(B)$ $W(B)$ COMMIT</td>
</tr>
<tr>
<td>$T_2$</td>
<td></td>
</tr>
</tbody>
</table>

**Buffer Pool**

- $A = 3$
- $B = 8$
- $C = 7$

**Database**

- $A = 1$
- $B = 9$
- $C = 7$
Buffer Pool

T1  T2
BEGIN
R(A)
W(A)
BEGIN
R(B)
W(B)
COMMIT
ABORT

Do we force T2’s changes to be written to disk?
Buffer Pool

Schedule

\[ T_1 \quad T_2 \]

Is \( T_1 \) allowed to overwrite \( A \) even though it has not committed?

BEGIN
R(A)
W(A)

⋮

ABORT

BEGIN
R(B)
W(B)
COMMIT

Do we force \( T_2 \)'s changes to be written to disk?

A=3  B=8  C=7

A=1  B=9  C=7
**BUFFER POOL**

**Schedule**

\[ T_1 \quad T_2 \]

Is \( T_1 \) allowed to overwrite \( A \) even though it has not committed?

Do we force \( T_2 \)'s changes to be written to disk?

\[
\begin{align*}
W(A) & \quad \text{BEGIN} \\
& \quad \text{R(B)} \\
& \quad \text{W(B)} \\
& \quad \text{COMMIT} \\
& \quad \vdots \\
& \quad \text{ABORT}
\end{align*}
\]

\[
\begin{array}{c}
A=1 \\
B=9 \\
C=7
\end{array}
\]

\[
\begin{array}{c}
A=3 \\
B=8 \\
C=7
\end{array}
\]
.Buffer Pool

Schedule

\[ T_1 \quad T_2 \]

Is \( T_1 \) allowed to overwrite \( A \) even though it has not committed?

Do we force \( T_2 \)'s changes to be written to disk?

\[
\begin{align*}
\text{BEGIN} & \\
\text{R}(A) & \\
\text{W}(A) & \\
\vdots & \\
\text{ABORT} & \\
\text{BEGIN} & \\
\text{R}(B) & \\
\text{W}(B) & \\
\text{COMMIT} & \\
A=3 & \\
B=8 & \\
C=7 & \\
A=3 & \\
B=8 & \\
C=7 & 
\end{align*}
\]
What happens when we need to rollback $T_1$?
STEAL POLICY

Whether the DBMS allows an uncommitted txn to overwrite the most recent committed value of an object in non-volatile storage.

STEAL: Is allowed.

NO-STEAL: Is not allowed.
FORCE POLICY

Whether the DBMS requires that all updates made by a txn are reflected on non-volatile storage before the txn can commit.

FORCE: Is required.

NO-FORCE: Is not required.
NO-STEAL + FORCE

Schedule

\[ T_1 \quad T_2 \]

\begin{align*}
\text{BEGIN} & \quad \text{R(A)} \\
\text{R(A)} & \quad \text{W(A)} \\
\vdots & \\
\text{ABORT} & \\
\text{BEGIN} & \quad \text{R(B)} \\
\text{R(B)} & \quad \text{W(B)} \\
\text{COMMIT} & 
\end{align*}

Buffer Pool

\begin{align*}
\text{A=1} & \quad \text{B=9} & \quad \text{C=7} 
\end{align*}
NO-STEAL + FORCE

Schedule

\[ T_1 \]
BEGIN
R(A)
W(A)
⋮
ABORT

\[ T_2 \]
BEGIN
R(B)
W(B)
COMMIT

Buffer Pool

A=1
B=9
C=7
NO-STEAL + FORCE

Schedule

T₁

BEGIN
R(A)
W(A)

⋮

ABORT

T₂

BEGIN
R(B)
W(B)
COMMIT

Buffer Pool

A=1  B=9  C=7

A=1  B=9  C=7
**NO-STEAL + FORCE**

**Schedule**

<table>
<thead>
<tr>
<th>$T_1$</th>
<th>$T_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>BEGIN R(A) W(A)</td>
<td>BEGIN R(B) W(B) COMMIT</td>
</tr>
<tr>
<td>\vdots</td>
<td></td>
</tr>
<tr>
<td>ABORT</td>
<td></td>
</tr>
</tbody>
</table>

**Buffer Pool**

<table>
<thead>
<tr>
<th>A=3</th>
<th>B=9</th>
<th>C=7</th>
</tr>
</thead>
</table>

The diagram illustrates the execution of transactions $T_1$ and $T_2$ in a database system, showing how transactions are scheduled and how they access the buffer pool. The diagram highlights the concept of not stealing and force, where data is accessed and modified according to the specified rules.

**Example:**

- Transaction $T_1$ starts with a read of A and writes to A.
- Transaction $T_2$ starts with a read of B and write to B.
- $T_2$ commits its transaction.
- The buffer pool shows the updated values A=3, B=9, C=7.
NO-STEAL + FORCE

Schedule

\[
\begin{align*}
T_1 & \quad \text{BEGIN} \\
 & \quad \text{R(A)} \\
 & \quad \text{W(A)} \\
& \quad \vdots \\
& \quad \text{ABORT}
\end{align*}
\]

\[
\begin{align*}
T_2 & \quad \text{BEGIN} \\
 & \quad \text{R(B)} \\
 & \quad \text{W(B)} \\
 & \quad \text{COMMIT}
\end{align*}
\]

Buffer Pool

\[
\begin{array}{c|c|c}
A & B & C \\
---&---&---
A=3 & B=9 & C=7
\end{array}
\]

A=1 B=9 C=7
NO-STEAL + FORCE

Schedule

\[ T_1 \]
BEGIN
R(A)
W(A)
⋮
ABORT

\[ T_2 \]
BEGIN
R(B)
W(B)
COMMIT

Buffer Pool

A=3 B=8 C=7

A=1 B=9 C=7
**NO-STEAL + FORCE**

**Schedule**

T₁

BEGIN R(A) W(A)

⋮

ABORT

T₂

BEGIN R(B) W(B)

COMMIT

**Buffer Pool**

A=3  B=8  C=7

**FORCE** means that T₂ changes must be written to disk at this point.
NO-STEAL + FORCE

Schedule

**NO-STEAL** means that $T_1$ changes cannot be written to disk yet.

FORCE means that $T_2$ changes must be written to disk at this point.
**NO-STEAL + FORCE**

**Schedule**

- **NO-STEAL** means that $T_1$ changes cannot be written to disk yet.
- **FORCE** means that $T_2$ changes must be written to disk at this point.

```
BEGIN R(A) W(A)
⋮
ABORT

BEGIN R(B) W(B)
COMMIT

A=1 B=8 C=7
```

- $A=3$ $B=8$ $C=7$
- $A=1$ $B=8$ $C=7$
- $A=1$ $B=9$ $C=7$

Copy

Disk
**NO-STEAL + FORCE**

**Schedule**

**NO-STEAL** means that $T_1$ changes cannot be written to disk yet.

**FORCE** means that $T_2$ changes must be written to disk at this point.

BEGIN
R(A)
W(A)
⋮
ABORT

BEGIN
R(B)
W(B)
COMMIT

A=1
B=8
C=7

FORCE means that $T_2$ changes must be written to disk at this point.
**NO-STEAL + FORCE**

---

**Schedule**

- **$T_1$**
  - BEGIN
  - R(A)
  - W(A)
  - ... (multiple reads and writes)
  - ABORT

- **$T_2$**
  - BEGIN
  - R(B)
  - W(B)
  - COMMIT

**Buffer Pool**

- A=1
- B=8
- C=7

---

Now it’s trivial to rollback $T_1$. 
**NO-STEAL + FORCE**

This approach is the easiest to implement:
→ Never have to undo changes of an aborted txn because the changes were not written to disk.
→ Never have to redo changes of a committed txn because all the changes are guaranteed to be written to disk at commit time (assuming atomic hardware writes).

Previous example cannot support **write sets** that exceed the amount of physical memory available.
SHADOW PAGING

Instead of copying the entire database, the DBMS copies pages on write to create two versions:

→ Master: Contains only changes from committed txns.
→ Shadow: Temporary database with changes made from uncommitted txns.

To install updates when a txn commits, overwrite the root so it points to the shadow, thereby swapping the master and shadow.

Buffer Pool Policy: NO-STEAL + FORCE
SHADOW PAGING – EXAMPLE

Memory

Disk

Master Page Table

DB Root
SHADOW PAGING – EXAMPLE

Memory

1
2
3
4

Master Page Table

DB Root

Disk

Database Root

Txn $T_1$
SHADOW PAGING – EXAMPLE

Memory

Disk

**Database Root**

**Txn T₁**

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DB Root</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Master Page Table**

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Shadow Page Table**

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**SHADOW PAGING - EXAMPLE**

**Read-only txns access the current master.**

**Active modifying txn updates shadow pages.**

*Disk*

- **Database Root**
- Shadow Page Table
- Master Page Table

*DB Root*

- **Txn T₁**
SHADOW PAGING – EXAMPLE

Read-only txns access the current master.

Active modifying txn updates shadow pages.

Disk

Database Root

Master Page Table

Transaction T1

Update

Shadow Page Table

DB Root
SHADOW PAGING – EXAMPLE

Read-only txns access the current master.

Active modifying txn updates shadow pages.

Database Root

Master Page Table

Shadow Page Table

Txn $T_1$
SHADOW PAGING – EXAMPLE

Read-only txns access the current master.

Active modifyingtxn updates shadow pages.

Txn $T_1$

Master Page Table

Shadow Page Table

Database Root

Disk
SHADOW PAGING – EXAMPLE

Read-only txns access the current master.

Active modifying txn updates shadow pages.

Disk

Master Page Table

Shadow Page Table

Database Root

Txn T₁
SHADOW PAGING – EXAMPLE

Read-only txns access the current master.

Active modifying txn updates shadow pages.

Txn $T_1$

COMMIT
SHADOW PAGING – EXAMPLE

Read-only txns access the current master.

Active modifying txn updates shadow pages.

Txn $T_1$

Commit

Disk

Database Root

Update

Master Page Table

Shadow Page Table

DB Root

1
2
3
4

1
2
3
4

1
2
3
4

1
2
3
4

1
2
3
4

Read-only txns access the current master.

Active modifying txn updates shadow pages.
**SHADOW PAGING – EXAMPLE**

Read-only txns access the current master.

Disk

Database Root

Active modifying txn updates shadow pages.

Txn $T_1$

COMMIT
**SHADOW PAGING – EXAMPLE**

- **Master Page Table**
  - Page 1
  - Page 2
  - Page 3
  - Page 4

- **Shadow Page Table**
  - Page 1
  - Page 2
  - Page 3
  - Page 4

- **Disk**
  - **Database Root**

- **Update**
  - Page 1
  - Page 2
  - Page 3
  - Page 4

**txn T₁**

- **DB Root**
  - Page 1
  - Page 2
  - Page 3
  - Page 4

**Read-only txns access the current master.**

**Active modifying txn updates shadow pages.**
SHADOW PAGING – EXAMPLE

Memory

Disk

Transaction $T_1$

$\text{COMMIT}$
Supporting rollbacks and recovery is easy.

**Undo**: Remove the shadow pages. Leave the master and the DB root pointer alone.

**Redo**: Not needed at all.
SHADOW PAGING – DISADVANTAGES

Copying the entire page table is expensive:
→ Use a page table structured like a B+tree (LMDB).
→ No need to copy entire tree, only need to copy paths in the tree that lead to updated leaf nodes.

Commit overhead is high:
→ Flush every updated page, page table, and root.
→ Data gets fragmented (bad for sequential scans).
→ Need garbage collection.
→ Only supports one writer txn at a time or txns in a batch.
SQLite (Pre-2010)

When a txn modifies a page, the DBMS copies the original page to a separate journal file before overwriting master version.

→ Called “rollback mode”.

After restarting, if a journal file exists, then the DBMS restores it to undo changes from uncommitted txns.
When a txn modifies a page, the DBMS copies the original page to a separate journal file before overwriting master version. → Called “rollback mode”.

After restarting, if a journal file exists, then the DBMS restores it to undo changes from uncommitted txns.
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When a txn modifies a page, the DBMS copies the original page to a separate journal file before overwriting master version.
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When a txn modifies a page, the DBMS copies the original page to a separate journal file before overwriting master version.

→ Called “rollback mode”.

After restarting, if a journal file exists, then the DBMS restores it to undo changes from uncommitted txns.
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When a txn modifies a page, the DBMS copies the original page to a separate journal file before overwriting master version.
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When atxn modifies a page, the DBMS copies the original page to a separate journal file before overwriting master version. → Called "rollback mode".

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After restarting, if a journal file exists, then the DBMS restores it to undo changes from uncommitted txns.
OBSERVATION

Shadowing page requires the DBMS to perform writes to random non-contiguous pages on disk.

We need a way for the DBMS convert random writes into sequential writes.
WRITE-AHEAD LOG

Maintain a log file separate from data files that contains the changes that txns make to database.

→ Assume that the log is on stable storage.
→ Log contains enough information to perform the necessary undo and redo actions to restore the database.

DBMS must write to disk the log file records that correspond to changes made to a database object before it can flush that object to disk.

Buffer Pool Policy: **STEAL + NO-FORCE**
### BUFFER POOL AND WAL

<table>
<thead>
<tr>
<th>Force</th>
<th>Steal</th>
<th>Desired</th>
<th>Trivial</th>
</tr>
</thead>
<tbody>
<tr>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>No</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**No-Force**
- **Concern**: Crash before a page is flushed to disk. Durability?
- **Solution**: Force a summary/log @ commit. Use to **REDO**.

**Force** (on every update, flush the updated page to disk)
- Poor response time, but enforces durability of committed txns.

**No-Steal**
- Low throughput, but works for aborted txns.

**Steal** (flush an unpinned dirty page even if the updating txn. is active)
- **Concern**: A stolen+flushed page was modified by an uncommitted txn. T.
- If T aborts, how is atomicity enforced?
- **Solution**: Remember old value (logs). Use to **UNDO**.
WAL PROTOCOL

The DBMS stages all a txn’s log records in volatile storage (usually backed by buffer pool).

All log records pertaining to an updated page are written to non-volatile storage before the page itself is over-written in non-volatile storage.

A txn is not considered committed until all its log records have been written to stable storage.
WAL PROTOCOL

Write a `<BEGIN>` record to the log for each txn to mark its starting point.

When a txn finishes, the DBMS will:

→ Write a `<COMMIT>` record on the log.
→ Make sure that all log records are flushed before it returns an acknowledgement to application.
WAL PROTOCOL

Each log entry contains information about the change to a single object:

→ Transaction Id
→ Object Id
→ Before Value (UNDO)
→ After Value (REDO)

Not necessary if using append-only MVCC
WAL - EXAMPLE

Schedule

\[ T_1 \]

BEGIN
W(A)
W(B)
⋮
COMMIT

WAL Buffer

Buffer Pool

A=1  B=5  C=7
WAL - EXAMPLE

Schedule

\[ T_1 \]

BEGIN
W(A)
W(B)
⋮

COMMIT

WAL Buffer

\(< T_1 \text{ BEGIN} >\)

Buffer Pool

A=1  B=5  C=7
WAL - EXAMPLE

Schedule

TIME

T₁

BEGIN
W(A)
W(B)
⋮
COMMIT

WAL Buffer

<T₁ BEGIN>

Buffer Pool

A=1 B=5 C=7

WAL – EXAMPLE
WAL - EXAMPLE

Schedule

T₁

BEGIN
W(A)
W(B)
⋮
COMMIT

WAL Buffer

<T₁ BEGIN>
<T₁, A, 1, 8>

Buffer Pool

A=1  B=5  C=7

TIME
**WAL - EXAMPLE**

**Schedule**

\[ T_1 \]

BEGIN
\[ W(A) \]
\[ W(B) \]
\[ \vdots \]
COMMIT

**WAL Buffer**

1. \( <T_1 \text{ BEGIN}> \)
2. \( <T_1, \ A, \ 1, \ 8> \)

**Buffer Pool**

A=8, B=5, C=7
**WAL - EXAMPLE**

**Schedule**

\[ T_1 \]

- BEGIN
- \( W(A) \)
- \( W(B) \)
- \( \vdots \)
- COMMIT

**WAL Buffer**

\(<T_1 \text{ BEGIN}>\)
\(<T_1, A, 1, 8>\)
\(<T_1, B, 5, 9>\)

**Buffer Pool**

\( A=8 \quad B=9 \quad C=7 \)
WAL - EXAMPLE

Schedule

TIME

T_1

BEGIN
W(A)
W(B)
\vdots
COMMIT

WAL Buffer

<T_1 \text{ BEGIN}>
<T_1, A, 1, 8>
<T_1, B, 5, 9>
<T_1 \text{ COMMIT}>

Buffer Pool

A=8 B=9 C=7

WAL

\text{EXAMPLE}

<T_1, B, 5, 9>
<T_1, \text{ COMMIT}>

A=1 B=5 C=7
WAL - EXAMPLE

Schedule

\[
T_1 \\
BEGIN \ W(A) \ W(B) \ \cdots \ COMMIT
\]

Txn result is now safe to return to application.

WAL Buffer

\[
\langle T_1 \mbox{ BEGIN} \rangle \\
\langle T_1, A, 1, 8 \rangle \\
\langle T_1, B, 5, 9 \rangle \\
\langle T_1 \mbox{ COMMIT} \rangle
\]

Buffer Pool

\[
A=8 \ B=9 \ C=7
\]
WAL - EXAMPLE

**Schedule**

```
T_1
BEGIN
W(A)
W(B)
⋮
COMMIT
```

**WAL Buffer**

```
<T_1 BEGIN>
<T_1, A, 1, 8>
<T_1, B, 5, 9>
<T_1 COMMIT>
⋮
```

**Buffer Pool**

```
A=8 B=9 C=7
```

**WAL Buffer Example**

```
<T_1 BEGIN>
<T_1, A, 1, 8>
<T_1, B, 5, 9>
<T_1 COMMIT>
```

**Buffer Example**

```
A=1 B=5 C=7
```
WAL - EXAMPLE

Schedule

\[ T_1 \]

BEGIN
W(A)
W(B)
•
COMMIT

WAL Buffer

\[ \times \]

Buffer Pool

\[ \times \]
WAL - EXAMPLE

Schedule

\[ T_1 \]
BEGIN
W(A)
W(B)
\vdots
COMMIT

WAL Buffer

\[ \langle T_1, \text{BEGIN} \rangle \]
\[ \langle T_1, \text{A, 1, 8} \rangle \]
\[ \langle T_1, \text{B, 5, 9} \rangle \]
\[ \langle T_1, \text{COMMIT} \rangle \]

Buffer Pool

A=1 B=5 C=7

Everything we need to restore \( T_1 \) is in the log!
WAL – IMPLEMENTATION

Flushing the log buffer to disk every time a txn commits will become a bottleneck.

The DBMS can use the group commit optimization to batch multiple log flushes together to amortize overhead.

→ When the buffer is full, flush it to disk.
→ Or if there is a timeout (e.g., 5 ms).
WAL - GROUP COMMIT

Schedule

T₁  T₂

BEGIN
W(A)
W(B)
⋮
COMMIT

BEGIN
W(C)
W(D)
⋮
COMMIT

WAL Buffers
WAL - GROUP COMMIT

Schedule

<table>
<thead>
<tr>
<th>Time</th>
<th>T1</th>
<th>T2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin</td>
<td>W(A)</td>
<td>W(B)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commit</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

WAL Buffers

<table>
<thead>
<tr>
<th>Time</th>
<th>T2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin</td>
<td>W(C)</td>
</tr>
<tr>
<td>W(D)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Commit</td>
<td></td>
</tr>
</tbody>
</table>
|     |     | D, 3, 4>
WAL - GROUP COMMIT

Schedule

T₁

BEGIN
W(A)
W(B)

⋮

COMMIT

T₂

BEGIN
W(C)
W(D)

⋮

COMMIT

WAL Buffers

<T₁, BEGIN>
WAL - GROUP COMMIT

Schedule

T₁
BEGIN
W(A)
W(B)
...
COMMIT

T₂
BEGIN
W(C)
W(D)
...
COMMIT

WAL Buffers

<T₁, BEGIN>
<T₁, A, 1, 8>
<T₂, D, 3, 4>
WAL - GROUP COMMIT

**Schedule**

- **T₁**
  - BEGIN
  - W(A)
  - W(B)
  - ...
  - COMMIT
- **T₂**
  - BEGIN
  - W(C)
  - W(D)
  - ...
  - COMMIT

**WAL Buffers**

- <T₁, BEGIN>
- <T₁, A, 1, 8>
- <T₁, B, 5, 9>
- <T₂, D, 3, 4>
WAL - GROUP COMMIT

Schedule

\[ \text{T}_1 \quad \text{T}_2 \]

\[
\begin{align*}
\text{BEGIN} & \quad \text{BEGIN} \\
W(A) & \quad W(C) \\
W(B) & \quad W(D) \\
\vdots & \quad \vdots \\
\text{COMMIT} & \quad \text{COMMIT}
\end{align*}
\]

WAL Buffers

\[
\begin{align*}
\langle \text{T}_1, \text{BEGIN} \rangle \\
\langle \text{T}_1, A, 1, 8 \rangle \\
\langle \text{T}_1, B, 5, 9 \rangle \\
\langle \text{T}_2, \text{BEGIN} \rangle \\
\langle \text{T}_1, A, 1, 8 \rangle \\
\langle \text{T}_2, D, 3, 4 \rangle
\end{align*}
\]
WAL - GROUP COMMIT

Schedule

Begin
W(A)
W(B)

Begin
W(C)
W(D)

Commit

WAL Buffers

<T1 BEGIN>
<T1, A, 1, 8>
<T1, B, 5, 9>
<T2 BEGIN>
<T2, C, 1, 2>
WAL - GROUP COMMIT

**Schedule**

<table>
<thead>
<tr>
<th>Time</th>
<th>Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>T₁</td>
<td>BEGIN W(A)</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>W(B)</td>
</tr>
<tr>
<td>T₂</td>
<td>BEGIN W(C)</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>W(D)</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>COMMIT</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>COMMIT</td>
</tr>
</tbody>
</table>

**Flush the buffer when it is full.**

- `<T₁ BEGIN>`
- `<T₁, A, 1, 8>`
- `<T₁, B, 5, 9>`
- `<T₂ BEGIN>`
- `<T₂, C, 1, 2>`

Flush the buffer when it is full.
## WAL - GROUP COMMIT

### Schedule

<table>
<thead>
<tr>
<th>Time</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>$T_1$</td>
<td>BEGIN</td>
</tr>
<tr>
<td>$T_1$</td>
<td>W(A)</td>
</tr>
<tr>
<td>$T_1$</td>
<td>W(B)</td>
</tr>
<tr>
<td>$T_2$</td>
<td>W(C)</td>
</tr>
<tr>
<td>$T_2$</td>
<td>W(D)</td>
</tr>
<tr>
<td></td>
<td>COMMIT</td>
</tr>
</tbody>
</table>

### WAL Buffers

- `<T_1 BEGIN>`
- `<T_1, A, 1, 8>`
- `<T_1, B, 5, 9>`
- `<T_2 BEGIN>`
- `<T_2, C, 1, 2>`
- `<T_2, D, 3, 4>`

**Flush the buffer when it is full.**
WAL - GROUP COMMIT

Schedule

T₁
BEGIN
W(A)
W(B)
⋯
COMMIT

T₂
BEGIN
W(C)
W(D)
⋯
COMMIT

WAL Buffers

<T₁ BEGIN>
<T₁, A, 1, 8>
<T₁, B, 5, 9>
<T₂ BEGIN>
<T₂, C, 1, 2>

<T₂, D, 3, 4>

<T₁, A, 1, 8>
<T₁, B, 5, 9>
<T₂, C, 1, 2>

<T₂, D, 3, 4>

TIME
WAL - GROUP COMMIT

Schedule

\[
\begin{array}{c}
T_1 \\
\text{BEGIN} \\
W(A) \\
W(B) \\
\vdots \\
\text{COMMIT} \\
\end{array} \\
\begin{array}{c}
T_2 \\
\text{BEGIN} \\
W(C) \\
W(D) \\
\vdots \\
\text{COMMIT} \\
\end{array}
\]

WAL Buffers

\[
\begin{array}{c}
\langle T_1 \text{ BEGIN} \rangle \\
\langle T_1, A, 1, 8 \rangle \\
\langle T_1, B, 5, 9 \rangle \\
\langle T_2 \text{ BEGIN} \rangle \\
\langle T_2, C, 1, 2 \rangle \\
\\langle T_2, D, 3, 4 \rangle \\
\end{array}
\]

\[
\begin{array}{c}
\langle T_1 \text{ BEGIN} \rangle \\
\langle T_1, A, 1, 8 \rangle \\
\langle T_1, B, 5, 9 \rangle \\
\langle T_2 \text{ BEGIN} \rangle \\
\langle T_2, C, 1, 2 \rangle \\
\end{array}
\]

\[
\begin{array}{c}
\langle T_1 \text{ BEGIN} \rangle \\
\langle T_1, A, 1, 8 \rangle \\
\langle T_1, B, 5, 9 \rangle \\
\langle T_2 \text{ BEGIN} \rangle \\
\langle T_2, C, 1, 2 \rangle \\
\end{array}
\]
WAL - GROUP COMMIT

Schedule

TIME

T₁

BEGIN
W(A)
W(B)

⋮

COMMIT

T₂

BEGIN
W(C)
W(D)

⋮

COMMIT

WAL Buffers

<T₁ BEGIN>
<T₁, A, 1, 8>
<T₁, B, 5, 9>
<T₂ BEGIN>
<T₂, C, 1, 2>

<T₂, D, 3, 4>

<T₁, BEGIN>
<T₁, A, 1, 8>
<T₁, B, 5, 9>
<T₂, BEGIN>
<T₂, C, 1, 2>
WAL – GROUP COMMIT

Schedule

T₁

BEGIN
W(A)
W(B)

⋮

COMMIT

T₂

BEGIN
W(C)
W(D)

⋮

COMMIT

WAL Buffers

<T₁, BEGIN>
<T₁, A, 1, 8>
<T₁, B, 5, 9>
<T₁, BEGIN>

<T₂, C, 1, 2>

<T₂, D, 3, 4>

Flush after an elapsed amount of time.
WAL - GROUP COMMIT

Schedule

TIME

T₁

BEGIN
W(A)
W(B)

⋮

COMMIT

T₂

BEGIN
W(C)
W(D)

⋮

COMMIT

WAL Buffers

Flush after an elapsed amount of time.

<T₁, BEGIN>
<T₁, A, 1, 8>
<T₁, B, 5, 9>
<T₂, BEGIN>
<T₂, C, 1, 2>

<T₂, D, 3, 4>

Flush after an elapsed amount of time.
WAL - GROUP COMMIT

Schedule

TIME

WAL Buffers

Flush after an elapsed amount of time.
Almost every DBMS uses **NO-FORCE + STEAL**

Runtime Performance

<table>
<thead>
<tr>
<th></th>
<th>NO-STEAL</th>
<th>STEAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO-FORCE</td>
<td>–</td>
<td>Fastest</td>
</tr>
<tr>
<td>FORCE</td>
<td>Slowest</td>
<td>–</td>
</tr>
</tbody>
</table>

Recovery Performance

<table>
<thead>
<tr>
<th></th>
<th>NO-STEAL</th>
<th>STEAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>NO-FORCE</td>
<td>–</td>
<td>Slowest</td>
</tr>
<tr>
<td>FORCE</td>
<td>Fastest</td>
<td>–</td>
</tr>
</tbody>
</table>

**Undo + Redo**

**No Undo + No Redo**
LOGGING SCHEMES

Physical Logging
→ Record the byte-level changes made to a specific page.
→ Example: `git diff`

Logical Logging
→ Record the high-level operations executed by txns.
→ Example: `UPDATE`, `DELETE`, and `INSERT` queries.

Physiological Logging
→ Physical-to-a-page, logical-within-a-page.
→ Hybrid approach with byte-level changes for a single tuple identified by page id + slot number.
→ Does not specify organization of the page.
LOGGING SCHEMES

**Physical**

\[<T_1,\]
\[\text{Table}=X,\]
\[\text{Page}=99,\]
\[\text{Offset}=1024,\]
\[\text{Before}=ABC,\]
\[\text{After}=XYZ>\]

\[<T_1,\]
\[\text{Index}=X\_\text{PKEY},\]
\[\text{Page}=45,\]
\[\text{Offset}=9,\]
\[\text{Key}=(1,\text{Record1})>\]

**Logical**

\[<T_1,\]
\[\text{Query}="\text{UPDATE} \ foo \ \text{SET} \ \text{val}=XYZ \ \text{WHERE} \ \text{id}=1">\]

**Physiological**

\[<T_1,\]
\[\text{Table}=X,\]
\[\text{Page}=99,\]
\[\text{Slot}=1,\]
\[\text{Before}=ABC,\]
\[\text{After}=XYZ>\]

\[<T_1,\]
\[\text{Index}=X\_\text{PKEY},\]
\[\text{IndexPage}=45,\]
\[\text{Key}=(1,\text{Record1})>\]

**Example Query**

\[\text{UPDATE} \ foo \ \text{SET} \ \text{val}=XYZ \ \text{WHERE} \ \text{id}=1;\]
PHYSICAL VS. LOGICAL LOGGING

Logical logging requires less data written in each log record than physical logging.

Difficult to implement recovery with logical logging if you have concurrent txns running at lower isolation levels.
→ Hard to determine which parts of the database may have been modified by a query before crash.
→ Also takes longer to recover because you must re-execute every txn all over again.
Log-structured DBMSs do not have dirty pages.

→ Any page retrieved from disk is immutable.

The DBMS buffers log records in in-memory pages (MemTable). If this buffer is full, it must be flushed to disk. But it may contain changes uncommitted txns.

These DBMSs still maintain a separate WAL to recreate the MemTable on crash.
CHECKPOINTS

The WAL will grow forever.

After a crash, the DBMS must replay the entire log, which will take a long time.

The DBMS periodically takes a checkpoint where it flushes all buffers out to disk.

→ This provides a hint on how far back it needs to replay the WAL after a crash.
CHECKPOINTS

Blocking / Consistent Checkpoint Protocol:

→ Pause all queries.
→ Flush all WAL records in memory to disk.
→ Flush all modified pages in the buffer pool to disk.
→ Write a <CHECKPOINT> entry to WAL and flush to disk.
→ Resume queries.
CHECKPOINTS

Use the `CHECKPOINT` record as the starting point for analyzing the WAL. Any txn that committed before the checkpoint is ignored ($T_1$). $T_2 + T_3$ did not commit before the last checkpoint. → Need to redo $T_2$ because it committed after checkpoint. → Need to undo $T_3$ because it did not commit before the crash.
CHECKPOINTS

Use the `<CHECKPOINT>` record as the starting point for analyzing the WAL.

WAL

- `<T1 BEGIN>`
- `<T1, A, 1, 2>`
- `<T1 COMMIT>`
- `<T2 BEGIN>`
- `<T2 BEGIN>`
- `<T2, A, 2, 3>`
- `<T3 BEGIN>`
- `<CHECKPOINT>`
- `<T2, B, 4, 5>`
- `<T2 COMMIT>`
- `<T3, A, 3, 4>`
-...

→ Need to redo `T2` because it committed after checkpoint.

→ Need to undo `T3` because it did not commit before the crash.
CHECKPOINTS

Use the `<CHECKPOINT>` record as the starting point for analyzing the WAL.

Any txn that committed before the checkpoint is ignored (T₁).

WAL

- `<T1 BEGIN>`
- `<T1, A, 1, 2>`
- `<T1 COMMIT>`
- `<T2 BEGIN>`
- `<T2, A, 2, 3>`
- `<T3 BEGIN>`
- `<CHECKPOINT>`
- `<T2, B, 4, 5>`
- `<T2 COMMIT>`
- `<T3, A, 3, 4>`
CHECKPOINTS

Use the <CHECKPOINT> record as the starting point for analyzing the WAL.

Any txn that committed before the checkpoint is ignored (T₁).

T₂ + T₃ did not commit before the last checkpoint.
→ Need to redo T₂ because it committed after checkpoint.
→ Need to undo T₃ because it did not commit before the crash.
CHECKPOINTS – CHALLENGES

In this example, the DBMS must stall txns when it takes a checkpoint to ensure a consistent snapshot.
→ We will see how to get around this problem next class.

Scanning the log to find uncommitted txns can take a long time.
→ Unavoidable but we will add hints to the <CHECKPOINT> record to speed things up next class.

How often the DBMS should take checkpoints depends on many different factors...
CHECKPOINTS – FREQUENCY

Checkpointing too often causes the runtime performance to degrade.
→ System spends too much time flushing buffers.

But waiting a long time is just as bad:
→ The checkpoint will be large and slow.
→ Makes recovery time much longer.

Tunable option that depends on application recovery time requirements.
CONCLUSION

Write-Ahead Logging is (almost) always the best approach to handle loss of volatile storage.

Use incremental updates (**STEAL + NO-FORCE**) with checkpoints.

On Recovery: **undo** uncommitted txns + **redo** committed txns.
NEXT CLASS

Better Checkpoint Protocols.

Recovery with ARIES.