

# Advanced Databases

## Transactions

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by Silberschatz, Korth, Sudarshan

<http://codex.cs.yale.edu/avi/db-book/db6/slide-dir/index.html>

# Outline

- 1 Transaction Concept
- 2 Concurrent Executions
- 3 Serializability
- 4 Recoverability
- 5 Implementation of Isolation / SQL

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# Transaction Concept

- A **transaction** is a **unit of program execution** that accesses and possibly updates various data items.
- E.g., transaction to transfer \$50 from account A to account B:
  1. **read**(A)
  2.  $A := A - 50$
  3. **write**(A)
  4. **read**(B)
  5.  $B := B + 50$
  6. **write**(B)
- **Two main issues** to deal with:
  - Failures of various kinds, such as **hardware failures** and system crashes
  - **Concurrent execution** of multiple transactions

# Required Properties of a Transaction/1

- E.g., transaction to transfer \$50 from account A to account B:
  1. **read**(A)
  2.  $A := A - 50$
  3. **write**(A)
  4. **read**(B)
  5.  $B := B + 50$
  6. **write**(B)
- **Atomicity requirement**
  - If the transaction fails after step 3 and before step 6, money will be “lost” leading to an **inconsistent database state**
    - Failure could be due to software or hardware
  - The system should ensure that updates of a **partially executed transaction** are not reflected in the database
- **Durability requirement** — once the user has been notified that the transaction has completed (i.e., the transfer of the \$50 has taken place), the **updates** to the database by the transaction **must persist** even if there are software or hardware failures.

# Required Properties of a Transaction/2

- Consistency requirement in above example:
  - The sum of A and B is unchanged by the execution of the transaction
- In general, consistency requirements include
  - Explicitly specified integrity constraints such as primary keys and foreign keys
  - Implicit integrity constraints
    - e.g., sum of balances of all accounts, minus sum of loan amounts must equal value of cash-in-hand
- A transaction, when starting to execute, must see a consistent database.
- During transaction execution the database may be temporarily inconsistent.
- When the transaction completes successfully the database must be consistent
  - Erroneous transaction logic can lead to inconsistency

# Required Properties of a Transaction/3

- **Isolation requirement** — if between steps 3 and 6 (of the fund transfer transaction), another transaction T2 is allowed to access the partially updated database, it will see an **inconsistent database** (the sum  $A + B$  will be less than it should be).

<b>T1</b>	<b>T2</b>
1. <b>read</b> (A)	
2. $A := A - 50$	
3. <b>write</b> (A)	
	<b>read</b> (A), <b>read</b> (B), <b>print</b> (A + B)
4. <b>read</b> (B)	
5. $B := B + 50$	
6. <b>write</b> (B)	

- Isolation can be ensured trivially by running transactions **serially**.
- However, executing multiple transactions **concurrently** has significant benefits.

# ACID Properties

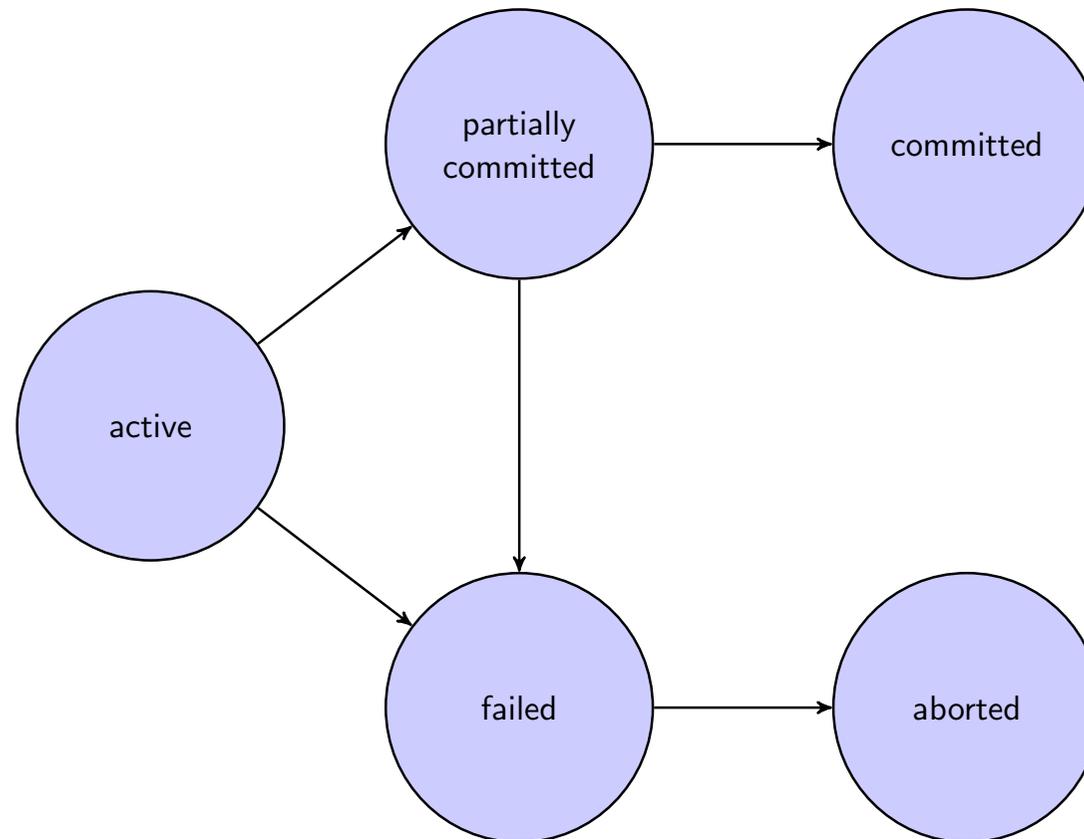
A **transaction** is a unit of program execution that accesses and possibly updates various data items. To preserve the integrity of data the database system must ensure:

- **Atomicity**. Either **all operations** of the transaction are properly reflected in the database **or none** are.
- **Consistency**. Execution of a transaction **in isolation** preserves the **consistency** of the database.
- **Isolation**. Although multiple transactions may execute concurrently, each transaction must be **unaware of other concurrently executing transactions**. Intermediate transaction results must be hidden from other concurrently executed transactions.
  - That is, for every pair of transactions  $T_i$  and  $T_j$ , it appears to  $T_i$  that either  $T_j$  finished execution before  $T_i$  started, or  $T_j$  started execution after  $T_i$  finished.
- **Durability**. After a transaction completes successfully, the changes it has made to the **database persist**, even if there are system failures.

# Transaction State/1

- **Active** — the **initial state**; the transaction stays in this state while it is executing
- **Partially committed** — **after the final statement** has been executed.
- **Failed** — after the discovery that **normal execution can no longer proceed**.
- **Aborted** — after the transaction has been **rolled back and the database restored** to its state prior to the start of the transaction.  
Two options after it has been aborted:
  - **Restart** the transaction
    - can be done only if no internal logical error
  - **Kill** the transaction
- **Committed** — after **successful completion**.

## Transaction State/2



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# Concurrent Executions

- Multiple transactions are allowed to run **concurrently** in the system. Advantages are:
  - **Increased processor and disk utilization**, leading to better transaction throughput, e.g., one transaction can be using the CPU while another is reading from or writing to the disk
  - **Reduced average response time** for transactions: short transactions need not wait behind long ones.
- **Concurrency control schemes**
  - mechanisms to **achieve isolation**
  - **control the interaction** among the concurrent transactions in order to prevent them from destroying the consistency of the database

# Schedules

- **Schedule** — a **sequence** of instructions that specify the **chronological order** in which instructions of **concurrent transactions** are executed
  - A schedule for a set of transactions must **consist of all instructions** of those transactions.
  - Must **preserve the order** in which the instructions appear in each individual transaction.
- A transaction that successfully completes its execution will have a **commit instruction** as the last statement.
- A transaction that fails to successfully complete its execution will have an **abort instruction** as the last statement.

# Schedule 1

- Let  $T_1$  transfer \$50 from  $A$  to  $B$ , and  $T_2$  transfer 10% of the balance from  $A$  to  $B$ .
- An example of a **serial** schedule in which  $T_1$  is followed by  $T_2$ :

$T_1$	$T_2$
<i>read(A)</i>	
<i>A := A - 50</i>	
<i>write(A)</i>	
<i>read(B)</i>	
<i>B := B + 50</i>	
<i>write(B)</i>	
<i>commit</i>	
	<i>read(A)</i>
	<i>temp := A * 0.1</i>
	<i>A := A - temp</i>
	<i>write(A)</i>
	<i>read(B)</i>
	<i>B := B + temp</i>
	<i>write(B)</i>
	<i>commit</i>

## Schedule 2

- A **serial** schedule in which  $T_2$  is followed by  $T_1$ :

$T_1$	$T_2$
	<i>read(A)</i>
	<i>temp := A * 0.1</i>
	<i>A := A - temp</i>
	<i>write(A)</i>
	<i>read(B)</i>
	<i>B := B + temp</i>
	<i>write(B)</i>
	<i>commit</i>
<i>read(A)</i>	
<i>A := A - 50</i>	
<i>write(A)</i>	
<i>read(B)</i>	
<i>B := B + 50</i>	
<i>write(B)</i>	
<i>commit</i>	

## Schedule 3

- Let  $T_1$  and  $T_2$  be the transactions defined previously. The following schedule is **not a serial schedule**, but it is **equivalent** to Schedule 1.

$T_1$	$T_2$
<i>read(A)</i>	
$A := A - 50$	
<i>write(A)</i>	
	<i>read(A)</i>
	$temp := A * 0.1$
	$A := A - temp$
	<i>write(A)</i>
<i>read(B)</i>	
$B := B + 50$	
<i>write(B)</i>	
<i>commit</i>	
	<i>read(B)</i>
	$B := B + temp$
	<i>write(B)</i>
	<i>commit</i>

Note — In schedules 1, 2 and 3, the sum “ $A + B$ ” is preserved.

## Schedule 4

- The following concurrent schedule does not preserve the sum of “ $A + B$ ”

$T_1$	$T_2$
<i>read(A)</i>	
$A := A - 50$	
	<i>read(A)</i>
	$temp := A * 0.1$
	$A := A - temp$
	<i>write(A)</i>
	<i>read(B)</i>
<i>write(A)</i>	
<i>read(B)</i>	
$B := B + 50$	
<i>write(B)</i>	
<i>commit</i>	
	$B := B + temp$
	<i>write(B)</i>
	<i>commit</i>

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# Concurrent Executions

- **Basic Assumption** — Each transaction preserves database consistency.
- Thus, **serial execution** of a set of transactions **preserves database consistency**.
- A (possibly concurrent) schedule is **serializable** if it is **equivalent to a serial schedule**. Different forms of schedule equivalence give rise to the notions of:
  - **conflict serializability**
  - **view serializability**

# Simplified model of transactions

- We ignore **operations** other than **read** and **write** instructions
- We assume that transactions may perform **arbitrary computations** on data in **local buffers** in between reads and writes.
- Our simplified **schedules consist of only read** and **write** instructions.

# Conflicting Instructions

- Let  $I_i$  and  $I_j$  be two instructions of transactions  $T_i$  and  $T_j$  respectively. Instructions  $I_i$  and  $I_j$  **conflict** if and only if there exists some **item  $Q$  accessed by both  $I_i$  and  $I_j$ , and at least one of these instructions wrote  $Q$ .**

$I_i$	$I_j$	
read(Q)	read(Q)	no conflict
read(Q)	write(Q)	conflict
write(Q)	read(Q)	conflict
write(Q)	write(Q)	conflict

- Intuitively, a conflict between  $I_i$  and  $I_j$  **forces a (logical) temporal order** between them.
- If  $I_i$  and  $I_j$  are **consecutive** in a schedule and they **do not conflict**, their results would remain the same even if they had been interchanged in the schedule.

# Conflict Serializability/1

- If a schedule  $S$  can be transformed into a schedule  $S'$  by a series of swaps of non-conflicting instructions, then  $S$  and  $S'$  are **conflict equivalent**.
- A schedule  $S$  is conflict serializable if and only if it is **conflict equivalent** to a serial schedule.

# Conflict Serializability/2

- Schedule 3 and (serial) Schedule 6 are conflict equivalent, therefore Schedule 3 is conflict serializable.

$T_1$	$T_2$
<i>read(A)</i>	
<i>write(A)</i>	
	<i>read(A)</i>
	<i>write(A)</i>
<i>read(B)</i>	
<i>write(B)</i>	
	<i>read(B)</i>
	<i>write(B)</i>

Table: Schedule 3

$T_1$	$T_2$
<i>read(A)</i>	
<i>write(A)</i>	
<i>read(B)</i>	
<i>write(B)</i>	
	<i>read(A)</i>
	<i>write(A)</i>
	<i>read(B)</i>
	<i>write(B)</i>

Table: Schedule 6

# Conflict Serializability/3

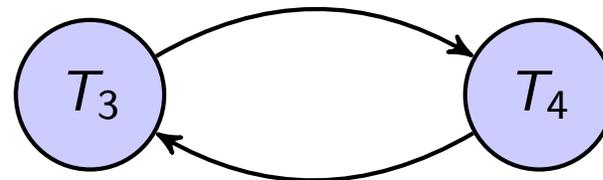
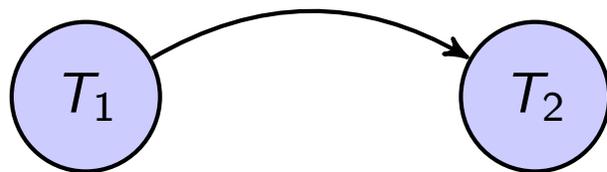
- Example of a schedule that is **not conflict serializable**:

$T_3$	$T_4$
$read(Q)$	
	$write(Q)$
$read(Q)$	

- We are **unable to swap non-conflicting instructions** in the above schedule to obtain either the serial schedule  $\langle T_3, T_4 \rangle$ , or the serial schedule  $\langle T_4, T_3 \rangle$ .

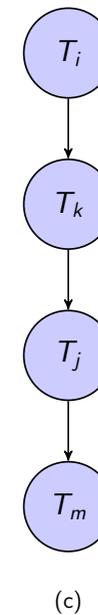
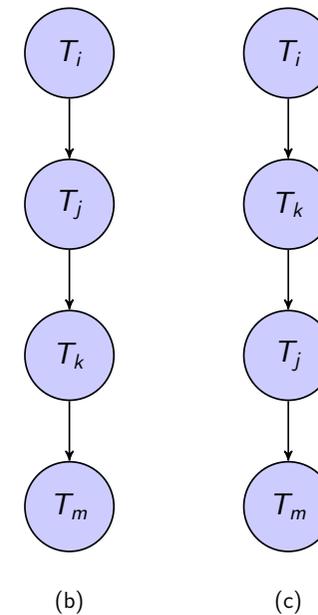
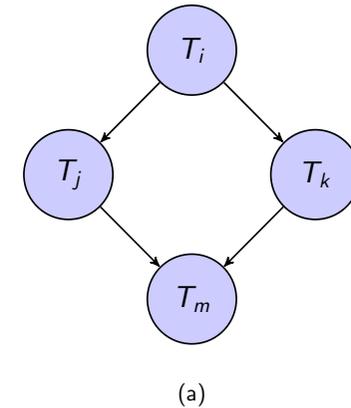
# Precedence Graph

- Consider some **schedule** of a set of transactions  $T_1, T_2, \dots, T_n$
- **Precedence graph**: a direct graph where the vertices are the transactions (names).
- We draw an **arc** from  $T_i$  to  $T_j$  if the two transaction conflict, and  $T_i$  accessed the data item on which the conflict arose earlier.
- We may **label the arc by the item** that was accessed.
- **Example**



# Testing for Conflict Serializability

- A schedule is **conflict serializable** if and only if its **precedence graph** is **acyclic**.
- **Cycle detection**: depending on the algorithm, cycle detection takes
  - order  $n^2$  runtime, where  $n$  is the number of vertices in the graph, or
  - order  $n + e$  runtime, where  $e$  is the number of edges.
- **Serializability order**: is obtained by a **topological sorting** of the acyclic graph, i.e., a **linear order consistent with the partial order** of the graph.
- **Example**: a serializability order for the schedule (a) would be one of either (b) or (c)



# View Serializability/1

- Let  $S$  and  $S'$  be two schedules with the same set of transactions.  $S$  and  $S'$  are **view equivalent** if the following **three conditions** are met for each data item  $Q$ :
  1. If in schedule  $S$  transaction  $T_i$  reads the initial value of  $Q$ , then also in schedule  $S'$  transaction  $T_i$  must read the initial value of  $Q$ .
  2. If in schedule  $S$  transaction  $T_i$  executes  $read(Q)$ , and that value was produced by transaction  $T_j$  (if any), then also in schedule  $S'$  transaction  $T_i$  must read the value of  $Q$  that was produced by the same  $write(Q)$  operation of transaction  $T_j$ .
  3. The transaction (if any) that performs the final  $write(Q)$  operation in schedule  $S$  must also perform the final  $write(Q)$  operation in schedule  $S'$ .
- Like conflict equivalence, view equivalence is **based purely on reads and writes**.

## View Serializability/2

- A schedule  $S$  is **view serializable** if it is view equivalent to a serial schedule.
- Every **conflict serializable** schedule is also **view serializable**.
- Below is a schedule which is **view-serializable** but not **conflict serializable**.

$T_{27}$	$T_{28}$	$T_{29}$
$read(Q)$	$write(Q)$	
$write(Q)$		$write(Q)$

- What serial schedule is the schedule above equivalent to?
- Every view serializable schedule that is not conflict serializable has **blind writes**.

# Test for View Serializability

- The **precedence graph** test for conflict serializability cannot be used directly to test for view serializability.
- The so-called **polygraph** is used to test for view serializability:
  - some of the **edges** in the polygraph form **mutale exclusive** pairs, i.e., only one of the two edges in a pair is required;
  - if there is a **choice of edges** such that the resulting graph is **asyctic**, then the corresponding schedule is view serializable.
- The problem of checking if a schedule is view serializable falls in the class of **NP-complete** problems, i.e., it is assumed to be **intractable**.
- However, practical algorithms that just check some **sufficient conditions** for view serializability can still be used.

# More Complex Notions of Serializability

- The following schedule produces the same result as the serial schedule  $\langle T_1, T_5 \rangle$ , yet is **neither conflict equivalent nor view equivalent** to it.

$T_1$	$T_5$
$read(A)$	
$A := A - 50$	
$write(A)$	
	$read(B)$
	$B := B - 10$
	$write(B)$
$read(B)$	
$B := B + 50$	
$write(B)$	
	$read(A)$
	$A := A + 10$
	$write(A)$

- Example: If we start with  $A = 1000$  and  $B = 2000$ , the final result is  $A = 960$  and  $B = 2040$  as for the serial schedule  $\langle T_1, T_5 \rangle$ .
- Such equivalences cannot be derived by analysing reads and writes alone: in the example, the commutativity of the operations is relevant.

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# Recoverable Schedules

- **Recoverable schedule** — if a transaction  $T_j$  reads a data item previously written by a transaction  $T_i$ , then the commit operation of  $T_i$  **must** appear before the commit operation of  $T_j$ .
- The **following schedule is not recoverable**:  $T_9$  reads  $A$  written by  $T_8$  but commits before  $T_8$ .

$T_8$	$T_9$
<i>read(A)</i>	
<i>write(A)</i>	
	<i>read(A)</i>
	$C \leftarrow A$
	<i>write(C)</i>
	<i>commit</i>
<i>read(B)</i>	

- If  $T_8$  aborts,  $T_9$  has read and copied an **inconsistent database state**.
- Database **must** ensure that schedules are recoverable.

# Cascading Rollbacks

- **Cascading rollback:** a single transaction failure leads to a **series of transaction rollbacks**.
- Consider the following schedule where none of the transactions has yet committed (so the schedule is recoverable):

$T_{10}$	$T_{11}$	$T_{12}$
<i>read(A)</i>		
<i>read(B)</i>		
<i>write(A)</i>	<i>read(A)</i>	
	<i>write(A)</i>	
		<i>read(A)</i>
<i>abort</i>		

If  $T_{10}$  fails,  $T_{11}$  and  $T_{12}$  must also be rolled back.

- Can lead to the **undoing of a significant amount of work**.

# Cascadeless Schedules

- **Cascadeless schedules** — for each pair of transactions  $T_i$  and  $T_j$  such that  $T_j$  reads a data item previously written by  $T_i$ , the commit operation of  $T_i$  appears before the read operation of  $T_j$ .
- Every cascadeless schedule is **also recoverable**.
- Example of a schedule that is NOT cascadeless:

$T_{10}$	$T_{11}$	$T_{12}$
$read(A)$		
$read(B)$		
$write(A)$		
	$read(A)$	
	$write(A)$	
		$read(A)$
$abort$		

- It is *desirable* to restrict the schedules to those that are cascadeless.

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# Concurrency Control and Recoverability

- A database must provide a mechanism that will ensure that all possible schedules are both:
  - conflict serializable
  - recoverable and preferably cascadeless
- A policy in which only one transaction can execute at a time generates serial schedules, but provides a poor degree of concurrency.
- Concurrency-control schemes tradeoff between the amount of concurrency they allow and the amount of overhead that they incur.
- Protocols that assure serializability and recoverability are required:
  - testing a schedule for serializability after it has executed (e.g., cycle detection in precedence graphs) is too late!
  - serializability tests help us to understand why a concurrency control protocol is correct

# Weak Levels of Consistency

- Some applications are willing to live with weak levels of consistency, **allowing schedules that are not serializable**, e.g.:
  - a read-only transaction that computes an approximate total balance of all accounts
  - database statistics computed for query optimization can be **approximate**
- Such transactions need not be serializable with respect to other transactions.
- **Tradeoff:** accuracy for performance

# Undesirable Phenomena of Concurrent Transactions

- Dirty read

- transaction reads data written by concurrent uncommitted transaction
- problem: read may return a value that was never in the database because the writing transaction aborted

- Non-repeatable read

- different reads on the same item within a single transaction give different results (caused by other transactions)
- e.g., concurrent transactions  $T_1: x = R(A), y = R(A), z = y - x$  and  $T_2: W(A = 2 * A)$ , then  $z$  can be either zero or the initial value of  $A$  (should be zero!)

- Phantom read

- repeating the same query later in the transaction gives a different set of result tuples
- other transactions can insert new tuples during a scan
- e.g., “Q: get accounts with *balance* > 1000” gives two tuples the first time, then a new account with *balance* > 1000 is inserted by an other transaction; the second time Q gives three tuples

# Isolation Guarantees (SQL Standard)

- **Read uncommitted**: dirty, non-repeatable, phantom
  - reads may access uncommitted data
  - writes do not overwrite uncommitted data
- **Read committed**: non-repeatable, phantom
  - reads can access only committed data
  - **cursor stability**: in addition, read is repeatable within single SELECT
- **Repeatable read**: phantom
  - phantom reads possible
- **Serializable**:
  - none of the undesired phenomenas can happen

# Transaction Definition in SQL

- Data manipulation language must include a construct for specifying the set of **actions that comprise a transaction**.
- In SQL, a transaction begins implicitly.
  - **BEGIN [TRANSACTION ISOLATION LEVEL ...]**
  - **Isolation levels**: read committed, read uncommitted, repeatable read, serializable
- A transaction in SQL ends by:
  - **COMMIT** commits current transaction and begins a new one.
  - **ROLLBACK** causes current transaction to abort.
- Typically, an SQL statement **commits implicitly** if it executes successfully
  - Implicit commit can be turned off by a database directive, e.g. in JDBC, `connection.setAutoCommit(false)`;