Part VII

Transactions, Integrity and Triggers
1 Basic Terms

Transactions, Integrity and Triggers
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1. Basic Terms

2. Term Transaction
Transactions, Integrity and Triggers

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2. Term Transaction

3. Transactions in SQL
Transactions, Integrity and Triggers

1. Basic Terms
2. Term Transaction
3. Transactions in SQL
4. Integrity Conditions in SQL
Transactions, Integrity and Triggers

1. Basic Terms
2. Term Transaction
3. Transactions in SQL
4. Integrity Conditions in SQL
5. Trigger
Learning goals for today . . .

- Understanding of fundamentals of integrity assurance in databases
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- Understanding of fundamentals of integrity assurance in databases
- Knowledge to formalize and implement integrity constraints
Learning goals for today . . .

- Understanding of fundamentals of integrity assurance in databases
- Knowledge to formalize and implement integrity constraints
- Knowledge of the transaction concept in databases
Integrity

- **Integrity constraint** (*also: assertion*): Condition for the "permissibility" or "correctness" with respect to databases:
  - (single) database states,
  - state transitions from an old to a new database state,
  - long term database progression
## Classification of Integrity

<table>
<thead>
<tr>
<th>Condition Class</th>
<th>Temporal Context</th>
</tr>
</thead>
<tbody>
<tr>
<td>static</td>
<td>database state</td>
</tr>
<tr>
<td>dynamic</td>
<td>transitional state</td>
</tr>
<tr>
<td></td>
<td>temporal state sequence</td>
</tr>
</tbody>
</table>

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Inherent Integrity Conditions in the RM

1. **Type Integrity:**
   - SQL allows output of a range of values for attributes
   - Permission or forbid of null values

2. **Key Integrity:**
   - Specification of a key for a relation

3. **Referential Integrity:**
   - Specification of foreign keys
Example Scenarios

- Seat reservation for flights simultaneously from multiple travel agencies
  → Seat could be sold multiple times when multiple travel agencies identify the seat as available

- Overlapping account operations of a bank

- Static database operations
  → results are corrupted when data is changed during the calculation
A **transaction** is a sequence of operations (actions) that convert the database from a consistent state into a consistent, eventually changed, state, while the **ACID-principle** must be hold.

**Aspects:**
- Semantic Integrity: Correct (consistent) DB-state after a transaction has finished
- Operational Integrity: Prevent fault caused by "simultaneous" access of multiple users on the same data
ACID-Properties

- **Atomicity:**
  Transaction is executed completely or not at all

- **Consistency:**
  Database is before the start and after the end of a transaction in a consistent state

- **Isolation:**
  User, who is working on a database, should have the impression that she works alone on the database

- **Durability (Persistence):**
  The result of transaction has to be saved "permanently" in a database after the transaction competed successfully
Commands of a Transaction Language

- Begin of a transaction: Begin-of-Transaction-Command **BOT** (implicit in SQL!)
- **commit**: a transaction should be finished successfully
- **abort**: the transaction should be aborted
Transaction: Integrity Violation

Example:
- Transfer of an amount $A$ from a household post $K1$ to another post $K2$
- Condition: Sum of the account balances stays constant

Simplified notation

$$Transfer = \langle K1:=K1-A; K2:=K2+A \rangle;$$

Realization in SQL: as sequence of two elemental changes
Condition is not necessarily fulfilled between single changing steps!
Transaction: Behavior at System Crash

Transaction: Behavior at System Crash

$T_1$
$T_2$
$T_3$
$T_4$
$T_5$

Crash

$t_f$

Time
Transaction: Behavior at System Crash /2

Consequences:

- Contents of the volatile memory at the time $t_f$ is unusable $\rightarrow$ transactions in different ways affected by this

Transaction states:

- Still active transactions at the time of the failure ($T_2$ and $T_4$)
- Already finished transactions before the time of the failure ($T_1$, $T_3$ and $T_5$)
Simplified Model for Transactions

- Representation of database changes of a transaction
  - **read**\((A, x)\): assign the value of the DB-object \(A\) to the variable \(x\)
  - **write**\((x, A)\): save the value of the variable \(x\) in the DB-object \(A\)

- Example of a transaction \(T\):

  ```
  read(A, x); x := x - 200; write(x, A);
  read(B, y); y := y + 100; write(y, B);
  ```

- Execution variants for two transactions \(T_1, T_2\):
  - serially, e.g. \(T_1\) before \(T_2\)
  - "mixed", e.g. alternating steps of \(T_1\) and \(T_2\)
Problems with Multi-User Operation

- Nonrepeatable Read
- Dependencies on not released data: Dirty Read
- The Phantom-Problem
- Lost Update
Nonrepeatable Read

Example:

- Assurance $x = A + B + C$ at the end of transaction $T_1$
- $x, y, z$ are local variables
- $T_i$ is the transaction $i$
- Integrity conditions $A + B + C = 0$
Example for Nonrepeatable Read

<table>
<thead>
<tr>
<th>(T_1)</th>
<th>(T_2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(\text{read}(A, x)); (\text{read}(B, y)); (x := x + y); (\text{read}(C, z)); (x := x + z); \text{commit};)</td>
<td>(\text{read}(A, y)); (y := y/2); (\text{write}(y, A)); (\text{read}(C, z)); (z := z + y); (\text{write}(z, C)); \text{commit};)</td>
</tr>
</tbody>
</table>
## Dirty Read

<table>
<thead>
<tr>
<th>$T_1$</th>
<th>$T_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>read($A, x$);</td>
<td>read($A, x$);</td>
</tr>
<tr>
<td>$x := x + 100$;</td>
<td>read($B, y$);</td>
</tr>
<tr>
<td>write($x, A$);</td>
<td>$y := y + x$;</td>
</tr>
<tr>
<td>abort;</td>
<td>write($y, B$);</td>
</tr>
<tr>
<td></td>
<td>commit;</td>
</tr>
</tbody>
</table>
### The Phantom-Problem

<table>
<thead>
<tr>
<th>$T_1$</th>
<th>$T_2$</th>
</tr>
</thead>
</table>
| \text{select count}(*) \text{ into } X \text{ from Customer;} | \text{insert into Customer}  
\text{values} ('Meier', 0, ...);  
\text{commit;} |
| \text{update Customer}  
\text{set Bonus = Bonus +} 10000/X;  
\text{commit;} |
Lost Update

<table>
<thead>
<tr>
<th>$T_1$</th>
<th>$T_2$</th>
<th>$A$</th>
</tr>
</thead>
<tbody>
<tr>
<td>read($A, x$);</td>
<td>read($A, x$);</td>
<td>10</td>
</tr>
<tr>
<td>$x := x + 1$;</td>
<td>$x := x + 1$;</td>
<td>10</td>
</tr>
<tr>
<td>write($x, A$);</td>
<td>write($x, A$);</td>
<td>11</td>
</tr>
</tbody>
</table>
Serializability

A crossed execution of multiple transactions is called **serializable**, if their effect is identical to the effect of a (arbitrarily chosen) serial execution of these transactions.

**Schedule:** Plan of execution for transactions, consisting of order of transaction operations
Transactions in SQL-DBS

Weakening of ACID in SQL: Isolation levels

```
set transaction
  [ { read only | read write }, ]
[isolation level
  { read uncommitted |
    read committed |
    repeatable read |
    serializable }, ]
[ diagnostics size ...]
```

Default settings:

```
set transaction read write,
  isolation level serializable
```
**Meaning of Isolation Levels**

- **read uncommitted**
  - weakest level: access to not written data, only for *read only* transactions
  - statistic and similar transactions (approximate overview, incorrect values)
  - no locks → efficient executable, other transactions are not hindered

- **read committed**
  - only read finally written values, but *nonrepeatable read* possible

- **repeatable read**
  - no *nonrepeatable read*, put phantom-problem can occur

- **serializable**
  - guarantees serializability
### Isolation Levels: read committed

<table>
<thead>
<tr>
<th></th>
<th>$T_1$</th>
<th>$T_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><code>set transaction</code> <code>isolation level</code> <code>read committed</code></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td><code>select Name from WINES</code> <code>where</code> <code>WineID = 1014</code> → <code>Riesling</code></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td><code>update WINES</code> <code>set</code> <code>Name = 'Riesling Superiore'</code> <code>where</code> <code>WineID = 1014</code></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td><code>select Name from WINES</code> <code>where</code> <code>WineID = 1014</code> → <code>Riesling</code></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td><code>commit</code></td>
</tr>
<tr>
<td>5</td>
<td><code>select Name from WINES</code> <code>where</code> <code>WineID = 1014</code> → <code>Riesling Superiore</code></td>
<td></td>
</tr>
</tbody>
</table>
### Isolation Levels: read committed /2

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>$T_1$</td>
<td>$T_2$</td>
<td></td>
</tr>
<tr>
<td>set transaction isolation level read committed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>select Name from WINES where WineID = 1014</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>update WINES set Name = 'Riesling Superiore' where WineID = 1014</td>
<td>update WINES set Name = 'Superiore Riesling' where WineID = 1014 → blocked</td>
</tr>
<tr>
<td>3</td>
<td>update WINES set Name = 'Superiore Riesling' where WineID = 1014</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>commit</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>commit</td>
<td></td>
</tr>
</tbody>
</table>
## Isolation Levels: `serializable`

<table>
<thead>
<tr>
<th></th>
<th>$T_1$</th>
<th>$T_2$</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><code>set transaction isolation level serializable</code></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td><code>select Name into N from WINES where WineID = 1014</code></td>
<td><code>update WINES</code></td>
</tr>
<tr>
<td></td>
<td>$\rightarrow$ N := <em>Riesling</em></td>
<td><code>set Name = 'Riesling Superi-'</code></td>
</tr>
<tr>
<td>4</td>
<td></td>
<td><code>where WineID = 1014</code></td>
</tr>
<tr>
<td>5</td>
<td><code>update WIENS</code></td>
<td><code>commit</code></td>
</tr>
<tr>
<td></td>
<td>`set Name = 'Superior'</td>
<td></td>
</tr>
<tr>
<td></td>
<td><code>where WineID = 1014</code></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\rightarrow$ [Abort]</td>
<td></td>
</tr>
</tbody>
</table>
Integrity Conditions in SQL-DDL

- **not null**: Null values prohibited
- **default**: Specification of default values
- **check** (search-condition): Attribute specific condition (usually One-Tuple-Integrity-Condition)
- **primary key**: Specification of a primary key
- **foreign key** (Attribute(e))
  **references** Table( Attribute(e) ):
  Specification of the referential integrity
Integrity Condition: Range of Values

- **create domain**: Establishing of a user-defined range of values

**Example**

```sql
create domain WineColor varchar(4)
default 'Red'
check (value in ('Red', 'White', 'Rose'))
```

**Application**

```sql
create table WINES (  
    WineID int primary key,  
    Name varchar(20) not null,  
    Color WineColor,  
    ...)
```
Integrity Condition: **check-Clause**

- **check**: Establishing of further local integrity conditions within the defined range of values, attributes and relational scheme
- Example: Restriction of the permitted values
- Application

```sql
create table WINES (
    WineID int primary key,
    Name varchar(20) not null,
    Year int check(Year between 1980 and 2010),
    ...
)
```
Preservation of the Referential Integrity

- Checking of foreign keys after database changes
- for $\pi_A(r_1) \subseteq \pi_K(r_2)$, 
  ze.g. $\pi_{\text{Vineyard}}(\text{WINES}) \subseteq \pi_{\text{Vineyard}}(\text{PRODUCER})$
  
  ▶ Tuple $t$ is inserted into $r_1 \Rightarrow$ check, whether $t' \in r_2$ exists with:
  
  $t'(K) = t(A)$, d.h. $t(A) \in \pi_K(r_2)$
  if not $\Rightarrow$ reject
  
  ▶ Tuple $t'$ is removed from $r_2 \Rightarrow$ check, whether $\sigma_{A=t'(K)}(r_1) = \{\}$, i.e.
  no tuple from $r_1$ references $t'$
  if not empty $\Rightarrow$ reject or remove tuple from $r_1$, that reference $t'$ (at cascading deletion)
Verification Modes of Conditions

- **on update | delete**
  Specification of a triggering event that starts the verification of the condition

- **cascade | set null | set default | no action**
  **Cascading**: Handling of some integrity violations propagates over multiple levels, e.g. deletion as reaction on a violation of the referential integrity

- **deferred | immediate** sets the verification time for a condition
  - **deferred**: put back to the end of the transaction
  - **immediate**: immediate verification at any relevant database change
Verification Modes: Example

- Cascading deletion

```sql
create table WINES (  
    WineID int primary key,  
    Name varchar(50) not null,  
    Price float not null,  
    Jahr int not null,  
    Vineyard varchar(30),  
    foreign key (Vineyard) references PRODUCER (Vineyard)  
    on delete cascade)
```
The assertion-Clause

- Assertion: Predicate expressed by a conditions that always has to be fulfilled by a database
- Syntax (SQL:2003)

```
create assertion name check ( predicate )
```

Example:

```
create assertion Prices check
    ( ( select sum (Price)
        from WINE) < 10000 )
```

```
create assertion Prices2 check
    ( not exists ( select * from WINES where Price > 200) )
```
Trigger

- **Trigger**: Statement/Procedure that is executed automatically by the DBMS at the occurrence of a specific event

- **Application**:
  - Enforcement of integrity conditions ("implementation" of integrity rules)
  - Auditing of DB-actions
  - Propagation of DB-changes

- **Definition**:

  ```sql
  create trigger ...
  after <Operation>
  <Procedure>
  ```
Example for Triggers

- Realization of a calculated attribute with two triggers:
  - Introduction of new tasks
    ```
    create trigger TaskCounter+
    on insertion of Task A:
    update Customer
    set NrTasks = NrTasks + 1
    where CName = new A.CName
    ```
  - analog for deletion of tasks:
    ```
    create trigger TaskCounter-
    on deletion ...:
    update ...- 1 ...
    ```
Trigger: Design and Implementation

- Specification of
  - *Event* and *condition* for activation of the trigger
  - *Action(s)* for the execution

- Syntax in SQL:2003 defined

- available in the most commercial systems (but with different syntax)
SQL:2003-Trigger

Syntax:

```sql
create trigger <Name: >
after | before <Event>
on <Relation>
[ when <Condition> ]
begin atomic < SQL-statements > end
```

Event:

- insert
- update [ of <list of attributes> ]
- delete
Further Specifications for Triggers

- **for each row resp. for each statement**: Activation of the trigger for *each* single change of a set-valued change or just once for the whole change.

- **before resp. after**: Activation *before* or *after* the change.

- **referencing new as resp. referencing old as**: Binding of a tuple variable on the new introduced resp. just removed ("old") tuple of a relation.

  \[\leadsto\] tuple of the *difference relation*
Example for Triggers

*No customer account can fall below 0:*

```sql
create trigger bad_account
after update of Acc on CUSTOMER
referencing new as INSERTED
when (exists
    (select * from INSERTED where Acc < 0)
)
begin atomic
    rollback;
end
```

⇝ similar trigger for insert
Example for triggers /2

Producers **must** be removed, if they do not offer any wares:

```sql
create trigger useless_Vineyard
after delete on WINES
referencing old as O
for each row
when (not exists
  (select * from WINES W
    where W.Vineyard = O.Vineyard))
begin atomic
  delete from PRODUCER where Vineyard = O.Vineyard;
end
```
Integrity Insurance with Triggers

1. Specify object $o_i$, for which the condition $\phi$ should be monitored
   - Usually monitor multiple $o_i$ when condition is across relations
   - Candidates for $o_i$ are tuples of the relation names that occur in $\phi$

2. Specify the elemental database changes $u_{ij}$ on objects $o_i$ that can violate $\phi$
   - Rules: e.g., check existence requirements on deletion and changing, but not on introduction etc.
3. Specify, depending on the application, the reaction $r_i$ on the integrity violation
   - Reset the transaction (rollback)
   - Correcting database changes

4. Formulate following triggers:

   ```sql
   create trigger t-phi-ij after u_{ij} on o_i
   when \neg \phi
   begin r_i end
   ```

5. If possible, simplify the created trigger
Trigger in Oracle

- Implementation in PL/SQL
- Notation

```plaintext
create [ or replace ] trigger trigger-name
   before | after
   insert or update [ of columns ]
   or delete on table
   [ for each row
   [ when ( predicate ) ] ]

PL/SQL-Block
```
Trigger in Oracle: Types

- **Statement level trigger**: Trigger is triggered before resp. after the DML-statement.
- **Row level trigger**: Trigger is triggered before resp. after each single modification (*one tuple at a time*).

**Trigger on row level:**

- **Predicate for restriction** (*when*)
- **Access on old** (:old.<col>) resp. **new** (:new.<col>) tuple
  - for **delete**: only (:old.<col>)
  - for **insert**: only (:new.<col>)
  - in **when**-clause only (**new.<col>** resp. (**old.<col>**

Trigger in Oracle

- Transaction abortion with `raise_application_error(code, message)`
- Distinction of the type of the DML-statement

```sql
if deleting then ... end if;
if updating then ... end if;
if inserting then ... end if;
```
Trigger in Oracle: Example

No customer account can fall below 0:

```sql
create or replace trigger bad_account
after insert or update of Acc on Customer
for each row
when (:new.Acc < 0)
begin
  raise_application_error(-20221, 'Not below 0');
end;
```
Summary

- Assurance of correctness resp. integrity of the data
- Inherent integrity conditions of the relational model
- Additional SQL-integrity conditions: check-clause, assertion-statement
- Trigger for "implementation" of integrity conditions resp. -rules
Control Questions

What is the purpose of integrity assurance? Which types of integrity conditions are there?
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- How can integrity conditions and rules be formulated in SQL-systems?
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- What is the purpose of integrity assurance? Which types of integrity conditions are there?
- How can integrity conditions and -rules be formulated in SQL-systems?
- What requirements result from the ACID-principle? How are these achieved in database systems?