Concurrency Control
Chapter 17

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Database Management Systems 3ed, R. Ramakrishnan and J. Gehrke
Conflict Serializable Schedules

- **Serial schedule:** Schedule that does not interleave the actions of different transactions.

- **Equivalent schedules:** For any database state, the effect (on the set of objects in the database) of executing the first schedule is identical to the effect of executing the second schedule.

- **Serializable schedule:** A schedule that is equivalent to some serial execution of the transactions.

- **Two schedules are conflict equivalent if:**
  - Involve the same actions of the same transactions
  - Every pair of conflicting actions is ordered the same way

- Schedule S is **conflict serializable** if S is conflict equivalent to some serial schedule
Example

❖ A schedule that is not conflict serializable:

<table>
<thead>
<tr>
<th>T1: R(A), W(A),</th>
<th>R(B), W(B)</th>
</tr>
</thead>
<tbody>
<tr>
<td>T2: R(A), W(A), R(B), W(B)</td>
<td></td>
</tr>
</tbody>
</table>

Dependency graph

❖ The cycle in the graph reveals the problem. The output of T1 depends on T2, and vice-versa.
Dependency Graph

- **Dependency graph**: One node per Xact; edge from $T_i$ to $T_j$ if $T_j$ reads/writes an object last written by $T_i$.
- **Theorem**: Schedule is conflict serializable if and only if its dependency graph is acyclic.
Review: Strict 2PL

- **Strict Two-phase Locking (Strict 2PL) Protocol:**
  - Each Xact must obtain a *S* (shared) lock on object before reading, and an *X* (exclusive) lock on object before writing.
  - All locks held by a transaction are released when the transaction completes.
  - If an Xact holds an X lock on an object, no other Xact can get a lock (S or X) on that object.

- Strict 2PL allows only schedules whose precedence graph is acyclic.
Two-Phase Locking (2PL)

- Two-Phase Locking Protocol
  - Each Xact must obtain a S (shared) lock on object before reading, and an X (exclusive) lock on object before writing.
  - A transaction can not request additional locks once it releases any locks.
  - If an Xact holds an X lock on an object, no other Xact can get a lock (S or X) on that object.
View Serializability

- Schedules S1 and S2 are **view equivalent if**:  
  - If Ti reads initial value of A in S1, then Ti also reads initial value of A in S2  
  - If Ti reads value of A written by Tj in S1, then Ti also reads value of A written by Tj in S2  
  - If Ti writes final value of A in S1, then Ti also writes final value of A in S2

<table>
<thead>
<tr>
<th>T1: R(A)</th>
<th>W(A)</th>
<th>T1: R(A), W(A)</th>
<th>W(A)</th>
</tr>
</thead>
<tbody>
<tr>
<td>T2: W(A)</td>
<td></td>
<td>T2: W(A)</td>
<td></td>
</tr>
<tr>
<td>T3:</td>
<td>W(A)</td>
<td>T3:</td>
<td>W(A)</td>
</tr>
</tbody>
</table>
Lock Management

- Lock and unlock requests are handled by the lock manager
- Lock table entry:
  - Number of transactions currently holding a lock
  - Type of lock held (shared or exclusive)
  - Pointer to queue of lock requests
- Locking and unlocking have to be atomic operations
- Lock upgrade: transaction that holds a shared lock can be upgraded to hold an exclusive lock
Deadlocks

- Deadlock: Cycle of transactions waiting for locks to be released by each other.
- Two ways of dealing with deadlocks:
  - Deadlock prevention
  - Deadlock detection
Deadlock Prevention

- Assign priorities based on timestamps. Assume Ti wants a lock that Tj holds. Two policies are possible:
  - Wait-Die: If Ti has higher priority, Ti waits for Tj; otherwise Ti aborts
  - Wound-wait: If Ti has higher priority, Tj aborts; otherwise Ti waits

- If a transaction re-starts, make sure it has its original timestamp
Deadlock Detection

- Create a **waits-for graph**:  
  - Nodes are transactions  
  - There is an edge from Ti to Tj if Ti is waiting for Tj to release a lock  
- Periodically check for cycles in the waits-for graph
Deadlock Detection (Continued)

Example:

T1: S(A), R(A), S(B)
T2: X(B), W(B)
T3: S(C), R(C) X(C)
T4: X(B)

There is an edge from Ti to Tj if Ti is waiting for Tj to release a lock.
Multiple-Granularity Locks

- Hard to decide what granularity to lock (tuples vs. pages vs. tables).
- Shouldn’t have to decide!
- Data “containers” are nested:

```
                    Database
                    /     \
  Tables  /     \
     /    \
Pages  /     \
     /    \
Tuples
```

contains
Solution: New Lock Modes, Protocol

- Allow Xacts to lock at each level, but with a special protocol using new “intention” locks:
  - Before locking an item, Xact must set “intention locks” on all its ancestors.
  - For unlock, go from specific to general (i.e., bottom-up).
  - SIX mode: Like S & IX at the same time.
Multiple Granularity Lock Protocol

- Each Xact starts from the root of the hierarchy.
- To get S or IS lock on a node, must hold IS or IX on parent node.
  - What if Xact holds SIX on parent? S on parent?
- To get X or IX or SIX on a node, must hold IX or SIX on parent node.
- Must release locks in bottom-up order.

Protocol is correct in that it is equivalent to directly setting locks at the leaf levels of the hierarchy.
Examples

❖ T1 scans R, and updates a few tuples:
   ▪ T1 gets an SIX lock on R, then repeatedly gets an S lock on tuples of R, and occasionally upgrades to X on the tuples.

❖ T2 uses an index to read only part of R:
   ▪ T2 gets an IS lock on R, and repeatedly gets an S lock on tuples of R.

❖ T3 reads all of R:
   ▪ T3 gets an S lock on R.
   ▪ OR, T3 could behave like T2; can use lock escalation to decide which.

<table>
<thead>
<tr>
<th></th>
<th>--</th>
<th>IS</th>
<th>IX</th>
<th>S</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
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<td>√</td>
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<td>X</td>
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<td>√</td>
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</tbody>
</table>
Dynamic Databases

- If we relax the assumption that the DB is a fixed collection of objects, even Strict 2PL will not assure serializability:
  - T1 locks all pages containing sailor records with rating = 1, and finds **oldest** sailor (say, age = 71).
  - Next, T2 inserts a new sailor; rating = 1, age = 96.
  - T2 also deletes oldest sailor with rating = 2 (and, say, age = 80), and commits.
  - T1 now locks all pages containing sailor records with rating = 2, and finds **oldest** (say, age = 63).

- There is no consistent DB state where T1 is “correct”!
The Problem

- T1 implicitly assumes that it has locked the set of all sailor records with rating = 1.
  - Assumption only holds if no sailor records are added while T1 is executing!
  - Need some mechanism to enforce this assumption. (Index locking and predicate locking.)

- Example shows that conflict serializability guarantees serializability only if the set of objects is fixed!
Index Locking

- If there is a dense index on the *rating* field using Alternative (2), T1 should lock the index page containing the data entries with *rating* = 1.
  - If there are no records with *rating* = 1, T1 must lock the index page where such a data entry *would* be, if it existed!

- If there is no suitable index, T1 must lock all pages, and lock the file/table to prevent new pages from being added, to ensure that no new records with *rating* = 1 are added.
Predicate Locking

- Grant lock on all records that satisfy some logical predicate, e.g. $age > 2*salary$.
- Index locking is a special case of predicate locking for which an index supports efficient implementation of the predicate lock.
  - What is the predicate in the sailor example?
- In general, predicate locking has a lot of locking overhead.
Optimistic CC (Kung-Robinson)

- Locking is a conservative (pessimistic) approach in which conflicts are prevented. Disadvantages:
  - Lock management overhead.
  - Deadlock detection/resolution.
  - Lock contention for heavily used objects.

- If conflicts are rare, we might be able to gain concurrency by not locking, and instead checking for conflicts before Xacts commit.
Kung-Robinson Model

- Xacts have three phases:
  - **READ:** Xacts read from the database, but make changes to private copies of objects.
  - **VALIDATE:** Check for conflicts.
  - **WRITE:** Make local copies of changes public.
Validation

❖ Test conditions that are sufficient to ensure that no conflict occurred.

❖ Each Xact is assigned a numeric id.
  ▪ Just use a timestamp.

❖ Xact ids assigned at end of READ phase, just before validation begins. (Why then?)

❖ ReadSet(Ti): Set of objects read by Xact Ti.

❖ WriteSet(Ti): Set of objects modified by Ti.
Test 1

- For all i and j such that $T_i < T_j$, check that $T_i$ completes before $T_j$ begins.
Test 2

- For all $i$ and $j$ such that $T_i < T_j$, check that:
  - $T_i$ completes before $T_j$ begins its Write phase +
  - $\text{WriteSet}(T_i) \bigcap \text{ReadSet}(T_j)$ is empty.

Does $T_j$ read dirty data? Does $T_i$ overwrite $T_j$'s writes?
**Test 3**

For all i and j such that Ti < Tj, check that:

- Ti completes Read phase before Tj does.
- \(\text{WriteSet}(Ti) \cup \text{ReadSet}(Tj)\) is empty.
- \(\text{WriteSet}(Ti) \cup \text{WriteSet}(Tj)\) is empty.

Does Tj read dirty data? Does Ti overwrite Tj's writes?
Comments on Serial Validation

- Assignment of Xact id, validation, and the Write phase are inside a **critical section**!
  - I.e., Nothing else goes on concurrently.
  - If Write phase is long, major drawback.

- Optimization for Read-only Xacts:
  - Don’t need critical section (because there is no Write phase).
Overheads in Optimistic CC

- Must record read/write activity in ReadSet and WriteSet per Xact.
  - Must create and destroy these sets as needed.

- Must check for conflicts during validation, and must make validated writes `global`.
  - Critical section can reduce concurrency.
  - Scheme for making writes global can reduce clustering of objects.

- Optimistic CC restarts Xacts that fail validation.
  - Work done so far is wasted; requires clean-up.
``Optimistic'' 2PL

- If desired, we can do the following:
  - Set S locks as usual.
  - Make changes to private copies of objects.
  - Obtain all X locks at end of Xact, make writes global, then release all locks.

- In contrast to Optimistic CC as in Kung-Robinson, this scheme results in Xacts being blocked, waiting for locks.
  - However, no validation phase, no restarts (modulo deadlocks).
**Timestamp CC**

- **Idea:** Give each object a read-timestamp (RTS) and a write-timestamp (WTS), give each Xact a timestamp (TS) when it begins:
  - If action $a_i$ of Xact $T_i$ conflicts with action $a_j$ of Xact $T_j$, and $TS(T_i) < TS(T_j)$, then $a_i$ must occur before $a_j$. Otherwise, restart violating Xact.
When Xact T wants to Read Object O

- If TS(T) < WTS(O), this violates timestamp order of T w.r.t. writer of O.
  - So, abort T and restart it with a new, larger TS. (If restarted with same TS, T will fail again! Contrast use of timestamps in 2PL for ddk prevention.)

- If TS(T) > WTS(O):
  - Allow T to read O.
  - Reset RTS(O) to max(RTS(O), TS(T))

- Change to RTS(O) on reads must be written to disk! This and restarts represent overheads.
When Xact $T$ wants to **Write** Object $O$

- If $TS(T) < RTS(O)$, this violates timestamp order of $T$ w.r.t. writer of $O$; abort and restart $T$.

- If $TS(T) < WTS(O)$, violates timestamp order of $T$ w.r.t. writer of $O$.
  - **Thomas Write Rule**: We can safely ignore such outdated writes; need not restart $T$! (T’s write is effectively followed by another write, with no intervening reads.) Allows some serializable but non conflict serializable schedules:

- Else, allow $T$ to write $O$.

<table>
<thead>
<tr>
<th>T1</th>
<th>T2</th>
</tr>
</thead>
<tbody>
<tr>
<td>R(A)</td>
<td>W(A) Commit</td>
</tr>
<tr>
<td>W(A) Commit</td>
<td></td>
</tr>
</tbody>
</table>
Timestamp CC and Recoverability

- Unfortunately, unrecoverable schedules are allowed:
  
  Read is aborted if TS(T) < WTS(O)
  Write is aborted if TS(T) < RTS(O) or TS(T) < WTS(O)

- Timestamp CC can be modified to allow only recoverable schedules:
  - **Buffer all writes** until writer commits (but update WTS(O) when the write is allowed.)
  - **Block readers** T (where TS(T) > WTS(O)) until writer of O commits.

- Similar to writers holding X locks until commit, but still not quite 2PL.
Multiversion Timestamp CC

- **Idea:** Let writers make a “new” copy while readers use an appropriate “old” copy:

- Readers are always allowed to proceed.
  - But may be blocked until writer commits.
Multiversion CC (Contd.)

- Each version of an object has its writer’s TS as its WTS, and the TS of the Xact that most recently read this version as its RTS.
- Versions are chained backward; we can discard versions that are “too old to be of interest”.
- Each Xact is classified as Reader or Writer.
  - Writer may write some object; Reader never will.
  - Xact declares whether it is a Reader when it begins.
Reader Xact

- For each object to be read:
  - Finds **newest version** with $\text{WTS} < \text{TS}(T)$. (Starts with current version in the main segment and chains backward through earlier versions.)

- Assuming that some version of every object exists from the beginning of time, Reader Xacts are never restarted.
  - However, might block until writer of the appropriate version commits.
Writer Xact

- To read an object, follows reader protocol.
- To write an object:
  - Finds **newest version** $V$ s.t. $WTS < TS(T)$.
  - If $RTS(V) < TS(T)$, $T$ makes a copy $CV$ of $V$, with a pointer to $V$, with $WTS(CV) = TS(T)$, $RTS(CV) = TS(T)$. (Write is buffered until $T$ commits; other Xacts can see TS values but can’t read version $CV$.)
  - Else, reject write.
Transaction Support in SQL-92

- Each transaction has an access mode, a diagnostics size, and an isolation level.

<table>
<thead>
<tr>
<th>Isolation Level</th>
<th>Dirty Read</th>
<th>Unrepeatable Read</th>
<th>Phantom Problem</th>
</tr>
</thead>
<tbody>
<tr>
<td>Read Uncommitted</td>
<td>Maybe</td>
<td>Maybe</td>
<td>Maybe</td>
</tr>
<tr>
<td>Read Committed</td>
<td>No</td>
<td>Maybe</td>
<td>Maybe</td>
</tr>
<tr>
<td>Repeatable Reads</td>
<td>No</td>
<td>No</td>
<td>Maybe</td>
</tr>
<tr>
<td>Serializable</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>
Summary

- There are several lock-based concurrency control schemes (Strict 2PL, 2PL). Conflicts between transactions can be detected in the dependency graph.
- The lock manager keeps track of the locks issued. Deadlocks can either be prevented or detected.
- Naïve locking strategies may have the phantom problem.
Summary (Contd.)

- Index locking is common, and affects performance significantly.
  - Needed when accessing records via index.
  - Needed for locking logical sets of records (index locking / predicate locking).

- In practice, better techniques now known; do record-level, rather than page-level locking.
Summary (Contd.)

- Multiple granularity locking reduces the overhead involved in setting locks for nested collections of objects (e.g., a file of pages); should not be confused with tree index locking!
- Optimistic CC aims to minimize CC overheads in an "optimistic" environment where reads are common and writes are rare.
- Optimistic CC has its own overheads however; most real systems use locking.
- SQL-92 provides different isolation levels that control the degree of concurrency
Summary (Contd.)

❖ Timestamp CC is another alternative to 2PL; allows some serializable schedules that 2PL does not (although converse is also true).

❖ Ensuring recoverability with Timestamp CC requires ability to block Xacts, which is similar to locking.

❖ Multiversion Timestamp CC is a variant which ensures that read-only Xacts are never restarted; they can always read a suitable older version. Additional overhead of version maintenance.