Lectures 11 - 13: Concurrency Control

Monday, Wednesday, Monday April 26-28, May 3rd 2010

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The Midterm

Friday, April 30, 12:30-1:20, in class

- Open book (notes etc)
- No computers/phones etc
- Material: lectures 1-10

Today's Outline

- Serial and Serializable Schedules (18.1)
- Conflict Serializability (18.2)
- Locks (18.3)
- Concurrency control by timestamps 18.8
- Concurrency control by validation 18.9
- Additional material NOT in the book

The Problem

- Multiple concurrent transactions $T_1, T_2, ...$
- They read/write common elements A₁, A₂, ...
- How can we prevent unwanted interference ?

The SCHEDULER is responsible for that

Some Famous Anomalies

- Dirty reads
- Inconsistent reads
- Unrepeatable reads
- Lost updates

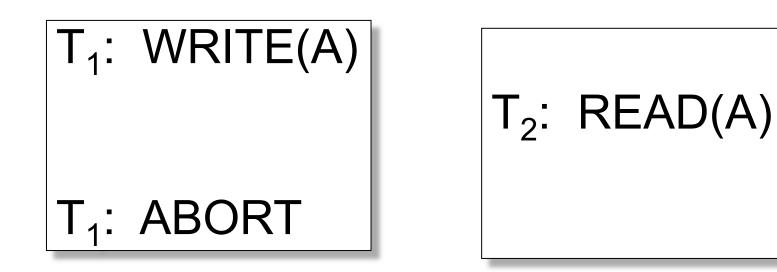
Many other things can go wrong too

Conflicts

- Write-Read WR
- Read-Write RW
- Write-Write WW

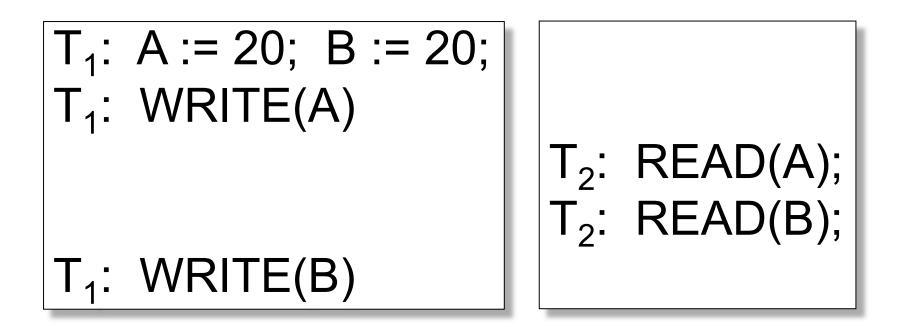
Dirty Reads

Write-Read Conflict



Inconsistent Read

Write-Read Conflict



Unrepeatable Read

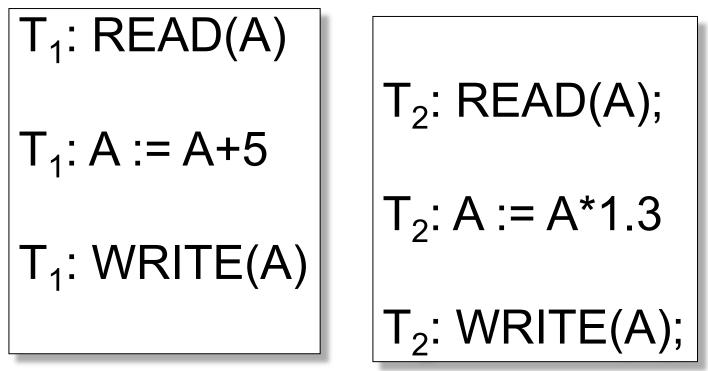
Read-Write Conflict



T₂: READ(A); T₂: READ(A);

Lost Update

Write-Write Conflict



Schedules

• Given multiple transactions

A <u>schedule</u> is a sequence of interleaved actions from all transactions

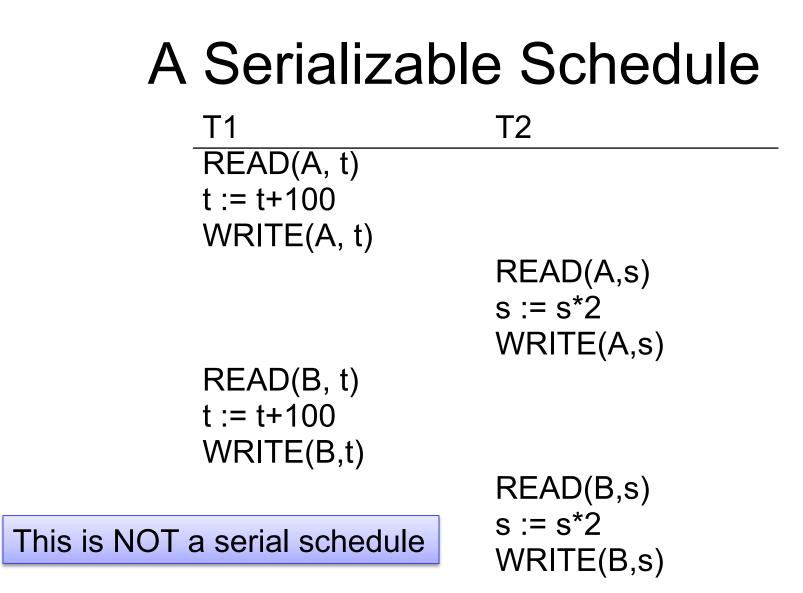
Example

T1	T2
READ(A, t)	READ(A, s)
t := t+100	s := s*2
WRITE(A, t)	WRITE(A,s)
READ(B, t)	READ(B,s)
t := t+100	s := s*2
WRITE(B,t)	WRITE(B,s)

A Serial Schedule T1 T2 READ(A, t)t := t+100 WRITE(A, t) READ(B, t) t := t+100 WRITE(B,t) READ(A,s)s := s*2 WRITE(A,s) READ(B,s) s := s*2 WRITE(B,s)

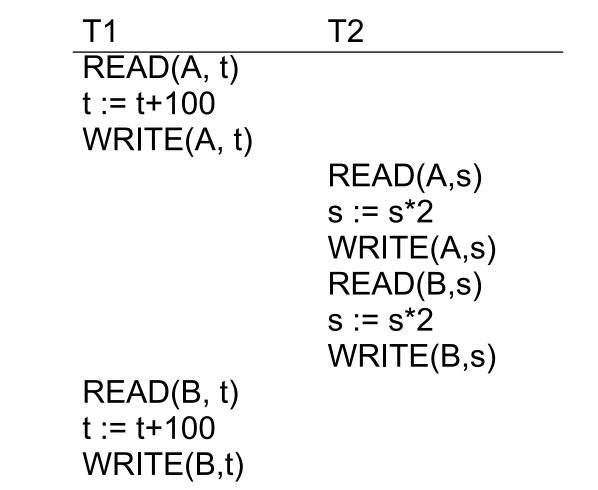
Serializable Schedule

A schedule is <u>serializable</u> if it is equivalent to a serial schedule



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A Non-Serializable Schedule



Ignoring Details

- Sometimes transactions' actions can commute accidentally because of specific updates
 - Serializability is undecidable !
- Scheduler should not look at transaction details
- Assume worst case updates
 - Only care about reads r(A) and writes w(A)
 - Not the actual values involved

Notation

T₁: r₁(A); w₁(A); r₁(B); w₁(B) T₂: r₂(A); w₂(A); r₂(B); w₂(B)

Conflict Serializability

Conflicts:

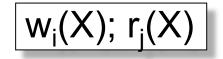
Two actions by same transaction T_i : r_i

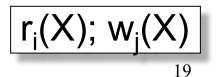
 $r_i(X); w_i(Y)$

Two writes by T_i , T_i to same element

 $w_i(X); w_i(X)$

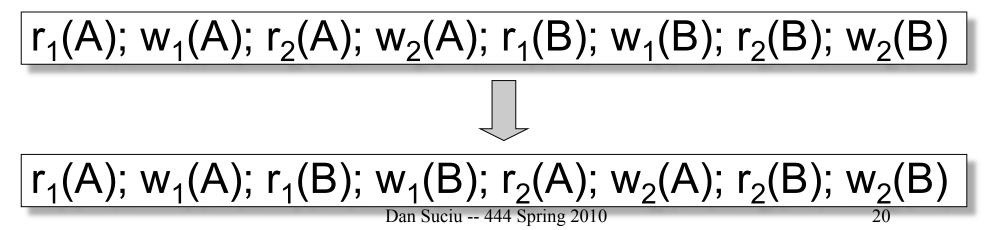
Read/write by T_i , T_i to same element





Conflict Serializability

 A schedule is <u>conflict serializable</u> if it can be transformed into a serial schedule by a series of swappings of adjacent non-conflicting actions
 Example:



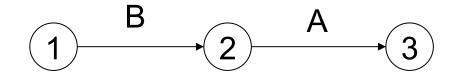
The Precedence Graph Test

Is a schedule conflict-serializable ? Simple test:

- Build a graph of all transactions T_i
- Edge from T_i to T_j if T_i makes an action that conflicts with one of T_j and comes first
- The test: if the graph has no cycles, then it is conflict serializable !

Example 1

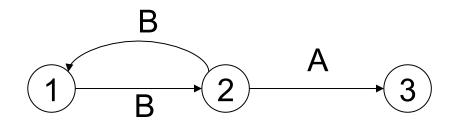
$r_2(A); r_1(B); w_2(A); r_3(A); w_1(B); w_3(A); r_2(B); w_2(B)$



This schedule is conflict-serializable

Example 2

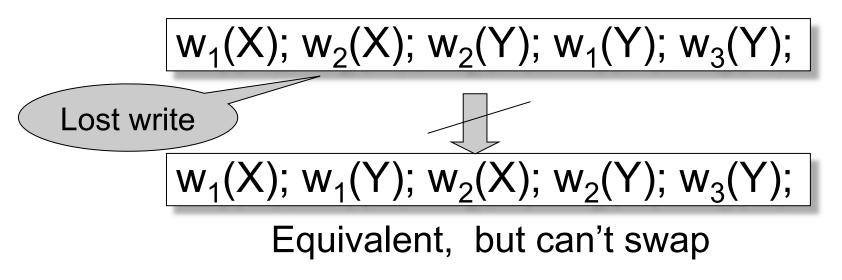
$r_2(A); r_1(B); w_2(A); r_2(B); r_3(A); w_1(B); w_3(A); w_2(B)$



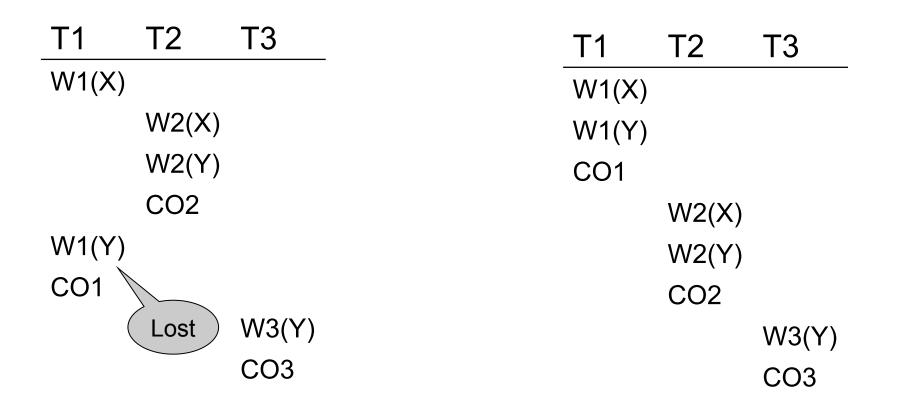
This schedule is NOT conflict-serializable

View Equivalence

 A serializable schedule need not be conflict serializable, even under the "worst case update" assumption



View Equivalent



Serializable, but not conflict serializable 5

View Equivalence

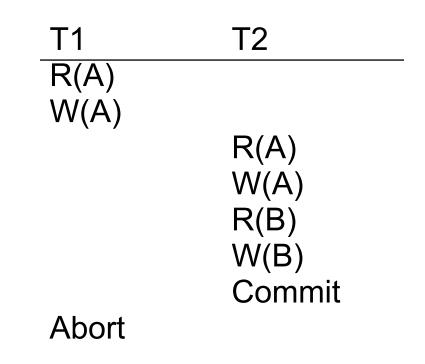
Two schedules S, S' are *view equivalent* if:

- If T reads an initial value of A in S, then T also reads the initial value of A in S'
- If T reads a value of A written by T' in S, then T also reads a value of A written by T' in S'
- If T writes the final value of A in S, then it writes the final value of A in S'

Schedules with Aborted Transactions

- When a transaction aborts, the recovery manager undoes its updates
- But some of its updates may have affected other transactions !

Schedules with Aborted Transactions

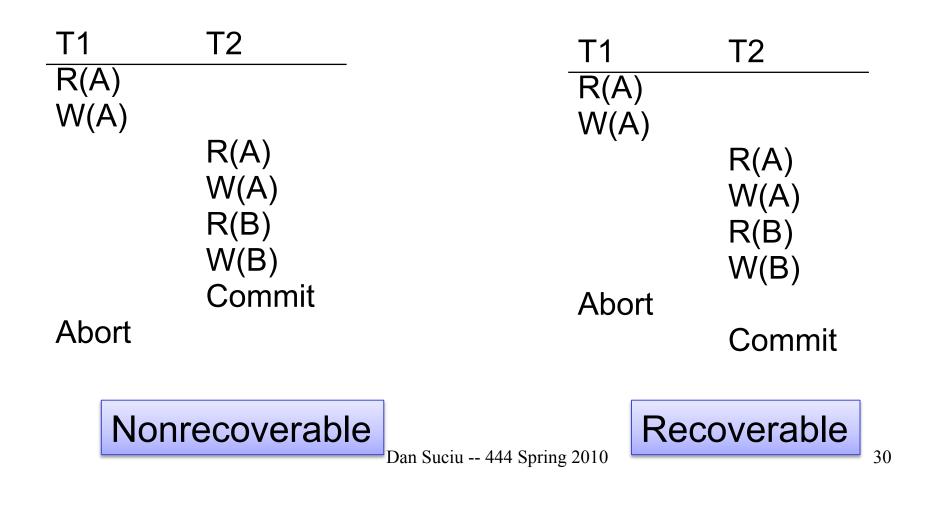


Cannot abort T1 because cannot undo T2

Recoverable Schedules

 A schedule is *recoverable* if whenever a transaction T commits, all transactions who have written elements read by T have already committed

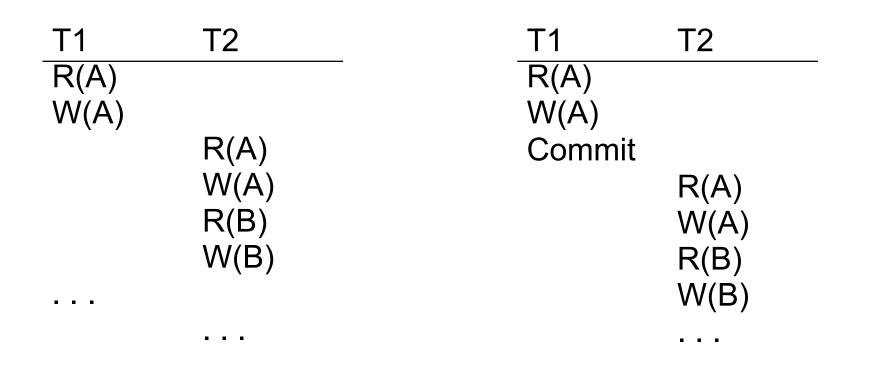
Recoverable Schedules



Cascading Aborts

- If a transaction T aborts, then we need to abort any other transaction T' that has read an element written by T
- A schedule is said to avoid cascading aborts if whenever a transaction read an element, the transaction that has last written it has already committed.

Avoiding Cascading Aborts



With cascading aborts

Without cascading aborts

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Review of Schedules

Serializability

- Serial
- Serializable
- Conflict serializable
- View equivalent to serial

Recoverability

- Recoverable
- Avoiding cascading deletes

Scheduler

- The scheduler is the module that schedules the transaction's actions, ensuring serializability
- How ? We discuss three techniques in class:
 - Locks
 - Time stamps
 - Validation

Locking Scheduler

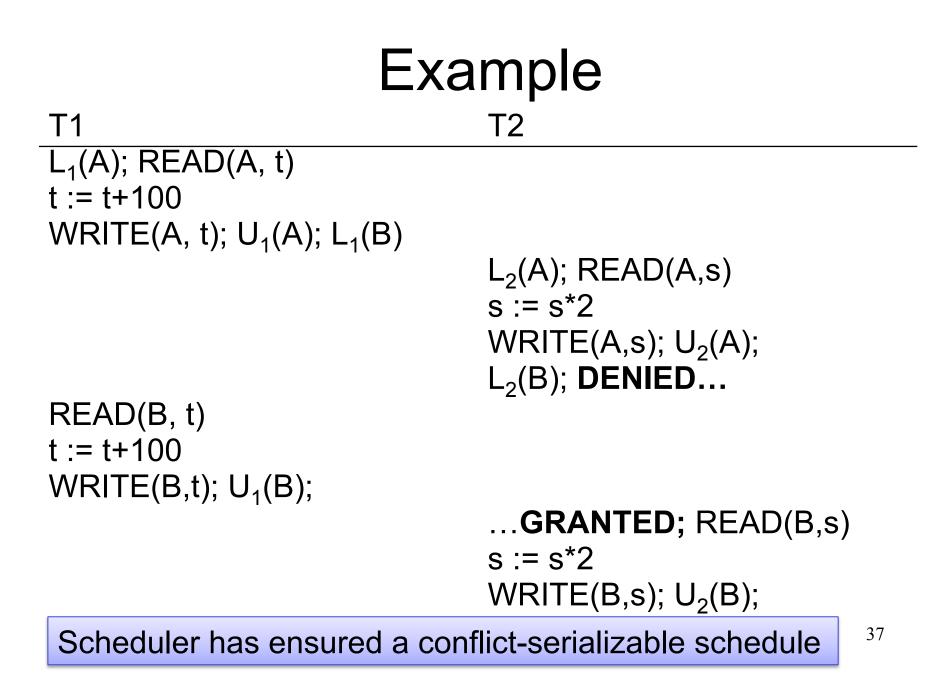
Simple idea:

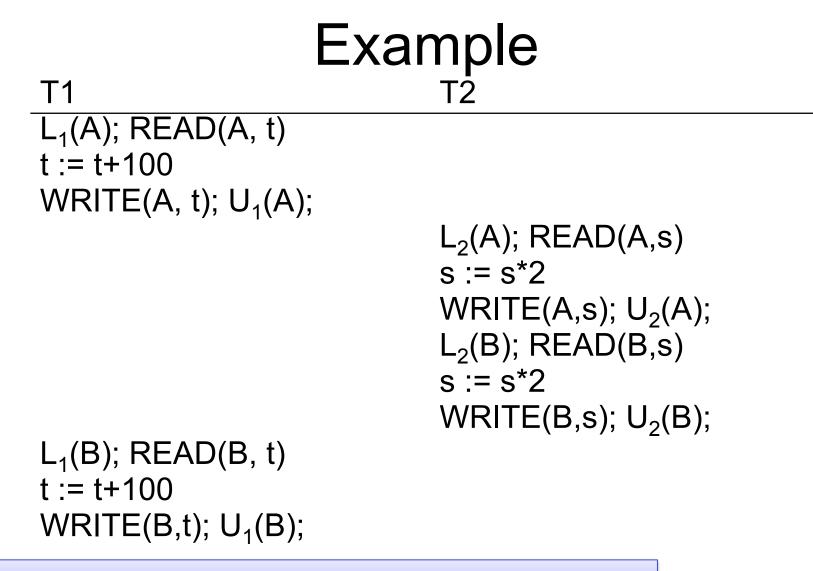
- Each element has a unique lock
- Each transaction must first acquire the lock before reading/writing that element
- If the lock is taken by another transaction, then wait
- The transaction must release the lock(s)

Notation

 $I_i(A)$ = transaction T_i acquires lock for element A

 $u_i(A)$ = transaction T_i releases lock for element A



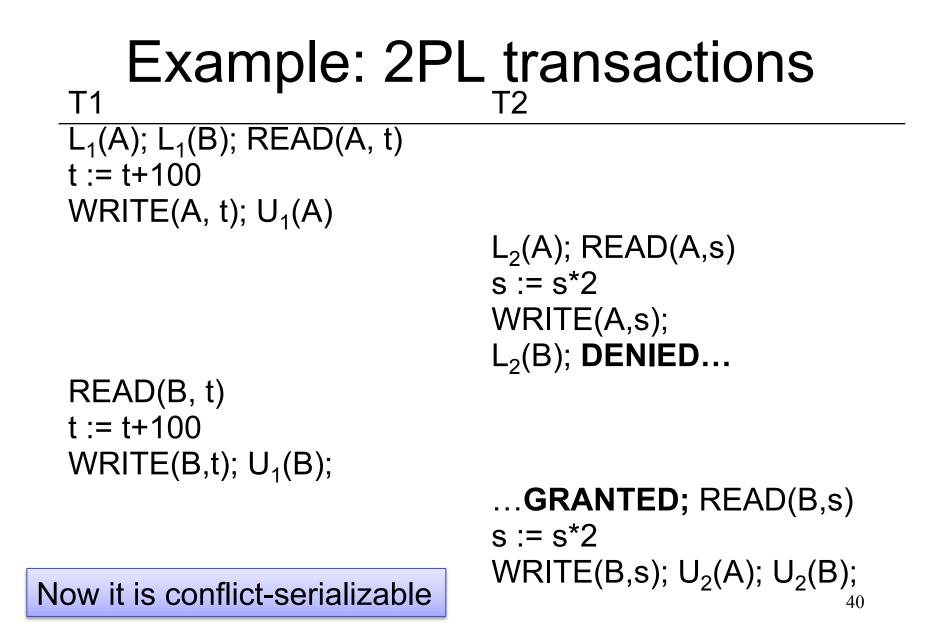


Locks did not enforce conflict-serializability !!!

Two Phase Locking (2PL)

The 2PL rule:

- In every transaction, all lock requests must preceed all unlock requests
- This ensures conflict serializability ! (why?)



What about Aborts?

- 2PL enforces conflict-serializable schedules
- But does not enforce recoverable schedules

A Non-recoverable Schedule T1 T2 $L_1(A); L_1(B); READ(A, t)$ t := t+100 WRITE(A, t); $U_1(A)$ $L_2(A)$; READ(A,s) s := s*2 WRITE(A,s); L₂(B); **DENIED...** READ(B, t)t := t+100 WRITE(B,t); $U_1(B)$;

Abort

...**GRANTED**; READ(B,s) s := s*2 WRITE(B,s); U₂(A); U₂(B); Commit ⁴²

Strict 2PL

• Strict 2PL: All locks held by a transaction are released when the transaction is completed

- Ensures that schedules are recoverable
 - Transactions commit only after all transactions whose changes they read also commit
- Avoids cascading rollbacks

Deadlock

- Trasaction T_1 waits for a lock held by T_2 ;
- But T_2 waits for a lock held by T_3 ;
- While T₃ waits for . . .
- . . .
- . . .and T_{73} waits for a lock held by T_1 !!
- Could be avoided, by ordering all elements (see book); or deadlock detection + rollback

Lock Modes

- S = shared lock (for READ)
- X = exclusive lock (for WRITE)
- U = update lock
 - Initially like S
 - Later may be upgraded to X
- I = increment lock (for A := A + something)
 - Increment operations commute

Read the book !

Phantom Problem

- So far we have assumed the database to be a *static* collection of elements (=tuples)
- If tuples are inserted/deleted then the *phantom problem* appears

Phantom Problem

T1 SELECT * FROM Product WHERE color='blue'

> INSERT INTO Product(name, color) VALUES ('gizmo', 'blue')

SELECT * FROM Product WHERE color='blue'

Suppose there are two blue products, X1, X2:

T2

R1(X1),R1(X2),W2(X3),R1(X1),R1(X2),R1(X3)

Conflict serializable ! But not serializable due to phantoms

Dealing with Phantoms

- In a *static* database:
 - Conflict serializability implies serializability
- In a *dynamic* database, this may fail due to phantoms
- Strict 2PL guarantees conflict serializability, but not serializability
- Expensive ways of dealing with phantoms:
 - Lock the entire table, or
 - Lock the index entry for 'blue' (if index is available)
 - Or use *predicate locks* (a lock on an arbitrary predicate)

Serializable transactions are very expensive

Lock Granularity

- Fine granularity locking (e.g., tuples)
 - High concurrency
 - High overhead in managing locks
- Coarse grain locking (e.g., tables, predicate locks)
 - Many false conflicts
 - Less overhead in managing locks
- Alternative techniques
 - Hierarchical locking (and intentional locks) [commercial DBMSs]
 - Lock escalation

The Locking Scheduler

Task 1:

Add lock/unlock requests to transactions

- Examine all READ(A) or WRITE(A) actions
- Add appropriate lock requests
- Ensure Strict 2PL !

The Locking Scheduler

Task 2:

Execute the locks accordingly

- Lock table: a big, critical data structure in a DBMS !
- When a lock is requested, check the lock table
 - Grant, or add the transaction to the element's wait list
- When a lock is released, re-activate a transaction from its wait list
- When a transaction aborts, release all its locks
- Check for deadlocks occasionally

Concurrency Control Mechanisms

• Pessimistic:

Locks

- Optimistic
 - Timestamp based: basic, multiversion
 - Validation
 - Snapshot isolation: a variant of both

Timestamps

 Each transaction receives a unique timestamp TS(T)

Could be:

- The system's clock
- A unique counter, incremented by the scheduler

Timestamps

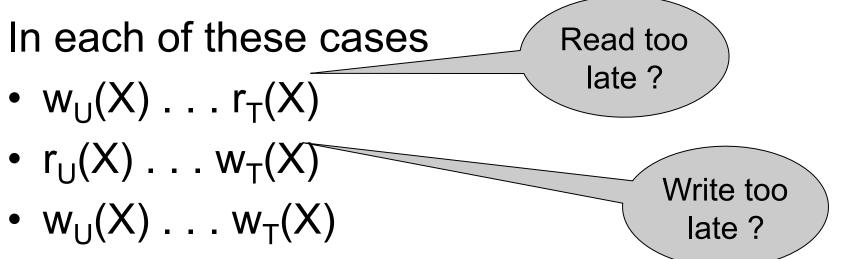
Main invariant:

The timestamp order defines the serialization order of the transaction

Will generate a schedule that is view-equivalent to a serial schedule, and recoverable

Main Idea

• For any two conflicting actions, ensure that their order is the serialized order:



When T requests $r_T(X)$, need to check $TS(U) \le TS(T)$

Timestamps

With each element X, associate

- RT(X) = the highest timestamp of any transaction U that read X
- WT(X) = the highest timestamp of any transaction U that wrote X
- C(X) = the commit bit: true when transaction with highest timestamp that wrote X committed

If element = page, then these are associated with each page X in the buffer pool

Simplified Timestamp-based Scheduling

Only for transactions that do not abort Otherwise, may result in non-recoverable schedule

Transaction wants to read element X If TS(T) < WT(X) then ROLLBACK Else READ and update RT(X) to larger of TS(T) or RT(X)

Transaction wants to write element X If TS(T) < RT(X) then ROLLBACK Else if TS(T) < WT(X) ignore write & continue (Thomas Write Rule) Otherwise, WRITE and update WT(X) =TS(T)

Read too late:

T wants to read X, and TS(T) < WT(X)



Need to rollback T !

Write too late:

T wants to write X, and TS(T) < RT(X)



Need to rollback T !

Write too late, but we can still handle it:

 T wants to write X, and TS(T) >= RT(X) but WT(X) > TS(T)

START(T) ... START(V) ... $w_V(X) \dots w_T(X)$

Don't write X at all ! (Thomas' rule)

Ensuring Recoverable Schedules

- Recall the definition: if a transaction reads an element, then the transaction that wrote it must have already committed
- Use the commit bit C(X) to keep track if the transaction that last wrote X has committed

Ensuring Recoverable Schedules

Read dirty data:

- T wants to read X, and WT(X) < TS(T)
- Seems OK, but...

START(U) ... START(T) ... w_U(X). . (r_T(X)... ABORT(U)

If C(X)=false, T needs to wait for it to become true

Ensuring Recoverable Schedules

Thomas' rule needs to be revised:

- T wants to write X, and WT(X) > TS(T)
- Seems OK not to write at all, but ...

START(T) ... START(U)... w_U(X). . . w_T(X)... ABORT(U)

If C(X)=false, T needs to wait for it to become true

Timestamp-based Scheduling

Transaction wants to READ element X If TS(T) < WT(X) then ROLLBACK Else If C(X) = false, then WAIT Else READ and update RT(X) to larger of TS(T) or RT(X)

Transaction wants to WRITE element X If TS(T) < RT(X) then ROLLBACK Else if TS(T) < WT(X) Then If C(X) = false then WAIT else IGNORE write (Thomas Write Rule) Otherwise, WRITE, and update WT(X)=TS(T), C(X)=false

Summary of Timestampbased Scheduling

- Conflict-serializable
- Recoverable
 - Even avoids cascading aborts
- Does NOT handle phantoms

Multiversion Timestamp

- When transaction T requests r(X) but WT(X) > TS(T), then T must rollback
- Idea: keep multiple versions of X: X_t, X_{t-1}, X_{t-2}, . . .

 $TS(X_t) > TS(X_{t-1}) > TS(X_{t-2}) > ...$

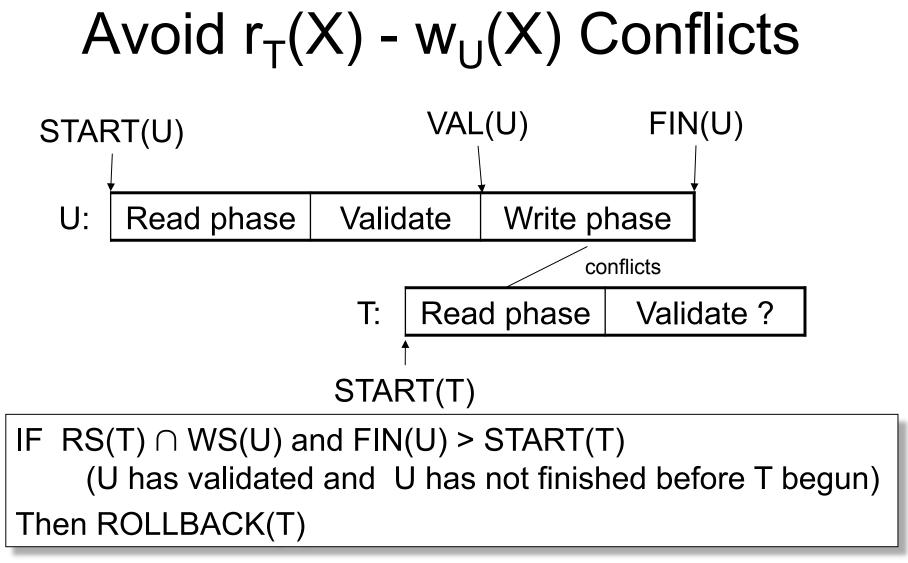
Let T read an older version, with appropriate timestamp

- When w_T(X) occurs, create a new version, denoted X_t where t = TS(T)
- When r_T(X) occurs, find most recent version X_t such that t < TS(T) Notes:
 - WT(X_t) = t and it never changes
 - RT(X_t) must still be maintained to check legality of writes
- Can delete X_t if we have a later version X_{t1} and all active transactions T have TS(T) > t1

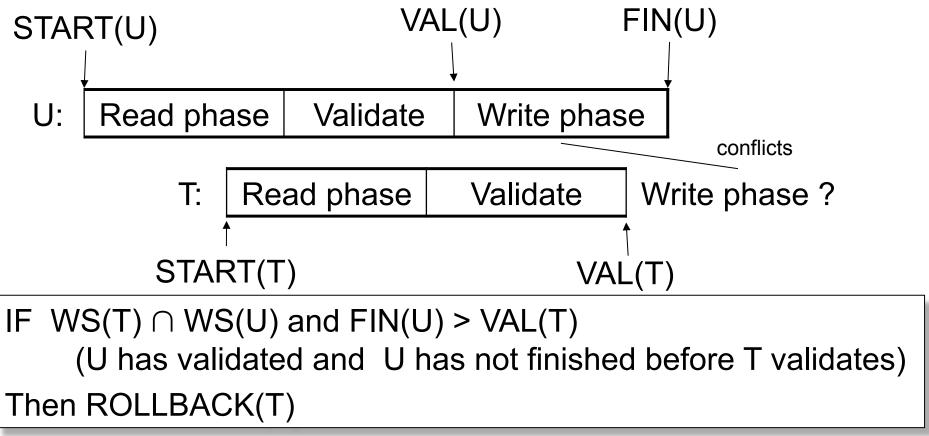
Concurrency Control by Validation

- Each transaction T defines a <u>read set</u> RS(T) and a <u>write set</u> WS(T)
- Each transaction proceeds in three phases:
 - Read all elements in RS(T). Time = START(T)
 - Validate (may need to rollback). Time = VAL(T)
 - Write all elements in WS(T). Time = FIN(T)

Main invariant: the serialization order is VAL(T)



Avoid
$$w_T(X) - w_U(X)$$
 Conflicts



Snapshot Isolation

- Another optimistic concurrency control method
- Very efficient, and very popular
 Oracle, Postgres, SQL Server 2005
- Not serializable (!), yet ORACLE uses it even for SERIALIZABLE transactions !

Snapshot Isolation Rules

- Each transactions receives a timestamp TS(T)
- Tnx sees the snapshot at time TS(T) of database
- When T commits, updated pages written to disk
- Write/write conflicts are resolved by the "<u>first committer wins</u>" rule

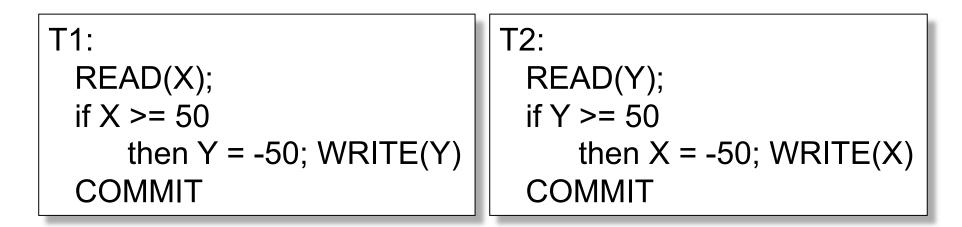
Snapshot Isolation (Details)

- Multiversion concurrency control: - Versions of X: X_{t1} , X_{t2} , X_{t3} , ...
- When T reads X, return $X_{TS(T)}$.
- When T writes X: if other transaction updated X, abort
 - Not faithful to "first committer" rule, because the other transaction U might have committed after T. But once we abort T, U becomes the first committer ③

What Works and What Not

- No dirty reads (Why ?)
- No unconsistent reads (Why ?)
- No lost updates ("first committer wins")
- Moreover: no reads are ever delayed
- However: read-write conflicts not caught !
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Write Skew



In our notation:

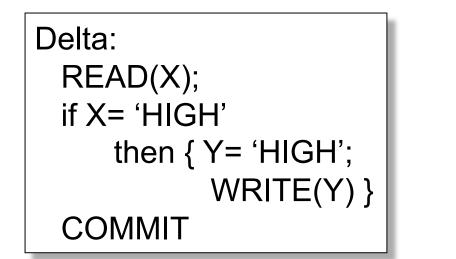
```
R_1(X), R_2(Y), W_1(Y), W_2(X), C_1, C_2
```

Starting with X=50,Y=50, we end with X=-50, Y=-50. Non-serializable !!!_{Dan Suciu} -- 444 Spring 2010

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Write Skews Can Be Serious

- ACIDIand had two viceroys, Delta and Rho
- Budget had two registers: ta<u>X</u>es, and spend<u>Y</u>ng
- They had HIGH taxes and LOW spending...



```
Rho:

READ(Y);

if Y= 'LOW'

then {X= 'LOW';

WRITE(X) }

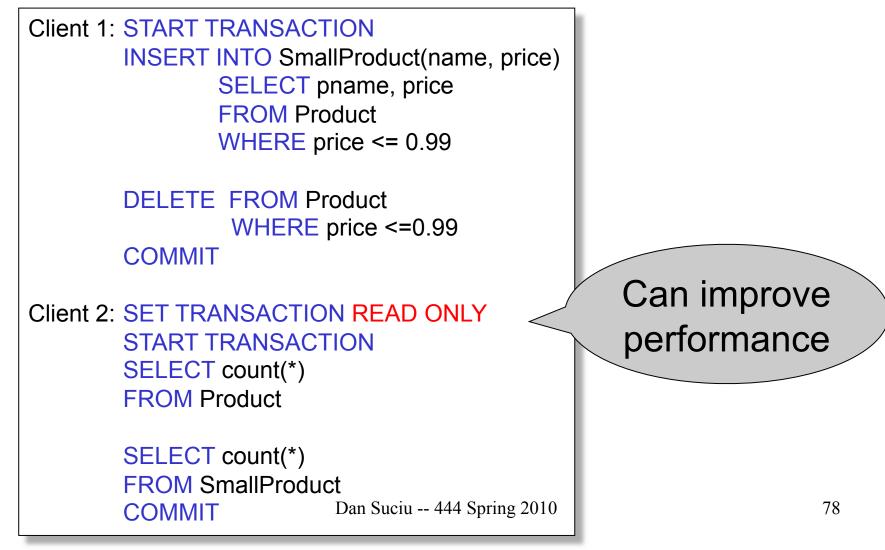
COMMIT
```

... and they ran a deficit ever since. ⁷⁶

Tradeoffs

- Pessimistic Concurrency Control (Locks):
 - Great when there are many conflicts
 - Poor when there are few conflicts
- Optimistic Concurrency Control (Timestamps):
 - Poor when there are many conflicts (rollbacks)
 - Great when there are few conflicts
- Compromise
 - READ ONLY transactions \rightarrow timestamps
 - READ/WRITE transactions \rightarrow locks

READ-ONLY Transactions



Isolation Levels in SQL

"Dirty reads" 1.

SET TRANSACTION ISOLATION LEVEL READ UNCOMMITTED

- 2. "Committed reads" SET TRANSACTION ISOLATION LEVEL READ COMMITTED
- 3. "Repeatable reads" SET TRANSACTION ISOLATION LEVEL REPEATABLE READ
- ACI 4. Serializable transactions SET TRANSACTION ISOLATION LEVEL SERIALIZABLE Dan Suciu -- 444 Spring 2010 79

Choosing Isolation Level

- Trade-off: efficiency vs correctness
- DBMSs give user choice of level

Beware!!

Always read docs!

- Default level is often NOT serializable
- Default level differs between DBMSs
- Some engines support subset of levels!
- Serializable may not be exactly <u>A</u>CID

1. Isolation Level: Dirty Reads

Implementation using locks:

- "Long duration" WRITE locks

 Strict Two Phase Locking (you knew that !)
- No READ locks
 - Read-only transactions are never delayed

Possible pbs: dirty and inconsistent reads

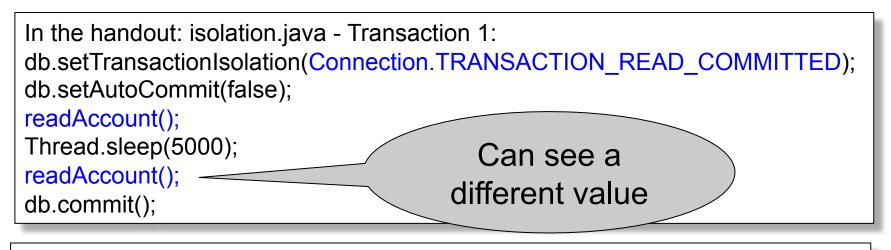
2. Isolation Level: Read Committed

Implementation using locks:

- "Long duration" WRITE locks
- "Short duration" READ locks
 - Only acquire lock while reading (not 2PL)

Unrepeatable reads When reading same element twice, may get two different values

2. Read Committed in Java



In the handout: isolation.java – Transaction 2: db.setTransactionIsolation(Connection.TRANSACTION_READ_COMMITTED); db.setAutoCommit(false); writeAccount(); db.commit();

3. Isolation Level: Repeatable Read

Implementation using locks:

"Long duration" READ and WRITE locks

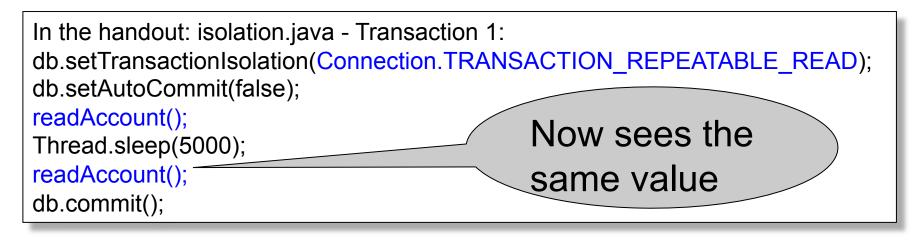
– Full Strict Two Phase Locking



This is not serializable yet !!!

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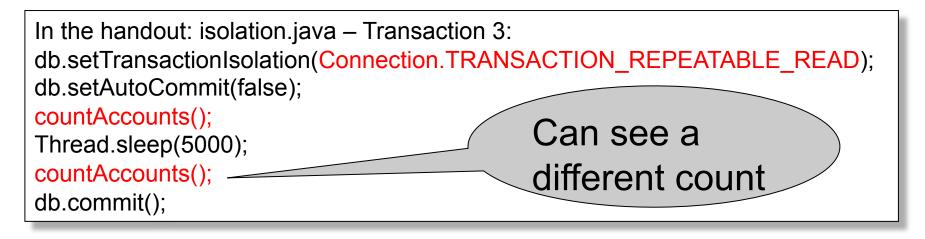
3. Repeatable Read in Java



In the handout: isolation.java – Transaction 2:
db.setTransactionIsolation(Connection. TRANSACTION_REPEATABLE_READ);
db.setAutoCommit(false);
writeAccount();
db.commit();

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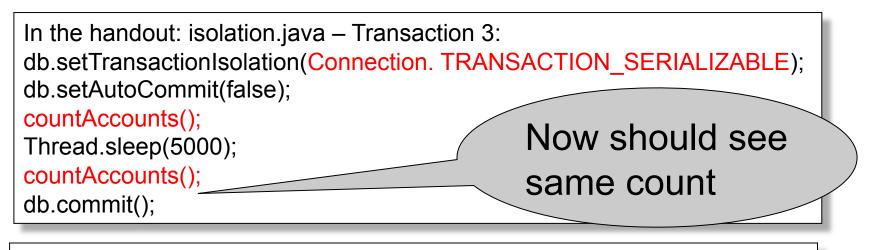
3. Repeatable Read in Java



In the handout: isolation.java – Transaction 4: db.setTransactionIsolation(Connection.TRANSACTION_REPEATABLE_READ); db.setAutoCommit(false); insertAccount(); db.commit();

This shows that they are not serializable !

4. Serializable in Java



In the handout: isolation.java – Transaction 4: db.setTransactionIsolation(Connection. TRANSACTION_SERIALIZABLE); db.setAutoCommit(false); insertAccount(); db.commit();

Commercial Systems

- DB2: Strict 2PL
- SQL Server:
 - Strict 2PL for standard 4 levels of isolation
 - Multiversion concurrency control for snapshot isolation
- PostgreSQL:
 - Multiversion concurrency control
- Oracle

– Snapshot isolation even for SERIALIZABLE 88