Transaction Processing

CPS 216
Advanced Database Systems

Announcement

- Project milestone #2 due today (April 14)
- Homework #4 due in 9 days (April 23)
- Recitation session this Friday (April 18)
  - Homework #4 Q&A
- Project demo period in two weeks (April 28-May 3)
  - Sign-up sheet will be available next Monday
- Final exam in 17 days (May 1, 2-5pm)

Review

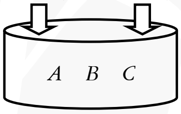
- ACID
  - Atomicity: TX's are either completely done or not done at all
  - Consistency: TX's should leave the database in a consistent state
  - Isolation: TX's must behave as if they are executed in isolation
  - Durability: Effects of committed TX's are resilient against failures
- SQL transactions

```
-- Begins implicitly
SELECT …;
UPDATE …;
ROLLBACK | COMMIT;
```

Concurrency control

- ❖ Goal: ensure the “I” (isolation) in ACID

T_1:	T_2:
read(A);	read(A);
write(A);	write(A);
read(B);	read(C);
write(B);	write(C);
commit;	commit;



Good versus bad schedules

Good!

T_1	T_2
r(A)	
w(A)	
r(B)	
w(B)	
	r(A)
	w(A)
	r(C)
	w(C)

Bad!

T_1	T_2
r(A) Read 400	
	r(A) Read 400
Write 400 – 100 w(A)	
	w(A) Write 400 – 50
r(B)	
	r(C)
w(B)	
	w(C)

Good?

T_1	T_2
r(A)	
w(A)	
	r(A)
	w(A)
r(B)	
	r(C)
w(B)	
	w(C)

Serial schedule

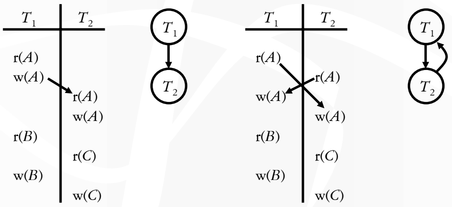
- ❖ Execute transactions in order, with no interleaving of operations
  - T_1.r(A), T_1.w(A), T_1.r(B), T_1.w(B), T_2.r(A), T_2.w(A), T_2.r(C), T_2.w(C)
  - T_2.r(A), T_2.w(A), T_2.r(C), T_2.w(C), T_1.r(A), T_1.w(A), T_1.r(B), T_1.w(B)
  - ☞Isolation achieved by definition!
- ❖ Problem: no concurrency at all
- ❖ Question: how to reorder operations to allow more concurrency

Conflicting operations

- ❖ Two operations on the same data item conflict if at least one of the operations is a write
  - r(*X*) and w(*X*) conflict
  - w(*X*) and r(*X*) conflict
  - w(*X*) and w(*X*) conflict
  - r(*X*) and r(*X*) do not
  - r/w(*X*) and r/w(*Y*) do not
- ❖ Order of conflicting operations matters
  - E.g., if T_1.r(*A*) precedes T_2.w(*A*), then conceptually, T_1 should precede T_2

Precedence graph

- ❖ A node for each transaction
- ❖ A directed edge from T_i to T_j if an operation of T_i precedes and conflicts with an operation of T_j in the schedule



Conflict-serializable schedule

- ❖ A schedule is conflict-serializable iff its precedence graph has no cycles
- ❖ A conflict-serializable schedule is equivalent to some serial schedule (and therefore is “good”)
  - In that serial schedule, transactions are executed in the topological order of the precedence graph
  - You can get to that serial schedule by repeatedly swapping adjacent, non-conflicting operations from different transactions

Locking

- Rules
  - If a transaction wants to read an object, it must first request a shared lock (S mode) on that object
  - If a transaction wants to modify an object, it must first request an exclusive lock (X mode) on that object
  - Allow one exclusive lock, or multiple shared locks

Mode of the lock requested

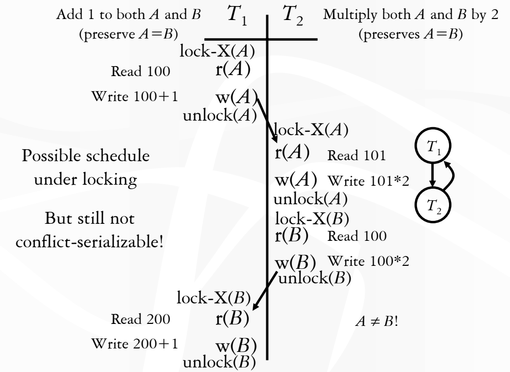
Mode of lock(s) currently held by other transactions

	S	X
S	Yes	No
X	No	No

Compatibility matrix

Grant the lock?

Basic locking is not enough



Add 1 to both A and B (preserve $A=B$)	T_1	T_2	Multiply both A and B by 2 (preserves $A=B$)
	lock-X(A)		
Read 100	r(A)		
Write 100+1	w(A)		
	unlock(A)		
		lock-X(A)	
		r(A)	Read 101
		w(A)	Write 101*2
		unlock(A)	
		lock-X(B)	
		r(B)	Read 100
		w(B)	Write 100*2
		unlock(B)	
	lock-X(B)		
Read 200	r(B)		
Write 200+1	w(B)		
	unlock(B)		

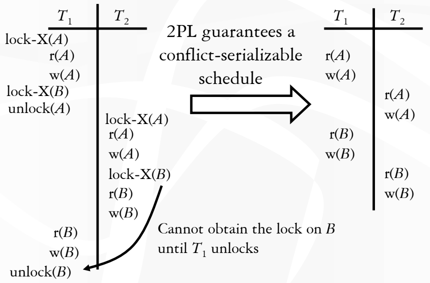
Possible schedule under locking

But still not conflict-serializable!

$A \neq B$!

Two-phase locking (2PL)

- All lock requests precede all unlock requests
  - Phase 1: obtain locks, phase 2: release locks



T_1	T_2
lock-X(A)	
r(A)	
w(A)	
lock-X(B)	
unlock(A)	
	lock-X(A)
	r(A)
	w(A)
	lock-X(B)
	r(B)
	w(B)
r(B)	
w(B)	
unlock(B)	

Cannot obtain the lock on B until T_1 unlocks

2PL guarantees a conflict-serializable schedule

T_1	T_2
r(A)	
w(A)	
	r(A)
	w(A)
r(B)	
w(B)	
	r(B)
	w(B)

Problem of 2PL

T_1	T_2
r(A)	
w(A)	
	r(A)
	w(A)
r(B)	
w(B)	
	r(B)
	w(B)
…	
Abort!	

- ❖ T_2 has read uncommitted data written by T_1
- ❖ If T_1 aborts, then T_2 must abort as well
- ❖ Cascading aborts possible if other transactions have read data written by T_2
- ❖ Even worse, what if T_2 commits before T_1?
  - Schedule is not recoverable if the system crashes right after T_2 commits

Strict 2PL

- ❖ Only release locks at commit/abort time
  - A writer will block all other readers until the writer commits or aborts

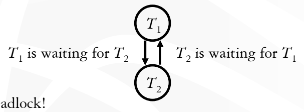
☞ Used in most commercial DBMS (except Oracle)

Deadlocks

T_1	T_2
lock-X(A)	
r(A)	
w(A)	
	lock-X(B)
	r(B)
	w(B)
lock-X(B)	lock-X(A)
r(B)	r(A)
w(B)	w(A)

Deadlock!

Deadlock: cycle in the wait-for graph

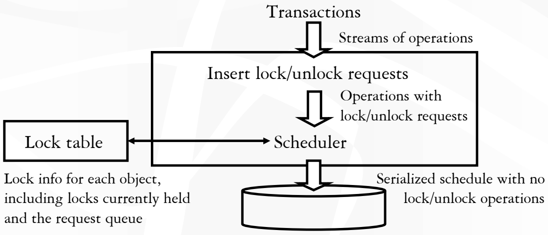


Dealing with deadlocks

- ❖ Impose an order for locking objects
  - Must know in advance which objects a transaction will access
- ❖ Timeout
  - If a transaction has been blocked for too long, just abort
- ❖ Prevention
  - Idea: abort more often, so blocking is less likely
  - Suppose *T* is waiting for *T'*
    - Wait/die scheme: Abort *T* if it has a lower priority; otherwise *T* waits
    - Wound/wait scheme: Abort *T'* if it has a lower priority; otherwise *T* waits
- ❖ Detection using wait-for graph
  - Idea: deadlock is rare, so only deal it when it becomes an issue
  - When do we detect deadlocks?
  - Which transactions do we abort in case of deadlock?

Implementation of locking

- ❖ Do not rely on transactions themselves to lock/unlock explicitly
- ❖ DBMS inserts lock/unlock requests automatically



Multiple-granularity locks

Database
Tables
Pages
Rows

- ❖ Hard to decide what granularity to lock
  - Trade-off between overhead and concurrency
- ❖ Granularities form a hierarchy
- ❖ Allow transactions to lock at different granularity, using intention locks
  - S, X: lock the entire subtree in S, X mode, respectively
  - IS: intend to lock some descendent in S mode
  - IX: intend to lock some descendent in X mode
  - SIX (= S + IX): lock the entire subtree in S mode; intend to lock descendent in X mode

Multiple-granularity locking protocol

Mode of the lock requested

Mode of lock(s) currently held by other transactions

	S	X	IS	IX	SIX
S	Yes		Yes		
X					
IS	Yes		Yes	Yes	Yes
IX			Yes	Yes	
SIX			Yes		

Grant the lock?

Compatibility matrix

- ❖ Lock: before locking an item, *T* must acquire intention locks on all ancestors of the item
  - To get S or IS, must hold IS or IX on parent
    - What if *T* holds S or SIX on parent?
  - To get X or IX or SIX, must hold IX or SIX on parent
- ❖ Unlock: release locks bottom-up
- ❖ 2PL must also be observed

Examples

- ❖ T_1 scans R and update a few rows
  - T_1 gets an SIX lock on R, then repeatedly gets an S lock on rows, and occasionally upgrade to X for some rows
- ❖ T_2 uses an index to read only part of R
  - T_2 gets an IS lock on R, and then repeatedly gets an S lock on rows it needs to access
- ❖ T_3 reads all of R
  - T_3 gets an S lock on R

Phantom problem revisited

- ❖ Reads are repeatable, but may see phantoms
- ❖ Example: different average
  -
```
-- T1:                -- T2:
                      SELECT AVG(GPA)
                      FROM Student WHERE age = 10;
INSERT INTO Student
VALUES(789, 'Nelson', 10, 1.0);
COMMIT;
                      SELECT AVG(GPA)
                      FROM Student WHERE age = 10;
                      COMMIT;
```

☞ How do you lock something that does not exist yet?

Solutions

- Index locking
  - Use the index on *Student*(*age*)
  - T_2 locks the index block(s) with entries for $age = 10$
    - If there are no entries for $age = 10$, T_2 must lock the index block where such entries *would* be, if they existed!
- Predicate locking
  - "Lock" the predicate ($age = 10$)
  - Reason with predicates to detect conflicts
  - Expensive to implement

Concurrency control without locking

- Optimistic (validation-based)
- Timestamp-based
- Multi-version (Oracle, PostgreSQL)

Optimistic concurrency control

- Locking is pessimistic
  - Use blocking to avoid conflicts
  - Overhead of locking even if contention is low
- Optimistic concurrency control
  - Assume that most transactions do not conflict
  - Let them execute as much as possible
  - If it turns out that they conflict, abort and restart

Sketch of protocol

- Read phase: transaction executes, reads from the database, and writes to a private space
- Validate phase: DBMS checks for conflicts with other transactions; if conflict is possible, abort and restart
  - Requires maintaining a list of objects read and written by each transaction
- Write phase: copy changes in the private space to the database

Pessimistic versus optimistic

- Overhead of locking versus overhead of validation and copying private space
- Blocking versus aborts and restarts
- “Concurrency control performance modeling: alternatives and implications,” by Agrawal et al. *TODS* 1987 (in red book)
  - Locking has better throughput for environments with medium-to-high contention
  - Optimistic concurrency control is better when resource utilization is low enough

Timestamp-based

- Assign a timestamp to each transaction
  - Timestamp order is commit order
- Associate each database object with a read timestamp and a write timestamp
- When transaction reads/writes an object, check the object’s timestamp for conflict with a younger transaction; if so, abort and restart
- Problems
  - Even reads require writes (of object timestamps)
  - Ensuring recoverability is hard (plenty of dirty reads)

Multi-version concurrency control

- Maintain versions for each database object
  - Each write creates a new version
  - Each read is directed to an appropriate version
  - Conflicts are detected in a similar manner as timestamp concurrency control
- In addition to the problems inherited from timestamp concurrency control
  - Pro: Reads are never blocked
  - Con: Multiple versions need to be maintained
- ☞ Oracle and PostgreSQL use variants of this scheme

Summary

- Covered
  - Conflict-serializability
  - 2PL, strict 2PL
  - Deadlocks
  - Multiple-granularity locking
  - Predicate locking and tree locking
  - Overview of other concurrency-control methods
- Not covered
  - View-serializability
  - Concurrency control for search trees (not the same as multiple-granularity locking and tree locking)