Concurrence Control

The problem of synchronizing concurrent transactions such that the consistency of the database is maintained while, at the same time, maximum degree of concurrency is achieved.

Principles:
- We want to interleave the execution of transactions for performance reasons
  - E.g., execute operations of another transaction when the first one starts doing I/O.
- However, we want the results of interleaved executions to be equivalent to non-interleaved execution for correctness
  - We need to be able to reason about the execution order of transactions.

Potential Anomalies Due to Concurrent Execution

- Lost updates
  - The effects of some transactions are not reflected in the database.
  - Transaction $T_2$ reading uncommitted changes to data made by transaction $T_1$.
    - Write-Read conflicts
  - Transaction $T_2$ overwriting uncommitted changes of transaction $T_1$.
    - Write-Write conflicts

- Inconsistent retrievals (unrepeatable reads)
  - A transaction, if it reads the same data item more than once, should always read the same value.
  - Transaction $T_2$ modifies data that is being accessed by transaction $T_1$.
    - Read-Write conflicts
Execution Schedule (or History)

- An order in which the operations of a set of transactions are executed.
- A schedule (history) can be defined as a partial order over the operations of a set of transactions.

\[ H_1 = W_2(x) R_4(x) R_5(x) W_1(y) R_3(y) R_2(z) C_2 R_3(z) C_3 \]

Formalization of Schedule

A complete schedule \( SC(T) \) over a set of transactions \( T = \{T_1, \ldots, T_n\} \) is a partial order \( SC(T) = \{\Sigma_T, <_T\} \) where

1. \( \Sigma_T = \bigcup_i \Sigma_i \), for \( i = 1, 2, \ldots, n \)
2. \( <_T \supseteq \bigcup_i <_i \), for \( i = 1, 2, \ldots, n \)
3. For any two conflicting operations \( o_{ij}, o_{kl} \in \Sigma_T \), either \( o_{ij} <_T o_{kl} \) or \( o_{kl} <_T o_{ij} \)

(Remember: \( o_{ij} \) is an operation of transaction \( T_i \))
Complete Schedule – Example

Given three transactions

\[ T_1: \text{Read}(x) \quad T_2: \text{Write}(x) \quad T_3: \text{Read}(x) \]
\[ \text{Write}(x) \quad \text{Write}(y) \quad \text{Read}(y) \]
\[ \text{Commit} \quad \text{Read}(z) \quad \text{Read}(z) \]
\[ \text{Commit} \]

A possible complete schedule is given as the DAG

\[ R_1(x) \rightarrow W_2(x) \rightarrow R_3(x) \]
\[ W_1(x) \rightarrow W_2(y) \rightarrow R_3(y) \]
\[ C_1 \rightarrow R_2(z) \rightarrow R_3(z) \]

Schedule Definition

A schedule is a prefix of a complete schedule such that only some of the operations and only some of the ordering relationships are included.

\[ T_1: \text{Read}(x) \quad T_2: \text{Write}(x) \quad T_3: \text{Read}(x) \]
\[ \text{Write}(x) \quad \text{Write}(y) \quad \text{Read}(y) \]
\[ \text{Commit} \quad \text{Read}(z) \quad \text{Read}(z) \]
\[ \text{Commit} \]
Serial Schedule

- All the actions of a transaction occur consecutively.
- No interleaving of transaction operations.
- If each transaction is consistent (obeys integrity rules), then the database is guaranteed to be consistent at the end of executing a serial schedule.

$$T_1: \text{Read}(x) \quad T_2: \text{Write}(x) \quad T_3: \text{Read}(x)$$
$$\quad \text{Write}(x) \quad \text{Write}(y) \quad \text{Read}(y)$$
$$\quad \text{Commit} \quad \text{Read}(z) \quad \text{Commit}$$

$$H_s = W_2(x) W_2(y) R_2(x) C_2 R_1(x) W_1(x) C_1 R_3(x) R_3(y) R_3(z) C_3$$

$T_2 \rightarrow T_1 \rightarrow T_3$

Serializable Schedule

- Transactions execute concurrently, but the net effect of the resulting schedule upon the database is equivalent to some serial schedule.

- Equivalent with respect to what?
  - Conflict equivalence: the relative order of execution of the conflicting operations belonging to committed transactions in two schedules are the same.
  - Conflicting operations: two incompatible operations (e.g., Read and Write) conflict if they both access the same data item.
    - Incompatible operations of each transaction is assumed to conflict; do not change their execution orders.
    - If two operations from two different transactions conflict, the corresponding transactions are also said to conflict.
### Serializability Schedule

<table>
<thead>
<tr>
<th>$T_1$:</th>
<th>Read($x$)</th>
<th>$T_2$:</th>
<th>Write($x$)</th>
<th>$T_3$:</th>
<th>Read($x$)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Write($x$)</td>
<td></td>
<td>Write($y$)</td>
<td></td>
<td>Read($y$)</td>
</tr>
<tr>
<td></td>
<td>Commit</td>
<td></td>
<td>Read($z$)</td>
<td></td>
<td>Read($z$)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Commit</td>
<td></td>
<td>Commit</td>
</tr>
</tbody>
</table>

The following are not conflict equivalent

$$H_1 = W_2(x) \ R_2(z) \ C_2 \ R_1(x) \ C_1 \ R_3(y) \ R_3(z) \ C_3$$
$$H_2 = W_2(x) \ R_1(x) \ C_1 \ W_2(y) \ R_3(y) \ R_3(z) \ C_2 \ R_3(z) \ C_3$$

The following are conflict equivalent; therefore $H_2$ is serializable.

$$H_1 = W_2(x) \ R_2(z) \ C_2 \ R_1(x) \ C_1 \ R_3(y) \ R_3(z) \ C_3$$
$$H_2 = W_2(x) \ R_1(x) \ C_1 \ R_3(x) \ W_2(y) \ R_3(y) \ R_3(z) \ C_2 \ R_3(z) \ C_3$$

### Serializability Graph

- **Serializability graph** $SG_H = \{V, E\}$ for schedule $H$:
  - $V = \{T \mid T$ is a committed transaction in $H\}$
  - $E = \{T_i \rightarrow T_j \text{ if } o_{ij} \in T_i$ and $o_{kl} \in T_k \text{ conflict and } o_{ij} <_H o_{kl}\}$

- **Theorem**: Schedule $H$ is serializable iff $SG_H$ does not contain any cycles.
Concurrency Control Algorithms

- Pessimistic
  - Two-Phase Locking-based (2PL)
  - Timestamp Ordering (TO)
- Optimistic

Locking-Based Algorithms

- Transactions indicate their intentions by requesting locks from the scheduler (called lock manager).
- Locks are either read lock (rl) [also called shared lock] or write lock (wl) [also called exclusive lock]
- Read locks and write locks conflict (because Read and Write operations are incompatible)

<table>
<thead>
<tr>
<th></th>
<th>rl</th>
<th>wl</th>
</tr>
</thead>
<tbody>
<tr>
<td>rl</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>wl</td>
<td>no</td>
<td>no</td>
</tr>
</tbody>
</table>

- Locking works nicely to allow concurrent processing of transactions.
Two-Phase Locking (2PL)

1. A Transaction locks an object before using it.
2. When an object is locked by another transaction, the requesting transaction must wait.
3. When a transaction releases a lock, it may not request another lock.

Strict 2PL

Hold locks until the end.
Timestamp Ordering

1. Transaction \((T_i)\) is assigned a globally unique timestamp \(ts(T_i)\).
2. Transaction manager attaches the timestamp to all operations issued by the transaction.
3. Each data item is assigned a write timestamp \((wts)\) and a read timestamp \((rts)\):
   - \(rts(x)\) = largest timestamp of any read on \(x\)
   - \(wts(x)\) = largest timestamp of any write on \(x\)
4. Conflicting operations are resolved by timestamp order.

Basic T/O:

For \(R_i(x)\):
- \(ts(T_i) < wts(x)\) then reject \(R_i(x)\)
- else accept \(R_i(x)\)

For \(W_i(x)\):
- if \(ts(T_i) < rts(x)\) or \(ts(T_i) < wts(x)\) then reject \(W_i(x)\)
- else accept \(W_i(x)\)

\(rts(x) \leftarrow ts(T_i)\)
\(wts(x) \leftarrow ts(T_i)\)

Multiversion Timestamp Ordering

- Do not modify the values in the database, create new values.
- A \(R_i(x)\) is translated into a read on one version of \(x\).
  - Find a version of \(x\) (say \(x_r\)) such that \(ts(x_r)\) is the largest timestamp less than \(ts(T_i)\).
- A \(W_i(x)\) is translated into \(W_i(x_w)\) and accepted if the scheduler has not yet processed any \(R_j(x_r)\) such that:
  \[
  ts(T_j) < ts(x_r) < ts(T_i) \\
  W_i(x) \quad Some\ other\ transaction \quad created\ x_r \quad R_j(x_r)
  \]
Optimistic Concurrency Control Algorithms

Pessimistic execution

Optimistic execution

Optimistic CC Validation Test

1. If all transactions $T_k$ where $ts(T_k) < ts(T_i)$ have completed their write phase before $T_i$ has started its read phase, then validation succeeds.

   - Transaction executions in serial order
Optimistic CC Validation Test

If there is any transaction $T_k$ such that $ts(T_k) < ts(T_i)$ and which completes its write phase while $T_i$ is in its read phase, then validation succeeds if $WS(T_k) \cap RS(T_i) = \emptyset$

- Read and write phases overlap, but $T_i$ does not read data items written by $T_k$

\[
\begin{array}{cccc}
T_k & R & V & W \\
T_i & R & V & W \\
\end{array}
\]

Optimistic CC Validation Test

If there is any transaction $T_k$ such that $ts(T_k) < ts(T_i)$ and which completes its read phase before $T_i$ completes its read phase, then validation succeeds if $WS(T_k) \cap RS(T_i) = \emptyset$ and $WS(T_k) \cap WS(T_i) = \emptyset$

- They overlap, but don't access any common data items.

\[
\begin{array}{cccc}
T_k & R & V & W \\
T_i & R & V & W \\
\end{array}
\]
Deadlock

- A transaction is deadlocked if it is blocked and will remain blocked until there is intervention.
- Locking-based CC algorithms may cause deadlocks.
- Wait-for graph
  - If transaction $T_i$ waits for another transaction $T_j$ to release a lock on an entity, then $T_i \rightarrow T_j$ in WFG.

Deadlock Management

- Prevention
  - Guaranteeing that deadlocks can never occur in the first place. Check transaction when it is initiated. Requires no run time support.
- Avoidance
  - Detecting potential deadlocks in advance and taking action to insure that deadlock will not occur. Requires run time support.
- Detection and Recovery
  - Allowing deadlocks to form and then finding and breaking them. As in the avoidance scheme, this requires run time support.
Deadlock Prevention

- All resources that may be needed by a transaction must be predeclared.
  - The system must guarantee that none of the resources will be needed by an ongoing transaction.
  - Resources must only be reserved, but not necessarily allocated a priori
  - Unsuitable in database environment
  - Suitable for systems that have no provisions for undoing processes.

- Evaluation:
  - Reduced concurrency due to pre-allocation
  - Evaluating whether an allocation is safe leads to added overhead.
  - Difficult to determine (partial order)
  + No transaction rollback or restart is caused.

Deadlock Avoidance

- Transactions are not required to request resources a priori.
- Transactions are allowed to proceed unless a requested resource is unavailable.
- In case of conflict, transactions may be allowed to wait for a fixed time interval.
- Order the data items and always request locks in that order.
- More attractive than prevention in a database environment.
Deadlock Avoidance –
Wait-Die & Wound-Wait Algorithms

**WAIT-DIE Rule:** If $T_i$ requests a lock on a data item which is already locked by $T_j$, then $T_i$ is permitted to wait iff $ts(T_i) < ts(T_j)$. If $ts(T_i) > ts(T_j)$, then $T_i$ is aborted and restarted with the same timestamp.

- if $ts(T_i) < ts(T_j)$ then $T_i$ waits else $T_i$ dies
- non-preemptive: $T_i$ never preempts $T_j$

**WOUND-WAIT Rule:** If $T_i$ requests a lock on a data item which is already locked by $T_j$, then $T_j$ is permitted to wait iff $ts(T_i) > ts(T_j)$. If $ts(T_i) < ts(T_j)$, then $T_j$ is aborted and the lock is granted to $T_i$.

- if $ts(T_i) < ts(T_j)$ then $T_j$ is wounded else $T_i$ waits
- preemptive: $T_i$ preempts $T_j$ if it is younger

Deadlock Detection

- Transactions are allowed to wait freely.
- Wait-for graphs and cycles.