

# Transaction Management

## Concurrency Control

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# Outline

Definition

ACID properties

Transaction states

Schedule: Serial, Interleaved, equivalent

Serializability

*Concurrency Control Protocols*

Lock based Protocols: Two Phase Locking, Time stamp based, deadlock detection, prevention, recovery

Time Stamp based Protocols, Validation based Protocols

**Crash Recovery Protocol**

Algorithm for Recovery and Isolation Exploiting Semantics ARIES

# Transaction

- **Transaction** is a logical unit of work that contains one or more SQL statements. A transaction is an atomic unit. The effects of all the SQL statements in a transaction can be either all **committed** (applied to the database) or all **rolled back** (undone from the database)
- A user's program may carry out many operations on the data retrieved from the database, but the DBMS is only concerned about what data is read/written from/to the database
- A transaction is the DBMS's abstract view of a user program: a sequence of reads and writes

# Transaction Concept

- A **transaction** is a *unit* of program execution that accesses and possibly updates various data items.
- E.g., transaction to transfer 50 INR from account A to account B:
  1. `read(A)`
  2. `A := A - 50`
  3. `write(A)`
  4. `read(B)`
  5. `B := B + 50`
  6. `write(B)`
- Two main issues to deal with:
  - Failures of various kinds, such as hardware failures and system crashes
  - Concurrent execution of multiple transactions

# ACID properties

**A**tomicity: All actions in the transaction happen, or none happen

**C**onsistency: If each transaction is consistent, and the database starts consistent, it ends up consistent

**I**solation: Execution of one transaction is isolated from that of other transactions

**D**urability: If a transaction commits, its effects persist

# Atomicity

- Transaction to transfer 50 INR from account A to account B. **t=0: A=B=100**
  1. **read(A)**
  2.  **$A := A - 50$**
  3. **write(A)**
  4. **read(B)**
  5.  **$B := B + 50$**
  6. **write(B)**

If the transaction fails after step 3 and before step 6, money will be “lost” leading to an inconsistent database state

- Failure could be due to software or hardware
- The system should ensure that updates of a partially executed transaction are not reflected in the database

# Durability

Transaction to transfer 50 INR from account A to account B. **t=0: A=B=100**

1. **read(A)**
2.  $A := A - 50$
3. **write(A)**
4. **read(B)**
5.  $B := B + 50$
6. **write(B)**

- Once the user has been notified that the transaction has completed (i.e., the transfer of the 50 INR has taken place), the updates to the database by the transaction must persist even if there are software or hardware failures.

# Consistency

- The sum of A and B is unchanged by the execution of the transaction  
**(A+B=200)**
- In general, consistency requirements include
  - Explicitly specified integrity constraints such as primary keys and foreign keys
  - Implicit integrity constraints
    - e.g., sum of balances of all accounts, minus sum of loan amounts must equal value of cash-in-hand
  - A transaction must see a consistent database.
  - During transaction execution the database may be temporarily inconsistent.
  - When the transaction completes successfully the database must be consistent
    - Erroneous transaction logic can lead to inconsistency

# Isolation

- if between steps 3 and 6, another transaction T2 is allowed to access the partially updated database, it will see an inconsistent database (the sum  $A + B$  will be less than it should be).

T1

1. `read(A)`
2. `A := A - 50`
3. `write(A)`
4. `read(B)`
5. `B := B + 50`
6. `write(B)`

T2

`read(A), read(B), print(A+B)`

- Isolation can be ensured trivially by running transactions **serially**
  - That is, one after the other.
- However, executing multiple transactions concurrently has significant benefits

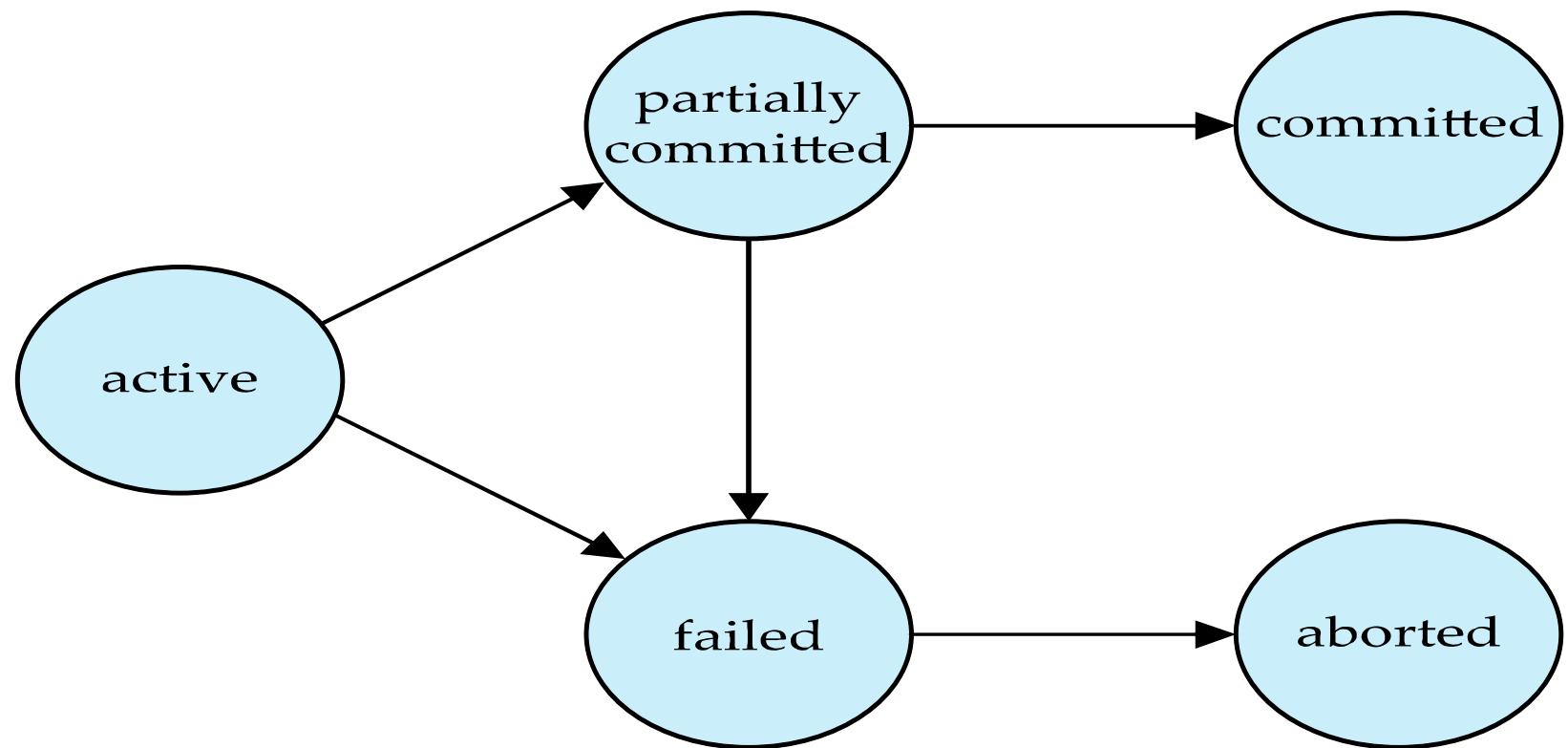
# ACID Properties

- **Atomicity.** Either all operations of the transaction are properly reflected in the database or none are.
- **Consistency.** Execution of a transaction in isolation preserves the consistency of the database.
- **Isolation.** Although multiple transactions may execute concurrently, each transaction must be unaware of other concurrently executing transactions. Intermediate transaction results must be hidden from other concurrently executed transactions.
  - That is, for every pair of transactions  $T_i$  and  $T_j$ , it appears to  $T_i$  that either  $T_j$  finished execution before  $T_i$  started, or  $T_j$  started execution after  $T_i$  finished.
- **Durability.** After a transaction completes successfully, the changes it has made to the database persist, even if there are system failures.

# Transaction State

- **Active** – the initial state; the transaction stays in this state while it is executing
- **Partially committed** – after the final statement has been executed.
- **Failed** -- after the discovery that normal execution can no longer proceed.
- **Aborted** – after the transaction has been rolled back and the database restored to its state prior to the start of the transaction.  
Two options after it has been aborted:
  - Restart the transaction
    - Can be done only if no internal logical error
  - Kill the transaction
- **Committed** – after successful completion.

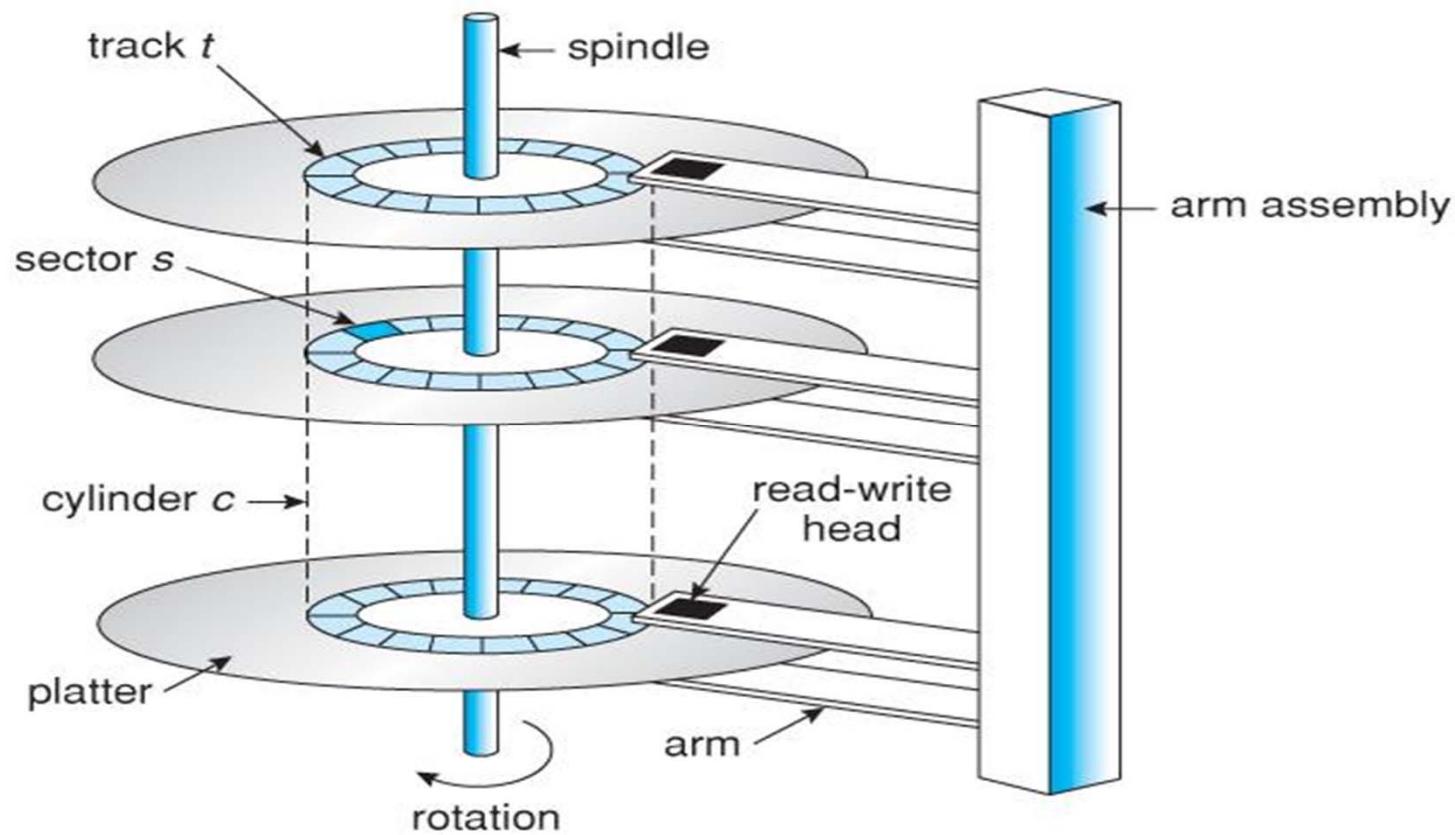
# Transaction State



# Concurrent Executions

- Multiple transactions are allowed to run concurrently in the system.
  - **Increased processor and disk utilization** leading to better transaction *throughput*
    - E.g., one transaction can be using the CPU while another is reading from or writing to the disk
  - **Reduced average response time** for transactions: short transactions need not wait behind long ones.
- **Concurrency control schemes** – mechanisms to achieve isolation
  - That is, to control the interaction among the concurrent transactions in order to prevent them from destroying the consistency of the database

# Disk Structure



# Disk Speed and Processor Speed

- Disk Access time = Seek Time + Rotational Latency
- HDD: 10-20 msec
- Processor Speed GHz approx.
- SSD: 25-100 microsec

# Schedules

- Sequences of instructions that specify the chronological order in which instructions of concurrent transactions are executed
  - A schedule for a set of transactions must consist of all instructions of those transactions
  - Must preserve the order in which the instructions appear in each individual transaction.
- A transaction that successfully completes its execution will have a commit instructions as the last statement
  - By default transaction assumed to execute commit instruction as its last step
- A transaction that fails to successfully complete its execution will have an abort instruction as the last statement

# Schedule 1

- Let  $T_1$  transfer 50 INR from  $A$  to  $B$ , and  $T_2$  transfer 10% of the balance from  $A$  to  $B$ .
- At t=0: A=1000, B=2000, A+B= 3000, A=855, B=2145
- A **serial** schedule in which  $T_1$  is followed by  $T_2$  :

$T_1$	$T_2$
read ( $A$ ) $A := A - 50$ write ( $A$ ) read ( $B$ ) $B := B + 50$ write ( $B$ ) commit	read ( $A$ ) $temp := A * 0.1$ $A := A - temp$ write ( $A$ ) read ( $B$ ) $B := B + temp$ write ( $B$ ) commit

## Schedule 2

- A serial schedule where  $T_2$  is followed by  $T_1$
- At t=0, A=1000, B=2000, A+B= 3000, A=850, B=2150

$T_1$	$T_2$
	<pre>read (A) temp := A * 0.1 A := A - temp write (A) read (B) B := B + temp write (B) commit</pre> <pre>read (A) A := A - 50 write (A) read (B) B := B + 50 write (B) commit</pre>

# Schedule 3

- Let  $T_1$  and  $T_2$  be the transactions defined previously. The following schedule is not a serial schedule, but it is *equivalent* to Schedule 1
- At t=0, A=1000, B=2000, A+B= 3000
- I: A=950, II: A=855, III: B=2050, IV: 2145
- A=855, B=2145

	$T_1$	$T_2$
I	read (A) $A := A - 50$ write (A)	
III		read (A) $temp := A * 0.1$ $A := A - temp$ write (A)
	read (B) $B := B + 50$ write (B) commit	
IV		read (B) $B := B + temp$ write (B) commit

- In Schedules 1, 2 and 3, the sum A + B is preserved.

# Schedule 4

- The following concurrent schedule does not preserve the value of  $(A + B)$

At  $t=0$ ,  $A=1000$ ,  $B=2000$ ,  $A+B= 3000$ ,

I:  $A=1000$ , II:  $A=900$ ,  $B=2000$ ; III:  $A=950$ ,  $B=2050$ ; IV:  $A=950$ ,  $B=2100$

$A=950$ ,  $B=2100$

	$T_1$	$T_2$
I	read ( $A$ ) $A := A - 50$	
III	write ( $A$ ) read ( $B$ ) $B := B + 50$ write ( $B$ ) commit	read ( $A$ ) $temp := A * 0.1$ $A := A - temp$ write ( $A$ ) read ( $B$ )
IV		$B := B + temp$ write ( $B$ ) commit

# Serializability

- Each transaction preserves database consistency.
- Thus, serial execution of a set of transactions preserves database consistency.
- A (possibly concurrent) schedule is serializable if it is equivalent to a serial schedule.

# Simplified view of transactions

- simplified schedules consist of only **read** and **write** instructions.
- **read( $X$ )** transfers the data item  $X$  from the database to a variable, also called  $X$ , in a buffer in main memory belonging to the transaction that executed the read operation.
- **write( $X$ )** transfers the value in the variable  $X$  in the main-memory buffer of the transaction that executed the write to the data item  $X$  in the database.

# Conflicting Instructions

- Instructions  $I_i$  and  $I_j$  of transactions  $T_i$  and  $T_j$  respectively, **conflict** if and only if there exists some item  $Q$  accessed by both  $I_i$  and  $I_j$ , and at least one of these instructions wrote  $Q$ 
  1.  $I_i = \text{read}(Q)$ ,  $I_j = \text{read}(Q)$ .  $I_i$  and  $I_j$  don't conflict
  2.  $I_i = \text{read}(Q)$ ,  $I_j = \text{write}(Q)$ . They conflict
  3.  $I_i = \text{write}(Q)$ ,  $I_j = \text{read}(Q)$ . They conflict
  4.  $I_i = \text{write}(Q)$ ,  $I_j = \text{write}(Q)$ . They conflict
- Intuitively, a conflict between  $I_i$  and  $I_j$  forces a (logical) temporal order between them
- If  $I_i$  and  $I_j$  are consecutive in a schedule and they do not conflict, their results would remain the same even if they had been interchanged in the schedule

# Conflict Serializability

- If a schedule  $S$  can be transformed into a schedule  $S'$  by a series of swaps of non-conflicting instructions, we say that  $S$  and  $S'$  are **conflict equivalent**.
- We say that a schedule  $S$  is **conflict serializable** if it is conflict equivalent to a serial schedule

# Conflict Serializability

Schedule 3 can be transformed into Schedule 6, a serial schedule where  $T_2$  follows  $T_1$ , by series of swaps of non-conflicting instructions. Therefore Schedule 3 is conflict serializable

$T_1$	$T_2$
read ( $A$ ) write ( $A$ )	read ( $A$ ) write ( $A$ )
read ( $B$ ) write ( $B$ )	read ( $B$ ) write ( $B$ )

Schedule 3

$T_1$	$T_2$
read ( $A$ ) write ( $A$ ) read ( $B$ ) write ( $B$ )	read ( $B$ ) write ( $B$ )
read ( $A$ ) write ( $A$ ) read ( $B$ ) write ( $B$ )	read ( $A$ ) write ( $A$ ) read ( $B$ ) write ( $B$ )

Schedule 6

# Conflict Serializability

- a schedule that is not conflict serializable:

$T_3$	$T_4$
read ( $Q$ )	
write ( $Q$ )	write ( $Q$ )

- We are unable to swap instructions in the above schedule to obtain either the serial schedule  $\langle T_3, T_4 \rangle$ , or the serial schedule  $\langle T_4, T_3 \rangle$ .

# View Serializability

- Let  $S$  and  $S'$  be two schedules with the same set of transactions.  $S$  and  $S'$  are **view equivalent** if the following three conditions are met, for each data item  $Q$ ,
  1. If in schedule  $S$ , transaction  $T_i$  reads the initial value of  $Q$ , then in schedule  $S'$  also transaction  $T_i$  must read the initial value of  $Q$ .
  2. If in schedule  $S$  transaction  $T_i$  executes **read( $Q$ )**, and that value was produced by transaction  $T_j$  (if any), then in schedule  $S'$  also transaction  $T_i$  must read the value of  $Q$  that was produced by the same **write( $Q$ )** operation of transaction  $T_j$ .
  3. The transaction (if any) that performs the final **write( $Q$ )** operation in schedule  $S$  must also perform the final **write( $Q$ )** operation in schedule  $S'$ .
- As can be seen, view equivalence is also based purely on **reads** and **writes** alone.

# View Serializability

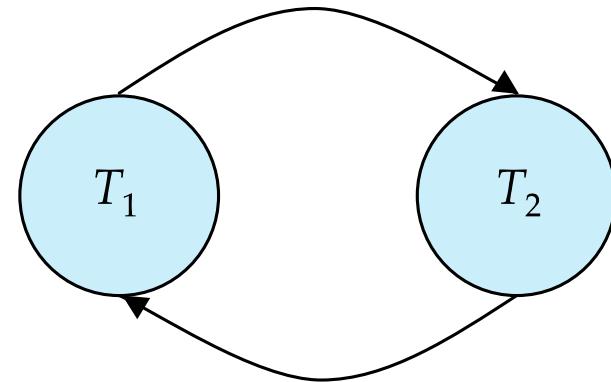
- A schedule  $S$  is **view serializable** if it is view equivalent to a serial schedule.
- Every conflict serializable schedule is also view serializable.
- Below is a schedule which is view-serializable but *not* conflict serializable.

$T_{27}$	$T_{28}$	$T_{29}$
read ( $Q$ )		
write ( $Q$ )	write ( $Q$ )	write ( $Q$ )

- What serial schedule is above equivalent to?
- Every view serializable schedule that is not conflict serializable has **blind writes**.

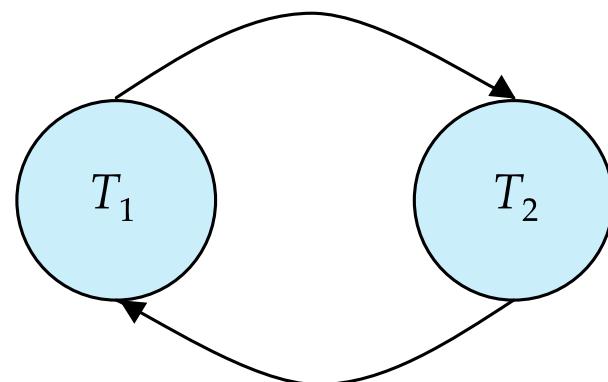
# Testing for Serializability

- Consider some schedule of a set of transactions  $T_1, T_2, \dots, T_n$
- **Precedence graph** — a directed graph where the vertices are the transactions (names)
- We draw an arc from  $T_i$  to  $T_j$  if the two transactions conflict, and  $T_i$  accessed the data item on which the conflict arose earlier
- We may label the arc by the item that was accessed
- Example of a precedence graph



# Example

$T_1$	$T_2$
read ( $A$ ) $A := A - 50$	read ( $A$ ) $temp := A * 0.1$ $A := A - temp$ write ( $A$ ) read ( $B$ )
write ( $A$ ) read ( $B$ ) $B := B + 50$ write ( $B$ ) commit	$B := B + temp$ write ( $B$ ) commit



# Precedence Graph

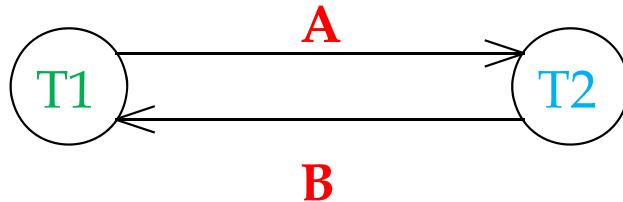
- This graph consists of a pair  $G = (V, E)$ , where  $V$  is a set of vertices and  $E$  is a set of edges.
- The set of vertices consists of all the transactions participating in the schedule. The set of edges consists of all edges  $T_i \rightarrow T_j$  for which one of three conditions holds:
  - 1.  $T_i$  executes write( $Q$ ) before  $T_j$  executes read( $Q$ ).
  - 2.  $T_i$  executes read( $Q$ ) before  $T_j$  executes write( $Q$ ).
  - 3.  $T_i$  executes write( $Q$ ) before  $T_j$  executes write( $Q$ ).
- If an edge  $T_i \rightarrow T_j$  exists in the precedence graph, then, in any serial schedule  $S'$  equivalent to  $S$ ,  $T_i$  must appear before  $T_j$ .

# Example

- A schedule that is not conflict serializable:

T1:	R(A), W(A),	R(B), W(B)
T2:	R(A), W(A), R(B), W(B)	

- One node per transaction; edge from  $T_i$  to  $T_j$  if actions of  $T_i$  precedes and conflicts with one of  $T_j$ 's actions
- The cycle in the graph  $G(V,E)$  reveals the problem. The output of  $T_1$  depends on  $T_2$ , and vice-versa



- Schedule is conflict serializable if and only if its precedence graph is acyclic

# Recoverable Schedules

- if a transaction  $T_j$  reads a data item previously written by a transaction  $T_i$ , then the commit operation of  $T_i$  appears before the commit operation of  $T_j$
- The following schedule (Schedule 11) is not recoverable

$T_8$	$T_9$
read ( $A$ ) write ( $A$ )	
read ( $B$ )	read ( $A$ ) commit

- If  $T_8$  should abort,  $T_9$  would have read (and possibly shown to the user) an inconsistent database state. Hence, database must ensure that schedules are recoverable

# Cascading Rollbacks

- a single transaction failure leads to a series of transaction rollbacks.  
Consider the following schedule where none of the transactions has yet committed (so the schedule is recoverable)

$T_{10}$	$T_{11}$	$T_{12}$
read ( $A$ ) read ( $B$ ) write ( $A$ )  abort	read ( $A$ ) write ( $A$ )	read ( $A$ )

If  $T_{10}$  fails,  $T_{11}$  and  $T_{12}$  must also be rolled back.

- Can lead to the undoing of a significant amount of work

# Cascadeless Schedules

- cascading rollbacks cannot occur
  - For each pair of transactions  $T_i$  and  $T_j$  such that  $T_j$  reads a data item previously written by  $T_i$ , the commit operation of  $T_i$  appears before the read operation of  $T_j$ .
- Every Cascadeless schedule is also recoverable
- It is desirable to restrict the schedules to those that are cascadeless

# Concurrency Control

- A database must provide a mechanism that will ensure that all possible schedules are
  - **serializable, and**
  - **are recoverable and preferably cascadeless**
- A policy in which only one transaction can execute at a time generates serial schedules, but provides a poor degree of concurrency
- Testing a schedule for serializability *after* it has executed is a little too late!
- to develop concurrency control protocols that will assure serializability.

# Concurrency Control

- A policy in which only one transaction can execute at a time generates serial schedules, but provides a poor degree of concurrency.
- Concurrency-control schemes tradeoff between the amount of concurrency they allow and the amount of overhead that they incur.

# Concurrency Control Protocols

- Lock-Based Protocols
- Timestamp-Based Protocols
- Validation-Based Protocols
- Multiple Granularity
- Multiversion Schemes
- Insert and Delete Operations
- Concurrency in Index Structures

# Lock Based CC

- Only serializable, recoverable schedules are allowed, no actions of committed transactions are lost while undoing aborted transactions
- Use of locks
- Locking protocol is a set of rules to be followed by each transaction to ensure that net effect of interleaved transactions is identical to some serial execution

# Lock-Based Protocols

- A lock is a mechanism to control concurrent access to a data item
- Data items can be locked in two modes :
  1. **exclusive (X) mode**. Data item can be both read as well as written. X-lock is requested using **lock-X** instruction.
  2. **shared (S) mode**. Data item can only be read. S-lock is requested using **lock-S** instruction.
- Lock requests are made to concurrency-control manager. Transaction can proceed only after request is granted.

# Lock-Based Protocols

- Lock-compatibility matrix

	S	X
S	true	false
X	false	false

- A transaction may be granted a lock on an item if the requested lock is compatible with locks already held on the item by other transactions.
- Any number of transactions can hold **shared** locks on an item,
  - but if any transaction holds an **exclusive** lock on the item no other transaction may hold any lock on the item.
- If a lock cannot be granted, the requesting transaction is made to wait till all incompatible locks held by other transactions have been released. The lock is then granted.

# Deadlock

- Consider the partial schedule

$T_3$	$T_4$
<code>lock-X(B)</code> <code>read(B)</code> $B := B - 50$ <code>write(B)</code>  <code>lock-X(A)</code>	<code>lock-S(A)</code> <code>read(A)</code> <code>lock-S(B)</code>

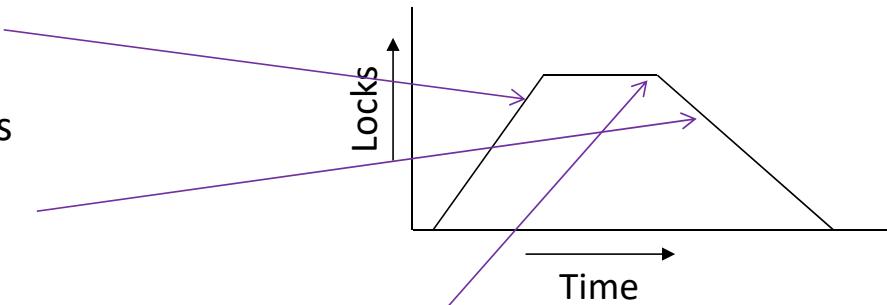
- Neither  $T_3$  nor  $T_4$  can make progress — executing `lock-S(B)` causes  $T_4$  to wait for  $T_3$  to release its lock on  $B$ , while executing `lock-X(A)` causes  $T_3$  to wait for  $T_4$  to release its lock on  $A$
- Two-phase locking does *not* ensure freedom from deadlock. Observe that transactions  $T_3$  and  $T_4$  are two phase
- To handle a deadlock one of  $T_3$  or  $T_4$  must be rolled back and its locks released.

# Deadlock

- The potential for deadlock exists in most locking protocols. Deadlocks are a necessary evil.
- **Starvation** is also possible if concurrency control manager is badly designed. For example:
  - A transaction may be waiting for an X-lock on an item, while a sequence of other transactions request and are granted an S-lock on the same item.
  - The same transaction is repeatedly rolled back due to deadlocks.
- Concurrency control manager can be designed to prevent starvation.

# The Two-Phase Locking Protocol

- A protocol which ensures conflict-serializable schedules.
- Phase 1: **Growing Phase**
  - Transaction may obtain locks
  - Transaction may not release locks
- Phase 2: **Shrinking Phase**
  - Transaction may release locks
  - Transaction may not obtain locks
- The protocol assures serializability. It can be proved that the transactions can be serialized in the order of their **lock points** (i.e., the point where a transaction acquired its final lock).



# The Two-Phase Locking Protocols

- Two-phase locking *does not* ensure freedom from deadlocks.
- Cascading roll-back is possible under two-phase locking. To avoid this, follow a modified protocol called strict two-phase locking. Here a transaction must hold all its exclusive locks till it commits/aborts.
- Rigorous two-phase locking is even stricter: here *all* locks are held till commit/abort. In this protocol transactions can be serialized in the order in which they commit.

# The Two-Phase Locking Protocols

- Two-phase locking *does not* ensure freedom from deadlocks
- Extensions to basic two-phase locking needed to ensure recoverability of freedom from cascading roll-back
  - **Strict two-phase locking:** a transaction must hold all its exclusive locks till it commits/aborts.
    - Ensures recoverability and avoids cascading roll-backs
  - **Rigorous two-phase locking/ Two-phase locking:** a transaction must hold *all* locks till commit/abort.
    - Transactions can be serialized in the order in which they commit.
- Most databases implement rigorous two-phase locking, *but refer to it as simply two-phase locking*

# Locking in Commercial Databases

- When a transaction  $T_i$  issues a  $\text{read}(Q)$  operation, the system issues a  $\text{lock-S}(Q)$  instruction followed by the  $\text{read}(Q)$  instruction.
- When  $T_i$  issues a  $\text{write}(Q)$  operation, the system checks to see whether  $T_i$  already holds a shared lock on  $Q$ . If it does, then the system issues an  $\text{upgrade}(Q)$  instruction, followed by the  $\text{write}(Q)$  instruction. Otherwise, the system issues a  $\text{lock-X}(Q)$  instruction, followed by the  $\text{write}(Q)$  instruction.
- All locks obtained by a transaction are unlocked after that transaction commits or aborts.

# Lock Management

- Lock and unlock requests are handled by the lock manager
- Maintains 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
- Descriptive entry in transaction table for each transaction
- Entry contains pointer to a list of locks held by the transaction
- This list is checked before requesting a lock to ensure that a transaction does not request the same lock twice

# Pitfalls of Lock-Based Protocols

- Starvation is also possible if concurrency control manager is badly designed.
- A transaction may be waiting for an X-lock on an item, while a sequence of other transactions request and are granted an S-lock on the same item.
- The same transaction is repeatedly rolled back due to deadlocks.
- Concurrency control manager can be designed to prevent starvation.

# Cascading Rollbacks

- Cascading rollback may occur under two-phase locking.
- Each transaction observes the two-phase locking protocol, but the failure of T5 after the  $\text{read}(A)$  step of T7 leads to cascading rollback of T6 and T7.

$T_5$	$T_6$	$T_7$
$\text{lock-X}(A)$ $\text{read}(A)$ $\text{lock-S}(B)$ $\text{read}(B)$ $\text{write}(A)$ $\text{unlock}(A)$	$\text{lock-X}(A)$ $\text{read}(A)$ $\text{write}(A)$ $\text{unlock}(A)$	$\text{lock-S}(A)$ $\text{read}(A)$

# Deadlocks

- Deadlock: Cycle of transactions waiting for locks to be released by each other.
- Two ways of dealing with deadlocks:
  - Deadlock prevention
  - Deadlock detection
- Identification of deadlocks using timeout mechanism: transaction waiting for too long...assuming it is a deadlock ...abort it
- Blocking : blocked transactions may hold other locks that force other transactions to wait
- Aborting and restarting: wastes the work done

# Deadlock prevention

- protocols ensure that the system will *never* enter into a deadlock state. Some prevention strategies:
  - Require that each transaction locks all its data items before it begins execution (predeclaration).
  - Impose partial ordering of all data items and require that a transaction can lock data items only in the order specified by the partial order (graph-based protocol).

# Deadlock Prevention Strategies

- Following schemes use transaction timestamps for the sake of deadlock prevention alone.
- $TS(T_1) < TS(T_2)$
- **wait-die scheme**
  - older transaction may wait for younger one to release data item. Younger transactions never wait for older ones; they are rolled back instead.
  - a transaction may die several times before acquiring needed data item
- **wound-wait scheme**
  - older transaction *wounds* (forces rollback) younger transaction instead of waiting for it. Younger transactions may wait for older ones.
  - may be fewer rollbacks than *wait-die* scheme

# Deadlock Prevention

- Assign priorities based on timestamps. Assume  $T_i$  wants a lock that  $T_j$  holds. Two policies are possible:
  - Wait-Die: If  $T_i$  has higher priority,  $T_i$  waits for  $T_j$ ; otherwise  $T_i$  aborts
  - Wound-wait: If  $T_i$  has higher priority,  $T_j$  aborts; otherwise  $T_i$  waits
  - Fewer rollbacks in wound-wait
- If a transaction re-starts, make sure it has its original timestamp

# Wait-Die Scheme

- Lower the timestamp, higher the priority
- If  $T_i$  has higher priority,  $T_i$  waits for  $T_j$ ; otherwise  $T_i$  aborts
- Lower priority transactions can never wait for higher priority transactions
- To ensure that no transaction is repeatedly aborted, when a transaction is aborted and hence restarted, it will be given the original timestamp it had
- Only a transaction requesting a lock can be aborted
- As the transaction grows older, it tends to wait for more and more younger transactions. The conflicting younger transaction may be repeatedly aborted. But a transaction having all the locks will never be aborted.

# Wound-Wait Scheme

- If  $T_i$  has higher priority,  $T_j$  aborts; otherwise  $T_i$  waits
- A transaction that has all the locks it needs may get aborted

# Deadlock prevention

- Both in *wait-die* and in *wound-wait* schemes, a rolled back transaction is restarted with its original timestamp. Older transactions thus have precedence over newer ones, thus starvation is avoided
- **Timeout-Based Schemes:**
  - a transaction waits for a lock only for a specified amount of time. After that, the wait times out and the transaction is rolled back.
  - thus deadlocks are not possible
  - simple to implement; but starvation is possible. Also difficult to determine good value of the timeout interval.

# Deadlock Detection

- Create a **wait-for graph**:
  - Nodes are transactions
  - There is an edge from  $T_i$  to  $T_j$  if  $T_i$  is waiting for  $T_j$  to release a lock
- Periodically check for cycles in the waits-for graph

# Schedule

T1: S(A), R(A),

S(B)

T2:

X(B), W(B)

T3:

S(C), R(C)

X(C)

T4:

X(B)

X(A)

- S1(A), R1(A), X2(B), S1(B), W2(B), S3(C), R3(C), X2(C), X4(B), X3(A)

# Deadlock Detection

Example:

T1: S(A), R(A),

T2:

S(B)  
X(B), W(B)

T3:

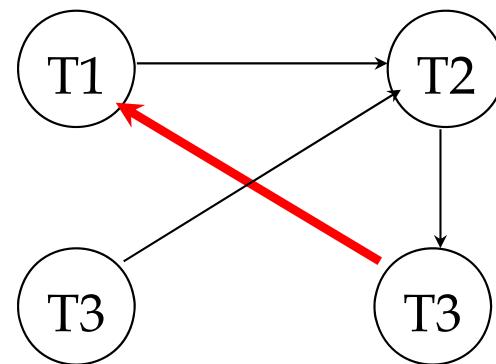
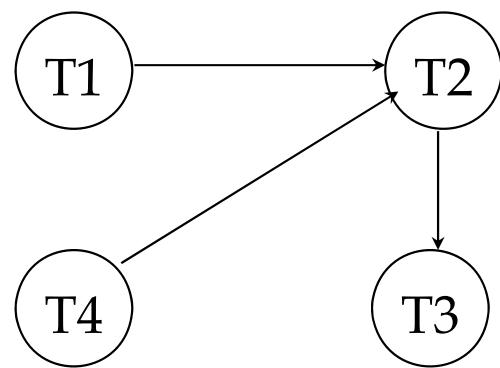
T4:

S(C), R(C)

X(C)

X(A)

X(B)



# Deadlock Detection

- Deadlocks can be described as a ***wait-for graph***, which consists of a pair  $G = (V,E)$ ,
  - $V$  is a set of vertices (all the transactions in the system)
  - $E$  is a set of edges; each element is an ordered pair  $T_i \rightarrow T_j$ .
- If  $T_i \rightarrow T_j$  is in  $E$ , then there is a directed edge from  $T_i$  to  $T_j$ , implying that  $T_i$  is waiting for  $T_j$  to release a data item.
- When  $T_i$  requests a data item currently being held by  $T_j$ , then the edge  $T_i \rightarrow T_j$  is inserted in the wait-for graph. This edge is removed only when  $T_j$  is no longer holding a data item needed by  $T_i$ .
- The system is in a deadlock state if and only if the wait-for graph has a cycle. Must invoke a deadlock-detection algorithm periodically to look for cycles.

# Deadlock Recovery

When deadlock is detected: Selection of victim, rollback, starvation

- **Selection of victim:**
- Select that transaction as victim that will incur minimum cost
  - How long it has computed and how long is still to go?
  - Number of data items already used by it
  - Number of data items to be used further by it
  - Number of transactions involved in rollback

# Deadlock Recovery

- **Rollback** -- determine how far to roll back transaction
  - Total rollback:** Abort the transaction and then restart it.
  - Partial rollback:** More effective to roll back transaction only as far as necessary to break deadlock.
    - Needs to keep additional information like state of all running , sequence of lock request/grants and updates performed by transactions
    - Detection mechanism should decide which locks the selected transactions need to release to break the deadlock
    - The selected transaction must be rolled back to the point where it obtained first of these locks, undoing all actions it took after that point
- **Starvation**
  - happens if same transaction is always chosen as victim.
  - Include the number of rollbacks in the cost factor to avoid starvation

# Multiple Granularity

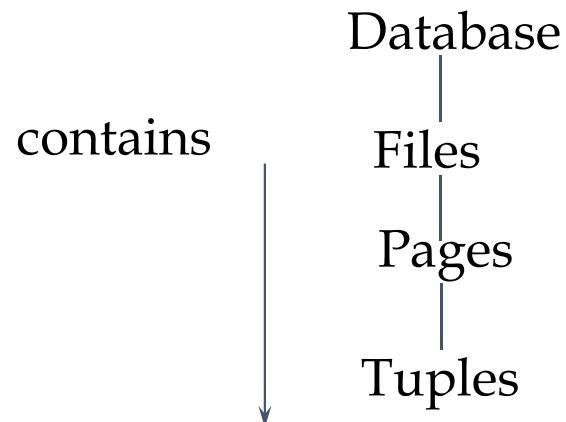
- Allow data items to be of various sizes and define a hierarchy of data granularities, where the small granularities are nested within larger ones.
- Can be represented graphically as a tree (but don't confuse with tree-locking protocol)
- When a transaction locks a node in the tree *explicitly*, it *implicitly* locks all the node's descendants in the same mode.
- **Granularity of locking** (level in tree where locking is done):
  - **fine granularity** (lower in tree): high concurrency, high locking overhead
  - **coarse granularity** (higher in tree): low locking overhead, low concurrency

# Granularity

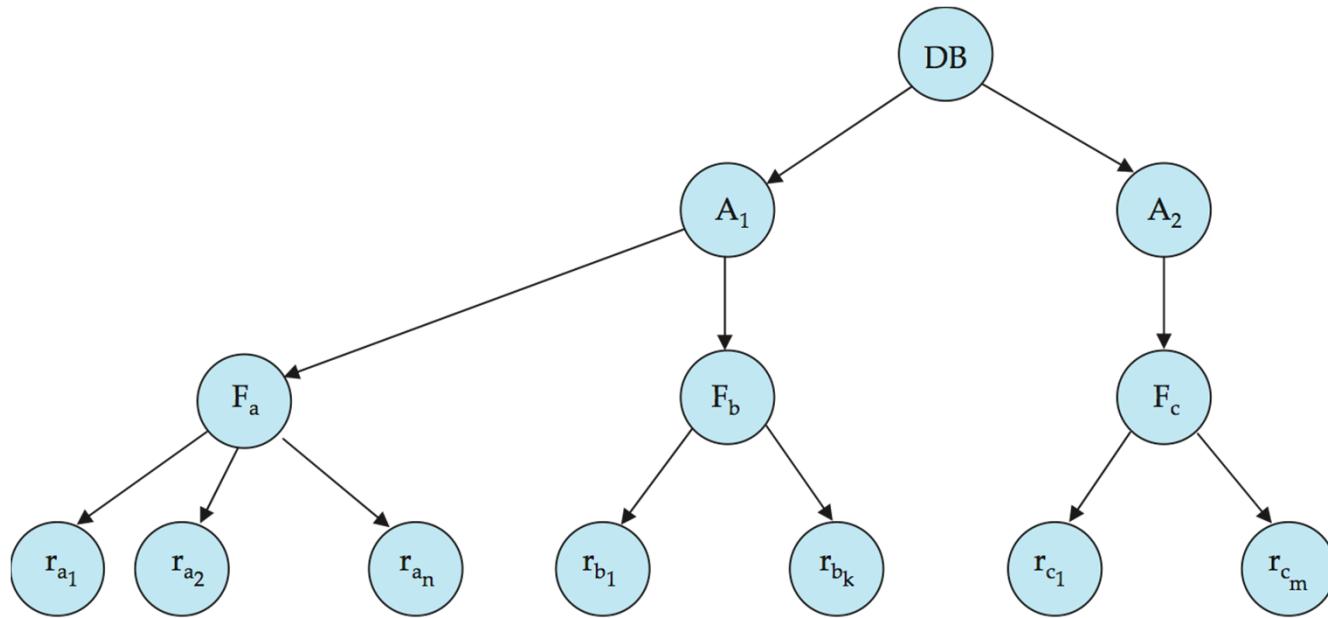
- Data items are of various sizes
- Defining hierarchy of data granularities where small granularities are nested within larger ones
- Tree
- A nonleaf node of multi granularity tree represents data associated with its descendants

# Multiple-Granularity Locks

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



# Example of Granularity Hierarchy



The levels, starting from the coarsest (top) level are:

- *database*
- *file*
- *record*

# Writer Starvation Problem

- If several READ requests are compatible, immediately grant the lock request. Such policy may cause writer starvation problem if there are a large number of read requests. If a reader was granted a read lock, then fellow readers can immediately join in. However, writers will be blocked out, until all readers have finished. In fact, some unlucky writers may get blocked indefinitely.
- A solution is to use FIFO (first in, first out) policy to queue up the requests. Only requests at the front of the queue can try to get the lock. However, concurrency and efficiency may be negatively impacted. Some opportunities for parallel access will be lost as queue processing is serial in nature.

# Optimistic CC

- Locking is a conservative 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 transactions commit

# Timestamp-Based Protocols

- Each transaction is issued a timestamp when it enters the system. If an old transaction  $T_i$  has time-stamp  $\text{TS}(T_i)$ , a new transaction  $T_j$  is assigned time-stamp  $\text{TS}(T_j)$  such that  $\text{TS}(T_i) < \text{TS}(T_j)$ .
- The protocol manages concurrent execution such that the time-stamps determine the serializability order.
- In order to assure such behavior, the protocol maintains for each data  $Q$  two timestamp values:
  - **W-timestamp( $Q$ )** is the largest time-stamp of any transaction that executed **write( $Q$ )** successfully.
  - **R-timestamp( $Q$ )** is the largest time-stamp of any transaction that executed **read( $Q$ )** successfully.

# Timestamp-Based Protocols

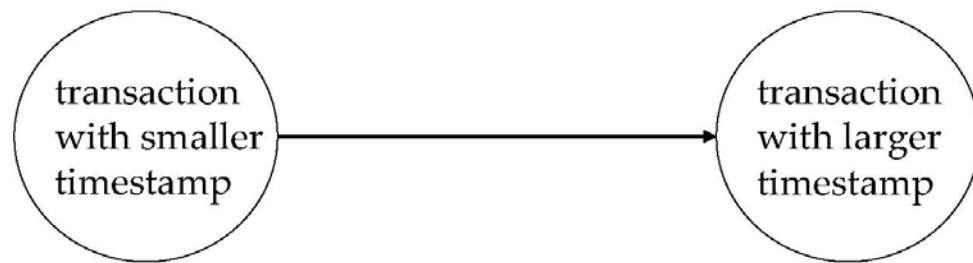
- The timestamp ordering protocol ensures that any conflicting **read** and **write** operations are executed in timestamp order.
- Suppose a transaction  $T_i$  issues a **read(Q)**:
  1. If  $TS(T_i) \leq W\text{-timestamp}(Q)$ , then  $T_i$  needs to read a value of  $Q$  that was already overwritten.
    - Hence, the **read** operation is rejected, and  $T_i$  is rolled back.
  2. If  $TS(T_i) \geq W\text{-timestamp}(Q)$ , then the **read** operation is executed, and  $R\text{-timestamp}(Q)$  is set to  $\text{mx}(R\text{-timestamp}(Q), TS(T_i))$ .

# Timestamp-Based Protocols

- Suppose that transaction  $T_i$  issues **write** ( $Q$ ):
  1. If  $TS(T_i) < R\text{-timestamp } (Q)$ , then the value of  $Q$  that  $T_i$  is producing was needed previously, and the system assumed that that value would never be produced.
    - Hence, the **write** operation is rejected, and  $T_i$  is rolled back.
  2. If  $TS(T_i) < W\text{-timestamp } (Q)$ , then  $T_i$  is attempting to write an obsolete value of  $Q$ .
    - Hence, this **write** operation is rejected, and  $T_i$  is rolled back.
  3. Otherwise, the **write** operation is executed, and  $W\text{-timestamp}(Q)$  is set to  $TS(T_i)$ .

# Timestamp-Ordering Protocol

- The timestamp-ordering protocol guarantees serializability since all the arcs in the precedence graph are of the form:



Thus, there will be no cycles in the precedence graph.

- Timestamp protocol ensures freedom from deadlock as no transaction ever waits.
- But the schedule may not be cascade-free, and may not even be recoverable.

# Recoverability and Cascade Freedom

- Problem with timestamp-ordering protocol:
  - Suppose  $T_i$  aborts, but  $T_j$  has read a data item written by  $T_i$
  - Then  $T_j$  must abort; if  $T_j$  had been allowed to commit earlier, the schedule is not recoverable.
  - Further, any transaction that has read a data item written by  $T_i$  must abort
  - This can lead to cascading rollback --- that is, a chain of rollbacks
- Solution 1:
  - A transaction is structured such that its writes are all performed at the end of its processing
  - All writes of a transaction form an atomic action; no transaction may execute while a transaction is being written
  - A transaction that aborts is restarted with a new timestamp
- Solution 2: Limited form of locking: wait for data to be committed before reading it
- Solution 3: Use commit dependencies to ensure recoverability

# Thomas' Write Rule

- Modified version of the timestamp-ordering protocol in which obsolete **write** operations may be ignored under certain circumstances.
- When  $T_i$  attempts to write data item Q, if  $TS(T_i) < W\text{-timestamp}(Q)$ , then  $T_i$  is attempting to write an obsolete value of {Q}.
  - Rather than rolling back  $T_i$  as the timestamp ordering protocol would have done, this **{write}** operation can be ignored.
- Otherwise this protocol is the same as the timestamp ordering protocol.
- Thomas' Write Rule allows greater potential concurrency.

# When transaction T wants to Write Object O

- If  $TS(T) < RTS(O)$ , the write action conflicts with the most recent read action of O, and T is aborted and restarted.
- If  $TS(T) < WTS(O)$ , the write of T conflicts with the most recent write of O and is out of timestamp order
- 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 nonconflict serializable schedules:
  - Else, allow T to write O and  $WTS(O)$  is set to  $TS(T)$

T1	T2
R(A)	
	W(A)
	Commit
W(A)	
	Commit

# Multiversion Timestamp Protocol

- Multiversion schemes keep old versions of data item to increase concurrency.
- Each successful **write** results in the creation of a new version of the data item written.
- Use timestamps to label versions.
- When a **read(Q)** operation is issued, select an appropriate version of Q based on the timestamp of the transaction, and return the value of the selected version.
- **reads** never have to wait as an appropriate version is returned immediately.

# Multiversion Timestamp Ordering

- Each data item  $Q$  has a sequence of versions  $\langle Q_1, Q_2, \dots, Q_m \rangle$ . Each version  $Q_k$  contains three data fields:
  - **Content** -- the value of version  $Q_k$ .
  - **W-timestamp( $Q_k$ )** -- timestamp of the transaction that created (wrote) version  $Q_k$
  - **R-timestamp( $Q_k$ )** -- largest timestamp of a transaction that successfully read version  $Q_k$
- when a transaction  $T_i$  creates a new version  $Q_k$  of  $Q$ ,  $Q_k$ 's W-timestamp and R-timestamp are initialized to  $TS(T_i)$ .
- R-timestamp of  $Q_k$  is updated whenever a transaction  $T_j$  reads  $Q_k$ , and  $TS(T_j) > R\text{-timestamp}(Q_k)$ .

# Multiversion Timestamp Ordering

- Suppose that transaction  $T_i$  issues a **read**(Q) or **wrie**(Q) operation. Let  $Q_k$  denote the version of Q whose write timestamp is the largest write timestamp less than or equal to  $TS(T_i)$ .
  1. If transaction  $T_i$  issues a **read**(Q), then the value returned is the content of version  $Q_k$ .
  2. If transaction  $T_i$  issues a **write**(Q)
    1. if  $TS(T_i) < R\text{-timestamp}(Q_k)$ , then transaction  $T_i$  is rolled back.
    2. if  $TS(T_i) = W\text{-timestamp}(Q_k)$ , the contents of  $Q_k$  are overwritten
    3.  $TS(T_i) > R\text{-timestamp}(Q_k)$ , a new version of Q is created.
- Observe that
  - Reads always succeed.
  - A write by  $T_i$  is rejected if some other transaction  $T_j$  that (in the serialization order defined by the timestamp values) should read  $T_i$ 's write, has already read a version created by a transaction older than  $T_i$ .
- Protocol guarantees serializability.

# MVCC: Implementation Issues

- Reading of data items also requires the updating of R-timestamp field (2 disk accesses)
- Conflicts are resolved through rollbacks rather than through waits (expensive)
- Creation of multiple versions increases storage overhead
  - Extra tuples
  - Extra space in each tuple for storing version information
- Versions can, however, be garbage collected
  - E.g., if Q has two versions  $Q_k$  and  $Q_j$ , and both versions have W-timestamp less than the timestamp of the oldest transaction in the system. Then the older of the 2 versions ( $Q_k, Q_j$ ) will not be used again and can be deleted

# Validation-Based Protocol

- Execution of transaction  $T_i$  is done in three phases.

**Read and execution phase** Transaction  $T_i$  writes only to temporary local variables

## **Validation phase**

Transaction  $T_i$  performs a ``validation test'' When transaction wants to commit, DBMS checks whether transaction would possibly have conflicted with any other concurrently running transactions. If there is a possible conflict, transaction is aborted,

Private workplace is cleared and it is restarted

**Write phase** In case of no conflict, changes to the data item made in private workspace are copied to the database

# Validation-based protocol

- Also called as optimistic concurrency control since transaction executes fully in the hope that all will go well during validation
- In case of few conflicts, validation can be done efficiently and leads to better performance than locking
- If there are many conflicts, cost of repeatedly restarting transactions hurts performance
- No checking is done while transaction is executing
- Updates by the transaction are not directly applied to the database items until transaction reaches end
- intermediate changes are made to the local copies and at validation it is checked for possible conflicts (serializability violation)

# Kung-Robinson Model

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

## Validation-Based Protocol (Cont.)

- Each transaction  $T_i$  has 3 timestamps:
  - $\text{Start}(T_i)$  : the time when  $T_i$  started its execution
  - $\text{Validation}(T_i)$ : the time when  $T_i$  entered its validation phase
  - $\text{Finish}(T_i)$  : the time when  $T_i$  finished its write phase
- Serializability order is determined by timestamp given at validation time, to increase concurrency.
  - Thus  $\text{TS}(T_i)$  is given the value of  $\text{Validation}(T_i)$ .
- This protocol is useful and gives greater degree of concurrency if probability of conflicts is low.
  - because the serializability order is not pre-decided, and
  - relatively few transactions will have to be rolled back.

# Validation

- Test conditions that are sufficient to ensure that no conflict occurred.
- Each transaction is assigned a numeric id.
  - use a **timestamp**.
- transaction ids assigned at the beginning of validation phase
- $\text{ReadSet}(T_i)$ : Set of objects read by transaction  $T_i$ .
- $\text{WriteSet}(T_i)$ : Set of objects modified by  $T_i$ .

# Validation

- Validation criterion checks whether the timestamp ordering of transactions is an equivalent serial order
- To validate  $T_j$ , one of the validation conditions must hold with respect to each committed transaction  $T_i$  such that  $TS(T_i) < TS(T_j)$
- Validation conditions :
  - Each condition ensures that  $T_j$ 's modifications are not visible to  $T_i$
  - To validate  $T_j$  we must check to see that one of the validation conditions holds with respect to each committed transaction  $T_i$  such that  $TS(T_i) < TS(T_j)$
  - At most one transaction is in validation/write phases at any time

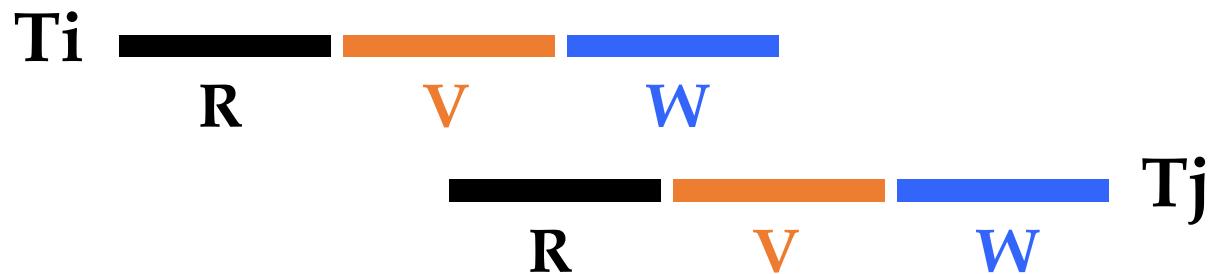
## Test 1

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



## Test 2

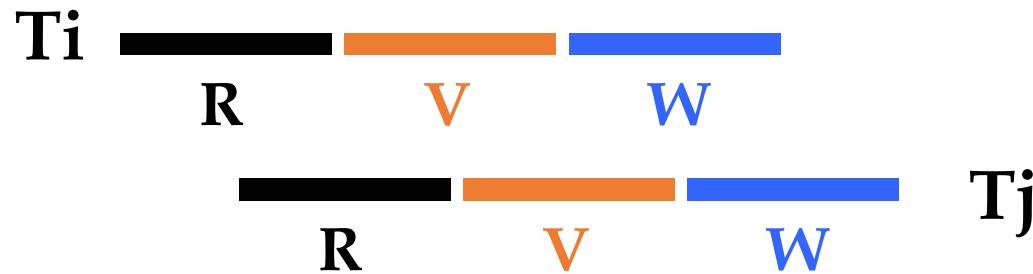
- For all  $i$  and  $j$  such that  $T_i < T_j$ , check that:
  - $T_i$  completes before  $T_j$  begins its Write phase +
  - $\text{WriteSet}(T_i)$  **intersection**  $\text{ReadSet}(T_j)$  is empty.



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

## Test 3

- For all  $i$  and  $j$  such that  $T_i < T_j$ , check that:
  - $T_i$  completes Read phase before  $T_j$  does +
  - $\text{WriteSet}(T_i)$  **Intersection**  $\text{ReadSet}(T_j)$  is empty +
  - $\text{WriteSet}(T_i)$  **Intersection**  $\text{WriteSet}(T_j)$  is empty.



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

# Overheads in Optimistic CC

- Must record read/write activity in ReadSet and WriteSet per transaction.
  - 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.
- Optimistic CC restarts transactions 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 transaction, make writes global, then release all locks.
- In contrast to Optimistic CC as in Kung-Robinson, this scheme results in transactions being blocked, waiting for locks.
  - However, no validation phase, no restarts