



Intro to Database Systems (15-445/645)

# 15 Concurrency Control Theory

Carnegie  
Mellon  
University

FALL  
2022

Andy  
Pavlo

# ADMINISTRIVIA

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**Mid-Term Exam** is available for review with solutions during in my office.

→ Bring your CMU ID card.

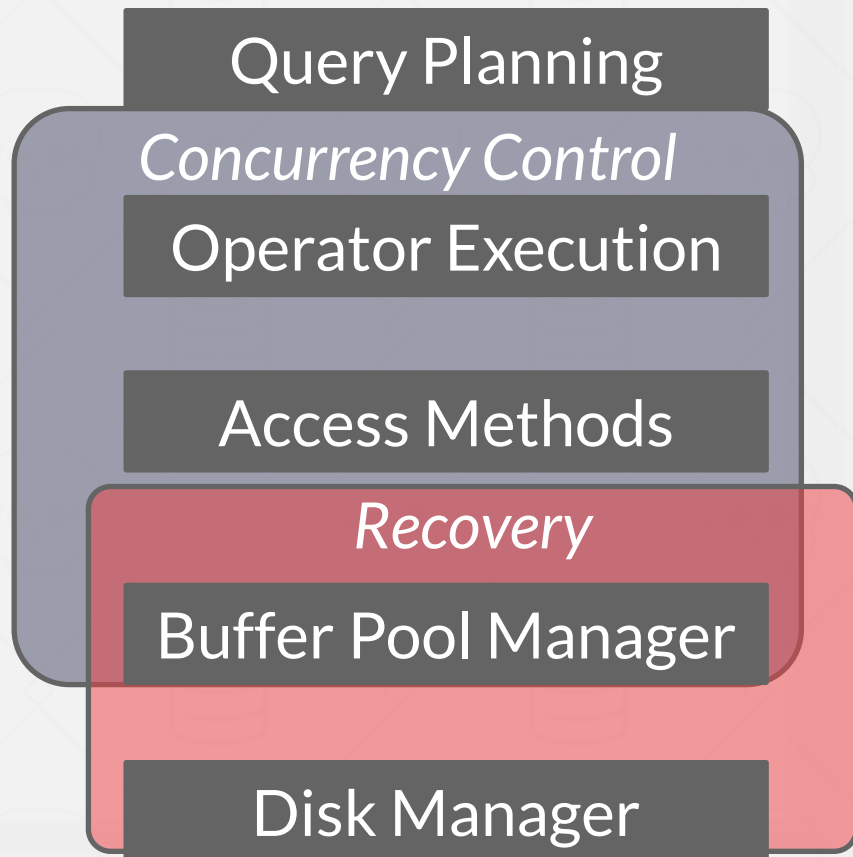
**Project #3** is due **Sunday Nov 13<sup>th</sup> @ 11:59pm.**

→ Q&A Session on **Tuesday Nov 1<sup>st</sup> @ 8:00pm**

**Final Exam** is **Friday Dec 16<sup>th</sup> @ 1:00pm.**

# COURSE STATUS

A DBMS's concurrency control and recovery components permeate throughout the design of its entire architecture.



# MOTIVATION

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We both change the same record in a table at the same time.

*How to avoid race condition?*



**Lost Updates**  
Concurrency Control

You transfer \$100 between bank accounts but there is a power failure.

*What is the correct database state?*



**Durability**  
Recovery

# CONCURRENCY CONTROL & RECOVERY

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Valuable properties of DBMSs.

Based on concept of transactions with **ACID** properties.

Let's talk about transactions...

# TRANSACTIONS

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A **transaction** is the execution of a sequence of one or more operations (e.g., SQL queries) on a database to perform some higher-level function.

It is the basic unit of change in a DBMS:

→ Partial transactions are not allowed!

# TRANSACTION EXAMPLE

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Move \$100 from Andy's bank account to his bookie's account.

Transaction:

- Check whether Andy has \$100.
- Deduct \$100 from his account.
- Add \$100 to his bookie's account.

# STRAWMAN SYSTEM

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Execute each txn one-by-one (i.e., serial order) as they arrive at the DBMS.

→ One and only one txn can be running at the same time in the DBMS.

Before a txn starts, copy the entire database to a new file and make all changes to that file.

→ If the txn completes successfully, overwrite the original file with the new one.

→ If the txn fails, just remove the dirty copy.



# PROBLEM STATEMENT

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A (potentially) better approach is to allow concurrent execution of independent transactions.

## *Why do we want that?*

- Better utilization/throughput
- Increased response times to users.

But we also would like:

- Correctness
- Fairness

# PROBLEM STATEMENT

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Arbitrary interleaving of operations can lead to:

- Temporary Inconsistency (ok, unavoidable)
- Permanent Inconsistency (bad!)

We need formal correctness criteria to determine whether an interleaving is valid.

# DEFINITIONS

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A txn may carry out many operations on the data retrieved from the database

The DBMS is only concerned about what data is read/written from/to the database.

→ Changes to the "outside world" are beyond the scope of the DBMS.

# FORMAL DEFINITIONS

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**Database:** A fixed set of named data objects (e.g., **A, B, C**, ...).

- We do not need to define what these objects are now.
- We will discuss how to handle inserts/deletes next week.

**Transaction:** A sequence of read and write operations ( **R(A)**, **W(B)**, ...)

- DBMS's abstract view of a user program

# TRANSACTIONS IN SQL

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A new txn starts with the **BEGIN** command.

The txn stops with either **COMMIT** or **ABORT**:

- If commit, the DBMS either saves all the txn's changes or aborts it.
- If abort, all changes are undone so that it's like as if the txn never executed at all.

Abort can be either self-inflicted or caused by the DBMS.

# CORRECTNESS CRITERIA: ACID

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## Atomicity

All actions in txn happen, or none happen.  
*"All or nothing..."*

## Consistency

If each txn is consistent and the DB starts consistent, then it ends up consistent.  
*"It looks correct to me..."*

## Isolation

Execution of one txn is isolated from that of other txns.  
*"All by myself..."*

## Durability

If a txn commits, its effects persist.  
*"I will survive..."*

# TODAY'S AGENDA

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Atomicity

Consistency

Isolation

Durability

# ATOMICITY OF TRANSACTIONS

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Two possible outcomes of executing a txn:

- Commit after completing all its actions.
- Abort (or be aborted by the DBMS) after executing some actions.

DBMS guarantees that txns are **atomic**.

- From user's point of view: txn always either executes all its actions or executes no actions at all.



# ATOMICITY OF TRANSACTIONS

## Scenario #1:

→ We take \$100 out of Andy's account but then the DBMS aborts the txn before we transfer it.

## Scenario #2:

→ We take \$100 out of Andy's account but then there is a power failure before we transfer it.

*What should be the correct state of Andy's account after both txns abort?*

# MECHANISMS FOR ENSURING ATOMICITY

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## Approach #1: Logging

- DBMS logs all actions so that it can undo the actions of aborted transactions.
- Maintain undo records both in memory and on disk.
- Think of this like the black box in airplanes...

Logging is used by almost every DBMS.

- Audit Trail
- Efficiency Reasons

# MECHANISMS FOR ENSURING ATOMICITY

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## Approach #2: Shadow Paging

- DBMS makes copies of pages and txns make changes to those copies. Only when the txn commits is the page made visible to others.
- Originally from IBM System R.

Few systems do this:

- CouchDB
- Tokyo Cabinet
- LMDB (OpenLDAP)

# CONSISTENCY

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The "world" represented by the database is logically correct. All questions asked about the data are given logically correct answers.

**Database Consistency**

**Transaction Consistency**

# DATABASE CONSISTENCY

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The database accurately models the real world and follows integrity constraints.

Transactions in the future see the effects of transactions committed in the past inside of the database.

# TRANSACTION CONSISTENCY

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If the database is consistent before the transaction starts (running alone), it will also be consistent after.

Transaction consistency is the application's responsibility. DBMS cannot control this.

→ We won't discuss this issue further...

# ISOLATION OF TRANSACTIONS

Users submit txns, and each txn executes as if it was running by itself.

→ Easier programming model to reason about.

But the DBMS achieves concurrency by interleaving the actions (reads/writes of DB objects) of txns.

We need a way to interleave txns but still make it appear as if they ran **one-at-a-time**.

# MECHANISMS FOR ENSURING ISOLATION

A concurrency control protocol is how the DBMS decides the proper interleaving of operations from multiple transactions.

Two categories of protocols:

- **Pessimistic:** Don't let problems arise in the first place.
- **Optimistic:** Assume conflicts are rare, deal with them after they happen.



## EXAMPLE

Assume at first **A** and **B** each have \$1000.

**T<sub>1</sub>** transfers \$100 from **A**'s account to **B**'s

**T<sub>2</sub>** credits both accounts with 6% interest.

**T<sub>1</sub>**

**BEGIN**

A=A-100

B=B+100

**COMMIT**

**T<sub>2</sub>**

**BEGIN**

A=A\*1.06

B=B\*1.06

**COMMIT**

## EXAMPLE

Assume at first **A** and **B** each have \$1000.

*What are the possible outcomes of running  $T_1$  and  $T_2$ ?*

$T_1$

**BEGIN**

A=A-100

B=B+100

**COMMIT**

$T_2$

**BEGIN**

A=A\*1.06

B=B\*1.06

**COMMIT**

## EXAMPLE

---

Assume at first **A** and **B** each have \$1000.

*What are the possible outcomes of running  $T_1$  and  $T_2$ ?*

Many! But **A+B** should be:

→  $\$2000 * 1.06 = \$2120$

There is no guarantee that  $T_1$  will execute before  $T_2$  or vice-versa, if both are submitted together. But the net effect must be equivalent to these two transactions running serially in some order.

# EXAMPLE

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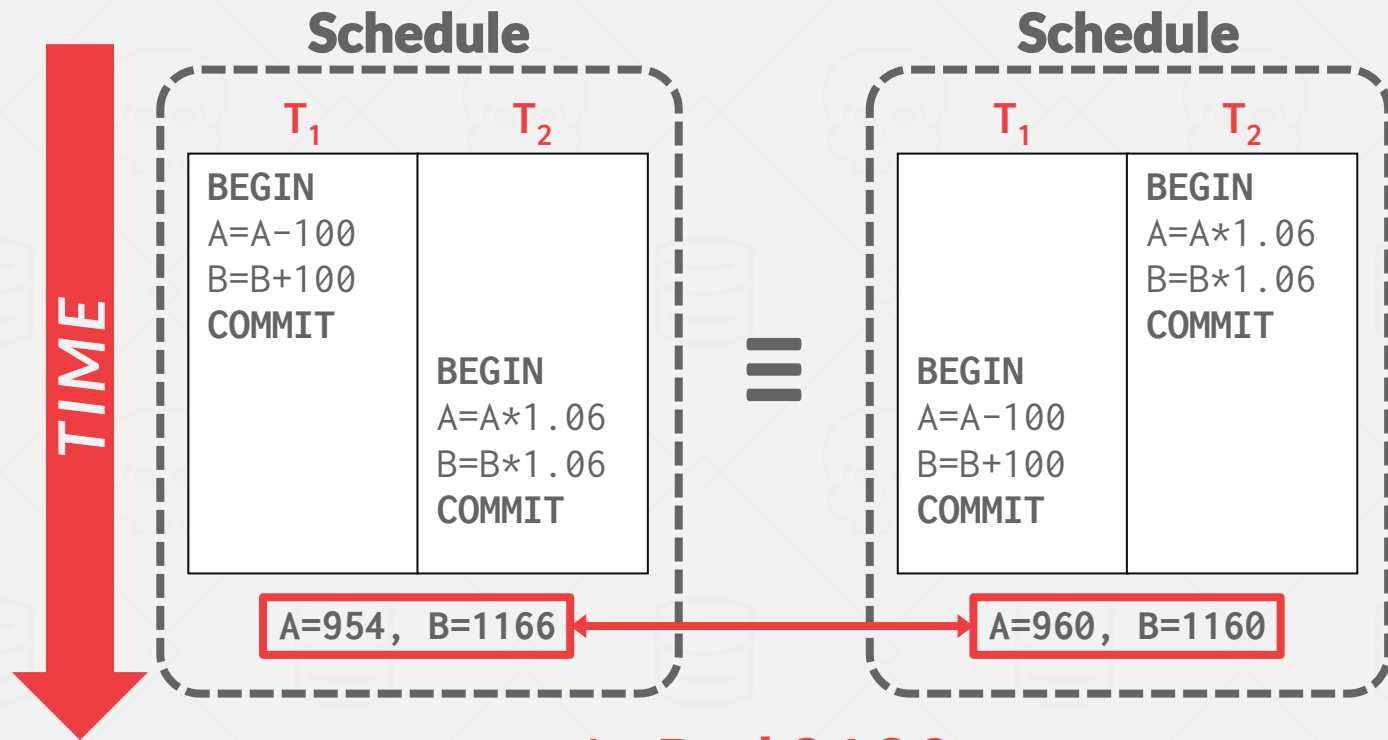
Legal outcomes:

→  $A=954$ ,  $B=1166$  →  $A+B=\$2120$

→  $A=960$ ,  $B=1160$  →  $A+B=\$2120$

The outcome depends on whether  $T_1$  executes before  $T_2$  or vice versa.

# SERIAL EXECUTION EXAMPLE



$$A + B = \$2120$$

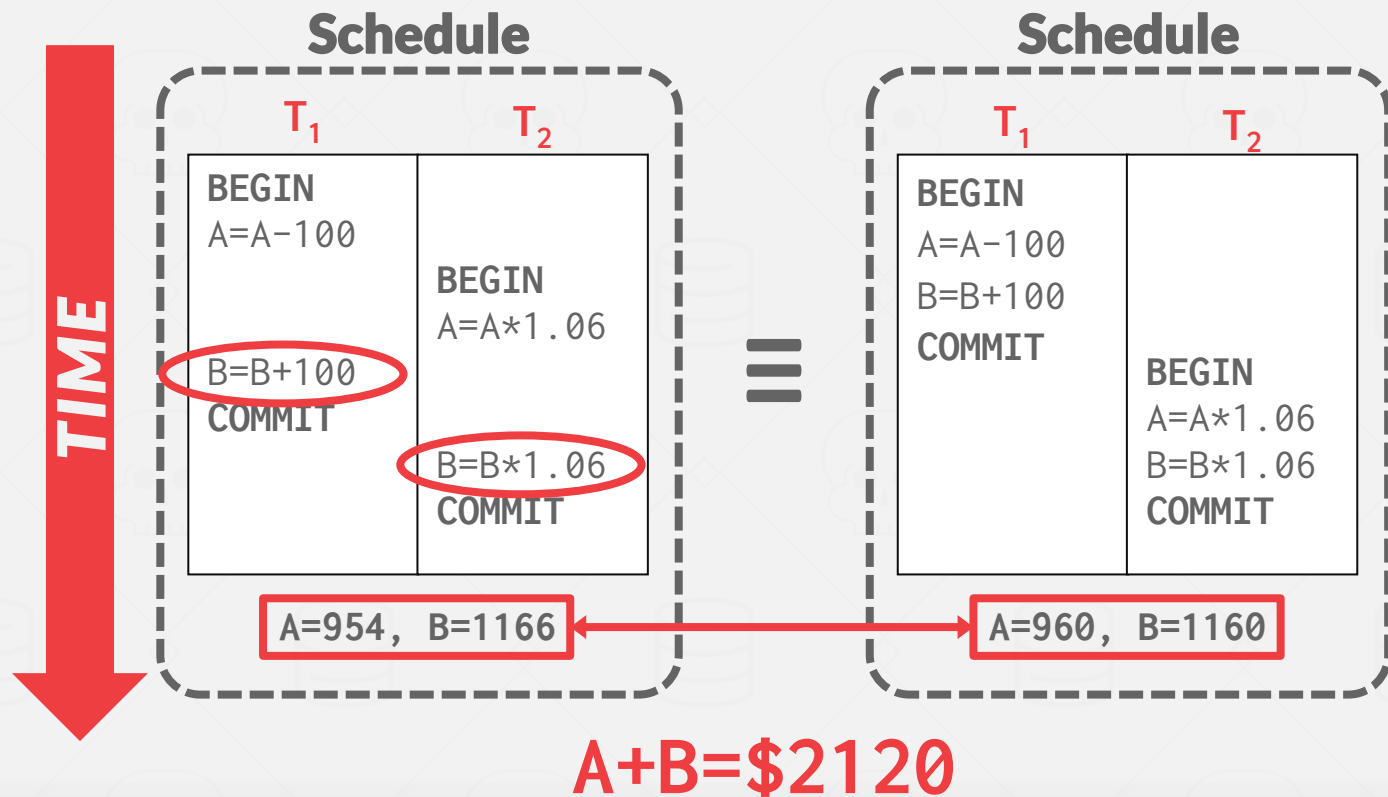
# INTERLEAVING TRANSACTIONS

We interleave txns to maximize concurrency.

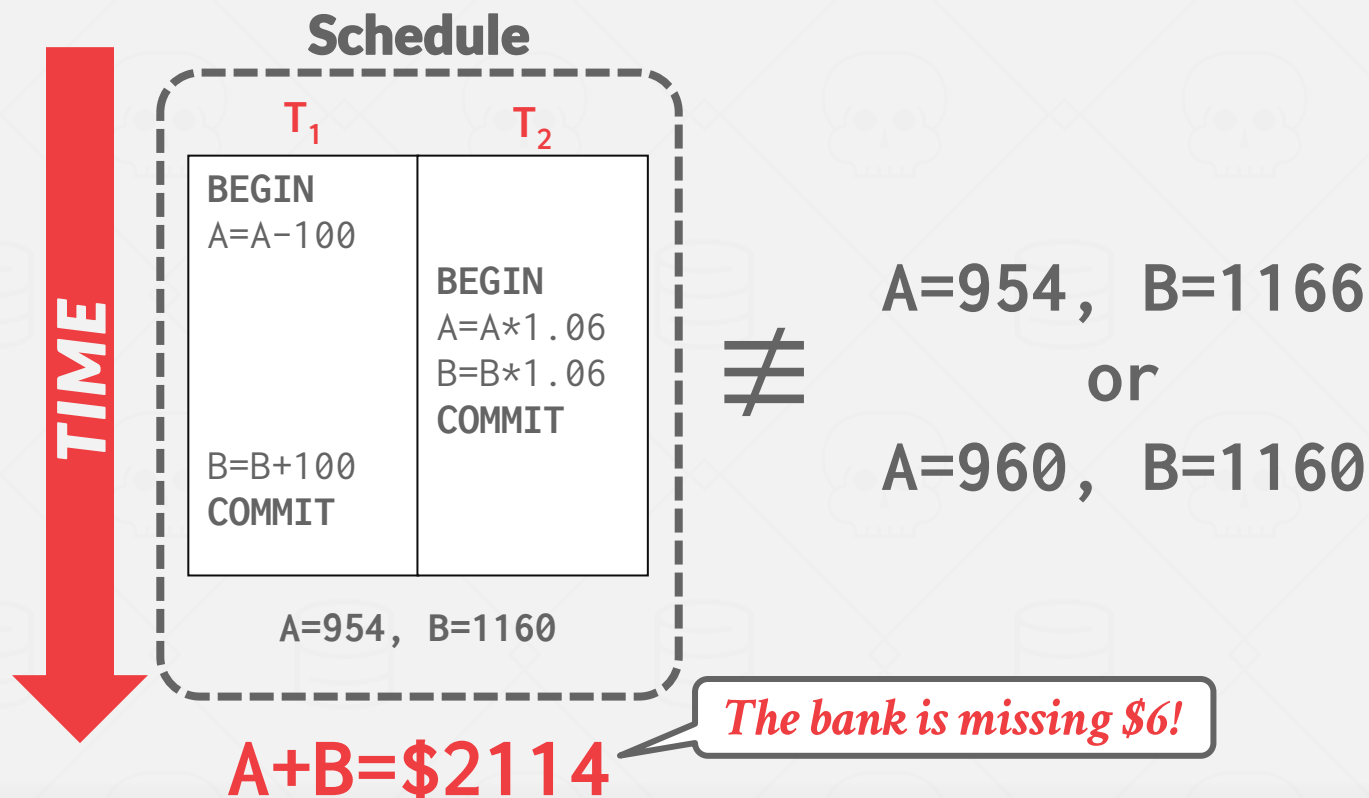
- Slow disk/network I/O.
- Multi-core CPUs.

When one txn stalls because of a resource (e.g., page fault), another txn can continue executing and make forward progress.

# INTERLEAVING EXAMPLE (GOOD)

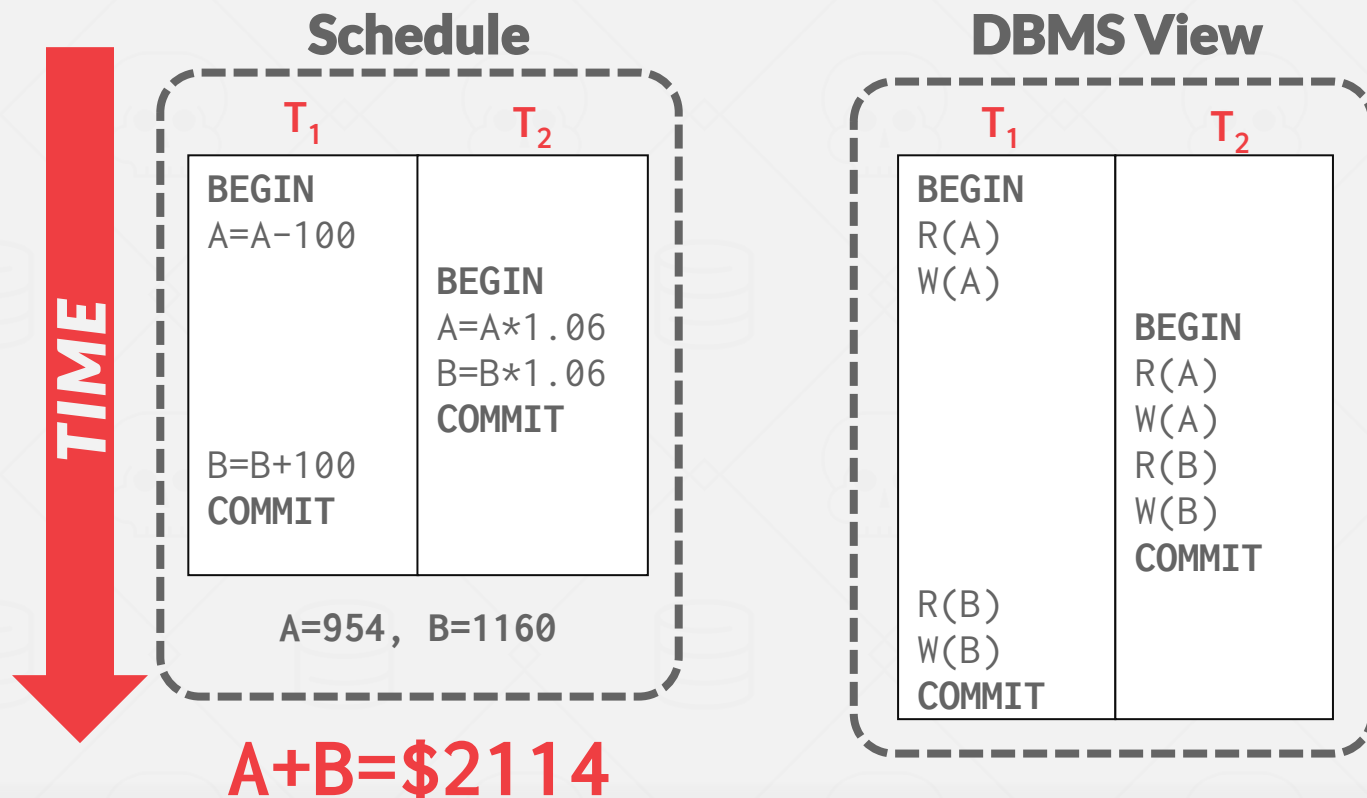


# INTERLEAVING EXAMPLE (BAD)

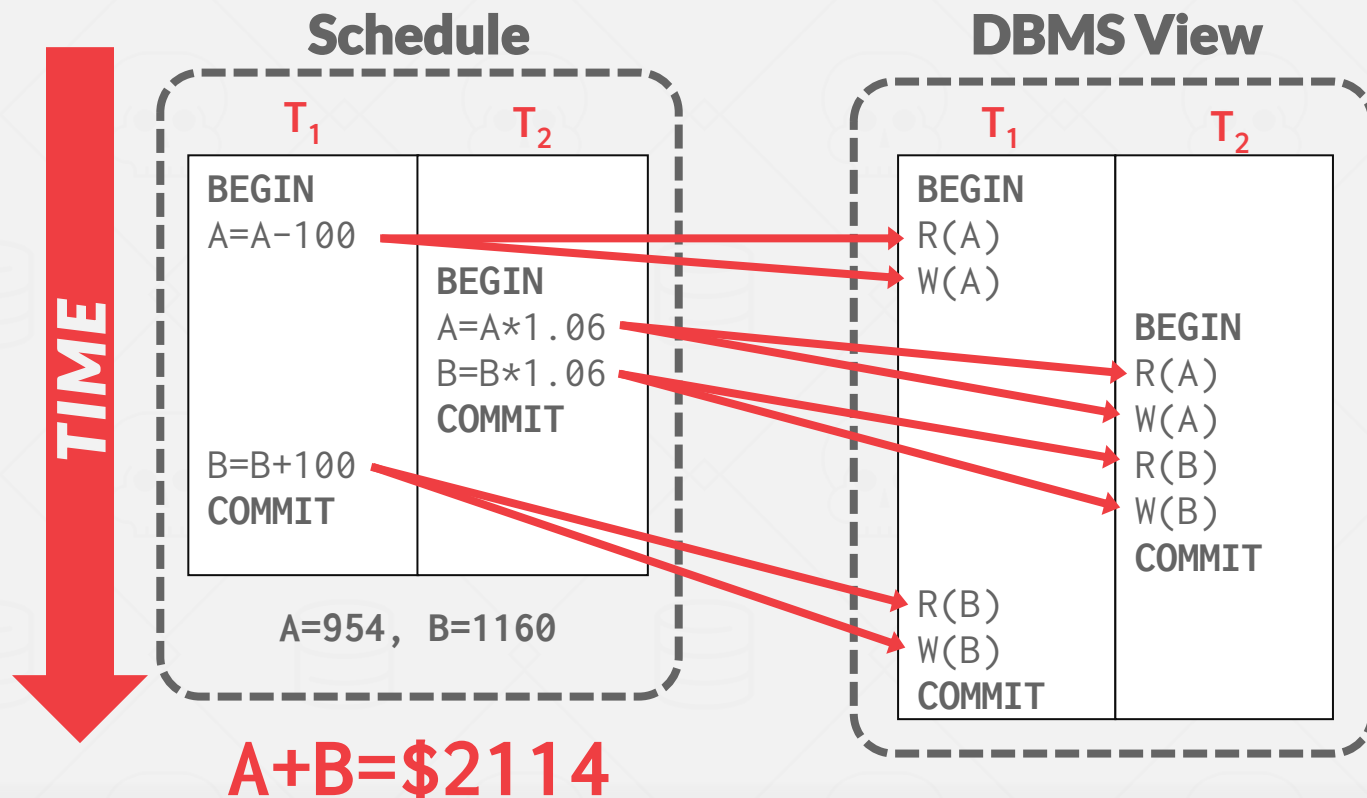




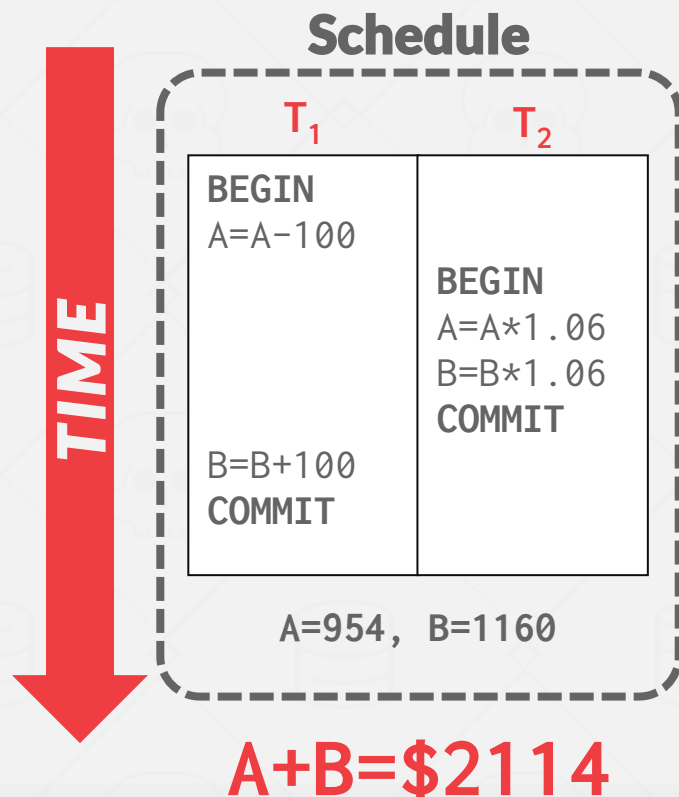
# INTERLEAVING EXAMPLE (BAD)



# INTERLEAVING EXAMPLE (BAD)



# INTERLEAVING EXAMPLE (BAD)



*How do we judge whether a schedule is correct?*

If the schedule is equivalent to some serial execution.

# FORMAL PROPERTIES OF SCHEDULES

## Serial Schedule

- A schedule that does not interleave the actions of different transactions.

## Equivalent Schedules

- For any database state, the effect of executing the first schedule is identical to the effect of executing the second schedule.
- Doesn't matter what the arithmetic operations are!

# FORMAL PROPERTIES OF SCHEDULES

## Serializable Schedule

- A schedule that is equivalent to some serial execution of the transactions.
- If each transaction preserves consistency, every serializable schedule preserves consistency.

Serializability is a less intuitive notion of correctness compared to txn initiation time or commit order, but it provides the DBMS with more flexibility in scheduling operations.

- More flexibility means better parallelism.

# CONFLICTING OPERATIONS

We need a formal notion of equivalence that can be implemented efficiently based on the notion of "conflicting" operations.

Two operations **conflict** if:

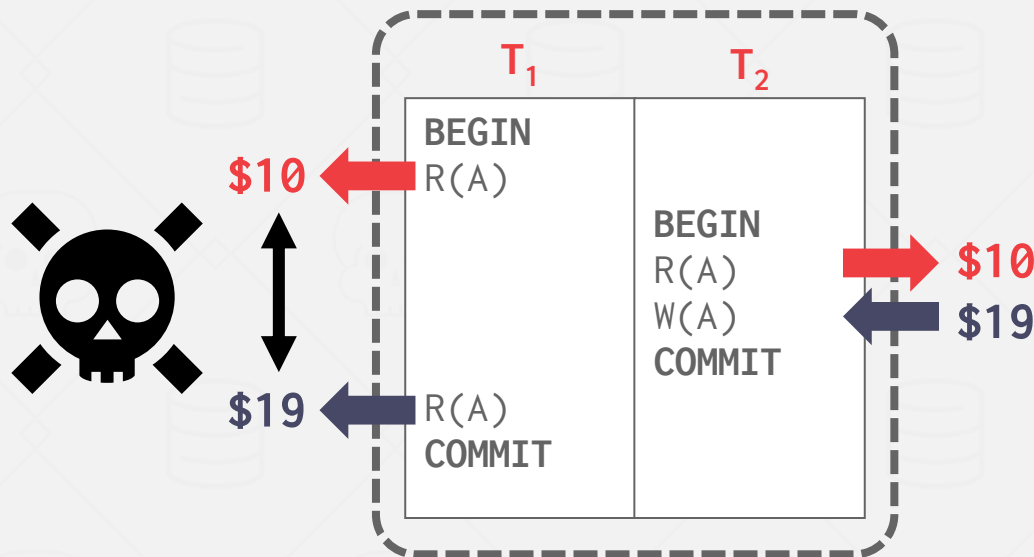
- They are by different transactions,
- They are on the same object and one of them is a write.

## Interleaved Execution Anomalies

- Read-Write Conflicts (**R-W**)
- Write-Read Conflicts (**W-R**)
- Write-Write Conflicts (**W-W**)

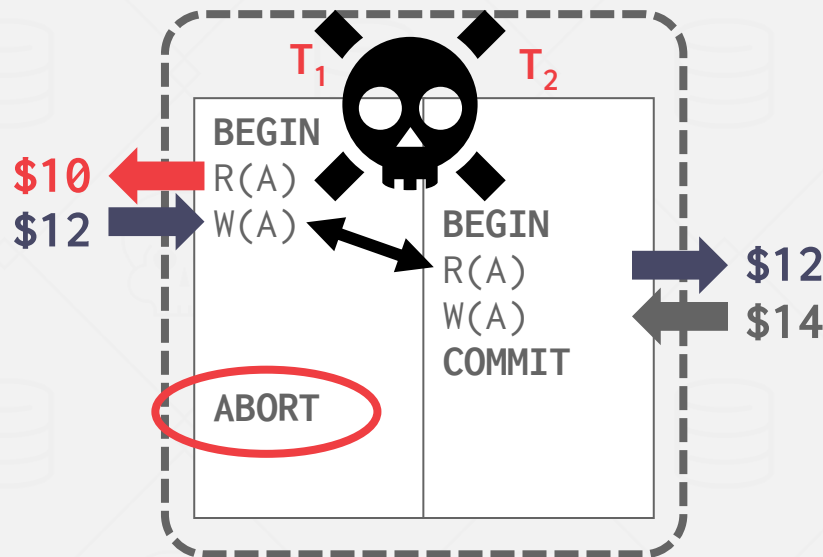
# READ-WRITE CONFLICTS

**Unrepeatable Read:** Txn gets different values when reading the same object multiple times.



# WRITE-READ CONFLICTS

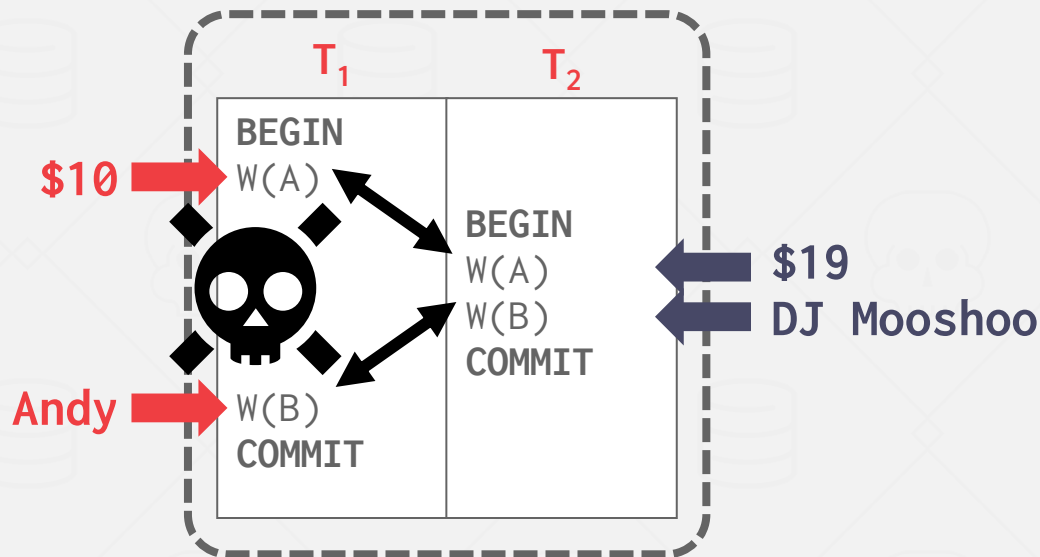
**Dirty Read:** One txn reads data written by another txn that has not committed yet.





# WRITE-WRITE CONFLICTS

**Lost Update:** One txn overwrites uncommitted data from another uncommitted txn.



# FORMAL PROPERTIES OF SCHEDULES

Given these conflicts, we now can understand what it means for a schedule to be serializable.

- This is to check whether schedules are correct.
- This is not how to generate a correct schedule.

There are different levels

- **Conflict Serializability**
- **View Serializability**

*Most DBMSs try to support this.*

*No DBMS can do this.*

# CONFLICT SERIALIZABLE SCHEDULES

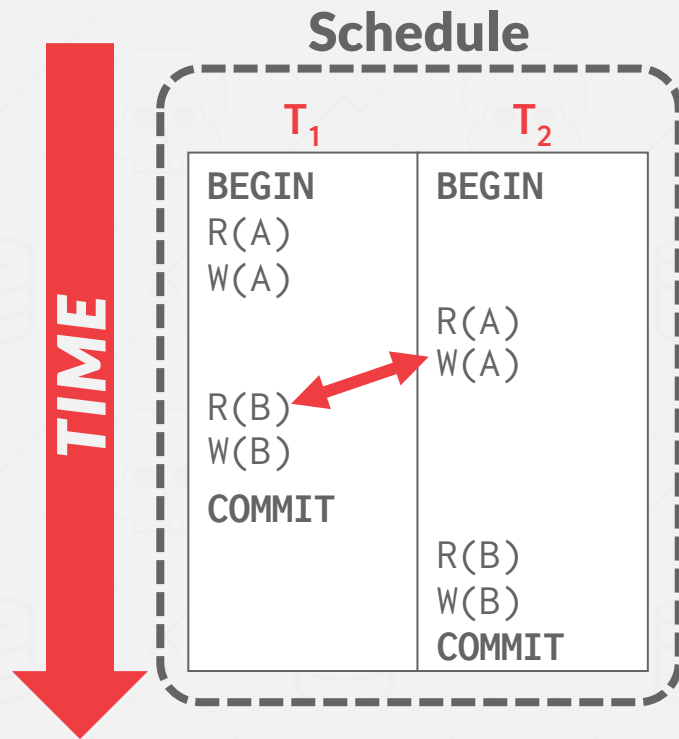
Two schedules are conflict equivalent iff:

- They involve the same actions of the same transactions.
- Every pair of conflicting actions is ordered the same way.

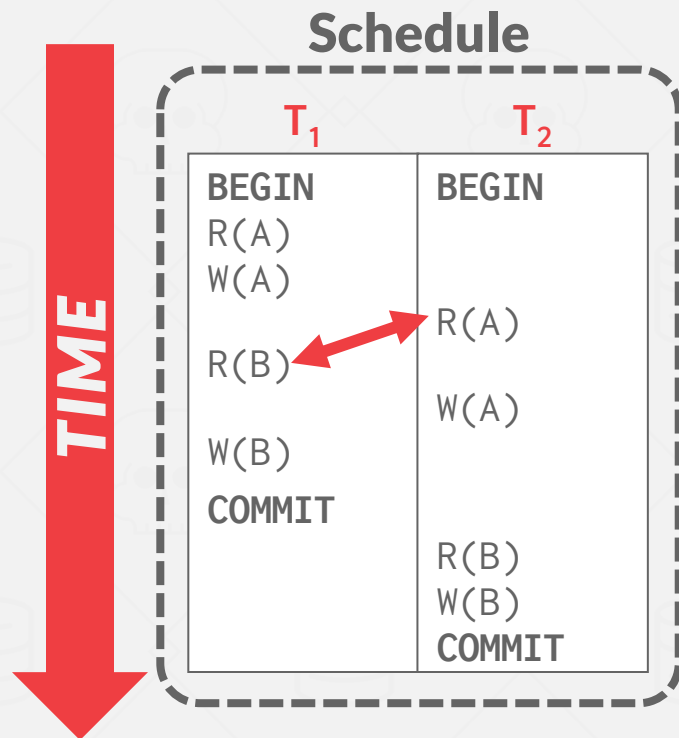
Schedule **S** is conflict serializable if:

- **S** is conflict equivalent to some serial schedule.
- Intuition: You can transform **S** into a serial schedule by swapping consecutive non-conflicting operations of different transactions.

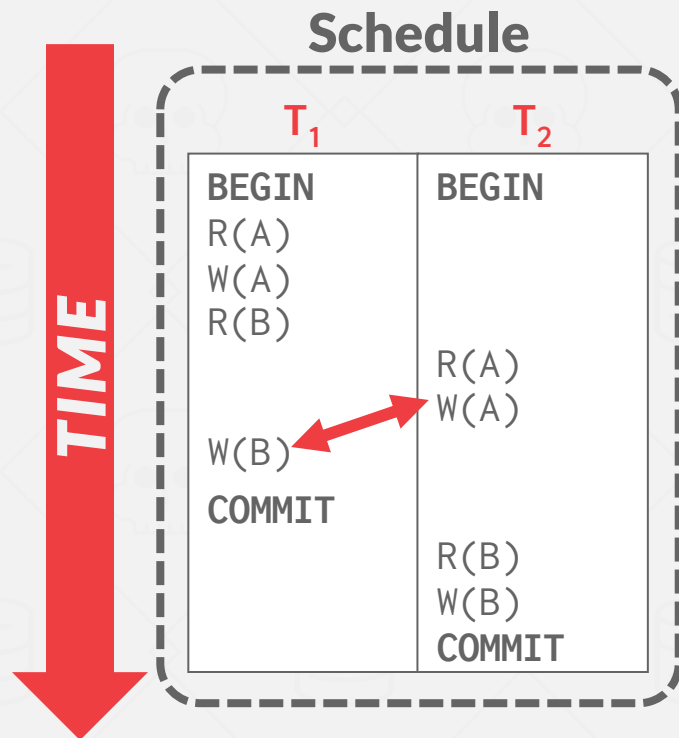
# CONFLICT SERIALIZABILITY INTUITION



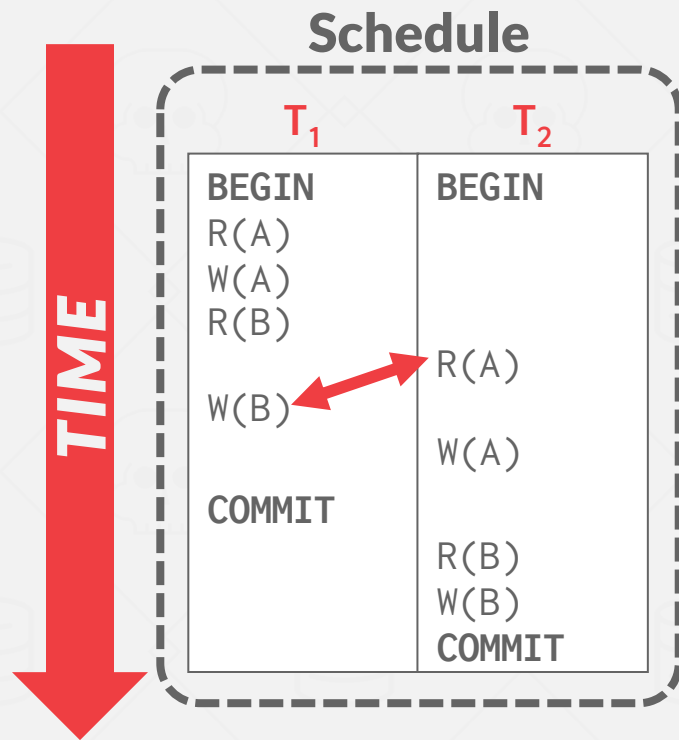
# CONFLICT SERIALIZABILITY INTUITION



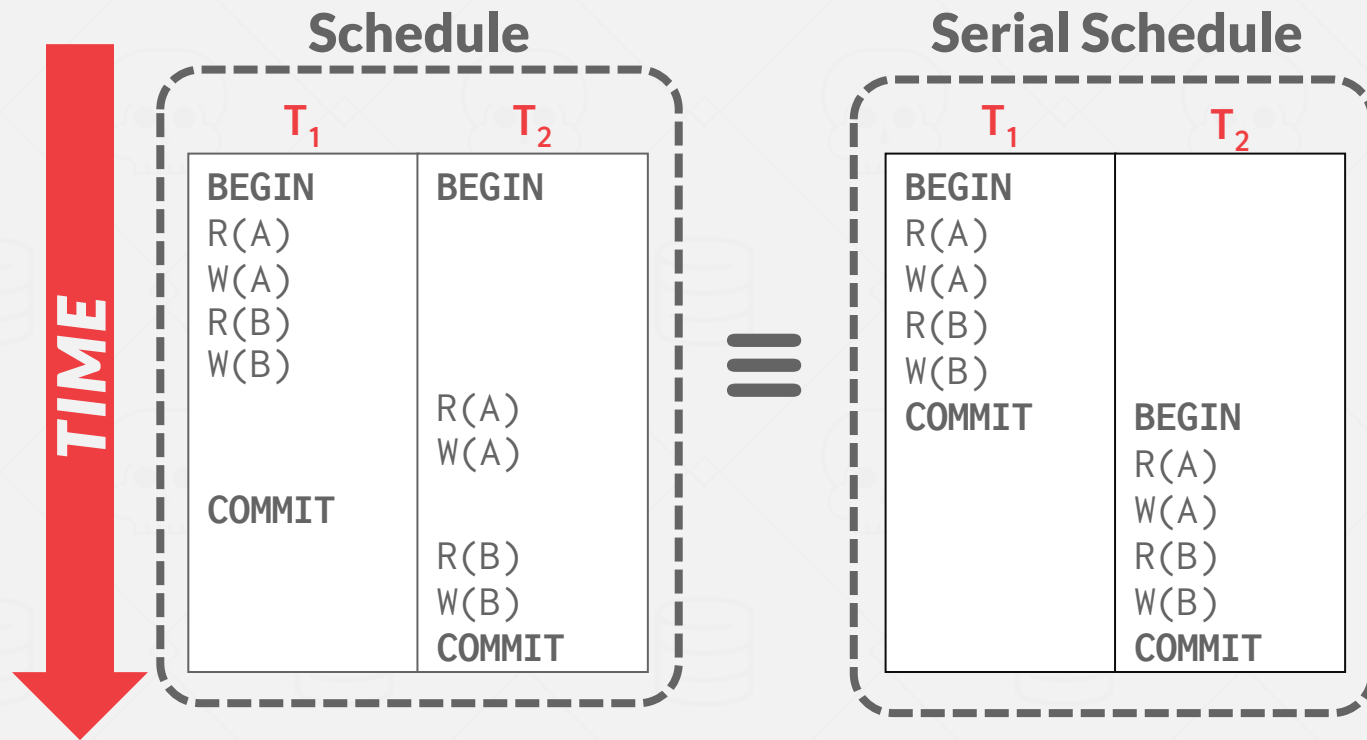
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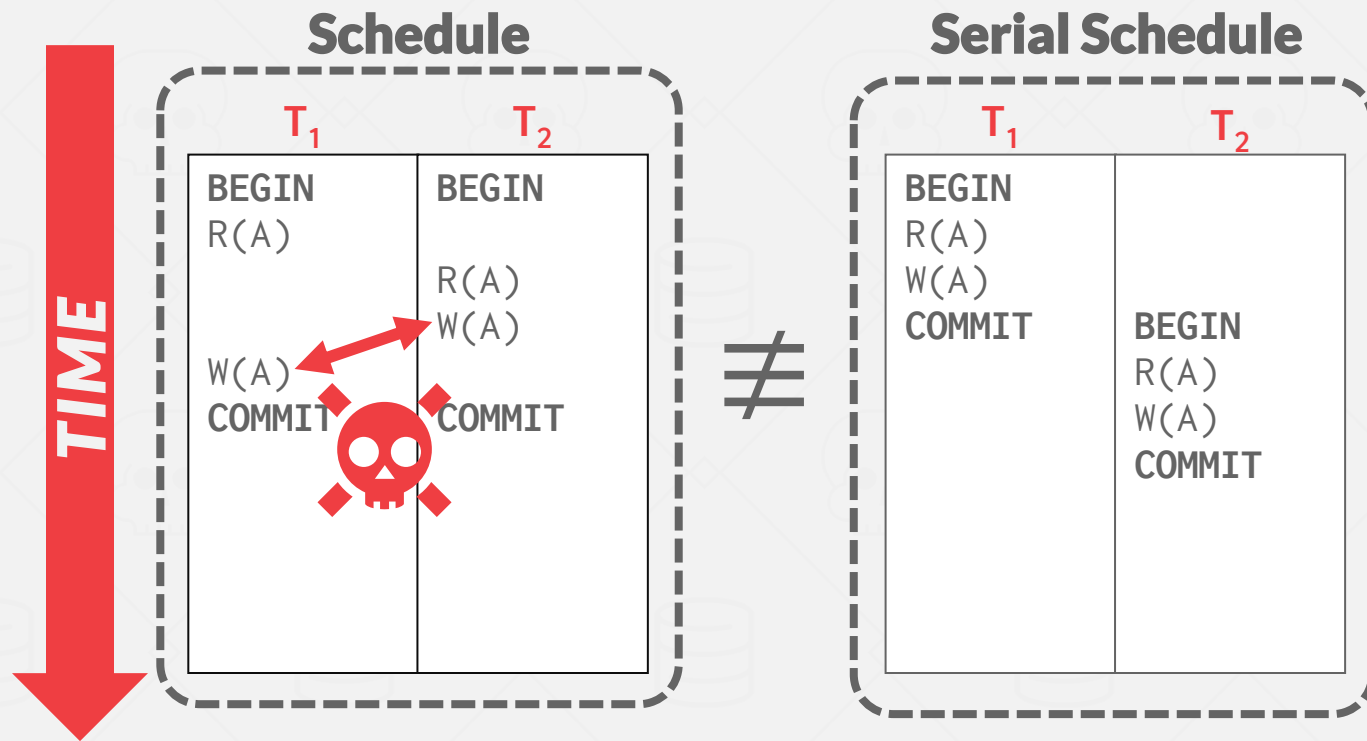


# CONFLICT SERIALIZABILITY INTUITION





# CONFLICT SERIALIZABILITY INTUITION



# SERIALIZABILITY

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Swapping operations is easy when there are only two txns in the schedule. It's cumbersome when there are many txns.

*Are there any faster algorithms to figure this out other than transposing operations?*

# DEPENDENCY GRAPHS

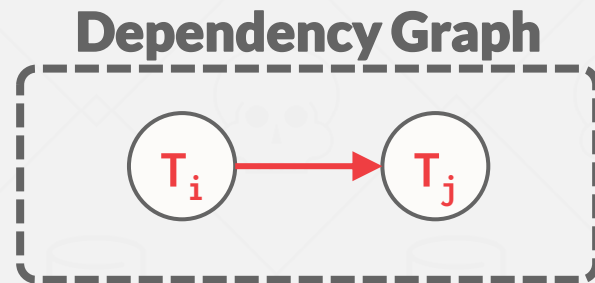
One node per txn.

Edge from  $T_i$  to  $T_j$  if:

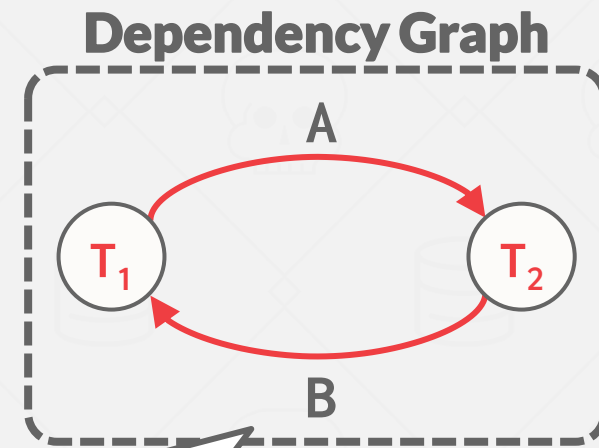
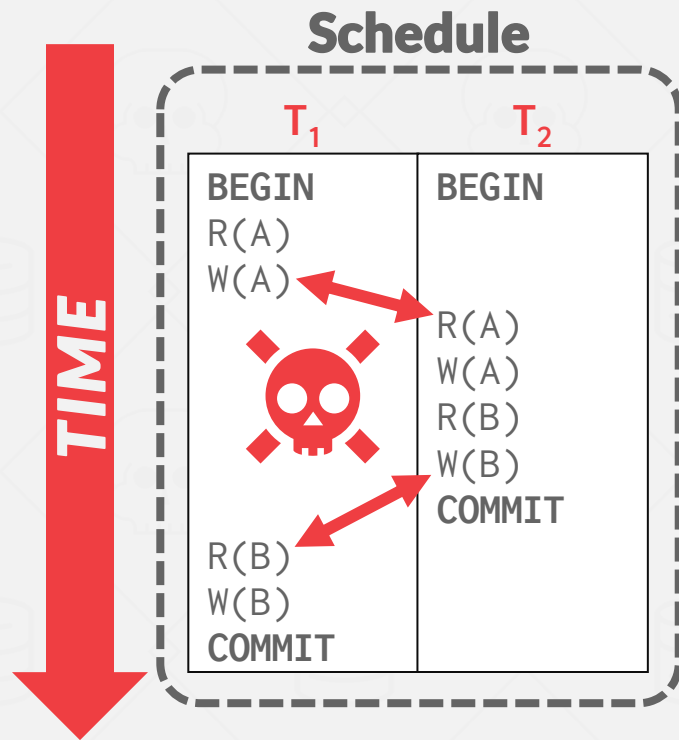
- An operation  $O_i$  of  $T_i$  conflicts with an operation  $O_j$  of  $T_j$  and
- $O_i$  appears earlier in the schedule than  $O_j$ .

Also known as a **precedence graph**.

A schedule is conflict serializable iff its dependency graph is acyclic.

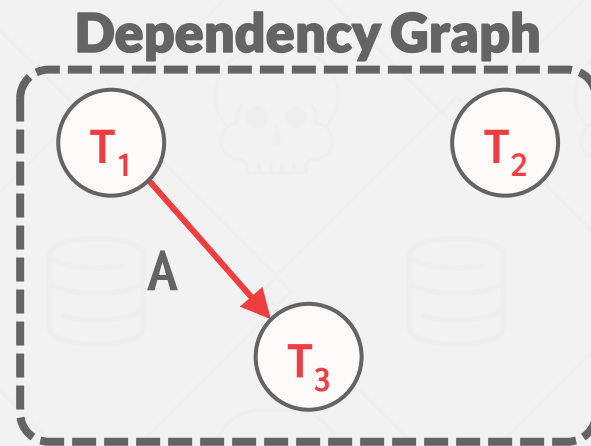
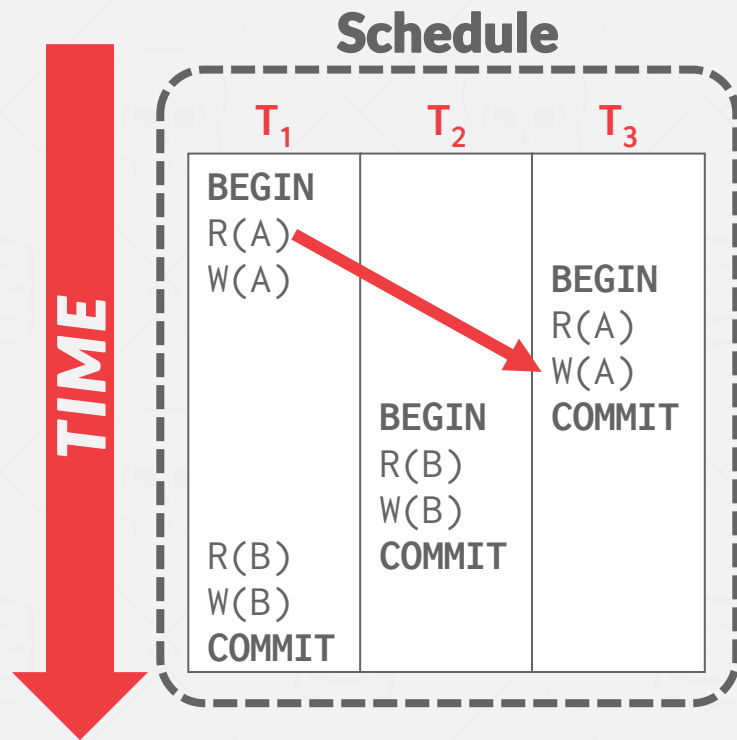


# EXAMPLE #1

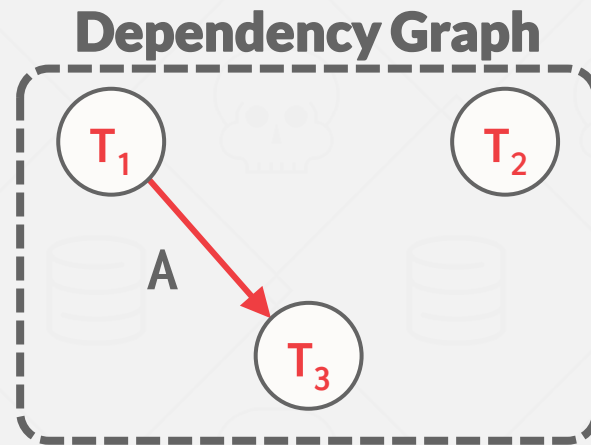
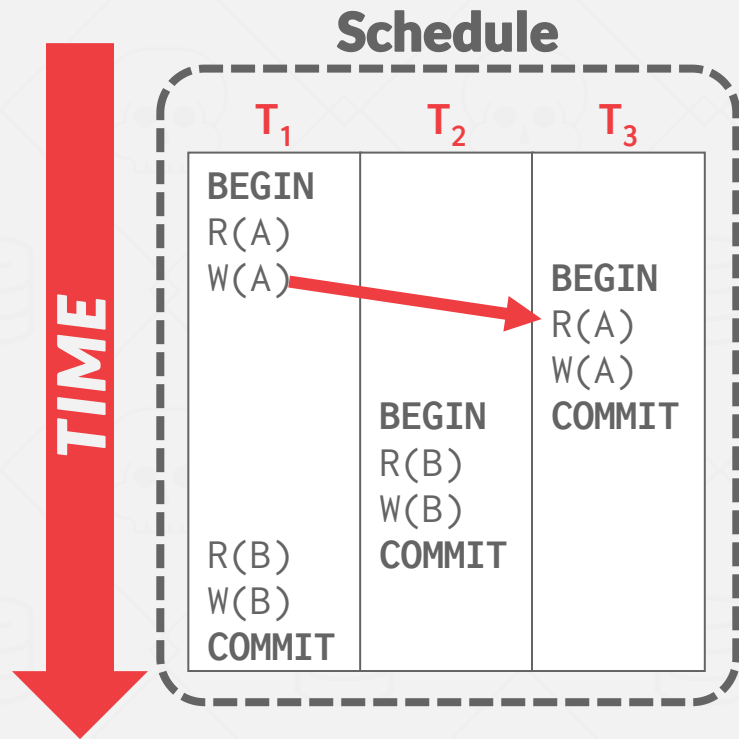


*The cycle in the graph reveals the problem. The output of  $T_1$  depends on  $T_2$ , and vice-versa.*

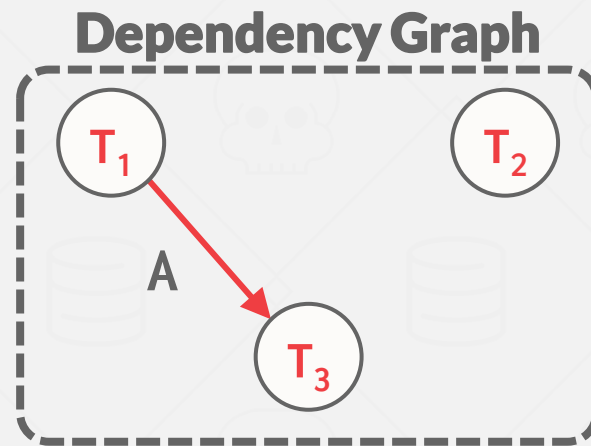
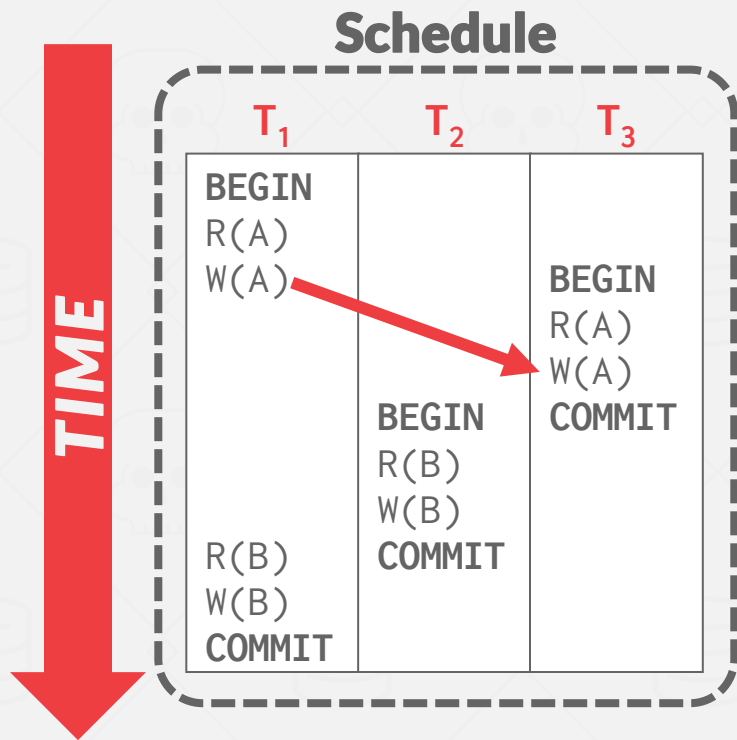
## EXAMPLE #2 - THREESOME



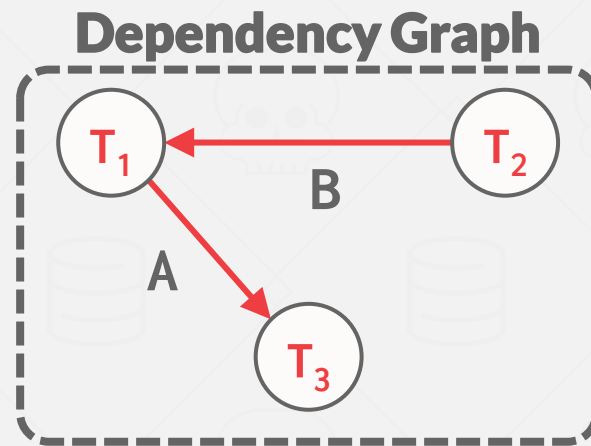
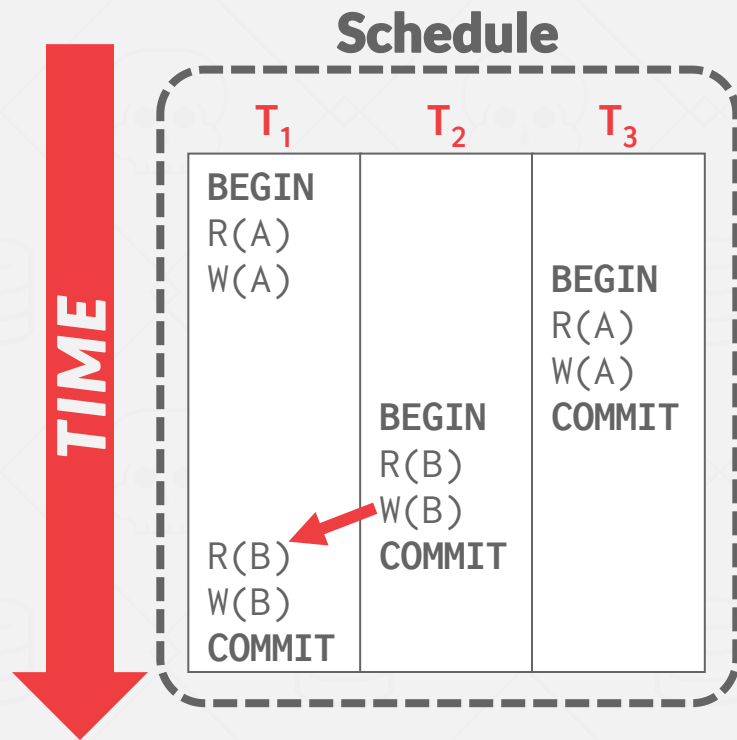
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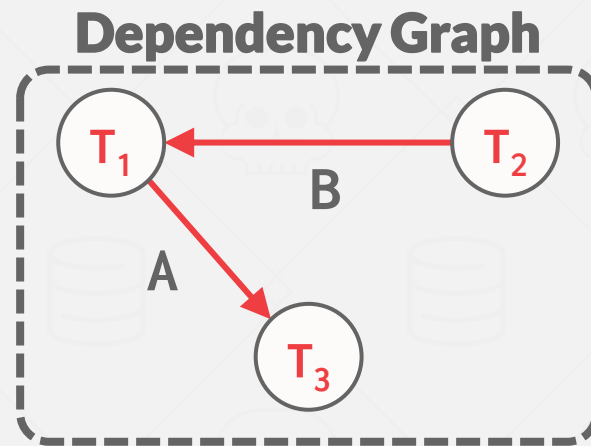
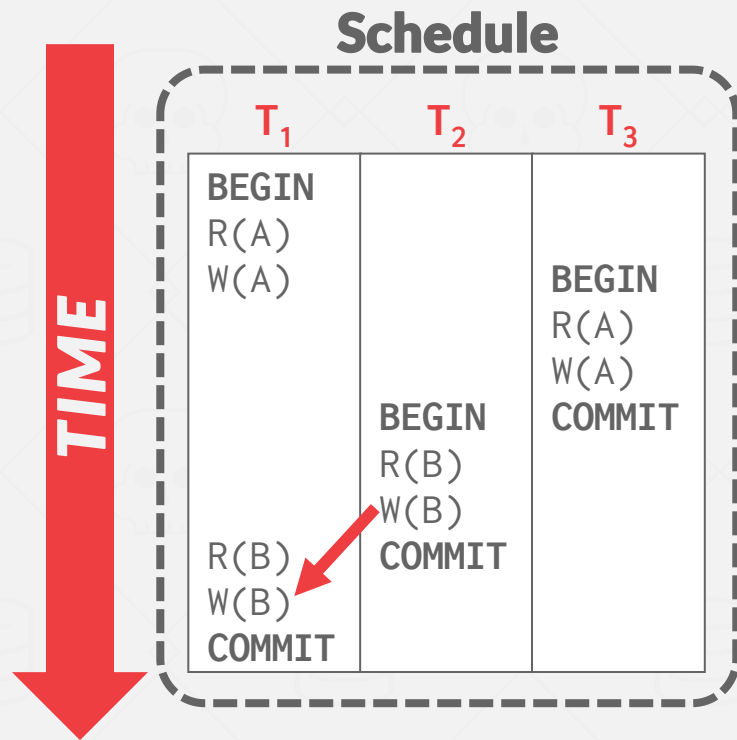


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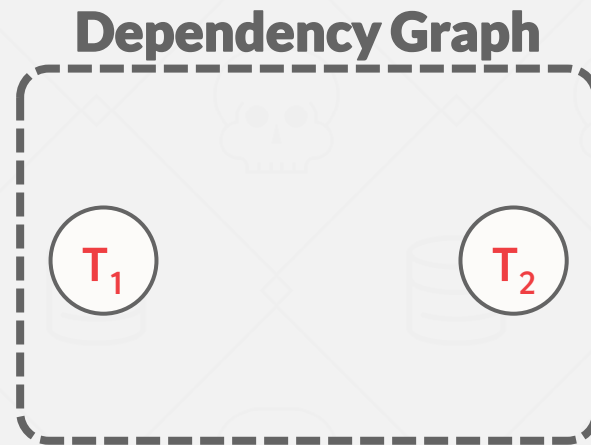
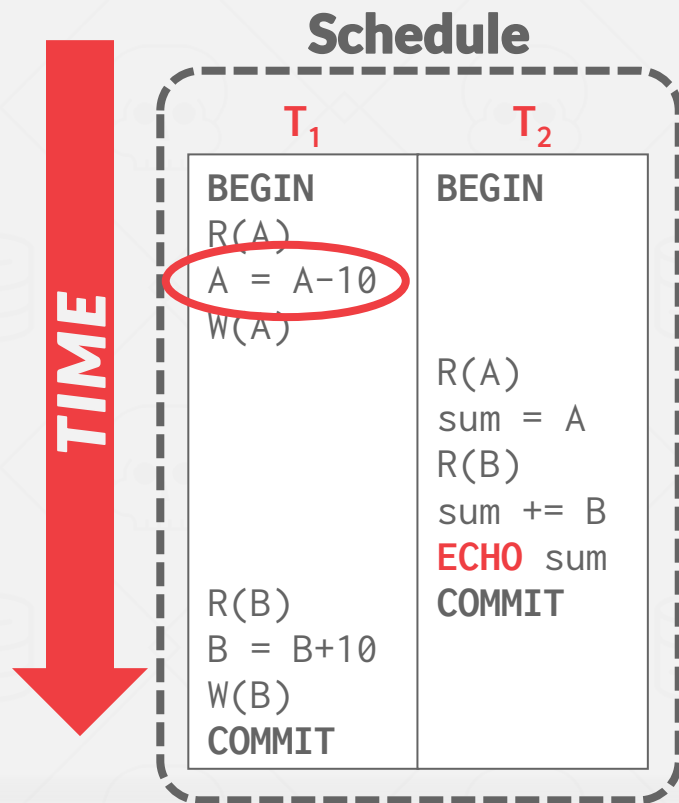


*Is this equivalent to a serial execution?*

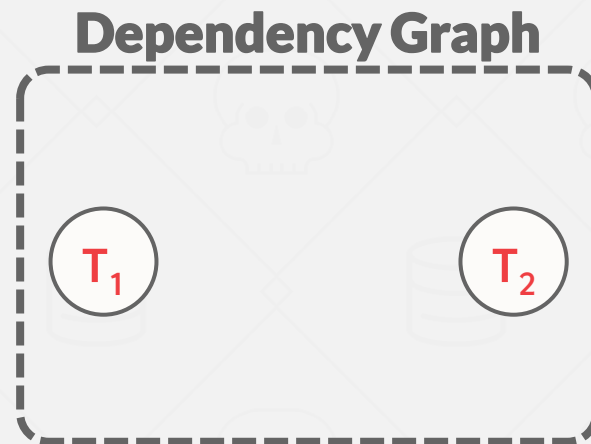
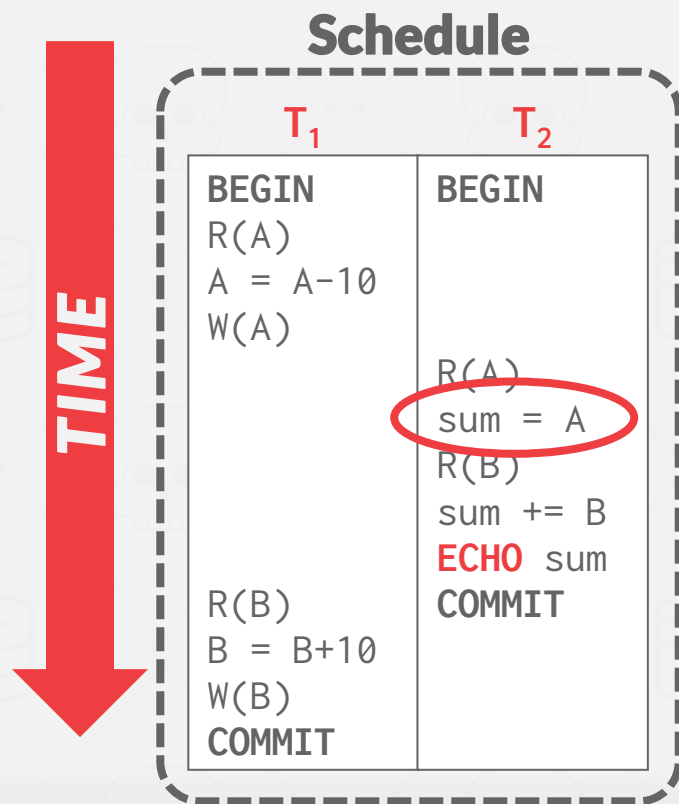
Yes ( $T_2, T_1, T_3$ )

→ Notice that  $T_3$  should go after  $T_2$ , although it starts before it!

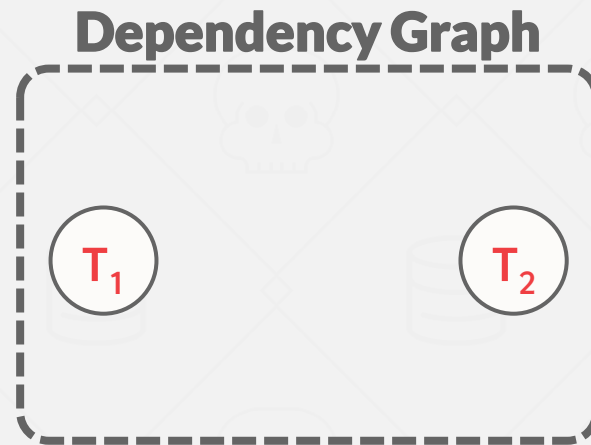
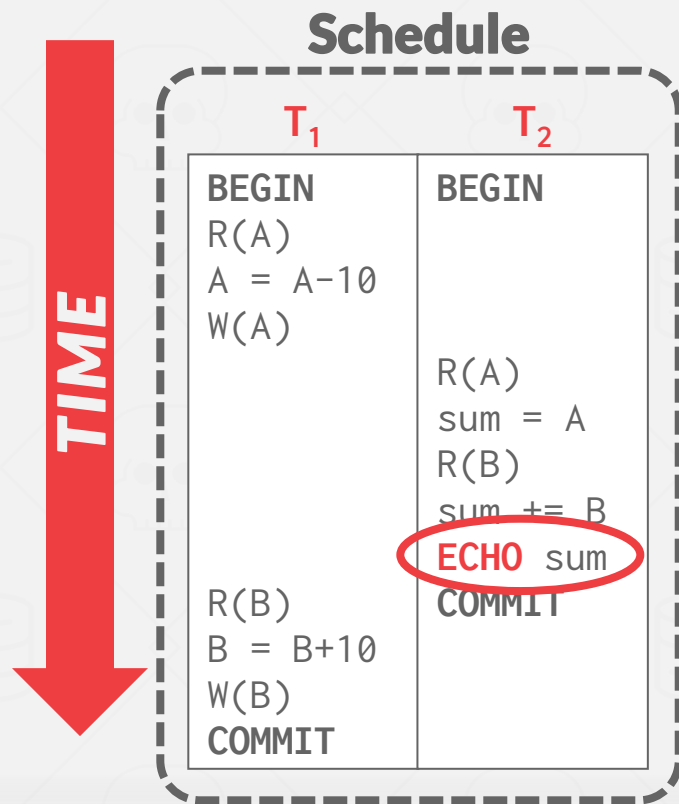
# EXAMPLE #3 – INCONSISTENT ANALYSIS



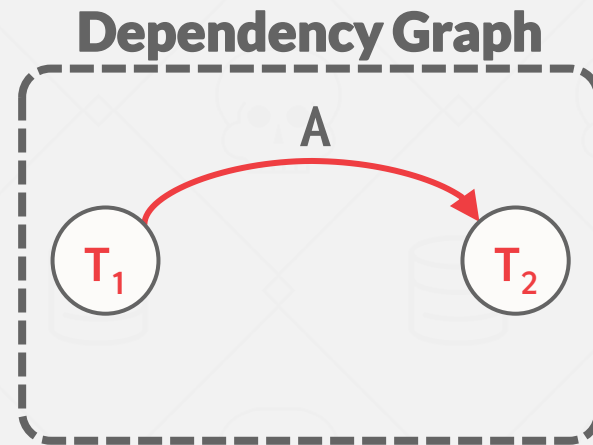
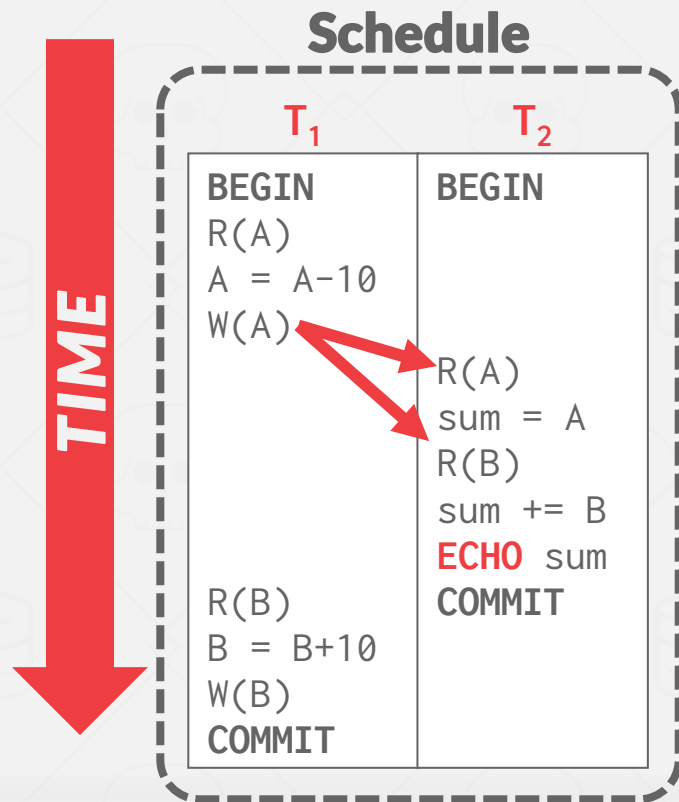
# EXAMPLE #3 – INCONSISTENT ANALYSIS



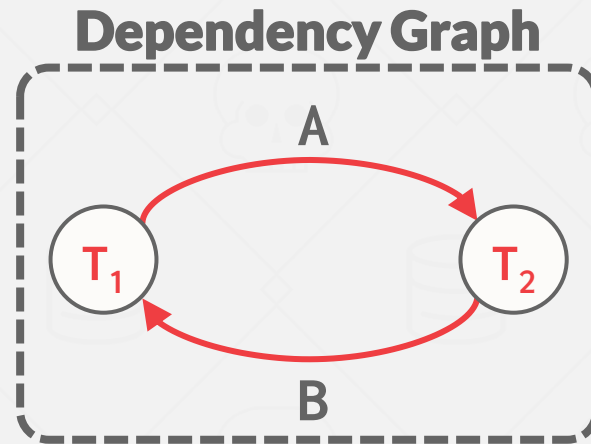
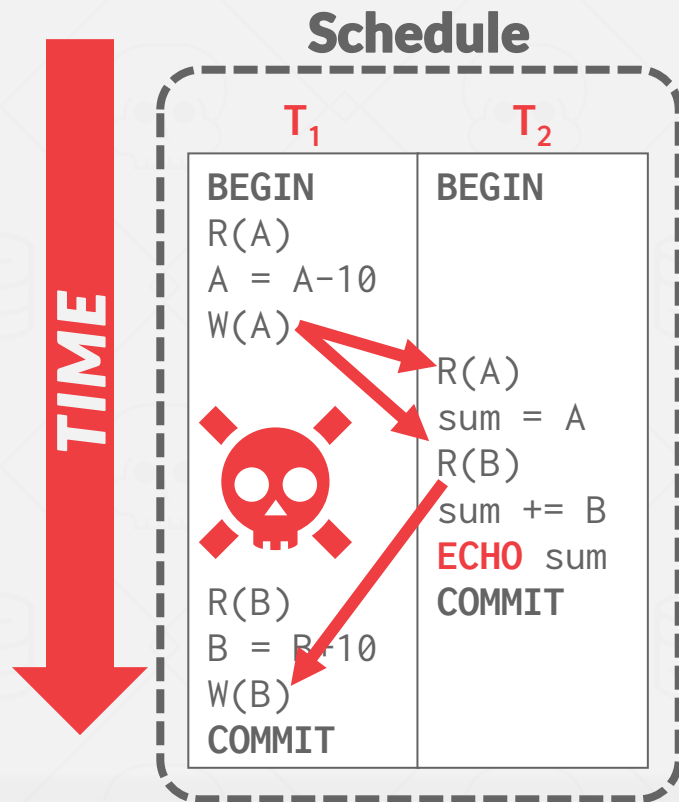
# EXAMPLE #3 – INCONSISTENT ANALYSIS



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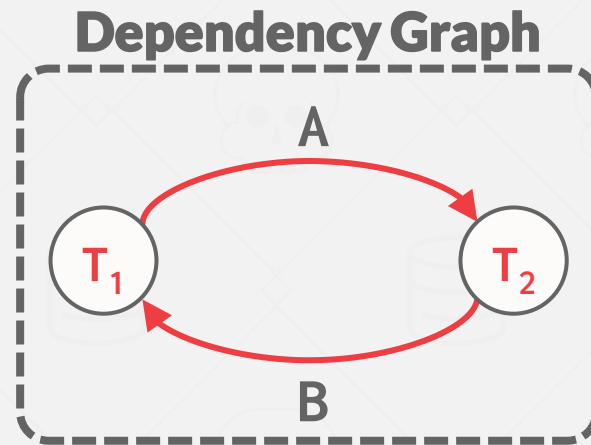
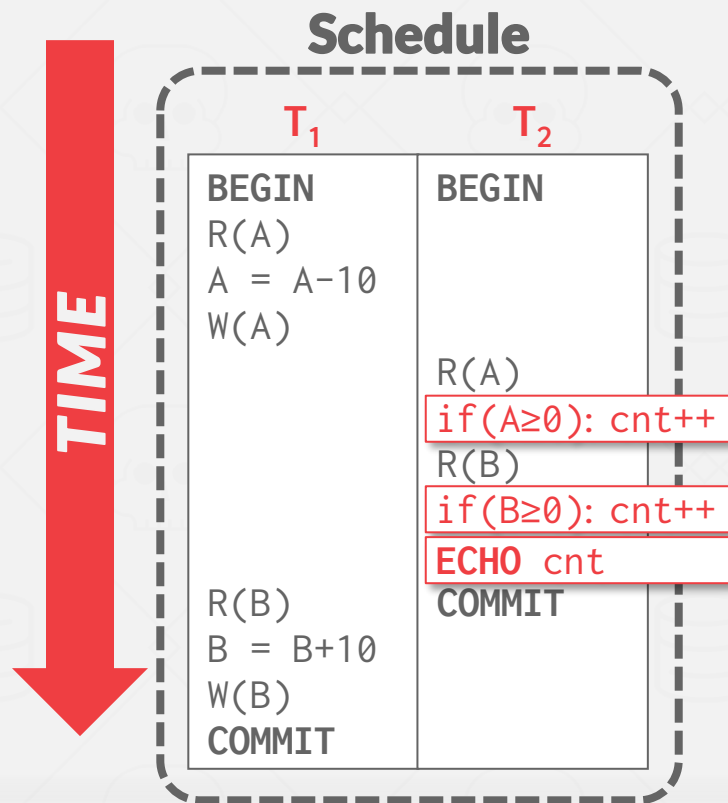


# EXAMPLE #3 – INCONSISTENT ANALYSIS



Is it possible to modify only the application logic so that schedule produces a "correct" result but is still not conflict serializable?

# EXAMPLE #3 – INCONSISTENT ANALYSIS



Is it possible to modify only the application logic so that schedule produces a "correct" result but is still not conflict serializable?

# VIEW SERIALIZABILITY

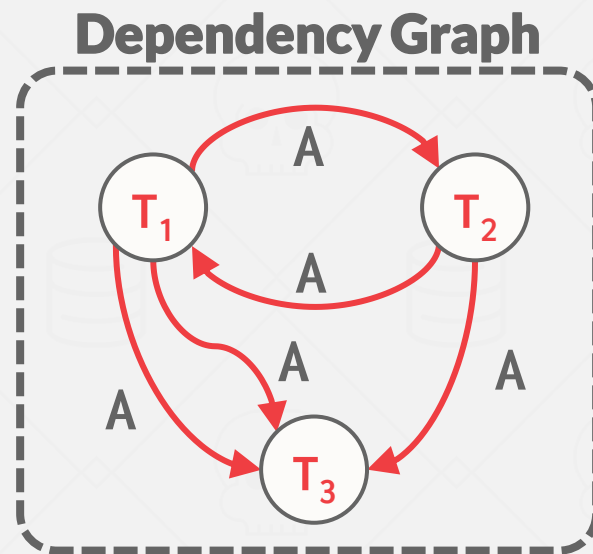
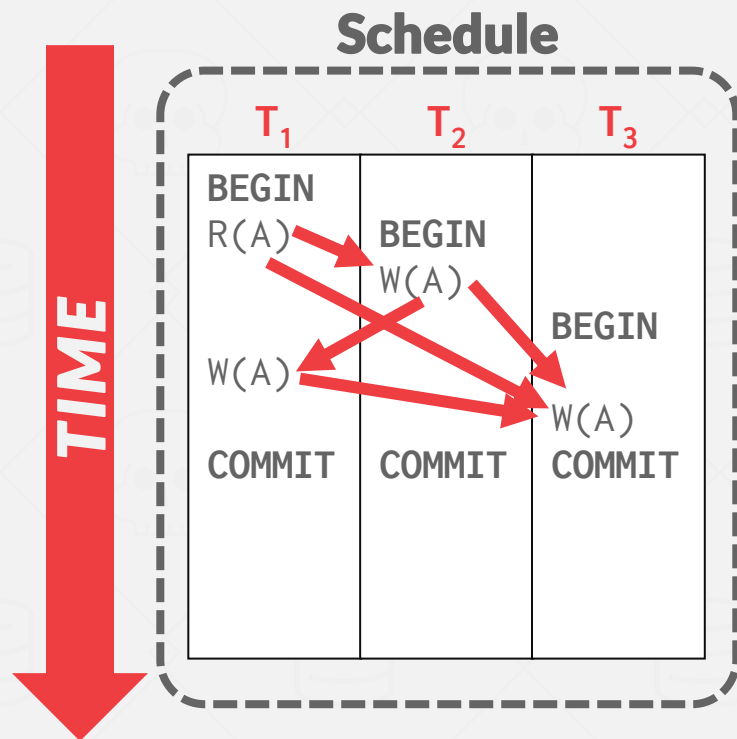
Alternative (broader) notion of serializability.

Schedules  $S_1$  and  $S_2$  are view equivalent if:

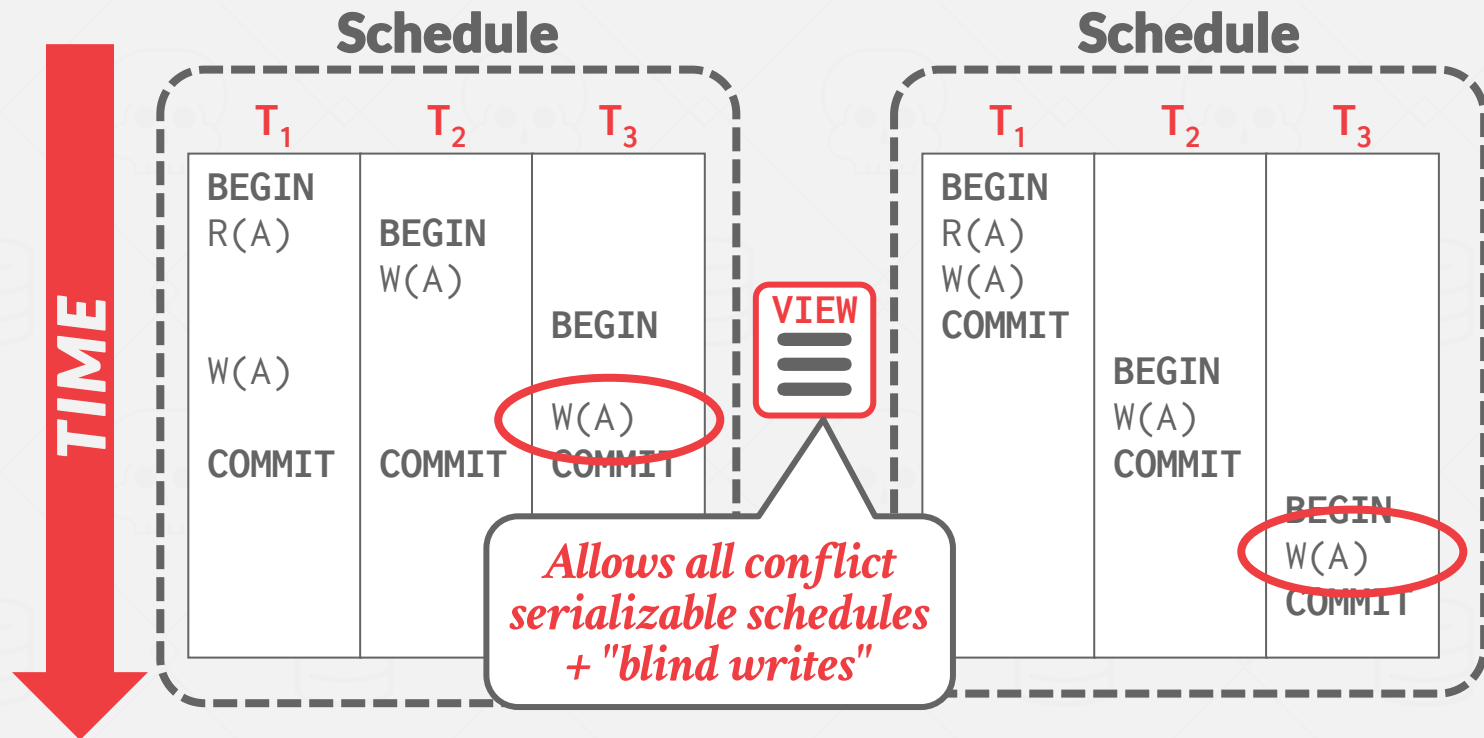
- If  $T_1$  reads initial value of  $A$  in  $S_1$ , then  $T_1$  also reads initial value of  $A$  in  $S_2$ .
- If  $T_1$  reads value of  $A$  written by  $T_2$  in  $S_1$ , then  $T_1$  also reads value of  $A$  written by  $T_2$  in  $S_2$ .
- If  $T_1$  writes final value of  $A$  in  $S_1$ , then  $T_1$  also writes final value of  $A$  in  $S_2$ .



# VIEW SERIALIZABILITY



# VIEW SERIALIZABILITY



# SERIALIZABILITY

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**View Serializability** allows for (slightly) more schedules than **Conflict Serializability** does.

→ But it is difficult to enforce efficiently.

Neither definition allows all schedules that you would consider "serializable".

→ This is because they don't understand the meanings of the operations or the data (recall example #3)

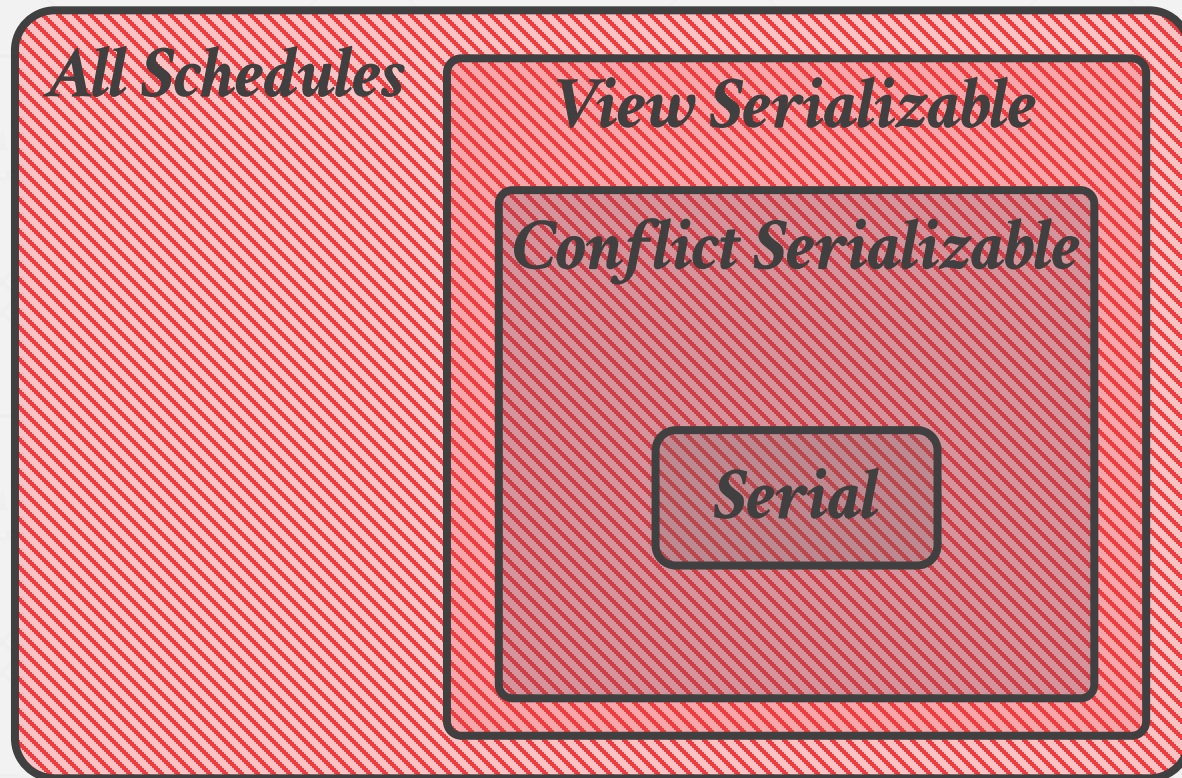
# SERIALIZABILITY

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In practice, **Conflict Serializability** is what systems support because it can be enforced efficiently.

To allow more concurrency, some special cases get handled separately at the application level.

# UNIVERSE OF SCHEDULES



# TRANSACTION DURABILITY

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All the changes of committed transactions should be persistent.

→ No torn updates.

→ No changes from failed transactions.

The DBMS can use either logging or shadow paging to ensure that all changes are durable.

# CORRECTNESS CRITERIA: ACID

**Atomicity** All actions in txn happen, or none happen.  
*"All or nothing..."*

**Consistency** If each txn is consistent and the DB starts consistent, then it ends up consistent.  
*"It looks correct to me..."*

**Isolation** Execution of one txn is isolated from that of other txns.  
*"All by myself..."*

**Durability** If a txn commits, its effects persist.  
*"I will survive..."*

# CONCLUSION

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Concurrency control and recovery are among the most important functions provided by a DBMS.

Concurrency control is automatic

- System automatically inserts lock/unlock requests and schedules actions of different txns.
- Ensures that resulting execution is equivalent to executing the txns one after the other in some order.



# CONCLUSI

Concurrency control and recovery are the most important functions provided by a database system. Concurrency control is automated. → System automatically inserts locks and schedules actions of different transactions.

ability problems that it brings [9, 10, 19]. We believe it is better to have application programmers deal with performance problems due to overuse of transactions as bottlenecks arise, rather than always coding around the lack of transactions. Running two-phase commit over Paxos

## Spanner: Google's Globally-Distributed Database

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### Abstract

Spanner is Google's scalable, multi-version, globally-distributed, and synchronously-replicated database. It is the first system to distribute data at global scale and support externally-consistent distributed transactions. This paper describes how Spanner is structured, its feature set, the rationale underlying various design decisions, and a novel time API that exposes clock uncertainty. This API and its implementation are critical to supporting external consistency and a variety of powerful features: non-blocking reads in the past, lock-free read-only transactions, and atomic schema changes, across all of Spanner.

tenacy over higher availability, as long as they can survive 1 or 2 datacenter failures.

Spanner's main focus is managing cross-datacenter replicated data, but we have also spent a great deal of time in designing and implementing important database features on top of our distributed-systems infrastructure. Even though many projects happily use Bigtable [9], we have also consistently received complaints from users that Bigtable can be difficult to use for some kinds of applications: those that have complex, evolving schemas, or those that want strong consistency in the presence of wide-area replication. (Similar claims have been made by other authors [37].) Many applications at Google have chosen to use Megastore [6] because of its semi-relational data model and support for synchronous replication, despite its relatively poor write throughput. As a result, Spanner has evolved from a Bigtable-like key-value store into a temporal multi-version database. Data is stored in a schematized semi-relational model, is versioned, and each version is automatically garbage-collected. Applications can read data at old timestamps, and Spanner supports general-purpose transactions, and a powerful query language.

Spanner is a globally-distributed database. Spanner provides a variety of interesting features. First, the replication control algorithm can be dynamically controlled at application level. Applications can specify control which datacenters contain which data, and Spanner is from its users (to control read latency), and Spanner is from each other (to control write latency). Spanner maintains many replicas to control availability, and read performance. Data is dynamically and transparently moved between datacenters by the system to balance resource usage. Second, Spanner has two features that are critical to implement in a distributed database: it

### 1 Introduction

## PROJECT #3 - QUERY EXECUTION

You will add support for executing queries in BusTub.

BusTub now supports (basic) SQL with a rule-based optimizer for converting AST into physical plans.



*Prompt: A realistic photo of a bath tub with wheels and cartoon eyes driving down a city street.*

<https://15445.courses.cs.cmu.edu/fall2022/project3/>

# PROJECT #3 - TASKS

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## Plan Node Executors

- Access Methods: Sequential Scan, Index Scan
- Modifications: Insert, Delete
- Joins: Nest Loop Join, Index Nested Loop Join
- Miscellaneous: Aggregation, Limit, Sort

## Optimizer Rule:

- Convert a query with **ORDER BY** + **LIMIT** into a Top-N plan node.

## PROJECT #3 - LEADERBOARD

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The leaderboard requires you to add additional rules to the optimizer to generate query plans.

→ It will be impossible to get a top ranking by just having the fastest implementations in Project #1 + Project #2.

Tasks:

- Join Reordering
- Column Pruning
- More Aggressive Predicate Pushdown

# DEVELOPMENT HINTS

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Implement the **Insert** and **Sequential Scan** executors first so that you can populate tables and read from it.

You do **not** need to worry about transactions.

The aggregation hash table does **not** need to be backed by your buffer pool (i.e., use STL)

Gradescope is for meant for grading, **not** debugging. Write your own local tests.

# THINGS TO NOTE

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Do **not** change any file other than the ones that you submit to Gradescope.

Make sure you pull in the latest changes from the BusTub main branch.

Post your questions on Piazza or come to TA office hours.

Compare against our [solution in your browser!](#)

# PLAGIARISM WARNING

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Your project implementation must be your own work.

- You may **not** copy source code from other groups or the web.
- Do **not** publish your implementation on Github.

Plagiarism will **not** be tolerated.

See [CMU's Policy on Academic Integrity](#) for additional information.



# NEXT CLASS

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Two-Phase Locking  
Isolation Levels