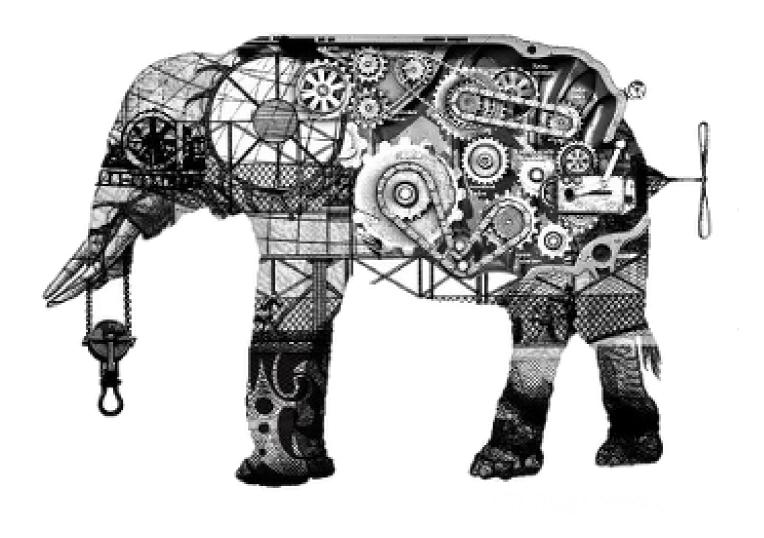
# THE IIILETHAIS OF FUSIGIES WE

for database administrators and system developers



# **Chapter 5**

# **Concurrency Control**

C

oncurrency Control is a mechanism that maintains consistency and isolation, which are two properties of the ACID, when several transactions run concurrently in the database.

There are three broad concurrency control techniques, i.e. *Multi-version Concurrency Control* (MVCC), *Strict Two-Phase Locking* (S2PL), and *Optimistic Concurrency Control* (OCC), and each technique has many variations. In MVCC, each write operation creates a new version of a data item while retaining the old version. When a transaction reads a data item, the system selects one of the versions to ensure isolation of the individual transaction. The main advantage of MVCC is that '*readers don' t block writers, and writers don' t block readers*', in contrast, for example, an S2PL-based system must block readers when a writer writes an item because the writer acquires an exclusive lock for the item. PostgreSQL and some RDBMSs use a variation of MVCC called **Snapshot Isolation (SI)**.

To implement SI, some RDBMSs, e.g., Oracle, use rollback segments. When writing a new data item, the old version of the item is written to the rollback segment, and subsequently the new item is overwritten to the data area. PostgreSQL uses a simpler method. A new data item is inserted directly into the relevant table page. When reading items, PostgreSQL selects the appropriate version of an item in response to an individual transaction by applying visibility check rules.

SI does not allow the three anomalies defined in the ANSI SQL-92 standard, i.e. *Dirty Reads, Non-Repeatable Reads,* and *Phantom Reads.* However, SI cannot achieve true serializability because it allows serialization anomalies, such as *Write Skew* and *Read-only Transaction Skew.* Note that the ANSI SQL-92 standard based on the classical serializability definition is **not** equivalent to the definition in modern theory. To deal with this issue, **Serializable Snapshot Isolation (SSI)** has been added as of version 9.1. SSI can detect the serialization anomalies and can resolve the conflicts caused by such anomalies. Thus, PostgreSQL version 9.1 and later provides a true SERIALIZABLE isolation level. (In addition, SQL Server also uses SSI, Oracle still uses only SI.)

This chapter comprises the following four parts:

Part 1: Sections 5.1 — 5.3

This part provides basic information required for understanding the subsequent parts.

Sections 5.1 and 5.2 describe transaction ids and tuple structure, respectively. Section 5.3 exhibits how tuples are inserted, deleted, and updated.

**Part 2:** Sections 5.4 — 5.6

preventing *Lost Updates*, and Section 5.9 briefly describes SSI.

#### Part 4: Section 5.10

This part describes several maintenance process required to permanently running the concurrency control mechanism. The maintenance processes are performed by vacuum processing, which is described in Chapter 6.

This chapter focuses on the topics that are unique to PostgreSQL, although there are many concurrency control-related topics. Note that descriptions of deadlock prevention and lock modes are omitted (refer to the official documentation for more information).

Transaction Isolation Level in PostgreSQL  PostgreSQL-implemented transaction isolation levels are described in the following table:					
READ COMMITTED	Not possible	Possible	Possible	Possible	
REPEATABLE READ <sup>*1</sup>	Not possible	Not possible	Not possible in PG (Possible in ANSI SQL)	Possible	
SERIALIZABLE	Not possible	Not possible	Not possible	Not possible	
•			not allow the three anomalies defined in a SERIALIZABLE level was introduced.	n the ANSI SQL-92 standard. However, with the	



PostgreSQL uses SSI for DML (Data Manipulation Language, e.g., SELECT, UPDATE, INSERT, DELETE), and 2PL for DDL (Data Definition Language, e.g., CREATE TABLE, etc).

# 5.1 Transaction ID

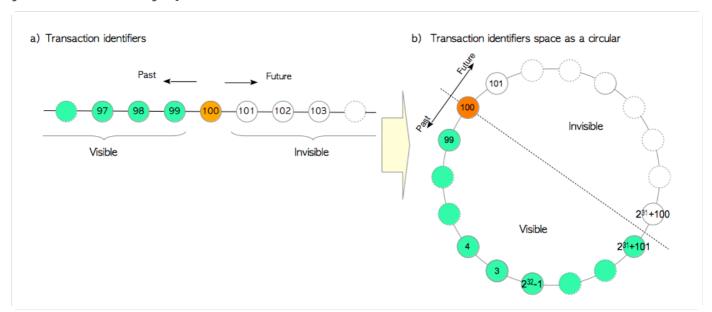
Whenever a transaction begins, a unique identifier, referred to as a **transaction id (txid)**, is assigned by the transaction manager. PostgreSQL's txid is a 32-bit unsigned integer, approximately 4.2 billion (thousand millions). If you execute the built-in *txid\_current()* function after a transaction starts, the function returns the current txid as follows.

PostgreSQL reserves the following three special txids:

- 0 means Invalid txid.
- 1 means **Bootstrap** txid, which is only used in the initialization of the database cluster.
- 2 means Frozen txid, which is described in Section 5.10.1.

Txids can be compared with each other. For example, at the viewpoint of txid 100, txids which are greater than 100 are "in the future" and they are *invisible* from the txid 100; txids which are less than 100 are "in the past" and *visible* (Figure 5.1 a)).

Figure 5.1: Transaction ids in PostgreSQL



0

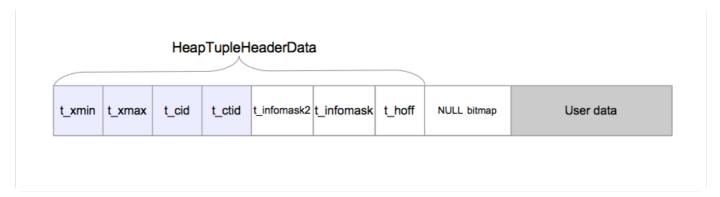
Note that BEGIN command does not be assigned a txid. In PostgreSQL, when the first command is executed after a BEGIN command executed, a tixd is assigned by the transaction manager, and then its transaction starts.

# 5.2 Tuple structure

Heap tuples in table pages are classified as a usual data tuple and a TOAST tuple. This section describes only the usual tuple.

A heap tuple comprises three parts, i.e. the HeapTupleHeaderData structure, NULL bitmap, and user data (Figure 5.2).

Figure 5.2: Tuple structure



0

The HeapTupleHeaderData structure is defined in src/include/access/htup\_details.h.

While the HeapTupleHeaderData structure contains seven fields, four fields are required in the subsequent sections.

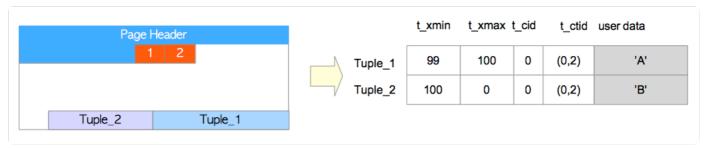
- **t\_xmin** holds the txid of the transaction that inserted this tuple.
- t\_xmax holds the txid of the transaction that deleted or updated this tuple. If this tuple has not been deleted or updated, t\_xmax is set to 0, which means INVALID.
- t\_cid holds the command id (cid), which means how many SQL commands were executed before this command was executed within the current transaction beginning from 0. For example, assume that we execute three INSERT commands within a single transaction: 'BEGIN; INSERT; INSERT; INSERT; COMMIT;'. If the first command inserts this tuple, t\_cid is set to 0. If the second command inserts this, t\_cid is set to 1, and so on.
- t\_ctid holds the tuple identifier (tid) that points to itself or a new tuple. tid, described in Section 1.3, is used to identify a tuple within a table. When this tuple is updated, the t\_ctid of this tuple points to the new tuple; otherwise, the t\_ctid points to itself.

# 5.3 Inserting, deleting, and updating tuples

This section describes how tuples are inserted, deleted, and updated. Then, the Free Space Map (FSM), which is used to insert and update tuples, is briefly described.

To focus on tuples, page headers and line pointers are not represented in the following. Figure 5.3 shows an example of how tuples are represented.

Figure 5.3: Representation of tuples



#### 5.3.1 Insertion

With the insertion operation, a new tuple is inserted directly into a page of the target table (Figure 5.4).

# Figure 5.4: Tuple insertion



Suppose that a tuple is inserted in a page by a transaction whose txid is 99. In this case, the header fields of the inserted tuple are set as follows.

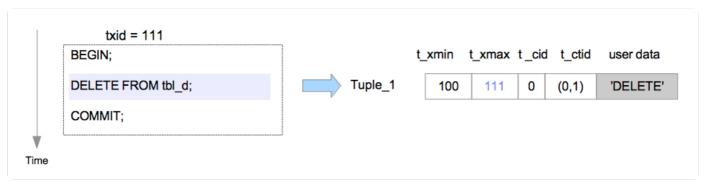
#### Tuple\_1:

- t\_xmin is set to 99 because this tuple is inserted by txid 99.
- t\_xmax is set to 0 because this tuple has not been deleted or updated.
- t\_cid is set to 0 because this tuple is the first tuple inserted by txid 99.
- t\_ctid is set to (0,1), which points to itself, because this is the latest tuple.

#### 5.3.2 Deletion

In the deletion operation, the target tuple is deleted logically. The value of the txid that executes the DELETE command is set to the t\_xmax of the tuple (Figure 5.5).

Figure 5.5: Tuple deletion



Suppose that Tuple\_1 is deleted by txid 111. In this case, the header fields of Tuple\_1 are set as follows.

Tuple\_1:

t\_xmax is set to 111.

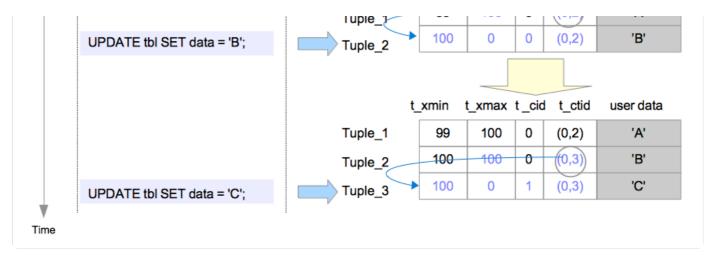
If txid 111 is committed, Tuple\_1 is no longer required. Generally, unneeded tuples are referred to as dead tuples in PostgreSQL.

Dead tuples should eventually be removed from pages. Cleaning dead tuples is referred to as VACUUM processing, which is described in Chapter 6.

# 5.3.3 Update

In the update operation, PostgreSQL logically deletes the latest tuple and inserts a new one (Figure 5.6).

#### Figure 5.6: Update the row twice



Suppose that the row, which has been inserted by txid 99, is updated twice by txid 100.

When the first UPDATE command is executed, Tuple\_1 is logically deleted by setting txid 100 to the <u>t\_xmax</u>, and then Tuple\_2 is inserted. Then, the <u>t\_ctid</u> of Tuple\_1 is rewritten to point to Tuple\_2. The header fields of both Tuple\_1 and Tuple\_2 are as follows.

```
Tuple 1:
```

t\_xmax is set to 100.

t\_ctid is rewritten from (0, 1) to (0, 2).

Tuple 2:

t\_xmin is set to 100.

t\_xmax is set to 0.

t cid is set to 0.

t\_ctid is set to (0,2).

When the second UPDATE command is executed, as in the first UPDATE command, Tuple\_2 is logically deleted and Tuple\_3 is inserted. The header fields of both Tuple\_2 and Tuple\_3 are as follows.

### Tuple\_2:

t\_xmax is set to 100.

t\_ctid is rewritten from (0, 2) to (0, 3).

Tuple\_3:

t\_xmin is set to 100.

t\_xmax is set to 0.

 $\textbf{t\_cid} \text{ is set to } 1.$ 

t\_ctid is set to (0,3)

As with the delete operation, if txid 100 is committed, Tuple\_1 and Tuple\_2 will be dead tuples, and, if txid 100 is aborted, Tuple\_2 and Tuple\_3 will be dead tuples.

### 5.3.4 Free Space Map

When inserting a heap or an index tuple, PostgreSQL uses the FSM of the corresponding table or index to select the page which can be inserted it.

As mentioned in Section 1.2.3, all tables and indexes have respective FSMs. Each FSM stores the information about the free space capacity of each page within the corresponding table or index file.

All FSMs are stored with the suffix 'fsm', and they are loaded into shared memory if necessary.

```
pg_freespacemap
The extension pg_freespacemap provides the freespace of the specified table/index. The following query shows the freespace ratio of each page in the specified table.
testdb=# CREATE EXTENSION pg_freespacemap;
CREATE EXTENSION
 testdb=# SELECT *, round(100 * avail/8192 ,2) as "freespace ratio"
                 FROM pg_freespace('accounts');
 b1kno
         avai1
                 freespace ratio
     0
           7904
                            96.00
          7520
7136
                            91. 00
87. 00
     3
          7136
                            87.00
                            87.00
          7136
          7136
                            87 00
```

# 5.4 Commit Log (clog)

PostgreSQL holds the statuses of transactions in the **Commit Log**. The Commit Log, often called the **clog**, is allocated to the shared memory, and is used throughout transaction processing.

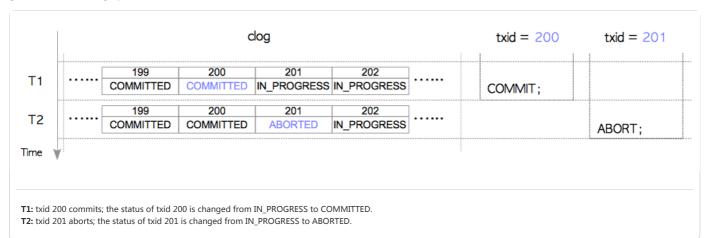
This section describes the the status of transactions in PostgreSQL, how the clog operates, and maintenance of the clog.

SUB\_COMMITTED is for sub-transactions, and its description is omitted in this document.

#### 5.4.2 How clog performs

The clog comprises one or more 8 KB pages in shared memory. The clog logically forms an array. The indices of the array correspond to the respective transaction ids, and each item in the array holds the status of the corresponding transaction id. Figure 5.7 shows the clog and how it operates.

Figure 5.7: How the clog operates



When the current txid advances and the clog can no longer store it, a new page is appended.

When the status of a transaction is needed, the internal functions are invoked. Those functions read the clog and return the status of the requested transaction. (See also **®** 'Hint Bits' in Section 5.7.1.)

### 5.4.3 Maintenance of the clog

When PostgreSQL shuts down or whenever the checkpoint process runs, the data of the clog are written into files stored under the **pg\_clog** subdirectory. (Note that pg\_clog will be renamed to *pg\_xact* in Version 10.) These files are named *0000*, *0001*, etc. The maximum file size is 256 KB. For example, when the clog uses eight pages (the first page to the eighth page; the total size is 64 KB), its data are written into 0000 (64 KB), and with 37 pages (296 KB), the data are written into 0000 and 0001, whose sizes are 256 KB and 40 KB, respectively.

When PostgreSQL starts up, the data stored in the pg\_clog's files (pg\_xact's files) are loaded to initialize the clog.

The size of the clog continuously increases because a new page is appended whenever the clog is filled up. However, not all data in the clog are necessary. Vacuum processing, described in Chapter 6, regularly removes such old data (both the clog pages and files). Details about removing the clog data is described in Section 6.4.

## 5.5 Transaction Snapshot

A **transaction snapshot** is a dataset that stored information about whether all transactions are active, at a certain point in time for an individual transaction. Here an active transaction means it is in progress or has not yet started.

PostgreSQL internally defines the textual representation format of transaction snapshots as '100:100:'. For example, '100:100:' means 'txids that are less than 99 are not active, and txids that are equal or greater than 100 are active'. In the following descriptions, this convenient representation form is used. If you are not familiar with it, see below.

• The built-in function txid\_current\_snapshot and its textual representation format

The function txid\_current\_snapshot shows a snapshot of the current transaction.

The textual representation of the txid\_current\_snapshot is "xmin:xmax:xip\_list", and the components are described as follows.

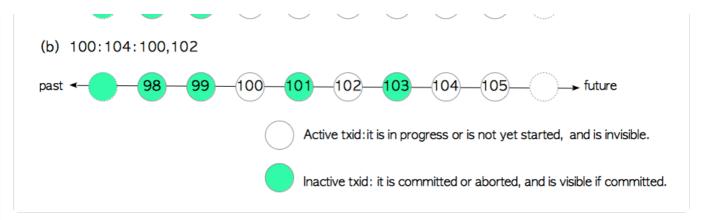
- xmin
- Earliest txid that is still active. All earlier transactions will either be committed and visible, or rolled back and dead.
- xmax
  - First as-yet-unassigned txid. All txids greater than or equal to this are not yet started as of the time of the snapshot, and thus invisible.
- xip\_list

Active txids at the time of the snapshot. The list includes only active txids between xmin and xmax.

For example, in the snapshot "100:104:100,102", xmin is '100', xmax '104', and xip\_list '100,102".

Two specific examples are shown in the following:

Figure 5.8: Examples of transaction snapshot representation



The first example is '100:100:'. This snapshot means the following (Figure 5.8 (a)):

- txids that are equal or less than 99 are **not** active because xmin is 100.
- txids that are equal or greater than 100 are active because xmax is 100.

The second example is '100:104:100,102'. This snapshot means the following (Figure 5.8 (b)):

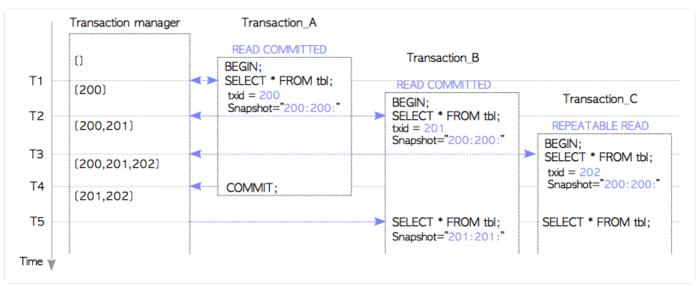
- txids that are equal or less than 99 are not active.
- txids that are equal or greater than 104 are active.
- txids 100 and 102 are active since they exist in the xip list, whereas txids 101 and 103 are not active.

Transaction snapshots are provided by the transaction manager. In the READ COMMITTED isolation level, the transaction obtains a snapshot whenever an SQL command is executed; otherwise (REPEATABLE READ or SERIALIZABLE), the transaction only gets a snapshot when the first SQL command is executed. The obtained transaction snapshot is used for a visibility check of tuples, which is described in Section 5.7.

When using the obtained snapshot for the visibility check, active transactions in the snapshot must be treated as in progress even if they have actually been committed or aborted. This rule is important because it causes the difference in the behaviour between READ COMMITTED and REPEATABLE READ (or SERIALIZABLE). We refer to this rule repeatedly in the following sections.

In the remainder of this section, the transaction manager and transactions are described using a specific scenario Figure 5.9.

Figure 5.9: Transaction manager and transactions



The transaction manager always holds information about currently running transactions. Suppose that three transactions start one after another, and the isolation level of Transaction\_A and Transaction\_B are READ COMMITTED, and that of Transaction\_C is REPEATABLE READ.

T1:

Transaction\_A starts and executes the first SELECT command. When executing the first command, Transaction\_A requests the txid and snapshot of this moment. In this scenario, the transaction manager assigns txid 200, and returns the transaction snapshot '200:200:'.

T2:

Transaction\_B starts and executes the first SELECT command. The transaction manager assigns txid 201, and returns the transaction snapshot '200:200:' because Transaction\_A (txid 200) is in progress. Thus, Transaction\_A cannot be seen from Transaction\_B.

T3:

Transaction\_C starts and executes the first SELECT command. The transaction manager assigns txid 202, and returns the transaction snapshot '200:200:', thus, Transaction\_A and Transaction\_B cannot be seen from Transaction\_C.

T4:

Transaction\_A has been committed. The transaction manager removes the information about this transaction.

T5:

Transaction\_B and Transaction\_C execute their respective SELECT commands.

Transaction\_B requires a transaction snapshot because it is in the READ COMMITTED level. In this scenario, Transaction\_B obtains a new snapshot '201:201:' because Transaction\_A (txid 200) is committed. Thus, Transaction\_A is no longer invisible from Transaction\_B.

Visibility check rules are a set of rules used to determine whether each tuple is visible or invisible using both the t\_xmin and t\_xmax of the tuple, the clog, and the obtained transaction snapshot. These rules are too complicated to explain in detail. Therefore this document shows the minimal rules required for the subsequent descriptions. In the following, we omit the rules related to sub-transactions and ignore discussion about t\_ctid, i.e. we do not consider tuples that have been updated more than twice within a transaction.

The number of selected rules is ten, and they can be classified into three cases

#### 5.6.1 Status of t\_xmin is ABORTED

A tuple whose t\_xmin status is ABORTED is always invisible (Rule 1) because the transaction that inserted this tuple has been aborted.

```
/* t_xmin status = ABORTED */
Rule 1: IF t_xmin status is 'ABORTED' THEN
RETURN 'Invisible'
END IF
```

This rule is explicitly expressed as the following mathematical expression.

Rule 1: If Status(t\_xmin) = ABORTED ⇒ Invisible

## 5.6.2 Status of t\_xmin is IN\_PROGRESS

A tuple whose t\_xmin status is IN\_PROGRESS is essentially invisible (Rules 3 and 4), except under one condition.

```
/* t_xmin status = IN_PROGRESS */
    IF t_xmin status is 'IN_PROGRESS' THEN
    IF t_xmin = current_txid THEN
    IF t_xmax = INVALID THEN
    RETURN 'Visible'

Rule 3:    ELSE /* this tuple has been deleted or updated by the current transaction itself. */
        RETURN 'Invisible'
    END IF

Rule 4:    ELSE /* t_xmin ≠ current_txid */
        RETURN 'Invisible'
    END IF
    END IF
    END IF
```

If this tuple is inserted by another transaction and the status of t\_xmin is IN\_PROGRESS, this tuple is obviously invisible (Rule 4).

If t\_xmin is equal to the current txid (i.e., this tuple is inserted by the current transaction) and t\_xmax is **not** INVALID, this tuple is *invisible* because it has been updated or deleted by the current transaction (Rule 3).

The exception condition is the case whereby this tuple is inserted by the current transaction and t\_xmax is INVALID. In this case, this tuple is *visible* from the current transaction (Rule 2).

```
Rule 2: If Status(t_xmin) = IN_PROGRESS \land t_xmin = current_txid \land t_xmax = INVAILD \Rightarrow Visible Rule 3: If Status(t_xmin) = IN_PROGRESS \land t_xmin = current_txid \land t_xmax \neq INVAILD \Rightarrow Invisible Rule 4: If Status(t_xmin) = IN_PROGRESS \land t_xmin \neq current_txid \Rightarrow Invisible
```

### 5.6.3 Status of t xmin is COMMITTED

A tuple whose t\_xmin status is COMMITTED is visible (Rules 6,8, and 9), except under three conditions.

```
/* t_xmin status = COMMITTED */
           Rule 5:
             RETURN 'Invisible
Rule 6:
                    xmax = INVALID OR status of t_xmax is 'ABORTED' THEN
             RETURN 'Visible'
          ELSE IF t_xmax status is 'IN_PROGRESS' THEN
Rule 7:
             IF t_xmax = current_txid THEN
RETURN 'Invisible'
             ELSE /* t_xmax + current_txid */
Rule 8:
                 RETURN 'Visible'
             END IF
          ELSE IF t_xmax status is 'COMMITTED' THEN
             IF t_xmax is active in the obtained transaction snapshot THEN RETURN 'Visible'
Rule 9:
Rule 10:
             ELSE
                 RETURN 'Invisible'
             END IF
      END IF
```

Rule 6 is obvious because t\_xmax is INVALID or ABORTED. Three exception conditions and both Rules 8 and 9 are described as follows.

The first exception condition is that t\_xmin is *active* in the obtained transaction snapshot (Rule 5). Under this condition, this tuple is *invisible* because t\_xmin should be treated as in progress.

The second exception condition is that t\_xmax is the current txid (Rule 7). Under this condition, as with Rule 3, this tuple is *invisible* because it has been updated or deleted by this transaction itself.

In contrast, if the status of t\_xmax is IN\_PROGRESS and t\_xmax is not the current txid (Rule 8), the tuple is visible because it has not been deleted.

The third exception condition is that the status of t\_xmax is COMMITTED and t\_xmax is **not** active in the obtained transaction snapshot (Rule 10). Under this condition, this tuple is *invisible* because it has been updated or deleted by another transaction.

In contrast, if the status of t\_xmax is COMMITTED but t\_xmax is active in the obtained transaction snapshot (Rule 9), the tuple is *visible* because t\_xmax should be treated as in progress.

```
Rule 5: If Status(t_xmin) = COMMITTED ∧ Snapshot(t_xmin) = active ⇒ Invisible
Rule 6: If Status(t_xmin) = COMMITTED ∧ (t_xmax = INVALID ∨ Status(t_xmax) = ABORTED) ⇒ Visible
Rule 7: If Status(t_xmin) = COMMITTED ∧ Status(t_xmax) = IN_PROGRESS ∧ t_xmax = current_txid ⇒ Invisible
Rule 8: If Status(t_xmin) = COMMITTED ∧ Status(t_xmax) = IN_PROGRESS ∧ t_xmax ≠ current_txid ⇒ Visible
Rule 9: If Status(t_xmin) = COMMITTED ∧ Status(t_xmax) = COMMITTED ∧ Snapshot(t_xmax) = active ⇒ Visible
Rule 10: If Status(t_xmin) = COMMITTED ∧ Status(t_xmax) = COMMITTED ∧ Snapshot(t_xmax) ≠ active ⇒ Invisible
```

describes how PostgreSQL prevents the anomalies defined in the ANSI SQL-92 Standard: Dirty Reads, Repeatable Reads and Phantom Reads.

#### 5.7.1 Visibility Check

Figure 5.10 shows a scenario to describe the visibility check.

Figure 5.10: Scenario to describe visibility check



In the scenario shown in Figure 5.10, SQL commands are executed in the following time sequence.

- T1: Start transaction (txid 200)
- T2: Start transaction (txid 201)
- T3: Execute SELECT commands of txid 200 and 201
- T4: Execute UPDATE command of txid 200
- T5: Execute SELECT commands of txid 200 and 201
- T6: Commit txid 200
- T7: Execute SELECT command of txid 201

To simplify the description, assume that there are only two transactions, i.e. txid 200 and 201. The isolation level of txid 200 is READ COMMITTED, and the isolation level of txid 201 is either READ COMMITTED or REPEATABLE READ.

We explore how SELECT commands perform a visibility check for each tuple.

# **SELECT commands of T3:**

At T3, there is an only Tuple\_1 in the table tb/ and it is visible by Rule 6; thus, SELECT commands in both transactions return 'Jekyll'.

• Rule6(Tuple\_1) ⇒ Status(t\_xmin:199) = COMMITTED ∧ t\_xmax = INVALID ⇒ Visible

```
testdb=# -- txid 200
testdb=# SELECT * FROM tbl;
name
------

Jekyll
(1 row)

testdb=# -- txid 201
testdb=# SELECT * FROM tbl;
name
------
Jekyll
(1 row)
```

# SELECT commands of T5:

First, we explore the SELECT command executed by txid 200. Tuple\_1 is invisible by Rule 7 and Tuple\_2 is visible by Rule 2; thus, this SELECT command returns 'Hyde'.

- Rule2(Tuple\_2): Status(t\_xmin:200) = IN\_PROGRESS ∧ t\_xmin:200 = current\_txid:200 ∧ t\_xmax = INVAILD ⇒ Visible

```
testdb=# -- txid 200
testdb=# SELECT * FROM tbl;
name
-----
Hyde
(1 row)
```

On the other hand, in the SELECT command executed by txid 201, Tuple\_1 is visible by **Rule 8** and Tuple\_2 is invisible by **Rule 4**; thus, this SELECT command returns 'Jekyll'.

- Rule8(Tuple\_1): Status(t\_xmin:199) = COMMITTED ∧ Status(t\_xmax:200) = IN\_PROGRESS ∧ t\_xmax:200 ≠ current\_txid:201 ⇒ Visible
- Rule4(Tuple\_2): Status(t\_xmin:200) = IN\_PROGRESS ∧ t\_xmin:200 ≠ current\_txid:201 ⇒ Invisible

```
testdb=# -- txid 201
testdb=# SELECT * FROM tbl;
name
------
```

#### SELECT COMMINANTO OF 17.

In the following, the behaviours of SELECT commands of T7 in both isolation levels are described.

First, we explore when txid 201 is in the READ COMMITTED level. In this case, txid 200 is treated as COMMITTED because the transaction snapshot is '201:201:'. Therefore, Tuple 1 is invisible by Rule 10 and Tuple 2 is visible by Rule 6, and the SELECT command returns 'Hyde'.

- Rule10(Tuple\_1): Status(t\_xmin:199) = COMMITTED ∧ Status(t\_xmax:200) = COMMITTED ∧ Snapshot(t\_xmax:200) ≠ active ⇒ Invisible
- Rule6(Tuple\_2): Status(t\_xmin:200) = COMMITTED ∧ t\_xmax = INVALID ⇒ Visible

```
testdb=# -- txid 201 (READ COMMITTED)
testdb=# SELECT * FROM tbl;
name
-----
Hyde
(1 row)
```

Note that the results of the SELECT commands, which are executed before and after txid 200 is committed, differ. This is generally known as Non-Repeatable Reads.

In contrast, when txid 201 is in the REPEATABLE READ level, txid 200 must be treated as IN\_PROGRESS because the transaction snapshot is '200:200:'. Therefore, Tuple\_1 is *visible* by **Rule 9** and Tuple\_2 is *invisible* by **Rule 5**, and the SELECT command returns 'Jekyll'. Note that Non-Repeatable Reads do not occur in the REPEATABLE READ (and SERIALIZABLE) level.

- Rule9(Tuple\_1): Status(t\_xmin:199) = COMMITTED ∧ Status(t\_xmax:200) = COMMITTED ∧ Snapshot(t\_xmax:200) = active ⇒ Visible
- $\bullet \ \ Rule5(Tuple\_2): Status(t\_xmin:200) = COMMITTED \ \land \ Snapshot(t\_xmin:200) = active \Rightarrow Invisible$

```
testdb=# -- txid 201 (REPEATABLE READ)
testdb=# SELECT * FROM tbl;
name
------
Jekyli
(1 row)
```

#### Hint Bits

To obtain the status of a transaction, PostgreSQL internally provides three functions, i.e., TransactionIdIsInProgress, TransactionIdDidCommit, and TransactionIdDidAbort. These functions are implemented to reduce frequent access to the clog, such as caches. However, bottlenecks will occur if they are executed whenever each tuple is checked.

To deal with this issue, PostgreSQL uses hint bits, which are shown in the following.

When reading or writing a tuple, PostgreSQL sets hint bits to the t\_informask of the tuple if possible. For example, assume that PostgreSQL checks the status of the t\_xmin of a tuple and obtains the status COMMITTED. In this case, PostgreSQL sets a hint bit HEAP\_XMIN\_COMMITTED to the t\_infomask of the tuple. If hint bits are already set, TransactionIdDidCommit and TransactionIdDidAbort are no longer needed. Therefore, PostgreSQL can efficiently check the statuses of both t\_xmin and t\_xmax of each tuple.

## 5.7.2 Phantom Reads in PostgreSQL's REPEATABLE READ level

REPEATABLE READ as defined in the ANSI SQL-92 standard allows **Phantom Reads**. However, PostgreSQL's implementation does not allow them. In principle, SI does not allow Phantom Reads.

Assume that two transactions, i.e. Tx\_A and Tx\_B, are running concurrently. Their isolation levels are READ COMMITTED and REPEATABLE READ, and their txids are 100 and 101, respectively. First, Tx\_A inserts a tuple. Then, it is committed. The t\_xmin of the inserted tuple is 100. Next, Tx\_B executes a SELECT command; however, the tuple inserted by Tx\_A is *invisible* by **Rule 5**. Thus, Phantom Reads do not occur.

 $\bullet \quad \text{Rule5(new tuple): Status(t\_xmin:100)} = \text{COMMITTED} \ \land \ \text{Snapshot(t\_xmin:100)} = \text{active} \Rightarrow \text{Invisible}$ 

```
testdb=# -- Tx_A: txid 100
testdb=# START TRANSACTION
testdb-# ISOLATION LEVEL READ COMMITTED;
START TRANSACTION
testdb=# INSERT tbl(id, data)
           VALUES (1,'phantom');
INSERT 1
testdb=# COMMIT;
COMMIT
testdb=# -- Tx_B: txid 101
testdb=# START TRANSACTION
testdb-# ISOLATION LEVEL REPEATABLE READ:
START TRANSACTION
testdb=# SELECT txid current();
 txid_current
       101
(1 row)
testdb=# SELECT * FROM tbl WHERE id=1:
(0 rows)
```

# 5.8 Preventing Lost Updates

When UPDATE command is executed, the function ExecUpdate is internally invoked. The pseudocode of the ExecUpdate is shown below:

```
</> Pseudocode: ExecUpdate
     FOR each row that will be updated by this UPDATE command
         WHILE true
             * The First Block */
(3)
             IF the target row is being updated THEN
                 WAIT for the termination of the transaction that updated the target row
(5)
                 IF (the status of the terminated transaction is COMMITTED)

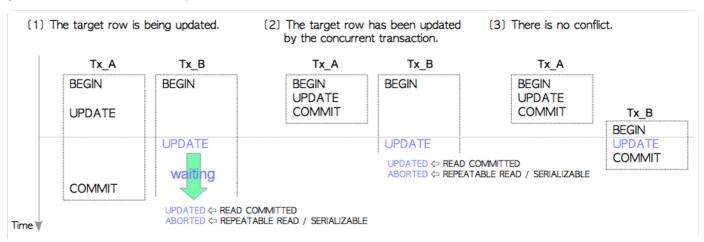
AND (the isolation level of this transaction is REPEATABLE READ or SERIALIZABLE) THEN

ABORT this transaction /* First-Updater-Win */
(6)
                        GOTO step (2)
(7)
                 END IF
              The Second Block */
            ELSE IF the target row has been updated by another concurrent transaction THEN

IF (the isolation level of this transaction is READ COMMITTED THEN
(8)
(10)
                        UPDATE the target row
                 ELSE
(11)
                        ABORT this transaction /* First-Updater-Win */
                 END IF
              * The Third Block */
            ELSE /* The target row is not yet modified or has been updated by a terminated transaction. */
UPDATE the target row
(12)
            END IF
         END WHILE
     END FOR
 (1) Get each row that will be updated by this UPDATE command.
 (2) Repeat the following process until the target row has been updated (or this transaction is aborted).
 (3) If the target row is being updated, proceed to step (3); otherwise, proceed to step (8).
 (4) Wait for the termination of the transaction that updated the target row because PostgreSQL uses first-updater-win scheme in SI.
 (5) If the status of the transaction that updated the target row is COMMITTED and the isolation level of this transaction is REPEATABLE READ (or SERIALIZABLE), proceed to step
    (6); otherwise, proceed to step (7).
 (6) Abort this transaction to prevent Lost Updates.
 (7) Proceed to step (2) and attempt to update the target row in the next round.
 (8) If the target row has been updated by another concurrent transaction, proceed to step (9); otherwise, proceed to step (12).
 (9) If the isolation level of this transaction is READ COMMITTED, proceed to step (10); otherwise, proceed to step (11).
 (10) UPDATE the target row, and proceed to step (1).
 (11) Abort this transaction to prevent Lost Updates.
 (12) UPDATE the target row, and proceed to step (1) because the target row is not yet modified or has been updated by a terminated transaction, i.e. there is ww-conflict.
```

This function performs update operations for each of the target rows. It has a while loop to update each row, and the inside of the while loop branches to three blocks according to the conditions shown in Figure 5.11.

Figure 5.11: Three internal blocks in ExecUpdate



[1] The target row is being updated (Figure 5.11 [1])

'Being updated' means that the row is updated by another concurrent transaction and its transaction has not terminated. In this case, the current transaction must wait for termination of the transaction that updated the target row because PostgreSQL's SI uses the **first-updater-win** scheme. For example, assume that transactions Tx\_A and Tx\_B run concurrently, and Tx\_B attempts to update a row; however, Tx\_A has updated it and is still in progress. In this case, Tx\_B waits for the termination of Tx\_A.

After the transaction that updated the target row commits, the update operation of the current transaction proceeds. If the current transaction is in the READ COMMITTED level, the target row will be updated; otherwise (REPEATABLE READ or SERIALIZABLE), the current transaction is aborted immediately.

- [2] The target row has been updated by the concurrent transaction (Figure 5.11 [2])
  - The current transaction attempts to update the target tuple; however, the other concurrent transaction has updated the target row and has already been committed. In this case, if the current transaction is in the READ COMMITTED level, the target row will be updated; otherwise, the current transaction is aborted immediately.
- [3] There is no conflict (Figure 5.11 [3])

When there is no conflict, the current transaction can update the target row.

htl 18

#### 5.8.2 Examples

Three examples are shown in the following. The first and second examples show behaviours when the target row is being updated, and the third example shows the behaviour when the target row has been updated.

#### Example 1:

Transactions Tx\_A and Tx\_B update the same row in the same table, and their isolation level is READ COMMITTED.

Tx\_B is executed as follows:

- 1) After executing the UPDATE command, Tx\_B should wait for the termination of Tx\_A, because the target tuple is being updated by Tx\_A (Step (4) in ExecUpdate).
- 2) After Tx A is committed, Tx B attempts to update the target row (Step (7) in ExecUpdate).
- 3) In the second round of ExecUpdate, the target row is updated again by Tx\_B (Steps (2),(8),(9),(10) in ExecUpdate).

#### Example 2:

Tx\_A and Tx\_B update the same row in the same table, and their isolation levels are READ COMMITTED and REPEATABLE READ, respectively.

The behaviour of Tx\_B is described as follows.

- 1) After executing the UPDATE command, Tx\_B should wait for the termination of Tx\_A (Step (4) in ExecUpdate).
- 2) After Tx\_A is committed, Tx\_B is aborted to resolve conflict because the target row has been updated and the isolation level of this transaction is REPEATABLE READ (Steps (5) and (6) in ExecUpdate).

#### Example 3

 $Tx_B$  (REPEATABLE READ) attempts to update the target row that has been updated by the committed  $Tx_A$ . In this case,  $Tx_B$  is aborted (Steps (2),(8),(9), and (11) in ExecUpdate).

```
testdb=# -- Tx_A
testdb=# START TRANSACTION
testdb-# ISOLATION LEVEL READ COMMITTED;
START TRANSACTION

testdb=# UPDATE tbl SET name = 'Hyde';
UPDATE 1

testdb=# COMMIT;
```

```
testdb-# ISOLATION LEVEL REPEATABLE READ;
START TRANSACTION
testdb=# SELECT * FROM tbl;
name

Jekyll
(1 row)
testdb=# UPDATE tbl SET name = 'Utterson';
ERROR:couldn't serialize access due to concurrent update
```

# 5.9 Serializable Snapshot Isolation

Serializable Snapshot Isolation (SSI) has been embedded in SI since version 9.1 to realize a true SERIALIZABLE isolation level. Since the explanation of SSI is not simple, only an outline is explained. For details, see [2].

In the following, the technical terms shown in below are used without definitions. If you are unfamiliar with these terms, see [3], [1].

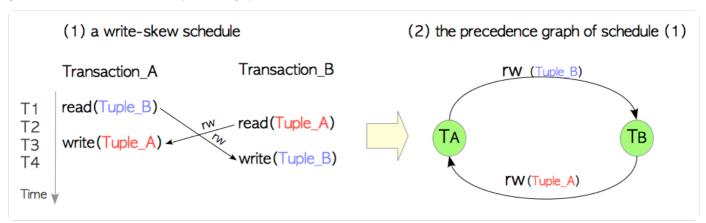
- precedence graph (also known as dependency graph and serialization graph)
- serialization anomalies (e.g. Write-Skew)

# 5.9.1 Basic strategy for SSI implementation

If a cycle that is generated with some conflicts is present in the precedence graph, there will be a serialization anomaly. This is explained using the simplest anomaly, i.e. Write-Skew.

Figure 5.12 (1) shows a schedule. Here, Transaction\_A reads Tuple\_B and Transaction\_B reads Tuple\_A. Then, Transaction\_A writes Tuple\_A and Transaction\_B writes Tuple\_B. In this case, there are two rw-conflicts, and they make a cycle in the precedence graph of this schedule, as shown in Figure 5.12 (2). Thus, this schedule has a serialization anomaly, i.e. Write-Skew.

Figure 5.12: Write-Skew schedule and its precedence graph



Conceptually, there are three types of conflicts: wr-conflicts (Dirty Reads), ww-conflicts (Lost Updates), and rw-conflicts. However, wr- and ww-conflicts do not need to be considered because, as shown in the previous sections, PostgreSQL prevents such conflicts. Thus, SSI implementation in PostgreSQL only needs to consider rw-conflicts.

PostgreSQL takes the following strategy for the SSI implementation:

- 1. Record all objects (tuples, pages, relations) accessed by transactions as SIREAD locks.
- 2. Detect rw-conflicts using SIREAD locks whenever any heap or index tuple is written.
- 3. Abort the transaction if a serialization anomaly is detected by checking detected rw-conflicts.

# 5.9.2 Implementing SSI in PostgreSQL

To realize the strategy described above, PostgreSQL has implemented many functions and data structures. However, here we uses only two data structures: **SIREAD locks** and **rw-conflicts**, to describe the SSI mechanism. They are stored in shared memory.



For simplicity, some important data structures, such as SERIALIZABLEXACT, are omitted in this document. Thus, the explanations of the functions, i.e. CheckTargetForConflictOut, CheckTargetForConflictIn, and PreCommit\_CheckForSerializationFailure, are also extremely simplified. For example, we indicate which functions detect conflicts; however, the conflicts are detected is not explained in detail. If you want to know the details, refer to the source code: predicate.c.

# SIREAD locks:

An SIREAD lock, internally called a predicate lock, is a pair of an object and (virtual) txids that store information about who has accessed which object. Note that the description of virtual txid is omitted. txid is used rather than virtual txid to simplify the following explanation.

SIREAD locks are created by the CheckTargetForConflictsOut function whenever one DML command is executed in SERIALIZABLE mode.

For example, if txid 100 reads Tuple\_1 of the given table, an SIREAD lock {Tuple\_1, {100}} is created. If another transaction, e.g. txid 101, reads Tuple\_1, the SIREAD lock is updated to {Tuple\_1, {100,101}}.

SIREAD lock has three levels: tuple, page, and relation. If the SIREAD locks of all tuples within a single page are created, they are aggregated into a single SIREAD lock for that page, and all SIREAD locks of the associated tuples are released (removed), to reduce memory space. The same is true for all pages that are read.

When creating an SIREAD lock for an index, the page level SIREAD lock is created from the beginning. When using sequential scan, a relation level SIREAD lock is created from the beginning regardless of the presence of indexes and/or WHERE clauses. Note that, in certain situations, this implementation can cause false-positive detections of serialization anomalies. The details are described in Section 5.9.4.

# rw-conflicts:

A rw-conflict is a triplet of an SIREAD lock and two txids that reads and writes the SIREAD lock.

Both CheckTargetForConflictOut and CheckTargetForConflictIn functions, as well as the PreCommit\_CheckForSerializationFailure function, which is invoked when the COMMIT command is executed in SERIALIZABLE mode, check serialization anomalies using the created rw-conflicts. If they detect anomalies, only the first-committed transaction is committed and the other transactions are aborted (by the **first-committer-win** scheme).

# 5.9.3 How SSI performs

Here, we describe how SSI resolves Write-Skew anomalies. We use a simple table *tb*/shown below:

```
testdb=# CREATE TABLE tbl (id INT primary key, flag bool DEFAULT false); testdb=# INSERT INTO tbl (id) SELECT generate_series(1,2000); testdb=# ANALYZE tbl;
```

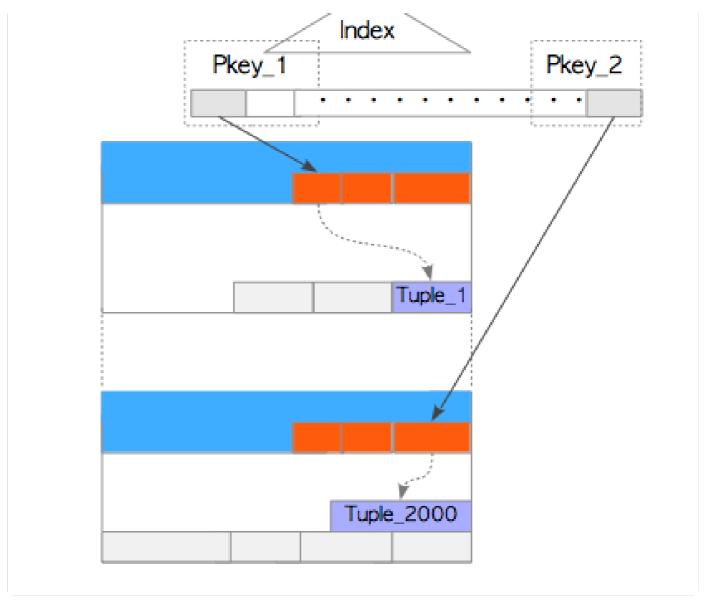
Transactions Tx\_A and Tx\_B execute the following commands (Figure 5.13).

Figure 5.13: Write-Skew scenario

	START TRANSACTION ISOLATION LEVEL SERIALIZABLE;	Tx_B	
		START TRANSACTION ISOLATION LEVEL SERIALIZABLE;	
Г1	SELECT * FROM tbl WHERE id = 2000; id   flag + 2000   f (1 row)		
Г2		SELECT * FROM tbl WHERE id = 1; id   flag + 1   f (1 row)	
73	UPDATE tbl SET flag = TRUE WHERE id = 1;		
74		UPDATE tbl SET flag = TRUE WHERE id = 2000;	
T5	COMMIT;		
Т6		COMMIT;	
		ABORT	

Assume that all commands use index scan. Therefore, when the commands are executed, they read both heap tuples and index pages, each of which contains the index tuple that points to the corresponding heap tuple. See figure 5.14.

Figure 5.14: Relationship between the index and table in the scenario shown in Figure 5.13.



T1: Tx\_A executes a SELECT command. This command reads a heap tuple (Tuple\_2000) and one page of the primary key (Pkey\_2).

Figure 5.15 shows how PostgreSQL detects and resolves the Write-Skew anomaly described in the above scenario.

Figure 5.15: SIREAD locks and rw-conflicts, and schedule of the scenario shown in Figure 5.13

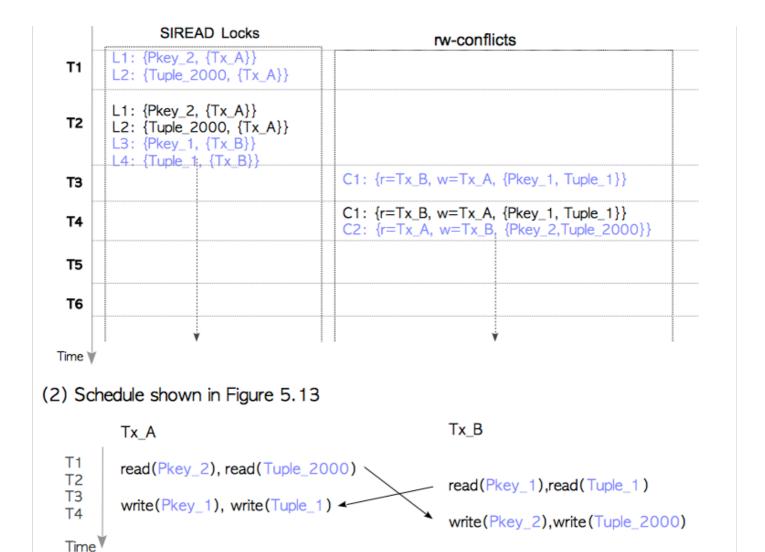
T2: Tx\_B executes a SELECT command. This command reads a heap tuple (Tuple\_1) and one page of the primary key (Pkey\_1).

T3: Tx\_A executes an UPDATE command to update Tuple\_1.

T4: Tx\_B executes an UPDATE command to update Tuple\_2000.

**T5:** Tx\_A commits.

**T6:** Tx\_B commits; however, it is aborted due to a Write-Skew anomaly.



# T1:

When executing the SELECT command of Tx\_A, CheckTargetForConflictsOut creates SIREAD locks. In this scenario, the function creates two SIREAD locks: L1 and L2 are associated with Pkey\_2 and Tuple\_2000, respectively.

T2:

When executing the SELECT command of Tx\_B, CheckTargetForConflictsOut creates two SIREAD locks: L3 and L4.

L3 and L4 are associated with Pkey\_1 and Tuple\_1, respectively.

T3:

When executing the UPDATE command of Tx\_A, both CheckTargetForConflictsOut and CheckTargetForConflictsIN are invoked before and after ExecUpdate. In this scenario, CheckTargetForConflictsOut does nothing.

CheckTargetForConflictsIn creates rw-conflict C1, which is the conflict of both Pkey\_1 and Tuple\_1 between Tx\_B and Tx\_A, because both Pkey\_1 and Tuple\_1 were read by Tx\_B and written by Tx\_A.

T4:

When executing the UPDATE command of Tx\_B, CheckTargetForConflictsIn creates rw-conflict C2, which is the conflict of both Pkey\_2 and Tuple\_2000 between Tx\_A and Tx\_B.

In this scenario, C1 and C2 create a cycle in the precedence graph; thus, Tx\_A and Tx\_B are in a non-serializable state. However, both transactions Tx\_A and Tx\_B have not been committed, therefore CheckTargetForConflictsIn does not abort Tx\_B. Note that this occurs because PostgreSQL's SSI implementation is based on the *first-committer-win* scheme.

T5:

When Tx\_A attempts to commit, PreCommit\_CheckForSerializationFailure is invoked. This function can detect serialization anomalies and can execute a commit action if possible. In this scenario, Tx\_A is committed because Tx\_B is still in progress.

T6:

When Tx B attempts to commit. PreCommit CheckForSerializationFailure detects a serialization anomaly and Tx A has already been committed; thus. Tx B is aborted.

In addition, if the UPDATE command is executed by  $Tx_B$  after  $Tx_A$  has been committed (at **T5**),  $Tx_B$  is immediately aborted because CheckTargetForConflictsIn invoked by  $Tx_B$ 's UPDATE command detects a serialization anomaly (Figure 5.16 (1)).

If the SELECT command is executed instead of COMMIT at **T6**, Tx\_B is immediately aborted because CheckTargetForConflictsOut invoked by Tx\_B's SELECT command detects a serialization anomaly (Figure 5.16 (2)).

#### Figure 5.16: Other Write-Skew scenarios



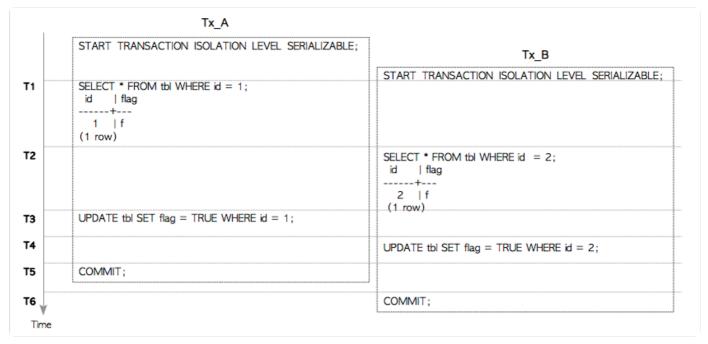
This Wiki explains several more complex anomalies.

## 5.9.4 False-positive serialization anomalies

In SERIALIZABLE mode, the serialization anomalies are never detected. However, under some circumstances, false-positive anomalies can be detected; therefore, users should keep this in mind when using SERIALIZABLE mode. In the following, the situations in which PostgreSQL detects false-positive anomalies are described.

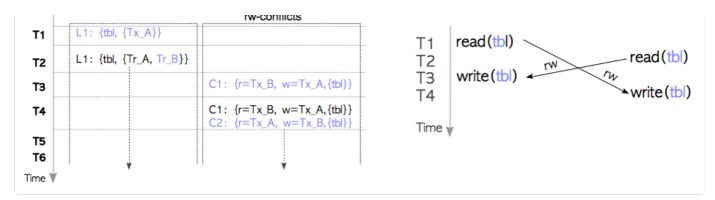
Figure 5.17 shows a scenario where false-positive serialization anomaly occurs.

Figure 5.17: Scenario where false-positive serialization anomaly occurs



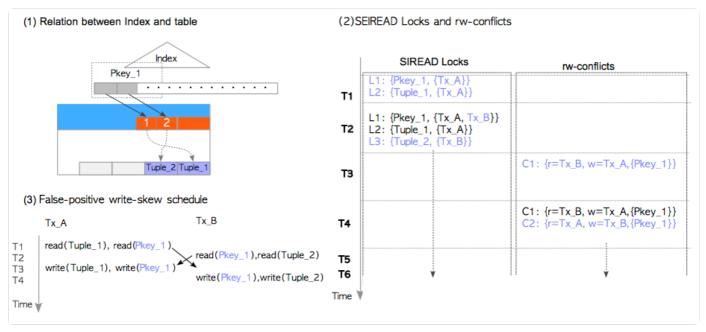
When using sequential scan, as mentioned in the explanation of SIREAD locks, PostgreSQL creates a relation level SIREAD lock. Figure 5.18 (1) shows SIREAD locks and rw-conflicts when PostgreSQL uses sequential scan. In this case, rw-conflicts C1 and C2, which are associated with the tbl's SIREAD lock, are created, and they create a cycle in the precedence graph. Thus, a false-positive Write-Skew anomaly is detected (and either Tx\_A or Tx\_B will be aborted even though there is no conflict).

Figure 5.18: False-positive anomaly (1) – Using sequential scan



Even when using index scan, if both transactions Tx\_A and Tx\_B get the same index SIREAD lock, PostgreSQL detects a false-positive anomaly. Figure 5.19 shows this situation. Assume that the index page Pkey\_1 contains two index items, one of which points to Tuple\_1 and the other points to Tuple\_2. When Tx\_A and Tx\_B execute respective SELECT and UPDATE commands, Pkey\_1 is read and written by both Tx\_A and Tx\_B. In this case, rw-conflicts C1 and C2, both of which are associated with Pkey\_1, create a cycle in the precedence graph; thus, a false-positive Write-Skew anomaly is detected. (If Tx\_A and Tx\_B get the SIREAD locks of different index pages, a false-positive is not detected and both transactions can be committed.)

Figure 5.19: False-positive anomaly (2) - Index scan using the same index page



# 5.10 Required maintenance processes

PostgreSQL's concurrency control mechanism requires the following maintenance processes.

- 1. Remove dead tuples and index tuples that point to corresponding dead tuples
- 2. Remove unnecessary parts of the clog
- 3. Freeze old txids
- 4. Update FSM, VM, and the statistics

The need for the first and second processes have been explained in Sections 5.3.2 and 5.4.3, respectively. The third process is related to the transaction id wraparound problem, which is briefly described in the following subsection.

In PostgreSQL, VACUUM processing is responsible for these processes. Vacuum processing is described in Chapter 6.

#### 5.10.1 FREEZE processing

Here, we describe the txid wraparound problem.

Assume that tuple Tuple\_1 is inserted with a txid of 100, i.e. the t\_xmin of Tuple\_1 is 100. The server has been running for a very long period and Tuple\_1 has not been modified. The current txid is 2.1 billion + 100 and a SELECT command is executed. At this time, Tuple\_1 is *visible* because txid 100 is *in the past*. Then, the same SELECT command is executed; thus, the current txid is 2.1 billion + 101. However, Tuple\_1 is *no longer visible* because txid 100 is *in the future* (Figure 5.20). This is the so called *transaction wraparound problem* in PostgreSQL.

Figure 5.20: Wraparound problem