Carnegie Mellon University

# Database Systems

Multi-Version Concurrency Control



### **ADMINISTRIVIA**

Project #3 is due Sunday Nov 17th @ 11:59pm

**Project #4** will be released this week.

Final Exam is on Friday Dec 13<sup>th</sup> @ 8:30am

 $\rightarrow$  Early exam will <u>not</u> be offered. Do <u>not</u> make travel plans.

**Spring 2025 15-445/645 TA Applications** (<u>@523</u>)



### UPCOMING DATABASE TALKS

#### **InfluxDB** (DB Seminar)

- → Monday Nov 11<sup>th</sup> @ 4:30pm
- $\rightarrow$  Zoom



#### **Camille Fournier** (SCS'02)

- → Distinguished Alumni Talk
- → Thursday Nov 14<sup>th</sup> @ 4:30pm
- → GHC 4401

## JPMORGAN CHASE & CO.

#### **GlareDB** (DB Seminar)

- → Monday Nov 18<sup>th</sup> @ 4:30pm
- $\rightarrow$  Zoom





### LAST CLASS

We discussed concurrency control protocols for generating conflict serializable schedules without needing to know what queries a txn will execute.

The two-phase locking (2PL) protocol requires txns to acquire locks on database objects before they are allowed to access them.



### MULTI-VERSION CONCURRENCY CONTROL

The DBMS maintains multiple **physical** versions of a single **logical** object in the database:

- → When a txn writes to an object, the DBMS creates a new version of that object.
- → When a txn reads an object, it reads the newest version that existed when the txn started.

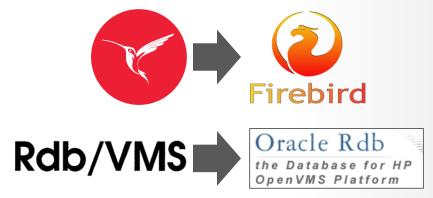


### MVCC HISTORY

Protocol was first proposed in 1978 MIT PhD dissertation.

First implementations was Rdb/VMS and InterBase at DEC in early 1980s.

- → Both were by <u>Jim Starkey</u>, co-founder of NuoDB.
- → DEC Rdb/VMS is now "Oracle Rdb".
- → <u>InterBase</u> was open-sourced as <u>Firebird</u>.





### MULTI-VERSION CONCURRENCY CONTROL

核心要点

Writers do <u>not</u> block readers. Readers do <u>not</u> block writers.

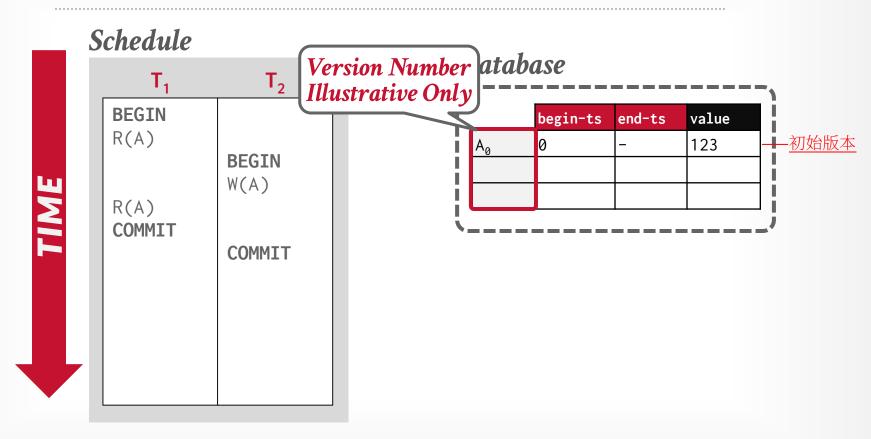
Read-only txns can read a consistent <u>snapshot</u> —致性快照 without acquiring locks.

- → Use timestamps to determine visibility.
- → MVCC naturally supports Snapshot Isolation (SI). 快照隔离

Multi-versioning without garbage collection allows the DBMS to support <u>time-travel</u> queries.

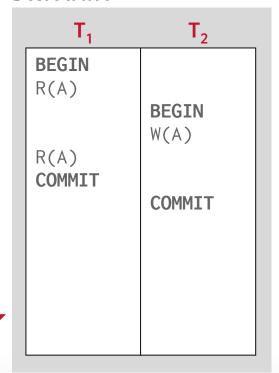
没有垃圾回收机制,从而支持数据的时间旅行查询,但会占据较大存储空间。

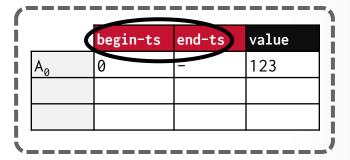




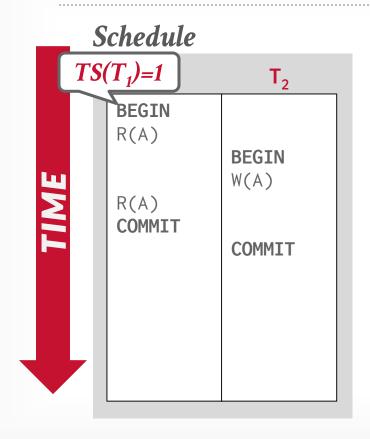


#### Schedule



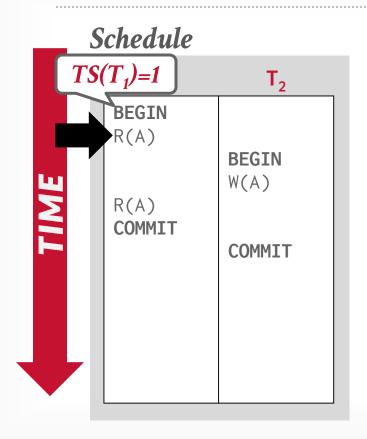






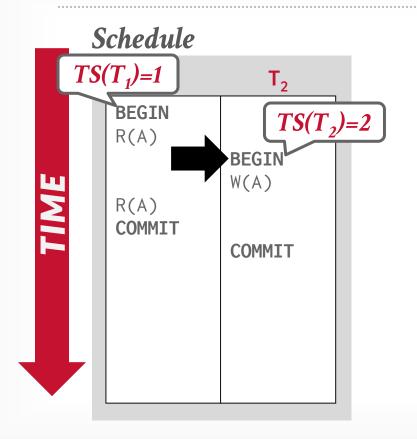
|         | begin-ts | end-ts | value |
|---------|----------|--------|-------|
| $A_{0}$ | 0        | _      | 123   |
|         |          |        |       |
|         |          |        |       |





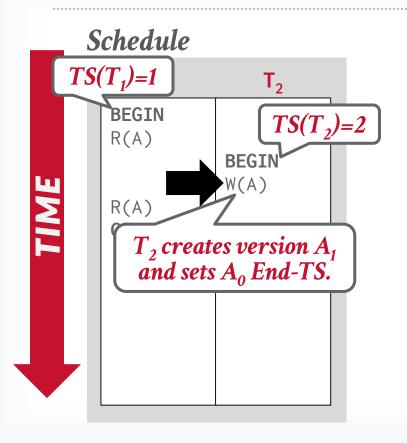
|     | <u></u>        |          |        |       |   |
|-----|----------------|----------|--------|-------|---|
| - 1 |                | begin-ts | end-ts | value |   |
|     | A <sub>0</sub> | 0        | _      | 123   | į |
| ľ   |                |          |        |       |   |
| ij  |                |          |        |       |   |
|     |                |          |        |       |   |





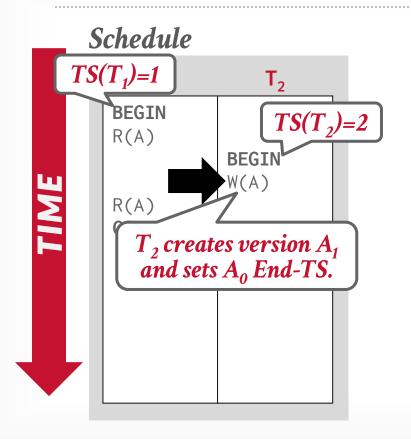
|       | begin-ts | end-ts | value |
|-------|----------|--------|-------|
| $A_0$ | 0        | _      | 123   |
|       |          |        |       |
|       |          |        |       |
|       |          |        |       |





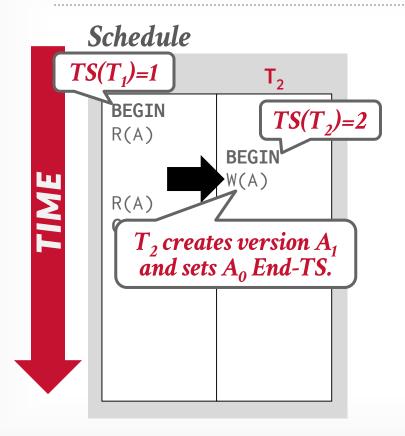
|                       | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| $A_0$                 | 0        | _      | 123   |
| <b>A</b> <sub>1</sub> | 2        | -      | 456   |
|                       |          |        |       |





|                | begin-ts | end-ts | value |
|----------------|----------|--------|-------|
| $A_0$          | 0        | 2      | 123   |
| A <sub>1</sub> | 2        | -      | 456   |
|                |          |        |       |



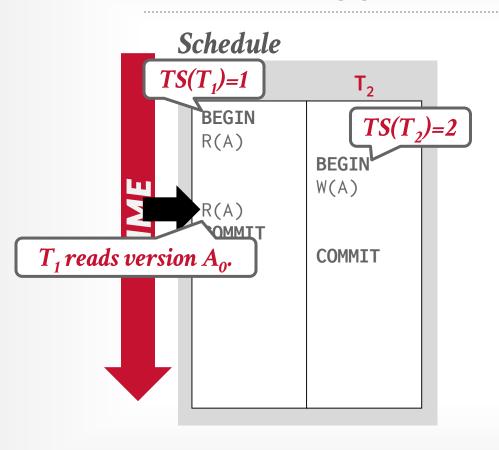


#### **Database**

|                       | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| A <sub>0</sub>        | 0        | 2      | 123   |
| <b>A</b> <sub>1</sub> | 2        | -      | 456   |
|                       |          |        |       |

| txnid | timestamp | status |
|-------|-----------|--------|
| $T_1$ | 1         | Active |
| $T_2$ | 2         | Active |
|       |           |        |



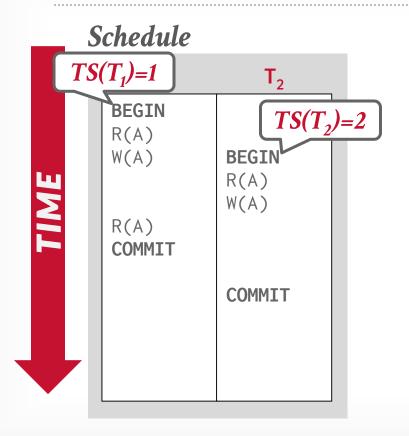


#### **Database**

| !                     | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| $A_{0}$               | 0        | 2      | 123   |
| <b>A</b> <sub>1</sub> | 2        | -      | 456   |
| i                     |          |        |       |

| txnid | timestamp | status |
|-------|-----------|--------|
| $T_1$ | 1         | Active |
| $T_2$ | 2         | Active |
|       |           |        |



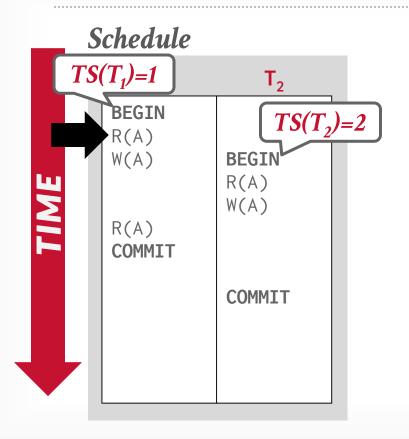


#### **Database**

| _              | begin-ts | end-ts | value |
|----------------|----------|--------|-------|
| A <sub>0</sub> | 0        | _      | 123   |
|                |          |        |       |
|                |          |        |       |

| txnid          | timestamp | status |
|----------------|-----------|--------|
| T <sub>1</sub> | 1         | Active |
|                |           |        |
|                |           |        |



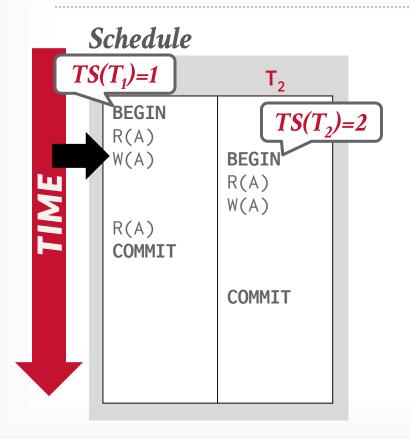


#### **Database**

|    |       | begin-ts | end-ts | value |
|----|-------|----------|--------|-------|
|    | $A_0$ | 0        | _      | 123   |
| 1  |       |          |        |       |
| į. |       |          |        |       |

| txnid          | timestamp | status |
|----------------|-----------|--------|
| T <sub>1</sub> | 1         | Active |
|                |           |        |
|                |           |        |
|                |           |        |



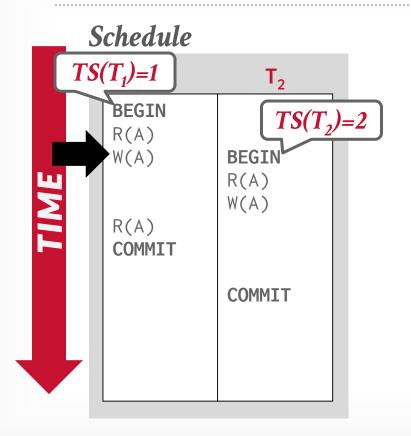


#### **Database**

|                       | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| $A_0$                 | 0        | _      | 123   |
| <b>A</b> <sub>1</sub> | 1        | _      | 456   |
|                       |          |        |       |

| txnid          | timestamp | status |
|----------------|-----------|--------|
| T <sub>1</sub> | 1         | Active |
|                |           |        |
|                |           |        |



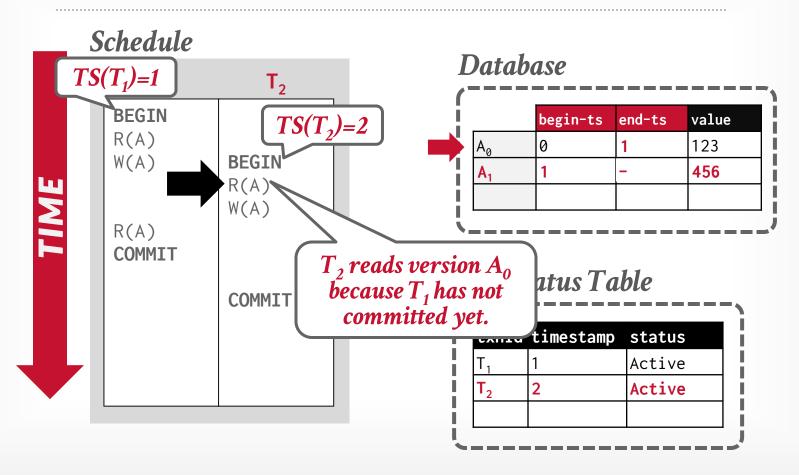


#### **Database**

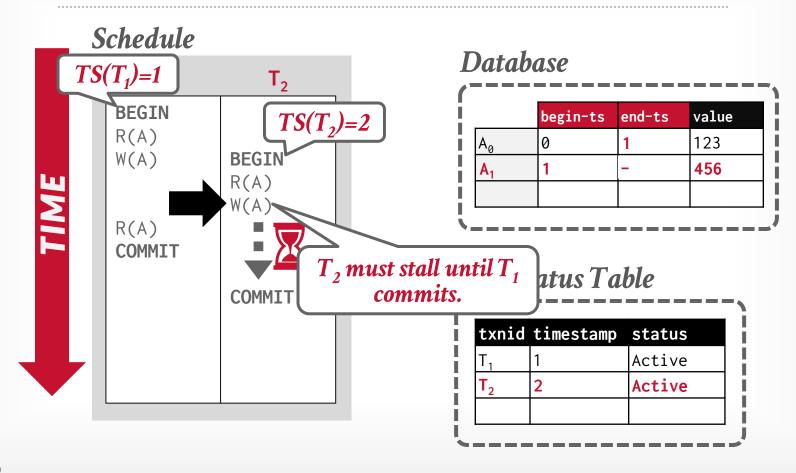
|                       | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| $A_0$                 | 0        | 1      | 123   |
| <b>A</b> <sub>1</sub> | 1        | -      | 456   |
|                       |          |        |       |

| txnid          | timestamp | status |
|----------------|-----------|--------|
| T <sub>1</sub> | 1         | Active |
|                |           |        |
|                |           |        |
|                |           |        |

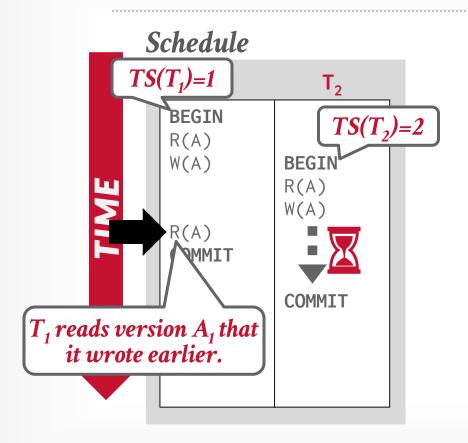










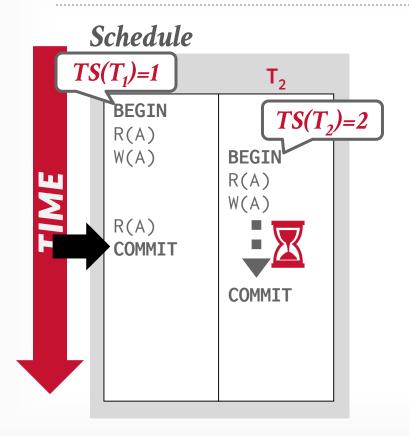


#### **Database**

| !                     | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| $A_{0}$               | 0        | 1      | 123   |
| <b>A</b> <sub>1</sub> | 1        | _      | 456   |
| i 📉                   |          |        |       |

| txnid          | timestamp | status |
|----------------|-----------|--------|
| T <sub>1</sub> | 1         | Active |
| T <sub>2</sub> | 2         | Active |
|                |           |        |



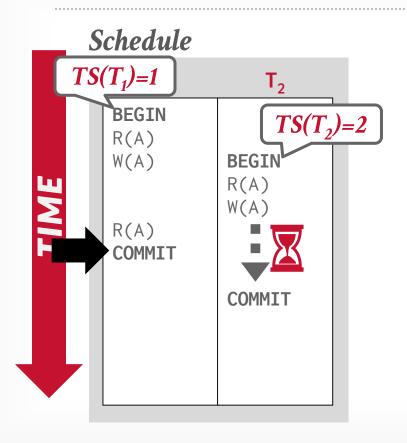


#### **Database**

|                       | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| $A_{0}$               | 0        | 1      | 123   |
| <b>A</b> <sub>1</sub> | 1        | _      | 456   |
|                       |          |        |       |

| txnid          | timestamp | status |
|----------------|-----------|--------|
| T <sub>1</sub> | 1         | Active |
| T <sub>2</sub> | 2         | Active |
|                |           |        |





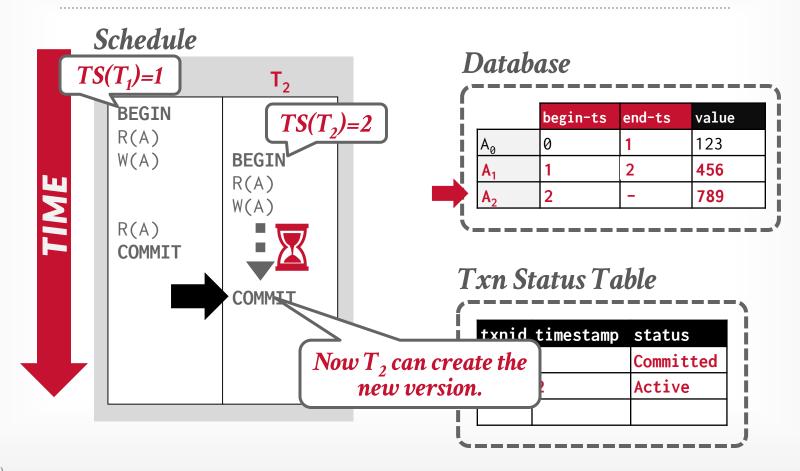
根据时间戳和事务状态码决定对象的可见性。

#### **Database**

|                       | begin-ts | end-ts | value |
|-----------------------|----------|--------|-------|
| A <sub>0</sub>        | 0        | 1      | 123   |
| <b>A</b> <sub>1</sub> | 1        | _      | 456   |
|                       |          |        |       |

| txnid          | timestamp | status    |
|----------------|-----------|-----------|
| T <sub>1</sub> | 1         | Committed |
| T <sub>2</sub> | 2         | Active    |
|                |           |           |







### SNAPSHOT ISOLATION (SI)

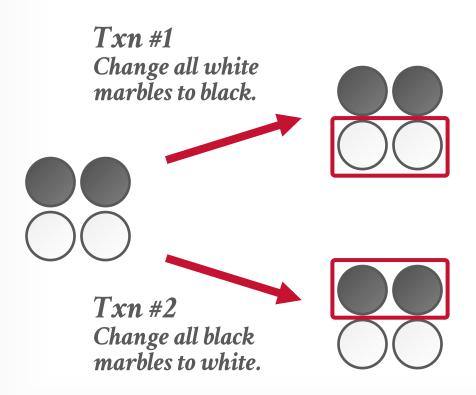
When a txn starts, it sees a <u>consistent</u> snapshot of the database that existed when that the txn started.

- $\rightarrow$  No torn writes from active txns.
- $\rightarrow$  If two txns update the same object, then first writer wins.

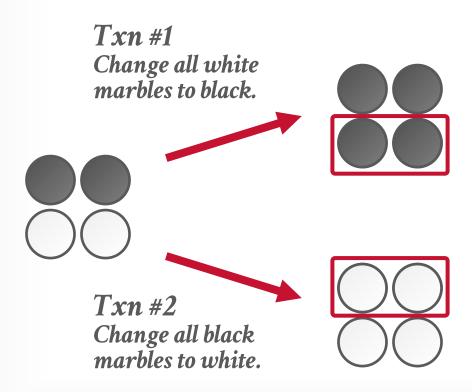
SI is susceptible to the **Write Skew Anomaly**.

SI 容易受到写入倾斜的影响,因此 SI 不支持串行化。

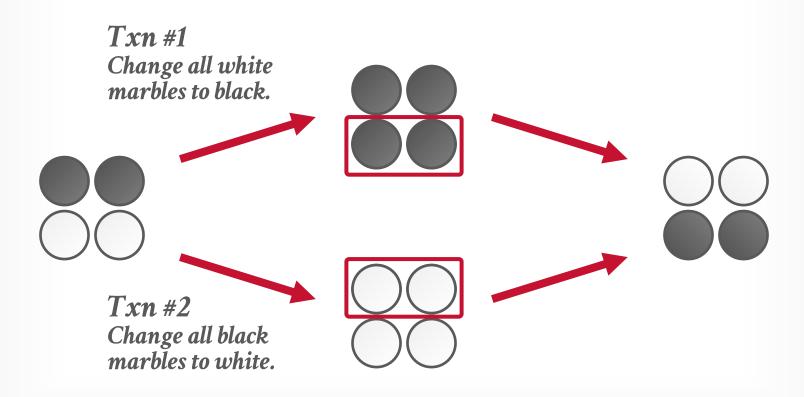




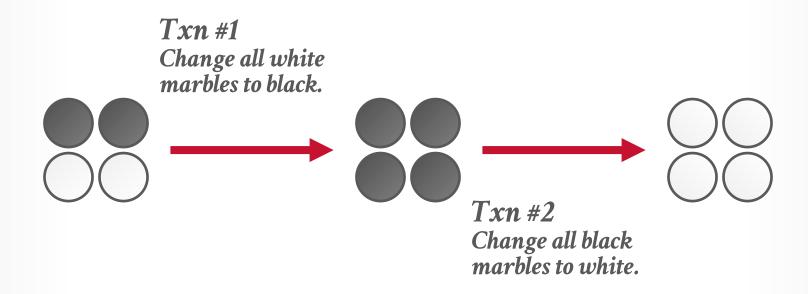














### MULTI-VERSION CONCURRENCY CONTROL

MVCC is more than just a concurrency control protocol. It completely affects how the DBMS manages transactions and the database.



### MVCC DESIGN DECISIONS

Concurrency Control Protocol

Version Storage

Garbage Collection

Index Management

Deletes



### CONCURRENCY CONTROL PROTOCOL

#### **Approach #1: Timestamp Ordering**

 $\rightarrow$  Assign txns timestamps that determine serial order.

#### **Approach #2: Optimistic Concurrency Control**

- $\rightarrow$  Three-phase protocol from last class.
- → Use private workspace for new versions.

#### Approach #3: Two-Phase Locking

→ Txns acquire appropriate lock on physical version before they can read/write a logical tuple.



### **VERSION STORAGE**

The DBMS uses the tuples' pointer field to create a **version chain** per logical tuple.

- → This allows the DBMS to find the version that is visible to a particular txn at runtime.
- → Indexes always point to the "head" of the chain.

Different storage schemes determine where/what to store for each version.



### **VERSION STORAGE**



#### Approach #1: Append-Only Storage

#### **Approach #2: Time-Travel Storage**

→ Old versions are copied to separate table space. 旧版本将存储在独立的表空间,便于时间旅行。

#### Approach #3: Delta Storage

→ The original values of the modified attributes are copied into a separate delta record space.

增量日志仅存储需要修改的版本数据。



All the physical versions of a logical tuple are stored in the same table space. The versions are inter-mixed.

On every update, append a new version of the tuple into an empty space in the table.

|                       | value | pointer |          |
|-----------------------|-------|---------|----------|
| A <sub>0</sub>        | \$111 | •       |          |
| <b>A</b> <sub>1</sub> | \$222 | Ø       | <b>←</b> |
| B <sub>1</sub>        | \$10  | Ø       |          |
|                       |       |         |          |



All the physical versions of a logical tuple are stored in the same table space. The versions are inter-mixed.

On every update, append a new version of the tuple into an empty space in the table.

|                       | value | pointer |          |
|-----------------------|-------|---------|----------|
| $A_{\emptyset}$       | \$111 | •       |          |
| <b>A</b> <sub>1</sub> | \$222 | Ø       | <b>—</b> |
| B <sub>1</sub>        | \$10  | Ø       |          |
| $A_2$                 | \$333 | Ø       |          |



All the physical versions of a logical tuple are stored in the same table space. The versions are inter-mixed.

On every update, append a new version of the tuple into an empty space in the table.

|                       | value | pointer |
|-----------------------|-------|---------|
| $A_{\emptyset}$       | \$111 | •       |
| <b>A</b> <sub>1</sub> | \$222 | Ø       |
| B <sub>1</sub>        | \$10  | Ø       |
| $A_2$                 | \$333 | Ø       |



All the physical versions of a logical tuple are stored in the same table space. The versions are inter-mixed.

On every update, append a new version of the tuple into an empty space in the table.

|                       | value | pointer |          |
|-----------------------|-------|---------|----------|
| A <sub>0</sub>        | \$111 | •       |          |
| <b>A</b> <sub>1</sub> | \$222 | •       |          |
| B <sub>1</sub>        | \$10  | Ø       |          |
| $A_2$                 | \$333 | Ø       | <b>—</b> |



# VERSION CHAIN ORDERING

## Approach #1: Oldest-to-Newest (O2N)

- → Append new version to end of the chain.
- → Must traverse chain on look-ups.

## Approach #2: Newest-to-Oldest (N2O)

- $\rightarrow$  Must update index pointers for every new version. 缺点
- $\rightarrow$  Do not have to traverse chain on look-ups.
- → This is typically the better approach because most txns only care about the newest version.



# Main Table value pointer A2 \$222 B1 \$10

On every update, copy the current version to the time-travel table. Update pointers.

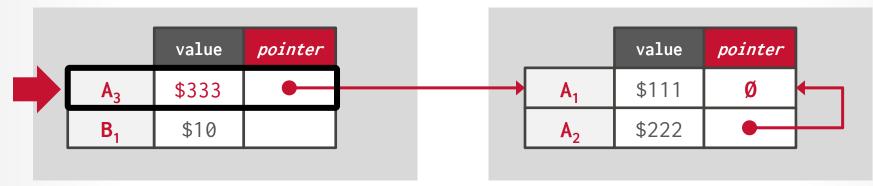


# Main Table Time-Travel Table Value pointer A2 \$222 B1 \$10 Time-Travel Table Value pointer A1 \$111 Ø A2 \$222

On every update, copy the current version to the time-travel table. Update pointers.



#### Main Table



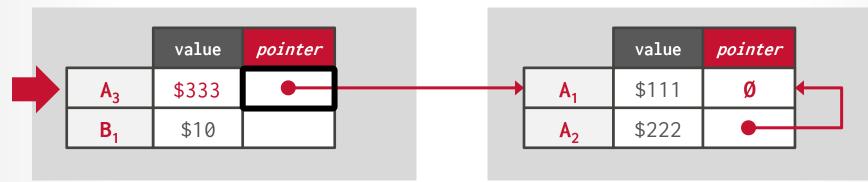
On every update, copy the current version to the time-travel table. Update pointers.

Overwrite master version in the main table and update pointers.

Time-Travel Table



#### Main Table



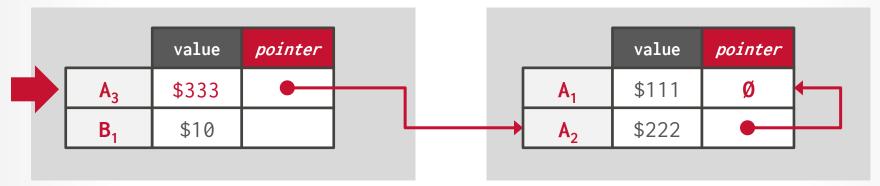
On every update, copy the current version to the time-travel table. Update pointers.

Overwrite master version in the main table and update pointers.

Time-Travel Table



#### Main Table



On every update, copy the current version to the time-travel table. Update pointers.

Overwrite master version in the main table and update pointers.

Time-Travel Table



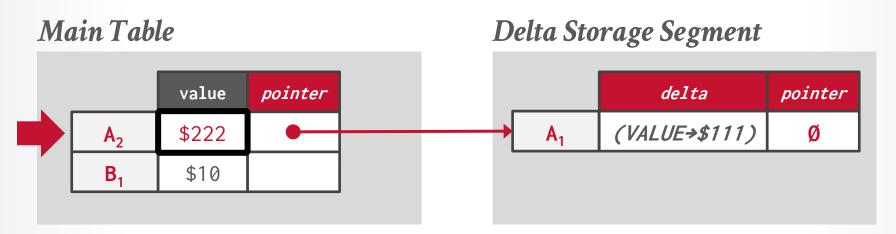
#### Main Table

|   |                       | value | pointer |
|---|-----------------------|-------|---------|
|   | <b>A</b> <sub>1</sub> | \$111 |         |
|   | B <sub>1</sub>        | \$10  |         |
| · |                       |       |         |

On every update, copy only the column values that were modified to the delta storage and overwrite the master version.

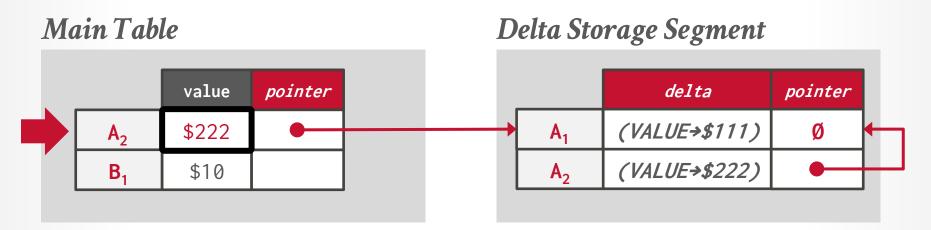
## Delta Storage Segment





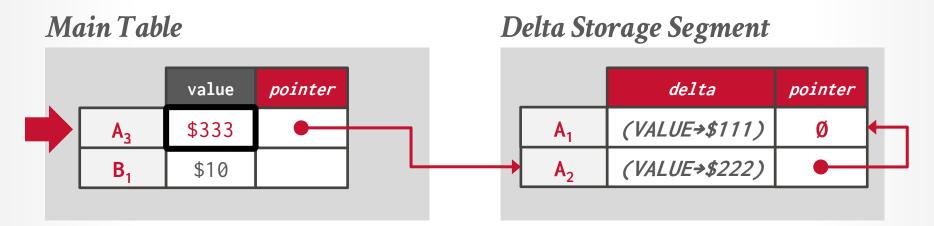
On every update, copy only the column values that were modified to the delta storage and overwrite the master version.





On every update, copy only the column values that were modified to the delta storage and overwrite the master version.

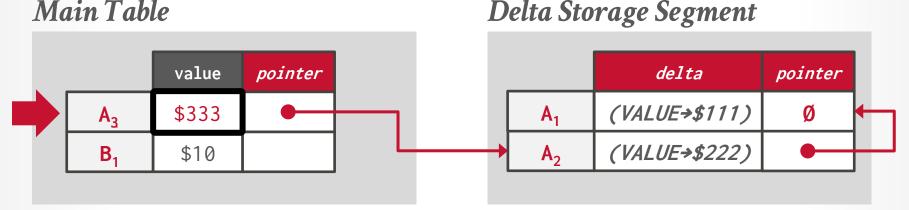




On every update, copy only the column values that were modified to the delta storage and overwrite the master version.



#### Main Table



On every update, copy only the column values that were modified to the delta storage and overwrite the master version.

Txns can recreate old versions by applying the delta in reverse order.



# GARBAGE COLLECTION

The DBMS needs to remove <u>reclaimable</u> physical versions from the database over time.

- $\rightarrow$  No active txn in the DBMS can "see" that version (SI).
- $\rightarrow$  The version was created by an aborted txn.

#### Two additional design decisions:

- → How to look for expired versions?
- $\rightarrow$  How to decide when it is safe to reclaim memory?



## GARBAGE COLLECTION

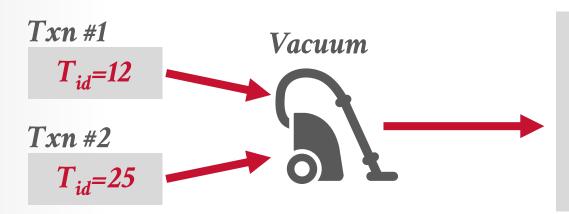
## Approach #1: Tuple-level

- $\rightarrow$  Find old versions by examining tuples directly.
- → Background Vacuuming vs. Cooperative Cleaning 专有的后台工作线程执行清理操作 扫描数据的同时进行清理

## Approach #2: Transaction-level

→ Txns keep track of their old versions so the DBMS does not have to scan tuples to determine visibility.



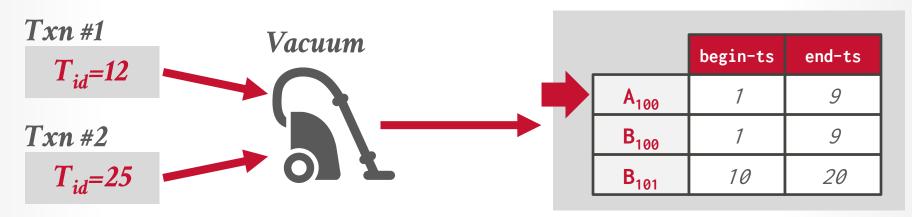


|                  | begin-ts | end-ts |
|------------------|----------|--------|
| A <sub>100</sub> | 1        | 9      |
| B <sub>100</sub> | 1        | 9      |
| B <sub>101</sub> | 10       | 20     |

### **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.

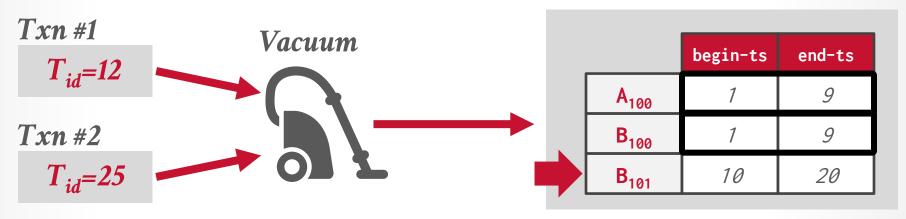




#### **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.



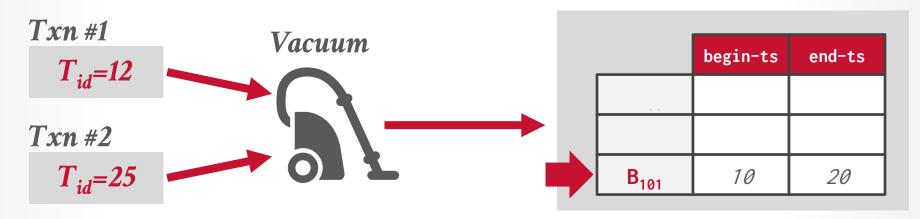


### **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.

根据开始和结束时间戳决定数据版本对 当前活跃事务是否可见,若不可见则执行删除 操作。

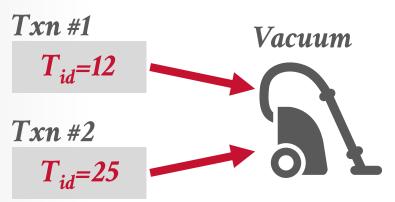




## **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.





# Background Vacuuming:

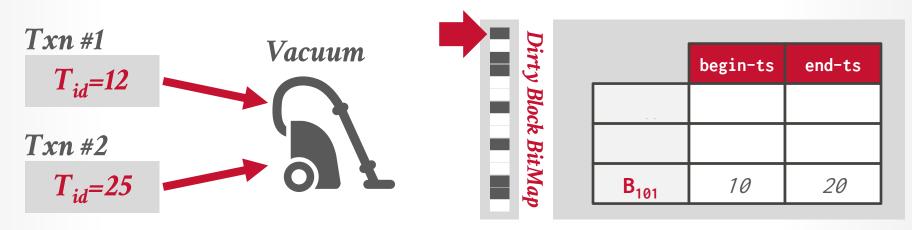
Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.

| 7     |
|-------|
| 7     |
| 6     |
| B     |
| Block |
| 6     |
| 3it   |
|       |
|       |
| 9     |
|       |

|                  | begin-ts | end-ts |
|------------------|----------|--------|
|                  |          |        |
|                  |          |        |
| B <sub>101</sub> | 10       | 20     |

为了提高后台线程执行垃圾回收扫描的效率,可以引入 bitmap 表示某个页是否被修改,若修改则将对应的位 设置为 1。

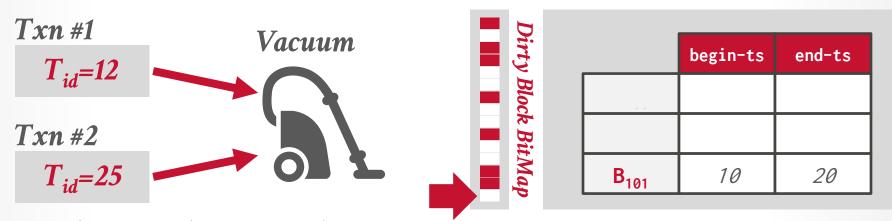
当后台工作线程被唤醒后,根据脏位图中标记的页面修改情况,扫描对应页面中可以批量回收的数据版本,从而释放空间。



## **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.

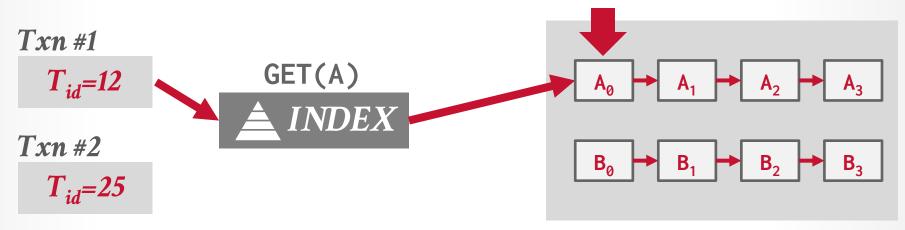




## **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.





### **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.

### **Cooperative Cleaning:**





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### **Cooperative Cleaning:**



### **Background Vacuuming:**

Separate thread(s) periodically scan the table and look for reclaimable versions. Works with any storage.

#### **Cooperative Cleaning:**



Each txn keeps track of its read/write set.

On commit/abort, the txn provides this information to a centralized vacuum worker.

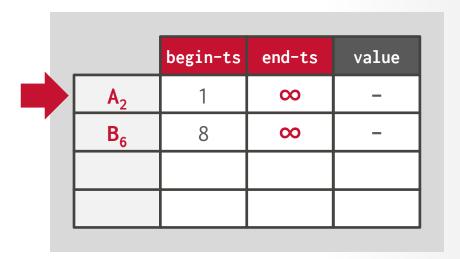
The DBMS periodically determines when all versions created by a finished txn are no longer visible.



Txn #1

**BEGIN @ 10** 

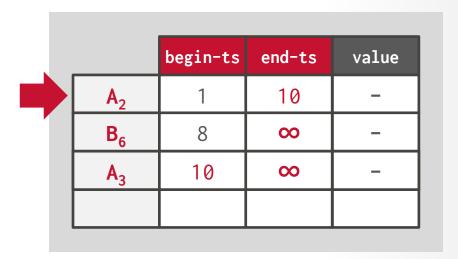


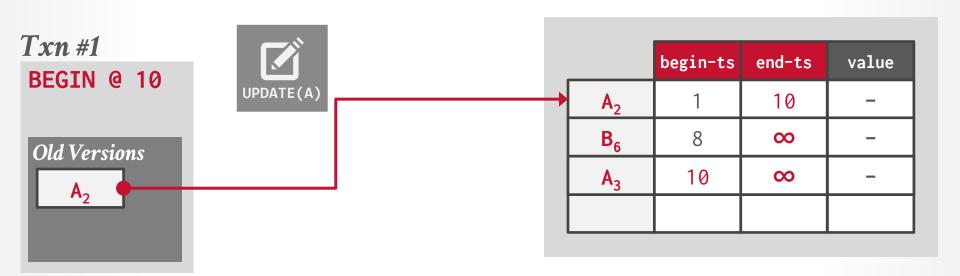


Txn #1

**BEGIN @ 10** 



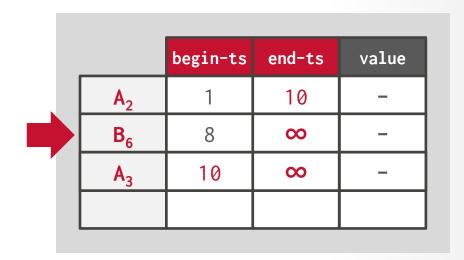






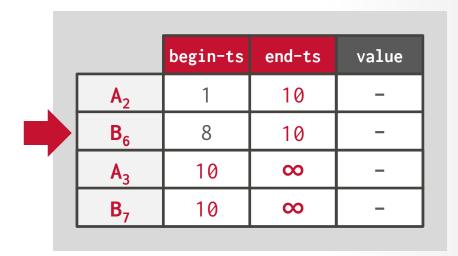


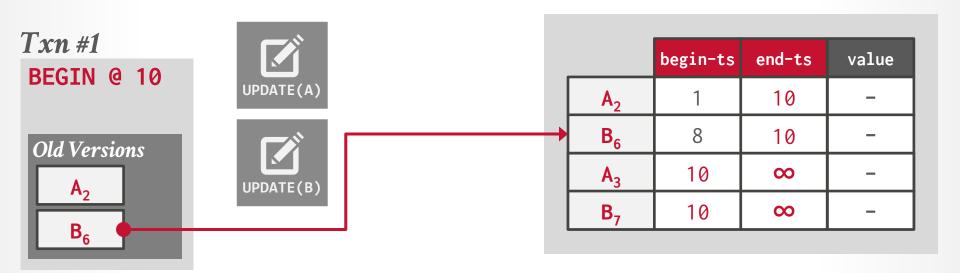














#### Txn #1







|                | begin-ts | end-ts | value |
|----------------|----------|--------|-------|
| A <sub>2</sub> | 1        | 10     | -     |
| B <sub>6</sub> | 8        | 10     | -     |
| $A_3$          | 10       | 00     | -     |
| B <sub>7</sub> | 10       | 00     | _     |



## TRANSACTION-LEVEL GC

#### Txn #1

BEGIN @ 10 COMMIT @ 15

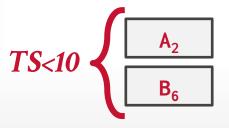
Old Versions





|                | begin-ts | end-ts   | value |
|----------------|----------|----------|-------|
| A <sub>2</sub> | 1        | 10       | -     |
| B <sub>6</sub> | 8        | 10       | -     |
| $A_3$          | 10       | 00       | -     |
| B <sub>7</sub> | 10       | <b>∞</b> | -     |

#### Vacuum







#### INDEX MANAGEMENT

Primary key indexes point to version chain head.

- → How often the DBMS must update the pkey index depends on whether the system creates new versions when a tuple is updated.
- → If a txn updates a tuple's pkey attribute(s), then this is treated as a **DELETE** followed by an **INSERT**. 先删除后插入

Secondary indexes are more complicated...



UBER Engineering

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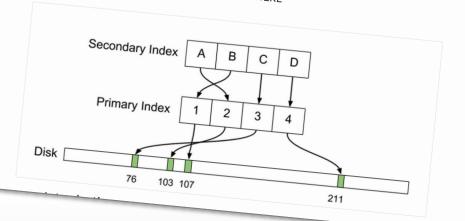
Primary key in

- → How often the on whether the is updated.
- → If a txn update treated as a D

Secondary in

# WHY UBER ENGINEERING SWITCHED FROM POSTGRES TO MYSQL

BY EVAN KLITZKE



## SECONDARY INDEXES

#### **Approach #1: Logical Pointers**

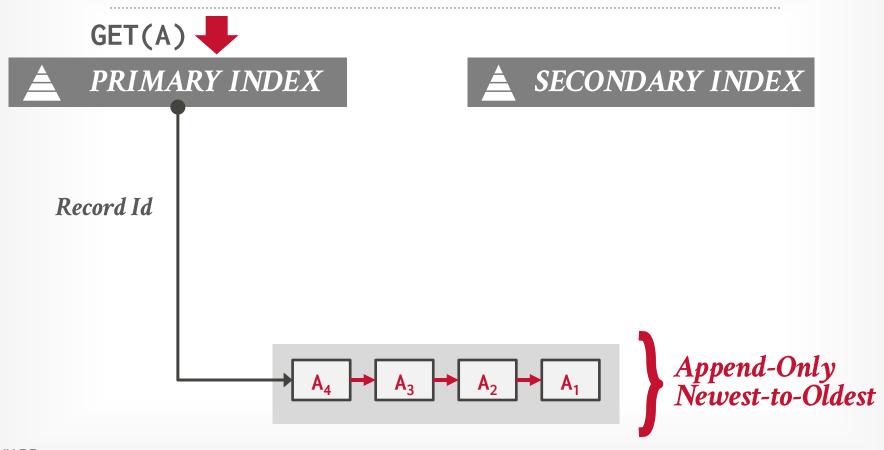
- $\rightarrow$  Use a fixed identifier per tuple that does not change.
- $\rightarrow$  Requires an extra indirection layer.
- → Primary Key vs. Tuple Id

  MySQL 的二级索引(非聚簇索引)存储的是主键索引,然后通过 PKey 查找实际数据位置。

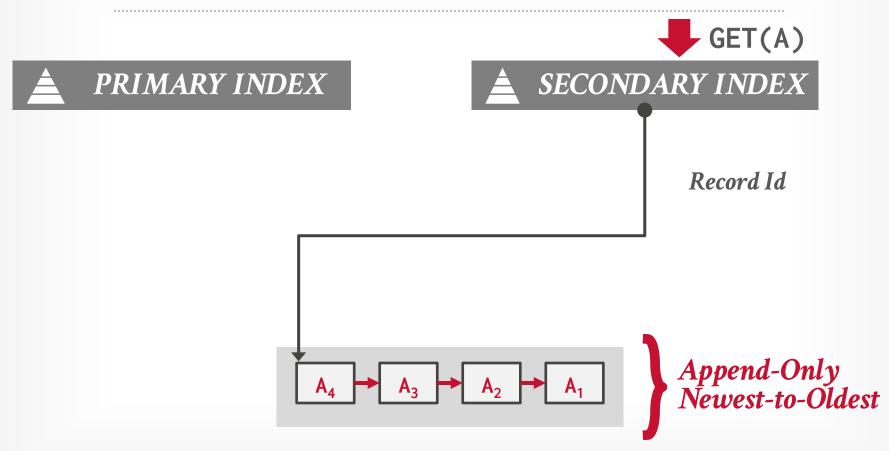
#### **Approach #2: Physical Pointers**

 $\rightarrow$  Use the physical address to the version chain head.

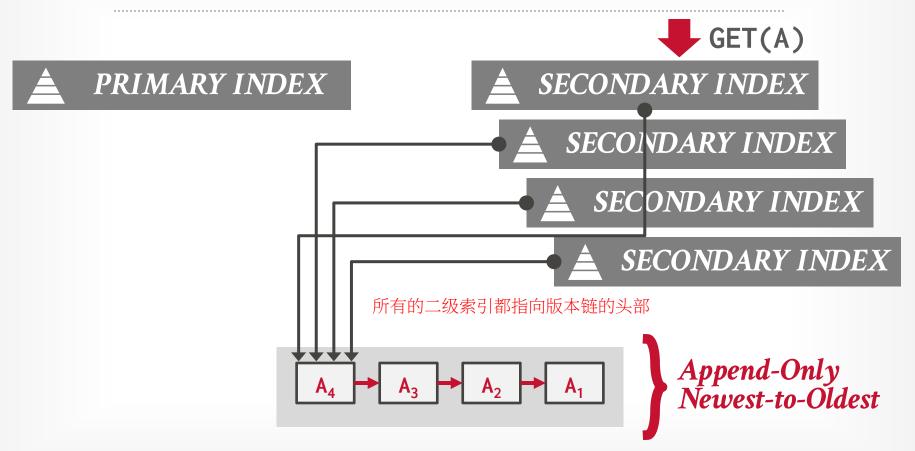




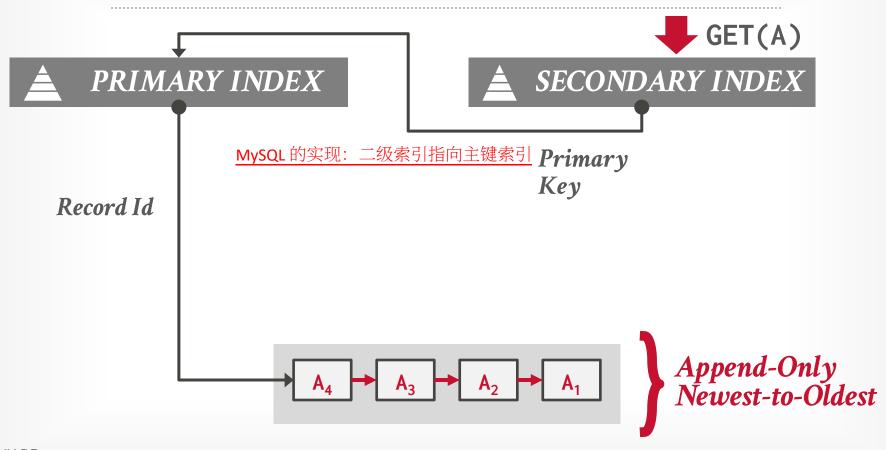














## MVCC INDEXES

MVCC DBMS indexes (usually) do not store version information about tuples with their keys.

→ Exception: Index-organized tables (e.g., MySQL)

Every index must support duplicate keys from different snapshots:

→ The same key may point to different logical tuples in different snapshots.



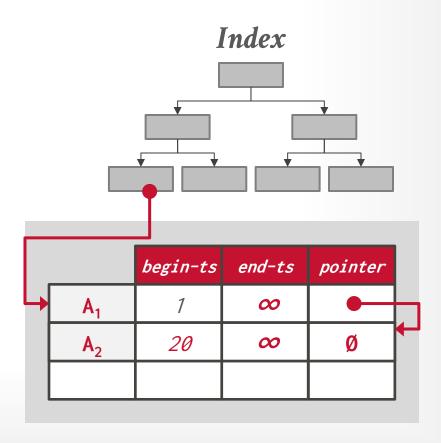
#### Txn #1

**BEGIN @ 10** 



Txn #2







Txn #1

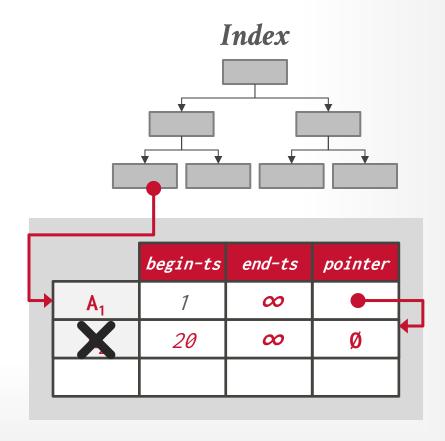
**BEGIN @ 10** 



Txn #2









Txn #1

**BEGIN @ 10** 



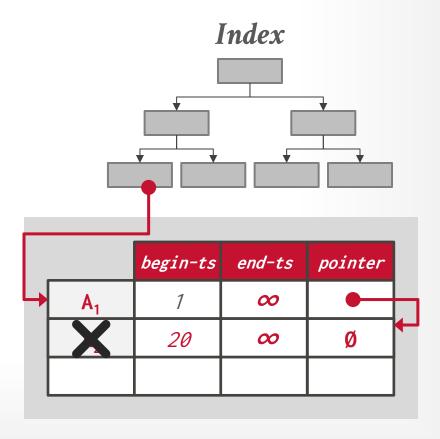
Txn #2

**BEGIN @ 20** 

COMMIT @ 25









Txn #1

**BEGIN @ 10** 



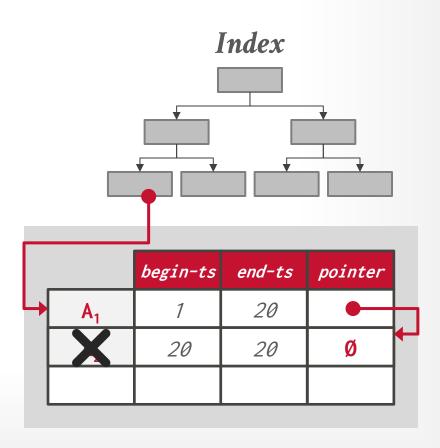
Txn #2

**BEGIN @ 20** 

COMMIT @ 25









Txn #1

**BEGIN @ 10** 



Txn #2

**BEGIN @ 20** 

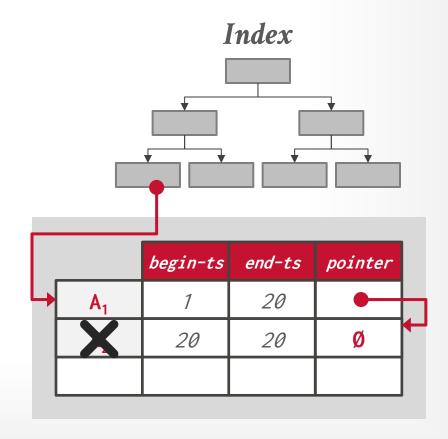
COMMIT @ 25





Txn #3







Txn #1

**BEGIN @ 10** 



Txn #2

**BEGIN @ 20** 

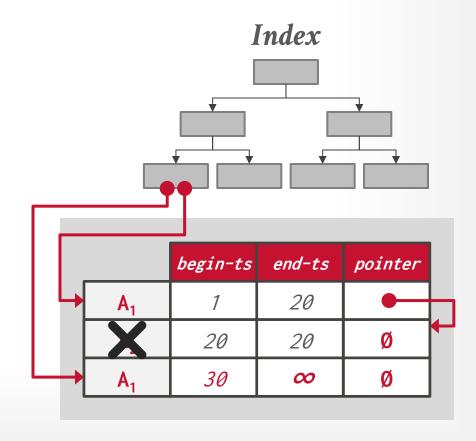
COMMIT @ 25





Txn #3







Txn #1

**BEGIN @ 10** 





Txn #2

**BEGIN @ 20** 

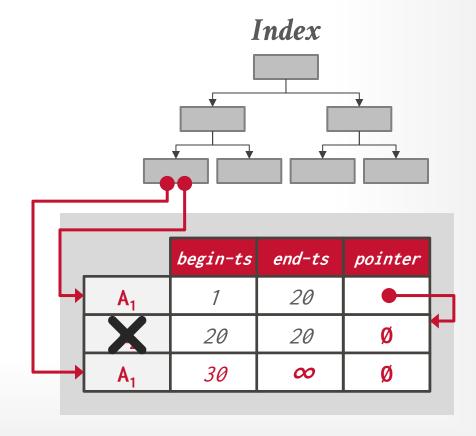
COMMIT @ 25





Txn #3







## MVCC INDEXES

Each index's underlying data structure must support the storage of non-unique keys.

Use additional execution logic to perform conditional inserts for pkey / unique indexes.

→ Atomically check whether the key exists and then insert.

Workers may get back multiple entries for a single fetch. They then must follow the pointers to find the proper physical version.



## MVCC DELETES

The DBMS <u>physically</u> deletes a tuple from the database only when all versions of a <u>logically</u> deleted tuple are not visible.

- → If a tuple is deleted, then there cannot be a new version of that tuple after the newest version.
- → No write-write conflicts / first-writer wins

We need a way to denote that tuple has been logically delete at some point in time.



## MVCC DELETES

#### Approach #1: Deleted Flag

- → Maintain a flag to indicate that the logical tuple has been deleted after the newest physical version.
- $\rightarrow$  Can either be in tuple header or a separate column.

#### Approach #2: Tombstone Tuple

- → Create an empty physical version to indicate that a logical tuple is deleted.
- → Use a separate pool for tombstone tuples with only a special bit pattern in version chain pointer to reduce the storage overhead.



# MVCC IMPLEMENTATIONS

|               | Protocol     | Version Storage | Garbage Collection | Indexes  |
|---------------|--------------|-----------------|--------------------|----------|
| Oracle        | MV2PL        | Delta           | Vacuum             | Logical  |
| Postgres      | MV-2PL/MV-TO | Append-Only     | Vacuum             | Physical |
| MySQL-InnoDB  | MV-2PL       | Delta           | Vacuum             | Logical  |
| HYRISE        | MV-OCC       | Append-Only     | -                  | Physical |
| Hekaton       | MV-OCC       | Append-Only     | Cooperative        | Physical |
| MemSQL (2015) | MV-OCC       | Append-Only     | Vacuum             | Physical |
| SAP HANA      | MV-2PL       | Time-travel     | Hybrid             | Logical  |
| NuoDB         | MV-2PL       | Append-Only     | Vacuum             | Logical  |
| HyPer         | MV-OCC       | Delta           | Txn-level          | Logical  |
| CockroachDB   | MV-2PL       | Delta (LSM)     | Compaction         | Logical  |



## CONCLUSION

MVCC is the widely used scheme in DBMSs. Even systems that do not support multi-statement txns (e.g., NoSQL) use it.



## **NEXT CLASS**

Logging and recovery!

