Chapter 18

Concurrency Control Techniques
Database Concurrency Control

1 Purpose of Concurrency Control
- To enforce Isolation (through mutual exclusion) among conflicting transactions.
- To preserve database consistency through consistency preserving execution of transactions.
- To resolve read-write and write-write conflicts.

Example:
- In concurrent execution environment if T1 conflicts with T2 over a data item A, then the existing concurrency control decides if T1 or T2 should get the A and if the other transaction is rolled-back or waits.
Chapter 18 Outline

- Databases Concurrency Control
  1. Purpose of Concurrency Control
  2. Two-Phase locking
  3. Limitations of CCMs
  4. Index Locking
  5. Lock Compatibility Matrix
  6. Lock Granularity
Two-Phase Locking Techniques

- Locking is an operation which secures
  - (a) permission to Read
  - (b) permission to Write a data item for a transaction.
- Example:
  - Lock (X). Data item X is locked in behalf of the requesting transaction.
- Unlocking is an operation which removes these permissions from the data item.
- Example:
  - Unlock (X): Data item X is made available to all other transactions.
- Lock and Unlock are Atomic operations.
Database Concurrency Control

Two-Phase Locking Techniques: Essential components

- Two locks modes:
  - (a) shared (read)
  - (b) exclusive (write).
- Shared mode: shared lock (X)
  - More than one transaction can apply share lock on X for reading its value but no write lock can be applied on X by any other transaction.
- Exclusive mode: Write lock (X)
  - Only one write lock on X can exist at any time and no shared lock can be applied by any other transaction on X.
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Two-Phase Locking Techniques: Essential components

- Lock Manager:
  - Managing locks on data items.

- Lock table:
  - Lock manager uses it to store the identify of transaction locking a data item, the data item, lock mode and pointer to the next data item locked. One simple way to implement a lock table is through linked list.

<table>
<thead>
<tr>
<th>Trans ID</th>
<th>Data Item</th>
<th>Lock Mode</th>
<th>Ptr to Queue of Trans waiting for this item</th>
</tr>
</thead>
<tbody>
<tr>
<td>T1</td>
<td>X1</td>
<td>Read</td>
<td>Queue</td>
</tr>
</tbody>
</table>
Two-Phase Locking Techniques: Essential components

- The following code performs the lock operation:

```plaintext
B: if LOCK (X) = 0 (*item is unlocked*)
then LOCK (X) ← 1 (*lock the item*)
else begin
    wait (until lock (X) = 0) and
    the lock manager wakes up the transaction);
    goto B
end;
```
**Database Concurrency Control**

Two-Phase Locking Techniques: Essential components

- The following code performs the unlock operation:

```
LOCK (X) ← 0 (*unlock the item*)
if any transactions are waiting then
    wake up one of the waiting the transactions;
```
Two-Phase Locking Techniques: Essential components

- The following code performs the read operation:

```cpp
B: if LOCK (X) = “unlocked” then
begin LOCK (X) ← “read-locked”;
   no_of_reads (X) ← 1;
end
else if LOCK (X) ← “read-locked” then
   no_of_reads (X) ← no_of_reads (X) +1
else begin wait (until LOCK (X) = “unlocked” and
                 the lock manager wakes up the transaction);
           go to B
end;
```
Two-Phase Locking Techniques: Essential components

- The following code performs the write lock operation:

B: if LOCK (X) = “unlocked” then
    begin LOCK (X) ← “read-locked”;
    no_of_reads (X) ← 1;
    end
else if LOCK (X) ← “read-locked” then
    no_of_reads (X) ← no_of_reads (X) +1
else begin wait (until LOCK (X) = “unlocked” and
    the lock manager wakes up the transaction);
    go to B
    end;
**Database Concurrency Control**

Two-Phase Locking Techniques: Essential components

- The following code performs the unlock operation:

```plaintext
if LOCK (X) = "write-locked" then
  begin LOCK (X) ← "unlocked";
    wakes up one of the transactions, if any
  end
else if LOCK (X) ← "read-locked" then
  begin
    no_of_reads (X) ← no_of_reads (X) -1
    if no_of_reads (X) = 0 then
      begin
        LOCK (X) = "unlocked";
        wake up one of the transactions, if any
      end
  end;
```
Database Concurrency Control

Two-Phase Locking Techniques: Essential components

- **Lock conversion**
  - **Lock upgrade:** existing read lock to write lock
    - If Ti has a read-lock (X) and Tj has no read-lock (X) \((i \neq j)\) then
      - Convert read-lock (X) to write-lock (X)
    - Else
      - Force Ti to wait until Tj unlocks X

- **Lock downgrade:** existing write lock to read lock
  - Ti has a write-lock (X) (*no transaction can have any lock on X*)
    - Convert write-lock (X) to read-lock (X)
Database Concurrency Control

Two-Phase Locking Techniques: The algorithm

Two Phases:
- (a) Locking (Growing)
- (b) Unlocking (Shrinking).

Locking (Growing) Phase:
- A transaction applies locks (read or write) on desired data items one at a time.

Unlocking (Shrinking) Phase:
- A transaction unlocks its locked data items one at a time.

Requirement:
- For a transaction these two phases must be mutually exclusively, that is, during locking phase unlocking phase must not start and during unlocking phase locking phase must not begin.
Two-Phase Locking Techniques: The algorithm

<table>
<thead>
<tr>
<th>T1</th>
<th>T2</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>read_lock (Y);</td>
<td>read_lock (X);</td>
<td>Initial values: X=20; Y=30</td>
</tr>
<tr>
<td>read_item (Y);</td>
<td>read_item (X);</td>
<td>Result of serial execution</td>
</tr>
<tr>
<td>unlock (Y);</td>
<td>unlock (X);</td>
<td>T1 followed by T2</td>
</tr>
<tr>
<td>write_lock (X);</td>
<td>Write_lock (Y);</td>
<td>X=50, Y=80.</td>
</tr>
<tr>
<td>read_item (X);</td>
<td>read_item (Y);</td>
<td>Result of serial execution</td>
</tr>
<tr>
<td>X:=X+Y;</td>
<td>Y:=X+Y;</td>
<td>T2 followed by T1</td>
</tr>
<tr>
<td>write_item (X);</td>
<td>write_item (Y);</td>
<td>X=70, Y=50</td>
</tr>
<tr>
<td>unlock (X);</td>
<td>unlock (Y);</td>
<td></td>
</tr>
</tbody>
</table>
Two-Phase Locking Techniques: The algorithm

<table>
<thead>
<tr>
<th>T1</th>
<th>T2</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>read_lock (Y);</td>
<td>read_lock (X);</td>
<td>X=50; Y=50</td>
</tr>
<tr>
<td>read_item (Y);</td>
<td>read_item (X);</td>
<td>Nonserializable because it.</td>
</tr>
<tr>
<td>unlock (Y);</td>
<td>unlock (X);</td>
<td>violated two-phase policy.</td>
</tr>
<tr>
<td></td>
<td>write_lock (Y);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>read_item (Y);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Y:=X+Y;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>write_item (Y);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>unlock (Y);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>write_lock (X);</td>
<td></td>
</tr>
<tr>
<td>write_lock (X);</td>
<td>read_item (X);</td>
<td></td>
</tr>
<tr>
<td>write_item (X);</td>
<td>X:=X+Y;</td>
<td></td>
</tr>
<tr>
<td>unlock (X);</td>
<td>write_item (X);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>unlock (X);</td>
<td></td>
</tr>
</tbody>
</table>
Database Concurrency Control

Two-Phase Locking Techniques: The algorithm

<table>
<thead>
<tr>
<th>T'1</th>
<th>T'2</th>
</tr>
</thead>
<tbody>
<tr>
<td>read_lock (Y);</td>
<td>read_lock (X); T1 and T2 follow two-phase</td>
</tr>
<tr>
<td>read_item (Y);</td>
<td>read_item (X); policy but they are subject to</td>
</tr>
<tr>
<td>write_lock (X);</td>
<td>Write_lock (Y); deadlock, which must be</td>
</tr>
<tr>
<td>unlock (Y);</td>
<td>unlock (X); dealt with.</td>
</tr>
<tr>
<td>read_item (X);</td>
<td>read_item (Y);</td>
</tr>
<tr>
<td>X:=X+Y;</td>
<td>Y:=X+Y;</td>
</tr>
<tr>
<td>write_item (X);</td>
<td>write_item (Y);</td>
</tr>
<tr>
<td>unlock (X);</td>
<td>unlock (Y);</td>
</tr>
</tbody>
</table>
Database Concurrency Control

Two-Phase Locking Techniques: The algorithm

- Two-phase policy generates two locking algorithms
  - (a) Basic
  - (b) Conservative

  **Conservative:**
  - Prevents deadlock by locking all desired data items before transaction begins execution.

  **Basic:**
  - Transaction locks data items incrementally. This may cause deadlock which is dealt with.

  **Strict:**
  - A more stricter version of Basic algorithm where unlocking is performed after a transaction terminates (commits or aborts and rolled-back). This is the most commonly used two-phase locking algorithm.
Database Concurrency Control

Dealing with Deadlock and Starvation

- **Deadlock**

  T'1
  
  read_lock (Y);
  read_item (Y);
  write_lock (X);
  (waits for X)

  T'2
  
  read_lock (X);
  read_item (Y);
  write_lock (Y);
  (waits for Y)

  T1 and T2 did follow two-phase policy but they are deadlock

- **Deadlock (T’1 and T’2)**
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Dealing with Deadlock and Starvation

Deadlock prevention

- A transaction locks all data items it refers to before it begins execution.
- This way of locking prevents deadlock since a transaction never waits for a data item.
- The conservative two-phase locking uses this approach.

Transaction timestamps

- Wait – Die – older one waits for the lock held up with younger ones and younger one will abort and restart with the same timestamp later
- Wound – Wait – older one preempts the locks from younger ones and younger one waits for lock held up with older ones.
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Dealing with Deadlock and Starvation

**Deadlock detection and resolution**

- In this approach, deadlocks are allowed to happen. The scheduler maintains a wait-for-graph for detecting cycle. If a cycle exists, then one transaction involved in the cycle is selected (victim) and rolled-back.

- A wait-for-graph is created using the lock table. As soon as a transaction is blocked, it is added to the graph. When a chain like: Ti waits for Tj waits for Tk waits for Ti or Tj occurs, then this creates a cycle. One of the transaction is aborted.
Deadlock avoidance

- There are many variations of two-phase locking algorithm.
- Some avoid deadlock by not letting the cycle to complete.
- That is as soon as the algorithm discovers that blocking a transaction is likely to create a cycle, it rolls back the transaction.
- Wound-Wait and Wait-Die algorithms use timestamps to avoid deadlocks by rolling-back victim.
Database Concurrency Control

Dealing with Deadlock and Starvation

☞ Starvation

- Starvation occurs when a particular transaction consistently waits or restarted and never gets a chance to proceed further.
- In a deadlock resolution it is possible that the same transaction may consistently be selected as victim and rolled-back.
- This limitation is inherent in all priority based scheduling mechanisms.
- In Wound-Wait scheme a younger transaction may always be wounded (aborted) by a long running older transaction which may create starvation.
Database Concurrency Control

Timestamp based concurrency control algorithm

**Timestamp**

- A monotonically increasing variable (integer) indicating the age of an operation or a transaction. A larger timestamp value indicates a more recent event or operation.
- Timestamp based algorithm uses timestamp to serialize the execution of concurrent transactions.
Database Concurrency Control

Timestamp based concurrency control algorithm

Basic Timestamp Ordering

1. Transaction T issues a write_item(X) operation:
   - If read_TS(X) > TS(T) or if write_TS(X) > TS(T), then an
     younger transaction has already read the data item so abort
     and roll-back T and reject the operation.
   - If the condition in part (a) does not exist, then execute
     write_item(X) of T and set write_TS(X) to TS(T).

2. Transaction T issues a read_item(X) operation:
   - If write_TS(X) > TS(T), then an younger transaction has
     already written to the data item so abort and roll-back T and
     reject the operation.
   - If write_TS(X) ≤ TS(T), then execute read_item(X) of T and set
     read_TS(X) to the larger of TS(T) and the current read_TS(X).
Database Concurrency Control

Timestamp based concurrency control algorithm

❖ **Strict Timestamp Ordering**

1. Transaction T issues a write_item(X) operation:
   - If TS(T) > read_TS(X), then delay T until the transaction T’ that wrote or read X has terminated (committed or aborted).

2. Transaction T issues a read_item(X) operation:
   - If TS(T) > write_TS(X), then delay T until the transaction T’ that wrote or read X has terminated (committed or aborted).
Database Concurrency Control

Timestamp based concurrency control algorithm

➲ Thomas’s Write Rule

- If read_TS(X) > TS(T) then abort and roll-back T and reject the operation.
- If write_TS(X) > TS(T), then just ignore the write operation and continue execution. This is because the most recent writes counts in case of two consecutive writes.
- If the conditions given in 1 and 2 above do not occur, then execute write_item(X) of T and set write_TS(X) to TS(T).
Multiversion concurrency control techniques

- This approach maintains a number of versions of a data item and allocates the right version to a read operation of a transaction. Thus unlike other mechanisms a read operation in this mechanism is never rejected.

- Side effect:
  - Significantly more storage (RAM and disk) is required to maintain multiple versions. To check unlimited growth of versions, a garbage collection is run when some criteria is satisfied.
**Database Concurrency Control**

Multiversion technique based on timestamp ordering

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Database Concurrency Control

Multiversion technique based on timestamp ordering

- Assume X1, X2, ..., Xn are the version of a data item X created by a write operation of transactions. With each Xi a read_TS (read timestamp) and a write_TS (write timestamp) are associated.

- \text{read\_TS}(Xi): The read timestamp of Xi is the largest of all the timestamps of transactions that have successfully read version Xi.

- \text{write\_TS}(Xi): The write timestamp of Xi that wrote the value of version Xi.

- A new version of Xi is created only by a write operation.
Database Concurrency Control

Multiversion technique based on timestamp ordering

- To ensure serializability, the following two rules are used.
- If transaction T issues `write_item (X)` and version i of X has the highest `write_TS(Xi)` of all versions of X that is also less than or equal to `TS(T)`, and `read_TS(Xi) > TS(T)`, then abort and roll-back T; otherwise create a new version `Xi` and `read_TS(X) = write_TS(Xj) = TS(T)`.
- If transaction T issues `read_item (X)`, find the version i of X that has the highest `write_TS(Xi)` of all versions of X that is also less than or equal to `TS(T)`, then return the value of Xi to T, and set the value of `read_TS(Xi)` to the largest of `TS(T)` and the current `read_TS(Xi)`.
Database Concurrency Control

Multiversion technique based on timestamp ordering

- To ensure serializability, the following two rules are used.
  - If transaction T issues write_item (X) and version i of X has the highest write_TS(Xi) of all versions of X that is also less than or equal to TS(T), and read_TS(Xi) > TS(T), then abort and rollback T; otherwise create a new version Xi and read_TS(X) = write_TS(Xj) = TS(T).
  
  - If transaction T issues read_item (X), find the version i of X that has the highest write_TS(Xi) of all versions of X that is also less than or equal to TS(T), then return the value of Xi to T, and set the value of read_TS(Xi) to the largest of TS(T) and the current read_TS(Xi).
  
- Rule 2 guarantees that a read will never be rejected.
Database Concurrency Control

Multiversion Two-Phase Locking Using Certify Locks

Concept

- Allow a transaction $T'$ to read a data item $X$ while it is write locked by a conflicting transaction $T$.
- This is accomplished by maintaining two versions of each data item $X$ where one version must always have been written by some committed transaction. This means a write operation always creates a new version of $X$. 
# Database Concurrency Control

Multiversion Two-Phase Locking Using Certify Locks

- **Steps**
  1. X is the committed version of a data item.
  2. T creates a second version X’ after obtaining a write lock on X.
  3. Other transactions continue to read X.
  4. T is ready to commit so it obtains a certify lock on X’.
  5. The committed version X becomes X’.
  6. T releases its certify lock on X’, which is X now.

## Compatibility tables for

<table>
<thead>
<tr>
<th></th>
<th>Read</th>
<th>Write</th>
</tr>
</thead>
<tbody>
<tr>
<td>Read</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>Write</td>
<td>no</td>
<td>no</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Read</th>
<th>Write</th>
<th>Certify</th>
</tr>
</thead>
<tbody>
<tr>
<td>Read</td>
<td>yes</td>
<td>no</td>
<td>no</td>
</tr>
<tr>
<td>Write</td>
<td>no</td>
<td>no</td>
<td>no</td>
</tr>
<tr>
<td>Certify</td>
<td>no</td>
<td>no</td>
<td>no</td>
</tr>
</tbody>
</table>

read/write locking scheme  
read/write/certify locking scheme
Database Concurrency Control

Multiversion Two-Phase Locking Using Certify Locks

Note:

- In multiversion 2PL read and write operations from conflicting transactions can be processed concurrently.
- This improves concurrency but it may delay transaction commit because of obtaining certify locks on all its writes. It avoids cascading abort but like strict two phase locking scheme conflicting transactions may get deadlocked.
Validation (Optimistic) Concurrency Control Schemes

- In this technique only at the time of commit serializability is checked and transactions are aborted in case of non-serializable schedules.

- Three phases:
  1. Read phase
  2. Validation phase
  3. Write phase

1. Read phase:
   - A transaction can read values of committed data items. However, updates are applied only to local copies (versions) of the data items (in database cache).
Validation (Optimistic) Concurrency Control Schemes

2. **Validation phase**: Serializability is checked before transactions write their updates to the database.

   - This phase for Ti checks that, for each transaction Tj that is either committed or is in its validation phase, one of the following conditions holds:
     1. Tj completes its write phase before Ti starts its read phase.
     2. Ti starts its write phase after Tj completes its write phase, and the read_set of Ti has no items in common with the write_set of Tj.
     3. Both the read_set and write_set of Ti have no items in common with the write_set of Tj, and Tj completes its read phase.
     4. When validating Ti, the first condition is checked first for each transaction Tj, since (1) is the simplest condition to check. If (1) is false then (2) is checked and if (2) is false then (3) is checked. If none of these conditions holds, the validation fails and Ti is aborted.
Validation (Optimistic) Concurrency Control Schemes

3. **Write phase**: On a successful validation transactions’ updates are applied to the database; otherwise, transactions are restarted.
Database Concurrency Control

Granularity of data items and Multiple Granularity Locking

The following diagram illustrates a hierarchy of granularity from coarse (database) to fine (record).

```
DB
  /   \
 /     \n/       
|       |
f1      f2
|       |
p11     p12
|       |
r111...r11j r111...r11j
|       |       |
p1n     p1n
|       |
r111...r11j r111...r11j
```

...
Granularity of data items and Multiple Granularity Locking

To manage such hierarchy, in addition to read and write, three additional locking modes, called intention lock modes are defined:

- **Intention-shared (IS):** indicates that a shared lock(s) will be requested on some descendent nodes(s).
- **Intention-exclusive (IX):** indicates that an exclusive lock(s) will be requested on some descendent node(s).
- **Shared-intention-exclusive (SIX):** indicates that the current node is locked in shared mode but an exclusive lock(s) will be requested on some descendent nodes(s).
**Database Concurrency Control**

Granularity of data items and Multiple Granularity Locking

*These locks are applied using the following compatibility matrix:*

<table>
<thead>
<tr>
<th></th>
<th>IS</th>
<th>IX</th>
<th>S</th>
<th>SIX</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>IS</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>IX</td>
<td>yes</td>
<td>yes</td>
<td>no</td>
<td>no</td>
<td>no</td>
</tr>
<tr>
<td>S</td>
<td>yes</td>
<td>no</td>
<td>yes</td>
<td>no</td>
<td>no</td>
</tr>
<tr>
<td>SIX</td>
<td>yes</td>
<td>no</td>
<td>no</td>
<td>no</td>
<td>no</td>
</tr>
<tr>
<td>X</td>
<td>no</td>
<td>no</td>
<td>no</td>
<td>no</td>
<td>no</td>
</tr>
</tbody>
</table>

Intention-shared (IS)
Intention-exclusive (IX)
Shared-intention-exclusive (SIX)
Database Concurrency Control

Granularity of data items and Multiple Granularity Locking

The set of rules which must be followed for producing serializable schedule are

1. The lock compatibility must be adhered to.
2. The root of the tree must be locked first, in any mode..
3. A node $N$ can be locked by a transaction $T$ in $S$ or $IX$ mode only if the parent node is already locked by $T$ in either $IS$ or $IX$ mode.
4. A node $N$ can be locked by $T$ in $X$, $IX$, or $SIX$ mode only if the parent of $N$ is already locked by $T$ in either $IX$ or $SIX$ mode.
5. $T$ can lock a node only if it has not unlocked any node (to enforce 2PL policy).
6. $T$ can unlock a node, $N$, only if none of the children of $N$ are currently locked by $T$. 
Graphical representation of a transactional database concurrency control example.
Granularity of data items and Multiple Granularity Locking: An example of a serializable execution (continued):

T1  T2  T3
unlock (p12)
unlock (f1)
unlock (db)
unlock (r111)
unlock (p11)
unlock (f1)
unlock (db)
unlock (r111j)
unlock (p11)
unlock (f1)
unlock (f2)
unlock (db)
Summary

- Databases Concurrency Control
  1. Purpose of Concurrency Control
  2. Two-Phase locking
  3. Limitations of CCMs
  4. Index Locking
  5. Lock Compatibility Matrix
  6. Lock Granularity