

Lecture 15: Optimistic Concurrency Control

Recap

Basic T/O

- Txns read and write objects without locks.
- Every object X is tagged with timestamp of the last txn that successfully did read/write:
 - ▶ $W - TS(X)$ – Write timestamp on X
 - ▶ $R - TS(X)$ – Read timestamp on X
- Check timestamps for every operation:
 - ▶ If txn tries to access an object **from the future**, it aborts and restarts.

Partition-based T/O

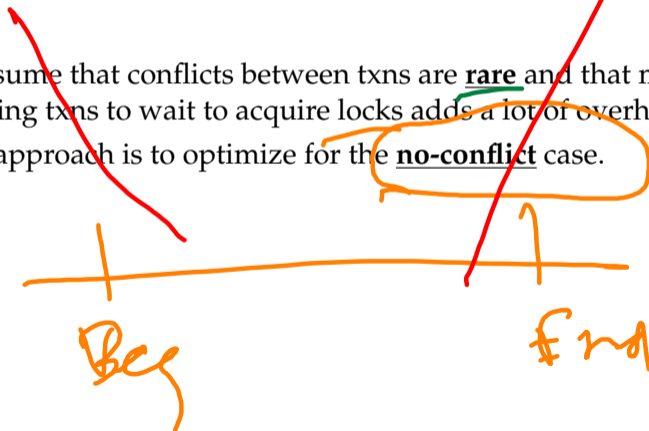
- Split the database up in disjoint subsets called horizontal partitions (aka shards).
- Use timestamps to order txns for serial execution at each partition.
 - ▶ Only check for conflicts between txns that are running in the same partition.

Observation

Pessimistic

- If you assume that conflicts between txns are rare and that most txns are short-lived, then forcing txns to wait to acquire locks adds a lot of overhead.
- A better approach is to optimize for the no-conflict case.

Opt



Validation

Today's Agenda

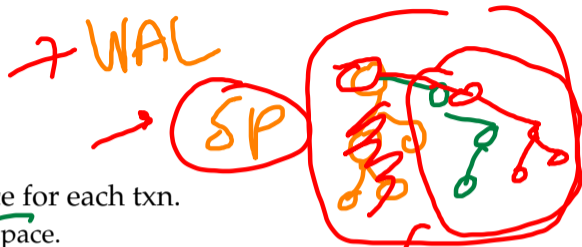
isolation = perf
strong = low
weak = high

- Optimistic Concurrency Control
- Phantoms
- Isolation Levels

level of isolation ~ performance

Optimistic Concurrency Control

Optimistic Concurrency Control



- The DBMS creates a private workspace for each txn.
 - ▶ Any object read is copied into workspace.
 - ▶ Modifications are applied to workspace.
- When a txn commits, the DBMS compares workspace write set to see whether it conflicts with other txns.
- If there are no conflicts, the write set is installed into the global database.

validating

OCC Phases

R, W

- Phase 1 – Read:

- ▶ Track the read/write sets of txns and store their writes in a private workspace.

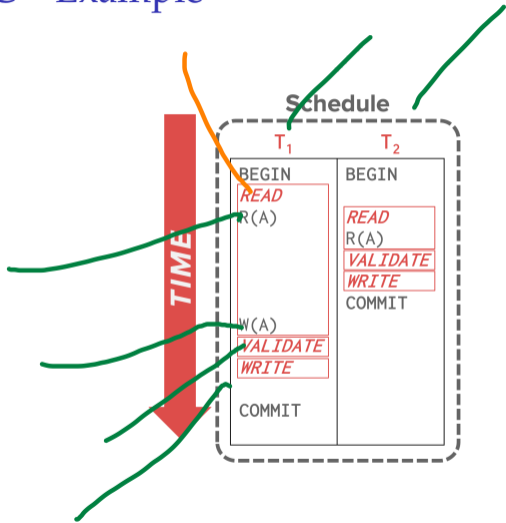
- Phase 2 – Validation:

- ▶ When a txn commits, check whether it conflicts with other txns.

- Phase 3 – Write:

- ▶ If validation succeeds, apply private changes to database. Otherwise abort and restart the txn.

OCC – Example

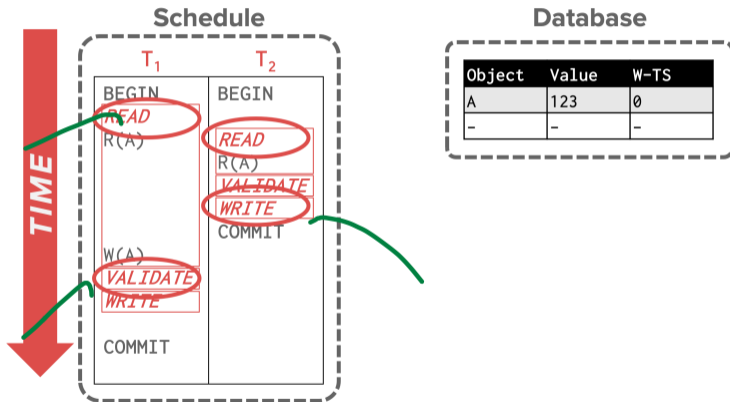


Handwritten green text: $G_1 \rightarrow G_2$

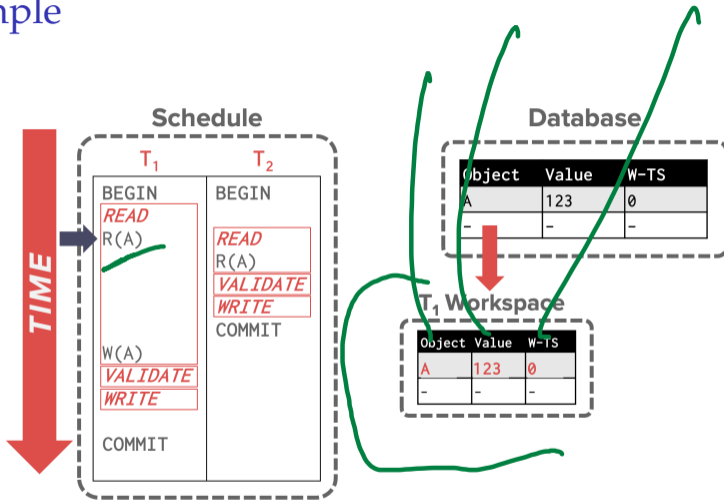
Database

Object	Value	W-TS
A	123	0
-	-	-

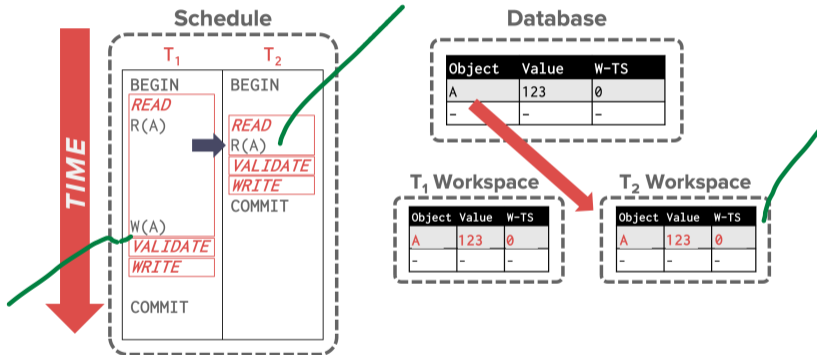
OCC – Example



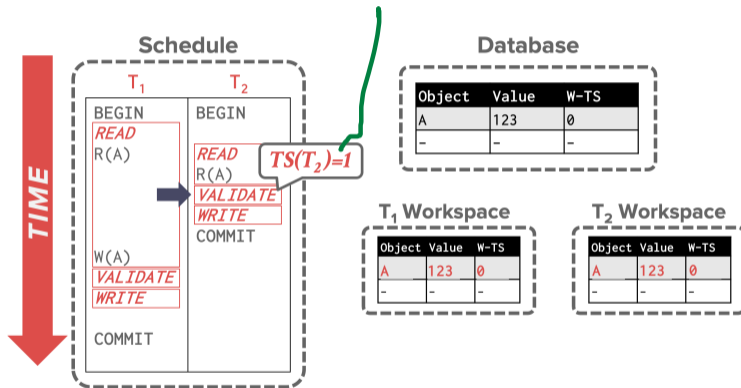
OCC – Example



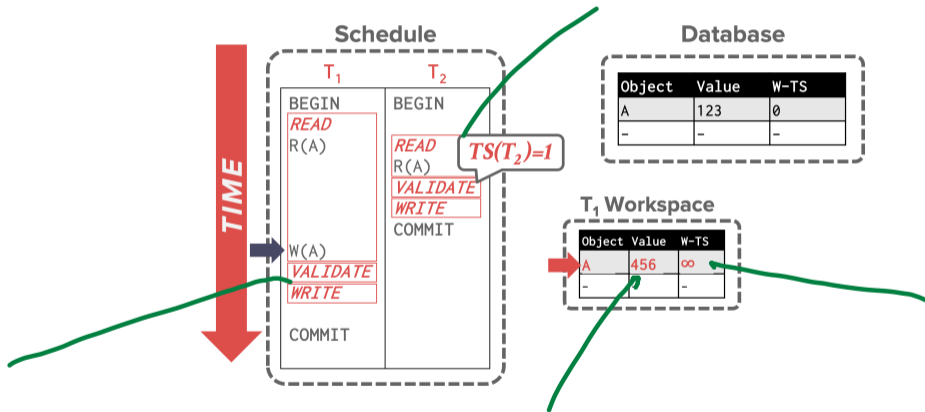
OCC – Example



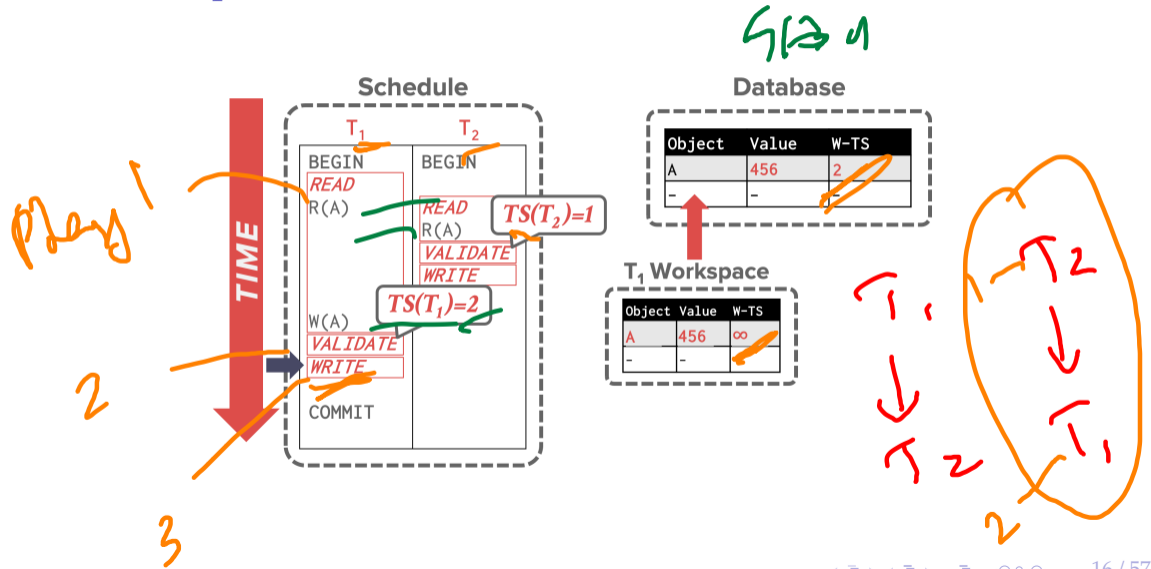
OCC – Example



OCC – Example

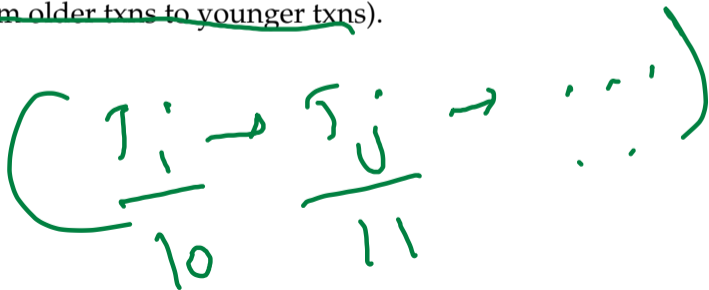


OCC – Example



OCC – Validation Phase

- The DBMS needs to guarantee only serializable schedules are permitted.
- T_i checks other txns for RW and WW conflicts and makes sure that all conflicts go one way (from older txns to younger txns).



OCC – Serial Validation



- Maintain global view of all active txns.
- Record read set and write set while txns are running and write into private workspace.
- Execute Validation and Write phase inside a protected critical section.

R (V, W)

OCC – Read Phase

- Track the read/write sets of txns and store their writes in a private workspace.
- The DBMS copies every tuple that the txn accesses from the shared database to its workspace ensure repeatable reads.

OCC – Validation Phase

- Each txn's timestamp is assigned at the beginning of the validation phase (different from 2PL).
- Check the timestamp ordering of the committing txn with all other running txns.
- If $TS(T_i) < TS(T_j)$, then one of the following three scenarios must hold...

OCC – Validation Phase

- When the txn invokes COMMIT, the DBMS checks if it conflicts with other txns.
- Two methods for this phase:
 - ▶ Backward Validation
 - ▶ Forward Validation

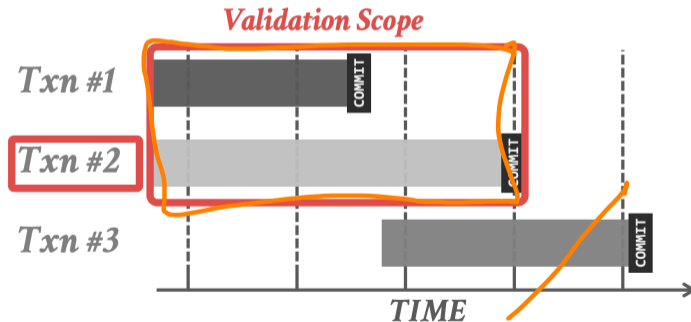
OCC – Backward Validation

- Check whether the committing txn intersects its read/write sets with those of any txns that have already committed.



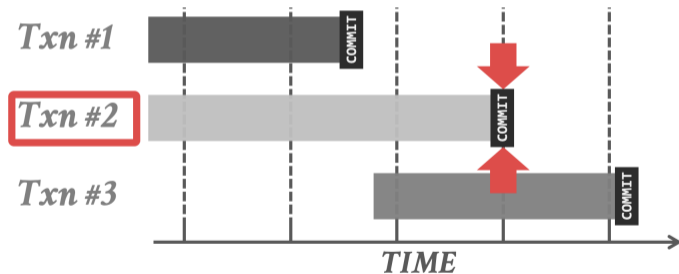
OCC – Backward Validation

- Check whether the committing txn intersects its read/write sets with those of any txns that have already committed.



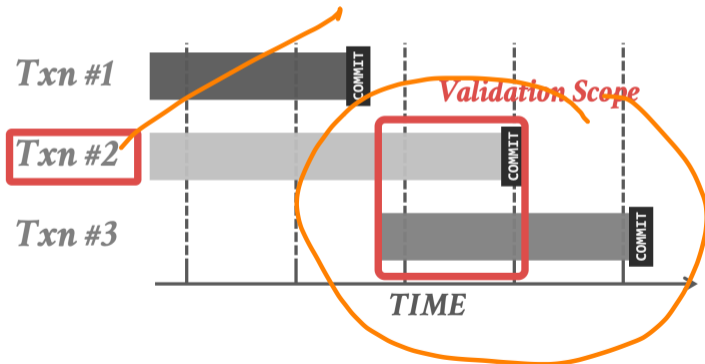
OCC – Forward Validation

- Check whether the committing txn intersects its read/write sets with any active txns that have not yet committed.



OCC – Forward Validation

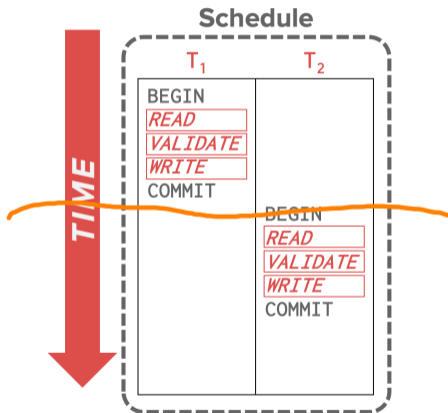
- Check whether the committing txn intersects its read/write sets with any active txns that have not yet committed.



OCC – Validation Step 1

- **Scenario 1:**
- T_i completes all three phases before T_j begins.

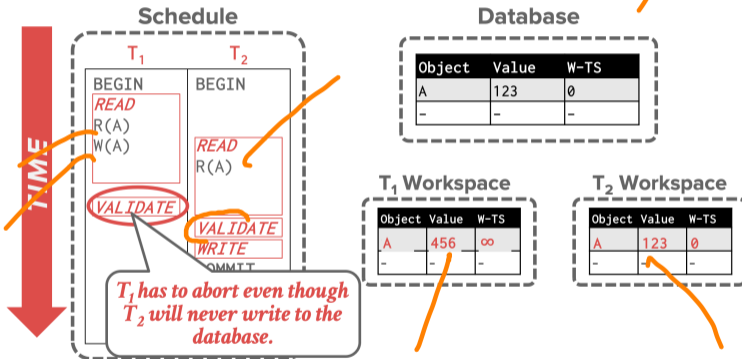
OCC – Validation Step 1



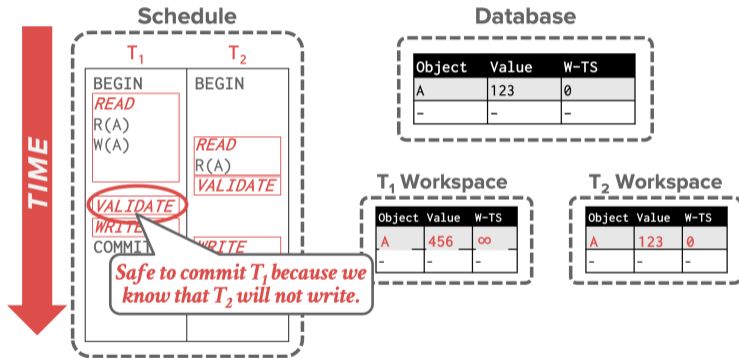
OCC – Validation Step 2

- **Scenario 2:**
- T_i completes before T_j starts its **Write** phase, and T_i does not write to any object read by T_j .
 - ▶ $\text{WriteSet}(T_i) \cap \text{ReadSet}(T_j) = \phi$

OCC – Validation Step 2



OCC – Validation Step 2

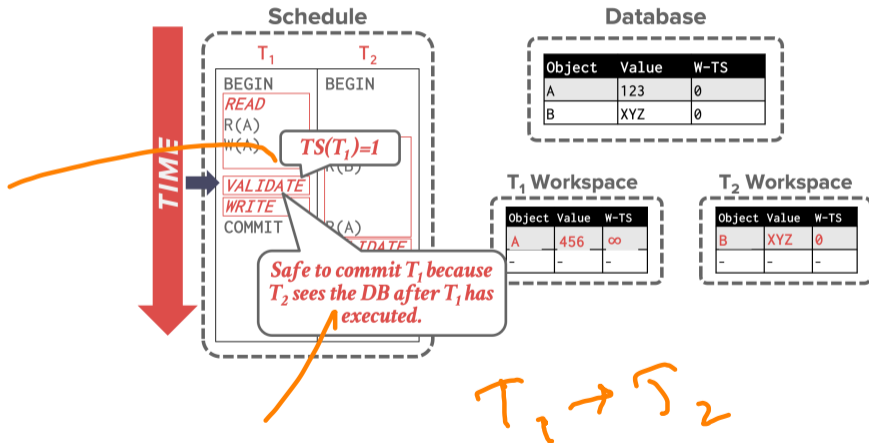


T₂ → T₁

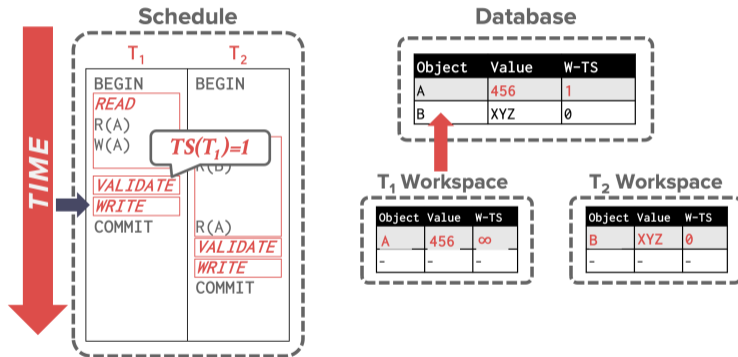
OCC – Validation Step 3

- **Scenario 3:**
- T_i completes its Read phase before T_j completes its Read phase
- And T_i does not write to any object that is either read or written by T_j :
 - ▶ $\text{WriteSet}(T_i) \cap \text{ReadSet}(T_j) = \emptyset$
 - ▶ $\text{WriteSet}(T_i) \cap \text{WriteSet}(T_j) = \emptyset$

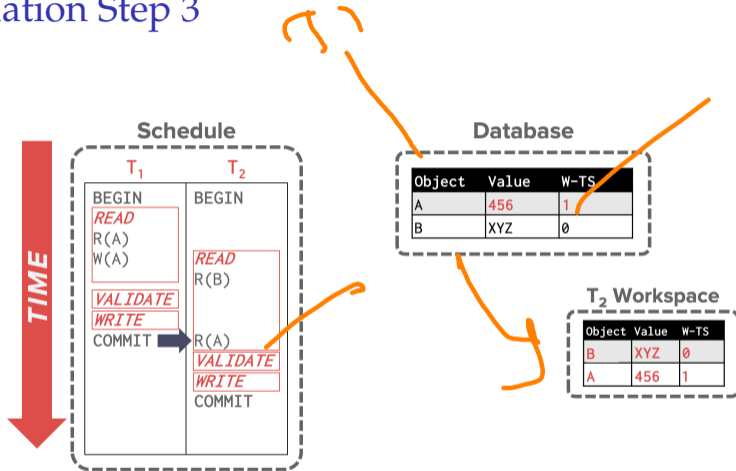
OCC – Validation Step 3



OCC – Validation Step 3



OCC – Validation Step 3



OCC – Observation

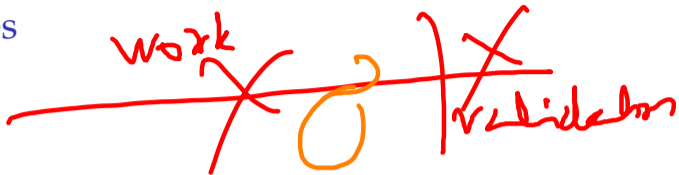
ZPL vs
OCC

- OCC works well when the number of conflicts is low:
 - ▶ All txns are read-only (ideal).
 - ▶ Txns access disjoint subsets of data.
- If the database is large and the workload is not skewed, then there is a low probability of conflict, so again locking is wasteful.



OCC – Performance Issues

branch prediction



- High overhead for copying data locally.
- Validation/Write phase bottlenecks.
- Aborts are more wasteful than in 2PL because they only occur after a txn has already executed.

Speculation

critical section



speculation.

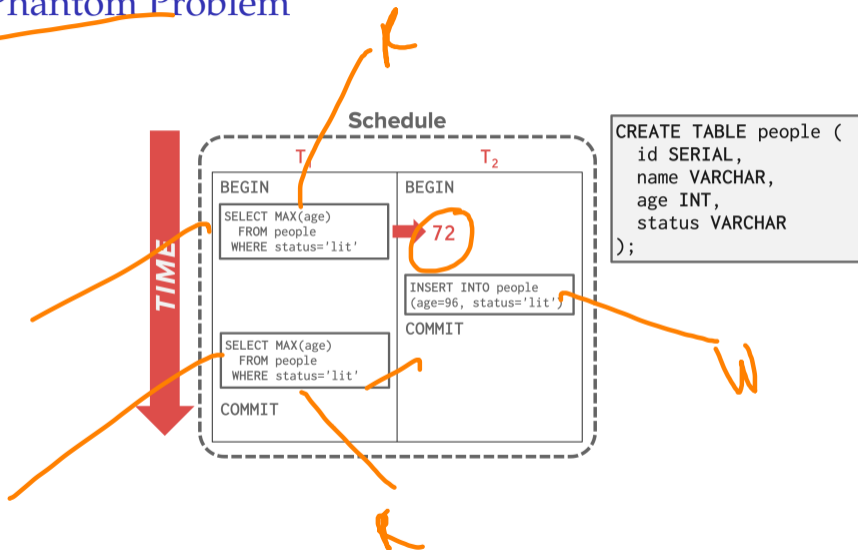
Observation

- Recall that so far we have only dealing with transactions that read and update data.
- But now if we have insertions, updates, and deletions, we have new problems. . .

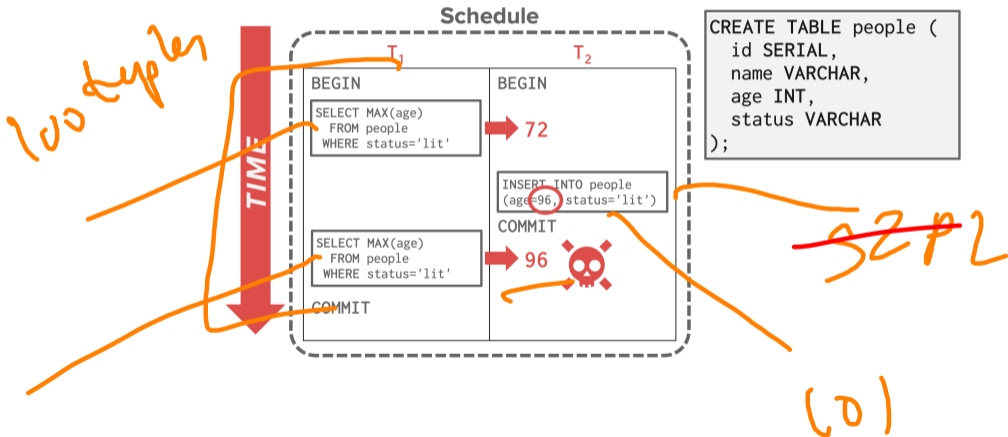
Dynamic debugging

Phantoms

The Phantom Problem



The Phantom Problem



The Phantom Problem

- How did this happen?
 - ▶ Because T_1 locked only existing records and not ones under way!
- Conflict serializability on reads and writes of individual items guarantees serializability only if the set of objects is fixed.

~~_____~~
100 tuples

Predicate Locking

Logical

- Lock records that satisfy a logical predicate:
 - ▶ Example: status = 'lit'
- In general, predicate locking has a lot of locking overhead.
- Index locking is a special case of predicate locking that is potentially more efficient.

Index Locking

index: status

- If there is a dense index on the status field then the txn can lock index page containing the data with status = 'lit'.
- If there are no records with status = 'lit', the txn must lock the index page where such a data entry would be, if it existed.

Locking without an Index

- If there is no suitable index, then the txn must obtain:
 - ▶ A lock on every page in the table to prevent a record's status = 'lit' from being changed to lit.
 - ▶ The lock for the table itself to prevent records with status = 'lit' from being added or deleted.

Table - lock

Repeating Scans

- An alternative is to just re-execute every scan again when the txn commits and check whether it gets the same result.
 - ▶ Have to retain the scan set for every range query in a txn.

Siw



Weaker Levels of Isolation

- Serializability is useful because it allows programmers to ignore concurrency issues.
- But enforcing it may allow too little concurrency and limit performance.
- We may want to use a weaker level of ~~consistency~~ to improve scalability.

is okay

Isolation Levels

Isolation Levels

- Controls the extent that a txn is exposed to the actions of other concurrent txns.
- Provides for greater concurrency at the cost of exposing txns to uncommitted changes:
 - ▶ Dirty Reads
 - ▶ Unrepeatable Reads
 - ▶ Phantom Reads

anomalies

Isolation Levels

- Isolation (High→Low)
- **SERIALIZABLE**: No phantoms, all reads repeatable, no dirty reads.
- **REPEATABLE READS**: Phantoms may happen.
- **READ COMMITTED**: Phantoms and unrepeatable reads may happen.
- **READ UNCOMMITTED**: All of them may happen.

Isolation Levels

Level	Dirty Read	Unrepeatable Read	Phantom
SERIALIZABLE	No	No	No
REPEATABLE READ	No	No	Maybe
READ COMMITTED	No	Maybe	Maybe
READ UNCOMMITTED	Maybe	Maybe	Maybe

Isolation Levels

- **SERIALIZABLE**: Obtain all locks first; plus index locks, plus strict 2PL.
- **REPEATABLE READS**: Same as above, but no index locks.
- **READ COMMITTED**: Same as above, but S locks are released immediately.
- **READ UNCOMMITTED**: Same as above but allows dirty reads (no S locks).

2PL

SQL-92 Isolation Levels

- You set a txn's isolation level before you execute any queries in that txn.
- Not all DBMSs support all isolation levels in all execution scenarios
 - ▶ Replicated Environments
- The default depends on implementation. . .

```
SET TRANSACTION Isolation LEVEL <isolation-level>;
```

```
BEGIN TRANSACTION ISOLATION LEVEL <isolation-level>;
```

Isolation Levels (2013)

DBMS	Default	Maximum
Action Ingres 10.0/10S	SERIALIZABLE	SERIALIZABLE
Aerospike	READ COMMITTED	READ COMMITTED
Greenplum 4.1	READ COMMITTED	SERIALIZABLE
MySQL 5.6	REPEATABLE READS	SERIALIZABLE
MemSQL 1b	READ COMMITTED	READ COMMITTED
MS SQL Server 2012	READ COMMITTED	SERIALIZABLE
Oracle 11g	READ COMMITTED	SNAPSHOT ISOLATION
Postgres 9.2.2	READ COMMITTED	SERIALIZABLE
SAP HANA	READ COMMITTED	SERIALIZABLE
ScaleDB 1.02	READ COMMITTED	READ COMMITTED
VoltDB	SERIALIZABLE	SERIALIZABLE

- [Source](#)

SQL-92 Access Modes

- You can provide hints to the DBMS about whether a txn will modify the database during its lifetime.
- Only two possible modes:
 - ▶ READ WRITE (Default)
 - ▶ READ ONLY
- Not all DBMSs will optimize execution if you set a txn to in READ ONLY mode.

```
SET TRANSACTION <access-mode>;
```

```
BEGIN TRANSACTION <access-mode>;
```

Conclusion

Parting Thoughts

- Every concurrency control can be broken down into the basic concepts that I have described in the last two lectures.
 - ▶ Two-Phase Locking (2PL): Assumption that collisions are commonplace
 - ▶ Timestamp Ordering (T/O): Assumption that collisions are rare.
- Optimistic protocols defer the validation phase to the end of the txn
- I am not showing benchmark results because I don't want you to get the wrong idea.

R: W, skew, ..

Next Class

- Multi-Version Concurrency Control