Concurrency Control, Locking, and Recovery

جامعة الملك عبدالله
للعلوم والتقنية
King Abdullah University of Science and Technology

CS 240: Computing Systems and Concurrency
Lecture 17

Marco Canini

Credits: Michael Freedman and Kyle Jamieson developed much of the original material.
Selected content adapted from A. LaPaugh, J. Li.

Failures in complex systems propagate

- Say **one bit** in a DRAM fails:

- …flips a bit in a kernel memory write
- …causes a **kernel panic,**
- …program is running an NFS server,
- …a client **can't read from FS,** so hangs

The transaction

- *Definition:* A unit of work:
  - May consist of **multiple** data accesses or updates
  - Must **commit** or **abort** as a **single atomic unit**

- Transactions can either **commit,** or **abort**
  - When **commit,** all updates performed on database are made permanent, visible to other transactions

  - When **abort,** database restored to a state such that the aborting transaction never executed

Defining properties of transactions

- **Atomicity:** Either **all** constituent operations of the transaction complete successfully, or **none** do
- **Consistency:** Each transaction in isolation preserves a set of **integrity constraints** on the data
- **Isolation:** Transactions' behavior not impacted by presence of **other concurrent transactions**
- **Durability:** The transaction's **effects survive failure** of volatile (memory) or non-volatile (disk) storage

Challenges

1. High transaction **speed requirements**
   – If always fsync() to disk for each result on transaction, yields terrible performance

2. **Atomic and durable** writes to disk are difficult
   – In a manner to handle arbitrary crashes

   – Hard disks and solid-state storage use **write buffers** in volatile memory

Today

1. **Techniques for achieving ACID properties**
   – Write-ahead logging and checkpointing

   – Serializability and two-phase locking

2. Algorithms for Recovery and Isolation Exploiting Semantics (ARIES)

What does the system need to do?

- Transactions properties: **ACID**
  - Atomicity, Consistency, Isolation, Durability
- **Application logic** checks **consistency (C)**
- This leaves **two main goals** for the **system:**

1. Handle **failures (A, D)**
2. Handle **concurrency (I)**

Failure model: crash failures

- Standard "crash failure" model:

- Machines are prone to crashes:
  - Disk contents (***non-volatile storage***) **okay**
  - Memory contents (***volatile storage***) **lost**

- Machines don't misbehave ("Byzantine")

Account transfer transaction

- Transfers $10 from account **A** to account **B**

```
transaction transfer(A, B):
begin_tx
a ← read(A)
if a < 10 then abort_tx
else   write(A, a−10)
       b ← read(B)
       write(B, b+10)
       commit_tx
```

Problem

```
transaction transfer(A, B):
begin_tx
a ← read(A)
if a < 10 then abort_tx
else        write(A, a−10)
            b ← read(B)
            write(B, b+10)
            commit_tx
```

- Suppose $100 in A, $100 in B

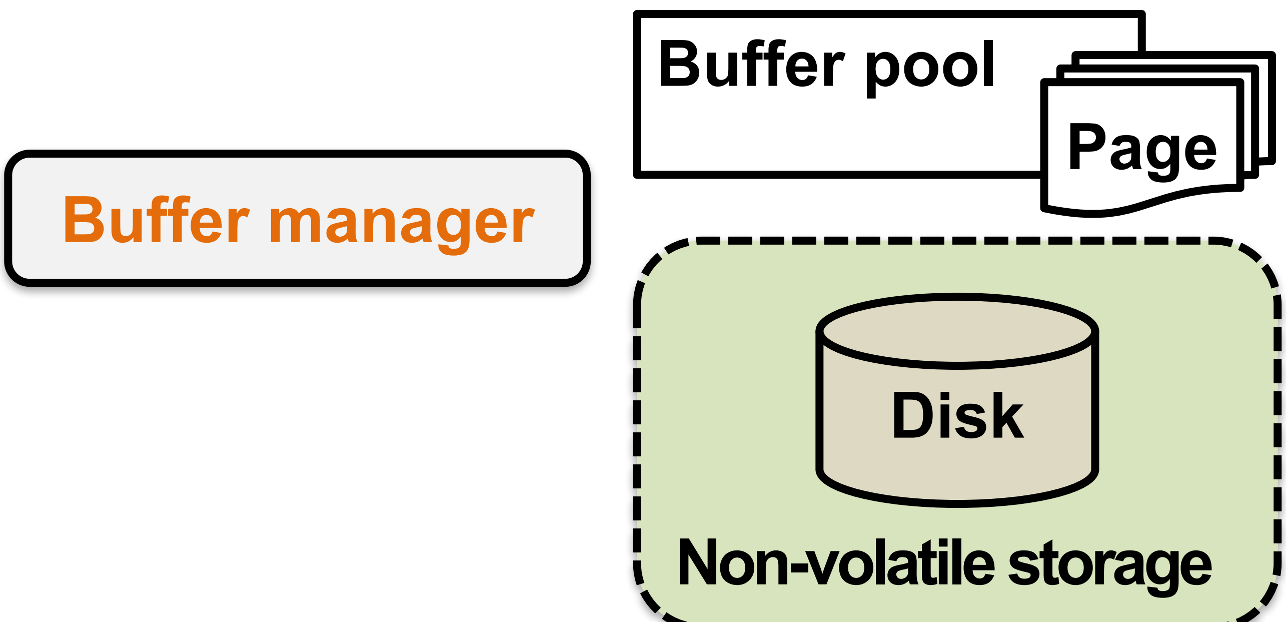
- commit_tx starts the commit protocol:
  - write(A, $90) to disk
  - write(B, $110) to disk

- What happens if **system crash after first write,** but **before second write?**
  - After recovery: Partial writes, **money is lost**

Lack atomicity in the presence of failures

System structure

- Smallest unit of storage that can be atomically written to non-volatile storage is called a ***page***
- ***Buffer manager*** moves pages between ***buffer pool*** (in volatile memory) and disk (in non-volatile storage)



Two design choices

1. **Force** all a transaction's writes to disk **before** transaction commits?
   – Yes: ***force*** policy
   – No: ***no-force*** policy

2. May **uncommitted** transactions' writes **overwrite** committed values on disk?
   – Yes: ***steal*** policy
   – No: ***no-steal*** policy

Performance implications

1. **Force** all a transaction's writes to disk **before** transaction commits?
   – **Yes:** **force** policy

   > Then **slower disk writes** appear **on the critical path** of a committing transaction

2. May **uncommitted** transactions' writes **overwrite** committed values on disk?
   – **No:** **no-steal** policy

   > Then buffer manager **loses write scheduling flexibility**

Undo & redo

1. **Force** all a transaction's writes to disk **before** transaction commits?
   - Choose **no: no-force** policy
     - ☞ **Need support for *redo:*** complete a committed transaction's writes on disk

2. May **uncommitted** transactions' writes **overwrite** committed values on disk?
   - Choose **yes: steal** policy
     - ☞ **Need support for *undo:*** removing the effects of an uncommitted transaction on disk

How to implement undo & redo?

- ***Log:*** A sequential file that stores information about transactions and system state
  - Resides in **separate, non-volatile storage**

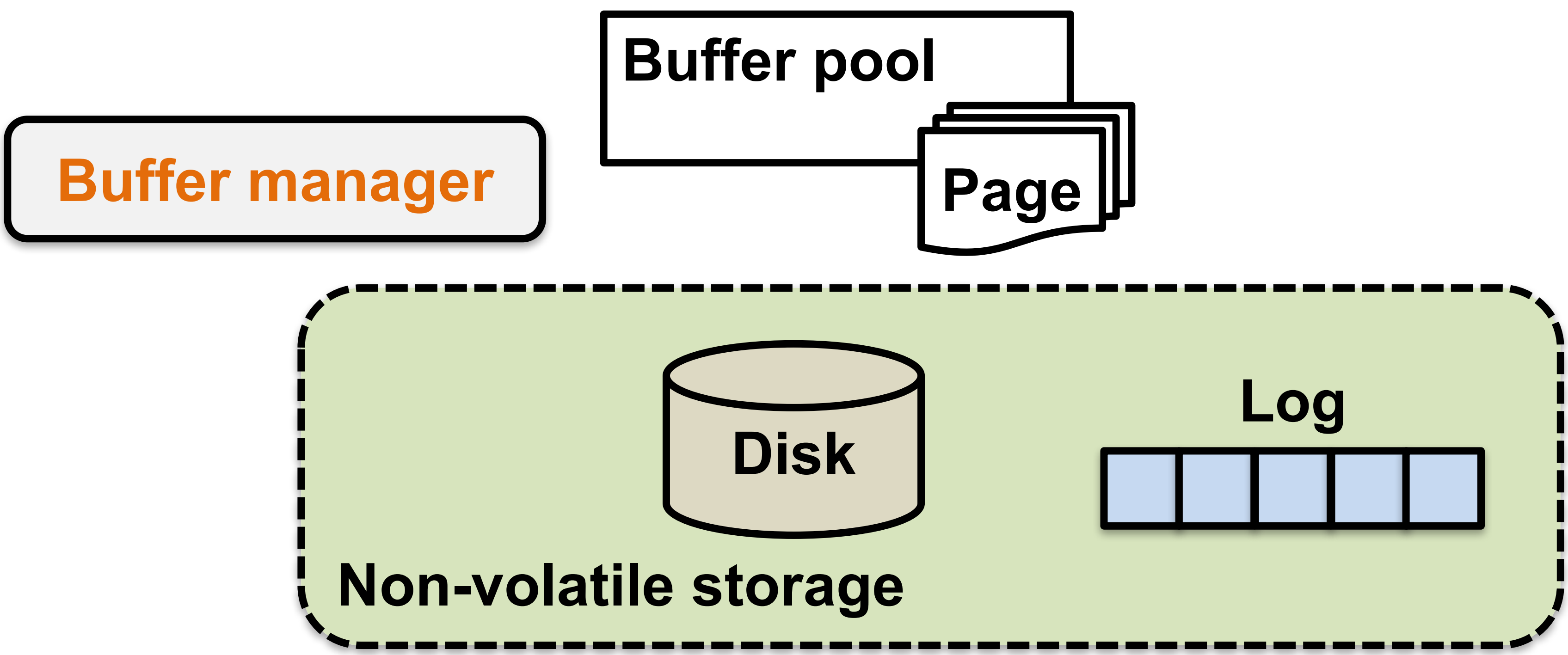
- One entry in the log for each update, commit, abort operation: called a ***log record***

- Log record contains:
  - Monotonic-increasing ***log sequence number*** (LSN)
  - **Old value** (***before image***) of the item for **undo**
  - **New value** (***after image***) of the item for **redo**

System structure

- ***Buffer pool*** (volatile memory) and disk (non-volatile)

- The ***log*** resides on a **separate** partition or disk (in non-volatile storage)



Write-ahead Logging (WAL)

- Ensures atomicity in the event of system crashes under no-force/steal buffer management

1. **Force all log records** pertaining to an updated page into the (non-volatile) log **before any writes to page itself**

2. A transaction is not considered committed until **all its log records** (including commit record) are **forced into the log**

WAL example

force_log_entry(A, old=$100, new=$90)
force_log_entry(B, old=$100, new=$110)
write(A, $90)
write(B, $110)
force_log_entry(commit)

Does **not** have to flush to disk

- What if the commit log record size > the page size?
- How to ensure **each log record** is written atomically?
  - **Write a checksum** of entire log entry

Goal #2: Concurrency control

Transaction **isolation**

Two concurrent transactions

```
transaction sum(A, B):
begin_tx
a ← read(A)
b ← read(B)
print a + b
commit_tx
```

```
transaction transfer(A, B):
begin_tx
a ← read(A)
if a < 10 then abort_tx
else        write(A, a−10)
            b ← read(B)
            write(B, b+10)
            commit_tx
```

Isolation between transactions

- **Isolation: sum** appears to happen either completely before or completely after **transfer**
  - Sometimes called *before-after atomicity*

- *Schedule* for transactions is an ordering of the operations performed by those transactions

Problem for concurrent execution: Inconsistent retrieval

- **Serial execution** of transactions—transfer then sum:

debit: w_A; credit: w_B

transfer: r_A w_A r_B w_B ©

sum: r_A r_B ©

- Concurrent execution resulting in ***inconsistent retrieval,*** result differing from any serial execution:

debit: w_A; credit: w_B

transfer: r_A w_A r_B w_B ©

sum: r_A r_B ©

Time →

© = commit

Isolation between transactions

- **Isolation: sum** appears to happen either completely before or completely after **transfer**
  - Sometimes called *before-after atomicity*

- Given a schedule of operations:
  - *Is that schedule in some way "equivalent" to a serial execution of transactions?*

Equivalence of schedules

- Two **operations** from **different transactions** are ***conflicting*** if:

1. They **read** and **write** to the **same data item**
2. The **write** and **write** to the **same data item**

- Two **schedules** are ***equivalent*** if:

1. They contain the same transactions and operations
2. They **order** all **conflicting** operations of non-aborting transactions in the **same way**

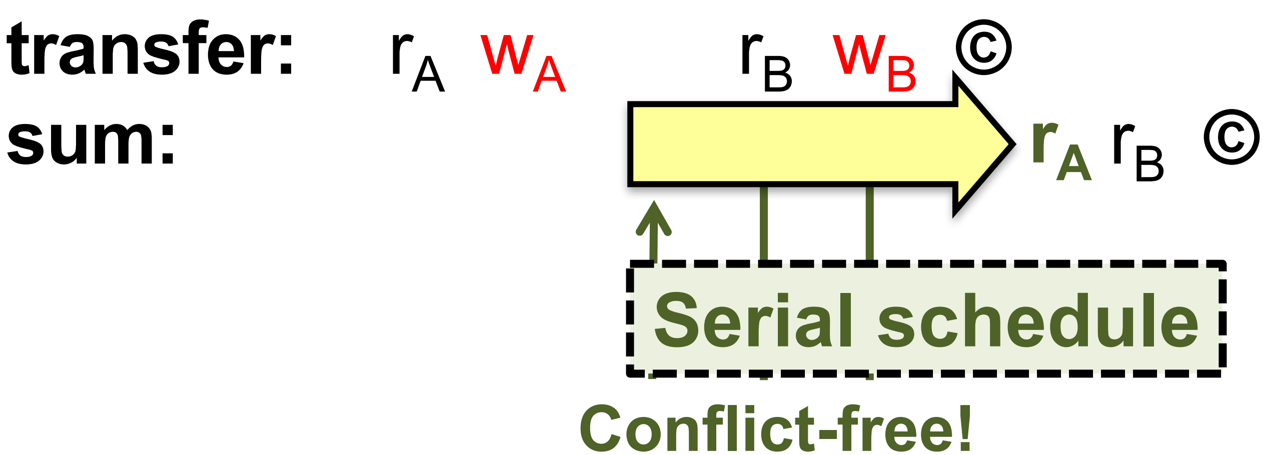
Conflict serializability

- Ideal isolation semantics: *conflict serializability*

- A schedule is ***conflict serializable*** if it is equivalent to some serial schedule
  - *i.e.*, **non-conflicting** operations can be **reordered** to get a **serial** schedule

A serializable schedule

- Ideal isolation semantics: *conflict serializability*
- A schedule is ***conflict serializable*** if it is equivalent to some serial schedule
  - *i.e.*, **non-conflicting** operations can be **reordered** to get a **serial** schedule



Time →

© = commit

A non-serializable schedule

- Ideal isolation semantics: *conflict serializability*
- A schedule is ***conflict serializable*** if it is equivalent to some serial schedule
  - *i.e.*, **non-conflicting** operations can be **reordered** to get a **serial** schedule

transfer: r_A w_A r_B w_B ©

sum: r_A r_B ©

But in a **serial schedule**, sum's reads either **both before** w_A or **both after** w_B

Time →

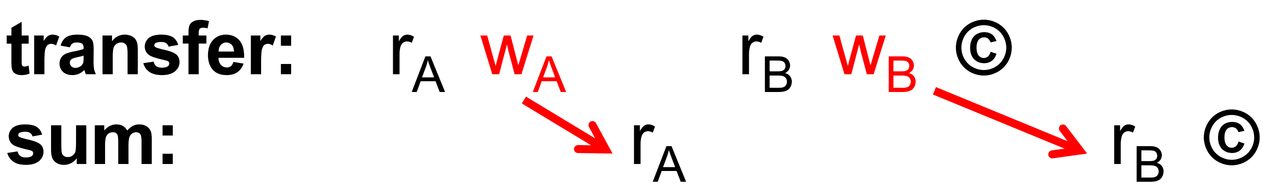
© = commit

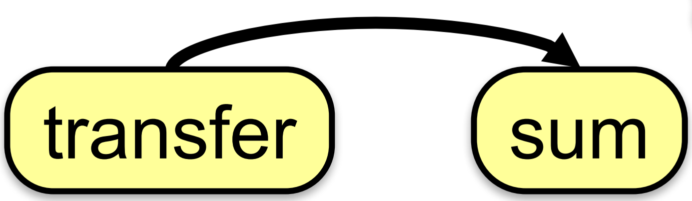
Testing for serializability

- Each node ***t*** in the ***precedence graph*** represents a transaction ***t***
  - Edge from ***s*** to ***t*** if some action of ***s*** **precedes and conflicts with** some action of ***t***

Serializable schedule, acyclic graph

- Each node ***t*** in the ***precedence graph*** represents a transaction ***t***
  - Edge from ***s*** to ***t*** if some action of ***s*** **precedes and conflicts with** some action of ***t***





Serializable

Time →

© = commit

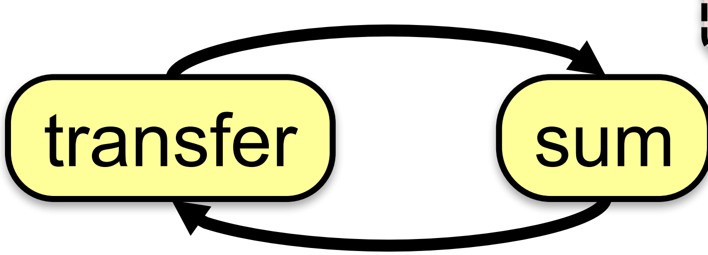
Non-serializable schedule, cyclic graph

- Each node ***t*** in the ***precedence graph*** represents a transaction ***t***
  - Edge from ***s*** to ***t*** if some action of ***s*** **precedes and conflicts with** some action of ***t***

transfer: r_A w_A r_B w_B ©

sum: r_A r_B ©

Non-serializable



Time →

© = commit

Testing for serializability

- Each node ***t*** in the ***precedence graph*** represents a transaction ***t***
  - Edge from ***s*** to ***t*** if some action of ***s*** **precedes and conflicts with** some action of ***t***

In general, a schedule is **conflict-serializable** if and only if its **precedence graph** is **acyclic**

How to ensure a serializable schedule?

- Locking-based approaches
- Strawman 1: **Big Global Lock**
  - Acquire the lock when transaction starts
  - Release the lock when transaction ends

Results in a ***serial*** transaction schedule at the **cost of performance**

Locking

- Locks maintained by **transaction manager**
  - Transaction requests lock **for a data item**
  - Transaction manager **grants** or **denies** lock

- **Lock types**
  - ***Shared:*** Need to have before read object
  - ***Exclusive:*** Need to have before write object

	Shared (S)	**Exclusive (X)**
Shared (S)	Yes	No
Exclusive (X)	No	No

How to ensure a serializable schedule?

- **Strawman 2:** Grab locks **independently**, for each data item (*e.g.*, bank accounts A and B)

transfer: ◢$_A$ r_A w_A ◣$_A$ ◢$_B$ r_B w_B ◣$_B$ ©

sum: ◿$_A$ r_A ◺$_A$ ◿$_B$ r_B ◺$_B$ ©

Permits this **non-serializable** interleaving

Time →

© = commit

◢ / ◿ = **eXclusive- / Shared-lock**; ◣ / ◺ = **X- / S-unlock**

Two-phase locking (2PL)

- **2PL rule:** Once a transaction has **released** a lock it is **not allowed to obtain** any other locks

- A **growing phase** when transaction acquires locks
- A **shrinking phase** when transaction releases locks

- In practice:
  - Growing phase is the entire transaction
  - Shrinking phase is during commit

2PL allows only serializable schedules

- **2PL rule:** Once a transaction has **released** a lock it is **not allowed to obtain** any other locks

transfer: ◢$_A$ r_A w_A ◣$_A$ ◢$_B$ r_B w_B ◣$_B$ ©

sum: ◿$_A$ r_A ◺$_A$ ◿$_B$ r_B ◺$_B$ ©

2PL **precludes** this **non-serializable** interleaving

Time →

© = commit

◢ / ◿ = **X- / S-lock**; ◣ / ◺ = **X- / S-unlock**

2PL and transaction concurrency

- **2PL rule:** Once a transaction has **released** a lock it is **not allowed to obtain** any other locks

transfer: ◿$_A$ r_A ◢$_A$ w_A ◿$_B$ r_B ◢$_B$ w_B ✻©

sum: ◿$_A$ r_A ◿$_B$ r_B ✻©

> 2PL **permits** this **serializable, interleaved** schedule

Time →

© = commit

◢ / ◿ = **X- / S-lock;** ◣ / ◺ = **X- / S-unlock;** ✻ **= release all locks**

2PL doesn't exploit all opportunities for concurrency

- **2PL rule:** Once a transaction has **released** a lock it is **not allowed to obtain** any other locks

transfer:	r_A	w_A		r_B	w_B	©		
sum:			r_A				r_B	©

2PL **precludes** this **serializable, interleaved** schedule

Time →

© = commit

(locking not shown)

Issues with 2PL

- What if a lock is unavailable? Is **deadlock** possible?
  - Yes; but a central controller can detect deadlock cycles and **abort involved transactions**

- The **phantom problem**
  - Database has fancier ops than key-value store
  - T1: begin_tx; update employee (set salary = 1.1 × salary) where dept = “CS”; commit_tx
  - T2: insert into employee (“carol”, “CS”)
    - Even if they lock individual data items, could result in **non-serializable execution**

Serializability versus linearizability

- **Linearizability:** a guarantee about **single** operations on **single** objects
  - Once write completes, all later reads (by wall clock) should reflect that write
- **Serializability** is a guarantee about **transactions** over **one or more** objects
  - Doesn't impose real-time constraints

- **Linearizability + serializability = *strict serializability***
  - Transaction behavior equivalent to some serial execution
    - **And** that serial execution **agrees with real-time**

Today

1. Techniques for achieving ACID properties
   – Write-ahead logging and check-pointing → **A,D**

   – Serializability and two-phase locking → **I**

2. **Algorithms for Recovery and Isolation Exploiting Semantics (ARIES)**

ARIES (Mohan, 1992)

- In IBM DB2 & MSFT SQL Server, gold standard
- Key ideas:

1. Refinement of WAL (steal/no-force buffer management policy)
2. Repeating history after restart due to a crash (***redo***)
3. Log every change, ***even undo operations during crash recovery***
   - Helps for repeated crash/restarts

ARIES' stable storage data structures

- Log, composed of log records, each containing:
  - ***LSN:*** Log sequence number (monotonic)
  - ***prevLSN***: Pointer to the previous log record for the same transaction
    - A linked list for each transaction, "threaded" through the log
- Pages
  - ***pageLSN***: Uniquely identifies the log record for the latest update applied to this page

ARIES' in-memory data structures

- ***Transaction table*** (***T-table***): one entry per transaction
  - Transaction identifier
  - Transaction status (running, committed, aborted)
  - ***lastLSN***: LSN of the most recent **log record** written by the transaction

- ***Dirty page table***: one entry per page
  - Page identifier
  - ***recoveryLSN***: LSN of log record for **earliest** change to that page **not on disk**

Transaction commit

1. Write ***commit*** log record to the (non-volatile) log
   – Signifies that the commit is ***beginning*** (it's not the actual commit point)

2. Write all log records associated with this transaction to the log

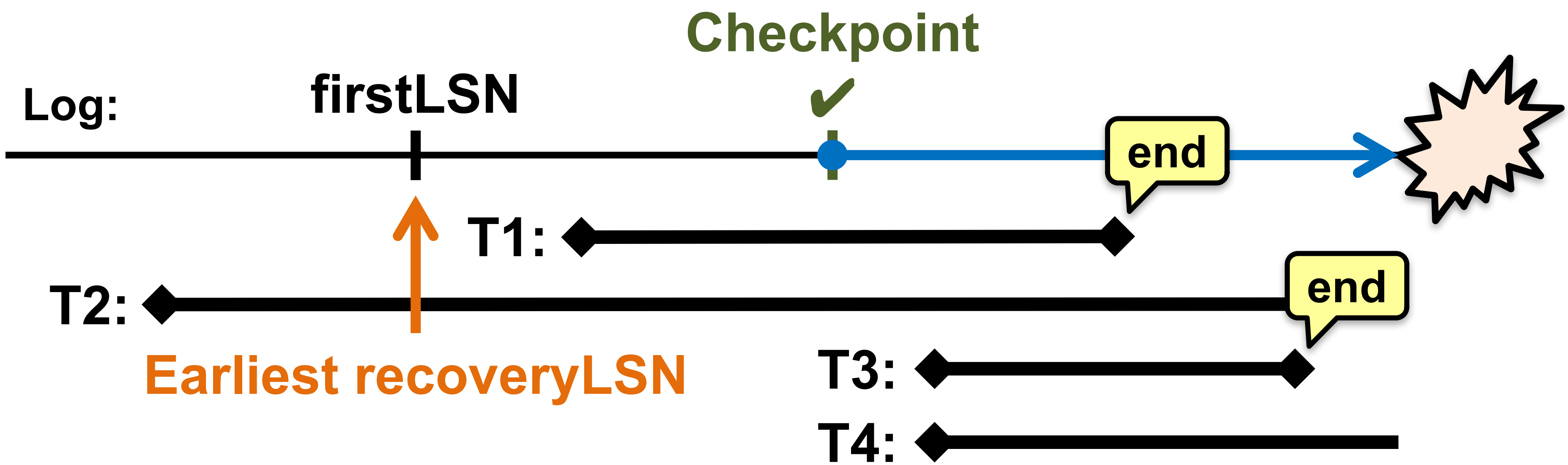
3. Write ***end*** log record to the log
   – This is the **actual "commit point"**

Checkpoint

- Happens while other transactions are running, as a separate transaction
  - Does not **flush dirty pages** to disk
  - Does tell us **how much to fix** on crash

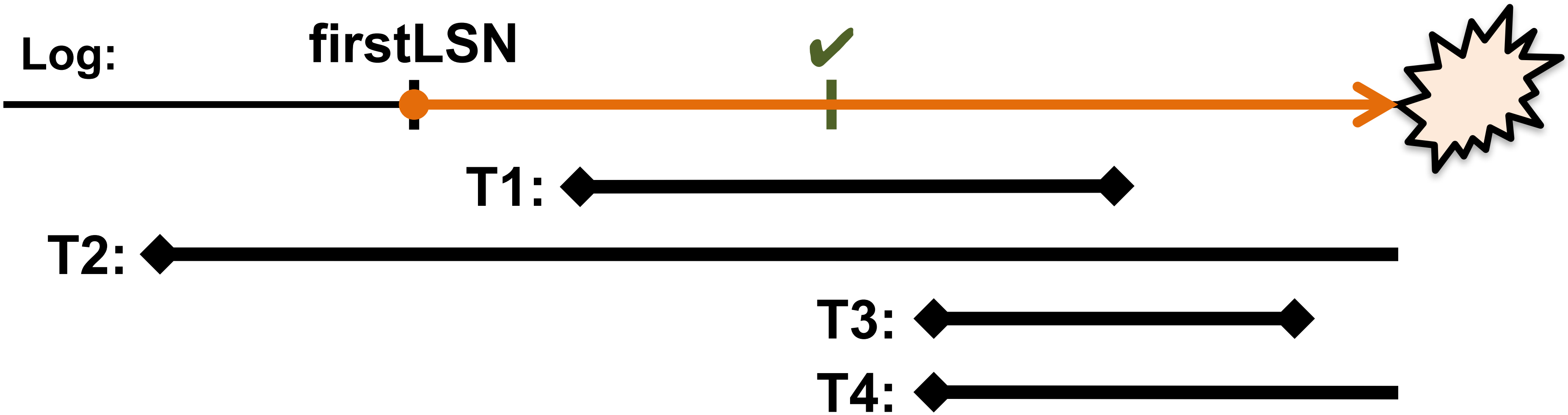
1. Write **"begin checkpoint"** to log
2. Write current **transaction table**, **dirty page table**, and **"end checkpoint"** to log
3. Force log to non-volatile storage
4. Store "begin checkpoint" LSN → **master record**

Crash recovery: Phase 1 (Analysis)



1. Start with **checkpointed** T- & dirty page-tables
2. Read log **forward from checkpoint,** updating tables
   - For **end** entries, remove T from T-table (T1, T3)
   - For other log entries, add (T2, T4) or update T-table
     - Add LSN to dirty page table's **recoveryLSN**

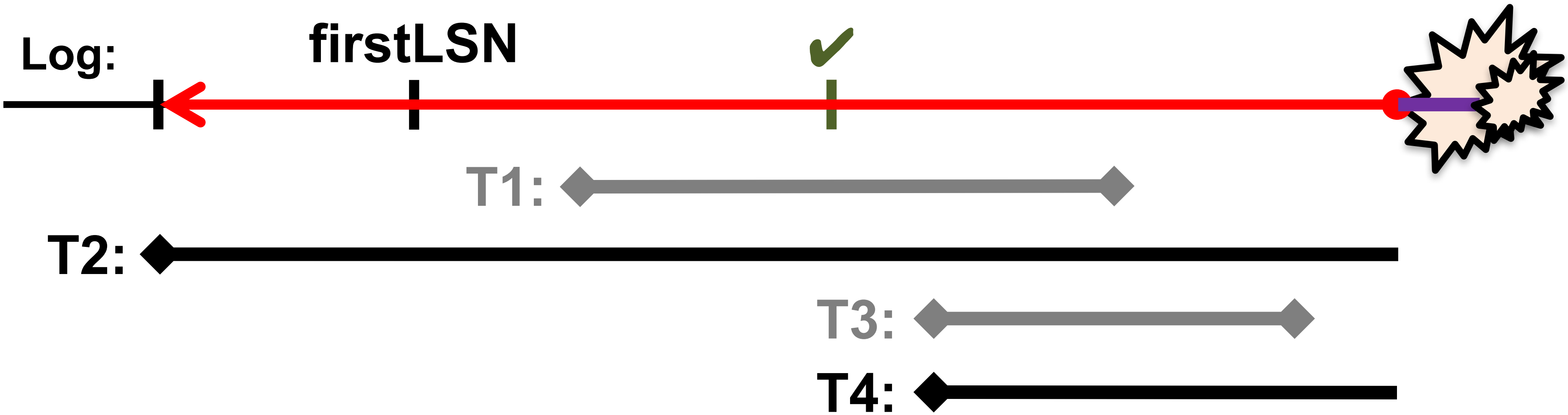
Crash recovery: Phase 2 (REDO)



- Start at **firstLSN**, scan log entries forward in time
  - Reapply action, update pageLSN

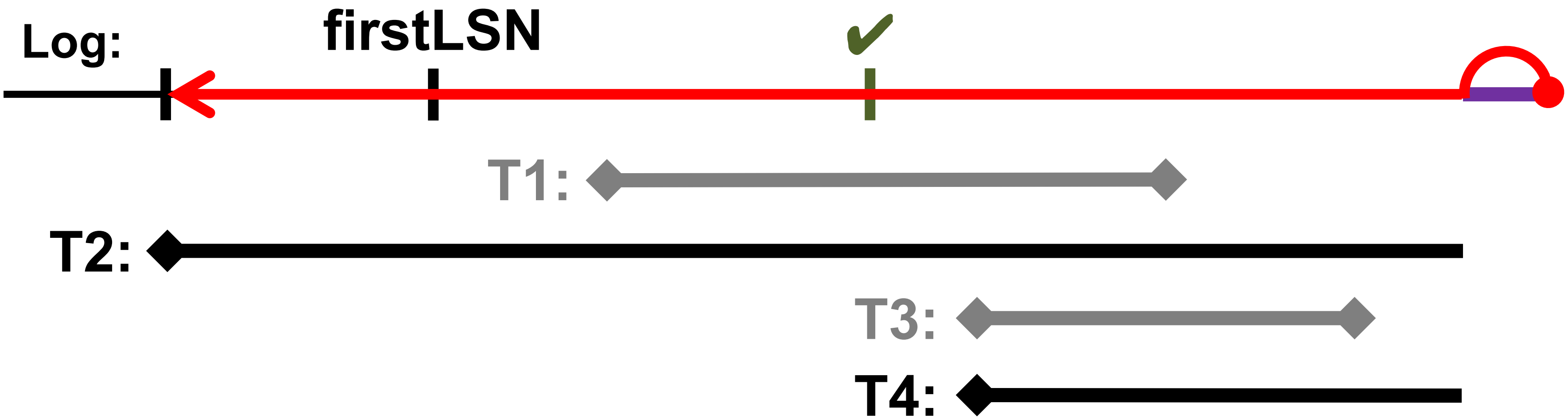
- Database state now matches state as recorded by log at the time of crash

Crash recovery: Phase 3 (UNDO)



- Scan log entries backwards from the end. For updates:
  - Write ***compensation log record*** (***CLR***) to log
    - Contains prevLSN for update: ***UndoNextLSN***
  - Undo the update's operation

Crash recovery: Phase 3 (UNDO)



- Scan log entries backwards from the end. For **CLRs**:
  - If UndoNextLSN = null, write **end record**
    - Undo for that transaction is done
  - Else, **skip to UndoNextLSN** for processing
    - Turned the undo into a redo, done in Phase 2

ARIES: Concluding thoughts

- Brings together all the concepts we've discussed for ACID, concurrent transactions

- Introduced redo for "repeating history," novel undo logging for repeated crashes

- For the interested: Compare with ***System R*** (not discussed in this class)

Wednesday topic:

Distributed Transactions