Carnegie Mellon University

17 Two-Phase Locking

Intro to Database Systems
15-445/15-645
Fall 2020

AP
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ADMINISTRIVIA

Project #3 is due Sun Nov 22nd @ 11:59pm.

Homework #4 is due Sun Nov 8th @ 11:59pm.

ADMINISTRIVIA

Sign up for the student-run discussion groups.
→ Small group of at most 10 students where you can discuss the implementation details of the projects.
→ You can share test code, but you are not allowed to share implementation code.

See Piazza@906 for more details.

UPCOMING DATABASE TALKS

MySQL Query Optimizer
→ Monday Nov 2nd @ 5pm ET

EraDB "Magical Indexes"
→ Monday Nov 9th @ 5pm ET

FaunaDB Serverless DBMS
→ Monday Nov 16th @ 5pm ET

LAST CLASS

Conflict Serializable

→ Verify using either the "swapping" method or dependency graphs.
→ Any DBMS that says that they support "serializable" isolation does this.

View Serializable

→ No efficient way to verify.
→ Andy doesn't know of any DBMS that supports this.

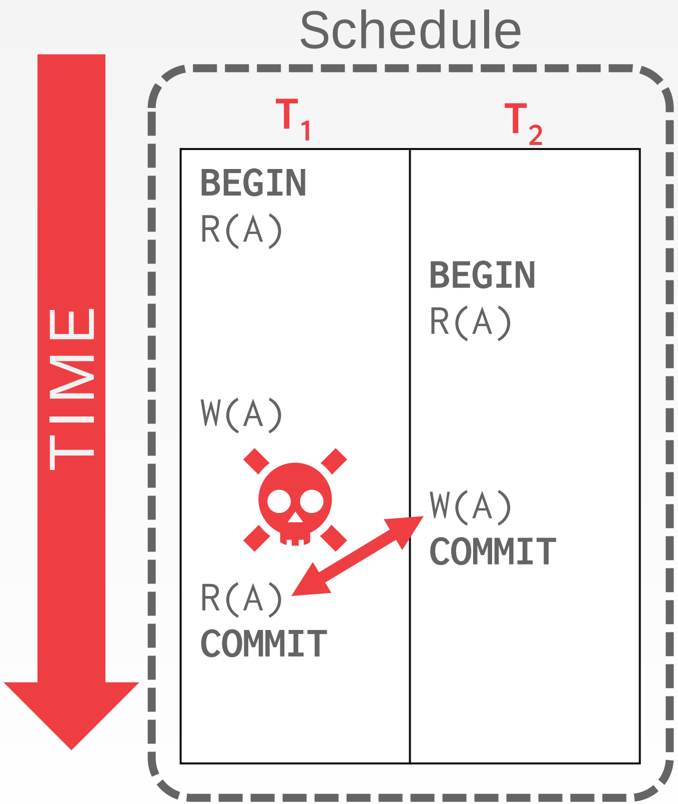
EXAMPLE

Schedule

TIME

T_1	T_2
BEGIN R(A)	
	BEGIN R(A)
W(A)	
	W(A) **COMMIT**
R(A) **COMMIT**	

EXAMPLE

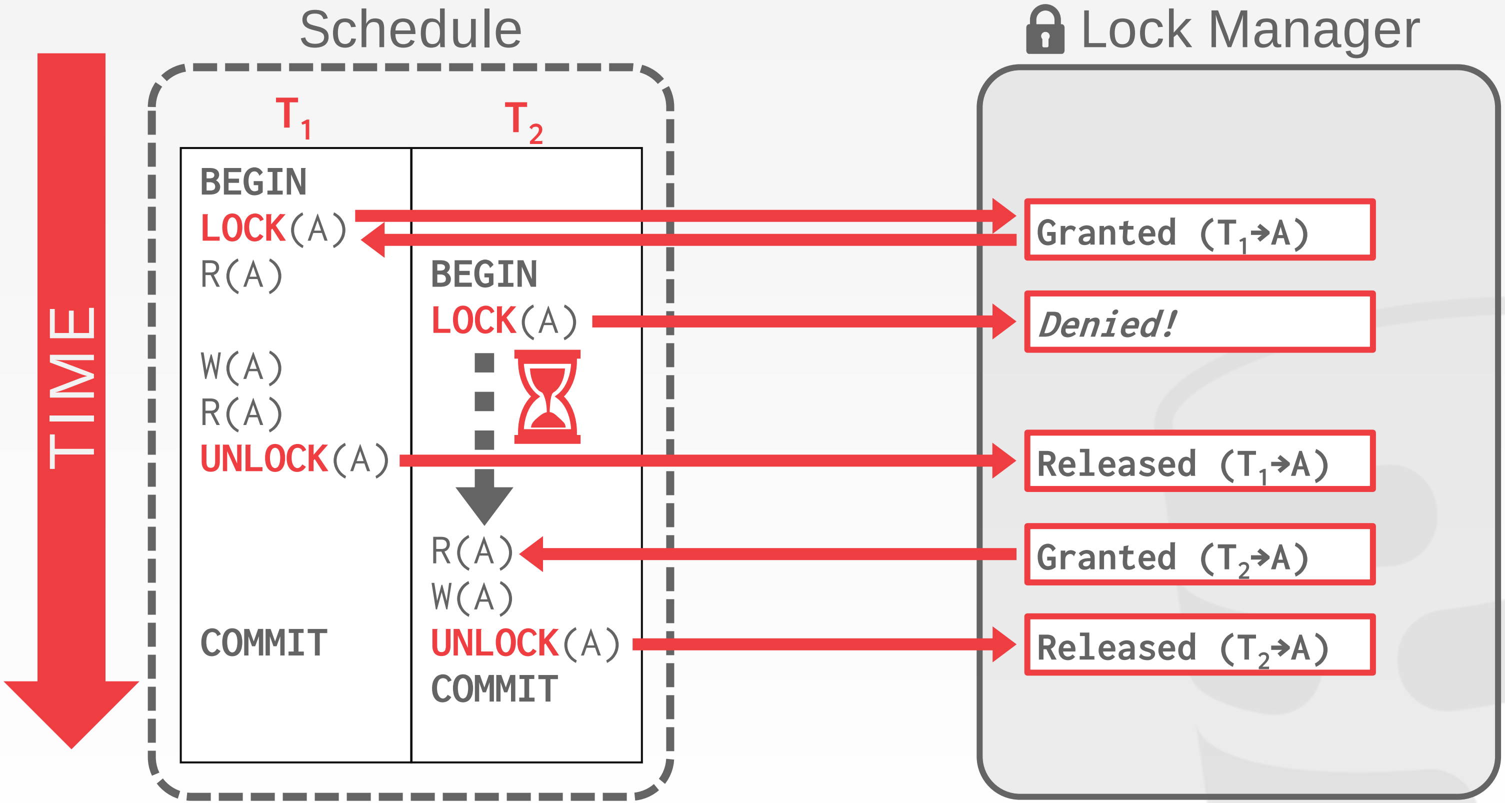


OBSERVATION

We need a way to guarantee that all execution schedules are correct (i.e., serializable) without knowing the entire schedule ahead of time.

Solution: Use **locks** to protect database objects.

EXECUTING WITH LOCKS



TODAY'S AGENDA

Lock Types

Two-Phase Locking

Deadlock Detection + Prevention

Hierarchical Locking

Isolation Levels

LOCKS VS. LATCHES

	Locks	*Latches*
Separate…	User transactions	Threads
Protect…	Database Contents	In-Memory Data Structures
During…	Entire Transactions	Critical Sections
Modes…	Shared, Exclusive, Update, Intention	Read, Write
Deadlock	Detection & Resolution	Avoidance
…by…	Waits-for, Timeout, Aborts	Coding Discipline
Kept in…	Lock Manager	Protected Data Structure

Source: Goetz Graefe

BASIC LOCK TYPES

S-LOCK: Shared locks for reads.

X-LOCK: Exclusive locks for writes.

Compatibility Matrix

	Shared	Exclusive
Shared	✔	X
Exclusive	X	X

EXECUTING WITH LOCKS

Transactions request locks (or upgrades).

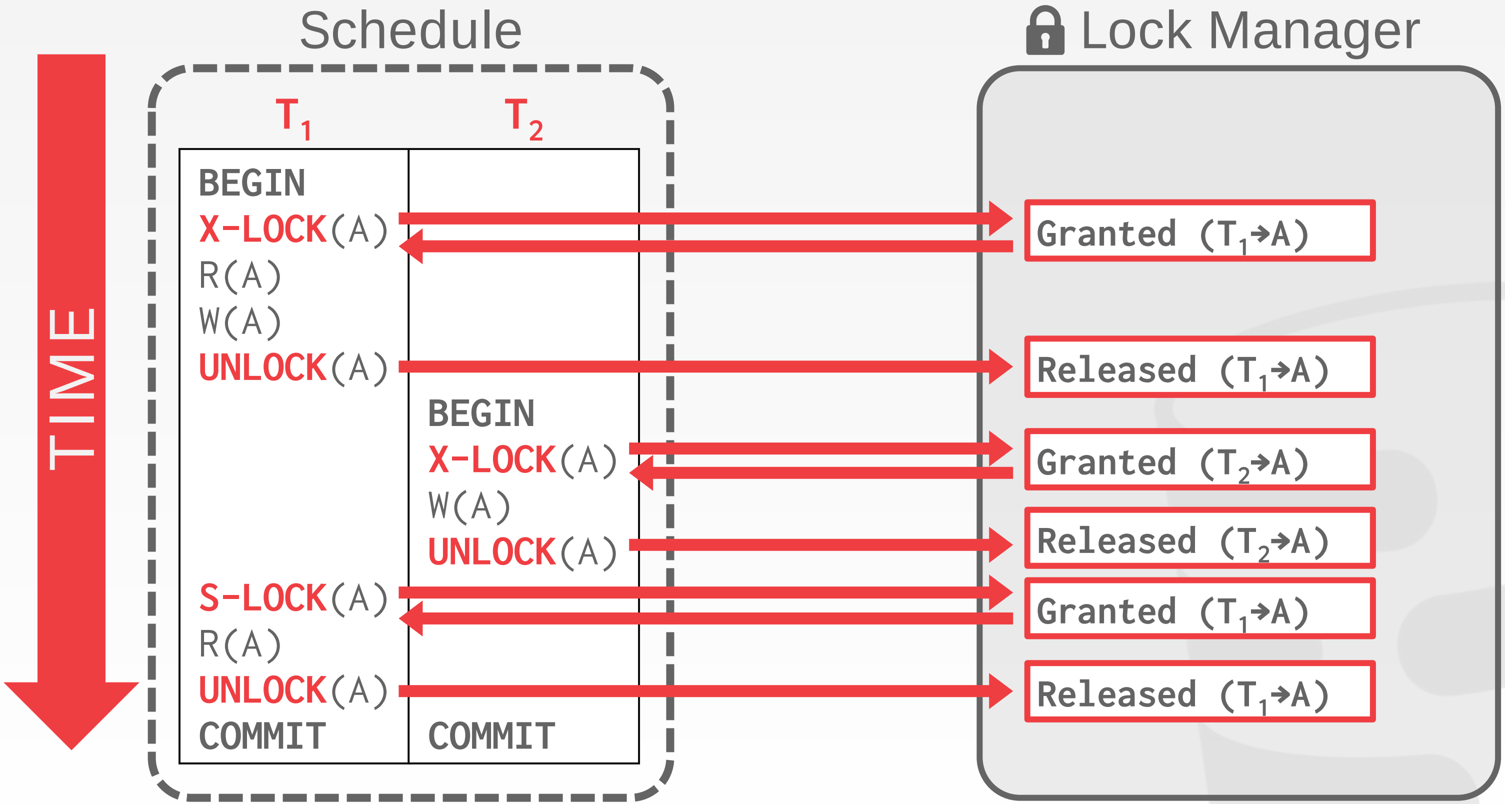
Lock manager grants or blocks requests.

Transactions release locks.

Lock manager updates its internal lock-table.

→ It keeps track of what transactions hold what locks and what transactions are waiting to acquire any locks.

EXECUTING WITH LOCKS



EXECUTING WITH LOCKS

Schedule

TIME

T_1	T_2
BEGIN	
X-LOCK(A)	
R(A)	
W(A)	
UNLOCK(A)	
	BEGIN
	X-LOCK(A)
	W(A)
	UNLOCK(A)
X-LOCK(A)	
R(A)	
UNLOCK(A)	
COMMIT	COMMIT

Lock Manager

- Granted ($T_1 \rightarrow A$)
- Released ($T_1 \rightarrow A$)
- Granted ($T_2 \rightarrow A$)
- Released ($T_2 \rightarrow A$)
- Granted ($T_1 \rightarrow A$)
- Released ($T_1 \rightarrow A$)

CONCURRENCY CONTROL PROTOCOL

Two-phase locking (2PL) is a concurrency control protocol that determines whether a txn can access an object in the database on the fly.

The protocol does <u>not</u> need to know all the queries that a txn will execute ahead of time.

TWO-PHASE LOCKING

Phase #1: Growing

→ Each txn requests the locks that it needs from the DBMS's lock manager.

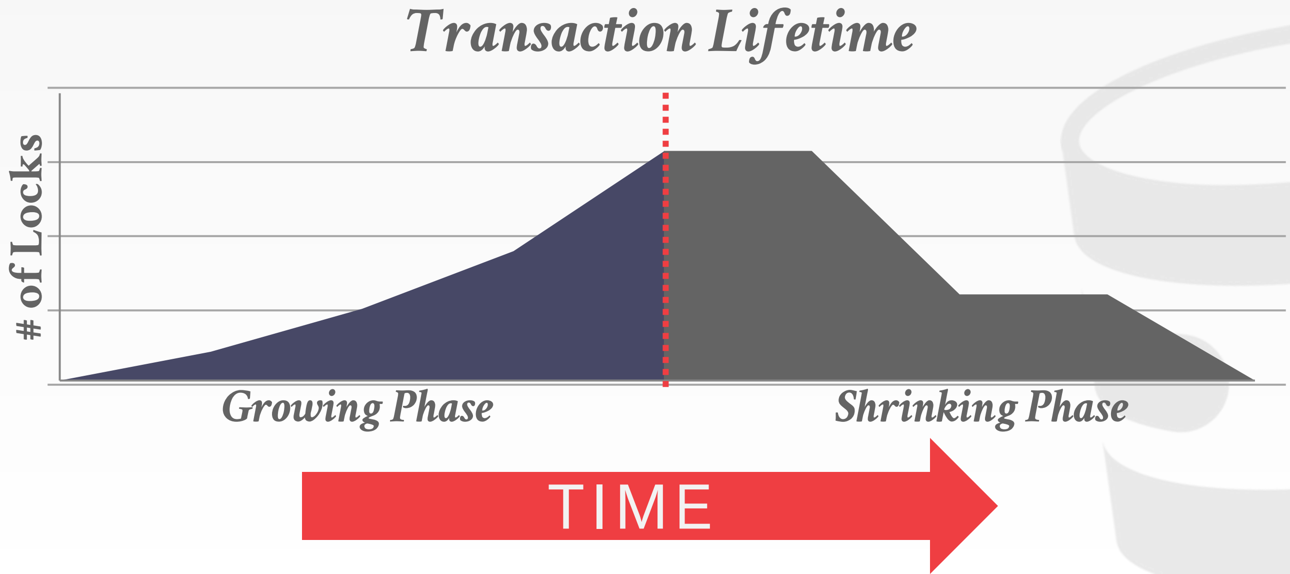
→ The lock manager grants/denies lock requests.

Phase #2: Shrinking

→ The txn is allowed to only release locks that it previously acquired. It cannot acquire new locks.

TWO-PHASE LOCKING

The txn is not allowed to acquire/upgrade locks after the growing phase finishes.



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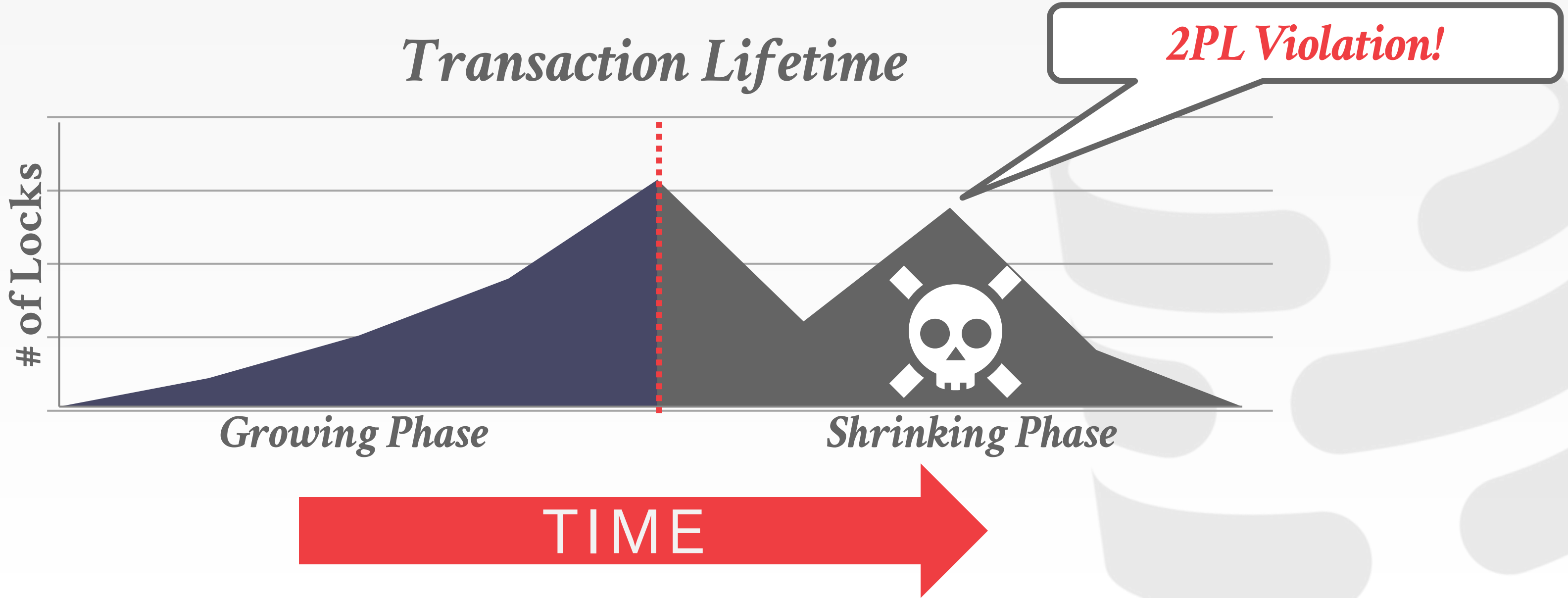
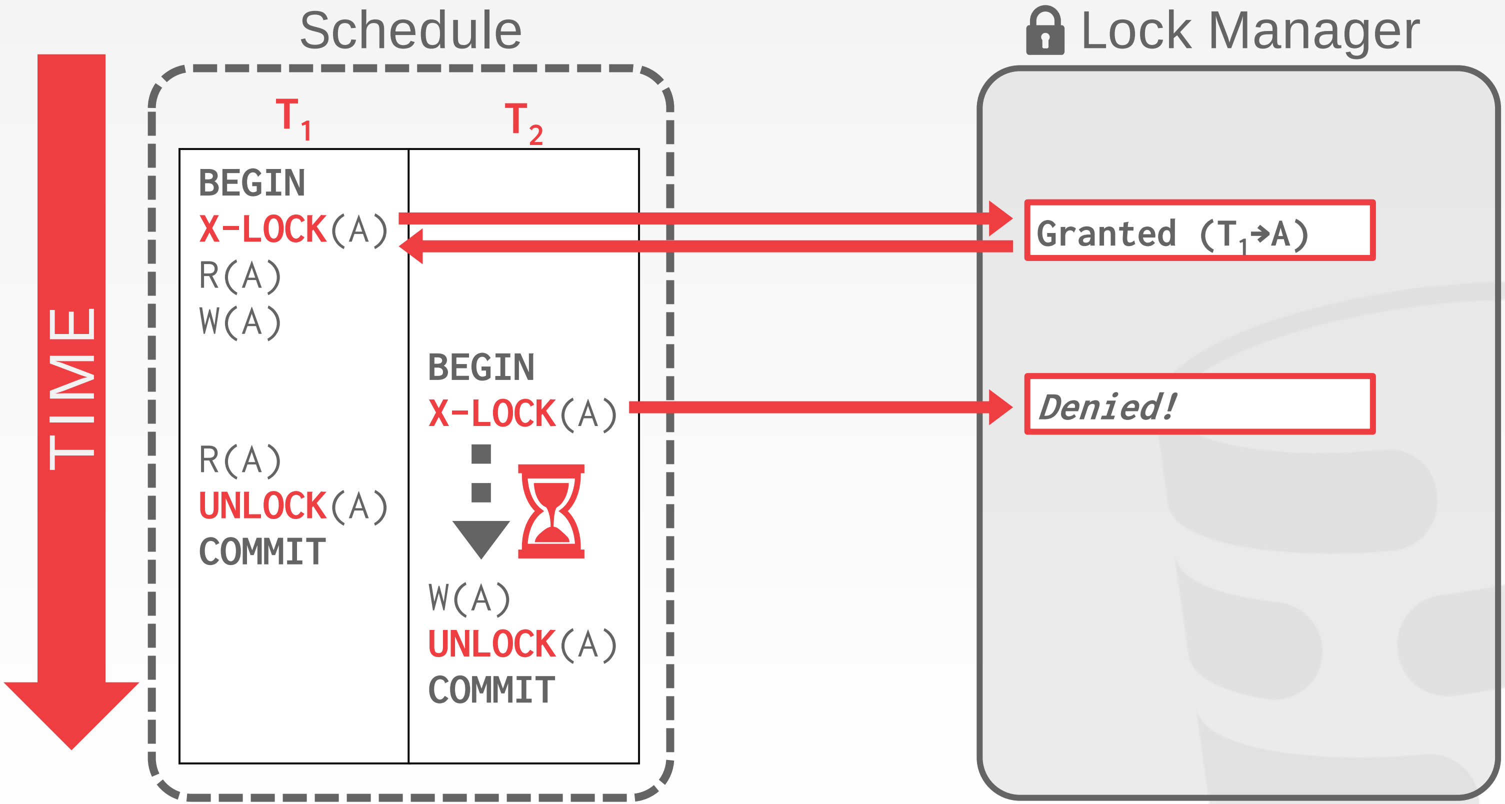
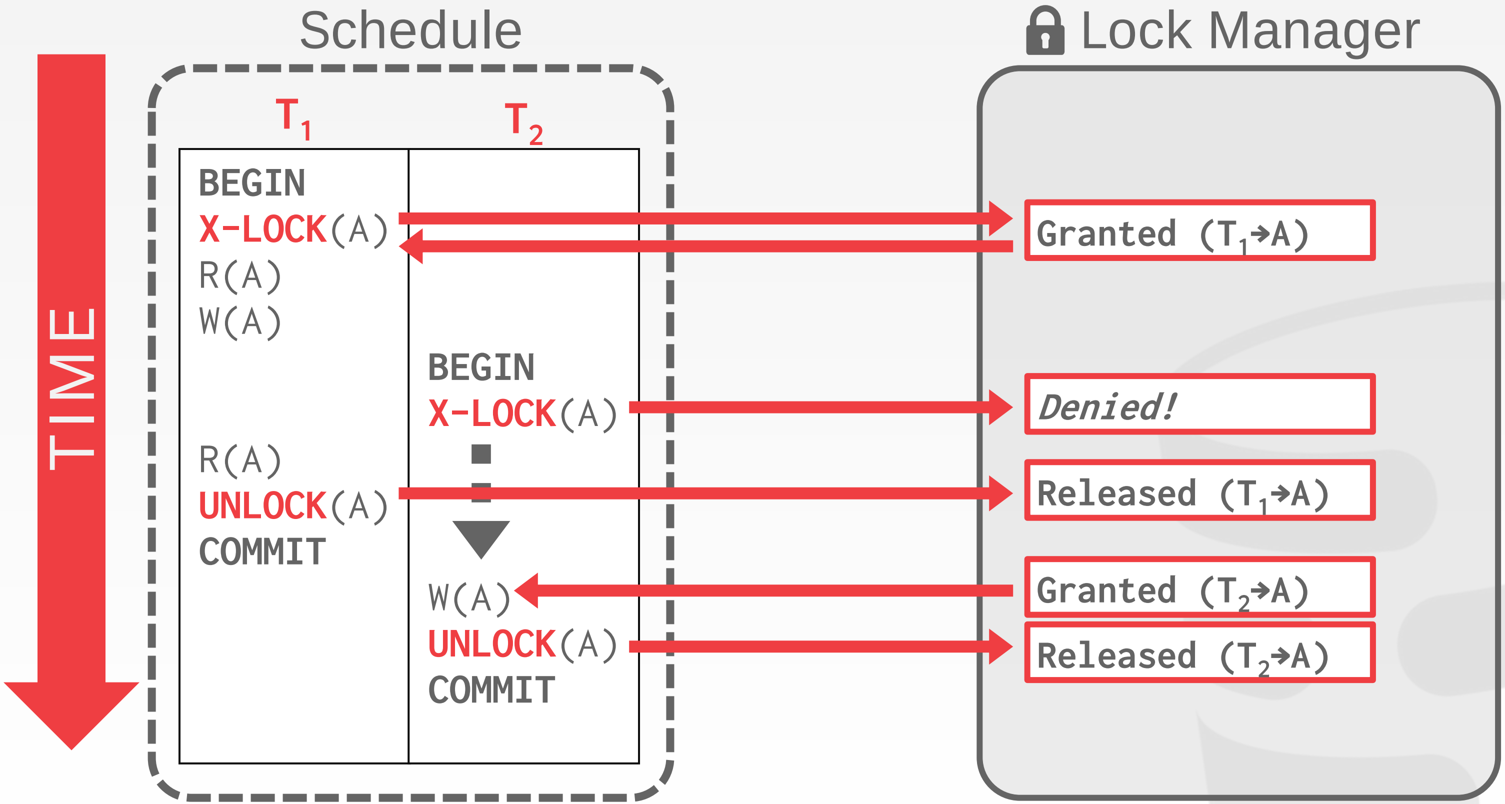


EXECUTING WITH 2PL



EXECUTING WITH 2PL



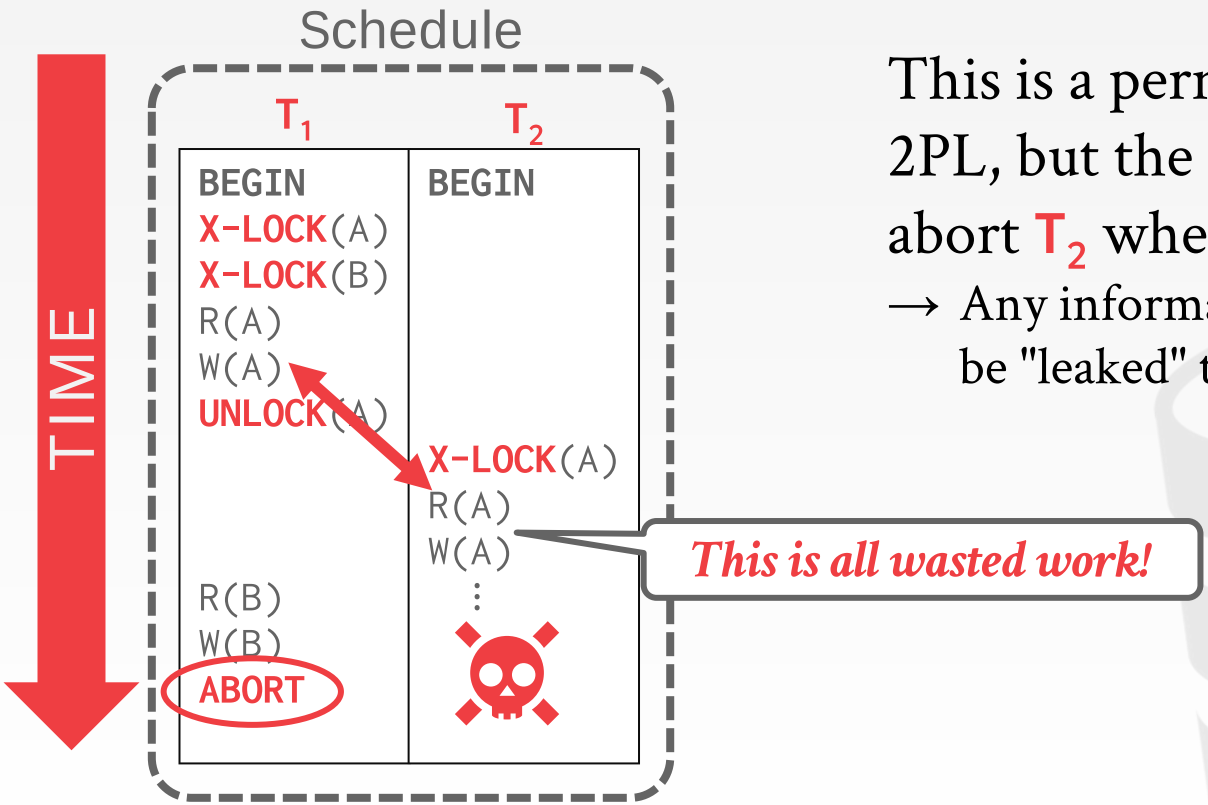
TWO-PHASE LOCKING

2PL on its own is sufficient to guarantee conflict serializability.

→ It generates schedules whose precedence graph is acyclic.

But it is subject to <u>**cascading aborts**</u>.

2PL – CASCADING ABORTS



This is a permissible schedule in 2PL, but the DBMS has to also abort T_2 when T_1 aborts.

→ Any information about T_1 cannot be "leaked" to the outside world.

2PL OBSERVATIONS

There are potential schedules that are serializable but would not be allowed by 2PL.

→ Locking limits concurrency.

May still have "dirty reads".

→ Solution: **Strong Strict 2PL (aka Rigorous 2PL)**

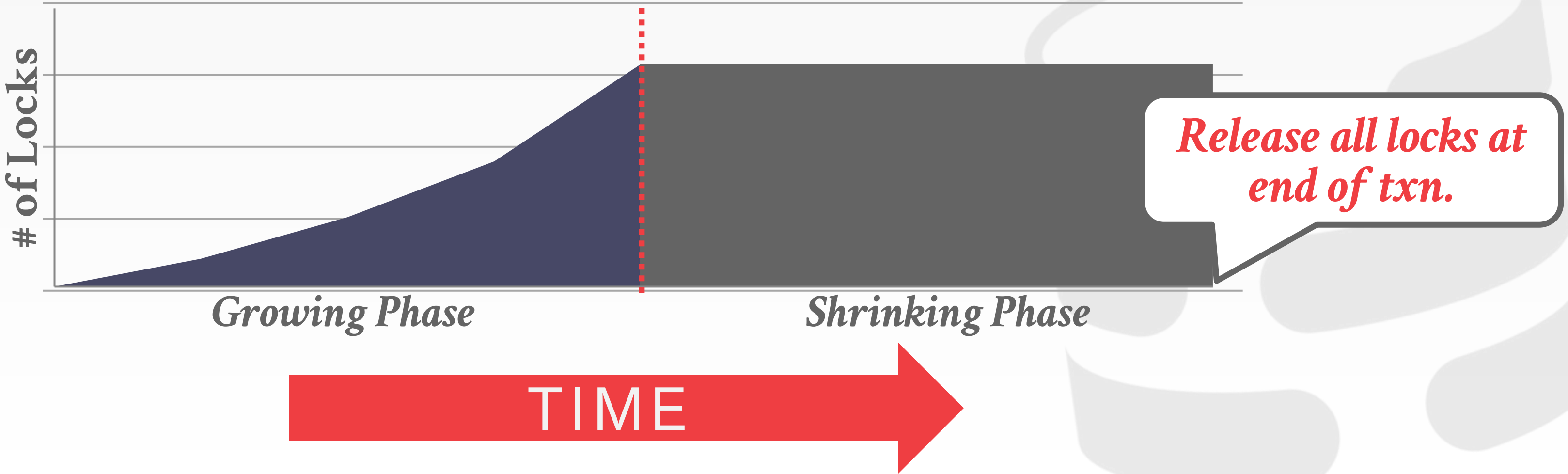
May lead to deadlocks.

→ Solution: **Detection** or **Prevention**

STRONG STRICT TWO-PHASE LOCKING

The txn is not allowed to acquire/upgrade locks after the growing phase finishes.

Allows only conflict serializable schedules, but it is often stronger than needed for some apps.



STRONG STRICT TWO-PHASE LOCKING

A schedule is **strict** if a value written by a txn is not read or overwritten by other txns until that txn finishes.

Advantages:

→ Does not incur cascading aborts.

→ Aborted txns can be undone by just restoring original values of modified tuples.

EXAMPLES

T_1 – Move $100 from Andy's account (**A**) to his bookie's account (**B**).

T_2 – Compute the total amount in all accounts and return it to the application.

T_1

```
BEGIN
A=A-100
B=B+100
COMMIT
```

T_2

```
BEGIN
ECHO A+B
COMMIT
```

NON-2PL EXAMPLE

Schedule

TIME

T_1	T_2
BEGIN	BEGIN
X-LOCK(A)	
R(A)	
	S-LOCK(A)
A=A-100	
W(A)	
UNLOCK(A)	
	R(A)
	UNLOCK(A)
	S-LOCK(B)
X-LOCK(B)	
	R(B)
	UNLOCK(B)
R(B)	ECHO A+B
B=B+100	COMMIT
W(B)	
UNLOCK(B)	
COMMIT	

Initial Database State

A=1000, B=1000

T_2 Output

A+B=1100

2PL EXAMPLE

Schedule

TIME

T_1	T_2
BEGIN	BEGIN
X-LOCK(A)	
R(A)	S-LOCK(A)
A=A-100	
W(A)	
X-LOCK(B)	
UNLOCK(A)	R(A)
	S-LOCK(B)
R(B)	
B=B+100	
W(B)	
UNLOCK(B)	R(B)
COMMIT	UNLOCK(A)
	UNLOCK(B)
	ECHO A+B
	COMMIT

Initial Database State

A=1000, B=1000

T_2 Output

A+B=2000

STRONG STRICT 2PL EXAMPLE

Schedule

TIME

T_1	T_2
BEGIN	BEGIN
X-LOCK(A)	
R(A)	S-LOCK(A)
A=A-100	
W(A)	
X-LOCK(B)	
R(B)	
B=B+100	
W(B)	
UNLOCK(A)	
UNLOCK(B)	R(A)
COMMIT	S-LOCK(B)
	R(B)
	ECHO A+B
	UNLOCK(A)
	UNLOCK(B)
	COMMIT

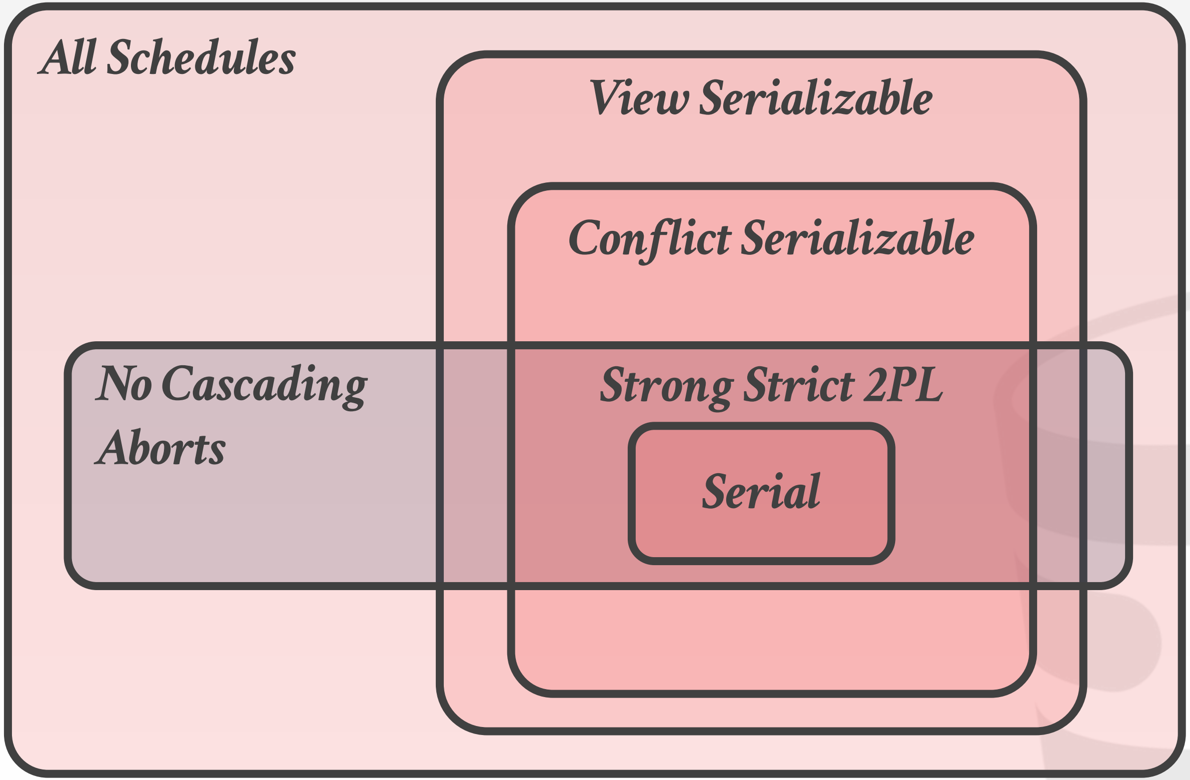
Initial Database State

A=1000, B=1000

T_2 Output

A+B=2000

UNIVERSE OF SCHEDULES



2PL OBSERVATIONS

There are potential schedules that are serializable but would not be allowed by 2PL.

→ Locking limits concurrency.

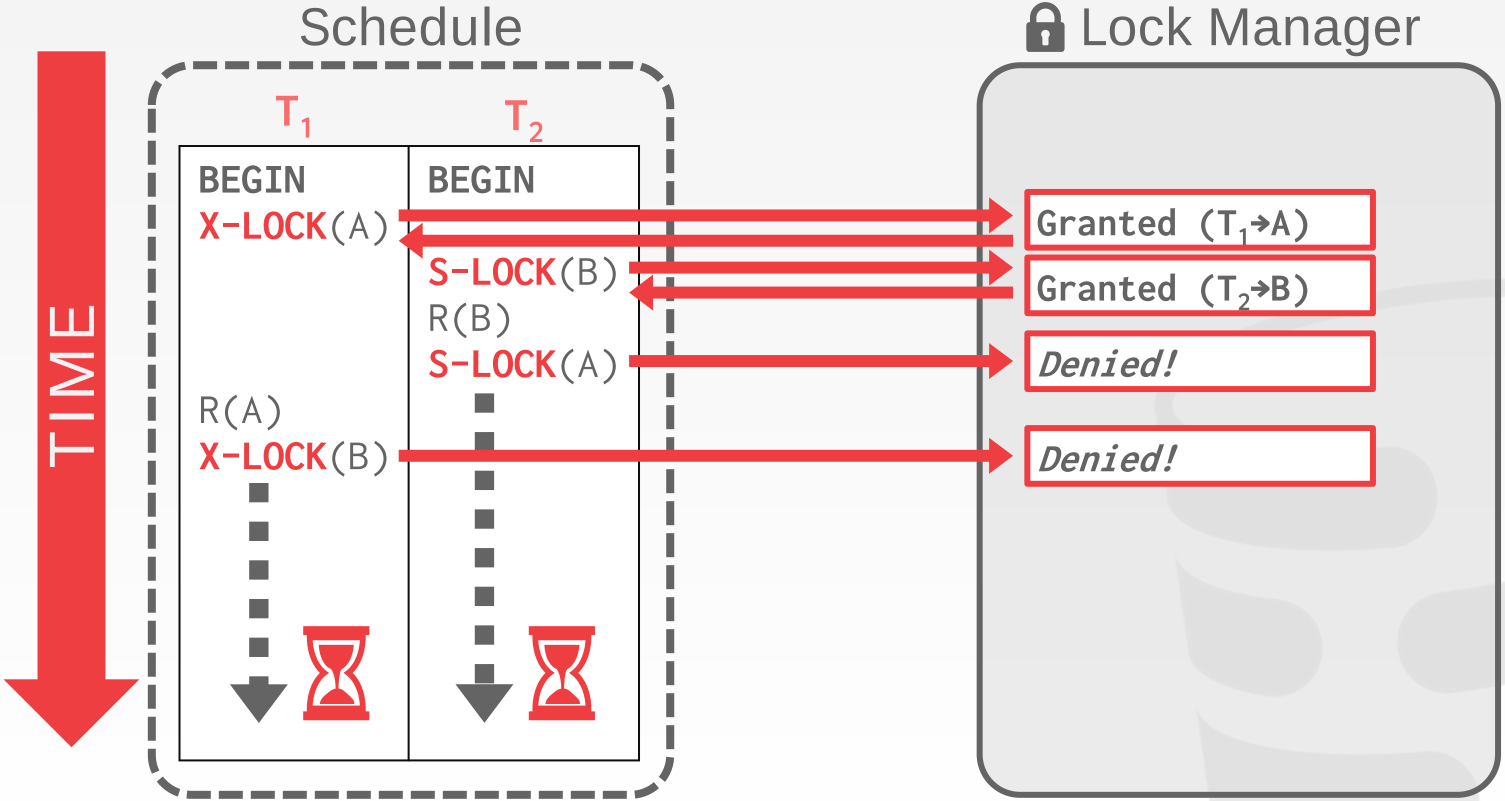
May still have "dirty reads".

→ Solution: **Strong Strict 2PL (Rigorous)**

May lead to deadlocks.

→ Solution: **Detection** or **Prevention**

SHIT JUST GOT REAL, SON



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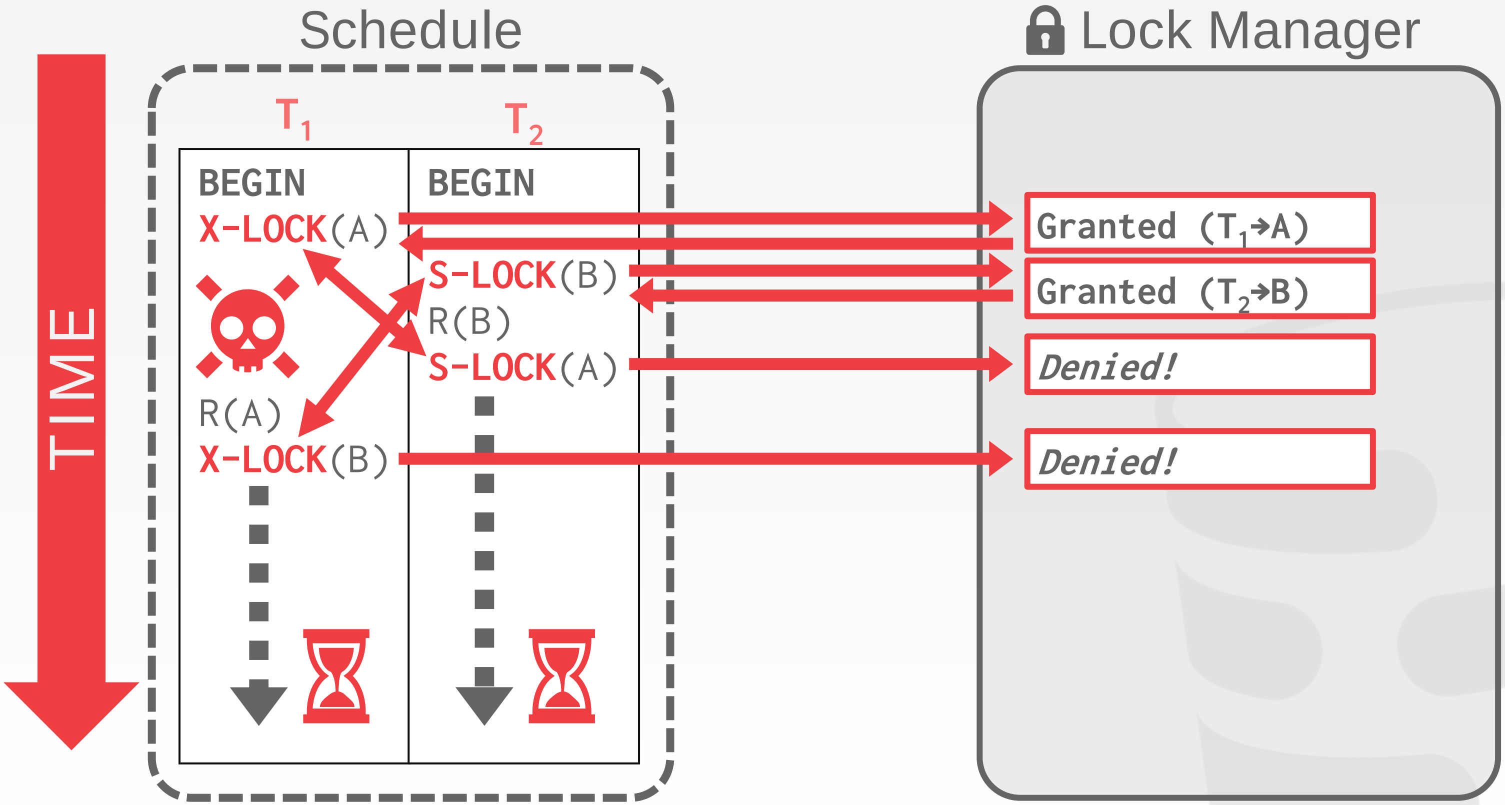


2PL DEADLOCKS

A **deadlock** is a cycle of transactions waiting for locks to be released by each other.

Two ways of dealing with deadlocks:
→ **Approach #1: Deadlock Detection**
→ **Approach #2: Deadlock Prevention**

DEADLOCK DETECTION

The DBMS creates a **waits-for** graph to keep track of what locks each txn is waiting to acquire:
→ Nodes are transactions
→ Edge from T_i to T_j if T_i is waiting for T_j to release a lock.

The system periodically checks for cycles in ***waits-for*** graph and then decides how to break it.

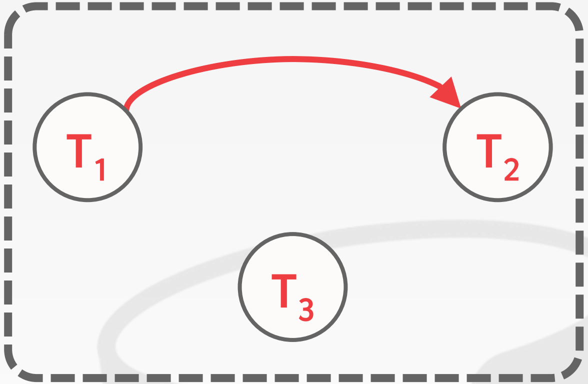
DEADLOCK DETECTION

Schedule

TIME

T_1	T_2	T_3
BEGIN	BEGIN	BEGIN
S-LOCK(A)		
	X-LOCK(B)	
		S-LOCK(C)
S-LOCK(B)		
	X-LOCK(C)	
		X-LOCK(A)

Waits-For Graph



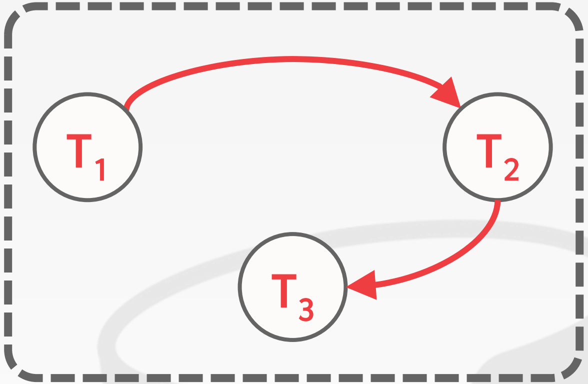
DEADLOCK DETECTION

Schedule

TIME

T_1	T_2	T_3
BEGIN	BEGIN	BEGIN
S-LOCK(A)		
	X-LOCK(B)	
		S-LOCK(C)
S-LOCK(B)		
	X-LOCK(C)	
		X-LOCK(A)

Waits-For Graph



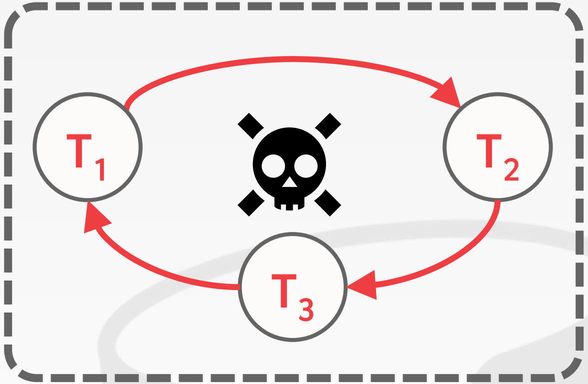
DEADLOCK DETECTION

Schedule

TIME

T_1	T_2	T_3
BEGIN	BEGIN	BEGIN
S-LOCK(A)		
	X-LOCK(B)	
		S-LOCK(C)
S-LOCK(B)		
	X-LOCK(C)	
		X-LOCK(A)

Waits-For Graph



DEADLOCK HANDLING

When the DBMS detects a deadlock, it will select a "victim" txn to rollback to break the cycle.

The victim txn will either restart or abort(more common) depending on how it was invoked.

There is a trade-off between the frequency of checking for deadlocks and how long txns have to wait before deadlocks are broken.

DEADLOCK HANDLING: VICTIM SELECTION

Selecting the proper victim depends on a lot of different variables….

→ By age (lowest timestamp)
→ By progress (least/most queries executed)
→ By the # of items already locked
→ By the # of txns that we have to rollback with it

We also should consider the # of times a txn has been restarted in the past to prevent starvation.

DEADLOCK HANDLING: ROLLBACK LENGTH

After selecting a victim txn to abort, the DBMS can also decide on how far to rollback the txn's changes.

Approach #1: Completely

Approach #2: Minimally

DEADLOCK PREVENTION

When a txn tries to acquire a lock that is held by another txn, the DBMS kills one of them to prevent a deadlock.

This approach does not require a ***waits-for*** graph or detection algorithm.

DEADLOCK PREVENTION

Assign priorities based on timestamps:

→ Older Timestamp = Higher Priority (e.g., $T_1 > T_2$)

Wait-Die ("Old Waits for Young")

→ If *requesting txn* has higher priority than *holding txn*, then *requesting txn* waits for *holding txn*.

→ Otherwise *requesting txn* aborts.

Wound-Wait ("Young Waits for Old")

→ If *requesting txn* has higher priority than *holding txn*, then *holding txn* aborts and releases lock.

→ Otherwise *requesting txn* waits.

DEADLOCK PREVENTION

T_1	T_2
BEGIN	
	BEGIN
	X-LOCK(A)
	⋮
X-LOCK(A)	
⋮	

Wait-Die: T_1 waits

Wound-Wait: T_2 aborts

T_1	T_2
BEGIN	
X-LOCK(A)	
⋮	
	BEGIN
	X-LOCK(A)
	⋮

Wait-Die: T_2 aborts

Wound-Wait: T_2 waits

DEADLOCK PREVENTION

Why do these schemes guarantee no deadlocks?

Only one "type" of direction allowed when waiting for a lock.

When a txn restarts, what is its (new) priority?

Its original timestamp. Why?

OBSERVATION

All these examples have a one-to-one mapping from database objects to locks.

If a txn wants to update one billion tuples, then it must acquire one billion locks.

Acquiring locks is a more expensive operation than acquiring a latch even if that lock is available.

LOCK GRANULARITIES

When a txn wants to acquire a "lock", the DBMS can decide the granularity (i.e., scope) of that lock.

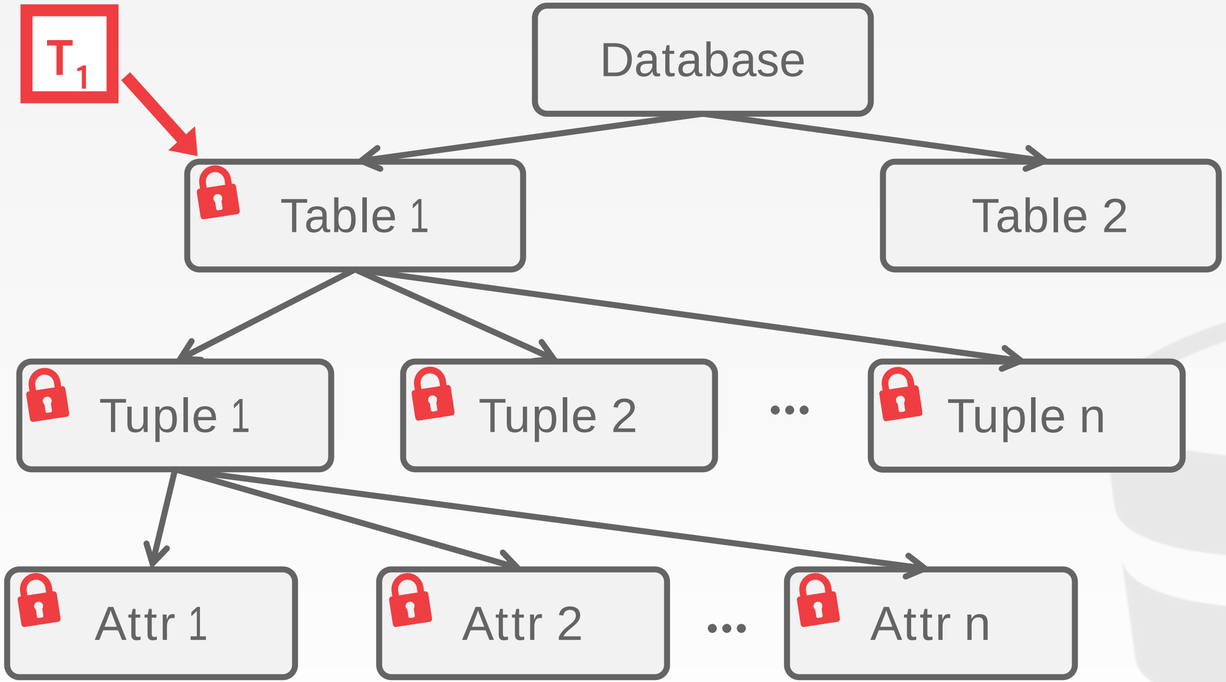
→ Attribute? Tuple? Page? Table?

The DBMS should ideally obtain fewest number of locks that a txn needs.

Trade-off between parallelism versus overhead.

→ Fewer Locks, Larger Granularity vs. More Locks, Smaller Granularity.

DATABASE LOCK HIERARCHY



EXAMPLE

T_1 – Get the balance of Andy's shady off-shore bank account.

T_2 – Increase Biden's bank account balance by 1%.

What locks should these txns obtain?

→ **Exclusive** + **Shared** for leaf nodes of lock tree.

→ Special **Intention** locks for higher levels.

INTENTION LOCKS

An **intention lock** allows a higher-level node to be locked in **shared** or **exclusive** mode without having to check all descendent nodes.

If a node is locked in an intention mode, then some txn is doing explicit locking at a lower level in the tree.

INTENTION LOCKS

Intention-Shared (IS)

→ Indicates explicit locking at lower level with shared locks.

Intention-Exclusive (IX)

→ Indicates explicit locking at lower level with exclusive locks.

Shared+Intention-Exclusive (SIX)

→ The subtree rooted by that node is locked explicitly in **shared** mode and explicit locking is being done at a lower level with **exclusive-mode** locks.

COMPATIBILITY MATRIX

T_2 Wants

T_1 Holds

	IS	IX	S	SIX	X
IS	✔	✔	✔	✔	×
IX	✔	✔	×	×	×
S	✔	×	✔	×	×
SIX	✔	×	×	×	×
X	×	×	×	×	×

LOCKING PROTOCOL

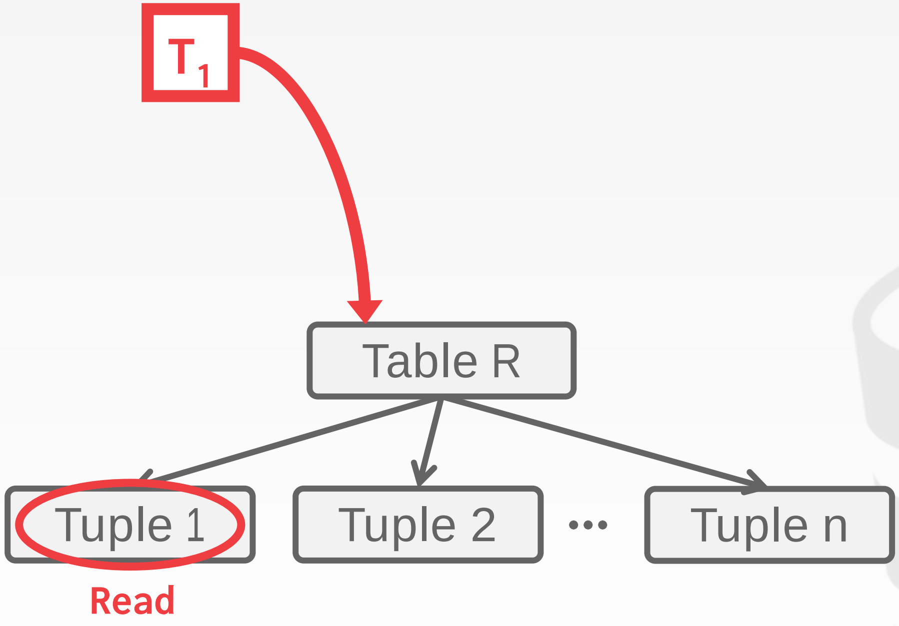
Each txn obtains appropriate lock at highest level of the database hierarchy.

To get **S** or **IS** lock on a node, the txn must hold at least **IS** on parent node.

To get **X**, **IX**, or **SIX** on a node, must hold at least **IX** on parent node.

EXAMPLE – TWO-LEVEL HIERARCHY

Read Andy's record in R.



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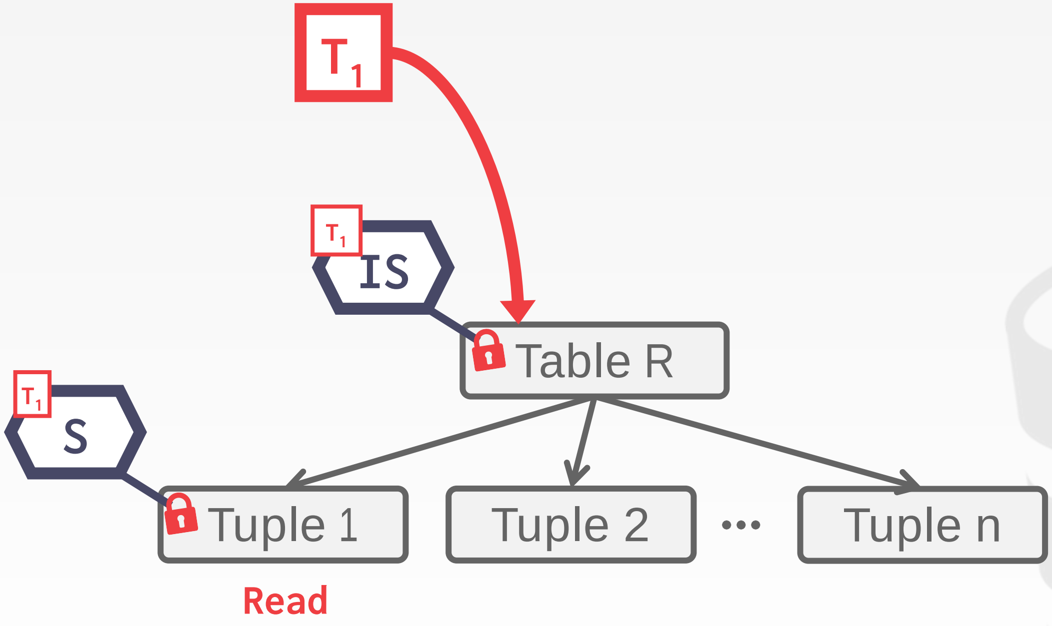
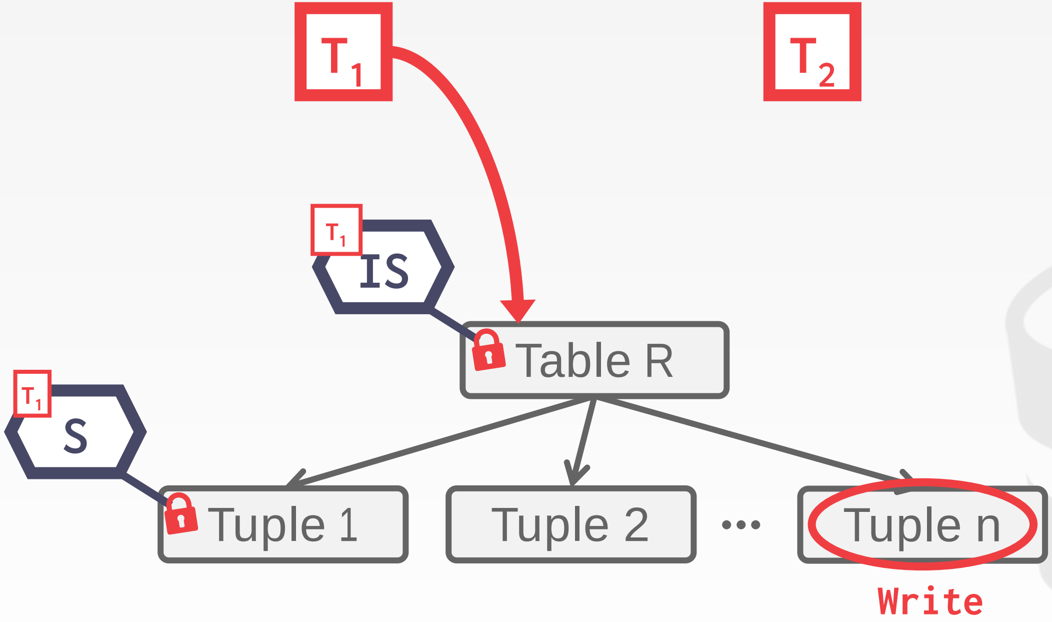


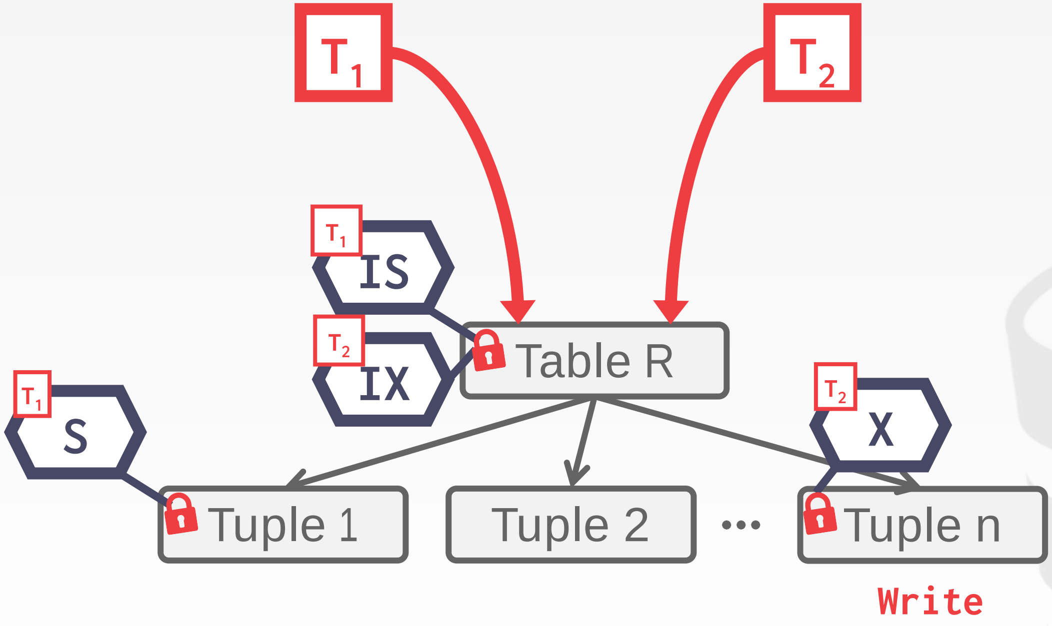
EXAMPLE – TWO-LEVEL HIERARCHY

Update Biden's record in R.



EXAMPLE – TWO-LEVEL HIERARCHY

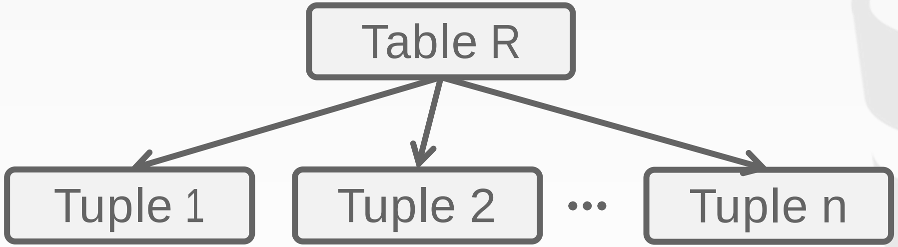
Update Biden's record in R.



EXAMPLE – THREESOME

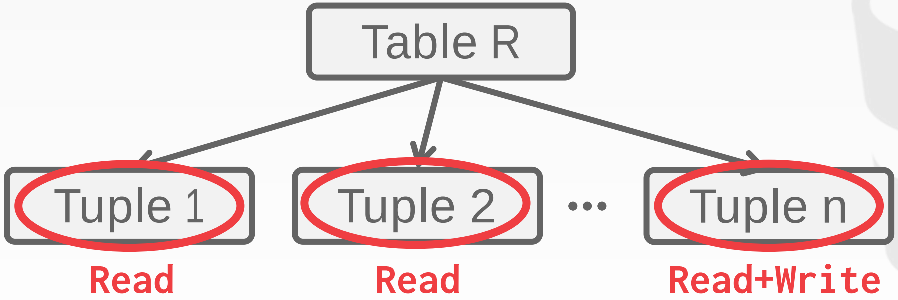
Assume three txns execute at same time:

→ T_1 – Scan **R** and update a few tuples.
→ T_2 – Read a single tuple in **R**.
→ T_3 – Scan all tuples in **R**.



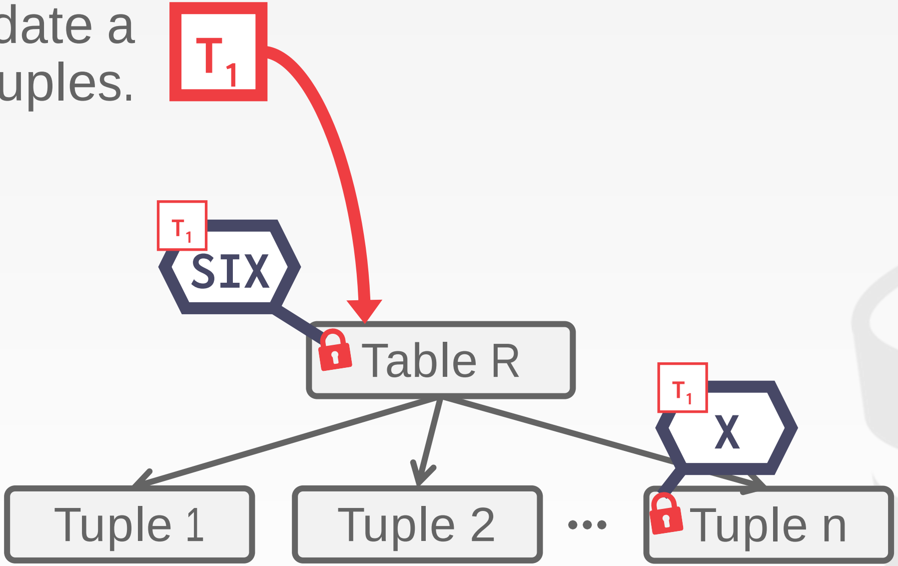
EXAMPLE – THREESOME

Scan **R** and update a few tuples. T_1

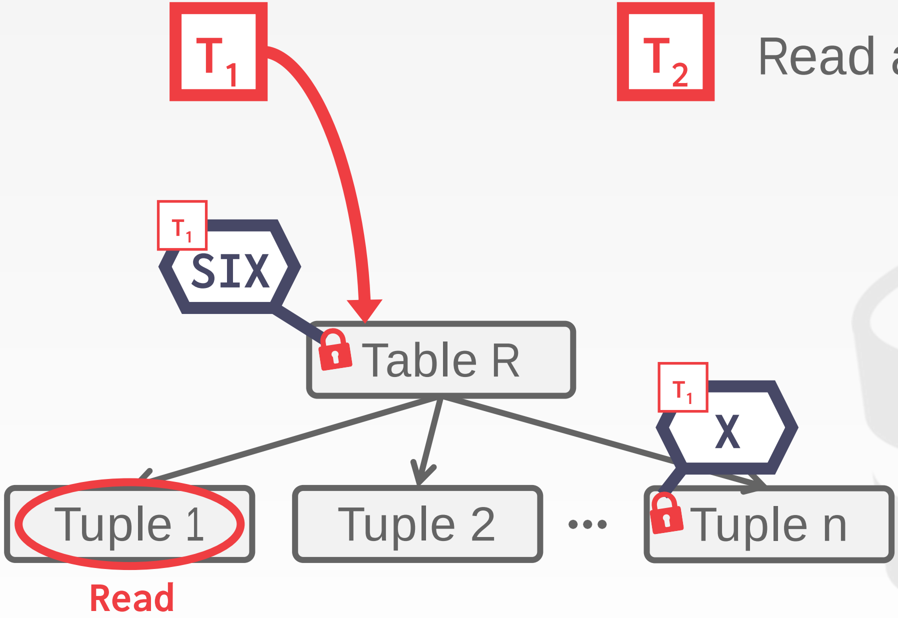


EXAMPLE – THREESOME

Scan **R** and update a few tuples.



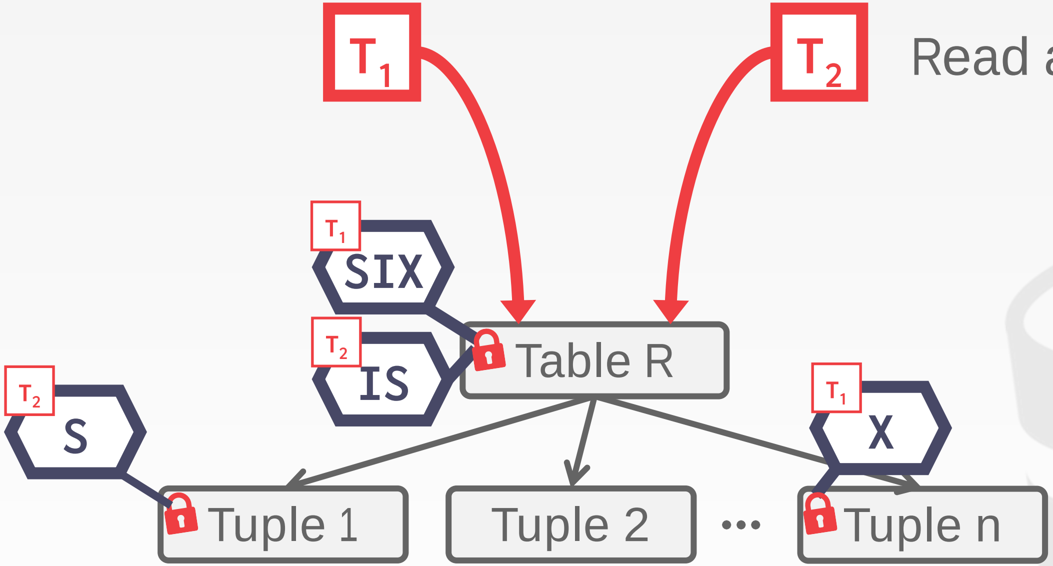
EXAMPLE – THREESOME



T_2 Read a single tuple in **R**.

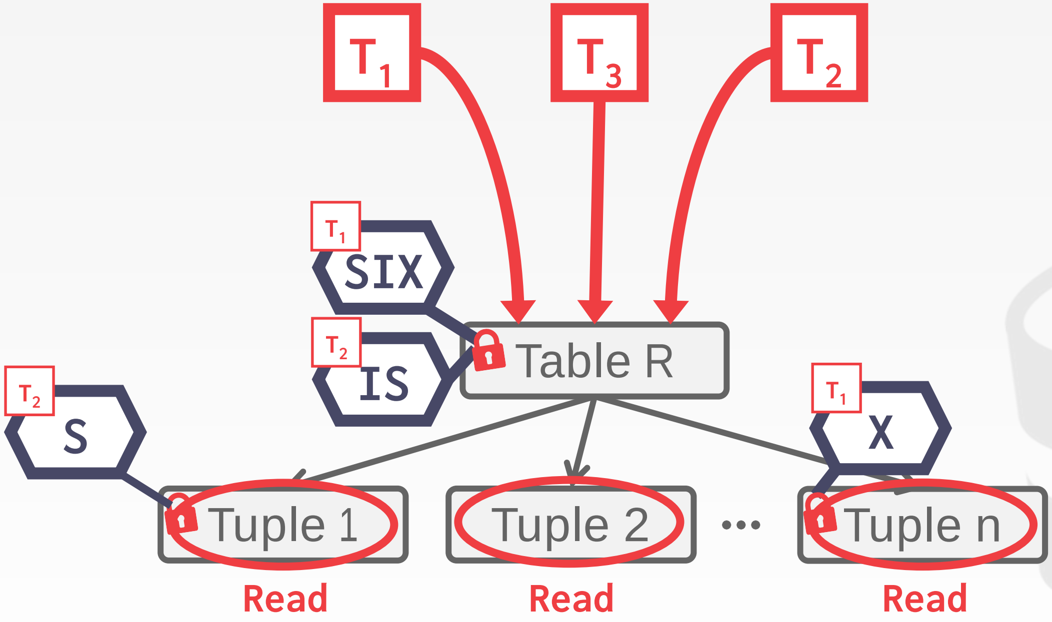
EXAMPLE – THREESOME

Read a single tuple in **R**.



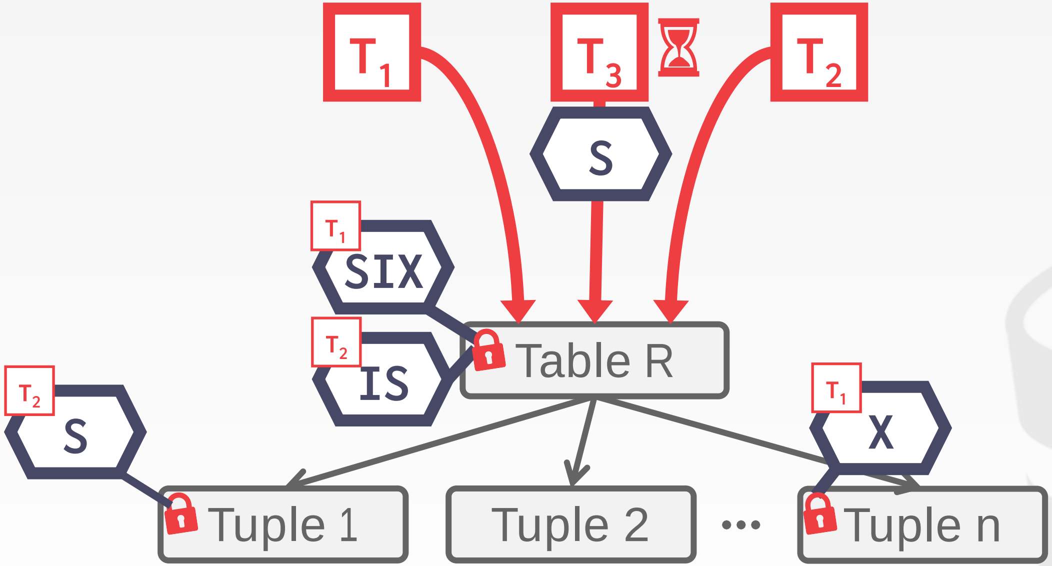
EXAMPLE – THREESOME

Scan all tuples in **R**.



EXAMPLE – THREESOME

Scan all tuples in **R**.



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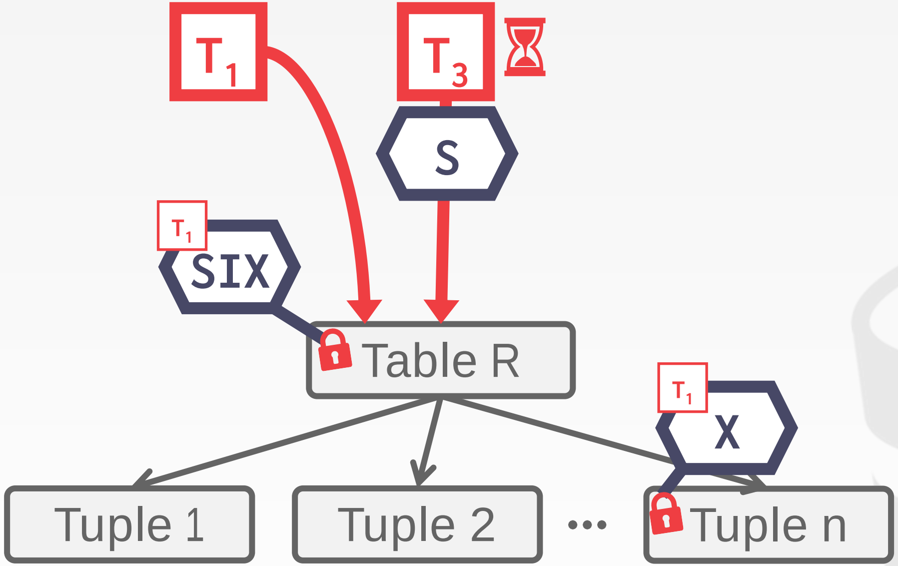
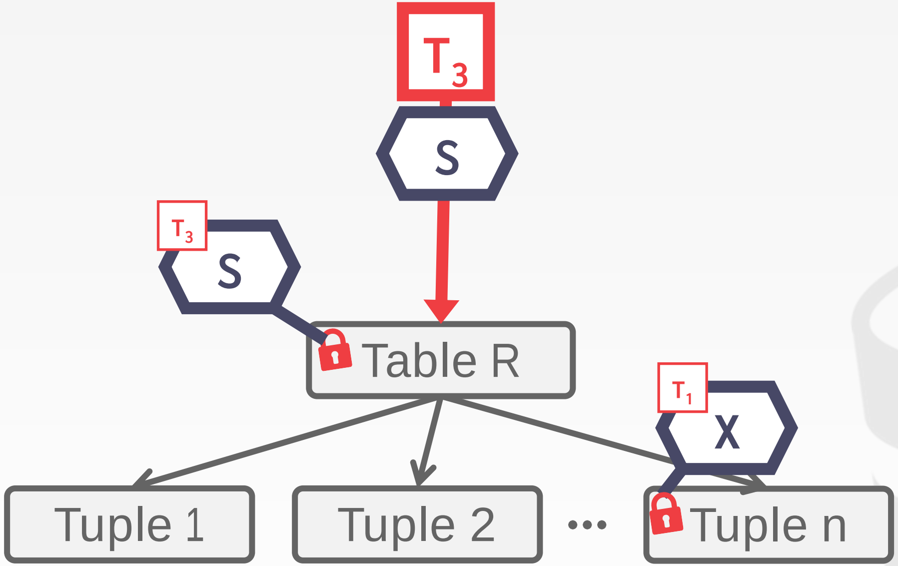
Scan all tuples in **R**.



EXAMPLE – THREESOME

Scan all tuples in **R**.



MULTIPLE LOCK GRANULARITIES

Hierarchical locks are useful in practice as each txn only needs a few locks.

Intention locks help improve concurrency:

→ **Intention-Shared (IS)**: Intent to get **S** lock(s) at finer granularity.
→ **Intention-Exclusive (IX)**: Intent to get **X** lock(s) at finer granularity.
→ **Shared+Intention-Exclusive (SIX)**: Like **S** and **IX** at the same time.

LOCK ESCALATION

Lock escalation dynamically asks for coarser-grained locks when too many low-level locks acquired.

This reduces the number of requests that the lock manager must process.

LOCKING IN PRACTICE

You typically don't set locks manually in txns.

Sometimes you will need to provide the DBMS with hints to help it to improve concurrency.

Explicit locks are also useful when doing major changes to the database.

LOCK TABLE

Explicitly locks a table.

Not part of the SQL standard.

→ Postgres/DB2/Oracle Modes: **SHARE**, **EXCLUSIVE**

→ MySQL Modes: **READ**, **WRITE**

PostgreSQL / ORACLE / IBM DB2

```
LOCK TABLE <table> IN <mode> MODE;
```

Microsoft SQL Server

```
SELECT 1 FROM <table> WITH (TABLOCK, <mode>);
```

MySQL

```
LOCK TABLE <table> <mode>;
```

SELECT...FOR UPDATE

Perform a select and then sets an exclusive lock on the matching tuples.

Can also set shared locks:

→ Postgres: **FOR SHARE**

→ MySQL: **LOCK IN SHARE MODE**

```
SELECT * FROM <table>
 WHERE <qualification> FOR UPDATE;
```

CONCLUSION

2PL is used in almost DBMS.

Automatically generates correct interleaving:
→ Locks + protocol (2PL, SS2PL ...)
→ Deadlock detection + handling
→ Deadlock prevention

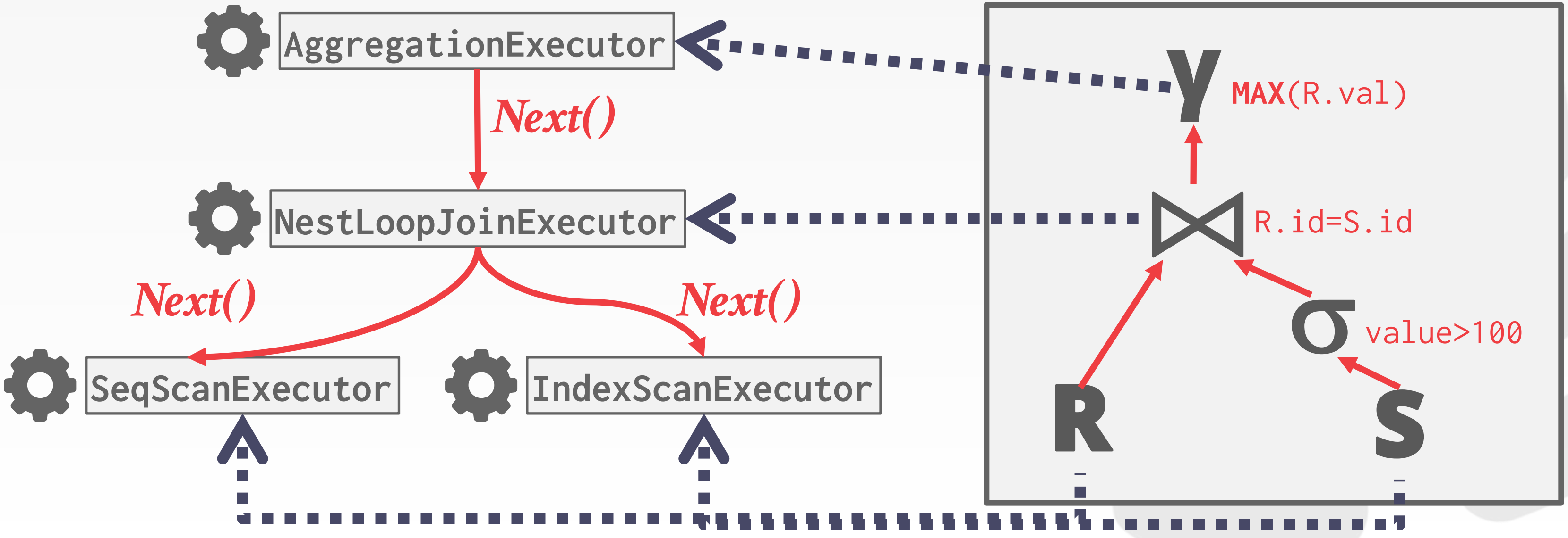
NEXT CLASS

Timestamp Ordering Concurrency Control

PROJECT #3 – QUERY EXECUTION

You will build a query execution engine in your DBMS.

```
SELECT MAX(R.val)
  FROM R JOIN S
    ON R.id = S.id
 WHERE S.value > 100
```



PROJECT #3 – TASKS

Install Tables + Indexes in Catalog

Plan Node Executors

→ Access Methods: Sequential Scan, Index Scan
→ Modifications: Insert, Update, Delete
→ Miscellaneous: Nest Loop Join, Index Join, Hash-based Aggregation, Limit/Offset

https://15445.courses.cs.cmu.edu/fall2020/project3/

DEVELOPMENT HINTS

Implement the **Insert** and **Sequential Scan** executors first so that you can populate tables and read from it.

You do **not** need to worry about transactions.

The aggregation hash table does **not** need to be backed by your buffer pool (i.e., use STL)

Gradescope is for meant for grading, **not** debugging. Write your own local tests.

THINGS TO NOTE

Do **not** change any file other than the ones that you submit to Gradescope.

Rebase on top of the latest BusTub master branch.

Post your questions on Piazza or come to TA office hours.

PLAGIARISM WARNING

Your project implementation must be your own work.

→ You may **not** copy source code from other groups or the web.
→ Do **not** publish your implementation on Github.

Plagiarism will **not** be tolerated. See CMU's Policy on Academic Integrity for additional information.