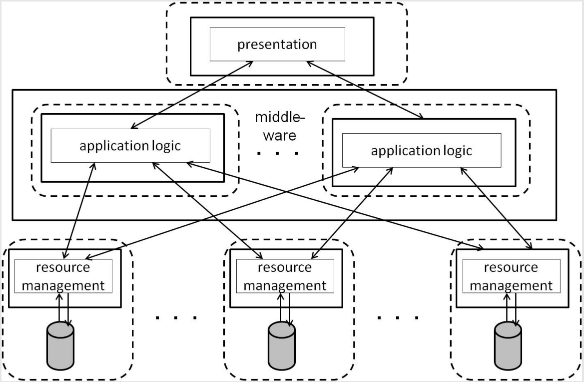
4. Distributed Concurrency Control

General reference architecture.



Federated system

4.1: Preliminaries

Sites and subtransactions

- Let be given a fixed number of sites across which the data is distributed. The server at site i, $1 \leq i \leq n$ is responsible for a (finite) set D_i of data items. The corresponding global database is given as $D = \cup_{i=1}^{n} D_i$.
- Data items are not replicated; thus $D_i \cap D_j = \emptyset$, $i \neq j$.
- Let $\mathcal{T} = \{T_1, \ldots, T_m\}$ be a set of transactions, where $T_i = (OP_i, <_i)$, $1 \leq i \leq m$.
- Transaction T_i is called *global*, if its actions are running at more than one server; otherwise it is called *local*.
- The part of a transaction T_i being executed at a certain site j is called *subtransaction* and is denoted by T_{ij}.

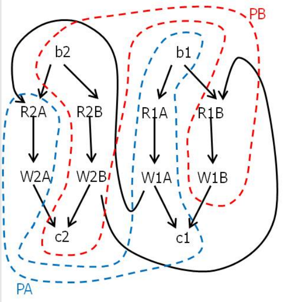
Local and global schedules

We are interested in deciding whether or not the execution of a set of transactions is serializable, or not.

- At the local sites we can observe an evolving sequence of the respective transactions' actions.
- We would like to decide whether or not all these locally observable sequences imply a (globally) serializable schedule.
- However, on the global level we cannot observe an evolving sequence, as there does not exist a notion of global physical time.

Example

Schedule:



Observed local schedules:

$$\begin{array}{ll} \text{Site 1 (PA)}: & R_1A\ W_1A\ R_2A\ W_2A \\ \text{Site 2 (PB)}: & R_2B\ W_2B\ R_1B\ W_1B \end{array}$$

Can schedules be represented as action sequences, as well?

… yes, we call them *global schedules*.

From now on local and global schedules are sequences of actions!

Let $\mathcal{T} = \{T_1, \ldots, T_m\}$ be a set of transactions being executed at n sites. Let $S_1, \ldots, S_n$ be the corresponding local schedules.

A *global schedule* of $\mathcal{T}$ with respect to $S_1, \ldots, S_n$ is any sequence S of the actions of the transactions in $\mathcal{T}$, such that its projection onto the local sites equals the corresponding local schedules $S_1, \ldots, S_n$.

Example

Consider local schedules $S_1 = R_1A\ W_2A$ and $S_2 = W_1B\ R_2B$.

Global schedules:
$S : R_1A\ W_1B\ W_2A\ R_2B$
$S' : R_1A\ W_1B\ R_2B\ W_2A$

Not a global schedule: $S'' : R_1A\ R_2B\ W_1B\ W_2A$

Examples where there does not exist a serializable global schedule

- $T_1 = R_1A\ W_1B$, $T_2 = R_2C\ W_2A$ are global transactions and $T_3 = R_3B\ W_3C$ is a local transaction.

  $S_1: \quad R_1A \quad W_2A$
  $S_2: \quad R_3B \quad W_1B \quad R_2C \quad W_3C$

  Note, in S_2 subtransactions T_{12} and T_{22} have no confliciting actions!

- $T_1 = RA\ RD$ und $T_2 = RB\ RC$ are global transactions, while $T_3 = RA\ RB\ WA\ WB$ and $T_4 = RD\ WD\ RC\ WC$ are local transactions.

  $S_1: \quad R_1A \quad R_3A \quad R_3B \quad W_3A \quad W_3B \quad R_2B$
  $S_2: \quad R_4D \quad W_4D \quad R_1D \quad R_2C \quad R_4C \quad W_4C$

  Note, both global transactions are only reading and, in particular, disjoint data sets!

In both examples the local schedules are serializable, however no serializable global schedule exists.

Serializability of global schedules

- As we do not have replication of data items, whenever there is a conflict in a global schedule, the same conflict must be part of exactly one local schedule.
- Consequently, the conflict graph of a global schedule is given as the union of the conflict graphs of the respective local schedules.
- In particular, given a set of local schedules, either all or none corresponding global schedule is serializable.

Examples

- $$\begin{array}{lllll} S_1: & R_1A & W_1A & R_2A & W_2A \\ S_2: & R_2B & W_2B & R_1B & W_1B \end{array}$$

- $$\begin{array}{lllll} S_1: & R_1A & W_2A & & \\ S_2: & R_3B & W_1B & R_2C & W_3C \end{array}$$

- $$\begin{array}{lllllll} S_1: & R_1A & R_3A & R_3B & W_3A & W_3B & R_2B \\ S_2: & R_4D & W_4D & R_1D & R_2C & R_4C & W_4C \end{array}$$

Types of federation

- *homogeneous* federation:

  Same services and protocols at all servers. Characterized by *distribution transparency*: the federation is perceived by the outside world as if it were not distributed at all.

- *heterogenous* federation:

  Servers are autonomous and independent of each other; no uniformity of services and protocols across the federation.

Interface to recovery

Every global transactions runs the 2-phase-commit protocol. By that protocol the subtransactions of a global transaction synchronize such that either all subtransactions commit, or none of them, i.e. all abort. Details are given in Chapter 5.

4.2: Homogeneous Concurrency Control

Serializability by distributed 2-Phase Locking (2PL)

A transactions entry into the unlock-phase has to be synchronized among all sites the transaction is being executed.

Primary Site 2PL:

- One site is selected at which lock maintenance is performed exclusively.
- This site thus has global knowledge and enforcing the 2PL rule for global and local transactions is possible.
- The lock manager simply has to refuse any further locking of a subtransaction T_{ij} whenever a subtransaction T_{ik} has started unlocking already.
- Much communication is resulting which may create a bottleneck at the primary site.

Example

$S_1: \quad R_1A \quad W_1A \quad R_2A \quad W_2A$

$S_2: \quad R_2B \quad W_2B \quad R_1B \quad W_1B$

Distributed 2PL:

- When a server wants to start unlocking data items on behalf of a transaction, it communicates with all other servers regarding the lock point of the other respective subtransaction.
- The server has to receive a *locking completed*-message from each of these servers.
- This implies extra communication between servers.

Example

$S_1: \quad R_1A \quad W_1A \quad R_2A \quad W_2A$

$S_2: \quad R_2B \quad W_2B \quad R_1B \quad W_1B$

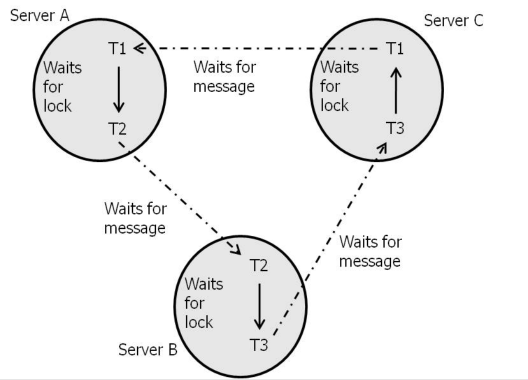
Distributed Strong 2PL:

- Every subtransaction of a global transaction and every local transaction holds locks until commit.
- Then by the 2-phase-commit protocol the 2PL-rule is enforced as a side-effect.

Applying strong 2PL the global 2PL-property is self-guaranteed without any explicit measures!

Locking protocols are prone to deadlocks!

Global deadlock



Global deadlock detection is difficult. Detection strategies:

- *Centralized detection*: Each site maintains its local wait-for graph. One distinguished site is selected to which all local wait-for graphs are send periodically. The selected site computes the union of all local wait-for graphs and checks for deadlocks.
- *Time-out based detection*: Whenever during a wait a *time-out* occurs, the respective transaction decides for a deadlock and aborts itself.
- *Edge chasing*: Whenever a transaction T waits for a transaction T', it sends its identification to T'. Whenever a transaction T' receives such a message, it sends the identification of such T to all transctions it is waiting for. If a transaction recieves its own identification, it decides for a deadlock and it aborts itself.
- *Path pushing:*

  (i) Each server that has a waits-for path from transaction t_i to transaction t_j such that T_i has an incoming waits-for-message edge and T_j has an outgoing waits-for-message edge sends that path to the server along the outgoing edge.

  (ii) Upon receiving a path the server concatenats this with the local paths that already exist, and forwards the result along its outgoing edges again. If there exists a cycle among k servers, at least one of them will detect the cycle in at most k rounds.

Serializabilty by assigning timestamps to transactions

- Global and local transactions are timestamped; all subtransactions of a transaction obtain the same timestamp.
- Timestamps must be system-wide unique and based on synchronized clocks.
- To be system-wide unique, timestamps are values of local clocks concatenated with the site ID.

Time Stamp Protocol TS

- To each transaction T it is assigned a unique timestamp $Z(T)$ when it is started.
- A transaction T must not write an object which has been read by any T' where $Z(T') > Z(T)$.
- A transaction T must not write an object which has been written by any T' where $Z(T') > Z(T)$.
- A transaction T must not read an object which has been written by any T' where $Z(T') > Z(T)$.

The TS-protocol guarantees serializability of schedules.

Let S be a global schedule of a set of transactions $\mathcal{T} = \{T_1, \ldots, T_n\}$, which all apply TS.

Assume, S is not serializable, i.e. the conflict graph $G(S)$ is cyclic, where w.l.o.g. $T_1 \rightarrow T_2 \rightarrow \cdots \rightarrow T_k \rightarrow T_1$.

- Each edge $T \rightarrow T'$ implies T and T' have conflicting actions, where the action of T precedes the one of T'.
- Because of TS we know $Z(T) < Z(T')$. This implies the following:

  $$Z(T_1) < Z(T_2) < \ldots < Z(T_n) < Z(T_1),$$

  a contradiction. Therefore S is serializable.

4.3: Heterogeneous Concurrency Control

Local and global transaction managers

- Each server runs its own *local* transaction manager which guarantees local serializability, i.e. the serializable execution of its local transactions and subtransactions.
- To guarantee global serializability a *global* transaction manager controls the execution of the global transactions. This could either be based on ordering the commit of the transaction, or by introducing artificial data objects called *tickets* which have to be accessed by the subtransactions.

Global serializability through local guarantees: rigorous local schedules

Rigorous schedules

A local schedule $S = (OP_S, <_S)$ of a set of complete transactions is *rigorous* if for all involved transactions (local and subtransactions) T_i, T_j there holds:

> Let $p_j \in OP_j$, $q_i \in OP_i$, $i \neq j$ such that $(p_j, q_i) \in conf(S)$. Then either $a_j <_S q_i$ or $c_j <_S q_i$.

Commit-deferred transaction

A global transaction T is *commit-deferred* if its commit action is sent by the global transaction manager to the local sites of T only *after* the local executions of all subtransactions of T at that sites have been acknowledged.

Commit-deferment is achieved as a side-effect of the 2-phase-commit protocol.

Examples

Consider two servers where $D_1 = \{A, B\}$ and $D_2 = \{C, D\}$. We have the following transactions:

$$\text{global}: \quad \begin{array}{l} T_1 = WA\ WD \\ T_2 = WC\ WB \end{array} \qquad \text{local}: \quad \begin{array}{l} T_3 = RA\ RB \\ T_4 = RC\ RD \end{array}$$

We have the following local schedules:

$$\begin{array}{llllllll} S_1: & W_1A & c_1 & R_3A & R_3B & c_3 & W_2B & c_2 \\ S_2: & W_2C & c_2 & R_4C & R_4D & c_4 & W_1D & c_1 \end{array}$$

Even though the local schedules are serializable, the two global transactions are not executed in a serializable manner. The local schedules are rigorous, however not commit-deferred.

Lemma

A local schedule is serializable, whenever it is rigorous.

Sketch of proof: Assume the contrary. Then there exists a history which has a cyclic conflict graph, though rigorousness holds. As a commit is the final action of a transaction, rigorousness makes such a cycle impossible.

Theorem

Let S be a global history for local histories $S_1, \ldots, S_n$. If S_i rigorous, $1 \leq i \leq n$ and all global transactions are commit-deferred, then S is globally serializable.

Sketch of proof: Assume the contrary. Then there exists a history which has a cyclic conflict graph, though rigorousness and commit-deferment hold. As rigorousness guarantees local serializability, such a cycle must involve at least two sites. As a commit is the final action of a transaction, commit-deferment makes such a cycle impossible.

Because of the 2-phase-commit protocol, under rigorousness global serializability practically comes for free!

Global serializability through explicit measures: tickets

Ticket-based concurrency control

- Each server guarantees serializable local schedules in a way unknown for the global transactions.
- Each server maintains a special counter as database object, which is called *ticket*. Each subtransaction of a global transaction being executed at that server increments (reads and writes) the ticket (*take-a-ticket*-Operation). Doing so we introduce explicit conflicts between global transactions running at the same server.
- The global transaction manager guarantees that the order in which the tickets are accessed by the subtransactions will imply a linear order on the global transactions.

Applying ticketing by examples

By I_j we denote the ticket at server j.

- Let $T_1 = R_1A\ R_1D$ and $T_2 = R_2B\ R_2C$ be global transactions and let $T_3 = R_3A\ R_3B\ W_3A\ W_3B$ and $T_4 = R_4D\ W_4D\ R_4C\ W_4C$ be local transactions.

  $S_1: \quad R_1(I_1)\ W_1(I_1+1)\ R_1A\ R_3A\ R_3B\ W_3A\ W_3B\ R_2(I_1)\ W_2(I_1+1)\ R_2B$
  $S_2: \quad R_4D\ W_4D\ R_1(I_2)\ W_1(I_2+1)\ R_1D\ R_2(I_2)\ W_2(I_2+1)\ R_2C\ R_4C\ W_4C$

  Not serializable - could be detected at server 2.

- Let $T_1 = R_1A\ W_1B$ and $T_2 = R_2B\ W_2A$ be global transactions.

  $S_1: \quad R_1(I_1)\ W_1(I_1+1)\ R_1A\ R_2(I_1)\ W_2(I_1+1)\ W_2A$
  $S_2: \quad R_2(I_2)\ W_2(I_2+1)\ R_2B\ R_1(I_2)\ W_1(I_2+1)\ W_1B$

  Not serializable, could not be detected neither at server 1 nor at server 2, however the order of take-a-ticket operations does not imply a linear order on the global transactions.