

Database Tuning

Concurrency Tuning

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Adapted from “Database Tuning” by Dennis Shasha and Philippe Bonnet.

Outline

- 1 Concurrency Tuning
 - Weaken Isolation Guarantees
 - Transaction Chopping

Undesirable Phenomena of Concurrent Transactions

- Dirty read
 - transaction reads data written by concurrent uncommitted transaction
 - problem: read may return a value that was never in the database because the writing transaction aborted
- Non-repeatable read
 - different reads on the same item within a single transaction give different results (caused by other transactions)
 - e.g., concurrent transactions $T_1: x = R(A), y = R(A), z = y - x$ and $T_2: W(A = 2 * A)$, then z can be either zero or the initial value of A (should be zero!)
- Phantom read
 - repeating the same query later in the transaction gives a different set of result tuples
 - other transactions can insert new tuples during a scan
 - e.g., “Q: get accounts with *balance* > 1000” gives two tuples the first time, then a new account with *balance* > 1000 is inserted by an other transaction; the second time Q gives three tuples

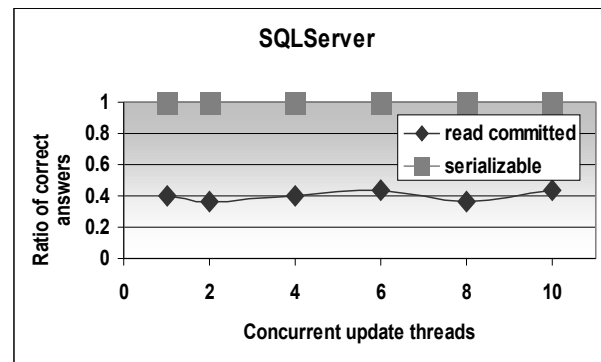
Isolation Guarantees (SQL Standard)

- Read uncommitted: dirty, non-repeatable, phantom
 - read locks released after read; write locks downgraded to read locks after write, downgraded locks released according to 2-phase locking
 - reads may access uncommitted data
 - writes do not overwrite uncommitted data
- Read committed: non-repeatable, phantom
 - read locks released after read, write locks according to 2-phase locking
 - reads can access only committed data
 - cursor stability: in addition, read is repeatable within single SELECT
- Repeatable read: phantom
 - 2-phase locking, but no range locks
 - phantom reads possible
- Serializable:
 - none of the undesired phenomenas can happen
 - enforced by 2-phase locking with range locks

Experiment: Read Commit vs. Serializable

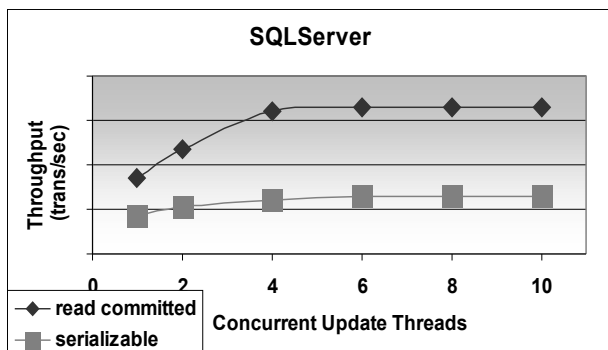
- **Experimental setup:**
 - T1: summation query: `SELECT SUM(balance) FROM Accounts`
 - T2: money transfers between accounts
 - row level locking
- **Parameter:** number of concurrent threads
- **Measure:**
 - percentage of correct answers (over multiple tries)
 - measure throughput

Experiment: Read Commit vs. Serializable



- **Read committed** allows sum of account balances after debit operation has taken place but before corresponding credit operation is performed – incorrect sum!

Experiment: Read Commit vs. Serializable



- Read committed: faster, but incorrect answers
- Serializable: always correct, but lower throughput

When To Weaken Isolation Guarantees?

- Query does not need exact answer (e.g., statistical queries)
 - example: count all accounts with balance > \$1000.
 - read committed is enough!
- Transactions with human interaction
 - example: flight reservation system
 - price for serializability too high!

Example: Flight Reservation System

- Reservation involves **three steps**:
 1. retrieve list of available seats
 2. let customer decide
 3. secure seat
- **Single transaction**:
 - seats are locked while customer decides
 - all other customers are blocked!
- **Two transactions**: (1) retrieve list, (2) secure seat
 - seat might already be taken when customer wants to secure it
 - more tolerable than blocking all other customers

Snapshot Isolation for Long Reads – The Problem

- Consider the following **scenario in a bank**:
 - read-only query Q : `SELECT SUM(deposit) FROM Accounts`
 - update transaction T : money transfer between customers A and B
- **2-Phase locking inefficient** for long read-only queries:
 - read-only queries hold lock on all read items
 - in our example, T must wait for Q to finish (Q blocks T)
 - deadlocks might occur:
 $T.xL(A)$, $Q.sL(B)$, $Q.sL(A)$ - wait, $T.xL(B)$ - wait
- **Read-committed** may lead to **incorrect** results:
 - Before transactions: $A = 50$, $B = 30$
 - Q : $sL(A)$, $R(A) = 50$, $uL(A)$
 - T : $xL(A)$, $xL(B)$, $W(A \leftarrow A + 20)$, $W(B \leftarrow B - 20)$, $uL(A)$, $uL(B)$
 - Q : $sL(B)$, $R(B) = 10$, $uL(B)$
 - sum computed by Q for $A + B$ is 60 (instead of 80)

Snapshot Isolation for Long Reads

- **Snapshot isolation**: correct read-only queries without locking
 - read-only query Q with snapshot isolation
 - remember old values of all data items that change after Q starts
 - Q sees the values of the data items when Q started
- **Example**: bank scenario with snapshot isolation
 - Before transactions: $A = 50$, $B = 30$
 - Q : $R(A) = 50$
 - T : $xL(A)$, $xL(B)$, $W(A \leftarrow A + 20)$, $W(B \leftarrow B - 20)$, $uL(A)$, $uL(B)$
 - Q : $R(B) = 30$ (read old value)
 - sum computed by Q for $A + B$ is 80 as it should be

Concurrency in Oracle

- “Read committed” in Oracle means:
 - **non-repeatable and phantom** reads are possible at the transaction level, but not within a single SQL statement
 - **update conflict**: if row is already updated, wait for updating transaction to commit, then update new row version (or ignore row if deleted) – no rollback!
 - **possibly inconsistent state**: transaction sees updates of other transaction only on the rows that itself updates
- “Serializable” in Oracle means:
 - **phenomena**: none of the three undesired phenomena can happen
 - **update conflict**: if two transactions update the same item, the transaction that updates it later must abort – rollback!
 - **not serializable**: snapshot isolation does not guarantee full serializability (skew writes)
- Similar in PostgreSQL.

Skew Writes: Snapshot Isolation Not Serializable

- **Example:** $A = 3, B = 17$
 - $T1: A \leftarrow B$
 - $T2: B \leftarrow A$
- **Serial execution:**
 - order $T1, T2: A = B = 17$
 - order $T2, T1: A = B = 3$
- **Snapshot isolation:**
 - $T1: R(B) = 17$
 - $T2: R(A) = 3$
 - $T1: W(A \leftarrow 17)$
 - $T2: W(B \leftarrow 3)$
 - result: $A = 17, B = 3$ (different from serial execution)

Snapshot Isolation

- **Advantages:** (assuming “serializable” of Oracle)
 - readers do not block writers (as with locking)
 - writers do not block readers (as with locking)
 - writers block writers only if they update the same row
 - performance similar to read committed
 - no dirty, non-repeatable, or phantom reads
- **Disadvantages:**
 - system must write and hold old versions of modified data (only data modified between start and end of read-only transaction)
 - does **not guarantee serializability** for read/write transactions
- **Implementation example:** Oracle 9i
 - no overhead: leverages before-image in rollback segment
 - expiration time of before-images configurable, “snapshot too old” failure if this value is too small

Serializable Snapshot Isolation – Workaround and Solution

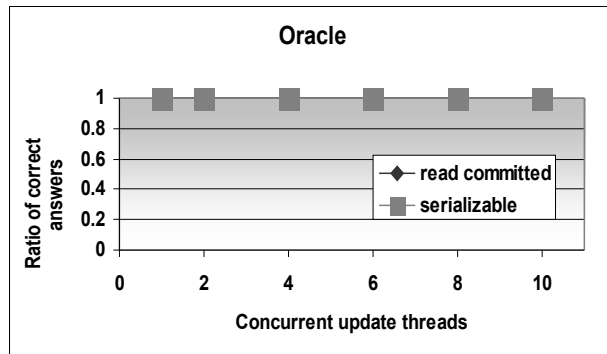
- **Workarounds** to get true serializability with snapshot isolation:
 - create additional data item that is updated by conflicting transactions (e.g., maintain sum of A and B in our skew write example)
 - use exclusive locks for dangerous reads (e.g., use exclusive lock for reading A and B in our skew write example)
- **Problem:** requires static analysis of all involved transactions
- **Solution:** serializable snapshot isolation¹
 - conflicts are detected by the system
 - conflicting transactions are aborted
 - leads to more aborts, but keeps other advantages of snapshot isolation
- **PostgreSQL** (starting with version 9.1)
 - REPEATABLE READ is snapshot isolation
 - SERIALIZABLE is serializable snapshot isolation

¹Michael J. Cahill, Uwe Rhm, Alan David Fekete: Serializable isolation for snapshot databases. SIGMOD Conference 2008: 729-738

Snapshot Isolation – Summary

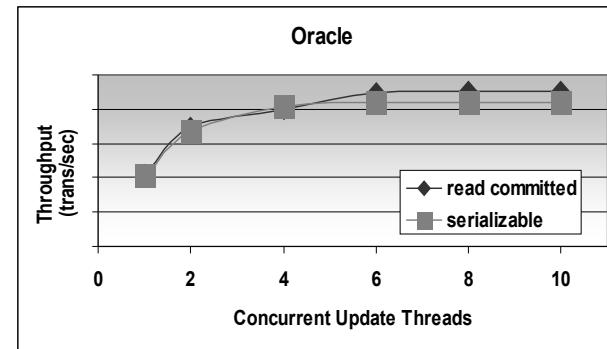
- Considerable **performance advantages** since reads are never blocked and do not block other transactions.
- **Not fully serializable**, although no dirty, non-repeatable, or phantom reads.
- **Serializable snapshot isolation:** fully serializable at the cost of more aborted transactions.

Experiment: Read Commit vs. Serializable



- Summation query with concurrent transfers between bank accounts.
- Oracle snapshot isolation: read-only summation query is not disturbed by concurrent transfer queries
- Summation (read-only) queries always give exact answer.

Experiment: Read Commit vs. Serializable



- Both “read commit” and “serializable” use snapshot isolation.
- “Serializable” rolls back transactions in case of write conflict.
- Summation queries always give exact answer.

Outline

- 1 Concurrency Tuning
 - Weaken Isolation Guarantees
 - Transaction Chopping

Chopping Long Transactions

- Shorter transactions
 - request less locks (thus they are less likely to be blocked or block another transaction)
 - require other transactions to wait less for a lock
 - are better for logging
- Transaction chopping:
 - split long transactions into short ones
 - don't scarify correctness

Terminology

- **Transaction:** sequence of disc accesses (read/write)
- **Piece** of transaction: consecutive subsequence of database access.
 - example transaction $T : R(A), R(B), W(A)$
 - $R(A)$ and $R(A), R(B)$ are pieces of T
 - $R(A), W(A)$ is not a piece of T (not consecutive)
- **Chopping:** partitioning transaction it into pieces.
 - example transaction $T : R(A), R(B), W(A)$
 - $T_1 : R(A), R(B)$ and $T_2 : W(A)$ is a chopping of T

Split Long Transactions – Example 1

- **Bank** with accounts and branches:
 - each account is assigned to exactly one branch
 - branch balance is sum of accounts in that branch
 - customers can take out cash during day
- **Transactions** over night:
 - **update transaction:** reflect daily withdrawals in database
 - **balance checks:** customers ask for account balance (read-only)
- **Update transaction** T_{blob}
 - updates all account balances to reflect daily withdrawals
 - updates the respective branch balances
- **Problem:** balance checks are blocked by T_{blob} and take too long

Split Long Transactions – Example 1

- **Solution:** split update transactions T_{blob} into many small transactions
- **Variant 1:** each account update is one transaction which
 - updates one account
 - updates the respective branch balance
- **Variant 2:** each account update consists of two transactions
 - T_1 : update account
 - T_2 : update branch balance
- **Note:** isolation does not imply consistency
 - both variants maintain serializability (isolation)
 - variant 2: consistency (sum of accounts equal branch balance) compromised if only one of T_1 or T_2 commits.

Split Long Transactions – Example 2

- **Bank scenario** as in Example 1.
- **Transactions:**
 - **update transaction:** each transaction updates one account and the respective branch balance (variant 1 in Example 1)
 - **balance checks:** customers ask for account balance (read-only)
 - **consistency (T'):** compute account sum for each branch and compare to branch balance
- **Splitting:** T' can be split into transactions for each individual branch
- **Serializability** maintained:
 - consistency checks on different branches share no data item
 - updates leave database in consistent state for T'
- **Note:** update transaction can not be further split (variant 2)!
- **Lessons learned:**
 - sometimes transactions can be split without sacrificing serializability
 - adding new transaction to setting may invalidate all previous chopping

Formal Chopping Approach

- **Assumptions:** when can the chopping be applied?
- **Execution rules:** how must chopped transactions be executed?
- **Chopping graph:** which chopping is correct?

Execution Rules

1. **Execution order:** The execution of pieces obeys the order given by the transaction.
2. **Lock conflict:** If a piece is aborted due to a lock conflict, then it will be resubmitted until it commits.
3. **Rollback:** If a piece is aborted due to a rollback, then no other piece for that transaction will be executed.

Assumptions for Transaction Chopping

1. **Transactions:** All transactions that run in an interval are known.
2. **Rollbacks:** It is known where in the transaction rollbacks are called.
3. **Failure:** In case of failure it is possible to determine which transactions completed and which did not.
4. **Variables:** The transaction code that modifies a program variable x must be reentrant, i.e., if the transaction aborts due to a concurrency conflict and then executes properly, x is left in a consistent state.

The Transaction Chopping Problem

- **Given:** Set $A = \{T_1, T_2, \dots, T_n\}$ of (possibly) concurrent transactions.
- **Goal:** Find a chopping B of the transactions in A such that any serializable execution of the transactions in B (following the execution rules) is equivalent so some serial execution of the transaction in A . Such a chopping is said to be **correct**.
- **Note:** The “serializable” execution of B may be concurrent, following a protocol for serializability.

Chopping Graph

- We represent a specific chopping of transactions as a graph.
- **Chopping graph:** undirected graph with two types of edges.
 - nodes: each piece in the chopping is a node
 - C-edges: edge between any two conflicting pieces
 - S-edges: edge between any two sibling pieces
- **Conflicting pieces:** two pieces p and p' conflict iff
 - p and p' are pieces of different original transactions
 - both p and p' access a data item x and at least one modifies it
- **Sibling pieces:** two pieces p and p' are siblings iff
 - p and p' are neighboring pieces of the same original transactions

Rollback Safe

- **Motivation:** Transaction T is chopped into T_1 and T_2 .
 - T_1 executes and commits
 - T_2 contains a rollback statement and rolls back
 - T_1 is already committed and will not roll back
 - in original transaction T rollback would also undo effect of piece T_1 !
- A chopping of transaction T is **rollback safe** if
 - T has no rollback statements or
 - all rollback statements are in the first piece of the chopping

Chopping Graph – Example

- **Notation:** chopping of possibly concurrent transactions.
 - original transactions are denoted as T_1, T_2, \dots
 - chopping T_i results in pieces T_{i1}, T_{i2}, \dots
- **Example transactions:** $(T_1 : R(x), R(y), W(y))$ is split into T_{11}, T_{12}
 - $T_{11} : R(x)$
 - $T_{12} : R(y), W(y)$
- $T_2 : R(x), W(x)$
- $T_3 : R(y), W(y)$
- **Conflict edge** between nodes
 - T_{11} and T_2 (conflict on x)
 - T_{12} and T_3 (conflict on y)
- **Sibling edge** between nodes
 - T_{11} and T_{12} (same original transaction T_1)

Correct Chopping

Theorem (Correct Chopping)

A chopping is correct if it is rollback safe and its chopping graph contains no SC-cycles.

- Chopping of previous example is correct (no SC-cycles, no rollbacks)
- If a chopping is not correct, then any further chopping of any of the transactions will not render it correct.
- If two pieces of transaction T are in an SC-cycle as a result of chopping T , then they will be in a cycle even if no other transactions (different from T) are chopped.

Private Chopping

- **Private chopping:** Given transactions T_1, T_2, \dots, T_n . $T_{i1}, T_{i2}, \dots, T_{ik}$ is a private chopping of T_i if
 - there is no SC-cycle in the graph with the nodes $\{T_1, \dots, T_{i1}, \dots, T_{ik}, \dots, T_n\}$
 - T_i is rollback save
- **Private chopping rule:** The chopping that consists of $private(T_1), private(T_2), \dots, private(T_n)$ is correct.
- **Implication:**
 - each transaction T_i can be chopped in isolation, resulting in $private(T_i)$
 - overall chopping is union of private choppings

Chopping Algorithm – Example

- **Transactions:** ($Rx = R(x), Wx = W(x)$)
 - $T_1 : Rx, Wx, Ry, Wy$
 - $T_2 : Rx, Wx$
 - $T_3 : Ry, Rz, Wy$
- **Write lists:** $x: T_1, T_2$; $y: T_1, T_3$; $z: \emptyset$
- **C-edges:**
 - $T_1 : Rx - T_2.Wx, Wx - T_2.Wx, Ry - T_3.Wy, Wy - T_3.Wy$
 - $T_2 : Rx - T_1.Wx$ ($Wx - T_1.Wx$: see T_1)
 - $T_3 : Ry - T_1.Wy$ ($Wy - T_1.Wy$: see T_1)
- **Remove S-edges:** $T_1 : Rx - Wx, Ry - Wy$; $T_2 : Rx - Wx$;
 $T_3 : Ry - Rz, Rz - Wy$
- **Final chopping:**
 - $T_{11} : Rx, Wx$; $T_{12} : Ry, Wy$
 - $T_2 : Rx, Wx$
 - $T_3 : Ry, Rz, Wy$

Chopping Algorithm

1. Draw an S-edge between the R/W operations of a single transaction.
2. For each data item x produce a write list, i.e., a list of transactions that write this data item.
3. For each $R(x)$ or $W(x)$ in all transactions:
 - (a) look up the conflicting transactions in the write list of x
 - (b) draw a C-edge to the respective conflicting operations
4. Remove all S-edges that are involved in an SC-cycle.

Reordering Transactions

- **Commutative operations:**
 - changing the order does not change the semantics of the program
 - example: $R(y), R(z), W(y \leftarrow y + z)$ and $R(z), R(y), W(y \leftarrow y + z)$ do the same thing
- **Transaction chopping:**
 - changing the order of commutative operations may lead to better chopping
 - responsibility of the programmer to verify that operations are commutative!
- **Example:** consider $T_3 : Ry, Rz, Wy$ of the previous example
 - assume T_3 computes $y + z$ and stores the sum in y
 - then Ry and Rz are commutative and can be swapped
 - $T_3' : Rz, Ry, Wy$ can be chopped: $T_{31}' : Rz, T_{32}' : Ry, Wy$