Why do we lock access?

- Locking (leasing) provides mutual exclusion
  - Only one process at a time can access the data (or service)
- Allows us to achieve isolation
  - Other processes will not see or be able to access intermediate results

Example:

```plaintext
Lock(table=checking_account, row=512348)
checking_account.total = checking_account.total - 5000
savings_account.total = savings_account.total + 5000
Release(table=savings_account, row=512348)
Release(table=checking_account, row=512348)
```

Schedules

Transactions must be scheduled so that data is serially equivalent

How?
- Use mutual exclusion to ensure that only one transaction executes at a time or...
- Allow multiple transactions to execute concurrently
  - but ensure serializability
  - concurrency control

- scheduler: valid order of interleaving

Two-phase locking

- Transactions run concurrently until they compete for the same resource
  - Only one will get to go... others wait
- Grab exclusive locks on a resource
  - Lock data that is used by the transaction (e.g., fields in a DB, parts of a file)
  - Lock manager
- Two-phase locking
  - phase 1: growing phase: acquire locks
  - phase 2: shrinking phase: release locks
- Transaction not allowed new locks after it has released a lock
  - This ensures serial ordering on resource access

Without 2-phase locking

```
Lock("name")
name="Bob"
Release("name")

Lock("age")
age=72
Release("age")
```

Transaction 2

```
Lock("name")
name="Linda"
Release("name")

Lock("age")
age=85
Release("age")
```

Transaction 3

```
Read name,age
name="Linda"
age="72"
```

With 2-phase locking

```
Lock("name")
name="Bob"
Release("name")
```

Transaction 1

```
Lock("name")
name="Linda"
Release("name")
```

Transaction 2

```
Lock("age")
age=85
Release("age")
```

Transaction 3

```
Read name,age
name="Linda"
age="72"
```

Cannot grab a lock if you already released any locks
With 2-phase locking

Transaction 1
- Lock("name")
- Lock("age")
- Lock("name")
- Release("name")
- age=72
- Release("age")

Transaction 2
- Lock("name")
- Lock("age")
- BLOCKED
- name="Linda"
- Release("name")
- age=85
- Release("age")

Transaction 3
- Read name,age
- BLOCKED
- name="Linda"
- age="85"

Strict two-phase locking

- If a transaction aborts
  - Any other transactions that have accessed data from released locks (uncommitted data) have to be aborted
  - Cascading aborts

- Avoid this situation:
  - Transaction holds all locks until it commits or aborts

- Strict two-phase locking

Increasing concurrency: locking granularity

- Typically there will be many objects in a system
  - A typical transaction will access only a few of them (and is unlikely to clash with other transactions)

- **Granularity** of locking affects concurrency
  - Smaller amount locked → higher concurrency

Multiple readers/single writer

- Improves concurrency by supporting multiple readers
  - There is no problem with multiple transactions reading data from the same object
  - Only one transaction should be able to write to an object
    - and no other transactions should read that data

- Two types of locks: **read locks** and **write locks**
  - Set a read lock before doing a read on an object
  - Set a write lock before doing a write on an object
    - A write lock prevents reading and writing
    - Block (wait) if transaction cannot get the lock

Multiple readers/single writer

- If a transaction has
  - No locks for an object:
    - Other transactions may obtain a read or write lock
  - A read lock for an object:
    - Other transactions may obtain a read lock but must wait for a write lock
  - A write lock for an object:
    - Other transactions will have to wait for a read or write lock

Increasing concurrency: two-version locking

- A transaction can write **tentative versions** of objects
  - Others read from the original (previously-committed) version

- **Read** operations wait only when another transaction is committing the same object

- Allows for more concurrency than read-write locks
  - Transactions with writes risk waiting or rejection at commit
  - Transactions cannot commit if other uncompleted transactions have read the objects and committed
Two-version locking

- Three types of locks:
  1. read lock
  2. write lock
  3. commit lock
     - Transaction cannot get a read or write lock if there is a commit lock
- When the transaction coordinator receives a request to commit
  - Write locks: convert to commit locks
  - Read locks: wait until the transactions that set these locks have completed and locks are released
- Compare with read/write locks:
  - read operations are delayed only while transactions are being committed
  - BUT read operations of one transaction can cause a delay in the committing of other transactions

Problems with locking

- Locks have an overhead: maintenance, checking
- Locks can result in deadlock
- Locks may reduce concurrency by having transactions hold the locks until the transaction commits (strict two-phase locking)

Optimistic concurrency control

- In many applications the chance of two transactions accessing the same object is low
- Allow transactions to proceed without obtaining locks
- Check for conflicts at commit time
  - Check versions of objects against versions read at start
  - If there is a conflict then abort and restart some transaction
- Phases:
  - Working phase: write results to a private workspace
  - Validation phase: check if there’s a conflict with other transactions
  - Update phase: make tentative changes permanent

Timestamp ordering

- Assign unique timestamp to a transaction when it begins
- Each object two timestamps associated with it:
  - Read timestamp: updated when the object is read
  - Write timestamp: updated when the object is written
- Good ordering:
  - Object’s read and write timestamps will be older than the current transaction if it wants to write an object
  - Object’s write timestamps will be older than the current transaction if it wants to read an object
- Abort and restart transaction for improper ordering

Leasing versus Locking

- Common approach:
  - Get a lock for exclusive access to a resource
- But locks are not fault-tolerant
  - What if the process that has the lock dies?
  - It’s safer to use a lock that expires instead
  - Lease = lock with a time limit
- Lease time: trade-offs
  - Long leases with possibility of long wait after failure
  - Or short leases that need to be renewed frequently
- Danger of leases
  - Possible loss of transactional integrity

Hierarchical Leases

- For fault tolerance, leases should be granted by consensus
- But consensus protocols aren’t super-efficient
- Compromise: use a hierarchy
  - Use consensus as an election algorithm to elect a coordinator
  - Coordinator is granted a lease on a large set of resources
    - Coarse-grained locking: large regions; long time periods
    - Coordinator hands out sub-leases on those resources
    - Fine-grained locking: small regions (objects); short time periods
- When the coordinator’s lease expires
  - Consensus algorithm is run again
The End