Lecture 17: April 11

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17.1   Concurrency Control

17.1.1   2 Phase Locking

2 Phase Locking can also be referred as 2PL.

Question: Is Strict 2PL better than 2PL from a rollback perspective?
Answer: In general they have the same rollback properties. But in the case of 2PL when a lock is released in the shrinking phase and another transaction acquires it before the shrinking phase of the original transaction is completed, it can lead to write-write conflicts which will reduce the chance of a rollback slightly. This is a small advantage of Strict 2PL over 2PL.

17.1.2   Timestamp-based Concurrency Control

This method handles concurrency using timestamps, in particular Lamport's clock (logical clock instead of physical clock). The timestamp is used to decide the order and which transaction to abort in case of read-write or write-write conflicts. If two transactions are conflicted, the later transaction should be aborted and the transaction that started early should be allowed to continue. For each data item x, two timestamps are tracked:

- Max-rts(x): max time stamp of a transaction that read x.

- Max-wts(x): max time stamp of a transaction that wrote x.

- $Read_i(x)$
    - If $ts(T_i) < max\text{-}wts(x)$ then Abort T_i
    - Else
        - Perform $R_i(x)$
        - $Max\text{-}rts(x) = \max(max\text{-}rts(x), ts(T_i))$
- $Write_i(x)$
    - If $ts(T_i) < max\text{-}rts(x)$ or $ts(T_i) < max\text{-}wts(x)$ then Abort T_i
    - Else
        - Perform $W_i(x)$
        - $Max\text{-}wts(x) = ts(T_i)$

Figure 17.1: Read-writes using timestamps

Conflicts are handled using both these timestamps as shown in the Figure 17.1. If a transaction want to perform read operation on data item x, the last write on that data item is checked. The transaction timestamp is compared with the last write timestamp of the data. If the later transaction modified the data, the transaction is aborted. If the read is successful, the read timestamp is updated by calculating max of the previous timestamp and timestamp of current transaction as shown in the above figure.

In case of a write, if there is any more recent transaction that has read or modified the data item, the transaction is aborted. If the write is performed, the timestamp of data item is updated.

Question: When you undo the transaction, do you undo the changes?
Answer: During abort, the state is restored to the original values using the undo log in case of Write-ahead log and copies are deleted in private workspace model.

Question: How do we ensure the atomicity of read, write operations and the checks made in Figure 17.1?
Answer: A lock is grabbed while performing all of the operations shown in the figure to prevent any other transaction from making changes.

Question: When a transaction is aborted, is it just killed or rerun again?
Answer: There are two ways to handle this. One way is to inform the application that the transaction is aborted and let the application rerun the transaction again. Another way is to make the transaction manager retry the transaction.

17.2   Consistency and Replication

Replication in distributed systems involves making redundant copies of resources, such as data or processes, while ensuring that all the copies are identical in order to improve reliability, fault-tolerance, and performance of the system.

Types of Replication :

- **Data replication:** When the same data are stored on multiple storage devices.
- **Computation replication:** When the same computing task is available to be executed on multiple servers.

17.2.1   Replication Issues

Before we get into consistency, we will discuss replication issues that we have to consider:

- **When to replicate?**
  Similar to dynamic-or-static threadpool concept.

- **How many replicas to create?**
  If we need to sustain a certain request rate, we can find out how many replicas are required depending on the individual capacity of each replica.

- **Where should the replicas be located?**
  In a distributed application we can put the replicas in different locations. The general rule of thumb is to keep the servers geographically closer to the end-users. If the users are spread out in several locations, then it would be wise to keep replicas spread out in similar fashion. The users can connect to the replica that is geographically closest to them.

- **Consistency of Replicas**
  If one copy is modified, others become inconsistent.

17.2.2 Why Replicate?

- **Reliability:**

  Data in distributed systems need to be replicated to improve the reliability of the system. If one of the replicas become unavailable or crashes, the data still remain available. For instance, in a distributed system, if one of the database servers crashes and we have a replicated copy of the same data on another database server, then the data is safe. We can point our system to the second replica of the database and continue to access the data without any problems. This is in general true with any storage system. If we have multiple copies of the data and the disk crashes on one machine or something else goes wrong, our data remain available because we have other copies.

  In many cloud-based storage systems, like Amazon S3, replication is done internally. It replicates the data in multiple locations. User can ask for a copy of the data and the system will get it from one of the replicas. The user doesn't have to know or specify from which replica the data should be accessed. There are many file-systems that support replication as well, e.g., hadoop file system (hdfs) or Google file system (GFS).

- **Performance:**

  Computation or data are also replicated to improve the performance of the system. Replicated servers can serve a larger number of users as compared to just one server. For example, if we have just one web-server, it would have a certain capacity, i.e., requests it can serve per second. After reaching the limit, it will get saturated. By replicating it on multiple servers, we can increase the capacity of our application so that it can serve more requests per second.

  Similarly, data can also be replicated to improve performance and capacity of the system. For instance, if we have a large number of web-servers and just one database server, eventually, the requests from web-servers will trigger more queries than what the database is capable of executing. If those are computationally expensive queries, the database might become the bottleneck in the system. In ideal case, you would expect a linear increase in throughput, but in most cases you would get something less than ideal performance.

  The replication can also be done in wide area networks, i.e, you can put copies of your applications in different geographical locations (which is called *geo-distributed replication*). Here, we are keeping copies closer to users, which aids better performance due to the decreased latency when accessing the application.

17.3 CAP Theorem

The CAP theorem was initially a conjecture by Eric Brewer at the PODC 2000 conference. It was later established as a theorem in 2002 (by Lynch and Gilbert). The CAP theorem states that it is impossible for a distributed system to simultaneously provide more than two out of the following three guarantees:

Consistency (C): A shared and replicated data item appears as a single, up-to-date copy

Availability (A): Updates will always be eventually executed

Partition-tolerance (P): The system is tolerant to the partitioning of a process group (e.g., because of a failing network)

17.3.1 CAP Theorem Examples

Consistency + Availability: Single database, cluster database, LDAP, xFS. If you want to have consistency and availability in your system, you have to assume that network cannot be partitioned to ensure that messages do not get lost.

Consistency + Partition-tolerance: Distributed database, distributed locking. They assume that the coordinator doesn't fail and there wont be any modifications in the system.

Availability + Partition-tolerance: Coda, web caching, DNS. DNS updates can take upto few days to propagate.
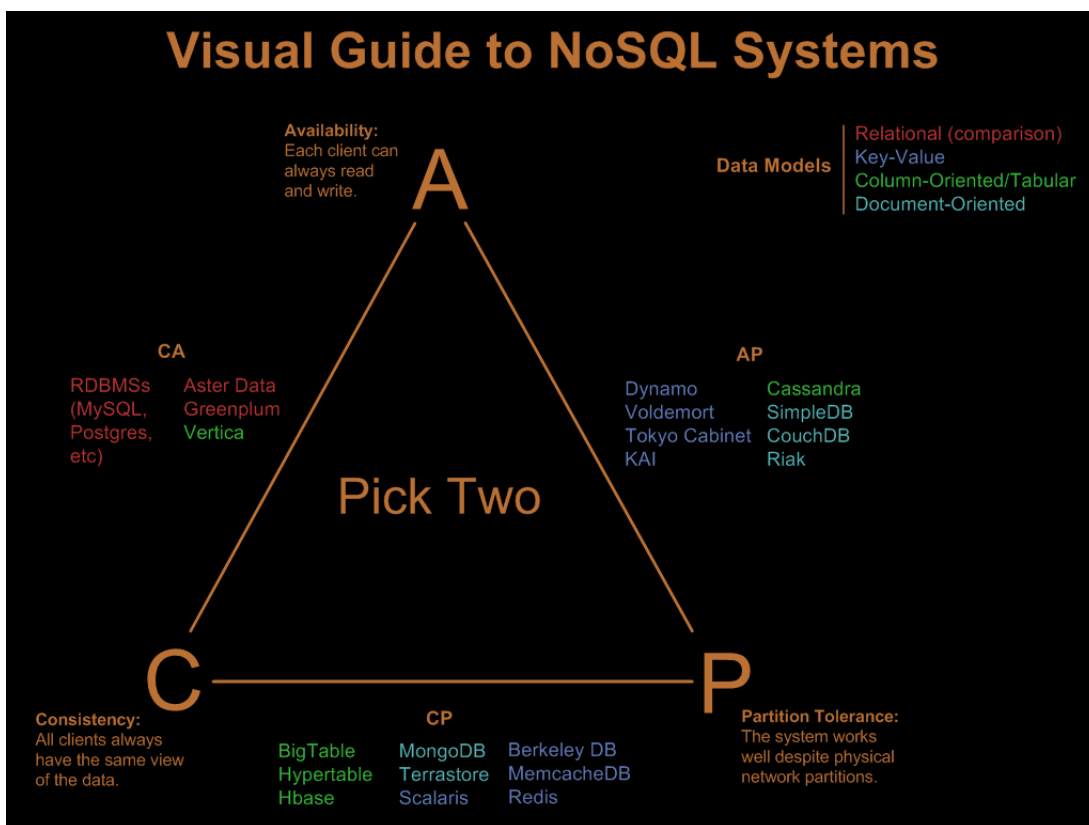
17.3.2 NoSQL Systems and CAP

Figure 17.2: CAP in Database Systems

NoSQL systems, as the name suggests, don't use a SQL database. Figure 17.2 shows some database systems and which properties they hold. Consistencies in the presence of network partitions are problematic.

Question: What is partition tolerance ?

Answer: Partition tolerance in CAP means tolerance to a network partition. Suppose there are some nodes in a distributed system and they are connected over the Internet. If any of the link goes down, the network essentially is partitioned into two halves. The nodes in first half can talk to one another, and the nodes in second half can talk to one another, but the nodes from first half cannot talk to the nodes in second and there are clients able to talk to either one or both of those nodes. In our case these are replicas. If there is

an update on the node, that update can be propagate to other nodes, but since the network is partitioned it cannot communicate with the other nodes until the network is fixed. The system will be inconsistent if the messages are not flowing back and forth.

Question: Why is availability an issues?
Answer: Availability can be an issue if a node goes down and the system can't make any progress. For example, in the case of distributed locks, if a nodes go down, we cannot actually operate our system. Similarly in the case of 2-phase commits and and other situations where it is required for all the nodes to agree on something, if some nodes are unavailable, then they will not be able to agree.

Question: Is there any way we can relax one of the dimensions, e.g., consistency and get more of the other dimensions?
Answer: For specific systems we can make trade-offs. There is no general rule saying that if we relax property A by 20%, we can get 30% more of property B because it all depends on the assumptions we make for that application.

Question: In Figure 17.2, there are a lots of databases mentioned. Some of them offer availability and partition tolerance, but not consistency. Why would a database not want consistency?
Answer: In these cases it means that we are not getting good consistency guarantees. A very lose form of consistency is called "eventual consistency." The best way to understand it is by taking DNS as an example. We can think of DNS as a very large database that stores hostname to IP address mappings. There are no consistency assumptions made. If we make an update, it may take up to 24 hours for it to propagate. Until then, things may be inconsistent with respect to one another. We do this because we want availability and partition-tolerance. If our application needs a better guarantee than that, we should not choose these databases.
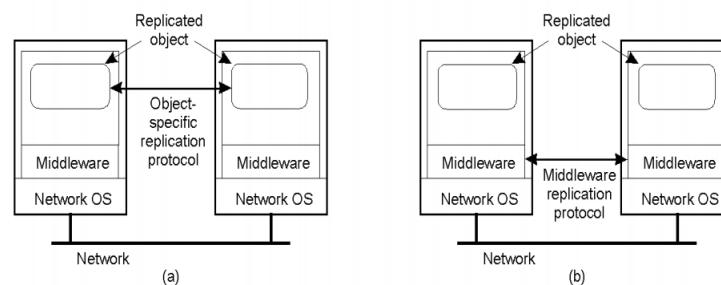
17.4 Object Replication

Figure 17.3: Two types of replication. (a) The application does the replication and handles consistency. (b) The middleware does the replication and handles consistency.

Question: Is it beneficial to implement replication in the middleware than in the application level?
Answer: It depends on the type of application you use.

Question: What do you mean by "Simplifies application development but makes object-specific solutions harder"?
Answer: The developer doesn't need to deal with the replication logic for the application, but the developer will have to stick to the replication and consistency scheme provided by the middleware. There are many such schemes as we will see ahead. It reduces flexibility for the developer.

17.4.1   Replication and scaling

Replication and caching are often used to make systems scalable. Suppose an object is replicated N times, the read frequency is R, and the write frequency is W. Stricter consistency guarantees are worthwhile if $R >> W$, otherwise they are just wasted overheads (tight consistency requires globally synchronized clocks). The overheads increase as we make the consistency guarantees stricter. Thus, we try to implement the loosest consistency technique that is suitable for our application.

17.5   Data-Centric Consistency Models

We can analyze from the perspective of data items. There are consistency models from the perspective of clients too. All of the consistency models have the goal to retrieve the most recently modified version. There is a contract between the data-store and processes, i.e, if processes obey certain rules, the data store will work correctly. All models attempt to return the results of the last write for a read operation.
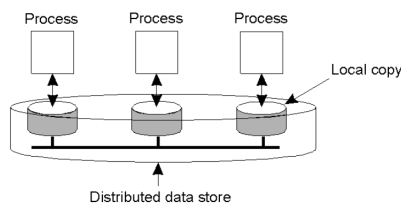

Figure 17.3: Data-centric consistency models.

17.5.1   Strict Consistency

Strict consistency is when the system always returns the results of the most recent write operation. There is no inconsistency. It is hard to implement as it assumes a global clock and compares the read and write timings. There is some delay in propagation of messages as well. Suppose a copy at location A gets modified and A sends a notification to B about its write which takes 1ms to travel. If B gets a read request before the message from A has arrived but after A has been modified, B will not know that there has been an update. This is one of the reasons why it is so hard to implement.

17.5.2   Sequential Consistency

Sequential consistency is weaker than strict consistency. All operations are executed in some sequential order which is agreed upon by the processes. Within a process, the program order is preserved. We can pick up any ordering for operations across different machines.
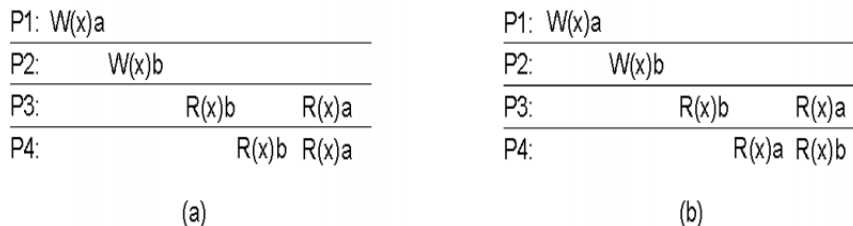
```
P1: W(x)a                              P1: W(x)a
P2:      W(x)b                          P2:      W(x)b
P3:           R(x)b      R(x)a          P3:           R(x)b      R(x)a
P4:              R(x)b R(x)a            P4:              R(x)a R(x)b

        (a)                                    (b)
```

Figure 17.4: Sequential Consistency

In Figure 17.4, lets say x is a web page. Process $P1$ writes a to x and process $P2$ writes b to x. Process $P3$ reads x's value as b and then later reads it as a. If we had a global lock, we would know that $P1$ wrote it first and then $P2$. So, once $P3$ sees a it shouldn't see b. But since we do not have synchronized clock, we don't really know if that is what has happened, because $P1$ and $P2$ did not communicate with each other and hence we don't know if they are concurrent events. So processes just agreed that $P1$'s write happened before $P2$'s write. In 17.4 (a) The processes agree on the order that $P2$ wrote before $P1$ and both $P3$ and $P4$ read in that order. Figure 17.4 (b), $P3$ and $P4$ see in different orders and that is not allowed.

One reason for operations to have different orders could be because the individual servers are located geographically apart. The propagation delays can cause the ordering to change. In sequential consistency we allow any ordering as long as all processes agree to that ordering.

Question: Process $P1$ has written to the web page, so why does it not see a before b?
Answer: It will process a before b but the question is when the update b arrives, $P1$ has to decide if that update occur before $P2$. Just like in totally ordered multicasting, we will have to wait for all the writes to figure a global ordering and then commit them in that order.

Question: Would it be expensive to implement the order?
Answer: The implementation will always have an overhead/cost to it which we will see later. Right now we are just discussing the concepts or types of consistencies which we can implement depending on our use cases.

17.5.3   Linearizability

Along with all the properties of sequential consistency, we also have the requirement that if there are two operations x and y across different machines such that time-stamp of x, $TS(x) <$ time-stamp of y, $TS(y)$, then x must precede y in the interleaving. There is an implicit message passing. The reads and writes are done on shared memory buffers and if we read some value from a variable, the write must have happened before. If there are concurrent writes, then their order can not be determined. Linearlizability is stricter than sequential consistency but weaker than strict consistency. Consider the difference between serializability and linearizability: serializability is a property at transaction level, whereas linearizability handles reads and writes on replicated data.

Process P1	Process P2	Process P3
x = 1;	y = 1;	z = 1;
print (y, z);	print (x, z);	print (x, y);

Figure 17.5: Linearizability Example

Figure 17.5 shows three processes. Each process writes one variable and reads variables written by the others. Thus, there is an implicit communication here about the ordering. The valid interleaving is shown in Figure 17.6.

- Four valid execution sequences for the processes of the previous slide. The vertical axis is time.

x = 1;	x = 1;	y = 1;	y = 1;
print ((y, z);	y = 1;	z = 1;	x = 1;
y = 1;	print (x,z);	print (x, y);	z = 1;
print (x, z);	print(y, z);	print (x, z);	print (x, z);
z = 1;	z = 1;	x = 1;	print (y, z);
print (x, y);	print (x, y);	print (y, z);	print (x, y);
Prints: 001011	Prints: 101011	Prints: 010111	Prints: 111111
Signature: 001011	Signature: 101011	Signature: 110101	Signature: 111111
(a)	(b)	(c)	(d)

Figure 17.6: Valid interleaving for Figure 17.5 satisfying the property of linearizability.

An invalid ordering would be when after assigning a value to a variable we still print a 0. Another scenario will be if we do not agree to a program order.

17.5.4   Causal Consistency

Causally related writes must be seen by all the processes in the same order. In Figure 17.7 (a), $P2$ read a from x and then wrote b which means that $P1$ wrote before $P2$ and thus, a will be read before b. Process $P3$ does not agree to it and thus is not consistent. For concurrent writes, the processes do not need to agree upon an interleaving and can read in any order (Figure 17.7 (b)). Causal consistency is weaker than linearizability as the latter fixes an order.

P1: W(x)a			
P2:	R(x)a	W(x)b	
P3:		R(x)b	R(x)a
P4:		R(x)a	R(x)b

(a)

Not permitted

P1: W(x)a			
P2:		W(x)b	
P3:		R(x)b	R(x)a
P4:		R(x)a	R(x)b

(b)

Permitted

Figure 17.7: Causal Consistency

Question: In Figure 17.7 (b), if $P3$ reads it twice, is it possible for it to read b and b again?
Answer : That is valid because in that case $P1$ writes a on x first. Then $P2$ writes b on x and it overwrote the content written by $P1$. $P3$ reads that subsequently and keeps seeing b as many times as it reads.

Question: Could you give an example for what is allowed in sequential consistency but not in linearizability (Figure 17.7 (b)?
Answer : Processes can agree on some order, say b, a, then $R(x)b$ $R(x)a$ and $R(x)b$ $R(x)a$ is allowed in sequential consistency, which is not allowed in linearizability.

Question: In lineraizability is $R(x)a$ $R(x)b$ and $R(x)a$ $R(x)b$ allowed (Figure 17.7 (b)?
Answer: Yes, in fact that is required. You have to see a followed by b if there is a happen-before relation.

Question: What is a causal relationship? **Answer:** There is a causal relationship between 2 processes if they communicate. If one process writes to a shared variable and another reads from it, the variable becomes a shared buffer. This establishes a causal relationship between the 2 processes. Similarly we can say about message passing between processes.

Question: If $P4$ was $R(x)b$ $R(x)a$ in Figure 17.7, will it be permitted? **Answer:** No. It will not be permitted. The $R(x)a$ in $P2$ causally relates the writes in $P1$ and $P2$. Since the $W(x)b$ comes after already reading the value written by $P1$ as a, only permitted order is $R(x)b$ after $R(x)a$. If there was no $R(x)a$ in $P2$, any order will be permitted for the reads in $P3$ and $P4$.

17.5.5   Other Models

FIFO consistency does not care about ordering across processes. Only the program ordering within a process is considered. It may also be sometimes hard. It is also possible to enforce consistency at critical sections, i.e., upon entering or leaving a critical section but not within a critical section. This can be a weak consistency or entry and release consistency. All transactional systems like databases use this kind of consistency. Consistency is done at commit boundaries only.

Consistency	Description
Strict	Absolute time ordering of all shared accesses matters.
Linearizability	All processes must see all shared accesses in the same order. Accesses are furthermore ordered according to a (nonunique) global timestamp
Sequential	All processes see all shared accesses in the same order. Accesses are not ordered in time
Causal	All processes see causally-related shared accesses in the same order.
FIFO	All processes see writes from each other in the order they were used. Writes from different processes may not always be seen in that order

(a)

Consistency	Description
Weak	Shared data can be counted on to be consistent only after a synchronization is done
Release	Shared data are made consistent when a critical region is exited
Entry	Shared data pertaining to a critical region are made consistent when a critical region is entered.

(b)

Figure 17.8: Consistencies (weaker as you go down).

17.6   Client-centric Consistency Models

Consider reads and writes performed by different clients (processes). There are following types:

Monotonic Reads: All reads after a read will return the same or more recent versions. It does not

necessarily have to be the most recent.

Monotonic Writes: The writes must be propagated to all replicas in the same order.

Read your writes: A process must be able to see its own changes. For example, if you update your password and log back in after sometime while the changes have not been replicated. But still, the system should not say incorrect password.

Writes follow reads: The writes after read will occur on the same or more recent version of the data.

Question: What is the concept of "you" in the above description?
Answer: "You" means a machine or a process or a user who uses the machine.

17.7   Eventual Consistency

Because of their high costs, many systems do not implement the consistency models described previously. According to eventual consistency, an update will eventually reach all of the replicas; there are no guarantees regarding how long it will take. DNS uses eventual consistency. The only guarantee is that in the absence of any new writes, all the replicas will converge to the most recent version. Write-write conflicts occur in this model because there can be conflicting writes across machines and eventually there will be a conflict when the updates propagate. Source code control systems are also eventually consistent. Some examples of systems that use eventual consistency include:

- DNS: Single naming authority per domain. Only naming authority allowed updates (no write-write conflicts).

- NIS: User information database in Unix systems. Only sys-admins update database, users only read data. Only user updates are changes to password

- Cloud storage services such as Dropbox, OneDrive, and iCloud all use eventual consistency.

Question: If DNS uses eventual consistency, can it lead to network problem?
Answer: The problem occurs because many of the DNS servers cache entries. If you want to avoid it, you have to reduce the size of the cache value. In this case, when you make the same request again, that server needs to look upto the origin server again, which might lead to an increase in load. Thus, expiring the cache values will generate more requests at the origin server.
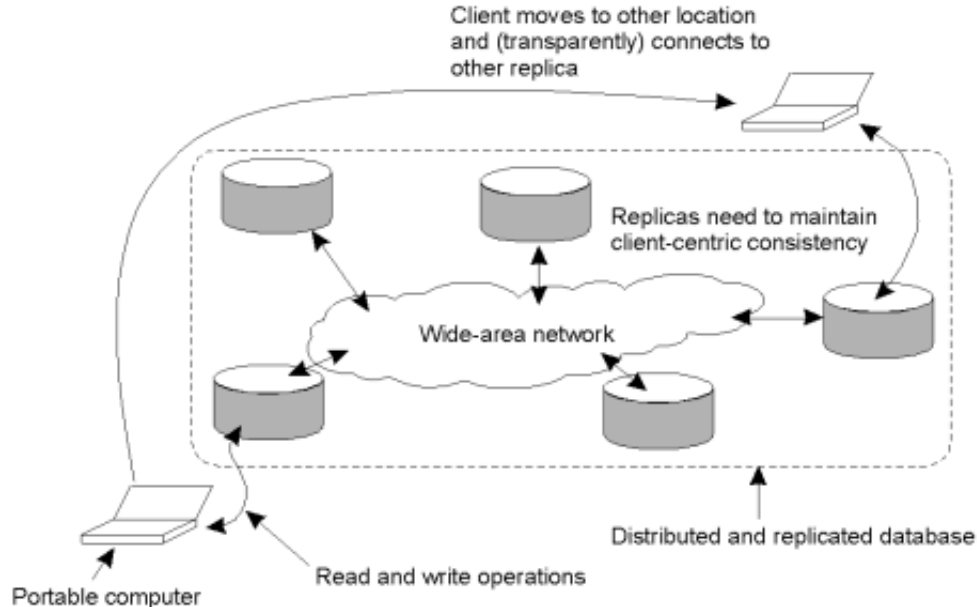
Figure 17.8: Eventual Consistency

17.8 Epidemic Protocols

These protocols help implement eventual consistency. In Bayou, a weakly connected environment is assumed, i.e., clients may disconnect. Offline machines are made consistent when they re-connect (e.g., pulls in git). The updates propagate using pair-wise exchanges similar to diseases. Machines push/pull updates when they connect to another machines and eventually all the machines will have the updates.

Many systems that you encounter in practice, use this form of consistency. For example, DropBox essentially uses this type of model, except that DropBox has a centralized server. You might have many Dropbox clients. When you make an update on one device, your Dropbox client at some point going to contact the centralized server and tell it "Here are some changes," and push it. It might also pull for new updates. Once you pushed your changes to the server, other clients can pull the changes from the centralized server after some time. So you have a pairwise exchange of information between two machines which happens at random intervals.

Question: Will you waste a lot of messages trying to spread an infection? When do you stop?
Answer: There are two algorithms based on epidemic protocols discussed in the following sections and will answer this question there.

17.8.1 Spreading an Epidemic

Algorithms:

- Anti-entropy:
  - Server P picks a server Q at random and exchanges updates.
  - Three possibilities: only push, only pull or both push and pull.

– **Claim**: "A pure push-based approach does not help spread updates quickly."
   Explanation:
   Suppose there is a system with N nodes and we make a change at one of the nodes. This node will randomly pick another node and push that update. Next, these two nodes will pick two other nodes randomly and push the update. The number of nodes which have the update increase exponentially. In the end there will be a very small set of servers which haven't received the update. The probability of picking a server in a large system is $1/N$ i.e. for a large value of N, it is a small probability. We may end up picking up the same servers which have already seen the update. So, the remaining small number of nodes may not get the update quickly. We will have to wait until one of these infected nodes end up picking them and push the update.

It works much better if we combine push and pull because nodes are pro-actively pulling and pushing.

- Rumor Mongering (also known as "gossiping"):

  This works similar to how rumors are spread. Inspired by class of protocols called *gossip protocol*, which are same as epidemic protocols with one small difference: in Rumor mongering there is some probability that you will stop. Just as initially if we have news item, we try to spread it, but after a while we feel like everybody knows it, so we stop calling friends. Rumor mongering is a push-based protocol.

  – Upon receiving an update, P tries to push to Q.
  – If Q already received the update, stop spreading with prob 1/k.
  – Analogous to "hot" gossip items => stop spreading if "cold."
  – Does not guarantee that all replicas receive updates.
     * Chances of staying susceptible: $s = e^{-(k+1)(1-s)}$

Question: Can you push faster and at a higher rate in anti-entropy?
Answer: The rate at which you push or how frequently you push is a parameter you can set in both anti-entropy and rumor mongering, so both of them can control the rate at which spread is happening.

Question: There are many ways to do this, are there any reasons why choose this?
Answer: That's right, this is an entire area of research and there are hundreds of papers published on approaches similar to these.

Question: If a node is trying to pull, how does it know what is hot and what is cold? **Answer:**

1. Rumor Mongering: It is push based with a probabilistic backoff based on if the receiver already knows about the change or not.

2. Anti-entropy: If a node tries to pull from another node who hasn't seen the change, the node will also not see the change.

This is why it is better to have a combination of push and pull methods so that nodes which do not receive the changes in a push can pull from those who have. This is a better approach for eventual consistency.

Question: What happens in an only pull based model?
Answer: A node will tell another node that it has not seen any changes since 12 PM. If the other node has any changes after that, it will send those to the first node.

Paiwise Exchange is when you do both push and pull. For example, in a FitBit that is connected to your smartphone, it will periodically connect to the phone and push data like health metrics. At the same time, it will also pull data from phone like weather info, etc.

Question: If a file is changed at location 1 and some other client changes the same file at another location at around the same time, what happens?

Answer: This is called a write-write conflict. This will often occur in systems like Dropbox. If you login on two machines, open the same file on both the machines, make two different changes and save the file more or less at the same time, you will see both of those clients will try to contact the server and server will see that the files are changing more or less at the same time, it will declare a write-write conflict and create two copies, saying that the file changed at the same time. This can often happen because the consistency guarantee is weak.

17.8.2   Removing Data

Deletion of data is hard in epidemic protocols. Lets say we delete a file from Dropbox. Our Dropbox client contacts the server asking for updates. It will compare the two directories and find a file on the server which is not available on the client. If we simply do pairwise exchange blindly, we will recreate the same file on the client which was deleted. There has to be a way to distinguish between an "update" and a "delete." A "delete" that leaves no sign of it will not allow you to figure out whether it is a deleted file or a new file that got added. This problem is solved using *death certificates*, which means when a file is deleted, an entry is kept for the file that has been deleted. So, "delete" is now an "update," which has to be propagated and cause other nodes to delete the file as well.