ENHANCING THE SUCCESS RATIO OF DISTRIBUTED REAL-TIME NESTED TRANSACTIONS

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Abstract: The traditional transaction models are not suited to real-time database systems (RTDBSs). Indeed, many current applications managed by these systems necessitate a kind of transactions where some of the ACID properties must be ignored or adapted. In this paper, we propose a real-time concurrency control protocol and an adaptation of the Two-Phase Commit Protocol based on the nested transaction model where a nested transaction is viewed as a collection of both essential and non-essential subtransactions: the essential subtransaction has a firm deadline, and the non-essential one has a soft deadline. We show through simulation results, how our protocol based on this assumption, allows better concurrency between transactions and between subtransactions of the same transaction, enhancing then the success ratio and the RTDBS performances, i.e., more transactions may meet their deadlines.

1 INTRODUCTION

RTDBSs are generally defined as the database systems supporting time-constrained transactions. The timing constraints are usually expressed in the form of transaction deadlines. The first requirement in RTDBSs is to maintain the database consistency by enforcing the concurrency control between the active transactions. The second requirement is to satisfy the real-time constraints of the transactions in order to meet their individual deadlines. In the earlier models of traditional RTDBSs, a transaction is considered as a single flat unit of tasks [Haritsa and Ramamritham, 1997, Ramamritham, 1993], which consists of a sequence of primitive actions (e.g., read and write of data-items). If one operation of the transaction fails, then the whole work done by transaction is rolled-back. Most of the previous work [Bernstein and Goodman, 1987, Krzyzagorski and Morzy, 1995] on RTDBSs have used flat transaction as the underlying transaction model, but these approaches are not suitable to many new database applications. Some applications have changed from traditional applications to more advanced and complex applications, such as computer aided design (CAD), cooperative applications and multimedia applications.

The nested transaction model, originally introduced to increase transaction reliability in distributed systems [Moss, 1986], is proved to be more appropriate for these new applications. The first nested transaction model has been proposed by Moss [Moss, 1986]. A nested transaction is considered as a hierarchy of subtransactions, and each subtransaction may contain either other subtransactions, or the atomic database operations (read or write). Furthermore, a nested transaction is...
a collection of subtransactions that compose the whole atomic execution unit.

A nested transaction is represented as a tree, called transaction tree [Moss, 1986, Chen and Gruenwald, 1994, El-Sayed and El-Sharkawi, 2001, Reddy and Kitsuregawa, 2000]. A nested transaction offers more decomposable execution units and finer grained control over concurrency and recovery than flat transaction. Nested transactions provide intra-parallelism, (subtransactions running in parallel) as well as better failure recovery options, i.e., when a subtransaction fails and aborts, there is a chance to restart it by its parent instead of restarting the whole transaction (which is the case of flat transactions). Even though, the major driving force in using nested transaction is the need to model long-lived applications, nested transactions may also be efficiently used to model short transactions (like in the context of real-time database applications, with specific characteristics).

The main performance goal of RTDBSs scheduling notably for firm and soft transaction is to minimize the number of transactions that miss their deadlines. So, a performance metric in assessing the system performance in RTDBMSs is the "throughput". Throughput is defined in terms of the number of transactions that complete successfully, which is also called the "success ratio". A transaction is considered to be successfully completed if it runs completely and commits its result before its deadline.

When multiple users access a database simultaneously, their data operations have to be coordinated in order to prevent incorrect results and to preserve the shared data consistency. This activity is called concurrency control [Abbott, 1988, Pavlova and Nekrestyanov, 1997], which has always been a major aspect of computing systems. In recent years, different real-time concurrency control protocols have been proposed to both flat and nested transactions. In this paper, we consider the case of nested transactions model and its application to real-time transactions.

The remaining of this paper is organized as follows. In the next Section, we describe a kind of nested transactions models. In Section 3, we present some real-time concurrency control protocols for nested transactions and we introduce our concurrency control protocol for real-time nested transactions. The protocol implementation is described in Section 4 with some simulation results. Finally, in Section 5, we conclude and give some future research directions.

2 NESTED TRANSACTION MODELS

The main types of the various models of nested transactions are (1) closed nested transaction [Moss, 1986] and (2) open nested transaction [Madria and Bhargava, 2000]. In the closed nested transaction model [Moss, 1986, El-Sayed and El-Sharkawi, 2001], a subtransaction’s effect cannot be seen outside its parent’s view. Originally introduced by Moss [Moss, 1986], a commitment of a subtransaction is conditional upon the commitments of its parent, while in the open nested transaction model [Madria and Bhargava, 2000], the subtransactions can execute and commit independently. The model provides non-strict execution by taking into account the commutative properties of the semantics of the operations at each level of data abstraction. A subtransaction is allowed to release its locks before the higher-level transaction has committed. The leaf level locks are released early only if the semantics of the operations is known. In many applications, the semantics of transactions cannot be known and hence, it is difficult to provide non-strict execution. So, in this paper, we consider a closed nested transaction model. Nested transaction extends the flat transaction by allowing a transaction to invoke atomic transactions as well as atomic operations. In a nested transaction model, a transaction may contain any number of subtransactions, which again may be composed of any number of subtransactions, conceivably resulting in an arbitrary deep hierarchy of nested transactions.

The root transaction, which is not enclosed in any transaction, is called the top-level transaction (TLT). Transactions having subtransactions are called parent transactions (PTs), and their subtransactions are their children. Leaf transactions (LTs) are those transactions with no child.

The ancestor (resp. descendant) relation is the reflexive transitive closure of the parent (resp. child) relation. We will use the term superior (resp. inferior) for the non-reflexive version of the ancestor (resp. descendant). The children of one parent are called siblings. The set of descendants of a transaction together with their parent/child relationships is called the transaction’s hierarchy. The hierarchy of a TLT can be represented by a so-called transaction tree. The nodes of the tree represent PTs, and the edges illustrate the parent/child relationships between the related transactions. In the transaction tree shown in Figure 1, T1 represents TLT or root.

- T1 is a root or TLT,
- T2 and T3 are children of T1,
– T2 and T3 are siblings,
– T4 and T5 are children of T2,
– T8, T9, T5, T6 and T7 are leaf transactions,
– T8’s ancestors are T1, T2, T4 and T8,
– T8’s superiors are T1, T2 and T4,
– T2’s descendants are T8, T9, T4, T5 and T2,
– T2’s inferiors are T8, T9, T4 and T5.

Figure 1: Example of Transaction Tree

In the nested transaction model, N-ACID properties are fulfilled for top-level transactions, while only a subset of them are defined for subtransactions. Subtransactions appear atomic to the surrounding transactions and may commit and abort independently. A transaction is not allowed to commit until all its children have terminated. However, if a child is aborted or fails, their parent is not required to abort. Instead, the parent is allowed to perform its own recovery. In order to meet its goal, the parent may choose one of the following actions [Moss, 1986, Chen and Gruenwald, 1994]: (1) to ignore the condition, (2) to retry the subtransaction, (3) to initiate another subtransaction that implements an alternative action, (4) to abort the subtransaction.

The durability of the committed subtransaction effects depends on the outcome of its superiors. Even if a subtransaction commits, the abort of one of its superiors will undo its effects. The updates of a subtransaction become permanent only when the enclosing TLT commits. In the nested transaction model defined in [Moss, 1986], the work can only be done by the leaf-level transactions. Higher level transaction only organizes the control flow and determines when to invoke which subtransaction. Two main differences exist between the various models of nested transactions [Guerraoui, 1995]: (1) whether or not a parent can directly access a data-item and (2) whether or not it can execute concurrently with its children. In this paper, we consider only the model where such accesses are reserved only to leaf transactions.

3 REAL-TIME CONCURRENCY CONTROL PROTOCOLS

3.1 Towards existing protocols

Several protocols are used for synchronizing the execution of nested transactions and therefore for ensuring isolated execution of transactions. A number of concurrency control algorithms are proposed in the literature and used widely. Concurrency control protocols may be divided into two groups [Abbott, 1988, Krzyzgorski and Morzy, 1995, Pavlova and Nekrestyanov, 1997]: (1) optimistic and (2) pessimistic approaches. The main feature of the pessimistic approach is to prevent possible conflicts. A transaction may access a data-item only if this will not cause possible conflict situations later. If it is not possible immediately, the transaction should wait until it becomes possible. Most pessimistic algorithms are based on locks [Bernstein and Goodman, 1987, Harder and Rothermel, 1993, Resende and Abbadi, 1994]. The classical pessimistic algorithm is the widely used two phase locking (2PL) protocol and its variants, such as 2PL-HP [Chen and Gruenwald, 1994 and Pavlova and Nekrestyanov, 1997]. In nested transaction model, 2PL is an upward inheritance of locks [Harder and Rothermel, 1993]. There exist other protocols using the same approach such as: priority abort protocol [Chen and Gruenwald, 1994] and priority inheritance protocol [Bernstein and Goodman, 1987]. In [Harder and Rothermel, 1993], a concept of downward inheritance is introduced to improve the parallelism within the nested transaction. The pre-write operation is introduced in [Madria and Bhargava, 2000] to increase concurrency in a nested transaction processing environment. This model allows some particular subtransactions to release their locks before their ancestor transaction commits.

In optimistic approach [Krzyzgorski and Morzy, 1995], transaction execution consists of three phases: read, validation and write. During the read phase, transactions work in parallel without any verification and each transaction writes to its own space. The validation phase consists of the checking-up of the existing conflicts. After a successful validation, it is possible to commit the transaction and to copy its local space to the database. In the last few years, some researches that merge both optimistic and pessimistic distributed approaches have been done, such as hybrid concurrency control for the nested transaction proposed in [Pavlova and Nekrestyanov, 1997]. This
protocol acts as an optimistic protocol for transactions from different transaction trees and as a pessimistic protocol inside a single transaction tree. In [Reddy and Kitsuregawa, 2000] the speculative nested locking protocol is proposed. In speculative nested transaction approach, a (sub)transaction releases a lock on the data-item when it produces after-image. In this approach a transaction carries out multiple executions by reading both before-image and after-image of the preceding transaction.

In this section, we review the basic two-phase locking protocol for nested transaction (2PL-NT). We begin to explain some used terms and we summarize this mechanism in the following.

- **R-mode:** Read mode, shared mode.
- **W-mode:** Write mode, exclusive mode.

**R1:** If a top-level transaction commits, then all its locks are released.

**R2:** If a top-level transaction aborts, it releases all locks it holds or retains. If any of its superiors holds or retains any of these locks, then it continues to do so.

**R3:** When a subtransaction commits, its parent inherits its (held or retained) locks. After that, the parent retains the locks in the same mode (W or R) in which the subtransaction has held or retained the locks previously.

**R4:** When a subtransaction aborts, it releases all locks it held or retained. If any of its superiors holds or retains any of these locks, then it continues to do so.

If a top-level transaction commits, then all its locks are released.

Note that the inheritance may cause a transaction to retain several locks on the same object.

### 3.2 Motivation

In our model, nested transaction consists of both essential and non-essential subtransactions. If an essential subtransaction aborts, the rest of the transaction has to be aborted, whereas aborting a non-essential subtransaction is allowed. It should be noted that a non-essential subtransaction could block the essential subtransaction by holding the crucial lock. Since, each subtransaction acts as a unit of work to complete for resources, then, it should possess its own deadline. Deadline assignment for subtransactions is beyond the purpose of this paper. So far, we assume that each subtransaction has a deadline. Then, we assume that an essential subtransaction is firm and a non-essential subtransaction is soft. In that case, the whole time is given to the essential transaction since (1) the non-essential transaction’s missing deadline is not fatal, (2) the non-essential transaction’s shorter deadline may increase its priority and possibly finish earlier, increasing the essential transaction’s chance to meet its deadline. To illustrate our model, we will use as an example of a control/display system. This system gives us a clear idea on the concept of essential and non-essential transactions.

For example, the Control subtransaction may be declared as essential. If a Control subtransaction commits, the nested transaction does so. However, if the display subtransaction cannot be committed, then the Control/Display nested transaction may still successfully complete.

### 3.3 Our protocol

In this section, we describe our protocol and give an example that shows how the inter-transactions and intra-transactions concurrency are increased, which improves the objective of RTDBMS. In our approach, the locking protocol offers 4 modes of synchronizations:

- **(ER-mode):** Essential Read,
- **(EW-mode):** Essential Write,
- **(NER-mode):** Non-Essential Read,
- **(NEW-mode):** Non-Essential Write.

Our protocol adapted from the basic 2PL-NT provides the following rules.

**Rule 1:** If T is an essential transaction:

a) **T** may acquire a lock in **ER**-mode if
   - No other transaction holds the lock in **W**-mode, and
   - All transactions that retain the lock in **W**-mode are its ancestors.

b) **T** may acquire a lock in **EW**-mode if
   - No other transaction holds the lock in **W**- or **R**-mode, and
   - All transactions that retain the lock in **W**- or **R**-mode are its ancestors.

**Rule 2:** If **T** is a non-essential transaction

a) **T** may acquire a lock in **NER**-mode if
   - No other transaction holds the lock in **EW**- and **NEW**-mode, and
   - All transactions that retain the lock in **NEW**- mode are its ancestors.

b) **T** may acquire a lock in **NEW** if
   - No other transaction holds the lock in **EW**, **NEW**, **ER**- and **NER**-mode.
All transactions that retain the lock in NEW- or NEW-mode are its ancestors.

Rule 3: When T commits, its parent inherits its (held or retained) locks. After that, T’s parent retains the lock in the same mode in which T held or retained the lock previously.

Rule 4: When T aborts, it releases all helds or retained locks. If any of its superiors holds or retains any of these locks, then they continue to do so.

The ER-mode permits multiple transactions to share a data-item. Furthermore, an essential and non-essential transaction could acquire the lock at a time. If a non-essential transaction holds a lock in NEW-mode while an essential transaction requests a lock in ER-mode on the same data-item, then the conflict is resolved in favor of the essential transaction and the non-essential transaction is aborted and restarted. If an essential transaction requests a lock in EW-mode on the same data-item, then all conflicts with a non-essential transaction are resolved in favor of the essential transaction. A retained EW-, ER-, NEW- and NER-locks, indicate that transactions outside the hierarchy of the retainer can not acquire the lock, but the descendants of the retainer potentially can do, i.e., if a transaction T retains an EW-lock, then all non-descendants of T cannot hold the lock in any mode (EW or ER). Table 1 shows the compatibility matrix between requesting and locking modes. The rows are the holding locks, and the columns are the requested locks.

Table 1: Compatibility matrix

<table>
<thead>
<tr>
<th>All transaction that retain the lock are its ancestors</th>
<th>All transaction that retain the lock are not its ancestors</th>
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<tbody>
<tr>
<td>ER</td>
<td>EW</td>
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3.3.1 Example 1

In the following example and for the simplicity reasons, we assume that the runtime for a write or a read operation is 10 seconds. Every subtransaction is characterized by its arrival time and its own deadline. If a subtransaction is essential then its deadline is firm, otherwise it is soft. We will use both protocols (a basic 2PL-NT and our protocol) to the same example in order to illustrate the performance of our protocol. For a basic 2PL-NT, all subtransactions are assumed to be essential.

Figure 2: T2: essential subtransaction, T3: non-essential subtransaction, Nested transaction model increases intra-transactions concurrency

Figures 2 and 3 summarize the example for a basic 2PL-NT (in this case, all subtransactions in Figure 2 are essential).

– At t=0, T3 acquires and obtains a lock in W-mode on a data-item v
– 3s afterward, T4 appears. It is blocked until the termination of T3. As its deadline is at 15s then it misses its deadline and aborts. Then the top-level transaction does so.

Figure 3: Scheduling in the basic 2PL-NT (example 1)

Figures 2 and 4 summarize the example with our protocol.

– T3 runs until the arrival of T4
– T4 obtains a lock on the data-item v in EW-mode
– T3 aborts
– T4 meets its deadline
– T3 is restarted, as its deadline is soft, completes its execution but the quality of service (QoS) decreases
– The top-level transaction may choose between the following two cases for the commitment:
  a) Commit as soon as T4 commits (if a conflict may exist with other essential subtransactions)
  b) Commit after the termination of T3
3.3.2 Example 2

Figures 5 and 6 summarize the example for a basic 2PL-NT (in this case, all subtransactions in Figure 5 are essential).

- At first, T3 requests and obtains a lock in W-mode on data-item α,
- 3s afterward, T7 is initiated and is blocked (it requests a lock held by T3) until termination of T3. Consequently, it cannot meet its deadline,
- T7 aborts and the top-level transaction does so.

Figures 5 and 7 summarize the example for our protocol.

In this way, our protocol increases both inter- and intra-transactions concurrency of nested transactions.

4 IMPLEMENTATION

In this paper, we have used an adaptation of the Two-Phase Commit protocol. Briefly, the 2PC protocol consists of Voting and Completion according phase to the outcome of vote. For more details see [Haritsa and Ramamritham, 2000].

4.1 Basic functionalities

Recall that the nested transaction consists of the TLT, PT and LT. Both TLT and PT need a coordinator. A coordinator for a subtransaction will provide an operation to open a subtransaction. The coordinator of the TLT communicates with the coordinators of the subtransactions for which it’s the immediate parent. In the first phase of the 2PC protocol, each coordinator sends CanCommit message to each of later, with in turn passes them to the coordinators of their child transaction (and so on, down the tree). Note that each TLT is characterized by its identifier TID. Thus each subtransaction possesses its own identifier that must be an extension of its parent’s TID. Therefore, the coordinator of each parent transaction has a list of its children. When a nested transaction provisionally commits, it reports its status and the status of its descendants to its parent. Eventually, the TLT receives a list of all the subtransactions in the tree, together with the status of them. The TLT plays the role of the coordinator in the 2PC, and the participant list consists of the coordinators of all subtransactions in the tree which have provisionally committed and that not have aborted ancestors. These participants will ask to vote on the outcome. If they vote to commit, then they must prepare their transactions by saving the state of the data in the permanent storage.

The second phase of the 2PC is the same as for the non-nested case, but it must be adapted for our model. The coordinator collects the votes and then informs the participants:

1. If all essential subtransactions and non-essential subtransactions vote YES, the coordinator and the participants will be committed,
2. If one or more essential subtransactions votes NO, then the TLT aborts its subtransactions,
3. If all essential subtransactions vote YES and one or more non-essential subtransactions vote NO, then the coordinator according its
deadline and the eventual conflicts with essential subtransactions in other transaction tree, chooses between the following two cases:

(a) To commit the essential subtransactions and to abort the non-essential subtransactions, or
(b) To commit after the termination of the non-essential subtransactions (in this case, the QoS decreases).

4.2 Simulation results

Simulation results show that the success ratio is better when using the new protocol than when using the basic 2PL-NT (see Figure 8). The enhancement is about 17%.

![Figure 8: Our protocol vs the basic 2PL-NT](image)

Even though, we notice that the proposed algorithm presents some restrictions (because it does not authorize the serialization between the essential and non-essential transactions). Our approach compared to the basic nested transaction enhances the success ratio. Hence, this algorithm seems more advantageous for real-time applications. Furthermore, our approach allows the adaptation of the N-ACID properties for real-time context. For instance, the top-level transaction does not satisfy the Atomicity property because if a non-essential transaction fails then it does not force its parent to do so. Therefore, only the N-CID properties are fulfilled for top-level transaction in our work. In addition, the effects of subtransaction do not become permanent until its top level transaction commits. Thus, a subtransaction does not satisfy the durability property.

In summary, the simulation results show the usefulness of our assumptions, allowing more transactions to meet their deadlines.

5 CONCLUSION AND FUTURE WORK

In this paper, we have proposed a concurrency control protocol approach based on 2PL and an adaptation of the 2PC protocol for nested transaction model in real-time systems. We have focused on achieving a high degree of both inter-transactions and intra-transaction concurrency within nested transactions. In the proposed model, each transaction is composed of both essential and non-essential (sub)transactions. When a conflict appears, it is resolved in favor of the essential (sub)transaction. If an essential transaction aborts, then the rest of the transaction has to be aborted. However, if a non-essential transaction cannot commit, then the nested transaction can still be successfully completed.

In a nested transaction model, if a parent transaction aborts, then all its children do so. To enhance the degree of intra-transactions parallelism, for the future work we will use the PROMPT protocol mechanism [Haritsa and Ramamritham, 2000] which was used for flat transactions and where the isolation property is relaxed, it allows the lending of data by uncommitted transaction, and using a probabilistic model to analyze the real-time nested transactions. The obtained probabilistic model would allow to determine weights to assign to subtransactions and to determine the threshold value which indicate whether the subtransaction is essential or not.

REFERENCES


