

CARNEGIE MELLON UNIVERSITY  
COMPUTER SCIENCE DEPARTMENT  
15-445/645 – DATABASE SYSTEMS (FALL 2025)  
PROF. ANDY PAVLO

Homework #5 (by Will)  
Due: **Sunday Nov 16, 2025 @ 11:59pm**

**IMPORTANT:**

- Enter all of your answers into **Gradescope by 11:59pm on Sunday Nov 16, 2025**.
- **Plagiarism:** Homework may be discussed with other students, but all homework is to be completed **individually**.

For your information:

- Graded out of **100** points; **4** questions total
- Rough time estimate:  $\approx 2 - 4$  hours (0.5 - 1 hours for each question)
- Each part is all or nothing. There is no partial credit.

*Revision : 2025/11/13 20:57*

Question	Points	Score
Serializability and 2PL	30	
Hierarchical Locking	30	
Optimistic Concurrency Control	25	
Multi-Version Concurrency Control	15	
Total:	100	

**Question 1: Serializability and 2PL.....[30 points]**

(a) True/False Questions:

- i. **[2 points]** 2PL is an optimistic concurrency control protocol.  
☐ True   ☐ False
- ii. **[2 points]** Strong strict Two-Phase Locking (2PL) prevents the occurrence of cascading aborts and inherently avoids deadlocks without the need for additional prevention or detection techniques.  
☐ True   ☐ False
- iii. **[2 points]** Using regular (i.e., not strong strict) 2PL guarantees a conflict serializable schedule.  
☐ True   ☐ False
- iv. **[2 points]** Every view-serializable schedule is always conflict-equivalent to at least one conflict-serializable schedule.  
☐ True   ☐ False
- v. **[2 points]** Conflict-serializable schedules prevent unrepeatable reads and dirty reads.  
☐ True   ☐ False

## (b) Serializability:

Consider the schedule of 4 transactions in Table 1.  $R(\cdot)$  and  $W(\cdot)$  stand for ‘Read’ and ‘Write’, respectively, and time increases from left to right. (This is in contrast to the diagrams in class, where time proceeded downward.)

	$t_1$	$t_2$	$t_3$	$t_4$	$t_5$	$t_6$	$t_7$	$t_8$	$t_9$	$t_{10}$
$T_1$			W(B)	W(A)						
$T_2$	R(C)					R(A)				
$T_3$		W(B)			W(C)				R(D)	
$T_4$							R(D)	W(B)		W(A)

Table 1: A schedule with 4 transactions

## i. [3 points] Is this schedule serial?

☐ Yes   ☐ No

## ii. [8 points] Compute the conflict dependency graph for the schedule in Table 1, selecting all edges (and the object that caused the dependency) that appear in the graph.

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> $T_1 \rightarrow T_2$ | <input type="checkbox"/> $T_2 \rightarrow T_3$ | <input type="checkbox"/> $T_2 \rightarrow T_4$ |
| <input type="checkbox"/> $T_2 \rightarrow T_1$ | <input type="checkbox"/> $T_3 \rightarrow T_2$ | <input type="checkbox"/> $T_4 \rightarrow T_2$ |
| <input type="checkbox"/> $T_1 \rightarrow T_3$ | <input type="checkbox"/> $T_1 \rightarrow T_4$ | <input type="checkbox"/> $T_3 \rightarrow T_4$ |
| <input type="checkbox"/> $T_3 \rightarrow T_1$ | <input type="checkbox"/> $T_4 \rightarrow T_1$ | <input type="checkbox"/> $T_4 \rightarrow T_3$ |

## iii. [3 points] Is this schedule conflict serializable?

☐ Yes   ☐ No

## iv. [3 points] Is this schedule view serializable?

☐ Yes   ☐ No

## v. [3 points] Is this schedule possible under regular 2PL?

☐ Yes

☐ No

**Question 2: Hierarchical Locking ..... [30 points]**

Consider a database D consisting of two tables C (which stores information about companies) and P (which stores information about products). Specifically:

- P(pid, name, company\_id, category, status, market, release\_year, units\_sold)
- C(cid, name, type, headquarters, ceo\_gender, founded\_year)

Table P spans 2500 pages, which we denote P1 to P2500. Table C spans 150 pages, which we denote C1 to C150. Each page contains 160 records. We use the notation P3.20 to denote the twentieth record on the third page of table P. There are no indexes on these tables.

Suppose the database supports shared and exclusive hierarchical intention locks (S, X, IS, IX and SIX) at four levels of granularity: database-level (D), table-level (P and C), page-level (e.g., P10), and record-level (e.g., P10.42). We use the notation IS(D) to mean a shared database-level intention lock, and X(C2.20-C3.80) to mean a set of exclusive locks on the records from the 20th record on the second page to the 80th record on the third page of table C.

For each of the following operations below, what sequence of lock requests should be generated to **maximize the potential for concurrency** while guaranteeing correctness?

- (a) **[5 points]** Find the product record that has the largest `units_sold` where `release_year = 1996`.
- ☐ IX(D), X(P)
  - ☐ IS(D), S(P)
  - ☐ S(D)
  - ☐ IS(D), IS(P)
- (b) **[4 points]** Update the type of all companies in table C with the name = 'MegaCorp' to 'Conglomerate'
- ☐ X(D)
  - ☐ SIX(D), X(C)
  - ☐ IX(D), IX(C)
  - ☐ IX(D), X(C)
- (c) **[5 points]** Increment the `units_sold` for the 5<sup>th</sup> record on P2450.
- ☐ IX(D), IX(P), IX(P2450), IX(P2450.5)
  - ☐ SIX(D), SIX(P), SIX(P2450), X(P2450.5)
  - ☐ IX(D), IX(P), IX(P2450), X(P2450.5)
  - ☐ IS(D), IS(P), IS(P2450), X(P2450.5)
- (d) **[5 points]** Delete records in C if type = 'Shell'.
- ☐ SIX(D), SIX(C)
  - ☐ IX(D), IX(C)
  - ☐ SIX(D), X(C)
  - ☐ IX(D), X(C)

- (e) **[5 points]** Scan all records between P30 and P260 and modify the 5<sup>th</sup> record on P75
- ☐ IX(D), SIX(P), IX(P75), X(P75.5)
  - ☐ IS(D), S(P), IX(P75.5)
  - ☐ IX(D), IX(P), IX(P30-P260), IX(P75), X(P75.5)
  - ☐ IS(D), SIX(P), X(P75)
- (f) **[6 points]** Two users are trying to access data. User C is scanning all the records in P to read, while User B is trying to modify the 7<sup>th</sup> record in C16. Which of the following sets of locks are most suitable for this scenario?
- ☐ User C: IS(D), S(P), User B: IX(D), IX(C), IX(C16), X(C16.7)
  - ☐ User C: SIX(D), S(P), User B: SIX(D), IX(C), IX(C16), X(C16.7)
  - ☐ User C: S(D), User B: X(D)
  - ☐ User C: IS(D), S(P), User B: SIX(D), IX(C), IX(C16), X(C16.7)

**Question 3: Optimistic Concurrency Control ..... [25 points]**

Consider the following set of transactions accessing a database with object *A*, *B*, *C*, *D*. The questions below assume that the transaction manager is using **optimistic concurrency control** (OCC). Assume that a transaction begins its read phase with its first operation and switches from the READ phase immediately into the VALIDATION phase after its last operation executes.

Note: VALIDATION may or may not succeed for each transaction. If validation fails, the transaction will get immediately **aborted**.

You can assume that the DBMS is using the serial validation protocol discussed in class where only one transaction can be in the validation phase at a time, and each transaction is doing **backward validation** (i.e. Each transaction, when validating, checks whether it intersects its read/write sets with any transactions that have already committed. You may assume there are no other transactions in addition to the ones shown below. )

time	$T_1$	$T_2$	$T_3$
1		WRITE(B)	
2	READ(A)		READ(C)
3		WRITE(C)	
4	WRITE(A)		
5			
6		READ(A)	
7	READ(B)		
8	VALIDATE?		WRITE(C)
9	WRITE?		
10			
11		WRITE(A)	READ(D)
12		VALIDATE?	
13		WRITE?	
14			READ(A)
15			
16			WRITE(D)
17			VALIDATE?
18			WRITE?

Figure 1: An execution schedule

(a) [3 points] When is each transaction's timestamp assigned in the transaction process?

- ☐ The start of the write phase.
- ☐ Timestamps are not necessary for OCC.
- ☐ The start of the validation phase.
- ☐ The start of the read phase.

(b) [3 points] Will  $T_1$  abort?

- ☐ Yes
- ☐ No

- (c) **[3 points]** Will  $T_2$  abort?  
☐ Yes  
☐ No
- (d) **[3 points]** Will  $T_3$  abort?  
☐ Yes  
☐ No
- (e) **[3 points]** When time = 14, will  $T_3$  read  $A$  written by  $T_1$ ?  
☐ Yes   ☐ No
- (f) **[2 points]** OCC works best when concurrent transactions access disjoint subsets of data in a database.  
☐ True   ☐ False
- (g) **[2 points]** Aborts due to OCC are wasteful because they happen after a transaction has already finished executing.  
☐ True   ☐ False
- (h) **[2 points]** Transactions can suffer from *unrepeatable reads* in OCC.  
☐ True   ☐ False
- (i) **[2 points]** Transactions can suffer from *phantom reads* in OCC.  
☐ True   ☐ False
- (j) **[2 points]** All Objects in the read-set of a transaction are read as a whole when the transaction starts.  
☐ True   ☐ False

**Question 4: Multi-Version Concurrency Control ..... [15 points]**

Mark either **True** or **False** for each of the following statements.

Assume that the DBMS in each scenario supports multi-versioning of tuples.

- (a) Consider a MVCC DBMS using **append-only** version storage.
- i. **[3 points]** Newest-to-oldest (N2O) version chain ordering is faster than oldest-to-newest (O2N) for queries that need to read the latest version using an index scan on the primary key.  
☐ True   ☐ False
  - ii. **[3 points]** The DBMS can use *cooperative garbage collection* with oldest-to-newest (O2N) version chain ordering only if it also uses logical pointers for secondary indexes.  
☐ True   ☐ False
- (b) Consider a MVCC DBMS using **delta** version storage.
- i. **[3 points]** *Background vacuuming* will only remove delta records for old versions and never tuples from the main table.  
☐ True   ☐ False
  - ii. **[3 points]** If the DBMS uses *newest-to-oldest* (N2O) version chain ordering, all reclaimable versions will be found in the delta storage area.  
☐ True   ☐ False
  - iii. **[3 points]** When a transaction modifies an existing tuple's primary key attributes, the DBMS must delete the tuple and then re-insert it (with its new primary key) regardless of the version chain ordering.  
☐ True   ☐ False