

CARNEGIE MELLON UNIVERSITY  
COMPUTER SCIENCE DEPARTMENT  
15-445/645 – DATABASE SYSTEMS (FALL 2021)  
PROF. LIN MA AND ANDREW CROTTY

Homework #4 (by Sophie Qiu)  
Due: **Wednesday Nov 10, 2021 @ 11:59pm**

**IMPORTANT:**

- **Upload this PDF** with your answers to **Gradescope by 11:59pm on Wednesday Nov 10, 2021.**
- **Plagiarism:** Homework may be discussed with other students, but all homework is to be completed **individually**.
- **You have to use this PDF for all of your answers.**

For your information:

- Graded out of **100** points; **4** questions total
- Rough time estimate:  $\approx$  1 - 2 hours (0.5 - 1 hours for each question)

*Revision : 2021/11/09 01:21*

Question	Points	Score
Serializability and 2PL	18	
Deadlock Detection and Prevention	42	
Hierarchical Locking	20	
Optimistic Concurrency Control	20	
Total:	100	

**Question 1: Serializability and 2PL.....[18 points]**

(a) Yes/No questions:

i. [2 points] *如果一个 schedule 是 conflict serializable 的, 它也一定是 view serializable 的, 反之则不成立*  
☐ Yes ☒ Noii. [2 points] There could be schedules under 2PL (not rigorous) that are not serializable.  
☐ Yes ☒ No *两阶段封锁一定能保证可序列化*iii. [2 points] A view serializable schedule may contain a cycle in its precedence graph.  
☒ Yes ☐ No

iv. [2 points] It is not possible to have a deadlock in rigorous 2PL.

☐ Yes ☒ No

v. [2 points] You will never have unrepeatable reads in rigorous 2PL.

☒ Yes ☐ No

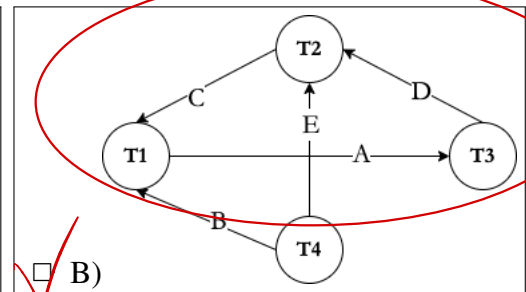
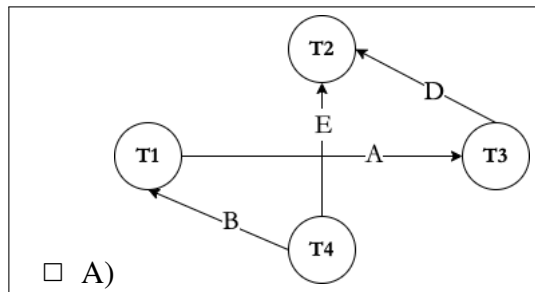
(b) Serializability:

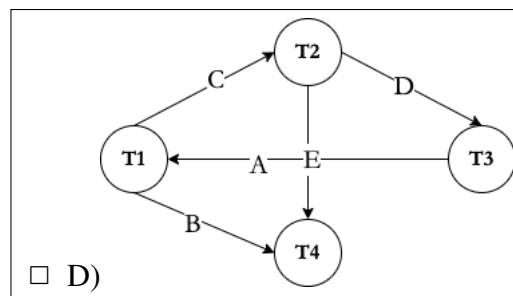
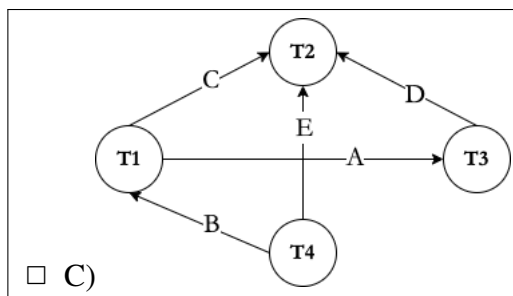
Consider the schedule given below in Table 1. R(·) and W(·) stand for 'Read' and 'Write', respectively.

time	$t_1$	$t_2$	$t_3$	$t_4$	$t_5$	$t_6$	$t_7$	$t_8$	$t_9$	$t_{10}$	$t_{11}$
$T_1$	R(A)					R(C)	R(B)		W(C)		
$T_2$				R(C)						W(D)	W(E)
$T_3$					W(A)			R(D)			
$T_4$		R(E)	W(B)								

Table 1: A schedule with 4 transactions

i. [1 point] Is this schedule serial?

☐ Yes ☒ Noii. [2 points] Choose the correct dependency graph of the schedule given above. Each edge in the dependency graph looks like this: ' $T_x \rightarrow T_y$  with Z on the arrow indicating that there is a conflict on Z where  $T_x$  read/wrote on Z before  $T_y$ '.



iii. [1 point] Is this schedule conflict serializable?

☐ Yes ☒ No

iv. [3 points] Mark all the transactions that can be removed from the schedule that can make it serializable.

☒ T1 ☐ T2 ☒ T3 ☐ T4 ☐ Original schedule is also serializable

去掉T4还是有环

v. [1 point] Is this schedule possible under 2PL?

☐ Yes ☒ No

两阶段封锁一定可串行化

**Question 2: Deadlock Detection and Prevention.....[42 points]****(a) Deadlock Detection:**

Consider the following two transactions and note that

- $S(\cdot)$  and  $X(\cdot)$  stand for 'shared lock' and 'exclusive lock', respectively.
- $T_1$  and  $T_2$  represent two transactions.
- $LM$  stands for 'lock manager'.
- Transactions will never release a granted lock.

$T_1$ : (a) read(A); (b) read(B); (c) write(B);

$T_2$ : (d) write(A); (e) read(B); (f) read(A);

i. For each position, what lock should be requested:

- $\alpha$ ) [1 point] At (a): ☒  $S(A)$  ☐  $S(B)$  ☐  $X(A)$  ☐  $X(B)$  ☐ No lock  
needs to be requested
- $\beta$ ) [1 point] At (b): ☐  $S(A)$  ☒  $S(B)$  ☐  $X(A)$  ☐  $X(B)$  ☐ No lock  
needs to be requested
- $\gamma$ ) [1 point] At (c): ☐  $S(A)$  ☐  $S(B)$  ☐  $X(A)$  ☒  $X(B)$  ☐ No lock  
needs to be requested
- $\delta$ ) [1 point] At (d): ☐  $S(A)$  ☐  $S(B)$  ☒  $X(A)$  ☐  $X(B)$  ☐ No lock  
needs to be requested
- $\epsilon$ ) [1 point] At (e): ☐  $S(A)$  ☒  $S(B)$  ☐  $X(A)$  ☐  $X(B)$  ☐ No lock  
needs to be requested
- $\zeta$ ) [1 point] At (f): ☐  $S(A)$  ☐  $S(B)$  ☐  $X(A)$  ☐  $X(B)$  ☒ No lock  
needs to be requested

ii. [4 points] Which of the following schedule can cause a deadlock?

$T_1$	$S(A)$			read(A)	$S(B)$	
$T_2$		$S(B)$	read(B)			$X(A)$

☐

$T_1$	$S(A)$			read(A)	$S(B)$	
$T_2$		$S(B)$	read(B)			$S(A)$

☒

$T_1$	$X(A)$			read(A)	$S(B)$	
$T_2$		$X(B)$	read(B)			$S(A)$

☒

$T_1$	$S(A)$			read(A)	$X(B)$	
$T_2$		$S(B)$	read(B)			$X(A)$

☐

(b) Consider the following lock requests in Table 2. And note that

- $S(\cdot)$  and  $X(\cdot)$  stand for 'shared lock' and 'exclusive lock', respectively.
- $T_1$ ,  $T_2$ , and  $T_3$  represent three transactions.

- *LM* stands for ‘lock manager’.
- Transactions will never release a granted lock.

time	$t_1$	$t_2$	$t_3$	$t_4$	$t_5$	$t_6$	$t_7$
$T_1$	S(C)				S(B)	<del>X(B)</del>	<del>S(A)</del>
$T_2$		S(B)		<del>X(C)</del>			
$T_3$			X(A)				
<i>LM</i>	g						

Table 2: Lock requests of three transactions

- i. For the lock requests in Table 2, determine which lock will be granted or blocked by the lock manager. Please write ‘g’ in the LM row to indicate the lock is granted and ‘b’ to indicate the lock is blocked or the transaction has already been blocked by a former lock request. For example, in the table, the first lock (S(A) at time  $t_1$ ) is marked as granted.

$\alpha$ ) [1 point] At  $t_2$ : ☒ g ☐ b

$\beta$ ) [1 point] At  $t_3$ : ☒ g ☐ b

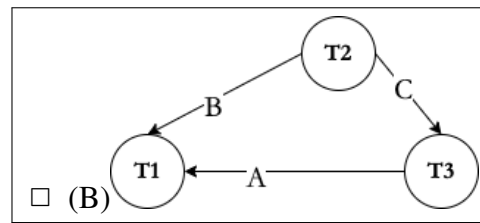
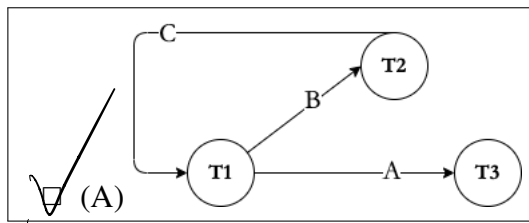
$\gamma$ ) [1 point] At  $t_4$ : ☐ g ☒ b

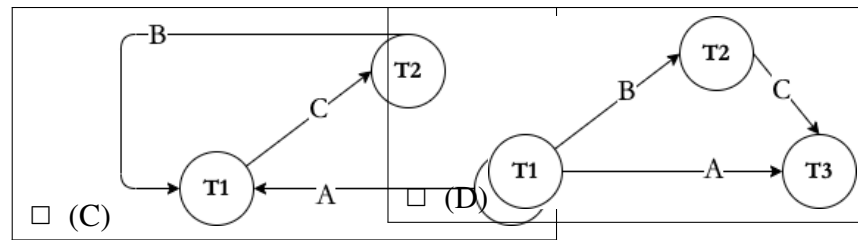
$\delta$ ) [1 point] At  $t_5$ : ☒ g ☐ b

$\epsilon$ ) [1 point] At  $t_6$ : ☐ g ☒ b

$\zeta$ ) [1 point] At  $t_7$ : ☒ g ☒ b

- ii. [2 points] Mark the correct wait-for graph for the lock requests in Table 2. Each edge in the wait-for graph looks like this:  $T_x \rightarrow T_y$  because of  $Z$ .  $Z$  is denoted in the arrow in the figure. (i.e.,  $T_x$  is waiting for  $T_y$  to release its lock on resource  $Z$ ).





iii. **[2 points]** Determine whether there exists a deadlock in the lock requests in Table 2.

Mark all that apply.

- ☐ There is no deadlock
- ☐ Cycle  $(T_3 \rightarrow T_1 \rightarrow T_3)$  exists and schedule deadlocks
- ☐ There is no cycle
- ☒ Cycle  $(T_1 \rightarrow T_2 \rightarrow T_1)$  exists and schedule deadlocks

(c) **Deadlock Prevention:**

Consider the following lock requests in Table 3.

Like before,

- $S(\cdot)$  and  $X(\cdot)$  stand for ‘shared lock’ and ‘exclusive lock’, respectively.
- $T_1, T_2, T_3, T_4$ , and  $T_5$  represent five transactions.
- $LM$  represents a ‘lock manager’.
- Transactions will never release a granted lock.

time	$t_1$	$t_2$	$t_3$	$t_4$	$t_5$	$t_6$	$t_7$	$t_8$
$T_1$	$S(B)$						$S(A)$	
$T_2$		$S(D)$			$X(B)$			
$T_3$			$X(A)$	$X(D)$				$S(C)$
$T_4$						$X(C)$		
$LM$	$g$	$g$						

Table 3: Lock requests of four transactions

- i. For the lock requests in Table 3, determine which lock request will be granted, blocked or aborted by the lock manager ( $LM$ ), if it has no deadlock prevention policy. Please mark ‘ $g$ ’ for grant, ‘ $b$ ’ for block (or the transaction is already blocked), ‘ $a$ ’ for abort, and ‘ $-$ ’ if the transaction has already died.

$\alpha$ ) [1 point] At  $t_3$ : ☒  $g$  ☐  $b$  ☐  $a$  ☐  $-$

$\beta$ ) [1 point] At  $t_4$ : ☐  $g$  ☒  $b$  ☐  $a$  ☐  $-$

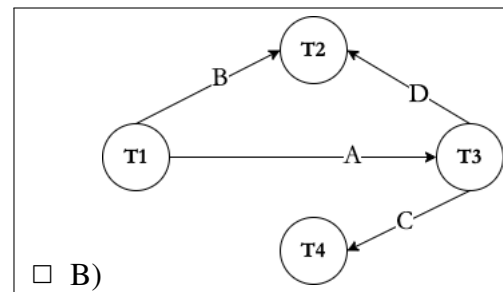
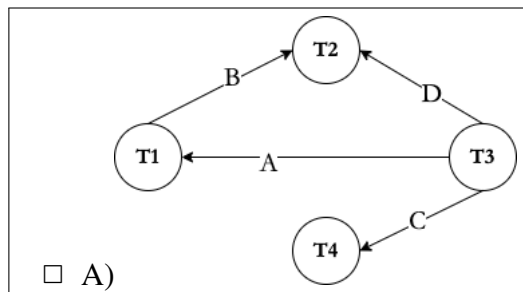
$\gamma$ ) [1 point] At  $t_5$ : ☐  $g$  ☒  $b$  ☐  $a$  ☐  $-$

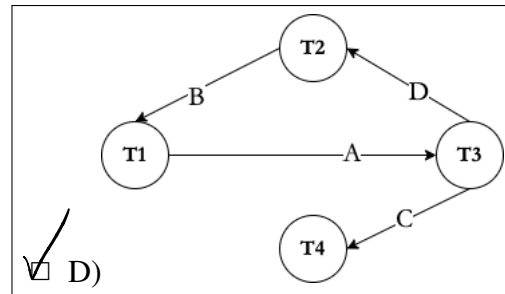
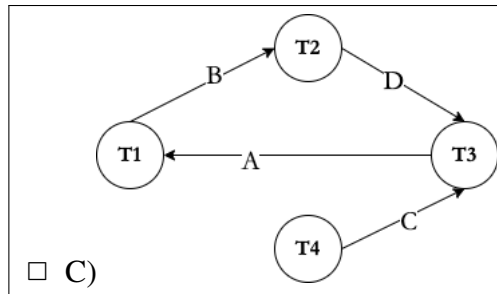
$\delta$ ) [1 point] At  $t_6$ : ☒  $g$  ☐  $b$  ☐  $a$  ☐  $-$

$\epsilon$ ) [1 point] At  $t_7$ : ☐  $g$  ☒  $b$  ☐  $a$  ☐  $-$

$\zeta$ ) [1 point] At  $t_8$ : ☐  $g$  ☒  $b$  ☐  $a$  ☐  $-$

- ii. [2 points] Mark the correct wait-for graph for the lock requests in Table 3. Each edge in the wait-for graph looks like this:  $T_x \rightarrow T_y$  because of  $Z$ .  $Z$  is denoted in the arrow in the figure. (i.e.,  $T_x$  is waiting for  $T_y$  to release its lock on resource  $Z$ ).





- iii. [2 points] Determine whether there exists a deadlock in the lock requests in Table 3. Mark all that apply.

- ☐ There is no deadlock  
☐ Cycle ( $T_1 \rightarrow T_2 \rightarrow T_3 \rightarrow T_1$ ) exists and schedule deadlocks  
☐ There is no cycle  
☒ Cycle ( $T_3 \rightarrow T_2 \rightarrow T_1 \rightarrow T_3$ ) exists and schedule deadlocks

- iv. To prevent deadlock, we use the lock manager ( $LM$ ) that adopts the Wait-Die policy. We assume that in terms of priority:  $T_1 > T_2 > T_3 > T_4$ . Here,  $T_1 > T_2$  because  $T_1$  is older than  $T_2$  (i.e., older transactions have higher priority). Determine whether the lock request is granted ('g'), blocked ('b'), aborted ('a'), or already dead ('-'). Follow the same format as the previous question.

- α) [1 point] At  $t_3$ : ☒ g ☐ b ☐ a ☐ -  
 β) [1 point] At  $t_4$ : ☐ g ☐ b ☒ a ☐ -  
 γ) [1 point] At  $t_5$ : ☐ g ☐ b ☒ a ☐ -  
 δ) [1 point] At  $t_6$ : ☒ g ☐ b ☐ a ☐ -  
 ε) [1 point] At  $t_7$ : ☒ g ☐ b ☐ a ☐ -  
 ζ) [1 point] At  $t_8$ : ☐ g ☐ b ☐ a ☒ -

当  $T_i$  申请资源被  $T_j$  占有, 仅当  $T_i$  比  $T_j$  老才阻塞  $T_i$ , 否则  $T_i$  abort.

- v. Now we use the lock manager ( $LM$ ) that adopts the Wound-Wait policy. We assume that in terms of priority:  $T_1 > T_2 > T_3 > T_4$ . Here,  $T_1 > T_2$  because  $T_1$  is older than  $T_2$  (i.e., older transactions have higher priority). Determine whether the lock request is granted ('g'), blocked ('b'), granted by aborting another transaction ('a'), or the requester is already dead ('-'). Follow the same format as the previous question.

- α) [1 point] At  $t_3$ : ☒ g ☐ b ☐ a ☐ -  
 β) [1 point] At  $t_4$ : ☐ g ☒ b ☐ a ☐ -  
 γ) [1 point] At  $t_5$ : ☐ g ☒ b ☐ a ☐ -  
 δ) [1 point] At  $t_6$ : ☒ g ☐ b ☐ a ☐ -  
 ε) [1 point] At  $t_7$ : ☐ g ☐ b ☒ a ☐ -  
 ζ) [1 point] At  $t_8$ : ☐ g ☐ b ☐ a ☒ -

当  $T_i$  申请资源被  $T_j$  占有, 仅当  $T_i$  更年轻才阻塞  $T_i$ , 否则  $T_j$  被 abort.



**Question 3: Hierarchical Locking ..... [20 points]**

Consider a database (D) consisting of two tables, Release (R) and Artists (A). Specifically,

- Release(rid, name, artist\_credit, language, status, genre, year, number\_sold), spans 1000 pages, namely  $R_1$  to  $R_{1000}$
- Artists(id, name, type, area, gender, begin\_date\_year), spans 50 pages, namely  $A_1$  to  $A_{50}$

Further, **each page contains 100 records**, and we use the notation  $R_3 : 20$  to represent the 20<sup>th</sup> record on the third page of the Release table. Similarly,  $A_5 : 10$  represents the 10<sup>th</sup> record on the fifth page of the Artists table.

We use Multiple-granularity locking, with **S, X, IS, IX** and **SIX** locks, and **four levels of granularity**: (1) *database-level* (D), (2) *table-level* (R, A), (3) *page-level* ( $R_1 - R_{1000}$ ,  $A_1 - A_{50}$ ), (4) *record-level* ( $R_1 : 1 - R_{1000} : 100$ ,  $A_1 : 1 - A_{50} : 100$ ).

For each of the following operations on the database, check all the sequence of lock requests based on intention locks that should be generated by a transaction that wants to efficiently carry out these operations by maximizing concurrency. Please take care of efficiency for e.g., share vs. exclusive lock and granularity.

Please follow the format of the examples listed below:

- mark “**IS(D)**” for a request of **database-level IS lock**
- mark “**X( $A_2 : 30$ )**” for a request of **record-level X lock for the 30<sup>th</sup> record on the second page of the Artists table**
- mark “**S( $A_2 : 30 - A_3 : 100$ )**” for a request of **record-level S lock from the 30<sup>th</sup> record on the second page of the Artists table to the 100<sup>th</sup> record on the third page of the Artists table**.

(a) **[4 points]** Fetch the 70<sup>th</sup> record on page  $R_{450}$ .

- ☐ S( $R_{450} : 70$ )
- ☐ IS(D), IS( $R_{450}$ ), S( $R_{450} : 70$ )
- ☒ IS(D), IS(R), IS( $R_{450}$ ), S( $R_{450} : 70$ )
- ☐ SIX(D), SIX(R), SIX( $R_{450}$ ), X( $R_{450} : 70$ )

(b) **[4 points]** Scan all the records on pages  $R_1$  through  $R_{10}$ , and modify the record  $R_{10} : 33$ .

- ☐ IX(D), IX(R), IX( $R_1 - R_{10}$ ), X( $R_{10} : 33$ )
- ☒ IX(D), IX(R), S( $R_1 - R_9$ ), SIX( $R_{10}$ ), X( $R_{10} : 33$ )
- ☒ IX(D), SIX(R), IX( $R_{10}$ ), X( $R_{10} : 33$ )
- ☒ IX(D), SIX(R), IS( $R_{10}$ ), X( $R_{10} : 33$ )

(c) **[4 points]** Count the number of releases with 'year' > 2011.

- ☒ IS(D), S(R)
- ☐ S(D), S(R)
- ☒ X(R)
- ☒ IS(D), X(R)

(d) **[4 points]** Increase the number\_sold of all release by 2021.

- ☐ IX(D), IS(R), X( $R_{100}$ )
- ☒ IX(R)
- ☒ X(R), S(A)
- ☒ IX(D), X(R)

(e) **[4 points]** Increase the artist\_credit in release and id in artist by 1 for all the tuples in the respective tables.

- ???
- ☒ X(D)
  - ☐ S(D), IS(R), X(A)
  - ☒ IX(D), X(R), X(A)
  - ☐ IX(D), X(R), S(A)

**Question 4: Optimistic Concurrency Control ..... [20 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 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 forward validation (i.e. Each transaction, when validating, checks whether it intersects its read/write sets with any active transactions that have not yet committed. )

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

Figure 1: An execution schedule

(a) **[6 points]** Will  $T_1$  abort?

☐ Yes

☒ No

(b) **[6 points]** Will  $T_2$  abort?

☒ Yes

☐ No

(c) **[6 points]** Will  $T_3$  abort?

☐ Yes

☒ No

- (d) ~~[2 points]~~ OCC is good to use when there are few conflicts.
- ☒ True
  - ☐ False