

Concurrent Systems

Nebenläufige Systeme

VI. Locks

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November 28, 2017



Outline

Preface

Fundamentals

Bifocal Perspective
Basic Attributes

Avenues of Approach

Atomic Memory Read/Write
Specialised Instructions

Summary



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Subject Matter

- discussion on **abstract concepts** as to blocking synchronisation:
 - lock** a critical section
 - shut simultaneous processes out of entrance
 - block (delay) interacting processes
 - unlock** a critical section
 - give a simultaneous process the chance of entrance
 - unblock one or several interacting processes
- treatment of basic characteristics and common variants of locking
 - hierarchic placement of lock/unlock implementations \leadsto ISA level
 - standby position, control mode, properties, computational burden
 - relying on atomic read/write, with and without special instructions
- explanation of benefits, limits, shallows, drawbacks, but also myths

Spin-Lock (Ger. *Umlaufsperr*)

Blocking synchronisation under prevention of context switches and by active waiting, including processor halt, for unlocking.



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Lockout [3, p. 147]

A provision whereby two processes may negotiate access to common data is a necessary feature of an MCS.^a

^aabbr. multiprogrammed computer system

- already this **original reference** foreshadows two levels of abstraction at which an implementation may be organisationally attached to:
 - by means of a program at instruction set architecture level (i.e., level 2)
 - **busy waiting** until success of a TAS-like instruction [3, p. 147, Fig. 3a]
 - the TAS-like instruction—was and still—is an **unprivileged operation**
 - by means of a program at operating system machine level (i.e., level 3)
 - [To prevent hangup,] inhibit interruption of a process between execution of a lock and execution of the following unlock. [3, p. 147]*
 - **inhibit interruption** beyond a hardware timeout is a **privileged operation**
- note: (ii) takes a logical view as to **hierarchic placement** of lockout



Hierarchic Placement

Inhibit of Interruption/Preemption

- in order that the mechanism is suited to pattern a **hardware ELOP**:¹
 - lock**
 - disables interrupts and acquires a (memory) bus lock
 - turns time monitoring on, i.e., arms some **timeout mechanism**
 - predefined worst-case execution time (WCET) or
 - upper limit of the number of processor instructions or cycles, resp.
 - ↳ raises an exception or issues an **instruction trap** [7] upon timeout
 - unlock**
 - turns time monitoring off
 - releases the (memory) bus lock and re-enables interrupts
- for integrity reasons, the processor must enforce an **absolute timeout**
 - the instruction trap must be **unmaskable** at the level of *lock/unlock*
 - the **instruction-trap handler** must be indispensable
 - a necessary part that needs to be provided by the operating system
- the *lock/unlock* pair does not have to be system calls to this end
 - it does have to “use” [11] an operating system *and*
 - it may benefit from an operating system as to problem-specific timeouts
 - in which case the *lock/unlock* pair does have to be system calls, yet

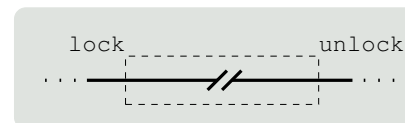
¹As indicated by [3, p. 147], to prevent hangup of processes interrogating the lock indicator, and once supported by the Intel i860 [7, p. 7-24].



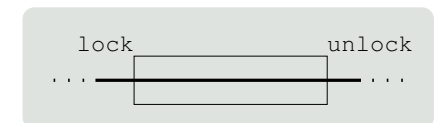
Indivisibility Revisited

- critical section considered as logical or physical ELOP, referred to [3]

logical



physical



- | | |
|--|--|
| <ul style="list-style-type: none"> ■ process lock, only <ul style="list-style-type: none"> - passage is vulnerable to delays ■ blocking time is two-dimensional <ul style="list-style-type: none"> - WCET² of critical section <i>and</i> - interrupt/preemption latency ■ hinders predictability <ul style="list-style-type: none"> - irrelevant for time-sharing mode ■ enables concurrent processes | <ul style="list-style-type: none"> ■ interrupt <i>and</i> bus lock <ul style="list-style-type: none"> - passage is without delays ■ blocking time is one-dimensional <ul style="list-style-type: none"> - WCET² of critical section ■ eases predictability <ul style="list-style-type: none"> - relevant for real-time mode ■ disables concurrent processes |
|--|--|

²abbr. *worst-case execution time*



Hint (Lockout)

Contemporary (real) processors do no longer offer a means to pattern a hardware ELOP. Instead, locking falls back on algorithmic solutions.

- the **standby position** of a process may be either active or passive
 - active**
 - a **spin-lock** (Ger. *Umlaufsperr*), busy waiting
 - lock holder interruption/preemption is crucial to performance
 - periods out of processor increase latency for competing processes
 - extends the point in time until execution of *unlock*
 - passive**
 - a **sleeping lock** (Ger. *Schlafsperr*), idle waiting
 - *lock/unlock* entail system calls, thus are crucial to granularity
 - impact of system-call overhead depends on the critical sections
 - number, frequency of execution, and best-case execution time
- “passive waiting” for *unlock* is untypical for **conventional locking**
 - a sleeping lock typically falls back on a binary semaphore or mutex, resp.³
 - a conventional lock manages on instruction set architecture level, only

³Operating system machine level concepts are discussed in LEC 7.



Coordinating Cooperation

- enforcement of **sequential execution** of any critical section always goes according to one and the same pattern:
 - entry protocol**
 - acquire exclusive right to run through the critical section
 - refuse other processes entrance to the critical section
 - ↔ as a function of the *lock* operation
 - exit protocol**
 - release exclusive right to run through the critical section
 - provide a process entrance to the critical section
 - ↔ as a function of the *unlock* operation
- including the assurance of fundamental **mandatory properties**:
 - **mutual exclusion**: at any point in time, at most one process may “have a command of” (Ger. *beherrschen*) the critical section
 - **deadlock freedom**: if several processes simultaneously aim for entering the critical section, one of them will eventually succeed
 - **starvation freedom**: if a process aims for entering the critical section, it will eventually succeed
- not least, **desirable property** is to not interfere with the scheduler



- the **control mode** (Ger. *Betriebsart, Prozessregelung*) for a lockout may be either advisory or mandatory
 - advisory**
 - locking is explicit, performed by **cooperating processes**
 - first-class object of the real processor, e.g. a critical section
 - assumes process-conformal protocol behaviour
 - a *lock* action must be followed by an *unlock* action
 - complies with a lower level of abstraction
 - mandatory**
 - locking is implicit, as a **side effect** of a complex operation
 - first-class object of an operating system, e.g. a file
 - enables recognition of exceptional conditions
 - “extrinsic” access on a locked file by a simultaneous process
 - calls for a higher level of abstraction
- mandatory locks are implemented using advisory locks internally
 - the exception proves the rule...

Hint

Advisory locks are in the foreground of this lecture, mandatory locks (in its classical meaning) will not be covered.



Working Resistance

(Ger.) *Bürde*

- the **computational burden** of synchronisation in general and locking in specific is ambilateral and applies particularly to:
 - overhead**
 - as to the **computing resources** demands of a single lock:
 - memory footprint (code, data) of a lock data type instance
 - needs to allocate, initialise, and destroy those instances
 - time *and* energy needed to acquire and release a lock
 - increases with the number of locks per (non-seq.) program
 - contention**
 - as to the **competitive situation** of interacting processes
 - on the one hand, running the entry protocol
 - on the other hand, running the critical section
 - increases with the number of interacting processes
- both factors affect the **granularity** of the object (data structure or critical section, resp.) to be protected
 - the more coarse-grained the object, the lower overhead/higher contention
 - scarcely audible background noise v. higher probability of interference
 - the more fine-grained the object, the higher overhead/lower contention
 - easily audible background noise v. lower probability of interference
 - striking a balance between the two—if at all sensible—is challenging



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- sole demand is the **atomic read/write** of one machine word from/to main memory by the real processor
 - classical approaches are in the foreground
 - for $N = 2$ processes: Dekker (1965), Peterson (1981), and Kessels (1982)
 - more of Lamport (1974) and Peterson (1981) for $N > 2$ in the addendum
 - all of them are more than an exercise to read, but significant even today
 - some are confined to two contending processes, ideal for dual-core processors
 - others are computationally complex, but may result only in background noise
 - they demonstrate what “coordination of cooperation” in detail means⁴
- an additional and utmost important **constraint** of these approaches is related to the **memory model** of the real processor
 - for sequential consistent memory only, less important in olden days
 - but more recent, this changed dramatically and gives one a hard time
- mean to say: solutions for synchronisation that do not use specialised processor instructions are not necessarily portable!

⁴The “state machine” approach will be picked up again later for non-blocking synchronisation (LEC 10), e.g. of a semaphore implementation (LEC 11).



Lock Type I

Algorithms of Dekker, Peterson, and Kessels

```

1 #ifndef NPROC
2 #define NPROC 2
3 #endif
4
5 #ifdef __FAME_LOCK_KESSEL__
6 #define NTURN NPROC
7 #else
8 #define NTURN NPROC - 1
9 #endif
10
11 typedef volatile struct lock {
12     bool want[NPROC];          /* initial: all false */
13     char turn[NTURN];          /* initial: all 0 */
14 } lock_t;
15
16 inline unsigned earmark() {
17     return /* hash of process ID for [0, NPROC - 1] */
18 }
```

Memory Barriers/Fences

Beware of **dynamic ordering** of read/write operations.



Dekker's Algorithm for $N = 2$

cf. [4] or p. 37, resp.

- **altruistic** (“self-forgetting”) entry protocol with **passing zone**:⁵

```

1 void lock(lock_t *bolt) {
2     unsigned self = earmark();    /* my process index */
3
4     bolt->want[self] = true;      /* I am interested */
5     while (bolt->want[self^1])    /* you are interested */
6         if (bolt->turn[0] != self) { /* & inside CS */
7             bolt->want[self] = false; /* I withdraw */
8             while (bolt->turn[0] != self); /* & will wait */
9             bolt->want[self] = true;  /* & reconsider */
10        }
11    }
12
13 void unlock(lock_t *bolt) {
14     unsigned self = earmark();    /* my process index */
15     bolt->turn[0] = self^1;        /* I defer to you */
16     bolt->want[self] = false;     /* I am uninterested */
17 }
```

⁵For an interpretation, see also p. 38.



- **egoistic** ("self-serving") entry protocol with **no-passing zone**.⁶

```

1 void lock(lock_t *bolt) {
2     unsigned self = earmark(); /* my process index */
3
4     bolt->want[self] = true;    /* I am interested */
5     bolt->turn[0] = self;      /* & like to be next */
6     while (bolt->want[self^1] /* you are interested */
7           && (bolt->turn[0] == self)); /* & inside CS */
8 }
9
10 void unlock(lock_t *bolt) {
11     unsigned self = earmark(); /* my process index */
12     bolt->want[self] = false; /* I am uninterested */
13 }
    
```

4–7 ■ compared to the entry protocol of Dekker's algorithm, the interest in entering the critical section (l. 4) never disappears

⁶Example for the C version is the original document [12]. See also p. 39.

- refinement of Peterson's solution, but a **mutable** entry protocol:
 - as far as the commitment on the next process is concerned

```

1 #define __FAME_LOCK_KESSEL__
2 ...
3 void lock(lock_t *bolt) {
4     unsigned self = earmark(); /* my process index */
5
6     bolt->want[self] = true;    /* I am interested */
7     bolt->turn[self] = ((bolt->turn[self^1] + self) % 2);
8     while (bolt->want[self^1] &&
9           (bolt->turn[self] == ((bolt->turn[self^1]+self)%2)));
10 }
    
```

7 ■ who's next uses feedback as to peer's view on who's turn was last
 9 ■ in case of lock contention, gives only a single process precedence

- essential difference is the **single-writer** approach:
 - that is, the entry protocol constrains processes to **read-only sharing**
 - each process will only write to own variables, but may read all variables

Starvation Freedom

Question of Interpretation (cf. p. 11)

Hint (Progress)

A matter of interaction of processes by means of the entry and exit protocols, while abstracting away from potential delays caused by "external incidents" of the instruction set architecture (ISA) level.

- in terms of the **lock callee** process: "bottom up" point of view of the level of abstraction of the entry protocol
 - the entry or exit, resp., protocol is shaped up as a **logical ELOP** (cf. p. 8)
 - depending on the solution, process delays are "accessory symptom" of:
 - Dekker** ■ noncritical parts of the entry protocol ($want_i = false$)
 - all** ■ the critical section ($want_i = true$)
- in terms of the **lock caller** process: "top down" point of view of the level of abstraction of the critical section
 - the entry or exit, resp., protocol appears to be **instantaneous**⁷

⁷As if it is implemented as a **physical ELOP** (cf. p. 8).

Solutions Based on Dedicated Processor Instructions

- fundamental aspect common to all the solutions discussed before:
 - processes rely on plain—but atomic—**read/write operations**, only
 - there is no read-modify-write cycle w.r.t. the same shared variable
 - as a consequence, arbitration at ISA level is less overhead-prone

↔ solutions for $N = 2$ are "simple", compared to $N > 2$ (cf. p. 40ff.)
- solutions for $N > 2$ processes benefit from special CPU instructions
 - atomic read-modify-write instructions such as TAS, CAS, or FAA
 - but also load/store instructions that can be interlinked such as LL/SC
- not only the memory model but in particular the **caching behaviour** of the real processor have a big impact on the solutions
 - most of the special instructions are considered harmful for data caches
 - unopt use breeds **interference** with all sorts of simultaneous processes
 - in case of high contention, this unwanted property is even more critical
- mean to say: solutions for synchronisation making use of specialised processor instructions are not necessarily straightforward!

- in its simplest form, a **binary variable** indicating the lock status:

```

1 #include <stdbool.h>
2
3 typedef volatile struct lock {
4     bool busy;      /* initial: false */
5 } lock_t;

```

- true**
 - occupied critical section, processes seeking entry will block
 - blocking is implemented solely by means of the ISA level
- false**
 - unoccupied critical section, unblocked processes will retry to enter

- just as simple the **exit protocol** for a number of lock variants

```

1 void unlock(lock_t *bolt) {
2     bolt->busy = false;    /* release lock */
3 }

```

- more distinct is variant diversity of the **entry protocol** (p. 22 ff.)...



```

1 void lock(lock_t *bolt) {
2     bool busy;
3
4     do atomic {
5         if (!(busy = bolt->busy)) /* check/try lock */
6             bolt->busy = true;    /* acquire lock */
7     } while (busy); /* if applicable, retry sequence */
8 }

```

- checking/trying and, if applicable, then acquiring the lock need to be an **atomic action** because:

- 5–6 assuming that these actions are due to **simultaneous processes**
 - 5 all these processes might find the door to the critical section open
 - 6 all of those processes who found the door open will lock the door
 - 7 all of those who locked the door will enter the critical section
- ↪ multiple processes may be in the critical section, simultaneously

- ensuring the **mutual exclusion property** requires a hardware ELOP that allows for to resemble the **atomic** construct



Spin with TAS

cf. p. 44

```

1 void lock(lock_t *bolt) {
2     while (!TAS(&bolt->busy)); /* loop if door closed */
3 }

```

- be aware of the conventional implementation of TAS [13, p. 10 & 35]:

```
atomic word TAS(word *ref) { word aux = *ref; *ref = 1; return aux; }
```

- the unconditional store has a **deleterious effect** for the cache
- as to the cache operation (write invalidate or update, resp.), the cache line holding the main memory operand causes high bus traffic
- for N contending processes, either $N - 1$ cache misses or update requests

- further problem dimension is non-stop instruction of TAS in the loop
 - blocks other processors from using the **shared bus** to access memory or other devices that are attached to \sim **access contention**
 - thereby interfering in particular with processes that are unrelated to the spinning process, thus constraining concurrency

- in non-functional terms, a solution that scales baddish...



Spin with CAS

cf. p. 44

```

1 void lock(lock_t *bolt) {
2     while (!CAS(&bolt->busy, false, true));
3 }

```

- overcomes the problem of an “unconditional store”-prone TAS

$$CAS = \begin{cases} true \rightarrow \text{stored } true \text{ into } busy, & \text{if } busy = false \\ false, & \text{otherwise} \end{cases}$$

- the cache protocol runs write invalidate or update, resp., conditionally
- but the problem of **access contention** at the **shared bus** remains
 - the processor is instructed to repeatedly run atomic “read-modify-write” cycles with only very short periods of leaving the bus unlocked
 - all sorts of simultaneous processes will have to suffer for **bandwidth loss**
- in non-functional terms, a solution that scales bad...




```

1 void lock(lock_t *bolt) {
2     do {
3         while (bolt->busy);
4     } while (!CAS(&bolt->busy, false, true));
5 }

```

Risk of degeneration to *spin on CAS* if the CSET is too short and, thus, the *cycle time* of the entry/exit protocol possibly becomes shorter than the *start-up time* of the CPU for the next cycle within the cache (line 3): in the case of an x86, e.g., a handful (2–6) of processor instructions.

- attenuates the problem of bus access contention and interference
 - 3 ■ the actual wait loop proceeds with a full-time unlocked bus
 - unrelated simultaneous (i.e., concurrent) processes are not affected
 - 4 ■ the lock is acquired at a time of a probably⁸ deserted critical section
 - related simultaneous (i.e., interacting) processes are affected, only
- suffers from regular (constant) non-sequential programs or processes
 - such as *single program, multiple data* (SPMD, [2]), a programming model of parallel computing with tendency to **common mode** (Ger. *Gleichtakt*)
 - in such a case, “clustered” processes behave and operate almost identical and, thus, will intermittently create a storm of **bus lock bursts**
- in non-functional terms, a solution that scales in a lesser extent...

⁸Note that the spinning processes may have been passed by a process.

Definition

Static or dynamic **holding time**, stepped on a per-process(or) basis, that must elapse until resumption of a formerly contentious action.

- originally from telecommunications to facilitate **congestion control** (Ger. *Blockierungskontrolle*) by avoiding channel oversubscription:
 - statically (ALOHA [1]) or dynamically (Ethernet [10]) assigned delays
 - practised at broadcasting/sending time or to **resolve contention**, resp.
- adopted for parallel computing systems to reduce the probability⁹ of contention in case of conflicting accesses to shared resources
 - common are dynamic approaches: exponential and proportional backoff

Interference with Scheduling: Priority Violation/Inversion etc.

Allocation of stepped holding times on a per-process basis rivals with planning decisions of the process scheduler.

⁹Note that in interference-prone environments of unknown frequency, periods, and lengths of delays it is hardly feasible to prevent lock contention.

Lock Type III and IV

- for possibly lock-specific static/exponential backoff:
 - extended by a pointer to an **open array** of backoff values
 - typically, the array size complies with the number of processors
- ```

1 typedef volatile struct lock {
2 bool busy; /* initial: false */
3 long (*rest)[]; /* initial: null */
4 } lock_t;

```
- for lock-specific proportional backoff: ticket-based
    - not dissimilar to a wait ticket dispenser (Ger. *Wartemarkenspender*) for a passenger paging system (Ger. *Personenaufrufanlage*)

```

1 typedef volatile struct lock {
2 long next; /* number being served next */
3 long this; /* number being currently served */
4 } lock_t;

```

## Spin with Backoff I

- principle is to **pause** execution **after** a **collision** has been detected:
  - attenuate lock contention amongst known “wranglers” for the next trial

```

1 void lock(lock_t *bolt) {
2 while (!CAS(&bolt->busy, false, true))
3 backoff(bolt, 1);
4 }

```

- combined with “*spin on read*” before (re-) sampling the lock flag:
  - combat lock contention for the next trial by assuming that “wranglers” could be overtaken by another simultaneous process

```

1 void lock(lock_t *bolt) {
2 do {
3 while (bolt->busy);
4 if (CAS(&bolt->busy, false, true)) break;
5 backoff(bolt, 1);
6 } while (true);
7 }

```

- rely on **feedback** to decrease the rate of simultaneous processes:
  - gradual doubling of the per-process holding time when allocation failed
  - increasing lock-retry timeout with “ceiling value” (most significant bit)

```

1 void lock(lock_t *bolt) {
2 int hold = 1;
3
4 do {
5 while (bolt->busy);
6 if (CAS(&bolt->busy, false, true)) break;
7 backoff(bolt, hold);
8 if ((hold << 1) != 0) hold <<= 1;
9 } while (true);
10 }

```

- in non-functional terms, solutions that scale to some extent...
  - including the solutions of static backoff as shown before



```

1 #include "lock.h"
2 #include "earmark.h"
3
4 void backoff(lock_t *bolt, int hold) {
5 if (bolt->rest)
6 rest((*bolt->rest)[earmark()] * hold);
7 }

```

- busy waiting** in pure form
    - volatile** forces the compiler not to clean out the count down loop
- ```

8 long rest(volatile long term) {
9     while (term--); /* let the holding time pass */
10    return term;
11 }

```
- in **privileged mode** and if applicable a *halt* instruction is preferred
 - in that case, the actual parameter of *rest* defines a **hardware timeout**
 - that is to say, a timer interrupt is used to force the processor out of *halt*



```

1 void lock(lock_t *bolt, long cset) {
2     long self = FAA(&bolt->next, 1);
3
4     if (self != bolt->this) {
5         rest((self - bolt->this) * cset);
6         while (self < bolt->this);
7     }
8 }
9
10 void unlock(lock_t *bolt) {
11     bolt->this += 1; /* register next one's turn */
12 }

```

Interference by Ticket-Lock

Entry policy is first-come, first-served (FCFS), which rarely complies with the process scheduler policy.

- note that *self* – *this* gives the number of waiting processes that will be served first in order to run the critical section
- knowing the **critical section execution time** (CSET) would be great
 - a choice of best-, average-, or worst-case execution time (B/A/WCET)
 - depends on the structure of critical sections as well as “background noise”



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- conventional locking under prevention of context switches
 - hierarchic placement of lock/unlock implementations \leadsto ISA level
 - standby position, control mode, properties, computational burden
- approaches with atomic read/write or added specialised instructions
 - algorithms of Dekker (1965), Peterson (1981), and Kessels (1982)
 - algorithms falling back on TAS, CAS, FAA, and backoff procedures
- although simple in structure, potential **deleterious cache effects**
 - **lock contention** when processes try to acquire a lock simultaneously
 - **bus lock bursts** when processes run the entry protocol in common mode

Critical Section Execution Time (CSET)

That locks are suitable for a short CSET is computer-science folklore, but by far too flat. Much more important is to have a **bounded** and, even better, **constant** CSET. Above all, this makes high demands on the **design of critical sections** and non-sequential programs.



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```

1 void lock(lock_t *bolt) {
2     unsigned self = earmark();
3
4     A: bolt->want[self] = true;
5     L: if (bolt->want[self^1]) {
6         if (bolt->turn[0] == self) goto L;
7         bolt->want[self] = false;
8         B: if (bolt->turn[0] == (self^1)) goto B;
9         goto A;
10    }
11 }

```

- note that **overtaking** of *self* by *peer* is volitional “feature” [4, p.13] and not owed to `goto`-less or structured, resp., programming¹⁰

9 ■ assuming that *self* gets delayed for undefined length

5 ■ then *peer* could find *CS* unoccupied and overtakes *self*

- unlock* remains unchanged (as to statements l. 13–18 of p.16)

¹⁰Disregarding the original reference, EWD is also renowned for a pamphlet that argues for abolishment of `goto` from high-level programming languages [5].

- let *self* be the current process, *peer* be the counterpart, and *bolt* be the lock variable used to protect some critical section *CS*
- a first glance at the entry protocol reveals:
 - 4 ■ *self* shows interest in entering *CS*, maybe simultaneously to *peer*'s intend to enter the same *CS* as well
 - 5–9 ■ if applicable, *self* hence waits on *peer* to yield *CS* and appoint *self* being candidate to run *CS* next
- upon a closer look, the entry protocol takes care of the following:
 - 5–6 ■ as the case may be, *self* contends with *peer* for entrance but retries if it should be *self*'s turn to enter
 - 7–8 ■ in that case, while preventing potential deadlock¹¹ of the processes, *self* waits on *peer* for being appointed to enter *CS*
 - 9 ■ reconsider entering of the critical section...

¹¹Imagine, line 7 would have been considered redundant and, thus, omitted.

Peterson's Solution for $N = 2$: Transformation

- the construct of the **busy wait loop** in the entry protocol originally described in [12] is to be read as follows:

wait until condition = *repeat nothing until condition*

= *do nothing while* \neg *condition*

applied to *C* = `while (\neg condition);`

with *condition* = $\neg Q_i$ or *turn* = *i*

inserted and factored out = `while (\neg ($\neg Q_i$ or turn = i));`

= `while (Qi and turn \neq i);`

= `while (Qi and turn = j);`

with $j \neq i$

- this results in a code structure of the entry protocol that is different from the many examples as can be found in the Web

Peterson's Solution for $N > 2$

cf. [6] or [12], resp.

```

1 void lock(lock_t *lock) {
2     unsigned rank, next, self = earmark();
3
4     for (rank = 0; rank < NPROC - 1; rank++) {
5         lock->want[self] = rank;
6         lock->turn[rank] = self;
7
8         for (next = 0; next < NPROC; next++)
9             if (next != self)
10                while ((lock->want[next] >= rank)
11                    && (lock->turn[rank] == self));
12    }
13 }
14
15 void unlock(lock_t *lock) {
16     unsigned self = earmark();
17
18     lock->want[self] = -1;
19 }

```

Memory Barriers/Fences

Beware of **dynamic ordering** of read/write operations.

Hint

Every process must have proved oneself for $n - 1$ ranks to be eligible for entering the critical section.

- basic idea is to apply the two-process solution at each rank repeatedly
 - at least one process is eliminated, stepwise, until only one remains
- let $want[p]$ be the rank of process p , let $turn[r]$ be the process that entered rank r last, and let CS be a critical section:
 - 5-6 in attempting to enter CS , indicate interest to reach the next rank
 - 8-9 for it, check all other processes for their particular rank and
 - 10-11 busy wait if there are still higher ranked processes and the current process is still designed to be promoted
- often also labelled as **filter** or **tournament algorithm**:
 - deters one out of N simultaneous processes from entering CS
 - repeated for $N - 1$ times, only one process will be granted access finally



```

1 #include <stdbool.h>
2
3 typedef volatile struct lock {
4     bool want[NPROC]; /* initial: all false */
5     long turn[NPROC]; /* initial: all 0 */
6 } lock_t;
7
8 inline void ticketing(lock_t *bolt, unsigned slot) {
9     unsigned next, high = 0;
10
11     bolt->want[slot] = true; /* enter choosing */
12     for (next = 0; next < NPROC; next++)
13         if (bolt->turn[next] > high)
14             high = bolt->turn[next];
15     bolt->turn[slot] = high + 1; /* state number */
16     bolt->want[slot] = false; /* leave choosing */
17 }
    
```

- entry protocol patterns a “take a number” system: a.k.a. **ticket lock**



Lamport's Bakery Algorithm II

cf. [9]

```

1 void lock(lock_t *bolt) {
2     unsigned next, self = earmark();
3
4     ticketing(bolt, self); /* take a number */
5
6     for (next = 0; next < NPROC; next++) {
7         while (bolt->want[next]); /* next chooses.. */
8         while ((bolt->turn[next] != 0)
9             && ((bolt->turn[next] < bolt->turn[self])
10             || ((bolt->turn[next] == bolt->turn[self])
11             && (next < self))))); /* next first */
12     }
13 }
14
15 void unlock(lock_t *bolt) {
16     unsigned self = earmark();
17
18     bolt->turn[self] = 0;
19 }
    
```

Memory Barriers/Fences
Beware of **dynamic ordering** of read/write operations.



Spin with TAS or CAS, resp.

cf. p.23 and p.24

- number of “busy wait” loop actions with bus locked and unlocked:

<pre> 1 _lock: 2 movl 4(%esp), %eax 3 LBB0_1: 4 movb \$1, %cl 5 xchgb %cl, (%eax) 6 testb \$1, %cl 7 je LBB0_1 8 ret </pre> <ul style="list-style-type: none"> 1:3 line (5) v. lines (4, 6, 7) 	<pre> 9 _lock: 10 movl 4(%esp), %ecx 11 movb \$1, %dl 12 LBB0_1: 13 xorl %eax, %eax 14 lock 15 cmpxchgb %dl, (%ecx) 16 testb %al, %al 17 jne LBB0_1 18 ret </pre> <ul style="list-style-type: none"> 1:3 lines (14, 15) v. lines (13, 16, 17)
--	--
- in case of x86, there is no difference as to the number of actions
 - but there is still the difference as to the frequency of **cache interference**
- the ratio depends on the code generator (compiler) and the CPU

