

Course Operating Systems

Lecture 7:

- a. Landmarks on Synchronization**
- b. RA with OS as arbitrator (avoid/recover from deadlocks)**

EDA093, DIT 401

Study Period 1

Ack: several figures in the slides are from the books

- Modern Operating Systems by A. Tanenbaum, H. Bos
- The art of multiprogramming, by M. Herlihy, Shavit
- OS Concepts by Silberschatz et-al
- Operating systems by W. Stallings



Understanding Synchronization better: some landmark methods/problems

- Lamport's Bakery algorithm

Understanding synchronization better

Critical Section for n threads

One idea: Before entering its critical section, each **thread gets a number**. Holder of **the smallest number** enters the critical section.



Lamport's Bakery Algorithm

Critical section for n threads using R/W variables

Idea: Implement “nummerlappar” using read/write variables only:

- De-centralized numbering scheme:
 - Each thread: read the others' numbers and choose the max+1 as your “nummerlapp”
 - Wait for the smaller numbers and then enter CS



That simple?! Can it work?



Note: the decentralized scheme may generate numbers in non-decreasing order of enumeration;
i.e., 1,2,3,3,3,3,4,5

If threads **P_i** and **P_j** choose the same number:

if $i < j$, then **P_i** goes first; else **P_j** goes first.

I.e. we need to use **thread_id's** to break ties

Lamport's Bakery Algorithm

pseudocode thread i

```
Shared var choosing: array [0..n – 1] of boolean (init false);  
    number: array [0..n – 1] of integer (init 0);  
repeat  
    choosing[i] := true;  
    number[i] := max(number[0], number[1], ..., number [n – 1])+1;  
    choosing[i] := false;  
    for j := 0 to n – 1 do begin  
        while choosing[j] do [nothing]; //spin  
        while number[j] ≠ 0 and (number[j],j) < (number[i], i) do [nothing]; //spin  
    end;  
    critical section  
    number[i] := 0;  
    remainder section  
until false;
```



*This is a more **decentralized** method than e.g. Peterson's:
no variable is “writable” by all threads*

Why does it satisfy the 3 conditions:

Mutex (no 2 threads A and B in CS concurrently): Consider the time between A's decision step and A's entry to CS; A decided to move because:

- B had higher number: when B checks, it will wait for A since A has smaller number
- or B was not interested; when B gets interested, it will choose a number > A's number, hence it will wait

Progress: the thread with the smaller number can proceed

Fairness: If A waits for B and B exits and wants to enter CS again, if A still waits, B will choose a number > A's, number, hence B cannot bypass A

To elaborate/think: homework

- Explain why Bakery algorithm satisfies the 3 conditions for critical section problem, following the diagrams and the description as we did for Peterson's algo
- Bakery algorithm idea not tied with atomic R/W variables, can work with weaker primitives:
 - Read/watch Lamport's Turing award talk (links @ reading instructions)
 - Bakery algo + concurrent readers/writers gave rise to the research for lock-free synchronization

Practice further on synchronization constructs, e.g write algorithms for implementing:

- counting semaphores from binary ones
- semaphores using mutual exclusion solutions e.g. Peterson's, Lamport's methods, the TAS or CAS methods
- *a ticket-based (a la Bakery) method using TAS, CAS, ...*



Understanding Synchronization better: some milestone steps /landmark methods

- Lamport's Bakery algorithm
- Readers-Writers problem

Readers-writers problem

Writers write;

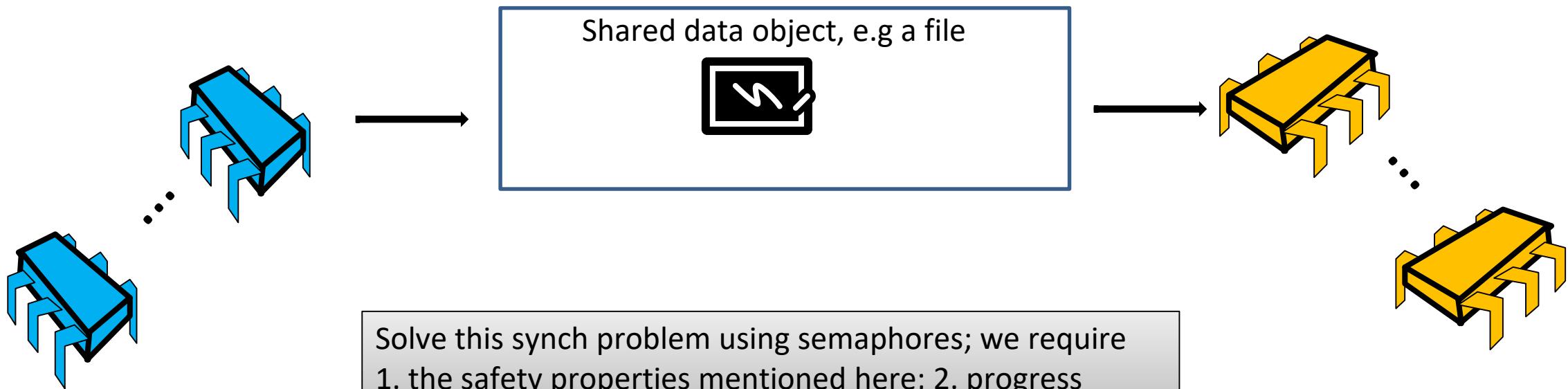
must wait if some writer or reader
is accessing the shared data object

(ie *only one writer is allowed to write at a time*)

Readers read;

must wait if some writer
is accessing the shared data object

(ie *multiple readers are allowed to read at a time
but not concurrently with any writer*)



Readers-writers problem

Shared data object, e.g a file

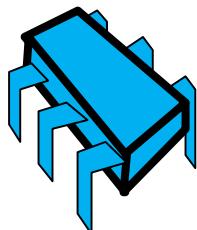


Writers write;
must wait if some writer or
reader
is accessing the shared data
object

(ie only one writer is allowed
to write at a time)

Readers read;
must wait if some writer
is accessing the shared data object

(ie multiple readers are allowed to
read at a time
but not when some writer writes)

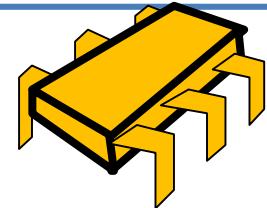


Writer

wait until no
one accesses
the object

// WRITE

no longer / no
one accessing
the object



Reader

if I am first in a batch of
readers to check



wait until no one accesses the
object
(else others read, hence go on)

// READ

inform: no longer accessing the
object

(... + if I am last in a batch of
readers who read,
tell that no one accesses the
object ...)



A solution for readers-writers

shared var:

```
noone_accesses, protect_check: binary semaphore; // initially 1
rc: int ; //active readers counter, init 0
```

Writer

Repeat

```
wait(noone_accesses);
```

//WRITE

```
signal(noone_accesses)
```

forever

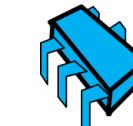
Reader

repeat

```
wait(protect_check); // CS to change and check rc variable
if rc++ == 1 then wait(noone_accesses) fi
    // "first" reader: block writers or wait if some of them writes
    signal(protect_check);
```

// READ

```
wait(protect_check); // CS to change and check rc
if rc-- == 0 then signal(noone_accesses) fi
    // "last" reader: signals
    signal(protect_check)
forever
```



Writer

wait until no one accesses the object

// WRITE

no longer / no one accessing the object

Reader

if I am first in a batch of readers to check



wait until no one accesses the object
(else others read, hence go on)

// READ

Inform: no longer accessing the object

(... + if I am last in a batch of readers who read, tell that no one accesses the object ...)

Homework:

1. argue about correctness wrt requirements (safety, progress);
2. What about fairness?

Show that the solution enforces that readers have "priority"...

The Readers/Writers Problem ...

... paved the way to research on *lock/wait-free synchronization -- concurrent reading while writing (see also ptrs in Reading Instructions)*



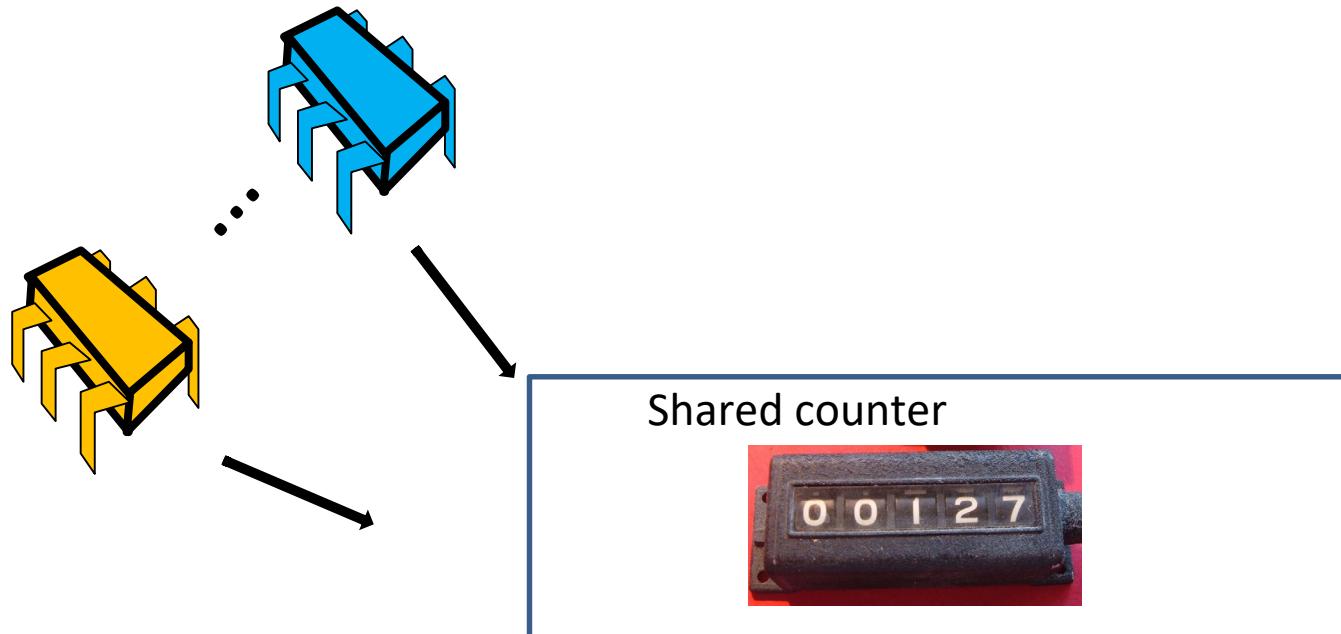
Understanding Synchronization better: some milestone steps /landmark methods

- Lamport's Bakery algorithm
- Readers-Writers problem
- **A touch of lock-free synchronization**

Shared counter problem

Increment

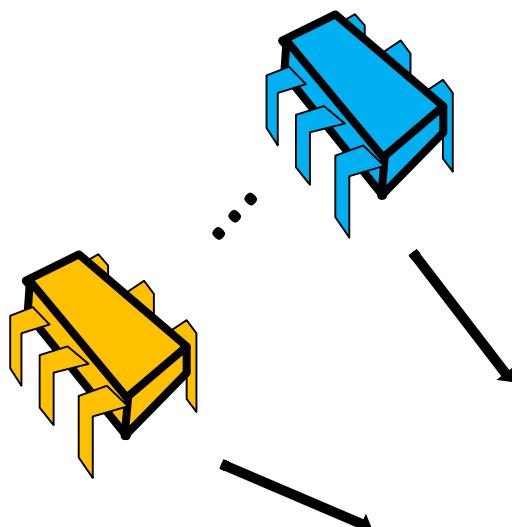
must increase the value of
the counter by one



Shared counter problem: lock—based method (CriticalSection)

Increment

must increase the value of the counter by one



Standard CS-based method
shared var: mutex: binary semaphore //
init 1
A: int // holds counter's value, init eg 0

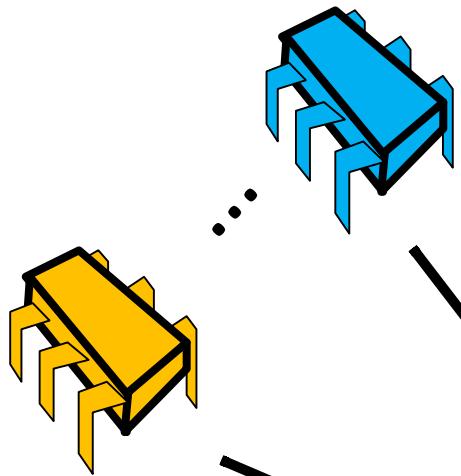
Increment(A)
wait(mutex)
tmp := A
tmp++
A := tmp
signal(mutex)

Shared counter problem – can we do without locking?



Increment

must increase the value of the counter by one



Shared counter



Standard CS-based method
shared var: mutex: binary semaphore
// init 1
A: int // holds counter value, init eg 0

Increment(A)
wait(mutex)
tmp := A
tmp++
A := tmp
signal(mutex)

Lock-free (no CS-based) method
shared var:

A: int // holds counter's value

Increment(A)
repeat
tmp := A
until CAS(&A, tmp, tmp+1)



Recall:

CompareAndSwap (aka CAS) Instruction

Definition:

```
int CompareAndSwap(int *v, int exp_v, int new_v) {
    boolean effect := false ;
    if (*v == exp_v) then
        *v := new_v; effect := true; fi
    return effect} // Executed atomically in HW
```

Lock-free synchronization

Goal:

- allow more parallelization AND
- achieve the same consistency *as if* CS of different threads are not overlapping in time
- Possible through fine-grain synchronization, allowing a **fail-retry-loop**, indicated here using this symbol :



Another example:

Non-blocking stack [Treiber '86]

```
proc push(new)
do
  old = top
  new.next = old
  while not CAS(top, old, new)
end
```



```
proc pop
do
  old = top
  return null if old == null
  new = old.next
  while not CAS(top, old, new)
  return old
end
```

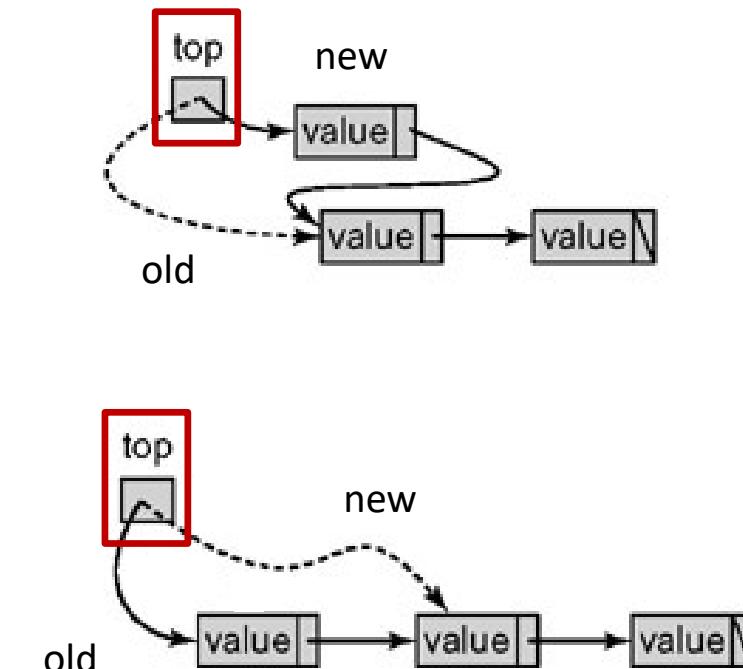
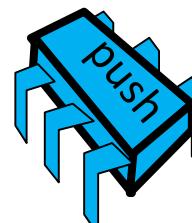


Fig based on related figure from
The Art of Multiprocessor Programming,
by Herlihy & Shavit



- Why lock-free synchronization?
 - Efficiency, free from: convoy effects, deadlocks, priority inversion
 - Better utilization of parallel HW
 - cf TBB, Boost libraries

How to argue about correctness?

- Safety condition: Linearizability [Herlihy&Wing 81]
- Progress: no livelock
- Fairness: starvation possible; tougher here to argue about fairness; ongoing research
 - Work by our group shows that **lock-free methods balance throughput/fairness trade-offs**
[A Study of the Behavior of Synchronization Methods in Commonly Used Languages and Systems; D. Cederman, B. Chatterjee, N. Nguyen, Y. Nikolakopoulos, M. Papatriantafilou, P. Tsigas, <http://www.computer.org/csdl/proceedings/ipdps/2013/4971/00/4971b309-abs.html>]

To elaborate/think:

- Bakery algorithm idea not tied with atomic R/W variables, can work with even weaker primitives:
 - Read/watch Lamport's Turing award talk
 - Commun. ACM 58, 6 (May 2015), 71-76. DOI= <http://dx.doi.org/10.1145/2771951>
 - Bakery algo + concurrent readers/writers and related work gave rise to the research for lock-free synchronization
- Remember "helping" from dining philosophers "prevent the hold&wait" method?
 - "Helping" is used a lot in lock-free methods
- *Large variety of synch methods: how to think/decide? Cf also eg:*
 - M. Herlihy&Shavit, [The Art of Multiprocessor Programming \(ebook\)](#),
 - [Lectures: http://cs.brown.edu/courses/cs176/lectures.shtml](http://cs.brown.edu/courses/cs176/lectures.shtml)
 - TBB, Boost libraries
 - A Study of the Behavior of Synchronization Methods in Commonly Used Languages and Systems; D. Cederman et-al., 27th IEEE International Parallel & Distributed Processing Symposium,
<http://www.computer.org/cSDL/proceedings/ipdps/2013/4971/00/4971b309-abs.html>



Understanding Synchronization better: some milestone steps /landmark methods

- Lamport's Bakery algorithm
- Readers-Writers problem
- A touch of lock-free synchronization

• **Encore about resource allocation and deadlocks:**

(last lecture we discussed deadlock prevention, i.e. methods for how threads request&acquire resources so that deadlock cannot occur)

Now: using the OS as arbitrator ... Deadlock avoidance: Dijkstra's Banker algo

Deadlock avoidance using the OS as arbitrator

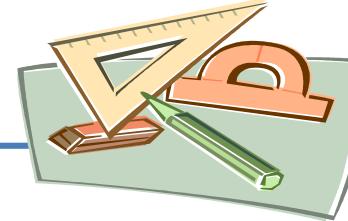
Resource request & allocation is managed by the OS

Deadlock avoidance:

- deadlock *might* possible if resources are granted arbitrarily,
- but OS uses extra info to grant requests and schedule processes s.t. it avoids deadlock
- **Banker's algorithm[Dijkstra]**



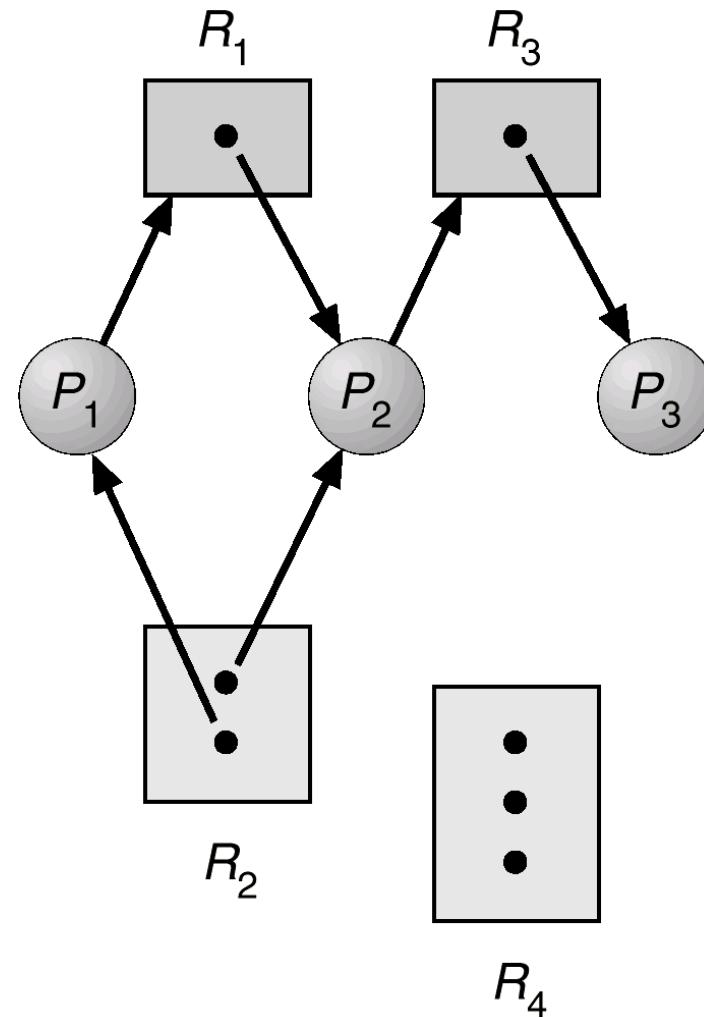
Graphs are useful tools: System Model



- Resource types R_1, R_2, \dots, R_m
 - e.g. CPU, memory space, I/O devices, files
 - each resource type R_i has W_i instances.

Resource-Allocation Bipartite Graph $G(V, E)$

- nodes:
 - $P = \{P_1, P_2, \dots, P_n\}$ the set of processes
 - $R = \{R_1, R_2, \dots, R_m\}$ the set of resources types
- edges:
 - request edge: $P_i \rightarrow R_j$
 - assignment edge: $R_j \rightarrow P_i$

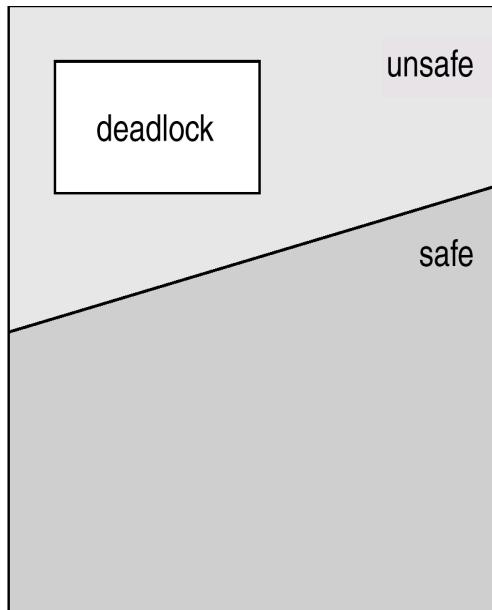


Resource Allocation with Deadlock Avoidance

Resource request & allocation is managed by the OS

Requires *a priori* information available.

- e.g.: each *process* declares *maximum number of resources* of each type that it *may need* (e.g memory/disk pages).



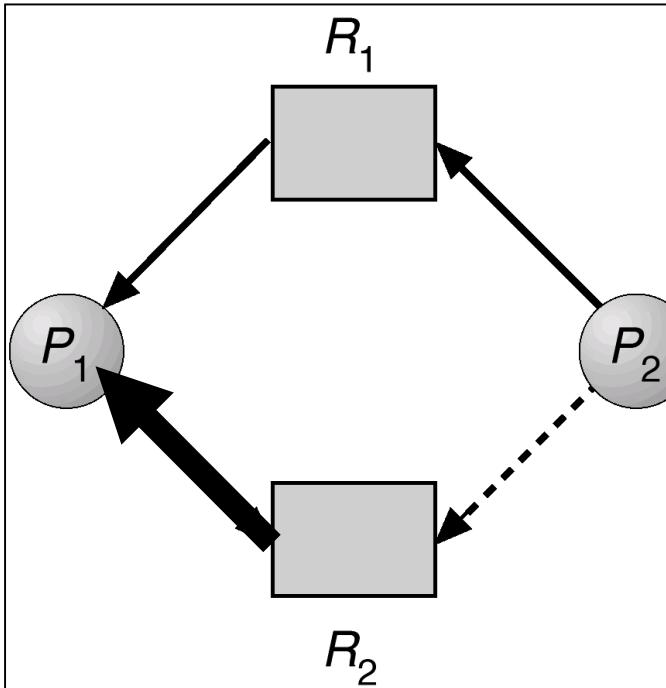
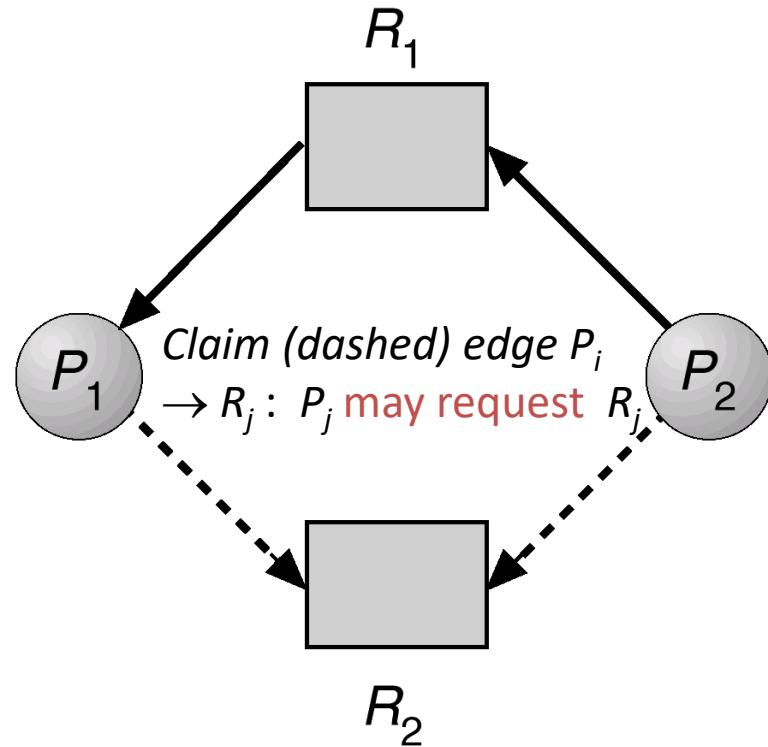
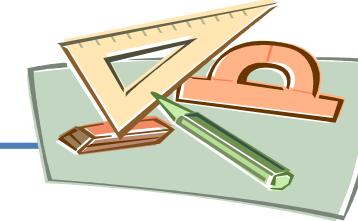
Deadlock-avoidance algo, run by OS:

- examines the *resource-allocation state...*
 - *Available, allocated resources*
 - *maximum possible demands* of the processes.
- ...to *ensure there is no potential deadlock*:
 - *unsafe* state \Rightarrow *deadlock might occur* (i.e. later, if all procs request their maximum and no-one can be granted)
- *Avoidance* = ensure that system *will not enter an unsafe state*, by *suspending processes with risky requests*, until enough resources are freed.

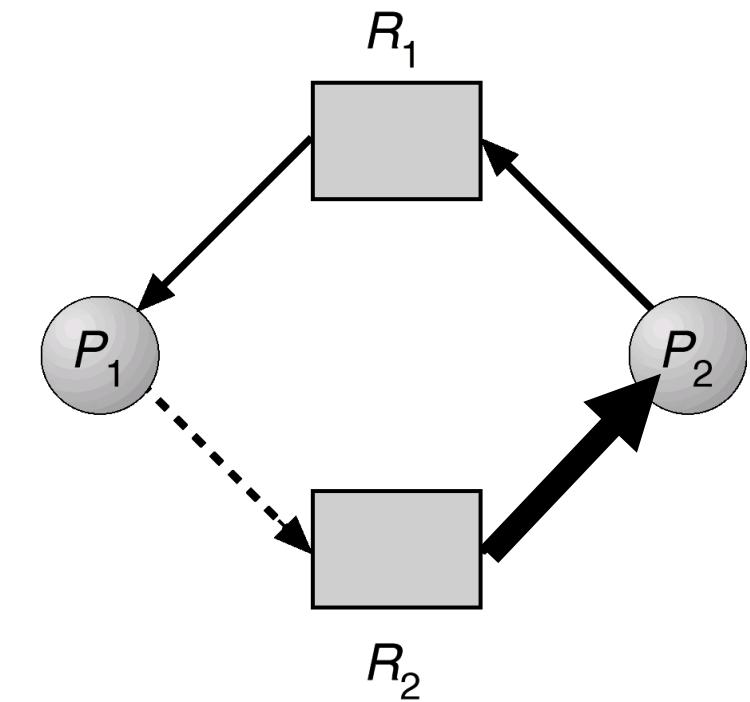


Enhanced Resource-Allocation Graph

For Deadlock Avoidance:



Example Safe State



Example **Unsafe State**:
ie granting the $P_2 \rightarrow R_1$ request should not be made until P_1 finishes

Banker's Algorithm for Resource Allocation with Deadlock Avoidance [Dijkstra]

Max [i,j] = k:
 P_i may request max k instances of R_j .



Allocation[i,j] = k:
 P_i holds k instances of R_j

Available [j] = k :
k instances of R_j are still available.



Avoidance = ensure that system *will not enter an unsafe state*.

Idea:

If *potentially satisfying a request* can result in an *unsafe state* // i.e. bank will have not enough to let its customers finish and return their loans in case someone requests its max needs

then the *requesting process is suspended* // temporarily frozen, not scheduled

until enough resources are free-ed // by processes that will terminate in the meanwhile

How to do the safety check efficiently?

Banker's algo gives criterion that can be checked in linear time using the Max, Allocation, Available matrices
(check the algo data structures @book and @extra-slides, as homework)



Understanding Synchronization better: some milestone steps /landmark methods

- Lamport's Bakery algorithm
- Readers-Writers problem
- A touch of lock-free synchronization

Encore about resource allocation and deadlocks:

(last lecture we discussed deadlock prevention, i.e. methods for how threads request&acquire resources so that deadlock cannot occur)

- using the OS as arbitrator... **Deadlock avoidance: Dijkstra's Banker algo**
- **Deadlock detection and recovery**

Deadlock detection and recovery

- If OS grants requests without checking safety upon every request
- It can allow a deadlock state and when detected (eg through detection of cyclical waits), *recover*

GO BACK
YOU HAVE COME
WRONG WAY

Recovery from Deadlock

(1) Process Termination: Abort all or some deadlocked processes until deadlock is eliminated.

(2) Resource Preemption: Select victim and rollback – return to some safe state, restart process from that state

Must decide on selection criteria (cost, starvation risks, ...)

Recovery is pretty expensive as a method



Summary

- Landmarks on synchronization problems: Bakery algo, Readers-writers, a glimpse on lock-free synchronization
- Resource-allocation&deadlocks
 - Avoiding or recovering from deadlock with OS as arbitrator
- **We saw a lot of synchronization methods and examples**
 - and a lot of homework tips
- **Lab 2-3: holistic training on scheduling & synchronization together**



Reading instructions (on all the synchronization topics we discuss)

Modern OS by Tanenbaum-Bos:

- careful study of sections 2.3.1-2.3.6, 2.5.2
- Complement (Bakery alg.) through
<http://web.cs.iastate.edu/~chaudhur/cs611/Sp09/notes/lec03.pdf>
- Quicker reading, for awareness, of sections 2.3.7-2.3.10

Alt. from OS Concepts: Silberschatz-et-al: Sections 6.1-6.7, 6.9

-Matching review questions at e.g.

<http://codex.cs.yale.edu/avi/os-book/OS9/review-dir/index.html>

Optional reading, other sources:

1. Leslie Lamport (recipient of ACM Turing award 2013). Turing lecture: The computer science of concurrency (with special mention to the Bakery algo)

Commun. ACM 58, 6 (May 2015), 71-76. DOI= <http://dx.doi.org/10.1145/2771951>

2. *Large variety of synch methods: how to think/decide? Cf also eg:*

A Study of the Behavior of Synchronization Methods in Commonly Used Languages and Systems; D. Cederman, B. Chatterjee, N. Nguyen, Y. Nikolakopoulos, M. Papatriantafilou, P. Tsigas, 27th IEEE International Parallel & Distributed Processing Symposium, IPDPS 2013 <http://www.computer.org/csdl/proceedings/ipdps/2013/4971/00/4971b309-abs.html>

3. M. Herlihy&Shavit, The Art of Multiprocessor Programming,

– "The art of Multiprogramming, By Herlihy & Shavit) (<http://cs.brown.edu/courses/cs176/lectures.shtml>)

4. P. Fatourou: Graduate course lecture: Spin Locks and Contention <https://www.csd.uoc.gr/~hy586/material/lectures/cs586-Section3.pdf>

Reading instructions (include all deadlock-related parts of our discussions):

- **From Modern OS by Tanenbaum et-al:**
Careful study 2.5.1, 6.1-6.2, 6.5-6.6, 6.7.3-6.7.4; quick reading 6.2-6.3
- **Alt. from OS Concepts by Silberschatz et-al:**
Careful study 7.1-7.5, 7.8; quick reading 7.6-7.7
- In addition to the above:
 - Practice on the dining philosopher solutions described in the notes; understand why they work, try to argue about correctness as we did for Peterson's algo
 - Practice on homework hints in the notes and on the exercises that will be discussed in class (several of them have been basis for exam questions)

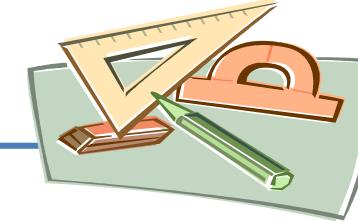
- Matching review questions at
<http://codex.cs.yale.edu/avi/os-book/OS9/review-dir/index.html>

EXTRA SLIDES/NOTES

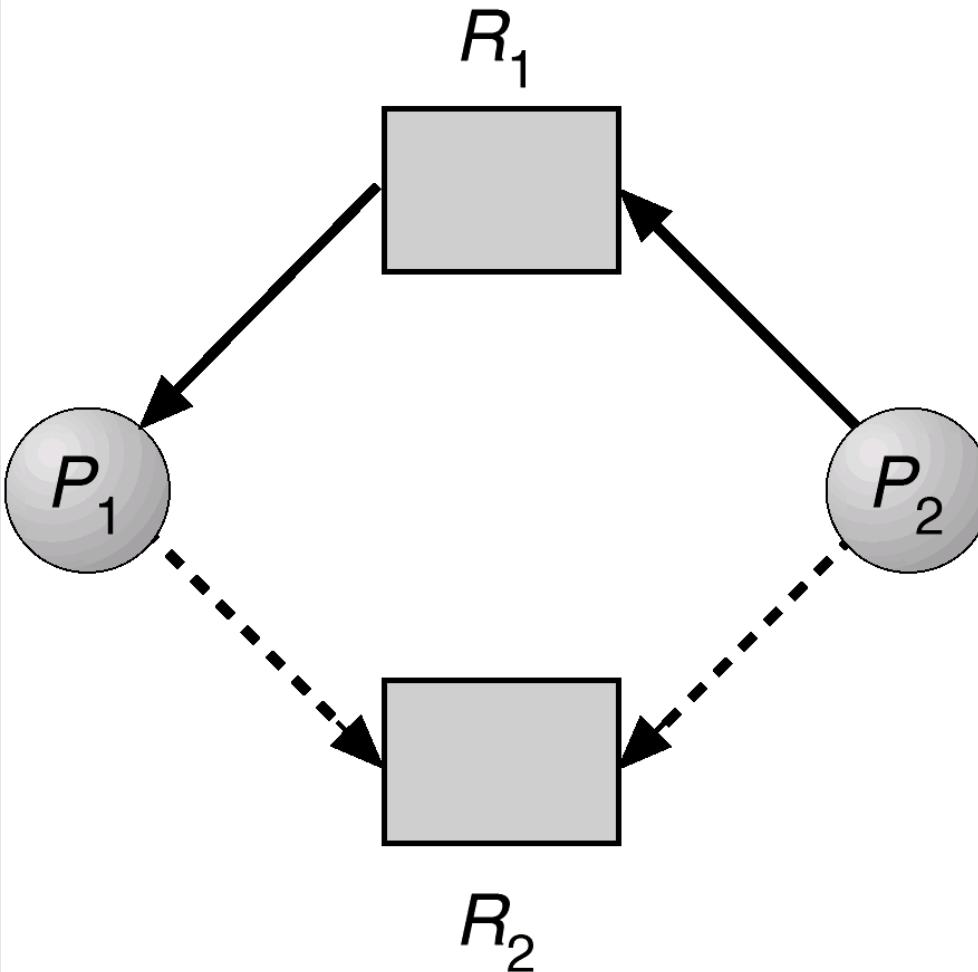
- Part 1: Complement: Banker's algo for deadlock avoidance: data structures and safety check
- Part 2: Use of Banker's algo idea to do deadlock detection

Enhanced Resource-Allocation Graph

For Deadlock Avoidance:



- *Claim (dashed) edge $P_i \rightarrow R_j$: P_j may request R_j*
- Claim edge converts to request edge when the process requests the resource.
- When the resource is released by the process, assignment edge reconverts to a claim edge.

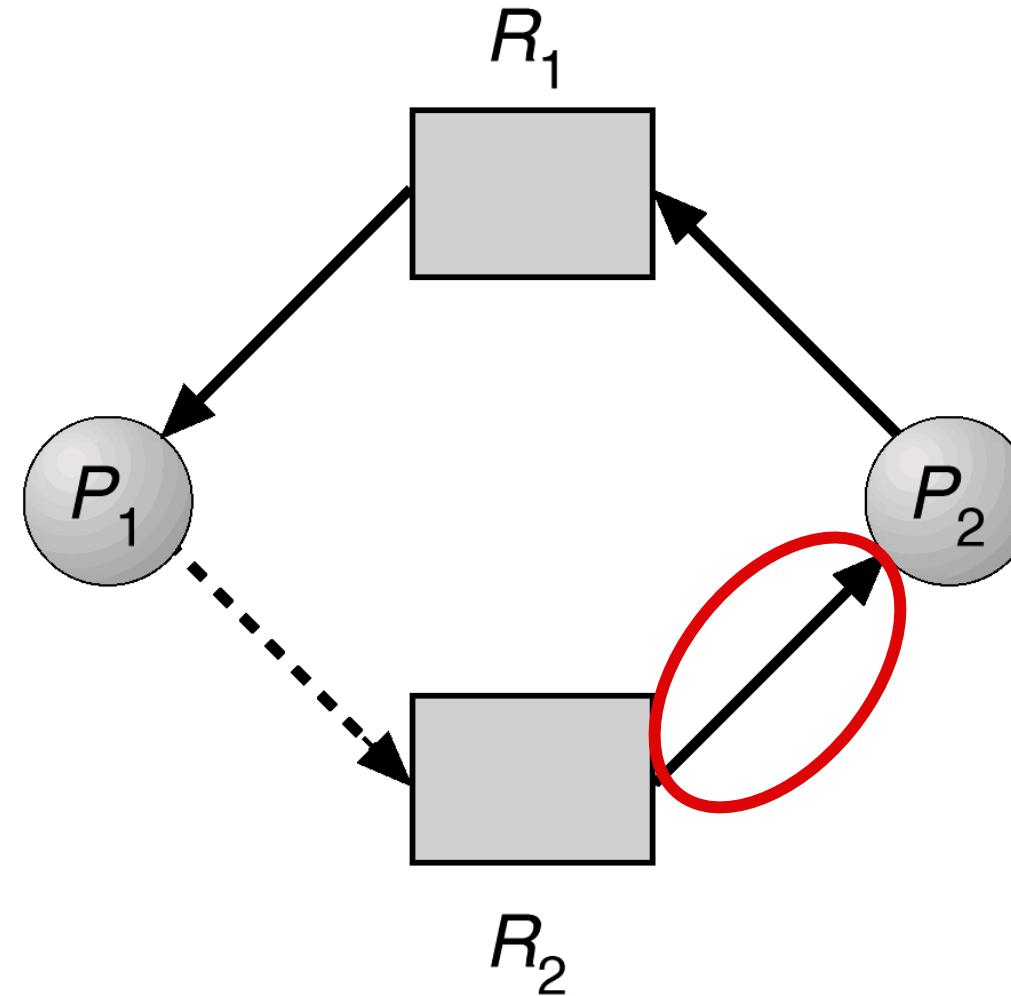


Example Safe State

Example Resource-Allocation Graph For Deadlock Avoidance:

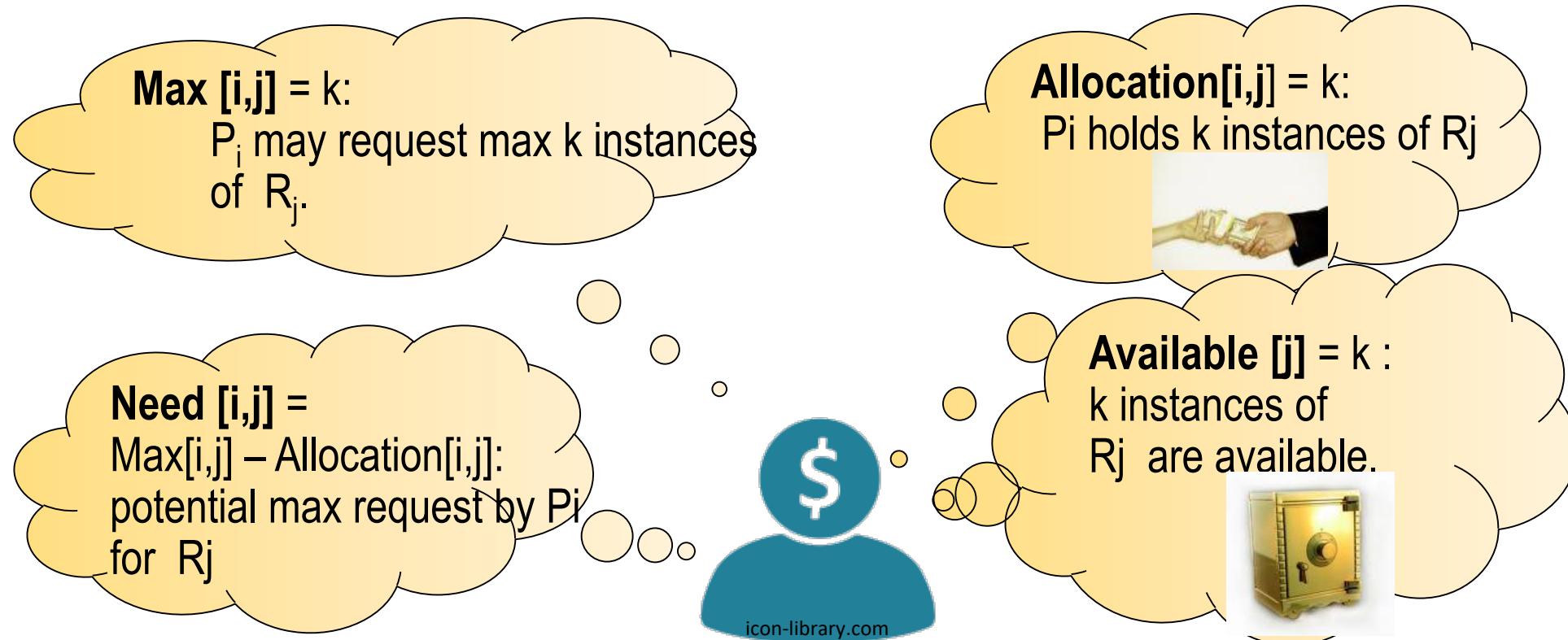
Q: What if P2 makes that request and the system allocates it?

A: Resulting is unsafe (not deadlocked; it will be deadlocked if P1 also makes the other request) To avoid deadlock, better postpone that allocation



Example UNsafe State

Banker's Algorithm for Resource Allocation with Deadlock Avoidance [Dijkstra]



RECALL: (1) *Avoidance* = ensure that system *will not enter an unsafe state*.)

(2) Idea:

If *satisfying a request* result in an *unsafe state*,
then the *requesting process is suspended*
until enough resources are free-ed by processes that *will terminate in the meanwhile*.

Safety checking: More about Safe State

safe state = there exists a *safe sequence* $\langle P_1, P_2, \dots, P_n \rangle$ of terminating all processes:
for each P_i , the max requests that it can still make can be granted by available
resources + those held by P_1, P_2, \dots, P_{i-1}

i.e. the system (OS, imaginary banker) could safely
allocate as follows:

- if P_i 's resource needs are not immediately available, then it can
 - wait until all P_1, P_2, \dots, P_{i-1} have finished
 - obtain needed resources, execute, release resources, terminate.
- then the next process can obtain its needed resources, and so on.



Banker's algorithm: Resource Allocation

For each new *Request_i*, do *Request_i[j] = k*:

// P_i wants k instances of R_j .
Check consequence
if request would be granted //

// **State S**: tentative
changes, to check if safe
i.e what might happen //

old resource-allocation state := *current resource-allocation state*;

Available := *Available* - *Request_i*;

Allocation_i := *Allocation_i* + *Request_i*;

Need_i := *Need_i* - *Request_i*;

If **safety-check (S) OK** \Rightarrow the resources are allocated to P_i

Else (**unsafe**) \Rightarrow

P_i must wait (be blocked/suspended) and

old resource-allocation state is restored;

Banker's Algorithm: safety check

Work and *Finish*: auxiliary vectors of length m and n , respectively.

- Init: $Work := Available$

$Finish[i] = \text{false}$ for $i = 1, 2, \dots, n$.

// "work" has enough for proc i to get the max it might need //

- While there exists i such that both

$Work := Work + Allocation_i$

$Finish[i] := \text{true}$

(a) $Finish[i] = \text{false}$
(b) $Need_i \leq Work$

do

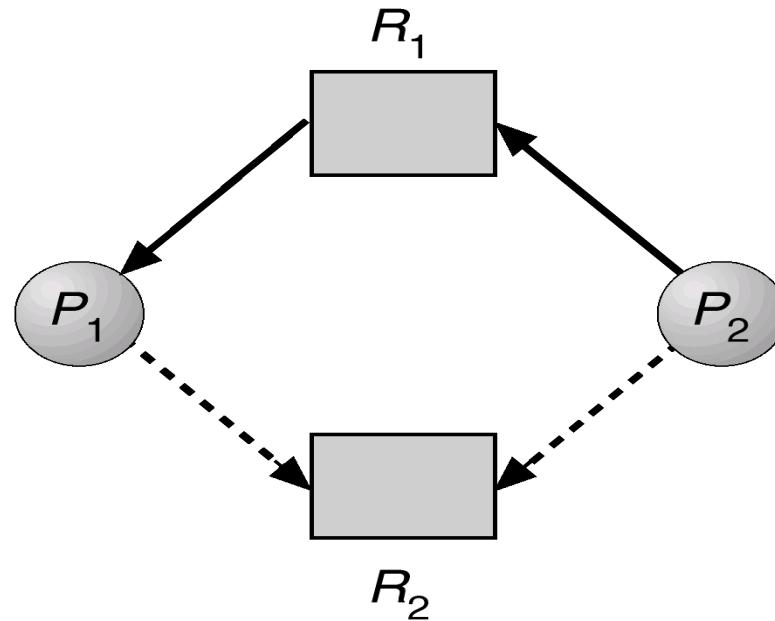
// "simulate" P_i 's execution & termination //

- If $Finish[i] = \text{true}$ for all i , then the state S in question (cf prev slide) is a **safe** one; else state is **unsafe**

Very simple example execution of Bankers Algo (snapshot 1)

	<u>Allocation</u>		<u>Max</u>	<u>Need</u>	<u>Available</u>	
	<i>R1</i>	<i>R2</i>	<i>R1</i>	<i>R2</i>	<i>R1</i>	<i>R2</i>
P_1	1	0	1	1	0	1
P_2	0	0	1	1	1	1

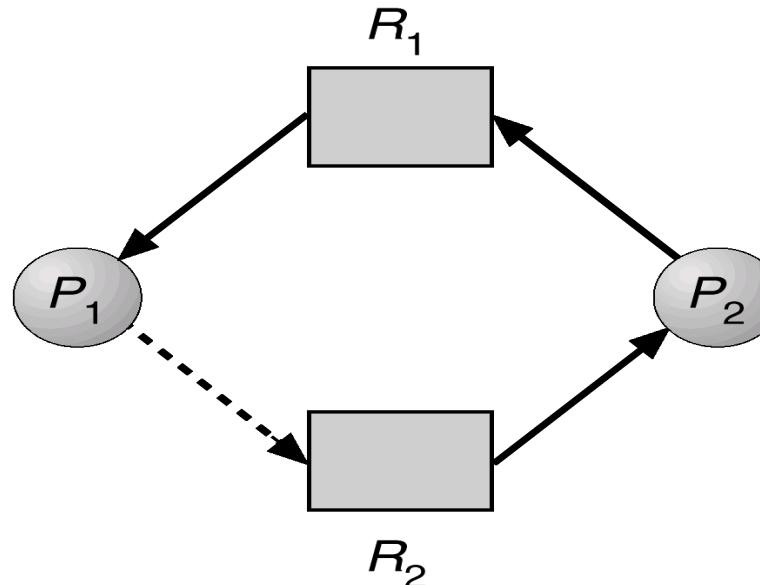
- The system is in a safe state since the sequence $\langle P_1, P_2 \rangle$ satisfies safety criteria.



Very simple example execution of Bankers Algo (snapshot 2)

	<u>Allocation</u>	<u>Max</u>	<u>Need</u>	<u>Available</u>
	$R1\ R2$	$R1\ R2$	$R1\ R2$	$R1\ R2$
P_1	1 0	1 1	0 1	0 0
P_2	0 1	1 1	1 0	0 0

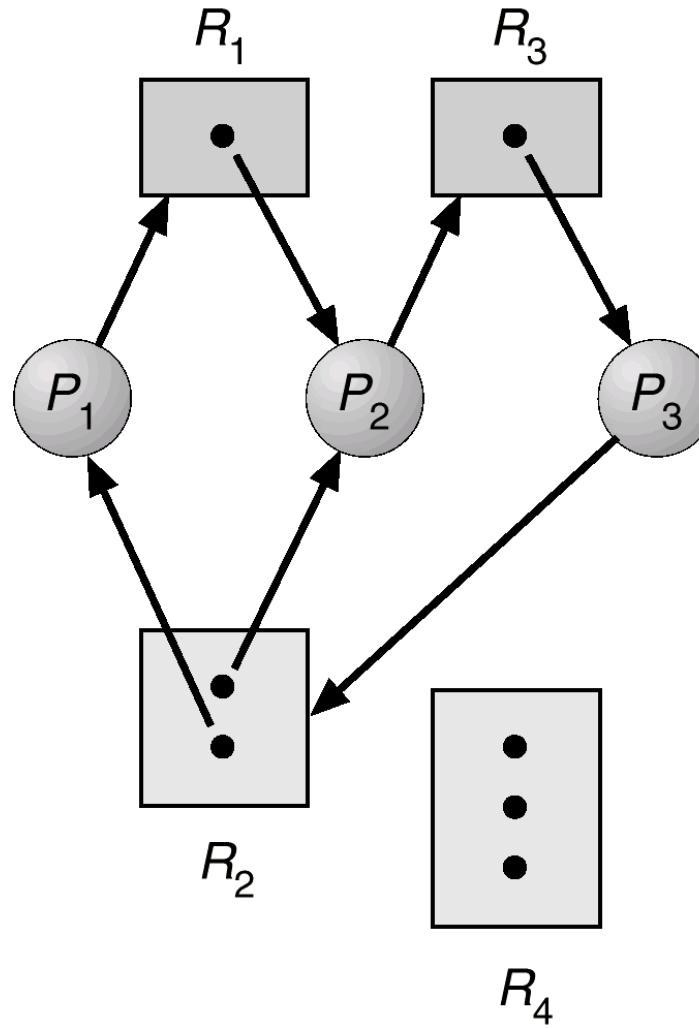
- Allocating B to P_2 leaves the system in an **unsafe state** since there is no sequence that satisfies safety criteria (no *need* can be satisfied, since *Available* vector is 0).
- Hence OS must suspend P_2 until P_1 has finished and then allocate the resources to P_2



EXTRA SLIDES/NOTES

- Part 1: Complement: Banker's algo for deadlock avoidance: data structures and safety check
- Part 2: Use of Banker's algo idea to do deadlock detection

Another example of a Resource Allocation Graph With A Deadlock



Observe for deadlock detection:

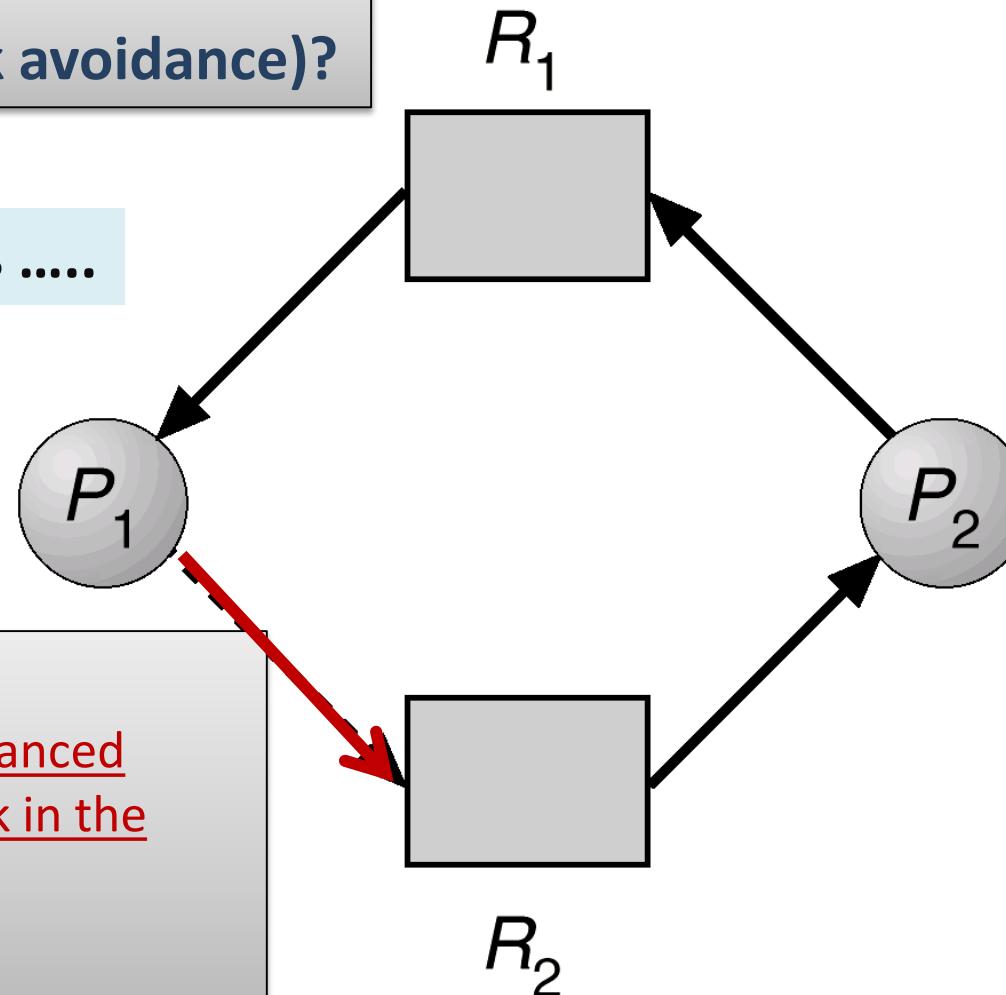
Recall **Unsafe State**
in the enhanced RA graph (for deadlock avoidance)?

In the actual RA graph it is
... deadlocked!!

Detection algorithm:

what we can do for checking safety in enhanced graph, can serve for checking no-deadlock in the resource allocation graph

Eg Using Banker's algo idea



Note:

- similar as detecting unsafe states using Banker's algo
- Q: if they cost the same, why not use avoidance instead of detection&recovery?
 - Hint: think trade-off between checking cost and recovery cost

Data structures:

- *Available*: vector of length m : number of available resources of each type.
- *Allocation*: $n \times m$ matrix: number of resources of each type currently allocated to each process.
- *Request*: $n \times m$ matrix: **current request** of each process. $Request [ij] = k$: P_i is requesting k more instances of resource type R_j .

Detection-Algorithm Usage

- When, and how often, to invoke:
- We don't want to be too late to detect; think
 - How often a deadlock is likely to occur?
 - How many processes will need to be rolled back?
- Reason: If algorithm is invoked arbitrarily rarely,
 - there may be many cycles in the resource graph \Rightarrow we would not be able to tell which of the many deadlocked processes "caused" the deadlock.

