

Concurrent Systems

Nebenläufige Systeme

VI. Locks

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Agenda

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 \rightsquigarrow 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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Purpose and Interpretation

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:
 - i 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**
 - ii 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



- 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

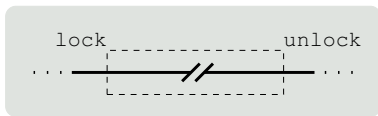
¹As indicated by [3, p. 147], to prevent hangup of processes interrogating the lock indicator, and once supported by the Intel i860 [7, p. 7-24].



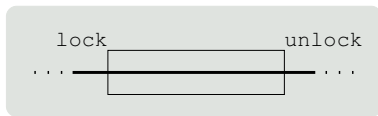
Indivisibility Revisited

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

logical



physical



- process lock, only
 - passage is vulnerable to delays
 - blocking time is two-dimensional
 - WCET² of critical section *and*
 - interrupt/preemption latency
 - hinders predictability
 - irrelevant for time-sharing mode
 - enables concurrent processes
- interrupt *and* bus lock
 - passage is without delays
 - blocking time is one-dimensional
 - WCET² of critical section
 - eases predictability
 - 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.



Lock Characteristics

- 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.



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 **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 (nonseq.) 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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Solutions Devoid of Dedicated Processor Instructions

- 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).



```
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] */
```

Memory Barriers/Fences

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



- **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



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



```
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 \leadsto **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. . .



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

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

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

- 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...



Spin on Read

Critical Section Execution Time (CSEC)

Risk of degeneration to *spin on CAS* if the CSEC 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.

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

- 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;
```



- 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



Backoff Procedure

```
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 (CSEC)

That locks are suitable for a short CSEC is computer-science folklore, but by far too flat. Much more important is to have a **bounded** and, even better, **constant** CSEC. 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 (Q_i and $turn \neq i$);`
= `while (Q_i 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



```
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;
```

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

```
7 inline void ticketing(lock_t *bolt, unsigned slot) {
8     unsigned next, high = 0;
9
10    bolt->want[slot] = true;    /* enter choosing */
11    for (next = 0; next < NPROC; next++)
12        if (bolt->turn[next] > high)
13            high = bolt->turn[next];
14    bolt->turn[slot] = high + 1;    /* state number */
15    bolt->want[slot] = false;    /* leave choosing */
16 }
```



```
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.



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

1	<code>_lock:</code>	9	<code>_lock:</code>
2	<code>movl 4(%esp), %eax</code>	10	<code>movl 4(%esp), %ecx</code>
3	<code>LBB0_1:</code>	11	<code>movb \$1, %dl</code>
4	<code>movb \$1, %cl</code>	12	<code>LBB0_1:</code>
5	<code>xchgb %cl, (%eax)</code>	13	<code>xorl %eax, %eax</code>
6	<code>testb \$1, %cl</code>	14	<code>lock</code>
7	<code>je LBB0_1</code>	15	<code>cmpxchgb %dl, (%ecx)</code>
8	<code>ret</code>	16	<code>testb %al, %al</code>
		17	<code>jne LBB0_1</code>
		18	<code>ret</code>

- 1 : 3

- line (5) v. lines (4, 6, 7)

- 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

