Critical Section Problem

Ch 3 [BenA 06]

Critical Section Problem
Solutions without HW Support
State Diagrams for Algorithms
Busy-Wait Solutions with HW Support

Mutual Exclusion
Real World Example

- How to reserve a laundry room?
  - Housing corporation with many tenants
- Reliable
  - No one else can reserve, once one reservation for given time slot is done
  - One can not remove other’s reservations
- Reservation method
  - One can make decision independently (without discussing with others) on whether laundry room is available or not
  - One can have reservation for at most one time slot at a time
- People not needing the laundry room are not bothered
- One should not leave reservation on when moving out
- One should not lose reservation tokens/keys

no simultaneous resource possession

mutual exclusion, i.e., mutex
distributed/centralized
non-preemptive
keskeytettäminen
Fig. Pesutuvan varaus
recovery?
Concurrent Indivisible Operations

- **Echo**
  ```
  char out, in; //globals
  procedure echo {
    input (in, keyboard);
    out = in;
    output (out, display);
  }
  ```
  - What if `out` and/or `in` local variables?

- **Data base update**
  - Name, id, address, salary, annual salary, …

- How/when/by whom to define granularity for indivisible operations?

---

Executing Many Processes Concurrently

- **One CPU**
  - Execute one process until
    - It requests a service that takes time to do
    - Some interrupt occurs and operating system gives execution turn to somebody else
      - E.g., time slice interrupt
    - Another process may still run concurrently in GPU or some other I/O controller

- **Many CPU’s**
  - Execute many processes always concurrently
  - Execution turn for one process may end any time (request service, or interrupt occurs)
Critical Section Problem

- Critical section (CS)
  - Code segment that only one process may be executing at a time
  - May also be set of code segments, and only one process may be executing at a time any code segment in that set
  - Not necessarily an atomic operation
    - Other processes may be scheduled, but they can not execute in (this) critical section
- Critical Section Problem (Mutex Problem)
  - How to guarantee that only one process at a time is executing critical section?

Critical Section (CS) Solution

- Mutex (mutually exclusive code) solved
- No deadlock: someone will succeed
- No starvation (and no unnecessary delay)
  - Everyone succeeds eventually
- Protocol does not use common variables with CS actual work
  - Can use it’s own local or shared variables

Algorithm 3.1: Critical section problem

<table>
<thead>
<tr>
<th>Algorithm 3.1: Critical section problem</th>
</tr>
</thead>
<tbody>
<tr>
<td>local variables</td>
</tr>
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</tr>
</tbody>
</table>
Critical Section Assumptions

Algorithm 3.1: Critical section problem

<table>
<thead>
<tr>
<th>p</th>
<th>q</th>
</tr>
</thead>
<tbody>
<tr>
<td>local variables</td>
<td>loop forever</td>
</tr>
<tr>
<td>non-critical section</td>
<td>loop forever</td>
</tr>
<tr>
<td>preprotocol</td>
<td>non-critical section</td>
</tr>
<tr>
<td>critical section</td>
<td>preprotocol</td>
</tr>
<tr>
<td>postprotocol</td>
<td>critical section</td>
</tr>
<tr>
<td>postprotocol</td>
<td>&quot;unsafe zone&quot;</td>
</tr>
</tbody>
</table>

- Preprotocol and postprotocol have no common local/global variables with critical/non-critical sections
  - They do not disturb/affect each other
- Non-critical section may stall or terminate
  - Can not assume it to complete
- Critical section will complete (will not terminate or die)
  - Postprotocol eventually executed once critical section is entered
- Process will not terminate in preprotocol or postprotocol (!!!)
  - Process may terminate (die) only in non-critical section

Critical Section Solution

Algorithm 3.2: First attempt

<table>
<thead>
<tr>
<th>p</th>
<th>q</th>
</tr>
</thead>
<tbody>
<tr>
<td>integer turn ← 1</td>
<td>loop forever</td>
</tr>
<tr>
<td>p1: non-critical section</td>
<td>q1: non-critical section</td>
</tr>
<tr>
<td>p2: await turn ← 1</td>
<td>q2: await turn ← 2</td>
</tr>
<tr>
<td>p3: critical section</td>
<td>q3: critical section</td>
</tr>
<tr>
<td>p4: turn ← 2</td>
<td>q4: turn ← 1</td>
</tr>
</tbody>
</table>

- How to prove correct or incorrect?
  - Mutex? (functional correct, one at a time in CS)
  - No deadlock? (eventually someone from many will get in)
  - No starvation? (eventually any specific one will get in)
“await condition” statement

- Pseudo language construct
- Implement somehow *waiting until given condition becomes true*
  - Use clever algorithms
    - Dekker, Peterson, …
  - Use hardware (HW) help – special instructions & data?
    - Interrupts, lock variables with busy wait loops, …
  - Use operating system (OS) – suspend process?
    - Semaphores, barrier operations, busy waits loops, …
    - Implemented using HW (or those clever algorithms)
  - Use programming language utilities?
    - Semaphores, monitor condition variables, barrier operations,
      protected object *when* statements, …
    - Implemented using OS
- Specifics discussed more later on

Correctness Proofs

- Prove incorrect
  - Come up with one scenario that does not work
    - Two processes execute in sync?
    - Some other unlikely scenario? *often non-trivial*
- Prove correct
  - Heuristics: “I did not come up with any proofs
    (counterexample) for incorrectness and I am smart”
    - I can not prove incorrectness *“easy”, unreliable*
    - It must be correct…
  - State diagrams
    - Describe algorithm with states:
      - *relevant* control pointer (cp) values,
        *relevant* local/global variable values
    - Analyze state diagrams to prove correctness
State Diagram for Alg. 3.2

- State \( \{p_i, q_i, \text{turn} \} \)
  - Control pointer \( p_i \)
  - Control pointer \( q_i \)
  - Global variable \( \text{turn} \)
  - 1st four states
- Mutex ok
  - State \( \{p3, q3, \text{turn} \} \)
    not accessible in state diagram?
- No deadlock?
  - When many processes try concurrently, one will succeed
- No starvation?
  - Whenever any (one) process tries, it will eventually succeed

How to prove it?

Create complete diagram with all accessible states

No states
- \( \{p3, q3, 1 \} \)
- \( \{p3, p3, 2 \} \)

I.e., mutex secured

Problem:
- Too many states?
- Difficult to create
- Difficult to analyze
Correctness (3)

- Mutex?
  - Ok, no state \{p3, q3, ??\}
- No deadlock?
  - many try, one can always get in? (into a state with p3 or q3)
  - \{p2, q1, 1\}: P can get in
  - \{p2, q2, 1\}: P can get in
  - \{p2, q1, q2, 2\}:
    - Q can get in
  - \{p2, q3, q4, 2\}:
    - P can get in eventually
  - \{p, q2, ?\} similarly, q.e.d.
- No starvation?
  - One tries, it will eventually get in?
  - \{p2, q1, 2\}
    - Q dies (ok to die in q1), P will starve! **Not good!**
Reduced Algorithm for Easier Analysis

Algorithm 3.2: First attempt
integer turn ← 1

<table>
<thead>
<tr>
<th>p</th>
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</tr>
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<tbody>
<tr>
<td>loop forever</td>
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<td>p1: non-critical section</td>
<td>q1: non-critical section</td>
</tr>
<tr>
<td>p2: await turn = 1</td>
<td>q2: await turn = 2</td>
</tr>
<tr>
<td>p3: critical section</td>
<td>q3: critical section</td>
</tr>
<tr>
<td>p4: turn ← 2</td>
<td>q4: turn ← 1</td>
</tr>
</tbody>
</table>

- Reduce algorithm to reduce number of states of state diagrams: leave irrelevant code out
- Nothing relevant (for mutex) left out?

Algorithm 3.5: First attempt (abbreviated)
integer turn ← 1

<table>
<thead>
<tr>
<th>p</th>
<th>q</th>
</tr>
</thead>
<tbody>
<tr>
<td>loop forever</td>
<td>loop forever</td>
</tr>
<tr>
<td>p1: await turn = 1</td>
<td>q1: await turn = 2</td>
</tr>
<tr>
<td>p2: turn ← 2</td>
<td>q2: turn ← 1</td>
</tr>
</tbody>
</table>

State Diagram for Reduced Algorithm

- Much fewer states!

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Correctness of Reduced Algorithm (2)

- Mutex?
  - OK
    - No state \{p2, q2, turn\}
- No deadlock: Some are trying, one may get in?
  - Top left (p & q trying): q will get in
  - Bottom left (p trying): q will eventually execute (assumption!)
  - Top & bottom right: mirror situation
- No starvation?
  - Tricky, reduced too much!
    - NCS combined with await
  - Look at original diagram
    - Problem if Q dies in NCS

Critical Section Solution #2

- Each have their own global variable \wantp\ and \wantq\:
  - True when process is in critical section
- Process dies in NCS?
  - Starvation problem ok, because it’s \want\-variable is false
- Mutex? Deadlock?
Attempt #2 Reduced

Algorithm 3.7: Second attempt (abbreviated)

<table>
<thead>
<tr>
<th>p</th>
<th>q</th>
</tr>
</thead>
<tbody>
<tr>
<td>loop forever</td>
<td>loop forever</td>
</tr>
<tr>
<td>p1: await wantq = false</td>
<td>p1: await wantp = false</td>
</tr>
<tr>
<td>p2: wantp ← true</td>
<td>q1: wantq ← true</td>
</tr>
<tr>
<td>p3: wantp ← false</td>
<td>q2: wantq ← false</td>
</tr>
</tbody>
</table>

- No mutex! {p3, q3, ?} reachable
  - Problem: p2 should be part of critical section (but is not!)

Critical Section Solution #3

Algorithm 3.8: Third attempt

<table>
<thead>
<tr>
<th>p</th>
<th>q</th>
</tr>
</thead>
<tbody>
<tr>
<td>loop forever</td>
<td>loop forever</td>
</tr>
<tr>
<td>p1: non-critical section</td>
<td>q1: non-critical section</td>
</tr>
<tr>
<td>p2: wantp ← true</td>
<td>q2: wantq ← true</td>
</tr>
<tr>
<td>p3: await wantq = false</td>
<td>q3: await wantp = false</td>
</tr>
<tr>
<td>p4: critical section</td>
<td>q4: critical section</td>
</tr>
<tr>
<td>p5: wantp ← false</td>
<td>q5: wantq ← false</td>
</tr>
</tbody>
</table>

- Avoid previous problem, mutex ok
- Deadlock possible: {p3, q3, wantp=true, wantq=true}
- Problem: cyclic wait possible, both insist their turn next
  - No preemption
### Algorithm 3.9: Fourth attempt

<table>
<thead>
<tr>
<th></th>
<th>p</th>
<th>q</th>
</tr>
</thead>
<tbody>
<tr>
<td>p1</td>
<td>non-critical section</td>
<td>non-critical section</td>
</tr>
<tr>
<td>p2</td>
<td>wantp ← true</td>
<td>wantq ← true</td>
</tr>
<tr>
<td>p3</td>
<td>while wantq</td>
<td>while wantp</td>
</tr>
<tr>
<td>p4</td>
<td>wantp ← false</td>
<td>wantq ← false</td>
</tr>
<tr>
<td>p5</td>
<td>wantp ← true</td>
<td>wantq ← true</td>
</tr>
<tr>
<td>p6</td>
<td>critical section</td>
<td>critical section</td>
</tr>
<tr>
<td>p7</td>
<td>wantp ← false</td>
<td>wantq ← false</td>
</tr>
</tbody>
</table>

- Avoid deadlock by **giving away your turn** if needed
- Mutex ok: P in p6 only if !wantq (Q is not in q6)
- Deadlock (livelock) possible:
  - Unlikely but possible!
  - **Livelock**: both executing all the time, not waiting suspended
    - Neither one advances

### Algorithm 3.10: Dekker’s algorithm

<table>
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<td>p1</td>
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</tr>
<tr>
<td>p2</td>
<td>wantp ← true</td>
<td>wantq ← true</td>
</tr>
<tr>
<td>p3</td>
<td>while wantq</td>
<td>while wantp</td>
</tr>
<tr>
<td>p4</td>
<td>if turn = 2</td>
<td>if turn = 1</td>
</tr>
<tr>
<td>p5</td>
<td>wantp ← false</td>
<td>wantq ← false</td>
</tr>
<tr>
<td>p6</td>
<td>await turn = 1</td>
<td>await turn = 2</td>
</tr>
<tr>
<td>p7</td>
<td>wantp ← true</td>
<td>wantq ← true</td>
</tr>
<tr>
<td>p8</td>
<td>critical section</td>
<td>critical section</td>
</tr>
<tr>
<td>p9</td>
<td>turn ← 2</td>
<td>turn ← 1</td>
</tr>
<tr>
<td>p10</td>
<td>wantp ← false</td>
<td>wantq ← false</td>
</tr>
</tbody>
</table>

- Combine 1st and 4th attempt
- 3 global (mutex ctr) variables: shared turn, semi-private want’s
  - only one process writes to wantp or wantq (= semi-private)
- turn gives you the right to insist, i.e., priority
  - Used only when both want CS at the same time
### Algorithm 3.10: Dekker’s algorithm

<table>
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<td>loop forever</td>
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<tr>
<td>p3: while wantq</td>
<td>q3: while wantp</td>
</tr>
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<td>p4: if turn = 2</td>
<td>q4: if turn = 1</td>
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<tr>
<td>p6: await turn = 1</td>
<td>q6: await turn = 2</td>
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<td>p7: wantp ← true</td>
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<td>q10: wantq ← false</td>
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**Proof**

- Mutex ok: P in p8 only if !wantq (Q cannot be in q8)
- No deadlock, because P or Q can continue to CS from {p3, q3, ...}
- No starvation, because
  - If in {p6, ...}, then eventually {p6, q9, ...} and {..., q10, ...}
  - Next time {p3, ...} or {p4, ...} will lead to {p8, ...}

---

**Discussion**

- Mutex with **no HW-support needed, need only shared memory**
- Bad: complex, many instructions
  - Must execute each instruction at a time, in this order
    - Will not work, if compiler optimizes code too much!
  - In simple systems, can do better with **HW support**
  - Special machine instructions to help with this problem
Mutex with HW Support

- Specific machine instructions for this purpose
  - Suitable for many situations
  - Not suitable for all situations
- Interrupt disable/enable instructions
- Test-and-set instructions
  - Other similar instructions
- Specific memory areas
  - Reserved for concurrency control solutions
  - Lock variables (for test-and-set) in their own cache?
    - Different cache protocol for lock variables?
    - Busy-wait without memory bus use?

Disable Interrupts

- Environment
  - All (competing) processes run on the same processor (core?)
  - Not for multiprocessor systems
    - Disabling interrupts does it only for the processor executing that instruction
- Disable/enable interrupts
  - Prevent process switching during critical sections
    - Good for only very short time
    - Prevents also (other) operating system work (in that processor) while in CS
Test-and-set Lock Variables

- Environment
  - All processes with shared memory
  - Should have multiple processors
  - Not very good for uniprocessor systems (or synchronizing processes running on the same processor)
  - Wait (busy-wait) while holding the processor!

- Test-and-set machine instruction
  - Indivisibly read old value and write new value (complex mem-op)

```
shared local
Test-and-set (common, local)
  local <- common ; read old state
  common <- 1 ; mark reserved

while (locked)
  Test-and-set (shLock, locked);
-- CS --
  shLock = 0;
  Test-and-set (shLock, locked);
-- CS --
  shLock = 0;
```

Other Machine Instructions for Synchronization Problem Busy-Wait Solutions

- Test-and-set
  - Use all in busy-wait loops

```
  Test-and-set (common, local)
  local <- common ; read state
  common <- 1 ; mark reserved

  Exchange (common, local)
  local <- common ; swap values

  Fetch-and-add (common, local, x)
  local <- common
  common += common+x ; add x

  int Compare-and-swap (common, old, new)
  return_val <- common
  if (common == old)
    common <- new
```

"read-modify-write" memory bus transaction (local in HW register)

"read-after-write" memory bus transaction may also be used

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Lock variables and busy wait

- Need shared memory
- Use processor while waiting
  - Waste of a processor?
  - Not so smart with just one processor
    - Busy waits suspended when *time slice* ends
      (i.e., when OS time slice interrupt occurs)
  - Should wait only a very short time
    - Unless plenty of processors
  - Real fast resume when wait ends
    - Good property in some environments

Summary

- Critical section (CS)
- Critical Section Problem
- Solutions without HW Support
- State Diagrams for Algorithms
- Busy-Wait Solutions with HW Support