

# 6.852: Distributed Algorithms

## Fall, 2009

Class 14

# Today's plan

- Mutual exclusion with read/write memory:
  - Lamport's Bakery Algorithm
  - Burns' algorithm
  - Lower bound on the number of registers
- Mutual exclusion with read-modify-write operations
- Reading: Sections 10.6-10.8, 10.9
  
- Next: Lecture by Victor Luchangco (Sun)
  - Practical mutual exclusion algorithms
  - Generalized resource allocation and exclusion problems
  - Reading:
    - Herlihy, Shavit book, Chapter 7
    - Mellor-Crummey and Scott paper (Dijkstra prize winner)
    - (Optional) Magnussen, Landin, Hagersten paper
    - Distributed Algorithms, Chapter 11

# Last time

- Mutual exclusion with read/write memory:
  - Dijkstra's algorithm:
    - Mutual exclusion + progress
  - Peterson's algorithms
    - Mutual exclusion + progress + lockout-freedom
  - Lamport's Bakery algorithm (didn't get to this)
    - Mutual exclusion + progress + lockout-freedom
    - No multi-writer variables.

# Lamport's Bakery Algorithm

- Like taking tickets in a bakery.
- Nice features:
  - Uses only single-writer, multi-reader registers.
  - Extends to even weaker registers, in which operations have durations, and a read that overlaps a write receives an arbitrary response.
  - Guarantees lockout-freedom, in fact, almost-FIFO behavior.
- But:
  - Registers are unbounded size.
  - Algorithm can be simulated using bounded registers, but not easily (uses bounded concurrent timestamps).
- Shared variables:
  - For each process  $i$ :
    - `choosing(i)`, a Boolean, written by  $i$ , read by all, initially 0
    - `number(i)`, a natural number, written by  $i$ , read by all, initially 0

# Bakery Algorithm

- **First part, up to choosing(i) := 0 (the “Doorway”, D):**
  - Process  $i$  chooses a number greater than all the numbers it reads for the other processes; writes this in  $\text{number}(i)$ .
  - While doing this, keeps  $\text{choosing}(i) = 1$ .
  - Two processes could choose the same number (unlike real bakery).
  - Break ties with process ids.
- **Second part:**
  - Wait to see that no others are choosing, and no one else has a smaller number.
  - That is, wait to see that your ticket is the smallest.
  - Never go back to the beginning of this part---just proceed step by step, waiting when necessary.

# Code

## Shared variables:

for every  $i \in \{1, \dots, n\}$ :

$\text{choosing}(i) \in \{0, 1\}$ , initially 0, writable by  $i$ , readable by all  $j \neq i$

$\text{number}(i)$ , a natural number, initially 0, writable by  $i$ , readable by  $j \neq i$ .

$\text{try}_i$

$\text{choosing}(i) := 1$

$\text{number}(i) := 1 + \max_{j \neq i} \text{number}(j)$

$\text{choosing}(i) := 0$

for  $j \neq i$  do

    waitfor  $\text{choosing}(j) = 0$

    waitfor  $\text{number}(j) = 0$  or  $(\text{number}(i), i) < (\text{number}(j), j)$

$\text{crit}_i$

$\text{exit}_i$

$\text{number}(i) := 0$

$\text{rem}_i$

# Correctness: Mutual exclusion

- **Key invariant:** If process  $i$  is in  $C$ , and process  $j \neq i$  is in  $(T - D) \cup C$ ,

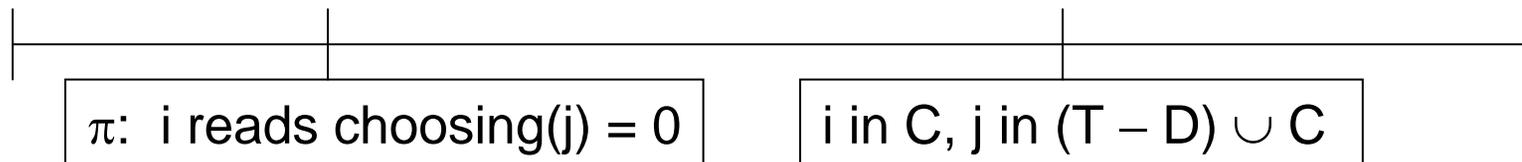
Trying region after doorway, or critical region

then  $(\text{number}(i), i) < (\text{number}(j), j)$ .

- **Proof:**
  - Could prove by induction.
  - Instead, give argument based on events in executions.
  - This argument extends to weaker registers, with concurrent accesses.

# Correctness: Mutual exclusion

- **Invariant:** If  $i$  is in  $C$ , and  $j \neq i$  is in  $(T - D) \cup C$ , then  $(\text{number}(i), i) < (\text{number}(j), j)$ .
- **Proof:**
  - Consider a point where  $i$  is in  $C$  and  $j \neq i$  is in  $(T - D) \cup C$ .
  - Then before  $i$  entered  $C$ , it must have read  $\text{choosing}(j) = 0$ , event  $\pi$ .



- **Case 1:**  $j$  sets  $\text{choosing}(j) := 1$  (starts choosing) after  $\pi$ .
  - Then  $\text{number}(i)$  is set before  $j$  starts choosing.
  - So  $j$  sees the “correct”  $\text{number}(i)$  and chooses something bigger.
- **Case 2:**  $j$  sets  $\text{choosing}(j) := 0$  (finishes choosing) before  $\pi$ .
  - Then when  $i$  reads  $\text{number}(j)$  in its second waitfor loop, it gets the “correct”  $\text{number}(j)$ .
  - Since  $i$  decides to enter  $C$  anyway, it must have seen  $(\text{number}(i), i) < (\text{number}(j), j)$ .

# Correctness: Mutual exclusion

- **Invariant:** If  $i$  is in  $C$ , and  $j \neq i$  is in  $(T - D) \cup C$ , then  $(\text{number}(i), i) < (\text{number}(j), j)$ .
- **Proof of mutual exclusion:**
  - Apply invariant both ways.
  - Contradictory requirements.

# Liveness Conditions

- **Progress:**
  - By contradiction.
  - If not, eventually region changes stop, leaving everyone in T or R, and at least one process in T.
  - Everyone in T eventually finishes choosing.
  - Then nothing blocks the smallest (number, index) process from entering C.
- **Lockout-freedom:**
  - Consider any  $i$  that enters T
  - Eventually it finishes the doorway.
  - Thereafter, any newly-entering process picks a bigger number.
  - Progress implies that processes continue to enter C, as long as  $i$  is still in T.
  - In fact, this must happen infinitely many times!
  - But those with bigger numbers can't get past  $i$ , contradiction.

# FIFO Condition

- Not really FIFO ( $\rightarrow T$  vs.  $\rightarrow C$ ), but almost:
  - **FIFO after the doorway**: if  $j$  leaves  $D$  before  $i \rightarrow T$ , then  $j \rightarrow C$  before  $i \rightarrow C$ .
- But the “doorway” is an artifact of this algorithm, so this isn’t a meaningful way to evaluate the algorithm!
- Maybe say “there exists a doorway such that” ...
- But then we could take  $D$  to be the entire trying region, making the property trivial.
- To make the property nontrivial:
  - Require  $D$  to be “wait-free”: a process is guaranteed to complete  $D$  if it keeps taking steps, regardless of what other processes do.
  - $D$  in the Bakery Algorithm is wait-free.
- The algorithm is **FIFO after a wait-free doorway**.

# Impact of Bakery Algorithm

- Originated important ideas:
  - Wait-freedom
    - Fundamental notion for theory of fault-tolerant asynchronous distributed algorithms.
  - Weakly coherent memories
    - Beginning of formal study: definitions, and some algorithmic strategies for coping with them.

# Space and memory considerations

- All mutual exclusion algorithms use **more than  $n$  variables**.
  - Bakery algorithm could use just  $n$  variables. (Why?)
- All but Bakery use **multi-writer variables**.
  - These can be expensive to implement
- Bakery uses **infinite-size variables**
  - Difficult (but possible) to adapt to use finite-size variables.
- **Q: Can we do better?**

# Burns' Algorithm

# Burns' algorithm

- Uses just  $n$  **single-writer Boolean** read/write variables.
- Simple.
- Guarantees safety (mutual exclusion) and progress.
  - But not lockout-freedom!

# Code

## Shared variables:

for every  $i \in \{1, \dots, n\}$ :

$\text{flag}(i) \in \{0, 1\}$ , initially 0, writable by  $i$ , readable by all  $j \neq i$

## Process $i$ :

$\text{try}_i$

L:  $\text{flag}(i) := 0$

for  $j \in \{1, \dots, i-1\}$  do

if  $\text{flag}(j) = 1$  then go to L

$\text{flag}(i) := 1$

for  $j \in \{1, \dots, i-1\}$  do

if  $\text{flag}(j) = 1$  then go to L

M: for  $j \in \{i+1, \dots, n\}$  do

if  $\text{flag}(j) = 1$  then go to M

$\text{crit}_i$

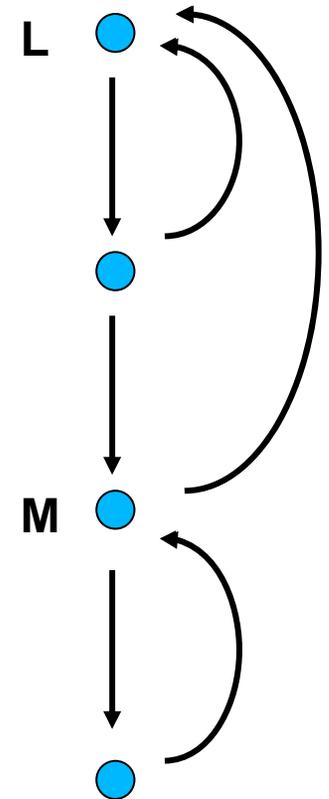
$\text{exit}_i$

$\text{flag}(i) := 0$

$\text{rem}_i$

# That is,...

- Each process goes through 3 loops, sequentially:
  1. Check flags of processes with **smaller** indices.
  2. Check flags of processes with **smaller** indices.
  3. Check flags of processes with **larger** indices.
- If it passes all tests,  $\rightarrow$  C.
- Otherwise, drops back:

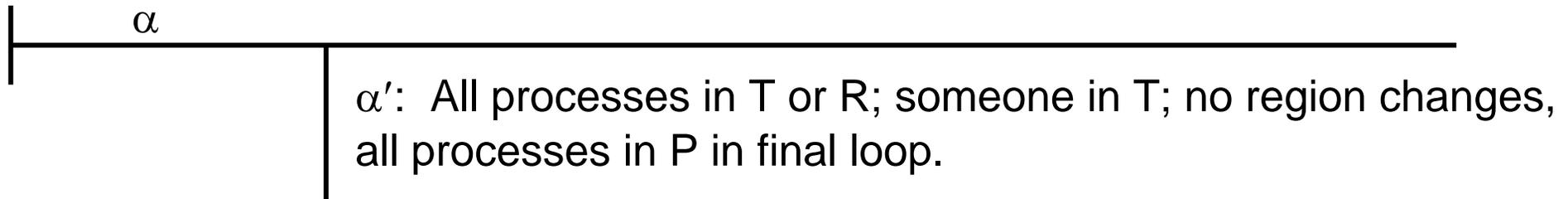


# Correctness of Burns' algorithm

- Mutual exclusion + progress
- **Mutual exclusion:**
  - Like the proof for Dijkstra's algorithm, but now with flags set to 1 rather than 2.
  - If processes  $i$  and  $j$  are ever in  $C$  simultaneously, both must have set their flags  $:= 1$ .
  - Assume WLOG that process  $i$  sets  $\text{flag}(i) := 1$  (for the last time) first.
  - Keeps  $\text{flag}(i) = 1$  until process  $i$  leaves  $C$ .
  - After  $\text{flag}(i) := 1$ , must have  $\text{flag}(j) := 1$ , then  $j$  must see  $\text{flag}(i) = 0$ , before  $j \rightarrow C$ .
  - Impossible!

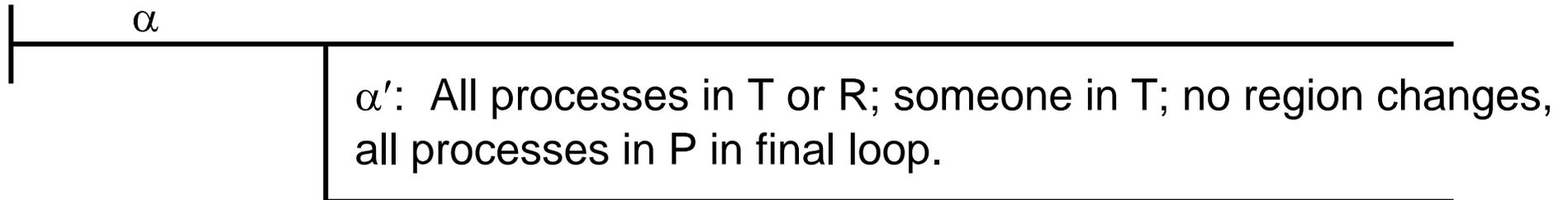
# Progress for Burns' algorithm

- Consider fair execution  $\alpha$  (each process keeps taking steps).
- Assume for contradiction that, after some point in  $\alpha$ , some process is in T, no one is in C, and no one  $\rightarrow$  C later.
- WLOG, we can assume that every process is in T or R, and no region changes occur after that point in  $\alpha$ .
- Call the processes in T the **contenders**.
- Divide the contenders into two sets:
  - P, the contenders that reach label M, and
  - Q, the contenders that never reach M.
- After some point in  $\alpha$ , all contenders in P have reached M; they never drop back thereafter to before M.



# Progress for Burns' algorithm

- P, the contenders that reach label M, and
- Q, the contenders that never reach M.



- Claim P contains at least one process:
  - Process with the lowest index among all the contenders is not blocked from reaching M.
- Let  $i$  = largest index of a process in P.
- Claim process  $i$  eventually  $\rightarrow C$ : All others with larger indices eventually see a smaller-index contender and drop back to L, setting their flags  $:= 0$  (and these stay = 0).
- So  $i$  eventually sees all these = 0 and  $\rightarrow C$ .
- Contradiction.

# Lower Bound on the Number of Registers

# Lower Bound on the Number of Registers

- All the mutual exclusion algorithms we've studied:
  - Use read/write shared memory, and
  - Use at least  $n$  read/write shared variables.
- That's one variable per **potential** contender.
- **Q:** Can we use fewer than  $n$  r/w shared variables?
- Not single-writer. (Why?)
- Not even multi-writer!

# Lower bound on number of registers

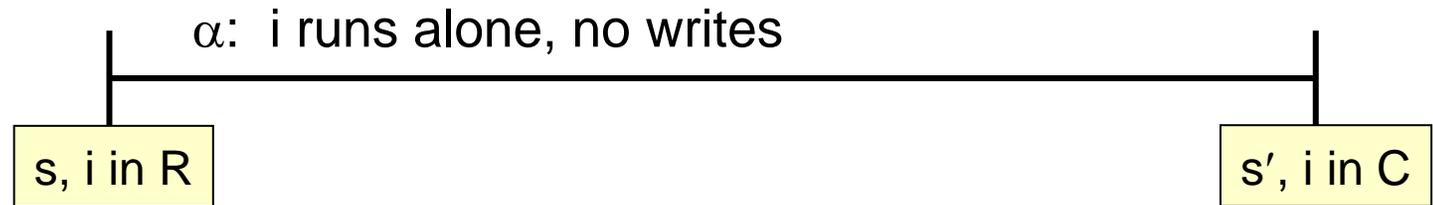
- Lower bound of  $n$  holds even if:
  - We require **only mutual exclusion + progress** (no stronger liveness properties).
  - The variables can be **any size**.
  - Variables can be **read and written by all processes**.
- Start with basic facts about any mutex algorithm  $A$  using r/w shared variables.
- **Lemma 1:** If  $s$  is a reachable, idle system state (meaning all processes are in  $R$ ), and if process  $i$  runs alone from  $s$ , then eventually  $i \rightarrow C$ .
- **Proof:** By the progress requirement.
- **Corollary:** If  $i$  runs alone from a system state  $s'$  that is **indistinguishable** from  $s$  by  $i$ ,  $s' \sim^i s$ , then eventually  $i \rightarrow C$ .
- **Indistinguishable:** Same state of  $i$  and same shared variable values.

# Lower bound on registers

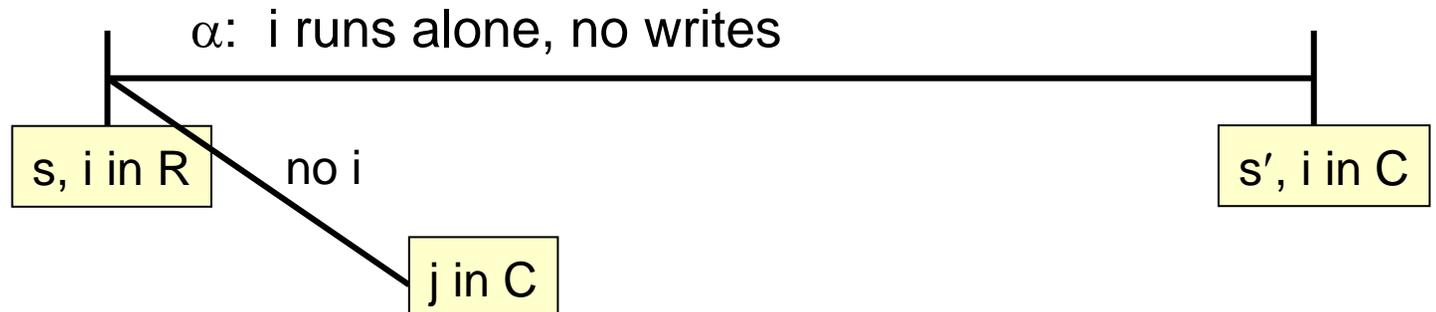
- **Lemma 2:** Suppose that  $s$  is a reachable system state in which  $i \in R$ . Suppose process  $i \rightarrow C$  on its own, from  $s$ . Then along the way, process  $i$  writes to some shared variable.

- **Proof:**

- By contradiction; suppose it doesn't.
- Then:



- Then  $s' \sim_j s$  for every  $j \neq i$ .
- Then there is some execution fragment from  $s$  in which process  $i$  takes no steps, and in which some other process  $j \rightarrow C$ .
  - By repeated use of the progress requirement.



# Lower bound on registers

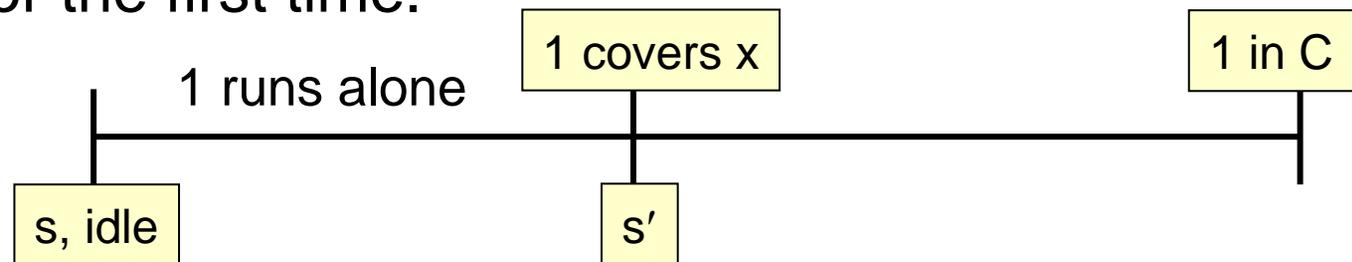
- **Lemma 2:** Suppose that  $s$  is a reachable system state in which  $i \in R$ . Suppose process  $i \rightarrow C$  on its own, from  $s$ . Then along the way, process  $i$  writes to some shared variable.
- **Proof, cont'd:**
  - There is some execution fragment from  $s$  in which process  $i$  takes no steps, and in which some other process  $j \rightarrow C$ .



- Then there is also such a fragment from  $s'$ .
- Yields a counterexample execution:
  - System gets to  $s$ , then  $i$  alone takes it to  $s'$ , then others get  $j \in C$ .
  - Contradiction because  $i, j$  are in  $C$  at the same time.

# Lower bound on registers

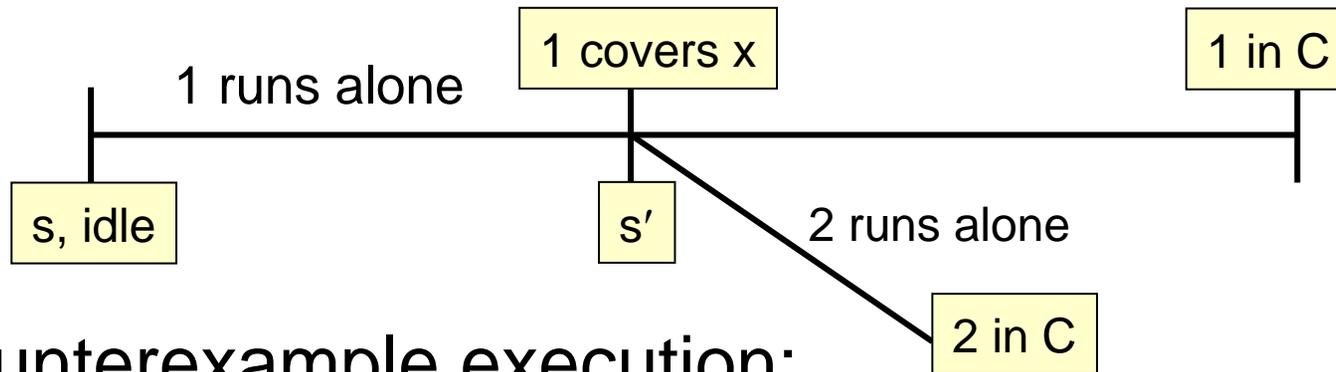
- Back to showing  $\geq n$  shared variables needed...
- Special case: **2 processes and 1 variable**:
  - Suppose A is a 2-processes mutex algorithm using 1 r/w shared variable x.
  - Start in initial (idle) state s.
  - Run process 1 alone,  $\rightarrow C$ , writes x on the way.
    - By Lemmas 1 and 2.
  - Consider the point where process 1 is just about to write x, i.e., **covers** x, for the first time.



- Note that  $s' \sim^2 s$ , because 1 doesn't write between s and s'.
- So process 2 can reach C on its own from s'.
  - By Corollary to Lemma 1.

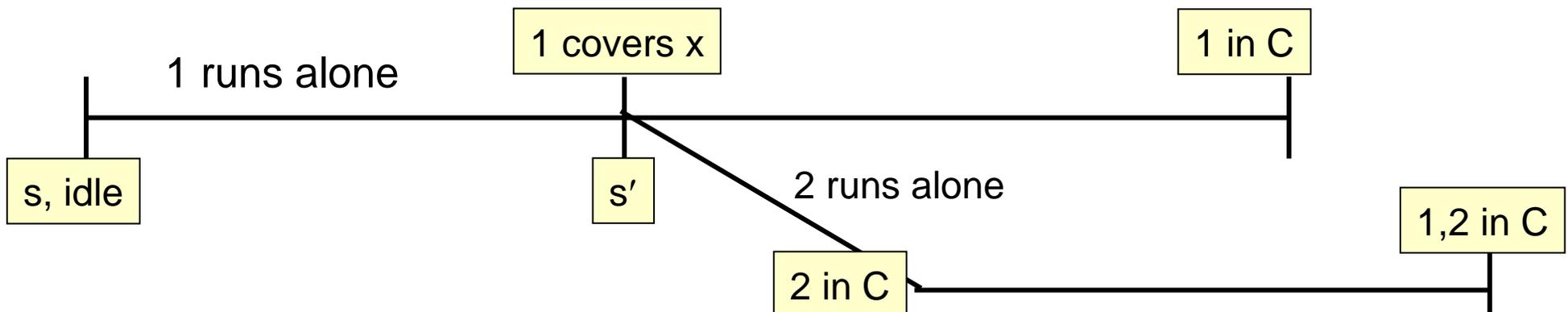
# 2 processes, 1 variable

- Process 2 can reach C on its own from  $s'$ :



- Counterexample execution:

- Run 1 until it covers  $x$ , then let 2 reach C.
- Then resume 1, letting it write  $x$  and then  $\rightarrow$  C.
- When it writes  $x$ , it overwrites anything 2 might have written there on its way to C; so 1 never sees any evidence of 2.

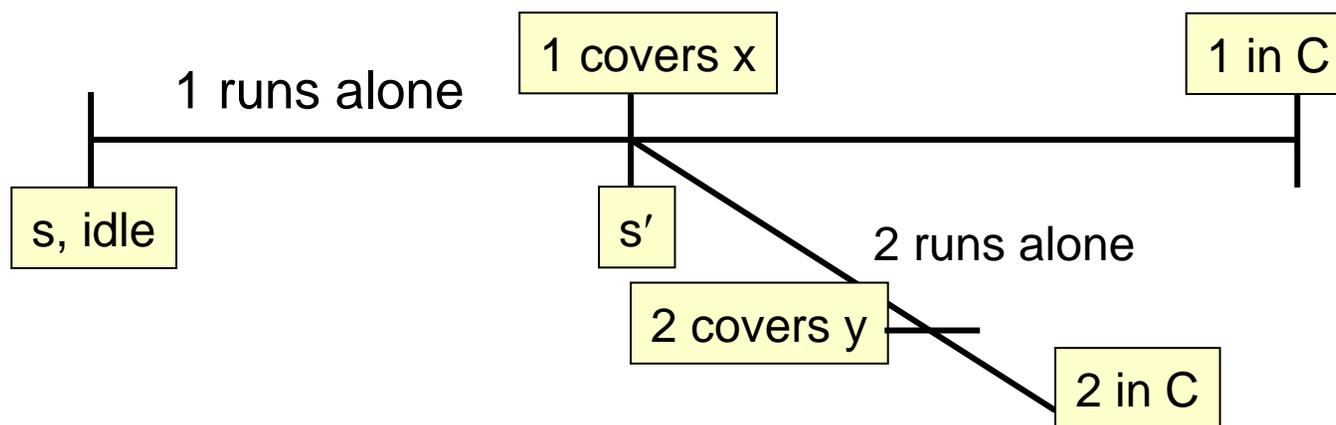


# Another special case: 3 processes, 2 variables

- Processes 1, 2, 3; variables x,y.
- Similar construction, with a couple of twists.
- Start in initial (idle) state s.
- Run processes 1 and 2 until:
  - Each covers one of x,y---both variables covered.
  - Resulting state is indistinguishable by 3 from a reachable idle state.
- **Q:** How to do this?
  - For now, assume we can.
- Then run 3 alone,  $\rightarrow C$ .
- Then let 1 and 2 take one step each, overwriting both variables, and obliterating all traces of 3.
- Continue running 1 and 2; they run as if 3 were still in R.
- By progress requirement, one eventually  $\rightarrow C$ .
- Contradicts mutual exclusion.

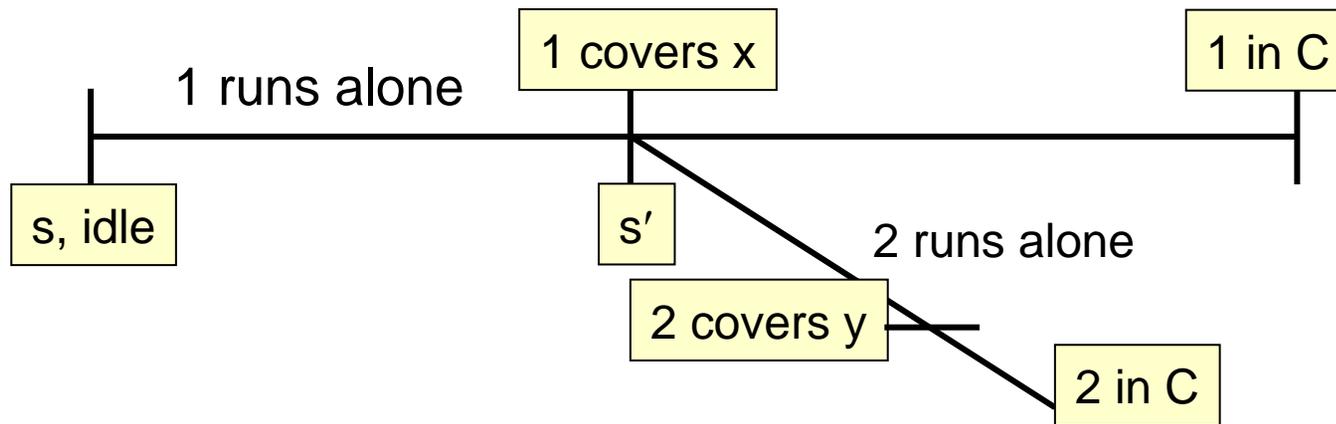
# 3 processes, 2 variables

- It remains to show how to maneuver 1 and 2 so that:
  - Each covers one of x,y.
  - Resulting state is indistinguishable by 3 from a reachable idle state.
- **First try:**
  - Run 1 alone until it first covers a shared variable, say x.
  - Then run 2 alone until  $\rightarrow C$ .
  - **Claim:** Alone the way, it must write the other shared variable y.
    - If not, then after  $2 \rightarrow C$ , 1 could take one step, overwriting anything 2 wrote to x, and thus obliterating all traces of 2.
    - Then 1 continues  $\rightarrow C$ , violating mutual exclusion.
  - Stop 2 just when it first covers y; then 1 and 2 cover x and y.



# 3 processes, 2 variables

- Maneuver 1 and 2 so that:
  - Each covers one of x,y.
  - Resulting state is indistinguishable by 3 from a reachable idle state.



- **But this is not quite right...** resulting state might not be indistinguishable by 3 from an idle state.
- 2 could have written x before writing y.

# 3 processes, 2 variables

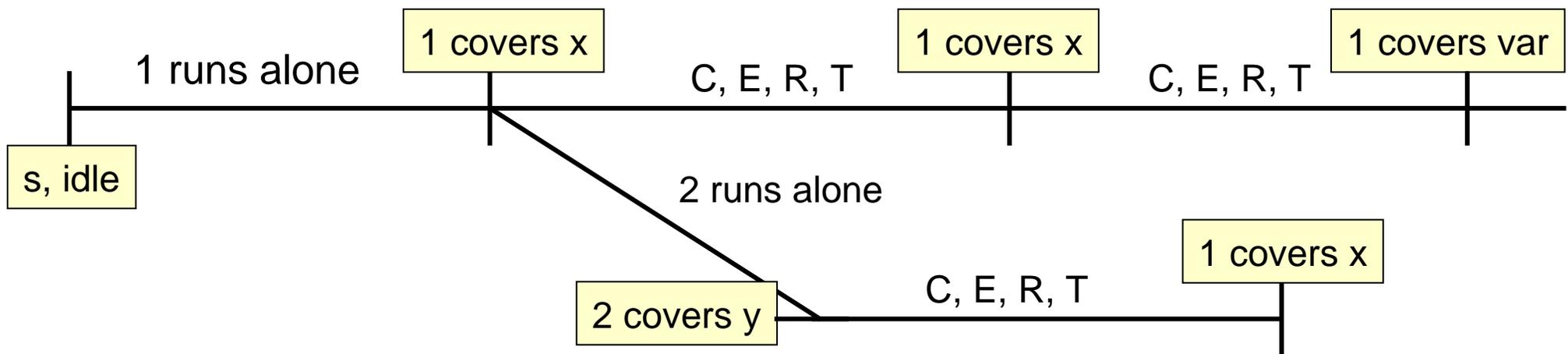
- Maneuver 1 and 2 so that:
  - Each covers one of x,y.
  - Resulting state is indistinguishable by 3 from a reachable idle state.
- **Second (successful) try:**
  - Run 1 alone until it first covers a shared variable.
  - Continue running 1, through C, E, R, back in T, until it again first covers a variable.
  - And once again.



- In two of the three covering states, 1 must cover the same variable.
- E.g., suppose in first two states, 1 covers x (other cases analogous).

# 3 processes, 2 variables

- Counterexample execution:
  - Run 1 until it covers x the first time.
  - Then run 2 until it first covers y (must do so).



- Then let 1 write x and continue until it covers x again.
- Now both variables are (again) covered.
- This time, the final state is indistinguishable by 3 from an idle state.
- As needed.

# General case:

## n processes, n-1 variables

- Extends 3-process 2-variable case, using induction.
- Need strengthened version of Lemma 2:
- **Lemma 2'**: Suppose that  $s$  is a reachable system state in which  $i \in R$ . Suppose process  $i \rightarrow C$  on its own, from  $s$ . Then along the way, process  $i$  writes to some shared variable **that is not covered (in  $s$ ) by any other process.**
- **Proof:**
  - Similar to Lemma 2.
  - Contradictory execution fragment begins by overwriting all the covered variables, obliterating any evidence of  $i$ .

# n processes, n-1 variables

- **Definition:**  $s'$  is **k-reachable** from  $s$  if there is an execution fragment from  $s$  to  $s'$  involving only steps by processes 1 to  $k$ .

# n processes, n-1 variables

- Now suppose (for contradiction) that A solves mutual exclusion for n processes, with n-1 shared variables.
- **Main Lemma:** For any  $k \in \{1, \dots, n-1\}$  and from any idle state, there is a k-reachable state in which processes  $1, \dots, k$  cover k distinct shared variables, and that is indistinguishable by processes  $k+1, \dots, n$  from some k-reachable idle state.
- **Proof:** In a minute...
- Now assume we have this, for  $k = n-1$ .
- Then run n alone,  $\rightarrow C$ .
  - Can do this, by Corollary to Lemma 1.
- Along the way, it must write some variable that isn't covered by  $1, \dots, n-1$ .
  - By Lemma 2'.
- But all n-1 variables are covered, contradiction.
- It remains to prove the Main Lemma...

# Proof of the Main Lemma

- **Main Lemma:** For any  $k \in \{1, \dots, n-1\}$  and from any idle state, there is a  $k$ -reachable state in which processes 1 to  $k$  cover  $k$  distinct shared variables, and that is indistinguishable by processes  $k+1$  to  $n$  from some  $k$ -reachable idle state.
- **Proof:** Induction on  $k$ .
  - **Base case ( $k=1$ ):**
    - Run process 1 alone until just before it first writes a shared variable.
    - 1-reachable state, process 1 covers a shared variable, indistinguishable by the other processes from initial state.
  - **Inductive step (Assume for  $k \leq n-2$ , show for  $k+1$ ):**
    - By inductive hypothesis, get a  $k$ -reachable state  $t_1$  in which processes 1, ...,  $k$  cover  $k$  variables, and that is indistinguishable by processes  $k+1, \dots, n$  from some  $k$ -reachable idle state.

# Proof of the Main Lemma

- **Main Lemma:** For any  $k \in \{1, \dots, n-1\}$  and from any idle state, there is a  $k$ -reachable state in which processes 1 to  $k$  cover  $k$  distinct shared variables, and that is indistinguishable by processes  $k+1$  to  $n$  from some  $k$ -reachable idle state.
- **Proof:** Inductive step (Assume for  $k \leq n-2$ , show for  $k+1$ ):
  - By I.H., get a  $k$ -reachable state  $t_1$  in which  $1, \dots, k$  cover  $k$  variables, and that is indistinguishable by  $k+1, \dots, n$  from some  $k$ -reachable idle state.
  - Let each of  $1, \dots, k$  take one step, overwriting covered variables.
  - Run  $1, \dots, k$  until all are back in  $R$ ; resulting state is idle.
  - By I.H. get another  $k$ -reachable state  $t_2$  in which  $1, \dots, k$  cover  $k$  variables, and that is indistinguishable by  $k+1, \dots, n$  from some  $k$ -reachable idle state.
  - Repeat, getting  $t_3, t_4, \dots$ , until we get  $t_i$  and  $t_j$  ( $i < j$ ) that cover the same set  $X$  of variables. (Why is this guaranteed to happen?)
  - Run  $k+1$  alone from  $t_i$  until it first covers a variable not in  $X$ .
  - Then run  $1, \dots, k$  as if from  $t_i$  to  $t_j$  (they can't tell the difference).
  - Now processes  $1, \dots, k+1$  cover  $k+1$  different variables.
  - And result is indistinguishable by  $k+2, \dots, n$  from an idle state.

# Discussion

- **Bell Labs research failure:**
  - At Bell Labs (many years ago), Gadi Taubenfeld found out that the Unix group was trying to develop an asynchronous mutual exclusion algorithm for many processes that used only a few r/w shared registers.
  - He told them it was impossible.

# Discussion

- **New research direction:**
  - Develop “space-adaptive” algorithms that **potentially** use many variables, but are **guaranteed** to use only a few if only a few processes are contending.
  - Also “time-adaptive” algorithms.
  - See work by [\[Moir, Anderson\]](#), [\[Attiya, Friedman\]](#)
  - Time-adaptive and space-adaptive algorithms often yield better performance, lower overhead, in practice.

# Mutual Exclusion with Read-Modify-Write Shared Variables

# Mutual exclusion with RMW shared variables

- **Stronger memory primitives (synchronization primitives):**
  - Test-and-set, fetch-and-increment, swap, compare-and-swap, load-linked/store-conditional,...
- All modern computer architectures provide one or more of these, in addition to read/write registers.
- Generally support reads and writes, as well as more powerful operations.
- More expensive (cost of hardware, time to access) than variables supporting just reads and writes.
- Not all the same strength; we'll come back to this later.
- **Q:** Do such stronger memory primitives enable better algorithms, e.g., for mutual exclusion?

# Mutual exclusion with RMW: Test-and-set algorithm

- **test-and-set** operation: Sets value to 1, returns previous value.
  - Usually for binary variables.
- **Test-and-set mutual exclusion algorithm (trivial):**
  - One shared binary variable  $x$ , 0 when no one has been granted the resource (initial state), 1 when someone has.
  - **Trying protocol:** Repeatedly test-and-set  $x$  until get 0.
  - **Exit protocol:** Set  $x := 0$ .

```
tryi
  waitfor(test-and-set( $x$ ) = 0)
criti
```

```
exiti
   $x := 0$ 
remi
```

- Guarantees mutual exclusion + progress.
- No fairness. To get fairness, we can use a more expensive queue-based algorithm:

# Mutual exclusion with RMW: Queue-based algorithm

- **queue** shared variable
  - Supports enqueue, dequeue, head operations.
  - Can be quite large!
- **Queue mutual exclusion algorithm:**
  - One shared variable **Q**: FIFO queue.
  - **Trying protocol**: Add self to **Q**, wait until you're at the head.
  - **Exit protocol**: Remove self from **Q**.

try<sub>i</sub>

enqueue(Q,i)

waitfor(head(Q) = i)

crit<sub>i</sub>

exit<sub>i</sub>

dequeue(Q)

rem<sub>i</sub>

- **Fairness**: Guarantees bounded bypass (indeed, no bypass = 1-bounded bypass).

# Mutual exclusion with RMW: Ticket-based algorithm

- **Modular fetch-and-increment operation,  $f\&i_n$** 
  - Variable values are integers mod  $n$ .
  - Increments variable mod  $n$ , returns the previous value.
- **Ticket mutual exclusion algorithm:**
  - Like Bakery algorithm: Take a number, wait till it's your turn.
  - Guarantees bounded bypass (no bypass).
  - Shared variables: **next, granted**: integers mod  $n$ , initially 0
    - Support modular fetch-and-increment.
  - **Trying protocol**: Increment **next**, wait till granted.
  - **Exit protocol**: Increment **granted**.

try<sub>*i*</sub>

**ticket** :=  $f\&i_n(\text{next})$

waitfor(**granted** = **ticket**)

crit<sub>*i*</sub>

exit<sub>*i*</sub>

$f\&i_n(\text{granted})$

rem<sub>*i*</sub>

# Ticket-based algorithm

## – Space complexity:

- Each shared variable takes on at most  $n$  values.
- Total number of variable values:  $n^2$
- Total size of variables in bits:  $2 \log n$

## – Compare with queue:

- Total number of variable values:

$$\begin{aligned} & n! + \binom{n}{n-1} (n-1)! + \binom{n}{n-2} (n-2)! + \dots + \binom{n}{1} 1! \\ &= n! (1 + 1/1! + 1/2! + 1/3! + \dots + 1/(n-1)!) \\ &\leq n! e = O(n^n) \end{aligned}$$

- Size of variable in bits:  $O(n \log n)$

try<sub>*i*</sub>

ticket := f&i<sub>*n*</sub>(next)

waitfor(Granted = ticket)

crit<sub>*i*</sub>

exit<sub>*i*</sub>

f&i<sub>*n*</sub>(Granted)

rem<sub>*i*</sub>

# Variable Size for Mutual Exclusion with RMW

- **Q:** How small could we make the RMW variable?
- 1 bit, for just mutual exclusion + progress (simple test and set algorithm).
- With fairness guarantees?
- $O(n)$  values ( $O(\log n)$  bits) for bounded bypass.
  - Can get  $n+k$  values, for small  $k$ .

In practice, on a real shared-memory multiprocessor, we want a few variables of size  $O(\log n)$ . So ticket algorithm is pretty good (in terms of space).

- **Theoretical lower bounds:**
  - $\Omega(n)$  values needed for bounded bypass,  $\Omega(\sqrt{n})$  for lockout-freedom.

# Variable Size for Mutual Exclusion with RMW

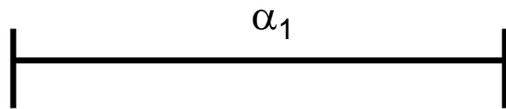
- Theoretical lower bound:
  - $\Omega(n)$  values needed for bounded bypass,  $\Omega(\sqrt{n})$  for lockout-freedom.
- **Significance:**
  - Achieving **mutual exclusion + lockout freedom is not trivial**, even though we assume that the processes get fair access to the shared variables.
  - Thus, fair access to the shared variables does not immediately translate into fair access to higher-level critical sections.
- For example, consider bounded bypass:....

# Lower bound on variable size for mutual exclusion + bounded bypass

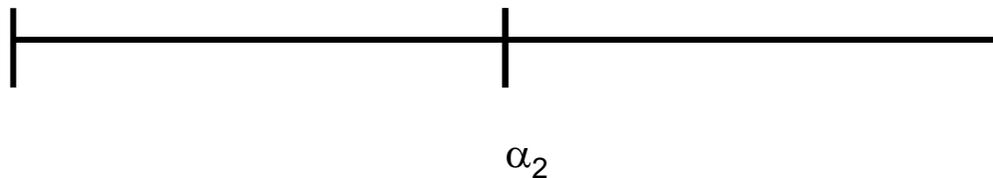
- **Theorem:** In any mutual exclusion algorithm guaranteeing progress and bounded bypass, using a single RMW shared variable, the variable must be able to take on at least  $n$  distinct values.
- Essentially, need enough space to keep a process index, or a counter of the number of active processes, in shared memory.
- General RMW shared variable: Allows read, arbitrary computation, and write, all in one step.
- **Proof:** By contradiction.
  - Suppose Algorithm A achieves mutual exclusion + progress +  $k$ -bounded bypass, using one RMW variable with  $< n$  values.
  - Construct a bad execution, which violates  $k$ -bounded bypass:

# Lower bound on variable size for mutual exclusion + bounded bypass

- **Theorem:** In any mutual exclusion algorithm guaranteeing progress and bounded bypass, using a single RMW shared variable, the variable must be able to take on at least  $n$  distinct values.
- **Proof:** By contradiction.
  - Suppose Algorithm A achieves mutual exclusion + progress +  $k$ -bounded bypass, using one RMW variable with  $< n$  values.
  - Run process 1 from initial state, until  $\rightarrow C$ , execution  $\alpha_1$ :



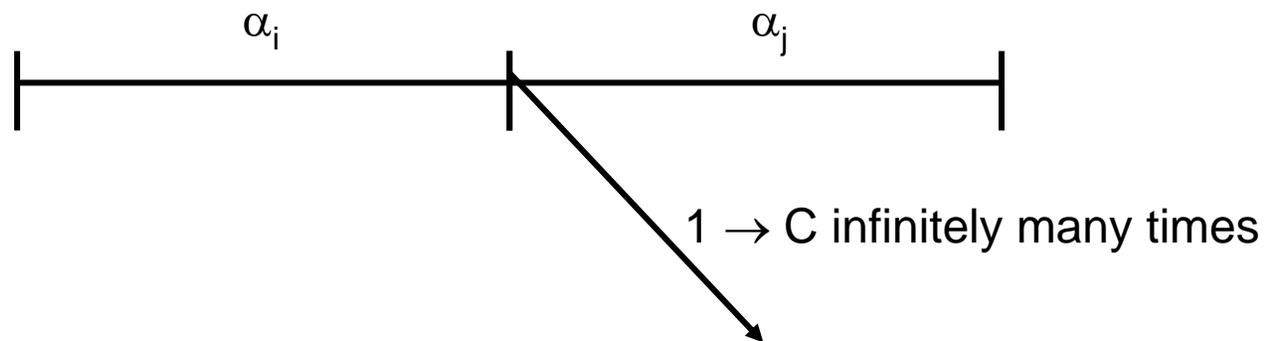
- Run process 2 until it accesses the variable,  $\alpha_2$ :



- Continue by running each of 3, 4, ...,  $n$ , obtaining  $\alpha_3, \alpha_4, \dots, \alpha_n$ .

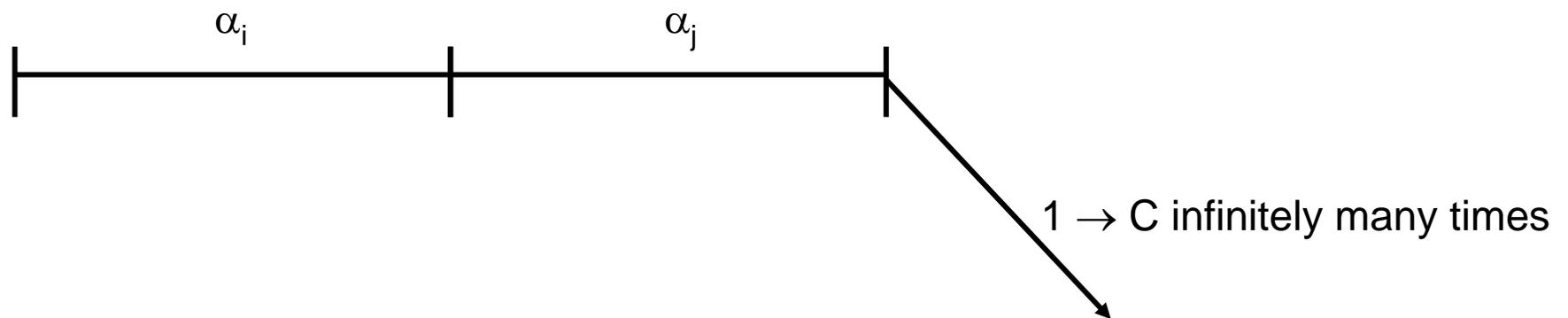
# Lower bound on variable size for mutual exclusion + bounded bypass

- **Theorem:** In any mutual exclusion algorithm guaranteeing bounded bypass, using a single RMW shared variable, the variable must be able to take on at least  $n$  distinct values.
- **Proof, cont'd:**
  - Since the variable takes on  $< n$  values, there must be two processes,  $i$  and  $j$ ,  $i < j$ , for which  $\alpha_i$  and  $\alpha_j$  leave the variable with the same value  $v$ .
  - Now extend  $\alpha_i$  so that  $1, \dots, i$  exit, then  $1$  reenters repeatedly,  $\rightarrow C$  infinitely many times.
    - Possible since progress is required in a fair execution.



# Lower bound on variable size for mutual exclusion + bounded bypass

- **Theorem:** In any mutual exclusion algorithm guaranteeing bounded bypass, using a single RMW shared variable, the variable must be able to take on at least  $n$  distinct values.
- **Proof, cont'd:**
  - Now apply the same steps after  $\alpha_j$ .
  - Result is an execution in which process 1  $\rightarrow C$  infinitely many times, while process  $j$  remains in  $T$ .
  - Violates bounded bypass.



- Note: The extension of  $\alpha_j$  isn't a fair execution; this is OK since fairness isn't required to violate bounded bypass.

# Mutual exclusion + lockout-freedom

- Can solve with  $O(n)$  values.
  - Actually, can achieve  $n/2 + k$ , small constant  $k$ .
- Lower bound of  $\Omega(\sqrt{n})$  values.
  - Actually, about  $\sqrt{n}$ .
  - Uses a more complicated version of the construction for the bounded bypass lower bound.

# Next time:

- More practical mutual exclusion algorithms
- Reading:
  - Herlihy, Shavit book, Chapter 7
  - Mellor-Crummey and Scott paper (Dijkstra prize winner)
  - (Optional) Magnussen, Landin, Hagersten paper
- Generalized resource allocation and exclusion problems
- Reading:
  - Distributed Algorithms, Chapter 11

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