

# Table of Contents

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- Introduction and Motivation
- Theoretical Foundations
- Distributed Programming Languages
- Distributed Operating Systems
- Distributed Communication
- Distributed Data Management
- Reliability
- Applications
- Conclusions
- Appendix

# Distributed Operating Systems

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- Operating Systems: provide problem-oriented abstractions of the underlying physical resources.
- Files (rather than disk blocks) and sockets (rather than raw network access).

# Selected Issues

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- Mutual exclusion and election
  - Non-token-based vs. token-based
  - Election and bidding
- Detection and resolution of deadlock
  - Four conditions for deadlock: mutual exclusion, hold and wait, no preemption, and circular wait.
  - Graph-theoretic model: wait-for graph
  - Two situations: AND model (process deadlock) and OR model (communication deadlock)
- Task scheduling and load balancing
  - Static scheduling vs. dynamic scheduling

# Mutual Exclusion and Election

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- Requirements:
  - Freedom from deadlock.
  - Freedom from starvation.
  - Fairness.
- Measurements:
  - Number of messages per request.
  - Synchronization delay.
  - Response time.

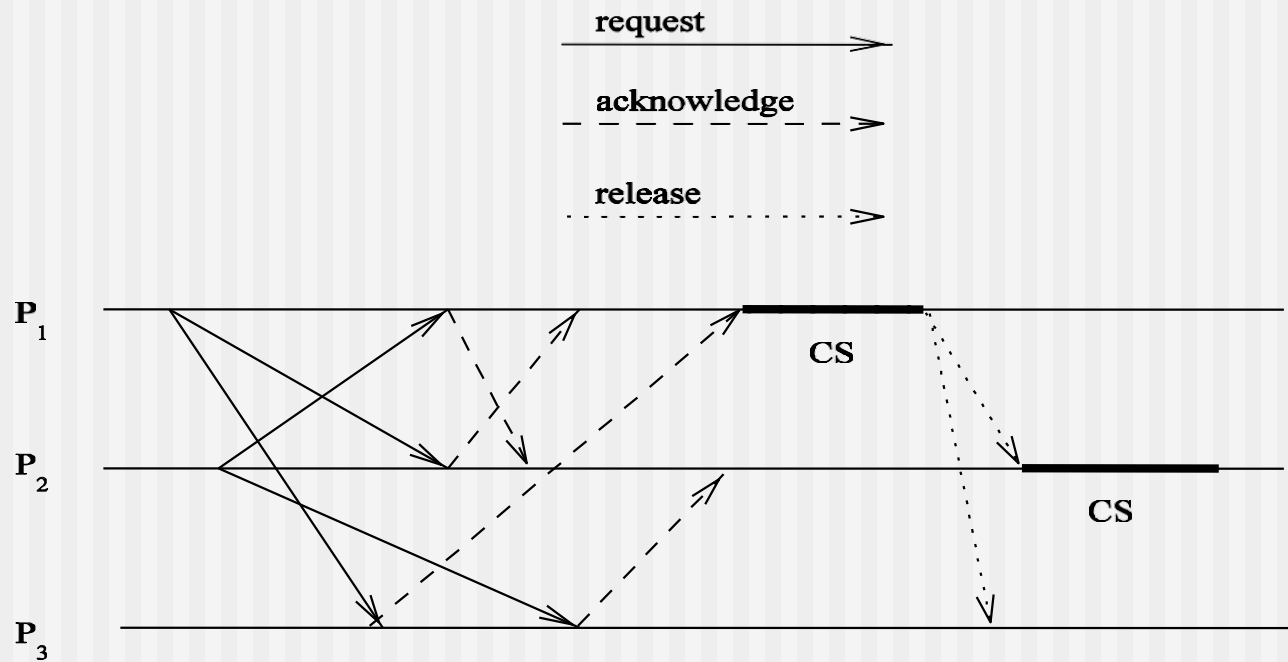
# Non-Token-Based Solutions:

## Lamport's Algorithm

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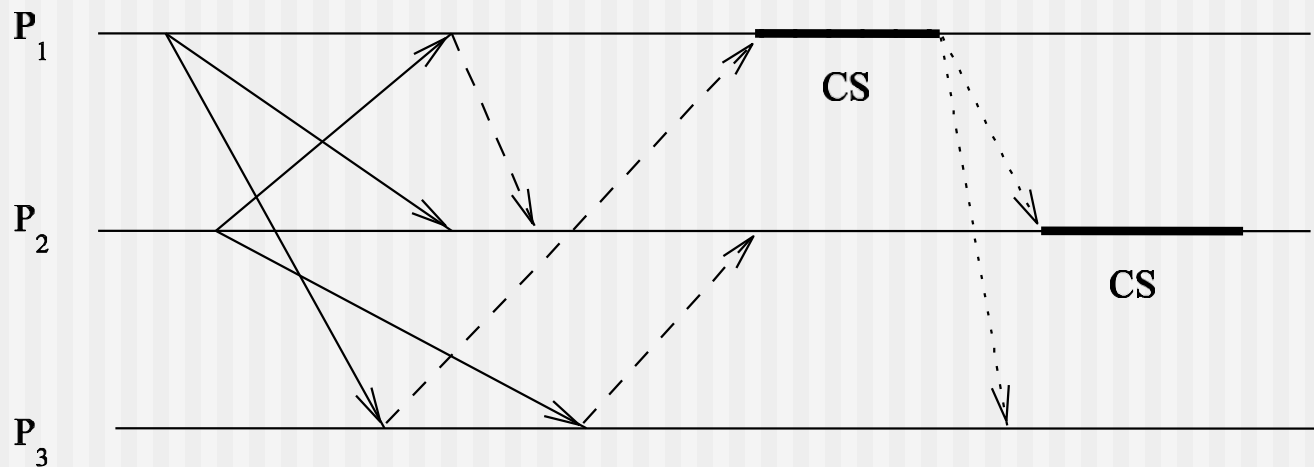
- To request the resource process  $P_i$  sends its timestamped message to all the processes (including itself ).
- When a process receives the request resource message, it places it on its local request queue and sends back a timestamped acknowledgment.
- To release the resource,  $P_i$  sends a timestamped release resource message to all the processes (including itself ).
- When a process receives a release resource message from  $P_i$ , it removes any requests from  $P_i$  from its local request queue. A process  $P_j$  is granted the resource when
  - Its request  $r$  is at the top of its request queue, and,
  - It has received messages with timestamps larger than the timestamp of  $r$  from all the other processes.

# Example for Lamport's Algorithm



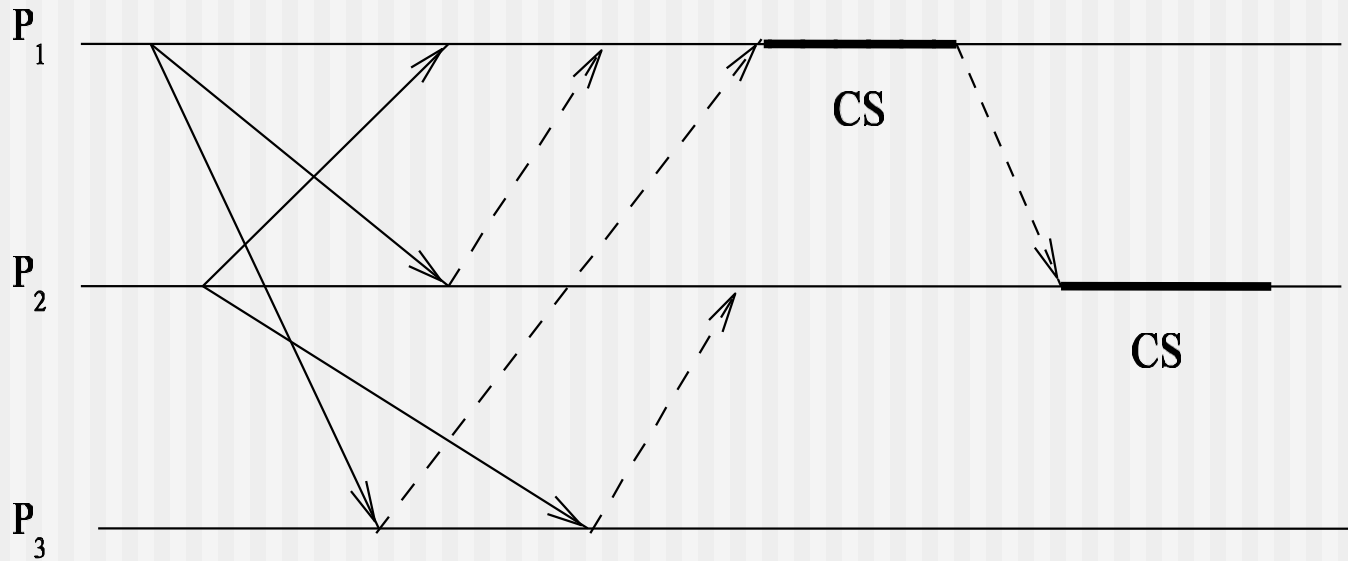
# Extension

- There is no need to send an acknowledgement when process  $P_j$  receives a request from process  $P_i$  after it has sent its own request with a timestamp larger than the one of  $P_i$ 's request.
- An example for Extended Lamport's Algorithm



# Ricart and Agrawala's Algorithm

It merges acknowledge and release messages into one message *reply*.



An example using Ricart and Agrawala's algorithm.

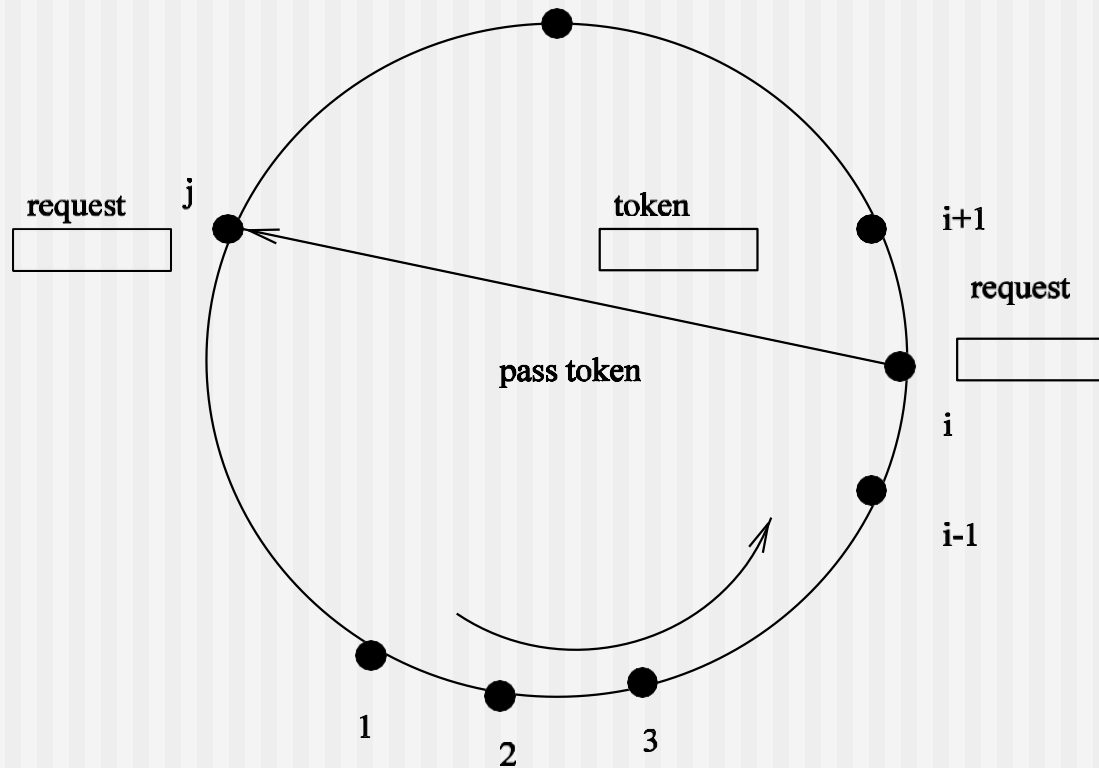


# Token-Based Solutions: Ricart and Agrawala's Second Algorithm

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- When token holder  $P_i$  exits CS, it searches other processes in the order  $i + 1, i + 2, \dots, n, 1, 2, \dots, i - 1$  for the first  $j$  such that the timestamp of  $P_j$ 's last request for the token is larger than the value recorded in the token for the timestamp of  $P_j$ 's last holding of the token.

# Token-based Solutions (Cont'd)



Ricart and Agrawala's second algorithm.

# Pseudo Code

---

$P(i) ::= * [$  request-resource

□ consume

□ release-resource

□ treat-request-message

□ others

$]$

distributed-mutual-exclusion  $::= || P(i:1..n)$

*clock*: 0,1,..., (initialized to 0)

*token-present*: **Boolean** ( $F$  for all except one process)

*token-held*: **Boolean** ( $F$ )

*token*: **array** (1.. $n$ ) of *clock* (initialized 0)

*request*: **array** (1.. $n$ ) of *clock* (initialized 0)

## Pseudo Code (Cont'd)

---

- $\text{others} ::=$  all the other actions that do not request to enter the critical section.
- $\text{consume} ::=$  consumes the resource after entering the critical section
- $\text{request-resource} ::=$ 
  - [ *token present* = F
  - [ **send** (*request-signal*, *clock*, *i*) **to all**;
  - receive** (*access-signal*, *token*);
  - token-present* := T;
  - token-held* := T
  - ]
  - ]

## Pseudo Code (Cont'd)

---

release-resource::=

[     $token(i) := clock;$

$token-held := F;$

    min  $j$  in the order  $[i + 1, \dots, n, 1, 2, \dots, i - 2, i - 1]$

$\wedge (request(j) > token(j))$

$\rightarrow$  [  $token-present := F;$

**send** ( $access-signal, token$ ) **to**  $P_j$

        ]

]

## Pseudo Code (Cont'd)

---

treat-request-message::=

```
[ receive (request-signal, clock; j)  
  → [request(j) := max(request(j), clock);  
    token-present ∧ ¬token-held → release-resource  
  ]  
]
```

# Ring-Based Algorithm

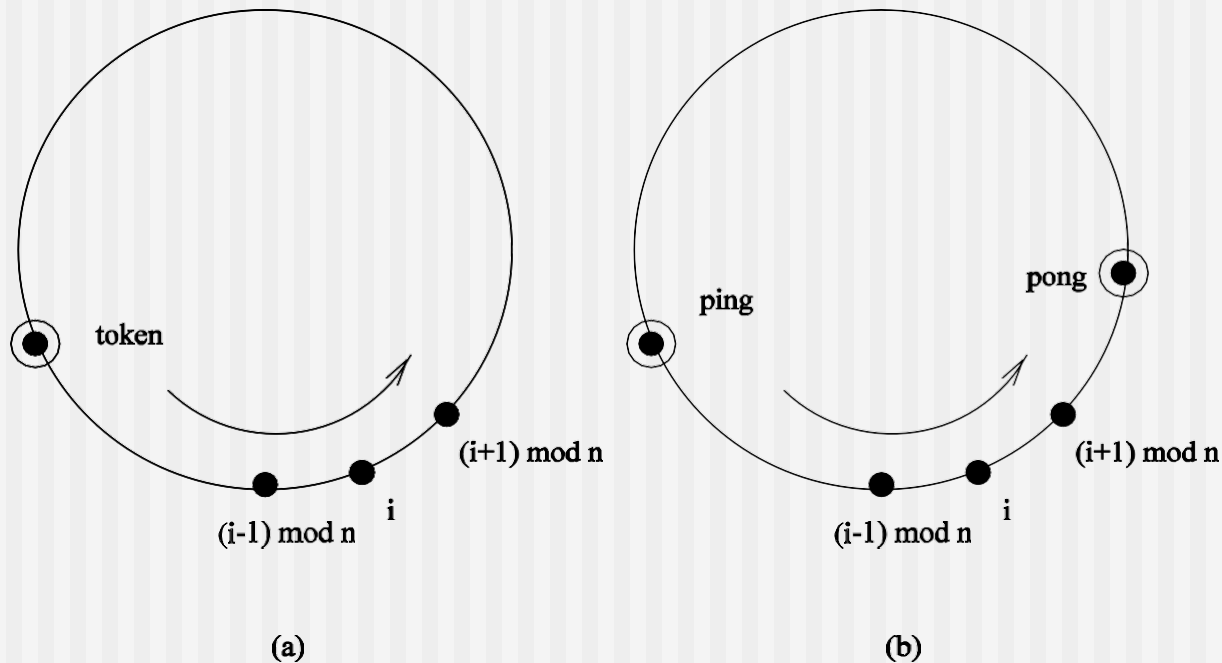
---

$P(i:0..n-1)::=$

[    **receive** *token* **from**  $P((i-1) \bmod n)$ ;  
     consume the resource if needed;  
     **send** token **to**  $P((i+1) \bmod n)$   
]

distributed-mutual-exclusion::=  $\parallel P(i:0..n-1)$

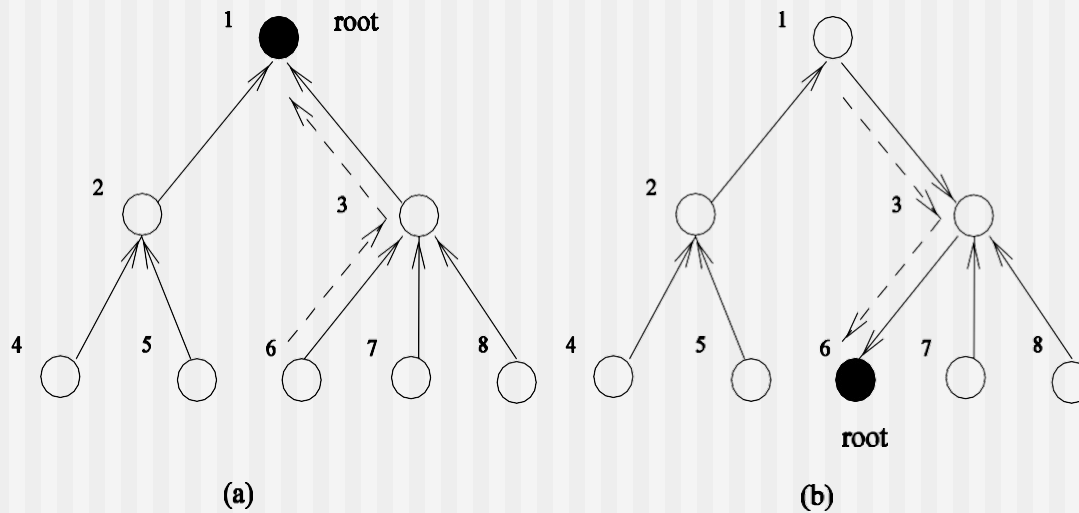
# Ring-Based Algorithm (Cont'd)



The simple token-ring-based algorithm (a) and the fault-tolerant token-ring-based algorithm (b).



# Tree-Based Algorithm



A tree-based mutual exclusion algorithm.

# Maekawa's Algorithm

---

- Permission from every other process but only from a subset of processes.
- If  $R_i$  and  $R_j$  are the request sets for processes  $P_i$  and  $P_j$ , then  $R_i \cap R_j \neq \varnothing$ .

# Example 11

---

$$R_1 : \{P_1; P_3; P_4\}$$

$$R_2 : \{P_2; P_4; P_5\}$$

$$R_3 : \{P_3; P_5; P_6\}$$

$$R_4 : \{P_4; P_6; P_7\}$$

$$R_5 : \{P_5; P_7; P_1\}$$

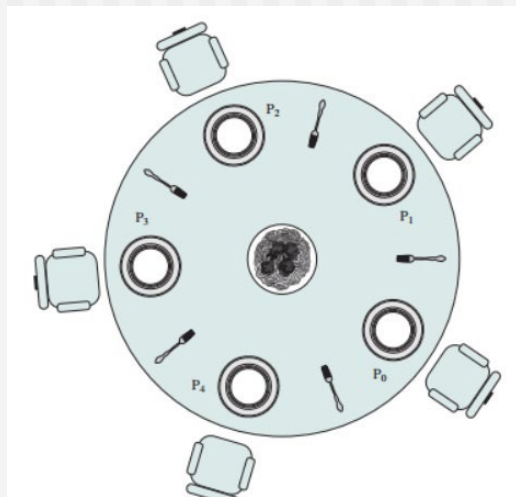
$$R_6 : \{P_6; P_1; P_2\}$$

$$R_7 : \{P_7; P_2; P_3\}$$

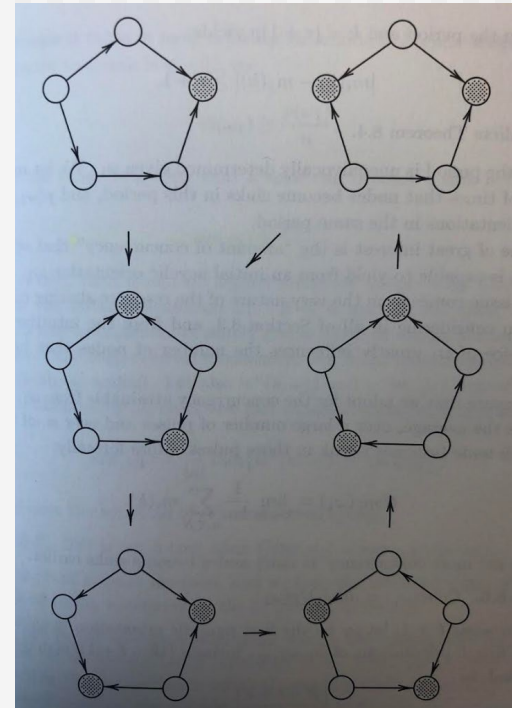
# The Dining Philosophers Problem

- Sharing multiple resources

- Mutual exclusion
- Deadlock prevention
- Amount of concurrency
- Two neighbors  $i$  and  $j$ :  
 $\text{holds\_fork}_i^j$  and  $\text{holds\_turn}_i^j$



- edge reversal



- Extended DP Problem on  $G$
- Drinking Philosophers Problem

# Related Issues

---

- **Election:** After a failure occurs in a distributed system, it is often necessary to reorganize the active nodes so that they can continue to perform a useful task.
- **Bidding:** Each competitor selects a bid value out of a given set and sends its bid to every other competitor in the system. Every competitor recognizes the same winner.
- **Self-stabilization:** A system is self-stabilizing if, regardless of its initial state, it is guaranteed to arrive at a legitimate state in a finite number of steps.

# Focus 11: Chang and Robert's algorithm

## Election on a ring

- Election and elected signals
- Smallest ID is the winner
- Two rounds of circulation
- $O(n \log n)$  messages

```
P(i : 0..n - 1) ::=
* [ initiate election →
  [ participant := T;
    send (election, i, id(i)) to P((i + 1) mod n)
  ]
□ receive (election, j, id(j)) →
  [ id(j) < id(i) →
    [ send (election, j, id(j)) to P((j + 1) mod n)
      || participant := T
    ]
  □ id(j) > id(i) ∧ participant → φ
  □ id(j) > id(i) ∧ ¬ participant →
    [ send (election, i, id(i)) to P((i + 1) mod n)
      || participant := T
    ]
  □ id(j) = id(i) →
    send (elected, i) to P((i + 1) mod n)
  ]
□ receive (elected, j) →
  [ coordinate := j
    || participant := F
    || j ≠ i → send (elected, j) to P((j + 1) mod n)
  ]
]

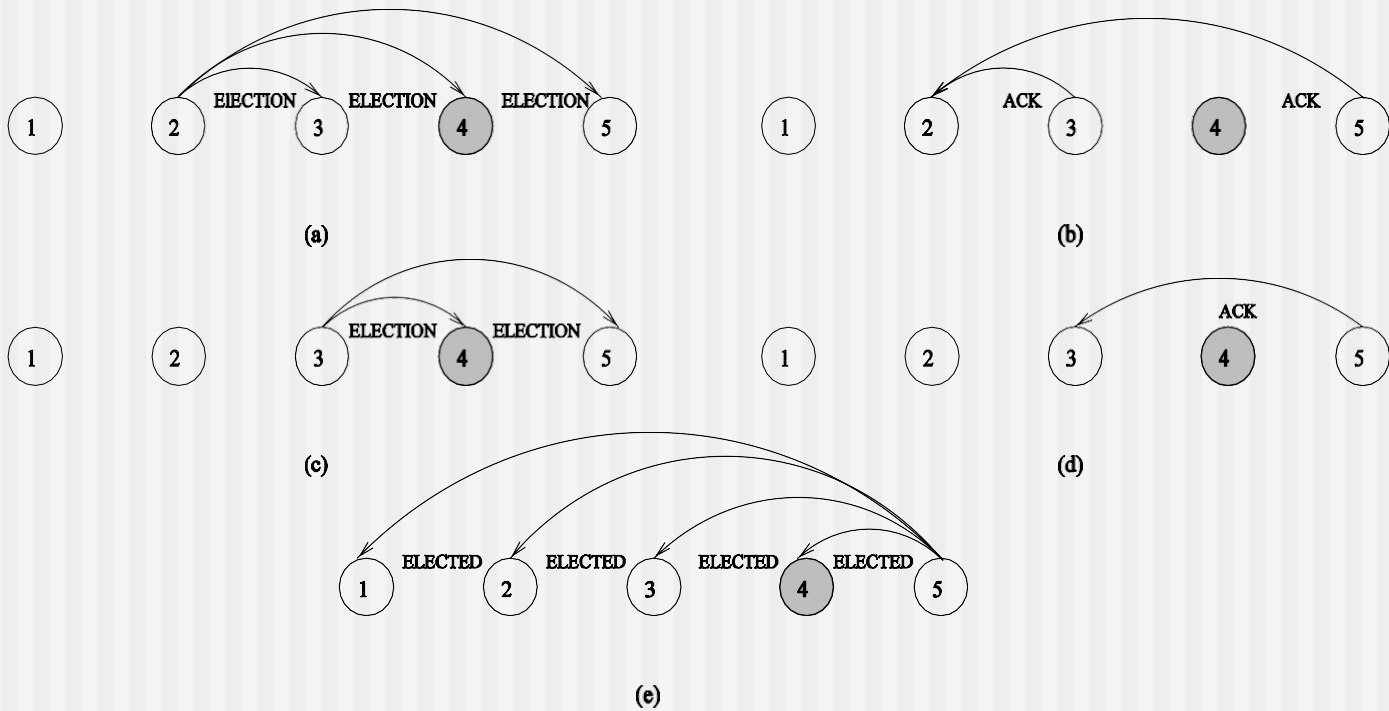
election-algorithm ::= || P(i : 0..n - 1)
```

# Garcia-Molina's Bully Algorithm for Election

---

- When  $P$  detects the failure of the coordinator or receives an ELECTION packet, it sends an ELECTION packet to all processes with higher priorities.
- If no one responds (with packet ACK),  $P$  wins the election and broadcast the ELECTED packet to all.
- If one of the higher processes responds, it takes over.  $P$ 's job is done.

# Focus 11 (Cont'd)



Bully algorithm.



# Lynch's Non-Comparison-Based Election Algorithms

---

- Process id is tied to time in terms of rounds.
- *Time-slice algorithm*: ( $n$ , the total number of processes, is known)
  - Process  $P_i$  (with its  $id(i)$ ) sends its id in round  $id(i)2n$ , i.e., at most one process sends its id in every  $2n$  consecutive rounds.
  - Once an id returns to its original sender, that sender is elected. It sends a signal around the ring to inform other processes of its winning status.
  - message complexity:  $O(n)$
  - time complexity:  $\min\{id(i)\} \cdot n$

# Lynch's Algorithms (Cont'd)

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- *Variable-speed algorithm*: ( $n$  is unknown)
  - When a process  $P_i$  sends its id ( $\text{id}(i)$ ), this id travels at the rate of one transmission for every  $2\text{id}(i)$  rounds.
  - If an id returns to its original sender, that sender is elected.
- message complexity:  $n + n/2 + n/2^2 + \dots + n/2^{(n-1)} < 2n = O(n)$
- time complexity:  $2^{\min\{\text{id}(i)\}}n$

# Dijkstra's Self-Stabilization

---

- *Legitimate state  $P$*  : A system is in a legitimate state  $P$  if and only if one process has a privilege.
- *Convergence*: Starting from an arbitrary global state,  $S$  is guaranteed to reach a global state satisfying  $P$  within a finite number of state transitions.

## Example 12

---

- A ring of finite-state machines with three states. A privileged process is the one that can perform state transition.
- For  $P_i$ ,  $0 < i \leq n - 1$ ,
  - $P_i \neq P_{i-1} \rightarrow P_i := P_{i-1}$ ,
  - $P_0 = P_{n-1} \rightarrow P_0 := (P_0 + 1) \bmod k$

**Theorem:** If  $k > n$ , then Dijkstra's token ring for mutual exclusion always eventually reaches a correct configuration.

For  $n > 2$ , theorem also hold if  $k = n - 1$ .

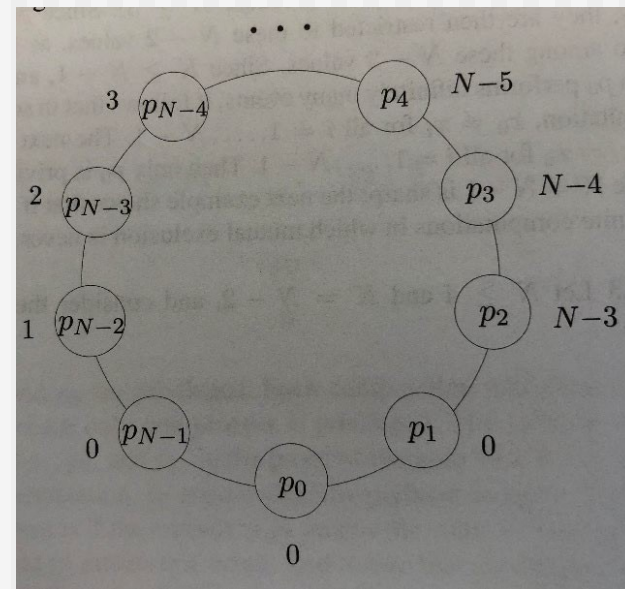
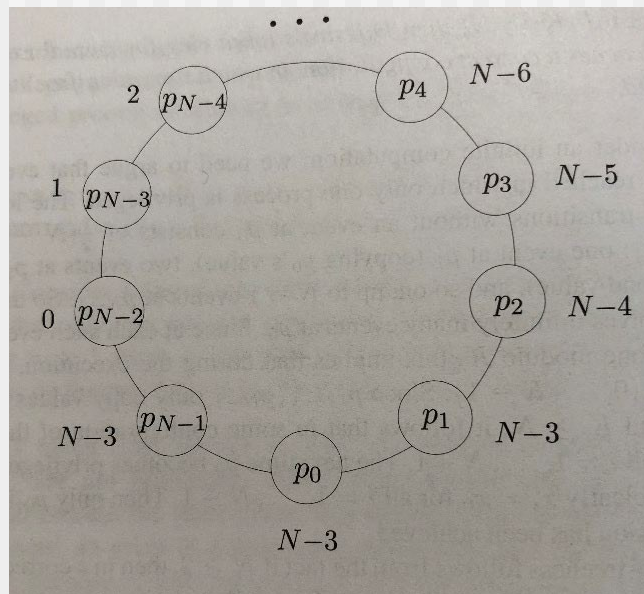
P0	P1	P2	Privileged processes	Process to make move
2	1	2	P0,P1,P2	P0
3	1	2	P1,P2	P1
3	3	2	P2	P2
3	3	3	P0	P0
0	3	3	P1	P1
0	0	3	P2	P2
0	0	0	P0	P0
1	0	0	P1	P1
1	1	0	P2	P2
1	1	1	P0	P0
2	1	1	P1	P1
2	2	1	P2	P2
2	2	2	P0	P0
3	2	2	P1	P1
3	3	2	P2	P2
3	3	3	P0	P0

Table 1: Dijkstra's self-stabilization algorithm ( $n = 3$  and  $k = 4$ ).

# Non-Convergence Example

When  $n > 3$ ,  $k = n-2$ .

Infinite computation exists in which always  $n-1$  processes are privileged



# Extensions

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- The role of demon (that selects one privileged process)
- The role of asymmetry.
- The role of topology.
- The role of the number of states

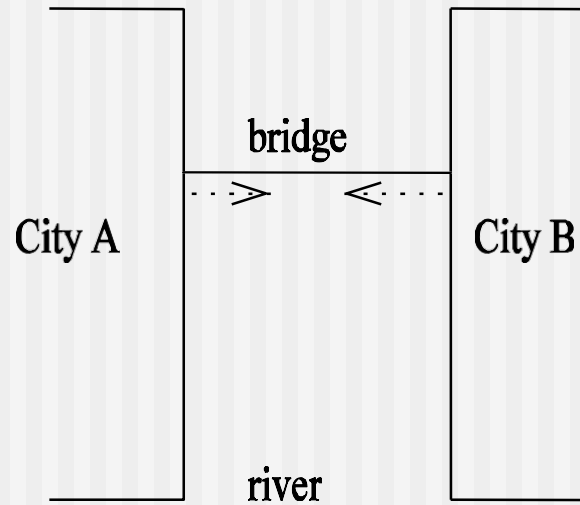
# Detection and Resolution of Deadlock

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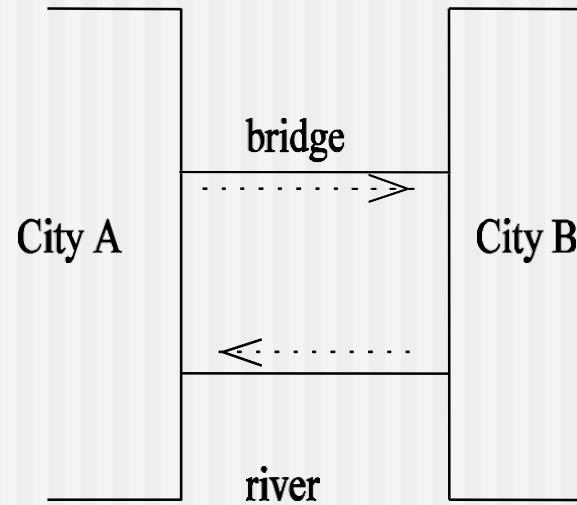
- **Mutual exclusion.** No resource can be shared by more than one process at a time.
- **Hold and wait.** There must exist a process that is holding at least one resource and is waiting to acquire additional resources that are currently being held by other processes.
- **No preemption.** A resource cannot be preempted.
- **Circular wait.** There is a cycle in the wait-for graph.



# Detection and Resolution of Deadlock (Cont'd)



(a)



(b)

Two cities connected by (a) one bridge and by (b) two bridges.

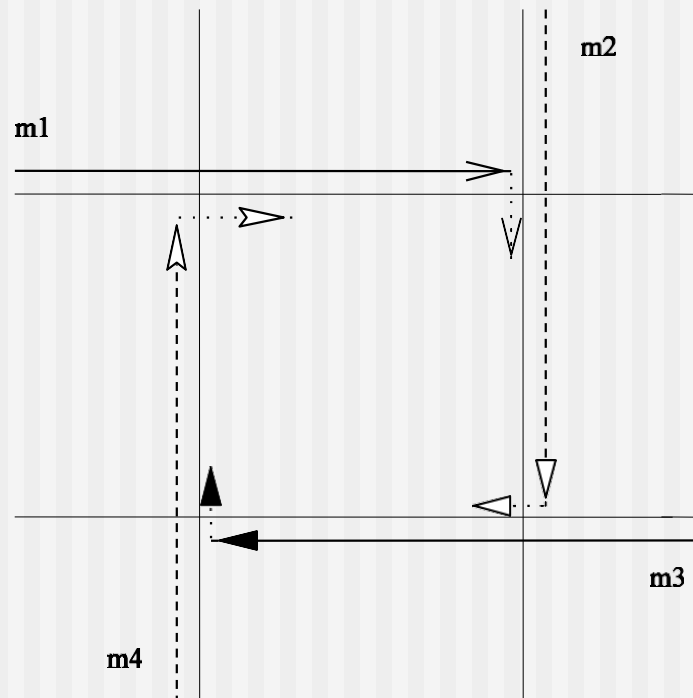
# Strategies for Handling Deadlocks

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- Deadlock prevention
- Deadlock avoidance (based on "safe state")
- Deadlock detection and recovery
- Different Models
  - AND condition
  - OR condition

# Types of Deadlock

- Resource deadlock
- Communication deadlock



An example of communication deadlock

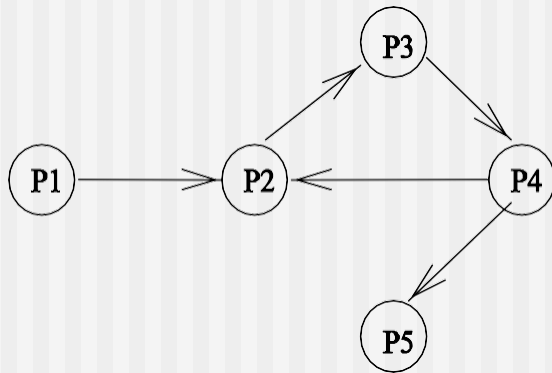
# Conditions for Deadlock

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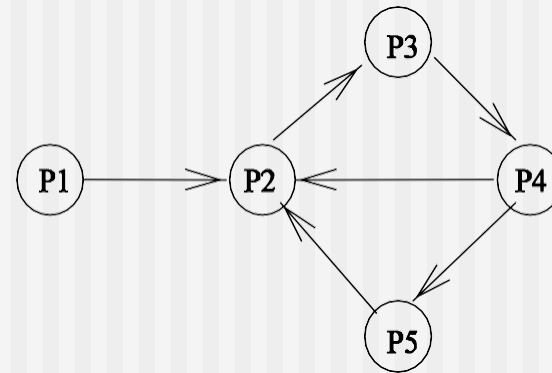
- AND model: a **cycle** in the wait-for graph.
- OR model: a **knot** in the wait-for graph.

# Conditions for Deadlock (Cont'd)

A knot ( $K$ ) consists of a set of nodes such that for every node  $a$  in  $K$ , all nodes in  $K$  and only the nodes in  $K$  are reachable from node  $a$ .



(a)



(b)

Two systems under the OR condition with  
(a) no deadlock and without (b) deadlock.

# Focus 12: Rosenkrantz' Dynamic Priority Scheme (using timestamps)

---

T1:

lock A;  
lock B;  
transaction starts;  
unlock A;  
unlock B;

**wait-die** (non-preemptive method)

[  $LC_i < LC_j \rightarrow \text{halt } P_i \text{ (wait)}$   
□  $LC_i \geq LC_j \rightarrow \text{kill } P_i \text{ (die)}$   
]

**wound-wait** (preemptive method)

[  $LC_i < LC_j \rightarrow \text{kill } P_j \text{ (wound)}$   
□  $LC_i \geq LC_j \rightarrow \text{halt } P_i \text{ (wait)}$   
]

# Example 13

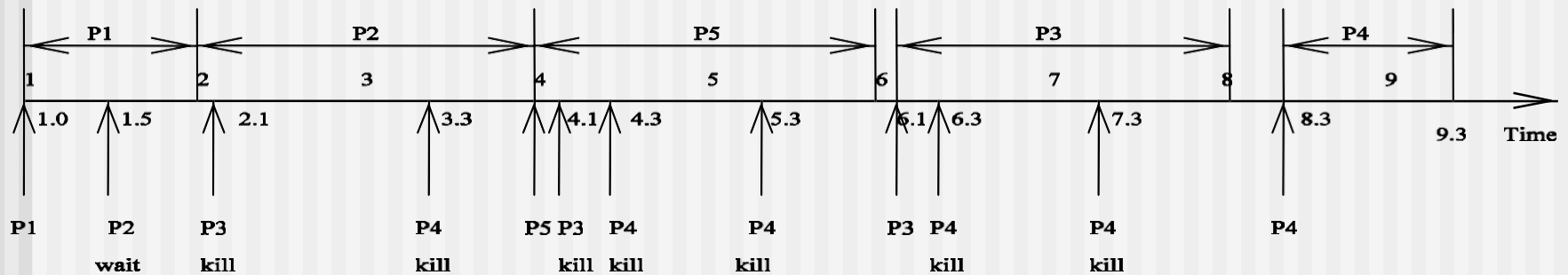
---

Process id	Priority	1 <sup>st</sup> request time	Length	Retry interval
P1	2	1	1	1
P2	1	1.5	2	1
P3	4	2.1	2	2
P4	5	3.3	1	1
P5	3	4.0	2	3

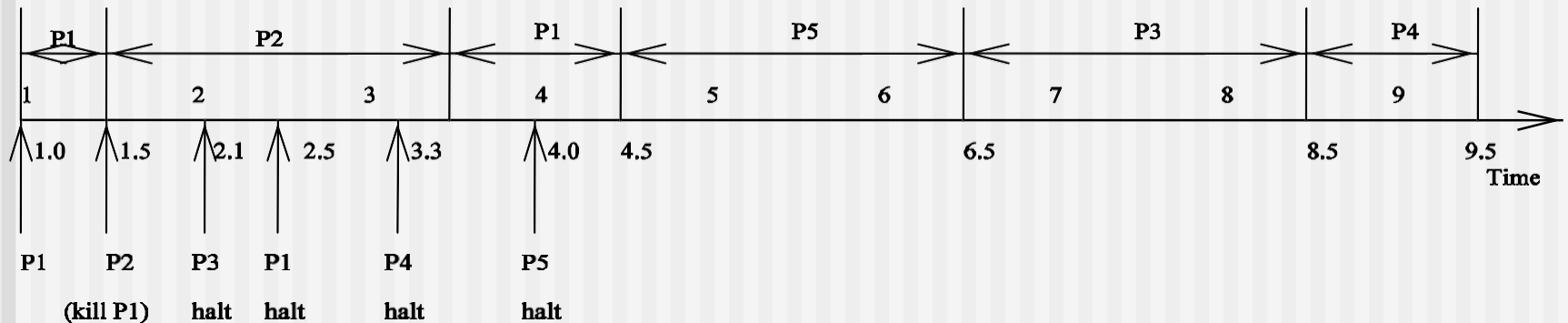
A system consisting of five processes.

# Example 13 (Cont'd)

wait-die:

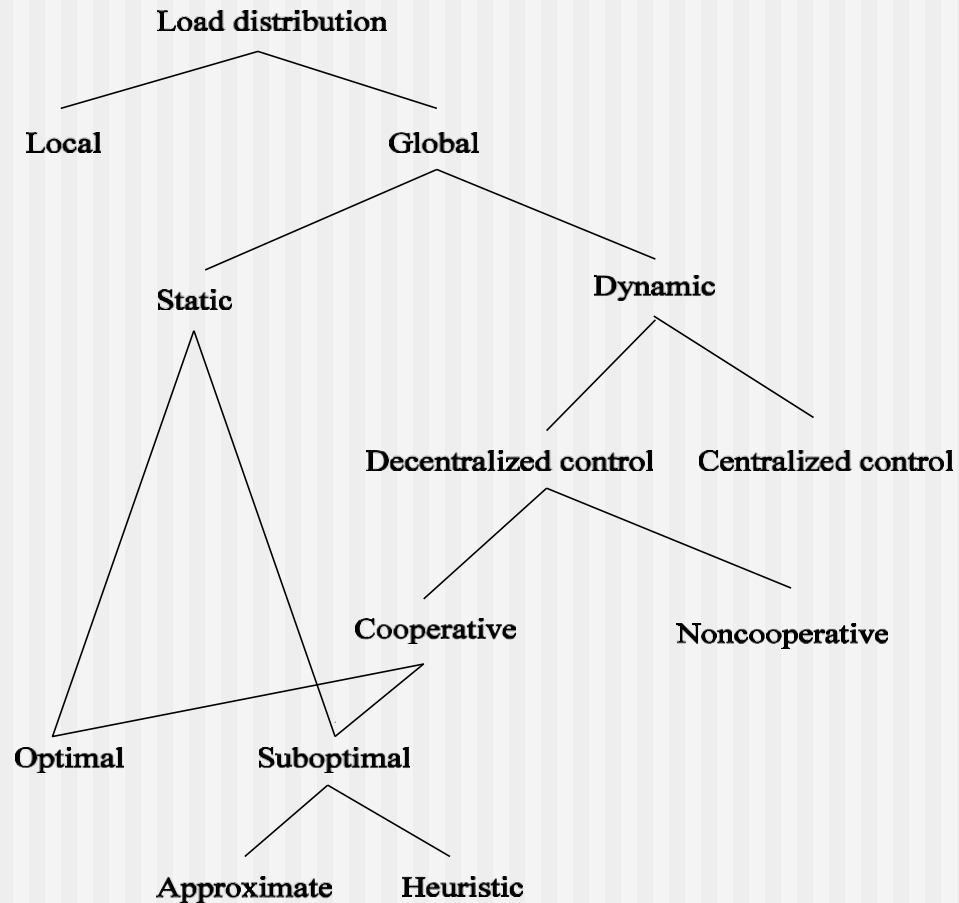


wound-wait:





# Load Distribution



A taxonomy of load distribution algorithms.

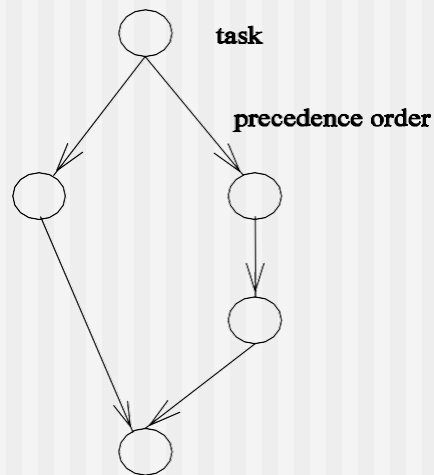
# Static Load Distribution (task scheduling)

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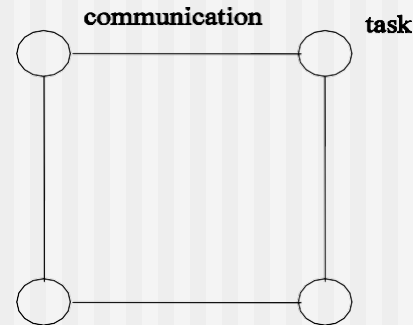
- Processor interconnections
- Task partition
  - Horizontal or vertical partitioning.
  - Communication delay minimization partition.
  - Task duplication.
- Task allocation

# Models

- **Task precedence graph:** each link defines the precedence order among tasks.
- **Task interaction graph:** each link defines task interactions between two tasks.



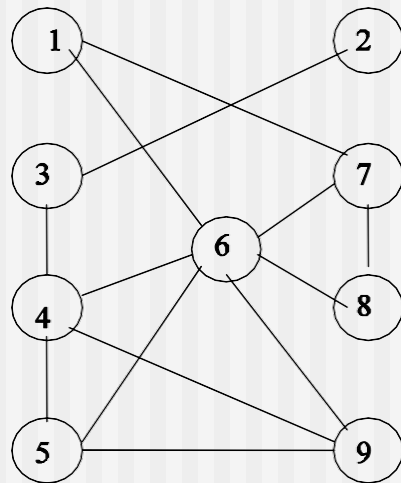
(a)



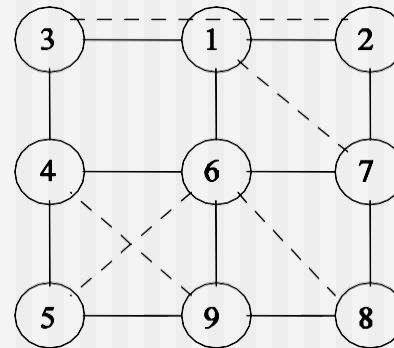
(b)

(a) Task precedence graph and (b) task interaction graph.

# Example 14



(a)



(b)

Mapping a task interaction graph (a)  
to a processor graph (b).

## Example 14 (Cont'd)

---

- The *dilation* of an edge of  $G_t$  is defined as the length of the path in  $G_p$  onto which an edge of  $G_t$  is mapped. The dilation of the embedding is the maximum edge dilation of  $G_t$ .
- The *expansion* of the embedding is the ratio of the number of nodes in  $G_t$  to the number of nodes in  $G_p$ .
- The *congestion* of the embedding is the maximum number of paths containing an edge in  $G_p$  where every path represents an edge in  $G_t$ .
- The *load* of an embedding is the maximum number of processes of  $G_t$  assigned to any processor of  $G_t$ .

# Periodic Tasks With Real-time Constraints

---

- Task  $T_i$  has request period  $t_i$  and run time  $c_i$ .
- Each task has to be completed before its next request.
- All tasks are independent without communication.

# Liu and Layland's Solutions (priority-driven and preemptive)

---

- *Rate monotonic scheduling* (fixed priority assignment). Tasks with higher request rates will have higher priorities.
- *Deadline driven scheduling* (dynamic priority assignment). A task will be assigned the highest priority if the deadline of its current request is the nearest.

# Schedulability

---

- Deadline driven schedule: iff

$$\sum_{i=0}^n c_i/t_i \leq 1$$

- Rate monotonic schedule: if

$$\sum_{i=0}^n c_i/t_i \leq n(2^{1/n} - 1);$$

may or may be not when

$$n(2^{1/n} - 1) < \sum_{i=0}^n c_i/t_i \leq 1$$



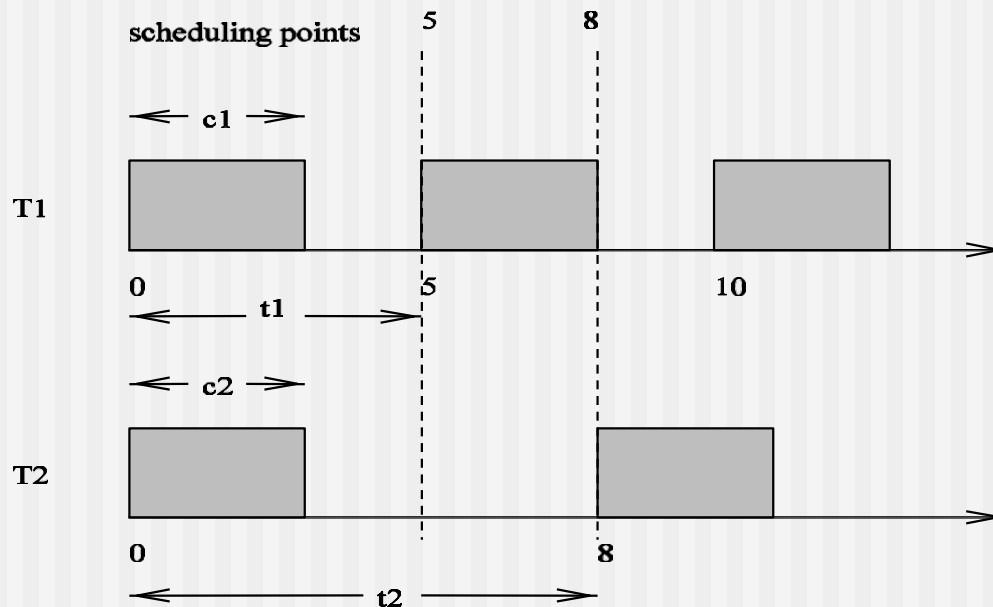
## Example 15 (schedulable)

---

- $T_1: c_1 = 3, t_1 = 5$  and  $T_2: c_2 = 2, t_2 = 7$  (with the same initial request time).
- The overall utilization is  $0.887 > 0.828$  (bound for  $n = 2$ ).

# Example 16 (un-schedulable under rate monotonic scheduling)

- $T_1: c_1 = 3, t_1 = 5$  and  $T_2: c_2 = 3, t_2 = 8$  (with the same initial request time).
- The overall utilization is  $0.975 > 0.828$



An example of periodic tasks that is not schedulable.

## Example 16 (Cont'd)

---

- If each task meets its first deadline when all tasks are started at the same time then the deadlines for all tasks will always be met for any combination of starting times.
- *scheduling points* for task  $T$  :  $T$ 's first deadline and the ends of periods of higher priority tasks prior to  $T$ 's first deadline.
- If the task set is schedulable for one of scheduling points of the lowest priority task, the task set is schedulable; otherwise, the task set is not schedulable.

# Example 17 (schedulable under rate monotonic schedule)

---

- $c_1 = 40$ ,  $t_1 = 100$ ,  $c_2 = 50$ ,  $t_2 = 150$ , and  $c_3 = 80$ ,  $t_3 = 350$ .
- The overall utilization is  $0:2 + 0:333 + 0:229 = 0:762 < 0:779$  (the bound for  $n > 3$ ).
- $c_1$  is doubled to 80. The overall utilization is  $0:4 + 0:333 + 0:229 = 0:962 > 0:779$ .
- The scheduling points for  $T_3$ : 350 (for  $T_3$ ), 300 (for  $T_1$  and  $T_2$ ), 200 (for  $T_1$ ), 150 (for  $T_2$ ), 100 (for  $T_1$ ).

## Example 17 (Cont'd)

---

$$c_1 + c_2 + c_3 \leq t_1,$$

$$40 + 50 + 80 > 100;$$

$$2c_1 + c_2 + c_3 \leq t_2,$$

$$80 + 50 + 80 > 150;$$

$$2c_1 + 2c_2 + c_3 \leq 2t_1,$$

$$80 + 100 + 80 > 200;$$

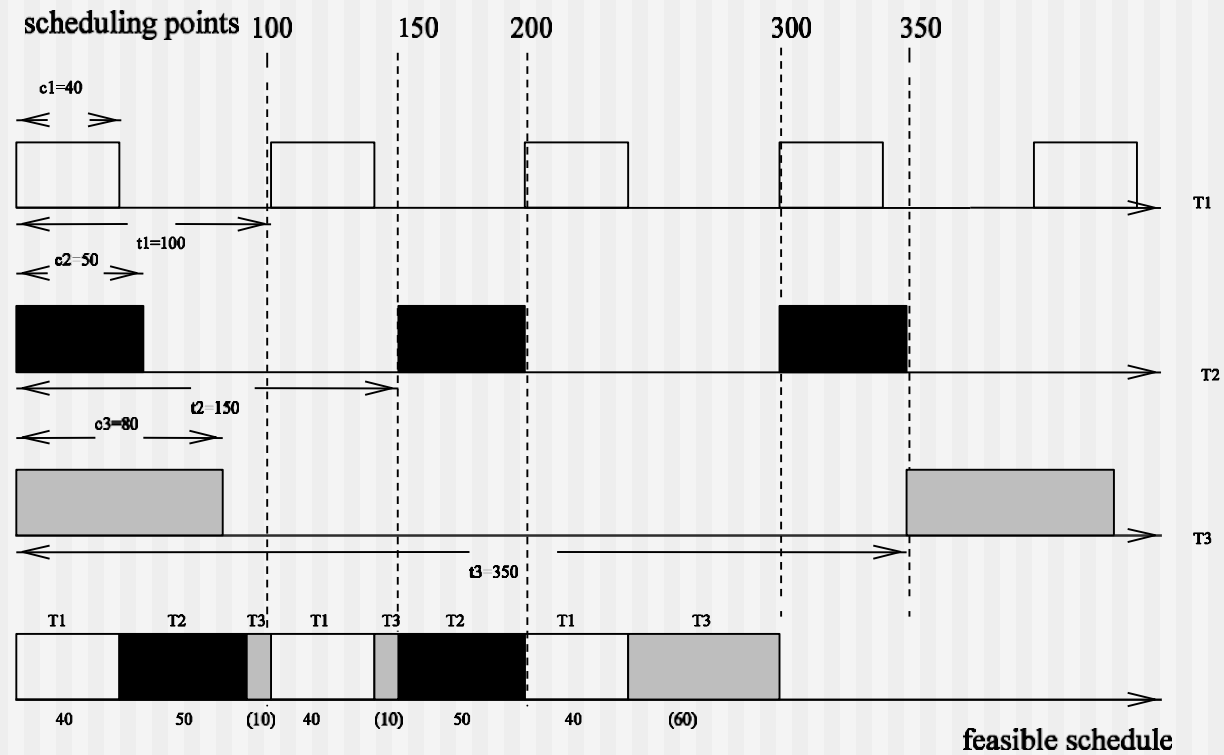
$$3c_1 + 2c_2 + c_3 \leq 2t_2,$$

$$120 + 100 + 80 = 300;$$

$$4c_1 + 3c_2 + c_3 \leq t_3,$$

$$160 + 150 + 80 > 350.$$

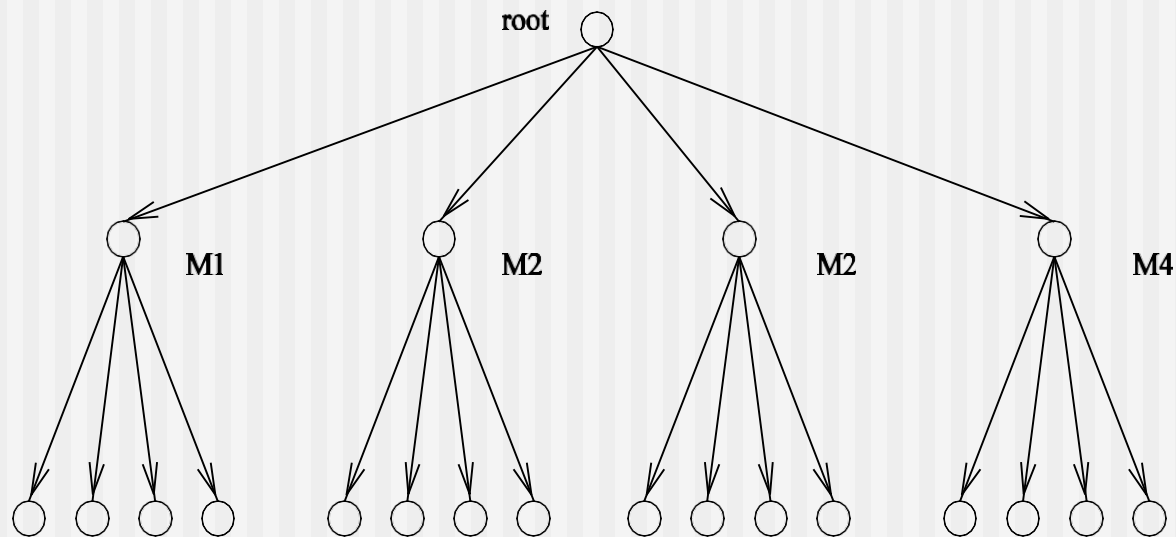
# Example 17 (Cont'd)



A schedulable periodic task.

# Dynamic Load Distribution (load balancing)

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A state-space traversal example.

# Dynamic Load Distribution (Cont'd)

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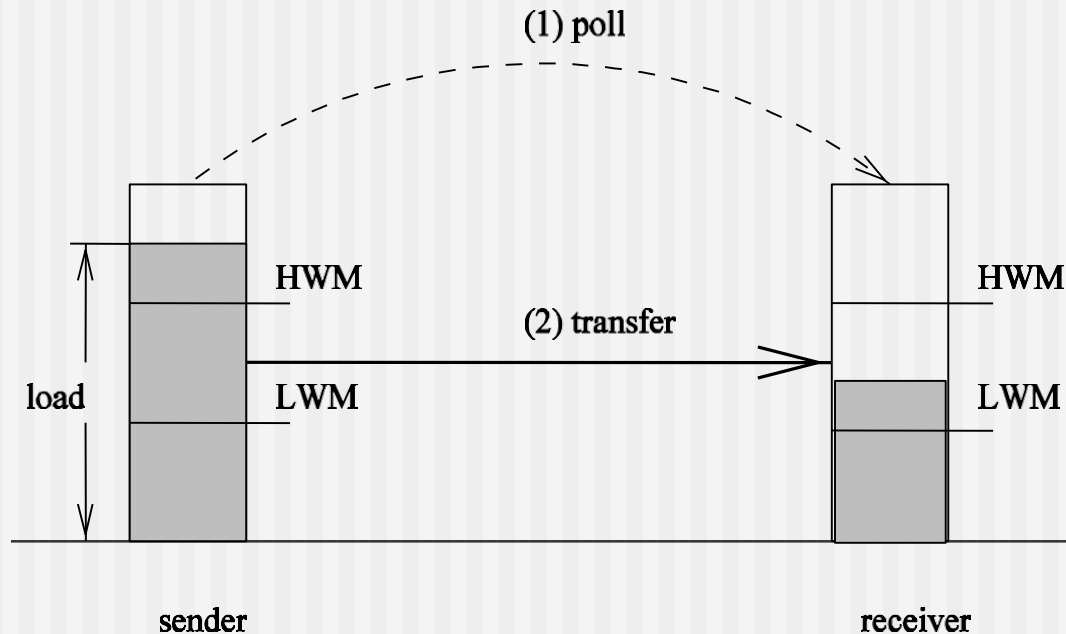
A dynamic load distribution algorithm has six policies:

- Initiation
- Transfer
- Selection
- Profitability
- Location
- Information



# Focus 13: Initiation

## Sender-initiated approach:



Sender-initiated load balancing.

## Focus 13 (Cont'd)

---

/\* a new task arrives \*/

queue length  $\geq$  HWM  $\rightarrow$

\* [ poll\_set :=  $\varnothing$ ;

[ | poll\_set | < poll\_limit  $\rightarrow$

[ select a new node u randomly;

poll\_set := poll\_set  $\cup$  node u;

queue\_length at u < HWM  $\rightarrow$

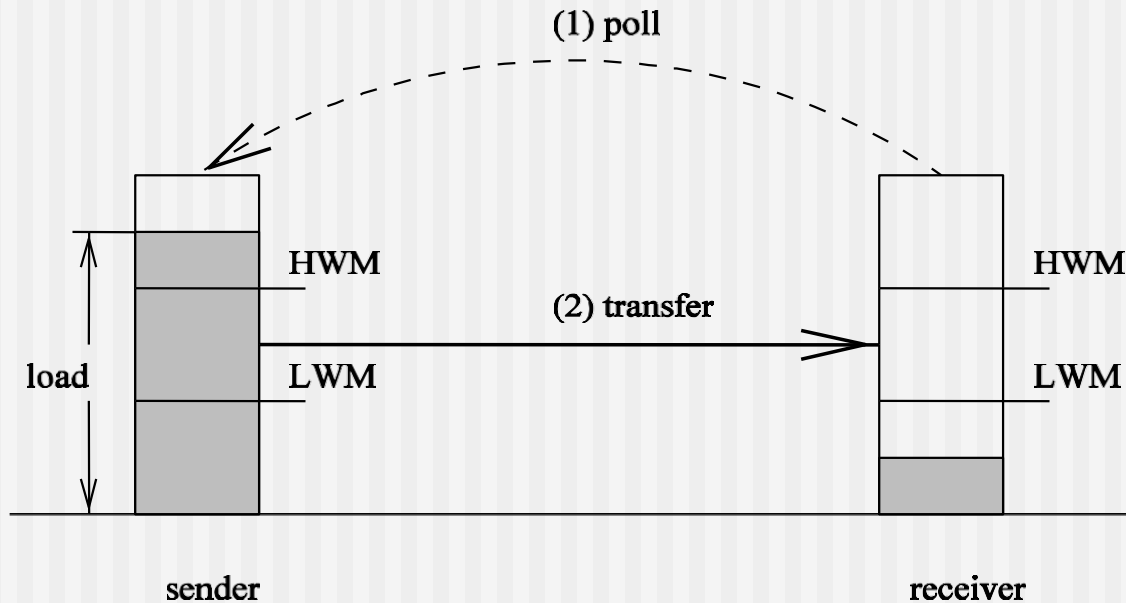
transfer a task to node u and **stop**

]

]

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# Receiver-Initiated Approach



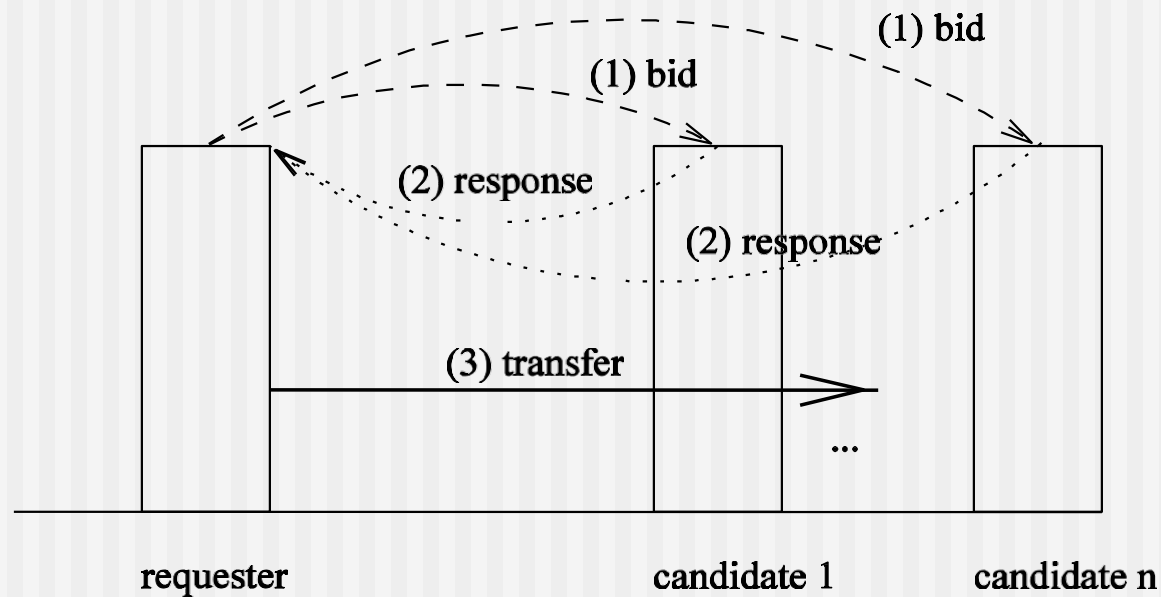
Receiver-initiated load balancing.

# Receiver-Initiated Approach (Cont'd)

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```
/* a task departs */
queue length < LWM →
[ poll limit:= $\varnothing$  ;
  * [ | poll_set | < poll limit →
    [ select a new node u randomly;
      poll_set := poll set  $\cup$  node u;
      queue_length at u > HWM →
        transfer a task from node u and stop
    ]
  ]
]
```

# Bidding Approach



Bidding algorithm.

# Focus 14: Sample Nearest Neighbor Algorithms

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## Diffusion

- At round  $t + 1$  each node  $u$  exchanges its load  $L_u(t)$  with its neighbors'  $L_v(t)$ .
- $L_u(t + 1)$  should also include new incoming load  $\varphi_u(t)$  between rounds  $t$  and  $t + 1$ .
- Load at time  $t + 1$ :

$$L_u(t + 1) = L_u(t) + \sum_{v \in A(u)} \alpha_{u,v}(L_v(t) - L_u(t)) + \varphi_u(t)$$

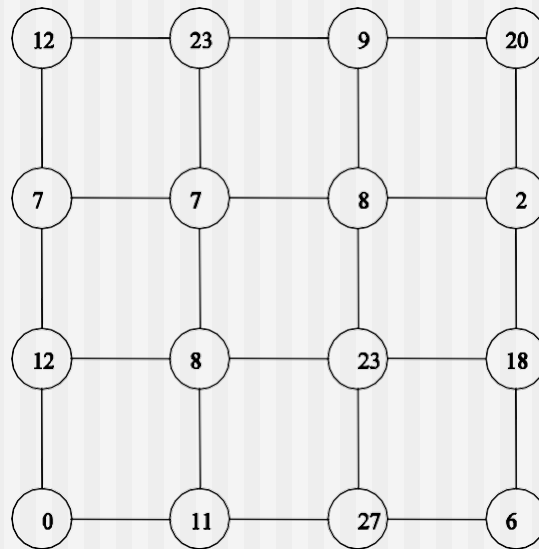
where  $0 \leq \alpha_{u,v} \leq 1$  is called the diffusion parameter of nodes  $u$  and  $v$ .

# Gradient

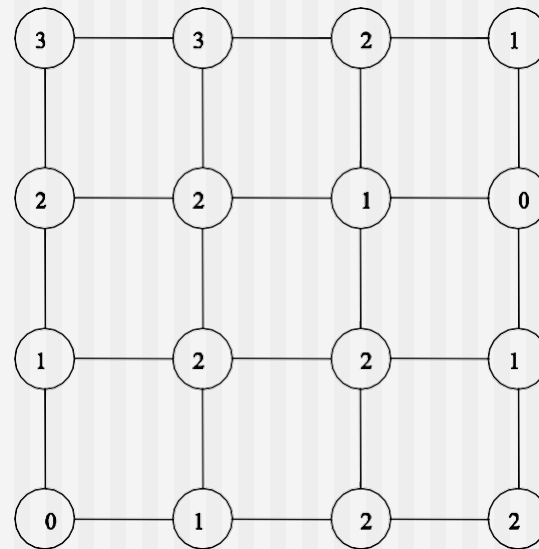
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- Maintain a contour of the gradients formed by the differences in load in the system.
- Load in high points (overloaded nodes) of the contour will flow to the lower regions (underloaded nodes) following the gradients.
- The *propagated pressure* of a processor  $u$ ,  $p(u)$ , is defined as  $p(u) =$ 
  - 0 (if  $u$  is lightly loaded)
  - $1 + \min\{p(v) | v \in A(u)\}$  (otherwise)

# Gradient (Cont'd)



(a)



(b)

(a) A 4 x 4 mesh with loads. (b) The corresponding propagated pressure of each node (a node is lightly loaded if its load is less than 3).

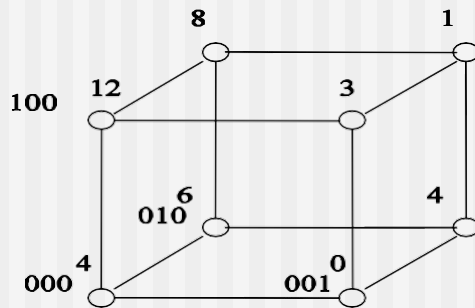


# Dimension Exchange: Hypercubes

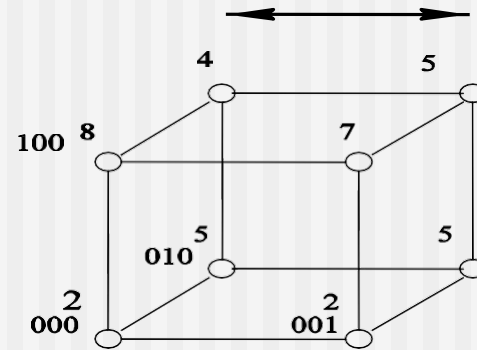
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- A sweep of dimensions (rounds) in the  $n$ -cube is applied.
- In the  $i^{\text{th}}$  round neighboring nodes along the  $i^{\text{th}}$  dimension compare and exchange their loads.

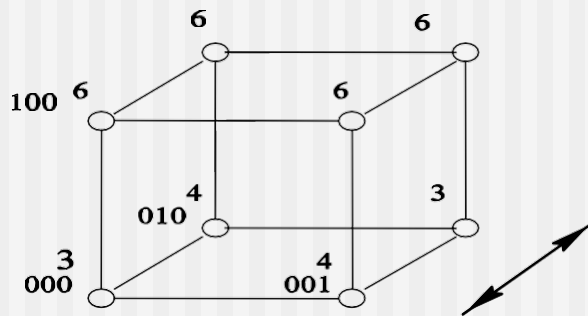
# Dimension Exchange: Hypercubes (Cont'd)



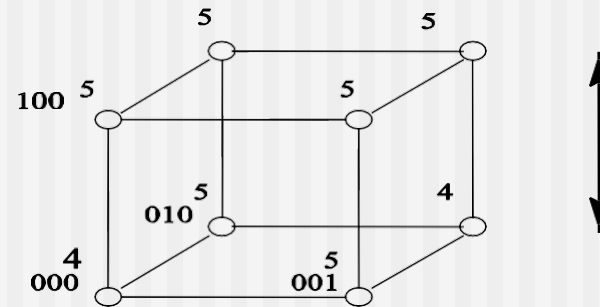
(a) initial load distribution



(b) dimension one exchange



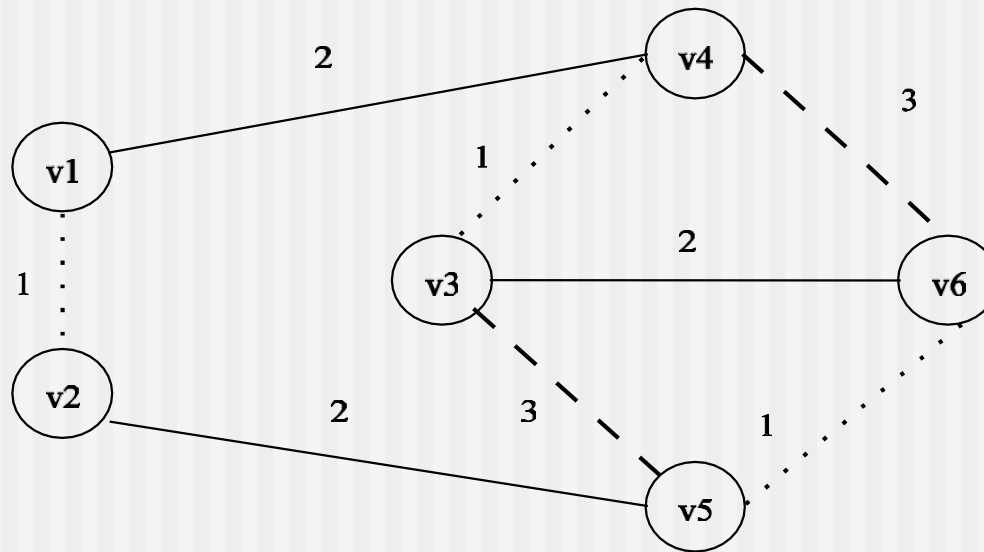
(c) dimension two exchange



(d) dimension three exchange

Load balancing on a healthy 3-cube.

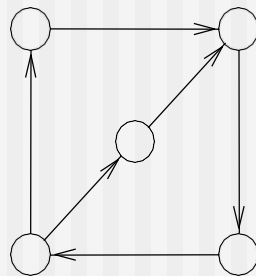
# Extended Dimension Exchange: Edge-Coloring



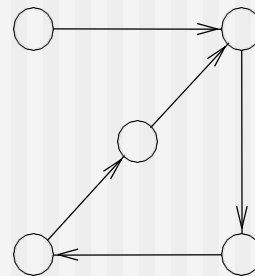
Extended dimension exchange model through edge-coloring.

## Exercise 4

1. Apply *wound-wait* and *wait-die* schemes to the example shown in Table 2.
2. Show the state transition sequence for the following system with  $n = 3$  and  $k = 5$  using Dijkstra's self-stabilizing algorithm. Assume that  $P_0 = 3$ ,  $P_1 = 1$ , and  $P_2 = 4$ .
3. Determine if there is a deadlock in each of the following wait-for graphs assuming the OR model is used.



(a)



(b)

## Exercise 4 (Cont'd)

Process id	Priority	1 <sup>st</sup> request time	Length	Retry interval	Resource(s)
P1	3	1	1	1	A
P2	4	1.5	2	1	B
P3	1	2.5	2	2	A,B
P4	2	3	1	1	B,A

Table 2: A system consisting of four processes.

4. Consider the following two periodic tasks (with the same request time)

■ Task  $T_1$ :  $c_1 = 4$ ,  $t_1 = 9$

■ Task  $T_2$ :  $c_2 = 6$ ,  $t_2 = 14$

(a) Determine the total utilization of these two tasks and compare it with Liu and Layland's least upper bound for the fixed priority schedule. What conclusion can you derive?

## Exercise 4 (Cont'd)

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- (b) Show that these two tasks are schedulable using the rate-monotonic priority assignment. You are required to provide such a schedule.
- (c) Determine the schedulability of these two tasks if task  $T_2$  has a higher priority than task  $T_1$  in the fixed priority schedule.
- (d) Split task  $T_2$  into two parts of 3 units computation each and show that these two tasks are schedulable using the rate-monotonic priority assignment.
- (e) Provide a schedule (from time unit 0 to time unit 30) based on deadline driven scheduling algorithm. Assume that the smallest preemptive element is one unit.

## Exercise 4 (Cont'd)

5. For the following 4 x 4 mesh find the corresponding propagated pressure of each node. Assume that a node is considered lightly loaded if its load is less than 2.

