Await and Deadlocks

CS 536: Science of Programming, Spring 2023

A. Why?

- Avoiding interference isn't the same as coordinating desirable activities.
- It's common for one thread to wait for another thread to reach a desired state.
- Care needs to be taken to avoid a program that waits with no hope of completing.

B. Objectives

At the end of this lecture you should know

- The syntax and semantics of the *await* statement.
- How to draw an evaluation diagram for a parallel program that uses await.
- How to recognize deadlocked configurations in an evaluation diagram.
- How to list the potential deadlock predicates for a parallel program that uses *await*.

C. Synchronization

The Need for Synchronization

- We've looked at parallel programs whose threads avoid bad interactions.
- They don't interfere because they don't interact (disjoint programs/conditions).
- They interact but don't interfere (interference-freedom).
- To supporting good interaction between threads, we often have to have one thread wait for another one. Some examples:
 - Thread 1 should wait until thread 2 is finished executing a certain block of code.
 - Thread 1 has to wait until some buffer is not empty
 - Thread 2 has to wait until some buffer is not full.
- The general problem is that we often want threads to synchronize: We want one thread to wait until some other thread makes a condition come true.
- *Example 1*: For a more specific example, in the following program, the calculation of u doesn't start until we finish calculating z, even though u doesn't depend on z.

[x:=...||y:=...||z:=...]; u=f(x,y); v:=g(u,z)

On the other hand, we can't nest parallel programs, so we can't write

[[[x:=...]|y:=...]; u=f(x,y)||z:=...]; v:=g(u,z)

which would be a natural way to do the calculations of u and z in parallel. In some sense, what we'd like is to run something like

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[x := ... || y := ... || wait for x and y; u = f(x, y) || z := ...]; v := g(u, z)

D. The Await Statement

- It's time to introduce a new statement, the *await* statement, whose semantics implements the notion of waiting until some condition is true.
 - Busy wait loops like *while* ¬ *B do skip od* { *B* } work but are wasteful.
- *Syntax: await B then S end* where *B* is a boolean expression and *S* is a statement.
 - *S* isn't allowed to have loops, *await* statements, or atomic regions.
 - *await* statements can only appear in sequential threads of parallel programs. (I.e., in some thread S_k in an [S₁ || S₂ || ...].)
- An *await* statement is a *conditional atomic region*. Suppose that some thread begins with *await B then S end*, then
 - We nondeterministically choose between all the available threads. I.e., there's no insistence that we must check the *await* before trying other threads. (See case 1 of Example 2.)
 - If we choose the thread that begins with *await B then S end*,
 - If *B* is true, then immediately jump to *S* and execute all of it.
 - The test, jump, and execution of *S* are atomic the combination executes as one step.
 E.g., with the configuration below, we can't set *x* to *1* between looking up the two *x*'s to use for calculating *x*+*x*. (See case 2 of Example 2.)
 - If *B* is false, we **block**: We wait until *B* is true. Instead, we nondeterministically choose between the other threads and execute it. (See case 3 of Example 2.)
- An *await* is similar to an atomic *if-then* statement, but not identical.
 - With < *if B then S else skip fi* >, if *B* is false, we execute *skip* and complete the *if-fi*. (See case 4, Example 2.)
 - With *await B then S end*, if *B* is false, nothing happens until *B* becomes true. (See the note with case 3, Example 2.)

Example 2:

- (See the discussion above)
 - Case 1: Let $A \equiv await B$ then x := x+x end in $\langle [await B \text{ then } x := x+x \text{ end } || x := 1] \{b=T, x=2\} \rangle$ $\rightarrow \langle [await B \text{ then } x := x+x \text{ end } || E], \{b=T, x=1\} \rangle.$
 - Case 2: $\langle [await B then x := x + x end | | x := 1], \{b=T, x=2\} \rangle \rightarrow \langle [E | | x := 1], \{b=T, x=4\} \rangle$. (This is the only transition that executes the *await*.)
 - Case 3: 〈[await B then S end || x := 1], {b=F} > → 〈[await B then S end || E], {b=F, x=1} >. (The second configuration is blocked, with no other thread available to unblock it.)
 - Case 4: $\langle [if B then x := 0 else skip fi || S'], \{b=F\} \rangle \rightarrow \langle [E || S'], \{b=F, x=0\} \rangle.$

Example 3: Execution of a non-atomic *if-fi* can be interleaved with. In Figure 1, the dashed red lines show how execution of *await* x ≥ 0 *then* x := x+1; y := x+2 end takes just one step to execute the entire body.

Solid black lines show execution steps taken only when $S \equiv if x \ge 0$ then x := x + 1; y := x + 2 fi Dashed red lines show steps taken only when $S \equiv await x \ge 0$ then x := x + 1; y := x + 2 end Dashed black lines are common to both executions.



Figure 1: Execution of *await* vs *if-fi*

• *Example 4*: In the introduction, we looked at a situation where we want to wait for some calculations to finish before stating others.

[x := ... || y := ... || wait for x and y; u = f(x, y) || z := ...]; v := g(u, z)can be implemented using

 $x_done := F; y_done := F;$

 $[x:=...; x_done:=T || y:=...; y_done:=T || await x_done \land y_done then u:=f(x,y) end || z:=...]; v:=g(u,z);$

E. await, wait, if, and $\langle S \rangle$

The Abbreviations $\langle S \rangle$ and wait B

• With *await B then S end*, there are two simple cases: When *B* is trivial and when *S* is trivial.

- **Definition**: We can redefine $\langle S \rangle$ to stand for *await T then S end*. When the test is trivially true, we don't need to wait, we simply execute the body atomically. So atomic execution is just conditional atomic execution with a trivial test.
- **Definition**: wait *B* ≡ await *B* then skip end. When the body is trivial, we simply wait; when *B* is true, execution is complete.
- There's a important difference between *wait B*; S and *await B then S end*.
 - With *await B then S end*, once *B* is true, we immediately atomically execute *S*, so no other statement can interleave between the test and running *S*. Therefore *S* can rely on *B* being true when it starts executing. If $\sigma(B) = T$, then $\langle [await B then S end | | ...], \sigma \rangle \rightarrow \langle [E | | ...], \tau \rangle$, where $\tau \in M(S, \sigma)$.
 - *wait B*; *S* means *await B then skip end*; *S*, so it allows another thread to be executed after the *wait* but before running *S*. If σ(*B*) = *T*, then ⟨*[wait B*; *S* || ...], σ⟩ → ⟨*[S* || ...], σ⟩ → *⟨*[E* || ...], τ⟩ (if no interleaving occurs). Since interleaving can occur, we rely on *B* being true when *S* starts execution.

F. Await Statement Proof Rule and Outlines

• The proof rule for the *await* statement is similar to an *if fi*, but there's no false clause (not even *else skip*).

await Statement (a.k.a. Synchronization Rule)

- 1. $\{p \land B\}S\{q\}$
- 2. $\{p\}$ await B then S end $\{q\}$ await, 1
- Minimal Proof Outline: { p } await B then S end { q }
- *Full Proof Outline*: { *p* } *await B then* { *p* ∧ *B* } *S**{ *q* } *end* { *q* } where S* is a full proof outline for program *S*.
- Weakest Preconditions: $wp(await B \text{ then } S \text{ end}, q) \equiv B \rightarrow wp(S,q)$.
 - This guarantees $\{B \rightarrow wp(S,q)\}$ await B then $\{wp(S,q)\}S^*\{q\}$ end $\{q\}$
- Note: It may be tempting to write { *p* ∧ ¬ *B* } *await B then* ..., but that's guaranteed to self-dead-lock; the outline is

 ${p \land \neg B}$ await B then ${p \land \neg B \land B}$ S* ${q}$ end ${q}$

G. The Producer/Consumer Problem

- The *Producer/Consumer Problem* (a.k.a. *Bounded Buffer Problem*) is a standard problem in parallel programming.
- We have two threads running in parallel: The producer creates things and puts them into a buffer; the consumer removes things from the buffer and does something with them.

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- The problem is that if the buffer is full, the producer shouldn't add anything to the buffer; if the buffer is empty, the consumer shouldn't remove anything from the buffer.
- *Example 5*: The rough code to solve this problem is

```
Initialize(buffer);
[while ¬ done do
                                    // Producer
   created := Create();
   await NotFull (buffer) then
       BufferAdd (buffer, created)
   end
od
|| while ¬ done do
                                    // Consumer
   await NotEmpty (buffer) then
       removed := BufferRemove (buffer);
   end;
   Consume (removed)
   od
]
```

• Buffer operations need to be synchronized because the threads share the buffer. The threads don't share the created or removed objects, so the *Create* and *Consume* calls can go outside the *await* and interleave execution.

H. Deadlock

Blocked Threads; Deadlock

- Recall that $\langle [await B then S end; ... || ...], \sigma \rangle$ is blocked (must wait) if $\sigma(B) = F$.
 - If some other thread can make *B* true, then the await may eventually unblock.
 - E.g., *([await x > y then S end; ... || ...; x := y+1;...]*, σ) could unblock.
 - But if all the other threads have either completed or are themselves blocked, then there's no way for our *await* to unblock. E.g., take 〈 [*await B then S end*; ... || *E*], σ 〉. If thread 1 is stuck at the *await* but thread 2 has completed, the program can't evaluate further.
- *Definition*: A parallel program is *deadlocked* if it has not finished execution and there's no possible evaluation step to take. I.e., all the threads are either complete or blocked and at least one thread is blocked.
- If all the other threads are complete or are blocked, the program is *deadlocked:* There's no possible evaluation step leaving from the configuration.
- *Example 6*: If A ≡ *await* x ≥ 0 ... *end*, then there's no arrow out of ⟨[A || A], σ[x ↦ −1]⟩, so this configuration is deadlocked. If the value of x had been ≥ 0, then both *await* statements would have been eligible for execution.

Since only one blocked thread is required for deadlock, $\langle [await \ x \ge 0 \dots end | | E], \sigma [x \mapsto -1] \rangle$ is also deadlocked.

- Threads can block themselves (trivial example: *await false then S end*).
 - More often, threads block because they're waiting for conditions they expect other threads to establish. E.g., if we're running in a state where *y*=0 and *x*=0, then these two threads deadlock:
 - Thread 1: { *p*₁} *await y*≠0 *then x* := 1 ; ...
 - Thread 2: { *p*2} *await x*≠0 *then y* := 1 ; ...
- A program might deadlock under all execution paths or only certain execution paths.
- Example 7: The program

```
[await y \neq 0 then x := 1 end || await x \neq 0 then y := 1 end]
```

deadlocks iff you execute in a state where x and y are both zero

Example 8: If thread 1 sets x := 0 before thread2 evaluates its *wait x*, then thread 2 will block. (Recall *wait x* ≡ *await x then skip end.*)

{*T*} *x*:=1; *y*:=1; [*wait y*=1; *x*:=0 || *wait x*=1; *y*:=0] {*x*=0 \ *y*=0}

Figure 2 contains an execution graph for this program in state $\{x = 1, y = 1\}$ (somewhat abbreviated). There are two deadlocking paths (and four paths that terminate correctly).

- Obviously, we'd like to know if a program is going to deadlock. The following test identifies a set of predicates that indicate potential problems with a program; if none of these predicates is satisfiable, then deadlock is guaranteed not to occur.
- If one or more of these predicates is satisfiable, then we can't guarantee that deadlock will not occur, but we aren't guaranteeing that deadlock *must* occur. (So the deadlock conditions are sufficient to show deadlock is impossible but they are not necessary conditions.)
- Let $\{p\}[\{p_1\}S_1*\{q1\} || \{p2\}S_2*\{q2\} || ... || \{p_n\}S_n*\{q_n\}]\{q\}$ be a full outline for a parallel program, where $p \equiv p_1 \land ... \land p_n$ and $q \equiv q_1 \land ... \land q_n$.
- **Definition**: A (**potential**) **deadlock condition** for the program outline above is a predicate of the form $r1' \wedge r2' \wedge ... \wedge r_n'$ where each r_k' is either
 - q_k , the postcondition for thread S_k or
 - $p \land \neg B$ where $\{p\}$ await B... appears in the proof outline for thread S_k .
 - In addition, at least one of the r_k ' must involve waiting. I.e., $q \equiv q_1 \land ... \land q_n$ is not a potential deadlock condition.
- A program outline is *deadlock-free* if every one of its potential deadlock conditions is unsatisfiable (i.e., a contradiction):
 - I.e., for each deadlock condition r', we have $\vDash \neg r'$ (or the equivalent $\vDash r' \rightarrow F$).

Parallelism with Deadlock Freedom

1. $\{p_1\}S_1*\{q_1\}$ 2. $\{p_2\}S_2*\{q_2\}$... n. $\{p_n\}S_n*\{q_n\}$ $n+1. \{p_1 \land p_2 \land ... \land p_n\}$ $\{S_1 \mid \mid S_2 \mid \mid ... \mid \mid S_n\}$ $\{q_1 \land q_2 \land ... \land q_n\}$ D.P. w/o deadlock, 1, 2, ..., n where the $\{p_k\}S_k*\{q_k\}$ are pairwise interference-free standard proof outlines

and the parallel program outline is deadlock-free.

I. Examples of Deadlock Conditions

• *Example 9*: Let's take the program from Example 7:

[await $y \neq 0$ then x := 1 end || await $x \neq 0$ then y := 1 end]

and develop an annotation for it:

 $\{T\}$

- $[{T} await y \neq 0 then {y \neq 0} x := 1 {x \neq 0 \land y \neq 0} end {x \neq 0 \land y \neq 0}$
- $|| \{T\}$ await $x \neq 0$ then $\{x \neq 0\} y := 1 \{x \neq 0 \land y \neq 0\}$ end $\{x \neq 0 \land y \neq 0\}$
- $]{x\neq 0 \land y\neq 0}$
- Let set $D_1 = \{x \neq 0 \land y \neq 0, y = 0\}$ be the choices for p_1' .
- $x \neq 0 \land y \neq 0$ is the thread postcondition
- *y*=0 indicates thread 1 is blocked at the *await* statement.
- Similarly, let set $D_2 = \{x \neq 0 \land y \neq 0, x = 0\}$ be the choices for p_2' (the postcondition of thread 2 and the blocking condition for its *await*).
- There are three choices for the potential deadlock predicate $r1' \wedge r2'$:
- $(x \neq 0 \land y \neq 0) \land (x = 0)$, which is a contradiction.
- $(y=0) \land (x \neq 0 \land y \neq 0)$, which is a contradiction.
- $(y=0) \land (x=0)$, which is not a contradiction, therefore, it's a potential deadlock condition, and our program does not pass the deadlock-freedom test.
- Recall (*x*≠0 ∧ *y*≠0) ∧ (*x*≠0 ∧ *y*≠0) is not a potential deadlock predicate because it says that the two threads have both completed.
- One way out of this predicament is to make the initial precondition the negation of y=0 ∧ x=0.
 Let p be (x≠0 ∨ y≠0) in

{p}
[{p} await y=0 then {p \ y=0}x:=1 {x=0 \ y=0} end {x=0 \ y=0}
|| {p} await x=0 then {p \ x=0}y:=1 {x=0 \ y=0} end {x=0 \ y=0}
]{x=0 \ y=0}

- Let $D_1 = \{x \neq 0 \land y \neq 0, p \land y = 0\}$ and let $D_2 = \{x \neq 0 \land y \neq 0, p \land x = 0\}$.
- The three potential deadlock predicates are now contradictory
 - $(x \neq 0 \land y \neq 0) \land (p \land x = 0)$ (is false because of $x \neq 0 \land x = 0$)
 - $(p \land y=0) \land (x \neq 0 \land y \neq 0)$ (is false because of $y=0 \land y \neq 0$)
 - $(p \land y=0) \land (p \land x=0)$ $\equiv ((x \neq 0 \lor y \neq 0) \land y=0) \land ((x \neq 0 \lor y \neq 0) \land x=0)$ $\Rightarrow (x \neq 0 \land y=0) \land (y \neq 0 \land x=0)$ $\Rightarrow F$
- (end of example 9)
- *Example 10*: Since it has three threads, the deadlock conditions for this program are a bit more involved than for Example 9. Thread 1 has one *await* statement, thread 2 has two *await* statements, and thread 3 has no *await* statements.
 - $[...{p_{11}} await B_{11} ... {q_1}]$ || ...{ p_{21} } await $B_{21} ... {p_{22}}$ await $B_{22}...{q_2}$ || ...{ q_3 }]
- The deadlock conditions are built using the three sets

•
$$D_1 = \{ p_{11} \land \neg B_{11}, q_1 \}$$

•
$$D_2 = \{ p_{21} \land \neg B_{21}, p_{22} \land \neg B_{22}, q_2 \}$$

- $D_3 = \{q_3\}.$
- Let *D* be the set of deadlock conditions, $D = \{r_1 \land r_2 \land r_3 \mid r_1 \in D_1, r_2 \in D_2, r_3 \in D_3\} \{q_1 \land q_2 \land q_3\}$. Specifically, we get the following $(2 \times 3 \times 1 - 1 = 5)$ conditions:

$D=\{(p_{11}\wedge \neg B_{11})\wedge (p_{21}\wedge \neg B_{21})\wedge q_3,$	— Thread 1 blocked; thread 2 blocked at 1st await
$(p_{11} \wedge \neg B_{11}) \wedge (p_{22} \wedge \neg B_{22}) \wedge q_3,$	— Thread 1 blocked; thread 2 blocked at 2nd await
$(p_{11} \wedge \neg B_{11}) \wedge q_2 \wedge q_3,$	— Thread 1 blocked
$q_1 \wedge (p_2 \wedge \neg B_{21}) \wedge q_3,$	— Thread 2 blocked at 1st await
$q_1 \wedge (p_{22} \wedge \neg B_{22}) \wedge q_3 \}$	— Thread 2 blocked at 2nd await

• The program will be deadlock-free if every predicate in *D* is a contradiction (i.e., unsatisfiable).

J. Strengthening Deadlock Conditions

- Having all deadlock conditions be contradictory is sufficient for guaranteeing that no program execution will deadlock.
- It's not a necessary condition, however. Just because some $r \in D$ is satisfiable, that doesn't mean that there exists a program execution that can get to the corresponding deadlocked configuration.
- *Example 11*: Here's an example of strengthening conditions so that we can prove deadlock freedom. The program is small enough for us to be able to hand-verify that it never deadlocks (by figuring out all possible interleavings).

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 $\{T\}$ n := 0; [await n=0 then n := 1 end || wait n=1] $\{n > 0\}$

• If we annotate the program as below, we have sequential correctness for each thread, plus the threads are interference-free:

{T} n:= 0; {T}
[{T} await n=0 then n:= 1 end {n>0}
|| {T} wait n=1 {n>0}
]{n>0}

- On the other hand, we can't prove deadlock freedom. There are $2 \times 2 1 = 3$ deadlock conditions and all of them are satisfiable:
 - $n \neq 0 \land n \neq 1$ Both threads blocked
 - $n \neq 0 \land n > 0$ Thread 1 blocked
 - $n > 0 \land n \neq 1$ Thread 2 blocked
- The problem here is that the proof outline's conditions are too weak. We want each deadlock condition to be logically equivalent to false, the strongest predicate.
- To make a conjunctive formula stronger, we need to strengthen its conjuncts. For a deadlock-freedom test, we have two kinds of conjuncts:
 - (postcondition of thread)
 - (precondition of *await* statement) A¬ (test of *await* statement)
- By strengthening the postcondition of the initial assignment of *n* := 0 from true to *n*=0, we can strengthen the precondition of the first *await*:

{T} n := 0; { n=0 } [{ n=0 } await n=0 then { n=0 ^ n=0 } n := 1 end { n > 0 } || {T} await n=1 then { n=1 } skip { n=1 } end { n > 0 }] { n>0 }

- The potential deadlock conditions for the proof outline above are now
 - $(n=0 \land n\neq 0) \land n\neq 1$ Both threads blocked (contradiction)
 - $(n=0 \land n \neq 0) \land n > 0$ Thread 1 blocked (contradiction)
 - $n > 0 \land n \neq 1$ Thread 2 blocked (satisfiable)
- So two of the conditions are contradictory, but one condition is still satisfiable. To prove deadlock-freedom, we need to strengthen the conditions even more to include the state we get to when the first thread has executed and the second thread hasn't.
- Unfortunately, if we annotate the two threads as
 - { *n*=0 } *await n*=0 *then n* := 1 *end* { *n*=1 }
 - { *n*=1 } *wait n*=1 { *n*=1 }
- Then the precondition of the parallel program has to be (*n*=0) ∧ (*n*=1), which isn't possible. Even if it were, we'd need to be sure it follows form the strongest postcondition of *n* := 0.

```
T n := 0;

n = 0 \land n = 1 // \leftarrow error

[ n = 0 \land n = 1 \land n = 0 \text{ then } n := 1 \text{ end } \{n = 1\}

|| \{n = 1 \land m = 1 \land n = 1 \land n = 1\}

n = 1 \land n = 1 \land n = 1
```

Before thread 2 runs, it sees *n*=0 or *n*=1 depending on whether thread 1 has run yet. If we use that as the precondition for thread 2, then we get *n*=0 ∧ (*n*=0 ∨ *n*=1) as the precondition for the parallel program, which works:

```
 \{T\}n := 0; \\ n=0 \land (n=0 \lor n=1) \\ [\{n=0\} \text{ await } n=0 \text{ then } n := 1 \text{ end } \{n=1\} \\ || \{n=0 \lor n=1\} \text{ wait } n=1\{n=1\} \\ \{n=1 \land n=1\}\{n=1\}
```

- Better still, the deadlock conditions are now all contradictions, so we have deadlock-freedom
 - $(n=0 \land n\neq 0) \land ((n=0 \lor n=1) \land n\neq 1)$ Both blocked (contradiction)
 - $(n=0 \land n\neq 0) \land n=1$ Thread 1 blocked (contradiction)
 - $n=1 \land ((n=0 \lor n=1) \land n\neq 1)$ Thread 2 blocked (contradiction)
- Unfortunately, one of the interference freedom tests now fails:
 - Pass: { n=0 \ (n=0 \ n=1) } await n=0 then n := 1 end { n=0 \ n=1 }
 - Pass: $\{n=0 \land n=1\}$ await n=0 then n:=1 end $\{n=1\}$
 - Fail: $\{(n=0 \land n=1) \land n=0\}$ wait $n=1\{n=0\}$ wait n=1 definitely doesn't preserve n=0
- We can solve this problem by adding an auxiliary variable to say whether or not the first thread has run and set *n*=1. (end of Example 11)