CSE 120
Principles of Operating Systems
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Lecture 5: Synchronization

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• Homework 1 and Project 0 due today
• Homework 2 and Project 1 out
Thread Implementations

- User-level thread implementation
- Kernel-level thread implementation
- Pros and cons?
[lec4] Three multithreading models

• Many-to-One

• One-to-One

• Many-to-Many
Synchronization

• Threads cooperate in multithreaded programs
  ♦ To share resources, access shared data structures
    » Threads accessing a memory cache in a Web server
  ♦ To coordinate their execution
    » One thread executes relative to another (recall ping-pong)

• For correctness, we need to control this cooperation
  ♦ Threads *interleave executions arbitrarily* and at *different rates*
  ♦ Scheduling is not under program control

• We control cooperation using *synchronization*
  ♦ Synchronization enables us to restrict the possible interleavings of thread executions

• Discuss in terms of threads, also applies to processes
Shared Resources

We first focus on coordinating access to shared resources

• Basic problem
  ♦ If two concurrent threads (processes) are accessing a shared variable, and that variable is read/modified/written by those threads, then access to the variable must be controlled to avoid erroneous behavior

• Over the next few lectures, we will look at
  ♦ Mechanisms to control access to shared resources
    » Locks, mutexes, semaphores, monitors, condition variables, etc.
  ♦ Patterns for coordinating accesses to shared resources
    » Producer-consumer, reader-writer, etc.
Classic Example

• Suppose we have to implement a function to handle withdrawals from a bank account:

```java
withdraw (account, amount) {
    int balance = get_balance(account);
    balance = balance – amount;
    put_balance(account, balance);
    return balance;
}
```

• Now suppose that you and your significant other share a bank account with a balance of $1000

• Then you each go to separate ATM machines and simultaneously withdraw $100 from the account
Example Continued

• We’ll represent the situation by creating a separate thread for each person to do the withdrawals
• These threads run on the same bank server:

```c
withdraw (account, amount) {
    balance = get_balance(account);
    balance = balance – amount;
    put_balance(account, balance);
    return balance;
}
```

```c
withdraw (account, amount) {
    balance = get_balance(account);
    balance = balance – amount;
    put_balance(account, balance);
    return balance;
}
```

• What’s the problem with this implementation?
  ♦ Think about potential schedules of these two threads
Interleaved Schedules

- The problem is that the execution of the two threads can be interleaved:

```
balance = get_balance(account);
balance = balance – amount;

balance = get_balance(account);
balance = balance – amount;
put_balance(account, balance);

put_balance(account, balance);
```

- What is the balance of the account now?
- Is the bank happy with our implementation?
- This problem is known as a data race
Shared Resources

- The problem is that two concurrent threads (or processes) accessed a shared resource (account) without any synchronization.
- We need mechanisms to control access to these shared resources in the face of concurrency.
  - So we can reason about how the program will operate.
- Our example was updating a shared bank account.
- Also necessary for synchronizing access to any shared data structure.
  - Buffers, queues, lists, hash tables, etc.
When Are Resources Shared?

• Local variables are **not shared** (private)
  ♦ Refer to data on the stack
  ♦ Each thread has its own stack
  ♦ *Never pass/share/store a pointer to a local variable on the stack for thread T1 to another thread T2*

• Global variables and static objects are **shared**
  ♦ Stored in the static data segment, accessible by any thread

• Dynamic objects and other heap objects are **shared**
  ♦ Allocated from heap with malloc/free or new/delete
How interleaved can it get?

How contorted can the interleavings be?
- We'll assume that all instructions are atomic (either succeed completely or fail completely)
  - e.g., reads and writes of words
- We'll assume that a context switch can occur at any time
  - Examples may show code
  - But actually at instruction granularity
- We'll assume that you can delay a thread as long as you like as long as it's not delayed forever
Mutual Exclusion

- We want to use mutual exclusion to synchronize access to shared resources
  - Only one thread can access shared resources at a time
  - This allows us to have larger atomic blocks
- Code block that uses mutual exclusion to synchronize its execution is called a critical section
  - Only one thread at a time can execute in the critical section
  - All other threads are forced to wait on entry
  - When a thread leaves a critical section, another can enter
  - Example: bathrooms on airplanes
- What requirements would you place on a critical section?
Mutual Exclusion Using Critical Sections

A enters critical region

A leaves critical region

B attempts to enter critical region

B enters critical region

B leaves critical region

B blocked

Time

T₁ T₂ T₃ T₄
Critical Section Requirements

1) Mutual exclusion
   ♦ If one thread is in the critical section, then no other is

2) Progress
   ♦ If some thread T is not in the critical section, then T cannot prevent some other thread S from entering the critical section
   ♦ A thread in the critical section will eventually leave it

3) Bounded waiting (no starvation)
   ♦ If some thread T is waiting on the critical section, then T will eventually enter the critical section

4) Performance
   ♦ The overhead of entering and exiting the critical section is small with respect to the work being done within it
About Requirements

Requirements also expressed as three properties:

- **Safety property**: nothing bad happens
  - Mutual exclusion

- **Liveness property**: something good happens
  - Progress, Bounded Waiting

- **Performance property**
  - Performance

- Properties hold for each run, while performance depends on all the runs
  - Rule of thumb: When designing a concurrent algorithm, worry about safety first (but don't forget liveness!)
Mechanisms For Building Critical Sections

- **Locks**
  - Primitive, minimal semantics, used to build others

- **Semaphores**
  - Basic, easy to get the hang of, but harder to program with

- **Monitors / Conditional Variables**
  - High-level, requires language support, operations implicit

- **Messages**
  - Simple model of communication and synchronization based on atomic transfer of data across a channel
  - Direct application to distributed systems
“Too Much Milk” Problem

Roommate A
Look in fridge: out of milk
Leave for Ralphs
Arrive at Ralphs
Buy milk
Arrive home

Roommate B
Look in fridge: out of milk
Leave for Ralphs
Arrive at Ralphs
Buy milk
Arrive home

- How to enforce mutual exclusion?
A Possible Solution?

- Process can get context switched after checking milk and note, but before leaving note
- Why does it work for human?
Why does it work for people?

- Human can perform *test* (look for other person & milk) and *set* (leave note) at the same time.
Another Possible Solution?

Thread A

```java
leave noteA
if (no NoteB) {
    if (no Milk) {
        buy milk
    }
}
remove noteA
```

Thread B

```java
leave noteB
if (no NoteA) {
    if (no Milk) {
        buy milk
    }
}
remove noteB
```
“too much milk” Yet Another Possible Solution?

Thread A

```java
leave noteA
while (noteB)
    do nothing;
if (no Milk)
    buy milk;
remove noteA
```

Thread B

```java
leave noteB
if (no NoteA) {
    if (no Milk) {
        buy milk
    }
}
remove noteB
```

- Safe to buy
- If the other buys, quit
- Things we dislike this solution?
Remarks

• The last solution works, but
  ♦ life is too complicated
  ♦ A’s code is different from B’s
  ♦ busy waiting is a waste

• What we want is:

```
Acquire(lock);
if (noMilk)
    buy milk;
Release(lock);
```
Locks

• A lock is an object in memory providing two operations
  ♦ acquire(): to enter a critical section
  ♦ release(): to leave a critical section

• Threads pair calls to acquire and release
  ♦ Between acquire/release, the thread holds the lock
  ♦ acquire does not return until any previous holder releases
  ♦ What can happen if the calls are not paired?
Using Locks

withdraw (account, amount) {
    acquire(lock);
    balance = get_balance(account);
    balance = balance – amount;
    put_balance(account, balance);
    release(lock);
    return balance;
}

What happens when blue tries to acquire the lock?
Why is the “return” outside the critical section? Is this ok?
What happens when a third thread calls acquire?
Too much milk problem with locks

acquire(lock);
if (no Milk)
    buy milk;
release(lock);

Critical Section

- What is the problem with this solution?
Deep thinking

- How can we separate “checking” from “buying milk” and only lock “checking”?

```c
local_flag = FALSE;

Acquire(lock);
if (no note && noMilk) {
    leave note;
    local_flag = true; }
Release(lock);

If (local_flag) buy milk;
Acquire(lock)
If (local_flag) {
    local_flag = FALSE;
    remove note;}
Release (lock);
```
Implementing Locks

• How do we implement locks? Here is one attempt:

```c
struct lock {
    int held = 0;
}

void acquire (lock) {
    while (lock->held) ;
    lock->held = 1;
}

void release (lock) {
    lock->held = 0;
}
```

• This is called a **spinlock** because a thread spins waiting for the lock to be released

• Does this work?
Implementing Locks

- No. Two independent threads may both notice that a lock has been released and thereby acquire it.

```c
struct lock {
    int held = 0;
};

void acquire (lock) {
    while (lock->held) ;
    lock->held = 1;
}

void release (lock) {
    lock->held = 0;
}
```

A context switch can occur here, causing a race condition.
Implementing Locks

- The problem is that the implementation of locks has critical sections, too
- How do we stop the recursion?
- The implementation of acquire/release must be atomic
  - An atomic operation is one which executes as though it could not be interrupted
  - Code that executes “all or nothing”
- How do we make them atomic?
How do we make a piece of code atomic?

- What can cause the few lines to be not atomic?

- What causes context switches?

- Recall -- only way the OS dispatcher regains control is via **interrupts** (incl. explicit requests, i.e. syscalls)
  - E.g. typing -> keyboard interrupt -> handler -> kernel -> user process
Disabling Interrupts

- A possible implementation of lock using interrupts

```c
struct lock {
    
} void acquire (lock) {
    disable interrupts;
} void release (lock) {
    enable interrupts;
}
```

- Can two threads disable interrupts simultaneously?
On Disabling Interrupts

- Disabling interrupts blocks notification of external events that could trigger a context switch (e.g., timer)
- In a “real” system, this is only available to the kernel
  - Why?
- Disabling interrupts is insufficient on a multiprocessor
  - Interrupts are only disabled on a per-core basis
Need more help from hardware!

Why does it work for people?

- Human can perform *test* (look for other person & milk) and *set* (leave note) at the same time.
Atomic Instructions: Test-And-Set

- The semantics of test-and-set are:
  - Record the old value
  - Set the value to true
  - Return the old value

- Hardware executes it atomically!

```c
bool test_and_set (bool *flag) {
  bool old = *flag;
  *flag = True;
  return old;
}
```

- When executing test-and-set on “flag”
  - What is value of flag afterwards if it was initially False? True?
  - What is the return result if flag was initially False? True?
Using Test-And-Set

- Here is our lock implementation with test-and-set:

```c
struct lock {
    int held = 0;
};
void acquire (lock) {
    while (test-and-set(&lock->held));
}
void release (lock) {
    lock->held = 0;
}
```

- When will the while return? What is the value of held?
- What about multiprocessors?
Problems with Spinlocks

• The problem with spinlocks is that they are wasteful (busy wait!)
  ♦ If a thread is spinning on a lock, then the thread holding the lock cannot make progress (on a uniprocessor)

• How did the lock holder give up the CPU in the first place?
  ♦ Lock holder calls yield or sleep (voluntary), or
  ♦ Involuntary context switch

• Only want to use spinlocks as primitives to build higher-level synchronization constructs
Summarize Where We Are

- Goal: Use **mutual exclusion** to protect **critical sections** of code that access **shared resources**
- Method: Use locks (spinlocks or disable interrupts)
- Problem: Critical sections (CS) can be long

**Spinlocks:**
- Threads waiting to acquire lock spin in test-and-set loop
- Wastes CPU cycles
- Longer the CS, the longer the spin
- Greater chance for lock holder to be interrupted

**Disabling Interrupts:**
- Doesn’t work on multiprocessor
- Should not disable interrupts for long periods of time
- Can miss or delay important events (e.g., timer, I/O)
Higher-Level Synchronization

• Spinlocks and disabling interrupts are useful only for very short and simple critical sections
  ♦ Wasteful otherwise
  ♦ These primitives are “primitive” – can’t do anything other than mutual exclusion

• Need higher-level synchronization primitives that:
  ♦ Move waiters to the blocked queue (block waiters)
  ♦ Leave interrupts enabled within the critical section

• All synchronization requires atomicity
• So we’ll use our “atomic” locks as primitives to implement them
[lec 3] Process State Transition

Scheduler dispatch  →  Running

Create a process  →  Ready

Resource becomes available  →  Blocked

Wait for resource →  Ready

terminate →  Running

CSE 120 – Lecture 5 – Synchronization
Implementing Locks

- If cannot hold lock, give up CPU (move to block queue)
- Use a *guard* on the lock itself

```c
struct lock {
    int held = 0;
    int guard = 0;
    queue Q;
};

void acquire (lock) {
    disable interrupts;
    while (test-and-set(lock->guard)) ;
    if (lock->held == 0) {
        lock->held = 1;
        lock->guard = 0;
        enable interrupts;
        return;
    }
    put current thread on lock->Q;
    lock->guard = 0;
    enable interrupts;
    go to sleep;
}

void release (lock) {
    disable interrupts;
    while (test-and-set(lock->guard)) ;
    if (lock->Q is not empty)
        move a waiting thread to the ready queue;
    else
        lock->held = 0;
        lock->guard = 0;
        enable interrupts;
    }
```
Deep Thinking

• Why is this busy waiting (the while loop) not a concern?
  ♦ What’s our critical section here?

• Can we remove the disable/enable interrupts?
  ♦ With interrupts, when a process that gets the guard (pass the while loop) get context switched out, all other wait processes on other cores will be busy waiting
Next time...

• Read Chapters 30, 31