

# DCS216 Operating Systems

Lecture 14
Synchronization (3)

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#### Content

- Monitors
  - Condition Variables
- Synchronization within the Kernel
- POSIX Synchronization
- Alternative Approaches



- Although semaphores provide a convenient and effective mechanism for synchronization, using them incorrectly can result in errors that are difficult to detect.
- Incorrect use of semaphore operations:
- Examples 1: Suppose that a program interchanges the order in which the wait() and signal() operations on the semaphore mutex are executed, resulting in the following execution (mutual exclusion no longer holds):

```
signal(mutex);
...
// critical section
...
wait(mutex);
```



- Although semaphores provide a convenient and effective mechanism for synchronization, using them incorrectly can result in errors that are difficult to detect.
- Incorrect use of semaphore operations:
- Examples 2: Suppose that a program replaces signal() with wait(): (thread will permanently block on 2<sup>nd</sup> call to wait())

```
wait(mutex);
...
// critical section
...
wait(mutex);
```



- Although semaphores provide a convenient and effective mechanism for synchronization, using them incorrectly can result in errors that are difficult to detect.
- Incorrect use of semaphore operations:
- Examples 3: the same API (sem\_wait, sem\_post) for different purposes leads to confusion

```
void* producer(void* arg) {
   int next_produced;
   for (int i = 0; i < 10; i++) {
      next_produced = i;
      sem_wait(&empty); // Decrement empty count
      sem_wait(&mutex);
      // Add the item to the buffer
      buffer[in] = next_produced;
      in = (in + 1) % BUFFER_SIZE;
      printf("--> Produced %d. ", next_produced);
      printBuffer();

      sem_post(&mutex);
      sem_post(&full);
   }
}
```



- Although semaphores provide a convenient and effective mechanism for synchronization, using them incorrectly can result in errors that are difficult to detect.
- Incorrect use of semaphore operations:
- Examples 3: the same API (sem\_wait, sem\_post) for different purposes leads to confusion

```
void* producer(void* arg) {
                         int next produced;
                         for (int i = 0; i < 10; i++) {
                             next produced = i;
Programmers can get
                             sem wait(&mutex);
confused and interchange
                             sem_wait(&empty); // Decrement empty count
their orders by mistake
                             // Add the item to the buffer
without noticing, leading
                             buffer[in] = next produced;
to deadlocks or other bugs.
                             in = (in + 1) % BUFFER SIZE;
                             printf("--> Produced %d. ", next_produced);
                             printBuffer();
                             sem post(&mutex);
                             sem post(&full);
```



- Although semaphores provide a convenient and effective mechanism for synchronization, using them incorrectly can result in errors that are difficult to detect.
- Incorrect use of semaphore operations
- **Solution:** (a cleaner separation of functions)
  - Avoid using semaphores for both Mutual Exclusion and Scheduling
     Constraints
  - Use Locks for Mutual Exclusion
  - Use Condition Variables for Scheduling Constraints



# ■ Monitors (管程)

To deal with such errors caused by incorrect use of semaphores, one strategy is to incorporate simple synchronization tools as high-level constructs.



# ■ Monitors (管程)

- To deal with such errors caused by incorrect use of semaphores, one strategy is to incorporate simple synchronization tools as high-level constructs.
- Monitor: A high-level abstraction that provides a convenient and effective mechanism for synchronization
- A Monitor type is an **Abstract Data Type** (**ADT**) that includes a set of programmer-defined operations that are provided with mutual exclusion within the monitor.

```
Monitor monitor_name {
    /* shared variable declarations */

    function P1 (...) { ... }
    function P2 (...) { ... }
    function P3 (...) { ... }

initialization_code (...) {...}
}
```

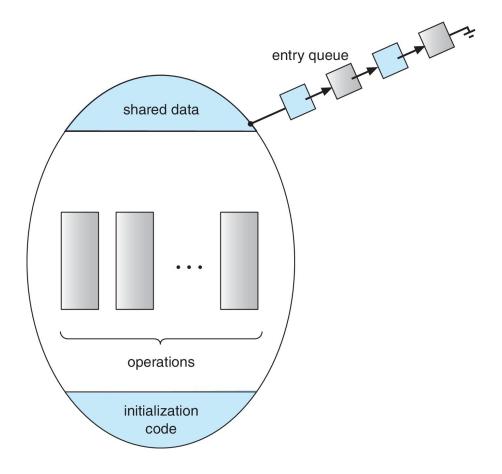


# ■ Monitors (管程)

- Sharing: A monitor is shared by concurrent processes/threads
- Encapsulation & Security: The representation of a monitor cannot be used directly by the processes/threads
  - Only the functions defined within a monitor can access the shared variables declared within the monitor
- Mutual Exclusion: The monitor construct ensures that only one process/thread at a time is active within the monitor.
  - Programmers does not need to code this synchronization explicitly
  - Shared data are protected by placing them within the monitor
  - The monitor locks shared data upon process entry



Schematic View of a Monitor





- With only Mutex Locks and Semaphores, the monitor is not sufficiently powerful for modeling some synchronization schemes.
- Sometimes, we wish to check whether a condition is true before we continue its execution.

```
Monitor bounded buffer {
    /* shared variables */
    Condition not_full;
    Condition not_empty;
    void Producer() {
        wait(not full);
        signal(not empty);
    void Consumer() {
        wait(not_empty);
        signal(not_full);
    }
```



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- Sometimes, we wish to check whether a condition is true before we continue its execution.

```
Monitor bounded buffer {
    /* shared variables */
    Condition not full;
    Condition not empty;
    void Producer() {
        wait(not_full);
        signal(not empty);
    void Consumer() {
        wait(not_empty);
        signal(not full);
    }
```

Producer should wait when the buffer is full. It should continue only if (not\_full == true)



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```
Monitor bounded buffer {
    /* shared variables */
    Condition not full;
    Condition not empty;
    void Producer() {
        wait(not full);
        signal(not_empty);
    void Consumer() {
        wait(not_empty);
        signal(not full);
```

After the Producer creates an item, it should notify (signal) the Consumer that the buffer is now not\_empty.



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- Sometimes, we wish to check whether a condition is true before we continue its execution.

```
Monitor bounded buffer {
    /* shared variables */
    Condition not full;
    Condition not_empty;
    void Producer() {
        wait(not full);
        signal(not empty);
    void Consumer() {
        wait(not_empty);
        signal(not full);
    }
```

After the Producer creates an item, it should notify (signal) the Consumer that the buffer is now not\_empty, potentially unblocking Consumer.



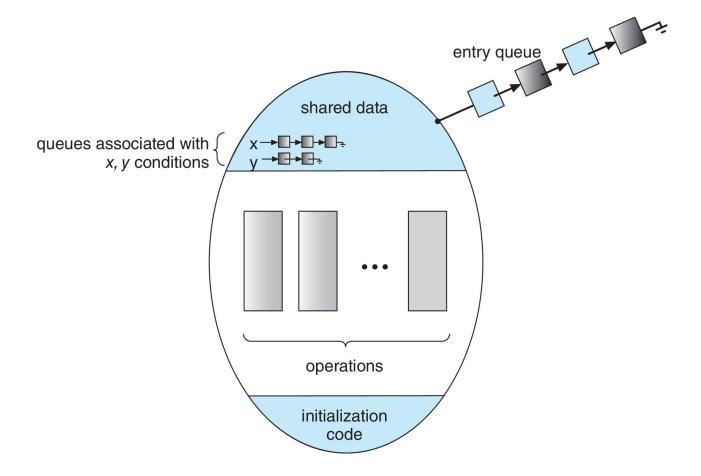
- condition x, y;
- Two operations are allowed on a condition variable:
  - x.wait(): the calling thread that invokes wait() is suspended...until x.signal().
  - x.signal():resumes (wakes up) one of the threads (if any)
    - ...that invoked x.wait()
    - If no x.wait() on the condition variable x, then it has no effect on condition variable x.
    - In contrast to `semaphore.signal()`, which always affects the state of the semaphore.
    - In other words, condition variables are stateless, while semaphores are stateful.



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    - In other words, condition variables are stateless, while semaphores are stateful.
  - x.broadcast():resumes all threads that invoked x.wait().
    - Often seen in other implementations, such as pthread\_cond\_broadcast() and Java Threads API

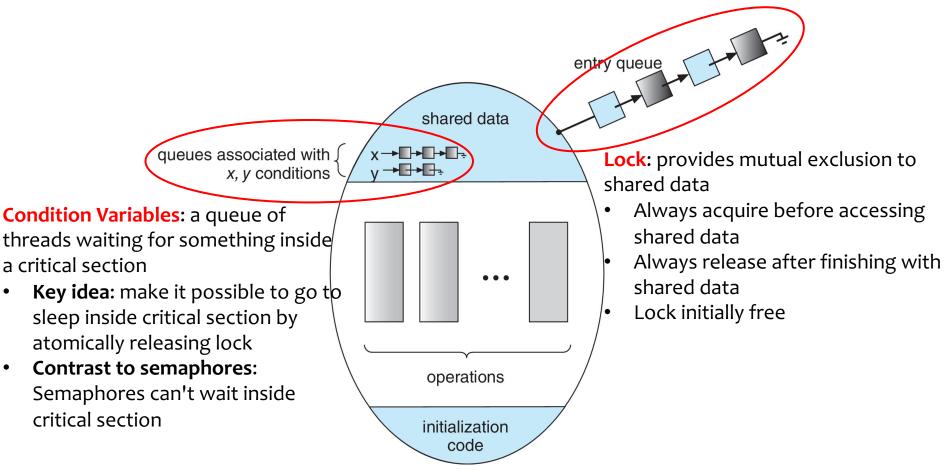


Schematic View of a Monitor with Condition Variables





Schematic View of a Monitor with Condition Variables



**Monitor:** a lock with zero or more condition variables for managing concurrent access to shared data.



#### POSIX API for Condition Variables

- Data type:
  - pthread\_cond\_t cond;
- Basic operations:
  - pthread\_cond\_wait(&cond, &mutex);
    - Atomically put current thread to block on the condition variable cond and release the mutex lock mutex
  - pthread\_cond\_signal(&cond);
    - Wake up one of the threads (if any) that blocks on cond.
  - pthread\_cond\_broadcast(&cond);
    - Wake up all threads (if any) that block on cond.



```
/* parent wait.c */
#include <stdio.h>
#include <unistd.h>
#include <pthread.h>
void *child(void *arg) {
    printf("Child\n");
    // How to indicate we are done?
    return NULL;
int main() {
    pthread t p;
    printf("Parent BEGIN\n");
    pthread create(&p, NULL, child, NULL);
    // How to wait for child?
    printf("Parent END\n");
    sleep(1);
    return 0;
```

```
$ ./parent_wait
Parent BEGIN
Parent END
Child
```



```
/* parent wait2.c */
#include <stdio.h>
#include <unistd.h>
#include <pthread.h>
int done = 0;
void *child(void *arg) {
    printf("Child\n");
    // How to indicate we are done?
    done = 1;
    return NULL;
int main() {
    pthread t p;
    printf("Parent BEGIN\n");
    pthread create(&p, NULL, child, NULL);
    pthread join(p, NULL);
    // How to wait for child
    while (done == 0)
              // Spin
    printf("Parent END\n");
    sleep(1);
    return 0;
```

```
$ ./parent_wait2
Parent BEGIN
Child
Parent END
```

- The most natural approach is to use a shared global variable done as a flag to indicate whether child thread is done.
  - Before child process terminate, setdone = 1
- 3. In the parent thread, keep checking the value of done before proceeding.

**Disadvantage:** Hugely inefficient as the parent spins and wastes CPU cycles.



```
/* parent wait3.c */
#include <stdio.h>
#include <unistd.h>
#include <pthread.h>
void *child(void *arg) {
    printf("Child\n");
    // How to indicate we are done?
    pthread exit(NULL);
int main() {
    pthread t p;
    printf("Parent BEGIN\n");
    pthread create(&p, NULL, child, NULL);
    // How to wait for child?
    pthread join(p, NULL);
    printf("Parent END\n");
    sleep(1);
    return 0;
```

```
$ ./parent_wait3
Parent BEGIN
Child
Parent END
```

Remember pthread\_join() and pthread\_exit()?

Obviously, they solve this problem perfectly.

But, how are they implemented under the hood?



```
/* parent wait4.c */
#include <stdio.h>
#include <unistd.h>
#include <pthread.h>
void *child(void *arg) {
    printf("Child\n");
    // How to indicate we are done?
    my thread exit();
int main() {
    pthread t p;
    printf("Parent BEGIN\n");
    pthread create(&p, NULL, child, NULL);
    // How to wait for child?
    my thread join();
    printf("Parent END\n");
    sleep(1);
    return 0;
```

Here, we demonstrate a simple implementation of thread\_exit() and thread\_join() using Monitors, which is basically {lock + condition variables}.



```
/* parent wait4.c */
#include <stdio.h>
#include <unistd.h>
#include <pthread.h>
void *child(void *arg) {
    printf("Child\n");
    // How to indicate we are done?
    my thread exit();
int main() {
    pthread t p;
    printf("Parent BEGIN\n");
    pthread create(&p, NULL, child, NULL);
    // How to wait for child?
    my thread join();
    printf("Parent END\n");
    sleep(1);
    return 0;
```

```
$ ./parent_wait4
Parent BEGIN
Child
Parent END
```

```
int done = 0;
pthread mutex t mutex = PTHREAD MUTEX INITIALIZER;
pthread cond t cond = PTHREAD COND INITIALIZER;
void my thread exit() {
    pthread mutex lock(&mutex);
    done = 1;
    pthread cond signal(&cond);
    pthread mutex unlock(&mutex);
void my thread join() {
    pthread mutex lock(&mutex);
    while (done == 0)
        pthread cond wait(&cond, &mutex);
    pthread mutex unlock(&mutex);
}
```



```
/* parent wait4.c */
#include <stdio.h>
#include <unistd.h>
#include <pthread.h>
void *child(void *arg) {
    printf("Child\n");
    // How to indicate we are done?
    my thread exit();
int main() {
    pthread t p;
    printf("Parent BEGIN\n");
    pthread create(&p, NULL, child, NULL);
    // How to wait for child?
    my thread join();
    printf("Parent END\n");
    sleep(1);
    return 0;
```

```
./parent wait4
Parent BEGIN
Child
Parent END
int done = 0;
pthread mutex t mutex = PTHREAD MUTEX INITIALIZER;
pthread cond t cond = PTHREAD COND INITIALIZER;
void my thread exit() {
    pthread mutex lock(&mutex);
    done = 1;
    pthread cond signal(&cond);
    pthread mutex unlock(&mutex);
void my thread join() {
    pthread mutex lock(&mutex);
    while (done == 0)
        pthread cond wait(&cond, &mutex);
    pthread mutex unlock(&mutex);
```

Question: Does it spin?

}



```
int done = 0;
int done = 0;
pthread mutex t mutex = PTHREAD MUTEX INITIALIZER;
                                                  pthread mutex t mutex = PTHREAD MUTEX INITIALIZER;
pthread cond t cond = PTHREAD COND INITIALIZER;
                                                  pthread cond t cond = PTHREAD COND INITIALIZER;
                                                  void my_thread_exit() {
void my thread exit() {
    pthread mutex lock(&mutex);
    done = 1;
                                                      done = 1;
    pthread cond signal(&cond);
                                                      pthread cond signal(&cond);
    pthread mutex unlock(&mutex);
void my thread join() {
                                                  void my thread join() {
    pthread mutex lock(&mutex);
    while (done == 0)
                                                      while (done == 0)
        pthread cond wait(&cond, &mutex);
                                                          pthread cond wait(&cond, &mutex);
    pthread mutex unlock(&mutex);
                                                  }
```

Is the Mutex Lock necessary?



```
int done = 0;
                                                   pthread mutex_t mutex = PTHREAD_MUTEX_INITIALIZER;
                                                   pthread cond t cond = PTHREAD COND INITIALIZER;
                           // Child Thread
// Parent Thread
                                                   void my_thread_exit() {
// call thread join()
                                                       done = 1;
while (done == 0) {
                                                       pthread cond signal(&cond);
                           // call thread exit()
                           done == 1;
                                                   }
                           pthread cond signal();
                                                   void my thread join() {
                           // no effect, since no
                           // thread is waiting
                                                       while (done == 0)
  pthread cond wait();
                                                            pthread cond wait(&cond, &mutex);
 // waits forever
                                                   }
```

In **Monitors**, it is mandatory to acquire the lock before any operation on condition variables. After wait() or signal(), we must release the lock.

Remember, always hold the lock while signal() or wait().



#### Mesa vs. Hoare Semantics

Why do we CV::wait() inside a while loop?

```
void my_thread_join() {
   pthread_mutex_lock(&mutex);
   while (done == 0)
       pthread_cond_wait(&cond, &mutex);
   pthread_mutex_unlock(&mutex);
}
```

Why can't we do this (check only once with an if statement)?

```
void my_thread_join() {
   pthread_mutex_lock(&mutex);
   if (done == 0)
      pthread_cond_wait(&cond, &mutex);
   pthread_mutex_unlock(&mutex);
}
```

- Answer: depends on the semantics of Monitor/Condition Variable.
  - Hoare Semantics: CV::signal() is immediately (atomically) followed by CV::wait()
  - Mesa Semantics: No such guarantee.
    - Most modern OSes use Mesa Semantics!



#### Hoare Semantics

- Signaler gives up lock, CPU to waiter; waiter runs immediately
- Then waiter gives up lock, CPU back to signaler when it exits critical section or if it waits again.

```
void my_thread_exit() {
   pthread_mutex_lock(&mutex);
   done = 1;

   pthread_cond_signal(&cond);

   pthread_mutex_unlock(&mutex);

   pthread_mutex_unlock(&mutex);

}
void my_thread_join() {
   pthread_mutex_lock(&mutex);

   pthread_mutex_lock(&mutex);

   pthread_cond_wait(&cond, &mutex);

   pthread_mutex_unlock(&mutex);
}
```

- On first glance, this seems like good semantics
  - Waiter gets to run immediately, condition is still correct!
- Most textbooks talk about Hoare semantics scheduling
  - However, hard to implement, not really necessary
  - Forces a lot of context switching (inefficient)



#### Mesa Semantics

- Signaler keeps lock and CPU
- Waiter placed on ready queue with no special priority

- Practically, need to check condition again after wait()
  - by the time the waiter gets scheduled, condition may be false again. So, just check again with the while loop
- Most Modern OSes adopt Mesa Semantics
  - Efficient, easier to implement
  - No need for special treatment in the Scheduler.



- Monitors represent the synchronization logic of the program
  - Wait if necessary
  - Signal when change something so any waiting threads can proceed
- Typical structure of monitor-based program (Mesa Semanatics):

```
lock
while (need to wait) {
    cond.wait();
unlock
```

```
do something so no need to wait
lock
cond.signal();
unlock
```



- Implementing a Monitor Using Semaphores
  - Monitors: a high-level synchronization construct that allows threads to have both mutual exclusion and the ability to wait(block) for a certain condition to become true. Monitors also automatically handle waking up threads when conditions change.
  - Semaphores: a low-level synchronization primitive that manages access to common resources by using counters. If a semaphore's counter is positive, accessing the resource decrements the counter. If the counter is zero, the thread attempting access is blocked.



Implementing a Monitor (Hoare) Using Semaphores

```
#include <stdio.h>
#include <pthread.h>
#include <semaphore.h>
// Declare semaphores
sem_t mutex, next, sem done;
int next count = 0, count done = 0;
void init_monitor() {
    // Binary semaphore for mutex
    sem init(&mutex, 0, 1);
    // Binary semaphore for orderly access
    sem init(&next, 0, 0);
    // Semaphore to signal child completion
    sem_init(&sem_done, 0, 0);
void enter monitor() {
    sem wait(&mutex);
void exit monitor() {
    if (next count > 0)
        sem post(&next);
    else
        sem post(&mutex);
```

```
void wait child done() {
    count done++;
    if (next count > 0)
        sem post(&next);
    else
        sem post(&mutex);
    sem wait(&sem done);
    count done--;
void signal child done() {
    if (count_done > 0) {
        next count++;
        sem post(&sem done);
        sem wait(&next);
        next_count--;
}
```



Implementing a Monitor (Hoare) Using Semaphores

```
void *child(void *arg) {
    enter monitor();
    printf("Child\n");
    signal child done();
    exit monitor();
    return NULL;
int main() {
    pthread t p;
    init monitor();
    pthread_create(&p, NULL, child, NULL);
    enter monitor();
    printf("Parent BEGIN\n");
    wait child done();
    printf("Parent END\n");
    exit monitor();
    pthread join(p, NULL);
    return 0;
```

```
void wait child done() {
    count done++;
    if (next_count > 0)
        sem post(&next);
    else
        sem post(&mutex);
    sem wait(&sem done);
    count done--;
void signal child done() {
    if (count_done > 0) {
        next count++;
        sem post(&sem done);
        sem wait(&next);
        next_count--;
```

```
$ ./monitor
Parent BEGIN
Child
Parent END
```



# Synchronization within the Kernel

# Kernel Synchronization in Windows

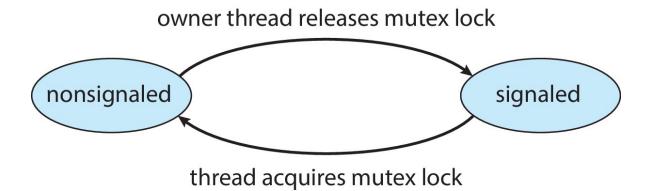
- Uses interrupt masks to protect access to global resources on uniprocessor systems
- Use spinlocks on multiprocessor systems
  - Spinlocking-thread will never be preempted
- Also provides dispatch objects user-land which may act mutexes, semaphores, events, and timers
  - Events
    - An event acts much like a condition variable
  - Timers notify one or more thread when time quantum expired
  - Dispatcher objects either signaled-state (object available) or nonsignaled state (thread will block)



# Synchronization within the Kernel

### Kernel Synchronization in Windows

Mutex dispatcher object





## Synchronization within the Kernel

#### Kernel Synchronization in Linux

- Prior to kernel version 2.6, disables interrupts to implement short critical sections
- Version 2.6 and later: fully preemptive
- Linux provides:
  - Semaphores
  - Atomic integers
  - Spinlocks
  - Reader-writer versions of both
- On single-processor systems, spinlocks replaced by enabling and disabling kernel preemption

Single Processor	Multiple Processors
Disable kernel preemption	Acquire spin lock
Enable kernel preemption	Release spin lock



# **Synchronization within the Kernel**

## Kernel Synchronization in Linux

- Atomic variables:
  - atomic\_t is the type for atomic integer
- Consider the variables:

```
atomic_t counter;
int value;
```

Atomic Operation	Effect
atomic_set(&counter,5);	counter = 5
atomic_add(10,&counter);	counter = counter + 10
atomic_sub(4,&counter);	counter = counter - 4
atomic_inc(&counter);	counter = counter + 1
<pre>value = atomic_read(&amp;counter);</pre>	value = 12

# ■ POSIX Synchronization

- POSIX Mutex Locks
- POSIX Semaphores
- POSIX Condition Variables

### POSIX Synchronization

POSIX Mutex Locks

```
#include <pthread.h>
pthread_mutex_t mutex;
/* Create and initialize the mutex lock */
pthread_mutex_init(&mutex, NULL);
/* Acquire the mutex lock */
pthread_mutex_lock(&mutex);
/* Critical section */
/* Release the mutex lock */
pthread mutex unlock(&mutex);
```

#### POSIX Synchronization

- POSIX Semaphores
  - Named Semaphores
  - Unnamed Semaphores

```
#include <semaphore.h>
sem_t *sem;
/* Named Semaphores */
/* Create the semaphore and initialize it to 1 */
sem = sem_open("SEM", O_CREAT, 0666, 1);
/* Unnamed Semaphores */
/* Create the semaphore and initialize it to 1 */
sem init(&sem, 0, 1);
/* Semaphore Wait() / Down() / P() */
sem wait(sem);
/* Semaphore Signal() / Up() / V() */
sem post(sem);
```

#### POSIX Synchronization

POSIX Condition Variables

```
#include <pthread.h>
pthread mutex t mutex;
pthread cond t cond;
/* Initialize mutex Lock */
pthread_mutex_init(&mutex, NULL);
/* Initialize condition variable */
pthread cond init(&cond, NULL);
/* Typical Monitor Construct: *wait* part */
pthread mutex lock(&mutex);
while (a != b)
    pthread cond_wait(&cond, &mutex);
pthread mutex unlock(&mutex);
/* Typical Monitor Construct: *signal* part */
pthread mutex lock(&mutex);
a = b;
pthread_cond_signal(&cond);
pthread mutex unlock(&mutex);
```



# **Alternative Approaches**

## Alternative Approaches

- Transactional Memory
- OpenMP
- Functional Programming Languages



#### Transactional Memory

Consider a function update() that must be called atomically. One option is to use mutex locks:

```
void update ()
{
   acquire();
   /* modify shared data */
   release();
}
```

- However, using synchronization mechanisms such as mutex locks and semaphores involve many potential problems, including deadlock.
- Additionally, as the number of threads increases, traditional locking doesn't scale well, because the level of contention among threads for lock ownership becomes very high.

#### Transactional Memory

A memory transaction is a sequence of read-write operations to memory that are performed atomically. A transaction can be completed by adding atomic{S} which ensure statements in S are executed atomically.

```
void update ()
{
   atomic {
     /* modify shared data */
   }
}
```

- Advantage over locks: the transactional memory system, rather than the developer, is responsible for guaranteeing atomicity.
- Transactional memory can be implemented in:
  - Software transactional memory (STM)
  - Hardware transactional memory (HTM)

## **Alternative Approaches**

#### OpenMP

OpenMP is a set of compiler directives and API that support parallel programming.

```
void update(int value) {
    #pragma omp critical
    {
       count += value;
    }
}
```

The code contained within the #pragma omp critical directive is treated as a critical section and performed atomically.

### ■ Functional Programming Languages

- Functional programming languages offer a different paradigm than procedural languages in that they do not maintain state.
- Variables are treated as immutable and cannot change state once they have been assigned a value.
- There is increasing interest in functional languages such as Erlang and Scala for their approach in handling data races.

