CS 5323 – OS II

Lecture 4 – Critical Section, Race Condition, Solutions

Logistics

- Quiz 1 due tonight 11:59 pm
- Assignment 1 posted. Due Monday 02/04/2022 11:59 pm

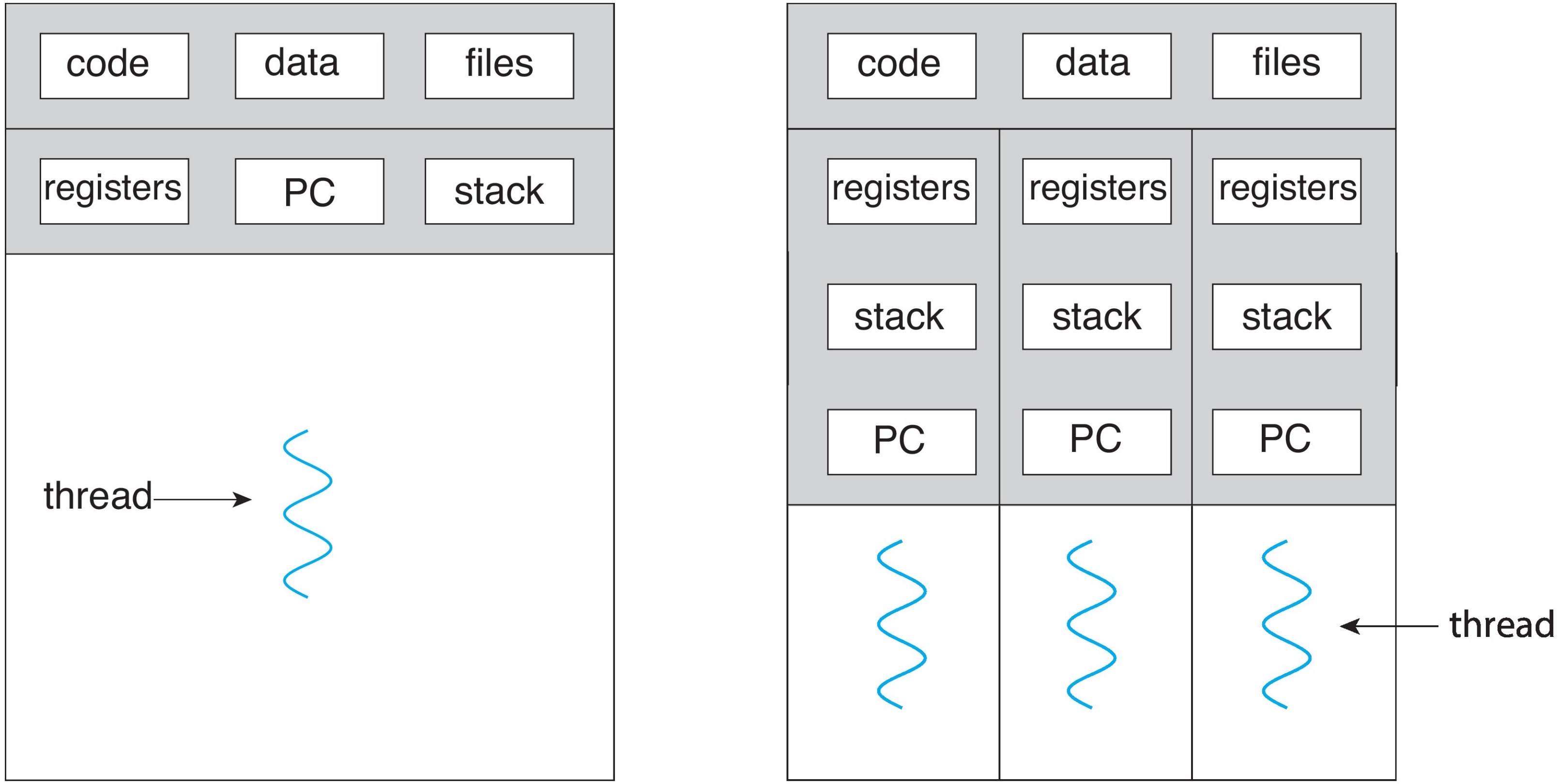
Threads – Review

- A thread is a flow of execution through the process code, with its own program counter, system registers, and a stack.
- A thread shares with its peer threads few information like code segment, data segment and open files.
  - When one thread alters a code segment memory item, all other threads see that.
- A thread is a **lightweight process**. Threads provide a way to improve application performance through parallelism.
- Each thread belongs to exactly one process and no thread can exist outside a process.
- Each thread represents a separate flow of control.

Threads vs Processes

Process	Thread
Process is heavy weight or resource intensive.	Thread is light weight, taking lesser resources than a process.
Process switching needs interaction with operating system.	Thread switching does not need to interact with operating system.
In multiple processing environments, each process executes the same code but has its own memory and file resources.	All threads can share same set of open files, child processes.
If one process is blocked, then no other process can execute until the first process is unblocked.	While one thread is blocked and waiting, a second thread in the same task can run.
Multiple processes without using threads use more resources.	Multiple threaded processes use fewer resources.
In multiple processes each process operates independently of the others.	One thread can read, write or change another thread's data.

Single and Multithreaded Processes

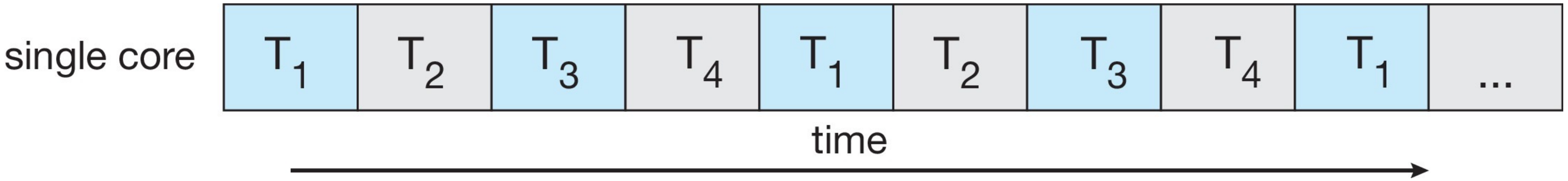


single-threaded process

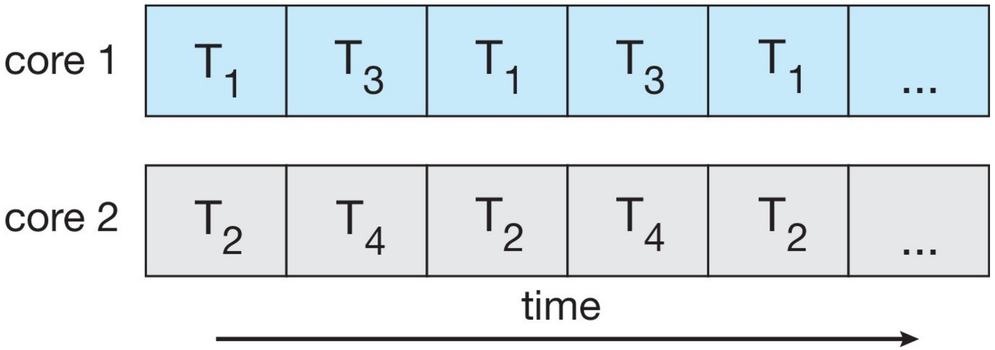
multithreaded process

Concurrency vs. Parallelism

- **Concurrent execution on single-core system:**



- **Parallelism on a multi-core system:**



User Threads and Kernel Threads

- **User threads** - management done by user-level threads library
- Three primary thread libraries:
  - POSIX **Pthreads**
  - Windows threads
  - Java threads
- **Kernel threads** - Supported by the Kernel
- Examples – virtually all general purpose operating systems, including:
  - Windows
  - Linux
  - Mac OS X
  - iOS
  - Android

Process Synchronization

Background

- Processes can execute concurrently
  - May be interrupted at any time, partially completing execution
- Concurrent access to shared data may result in data inconsistency
- Maintaining data consistency requires mechanisms to ensure the orderly execution of cooperating processes
- Illustration of the problem:
  Suppose that we wanted to provide a solution to the consumer-producer problem that fills ***all*** the buffers. We can do so by having an integer **`counter`** that keeps track of the number of full buffers. Initially, **`counter`** is set to 0. It is incremented by the producer after it produces a new buffer and is decremented by the consumer after it consumes a buffer.

Producer

```
while (true) {
        /* produce an item in next produced */

        while (counter == BUFFER_SIZE)
                ; /* do nothing */
        buffer[in] = next_produced;
        in = (in + 1) % BUFFER_SIZE;
        counter++;
}
```

Consumer

```
while (true) {
        while (counter == 0)
                ; /* do nothing */
        next_consumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
         counter--;
        /* consume the item in next consumed */
}
```

Race Condition

- `counter++` could be implemented as

```
register1 = counter
register1 = register1 + 1
counter = register1
```

- `counter--` could be implemented as

```
register2 = counter
register2 = register2 - 1
counter = register2
```

Race Condition

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register1 = counter
register1 = register1 + 1
counter = register1
```

- `counter--` could be implemented as

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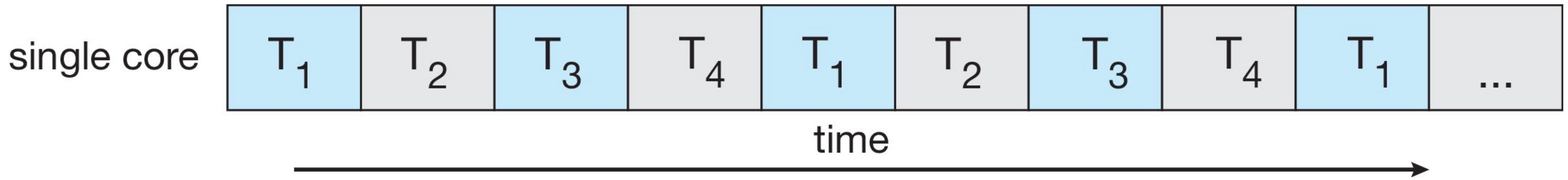
```

- Consider this execution interleaving with "count = 5" initially:

  S0: producer execute `register1 = counter` {register1 = 5}
  S1: producer execute `register1 = register1 + 1` {register1 = 6}

- **Concurrent execution on single-core system:**



Race Condition

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register1 = counter
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counter = register1
```

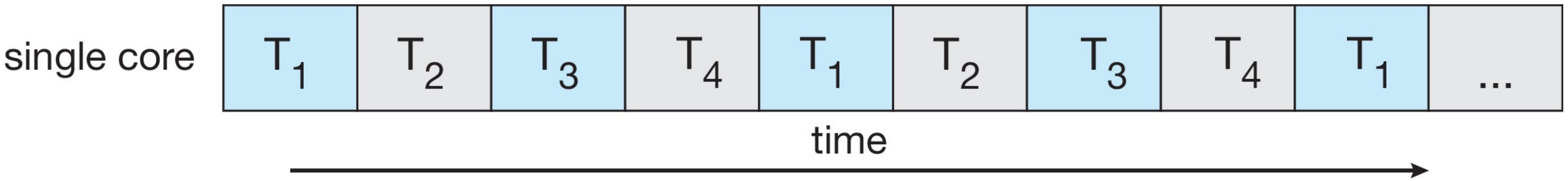
- **`counter--`** could be implemented as

```
register2 = counter
register2 = register2 - 1
counter = register2
```

- Consider this execution interleaving with "count = 5" initially:

  S0: producer execute `register1 = counter` {register1 = 5}
  S1: producer execute `register1 = register1 + 1` {register1 = 6}
  S2: consumer execute `register2 = counter` {register2 = 5}
  S3: consumer execute `register2 = register2 – 1` {register2 = 4}

- **Concurrent execution on single-core system:**



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S0: producer execute `register1 = counter` {register1 = 5}
S1: producer execute `register1 = register1 + 1` {register1 = 6}
S2: consumer execute `register2 = counter` {register2 = 5}
S3: consumer execute `register2 = register2 – 1` {register2 = 4}
S4: producer execute `counter = register1` {counter = 6 }

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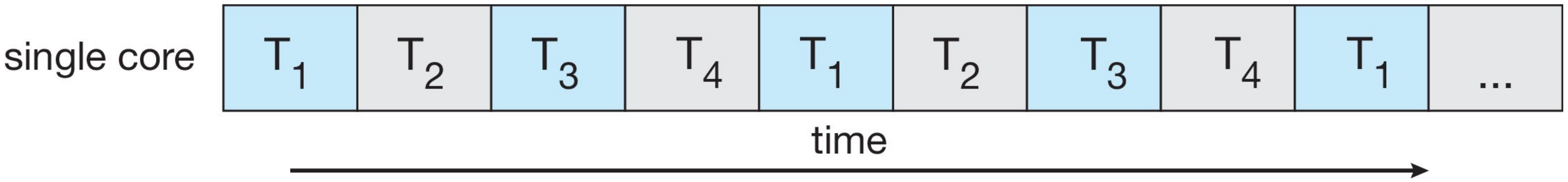

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  S0: producer execute `register1 = counter` {register1 = 5}
  S1: producer execute `register1 = register1 + 1` {register1 = 6}
  S2: consumer execute `register2 = counter` {register2 = 5}
  S3: consumer execute `register2 = register2 – 1` {register2 = 4}
  S4: producer execute `counter = register1` {counter = 6 }
  S5: consumer execute `counter = register2` {counter = 4}

Race Condition

- `counter++` could be implemented as

```
register1 = counter
register1 = register1 + 1
counter = register1
```

- `counter--` could be implemented as

```
register2 = counter
register2 = register2 - 1
counter = register2
```

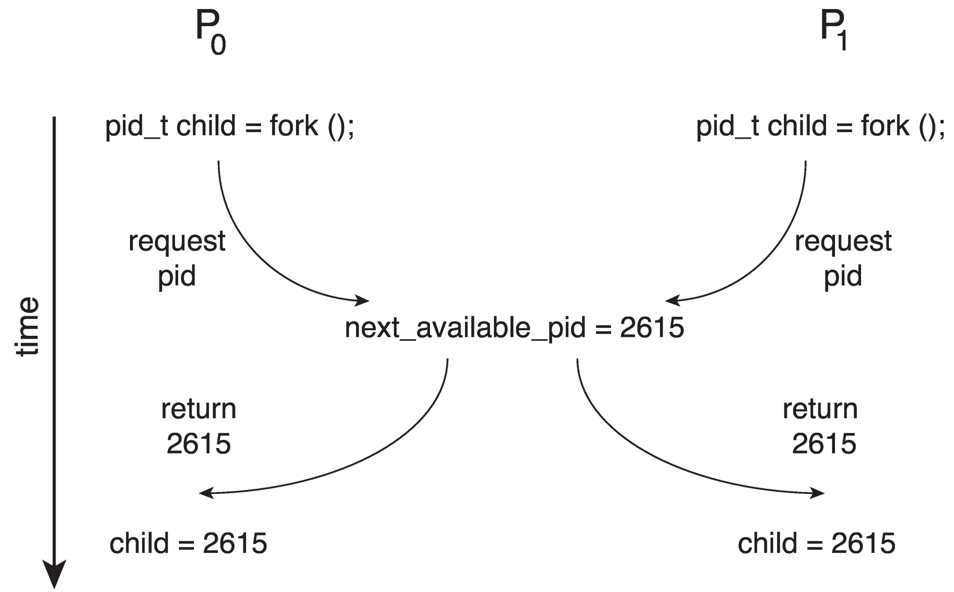
- Consider this execution interleaving with “count = 5” initially:

S0: producer execute `register1 = counter` {register1 = 5}
S1: producer execute `register1 = register1 + 1` {register1 = 6}
S2: consumer execute `register2 = counter` {register2 = 5}
S3: consumer execute `register2 = register2 – 1` {register2 = 4}
S4: producer execute `counter = register1` {counter = 6 }
S5: consumer execute `counter = register2` {counter = 4}

Producer and Consumer “see” different values for the variable counter!

Race Condition – Another Example

- Processes P_0 and P_1 are creating child processs using the `fork()` system call
- Race condition on kernel variable `next_available_pid` which represents the next available process identifier (pid)



- Unless there is mutual exclusion, the same pid could be assigned to two different processes!

Critical Section Problem

- Consider system of n processes $\{p_0, p_1, \dots p_{n-1}\}$
- Each process has **critical section** segment of code
  - Process may be changing common variables, updating table, writing file, etc
  - When one process in critical section, no other may be in its critical section
- ***Critical section problem*** is to design protocol to solve this
- Each process must ask permission to enter critical section in **entry section**, may follow critical section with **exit section**, then **remainder section**

Critical Section

- General structure of process P_i

```
do {
    entry section
        critical section
    exit section
        remainder section
} while (true);
```

Solution to Critical-Section Problem

1. **Mutual Exclusion** - If process P_i is executing in its critical section, then no other processes can be executing in their critical sections
2. **Progress** - If no process is executing in its critical section and there exist some processes that wish to enter their critical section, then the selection of the processes that will enter the critical section next cannot be postponed indefinitely
3. **Bounded Waiting** - A bound must exist on the number of times that other processes are allowed to enter their critical sections after a process has made a request to enter its critical section and before that request is granted
   - Assume that each process executes at a nonzero speed
   - No assumption concerning **relative speed** of the ***n*** processes

Critical-Section Handling in OS

Two approaches depending on if kernel is preemptive or non-preemptive

- **Preemptive** – allows preemption of process when running in kernel mode
  - **Preemption** is the act of temporarily interrupting a process, without requiring its cooperation, and with the intention of resuming the task at a later time.
- **Non-preemptive** – runs until exits kernel mode, blocks, or voluntarily yields CPU
  - Essentially free of race conditions in kernel mode

Peterson's Solution

- Not guaranteed to *always* work on modern architectures! (But good algorithmic description of solving the problem)
- Two process solution
- Assume that the **`load`** and **`store`** machine-language instructions are atomic; that is, cannot be interrupted
- The two processes share two variables:
  - **`int turn;`**
  - **`boolean flag[2]`**
- The variable **`turn`** indicates whose turn it is to enter the critical section
- The **`flag`** array is used to indicate if a process is ready to enter the critical section. **`flag[i] = `*`true`*** implies that process $\mathbf{P_i}$ is ready!

Process P_i

```
while (true){
        flag[i] = true;
        turn = j;
        while (flag[j] && turn = = j)
                ;
       /* critical section */
        flag[i] = false;
       /* remainder section */
}
```

Process P_j

```
while (true){
        flag[j] = true;
        turn = i;
        while (flag[i] && turn = = i)
                ;
       /* critical section */
        flag[j] = false;
       /* remainder section */
}
```

Peterson's Solution (Cont.)

- Provable that the three CS requirement are met:
  1. Mutual exclusion is preserved

     P_i enters CS only if:

     either `flag[j] = false` or `turn = i`
  2. Progress requirement is satisfied
  3. Bounded-waiting requirement is met

Process P_i

```
while  (true){
        flag[i] = true;
        turn = j;
        while (flag[j] && turn = = j)
                ;
        /* critical section */

        flag[i] = false;

        /* remainder section */

 }
```

Process P_j

```
while  (true){
        flag[j] = true;
        turn = i;
        while (flag[i] && turn = = i)
                ;
        /* critical section */

        flag[j] = false;

        /* remainder section */

 }
```

Synchronization Hardware

- Many systems provide hardware support for implementing the critical section code.
- Uniprocessors – could disable interrupts
  - Currently running code would execute without preemption
  - Generally too inefficient on multiprocessor systems
    - Operating systems using this not broadly scalable
- We will look at three forms of hardware support:

1. Memory barriers

2. Hardware instructions

3. Atomic variables

Hardware Instructions

- Special hardware instructions that allow us to either *test-and-modify* the content of a word, or two *swap* the contents of two words atomically (uninterruptibly.)
- **Test-and-Set** instruction
- **Compare-and-Swap** instruction

test_and_set Instruction

Definition:

```
        boolean test_and_set (boolean *target)
    {
           boolean rv = *target;
           *target = true;
           return rv:
    }
```

1. Executed atomically
   - Simultaneous execution on different CPUs is sequential (arbitrary order)
2. Returns the original value of passed parameter
3. Set the new value of passed parameter to **`true`**

Mutual Exclusion using test_and_set()

- Shared boolean variable **`lock`**, initialized to **`false`**
- Solution:

```
do {
      while (test_and_set(&lock))
       ; /* do nothing */

            /* critical section */

    lock = false;
            /* remainder section */

 } while (true);
```

compare_and_swap Instruction

Definition:

```
int compare _and_swap(int *value, int expected, int new_value) {
    int temp = *value;

    if (*value == expected)
       *value = new_value;
 return temp;
}
```

1. Executed atomically
2. Returns the original value of passed parameter **`value`**
3. Set the variable **`value`** the value of the passed parameter **`new_value`** but only if **`*value == expected`** is true. That is, the swap takes place only under this condition.

Solution using compare_and_swap

- Shared integer **`lock`** initialized to 0;
- Solution:

```
  while (true){
while (compare_and_swap(&lock, 0, 1) != 0)
        ; /* do nothing */

  /* critical section */

  lock = 0;

  /* remainder section */
}
```

Not a bounded wait solution!

Bounded-waiting Mutual Exclusion with compare-and-swap

```
while (true) {
   waiting[i] = true;
   key = 1;
   while (waiting[i] && key == 1)
      key = compare_and_swap(&lock,0,1);
   waiting[i] = false;
   /* critical section */
   j = (i + 1) % n;
   while ((j != i) && !waiting[j])
      j = (j + 1) % n;
   if (j == i)
      lock = 0;
   else
      waiting[j] = false;
   /* remainder section */
}
```

Atomic Variables

- Typically, instructions such as compare-and-swap are used as building blocks for other synchronization tools.
- One tool is an **atomic variable** that provides *atomic* (uninterruptible) updates on basic data types such as integers and booleans.
- For example, the **`increment()`** operation on the atomic variable **`sequence`** ensures **`sequence`** is incremented without interruption:

```
increment(&sequence);
```

Atomic Variables

- The **`increment()`** function can be implemented as follows:

```
void increment(atomic_int *v)
{
    int temp;

    do {
        temp = *v;
    }
    while (temp !=
(compare_and_swap(v,temp,temp+1));
}
```

Mutex Locks

- Previous solutions are complicated and generally inaccessible to application programmers
- OS designers build software tools to solve critical section problem
- Simplest is **`mutex`** lock
- Protect a critical section by first **`acquire()`** a lock then **`release()`** the lock
  - Boolean variable indicating if lock is available or not
- Calls to **`acquire()`** and **`release()`** must be atomic
  - Usually implemented via hardware atomic instructions such as compare-and-swap
- But this solution requires **busy waiting**
  - This lock therefore called a **spinlock**

Solution to Critical-section Problem Using Locks

```
while (true) {
        acquire lock

        critical section

        release lock

        remainder section
}
```

Mutex Lock Definitions

- ```
  acquire() {
      while (!available)
          ; /* busy wait */
      available = false;;
  }
  ```

- ```
  release() {
      available = true;
  }
  ```

These two functions must be implemented atomically. Both test-and-set and compare-and-swap can be used to implement these functions.