Lecture 6: Synchronization

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Outline

- Reading:
 - Ch. 4 Threads
 - Ch. 5 CPU Scheduling
 - Ch. 6 Synchronization



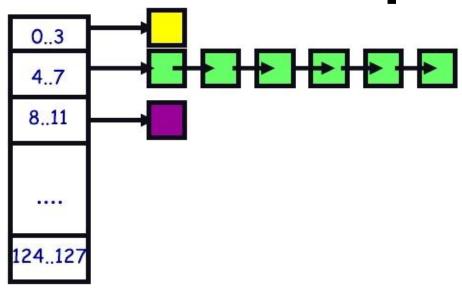
- Project 1: Scheduling and Synchronization
 - Alarm Clock
 - Priority-based Scheduler
 - Synchronization and Priority Inheritance
 - [Extra Credit] MLFQ Scheduler

Quote of the Day

"Sometimes you are in sync with the times, sometimes you are in advance, sometimes you are late."

-- Bernardo Bertolucci

Multilevel feeedback queues (BSD)



Every runnable process on one of 32 run queues

- Kernel runs process on highest-priority non-empty queue
- Round-robins among processes on same queue

Process priorities dynamically computed

- Processes moved between queues to reflect priority changes
- If a process gets higher priority than running process, run it

Idea: Favor interactive jobs that use less CPU

Process priority (BSD model)

- p_nice user-settable weighting factor
- p_estcpu per-process estimated CPU usage
 - Incremented whenever timer interrupt found proc. running
 - Decayed every second when process runnable

$$p_estcpu \leftarrow \left(\frac{2 \cdot load}{2 \cdot load + 1}\right) p_estcpu$$

- Load is sampled average of length of run queue plus short-term sleep queue over last minute
- Set process priority by (lower p_usrpri = higher priority)

p_usrpri
$$\leftarrow 50 + \left(\frac{p_estcpu}{4}\right) + 2 \cdot p_nice$$

(value clipped if over 127)

Sleeping process increases priority

- p_estcpu not updated while asleep
 - Instead p_slptime keeps count of sleep time
- When process becomes runnable

$$p_estcpu \leftarrow \left(\begin{array}{c} 2 \cdot load \\ \hline 2 \cdot load + 1 \end{array} \right) \begin{array}{c} p_slptime \\ \\ \end{array} \cdot p_estcpu \end{array}$$

- Approximates decay ignoring nice and past loads
- Previous description based on [McKusick]a

^aSee library.stanford.edu for off-campus access

Pintos notes

Same basic idea for second half of project 1

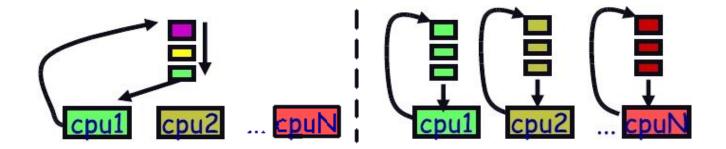
- But 64 priorities, not 128
- Higher numbers mean higher priority
- Okay to have only one run queue if you prefer (less efficient, but we won't deduct points for it)

Have to negate priority equation:

priority =
$$63 - \left(\frac{\text{recent_cpu}}{4}\right) - 2 \cdot \text{nice}$$

Multiprocessor scheduling issues

- Must decide on more than which processes to run
 - Must decide on which CPU to run which process
- Moving between CPUs has costs
 - More cache misses, depending on arch more TLB misses too
- Affinity scheduling try to keep threads on same CPU



- But also prevent load imbalances
- Do cost-benefit analysis when deciding to migrate

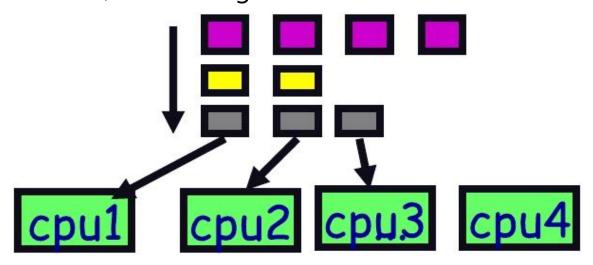
Multiprocessor scheduling (cont)

Want related processes scheduled together

- Good if threads access same resources (e.g., cached files)
- Even more important if threads communicate often, otherwise must context switch to communicate

Gang scheduling - schedule all CPUs synchronously

- With synchronized quanta, easier to schedule related processes/threads together



Thread scheduling

With thread library, have two scheduling decisions:

- Local Scheduling Thread library decides which user thread to put onto an available kernel thread
- Global Scheduling Kernel decides which kernel thread to run next

Can expose to the user

- E.g., pthread_attr_setscope allows two choices
- PTHREAD_SCOPE_SYSTEM thread scheduled like a process (effectively one kernel thread bound to user thread – Will return ENOTSUP in user-level pthreads implementation)
- PTHREAD_SCOPE_PROCESS thread scheduled within the current process (may have multiple user threads multiplexed onto kernel threads)

Thread dependencies

Say H at high priority, L at low priority

- L acquires lock l.
- Scene 1: *H* tries to acquire *l*, fails, spins. *L* never gets to run.
- Scene 2: *H* tries to acquire *l*, fails, blocks. *M* enters system at medium priority. *L* never gets to run.
- Both scenes are examples of *priority inversion*

Scheduling = deciding who should make progress

- Obvious: a thread's importance should increase with the importance of those that depend on it.
- Naive priority schemes violate this.

Priority donation

- Say higher number = higher priority
- Example 1: L (prio 2), M (prio 4), H (prio 8)
 - L holds lock l
 - M waits on l, L's priority raised to L' = max(M, L) = 4
 - Then H waits on l, L's priority raised to max(H, L') = 8

Example 2: Same threads

- L holds lock l, M holds lock l2
- M waits on l, L's priority now L' = 4 (as before)
- Then H waits on l_2 . M's priority goes to M' = max(H, M) = 8, and L's priority raised to max(M', L') = 8
- Example 3: L (prio 2), M1, ... M1000 (all prio 4)
 - L has l, and M_1, \ldots, M_{1000} all block on l. L's priority is $max(L, M_1, \ldots, M_{1000}) = 4$.

Review: Thread Package API

- tid thread_create (void (*fn) (void *), void *arg);
 - Create a new thread that calls function fn with arg
- void thread_exit ();
- void thread_join (tid thread);
- The execution of multiple threads is interleaved
- Can have non-preemptive threads:
 - One thread executes exclusively until it makes a blocking call.
- Or preemptive threads:
 - May switch to another thread between any two instructions.
- Using multiple CPUs is inherently preemptive
 - Even if you don't take *CPU*⁰ away from thread *T*, another thread on *CPU*¹ can execute between any two instructions of *T*.

Program A

```
int flag1 = 0, flag2 = 0;
void p1 () {
  flag1 = 1;
  if (!flag2) { critical_section_1 (); }
void p2 () {
  flag2 = 1;
  if (!flag1) { critical_section_2 (); }
int main () {
  tid id = thread_create (p1, NULL);
   p2 (); thread_join (id);
```

Even though the threads might deadlock, can both critical sections run simultaneously?

Program B

```
int data = 0, ready = 0;
void p1 () {
  data = 2000;
  ready = 1;
void p2 () {
  while (!ready)
  use (data);
int main () { ... }
```

Can use() be called with value 0?

Program C

```
int a = 0, b = 0;
void p1 () { a = 1; }
void p2 () {
  if (a == 1)
     b = 1;
void p3 () {
  if (b == 1)
     use (a);
int main () { ... }
```

Can use() be called with value 0?

Correct answers

- Program A: I don't know
- Program B: I don't know
- Program C: I don't know
- Why?
 - It depends on your hardware
 - If it provides **sequential consistency**, then answers are all **No**
 - But not all hardware provides sequential consistency
- Note: Examples and other slide content from [Adve & Gharachorloo]

Sequential Consistency

- **Sequential consistency**: The result of execution is as if all operations were executed in some sequential order, and the operations of each processor occurred in the order specified by the program. [Lamport]
- Boils down to two requirements:
 - 1. Maintaining *program order* on individual processors
 - 2. Ensuring write atomicity
- Without SC, multiple CPUs can be "worse" than preemptive threads
 - May see results that cannot occur with any interleaving on 1 CPU
- Why doesn't all hardware support sequential consistency?

SC thwarts hardware optimizations

Complicates write buffers

- E.g., read flag(n) before flag(3 - n) written through in Program A

Can't re-order overlapping write operations

- Concurrent writes to different memory modules
- Coalescing writes to same cache line

Complicates non-blocking reads

- E.g., speculatively prefetch data in Program B

Makes cache coherence more expensive

- Must delay write completion until invalidation/update (Program B)
- Can't allow overlapping updates if no globally visible order (Program C)

SC thwarts compiler optimizations

- Code motion
- Caching value in register
 - E.g., ready flag in Program B
- Common subexpression elimination
 - Could cause memory location to be read fewer times
- Loop blocking
 - Re-arrange loops for better cache performance
- Software pipelining
 - Move instructions across iterations of a loop to overlap instruction latency with branch cost

x86 consistency

x86 supports multiple consistency/caching models

- Memory Type Range Registers (MTRR) specify consistency for ranges of physical memory (e.g., frame buffer)
- Page Attribute Table (PAT) allows control for each 4K page

Choices include:

- **WB**: Write-back caching (**the default**)
- **WT**: Write-through caching (all writes go to memory)
- **UC**: Uncacheable (for device memory)
- **WC**: Write-combining weak consistency & no caching

Some instructions have weaker consistency

- String instructions
- Special "non-temporal" instructions that bypass cache

x86 WB consistency

- Old x86s (e.g, 486, Pentium 1) had almost SC
 - Exception: A read could finish before an earlier write to a different location
 - Which of Programs A, B, C might be affected?
- Newer x86s let a processor read its own writes early

x86 WB consistency

- Old x86s (e.g, 486, Pentium 1) had almost SC
 - Exception: A read could finish before an earlier write to a different location
 - Which of Programs A, B, C might be affected? **Just A**
- Newer x86s let a processor read its own writes early

- Older CPUs would wait at "f = ..." until store completes

x86 atomicity

- lock prefix makes a memory instruction atomic
 - Usually locks bus for duration of instruction (expensive!)
 - Can avoid locking if memory already exclusively cached
 - All lock instructions totally ordered
 - Other memory instructions cannot be re-ordered w. locked ones
- xchg instruction is always locked (even w/o prefix)
- Special fence instructions can prevent re-ordering
 - LFENCE can't be reordered w. reads (or later writes)
 - SFENCE can't be reordered w. writes
 - MFENCE can't be reordered w. reads or writes

Assuming sequential consistency

- Let's for now say we have sequential consistency
- Example concurrent code: Producer/Consumer
 - buffer stores **BUFFER_SIZE** items
 - **count** is number of used slots
 - **in** is next empty buffer slot to fill (if any)
 - **out** is oldest filled slot to consume (if any)

```
void producer (void *ignored) {
    for (;;) {
        /* produce an item and put in nextProduced */
        while (count == BUFFER_SIZE)
            ; // do nothing
        buffer [in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        count++;
void consumer (void *ignored) {
    for (;;) {
        while (count == 0)
            ; // do nothing
        nextConsumed = buffer[out];
        out = (out + 1) % BUFFER SIZE;
        count--;
        /* consume the item in nextConsumed */
```

What can go wrong here?

Data races

- count may have wrong value
- Possible implementation of count++ and count--

```
register←count register←count

register←register + 1 register←register - 1

count←register count←register
```

Possible execution (count one less than correct):

```
register←count
register←register + 1
register←count
register←register - 1
count←register
count←register
```

Data races (continued)

- What about a single-instruction add?
 - E.g., i386 allows single instruction addl \$1, count
 - So implement count++/-- with one instruction
 - Now are we safe?

Data races (continued)

What about a single-instruction add?

- E.g., i386 allows single instruction addl \$1, count
- So implement count++/-- with one instruction
- Now are we safe?

Not atomic on multiprocessor!

- Will experience exact same race condition
- Can potentially make atomic with lock prefix
- But lock very expensive
- Compiler won't generate it, assumes you don't want penalty

Need solution to critical section problem

- Place count++ and count-- in critical section
- Protect critical sections from concurrent execution

Critical Section: Desired solution

Mutual Exclusion

- Only one thread can be in critical section at a time

Progress

- Say no process currently in critical section (C.S.)
- One of the processes trying to enter will eventually get in

Bounded waiting

- Once a thread *T* starts trying to enter the critical section, there is a bound on the number of times other threads get in

Note progress vs. bounded waiting

- If no thread can enter C.S., don't have progress
- If thread A waiting to enter C.S. while B repeatedly leaves and re-enters C.S. ad infinitum, don't have bounded waiting

Peterson's solution

- Still assuming sequential consistency
- Assume two threads, T_0 and T_1
- Variables
 - int not_turn; not this thread's turn to enter C.S.
 - bool wants[2]; wants[i] indicates if *Ti* wants to enter C.S.

Code:

```
for (;;) { /* code in thread i */
   wants[i] = true;
   not_turn = i;
   while (wants[1-i] && not_turn == i)
      /* other thread wants in and not our turn, so loop */;
   Critical_section ();
   wants[i] = false;
   Remainder_section ();
}
```

Does Peterson's solution work?

```
for (;;) { /* code in thread i */
   wants[i] = true;
   not_turn = i;
   while (wants[1-i] && not_turn == i)
      /* other thread wants in and not our turn, so loop */;
   Critical_section ();
   wants[i] = false;
   Remainder_section ();
}
```

Mutual exclusion – can't both be in C.S.

- Would mean wants[0] == wants[1] == true,
 so not_turn would have blocked one thread from C.S.
- Progress If T_{1-i} not in C.S., can't block T_i
 - Means wants[1-i] == false, so T_1 won't loop
- Bounded waiting similar argument to progress
 - If T_i wants lock and T_{1-i} tries to re-enter, T_{1-i} will set not_turn = 1 i, allowing T_i in

Mutexes

- Peterson expensive, only works for 2 processes
 - Can generalize to *n*, but for some fixed *n*
- Want to insulate programmer from implementing synchronization primitives
- Thread packages typically provide mutexes:

```
void mutex_init (mutex_t *m, ..);
void mutex_lock (mutex_t *m);
int mutex_trylock (mutex_t *m);
void mutex_unlock (mutex_t *m);
```

- Only one thread acquires m at a time, others wait
- All global data should be protected by a mutex!
- OS kernels also need synchronization
 - May or may not look like mutexes

Same concept, many names

Most popular application-level thread API: pthreads

- Function names in this lecture all based on pthreads
- Just add pthread_ prefix
- E.g., pthread_mutex_t, pthread_mutex_lock, . . .

Same abstraction in Pintos under different name

- Data structure is struct lock
- void lock_init (struct lock *);
- void lock_acquire (struct lock *);
- bool lock_try_acquire (struct lock *);
- void lock_release (struct lock *);

Extra Pintos feature:

- Release checks that the lock was acquired by the same thread
- bool lock_held_by_current_thread (struct lock *lock);

Improved producer

```
mutex t mutex = MUTEX INITIALIZER;
void producer (void *ignored) {
    for (;;) {
        /* produce an item and put in nextProduced */
        mutex_lock (&mutex);
        while (count == BUFFER_SIZE) {
          mutex_unlock (&mutex); // <--- Why?
          thread yield ();
          mutex_lock (&mutex);
        buffer [in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        count++;
        mutex_unlock (&mutex);
```

Improved consumer

```
void consumer (void *ignored) {
    for (;;) {
        mutex_lock (&mutex);
        while (count == 0) {
           mutex_unlock (&mutex);
           thread_yield ();
           mutex_lock (&mutex);
         nextConsumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        count--;
        mutex_unlock (&mutex);
           consume the item in nextConsumed */
```

Condition variables

- Busy-waiting in application is a bad idea
 - Thread consumes CPU even when can't make progress
 - Unnecessarily slows other threads and processes
- Better to inform scheduler of which threads can run
- Typically done with condition variables
- void cond_init (cond_t *, ...);
 - Initialize
- void cond_wait (cond_t *c, mutex_t *m);
 - Atomically unlock m and sleep until c signaled
 - Then re-acquire m and resume executing
- void cond_signal (cond_t *c);
 void cond_broadcast (cond_t *c);
 - Wake one/all threads waiting on c

Improved producer

```
mutex t mutex = MUTEX INITIALIZER;
cond_t nonempty = COND_INITIALIZER;
cond t nonfull = COND_INITIALIZER;
void producer (void *ignored) {
    for (;;) {
        /* produce an item and put in nextProduced */
        mutex_lock (&mutex);
        while (count == BUFFER_SIZE)
          cond wait (&nonfull, &mutex);
        buffer [in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        count++;
        cond_signal (&nonempty);
        mutex_unlock (&mutex);
```

Improved consumer

```
void consumer (void *ignored) {
    for (;;) {
        mutex_lock (&mutex);
        while (count == 0)
           cond_wait (&nonempty, &mutex);
        nextConsumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        count--;
        cond_signal (&nonfull);
        mutex_unlock (&mutex);
           consume the item in nextConsumed */
```

Condition variables (continued)

- Why must cond_wait both release mutex & sleep?
- Why not separate mutexes and condition variables?

```
while (count == BUFFER_SIZE) {
   mutex_unlock (&mutex);
   cond_wait (&nonfull);
   mutex_lock (&mutex);
}
```

Condition variables (continued)

- Why must cond_wait both release mutex & sleep?
- Why not separate mutexes and condition variables?

```
while (count == BUFFER_SIZE) {
    mutex_unlock (&mutex);
    cond_wait (&nonfull);
    mutex_lock (&mutex);
}
```

Can end up stuck waiting when bad interleaving

```
PRODUCER
while (count == BUFFER_SIZE);
mutex_unlock (&mutex);

mutex_lock (&mutex);

...

count--;
cond_signal (&nonfull);
```

Other thread package features

- Alerts cause exception in a thread
- Timedwait timeout on condition variable
- Shared locks concurrent read accesses to data
- Thread priorities control scheduling policy
 - Mutex attributes allow various forms of *priority donation* (will be familiar concept after lab 1)
- Thread-specific global data
- Different synchronization primitives (in a few slides)
 - Monitors
 - Semaphores

Implementing synchronization

User-visible mutex is straight-forward data structure

Need lower-level lock |k for mutual exclusion

- Internally, mutex_* functions bracket code with lock(mutex->lk) . . . unlock(mutex->lk)
- Otherwise, data races! (E.g., two threads manipulating waiters)
- How to implement lower_level_lock_t?
 - Could use Peterson's algorithm, but typically a bad idea (too slow and don't know maximum number of threads)

Approach #1: Disable interrupts

- Only for apps with n: 1 threads (1 kthread)
 - Cannot take advantage of multiprocessors
 - But sometimes most efficient solution for uniprocessors
- Have per-thread "do not interrupt" (DNI) bit
- lock (lk): sets thread's DNI bit
- If timer interrupt arrives
 - Check interrupted thread's DNI bit
 - If DNI clear, preempt current thread
 - If DNI set, set "interrupted" (I) bit & resume current thread
- unlock (lk): clears DNI bit and checks I bit
 - If I bit is set, immediately yields the CPU

Approach #2: Spinlocks

- Most CPUs support atomic read-[modify-]write
- **Example:** int test_and_set (int *lockp);
 - Atomically sets *lockp = 1 and returns old value
 - Special instruction can't be implemented in portable C

• Use this instruction to implement *spinlocks*:

```
#define lock(lockp) while (test_and_set (lockp))
#define trylock(lockp) (test_and_set (lockp) == 0)
#define unlock(lockp) *lockp = 0
```

- Spinlocks implement mutex's lower_level_lock_t
- Can you use spinlocks instead of mutexes?
 - Wastes CPU, especially if thread holding lock not running
 - Mutex functions have short C.S., less likely to be preempted
 - On multiprocessor, sometimes good to spin for a bit, then yield

Synchronization on x86

- Test-and-set only one possible atomic instruction
- x86 xchg instruction, exchanges reg with mem
 - Can use to implement test-and-set

- CPU locks memory system around read and write
 - Recall xchgl always acts like it has lock prefix
 - Prevents other uses of the bus (e.g., DMA)
- Usually runs at memory bus speed, not CPU speed
 - Much slower than cached read/buffered write

Kernel Synchronization

- Should kernel use locks or disable interrupts?
- Old UNIX had non-preemptive threads, no mutexes
 - Interface designed for single CPU, so count++ etc. not data race
 - . . . Unless memory shared with an interrupt handler int x = splhigh (); // Disable interrupts
 // Touch data shared with interrupt handler splx (x); // Restore previous state
 - C.f., Pintos intr_disable / intr_set_level
- Used arbitrary pointers like condition variables
 - int [t]sleep (void *ident, int priority, ...);
 put thread to sleep; will wake up at priority (~cond_wait)
 - int wakeup (void *ident);
 wake up all threads sleeping on ident (~cond_broadcast)

Kernel locks

- Nowadays, should design for multiprocessors
 - Even if first version of OS is for uniprocessor
 - Someday may want multiple CPUs and need *preemptive* threads
 - That's why Pintos uses locks
- Multiprocessor performance needs fine-grained locks
 - Want to be able to call into the kernel on multiple CPUs
- If kernel has locks, should it ever disable interrupts?

Kernel locks

Nowadays, should design for multiprocessors

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Multiprocessor performance needs fine-grained locks

- Want to be able to call into the kernel on multiple CPUs

If kernel has locks, should it ever disable interrupts?

- Yes! Can't sleep in interrupt handler, so can't wait for lock
- So even modern OSes have support for disabling interrupts
- Often uses DNI trick, which is cheaper than masking interrupts in hardware

Semaphores [Dijkstra]

- A Semaphore is initialized with an integer N
- Provides two functions:
 - sem_wait (S) (originally called P, called sema_down in Pintos)
 - sem_signal (S) (originally called *V* , called *sema_up* in Pintos)
- Guarantees sem_wait will return only N more times than sem_signal called
 - Example: If N == 1, then semaphore is a mutex with sem_wait as lock and sem_signal as unlock
- Semaphores allow elegant solutions to some problems

Semaphore

A semaphore is a structure consisting of 2 parts:

```
struct semaphore {
   int count; // number of resources available
   queue Q; // queue of process/thread ids of blocked
}
```

Shorthand notation:

```
semaphore S = 1 \rightarrow S.count = 1, S.Q = \{ \}
```

Operations on Semaphores

There are two basic semaphore operations:

```
sem_wait(S):
    if (S.count > 0) then S.count = S.count -1;
    else block calling process in S.Q;

sem_signal(S):
    if (S.Q is non-empty) then wakeup a process in S.Q;
    else S.count = S.count + 1;
```

Semaphore Example: Mutual Exclusion

Semaphore S = 1;

```
Thread A: Thread B: sem_wait(S); sem_wait(S); (do work in critical section CS); (do work in CS); sem_signal(S);
```

Semaphore Example: Order Execution

```
Semaphore S = 0;
Thread A \rightarrow Thread B:
Thread A:
                                      Thread B:
(do work);
sem_signal(S);
                                    sem_wait(S);
                                      (do work);
```

Semaphore producer/consumer

- Can re-write producer/consumer to use three semaphores
- Semaphore mutex initialized to 1
 - Used as mutex, protects buffer, in, out. . .
- Semaphore full initialized to 0
 - To block consumer when buffer empty
- Semaphore empty initialized to N
 - To block producer when queue full

```
void producer (void *ignored) {
    tor (;;) {
        /* produce an item and put in nextProduced */
        sem_wait (&empty);
        sem_wait (&mutex);
        buffer [in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        sem_signal (&mutex);
        sem_signal (&full);
void consumer (void *ignored) {
    for (;;) {
        sem_wait (&full);
        sem_wait (&mutex);
        nextConsumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        sem_signal (&mutex);
        sem_signal (&empty);
        /* consume the item in nextConsumed */
```

Summary

- Read Ch. 1-6
- Processes and Threads (Ch. 4)
- Process Scheduling (Ch. 5)
- Synchronization (Ch. 6)
- Project 1 Scheduling and Synchronization