Operating Systems Lecture 10

lock and conditional variable design

Prof. Mengwei Xu

Recap: Scheduling



Round-Robin Scheduling:

- Give each thread a small amount of CPU time when it executes; cycle between all ready threads
- Pros: Better for short jobs

• Shortest Job First (SJF) / Shortest Remaining Time First (SRTF):

- Run whatever job has the least amount of computation to do/least remaining amount of computation to do
- Pros: Optimal (average response time)
- Cons: Hard to predict future, Unfair

Recap: Scheduling



• Lottery Scheduling:

- Give each thread a priority-dependent number of tokens (short tasks ⇒ more tokens)

Multi-Level Feedback Scheduling:

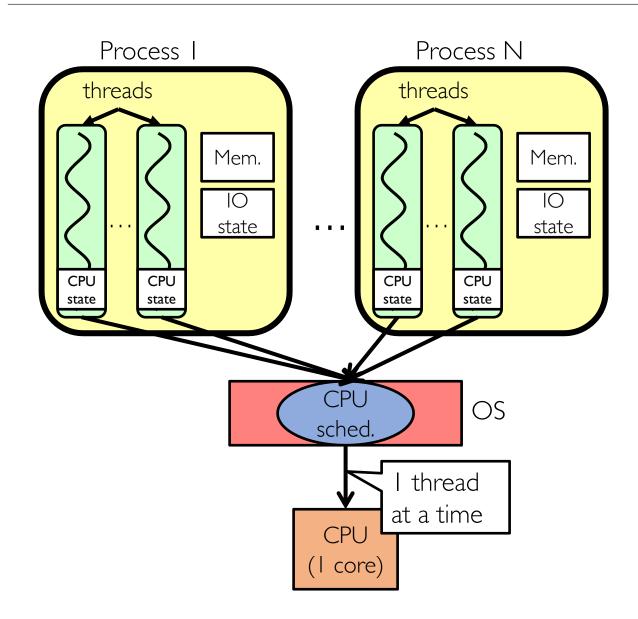
- Multiple queues of different priorities and scheduling algorithms
- Automatic promotion/demotion of process priority in order to approximate SJF/SRTF

Real-time scheduling

- Need to meet a deadline, predictability essential
- Earliest Deadline First (EDF) and Rate Monotonic (RM) scheduling

OS Conceptual Framework





- Physical addresses shared
 - So: Processes and Address Translation
- CPU must be Shared
 - So: Threads
- Processes aren't trusted
 - So: Kernel/Userspace Split
- Threads might not cooperate
 - **So:** Use timer interrupts to context switch ("preemption")

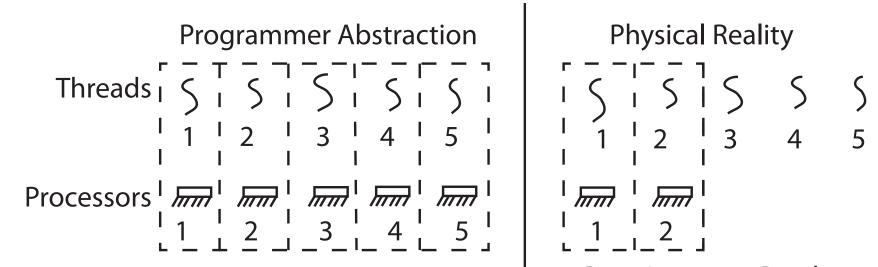
Goals for Today

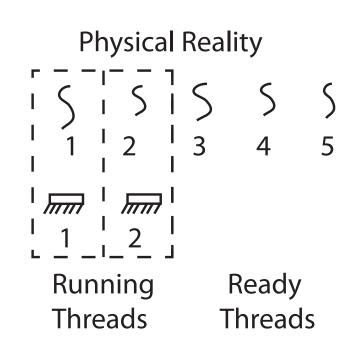


- Motivating synchronization: why it's difficult
- Locks
- Condition variables
- Semaphores

Recall: Thread Abstraction







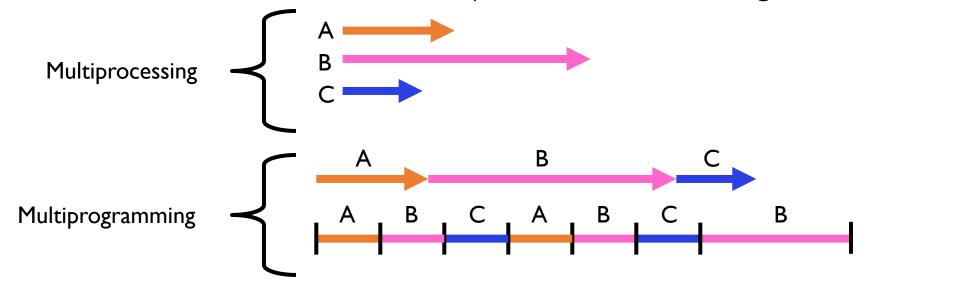
- Infinite number of processors
- Threads execute with variable speed
 - Programs must be designed to work with any schedule

Multiprocessing vs Multiprogramming



- Remember Definitions:
 - Multiprocessing = Multiple CPUs or cores or hyperthreads (HW per-instruction interleaving)
 - Multiprogramming

 Multiple Jobs or Processes
 - Multithreading = Multiple threads per Process
- What does it mean to run two threads "concurrently"?
 - Scheduler is free to run threads in any order and interleaving: FIFO, Random, ...



Why Allow Cooperating Threads?



- Advantage I: Share resources
 - One computer, many users
 - One bank balance, many ATMs
 - ☐ What if ATMs were only updated at night?
 - Embedded systems (robot control: coordinate arm & hand)
- Advantage 2: Speedup
 - Overlap I/O and computation
 - ☐ Many different file systems do read-ahead
 - Multiprocessors chop up program into parallel pieces
- Advantage 3: Modularity
 - More important than you might think
 - Chop large problem up into simpler pieces

 - ☐ Makes system easier to extend

Correctness for Systems with Concurrency



- If dispatcher can schedule threads in any way, programs must work under all circumstances
 - Can you test for this?
 - How can you know if your program works?
- Independent Threads:
 - No state shared with other threads
 - Deterministic ⇒ Input state determines results
 - Reproducible ⇒ Can recreate Starting Conditions, I/O
 - Scheduling order doesn't matter (if switch() works!!!)
- Cooperating Threads:
 - Shared State between multiple threads
 - Non-deterministic
 - Non-reproducible
- Non-deterministic and Non-reproducible means that bugs can be intermittent
 - Sometimes called "Heisenbugs"

Interactions Complicate Debugging



- Is any program truly independent?
 - Every process shares the file system, OS resources, network, etc.
 - Extreme example: buggy device driver causes thread A to crash "independent thread" B

- Non-deterministic errors are really difficult to find
 - Example: Memory layout of kernel+user programs
 - ☐ Depends on scheduling, which depends on timer/other things
 - ☐ Original UNIX had a bunch of non-deterministic errors

Problem is at the Lowest Level



• Most of the time, threads are working on separate data, so scheduling doesn't matter:

Thread A
$$x = 1;$$
 Thread B $y = 2;$

• However, what about (Initially, y = 12):

Thread A
$$\times = 1$$
; $\times = 2$;

- X could be I or 2 (non-deterministic!)
- Could even be 3 for serial processors:
 - \square Thread A writes 0001, B writes 0010 \rightarrow scheduling order ABABABBA yields 3!

Problem is at the Lowest Level



• A more complex case (Initially, x = 0):

Thread A
$$\times = \times + 1;$$
 $\times = \times + 2;$

load rl, x add r2, rl, l store x, r2 load rl, x add r2, rl, 2 store x, r2

What are the possible outputs?

Problem is at the Lowest Level



• A more complex case (Initially, x = 0):

Thread A
$$\times = \times + 1;$$
 $\times = \times + 2;$

```
load r1, x
add r2, r1, 1
store x, r2

load r1, x
add r2, r1, 2
store x, r2
```

```
Final: x = 3
```

```
load rl, x
load rl, x
add r2, rl, l
add r2, rl, 2
store x, r2
store x, r2
```

Final:
$$x = 2$$

Final: x = 1

What's Worse: Reordered Instructions by Compiler



- Compilers could reorder the instructions to maximize the instruction level parallelism.
 - Yet, it only ensures the dependency correctness within a thread, not across threads.
 - plnitialized could be set to true before funcA().

```
Thread A Thread B

p = funcA(); y = 2;

plnitialized = true; while(!plnitialized); // wait

q = funcB(p)
```

Atomic Operations



- To understand a concurrent program, we need to know what the underlying indivisible operations are!
- Atomic Operation (原子操作): an operation that always runs to completion or not at all
 - It is *indivisible*: it cannot be stopped in the middle and state cannot be modified by someone else in the middle
 - Fundamental building block if no atomic operations, then have no way for threads to work together
- On most machines, memory references and assignments (i.e. loads and stores) of words are atomic
 - Consequently weird example that produces "3" on previous slide can't happen
- Many instructions are not atomic
 - Double-precision floating point store often not atomic
 - VAX and IBM 360 had an instruction to copy a whole array

Motivation: "Too Much Milk"



- Great thing about OS's analogy between problems in OS and problems in real life
 - Help you understand real life problems better
 - But, computers are much stupider than people
- Example: People need to coordinate:

Time	Person A	Person B
3:00	Look in Fridge. Out of milk	
3:05	Leave for store	
3:10	Arrive at store	Look in Fridge. Out of milk
3:15	Buy milk	Leave for store
3:20	Arrive home, put milk away	Arrive at store
3:25		Buy milk
3:30		Arrive home, put milk away

Definitions



- Synchronization (同步): using atomic operations to ensure cooperation between threads
 - For now, only loads and stores are atomic
 - We are going to show that its hard to build anything useful with only reads and writes
- Mutual Exclusion (互斥): ensuring that only one thread does a particular thing at a time
 - One thread excludes the other while doing its task
- Critical Section (临界区): piece of code that only one thread can execute at once.
 - Critical section is the result of mutual exclusion
 - Critical section and mutual exclusion are two ways of describing the same thing

Definitions



- Lock: prevents someone from doing something
 - Lock before entering critical section and before accessing shared data
 - Unlock when leaving, after accessing shared data
 - Wait if locked
 - ☐ Important idea: all synchronization involves waiting
- For example: fix the milk problem by putting a key on the refrigerator
 - Lock it and take key if you are going to go buy milk
 - Fixes too much: roommate angry if only wants orange



- Of Course – We don't know how to make a lock yet

Too Much Milk: Correctness Properties



- Need to be careful about correctness of concurrent programs, since non-deterministic
 - Impulse is to start coding first, then when it doesn't work, pull hair out
 - Instead, think first, then code
 - Always write down behavior first
- What are the correctness properties for the "Too much milk" problem???
 - Never more than one person buys
 - Someone buys if needed
- Restrict ourselves to use only atomic load and store operations as building blocks



- Use a note to avoid buying too much milk:
 - Leave a note before buying (kind of 'lock')
 - Remove note after buying (kind of "unlock")
 - Don't buy if note (wait)
- Suppose a computer tries this (remember, only memory read/write are atomic):

```
if (noMilk) {
    if (noNote) {
        leave Note;
        buy milk;
        remove note;
    }
}
```





- Use a note to avoid buying too much milk:
 - Leave a note before buying (kind of "lock")
 - Remove note after buying (kind of "unlock")
 - Don't buy if note (wait)
- Suppose a computer tries this (remember, only memory read/write are atomic):

```
Thread A
if (noMilk) {
   if (noNote) {
     leave Note;
     buy Milk;
     remove Note;
   }
}
```

```
if (noMilk) {
  if (noNote) {

    leave Note;
    buy Milk;
    remove Note;
  }
}
```



- Use a note to avoid buying too much milk:
 - Leave a note before buying (kind of "lock")
 - Remove note after buying (kind of "unlock")
 - Don't buy if note (wait)
- Suppose a computer tries this (remember, only memory read/write are atomic):

```
if (noMilk) {
    if (noNote) {
        leave Note;
        buy milk;
        remove note;
    }
}
```



- Result?
 - Still too much milk but only occasionally!
 - Thread can get context switched after checking milk and note but before buying milk!
- Solution makes problem worse since fails intermittently
 - Makes it really hard to debug...
 - Must work despite what the dispatcher does!



- Clearly the Note is not quite blocking enough
 - Let's try to fix this by placing note first
- Another try at previous solution:

```
leave Note;
if (noMilk) {
    if (noNote) {
       buy milk;
    }
}
remove Note;
```

- What happens here?
 - Well, with human, probably nothing bad
 - With computer: no one ever buys milk



- How about labeled notes?
 - Now we can leave note before checking
- Algorithm looks like this:

```
Interest A
leave note A;
if (noNote B) {
    if (noMilk) {
        buy Milk;
    }
}
remove note A;
```

Does this work?

```
Thread B
leave note B;
if (noNoteA) {
    if (noMilk) {
        buy Milk;
     }
}
remove note B;
```



- How about labeled notes?
 - Now we can leave note before checking
- Algorithm looks like this:

```
Inread A
leave note A;
if (noNote B) {
   if (noMilk) {
      buy Milk;
    }
}
remove note A;
```

```
Thread B
leave note B;
if (noNoteA) {
   if (noMilk) {
     buy Milk;
   }
}
remove note B;
```

- Does this work?
- Possible for neither thread to buy milk
 - Context switches at exactly the wrong times can lead each to think that the other is going to buy
- Really insidious:
 - Extremely unlikely this would happen, but will at worse possible time
 - Probably something like this in UNIX



• Here is a possible two-note solution:

```
Thread A
leave note A;
while (note B) {\\X
    do nothing;
}
if (noMilk) {
    buy milk;
}
remove note A;
```

• Does this work?

```
Thread B
leave note B;
if (noNote A) {\\Y
    if (noMilk) {
       buy milk;
    }
}
remove note B;
```



Here is a possible two-note solution:

- Does this work? Yes. Both can guarantee that:
 - It is safe to buy, or
 - Other will buy, ok to quit
- At **X**:
 - If no note B, safe for A to buy,
 - Otherwise wait to find out what will happen
- At Y:
 - If no note A, safe for B to buy
 - Otherwise, A is either buying or waiting for B to quit

Case I



• "leave note A" happens before "if (noNote A)"

```
leave note A;
                                 leave note B;
                      happened
                                    (noNote A) {\
while (note B) {\\X
                      before
                                     if (noMilk) {
    do nothing;
                                         buy milk;
};
                                 remove note B;
if (noMilk) {
    buy milk;}
remove note A;
```

Case I



• "leave note A" happens before "if (noNote A)"

```
leave note A;
                                 leave note B;
                      happened
                                    (noNote A) {\
while (note B) {\\X
                       before
                                     if (noMilk) {
    do nothing;
                                         buy milk;
};
                                 remove note B;
if (noMilk) {
    buy milk;}
remove note A;
```

Case I



• "leave note A" happens before "if (noNote A)"

```
leave note A;
                                  leave note B;
                      happened
                                     (noNote A) {\\Y
while (note B) {\\X
                       before
                                      if (noMilk) {
    do nothing;
                                          buy milk;
};
         Wait for
         note B to
                                  remove note B;
         I be remove
if (noMilk) {
    buy milk;}
remove note A;
```

Case 2



• "if (noNote A)" happens before "leave note A"

```
leave note B;
                                 if (noNote A) {\\Y
                     happened
                       before
                                     if (noMilk) {
leave note A;
                                         buy milk;
while (note B) {\\X
    do nothing;
};
                                 remove note B;
if (noMilk) {
    buy milk;}
remove note A;
```

Case 2



• "if (noNote A)" happens before "leave note A"

```
leave note B;
if (noNote A) {\\Y

leave note A;
while (note B) {\\X
    do nothing;
};
remove note B;
```

```
if (noMilk) {
    buy milk;}
}
remove note A;
```

Case 2



• "if (noNote A)" happens before "leave note A"

```
leave note B;
                     happened
                                  if (noNote A) {\\Y
                       before
                                      if (noMilk) {
leave note A;
                                          buy milk;
while (note B) {\\X
    do nothing;
};
                                 remove note B;
         Wait for
          note B to
         ↓ be remove
if (noMilk) {
    buy milk;}
remove note A;
```

Solution #3 Discussion



• Our solution protects a single "Critical-Section" piece of code for each thread:

```
if (noMilk) {
   buy milk;
}
```

- Solution #3 works, but it's really unsatisfactory
 - Really complex even for this simple example
 - ☐ Hard to convince yourself that this really works
 - A's code is different from B's what if lots of threads?
 - ☐ Code would have to be slightly different for each thread
 - While A is waiting, it is consuming CPU time
 - ☐ This is called "busy-waiting"
- There's a better way
 - Have hardware provide higher-level primitives than atomic load & store
 - Build even higher-level programming abstractions on this hardware support



- Suppose we have some sort of implementation of a lock
 - lock.Acquire() wait until lock is free, then grab
 - lock.Release() Unlock, waking up anyone waiting
 - These must be atomic operations if two threads are waiting for the lock and both see it's free, only one succeeds to grab the lock
- Then, our milk problem is easy:

```
milklock.Acquire();
if (nomilk)
    buy milk;
milklock.Release();
```

• Once again, section of code between **Acquire()** and **Release()** called a "Critical Section"

Where are we going with synchronization?



Programs	Shared Programs	
Higher- level API	Locks Semaphores Monitors Send/Receive	
Hardware	Load/Store Disable Ints Test&Set Compare&Swap	

- We are going to implement various higher-level synchronization primitives using atomic operations
 - Everything is pretty painful if only atomic primitives are load and store
 - Need to provide primitives useful at user-level

Lock



- Suppose we have some sort of implementation of a lock
 - lock.Acquire() wait until lock is free, then grab
 - lock.Release() Unlock, waking up anyone waiting
 - These must be atomic operations if two threads are waiting for the lock and both see it's free, only one succeeds to grab the lock
- 3 formal properties
 - Mutual exclusion: at most one thread holds the lock
 - Progress: if no thread holds the lock and any thread attempts to acquire the lock, then eventually some thread succeeds in acquiring the lock
 - Bounded waiting: if thread T attempts to acquire a lock, then there exists a bound on the number of times other threads can successfully acquire the lock before T does
 - ☐ Yet, it does not promise that waiting threads acquire the lock in FIFO order.

What does a Lock Guarantee?



- A simple case of lock.
 - Assuming x is shared among threads
 - Other threads only access x with lock

```
int x = 0;
//TI: can we ensure x = 0 here?
lock.acquire();
// T2: can we ensure x = 0 here?
x = 1;
// T3: can we ensure x = 1 here?
lock.release();
// T4: can we ensure x = 1 here?
x = 2;
// T5: can we ensure x = 2 here?
```

What does a Lock Guarantee?



- A simple case of lock.
 - Assuming x is shared among threads
 - Other threads only access x with lock

If a lock is not held, nothing can be guaranteed!

```
int x = 0;
//TI: can we ensure x = 0 here?
lock.acquire();
// T2: can we ensure x = 0 here?
x = 1;
//T3: can we ensure x = 1 here?
lock.release();
// T4: can we ensure x = 1 here?
x = 2;
// T5: can we ensure x = 2 here?
```

Condition Variable



- Condition Variable (条件变量): a queue of threads waiting for something *inside* a critical section
 - Key idea: allow sleeping inside critical section by atomically releasing lock at time we go to sleep
- Operations:
 - Wait(&lock): Atomically release lock and go to sleep. Re-acquire lock later, before returning.
 - Signal(): Wake up one waiter, if any
 - Broadcast(): Wake up all waiters
 - Differentiate them from UNIX wait and signal

Condition Variable Example



- Condition Variable (条件变量): a queue of threads waiting for something *inside* a critical section
 - Key idea: allow sleeping inside critical section by atomically releasing lock at time we go to sleep
- A common pattern:

```
FuncA_wait() {
    lock.acquire();
    // read/write shared state here
    while (!testOnSharedState())
        cv.wait(&lock);
    assert(testOnSharedState());
    lock.release();
}
```

```
FuncB_signal() {
    lock.acquire();
    // read/write shared state here
    // If state has changed that allows
    another thread to make progress, call
    signal or broadcast
    cv.signal();
    lock.release();
}
```

Condition Variable Example



• A concrete example of bounded queue implementation (or producer-

consumer, 生产者消费者)

```
class bounded queue {
  Lock lock;
  CV itemAdded;
  CV itemRemoved;
  void insert(int item);
  int remove();
```

```
void bounded_queue::insert(int item) {
  lock.acquire();
  while (queue.full()) {
     itemRemoved.wait(&lock);
  add_item(item);
  itemAdded.signal();
  lock.release();
```

How to implement remove()?

Condition Variable Example



• A concrete example of bounded queue implementation (or producer-

consumer, 生产者消费者)

- Two key principles
 - CV is always used with lock acquired
 - CV is put in a while loop. Why?

```
void bounded_queue::insert(int item) {
  lock.acquire();
  while (queue.full()) {
     itemRemoved.wait(&lock);
  add_item(item);
  itemAdded.signal();
  lock.release();
```

Semaphores

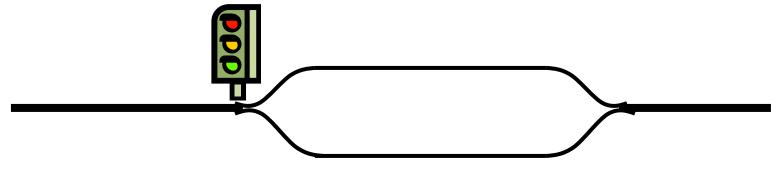


- Semaphores (信号量) are a kind of generalized lock
 - First defined by Dijkstra in late 60s
 - Main synchronization primitive used in original UNIX
- Definition: a Semaphore has a non-negative integer value and supports the following two operations:
 - P(): an atomic operation that waits for semaphore to become positive, then decrements it by I
 - ☐ Think of this as the wait() operation
 - V(): an atomic operation that increments the semaphore by I, waking up a waiting P, if any
 - ☐ This of this as the signal() operation
 - Note that P() stands for "proberen" (to test) and V() stands for "verhogen" (to increment) in Dutch

Semaphores vs. Integers



- Semaphores are like integers, except
 - No negative values
 - Only operations allowed are P and V can't read or write value, except to set it initially
 - Operations must be atomic
 - ☐ Two P's together can't decrement value below zero
 - ☐ Similarly, thread going to sleep in P won't miss wakeup from V even if they both happen at same time
- Semaphore from railway analogy
 - Here is a semaphore initialized to 2 for resource control:



Two Uses of Semaphores



1. Mutual Exclusion (initial value = 1)

- Also called "Binary Semaphore".
- Can be used for mutual exclusion:

```
semaphore.P();
// Critical section goes here
semaphore.V();
```

2. Scheduling Constraints (initial value = 0)

- Allow thread I to wait for a signal from thread 2, i.e., thread 2 schedules thread I when a given event occurs
- Example: suppose you had to implement ThreadJoin which must wait for thread to terminate:

```
Initial value of semaphore = 0
ThreadJoin {
    semaphore.P();
}
ThreadFinish {
    semaphore.V();
}
```

Producer-Consumer with a Bounded Buffer

Producer

Buffer



Consumer

- Problem Definition
 - Producer puts things into a shared buffer
 - Consumer takes them out
 - Need synchronization to coordinate producer/consumer
- Don't want producer and consumer to have to work in lockstep, so put a fixed-size buffer between them
 - Need to synchronize access to this buffer
 - Producer needs to wait if buffer is full
 - Consumer needs to wait if buffer is empty
- Example 1: GCC compiler
 - cpp | cc1 | cc2 | as | ld
- Example 2: Coke machine
 - Producer can put limited number of Cokes in machine
 - Consumer can't take Cokes out if machine is empty

Correctness constraints for solution



- Correctness Constraints:
 - Consumer must wait for producer to fill buffers, if none full (scheduling constraint)
 - Producer must wait for consumer to empty buffers, if all full (scheduling constraint)
 - Only one thread can manipulate buffer queue at a time (mutual exclusion)
- Remember why we need mutual exclusion
 - Because computers are stupid
 - Imagine if in real life: the delivery person is filling the machine and somebody comes up and tries to stick their money into the machine
- General rule of thumb: Use a separate semaphore for each constraint
 - Semaphore fullSlots; // consumer's constraint
 - Semaphore emptySlots;// producer's constraint
 - Semaphore mutex; // mutual exclusion

Full Solution to Bounded Buffer



```
Semaphore fullSlots = ?;
Semaphore emptySlots = ?;
Semaphore mutex = 1;
                            // No one using machine
Producer(item) {
                            // Wait until space
    emptySlots.P();
                            // Wait until machine free
    mutex.P();
    Enqueue (item);
    mutex.V();
    fullSlots.V();
                            // Tell consumers there is
                             // more coke
Consumer() {
    fullSlots.P();
                            // Check if there's a coke
    mutex.P();
                            // Wait until machine free
    item = Dequeue();
    mutex.V();
    emptySlots.V();
                            // tell producer need more
    return item;
```

Full Solution to Bounded Buffer



```
Semaphore fullSlots = 0; // Initially, no coke
Semaphore emptySlots = bufSize;
                            // Initially, num empty slots
Semaphore mutex = 1;
                            // No one using machine
Producer(item) {
                            // Wait until space
    emptySlots.P();
                            // Wait until machine free
   mutex.P();
   Enqueue (item);
   mutex.V();
    fullSlots.V();
                            // Tell consumers there is
                            // more coke
Consumer() {
    fullSlots.P();
                            // Check if there's a coke
   mutex.P();
                            // Wait until machine free
    item = Dequeue();
    mutex.V();
    emptySlots.V();
                            // tell producer need more
    return item;
```

Discussion about Solution



```
Why asymmetry?
Producer does: emptySlots.P() Increase # of occupied slots
Consumer does: fullSlots.P(), emptySlots.V()
Decrease # of occupied slots
Increase # of occupied slots
```

Discussion about Solution



```
Is order of P's important?
```

Is order of V's important?

What if we have 2 producers or 2 consumers?

```
Producer(item) {
   mutex.P();
   emptySlots.P();
   Enqueue (item) ;
   mutex.V();
   fullSlots.V();
Consumer() {
   fullSlots.P();
   mutex.P();
   item = Dequeue();
   mutex.V();
   emptySlots.V();
   return item;
```

Discussion about Solution



Is order of P's important?

• Yes! Can cause deadlock

Is order of V's important?

 No, except that it might affect scheduling efficiency

What if we have 2 producers or 2 consumers?

Do we need to change anything?

```
Producer(item) {
   mutex.P();
   emptySlots.P();
   Enqueue (item) ;
   mutex.V();
   fullSlots.V();
Consumer() {
   fullSlots.P();
   mutex.P();
   item = Dequeue();
   mutex.V();
   emptySlots.V();
   return item;
```

Some Advices



- Always acquire the lock at the beginning of a method and release it right before the return
 - Consistent behavior makes it easier to program
 - Also makes it easier to read and debug

Some Advices



55

- Always acquire the lock at the beginning of a method and release it right before the return
 - Consistent behavior makes it easier to program
 - Also makes it easier to read and debug
- A case: double-checked locking

```
Singleton* Singleton::instance() {
  if (pInstance == NULL) {
    pInstance = new Instance();
  }
  return pInstance;
}
```

Singleton* Singleton::instance() {
 lock.acquire();
 if (pInstance == NULL) {
 pInstance = new Instance();
 }
 lock.release();
 return pInstance;
}

An unsafe solution

A safe solution

```
Singleton* Singleton::instance() {
   if (pInstance == NULL) {
      lock.acquire();
      if (pInstance == NULL) {
         pInstance = new Instance();
      }
      lock.release();
   }
   return pInstance;
}
```

An ``optimized" solution.

Is it safe?