Concurrency and Synchronisation

Learning Outcomes

- Understand concurrency is an issue in operating systems and multithreaded applications
- Know the concept of a critical region.
- Understand how <u>mutual exclusion of critical regions</u> can be used to solve concurrency issues
 - Including how mutual exclusion can be implemented correctly and efficiently.
- Be able to identify and solve a producer consumer bounded buffer problem.
- Understand and apply standard synchronisation primitives to solve synchronisation problems.

Textbook

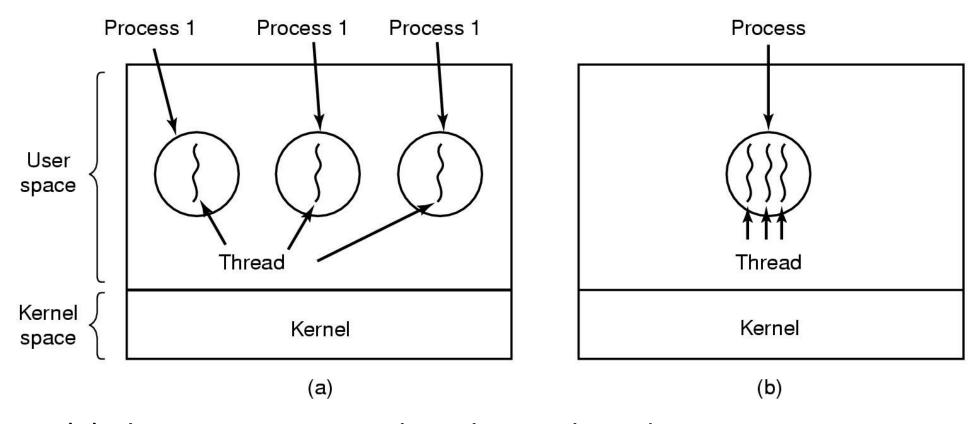
• Sections 2.3 - 2.3.7 & 2.5

Concurrency Example

count is a <u>global</u> variable shared between two threads, t is a local variable. After increment and decrement complete, what is the value of count?

```
void increment ()
                              void decrement ()
     int t;
                               int t;
     t = count;
                               t = count;
     t = t + 1;
                               t = t - 1;
     count = t;
                               count = t;
         We have a
             race
          condition
```

Where is the concurrency?

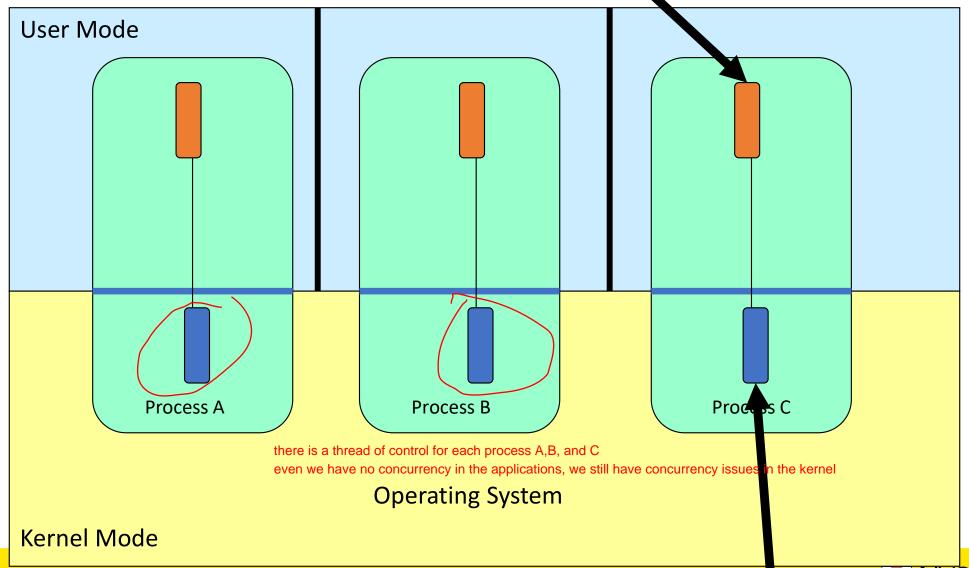


- (a) Three processes each with one thread
- (b) One process with three threads



There is in-kernel concurrency even for singlethreaded processes single threaded OS still has to deal with some concurrency issues

Process's user-level stack and execution state



Critical Region

critical section

- We can control access to the shared resource by controlling access to the code that accesses the resource.
- ⇒ A *critical region* is a region of code where shared resources are accessed.
 - Variables, memory, files, etc...
- Uncoordinated entry to the critical region results in a race condition
 - ⇒ Incorrect behaviour, deadlock, lost work,...

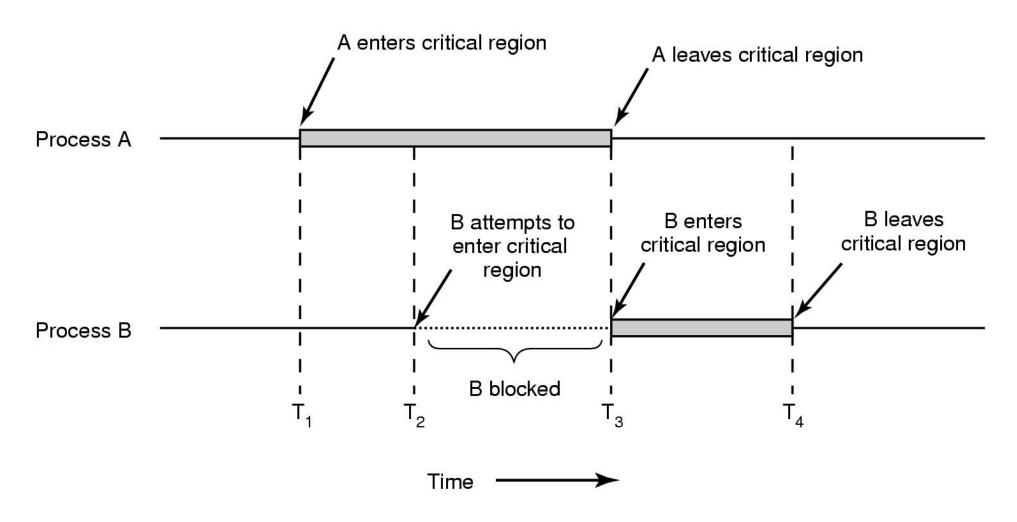
Identifying critical regions

- Critical regions are regions of code that:
 - Access a shared resource,
 - and correctness relies on the shared resource not being concurrently modified by another thread/process/entity.

```
void increment ()
{
    int t;
    t = count;
    t = t + 1;
    count = t;
}
void decrement ()

{
    int t;
    int t;
    t = count;
    t = t - 1;
    count = t;
}
```

Accessing Critical Regions



Mutual exclusion using critical regions

Example critical regions

```
struct node {
  int data;
  struct node *next;
};
struct node *head;

void init(void)
{
  head = NULL;
}
```

• Simple last-in-first-out queue implemented as a linked list.

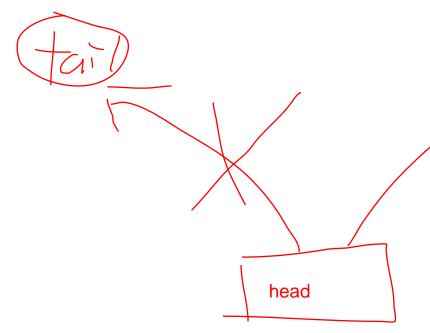
```
void insert(struct *item)
 item->next = head;
 head = item;
struct node *remove(void)
 struct node *t;
 t = head;
 if (t != NULL) {
      head = head->next;
 return t;
```

Example Race

```
void insert(struct *item)
{
  item->next = head;
  head = item;
}
```

```
void insert(struct *item)
{
   item->next = head;
   head = item;
}
```

we have a memory leak here



the process switches and one tail is lost

Example critical regions

```
struct node {
  int data;
  struct node *next;
};
struct node *head;

void init(void)
{
  head = NULL;
}
```

Critical sections

```
void insert(struct *item)
 item->next = head;
 head = item;
struct node *remove(void)
 struct node *t;
 t = head;
 if (t != NULL) {
      head = head->next;
 return t;
```

Critical Regions Solutions

- We seek a solution to coordinate access to critical regions.
 - Also called critical sections
- Conditions required of any solution to the critical region problem
 - 1. Mutual Exclusion:
 - No two processes simultaneously in critical region
 - 2. No assumptions made about speeds or numbers of CPUs
 - 3. Progress
 - No process running outside its critical region may block another process
 - 4. Bounded
 - No process waits forever to enter its critical region

A solution?

- A lock variable room, open the lock can go in
 - If lock == 1,
 - somebody is in the critical section and we must wait
 - If lock == 0,
 - nobody is in the critical section and we are free to enter

Suppose that one process reads the lock and sees that it is 0. Before it can set the lock to 1, another process is scheduled, runs, and sets the lock to 1. When the first process runs again, it will also set the lock to 1, and two processes will be in their critical regions at the same time.

A solution?

```
while(TRUE) {
  while(lock == 1);
  lock = 1;
  critical();
  lock = 0
  non_critical();
}
while(TRUE) {
  while(lock == 1);
  lock = 1;
  critical();
  lock = 0
  non_critical();
}
```

A problematic execution sequence

```
while(TRUE) {
                                while(TRUE) {
                                 while(lock == 1);
 while(lock == 1);
                          both threads enter before lock is set to 1
 lock = 1;
                                  lock = 1;
 critical();
                                  critical();
 lock = 0
 non critical();
                                  lock = 0
                                  non critical();
```

Observation

- Unfortunately, it is usually easier to show something does not work, than it is to prove that it does work.
 - Easier to provide a counter example
 - Ideally, we'd like to prove, or at least informally demonstrate, that our solutions work.

Mutual Exclusion by Taking Turns

Proposed solution to critical region problem (a) Process 0. (b) Process 1.

Mutual Exclusion by Taking Turns

- Works due to strict alternation
 - Each process takes turns
- Cons
 - Busy waiting spinning lock
 - Process must wait its turn even while the other process is doing something else.
 - With many processes, must wait for everyone to have a turn
 - Does not guarantee progress if a process no longer needs a turn.
 - Poor solution when processes require the critical section at differing rates

Mutual Exclusion by Disabling Interrupts

this works for uniprocessor operating system using disabling interrupts it doesn't work on multiprocessor operating system this is because interrupts are not global variables in the machine, they are per CPU base

- Before entering a critical region, disable interrupts
- After leaving the critical region, enable interrupts
- Pros
 - simple

Cons

Only available in the kernel

this solution is only available in the OS using interrupts

you can't have interrupt application.

it slows when for IO intensive application

- Delays everybody else, even with no contention
 - Slows interrupt response time
- Does not work on a multiprocessor

Hardware Support for mutual exclusion

- Test and set instruction
 - Can be used to implement lock variables correctly
 - It loads the value of the lock
 - If lock == 0,
 - set the lock to 1
 - return the result 0 we acquire the lock
 - If lock == 1
 - return 1 another thread/process has the lock
 - Hardware guarantees that the instruction executes atomically.
 - Atomically: As an indivisible unit.

load the value of the lock variable, observe a 0, meaning lock is free this avoids the problem we had, so that the lock is single indivisible instruction

Mutual Exclusion with Test-and-Set

MOVE LOCK,#0

RET | return to caller

```
enter_region:

TSL REGISTER,LOCK | copy lock to register and set lock to 1

CMP REGISTER,#0 | was lock zero?

JNE enter_region | if it was non zero, lock was set, so loop

RET | return to caller; critical region entered

leave_region:
```

Entering and leaving a critical region using the TSL instruction

store a 0 in lock



Test-and-Set

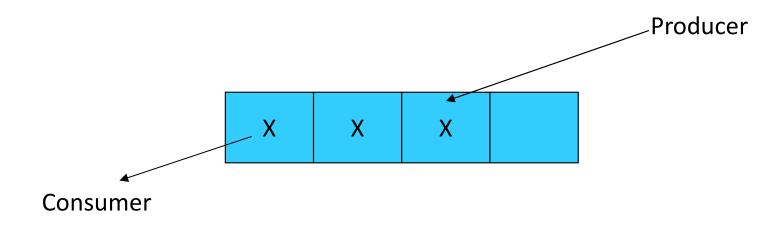
- Pros
 - Simple (easy to show it's correct)
 - Available at user-level
 - To any number of processors
 - To implement any number of lock variables
- Cons
 - Busy waits (also termed a spin lock)
 - Consumes CPU
 - Starvation is possible when a process leaves its critical section and more than one process is waiting.

Tackling the Busy-Wait Problem

- Sleep / Wakeup the cv variables are used to sleep and wakeup the thread
 - The idea
 - When process is waiting for an event, it calls sleep to block, instead of busy waiting.
 - The event happens, the event generator (another process) calls wakeup to unblock the sleeping process.
 - Waking a ready/running process has no effect.

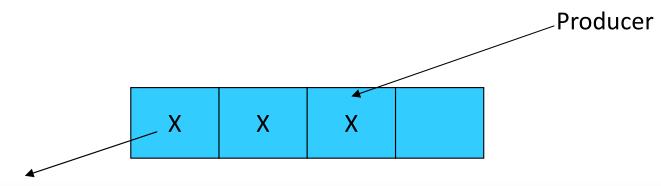
The Producer-Consumer Problem

- Also called the bounded buffer problem
- A producer produces data items and stores the items in a buffer
- A consumer takes the items out of the buffer and consumes them.



Issues

- We must keep an accurate count of items in buffer
 - Producer
 - should sleep when the buffer is full,
 - and wakeup when there is empty space in the buffer
 - The consumer can call wakeup when it consumes the first entry of the full buffer
 - Consumer
 - should sleep when the buffer is empty
 - and wake up when there are items available
 - Producer can call wakeup when it adds the first item to the buffer



Pseudo-code for producer and consumer

```
int count = 0;
                             con() {
#define N 4 /* buf size */ while(TRUE) {
                                   if (count == 0)
prod() {
 while(TRUE) {
                                        sleep(con);
     item = produce()
                                   remove item();
     if (count == N)
                                   count--;
          sleep(prod);
                                   if (count == N-1)
     insert item();
                                        wakeup(prod);
     count++;
     if (count == 1)
          wakeup(con);
```

Problems

2 race

```
int count = 0;
                               con() {
#define N 4 /* buf size */ while(TRUE) {
                                     if (count == 0)
prod() {
 while(TRUE) {
                                           sleep(con);
                                     remove item();
     item = produce()
     if (count == N)
                                     count--;
                                      f (count == N-1)
           زر(prod) sleep
     insert item();
                                            keup(prod);
     count++; —
                                           Concurrent uncontrolled
     if (count == 1)
                                             access to the buffer
          wakeup(con);
```

Problems

```
int count = 0;
                               con() {
#define N 4 /* buf size */ while(TRUE) {
                                     if (count == 0)
prod() {
 while(TRUE) {
                                          sleep(con);
     item = produce()
                                     remove item();
     if (count == N)
                                     count--;
                                     if (count == N-1)
           sleep(prod);
     insert item();
                                          wakeup(prod);
     count++;
                                           Concurrent uncontrolled
     if (count == 1)
                                            access to the counter
          wakeup(con);
```

Proposed Solution

 Lets use a locking primitive based on test-and-set to protect the concurrent access

Proposed solution?

```
int count = 0;
       lock t buf lock;
                                            con() {
       #define N 4 /* buf size */
                                             while(TRUE) {
       prod() {
                                                  if (count == 0)
         while(TRUE) {
                                                        sleep(con);
              item = produce()
                                                  acquire lock(buf lock)
              if (count == N)
                                                  remove item();
                    sleep(prod);
                                                  count--;
            acquire lock(buf lock)
we assume we have mutual
                                                  release lock(buf lock);
exclusion of these two functioninsert item();
                                                  if (count == N-1)
              count++;
                                                        wakeup(prod);
           release lock(buf lock)
              if (count == 1)
                    wakeup(con);
```

however this solution still doesn't work because count is out of concurrency's control

Problematic execution sequence

```
con() {
 while(TRUE) {
        if (count == 0)
                    wakeup without a
                  matching sleep is lost
                 sleep(con);
        acquire lock(buf lock)
        remove_item();
        count--;
        release lock(buf lock);
        if (count == N-1)
                 wakeup(prod);
```

Problem

- The test for some condition and actually going to sleep needs to be atomic
- The following does not work:

The lock is held while asleep ⇒ count will never change

Semaphores

- Dijkstra (1965) introduced two primitives that are more powerful than simple sleep and wakeup alone.
 - P(): proberen, from Dutch to test.
 - V(): verhogen, from Dutch to increment.
 - Also called wait & signal, down & up.

How do they work

- If a resource is not available, the corresponding semaphore blocks any process waiting for the resource
- Blocked processes are put into a process queue maintained by the semaphore (avoids busy waiting!)
- When a process releases a resource, it signals this by means of the semaphore
- Signalling resumes a blocked process if there is any
- Wait (P) and signal (V) operations cannot be interrupted
- Complex coordination can be implemented by multiple semaphores

Semaphore Implementation

Define a semaphore as a record

```
typedef struct {
  int count;
  struct process *L;
} semaphore;
```

- Assume two simple operations:
 - sleep suspends the process that invokes it.
 - wakeup(P) resumes the execution of a blocked process P.

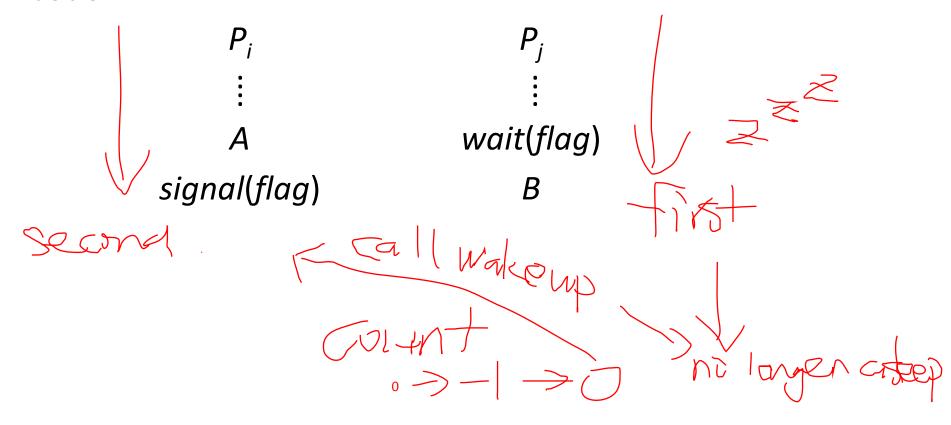
• Semaphore operations now defined as

```
wait(S):
                                   we are counting signals
           S.count--;
           if (S.count < 0) {
                      add this process to S.L;
                      sleep;
signal(S):
           S.count++;
           if (S.count <= 0) {
                      remove a process P from S.L;
                      wakeup(P);
```

- Each primitive is atomic
 - E.g. interrupts are disabled for each

Semaphore as a General Synchronization Tool

- Execute B in P_i only after A executed in P_i
- Use semaphore count initialized to 0
- Code:



Semaphore Implementation of a Mutex

if A goes first, decrement 1 to 0, enters critical section, B calls it, decrement 0 to -1, now B is sleep, at the end of critical section, signal is called, A will increment the value to 0, which will wake up B, now A leaves the critical section and B can enter the critical section

- Mutex is short for Mutual Exclusion
 - Can also be called a lock

```
semaphore mutex;
mutex.count = 1; /* initialise mutex */
sequire
wait(mutex); /* enter the critical region */
Blahblah();
```

```
release lock
signal (mutex); /* exit the critical region */
```

Notice that the initial count determines how many waits can progress before blocking and requiring a signal ⇒ mutex.count initialised as 1

Solving the producer-consumer problem with semaphores

```
#define N = 4

semaphore mutex = 1;

/* count empty slots */
semaphore empty = N;

empty and full are semaphores to control the buffer

/* count full slots */
semaphore full = 0;
```

Solving the producer-consumer problem with semaphores

```
prod()
                                              con()
        while (TRUE)
                                                while(TRUE) {
             item = produce()
                                                     wait(full);
             wait(empty);
                                                     wait(mutex);
this is passed 4 times
before producer is put to sleep
                                                                       sync insert and remove
             wait(mutex)
                                                     remove item()
             insert item();
                                                     signal (mutex);
                                  sync insert and remove
             signal (mutex);
                                                     signal(empty);
             signal(full);
```

Summarising Semaphores

- Semaphores can be used to solve a variety of concurrency problems
- However, programming with then can be error-prone
 - E.g. must *signal* for every *wait* for mutexes
 - Too many, or too few signals or waits, or signals and waits in the wrong order, can have catastrophic results

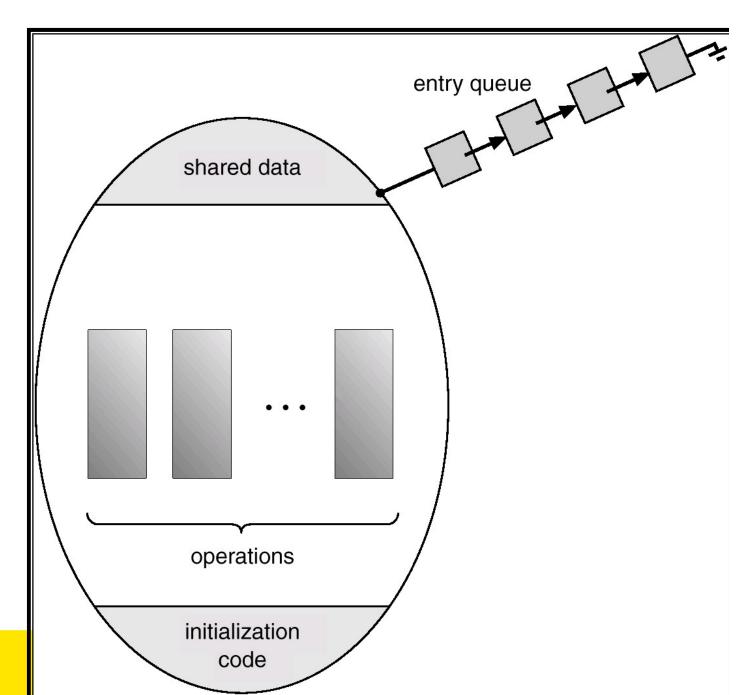
Monitors

- To ease concurrent programming, Hoare (1974) proposed monitors.
 - A higher level synchronisation primitive
 - Programming language construct
- Idea
 - A set of procedures, variables, data types are grouped in a special kind of module, a *monitor*.
 - Variables and data types only accessed from within the monitor
 - Only one process/thread can be in the monitor at any one time
 - Mutual exclusion is implemented by the compiler (which should be less error prone)

Monitor

 When a thread calls a monitor procedure that has a thread already inside, it is queued and it sleeps until the current thread exits the monitor.

only one thread inside at a time



```
monitor example
       integer i;
                      private in the monitor, shared resources
       condition c;
       procedure producer( );
       end;
       procedure consumer( );
       end;
 end monitor;
Example of a monitor
```

Simple example

How do we block waiting for an event?

- We need a mechanism to block waiting for an event (in addition to ensuring mutual exclusion)
 - e.g., for producer consumer problem when buffer is empty or full
- Condition Variables waiting for a particular thing to happen

Condition Variable

 To allow a process to wait within the monitor, a condition variable must be declared, as

condition x, y;

- Condition variable can only be used with the operations wait and signal.
 - The operation

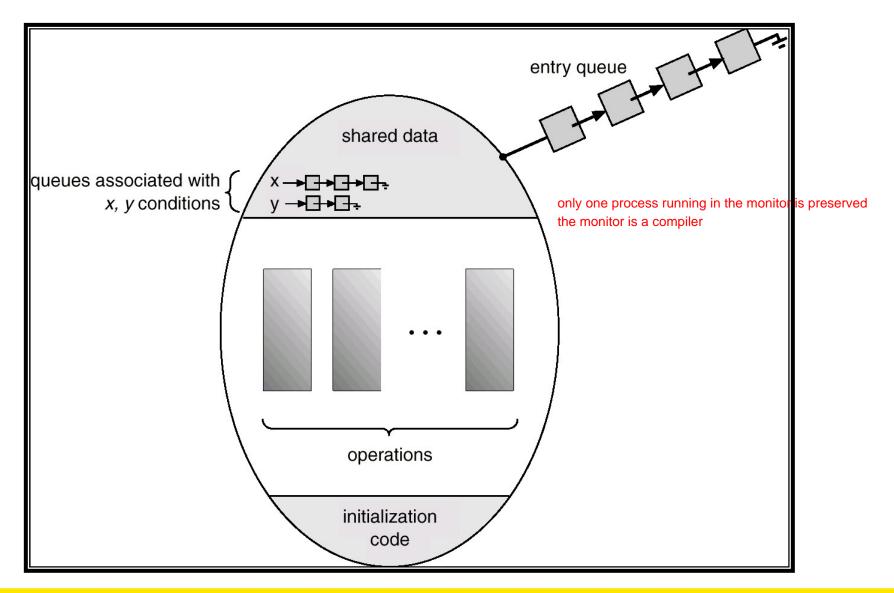
x.wait();

- means that the process invoking this operation is suspended until another process invokes
- Another thread can enter the monitor while original is suspended

x.signal();

• The **x.signal** operation resumes exactly one suspended process. If no process is suspended, then the **signal** operation has no effect.

Condition Variables



Monitors

only one of these inserts or removes can be active in the monitor at a time

```
monitor ProducerConsumer
                                                     procedure producer;
     condition full, empty;
                                                     begin
     integer count;
                                                          while true do
     procedure insert(item: integer);
                                                          begin
     begin
                                                                item = produce_item;
           if count = N then wait(full);
                                                                ProducerConsumer.insert(item)
           insert_item(item);
                                                          end
                                                                          producer
           count := count + 1;
                                                     end:
           if count = 1 then signal(empty)
                                                     procedure consumer;
     end;
                                                     begin
     function remove: integer;
                                                          while true do
     begin
                                                          begin
           if count = 0 then wait(empty);
                                                                item = ProducerConsumer.remove;
           remove = remove_item;
                                                                consume_item(item)
           count := count - 1;
                                                          end
                                                                       consumer
           if count = N - 1 then signal(full)
                                                     end:
     end:
     count := 0;
end monitor:
```

- Outline of producer-consumer problem with monitors
 - only one monitor procedure active at one time
 - buffer has N slots

OS/161 Provided Synchronisation Primitives

- Locks
- Semaphores
- Condition Variables going to sleep until something happens

Locks

Functions to create and destroy locks

```
struct lock *lock_create(const char *name);
void lock_destroy(struct lock *);
```

Functions to acquire and release them

```
void lock_acquire(struct lock *);
void lock_release(struct lock *);
```

Example use of locks

```
int count;
struct lock *count lock
main() {
 count = 0;
 count lock =
     lock create("count
 lock");
 if (count lock == NULL)
     panic("I'm dead");
 stuff();
```

```
procedure inc()
 lock_acquire(count lock);
 count = count + 1;
 lock release(count lock);
procedure dec() {
 lock acquire(count lock);
 count = count -1;
 lock_release(count_lock);
```

Semaphores

the number defines the number of Ps that can go pass before P puts a thread into sleep

Example use of Semaphores

```
procedure inc() {
  int count;
                                    P(count mutex);
  struct semaphore
    *count mutex;
                                    count = count + 1;
                                    V(count mutex);
  main() {
   count = 0;
                                  procedure dec() {
   count mutex =
                                    P(count mutex);
        sem create("count",
                                    count = count -1;
only allowed 1 P
                                    V(count mutex);
   if (count mutex == NULL)
        panic("I'm dead");
   stuff();
                     check
```

Condition Variables

```
struct cv *cv create(const char *name);
void
              cv destroy(struct cv *);
void
              cv wait(struct cv *cv, struct lock *lock);

    Releases the lock and blocks

                                           puts the current thread to sleep, and release the current lock
                                           once woken up, the thread regains the lock

    Upon resumption, it re-acquires the lock

    Note: we must recheck the condition we slept on

              cv_signal(struct cv *cv, struct lock *lock);
void
              cv broadcast(struct cv *cv, struct lock *lock);
void

    Wakes one/all, does not release the lock

    First "waiter" scheduled after signaller releases the lock will re-

     acquire the lock
```

Note: All three variants must hold the lock passed in.

Condition Variables and Bounded Buffers

Non-solution

Solution

monitor like construct

```
lock_acquire(c_lock)
while (count == 0)
   cv_wait(c_cv, c_lock);
remove_item();
count--;
lock_release(c_lock);
```

Alternative Producer-Consumer Solution

Using OS/161 CVs

lock is for

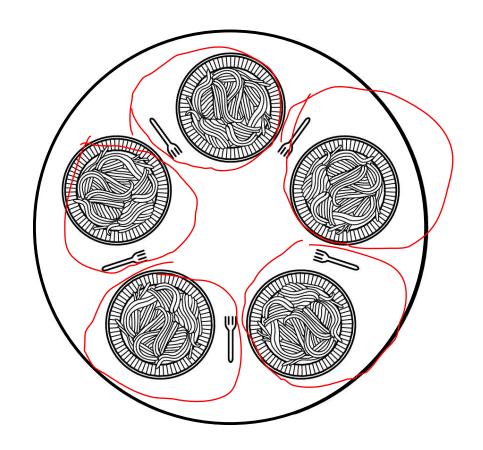
mutual excl

lock variables basically will stop any code from running until they obtain a lock variable

semaphores can be used to keep track of bounded buffer size, or mutal excl, we call semaphore variables mutex.

```
condition variables are used to make mutexes work better, which
int count = 0;
                                                              let you sleep threads.
                                                              Semaphores will do the same thing, but can also do other tasks
#define N 4 /* buf size */
                                                              (like letting max 2 threads work)
                                                              if the semaphore is capacity 1, it is virtually identical to lock
prod() {
                                              con()
                                                              acquire
  while(TRUE) {
                                                while (TRUE)
                                                      lock acquire(1
        item = produce()
                                                      while (count == 0)
        lock aquire(1)
                                                             cv wait(empty,1);
        while (count == N)
                                   two arguments here
             cv wait(full,1)
                                                      item = remove item();
        insert item(item);
                                                      count--;
                                                      cv signal(full,1);
        count++;
        cv signal(empty,1);
                                                      lock release(1);
        -lock release(1)
                                                      consume(item);
```

- Philosophers eat/think
- Eating needs 2 forks
- Pick one fork at a time
- How to prevent deadlock



```
5
#define N
                                       /* number of philosophers */
                                       /* number of i's left neighbor */
#define LEFT
                      (i+N-1)%N
                                       /* number of i's right neighbor */
#define RIGHT
                      (i+1)%N
                                       /* philosopher is thinking */
#define THINKING
                                       /* philosopher is trying to get forks */
#define HUNGRY
                                       /* philosopher is eating */
#define EATING
                                       /* semaphores are a special kind of int */
typedef int semaphore;
                                       /* array to keep track of everyone's state */
int state[N];
semaphore mutex = 1;
                                       /* mutual exclusion for critical regions */
semaphore s[N];
                                       /* one semaphore per philosopher */
void philosopher(int i)
                                       /* i: philosopher number, from 0 to N-1 */
    while (TRUE) {
                                       /* repeat forever */
                                       /* philosopher is thinking */
         think();
                                       /* acquire two forks or block */
         take_forks(i);
                                       /* yum-yum, spaghetti */
         eat();
                                       /* put both forks back on table */
         put_forks(i);
```

Solution to dining philosophers problem (part 1)

```
#define N 5
                                          /* number of philosophers */
                                          /* i: philosopher number, from 0 to 4 */
void philosopher(int i)
    while (TRUE) {
          think();
                                          /* philosopher is thinking */
          take_fork(i);
                                          /* take left fork */
          take_fork((i+1) \% N);
                                          /* take right fork; % is modulo operator */
                                          /* yum-yum, spaghetti */
          eat();
                                          /* put left fork back on the table */
          put_fork(i);
          put_fork((i+1) % N);
                                          /* put right fork back on the table */
```

A <u>non</u>solution to the dining philosophers problem

```
/* i: philosopher number, from 0 to N-1 */
void take forks(int i)
     down(&mutex)
                                        /* enter critical region */
                                        /* record fact that philosopher i is hungry */
     state[i] = HUNGRY;
                                        /* try to acquire 2 forks */
    test(i);
     up(&mutex); <
                                        /* exit critical region */
                                        /* block if forks were not acquired */
     down(&s[i]);
void put forks(i)
                                        /* i: philosopher number, from 0 to N-1 */
     down(&mutex);
                                        /* enter critical region */
     state[i] = THINKING;
                                        /* philosopher has finished eating */
                                        /* see if left neighbor can now eat */
    test(LEFT);
                                        /* see if right neighbor can now eat */
    test(RIGHT);
                                        /* exit critical region */
    up(&mutex); <u></u>
void test(i)
                                        /* i: philosopher number, from 0 to N-1 */
     if (state[i] == HUNGRY && state[LEFT] != EATING && state[RIGHT] != EATING) {
         state[i] = EATING;
         up(&s[i]);
```

Solution to dining philosophers problem (page 2)



The Readers and Writers Problem

check in the textbook

- Models access to a database
 - E.g. airline reservation system
 - Can have more than one concurrent reader
 - To check schedules and reservations
 - Writers must have exclusive access
 - To book a ticket or update a schedule

The Readers and Writers Problem

```
typedef int semaphore;
                                    /* use your imagination */
semaphore mutex = 1;
                                    /* controls access to 'rc' */
semaphore db = 1;
                                    /* controls access to the database */
int rc = 0;
                                    /* # of processes reading or wanting to */
void reader(void)
     while (TRUE) {
                                    /* repeat forever */
                                    /* get exclusive access to 'rc' */
          down(&mutex);
          rc = rc + 1:
                                    /* one reader more now */
          if (rc == 1) down(\&db);
                                    /* if this is the first reader ... */
          up(&mutex);
                                    /* release exclusive access to 'rc' */
          read data base();
                                    /* access the data */
          down(&mutex);
                                    /* get exclusive access to 'rc' */
          rc = rc - 1;
                                    /* one reader fewer now */
          if (rc == 0) up(\&db);
                                    /* if this is the last reader ... */
          up(&mutex);
                                    /* release exclusive access to 'rc' */
          use data read();
                                    /* noncritical region */
void writer(void)
     while (TRUE) {
                                    /* repeat forever */
          think_up_data();
                                    /* noncritical region */
          down(&db);
                                    /* get exclusive access */
          write data base();
                                    /* update the data */
          up(&db);
                                    /* release exclusive access */
```

A solution to the readers and writers problem

