CS-446/646

Synchronization

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Producer-Consumer with **Threads**

```
void* produce(void *arg) {
  int i;
  for(i=0; i<1e7; ++i)
    ++ balance;
}

void* consume(void *arg) {
  int i;
  for(i=0; i<1e7; ++i)
    -- balance;
}</pre>
```

```
int balance = 0;
int main() {
  pthread_t t1, t2;
  pthread_create(&t1, NULL, produce, (void*)1);
  pthread_create(&t2, NULL, consume, (void*)2);
  pthread_join(t1, NULL);
  pthread_join(t2, NULL);
  printf("all done: balance = %d\n", balance);
  return 0;
}
```

```
$ gcc -Wall -pthread -o bank bank.c
$ ./bank
all done: balance = 0
$ ./bank
all done: balance = 140020
$ ./bank
all done: balance = -94304
$ ./bank
all done: balance = -191009
```

Producer-Consumer with Threads

One possible Thread Schedule

Why?

➤ Load – Increment/Decrement – Store

```
$ objdump -d bank
08048464 <produce>:
                              // ++ balance
8048473: a1 80 97 04 08
                              mov 0x8049780, %eax
8048478: 83 c0 01
                              add $0x1, %eax
804847b: a3 80 97 04 08
                              mov %eax,0x8049780
0804849b <consume>:
                              // -- balance
80484aa: a1 80 97 04 08
                              mov 0x8049780, %eax
80484af: 83 e8 01
                              sub $0x1,%eax
80484b2: a3 80 97 04 08
                              mov %eax,0x8049780
```

	Thread 1			Thread 2
mov	0x8049780,%eax	balance:	0	
add	\$0x1,%eax	eax0: 0		
		eax0: 1		
mov	%eax,0x8049780			
		balance:		v 0x8049780,%eax
		eax1: 1		
		eax1: 0	su	b \$0x1,%eax
			mo	v %eax,0x8049780
		balance:	0	

Producer-Consumer with Threads

A more "problematic" Thread Schedule

Why?

► Load – Increment/Decrement – Store

```
$ objdump -d bank
08048464 <produce>:
                              // ++ balance
8048473: a1 80 97 04 08
                              mov 0x8049780, %eax
8048478: 83 c0 01
                              add $0x1,%eax
804847b: a3 80 97 04 08
                              mov %eax,0x8049780
0804849b <consume>:
                              // -- balance
                              mov 0x8049780,%eax
80484aa: a1 80 97 04 08
80484af: 83 e8 01
                              sub $0x1,%eax
80484b2: a3 80 97 04 08
                              mov %eax,0x8049780
```

```
Thread 1
                                    Thread 2
                     balance: 0
mov 0x8049780, %eax
                     eax0:0
add $0x1, %eax
                     eax0: 1
                               mov 0x8049780, %eax
                     eax1: 0
mov %eax,0x8049780
                     balance: 1
                                sub $0x1,%eax
                     eax1: -1
                               mov %eax, 0x8049780
                     balance: -1
```

Interrupt can occur before and after any *Instruction* (but not during it)



Race Condition

Definition: A timing-dependent error involving Shared state

Very bad

- > "Non-Deterministic"
 - > Can't know what the output will be, and it is likely to be different across runs
- > Hard to detect
 - > Too many possible *Schedules*
- > Hard to debug
 - > "Heisen-bug": debugging changes timing so it can hide the bugs (vs "Bohr-bug")

Avoiding Race Conditions

Atomic Operations

- No other *Instructions* can be interleaved
- Entire operation is executed "as a unit" Guaranteed by Hardware

Possible approach:

- ► Have a dedicated *Atomic Instruction* for the job:
 - add \$0x1, 0x8049780

Problem:

- Can't anticipate every possible way we want *Atomicity*
- > Increases Hardware complexity, slows down other *Instructions*

```
// ++ balance
mov 0x8049780,%eax
add $0x1,%eax
mov %eax,0x8049780
```

Layered Approach to Synchronization

- Hardware provides simple low-level *Atomic* Operations
 - > Upon which we can build high-level *Synchronization* Primitives
 - ➤ Upon which we can implement *Critical Sections* and build correct Multi-Threaded/Multi-Processing programs

Properly synchronized Application

High-level Synchronization Primitives

Hardware-provided low-level Atomic operations

- Example low-level *Atomic* Operations
 - On Uniprocessor, disable/enable *Interrupts*
 - On x86, Aligned-Load and Aligned-Store of words
 - Special instructions: Test-Set-Lock/Exchange (TSL, XCHG), Compare-and-Swap (lock CMPXCHG)
- Example high-level *Synchronization* Primitives
 - > Lock, Semaphore, Monitor



The Problem with *Threads*

 \mathbf{x} is a global variable initialized with 0

```
Thread 1

void foo()
{
    x++;
}
```

```
Thread 2

void bar()
{
    x--;
}
```

After both *Threads* finish, what is x?

- \triangleright 0, 1, -1
 - Assembly-level Instruction sequence + Time-Slice Interrupt causing Thread Switching in the middle
 - Would run into same situation with pre-increment as well



The Problem with *Threads*

```
Global int p = 0, ready = 0;
```

```
Process 1

p = 1000;
ready = 1;
```

```
Process 2

while (!ready);
use(p);
```

What value of **p** is read by *Process 2*?

- > 0,1000
 - Compiler is free to Reorder if it can "prove" no side-effects

Synchronization Motivation

Threads cooperate in Multithreaded programs

- To share resources, access shared data structures
- To **coordinate** their execution

For correct execution, control of this cooperation is required

- Thread Scheduling is non-deterministic (i.e. runtime behavior changes on same program re-runs)
 - > Scheduling is not under the Program's control
 - Scheduler is part of OS
 - > Threads interleave executions arbitrarily and at different rates
- Multi-Word operations are not Atomic
- Compiler (e.g. Instructions) and/or Hardware (e.g. Memory) Reordering

Shared Resources

Initially focus on controlling access to Shared Resources

Basic problem

➤ If two concurrent *Threads* (/*Processes*) are accessing a shared variable, and that variable is read/modified/written by those *Threads*, then access to the variable must be controlled

We need

- Mechanisms to control access to *Shared Resources*
 - Locks, Mutexes, Semaphores, Monitors, Condition Variables, etc.
- Patterns for coordinating accesses to *Shared Resources*
 - ➤ Bounded-Buffer, Producer-Consumer, etc.

Example: Bank Account Balance

Implement a function to handle withdrawals from a bank account

```
int withdraw (account, amount) {
  balance = get_balance(account);
  balance = balance - amount;
  put_balance(account, balance);
  return balance;
}
```

Problem: Suppose 2 people go to separate ATMs and simultaneously initiate withdrawal

➤ Bank server runs the 2 Threads:

```
int withdraw (account, amount) {
  balance = get_balance(account);
  balance = balance - amount;
  put_balance(account, balance);
  return balance;
}
```

```
int withdraw (account, amount) {
  balance = get_balance(account);
  balance = balance - amount;
  put_balance(account, balance);
  return balance;
}
```

Example: Bank Account Balance

A Bad Schedule

```
balance = get_balance(account);
balance = balance - amount;

balance = get_balance(account);
balance = balance - amount;
put_balance(account, balance);

put_balance(account, balance);
```

Thread Context Switching

- ➤ Initial balance: 1000, 2 x Withdrawal amount (each): 100
- Final balance: 900



Example: Bank Account Balance

Can get a lot more interleaved

Remember: Case of Producer-Consumer Assembly-level Thread Schedule

Assumptions:

- We have to assume that the only *Atomic* operations are *Instructions*
 - > e.g. reads and writes of Words
 - even for that, the Hardware has to explicitly provide such support
- A Context Switch can happen at any time
- A Thread can be delayed indefinitely as long as it is not forever
 - > no Real-Time guarantee

Shared Resources

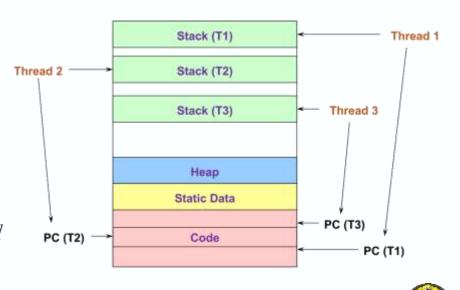
The previously demonstrated problem cam from accessing a Shared Resource without proper Synchronization

Race Condition

Controlled-access mechanisms to *Shared Data Structures* (bank account, queues, lists, hash tables, etc.) are required to deal with *Concurrency*, so we can ensure a degree of determinism in program execution.

What is *Shared*:

- Local variables are not shared
 - Refer to data on the Stack
 - Each Thread has its own Stack.
 - Potentially dangerous to pass/share/store a pointer to a local variable on the *Stack* of one *Thread* to another
- Global and static variables are shared
 - > Stored in the Static Data Segment, accessible by any Thread
- > Dynamic and other *Heap* data are shared
 - > Allocated from Heap with malloc/free



Mutual Exclusion

We use Mutual Exclusion to Synchronize access to Shared Resources

Allows us to build larger *Atomic* blocks

Critical Section

Code that uses Mutual Exclusion to Synchronize its execution

- > Only one *Thread's* execution at a time can enter-or-be in the *Critical Section*
- All other *Threads* are forced to wait on entry
- When a *Thread* leaves a *Critical Section*, another can enter

Critical Section Requirements

Mutual Exclusion (Mutex)

➤ If one *Thread* is in the *Critical Section*, then no other is

Liveness (Progress)

- \triangleright If some *Thread T* is not in the *Critical Section*, then *T* cannot prevent some other thread *S* from entering
 - Fig. If multiple *Threads* simultaneously request to enter *Critical Section*, one must be allowed to proceed
 - A Thread's operations outside the Critical Section should not be able to prevent another one to proceed
- A Thread in the Critical Section will eventually leave it

Bounded Waiting (Starvation-free)

> If some *Thread T* is waiting on the *Critical Section*, then *T* will eventually enter the *Critical Section*

Performance

The overhead of entering and exiting the *Critical Section* is small with respect to the work being done within it

Critical Section Desired Properties

Safety: Nothing bad should happen (#1 Priority)

> Mutex

Liveness: Something useful should be happening

> Progress, Bounded Waiting

Performance:

- > Efficiency: Don't consume too many Resources while waiting
 - Don't Busy-Wait (Spin-Wait). Better to relinquish CPU and let another Thread run
- Fairness: Don't make one Thread wait longer than others.
 - > Hard to do efficiently
- Simplicity: Should be simple to use
- > Properties hold for each run, while *Performance* is quantified by all runs



Critical Section Implementation - using pthread_mutex_t

```
int pthread_mutex_lock(pthread_mutex_t *mutex);
```

Acquire *Mutex* (/Lock) exclusively; wait if not available

The *Mutex* object referenced by **mutex shall be Locked** by calling **pthread_mutex_lock()**. If the *Mutex* is already locked, the calling *Thread* **shall Block** until the **mutex** becomes available.

```
int pthread_mutex_unlock(pthread_mutex_t *mutex);
```

Release exclusive access to Mutex (/Lock)

> Shall Release the *Mutex* object referenced by mutex.

```
pthread_mutex_t l = PTHREAD_MUTEX_INITIALIZER;
```

```
void* produce(void *arg) {
  int i;
  for(i=0; i<1e7; ++i)
    pthread_mutex_lock(&1);
    ++ balance;
    pthread_mutex_unlock(&1);
}</pre>
```

```
void* consume(void *arg) {
  int i;
  for(i=0; i<1e7; ++i)
    pthread_mutex_lock(&l);
  -- balance;
  pthread_mutex_unlock(&l);
}</pre>
```

Critical Section

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Implementing Locks -v1

On a Uniprocessor we can cheat

> Implement Mutual Exclusion by disabling/enabling Interrupts

```
void lock()
{
   disable_interrupts();
}

void unlock()
{
   enable_interrupts();
}
```

Good:

> Simple

Bad:

- Both operations are *Privileged*, *User-Level* program not allowed to use them
- Doesn't work on Multiprocessor
 - On multi-core architectures, enabling/disabling *Interrupts* is on a per-core basis. One *Thread* might be running on a different core, so we would either have to disable *Interrupts* on all cores, or have an architecture-dependent implementation using *Inter-Processor Interrupts* (*IPIs*).

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Implementing *Locks* – v2

Software-based Lock

Desired specifications for a Software-based Lock algorithm:

Good:

> Shouldn't require much from hardware

Only assumptions:

- Loads and Stores are Atomic
- ➤ They execute *In-Order*
 - ➤ (vs *Out-of-Order* execution)
- > Does not require special hardware Instructions

Implementing Locks – v2

Software-based *Lock* – 1st Attempt

```
// 0: lock is available, 1: lock is held by a thread
int flag = 0;

void lock() {
    while (flag == 1); // spin wait | flag = 0;
    flag = 1;
}
```

Idea: Use one Flag, Test then Set; if unavailable Spin-Wait

Problem?

- Not Safe: Both Threads can be in Critical Section
 - ➤ Both can execute the *Test* before one proceeds to execute the line that does the *Set*
- Not Efficient: Busy-waiting, particularly bad on Uniprocessor (will address this later)



Implementing Locks – v2

Software-based *Lock* – 2nd Attempt

Idea: Use per-Thread Flags, Set then Test, to achieve Mutual Exclusion

Problem?

- Not Live: Can enter a Deadlock
 - ▶ Both can execute the *Set* before one proceeds to *Test*, therefore both will forever *Spin-Wait*
- Not Efficient: Busy-waiting, particularly bad on Uniprocessor (will address this later)



Implementing *Locks* – v2

| void lock() {

Software-based *Lock* – 3rd Attempt

// wait for my turn

```
int turn = 0;
                                             void unlock() {
                                                  I'm done. your turn
while (turn == 1 - self); // spin wait
                                               turn = 1 - self;
```

Idea: Strict Alternation to achieve Mutual Exclusion

Problem?

- Not Live: Depends on Threads operations outside Critical Section
 - > Thread 1 can go into an infinite loop after its Critical Section (after it unlocks)

// whose turn is it?

> Thread 2 will get to execute once, but then Thread 1 will never again alternate the **turn** over to it

Implementing Locks – v2

```
Software-based Lock - Peterson's Algorithm - Final Attempt (combine previous ideas)

// whose turn is it?

int turn = 0;

// 1: a thread wants to enter critical section, 0: it doesn't

int flag[2] = {0, 0};
```

```
void lock() {
  flag[self] = 1;  // I need lock
  turn = 1 - self; // wait my turn (set NOT my turn)
  while (flag[1-self] == 1 && turn == 1 - self);
    // spin wait while the other thread has intent
    // AND it is the other thread's turn
}
```

```
void unlock() {
   // not any more
   flag[self] = 0;
}
```

- > Safe
- Live: One of the two will have executed the "Set: Not My Turn" operation last, before entering the Spin-Wait phase, i.e. the other will proceed

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Implementing Locks – v3

Atomic Operation-based Lock

- ➤ Problem with Software-based Lock: Hard to implement for > 2 *Threads*
- Also modern CPUs can perform operations *Out-of-Order* (need *Memory Barrier*)

```
// 0: lock is available, 1: lock is held by a thread
int flag = 0;

void lock() {
   while( test_and_set( &flag ) );
}

void unlock() {
   unset( &flag );
}
```

Remember: Problem with the Test-then-Set approach is it is not Atomic

Idea:

Make Atomic
Test-and-Set:

```
int test_and_set (int *lock) {
  int old = *lock;
  *lock = 1;
  return old;
}
```

Note:

Approach better thought of as "Set-and-Test-Previous-Value"

- ➤ If previously 1 (by another *Thread*), will just *Spin-Wait*
 - (and set 1, but irrelevant)
- ➤ If previously 0, will *immediately* set 1 and proceed

Should *Atomically* return prior value of *lock and set *lock to new value of 1



Implementing *Locks* – v3

); Note: Not required on x86

return old;

Implementing test and set on x86

```
long test and set(volatile long* lock) {
  int old;
  asm("xchql %0, %1"
    : "=r"(old), "+m"(*lock) // output
                              // input
    : "cc" , "memory"
                              // ... the compiler does not assume that any values read from memory
```

Note:

The data that **lock** points to is **volatile**: Disable compiler optimizations (for this object) that can result in a variable being assumed that it does not change outside the scope of the current function (e.g. by an ISR, by another Thread, etc.), and enforce that it is always read from memory afresh (instead of keeping a cached copy in a temporary Register)

// before an asm remain unchanged after that asm; it reloads them

// as needed. ... Using the "memory" clobber effectively forms a

// read/write memory barrier for the compiler.

Extended Assembly (https://gcc.gnu.org/onlinedocs/gcc/Extended-Asm.html)

Atomic Instruction xchg of reg (old), addr: (*lock) Atomically swaps them

- Most Spin-Locks on x86 are implemented using this Instruction
 - e.g. xv6 spinlock.h, spinlock.c, x86.h



Implementing Locks – v3

More modern CPU *Atomic* Instructions unlock more possibilities

Atomic Compare-and-Swap (or Compare-and-Exchange):

- > Checks whether content of memory location matches a value, and if so, modifies it to a new value
- Ean now store *Thread ID* of owning *Thread*, instead of just a true/false variable

```
// 0: lock is available, !0: tid of thread holding lock
int tid_lock = 0;
```

```
void lock() {
  while( !compare_and_swap(&tid_lock, 0, gettid()) );
}
```

```
int compare_and_swap (int *addr, int test, int new) {
  if (*addr != test)
    return 0;
  *addr = new;
  return 1;
}
```

Note:

MACRO to get current *Thread ID* in Linux #define gettid()
((pid_t)syscall(SYS_gettid))

Note:

Can use x86 **lock cmpxchg** *Instruction* (the **lock** prefix ensures CPU exclusive ownership of Cache line – possibly with a *Memory Bus* Lock)

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Spin-Waiting vs Blocking

Problem: Waste of CPU cycles

Worst case scenario: a *Thread* holding a Busy-Wait *Lock* (i.e. is inside the *Critical Section*) gets *Preempted*, while some other *Threads* try to acquire the same *Lock*

On Uniprocessor: Should not use a Spin-Lock

> yield CPU when *Lock* is not available (need OS support)

On Multiprocessor

➤ If a *Thread* holding *Lock* gets *Preempted*, the correct action depends on how long before the *Lock* would be released

Spin-Waiting vs Blocking

Problem with the simple Yield:

```
void lock() {
  while( test_and_set( &flag ) )
    sched_yield();
}
```

- Uncontrollably results in a lot of *Context Switches*
 - > Thundering Herd
- > Starvation due to lack of control over which Thread gets the Lock becomes possible

Why?

- No control over who gets the *Lock* next
- ➤ Need explicit control to ensure which *Thread* should get the *Lock*



Implementing Locks – v4

```
// 0: lock is available, 1: lock is held by a thread
  int flag = 0;
                                           void unlock() {
void lock() {
  while( test and set( &flag ) ) {
                                             unset( &flaq );
    // add myself (back) to wait queue
                                             if( any thread in wait queue ) {
    sched yield();
                                               // wake up one thread from wait queue
```

Idea: Have a Wait Queue with those Threads that are actually waiting on this specific Lock

- (Re-)Add Thread to Wait Queue while Lock remains unavailable
- In unlock (), wake up one Thread from Wait Queue

Problem 1: Lost wakeup

Because it wastes time performing (re-)enqueing itself; in that > Spin-Wait will still take place, but should not be time another *Thread* reaches the *Test-and-Set* and grabs the *Lock* expected to be active for too long... (How?)

- Fix: **Need** the *Spin Lock* to be fast

Problem 2: Wrong Thread gets Lock > Fix: unlock() directly transfers Lock to waiting Thread

No other *Thread* should be possible to acquire *Lock...* (How?)



Implementing Locks -v4: mutex

```
typedef struct __mutex_t {
  int guard; // simple guard lock to avoid losing wakeups
  int flag; // 0: mutex is available, 1: mutex is not available
  queue_t *queue; // queue of waiting threads
} mutex t;
```

```
void lock(mutex t *m) {
    //acquire guard lock by spinning|
    while (test_and_set(m->guard));

    if (m->flag == 0) {
        m->flag = 1; // mutex acquired
        unset(m->guard);
    } else {
        enqueue(m->queue, self);
        unset(m->guard);
        sched_yield();
}
```

```
void unlock(mutex t *m) {
    //acquire guard lock by spinning|
    while (test_and_set(m->guard));

    if (empty(m->queue))
        // release mutex; no one wants mutex
        m->flag = 0;

    else
        // direct transfer mutex to next thread|
        wakeup( dequeue(m->queue) );

    unset(m->guard);
}
```

Implementing Locks - v4: mutex

- Now the m->guard Lock is an internal property of the mutex_t, i.e. it only protects its inner Critical Sections of lock() and unlock() (between the Spin-Lock on m->guard, and the line unsetting it to 0)
 - The Critical Sections of lock() & unlock() is now where the actual marshalling of Threads happens, by manipulating the Mutex state variables m->flag and m->queue.

```
void lock(mutex_t *m) {
   //acquire guard lock by spinning
   while (test_and_set(m->guard));

   if (m->flag == 0) {
      m->flag = 1; // mutex acquired
      unset(m->guard);
   } else {
      enqueue(m->queue, self);
      unset(m->guard);
      sched_yield();
   }
}
```

```
void unlock(mutex t *m) {
    //acquire guard lock by spinning
    while (test_and_set(m->guard));

    if (empty(m->queue))
        // release mutex; no one wants mutex
        m->flag = 0;

    else
        // direct transfer mutex to next thread
        wakeup( dequeue(m->queue) );

    unset(m->guard);
}
```

Reader – Writer Problem

- A Reader is a Thread that needs to look at the shared data but won't change it
- A Writer is a Thread that modifies the shared data
 - > e.g. making an airline reservation
 - Courtois et al 1971: Concurrent Control with "Readers" and "Writers"

Problem: With the regular *Lock* approach, there is unnecessary *Synchronization*

- Only one *Writer* should be active at a time
- However, any number of *Readers* can be active simultaneously

Solution:

Acquire Lock for Read Mode and Write Mode

Reader – Writer Lock

```
rwlock_t lock;
```

```
void* writer(void *arg) {
  while(true) {
    write_lock(&lock);
    ...
    // write shared data
    ...
    write_unlock(&l);
}

void* reader(void *arg) {
    while(true) {
        read_lock(&lock);
        ...
        // read shared data
        ...
        read_unlock(&lock);
    }
}
```

read_lock: Acquires Lock in Read (Shared Access) Mode

- ➤ If *Lock* is not acquired or in *Read Mode* → Success
- \triangleright Otherwise, Lock is in Write Mode \rightarrow Wait

write_lock: Acquires Lock in Write (Exclusive Access) Mode

- \triangleright If *Lock* is not acquired \rightarrow Success
- ➤ Otherwise → Wait.



Implementing Reader – Writer Lock

```
void write_lock(rwlock_t *1) {
    lock(&l->datalock);
}
void write_unlock(rwlock_t *1) {
    unlock(&l->datalock);
}
```

Problem:

Writer Starvation is possible

```
void read lock(rwlock t *1) {
  lock(&l->quard);
  ++ nreader;
  if(nreader == 1) // 1 reader, no more writing
    lock(&1->datalock);
  unlock(&l->guard);
void read unlock(rwlock t *1) {
  lock(&l->quard);
  -- nreader;
  if(nreader == 0) // 0 readers, can write
   unlock(&l->datalock);
  unlock(&l->guard);
```

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