Operating Systems Lecture 11

lock and condition variables implementation

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Recap: 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

Recap: 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

Recap: 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.

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
- A case: double-checked locking

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

An unsafe solution

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

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?

A Tricky (but Real) Case



```
Singleton* Singleton::instance() {
  if (pInstance == NULL) {
     lock.acquire();
     if (pInstance == NULL) {
        plnstance = new Instance();
     lock.release();
                                    compiler
  Return plnstance;
```

Thread A

```
if (plnstance == NULL) { // True
              lock.acquire();
              if (plnstance == NULL) {
                // malloc for plnstance;
                // point plnstance to the memory;
Reordered by // run new() function;
              lock.release();
             return plnstance;
```

Thread B

```
if (plnstance == NULL); // False
return plnstance; // uninitialized!
```

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

How to Implement Locks?



- 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
 - ☐ Should *sleep* if waiting for a long time
- Atomic Load/Store: get solution like Milk #3
 - Pretty complex and error prone
- Hardware Lock instruction
 - Is this a good idea?
 - What about putting a task to sleep?
 - ☐ How do you handle the interface between the hardware and scheduler?
 - Complexity?
 - ☐ Done in the Intel 432 each feature makes HW more complex and slow

Naïve use of Interrupt Enable/Disable



How can we build multi-instruction atomic operations?

- Recall: dispatcher gets control in two ways.
 - Internal: Thread does something to relinquish the CPU
 - External: Interrupts cause dispatcher to take CPU
- On a uniprocessor, can avoid context-switching by:
 - Avoiding internal events
 - Preventing external events by disabling interrupts

Consequently, naïve Implementation of locks:

```
LockAcquire { disable Ints; }
LockRelease { enable Ints; }
```

Naïve use of Interrupt Enable/Disable: Problems



Can't let user do this! Consider following:

```
LockAcquire();
While(TRUE) {;}
```

Real-Time system—no guarantees on timing!

Critical Sections might be arbitrarily long

What happens with I/O or other important events?





Key idea: maintain a lock variable and impose mutual exclusion only during operations on that variable

```
class Lock {
   int value = FREE;
  Queue wait_q;
                                       Lock::Release() {
                                          disable interrupts;
Lock::Acquire() {
                                          if (anyone on wait_q) {
  disable interrupts;
                                             take thread off wait queue
  if (value == BUSY) {
                                             place on ready queue;
     put thread on wait_q;
                                          } else {
     next = readyList.pop();
                                             value = FREE;
     cur thread->state = WAITING;
     thread_switch(current, next);
                                          enable interrupts;
  } else {
     value = BUSY;
  enable interrupts;
```



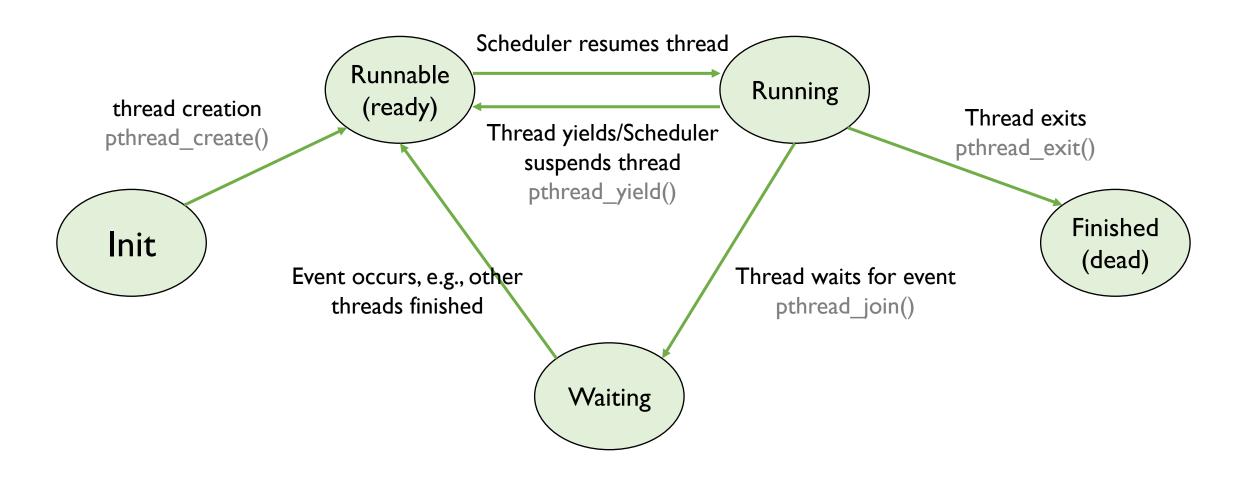


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Lock::Acquire() {
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  disable interrupts;
                                            take thread off wait queue
  if (value == BUSY) {
                                            place on ready queue;
     put thread on wait_q;
   _ next = readyList.pop(); WHY??
                                         } else {
                                            value = FREE;
    cur_thread->state = WAITING;
     thread switch(current, next);
                                         enable interrupts;
  } else {
     value = BUSY;
  enable interrupts;
```

Recall: Thread Lifecycle







- Unlike previous solution, the critical section (inside Acquire()) is very short
 - User of lock can take as long as they like in their own critical section

```
Lock::Acquire() {
    disable interrupts;
    if (value == BUSY) {
        put thread on wait_q;
        next = readyList.pop();
        cur_thread->state = WAITING;
        thread_switch(current, next);
    } else {
        value = BUSY;
    }
    enable interrupts;
}
```



- Unlike previous solution, the critical section (inside Acquire()) is very short
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- Why do we need to disable interrupts at all?

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- Why do we need to disable interrupts at all?
 - Avoid interruption between checking and setting lock value
 - Otherwise two threads could think that they both have lock

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    disable interrupts;
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}
```



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- Before Putting thread on the wait queue?

```
Enable
Position

Lock::Acquire() {
    disable interrupts;
    if (value == BUSY) {
        put thread on wait_q;
        next = readyList.pop();
        cur_thread->state = WAITING;
        thread_switch(current, next);
    } else {
        value = BUSY;
    }
    enable interrupts;
}
```



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 - Release can check the queue and not wake up thread

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- After putting the thread on the wait queue

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    enable interrupts;
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- Why do we need to disable interrupts at all?
 - Avoid interruption between checking and setting lock value
 - Otherwise two threads could think that they both have lock
- Before Putting thread on the wait queue?
 - Release can check the queue and not wake up thread
- After putting the thread on the wait queue
 - Release puts the thread on the ready queue, but the thread still thinks it needs to go to sleep
 - Misses wakeup and still holds lock (deadlock!)
 - Note: the *value* is BUSY now!!!

```
Lock::Acquire() {
    disable interrupts;
    if (value == BUSY) {
        put thread on wait_q;
        next = readyList.pop();
        cur_thread->state = WAITING;
        thread_switch(current, next);
    } else {
        value = BUSY;
    }
    enable interrupts;
}
```

How to Re-enable After thread_switch()?



- In scheduler, since interrupts are disabled when you call thread_switch():
 - Responsibility of the next thread to re-enable ints
 - When the sleeping thread wakes up, returns to acquire and re-enables interrupts

Thread A

Thread B

disable ints thread switch

thread_switch return enable ints

:
disable int
thread_switch

thread_switch return enable ints

•

Atomic Read-Modify-Write Instructions



- Can we extend the lock implementation to multi-processors?
 - Not good idea, as disabling interrupts on all processors requires messages and would be very time consuming
- Alternative: atomic instruction sequences
 - These instructions read a value and write a new value atomically
 - Hardware is responsible for implementing this correctly
 - on both uniprocessors (not too hard)
 - and multiprocessors (requires help from cache coherence protocol)
 - Unlike disabling interrupts, can be used on both uniprocessors and multiprocessors

Examples of Read-Modify-Write



```
test&set (&address) {
                      /* most architectures */
    result = M[address]; /* return result from "address" and
                             set value at "address" to 1 */
    M[address] = 1;
    return result;
swap (&address, register) { /* x86 */
    register = temp;

    compare&swap (&address, reg1, reg2) { /* 68000 */

    if (reg1 == M[address]) {
      M[address] = reg2;
      return success;
    } else {
      return failure;
```

Implementing Locks with test&set



• Spinlock (自旋锁): another flawed, but simple solution:

```
int value = 0; // Free
Acquire() {
   while (test&set(value)); // while busy
}
Release() {
   value = 0;
}
```

- Simple explanation:
 - If lock is free, test&set reads 0 and sets value=1, so lock is now busy It returns 0 so while exits
 - If lock is busy, test&set reads | and sets value=| (no change) | It returns |, so while loop continues
 - When we set value = 0, someone else can get lock
- Busy-Waiting: thread consumes cycles while waiting

Problem: Busy-Waiting for Lock



- Positives for this solution
 - Machine can receive interrupts
 - User code can use this lock
 - Works on a multiprocessor



- This is very inefficient as thread will consume cycles waiting
- Waiting thread may take cycles away from thread holding lock (no one wins!)
- Priority Inversion: If busy-waiting thread has higher priority than thread holding lock ⇒ no progress!
- Priority Inversion problem with original Martian rover
- For semaphores, waiting thread may wait for an arbitrary long time!
 - Thus even if busy-waiting was OK for locks, definitely not ok for other primitives



Better Locks using test&set



- Can we build test&set locks without busy-waiting?
 - Can't entirely, but can minimize!
 - Idea: only busy-wait to atomically check lock value

```
int guard = 0;
int value = FREE;
Acquire() {
                                     Release() {
  // Short busy-wait time
                                       // Short busy-wait time
  while (test&set(guard));
                                       while (test&set(guard));
                                        if anyone on wait queue {
  if (value == BUSY) {
                                          take thread off wait queue
     put thread on wait queue;
                                          Place on ready queue;
     cur_thread->state = WAITING;
                                        } else {
     thread switch() & guard = 0;
                                          value = FREE;
   } else {
     value = BUSY;
                                        guard = 0;
     guard = 0;
```

Better Locks using test&set



- Can we build test&set locks without busy-waiting?
 - Can't entirely, but can minimize!
 - Idea: only busy-wait to atomically check lock value

```
int guard = 0;
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Acquire() {
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  while (test&set(guard));
                                       while (test&set(guard));
                                       if anyone on wait queue {
  if (value == BUSY) {
                                          take thread off wait queue
     put thread on wait queue;
                                          Place on ready queue;
     cur_thread->state = WAITING;
                                       } else {
     thread_switch() & guard = 0;
                                          value = FREE;
  } else {
     value = BUSY;
                                       guard = 0;
     guard = 0;
         Must be atomic! What if setting guard before or
         after thread_switch()? How to implement?
```

More details in Figure 5.17 (section 5.7 "Implementing Synchronization Objects") of our textbook

Locks using Interrupts vs. test&set



Compare to "disable interrupt" solution

```
int value = FREE;
Acquire() {
                               Release() {
  disable interrupts;
                                 disable interrupts;
  if (value == BUSY) {
                                 if (anyone on wait queue) {
                                    take thread off wait queue
    put thread on wait queue;
                                    Place on ready queue;
     thread switch();
                                 } else {
     // Enable interrupts?
                                   value = FREE;
  } else {
    value = BUSY;
                                 enable interrupts;
  enable interrupts;
```

Basically replace

- disable interrupts → while (test&set(guard));
- enable interrupts → guard = 0;

Implementing Condition Variables



- Recap the 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

```
while (!testOnSharedState()) {
    cv.wait(&lock)
}
```





```
Lock lock;
Condition dataready;
Queue queue;
AddToQueue(item) {
 lock.Acquire();
                 // Get Lock
 queue.enqueue(item); // Add item
 lock.Release();
RemoveFromQueue() {
 while (queue.isEmpty()) {
   dataready.wait(&lock); // If nothing, sleep
 item = queue.dequeue();  // Get next item
 return(item);
```

Implementing Condition Variables



- Recap the 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

```
Class CV {
  Queue waiting;
  void wait(Lock *lock);
                                            void CV::wait(Lock *lock) {
  void signal();
                                               assert(lock.isHeld());
  void broadcast();
                                               waiting.add(currentTCB);
                                               // switch to new thread and release lock
void CV::signal() {
                                            in atomic manner
  if (waiting.notEmpty()) {
                                               scheduler.suspend(&lock);
      thread = waiting.remove();
                                               lock->acquire();
      scheduler.makeReady(thread);
```

Mesa vs. Hoare monitors



Need to be careful about precise definition of signal and wait.
 Consider a piece of our dequeue code:

```
while (queue.isEmpty()) {
    dataready.wait(&lock); // If nothing, sleep
}
item = queue.dequeue(); // Get next item

- Why didn't we do this?

if (queue.isEmpty()) {
    dataready.wait(&lock); // If nothing, sleep
}
item = queue.dequeue(); // Get next item
```

- Answer: depends on the type of scheduling (管程模型)
 - Hoare-style
 - Mesa-style

Mesa monitors



- Signaler keeps lock and processor
- Waiter placed on ready queue with no special priority
- Practically, need to check condition again after wait
- Most real operating systems

```
Put waiting thread on ready queue

dataready.signal();

cok.Acquire()

while (queue.isEmpty()) {

dataready.wait(&lock);

lock.Release();

schedule Waiting thread

lock.Acquire()

make thread on ready queue

while (queue.isEmpty()) {

dataready.wait(&lock);

lock.Release();
```

Mesa Monitor: Why "while()"?



- Why do we use "while()" instead of "if() with Mesa monitors?
 - Example illustrating what happens if we use "if()", e.g.,

```
if (queue.isEmpty()) {
   dataready.wait(&lock); // If nothing, sleep
}
```

We'll use the synchronized (infinite) queue example

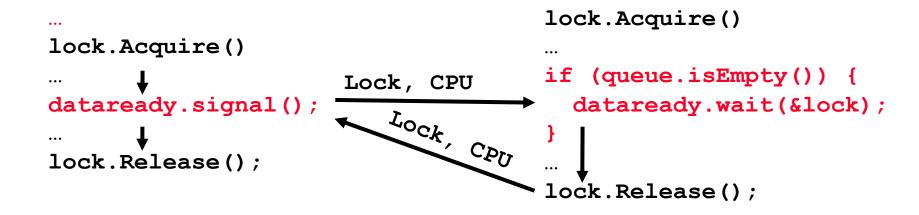
```
AddToQueue(item) {
  lock.Acquire();
  queue.enqueue(item);
  dataready.signal();
  lock.Release();
}

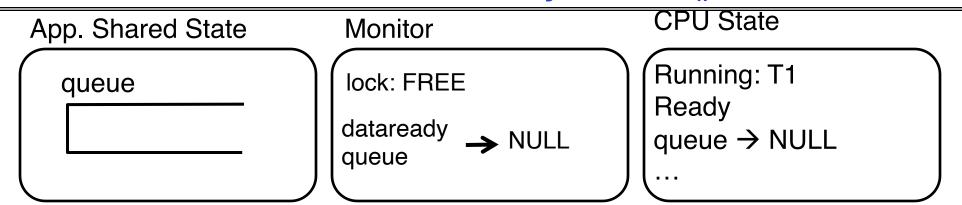
RemoveFromQueue();
  if (queue.isEmpty()) {
    dataready.wait(&lock);
  }
  item = queue.dequeue();
  lock.Release();
  return(item);
```

Hoare monitors



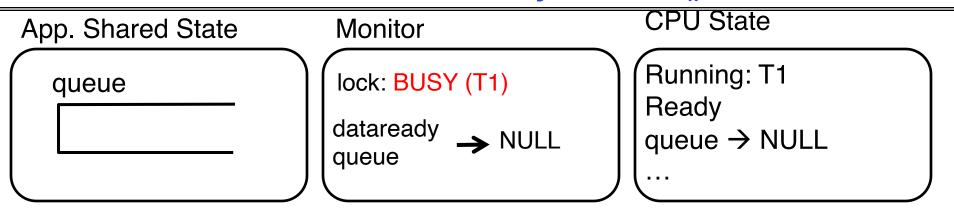
- Signaler gives up lock, CPU to waiter; waiter runs immediately
- Waiter gives up lock, processor back to signaler when it exits critical section or if it waits again
- Most textbooks





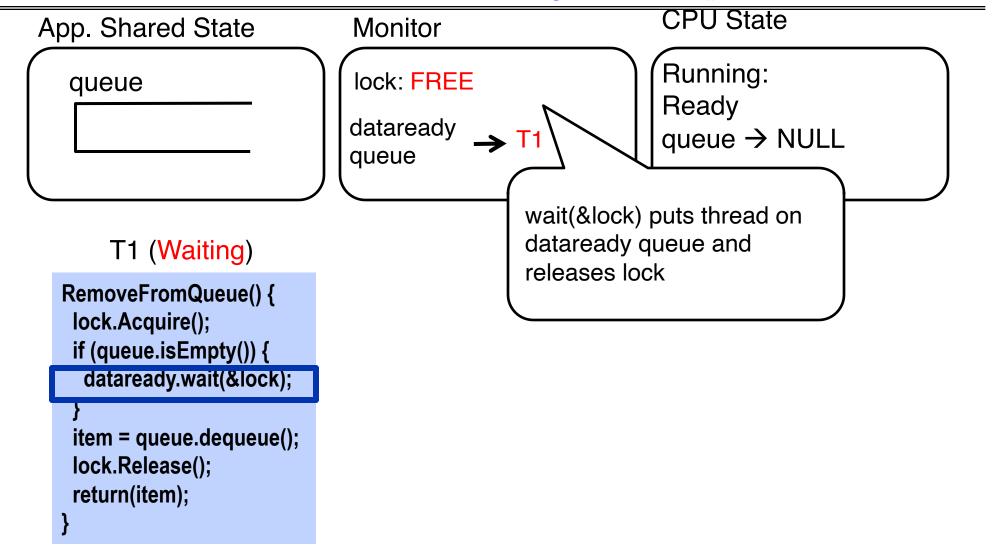
T1 (Running)

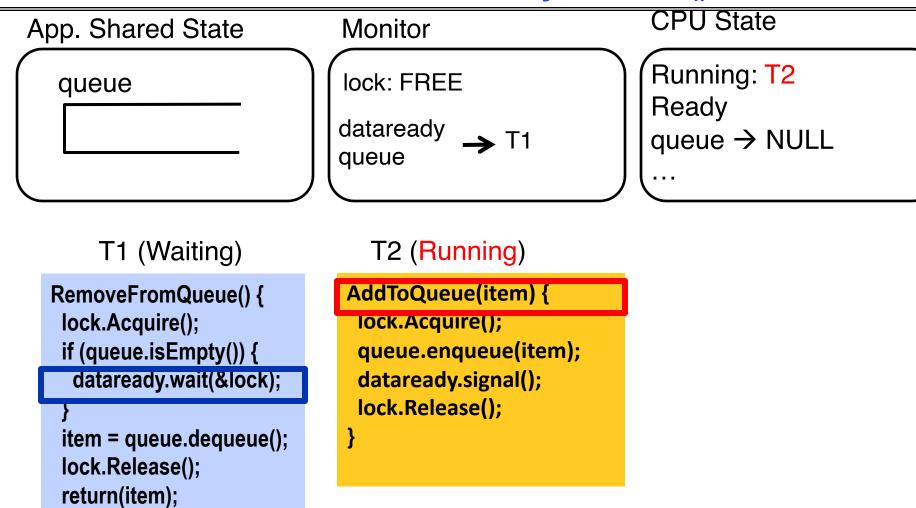
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RemoveFromQueue() {
    lock.Acquire();
    if (queue.isEmpty()) {
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    }
    item = queue.dequeue();
    lock.Release();
    return(item);
}
```

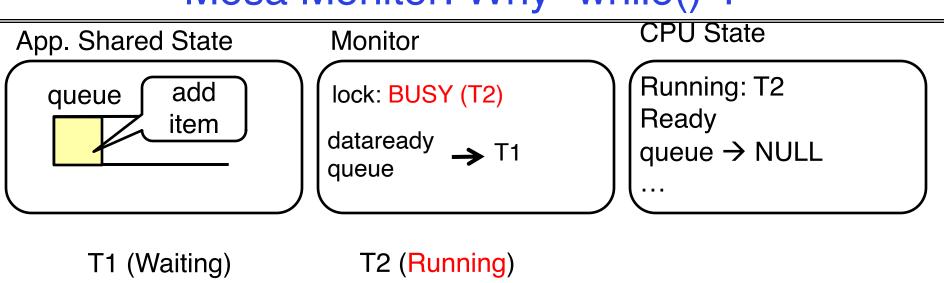


T1 (Running)

```
RemoveFromQueue() {
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        dataready.wait(&lock);
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    item = queue.dequeue();
    lock.Release();
    return(item);
}
```





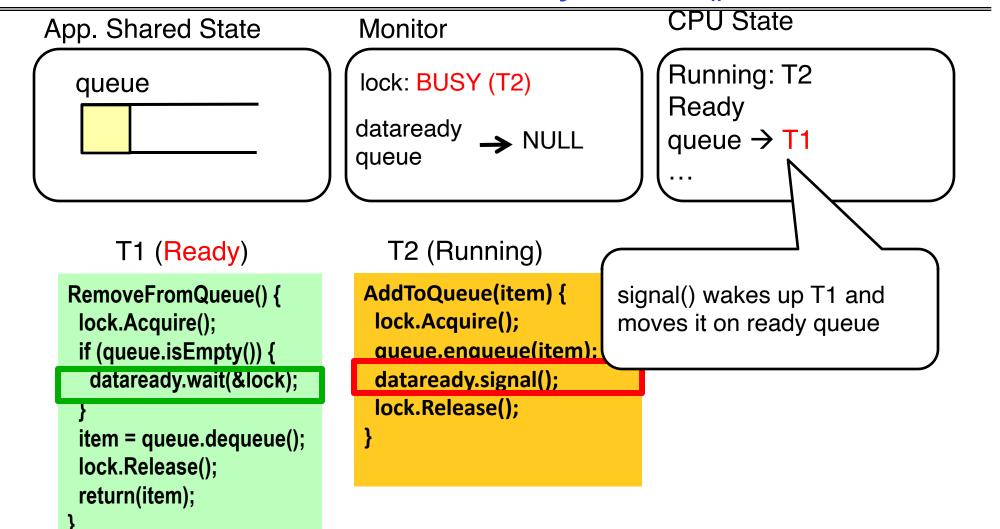


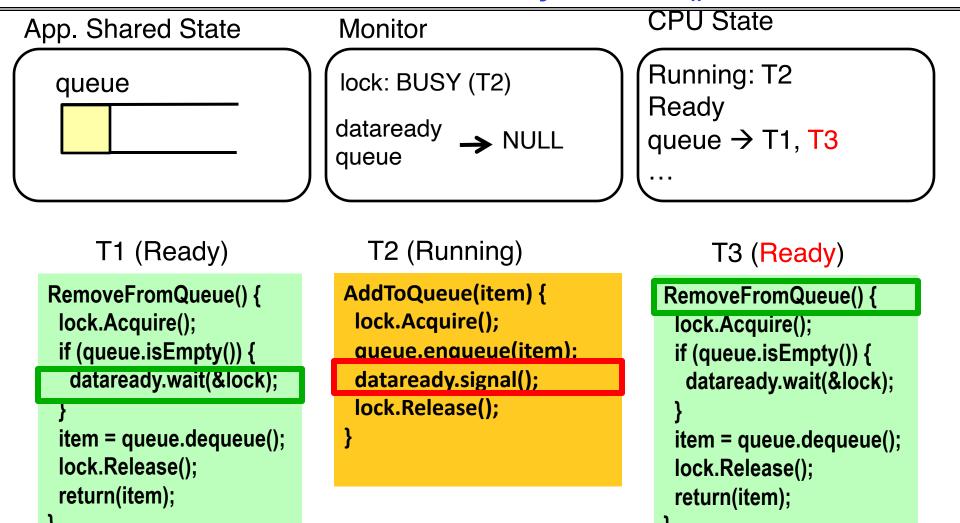
```
T1 (Waiting)

RemoveFromQueue() {
    lock.Acquire();
    if (queue.isEmpty()) {
        dataready.wait(&lock);
    }
    item = queue.dequeue();
    lock.Release();
    return(item);
}

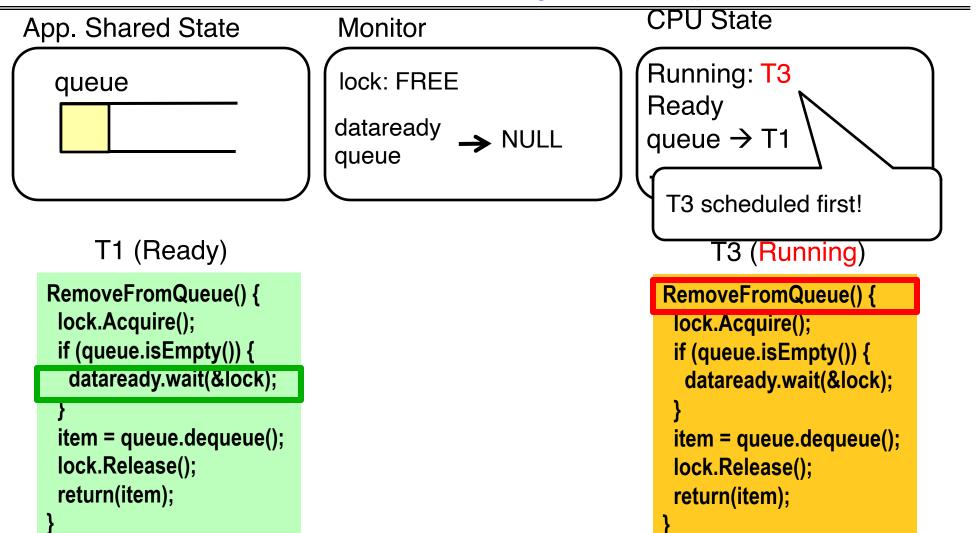
T2 (Running)

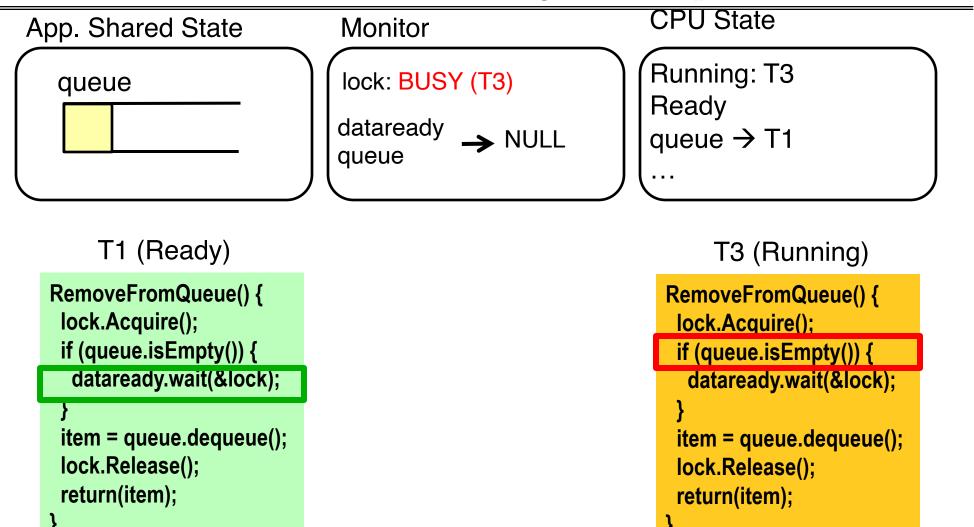
AddToQueue(item) {
    lock.Acquire();
    queue.enqueue(item);
    dataready.signal();
    lock.Release();
}
```



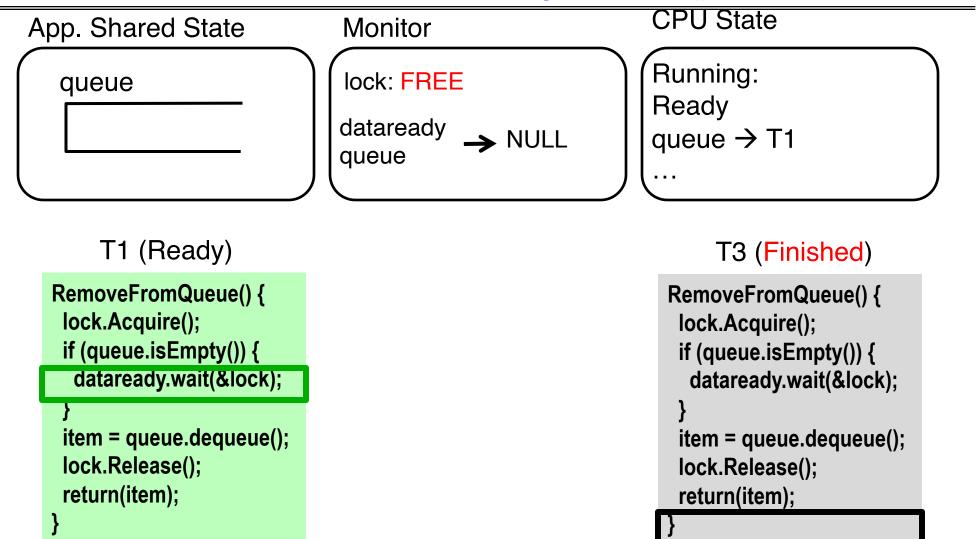


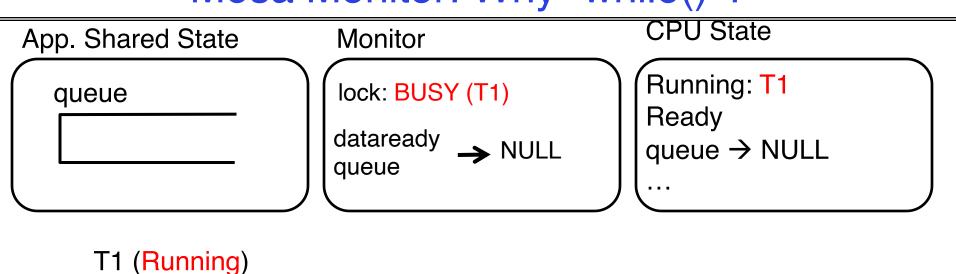
CPU State App. Shared State **Monitor** Running: lock: FREE queue Ready dataready queue \rightarrow T1, T3 → NULL queue T1 (Ready) T2 (Terminate) T3 (Ready) RemoveFromQueue() { AddToQueue(item) { RemoveFromQueue() { lock.Acquire(); lock.Acquire(); lock.Acquire(); if (queue.isEmpty()) { queue.enqueue(item); if (queue.isEmpty()) { dataready.wait(&lock); dataready.signal(); dataready.wait(&lock); lock.Release(); item = queue.dequeue(); item = queue.dequeue(); lock.Release(); lock.Release(); return(item); return(item);



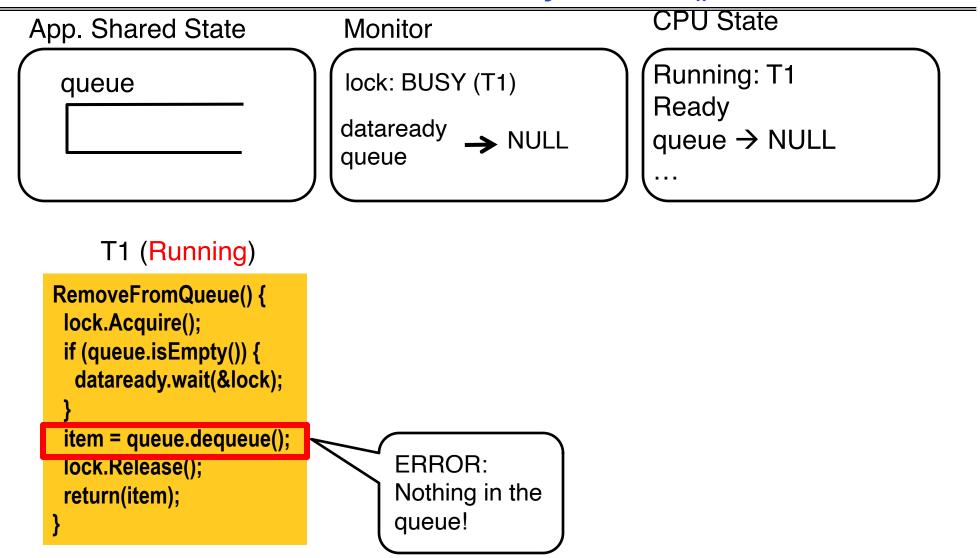


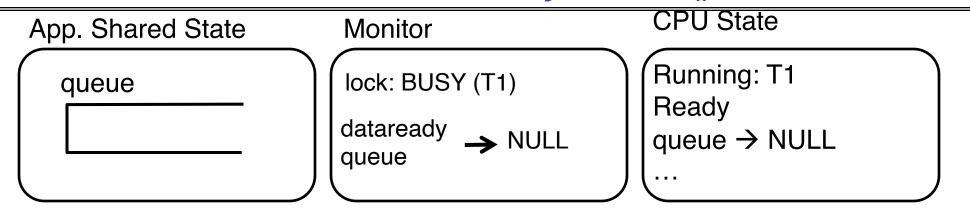
CPU State App. Shared State **Monitor** Running: T3 lock: BUSY (T3) remove queue Ready item dataready queue → T1 queue T1 (Ready) T3 (Running) RemoveFromQueue() { RemoveFromQueue() { lock.Acquire(); lock.Acquire(); if (queue.isEmpty()) { if (queue.isEmpty()) { dataready.wait(&lock); dataready.wait(&lock); item = queue.dequeue(); item = queue.dequeue(); lock.Release(); lock.Release(); return(item); return(item);





```
RemoveFromQueue() {
lock.Acquire();
if (queue.isEmpty()) {
  dataready.wait(&lock);
item = queue.dequeue();
lock.Release();
return(item);
```



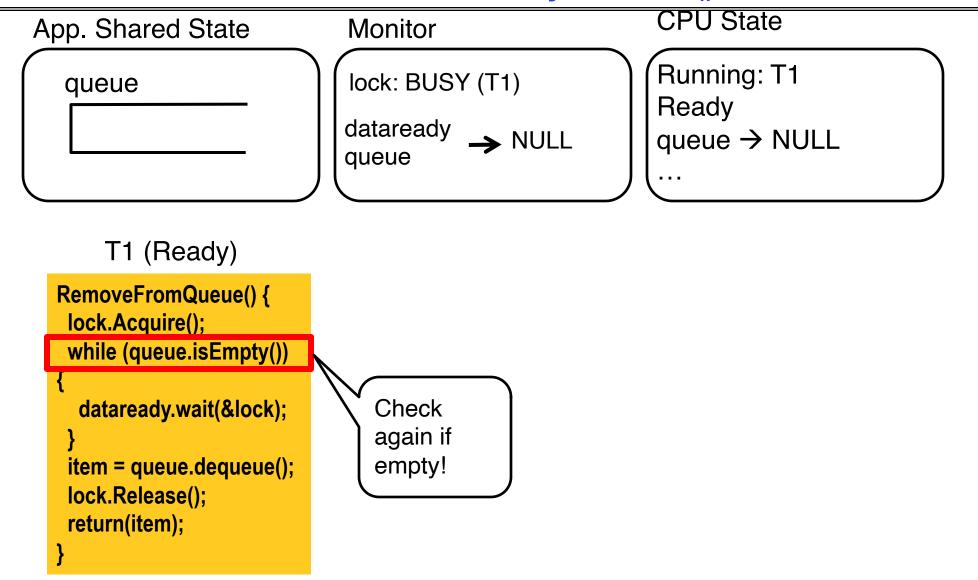


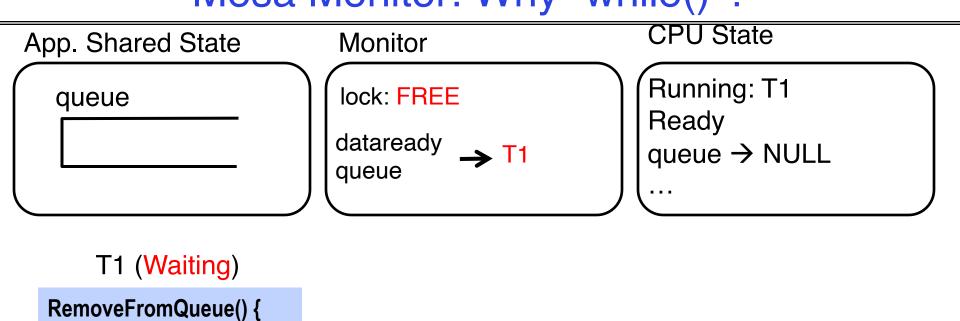
T1 (Running)

```
RemoveFromQueue() {
    lock.Acquire();
    while (queue.isEmpty())

    dataready: it(&lock);
    }
    item = que
    lock.Relea
    return(item
}

Replace
"if" with
"while"
```





lock.Acquire();

lock.Release();

return(item);

while (queue.isEmpty())

dataready.wait(&lock);

item = queue.dequeue();

Quick Questions



• Do lock.Acquire() and lock.Release() always trap into kernel?

- Interrupt handlers must use spinlocks instead of queueing locks. Why?
 - Note: interrupt handlers are not supposed to sleep

Homework



- Search for how Java synchronization works.
 - Key words: "synchronized", "wait", "notify", "notifyAll".
 - Is it based on Hoare or Mesa model?

• Implement semaphores with test&set in pseudo code.