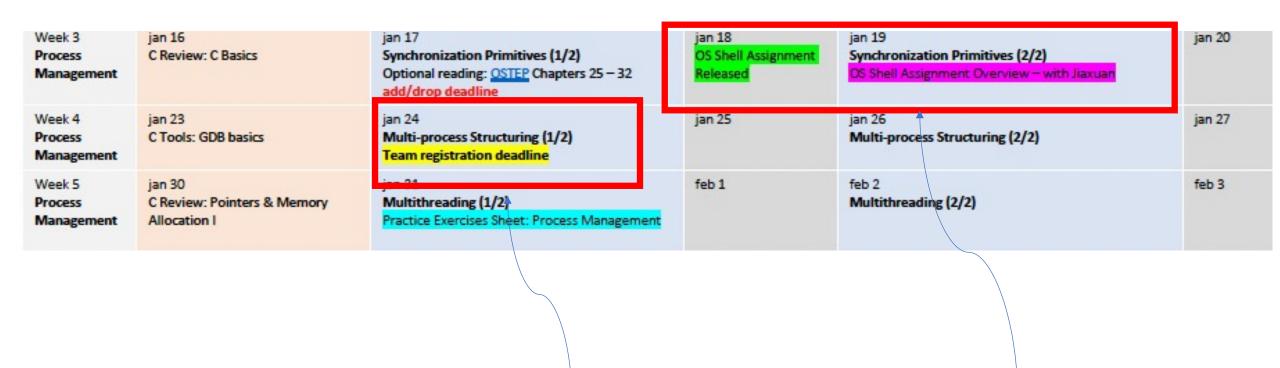
Week 3

Synchronization Primitives

Oana Balmau January 17, 2023

Schedule Highlights



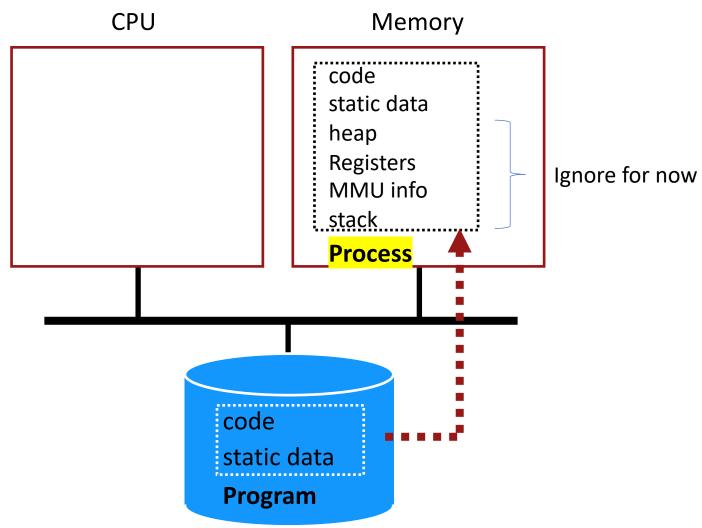
One more week to create teams.

Jiaxuan will explain the assignment during part of this class.

Recap from Week 2

- Process
- Linux process tree
- Process switch
- Process scheduler

Recap from Week 2 Process = Program in execution



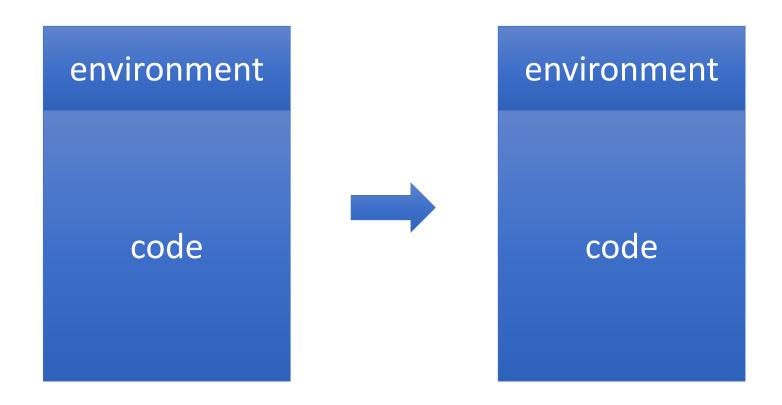
Recap from Week 2 Linux Process Primitives

- pid = fork()
- exec(filename)
- exit()
- wait()

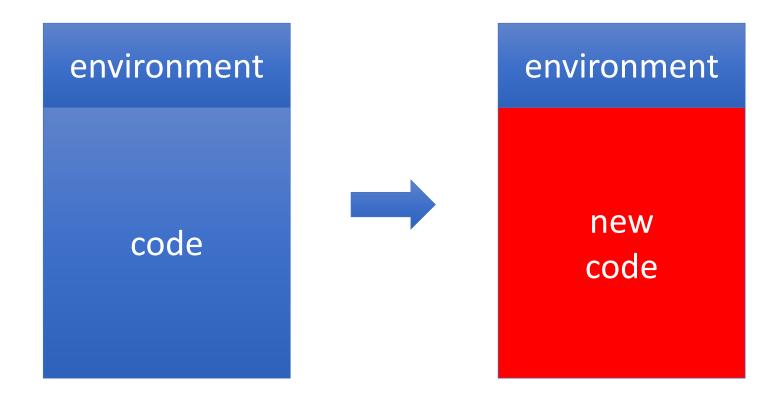
Recap from Week 2 Process = Environment + Code

environment code

Recap from Week 2 After a fork()

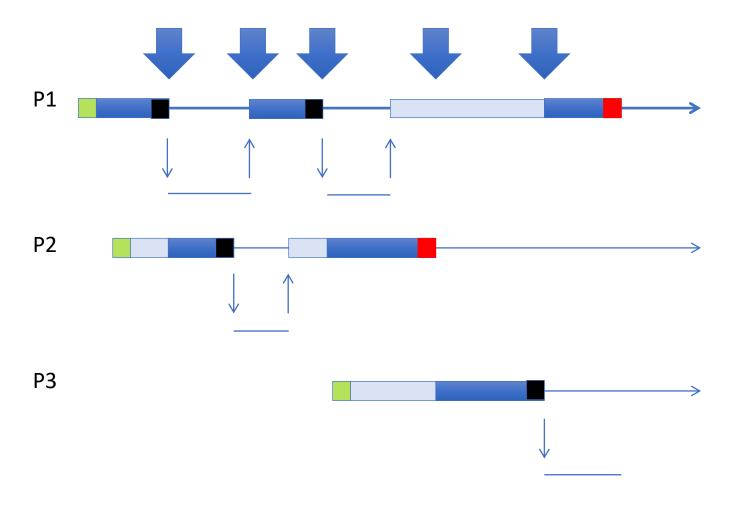


Recap from Week 2 After an exec() in the Child

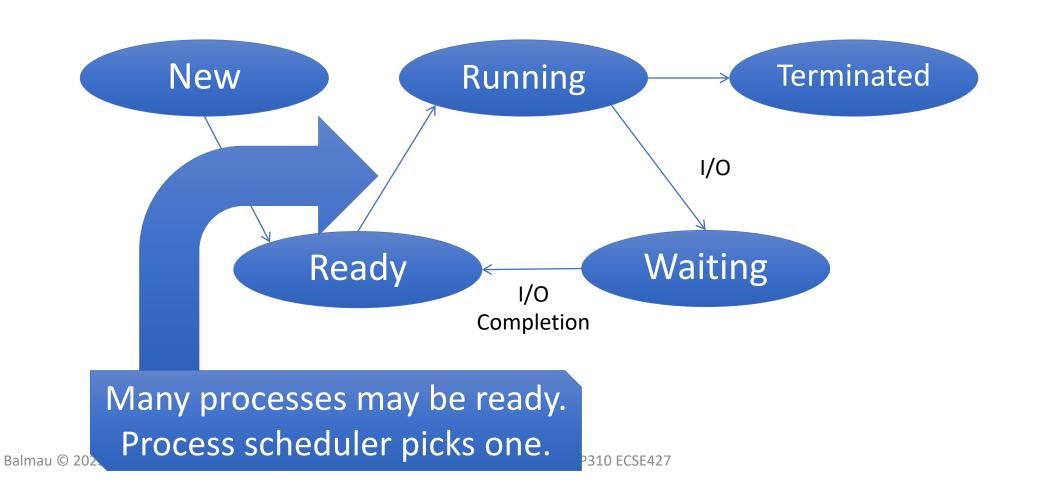


Recap from Week 2 Process Switch

- Change of process using the CPU
- Save and restore registers and other info



Recap from Week 2 Process Scheduling



10

Questions from last week?

Before we begin with today's topic

- Concurrency is a large sub-field of computer science
- In this course, we get a small taste of it
- If you enjoy this lecture, consider <u>COMP-409 Concurrent programming</u>
 - Highly recommend for a strong systems background

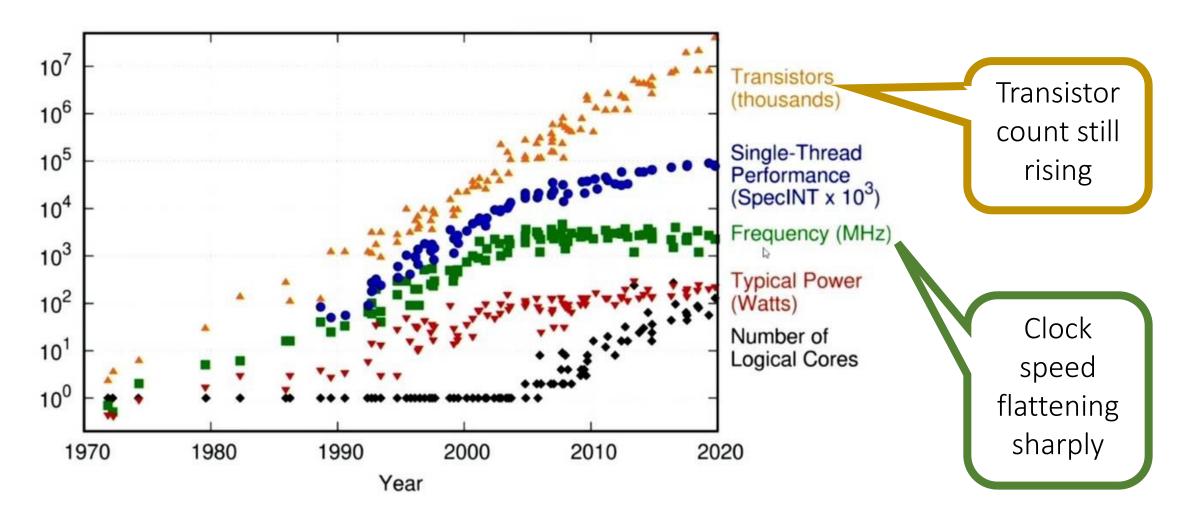
Real world concurrency

- Millions of drivers on highway at once.
- Student does homework while watching Netflix.
- Faculty has lunch while grading papers and watching Netflix.

Key Concepts for Today

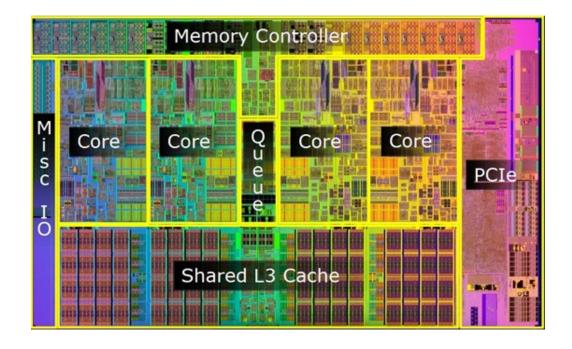
- Process vs Thread
- Mutual Exclusion
- Locking
- Deadlocks
- Conditional variables

Motivation for Concurrency – Moore's Law

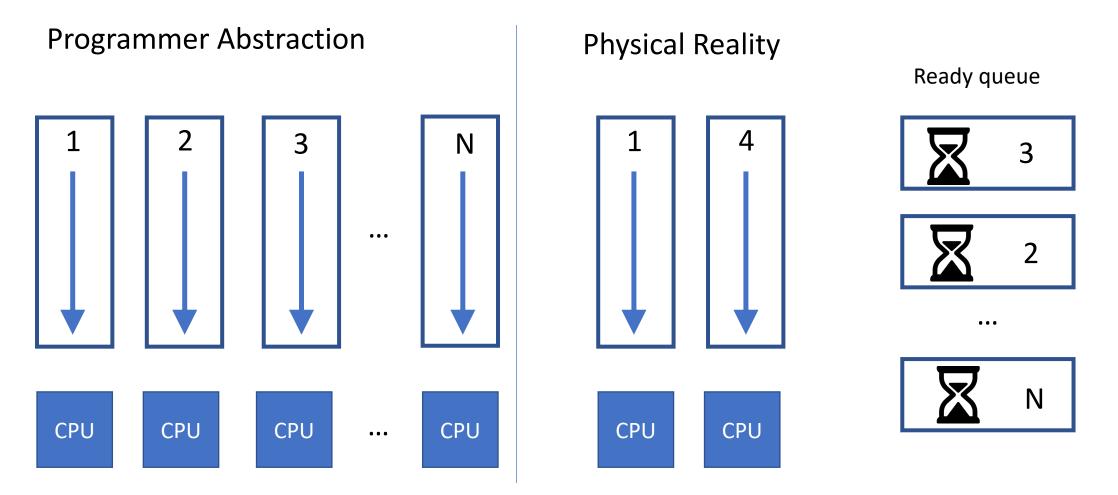


Motivation for Concurrency

- CPU trend: Same speed, but multiple cores
- Goal: write applications that fully utilize many cores



Concurrency Abstraction vs Reality



- Build apps from many communicating processes
- Communicate through message passing
 - No shared memory
- Pros
 - If one process crashes, other processes unaffected
- Cons
 - High communication overheads
 - Expensive context switching

- Build apps from many communicating processes
- Communicate through message passing
 - No shared memory
- Pros
 - If one process crashes, other processes unaffected
- Cons
 - High communication overheads
 - Expensive context switching



- New abstraction: thread
- Multiple threads in a process
- Threads are like processes except
 - Multiple threads in the same process share an address space
 - Communicate through shared address space
 - If one thread crashes,
 - the entire process, including other threads, crashes

Will see synchronization principles today

- New abstraction: thread
- Multiple threads in a process
- Threads are like processes except
 - Multiple threads in the same process share an address space
 - Communicate through shared address space
 - If one thread crashes,
 - the entire process, including other threads, crashes

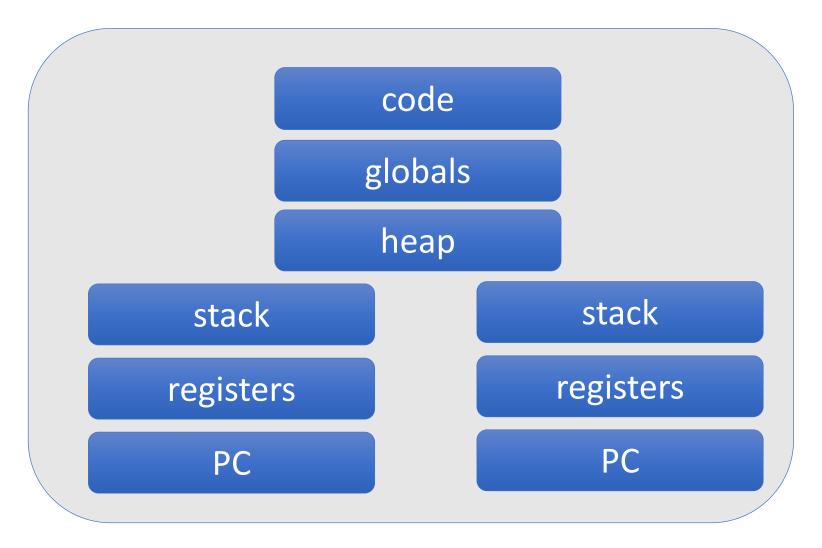
Will see practical examples in two weeks

Two Processes

code globals heap stack registers PC

code globals heap stack registers PC

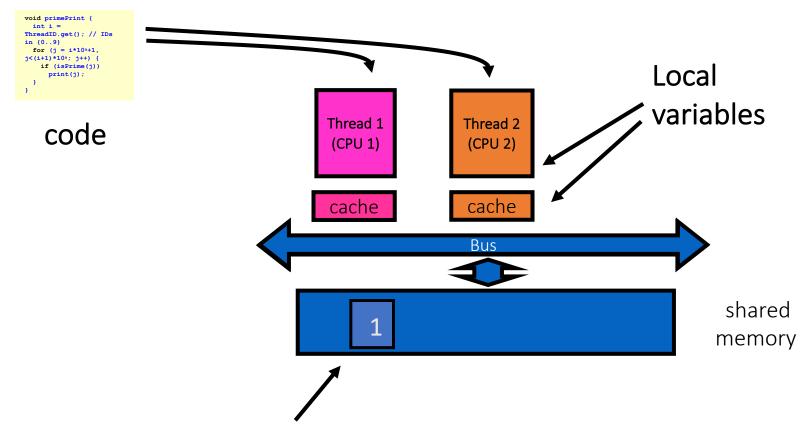
Two Threads in a Process



In General

- Processes provide separation
 - In particular, memory separation (no shared data)
 - Suitable for coarse-grain interaction
- Threads do not provide separation
 - In particular, threads share memory (shared data)
 - Suitable for tighter integration

Where Things Reside



shared variable (e.g., shared counter, shared flag)

Shared Data

- Advantage:
 - Many threads can read/write it
- Disadvantage:
 - Many threads can read/write it
 - Can lead to data races

Data Race

- Unexpected/unwanted access to shared data
- Result of interleaving of thread executions
- Program must be correct for all interleavings

A Common Mistake/Misunderstanding: A Single Line of Code is not Atomic

- a = a + 1
- Is in reality
 - Load a from memory into register
 - Increment register
 - Store register value in memory
- Instruction sequence may be interleaved
- (Some machines have atomic increments)

balance = balance + 1; // balance in shared memory at 0x9cd4

balance = balance + 1; // balance in shared memory at 0x9cd4

State: 0x9cd4: 100 %eax:? %rip = 0x195 Thread 1 Weax:? %rip: 0x195 Thread 1 Weax:? %rip: 0x195 Thread 1 Thread 2 %eax:? %rip: 0x195

```
• 0x195 mov 0x9cd4, %eax
• 0x19a add $0x1, %eax
• 0x19d mov %eax, 0x9cd4
```

balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 100

%eax: 100

%rip = 0x19a

process

control

blocks:

Thread 1

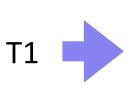
%eax: ?

%rip: 0x195

Thread 2

%eax: ?

%rip: 0x195



- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4

balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 100

%eax: **101**

%rip = 0x19d

process control

blocks:

Thread 1

%eax: ?

%rip: 0x195

Thread 2

%eax: ?

%rip: 0x195

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax



mov %eax, 0x9cd4



balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 101

%eax: **101**

%rip = 0x1a2

process

control

blocks:

Thread 1

%eax: ?

%rip: 0x195

Thread 2

%eax: ?

%rip: 0x195

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4



balance = balance + 1; // balance in shared memory at $0 \times 9 \times 64$

State:

0x9cd4: 101

%eax: **101**

%rip = 0x1a2

process

control

blocks:

Thread 1

%eax: ?

%rip: 0x195

Thread 2

%eax: ?

%rip: 0x195

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4



Thread context switch!

state of T1 saved in T1 pcb upon context switch

balance = balance + 1; // balance in shared memory at 0x9cd4 Thread 1 Thread 2 State: process 0x9cd4: 101 %eax: 101 %eax: ? state of T2 control %eax: ? %rip: 0x1a2 %rip: 0x195 loaded in CPU blocks: %rip = 0x195

T2

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4

note that code region is common to T1 & T2

balance = balance + 1; // balance in shared memory at $0 \times 9 \times 64$

Thread 1 Thread 2 State: process 0x9cd4: 101 %eax: 101 %eax: ? control %rip: 0x1a2 %rip: 0x195 %eax: ? blocks: %rip = 0x195mov 0x9cd4, %eax • 0×195 • 0x19a add \$0x1, %eax • 0x19d mov %eax, 0x9cd4

balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 101

%eax: 101

%rip = 0x19a

...

process

blocks:

Thread 1

%eax: 101

%rip: 0x1a2

Thread 2

%eax: ?

%rip: 0x195

```
T2
```

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4

balance = balance + 1; // balance in shared memory at $0 \times 9 \times 64$

State:

0x9cd4: 101

%eax: 102

%rip = 0x19d

Thread 1

%eax: 101

%rip: 0x1a2

Thread 2

%eax: ?

%rip: 0x195

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax

process

control

blocks:

• 0x19d mov %eax, 0x9cd4



balance = balance + 1; // balance in shared memory at 0x9cd4

Desired result ©

State:

0x9cd4: 102

%eax: 102

%rip = 0x1a2

Thread 1

%eax: 101

%rip: 0x1a2

Thread 2

%eax: ?

%rip: 0x195

• 0x19a add \$0x1, %eax

process

control

blocks:

• 0x19d mov %eax, 0x9cd4



Another schedule

balance = balance + 1; // balance in shared memory at 0x9cd4

State: 0x9cd4: 100 %eax:? %rip = 0x195 Thread 1 Weax:? %rip: 0x195 Thread 1 Weax:? %rip: 0x195

```
    • 0x195 mov 0x9cd4, %eax
    • 0x19a add $0x1, %eax
    • 0x19d mov %eax, 0x9cd4
```

balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 100

%eax: 100

%rip = 0x19a

process

control

blocks:

Thread 1

%eax: ?

%rip: 0x195

Thread 2

%eax: ?

%rip: 0x195



- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4

balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 100

%eax: 101

%rip = 0x19d

process

control

blocks:

Thread 1

%eax: ?

%rip: 0x195

Thread 2

%eax: ?

%rip: 0x195

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax
 - 0x19d mov %eax, 0x9cd4

Thread context switch!

balance = balance + 1; // balance in shared memory at 0x9cd4

```
Thread 1
                                          Thread 2
State:
                  process
0x9cd4: 100
                           %eax: 101
                                        %eax: ?
                   control
                            %rip: 0x19d
                                        %rip: 0x195
%eax: ?
                   blocks:
%rip = 0x195
       • 0x195
                 mov 0x9cd4, %eax
       • 0x19a add $0x1, %eax
       • 0x19d
                 mov %eax, 0x9cd4
```

balance = balance + 1; // balance in shared memory at 0x9cd4

State: 0x9cd4: 100

%eax: 100

%rip = 0x19a

process

control

blocks:

Thread 1

%eax: 101

%rip: 0x19d

Thread 2

%eax: ?

%rip: 0x195

```
    • 0x195 mov 0x9cd4, %eax
    • 0x19a add $0x1, %eax
    • 0x19d mov %eax, 0x9cd4
```

balance = balance + 1; // balance in shared memory at $0 \times 9 \times 64$

State:

0x9cd4: 100

%eax: 101

%rip = 0x19d

process control

blocks:

Thread 1

%eax: 101

%rip: 0x19d

Thread 2

%eax: ?

%rip: 0x195

• 0x19a add \$0x1, %eax

mov %eax, 0x9cd4



balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 101

%eax: 101

%rip = 0x1a2

Thread 1

%eax: 101

%rip: 0x19d

Thread 2

%eax: ?

%rip: 0x195

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax

process

control

blocks:

• 0x19d mov %eax, 0x9cd4



balance = balance + 1; // balance in shared memory at 0x9cd4

State:

0x9cd4: 101

%eax: 101

%rip = 0x1a2

.

process control

blocks:

Thread 1

%eax: 101

%rip: 0x19d

Thread 2

%eax: ?

%rip: 0x195

- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4



Thread context switch!

balance = balance + 1; // balance in shared memory at $0 \times 9 \times 64$

State:

0x9cd4: 101

%eax: 101

%rip = 0x19d

process control

blocks:

Thread 1

%eax: 101

%rip: 0x19d

Thread 2

%eax: 101

%rip: 0x1a2

- 0x195 mov 0x9cd4, %eax
- 0x19a add \$0x1, %eax

mov %eax, 0x9cd4



balance = balance + 1; // balance in shared memory at 0x9cd4

WRONG Result!
Final value of balance is 101

State:

0x9cd4: 101

%eax: 101

%rip = 0x1a2

process

blocks:

Thread 1

%eax: 101

%rip: 0x19d

Thread 2

%eax: 101

%rip: 0x1a2

- 0x19a add \$0x1, %eax
- 0x19d mov %eax, 0x9cd4



Non-Determinism

Concurrency leads to non-deterministic results

- Different results even with same inputs
- Race conditions

Whether bug manifests or not depends on CPU schedule!

How to program?

- Imagine scheduler is malicious
- Assume scheduler will pick bad ordering at some point...

Basic Approach to Multithreading

- 1. Divide "work" among multiple threads &
- 2. Share data
 - Which data is shared?
 - Global variables and heap
 - Not local variables, not read-only variables
 - Where is shared data accessed?
 - Put shared data access in critical section

Critical Section

- Want 3 instructions to execute as an uninterruptable group
- That is, we want them to be atomic

mov 0x123, %eax add %0x1, %eax mov %eax, 0x123

critical section

Need mutual exclusion for critical sections

- If thread A is in critical section C, thread B can't enter C
- Ok if other processes do unrelated work

Mutual Exclusion

- Prevents simultaneous access to a shared resource.
 - In this case, shared resource = shared memory region
- How can we achieve mutual exclusion?
 - Today we will first see library support (pthreads)
 - Then, we will see implementation of synchronization primitives.

Why this (mostly) works

- Critical section:
 - No other thread can change data
- So you are (mostly) ok

Synchronization

Build higher-level synchronization primitives in OS

Operations that ensure correct ordering of instructions across threads

Motivation: Build them once and get them right

Software

Monitors Locks (mutex) Semaphores
Condition Variables

Hardware

Loads Stores Test&Set Disable Interrupts

POSIX Thread Libraries (pthreads)

- Thread API for C/C++
- User-level library:
 - #include <pthread.h>
 - Compile and link with -pthread.
- Support for thread creation, termination, synchronization.
- See more details here: https://man7.org/linux/man-pages/man3/

Pthreads: Thread Creation and Destruction

- pthread create()
- pthread exit()
- pthread join()

```
pthread_create()
```

```
int pthread_create(pthread_t * thread, pthread_attr_t * attr, void
*(*start_routine)(void *), void * arg);
```

- Create thread, in thread.
- Run start_routine with arguments arg.
- attr points to a pthread_attr_t structure. If attr is NULL, then the thread is created with default attributes (ok in most cases).
- On success, return 0; on error, return an error number.

```
pthread_exit()
```

void pthread_exit(void *retval);

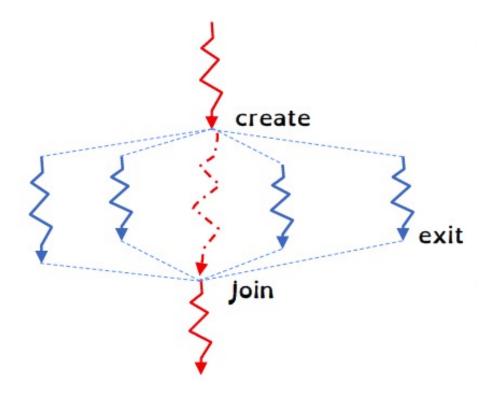
- Terminate calling thread.
- Returns a value via retval.

```
pthread_join()
```

```
int pthread_join(pthread_t thread, void **retval);
```

- Join with a terminated thread.
- Waits for the thread specified by thread to exit.
- If *retval* is not NULL, then **pthread_join**() copies the exit status of the target thread into the location pointed to by *retval*.
- On success, return 0; on error, return an error number.

Fork-Join Pattern for threads



Main thread creates (forks) collection of sub-threads passing them args to work on... ... and then joins with them, collecting the results

Note: In this example, start_routine is the same for all threads; only args are different.

Fork-join example

```
void *mythread(void *arg) {
  printf("%s\n", (char *) arg);
 return NULL;
int main(int argc, char *argv[]) {
  pthread_t p1, p2;
  printf("main: begin\n");
  pthread_create(&p1, NULL, mythread, "A");
  pthread_create(&p2, NULL, mythread, "B");
  pthread_join(p1, NULL);
  pthread_join(p2, NULL);
  printf("main: end\n");
```

Counting example – What is the final answer?

```
int count;
void *mythread(void *arg) {
 int j;
  for (j = 0; j < 1000000; j++){
    count +=1;
 return NULL;
int main(int argc, char *argv[]) {
  pthread_t p1, p2;
  count = 0;
  pthread_create(&p1, NULL, mythread, NULL);
  pthread_create(&p2, NULL, mythread, NULL);
  pthread_join(p1, NULL);
  pthread_join(p2, NULL);
  printf("%d \n", count);
```

Pthreads: Locks

- Pthread_mutex_lock(mutex)
- Pthread_mutex_unlock(mutex)

Pthread_mutex_lock(mutex)

- If lock is held by another thread, block
- If lock is not held by another thread
 - Acquire lock
 - Proceed

Pthread_mutex_unlock(mutex)

Release lock

Counting example revisited – What is the final answer?

```
pthread_mutex_t count_mutex;
int count;
void *mythread(void *arg) {
 int j;
  for (j = 0; j < 1000000; j++){}
    pthread_mutex_lock(&count_mutex);
     count +=1:
    pthread_mutex_unlock(&count_mutex);
 return NULL;
int main(int argc, char *argv[]) {
 pthread_t p1, p2;
  pthread_mutex_init(&count_mutex, NULL);
  count = 0;
  pthread_create(&p1, NULL, mythread, NULL);
  pthread_create(&p2, NULL, mythread, NULL);
  pthread_join(p1, NULL);
  pthread_join(p2, NULL);
 printf("%d \n", count);
```

Deadlocks

- Threads are stuck waiting for blocked resources and no amount of retry (backoff) will help.
- Classic example:

Thread A 1 lock(object1) 2 lock(object2) 3 //do stuff 4 unlock(object2) 5 unlock(object1) ...

```
Thread B
1 lock(object2)
2 lock(object1)
3 //do stuff
4 unlock(object1)
5 unlock(object2)
...
```



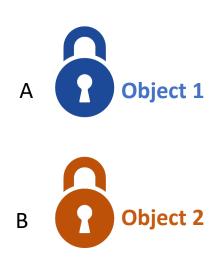


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Thread A 1 lock(object1) 2 lock(object2) 3 //do stuff 4 unlock(object2) 5 unlock(object1) ...

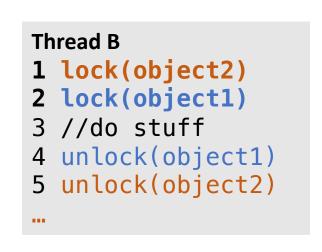
```
Thread B
1 lock(object2)
2 lock(object1)
3 //do stuff
4 unlock(object1)
5 unlock(object2)
....
```

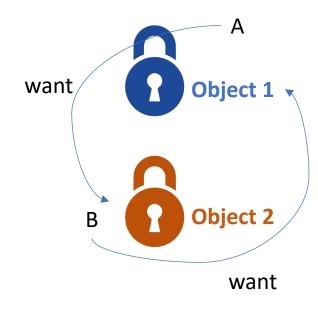


Deadlocks

- Threads are stuck waiting for blocked resources and no amount of retry (backoff) will help.
- Classic example:

Thread A 1 lock(object1) 2 lock(object2) 3 //do stuff 4 unlock(object2) 5 unlock(object1)





Deadlock example

```
pthread_mutex_t lock1;
pthread_mutex_t lock2;

void *a_func(void *arg) {
  long j;
  for (j = 0; j < 100000000; j++) {
    pthread_mutex_lock(&lock1);
    pthread_mutex_lock(&lock2);
    printf("A");
    pthread_mutex_unlock(&lock2);
    pthread_mutex_unlock(&lock1);
  }
  return NULL;
}</pre>
```

```
void *b_func(void *arg) {
  long j;
  for (j = 0; j < 100000000; j++) {
    pthread_mutex_lock(&lock2);
    pthread_mutex_lock(&lock1);
    printf("B");
    pthread_mutex_unlock(&lock1);
    pthread_mutex_unlock(&lock2);
  }
  return NULL;
}</pre>
```

```
int main(int argc, char *argv[]) {
  pthread_t a, b;
  pthread_mutex_init(&lock1, NULL);
  pthread_mutex_init(&lock2, NULL);
  pthread_create(&a, NULL, a_func, NULL);
  pthread_create(&b, NULL, b_func, NULL);
  pthread_join(a, NULL);
  pthread_join(b, NULL);
  pthread_join(b, NULL);
  printf("End!\n");
}
```

Condition Variables

- Used when thread A needs to wait for an event done by thread B
- A waits until a certain condition is true
 - First test condition,
 - If condition not true, call pthread cond wait()
 - A blocks until condition is true.
- At some point B makes the condition true
 - Then B calls pthread cond signal(), which unblocks A.

Thread A

```
x = f ( a , b );
if ( x < 0 || x > 9)
  pthread_cond_wait (&cv);
```

Thread B

```
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv);</pre>
```

Find the data race.

Thread A

```
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv);</pre>
```

Thread A

```
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv);</pre>
```

Thread A

Thread B

```
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal(&cv);</pre>
```

:(Broadcast missed by A

Thread A

```
x = f ( a , b );
if ( x < 0 || x > 9)
  pthread_cond_wait (&cv);
```

A waits forever...

```
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv);</pre>
```

Thread A

```
pthread_mutex lock(&mutex );
x = f ( a , b );
if ( x < 0 || x > 9)
  pthread_cond_wait (&cv, &mutex);
pthread_mutex_unlock(&mutex);
```

Thread B

```
pthread_mutex lock(&mutex );
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv , &mutex);
pthread_mutex_unlock(&mutex);</pre>
```

Every time you use a condition variable you must also use a mutex to prevent the race condition.

One more issue...

Sometimes, the wait function might return even though the condition variable has not actually been signaled.

Thread A

```
pthread_mutex lock(&mutex );
x = f ( a , b );
if ( x < 0 || x > 9)
  pthread_cond_wait (&cv, &mutex);
pthread_mutex_unlock(&mutex);
```

Thread B

```
pthread_mutex lock(&mutex );
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv , &mutex);
pthread_mutex_unlock(&mutex);</pre>
```

Example:

If process P running A and B receives and OS signal

Any thread in P can be chosen to process the signal.

- How can we fix this?
- → A might be chosen to process the signal handling function
- → wait returns with an error code → A runs even if condition is not true...

- Retest the condition after pthread_cond_wait() returns.
 - This is most easily done using a loop.

Thread A

```
pthread_mutex lock(&mutex );
while (1){
  x = f ( a , b );
  if ( x < 0 || x > 9)
    pthread_cond_wait (&cv, &mutex);
  else break;
}
pthread_mutex_unlock(&mutex);
```

```
pthread_mutex lock(&mutex );
//change a and b;
x = f (a , b);
if ( x >= 0 && x <= 9)
   pthread_cond_signal (&cv, &mutex);
pthread_mutex_unlock(&mutex);</pre>
```

Conditional Variables Interface

- pthread_cond_init(pthread_cond_t *cv, pthread_condattr_t *cattr)
 - Initialize the conditional variable, cattr can be NULL
- pthread_cond_wait(pthread_cond_t *cv, pthread_mutex_t *mutex)
 - Block thread until condition is true, and atomically unblock mutex.
- pthread_cond_signal(pthread_cond_t *cv)
 - Unblock one thread at random that is blocked by the condition variable
- pthread_cond_broadcast(pthread_cond_t *cv)
 - Unblock all threads that are blocked on the condition variable pointed to by cv.

Condition Variable Example

```
pthread_cond_t is_zero;
pthread_mutex_t mutex;
int shared_data = 100;
void *thread_func(void *arg){
 while(shared_data > 0) {
    pthread_mutex_lock(&mutex);
    shared_data--;
    printf("%d ", shared_data);
   pthread_mutex_unlock(&mutex);
  printf("Signaling main\n");
  pthread_cond_signal(&is_zero);
 return NULL;
```

```
int main (void){
 pthread_t tid;
 void * exit_status;
 int i;
 pthread_cond_init(&is_zero, NULL);
 pthread_mutex_init(&mutex, NULL);
 pthread_create(&tid, NULL, thread_func, NULL);
  pthread_mutex_lock(&mutex);
  printf("Start waiting in main\n");
 while(shared_data!=0)
    pthread_cond_wait(&is_zero, &mutex);
 pthread_mutex_unlock(&mutex);
  printf("Done waiting in main!\n");
  pthread_join(tid, &exit_status);
 return 0;
```

Further Optional Reading

Operating Systems: Three Easy Pieces by R. & A. Arpaci-Dusseau

Chapters 25 – 31 (inclusive) https://pages.cs.wisc.edu/~remzi/OSTEP/

Reading on concurrency: Herlihy & Shavit: The Art of Multiprocessor Programming, 2nd edition.

Credits:

Some slides adapted from the OS courses of Profs. Remzi and Andrea Arpaci-Dusseau (University of Wisconsin-Madison), Prof. Willy Zwaenepoel (University of Sydney), and Prof. Maurice Herlihy (Brown University), Prof. Natacha Crooks (UC Berkeley).

