CS61: Systems Programming and Machine Organization Harvard University, Fall 2009

Lecture 20:

# Semaphores, Condition Variables, and Monitors

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## Higher-level synchronization primitives

- We have looked at one synchronization primitive: locks
- Locks are useful for many things, but sometimes programs have different requirements.
- Examples?
  - Say we had a shared variable where we wanted any number of threads to read the variable, but only one thread to write it.
  - How would you do this with locks?

```
Reader() {
    acquire(lock);
    mycopy = shared_var;
    release(lock);
    return mycopy;
}
Writer() {
    acquire(lock);
    shared_var = NEW_VALUE;
    release(lock);
}
```

What's wrong with this code?

## Semaphores

- Higher-level synchronization construct
  - Designed by Edsger Dijkstra in the 1960's, part of the THE operating system (classic stuff!)
- Semaphore is a shared counter
  - Two operations on semaphores:
- P() or wait() or down()
  - From Dutch "proeberen", meaning "test"
  - Atomic action:
    - Wait for semaphore value to become > 0, then decrement it
- V() or signal() or up()
  - From Dutch "verhogen", meaning "increment"
  - Atomic action:
    - Increments semaphore value by 1.



## Semaphore Example

Semaphores can be used to implement locks:

```
Semaphore my_semaphore = 1; // Initialize to nonzero
int withdraw(account, amount) {
   P(my_semaphore);
   balance = get_balance(account);
   balance -= amount;
   put_balance(account, balance);
   v(my_semaphore);
   return balance;
}
```

- A semaphore where the counter value is only 0 or 1 is called a binary semaphore.
  - · Essentially the same as a lock.

## Simple Semaphore Implementation

```
struct semaphore {
   int val;
   thread_list waiting; // List of threads waiting for semaphore
P(semaphore Sem): // Wait until > 0 then decrement
     while (Sem.val <= 0) {
         add this thread to Sem.waiting:
         block(this thread); // What does this do??
     Sem.val = Sem.val -1;
     return;
                      // Increment value and wake up next thread
V(semaphore Sem):
   Sem.val = Sem.val + 1;
   if (Sem.waiting is nonempty) {
         remove a thread T from Sem.waiting;
         wakeup(T);
```

P() and V() must be atomic actions!

## Simple Semaphore Implementation

```
struct semaphore {
   int val;
   thread list waiting; // List of threads waiting for semaphore
P(semaphore Sem): // Wait until > 0 then decrement
                                                     Why is this a while loop
    while (Sem.val <= 0) {
                                                     and not just an if statement?
         add this thread to Sem.waiting;
         block(this thread); // What does this do??
    Sem.val = Sem.val -1;
    return;
V(semaphore Sem): // Increment value and wake up next thread
   Sem.val = Sem.val + 1;
   if (Sem.waiting is nonempty) {
         remove a thread T from Sem.waiting;
         wakeup(T);
```

## Simple Semaphore Implementation

```
struct semaphore {
   int val:
   thread list waiting; // List of threads waiting for semaphore
P(semaphore Sem): // Wait until > 0 then decrement
                                                    Another thread might call P() while
    while (Sem.val <= 0) {
                                                    this thread is blocked, so we have to
         add this thread to Sem.waiting:
                                                    check the condition again when we
         block(this thread); // What does this do??
                                                    wake back up!
    Sem.val = Sem.val -1:
    return;
V(semaphore Sem): // Increment value and wake up next thread
   Sem.val = Sem.val + 1;
   if (Sem.waiting is nonempty) {
         remove a thread T from Sem.waiting;
         wakeup(T);
```

## Semaphore Implementation

 How do we ensure that the semaphore implementation is atomic?

## Semaphore Implementation

- How do we ensure that the semaphore implementation is atomic?
- One approach: Make them system calls, and ensure only one P()
  or V() operation can be executed by any process at a time.
  - This effectively puts a lock around the P() and V() operations themselves!
  - Easy to do by disabling interrupts in the P() and V() calls.
- Another approach: Use hardware support
  - Say your CPU had atomic P and V instructions
  - That would be sweet.

## OK, but why are semaphores useful?

- A binary semaphore (counter is always 0 or 1) is basically a lock.
- The real value of semaphores becomes apparent when the counter can be initialized to a value other than 0 or 1.
- Say we initialize a semaphore's counter to 50.
  - What does this mean about P() and V() operations?

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#### The Producer/Consumer Problem

Also called the Bounded Buffer problem.

Mmmm... donuts







Producer pushes items into the buffer.

Consumer pulls items from the buffer.

Producer needs to wait when buffer is full.

Consumer needs to wait when the buffer is empty.

#### The Producer/Consumer Problem

Also called the Bounded Buffer problem.

ZZZZZ....







Producer pushes items into the buffer.

Consumer pulls items from the buffer.

Producer needs to wait when buffer is full.

Consumer needs to wait when the buffer is empty.

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## One implementation...





```
int count = 0;

Producer() {
    int item;
    while (TRUE) {
        item = bake();
        if (count == N) sleep();
        insert_item(item);
        count = count + 1;
        if (count == 1)
            wakeup(consumer);
    }
}
```

What's wrong with this code?

```
Consumer() {
   int item;
   while (TRUE) {
      if (count == 0) sleep();
      item = remove_item();
      count = count + 1;
      if (count == N-1)
            wakeup(producer);
      eat(item);
   }
}
```

What if we context switch between the test and the sleep?

## A fix using semaphores







```
Semaphore mutex = 1;
Semaphore empty = N;
Semaphore full = 0;

Producer() {
   int item;
   while (TRUE) {
      item = bake();
      P(empty);
      P(mutex);
      insert_item(item);
      V(mutex);
      V(full);
   }
}
```

```
Consumer() {
    int item;
    while (TRUE) {
        P(full);
        P(mutex);
        item = remove_item();
        V(mutex);
        V(empty);
        eat(item);
    }
}
```

- Let's go back to the problem at the beginning of lecture.
  - Single shared object
  - Want to allow any number of threads to read simultaneously
  - But, only one thread should be able to write to the object at a time
    - (And, not interfere with any readers...)

```
Semaphore wrt = 1;
int readcount = 0;

Writer() {
    P(wrt);
    do_write();
    V(wrt);
}
```

```
Reader() {
    readcount++;
    if (readcount == 1) {
        P(wrt);
    }
    do_read();
    readcount--;
    if (readcount == 0) {
        V(wrt);
    }
}
```

Seems simple, but this code is **broken**. Let's see how...

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- Let's go back to the problem at the beginning of lecture.
  - Single shared object
  - Want to allow any number of threads to read simultaneously.
  - But, only one thread should be able to write to the object at &

• (And, not interfere with any readers...)

```
Semaphore wrt = 1;
int readcount = 0;

Writer() {
    P(wrt);
    do_write();
    V(wrt);
}
```

```
Reader() {
    readcount++;
    if (readcount == 1) {
        P(wrt);
    }

    do_read();

    readcount--;
    if (readcount == 0) {
        V(wrt);
    }
```

What can

happen if we

context switch here?

- Let's go back to the problem at the beginning of lecture.
  - Single shared object
  - Want to allow any number of threads to read simultaneously
  - But, only one thread should be able to write to the object at a
    - (And, not interfere with any readers...)

Semaphore wrt = 1;
int readcount = 0;
Writer() {
 P(wrt);
 do\_write();
 V(wrt);
}

Another Reader()
could start and
"readcount==1"
never happens!

```
Reader() {
    readcount++;
    if (readcount == 1) {
        P(wrt);
    }

    do_read();

    readcount--;
    if (readcount == 0) {
        V(wrt);
    }
```

- Let's go back to the problem at the beginning of lecture.
  - Single shared object
  - Want to allow any number of threads to read simultaneously
  - But, only one thread should be able to write to the object at a/
    - (And, not interfere with any readers...)

```
Semaphore wrt = 1;
int readcount = 0;

Writer() {
    P(wrt);
    do_write();
    V(wrt);
}
```

What can happen if we context switch here?

```
Reader() {
    readcount++;
    if (readcount == 1) {
        P(wrt);
    }

    do_read();

    readcount--;
    if (readcount == 0) {
        V(wrt);
    }
}
```

- Let's go back to the problem at the beginning of lecture.
  - Single shared object
  - Want to allow any number of threads to
  - But, only one thread should be able to
    - (And, not interfere with any reade)

A Writer() could start, P the semaphore first, then subsequent Reader() threads would be able to get past the semaphore (since "readcount!= 1")

```
Semaphore wrt = 1;
int readcount = 0;

Writer() {
    P(wrt);
    do_write();
    V(wrt);
}
```

```
Reader() {
    readcount++;
    if (readcount == 1) {
        P(wrt);
    }

    do_read();

    readcount--;
    if (readcount == 0) {
        V(wrt);
    }
```

#### Reader/Writers fixed

- Problem: Multiple Readers are accessing "readcount".
  - Solution: Make "increment, test, P" and "decrement, test, V" both atomic using a mutex.

```
Semaphore mutex = 1;
Semaphore wrt = 1;
int readcount = 0;

Writer() {
    P(wrt);
    do_write();
    V(wrt);
}
```

```
Reader() {
   P(mutex);
   readcount++;
   if (readcount == 1) {
        P(wrt);
   }
   V(mutex);
   do_read();
   P(mutex);
   readcount--;
   if (readcount == 0) {
        V(wrt);
   }
   V(mutex);
```

#### Reader/Writers fixed

- Problem: Multiple Readers are accessing "readcount".
  - Solution: Make "increment, test, P" and "decrement, test, V" both atomic using a mutex.

```
Semaphore mutex = 1;
Semaphore wrt = 1;
int readcount = 0;

Writer() {
    P(wrt);
    do_write();
    V(wrt);
}
```

What if a Writer() is active, the first Reader() stalls on P(wrt), and additional Readers() try to enter?

```
Reader() {
   P(mutex);
   readcount++;
   if (readcount == 1) {
        P(wrt);
   }
   V(mutex);
   do_read();
   P(mutex);
   readcount--;
   if (readcount == 0) {
        V(wrt);
   }
   V(mutex);
```

#### Reader/Writers fixed

- Problem: Multiple Readers are accessing "readcount".
  - Solution: Make "increment, test, P" and "decrement, test, V" both atomic using a mutex.

```
Semaphore mutex = 1;
                                Reader() {
                                    P(mutex);
Semaphore wrt = 1;
                                    readcount++;
int readcount = 0;
                                    if (readcount == 1) {
Writer() {
                                        P(wrt);
   P(wrt);
   do write();
                                    V(mutex);
   V(wrt);
                                    do read();
                                    P(mutex);
                                    readcount --:
                                    if (readcount == 0) {
                                        V(wrt);
      The subsequent Reader()
      threads stall on P(mutex)!
                                    V(mutex);
```

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## **Issues with Semaphores**

- Much of the power of semaphores derives from calls to P() and V() that are unmatched
  - See previous example!
- Unlike locks, acquire() and release() are not always paired.
- This means it is a lot easier to get into trouble with semaphores.
  - Semaphores are a lot of rope to hang yourself with...

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#### **Condition Variables**

- A condition variable represents some condition that a thread can:
  - Wait on, until the condition occurs; or
  - Notify other waiting threads that the condition has occurred
    - Very useful primitive for signaling between threads.
- Three operations on condition variables:
  - wait() -- Block until another thread calls signal() or broadcast() on the CV
  - signal() -- Wake up one thread waiting on the CV
  - broadcast() -- Wake up all threads waiting on the CV
- In Pthreads, the CV type is a pthread\_cond\_t.
  - Use pthread\_cond\_init() to initialize
  - pthread\_cond\_wait(&theCV, &someLock);
  - pthread\_cond\_signal(&theCV);
  - pthread\_cond\_broadcast(&theCV);

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 All condition variable operations must be performed while a mutex is locked!!!

```
/* Thread B */
pthread mutex t myLock;
pthread cond t myCV;
                                     pthread_mutex_lock(&myLock);
int counter = 0;
                                     counter++;
/* Thread A */
                                     if (counter >= 10) {
pthread mutex lock(&myLock);
                                         pthread cond signal(&myCV);
while (counter < 10) {
    pthread cond wait(&myCV,
                                     pthread_mutex_unlock(&myLock);
                       &myLock);
  }
pthread mutex unlock(&myLock);
```

Why is the lock necessary?

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 All condition variable operations must be performed while a mutex is locked!!!

```
/* Thread B */
pthread mutex t myLock;
pthread cond t myCV;
                                     pthread_mutex_lock(&myLock);
int counter = 0;
                                     counter++;
/* Thread A */
                                     if (counter >= 10) {
pthread mutex lock(&myLock);
                                         pthread cond signal(&myCV);
while (counter < 10) {
    pthread_cond_wait(&myCV,
                                     pthread_mutex_unlock(&myLock);
                       &myLock);
  }
pthread mutex unlock(&myLock);
```

- If no lock on Thread A...
  - Thread might wait just after another thread sets the counter value to 10!
- If no lock on Thread B...
  - No guarantee that increment and test of counter is atomic!
  - Requiring CV operations to be done while holding a lock prevents a lot of common programming mistakes.

```
/* Thread B */
pthread mutex t myLock;
pthread cond t myCV;
                                     pthread_mutex_lock(&myLock);
int counter = 0;
                                     counter++;
/* Thread A */
                                     if (counter >= 10) {
pthread mutex lock(&myLock);
                                         pthread cond signal(&myCV);
while (counter < 10) {
    pthread cond wait(&myCV,
                                     pthread mutex unlock(&myLock);
                       &myLock);
  }
pthread mutex unlock(&myLock);
```

What happens to the lock when you call wait() on the CV?

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```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
wait() releases the
 lock while Thread A
    is sleeping!!!
                 myLock; Unlocked
pthreau cond t myCV;
int counter = 0;
/* Thread A */
pthread mutex lock(&myLock);
while (counter < 10) {
    pthread_cond_wait(&myCV,
                         &myLock);
  }
pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

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```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
Locked
                                         /* Thread B */
pthread mutex t myLock;
pthread cond t myCV;
                                         pthread_mutex_lock(&myLock);
int counter = 0;
                                        counter++;
/* Thread A */
                                         if (counter >= 10) {
pthread_mutex_lock(&myLock);
                                            pthread cond signal(&myCV)
while (counter < 10) {
  pthread_cond_wait(&myCV,
                                        pthread mutex unlock(&myLock);
                         &myLock);
          Awake, but cannot
            proceed out of
pthrea
                             ock);
          pthread cond wait()
              ... why?
                       The lock is still
                     held by Thread B!
```

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```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
pthread_mutex t myLock; Unlocked
pthread cond t myCV;
int counter = 0;
/* Thread A */
pthread_mutex_lock(&myLock);
while (counter < 10) {
  > pthread_cond_wait(&myCV,
                         &myLock);
           Can start running
pthrea
                             pck);
          again. But one thing
               first...
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

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```
Thread A re-acquires
      the lock before it
     resumes execution!
                        &myLock);
 counter++;
 if (counter >= 10) {
      pthread cond signal(&myCV);
> pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

```
/* Thread B */
pthread_mutex_lock(&myLock);

counter++;
if (counter >= 10) {
    pthread_cond_signal(&myCV);
}

pthread_mutex_unlock(&myLock);
```

#### Key ideas:

- wait() on a CV releases the lock
- signal() on a CV wakes up a thread waiting on a lock
- The thread that wakes up has to re-lock before wait() returns

# Bounded buffer using CVs

```
int theArray[ARRAY SIZE], size;
pthread mutex t theLock;
pthread cond t theCV;
/* Initialize */
pthread mutex init(&theLock, NULL);
pthread condvar init(&theCV, NULL);
void put(int val) {
   pthread_mutex_lock(&theLock);
   while (size == ARRAY SIZE) {
     pthread cond wait(&theCV,
                       &theLock);
   addItemToArray(val);
   size++;
   if (size == 1) {
     pthread_cond_signal(&theCV);
   pthread mutex unlock(&theLock);
```

```
int get() {
  int item;
  pthread mutex lock(&theLock);
 while (size == 0) {
    pthread cond wait(&theCV,
                    &theLock);
  item = getItemFromArray();
  size--;
  if (size == ARRAY SIZE-1) {
    pthread cond signal(&theCV);
  pthread mutex unlock(&theLock);
  return item;
```

What's wrong with this code?

# Bounded buffer using CVs

```
int theArray[ARRAY SIZE], size;
pthread mutex t theLock;
pthread cond t theCV;
/* Initialize */
pthread mutex init(&theLock, NULL);
pthread condvar init(&theCV, NULL);
void put(int val) {
   pthread_mutex_lock(&theLock);
   while (size == ARRAY SIZE) {
     pthread cond wait(&theCV,
                       &theLock);
   addItemToArray(val);
   size++;
   if (size == 1) {
     pthread cond signal(&theCV);
   pthread mutex unlock(&theLock);
```

```
int get() {
  int item;
  pthread_mutex_lock(&theLock);
 while (size == 0) {
    pthread cond wait(&theCV,
                    &theLock);
  item = getItemFromArray();
  size--;
  if (size == ARRAY SIZE-1) {
    pthread_cond_signal(&theCV);
  pthread mutex unlock(&theLock);
  return item;
```

Assumes only a single thread calling put() or get() at a time!

If two threads call get(), then two threads call put(), only one will be woken up!!

# How to fix this problem?

```
int theArray[ARRAY SIZE], size;
pthread mutex t theLock;
pthread cond t theCV;
/* Initialize */
pthread mutex init(&theLock, NULL);
pthread condvar init(&theCV, NULL);
void put(int val) {
   pthread_mutex_lock(&theLock);
   while (size == ARRAY SIZE) {
     pthread_cond_wait(&theCV,
                       &theLock);
   addItemToArray(val);
   size++;
   pthread cond signal(&theCV);
   pthread mutex unlock(&theLock);
```

```
int get() {
  int item;
  pthread_mutex_lock(&theLock);
  while (size == 0) {
    pthread cond wait(&theCV,
                    &theLock);
  item = getItemFromArray();
  size--;
  if (size == ARRAY SIZE-1) {
    pthread cond broadcast(
                        &theCV);
  pthread mutex unlock(&theLock);
  return item;
```

#### One fix: Always signal.

Less efficient: higher overhead. Though it does not <u>hurt</u> to signal a CV that no thread is waiting on.

# How to fix this problem?

```
int theArray[ARRAY SIZE], size;
pthread mutex t theLock;
pthread cond t theCV;
/* Initialize */
pthread mutex init(&theLock, NULL);
pthread condvar_init(&theCV, NULL);
void put(int val) {
   pthread_mutex_lock(&theLock);
   while (size == ARRAY SIZE) {
     pthread_cond_wait(&theCV,
                       &theLock);
   addItemToArray(val);
   size++;
   if (size == 1) {
     pthread cond broadcast(&theCV);
   pthread_mutex_unlock(&theLock);
```

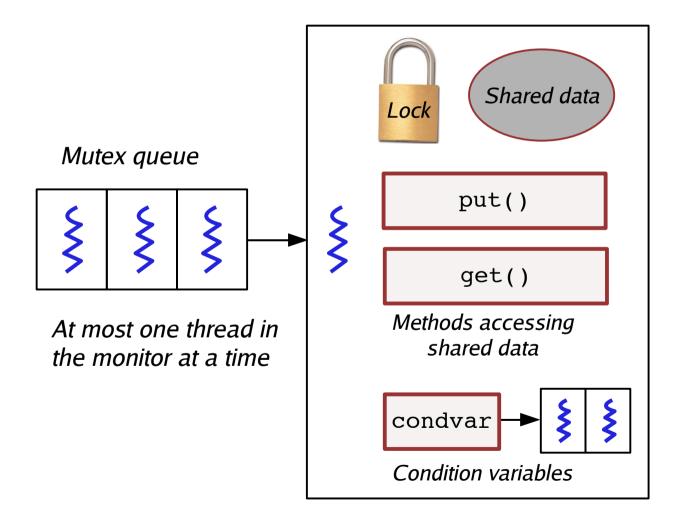
```
int get() {
  int item:
  pthread_mutex_lock(&theLock);
 while (size == 0) {
    pthread cond wait(&theCV,
                    &theLock);
  item = getItemFromArray();
  size--;
  if (size == ARRAY SIZE-1) {
    pthread_cond_broadcast(
                        &theCV);
  pthread mutex unlock(&theLock);
  return item;
```

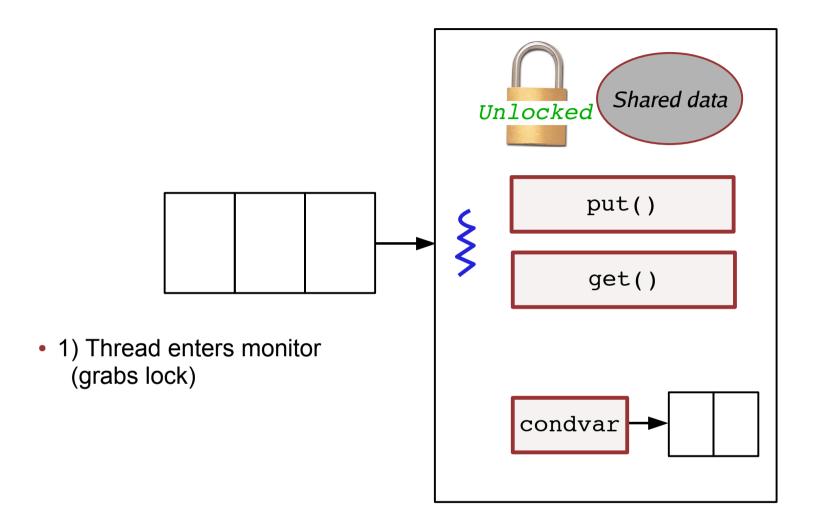
#### Another fix: use broadcast()

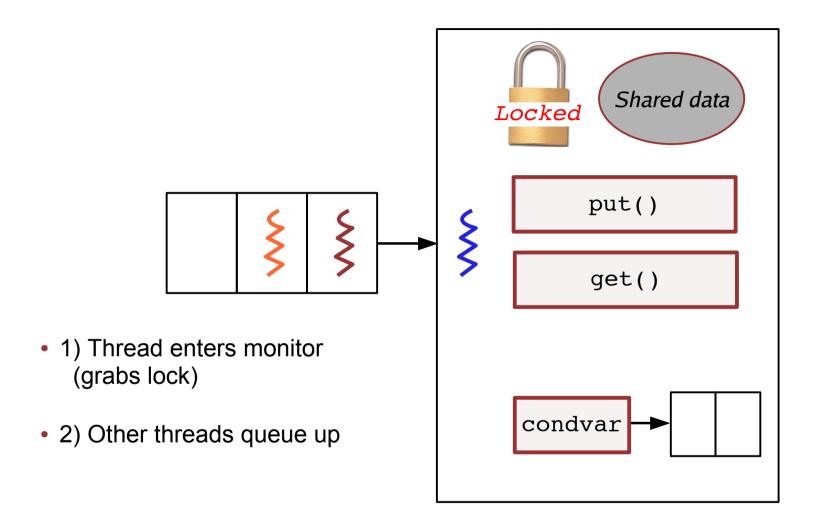
Wakes up <u>all</u> threads when the condition changes.

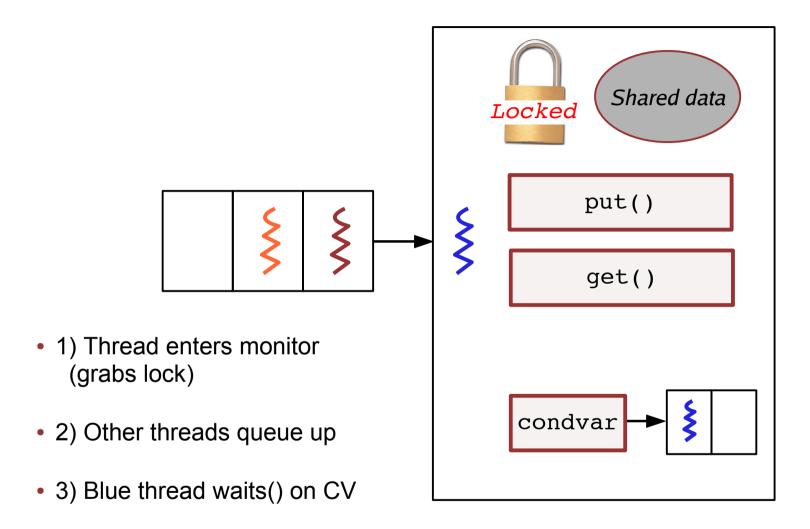
**But note!!!** Only **one** thread will grab the lock when it wakes up. The others wake up and immediately wait to acquire the lock again.

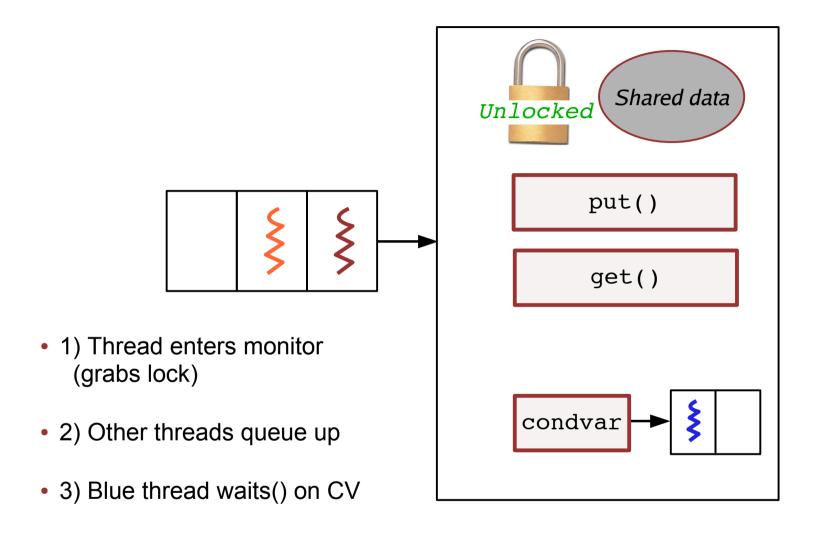
- This style of using locks and CV's to protect access to a shared object is often called a monitor
  - Think of a monitor as a lock protecting an object, a series of methods, and associated condition variables.







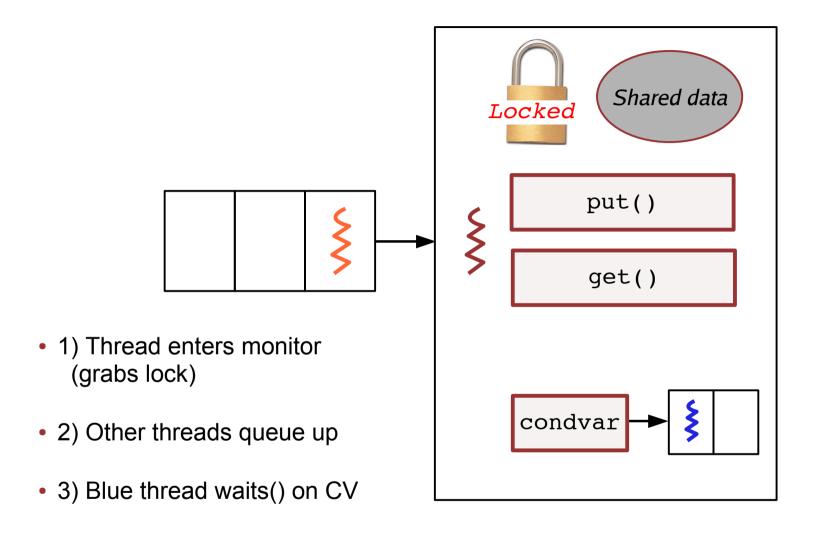




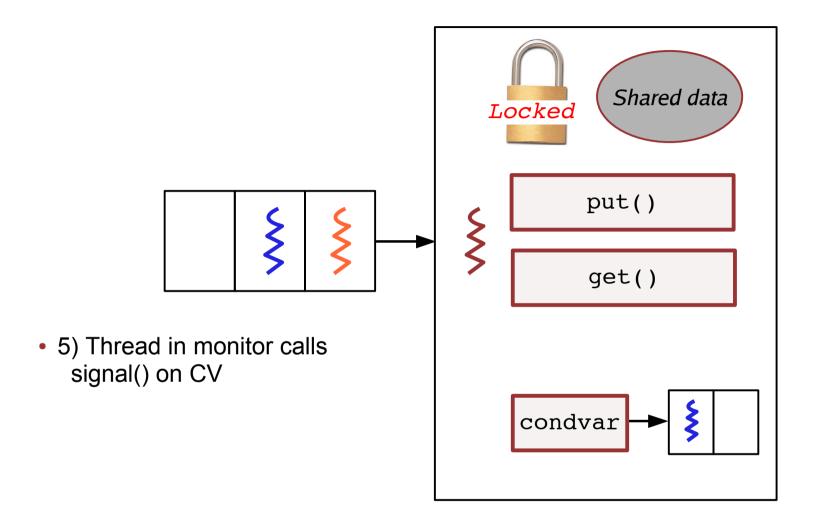
• 4) Next thread enters monitor

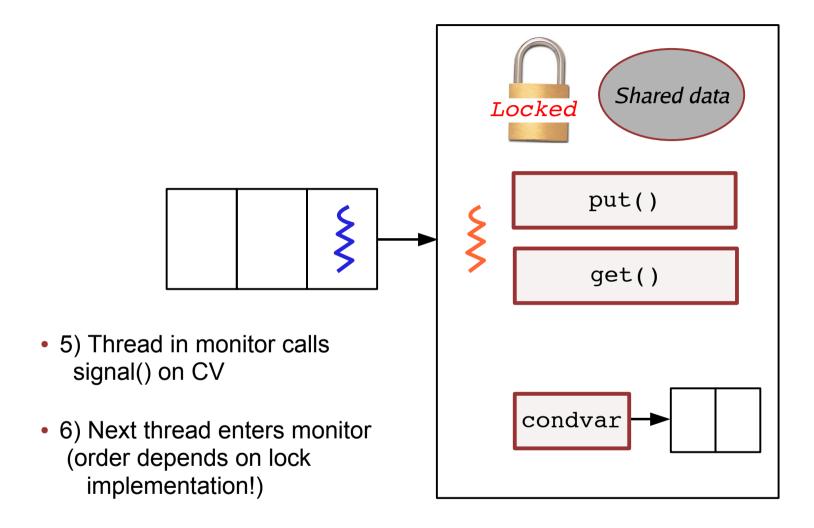
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4) Next thread enters monitor





### Hoare vs. Mesa Monitor Semantics

- The monitor signal() operation can have two different meanings:
- Hoare monitors (1974)
  - signal(CV) means to run the waiting thread immediately
  - Effectively "hands the lock" to the thread just signaled.
  - Causes the signaling thread to block
- Mesa monitors (Xerox PARC, 1980)
  - signal(CV) puts waiting thread back onto the "ready queue" for the monitor
  - But, signaling thread keeps running.
  - Signaled thread doesn't get to run until it can acquire the lock.
    - This is what we almost always use so do Pthreads, Java, C#, etc.
- What's the practical difference?
  - In Hoare-style semantics, the "condition" that triggered the notify()
     will always be true when the awoken thread runs
    - For example, that the buffer is now no longer empty
  - In Mesa-style semantics, awoken thread has to recheck the condition
    - Since another thread might have beaten it to the punch

## The Big Picture

- The point here is that getting synchronization right is hard
  - Even some of your esteemed faculty members (ahem) have been known to get it wrong.
- How to pick between locks, semaphores, condvars, monitors???
- Locks are very simple for many cases.
  - Issues: Maybe not the most efficient solution
  - For example, can't allow multiple readers but one writer inside a standard lock.
- Condition variables allow threads to sleep while holding a lock
  - Just be sure you understand whether they use Mesa or Hoare semantics!
- Semaphores provide pretty general functionality
  - But also make it really easy to botch things up.
- Monitors are a "pattern" for using locks and condition variables that is often very useful.

### **Next Lecture**

- Famous problems in synchronization
- Race conditions, deadlock, and priority inversion
- The THERAC-25 disaster
  - A radiation machine used to treat cancer
  - Had a software bug that actually killed several people.
  - Came down to a race condition!
- What happened to the Mars Pathfinder?
  - Very subtle synchronization bug plagued its software