Review: Thread package API

• tid thread_create (void (*fn) (void *), void *arg);
  - Create a new thread that calls fn with arg
• void thread_exit (void);
• void thread_join (tid thread);
• The execution of multiple threads is interleaved
• Can have non-preemptive threads:
  - One thread executes exclusively until it makes a blocking call
• Or preemptive threads (what we usually mean in this class):
  - May switch to another thread between any two instructions.
• Using multiple CPUs is inherently preemptive
  - Even if you don’t take CPU0 away from thread T, another thread on
    CPU1 can execute “between” any two instructions of T

Program A

```c
int flag1 = 0, flag2 = 0;
void p1 (void *ignored) {
  flag1 = 1;
  if (!flag2) { critical_section_1 (); }
}
void p2 (void *ignored) {
  flag2 = 1;
  if (!flag1) { critical_section_2 (); }
}
int main () {
tid id = thread_create (p1, NULL);
p2 ();
thread_join (id);
}
```

Q: Can both critical sections run?

Program B

```c
int data = 0;
int ready = 0;
void p1 (void *ignored) {
  data = 2000;
  ready = 1;
}
void p2 (void *ignored) {
  while (!ready)
    use (data);
}
int main () {
  ... }
```

Q: Can use be called with value 0?

Program C

```c
int a = 0;
int b = 0;
void p1 (void *ignored) {
  a = 1;
}
void p2 (void *ignored) {
  if (a == 1)
    b = 1;
}
void p3 (void *ignored) {
  if (b == 1)
    use (a);
}
```

Q: If p1–3 run concurrently, can use be called with value 0?

Correct answers

• Program A: I don’t know
Correct answers

- Program A: I don't know
- Program B: I don't know
- Program C: I don't know

Why don’t we know?
- It depends on what machine you use
- If a system provides sequential consistency, then answers all No
- But not all hardware provides sequential consistency

Note: Examples, other content from [Adve & Gharachorloo]
Another great reference: Why Memory Barriers

Outline

1 Memory consistency
2 The critical section problem
3 Mutexes and condition variables
4 Implementing synchronization
5 Alternate synchronization abstractions

Sequential Consistency

Definition
Sequential consistency: The result of execution is as if all operations were executed in some sequential order, and the operations of each processor occurred in the order specified by the program.
- Lamport

- Boils down to two requirements on loads and stores:
  1. Maintaining program order of each individual processor
  2. Ensuring write atomicity
- Without SC (Sequential Consistency), multiple CPUs can be “worse”—i.e., less intuitive—than preemptive threads
  - Result may not correspond to any instruction interleaving on 1 CPU
- Why doesn’t all hardware support sequential consistency?

SC thwarts hardware optimizations

- Complicates write buffers
  - E.g., read flag before flag\((3-n)\) written through in Program A
- Can’t re-order overlapping write operations
  - Concurrent writes to different memory modules
  - Coalescing writes to same cache line
- Complicates non-blocking reads
  - E.g., speculatively prefetch data in Program B
- Makes cache coherence more expensive
  - Must delay write completion until invalidation/update (Program B)
  - Can’t allow overlapping updates if no globally visible order (Program C)

SC thwarts compiler optimizations

- Code motion
- Caching value in register
  - Collapse multiple loads/stores of same address into one operation
- Common subexpression elimination
  - Could cause memory location to be read fewer times
- Loop blocking
  - Re-arrange loops for better cache performance
- Software pipelining
  - Move instructions across iterations of a loop to overlap instruction latency with branch cost
x86 consistency [intel 3a, §8.2]

- x86 supports multiple consistency/caching models
  - Memory Type Range Registers (MTRR) specify consistency for ranges of physical memory (e.g., frame buffer)
  - Page Attribute Table (PAT) allows control for each 4K page

- Choices include:
  - WB: Write-back caching (the default)
  - WT: Write-through caching (all writes go to memory)
  - UC: Uncacheable (for device memory)
  - WC: Write-combining – weak consistency & no caching (used for frame buffers, when sending a lot of data to GPU)

- Some instructions have weaker consistency
  - String instructions (written cache-lines can be re-ordered)
  - Special “non-temporal” store instructions (movnt∗) that bypass cache and can be re-ordered with respect to other writes

Old x86s (e.g, 486, Pentium 1) had almost SC
- Exception: A read could finish before an earlier write to a different location
- Which of Programs A, B, C might be affected?

Reminder:
- Program A: `flag1 = 1; if (!flag2) critical_section_1();`
- Program B: while (isready); use(data);
- Program C: `P2 if (a == 1) b = 1; and P3 if (b == 1) use(a);`

Newer x86s also let a CPU read its own writes early

Example concurrent code: Producer/Consumer

Older CPUs would wait at “f = …” until store complete

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Assuming sequential consistency

- Often we reason about concurrent code assuming SC
- But for low-level code, either know your memory model or program for worst-case relaxed consistency (~DEC alpha)
  - May need to sprinkle barrier/fence instructions into your source
  - Or may need compiler barriers to restrict optimization
- For most code, avoid depending on memory model
  - Idea: If you obey certain rules (discussed later) …system behavior should be indistinguishable from SC
- Let’s for now say we have sequential consistency
- Example concurrent code: Producer/Consumer
  - buffer stores BUFFER_SIZE items
  - count is number of used slots
  - out is next empty buffer slot to fill (if any)
  - in is oldest filled slot to consume (if any)
void producer (void *ignored) {
    for (;;) {
        item *nextProduced = produce_item ();
        while (count == BUFFER_SIZE)
            /* do nothing */;
        buffer[in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        count++;
    }
}

void consumer (void *ignored) {
    for (;;) {
        while (count == 0)
            /* do nothing */;
        item *nextConsumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        count--;
        consume_item (nextConsumed);
    }
}

Q: What can go wrong in above threads (even with SC)?

Data races

- **count may have wrong value**
- **Possible implementation of** count++ **and count--**
  ```c
  register←count
  register←register + 1
  register←register - 1
  count←register
  count←register
  ```
- **Possible execution (count one less than correct):**
  ```c
  register←count
  register←register + 1
  register←register - 1
  count←register
  ```

Data races (continued)

- **What about a single-instruction add?**
  - E.g., i386 allows single instruction addl $1, _count
  - So implement count++ with one instruction
  - Now are we safe?

Data races (continued)

- **What about a single-instruction add?**
  - E.g., i386 allows single instruction addl $1, _count
  - So implement count++ with one instruction
  - Now are we safe?
  - Not on multiprocessors!

- **A single instruction may encode a load and a store operation**
  - S.C. doesn't make such read-modify-write instructions atomic
  - So on multiprocessor, suffer same race as 3-instruction version

- **Can make x86 instruction atomic with lock prefix**
  - But lock potentially very expensive
  - Compiler assumes you don't want penalty, doesn't emit it

- **Need solution to critical section problem**
  - Place count++ and count-- in critical section
  - Protect critical sections from concurrent execution

Desired properties of solution

- **Mutual Exclusion**
  - Only one thread can be in critical section at a time
- **Progress**
  - Say no process currently in critical section (C.S.)
  - One of the processes trying to enter will eventually get in
- **Bounded waiting**
  - Once a thread T starts trying to enter the critical section, there is a bound on the number of times other threads get in
- **Note progress vs. bounded waiting**
  - If no thread can enter C.S., don't have progress
  - If thread A waiting to enter C.S. while B repeatedly leaves and re-enters C.S. ad infinitum, don't have bounded waiting

Peterson's solution

- **Still assuming sequential consistency**
- **Assume two threads, T_0 and T_1**
- **Variables**
  - int not_turn; // not this thread's turn to enter C.S.
  - bool wants[2]; // wants[1] indicates if T wants to enter C.S.
- **Code:**
  ```c
  for (;;) { /* assume i is thread number (0 or 1) */
    wants[i] = true;
    not_turn = i;
    while (wants[1-i] && not_turn == i)
    /* other thread wants in and not our turn, so loop */;
    Critical_section ();
    wants[i] = false;
    Remainder_section ();
  }
  ```
### Does Peterson’s solution work?

```c
for (;;) {
    wants[i] = true;
    not_turn = i;
    while (wants[1-i] && not_turn == i) /* other thread wants in and not our turn, so loop */;
    Critical_section ();
    wants[i] = false;
    Remainder_section ();
}
```

- **Mutual exclusion** – can’t both be in C.S.
  - Would mean wants[0] == wants[1] == true, so not_turn would have blocked one thread from C.S.
- **Progress** – given demand, one thread can always enter C.S.
  - If T_{1-i} doesn’t want C.S., wants[1-i] == false, so T_i won’t loop
  - If both threads want in, one thread is not the not_turn thread
- **Bounded waiting** – similar argument to progress
  - If T_i wants lock and T_{1-i} tries to re-enter, T_{1-i} will set not_turn = 1 - i, allowing T_i in

---

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---

### Mutexes

- Peterson expensive, only works for 2 processes
  - Can generalize to n, but for some fixed n
- Must adapt to machine memory model if not SC
  - If you need machine-specific barriers anyway, might as well take advantage of other instructions helpful for synchronization
- Want to insulate programmer from implementing synchronization primitives
- Thread packages typically provide mutexes:
  - void mutex_init (mutex_t *m, ...);
  - void mutex_lock (mutex_t *m);
  - int mutex_trylock (mutex_t *m);
  - void mutex_unlock (mutex_t *m);
  - Only one thread acquires m at a time, others wait

---

### Thread API contract

- All global data should be protected by a mutex!
  - Global = accessed by more than one thread, at least one write
  - Exception is initialization, before exposed to other threads
  - This is the responsibility of the application writer
- If you use mutexes properly, behavior should be indistinguishable from Sequential Consistency
  - This is the responsibility of the threads package (& compiler)
  - Mutex is broken if you use properly and don’t see SC
- OS kernels also need synchronization
  - Some mechanisms look like mutexes
  - But interrupts complicate things (incompatible w. mutexes)

---

### Same concept, many names

- Most popular application-level thread API: Pthreads
  - Function names in this lecture all based on Pthreads
  - Just add pthread_prefix
  - E.g., pthread_mutex_t, pthread_mutex_lock, ...
- C11 uses mtx_ instead of mutex_, C++11 uses methods on mutex
- Pintos uses struct lock for mutexes:
  - void lock_init (struct lock *);
  - void lock_acquire (struct lock *);
  - bool lock_try_acquire (struct lock *);
  - void lock_release (struct lock *);
- Extra Pintos feature:
  - Release checks that lock was acquired by same thread
  - bool lock_held_by_current_thread (struct lock *lock);

---

### Improved producer

```c
mutex_t mutex = MUTEX_INITIALIZER;
void producer (void *ignored) {
    for (;;) {
        item *nextProduced = produce_item ();
        mutex_lock (&mutex);
        while (count == BUFFER_SIZE) {
            mutex_unlock (&mutex);
            thread_yield ();
            mutex_lock (&mutex);
        }
        buffer[in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        count++;
        mutex_unlock (&mutex);
    }
}
```
**Improved consumer**

```c
void consumer (void *ignored) {
    for (;;) {
        mutex_lock (&mutex);
        while (count == 0) {
            mutex_unlock (&mutex); /* <--- Why? */
            thread_yield ();
            mutex_lock (&mutex);
        }
        item *nextConsumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        count--;
        mutex_unlock (&mutex);
        consume_item (nextConsumed);
    }
}
```

**Condition variables**

- **Busy-waiting in application is a bad idea**
  - Consumes CPU even when a thread can't make progress
  - Unnecessarily slows other threads/processes or wastes power
- **Better to inform scheduler of which threads can run**
- **Typically done with condition variables**
  - `struct cond_t;` (`pthread_cond_t` or `condition` in Pintos)
  - `void cond_init (cond_t *, ...);`
  - `void cond_wait (cond_t *c, mutex_t *m);`
    - Atomically unlock `m` and sleep until `c` signaled
    - Then re-acquire `m` and resume executing
  - `void cond_signal (cond_t *c);`
  - `void cond_broadcast (cond_t *c);`
    - Wake one/all threads waiting on `c`

**Improved producer**

```c
mutex_t mutex = MUTEX_INITIALIZER;
cond_t nonempty = COND_INITIALIZER;
cond_t nonfull = COND_INITIALIZER;

void producer (void *ignored) {
    for (;;) {
        item *nextProduced = produce_item ();
        mutex_lock (&mutex);
        while (count == BUFFER_SIZE)
            cond_wait (&nonfull, &mutex);
        buffer [in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        count++;
        cond_signal (&nonempty);
        mutex_unlock (&mutex);
    }
}
```

**Re-check conditions**

- **Always re-check condition on wake-up**
  - `while (count == 0) /* not if */ cond_wait (&nonempty, &mutex);`
- **Otherwise, breaks with spurious wakeup or two consumers**
  - Start where Consumer 1 has mutex but buffer empty, then:

```c
Consumer 1    Consumer 2    Producer
cond_wait (...);
mutex_lock (...);
    ...
    count++;
    cond_signal (...);
mutex_unlock (...);
if (count == 0) {
    use buffer[out] ...
    count--;
    mutex_unlock (...);
}
use buffer[out] ... ← No items in buffer
```

**Condition variables (continued)**

- **Why must cond_wait both release mutex & sleep?**
- **Why not separate mutexes and condition variables?**
  - `while (count == BUFFER_SIZE) {
    mutex_unlock (&mutex);
    cond_wait (&nonfull);
    mutex_lock (&mutex);
  }`
Condition variables (continued)

- Why must `cond_wait` both release mutex & sleep?
- Why not separate mutexes and condition variables?
  ```c
  while (count == BUFFER_SIZE) {
    mutex_unlock (&mutex);
    cond_wait (&nonfull);
    mutex_lock (&mutex);
  }
  ```

- Can end up stuck waiting when bad interleaving

Producer
```c
while (count == BUFFER_SIZE) {
  mutex_unlock (&mutex);
  cond_wait (&nonfull);
  mutex_lock (&mutex);
}
```
Consumer
```c
...
  count--;
  cond_signal (&nonfull);
...```

- **Problem:** `cond_wait` & `cond_signal` do not commute

Other thread package features

- Alerts – cause exception in a thread
- Timedwait – timeout on condition variable
- Shared locks – concurrent read accesses to data
- Thread priorities – control scheduling policy
  - Mutex attributes allow various forms of priority donation (will be familiar concept after lab 1)
- Thread-specific global data
  - Need for things like `errno`
- Different synchronization primitives (later in lecture)

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Implementing synchronization

- Implement mutex as straight-forward data structure?

```c
typedef struct mutex {
  bool is_locked;    /* true if locked */
  thread_id_t owner; /* thread holding lock, if locked */
  thread_list_t waiters; /* threads waiting for lock */
  lower_level_lock_t lk; /* Protect above fields */
} mutex_t;
```

- Fine, so long as we avoid data races on the mutex itself
- Need lower-level lock `lk` for mutual exclusion
  - Internally, `mutex_*` functions bracket code with `lock(lk)...unlock(lk)`
  - Otherwise, data races! (E.g., two threads manipulating waiters)
- **How to implement** lower_level_lock_t?
  - Could use Peterson’s algorithm, but typically a bad idea
    (too slow and don’t know maximum number of threads)

Approach #1: Disable interrupts

- Only for apps with `n : 1` threads (1 kthread)
  - Cannot take advantage of multiprocessors
  - But sometimes most efficient solution for uniprocessors
- Typical setup: periodic timer signal caught by thread scheduler
- Have per-thread “do not interrupt” (DNI) bit
  - `lock (lk): sets thread’s DNI bit`
  - `unlock (lk): clears DNI bit and checks I bit`
  - If I bit is set, immediately yields the CPU
**Approach #2: Spinlocks**

- Most CPUs support atomic read-[modify]-write
- Example: int test_and_set (int *lockp);
  
  - Atomically sets *lockp = 1 and returns old value
  
  - Special instruction – no way to implement in portable C99 (C11 supports with explicit atomic_flag_test_and_set function)

- Use this instruction to implement spinlocks:
  
  #define lock(lockp) while (test_and_set (lockp))
  
  #define unlock(lockp) *lockp = 0

- Spinlocks implement mutex’s lower_level_lock_t

- Can you use spinlocks instead of mutexes?
  
  - Wastes CPU, especially if thread holding lock not running
  
  - Mutex functions have short C.S., less likely to be preempted
  
  - On multiprocessor, sometimes good to spin for a bit, then yield

---

**Synchronization on x86**

- Test-and-set only one possible atomic instruction

- x86 xchg instruction, exchanges reg with mem

  - Can use to implement test-and-set

  ```
  _test_and_set:
  movl 4(%esp), %edx  # %edx = lockp
  movl $1, %eax      # %eax = 1
  xchg %eax, (%edx)   # swap (%eax, *lockp)
  ret
  ```

- CPU locks memory system around read and write

  - Recall xchg always acts like it has implicit lock prefix
  
  - Prevents other uses of the bus (e.g., DMA)

  - Usually runs at memory bus speed, not CPU speed

  - Much slower than cached read/buffered write

---

**Synchronization on alpha**

- ldq_l – load locked

  stl_c – store conditional (reg←0 if not atomic w. ldq_l)

- _test_and_set:

  ```
  ldq_l v0, 0(a0)  # v0 = *lockp (LOCKED)
  bne v0, if,     # if (v0) return
  addq zero, 1, v0 # v0 = 1
  stq_c v0, 0(a0)  # *lockp = v0 (CONDITIONAL)
  beq v0, _test_and_set # if (failed) try again
  mb
  addq zero, zero, v0 # return 0
  1: ret zero, (ra), 1
  ```

- Note: Alpha memory consistency weaker than x86

  - Want all CPUs to think memory accesses in C.S. happened after acquiring lock, before releasing

  - Memory barrier instruction mb ensures this (c.f. mfence on x86)

  - See Why Memory Barriers for why alpha still worth understanding

---

**Kernel Synchronization**

- Should kernel use locks or disable interrupts?

  - Old UNIX had 1 CPU, non-preemptive threads, no mutexes

  - Interface designed for single CPU, so count++ etc. not data race

  - ...Unless memory shared with an interrupt handler

  ```
  int x = splhigh (); /* Disable interrupts */
  /* touch data shared with interrupt handler ... */
  splx (x); /* Restore previous state */
  ```

  - C.f., intr_disable/intr_set_level in Pintos, and preempt_disable/preempt_enable in linux

- Used arbitrary pointers like condition variables

  - int [t]sleep (void *ident, int priority, ...);

  - put thread to sleep; will wake up at priority (∼cond_wait)

  - int wakeup (void *ident);

  - wake up all threads sleeping on ident (∼cond_broadcast)

---

**Kernel locks**

- Nowadays, should design for multiprocessors

  - Even if first version of OS is for uniprocessor

  - Someday may want multiple CPUs and need preemptive threads

  - That’s why Pintos uses sleeping locks

  - (sleeping locks means mutexes, as opposed to spinlocks)

- Multiprocessor performance needs fine-grained locks

  - Want to be able to call into the kernel on multiple CPUs

- If kernel has locks, should it ever disable interrupts?

  - Yes! Can’t sleep in interrupt handler, so can’t wait for lock

  - So even modern OSES have support for disabling interrupts

  - Often uses DNI trick when cheaper than masking interrupts in hardware

---

**Kernel locks**

- Nowadays, should design for multiprocessors

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Semaphores [Dijkstra]

- **A Semaphore** is initialized with an integer \( N \)
- Provides two functions:
  - `sem_wait(S)` (originally called \( P \), called `sema_down` in Pintos)
  - `sem_signal(S)` (originally called \( V \), called `sema_up` in Pintos)
- **Guarantees** `sem_wait` will return only \( N \) more times than `sem_signal` called
  - Example: If \( N = 1 \), then semaphore acts as a mutex with `sem_wait` as lock and `sem_signal` as unlock
- **Semaphores give elegant solutions to some problems**
  - Unlike condition variables, wait & signal commute
- **Linux primarily uses semaphores for sleeping locks**
  - `sema_init`, `down_interruptible`, `up`, . . .
  - Also weird reader-writer semaphores, `rw_semaphore` [Love]

Semaphore producer/consumer

- Initialize `full` to 0 (block consumer when buffer empty)
- Initialize `empty` to \( N \) (block producer when queue full)

```c
void producer (void *ignored) {
    for (; ;) {
        item *nextProduced = produce_item ();
        sem_wait (&empty);
        buffer [in] = nextProduced;
        in = (in + 1) % BUFFER_SIZE;
        sem_signal (&full);
    }
}

void consumer (void *ignored) {
    for (; ;) {
        sem_wait (&full);
        item *nextConsumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        sem_signal (&empty);
        consume_item (nextConsumed);
    }
}
```

Various synchronization mechanisms

- **Other more esoteric primitives you might encounter**
  - Plan 9 used a rendezvous mechanism
  - Haskell uses MVars (like channels of depth 1)
- **Many synchronization mechanisms equally expressive**
  - Pintos implements locks, condition vars using semaphores
  - Could have been vice versa
  - Can even implement condition variables in terms of mutexes
- **Why base everything around semaphore implementation?**
  - High-level answer: no particularly good reason
  - If you want only one mechanism, can’t be condition variables (interface fundamentally requires mutexes)
  - Because `sem_wait` and `sem_signal` commute, eliminates problem of condition variables w/o mutexes