Synchronization
Synchronization Motivation

• When threads concurrently read/write shared memory, program behavior is undefined
  – Two threads write to the same variable; which one should win?

• Thread schedule is non-deterministic
  – Behavior changes when re-run program

• Compiler/hardware instruction reordering

• Multi-word operations are not atomic
Question: Can this panic?

Thread 1

p = someComputation();
pInitialized = true;

Thread 2

while (!pInitialized)
    ;
q = someFunction(p);
if (q != someFunction(p))
    panic
Why Reordering?

• Why do compilers reorder instructions?
  – Efficient code generation requires analyzing control/data dependency
  – If variables can spontaneously change, most compiler optimizations become impossible

• Why do CPUs reorder instructions?
  – Write buffering: allow next instruction to execute while write is being completed

Fix: memory barrier
  – Instruction to compiler/CPU
  – All ops before barrier complete before barrier returns
  – No op after barrier starts until barrier returns
## Too Much Milk Example

<table>
<thead>
<tr>
<th>Time</th>
<th>Person A</th>
<th>Person B</th>
</tr>
</thead>
<tbody>
<tr>
<td>12:35</td>
<td>Leave for store.</td>
<td></td>
</tr>
<tr>
<td>12:45</td>
<td>Buy milk.</td>
<td>Leave for store.</td>
</tr>
<tr>
<td>12:50</td>
<td>Arrive home, put milk away.</td>
<td>Arrive at store.</td>
</tr>
<tr>
<td>12:55</td>
<td></td>
<td>Buy milk.</td>
</tr>
<tr>
<td>1:00</td>
<td></td>
<td>Arrive home, put milk away. Oh no!</td>
</tr>
</tbody>
</table>
Definitions

**Race condition:** output of a concurrent program depends on the order of operations between threads

**Mutual exclusion:** only one thread does a particular thing at a time
   - **Critical section:** piece of code that only one thread can execute at once

**Lock:** prevent someone from doing something
   - Lock before entering critical section, before accessing shared data
   - Unlock when leaving, after done accessing shared data
   - Wait if locked (all synchronization involves waiting!)
Too Much Milk, Try #1

• Correctness property
  – Someone buys if needed (liveness)
  – At most one person buys (safety)

• Try #1: leave a note
  if (!note)
    if (!milk) {
      leave note
      buy milk
      remove note
    }
Too Much Milk, Try #2

Thread A

leave note A
if (!note B) {
  if (!milk)
    buy milk
}
remove note A

Thread B

leave note B
if (!noteA) {
  if (!milk)
    buy milk
}
remove note B
Too Much Milk, Try #3

Thread A

leave note A
while (note B) // X
do nothing;
if (!milk)
  buy milk;
remove note A

Thread B

leave note B
if (!noteA) { // Y
  if (!milk)
    buy milk
} 
remove note B

Can guarantee at X and Y that either:
(i) Safe for me to buy
(ii) Other will buy, ok to quit
Lessons

• Solution is complicated
  – “obvious” code often has bugs

• Modern compilers/architectures reorder instructions
  – Making reasoning even more difficult

• Generalizing to many threads/processors
  – Even more complex: see Peterson’s algorithm
Roadmap

Concurrent applications

Semaphores  Locks  Condition variables

Interrupt disable  Atomic R/M/W instructions

Multiple processors  Hardware interrupts
Locks

- **Lock::acquire**
  - wait until lock is free, then take it
- **Lock::release**
  - release lock, waking up anyone waiting for it

1. At most one lock holder at a time (safety)
2. If no one holding, acquire gets lock (progress)
3. If all lock holders finish and no higher priority waiters, waiter eventually gets lock (progress)
Question: Why only Acquire/Release

• Suppose we add a method to a lock, to ask if the lock is free. Suppose it returns true. Is the lock:
  – Free?
  – Busy?
  – Don’t know?
Too Much Milk, #4

Locks allow concurrent code to be much simpler:

```java
lock.acquire();
if (!milk)
    buy milk
lock.release();
```
Lock Example: Malloc/Free

```c
char *malloc (n) {
    heaplock.acquire();
    p = allocate memory
    heaplock.release();
    return p;
}

void free(char *p) {
    heaplock.acquire();
    put p back on free list
    heaplock.release();
}
```
Rules for Using Locks

• Lock is initially free
• Always acquire before accessing shared data structure
  – Beginning of procedure!
• Always release after finishing with shared data
  – End of procedure!
  – Only the lock holder can release
  – DO NOT throw lock for someone else to release
• Never access shared data without lock
  – Danger!
Will this code work?

```c
if (p == NULL) {
    lock.acquire();
    if (p == NULL) {
        p = newP();
    }
    lock.release();
}
use p->field1

newP() {
    p = malloc(sizeof(p));
    p->field1 = ...;
    p->field2 = ...;
    return p;
}
```
How about this code?

lock.acquire();
   if (p == NULL) {
      p = newP();
   }
lock.release();
use p->field1

newP() {
   p = malloc(sizeof(p));
   p->field1 = ...  
   p->field2 = ...  
   return p;
}
Example: Bounded Buffer

tryget() {
    item = NULL;
    lock.acquire();
    if (front < tail) {
        item = buf[front % MAX];
        front++;
    }
    lock.release();
    return item;
}

Initially: front = tail = 0; lock = FREE; MAX is buffer capacity

tryput(item) {
    success = FALSE;
    lock.acquire();
    if ((tail - front) < size) {
        buf[tail % MAX] = item;
        tail++;
        success = TRUE;
    }
    lock.release();
    return success;
}
Question

• If tryget returns NULL, do we know the buffer is empty?

• If we poll tryget in a loop, what happens to a thread calling tryput?
Condition Variables

• Waiting inside a critical section
  – Called only when holding a lock

• Wait: atomically release lock and relinquish processor
  – Reacquire the lock when wakened

• Signal: wake up a waiter, if any

• Broadcast: wake up all waiters, if any
**Condition Variable Design Pattern**

```java
methodThatWaits() {
    lock.acquire();
    // Read/write shared state
    while (!testSharedState()) {
        cv.wait(&lock);
    }
    // Read/write shared state
    lock.release();
}

methodThatSignals() {
    lock.acquire();
    // Read/write shared state
    if (testSharedState() is now true) {
        cv.signal(&lock);
    }
    // Read/write shared state
    lock.release();
}
```
Example: Bounded Buffer

get() {
    lock.acquire();
    while (front == tail) {
        empty.wait(lock);
    }
    item = buf[front % MAX];
    front++;
    full.signal(lock);
    lock.release();
    return item;
}

put(item) {
    lock.acquire();
    while ((tail - front) == MAX) {
        full.wait(lock);
    }
    buf[tail % MAX] = item;
    tail++;
    empty.signal(lock);
    lock.release();
}

Initially: front = tail = 0; MAX is buffer capacity
empty/full are condition variables
Pre/Post Conditions

• What is state of the bounded buffer at lock acquire?
  – front <= tail
  – front + MAX >= tail

• These are also true on return from wait

• And at lock release

• Allows for proof of correctness
Question

• Does the $k^{th}$ call to get() return the $k^{th}$ item put?

• Hint: wait must re-acquire the lock after the signaler releases it
methodThatWaits() {
    lock.acquire();
    // Pre-condition: State is consistent

    // Read/write shared state

    while (!testSharedState()) {
        cv.wait(&lock);
    }
    // WARNING: shared state may have changed! But
    // testSharedState is TRUE
    // and pre-condition is true

    // Read/write shared state
    lock.release();
}

methodThatSignals() {
    lock.acquire();
    // Pre-condition: State is consistent

    // Read/write shared state

    // If testSharedState is now true
    cv.signal(&lock);
    // NO WARNING: signal keeps lock

    // Read/write shared state
    lock.release();
}
Condition Variables

- ALWAYS hold lock when calling wait, signal, broadcast
  - Condition variable is sync FOR shared state
  - ALWAYS hold lock when accessing shared state
- Condition variable is memoryless
  - If signal when no one is waiting, no op
  - If wait before signal, waiter wakes up
- Wait atomically releases lock
  - What if wait, then release?
  - What if release, then wait?
Condition Variables, cont’d

• When a thread is woken up from wait, it may not run immediately
  – Signal/broadcast put thread on ready list
  – When lock is released, anyone might acquire it

• Wait MUST be in a loop
  while (needToWait()) {
    condition.Wait(lock);
  }

• Simplifies implementation
  – Of condition variables and locks
  – Of code that uses condition variables and locks
When waiting upon a Condition, a “spurious wakeup” is permitted to occur, in general, as a concession to the underlying platform semantics. This has little practical impact on most application programs as a Condition should always be waited upon in a loop, testing the state predicate that is being waited for.
Structured Synchronization

- Identify objects or data structures that can be accessed by multiple threads concurrently
  - In xk, everything!
- Add locks to object/module
  - Grab lock on start to every method/procedure
  - Release lock on finish
- If need to wait
  - `while(needToWait()) { condition.Wait(lock); }`
  - Do not assume when you wake up, signaller just ran
- If do something that might wake someone up
  - Signal or Broadcast
- Always leave shared state variables in a consistent state
  - When lock is released, or when waiting
Remember the rules

• Use consistent structure
• Always use locks and condition variables
• Always acquire lock at beginning of procedure, release at end
• Always hold lock when using a condition variable
• Always wait in while loop
Mesa vs. Hoare semantics

• Mesa
  – Signal puts waiter on ready list
  – Signaller keeps lock and processor

• Hoare
  – Signal gives processor and lock to waiter
  – When waiter finishes, processor/lock given back to signaller
  – Nested signals possible!
FIFO Bounded Buffer  
(Hoare semantics)

get() {
    lock.acquire();
    if (front == tail) {
        empty.wait(lock);
    }
    item = buf[front % MAX];
    front++;
    full.signal(lock);
    lock.release();
    return item;
}

put(item) {
    lock.acquire();
    if ((tail - front) == MAX) {
        full.wait(lock);
    }
    buf[last % MAX] = item;
    last++;
    empty.signal(lock);
    // CAREFUL: someone else ran
    lock.release();
}

Initially: front = tail = 0; MAX is buffer capacity
empty/full are condition variables
FIFO Bounded Buffer
(Mesa semantics)

- Create a condition variable for every waiter
- Queue condition variables (in FIFO order)
- Signal picks the front of the queue to wake up
- CAREFUL if spurious wakeups!

- Easily extends to case where queue is LIFO, priority, priority donation, ...
  - With Hoare semantics, not as easy
FIFO Bounded Buffer
(Mesa semantics, put() is similar)

get() {
  lock.acquire();
  myPosition = numGets++;
  self = new Condition;
  nextGet.append(self);
  while (front < myPosition || front == tail) {
    self.wait(lock);
  }
  delete self;
  item = buf[front % MAX];
  front++;
  if (next = nextPut.remove()) {
    next->signal(lock);
  }
  lock.release();
  return item;
}

Initially: front = tail = numGets = 0; MAX is buffer capacity
nextGet, nextPut are queues of Condition Variables
## Implementing Synchronization

### Concurrent Applications

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<th>Semaphores</th>
<th>Locks</th>
<th>Condition Variables</th>
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<td><strong>Interrupt Disable</strong></td>
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<tr>
<td><strong>Atomic Read/Modify/Write Instructions</strong></td>
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<td><strong>Multiple Processors</strong></td>
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<tr>
<td><strong>Hardware Interrupts</strong></td>
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</tbody>
</table>
Implementing Synchronization

Take 1: using memory load/store
   – See too much milk solution/Peterson’s algorithm

Take 2:
   Lock::acquire()
     { disable interrupts }
   Lock::release()
     { enable interrupts }
Lock Implementation, Uniprocessor

Lock::acquire() {
    disableInterrupts();
    if (value == BUSY) {
        waiting.add(myTCB);
        myTCB->state = WAITING;
        next = readyList.remove();
        switch(myTCB, next);
        myTCB->state = RUNNING;
    } else {
        value = BUSY;
    }
    enableInterrupts();
}

Lock::release() {
    disableInterrupts();
    if (!waiting.Empty()) {
        next = waiting.remove();
        next->state = READY;
        readyList.add(next);
    } else {
        value = FREE;
    }
    enableInterrupts();
}
What thread is currently running?

• Thread scheduler needs to find the TCB of the currently running thread
  – To suspend and switch to a new thread
  – To check if the current thread holds a lock before acquiring or releasing it

• On a uniprocessor, easy: just use a global

• On a multiprocessor?
What thread is currently running?

• Compiler dedicates a register (e.g., r31 points to TCB running on the this CPU; each CPU has its own r31)

• If hardware has a special per-processor register, use it

• Fixed-size stacks: put a pointer to the TCB at the bottom of its stack
  – Find it by masking the current stack pointer
Mutual Exclusion Support Multiprocessor

• Read-modify-write instructions
  – Atomically read a value from memory, operate on it, and then write it back to memory
  – Intervening instructions prevented in hardware

• Examples
  – Test and set
  – Intel: xchgb, lock prefix
  – Compare and swap

• Any of these can be used for implementing locks and condition variables!
Spinlocks

A spinlock is a lock where the processor waits in a loop for the lock to become free
  – Assumes lock will be held for a short time
  – Used to protect the CPU scheduler and to implement locks

Spinlock::acquire() {
    while (testAndSet(&lockValue) == BUSY) ;
}

Spinlock::release() {
    lockValue = FREE;
    memorybarrier();
}
Spinlocks and Interrupt Handlers

• Suppose an interrupt handler needs to access some shared data => acquires spinlock
  – To put thread on ready list (I/O completion)
  – To switch between threads (quantum expires)
• What happens if a thread holds that spinlock with interrupts enabled?
  – Deadlock possible unless ALL uses of that spinlock are with interrupts disabled
How many spinlocks?

• Various data structures
  – Queue of waiting threads on lock X
  – Queue of waiting threads on lock Y
  – List of threads ready to run

• One spinlock per kernel?
  – Bottleneck!

• Instead:
  – One spinlock per lock
  – One spinlock for the scheduler ready list
    • Per-core ready list: one spinlock per core
Lock Implementation, Multiprocessor

Lock::acquire() {
    spinLock.acquire();
    if (value == BUSY) {
        waiting.add(myTCB);
        suspend(&spinlock);
    } else {
        value = BUSY;
    }
    spinLock.release();
}

Lock::release() {
    spinLock.acquire();
    if (!waiting.Empty()) {
        next = waiting.remove();
        scheduler.makeReady(next);
    } else {
        value = FREE;
    }
    spinLock.release();
}
Semaphores

• Semaphore has a non-negative integer value
  – P() atomically waits for value to become > 0, then decrements
  – V() atomically increments value (waking up waiter if needed)

• Semaphores are like integers except:
  – Only operations are P and V
  – Operations are atomic
    • If value is 1, two P’s will result in value 0 and one waiter

• Semaphores are useful for
  – Unlocked wait: interrupt handler, fork/join
Compare Implementations

Semaphore::P() {
    old = setInterrupts(OFF);
    spinLock.acquire();
    if (value == 0) {
        waiting.add(myTCB);
        suspend(&spinlock);
    } else {
        value--;
    }
    spinLock.release();
    setInterrupts(old);
}

Semaphore::V() {
    old = setInterrupts(OFF);
    spinLock.acquire();
    if (!waiting.Empty()) {
        next = waiting.remove();
        scheduler.makeReady(next);
    } else {
        value++;
    }
    spinLock.release();
    setInterrupts(old);
}
Lock Implementation, Multiprocessor

Sched::suspend(SpinLock *lock) {
    TCB *next;
    old = setInterrupts(OFF);
    schedSpinLock.acquire();
    lock->release();
    myTCB->state = WAITING;
    next = readyList.remove();
    thread_switch(myTCB, next);
    myTCB->state = RUNNING;
    schedSpinLock.release();
    setInterrupts(old);
}

Sched::makeReady(TCB *thread) {
    old = setInterrupts(OFF);
    schedSpinLock.acquire();
    readyList.add(thread);
    thread->state = READY;
    schedSpinLock.release();
    setInterrupts(old);
}
Lock Implementation, Linux

• Most locks are free most of the time
  – Why?
  – Linux implementation takes advantage of this fact

• Fast path
  – If lock is FREE, and no one is waiting, two instructions to acquire the lock
  – If no one is waiting, two instructions to release the lock

• Slow path
  – If lock is BUSY or someone is waiting, use multiproc impl.

• Two versions: interrupts off/on
Lock Implementation, Linux

struct mutex {
    /* 1: unlocked ; 0: locked;
        negative : locked,
        possible waiters */
    atomic_t count;
    spinlock_t wait_lock;
    struct list_head wait_list;
};

// atomic decrement
// %eax is pointer to count
lock decl (%eax)
jns 1f // jump if not signed
    // (if value is now 0)
call slowpath_acquire 1:
Application Locks

• A system call for every lock acquire/release?
  – Context switch in the kernel!

• Instead
  – Spinlock at user level (user can’t disable interrupts)
  – “lazy” switch into kernel if spin for a period of time

• Or scheduler activations
  – Thread context switch at user level
Semaphore Bounded Buffer

\[
\text{get()} \{
\begin{align*}
&\text{fullSlots.P();} \\
&\text{mutex.P();} \\
&\text{item = buf[front \% MAX];} \\
&\text{front++;} \\
&\text{mutex.V();} \\
&\text{emptySlots.V();} \\
&\text{return item;}
\end{align*}
\]

\[
\text{put(item)} \{
\begin{align*}
&\text{emptySlots.P();} \\
&\text{mutex.P();} \\
&\text{buf[last \% MAX] = item;} \\
&\text{last++;} \\
&\text{mutex.V();} \\
&\text{fullSlots.V();}
\end{align*}
\]

Initially: front = last = 0; MAX is buffer capacity
mutex = 1; emptySlots = MAX; fullSlots = 0;
Implementing Condition Variables using Semaphores (Take 1)

wait(lock) {
    lock.release();
    semaphore.P();
    lock.acquire();
}

signal() {
    semaphore.V();
}
Implementing Condition Variables using Semaphores (Take 2)

```java
wait(lock) {
    lock.release();
    semaphore.P();
    lock.acquire();
}

signal() {
    if (semaphore is not empty)
        semaphore.V();
}
```
Implementing Condition Variables using Semaphores (Take 3)

wait(lock) {
    semaphore = new Semaphore;
    queue.Append(semaphore);  // queue of waiting threads
    lock.release();
    semaphore.P();
    lock.acquire();
}

signal() {
    if (!queue.Empty()) {
        semaphore = queue.Remove();
        semaphore.V();  // wake up waiter
    }
}
Communicating Sequential Processes (CSP/Google Go)

• A thread per shared object
  – Only thread allowed to touch object’s data
  – To call a method on the object, send thread a message with method name, arguments
  – Thread waits in a loop, get msg, do operation

• No memory races!
Example: Bounded Buffer

get() {
    lock.acquire();
    while (front == tail) {
        empty.wait(lock);
    }
    item = buf[front % MAX];
    front++;
    full.signal(lock);
    lock.release();
    return item;
}

put(item) {
    lock.acquire();
    while ((tail - front) == MAX) {
        full.wait(lock);
    }
    buf[tail % MAX] = item;
    tail++;
    empty.signal(lock);
    lock.release();
}

Initially: front = tail = 0; MAX is buffer capacity
empty/full are condition variables
Bounded Buffer (CSP)

while (cmd = getNext()) {
    if (cmd == GET) {
        if (front < tail) {
            // do get
            // send reply
            // if pending put, do it
            // and send reply
        } else
            // queue get operation
    } else {
        // cmd == PUT
        if ((tail - front) < MAX) {
            // do put
            // send reply
            // if pending get, do it
            // and send reply
        } else
            // queue put operation
    }
}
Locks/CVs vs. CSP

• Create a lock on shared data
  = create a single thread to operate on data
• Call a method on a shared object
  = send a message/wait for reply
• Wait for a condition
  = queue an operation that can’t be completed just yet
• Signal a condition
  = perform a queued operation, now enabled
Remember the rules

• Use consistent structure
• Always use locks and condition variables
• Always acquire lock at beginning of procedure, release at end
• Always hold lock when using a condition variable
• Always wait in while loop
• Never spin in sleep()