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 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 CPU_0 away from thread T, another thread on CPU_1 can execute "between" any two instructions of T

Program A

```
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

```
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

```
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?

[git push slides to web site now]

Program A: I don't know

Program A: I don't know

Program B: I don't know

- 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

- Memory consistency
- 2 The critical section problem
- 3 Mutexes and condition variables
- 4 Implementing synchronization
- 6 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

x86 WB consistency

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 (!ready); use(data);
- Program C: P2 if (a == 1) b = 1; and P3 if (b == 1) use(a);

x86 WB consistency

- 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? Just A
- Newer x86s also let a CPU read its own writes early

- E.g., both p1 and p2 can return 2:
- Older CPUs would wait at "f = ..." until store complete

x86 atomicity

- lock prefix makes a memory instruction atomic
 - Historically locked bus for duration of instruction (expensive!)
 - Now requires exclusively caching memory, synchronizing with other memory operations
 - All lock instructions totally ordered
 - Other memory instructions cannot be re-ordered with locked ones
- xchg instruction is always locked (even without prefix)
- Special barrier (or "fence") instructions can prevent re-ordering
 - lfence can't be reordered with reads (or later writes)
 - sfence can't be reordered with writes
 (e.g., use after non-temporal stores, before setting a ready flag)
 - mfence can't be reordered with reads or writes

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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--

```
\begin{array}{ll} \text{register} \leftarrow \text{count} & \text{register} \leftarrow \text{count} \\ \text{register} \leftarrow \text{register} + 1 & \text{register} \leftarrow \text{register} - 1 \\ \text{count} \leftarrow \text{register} & \text{count} \leftarrow \text{register} \end{array}
```

Possible execution (count one less than correct):

```
\begin{array}{c} \text{register} \leftarrow \text{count} \\ \text{register} \leftarrow \text{register} + 1 \\ \text{register} \leftarrow \text{count} \\ \text{register} \leftarrow \text{register} - 1 \\ \text{count} \leftarrow \text{register} \\ \text{count} \leftarrow \text{register} \end{array}
```

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[i] indicates if T<sub>i</sub> wants to enter C.S.
```

Code:

```
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?

```
for (;;) { /* code in thread i */
   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

```
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

```
void consumer (void *ignored) {
   for (::) {
       mutex_lock (&mutex);
       while (count == 0) {
         mutex_unlock (&mutex); /* <--- Why? */</pre>
         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

```
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);
```

Improved consumer

```
void consumer (void *ignored) {
   for (;;) {
       mutex_lock (&mutex);
       while (count == 0)
         cond_wait (&nonempty, &mutex);
       item *nextConsumed = buffer[out];
       out = (out + 1) % BUFFER SIZE:
       count --:
       cond_signal (&nonfull);
       mutex unlock (&mutex):
       consume_item (nextConsumed);
```

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:

```
Producer
Consumer 1
                   Consumer 2
                                          mutex_lock (...);
cond wait (...):
                                          count++:
                                          cond_signal (...);
                    mutex_lock (...);
                                          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?

```
while (count == BUFFER_SIZE) {
  mutex_unlock (&mutex);
  cond_wait (&nonfull);
  mutex_lock (&mutex);
}
```

Can end up stuck waiting when bad interleaving

```
Producer
while (count == BUFFER_SIZE)
  mutex_unlock (&mutex);

mutex_lock (&mutex);

cond_wait (&nonfull);
Consumer

mutex_lock (&mutex);
...
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?

Implementing synchronization

• Implement mutex as straight-forward data structure?

- Fine, so long as we avoid data races on the mutex itself
- Need lower-level lock 1k for mutual exclusion
 - Internally, mutex_* functions bracket code with lock(&mutex->lk) ... unlock(&mutex->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
- If timer interrupt arrives
 - Check interrupted thread's DNI bit
 - If DNI clear, preempt current thread
 - If DNI set, set "interrupted" (I) bit & resume current thread
- 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_tet_and_set function)
- Use this instruction to implement spinlocks:

```
#define lock(lockp) while (test_and_set (lockp))
#define trylock(lockp) (test_and_set (lockp) == 0)
#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

- CPU locks memory system around read and write
 - Recall xchgl 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

 ldl_l - load locked stl_c - store conditional (reg←0 if not atomic w. ldl_l)

```
_test_and_set:
    ldq_l v0, 0(a0)  # v0 = *lockp (LOCKED)
    bne v0, 1f  # 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?

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

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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)

```
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