Changelog

Changes made in this version not seen in first lecture:

- 18 Feb 2019: counting to binary semaphores: really correct implementation (after some failed attempts)

Locks part 2

last time

disabling interrupts for locks (finish)

compilers and processors reorder loads/stores

cache coherency — modified/shared/invalid

atomic read-modify-write operations

spinlocks

mutexes (start)

spinlock problems

spinlocks can send a lot of messages on the shared bus
- makes every non-cached memory access slower...

wasting CPU time waiting for another thread
- could we do something useful instead?

spinlock problems

spinlocks can send a lot of messages on the shared bus

- makes every non-cached memory access slower...

wasting CPU time waiting for another thread

- could we do something useful instead?

problem: busy waits

```
  while(xchg(&lk->locked, 1) != 0)
    ;
```

what if it's going to be a while?

waiting for process that's waiting for I/O?

really would like to do something else with CPU instead...

mutexes: intelligent waiting

mutexes — locks that wait better

instead of running infinite loop, give away CPU

lock = go to sleep, add self to list

- sleep = scheduler runs something else

unlock = wake up sleeping thread

mutexes: intelligent waiting

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mutex implementation idea

shared list of waiters

spinlock protects list of waiters from concurrent modification

lock = use spinlock to add self to list, then wait without spinlock

unlock = use spinlock to remove item from list

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mutex: one possible implementation

```
struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

mutex: one possible implementation

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};
```

spinlock protecting `lock_taken` and `wait_queue`
only held for very short amount of time (compared to mutex itself)

mutex: one possible implementation

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struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

tracks whether any thread has locked and not unlocked

mutex: one possible implementation

```
struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

list of threads that discovered lock is taken
and are waiting for it be free
these threads are not runnable

mutex: one possible implementation

```
struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

```
LockMutex(Mutex *m) {
  LockSpinlock(&m->guard_spinlock);
  if (m->lock_taken) {
    put current thread on m->wait_queue
    make current thread not runnable
    /* xv6: myproc()->state = SLEEPING; */
    UnlockSpinlock(&m->guard_spinlock);
    run scheduler
  } else {
    m->lock_taken = true;
    UnlockSpinlock(&m->guard_spinlock);
  }
}
```

```
UnlockMutex(Mutex *m) {
  LockSpinlock(&m->guard_spinlock);
  if (m->wait_queue not empty) {
    remove a thread from m->wait_queue
    make that thread runnable
    /* xv6: myproc()->state = RUNNABLE; */
  } else {
     m->lock_taken = false;
  }
  UnlockSpinlock(&m->guard_spinlock);
}
```

mutex: one possible implementation

```
struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

instead of setting lock_taken to false
choose thread to hand-off lock to

```
LockMutex(Mutex *m) {
  LockSpinlock(&m->guard_spinlock);
  if (m->lock_taken) {
    put current thread on m->wait_queue
    make current thread not runnable
    /* xv6: myproc()->state = SLEEPING; */
    UnlockSpinlock(&m->guard_spinlock);
    run scheduler
  } else {
    m->lock_taken = true;
    UnlockSpinlock(&m->guard_spinlock);
  }
}
```

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    make that thread runnable
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  } else {
     m->lock_taken = false;
  }
  UnlockSpinlock(&m->guard_spinlock);
}
```

mutex: one possible implementation

```
struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

subtle: what if UnlockMutex() runs in between these lines?
reason why we make thread not runnable before releasing guard spinlock

```
LockMutex(Mutex *m) {
  LockSpinlock(&m->guard_spinlock);
  if (m->lock_taken) {
    put current thread on m->wait_queue
    make current thread not runnable
    /* xv6: myproc()->state = SLEEPING; */
    UnlockSpinlock(&m->guard_spinlock);
    run scheduler
  } else {
    m->lock_taken = true;
    UnlockSpinlock(&m->guard_spinlock);
  }
}
```

```
UnlockMutex(Mutex *m) {
  LockSpinlock(&m->guard_spinlock);
  if (m->wait_queue not empty) {
```

if woken up here, need to make sure scheduler doesn't run us on another core until we switch to the scheduler (and save our regs)
xv6 solution: acquire ptable lock
Linux solution: seperate 'on cpu' flags

mutex: one possible implementation

```
struct Mutex {
    SpinLock guard_spinlock;
    bool lock_taken = false;
    WaitQueue wait_queue;
};
```

```
LockMutex(Mutex *m) {
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  } else {
    m->lock_taken = true;
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  }
}
```

```
UnlockMutex(Mutex *m) {
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  if (m->wait_queue not empty) {
    remove a thread from m->wait_queue
    make that thread runnable
    /* xv6: myproc()->state = RUNNABLE; */
  } else {
     m->lock_taken = false;
  }
  UnlockSpinlock(&m->guard_spinlock);
}
```

mutex efficiency

'normal' mutex **uncontended** case:

- lock: acquire + release spinlock, see lock is free
- unlock: acquire + release spinlock, see queue is empty

not much slower than spinlock

recall: pthread mutex

```
#include <pthread.h>

pthread_mutex_t some_lock;
pthread_mutex_init(&some_lock, NULL);
// or: pthread_mutex_t some_lock = PTHREAD_MUTEX_INITIALIZER;
...
pthread_mutex_lock(&some_lock);
...
pthread_mutex_unlock(&some_lock);
pthread_mutex_destroy(&some_lock);
```

pthread mutexes: addt'l features

mutex attributes (`pthread_mutexattr_t`) allow:

(reference: `man pthread.h`)

error-checking mutexes

locking mutex twice in same thread?

unlocking already unlocked mutex?

…

mutexes shared between processes

otherwise: must be only threads of same process

(unanswered question: where to store mutex?)

…

POSIX mutex restrictions

pthread_mutex rule: unlock from same thread you lock in

implementation I gave before — not a problem

...but there other ways to implement mutexes

e.g. might involve comparing with “holding” thread ID

are locks enough?

do we need more than locks?

example 1: pipes?

suppose we want to implement a pipe with threads

`read` sometimes needs to wait for a `write`

don't want busy-wait

(and trick of having writer unlock() so reader can finish a lock() is illegal)

more synchronization primitives

need other ways to wait for threads to finish

we'll introduce three extensions of locks for this:

- barriers
- counting semaphores
- condition variables

all (typically) implemented with read/modify/write instructions
+ queues of waiting threads

example 2: parallel processing

compute minimum of 100M element array with 2 processors

algorithm:

compute minimum of 50M of the elements on each CPU

- one thread for each CPU

wait for all computations to finish

take minimum of all the minimums

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compute minimum of 50M of the elements on each CPU

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barriers API

barrier.Initialize(NumberOfThreads)

barrier.Wait() — return after all threads have waited

idea: multiple threads perform computations in parallel

threads wait for all other threads to call Wait()

barrier: waiting for finish

```
barrier.Initialize(2);
```

Thread 0

```
partial_mins[0] =
    /* min of first
       50M elems */;

barrier.Wait();


total_min = min(
    partial_mins[0],
    partial_mins[1]
);
```

Thread 1

```


partial_mins[1] =
    /* min of last
       50M elems */
barrier.Wait();
```

barriers: reuse

barriers are reusable:

Thread 0

```
results[0][0] = getInitial(0);
barrier.Wait();

results[1][0] =
    computeFrom(
        results[0][0],
        results[0][1]
    );
barrier.Wait();

results[2][0] =
    computeFrom(
        results[1][0],
        results[1][1]
    );
```

Thread 1

```
results[0][1] = getInitial(1);
barrier.Wait();

results[1][1] =
    computeFrom(
        results[0][0],
        results[0][1]
    );
barrier.Wait();

results[2][1] =
    computeFrom(
        results[1][0],
        results[1][1]
    );
```

barriers: reuse

barriers are reusable:

Thread 0

```
results[0][0] = getInitial(0);
barrier.Wait();

results[1][0] =
    computeFrom(
        results[0][0],
        results[0][1]
    );
barrier.Wait();

results[2][0] =
    computeFrom(
        results[1][0],
        results[1][1]
    );
```

Thread 1

```
results[0][1] = getInitial(1);
barrier.Wait();

results[1][1] =
    computeFrom(
        results[0][0],
        results[0][1]
    );
barrier.Wait();

results[2][1] =
    computeFrom(
        results[1][0],
        results[1][1]
    );
```

barriers: reuse

barriers are reusable:

Thread 0

```
results[0][0] = getInitial(0);
barrier.Wait();

results[1][0] =
    computeFrom(
        results[0][0],
        results[0][1]
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results[2][0] =
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        results[1][0],
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```

Thread 1

```
results[0][1] = getInitial(1);
barrier.Wait();

results[1][1] =
    computeFrom(
        results[0][0],
        results[0][1]
    );
barrier.Wait();

results[2][1] =
    computeFrom(
        results[1][0],
        results[1][1]
    );
```

pthread barriers

```
pthread_barrier_t barrier;
pthread_barrier_init(
    &barrier,
    NULL /* attributes */,
    numberOfThreads
);
...
...
pthread_barrier_wait(&barrier);
```

generalizing locks

barriers are very useful

do things locks can't do

but can't do things locks can do

semaphores and condition variables are more general

can implement locks *and* barriers *and* …

generalizing locks: semaphores

semaphore has a non-negative integer **value** and two operations:

P() or **down** or **wait**:
wait for semaphore to become positive (> 0),
then decerement by 1

V() or **up** or **signal** or **post**:
increment semaphore by 1 (waking up thread if needed)

P, V from Dutch: *proberen* (test), *verhogen* (increment)

semaphores are kinda integers

semaphore like an integer, but…

cannot read/write directly

- down/up operaion only way to access (typically)
- exception: initialization

never negative — wait instead

- down operation wants to make negative? thread waits

reserving books

suppose tracking copies of library book...

```
Semaphore free_copies = Semaphore(3);
void ReserveBook() {
    // wait for copy to be free
    free_copies.down();
    ... // ... then take reserved copy
}

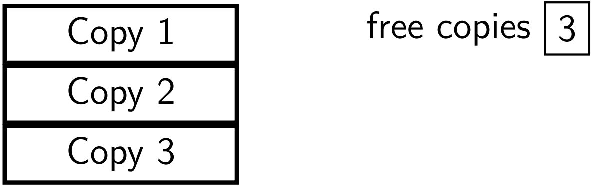
void ReturnBook() {
    ... // return reserved copy
    free_copies.up();
    // ... then wakeup waiting thread
}
```

counting resources: reserving books

suppose tracking copies of same library book

non-negative integer count = # how many books used?

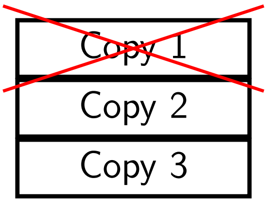
up = give back book; down = take book



counting resources: reserving books

suppose tracking copies of same library book
non-negative integer count = # how many books used?
up = give back book; down = take book

taken out



free copies ~~3~~ 2

after calling down to reserve

counting resources: reserving books

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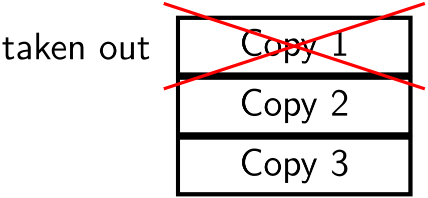

free copies 2
after calling down to reserve

counting resources: reserving books

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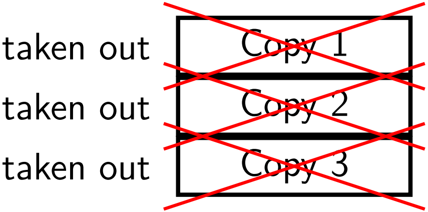
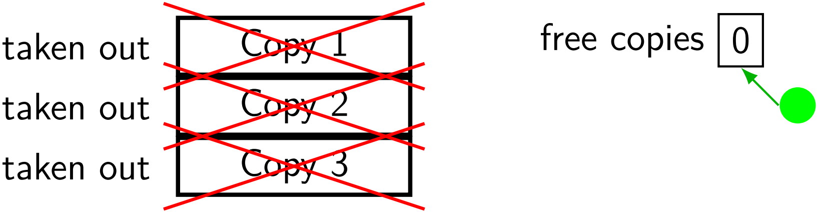


free copies 0

after calling down three times to reserve all copies

counting resources: reserving books

suppose tracking copies of same library book
non-negative integer count = # how many books used?
up = give back book; down = take book

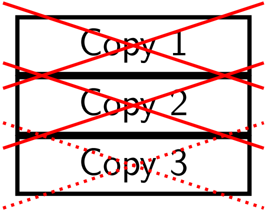


reserve book
call *down* again
start waiting...

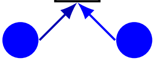
counting resources: reserving books

suppose tracking copies of same library book
non-negative integer count = # how many books used?
up = give back book; down = take book

taken out
taken out
taken out



free copies 0



return book

call *up*
release waiter

reserve book

call *down*
~~waiting~~
done waiting

implementing mutexes with semaphores

```
struct Mutex {
    Semaphore s; /* with inital value 1 */
    /* value = 1 --> mutex if free */
    /* value = 0 --> mutex is busy */
}

MutexLock(Mutex *m) {
    m->s.down();
}
MutexUnlock(Mutex *m) {
    m->s.up();
}
```

implementing join with semaphores

```
struct Thread {
    ...
    Semaphore finish_semaphore; /* with initial value 0 */
    /* value = 0: either thread not finished OR already joined */
    /* value = 1: thread finished AND not joined */
};
thread_join(Thread *t) {
    t->finish_semaphore->down();
}

/* assume called when thread finishes */
thread_exit(Thread *t) {
    t->finish_semaphore->up();
    /* tricky part: deallocating struct Thread safely? */
}
```

POSIX semaphores

```
#include <semaphore.h>
...
sem_t my_semaphore;
int process_shared = /* 1 if sharing between processes */;
sem_init(&my_semaphore, process_shared, initial_value);
...
sem_wait(&my_semaphore);  /* down */
sem_post(&my_semaphore);  /* up */
...
sem_destroy(&my_semaphore);
```

semaphore intuition

What do you need to wait for?

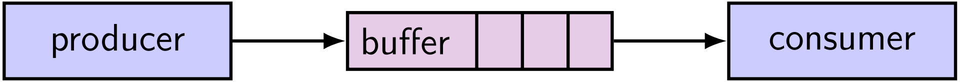
- critical section to be finished
- queue to be non-empty
- array to have space for new items

what can you count that will be 0 when you need to wait?

- # of threads that can start critical section now
- # of threads that can join another thread without waiting
- # of items in queue
- # of empty spaces in array

use up/down operations to maintain count

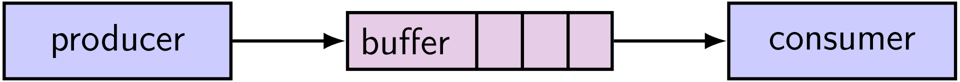
example: producer/consumer



shared buffer (queue) of fixed size

- one or more producers inserts into queue
- one or more consumers removes from queue

example: producer/consumer



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producer(s) and consumer(s) don't work in lockstep

- (might need to wait for each other to catch up)

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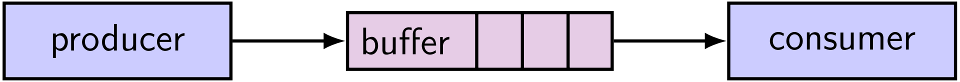

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producer(s) and consumer(s) don't work in lockstep

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example: C compiler

- preprocessor → compiler → assembler → linker

producer/consumer constraints

consumer waits for producer(s) if buffer is empty

producer waits for consumer(s) if buffer is full

any thread waits while a thread is manipulating the buffer

producer/consumer constraints

consumer waits for producer(s) if buffer is empty

producer waits for consumer(s) if buffer is full

any thread waits while a thread is manipulating the buffer

one semaphore per constraint:

```
sem_t full_slots;   // consumer waits if empty
sem_t empty_slots;  // producer waits if full
sem_t mutex;        // either waits if anyone changing buffer
FixedSizedQueue buffer;
```

producer/consumer pseudocode

```
sem_init(&full_slots, ..., 0 /* # buffer slots initially used */);
sem_init(&empty_slots, ..., BUFFER_CAPACITY);
sem_init(&mutex, ..., 1 /* # thread that can use buffer at once */);
buffer.set_size(BUFFER_CAPACITY);
...

Produce(item) {
    sem_wait(&empty_slots);   // wait until free slot, reserve it
    sem_wait(&mutex);
    buffer.enqueue(item);
    sem_post(&mutex);
    sem_post(&full_slots);  // tell consumers there is more data
}

Consume() {
    sem_wait(&full_slots);   // wait until queued item, reserve it
    sem_wait(&mutex);
    item = buffer.dequeue();
    sem_post(&mutex);
    sem_post(&empty_slots);  // let producer reuse item slot
    return item;
}
```

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    item = buffer.dequeue();
    sem_post(&mutex);
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}
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buffer.set_size(BUFFER_CAPACITY);
...

Produce(item) {
    sem_wait(&empty_slots);    // wait until free slot, reserve it
    sem_wait(&mutex);
    buffer.enqueue(item);
    sem_post(&mutex);
    sem_post(&full_slots);                                  re data
}

Consume() {
    sem_wait(&full_slots);   // wait until queued item, reserve it
    sem_wait(&mutex);
    item = buffer.dequeue();
    sem_post(&mutex);
    sem_post(&empty_slots);  // let producer reuse item slot
    return item;
}
```

Can we do
```
  sem_wait(&mutex);
  sem_wait(&empty_slots);
```
instead?

producer/consumer pseudocode

```
sem_init(&full_slots, ..., 0 /* # buffer slots initially used */);
sem_init(&empty_slots, ..., BUFFER_CAPACITY);
sem_init(&mutex, ..., 1 /* # thread that can use buffer at once */);
buffer.set_size(BUFFER_CAPACITY);
...

Produce(item) {
    sem_wait(&empty_slots);     // wait until free slot, reserve it
    sem_wait(&mutex);
    buffer.enqueue(item);
    sem_post(&mutex);
    sem_post(&full_slots);                                 re data
}

Consume() {
    sem_wait(&full_slots);
    sem_wait(&mutex);
    item = buffer.dequeue()
    sem_post(&mutex);
    sem_post(&empty_slots);
    return item;
}
```

Can we do
`sem_wait(&mutex);`
`sem_wait(&empty_slots);`
instead?

No. Consumer waits on `sem_wait(&mutex)` so can't `sem_post(&empty_slots)` (result: producer waits forever problem called *deadlock*)

producer/consumer: cannot reorder mutex/empty

```
ProducerReordered() {
  // BROKEN: WRONG ORDER
  sem_wait(&mutex);
  sem_wait(&empty_slots);

  ...

  sem_post(&mutex);
```

```
Consumer() {
  sem_wait(&full_slots);

  // can't finish until
  // Producer's sem_post(&mutex):
  sem_wait(&mutex);

  ...

  // so this is not reached
  sem_post(&full_slots);
```

producer/consumer pseudocode

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sem_init(&full_slots, ..., 0 /* # buffer slots initially used */);
sem_init(&empty_slots, ..., BUFFER_CAPACITY);
sem_init(&mutex, ..., 1 /* # thread that can use buffer at once */);
buffer.set_size(BUFFER_CAPACITY);
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Produce(item) {
    sem_wait(&empty_slots);   // wait until free slot, reserve it
    sem_wait(&mutex);
    buffer.enqueue(item);
    sem_post(&mutex);
    sem_post(&full_slots                              s more data
}

Consume() {
    sem_wait(&full_slots                              m, reserve it
    sem_wait(&mutex);
    item = buffer.dequeu
    sem_post(&mutex);
    sem_post(&empty_slots);  // let producer reuse item slot
    return item;
}
```

Can we do

```
sem_post(&full_slots);
sem_post(&mutex);
```

instead?

Yes — post never waits

producer/consumer summary

producer: wait (down) empty_slots, post (up) full_slots

consumer: wait (down) full_slots, post (up) empty_slots

two producers or consumers?

- still works!

binary semaphores

binary semaphores — semaphores that are only zero or one

as powerful as normal semaphores

- exercise: simulate counting semaphores with binary semaphores (more than one) and an integer

counting semaphores with binary semaphores

via Hemmendinger, “Comments on ‘A correect and unrestrictive implementation of general semaphores’ ” (1989); Barz, “Implementing semaphores by binary semaphores” (1983)

```
// assuming initialValue > 0
BinarySemaphore mutex(1);
int value = initialValue ;
BinarySemaphore gate(1 /* if initialValue >= 1 */);
    /* gate = 1 if Down() can happen now, 0 otherwise */
```

```
void Down() {
  gate.Down();
  // wait, if needed
  mutex.Down();
  value -= 1;
  if (value > 0) {
    gate.Up();
    // because next down should finish
    // now (but not marked to before)
  }
  mutex.Up();
}
```

```
void Up() {
  mutex.Down();
  value += 1;
  if (value == 1) {
    gate.Up();
    // because down should finish now
    // but could not before
  }
  mutex.Up();
}
```

Anderson-Dahlin and semaphores

Anderson/Dahlin complains about semaphores

"Our view is that programming with locks and condition variables is superior to programming with semaphores."

argument 1: clearer to have separate constructs for

waiting for condition to be come true, and

allowing only one thread to manipulate a thing at a time

arugment 2: tricky to verify thread calls up exactly once for every down

alternatives allow one to be sloppier (in a sense)

monitors/condition variables

locks for mutual exclusion

condition variables for waiting for event

- operations: wait (for event); signal/broadcast (that event happened)

related data structures

monitor = lock + 0 or more condition variables + shared data

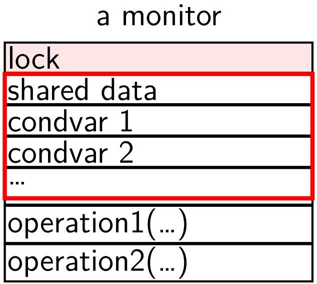
- Java: every object is a monitor (has instance variables, built-in lock, cond. var)
- pthreads: build your own: provides you locks + condition variables

monitor idea

a monitor

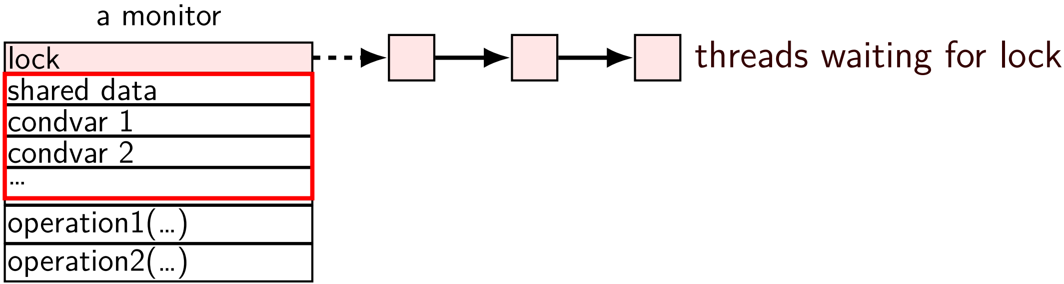
lock
shared data
condvar 1
condvar 2
...
operation1(...)
operation2(...)

monitor idea

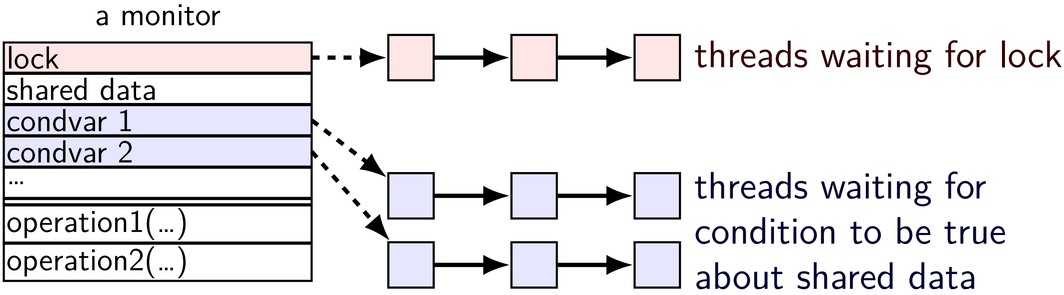


lock must be acquired
before accessing
any part of monitor's stuff

monitor idea

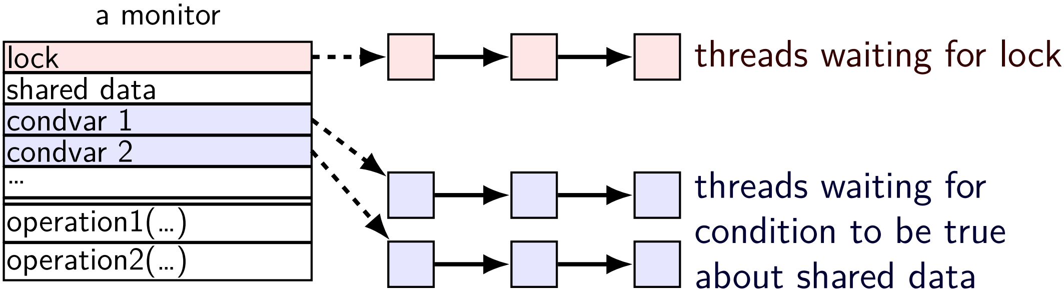


monitor idea



condvar operations

condvar operations:
Wait(cv, lock) — unlock lock, add current thread to cv queue
...and reacquire lock before returning
Broadcast(cv) — remove all from condvar queue
Signal(cv) — remove one from condvar queue



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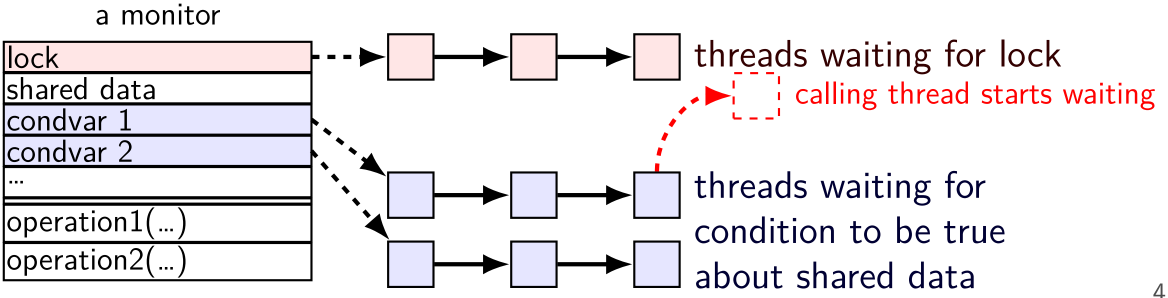

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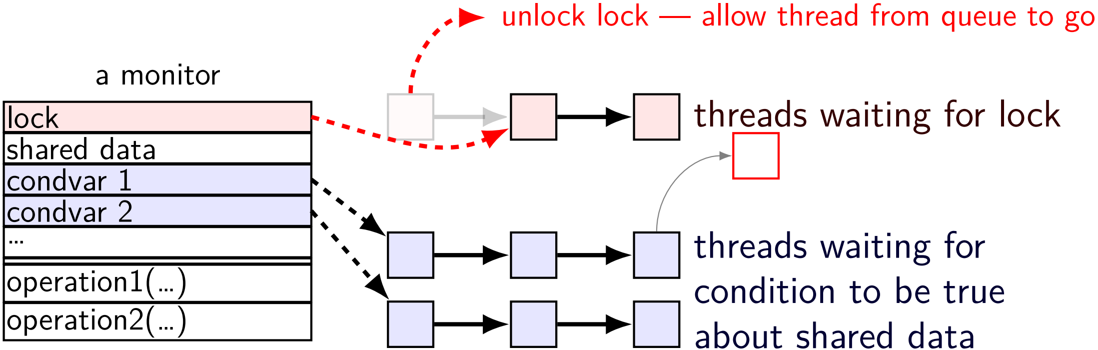

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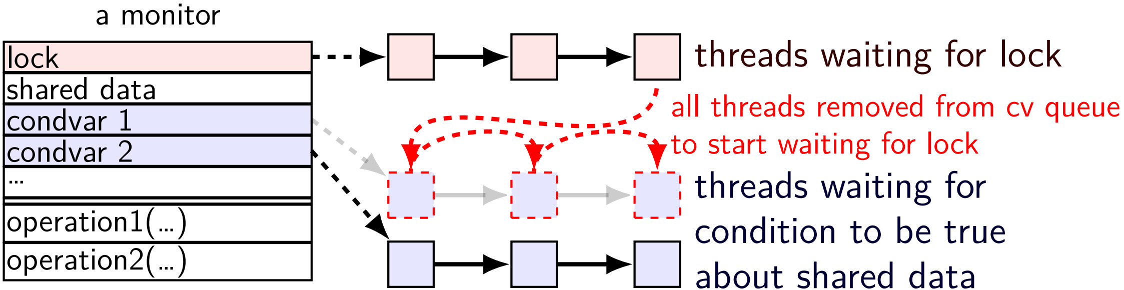

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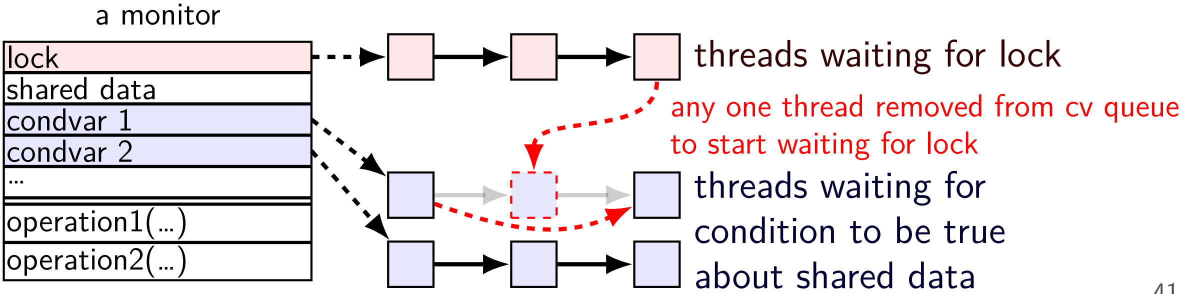

pthread cv usage

```
// MISSING: init calls, etc.
pthread_mutex_t lock;
bool finished;   // data, only accessed with after acquiring lock
pthread_cond_t finished_cv;  // to wait for 'finished' to be true

void WaitForFinished() {
  pthread_mutex_lock(&lock);
  while (!finished) {
    pthread_cond_wait(&finished_cv, &lock);
  }
  pthread_mutex_unlock(&lock);
}

void Finish() {
  pthread_mutex_lock(&lock);
  finished = true;
  pthread_cond_broadcast(&finished_cv);
  pthread_mutex_unlock(&lock);
}
```

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}

void Finish() {
  pthread_mutex_lock(&lock);
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  pthread_cond_broadcast(&finished_cv);
  pthread_mutex_unlock(&lock);
}
```

acquire lock before reading or writing `finished`

pthread cv usage

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  pthread_mutex_lock(&lock);
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  pthread_mutex_unlock(&lock);
}
```

check whether we need to wait at all

(why a loop? we'll explain later)

pthread cv usage

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}

void Finish() {
  pthread_mutex_lock(&lock);
  finished = true;
  pthread_cond_broadcast(&finished_cv);
  pthread_mutex_unlock(&lock);
}
```

know we need to wait
(finished can't change while we have lock)
so wait, releasing lock...

pthread cv usage

```
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  while (!finished) {
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void Finish() {
  pthread_mutex_lock(&lock);
  finished = true;
  pthread_cond_broadcast(&finished_cv);
  pthread_mutex_unlock(&lock);
}
```

allow all waiters to proceed (once we unlock the lock)

WaitForFinish timeline 1

WaitForFinish thread	Finish thread
`mutex_lock(&lock)` (thread has lock)	
	`mutex_lock(&lock)` (start waiting for lock)

`while (!finished) ...`
`cond_wait(&finished_cv, &lock);`
(start waiting for cv)
	(done waiting for lock)

	`finished = true` `cond_broadcast(&finished_cv)`
(done waiting for cv) (start waiting for lock)	
	`mutex_unlock(&lock)`

(done waiting for lock)
`while (!finished) ...`
(finished now true, so return)
`mutex_unlock(&lock)`	

WaitForFinish timeline 2

WaitForFinish thread	Finish thread

	`mutex_lock(&lock)`
	`finished = true`
	`cond_broadcast(&finished_cv)`
	`mutex_unlock(&lock)`

`mutex_lock(&lock)`
`while (!finished) ...`
(finished now true, so return)
`mutex_unlock(&lock)`	

why the loop

```
while (!finished) {
  pthread_cond_wait(&finished_cv, &lock);
}
```

we only `broadcast` if `finished` is true

so why check `finished` afterwards?

why the loop

```
while (!finished) {
  pthread_cond_wait(&finished_cv, &lock);
}
```

we only `broadcast` if `finished` is true

so why check `finished` afterwards?

pthread_cond_wait manual page:

> "Spurious wakeups ... may occur."

spurious wakeup = `wait` returns even though nothing happened