INF333 - Operating Systems Lecture IV

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Course website

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Based On

cs111.stanford.edu ☞ cs212.stanford.edu ☞ OSC-10 Slides ☞



We want humans to produce **concurrent** and **correct** software

Goal II

Humans use programming languages

Goal III

Programming languages define or assume **memory models**

They are defined in terms of synchronization primitives

ISAs define **instructions** with **consistency characteristics**.

► CPUs implement them

Goal IV

- As usual, operating systems bridge the gap by implementing well-defined abstractions using facilities exposed by the CPU.
- Programming languages in turn implement their own synchronization primitives in terms of primitives exposed by the operating system.

Goal V

These boundaries between these systems are blurred, since they all evolved together instead of being designed one fell swoop.

> Yet the distinction is still there.

Goal in this lecture:

 Dissecting synchronization primitives that are popular among userspace apps

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 CPU₀ away from thread T, another thread on CPU₁ 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, 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 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 0?

Correct answers

Program A: We can't know

Program A: We can't know Program B: We can't know

- Program A: We can't know
- Program B: We can't know
- Program C: We can't know
- Why can't we know?
 - It depends on what machine you use
 - ▶ If a system provides *sequential consistency*, then all answers are *No*
 - But not all hardware provides sequential consistency

Sequential Consistency (SC)

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

SC prevents hardware optimizations I

Complicates write buffers

- ► E.g., read flag*n* 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

SC prevents hardware optimizations II

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 prevents 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

Caching Terminology I

Data is transferred between memory and cache in blocks of fixed size, called **cache lines**.

- When a cache line is copied from memory into the cache, a cache entry is created.
- The cache entry will include the copied data as well as the requested memory location.

Caching Terminology II

When the processor needs to read or write a location in memory, it first checks for a corresponding entry in the cache.

- If the processor finds that the memory location is in the cache, a cache hit has occurred.
- However, if the processor does not find the memory location in the cache, a cache miss has occurred.

x86 consistency [intel 3a @, §8.2] I

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)

x86 consistency [intel 3a ₪, §8.2] II

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?

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

x86 WB consistency

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

Newer x86s also let a CPU read its own writes early

```
volatile int flag1; volatile int flag2;
```

E.g., both p1 and p2 can return 2:

Older CPUs would wait at "f = ..." until store complete

x86 atomicity I

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

x86 atomicity II

- xchg instruction is always locked (even without prefix)
 Special barrier (or "fence") instructions can prevent re-ordering
 - Ifence 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

A critical section is a protected code fragment that cannot be executed by more than one thread of execution at a time.

Assuming sequential consistency I

Reasoning about concurrent code assuming SC:

- 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
 - If you obey certain rules (discussed later) ...system behavior should be indistinguishable from SC

Assuming sequential consistency II

- Let's for now say we have sequential consistency
- Example concurrent code: Producer/Consumer
 - buffer stores BUFF_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 == BUFF SIZE)
          /* do nothing */:
       buffer[in] = nextProduced;
       in = (in + 1) % BUFF SIZE:
       count++;
   }
}
void consumer (void *ignored) {
   for (::) {
       while (count == 0)
          /* do nothing */:
       item *nextConsumed = buffer[out];
       out = (out + 1) % BUFF SIZE;
       count--;
       consume item (nextConsumed);
   }
```

Data races I

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

 $\begin{array}{l} \mathsf{register}{\leftarrow}\mathsf{count} \\ \mathsf{register}{\leftarrow}\mathsf{register} - 1 \end{array}$

 $count \leftarrow register$

 $count \leftarrow register$

Data races II

- 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 II

- 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

Mutexes I

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 userspace programmer from implementing synchronization primitives

Mutexes II

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 I

All global mutations should happen under mutex protection!

- Global = accessed by more than one thread, at least one write
- ▶ The exception is initialization, before exposed to other threads

This is the responsibility of the userspace programmer 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

Thread API contract II

OS kernels also need synchronization.

- Some mechanisms look like mutexes
- But interrupts complicate things (incompatible w. mutexes)

Same concept, many names I

Most popular application-level thread API: Pthreads @

► Function names in this lecture all based on Pthreads C11 c uses mtx_c 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 *);

Same concept, many names II

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 == BUFF SIZE) {
         mutex unlock (&mutex);
         thread yield ();
         mutex lock (&mutex);
       BUFF [in] = nextProduced:
       in = (in + 1) \% BUFF SIZE;
       count++:
       mutex unlock (&mutex);
   }
```

Improved consumer

```
void consumer (void *ignored) {
   for (::) {
       mutex lock (&mutex);
       while (count == 0) {
         mutex unlock (&mutex); /* <--- Why? */</pre>
         thread vield ();
         mutex lock (&mutex);
       item *nextConsumed = buffer[out];
       out = (out + 1) % BUFF SIZE;
       count--:
       mutex unlock (&mutex);
       consume item (nextConsumed);
   }
}
```

Condition variables I

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

Condition variables II

Better to inform scheduler of which threads can run

- Typically done with condition variables
- struct cond_t;
 (pthread_cond_tr 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 \overline{t} nonempty = COND INITIALIZER;
cond t nonfull = COND INITIALIZER;
void producer (void *ignored) {
   for (::) {
       item *nextProduced = produce item ();
       mutex lock (&mutex);
       while (count == BUFF SIZE)
         cond wait (&nonfull, &mutex);
       buffer [in] = nextProduced:
       in = (in + 1) % BUFF 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) % BUFF 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);

Re-check conditions

```
Otherwise, breaks with spurious wakeup or two consumers
     Start where Consumer 1 has mutex but buffer empty, then:
Consumer 1 Consumer 2
                                  Producer
cond wait (...);
                                  mutex lock (...);
                                  count++:
                                  cond signal (...):
                mutex lock (...); mutex unlock (...);
                if (count == 0)
                use buffer[out] ...
                count--;
                mutex unlock (...);
```

Condition variables II

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

Condition variables III

Can end up stuck waiting when bad interleaving

```
Producer
while (count == BUFF_SIZE)
mutex_unlock (&mutex);
cond wait (&nonfull);
Consumer
```

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
- Thread-specific global data
 - Need for things like errno
- Different synchronization primitives (later in lecture)

Implementing Synchronization

Implementing synchronization

Implement mutex as straight-forward data structure?

```
} mutex_t;
```

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?
```

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 explicit atomic_flag_test_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 critical section, 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 xchgl %eax, (%edx) # swap (%eax, *lockp) ret

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

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 *spin*locks)
- 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 *spin*locks)
- 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

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] a

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) % BUFF SIZE;
       sem signal (&full);
   }
}
void consumer (void *ignored) {
   for (;;) {
       sem wait (&full);
       item *nextConsumed = buffer[out];
       out = (out + 1) % BUFF SIZE;
       sem signal (&empty);
       consume item (nextConsumed);
   }
ን
```

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