Concurrency and Synchronisation
Learning Outcomes

• Understand concurrency is an issue in operating systems and multithreaded applications.
• Know the concept of a *critical region*.
• Understand how mutual exclusion of critical regions can be used to solve concurrency issues – Including how mutual exclusion can be implemented correctly and efficiently.
• Be able to identify and solve a *producer consumer bounded buffer* problem.
• Understand and apply standard synchronisation primitives to solve synchronisation problems.
Textbook

• Sections 2.3 & 2.4
Making Single-Threaded Code Multithreaded

Conflicts between threads over the use of a global variable
Inter-Thread and Process Communication

Two processes want to access shared memory at the same time.

We have a race condition.

Spooler directory:
- ...
- ...
- ...

4 abc
5 prog.c
6 prog.n

out = 4
in = 7
Critical Region

- We can control access to the shared resource by controlling access to the code that accesses the resource.
  - A critical region is a region of code where shared resources are accessed.
    - Variables, memory, files, etc...
- Uncoordinated entry to the critical region results in a race condition
  - Incorrect behaviour, deadlock, lost work, etc...
Critical Regions

Mutual exclusion using critical regions

Time

A enters critical region
A leaves critical region

B attempts to enter critical region
B enters critical region
B leaves critical region

Process A

Process B

T₁  T₂  T₃  T₄

B blocked
Example critical sections

```c
struct node {
    int data;
    struct node *next;
};
struct node *head;

void init(void) {
    head = NULL;
}

void insert(struct *item) {
    item->next = head;
    head = item;
}

struct node *remove(void) {
    struct node *t;
    t = head;
    if (t != NULL) {
        head = head->next;
    }
    return t;
}

• Simple last-in-first-out queue implemented as a linked list.
```
Example critical sections

struct node {
    int data;
    struct node *next;
};
struct node *head;

void init(void) {
    head = NULL;
}

void insert(struct *item) {
    item->next = head;
    head = item;
}

struct node *remove(void) {
    struct node *t;
    t = head;
    if (t != NULL) {
        head = head->next;
    }
    return t;
}
Critical Regions

Also called *critical sections*

Conditions required of any solution to the critical region problem

- **Mutual Exclusion:**
  - No two processes simultaneously in critical region
- **No assumptions made about speeds or numbers of CPUs**
- **Progress**
  - No process running outside its critical region may block another process
- **Bounded**
  - No process must wait forever to enter its critical region
A solution?

• A lock variable
  – If lock == 1,
    • somebody is in the critical section and we must wait
  – If lock == 0,
    • nobody is in the critical section and we are free to enter
A solution?

while (TRUE) {
    while (lock == 1);
    lock = 1;
    critical();
    lock = 0
    non_critical();
}

while (TRUE) {
    while (lock == 1);
    lock = 1;
    critical();
    lock = 0
    non_critical();
}
A problematic execution sequence

while(TRUE) {
    while(lock == 1);
    lock = 1;
    critical();
    lock = 0
    non_critical();
}

while(TRUE) {
    while(lock == 1);
    lock = 1;
    critical();
    lock = 0
    non_critical();
}
Observation

• Unfortunately, it is usually easier to show something does not work, than it is to prove that it does work.
  – Ideally, we’d like to prove, or at least informally demonstrate, that our solutions work.
Mutual Exclusion by Taking Turns

 Proposed solution to critical region problem
(a) Process 0.        (b) Process 1.
Mutual Exclusion by Taking Turns

• Works due to *strict alternation*
  – Each process takes turns

• Cons
  – Busy waiting
  – Process must wait its turn even while the other process is doing something else.
    • With many processes, must wait for everyone to have a turn
      – Does not guarantee progress if a process no longer needs a turn.
    • Poor solution when processes require the critical section at differing rates
Peterson’s Solution

• See the textbook
Mutual Exclusion by Disabling Interrupts

• Before entering a critical region, disable interrupts
• After leaving the critical region, enable interrupts
• Pros
  – simple
• Cons
  – Only available in the kernel
  – Blocks everybody else, even with no contention
    • Slows interrupt response time
  – Does not work on a multiprocessor
Hardware Support for mutual exclusion

• Test and set instruction
  – Can be used to implement lock variables correctly
    • It loads the value of the lock
    • If lock == 0,
      – set the lock to 1
      – return the result 0 – we acquire the lock
    • If lock == 1
      – return 1 – another thread/process has the lock
  – Hardware guarantees that the instruction executes atomically.
    • Atomically: As an indivisible unit.
Mutual Exclusion with Test-and-Set

enter_region:
  TSL REGISTER,LOCK | copy lock to register and set lock to 1
  CMP REGISTER,#0  | was lock zero?
  JNE enter_region  | if it was non zero, lock was set, so loop
  RET | return to caller; critical region entered

leave_region:
  MOVE LOCK,#0      | store a 0 in lock
  RET | return to caller

Entering and leaving a critical region using the TSL instruction
Test-and-Set

• Pros
  – Simple (easy to show it’s correct)
  – Available at user-level
    • To any number of processors
    • To implement any number of lock variables

• Cons
  – Busy waits (also termed a *spin lock*)
    • Consumes CPU
    • Livelock in the presence of priorities
      – If a low priority process has the lock and a high priority process attempts to get it, the high priority process will busy-wait forever.
    • Starvation is possible when a process leaves its critical section and more than one process is waiting.
Tackling the Busy-Wait Problem

• Sleep / Wakeup
  – The idea
    • When process is waiting for an event, it calls sleep to block, instead of busy waiting.
    • The event happens, the event generator (another process) calls wakeup to unblock the sleeping process.
The Producer-Consumer Problem

• Also called the *bounded buffer* problem
• A producer produces data items and stores the items in a buffer
• A consumer takes the items out of the buffer and consumes them.
Issues

• We must keep an accurate count of items in buffer
  – Producer
    • can sleep when the buffer is full,
    • and wakeup when there is empty space in the buffer
      – The consumer can call wakeup when it consumes the first entry of the full buffer
  – Consumer
    • Can sleep when the buffer is empty
    • And wake up when there are items available
      – Producer can call wakeup when it adds the first item to the buffer
Pseudo-code for producer and consumer

```c
int count = 0;
#define N 4 /* buf size */
prod() {
    while(TRUE) {
        item = produce();
        if (count == N) sleep();
        insert_item();
        count++;
        if (count == 1) wakeup(con);
    }
}
con() {
    while(TRUE) {
        if (count == 0) sleep();
        remove_item();
        count--;
        if (count == N-1) wakeup(prod);
    }
}
```
Problems

```c
int count = 0;
#define N 4 /* buf size */
prod() {
    while(TRUE) {
        item = produce()
        if (count == N)
            sleep();
        insert_item();
        count++;
        if (count == 1)
            wakeup(con);
    }
}

con() {
    while(TRUE) {
        if (count == 0)
            sleep();
        remove_item();
        count--;
        if (count == N-1)
            wakeup(prod);
    }
}
```

Concurrent uncontrolled access to the buffer
Problems

```c
int count = 0;
#define N 4 /* buf size */
prod() {
    while(TRUE) {
        item = produce();
        if (count == N)
            sleep();
        insert_item();
        count++;
        if (count == 1)
            wakeup(con);
    }
}

con() {
    while(TRUE) {
        if (count == 0)
            sleep();
        remove_item();
        count--;
        if (count == N-1)
            wakeup(prod);
    }
}
```

Concurrent uncontrolled access to the counter
Proposed Solution

• Lets use a locking primitive based on test-and-set to protect the concurrent access
Proposed solution?

```c
int count = 0;
#define N 4 /* buf size */
prod() {
    while(TRUE) {
        item = produce()
        if (count == N)
            sleep();
        acquire_lock()
        insert_item();
        count++; 
        release_lock()
        if (count == 1)
            wakeup(con);
    }
}

con() {
    while(TRUE) {
        if (count == 0)
            sleep();
        acquire_lock()
        remove_item();
        count--;
        release_lock();
        if (count == N-1)
            wakeup(prod);
    }
}
```
Problematic execution sequence

```c
prod() {
    while(TRUE) {
        item = produce();
        if (count == N)
            sleep();
        acquire_lock();
        insert_item();
        count++;
        release_lock();
        if (count == 1)
            wakeup(con);
    }
}
```

```c
con() {
    while(TRUE) {
        if (count == 0)
            sleep();
        acquire_lock();
        remove_item();
        count--;
        release_lock();
        if (count == N-1)
            wakeup(prod);
    }
}
```

wakeup without a matching sleep is lost
Problem

• The test for *some condition* and actually going to sleep needs to be atomic

• The following does not work

```c
acquire_lock()
if (count == N)
    sleep();
release_lock()
```

The lock is held while asleep $\Rightarrow$ count will never change
Semaphores

• Dijkstra (1965) introduced two primitives that are more powerful than simple sleep and wakeup alone.
  – P(): proberen, from Dutch to test.
  – V(): verhogen, from Dutch to increment.
  – Also called wait & signal, down & up.
How do they work

• If a resource is not available, the corresponding semaphore blocks any process waiting for the resource
• Blocked processes are put into a process queue maintained by the semaphore (avoids busy waiting!)
• When a process releases a resource, it signals this by means of the semaphore
• Signalling resumes a blocked process if there is any
• Wait and signal operations cannot be interrupted
• Complex coordination can be implemented by multiple semaphores
Semaphore Implementation

• Define a semaphore as a record

\[
\text{typedef struct } \{
    \text{int count;}
    \text{struct process *}L;
\}\text{ semaphore;}
\]

• Assume two simple operations:
  – \texttt{slee}p suspends the process that invokes it.
  – \texttt{wakeup}(P) resumes the execution of a blocked process \( P \).
- Semaphore operations now defined as
  
  $\text{wait}(S)$:
  
  ```
  S.count--; 
  if (S.count < 0) {
      add this process to S.L; 
      sleep; 
  }
  ```

  $\text{signal}(S)$:
  
  ```
  S.count++; 
  if (S.count <= 0) {
      remove a process P from S.L; 
      wakeup(P); 
  }
  ```

- Each primitive is atomic
Semaphore as a General Synchronization Tool

• Execute $B$ in $P_j$ only after $A$ executed in $P_i$
• Use semaphore $count$ initialized to 0
• Code:

$P_i$ $P_j$

$\vdots$ $\vdots$

$A$ $wait(flag)$

$signal(flag)$ $B$
Semaphore Implementation of a Mutex

• Mutex is short for Mutual Exclusion
  – Can also be called a lock

```c
semaphore mutex;
mutex.count = 1; /* initialise mutex */

wait(mutex); /* enter the critical region */

Blahblah();

signal(mutex); /* exit the critical region */
```

Notice that the initial count determines how many waits can progress before blocking and requiring a signal \( \Rightarrow \) mutex.count initialised as 1
Solving the producer-consumer problem with semaphores

#define N = 4

semaphore mutex = 1;

/* count empty slots */
semaphore empty = N;

/* count full slots */
semaphore full = 0;
Solving the producer-consumer problem with semaphores

```c
prod() {
    while(TRUE) {
        item = produce();
        wait(empty);
        wait(mutex);
        insert_item();
        signal(mutex);
        signal(full);
    }
}

con() {
    while(TRUE) {
        wait(full);
        wait(mutex);
        remove_item();
        signal(mutex);
        signal(empty);
    }
}
```
Summarising Semaphores

• Semaphores can be used to solve a variety of concurrency problems
• However, programming with them can be error-prone
  – E.g. must signal for every wait for mutexes
    • Too many, or too few signals or waits, or signals and waits in the wrong order, can have catastrophic results
Monitors

• To ease concurrent programming, Hoare (1974) proposed *monitors*.
  – A higher level synchronisation primitive
  – Programming language construct

• Idea
  – A set of procedures, variables, data types are grouped in a special kind of module, a *monitor*.
    • Variables and data types only accessed from within the monitor
  – Only one process/thread can be in the monitor at any one time
    • Mutual exclusion is implemented by the compiler (which should be less error prone)
Monitor

- When a thread calls a monitor procedure that has a thread already inside, it is queued and it sleeps until the current thread exits the monitor.
Monitors

```plaintext
monitor example
  integer i;
  condition c;

  procedure producer();
    .
    .
    .
  end;

  procedure consumer();
    .
    .
    .
  end;

end monitor;
```

Example of a monitor
Simple example

```c
monitor counter {
    int count;
    procedure inc() {
        count = count + 1;
    }
    procedure dec() {
        count = count - 1;
    }
}
```

Note: “paper” language

- Compiler guarantees only one thread can be active in the monitor at any one time
- Easy to see this provides mutual exclusion
  - No race condition on `count`. 

Note: "paper" language
How do we block waiting for an event?

• We need a mechanism to block waiting for an event (in addition to ensuring mutual exclusion)
  – e.g., for producer consumer problem when buffer is empty or full

• Condition Variables
Condition Variable

- To allow a process to wait within the monitor, a condition variable must be declared, as
  \[\text{condition } x, y;\]
- Condition variable can only be used with the operations \textit{wait} and \textit{signal}.
  - The operation
    \[\text{x.wait();}\]
    means that the process invoking this operation is suspended until another process invokes
    \[\text{x.signal();}\]
    - The \texttt{x.signal} operation resumes exactly one suspended process. If no process is suspended, then the \texttt{signal} operation has no effect.
Condition Variables
Monitors

```
monitor ProducerConsumer
    condition full, empty;
    integer count;
    procedure insert(item: integer);
    begin
        if count = N then wait(full);
        insert_item(item);
        count := count + 1;
        if count = 1 then signal(empty)
    end;
    function remove: integer;
    begin
        if count = 0 then wait(empty);
        remove = remove_item;
        count := count - 1;
        if count = N - 1 then signal(full)
    end;
    count := 0;
end monitor;
```

```
procedure producer;
begin
    while true do
        begin
            item = produce_item;
            ProducerConsumer.insert(item)
        end
end;
procedure consumer;
begin
    while true do
        begin
            item = ProducerConsumer.remove;
            consume_item(item)
        end
end;
```

- Outline of producer-consumer problem with monitors
  - only one monitor procedure active at one time
  - buffer has \( N \) slots
OS/161 Provided Synchronisation Primitives

- Locks
- Semaphores
- Condition Variables
Locks

- Functions to create and destroy locks

```c
struct lock *lock_create(const char *name);
void lock_destroy(struct lock *);
```

- Functions to acquire and release them

```c
void lock_acquire(struct lock *);
void lock_release(struct lock *);
```
Example use of locks

int count;
struct lock *count_lock

main() {
    count = 0;
    count_lock =
        lock_create("count lock");
    if (count_lock == NULL)
        panic("I'm dead");
    stuff();
}

procedure inc() {
    lock_acquire(count_lock);
    count = count + 1;
    lock_release(count_lock);
}

procedure dec() {
    lock_acquire(count_lock);
    count = count -1;
    lock_release(count_lock);
}
Semaphores

```c
struct semaphore *sem_create(const char *name, int initial_count);
void sem_destroy(struct semaphore *);
void P(struct semaphore *);
void V(struct semaphore *);
```
Example use of Semaphores

int count;
struct semaphore
  *count_mutex;

main() {
  count = 0;
  count_mutex =
    sem_create("count", 1);
  if (count_mutex == NULL)
    panic("I’m dead");
  stuff();
}

procedure inc() {
  P(count_mutex);
  count = count + 1;
  V(count_mutex);
}

procedure dec() {
  P(count_mutex);
  count = count -1;
  V(count_mutex);
}
Condition Variables

```c
def struct cv *cv_create(const char *name);
def void cv_destroy(struct cv *cv);

def void cv_wait(struct cv *cv, struct lock *lock);
    - Releases the lock and blocks
    - Upon resumption, it re-acquires the lock
      • Note: we must recheck the condition we slept on

def void cv_signal(struct cv *cv, struct lock *lock);
def void cv_broadcast(struct cv *cv, struct lock *lock);
    - Wakes one/all, does not release the lock
    - First "waiter" scheduled after signaller releases the lock will re-acquire the lock
```

Note: All three variants must hold the lock passed in.
Condition Variables and Bounded Buffers

Non-solution

```c
lock_acquire(c_lock)
if (count == 0)
    sleep();
remove_item();
count--;
lock_release(c_lock);
```

Solution

```c
lock_acquire(c_lock)
while (count == 0)
    cv_wait(c_cv, c_lock);
remove_item();
count--;
lock_release(c_lock);
```
A Producer-Consumer Solution Using OS/161 CVs

```c
int count = 0;
#define N 4 /* buf size */
prod() {
    while(TRUE) {
        item = produce()
        lock_acquire(l)
        while (count == N)
            cv_wait(f,l);
        insert_item(item);
        count++; if (count == 1)
            cv_signal(e,l);
        lock_release()
    }
}

con() {
    while(TRUE) {
        lock_acquire(l)
        while (count == 0)
            cv_wait(e,l);
        item = remove_item();
        count--; if (count == N-1)
            cv_signal(f,l);
        lock_release(l);
        consume(item);
    }
}
```
Dining Philosophers

- Philosophers eat/think
- Eating needs 2 forks
- Pick one fork at a time
- How to prevent deadlock
Dining Philosophers

#define N 5 /* number of philosophers */
#define LEFT (i+N-1)%N /* number of i’s left neighbor */
#define RIGHT (i+1)%N /* number of i’s right neighbor */
#define THINKING 0 /* philosopher is thinking */
#define HUNGRY 1 /* philosopher is trying to get forks */
#define EATING 2 /* philosopher is eating */
typedef int semaphore; /* semaphores are a special kind of int */
int state[N]; /* array to keep track of everyone’s state */
semaphore mutex = 1; /* mutual exclusion for critical regions */
semaphore s[N]; /* one semaphore per philosopher */

void philosopher(int i) /* i: philosopher number, from 0 to N-1 */
{
    while (TRUE) {
        think(); /* repeat forever */
        take_forks(i); /* philosopher is thinking */
        eat(); /* acquire two forks or block */
        put_forks(i); /* yum-yum, spaghetti */
        put_forks(i); /* put both forks back on table */
    }
}

Solution to dining philosophers problem (part 1)
Dining Philosophers

#define N 5
/* number of philosophers */

void philosopher(int i)
/* i: philosopher number, from 0 to 4 */
{
    while (TRUE) {
        /* philosopher is thinking */
        think();
        /* take left fork */
        take_fork(i);
        /* take right fork; % is modulo operator */
        take_fork((i+1) % N);
        /* yum-yum, spaghetti */
        eat();
        /* put left fork back on the table */
        put_fork(i);
        /* put right fork back on the table */
        put_fork((i+1) % N);
    }
}

A nonsolution to the dining philosophers problem
Dining Philosophers

```c
#define HUNGRY 0
#define THINKING 1
#define EATING 2

void take_forks(int i) {  /* i: philosopher number, from 0 to N−1 */
    down(&mutex);        /* enter critical region */
    state[i] = HUNGRY;   /* record fact that philosopher i is hungry */
    test(i);             /* try to acquire 2 forks */
    up(&mutex);          /* exit critical region */
    down(&s[i]);         /* block if forks were not acquired */
}

void put_forks(i) {  /* i: philosopher number, from 0 to N−1 */
    down(&mutex); /* enter critical region */
    state[i] = THINKING;  /* philosopher has finished eating */
    test(LEFT); /* see if left neighbor can now eat */
    test(RIGHT); /* see if right neighbor can now eat */
    up(&mutex); /* exit critical region */
}

void test(i) { /* i: philosopher number, from 0 to N−1 */
    if (state[i] == HUNGRY && state[LEFT] != EATING && state[RIGHT] != EATING) {
        state[i] = EATING;
        up(&s[i]);
    }
}
```

Solution to dining philosophers problem (part 2)
The Readers and Writers Problem

- Models access to a database
  - E.g. airline reservation system
    - Can have more than one concurrent reader
      - To check schedules and reservations
    - Writers must have exclusive access
      - To book a ticket or update a schedule
The Readers and Writers Problem

typedef int semaphore; /* use your imagination */
semaphore mutex = 1; /* controls access to 'rc' */
semaphore db = 1; /* controls access to the database */
int rc = 0; /* # of processes reading or wanting to */

void reader(void)
{
    while (TRUE) { /* repeat forever */
        down(&mutex); /* get exclusive access to 'rc' */
        rc = rc + 1; /* one reader more now */
        if (rc == 1) down(&db); /* if this is the first reader ... */
        up(&mutex); /* access the data */
        read_data_base(); /* get exclusive access to 'rc' */
        down(&mutex); /* one reader fewer now */
        rc = rc - 1;
        if (rc == 0) up(&db); /* if this is the last reader ... */
        up(&mutex); /* release exclusive access to 'rc' */
        use_data_read(); /* noncritical region */
    }
}

void writer(void)
{
    while (TRUE) { /* repeat forever */
        think_up_data(); /* noncritical region */
        down(&db); /* get exclusive access */
        write_data_base(); /* update the data */
        up(&db); /* release exclusive access */
    }
}

A solution to the readers and writers problem
The Sleeping Barber Problem
The Sleeping Barber Problem

#define CHAIRS 5 /* # chairs for waiting customers */
typedef int semaphore; /* use your imagination */
semaphore customers = 0; /* # of customers waiting for service */
semaphore barbers = 0; /* # of barbers waiting for customers */
semaphore mutex = 1; /* for mutual exclusion */
int waiting = 0; /* customers are waiting (not being cut) */

void barber(void)
{   
    while (TRUE) {
        down(&customers); /* go to sleep if # of customers is 0 */
        down(&mutex); /* acquire access to 'waiting' */
        waiting = waiting - 1; /* decrement count of waiting customers */
        up(&barbers); /* one barber is now ready to cut hair */
        up(&mutex); /* release 'waiting' */
        cut_hair(); /* cut hair (outside critical region) */
    }
}

void cut_hair(void)
{   
    down(&mutex), /* enter critical region */
    if (waiting < CHAIRS) {
        waiting = waiting + 1; /* if there are no free chairs, leave */
        up(&customers); /* increment count of waiting customers */
        up(&mutex); /* wake up barber if necessary */
        down(&barbers); /* release access to 'waiting' */
        get_haircut(); /* go to sleep if # of free barbers is 0 */
    } else {
        up(&mutex); /* be seated and be serviced */
    }
}

See the textbook

Solution to sleeping barber problem.