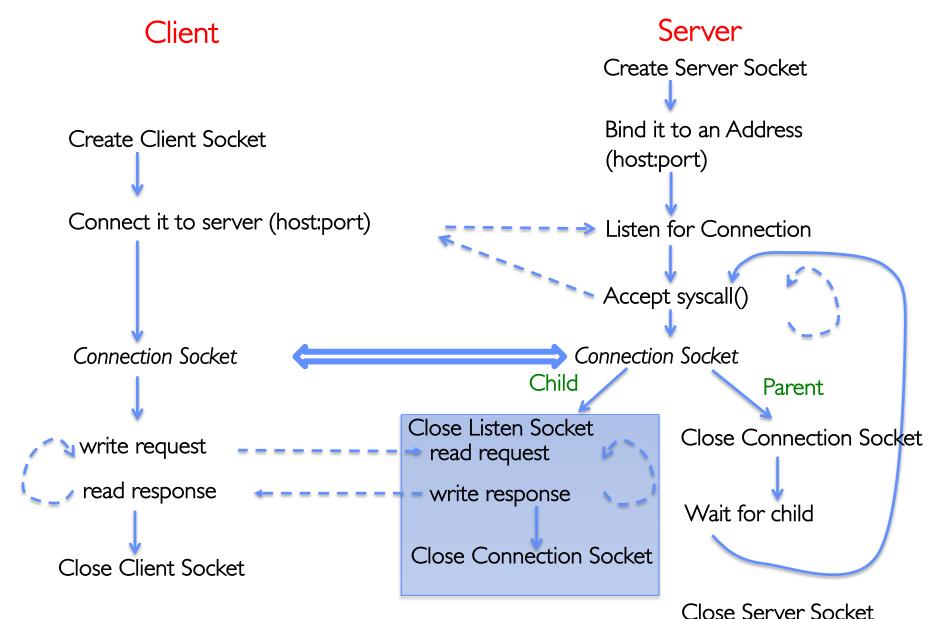
Operating Systems (Honor Track)

Synchronization 2: Concurrency (cont'd), Lock Implementation

Xin Jin Spring 2022

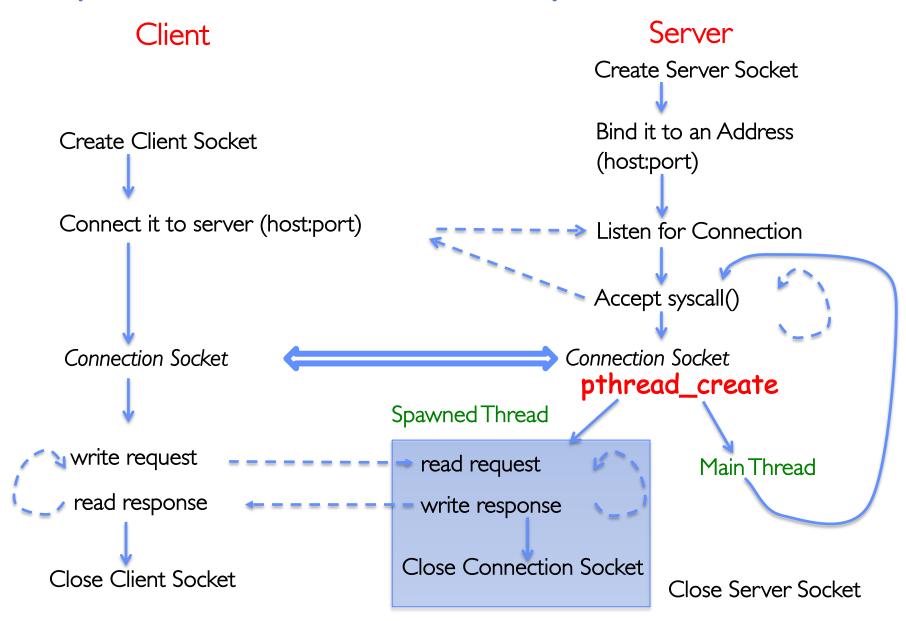
Acknowledgments: Ion Stoica, Berkeley CS 162

Recap: Sockets With Protection (each connection has own process)

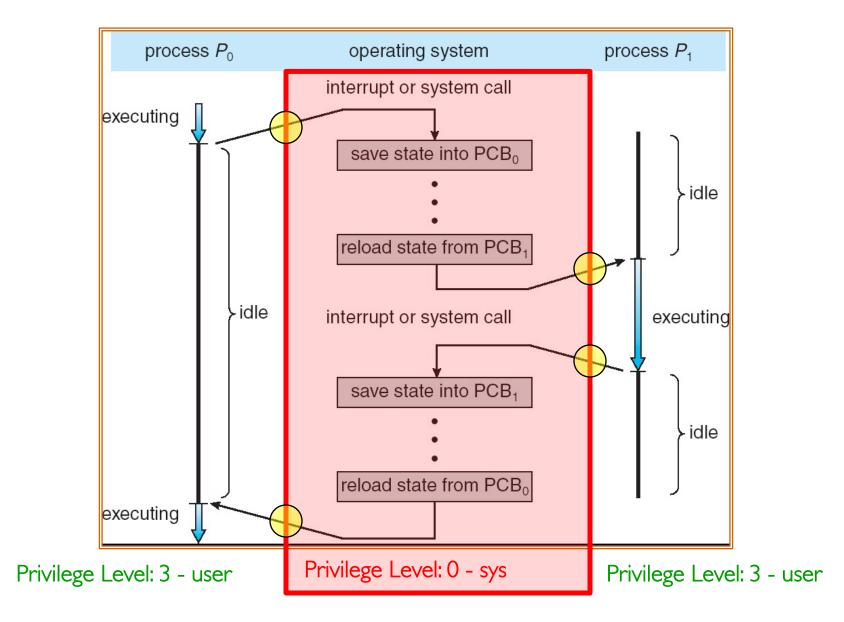


Recap: Sockets With Protection and Concurrency Server Client Create Server Socket Bind it to an Address Create Client Socket (host:port) Connect it to server (host:port) Listen for Connection Accept syscall() Connection Socket Connection Socket Child Parent Close Listen Socket Close Connection Socket write request read request read response write response Close Connection Socket Close Server Socket **Close Client Socket**

Recap: Sockets with Concurrency, without Protection

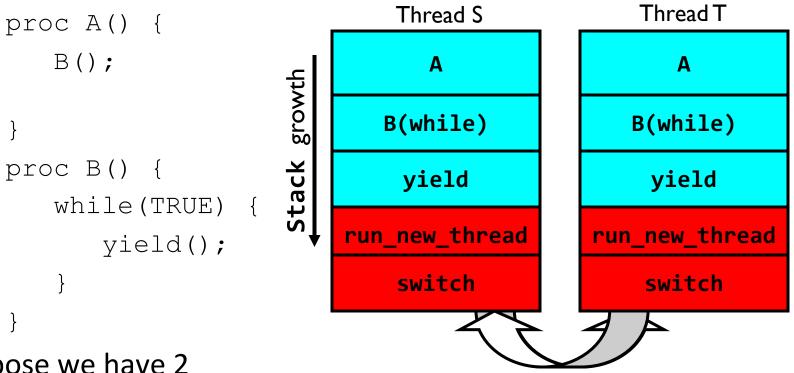


Recap: Context Switch



Recap: What Do the Stacks Look Like?

• Consider the following code blocks:



- Suppose we have 2 threads:
 - Threads S and T

Thread S's switch returns to Thread T's (and vice versa)

Saving/Restoring state (often called "Context Switch)

```
Switch(tCur,tNew) {
    /* Unload old thread */
    TCB[tCur].regs.r7 = CPU.r7;
    ...
    TCB[tCur].regs.r0 = CPU.r0;
    TCB[tCur].regs.sp = CPU.sp;
    TCB[tCur].regs.retpc = CPU.retpc; /*return addr*/
```

```
/* Load and execute new thread */
CPU.r7 = TCB[tNew].regs.r7;
```

```
...
CPU.r0 = TCB[tNew].regs.r0;
CPU.sp = TCB[tNew].regs.sp;
CPU.retpc = TCB[tNew].regs.retpc;
return; /* Return to CPU.retpc */
```

}

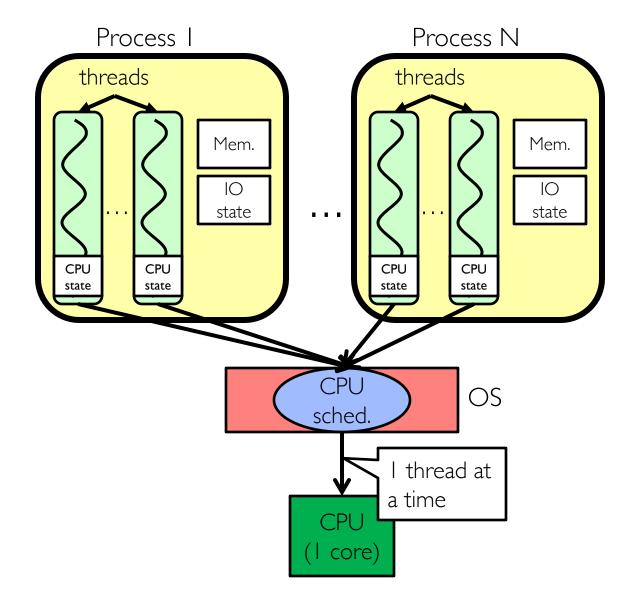
Switch Details (continued)

- What if you make a mistake in implementing switch?
 - Suppose you forget to save/restore register 32
 - Get intermittent failures depending on when context switch occurred and whether new thread uses register 32
 - System will give wrong result without warning
- Can you devise an exhaustive test to test switch code?
 - Very challenging! Too many combinations and interleavings
- Cautionary tale:
 - For speed, Topaz kernel saved one instruction in switch()
 - Carefully documented! Only works as long as kernel size < 1MB
 - What happened?
 - » Time passed, People forgot
 - » Later, they added features to kernel (no one removes features!)
 - » Very weird behavior started happening
 - Moral of story: Design for simplicity

Aren't we still switching contexts?

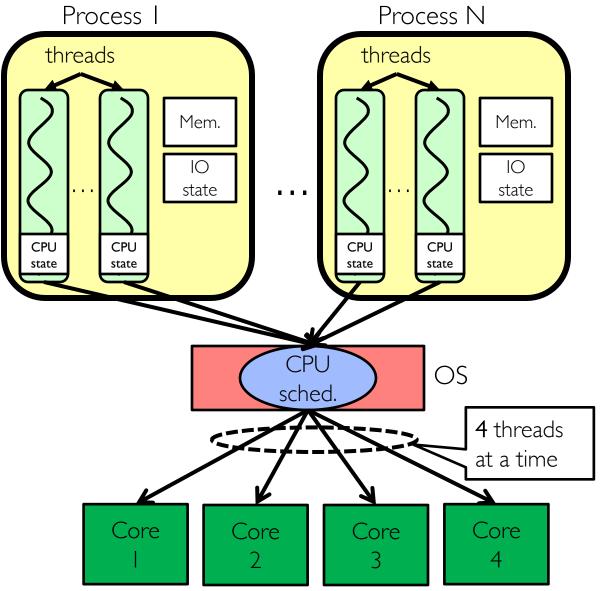
- Yes, but much cheaper than switching processes
 - No need to change address space
- Some numbers from Linux:
 - Frequency of context switch: 10-100ms
 - Switching between processes: 3-4 μs
 - Switching between threads: 100 ns
- Even cheaper: switch threads (using "yield") in user-space!

Processes vs. Threads



- Switch overhead:
 - Same process: low
 - Different process: high
- Protection
 - Same process : low
 - Different process : high
- Sharing overhead
 - Same process : low
 - Different process : high
- Parallelism: no

Processes vs. Threads



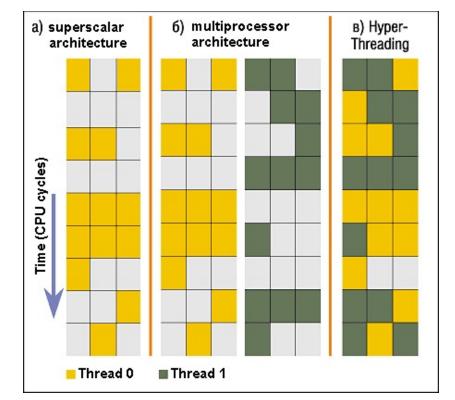
- Switch overhead:
 - Same process: low
 - Different process: high
- Protection
 - Same process : low
 - Different process : high
- Sharing overhead
 - Same process : low
 - Different process, simultaneous core: medium
 - Different process,
 offloaded core: high
- Parallelism: yes

Simultaneous MultiThreading/Hyperthreading

- Hardware scheduling technique
 - Superscalar processors can execute multiple instructions that are independent.
 - Hyperthreading duplicates register state to make a second "thread," allowing more instructions to run.
- Can schedule each thread as if were separate CPU

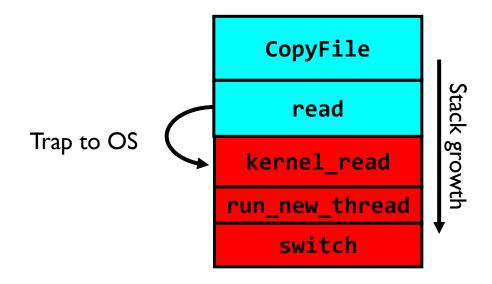
 But, sub-linear speedup!

- Original technique called "Simultaneous Multithreading"
 - <u>http://www.cs.washington.edu/research/smt/index.html</u>
 - SPARC, Pentium 4/Xeon ("Hyperthreading"), Power 5



Colored blocks show instructions executed

What happens when thread blocks on I/O?



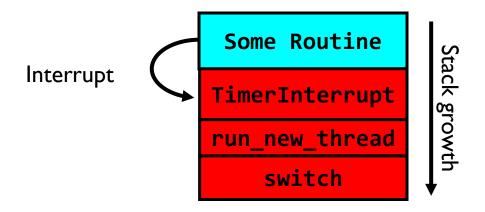
- What happens when a thread requests a block of data from the file system?
 - User code invokes a system call
 - Read operation is initiated
 - Run new thread/switch
- Thread communication similar
 - Wait for Signal/Join
 - Networking

External Events

- What happens if thread never does any I/O, never waits, and never yields control?
 - Could the ComputePI program grab all resources and never release the processor?
 - » What if it didn't print to console?
 - Must find way that dispatcher can regain control!
- Answer: utilize external events
 - Interrupts: signals from hardware or software that stop the running code and jump to kernel
 - Timer: like an alarm clock that goes off every some milliseconds
- If we make sure that external events occur frequently enough, can ensure dispatcher runs

Use of Timer Interrupt to Return Control

- Solution to our dispatcher problem
 - Use the timer interrupt to force scheduling decisions

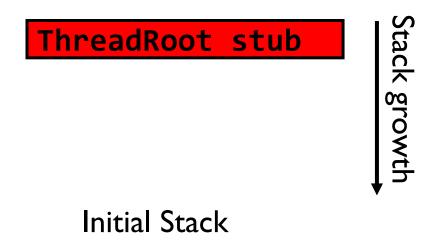


• Timer Interrupt routine:

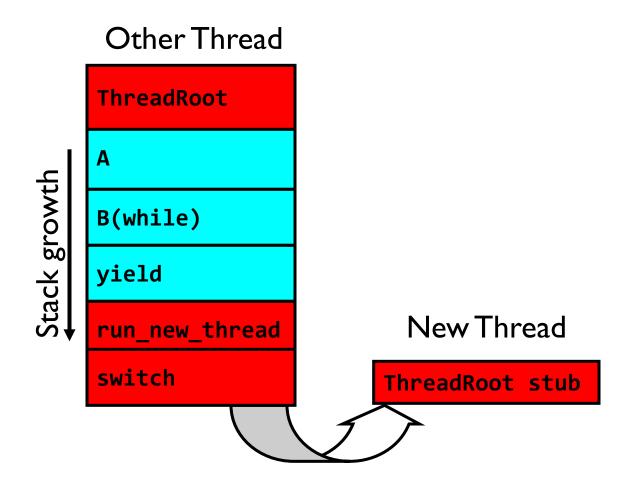
```
TimerInterrupt() {
    DoPeriodicHouseKeeping();
    run_new_thread();
}
```

How do we initialize TCB and Stack?

- Initialize Register fields of TCB
 - Stack pointer made to point at stack
 - PC return address \Rightarrow OS (asm) routine ThreadRoot()
 - Two arg registers (a0 and a1) initialized to fcnPtr and fcnArgPtr, respectively

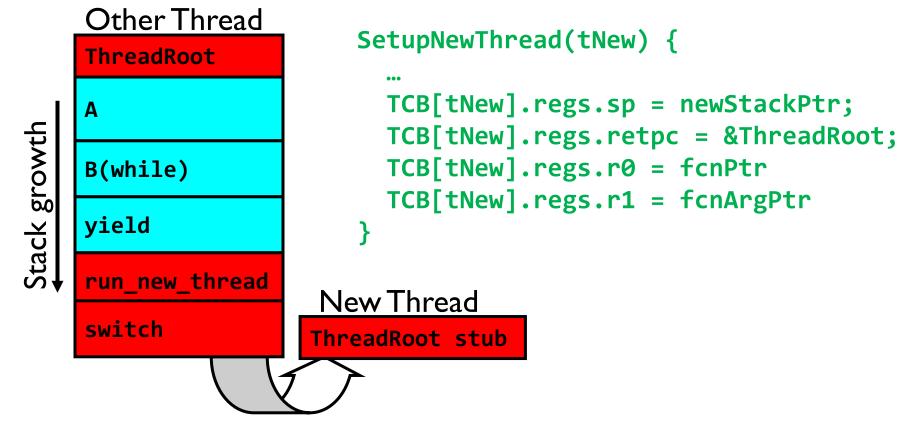


How does Thread get started?



- Eventually, run_new_thread() will select this TCB and return into beginning of ThreadRoot()
 - This really starts the new thread

How does a thread get started?



- How do we make a *new* thread?
 - Setup TCB/kernel thread to point at new user stack and ThreadRoot code
 - Put pointers to start function and args in registers
 - This depends heavily on the calling convention (i.e. RISC-V vs x86)
- Eventually, run_new_thread() will select this TCB and return into beginning of ThreadRoot()
 - This really starts the new thread

What does ThreadRoot() look like?

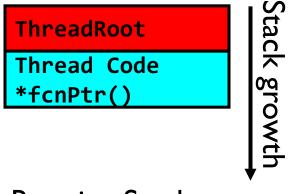
• ThreadRoot() is the root for the thread routine:

```
ThreadRoot(fcnPTR,fcnArgPtr) {
    DoStartupHousekeeping();
    UserModeSwitch(); /* enter user mode */
    Call fcnPtr(fcnArgPtr);
    ThreadFinish();
```

• Startup Housekeeping

}

- Includes things like recording start time of thread
- Other statistics
- Stack will grow and shrink with execution of thread
- Final return from thread returns into ThreadRoot() which calls ThreadFinish()
 - ThreadFinish() wake up sleeping threads



Running Stack

How to Read

You May Think You Already Know How To READ, But...

You Spend a Lot of Time Reading

- Reading for undergrad/grad classes
- Reviewing conference submissions
- Giving colleagues feedback
- Keeping up with your field
- Staying broadly educated
- Transitioning into a new areas
- Learning how to write better papers

It is worthwhile to learn to read *effectively*

Keshav's Three-Pass Approach: Step 1

- A ten-minute scan to get the general idea
 - Title, abstract, and introduction
 - Section and subsection titles
 - Conclusion and bibliography
- What to learn: the five C's
 - Category: What type of paper is it?
 - Context: What body of work does it relate to?
 - Correctness: Do the assumptions seem valid?
 - Contributions: What are the main research contributions?
 - Clarity: Is the paper well-written?
- Decide whether to read further...

Keshav's Three-Pass Approach: Step 2

- A more careful, one-hour reading
 - Read with greater care, but ignore details like proofs
 - Figures, diagrams, and illustrations
 - Mark relevant references for later reading
- Grasp the content of the paper
 - Be able to summarize the main idea
 - Identify whether you can (or should) fully understand
- Decide whether to
 - Abandon reading in greater depth
 - Read background material before proceeding further
 - Persevere and continue for a third pass

Keshav's Three-Pass Approach: Step 3

- Several-hour virtual re-implementation of the work
 - Making the same assumptions, recreate the work
 - Identify the paper's innovations and its failings
 - Identify and challenge every assumption
 - Think how you would present the ideas yourself
 - Jot down ideas for future work
- When should you read this carefully?
 - Reviewing for a conference or journal
 - Giving colleagues feedback on a paper
 - Understanding a paper closely related to your research
 - Deeply understanding a classic paper in the field

Other Tips for Reading Papers

- Read at the right level for what you need
 - "Work smarter, not harder"
- Read at the right time of day
 - When you are fresh, not sleepy
- Read in the right place
 - Where you are not distracted, and have enough time
- Read actively
 - With a purpose (what is your goal?)
 - With a pen or computer to take notes
- Read critically
 - Think, question, challenge, critique, ...

Context Switching in Modern OS

Shinjuku: Preemptive Scheduling for Microsecond-Scale Tail Latency

Kostis Kaffes, Timothy Chong, Jack Tigar Humphries, Adam Belay, David Mazières, Christos Kozyrakis



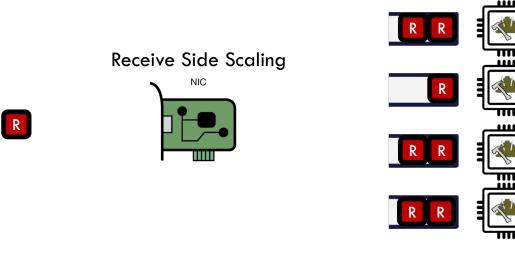


NSDI'19

Achieving low tail latency at microsecond scale is hard

Problem: High OS overheads

Solution: OS Bypass, polling (no interrupts), run-to-completion (no scheduling) Distributed Queues + First Come First Serve scheduling d-FCFS (DPDK, IX, Arrakis)

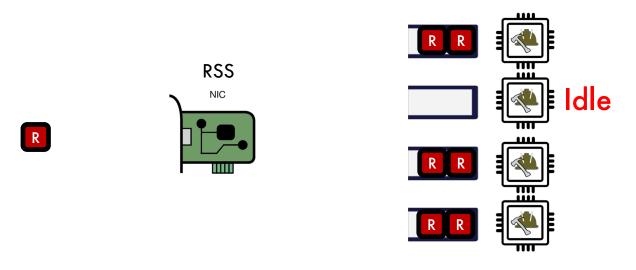


Worker Cores

3

Achieving low tail latency at microsecond scale is hard

Problem: Queue imbalance because d-FCFS is not work conserving

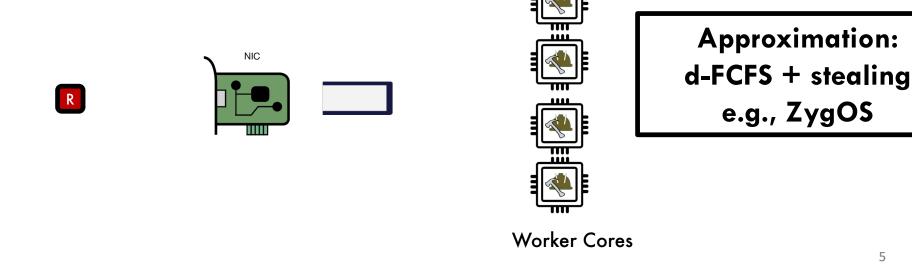


Worker Cores

4

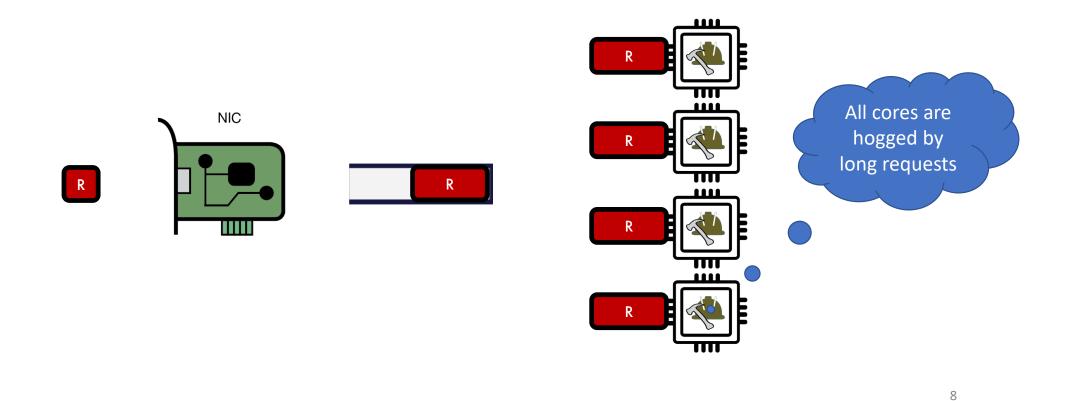
Achieving low tail latency at microsecond scale is hard

Problem: Queue imbalance because d-FCFS is not work conserving Solution: Centralized queue - c-FCFS

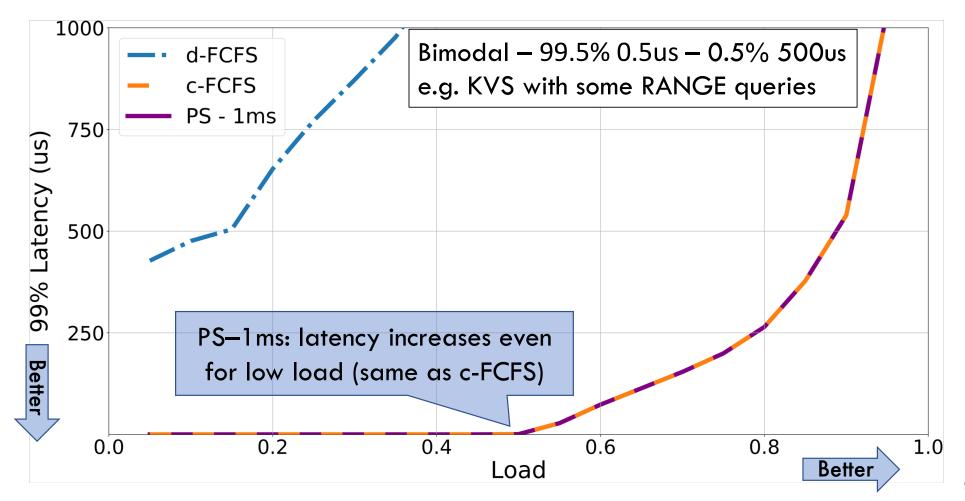


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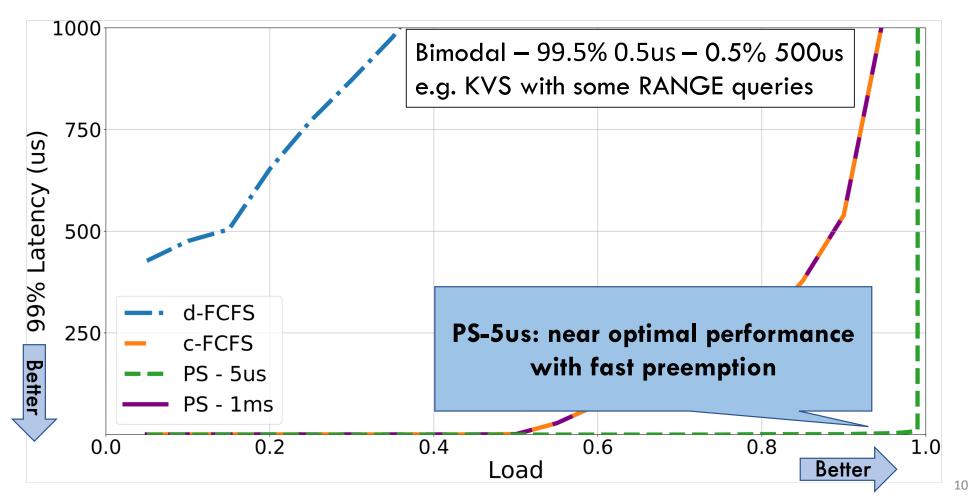
Problem: Short requests get stuck behind long ones



What if we could use the same preemptive scheduling as Linux?



Solution: What if we could use preemptive scheduling but at usec scale?



Solution: Shinjuku

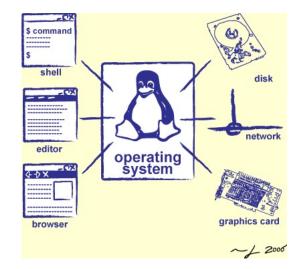
A single address-space operating system that achieves microsecond-scale tail latency for all types of workloads regardless of variability in task duration

Key Features: Preemption as often as 5us

- Dedicated core for scheduling and queue management
- Leverage hardware support for virtualization for fast preemption
- Very fast context switching in user space
- Match scheduling policy to task distribution and target latency

Agenda: Synchronization

- How does an OS provide concurrency through threads?
 - Brief discussion of process/thread states and scheduling
 - High-level discussion of how stacks contribute to concurrency
- Introduce needs for synchronization
- Discussion of Locks and Semaphores

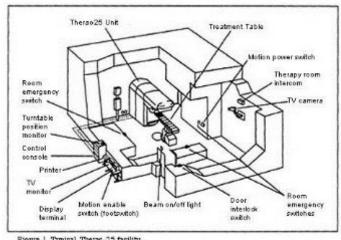


Correctness with Concurrent Threads?

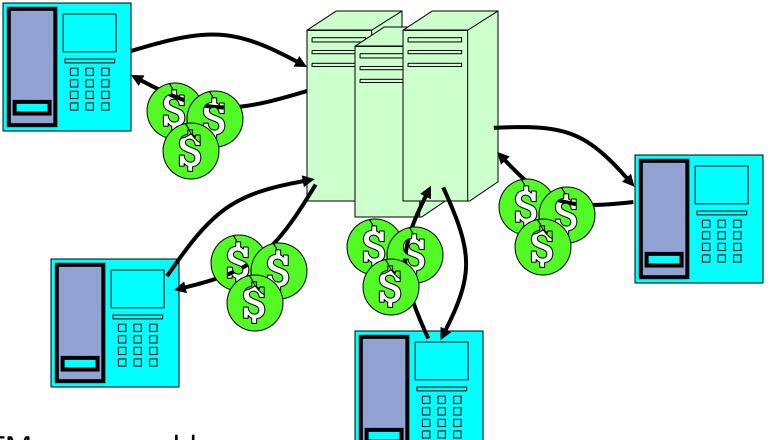
- Non-determinism:
 - Scheduler can run threads in any order
 - Scheduler can switch threads at any time
 - This can make testing very difficult
- Independent Threads
 - No state shared with other threads
 - Deterministic, reproducible conditions
- Cooperating Threads
 - Shared state between multiple threads
- Goal: Correctness by Design

Concurrency is Hard!

- Even for practicing engineers trying to write mission-critical, bulletproof code!
 - Threaded programs must work for all interleavings of thread instruction sequences
 - Cooperating threads inherently non-deterministic and non-reproducible
 - Really hard to debug unless carefully designed!
- Therac-25: Radiation Therapy Machine with Unintended Overdoses
 - Concurrency errors caused the death of a number of patients by misconfiguring the radiation production
 - Improper synchronization between input from operators and positioning software
- Mars Pathfinder Priority Inversion (JPL Account)
- Toyota Uncontrolled Acceleration (<u>CMU Talk</u>)
 - 256.6K Lines of C Code, ~9-11K global variables
 - Inconsistent mutual exclusion on reads/writes



ATM Bank Server



- ATM server problem:
 - Service a set of requests
 - Do so without corrupting database
 - Don't hand out too much money

ATM bank server example

 Suppose we wanted to implement a server process to handle requests from an ATM network:

```
BankServer() {
   while (TRUE) {
      ReceiveRequest(&op, &acctId, &amount);
      ProcessRequest(op, acctId, amount);
ProcessRequest(op, acctId, amount)
   if (op == deposit) Deposit(acctId, amount);
   else if ...
Deposit(acctId, amount) {
   acct = GetAccount(acctId); /* may use disk I/O */
   acct->balance += amount;
   StoreAccount(acct); /* Involves disk I/O */
```

- How could we speed this up?
 - More than one request being processed at once
 - Event driven (overlap computation and I/O)
 - Multiple threads (multi-processing, or overlap computation and I/O)

Event Driven Version of ATM server

- Suppose we only had one CPU
 - Still like to overlap I/O with computation
 - Without threads, we would have to rewrite in event-driven style
- Example

```
BankServer() {
    while(TRUE) {
        event = WaitForNextEvent();
        if (event == ATMRequest)
            StartOnRequest();
        else if (event == AcctAvail)
            ContinueRequest();
        else if (event == AcctStored)
            FinishRequest();
    }
}
```

- What if we missed a blocking I/O step?
- What if we have to split code into hundreds of pieces which could be blocking?
- This technique is used for graphical programming

Can Threads Make This Easier?

• Threads yield overlapped I/O and computation without "deconstructing" code into non-blocking fragments

One thread per request

• Requests proceeds to completion, blocking as required:

```
Deposit(acctId, amount) {
   acct = GetAccount(actId); /* May use disk I/O */
   acct->balance += amount;
   StoreAccount(acct); /* Involves disk I/O */
}
```

• Unfortunately, shared state can get corrupted:

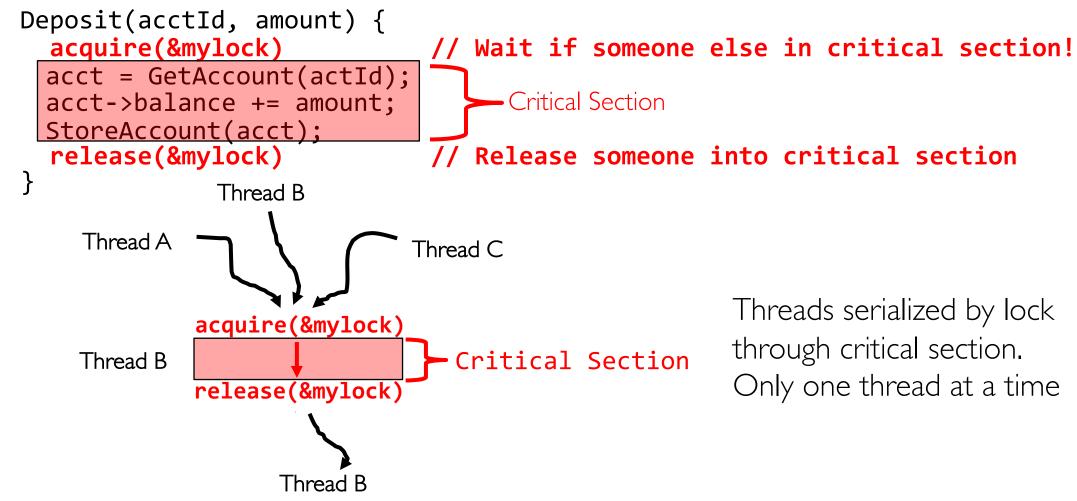
<u>Thread 1</u>	<u>Thread 2</u>
load r1, acct->balance	
	<pre>load r1, acct->balance add r1, amount2 store r1, acct->balance</pre>
add r1, amount1	
store r1, acct->balance	

Atomic Operations

- To understand a concurrent program, we need to know what the underlying indivisible operations are!
- Atomic Operation: an operation that always runs to completion or not at all
 - It is *indivisible*: it cannot be stopped in the middle and state cannot be modified by someone else in the middle
 - Fundamental building block if no atomic operations, then have no way for threads to work together
- On most machines, memory references and assignments (i.e. loads and stores) of words are atomic
- Many instructions are not atomic
 - Double-precision floating point store often not atomic
 - VAX and IBM 360 had an instruction to copy a whole array

Fix banking problem with Locks!

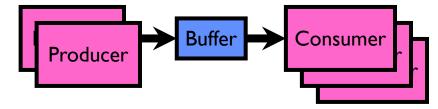
• Identify critical sections (atomic instruction sequences) and add locking:



- Must use SAME lock (mylock) with all of the methods (Withdraw, etc...)
 - Shared with all threads!

Producer-Consumer with a Bounded Buffer

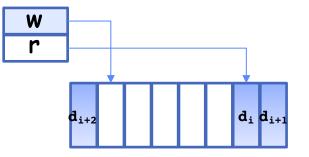
- Problem Definition
 - Producer(s) put things into a shared buffer
 - Consumer(s) take them out
 - Need synchronization to coordinate producer/consumer
- Don't want producer and consumer to have to work in lockstep, so put a fixed-size buffer between them
 - Need to synchronize access to this buffer
 - Producer needs to wait if buffer is full
 - Consumer needs to wait if buffer is empty
- Example: Coke machine
 - Producer can put limited number of Cokes in machine
 - Consumer can't take Cokes out if machine is empty
- Others: Web servers, Routers,





Circular Buffer Data Structure (sequential case)

```
typedef struct buf {
    int write_index;
    int read_index;
    <type> *entries[BUFSIZE];
} buf t;
```



- Insert: write & bump write ptr (enqueue)
- Remove: read & bump read ptr (dequeue)
- How to tell if Full (on insert) Empty (on remove)?
- And what do you do if it is?
- What needs to be atomic?

Group Discussion

- Topic: Circular Buffer
 - How to implement it with locks?
 - How to implement it with semaphores?
 - What are the pros and cons of each solution?

```
Producer(item) {
    enqueue(item);
}
Consumer() {
    item = dequeue();
    return item;
}
```

- Discuss in groups of two to three students
 - Each group chooses a leader to summarize the discussion
 - In your group discussion, please do not dominate the discussion, and give everyone a chance to speak

Circular Buffer – first cut

mutex buf_lock = <initially unlocked>

```
Producer(item) {
  acquire(&buf lock);
  while (buffer full) {}; // Wait for a free slot
  enqueue(item);
  release(&buf_lock);
                                 Will we ever come out of
                                 the wait loop?
Consumer() {
  acquire(&buf lock);
  while (buffer empty) {}; // Wait for arrival
  item = dequeue();
  release(&buf_lock);
  return item;
```

Circular Buffer – 2nd cut

mutex buf_lock = <initially unlocked>

```
Producer(item) {
  acquire(&buf lock);
 while (buffer full) {release(&buf_lock); acquire(&buf_lock);}
  enqueue(item);
 release(&buf_lock);
                                    What happens when one
                                    is waiting for the other?
Consumer() {
  acquire(&buf lock);
 while (buffer empty) {release(&buf_lock); acquire(&buf_lock);}
  item = dequeue();
  release(&buf_lock);
  return item;
```

Recall: Semaphores

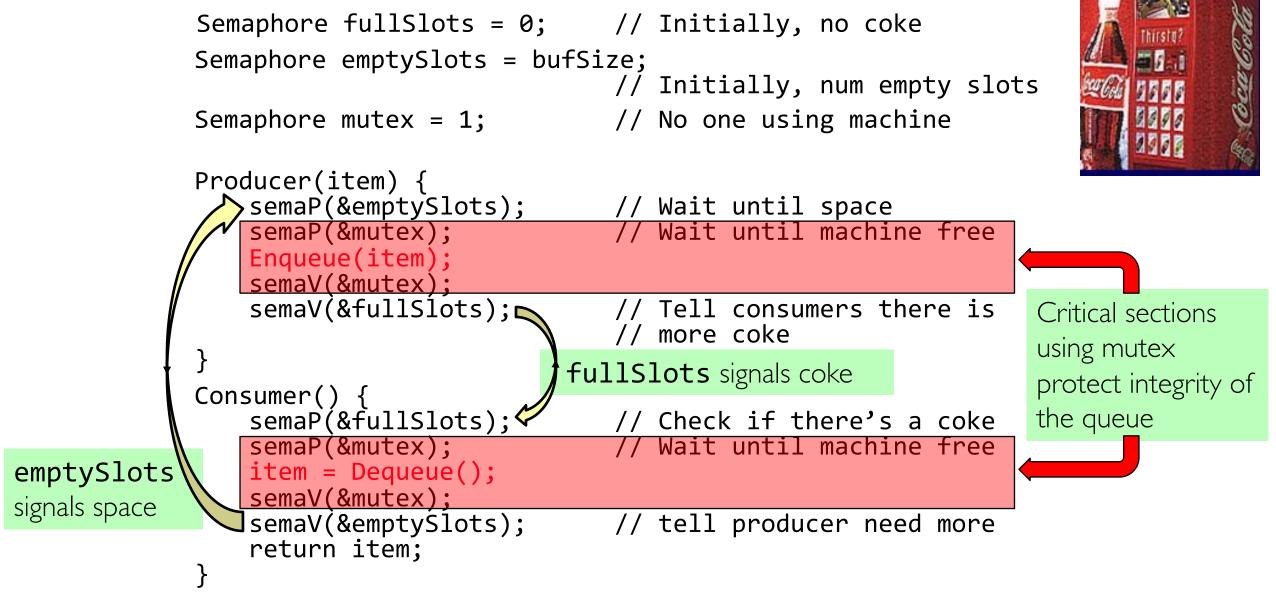
- Semaphores are a kind of generalized lock
 - First defined by Dijkstra in late 60s
 - Main synchronization primitive used in original UNIX
- Definition: a Semaphore has a non-negative integer value and supports the following two operations:
 - Down() or P(): an atomic operation that waits for semaphore to become positive, then decrements it by 1
 - » Think of this as the wait() operation
 - Up() or V(): an atomic operation that increments the semaphore by 1, waking up a waiting P, if any
 - » This of this as the signal() operation
 - Note that P() stands for "proberen" (to test) and V() stands for "verhogen" (to increment) in Dutch



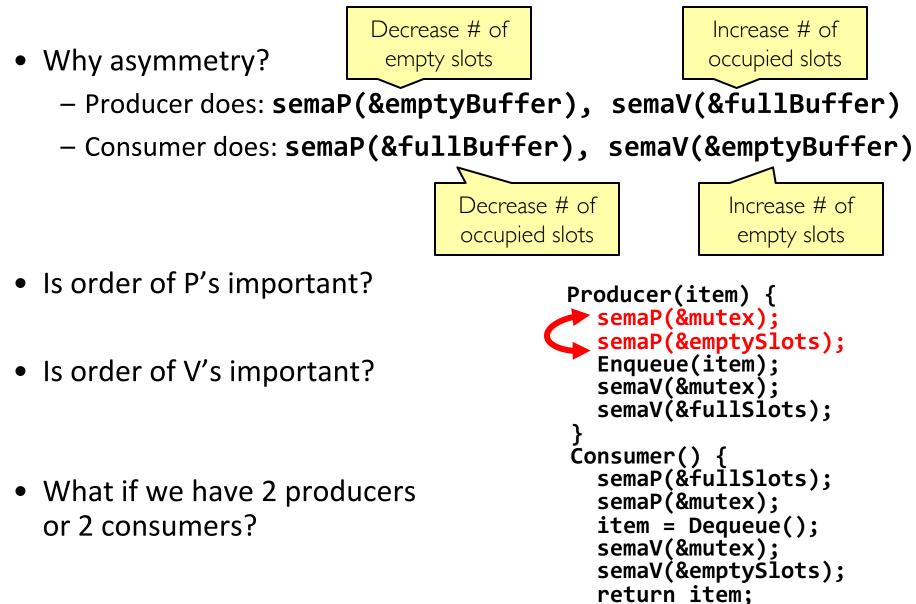
Revisit Bounded Buffer: Correctness constraints for solution

- Correctness Constraints:
 - Consumer must wait for producer to fill buffers, if none full (scheduling constraint)
 - Producer must wait for consumer to empty buffers, if all full (scheduling constraint)
 - Only one thread can manipulate buffer queue at a time (mutual exclusion)
- Remember why we need mutual exclusion
 - Because computers are stupid
 - Imagine if in real life: the delivery person is filling the machine and somebody comes up and tries to stick their money into the machine
- General rule of thumb: Use a separate semaphore for each constraint
 - Semaphore fullBuffers; // consumer's constraint
 - Semaphore emptyBuffers;// producer's constraint
 - Semaphore mutex; // mutual exclusion

Full Solution to Bounded Buffer (coke machine)



Discussion about Solution



Where are we going with synchronization?

Programs	Shared Programs
Higher- level API	Locks Semaphores Monitors Send/Receive
Hardware	Load/Store Disable Ints Test&Set Compare&Swap

- We are going to implement various higher-level synchronization primitives using atomic operations
 - Everything is pretty painful if only atomic primitives are load and store
 - Need to provide primitives useful at user-level

Motivating Example: "Too Much Milk"

- Great thing about OS's analogy between problems in OS and problems in real life
 - Help you understand real life problems better
 - But, computers are much stupider than people
- Example: People need to coordinate:



Time	Person A	Person B
3:00	Look in Fridge. Out of milk	
3:05	Leave for store	
3:10	Arrive at store	Look in Fridge. Out of milk
3:15	Buy milk	Leave for store
3:20	Arrive home, put milk away	Arrive at store
3:25		Buy milk
3:30		Arrive home, put milk away

Recall: What is a lock?

- Lock: prevents someone from doing something
 - Lock before entering critical section and before accessing shared data
 - Unlock when leaving, after accessing shared data
 - Wait if locked
 - » Important idea: all synchronization involves waiting
- For example: fix the milk problem by putting a key on the refrigerator
 - Lock it and take key if you are going to go buy milk
 - Fixes too much: roommate angry if only wants orange juice



- Of Course We don't know how to make a lock yet
 - Let's see if we can answer this question!

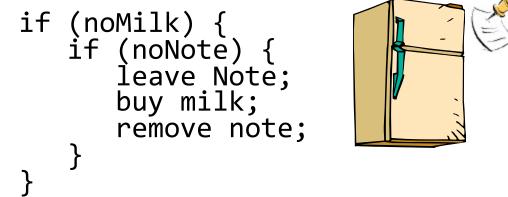


Too Much Milk: Correctness Properties

- Need to be careful about correctness of concurrent programs, since nondeterministic
 - Impulse is to start coding first, then when it doesn't work, pull hair out
 - Instead, think first, then code
 - Always write down behavior first
- What are the correctness properties for the "Too much milk" problem???
 - Never more than one person buys
 - Someone buys if needed
- First attempt: Restrict ourselves to use only atomic load and store operations as building blocks

Too Much Milk: Solution #1

- Use a note to avoid buying too much milk:
 - Leave a note before buying (kind of "lock")
 - Remove note after buying (kind of "unlock")
 - Don't buy if note (wait)
- Suppose a computer tries this (remember, only memory read/write are atomic):



Too Much Milk: Solution #1

- Use a note to avoid buying too much milk:
 - Leave a note before buying (kind of "lock")
 - Remove note after buying (kind of "unlock")
 - Don't buy if note (wait)
- Suppose a computer tries this (remember, only memory read/write are atomic):

```
Thread A
                                  Thread B
if (noMilk) {
                                if (noMilk) {
                                   if (noNote) {
   if (noNote) {
     leave Note;
     buy Milk;
     remove Note;
}
                                      leave Note;
                                      buy Milk;
                                      remove Note;
                                }
```

Too Much Milk: Solution #1

- Use a note to avoid buying too much milk:
 - Leave a note before buying (kind of "lock")
 - Remove note after buying (kind of "unlock")
 - Don't buy if note (wait)
- Suppose a computer tries this (remember, only memory read/write are atomic):

```
if (noMilk) {
    if (noNote) {
        leave Note;
        buy milk;
        remove note;
    }
}
```



- Result?
 - Still too much milk but only occasionally!
 - Thread can get context switched after checking milk and note but before buying milk!
- Solution makes problem worse since fails intermittently
 - Makes it really hard to debug...
 - Must work despite what the dispatcher does!

Too Much Milk: Solution #1¹/₂

- Clearly the Note is not quite blocking enough
 Let's try to fix this by placing note first
- Another try at previous solution:

```
leave Note;
if (noMilk) {
    if (noNote) {
        buy milk;
    }
}
remove Note;
```

- What happens here?
 - Well, with human, probably nothing bad
 - With computer: no one ever buys milk



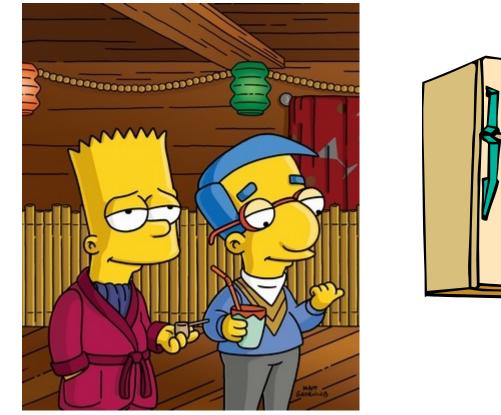
Too Much Milk Solution #2

- How about labeled notes?
 - Now we can leave note before checking
- Algorithm looks like this:

<u>Thread A</u>	<u>Thread B</u>
<pre>leave note A; if (noNote B) { if (noMilk) { buy Milk; } }</pre>	<pre>leave note B; if (noNoteA) { if (noMilk) { buy Milk; } }</pre>
remove note A;	remove note B;

- Does this work?
- Possible for neither thread to buy milk
 - Context switches at exactly the wrong times can lead each to think that the other is going to buy
- Really insidious:
 - Extremely unlikely this would happen, but will at worse possible time
 - Probably something like this in UNIX

Too Much Milk Solution #2: problem!



- *I'm* not getting milk, *You're* getting milk
- This kind of lockup is called "starvation!"

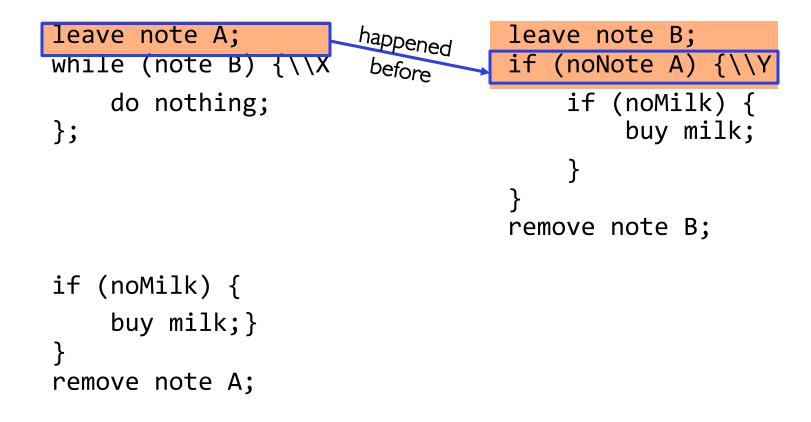
Too Much Milk Solution #3

• Here is a possible two-note solution:

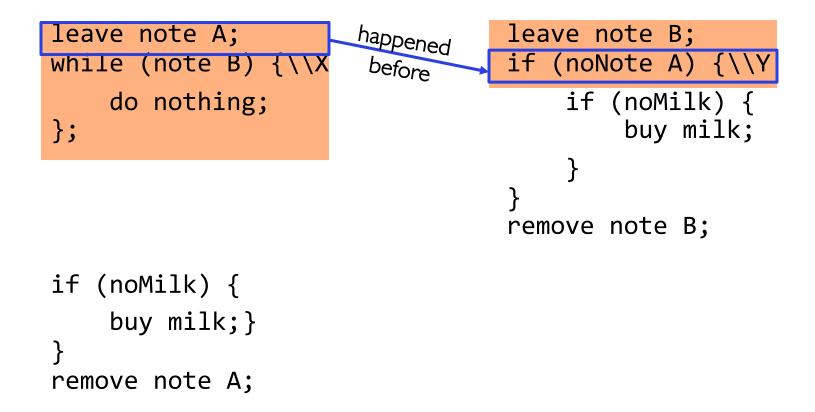
```
Thread AThread Bleave note A;leave note B;while (note B) {\\Xif (noNote A) {\\Ydo nothing;if (noMilk) {}buy milk;}}remove note A;remove note B;
```

- Does this work? Yes. Both can guarantee that:
 - It is safe to buy, or
 - Other will buy, ok to quit
- At X:
 - If no note B, safe for A to buy,
 - Otherwise wait to find out what will happen
- At Y:
 - If no note A, safe for B to buy
 - Otherwise, A is either buying or waiting for B to quit

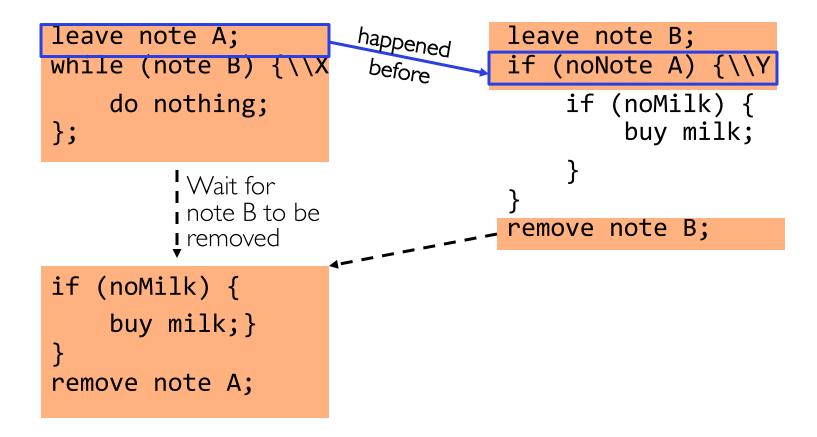
• "leave note A" happens before "if (noNote A)"



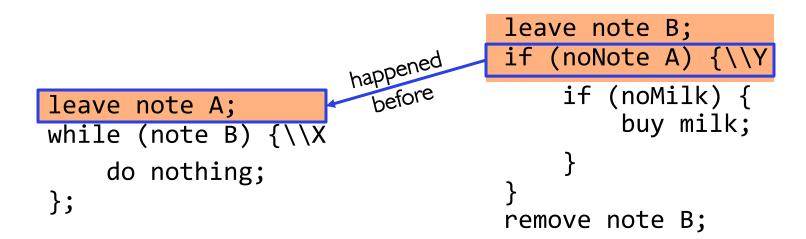
• "leave note A" happens before "if (noNote A)"



• "leave note A" happens before "if (noNote A)"

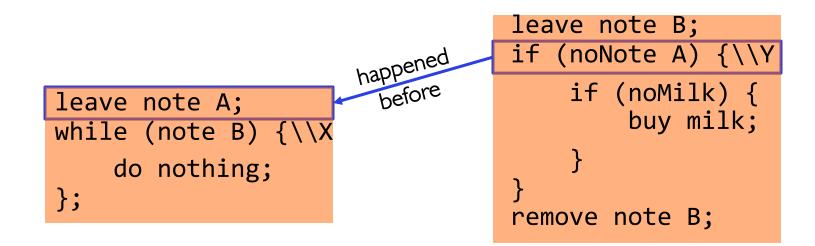


• "if (noNote A)" happens before "leave note A"



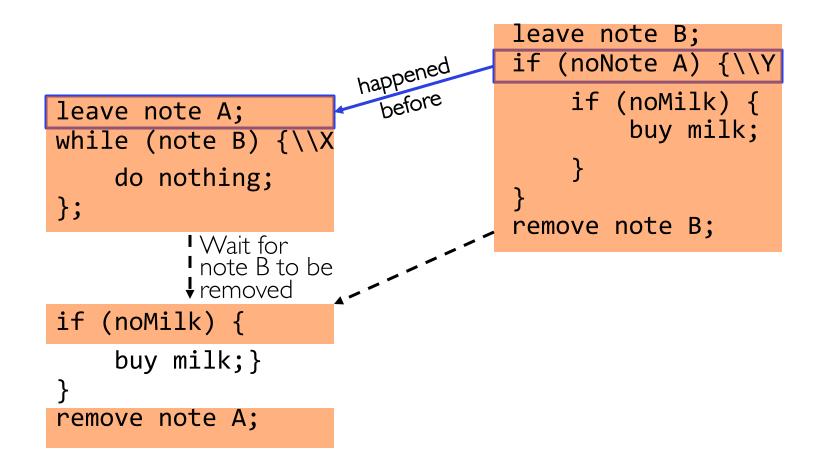
if (noMilk) {
 buy milk;}
}
remove note A;

• "if (noNote A)" happens before "leave note A"



if (noMilk) {
 buy milk;}
}
remove note A;

• "if (noNote A)" happens before "leave note A"



Conclusion

- Concurrency accomplished by multiplexing CPU time:
 - Unloading current thread (PC, registers)
 - Loading new thread (PC, registers)
 - Such context switching may be voluntary (yield(), I/O) or involuntary (interrupts)
- TCB + Stacks hold complete state of thread for restarting
- Atomic Operation: an operation that always runs to completion or not at all
- Synchronization: using atomic operations to ensure cooperation between threads
- Mutual Exclusion: ensuring that only one thread does a particular thing at a time
 - One thread *excludes* the other while doing its task
- Critical Section: piece of code that only one thread can execute at once. Only one thread at a time will get into this section of code
- Locks: synchronization mechanism for enforcing mutual exclusion on critical sections to construct atomic operations
- Semaphores: synchronization mechanism for enforcing resource constraints