



# Synchronization: Advanced

18-213/18-613: Introduction to Computer Systems  
24<sup>th</sup> Lecture, November 29, 2022

# Announcements

- **Proxy Lab Checkpoint due Thursday (Dec 1)**
  - Last Turn-in date Friday!
- **Homework #12 due Thursday (Dec 1)**
  - Last Homework of the semester
- **Proxy Lab Final due Friday Dec 9**
  - Last Turn-in date is Dec 10

# Review: Semaphores

- ***Semaphore***: non-negative global integer synchronization variable
- **Manipulated by  $P$  and  $V$  operations:**
  - $P(s)$ : [ `while (s == 0) wait(); s--;` ]
    - Dutch for “Proberen” (test)
  - $V(s)$ : [ `s++;` ]
    - Dutch for “Verhogen” (increment)
- **OS kernel guarantees that operations between brackets [ ] are executed indivisibly/atomically**
  - Only one  $P$  or  $V$  operation at a time can modify  $s$ .
  - When `while` loop in  $P$  terminates, only that  $P$  can decrement  $s$
- **Semaphore invariant:  $s \geq 0$**

# Review: Using Semaphores to Protect Shared Resources via Mutual Exclusion

## ■ Basic idea:

- Associate a unique semaphore *mutex*, initially 1, with each shared variable (or related set of shared variables)
- Surround each access to the shared variable(s) with  $P(mutex)$  and  $V(mutex)$  operations

```
mutex = 1
```

```
P(mutex)
```

```
cnt++
```

```
V(mutex)
```

# Review: Using Lock for Mutual Exclusion

## ■ Basic idea:

- Mutex is special case of semaphore that only has value 0 (locked) or 1 (unlocked)
- *Lock(m)*: [ `while (m == 0) ; m=0;`  ]
- *Unlock(m)*: [ `m=1` ]
- **~2x faster than using semaphore for this purpose**
- And, more clearly indicates programmer's intention

```
mutex = 1

lock (mutex)
cnt++
unlock (mutex)
```

vs.

```
mutex = 1

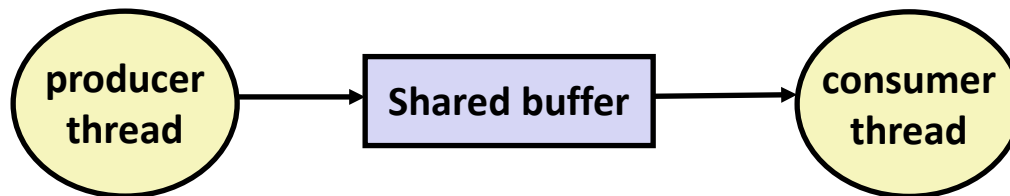
P (mutex)
cnt++
V (mutex)
```

# Note about Examples

- **Lecture examples will use semaphores for both counting and mutual exclusion**
  - Code is much shorter than using `pthread_mutex`

# Review: Using Semaphores to Coordinate Access to Shared Resources

- **Basic idea: Thread uses a semaphore operation to notify another thread that some condition has become true**
  - Use *counting semaphores* to keep track of resource state.
  - Use *binary semaphores* to notify other threads.
- **The Producer-Consumer Problem**



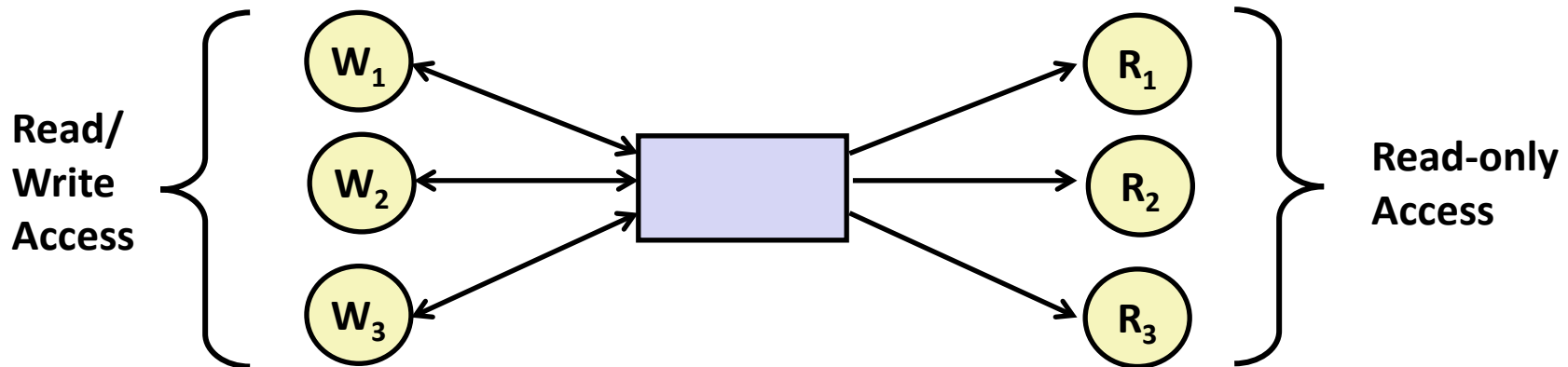
- Mediating interactions between processes that generate information and that then make use of that information
- *Single entry* buffer implemented with two binary semaphores
  - One to control access by producer(s)
  - One to control access by consumer(s)
- *N-entry* buffer implemented with semaphores + circular buffer



# Today

- **Using semaphores to schedule shared resources** **CSAPP 12.5.4**
  - Readers-writers problem
- **Other concurrency issues** **CSAPP 12.7**
  - Races
  - Deadlocks
  - Thread safety
  - Interactions between threads and signal handling

# Readers-Writers Problem



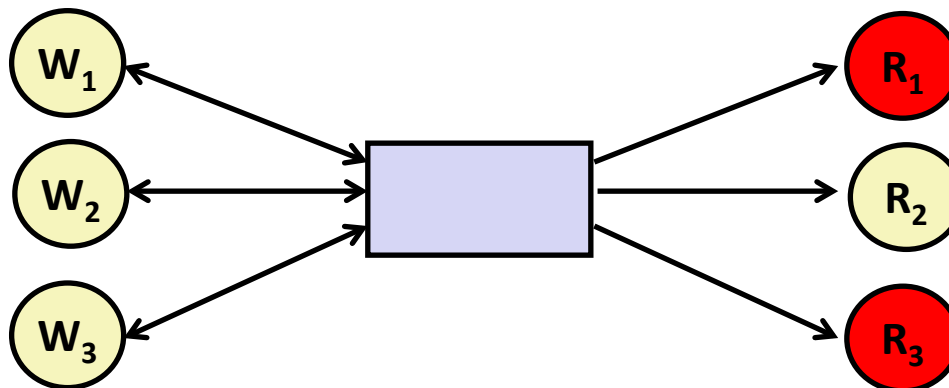
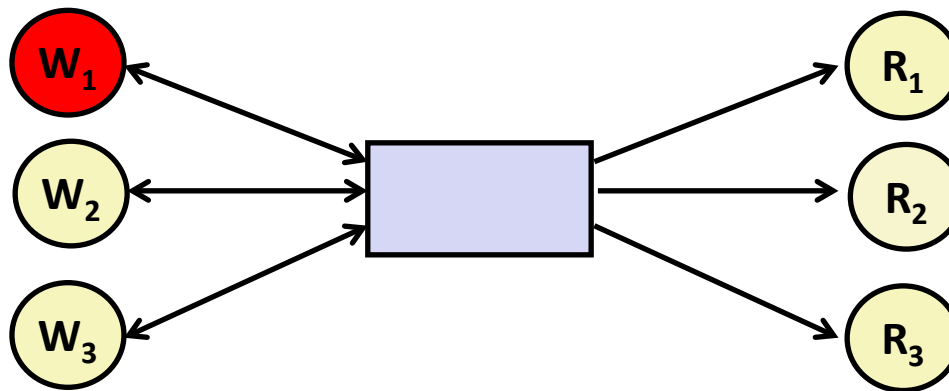
## ■ Problem statement:

- *Reader* threads only read the object
- *Writer* threads modify the object (read/write access)
- Writers must have exclusive access to the object
- Unlimited number of readers can access the object concurrently

## ■ Occurs frequently in real systems, e.g.,

- Online airline reservation system
- Multithreaded caching Web proxy

# Readers/Writers Examples



# Variants of Readers-Writers

- ***First readers-writers problem (favors readers)***
  - No reader should be kept waiting unless a writer has already been granted permission to use the object.
  - A reader that arrives after a waiting writer gets priority over the writer.
  
- ***Second readers-writers problem (favors writers)***
  - Once a writer is ready to write, it performs its write as soon as possible
  - A reader that arrives after a writer must wait, even if the writer is also waiting.
  
- ***Starvation (where a thread waits indefinitely) is possible in both cases.***

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;    /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w);

        /* Writing here */

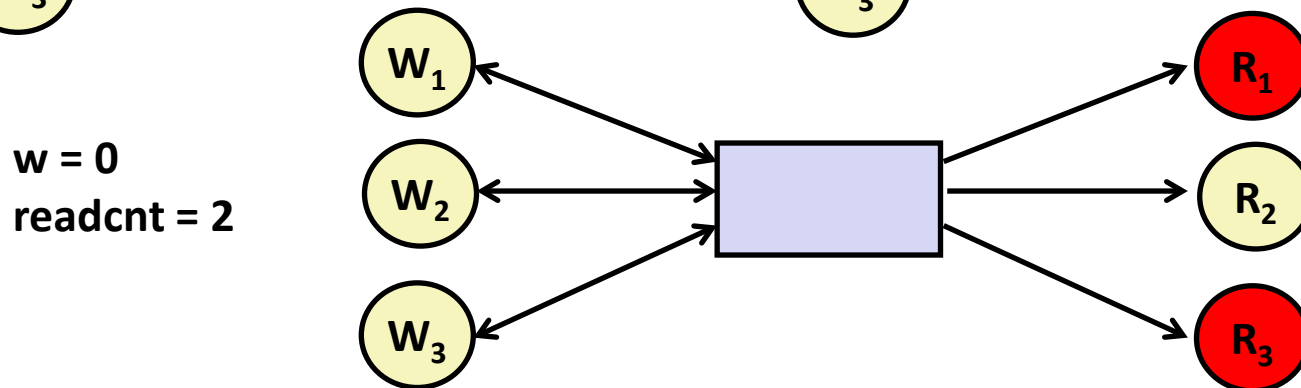
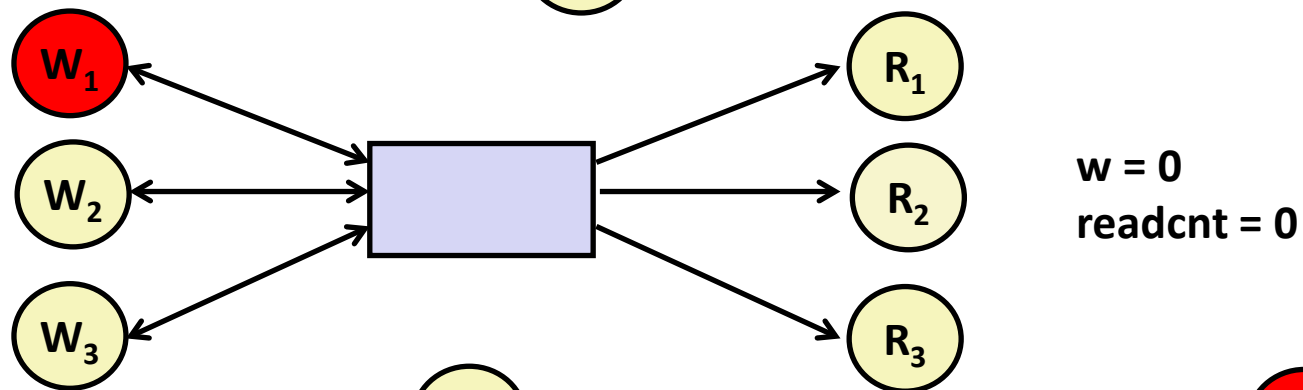
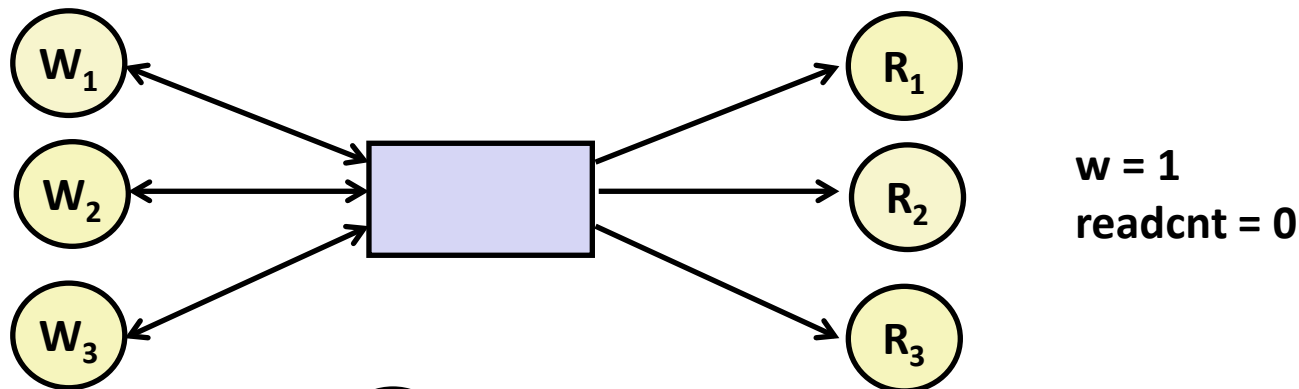
        V(&w);
    }
}

```

rw1.c

**A reader that arrives  
after a waiting writer  
gets priority over the writer**

# Readers/Writers Examples



# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;    /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w);

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;    /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

R1 →

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w);

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

readcnt == 1  
w == 0



# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;      /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        R2 → if (readcnt == 1) /* First in */
            P(&w);
            V(&mutex);

        R1 → /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w);

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

**readcnt == 2**  
**w == 0**

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;      /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

R2  
R1



## Writers:

```

void writer(void)
{
    while (1) {
        P(&w); ← W1

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

readcnt == 2  
w == 0

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;      /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w); ← W1

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

readcnt == 1  
w == 0

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;      /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        R3 → if (readcnt == 1) /* First in */
            P(&w);
            V(&mutex);

        /* Reading happens here */

        R2 → P(&mutex);
            readcnt--;
            if (readcnt == 0) /* Last out */
                V(&w);
            V(&mutex);

        R1 → }
    }
}

```

## Writers:

```

void writer(void)
{
    while (1) { ← W1
        P(&w);

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

readcnt == 2  
w == 0

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;      /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

**R3** →

**R2** →

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w); ← W1

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

readcnt == 1  
w == 0

# Solution to First Readers-Writers Problem

## Readers:

```

int readcnt;      /* Initially 0 */
sem_t mutex, w; /* Both initially 1 */

void reader(void)
{
    while (1) {
        P(&mutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&mutex);

        /* Reading happens here */

        P(&mutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&mutex);
    }
}

```

**R3** →

## Writers:

```

void writer(void)
{
    while (1) {
        P(&w); ← W1

        /* Writing here */

        V(&w);
    }
}

```

rw1.c

Arrivals: R1 R2 W1 R3

readcnt == 0  
w == 1

# Other Versions of Readers-Writers

## ■ Shortcoming of first solution

- Continuous stream of readers will block writers indefinitely

## ■ Second version

- Once writer comes along, blocks access to later readers
- Series of writes could block all reads

## ■ FIFO implementation

- See rwqueue code in code directory
- Service requests in order received
- Threads kept in FIFO
- Each has semaphore that enables its access to critical section

# Solution to Second Readers-Writers Problem

```

int readcnt, writecnt;           // Initially 0
sem_t rmutex, wmutex, r, w;    // Initially 1
void reader(void)
{
    while (1) {
        P(&r);
        P(&rmutex);
        readcnt++;
        if (readcnt == 1) /* First in */
            P(&w);
        V(&rmutex);
        V(&r)

        /* Reading happens here */

        P(&rmutex);
        readcnt--;
        if (readcnt == 0) /* Last out */
            V(&w);
        V(&rmutex);
    }
}

```

```

void writer(void)
{
    while (1) {
        P(&wmutex);
        writecnt++;
        if (writecnt == 1)
            P(&r);
        V(&wmutex);

        P(&w);
        /* Writing here */
        V(&w);

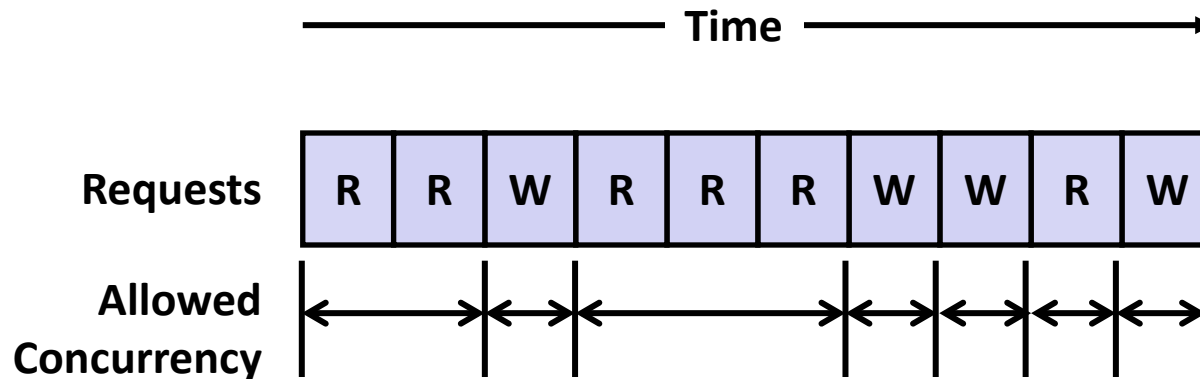
        P(&wmutex);
        writecnt--;
        if (writecnt == 0);
            V(&r);
        V(&wmutex);
    }
}

```

A reader that arrives after a writer must wait, even if the writer is also waiting



# Managing Readers/Writers with FIFO



## ■ Idea

- Read & Write requests are inserted into FIFO
- Requests handled as remove from FIFO
  - Read allowed to proceed if currently idle or processing read
  - Write allowed to proceed only when idle
- Requests inform controller when they have completed

## ■ Fairness

- Guarantee every request is eventually handled

# Readers Writers FIFO Implementation

- Full code in `rwqueue.{h,c}`

```
/* Queue data structure */
typedef struct {
    sem_t mutex;           // Mutual exclusion
    int reading_count;     // Number of active readers
    int writing_count;      // Number of active writers
    // FIFO queue implemented as linked list with tail
    rw_token_t *head;
    rw_token_t *tail;
} rw_queue_t;
```

```
/* Represents individual thread's position in queue */
typedef struct TOK {
    bool is_reader;
    sem_t enable;         // Enables access
    struct TOK *next;     // Allows chaining as linked list
} rw_token_t;
```

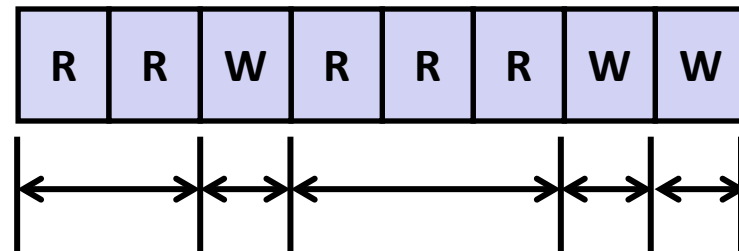
# Readers Writers FIFO Use

## ■ In rwqueue-test.c

```

/* Get write access to data and write */
void iwriter(int *buf, int v)
{
    rw_token_t tok;
    rw_queue_request_write(&q, &tok);
    /* Critical section */
    *buf = v;
    /* End of Critical Section */
    rw_queue_release(&q);
}

```



Enqueue write request.  
Blocked until its your turn.  
(One writer per turn)

Enqueue read request.  
Blocked until its your turn.  
(Multiple readers OK in same turn)

```

/* Get read access to data and read */
int ireader(int *buf)
{
    rw_token_t tok;
    rw_queue_request_read(&q, &tok);
    /* Critical section */
    int v = *buf;
    /* End of Critical section */
    rw_queue_release(&q);
    return v;
}

```

# Library Reader/Writer Lock

- Data type `pthread_rwlock_t`

- Operations

- Acquire read lock

```
pthread_rwlock_rdlock(pthread_rwlock_t *rwlock)
```

- Acquire write lock

```
pthread_rwlock_wrlock(pthread_rwlock_t *rwlock)
```

- Release (either) lock

```
pthread_rwlock_unlock(pthread_rwlock_t *rwlock)
```

- Observation

- Library must be used correctly!
  - Up to programmer to decide what requires read access and what requires write access

# Today

- **Using semaphores to schedule shared resources**
  - Readers-writers problem
- **Other concurrency issues**
  - **Races**
  - Deadlocks
  - Thread safety
  - Interactions between threads and signal handling

# Recall: One Worry: Races

- A *race* occurs when correctness of the program depends on one thread reaching point x before another thread reaches point y

```
/* a threaded program with a race */
int main(int argc, char** argv) {
    pthread_t tid[N];
    int i;
    for (i = 0; i < N; i++)
        Pthread_create(&tid[i], NULL, thread, &i);
    for (i = 0; i < N; i++)
        Pthread_join(tid[i], NULL);
    return 0;
}

/* thread routine */
void *thread(void *vargp) {
    int myid = *((int *)vargp);
    printf("Hello from thread %d\n", myid);
    return NULL;
}
```

# Race Elimination

- **Don't share state**

- E.g., use malloc to generate separate copy of argument for each thread

- **Use synchronization primitives to control access to shared state**

- Different shared state can use different primitives

# Today

- **Using semaphores to schedule shared resources**
  - Producer-consumer problem
- **Other concurrency issues**
  - Races
  - **Deadlocks**
  - Thread safety
  - Interactions between threads and signal handling



# Another Worry: Deadlock

- **Def: A process is *deadlocked* iff it is waiting for a condition that will never be true.**
- **Typical Scenario**
  - Processes 1 and 2 needs two resources (A and B) to proceed
  - Process 1 acquires A, waits for B
  - Process 2 acquires B, waits for A
  - Both will wait forever!
- **More fully (and beyond the scope of this course), a deadlock has four requirements**
  - Mutual exclusion
  - Circular waiting
  - Hold and wait
  - No pre-emption

# Deadlocking With Semaphores

```

int main(int argc, char** argv)
{
    pthread_t tid[2];
    Sem_init(&mutex[0], 0, 1);  /* mutex[0] = 1 */
    Sem_init(&mutex[1], 0, 1);  /* mutex[1] = 1 */
    Pthread_create(&tid[0], NULL, count, (void*) 0);
    Pthread_create(&tid[1], NULL, count, (void*) 1);
    Pthread_join(tid[0], NULL);
    Pthread_join(tid[1], NULL);
    printf("cnt=%d\n", cnt);
    return 0;
}

```

```

void *count(void *vargp)
{
    int i;
    int id = (int) vargp;
    for (i = 0; i < NITERS; i++) {
        P(&mutex[id]); P(&mutex[1-id]);
        cnt++;
        V(&mutex[id]); V(&mutex[1-id]);
    }
    return NULL;
}

```

```

Tid[0]:
P(s0);
P(s1);
cnt++;
V(s0);
V(s1);

```

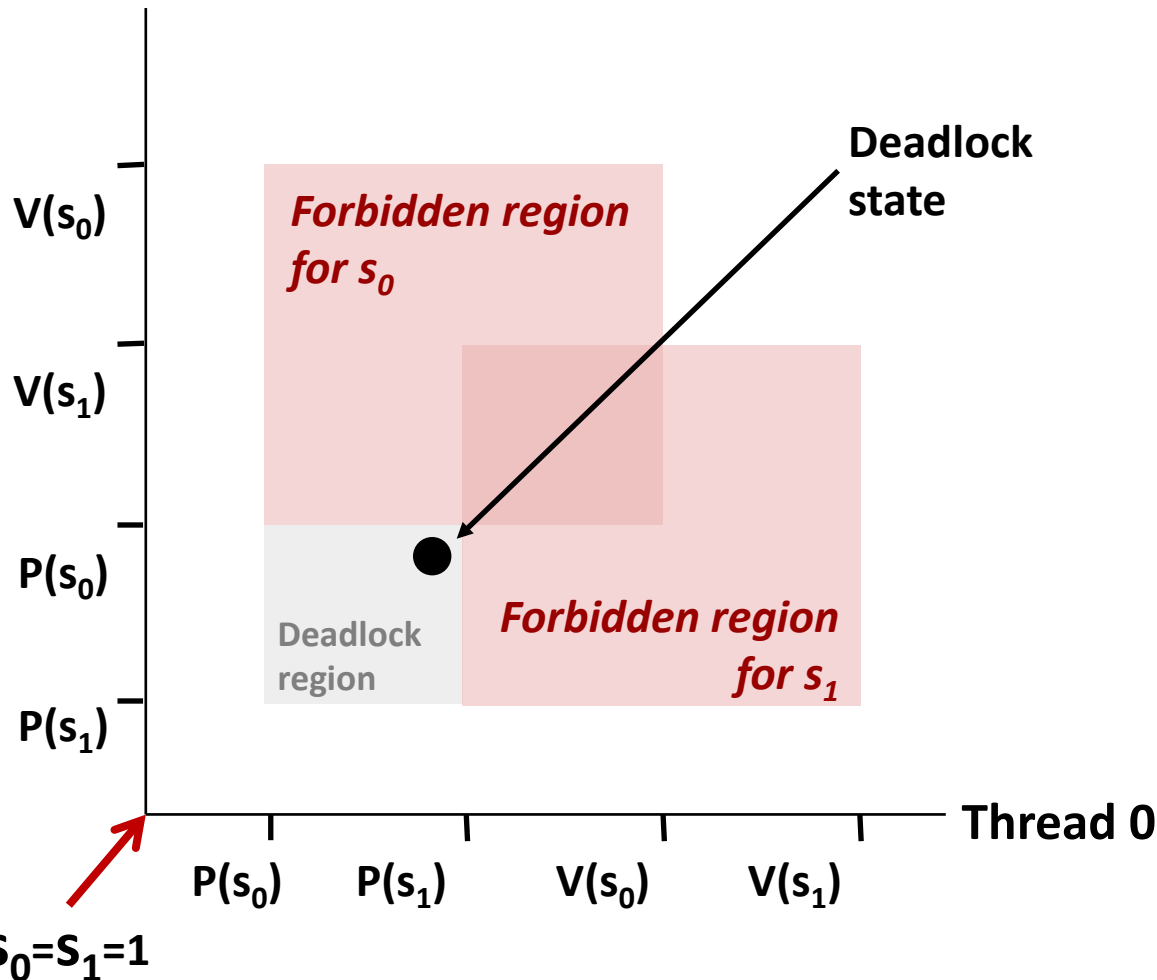
```

Tid[1]:
P(s1);
P(s0);
cnt++;
V(s1);
V(s0);

```

# Deadlock Visualized in Progress Graph

Thread 1



Locking introduces the potential for **deadlock**: waiting for a condition that will never be true

Any trajectory that enters the **deadlock region** will eventually reach the **deadlock state**, waiting for either  $s_0$  or  $s_1$  to become nonzero

Other trajectories luck out and skirt the deadlock region

Unfortunate fact: deadlock is often nondeterministic (race)

# Avoiding Deadlock

*Acquire shared resources in same order*

```
int main(int argc, char** argv)
{
    pthread_t tid[2];
    Sem_init(&mutex[0], 0, 1); /* mutex[0] = 1 */
    Sem_init(&mutex[1], 0, 1); /* mutex[1] = 1 */
    Pthread_create(&tid[0], NULL, count, (void*) 0);
    Pthread_create(&tid[1], NULL, count, (void*) 1);
    Pthread_join(tid[0], NULL);
    Pthread_join(tid[1], NULL);
    printf("cnt=%d\n", cnt);
    return 0;
}
```

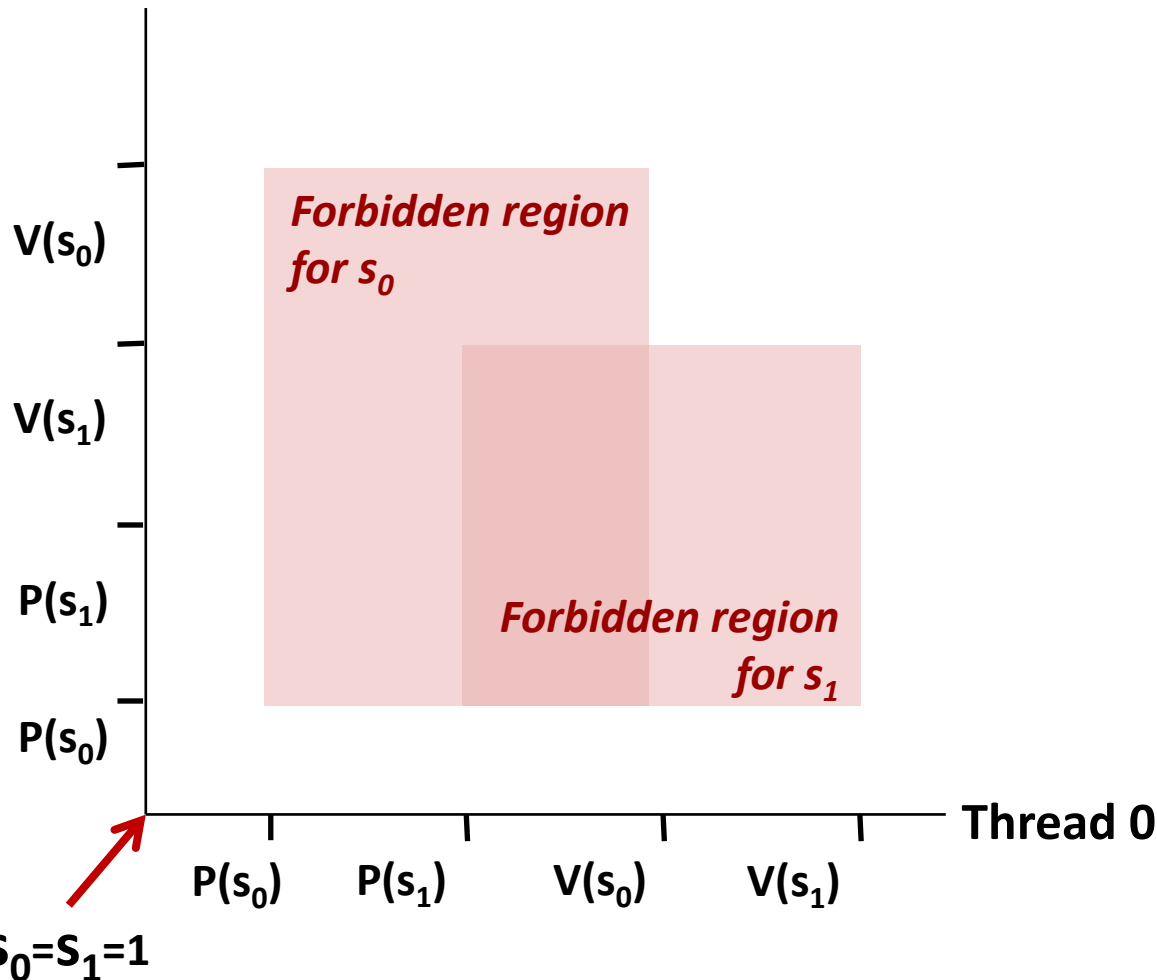
```
void *count(void *vargp)
{
    int i;
    int id = (int) vargp;
    for (i = 0; i < NITERS; i++) {
        P(&mutex[0]); P(&mutex[1]);
        cnt++;
        V(&mutex[id]); V(&mutex[1-id]);
    }
    return NULL;
}
```

```
Tid[0]:
P(s0);
P(s1);
cnt++;
V(s0);
V(s1);
```

```
Tid[1]:
P(s0);
P(s1);
cnt++;
V(s1);
V(s0);
```

# Avoided Deadlock in Progress Graph

Thread 1



No way for trajectory to get stuck

Processes acquire locks in same order

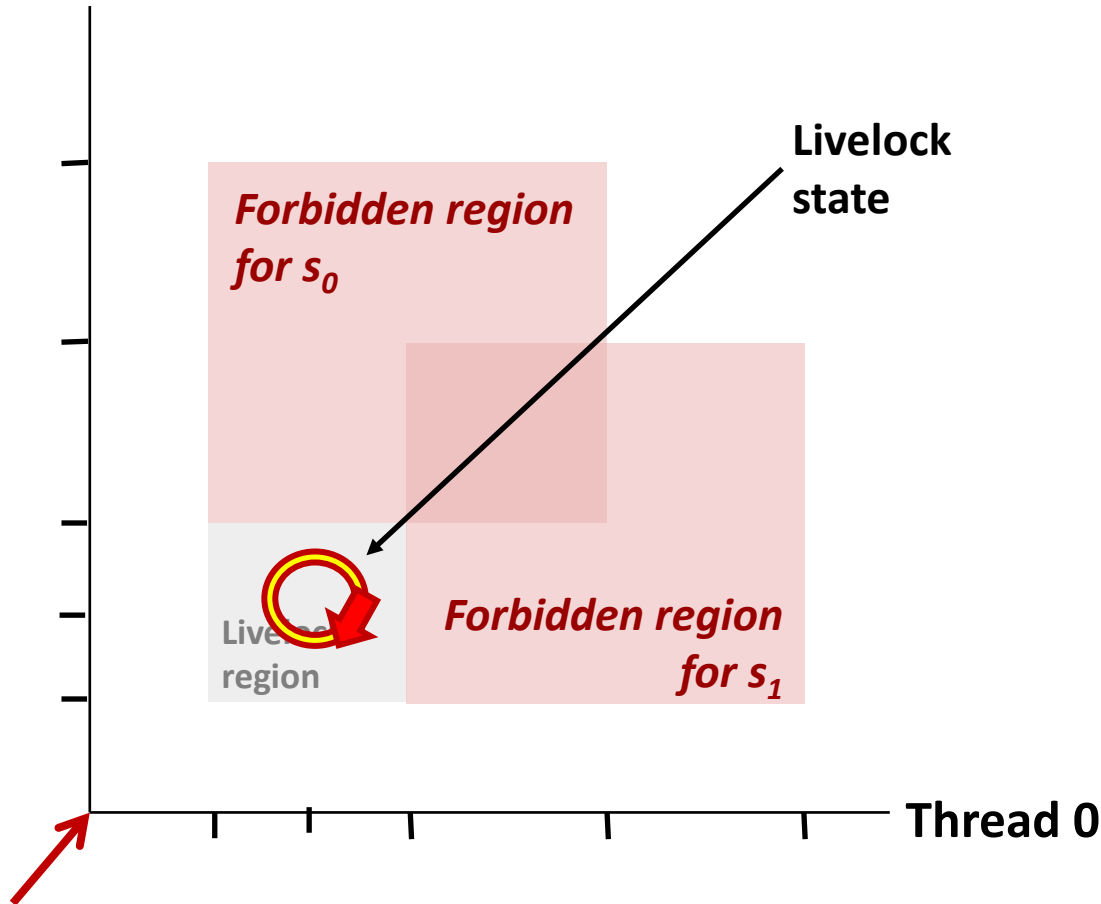
Order in which locks released is immaterial

# Demonstration

- See program `deadlock.c`
- 100 threads, each acquiring same two locks
- **Risky mode**
  - Even numbered threads request locks in opposite order of odd-numbered ones
- **Safe mode**
  - All threads acquire locks in same order

# Livelock Visualized in Progress Graph

Thread 1



Livelock is similar to a deadlock, except the threads change state, but remain in a deadlock trajectory.

# Deadlock, Livelock, Starvation

## ■ Deadlock

- One or more threads is waiting on a condition that will never be true

## ■ Livelock

- One or more threads is changing state, but will never leave a deadlock / livelock trajectory

## ■ Starvation

- One or more threads is temporarily unable to make progress



# Quiz Time!

Canvas Quiz: Day 24 – Synchronization Advanced

# Today

- **Using semaphores to schedule shared resources**
  - Readers-writers problem
- **Other concurrency issues**
  - Races
  - Deadlocks
  - **Thread safety**
  - Interactions between threads and signal handling

# Crucial concept: Thread Safety

- Functions called from a thread must be *thread-safe*
- *Def:* A function is *thread-safe* iff it will always produce correct results when called repeatedly from multiple concurrent threads.
- **Classes of thread-unsafe functions:**
  - Class 1: Functions that do not protect shared variables
  - Class 2: Functions that keep state across multiple invocations
  - Class 3: Functions that return a pointer to a static variable
  - Class 4: Functions that call thread-unsafe functions

# Thread-Unsafe Functions (Class 1)

## ■ Failing to protect shared variables

- Fix: Use  $P$  and  $V$  semaphore operations (or mutex)
- Example: `goodcnt.c`
- Issue: Synchronization operations will slow down code

# Thread-Unsafe Functions (Class 2)

- Relying on persistent state across multiple function invocations
  - Example: Random number generator that relies on static state

```
static unsigned int next = 1;

/* rand: return pseudo-random integer on 0..32767 */
int rand(void)
{
    next = next*1103515245 + 12345;
    return (unsigned int)(next/65536) % 32768;
}

/* srand: set seed for rand() */
void srand(unsigned int seed)
{
    next = seed;
}
```

# Thread-Safe Random Number Generator

- Pass state as part of argument
  - and, thereby, eliminate static state

```
/* rand_r - return pseudo-random integer on 0..32767 */  
  
int rand_r(int *nextp)  
{  
    *nextp = *nextp*1103515245 + 12345;  
    return (unsigned int)(*nextp/65536) % 32768;  
}
```

- Consequence: programmer using `rand_r` must maintain seed

# Thread-Unsafe Functions (Class 3)

- **Returning a pointer to a static variable**
- **Fix 1. Rewrite function so caller passes address of variable to store result**
  - Requires changes in caller and callee
- **Fix 2. Lock-and-copy**
  - Requires simple changes in caller (and none in callee)
  - However, caller must free memory.

```
/* Convert integer to string */  
char *itoa(int x)  
{  
    static char buf[11];  
    sprintf(buf, "%d", x);  
    return buf;  
}
```

```
char *lc_itoa(int x, char *dest)  
{  
    P(&mutex);  
    strcpy(dest, itoa(x));  
    V(&mutex);  
    return dest;  
}
```

# Thread-Unsafe Functions (Class 4)

## ■ Calling thread-unsafe functions

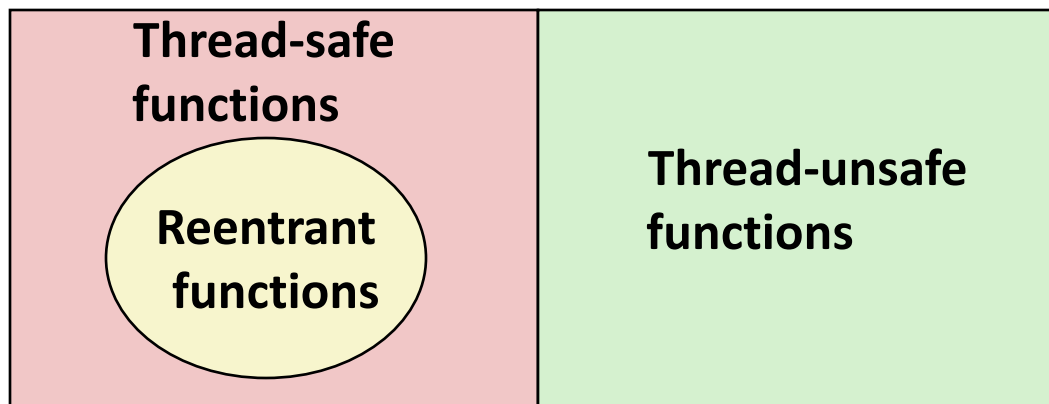
- Calling one thread-unsafe function makes the entire function that calls it thread-unsafe
- Fix: Modify the function so it calls only thread-safe functions 😊



# Reentrant Functions

- Def: A function is *reentrant* iff it accesses no shared variables when called by multiple threads.
  - Important subset of thread-safe functions
    - Require no synchronization operations
    - Only way to make a Class 2 function thread-safe is to make it reentrant (e.g., `rand_r`)

## All functions



# Thread-Safe Library Functions

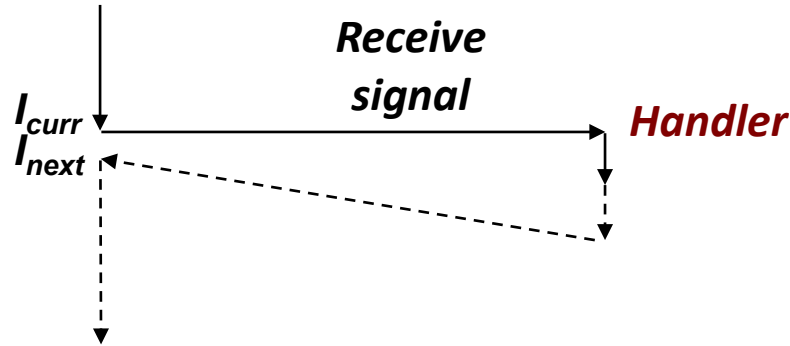
- All functions in the Standard C Library (at the back of your K&R text) are thread-safe
  - Examples: `malloc`, `free`, `printf`, `scanf`
- Most Unix system calls are thread-safe, with a few exceptions:

Thread-unsafe function	Class	Reentrant version
<code>asctime</code>	3	<code>asctime_r</code>
<code>ctime</code>	3	<code>ctime_r</code>
<code>gethostbyaddr</code>	3	<code>gethostbyaddr_r</code>
<code>gethostbyname</code>	3	<code>gethostbyname_r</code>
<code>inet_ntoa</code>	3	(none)
<code>localtime</code>	3	<code>localtime_r</code>
<code>rand</code>	2	<code>rand_r</code>

# Today

- **Using semaphores to schedule shared resources**
  - Readers-writers problem
- **Other concurrency issues**
  - Races
  - Deadlocks
  - Thread safety
  - **Interactions between threads and signal handling**

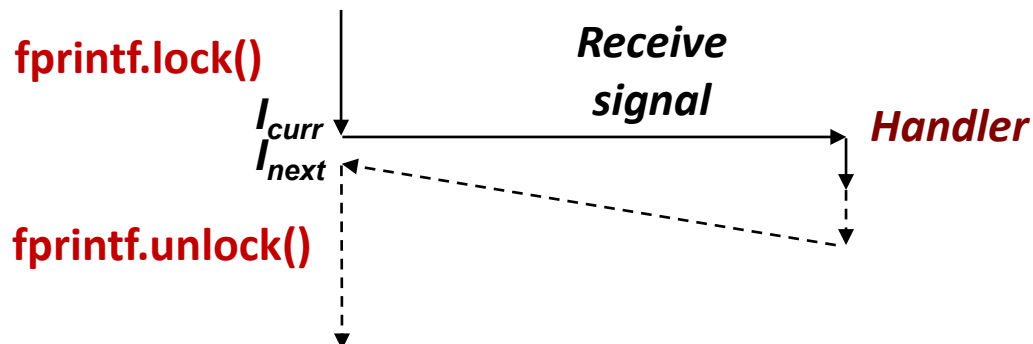
# Review: Signal Handling



## ■ Action

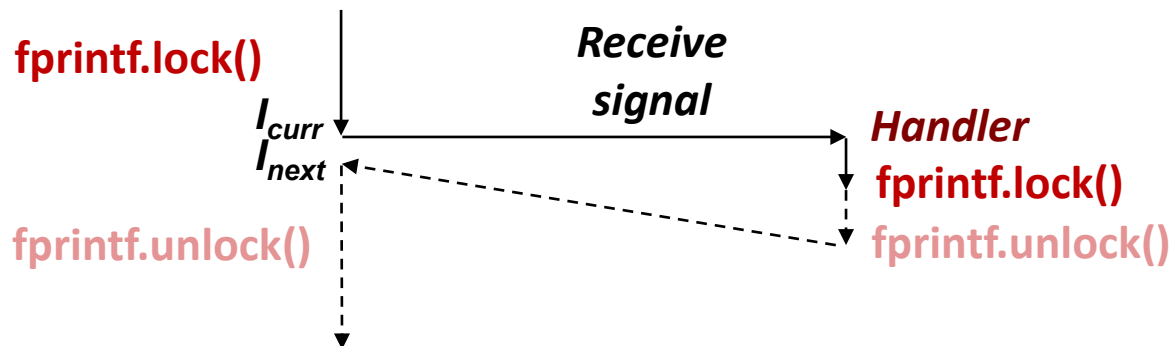
- Signal can occur at any point in program execution
  - Unless signal is blocked
- Signal handler runs within same thread
- Must run to completion and then return to regular program execution

# Threads / Signals Interactions



- **Many library functions use lock-and-copy for thread safety**
  - Because they have hidden state
  - malloc
    - Free lists
  - fprintf, printf, puts
    - So that outputs from multiple threads don't interleave
  - sprintf
    - Not officially asynch-signal-safe, but seems to be OK
- **OK for handler that doesn't use these library functions**

# Bad Thread / Signal Interactions



## ■ What if:

- Signal received while library function holds lock
- Handler calls same (or related) library function

## ■ Deadlock!

- Signal handler cannot proceed until it gets lock
- Main program cannot proceed until handler completes

## ■ Key Point

- Threads employ symmetric concurrency
- Signal handling is asymmetric

# Threads Summary

- **Threads provide another mechanism for writing concurrent programs**
- **Threads are growing in popularity**
  - Somewhat cheaper than processes
  - Easy to share data between threads
- **However, the ease of sharing has a cost:**
  - Easy to introduce subtle synchronization errors
  - Tread carefully with threads!
- **For more info:**
  - D. Butenhof, “Programming with Posix Threads”, Addison-Wesley, 1997