

2023 Fall ECE 344: Operating Systems

Lecture 20

1.0.0

# Locks Implementation

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2023 Fall



# You Can Implement Locks in Software with Minimal Hardware

Your hardware requirements just have to ensure:

- Loads and stores are atomic
- Instructions execute in order

There are 2 main algorithms you could use:

[Peterson's algorithm](#) and [Lamport's bakery algorithm](#)

The problem is that they don't scale well, and processors execute out-of-order

## Let's Assume a Magical Atomic Function — compare\_and\_swap

compare\_and\_swap(int \*p, int old, int new) is atomic

It returns the original value pointed to

It only swaps if the original value equals old, and changes it to new

Let's give it another shot:

```
void init(int *l) {  
    *l = 0;  
}  
void lock(int *l) {  
    while (compare_and_swap(l, 0, 1));  
}  
void unlock(int *l) {  
    *l = 0;  
}
```

# What We Implement is Essentially a Spinlock

Compare and swap is a common atomic hardware instruction

On x86 this is the `cmpxchg` instruction (compare and exchange)

However, it still has this “busy wait” problem

Consider a uniprocessor system, if you can't get the lock, you should yield  
Let the kernel schedule another process, that may free the lock

On a multiprocessor machine, you could try again

# Let's Add a Yield

```
void lock(int *l) {  
    while (compare_and_swap(l, 0, 1)) {  
        thread_yield();  
    }  
}
```

Now we have a **thundering herd** problem

Multiple threads may be waiting on the same lock

We have no control over who gets the lock next

We need to be able to reason about it (FIFO is okay)

## We Can Add a Wait Queue to the Lock

```
void lock(int *l) {
    while (compare_and_swap(l, 0, 1)) {
        // add myself to the lock wait queue
        thread_sleep();
    }
}
void unlock(int *l) {
    *l = 0;
    if (/* threads in wait queue */) {
        // wake up one thread
    }
}
```

There are 2 issues with this: 1) lost wakeup, and 2) the wrong thread gets the lock

# Lost Wakeup Example

```
1 void lock(int *l) {
2     while (compare_and_swap(l, 0, 1)) {
3         // add myself to the wait queue
4         thread_sleep();
5     }
6 }
7 void unlock(int *l) {
8     *l = 0;
9     if (/* threads in wait queue */) {
10        // wake up one thread
11    }
12 }
```

Assume we have thread 1 (T1) and thread 2 (T2), thread 2 holds the lock  
T1 runs line 2 and fails, swap to T2 that runs lines 10-12, T1 runs lines 3 -4  
T1 will never get woken up!

# Wrong Thread Getting the Lock Example

```
1 void lock(int *l) {
2     while (compare_and_swap(l, 0, 1)) {
3         // add myself to the wait queue
4         thread_sleep();
5     }
6 }
7 void unlock(int *l) {
8     *l = 0;
9     if (/* threads in wait queue */) {
10        // wake up one thread
11    }
12 }
```

Assume we have T1, T2, and T3. T2 holds the lock, T3 is in queue.  
T2 runs line 9, swap to T1 which runs line 2 and succeeds  
T1 just stole the lock from T3!



## We Can Use Two Variables to Fix This (One to Guard)

```
typedef struct { int lock; int guard;
                queue_t *q; } mutex_t;
```

```
void lock(mutex_t *m) {
    while (
        compare_and_swap(m->guard, 0, 1)
    );
    if (m->lock == 0) {
        m->lock = 1; // acquire mutex
        m->guard = 0;
    } else {
        enqueue(m->q, self);
        m->guard = 0;
        thread_sleep();
        // wakeup transfers the lock here
    }
}
```

```
void unlock(mutex_t *m) {
    while (
        compare_and_swap(m->guard, 0, 1)
    );
    if (queue_empty(m->q)) {
        // release lock, no one needs it
        m->lock = 0;
    }
    else {
        // direct transfer mutex
        // to next thread
        thread_wakeup(dequeue(m->q));
    }
    m->guard = 0;
}
```

## There's STILL A Data Race

After a thread calls `lock`, it could get interrupted right before the `thread_sleep`

However, it's been added to the wait queue, so `thread_wakeup` would try to wake up a thread that's not sleeping yet (we know it's about to)

We could simply retry the call to `thread_wakeup` until the thread finally calls `thread_sleep`

# Remember What Causes a Data Race

A data race is when two concurrent actions access the same variable and at least one of them is a **write**

We could have any many readers as we want

We don't need a mutex as long as nothing writes at the same time

We need different lock modes for reading and writing

# Read-Write Locks

With mutexes/spinlocks, you have to lock the data, even for a read since you don't know if a write could happen

Reads can happen in parallel, as long as there's no write

Multiple threads can hold a read lock (`pthread_rwlock_rdlock`), but only one thread may hold a write lock (`pthread_rwlock_wrlock`) and will wait until the current readers are done

## We Can Use A Guard To Keep Track of Readers

```
typedef struct {
    int nreader;
    lock_t guard;
    lock_t lock;
} rwlock_t;

void write_lock(rwlock_t *l) (
    lock(&l->lock);
}

void write_unlock(rwlock_t *l) (
    unlock(&l->lock);
}
```

```
void read_lock(rwlock_t *l) (
    lock(&l->guard);
    ++nreader;
    if (nreader == 1) { // first reader
        lock(&l->lock);
    }
    unlock(&l->guard);
}

void read_unlock(rwlock_t *l) (
    lock(&l->guard);
    --nreader;
    if (nreader == 0) { // last reader
        unlock(&l->lock);
    }
    unlock(&l->guard);
}
```

# We Want Critical Sections to Protect Against Data Races

We should know what data races are, and how to prevent them:

- Mutex or spinlocks are the most straightforward locks
- We need hardware support to implement locks
- We need some kernel support for wake up notifications
- If we know we have a lot of readers, we should use a read-write lock