Semaphores and Monitors: High-level Synchronization Constructs
Synchronization Constructs

- **Synchronization**
  - Coordinating execution of multiple threads that share data structures

- **Past few lectures:**
  - Locks: provide mutual exclusion
  - Condition variables: provide conditional synchronization

- **Today: Historical perspective**
  - **Semaphores**
    - Introduced by Dijkstra in 1960s
    - Main synchronization primitives in early operating systems
  - **Monitors**
    - Alternate high-level language constructs
    - Proposed by independently Hoare and Hansen in the 1970s
Semaphores

- Study these for history and compatibility
  - Don’t use semaphores in new code
- A non-negative integer variable with two atomic and isolated operations

**Semaphore → P()** (*Passeren*; wait)
If $\text{sem} > 0$, then decrement $\text{sem}$ by 1
Otherwise “wait” until $\text{sem} > 0$ and then decrement

**Semaphore → V()** (*Vrijgeven*; signal)
Increment $\text{sem}$ by 1
Wake up a thread waiting in P()

- We assume that a semaphore is *fair*
  - No thread $t$ that is blocked on a P() operation remains blocked if the V() operation on the semaphore is invoked infinitely often
  - In practice, FIFO is mostly used, transforming the set into a queue.
Key idea of Semaphores vs. Locks

- **Locks**: Mutual exclusion only (1-exclusion)
- **Semaphores**: k-exclusion
  - $k = 1$, equivalent to a lock
  - Sometimes called a mutex, or binary semaphore
    - $k = 2^+$, up to k threads at a time

- Many semaphore implementations use “up” and “down”, rather than Dutch names (P and V, respectively)
  - ‘cause how many programmers speak Dutch?
- **Semaphore starts at k**
  - Acquire with down(), which decrements the count
    - Blocks if count is 0
  - Release with up(), which increments the count and never blocks
Important properties of Semaphores

- Semaphores are *non-negative* integers

- The *only* operations you can use to change the value of a semaphore are \texttt{P()/down()} and \texttt{V()/up()} (except for the initial setup)
  - \texttt{P()/down()} can block, but \texttt{V()/up()} never blocks

- Semaphores are used both for
  - *Mutual exclusion*, and
  - *Conditional synchronization*

- Two types of semaphores
  - Binary semaphores: Can either be 0 or 1
  - General/Counting semaphores: Can take any non-negative value
  - Binary semaphores are as expressive as general semaphores (given one can implement the other)
How many possible values can a binary semaphore take?

- A. 0
- B. 1
- C. 2
- D. 3
- E. 4
Using Semaphores for Mutual Exclusion

- Use a *binary semaphore* for mutual exclusion

```java
Semaphore = new Semaphore(1);
Semaphore\rightarrow P();
Critical Section;
Semaphore\rightarrow V();
```

- Using Semaphores for producer-consumer with bounded buffer

```java
int count;
Semaphore Mutex;
Semaphore FullBuffers;
Semaphore EmptyBuffers;
```

*Use a separate semaphore for each constraint*
Coke Machine Example

❖ Coke machine as a shared buffer
❖ Two types of users
  ➢ Producer: Restocks the coke machine
  ➢ Consumer: Removes coke from the machine
❖ Requirements
  ➢ Only a single person can access the machine at any time
  ➢ If the machine is out of coke, wait until coke is restocked
  ➢ If machine is full, wait for consumers to drink coke prior to restocking
❖ How will we implement this?
  ➢ How many lock and condition variables do we need?
    ✤ A. 1 B. 2 C. 3 D. 4 E. 5
Revisiting Coke Machine Example

Class CokeMachine{
    ...
    int count;
    Semaphore new mutex(1);
    Semaphores new fullBuffers(0);
    Semaphores new emptyBuffers(numBuffers);
}

CokeMachine::Deposit(){
    emptyBuffers->P();
    mutex->P();
    Add coke to the machine;
    count++;
    mutex->V();
    fullBuffers->V();
}

CokeMachine::Remove(){
    fullBuffers->P();
    mutex->P();
    Remove coke from to the machine;
    count--;
    mutex->V();
    emptyBuffers->V();
}

Does the order of P matter?  
Order of V matter?
Implementing Semaphores

```cpp
Semaphore::P() {
    if (value == 0) {
        Put TCB on wait queue for semaphore;
        Switch(); // dispatch a ready thread
    } else {value--;}
}

Semaphore::V() {
    if wait queue is not empty {
        Move a waiting thread to ready queue;
    } else
        value++;
}
```

Does this work?
Implementing Semaphores

Semaphore::P() {
    while (value == 0) {
        Put TCB on wait queue for semaphore;
        Switch(); // dispatch a ready thread
    }
    value--;
}

Semaphore::V() {
    if wait queue is not empty {
        Move a waiting thread to ready queue;
    }
    value++;
The Problem with Semaphores

- Semaphores are used for dual purpose
  - Mutual exclusion
  - Conditional synchronization

- Difficult to read/develop code

- Waiting for condition is independent of mutual exclusion
  - Programmer needs to be clever about using semaphores

```cpp
CokeMachine::Deposit(){
    emptyBuffers->P();
    mutex->P();
    Add coke to the machine;
    count++;
    mutex->V();
    fullBuffers->V();
}
```

```cpp
CokeMachine::Remove(){
    fullBuffers->P();
    mutex->P();
    Remove coke from to the machine;
    count--;
    mutex->V();
    emptyBuffers->V();
}
```
Introducing Monitors

- Separate the concerns of mutual exclusion and conditional synchronization
- What is a monitor?
  - One lock, and
  - Zero or more condition variables for managing concurrent access to shared data
- General approach:
  - Collect related shared data into an object/module
  - Define methods for accessing the shared data
- Monitors first introduced as programming language construct
  - Calling a method defined in the monitor automatically acquires the lock
  - Examples: Mesa, Java (synchronized methods)
- Monitors also define a programming convention
  - Can be used in any language (C, C++, …)
Critical Section: Monitors

- **Basic idea:**
  - Restrict programming model
  - Permit access to shared variables only within a critical section

- **General program structure**
  - **Entry section**
    - “Lock” before entering critical section
    - Wait if already locked, or invariant doesn’t hold
    - Key point: synchronization may involve wait
  - **Critical section code**
  - **Exit section**
    - “Unlock” when leaving the critical section

- **Object-oriented programming style**
  - Associate a lock with each shared object
  - Methods that access shared object are critical sections
  - Acquire/release locks when entering/exiting a method that defines a critical section
Remember Condition Variables

- **Locks**
  - Provide mutual exclusion
  - Support two methods
    - Lock::Acquire() – wait until lock is free, then grab it
    - Lock::Release() – release the lock, waking up a waiter, if any

- **Condition variables**
  - Support conditional synchronization
  - Three operations
    - Wait(): Release lock; wait for the condition to become true; reacquire lock upon return (Java wait())
    - Signal(): Wake up a waiter, if any (Java notify())
    - Broadcast(): Wake up all the waiters (Java notifyAll())
  - Two semantics for implementation of wait() and signal()
    - Hoare monitor semantics
    - Hansen (Mesa) monitor semantics
So what is the big idea?

- (Editorial) Integrate idea of condition variable with language
  - Facilitate proof
  - Avoid error-prone boiler-plate code
Coke Machine – Example Monitor

```cpp
Class CokeMachine{
 ...
   Lock lock;
   int count = 0;
   Condition notFull, notEmpty;
}

CokeMachine::Deposit(){
   lock->acquire();
   while (count == n) {
      notFull.wait(&lock); }
   Add coke to the machine;
   count++;
   notEmpty.signal();
   lock->release();
}

CokeMachine::Remove(){
   lock->acquire();
   while (count == 0) {
      notEmpty.wait(&lock); }
   Remove coke from to the machine;
   count--;
   notFull.signal();
   lock->release();
}
```

Does the order of acquire/while(){wait} matter?

Order of release/signal matter?
Monitors: Recap

- Lock acquire and release: often incorporated into method definitions on object
  - E.g., Java’s synchronized methods
  - Programmer may not have to explicitly acquire/release

- But, methods on a monitor object do execute under mutual exclusion

- Introduce idea of condition variable
Every monitor function should start with what?

- A. wait
- B. signal
- C. lock acquire
- D. lock release
- E. signalAll
Hoare Monitors: Semantics

- Hoare monitor semantics:
  - Assume thread $T_1$ is waiting on condition $x$
  - Assume thread $T_2$ is in the monitor
  - Assume thread $T_2$ calls $x$.signal
  - $T_2$ gives up monitor, $T_2$ blocks!
  - $T_1$ takes over monitor, runs
  - $T_1$ gives up monitor
  - $T_2$ takes over monitor, resumes

- Example
  
  $T_1$ $T_2$
  
  $fn1(...)$
  
  ...
  
  $x.wait$ // $T_1$ blocks $fn4(...)$
  
  ...
  
  // $T_1$ resumes
  
  Lock$\rightarrow$release();

  $x.signal$ // $T_2$ blocks

  T2 resumes
Hansen (Mesa) Monitors: Semantics

- Hansen monitor semantics:
  - Assume thread $T_1$ waiting on condition $x$
  - Assume thread $T_2$ is in the monitor
  - Assume thread $T_2$ calls $x.signal$; wake up $T_1$
  - $T_2$ continues, finishes
  - When $T_1$ get a chance to run, $T_1$ takes over monitor, runs
  - $T_1$ finishes, gives up monitor

- Example:

```plaintext
fn1(…)
...
$x.wait$  // $T_1$ blocks

// $T_1$ resumes
// $T_1$ finishes
```

```plaintext
fn4(…)
...
$x.signal$  // $T_2$ continues

// $T_2$ finishes
```

```plaintext
// $T_2$ continues
// $T_2$ finishes
```
Tradeoff

Hoare

- **Claims:**
  - Cleaner, good for proofs
  - When a condition variable is signaled, it does not change
  - Used in most textbooks

- **...but**
  - Inefficient implementation
  - Not modular - correctness depends on correct use and implementation of signal

Hansen

- **Signal is only a hint that the condition may be true**
  - Need to check condition again before proceeding
  - Can lead to synchronization bugs

- **Used by most systems (e.g., Java)**

- **Benefits:**
  - Efficient implementation
  - Condition guaranteed to be true once you are out of while!

```cpp
cokeMachine::Deposit(){
  lock->acquire();
  if (count == n) {
    notFull.wait(&lock); }
  Add coke to the machine;
  count++;
  notEmpty.signal();
  lock->release();
}
```

```cpp
cokeMachine::Deposit(){
  lock->acquire();
  while (count == n) {
    notFull.wait(&lock); }
  Add coke to the machine;
  count++;
  notEmpty.signal();
  lock->release();
}
Problems with Monitors
Nested Monitor Calls

- What happens when one monitor calls into another?
  - What happens to CokeMachine::lock if thread sleeps in CokeTruck::Unload?
  - What happens if truck unloader wants a coke?

CokeMachine::Deposit()
lock->acquire();
while (count == n) {
    notFull.wait(&lock); }
truck->unload();
Add coke to the machine;
count++;
notEmpty.signal();
lock->release();
}

CokeTruck::Unload()
lock->acquire();
while (soda.atDoor() != coke) {
    cokeAvailable.wait(&lock);}
Unload soda closest to door;
soda.pop();
Signal availability for soda.atDoor();
lock->release();
More Monitor Headaches

The *priority inversion* problem

- Three processes (P1, P2, P3), and P1 & P3 communicate using a monitor *M*. P3 is the highest priority process, followed by P2 and P1.
- 1. P1 enters M.
- 2. P1 is preempted by P2.
- 3. P2 is preempted by P3.
- 4. P3 tries to enter the monitor, and waits for the lock.
- 5. P2 runs again, preventing P3 from running, subverting the priority system.

A simple way to avoid this situation is to associate with each monitor the priority of the highest priority process which ever enters that monitor.
Comparing Semaphores and Monitors

CokeMachine::Deposit()
{
    emptyBuffers->P();
    mutex->P();
    Add coke to the machine;
    count++;
    mutex->V();
    fullBuffers->V();
}

CokeMachine::Remove()
{
    fullBuffers->P();
    mutex->P();
    Remove coke from to the machine;
    count--;
    mutex->V();
    emptyBuffers->V();
}

Which is better?
A. Semaphore
B. Monitors

CokeMachine::Deposit()
{
    lock->acquire();
    while (count == n) {
        notFull.wait(&lock);
    }
    Add coke to the machine;
    count++;
    notEmpty.notify();
    lock->release();
}

CokeMachine::Remove()
{
    lock->acquire();
    while (count == 0) {
        notFull.wait(&lock);
    }
    Remove coke from to the machine;
    count--;
    notFull.notify();
    lock->release();
}
Other Interesting Topics

- Exception handling
  - What if a process waiting in a monitor needs to time out?

- Naked notify
  - How do we synchronize with I/O devices that do not grab monitor locks, but can notify condition variables.

- Butler Lampson and David Redell, “Experience with Processes and Monitors in Mesa.”
Summary

◆ Synchronization
  ➢ Coordinating execution of multiple threads that share data structures

◆ Past lectures:
  ➢ Locks → provide mutual exclusion
  ➢ Condition variables → provide conditional synchronization

◆ Today:
  ➢ Semaphores
    ❖ Introduced by Dijkstra in 1960s
    ❖ Two types: binary semaphores and counting semaphores
    ❖ Supports both mutual exclusion and conditional synchronization
  ➢ Monitors
    ❖ Separate mutual exclusion and conditional synchronization