CS111, Lecture 14
Locks and Condition Variables

Optional reading:
Operating Systems: Principles and Practice (2nd Edition): Sections 5.2-5.4
and Section 6.5
Topic 3: Multithreading - How can we have concurrency within a single process? How does the operating system support this?
CS111 Topic 3: Multithreading, Part 1

assign4: implement several multithreaded programs while eliminating race conditions!
Learning Goals

• Get more practice using mutexes to prevent race conditions
• Learn about ways to add constraints to our programs to prevent deadlock
• Learn how condition variables can let threads signal to each other and wait for conditions to become true
Plan For Today

• **Recap:** mutexes and dining philosophers
• Encoding resource constraints
• Condition Variables
Plan For Today

• Recap: mutexes and dining philosophers
• Encoding resource constraints
• Condition Variables

```bash
cp -r /afs/ir/class/cs111/lecture-code/lect14 .
```
A mutex ("mutual exclusion") is a variable type that lets us enforce the pattern of only 1 thread having access to something at a time.

- You make a mutex for each distinct thing you need to limit access to.
- You call `lock()` on the mutex to attempt to take the lock.
- You call `unlock()` on the mutex when you are done to give the lock back.
Mutexes

1. Identify a critical section; section that only 1 thread should execute at a time.
2. Create a mutex and share it among all threads executing that critical section
3. Lock the mutex at the start of the critical section
4. Unlock the mutex at the end of the critical section
static void sellTickets(size_t id, size_t& remainingTickets, mutex& counterLock) {
    while (true) {
        counterLock.lock(); // only 1 thread can proceed at a time
        if (remainingTickets == 0) {
            counterLock.unlock(); // must give up lock before exiting
            break;
        }
        size_t myTicket = remainingTickets;
        remainingTickets--;
        counterLock.unlock(); // once thread passes here, another can go
        sleep_for(500); // simulate "selling a ticket"
        ...
    }
}
Deadlock Example: Dining Philosophers Simulation

• Five philosophers sit around a **circular table**, eating spaghetti

• There is **one fork** for each of them

• Each philosopher **thinks, then eats**, and repeats this **three times**

• **To eat**, a philosopher must grab the fork on their left *and* the fork on their right. Then they chow down.

• When they're full, they put down the forks in the same order they picked them up and return to thinking for a while.

• **To think**, a philosopher keeps to themselves for some amount of time.

static void philosopher(size_t id, mutex& left, mutex& right) { ... }

int main(int argc, const char *argv[]) {
    mutex forks[kNumForks];
    thread philosophers[kNumPhilosophers];
    for (size_t i = 0; i < kNumPhilosophers; i++) {
        philosophers[i] = thread(philosopher, i,
            ref(forks[i]),
            ref(forks[(i + 1) % kNumPhilosophers]));
    }
    for (thread& p: philosophers) p.join();
    return 0;
}
Dining Philosophers

A philosopher thinks and eats, and repeats this 3 times.

```c
static void philosopher(size_t id, mutex& left, mutex& right) {
    for (size_t i = 0; i < kNumMeals; i++) {
        think(id);
        eat(id, left, right);
    }
}
```
**Dining Philosophers**

`eat` is modeled as grabbing the two forks, sleeping for some amount of time, and putting the forks down.

```cpp
static void eat(size_t id, mutex& left, mutex& right) {
    left.lock();
    right.lock();
    cout << oslock << id << " starts eating om nom nom nom."
        << endl << osunlock;
    sleep_for(getEatTime());
    cout << oslock << id << " all done eating."
        << endl << osunlock;
    left.unlock();
    right.unlock();
}
```
Dining Philosophers

**eat** is modeled as grabbing the two forks, sleeping for some amount of time, and putting the forks down.

```cpp
static void eat(size_t id, mutex& left, mutex& right) {
    left.lock();
    right.lock();
    cout << oslock << id << " starts eating om nom nom nom." << endl << osunlock;
    sleep_for(getEatTime());
    cout << oslock << id << " all done eating." << osunlock;
    left.unlock();
    right.unlock();
}
```

There is a race condition here that leads to **deadlock** – deadlock occurs when multiple threads are all blocked, waiting on a resource owned by one of the other blocked threads.
We get deadlock if all philosophers grab their left fork and then go off the CPU. All philosophers will wait on their right fork, which will never become available.

• Testing our hypothesis: insert a `sleep_for` call in between grabbing the two forks
• We should be able to insert a `sleep_for` call anywhere in a thread routine and have no concurrency issues.

We (incorrectly) assumed that at least one philosopher is always able to pick up both of their forks. How can we fix this?
Race Conditions and Deadlock

In multithreaded programs, we need to ensure that:

there are never race conditions

• we can generally solve race conditions with mutexes. Use them to mark the boundaries of critical sections to limit them to 1 thread at a time.

there's zero chance of deadlock (otherwise some or all threads are starved)

• we can solve deadlock by requesting resources in the same order and by limiting the number of threads competing for a shared resource.
Plan For Today

- **Recap:** mutexes and dining philosophers
- **Encoding resource constraints**
- **Condition Variables**

```bash
cp -r /afs(ir/class/cs111/lecture-code/lect14.
```
Encoding Resource Constraints

Goal: we must encode resource constraints into our program.

Example: how many philosophers can try to eat at the same time? Four.

• Alternatively: how many philosophers can eat at the same time? Two.

• Why might the first one be better? Imposes less bottlenecking while still solving the issue.

How can we encode this into our program?

Have a counter of “permits”. Initially 4. A philosopher must have a permit (decrement counter or wait) to try to eat. Once done eating, a philosopher returns its permit (increment counter).
int main(int argc, const char *argv[]) {
    mutex forks[kNumForks];

    size_t permits = kNumForks - 1;
    mutex permitsLock;

    thread philosophers[kNumPhilosophers];
    for (size_t i = 0; i < kNumPhilosophers; i++) {
        philosophers[i] = thread(philosopher, i, ref(forks[i]),
                                  ref(forks[(i + 1) % kNumPhilosophers]),
                                  ref(permits), ref(permitsLock));
    }
    for (thread& p: philosophers) p.join();
    return 0;
}
A philosopher thinks and eats, and repeats this 3 times.

```c
static void philosopher(size_t id, mutex& left, mutex& right, size_t& permits, mutex& permitsLock) {
    for (size_t i = 0; i < kNumMeals; i++) {
        think(id);
        eat(id, left, right, permits, permitsLock);
    }
}
```
static void eat(size_t id, mutex& left, mutex& right, size_t& permits, mutex& permitsLock) {

    waitForPermission(permits, permitsLock);
    left.lock();
    right.lock();
    cout << oslock << id << " starts eating om nom nom nom." << endl << osunlock;
    sleep_for(getEatTime());
    cout << oslock << id << " all done eating." << endl
         << osunlock;
    grantPermission(permits, permitsLock);
    left.unlock();
    right.unlock();
}
To put a permit back, increment the counter by 1 and continue.

```cpp
static void grantPermission(size_t& permits, mutex& permitsLock) {
    permitsLock.lock();
    permits++;
    permitsLock.unlock();
}
```
waitForPermission

- If there are permits, decrement the counter by 1 and continue
- If there aren’t permits, wait for a permit, then decrement by 1 and continue

```cpp
static void waitForPermission(size_t& permits, mutex& permitsLock) {
    while (true) {
        permitsLock.lock();
        if (permits > 0) break;
        permitsLock.unlock();
        // wait a little while (how??)
    }
    permits--;
    permitsLock.unlock();
}
```
waitForPermission

• If there are permits, decrement the counter by 1 and continue
• If there aren’t permits, wait for a permit, then decrement by 1 and continue

```
static void waitForPermission(size_t& permits, mutex& permitsLock) {
    while (true) {
        permitsLock.lock();
        if (permits > 0) break;
        permitsLock.unlock();
        sleep_for(10);  // ??
    }
    permits--;
    permitsLock.unlock();
}
```

This is called busy waiting (bad). We are unnecessarily and arbitrarily using CPU time to check when a permit is available.
It would be nice if someone could let us know when they return their permit. Then, we can sleep until this happens.
Plan For Today

- **Recap:** mutexes and dining philosophers
- Encoding resource constraints
- **Condition Variables**

```bash
cp -r /afs/ir/class/cs111/lecture-code/lect14 .
```
A condition variable is a variable type that can be shared across threads and used for one thread to notify other thread(s) when something happens. Conversely, a thread can also use this to wait until it is notified by another thread.

- You make one for each distinct event you need to wait / notify for.
- We can call `wait` on the condition variable to sleep until another thread signals this condition variable.
- You call `notify_all` on the condition variable to send a notification to all waiting threads and wake them up.
Condition Variables

1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable
1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable

The event here is "some permits are again available".
Condition Variables

1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable

We can check whether there are permits now available by checking the permits count.
Condition Variables

1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. **Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event**
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable
int main(int argc, const char *argv[]) {
    mutex forks[kNumForks];
    size_t permits = kNumForks - 1;
    mutex permitsLock;
    condition_variable_any permitsCV;

    thread philosophers[kNumPhilosophers];
    for (size_t i = 0; i < kNumPhilosophers; i++) {
        philosophers[i] = thread(philosopher, i, ref(forks[i]),
                        ref(forks[(i + 1) % kNumPhilosophers]),
                        ref(permits), ref(permitsCV),
                        ref(permitsLock));
    }
    for (thread& p: philosophers) p.join();
    return 0;
}
1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable

When someone returns a permit and there were no permits available previously, notify all.
grantPermission

We must notify all once permits have become available again to wake up waiting threads.

```cpp
static void grantPermission(size_t& permits,
    condition_variable_any& permitsCV,
    mutex& permitsLock) {
    permitsLock.lock();
    permits++;
    if (permits == 1) permitsCV.notify_all();
    permitsLock.unlock();
}
```
1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable

If we need a permit but there are none available, wait.
If no permits are available, we must wait until one becomes available.

**Key Idea:** we must give up ownership of the lock when we wait, so that someone else can put a permit back.

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}

Spoiler: there is a race condition that could lead to deadlock. What ordering of events between threads could cause deadlock here? (Hint: CV notifications aren’t queued up).

Respond with your thoughts on PollEv:
pollev.com/cs111 or text CS111 to 22333 once to join.
What ordering of events between threads could lead to deadlock here?
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}

permits = 0

Thread #1

Thread #2

PERMIT

😋

🍝
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}

permits = 0

Thread #1

Thread #2

PERMIT

Two threads, Thread #1 and Thread #2, both require the resource "PERMIT". At the beginning, permits = 0. Thread #1 acquire the permit, but then Thread #2 also attempts to acquire it, and both threads are blocked due to the condition variable wait. This creates a deadlock.
Deadlock: waitForPermission

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait();  // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

Thread #1

Thread #2

I need to wait for a permit in order to eat.
Deadlock: waitForPermission

```c
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait();     // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

I need to wait for a permit in order to eat.
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}

All done eating! I will return my permit.
```c
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait();     // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

All done eating! I will return my permit.
Deadlock: waitForPermission

```c
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

Oh! I should notify that there is a permit now.
```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait();  // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

“Attention waiting threads, a permit is available!”

Thread #1

permits = 1

Thread #2
Deadlock: waitForPermission

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

Thread #1

permits = 1

Thread #2
Deadlock: `waitForPermission`

```c
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsLock.unlock();
        permitsCV.wait(); // (note: not final form of wait)
        permitsLock.lock();
    }
    permits--;
    permitsLock.unlock();
}
```

Thread #1

Thread #2

 Pane: permits = 1

*100 years later*
If we give up the lock before calling `wait()`, someone could notify before we are ready, because notifications aren't queued! If that is the last notification, we may wait forever.
Deadlock: waitForPermission

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

**Solution:** condition variables are meant for these situations.
- `wait()` takes a mutex as a parameter
- It will unlock the mutex *for us* after we are put to sleep.
- When we are notified, it will only return once it has reacquired the mutex for us.
`static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}

cv.wait() does the following:
1. it puts the caller to sleep and unlocks the given lock, all atomically
2. it wakes up when the cv is signaled
3. upon waking up, it tries to acquire the given lock (and blocks until it's able to do so)
4. then, cv.wait returns
waitForPermission

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

*Spoiler*: there is a race condition here that could lead to negative permits if multiple threads are waiting on a permit (e.g. say we limit permits to 3).
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}

permits = 0

Thread #1

Thread #2

Thread #3
```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

We need to wait for a permit in order to eat.
**waitForPermission**

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

All done eating! I will return my permit.
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}

permits = 1

All done eating! I will return my permit.
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}

Oh! I should notify that there is a permit now.

perms = 1
```c
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

“Attention waiting threads, a permit is available!”
```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

```plaintext
Permits = 1
```
**waitForPermission Over-permitting**

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

Thread #1

Thread #2

Thread #3

permits = 1
```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

**permits = 0**

Thread #1

Thread #2

Thread #3
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}

permits = 0
```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

**waitForPermission Over-permitting**

Thread #1

Thread #2

Thread #3
```c
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    if (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

permits = <very large number>
**Key Problem:** if multiple threads are woken up for one new permit, it's possible that some of them may have to continue waiting for a permit.

**Solution:** we must call `wait()` in a loop, in case we must call it again to wait longer.
Waiting in a Loop

```cpp
static void waitForPermission(size_t& permits, condition_variable_any& permitsCV, mutex& permitsLock) {
    permitsLock.lock();
    while (permits == 0) {
        permitsCV.wait(permitsLock);
    }
    permits--;
    permitsLock.unlock();
}
```

**Key Problem:** if multiple threads are woken up for one new permit, it's possible that some of them may have to continue waiting for a permit.

**Solution:** we must call `wait()` in a **loop**, in case we must call it again to wait longer.

dining-philosophers-with-cv-wait.cc
A condition variable is a variable that can be shared across threads and used for one thread to notify other threads when something happens. Conversely, a thread can also use this to wait until it is notified by another thread.

- We can call `wait(lock)` to sleep until another thread signals this condition variable. The condition variable will unlock and re-lock the specified lock for us.
  - This is necessary because we must give up the lock while waiting so another thread may return a permit, but if we unlock before waiting, there is a race condition.

- We can call `notify_all()` to send a signal to waiting threads and wake them up.

- We call `wait(lock)` in a loop in case we are woken up but must wait longer
  - This could happen if multiple threads are woken up for a single new permit.
Condition Variables

1. Identify a single kind of event that we need to wait / notify for
2. Ensure there is proper state to check if the event has happened
3. Create a condition variable and share it among all threads either waiting for that event to happen or triggering that event
4. Identify who will notify that this happens, and have them notify via the condition variable
5. Identify who will wait for this to happen, and have them wait via the condition variable
Recap

- Recap: mutexes and dining philosophers
- Encoding resource constraints
- Condition Variables

Next time: multithreading patterns

Lecture 14 takeaway: Condition variables let us wait on an event to occur and notify other threads that an event has occurred, all without busy waiting. We pass a lock into `wait` and call it in a loop to ensure correctness.

`cp -r /afs/ir/class/cs111/lecture-code/lect14 .`