

Synchronization: Basics

14-513/18-613: Computer Systems 25th Lecture, July 21, 2020

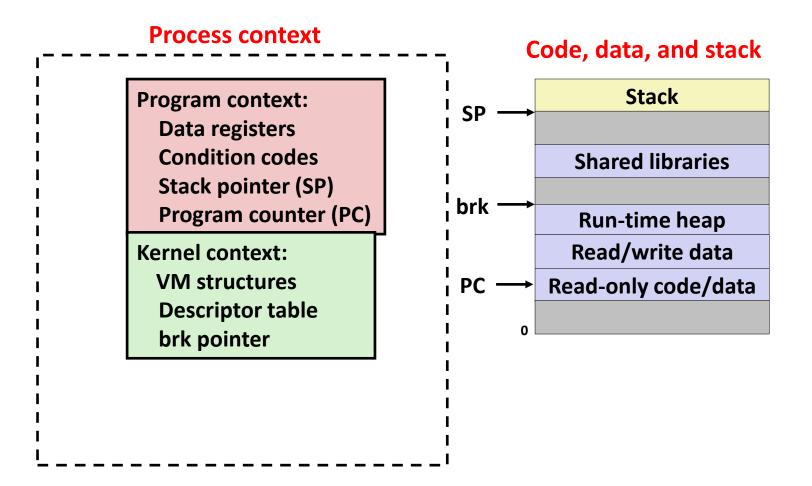
Today

Threads review

- Sharing
- Mutual exclusion
- Semaphores
- Producer-Consumer Synchronization

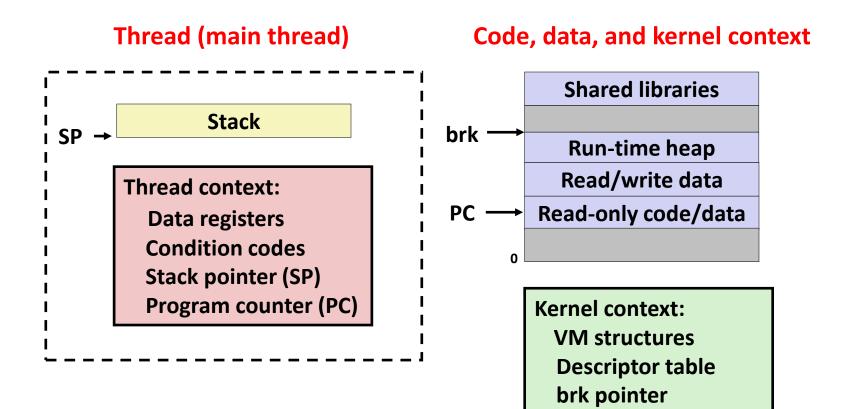
Traditional View of a Process

Process = process context + code, data, and stack



Alternate View of a Process

Process = thread + code, data, and kernel context

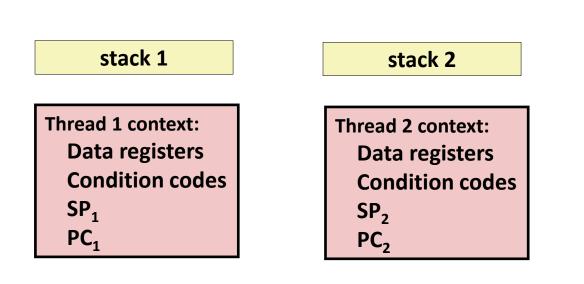


A Process With Multiple Threads

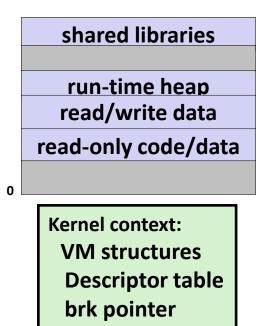
Multiple threads can be associated with a process

- Each thread has its own logical control flow
- Each thread shares the same code, data, and kernel context
- Each thread has its own stack for local variables
 - but not protected from other threads
- Each thread has its own thread id (TID)

Thread 1 (main thread) Thread 2 (peer thread)



Shared code and data



Today

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- Sharing
- Mutual exclusion
- Semaphores
- Producer-Consumer Synchronization

Shared Variables in Threaded C Programs

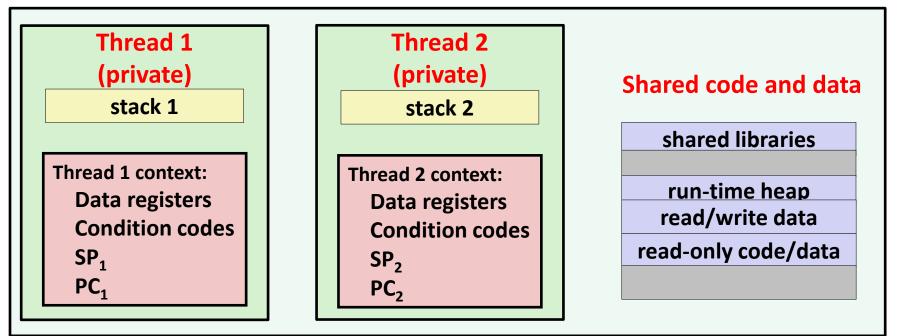
- Question: Which variables in a threaded C program are shared?
 - The answer is not as simple as "global variables are shared" and "stack variables are private"
- Def: A variable x is shared if and only if multiple threads reference some instance of x.

Requires answers to the following questions:

- What is the memory model for threads?
- How are instances of variables mapped to memory?
- How many threads might reference each of these instances?

Threads Memory Model: Conceptual

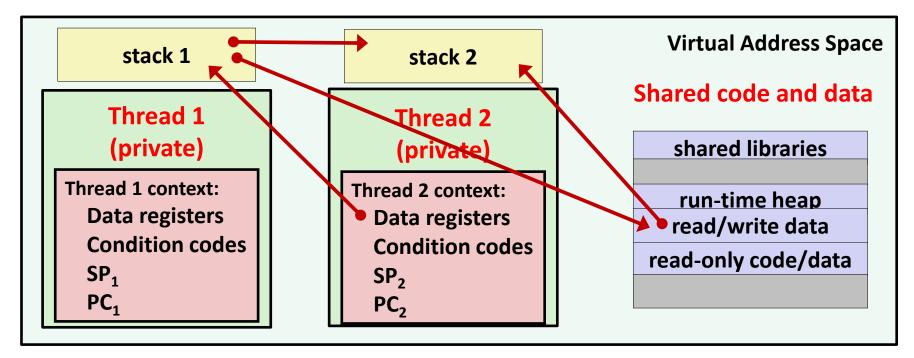
- Multiple threads run within the context of a single process
- Each thread has its own separate thread context
 - Thread ID, stack, stack pointer, PC, condition codes, and GP registers
- All threads share the remaining process context
 - Code, data, heap, and shared library segments of the process virtual address space
 - Open files and installed handlers



Threads Memory Model: Actual

Separation of data is not strictly enforced:

- Register values are truly separate and protected, but...
- Any thread can read and write the stack of any other thread



The mismatch between the conceptual and operation model

is a source of confusion and errors

Example Program to Illustrate Sharing

```
char **ptr; /* global var */
int main(int argc, char *argv[])
    long i;
   pthread t tid;
    char *msgs[2] = \{
        "Hello from foo",
        "Hello from bar"
    };
   ptr = msgs;
    for (i = 0; i < 2; i++)
        Pthread create (&tid,
            NULL,
            thread,
            (void *)i); ←
    Pthread exit(NULL);
                            sharing.c
```

```
void *thread(void *vargp)
```

```
long myid = (long)vargp;
static int cnt = 0;
```

```
printf("[%ld]: %s (cnt=%d)\n",
      myid, ptr[myid], ++cnt);
return NULL;
```

Peer threads reference main thread's stack indirectly through global ptr variable

A common, but inelegant way to pass a single argument to a thread routine

Mapping Variable Instances to Memory

Global variables

- *Def:* Variable declared outside of a function
- Virtual memory contains exactly one instance of any global variable

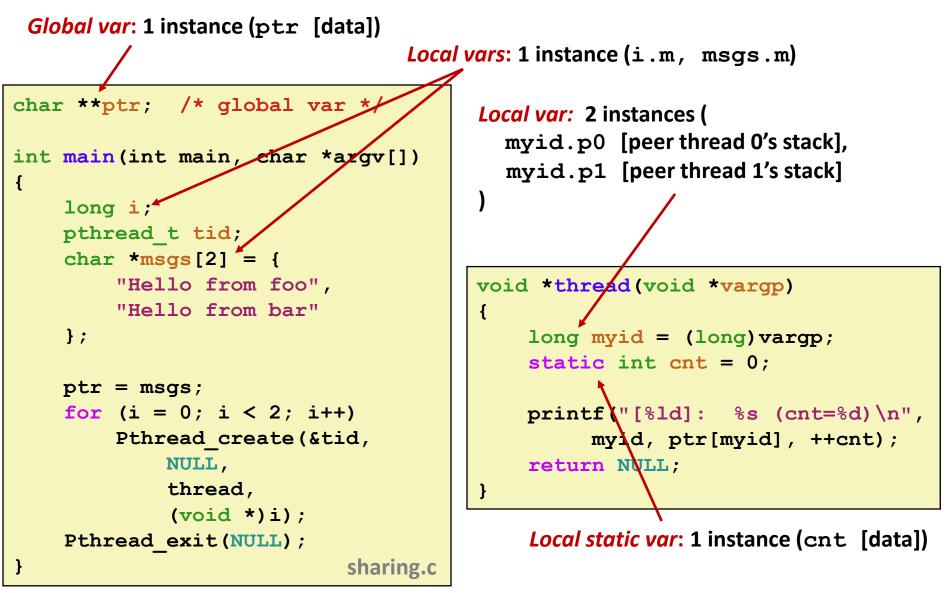
Local variables

- Def: Variable declared inside function without static attribute
- Each thread stack contains one instance of each local variable

Local static variables

- Def: Variable declared inside function with the static attribute
- Virtual memory contains exactly one instance of any local static variable.

Mapping Variable Instances to Memory



Shared Variable Analysis

Which variables are shared?

Variable instance	Referenced by main thread?	Referenced by peer thread 0?	<i>Referenced by peer thread 1?</i>	
ptr	yes	yes	yes	
cnt	no	yes	yes	
i.m	yes	no	no	
msgs.m	yes	yes	yes	
myid.p0	no	yes	no	
myid.p1	no	no	yes	

```
char **ptr; /* global var */
                                        void *thread(void *varqp)
int main(int main, char *argv[]) {
  long i; pthread t tid;
                                          long myid = (long) vargp;
  char *msgs[2] = {"Hello from foo",
                                          static int cnt = 0;
                   "Hello from bar" };
   ptr = msqs;
                                          printf("[\$ld]: \$s (cnt=\$d) \n",
    for (i = 0; i < 2; i++)
                                                  myid, ptr[myid], ++cnt);
        Pthread create(&tid,
                                          return NULL;
            NULL, thread, (void *)i);
    Pthread exit(NULL);}
```

Shared Variable Analysis

Which variables are shared?

Variable instance	Referenced by main thread?	Referenced by peer thread 0?	<i>Referenced by peer thread 1?</i>
ptr	yes	yes	yes
cnt	no	yes	yes
i.m	yes	no	no
msgs.m	yes	yes	yes
myid.p0	no	yes	no
myid.p1	no	no	yes

Answer: A variable x is shared iff multiple threads reference at least one instance of x. Thus:

- ptr, cnt, and msgs are shared
- i and myid are not shared

Synchronizing Threads

- Shared variables are handy...
- ...but introduce the possibility of nasty synchronization errors.

badcnt.c: Improper Synchronization

```
/* Global shared variable */
volatile long cnt = 0; /* Counter */
int main(int argc, char **argv)
    long niters;
    pthread t tid1, tid2;
    niters = atoi(argv[1]);
    Pthread create (&tid1, NULL,
        thread, &niters);
    Pthread create (&tid2, NULL,
        thread, &niters);
    Pthread join(tid1, NULL);
    Pthread join(tid2, NULL);
    /* Check result */
    if (cnt != (2 * niters))
        printf("BOOM! cnt=%ld\n", cnt);
    else
        printf("OK cnt=%ld\n", cnt);
    exit(0);
                                 badcnt.c
```

Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition

```
/* Thread routine */
void *thread(void *vargp)
```

```
long i, niters =
```

```
*((long *)vargp);
```

```
for (i = 0; i < niters; i++)
    cnt++;</pre>
```

return NULL;

ł

linux> ./badcnt 10000
OK cnt=20000
linux> ./badcnt 10000
BOOM! cnt=13051
linux>

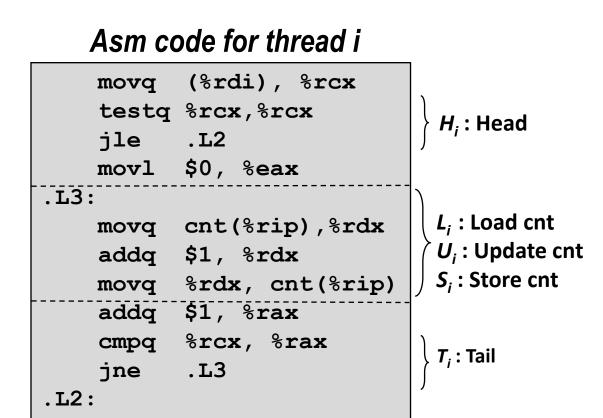
cnt should equal 20,000.

What went wrong?

Assembly Code for Counter Loop

C code for counter loop in thread i

for (i = 0; i < niters; i++)
 cnt++;</pre>



Concurrent Execution

Key idea: In general, any sequentially consistent* interleaving is possible, but some give an unexpected result!

- I_i denotes that thread i executes instruction I
- %rdx_i is the content of %rdx in thread i's context

i (thread)	instr _i	%rdx ₁	%rdx ₂	cnt
1	H ₁	-	-	0
1	L ₁	0	-	0
1	U ₁	1	-	0
1	S ₁	1	-	1
2	H ₂	-	-	1
2	L_2	-	1	1
2	U ₂	-	2	1
2	S ₂	-	2	2
2	T ₂	-	2	2
1	T ₁	1	-	2

*For now. In reality, on x86 even non-sequentially consistent interleavings are possible

ΟΚ

Concurrent Execution

Key idea: In general, any sequentially consistent interleaving is possible, but some give an unexpected result!

- I_i denotes that thread i executes instruction I
- %rdx_i is the content of %rdx in thread i's context

i (thread)	instr _i	%rdx ₁	%rdx ₂	cnt		
1	H ₁	-	-	0]	Thread 1
1	L ₁	0	-	0		critical section
1	U_1	1	-	0		critical section
1	S ₁	1	-	1		Thread 2
2	H ₂	-	-	1		critical section
2	L,	-	1	1		
2	U_2	-	2	1		
2	S ₂	-	2	2		
2	T ₂	-	2	2		
1	T ₁	1	-	2	ОК	

Concurrent Execution (cont)

Incorrect ordering: two threads increment the counter, but the result is 1 instead of 2

i (thread)	instr _i	%rdx ₁	%rdx ₂	cnt	
1	H ₁	-	-	0	
1	L ₁	0	-	0	
1	U ₁	1	-	0	
2	H ₂	-	-	0	
2	L ₂	-	0	0	
1	S ₁	1	-	1	
1	T ₁	1	-	1	
2	U ₂	-	1	1	
2	S ₂	-	1	1	
2	T ₂	-	1	1	Oops!

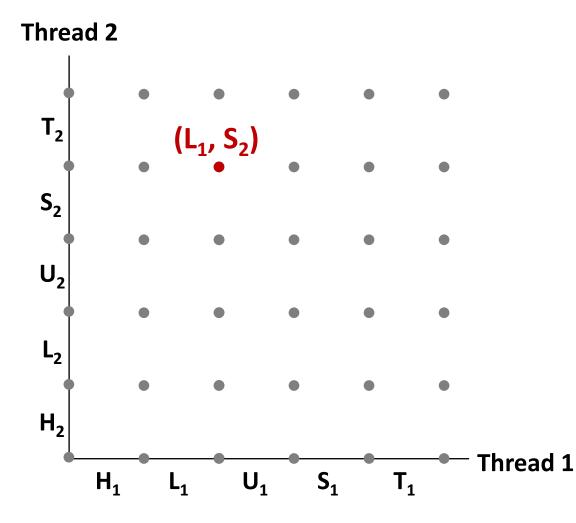
Concurrent Execution (cont)

How about this ordering?

i (thread)	instr _i	%rdx ₁	%rdx ₂	cnt	
1	H ₁			0	
1	L ₁	0			
2	H ₂				
2	L ₂		0		
2	U_2		1		
2	S ₂		1	1	
1	U ₁	1			
1	S ₁	1		1	
1	T ₁			1	
2	T_2			1	Οομ

We can analyze the behavior using a progress graph

Progress Graphs



A progress graph depicts the discrete execution state space of concurrent threads.

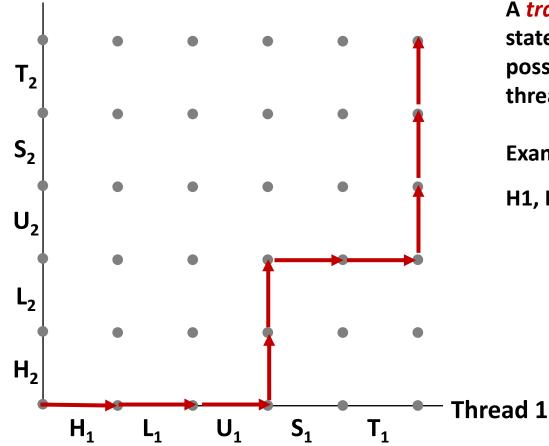
Each axis corresponds to the sequential order of instructions in a thread.

Each point corresponds to a possible *execution state* (Inst₁, Inst₂).

E.g., (L_1, S_2) denotes state where thread 1 has completed L_1 and thread 2 has completed S_2 .

Trajectories in Progress Graphs



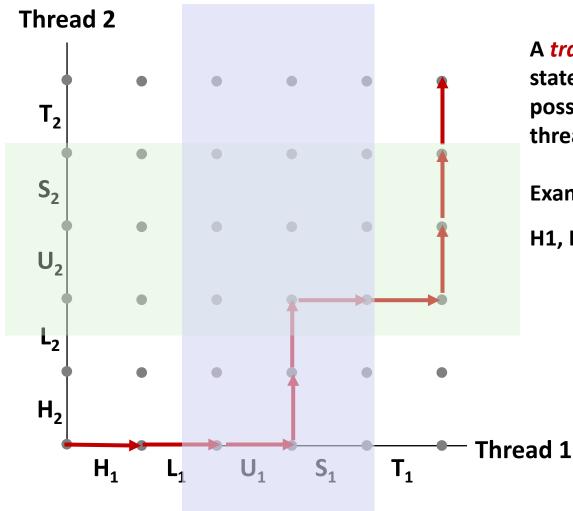


A *trajectory* is a sequence of legal state transitions that describes one possible concurrent execution of the threads.

Example:

H1, L1, U1, H2, L2, S1, T1, U2, S2, T2

Trajectories in Progress Graphs

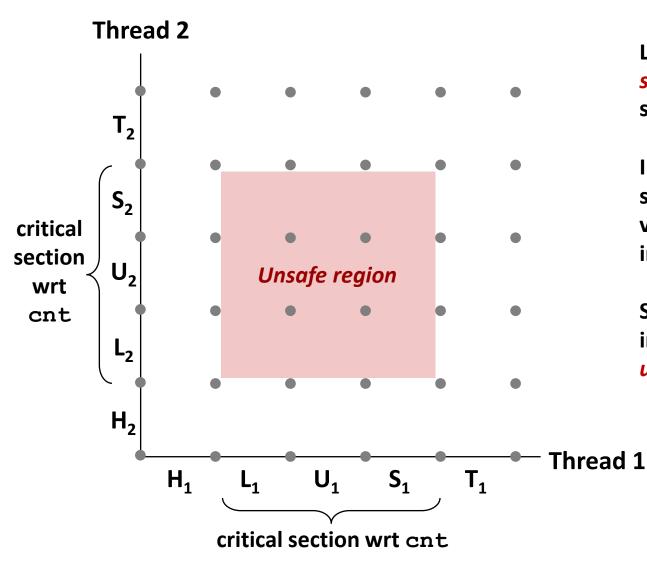


A *trajectory* is a sequence of legal state transitions that describes one possible concurrent execution of the threads.

Example:

H1, L1, U1, H2, L2, S1, T1, U2, S2, T2

Critical Sections and Unsafe Regions

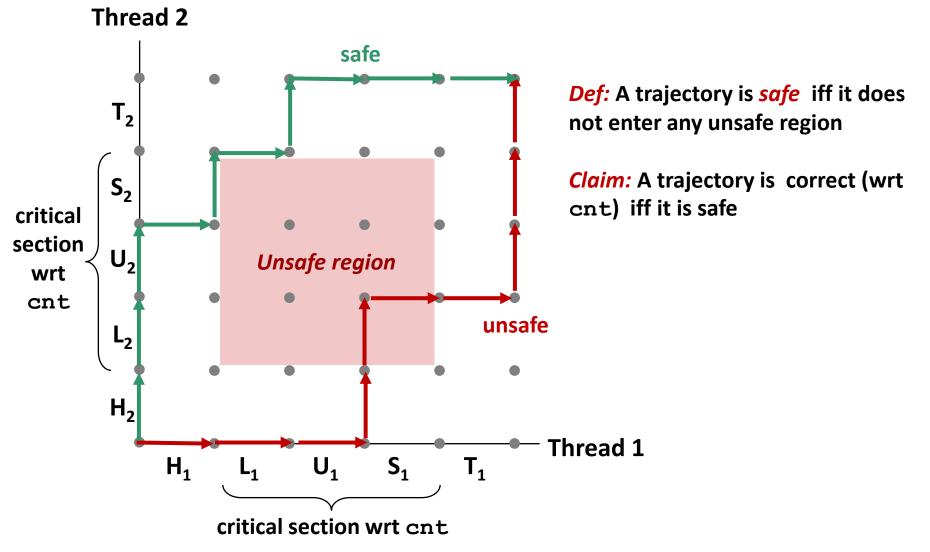


L, U, and S form a *critical section* with respect to the shared variable cnt

Instructions in critical sections (wrt some shared variable) should not be interleaved

Sets of states where such interleaving occurs form *unsafe regions*

Critical Sections and Unsafe Regions



badcnt.c: Improper Synchronization

```
/* Global shared variable */
volatile long cnt = 0; /* Counter */
int main(int argc, char **argv)
    long niters;
    pthread t tid1, tid2;
    niters = atoi(argv[1]);
    Pthread create (&tid1, NULL,
        thread, &niters);
    Pthread create (&tid2, NULL,
        thread, &niters);
    Pthread join(tid1, NULL);
    Pthread join(tid2, NULL);
    /* Check result */
    if (cnt != (2 * niters))
        printf("BOOM! cnt=%ld\n", cnt);
    else
        printf("OK cnt=%ld\n", cnt);
    exit(0);
                                 badcnt.c
```

```
Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition
```

<pre>/* Thread routine */ void *thread(void *vargp)</pre>						
vola *t	nread (voi	d *vargp)				
lon	g i, nite					
	*	((long *)	vargp);			
for	(i = 0;	i < niter	s; i++)			
	cnt++;					
ret	return NULL;					
Variable	main	thread1	thread2			
cnt	yes*	yes	yes			
niters.m	yes	no	no			
tid1.m	yes	no	no			
i.1	no	yes	no			
i.2	no	no	yes			
niters.1	no	yes	no			
niters.2	no	no	yes			

Enforcing Mutual Exclusion

- Question: How can we guarantee a safe trajectory?
- Answer: We must synchronize the execution of the threads so that they can never have an unsafe trajectory.
 - i.e., need to guarantee *mutually exclusive access* for each critical section.

Classic solution:

Semaphores (Edsger Dijkstra)

Semaphores

- Semaphore: non-negative global integer synchronization variable. Manipulated by P and V operations.
- P(s)
 - If *s* is nonzero, then decrement *s* by 1 and return immediately.
 - Test and decrement operations occur atomically (indivisibly)
 - If s is zero, then suspend thread until s becomes nonzero and the thread is restarted by a V operation.
 - After restarting, the P operation decrements s and returns control to the caller.
- V(s):
 - Increment *s* by 1.
 - Increment operation occurs atomically
 - If there are any threads blocked in a P operation waiting for s to become nonzero, then restart exactly one of those threads, which then completes its P operation by decrementing s.

Semaphore invariant: (s >= 0)

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

- Only one *P* or *V* operation at a time can modify s.
- When while loop in P terminates, only that P can decrement s



C Semaphore Operations

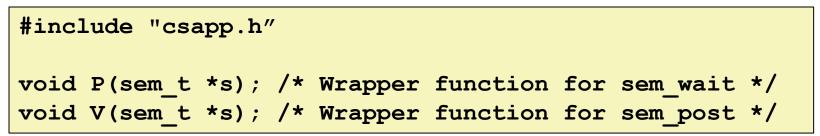
Pthreads functions:

#include <semaphore.h>

int sem init(sem t *s, 0, unsigned int val);} /* s = val */

int sem_wait(sem_t *s); /* P(s) */
int sem_post(sem_t *s); /* V(s) */

CS:APP wrapper functions:



badcnt.c: Improper Synchronization

{

}

```
/* Global shared variable */
volatile long cnt = 0; /* Counter */
int main(int argc, char **argv)
{
    long niters;
    pthread t tid1, tid2;
    niters = atoi(argv[1]);
    Pthread create (&tid1, NULL,
        thread, &niters);
    Pthread create (&tid2, NULL,
        thread, &niters);
    Pthread join(tid1, NULL);
    Pthread join(tid2, NULL);
```

```
/* Check result */
if (cnt != (2 * niters))
    printf("BOOM! cnt=%ld\n", cnt);
else
    printf("OK cnt=%ld\n", cnt);
exit(0);
                              badcnt.c
```

```
/* Thread routine */
void *thread(void *varqp)
    long i, niters =
                *((long *)vargp);
    for (i = 0; i < niters; i++)</pre>
        cnt++;
    return NULL;
```

How can we fix this using semaphores?

Using Semaphores for Mutual Exclusion

Basic idea:

- Associate a unique semaphore *mutex*, initially 1, with each shared variable (or related set of shared variables).
- Surround corresponding critical sections with *P(mutex)* and *V(mutex)* operations.

Terminology:

- Binary semaphore: semaphore whose value is always 0 or 1
- Mutex: binary semaphore used for mutual exclusion
 - P operation: "locking" the mutex
 - V operation: "unlocking" or "releasing" the mutex
 - *"Holding"* a mutex: locked and not yet unlocked.
- Counting semaphore: used as a counter for set of available resources.

goodcnt.c: Proper Synchronization

Define and initialize a mutex for the shared variable cnt:

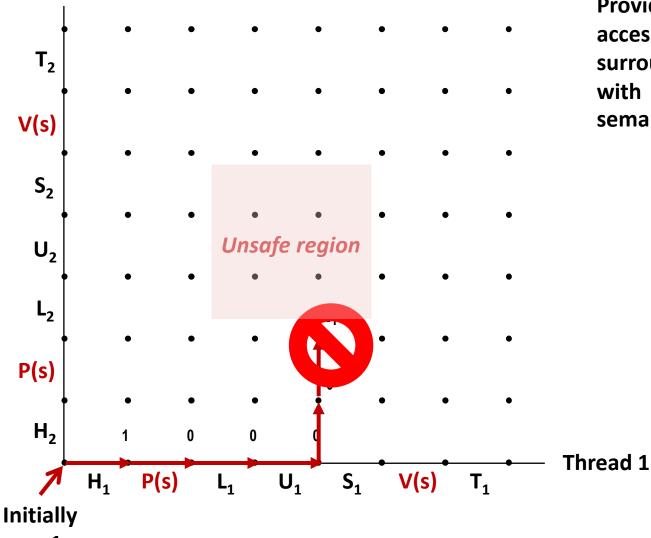
<pre>volatile long cnt = 0; sem_t mutex;</pre>	<pre>/* Counter */ /* Semaphore that protects cnt */</pre>
<pre>sem_init(&mutex, 0, 1);</pre>	/* mutex = 1 */

Surround critical section with *P* and *V*:

<pre>for (i = 0; i < niters; i++ P(&mutex); cnt++; V(&mutex); }</pre>		<pre>linux> ./goodd OK cnt=20000 linux> ./goodd OK cnt=20000 linux></pre>	
	Function	badcnt	goodcnt
Warr	Time (ms) niters = 10 ⁶	12	450
Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edi	Slowdown	1.0	37.5 3

Why Mutexes Work

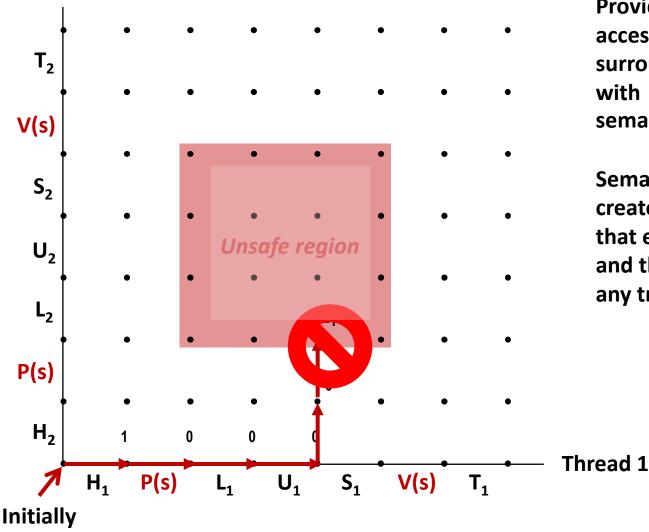




Provide mutually exclusive access to shared variable by surrounding critical section with *P* and *V* operations on semaphore s (initially set to 1)

Why Mutexes Work





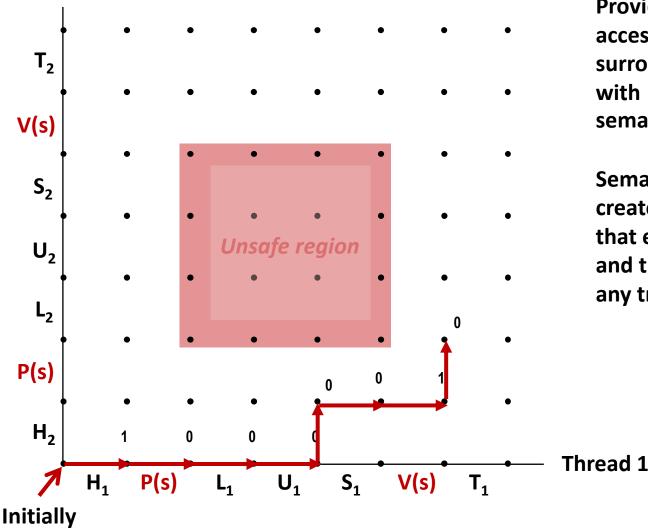
Provide mutually exclusive access to shared variable by surrounding critical section with *P* and *V* operations on semaphore s (initially set to 1)

Semaphore invariant creates a *forbidden region* that encloses unsafe region and that cannot be entered by any trajectory.

S = 1Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition

Why Mutexes Work





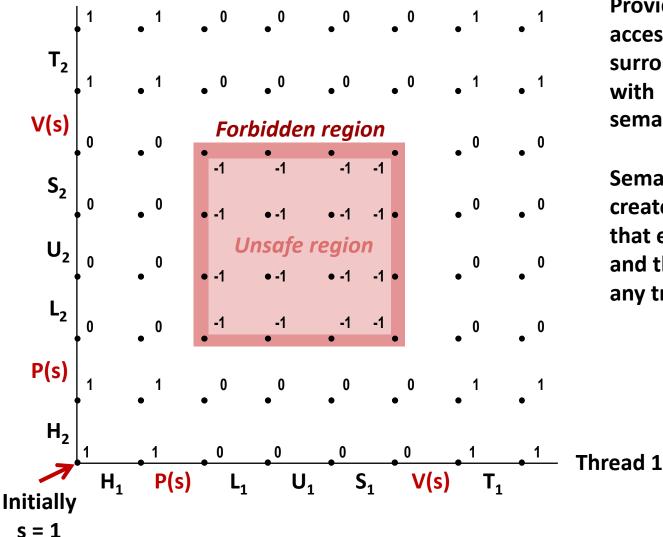
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Why Mutexes Work

Thread 2



Provide mutually exclusive access to shared variable by surrounding critical section with *P* and *V* operations on semaphore s (initially set to 1)

Semaphore invariant creates a *forbidden region* that encloses unsafe region and that cannot be entered by any trajectory.

Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition

Enforcing Mutual Exclusion

- Mutex is special case of semaphore
 - Value either 0 or 1
- Pthreads provides pthread_mutex_t
 - Operations: lock, unlock
- Recommended over general semaphores when appropriate

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goodmcnt.c: Mutex Synchronization

Define and initialize a mutex for the shared variable cnt:

volatile long cnt = 0; /* Counter */
pthread_mutex_t mutex;
pthread_mutex_init(&mutex, NULL); // No special attributes

Surround critical section with *lock* and *unlock*:

	for }	<pre>pthread_mute cnt++;</pre>	<pre>. < niters; i++) { nutex_lock(&mutex); nutex_unlock(&mutex); goodcnt.c</pre>			<pre>linux> ./goodmcnt 10000 OK cnt=20000 linux> ./goodmcnt 10000 OK cnt=20000 linux></pre>		
·			Function	badcnt		goodcnt	goodmcnt	
			Time (ms) niters = 10 ⁶		12	450	214	
Bryant a	and O'Hallaro	n, Computer Systems: A Progra	Slowdown		1.0	37.5	17.8	

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- Mutual exclusion
- Semaphores

Producer-Consumer Synchronization

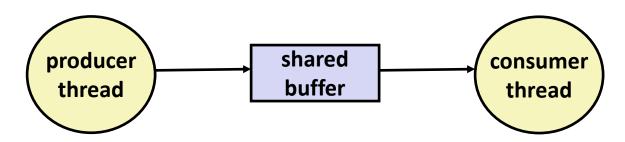
Using Semaphores to Coordinate Access to Shared Resources

- 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

Producer-Consumer Problem



Common synchronization pattern:

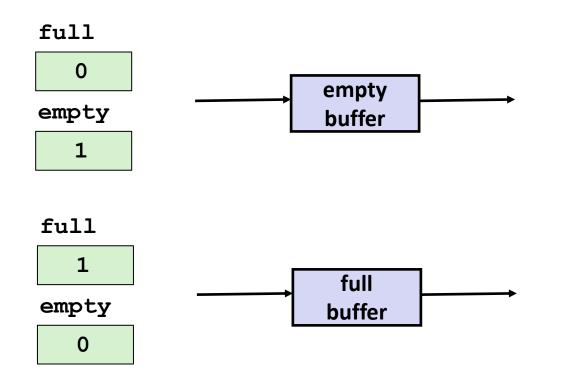
- Producer waits for empty *slot*, inserts item in buffer, and notifies consumer
- Consumer waits for *item*, removes it from buffer, and notifies producer

Examples

- Multimedia processing:
 - Producer creates video frames, consumer renders them
- Event-driven graphical user interfaces
 - Producer detects mouse clicks, mouse movements, and keyboard hits and inserts corresponding events in buffer
 - Consumer retrieves events from buffer and paints the display

Producer-Consumer on 1-element Buffer

Maintain two semaphores: full + empty



Producer-Consumer on 1-element Buffer

#include "csapp.h"

#define NITERS 5

```
void *producer(void *arg);
void *consumer(void *arg);
```

```
struct {
    int buf; /* shared var */
    sem_t full; /* sems */
    sem_t empty;
} shared;
```

```
int main(int argc, char** argv) {
 pthread t tid producer;
 pthread t tid consumer;
  /* Initialize the semaphores */
  Sem init(&shared.empty, 0, 1);
  Sem init(&shared.full, 0, 0);
  /* Create threads and wait */
 Pthread create (&tid producer, NULL,
                 producer, NULL);
 Pthread create (&tid consumer, NULL,
                 consumer, NULL);
 Pthread join(tid producer, NULL);
 Pthread join(tid consumer, NULL);
 return 0;
```

Producer-Consumer on 1-element Buffer

Initially: empty==1, full==0

Producer Thread

```
void *producer(void *arg) {
  int i, item;
  for (i=0; i<NITERS; i++) {</pre>
    /* Produce item */
    item = i;
    printf("produced %d\n",
            item);
    /* Write item to buf */
    P(&shared.empty);
    shared.buf = item;
    V(&shared.full);
  return NULL;
```

Consumer Thread

```
void *consumer(void *arg) {
  int i, item;

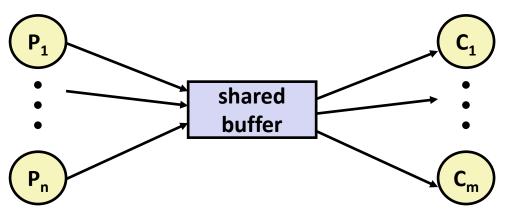
for (i=0; i<NITERS; i++) {
    /* Read item from buf */
    P(&shared.full);
    item = shared.buf;
    V(&shared.empty);

    /* Consume item */
    printf("consumed %d\n", item);
  }
  return NULL;
</pre>
```

Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition

Why 2 Semaphores for 1-Entry Buffer?

Consider multiple producers & multiple consumers



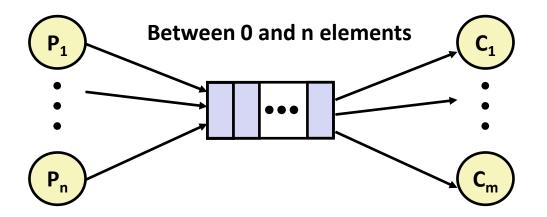
- Producers will contend with each to get empty
- Consumers will contend with each other to get full



<pre>P(&shared.empty);</pre>	empty	1	full	<pre>P(&shared.full);</pre>
<pre>shared.buf = item;</pre>				<pre>item = shared.buf;</pre>
V(&shared.full);		J		V(&shared.empty);

Consumers

Producer-Consumer on an *n***-element Buffer**



Implemented using a shared buffer package called sbuf.

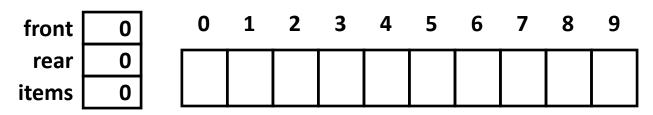
Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition

Circular Buffer (n = 10)

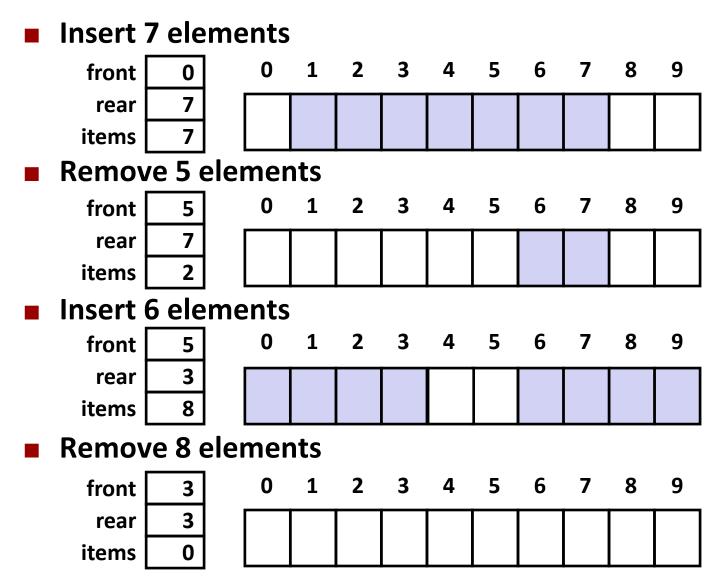
- Store elements in array of size n
- items: number of elements in buffer
- Empty buffer:
 - front = rear

Nonempty buffer

- rear: index of most recently inserted element
- front: (index of next element to remove 1) mod n
- Initially:



Circular Buffer Operation (n = 10)



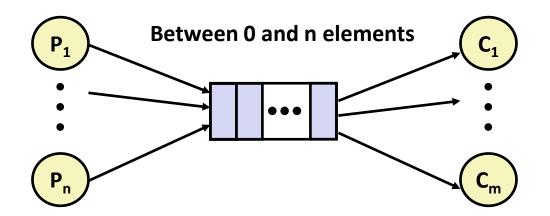
Bryant and O'Hallaron, Computer Systems: A Programmer's Perspective, Third Edition

Sequential Circular Buffer Code

```
init(int v)
   items = front = rear = 0;
}
insert(int v)
{
   if (items >= n)
       error();
   if (++rear >= n) rear = 0;
   buf[rear] = v;
   items++;
}
int remove()
{
   if (items == 0)
       error();
   if (++ front >= n) front = 0;
   int v = buf[front];
   items--;
   return v;
```

Bryant and O'Hanaron, computer systems: A programmer's perspective, mird Edition

Producer-Consumer on an *n*-element Buffer



Requires a mutex and two counting semaphores:

- mutex: enforces mutually exclusive access to the buffer and counters
- slots: counts the available slots in the buffer
- items: counts the available items in the buffer

Makes use of general semaphores

• Will range in value from 0 to n

sbuf Package - Declarations

```
#include "csapp.h"
typedef struct {
   int *buf; /* Buffer array
                                                      */
   int n; /* Maximum number of slots
                                                      */
   int front; /* buf[front+1 (mod n)] is first item */
   int rear; /* buf[rear] is last item
                                                      */
   sem t mutex; /* Protects accesses to buf
                                                      */
                                                      */
   sem t slots; /* Counts available slots
   sem t items; /* Counts available items
                                                      */
} sbuf t;
void sbuf init(sbuf t *sp, int n);
void sbuf deinit(sbuf t *sp);
void sbuf insert(sbuf t *sp, int item);
int sbuf remove(sbuf t *sp);
```

sbuf.h

sbuf Package - Implementation

Initializing and deinitializing a shared buffer:

```
/* Create an empty, bounded, shared FIFO buffer with n slots */
void sbuf init(sbuf t *sp, int n)
{
    sp->buf = Calloc(n, sizeof(int));
                            /* Buffer holds max of n items */
    sp \rightarrow n = n;
    sp->front = sp->rear = 0; /* Empty buffer iff front == rear */
    Sem init(&sp->mutex, 0, 1); /* Binary semaphore for locking */
    Sem init(&sp->slots, 0, n); /* Initially, buf has n empty slots */
    Sem init(&sp->items, 0, 0); /* Initially, buf has zero items */
}
/* Clean up buffer sp */
void sbuf deinit(sbuf t *sp)
{
   Free(sp->buf);
}
```

sbuf Package - Implementation

Inserting an item into a shared buffer:

```
/* Insert item onto the rear of shared buffer sp */
void sbuf insert(sbuf t *sp, int item)
ł
   P(&sp->slots);
                               /* Wait for available slot */
                              /* Lock the buffer
                                                          */
   P(&sp->mutex);
    if (++sp->rear >= sp->n)
                               /* Increment index (mod n)
                                                          */
       sp->rear = 0;
   sp->buf[sp->rear] = item; /* Insert the item
                                                          */
                     /* Unlock the buffer
                                                          */
   V(&sp->mutex);
                                /* Announce available item */
   V(&sp->items);
                                                         sbuf.c
```

sbuf Package - Implementation

Removing an item from a shared buffer:

```
/* Remove and return the first item from buffer sp */
int sbuf remove(sbuf t *sp)
{
    int item;
                                /* Wait for available item */
    P(&sp->items);
    P(&sp->mutex);
                                /* Lock the buffer
                                                             */
    if (++sp->front >= sp->n) /* Increment index (mod n) */
        sp \rightarrow front = 0;
    item = sp->buf[sp->front];
                                /* Remove the item
                                                             */
                                /* Unlock the buffer
                                                             */
   V(&sp->mutex);
                                 /* Announce available slot */
   V(&sp->slots);
    return item;
                                                               sbuf.c
```

Demonstration

- See program produce-consume.c in code directory
- 10-entry shared circular buffer
- 5 producers
 - Agent i generates numbers from 20*i to 20*i 1.
 - Puts them in buffer

5 consumers

Each retrieves 20 elements from buffer

Main program

Makes sure each value between 0 and 99 retrieved once

Summary

- Programmers need a clear model of how variables are shared by threads.
- Variables shared by multiple threads must be protected to ensure mutually exclusive access.
- Semaphores are a fundamental mechanism for enforcing mutual exclusion
 - And can also support producer-consumer synchronization