# COURSE NAME: OPERATING SYSTEMS

MODULE: 3

# **CONTENTS:**

# Process Synchronization:

- Synchronization: The critical section problem;
- Peterson's solution;
- Synchronization hardware;
- Semaphores;
- Classical problems of synchronization;
- Monitors.

# WEB RESOURCES:

https://www.geeksforgeeks.org/operating-systems/

https://www.tutorialspoint.com/operating\_system/index.htm

# PROCESS SYNCHRONIZATION

- A cooperating process is one that can affect or be affected by other processes executing in the system. Cooperating processes can either directly share a logical address space (that is, both code and data) or be allowed to share data only through files or messages.
- Concurrent access to shared data may result in data inconsistency. To maintain data consistency, various mechanisms is required to ensure the orderly execution of cooperating processes that share a logical address space.

#### **Producer- Consumer Problem**

- A Producer process produces information that is consumed by consumer process.
- To allow producer and consumer process to run concurrently, A Bounded Buffer can be used where the items are filled in a buffer by the producer and emptied by the consumer.
- The original solution allowed at most **BUFFER\_SIZE 1** item in the buffer at the same time. To overcome this deficiency, an integer variable *counter*, initialized to 0 isadded.
- *counter* is incremented every time when a new item is added to the buffer and is decremented every time when one item removed from the buffer.

The code for the *producer process* can be modified as follows:

The code for the *consumer process* can be modified as follows:

#### Race Condition

When the producer and consumer routines shown above are correct separately, they may not function correctly when executed concurrently.

#### • Illustration:

Suppose that the value of the variable *counter* is currently 5 and that the producer and consumer processes execute the statements "counter++" and "counter--" concurrently. The value of the variable counter may be 4, 5, or 6 but the only correct result is counter == 5, which is generated correctly if the producer and consumer execute separately.

```
The value of counter may be incorrect as shown below:
```

```
The statement counter++ could be implemented as register1= counter register1 = register1 + 1 counter = register1
```

The statement counter-- could be implemented as

```
register2 = counter
register2 = register2 - 1
count = register2
```

The concurrent execution of "counter++" and "counter--" is equivalent to a sequential execution in which the lower-level statements presented previously are interleaved in some arbitrary order. One such interleaving is

Consider this execution interleaving with "count = 5" initially:

```
S0: producer execute register1=counter {register1 = 5}
S1: producer execute register1 = register1+1 {register1 = 6}
S2: consumer execute register2=counter {register2 = 5}
S3: consumer execute register2 = register2-1 {register2 = 4}
S4: producer execute counter=register1 {count =6}
S5: consumer execute counter=register2 {count =4}
```

- *Note:* It is arrived at the incorrect state "counter == 4", indicating that four buffers are full, when, in fact, five buffers are full. If we reversed the order of the statements at T4 and T5, we would arrive at the incorrect state "counter==6".
- *Definition Race Condition*: A situation where several processes access and manipulate the same data concurrently and the outcome of the execution depends on the particular order in which the access takes place, is called a **Race Condition**.
- To guard against the race condition, ensure that only one process at a time can be manipulating the variable counter. To make such a guarantee, *the processes are synchronized* in some way.

#### **The Critical Section Problems**

- Consider a system consisting of n processes {Po, P1, ..., Pn-1}.
- Each process has a segment of code, called a **critical section** in which the process may be changing common variables, updating a table, writing a file, and soon
- The important feature of the system is that, when one process is executing in its critical section, no other process is to be allowed to execute in its critical section. That is, no two processes are executing in their critical sections at the sametime.
- The critical-section problem is to design a protocol that the processes can use to cooperate.

The general structure of a typical process Pi is shown in below figure.

- Each process must request permission to enter its critical section. The section of code implementing this request is the **entry section**.
- The critical section may be followed by an **exit section**. The remaining code is the **reminder section**.

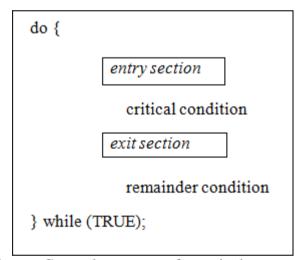


Figure: General structure of a typical process Pi

A solution to the critical-section problem must satisfy the following **three requirements**:

- 1. **Mutual exclusion:** If process Pi is executing in its critical section, then no other processes can be executing in their critical sections.
- 2. **Progress:**If no process is executing in its critical section and some processes wish to enter their critical sections, then only those processes that are not executing in their remainder sections can participate in deciding which will enter its critical section next, and this selection cannot be postponedindefinitely.
- 3. **Bounded waiting:** There exists a bound, or limit, on the number of times that other processes are allowed to enter their critical sections after a process has made a request to enter its critical section and before that request isgranted.

### PETERSON'S SOLUTION

- This is a classic software-based solution to the critical-section problem. There are no guarantees that Peterson's solution will work correctly on modern computer architectures
- Peterson's solution provides a good algorithmic description of solving the criticalsection problem and illustrates some of the complexities involved in designing software that addresses the requirements of mutual exclusion, progress, and bounded waiting.

Peterson's solution is restricted to two processes that alternate execution between their critical sections and remainder sections. The processes are numbered  $P_o$  and  $P_1$  or  $P_i$  and  $P_j$  where j=1-i

Peterson's solution requires the two processes to share two data items:

```
int turn;
boolean flag[2];
```

- turn: The variable turn indicates whose turn it is to enter its critical section. Ex: if turn == i, then process  $P_i$  is allowed to execute in its critical section
- flag: The flag array is used to indicate if a process is ready to enter its critical section. **Ex:** if flag [i] is true, this value indicates that P<sub>i</sub> is ready to enter its critical section.

```
do {
    flag[i] = TRUE;
    turn = j;
    while (flag[j] && turn == j)
        ; // do nothing
    critical section
    flag[i] = FALSE;
    remainder section
} while (TRUE);
```

Figure: The structure of process P<sub>i</sub> in Peterson's solution

- To enter the critical section, process Pi first sets flag [i] to be true and then sets turn to the value j, thereby asserting that if the other process wishes to enter the critical section, it can do so.
- If both processes try to enter at the same time, turn will be set to both i and j at roughly the same time. Only one of these assignments will last, the other will occur but will be over written immediately.

• The eventual value of turn determines which of the two processes is allowed to enter its critical section first

To prove that solution is correct, then we need to show that

- 1. Mutual exclusion is preserved
- 2. Progress requirement is satisfied
- 3. Bounded-waiting requirement is met

### 1. To prove Mutual exclusion

- Each pi enters its critical section only if either flag [j] == false or turn ==i.
- If both processes can be executing in their critical sections at the same time, then flag [0] == flag [1]==true.
- These two observations imply that Pi and Pj could not have successfully executed their while statements at about the same time, since the value of turn can be either 0 or 1 but cannot be both. Hence, one of the processes (Pj) must have successfully executed the while statement, whereas Pi had to execute at least one additional statement ("turn==i").
- However, at that time, flag [j] == true and turn == j, and this condition will persist as long as Pi is in its critical section, as a result, mutual exclusion is preserved.

# 2. To prove Progress and Bounded-waiting

- A process Pi can be prevented from entering the critical section only if it is stuck in the while loop with the condition flag [j] ==true and turn=== j; this loop is the only one possible.
- If Pj is not ready to enter the critical section, then flag [j] == false, and Pi can enter its critical section.
- If Pj has set flag [j] = true and is also executing in its while statement, then either turn === i or turn ====j.
  - If turn == i, then Pi will enter the critical section.
  - If turn== j, then Pj will enter the critical section.
- However, once Pj exits its critical section, it will reset flag [j] = false, allowing Pi to enter its critical section.
- If Pj resets flag [j] to true, it must also set turn to i.
- Thus, since Pi does not change the value of the variable turn while executing the while statement, Pi will enter the critical section (progress) after at most one entry by Pj (bounded waiting).

#### **SYNCHRONIZATIONHARDWARE**

- The solution to the critical-section problem requires a simple tool-alock.
- Race conditions are prevented by requiring that critical regions be protected by locks. That is, a process must acquire a lock before entering a critical section and it releases the lock when it exits the critical section

Figure: Solution to the critical-section problem using locks.

- The critical-section problem could be solved simply in a uniprocessor environment if interrupts are prevented from occurring while a shared variable was being modified. In this manner, the current sequence of instructions would be allowed to execute in order without preemption. No other instructions would be run, so no unexpected modifications could be made to the sharedvariable.
- But this solution is not as feasible in a multiprocessor environment. Disabling
  interrupts on a multiprocessor can be time consuming, as the message is passed to
  all the processors. This message passing delays entry into each critical section,
  and system efficiency decreases.

### **TestAndSet** ( ) and **Swap**( ) instructions

- Many modern computer systems provide special hardware instructions that allowto
  test and modify the content of a word or to swap the contents of two words
  atomically, that is, as one uninterruptibleunit.
- Special instructions such as TestAndSet () and Swap() instructions are used to solve the critical-sectionproblem
- The TestAndSet () instruction can be defined as shown in Figure. The important characteristic of this instruction is that it is executed atomically.

### **Definition:**

```
booleanTestAndSet (boolean *target)
{
    booleanrv = *target;
    *target = TRUE;
    return rv:
}
```

Figure: The definition of the TestAndSet () instruction.

• Thus, if two TestAndSet () instructions are executed simultaneously, they will be executed sequentially in some arbitrary order. If the machine supports the TestAndSet () instruction, then implementation of mutual exclusion can be done by declaring a Boolean variable lock, initialized to false.

```
do {
    while ( TestAndSet (&lock ))
    ; // do nothing
    // critical section
    lock =FALSE;
    // remaindersection
} while (TRUE);
```

Figure: Mutual-exclusion implementation with TestAndSet ()

• The Swap() instruction, operates on the contents of two words, it is defined as shown below

#### **Definition:**

```
void Swap (boolean *a, boolean *b)
{
          boolean temp = *a;
          *a = *b;
          *b = temp:
}
```

Figure: The definition of the Swap () instruction

- Swap() it is executed atomically. If the machine supports the Swap() instruction, then mutual exclusion can be provided as follows.
- A global Boolean variable lock is declared and is initialized to false. In addition, each process has a local Boolean variable key. The structure of process Pi is shown in below

```
do {
    key = TRUE;
    while ( key == TRUE) Swap
        (&lock, &key );

    // critical section
    lock =FALSE;
    // remaindersection
} while (TRUE);
```

Figure: Mutual-exclusion implementation with the Swap() instruction

- These algorithms satisfy the mutual-exclusion requirement, they do not satisfy the bounded- waiting requirement.
- Below algorithm using the TestAndSet () instruction that satisfies all the criticalsection requirements. The common data structures are

```
boolean waiting[n];
boolean lock;
```

These data structures are initialized to false.

```
do {
              waiting[i] = TRUE;
              key = TRUE;
              while (waiting[i] && key)
                      key = TestAndSet(&lock);
              waiting[i] = FALSE;
                      // critical section j
              = (i + 1) \% n;
              while ((i!=i) \&\& !waiting[i])
                      i = (i + 1) \% n;
              if (j == i)
                      lock = FALSE:
              else
                      waiting[j] = FALSE;
                      // remainder section
       } while (TRUE);
```

Figure:Bounded-waiting mutual exclusion with TestAndSet ()

## 1. To prove the mutual exclusion requirement

- Note that process Pi can enter its critical section only if either waiting [i] == false or key == false.
- The value of key can become false only if the TestAndSet() is executed.
- The first process to execute the TestAndSet() will find key== false; all others must wait.
- The variable waiting[i] can become false only if another process leaves its critical section; only one waiting[i] is set to false, maintaining the mutual-exclusion requirement.

## 2. To prove the progressrequirement

Note that, the arguments presented for mutual exclusion also apply here, since a process exiting the critical section either sets lock to false or sets waiting[j] to false. Both allow a process that is waiting to enter its critical section to proceed.

### 3. To prove the bounded-waiting requirement

- Note that, when a process leaves its critical section, it scans the array waiting in the cyclic ordering (i + 1, i + 2, ..., n 1, 0, ..., i 1).
- It designates the first process in this ordering that is in the entry section (waiting[j] ==true) as the next one to enter the critical section. Any process waiting to enter its critical section will thus do so within n 1 turns.

#### **SEMAPHORE**

- A semaphore is a synchronization tool is used solve various synchronization problem and can be implemented efficiently.
- Semaphore do not require busywaiting.
- A semaphore S is an integer variable that, is accessed only through two standard atomic operations: wait () and signal (). The wait () operation was originally termed P and signal() was calledV.

#### **Definition of wait ():**

### **Definition of signal ():**

• All modifications to the integer value of the semaphore in the wait () and signal() operations must be executed indivisibly. That is, when one process modifies the semaphore value, no other process can simultaneously modify that same semaphore value.

## Binary semaphore

- The value of a binary semaphore can range only between 0 and 1.
- Binary semaphores are known as mutex locks, as they are locks that provide mutual exclusion. Binary semaphores to deal with the critical-section problem for multiple processes. Then processes share a semaphore, mutex, initialized to1

Each process Pi is organized as shown in below figure

Figure: Mutual-exclusion implementation with semaphores

#### **Counting semaphore**

- The value of a counting semaphore can range over an unrestricted domain.
- Counting semaphores can be used to control access to a given resource consisting of a finite number of instances.
- The semaphore is initialized to the number of resources available. Each process that wishes to use a resource performs a wait() operation on the semaphore. When a process releases a resource, it performs a signal()operation.
- When the count for the semaphore goes to 0, all resources are being used. After that, processes that wish to use a resource will block until the count becomes greater than 0.

#### **Implementation**

- The main disadvantage of the semaphore definition requires busywaiting.
- While a process is in its critical section, any other process that tries to enter its critical section must loop continuously in the entry code.
- This continual looping is clearly a problem in a real multiprogramming system, where a single CPU is shared among many processes.

• Busy waiting wastes CPU cycles that some other process might be able to use productively. This type of semaphore is also called a **spinlock** because the process "spins" while waiting for the lock.

Semaphore implementation with no busy waiting

- The definition of the wait() and signal() semaphore operations is modified.
- When a process executes the wait () operation and finds that the semaphore value is not positive, it mustwait.
- However, rather than engaging in busy waiting, the process can block itself. The block operation places a process into a waiting queue associated with the semaphore, and the state of the process is switched to the waiting state. Then control is transferred to the CPU scheduler, which selects another process to execute.
- A process that is blocked, waiting on a semaphore S, should be restarted when some other process executes a signal() operation. The process is restarted by a wakeup() operation, which changes the process from the waiting state to the ready state. The process is then placed in the readyqueue.
- To implement semaphores under this definition, we define a semaphore as a "C" struct:

- Each semaphore has an integer value and a list of processes list. When a process must wait on a semaphore, it is added to the list of processes. A signal() operation removes one process from the list of waiting processes and awakens that process.
- The wait() semaphore operation can now be defined as:

```
wait(semaphore *S) {
    S->value--;
    if (S->value < 0) {
        add this process to S-
        >list; block();
    }}
```

• The signal () semaphore operation can now be defined as

- The block() operation suspends the process that invokes it. The wakeup(P) operation resumes the execution of a blocked process P. These two operations are provided by the operating system as basic systemcalls.
- In this implementation semaphore values may be negative. If a semaphore value is negative, its magnitude is the number of processes waiting on thatsemaphore.

#### **Deadlocks and Starvation**

- The implementation of a semaphore with a waiting queue may result in a situation where two or more processes are waiting indefinitely for an event that can be caused only by one of the waiting processes. The event in question is the execution of a signal () operation. When such a state is reached, these processes are said to be deadlocked.
- To illustrate this, consider a system consisting of two processes, Po and P1, each accessing two semaphores, S and Q, set to the value 1

```
\begin{array}{ccc} P_0 & P_1 \\ \text{wait}(S); & \text{wait}(Q); \\ \text{wait}(Q); & \text{wait}(S); \\ & \cdot & \cdot \\ & \cdot & \cdot \\ & \cdot & \cdot \\ \text{signal}(S); & \text{signal}(Q); \\ \text{signal}(Q); & \text{signal}(S); \end{array}
```

• Suppose that Po executes wait (S) and then P1 executes wait (Q). When Poexecutes wait (Q), it must wait until P1 executes signal (Q). Similarly, when P1 executes wait (S), it must wait until Po executes signal(S). Since these signal() operations cam1ot be executed, Po and P1 are deadlocked.

- Another problem related to deadlocks is indefinite blocking or starvation: A situation in which processes wait indefinitely within the semaphore.
- Indefinite blocking may occur if we remove processes from the list associated with a semaphore in LIFO (last-in, first-out) order.

#### CLASSICAL PROBLEMS OF SYNCHRONIZATION

- Bounded-BufferProblem
- Readers and WritersProblem
- Dining-PhilosophersProblem

#### **Bounded-Buffer Problem**

- N buffers, each can hold one item
- Semaphore **mutex**initialized to the value 1
- Semaphore **full** initialized to the value0
- Semaphore empty initialized to the value N.

```
while (true)
{

// produce an item
wait (empty);
wait (mutex);
// add the item to the buffer
signal (mutex);
signal (full);
}
```

The structure of the producer process:

```
while (true)
{

wait (full);
wait (mutex);
// remove an item from buffer
signal (mutex);
signal (empty);
// consume the removed item
}
```

The structure of the consumerprocess:

#### **Readers-Writers Problem**

- A data set is shared among a number of concurrent processes
- Readers only read the data set; they do **not** perform anyupdates
- Writers can both read andwrite.
- Problem allow multiple readers to read at the same time. Only one single writer can access the shared data at the sametime.
  - SharedData
  - Dataset
  - Semaphore **mutex**initialized to 1.
  - Semaphore wrtinitialized to1.
  - Integer **readcount**initialized to 0.

The structure of a writerprocess

The structure of a readerprocess

### **Dining-Philosophers Problem**

Consider five philosophers who spend their lives thinking and eating. The philosophers share a circular table surrounded by five chairs, each belonging to one philosopher. In the center of the table is a bowl of rice, and the table is laid with five singlechopsticks.



A philosopher gets hungry and tries to pick up the two chopsticks that are closest to her (the chopsticks that are between her and her left and right neighbors). A philosopher may pick up only one chopstick at a time. When a hungry philosopher has both her chopsticks at the same time, she eats without releasing the chopsticks. When she is finished eating, she puts down both chopsticks and starts thinkingagain.

It is a simple representation of the need to allocate several resources among several processes in a deadlock-free and starvation-freemanner.

Solution:One simple solution is to represent each chopstick with a semaphore. A philosopher tries to grab a chopstick by executing a wait() operation on thatsemaphore. She releases her chopsticks by executing the signal() operation on the appropriate semaphores. Thus, the shared data are

# semaphore chopstick[5];

where all the elements of chopstick are initialized to 1. The structure of philosopher i is shown

Several possible remedies to the deadlock problem are replaced by:

• Allow at most four philosophers to be sitting simultaneously at thetable.

- Allowaphilosophertopickupherchopsticksonlyifbothchopsticksareavailable.
- Use an asymmetric solution—that is, an odd-numbered philosopher picks up first her left chopstick and then her right chopstick, whereas an even numbered philosopher picks up her right chopstick and then her leftchopstick.

## **Problems with Semaphores**

Correct use of semaphore operations:

- signal (mutex) .... wait (mutex) : Replace signal with wait and vice-versa
- wait (mutex) ... wait(mutex)
- Omitting of wait (mutex) or signal (mutex) (orboth)

#### **Monitor**

- An **abstract data type**—or **ADT**—encapsulates data with a set of functions to operate on that data that are independent of any specific implementation of the ADT.
- A *monitor type* is an ADT that includes a set of programmer defined operations that are provided with mutual exclusion within the monitor. The monitor type also declares the variables whose values define the state of an instance of that type, along with the bodies of functions that operate on those variables.
- The monitor construct ensures that only one process at a time is active within the monitor.

```
monitor monitor name
{
    // shared variable declarations
    procedure P1 ( . . . ) {
        . . .
    }
    procedure P2 ( . . . ) {
        . . .
    procedure Pn ( . . . ) {
        . . .
    }
    initialization code ( . . . ) {
        . . .
    }
}
```

Syntax of the monitor

• To have a powerful Synchronization schemes a *condition* construct is added to the Monitor. So synchronization scheme can be defined with one or more variables of type *condition* Two operations on a condition variable:

## Condition x, y

• The only operations that can be invoked on a condition variable are wait() and signal(). The operation

x.wait () – a process that invokes the operation is suspended.
x.signal () – resumes one of processes (if any) that invoked x.wait ()

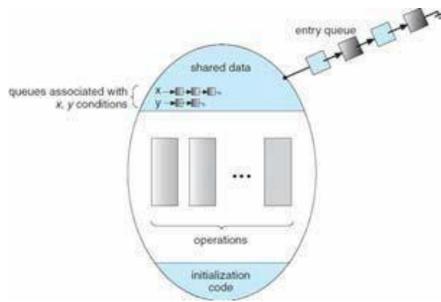


Fig: Monitor with Condition Variables

### **Solution to Dining Philosophers**

Each philosopher I invokes the operations pickup() and putdown() in the following

```
monitor DP
      enum { THINKING; HUNGRY, EATING) state [5];
      condition self [5];
      void pickup (int i) {
      state[i] = HUNGRY;
      if (state[i] != EATING)
             self [i].wait;
void putdown (int i)
      state[i] = THINKING;
      // test left and right neighbors
      test((i + 4) \% 5);
      test((i + 1) \% 5);
void test (int i)
      if((state[(i+4)%5]!=EATING)&&(state[i]==HUNGRY)&&(state[(i+1)%5]!=EATING))
             state[i] = EATING;
             self[i].signal();
}
initialization code()
       for (int i = 0; i < 5; i++)
             state[i] = THINKING;
```

- For each monitor, a semaphore mutex (initialized to 1) is provided. A process must execute wait(mutex) before entering the monitor and must execute signal(mutex) after leaving the monitor.
- Since a signaling process must wait until the resumed process either leaves or waits, an additional semaphore, next, is introduced, initialized to 0. The signaling processes can use next to suspend themselves. An integer variable next\_count is also provided to count the number of processes suspended on next. Thus ,each external function F is replaced by

```
wait(mutex);
...
body of F
...
if (next_count > 0)
   signal(next);
else
   signal(mutex);
```

• For each condition x, we introduce a semaphore x sem and an integer variable x count, both initialized to 0. The operation x.wait() can now be implemented as

```
x_count++;
if (next_count > 0)
    signal(next);
else
    signal(mutex);
wait(x_sem);
x_count--;
```

• The operation x.signal() can be implemented as

```
if (x_count > 0) {
  next_count++;
  signal(x_sem);
  wait(next);
  next_count--;
}
```

# **Resuming Processes within a Monitor**

If several processes are suspended on condition x, and an x.signal() operation is executed by some process, then to determine which of the suspended processes should be resumed next, one simple solution is to use a first-come, first-served (FCFS)ordering, so that the process that has been waiting the longest is resumed first. For this purpose, the **conditional-wait** construct can be used. This construct has theform

```
x.wait(c);
```

where c is an integer expression that is evaluated when the wait() operation is executed. The value of c, which is called a **priority number**, is then stored with the name of the process that is suspended. When x.signal() is executed, the process with the smallest priority number is resumednext.

```
monitor ResourceAllocator
{
  boolean busy;
  condition x;

  void acquire(int time) {
    if (busy)
       x.wait(time);
    busy = TRUE;
  }

  void release() {
    busy = FALSE;
      x.signal();
  }

  initialization_code() {
    busy = FALSE;
  }
}
```

- The Resource Allocator monitor shown in the above Figure, which controls the allocation of a single resource among competing processes.
- A process that needs to access the resource in question must observe the following sequence:

```
R.acquire(t);
...
access the resource;
...
R.release();
```

where R is an instance of type Resource Allocator.

- The monitor concept cannot guarantee that the preceding access sequence will be observed. In particular, the following problems can occur:
- A process might access a resource without first gaining access permission to the resource.
- A process might never release a resource once it has been granted access to the resource.
- A process might attempt to release a resource that it neverrequested.
- A process might request the same resource twice (without first releasing the resource)