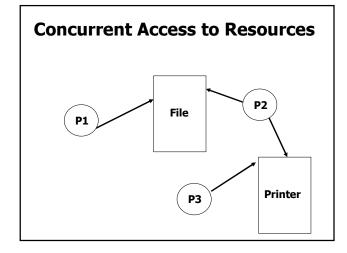
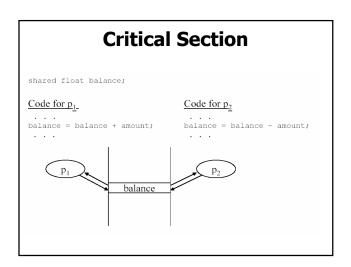
#### Concurrency: Mutual Exclusion and Synchronization

Sistemas de Operação, 1º Semestre 2004-2005

#### **Concurrency**

- Communication among processes.
- Sharing resources.
- Synchronization of multiple processes.





# Code for p<sub>1</sub> balance = balance + amount; Code for p<sub>2</sub> balance = balance + amount; balance = balance - amount; Code for p<sub>1</sub> load fl, balance load R2, amount add R1, R2 store R1, balance Store R1, balance

#### **Race Conditions**

- There is a <u>race</u> to execute critical sections
- The sections may be different code in different processes
  - Cannot detect with static analysis
- Results of multiple execution are not <u>determinate</u>
- Need an OS mechanism to resolve races

## Competition Among Processes for Resources

- Mutual Exclusion
  - Critical sections
    - Only one program at a time is allowed in its critical section
- Deadlock
- Livelock
- Starvation

#### **Mutual Exclusion**

```
/* program mutualexclusion */
const int n = /* number of processes */;

void P(int i)
{
    while (true)
    {
        entercritical (i);
        /* critical section */;
        exiteritical (i);
        /* remainder */;
    }
} void main()
{
    parbegin (P(R<sub>1</sub>), P(R<sub>2</sub>),...,P(R<sub>n</sub>));
}

Figure 5.1 Mutual Exclusion
```

### Requirements for Mutual Exclusion

- Only one process at a time is allowed in the critical section for a resource.
- A process that halts in its non-critical section must do so without interfering with other processes.
- There should be no deadlock or starvation.

### Requirements for Mutual Exclusion

- A process must not be delayed access to a critical section when there is no other process using it.
- No assumptions are made about relative process speeds or number of processes.
- A process remains inside its critical section for a finite time only.

#### **Busy Waiting: First Attempt**

/\* PROCESS 0 /\*

while (turn != 0)
 /\* do nothing \*/;
 /\* critical section\*/;
 turn = 1;

/\* PROCESS 1 \*/

while (turn != 1)
 /\* do nothing \*/;
 /\* critical section\*/;
 turn = 0;

#### **First Attempt**

#### Busy Waiting

- Process is always checking to see if it can enter the critical section. CPU=100%!
- Process can do nothing productive until it gets permission to enter its critical section.
  - Guarantees mutual exclusion
  - Processes must strictly alternate in use of their critical sections
  - If one process fails, the other process is permanently blocked

#### **Busy Waiting: Second Attempt**

```
Flag[0] = false;
/* PROCESS 0 */

•

while (flag[1])
/* do nothing */;
flag[0] = true;
/*critical section*/;
flag[0] = false;
•

Flag[1] = false;
/* PROCESS 1 */

•

while (flag[0])
/* do nothing */;
flag[1] = true;
/* critical section*/;
flag[1] = false;
•

•
```

#### **Second Attempt**

- Each process can examine the other's status but cannot alter it.
- When a process wants to enter the critical section is checks the other processes first.
- If no other process is in the critical section, it sets its status for the critical section.
- This method does not guarantee mutual exclusion.
- Each process can check the flags and then proceed to enter the critical section at the same time.

#### **Busy Waiting: Third Attempt**

```
/* PROCESS 0 */

flag[0] = true;
while (flag[1])
/* do nothing */;
/* critical section*/;
flag[0] = false;

flag[1] = true;
while (flag[0])
/* do nothing */;
/* critical section*/;
flag[1] = false;

flag[1] = true;
while (flag[0])
/* do nothing */;
/* critical section*/;
flag[1] = false;
```

#### **Third Attempt**

- Set flag to enter critical section before check other processes.
- If another process is in the critical section when the flag is set, the process is blocked until the other process releases the critical section.
- **Deadlock** is possible when two process set their flags to enter the critical section. Now each process must wait for the other process to release the critical section.

#### **Busy Waiting: Fourth Attempt**

```
/* PROCESS 0 */
                                   /* PROCESS 1 */
flag[0] = true;
                                   flag[1] = true;
while (flag[1])
                                   while (flag[0])
   flag[0] = false;
                                       flag[1] = false;
   /*delay */;
                                       /*delay */;
   flag[0] = true;
                                       flag[1] = true;
/*critical section*/;
                                   /* critical section*/;
flag[0] = false;
                                   flag[1] = false;
```

#### **Fourth Attempt**

- A process sets its flag to indicate its desire to enter its critical section but is prepared to reset the flag.
- Other processes are checked. If they are in the critical region, the flag is reset and later set to indicate desire to enter the critical region. This is repeated until the process can enter the critical region.

#### **Fourth Attempt**

- P0 sets flag[0] to true
- P1 sets flag[1] to true
- P0 checks flag[1]
- P1 checks flag[0]
- P0 sets flag[0] to false
- P1 sets flag[1] to false
- P0 sets flag[0] to true
- P1 sets flag[0] to true
- It is possible for each process to set their flag, check other processes, and reset their flags
- this sequence could be extended indefinitely, and neither process could enter its critical section

#### Dekker's and Peterson's Algorithms

- Each process gets a turn at the critical section.
- If a process wants the critical section, it sets its flag and may have to wait for its turn.

#### 

```
Peterson's Algorithm
boolean flag [2];
                                       void P1()
                                                                              void main()
void P0()
                                          while (true)
                                                                                flag [0] = false;
                                                                                flag [1] = false;
                                            flag [1] = true;
  while (true)
                                                                                parbegin (P0, P1);
                                            while (flag [0] && turn == 0)
     flag [0] = true;
     turn = 1:
                                              /* do nothing */;
     while (flag [1] && turn == 1)
     /* do nothing */;
/* critical section */;
                                           flag [1] = false;
/* remainder */
     flag [0] = false;
/* remainder */;
```

# Hardware Support: Interrupt Disabling

code for p<sub>1</sub>
disableInterrupts();
balance = balance + amount;
enableInterrupts();

code for p<sub>2</sub>
disableInterrupts();
balance = balance - amount;
enableInterrupts();
enableInterrupts();

#### Mutual Exclusion: Hardware Support

#### Interrupt Disabling

- A process runs until it invokes an operating-system service or until it is interrupted.
- Disabling interrupts guarantees mutual exclusion.
- Processor is limited in its ability to interleave programs.
- Multiprocessing
  - disabling interrupts on one processor will not guarantee mutual exclusion

# **Mutual Exclusion:** Hardware Support

- Special Machine Instructions
  - Performed in a single instruction cycle
  - Not subject to interference from other. instructions.
- Test and Set Instruction

```
boolean testset (int i) {
    if (i == 0) {
        i = 1;
        return true;
    }
    else {
        return false;
    }
}
```

#### **Test-and-Set: Mutual Exclusion**

### Disadvantages Machine Instructions

- Busy-waiting consumes processor time.
- **Starvation** is possible when a process leaves a critical section and more than one process is waiting.
- Deadlock
  - If a low priority process has the critical region and a higher priority process needs, the higher priority process will obtain the processor to wait for the critical region.

#### **Semaphores**

- Special variable called a semaphore is used for signaling.
- If a process is waiting for a signal, it is suspended until that signal is sent.
- Wait and signal operations cannot be interrupted.
- A Queue is used to hold processes waiting on the semaphore.

#### **Semaphores (by Dijkstra)**

- Operations defined on a semaphore
  - semaphore may be initialized to a nonnegative value
  - wait operation decrements the semaphore value. If the value becomes negative, then the process executing the wait is blocked
  - signal operation increments the semaphore value. If the value is not positive, then a process blocked by a wait operation is unblocked

#### **Semaphore Operations**

Operation	Semaphore	Dutch	Meaning
Wait	P	proberen	test
Signal	V	verhogen	increment

#### **Semaphores**

• A <u>semaphore</u>, s, is a nonnegative integer variable that can only be changed or tested by these two indivisible functions:

```
V(s): [s = s + 1]

P(s): [while(s == 0) {wait}; s = s - 1]
```

 $V(s) = sem\_signal(s)$ 

 $P(s) = sem_wait(s)$ 

#### **Pseudo-Code: Semaphore**

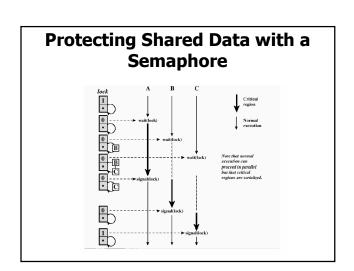
```
struct semaphore {
    int count;
    queue Type queue;
}
void wait(semaphore s) {
    s.count--;
    if (s.count < 0) {
        place this process in s.queue;
        block this process
}
void signal(semaphore s) {
    s.count++;
    if (s.count <= 0) {
        remove a process P from s.queue;
        place process P on ready list;
    }
}
Figure 5.6 A Definition of Semaphore Primitives
```

# 

```
Proc_0() {
    while(TRUE) {
        <compute section>;
        wait(mutex)
        <critical section>;
        signal(mutex)
    }
}
semaphore mutex = 1;
fork(proc_0, 0);
fork(proc_1, 0);

proc_1() {
    while(TRUE {
        <compute section>;
    wait(mutex)
        <critical section>;
    signal(mutex)
    }
}
semaphore mutex = 1;
fork(proc_0, 0);
fork(proc_1, 0);
```

# Shared Account Problem Proc\_0() { /\* Enter the CS \*/ wait(mutex) balance += amount; signal(mutex) } semaphore mutex = 1; fork(proc\_0, 0); fork(proc\_1, 0);



#### **Weak and Strong Semaphores**

- Strong Semaphore: fifo order.
- **Weak Semaphore**: does not specify the order in which processes are removed from the queue.

#### **Deadlock**

- **Deadlock** two or more processes are waiting indefinitely for an event that can be caused by only one of the waiting processes.
- Let S and Q be two semaphores initialized to 1

P0 P1
wait(S); wait(Q);
wait(Q); wait(S);
M M
signal(S); signal(Q);
signal(S);

 Starvation – indefinite blocking. A process may never be removed from the semaphore queue in which it is suspended.

# Producer/Consumer Problem (Infinite Bufffer)

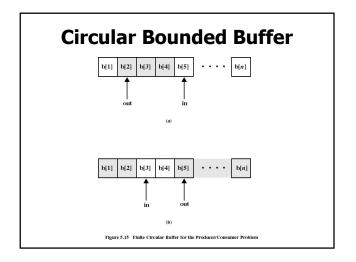
- One or more producers are generating data and placing these in a buffer.
- A single consumer is taking items out of the buffer one at time.
- Only one producer or consumer may access the buffer at any one time.

# Infinite Buffer | b[1] | b[2] | b[3] | b[4] | b[5] | .... | | out | in | Note: shaded area indicates portion of buffer that is occupied | Figure 5.11 | Infinite Buffer for the Producer/Consumer Problem

# producer: while (true) { /\* produce item v \*/ b[in] = v; in++; }

```
consumer:
while (true) {
  while (in <= out)
    /*do nothing */;
  w = b[out];
  out++;
  /* consume item w */
}</pre>
```

```
Solution (w/ binary semaphores)
         /* program producerconsumer */ int n;
                                                      void consumer()
                                                         int m; /* a local variable */
         binary_semaphore s = 1;
                                                          waitB(delay);
while (true)
             while (true)
                                                             waitB(s);
                                                             take();
n--;
m = n;
               produce();
                waitB(s);
                                                             signalB(s);
consume();
if (m==0) waitB(delay);
               append();
               n++;
if (n==1) signalB(delay);
signalB(s);
                                                       void main()
                                                         parbegin (producer, consumer);
```



# Producer with Circular Buffer

```
producer:
while (true) {
   /* produce item v */
   while ((in + 1) % n == out) /*
   do nothing */;
   b[in] = v;
   in = (in + 1) % n
}
```

## Consumer with Circular Buffer

```
consumer:
while (true) {
  while (in == out)
     /* do nothing */;
  w = b[out];
  out = (out + 1) % n;
  /* consume item w */
}
```

# Solution for the Bounded Buffer

```
/** program boundedbuffer **/
const int sizeofbuffer = /* buffer size */;
semaphore s = 1;
semaphore e= sizeofbuffer;
void producer()

while (true)

while (true)

while (true)

while (true)

while (true)

signal(s);
signal(s);
signal(s);
signal(s);
signal(s);
signal(s);
signal(s);
signal(s);
signal(s);

append();
void main()

signal(n)

parbegin (producer, consumer);
}
```

reversed in the Producer?

### Implementation of Semaphores

- Wait and Signal should be implemented as atomic primitives
  - zcan be implemented as hardware instructions
  - software schemes can be used
  - this would entail a substantial processing overhead
  - hardware-supported schemes can be used

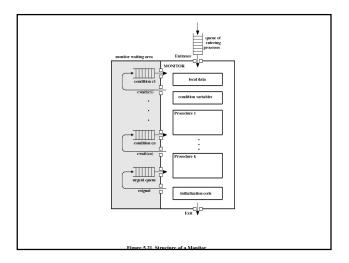
```
wait(s)
                                                                                                          wait(s)
                                                                                                                \label{eq:count-state} \begin{split} & \text{inhibit interrupts;} \\ & \text{s.count---;} \\ & \textbf{if} \left( \text{s.count} \leq \theta \right) \end{split}
       while (!testset(s.flag))
/* do nothing */;
        s.count--;
if (s.count < 0)
                                                                                                                     place this process in s.queue;
block this process and allow interrupts
            place this process in s.queue; block this process (must also set s.flag to 0)
                                                                                                                 else
allow interrupts;
       else
s.flag = 0;
                                                                                                          signal(s)
signal(s)
                                                                                                                 inhibit interrupts;
       while (!testset(s.flag))
/* do nothing */;
s.count++;
if (s.count <= 0)
                                                                                                                 s.count++;
if (s.count <= 0)
                                                                                                                 {
    remove a process P from s.queue;
    place process P on ready list
            remove a process P from s.queue; place process P on ready list
                                                                                                                 allow interrupts;
        s.flag = 0;
                                                                                                          (b) Interrupts
(a) Testset Instruction
```

#### **Monitors**

- ∠Problems using semaphores
  - may be difficult to produce a correct program
  - operations are scattered throughout a program
- - Local data variables are accessible only by the monitor
  - Process enters monitor by invoking one of its procedures
  - Only one process may be executing in the monitor at a time

#### **Operations for Synchronization**

- Operations for synchronization
  - - suspend execution of the calling process on condition c
  - - resume execution of some process suspended after a cwait on the same condition. If there are several such processes, choose one of them; if there is no such process, do nothing



#### **Monitors: Condition Variables**

- Additional mechanism for synchronization or communication the condition construct
  - condition x;
  - $\ast$  condition variables are accessed by only two operations wait and signal
  - \* x.wait() suspends the process that invokes this operation until another process invokes x.signal()
  - \* x.signal() resumes exactly one suspended process; it has no effect if no process is suspended
- Selection of a process to execute within monitor after signal
  - \* x.signal() executed by process P allowing the suspended process Q to resume execution
  - $1.\ P$  waits until Q leaves the monitor, or waits for another condition
  - 2. Q waits until P leaves the monitor, or waits for another condition

```
void producer()
char x;

{
    while (true)
    {
        produce(x);
        append(x);
    }
}

void consumer()
{
    char x;
    while (true)
    {
        take(x);
        consume(x);
    }
}

void main()
{
    parbegin (producer, consumer);
}

A Solution to the Bounded-Buffer Producer/Consumer Problem Using a Monitor
```

#### **Message Passing**

- Enforce mutual exclusion
- Exchange information

send (destination, message)
receive (source, message)

# 

#### **Synchronization**

- Sender and receiver may or may not be blocking (waiting for message)
- Blocking send, blocking receive
  - Both sender and receiver are blocked until message is delivered
  - Called a rendezvous

#### **Synchronization**

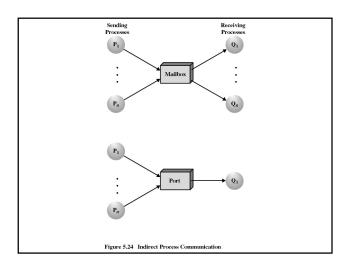
- Nonblocking send, blocking receive
  - Sender continues processing such as sending messages as quickly as possible
  - Receiver is blocked until the requested message arrives
- Nonblocking send, nonblocking receive
  - Neither party is required to wait

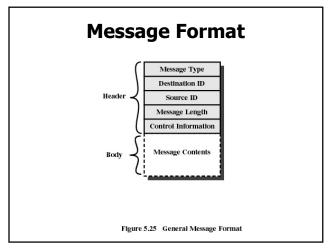
#### **Addressing**

- Direct addressing
  - send primitive includes a specific identifier of the destination process
  - receive primitive could know ahead of time which process a message is expected
  - receive primitive could use source parameter to return a value when the receive operation has been performed

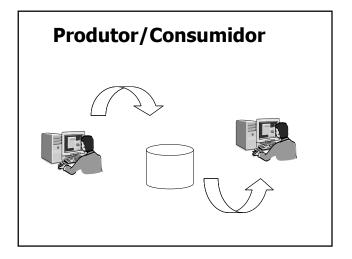
#### **Addressing**

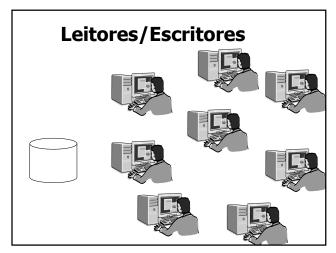
- Indirect addressing
  - messages are sent to a shared data structure consisting of queues
  - queues are called mailboxes
  - one process sends a message to the mailbox and the other process picks up the message from the mailbox





# Mutual Exclusion using Messages /\* program mutualexclusion \*/ const int n = /\* number of processes \*/; void P(int i) { message msg while (true) { receive (mutex, msg); /\* critical section \*/; send (mutex, msg); /\* remainder \*/; } } void main() { create\_mailbox (mutex); send (mutex, null); parbegin (P(1), P(2), ..., P(n)); }





#### O Problema dos Leitores/Escritores

- - Any number of readers may simultaneously read the file
    - when there is already at least one reader reading, subsequent readers need not wait before entering
  - Only one writer at a time may write to the file
  - If a writer is writing to the file, no reader may read it

#### **Readers/Writers Problem**

- ≤ Semaphores and variables
  - wsem : enforce mutual exclusion
  - ≈readcount : keep track of the number of readers

```
int readcount;
semaphore x = 1, wsem = 1;
void reader()
                                                void writer()
     while (true)
                                                    while (true)
                                                        wait (wsem);
WRITEUNIT();
        wait (x);
        readcount++;
       if (readcount == 1)
                                                        signal (wsem);
           wait (wsem);
        signal (x):
        READUNIT();
                                                void main()
       wait (x);
readcount--;
       if (readcount == 0)
                                                    parbegin (reader, writer);
       signal (wsem);
signal (x);
                                                       Readers have priority.
```

#### Readers/Writers Problem (2)

- - no new readers are allowed access to the data area once at least one writer has declared a desire to write
  - zadditional semaphores and variables
    - rsem: inhibits all readers while there is at least one writer desiring access
    - writecount: control the setting of rsem
    - ≥y: control the updating of writecount

```
int readcount, writecount;
semaphore x = 1, y = 1, z = 1, wsem = 1, rsem = 1;
                                                                                             void writer ()
 void reader()
       while (true)
                                                                                                   while (true)
                                                                                                       wait (y);
writecount++;
if (writecount == 1)
wait (rsem);
signal (y);
wait (wear);
          wait (z);
wait (rsem);
wait (x);
readcount++;
if (readcount == 1)
                                                                                                        wait (wsem);
WRITEUNIT();
                wait (wsem);
                                                                                                        signal (wsem);
wait (y);
             signal (x);
                                                                                                       writecount--;

if (writecount == 0)
           signal (x),
signal (rsem);
signal (z);
READUNIT();
                                                                                                       signal (rsem);
signal (y);
           wait (x);
readcount--;
if (readcount == 0)
                 signal (wsem);
           signal (x);
                                                                                                   readcount = writecount = 0;
                                                                                                   parbegin (reader, writer);
                                                                                                        Writers have priority.
```

#### **Dining Philosophers**