

# Interprocess Communication

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- Consider shell pipeline
  - `cat chapter1 chapter2 chapter3 | grep tree`
  - 2 processes
  - Information sharing
  - Order of execution

# Interprocess Communication

- Processes within a system may be **independent** or **cooperating**
- Cooperating process can affect or be affected by other processes
- Reasons for cooperating processes:
  - Information sharing
  - Computation speedup
  - Modularity
  - Convenience
- Cooperating processes require a **mechanism** to exchange data and information

# IPC issues

1. How one process **passes** information to another ?
2. How to make sure that two or more processes do not get into each other's way when engaging in **critical** activities?
3. How to do proper **sequencing** when **dependencies** are present?
  - Ans 1: easy for threads, for processes different approaches (e.g., message passing, shared memory)
  - Ans 2 and Ans 3: same problems and same solutions apply for threads and processes
    - Mutual exclusion & Synchronization

# Spooling Example: Correct

Process 1

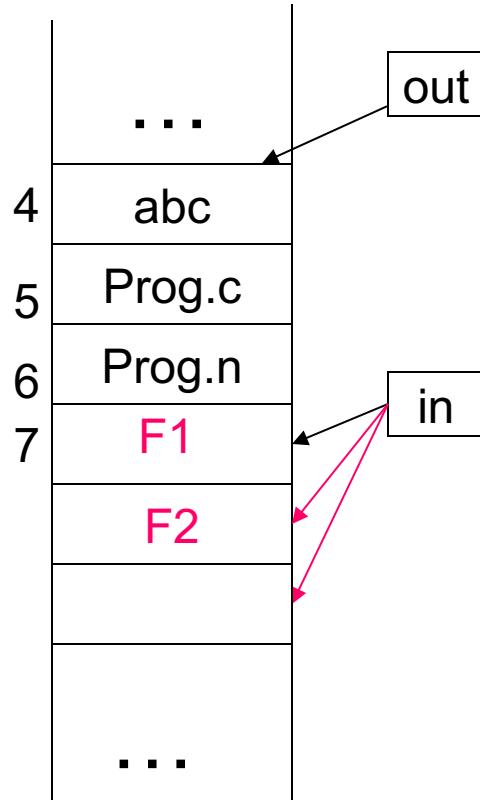
```
int next_free;
```

1 next\_free = in;

2 Stores F1 into  
next\_free;

3 in=next\_free+1

Shared memory



Process 2

```
int next_free;
```

4 next\_free = in

5 Stores F2 into  
next\_free;

6 in=next\_free+1

# Spooling Example: Races

Process 1

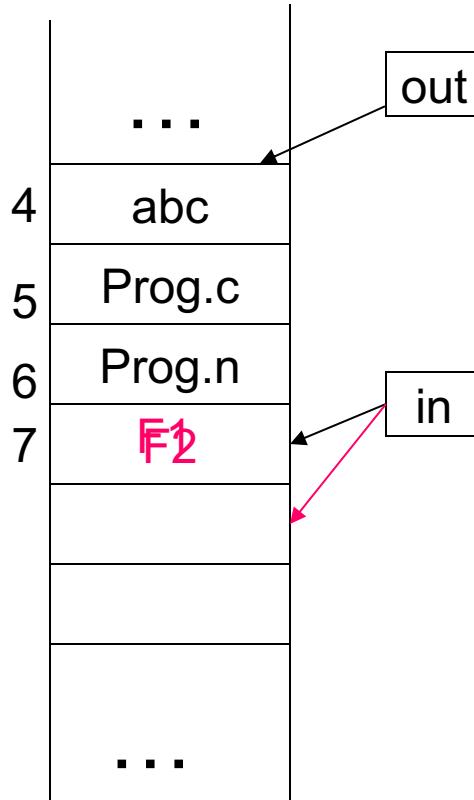
```
int next_free;
```

1 `next_free = in;`

3 Stores F1 into  
next\_free;

4 `in=next_free+1`

Shared memory



Process 2

```
int next_free;
```

2 `next_free = in`  
/\* value: 7 \*/

5 Stores F2 into  
next\_free;

6 `in=next_free+1`

# Better Coding?

- In previous code

```
for(;){  
    int next_free = in;  
    slot[next_free] = file;  
    in = next_free+1;  
}
```

- What if we use one line of code?

```
for(;){  
    slot[in++] = file  
}
```

# When Can process Be switched?

- After each **machine** instruction!
- `int++` is a C/C++ statement, translated into **three** machine instructions:
  - load mem, R
  - inc R
  - store R, mem
- Interrupt (and hence process switching) can happen in between.

# Race condition

- Two or more processes are reading or writing some **shared** data and the final result depends on who runs precisely when
- Very hard to Debug

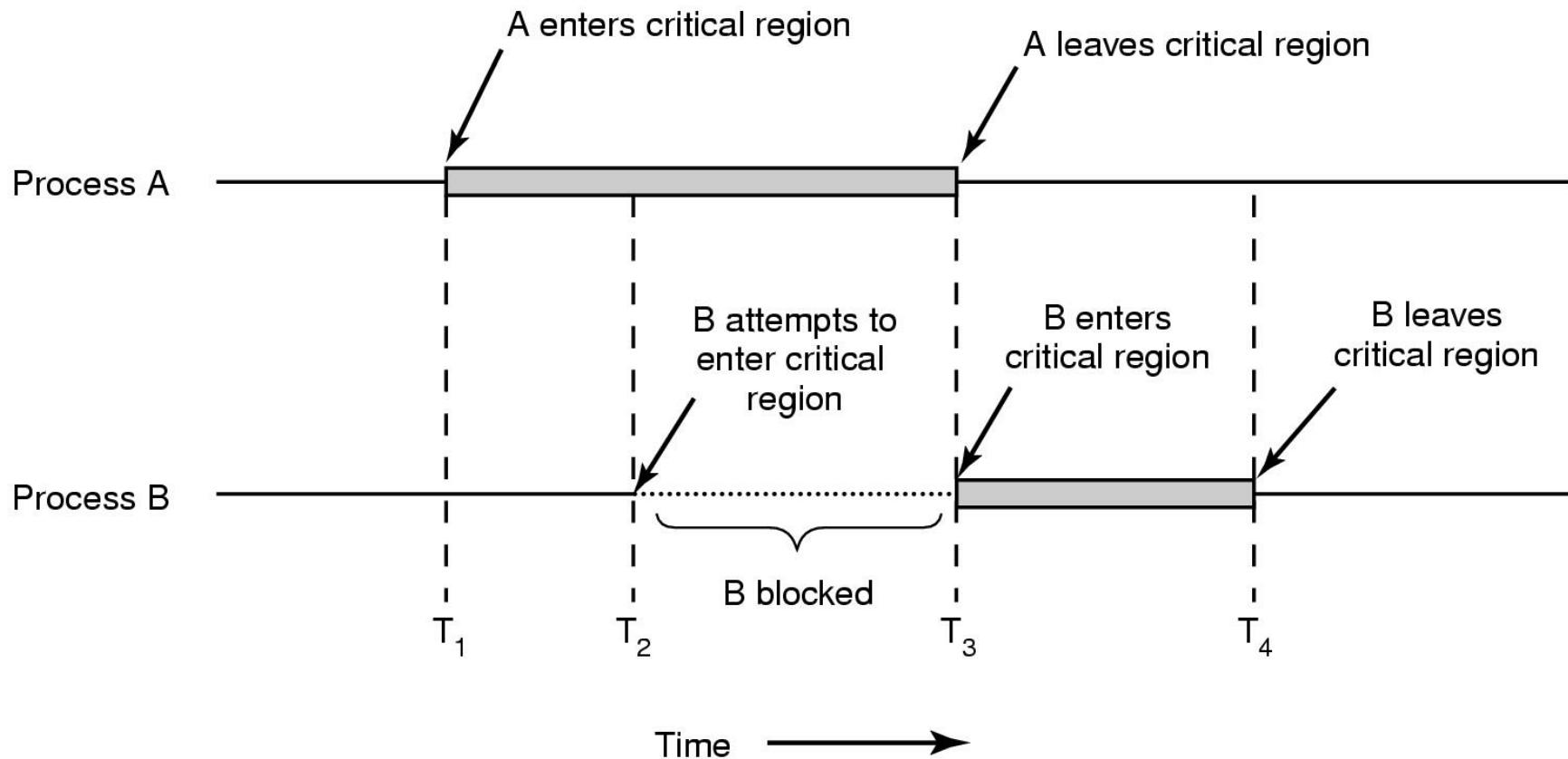
# Critical Region

- That **part** of the program that do critical things such as accessing shared memory
- Can lead to race condition

# Solution Requirement

- 1) No two processes **simultaneously** in **critical region**
- 2) No assumptions made about speeds or numbers of CPUs
- 3) No process running **outside** its critical region may **block** another process
- 4) No process must wait forever to enter its critical region

# Solution Requirement



# Mutual exclusion With Busy Waiting

- Possible Solutions
  - Disabling Interrupts
  - Lock Variables
  - Strict Alternation
  - Peterson's solution
  - TSL

# Disabling Interrupts

- How does it work?
  - Disable all interrupts just after entering a critical section
  - Re-enable them just before leaving it.

```
while (true) {  
    /* disable interrupts */;  
    /* critical section */;  
    /* enable interrupts */;  
    /* remainder */;  
}
```

- Why does it work?
  - With interrupts disabled, no clock interrupts can occur
  - No switching can occur
- Problems:
  - What if the process forgets to enable the interrupts?
  - Multiprocessor? (disabling interrupts only affects one CPU)

# Lock Variables

```
int lock = 0;  
while (lock);  
lock = 1;  
//EnterCriticalSection;  
    access shared variable;  
//LeaveCriticalSection;  
lock = 0;
```

Does the above code work?

# Lock Variables

```
int lock = 0;  
while (lock);
```

Check again here?

```
lock = 1;  
//EnterCriticalSection;  
    access shared variable;
```

```
//LeaveCriticalSection;
```

```
lock = 0;
```

Still doesn't work!

# Strict Alternation

```
while (TRUE) {  
    while (turn != 0)      /* loop */ ;  
    critical_region( );  
    turn = 1;  
    noncritical_region();  
}
```

(a)

**(a) Process 0**

```
while (TRUE) {  
    while (turn != 1)      /* loop */ ;  
    critical_region( );  
    turn = 0;  
    noncritical_region();  
}
```

(b)

**(b) Process 1**

Proposed solution to critical region problem

# Problem

- Busy waiting: Continuously testing a variable until some value appear
  - Wastes CPU time
- Violates condition 3
  - When one process is much slower than the other

# Peterson's solution

- Consists of 2 procedures
- Each process has to call
  - enter\_region with its own process # before entering its C.R.
  - And Leave\_region after leaving C.R.

do {

enter\_region(process#)

critical section

leave\_region(process#)

remainder section

} while (TRUE);

# Peterson's solution (for 2 processes)

```
#define FALSE 0
#define TRUE 1
#define N      2           /* number of processes */

int turn;                  /* whose turn is it? */
int interested[N];         /* all values initially 0 (FALSE) */

void enter_region(int process); /* process is 0 or 1 */
{
    int other;               /* number of the other process */

    other = 1 - process;    /* the opposite of process */
    interested[process] = TRUE; /* show that you are interested */
    turn = process;          /* set flag */
    while (turn == process && interested[other] == TRUE) /* null statement */ ;
}

void leave_region(int process) /* process: who is leaving */
{
    interested[process] = FALSE; /* indicate departure from critical region */
}
```

# Peterson's Solution: Analysis(1)

- Let Process 1 is not interested and Process 0 calls enter\_region with 0
- So, turn = 0 and interested[0] = true and Process 0 is in CR
- Now if Process 1 calls enter\_region, it will hang there until interested[0] is false. Which only happens when Process 0 calls leave\_region i.e. leaves the C.R.

## Peterson's Solution: Analysis(2)

- Let both processes call `enter_region` **simultaneously**
- Say `turn = 1`. (i.e. Process 1 stores **last**)
- Process 0 enters critical region: `while (turn == 0 && ...)` returns **false** since `turn = 1`.
- Process 1 loops until process 0 exits: `while (turn == 1 && interested[0] == true)` returns `true`.
- It works fine!!

# Busy Waiting: Problems

- Waste CPU time since it sits on a tight loop
- May have unexpected effects:
  - Priority Inversion Problem

Example:

- 2 Cooperating Processes: H (high priority ) and L (low priority )
- *Scheduling rule:* H is run whenever it is ready
- Let L in C. R. and H is ready and wants to enter C.R.
- Since H is ready it is given the CPU and it starts busy waiting
- L will never gets the chance to leave its C.R.
- H loops forever

# Sleep & wakeup

- When a process has to **wait**, change its state to **BLOCKED**
- Switched to **READY** state, when it is OK to retry entering the critical section
- Sleep is a **system call** that causes the caller to block
  - be suspended until another process wakes it up
- Wakeup system call has one parameter, the process to be awakened.
- Let's illustrate the use of sleep & wakeup with an example: **The producer consumer problem**

# Producer Consumer Problem

- Also called bounded-buffer problem
- Two (or  $m+n$ ) processes share a **common** buffer
- One (or  $m$ ) of them is (are) producer(s): put(s) information in the buffer
- One (or  $n$ ) of them is (are) consumer(s): take(s) information out of the buffer
- Trouble and solution
  - Producer wants to put but buffer **full**- Go to **sleep** and **wake up** when consumer takes one or more
  - Consumer wants to take but buffer **empty**- go to sleep and wake up when producer puts one or more

# Sleep and Wakeup

```
#define N 100                                     /* number of slots in the buffer */
int count = 0;                                    /* number of items in the buffer */

void producer(void)
{
    int item;

    while (TRUE) {
        item = produce_item();                    /* repeat forever */
        if (count == N) sleep();                  /* generate next item */
        insert_item(item);                      /* if buffer is full, go to sleep */
        count = count + 1;                      /* put item in buffer */
        if (count == 1) wakeup(consumer);        /* increment count of items in buffer */
                                                /* was buffer empty? */
    }
}

void consumer(void)
{
    int item;

    while (TRUE) {
        if (count == 0) sleep();                /* repeat forever */
        item = remove_item();                  /* if buffer is empty, got to sleep */
        count = count - 1;                    /* take item out of buffer */
        if (count == N - 1) wakeup(producer);  /* decrement count of items in buffer */
                                                /* was buffer full? */
        consume_item(item);                  /* print item */
    }
}
```

# Sleep and Wakeup

```
#define N 100                                /* number of slots in the buffer */
int count = 0;                                /* number of items in the buffer */

void producer(void)
{
    int item;

    while (TRUE) {
        item = produce_item();
        if (count == N) sleep();                /
        insert_item(item);                    /
        count = count + 1;
        if (count == 1) wakeup(consumer);      /
    }                                         }

void consumer(void)
{
    int item;

    while (TRUE) {
        if (count == 0) sleep();                /
        item = remove_item();                 /
        count = count - 1;
        if (count == N - 1) wakeup(producer);  /
        consume_item(item);                  /
    }                                         }
```

Producer-consumer problem

# Sleep and Wakeup: Race condition

- **Busy waiting problem is resolved but the following race condition exists**
- Unconstrained access to *count*
  - CPU is given to P just after C has **read** count to be 0 but not yet gone to sleep.
  - P calls wakeup
  - Result is **lost** wake-up signal
  - Both will sleep forever



# Semaphores

- A new variable type
- A kind of **generalized** lock
  - First defined by Dijkstra in late 60s
  - Main synchronization **primitive** used in original UNIX
- Semaphores are like integers, except
  - No negative values
  - Only operations allowed are *up* and *down* – can't read or write value, except to set it initially

# Semaphores: Types

- **Counting semaphore.**
  - The value can range over an unrestricted domain
- **Binary semaphore**
  - The value can range only between 0 and 1.
  - On some systems, binary semaphores are known as **mutex** locks as they provide mutual exclusion

# Semaphores: Operation

- Operation “down”:
  - if value > 0; value-- and then continue.
  - if value = 0; process is put to sleep without completing the down for the moment
    - Checking the value, changing it, and possibly going to sleep, is all done as an **atomic** action.
- Operation “up”:
  - increments the value of the semaphore addressed.
  - If one or more process were sleeping on that semaphore, one of them is chosen by the system (e.g. at **random**) and is allowed to complete its *down*
    - The operation of incrementing the semaphore and waking up one process is also **indivisible**
  - No process ever blocks doing an *up*.

# Semaphores: Atomicity

- Operations must be **atomic**
  - Two *down*'s together can't decrement value below zero
  - Similarly, process going to sleep in *down* won't miss wakeup from *up* – even if they both happen at same time

# Producer & consumer

```
#define N 100
typedef int semaphore;
semaphore mutex = 1;
semaphore empty = N;
semaphore full = 0;

void producer(void)
{
    int item;

    while (TRUE) {
        item = produce_item();
        down(&empty);
        down(&mutex);
        insert_item(item);
        up(&mutex);
        up(&full);
    }
}

/* number of slots in the buffer */
/* semaphores are a special kind of int */
/* controls access to critical region */
/* counts empty buffer slots */
/* counts full buffer slots */

void consumer(void)
{
    int item;

    while (TRUE) {
        down(&full);
        down(&mutex);
        item = remove_item();
        up(&mutex);
        up(&empty);
        consume_item(item);
    }
}
```

# Semaphores in Producer Consumer Problem: Analysis

- 3 semaphores are used
  - *full* (initially 0) for counting occupied slots
  - *Empty* (initially  $N$ ) for counting empty slots
  - *mutex* (initially 1) to make sure that Producer and Consumer do not access the buffer at the same time.
- Here 2 uses of semaphores
  - Mutual exclusion (*mutex*)
  - Synchronization (*full* and *empty*)
    - To guarantee that certain event sequences do or do not occur

**Block on:**

Producer: insert in **full** buffer

**Unblock on:**

Consumer: item **inserted**

Consumer: remove from **empty** buffer

Producer: item **removed**

# Semaphores: Usage

1. Mutual exclusion
2. Controlling access to limited resource
3. Synchronization

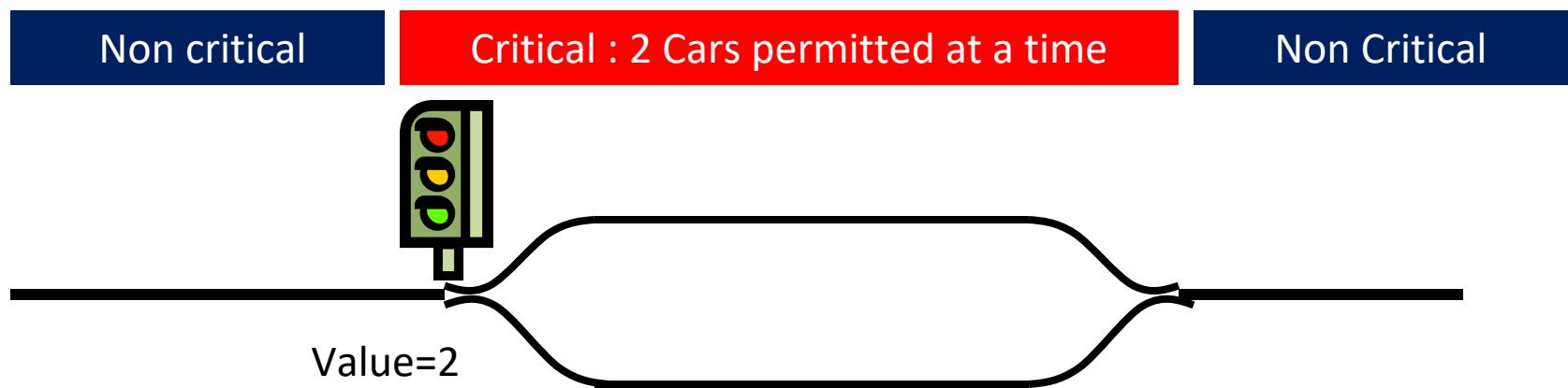
# Mutual exclusion

- How to ensure that only one process can enter its C.R.?
- Binary semaphore **initialized to 1**
- Shared by all collaborating processes
- If each process does a *down* just before entering CR and an *up* just after leaving then mutual exclusion is guaranteed

```
do {  
    down (mutex) ;  
    // critical section  
    up (mutex) ;  
    // remainder section  
} while (TRUE) ;
```

# Controlling access to a resource

- What if we want maximum  $m$  process/thread can use a resource simultaneously ?
- Counting semaphore **initialized to the number of available resources**
- Semaphore from railway analogy
  - Here is a semaphore **initialized to 2** for resource control:



# Synchronization

- How to resolve dependency among processes
- Binary semaphore **initialized to 0**
- consider 2 concurrently running processes:
  - P1 with a statement S1 and
  - P2 with a statement S2.
  - Suppose we require that S2 be executed only after S1 has completed.

P1

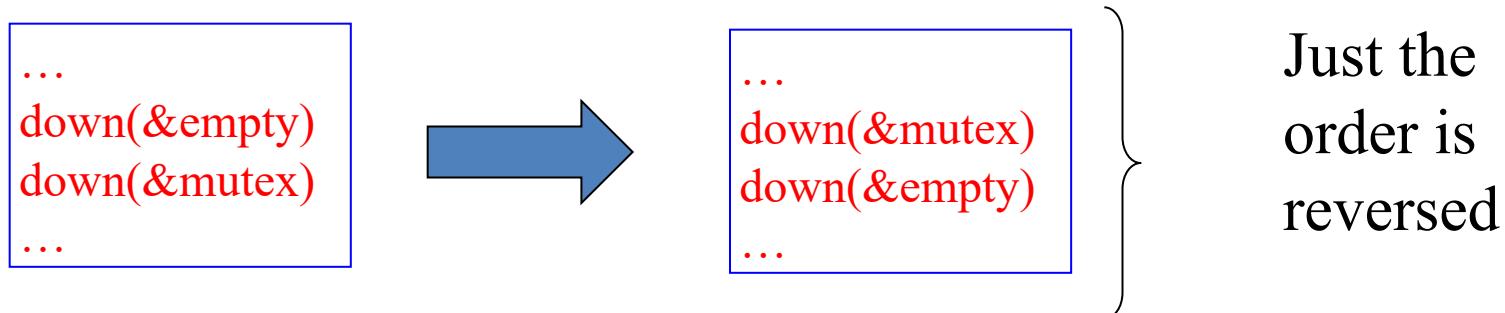
```
S1;  
up(synch);
```

P2

```
down(synch);  
S2;
```

# Semaphores: “Be Careful”

- Suppose the following is done in **Producer's** code



- If buffer **full** P would block due to `down(&empty)` with `mutex = 0`.
- So now if C tries to access the buffer, it would block too due to its `down(&mutex)`.
- Both processes would stay blocked **forever**:  
**DEADLOCK**

# Monitors

- A higher level synchronization primitive
- A **collection** of procedures, variables and data structures grouped in a special kind of module or package.

**monitor** *example*

**integer** *i*;  
**condition** *c*;

**procedure** *producer*( );

.

.

**end**;

**procedure** *consumer*( );

.

.

**end**;

**end monitor**;

Example of a monitor

# Monitors

- Only one process can be active in a monitor at any instant
- Monitors are programming language construct, so the **compiler** knows they are special and can handle calls to monitor procedures differently from other calls.
- Because the compiler, not the programmer, is arranging the mutual exclusion, it is **safer**
- We also need a way to block and wakeup: Wait and Signal (done on a **condition variables**)

# Monitors

- *wait* is called on some **condition variables**:
  - Calling process is **blocked**
  - another process that had been previously prohibited from entering the monitor is **allowed** to enter now.
- *signal* is called on some condition variable:
  - A process waiting on *that CV* is given the chance to get up.
  - Who should run? Caller or awakened one?

**Alternative#1:** Let newly awakened process to run suspending the caller.

**Alternative#2:** Process doing a signal must exit the monitor immediately i.e. signal statement may appear only as the final statement in a monitor procedure.

**Alternative#3:** Let the caller run and when it exits the monitor then the waiting process is allowed to start.

**Note:** If more than one processes are waiting on *full*, one of them is scheduled.

# Outline of producer-consumer using Monitors

```
monitor ProducerConsumer
```

```
    condition full, empty;
    integer count;
    procedure insert(item: integer);
    begin
        if count = N then wait(full);
        insert_item(item);
        count := count + 1;
        if count = 1 then signal(empty)
    end;
    function remove: integer;
    begin
        if count = 0 then wait(empty);
        remove = remove_item;
        count := count - 1;
        if count = N - 1 then signal(full)
    end;
    count := 0;
end monitor;
```

```
procedure producer;
begin
    while true do
        begin
            item = produce_item;
            ProducerConsumer.insert(item)
        end
    end;
procedure consumer;
begin
    while true do
        begin
            item = ProducerConsumer.remove;
            consume_item(item)
        end
    end;
```

- Outline of producer-consumer problem with monitors
  - only one monitor procedure active at one time
  - buffer has  $N$  slots

# Producer-consumer solution in Java

```
public class ProducerConsumer {  
    static final int N = 100;      // constant giving the buffer size  
    static producer p = new producer(); // instantiate a new producer thread  
    static consumer c = new consumer(); // instantiate a new consumer thread  
    static our_monitor mon = new our_monitor(); // instantiate a new monitor  
  
    public static void main(String args[]) {  
        p.start(); // start the producer thread  
        c.start(); // start the consumer thread  
    }  
  
    static class producer extends Thread {  
        public void run() { // run method contains the thread code  
            int item;  
            while (true) { // producer loop  
                item = produce_item();  
                mon.insert(item);  
            }  
        }  
        private int produce_item() { ... } // actually produce  
    }  
  
    static class consumer extends Thread {  
        public void run() { run method contains the thread code  
            int item;  
            while (true) { // consumer loop  
                item = mon.remove();  
                consume_item (item);  
            }  
        }  
        private void consume_item(int item) { ... } // actually consume  
    }  
}
```

```
static class our_monitor { // this is a monitor
    private int buffer[ ] = new int[N];
    private int count = 0, lo = 0, hi = 0; // counters and indices

    public synchronized void insert(int val) {
        if (count == N) go_to_sleep(); // if the buffer is full, go to sleep
        buffer [hi] = val; // insert an item into the buffer
        hi = (hi + 1) % N; // slot to place next item in
        count = count + 1; // one more item in the buffer now
        if (count == 1) notify(); // if consumer was sleeping, wake it up
    }

    public synchronized int remove() {
        int val;
        if (count == 0) go_to_sleep(); // if the buffer is empty, go to sleep
        val = buffer [lo]; // fetch an item from the buffer
        lo = (lo + 1) % N; // slot to fetch next item from
        count = count - 1; // one few items in the buffer
        if (count == N - 1) notify(); // if producer was sleeping, wake it up
        return val;
    }

    private void go_to_sleep( ) { try{wait( );} catch(InterruptedException exc) {};}
}
```

# Problems with monitors and semaphores

- Semaphores are too low level
- Monitors are not usable except in a few programming languages
- Designed to work in an environment having access to a **common** memory
- Doesn't allow information exchange among machines
- None of them would work in a distributed systems (**why?**) consisted of multiple CPUs, each with its **own** private memory connected by a LAN.

# Message Passing

- solution to the problem of semaphores and monitors w.r.t distributed systems
- A method of IPC that uses two primitives
  - send and receive: system calls.
  - send(destination, &message)
  - receive(source, &message)
  - If no message is available:
    - The receiver can **block** until one arrives
    - Return immediately with an error code

# Message Passing

- Challenges (Study of Computer Networks)
  - Messages can be lost by the network.
  - Acknowledgement and retransmission issue.
  - Process naming.
  - Authentication.
  - Performance issue.

# Producer Consumer with Message Passing

**Assumptions:**

- All messages are of same size
- Messages sent but not yet received are automatically buffered

```
#define N 100                                     /* number of slots in the buffer */

void producer(void)
{
    int item;
    message m;                                     /* message buffer */

    while (TRUE) {
        item = produce_item();
        receive(consumer, &m);
        build_message(&m, item);
        send(consumer, &m);                         /* generate something to put in buffer */
                                                /* wait for an empty to arrive */
                                                /* construct a message to send */
                                                /* send item to consumer */
    }
}

void consumer(void)
{
    int item, i;
    message m;

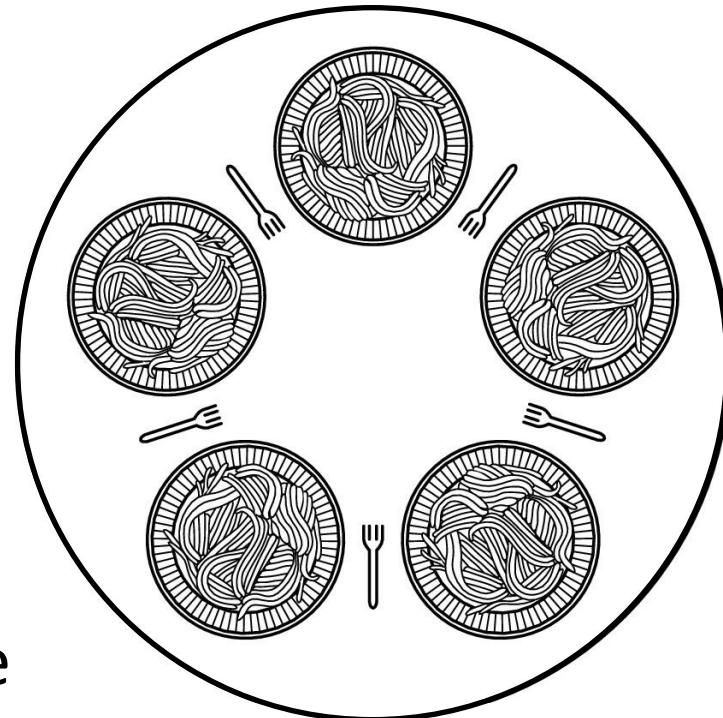
    for (i = 0; i < N; i++) send(producer, &m); /* send N empties */
    while (TRUE) {
        receive(producer, &m);                    /* get message containing item */
        item = extract_item(&m);                  /* extract item from message */
        send(producer, &m);                      /* send back empty reply */
        consume_item(item);                     /* do something with the item */
    }
}
```

The producer-consumer problem with N messages

# Dining Philosophers

An example problem for process synchronization

- Philosophers spend their lives **thinking** and **eating**
- Don't interact with their neighbors
- When get hungry try to pick up 2 chopsticks (one at a time in either order) to eat
- Need both to eat, then release both when done
- How to program the scenario avoiding all concurrency problems?



# Dining Philosophers: A Solution

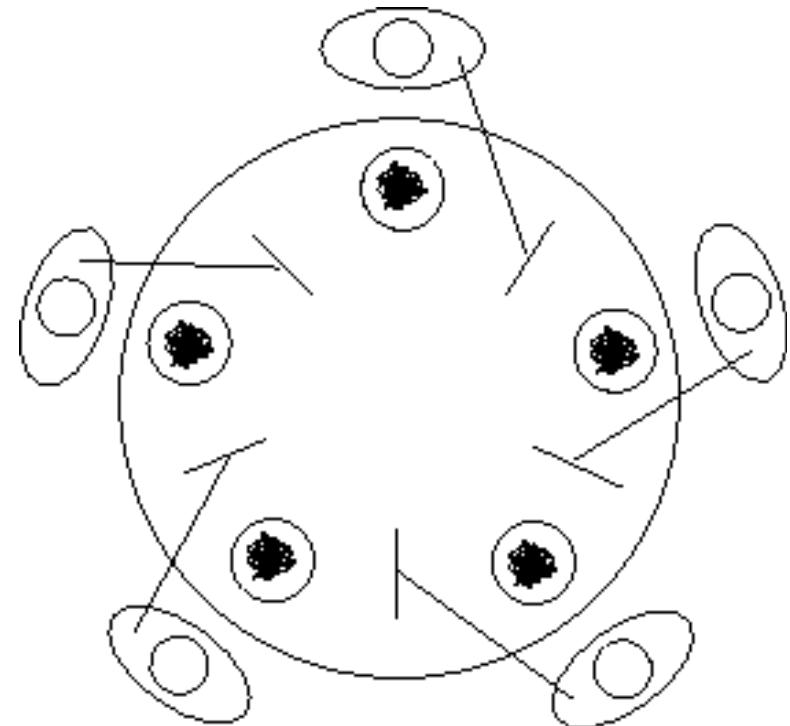
```
#define N 5                                /* number of philosophers */

void philosopher(int i)                    /* i: philosopher number, from 0 to 4 */

{
    while (TRUE) {
        think();                            /* philosopher is thinking */
        take_fork(i);                      /* take left fork */
        take_fork((i+1) % N);              /* take right fork; % is modulo operator */
        eat();                               /* yum-yum, spaghetti */
        put_fork(i);                        /* put left fork back on the table */
        put_fork((i+1) % N);              /* put right fork back on the table */
    }
}
```

# Dining Philosophers: Problems with Previous Solution

- Deadlock may happen
- Does this solution prevents any such thing from happening ?
  - Everyone takes the left fork simultaneously



# Dining Philosophers: Problems with Previous Solution

Tentative Solution:

- After taking left fork, check whether right fork is available.
- If not, then return left one, **wait for some time** and repeat again.

Problem:

- All of them start and do the algorithm synchronously and simultaneously:
- **STARVATION** (A situation in which all the programs run indefinitely but fail to make any progress)
- Solution: **Random** wait; but what if the most unlikely of **same** random number happens?

# Another Attempt, Successful!

```
void philosopher(int i)
{
    while (true)
    {
        think();
        down(&mutex);
        take_fork(i);
        take_fork((i+1)%N);
        eat();
        put_fork(i);
        put_fork((i+1)%N);
        up(&mutex);
    }
}
```

- Theoretically solution is OK- no deadlock, no starvation.
- Practically with a performance bug:
  - Only **one** philosopher can be eating at any instant: absence of parallelism

# Final Solution part 1

```
#define N          5           /* number of philosophers */
#define LEFT        (i+N-1)%N  /* number of i's left neighbor */
#define RIGHT       (i+1)%N   /* number of i's right neighbor */
#define THINKING    0           /* philosopher is thinking */
#define HUNGRY      1           /* philosopher is trying to get forks */
#define EATING      2           /* philosopher is eating */
typedef int semaphore;
int state[N];
semaphore mutex = 1;
semaphore s[N];

void philosopher(int i)
{
    while (TRUE) {
        think();
        take_forks(i);
        eat();
        put_forks(i);
    }
}
```

5 /\* number of philosophers \*/  
(i+N-1)%N /\* number of i's left neighbor \*/  
(i+1)%N /\* number of i's right neighbor \*/  
0 /\* philosopher is thinking \*/  
1 /\* philosopher is trying to get forks \*/  
2 /\* philosopher is eating \*/  
/\* semaphores are a special kind of int \*/  
/\* array to keep track of everyone's state \*/  
/\* mutual exclusion for critical regions \*/  
/\* one semaphore per philosopher \*/  
/\* i: philosopher number, from 0 to N-1 \*/  
/\* repeat forever \*/  
/\* philosopher is thinking \*/  
/\* acquire two forks or block \*/  
/\* yum-yum, spaghetti \*/  
/\* put both forks back on table \*/

# Final Solution Part 2

```
void take_forks(int i)                                /* i: philosopher number, from 0 to N-1 */  
{  
    down(&mutex);  
    state[i] = HUNGRY;  
    test(i);  
    up(&mutex);  
    down(&s[i]);  
}  
  
void put_forks(i)                                     /* i: philosopher number, from 0 to N-1 */  
{  
    down(&mutex);  
    state[i] = THINKING;  
    test(LEFT);  
    test(RIGHT);  
    up(&mutex);  
}  
  
void test(i)                                         /* i: philosopher number, from 0 to N-1 */  
{  
    if (state[i] == HUNGRY && state[LEFT] != EATING && state[RIGHT] != EATING) {  
        state[i] = EATING;  
        up(&s[i]);  
    }  
}
```

# The Readers and Writers Problem

- Dining Philosopher Problem: Models processes that are competing for **exclusive** access to a limited resource
- Readers Writers Problem: Models access to a database

Example: An airline reservation system- many competing process wishing to read and write-

- Multiple readers simultaneously- acceptable
- Multiple writers simultaneously- not acceptable
- Reading, while write is writing- not acceptable

# The Readers and Writers Problem

- *First* variation – no reader kept **waiting** unless writer has permission to use shared object
- *Second* variation – once writer is **ready**, it **performs** write ASAP

```

typedef int semaphore;
semaphore mutex = 1;
semaphore db = 1;
int rc = 0;

void reader(void)
{
    while (TRUE) {
        down(&mutex);
        rc = rc + 1;
        if (rc == 1) down(&db);
        up(&mutex);
        read_data_base();
        down(&mutex);
        rc = rc - 1;
        if (rc == 0) up(&db);
        up(&mutex);
        use_data_read();
    }
}

void writer(void)
{
    while (TRUE) {
        think_up_data();
        down(&db);
        write_data_base();
        up(&db);
    }
}

/* use your imagination */
/* controls access to 'rc' */
/* controls access to the database */
/* # of processes reading or wanting to */

/* repeat forever */
/* get exclusive access to 'rc' */
/* one reader more now */
/* if this is the first reader ... */
/* release exclusive access to 'rc' */
/* access the data */
/* get exclusive access to 'rc' */
/* one reader fewer now */
/* if this is the last reader ... */
/* release exclusive access to 'rc' */
/* noncritical region */

```

# Issue regarding the solution

- Inherent priority to the readers
- Say a new reader arrives every 2 seconds and each reader takes 5 seconds to do its work.  
What will happen to a writer?

## Issue regarding second variation

- Writer don't have to wait for readers that came along after it
- Less concurrency, lower performance

Thanks for your sincerity