

OPERATING SYSTEMS: COMMUNICATION AND SYNCHRONIZATION AMONG PROCESSES



Concurrent processes and synchronization

To remember...

Before classes

Class

After class

Prepare the prerequisites.

Study the material associated with the **bibliography**:
slides alone are not enough.
Please ask questions (especially after study).

Exercising skills:

- ▶ Perform all **exercises**.
- ▶ Carrying out the **practice notebooks** and **the practical exercises** progressively.

Recommended reading

Base



1. Carretero 2020:
 1. Cap. 6
2. Carretero 2007:
 1. Cap. 6.1 and 6.2

Suggested



1. Tanenbaum 2006:
 1. (es) Chap. 5
 2. (en) Chap. 5
2. Stallings 2005:
 1. 5.1, 5.2 and 5.3
3. Silberschatz 2006:
 1. 6.1, 6.2, 6.5 and 6.6

Contents

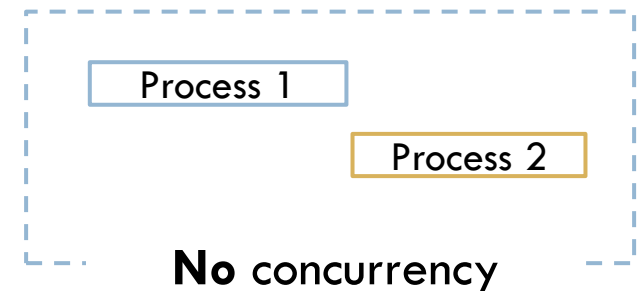
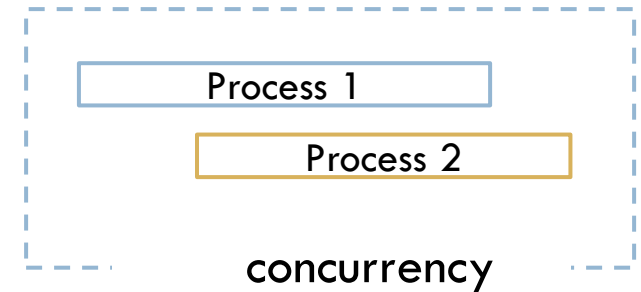
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 - ▣ Concurrency, communication and synchronization.
 - ▣ Critical section and Race conditions.
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- Synchronization mechanisms (I):
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 - ▣ Semaphores.
- Classic concurrency problems (I):
 - ▣ Producer-consumer
 - ▣ Reader-writers
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 - ▣ Mutex and condition variables
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- Case study: concurrent server development

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Concurrent process

- Two processes are concurrent when they run so that their execution intervals overlap.
- By default, the same result is expected in both cases.



How to achieve concurrence

Types of concurrence

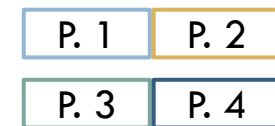
- Apparent concurrence:
There are more processes than processors.

- Processes are multiplexed in time.
- Pseudoparallelism.

1 CPU



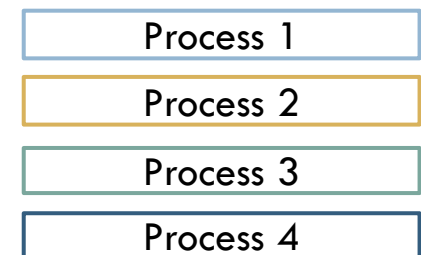
2 CPU



- Real concurrence:
Each process runs on a processor.

- The processes are simultaneous in time.
- Parallel execution occurs.
- Real parallelism.

4 CPU



How to achieve concurrence

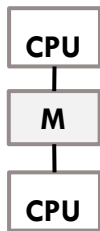
Concurrent programming models

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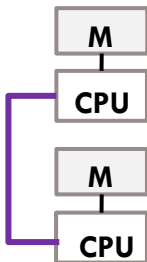
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CPU

- Multiprogramming with a single processor
 - The operating system is responsible for allocating time among the processes
 - preemptive/non-preemptive scheduling.



- Multiprocessor
 - Real parallelism and pseudo-parallelism combined.
 - Usually more processes than processors (CPU).



- Distributed system
 - Several computers connected by network.

Advantages of concurrent execution

- Facilitates programming.
 - ▣ Various tasks can be structured in separate processes.
 - ▣ Example: Web server where each process attends to each request.
- Accelerates the execution of calculations.
 - ▣ Division of calculations into processes executed in parallel.
 - ▣ Example: simulations, electricity market, financial portfolio evaluation.
- Improves CPU utilization.
 - ▣ The I/O phases of an application are used for processing other applications.
- Improved interactivity of applications.
 - ▣ Processing tasks can be separated from user service tasks.
 - ▣ Example: printing and editing.

Disadvantages of concurrent execution

- Resource sharing.
 - ▣ Resource sharing needs synchronization.
 - ▣ Example: shared variable with updates/reads (w-w, w-r).
- Difficulty in debugging and finding errors.
 - ▣ Executions are not always deterministic or reproducible.
 - ▣ Examples: particular execution interleaving with problems.
- O.S. Difficulties for optimal resource management.
 - ▣ Difficulties of the operating system for optimal resource management.

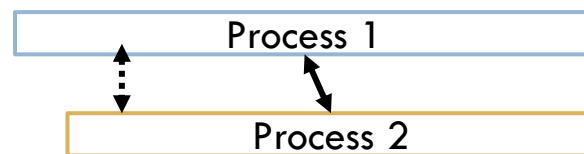
Interactions between processes

Types of interaction services

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- Communication:
 - ▣ Enable the transfer of information between processes.
 - ▣ Example: a process sends measured data for processing.
 - ▣ Mechanisms: files, pipes, SHARED MEMORY, message passing.
- Synchronization:
 - ▣ They allow waiting until an event occurs in another process (stopping its execution until it occurs)
 - ▣ Example: a submission process should be waiting for all calculation processes to finish.
 - ▣ Mechanisms: signals, pipes, semaphores, mutex, conditions, message passing.



Interactions between processes

Types of concurrent processes

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<https://www.unf.edu/public/cop4610/ree/Notes/PPT/PPT8E/CH%2005%20-OS8e.pdf>

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Relationship	Influence of one process on another	Potential problems
Independents	<ul style="list-style-type: none">• No communication<ul style="list-style-type: none">• Result of one process does not affect others• No communication<ul style="list-style-type: none">• Temporization cannot affect	
Compete	<ul style="list-style-type: none">• No communication• Yes possible synchronization	<ul style="list-style-type: none">• Mutual Excl.• Interlock• Starvation
Cooperate	<ul style="list-style-type: none">• Yes communication<ul style="list-style-type: none">• By sharing, with renewable resource (known indirectly)• By communication, with consumable resource (known directly)• Yes possible synchronization	<ul style="list-style-type: none">• Interlock• Starvation <p>Sharing adds:</p> <ul style="list-style-type: none">• Mutual Excl.• Data consistency

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Interactions between processes

Types of concurrent processes

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<https://www.unf.edu/public/cop4610/ree/Notes/PPT/PPT8E/CH%2005%20-OS8e.pdf>

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Two processes with shared resource base scenario

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```
graph TD; A["int acc = 0 ;"] --> B["acc += 10 ;"]; A --> C["acc += 20 ;"];
```

`int acc = 0 ;`

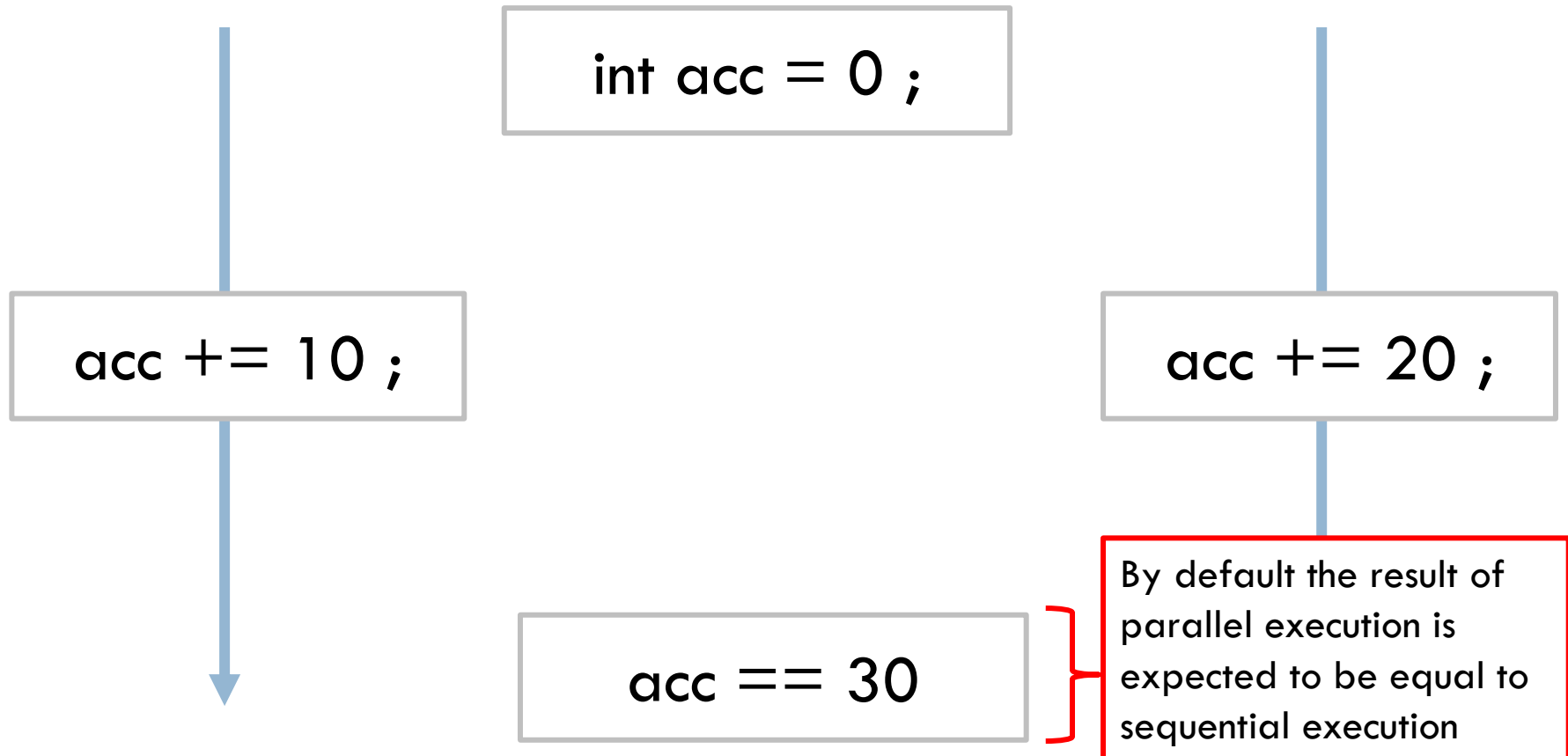
`acc += 10 ;`

`acc += 20 ;`

Two processes with shared resource base scenario

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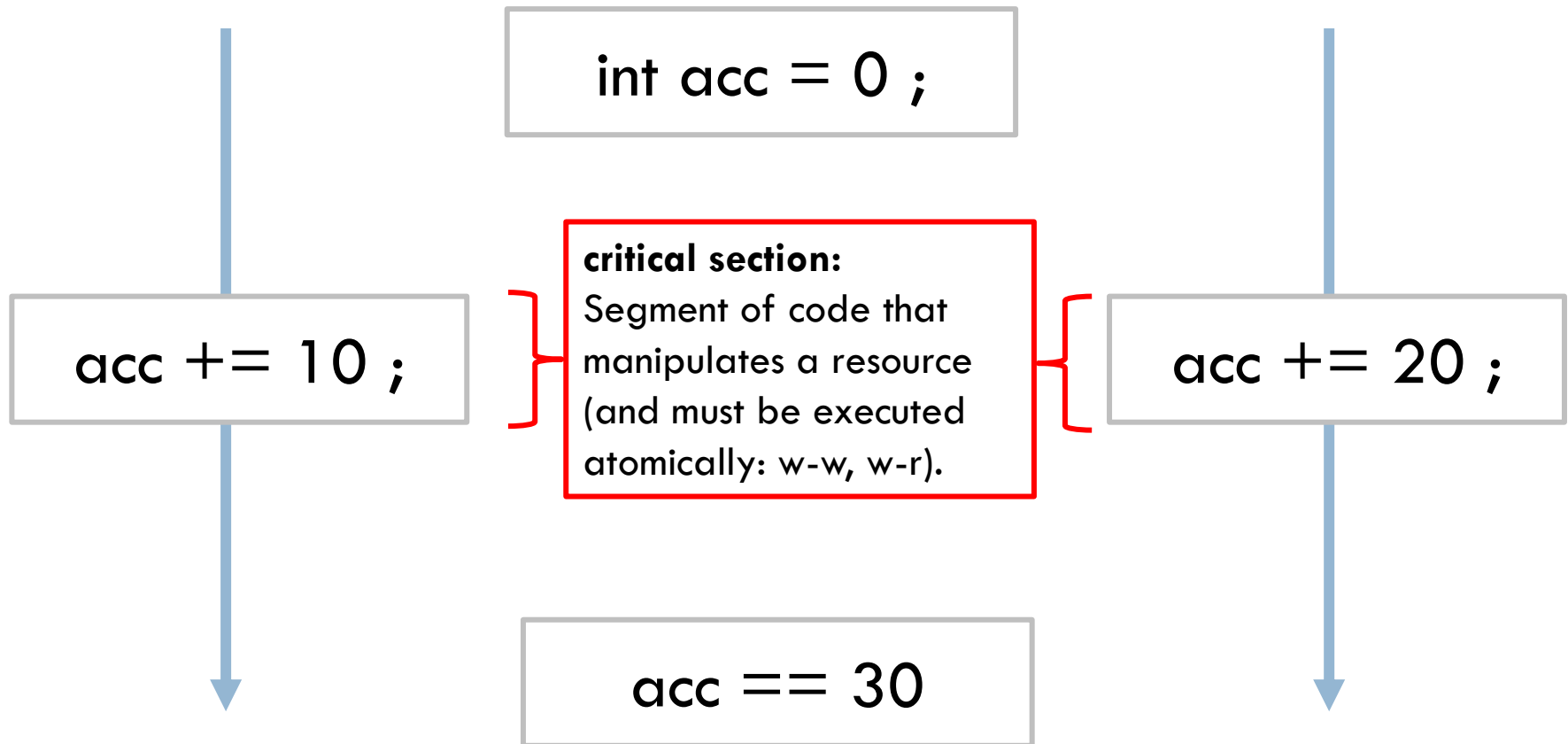
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Two processes with shared resource critical section

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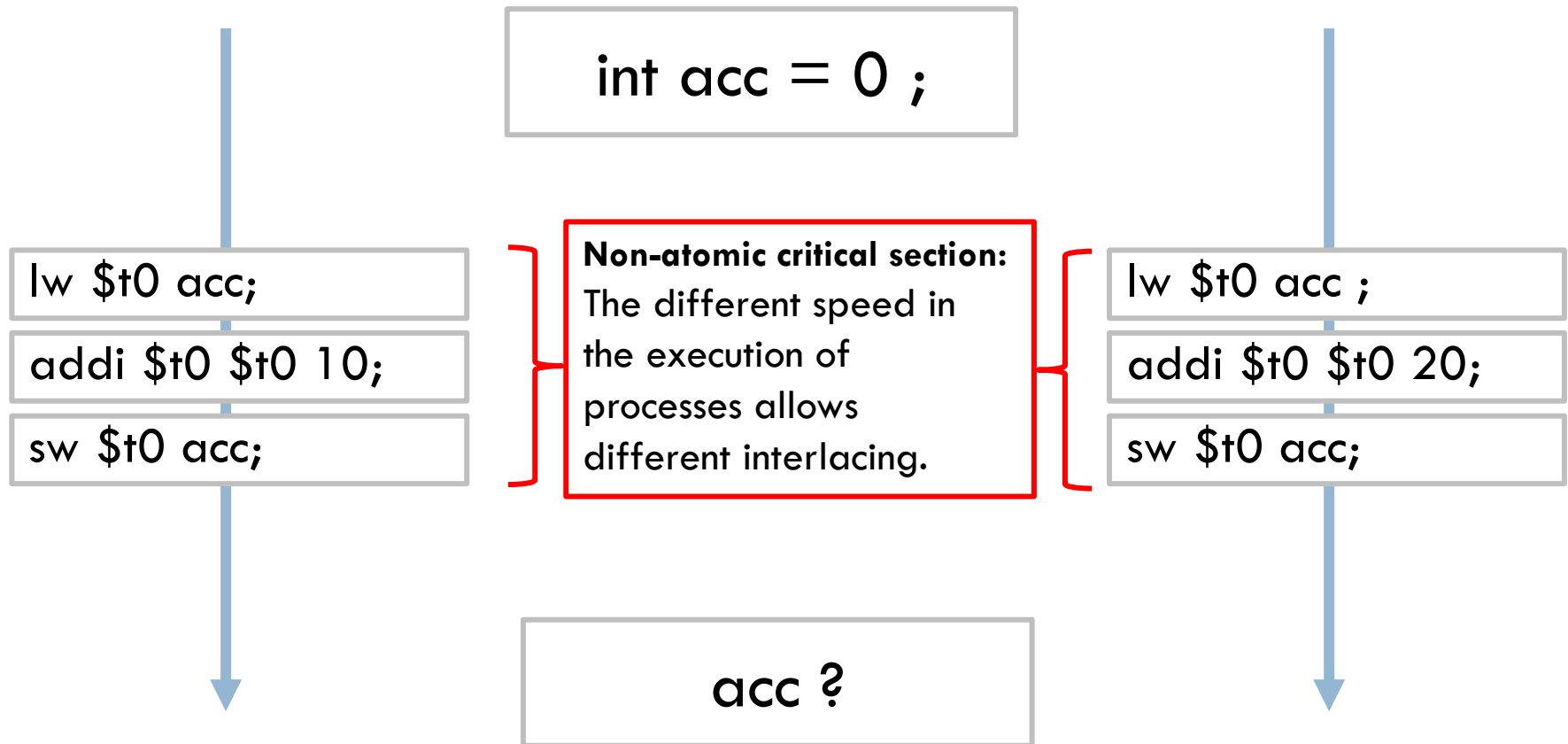
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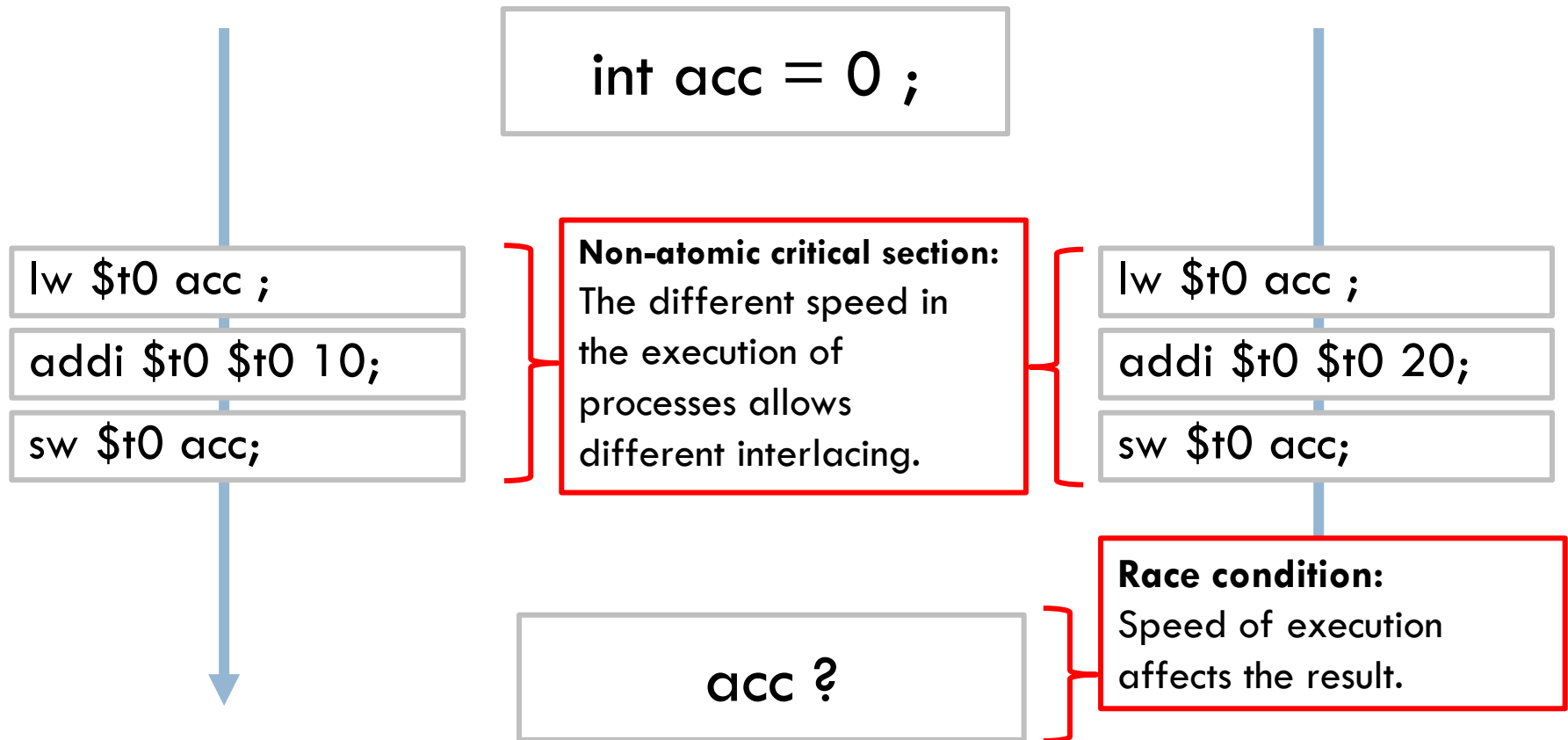
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Two processes with shared resource race conditions

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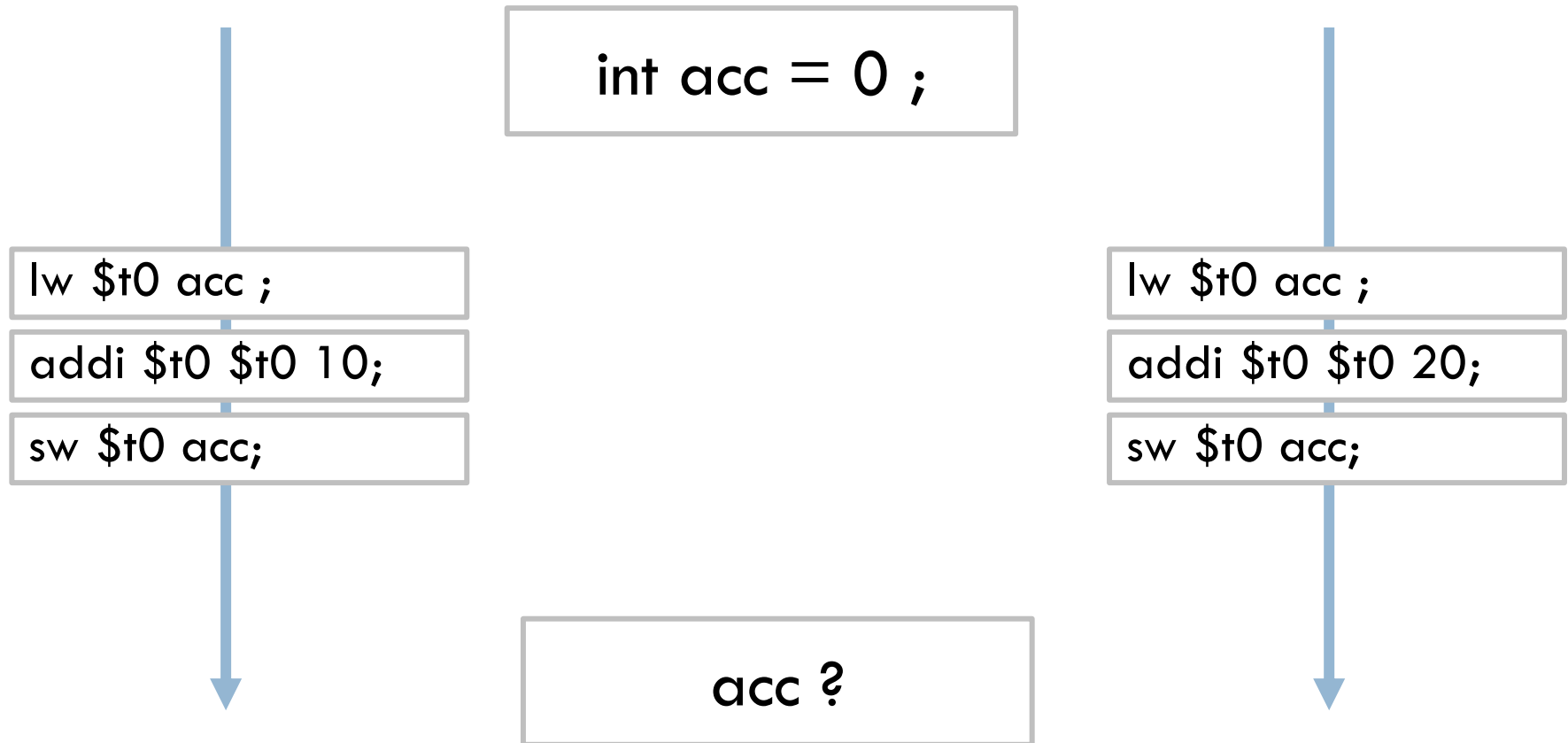
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Two processes with shared resource race conditions

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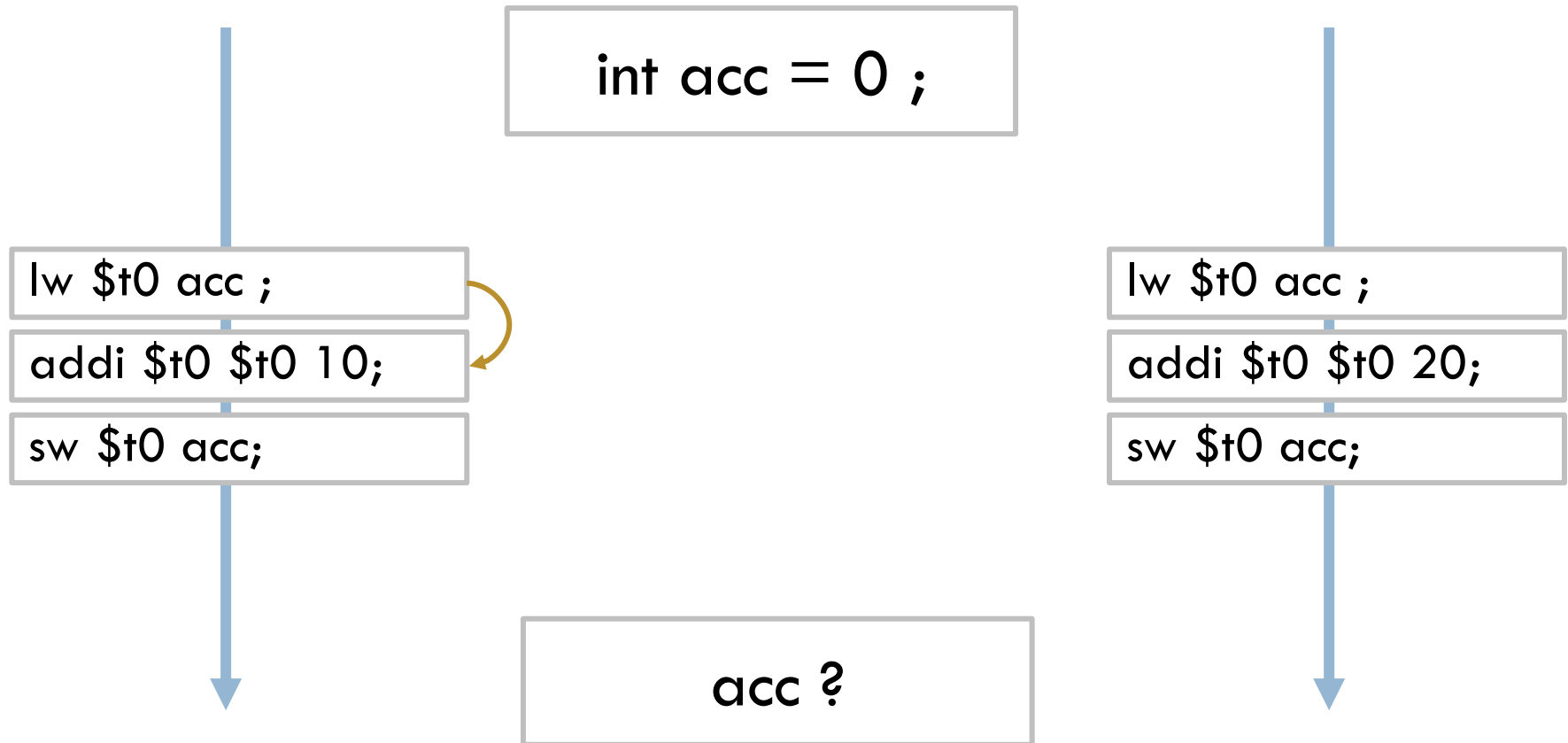
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Two processes with shared resource race conditions

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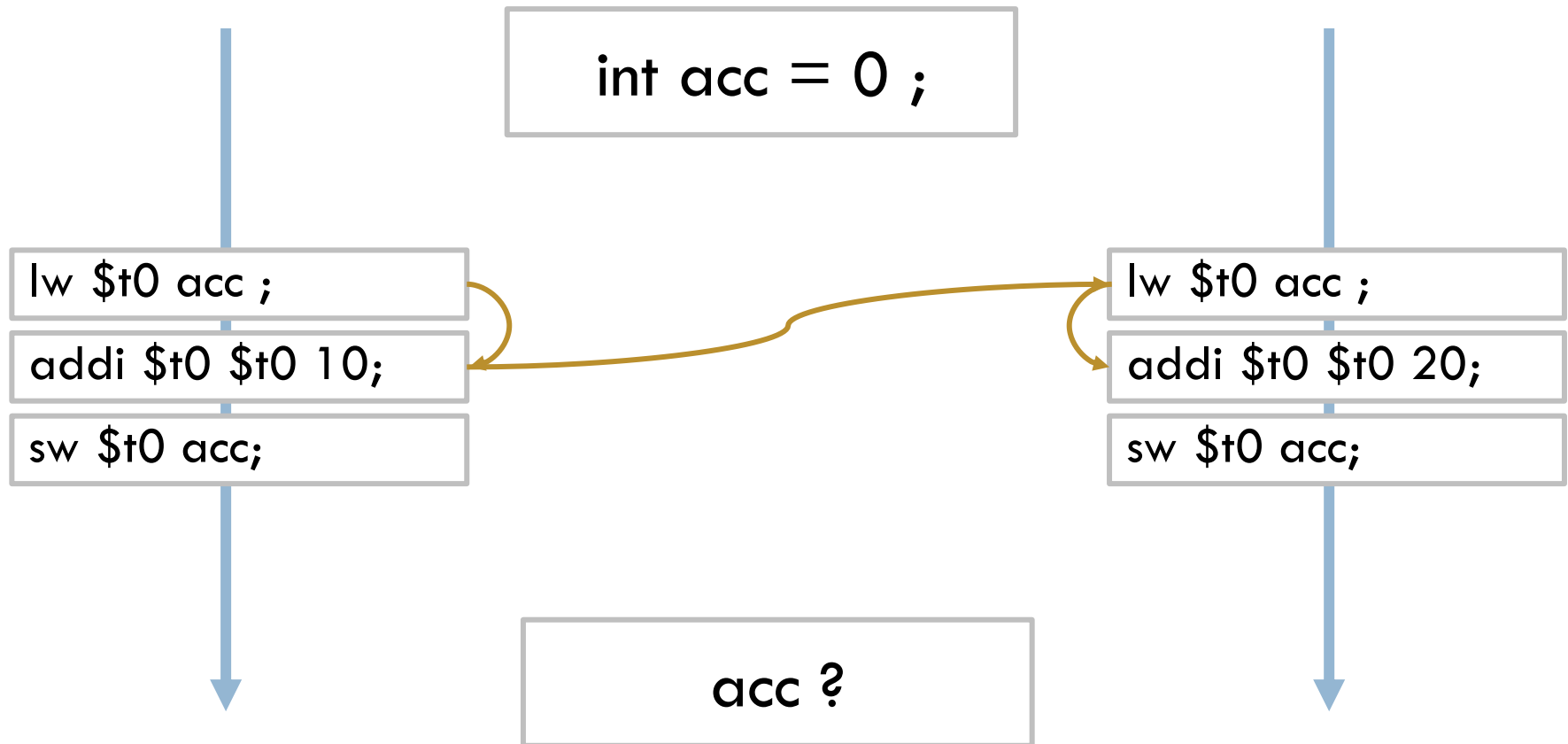
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Two processes with shared resource race conditions

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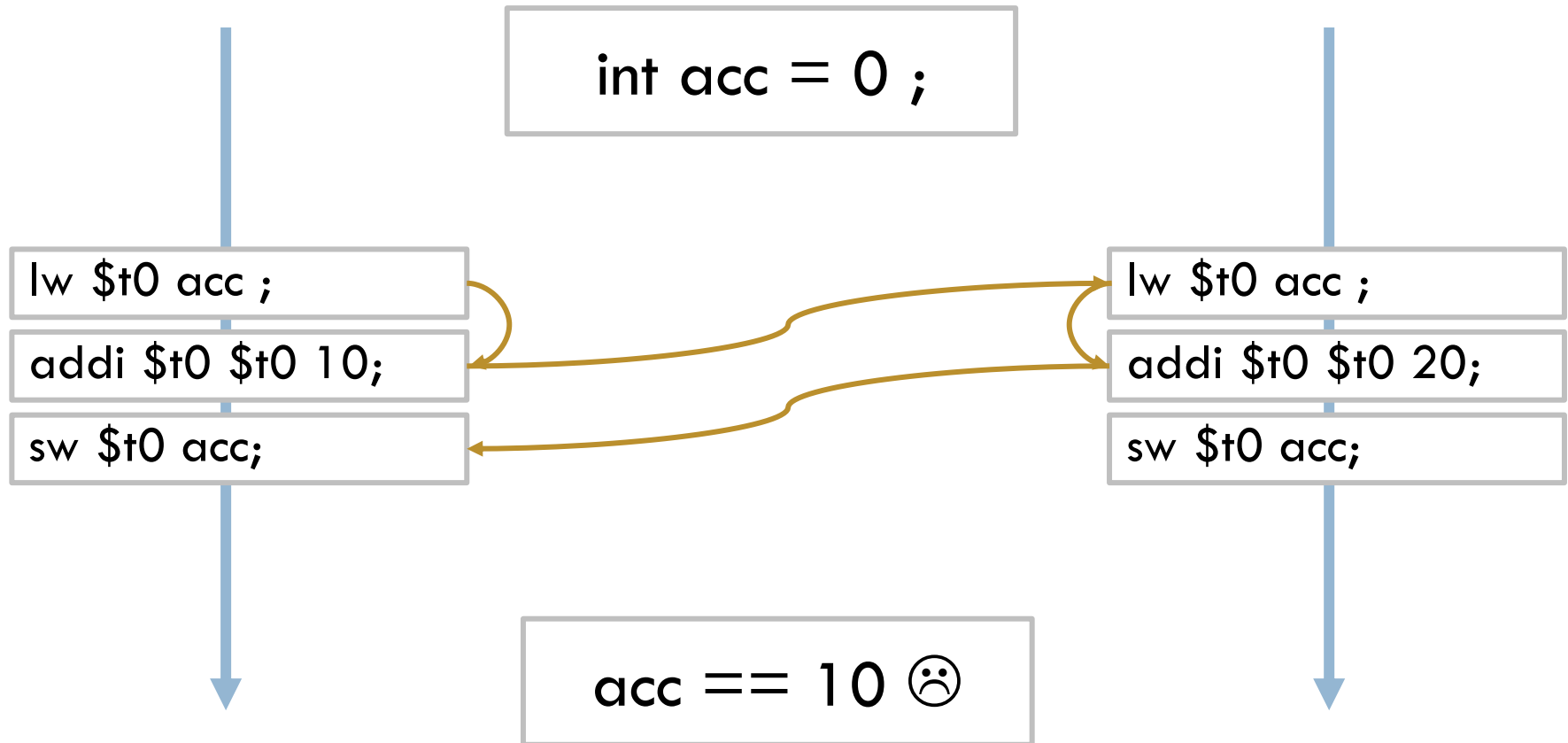
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Two processes with shared resource race conditions

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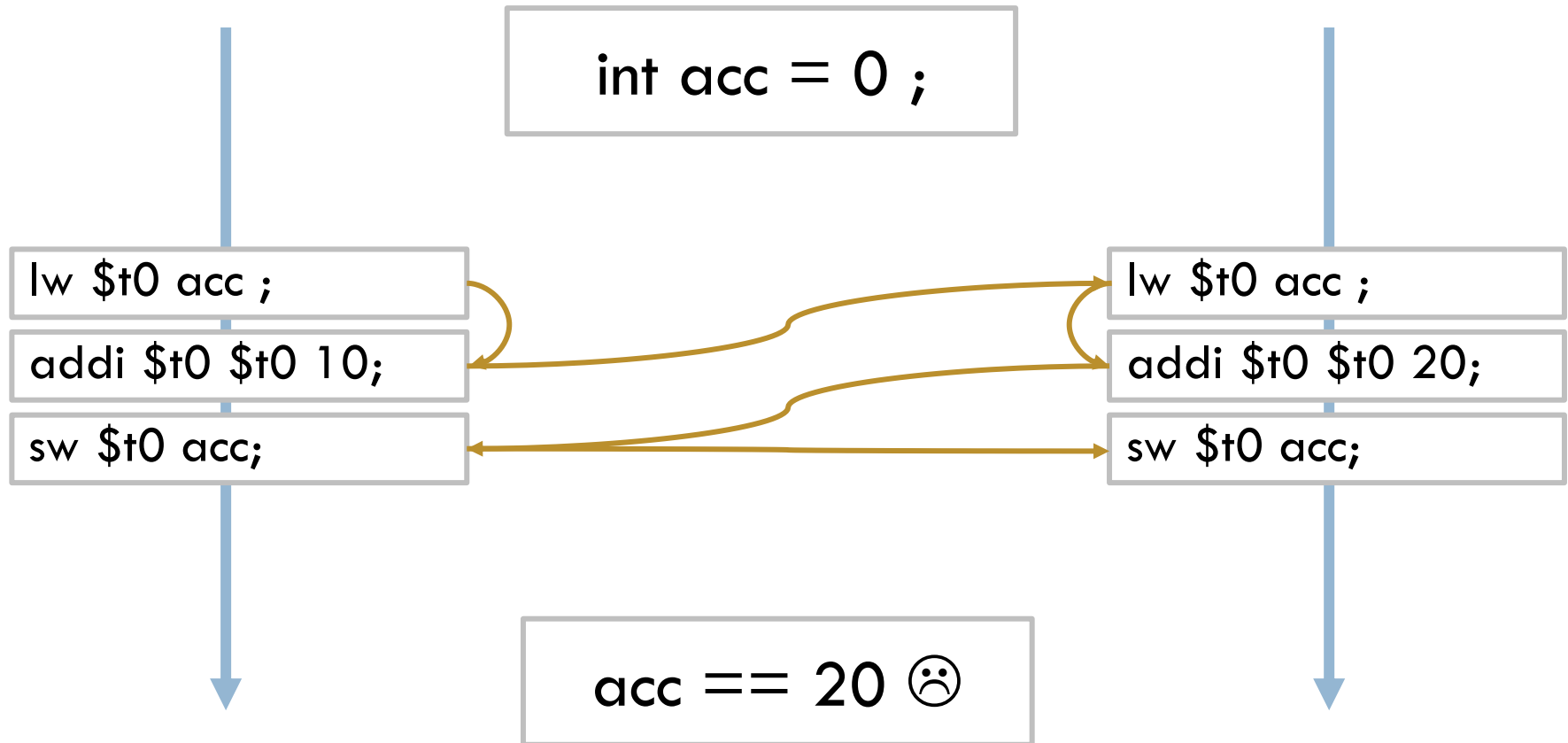
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Two processes with shared resource race conditions

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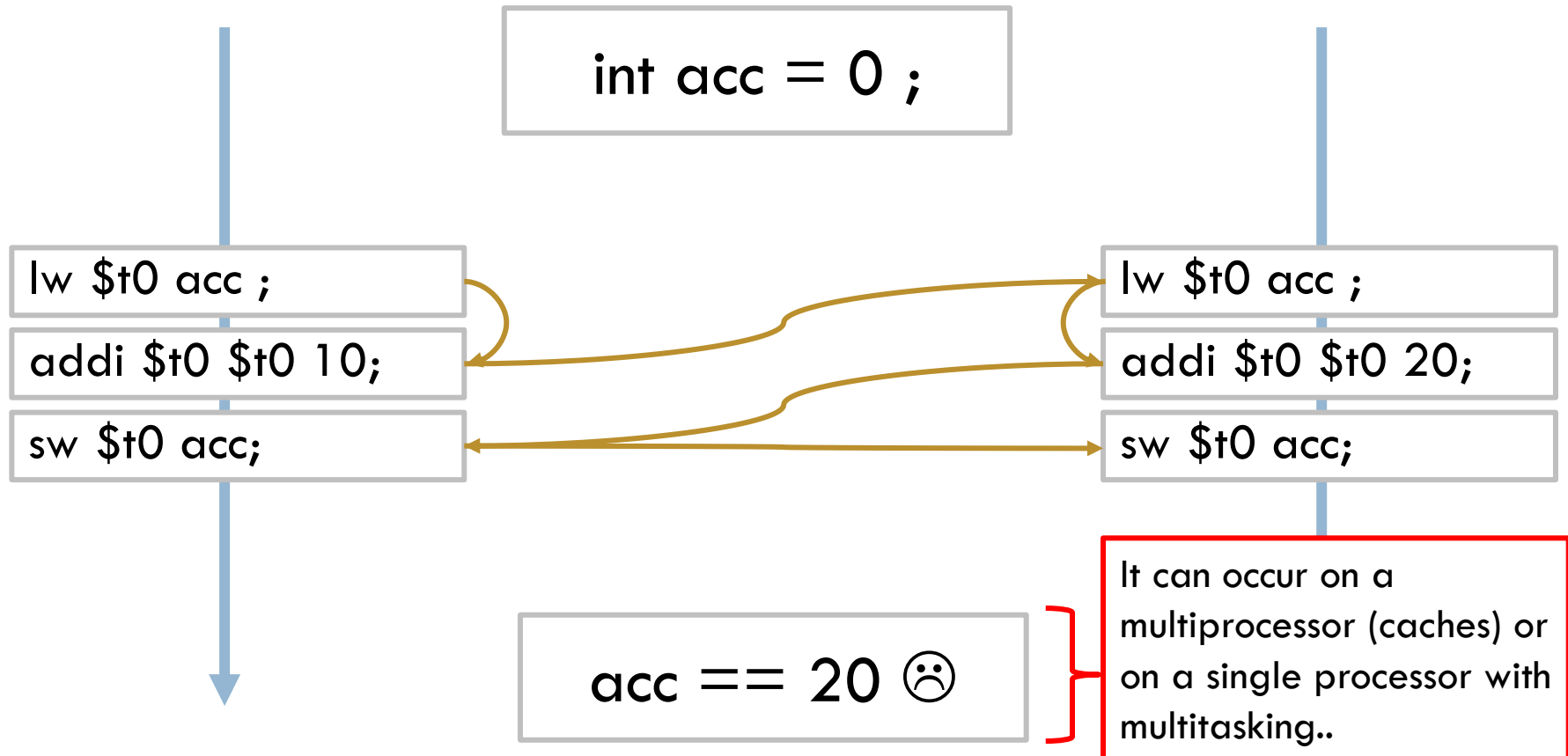
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Two processes with shared resource race conditions

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Two processes with shared resource race conditions

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- It is necessary to ensure that the execution order does not affect the result.
- The operation of a process and its output must be independent of its relative speed of execution with respect to other processes.

lw \$t0 acc ;

addi \$t0 \$t0 10;

sw \$t0 acc;

lw \$t0 acc ;

addi \$t0 \$t0 20;

sw \$t0 acc;

acc == 30 😊

Two processes with shared resource race conditions

- Instructions within the critical section (accessing a variable) must be executed **atomically**:
 - The **critical section of a process** is mutually exclusive with respect to the critical sections of **other processes**.

lw \$t0 acc ;

addi \$t0 \$t0 10;

sw \$t0 acc;

Goal:
to ensure that the
instructions in the critical
section are executed
atomically

lw \$t0 acc ;

addi \$t0 \$t0 20;

sw \$t0 acc;

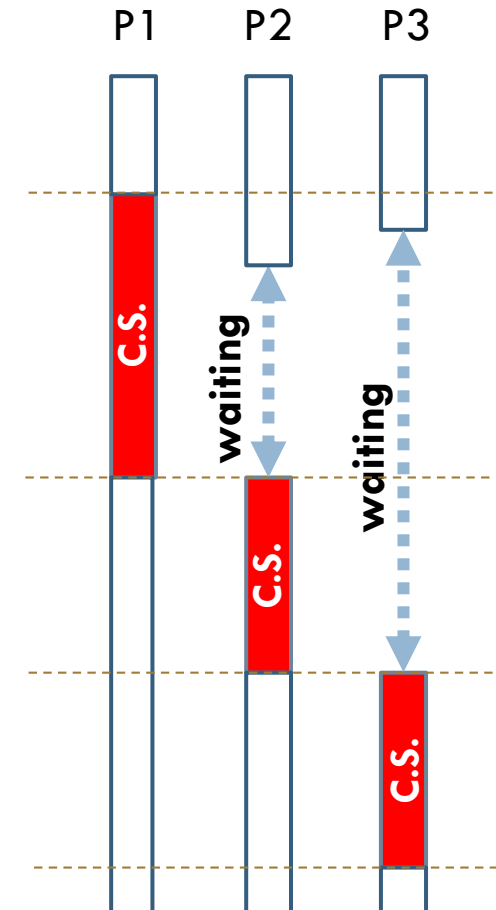
acc == 30 😊

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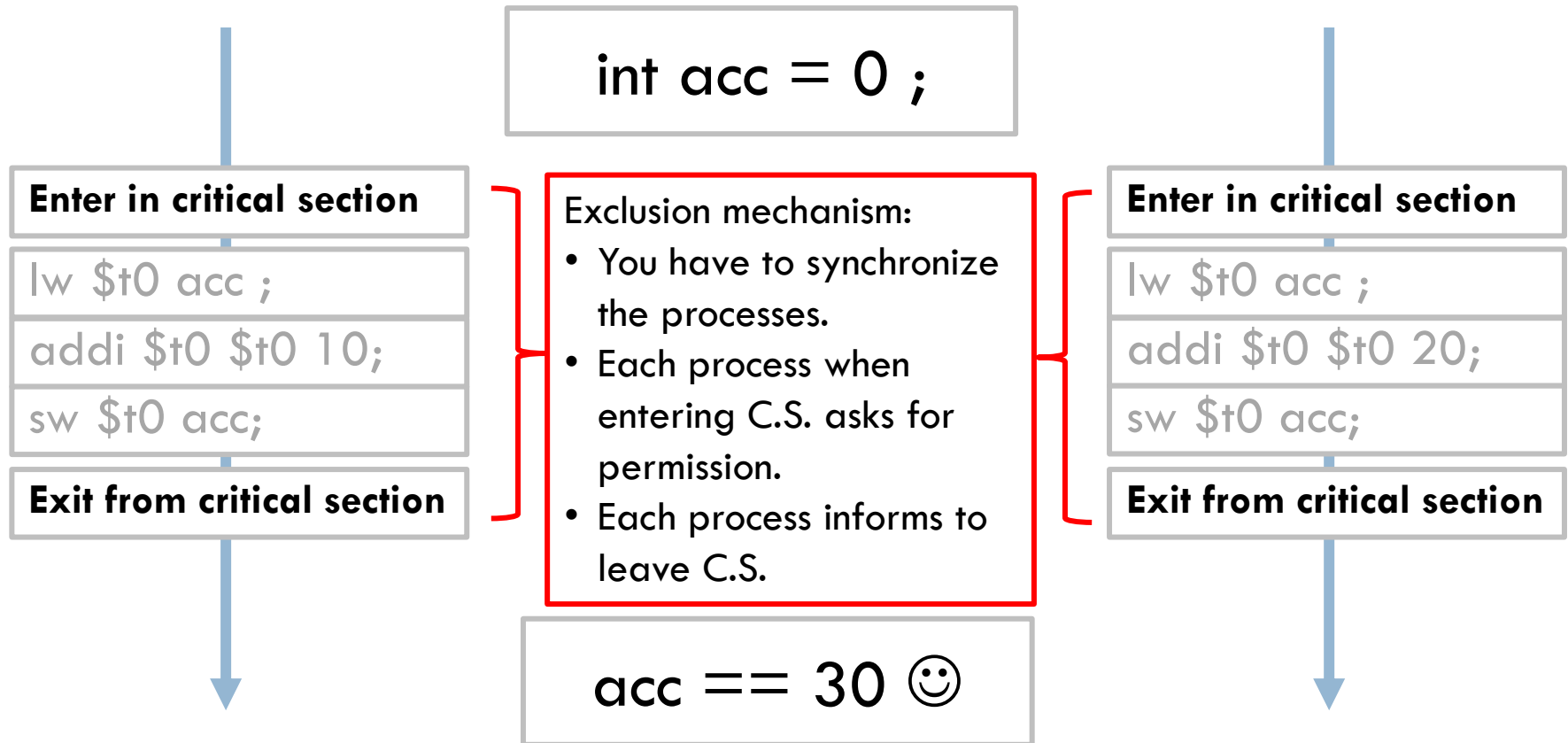
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Mutual exclusion (goal)

- **Mutual exclusion:** only one process can be in the critical section of a resource at a time.
- **critical section:** segment of code that manipulates (w-w, w-r) a resource and must be executed atomically.
- **Exclusion mechanism:** Mechanism associated with a resource for the management of its mutual exclusion.



Mutual exclusion mechanism



Mutual exclusion mechanism conditions that must be met

1. **Mutual exclusion**

It is mandatory that only one process can be simultaneously in the critical section of a resource.

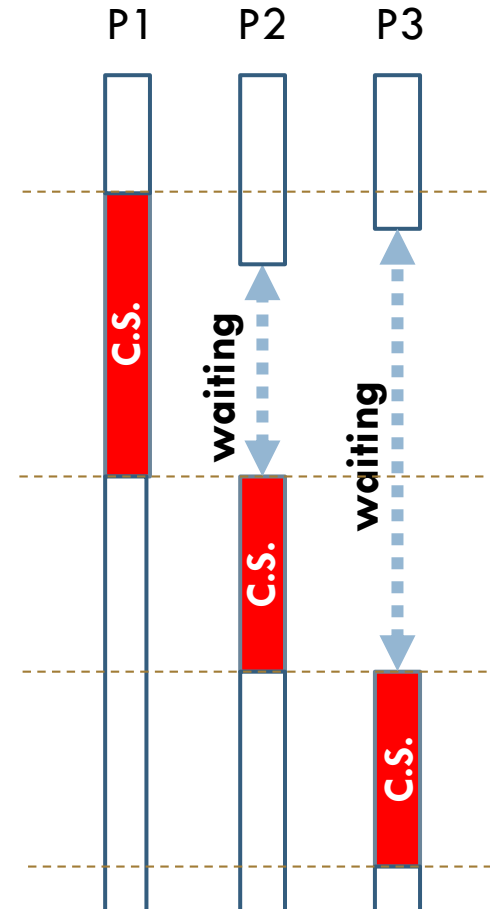
2. **Progress (no deadlock)**

When no process is in a critical section, any process requesting entry will do so without delay.

3. **Limited waiting time (no starvation)**

There must be an upper bound on the number of times other processes enter the c.s. after a process asks to enter and before it is granted.

- ▣ A process remains in its critical section for a fixed period of time.
- ▣ No assumptions can be made about the speed of the processes or the number of processors.
- ▣ A process that terminates in its non-critical section must not interfere with other processes.



Problems in critical sections

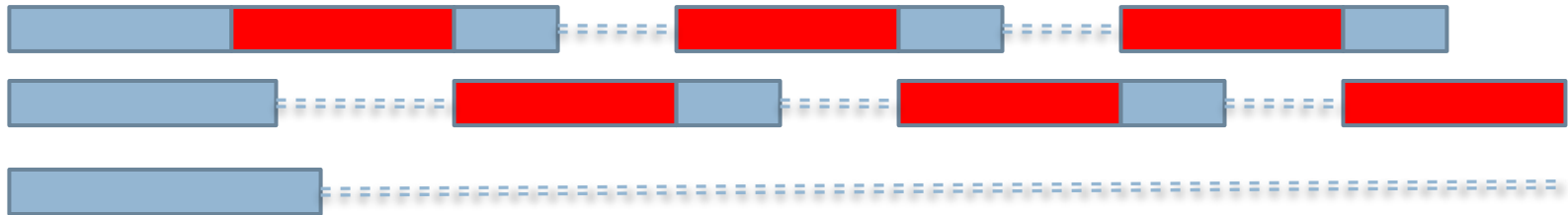
Starvation

- A process is indefinitely blocked while waiting to enter a critical section.
 - The process P1 enters the critical section of the resource A.
 - The process P2 request to enter the critical section of the resource A.
 - The process P3 request to enter the critical section of the resource A.
 - The process P1 leaves the critical section of the resource A.
 - The process P2 enters the critical section of the resource A.
 - The process P1 request to enter the critical section of the resource A.
 - The process P2 leaves the critical section of the resource A.
 - The process P1 enters the critical section of the resource A.
 - ...

The process P3 never manages to enter the critical section of resource A

Problems in critical sections

Starvation



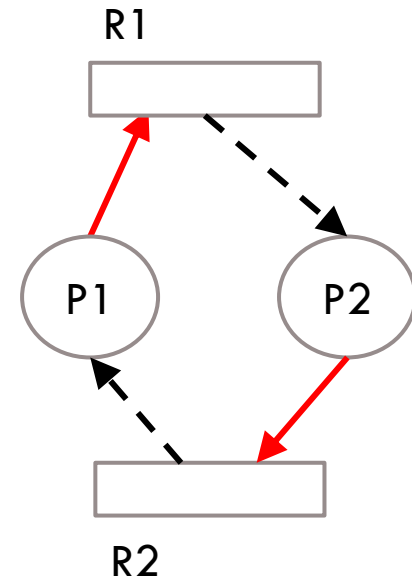
**The P3 process never manages
to enter the critical section**

Problems in critical sections

Interlocks

- It occurs with mutual exclusion for more than one resource, the following conditions are necessary:

1. Mutual exclusion: only one process can use a resource at a time. If another process requests that resource, it must wait until it is free.



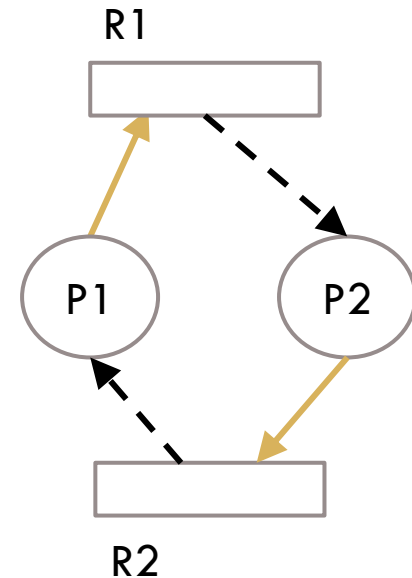
Problems in critical sections

Interlocks

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- It occurs with mutual exclusion for more than one resource, the following conditions are necessary:
 1. **Mutual exclusion:** only one process can use a resource at a time. If another process requests that resource, it must wait until it is free.
 2. **Retention and waiting:** a process retains some resources while waiting for other resources to be allocated to it.



Problems in critical sections

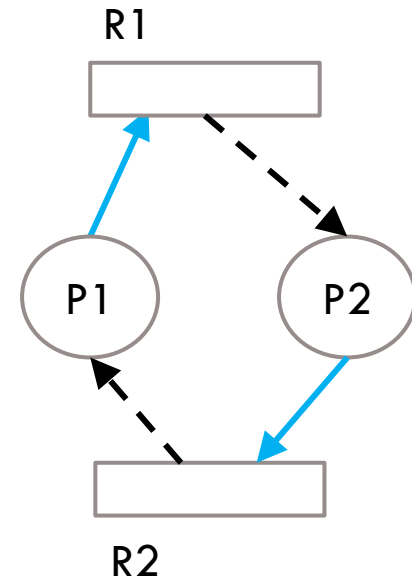
Interlocks

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- 2. Retention and waiting:** a process retains some resources while waiting for other resources to be allocated to it.
- 3. No expropriation:** a process cannot be forced to abandon a resource that retains.

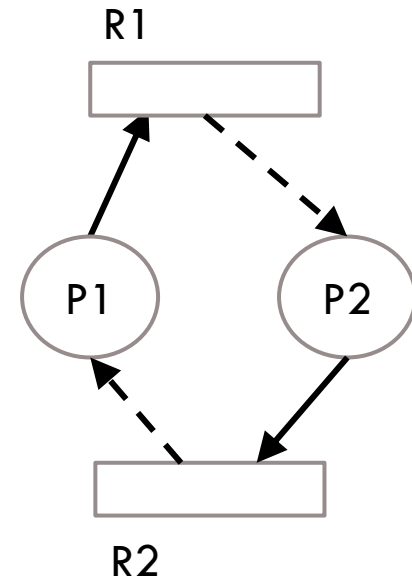


Problems in critical sections

Interlocks

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- 2. Retention and waiting:** a process retains some resources while waiting for other resources to be allocated to it.
- 3. No expropriation:** a process cannot be forced to abandon a resource that retains.
- 4. Circular waiting:** there exists a closed chain of processes $\{P_0, \dots, P_n\}$ in which each process has a resource and waiting for a resource from the next process in the chain.



None can move forward

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Implementation alternatives

- Approach by software:
 - **Dekker** (Dijkstra, with 4 attempts)
 - **Peterson**
 - ...
- Approach by hardware:
 - **Disable interruptions.**
 - Only valid on single-processor systems (and non-interruptible process).
 - **Special machine instructions:** test_and_set or swap.
 - Implies active waiting (misused starvation and interlocking are possible).
- Support from O.S. (and programming language):
 - **Semaphores**
 - **Monitors**
 - **Message Passing**
 - ...

- (1) Knowing Mechanisms and how to use them for mutual exclusion.
- (2) To know how to implement some Mechanisms in function of others.

Type approx.	Mechanism	semaphore	locks	conditions	...
software	Dekker
	Petterson

hardware	Disable interrupts.
	test_and_set
	swap

O.S. + language	semaphores
	locks
	conditions
	monitors
	message passing

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Test-and-set

- Test-and-set instruction
 - ▣ Active wait
 - ▣ No cache in 'lock'

```
while (test_and_set(&lock) == 1) ;  
critical section  
lock = 0;  
remainder section
```

```
volatile int lock = 0 ;  
while (test_and_set(&lock) == 1) ;  
critical section  
lock = 0;  
remainder section
```

Peterson's solution

- Limitations:
 - ▣ ONLY for 2 processes.
 - ▣ Assumes LOAD and STORE instructions are atomic, not interruptible.
- The 2 processes share 2 variables:
 - ▣ **int turn;**
 - indicates who will enter the critical section.
 - $\text{turn} = 1$ implies that P_1 will enter.
 - ▣ **bool flag[2];**
 - indicates if a process intends to enter the critical section.
 - $\text{flag}[i] = \text{true}$ implies that P_i is ready to enter.

Peterson: algorithm for process P_i

2 processes: P_i y P_j (with $j=1-i$)

- $i=0 \Rightarrow j=1$ ($1-i$)
- $i=1 \Rightarrow j=0$ ($1-i$)

```
do
{
    flag[j] = TRUE;
    turn = i;
    while (flag[i] &&
           turn == i);

    critical section

    flag[j] = FALSE;
    remainder section
} while (TRUE);
```

```
do
{
    flag[i] = TRUE;
    turn = j;
    while (flag[j] && turn == j);

    critical section

    flag[i] = FALSE;
    remainder section
} while (TRUE);
```

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Semaphores (Dijkstra)

- A semaphore can be viewed as an integer variable with three associated atomic operations.
- Associated atomic operations:
 - ▣ **Initiation** to a non-negative value.
 - ▣ **semWait**:
 - Decrements the semaphore counter and if ($s < 0$) → The calling process is blocked.
 - ▣ **semSignal**:
 - Increases the value of the semaphore and if ($s \leq 0$) → Unblocks one process.

Critical sections and semaphores

- A semaphore is associated with the critical section of a resource:
 - ▣ semaphore **initiated to 1**.
- **semWait**: enter to the critical section.
- **semSignal**: exit from critical section.

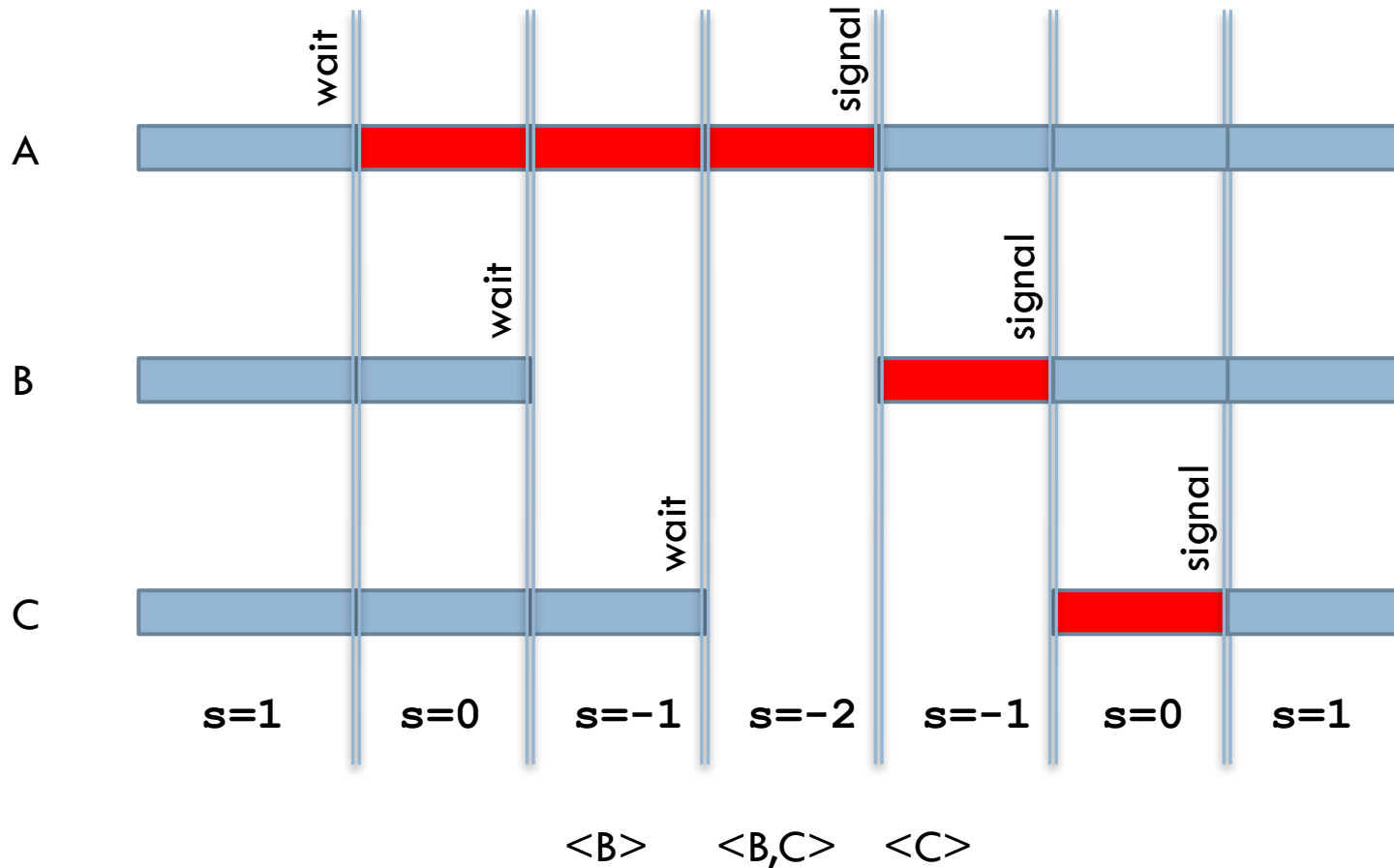
```
s = 1 ;  
  
// non-critical section  
...  
semWait(s);  
// critical section  
semSignal(s);  
...  
// non-critical section
```

Critical sections and semaphores

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Sistemas operativos: una visión aplicada (© J. Carrete et al.)

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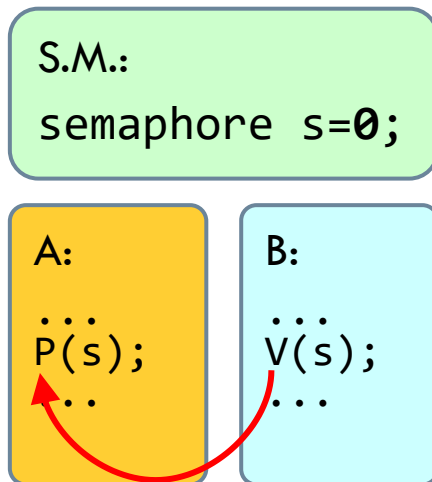


Examples of the use of semaphores

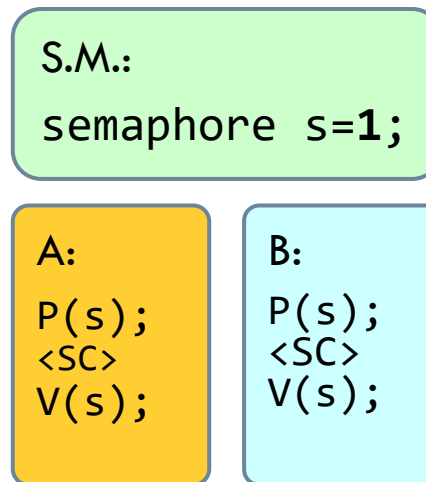
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<https://www.uio.no/studier/emner/matnat/ifi/nedlagte-emner/INF3150/h03/annet/slides/semaphores.pdf>

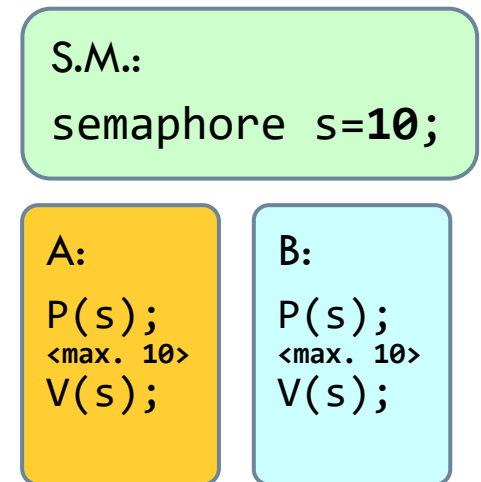
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“The signal”



“The mutex”



“The team”

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Classic concurrency problems

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Type approx.	Mechanism	P-C	RR-WW	...
software	Dekker	P-C with Dekker
	Petterson	P-C with Petterson	<no aplica +2>	...

hardware	Disable interrupts.
	test_and_set
	swap

O.S. + language	semaphores	P-C with sem.	RR-WW with sem.	...
	locks
	conditions
	monitors
	message passing

Classic concurrency problems

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Alejandro Calderón Mateos 

Type approx.	Mechanism	P-C	RR-WW	...
<p>(1) Know the classic concurrency problems to detect when they appear [*].</p> <ul style="list-style-type: none"> • P-C: producer-consumer • RR-WW: reader and writer • ... <p>[*] 1 or a combination of several may appear.</p>		P-C with Dekker
		P-C with Petterson	<no aplica +2>	...
	
	
	
	
	semaphores	P-C with sem.	RR-WW with sem.	...
<p>(2) Know the solution to classic concurrency problems to be used as templates when they appear.</p>	
	
	
	
	

Contents

- Introduction (definitions):
 - ▣ Concurrent processes.
 - ▣ Concurrency, communication and synchronization
 - ▣ Critical section and Race conditions
 - ▣ Mutual exclusion and critical section.
- Synchronization mechanisms (I):
 - ▣ Initial basic primitives.
 - ▣ Semaphores.
- **Classic concurrency problems (I):**
 - ▣ **Producer-consumer**
 - ▣ Reader-writers
- Synchronization mechanisms of threads (II)
 - ▣ Semaphores
 - System calls for semaphores.
 - Classic concurrency problems.
 - ▣ Mutex and condition variables
 - System calls for mutex.
 - Classic concurrency problems.
- Case study: concurrent server development

The producer-consumer problem

- A process produces information elements.
- A process consumes information elements.
- There is an intermediate storage space.
 - ▣ Infinite
 - ▣ Bounded (finite in size N)



Infinite buffer

**Synchronization
must be introduced**

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<https://computationstructures.org/lectures/synchronization/synchronization.html>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int inicio, fin;  
char v[N];
```

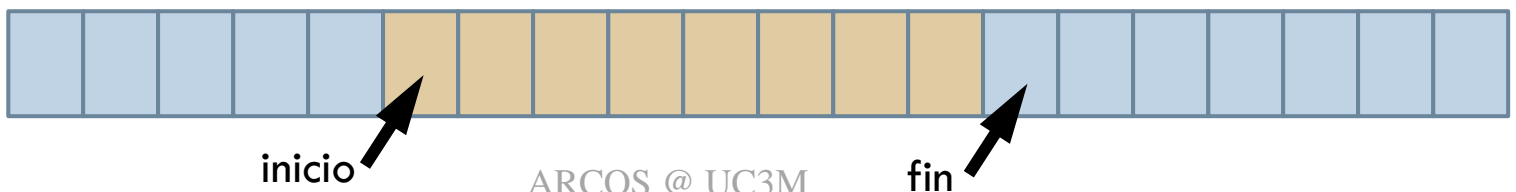
PRODUCER:

```
for (;;) {  
    x= produce();  
    v[fin] = x;  
    fin++;  
}
```

CONSUMIDOR:

```
for (;;) {  
    while (inicio==fin) {}  
    y=v[inicio];  
    inicio++;  
    processing(y);  
}
```

**Active
wait**



Infinite buffer

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<https://computationstructures.org/lectures/synchronization/synchronization.html>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int inicio, fin;  
char v[N];  
semaphore s=1;
```

PRODUCER:

```
for (;;) {  
    x= produce();  
    semWait(s);  
    v[fin] = x;  
    fin++;  
    semSignal(s);  
}
```

CONSUMIDOR:

```
for (;;) {  
    while (inicio==fin) {}  
    semWait(s);  
    y=v[inicio];  
    inicio++;  
    semSignal(s);  
    processing(y);  
}
```

**Active
wait**



Infinite buffer

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<https://computationstructures.org/lectures/synchronization/synchronization.html>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int inicio, fin;  
char v[N];  
semaphore s=1; semaphore n=0;
```

PRODUCER:

```
for (;;) {  
    x= produce();  
    semWait(s);  
    v[fin] = x;  
    fin++;  
    semSignal(s);  
    semSignal(n);  
}
```

CONSUMIDOR:

```
for (;;) {  
    semWait(n);  
    semWait(s);  
    y=v[inicio];  
    inicio++;  
    semSignal(s);  
    processing(y);  
}
```

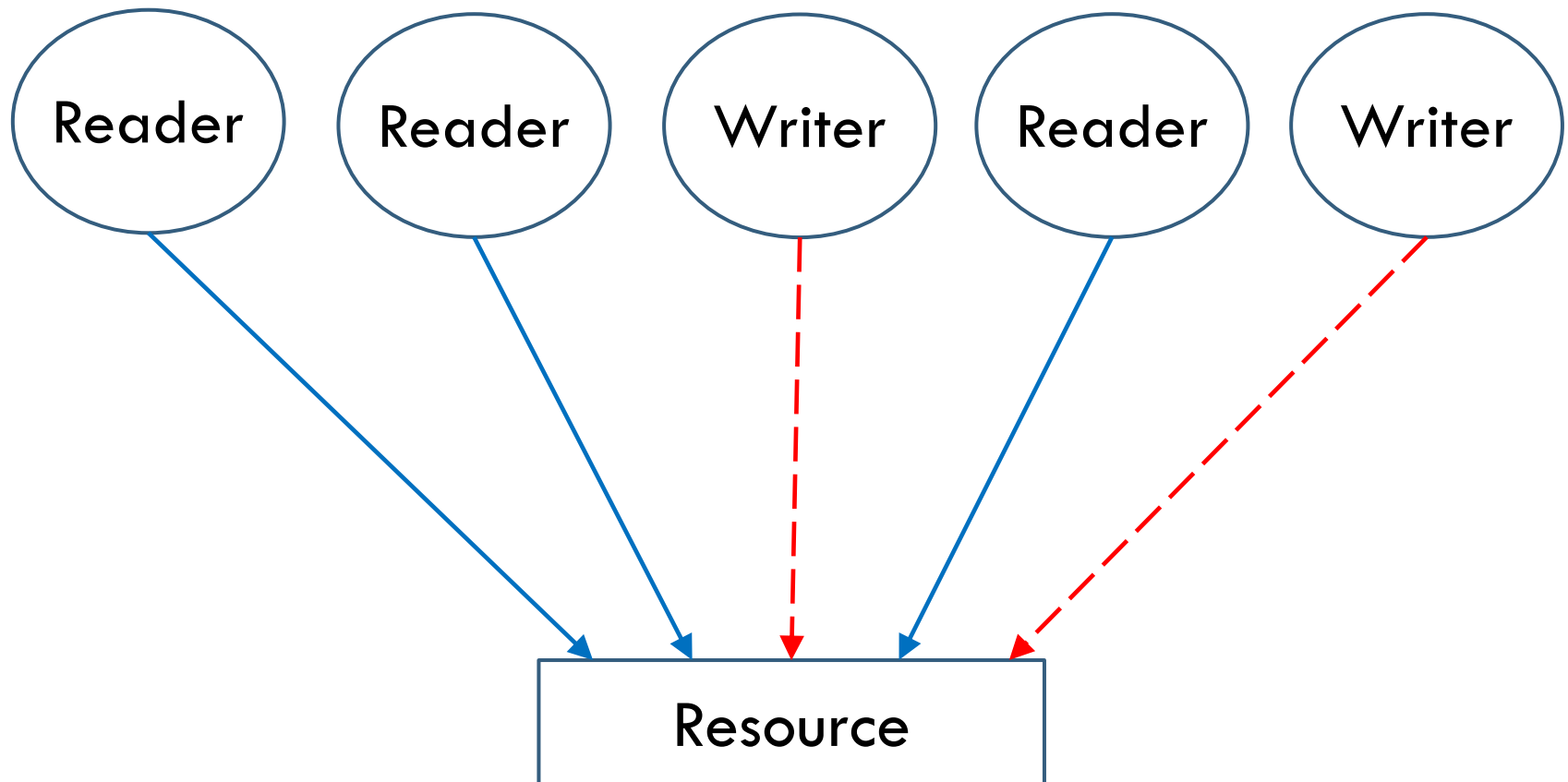
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Reader-writer problem

- Problem that arises when you have:
 - A shared storage area.
 - Multiple processes read information.
 - Multiple processes write information.
- Conditions:
 - Any number of readers can read from the data zone concurrently: multiple readers possible at the same time.
 - Only one writer can modify the information at a time.
 - During a writing no reader can read.

Reader-writer problem



Differences with other problems

- Mutual exclusion:
 - In the case of mutual exclusion, only one process would be allowed to access the information.
 - No concurrence among readers would be allowed.
- Producer consumer:
 - In the producer/consumer two readers do not need to be mutually exclusive in the critical section.
 - Goal: provide a more efficient solution.

Management alternatives

A. Readers have priority.

- ▣ If there are any readers in the critical section, then other readers can enter.
- ▣ A writer can only enter the critical section if there is no process.
- ▣ **Problem:** starvation for writers.

B. Writers have priority.

- ▣ When a writer wishes to access the critical section, new readers are not allowed to enter.

Readers have priority (1 / 4)

writer interaction (critical section)

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<http://faculty.juniata.edu/rhodes/os/ch5d.htm>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int nlect; semaforo lec=1; semaforo escr=1;
```

WRITER:

```
for(;;) {  
    semWait(escr);  
    perform_write();  
    semSignal(escr);  
}
```

Readers have priority (2/4)

reader interaction with each other

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<http://faculty.juniata.edu/rhodes/os/ch5d.htm>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int nlect; semaforo lec=1; semaforo escr=1;
```

READER:

```
for(;;) {  
    semWait(lec);  
    nlect++;  
    if (nlect==1)  
        semWait(escr);  
    semSignal(lec);  
  
    perform_read();  
  
    semWait(lec);  
    nlect--;  
    if (nlect==0)  
        semSignal(escr);  
    semSignal(lec);  
}
```

WRITER:

```
for(;;) {  
    semWait(escr);  
    perform_write();  
    semSignal(escr);  
}
```


Readers have priority (3/4)

several readers with one writer

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<http://faculty.juniata.edu/rhodes/os/ch5d.htm>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int nlect; semaforo lec=1; semaforo escr=1;
```

READER:

```
for(;;) {  
    semWait(lec);  
    nlect++;  
    if (nlect==1)  
        semWait(escr);  
    semSignal(lec);  
  
    perform_read();  
  
    semWait(lec);  
    nlect--;  
    if (nlect==0)  
        semSignal(escr);  
    semSignal(lec);  
}
```

WRITER:

```
for(;;) {  
    semWait(escr);  
    perform_write();  
    semSignal(escr);  
}
```

TIP: nlect is incremented and queried NON-atomically between readers...

Readers have priority (4/4)

several readers with one writer

66

<http://faculty.juniata.edu/rhodes/os/ch5d.htm>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int nlect; semaforo lec=1; semaforo escr=1;
```

READER:

```
for(;;) {  
    semWait(lec);  
    nlect++;  
    if (nlect==1)  
        semWait(escr);  
    semSignal(lec);  
  
    perform_read();
```

```
    semWait(lec);  
    nlect--;  
    if (nlect==0)  
        semSignal(escr);  
    semSignal(lec);  
}
```

WRITER:

```
for(;;) {  
    semWait(escr);  
    perform_write();  
    semSignal(escr);  
}
```

Readers have priority

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<http://faculty.juniata.edu/rhodes/os/ch5d.htm>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int nlect; semaforo lec=1; semaforo escr=1;
```

READER:

```
for(;;) {  
    semWait(lec);  
    nlect++;  
    if (nlect==1)  
        semWait(escr);  
    semSignal(lec);  
  
    perform_read();
```

```
    semWait(lec);  
    nlect--;  
    if (nlect==0)  
        semSignal(escr);  
    semSignal(lec);  
}
```

WRITER:

```
for(;;) {  
    semWait(escr);  
    perform_write();  
    semSignal(escr);  
}
```

**Task: Design a solution
for priority writers**

Writers have priority

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<https://computationstructures.org/lectures/synchronization/synchronization.html>

Alejandro Calderón Mateos 

SHARED MEMORY:

```
int nlect, nescr = 0; semaphore lect, escr = 1;  
semaphore x, y, z = 1;
```

READER:

```
for(;;) {  
    semWait(z);  
    semWait(lect);  
    semWait(x);  
    nlect++;  
    if (nlect==1)  
        semWait(escr);  
    semSignal(x);  
    semSignal(lect);  
    semSignal(z);  
    // doReading();  
    semWait(x);  
    nlect--;  
    if (nlect==0)  
        semSignal(escr);  
    semSignal(x);  
}
```

WRITER:

```
for(;;) {  
    semWait(y);  
    nescr++;  
    if (nescr==1)  
        semWait(lect);  
    semSignal(y);  
    semWait(escr);  
    // doWriting();  
    semSignal(escr);  
    semWait(y);  
    nescr--;  
    if (nescr==0)  
        semSignal(lect);  
    semSignal(y);  
}
```

OPERATING SYSTEMS: COMMUNICATION AND SYNCHRONIZATION AMONG PROCESSES



Concurrent processes and synchronization