

Sistemas de Operação / Fundamentos de Sistemas Operativos

Interprocess communication

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Outline

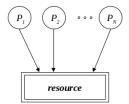
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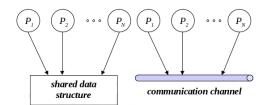
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Concepts

Independent and collaborative processes

- In a multiprogrammed environment, two or more processes can be:
 - independent if they, from their creation to their termination, never explicitly interact
 - actually, there is an implicit interaction, as they compete for system resources
 - ex: jobs in a batch system; processes from different users
 - cooperative if they share information or explicitly communicate
 - the sharing requires a common address space
 - communication can be done through a common address space or a communication channel connecting them

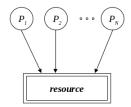




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Concepts

Independent and collaborative processes (2)



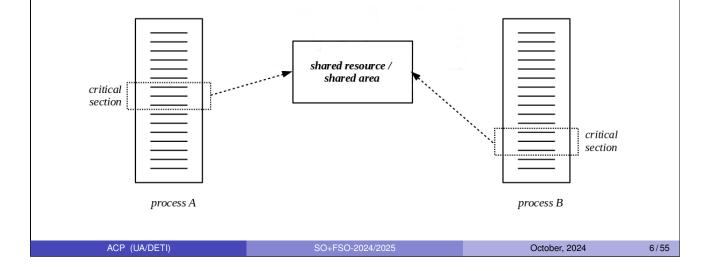
- Independent processs competing for a resource
- It is the responsibility of the OS to ensure the assignment of resources to processes is done in a controlled way, such that no information lost occurs
- In general, this imposes that only one process can use the resource at a time – mutual exclusive access

- Cooperative processes sharing information or communicating
- It is the responsibility of the processes to ensure that access to the shared area is done in a controlled way, such that no information lost occurs
- In general, this imposes that only one process can access the shared area at a time – mutual exclusive access
- The communication channel is typically a system resource, so processes compete for it

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Concepts Critical section

- Having access to a resource or to a shared area actually means executing the code that does the access
- This section of code, if not properly protected, can result in race conditions
 - which can result in lost of information
 - It is called critical section
- Critical sections should execute in mutual exclusion



Concepts Deadlock and starvation

- Mutual exclusion in the access to a resource or shared area can result in
 - deadlock when two or more processes are waiting forever to access to their respective critical section, waiting for events that can be demonstrated will never happen
 - operations are blocked
 - starvation when one or more processes compete for access to a critical section and, due to a conjunction of circumstances in which new processes that exceed them continually arise, access is successively deferred
 - operations are continuously postponed

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Access primitives

Access to a resource or to a shared area

```
/* shared data structure */
shared DATA d;
/* processes sharing data - p = 0, 1, ..., N-1 */
void mainLoop (unsigned int p)
{
   forever
   {
      do_something();
      access_shared_area(p);
      do_something_else();
   }
}

      enter_critical_section(p);
      manipulate_shared_area();
      leave_critical_section(p);
      section
}
```

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Access primitives Requirements

- Requirements that should be observed in accessing a critical section:
 - Effective mutual exclusion access to the critical sections associated with the same resource, or shared area, can only be allowed to one process at a time, among all processes that compete for access
 - Independence on the number of intervening processes or on their relative speed of execution
 - a process outside its critical section cannot prevent another process from entering its own critical section
 - No starvation a process requiring access to its critical section should not have to wait indefinitely
 - Length of stay inside a critical section should be necessarily finite

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Access primitives

Types of solutions

- In general, a memory location is used to control access to the critical section
 - it works as a binary flag
- Two types of solutions: software solutions and hardware solutions
- software solutions solutions that are based on the typical instructions used to access memory location
 - read and write are done by different instructions
 - interruption can occur between read and write
- hardware solutions solutions that are based on special instructions to access the memory location
 - these instructions allow to read and then write a memory location in an atomic (uninterruptible) way

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Software solutions

Constructing a solution - strict alternation

```
/* control data structure */
#define R ... /* process id = 0, 1, ..., R-1 */
shared unsigned int access_turn = 0;
void enter_critical_section(unsigned int own_pid)
{
   while (own_pid != access_turn);
}
void leave_critical_section(unsigned int own_pid)
{
   if (own_pid == access_turn)
        access_turn = (access_turn + 1) % R;
}
```

- Not a valid solution
 - Dependence on the relative speed of execution of the intervening processes
 - The process with less accesses imposes its rhythm to the others
 - A process outside the critical section can prevent another from entering there
 - If it is not its turn, a process has to wait, until its predecessor enters and give it access on leaving

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Constructing a solution - 1st step

- Not a valid solution
 - Mutual exclusion is not guaranteed

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Software solutions

Constructing a solution - 1st step

```
/* control data structure */
                                                    /* control data structure */
#define R 2 /* process id = 0, 1 */
                                                   #define R 2 /* process id = 0, 1 */
shared bool is_in[R] = {false, false};
                                                    shared bool is_in[R] = {false, false};
void enter_critical_section(unsigned int own_pid)
                                                    void enter_critical_section(unsigned int own_pid)
   unsigned int other_pid = 1 - own_pid;
                                                        unsigned int other_pid = 1 - own_pid;
                                                        while (is_in[other_pid]);
   while (is_in[other_pid]);
   is_in[own_pid] = true;
                                                        is_in[own_pid] = true;
void leave_critical_section(unsigned int own_pid)
                                                    void leave_critical_section(unsigned int own_pid)
   is_in[own_pid] = false;
                                                        is_in[own_pid] = false;
```

- Assume the following sequence of execution:
 - P_0 enters enter_critical_section and tests is_in[1] as being false
 - P_1 enters enter_critical_section and tests is_in[0] as being false
 - P_1 changes is in [1] to true and enters its critical section
 - P_0 changes is_in[0] to true and enters its critical section
- Thus, both processes enter their critical sections
- It seems that the failure is a result of testing first the other's control variable and then change its own variable

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Constructing a solution - 2nd step

- Not a valid solution
 - Mutual exclusion is guaranteed, but deadlock can occur

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Software solutions

Constructing a solution - 2nd step

```
/* control data structure */
                                                    /* control data structure */
#define R 2 /* process pid = 0, 1 */
                                                    #define R 2 /* process pid = 0, 1 */
shared bool want_enter[R] = {false, false};
                                                    shared bool want_enter[R] = {false, false};
void enter_critical_section (unsigned int own_pid)
                                                    void enter_critical_section (unsigned int own_pid)
                                                    {
  unsigned int other_pid = 1 - own_pid;
 unsigned int other_pid = 1 - own_pid;
 want enter[own pid] = true;
                                                      want enter[own pid] = true;
 while (want_enter[other_pid]);
                                                      while (want_enter[other_pid]);
void leave_critical_section (unsigned int own_pid)
                                                    void leave_critical_section (unsigned int own_pid)
  want_enter[own_pid] = false;
                                                       want_enter[own_pid] = false;
```

- Assume that:
 - P_0 enters enter_critical_section and sets want_enter[0] to true
 - P_1 enters enter_critical_section and sets want_enter[1] to true
 - P_1 tests want_enter[0] and, because it is true, keeps waiting to enter its critical section
 - P_0 tests want_enter[1] and, because it is true, keeps waiting to enter its critical section
- Thus, both processes enter deadlock
- To solve the deadlock at least one of the processes have to go back

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Constructing a solution - 3rd step

- An almost valid solution
 - The Ethernet protocol uses a similar approach to control access to the communication medium

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Software solutions

Constructing a solution - 3rd step

- An almost valid solution
 - The Ethernet protocol uses a similar approach to control access to the communication medium
- But, still not completely valid
 - Even if unlikely, deadlock and starvation can still be present
- The solution needs to be deterministic, not random

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Dekker algorithm (1965)

```
#define R
                   /* process id = 0, 1 */
shared bool want_enter[R] = {false, false};
shared uint p_w_priority = 0;
void enter_critical_section(uint own_pid)
  uint other_pid = 1 - own_pid;
  want_enter[own_pid] = true;
  while (want_enter[other_pid])
      if (own_pid != p_w_priority)
        want_enter[own_pid] = false;
        while (own_pid != p_w_priority);
        want_enter[own_pid] = true;
  }
}
void leave_critical_section(uint own_pid)
  uint other_pid = 1 - own_pid;
  p_w_priority = other_pid;
  want_enter[own_pid] = false;
}
```

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Software solutions Dekker algorithm (1965)

```
#define R
              2
                   /* process id = 0, 1 */
shared bool want_enter[R] = {false, false};
shared uint p_w_priority = 0;
void enter_critical_section(uint own_pid)
{
   uint other_pid = 1 - own_pid;
   want_enter[own_pid] = true;
   while (want_enter[other_pid])
      if (own_pid != p_w_priority)
         want_enter[own_pid] = false;
         while (own_pid != p_w_priority);
         want_enter[own_pid] = true;
      }
   }
void leave_critical_section(uint own_pid)
   uint other_pid = 1 - own_pid;
   p_w_priority = other_pid;
   want_enter[own_pid] = false;
```

- The algorithm uses an alternation mechanism (on the priority) to solve the conflict
- Mutual exclusion in the access to the critical section is guaranteed
- Deadlock and starvation are not present
- No assumptions are done in the relative speed of the intervening processes
- However, it can not be generalized to more than 2 processes, satisfying all the requirements

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Dijkstra algorithm (1966)

```
#define R
                    /* process id = 0, 1, ..., R-1 */
shared uint want_enter[R] = {NO, NO, ..., NO};
shared uint p_w_priority = 0;
void enter_critical_section(uint own_pid)
   uint n;
   do
      want_enter[own_pid] = WANT;
      while (own_pid != p_w_priority)
         if (want_enter[p_w_priority] == NO)
            p_w_priority = own_pid;
      want_enter[own_pid] = DECIDED;
      for (n = 0; n < R; n++)
         if (n != own_pid && want_enter[n] == DECIDED)
            break;
   } while (n < R);</pre>
}
void leave_critical_section(uint own_pid)
  p_w_priority = (own_pid + 1) % R;
  want_enter[own_pid] = NO;
```

Works, but can suffer from starvation

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Software solutions

Peterson algorithm (1981)

```
#define R 2  /* process id = 0, 1 */
shared bool want_enter[R] = {false, false};
shared uint last;

void enter_critical_section(uint own_pid)
{
    uint other_pid = 1 - own_pid;
    want_enter[own_pid] = true;
    last = other_pid;
    while ((want_enter[other_pid]) && (last == other_pid));
}

void leave_critical_section(uint own_pid)
{
    want_enter[own_pid] = false;
}
```

- The Peterson algorithm uses the order of arrival to solve conflicts
 - Each process has to write the other's ID in a shared variable (last)
 - The subsequent reading allows to determine which was the last one

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Peterson algorithm (1981)

```
#define R 2  /* process id = 0, 1 */
shared bool want_enter[R] = {false, false};
shared uint last;

void enter_critical_section(uint own_pid)
{
    uint other_pid = 1 - own_pid;
    want_enter[own_pid] = true;
    last = other_pid;
    while ((want_enter[other_pid]) && (last == other_pid));
}

void leave_critical_section(uint own_pid)
{
    want_enter[own_pid] = false;
}
```

- The Peterson algorithm uses the order of arrival to solve conflicts
 - Each process has to write the other's ID in a shared variable (last)
 - The subsequent reading allows to determine which was the last one
- It is a valid solution
 - Guarantees mutual exclusion
 - Avoids deadlock and starvation
 - Makes no assumption about the relative speed of intervening processes

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Software solutions

Generalized Peterson algorithm (1981)

- Can be generalized to more than two processes
 - The general solution is similar to a waiting queue

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Hardware solutions

disabling interrupts

- Uniprocessor computational system
 - The switching of processes, in a multiprogrammed environment, is always caused by an external device:
 - real time clock (RTC) cause the time-out transition in preemptive systems
 - device controller can cause the preempt transitions in case of waking up of a higher priority process
 - In any case, interruptions of the processor
 - Thus, access in mutual exclusion can be implemented disabling interrupts
 - Only valid in kernel
 - Malicious or buggy code can completely block the system
- Multiprocessor computational system
 - Disabling interrupts in one processor has no effect

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Hardware solutions

special instructions - TAS

```
bool test_and_set(bool *p)
{
    bool prev = *p;
    *p = true;
    return prev;
}
shared bool flag = 0;

void lock(bool *p)
{
    while (test_and_set(p);
}

void unlock(int *p)
{
    *p = false;
}
```

- The test_and_set function, if implemented atomically (without interruptions), can be used to construct the lock (enter critical section) primitive
- In the instruction set of some of the current processors, there is an atomic instruction implementing this behavior
- Surprisingly, it is often called TAS (test and set)

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Hardware solutions

special instructions - CAS

```
bool compare_and_swap(int *p,
        int cur, int new)
    if (*p != cur)
       return false;
    *p = new;
    return true;
}
shared int value = 0;
void lock(int *p)
    bool done = false;
    while (not done)
        done = compare_and_swap(p, 0, 1);
}
void unlock(int *p)
{
    *p = 0;
}
```

- The compare_and_swap function, if implemented atomically (without interruptions), can be used to construct the lock (enter critical section) primitive
- In the instruction set of some of the current processors, there is an atomic instruction implementing that behavior
- In some instruction sets, there is a variant that returns the cur value

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Hardware solutions

Busy waiting

- The previous solutions suffer from busy waiting
 - The lock primitive is in the active state (using the CPU) while waiting
 - It is often referred to as a spinlock, as the process spins around the variable while waiting for access
- In uniprocessor systems, busy waiting is unwanted, as there is
 - loss of efficiency the time quantum of a process is used for nothing
 - risk of deadlock if a higher priority process calls lock while a lower priority process is inside its critical section, none of them can proceed
- In multiprocessor systems with shared memory, busy waiting can be less critical
 - switching processes cost time, that can be higher than the time spent by the other process inside its critical section

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Hardware solutions

Block and wake up

 In general, at least in uniprocessor systems, there is the requirement of blocking a process while it is waiting for entering its critical section

Atomic operations are still required

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Semaphores

Definition

- A semaphore is a synchronization mechanism, defined by a data type plus two atomic operations, down and up
- Data type:

- Operations:
 - down
 - block process if val is zero
 - decrement val otherwise
 - up
 - if queue is not empty, wake up one waiting process (accordingly to a given policy)
 - increment val otherwise
- Note that val can only be manipulated through these operations
 - It is not possible to check the value of val

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Semaphores

An implementation of semaphores

```
/* array of semaphores defined in kernel */
#define R ... /* semid = 0, 1, ..., R-1 */
static SEMAPHORE sem[R];
void sem_down(unsigned int semid)
    disable_interruptions;
if (sem[semid].val == 0)
        block_on_sem(getpid(), semid);
    sem[semid].val -= 1;
    enable_interruptions;
}
void sem_up(unsigned int semid)
    disable_interruptions;
    sem[semid].val += 1;
    if (sem[sem_id].queue != NULL)
        wake_up_one_on_sem(semid);
    enable_interruptions;
}
```

- Internally, the block_on_sem function must enable interruptions
- This implementation is typical of uniprocessor systems. Why?
- Semaphores can be binary or not binary
- How to implement mutual exclusion using semaphores?
 - Using a binary semaphore

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Semaphores

Analysis of semaphores

- Concurrent solutions based on semaphores have advantages and disadvantages
- Advantages:
 - support at the operating system level
 operations on semaphores are implemented by the kernel and made available to programmers as system calls
 - general— they are low level contructions and so they are versatile, being able to be used in any type of solution
- Disadvantages:
 - specialized knowledge
 – the programmer must be aware of concurrent programming principles, as race conditions or deadlock can be easily introduced
 - See the previous example, as an illustration of this

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MonitorsIntroduction

- A problem with semaphores is that they are used both to implement mutual exclusion and for synchronization between processes
- Being low level primitives, they are applied in a bottom-up perpective
 - if required conditions are not satisfied, processes are blocked before they enter their critical sections
 - this approach is prone to errors, mainly in complex situations, as synchronization points can be scattered throughout the program
- A higher level approach should followed a top-down perpective
 - processes must first enter their critical sections and then block if continuation conditions are not satisfied
- A solution is to introduce a (concurrent) construction at the programming language level that deals with mutual exclusion and synchronization separately
- A monitor is a synchronization mechanism, independently proposed by Hoare and Brinch Hansen, supported by a (concurrent) programming language
 - It is composed of an internal data structure, inicialization code and a number of accessing primitives

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Monitors Definition

```
monitor example
{
    /* internal shared data structure */
    DATA data;

    condition c; /* condition variable */
    /* access methods */
    method_1 (...)
    {
        ...
    }

    method_2 (...)
    {
        ...
    }

    ...
}

/* initialization code */
    ...
}
```

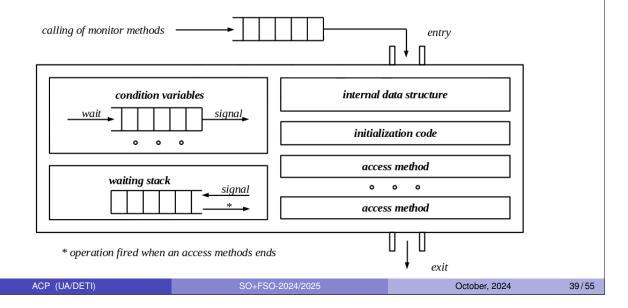
- An application is seen as a set of threads that compete to access the shared data structure
- This shared data can only be accessed through the access methods
- Every method is executed in mutual exclusion
- If a thread calls an access method while another thread is inside another access method, its execution is blocked until the other leaves
- Synchronization between threads is possible through condition variables
- Two operation on them are possible:
 - wait the thread is blocked and put outside the monitor
 - signal if there are threads blocked, one is waked up. Which one?

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Monitors

Hoare monitor

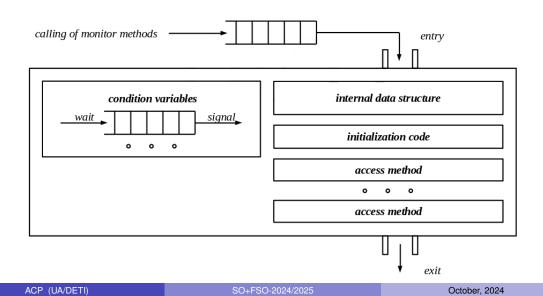
- What to do when signal occurs?
- Hoare monitor the thread calling signal is put out of the monitor, so the just waked up thread can proceed
 - quite general, but its implementation requires a stack where the blocked thread is put



Monitors

Brinch Hansen monitor

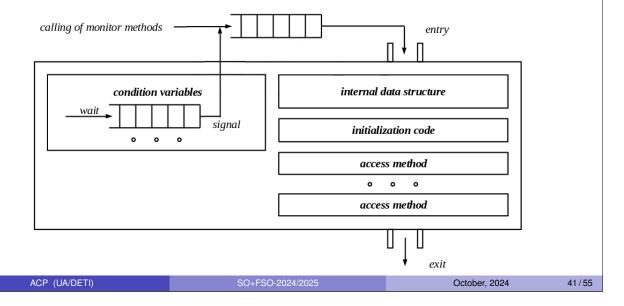
- What to do when signal occurs?
- Brinch Hansen monitor the thread calling signal immediately leaves the monitor (signal is the last instruction of the monitor method)
 - easy to implement, but quite restrictive (only one signal allowed in a method)



Monitors

Lampson / Redell monitor

- What to do when signal occurs?
- Lampson / Redell monitor the thread calling signal continues its execution and the just waked up thread is kept outside the monitor, competing for access
 - easy to implement, but can cause starvation



Message-passing Introduction

- Processes can communicate exchanging messages
 - A general communication mechanism, not requiring explicit shared memory, that includes both communication and synchronization
 - Valid for uniprocessor and multiprocessor systems
- Two operations are required:
 - send and receive
- A communication link is required
 - That can be categorized in different ways:
 - Direct or indirect communication
 - Synchronous or asynchronous communication
 - Type of buffering

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Message-passing Direct and indirect communication

- Symmetric direct communication
 - A process that wants to communicate must explicitly name the receiver or sender
 - send (P, msg) send message msg to process P
 - receive (P, msg) receive message msg from process P
 - A communication link in this scheme has the following properties:
 - it is established automatically between a pair of communicating processes
 - it is associated with exactly two processes
 - between a pair of communicating processes there exist exactly one link
- Asymetric direct communication
 - Only the sender must explicitly name the receiver
 - send (P, msg) send message msg to process P
 - receive (id, msg) receive message msg from any process

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Message-passing Direct and indirect communication

Indirect communication

- The messages are sent to and received from mailboxes, or ports
 - send (M, msg) send message msg to mailbox M
 - receive (M, msg) receive message msg from mailbox M
- A communication link in this scheme has the following properties:
 - it is only established if the pair of communicating processes has a shared mailbox
 - it may be associated with more than two processes
 - between a pair of processes there may exist more than one link (a mailbox per each)
- The problem of two or more processes trying to receive a message from the same mailbox
 - Is it allowed?
 - If allowed, which one will succeed?

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Message-passing Synchronization

- From a synchronization point of view, there are different design options for implementing send and receive
 - Blocking send
 — the sending process blocks until the message is received by the receiving process or by the mailbox
 - Nonblocking send
 — the sending process sends the message and resumes operation
 - Blocking receive
 the receiver blocks until a message is available
 - Nonblocking receive— the receiver retrieves either a valid message or the indication that no one exits
- Different combinations of send and receive are possible

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Message-passing Buffering

- There are different design options for implementing the link supporting the communication
 - Zero capacity there is no queue
 - the sender must block until the recipient receives the message
 - Bounded capacity the queue has finite length
 - if the queue is full, the sender must block until space is available
 - Unbounded capacity the queue has (potentially) infinite length

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Message-passing

Bounded-buffer problem – solving using messages

```
shared MailBox mbox;
/* producers - p = 0, 1, ..., N-1 */
                                             /* consumers - c = 0, 1, ..., M-1 */
void producer(unsigned int p)
                                             void consumer(unsigned int c)
   DATA data;
                                                DATA data;
   MESSAGE msq;
                                                MESSAGE msg;
   forever
                                                forever
      produce_data(&data);
                                                   receive(msg, mbox);
      make_message(msg, data);
                                                   extract_data(data, msg);
      send(msg, mbox);
                                                   consume_data(data);
      do_something_else();
                                                   do_something_else();
}
                                             }
```

- There is no need to deal with mutual exclusion and synchronization explicitly
 - the send and receive primitives take care of it

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Unix IPC primitives

Shared memory

- Address spaces of processes are independent
- But address spaces are virtual
- The same physical region can be mapped into two or more virtual regions
- This is managed as a resource by the operating system
- System V shared memory
 - creation shmget
 - mapping and unmapping shmat, shmdt
 - other operations shmctl
- POSIX shared memory
 - creation shm_open, ftruncate
 - mapping and unmapping mmap, munmap
 - other operations close, shm_unlink, fchmod, ...

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Unix IPC primitives

POSIX support for monitor implementation

- Standard POSIX, IEEE 1003.1c, defines a programming interface (API) for the creation and synchronization of threads
 - In unix, this interface is implemented by the pthread library
- It allows for the implementation of monitors in C/C++
 - Using mutexes and condition variables
 - Note that they are of the Lampson / Redell type
- Some of the available functions:
 - pthread_create creates a new thread; similar to fork
 - pthread_exit equivalent to exit
 - pthread_join equivalent a waitpid
 - pthread_self equivalent a getpid()
 - pthread_mutex_* manipulation of mutexes
 - pthread_cond_* manipulation of condition variables
 - pthread_once inicialization

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Unix IPC primitives

Semaphores

- System V semaphores
 - creation: semget
 - down and up: semop
 - other operations: semctl
- POSIX semaphores
 - down and up
 - sem_wait, sem_trywait, sem_timedwait, sem_post
 - Two types: named and unnamed semaphores
 - Named semaphores
 - sem_open, sem_close, sem_unlink
 - created in a virtual filesystem (e.g., /dev/sem)
 - unnamed semaphores memory based
 - sem_init, sem_destroy
 - execute man sem_overview for an overview

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Unix IPC primitives

Message-passing

- System V implementation
 - Defines a message queue where messages of diferent types (a positive integer) can be stored
 - The send operation blocks if space is not available
 - The receive operation has an argument to specify the type of message to receive: a given type, any type or a range of types
 - The oldest message of given type(s) is retrieved
 - Can be blocking or nonblocking
 - see system calls: msgget, msgsnd, msgrcv, and msgctl
- POSIX message queue
 - Defines a priority queue
 - The send operation blocks if space is not available
 - The receive operation removes the oldest message with the highest priority
 - Can be blocking or nonblocking
 - see functions: mq_open, mq_send, mq_receive, · · ·

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