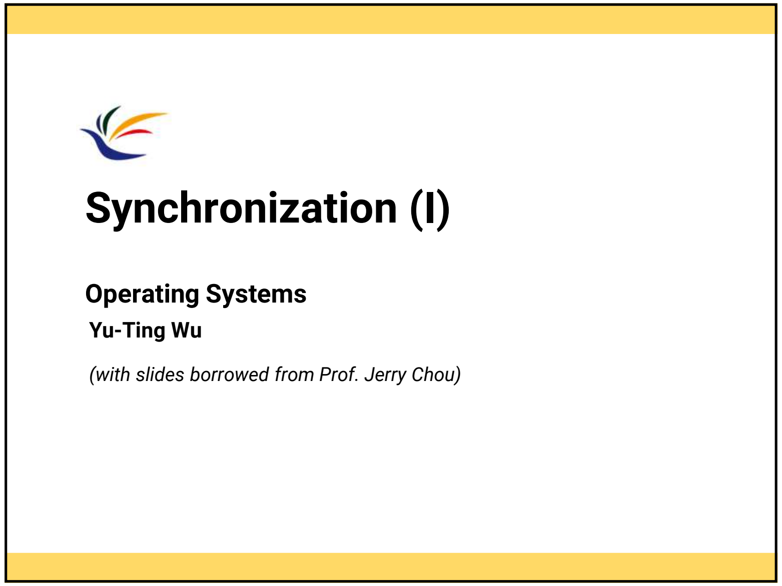

Synchronization (I)

Operating Systems

Yu-Ting Wu

(with slides borrowed from Prof. Jerry Chou)

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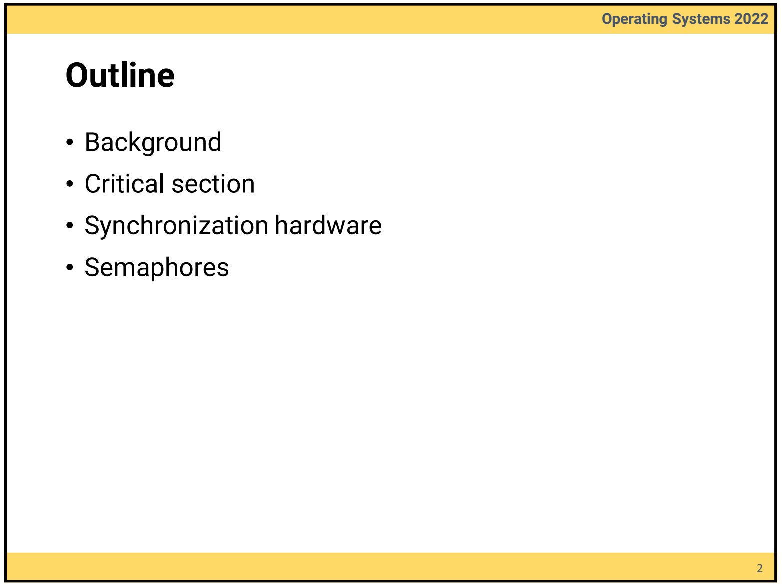
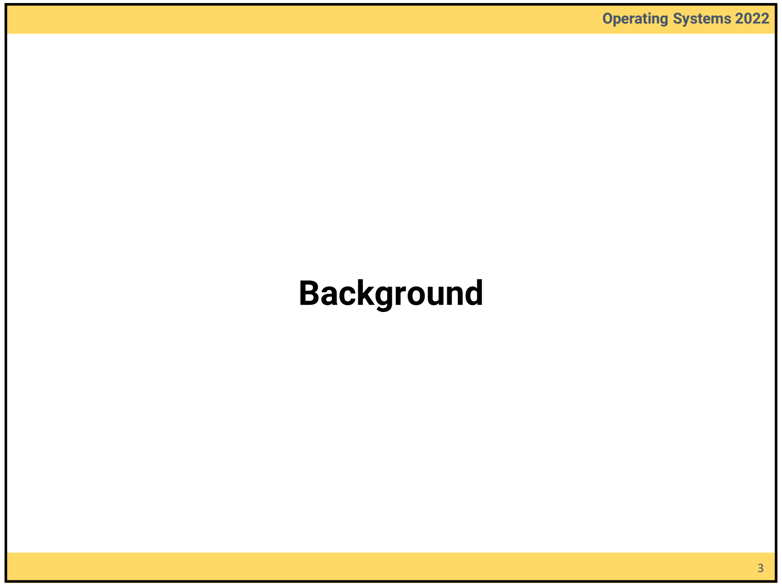


Outline

- Background
- Critical section
- Synchronization hardware
- Semaphores

2



Background

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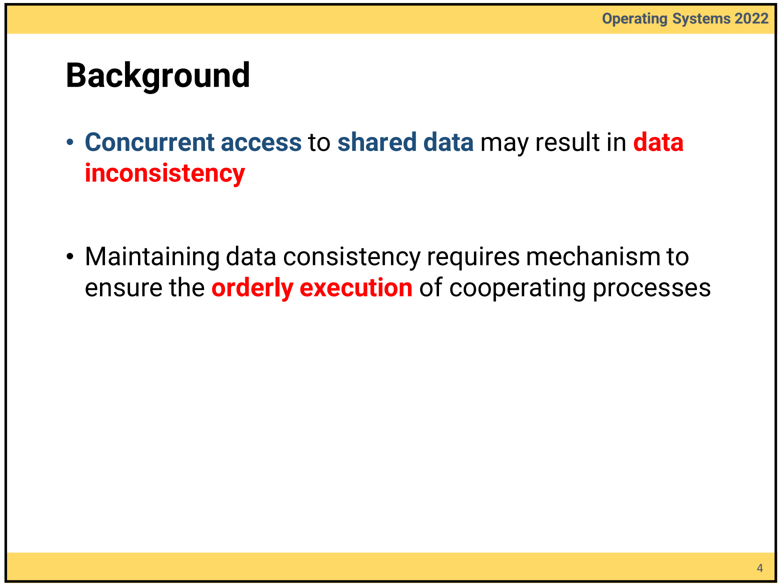
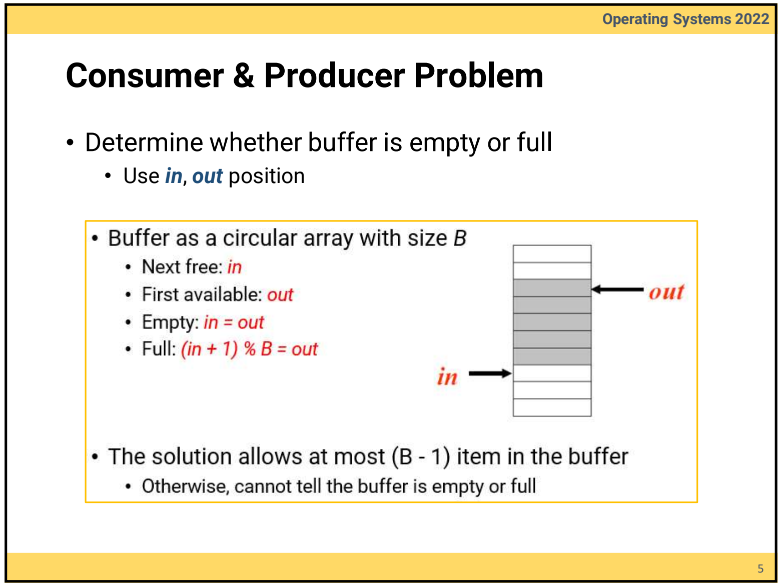


Background

- **Concurrent access** to **shared data** may result in **data inconsistency**
- Maintaining data consistency requires mechanism to ensure the **orderly execution** of cooperating processes

4

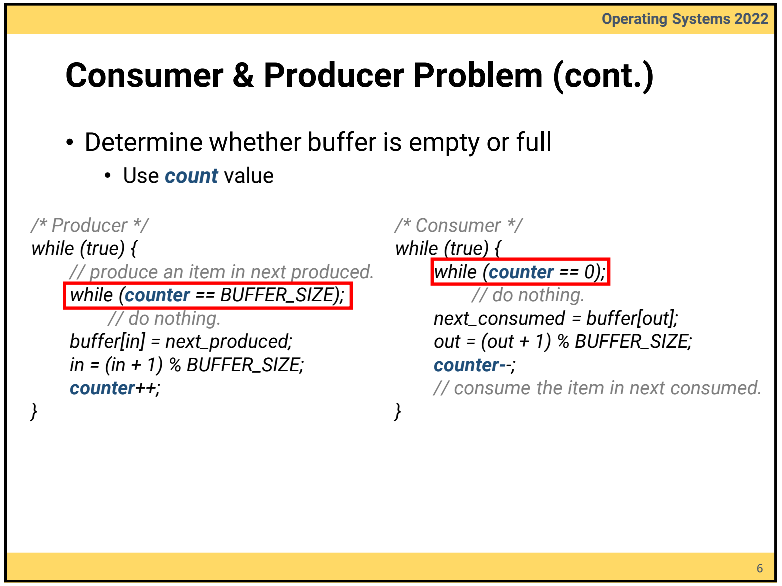


Consumer & Producer Problem

- Determine whether buffer is empty or full
  - Use ***in***, ***out*** position

- Buffer as a circular array with size *B*
  - Next free: *in*
  - First available: *out*
  - Empty: *in = out*
  - Full: *(in + 1) % B = out*

- The solution allows at most (B - 1) item in the buffer
  - Otherwise, cannot tell the buffer is empty or full

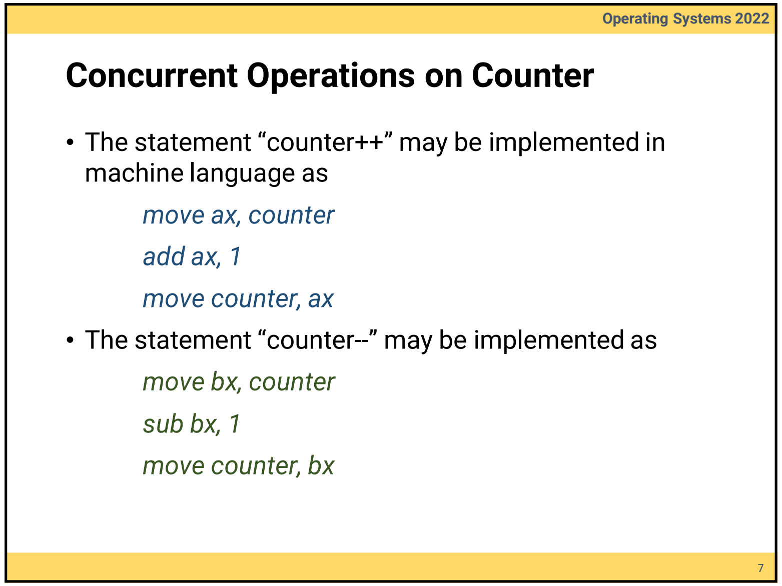


Consumer & Producer Problem (cont.)

- Determine whether buffer is empty or full
  - Use **count** value

```
/* Producer */
while (true) {
    // produce an item in next produced.
    while (counter == BUFFER_SIZE);
        // do nothing.
    buffer[in] = next_produced;
    in = (in + 1) % BUFFER_SIZE;
    counter++;
}
```

```
/* Consumer */
while (true) {
    while (counter == 0);
        // do nothing.
    next_consumed = buffer[out];
    out = (out + 1) % BUFFER_SIZE;
    counter--;
    // consume the item in next consumed.
}
```



Concurrent Operations on Counter

- The statement “counter++” may be implemented in machine language as

  move ax, counter

  add ax, 1

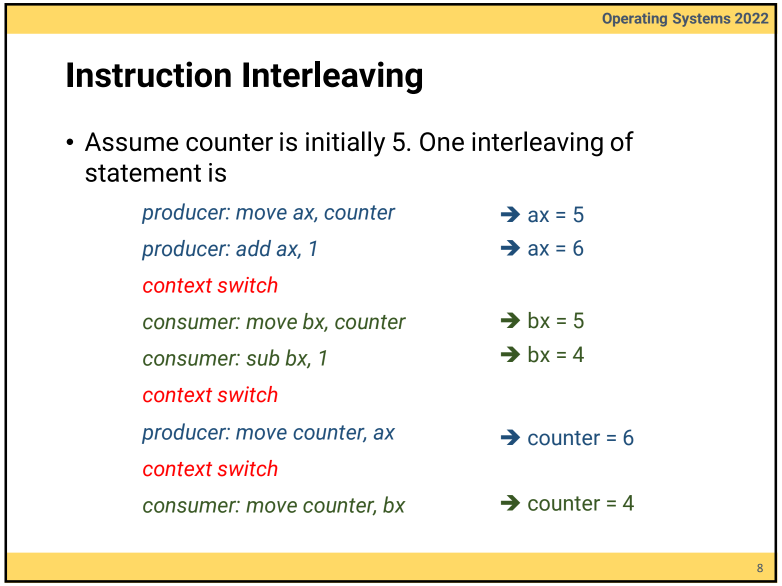
  move counter, ax

- The statement “counter–” may be implemented as

  move bx, counter

  sub bx, 1

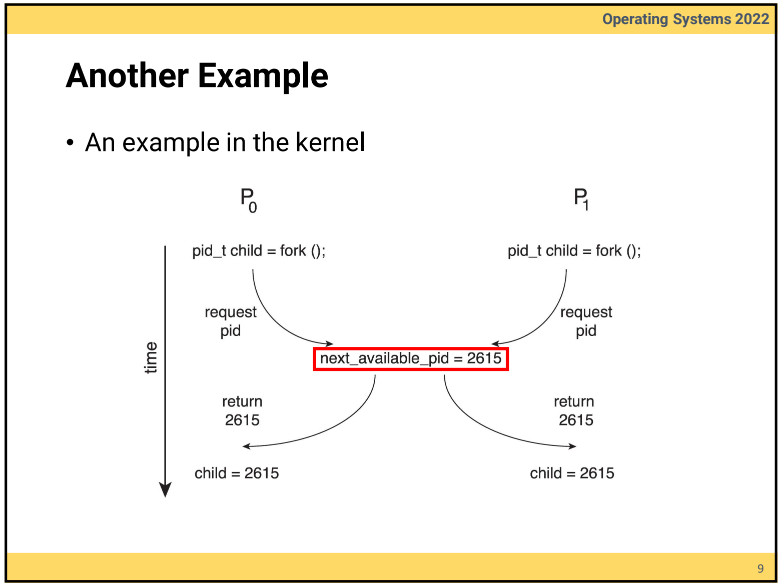
  move counter, bx



Instruction Interleaving

- Assume counter is initially 5. One interleaving of statement is

producer: move ax, counter	➔ ax = 5
producer: add ax, 1	➔ ax = 6
context switch	
consumer: move bx, counter	➔ bx = 5
consumer: sub bx, 1	➔ bx = 4
context switch	
producer: move counter, ax	➔ counter = 6
context switch	
consumer: move counter, bx	➔ counter = 4



Another Example

- An example in the kernel

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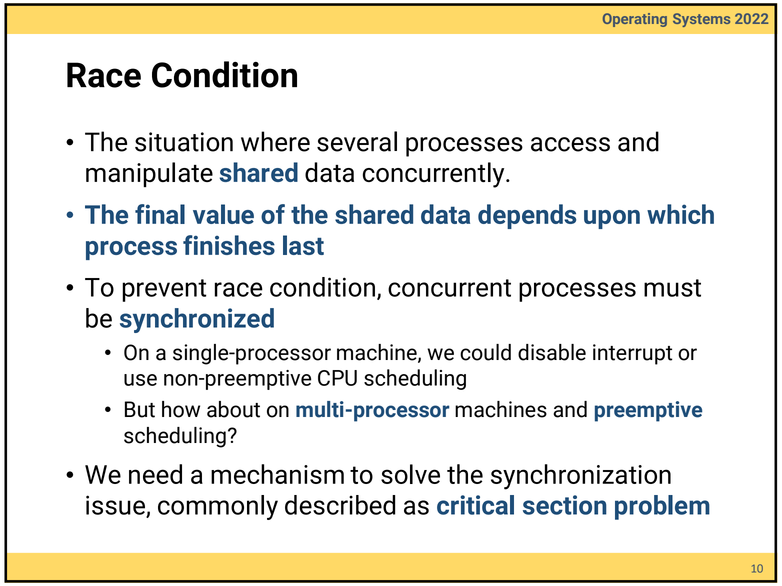

Race Condition

- The situation where several processes access and manipulate **shared** data concurrently.
- **The final value of the shared data depends upon which process finishes last**
- To prevent race condition, concurrent processes must be **synchronized**
  - On a single-processor machine, we could disable interrupt or use non-preemptive CPU scheduling
  - But how about on **multi-processor** machines and **preemptive** scheduling?
- We need a mechanism to solve the synchronization issue, commonly described as **critical section problem**

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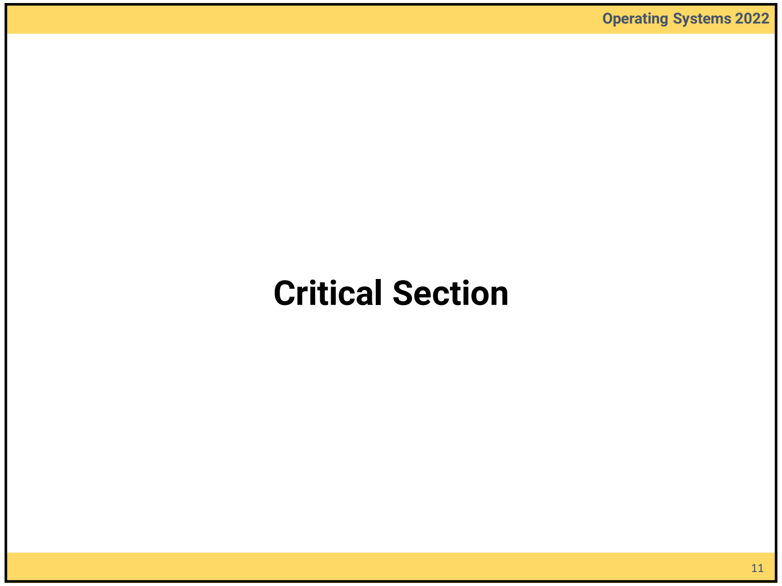

Critical Section

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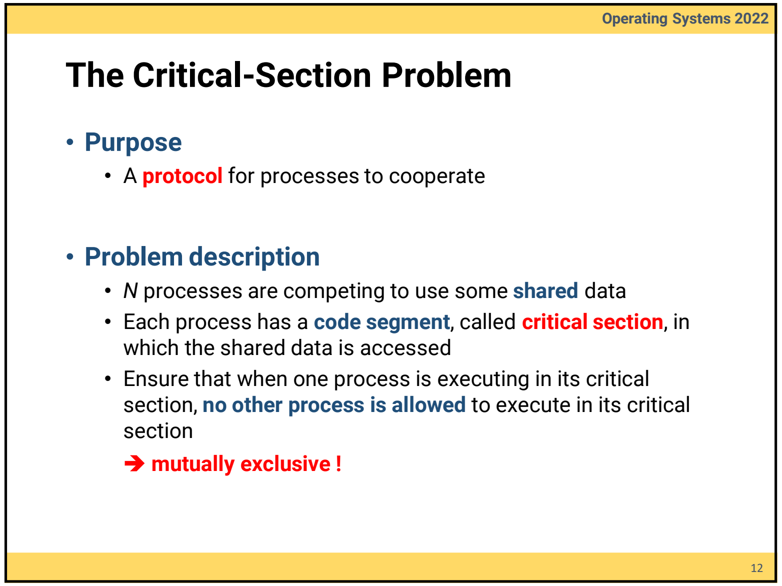

The Critical-Section Problem

- **Purpose**
  - A **protocol** for processes to cooperate
- **Problem description**
  - *N* processes are competing to use some **shared** data
  - Each process has a **code segment**, called **critical section**, in which the shared data is accessed
  - Ensure that when one process is executing in its critical section, **no other process is allowed** to execute in its critical section

  ➔ mutually exclusive !

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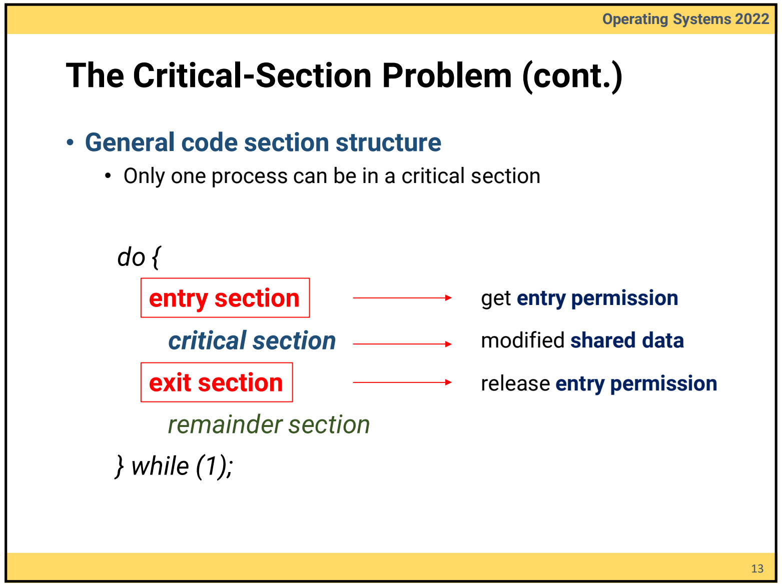

The Critical-Section Problem (cont.)

- **General code section structure**
  - Only one process can be in a critical section

```
do {
    entry section      →  get entry permission
    critical section   →  modified shared data
    exit section       →  release entry permission
    remainder section
} while (1);
```

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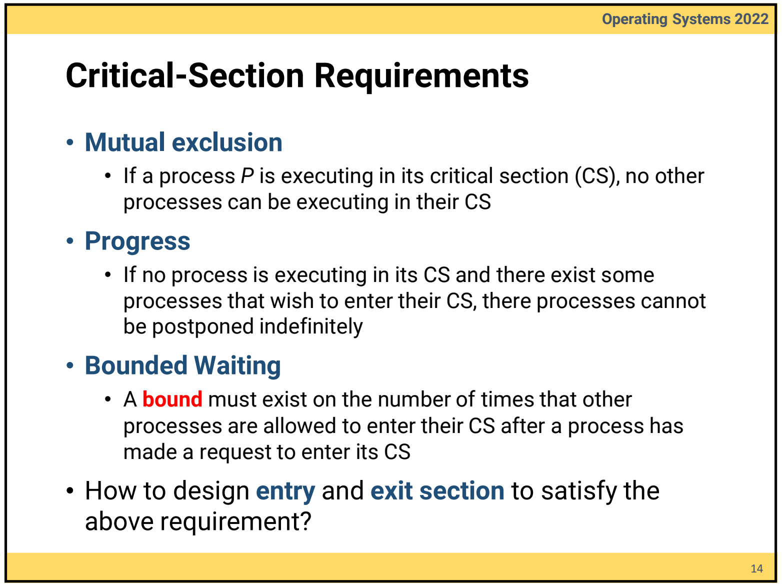

Critical-Section Requirements

- **Mutual exclusion**
  - If a process *P* is executing in its critical section (CS), no other processes can be executing in their CS
- **Progress**
  - If no process is executing in its CS and there exist some processes that wish to enter their CS, there processes cannot be postponed indefinitely
- **Bounded Waiting**
  - A **bound** must exist on the number of times that other processes are allowed to enter their CS after a process has made a request to enter its CS
- How to design **entry** and **exit section** to satisfy the above requirement?

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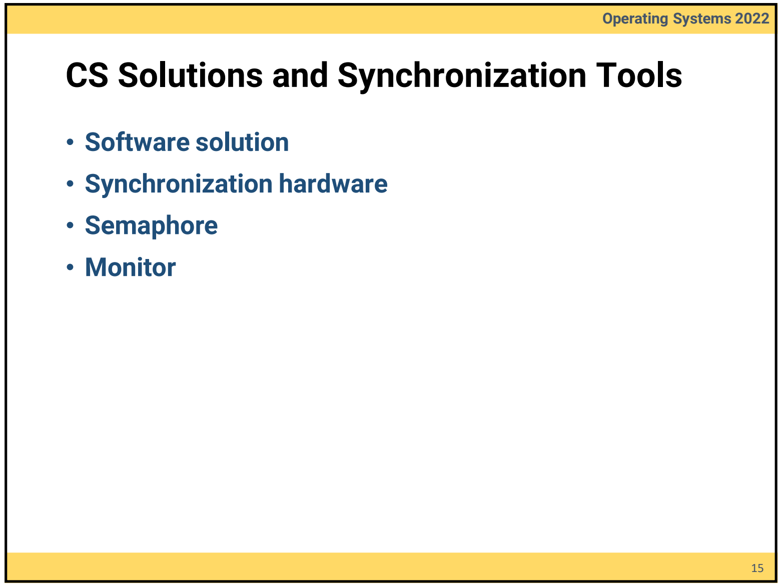

CS Solutions and Synchronization Tools

- **Software solution**
- **Synchronization hardware**
- **Semaphore**
- **Monitor**

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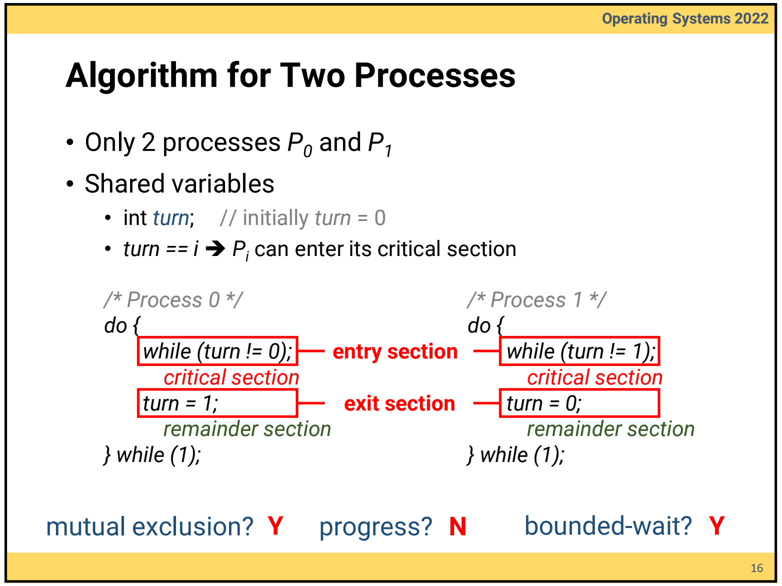

Algorithm for Two Processes

- Only 2 processes P_0 and P_1
- Shared variables
  - int *turn*;   // initially *turn* = 0
  - *turn* == *i* ➔ P_i can enter its critical section

```
/* Process 0 */                                      /* Process 1 */
do {                                                 do {
    while (turn != 0);  —  entry section  —              while (turn != 1);
        critical section                                     critical section
    turn = 1;           —  exit section   —              turn = 0;
        remainder section                                    remainder section
} while (1);                                         } while (1);
```

mutual exclusion? **Y**   progress? **N**   bounded-wait? **Y**

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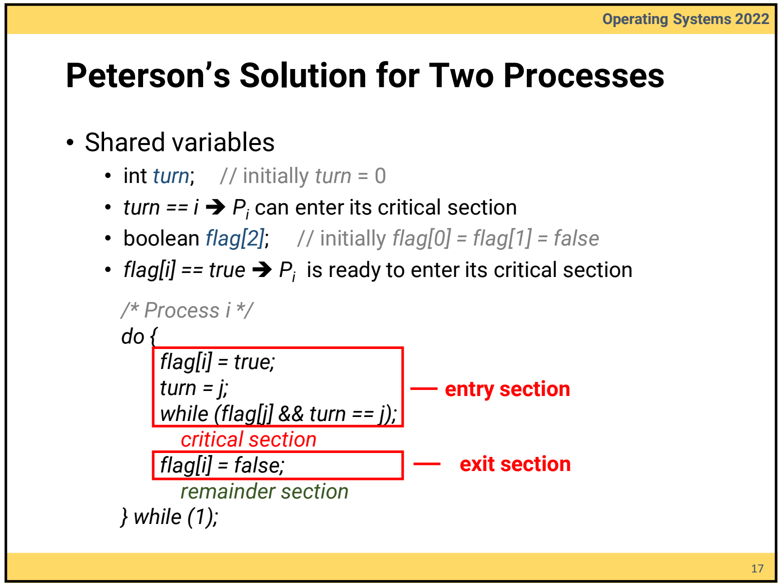

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Peterson's Solution for Two Processes

- Shared variables
  - int *turn*;   // initially turn = 0
  - *turn == i* ➔ P_i can enter its critical section
  - boolean *flag[2]*;   // initially *flag[0] = flag[1] = false*
  - *flag[i] == true* ➔ P_i is ready to enter its critical section

```
/* Process i */
do {
     flag[i] = true;
     turn = j;                          — entry section
     while (flag[j] && turn == j);
        critical section
     flag[i] = false;                   — exit section
        remainder section
} while (1);
```

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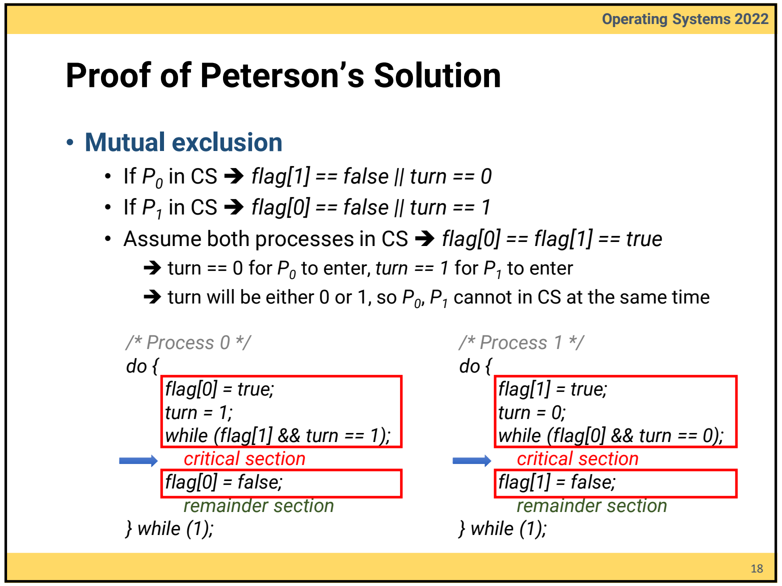

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Proof of Peterson's Solution

- **Mutual exclusion**
  - If P_0 in CS ➔ *flag[1] == false || turn == 0*
  - If P_1 in CS ➔ *flag[0] == false || turn == 1*
  - Assume both processes in CS ➔ *flag[0] == flag[1] == true*

    ➔ turn == 0 for P_0 to enter, *turn == 1* for P_1 to enter

    ➔ turn will be either 0 or 1, so P_0, P_1 cannot in CS at the same time

```
/* Process 0 */                       /* Process 1 */
do {                                  do {
     flag[0] = true;                       flag[1] = true;
     turn = 1;                             turn = 0;
     while (flag[1] && turn == 1);         while (flag[0] && turn == 0);
        critical section                      critical section
     flag[0] = false;                      flag[1] = false;
        remainder section                     remainder section
} while (1);                          } while (1);
```

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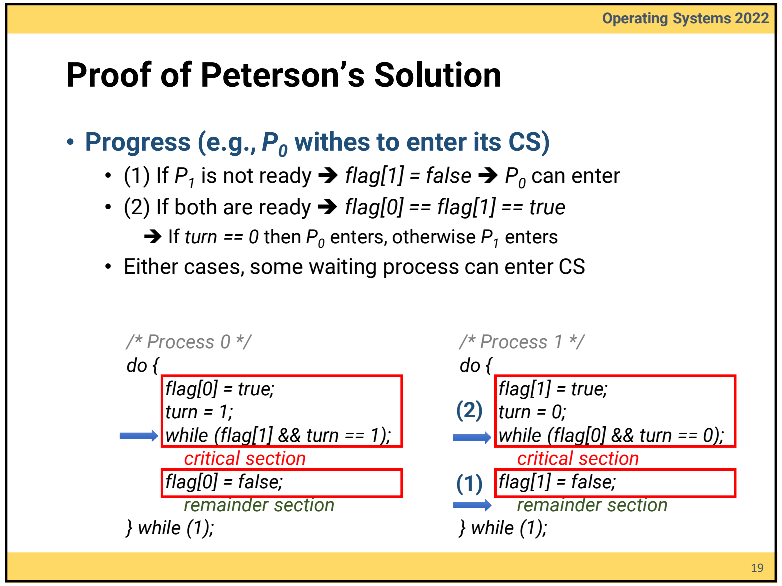

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Proof of Peterson's Solution

- **Progress (e.g., P_0 withes to enter its CS)**
  - (1) If P_1 is not ready ➔ *flag[1] = false* ➔ P_0 can enter
  - (2) If both are ready ➔ *flag[0] == flag[1] == true*

    ➔ If *turn == 0* then P_0 enters, otherwise P_1 enters
  - Either cases, some waiting process can enter CS

```
/* Process 0 */                          /* Process 1 */
do {                                     do {
     flag[0] = true;                          flag[1] = true;
     turn = 1;                          (2)   turn = 0;
     while (flag[1] && turn == 1);            while (flag[0] && turn == 0);
        critical section                         critical section
     flag[0] = false;                   (1)   flag[1] = false;
        remainder section                        remainder section
} while (1);                             } while (1);
```

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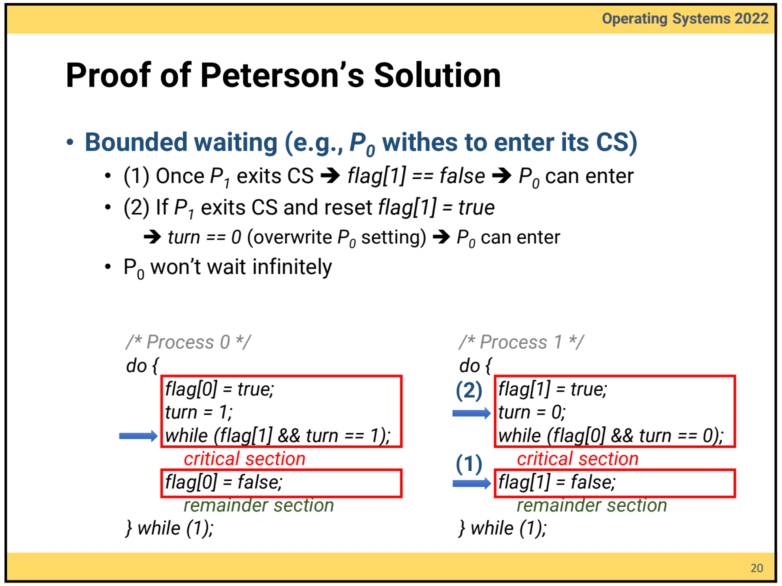

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Proof of Peterson's Solution

- **Bounded waiting (e.g., P_0 withes to enter its CS)**
  - (1) Once P_1 exits CS ➔ *flag[1] == false* ➔ P_0 can enter
  - (2) If P_1 exits CS and reset *flag[1] = true*

    ➔ *turn == 0* (overwrite P_0 setting) ➔ P_0 can enter
  - P_0 won't wait infinitely

```
/* Process 0 */                          /* Process 1 */
do {                                     do {
     flag[0] = true;                    (2)   flag[1] = true;
     turn = 1;                                turn = 0;
     while (flag[1] && turn == 1);            while (flag[0] && turn == 0);
        critical section                (1)      critical section
     flag[0] = false;                         flag[1] = false;
        remainder section                        remainder section
} while (1);                             } while (1);
```

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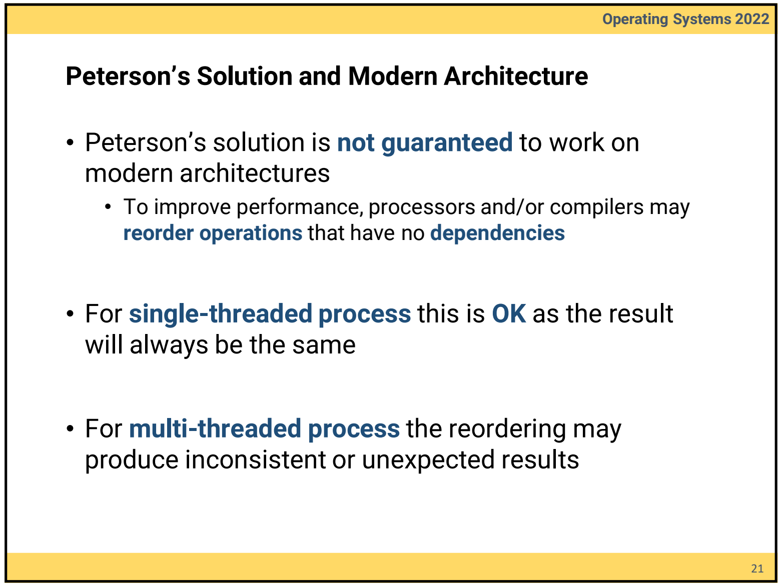

Peterson’s Solution and Modern Architecture

- Peterson’s solution is **not guaranteed** to work on modern architectures
  - To improve performance, processors and/or compilers may **reorder operations** that have no **dependencies**
- For **single-threaded process** this is **OK** as the result will always be the same
- For **multi-threaded process** the reordering may produce inconsistent or unexpected results

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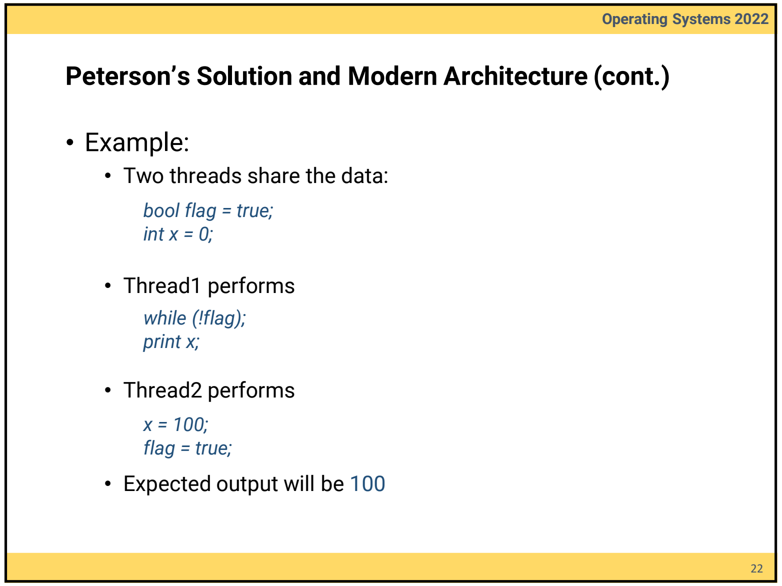

Peterson’s Solution and Modern Architecture (cont.)

- Example:
  - Two threads share the data:

```
bool flag = true;
int x = 0;
```

  - Thread1 performs

```
while (!flag);
print x;
```

  - Thread2 performs

```
x = 100;
flag = true;
```

  - Expected output will be 100

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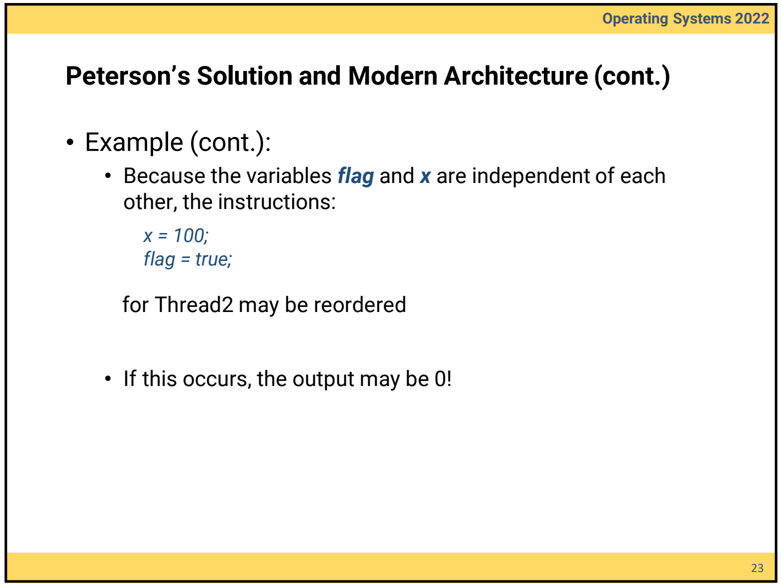

Peterson’s Solution and Modern Architecture (cont.)

- Example (cont.):
  - Because the variables ***flag*** and ***x*** are independent of each other, the instructions:

```
x = 100;
flag = true;
```

  for Thread2 may be reordered

  - If this occurs, the output may be 0!

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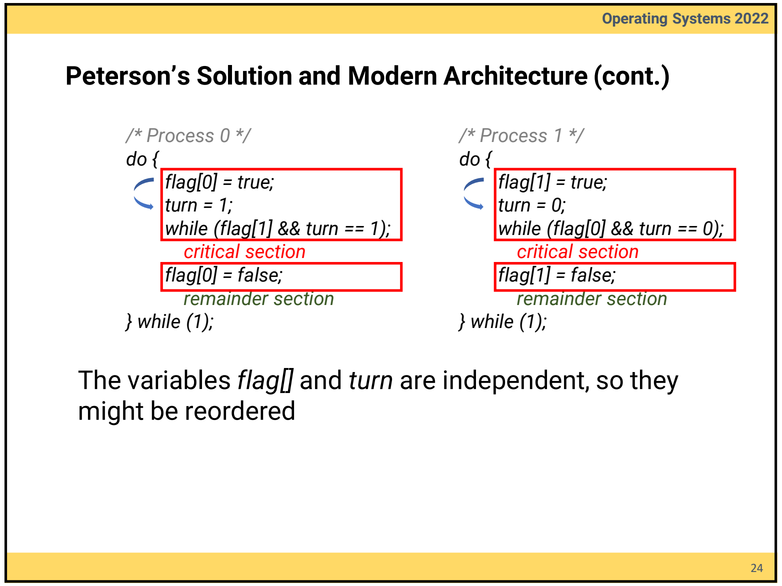

Peterson’s Solution and Modern Architecture (cont.)

```
/* Process 0 */
do {
   flag[0] = true;
   turn = 1;
   while (flag[1] && turn == 1);
      critical section
   flag[0] = false;
      remainder section
} while (1);
```

```
/* Process 1 */
do {
   flag[1] = true;
   turn = 0;
   while (flag[0] && turn == 0);
      critical section
   flag[1] = false;
      remainder section
} while (1);
```

The variables *flag[]* and *turn* are independent, so they might be reordered

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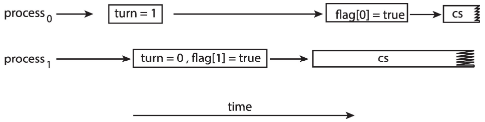
Peterson’s Solution and Modern Architecture (cont.)

```
/* Process 0 */
do {
    turn = 1;
    flag[0] = true;
    while (flag[1] && turn == 1);
        critical section
    flag[0] = false;
        remainder section
} while (1);
```

```
/* Process 1 */
do {
    turn = 0;
    flag[1] = true;
    while (flag[0] && turn == 0);
        critical section
    flag[1] = false;
        remainder section
} while (1);
```



Both processes will enter their CS !
We can use **Memory Barrier** to ensure the correctness

Memory Barrier

- When a memory barrier instruction is performed, the system ensures that **all loads and stores are completed before any subsequent loads or stores operations are performed**
- Recall previous example:

```
/* Thread 1 */                 /* Thread 2 */
while (! flag) ;   load        x = 100;        store
print x                        flag = true;
```

Memory Barrier (cont.)

- When a memory barrier instruction is performed, the system ensures that **all loads and stores are completed before any subsequent loads or stores operations are performed**
- Modification:

```
/* Thread 1 */              /* Thread 2 */
while (! flag) ;            x = 100;
memory_barrier();           memory_barrier();
print x                     flag = true;
```

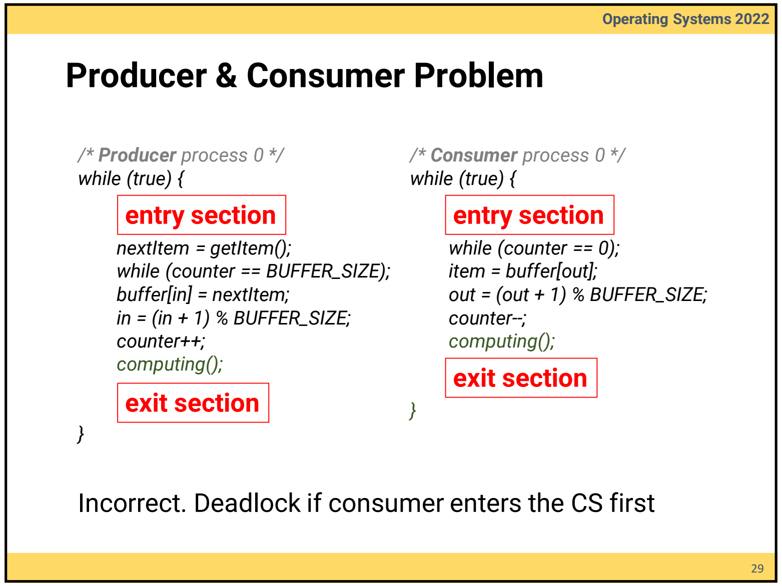
For Thread 1, we are guaranteed that the value of *flag* is loaded before the value of *x*

Memory Barrier (cont.)

- When a memory barrier instruction is performed, the system ensures that **all loads and stores are completed before any subsequent load or store operations are performed**
- Modification:

```
/* Thread 1 */              /* Thread 2 */
while (! flag) ;            x = 100;
memory_barrier();           memory_barrier();
print x                     flag = true;
```

For Thread 2, we are guaranteed that the assignment to *x* occurs before the assignment to *flag*



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Producer & Consumer Problem

```
/* Producer process 0 */
while (true) {
        entry section
        nextItem = getItem();
        while (counter == BUFFER_SIZE);
        buffer[in] = nextItem;
        in = (in + 1) % BUFFER_SIZE;
        counter++;
        computing();
        exit section
}
```

```
/* Consumer process 0 */
while (true) {
        entry section
        while (counter == 0);
        item = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        counter--;
        computing();
        exit section
}
```

Incorrect. Deadlock if consumer enters the CS first

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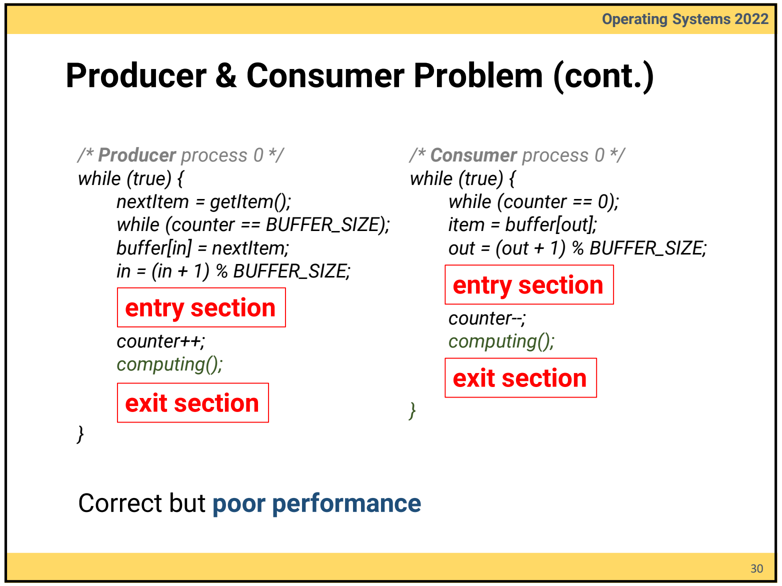

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Producer & Consumer Problem (cont.)

```
/* Producer process 0 */
while (true) {
        nextItem = getItem();
        while (counter == BUFFER_SIZE);
        buffer[in] = nextItem;
        in = (in + 1) % BUFFER_SIZE;
        entry section
        counter++;
        computing();
        exit section
}
```

```
/* Consumer process 0 */
while (true) {
        while (counter == 0);
        item = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        entry section
        counter--;
        computing();
        exit section
}
```

Correct but **poor performance**

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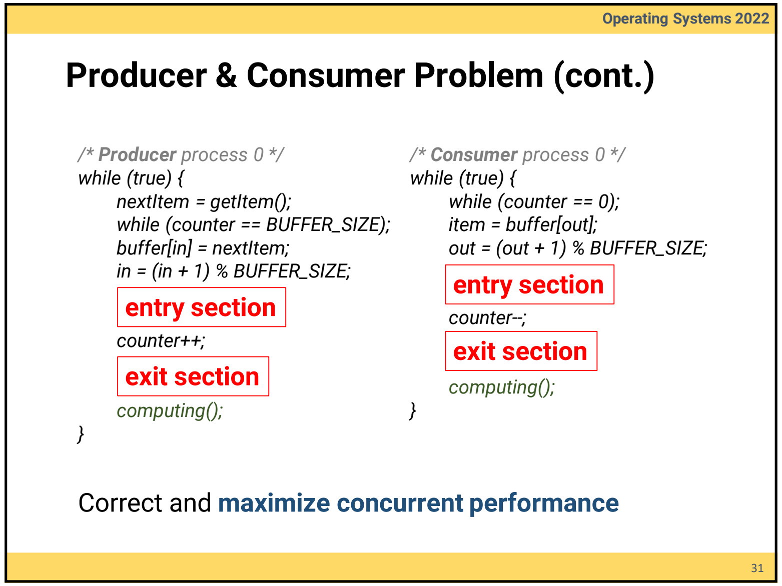
30



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Producer & Consumer Problem (cont.)

```
/* Producer process 0 */
while (true) {
        nextItem = getItem();
        while (counter == BUFFER_SIZE);
        buffer[in] = nextItem;
        in = (in + 1) % BUFFER_SIZE;
        entry section
        counter++;
        exit section
        computing();
}
```

```
/* Consumer process 0 */
while (true) {
        while (counter == 0);
        item = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        entry section
        counter--;
        exit section
        computing();
}
```

Correct and **maximize concurrent performance**

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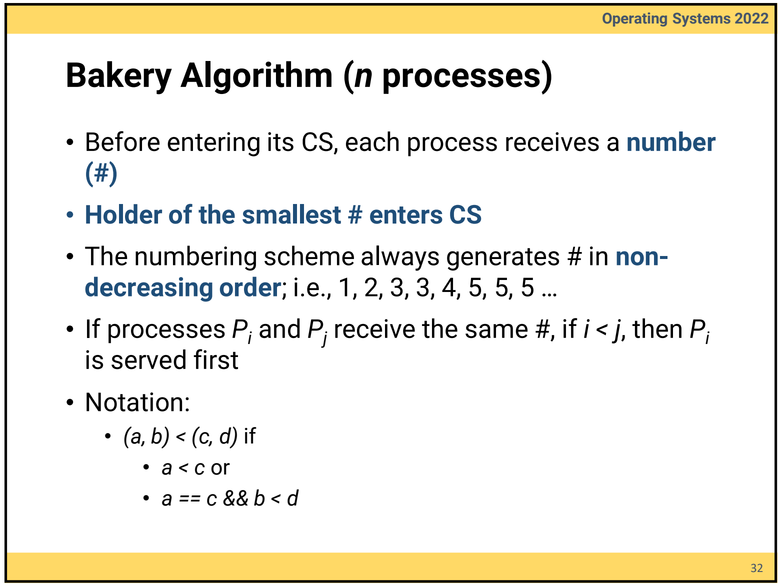

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Bakery Algorithm (*n* processes)

- Before entering its CS, each process receives a **number (#)**
- **Holder of the smallest # enters CS**
- The numbering scheme always generates # in **non-decreasing order**; i.e., 1, 2, 3, 3, 4, 5, 5, 5 …
- If processes P_i and P_j receive the same #, if $i < j$, then P_i is served first
- Notation:
  - *(a, b) < (c, d)* if
    - *a < c* or
    - *a == c && b < d*

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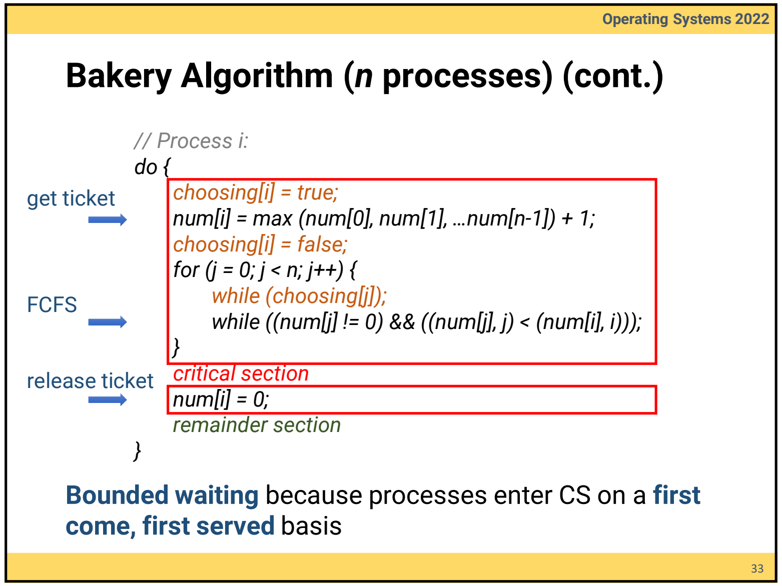

Bakery Algorithm (*n* processes) (cont.)

```
// Process i:
do {
choosing[i] = true;
num[i] = max (num[0], num[1], …num[n-1]) + 1;
choosing[i] = false;
for (j = 0; j < n; j++) {
      while (choosing[j]);
      while ((num[j] != 0) && ((num[j], j) < (num[i], i)));
}
critical section
num[i] = 0;
remainder section
}
```

get ticket

FCFS

release ticket

Bounded waiting because processes enter CS on a **first come, first served** basis

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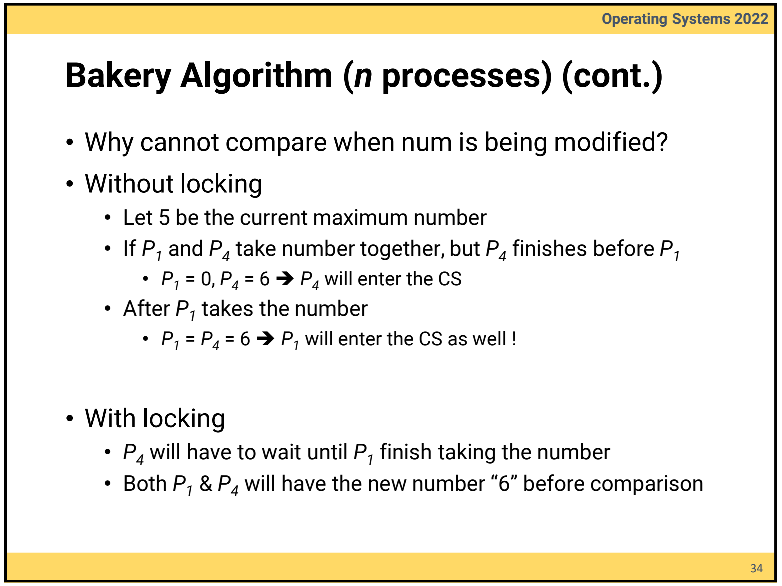

Bakery Algorithm (*n* processes) (cont.)

- Why cannot compare when num is being modified?
- Without locking
  - Let 5 be the current maximum number
  - If P_1 and P_4 take number together, but P_4 finishes before P_1
    - $P_1 = 0$, $P_4 = 6$ ➔ P_4 will enter the CS
  - After P_1 takes the number
    - $P_1 = P_4 = 6$ ➔ P_1 will enter the CS as well !
- With locking
  - P_4 will have to wait until P_1 finish taking the number
  - Both P_1 & P_4 will have the new number "6" before comparison

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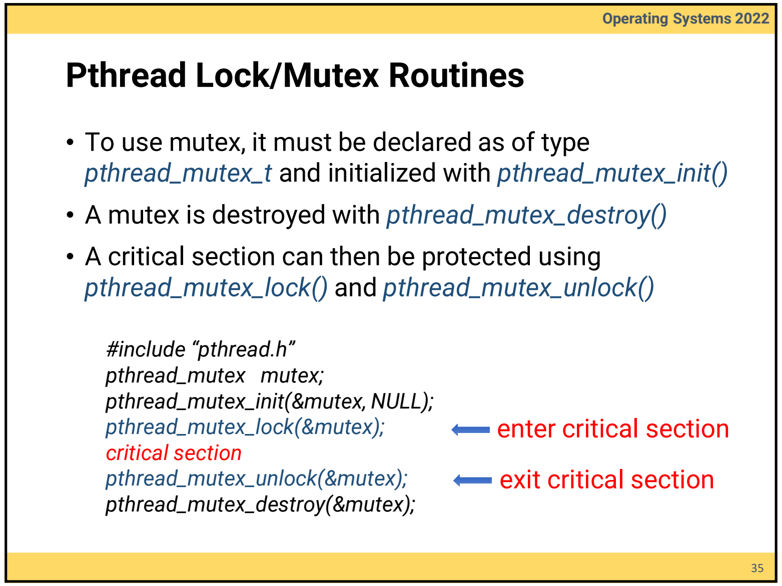

Pthread Lock/Mutex Routines

- To use mutex, it must be declared as of type *pthread_mutex_t* and initialized with *pthread_mutex_init()*
- A mutex is destroyed with *pthread_mutex_destroy()*
- A critical section can then be protected using *pthread_mutex_lock()* and *pthread_mutex_unlock()*

```
#include "pthread.h"
pthread_mutex   mutex;
pthread_mutex_init(&mutex, NULL);
pthread_mutex_lock(&mutex);        ⟵ enter critical section
critical section
pthread_mutex_unlock(&mutex);      ⟵ exit critical section
pthread_mutex_destroy(&mutex);
```

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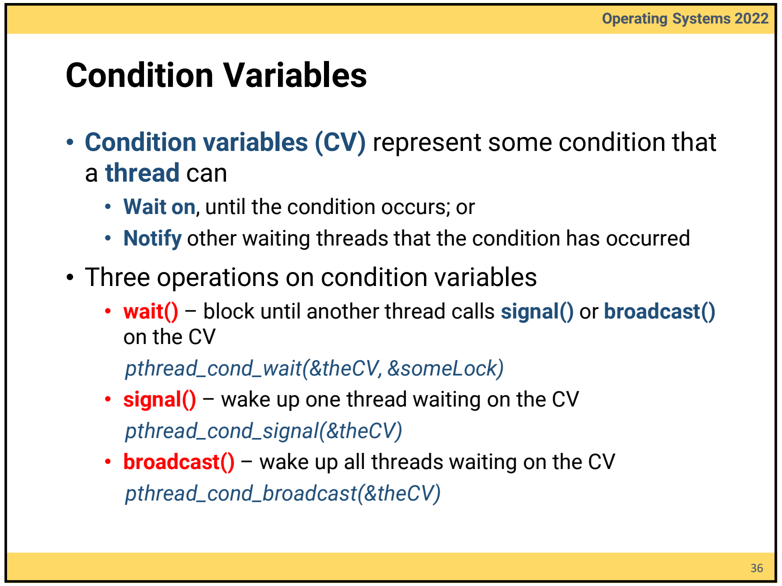

Condition Variables

- **Condition variables (CV)** represent some condition that a **thread** can
  - **Wait on**, until the condition occurs; or
  - **Notify** other waiting threads that the condition has occurred
- Three operations on condition variables
  - **wait()** – block until another thread calls **signal()** or **broadcast()** on the CV
    pthread_cond_wait(&theCV, &someLock)
  - **signal()** – wake up one thread waiting on the CV
    pthread_cond_signal(&theCV)
  - **broadcast()** – wake up all threads waiting on the CV
    pthread_cond_broadcast(&theCV)

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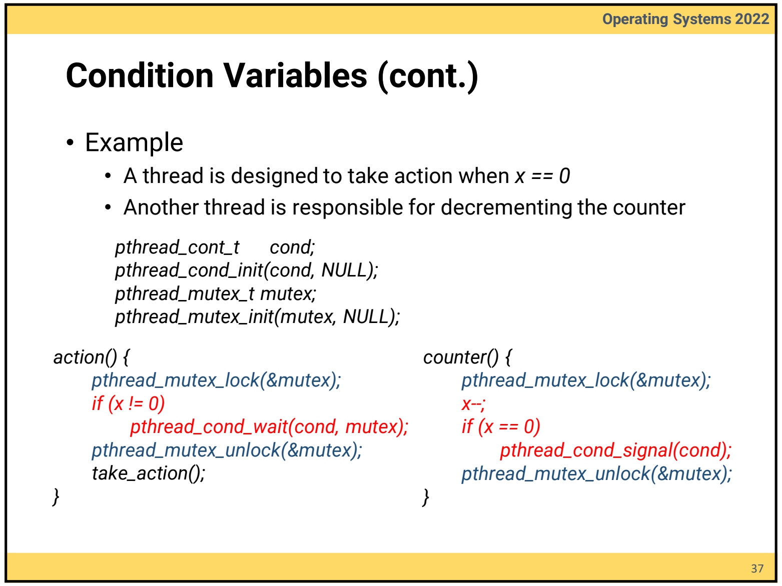
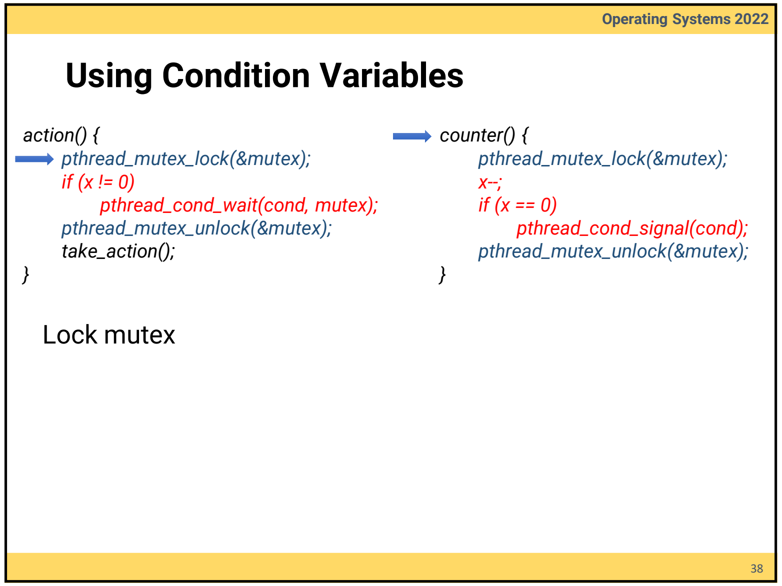


Condition Variables (cont.)

- Example
  - A thread is designed to take action when *x == 0*
  - Another thread is responsible for decrementing the counter

```
pthread_cont_t     cond;
pthread_cond_init(cond, NULL);
pthread_mutex_t mutex;
pthread_mutex_init(mutex, NULL);
```

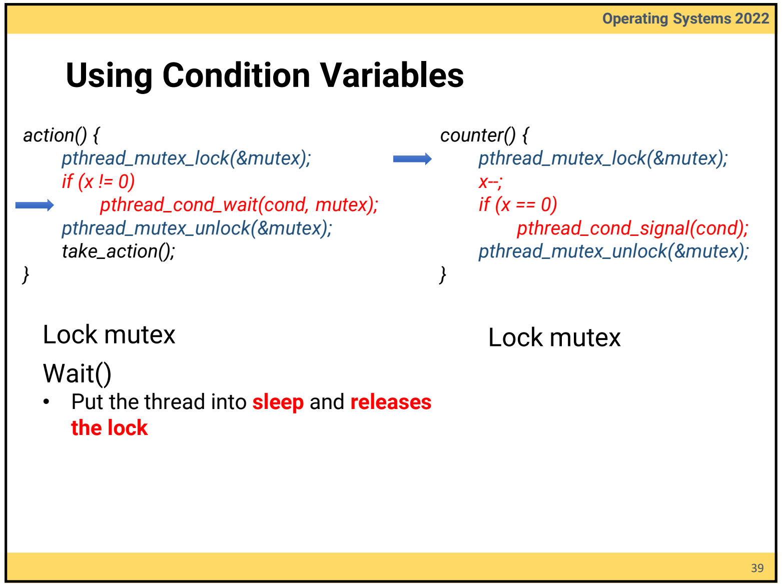
```
action() {                                      counter() {
    pthread_mutex_lock(&mutex);                     pthread_mutex_lock(&mutex);
    if (x != 0)                                     x–;
        pthread_cond_wait(cond, mutex);             if (x == 0)
    pthread_mutex_unlock(&mutex);                       pthread_cond_signal(cond);
    take_action();                                  pthread_mutex_unlock(&mutex);
}                                               }
```



Using Condition Variables

```
action() {                                    → counter() {
→   pthread_mutex_lock(&mutex);                     pthread_mutex_lock(&mutex);
    if (x != 0)                                     x–;
        pthread_cond_wait(cond, mutex);             if (x == 0)
    pthread_mutex_unlock(&mutex);                       pthread_cond_signal(cond);
    take_action();                                  pthread_mutex_unlock(&mutex);
}                                               }
```

Lock mutex



Using Condition Variables

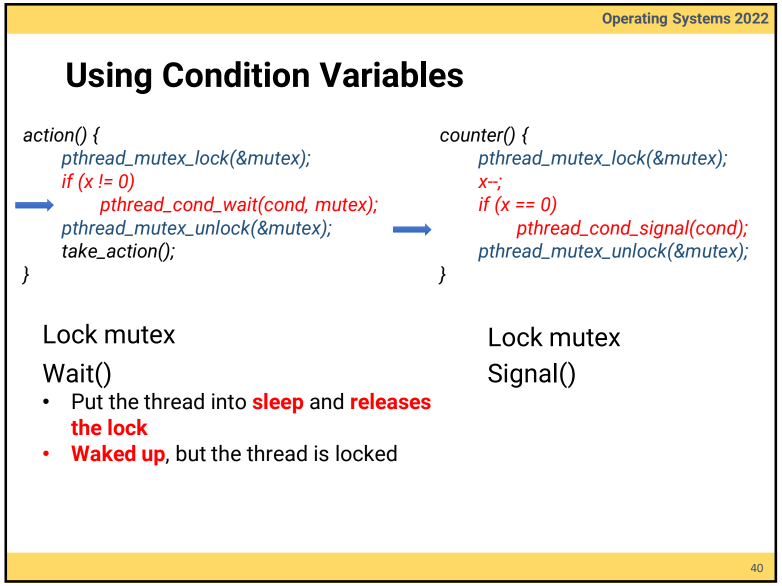
```
action() {                                      counter() {
    pthread_mutex_lock(&mutex);               →     pthread_mutex_lock(&mutex);
    if (x != 0)                                     x–;
→       pthread_cond_wait(cond, mutex);             if (x == 0)
    pthread_mutex_unlock(&mutex);                       pthread_cond_signal(cond);
    take_action();                                  pthread_mutex_unlock(&mutex);
}                                               }
```

Lock mutex

Wait()

- Put the thread into **sleep** and **releases the lock**

Lock mutex



Using Condition Variables

```
action() {                                      counter() {
    pthread_mutex_lock(&mutex);                     pthread_mutex_lock(&mutex);
    if (x != 0)                                     x–;
→       pthread_cond_wait(cond, mutex);             if (x == 0)
    pthread_mutex_unlock(&mutex);             →         pthread_cond_signal(cond);
    take_action();                                  pthread_mutex_unlock(&mutex);
}                                               }
```

Lock mutex

Wait()

- Put the thread into **sleep** and **releases the lock**
- **Waked up**, but the thread is locked

Lock mutex

Signal()

Using Condition Variables

```
action() {
    pthread_mutex_lock(&mutex);
    if (x != 0)
        pthread_cond_wait(cond, mutex);
    pthread_mutex_unlock(&mutex);
    take_action();
}
```

```
counter() {
    pthread_mutex_lock(&mutex);
    x–;
    if (x == 0)
        pthread_cond_signal(cond);
    pthread_mutex_unlock(&mutex);
}
```

Lock mutex

Wait()

- Put the thread into **sleep** and **releases the lock**
- **Waked up**, but the thread is locked
- **Re-acquire lock** and resume execution

Lock mutex

Signal()

Release the lock

Using Condition Variables

```
action() {
    pthread_mutex_lock(&mutex);
    if (x != 0)
        pthread_cond_wait(cond, mutex);
    pthread_mutex_unlock(&mutex);
    take_action();
}
```

```
counter() {
    pthread_mutex_lock(&mutex);
    x–;
    if (x == 0)
        pthread_cond_signal(cond);
    pthread_mutex_unlock(&mutex);
}
```

Lock mutex

Wait()

- Put the thread into **sleep** and **releases the lock**
- **Waked up**, but the thread is locked
- **Re-acquire lock** and resume execution

Release the lock

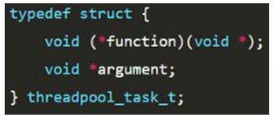
Lock mutex

Signal()

Release the lock

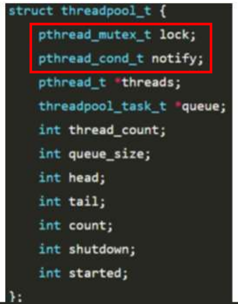
ThreadPool Implementation

- **Task structure**



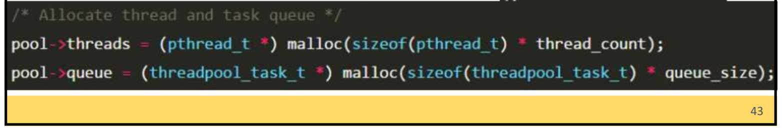
```
typedef struct {
    void (*function)(void *);
    void *argument;
} threadpool_task_t;
```

- **ThreadPool structure**



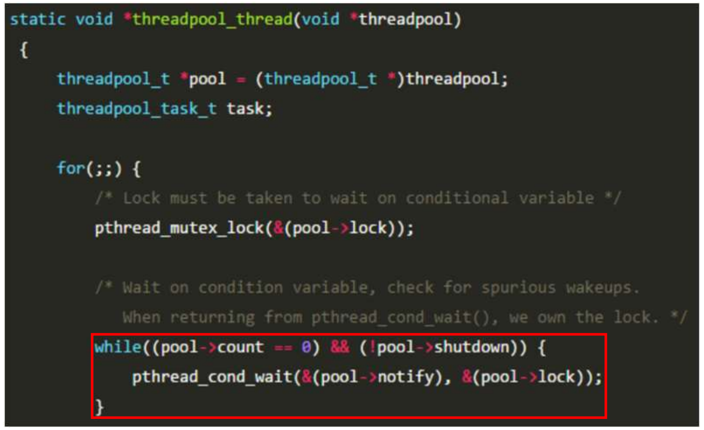
```
struct threadpool_t {
    pthread_mutex_t lock;
    pthread_cond_t notify;
    pthread_t *threads;
    threadpool_task_t *queue;
    int thread_count;
    int queue_size;
    int head;
    int tail;
    int count;
    int shutdown;
    int started;
};
```

- **Allocate thread and task queue**



```
/* Allocate thread and task queue */
pool->threads = (pthread_t *) malloc(sizeof(pthread_t) * thread_count);
pool->queue = (threadpool_task_t *) malloc(sizeof(threadpool_task_t) * queue_size);
```

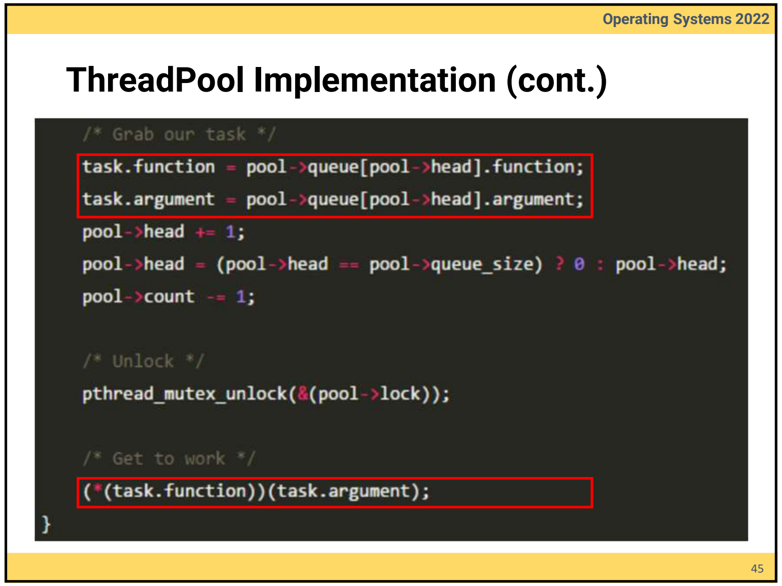
ThreadPool Implementation (cont.)



```
static void *threadpool_thread(void *threadpool)
 {
    threadpool_t *pool = (threadpool_t *)threadpool;
    threadpool_task_t task;

    for(;;) {
        /* Lock must be taken to wait on conditional variable */
        pthread_mutex_lock(&(pool->lock));

        /* Wait on condition variable, check for spurious wakeups.
           When returning from pthread_cond_wait(), we own the lock. */
        while((pool->count == 0) && (!pool->shutdown)) {
            pthread_cond_wait(&(pool->notify), &(pool->lock));
        }
```

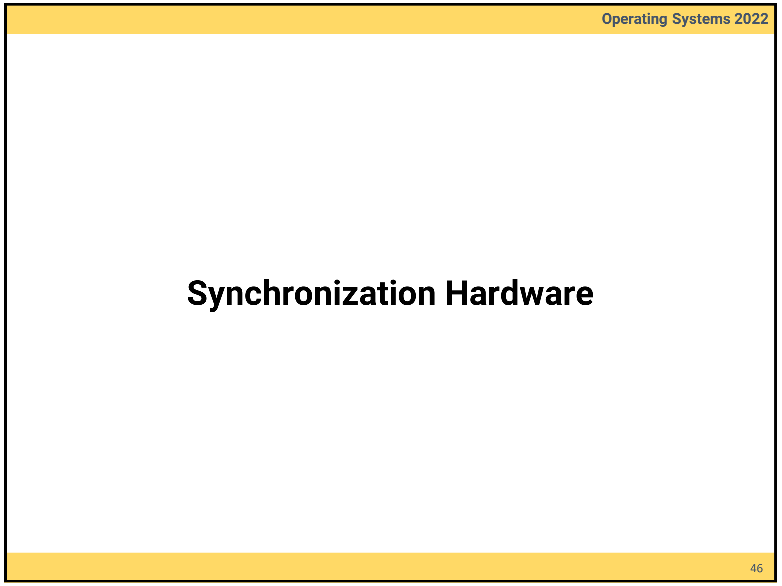


ThreadPool Implementation (cont.)

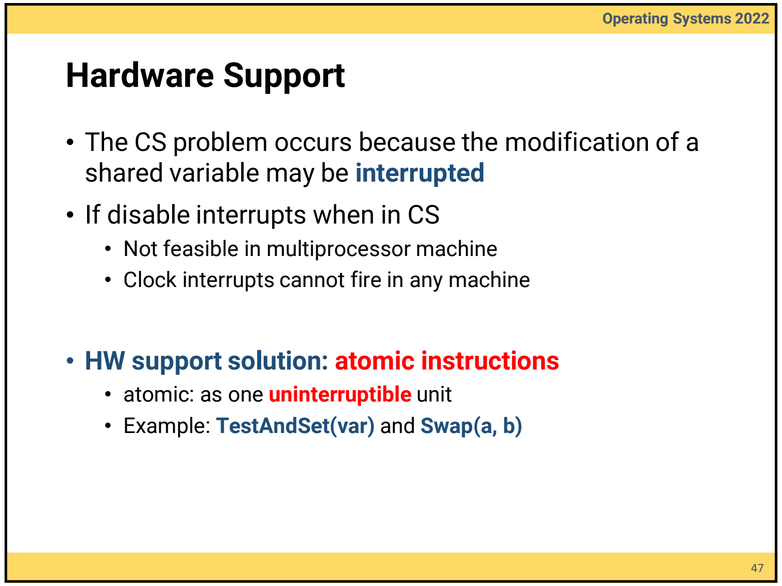
```
    /* Grab our task */
    task.function = pool->queue[pool->head].function;
    task.argument = pool->queue[pool->head].argument;
    pool->head += 1;
    pool->head = (pool->head == pool->queue_size) ? 0 : pool->head;
    pool->count -= 1;

    /* Unlock */
    pthread_mutex_unlock(&(pool->lock));

    /* Get to work */
    (*(task.function))(task.argument);
}
```

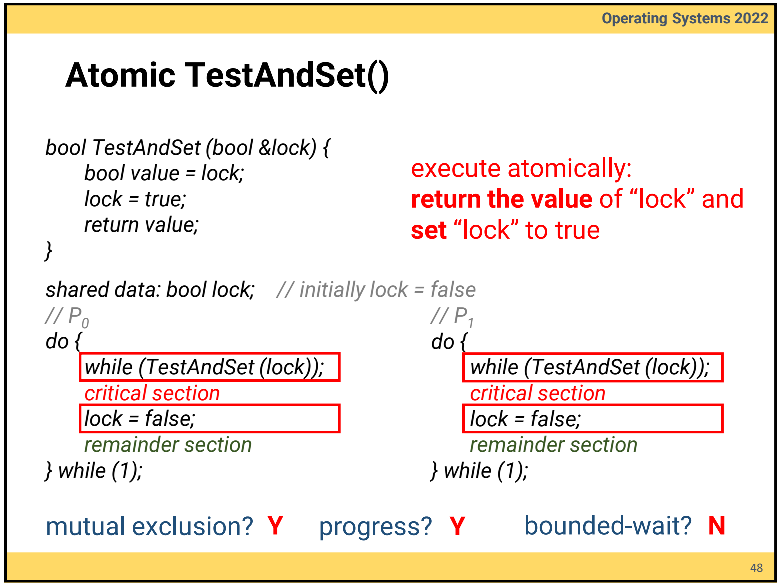


Synchronization Hardware



Hardware Support

- The CS problem occurs because the modification of a shared variable may be **interrupted**
- If disable interrupts when in CS
  - Not feasible in multiprocessor machine
  - Clock interrupts cannot fire in any machine
- **HW support solution: atomic instructions**
  - atomic: as one **uninterruptible** unit
  - Example: **TestAndSet(var)** and **Swap(a, b)**



Atomic TestAndSet()

```
bool TestAndSet (bool &lock) {
    bool value = lock;
    lock = true;
    return value;
}
```

execute atomically:
return the value of "lock" and **set** "lock" to true

```
shared data: bool lock;   // initially lock = false
// P0                                // P1
do {                                 do {
    while (TestAndSet (lock));           while (TestAndSet (lock));
    critical section                     critical section
    lock = false;                        lock = false;
    remainder section                    remainder section
} while (1);                         } while (1);
```

mutual exclusion? **Y**   progress? **Y**   bounded-wait? **N**

Atomic Swap()

Enter CS if lock == false

```
shared data: bool lock;    // initially lock = false
// P0                                  // P1
do {                                   do {
     key0 = true;                           key1 = true;
     while (key0 == true)                   while (key1 == true)
          Swap(lock, key0);                      Swap(lock, key1);
     critical section                       critical section
     lock = false;                          lock = false;
     remainder section                      remainder section
} while (1);                           } while (1);
```

mutual exclusion? **Y** progress? **Y** bounded-wait? **N**

Atomic CompareAndSwap()

```
int CompareAndSwap (int &value, int expected, int new_value) {
     int temp = value;
     if (value == expected)
          value = new_value;
     return temp;
}
shared data: int lock;      // initially lock = 0
// P0
do {
     while (CompareAndSwap (lock, 0, 1) != 0);
     critical section
     lock = 0;
     remainder section
} while (1);
```

mutual exclusion? **Y** progress? **Y** bounded-wait? **N**

Atomic Variables

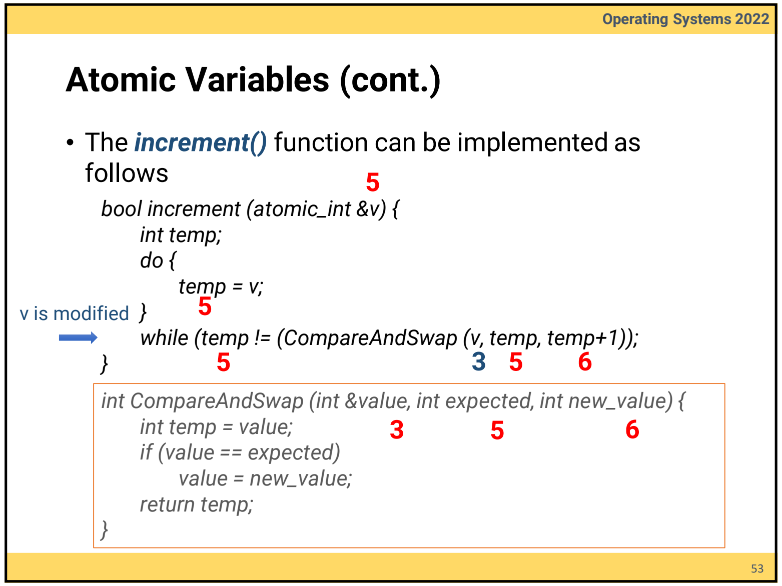
- **Atomic variable** is another tool that provides atomic (uniterruptible) updates on basic data types such as integers and Booleans
- Usually built with atomic instructions such as ***CompareAndSwap***
- Example:
  - Let ***sequence*** be an atomic variable
  - Let ***increment()*** be an operation for incrementing the atomic variable ***sequence***
  - The command ***increment(&sequence)*** ensures ***sequence*** is incremented without interruption

Atomic Variables (cont.)

- The ***increment()*** function can be implemented as follows

```
                                  5
void increment (atomic_int &v) {
     int temp;
     do {
          temp = v;
     }     5
     while (temp != (CompareAndSwap (v, temp, temp+1));
}          5                          5   5     6
```

```
int CompareAndSwap (int &value, int expected, int new_value) {
     int temp = value;          5         5            6
     if (value == expected)
          value = new_value;
     return temp;
}
```



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Atomic Variables (cont.)

- The ***increment()*** function can be implemented as follows

```
                                   5
bool increment (atomic_int &v) {
      int temp;
      do {
            temp = v;
v is modified }   5
  ➡   while (temp != (CompareAndSwap (v, temp, temp+1));
}        5                                  3   5     6
```

```
int CompareAndSwap (int &value, int expected, int new_value) {
      int temp = value;           3        5          6
      if (value == expected)
            value = new_value;
      return temp;
}
```

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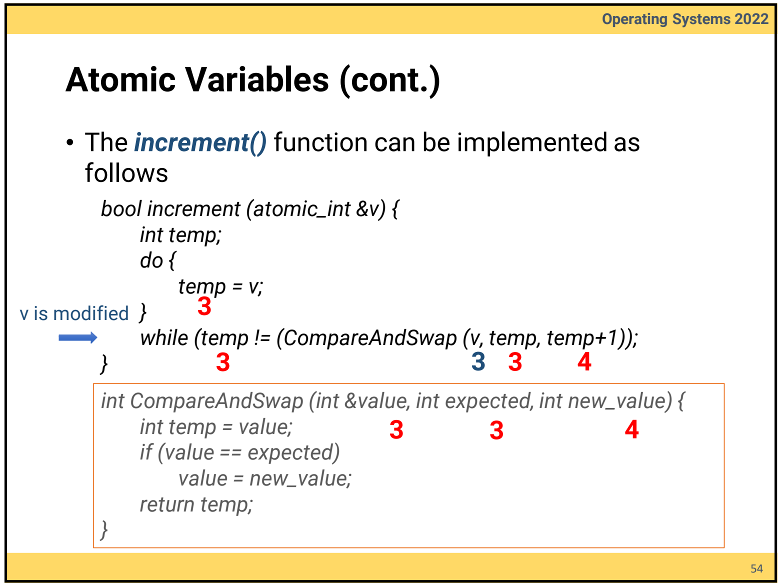

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Atomic Variables (cont.)

- The ***increment()*** function can be implemented as follows

```
bool increment (atomic_int &v) {
      int temp;
      do {
            temp = v;
v is modified }  3
  ➡   while (temp != (CompareAndSwap (v, temp, temp+1));
}        3                                  3   3     4
```

```
int CompareAndSwap (int &value, int expected, int new_value) {
      int temp = value;           3        3          4
      if (value == expected)
            value = new_value;
      return temp;
}
```

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Semaphores

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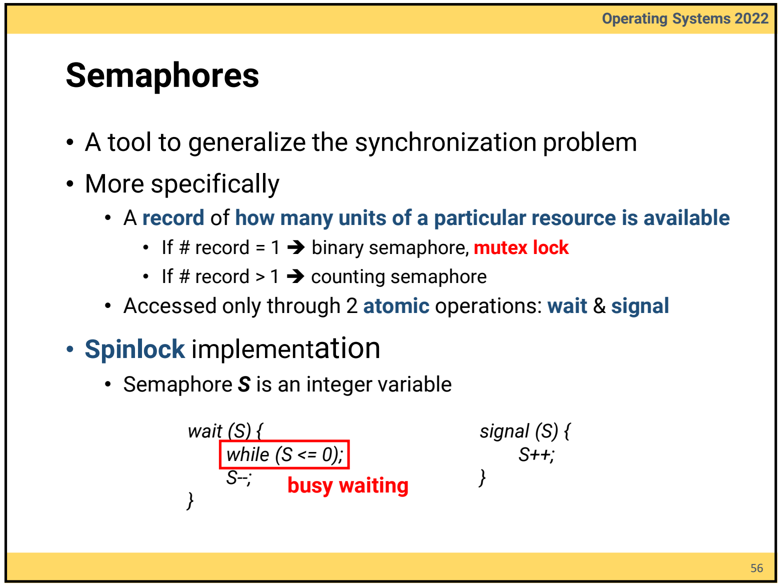

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Semaphores

- A tool to generalize the synchronization problem
- More specifically
  - A **record** of **how many units of a particular resource is available**
    - If # record = 1 ➔ binary semaphore, **mutex lock**
    - If # record > 1 ➔ counting semaphore
  - Accessed only through 2 **atomic** operations: **wait** & **signal**
- **Spinlock** implementation
  - Semaphore ***S*** is an integer variable

```
wait (S) {                              signal (S) {
      while (S <= 0);                         S++;
      S--;     busy waiting             }
}
```

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POSIX Semaphore

- Semaphore is part of **POSIX standard** BUT it is not belonged to pthread
  - It can be used with or without thread
- POSIX Semaphore routines

```
#include <semaphore.h>
sem_t sem;
sem_init(&sem);
sem_wait(&sem);
critical section
sem_signal(&sem);
sem_destroy(&sem);
```

n-Process CS Problem Revisit

- Shared data:

  semaphore mutex; *// initially mutex = 1*

- Process P_i :

```
do {
    wait(mutex);        // pthread_mutex_lock(&mutex)
    critical section
    signal(mutex);      // pthread_mutex_unlock(&mutex)
    remainder section
} while (1);
```

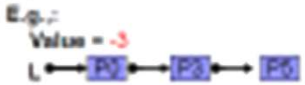
progress? **Y**

bounded-wait? **depends on the implementation of wait()**

Semaphores with Non-busy Waiting

- Semaphore is a **data structure with queue**
  - May use any queuing strategy (FIFO, FILO, etc)

```
typedef struct {
    int value;    // init to # resource
    struct process *L;  // PCB queue
} semaphore;
```



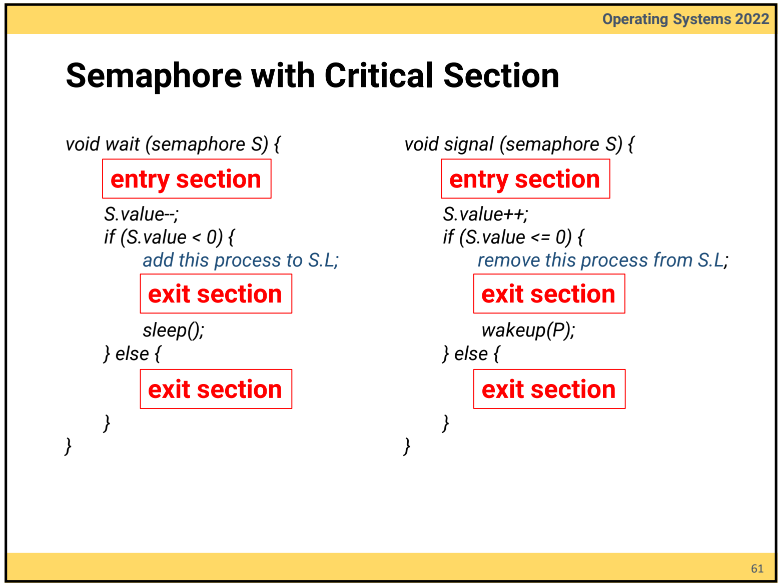
- **wait()** and **signal()**
  - Use system calls: **block()** and **wakeup()**
  - Must be **executed atomically**

```
void wait (semaphore S) {
    S.value–;  // subtract first
    if (S.value < 0) {
        add this process to S.L;
        sleep();
} }

void signal (semaphore S) {
    S.value++;
    if (S.value <= 0) {
        remove this process from S.L;
        wakeup(P);
} }
```

How to Ensure Atomic Wait & Signal Ops?

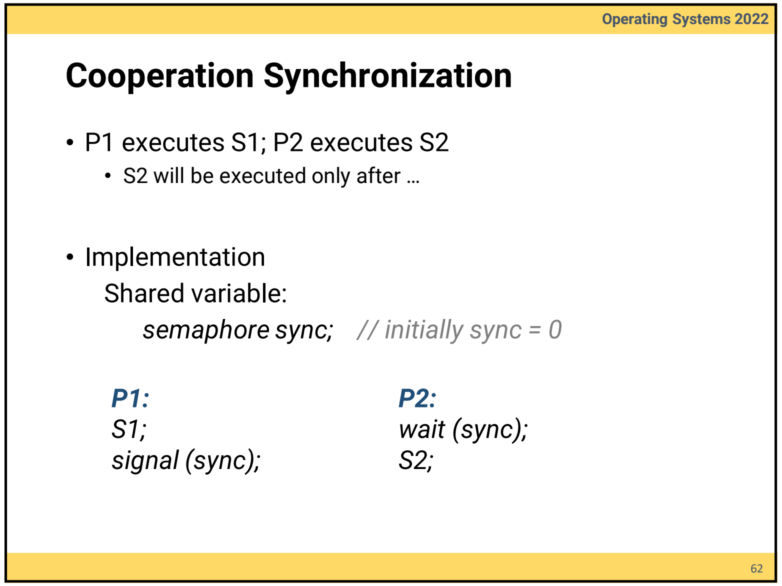
- Hardware support
  - TestAndSet
  - Swap
- Software solution
  - Peterson's solution
  - Bakery algorithm



Semaphore with Critical Section

```
void wait (semaphore S) {
    entry section
    S.value–;
    if (S.value < 0) {
        add this process to S.L;
        exit section
        sleep();
    } else {
        exit section
    }
}
```

```
void signal (semaphore S) {
    entry section
    S.value++;
    if (S.value <= 0) {
        remove this process from S.L;
        exit section
        wakeup(P);
    } else {
        exit section
    }
}
```



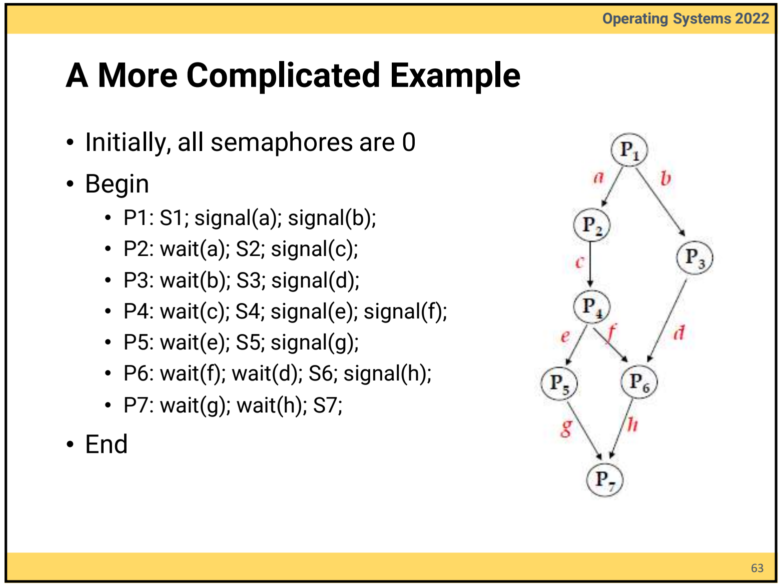
Cooperation Synchronization

- P1 executes S1; P2 executes S2
  - S2 will be executed only after …
- Implementation

  Shared variable:

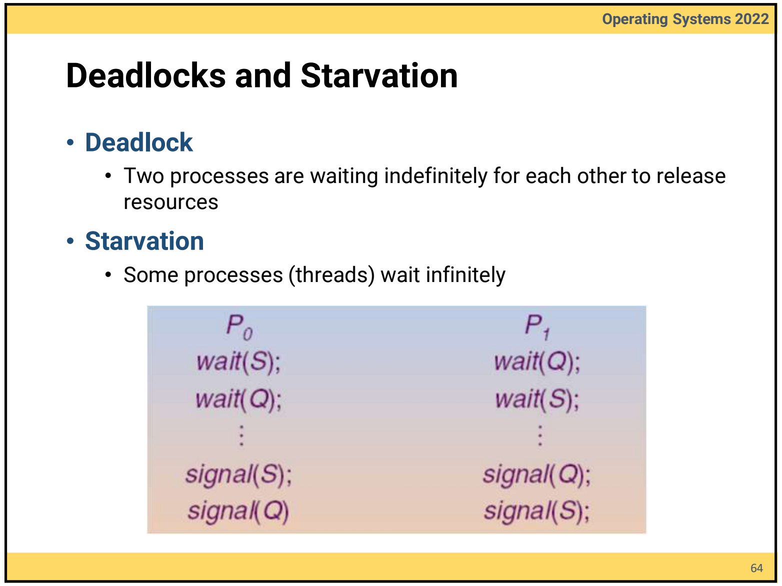
  semaphore sync; *// initially sync = 0*

```
P1:                P2:
S1;                wait (sync);
signal (sync);     S2;
```



A More Complicated Example

- Initially, all semaphores are 0
- Begin
  - P1: S1; signal(a); signal(b);
  - P2: wait(a); S2; signal(c);
  - P3: wait(b); S3; signal(d);
  - P4: wait(c); S4; signal(e); signal(f);
  - P5: wait(e); S5; signal(g);
  - P6: wait(f); wait(d); S6; signal(h);
  - P7: wait(g); wait(h); S7;
- End



Deadlocks and Starvation

- **Deadlock**
  - Two processes are waiting indefinitely for each other to release resources
- **Starvation**
  - Some processes (threads) wait infinitely

```
P0              P1
wait(S);        wait(Q);
wait(Q);        wait(S);
  ⋮               ⋮
signal(S);      signal(Q);
signal(Q)       signal(S);
```