Inter-process Communication and Synchronization

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Background

- Processes can execute concurrently
 - May be interrupted at any time, partially completing execution
- Concurrent access to shared data may result in data inconsistency
- Maintaining data consistency requires mechanisms to ensure the orderly execution of cooperating processes

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Producer-Consumer Problem (PCP)

- Paradigm for cooperating processes
- producer process produces information that is consumed by a consumer process.
 - unbounded-buffer places no practical limit on the size of the buffer.
 - bounded-buffer assumes that there is a fixed buffer size.
- Basic synchronization requirement
 - Producer should not write into a full buffer
 - Consumer should not read from an empty buffer
 - All data written by the producer must be read exactly once by the consumer

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Bounded-Buffer - Shared-Memory Solution to PCP

- The shared buffer is implemented as a circular array with two pointers: in and out (in: points to next free position in the buffer; out: points to first full position in the buffer)
- Shared data

```
#define BUFFER_SIZE 10
typedef struct {
     ...
} item;
item buffer[BUFFER_SIZE];
int in = 0;
int out = 0;
```

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Bounded-Buffer: Consumer Process

```
item nextConsumed;
while (1) {
     while (in == out)
         ; // do nothing -- nothing to consume

     // remove an item from the buffer
     nextConsumed = buffer[out];
     out = (out + 1) % BUFFER SIZE;
     /* consume the item in nextConsumed */
}

The consumer process
```

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Bounded-Buffer - Shared-Memory Solution to PCP

- This solution allows at most BUFFER_SIZE-1 items in the buffer (of size BUFFER_SIZE) at the same time. A solution, where BUFFER_SIZE items can be in the buffer is not simple
- Suppose we modify the producer-consumer code by adding a variable counter, initialized to 0 and incremented each time a new item is added to the buffer

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Bounded-Buffer for BUFFER_SIZE items

■ Shared data

```
#define BUFFER_SIZE 10
typedef struct {
    ...
} item;
item buffer[BUFFER_SIZE];
int in = 0;
int out = 0;
int counter = 0;
```

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Bounded-Buffer for BUFFER_SIZE items

■ Producer process

```
item nextProduced;
while (1) {
  while (counter == BUFFER_SIZE)
      ; /* do nothing */
buffer[in] = nextProduced;
in = (in + 1) % BUFFER_SIZE;
counter++;
```

■ Consumer process

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The Problem with this solution

■ The statement "counter++" may be implemented in machine language as:

```
register1 = counter
register1 = register1 + 1
counter = register1
```

■ The statement "counter--" may be implemented as:

```
register2 = counter
register2 = register2 - 1
counter = register2
```

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The Problem with this solution

- If both the producer and consumer attempt to update counter concurrently, the assembly language statements may get interleaved.
- Interleaving depends upon how the producer and consumer processes are scheduled

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The Problem with this solution

Assume counter is initially 5. One interleaving of statements is:

 T_0 : producer: **register1 = counter** (register1 = 5)

 T_1 : producer: **register1 = register1 + 1** (*register1 = 6*)

 T_2 : consumer: register2 = counter (register2 = 5)

 T_3 : consumer: **register2 = register2 – 1** (register2 = 4)

T₄: producer: **counter = register1** (*counter = 6*)

 T_5 : consumer: **counter = register2** (counter = 4)

■ The value of **count** may be either 4 or 6, where the correct result should be 5.

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Race Condition

- A scenario in which several processes may read and write shared data concurrently and the final value of the shared data depends upon which process finishes last
 - So the final output is dependent on the relative speed of the processes
- Race conditions must be prevented
 - concurrent processes must be synchronized

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The Critical-Section Problem

 An operation that is either executed fully without interruption, or not executed at all

Atomic Operation

- The "operation" can be a group of instructions
- Ex. the instructions for counter++ and counter--
- Note that the producer-consumer problem's solution works if counter++ and counter-- are made atomic
- In practice, the process may be interrupted in the middle of an atomic operation, but the atomicity should ensure that no process uses the effect of the partially executed operation until it is completed

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- lacktriangledown n processes all competing to use some shared data
- Each process has a code segment, called *critical section*, in which the shared data is accessed.
- Critical-Section Problem ensure that when one process is executing in its critical section, no other process is allowed to execute in its critical section.

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Requirements for Solution to Critical-Section Problem

- 1. **Mutual Exclusion**. If process P_i is executing in its critical section, then no other processes can be executing in their critical sections.
- Progress. If no process is executing in its critical section and there exist some processes that wish to enter their critical section, then the selection of the processes that will enter the critical section next cannot be postponed indefinitely.
- Bounded Waiting/No Starvation. A bound (or limit) must exist on the number of times that other processes are allowed to enter their critical sections after a process has made a request to enter its critical section and before that request is granted.

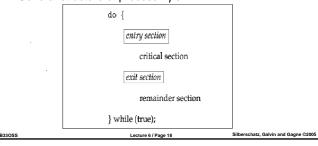
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Critical Section

- Entry section: a piece of code executed by a process just before entering a critical section
- Exit section: a piece of code executed by a process just after leaving a critical section
- The remaining code is the remainder section
- General structure of process P_i is



Peterson's Solution

- The Peterson's solution restricted to two processes P₀ and P₁ that alternate execution between their critical sections and remainder sections.
- The two processes P_i and P_i (j =1-i) share two variables:
 - int turn == 0;
 - boolean flag[2]
- The variable turn indicates whose turn it is to enter the critical section. The variable turn is set to either 0 or 1 randomly (or it can always be set to 0)
 - turn == i implies P_i's turn to enter its critical section
- The flag array is used to indicate if a process is ready to enter the critical section.
 - initially, flag[0] == flag[1] == false
 - ullet flag[i] == true implies that P_i is ready to enter its critical section

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Algorithm for Process P_i in Peterson's solution

```
do {

flag[i] = TRUE;
turn = j;
while ( flag[j] && turn == j);
critical section

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

- Provethat that
 - 1. Mutual exclusion is preserved
 - 2. Progress requirement is satisfied
 - 3. Bounded-waiting requirement is met

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Synchronization Hardware

- Many systems provide hardware support for critical section code
- A process must acquire lock before entering a critical section; it releases the lock when it exits the critical section

Synchronization Hardware

- The critical-section problem could be solved in a uniprocessor environment if we could prevent interrupts from occurring while shared variable was being modified
- Unfortunately, this solution is not as feasible in a multiprocessor environment
 - Disabling interrupts on a multiprocessor can be time consuming, as the message passed to all the processors
 - Message passing delays entry into each critical section, & system efficiency decreases
 - The effect on system's clock if the clock is kept updated by interrrupts

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Hardware Instruction Based Solutions

- TestAndSet:Test and modify the content of a word atomically
- The TestAndSet() instruction is defined below:

```
boolean TestAndSet (boolean *target)
{
    boolean rv = *target;
    *target = TRUE;
    return rv:
}
```

```
Mutual-exclusion with TestAndSet()
■ Shared data:
boolean lock = false
```

■ Process P_i

```
do {
    while(TestAndSet(&lock));
    critical section
    lock = FALSE;
    remainder section
} while(TRUE);
```

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Swap() instruction

- Swap: Atomically swap content of two words.
- The Swap() instruction is defined as follows:

```
void Swap(boolean *a, boolean *b)
{
  boolean temp = *a;
  *a = *b;
  *b = temp;
}
```

Mutual-exclusion with swap() instruction

- Uses two Boolean variables lock and Key
- If lock == false then a process can enter the critical section, otherwise it can't
- Initially lock == false
- Process P_i

```
do {
    key = TRUE;
    while ( key == TRUE)
        Swap (&lock, &key );
    critical section
    lock = FALSE;
    remainder section
} while (TRUE);
```

Bounded-waiting mutual exclusion with TestAndSet()

- Shared data (initialized to false)
 - boolean waiting[n];
 - boolean lock;
- We present another algorithm using TestAndSet() that satisfies all the critical-section requirements

```
Bounded-waiting Mutual Exclusion with TestAndSet ()
    waiting[i] = TRUE;
    \mathbf{key} = \mathbf{\bar{T}RUE};
    while (waiting[i] && key)
        key = TestAndSet(&lock);//only first lock==false will set key=false
    waiting[i] = FALSE;
        critical section
   j = (i + 1) \% n;
                         //look for the next P[j] waiting: bound- waiting req.
    while ((j != i) && !waiting[j])
      j = (j + 1) \% n;
   if(j == i)
     lock = false;
    waiting[j] = FALSE; //wakeup only one process P[j] without releasing lock
        remainder section
} while (TRUE);
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```

Bounded-waiting mutual exclusion with TestAndSet()

- Mutual exclusion
 - Mutual exclusion requirement is met if either waiting[i] == false or key == false
- Progress
 - Exit process sends a process in
- Bounded waiting
 - Any process wait at most n-1 times to enter critical section
- Atomic TestAndSet is hard to implement in multiprocessor environment

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Semaphores

- The hardware-based solutions to the critical-section problem are complicated for application programmers to use. To overcome this difficulty, we can use a synchronization tool called a semaphore
- Semaphores
 - A variable used for signaling between the process
 - Originally semaphores were flags for signaling between ships
- \blacksquare Semaphore S integer variable
- Two standard operations modify *S*:
 - wait() (or acquire)
 - signal() (or release)
- These two operations are indivisible (atomic)

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Semaphore Operations

• The definition of wait () is as follows

```
wait (S) {
      while (S <= 0)
          ; // no-op, called busy waiting, spinlock
      S--;
}</pre>
```

• The definition of signal() is as follows:

- Busy waiting: While a process is in its critical section, any other process that tries to enter its critical section must loop continuously in the entry code
- Spinlock: the process "spins" while waiting for the lock
- Must guarantee that no two processes can execute wait () and signal () on the same semaphore at the same time

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Semaphore

- Counting semaphore integer value can range over an unrestricted domain
- Binary semaphore integer value can range only between 0 and 1; can be simpler to implement
 - Also known as mutex locks (are the locks that provide mutual exclusion)
- Can implement a counting semaphore S as a binary semaphore

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Mutual-exclusion with semaphores for n Proceses

- Let the n processes share a semaphore, mutex, initialized to1
- Process P_i

```
do {
  wait (mutex);
  // Critical Section
  signal (mutex);
  // remainder section
} while (TRUE);
```

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Semaphore Usage

- Consider two concurrently running processes: P_1 with a statement S_1 and P_2 with a statement S_2 .
- Suppose we require that S_2 be executed only after S_1 has completed
- Let P_1 and P_2 share a common semaphore synch, initialized to zero.

```
P<sub>1</sub>:
S<sub>1</sub>;
signal (synch);
P<sub>2</sub>:
wait (synch);
S<sub>2</sub>;
```

Process synchronization: S_2 in P_2 should be executed after S_1 in P_1

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Semaphore Implementation with no Busy waiting

■ Define semaphore as a "C" structure typedef struct {

int value;
struct process *list;
} semaphore;

- Two operations:
 - The block () operation suspends the process that invokes it.
 - The wakeup(P) operation resumes the execution of a blocked process P.

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Semaphore Implementation with no Busy waiting

■ The wait() operation is now defined as

```
wait(semaphore *S) {
   S->value--;
   if (S->value < 0) {
      add this process to S->list;
      block();
   }
}
```

■ The signal() operation is now defined as

```
signal(semaphore *S) {
   S->value++;
   if (S->value <= 0) {
      remove a process P from S->list;
      wakeup(P);
   }
}
```

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Deadlock and Starvation

- **Deadlock** two or more processes are waiting indefinitely for an event that can be caused by only one of the waiting processes
 - example: process P₀ waits for process P₁, and process P₁waits for process P₀
- Consider two processes, P₀ and P₁, each accessing 2 semaphores, S and Q initialized to 1

■ Starvation or indefinite blocking

 A situation in which processes wait indefinitely within the semaphore. It may occur if we remove processes in LIFO order

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Priority Inversion Problem

- Scheduling challenge arises when lower-priority process holds a lock needed by higher-priority process
- Scenario:
 - Processes with priorities L < M < H request resource R
 - L first locks on R; then H requests R, but normally H would wait for L to finish using resource R.
 - In the meantime, M requests R and preempts L
 - H is waiting longer for lower-priority processes
- Not a problem with only two levels of priorities, but two levels are insufficient for most OSs
- Solved via priority-inheritance protocol
 - All lower-priority processes that are accessing resources requested by a higher-priority process, inherits the higherpriority level until it releases the resource

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Classical Problems of Synchronization

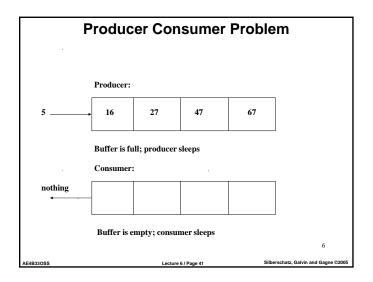
- Bounded-Buffer Producer-Consumer Problem
- Readers and Writers Problem
- Dining-Philosophers Problem

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Bounded-Buffer Producer-Consumer Problem

- Two processes (one producer, one consumer) share a common, fixed-size buffer
- Producer places information into the buffer
- Consumer takes it out
- The producer wants to place a new item into the buffer, but the buffer is already full
 - Solution: producer goes to sleep, wakes up when the consumer has emptied one or more items
- Consumer wants to consume an item, but the buffer is empty
 - Solution: consumer goes to sleep, wakes up when the producer has produced items

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Bounded-Buffer Producer-Consumer Problem The binary semaphore mutex provides mutually exclusive access to the buffer & is initialized to the value 1 The counting semaphore full used for counting the number of slots that are full & is initialized to 0 The counting semaphore empty used for counting the number of slots that are empty & is initialized to n, the buffer size The empty and full semaphores are used for process synchronization

The structure of the producer process do { ... // produce an item wait (empty); //wait for an empty space wait (mutex); ... // add the item to the buffer ... signal (mutex); signal (full); // report the new full slot } while(TRUE);

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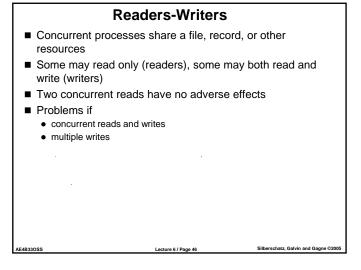
Bounded-Buffer Producer-Consumer Problem

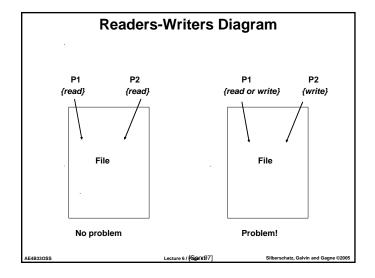
```
Bounded-Buffer Producer-Consumer Problem

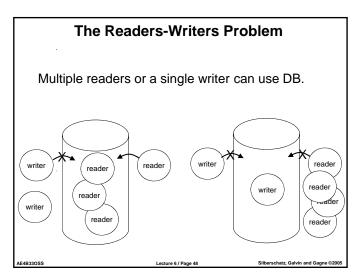
The structure of the consumer process

do {
    wait (full); // wait for a stored item
    wait (mutex);
    ...
    // remove an item from buffer
    ...
    signal (mutex);
    signal (empty); //report the new empty slot
    ...
    // consume the removed item
    ...
} while (TRUE)
```

Bounded-Buffer Producer-Consumer Problem	
Producer	Consumer
produce an item	
wait (empty)	
loose processor	wait(full) % cannot proceed because there are no items in the buffer
wait(mutex)	 loose processor
add item to buffer	
signal(mutex)	
signal(full)	
produce an item	,
wait(empty)	
wait(mutex)	
add item to buffer	
signal (mutex)	
 loose processor 	
	wait(full) is now successful because
4833055	something has been added to buffer Lecture 6 / Page 45 Silberschatz, Galvin and Gagne @20







Readers-Writers Problem

- Two Variations
 - First Readers-Writers problem: No reader be kept waiting unless a writer has already obtained exclusive write permissions (Readers have high priority)
 - Second Readers-Writers problem: If a writer is waiting/ready, no new readers may start reading (Writers have high priority)
- A solution to either problem may result in starvation
 - In the first case, writers may starve; in the second case, reader may starve
- We present solution to first readers writers problem using semaphores

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Solution to First Readers-Writers Problem

The reader processes share the following data structures: semaphore mutex , wrt;

int readcount;

- The binary semaphores mutex and wrt are initialized to 1; readcount is initialized to 0;
- Semaphore wrt is common to both reader and writer process
 - * wrt functions as a mutual exclusion for the writers
 - It is also used by the first or last reader that enters or exits the critical section
 - It is not used by readers who enter or exit while other readers are in their critical section
- The readcount variable keeps track of how many processes are currently reading the object
- The mutex semaphore is used to ensure mutual exclusion when readcount is updated

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Solution to first Readers-Writers Problem

■ The structure of a writer process

```
do {
    wait (wrt) ;
    ...
    // writing is performed
    ...
    signal (wrt) ;
} while (TRUE);
```

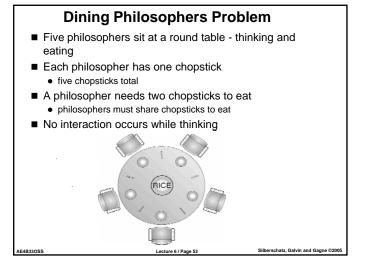
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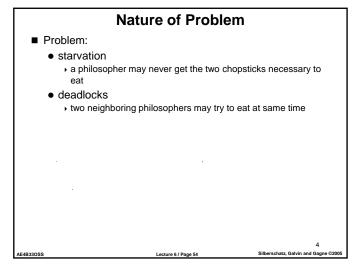
Solution to first Readers-Writers Problem

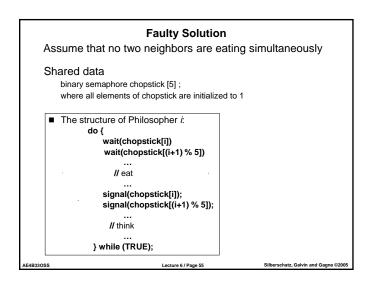
■ The structure of a reader process

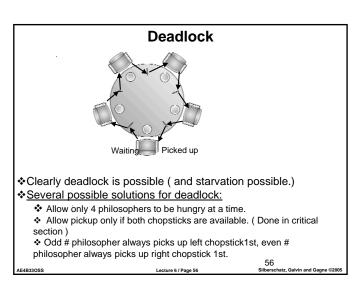
```
do {
    wait (mutex);
    readcount ++;
    if (readcount == 1)
        wait (wrt);
    signal (mutex)
    ...
    // reading is performed
    ...
    wait (mutex);
    readcount --;
    if (readcount == 0)
        signal (wrt);
    signal (mutex);
    } while (TRUE);
```

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Problems with Semaphores

- Semaphores must be used with care. Incorrect use of semaphore results in following types of errors:
 - Inversed order: Suppose a process interchanges the order of wait() and signal() operations on the semaphore mutex signal (mutex);

critical section
...
wait(mutex);

> In this case, multiple processes may be executing in their critical sections , violating the mutual-exclusion requirement

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Problems with Semaphores

 Repeated calls: Suppose a process replaces signal(mutex) with wait(mutex)

wait(mutex);
...
critical section
...
wait(mutex);

- > In this case, processes may block forever (deadlock will occur)
- Omitted calls: Suppose a process omits the wait(mutex), or the signal (mutex) or both
 - In this case, either mutual exclusion is violated or a deadlock will occur

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Monitors

- Monitors provides a software solution to synchronization problems
- Monitor is a high-level abstraction that provides a convenient and effective mechanism for process synchronization

monitor monitor-name {

// shared variable declarations
procedure P1 (...) { }

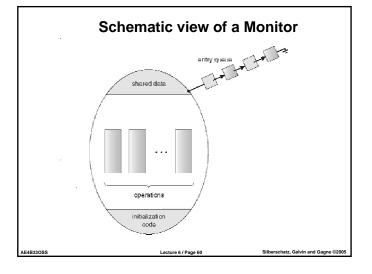
procedure Pn (...) { }

initialization code (....) { }

....
}

- Only one process may be active within the monitor at a time
- Abstract data type, internal variables only accessible by code within the procedure

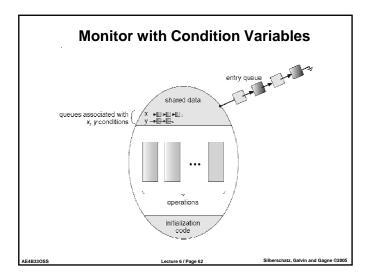
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Monitors

- To allow a process to wait within the monitor, one or more variables of type *condition* must be declared, as: condition x, y;
- Two operations on a condition variable:
 - x.wait() a process invoking this operation is suspended until another process invokes x.signal()
 - x.signal() resumes exactly one suspended process.
 If no process is suspended, then signal operation has no effect: the state of x is same as if the operation had never been executed

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Condition Variables Choices

- If process P invokes x.signal(), with process Q in x.wait() state, what should happen next?
 - If Q is resumed, then P must wait. Otherwise, both P and Q would active simultaneously within the monitor
- Two Options include
 - Signal and wait P waits until Q leaves monitor or waits for another condition
 - Signal and continue Q waits until P leaves the monitor or waits for another condition
- Both have pros and cons language implementer can decide
- A compromise between these two choices was adopted in the Concurrent Pascal language
 - P executing signal immediately leaves the monitor, hence Q is resumed
- Implemented in other languages including Mesa, C#, Java

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Solution to Dining Philosophers using Monitors

We need to distinguish among three states in which we may find a philosopher. For this purpose we introduce the following data structure:

enum{THINKING, HUNGRY, EATING} state[5]

■ Philosopher i can set the variable state[i] =EATING only if her two neighbors are not eating:

(state[(i+4)%5] != EATING and (state[(i+1)%5] != EATING

■ We also need to declare condition self[5];

in which philosopher i can delay herself when she is hungry but is unable to obtain the chopsticks she needs

■ The distribution of the chopsticks is controlled by the monitor DiningPhilosophers, defined below:

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```
Solution to Dining Philosophers

monitor DiningPhilosophers
{
    enum { THINKING; HUNGRY, EATING) state [5]; 
    condition self [5];

    void pickup (int i) {
        state[i] = HUNGRY; 
        test(i); 
        if (state[i]!= EATING) 
            self [i].wait();
    }

    void putdown (int i) {
        state[i] = THINKING; 
        // test left and right neighbors 
        test((i + 4) % 5); 
        test((i + 1) % 5); 
    }

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```

```
| Solution to Dining Philosophers (Cont.)

| void test (int i) {
| if ( (state[(i + 4) % 5] != EATING) &&
| (state[i] == HUNGRY) &&
| (state[i] = EATING; &&
| (state[i] = EATING; &&
| self[i].signal ();
| }
| }
| initialization_code() {
| for (int i = 0; i < 5; i++) &
| state[i] = THINKING; }
| }
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```

Solution to Dining Philosophers (Cont.)

■ Each philosopher *i* invokes the operations pickup() and putdown() in the following sequence:

DiningPhilosophers.putdown(i);

■ No deadlock, but starvation is possible

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Monitor Implementation Using Semaphores

■ Variables

```
semaphore mutex; // (initially = 1)
semaphore next; // (initially = 0)
int next_count = 0;
```

■ Each procedure **F** will be replaced by

```
wait(mutex);
...
body of F
...
if (next_count > 0)
signal(next);
else
signal(mutex);
```

■ Mutual exclusion within a monitor is ensured.

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Monitor Implementation Using Semaphores ■ For each condition variable x, we have: semaphore x_sem; // (initially = 0) int x_count = 0; ■ The operation x.wait can be implemented as: x count++: if (next_count > 0) signal(next); else signal(mutex); wait(x_sem); x_count--; The operation x.signal can be implemented as: if (x_count > 0) { next_count++; signal(x_sem); wait(next); next_count--;

Resuming Processes within a Monitor

- If several processes queued on condition x, and an x.signal() operation is executed by some process, then how do we determine which of the suspended processes which should be resumed next?
- FCFS frequently not adequate
- conditional-wait construct of the form x.wait(c)
 - Where c is priority number
 - Process with lowest number (highest priority) is scheduled next
- ResourceAllocator monitor, which controls the allocation of a single resource among competing processes is given next.

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```
A Monitor to Allocate Single Resource
  monitor ResourceAllocator
     boolean busy;
     condition x;
     void acquire(int time) {
          if (busy)
             x.wait(time);
          busy = TRUE;
     void release() {
          busy = FALSE;
          x.signal();
  initialization code() {
     busy = FALSE;
     }
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                                                               Silberschatz, Galvin and Gagne ©200
```

A Monitor to Allocate Single Resource

- Each process, when requesting an allocation of this resource, specifies the maximum time it plans to use the resource
- Monitor allocates the resource to the process that has the shortest time-allocation request
- A process that needs to access the resource in question must observe the following sequence:

```
R.acquire(t);
.... access the resource
....
R.release();
where R is an instance of type ResourceAllocator

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```

Problems with Monitors

- A process might access a resource without first gaining access permission to resource
- A process might never release a resource once it has been granted access to resource
- A process might attempt to release a resource that it never requested
- A process might request the same resource twice(without first releasing the resource)

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