## Sri Lanka Institute of Information Technology
Higher Diploma in IT – Year 2, Semester 1

**Operating Systems (IT1203)**
**Process Synchronization**
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## Process Synchronization

- Background
- The Critical-Section Problem
- Peterson's Solution
- Synchronization Hardware
- Mutex Locks
- Semaphores
- Classic Problems of Synchronization
- Monitors
- Synchronization Examples
- Alternative Approaches

## Objectives

- To present the concept of process synchronization.
- To introduce the critical-section problem, whose solutions can be used to ensure the consistency of shared data
- To present both software and hardware solutions of the critical-section problem
- To examine several classical process-synchronization problems
- To explore several tools that are used to solve process synchronization problems

## 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
- Illustration of the problem:
  Suppose that we wanted to provide a solution to the consumer-producer problem that fills ***all*** the buffers. We can do so by having an integer `counter` that keeps track of the number of full buffers. Initially, `counter` is set to 0. It is incremented by the producer after it produces a new buffer and is decremented by the consumer after it consumes a buffer.

## 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 */
}
```

## Race Condition

- `counter++` could be implemented as

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

- `counter--` could be implemented as

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

- Consider this execution interleaving with "count = 5" initially:

```
S0: producer execute register1 = counter          {register1 = 5}
S1: producer execute register1 = register1 + 1    {register1 = 6}
S2: consumer execute register2 = counter          {register2 = 5}
S3: consumer execute register2 = register2 – 1    {register2 = 4}
S4: producer execute counter = register1          {counter = 6 }
S5: consumer execute counter = register2          {counter = 4}
```

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## Critical Section Problem

- Consider system of ***n*** processes $\{p_0, p_1, \ldots p_{n-1}\}$
- Each process has critical section segment of code
  - Process may be changing common variables, updating table, writing file, etc
  - When one process in critical section, no other may be in its critical section
- ***Critical section problem*** is to design protocol to solve this
- Each process must ask permission to enter critical section in entry section, may follow critical section with exit section, then remainder section

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## Critical Section

- General structure of process $P_i$

```
do {
    entry section
        critical section
    exit section
        remainder section
} while (true);
```

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## Algorithm for Process $P_i$

```
do {
    while (turn == j);
        critical section
    turn = j;
        remainder section
} while (true);
```

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## 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
2. 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
3. Bounded Waiting - A bound 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
   - Assume that each process executes at a nonzero speed
   - No assumption concerning relative speed of the ***n*** processes

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## Critical-Section Handling in OS

Two approaches depending on if kernel is preemptive or non- preemptive

- Preemptive – allows preemption of process when running in kernel mode
- Non-preemptive – runs until exits kernel mode, blocks, or voluntarily yields CPU
  - Essentially free of race conditions in kernel mode

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## Peterson's Solution

- Good algorithmic description of solving the problem
- Two process solution
- Assume that the `load` and `store` machine-language instructions are atomic; that is, cannot be interrupted
- The two processes share two variables:
  - `int turn;`
  - `Boolean flag[2]`
- The variable `turn` indicates whose turn it is to enter the critical section
- The `flag` array is used to indicate if a process is ready to enter the critical section. `flag[i] = true` implies that process $P_i$ is ready!

## Algorithm for Process $P_i$

```
do {
    flag[i] = true;
    turn = j;
    while (flag[j] && turn = = j);
           critical section
    flag[i] = false;
           remainder section
} while (true);
```

## Peterson's Solution (Cont.)

- Provable that the three CS requirement are met:
  1. Mutual exclusion is preserved

     $P_i$ enters CS only if:

     either `flag[j] = false` or `turn = i`
  2. Progress requirement is satisfied
  3. Bounded-waiting requirement is met

## Synchronization Hardware

- Many systems provide hardware support for implementing the critical section code.
- All solutions below based on idea of **locking**
  - Protecting critical regions via locks
- Uniprocessors – could disable interrupts
  - Currently running code would execute without preemption
  - Generally too inefficient on multiprocessor systems
    - Operating systems using this not broadly scalable
- Modern machines provide special atomic hardware instructions
    - **Atomic** = non-interruptible
  - Either test memory word and set value
  - Or swap contents of two memory words

## Solution to Critical-section Problem Using Locks

```
do {
    acquire lock
           critical section
    release lock
           remainder section
} while (TRUE);
```

## test_and_set Instruction

Definition:

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

1. Executed atomically
2. Returns the original value of passed parameter
3. Set the new value of passed parameter to "TRUE".

## Solution using test_and_set()

- Shared Boolean variable lock, initialized to FALSE
- Solution:

```
do {
    while (test_and_set(&lock))
        ; /* do nothing */
            /* critical section */
    lock = false;
            /* remainder section */

 } while (true);
```

## compare_and_swap Instruction

Definition:

```
int compare _and_swap(int *value, int expected, int new_value) {
    int temp = *value;

    if (*value == expected)
       *value = new_value;
 return temp;
}
```

1. Executed atomically
2. Returns the original value of passed parameter “value”
3. Set  the variable “value”  the value of the passed parameter “new_value” but only if “value” ==“expected”. That is, the swap takes place only under this condition.

## Solution using compare_and_swap

- Shared integer "lock" initialized to 0;
- Solution:

```
    do {
    while (compare_and_swap(&lock, 0, 1) != 0)
    ; /* do nothing */
  /* critical section */
lock = 0;
  /* remainder section */
} while (true);
```

## Mutex Locks

- Previous solutions are complicated and generally inaccessible to application programmers
- OS designers build software tools to solve critical section problem
- Simplest is mutex lock
- Protect a critical section by first `acquire()` a lock then `release()` the lock
  - Boolean variable indicating if lock is available or not
- Calls to `acquire()` and `release()` must be atomic
  - Usually implemented via hardware atomic instructions
- But this solution requires **busy waiting**
  - This lock therefore called a **spinlock**

## acquire() and release()

```
acquire() {
    while (!available)
        ; /* busy wait */
    available = false;;
}
release() {
    available = true;
}
do {
   acquire lock
      critical section
   release lock
     remainder section
} while (true);
```

## Semaphore

- Synchronization tool that provides more sophisticated ways (than Mutex locks) for process to synchronize their activities.
- Semaphore ***S*** – integer variable
- Can only be accessed via two indivisible (atomic) operations
  - `wait()` and `signal()`
    - Originally called `P()` and `V()`
- Definition of the `wait()` operation

```
wait(S) {
    while (S <= 0)
       ; // busy wait
    S--;
}
```

- Definition of the `signal()` operation

```
signal(S) {
    S++;
}
```

## Semaphore Usage

- Counting semaphore – integer value can range over an unrestricted domain
- Binary semaphore – integer value can range only between 0 and 1
  - Same as a mutex lock
- Can solve various synchronization problems
- Consider $P_1$ and $P_2$ that require $S_1$ to happen before $S_2$

  Create a semaphore "**synch**" initialized to 0

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

- Can implement a counting semaphore ***S*** as a binary semaphore

## Semaphore Implementation

- Must guarantee that no two processes can execute the `wait()` and `signal()` on the same semaphore at the same time
- Thus, the implementation becomes the critical section problem where the `wait` and `signal` code are placed in the critical section
  - Could now have busy waiting in critical section implementation
    - But implementation code is short
    - Little busy waiting if critical section rarely occupied
- Note that applications may spend lots of time in critical sections and therefore this is not a good solution

## Semaphore Implementation with no Busy waiting

- With each semaphore there is an associated waiting queue
- Each entry in a waiting queue has two data items:
  - value (of type integer)
  - pointer to next record in the list
- Two operations:
  - block – place the process invoking the operation on the appropriate waiting queue
  - wakeup – remove one of processes in the waiting queue and place it in the ready queue

```
typedef struct{
   int value;
   struct process *list;
   } semaphore;
```

## Implementation with no Busy waiting (Cont.)

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

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

## 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
- Let *S* and *Q* be two semaphores initialized to 1

| $P_0$ | $P_1$ |
| --- | --- |
| `wait(S);` | `wait(Q);` |
| `wait(Q);` | `wait(S);` |
| `...` | `...` |
| `signal(S);` | `signal(Q);` |
| `signal(Q);` | `signal(S);` |

- Starvation – indefinite blocking
  - A process may never be removed from the semaphore queue in which it is suspended
- Priority Inversion – Scheduling problem when lower-priority process holds a lock needed by higher-priority process
  - Solved via priority-inheritance protocol

## Classical Problems of Synchronization

- Classical problems used to test newly-proposed synchronization schemes
  - Bounded-Buffer Problem
  - Readers and Writers Problem
  - Dining-Philosophers Problem

## Bounded-Buffer Problem

- *n* buffers, each can hold one item
- Semaphore `mutex` initialized to the value 1
- Semaphore `full` initialized to the value 0
- Semaphore `empty` initialized to the value n

## Bounded Buffer Problem (Cont.)

- The structure of the producer process

```
do {
     ...
     /* produce an item in next_produced */
     ...
   wait(empty);
   wait(mutex);
     ...
     /* add next produced to the buffer */
     ...
   signal(mutex);
   signal(full);
} while (true);
```

## Bounded Buffer Problem (Cont.)

- The structure of the consumer process

```
Do {
    wait(full);
    wait(mutex);
       ...
    /* remove an item from buffer to next_consumed */
       ...
    signal(mutex);
    signal(empty);
       ...
    /* consume the item in next consumed */
       ...
} while (true);
```

## Readers-Writers Problem

- A data set is shared among a number of concurrent processes
  - Readers – only read the data set; they do ***not*** perform any updates
  - Writers – can both read and write
- Problem – allow multiple readers to read at the same time
  - Only one single writer can access the shared data at the same time
- Several variations of how readers and writers are considered – all involve some form of priorities
- Shared Data
  - Data set
  - Semaphore `rw_mutex` initialized to 1
  - Semaphore `mutex` initialized to 1
  - Integer `read_count` initialized to 0

## Readers-Writers Problem (Cont.)

- The structure of a writer process

```
do {
      wait(rw_mutex);
         ...
      /* writing is performed */
         ...
   signal(rw_mutex);
} while (true);
```

## Readers-Writers Problem (Cont.)

- The structure of a reader process

```
do {
       wait(mutex);
       read_count++;
       if (read_count == 1)
        wait(rw_mutex);
    signal(mutex);
         ...
       /* reading is performed */
         ...
    wait(mutex);
       read count--;
       if (read_count == 0)
    signal(rw_mutex);
    signal(mutex);
} while (true);
```

## Readers-Writers Problem Variations

- ***First*** variation – no reader kept waiting unless writer has permission to use shared object
- ***Second*** variation – once writer is ready, it performs the write ASAP
- Both may have starvation leading to even more variations
- Problem is solved on some systems by kernel providing reader-writer locks

## Dining-Philosophers Problem


- Philosophers spend their lives alternating thinking and eating
- Don't interact with their neighbors, occasionally try to pick up 2 chopsticks (one at a time) to eat from bowl
  - Need both to eat, then release both when done
- In the case of 5 philosophers
  - Shared data
    - Bowl of rice (data set)
    - Semaphore chopstick [5] initialized to 1

## Dining-Philosophers Problem Algorithm

- The structure of Philosopher *i*:

```
do {
    wait (chopstick[i] );
    wait (chopStick[ (i + 1) % 5] );

         //  eat

    signal (chopstick[i] );
    signal (chopstick[ (i + 1) % 5] );

          //  think

} while (TRUE);
```

- What is the problem with this algorithm?

## Dining-Philosophers Problem Algorithm (Cont.)

- Deadlock handling
  - Allow at most 4 philosophers to be sitting simultaneously at the table.
  - Allow a philosopher to pick up the forks only if both are available (picking must be done in a critical section.
  - Use an asymmetric solution -- an odd-numbered philosopher picks up first the left chopstick and then the right chopstick. Even-numbered philosopher picks up first the right chopstick and then the left chopstick.

## Problems with Semaphores

- Incorrect use of semaphore operations:
  - signal (mutex) …. wait (mutex)
  - wait (mutex) … wait (mutex)
  - Omitting of wait (mutex) or signal (mutex) (or both)
- Deadlock and starvation are possible.

## Monitors

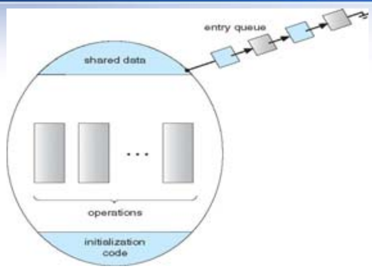
- A high-level abstraction that provides a convenient and effective mechanism for process synchronization
- *Abstract data type*, internal variables only accessible by code within the procedure
- Only one process may be active within the monitor at a time
- But not powerful enough to model some synchronization schemes

```
monitor monitor-name
{
  // shared variable declarations
  procedure P1 (…) { …. }

  procedure Pn (…) {……}

    Initialization code (…) { … }
  }
}
```

## Schematic view of a Monitor




## Synchronization Examples

- Solaris
- Windows
- Linux
- Pthreads

## Solaris Synchronization

- Implements a variety of locks to support multitasking, multithreading (including real-time threads), and multiprocessing
- Uses **adaptive mutexes** for efficiency when protecting data from short code segments

## Windows Synchronization

- Uses interrupt masks to protect access to global resources on uniprocessor systems
- Uses **spinlocks** on multiprocessor systems
  - Spinlocking-thread will never be preempted

## Linux Synchronization

- Linux:
  - Prior to kernel Version 2.6, disables interrupts to implement short critical sections
  - Version 2.6 and later, fully preemptive
- Linux provides:
  - Semaphores
  - atomic integers
  - spinlocks
  - reader-writer versions of both

## Pthreads Synchronization

- Pthreads API is OS-independent
- It provides:
  - mutex locks
  - condition variable
- Non-portable extensions include:
  - read-write locks
  - spinlocks

## Alternative Approaches

- Transactional Memory
- OpenMP
- Functional Programming Languages

## End of Chapter 6