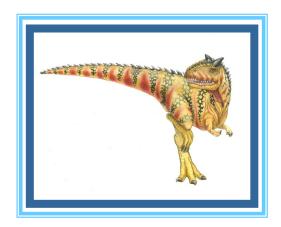
# **Chapter 5: Process Synchronization**

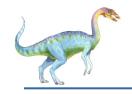




## **Chapter 5: Process Synchronization**

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

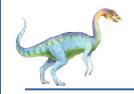




## **Objectives**

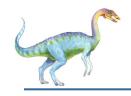
- To present the concept of process synchronization.
- To introduce the critical-section (CS) problem, whose solutions can be used to ensure the consistency of shared data
- To present both software and hardware solutions of the critical-section problem
- To examine several classical process-synchronization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





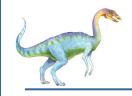
## **Background**

- 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.
    - 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 location and is decremented by the consumer after it consumes a buffer.



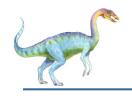
#### **Producer**

```
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 */
```



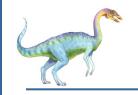
#### **Race Condition**

counter++ could be implemented as

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

□ counter -- could be implemented as

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



#### **Race Condition**

The concurrent execution of "counter++" and "counter--" is equivalent to a sequential execution in which the lower-level statements presented previously are interleaved in some arbitrary order (but the order within each high-level statement is preserved). One such interleaving is the following:

$T_0$ :	producer	execute	$register_1 = \mathtt{counter}$	$\{register_1 = 5\}$
$T_1$ :	producer	execute	$register_1 = register_1 + 1$	$\{register_1 = 6\}$
$T_2$ :	consumer	execute	$register_2 = counter$	$\{register_2 = 5\}$
$T_3$ :	consumer	execute	$register_2 = register_2 - 1$	$\{register_2 = 4\}$
$T_4$ :	producer	execute	$counter = register_1$	$\{counter = 6\}$
$T_5$ :	consumer	execute	$counter = register_2$	$\{counter = 4\}$

Notice that we have arrived at the incorrect state "counter == 4", indicating that four buffers are full, when, in fact, five buffers are full. If we reversed the order of the statements at  $T_4$  and  $T_5$ , we would arrive at the incorrect state "counter == 6".

## roducer-Consumer Problem: Race condition

- We would arrive at this incorrect state because we allowed both processes to manipulate the variable counter concurrently.
- A situation like this, where several processes access and manipulate the same data concurrently and the outcome of the execution depends on the particular order in which the access takes place, is called a race condition.
- ☐ To guard against the race condition we need to ensure that only one process at a time can be manipulating the variable counter.



## Principles of Concurrency-Race condition

- Suppose that two processes P1 and P2 share the global variable a. At some point in its execution, P1 updates a to the value 1, and at some point in its execution, P2 updates a to the value 2. Thus, the two tasks are in a race to write variable a.
  - In this example, the process that updates last determines the final value of **a**.
- Consider two processes, P3 and P4, that share global variables b and c, with initial values b = 1 and c = 2. At some point in its execution, P3 executes b = b + c and at some point in its execution, P4 executes c = b + c.
  - ▶ The final values of the two variables depend on the order in which the two processes execute their assignments.
  - If P3 executes its assignment first, then b = 3 and c = 5.
  - ▶ If P4 executes its assignment first, then b = 4 and c = 3.

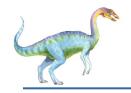




## **Critical Section (CS)**

- □ A critical section (CS) is a code segment in a process in which a shared resource is allowed to access:
  - Only one process can execute its CS at any one time
  - When no process is executing in its CS, any process that requests entry to its CS must be permitted without delay
  - When two or more processes compete to enter their respective CSs, the selection cannot be postponed indefinitely
  - No process can prevent any other process from entering its CS indefinitely
  - Every process should be given a fair chance to access the shared resource through CS





#### **CS Problem**

- □ Consider system of n processes  $\{p_0, p_1, ..., p_{n-1}\}$
- □ Each process has CS segment
  - Process may be changing common variables, updating table, writing file, etc
  - When one process in CS, no other may be in its CS
  - Each process must ask permission to enter CS in entry section, may follow critical section with exit section, then remainder section.
  - The general structure of a typical process Pi is shown in Figure 5.1.
  - No two processes are executing in their critical sections at the same time.



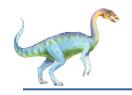


#### CS

□ General structure of process P<sub>i</sub>

**Figure 5.1** General structure of a typical process  $P_i$ .

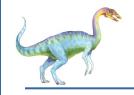




#### **Solution to CS Problem**

- Mutual Exclusion If process P<sub>i</sub> is executing in its critical section (CS), then no other processes can be executing in their critical sections
- 2. **Progress** If no process is executing in its **CS** and there exist some processes that wish to enter their CS, then the selection of the processes that will enter the **CS** 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



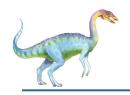


## **CS Handling in OS**

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

- □ Preemptive allows preemption of process when running in kernel mode
  - Preemptive kernels are especially difficult to design for SMP architectures, since in these environments it is possible for two kernel-mode processes to run simultaneously on different processors.
- Non-preemptive runs until exits kernel mode, blocks, or voluntarily yields CPU
  - Essentially free of race conditions in kernel mode, as only one process is active in the kernel at a time.





## **Critical-Section Handling in OS**

- Why, then, would anyone favor a preemptive kernel over a non-preemptive one?
  - A preemptive kernel may be less risk that a kernel-mode process can run for an arbitrarily long period before relinquishing it by the processor.
  - A preemptive kernel is more suitable for real-time programming, as it will allow a real-time process to preempt a process currently running in the kernel.



#### **Critical-Section Problem: Peterson's Solution**

- Peterson's solution to CS problem is restricted to two processes that alternate execution between their critical sections and remainder sections.
  - The processes are numbered  $P_i$  and  $P_j$  (where i = 0 and j = 1)
  - □ **Figure 5.2** The structure of process in Peterson's solution.
  - int turn;
    - ▶ The integer variable *turn* indicates whose turn it is to enter its CS.
      - if turn == i, then process Pi is allowed to execute in its CS

#### boolean flag[2];

- A size two array is used to indicate if a process is ready to enter its CS.
- For example, if flag[i] is true, this value indicates that Pi is ready to enter its critical section.

## **Critical-Section Problem: Peterson's Solution**

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

**Figure 5.2** The structure of process  $P_i$  in Peterson's solution.

## **Critical-Section Problem: Peterson's Solution**

- □ Each  $P_i$  enters its CS only if either (flag[j] == false) or (turn ==  $P_i$ ), where  $P_i$  = 0
- If (flag[i] == flag[j] == true), then it imply that P<sub>i</sub> and P<sub>j</sub> could not have successfully executed their while statements at about the same time, since the value of turn can be either 0 or 1 but cannot be both.
  So this situation is not valid!
- □ If (flag[j] == true and turn ==  $P_j$ ), and this condition will cause  $P_j$  is in its critical section, where  $P_j$  = 1
- If P<sub>j</sub> is not ready to enter its CS, then (flag[j] == false), and P<sub>j</sub> can enter its CS.
- Mutual exclusion is preserved
  - P<sub>i</sub> enters CS only if: either flag[j] = false or turn = i

<u>Simulation</u>

Code in C++



#### **Critical Section**

 $\square$  General structure of process  $P_i$ 

```
do {
     entry section
     critical section

     exit section

remainder section
} while (true);
```



#### Solution to CS: mutual exclusion locks

- OS designers build software tools to solve CS problem, simplest is mutex lock (called mutual exclusion lock) to protect critical regions and thus prevent race conditions.
- That is, a process must acquire the lock before entering a CS; it releases the lock when it exits the CS.
- Protect a CS by first acquire() a lock then release() the lock;
  do {
  acquire lock

```
critical section release lock remainder section
```



} while (TRUE);



#### **Mutex Locks**

Figure 5.8 Solution to the critical-section problem using mutex locks.

The definition of release() is as follows:

```
release() {
   available = true;
}
```

Calls to either acquire() or release() must be performed atomically.



## **Disadvantage of Mutex Locks**

- The main disadvantage of mutex lock is that it requires busy waiting (spinlock)
  - Spinlock means processors continuously execute the atomic instruction to check for the status of the shared variable
    - It wastes processor cycles and consumes network bandwidth
- While a process is in its **CS**, any other process that tries to enter its **CS** must loop continuously in the call to **acquire()**.
- Calls to acquire() and release() must be atomic
  - But this solution requires busy waiting
    - This lock therefore called a spinlock

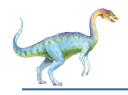


## Atomic hardware instructions for Critical Section

- Atomic HW instructions for CS through mutex are:
  - □ Test-and-Set () instruction
  - Compare-and-Swap() Instruction

## Atomic hardware instructions for Critical Section (mutex)

- □ Test-and-Set () instruction
  - "Test" the requested process is sanctioned to enter CS by checking a memory location or a Boolean variable
  - If yes (the memory location match), then "Set" the selected process for CS
- □ The Test-and -Set() instruction can be defined as shown in Figure 5.3.
  - If the machine supports the **test and set()** instruction, then we can implement **mutex** by declaring a boolean variable **lock**, initialized to false.



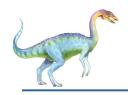
## test and set() instruction

```
boolean test_and_set(boolean *target) {
   boolean rv = *target;
   *target = true;

   return rv;
}
```

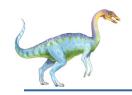
**Figure 5.3** The definition of the test\_and\_set() instruction.

- 1.Executed atomically
- 2.Returns the original value of passed parameter \*target and set it as true



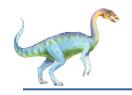
#### compare\_and\_swap Instruction

- 1. Executed atomically
- 2. Returns the original value of passed parameter **"\*value**" a **shared variable**
- 3. If **\*value** and **expected** are same, then assigns **new\_value** to **\*value** and return **\*value**. That is, the swap takes place only under this condition.



- Mutex locks, are generally considered the simplest of process synchronization tools.
- A semaphore is a more robust synchronization tool that provides more sophisticated ways (than Mutex locks) for process synchronization.
- A semaphore S is an integer variable that, apart from initialization, is accessed only through two standard atomic operations:
  - wait()
  - signal()





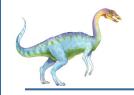
- □ The wait() operation was originally termed P ("to test").
- ☐ The definition of **wait()** is as follows:

<u>**P(S)**</u> or <u>wait(S)</u>: send a wait to waiting processes until the S access operation (S = S - 1) by the current process(s) has been completed.

- □ The **signal()** was originally called **V** ("to increment").
- The definition of signal() is as follows:

V(S) or signal(S): Signal a waiting process if the previous process has been released all S by incrementing (S = S + 1)it.





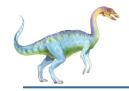
The definition of wait() is as follows:

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

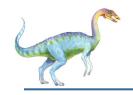
The definition of signal() is as follows:

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



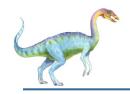


```
P(S)
     Semaphore S; // initialize resource size S
       while (S > 0); // wait until resource accessed
       S = S - 1; // resource access
V(S)
     Semaphore S; // initialize resource size S
       S = S+1; // free resources by processes
Init(S, v) // initialize S with v values before a new request
     Semaphore S; // initialize resource size S
     Int v;
      S = v:
```



- All modifications to the integer value of the semaphore in the wait() and signal() operations must be executed indivisibly.
  - That is, when one process modifies the semaphore value, no other process can simultaneously modify that same semaphore value.
- In addition, in the case of wait(S), the testing of the integer value of S (S ≤ 0), as well as its possible modification (S--), must be executed without interruption.





## Semaphore Usage

- Operating systems often distinguish between counting and binary semaphores.
- The value of a counting semaphore can range over an unrestricted domain.
- The value of a binary semaphore can range only between 0 and 1.
  - Thus, binary semaphores behave similarly to mutex locks.
    - on systems that do not provide **mutex locks**, binary semaphores can be used instead for providing mutual exclusion.

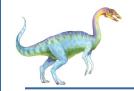




- Use semaphores to solve synchronization problems: For example, consider two concurrently running processes:
  - □ **P1** with a statement **S1** and **P2** with a statement **S2**. Suppose we require that **S2** be executed only after **S1** has completed.
  - We can implement this scheme readily by letting P1 and P2 share a common semaphore synch, initialized with its size.
  - □ In process *P*1, we insert the statement

```
S1;
```

□ In process *P*2, we insert the statements:



- Possibly the simplest use for a semaphore is signaling
  - Means that one thread sends a signal to another thread to indicate that something has happened
  - Signaling makes it possible to guarantee that one thread will run CS before another thread
  - Assume that semaphore s with initial value 0 (no resource available), and that Threads A and B have shared access to it

#### Thread-A

#### t1. statement a1 (in CS)

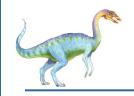
t2. s.signal()

#### Thread-B

t1. s.wait()

t2. statement b1 (in CS)

- At time t1, ThreadA in CS and ThreadB in waiting state
- At time t2, ThreadA frees **s** and ThreadB gets **s** (in its CS)
- The semaphore guarantees that Thread-A has completed a1 before Thread-B begins b1



#### **Semaphores - Puzzle**

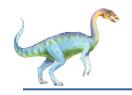
#### Thread A

- 1 statement a1
- 2 Statement a2

#### Thread B

- 1 Statement b1
- 2 Statement b2
- Given this code we want to guarantee that a1 happens before b2 and b1 happens before a2

(Hint: use semaphores as the previous example. Don't forget to specify the names and initial values of your semaphores)



# **Semaphores – Puzzle Answer**

#### Thread A

t1: a1(in CS)

t2: a1.signal

t3: a2.wait

t4: a2 (in CS)

t5: a2 (in CS)

t6: a2.signal

#### Thread B

t1: b1.wait

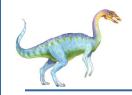
t2: b1(in CS)

t3: b1(in CS)

t4: b1.signal

t5: b2 wait

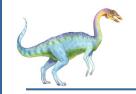
t6: b2 (in CS)



# **Semaphores**

### Advantages

- Semaphores impose deliberate constraints that help programmers to avoid errors
- Solutions using semaphores are often clean and organized
- Semaphore can be implemented efficiently on many systems, so solutions that use semaphores are portable and usually efficient

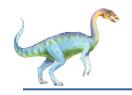


# **Semaphores**

#### Drawbacks

- A process that uses a semaphore has to know which other processes use the semaphore (or waiting for semaphore)
  - the semaphore operations of all interacting processes have to be coordinated
- Semaphore operations must be carefully positioned in a process
  - The omission of a P or V operation may result in deadlock or inconsistencies
- Programs with semaphores extremely hard to verify for their correctness





### **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

- Suppose that P0 executes wait(S) and then P1 executes wait(Q).
  When P0 executes wait(Q), it must wait until P1 executes signal(Q).
- Similarly, when P1 executes wait(S), it must wait until P0 executes signal(S). Since these signal() operations cannot be executed, P0 and P1 are deadlocked.



### **Deadlock and Starvation**

- Starvation indefinite blocking
  - A process may never be removed from the semaphore queue in which it is suspended
- Priority Inversion Scheduling problem when lowerpriority 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





# The Producer-Consumer - Semaphore

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);
```



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);
```

# The Producer-Consumer - Semaphore

The structure of the producer process

```
do {
    // produce an item
    wait (empty); // consumer should wait because buffer is empty
    wait (mutex); // consumer wait, mutex semaphore is with producer
    add the item to the buffer; // fill buffer (CS)
    signal (mutex); // signal to consumer that 'mutex' is free and get it
    signal (full); // signal to consumer that buffer is full
} while (TRUE);
```

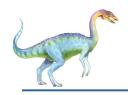
The structure of the consumer process

```
do {
    wait (full); // producer wait because buffer is full
    wait (mutex); // producer wait 'mutex' is with consumer
    remove an item from buffer; // consume buffer (CS)
    signal (mutex); // signal to producer that mutex is free and get it
    signal (empty); // signal to producer that buffer is empty
} while (TRUE);
```



# The Producer-Consumer problem

- In multithreaded programs there is often a division of labor between processes (or threads)
- And some processes are producers and some are consumers
  - Producers create items of some kind and add them to a data structure (buffer);
  - Consumers remove (consume) the items from buffer and process them



### **Producer-Consumer Problem**

- There are several synchronization constraints that we need to enforce to make this producer-consumer system work correctly
  - Producer processes (or threads) supplies/produce messages
  - Consumer processes ( or threads) consume messages
  - □ Both processes (*asynchronous in nature*) share a **common buffer**
  - conditional synchronization as well as mutual exclusion needed:
    - No consumer can access the buffer when it is empty and no producer can access the buffer when it is full
    - If a **consumer** process (or thread) arrives while the **buffer** is empty, it blocks until a producer adds a new item into it



## **Producer-Consumer Problem**

- Event-driven programs are a good example:
  - Whenever and event occurs, a producer thread creates an event object and adds it to the event buffer
  - Concurrently, consumer threads take events out of the buffer and execute them
  - In this case, the consumers are called "event handlers"



## **Readers-Writers Problem**

- Here 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 and 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 // this one for writes
  - Semaphore mutex initialized to 1 // both readers and writers needed
  - Integer read\_count initialized to 0





# Readers-Writers Problem (Cont.)

□ The structure of a writer process



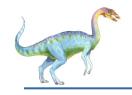


# Readers-Writers Problem (Cont.)

The structure of a reader process

```
do { // first finding readers using 'mutex'
      wait(mutex); // mutex is with a reader other readers/writers wait
         read count++; // get readers
         if (read count == 1) //if at least one reader
         wait(rw_mutex); // send wait (rw_mutex) writers
      signal (mutex); // send signal (mutex) next waiting reader
         /* reading is performed */
    wait(mutex); // reading is going on (readers/writers waits)
         read count--; // get count of read readers
         if (read count == 0) // if no more readers
      signal(rw mutex); // signal 'rw mutex' to writers to synch
      signal (mutex); // signal 'mutex' to synchronized writers
 } while (true);
```





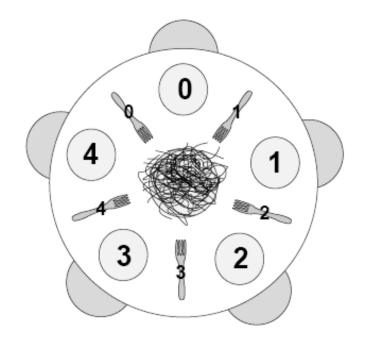
# The Dining Philosophers (cont.)

- Five philosophers are sitting in a circle, attempting to eat spaghetti with the help of forks
- A common bowl of spaghetti for each philosopher but there are only five forks (forks are placed between left and right of each philosopher) to share among them
- But both forks are needed at a time to consume spaghetti
- A philosopher alternates between two phases:
  - Thinking and eating
- In the thinking mode, a philosopher does not hold a fork
- When hungry, a philosopher attempts to pick up both forks on left and right sides
  - A philosopher can start eating only after obtaining both forks
  - Once start eating the forks are not relinquished until the eating phase is over

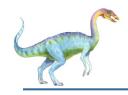


## The Dining Philosophers (cont.)

- Note that no two neighboring philosophers can eat simultaneously
- In order to find any solution, the act of picking up a fork by a philosopher must be a critical section
- The solution should be a deadlock free one, in which no philosopher starves







## The Dining Philosophers (cont.)

Five philosophers, who represent interacting threads, come to the table and execute the following loop:

```
while true
think()
get_forks()
eat()
put_forks()
```

#### The program should satisfy the following constraints:

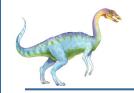
- 1. Only one philosopher can hold a fork at a time.
- 2. It must be impossible for a deadlock to occur.
- 3. It must be impossible for a philosopher to starve waiting for a fork.
- 4. It must be possible for more that one philosopher to eat at the same time.



# **Windows Synchronization**

- Windows uses interrupt masks to protect access to global resources on uniprocessor systems.
- Uses spinlocks on multiprocessor systems
  - Spinlocking-thread will never be preempted
- Also provides dispatcher objects user-land which may act as mutexes, semaphores, events, and timers
  - Events
    - An event acts much like a condition variable
  - Timers notify one or more thread when time expired
  - Dispatcher objects either signaled-state (object available) or nonsignaled state (thread will block)





# **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
- On single CPU system, spinlocks replaced by enabling and disabling kernel preemption.



```
#include <cstdlib>
   #include <iostream>
    #include <string>
          #include <time.h>
          #include<windows.h>
          using namespace std;

woid delay()

    { time_t start_time, cur_time;
    time(&start_time);
    do{ time(&cur_time);}
           while((cur time - start time) < 2.5); // 2.5 ms delay
    int main(int argc, char *argv[])
    bool flag[2]= {false, false};
    int turn;
            int count = 1:
    int bount = 1;
            string turnVal;
    do{
    system("CLS");
    srand (time(NULL));
    int ran = rand() % 2; // generate 0 = i or 1 = j
    flag[ran] = true;// i == true
    turn = ran; //j = 1
            while(flag[ran] && turn == ran)// while both flag and turn are same then
    {
                cout << "\n\n";
    for (int i = 0; i < 2; i++)
    { if (i == 0 && flag[i] == 1) {cout << " flag[Pi] = true " ;}
                 else if(i == 0 && flag[i] == 0){cout << " flag[Pi] = false " ;}
    else if(i == 1 && flag[i] == 1){cout << " flag[Pi] = true ";}
    else {cout << " flag[Pj] = false ";}}//for ends
                 if(turn == 0)turnVal = " Pi ( value is 0) ";
    else turnVal = " Pj (value is 1) ";
                 cout << " turn = " << turnVal << endl;
    if(ran == 0) // print the equivalent process critical status
            { if (count == 1)
    {Beep(1568, 300); //cout << '\a';// window beep
            count = 0;}
    cout << "\n =========\n":
    cout << " \n Process Pi is in its Critical Section (CS).\n";
    cout << "\n ========\n" :
            bount = 1;}
    else \{ if(bount == 1) \}
    Beep(1275, 400); //cout << '\a';// window beep
    bount = 0:}
            cout << "\n ========\n":
            cout << " \n Process Pj is in its Critical Section (CS).\n";
    cout << "\n ========\n" :
    count = 1:
    flag[ran] = false; // clear the flag status for next process
    delay();// call 2 ms delay
    }while(true);
            system("PAUSE");
    Operating System Concepts 9th Edition
                                                                           5.58
```





# **End of Chapter 5**

