CSE 3221.3
Operating System Fundamentals

No.6

# Process Synchronization(2)

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## Semaphores

- Problems with the software solutions.
  - Complicated programming, not flexible to use.
  - Not easy to generalize to more complex synchronization problems.
- *Semaphore* (a.k.a. *lock*): an easy-to-use synchronization tool
  - An integer variable *S*
  - *wait(S)* {
    while (*S*<=0) ;
    *S*-- ;
    }
  - *signal(S)* {
    *S*++ ;
    }

## Semaphore usage (1): the n-process critical-section problem

- The n processes share a semaphore,
  Semaphore *mutex ;* *// mutex* is initialized to 1.

Process $P_i$

```
do {
    wait(mutex);
        critical section of Pi
    signal(mutex);
        remainder section of Pi
} while (1);
```

## Semaphore usage (2): as a General Synchronization Tool

- Execute *B* in $P_j$ only after *A* executed in $P_i$
- Use semaphore *flag* initialized to 0

| $P_i$ | $P_j$ |
|---|---|
| …<br>A<br>*signal* (flag) ;<br>… | …<br>*wait* (flag) ;<br>B<br>… |

## Spinlock vs. Sleeping Lock

- Previous definition of semaphore requires busy waiting.
  - It is called *spinlock.*
  - *spinlock* does not need context switch, but waste CPU cycles in a continuous loop.
  - *spinlock* is OK only for lock waiting is very short.
- Semaphore without busy-waiting, called *sleeping lock*:
  - In defining *wait()*, rather than busy-waiting, the process makes system calls to block itself and switch back to waiting state, and put the process to a waiting queue associated with the semaphore. The control is transferred to CPU scheduler.
  - In defining *signal()*, the process makes system calls to pick a process in the waiting queue of the semaphore, wake it up by moving it to the ready queue to wait for CPU scheduling.
  - Sleeping Lock is good only for long waiting.

## Spinlock Implementation(1)

- In uni-processor machine, disabling interrupt before modifying semaphore.

```
wait(S) {
  do {
    if(S>0) {
      S-- ;

      return ;
    }
  } while(1) ;
}
```

```
signal(S) {

  S++ ;

  return ;
}
```

## Spinlock Implementation(1)

- In uni-processor machine, disabling interrupt before modifying semaphore.

```
wait(S) {

  do {
     Disable_Interrupt;
     if(S>0) {
        S-- ;
       Enable_Interrupt ;
       return ;
     }
     Enable_Interrupt ;
  }  while(1) ;
}
```

```
signal(S) {

   Disable_Interrupt ;
   S++ ;
   Enable_Interrupt ;
   return ;

}
```

## Spinlock Implementation(2)

- In multi-processor machine, inhibiting interrupt of all processors is not easy and efficient.
- Use software solution to critical-section problems
  - e.g., bakery algorithm.
  - Treat *wait()* and *signal()* as critical sections.
- Or use hardware support if available:
  - *TestAndSet()* or *Swap()*

- Example: implement spinlock among two processes.
  - Use Peterson's algorithm for protection.
  - Shared data:

Semaphore ***S*** **;** Initially ***S*=1**

*boolean flag[2];* initially *flag [0] = flag [1] = false.*
*int turn*; initially *turn = 0* or *1*.

## Spinlock Implementation(3)

```
wait(S) {
   int i=process_ID(); //0→P0, 1→P1
   int j=(i+1)%2 ;
 do {
   flag [ i ]:= true; //request to enter
   turn = j;
   while (flag [ j ] and turn = j) ;
   if (S >0) {  //critical section
        S--;
      flag [ i ] = false;
      return ;
    } else {
     flag [ i ] = false;
    }
  } while (1);
}
```

```
signal(S) {
    int i=process_ID(); //0→P0, 1→P1
    int j=(i+1)%2 ;

  flag [ i ]:= true; //request to enter
  turn = j;
  while (flag [ j ] and turn = j) ;

   S++; //critical section

   flag [ i ] = false;

   return ;
}
```

## Spinlock Implementation(2)

- In multi-processor machine, inhibiting interrupt of all processors is not easy and efficient.
- Use software solution to critical-section problems
  - e.g., bakery algorithm.
  - Treat *wait()* and *signal()* as critical sections.
- Or use hardware support if available:
  - *TestAndSet()* or *Swap()*

- Example: implement spinlock between N processes.
  - Use Bakery algorithm for protection.
  - Shared data:

Semaphore ***S*** **;** Initially ***S*=1**

*boolean choosing[N];* (Initially *false)*
*int number[N];* (Initially *0* )

## Spinlock Implementation(3)

```
wait(S) {
   int i=process_ID();

    choosing[ i ] = true;
    number[ i ] = max(number[0], number[1],
    …, number [N – 1])+1;
    choosing[ i ] = false;
    for (j = 0; j < N; j++) {
       while (choosing[ j ]) ;
       while ((number[ j ] != 0) &&
                 (number[ j ],j)< (number[ i ],i)) ;
    }
  if (S >0) {  //critical section
     S--;
    number[i] = 0;
    return ;
   }
  number[i] = 0;
 } while (1);
}
```

```
signal(S) {
    int i=process_ID();

   choosing[ i ] = true;
   number[ i ] = max(number[0], number[1],
     …, number [N – 1])+1;
   choosing[ i ] = false;
   for (j = 0; j < N; j++) {
        while (choosing[ j ]) ;
        while ((number[ j ] != 0) &&
                  (number[ j ],j)< (number[ i ],i)) ;
    }

    S++; //critical section

   number[i] = 0;

   return ;
}
```

## Sleeping Lock (I)

- Define a sleeping lock as a structure:

```
typedef struct {
   int value;   // Initialized to 1
   struct process *L;
} semaphore;
```

- Assume two system calls:
  - *block()* suspends the process that invokes it.
  - *wakeup(P)* resumes the execution of a blocked process P.

- Equally applicable to multiple threads in one process.

## Sleeping Lock (II)

- Semaphore operations now defined as:

*wait*(*S*):

```
    S.value--;
    if (S.value < 0) {
        add this process to S.L;
        block();
    }
```

*signal*(*S*):

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

## Two Types of Semaphores: Binary vs. Counting

- *Binary* semaphore (a.k.a. mutex lock) – integer value can range only between 0 and 1; simpler to implement by hardware.
- *Counting* semaphore – integer value can range over an unrestricted domain.
- We can implement a counting semaphore *S* by using two binary semaphore.
- Binary semaphore is normally used as mutex lock.
- Counting semaphore can be used as shared counter, load controller, etc…

## Classical Synchronization Problems

- The Bounded-Buffer P-C Problem
- The Readers-Writers Problem
- The Dining-Philosophers Problem

## Bounded-Buffer P-C Problem

- A producer produces some data for a consumer to consume. They share a bounded-buffer for data transferring.
- Shared memory:
  A buffer to hold at most *n* items
- Shared data (three semaphores)

*Semaphore filled, empty; /*counting*/*
*Semaphore mutex*; /* binary */

**Initially:**

*filled = 0, empty = n, mutex = 1*

## Bounded-Buffer Problem: Producer Process

```
do {
        …
        produce an item in nextp
        …
        wait(empty);
        wait(mutex);
        …
        add nextp to buffer
        …
        signal(mutex);
        signal(filled);

} while (1);
```

## Bounded-Buffer Problem: Consumer Process

```
do {
        wait(filled)
        wait(mutex);
          …
        remove an item from buffer to nextc
          …
        signal(mutex);
        signal(empty);
          …
        consume the item in nextc
          …
} while (1);
```

# The Readers-Writers Problem

- Many processes concurrently access a data object
  - Readers: only read the data.
  - Writers: update and may write the data object.
- Only writer needs exclusive access of the data.
- The first readers-writers problem:
  - Unless a writer has already obtained permission to use the shared data, readers are always allowed to access data.
  - May starve a writer.
- The second readers-writer problem:
  - Once a writer is ready, the writer performs its write as soon as possible.
  - May starve a reader.

# The 1st Readers-Writers Problem

- Use semaphore to implement 1st readers-writer problem
- Shared data:

*int readcount = 0* ;  // keep track the number of readers
// accessing the data object

Semaphore *mutex = 1 ;* // mutually exclusive access to
// *readcount* among readers

Semaphore *wrt = 1 ;* // mutual exclusion to the data object
// used by every writer
//also set by the 1st reader to read the data
// and clear by the last reader to finish reading

# The 1st Readers-Writers Problem

**Writer Process**

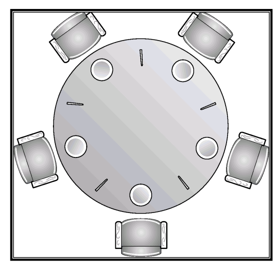
```
…
wait(wrt);
…
writing is performed
…
signal(wrt);
…
```

**Reader Process**

```
…
wait(mutex);
readcount++;
if (readcount == 1)   wait(wrt);
signal(mutex);
  …
reading is performed
…
wait(mutex);
readcount--;
if (readcount == 0)   signal(wrt);
signal(mutex);
…
```

# The Dining-Philosophers Problem

- Five philosophers are thinking or eating
- Using only five chopsticks
- When thinking, no need for chopsticks.
- When eating, need two closest chopsticks.
- Can pick up only one chopsticks
- Can not get the one already in the hand of a neighbor.



# The Dining-Philosophers Problem: Semaphore Solution

- Represent each chopstick with a semaphore

Semaphore *chopstick[5]*; // Initialized to *1*

**Philosopher i (i=0,1,2,3,4)**

```
do {
   wait(chopstick[i]) ;
   wait(chopstick[(i+1) % 5]) ;
    …
    eat
    …
   signal(chopstick[i]);
   signal(chopstick[(i+1) % 5]);
    …
    think
    …
} while (1);
```

# Incorrect Semaphore Usage

**Mistake 1:**

```
…
signal(mutex) ;
…
Critical Section
…
wait(mutex) ;
```

**Mistake 2:**

```
…
wait(mutex) ;
…
Critical Section
…
wait(mutex) ;
```

**Mistake 3:**

```
…
wait(mutex) ;
…
Critical Section
…
```

**Mistake 4:**

```
…
Critical Section
…
signal(mutex) ;
```

## Starvation and Deadlock

- *Starvation* – infinite blocking. A process may never be removed from the semaphore queue in which it is suspended.
- *Deadlock* – two or more processes are waiting infinitely 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*); |

## double_rq_lock() in Linux Kernel

```
double_rq_lock(struct runqueue *rq1,
  struct runqueue *rq2)
{
   if (rq1 == rq2)
      spinlock(&rq1->lock);
   else {
         if (rq1 < rq2) {
           spin_lock(&rq1->lock);
           spin_lock(&rq2->lock);
         } else {
           spin_lock(&rq2->lock);
           spin_lock(&rq1->lock);
          }
    }
}
```

## Why not?

```
double_rq_lock(struct runqueue *rq1,
  struct runqueue *rq2)
{
    spin_lock(&rq1->lock);
    spin_lock(&rq2->lock);
}

struct runqueue *RdQ, *DevQ1, *DevQ2, …
```

| P1 | P2 |
|---|---|
| … | … |
| double_rq_lock(RdQ,DevQ1); | double_rq_lock(DevQ1,RdQ); |
| … | … |

## double_rq_unlock() in Linux Kernel

```
double_rq_unlock(struct runqueue *rq1,
  struct runqueue *rq2)
{
   spin_unlock(&rq1->lock);
     if (rq1 != rq2)
          spin_unlock(&rq2->lock);
}
```

## Pthread Semaphore

- Pthread semaphores for multi-threaded programming in Unix/Linux:
  - Pthread Mutex Lock
    (binary semaphore)
  - Pthread Semaphore
    (general counting semaphore)

## Pthread Mutex Lock

```
#include <pthread.h>
/*declare a mutex variable*/
pthread_mutex_t  mutex ;

/* create a mutex lock */
pthread_mutex_init (&mutex, NULL) ;

/* acquire the mutex lock  */
pthread_mutex_lock(&mutex) ;

/* release the mutex lock  */
pthread_mutex_unlock(&mutex) ;
```

## Using Pthread Mutex Locks

- Use mutex locks to solve critical section problems:

```
#include <pthread.h>
pthread_mutex_t  mutex ;
…
pthread_mutex_init(&mutex, NULL) ;
…
pthread_mutex_lock(&mutex) ;

/*** critical section ***/

pthread_mutex_unlock(&mutex) ;
```

## Pthread Semaphores

```
#include <semaphore.h>
/*declare a pthread semaphore*/
sem_t sem ;

/* create and initialize a semaphore */
sem_init (&sem, flag, initial_value) ;

/* wait() operation  */
sem_wait(&sem) ;

/* signal() operation  */
sem_post(&sem) ;
```

## Using Pthread semaphore

- Using Pthread semaphores for counters shared by multiple threads:

```
#include <semaphore.h>
sem_t  counter ;
…
sem_init(&counter, 0, 0) ;  /* initially 0 */
…
sem_post(&counter) ;    /* increment */
…
sem_wait(&counter) ;    /* decrement */
```

## *volatile* in multithread program

- In multithread programming, a shared global variable must be declared as volatile to avoid compiler's optimization which may cause conflicts:

```
volatile int data ;

volatile char buffer[100] ;
```

## Process Synchronization for multiple processes in Unix

- In Unix, a shared global variable must be created with the following systems calls:

```
#include <sys/shm.h>

int shmget(key_t key, size_t size, int shmflg);

void *shmat(int shmid, const void *shmaddr, int shmflg);

int shmdt(const void *shmaddr);

int shmctl(int shmid, int cmd, struct shmid_ds *buf);
```

## *nanosleep()*

```
#include <time.h>

int nanosleep(const struct timespec *req,
              struct timespec *rem);

struct timespec
{
 time_t tv_sec; /* seconds */
 long tv_nsec; /* nanoseconds 0-999,999,999 */
};
```