EECS 3221.3

Operating System Fundamentals

No.6

Process Synchronization(2)

Prof. Hui Jiang

Dept of Electrical Engineering and Computer Science, York University

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

```
…
A
signal (flag) ;
…
```

P_j

```
…
wait (flag) ;
B
…
```

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 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)

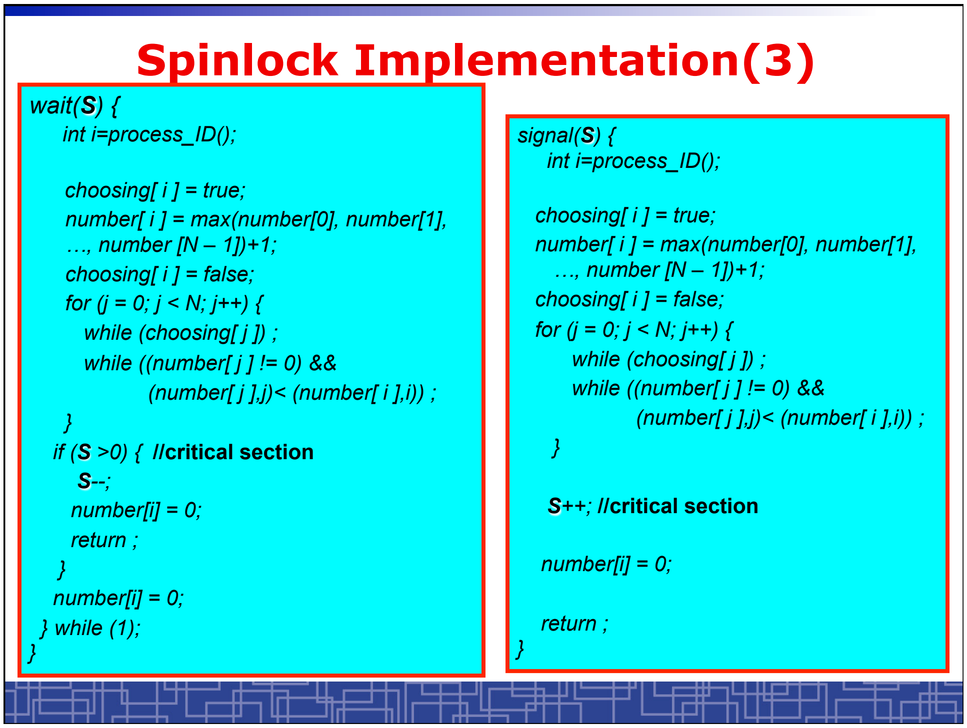
- **In multi-processor machine, inhibiting interrupt of all processors is neither easy nor efficient.**
- **Use software solution to critical-section problems**
  - **e.g., bakery algorithm.**
  - **Treat *wait()* and *signal()* as critical sections.**
- **Or use hardware support if available:**
  - *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);
}
```

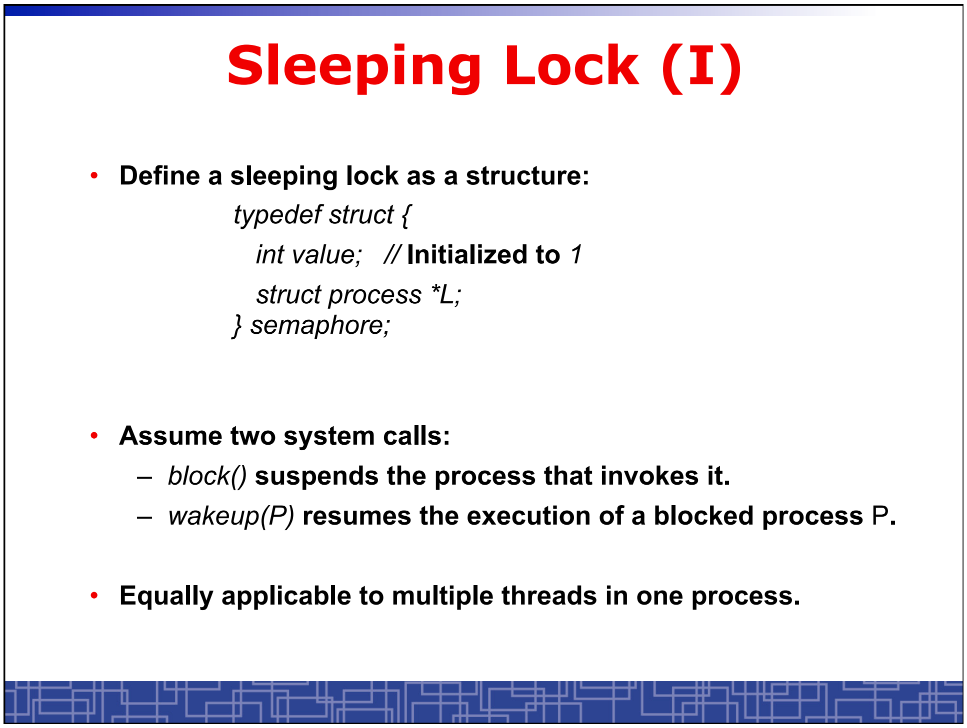
```
signal(S) {
    int i=process_ID();

   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)

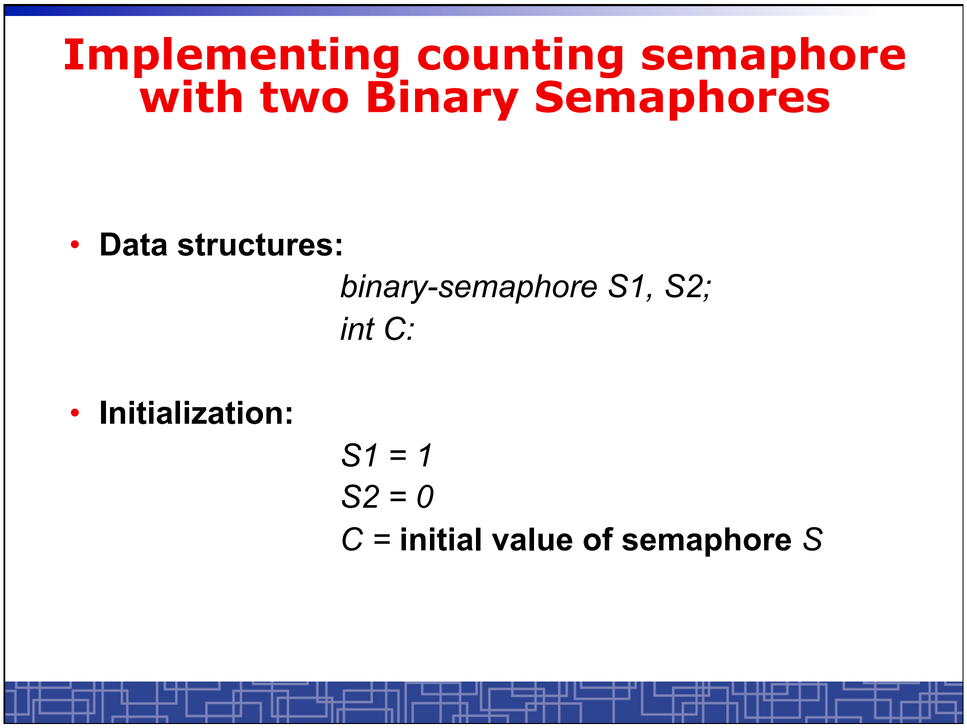
- Semaphore operations now defined as:

```
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…**



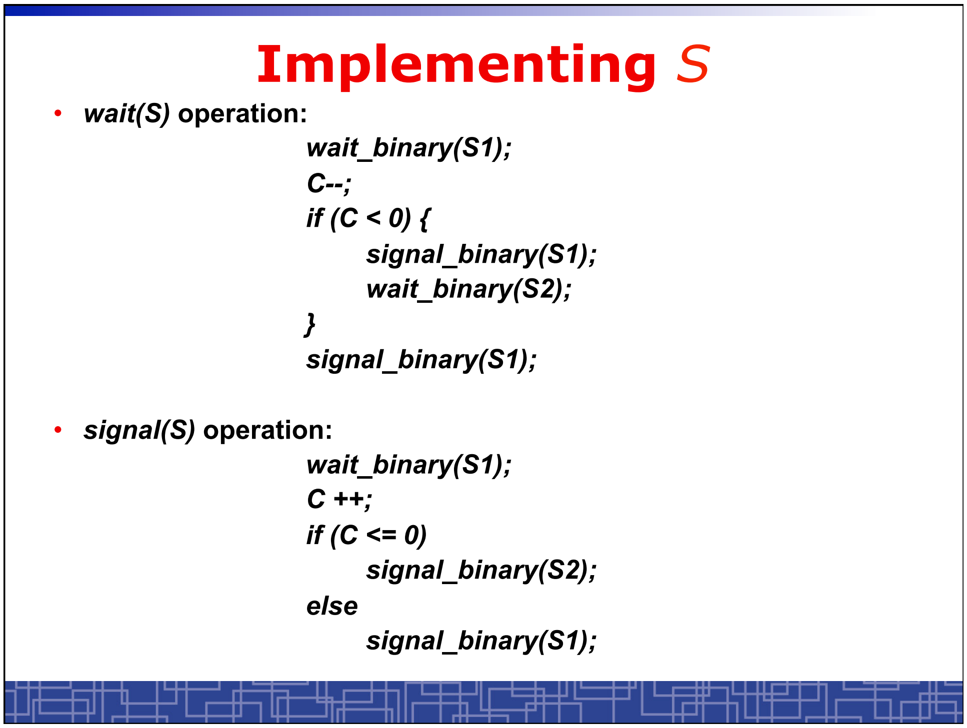
Implementing counting semaphore with two Binary Semaphores

- **Data structures:**

  binary-semaphore S1, S2;
  int C:

- **Initialization:**

  S1 = 1
  S2 = 0
  C = **initial value of semaphore** *S*



Implementing *S*

- ***wait(S)*** **operation:**

```
wait_binary(S1);
C--;
if (C < 0) {
        signal_binary(S1);
        wait_binary(S2);
}
signal_binary(S1);
```

- ***signal(S)*** **operation:**

```
wait_binary(S1);
C ++;
if (C <= 0)
        signal_binary(S2);
else
        signal_binary(S1);
```

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

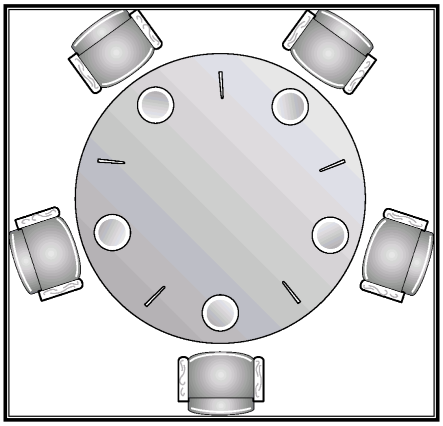
```
 …
wait(wrt);
 …
writing is performed
 …
signal(wrt);
…
```

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 */
};
```