CS370 Operating Systems

Colorado State University

Yashwant K Malaiya

Spring 2022 L11

Synchronization

Slides based on

- Text by Silberschatz, Galvin, Gagne
- Various sources

FAQ

- What are the shared "resources"? Memory, shared variables, ..
- Two processes do not share any resources, do they need critical sections? No
- What does a process do in a critical section? Access a shared resource.
- It is unlikely that two processes will try to access a resources at the same time. Do they need a critical section? Probably not.
- I want to know more about queuing theory. Videos and on-line books.

FAQ

- Peterson's solution
  - Two processes, i and j, may want to enter their critical sections around the same time.
  - Why does Pi do this:

```
turn = j;
```

  - You can go ahead if you want to (if not, I will go ahead)

```
while (flag[j] && turn == j);  /*Wait*/
```

- Synchronization examples:
  - remember multiple processes are *interacting*, even though code for just one is usually given.

Synchronization: Hardware Support

- Most modern processors provide hardware support (*ISA*) for implementing the critical section code. FAQ
- All solutions below based on idea of **locking**
  - Protecting critical regions via locks
- Modern machines provide special atomic hardware instructions
    - **Atomic** = non-interruptible
  - test memory word and set value
  - swap contents of two memory words
  - others

Solution 1: 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);
```

To break out:
Return value of TestAndSet should be FALSE

test_and_set(&lock) returns the lock value and then sets it to True .

Lock TRUE: locked,   Lock FALSE: not locked.
If two TestAndSet() are attempted *simultaneously*, they will be executed *sequentially* in some arbitrary order

Using Swap (concurrently executed by both)

```
do {
      key = TRUE;
      while (key == TRUE) {
         Swap(&lock, &key)
         }

      critical section

      lock = FALSE;

      remainder section
} while (TRUE);
```

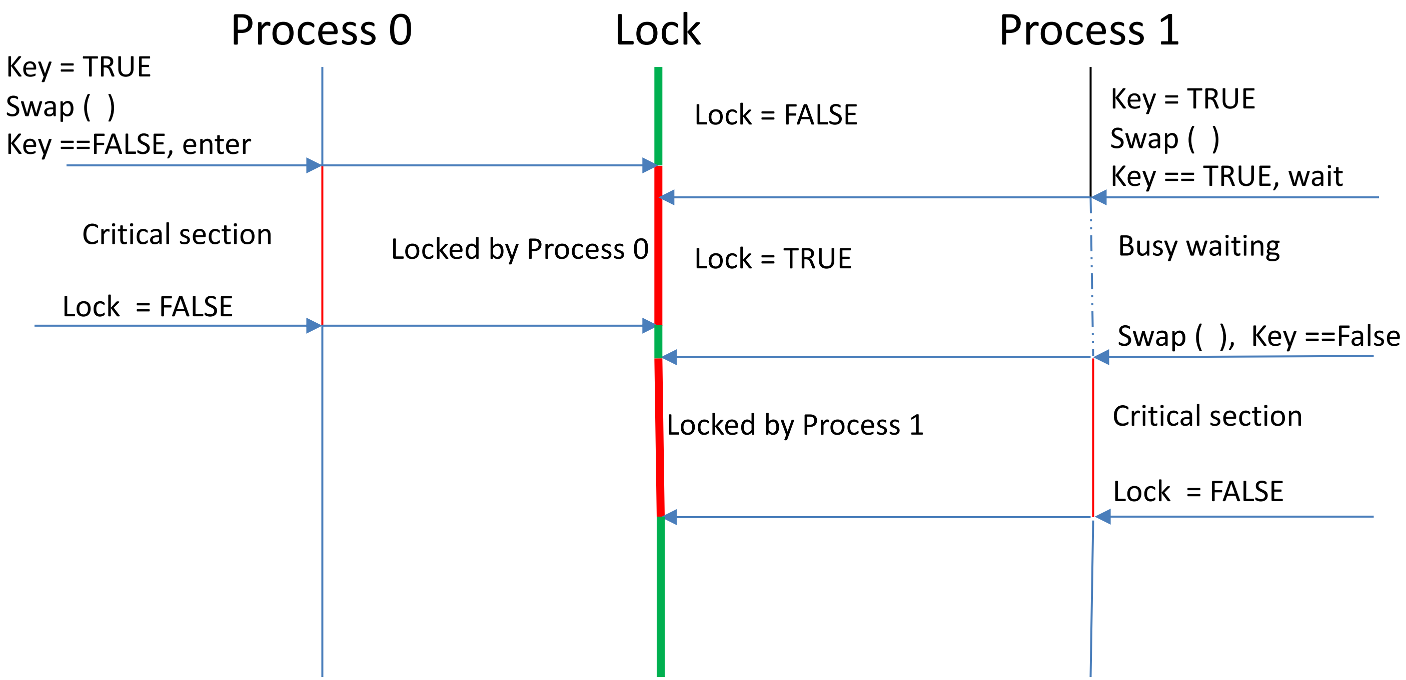
Lock is a SHARED variable.
Key is a variable local to the process.

Lock == false when no process is in critical section.

Cannot enter critical section UNLESS lock == FALSE *by other process or initially*

If two Swap() are executed simultaneously, they will be executed sequentially in some arbitrary order

Swap()



Note: I created this to visualize the mechanism. It is not in the book. - Yashwant

Bounded-waiting Mutual Exclusion with test_and_set

For process i:

```
do {
   waiting[i] = true;
   key = true;
   while (waiting[i] && key)
      key = test_and_set(&lock);
   waiting[i] = false;
   /* critical section */
   j = (i + 1) % n;
   while ((j != i) && !waiting[j])
      j = (j + 1) % n;
   if (j == i)
      lock = false;
   else
      waiting[j] = false;
   /* remainder section */
} while (true);
```

Shared Data structures initialized to FALSE

- `boolean waiting[n];` Pr n wants to enter
- `boolean lock;`

The entry section for process i :

- First process to execute TestAndSet will find key == false ; ENTER critical section,
- EVERYONE else must wait

The exit section for process i:

Attempts to finding a suitable waiting process j (while loop) and enable it,

or if there is no suitable process, make lock FALSE.

Bounded-waiting Mutual Exclusion with test_and_set

The previous algorithm satisfies the three requirements

- **Mutual Exclusion**: The first process to execute TestAndSet(lock) when lock is false, will set lock to true so no other process can enter the CS.
- **Progress**: When a process i exits the CS, it either sets lock to false, or waiting[i] to false (allowing j to get in) , allowing the next process to proceed.
- **Bounded Waiting**: When a process exits the CS, it examines all the other processes in the waiting array in a circular order. Any process waiting for CS will have to wait at most n-1 turns

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**

Colorado State University

acquire() and release()

`acquire() { while (!available) ; /* busy wait */`	`release() { available = true; }`

```
acquire() {
        while (!available)
          ; /* busy wait */
```

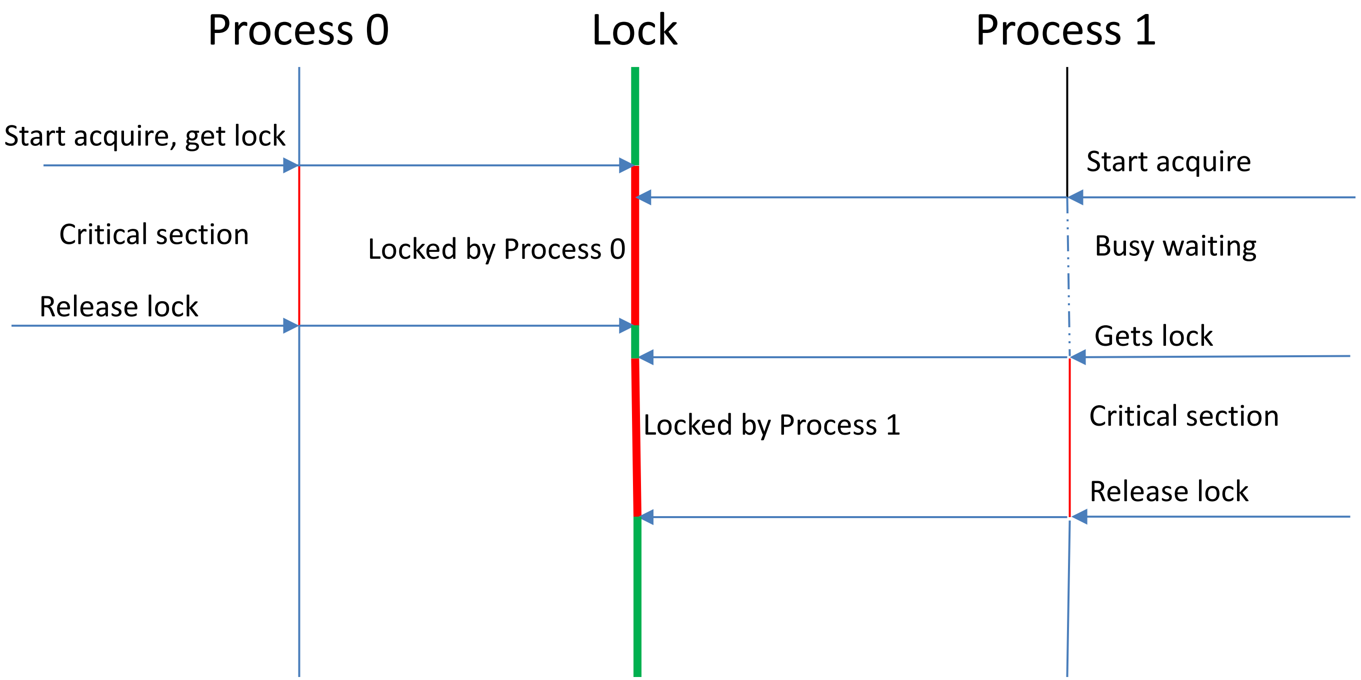
```
release() {
        available = true;
    }
```

- **Usage**

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

Colorado State University

acquire() and release()



Colorado State University

How are locks supported by hardware?

- Atomic read-modify-write
- Atomic instructions in x86
  - LOCK instruction prefix, which applies to an instruction does a read-modify-write on memory (INC, XCHG, CMPXCHG etc)
  - Ex: lock cmpxchg <dest>, <source>
- In RISK processors? Instruction-pairs
  - LL (Load Linked Word), SC (Store Conditional Word) instructions in MIPS
  - LDREX, STREX in ARM
  - Creates an atomic sequence

Semaphores by Dijkstra

- 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()` **based on Dutch words**
- Definition of the `wait()` **operation**

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

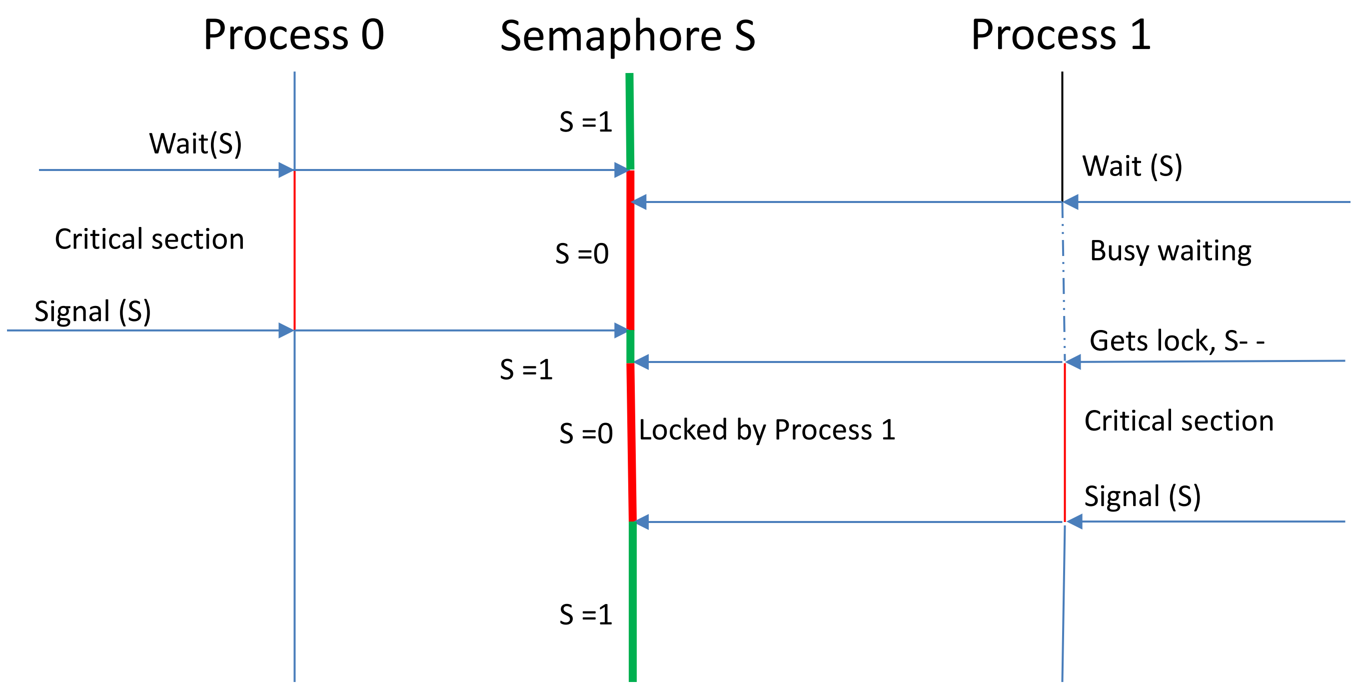
Waits until another process makes S=1

- Definition of the `signal()` **operation**

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

Binary semaphore: When s is 0 or 1, it is a mutex lock

Wait(S) and Signal (S)



Semaphores

I was hoping the distance learning service might use more up-to-date technology

Semaphore Usage

- **Counting semaphore** – integer value can range over an unrestricted domain
- **Binary semaphore** – integer value can range only between 0 and 1
  - Practically same as a **mutex lock**
- Can solve various synchronization problems
- Ex: Consider P_1 and P_2 that requires event S_1 to happen before S_2

  Create a semaphore "**`synch`**" initialized to 0 i.e not available

P1: S_1; **signal(synch);**	**P2:** **wait(synch);** S_2;

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

The counting semaphore

- **Controls access to a finite set of resources**
- Initialized to the number of resources
- Usage:
  - Wait (S): to use a resource
  - Signal (S): to release a resource
- When all resources are being used: S == 0
  - Block until S > 0 to use the resource

Colorado State University

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
- Alternative: block and wakeup (next slide)

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;
  ```

Colorado State University
  ```

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);
    }
}
```

If value < 0
abs(value) is the number
of waiting processes

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

Colorado State University

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);`

  - P0 executes wait(s), P1 executes wait(Q)
  - P0 must wait till P1 executes signal(Q)
  - P1 must wait till P0 executes signal(S) Deadlock!

Colorado State University

Priority Inversion

- **Priority Inversion** – Scheduling problem when lower-priority process P_L holds a lock needed by higher-priority process P_H.
  - The low priority task may be preempted by a medium priority task P_M which does not use the lock, causing P_H to wait because of P_M.

Mars pathfinder
Mission problem 1997

- Solved via **priority-inheritance protocol**
  - Process accessing resource needed by higher priority process Inherits higher priority till it finishes resource use
  - Once done, process reverts to lower priority

Classical Problems of Synchronization

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

Bounded-Buffer Problem

- *n* buffers, each can hold one item
- Binary semaphore (mutex)
  - Provides mutual exclusion for accesses to buffer pool
  - Initialized to 1
- Counting semaphores
  - empty: Number of empty slots available
    - Initialized to n
  - full: Number of filled slots available n
    - Initialized to 0

3 semaphores needed,
1 binary, 2 counting

Bounded-Buffer : Note

- Producer and consumer must be ready before they attempt to enter critical section
- Producer readiness?
  - When a slot is available to add produced item
    - wait(empty)
      - empty is initialized to n
- Consumer readiness?
  - When a producer has added new item to the
    - wait(full)
      - full initialized to 0

empty: Number of empty slots available
wait(empty) wait until at least 1 empty

full: Number of filled slots available
wait(full) wait until at least 1 full

Colorado State University

Bounded Buffer Problem (Cont.)

The structure of the producer process

empty: initialized to n
full: initialized to 0

```
do {
        ...
         /* produce an item in next_produced */
        ...
     wait(empty);               wait till slot available
     wait(mutex);           Allow producer OR consumer to (re)enter critical section
        ...
        /* add next produced to the buffer */
        ...
     signal(mutex);  Allow producer OR consumer to (re)enter critical section
     signal(full);              signal consumer that a slot is available
 } while (true);
```

Colorado State University

Bounded Buffer Problem (Cont.)

The structure of the consumer process

empty: initialized to n
full: initialized to 0

```
Do {
    wait(full);  wait till slot available for consumption
    wait(mutex);  Only producer OR consumer can be in critical section
        ...
    /* remove an item from buffer to next_consumed */
        ...
    signal(mutex);  Allow producer OR consumer to (re)enter critical section
    signal(empty);  signal producer that a slot is available to add
        ...
    /* 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. No readers permitted when writer is accessing the data.
- Several variations of how readers and writers are considered – all involve some form of priorities

Readers-Writers Problem

- Shared Data
  - Data set
  - Semaphore **`rw_mutex`** initialized to 1 (mutual exclusion for writer)
  - Semaphore **`mutex`** initialized to 1 (mutual exclusion for read_count)
  - Integer **`read_count`** initialized to 0 (how many readers?)

Readers-Writers Problem (Cont.)

- The structure of a writer process

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

Colorado State University

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);
```

mutex for mutual exclusion to read_count

Cannot read if writer is writing

When:
writer in critical section
and if n readers waiting
1 is queued on rw_mutex
(n-1) queued on mutex

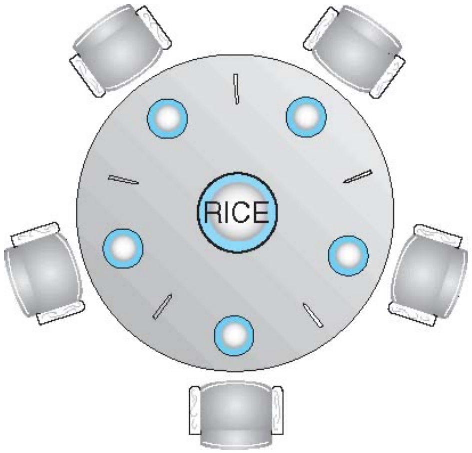
First reader needs to wait for the writer to finish.
If other readers are already reading, a new reader
Process just goes in.

Readers-Writers Problem Variations

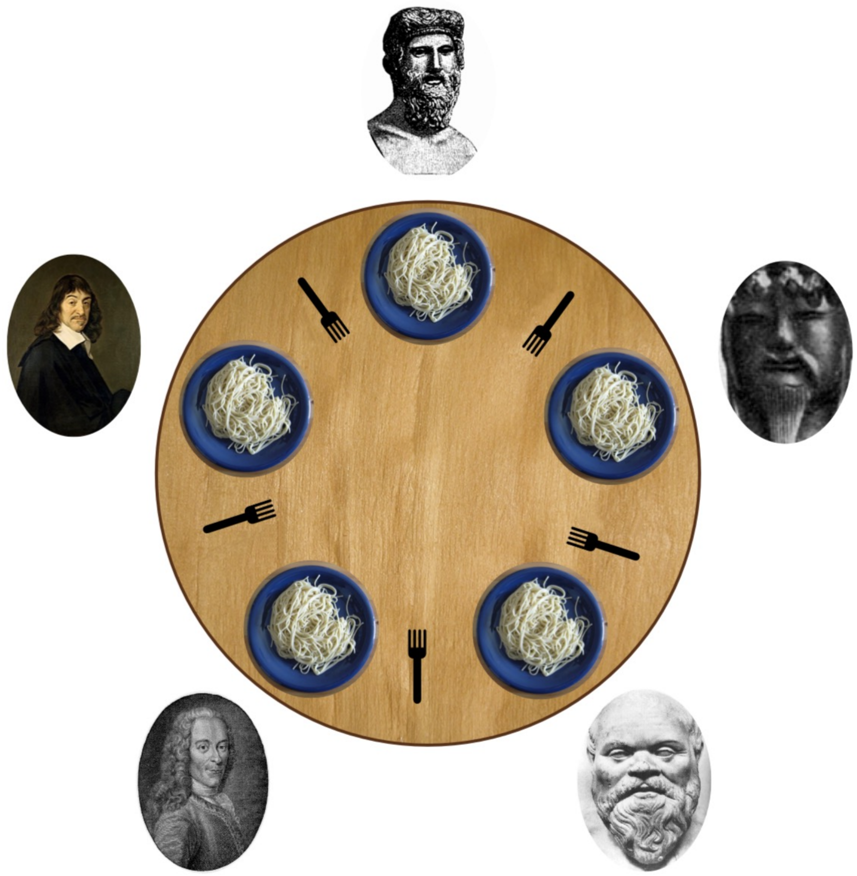
- ***First*** variation – no reader kept waiting unless writer has already obtained permission to use shared object
- ***Second*** variation – once writer is ready, it performs the write ASAP, i.e. if a writer is waiting, no new readers may start.
- Both may have starvation leading to even more variations
- 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
- Each chopstick is a semaphore
  - Grab by executing wait ( )
  - Release by executing signal ( )
- Shared data
    - Bowl of rice (data set)
    - Semaphore chopstick [5] initialized to 1



Dining-Philosophers Problem



Plato, Confucius, Socrates, Voltaire and Descartes

Dining-Philosophers Problem Algorithm: Simple solution?

- 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?
  - If all of them pick up the the left chopstick first - Deadlock

Dining-Philosophers Problem Algorithm (Cont.)

- Deadlock handling
  - Allow at most 4 philosophers to be sitting simultaneously at the table (with the same 5 forks).
  - 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.

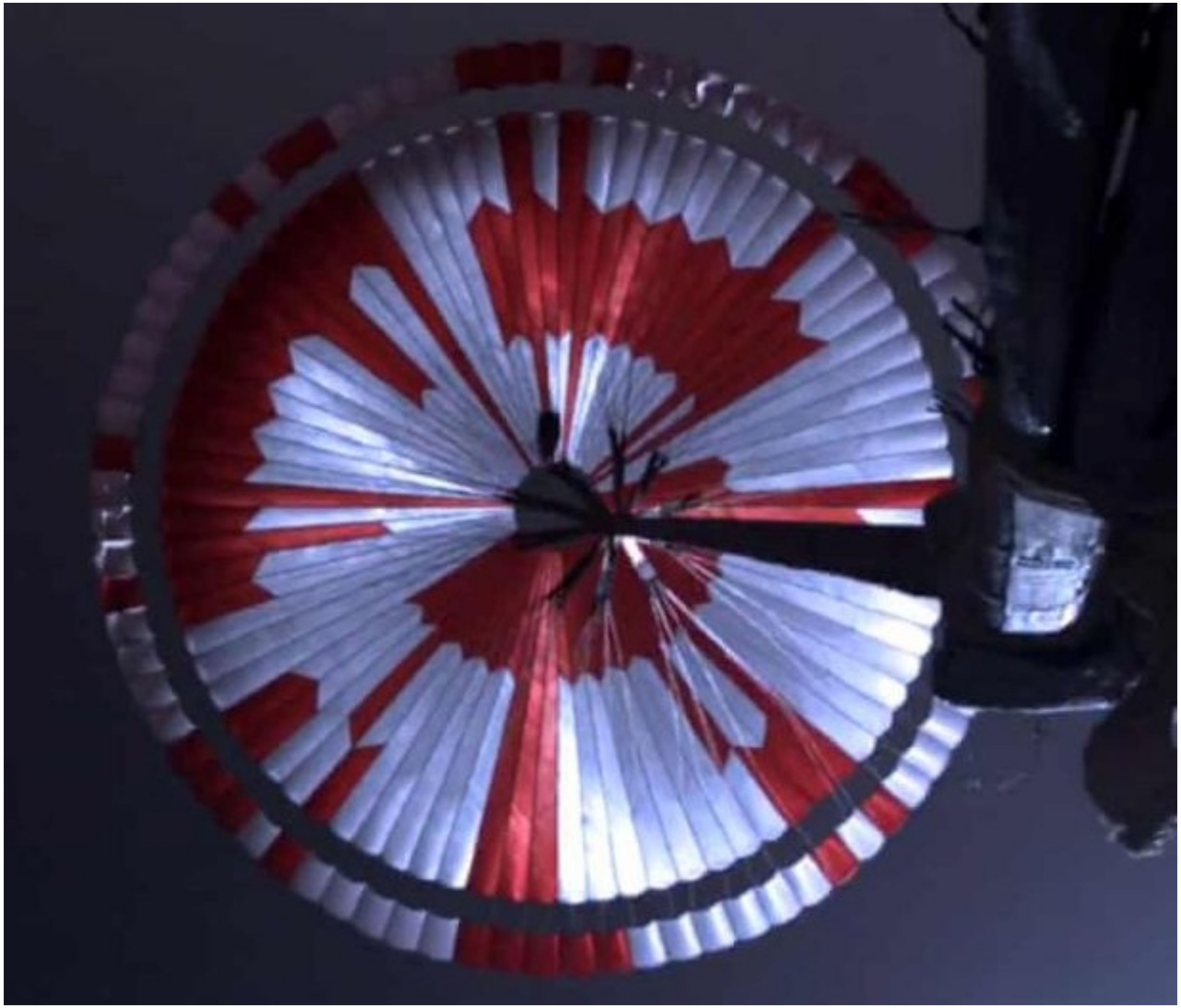
Related classes

- Classes that follow CS370
  - CS455 Distributed Systems Spring
  - CS457 Networks Fall
  - CS470 Computer Architecture Spring
  - CS475 Parallel Programming Fall
  - CS435: Introduction to Big Data Spring

Problems with Semaphores

- Incorrect use of semaphore operations:
  - Omitting of wait (mutex)
    - Violation of mutual exclusion
  - or signal (mutex)
    - Deadlock!
- Solution: Monitors

What does the Mars parachute say?



Research: Search Databases

Specific sources: database indexes

- Google Scholar
  - Forward links: Paper X Cited by
  - Backward Links: Paper X cites
- Researcher sites
  - Personal/Group Website
  - DBLP
  - Google Scholar: researcher
- CSU Library etc.

General (*accessible through CSU Library*)

- ACM Digital Library
- IEEEXplore Digital Library
- ScienceDirect etc

Research: Source types

- Journals: published several times a year
  - Rigorously reviewed, long publication delay
  - Journal, Transactions, …
- Conferences: held once a year, proceedings published
  - Conference, Symposium, …
- Research groups
  - Industry, academic, consultants: web site
- News, Industry publications
  - Magazines, blogs, white papers, product website
- Books: often well-known stuff

Research: How to Read a Paper: THE THREE-PASS APPROACH

- The first pass: Read
  - the title, abstract, and introduction
  - section and sub-section headings, but ignore everything else
  - the conclusions
- The second pass: Read
  - figures, diagrams and other illustrations
  - mark relevant unread references for further reading
  - Do you need to read it in detail?
- The third pass: Read critically
  - identify and challenge assumption and views
  - Loop up references needed

Keshav, S., How to Read a Paper, ACM SIGCOMM, http://ccr.sigcomm.org/online/files/p83-keshavA.pdf

Research: Avoid Prior Bias