# **Chapter 2 (Second Part)**

# Interprocess Communication and Synchronization

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### **Outline**

Race Conditions
Mutual Exclusion and Critical Regions
Mutex Locks
Test-And-Set Instruction
Sleep, Yield, Wakeup
Disabling Interrupts in the Kernel
Classical IPC Problems:

- Producer-Consumer
- Readers-Writers
- Dining Philosophers
- Sleeping Barber

# **Multiple Processes will Cooperate**

### **Assumptions:**

Two or more threads (or processes)

Each executes in (pseudo) parallel
Cannot predict exact running speeds

The threads can interact
Example: Access to a shared variable

### **Example:**

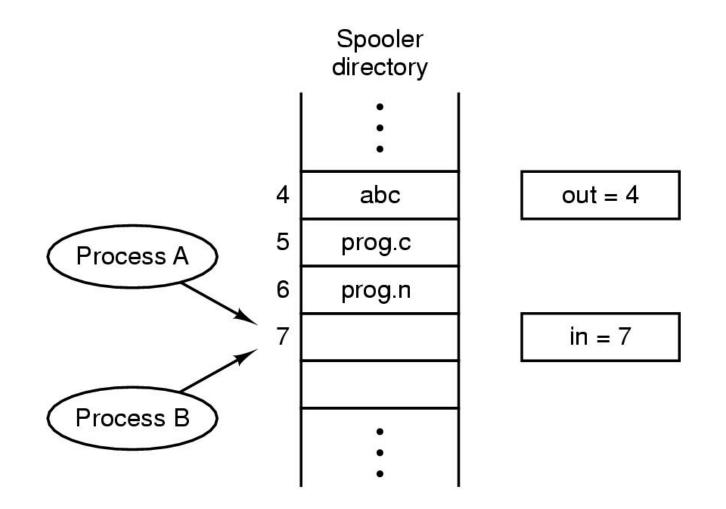
One thread writes a variable The other thread reads from the same variable

### **Problem:**

The order of READs and WRITEs can make a difference!!!

# **Race Condition: An Example**

Incrementing a counter (load, increment, store)
Context switch can occur after load and before increment!



### **Race Conditions**

# Whenever the output depends on the precise execution order of the processes!!!

### Why do race conditions occur?

- values of memory locations replicated in registers during execution
- context switches at arbitrary times during execution
- threads can see "stale" memory values in registers

### What solutions can we apply?

- prevent context switches by preventing interrupts
- make threads coordinate with each other to ensure mutual exclusion in accessing "critical sections" of code

### **Mutual Exclusion**

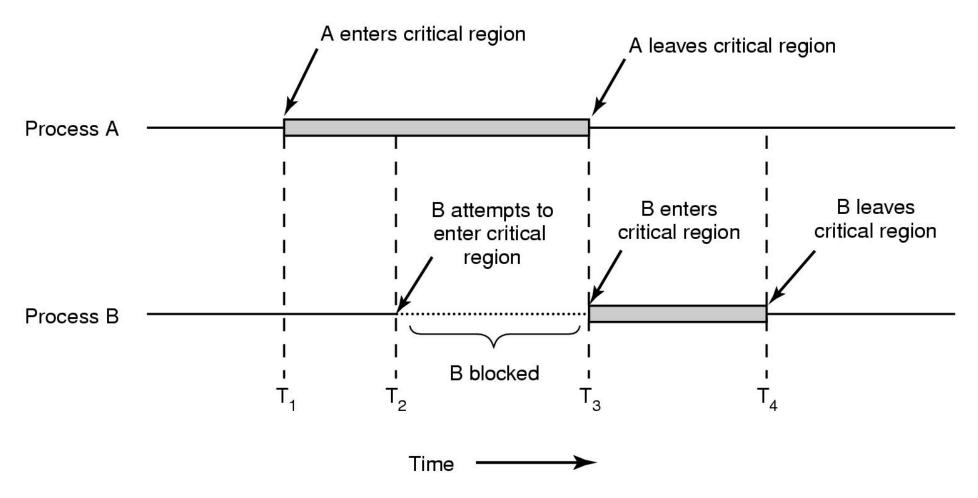
### **Critical Region (Critical Section):**

The part of the code accessing shared data

### **Desired Conditions:**

- (1) No two threads simultaneously in critical region.
- (2) No assumptions made about speeds or numbers of CPUs.
- (3) No thread running outside its critical region may block another thread.
- (4) No thread must wait forever to enter its critical region (no "starvation").

# Critical regions with mutual exclusion



### How can we enforce mutual exclusion?

What about using a binary "lock" variable in memory and having threads check it and set it before entry to critical regions?

Solves the problem of exclusive access to shared data. Expresses intention to enter *Critical Section*Acquiring a lock prevents concurrent access

### **Assumptions:**

Every threads sets lock before accessing shared data! Every threads releases the lock after it is done!

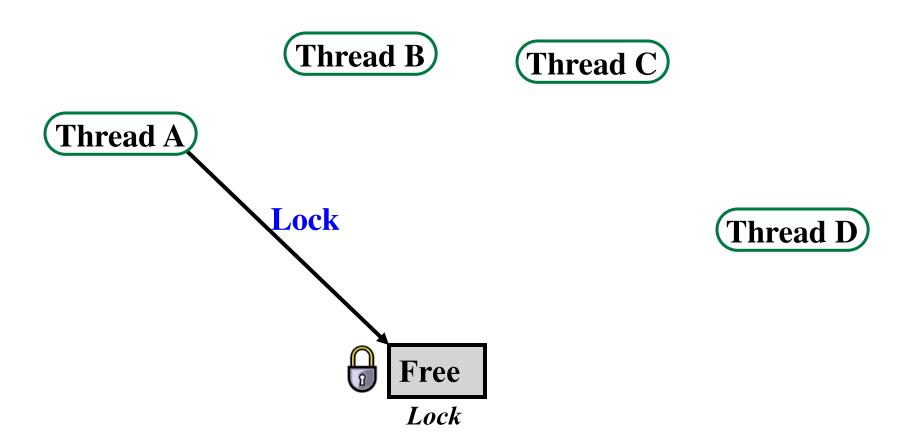
Thread B

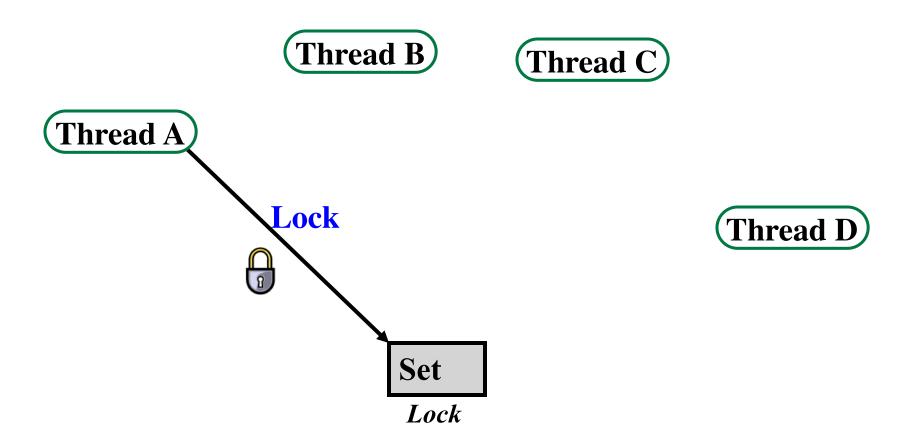
(Thread C)

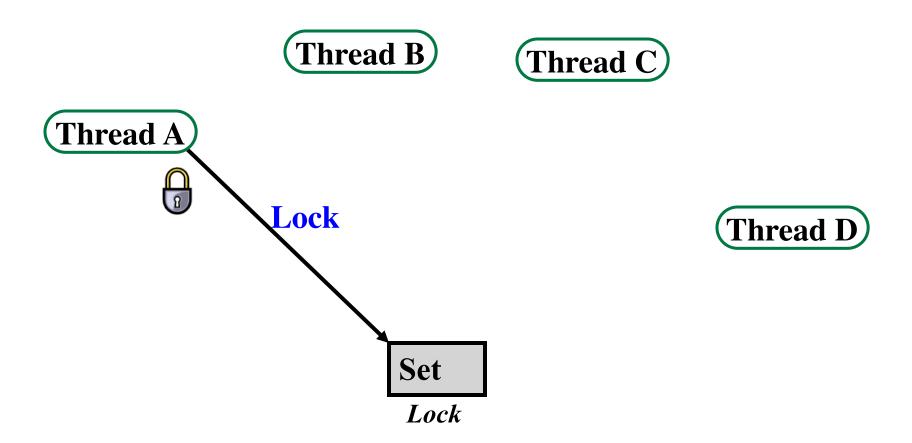
Thread A

Thread D









Thread B

(Thread C)

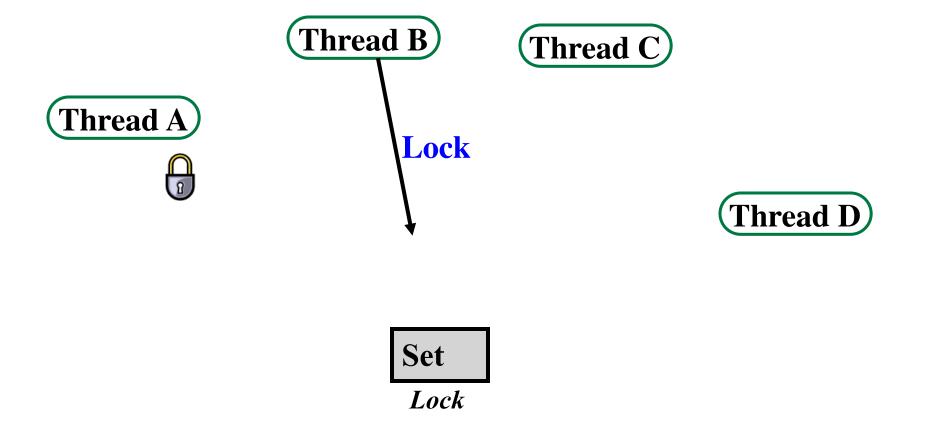
Thread A

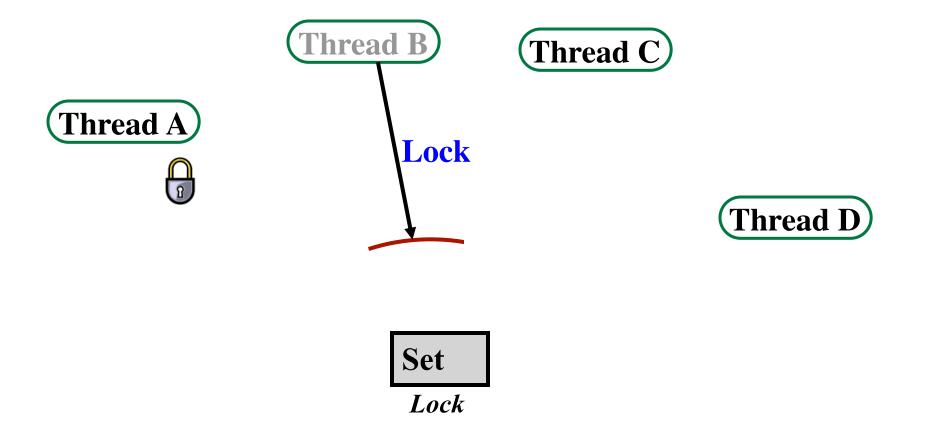


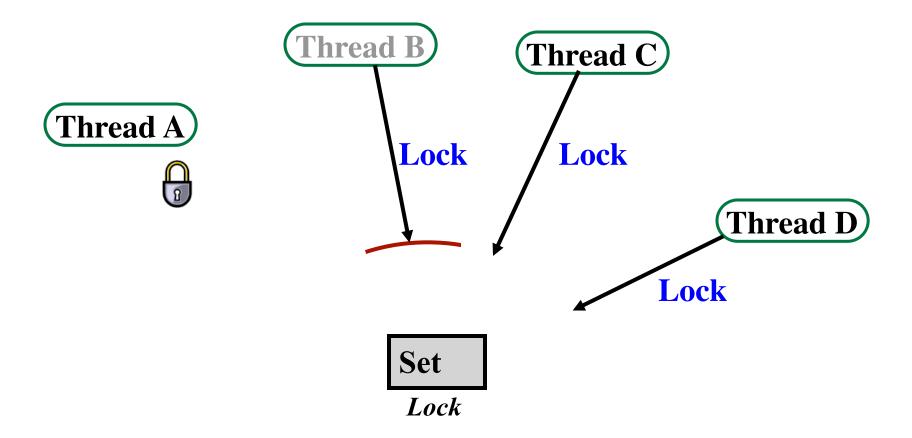
Thread D

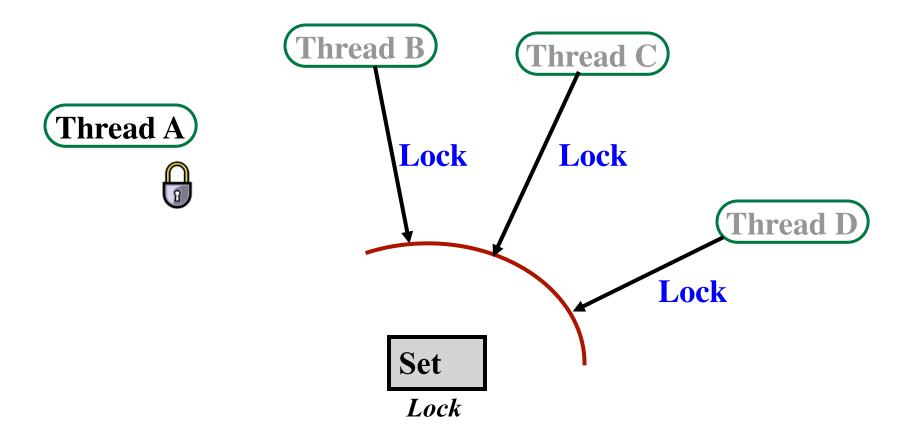
Set

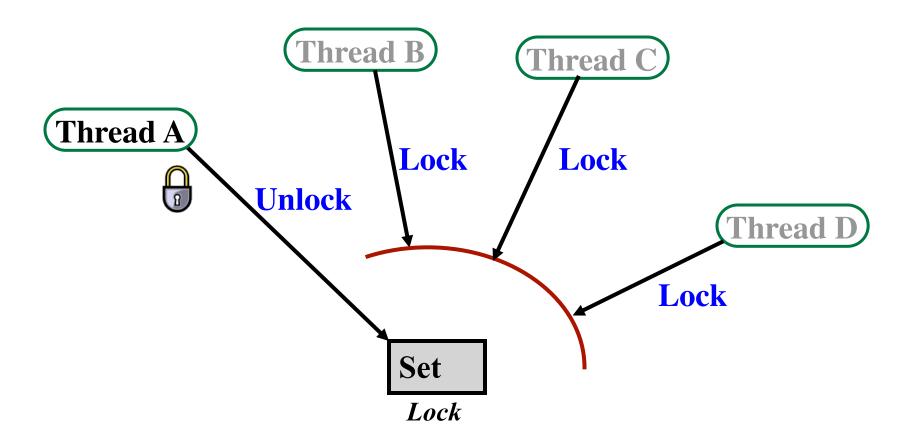
Lock

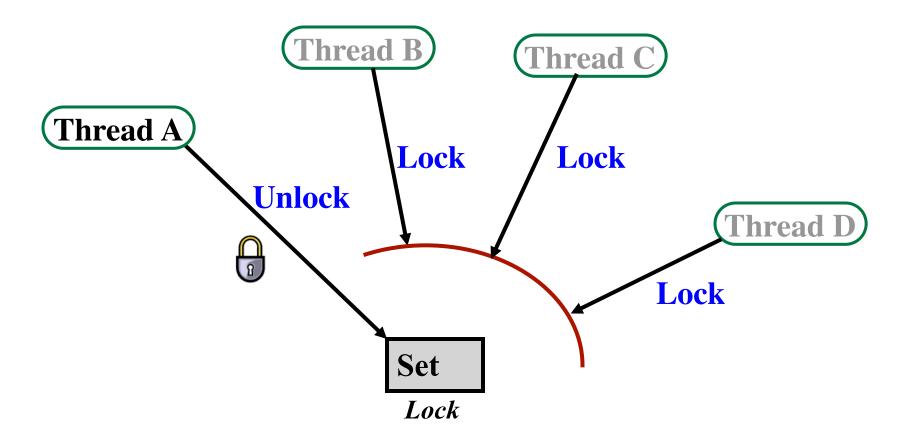


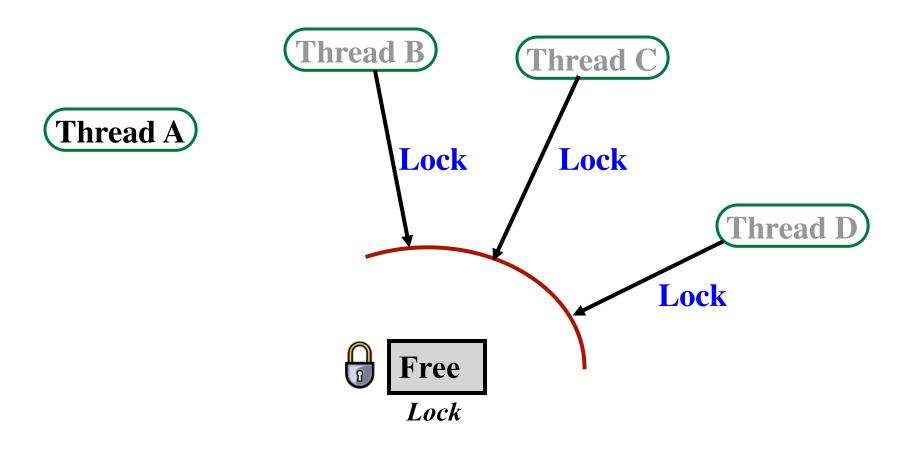


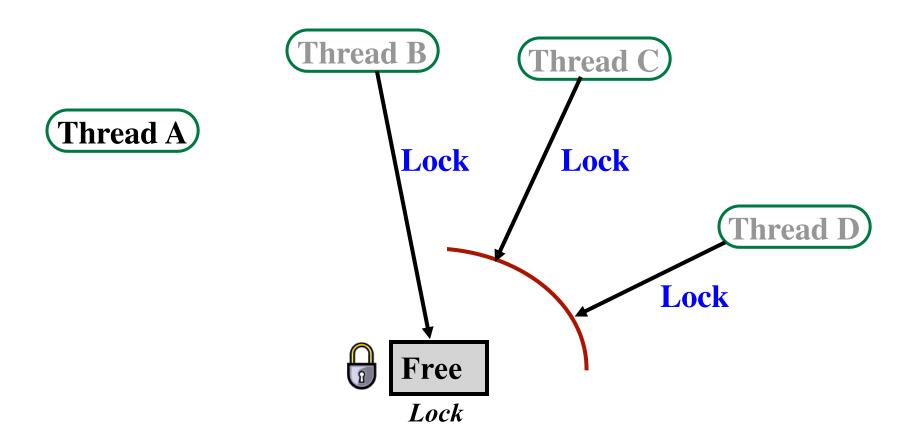


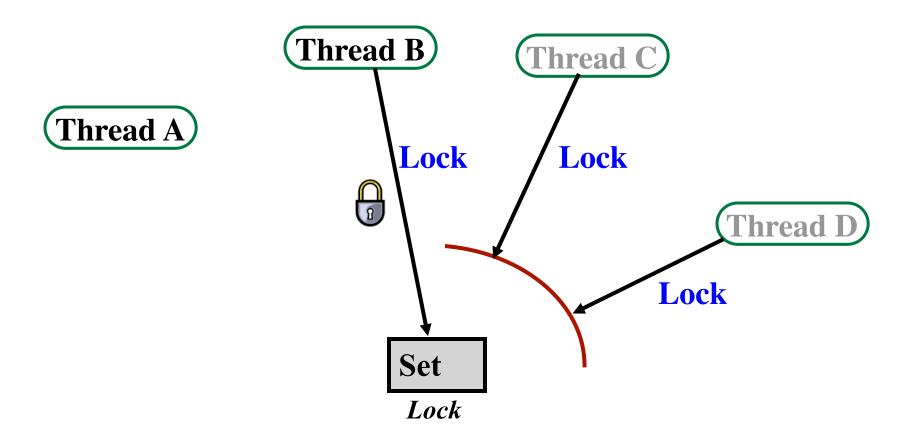


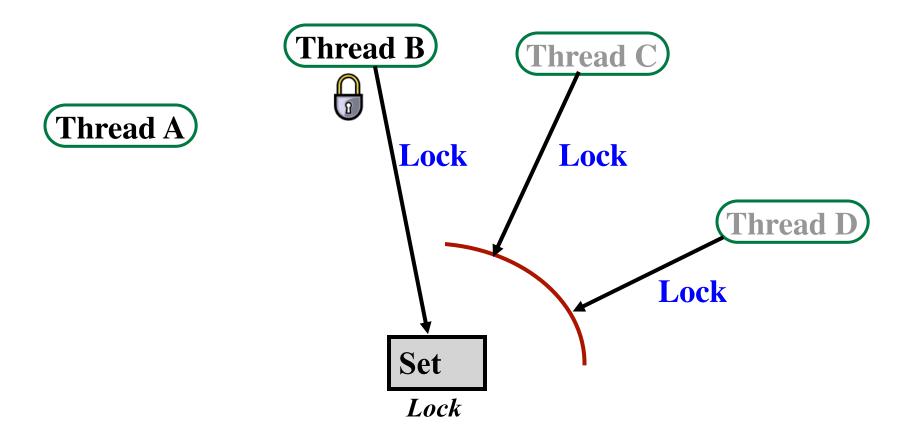


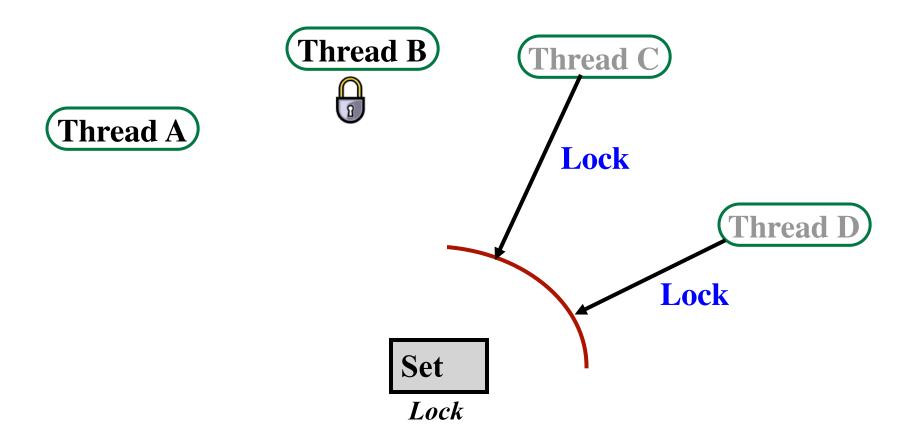












### **Mutex Locks**

- An abstract data type
- Can be used for synchronization and mutual exclusion
- The "mutex" is either:
  - Locked ("the lock is held")
  - Unlocked ("the lock is free")
- Two operations:

### **Lock** (mutex)

Acquire the lock, if it is free If the lock is not free, then wait until it can be acquired

### **Unlock** (*mutex*)

Release the lock

If there are waiting threads, then wake up one of them

Both Lock and Unlock are assumed to be atomic!!! (A kernel implementation will ensure atomicity)

# An Example using a Mutex

### **Shared data:**

Mutex myLock;

```
1 repeat
2 Lock(myLock);
3 critical section
4 Unlock(myLock);
5 remainder section
6 until FALSE
```

```
1 repeat
2 Lock(myLock);
3 critical section
4 Unlock(myLock);
5 remainder section
6 until FALSE
```

# How can we implement mutual exclusion?

Many computers have *some limited* hardware support for setting locks...

- Atomic "Test and Set Lock" instruction
- Atomic "Compare and Swap" operation

Can be used to implement "Mutex" locks

### The "Test-And-Set" Instruction (TSL, tset)

### A lock is a variable with two values

• One word:

0=FALSE=not locked 1=TRUE=locked

### Test-and-set does the following <u>atomically</u>:

- Get the (old) value
- Set the lock to TRUE
- Return the old value

If the returned value was FALSE...

Then you got the lock!!!

If the returned value was TRUE...

Then someone else already has the lock.

(so try again later)

### Critical section entry code with TSL

This code ensures that...

Only one thread at a time will enter its "critical section".

```
1 repeat
2 while(TSL(lock))
3 no-op;
4 critical section
5 lock = FALSE;
6 remainder section
7 until FALSE
```

```
1 repeat
2 while(TSL(lock))
3 no-op;
4 critical section
5 lock = FALSE;
6 remainder section
7 until FALSE
```

# **Busy Waiting**

### Also called "Polling"

The thread consumes CPU cycles to evaluate when lock becomes free!!!

• Shortcoming:

On a single CPU system...

A busy-waiting thread can prevent the lock holder from running & completing its critical section & releasing the lock!

**Better: Block instead of busy wait** 

(on a single CPU system)

# **Synchronization Primitives**

### Sleep

Put a thread to sleep Thread becomes BLOCKed

### Wakeup

Move a BLOCKed thread back onto "Ready List" Thread becomes READY (or RUNNING)

### **Yield**

Move to another thread Does not BLOCK thread Just gives up the current time-slice

But how can these be implemented?

# **Synchronization Primitives**

```
Sleep
Wakeup
Yield
ThreadCreateAndStart
ThreadKill
...etc...
```

### **Implementation:**

In User Programs:
Syscalls to kernel
In Kernel:

Calls to the thread "Scheduler" routines

# **Concurrency Control in the Kernel**

Different threads call Yield, Sleep, ... Scheduler routines manipulate the "Ready List" Ready List is shared data

### **Problem:**

How can scheduler routines be programmed correctly?

### **Solution:**

- Scheduler can disable interrupts, or
- Scheduler can use "Test And Set Lock" instruction

### **Disabling interrupts**

Disabling interrupts in the OS vs

Disabling interrupts in user processes

- Why not allow user processes to disable interrupts?
- Is it ok to disable interrupts in the OS?
- What precautions should you take?

# Disabling interrupts in the Kernel

### **Scenario**

A thread is running; wants to access shared data Disable interrupts Access shared data ("critical section") Enable interrupts

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### Scenario #2

Interrupts are already disabled
Thread wants to access critical section
...using the above sequence...

### Disabling interrupts in the Kernel

#### **Scenario**

A thread is running; wants to access shared data Save previous interrupt status (enabled/disabled) Disable interrupts Access shared data ("critical section") Restore interrupt status to what it was before

### Scenario #2

Interrupts are already disabled
Thread wants to access critical section
...using the above sequence...

### Classical IPC Synchronization Problems

#### **Producer-Consumer**

- One thread produces data items
- Another thread consumes them
- Use a bounded buffer / queue between the threads
- The buffer is a shared resource Must control access to it!!!
- Must suspend the producer thread if buffer is full
- Must suspend the consumer thread if buffer is empty

**Readers and Writers** 

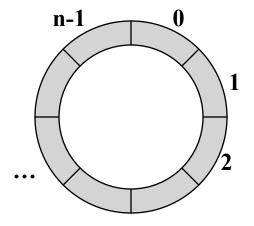
**Dining Philosophers** 

**Sleeping Barber** 

### Producer/Consumer with Busy Waiting

```
thread producer {
    while(1) {
        // Produce char c
        while (count==n) {
            no_op
        }
        buf[InP] = c
        InP = InP + 1 mod n
        count++
        }
}
```

```
thread consumer {
   while(1) {
     while (count==0) {
        no_op
     }
     c = buf[OutP]
     OutP = OutP + 1 mod n
     count--
     // Consume char
   }
}
```



### Problems with this code

- Count variable can be corrupted if context switch occurs at the wrong time
- A race condition exists!

  Race bugs very difficult to track down
- What if buffer is full?
   Produce will busy-wait
   Consumer will not be able to empty the buffer
- What if buffer is empty?

  Consumer will busy-wait

  Producer will not be able to fill the buffer

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- What if buffer is full?
   Produce will busy-wait
   Consumer will not be able to empty the buffer
- What if buffer is empty?
   Consumer will busy-wait
   Producer will not be able to fill the buffer

- addressing these issues next...

### **Producer/Consumer with Blocking**

```
0 thread producer {
1  while(1) {
2     // Produce char c
3     if (count==n) {
4         sleep(full)
5     }
6     buf[InP] = c;
7     InP = InP + 1 mod n
8     count++
9     if (count == 1)
10         wakeup(empty)
11     }
12 }
```

```
0 thread consumer {
1  while(1) {
2    while (count==0) {
3       sleep(empty)
4    }
5       c = buf[OutP]
6    OutP = OutP + 1 mod n
7       count--;
8       if (count == n-1)
9            wakeup(full)
10       // Consume char
11    }
12 }
```

```
Global variables:

char buf[n]

int InP = 0 // place to add

int OutP = 0 // place to get

int count = 0
```

#### This code is still incorrect!

### The "count" variable can be corrupted:

Increments or decrements may be lost!
Possible Consequences:

- Both threads may sleep forever
- Buffer contents may be over-written

What is this problem called?

#### This code is still incorrect!

#### The "count" variable can be corrupted:

Increments or decrements may be lost!
Possible Consequences:

- Both threads may sleep forever
- Buffer contents may be over-written

What is this problem called? Race Condition

Code that manipulates count must be made into a ??? and protected using ???.

#### This code is still incorrect!

#### The "count" variable can be corrupted:

Increments or decrements may be lost!
Possible Consequences:

- Both threads may sleep forever
- Buffer contents may be over-written

What is this problem called? Race Condition

Code that manipulates count must be made into a *Critical Section* and protected using *Mutual Exclusion*.

### Semaphores

- An abstract data type that can be used for condition synchronization and mutual exclusion
- Integer variable with two operations:

```
Down (sem)

Decrement sem by 1

if sem would go negative, "wait" until possible

Up (sem)

Increment sem by 1

if any threads are waiting, wake one of them up
```

The integer will always be >= 0.

Both Up() and Down() are assumed to be atomic!!!

A kernel implementation will ensure atomicity

### **Semaphores**

```
There are multiple names for the two operations
```

```
Down(S) Wait(S) P(S)
Up(S) Signal(S) V(S)
```

```
Each semaphore contains an integer...
```

```
Up (sometimes called Signal)
Increment integer
(May wake up another thread)
Down (sometimes called Wait)
Decrement integer, but never go negative.
(May cause the thread to sleep)
```

### **Semaphores**

### There are multiple names for the two operations

Down(S) Wait(S) P(S)
Up(S) Signal(S) V(S)

Each semaphore contains an integer...

Up (sometimes called Signal)

**Increment integer** 

(May wake up another thread)

**Down** (sometimes called Wait)

Decrement integer, but never go negative. (May cause the thread to sleep)

But you must NEVER access the integer directly!!! Why?

### Variation: Binary Semaphores

#### **Semaphore (normal)**

(Sometimes called "counting semaphore")

### **Binary Semaphore**

A specialized use of semaphores
The semaphore is used to implement a *Mutex Lock* 

### Variation: Binary Semaphores

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A specialized use of semaphores
The semaphore is used to implement a *Mutex Lock*The count will always be either

0 = locked

1 = unlocked

### Variation: Binary Semaphores

### **Semaphore (normal)**

(Sometimes called "counting semaphore")

### **Binary Semaphore**

A specialized use of semaphores
The semaphore is used to implement a *Mutex Lock*The count will always be either

0 = locked

1 = unlocked

**Up** = Unlock the mutex (may wake up another thread) **Down** = Lock (may wait if already locked)

```
1 repeat
2  down(mutex);
3  critical section
4  up(mutex);
5  remainder section
6 until FALSE
```

```
1 repeat
2  down(mutex);
3  critical section
4  up(mutex);
5  remainder section
6 until FALSE
```

Thread A

Thread B

```
1 repeat
2  down(mutex);
3  critical section
4  up(mutex);
5  remainder section
6 until FALSE
```

```
1 repeat
2  down(mutex);
3  critical section
4  up(mutex);
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6 until FALSE
```

Thread A

Thread B

```
1 repeat
2  down(mutex);
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Thread A

Thread B

```
1 repeat
2  down(mutex);
3  critical section
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6 until FALSE
```

```
1 repeat
2 down(mutex);
3 critical section
4 up(mutex);
5 remainder section
6 until FALSE
```

Thread A

Thread B

```
1 repeat
2 down(mutex);
3 critical section
4 up(mutex);
5 remainder section
6 until FALSE
```

```
1 repeat
2 down(mutex);
3 critical section
4 up(mutex);
5 remainder section
6 until FALSE
```

Thread A

Thread B

```
semaphore mutex = 0
```

```
1 repeat
2  down(mutex);
3  critical section
4  up(mutex);
5  remainder section
6 until FALSE
```

# This thread is released. It can now proceed!

```
1 repeat
2  down(mutex);
3  critical section
4  up(mutex);
5  remainder section
6 until FALSE
```

Thread A

Thread B

## Project 2...

# Implement Producer-Consumer Solution ... in BLITZ framework

### Counting semaphores in producer/consumer

```
Global variables
  semaphore full_buffs = 0;
  semaphore empty_buffs = n;
  char buff[n];
  int InP, OutP;
```

```
0 thread producer {
1  while(1) {
2     // Produce char c...
3     down(empty_buffs)
4     buf[InP] = c
5     InP = InP + 1 mod n
6     up(full_buffs)
7   }
8 }
```

```
0 thread consumer {
1  while(1) {
2    down(full_buffs)
3    c = buf[OutP]
4    OutP = OutP + 1 mod n
5    up(empty_buffs)
6    // Consume char...
7  }
8 }
```

### **Implementing Semaphores**

#### Hardware mechanisms to support semaphores:

- Control over interrupts (almost all computers)
- Special atomic instructions in ISA test and set lock compare and swap

#### **Techniques**

- Spin-locks (busy waiting)
  may waste a lot of cycles on uni-processors
- Blocking the thread may waste a lot of cycles on multi-processors

### Implementing Semaphores (using blocking)

```
struct semaphore {
    int val;
    list L;
}
```

```
Down(semaphore sem)
  DISABLE_INTS
    sem.val--
    if (sem.val < 0) {
       add thread to sem.L
       block(thread)
    }
  ENABLE_INTS</pre>
```

```
Up(semaphore sem)
  DISABLE_INTS
    sem.val++
    if (sem.val <= 0) {
        th = remove next
            thread from sem.L
        wakeup(th)
    }
  ENABLE_INTS</pre>
```

### **Semaphores in UNIX**

See the POSIX specification for details. Two varieties...

### **Named Semaphores**

Have an associated "name"

Can be used from different processes

### **Unnamed Semaphores**

Local to a single address space.

## **POSIX Semaphore Example**

```
#include <semaphore.h>
sem_t * my_sem_ptr;

main() {
    sem_init(my_sem_ptr, shared, 1);
        ...
    sem_wait (my_sem_ptr);

        [CRITICAL SECTION]

    sem_post (my_sem_ptr);
        ...
    sem_destroy (my_sem_ptr);
}
```

### Managing your UNIX semaphores

Listing currently allocated ipc resources

ipcs

**Removing semaphores** 

ipcrm -s <sem number>

### **Implementation Possibilities**

- Implement Mutex Locks ... Using Semaphores
- Implement Counting Semaphores
  - ... Using Binary Semaphores
  - ... Using Mutex Locks
- Implement Binary Semaphores ... etc

Can also implement using
Test-And-Set
Calls to Sleep, Wake-Up

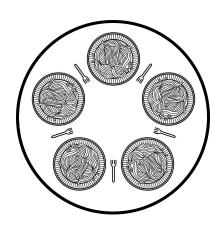
### **Dining Philosophers Problem**

Five philosophers sit at a table

Between each philosopher there is one fork

Each philosopher is modelled with a thread

**Philosophers:** 



```
while(TRUE) {
   Think();
   Grab first fork;
   Grab second fork;
   Eat();
   Put down first fork;
   Put down second fork;
}
```

Why do they need to synchronize? How should they do it?

### Dining philospher's solution???

#### Why doesn't this work?

```
#define N 5

Philosopher() {
    while(TRUE) {
        Think();
        take_fork(i);
        take_fork((i+1)% N);
        Eat();
        put_fork(i);
        put_fork((i+1)% N);
    }
}
```

### Dining philospher's solution (part 1)

```
5
#define N
                                       /* number of philosophers */
#define LEFT
                      (i+N-1)%N
                                       /* number of i's left neighbor */
                                       /* number of i's right neighbor */
#define RIGHT
                      (i+1)%N
#define THINKING
                                       /* philosopher is thinking */
                                       /* philosopher is trying to get forks */
#define HUNGRY
                                       /* philosopher is eating */
#define FATING
                                       /* semaphores are a special kind of int */
typedef int semaphore;
int state[N];
                                       /* array to keep track of everyone's state */
semaphore mutex = 1;
                                       /* mutual exclusion for critical regions */
semaphore s[N];
                                       /* one semaphore per philosopher */
void philosopher(int i)
                                       /* i: philosopher number, from 0 to N-1 */
    while (TRUE) {
                                       /* repeat forever */
         think();
                                       /* philosopher is thinking */
         take forks(i);
                                       /* acquire two forks or block */
                                       /* yum-yum, spaghetti */
         eat();
                                       /* put both forks back on table */
         put forks(i);
```

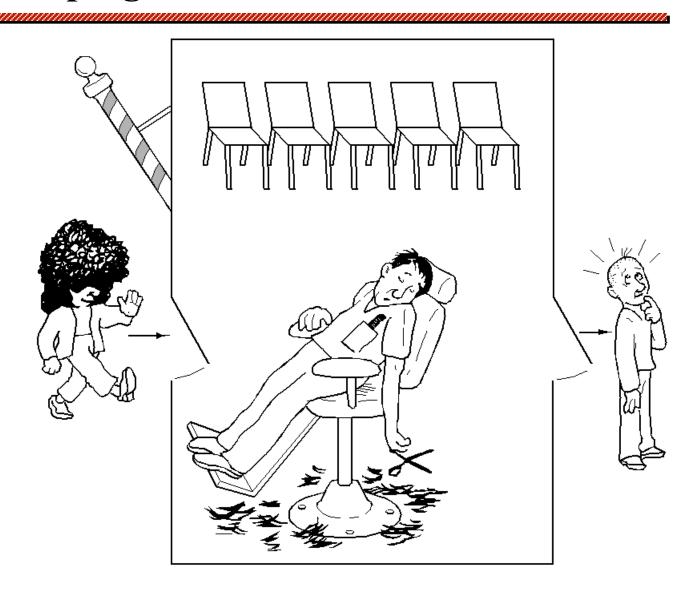
## Dining philospher's solution (part 2)

```
/* i: philosopher number, from 0 to N-1 */
void take forks(int i)
    down(&mutex);
                                       /* enter critical region */
     state[i] = HUNGRY;
                                       /* record fact that philosopher i is hungry */
                                        /* try to acquire 2 forks */
    test(i);
                                       /* exit critical region */
    up(&mutex);
     down(&s[i]);
                                       /* block if forks were not acquired */
                                        /* i: philosopher number, from 0 to N-1 */
void put forks(i)
    down(&mutex);
                                       /* enter critical region */
                                       /* philosopher has finished eating */
     state[i] = THINKING;
                                       /* see if left neighbor can now eat */
    test(LEFT);
                                        /* see if right neighbor can now eat */
    test(RIGHT);
    up(&mutex);
                                       /* exit critical region */
                                       /* i: philosopher number, from 0 to N-1 */
void test(i)
     if (state[i] == HUNGRY && state[LEFT] != EATING && state[RIGHT] != EATING) {
          state[i] = EATING;
          up(&s[i]);
```

## **Dining Philosophers**

Is this correct?
What does it mean for it to be correct?
Is there an easier way?

## **The Sleeping Barber Problem**



### The Sleeping Barber Problem

#### Barber:

While there are people waiting for a hair cut, put one in the barber chair, and give him a haircut When done, move to the next customer.

Else go to sleep, until someone comes in.

#### **Customer:**

If the barber is sleeping,
wake him up and get a haircut.

If someone is getting a haircut...
wait for the barber to free up by sitting in a chair

If the waiting chairs are all full,
leave the barbershop.

### Solution to the sleeping barber problem

var customerReady: Semaphore

barberReady: Semaphore

```
numWaiting: int = 0

Barber Thread:
while true
   Down(customerReady)
   Lock(lock)
   numWaiting = numWaiting-1
   Up(barberReady)
   Unlock(lock)
   CutHair()
endWhile
```

const CHAIRS = 5

lock: Mutex

```
Customer Thread:
Lock(lock)
if numWaiting < CHAIRS
  numWaiting = numWaiting+1
  Up(customerReady)
  Unlock(lock)
  Down(barberReady)
  GetHaircut()
else -- give up & go home
  Unlock(lock)
endIf</pre>
```

#### The Readers and Writers Problem

- Readers and writers want to access a database. (Each is a thread)
- Multiple readers can proceed concurrently.
- Writers must synchronize with readers and other writers.

Only one writer at a time.
When someone is writing, must be no readers.

### Goals:

- Maximize concurrency.
- Prevent starvation.

#### One solution to readers and writers

```
Writer Thread:
    while true
        Lock(dbLock)
        ...Write shared database...
    Unlock(dbLock)
        ...Remainder section...
endWhile
var dbLock: Mutex
    nReaders: int = 0
        counterAccess: Mutex

**Note of the counter of the coun
```

#### One solution to readers and writers

```
var dbLock: Mutex
Reader Thread:
                                   nReaders: int = 0
 while true
                                   counterAccess: Mutex
    Lock (counterAccess)
      nReaders = nReaders + 1
      if nReaders == 1
        Lock (dbLock)
      endIf
    Unlock (counterAccess)
    ... Read shared database...
    Lock (counterAccess)
      nReaders = nReaders - 1
      if nReaders == 0
        Unlock (dbLock)
      endIf
    Unlock (counterAccess)
    ... Remainder section...
  endWhile
```

### Readers and Writers – No Starvation

#### **Concurrency Control:**

#### <u>var</u>

dbLock: Mutex Protects the shared database

**nreaders:** int = 0 How many readers are in the database

counterAccess: Mutex Protects the nreaders variable

waitListLock: Mutex

#### Goal:

Many readers can get in to the database

... unless a writer is waiting.

Then, any new readers must wait until after the writer leaves the database.

### Readers and Writers – No Starvation

```
Writer Thread:
   while true
    Lock(waitListLock)
   Lock(dbLock)
   Unlock(waitListLock)
    ...Write shared database...
   Unlock(dbLock)
   ...Remainder section...
   endWhile
```

If a writer is waiting to get into the database,
then waitListLock will be locked.
This will prevent any new readers from getting in.
Assumption: Threads waiting on waitListLock will be unlocked in FIFO order.

### Readers and Writers – No Starvation

```
Reader Thread:
  while true
     Lock (waitListLock)
       Lock (counterAccess)
         nreaders = nreaders + 1
         if nreaders == 1
                           then
                                                     same as
             Lock (dbLock)
                                                     before
         endIf
       Unlock(counterAccess)
     Unlock (waitListLock)
     ...Read shared database...
     Lock (counterAccess)
       nreaders = nreaders - 1
       if nreaders == 0 then
            Unlock (dbLock)
       endIf
     Unlock (counterAccess)
     ... Remainder section...
  endWhile
```

### **Implementing Counting Semaphores**

```
Problem: Implement a counting semaphore
Up ()
Down ()
...using just Mutex locks.
```

#### **Possible Solution**

#### Down ():

```
Lock (m1)
cnt = cnt - 1
if cnt<0
   Unlock (m1)
   Lock (m2)
else
   Unlock (m1)
endIf</pre>
```

#### Up():

```
Lock (m1)

cnt = cnt + 1

if cnt<=0

Unlock (m2)

endIf
Unlock (m1)
```

### **Possible Solution**

```
Signal count
var cnt: int = 0
                             Protects acces to "cnt"
var m1: Mutex
                             Locked when Carting
    m2: Mutex = locked
Down ():
  Lock (m1)
                                 Lock (m1
  cnt = cht
                                 cnt = cnt + 1
  if cnt<0
                                  if cnt<=0
    Unlock (m1)
                                   Unlock (m2)
    Lock (m2)
                                 endIf
                                 Unlock (m1)
```

#### STILL INCORRECT

```
var cnt: int = 0
                          -- Signal count
                          -- Protects access to "cnt"
var m1: Mutex
    m2: Mutex = locked -- Locked when waiting
    m3: Mutex
Down ():
                                <u>Up():</u>
  Lock (m3)
  Lock (m1)
                                  Lock (m1)
  cnt = cnt - 1
                                  cnt = cnt + 1
  if cnt<0
                                  if cnt<=0
    Unlock (m1)
                                    Unlock (m2)
    Lock (m2)
                                  endIf
  else
                                  Unlock (m1)
    Unlock (m1)
  endIf
  Unlock (m3)
```