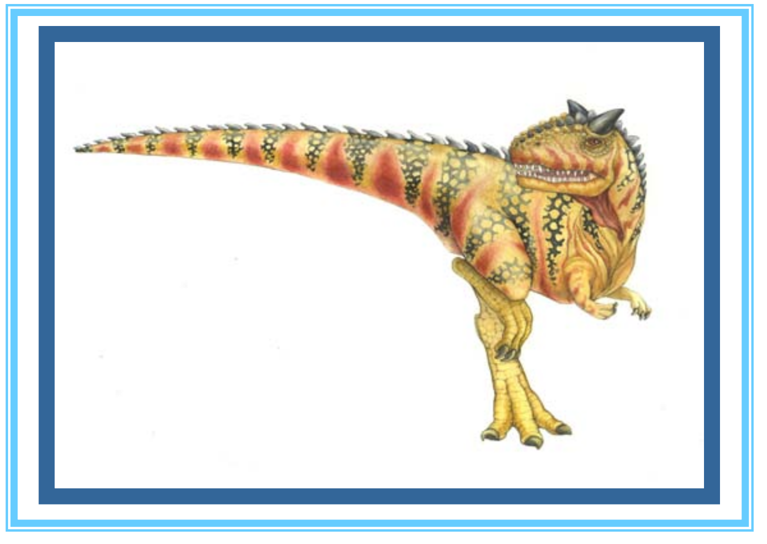
# Chapter 3:  Processes



# Chapter 3:  Processes

- Process Concept
- Process Scheduling
- Operations on Processes
- Interprocess Communication
- Examples of IPC Systems
- Communication in Client-Server Systems

# Objectives

- To introduce the notion of a process -- a program in execution, which forms the basis of all computation
- To describe the various features of processes, including scheduling, creation and termination, and communication
- To describe communication in client-server systems

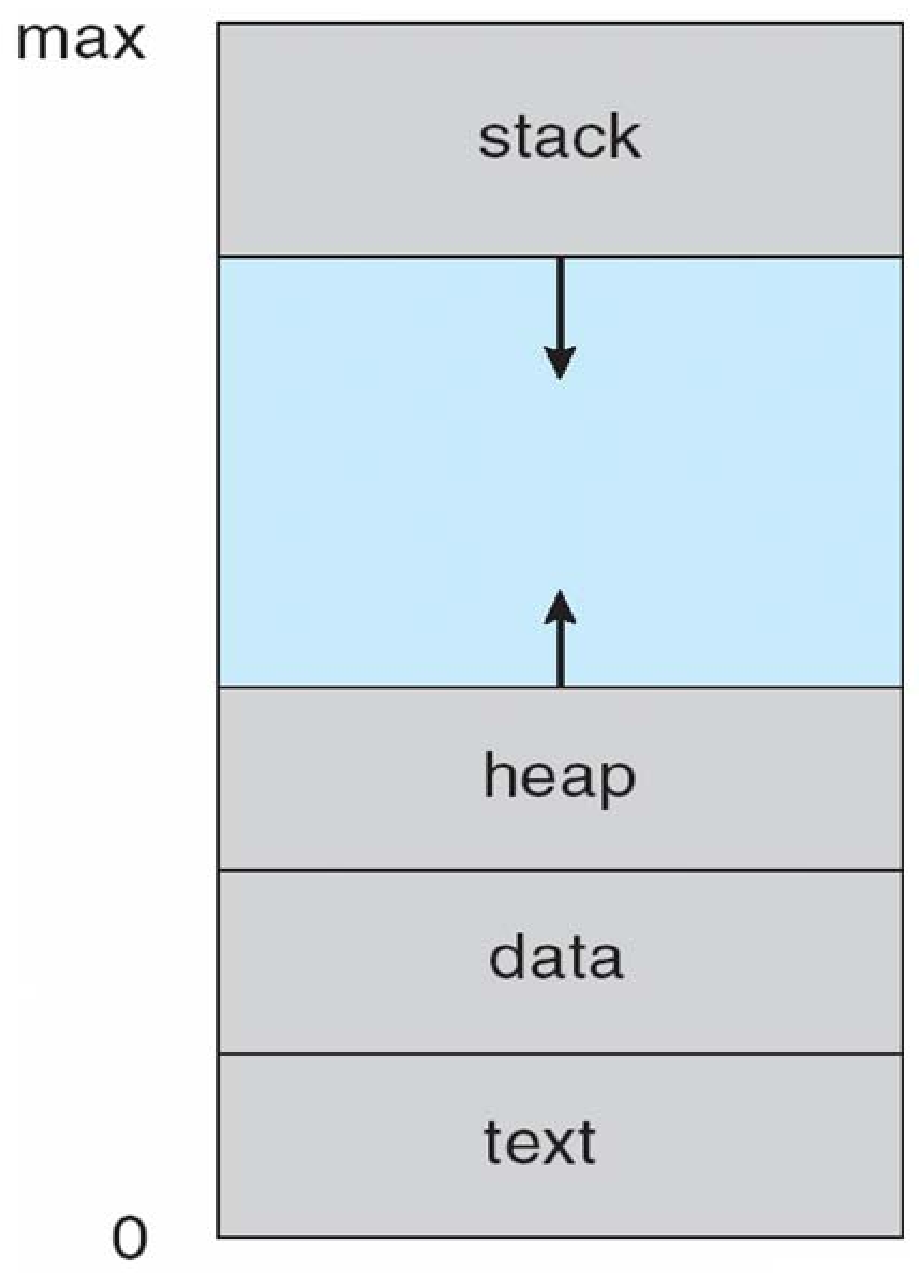
# Process Concept

- An operating system executes a variety of programs:
  - Batch system – jobs
  - Time-shared systems – user programs or tasks
- Textbook uses the terms *job* and *process* almost interchangeably
- Process – a program in execution; process execution must progress in sequential fashion
- A process includes:
  - program counter
  - stack
  - data section

# The Process

- Multiple parts
  - The program code, also called **text section**
  - Current activity including **program counter**, processor registers
  - **Stack** containing temporary data
    - Function parameters, return addresses, local variables
  - **Data section** containing global variables
  - **Heap** containing memory dynamically allocated during run time
- Program is passive entity, process is active
  - Program becomes process when executable file loaded into memory
- Execution of program started via GUI mouse clicks, command line entry of its name, etc
- One program can be several processes
  - Consider multiple users executing the same program

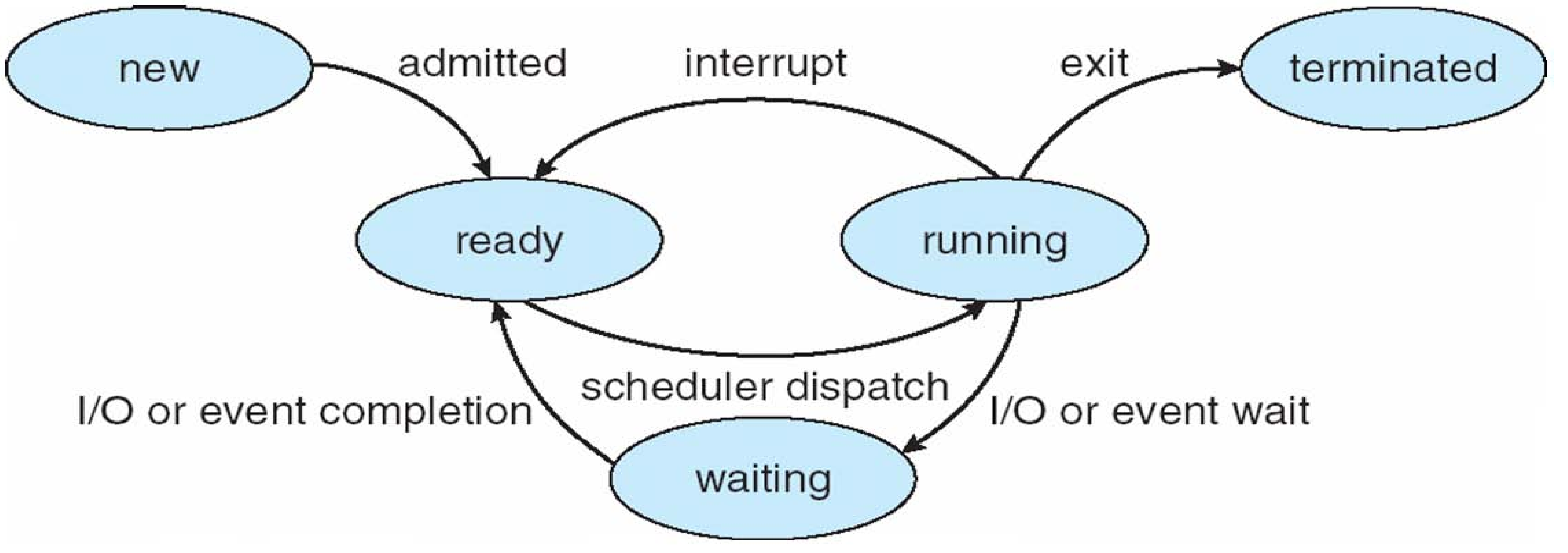
# Process in Memory



# Process State

- As a process executes, it changes *state*
  - **new**:  The process is being created
  - **running**:  Instructions are being executed
  - **waiting**:  The process is waiting for some event to occur
  - **ready**:  The process is waiting to be assigned to a processor
  - **terminated**:  The process has finished execution

# Diagram of Process State



# Process Control Block (PCB)

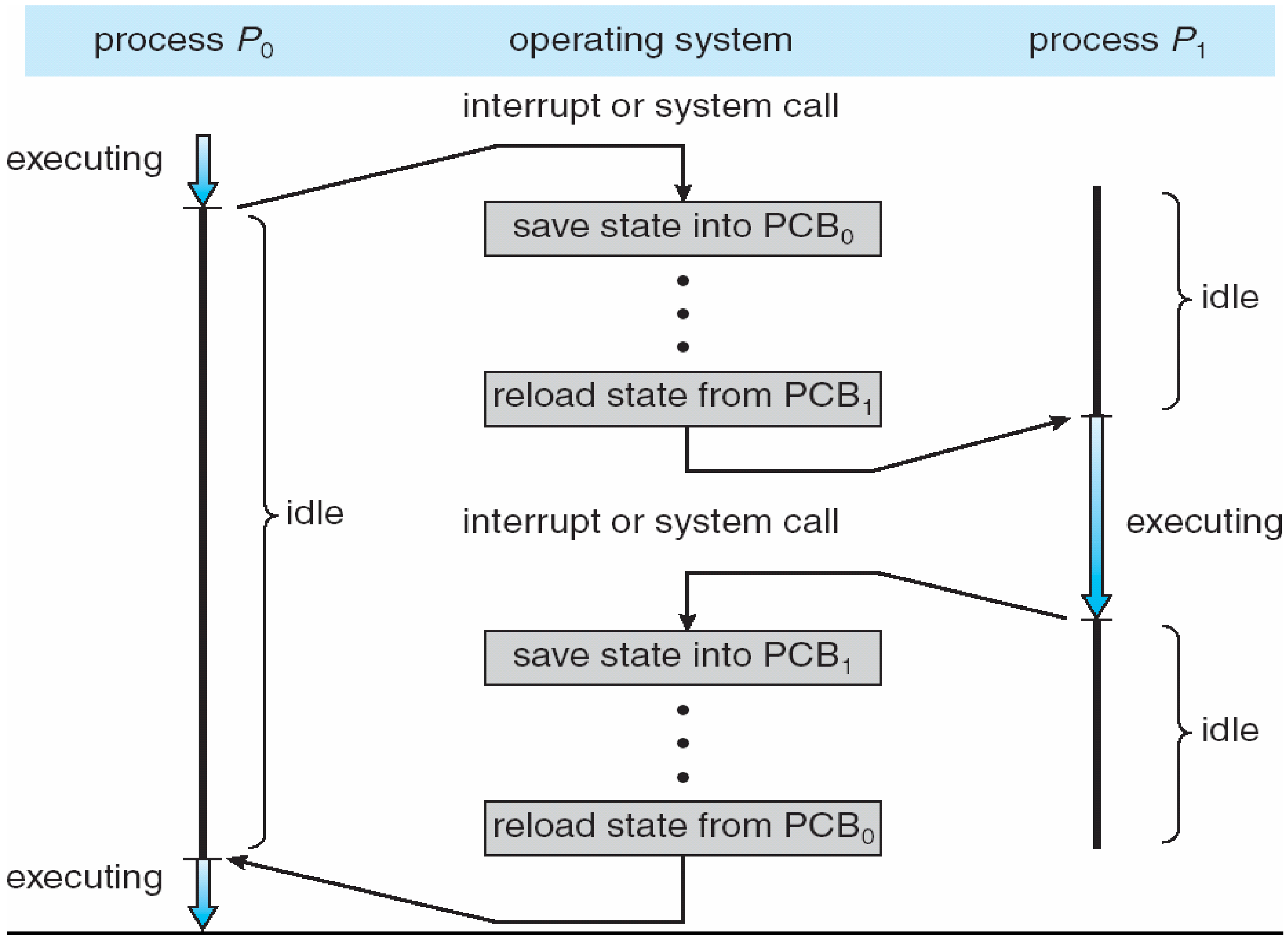
Information associated with each process

- Process state
- Program counter
- CPU registers
- CPU scheduling information
- Memory-management information
- Accounting information
- I/O status information

# Process Control Block (PCB)

| |
|---|
| process state |
| process number |
| program counter |
| registers |
| memory limits |
| list of open files |
| • • • |

# CPU Switch From Process to Process

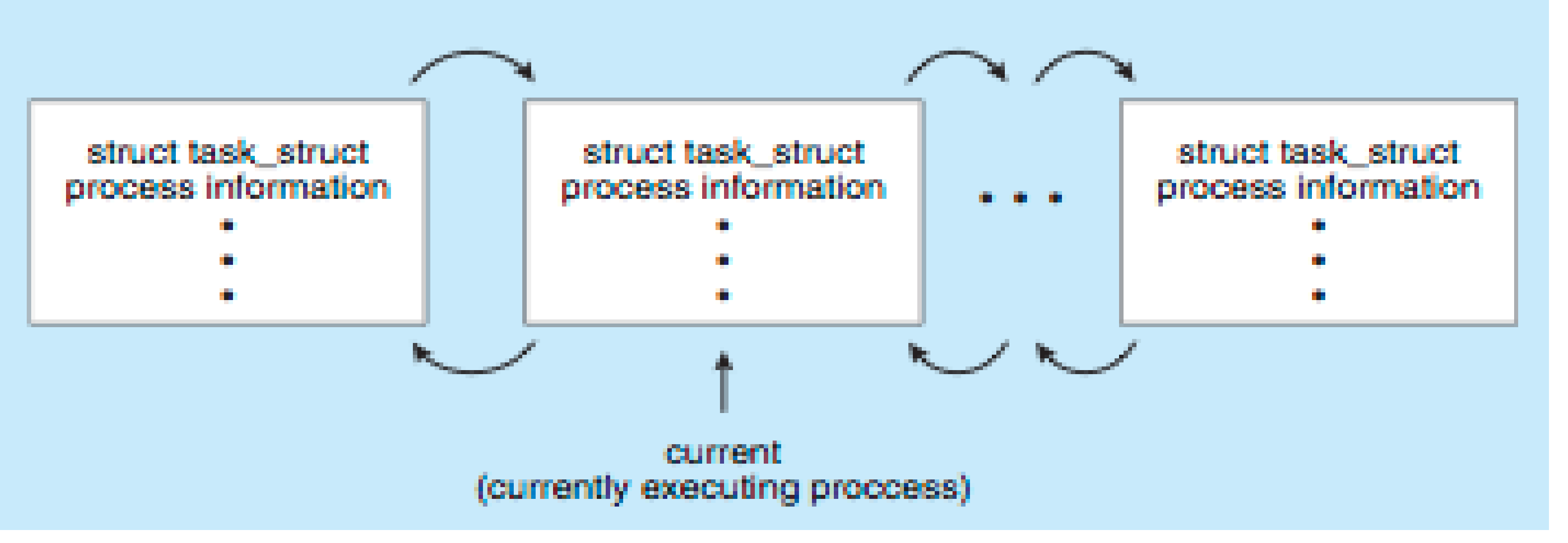


# Process Scheduling

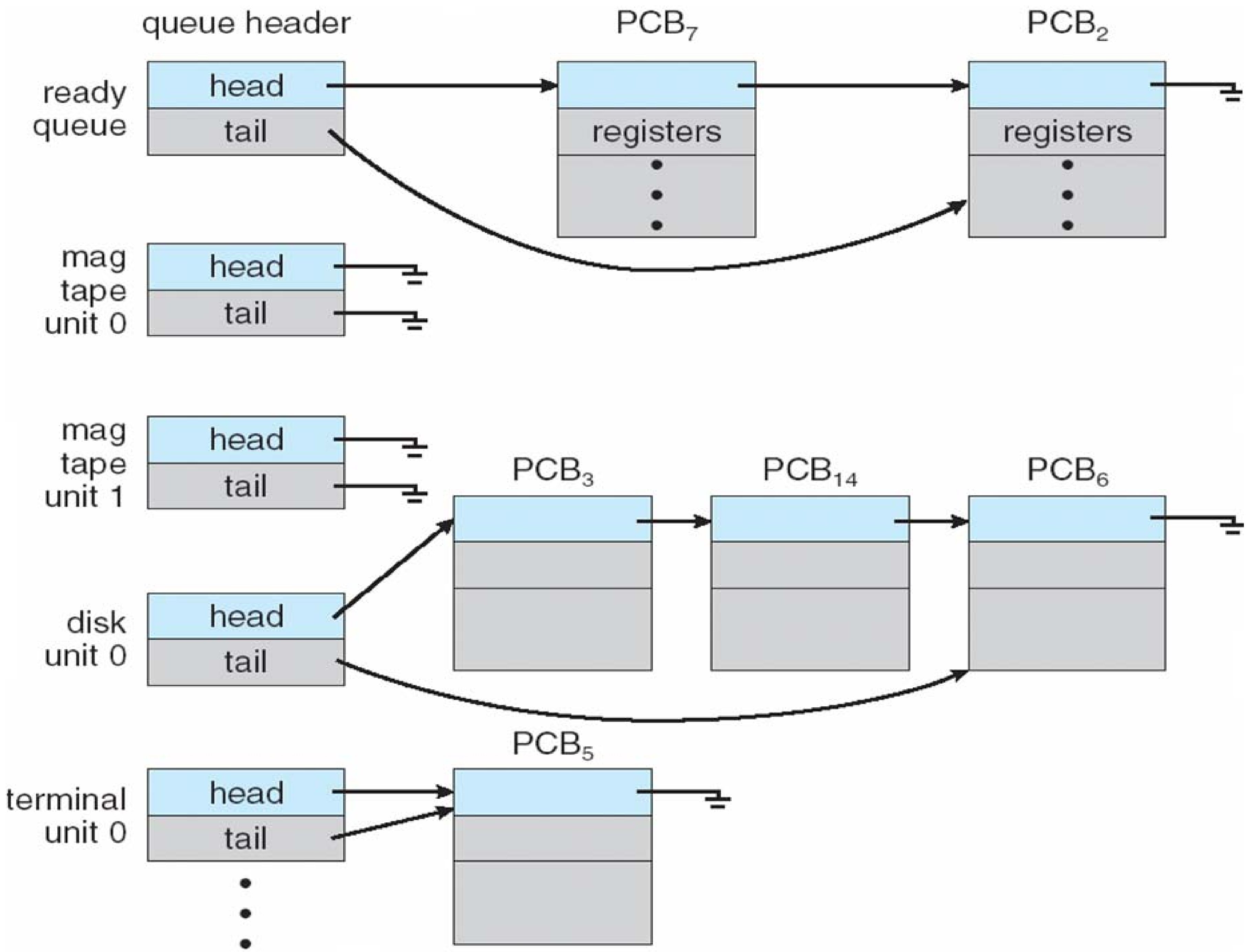
- Maximize CPU use, quickly switch processes onto CPU for time sharing
- **Process scheduler** selects among available processes for next execution on CPU
- Maintains **scheduling queues** of processes
  - **Job queue** – set of all processes in the system
  - **Ready queue** – set of all processes residing in main memory, ready and waiting to execute
  - **Device queues** – set of processes waiting for an I/O device
  - Processes migrate among the various queues

# Process Representation in Linux

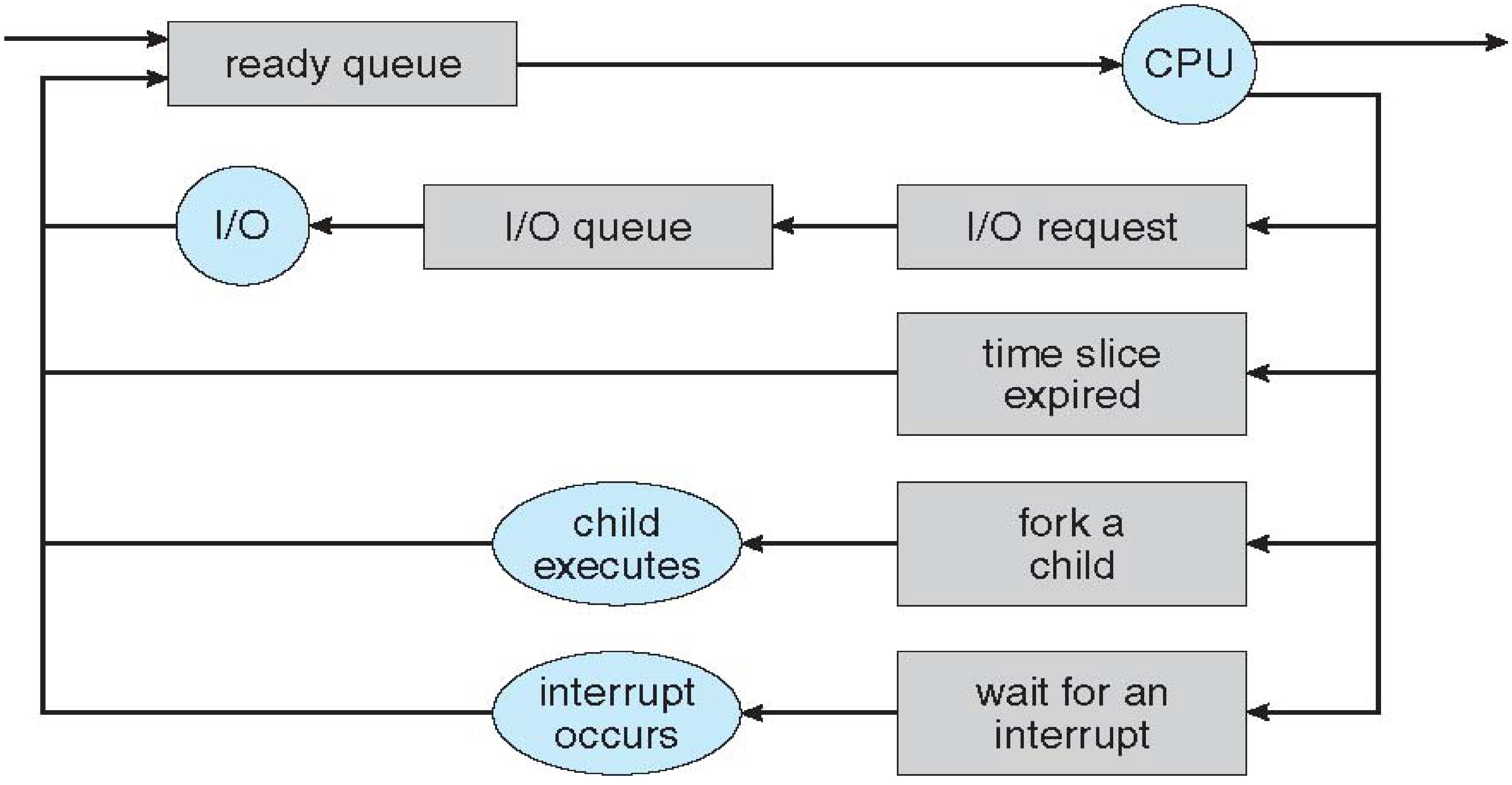
- Represented by the C structure `task_struct`
```
pid t pid; /* process identifier */
long state; /* state of the process */
unsigned int time slice /* scheduling information */ struct task struct *parent; /*
this process’s parent */ struct list head children; /* this process’s children */
struct files struct *files; /* list of open files */ struct mm struct *mm; /*
address space of this pro */
```



# Ready Queue And Various I/O Device Queues



# Representation of Process Scheduling



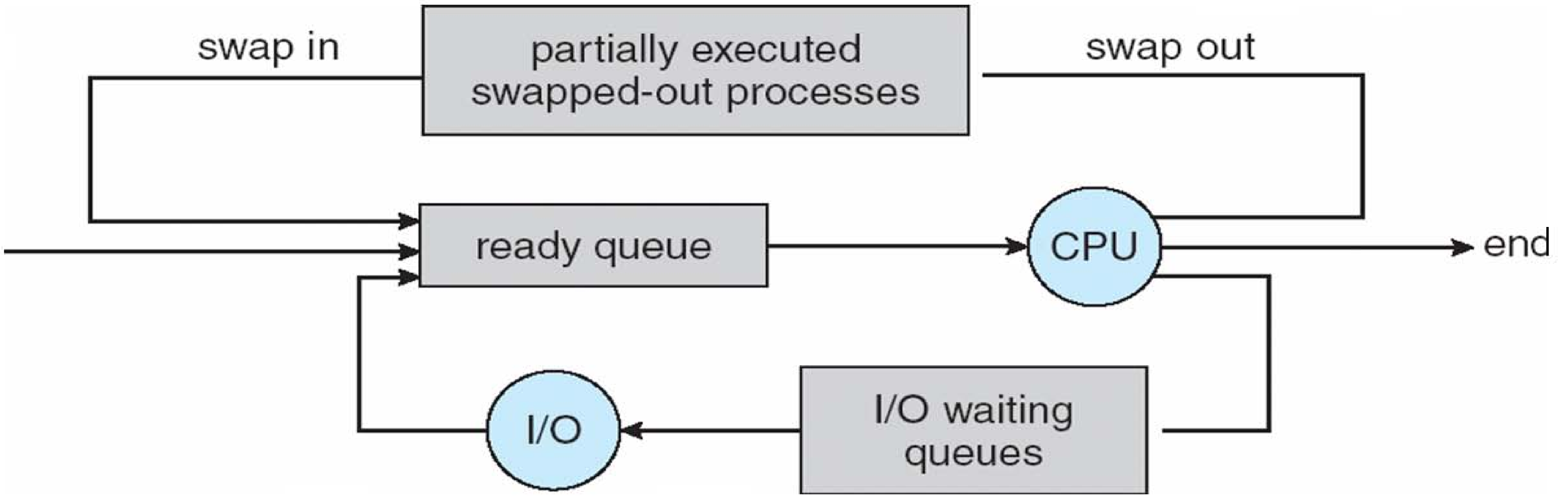
# Schedulers

- **Long-term scheduler** (or job scheduler) – selects which processes should be brought into the ready queue
- **Short-term scheduler** (or CPU scheduler) – selects which process should be executed next and allocates CPU
  - Sometimes the only scheduler in a system

# Schedulers (Cont.)

- Short-term scheduler is invoked very frequently (milliseconds) $\Rightarrow$ (must be fast)
- Long-term scheduler is invoked very infrequently (seconds, minutes) $\Rightarrow$ (may be slow)
- The long-term scheduler controls the *degree of multiprogramming*
- Processes can be described as either:
  - **I/O-bound process** – spends more time doing I/O than computations, many short CPU bursts
  - **CPU-bound process** – spends more time doing computations; few very long CPU bursts

# Addition of Medium Term Scheduling



# Context Switch

- When CPU switches to another process, the system must save the state of the old process and load the saved state for the new process via a **context switch**.
- **Context** of a process represented in the PCB
- Context-switch time is overhead; the system does no useful work while switching
  - The more complex the OS and the PCB -> longer the context switch
- Time dependent on hardware support
  - Some hardware provides multiple sets of registers per CPU -> multiple contexts loaded at once

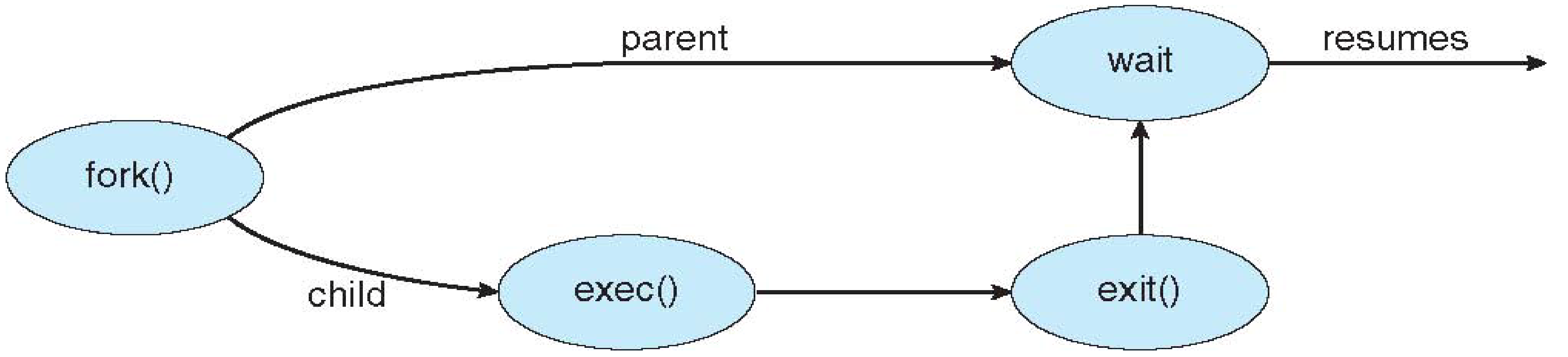
# Process Creation

- **Parent** process create **children** processes, which, in turn create other processes, forming a tree of processes
- Generally, process identified and managed via **a process identifier** (**pid**)
- Resource sharing
  - Parent and children share all resources
  - Children share subset of parent's resources
  - Parent and child share no resources
- Execution
  - Parent and children execute concurrently
  - Parent waits until children terminate

# Process Creation (Cont.)

- Address space
  - Child duplicate of parent
  - Child has a program loaded into it
- UNIX examples
  - **fork** system call creates new process
  - **exec** system call used after a **fork** to replace the process' memory space with a new program

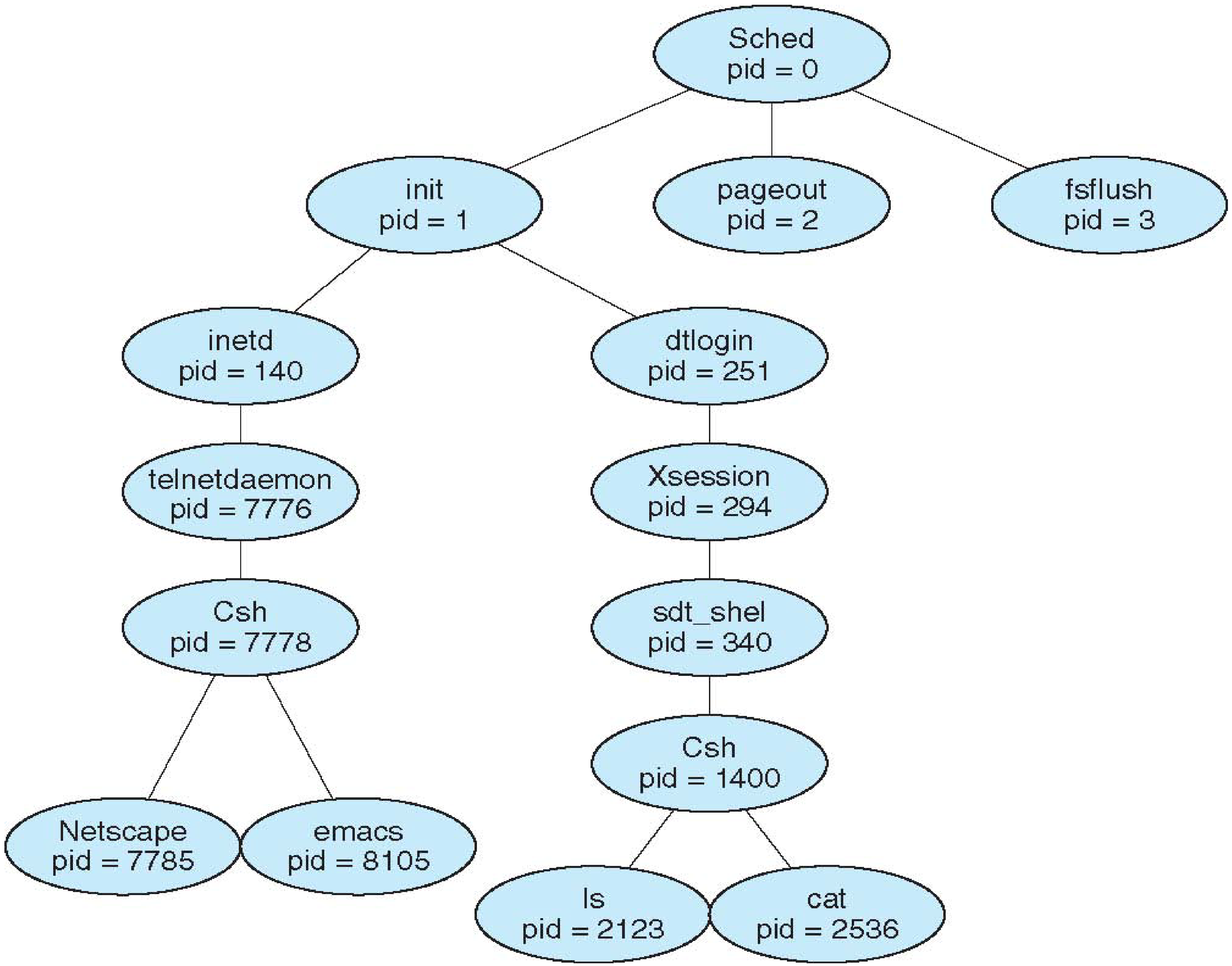
# Process Creation



# C Program Forking Separate Process

```
#include <sys/types.h>
#include <studio.h>
#include <unistd.h>
int main()
{
pid_t  pid;
      /* fork another process */
      pid = fork();
      if (pid < 0) { /* error occurred */
            fprintf(stderr, "Fork Failed");
            return 1;
      }
      else if (pid == 0) { /* child process */
            execlp("/bin/ls", "ls", NULL);
      }
      else { /* parent process */
            /* parent will wait for the child */
            wait (NULL);
            printf ("Child Complete");
      }
      return 0;
}
```

# A Tree of Processes on Solaris



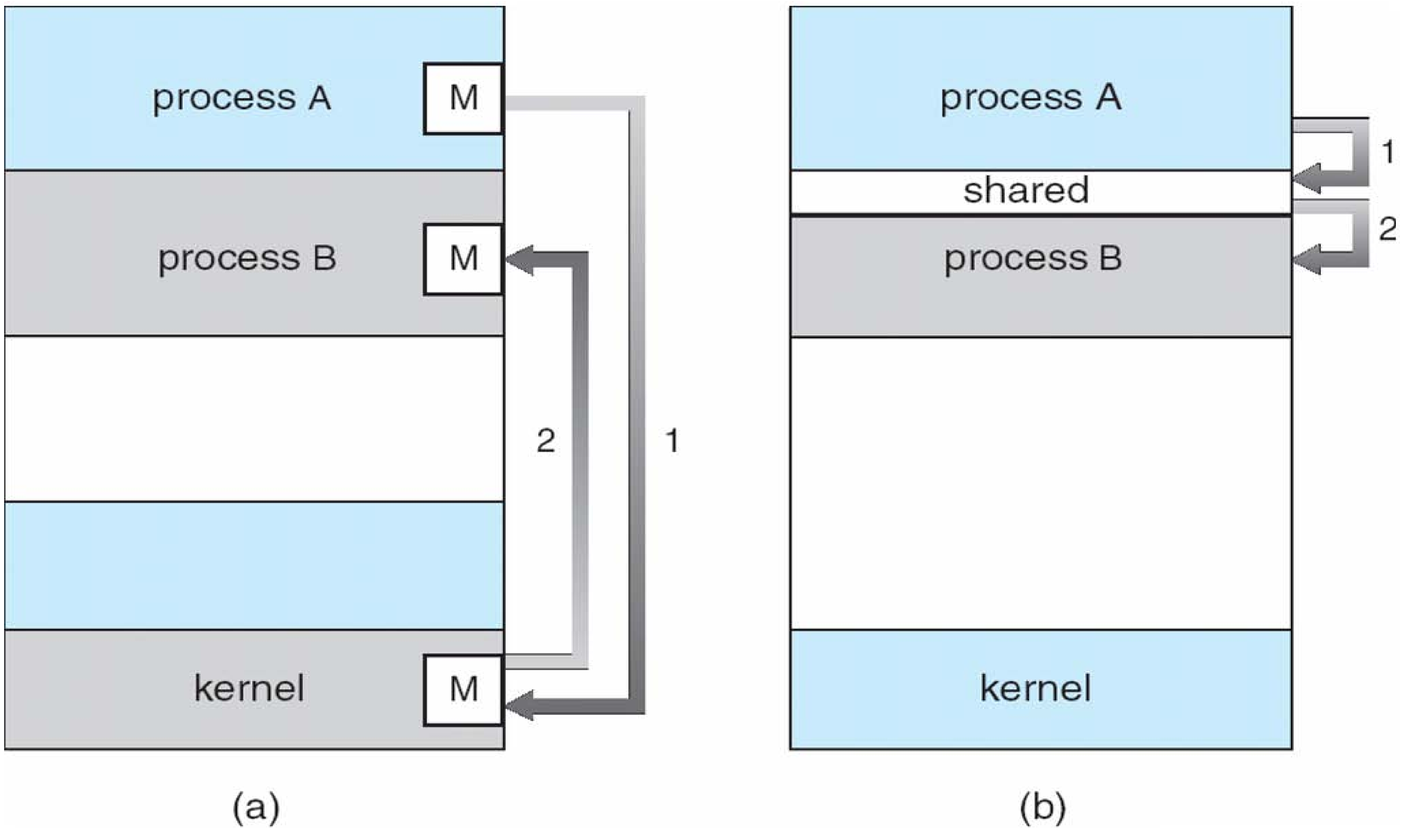
# Process Termination

- Process executes last statement and asks the operating system to delete it (**exit**)
  - Output data from child to parent (via **wait**)
  - Process' resources are deallocated by operating system
- Parent may terminate execution of children processes (**abort**)
  - Child has exceeded allocated resources
  - Task assigned to child is no longer required
  - If parent is exiting
    - Some operating systems do not allow child to continue if its parent terminates
      - All children terminated - **cascading termination**

# Interprocess Communication

- Processes within a system may be **independent** or **cooperating**
- Cooperating process can affect or be affected by other processes, including sharing data
- Reasons for cooperating processes:
  - Information sharing
  - Computation speedup
  - Modularity
  - Convenience
- Cooperating processes need **interprocess communication** (**IPC**)
- Two models of IPC
  - Shared memory
  - Message passing

# Communications Models



# Cooperating Processes

- **Independent** process cannot affect or be affected by the execution of another process
- **Cooperating** process can affect or be affected by the execution of another process
- Advantages of process cooperation
  - Information sharing
  - Computation speed-up
  - Modularity
  - Convenience

# Producer-Consumer Problem

- Paradigm for cooperating processes, *producer* process produces information that is consumed by a *consumer* process
  - *unbounded-buffer* places no practical limit on the size of the buffer
  - *bounded-buffer* assumes that there is a fixed buffer size

# Bounded-Buffer – Shared-Memory Solution

- Shared data

```
#define BUFFER_SIZE 10
typedef struct {
    . . .
} item;

item buffer[BUFFER_SIZE];
int in = 0;
int out = 0;
```

- Solution is correct, but can only use BUFFER_SIZE-1 elements

# Bounded-Buffer – Producer

```
while (true) {
   /* Produce an item */
   while (((in = (in + 1) % BUFFER SIZE count)  == out)
     ;   /* do nothing -- no free buffers */
    buffer[in] = item;
    in = (in + 1) % BUFFER SIZE;
}
```

# Bounded Buffer – Consumer

```
while (true) {
     while (in == out)
          ; // do nothing -- nothing to consume

     // remove an item from the buffer
     item = buffer[out];
     out = (out + 1) % BUFFER SIZE;
return item;
}
```

# Interprocess Communication – Message Passing

- Mechanism for processes to communicate and to synchronize their actions
- Message system – processes communicate with each other without resorting to shared variables
- IPC facility provides two operations:
  - **send**(*message*) – message size fixed or variable
  - **receive**(*message*)
- If *P* and *Q* wish to communicate, they need to:
  - establish a *communication link* between them
  - exchange messages via send/receive
- Implementation of communication link
  - physical (e.g., shared memory, hardware bus)
  - logical (e.g., logical properties)

# Implementation Questions

- How are links established?
- Can a link be associated with more than two processes?
- How many links can there be between every pair of communicating processes?
- What is the capacity of a link?
- Is the size of a message that the link can accommodate fixed or variable?
- Is a link unidirectional or bi-directional?

# Direct Communication

- Processes must name each other explicitly:
  - **send** (*P, message*) – send a message to process P
  - **receive**(*Q, message*) – receive a message from process Q
- Properties of communication link
  - Links are established automatically
  - A link is associated with exactly one pair of communicating processes
  - Between each pair there exists exactly one link
  - The link may be unidirectional, but is usually bi-directional

# Indirect Communication

- Messages are directed and received from mailboxes (also referred to as ports)
  - Each mailbox has a unique id
  - Processes can communicate only if they share a mailbox

- Properties of communication link
  - Link established only if processes share a common mailbox
  - A link may be associated with many processes
  - Each pair of processes may share several communication links
  - Link may be unidirectional or bi-directional

# Indirect Communication

- Operations
  - create a new mailbox
  - send and receive messages through mailbox
  - destroy a mailbox

- Primitives are defined as:

  **send**(*A, message*) – send a message to mailbox A

  **receive**(*A, message*) – receive a message from mailbox A

# Indirect Communication

- Mailbox sharing
  - $P_1$, $P_2$, and $P_3$ share mailbox A
  - $P_1$, sends; $P_2$ and $P_3$ receive
  - Who gets the message?

- Solutions
  - Allow a link to be associated with at most two processes
  - Allow only one process at a time to execute a receive operation
  - Allow the system to select arbitrarily the receiver.  Sender is notified who the receiver was.

# Synchronization

- Message passing may be either blocking or non-blocking
- **Blocking** is considered **synchronous**
  - **Blocking send** has the sender block until the message is received
  - **Blocking receive** has the receiver block until a message is available
- **Non-blocking** is considered **asynchronous**
  - **Non-blocking** send has the sender send the message and continue
  - **Non-blocking** receive has the receiver receive a valid message or null

# Buffering

- Queue of messages attached to the link; implemented in one of three ways
  1. Zero capacity – 0 messages
     Sender must wait for receiver (rendezvous)
  2. Bounded capacity – finite length of *n* messages
     Sender must wait if link full
  3. Unbounded capacity – infinite length
     Sender never waits

# Examples of IPC Systems - POSIX

- POSIX Shared Memory
  - Process first creates shared memory segment

```
segment id = shmget(IPC PRIVATE, size, S IRUSR | S IWUSR);
```

  - Process wanting access to that shared memory must attach to it

```
shared memory = (char *) shmat(id, NULL, 0);
```

  - Now the process could write to the shared memory

```
sprintf(shared memory, "Writing to shared memory");
```

  - When done a process can detach the shared memory from its address space

```
shmdt(shared memory);
```

# Examples of IPC Systems - Mach

- Mach communication is message based
  - Even system calls are messages
  - Each task gets two mailboxes at creation- Kernel and Notify
  - Only three system calls needed for message transfer

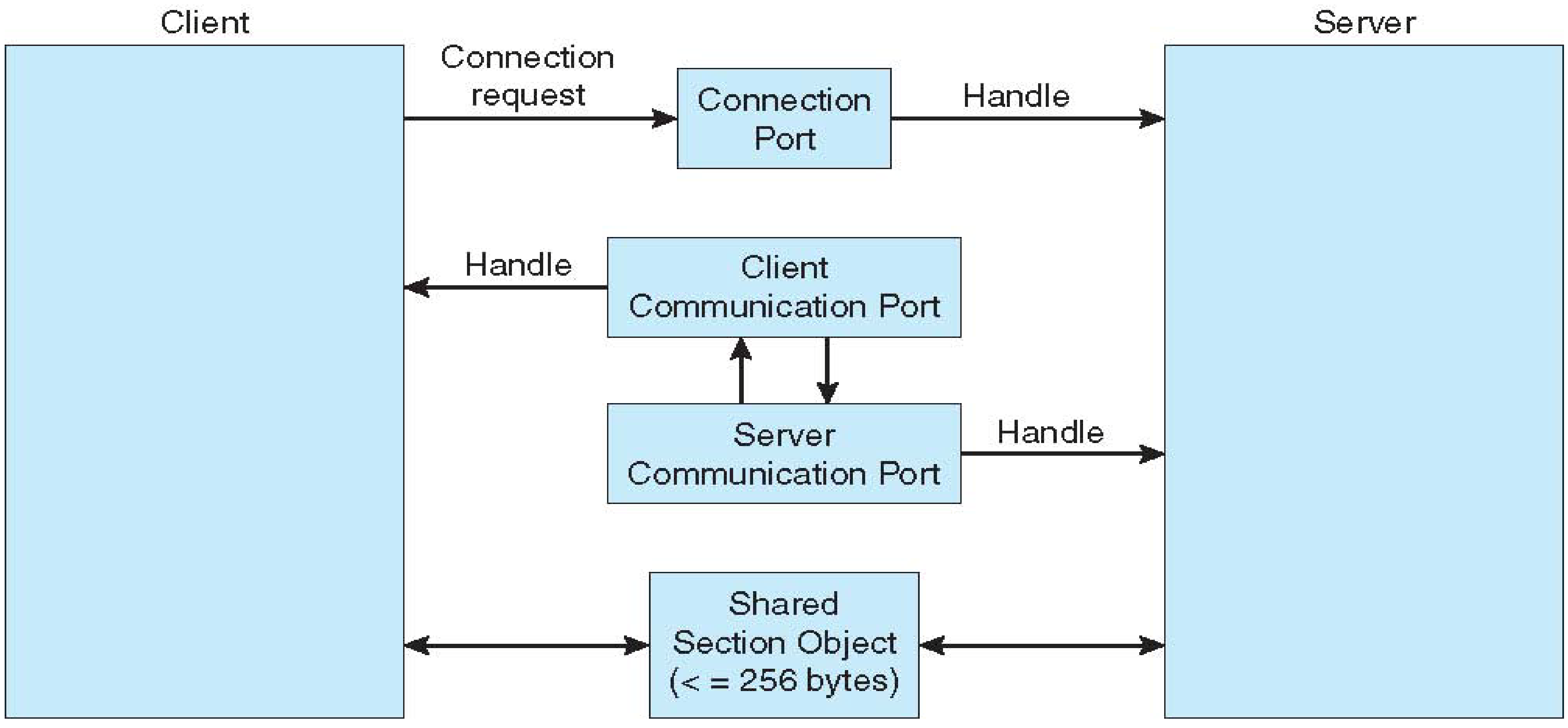
  `msg_send(), msg_receive(), msg_rpc()`
  - Mailboxes needed for commuication, created via

  `port_allocate()`

# Examples of IPC Systems – Windows XP

- Message-passing centric via **local procedure call (LPC)** facility
  - Only works between processes on the same system
  - Uses ports (like mailboxes) to establish and maintain communication channels
  - Communication works as follows:
    - The client opens a handle to the subsystem’s connection port object.
    - The client sends a connection request.
    - The server creates two private communication ports and returns the handle to one of them to the client.
    - The client and server use the corresponding port handle to send messages or callbacks and to listen for replies.

# Local Procedure Calls in Windows XP



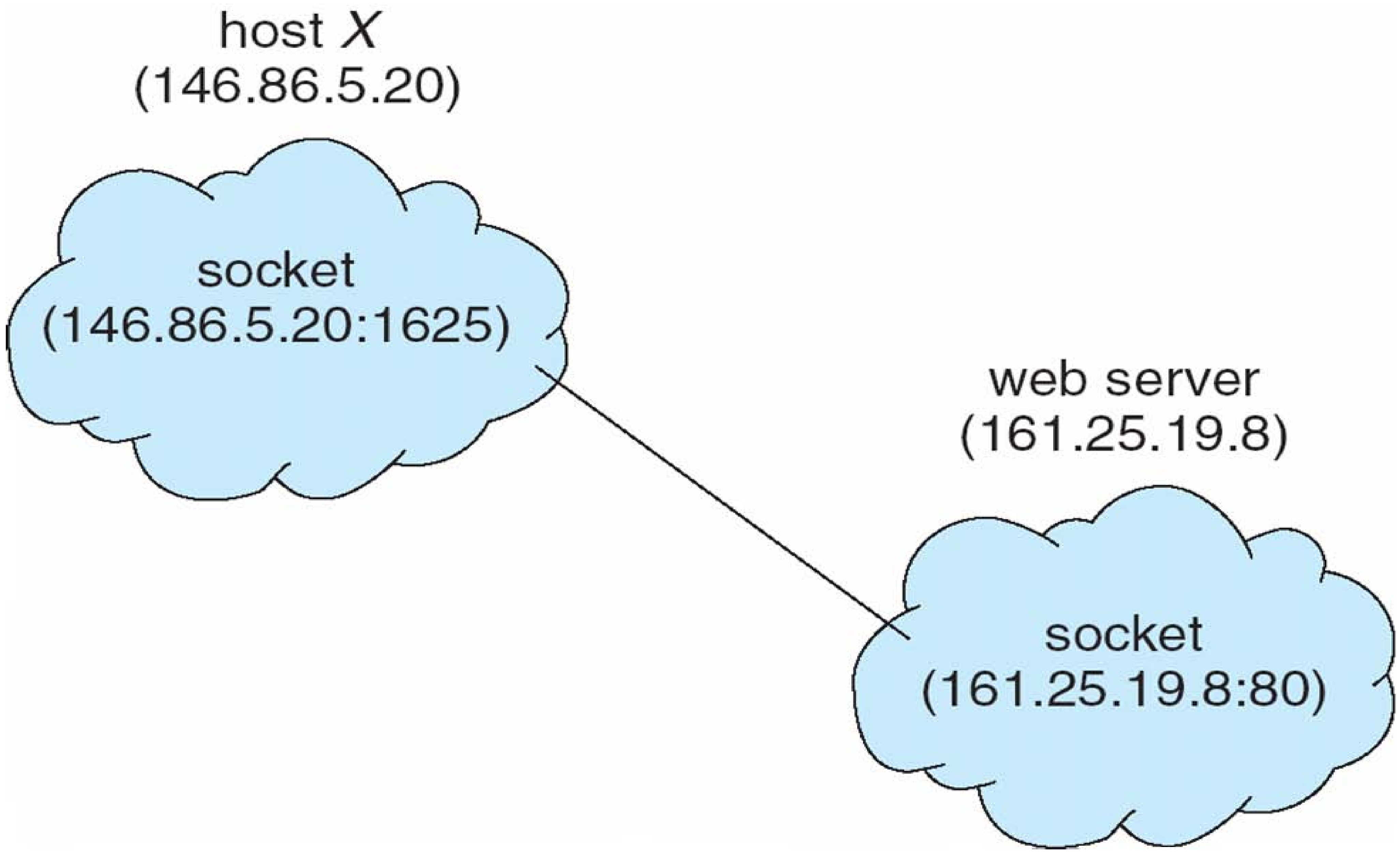
# Communications in Client-Server Systems

- Sockets
- Remote Procedure Calls
- Pipes
- Remote Method Invocation (Java)

# Sockets

- A **socket** is defined as an *endpoint for communication*
- Concatenation of IP address and port
- The socket **161.25.19.8:1625** refers to port **1625** on host **161.25.19.8**
- Communication consists between a pair of sockets

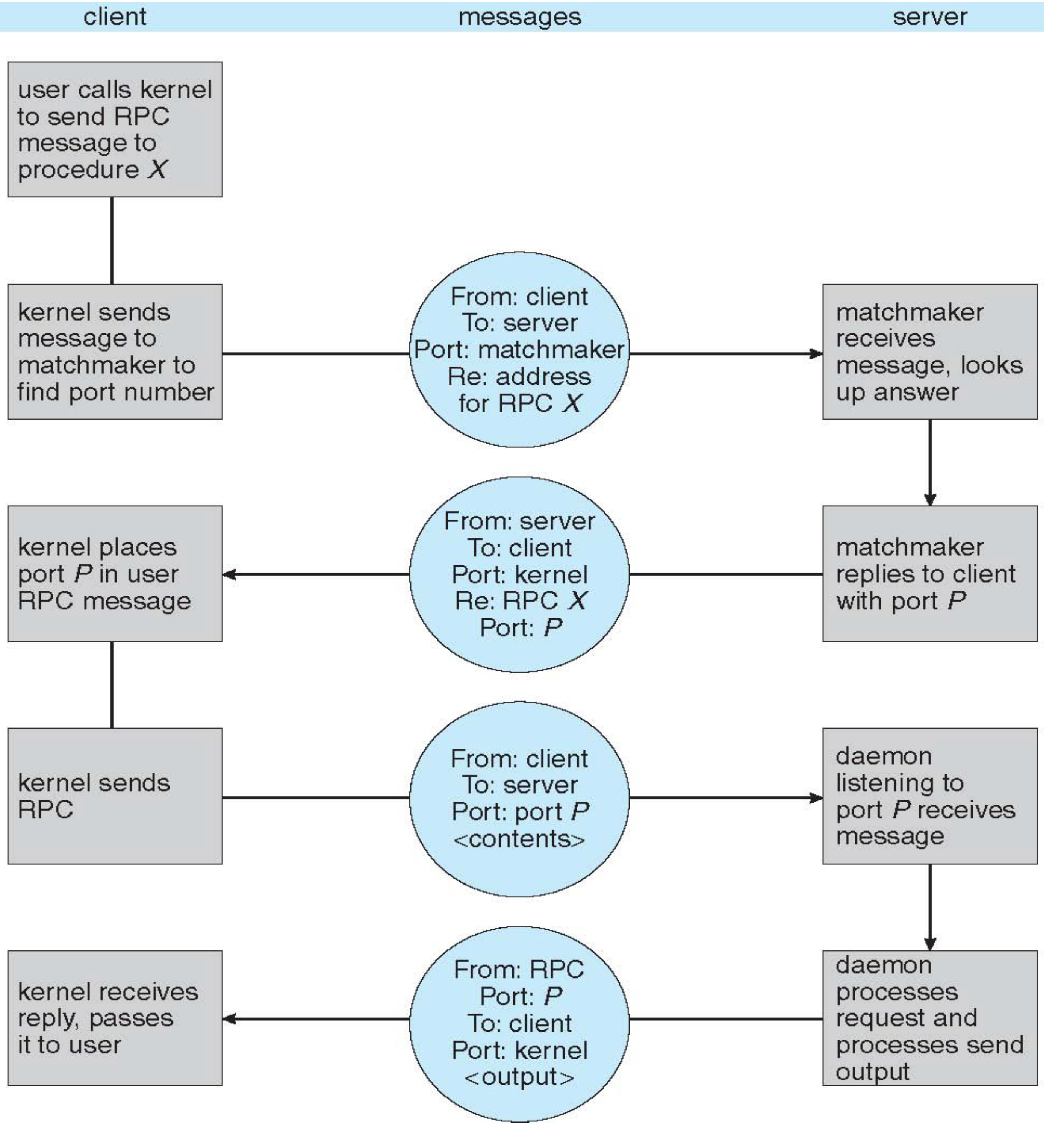
# Socket Communication



# Remote Procedure Calls

- Remote procedure call (RPC) abstracts procedure calls between processes on networked systems
- **Stubs** – client-side proxy for the actual procedure on the server
- The client-side stub locates the server and *marshalls* the parameters
- The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server

# Execution of RPC



# Pipes

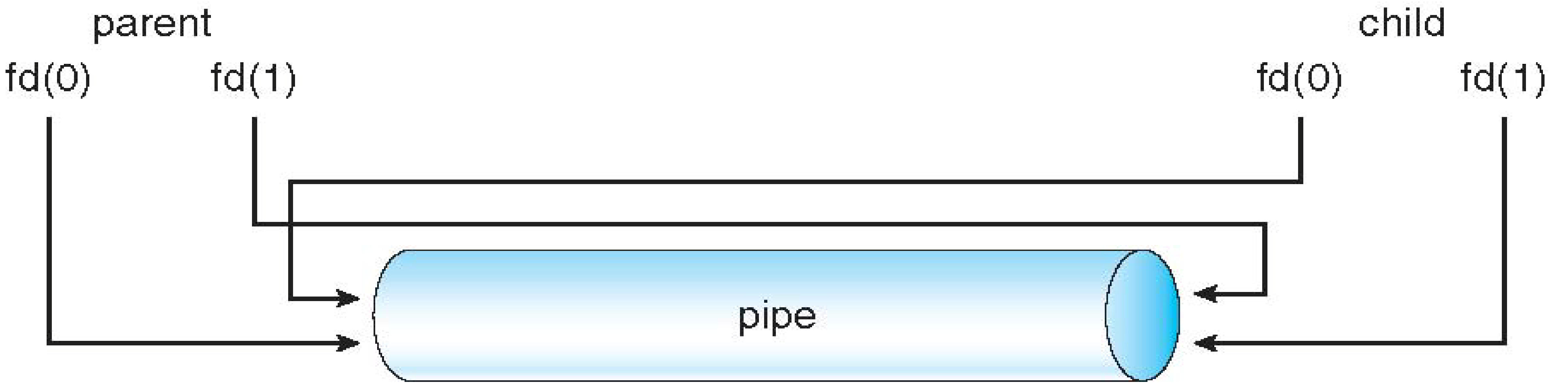
- Acts as a conduit allowing two processes to communicate

- **Issues**
  - Is communication unidirectional or bidirectional?
  - In the case of two-way communication, is it half or full-duplex?
  - Must there exist a relationship (i.e. parent-child) between the communicating processes?
  - Can the pipes be used over a network?

# Ordinary Pipes

- **Ordinary Pipes** allow communication in standard producer-consumer style
- Producer writes to one end (the *write-end* of the pipe)
- Consumer reads from the other end (the *read-end* of the pipe)
- Ordinary pipes are therefore unidirectional
- Require parent-child relationship between communicating processes

# Ordinary Pipes



# Named Pipes

- Named Pipes are more powerful than ordinary pipes
- Communication is bidirectional
- No parent-child relationship is necessary between the communicating processes
- Several processes can use the named pipe for communication
- Provided on both UNIX and Windows systems

# End of Chapter 3