Week 2

Introduction to Process Management

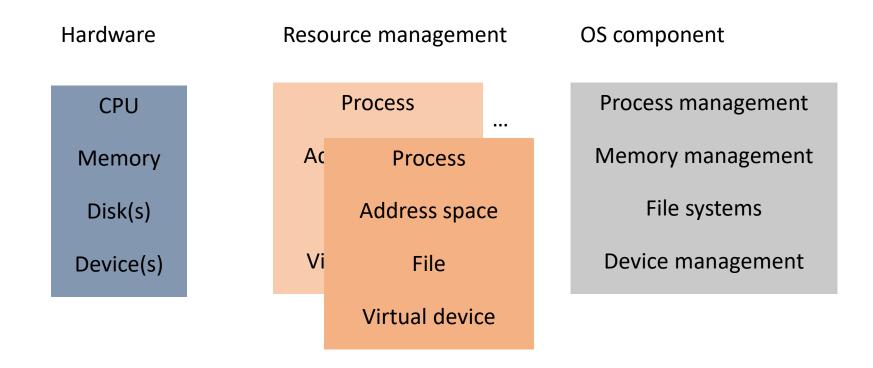
Max Kopinsky January 14, 2025

Recap from Week 1

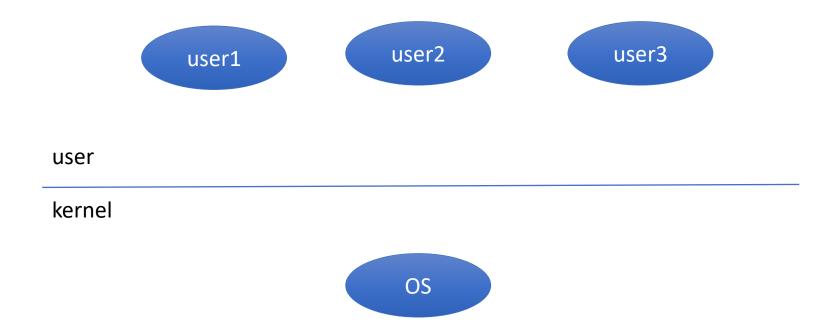
- What does the OS do?
- Where does the OS live?
- OS interfaces
- OS control flow
- OS structure

Recap from Week 1: What does the OS do?

Abstraction and Resource management



Recap from Week 1: User/OS Separation



Recap from Week 1: Kernel mode vs User mode

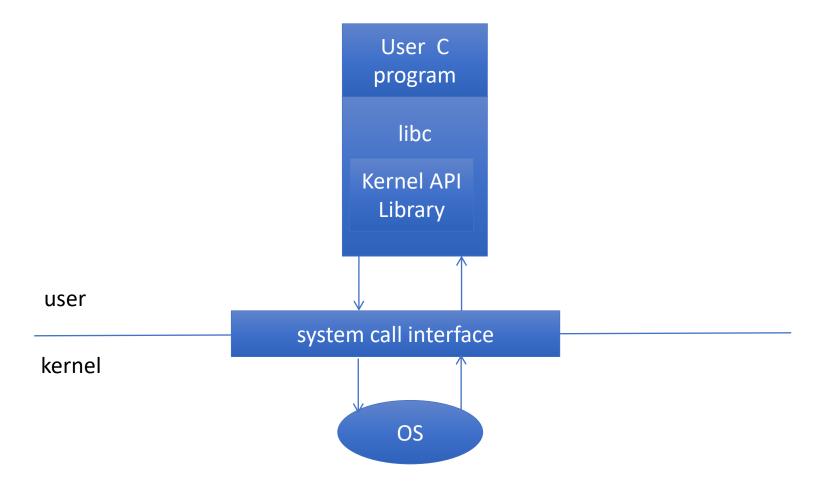
Kernel Mode

- Privileged instructions:
 - Set mode bit
 - ..
- Direct access to all of memory
- Direct access to devices

User Mode

- No privileged instructions:
 - Set mode bit
 - ...
- No direct access to all of memory
- No direct access to devices

Recap from Week 1: System calls, kernel API, libc



Recap from Week 1 System Calls, Traps Interrupts

System calls

Traps

Interrupts

Recap from Week 1 System Calls, Traps Interrupts

- System calls
 - Are the *only* interface from program to OS
 - Narrow interface essential for integrity of OS
- Traps
 - Trap is generated by CPU as a result of error
 - Works like an "involuntary" system call
- Interrupts
 - Generated by a device that needs attention

Recap from Week 1 OS Control Flow: Event-Driven Program

Nothing to do

- Interrupt (from device)
- Trap (from process)
- System call (from process)

Do nothing

Start running

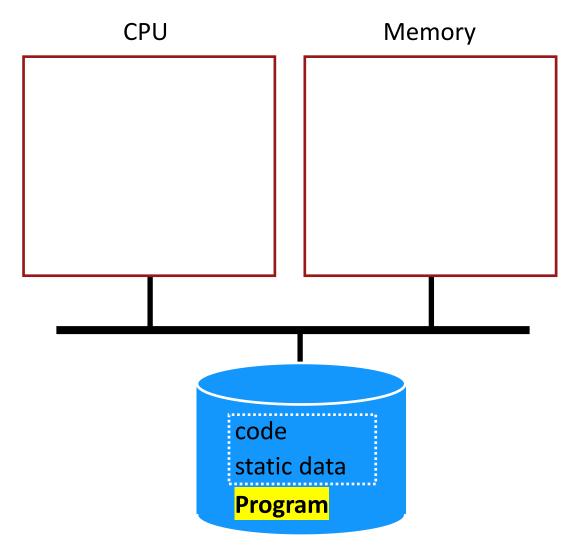
Key Concepts for this week

- Process
- Linux process tree
- Process switch
- Process scheduler

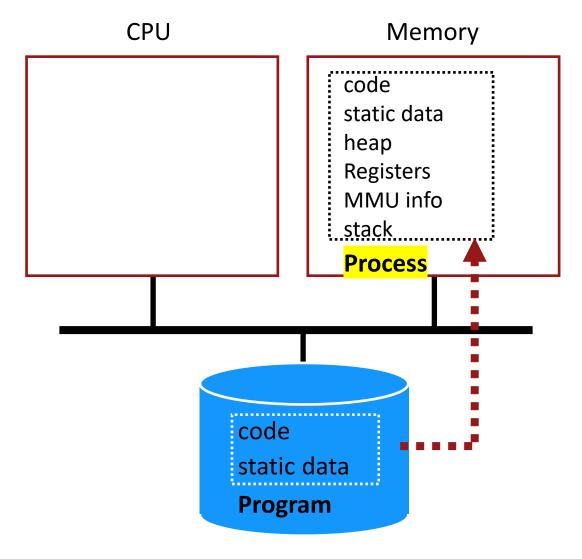
Process vs Program

- Process = program in execution
- Program
 - Executable code
 - Usually represented by a file on disk
- Process
 - Executing code
 - Usually represented in memory

Process Creation



Process Creation



• Process: An execution stream in the context of a process state

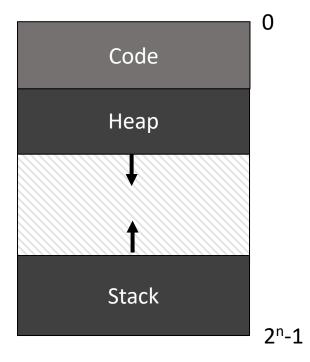
- Process: An execution stream in the context of a process state
- What is an execution stream?
 - Stream of executing instructions
 - Running piece of code
 - "thread of control"

- Process: An execution stream in the context of a process state
- What is process state?
 - Everything that the running code can affect or be affected by
 - Registers
 - General purpose, floating point, status, program counter, stack pointer
 - Address space
 - Heap, stack, and code
 - Open files

Address Space Review

Static and dynamic components

- Static: Code and some global variables
- Dynamic: Stack and Heap



Motivation for Dynamic Memory Allocation

Why do processes need dynamic allocation of memory?

- Do not know amount of memory needed at compile time.
- Must be pessimistic for static memory allocation.
- If statically allocate enough for worst possible case, storage is used inefficiently.

Motivation for Dynamic Memory Allocation

Why do processes need dynamic allocation of memory?

- Recursive procedures
 - Do not know how many times procedure will be nested
- Complex data structures: lists and trees

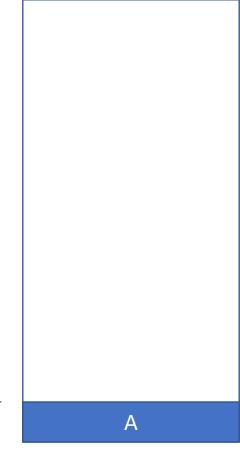
```
struct my t *p = (struct my t *) malloc(sizeof(struct my t));
```

Dynamic Memory Allocation

Two types of dynamic allocation

- Stack
- Heap

Memory is freed in opposite order from allocation alloc(A);



Stack

Stack

pointer

```
Memory is freed in opposite order from allocation
  alloc(A);
  alloc(B);
                                           Stack
                                           pointer
                                                                    В
                                                                   Α
                                                                  Stack
```

Memory is freed in opposite order from allocation alloc(A); alloc(B); alloc(C); Stack pointer В

Stack

Α

Memory is freed in opposite order from allocation alloc(A);

```
alloc(B);
alloc(C);
free(C);
```

Stack

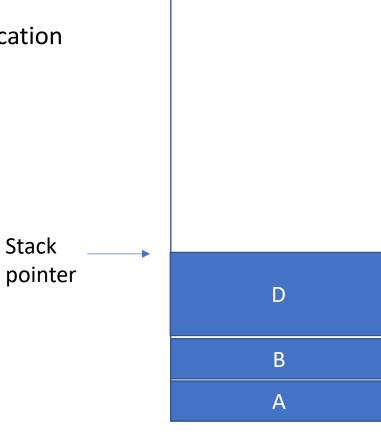


В Α

Stack

Memory is freed in opposite order from allocation

```
alloc(A);
alloc(B);
alloc(C);
free(C);
alloc(D);
```



Stack

Memory is freed in opposite order from allocation alloc(A); alloc(B); alloc(C); free(C); alloc(D); free(D); Stack pointer В Α

Stack

Memory is freed in opposite order from allocation alloc(A); alloc(B); alloc(C); free(C); alloc(D); free(D); free(B); free(A); Stack pointer Α

Stack

Memory is freed in opposite order from allocation alloc(A); alloc(B); alloc(C); free(C); alloc(D); free(D); free(B); free(A); Stack pointer Stack

Simple and efficient implementation:

- Pointer separates allocated and freed space
- Allocate: Increment pointer
- Free: Decrement pointer

No fragmentation

Stack management done automatically

Where are stacks used?

OS uses stack for procedure call frames (local variables and parameters)

```
main () {
    int A = 0;
    foo (A);
    printf("A: %d\n", A);
}

void foo (int Z) {
    int A = 2;
    Z = 5;
    printf("A: %d Z: %d\n", A, Z);
}
```

Where are stacks used?

OS/compilers uses stack for procedure call frames (local variables and parameters)

```
main () {
    int A = 0;
    foo (A);
    printf("A: %d\n", A);
}

void foo (int Z) {
    int A = 2;
    Z = 5;
    printf("A: %d Z: %d\n", A, Z);
}
```

```
Prints:
A: 2 Z: 5
A: 0
```

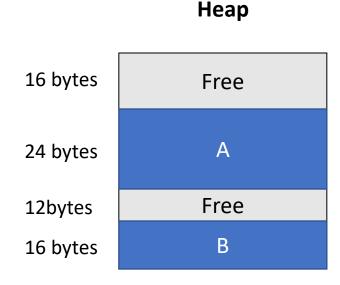
Heap

Allocate from any random location

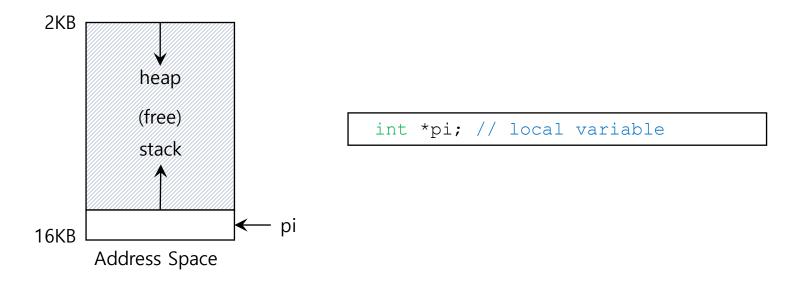
- Heap consists of allocated areas and free areas (holes)
- Order of allocation and free is unpredictable

- + Works for all data structures
- ⊗ Allocation can be slow
- **⊗** Fragmentation

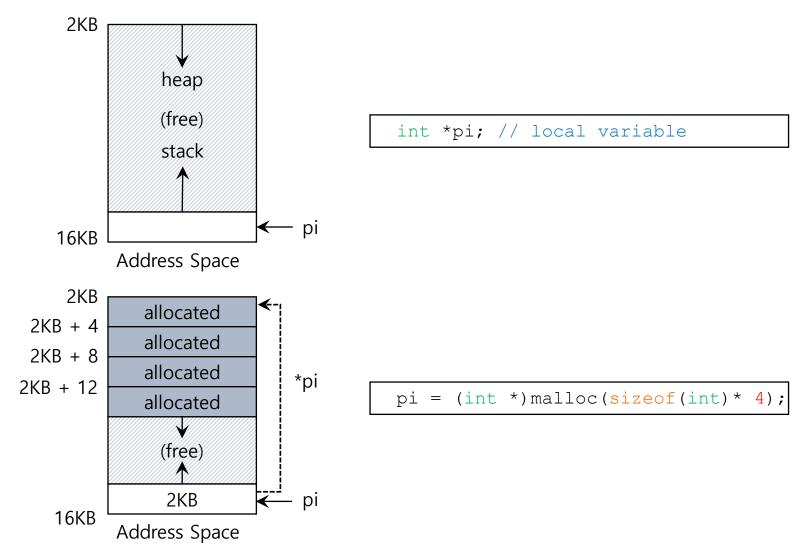
Programmers manage allocations/deallocations with library calls (malloc/free)



Memory allocation example



Memory allocation example



Quiz: Match that Address Location

```
int x;
int main(int argc, char *argv[]) {
  int y;
  int *z = malloc(sizeof int));
}
```

Possible segments: static data, code, stack, heap

What if no static data segment?

Address	Location
x	Static data → Code
main	Code
У	Stack
Z	Stack
*z	Неар

What does a Process do? (as far as a user is concerned)

What does a Process do? (as far as a user is concerned)

- It can do anything
- Shell
- Compiler
- Editor
- Browser
- •
- These are all processes

Process Identification

- Each process has a unique process identifier
- Always referred to as "pid"

Basic Operations on Processes

- Create a process
- Terminate a process
 - Normal exit
 - Error
 - Terminated by another process

Linux Process Primitives

- pid = fork()
- exec(filename)
- exit()
- wait()
 - We won't talk about this one very much, but you should still know it!

pid = fork()

- Creates an *identical* copy of parent
- In parent, returns pid of child
- In child, returns 0

exec(filename)

• Loads executable from file with filename

wait()

• Wait for one of its children to terminate

exit()

• Terminate the process

Typical fork()-ing Code Segment

Before fork()

After fork()

parent

After fork()

parent

After fork()

parent

After exec()

parent

```
main () {

exit()
}
```

After exit()

parent

```
main () {

    exit()
}
```

Outline of Linux Shell

```
forever {
 read from input
 if (logout) exit()
 if (pid = fork()) {
  wait()
 else {
  exec(filename)
```

Shell Operation

- New command line (!= logout)
 - Shell forks a new process and waits
 - Child executes program on command line

The Linux Process Tree

Boot

• First process after boot is the init process



Boot

- First process after boot is the init process
- Happens by black magic
 - This example is quite simplified because init is such arcane mystery that it could consume the whole hour we have to talk.

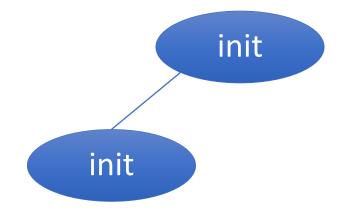




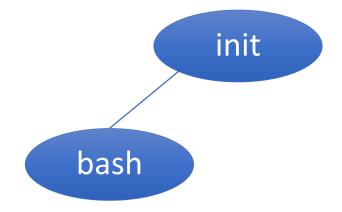
- Init forks (and *doesn't* wait)
- Child execs shell

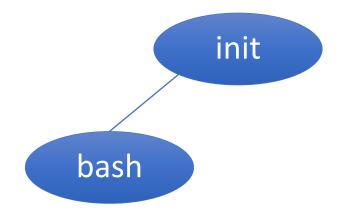


- Init forks
- Child execs shell

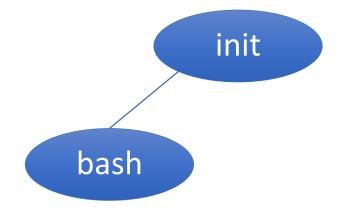


- Init forks
- Child execs shell

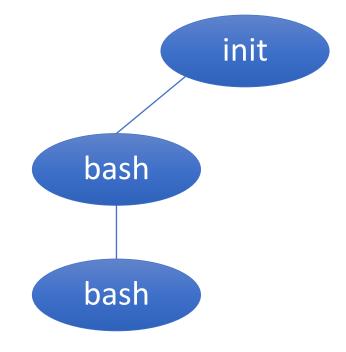




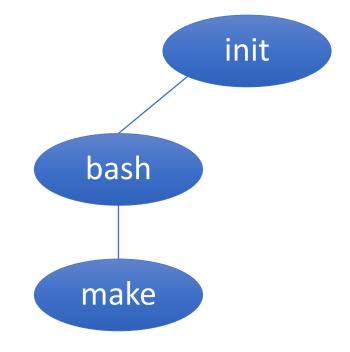
- Shell forks and waits
- Child execs make

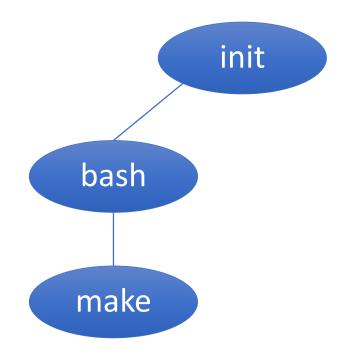


- Shell forks and waits
- Child execs make

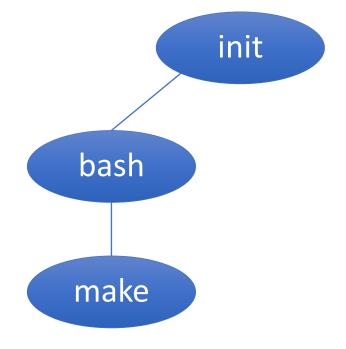


- Shell forks and waits
- Child execs make

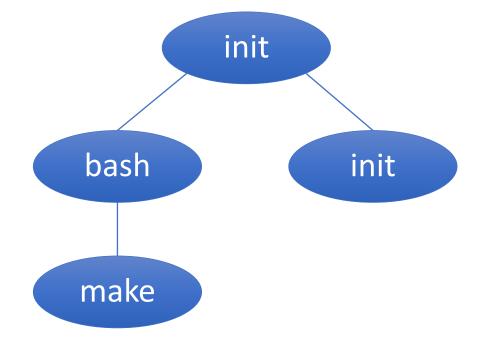




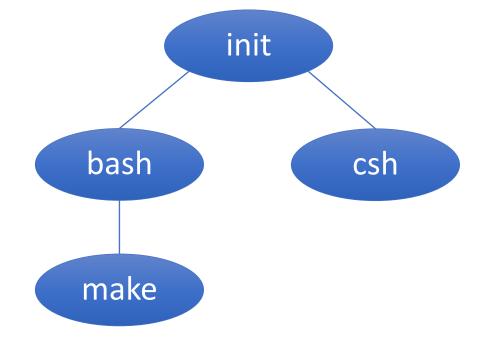
- Init forks (but doesn't wait)
- Child execs shell



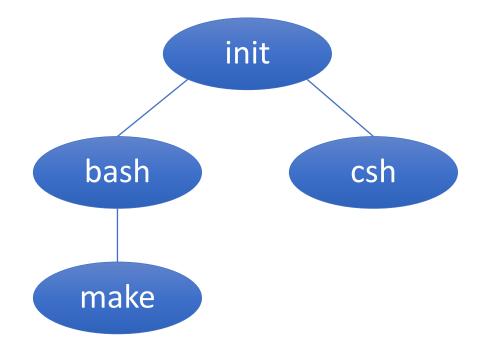
- Init forks (possible: not waiting!)
- Child execs shell



- Init forks
- Child execs shell

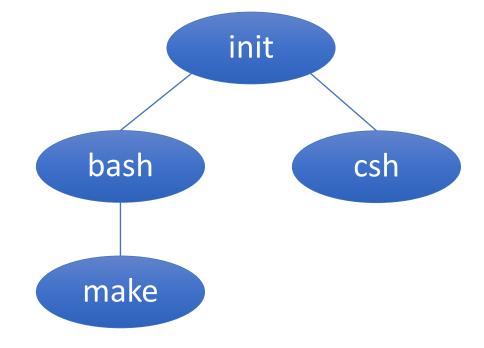


Make runs gcc



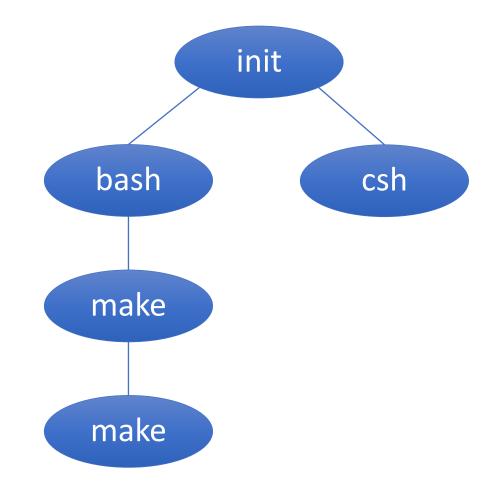
Make runs gcc

- Make forks and waits
- Child execs gcc



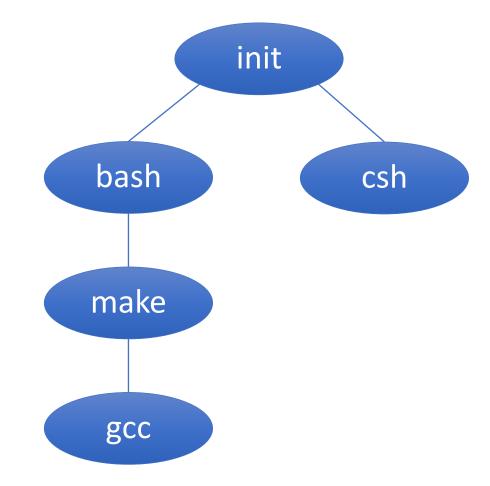
Make runs gcc

- Make forks and waits
- Child execs gcc



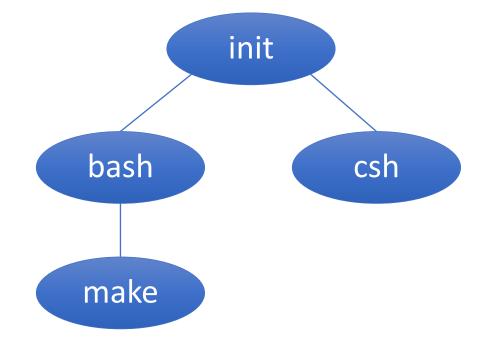
Make runs gcc

- Make forks and waits
- Child execs gcc



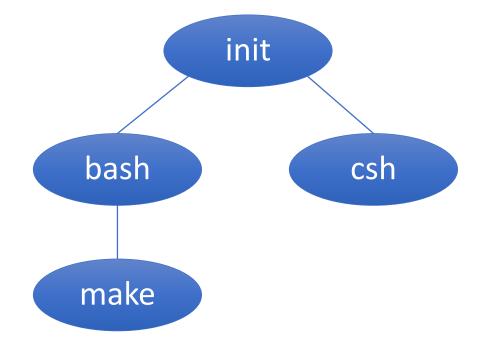
Gcc finishes

- Gcc exits
- Make returns from wait



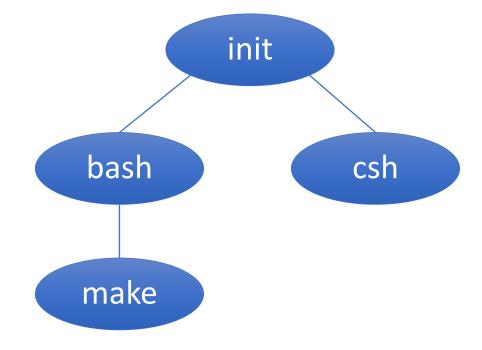
Gcc finishes

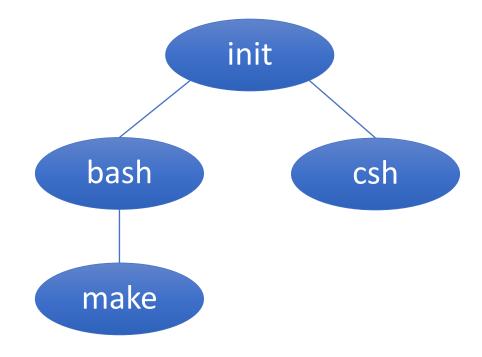
- Gcc exits
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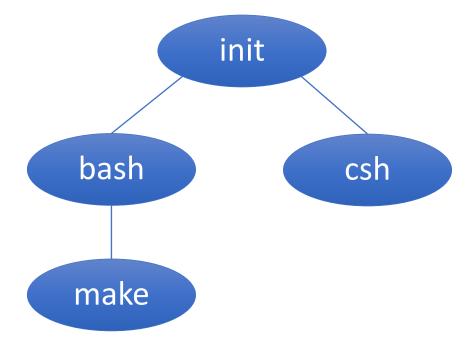
Gcc finishes

- Gcc exits
- Make returns from wait

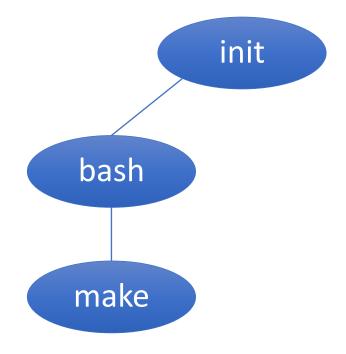




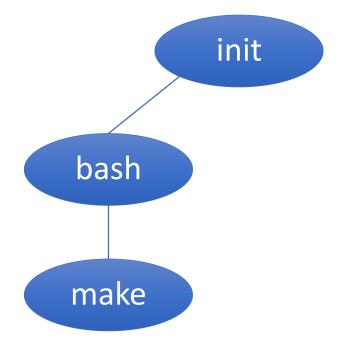
- Csh exits
- Init not waiting second session simply stops existing



• Csh exits

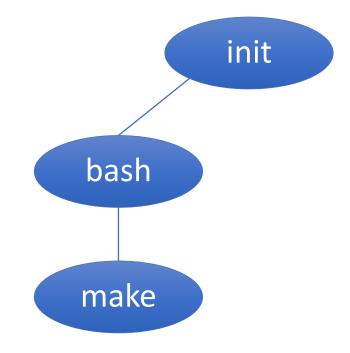


- Csh exits
- Second session stops existing



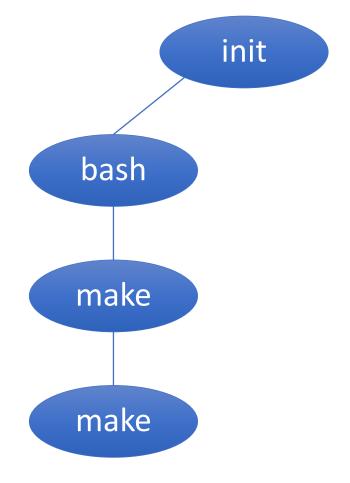
Make runs cp

- Make forks and waits
- Child execs cp



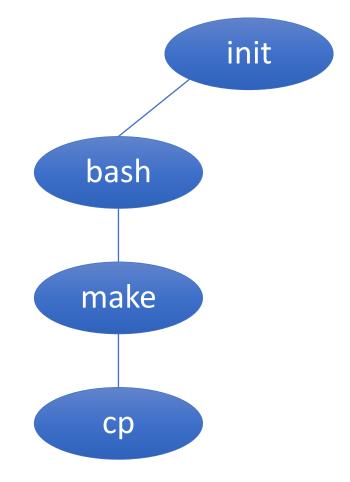
Make runs cp

- Make
 Make forks and waits
 - Child execs cp



Make runs cp

- Make
 Make forks and waits
 - Child execs cp



Why fork+exec vs. create?

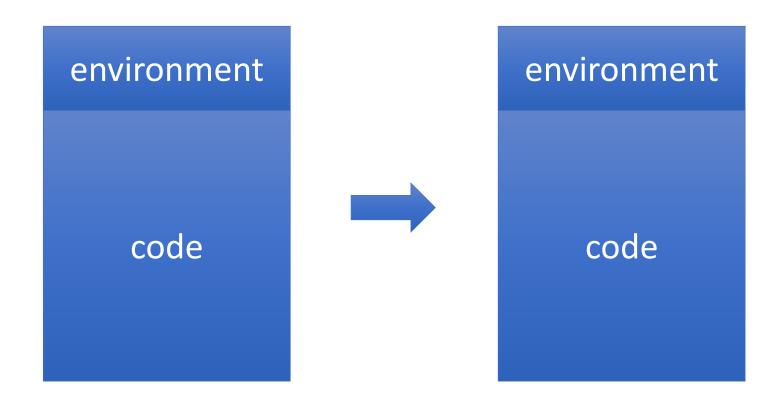
Process = Environment + Code

environment code

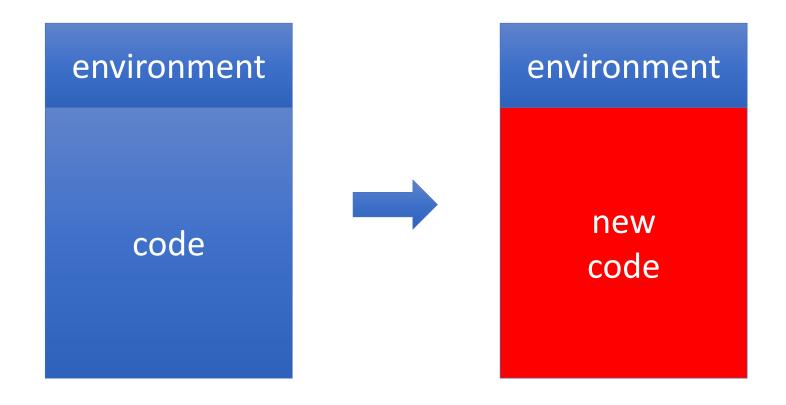
Process = Environment + Code

- Environment includes:
 - Ownership
 - Open files
 - Values of environment variables

After a fork()



After an exec() in the Child



Advantage

• Child automatically inherits environment

Given New Definition of exec

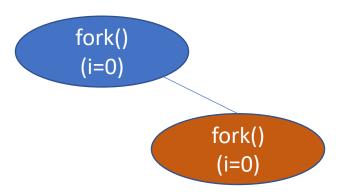
```
forever {
 read from input
 if (logout) exit()
 if (pid = fork()) {
  wait()
                               does it make sense
                               to write code here?
 else {
  exec(filename)
```

Answer

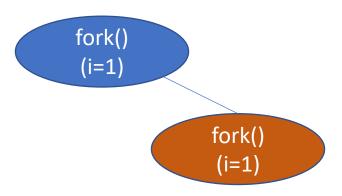
- Yes
- Shell can manipulate environment of child
- For instance, can manipulate stdin and stdout

```
1 int main(void) {
2  for (int i = 0; i < 3; i++) {
3    pid_t fork_ret = fork();
4  return 0;
5 }</pre>
```

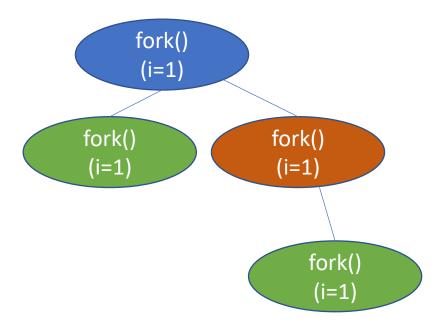
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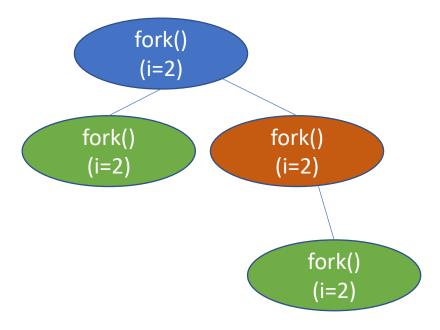
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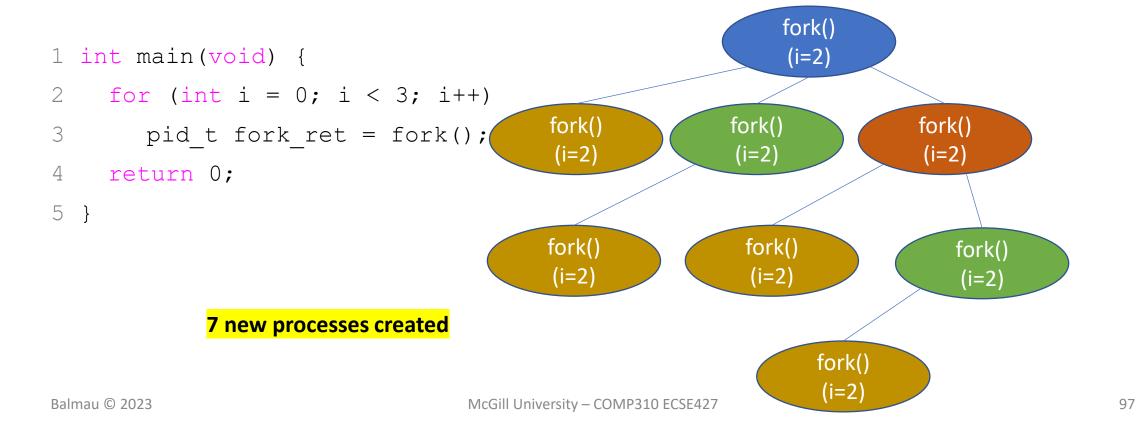


```
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```



```
1 int main(void) {
2   for (int i = 0; i < 3; i++)
3      pid_t fork_ret = fork();
4   return 0;
5 }</pre>
```





What are the possible outputs when the following program is run? Assume all fork calls succeed.

```
int main(void) {
  int stuff = 5;
  pid_t fork_ret = fork();
  printf("The last digit of pi is %d\n", stuff);
  if (fork_ret == 0)
    stuff = 6;
  return 0;
}
```

What are the possible outputs when the following program is run?

```
1 int main(void) {
2  int stuff = 5;
4  printf("The last digit of pi is %d\n", stuff);
5  if (fork_ret == 0)
6   stuff = 6;
7  return 0;
8 }

In this case, parent does not wait

> Child and parent can be executed in any order
```

What are the possible outputs when the following program is run?

What are the possible outputs when the following program is run?

```
parent
1 int main(void) {
                                                            stuff = 5
    int stuff = 5;
    pid t fork ret = fork();
                                                                       child
                                                                      stuff = 5
    printf("The last digit of pi is %d\n", stuff);
    if (fork ret == 0)
                                          Assume parent goes first:
      stuff = 6;
                                          Program prints:
    return 0;
                                          The last digit of pi is 5.
                                                                     Why?
8
                                          The last digit of pi is 5.
```

What are the possible outputs when the following program is run?

What are the possible outputs when the following program is run?

```
parent
1 int main(void) {
                                                           stuff = 5
    int stuff = 5;
    pid t fork ret = fork();
                                                                      child
                                                                     stuff = 6
    printf("The last digit of pi is %d\n", stuff);
    if (fork ret == 0)
                                         Assume child goes first:
      stuff = 6;
                                         Line 6 executes.
    return 0;
                                         Does this affect the parent's stuff value?
8
                                         No. Child's environment is cloned.
```

What are the possible outputs when the following program is run?

Assume all fork calls succeed.

```
1 int main(void) {
2   int stuff = 5;

   pid_t fork_ret = fork();
4   printf("The last digit of pi is %d\n", stuff);
5   if (fork_ret == 0)
6     stuff = 6;
7   return 0;
8 }
Program prints:
The last digit of pi is 5.
The last digit of pi is 5.
The last digit of pi is 5.
No. Child's enviror
```

Assume child goes first:
Line 6 executes.
Does this affect the parent's stuff value?
No. Child's environment is cloned.

parent

stuff = 5

What does a process do? (as far as a user is concerned)

- It can do anything
- Shell
- Compiler
- Editor
- Browser
- •
- These are all processes

What does a process do? (as far as the OS is concerned)

Week 2

Introduction to Process Management

Max Kopinsky January 16, 2025

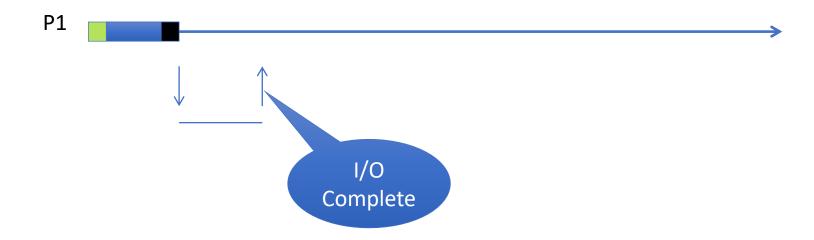
What does a process do? (as far as the OS is concerned)

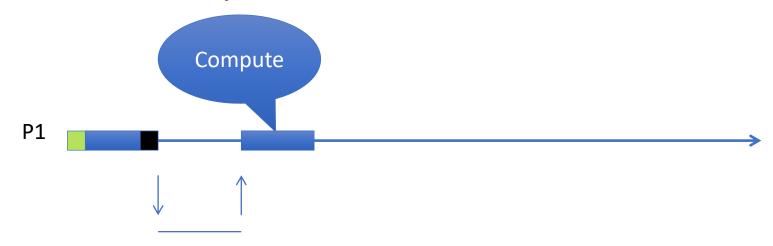
- Either it computes (uses the CPU)
- Or it does I/O (uses a device)

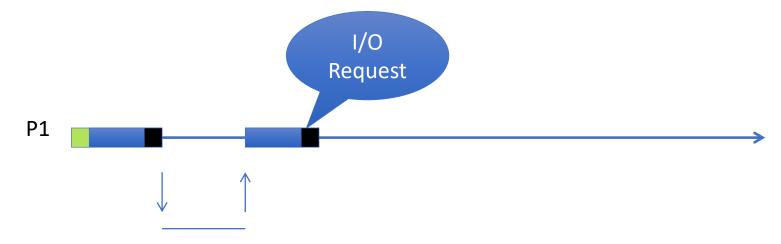


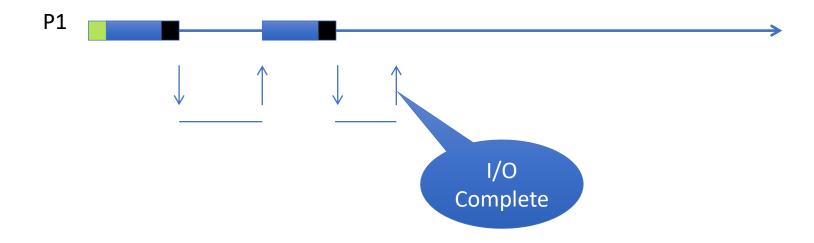


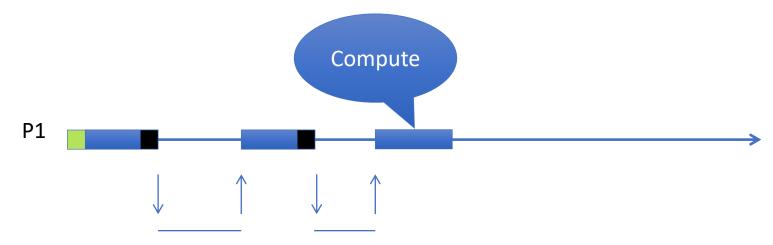


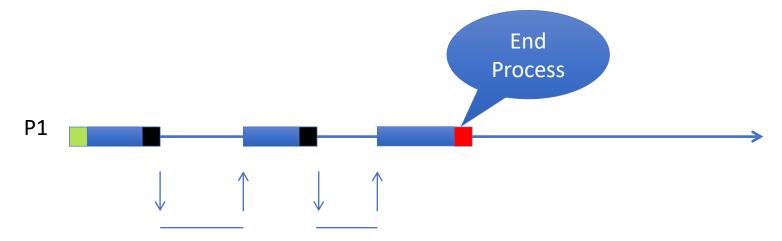




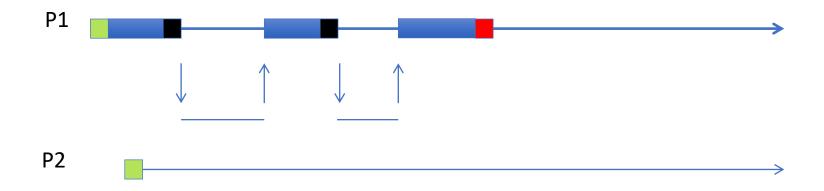




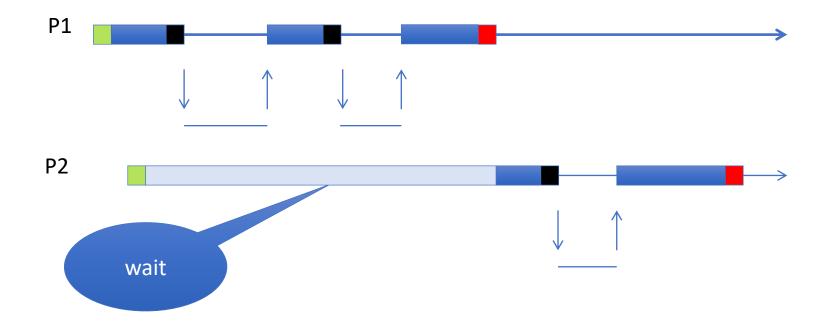




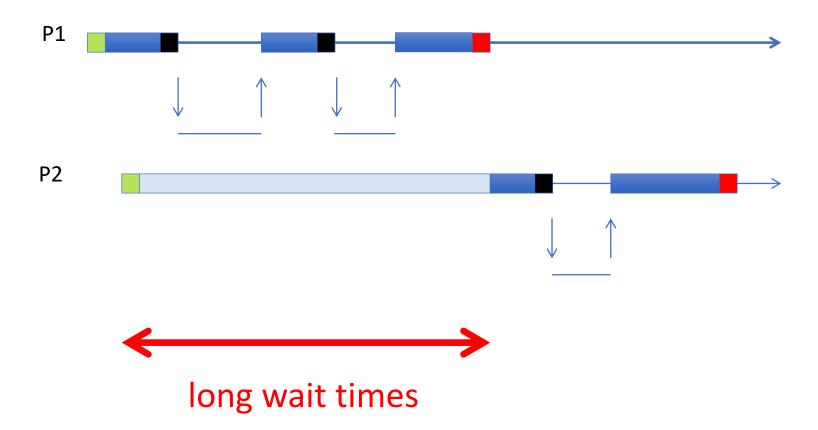
A Second Process



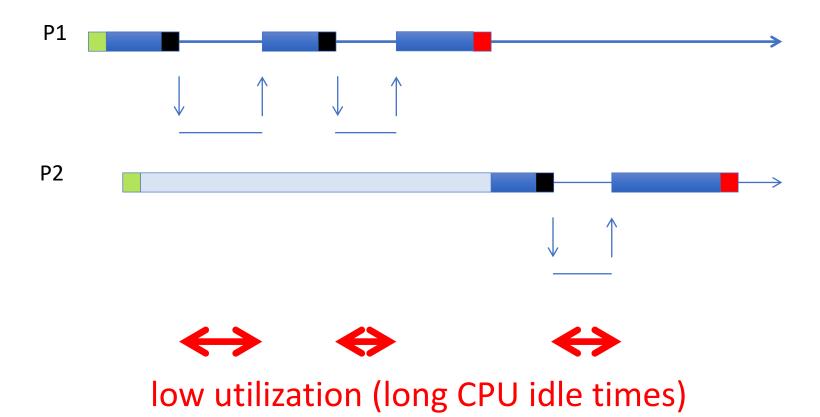
A Second Process



Two Issues



Two Issues



- Is very inefficient
 - Very poor CPU utilization
- Is very annoying
 - You can't do anything else

- Many processes in the system
- One uses the CPU
- When it does an I/O
 - It waits for the I/O to complete
 - It leaves the CPU idle
- Another process gets the CPU





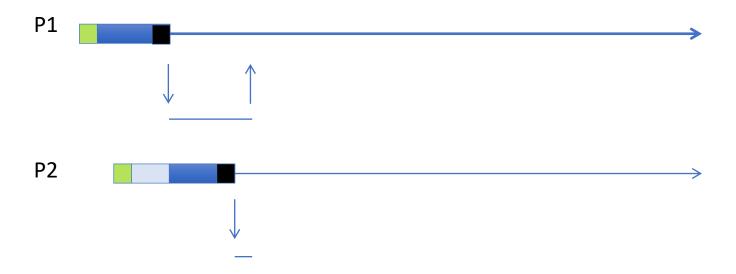


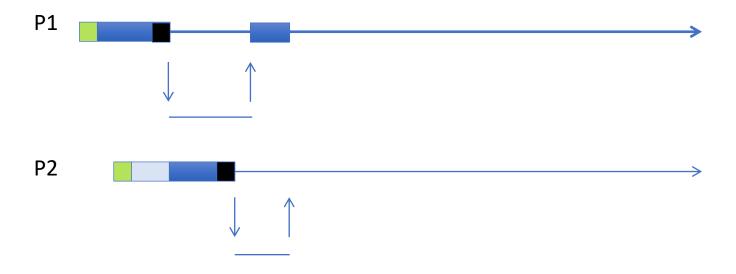


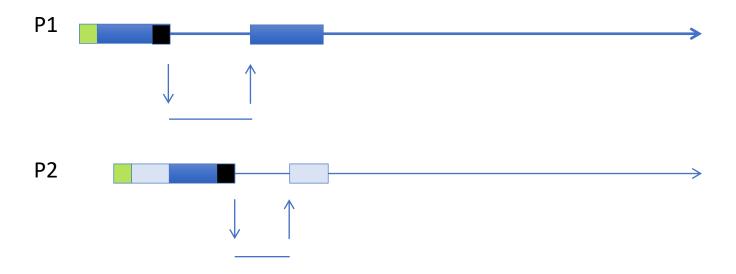


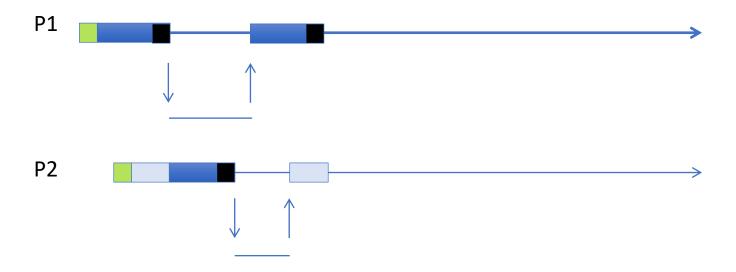


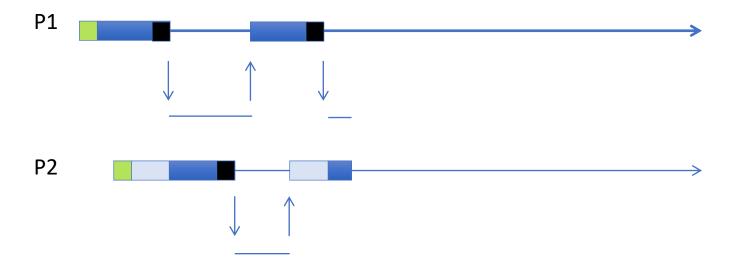


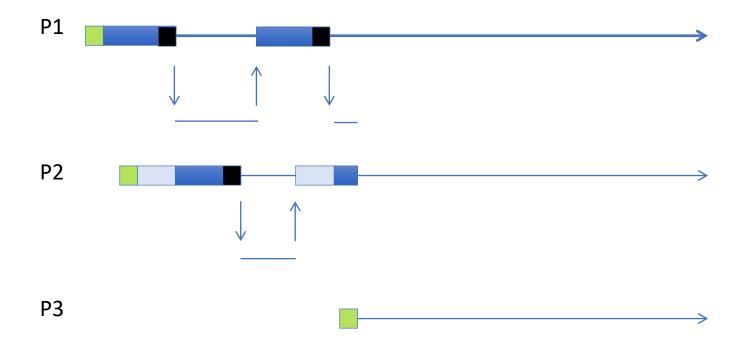


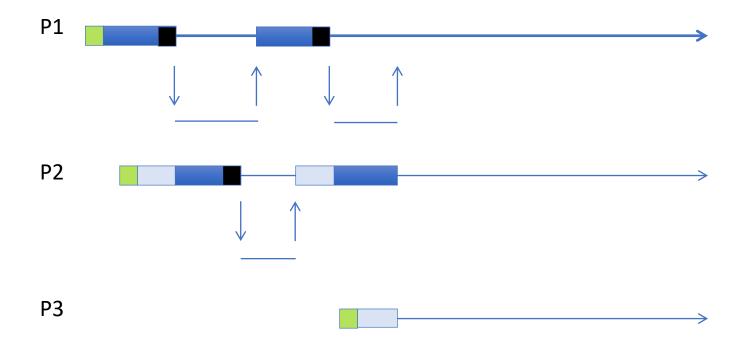


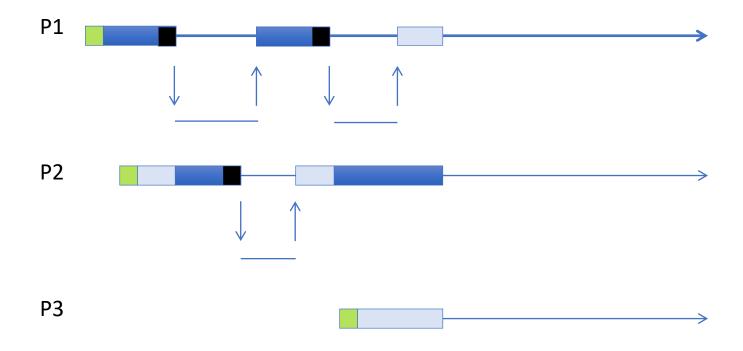


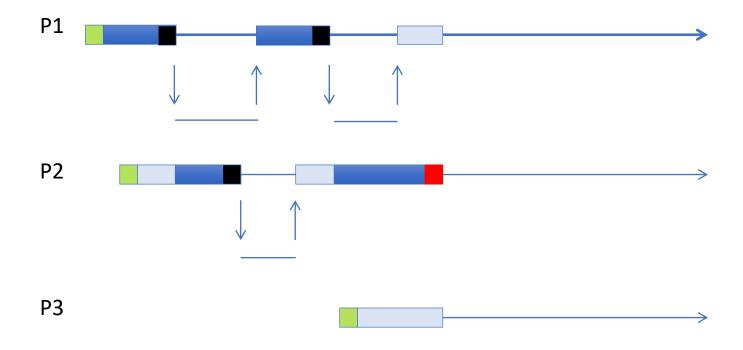


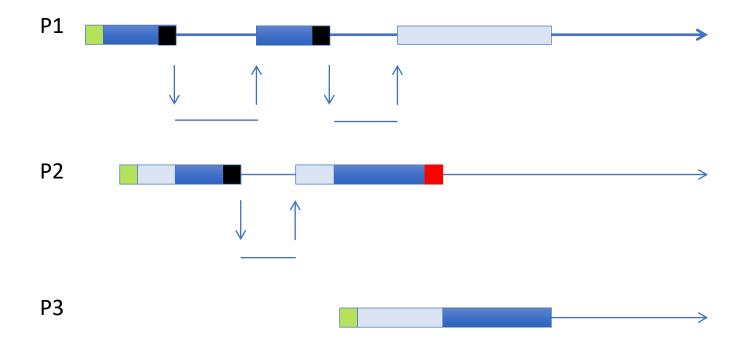


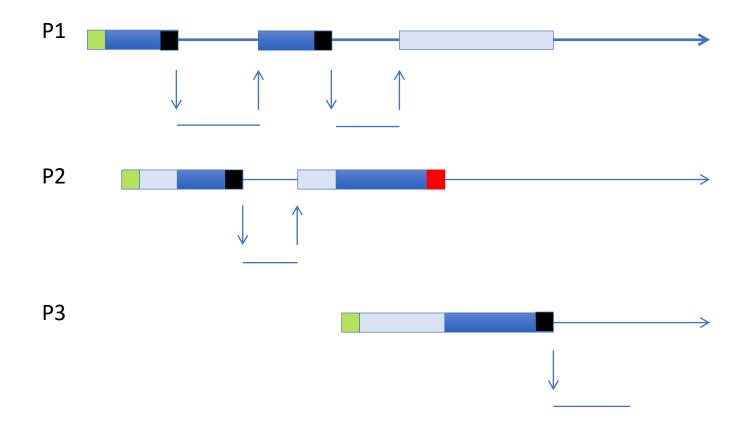


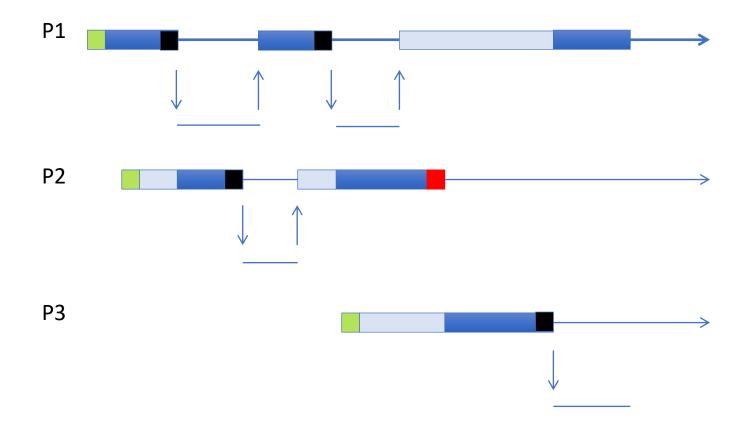


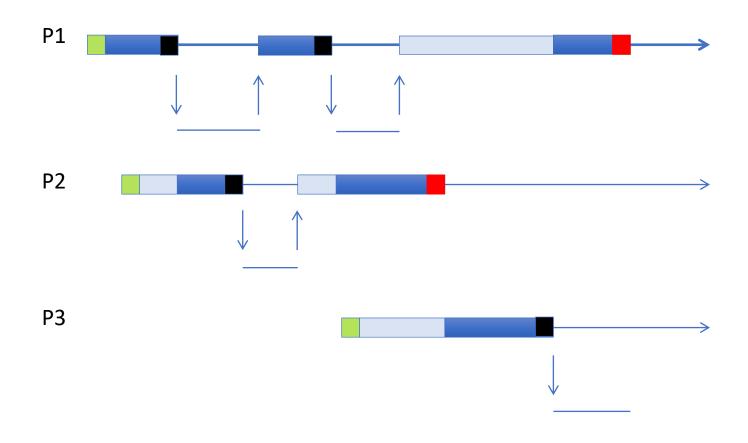


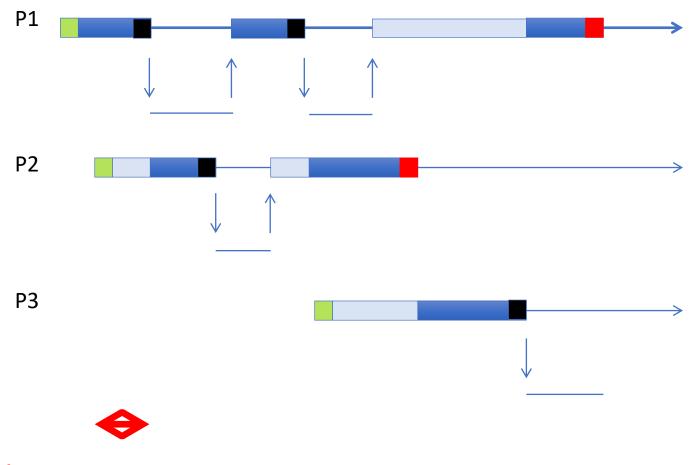




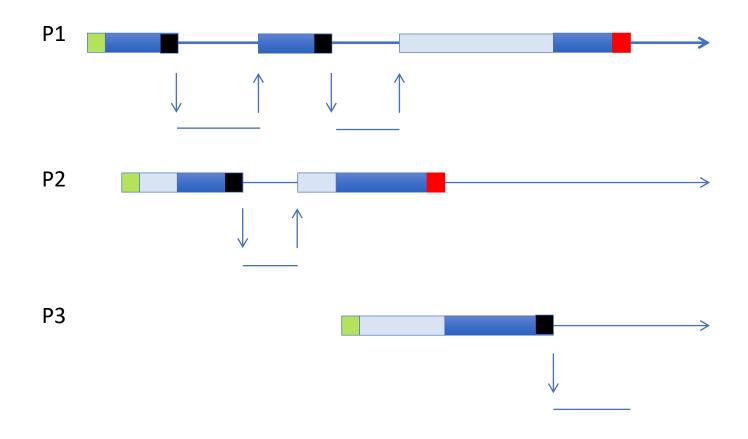






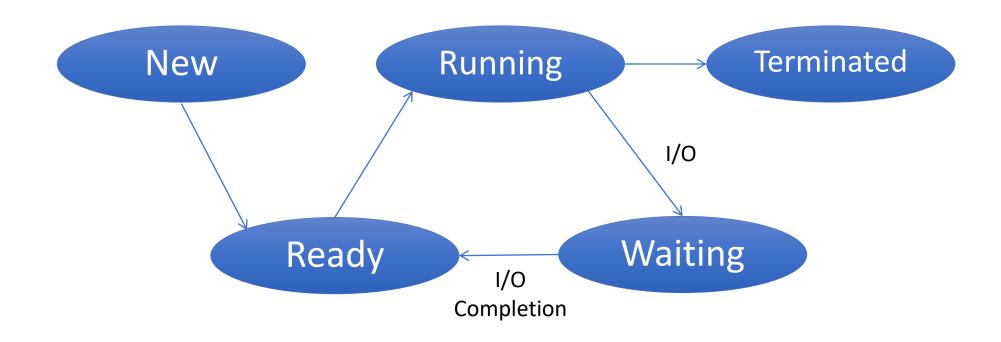


Multiprocess System



high utilization (short CPU idle times)

Process State Diagram for Multiprocessing System



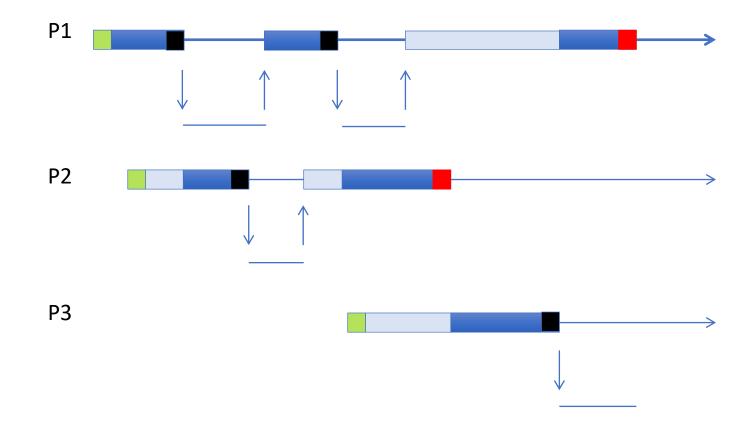
Two Important Concepts

- Process switch
- Process scheduling

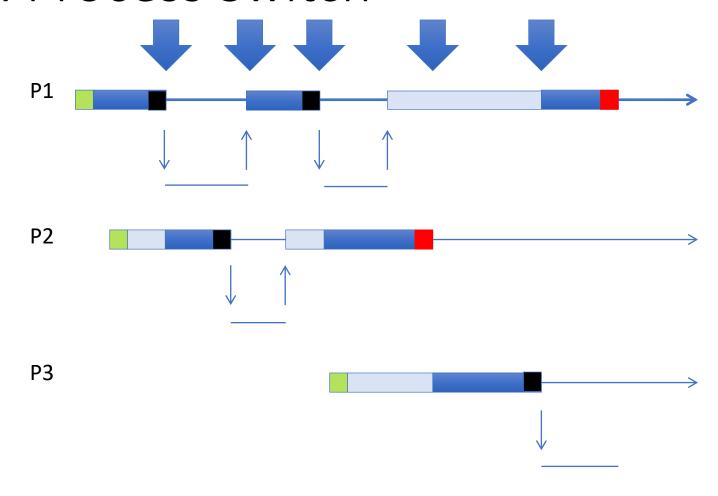
Process Switch

- Switch from one process running on the CPU to another process
- Such that you can later switch back to the process currently holding the CPU

Process Switch – where do we switch?



Answer: Process Switch



Process Switch Implementation

- Process consists of:
 - Code (including libraries)
 - Stack
 - Heap
 - Registers (including PC)
 - MMU info (ignore for now)



Process Switch Implementation

- Process:
 - Code
 - Stack
 - Heap
 - Registers
 - MMU info

Resides in process-private locations

Resides in shared locations
(ignore for now)

Process Switch P1 P2

- Save registers(P1) to somewhere
- Restore registers(P2) from somewhere

Where to save to and restore from?

Process Control Block

- Kernel must remember processes
- Each process has a process control block (PCB)
- Process control block contains
 - Process identifier (unique id)
 - Process state
 - Space to support process switch (save area)
- Process Control Block Array
 - Indexed by hash(pid)

Process Switch P1 P2

- Save registers → PCB[P1].SaveArea
- Restore PCB[P2].SaveArea → registers

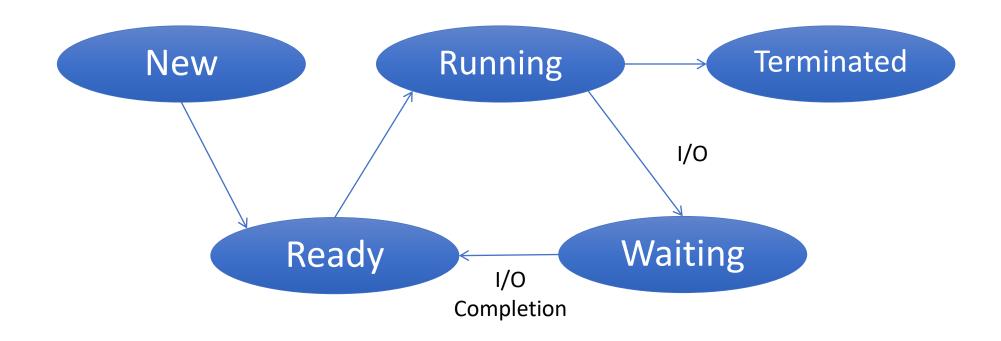
Process Switch - Caveat

- A process switch is an expensive operation!
- Requires saving and restoring lots of stuff
 - Not just registers
 - Also MMU information
- Has to be implemented very efficiently
- Has to be used with care

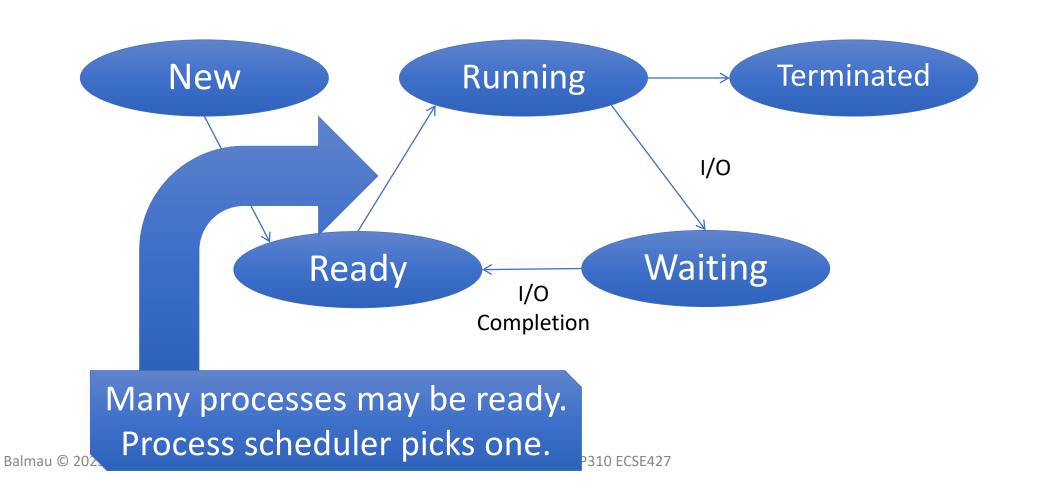
Two Important Concepts

- Process switch
- Process scheduling

Process Scheduling

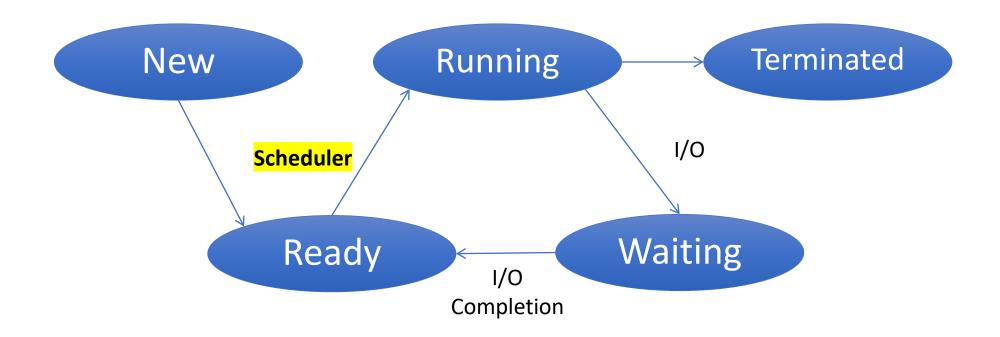


Process Scheduling



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Process Scheduling

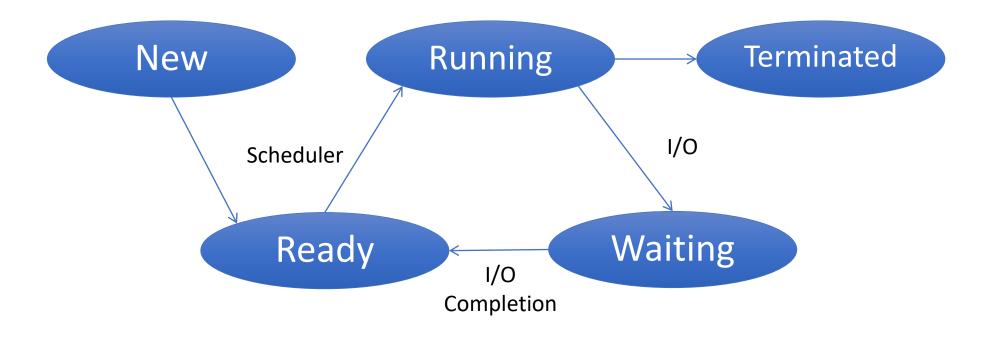


What is the role of the scheduler in an OS?

- Think of scheduler as managing a queue
- Process ready: insert it into queue
 - According to scheduling policy
- Scheduling decision: run head of queue

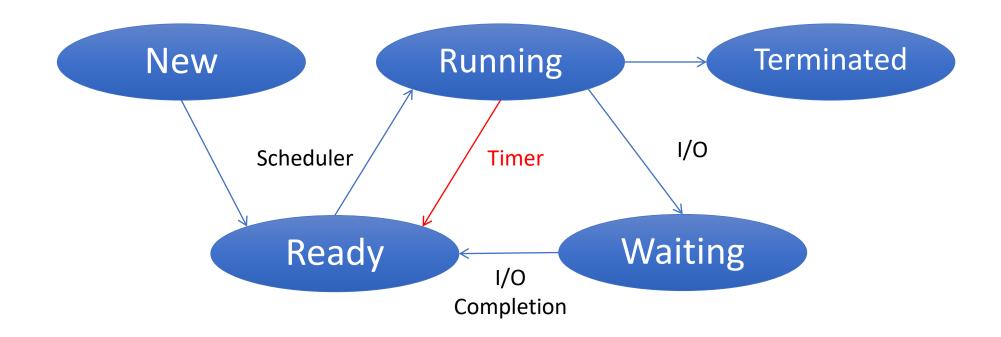
Not always implemented this way!!

Problem



A process could run forever, locking all other processes out

Solution



Preemptive vs Non-preemptive Scheduler

- Non-preemptive:
 - Process only voluntarily relinquishes CPU
- Preemptive
 - Process may be forced off CPU

Advantages - Disadvantages

Non-preemptive

Preemptive

• Intermediate solutions are possible

Advantages - Disadvantages

- Non-preemptive
 - Process can monopolize CPU
 - Only useful in special circumstances
- Preemptive
 - Process can be thrown out at any time
 - Usually not a problem, but sometimes it is
- Intermediate solutions are possible

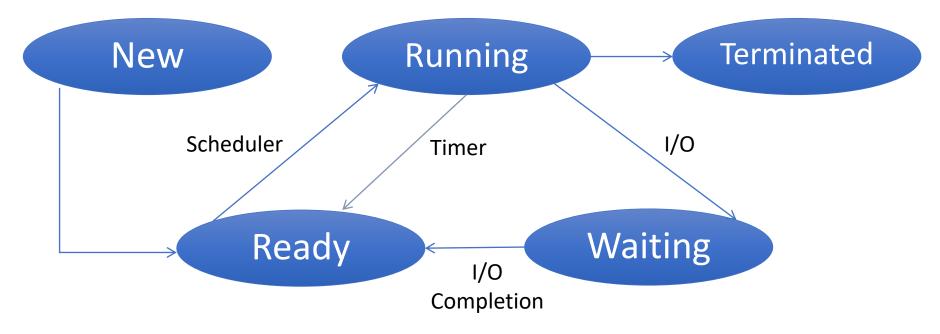
Process Scheduling Implementation

- Remember running process
- Maintain sets of queues
 - (CPU) ready queue
 - I/O device queue (one per device)
- PCBs sit in queues

How does the Scheduler run?

- Scheduler is part of the kernel
- How does kernel run?

How does Scheduler run?



The scheduler runs when

- 1) process starts or terminates (system call)
- 2) running process performs an I/O (system call)
- 3) I/O completes (I/O interrupt)
- 4) timer expires (timer interrupt)

How does the Scheduler Run?

- At end of handlers for
 - System calls
 - Interrupts
 - Traps
- Scheduler runs: decides on process to run
- Switches to a new process
- Sets another timer

Scheduling Algorithm

Decides which ready process gets to run

What makes a good scheduling algorithm?

What makes a good scheduling algorithm?

• It depends ...

Scheduling Performance Metrics

- Minimize turnaround time
 - Do not want to wait long for job to complete
 - Completion_time arrival_time
- Minimize response time
 - Schedule interactive jobs promptly so users see output quickly
 - Initial_schedule_time arrival_time
- Minimize waiting time
 - Do not want to spend much time in Ready queue
- Maximize throughput
 - Want many jobs to complete per unit of time
- Maximize resource utilization
 - Keep expensive devices busy
- Minimize overhead
 - Reduce number of context switches
- Maximize fairness
 - All jobs get same amount of CPU over some time interval

Answer: Scheduling Performance Metrics

- Minimize turnaround time
 - Do not want to wait long for job to complete
 - Completion_time arrival_time
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 - Schedule interactive jobs promptly so users see output quickly
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Conflicting goals

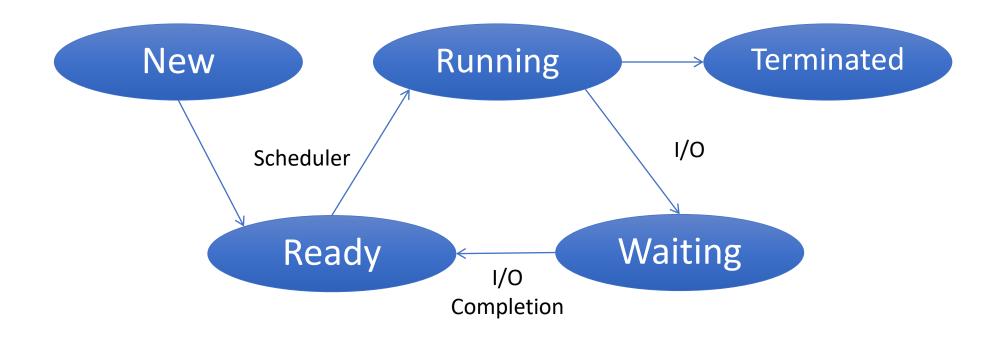
- → A good scheduling algorithm depends on what we want to run
- → Most of the time, scheduler does not know in advance the job type and its needs

Question: Interactive vs. Batch Jobs

What makes a good scheduler for interactive/for batch?

- Interactive = you are waiting for the result
 - E.g., browser, editor, ...
 - Tend to be short
- Batch = you will look at result later
 - E.g., supercomputing center, offline analysis, ...
 - Tend to be long

Question: Interactive vs. Batch Jobs



Answer: What makes a good scheduler for interactive?

- Short response time
- Response time = wait from ready → running
 - Initial_schedule_time arrival_time

Answer: What makes a good scheduler for batch?

- High throughput
- Throughput = number of jobs completed
 - Minimize scheduling overhead
 - Reduce number of ready → running switches

Issue: Response Time vs. Throughput

- Conflicting goals
- From throughput perspective
 - Scheduler is overhead
 - Run scheduler as little as possible
- From response time perspective
 - Want to go quickly from ready to running
 - Run scheduler often

Scheduling policies

- First come, first served (FCFS)
- Shortest job first (SJF)
- Round robin (RR)

First come first served (FCFS)

- Process ready: insert at tail of queue
- Head of queue: "oldest" ready process
- By definition, non-preemptive

Question

Advantages and disadvantages of FCFS?

Answer: FCFS advantages and disadvantages

- Low overhead few scheduling events
- Good throughput
- Uneven response time stuck behind long job
- Extreme case process monopolizes CPU

Shortest job first (SJF)

- Process ready
 - Insert in queue according to length
- Head of queue: "shortest" process
- Can be preemptive or non-preemptive
- From now on, only consider preemptive

Question

Advantages and disadvantages of SJF?

Answer: SJF advantages and disadvantages

- Good response time for short jobs
- Can lead to starvation of long jobs
- Difficult to predict job length

Round Robin (RR)

- Define time quantum Δ
- Process ready: put at tail of queue
- Head of queue: run for Δ time
- After Δ
 - Put running process at the tail of the queue
 - Re-schedule

Question

Advantages and disadvantages of RR?

Answer: RR advantages and disadvantages

- Good compromise for long and short jobs
- Short jobs finish quickly (a few rounds)
- Long jobs are not postponed forever

- No need to know job length
 - Discover length by how many Δ's it needs

RR Issue − How to pick Δ

- Too small
 - Many scheduling events
 - Good response time
 - Low throughput
- Too large
 - Few scheduling events
 - Good throughput
 - Poor response time
- Typical value: ~ 10 milliseconds

Scheduling Exercise

- A. Describe on a timeline the order of execution of the following five processes, with arrival and execution times as shown in the table, using the following scheduling algorithms:
 - 1. FCFS,
 - 2. SJF preemptive,
 - 3. RR with a time quantum of 1.
- B. What is the turn-around time & response time for each process in each scenario?

Process	Arrival time	Execution time
Α	0	3
В	1	5
С	3	2
D	9	5
Е	12	5

FCFS





Run



Wait

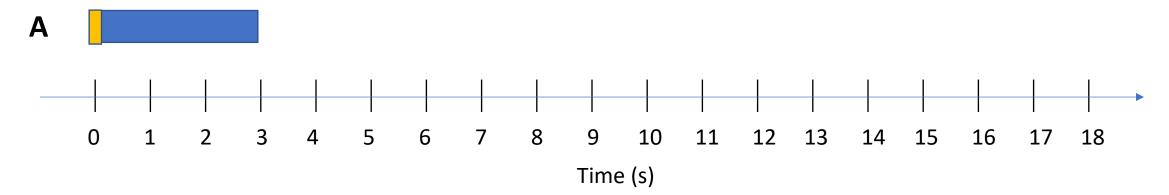
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Α	0	3
В	1	5
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D	9	5
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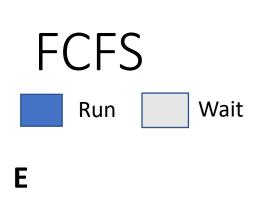
E

D

C

В



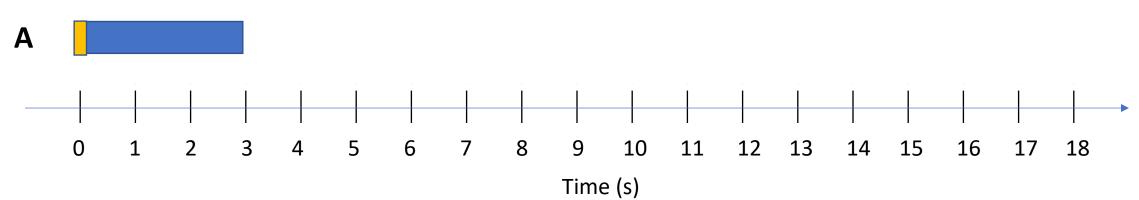


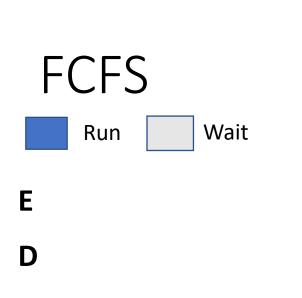
Proc	Arrival time	Execution time
Α	0	3
В	1	5
С	3	2
D	9	5
E	12	5

C

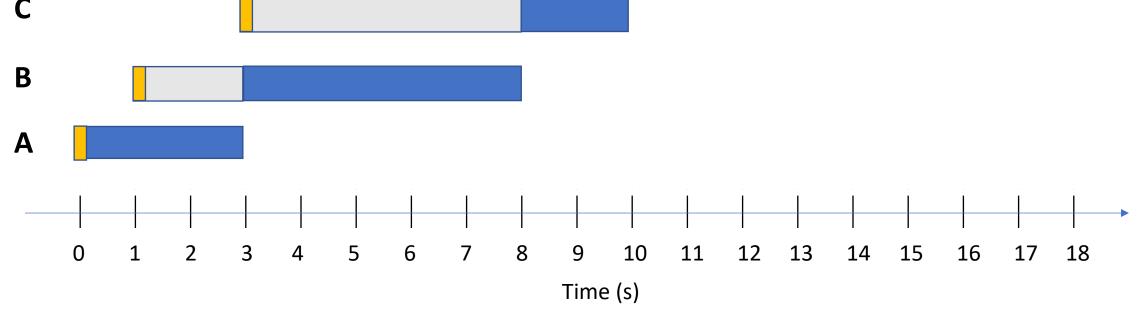
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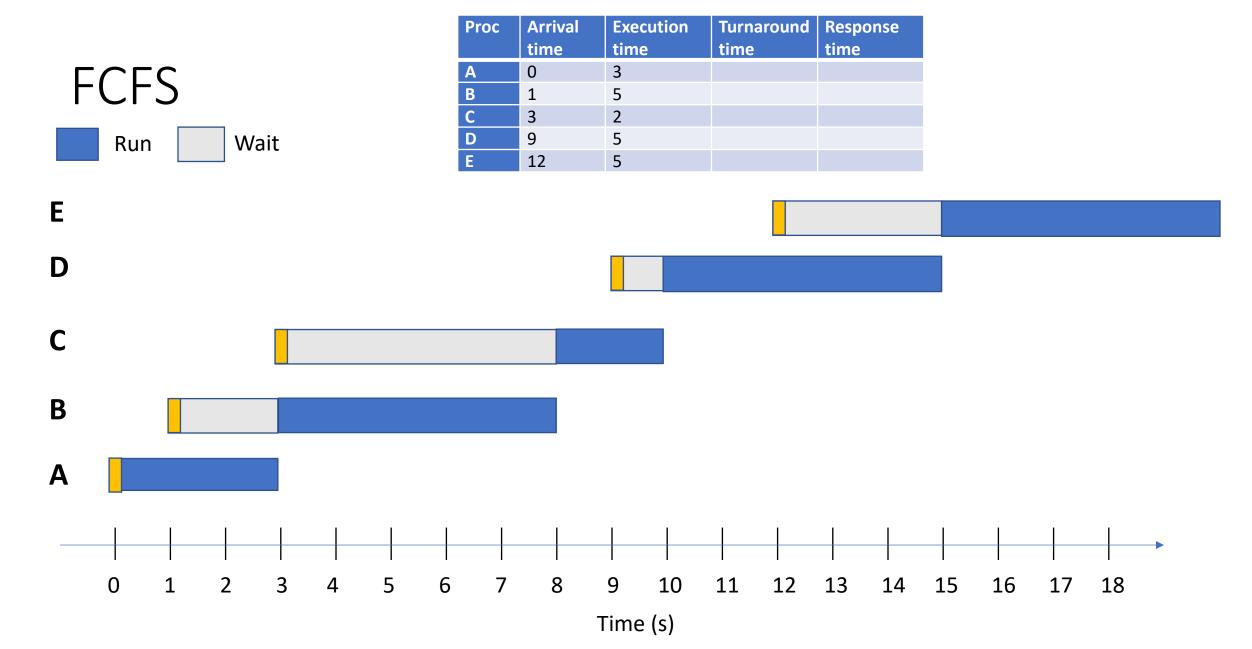


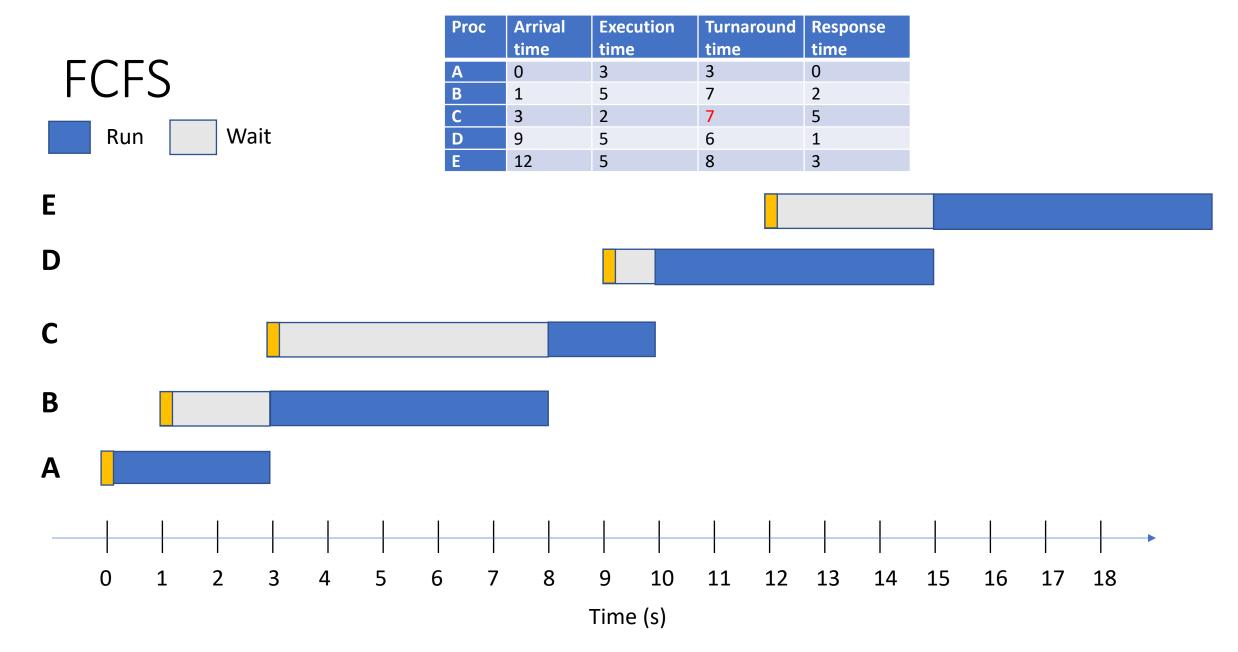




Proc	Arrival time	Execution time
Α	0	3
В	1	5
С	3	2
D	9	5
Ε	12	5







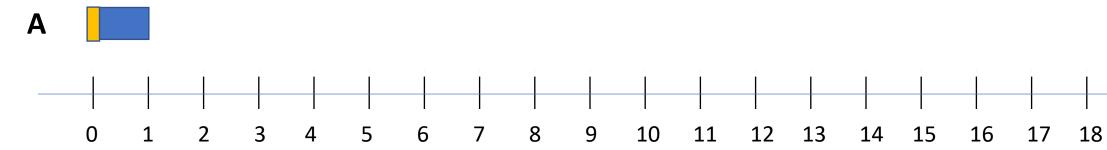
Proc	Arrival time	Execution time	Turnaround time	Response time
Α	0	3		
В	1	5		
С	3	2		
D	9	5		
E	12	5		

E

D

C

В



Time (s)

Proc	Arrival time	Execution time	Turnaround time	Response time
Α	0	3		
В	1	5		
С	3	2		
D	9	5		
E	12	5		

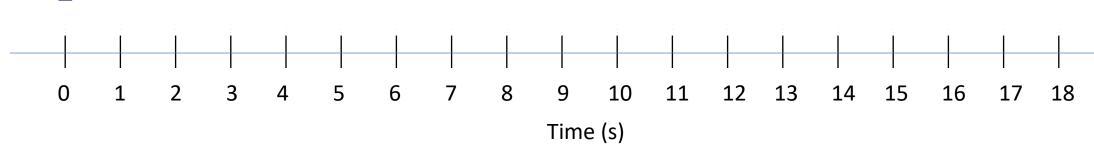
E

D

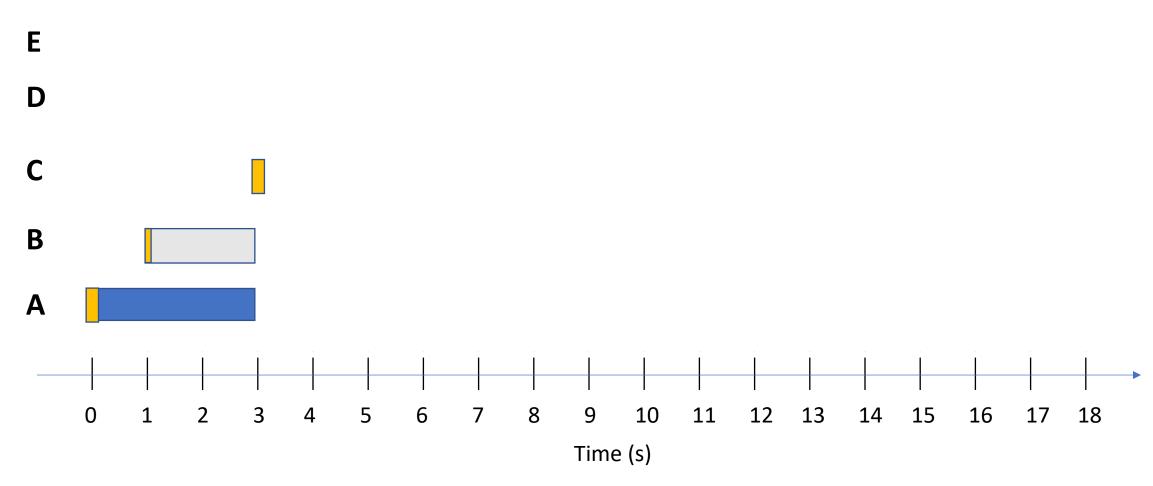
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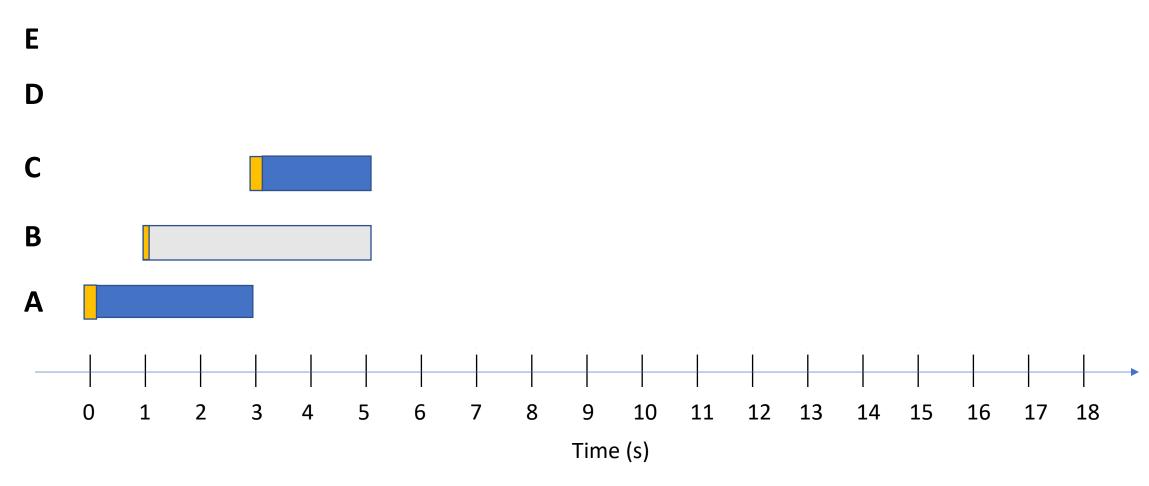




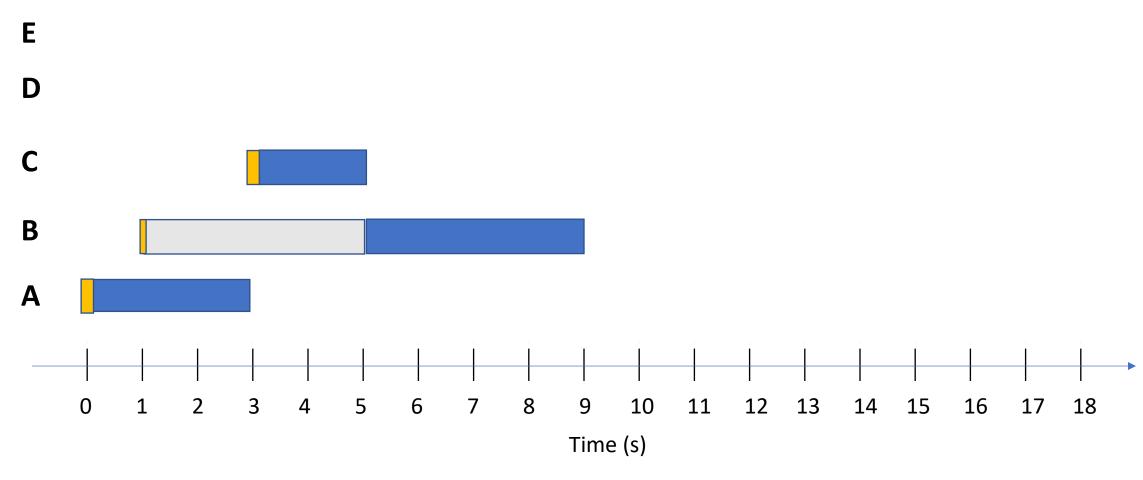
Proc	Arrival time	Execution time	Turnaround time	Response time
A	0	3		
В	1	5		
С	3	2		
D	9	5		
E	12	5		



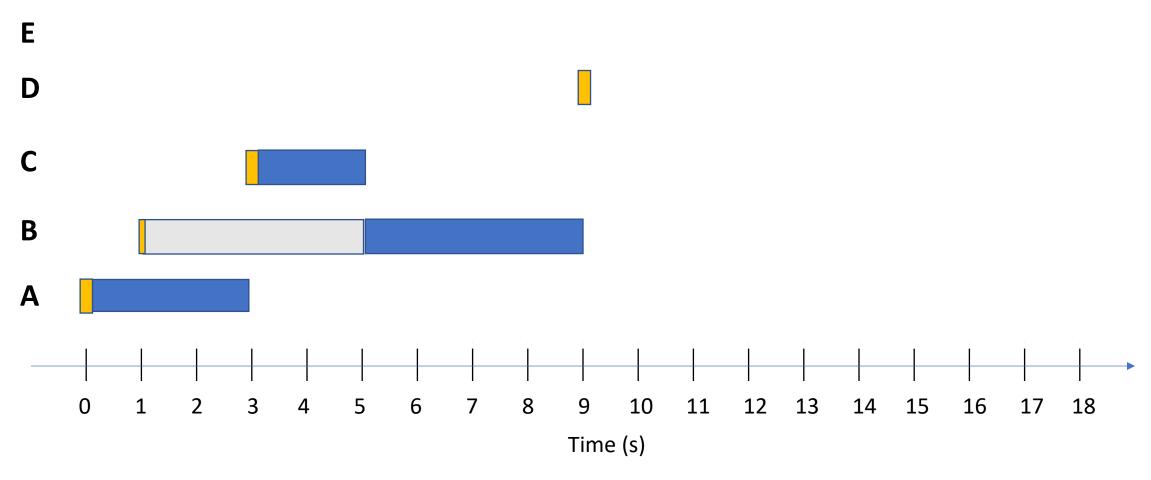
Proc	Arrival time	Execution time	Turnaround time	Response time
Α	0	3		
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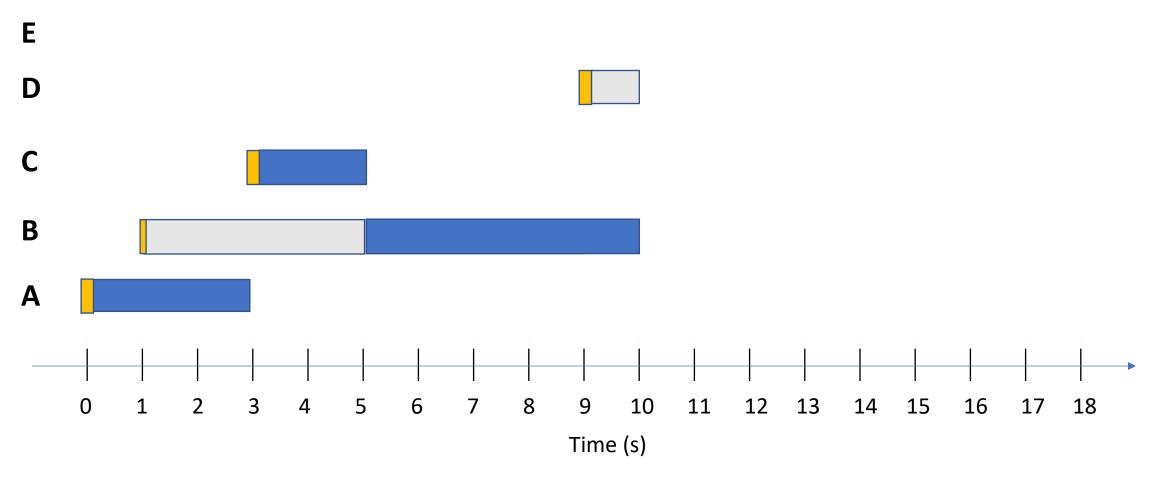
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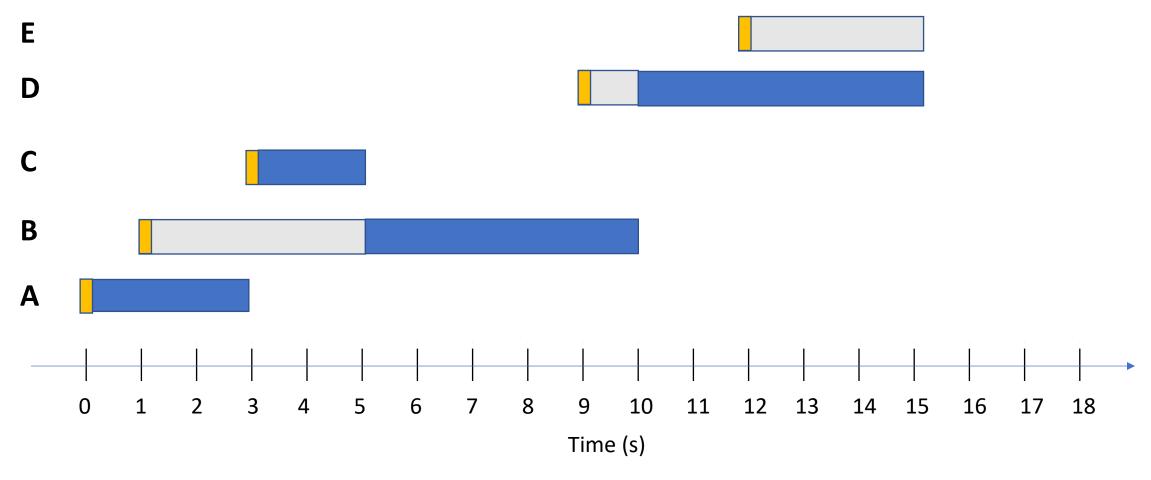
Proc	Arrival time	Execution time	Turnaround time	Response time
Α	0	3		
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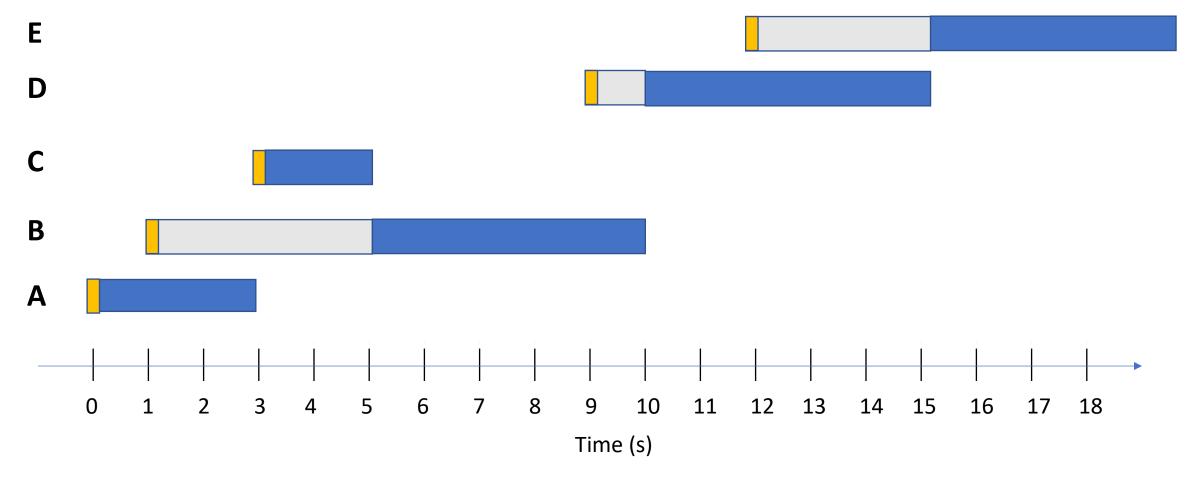
Proc	Arrival time	Execution time	Turnaround time	Response time
Α	0	3		
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Proc	Arrival time	Execution time	Turnaround time	Response time
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В	1	5		
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D	9	5		
E	12	5		

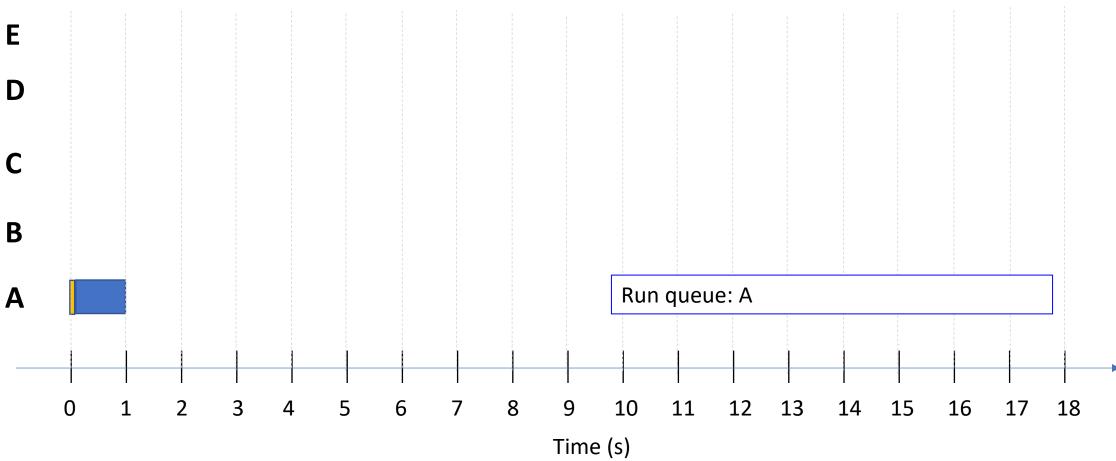


Proc	Arrival time	Execution time	Turnaround time	Response time
Α	0	3	3	0
В	1	5	9	4
C	3	2	2	0
D	9	5	6	1
E	12	5	8	3

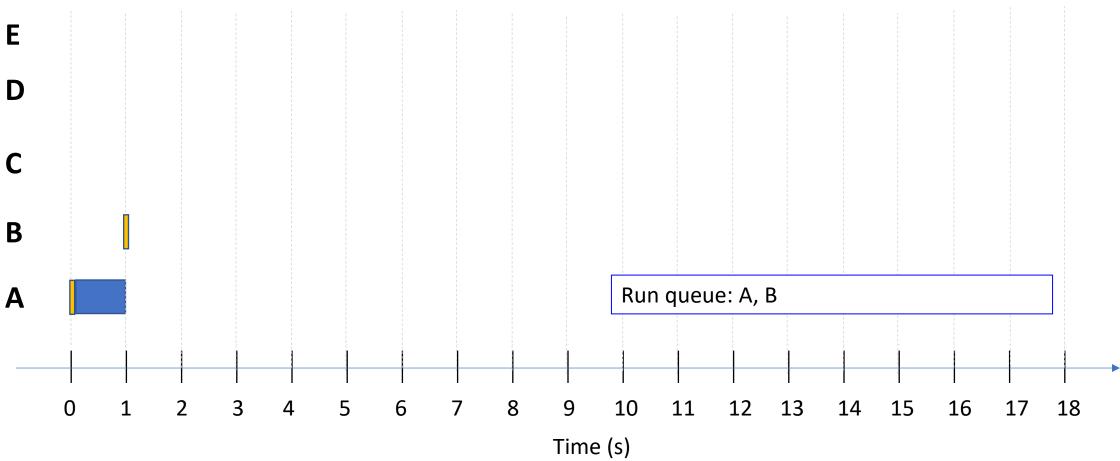


• time quantum of 1.

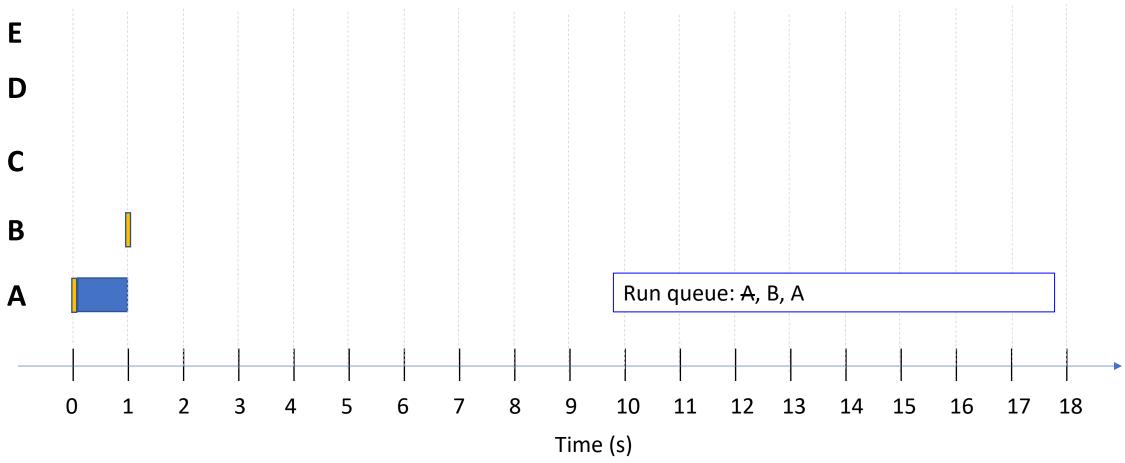




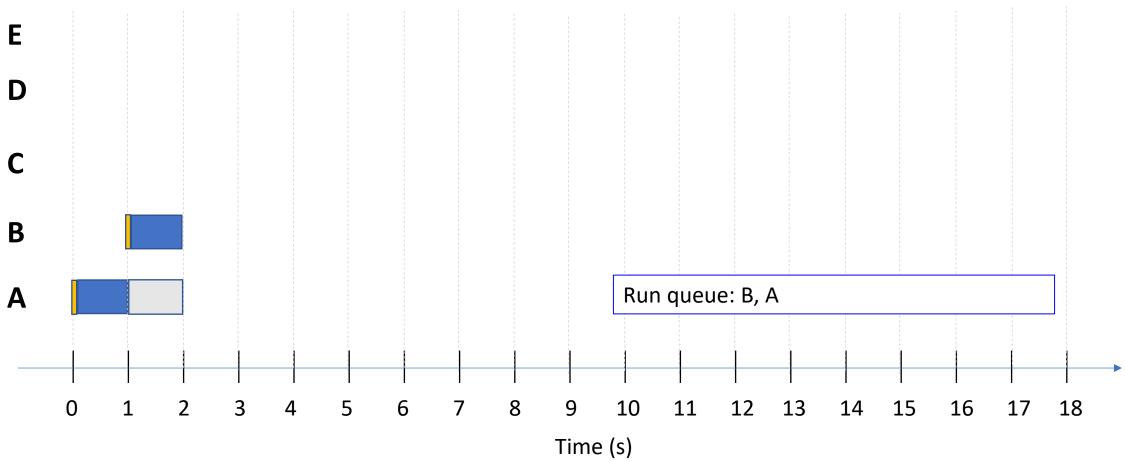




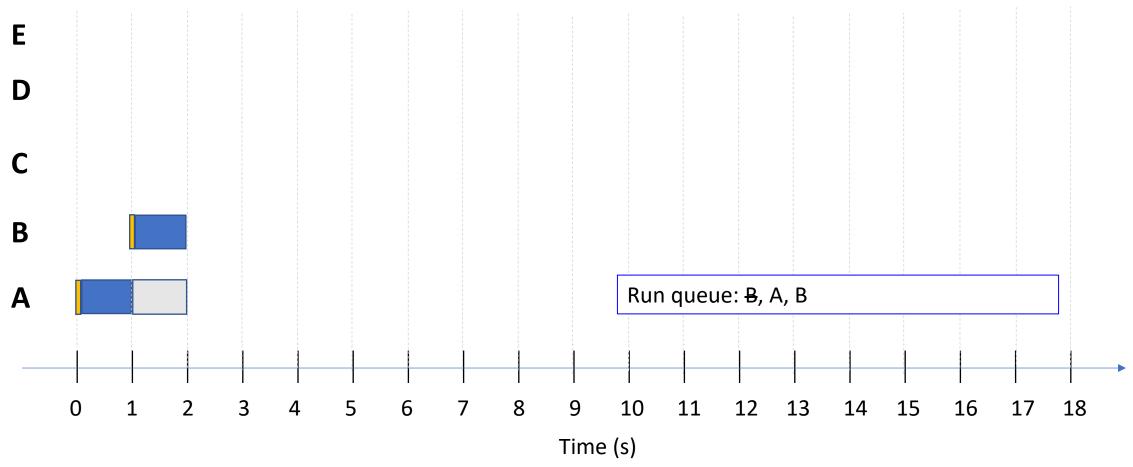




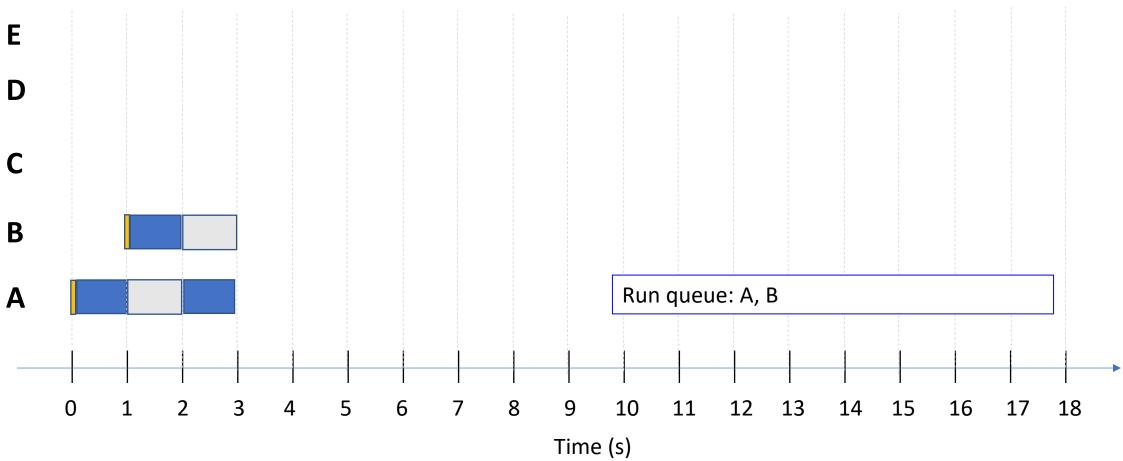




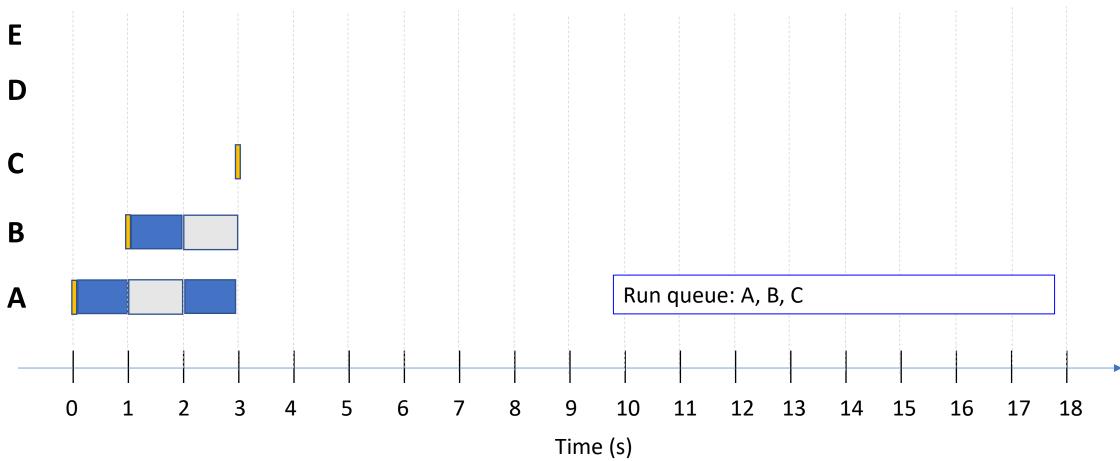




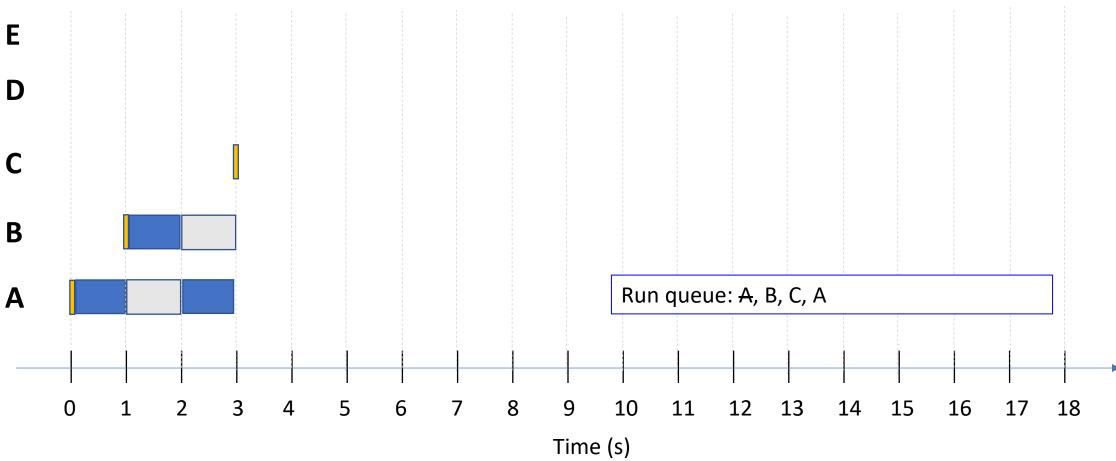




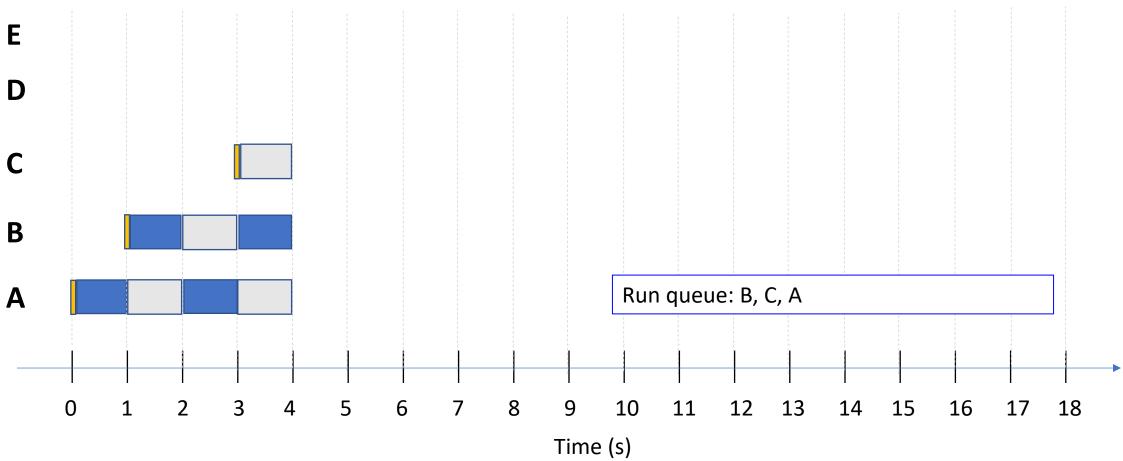




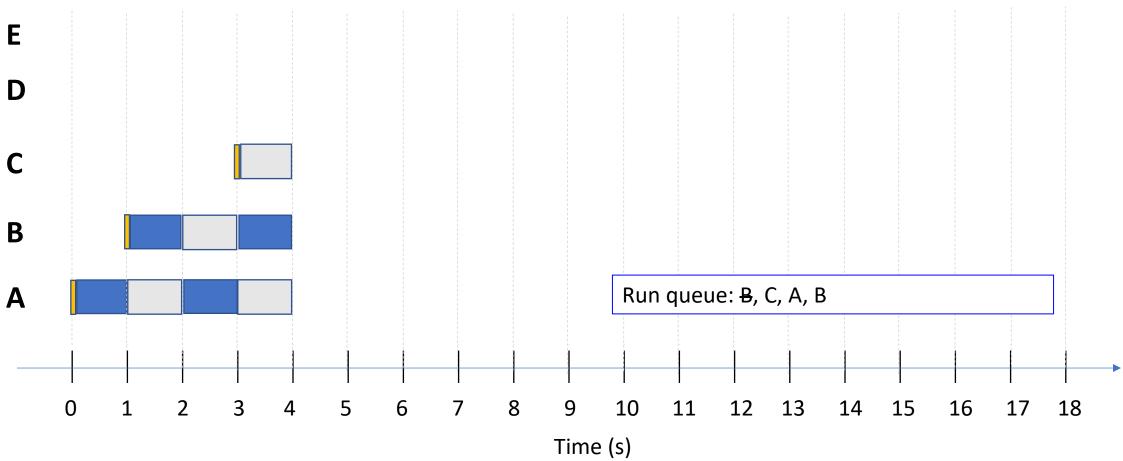




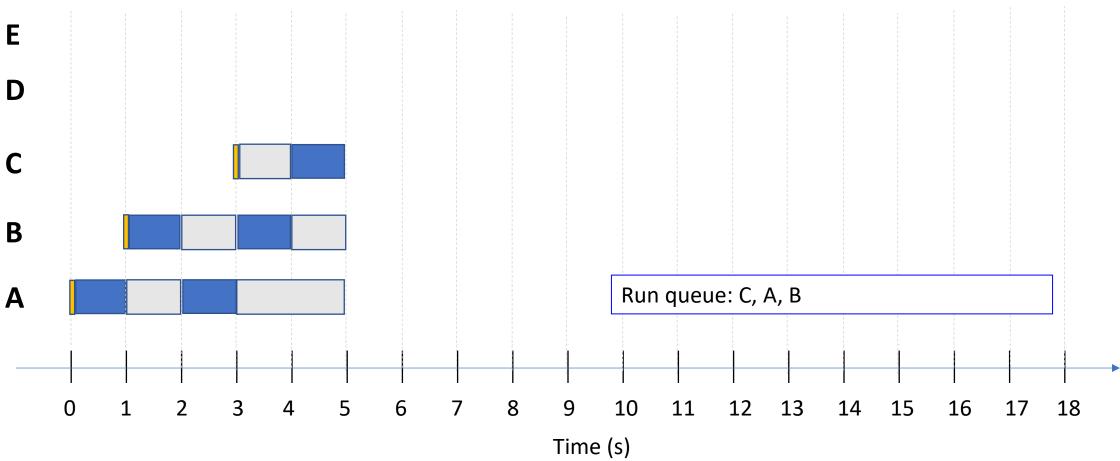




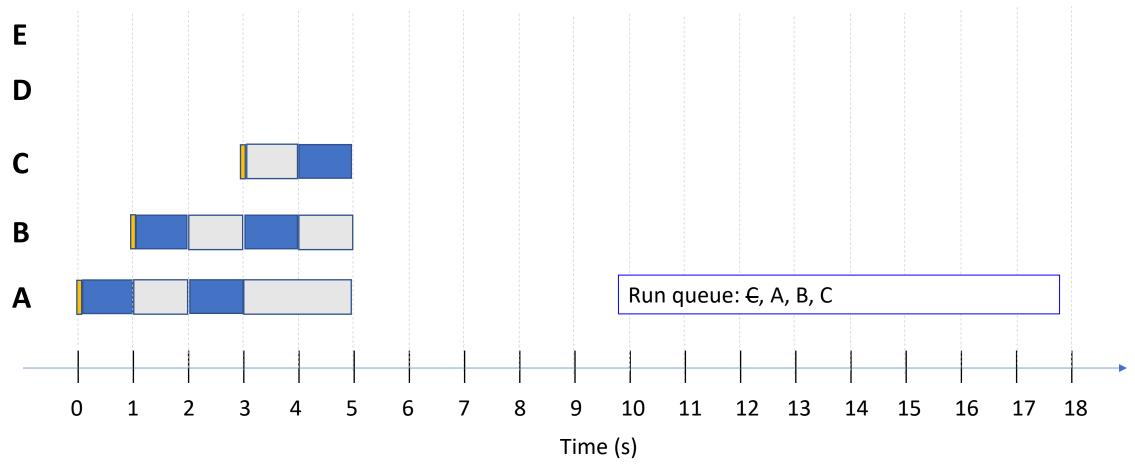




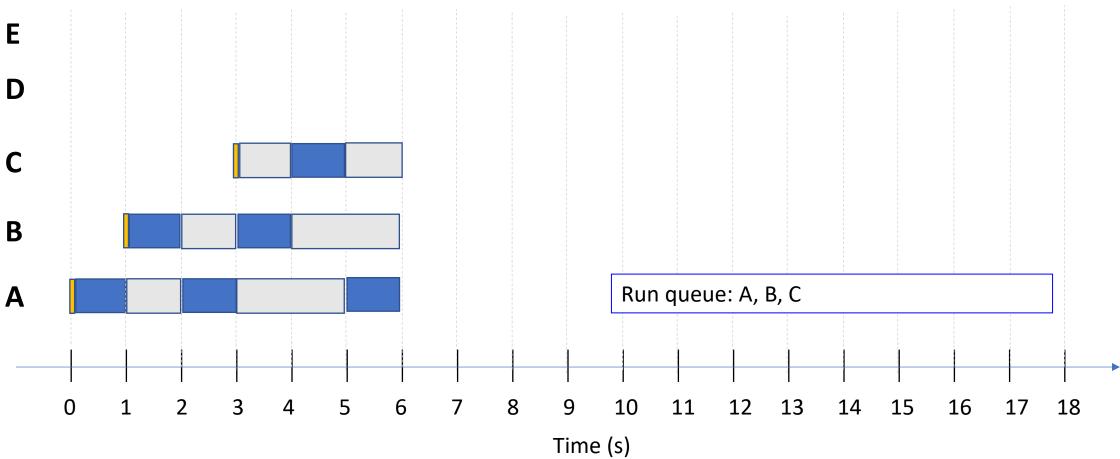




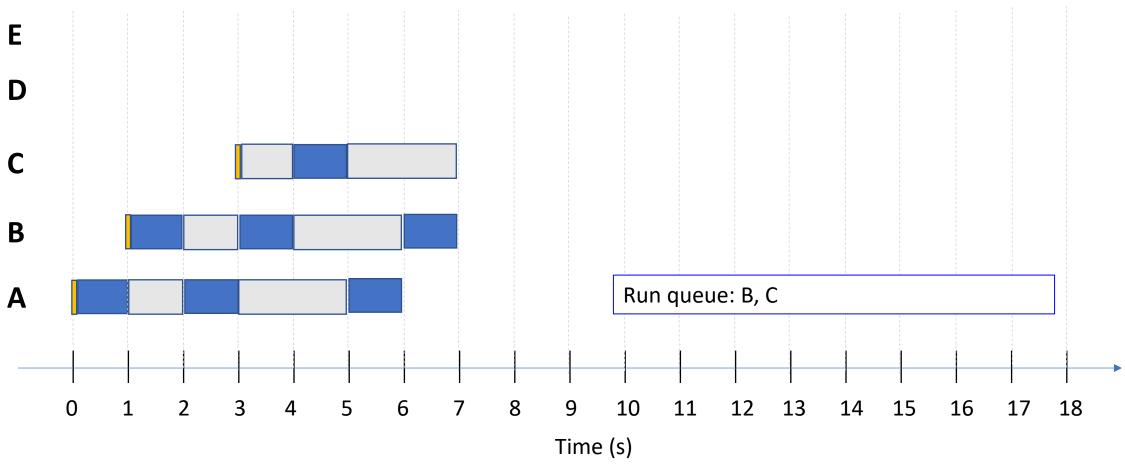




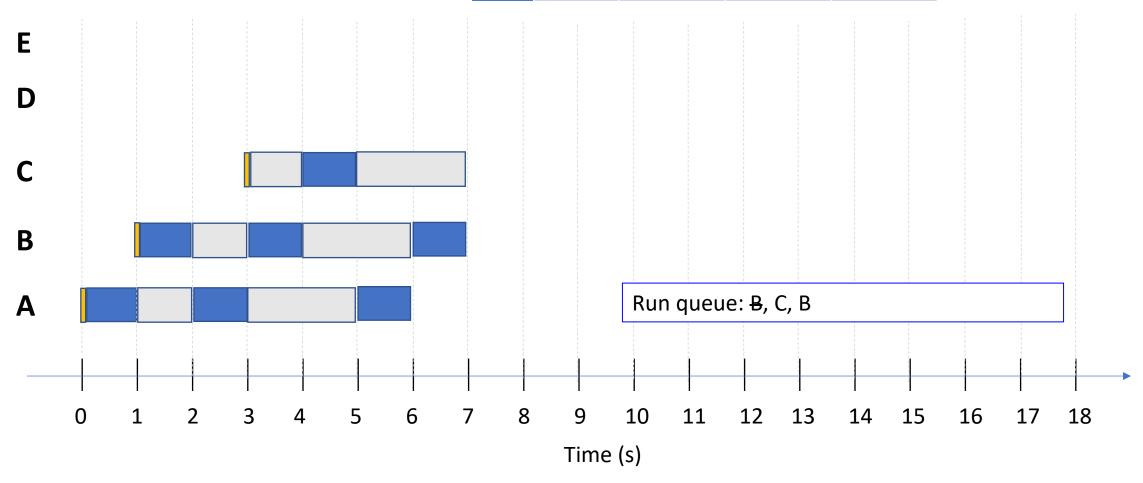




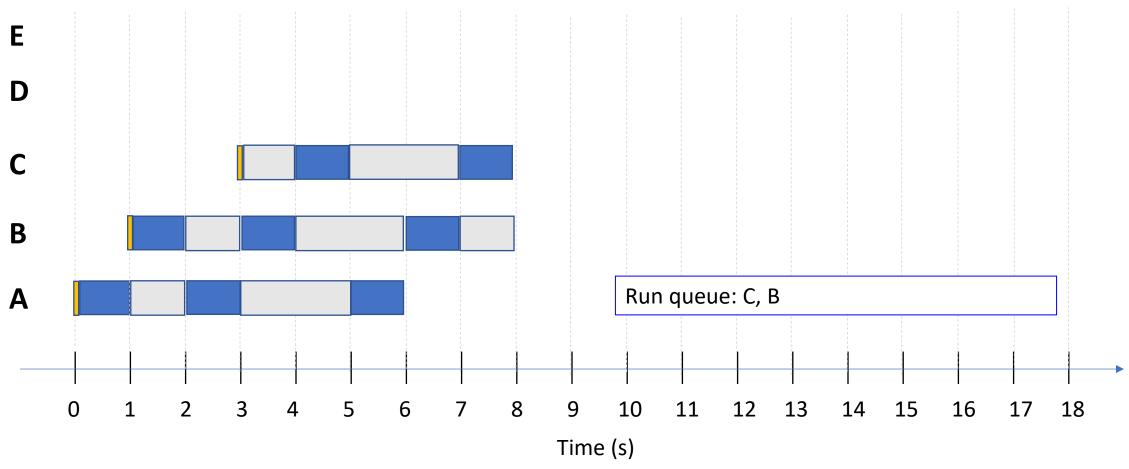




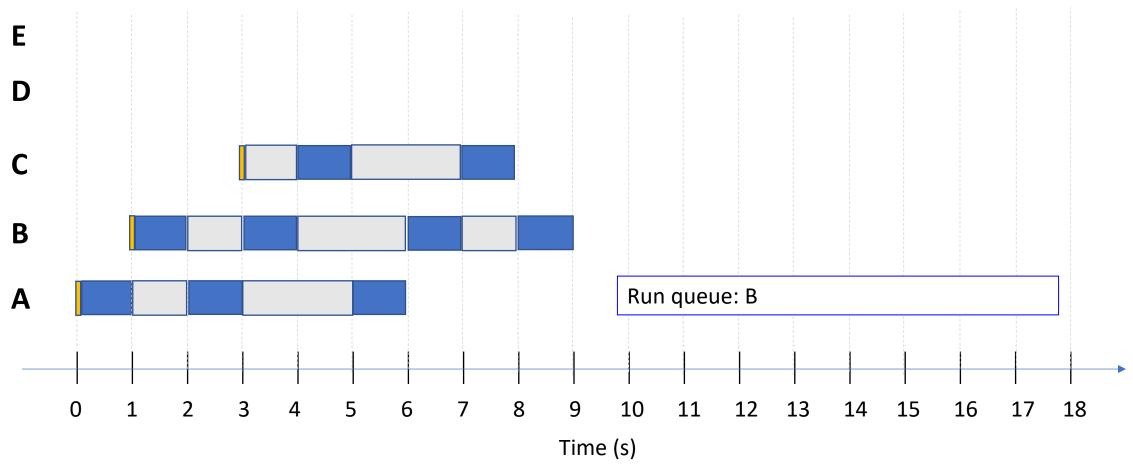
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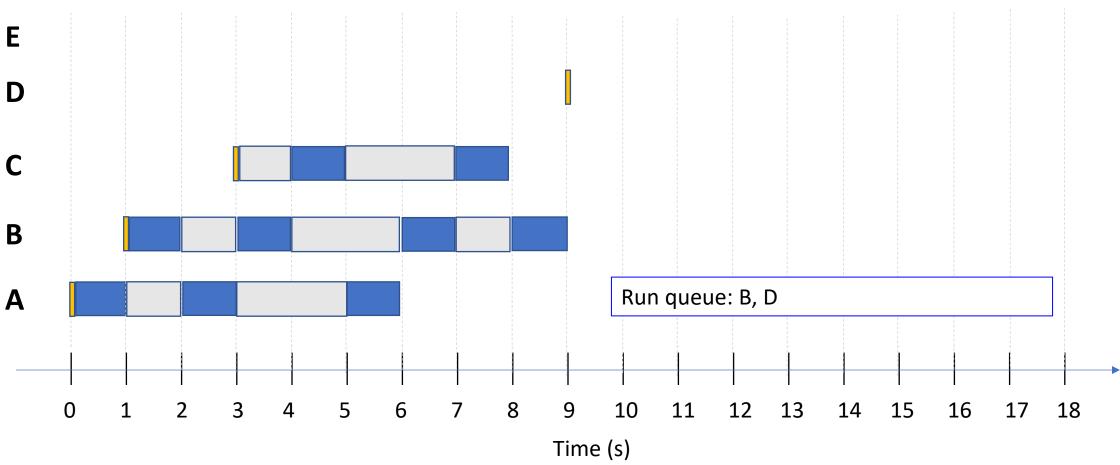




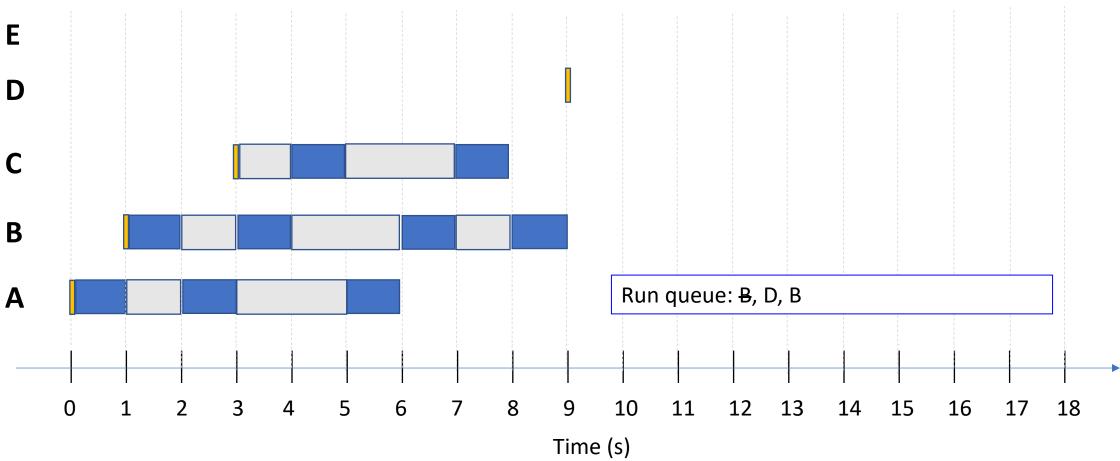




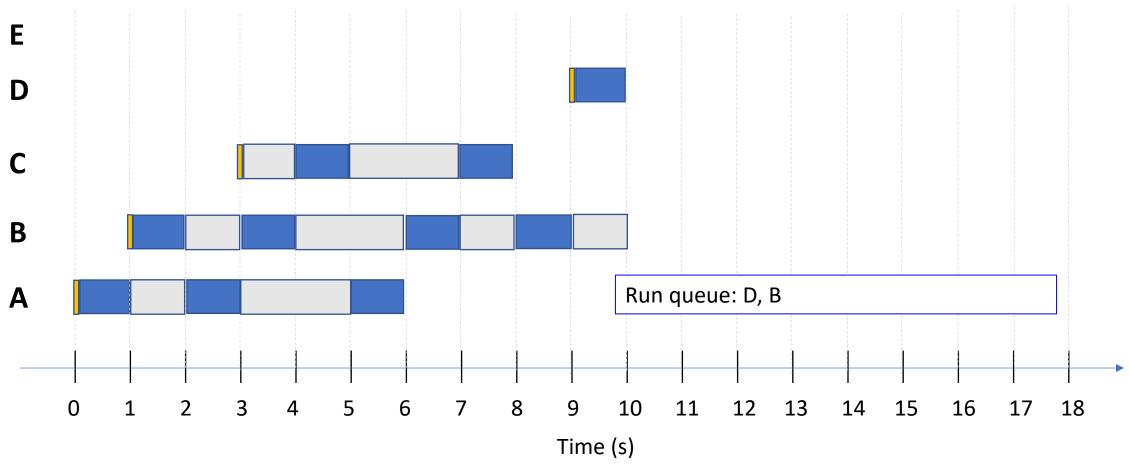




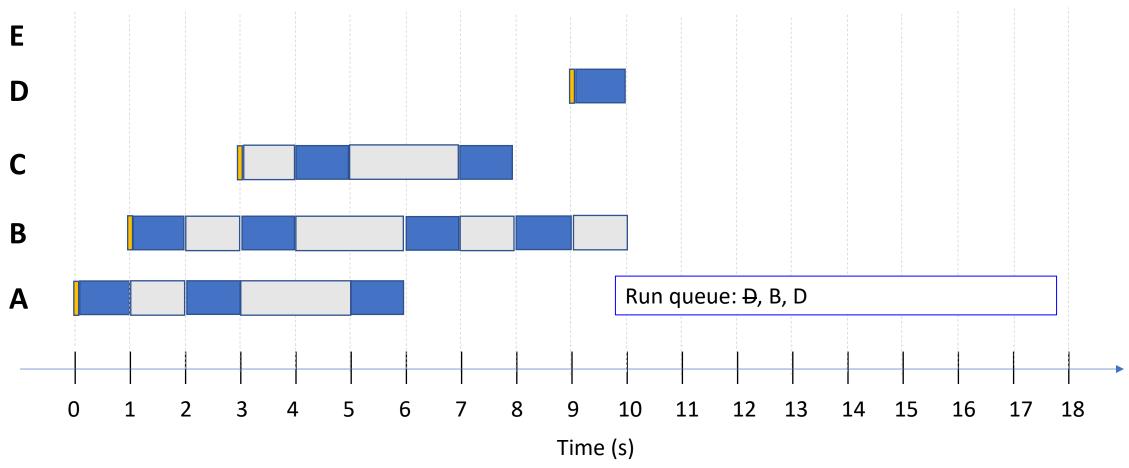




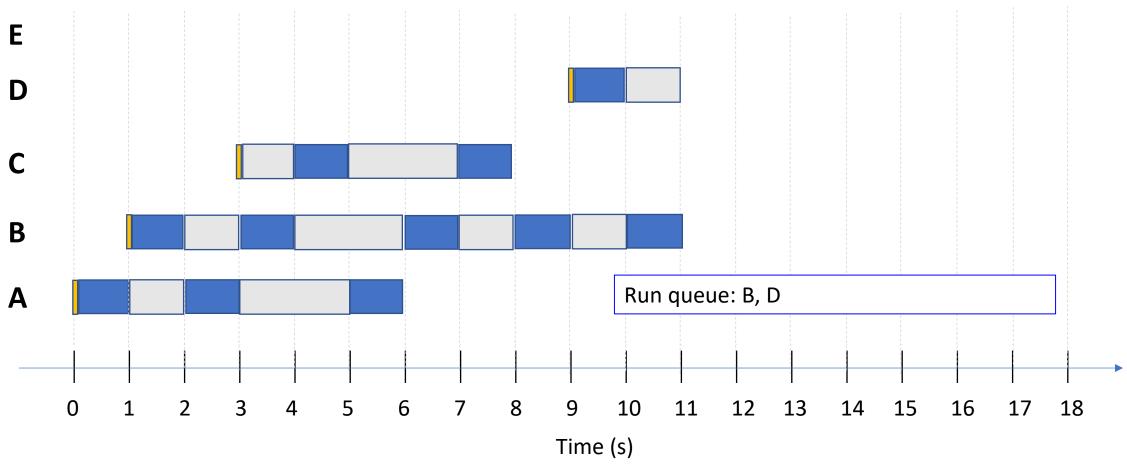




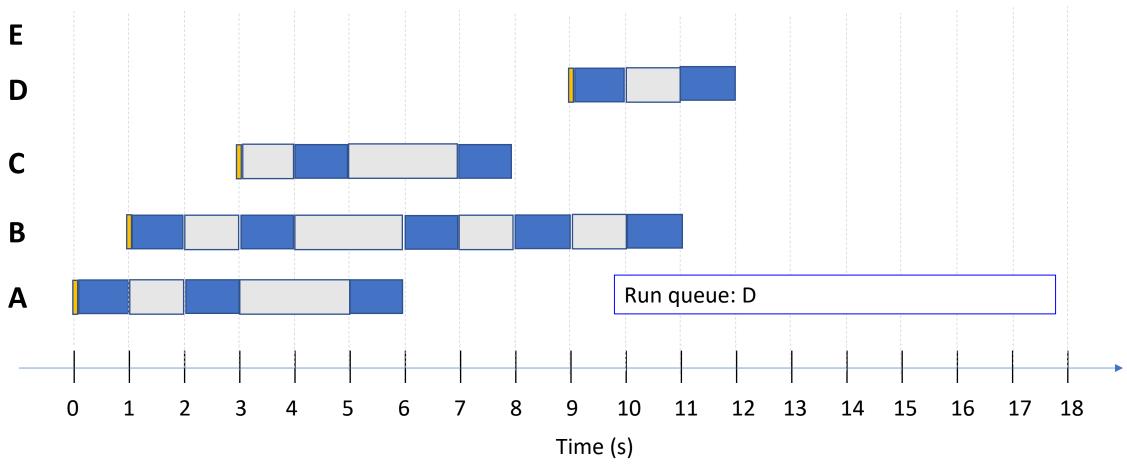




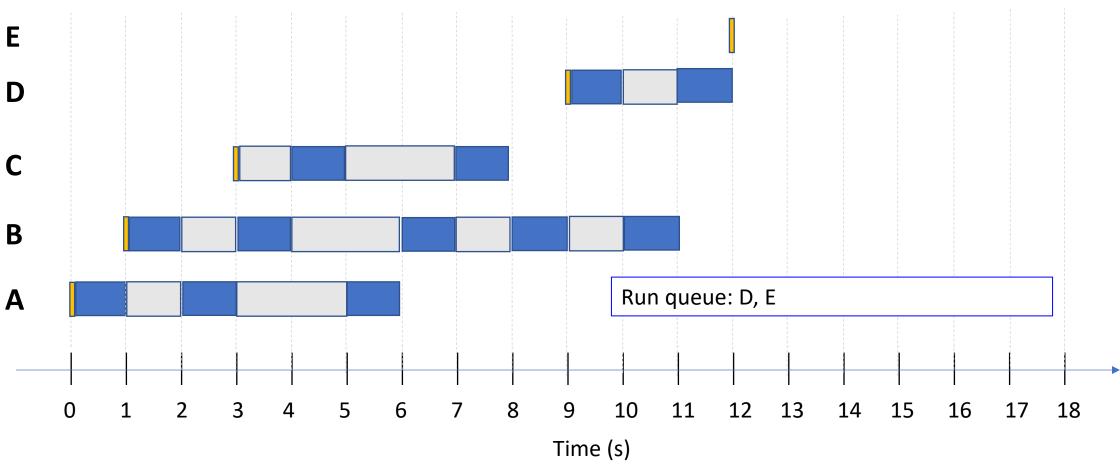




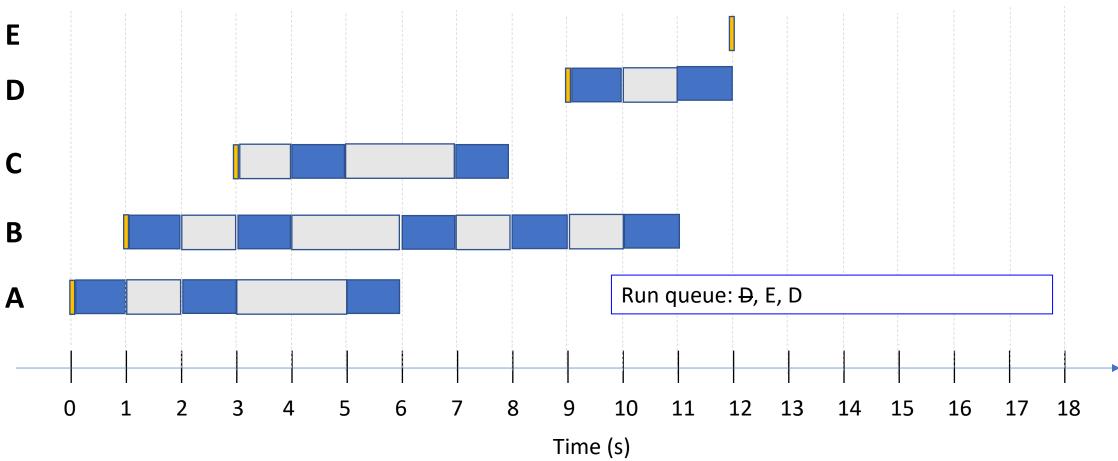




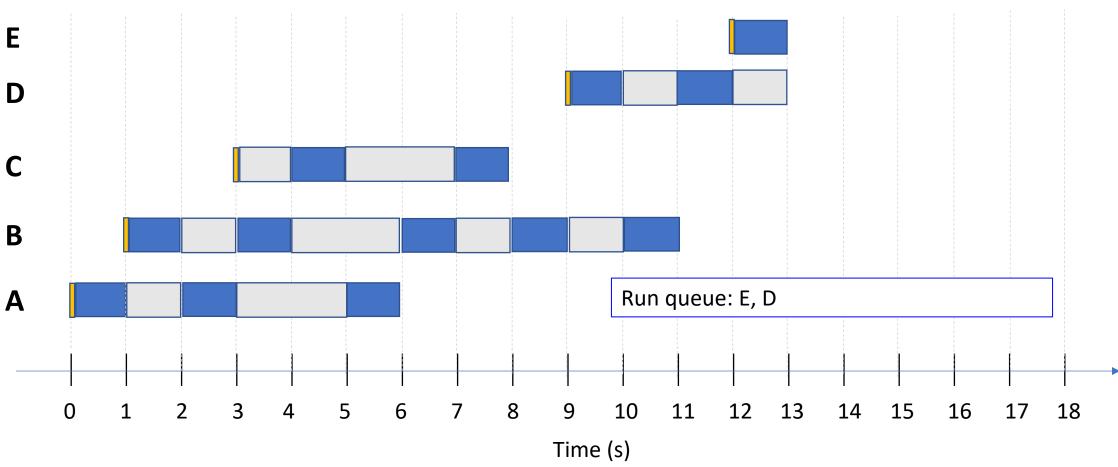




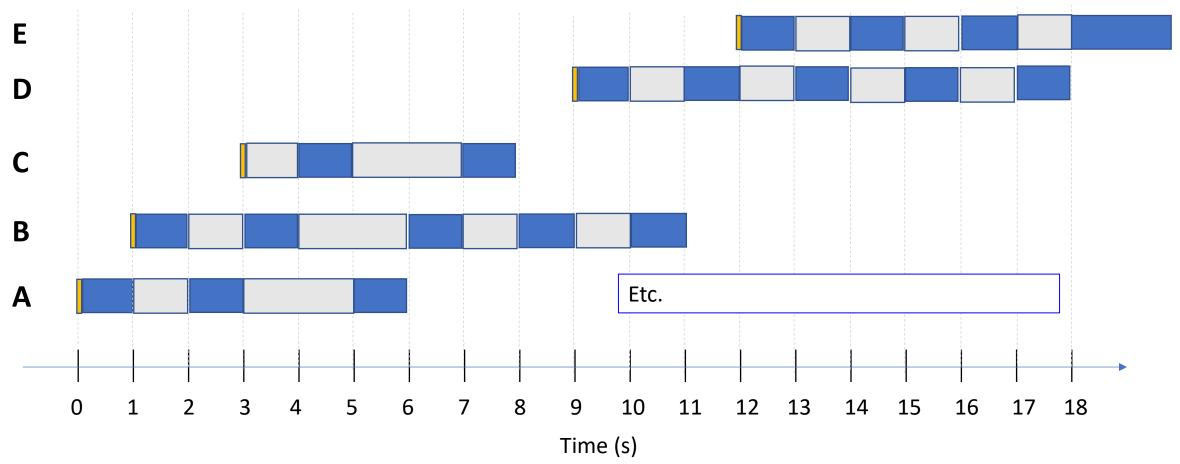




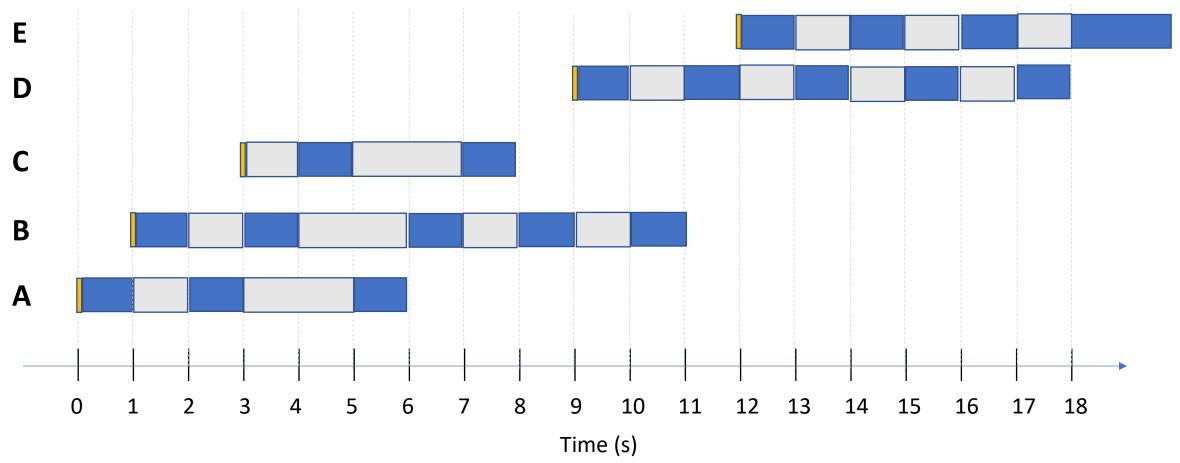












Summary – Key Concepts

- Process
 - Program in execution
- Linux process tree
 - Created by fork() / exec() / wait() / exit()
- Process switch
 - Change of process using the CPU
 - Save and restore registers and other info
- Process scheduler
 - Decides which process to run next

Further Optional Reading

Operating Systems: Three Easy Pieces by R. & A. Arpaci-Dusseau

Chapters 3 – 7 (inclusive) https://pages.cs.wisc.edu/~remzi/OSTEP/

Credits:

Some slides adapted from the OS courses of Profs. Remzi and Andrea Arpaci-Dusseau (University of Wisconsin-Madison), Prof. Willy Zwaenepoel (University of Sydney), and Prof. Youjip Won (Hanyang University), Prof. Natacha Crooks (UC Berkeley).