# **Chapter 2: Process Management**

# 2.1 Processes



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### **Objectives**

- Identify the separate components of a process and illustrate how they are represented and scheduled in an operating system.
- Describe how processes are created and terminated in an operating system, including developing programs using the appropriate system calls that perform these operations.
- Describe and contrast interprocess communication using shared memory and message passing.
- Design programs that uses pipes and POSIX shared memory to perform interprocess communication.
- Describe client-server communication using sockets and remote procedure calls.
- Design kernel modules that interact with the Linux operating system.



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#### **Outlines**

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



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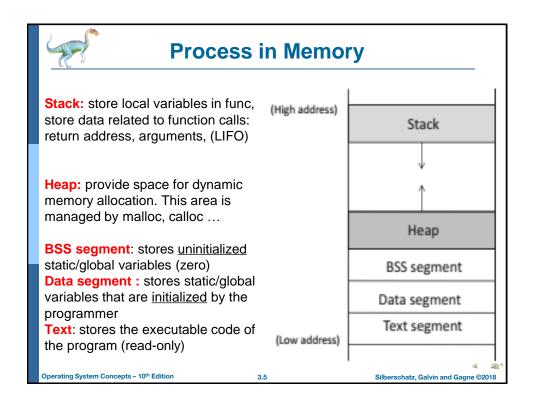
### **Process Concept**

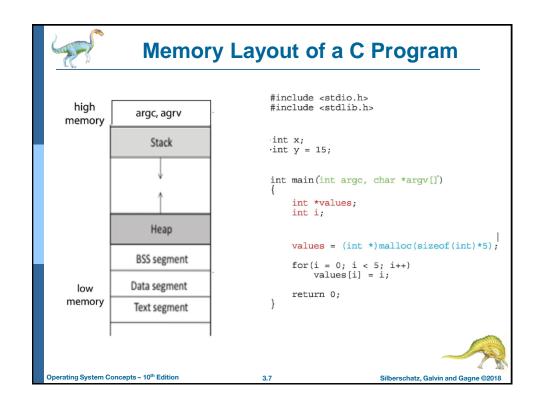
- An OS executes a variety of programs that run as a process.
- Process
  - a program in execution must progress in sequential fashion.
  - No parallel execution of instructions of a single process
- One program can be several processes
  - Consider multiple users executing the same program
    - 4 Compiler, Text editor
- The memory layout of a process is typically divided into multiple parts
  - The program code, also called text section
  - Current activity including program counter, processor registers
  - Stack containing temporary data
    - 4 Function parameters,
    - 4 return addresses,
    - 4 local variables
  - Data section containing global variables
  - Heap containing memory dynamically allocated during run time



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#### **Process**

- A process includes:
  - Text
  - Data
  - Heap
  - Stack
  - PC Program counter: a register that manages the memory address of the instruction to be executed next
  - PSW Program status word: a register that performs the function of a status register and program counter
  - SP Stack poiter
  - Registers
- Four principal events cause processes to be created:
  - System initialization.
  - Execution of a process-creation system call by a running process.
  - A user request to create a new process.
  - · Initiation of a batch job.



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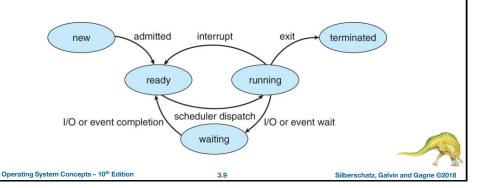
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#### **Process State**

- 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



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### **Process Control Block (PCB)**

- PCB: a data structure used by computer OS to store all the information about a process.
- Each process is represented in OS by PCB, also called task control block
- It contains many pieces of information associated with a specific process:
- Process state running, waiting, etc.
- Program counter location of instruction to next execute
- CPU registers contents of all process-centric registers
- CPU scheduling information- priorities, scheduling queue pointers
- Memory-management information memory allocated to the process
- Accounting information CPU used, clock time elapsed since start, time limits
- I/O status information I/O devices allocated to process, list of open files

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



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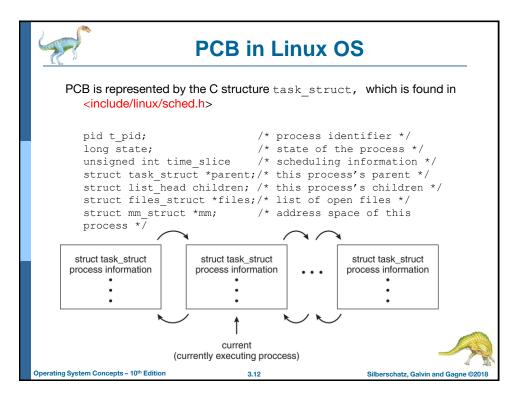
### **Threads**

- So far, process has a single thread of execution
- Most modern OSs have extended the process concept to allow a process to have multiple threads of execution
  - · thus to perform more than one task at a time
  - Multiple threads can run in parallel
- The PCB is expanded to include information for each thread.
  - · Must then have storage for thread details,
- Explore in detail later next chapter



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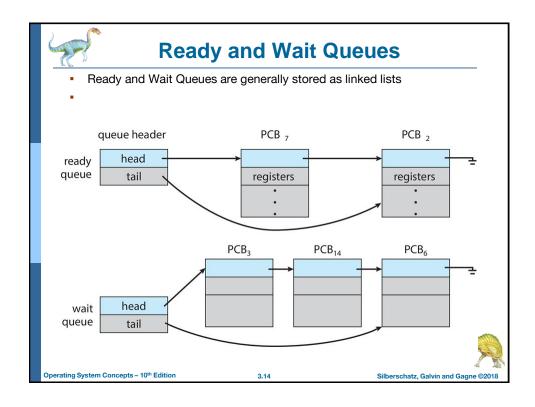
# **Process Scheduling**

- Goals of:
  - Multiprogramming: some process running at all times so as to maximize CPU utilization
  - Time sharing: switch a CPU core among processes so frequently that users can interact with each program while it is running
- => Process scheduler selects among available processes for next execution on CPU core
- The number of processes currently in memory is known as the degree of multiprogramming
- Maintains scheduling queues of processes
  - Ready queue set of all processes residing in main memory, ready and waiting to execute
  - Wait queues set of processes waiting for an event (i.e., I/O)
  - Processes migrate among the various queues



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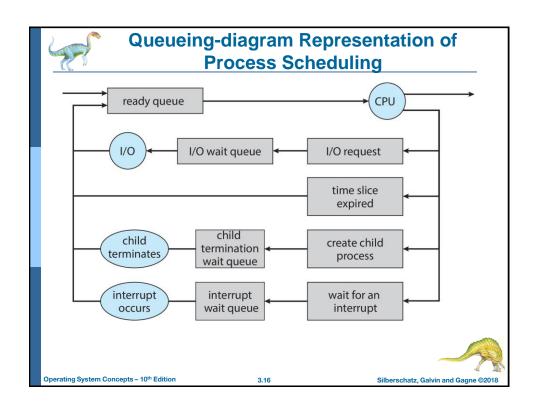
## **CPU Scheduling**

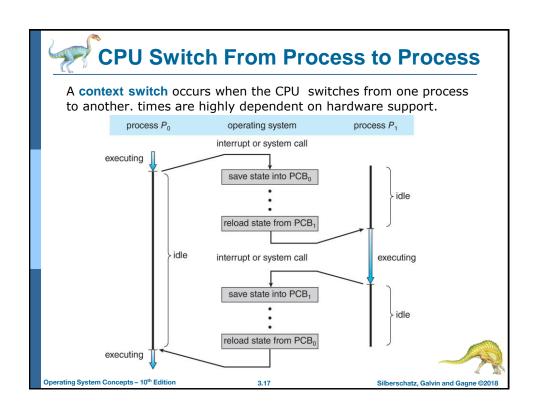
- A process migrates among the ready queue and various wait queues throughout its lifetime.
- CPU scheduler:
  - select from among the processes that are in the ready queue and allocate a CPU core to one of them
  - select a new process for the CPU frequently.
- Queueing-diagram Representation of Process Scheduling: Once the process is allocated the CPU and is executing, one of several events could occur:
  - The process could issue an I/O request and then be placed in an I/O queue.
  - The process could create a new child process and wait for the child's termination.
  - The process could be removed forcibly from the CPU, as a result of an interrupt, and be put back in the ready queue.



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### **Context Switching**

- 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 pure overhead; the system does no useful work while switching
  - The more complex the OS and the PCB, the longer the context switch
- Time dependent on hardware support
  - Some hardware provides multiple sets of registers per CPU, multiple contexts loaded at once



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# **Multitasking in Mobile Systems**

- Some mobile systems (e.g., early version of iOS) allow only one process to run, others suspended
- Due to screen real estate, user interface limits iOS provides for a
  - Single foreground process- controlled via user interface
  - Multiple background processes

     in memory, running, but not on the display, and with limits
  - Limits include single, short task, receiving notification of events, specific long-running tasks like audio playback
- Android runs foreground and background, with fewer limits
  - Background process uses a service to perform tasks
  - Service can keep running even if background process is suspended
  - Service has no user interface, small memory use



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# **Operations on Processes**

- System must provide mechanisms for:
  - Process creation
  - · Process termination



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#### **Process Creation**

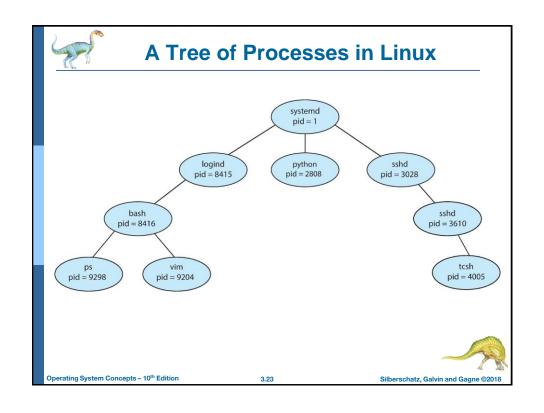
- Parent process create children processes, which, in turn create other processes, forming a tree of processes
- Generally, process identified and managed via a process identifier (pid)
- Resource sharing options
  - Parent and children share all resources
  - · Children share subset of parent's resources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



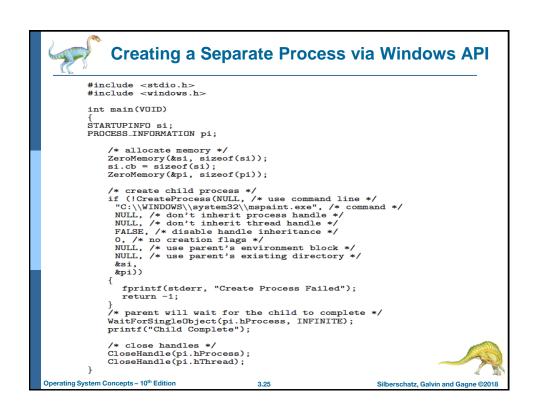
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### **Process Creation (Cont.)** Address space Child duplicate of parent Child has a program loaded into it **UNIX** examples • fork() system call creates new process exec() system call used after a fork() to replace the process' memory space with a new program Parent process calls wait () waiting for the child to terminate parent (pid > 0) wait() parent resumes pid = fork() parent exec() child (pid = 0) Operating System Concepts - 10th Edition Silberschatz, Galvin and Gagne ©2018



### **C Program Forking Separate Process** #include <sys/types.h> #include <stdio.h> #include <unistd.h> int main() pid\_t pid; /\* fork a child 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 to complete \*/ wait(NULL); printf("Child Complete"); return 0: Operating System Concepts - 10th Edition Silberschatz, Galvin and Gagne ©2018





#### **Process Termination**

- Process executes last statement and then asks the operating system to delete it using the exit() system call.
  - Returns status data from child to parent (via wait())
  - Process' resources are deallocated by operating system
- Parent may terminate the execution of children processes using the abort() system call. Some reasons for doing so:
  - Child has exceeded allocated resources
  - · Task assigned to child is no longer required
  - The parent is exiting, and the operating systems does not allow a child to continue if its parent terminates



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#### **Process Termination**

- Some operating systems do not allow child to exists if its parent has terminated. If a process terminates, then all its children must also be terminated.
  - cascading termination. All children, grandchildren, etc., are terminated.
  - The termination is initiated by the operating system.
- The parent process may wait for termination of a child process by using the wait() system call. The call returns status information and the pid of the terminated process

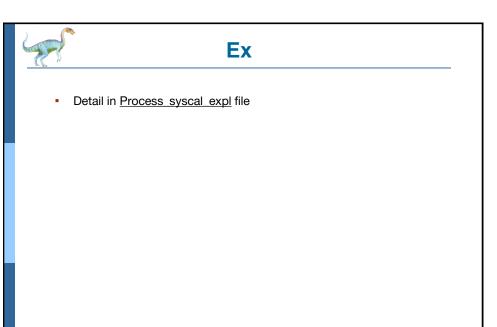
pid = wait(&status);

- If no parent waiting (did not invoke wait ()) process is a zombie
- If parent terminated without invoking wait(), process is an orphan



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# **Android Process Importance Hierarchy**

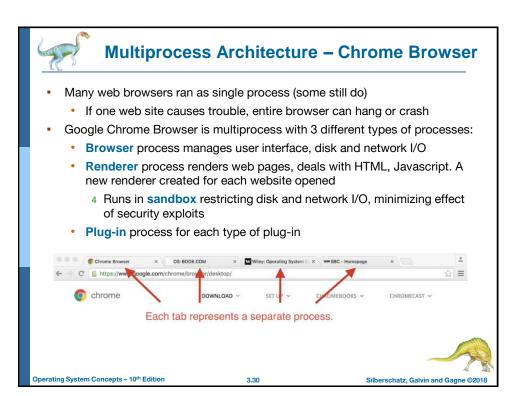
- Mobile operating systems often have to terminate processes to reclaim system resources such as memory. From most to least important:
  - Foreground process
  - Visible process
  - Service process
  - Background process
  - · Empty process
- Android will begin terminating processes that are least important.



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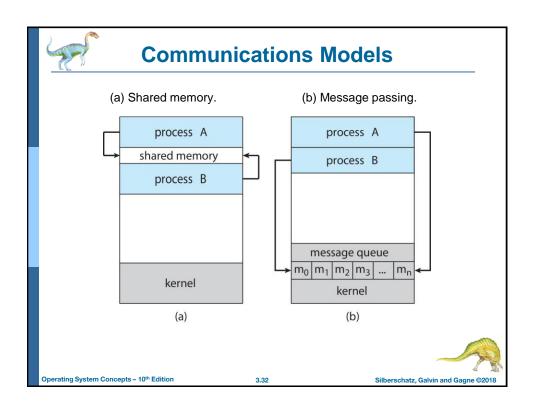
# **Interprocess Communication**

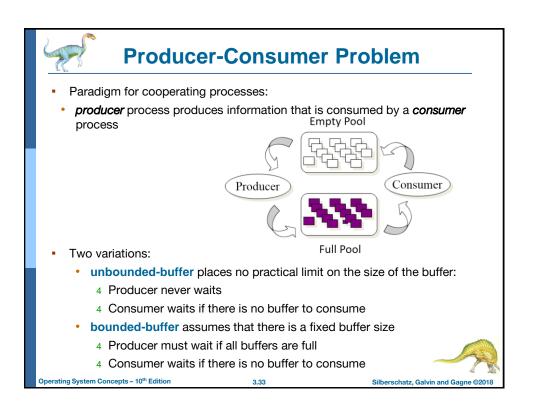
- Processes within a system may be independent or cooperating
- Cooperating process can affect or be affected by other processes, including sharing data
- Reasons for cooperating processes:
  - Information sharing
  - Computation speedup
  - Modularity
  - Convenience
- Cooperating processes need interprocess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



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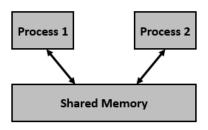






#### **Shared Memory Solution**

- An area of memory shared among the processes that wish to communicate
- The communication is under the control of the <u>users processes</u> not the operating system.
- Major issues is to provide mechanism that will allow the user processes to synchronize their actions when they access shared memory.
- Synchronization is discussed in great details in Chapters 6 & 7.



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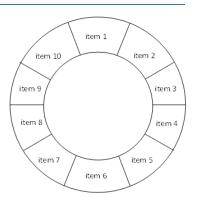


## **Bounded-Buffer – Shared-Memory Solution**

Shared data

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

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



Solution presented in next slides is correct, but can only use
 BUFFER SIZE-1 items; that is: 9 items



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Producer

#### **Producer/ Consumer Process – Shared Memory**

```
item next_produced;
while (true) {
    /* produce an item in next produced */
    while (((in + 1) % BUFFER_SIZE) == out)
    ; /* do nothing */
    buffer[in] = next_produced;
    in = (in + 1) % BUFFER_SIZE;
}
```

Customer

```
while (true) {
    while (in == out)
    ; /* do nothing */
    next_consumed = buffer[out];
    out = (out + 1) % BUFFER_SIZE;
/* consume the item in next consumed */
}
```

item next consumed;



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# What about Filling all the Buffers?

- Suppose that we wanted to provide a solution to the consumerproducer problem that fills all the buffers.
- We can do so by having an integer counter that keeps track of the number of full buffers.
- Initially, counter is set to 0.
- The integer counter is incremented by the producer after it produces a new buffer.
- The integer counter is and is decremented by the consumer after it consumes a buffer.



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```
Producer/ Consumer Process
             while (true) {
                     /* produce an item in next produced
                while (counter == BUFFER SIZE)
                     ; /* do nothing */
                buffer[in] = next produced;
 Producer
                in = (in + 1) % BUFFER SIZE;
                counter++;
             while (true) {
                     while (counter == 0)
                            ; /* do nothing */
                     next consumed = buffer[out];
 Customer
                     out = (out + 1) % BUFFER SIZE;
                      counter--;
                consume the item in next consumed */
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```



### **Race Condition**

```
    counter++ could be implemented as
```

```
register1 = counter
register1 = register1 + 1
counter = register1
```

counter-- could be implemented as

```
register2 = counter
register2 = register2 - 1
counter = register2
```

Consider this execution interleaving with "count = 5" initially:

```
S0: producer execute register1 = counter {register1 = 5}

S1: producer execute register1 = register1 + 1 {register1 = 6}

S2: consumer execute register2 = counter {register2 = 5}

S3: consumer execute register2 = register2 - 1 {register2 = 4}

S4: producer execute counter = register1 {counter = 6}

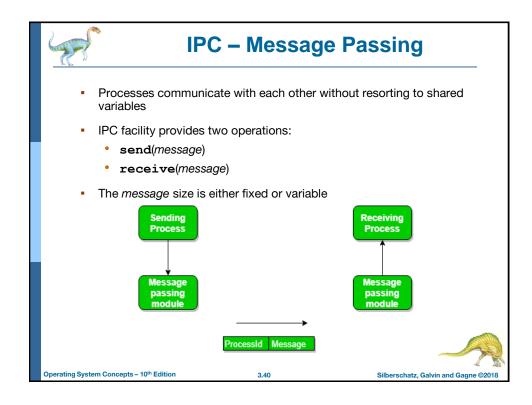
S5: consumer execute counter = register2 {counter = 4}
```

 Question – why was there no race condition in the first solution (where at most N – 1) buffers can be filled?



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# **Message Passing (Cont.)**

- If processes P and Q wish to communicate, they need to:
  - Establish a communication link between them
  - · Exchange messages via send/receive
- Implementation issues:
  - 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?



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# **Implementation of Communication Link**

- Physical:
  - Shared memory
  - Hardware bus
  - Network
- Logical:
  - Direct or indirect
  - Synchronous or asynchronous
  - Automatic or explicit buffering



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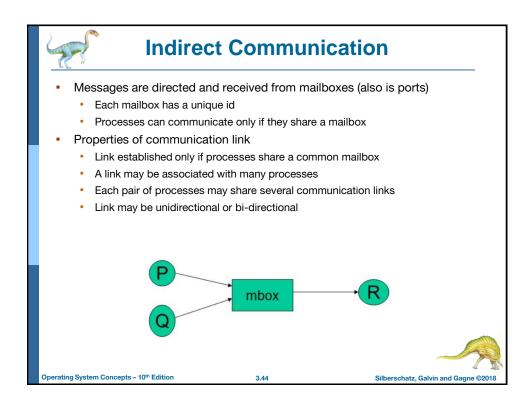
#### **Direct Communication**

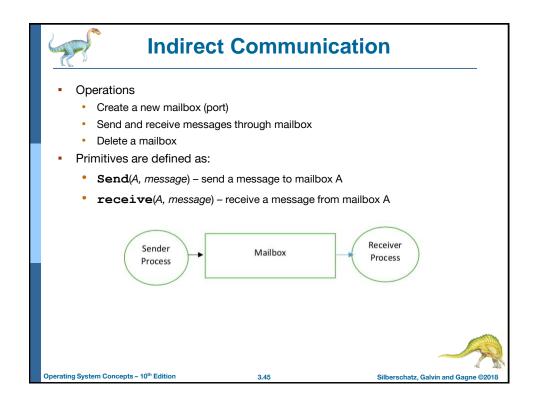
- Processes must name each other explicitly:
  - send (P, message) send a message to process P
    - receive(Q, message) receive a message from process Q
- Properties of communication link
  - · Links are established automatically
  - A link is associated with exactly one pair of communicating processes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



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# **Indirect Communication (Cont.)**

- 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?

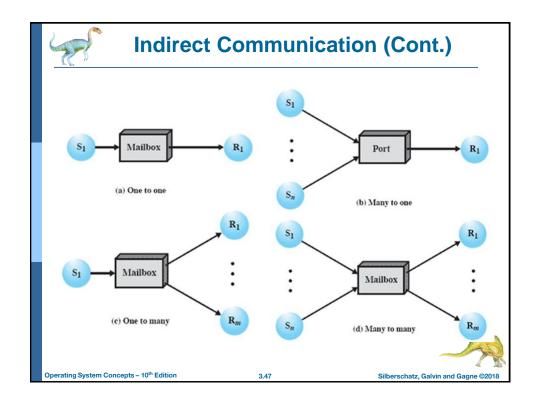
#### Solutions

- 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.



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# **Synchronization**

Message passing may be either blocking or non-blocking

- Blocking is considered synchronous
  - Blocking send -- the sender is blocked until the message is received
  - Blocking receive -- the receiver is blocked until a message is available
- Non-blocking is considered asynchronous
  - Non-blocking send -- the sender sends the message and continue
  - Non-blocking receive -- the receiver receives:
    - 4 A valid message, or
    - 4 Null message
- Different combinations possible
  - If both send and receive are blocking, we have a rendezvous



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# **Producer-Consumer: Message Passing**

Producer

```
message next_produced;
while (true) {
   /* produce an item in next_produced */
   send(next_produced);
}
```

Consumer

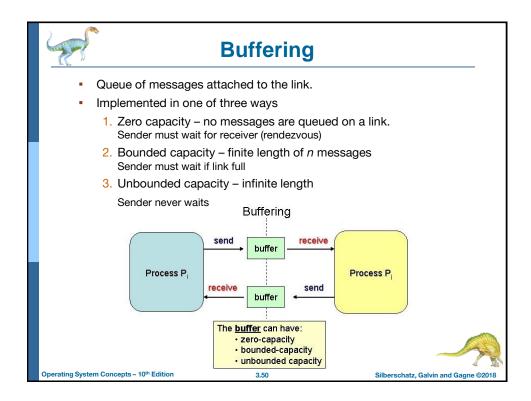
```
message next_consumed;
while (true) {
  receive(next_consumed)

/* consume the item in next_consumed */
}
```

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# **Examples of IPC Systems - POSIX**

- POSIX Shared Memory
  - Process first creates shared memory segment
     shm fd = shm open (name, O CREAT | O RDWR, 0666);
  - · Also used to open an existing segment
  - · Set the size of the object

#### ftruncate(shm fd, 4096);

- Use mmap () to memory-map a file pointer to the shared memory object
- Reading and writing to shared memory is done by using the pointer returned by mmap ().



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#### **IPC POSIX Producer**

```
#include <stdio.h>
#include <string.h>
#include <string.h>
#include <sys/shm.h>
#include <sys/shm.h>
#include <sys/stat.h>

int main()
{
    /* the size (in bytes) of shared memory object */
    const int SIZE = 4096;
    /* name of the shared memory object */
    const char *name = "OS";
    /* strings written to shared memory */
    const char *message.0 = "Hello";
    const char *message.1 = "World!";

    /* shared memory file descriptor */
    int shm fd;
    /* pointer to shared memory object */
    void *ptr;

    /* create the shared memory object */
    shm fd = shm.open(name, O.CREAT | O.RDWR, O666);

    /* configure the size of the shared memory object */
    ftruncate(shm.fd, SIZE);

    /* memory map the shared memory object */
    ptr = mmap(0, SIZE, PROT_WRITE, MAP_SHARED, shm.fd, 0);

    /* write to the shared memory object */
    sprintf(ptr, "%s", message.0);
    sprintf(ptr, "%s", message.1);
    ptr += strlen(message.1);
    return 0;

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```



### **IPC POSIX Consumer**

```
#include <stdio.h>
                      #include <stdlib.h>
                      #include <fcntl.h>
                      #include <sys/shm.h>
                      #include <sys/stat.h>
                      int main()
                      /* the size (in bytes) of shared memory object */
                      const int SIZE = 4096;
                      /* name of the shared memory object */
                      const char *name = "OS";
                      /* shared memory file descriptor */
                      int shm_fd;
                      /* pointer to shared memory obect */
                      void *ptr;
                         /* open the shared memory object */
                         shm_fd = shm_open(name, O_RDONLY, 0666);
                         /* memory map the shared memory object */
                         ptr = mmap(0, SIZE, PROT_READ, MAP_SHARED, shm_fd, 0);
                         /* read from the shared memory object */
                         printf("%s",(char *)ptr);
                         /* remove the shared memory object */
                         shm_unlink(name);
                         return 0;
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```



# **Examples of IPC Systems - Mach**

- Mach communication is message based
  - · Even system calls are messages
  - · Each task gets two ports at creation- Kernel and Notify
  - Messages are sent and received using the mach msg() function
  - Ports needed for communication, created via mach\_port\_allocate()
  - Send and receive are flexible, for example four options if mailbox full:
    - 4 Wait indefinitely
    - 4 Wait at most n milliseconds
    - 4 Return immediately
    - 4 Temporarily cache a message



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## **Mach Messages**

```
#include<mach/mach.h>
struct message {
         mach_msg_header_t header;
         int data;
};
mach port t client;
mach port t server;
```



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/\* Client Code \*/

# Mach Message Passing - Client/Server

```
struct message message;
          // construct the header
          message.header.msgh_size = sizeof(message);
          message.header.msgh_remote_port = server;
          message.header.msgh_local_port = client;
          // send the message
          mach msg(&message.header, // message header
             MACH_SEND_MSG, // sending a message sizeof(message), // size of message sent
             O, // maximum size of received message - unnecessary MACH PORT NULL, // name of receive port - unnecessary
             MACH_MSG_TIMEOUT_NONE, // no time outs
             MACH PORT NULL // no notify port
                    /* Server Code */
           struct message message;
            // receive the message
           mach.msg(&message.header, // message header
MACH.RCV_MSG, // sending a message
0, // size of message sent
               sizeof(message), // maximum size of received message
server, // name of receive port
               MACH_MSG_TIMEOUT_NONE, // no time outs
               MACH_PORT_NULL // no notify port
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```



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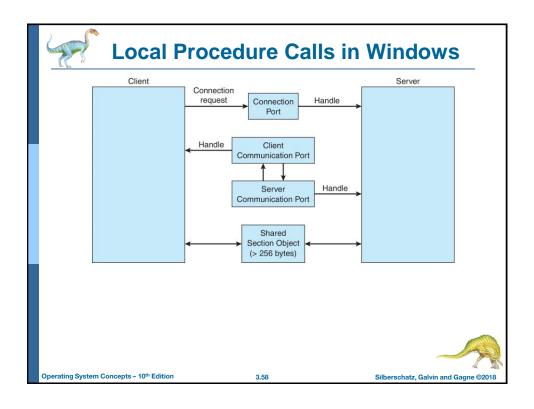


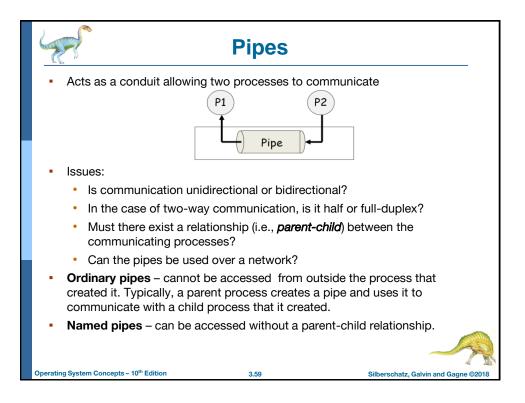
# Examples of IPC Systems – Windows

- Message-passing centric via advanced 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:
    - 4 The client opens a handle to the subsystem's connection port object.
    - 4 The client sends a connection request.
    - 4 The server creates two private communication ports and returns the handle to one of them to the client.
    - 4 The client and server use the corresponding port handle to send messages or callbacks and to listen for replies.



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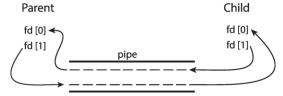






# **Ordinary Pipes**

- 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



Windows calls these anonymous pipes

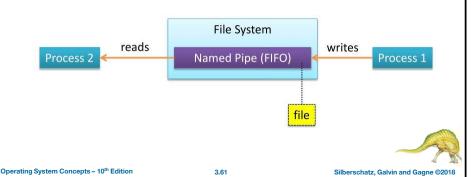


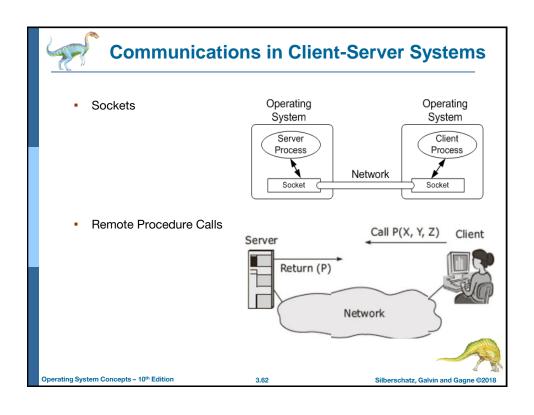
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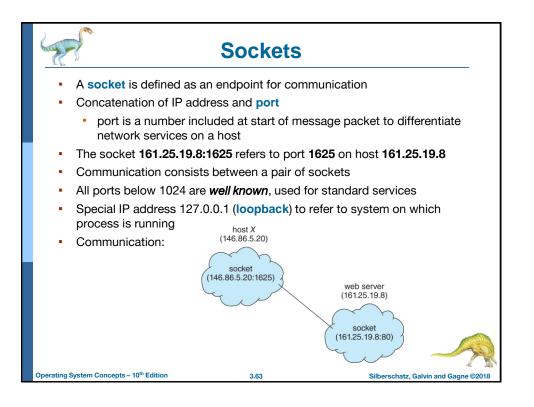
3.6

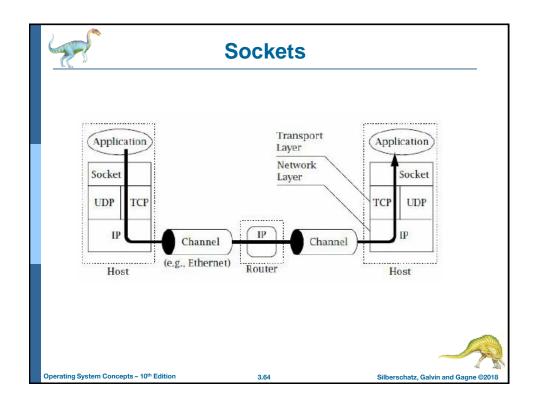


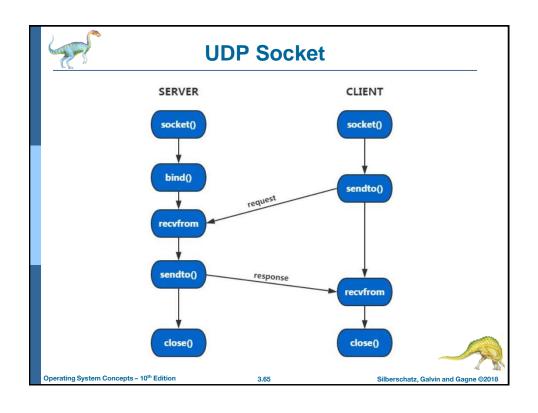
- Named Pipes are more powerful than ordinary pipes
- Communication is bidirectional
- No parent-child relationship is necessary between the communicating processes
- Several processes can use the named pipe for communication
- Provided on both UNIX and Windows systems

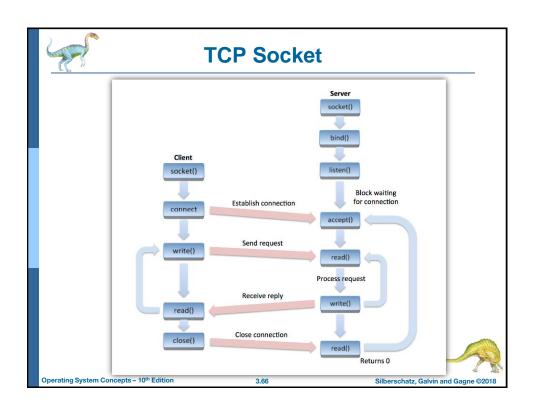


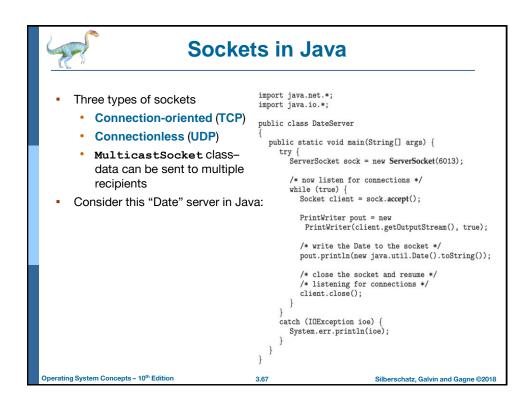


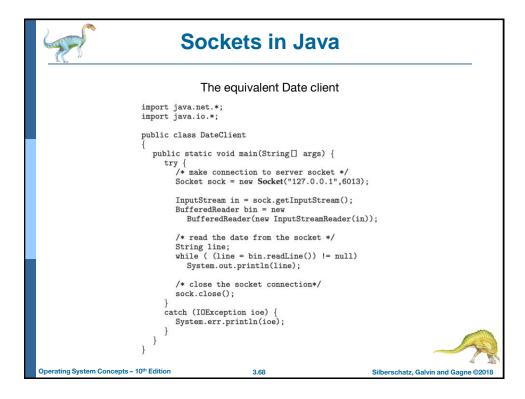








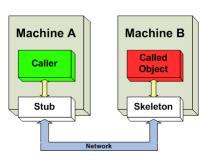






### **Remote Procedure Calls**

- RPC abstracts procedure calls between processes on networked systems
  - · Again, uses ports for service differentiation
- 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



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