Processes

Operating System Design - M1 Info

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Outline

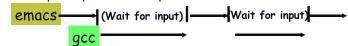
Introduction

Processes

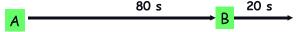
- ► A process is an instance of a program running
- Modern OSes run multiple processes simultaneously
- Examples (can all run simultaneously):
 - gcc file_A.c compiler running on file A
 - gcc file_B.c compiler running on file B
 - emacs text editor
 - ► firefox web browser
- Non-examples (implemented as one process):
 - Multiple firefox windows or emacs frames (still one process)
- Why processes?
 - Simplicity of programming
 - ▶ Higher throughput (better CPU utilization), lower latency

Speed

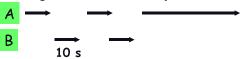
- Multiple processes can increase CPU utilization
 - Overlap one process's computation with another's wait



- Multiple processes can reduce latency
 - ▶ Running *A* then *B* requires 100 sec for *B* to complete



▶ Running A and B concurrently makes B finish faster



 A slightly slower, but less than 100 sec unless A and B both completely CPU-bound

Processes in the real world

Processes, parallelism fact of life much longer than OSes have been around

- ▶ E.g., say takes 1 worker 10 months to make 1 widget
- Company may hire 100 workers to make 10,000 widgets
- ▶ Latency for first widget $\gg 1/10$ month
- ► Throughput may be < 10 widgets per month (if can't perfectly parallelize task)
- Or > 10 widgets per month if better utilization (e.g., 100 workers on 10,000 widgets never idly waiting for paint to dry)
- You will see this with your assignments
 - ▶ Don't expect labs to take 1/3 time with three people

A process's view of the world

- Each process has own view of machine
 - Its own address space
 - Its own open files
 - Its own virtual CPU (through preemptive multitasking)
- \blacktriangleright *(char *)0xc000 different in P_1 & P_2
- Greatly simplifies programming model
 - gcc does not care that firefox is running

stack

heap

data
text

- Sometimes want interaction between processes
 - ▶ Simplest is through files: emacs edits file, gcc compiles it
 - ▶ More complicated: Shell/command, Window manager/app.

Outline

Introduction

User View of Processes

```
Basic Unix/Linux System Call Interface
Basic Process Management
```

UNIX files I/O

- Applications "open" files (or devices) by name
 - I/O happens through open files
- ▶ int open(char *path, int flags, /*mode*/...);
 - ► flags: O_RDONLY, O_WRONLY, O_RDWR
 - ▶ O_CREAT: create the file if non-existent
 - ▶ 0_EXCL: (w. 0_CREAT) create if file exists already
 - ▶ 0_TRUNC: Truncate the file
 - ► O_APPEND: Start writing from end of file
 - mode: final argument with O_CREAT
- ▶ Returns file descriptor—used for all I/O to file

Error returns

- ▶ What if open fails? Returns -1 (invalid fd)
- ► Most system calls return -1 on failure
 - Specific kind of error in global int errno
- #include <sys/errno.h> for possible values
 - ▶ 2 = ENOENT "No such file or directory"
 - ▶ 13 = EACCES "Permission Denied"
- perror function prints human-readable message
 - perror ("initfile");
 - ightarrow "initfile: No such file or directory"

Operations on file descriptors

- int read (int fd, void *buf, int nbytes);
 - Returns number of bytes read
 - Returns 0 bytes at end of file, or -1 on error
- int write (int fd, void *buf, int nbytes);
 - Returns number of bytes written, -1 on error
- off_t lseek (int fd, off_t pos, int whence);
 - ▶ whence: 0 start, 1 current, 2 end
 - Returns previous file offset, or -1 on error
- int close (int fd);

File descriptor numbers

- File descriptors are inherited by processes
 - When one process spawns another, same fds by default
- ▶ Descriptors 0, 1, and 2 have special meaning
 - ▶ 0 "standard input" (stdin in ANSI C)
 - ▶ 1 "standard output" (stdout, printf in ANSI C)
 - ▶ 2 "standard error" (stderr, perror in ANSI C)
 - Normally all three attached to terminal
- Example: type.c
 - Prints the contents of a file to stdout

Exemple: type.c

```
void typefile(char *filename)
  int fd, nread;
  char buf[1024];
  fd = open(filename, O_RDONLY);
  if (fd == -1) {
    perror(filename);
   return;
  while ((nread = read(fd, buf, sizeof(buf))) > 0)
    write(1, buf, nread);
  close(fd);
```

The rename system call

- ▶ int rename (const char *p1, const char *p2);
 - Changes name p2 to reference file p1
 - Removes file name p1
- ▶ Guarantees that p2 will exist despite any crashes
 - p2 may still be old file
 - p1 and p2 may both be new file
 - but p2 will always be old or new file
- fsync/rename idiom used extensively
 - E.g., emacs: Writes file .#file#
 - Calls fsync on file descriptor
 - rename (".#file#", "file");

Creating processes

- int fork (void);
 - Create new process that is exact copy of current one
 - ▶ Returns *process ID* of new process in "parent"
 - ► Returns 0 in "child"
 - Actually, not int anymore, but pid_t
- int getpid (void); int getppid (void);
 - Returns process ID of the calling process (resp. of its parent)
- int waitpid (int pid, int *stat, int opt);
 - ▶ pid process to wait for, or -1 for any
 - stat will contain exit value, or signal
 - opt usually 0 or WNOHANG
 - ▶ Returns process ID or -1 on error
- Hierarchy of processes
 - run the pstree -p command

Deleting processes

- void exit (int status);
 - Current process ceases to exist
 - status shows up in waitpid (shifted)
 - ▶ By convention, status of 0 is success, non-zero error
- int kill (int pid, int sig);
 - Sends signal sig to process pid
 - SIGTERM most common value, kills process by default (but application can catch it for "cleanup")
 - SIGKILL stronger, kills process always

Process Termination

- When a child terminates (either by calling exit or abnormally due to a fatal error or signal)
 - ► An exit status is returne to the OS
 - Some of the process resources are deallocated by operating system.
 - A SIGCHLD signal is sent to the parent
 - Parent should retrieve the exit status using wait. If it does not, then the child process will remain in the system as a zombi.
- ► When a parent process terminates before its child, there are two options:
 - ▶ Operating system does not allow child to continue if its parent terminates → cascading termination (VMS).
 - ▶ Re-parent the orphan (UNIX). The init process becomes the new parent and is specifically designed to handle orphan proces (and take care of zombis).

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Running programs

- - prog full pathname of program to run
 - argv argument vector that gets passed to main
 - ▶ envp environment variables, e.g., PATH, HOME

► Generally called through a wrapper functions

- ▶ int execvp (char *prog, char **argv); Search PATH for prog, use current environment
- int execlp (char *prog, char *arg, ...);
 List arguments one at a time, finish with NULL
- Example: minish.c
 - Loop that reads a command, then executes it

minish.c (simplified)

```
pid_t pid;
char **av:
void doexec() {
  execvp(av[0], av);
  perror(av[0]);
  exit(1);
      /* ... main loop: */
for (;;) {
  parse_next_line_of_input(&av, stdin);
  switch (pid = fork()) {
  case -1:
    perror("fork");
   break:
  case 0:
    doexec():
  default:
    waitpid(pid, NULL, 0);
   break:
```

Manipulating file descriptors

- int dup2 (int oldfd, int newfd);
 - Makes newfd be the copy of oldfd, closing newfd first if necessary.
 - Two file descriptors will share same offset (1seek on one will affect both)
- int fcntl (int fd, F_SETFD, val)
 - ▶ Sets close on exec flag if val = FD_CLOEXEC, clears if val = 0
 - Makes file descriptor non-inheritable by spawned programs
- Example: redirsh.c
 - Loop that reads a command and executes it
 - Recognizes command < input > output 2> errlog

redirsh.c

```
void doexec (void) {
  int fd:
  /* infile non-NULL if user typed "command < infile" */</pre>
  if (infile) {
    if ((fd = open (infile, O_RDONLY)) < 0) {
      perror (infile);
     exit (1);
    if (fd != 0) {
      dup2 (fd, 0);
      close (fd);
  /* ... Do same for outfile -> fd 1, errfile -> fd 2 ... */
  execvp (av[0], av);
  perror (av[0]);
  exit (1);
```

Why fork?

- Most calls to fork followed by execve
- Could also combine into one spawn system call
- Occasionally useful to fork one process
 - Unix dump utility backs up file system to tape
 - If tape fills up, must restart at some logical point
 - Implemented by forking to revert to old state if tape ends
- Real win is simplicity of interface
 - Tons of things you might want to do to child: Manipulate file descriptors, environment, resource limits, etc.
 - Yet fork requires no arguments at all

Spawning process w/o fork

- Without fork, require tons of different options
- ► Example: Windows CreateProcess system call

BOOL CreateProcess(

LPCTSTR IpApplicationName, // pointer to name of executable module LPTSTR IpCommandLine, // pointer to command line string LPSECURITY_ATTRIBUTES IpProcessAttributes, // process security attr. LPSECURITY_ATTRIBUTES IpThreadAttributes, // thread security attr. BOOL bInheritHandles, // handle inheritance flag DWORD dwCreationFlags, // creation flags LPVOID IpEnvironment, // pointer to new environment block LPCTSTR IpCurrentDirectory, // pointer to current directory name LPSTARTUPINFO IpStartupInfo, // pointer to STARTUPINFO LPPROCESS_INFORMATION IpProcessInformation // pointer to PROCESS_INFORMATION);

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Kernel View of Processes

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ter Process Communication
Motivation
Signals
Shared Memory
Bounded Buffer
Pipes
Inter Process Communications
General Facts
Sockets
MPI, RPC and Java RMI
```

Implementing processes

OS keeps data structure for each proc

- Process Control Block (PCB)
- Called proc in Unix, task_struct in Linux
- Tracks state of the process
 - Running, runnable, blocked, etc.
- Includes information necessary to run
 - Registers, virtual memory mappings, etc.
 - Open files (including memory mapped files)
- Various other data about the process
 - Credentials (user/group ID), signal mask, controlling terminal, priority, accounting statistics, whether being debugged, which system call binary emulation in use, ...

| Process state |
|-------------------|
| Process ID |
| User id, etc. |
| Program counter |
| Registers |
| Address space |
| (VM data structs) |
| Open files |

Open files

PCB

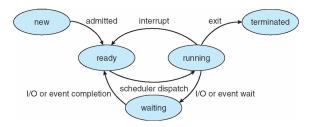
Fork & Exec

- The fork system call creates a copy of the PCB
 - Open files and memory mapped files are thus similar
 - Open files are thus opened by both father and child. They should both close the files
 - The pages of many memory segments are shared (text, r/o data,...)
 - Many others are lazily copied (copy on write)
- ► The exec system call replaces the address space, the registers, the program counter by the one of the program to exec.
 - Open files are thus inherited (hence, the need for the fcntl function sometimes)

Process state Process ID User id, etc. Program counter Registers Address space (VM data structs) Open files

PCB

Process states



Process can be in one of several states

- new & terminated at beginning & end of life
- running currently executing (or will execute on kernel return)
- ready can run, but kernel has chosen different process to run
- waiting needs async event (e.g., disk operation) to proceed

▶ Which process should kernel run?

- ▶ if 0 runnable, run idle loop, if 1 runnable, run it
- ▶ if >1 runnable, must make scheduling decision

Scheduling

- How to pick which process to run
- Scan process table for first runnable?
 - Expensive. Weird priorities (small pids better)
 - Divide into runnable and blocked processes
- FIFO?
 - ▶ Put process on back of list, pull them off from front



- Priority?
 - Give some process a better shot at the CPU

Scheduling policy

Want to balance multiple goals

- Fairness don't starve processes
- Priority reflect relative importance of procs
- Deadlines must do x (play audio) by certain time
- Throughput want good overall performance
- Reactivity minimize response time
- Efficiency minimize overhead of scheduler itself

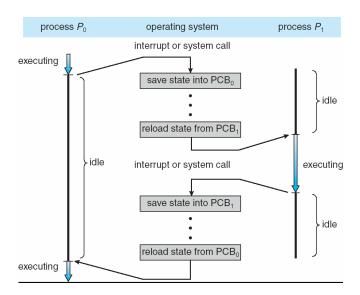
No universal policy

- Many objectives, can't optimize for all
- Conflicting goals (e.g., throughput or priority vs. fairness)
- We will spend a lecture on this topic

Preemption

- Can preempt a process when kernel gets control
- Running process can vector control to kernel
 - System call, page fault, illegal instruction, etc.
 - ▶ May put current process to sleep—e.g., read from disk
 - ▶ May make other process runnable—e.g., fork, write to pipe
- Periodic timer interrupt
 - If running process used up quantum, schedule another
- Device interrupt
 - Disk request completed, or packet arrived on network
 - Previously waiting process becomes runnable
 - Schedule if higher priority than current running proc.
- Changing running process is called a context switch

Context switch



Context switch details

► Very machine dependent. Typical things include:

- Save program counter and integer registers (always)
- Save floating point or other special registers
- Save condition codes
- Change virtual address translations

Non-negligible cost

- Save/restore floating point registers expensive
 - Optimization: only save if process used floating point
- May require flushing TLB (memory translation hardware)
 - Optimization: don't flush kernel's own data from TLB
- Usually causes more cache misses (switch working sets)

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Inter Process Communications

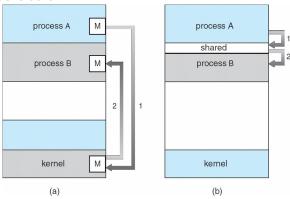
General Facts
Sockets
MPI, RPC and Java RM



Cooperating Processes

- ► Independent process cannot affect or be affected by the execution of another process
 - See next lectures on memory management
- Cooperating process can affect or be affected by the execution of another process. Advantages:
 - Information sharing
 - Computation speed-up
 - Modularity
 - Convenience

Process Interaction



How can processes interact in real time?

- (1) Through files but it's not really "real time".
- (2) Through asynchronous signals or alerts but again, it's not really "real time".
- (3) By sharing a region of physical memory
- (4) By passing messages through the kernel



Asynchronous notification

► As we have seen earlier

- Children process send a SIGCHLD signal to their parents upon termination.
- One may send a SIGINT/SIGTERM/SIGSTOP/SIGKILL signal to CTRL-C/suspend (CTRL-Z)/terminate/kill a process using the kill function:

```
int kill (int pid, int sig);
```

Upon reception of a signal, a given handler is called. This handler can be obtained and modified using the signal function: typedef void (*sighandler_t)(int); sighandler_t signal(int signum, sighandler_t handler);

Some common signals:

- SIGSEGV (segfault), SIGFPE (floating-point exception), SIGALRM (timer alarm), SIGABRT (abort is catched by gdb), SIGILL (illegal instruction!), SIGCONT (resume if suspended)
- SIGUSR1, SIGUSR2
- ▶ Some signals cannot be blocked (SIGSTOP and SIGKILL)

Illustrating shm

```
#define DELAY 1
                     /* secondss */
void handler(int signal_num)
 printf("Signal %d => ", signal_num);
  switch (signal_num) {
  case SIGTSTP:
       printf("Let's sleep!");
       kill(getpid(), SIGSTOP);
       printf("Waking up!");
       signal(SIGTSTP, handler);
       break:
  case SIGINT:
  case SIGTERM:
       printf("End of the program");
       exit(EXIT_SUCCESS);
       break:
```

```
#include <stdlib.h>
#include <signal.h>
#include <errno.h>
#include <unistd.h>
#include <stdio.h>
int main(void)
{
   signal(SIGTSTP, handler):
                  /* if control-Z */
   signal(SIGINT, handler);
                  /* if control-C */
   signal(SIGTERM, handler);
            /* if kill processus */
   while (1) {
       sleep(DELAI);
       printf(".");
       fflush(stdout);
  printf("fin");
   exit(EXIT_SUCCESS);
}
```

Shared Memory Segment

► A process can create a shared memory segment using:

```
int shmget(key_t key, size_t size, int shmflg);
```

- The returned value identifies the segment and is called the shmid
- ▶ The key is used so that process indeed get the same segment.
- ► The original owner of a shared memory segment can assign ownership to another user with shmctl().
 - It can also revoke this assignment.
- Once created, a shared segment should be attached to a process address space using

- ▶ It can be detached using int shmdt(const void *shmaddr);
- ► Can also be done with the mmap function

Illustrating shm

```
char c:
int shmid;
key_t key;
char *shm. *s:
kev = 5678:
/* Create the segment */
if ((shmid = shmget(key, SHMSZ,
      IPC_CREAT | 0666)) < 0) {
    perror("shmget");
    exit(1):
/* Attach the segment */
if ((shm = shmat(shmid, NULL, 0)) ==
     (char *) -1) {
    perror("shmat");
    exit(1);
}
```

```
int shmid:
kev_t kev;
char *shm. *s:
kev = 5678:
/* Locate the segment */
if ((shmid = shmget(key, SHMSZ, 0666))
        < 0) {
    perror("shmget");
    exit(1):
/* Attach the segment */
if ((shm = shmat(shmid, NULL, 0)) ==
        (char *) -1) {
    perror("shmat");
    exit(1);
```

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

Shared-Memory Solution

```
/*Shared data structure*/
                                      Producer
                                                      */
                                                                      Consumer
#define BUFFER_SIZE 10
                           item nextProduced;
                                                            item nextConsumed;
typedef struct {
                           while (1) {
                                                            while (1) {
                             while(((in + 1)%BUFFER_SIZE)
                                                              while (in == out)
} item;
                                    ==out)
                                                                    ; /* do nothing */
item buffer[BUFFER_SIZE];
                                   ; /* do nothing */
                                                              nextConsumed=buffer[out];
int in = 0;
                             buffer[in]=nextProduced;
                                                              out=(out+1)%BUFFER_SIZE;
int out = 0;
                             in=(in+1)%BUFFER_SIZE;
```

Drawbacks:

- ▶ Solution is correct, but can only use BUFFER_SIZE-1 elements
- Works only with one producer and one consumer
- Busy waiting

Pipes

- int pipe (int fds[2]);
 - Returns two file descriptors in fds[0] and fds[1]
 - Writes to fds[1] will be read on fds[0]
 - When last copy of fds[1] closed, fds[0] will return EOF
 - Returns 0 on success, -1 on error

Operations on pipes

- ▶ read/write/close as with files
- ▶ When fds[1] closed, read(fds[0]) returns 0 bytes
- ▶ When fds[0] closed, write(fds[1]):
 - Kills process with SIGPIPE, or if blocked
 - Fails with EPIPE
- Example: pipesh.c
 - ▶ Sets up pipeline command1 | command2 | command3 ...

pipesh.c (simplified)

```
void doexec (void) {
  int pipefds[2];
  while (outcmd) {
    pipe (pipefds);
    switch (fork ()) {
    case -1:
      perror ("fork"); exit (1);
    case 0:
      dup2 (pipefds[1], 1);
      close (pipefds[0]); close (pipefds[1]);
      outcmd = NULL;
      break:
    default:
      dup2 (pipefds[0], 0);
      close (pipefds[0]); close (pipefds[1]);
      parse_command_line (&av, &outcmd, outcmd);
      break:
```

Inter Process Communications (IPC)

- 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 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?

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
- 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 Issues

Mailbox sharing

- P1, P2, and P3 share mailbox A
- ▶ P1, sends; P2 and P3 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 Issues

Synchronization

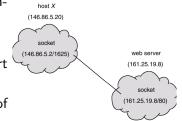
- Message passing may be either blocking or non-blocking
- Blocking is considered synchronous
- Non-blocking is considered asynchronous
- send and receive primitives may be either blocking or non-blocking
- Queue of messages attached to the link; implemented in one of three ways.
 - Zero capacity 0 messages. Sender must wait for receiver (rendezvous)
 - Bounded capacity finite length of n messages. Sender must wait if link full
 - Unbounded capacity infinite length. Sender never waits

Pipes, just like most I/Os are buffered

 Hence, when you pipe process, the initial producer process will "wait" for the child process to read the data

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 and is bidirectionnal



Sockets

To accept connections, the following steps are performed:

- 1. A socket is created with **socket**
- The socket is bound to a local address using bind (assigning a name to a socket), so that other sockets may be connected to it
- 3. A willingness to accept incoming connections and a queue limit for incoming connections are specified with **listen**.
- 4. Connections are accepted with accept.

Higher level APIs

Message Passing Interface (MPI)

- Used for High Performance Computing with high-speed network implementations
- Proposes send/recv but many others (Isend/Irecv, collective operations)
- Uses structured types instead of char * (for portability)

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 peforms the procedure on the server

Remote Method Invocation

- Remote Method Invocation (RMI) is a Java mechanism similar to RPCs
- RMI allows a Java program on one machine to invoke a method on a remote object

