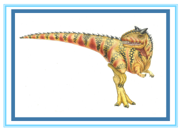
# Chapter 3: Process Concept





## Chapter 3: Process Concept

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



## Objectives

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

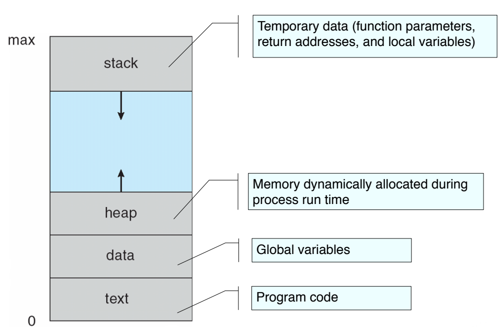


## Process Concept

- An operating system executes a variety of programs:
  - Batch system – **jobs**
  - Time-shared systems – **user programs** or **tasks**
- Textbook uses the terms ***job*** and ***process*** almost interchangeably
- **Process** – a program in execution; process execution must progress in sequential fashion
- Multiple parts
  - The program code, also called **text section**
  - Current activity including **program counter**, processor registers
  - **Stack** containing temporary data
    - Function parameters, return addresses, local variables
  - **Data section** containing global variables
  - **Heap** containing memory dynamically allocated during run time
- Program is ***passive*** entity stored on disk (**executable file**), process is ***active***
  - Program becomes process when executable file loaded into memory
- Execution of program started via GUI mouse clicks, command line entry of its name, etc
- One program can be several processes
  - Consider multiple users executing the same program



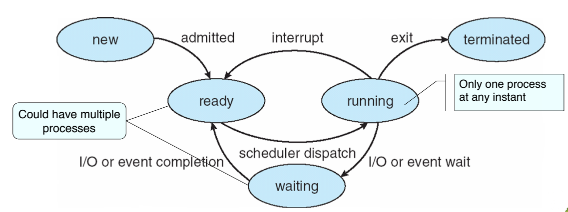
## Process in Memory






## Process States and Diagram

- 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 process
  - terminated: The process has finished execution

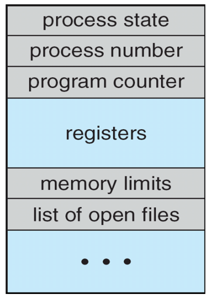


# Process Control Block (PCB)

Information associated with each process

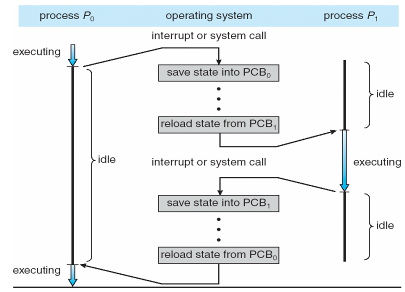
(also called **task control block**)

- 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






# CPU Switch From Process to Process






# Threads

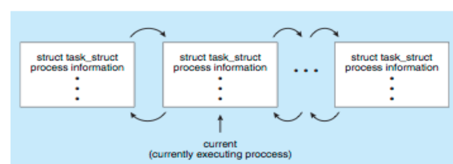
- So far, process has a single thread of execution
- Consider having multiple program counters per process
  - Multiple locations can execute at once
    - Multiple threads of control -> **threads**
- Must then have storage for thread details, multiple program counters in PCB
- See next chapter



# Process Representation in Linux

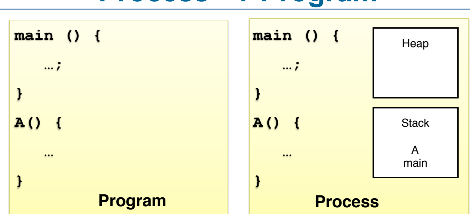
- Represented by the C structure `task_struct`

```
pid t pid; /* process identifier */
long state; /* state of the process */
unsigned int time slice /* scheduling information */
struct task struct *parent; /* this process's parent */
struct list head children; /* this process's children */
struct files struct *files; /* list of open files */
struct mm struct *mm; /* address space of this process */
```






# Process =? Program



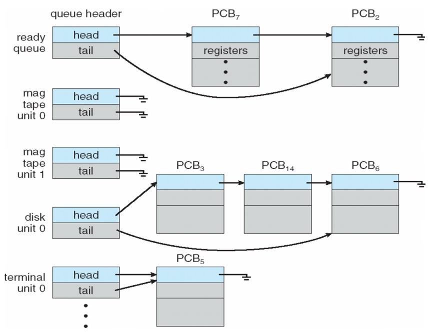

- A process is more than just a program:
  - A program is just part of the process state
  - Same program can be run by different processes
- A process is "less" than a program:
  - A program can invoke (call) more than one process
- A program is static (line of codes stored) and a process has a "life" and is always in some "state"



# Process Scheduling

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

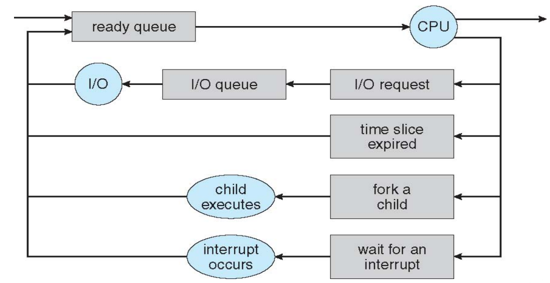
## Ready Queue And Various I/O Device Queues






## Representation of Process Scheduling

- **Queuing diagram** represents queues, resources, flows





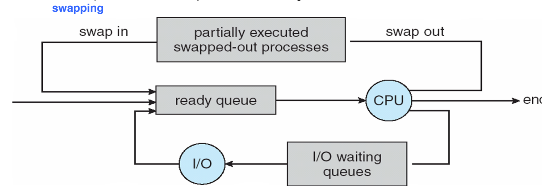

## Schedulers

- **Long-term scheduler** (or **job scheduler**) – selects which processes should be brought into the ready queue
- **Short-term scheduler** (or **CPU scheduler**) – selects which process should be executed next and allocates CPU
  - Sometimes the only scheduler in a system
- Short-term scheduler is invoked very frequently (milliseconds) ⇒ (must be fast)
- Long-term scheduler is invoked very infrequently (seconds, minutes) ⇒ (may be slow)
- The long-term scheduler controls the **degree of multiprogramming**
- Processes can be described as either:
  - **I/O-bound process** – spends more time doing I/O than computations, many short CPU bursts
  - **CPU-bound process** – spends more time doing computations; few very long CPU bursts
- Long-term scheduler strives for good ***process mix***



## Addition of Medium Term Scheduling

- **Medium-term scheduler** can be added if degree of multiple programming needs to be decreased
  - Remove process from memory, store on disk, bring back in from disk to continue execution: **swapping**






## Multitasking in Mobile Systems

- Some systems / early systems 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



## Context Switch

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

## Operations on Processes

- System must provide mechanisms for process creation, termination, and so on as detailed next

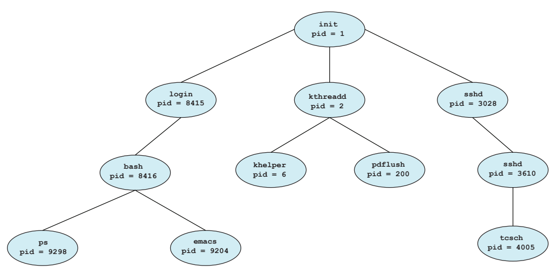


## Process Creation

- **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



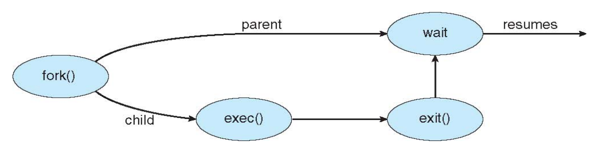
## A Tree of Processes in Linux






## 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






## What does it take to Create a Process?

- Must construct new PCB
  - Inexpensive
- Must set up new *page tables* for address space
  - More expensive
- Copy data from parent process? (Unix fork() )
  - Semantics of Unix fork() are that the child process gets a complete copy of the parent memory and I/O state
  - Originally *very* expensive
- Copy I/O state (file handles, etc)
  - Medium expense



## C Program Forking Separate Process

```
int main()
{
pid_t  pid;
   /* fork another process */
   pid = fork();
   if (pid < 0) { /* error occurred */
   fprintf(stderr, "Fork Failed");
   exit(-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");
   exit(0);
   }
}
```

# fork() Example

```
#include <sys/types.h>
#include <stdio.h>
#include <unistd.h>
int number1 = 10; int number2 = 5;
int main() {
      pid_t pid;
      int temp;
      pid = fork();
      if (pid == 0) { /* child process */
            temp = number1;
            number1 = number2;
            number2 = temp;
            printf("CHILD: number1 = %d", number1); } /* Line A */
      else if (pid > 0) { /* parent process */
            wait (NULL);
            printf("PARENT: number2 = %d", number2);  /* Line B */
            exit(0); }
}
```

Output:
Line A: CHILD: number1= 5
Line B: PARENT: number2 = 5



# Creating a Separate Process via Windows API

```
#include <stdio.h>
#include <windows.h>

int main(VOID)
{
STARTUPINFO si;
PROCESS_INFORMATION pi;

   /* allocate memory */
   ZeroMemory(&si, sizeof(si));
   si.cb = sizeof(si);
   ZeroMemory(&pi, sizeof(pi));

   /* create child process */
   if (!CreateProcess(NULL, /* use command line */
    "C:\\WINDOWS\\system32\\mspaint.exe", /* command */
    NULL, /* don't inherit process handle */
    NULL, /* don't inherit thread handle */
    FALSE, /* disable handle inheritance */
    0, /* no creation flags */
    NULL, /* use parent's environment block */
    NULL, /* use parent's existing directory */
    &si,
    &pi))
   {
     fprintf(stderr, "Create Process Failed");
     return -1;
   }
   /* parent will wait for the child to complete */
   WaitForSingleObject(pi.hProcess, INFINITE);
   printf("Child Complete");

   /* close handles */
   CloseHandle(pi.hProcess);
   CloseHandle(pi.hThread);
}
```



# Process Termination

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

**pid t pid; int status;**
**pid = wait(&status);**

- If no parent waiting, then terminated process is a **zombie**
- If parent terminated, processes are **orphans**

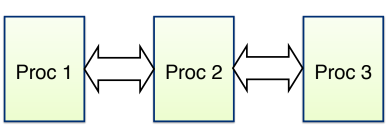


# Interprocess Communication

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



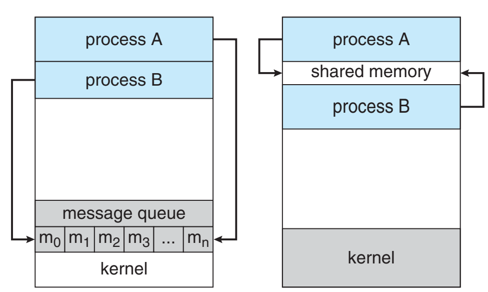
# Multiple Processes Collaboration




- Need communication mechanisms:
  - Separate address spaces different processes
  - Shared-Memory Mapping
    - Accomplished by mapping addresses to common DRAM
    - **read**() and **write**() through memory
  - Message Passing
    - **send**() and **receive**() messages
    - Works across network

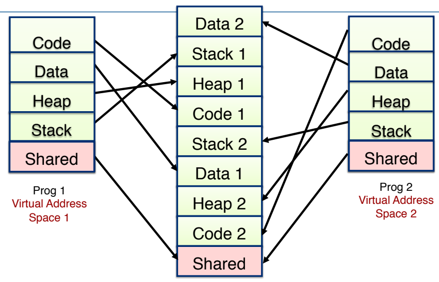


# Communications Models




(a) (b)

# Shared Memory Communication




- Communication occurs by "simply" reading/writing to shared address page
  - Really low overhead communication
  - Introduces complex synchronization problems



# Interprocess Communication – Message Passing

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



# Direct Communication

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



# Indirect Communication

- Messages are directed and received from mailboxes (also referred to as ports)
  - Each mailbox has a unique id
  - Processes can communicate only if they share a mailbox
- Properties of communication link
  - Link established only if processes share a common mailbox
  - A link may be associated with many processes
  - Each pair of processes may share several communication links
  - Link may be unidirectional or bi-directional



# Indirect Communication

- Operations
  - create a new mailbox
  - send and receive messages through mailbox
  - destroy a mailbox
- Primitives are defined as:

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

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



# Indirect Communication

- Mailbox sharing
  - $P_1$, $P_2$, and $P_3$ share mailbox A
  - $P_1$, sends; $P_2$ and $P_3$ receive
  - Who gets the message?
- Solutions
  - Allow a link to be associated with at most two processes
  - Allow only one process at a time to execute a receive operation
  - Allow the system to select arbitrarily the receiver. Sender is notified who the receiver was.

# Communications in Client-Server Systems

- Sockets
- Pipes

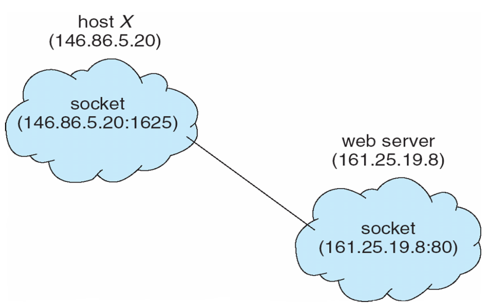


# Sockets

- A **socket** is defined as an endpoint for communication
- Concatenation of IP address and **port** – a number included at start of message packet to differentiate network services on a host
- The socket **161.25.19.8:1625** refers to port **1625** on host **161.25.19.8**
- Communication consists between a pair of sockets
- All ports below 1024 are ***well known***, used for standard services
- Special IP address 127.0.0.1 (**loopback**) to refer to system on which process is running



# Socket Communication





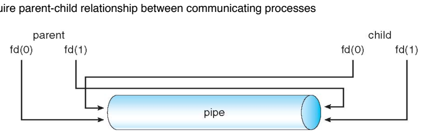

# Pipes

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



# Ordinary Pipes

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




- Windows calls these **anonymous pipes**
- See Unix and Windows code samples in textbook



# Named Pipes

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

# End of Chapter 3