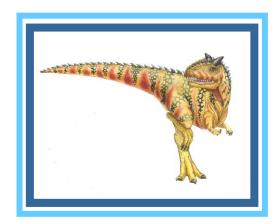
Chapter 3: Processes





Chapter 3: Processes

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





Objectives

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





Process Concept

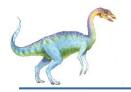
- An operating system executes a variety of programs:
 - Batch system jobs
 - Time-shared systems user programs or tasks
- The terms job and process almost interchangeably
- Process a program in execution; process execution must progress in sequential fashion
- Multiple parts
 - The program code, also 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



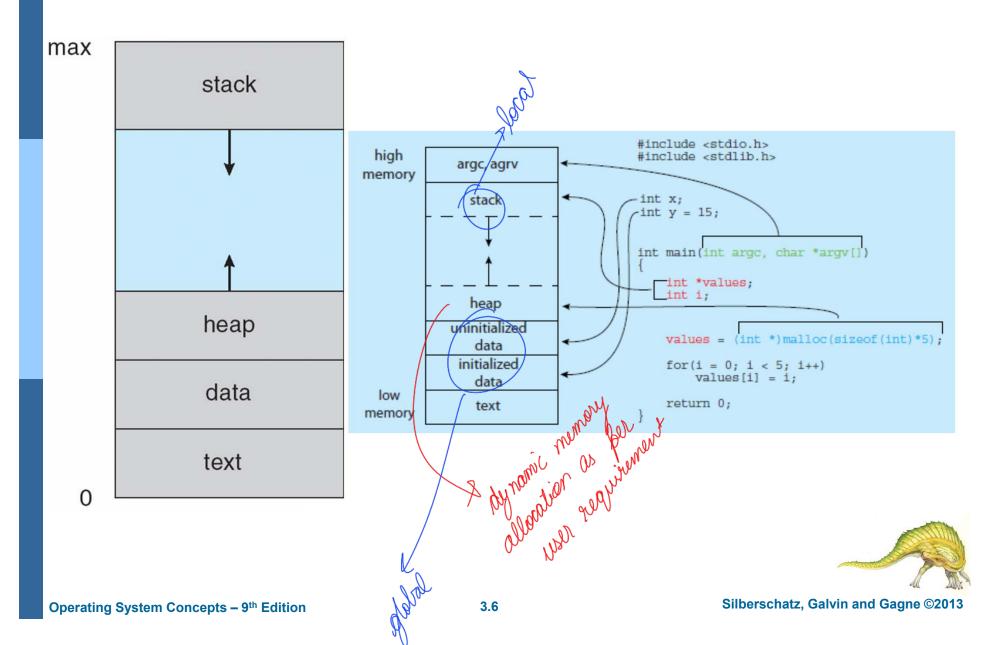
Process Concept (Cont.)

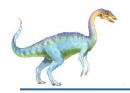
- Program is passive entity stored on disk (executable file), process is active
 - Program becomes process when executable file loaded into memory
- Execution of program started via GUI mouse clicks, command line entry of its name, etc
- One program can be several processes
 - Consider multiple users executing the same program





Process in Memory





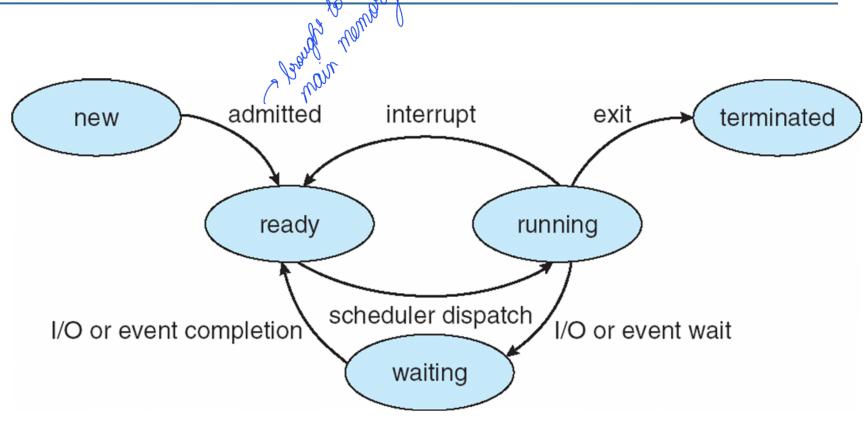
Process State

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





Diagram of Process State







Process Control Block (PCB)

Information associated with each process (also called task control block)

- Process state running, waiting, etc
- Program counter location of instruction to next execute
- CPU registers contents of all processcentric 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

. . .

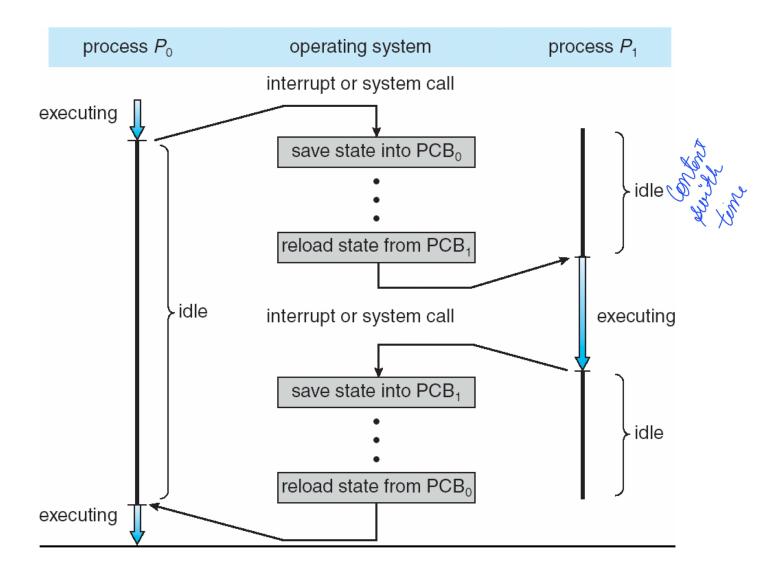
memory limits

list of open files





CPU Switch From Process to Process







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 → the longer the context switch
- Time dependent on hardware support
 - Some hardware provides multiple sets of registers per CPU
 → multiple contexts loaded at once

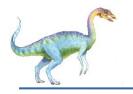




Threads

- 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

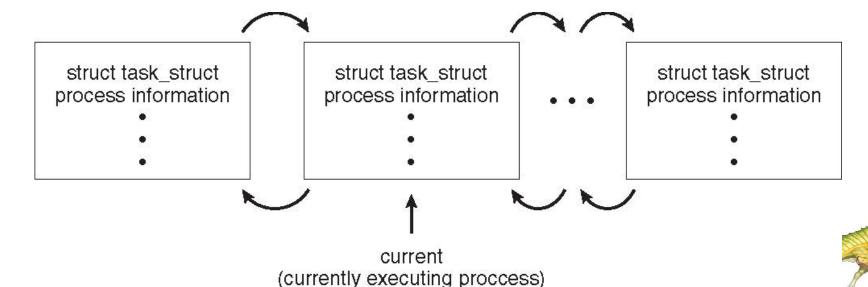




Process Representation in Linux

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 */
```





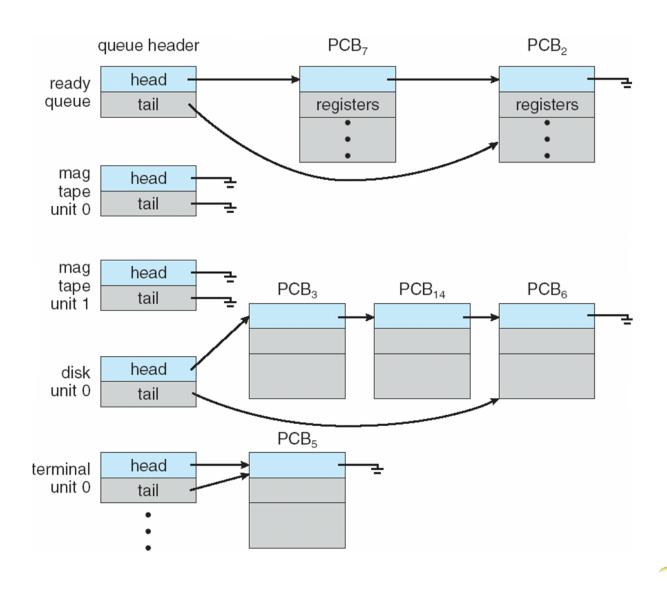
Process Scheduling

- 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



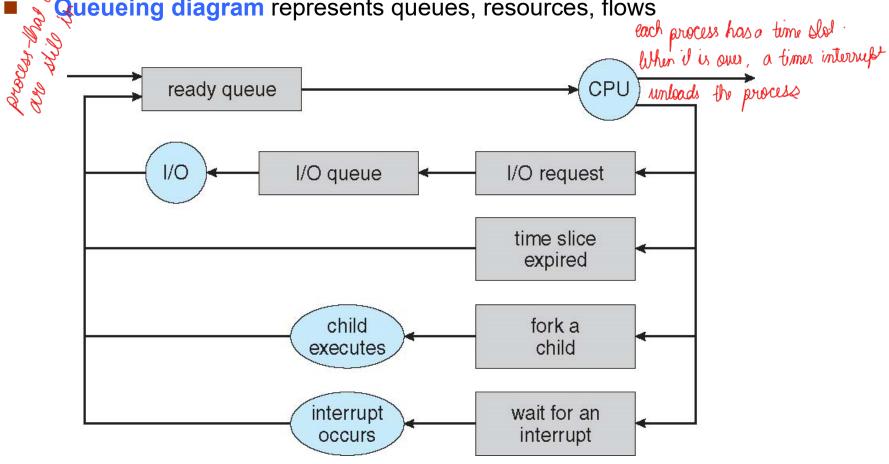


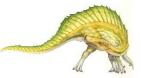
Ready Queue And Various I/O Device Queues

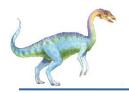


Representation of Process Scheduling

Queueing diagram represents queues, resources, flows









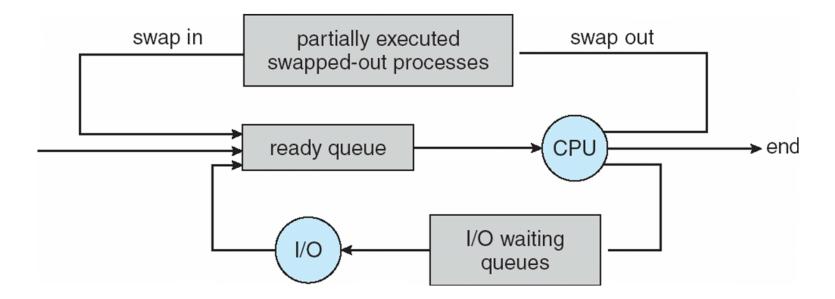
- Short-term scheduler (or CPU scheduler) selects which process should be executed next and allocates CPU
 - Sometimes the only scheduler in a system
 - Short-term scheduler is invoked frequently (milliseconds) ⇒ (must be fast)
- Long-term scheduler (or job scheduler) selects which processes should be brought into the ready queue
 - Long-term scheduler is invoked infrequently (seconds, minutes) \Rightarrow (may be slow)
 - The long-term scheduler controls the degree of multiprogramming
- Processes can be described as either:
 - I/O-bound process spends more time doing I/O than computations, many short CPU bursts
 - **CPU-bound process** spends more time doing computations; few very long CPU bursts
- 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 decrease
 - Remove process from memory, store on disk, bring back in from disk to continue execution: swapping







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





Operations on Processes

- System must provide mechanisms for:
 - process creation,
 - process termination,





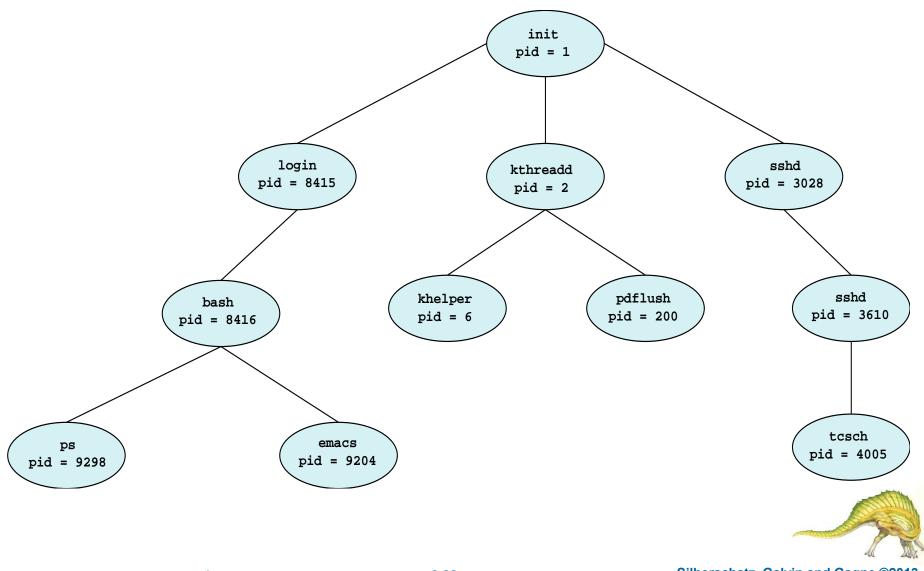
Process Creation

- 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

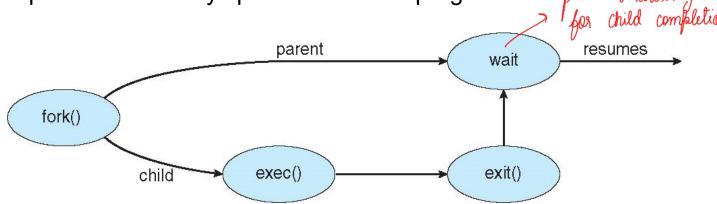




Process Creation (Cont.)

- 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







C Program Forking Separate Process

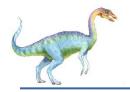
```
> return value specifier whether the cod is
nurring in the child or powers process
#include <sys/types.h>
#include <stdio.h>
#include <unistd.h>
int main()
pid_t pid;
   /* fork a child process */
   pid = fork();
   if (pid < 0) { /* error occurred */
      fprintf(stderr, "Fork Failed");
      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;
```



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 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





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





Multiprocess Architecture – Chrome Browser

- Many web browsers ran as single process (some still do)
 - If one web site causes trouble, entire browser can hang or crash
- Google Chrome Browser is multiprocess with 3 different types of processes:
 - Browser process manages user interface, disk and network I/O
 - Renderer process renders web pages, deals with HTML,
 Javascript. A new renderer created for each website opened
 - Runs in sandbox restricting disk and network I/O, minimizing effect of security exploits
 - Plug-in process for each type of plug-in



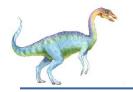




Interprocess Communication

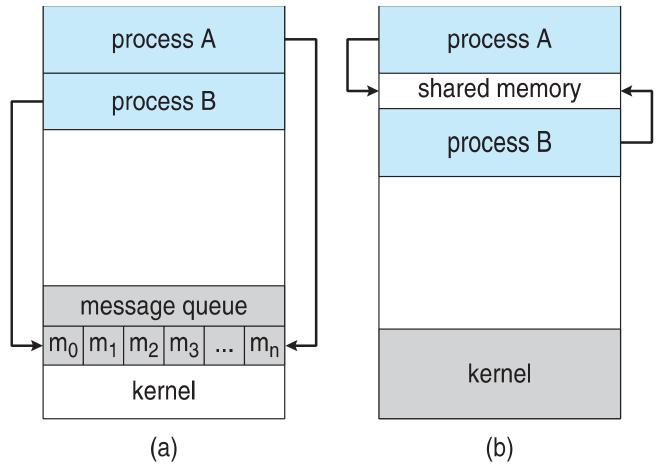
- Processes within a system may be independent or cooperating
- Cooperating process can affect or be affected by other processes, including sharing data
- Reasons for cooperating processes:
 - Information sharing
 - Computation speedup
 - Modularity
 - Convenience
- Cooperating processes need interprocess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

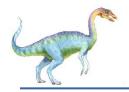




Communications Models

(a) Message passing. (b) shared memory.

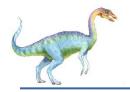




Cooperating Processes

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





Producer-Consumer Problem

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





Bounded-Buffer – Shared-Memory Solution

Shared data

```
#define BUFFER_SIZE 10

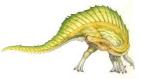
typedef struct {
    . . .
} item;

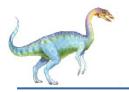
item buffer[BUFFER_SIZE];

int in = 0;

int out = 0;
```

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





Bounded-Buffer – Producer

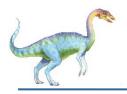
```
item next_produced;
while (true) {
    /* produce an item in next produced */
    while (((in + 1) % BUFFER_SIZE) == out)
        ; /* do nothing */
    buffer[in] = next_produced;
    in = (in + 1) % BUFFER_SIZE;
}
```





Bounded Buffer – Consumer





Interprocess Communication – Shared Memory

- An area of memory shared among the processes that wish to communicate
- The communication is under the control of the users processes 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 Chapter 5.

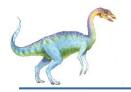




Interprocess Communication – Message Passing

- 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)
 - receive(message)
- The message size is either fixed or variable





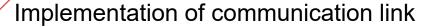
Message Passing (Cont.)

- 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?



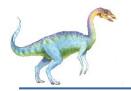


Message Passing (Cont.)



- Physical:
 - Shared memory
 - Hardware bus
 - Network
- Logical:
 - 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 (port)
 - 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
```

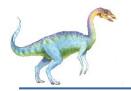




Indirect Communication

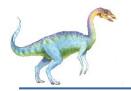
- Mailbox sharing
 - P_1 , P_2 , and P_3 share mailbox A
 - P₁, sends; P₂ and P₃ receive
 - Who gets the message?
- Solutions
 - Allow a link to be associated with at most two processes
 - Allow only one process at a time to execute a receive operation
 - Allow the system to select arbitrarily the receiver.
 Sender is notified who the receiver was.





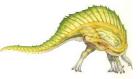
Synchronization

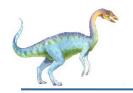
- Message passing may be either blocking or non-blocking
- Blocking is considered synchronous
 - Blocking send -- the sender is blocked until the message is received
 - Blocking receive -- the receiver is blocked until a message is available
- Non-blocking is considered asynchronous
 - Non-blocking send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



Synchronization (Cont.)

Producer-consumer becomes trivial

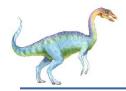




Buffering

- Queue of messages attached to the link.
 - implemented in one of three ways
 - Zero capacity no messages are queued on a link.
 Sender must wait for receiver (rendezvous)
 - 2. Bounded capacity finite length of *n* messages Sender must wait if link full
 - 3. Unbounded capacity infinite length Sender never waits





Examples of IPC Systems - POSIX

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

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

 Now the process could write to the shared memory sprintf(shared memory, "Writing to shared memory");





Examples of IPC Systems - POSIX

- POSIX Shared Memory
 - Process first creates shared memory segment

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

 Process wanting access to that shared memory must attach to it

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

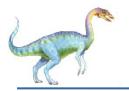
Now the process could write to the shared memory

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

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

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

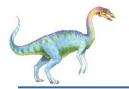




IPC POSIX Producer

```
#include <stdio.h>
#include <stdlib.h>
#include <string.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";
/* 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 obect */
void *ptr;
   /* create the shared memory object */
   shm_fd = shm_open(name, O_CREAT | O_RDWR, 0666);
   /* 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);
   ptr += strlen(message_0);
   sprintf(ptr,"%s",message_1);
   ptr += strlen(message_1);
   return 0;
```

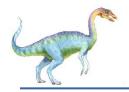




IPC POSIX Consumer

```
#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;
```





Examples of IPC Systems - Mach

- Mach communication is message based
 - Even system calls are messages
 - Each task gets two mailboxes at creation- Kernel and Notify
 - Only three system calls needed for message transfer
 msg_send(), msg_receive(), msg_rpc()
 - Mailboxes needed for commulcation, created via port_allocate()
 - Send and receive are flexible, for example four options if mailbox full:
 - Wait indefinitely
 - Wait at most n milliseconds
 - Return immediately
 - Temporarily cache a message





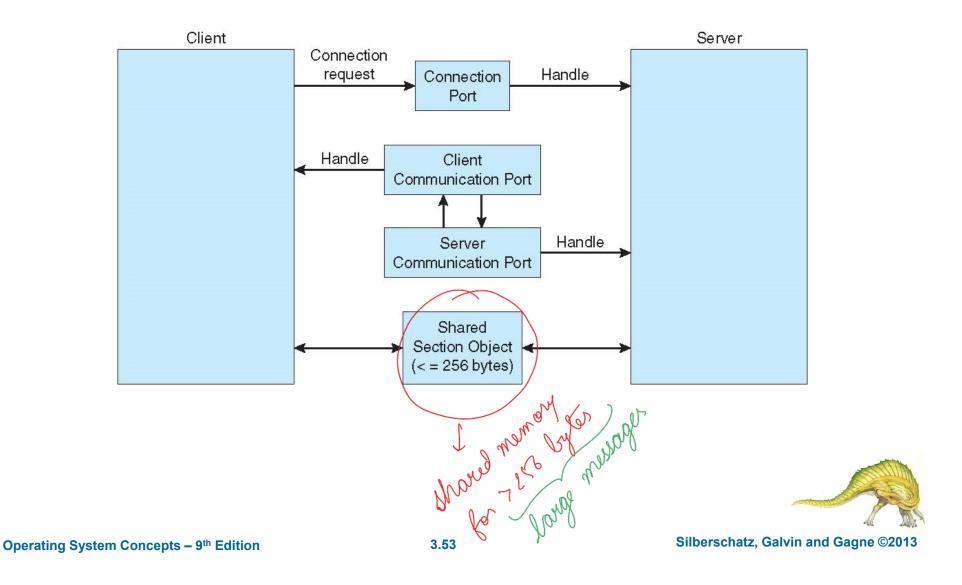
Examples of IPC Systems – Windows

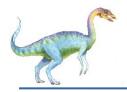
- Message-passing centric via advanced local procedure call (LPC) facility
 - Only works between processes on the same system
 - Uses ports (like mailboxes) to establish and maintain communication channels
 - Communication works as follows:
 - The client opens a handle to the subsystem's connection port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





Local Procedure Calls in Windows





Communications in Client-Server Systems

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



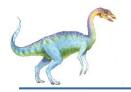


Sockets

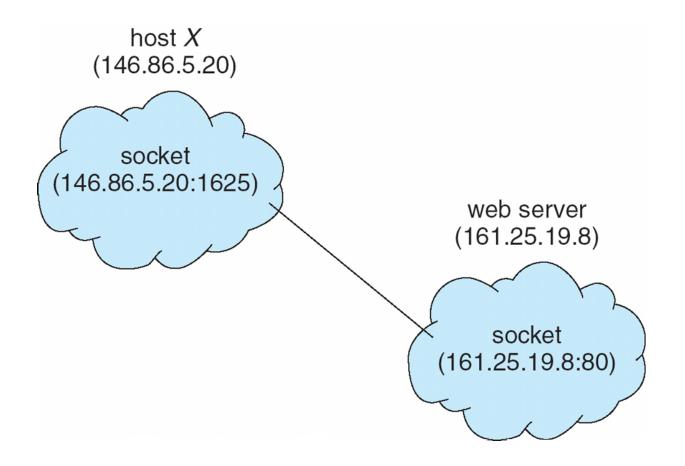
two endpoint > one at client side, other at server side

- 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







Sockets in Java

- Three types of sockets
 - Connection-oriented (TCP)
 - Connectionless (UDP)
 - MulticastSocket class— data can be sent to multiple recipients
- Consider this "Date" server:

```
import java.net.*;
import java.io.*;
public class DateServer
  public static void main(String[] args) {
    try {
       ServerSocket sock = new ServerSocket(6013);
       /* now listen for connections */
       while (true) {
          Socket client = sock.accept();
          PrintWriter pout = new
           PrintWriter(client.getOutputStream(), true);
          /* write the Date to the socket */
          pout.println(new java.util.Date().toString());
          /* close the socket and resume */
          /* listening for connections */
          client.close();
    catch (IOException ioe) {
       System.err.println(ioe);
```





Remote Procedure Calls

- Remote procedure call (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 server

 The client-side stub locates the server and marshalls the server and marshalls the
- parameters
- The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server
- On Windows, stub code compile from specification written in **Microsoft Interface Definition Language (MIDL)**





Remote Procedure Calls (Cont.)

- _> convert data into a common formal-
- Data representation handled via External Data

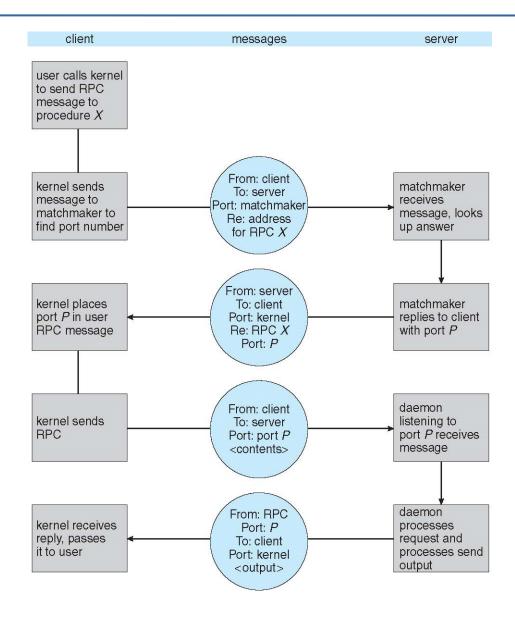
 Representation (XDL) format to account for different architectures

 | Store | March | Significant | Signif
 - Big-endian and little-endian 🥏 พืช พน
- Remote communication has more failure scenarios than local
 - Messages can be delivered exactly once rather than at most once
- OS typically provides a rendezvous (or matchmaker) service to connect client and server





Execution of RPC





Pipes

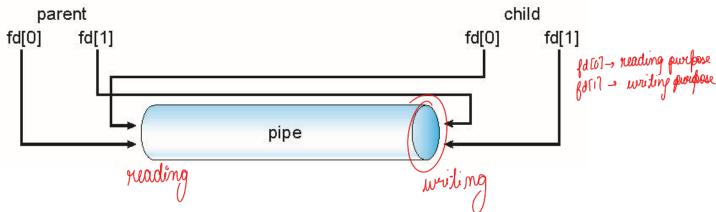
- Acts as a conduit allowing two processes to communicate
- Issues:
 - Is communication unidirectional or bidirectional?
 - In the case of two-way communication, is it half or fullduplex?
 - Must there exist a relationship (i.e., parent-child) between the communicating processes?
 - Can the pipes be used over a network?
- Ordinary pipes cannot be accessed from outside the process that created it. Typically, a parent process creates a pipe and uses it to communicate with a child process that it created.
- Named pipes can be accessed without a parent-child relationship.



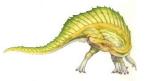


Ordinary Pipes

- 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 → OR from bount to child
- Require parent-child relationship between communicating processes



- Windows calls these anonymous pipes
- LS | more & dir | more





Ordinary Pipes (UNIX)

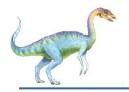
Here we are sending from parent to child

```
#include <sys/types.h>
#include <stdio.h>
#include <string.h>
#include <unistd.h>

#define BUFFER_SIZE 25
#define READ_END 0
#define WRITE_END 1

int main(void)
{
    char write_msg[BUFFER_SIZE] = "Greetings";
    char read_msg[BUFFER_SIZE];
    int fd[2];
    pid_t pid;
```

```
/* create the pipe */
if (pipe(fd) == -1) {
  fprintf(stderr, "Pipe failed");
  return 1;
/* fork a child process */
pid = fork();
if (pid < 0) { /* error occurred */
  fprintf(stderr, "Fork Failed");
  return 1;
if (pid > 0) { /* parent process */
  /* close the unused end of the pipe */
  close(fd[READ_END]);
  /* write to the pipe */
  write(fd[WRITE_END], write_msg, strlen(write_msg)+1);
  /* close the write end of the pipe */
  close(fd[WRITE_END]);
else { /* child process */
  /* close the unused end of the pipe */
  close(fd[WRITE_END]);
  /* read from the pipe */
  read(fd[READ_END], read_msg, BUFFER_SIZE);
  printf("read %s",read_msg);
  /* close the read end of the pipe */
  close(fd[READ_END]);
return 0;
```



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
- UNIX: FIFO
 - mkfifo(), open(), read(), write(), close()
 - Bi-directional & half-duplex
 - Intermachine communication is not permitted
- Windows: Richer communication mechanism then UNIX
 - CreateNamedPipe(), ConnectNamedPipe(), ReadFile(), WriteFile()
 - Full-duplex & Intermachine communication is allowed



End of Chapter 3

