### **Operating Systems**

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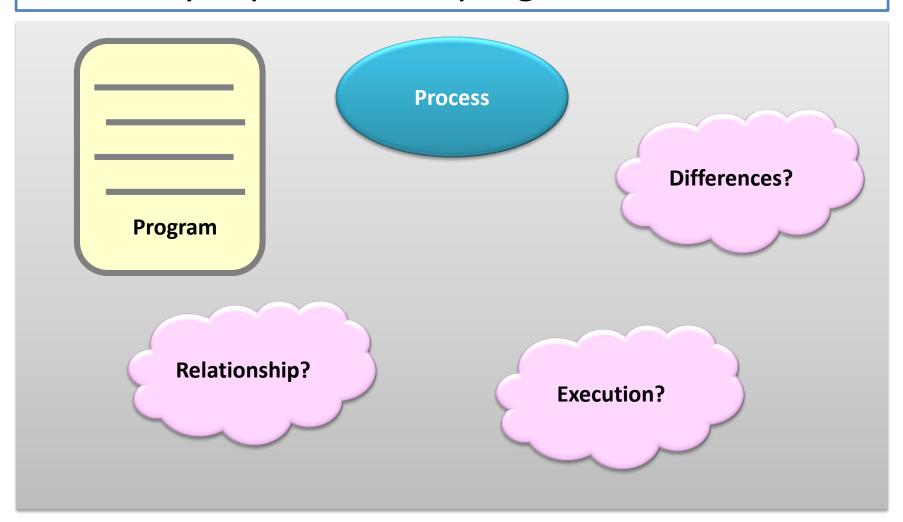
Chapter 3
Process Concepts & Operations

#### Outline

- Process Concept
  - Program vs process
  - Process in memory & PCB
  - Process state
- Processes Operations
  - Process creation, program execution, process termination
  - UNIX example: fork(), exec\*(), wait()

# What is a process?

Informally, a process is a program in execution.



# What is a program?

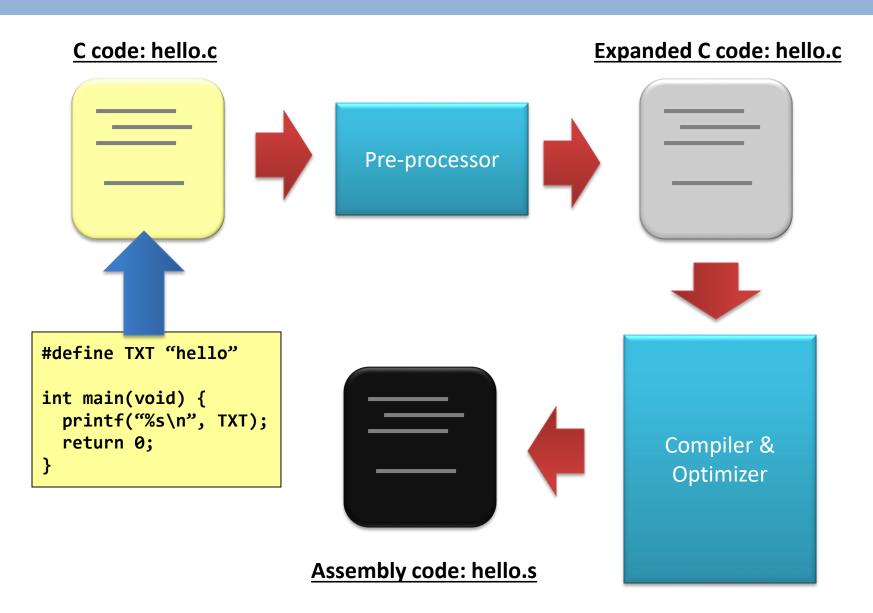


### What is a program?

- What is a program?
  - A program is a just a piece of code.

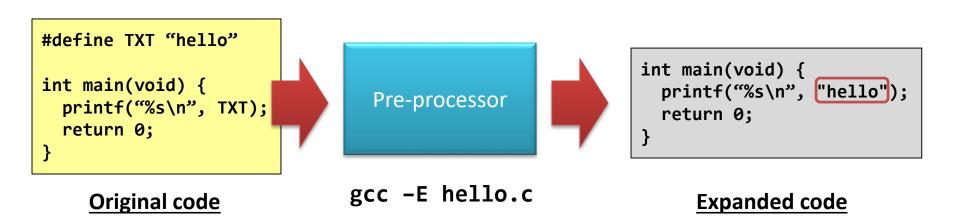
- But, which code do you mean?
  - High-level language code: C or C++?
  - Low-level language code: assembly code?
  - Not-yet an executable: object code?
  - Executable: machine code?

# Flow of building a program (1 of 2)



### (Still...1 of 2) Pre-processor

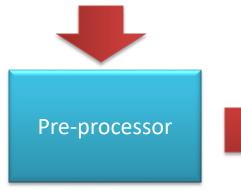
- The pre-processor expands:
  - #define, #include, #ifdef, #ifndef, #endif, etc.
  - Try: "gcc -E hello.c"



# (Still...1 of 2) Pre-processor

Another example: the macro!

```
#define SWAP(a,b) { int c; c = a; a = b; b = c; }
int main(void) {
   int i = 10, j = 20;
   printf("before swap: i = %d, j = %d\n", i, j);
   SWAP(i, j);
   printf("after swap: i = %d, j = %d\n", i, j);
}
```



```
int main(void) {
    int i = 10, j = 20;
    printf("before swap: i = %d, j = %d\n", i, j);
    { int c; c = i; i = j; j = c; };
    printf("after swap: i = %d, j = %d\n", i, j);
}
```

# (Still...1 of 2) Pre-processor

How about: #include?

```
#include "header.h"
   int main(void) {
                                              int add_fun(int a, int b) {
       add_fun(1,2);
                                                   return (a + b);
       return 0;
Program: include.c
                          Pre-processor
                                              int main(void) {
                                                   add_fun(1,2);
                                                   return 0;
  int add_fun(int a, int b) {
       return (a + b);
 Program: header.h
```

# (Still...1 of 2) Compiler and Optimizer

- The compiler performs:
  - Syntax checking and analyzing;
  - If there is no syntax error, construct intermediate codes,
     i.e., <u>assembly codes</u>;

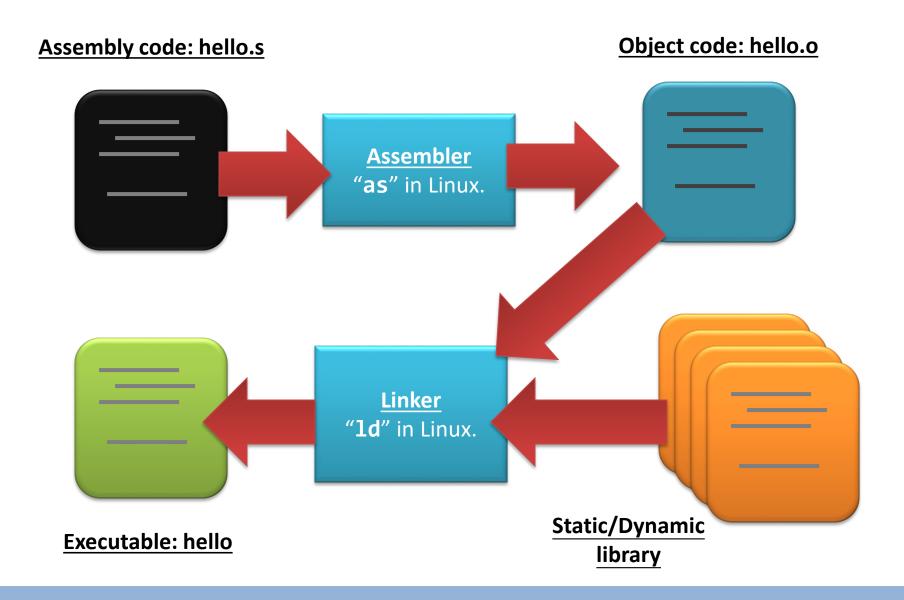
- The optimizer optimizes codes
  - <u>It improves stupid codes!</u>
  - Check the parameter of gcc

"-0" means to optimize.

The number followed is the optimization level. Max is level 3, i.e., "-03". Default is level is "-01".

"-00": means no optimization.

# Flow of building a program (2 of 2)



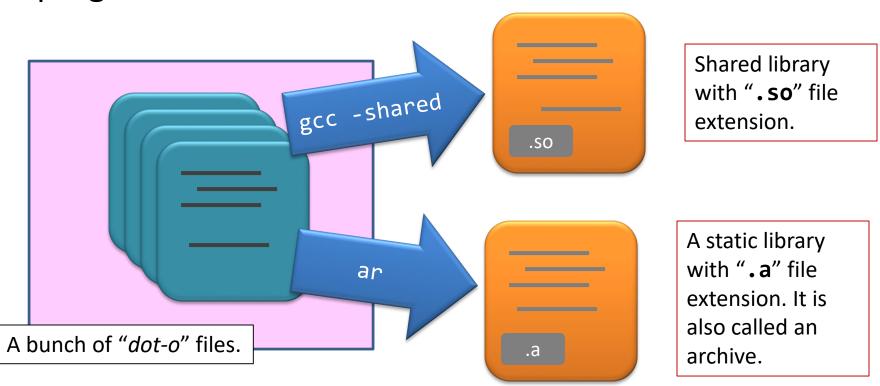
# (Still...2 of 2) Assembler and Linker

- The <u>assembler</u> assembles "hello.s" and generates an object code "hello.o"
  - A step closer to machine code
  - Try: "as hello.s -o hello.o"

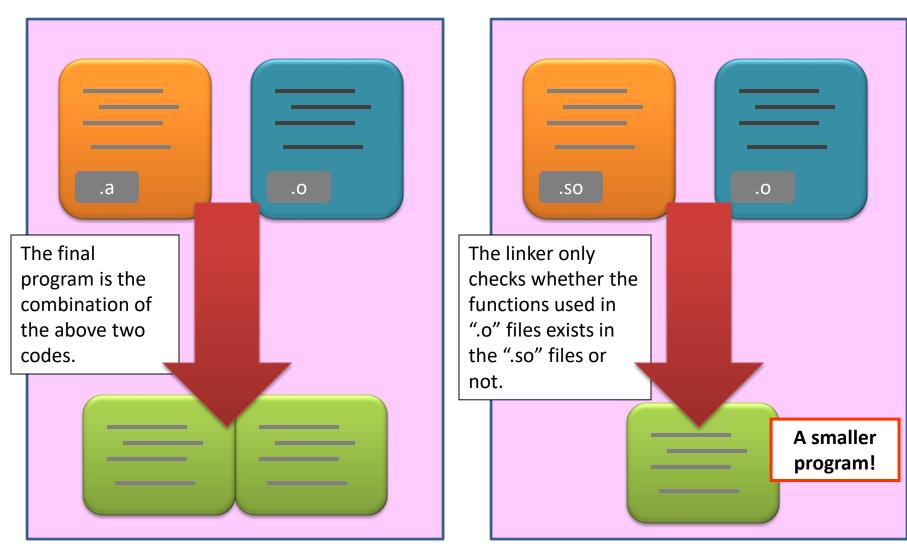
- The <u>linker</u> puts together all object files as well as the libraries
  - There are two kinds of libraries: statically-linked and dynamically-linked ones

### Sidetrack: Library files

- A library file is...
  - just a bunch of function implementations.
  - for the linker to look for the function(s) that the target C program needs.



### Sidetrack: Library files



Linking with static library file.

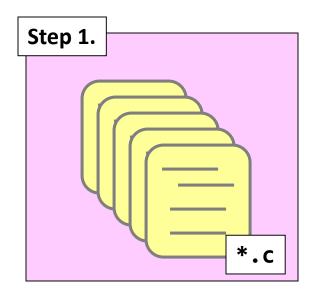
Linking with dynamic library file.

# How to compile multiple files?

- gcc by default hides all the intermediate steps.
  - <u>Executable</u>: "gcc -o hello hello.c" generates "hello" directly.
  - Object code: "gcc -c hello.c" generates "hello.o" directly.

How about working with multiple files?

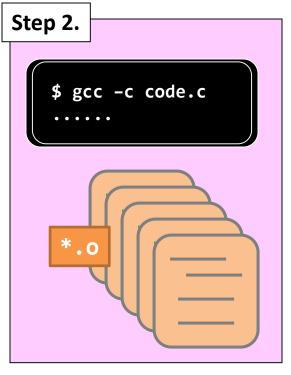
### How to compile multiple files?



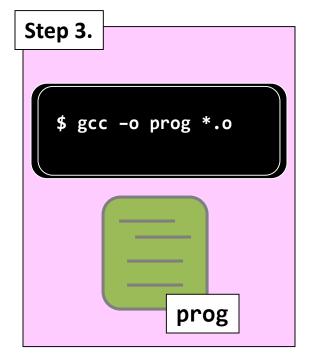
Prepare all the source files.

Important: there must be one and only one file containing the main function.

Remember, below shows one of the solution.



Compile them into object codes one by one.



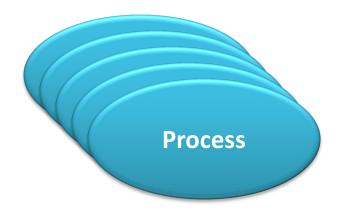
Construct the program together with all the object codes.

### Conclusion on "what is a program?"

- A program is just an executable file!
  - It is static;
  - It may be associated with dynamically-linked files;
    - "\*.so" in Linux and "\*.dll" in Windows.

It may be compiled from more than one file

# What is a process?

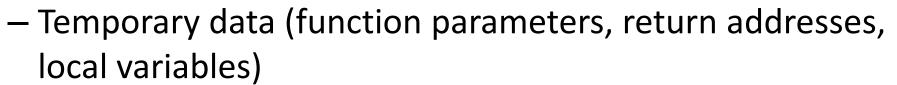


### **Process in Memory**

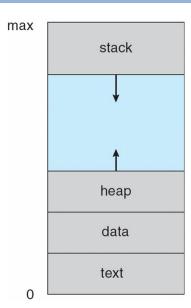
- A process is a program in execution
  - A program (an executable file) becomes process when it is loaded into memory
  - Active
- Process in memory
  - Text section
  - Stack
  - Heap
  - Data section
  - Program counter
  - Contents of registers

### **Process in Memory**

- Text section
  - Program code
- Data section
  - Global variables
- Stack



- Heap
  - Dynamically allocated memory during process run time
- Program counter and contents of registers

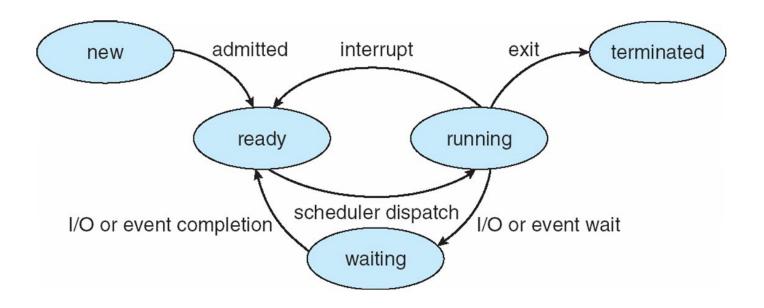


#### **Process State**

- As a process executes, it changes state, which is defined in part by the current activity
  - new: The process is being created
  - running: Instructions are being executed
  - waiting: The process is waiting for some event to occur
    - I/O completion or reception of a signal
  - ready: The process is waiting to be assigned to a processor
  - terminated: The process has finished execution

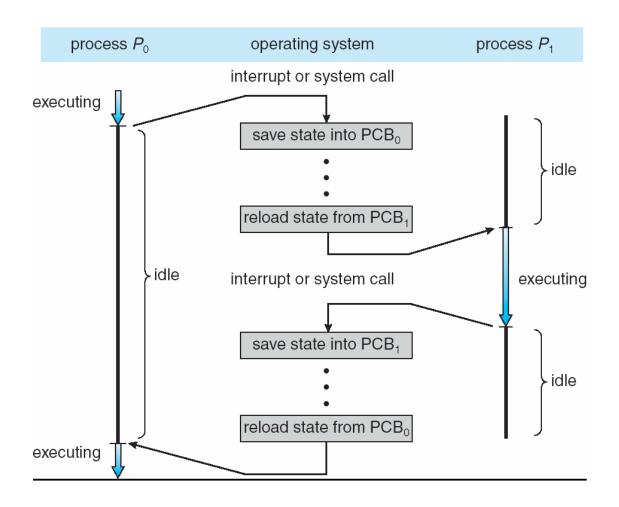
### Diagram of Process State

State diagram



- Only one process can be running on any processor at any instant
- Many processes may be ready and waiting

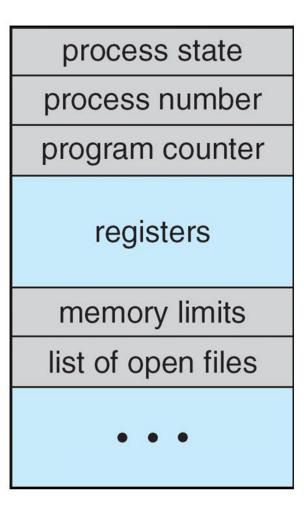
# How to locate/represent a process?



Example: CPU switch from process to process

### **Process Presentation (Data Structure)**

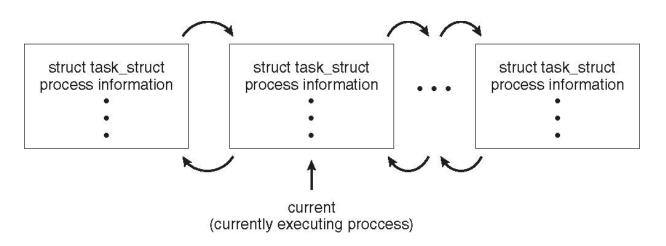
- Process control block (PCB) or task control block
  - Process state (running, waiting, etc)
  - Program counter
    - location of next instruction to execute
  - CPU registers
    - contents of all process-centric registers
  - CPU scheduling information
    - priorities, scheduling queue pointers
  - Memory-management information
    - memory allocated to the process
  - I/O status information
    - I/O devices allocated to process, list of open files
  - Accounting information
    - CPU used, clock time elapsed since start, time limits



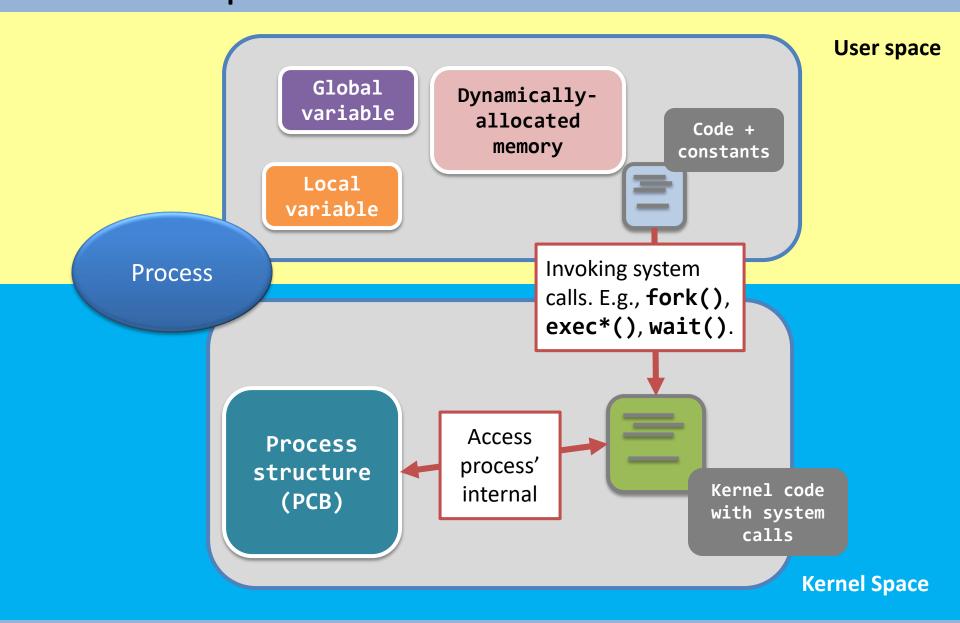
#### Process Data Structure in Linux

- Represented by C structure task struct
  - <linux/sched.h>

```
pid t_pid; /* process identifier */
long state; /* state of the process */
struct sched_entity se; /* 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 */
```



### Relationship between Process Data & PCB



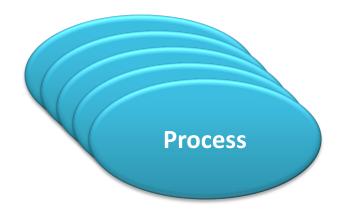
# Conclusion on "what is a process?"

- A process is a program in execution
  - process (active entity) != program (static entity)
  - Why active?
    - A program counter specifying the next instruction to execute + a set of associated resources

Only one process can be running on any processor at any instant

### Conclusion on "what is a process?"

- Two processes maybe associated with the same program (Two users are running the same program)
  - Example
    - The same user invokes two copies of the web browser
  - Separate execution sequences
    - The text section may be equivalent
    - The data, heap, and stack sections vary
- A process can be an execution environment for other code
  - Java programming environment
  - java Program (java runs JVM as a process)



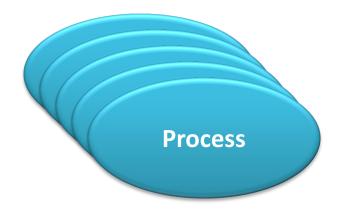
#### Process

- It associates with <u>all the files opened</u> by that process.
- It attaches to all the memory that is allocated for it.
- It contains every accounting information,
  - running time, current memory usage, who owns the process, etc.

You couldn't operate any things without processes.

- System must provide mechanisms for:
  - process identification
  - process creation
  - program execution
  - process termination
- Some <u>basic</u> and <u>important</u> system calls
  - getpid()
  - fork()
  - exec\*()
  - wait()
  - -exit()

- process identification



#### Process identification

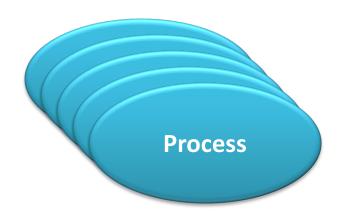
- How can we identify processes?
  - Each process is given an unique ID number, and is called the process ID, or the PID.
  - The system call, getpid(), prints the PID of the calling process.

```
#include <stdio.h> // printf()
#include <unistd.h> // getpid()

int main(void) {
    printf("My PID is %d\n", getpid() );
}
```

```
$ ./getpid
My PID is 1234
$ ./getpid
My PID is 1235
$ ./getpid
My PID is 1237
```

- process identification
- process creation

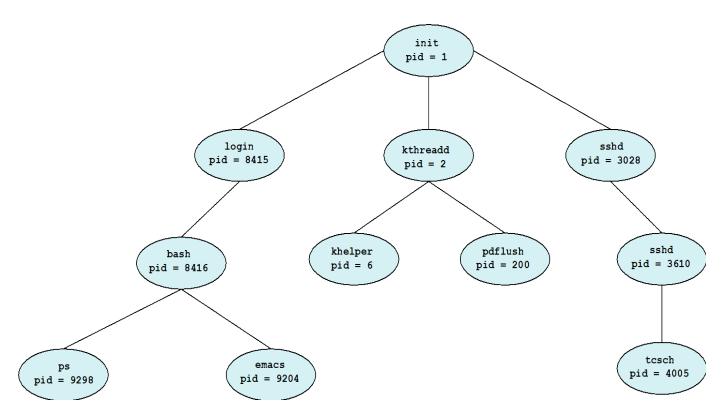


#### **Process Creation**

- A process may create several new processes
  - Parent process: the creating process
  - Children processes: the new processes
- The first process
  - The kernel, while it is booting up, creates the first process – init.
  - The "init" process:
    - has **PID = 1**, and
    - is running the program code "/sbin/init".
  - Its first task is to create more processes...

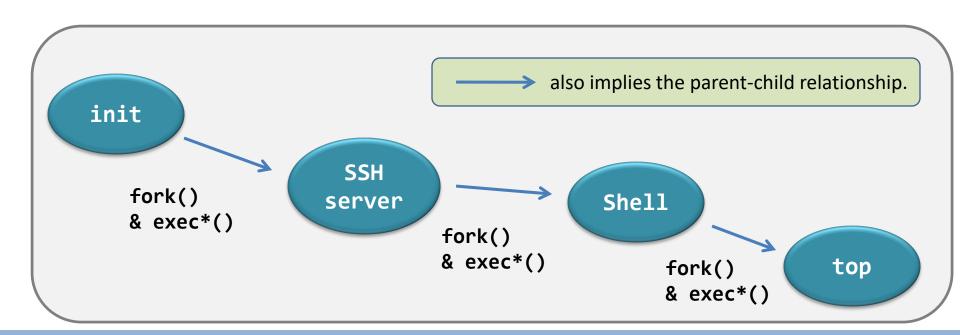
#### **Process Creation**

- Tree hierarchy
  - Each of the new process may in turn create other processes, and form a tree hierarchy



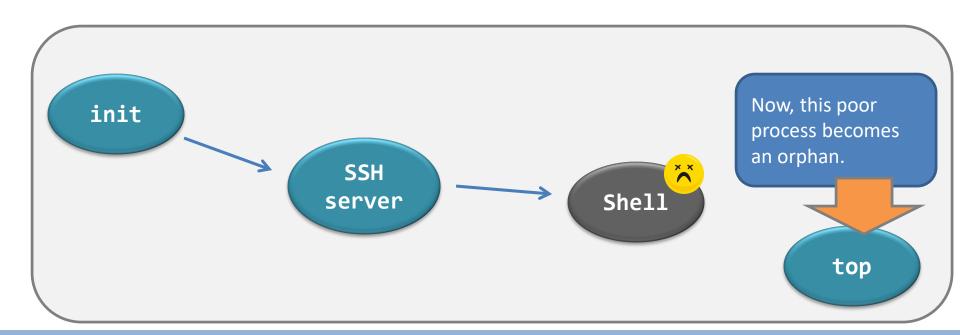
#### Process blossoming

- You can view the tree with the command:
  - "pstree"; or
  - "pstree -A" for ASCII-character-only display.



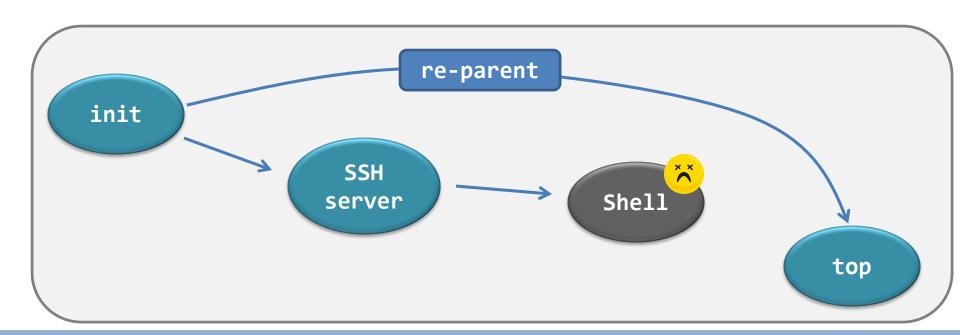
#### Process blossoming...with orphans?

- However, termination can happen, at any time and in any place...
  - All the resources are deallocated to OS when a process terminates
  - A process may become an orphan when its parent terminated
  - An orphan turns the hierarchy from a tree into a forest!
  - Plus, no one would know the termination of the orphan.



#### Process blossoming...with re-parent!

- In Linux...
  - We have the re-parent operation.
  - The "init" process will become the step-mother of all orphans.
- Well...Windows maintains a forest-like hierarchy.



#### A short summary

#### Observation 1

- The processes in Linux is always organized as a tree.
- Because of the re-parent operation, there is always only one process tree.

#### Observation 2

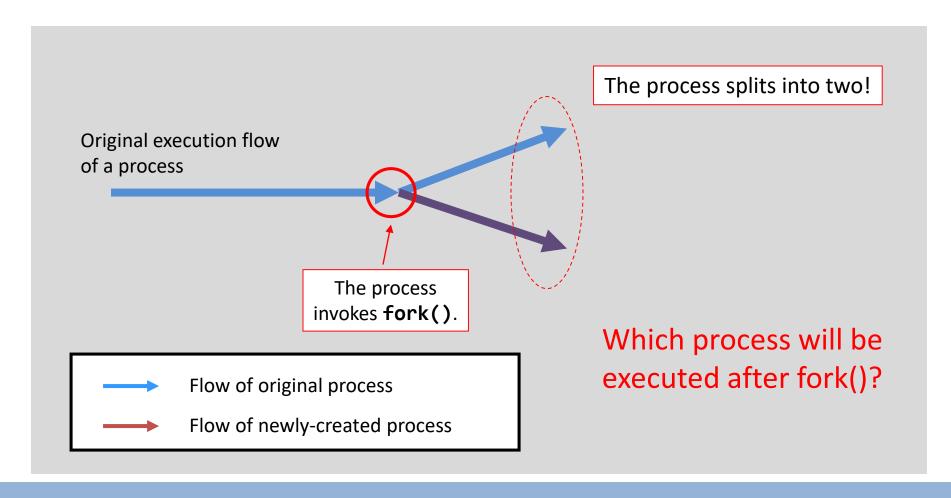
- The re-parent operation allows processes running without the need of a parent terminal.
- Thus, the background jobs survive even though the hosting terminal is closed.

#### Relationship between Parent and Child

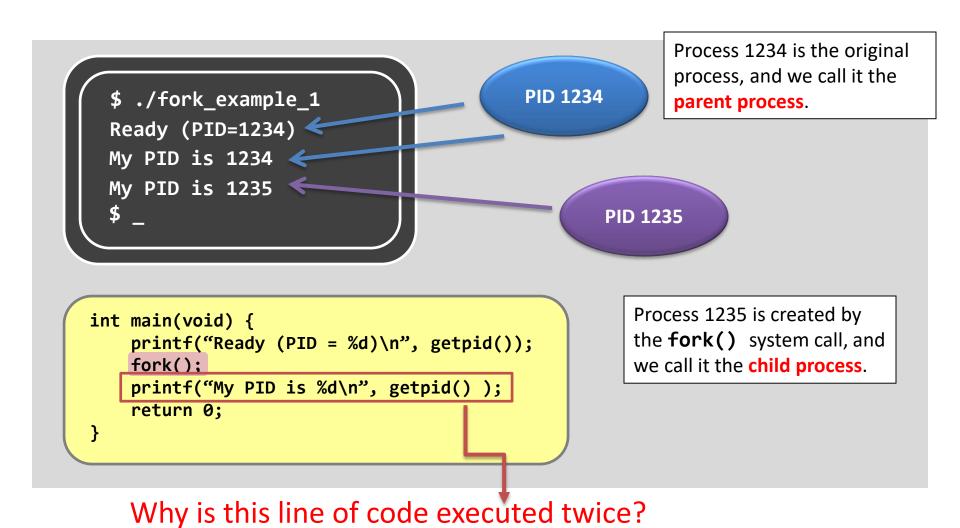
- Resource sharing options
  - Parent and children share all resources
  - Children share subset of parent's resources
  - Parent and child share no resources
- Execution options
  - Parent and children execute concurrently
  - Parent waits until children terminate
- Address space options
  - Child is a duplicate of parent
  - Child has a new program loaded into it
- We focus on UNIX examples to illustrate

#### **Process creation**

To create a process, we use the system call fork()



So, how do fork() and the processes behave?



So, how do fork() and the processes behave?

```
int main(void) {
   printf("Ready (PID = %d)\n", getpid());
   fork();
   printf("My PID is %d\n", getpid() );
   return 0;
}
```

#### What do we know so far?

- -Both the parent and the child execute the same program before and after fork().
- -The child process starts its execution at the location that fork() is returned, not from the beginning of the program.

#### One more example

```
int main(void) {
      int result;
      printf("before fork ...\n");
      result = fork();
      printf("result = %d.\n", result);
      if(result == 0) {
        printf("I'm the child.\n");
        printf("My PID is %d\n", getpid());
10
     else {
11
12
        printf("I'm the parent.\n");
13
        printf("My PID is %d\n", getpid());
14
15
16
      printf("program terminated.\n");
17
```

```
$ ./fork_example_2
before fork ...
```

**PID 1234** 

#### One more example

```
int main(void) {
      int result;
      printf("before fork ...\n");
      result = fork();
      printf("result = %d.\n", result);
      if(result == 0) {
        printf("I'm the child.\n");
        printf("My PID is %d\n", getpid());
10
      else {
11
12
        printf("I'm the parent.\n");
13
        printf("My PID is %d\n", getpid());
14
15
16
      printf("program terminated.\n");
17
```

```
./fork_example_2
before fork ...
```

PID 1234 fork() PID 1235

#### **Assumption**

Let there be only **ONE CPU**. Then...

- Only one process is allowed to be executed at one time.
- However, we can't predict which process will be chosen by the OS.
- By the time, this mechanism is called process scheduling.

In this example, we assume that the parent, PID 1234, runs first, after the **fork()** call.

```
int main(void) {
      int result;
      printf("before fork ...\n");
      result = fork();
      printf("result = %d.\n", result);
      if(result == 0) {
        printf("I'm the child.\n");
        printf("My PID is %d\n", getpid());
10
11
      else {
12
        printf("I'm the parent.\n");
13
        printf("My PID is %d\n", getpid());
14
15
16
      printf("program terminated.\n");
17
```

```
$ ./fork_example_2
before fork ...
result = 1235
```

#### **Important**

For parent, the return value of **fork()** is the PID of the created child.

PID 1234 (running)

PID 1235 (waiting)

```
int main(void) {
      int result;
      printf("before fork ...\n");
      result = fork();
      printf("result = %d.\n", result);
      if(result == 0) {
        printf("I'm the child.\n");
        printf("My PID is %d\n", getpid());
10
11
      else {
12
        printf("I'm the parent.\n");
13
        printf("My PID is %d\n", getpid());
14
15
      printf("program terminated.\n");
17
```

```
$ ./fork_example_2
before fork ...
result = 1235
I'm the parent.
My PID is 1234
program terminated.
```

PID 1234 (dead)

PID 1235 (waiting)

```
int main(void) {
      int result;
      printf("before fork ...\n");
      result = fork();
      printf("result = %d.\n", result);
      if(result == 0) {
        printf("I'm the child.\n");
        printf("My PID is %d\n", getpid());
10
11
      else {
12
        printf("I'm the parent.\n");
13
        printf("My PID is %d\n", getpid());
14
15
      printf("program terminated.\n");
17
```

```
$ ./fork_example_2
before fork ...
result = 1235
I'm the parent.
My PID is 1234
program terminated.
result = 0
```

#### **Important**

For child, the return value of **fork()** is **0**.

PID 1234 (dead)

PID 1235 (running)

```
int main(void) {
      int result;
      printf("before fork ...\n");
      result = fork();
      printf("result = %d.\n", result);
      if(result == 0) {
        printf("I'm the child.\n");
        printf("My PID is %d\n", getpid());
10
11
      else {
12
        printf("I'm the parent.\n");
13
        printf("My PID is %d\n", getpid());
14
15
      printf("program terminated.\n");
17
```

```
$ ./fork_example_2
before fork ...
result = 1235
I'm the parent.
My PID is 1234
program terminated.
result = 0
I'm the child.
My PID is 1235
program terminated.
$ _
```

PID 1234 (dead)



- fork() behaves like "cell division".
  - It creates the child process by cloning from the parent process, including...

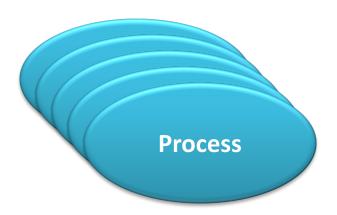
Cloned items	Descriptions	
Program code [File & Memory]	They are sharing the same piece of code.	
Memory	Including local variables, global variables, and dynamically allocated memory.	
Opened files [Kernel's internal]	If the parent has opened a file "A", then the child will also have file "A" opened automatically.	
Program counter [CPU register]	That's why they both execute from the same line of code after fork() returns.	

- However...
  - fork() does not clone the following...
  - Note: they are all data inside the memory of kernel.

Distinct items	Parent	Child
Return value of fork()	PID of the child process.	0
PID	Unchanged.	Different, not necessarily be "Parent PID + 1"
Parent process	Unchanged.	Doesn't have the same parent as that of the parent process.
Running time	Cumulated.	Just created, so should be 0.

# **Process Operations**

- process identification
- process creation
- program execution



## fork() can only duplicate...

- fork() is rather boring...
  - If a process can only <u>duplicate itself</u> and <u>always runs the</u> <u>same program</u>, then...
  - how can we execute other programs?

- We want CHANGE!
  - Meet the exec() system call family.

 execl() – a member of the exec system call family (and the family has 6 members).

```
int main(void) {
                                                                 ./exec_example
                                                               before execl ...
  printf("before execl ...\n");
  execl("/bin/ls", "/bin/ls", NULL);
  printf("after execl ...\n");
                                         Arguments of the exec1() call
  return 0;
                                         1<sup>st</sup> argument: the program name, "/bin/ls" in the
                                         example.
                                         2<sup>nd</sup> argument: 1<sup>st</sup> argument to the program.
                                         3<sup>rd</sup> argument: indicate the end of the list of arguments.
```

 execl() – a member of the exec system call family (and the family has 6 members).

```
int main(void) {
   printf("before execl ...\n");

execl("/bin/ls", "/bin/ls", NULL);
   printf("after execl ...\n");
   return 0;
}
```



#### What is the output?

The same as the output of running "1s" in the shell.

 execl() – a member of the exec system call family (and the family has 6 members).

```
int main(void) {
   printf("before execl ...\n");

execl("/bin/ls", "/bin/ls", NULL);
   printf("after execl ...\n");
   return 0;
}
```

```
$ ./exec_example
before execl ...
exec_example
exec_example.c
```

Example #1: run the command "/bin/ls"

execl("/bin/ls", "/bin/ls", NULL);

Argument Order	Value in above example	Description
1	"/bin/ls"	The file that the programmer wants to execute.
2	"/bin/ls"	When the process switches to "/bin/ls", this string is the first program argument.
3	NULL	This states the end of the program argument list.

Example #2: run the command "/bin/ls -1"

```
execl("/bin/ls", "/bin/ls", "-1", NULL);
```

Argument Order	Value in above example	Description
1	"/bin/ls"	The file that the programmer wants to execute.
2	"/bin/ls"	When the process switches to "/bin/ls", this string is the first program argument.
3	"-1"	When the process switches to "/bin/ls", this string is the second program argument.
4	NULL	This states the end of the program argument list.

 execl() – a member of the exec system call family (and the family has 6 members).

```
int main(void) {
   printf("before execl ...\n");

execl("/bin/ls", "/bin/ls", NULL);
   printf("after execl ...\n");
   return 0;
}
```

```
$ ./exec_example
before execl ...
exec_example
exec_example.c
```

GUESS: What happens next?

 execl() – a member of the exec system call family (and the family has 6 members).

```
int main(void) {
  printf("before execl ...\n");
  execl("/bin/ls", "/bin/ls", NULL);
  printf("after execl ...\n");
  return 0;
}
```

WHAT?!
The shell prompt appears!

```
$ ./exec_example
before execl ...
exec_example
exec_example.c
$ _
```

The output says:

- (1) The gray code block is not reached!
- (2) The process is terminated!

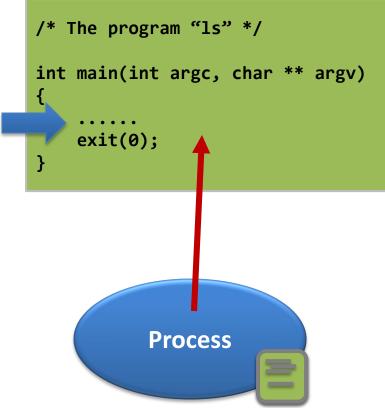
WHY IS THAT?!

 The exec system call family is not simply a function that "invokes" a command.

```
int main(void) {
   printf("before execl ...\n");
   execl("/bin/ls", "/bin/ls", NULL);
   printf("after execl ...\n");
   return 0;
                                                         Process
Originally, the process is executing the
program "exec_example".
```

 The exec system call family is not simply a function that "invokes" a command.

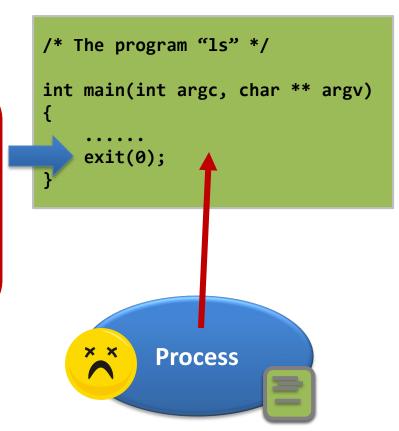
```
int main(void) {
   printf("after execl ...\n");
   return 0;
The exect() call changes the execution from
"exec_example" to "/bin/ls"
```



 The exec system call family is not simply a function that "invokes" a command.

The "return" or the "exit()" statement in "/bin/ls" will terminate the process...

Therefore, it is certain that the process cannot go back to the old program!



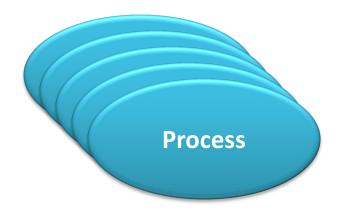
#### Program execution - observation

- The process is changing the code that is executing and <u>never</u> returns to the original code.
  - The last two lines of codes are therefore not executed.
- The process that calls any one of the member of the exec system call family will throw away many things, e.g.,
  - Memory: local variables, global variables, and dynamically allocated memory;
  - Register value: e.g., the program counter;
- But, the process will preserve something, including:
  - PID;
  - Process relationship;
  - Running time, etc.

## **Process Operations**

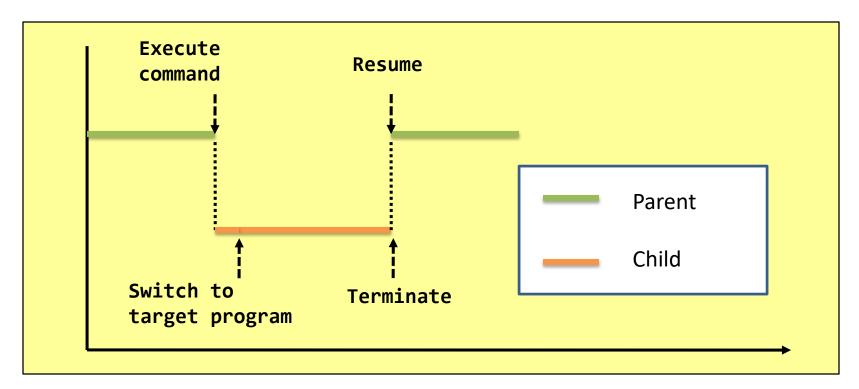
- process identification
- process creation
- program execution

-fork() + exec\*() = 
$$?$$



## When fork() meets exec\*()...

- The mix can become:
  - A shell,
  - The system() library call, etc...



# fork() + exec\*() = system()?

```
int system test(const char *cmd str) {
 2
        if(cmd str == -1)
 3
            return -1;
4
        if(fork() == 0) {
5
            execl(cmd_str, cmd_str, NULL);
            fprintf(stderr,
               "%s: command not found\n", cmd_str);
            exit(-1);
8
9
        return 0;
10
   }
11
12
    int main(void) {
13
        printf("before...\n\n");
14
        system_test("/bin/ls");
15
        printf("\nafter...\n");
16
   return 0;
17 }
```

Is this the only result?

```
$ ./system_implement_1
before...

system_implement_1
system_implement_1.c

after...
$ _
```

# fork() + exec\*() = system()?!

```
int system test(const char *cmd str) {
        if(cmd str == -1)
 2
 3
            return -1;
        if(fork() == 0) {
5
            execl(cmd_str, cmd_str, NULL);
            fprintf(stderr,
               "%s: command not found\n", cmd_str);
            exit(-1);
8
9
        return 0;
10
   }
11
12
    int main(void) {
13
        printf("before...\n\n");
14
        system_test("/bin/ls");
15
        printf("\nafter...\n");
16
        return 0;
17 }
```

Some strange cases happened when the program is **executed repeatedly**!! Why?

```
$ ./system_implement_1
before...
after...
system_implement_1
system_implement_1.c
$ _
```

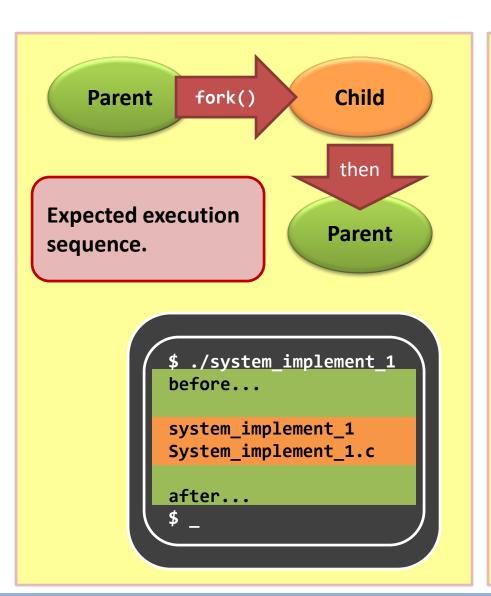
# fork() + exec\*() = system()...

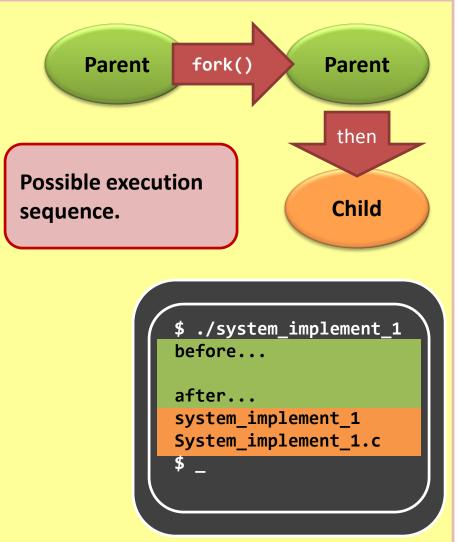


```
int system test(const char *cmd str) {
         if(cmd str == -1)
 2
                                                              Let's re-color the program!
 3
             return -1;
 4
        if(fork() == 0) {
                                                                         Parent process
 5
             execl(cmd_str, cmd_str, NULL);
             fprintf(stderr,
                                                                         Child process
                "%s: command not found\n", cmd_str);
                                                                         Both processes
             exit(-1);
 8
 9
         return 0;
10
    }
11
                                                            $ ./system_implement_1
12
    int main(void) {
                                                            before...
13
         printf("before...\n\n");
14
         system_test("/bin/ls");
                                                            after...
15
        printf("\nafter...\n");
                                                            system implement 1
16
        return 0;
                                                            system_implement_1.c
17
    }
```

# fork() + exec\*() = system()...







fork() + exec\*()

Is it enough?

# fork() + exec\*() = system()...



- Don't forget that we're trying to implement a system()compatible function...
  - It is very weird to allow different execution orders.

- How to let the child to execute first?
  - But...we can't control the process scheduling of the OS to this extent.

- Then, our problem becomes...
  - How to suspend the execution of the parent process?
  - How to wake the parent up after the child is terminated?

## fork()+ exec\*() + wait() = system()

```
int system test(const char *cmd str) {
        if(cmd str == -1)
 2
 3
            return -1;
4
        if(fork() == 0) {
 5
            execl("/bin/sh", "/bin/sh",
                  "-c", cmd str, NULL);
6
            fprintf(stderr,
               "%s: command not found\n", cmd_str);
            exit(-1);
8
        wait(NULL);
9
        return 0;
10
11
   }
12
13
    int main(void) {
14
        printf("before...\n\n");
15
        system_test("/bin/ls");
16
        printf("\nafter...\n");
17
        return 0;
18 }
```

## fork()+ exec\*() + wait() = system()

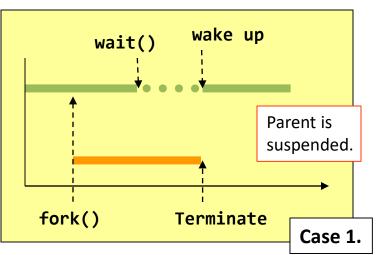
```
int system test(const char *cmd str) {
 2
        if(cmd str == -1)
 3
            return -1;
        if(fork() == 0) {
            execl("/bin/sh", "/bin/sh",
                  "-c", cmd str, NULL);
            fprintf(stderr,
6
               "%s: command not found\n", cmd_str);
            exit(-1);
8
        wait(NULL);
10
        return 0;
11
   }
12
13
    int main(void) {
14
        printf("before...\n\n");
15
        system_test("/bin/ls");
16
        printf("\nafter...\n");
17
        return 0;
18 }
```

The parent is suspended until the child terminates

```
$ ./system_implement_2
before...
system_implement_2
System_implement_2.c
after...
$ _
```

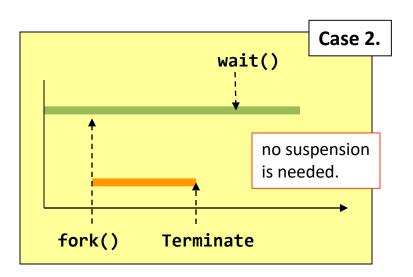
## wait() - properties explained

- The wait() system call suspend the calling parent process (Case 1).
- When to wake up?
  - wait() returns and wakes up the calling process when the one of its child processes changes from running to terminated.



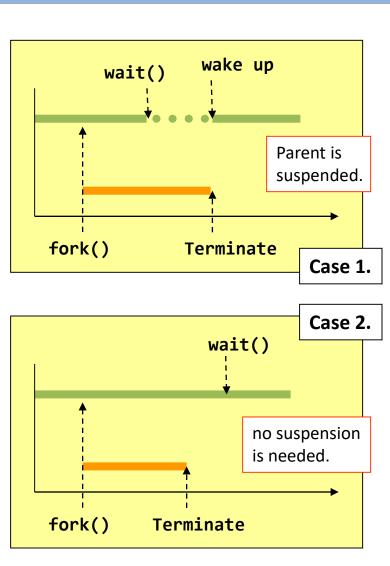
## wait() - properties explained

- What happens if
  - There were no running children;
  - There were no children;
- wait() does not suspend the calling process (Case 2)



## wait() - summary

- The wait() system call suspend the calling parent process (Case 1).
- wait() returns and wakes up the calling process when the one of its child processes changes from running to terminated.
- wait() does not suspend the calling process (Case 2) if
  - There were no running children;
  - There were no children;



#### More powerful wait()?

- Limitation of wait()?
  - waits for any one of the children
  - Detect child termination only
- How to wait for a particular process?
  - waitpid()

# wait() VS waitpid()

wait()	waitpid()
Wait for any one of the children.	Depending on the parameters, waitpid() will wait for a particular child only.
Detect child termination only.	Depending on the parameters, waitpid() can detect child's status changing: -from running to suspended, and -from suspended to running.

For more details, you <u>must read</u> the man pages of wait() and waitpid().

#### **Summary of Process Operations**

- A process is created by cloning
  - fork() is the system call that clones processes
  - Cloning is copying
    - What are inherited?
    - What are not?
    - Metaphor of father-son relationship
  - wait() can be used to suspend the parent process, so as to guarantee the expected execution sequence
- Program execution is fundamental, but not trivial
  - A process is the place that hosts a program and run it
  - exec() system call family changes the program that a process is running.
  - A process can run more than one program...
    - as long as there is a set of programs that keeps on calling the exec system call family.

#### Summary of Ch3

- Concepts
  - Process data in memory
  - PCB
- Operations
  - fork(), exec\*(), wait()
  - Just introduced how they could be used to create processes and execute programs
  - How about the internal working of these system calls?
    - How does the kernel behaves when calling these system calls?

# End of Chapter 3