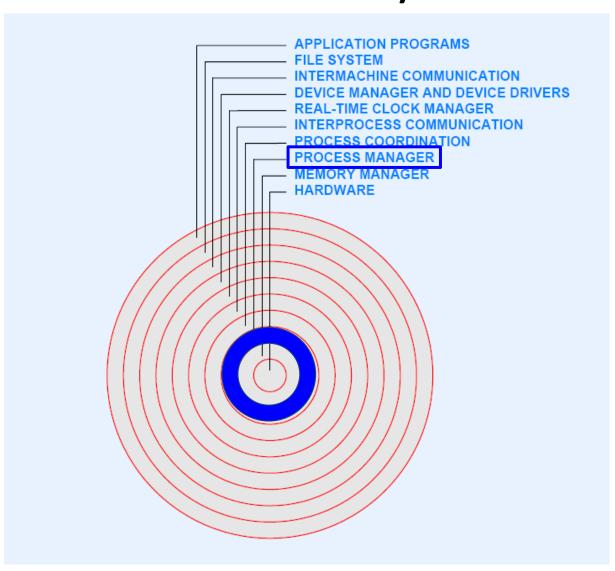
## CSCI 8530 Advanced Operating Systems

Part 4

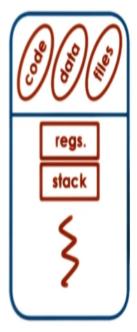
Process Management: Scheduling, Context Switching, Process Suspension, Process Resumption, and Process Creation

# Location of Process Manager in the Hierarchy



#### Terminology

- The term process management has been used for decades to encompass the part of an operating system that manages concurrent execution, including both processes and the threads within them.
- The term *thread management* is newer, but sometimes leads to confusion because it appears to exclude processes.
  - Shares all other resources



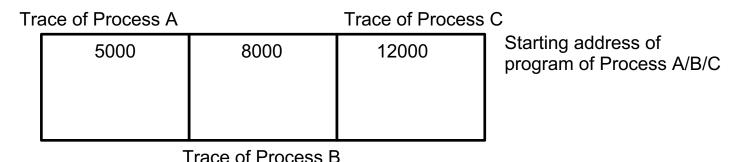
**Process** 

#### **Concurrent Processing**

- A computing model in which multiple processors execute instructions simultaneously for better performance
- Process == Unit of computation
- Abstraction of a processor
  - Known only to operating system (processes)
  - Not known by hardware (instructions sets)

#### A Fundamental Principle

- All computation must be done by a process
  - No execution by the operating system itself
  - No execution "outside" of a process



- Key consequence
  - At any time, a process must be running
  - Operating system cannot stop running a process unless it switches to another process

#### **Concurrency Models**

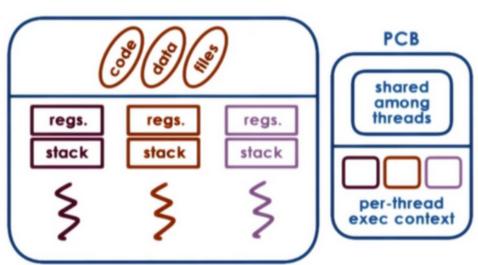
- Many variations have been used to a single computation
  - Job; Process: a single computation that is self-contained and isolated from other computations.
  - Task: a process that is declared statically
  - Thread of control: a type of concurrent process that shares an address space with other threads.

#### • Differ in

- Address space allocation and sharing
- Coordination and communication mechanisms
- Longevity
- Dynamic vs. static definition

#### Thread of Execution

- Single "execution"
- Sometimes called a *lightweight process*
- Can share data (data and bss segments) with other threads
- Must have private stack segment for
  - Local variables
  - Function calls



#### A Lightweight Process

- Creating a thread is cheaper than creating a process
- Communication between threads is easier than between processes
  - Processes must set up a shared resource or pass messages or signals
- Context switching between threads is cheaper (same address space)

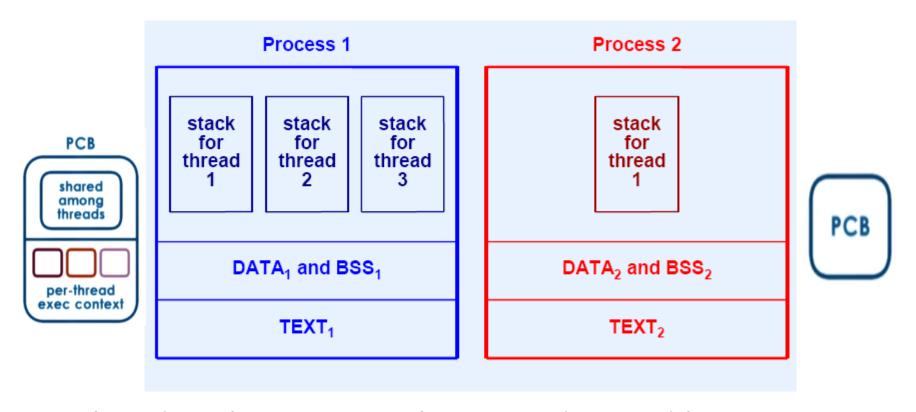
#### When To Use Threads

- Threads are appropriate tools to use when multiple independent execution paths (or computations) need access to the same address space and other resources.
- For example, consider a program such as a terminal emulator, like putty.
  - Wait for input from the keyboard
  - Wait for a network packet from a remote system

#### Heavyweight Process

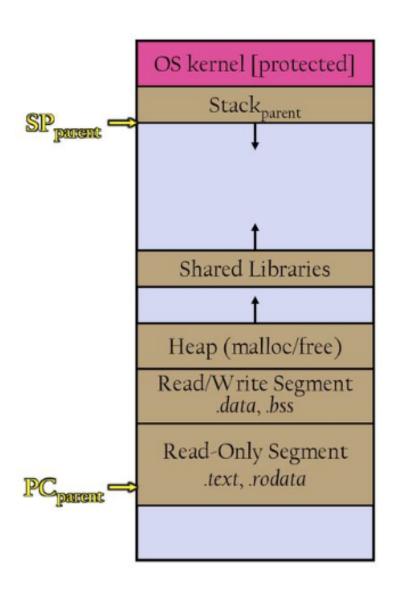
- Pioneered in Mach System (a two-level concurrent programming scheme) and adopted by Linux
- Also called *Process* (written with uppercase "P")
- Create an address space in which multiple threads can execute
- One data segment per Process
- One bss segment per Process
- Multiple threads per Process
- Given thread is bound to a single Process and cannot move to another

## Illustration of Two Heavyweight Processes and Their Threads



- Threads within a Process share text, data, and bss
- No sharing between Processes
- Threads within a Process cannot share stacks

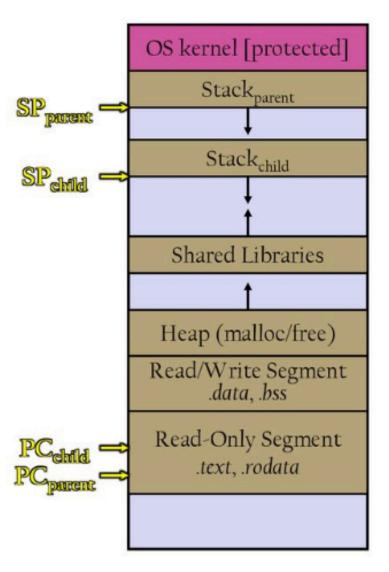
## Threads Implementation



#### Before creating a thread

- One thread of execution running in the address space
- That main thread invokes a function to create a new thread
  - phtread\_create()

#### Threads Implementation



After creating a thread

- Two threads of execution running in the address
  - Extra stack created
  - Child thread maintains separate values of its SP and PC
- Both threads share the other segments
  - They can cooperatively modify shared data

#### Terminology

- For an embedded environment, Xinu permits processes to share an address space
  - Xinu processes follow a thread model
- For this course, assume generic use ("process") unless used in context of specific OS

#### **Maintaining Processes**

- Process
  - An "instantiation" of a program
  - OS abstraction
    - Unknown to hardware
    - Created dynamically
  - Pertinent information kept by OS
    - OS stores information in a central data structure Called process table
    - Part of OS address space

# Information Kept in a Process Table (1/2)

#### For each process

- Identification information:
  - Unique process identifier
  - Owner (a user)
- Control information:
  - Scheduling priority
- An address space
  - Location of code and data (stack)
- Other execution contexts threads
  - Status of computation
  - Current program counter
  - Current values of registers

# Information Kept in a Process Table (2/2)

- If a heavyweight process contains multiple threads, keep for each thread
  - Owning process
  - Thread's scheduling priority
  - Location of stack
  - Status of computation
  - Current program counter
  - Current values of registers

#### Xinu Process Model

- Simplest possible scheme
- Single-user system (no ownership)
- One global context
- One global address space
- No boundary between OS and applications

Note: all Xinu processes can share data

## Example Items in a Xinu Process Table

(proctab)

Field	Purpose
prstate	The current <b>status</b> of the process (e.g. whether the process is currently executing or waiting)
prprio	The scheduling <b>priority</b> of the process
prstkptr	The saved value of the process' <b>stack pointer</b> when the process is not executing
prstkbase	The address of the base of the process' stack
prstklen	A limit on the <b>maximum size</b> that the process' stack can grow
prname	A <b>name</b> assigned to the process that humans use to identify the process' purpose

- Each entry in *proctab* is defined to be a struct of type *procent*.
- The declaration of struct procent can be found in file process.h

#### struct procent in Process.h

The declaration of struct *procent* in file *process.h* along with other declarations related to processes.

```
/* Definition of the process table (multiple of 32 bits) */
struct procent {
                          /* Entry in the process table */
      uint16 prstate; /* Process state: PR_CURR, etc. */
      pri16 prprio; /* Process priority */
      char *prstkptr; /* Saved stack pointer */
      char *prstkbase; /* Base of run time stack */
      uint32 prstklen; /* Stack length in bytes */
      char prname[PNMLEN]; /* Process name */
                   /* Semaphore on which process waits */
      sid32 prsem;
      pid32 prparent; /* ID of the creating process */
      umsg32 prmsg; /* Message sent to this process */
      bool8 prhasmsg; /* Nonzero iff msg is valid */
      int16 prdesc[NDESC]; /* Device descriptors for process */
};
```

#### Process States (1/2)

- Used by OS to manage processes
- Set by OS whenever process changes status (e.g. waits for I /O)
- Small integer value stored in the process table
- Tested by OS to determine
  - Whether a requested operation is valid
  - The meaning of an operation

#### Process States (2/2)

- Specified by OS designer
- One "state" assigned per activity
- Value updated in process table when activity changes
- Example values
  - Current (process is currently executing)
  - Ready (process is ready to execute)
  - Waiting (process is waiting on semaphore)
  - Receiving (process is waiting to receive a message)
  - Sleeping (process is delayed for specified time)
  - Suspended (process is not permitted to execute)

## Definition of Xinu Process State Constants

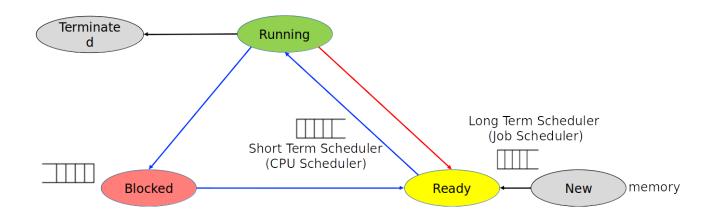
```
/* Process state constants */
                                          File process.h contains the definitions
                                   /* process table entry is unused
#define PR FREE
#define PR CURR
                                   /* process is currently running
#define PR READY
                                   /* process is on ready queue
                                   /* process waiting for message
#define PR RECV
#define PR SLEEP
                                   /* process is sleeping
                                   /* process is suspended
#define PR SUSP
#define PR WAIT
                                    /* process is on semaphore queue
#define PR RECTIM
                                    /* process is receiving with timeout */
```

- Xinu uses field prstate in the process table to record state information for each process
- The system defines 0-7 valid states and a symbolic constant for each.
- States are defined as needed when a system is constructed
- Xinu always keeps the code and data for all processes in memory.

## SCHEDULING AND CONTEXT SWITCHING

## Scheduling

- Fundamental part of process management
- Performed by OS
- Three steps
  - Examine processes that are eligible for execution
  - Select a process to run
  - Switch the processor to the selected process



## Implementation of Scheduling

- We need a scheduling policy that specifies which process to select
- We must then build a scheduling function that
  - Selects a process according to the policy
  - Updates the process table for the current and selected processes
  - Calls context switch to switch from current process to the selected process

## Scheduling Policy

- Determines when process is selected for execution
- Goal is fairness
- May depend on
  - User
  - How many processes a user owns
  - Time a given process has been waiting to run
  - Priority of the process
- Note: hierarchical or flat scheduling can be used

## Example Scheduling Policy in Xinu

- Each process assigned a priority
  - Non-negative integer value
  - Initialized when process created
  - Can be changed at any time
- Scheduler always chooses to run an eligible process that has highest priority
- Policy is implemented by a system-wide invariant

#### The Xinu Scheduling Invariant

 In Xinu, function resched makes the selection according to the following well-known scheduling policy:

At any time, the highest priority eligible process is executing. Among processes with equal priority scheduling is round-robin.

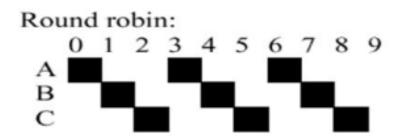
- Ready takes an argument that specifies a process ID and executes this process
- Each OS function should maintain a scheduling invariant:
  - Ensure that the highest priority process is executing when the function returns
- If a function changes the state of processes, the function must call resched to reestablish the invariant.

#### Round-Robin Scheduling

- Each time a process can use at most a specified amount of time called its *quantum*
- When inserting a process on the ready list, place the process "behind" other processes with the same priority
- If scheduler switches context, first process on ready list is selected
- Note: scheduler switches context if the first process on the ready list has priority equal to the current process



Process A finishes after 3 slices, B 6, and C9. The average is (3+6+9)/3 = 6 slices



Process A finishes after 7 slices, B 8, and C9. The average is (7+8+9)/3 = 8 slices

# Implementation of Scheduling in Xinu

- A scheduler consists of a function that a running process calls to willingly give up the processor
- Every process: prprio field of the process's entry
  - A user assigns a priority to each process to control
- Process is eligible if state is ready or current
- To avoid searching process table during scheduling
  - Keep ready processes on linked list, called a *ready list*
  - Order the ready list by process priority
  - Selection of highest-priority process can be performed in constant time

# High-Speed Scheduling Decision in Xinu

- To provide fast access to the current process, its ID is stored in global integer variable currpid.
- Compare priority of current process to priority of first process on ready list
  - If current process has a higher priority, do nothing
  - Otherwise, extract the first process from the ready list (PR\_READY) and perform a context switch to switch the processor to the process
    - In such situations, the scheduler must change the state of the current process to PR\_READY and insert the process onto the ready list

#### Deferred Rescheduling

- Motivation: some OS functions move multiple processes onto the ready list at the same time
  - Rescheduling can result in incomplete and incorrect operation
- The solution for multiple processes consists of temporarily suspending the scheduling policy.
  - A call to resched\_cntl(DEFER\_START) suspends rescheduling
  - A call to resched\_cntl(DEFER\_STOP) resumes normal scheduling
  - Each request deferral, a global counter, Defer.ndefers
- Main purpose: allow device driver can make multiple processes ready before allowing any of them to run

#### Xinu Scheduler Details

/\* resched.c \*/

- Resched checks global variable Defer.ndefers to see whether rescheduling is deferred
- If deferred, resched sets global variable Defer.attempt
- Once it passes the test for deferral, *resched* examines the state of the current process *prstate* 
  - If the state contains PR\_CURR and the current process is the highest priority → resched returns
  - If the state specifies PR\_CURR but the current process is not the highest priority → resched adds the current process to the ready list
    - Perform a context switch

#### Example Scheduler Code (1/3)

```
/* resched.c - resched */
#include <xinu.h>
struct defer Defer;
/*_____
* resched - Reschedule processor to highest priority eligible process
void resched(void) /* Assumes interrupts are disabled */
           struct procent *ptold; /* Ptr to table entry for old process */
           struct procent *ptnew; /* Ptr to table entry for new process */
           /* If rescheduling is deferred, record attempt and return */
           if (Defer.ndefers > 0) {
                       Defer.attempt = TRUE;
                       return;
           /* Point to process table entry for the current (old) process */
           ptold = &proctab[currpid];
```

#### Example Scheduler Code (2/3)

```
if (ptold->prstate == PR CURR) { /* Process remains eligible */
            if (ptold->prprio > firstkey(readylist)) {
                        return;
            /* Old process will no longer remain current */
            ptold->prstate = PR READY;
            insert(currpid, readylist, ptold->prprio);
/* Force context switch to highest priority ready process */
currpid = dequeue(readylist);
ptnew = &proctab[currpid];
ptnew->prstate = PR CURR;
preempt = QUANTUM; /* Reset time slice for process */
ctxsw(&ptold->prstkptr, &ptnew->prstkptr);
                                               If context switching occurs, resched chooses
                                               to switch to another process, the original
/* Old process returns here when resumed */
                                               process will be stopped in the call to ctxsw
                                               (assembly language function).
return;
```

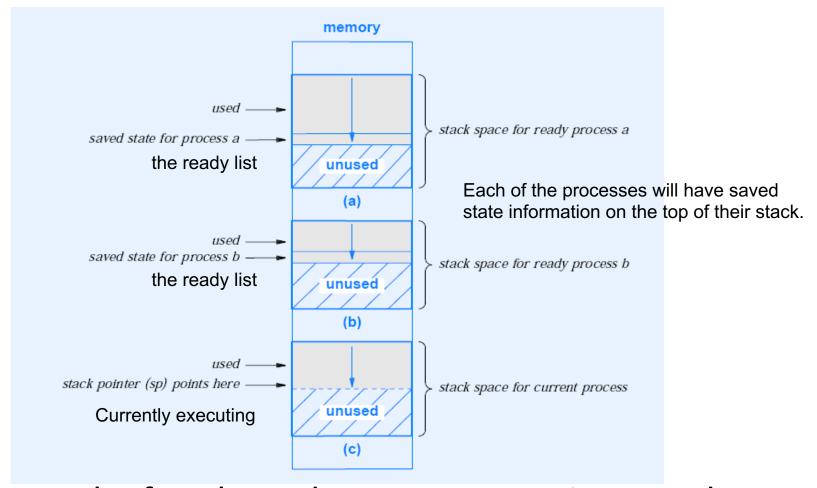
### Example Scheduler Code (3/3)

```
* resched cntl - Control whether rescheduling is deferred or allowed
*/
                                    /* Assumes interrupts are disabled */
status resched cntl(
                                    /* Either DEFER START or DEFER STOP */
            int32 defer
                                       See whether rescheduling is deferred.
            switch (defer) {
              case DEFER_START: /* Handle a deferral request */
                        if (Defer.ndefers++ == 0) {
                                                    Indicate if an attempt was made
                          Defer.attempt = FALSE;
                                                    during the deferral period and
                                                    returns to the caller.
                        return OK;
              case DEFER_STOP: /* Handle end of deferral */
                        if (Defer.ndefers <= 0) {
                          return SYSERR;
                        if ( (--Defer.ndefers == 0) && Defer.attempt ) {
                          resched();
                        return OK;
              default:
                        return SYSERR;
```

# Implementation Of Context Switching in Xinu

- resched calls an assembly language function, ctxsw, to switch context from one process to another
- Reset the program counter (i.e., jumping to the location in the new process at which execution should resume)
- The text segment for the new process will be present in memory
- The RISC architecture contains a pair of instructions that are used in context switching:
  - Store processor state information in successive memory locations
  - Load processor state from successive memory locations

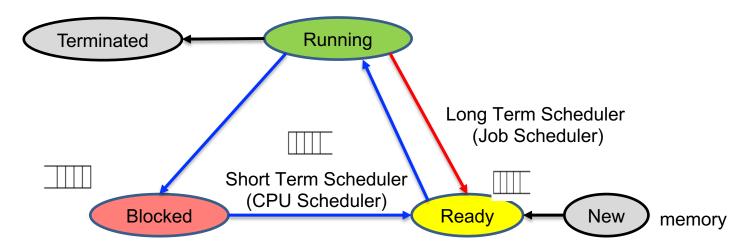
## Illustration of State Saved on Process stack



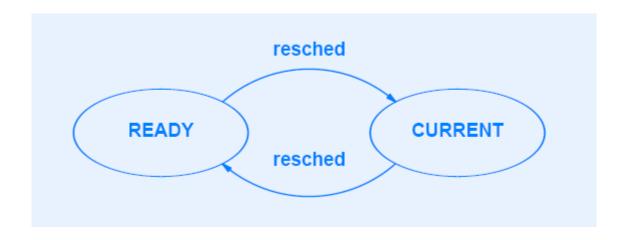
The stack of each ready process contains saved state

#### **Process State Transitions**

- Recall each process has a "state"
- State determines
  - Whether an operation is valid
  - Semantics of each operation
- Transition diagram documents valid operations



## Illustration of Transitions between the Current and Ready States in Xinu



- The scheduler's only function is to switch the processor among the set of processes that are current or ready
- Single function (resched) moves a process in either direction between the two states

### **Context Switch Operation**

- Given a "new" process, N, and "old" process, O
- Save copy of all information pertinent to O on process O's stack
  - Contents of hardware registers
  - Program counter (instruction pointer)
  - Privilege level and hardware status
  - Memory map and address space
- Load saved information for N
- Resume execution of N

### Example Context Switch Code - Intel (1/2)

```
/* ctxsw.S - ctxsw (for x86) */
            .text
            .globl ctxsw
* ctxsw - X86 context switch; the call is ctxsw(&old_sp, &new_sp)
                 Saving values for the old process on the current stack
ctxsw:
            pushl %ebp
                                                 /* Push ebp onto stack
                                                                                             The flags contain
            movl %esp,%ebp
                                                 /* Record current SP in ebp
                                                                                                the current
                                                 /* Push flags onto the stack
            pushfl
                                                                                             processor status.
                                                 /* Push general regs. on stack
            pushal
            /* Save old segment registers here, if multiple allowed
            movl 8(%ebp),%eax
                                                 /* Get mem location in which to
                                                 /* save the old process's SP
                                                 /* Save old process's SP
            movl %esp,(%eax)
                                                 /* Get location from which to
            movl 12(%ebp),%eax
                                                 /* restore new process's SP
  A single machine instruction to restore all
```

the registers from the saved values

### Example Context Switch Code - Intel (2/2)

```
/* The next instruction switches from the old process's
                                                                */
      stack to the new process's stack.
                                       /* Pop up new process's SP
  movl (%eax),%esp
  /* Restore new seg. registers here, if multiple allowed
                                       /* Restore general registers
  popal
  movl 4(%esp),%ebp
                                       /* Pick up ebp before restoring
                                           interrupts
                                       /* Restore interrupt mask
  popfl
  add $4,%esp
                                       /* Skip saved value of ebp
                                       /* Return to new process
  ret
A single machine instruction to restore
all the registers from the saved values
```

### Example Context Switch Code - ARM

```
/* ctxsw.S - ctxsw (for ARM) */
            .text
            .globl ctxsw
* ctxsw – ARM context switch; the call is ctxsw(&old_sp, &new_sp)
                                     The code uses assembler directives that the assembler
*/
                                      interprets and uses to generate multiple instructions.
ctxsw:
            push {r0-r11, lr}
                                     /* Push regs 0 - 11 and Ir
            push {Ir}
                                     /* Push return address
                                                                                    The co-processor stores
            mrs r2, cpsr
                                     /* Obtain status from coprocess.
                                                                                     the internal hardware
            push {r2}
                                     * and push onto stack
                                                                                         status register.
                                     /* Save old process's SP
            str sp, [r0]
                                     /* Pick up new process's SP
            ldr sp, [r1]
                                     /* Use status as argument and
            pop {r0}
            bl restore
                                     /* call restore to restore it
                                     /* Pick up the return address
            pop {lr}
Opposite
            pop {r0-r12}
                                     /* Restore other registers
order pop
                                     /* Return to the new process
            mov pc, r12
       Moves the status from the co-processor status
```

register to a specified general-purpose register.

### Question 1

- Intel is a CISC architecture with powerful instructions
- ARM is a RISC architecture where each instruction performs one basic operation
- Why is the Intel context switch code longer?

### Solution to Question 1

- The ARM assembler uses shorthand
  - Programmer writes push {r0-r11, lr}
  - Assembler generates thirteen push instructions
- If a programmer wrote one line of code for each instruction, the ARM code would be much longer than the Intel code

```
      push r0
      pop lr

      push r1
      pop r11

      push r2
      pop r10

      push r3
      pop r9

      push r4
      pop r7

      ...
      pop r0
```

### Question 2

- Our invariant says that at any time, a process must be executing
- Context switch code moves from one process to another
- Question: which process (old or new) executes the context switch code?

### Solution to Question 2

- Both the old and new process do
- Old process
  - Executes first half of context switch
  - Is suspended
- New process
  - Continues executing where previously suspended
  - Usually runs second half of context switch

### Question 3

- Our invariant says that at any time, one process must be executing
- All user processes may be idle (e.g., applications all wait for input)
- What happens if all processes wait for I/O?

Because an operating system can only switch the processor from one process to another, at least one process must remain ready to execute at all times.

Which process executes?

### Solution to Question 3

- To ensure that at least one process always executes, Operating system needs an extra process
  - Called the NULL process: process ID zero and priority zero
  - Never terminates
  - Typically an infinite loop
  - Cannot make a system call that takes it out of ready or current state

### Code for a Null Process

Easiest way to code a null process

```
while(1); /Do nothing */
```

- May not be optimal because fetch-execute takes bus cycles that compete with I/O devices
- Two ways to optimize
  - Some processors offer a special pause instruction that stops the processor until an interrupt occurs
  - Instruction cache can eliminate bus accesses

#### **MORE PROCESS MANAGEMENT**

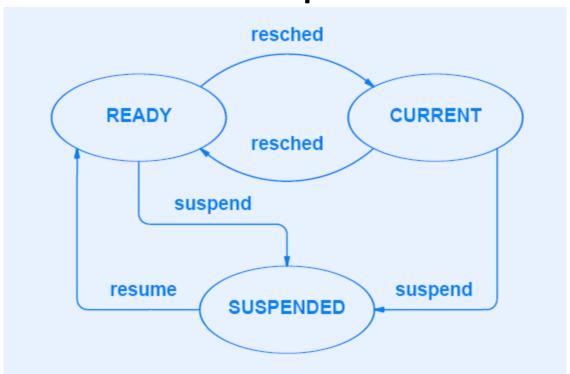
### **Process Manipulation**

- Need to invent ways to control processes
- Example operations
  - Suspension
  - Resumption
  - Creation
  - Termination
- Recall: state variable in process table records activity

### **Process Suspension**

- Temporarily "stop" a process
- Prohibit it from using the processor
- To allow later resumption
  - Process table entry retained
  - Complete state of computation saved
- OS sets process table entry to indicate process is suspended

## State Transitions for Suspension and Resumption



- Ether current or ready process can be suspended
- Only a suspended process can be resumed
- System calls suspend and resume handle transitions

## A Note About System Calls

- OS contains many functions
- Some functions correspond to system calls and others are internal
- We use the type syscall to distinguish system calls from other functions in the OS
- Another way to look at interrupt handling focuses on an invariant that a system function must maintain:

An operating system function always returns to its caller with the same interrupt status as when it was called.

### Template For System Calls

```
syscall function name( args ) {
            intmask mask;
                                                                /*Save interrupt mask*/
                                                                /* Disable interrupts at start of function*/
            mask = disable();
            if ( args are incorrect ) {
                         restore(mask);
                                                               /* Restore interrupts before error return*/
                         return(SYSERR);
                                                Report status:
                                                Indicate that an error occurred during processing
            ... other processing ...
            if ( an error occurs ) {
                         restore(mask);
                                                               /* Restore interrupts before error return*/
                         return(SYSERR);
            ... more processing ...
                                                               /* Restore interrupts before normal return*/
            restore(mask);
            return(appropriate value);
                                                    Report status:
                                                    Indicate that the operation is successfu
```

## Example Suspension Code (part 1)

```
/* suspend.c - suspend */
#include <xinu.h>
* suspend - Suspend a process, placing it in hibernation
                      The function disables interrupts when it is invoked.
syscall suspend(
                                     /* ID of process to suspend
             pid32 pid
{
                                                 /* Saved interrupt mask
            intmask mask;
                                                 /* Ptr to process' table entry
            struct procent *prptr;
                                                  /* Priority to return
            pri16 prio;
                                Verify that it is a valid process ID (ready/current)
            mask = disable();
            if (isbadpid(pid) | (pid == NULLPROC)) {
                         restore(mask);
                                          Restores interrupts
                         return SYSERR;
```

## Example Suspension Code (part 2)

```
/* Only suspend a process that is current or ready */
prptr = &proctab[pid];
if ((prptr->prstate != PR_CURR) && (prptr->prstate != PR_READY)) {
            restore(mask);
            return SYSERR;
if (prptr->prstate == PR READY) {
                                                  /* Remove a ready process */
            getitem(pid);
                                                  /* from the ready list
            prptr->prstate = PR SUSP;
} else {
                                                 /* Mark the current process */
            prptr->prstate = PR SUSP;
            resched();
                                                 /* suspended and resched. */
                                           Suspend sets the state of the current
prio = prptr->prprio;
                                              process to the desired next state.
restore(mask);
return prio;
```

The key idea is that when a process suspends itself, the process remains executing until the call to *resched* selects another process and switches context.

### **Process Resumption**

- Resume execution of previously suspended process
- Method
  - Make process eligible for processor
  - Re-establish scheduling invariant
- Note: resumption does not guarantee instantaneous execution

## Example Resumption Code (part 1)

```
/* resume.c - resume */
#include <xinu.h>
* resume- Unsuspend a process, making it ready
*_____
Pri16 resume(
                               /* ID of process to unsuspend
           pid32 pid
                                          /* Saved interrupt mask
          intmask mask;
          struct procent *prptr; /* Ptr to process' table entry
                               /* Priority to return
          pri16 prio;
          mask = disable();
          if (isbadpid(pid) | | (pid == NULLPROC)) {
                     restore(mask);
                     return (pri16)SYSERR;
```

## Example Resumption Code (part 2)

### Function to Make a Process Ready

```
/* ready.c - ready */
#include <xinu.h>
                                                                        /* Index of ready list */
qid16 readylist;
* ready - Make a process eligible for CPU service
status ready(
                                                                        /* ID of process to make ready */
              pid32 pid
                                                                        /* Ptr to process' table entry */
              register struct procent *prptr;
              if (isbadpid(pid)) {
                            return SYSERR;
              /* Set process state to indicate ready and add to ready list */
              prptr = &proctab[pid];
              prptr->prstate = PR READY;
                                                            If a function changes the state of
              insert(pid, readylist, prptr->prprio);
                                                            processes, the function must call
              resched();
                                                          resched() to reestablish the invariant
              return OK;
```

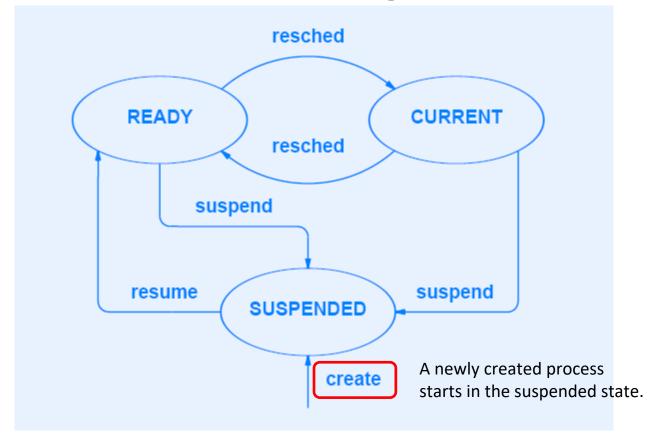
### **Process Termination**

- A system call, *kill*, implements process termination by completely removing a process from the system.
- Record of the process is expunged
- Process table entry becomes available for reuse
- Known as process exit if initiated by the thread itself

#### **Process Creation**

- Processes are dynamic process creation refers to starting a new process
- Performed by create procedure in Xinu
- Method
  - Find free entry in process table
    - Creation uses function newpid to search the table
  - Fill in entry
    - Creation uses function getstk to allocate space for the new process's stack
  - Place new process in suspended state

## Illustration of State Transitions for Additional Process Management Functions



 Note that both current and ready processes can be suspended

### Other Process Scheduling Algorithms

At one time, process scheduling was the primary research topic in operating systems. Was the problem completely solved?

## **Summary (1/3)**

- Process management is a fundamental part of OS
- Information about processes kept in process table
- A state variable associated with each process records the process's activity
  - Currently executing
  - Ready, but not executing
  - Suspended
  - Waiting on a semaphore
  - Receiving a message

## **Summary (2/3)**

#### Scheduler

- Key part of the process manager
- Chooses next process to execute
- Implements a scheduling policy
- Changes information in the process table
- Calls context switch to change from one process to another
- Usually optimized for high speed

## **Summary (3/3)**

- Context switch
  - Low-level piece of a process manager
  - Moves processor from one process to another
- Processes can be suspended, resumed, created, and terminated
- At any time a process must be executing
- Special process known as null process remains ready to run at all times