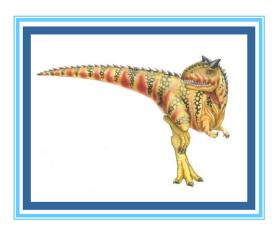
Chapter 3: Processes





Chapter 3: Processes

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





Objectives

- Identify the separate components of a process and illustrate how they are represented and scheduled in an operating system.
- Describe how processes are created and terminated in an operating system, including developing programs using the appropriate system calls that perform these operations.
- Describe and contrast interprocess communication using shared memory and message passing.
- Design programs that uses pipes and POSIX shared memory to perform interprocess communication.
- Describe client-server communication using sockets and remote procedure calls.
- Design kernel modules that interact with the Linux operating system.





Process Concept

- An operating system executes a variety of programs that run as a process.
- Process a program in execution; process execution must progress in sequential fashion. No parallel execution of instructions of a single process
- 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

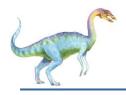




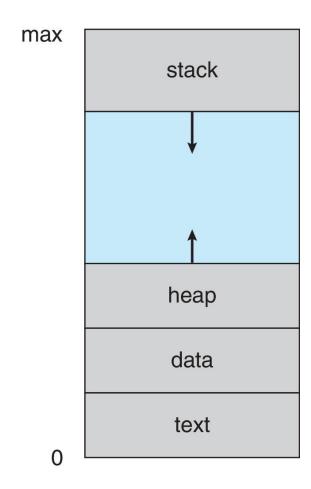
Process Concept (Cont.)

- Program is passive entity stored on disk (executable file); process is active
 - Program becomes process when an executable file is 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
 - Compiler
 - Text editor





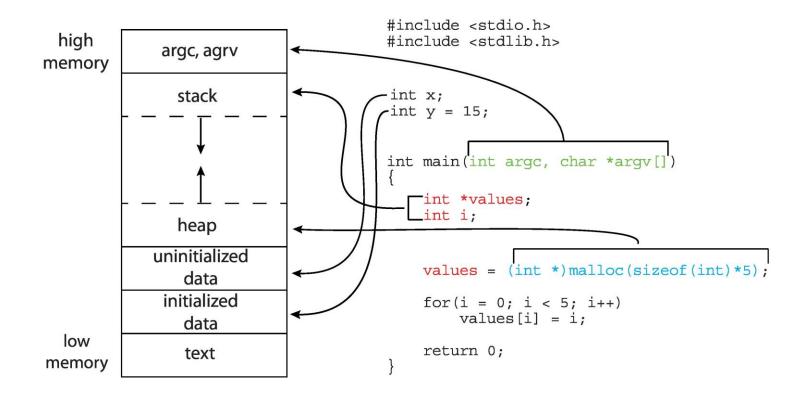
Process in Memory







Memory Layout of a C Program







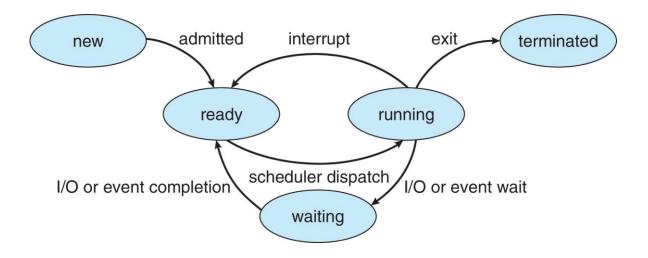
Process State

- 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 process-centric registers
- CPU scheduling information- priorities, scheduling queue pointers
- Memory-management information memory allocated to the process
- Accounting information CPU used, clock time elapsed since start, time limits
- I/O status information I/O devices allocated to process, list of open files

process state
process number
program counter
registers
memory limits
list of open files





Threads

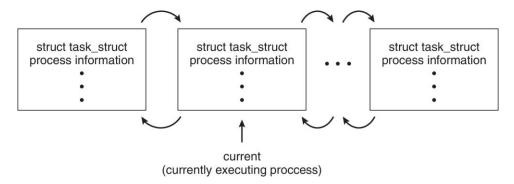
- So far, process has a single thread of execution
- Consider having multiple program counters per process
 - Multiple locations can execute at once
 - Multiple threads of control -> threads
- Must then have storage for thread details, multiple program counters in PCB
- Explore in detail in Chapter 4





Process Representation in Linux

Represented by the C structure task struct







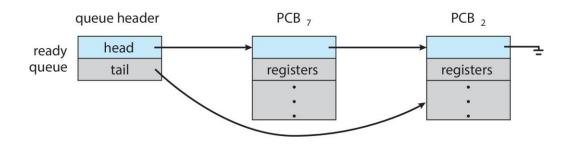
Process Scheduling

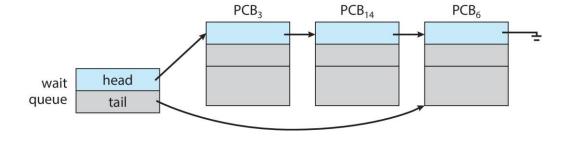
- Process scheduler selects among available processes for next execution on CPU core
- Goal -- Maximize CPU use, quickly switch processes onto CPU core
- Maintains scheduling queues of processes
 - Ready queue set of all processes residing in main memory, ready and waiting to execute
 - Wait queues set of processes waiting for an event (i.e., I/O)
 - Processes migrate among the various queues





Ready and Wait Queues

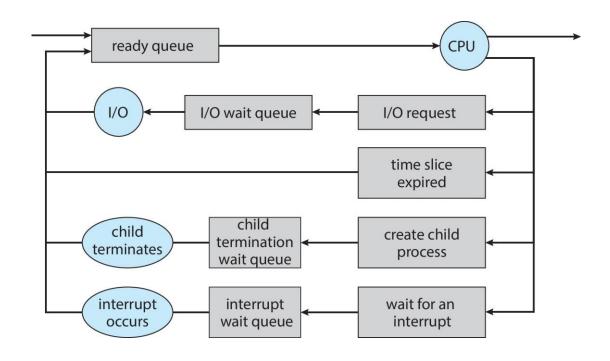








Representation of Process Scheduling

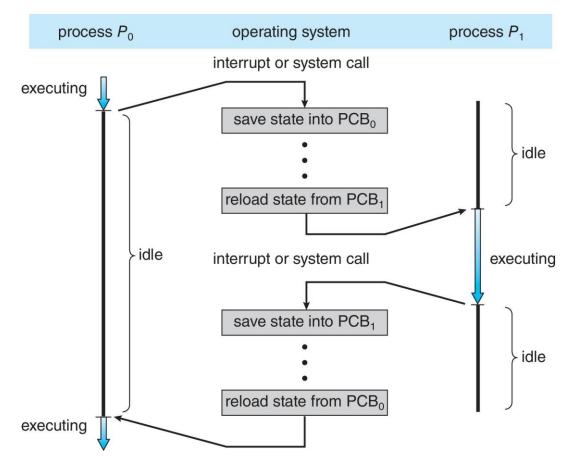






CPU Switch From Process to Process

A **context switch** occurs when the CPU switches from one process to another.

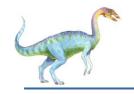




Context Switch

- 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 pure 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





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

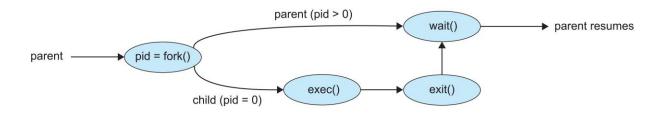
- Parent process create children processes, which, in turn create other processes, forming a tree of processes
- Generally, process identified and managed via a process identifier (pid)
- Resource sharing options
 - Parent and children share all resources
 - Children share subset of parent's resources
 - Parent and child share no resources
- Execution options
 - Parent and children execute concurrently
 - Parent waits until children terminate





Process Creation (Cont.)

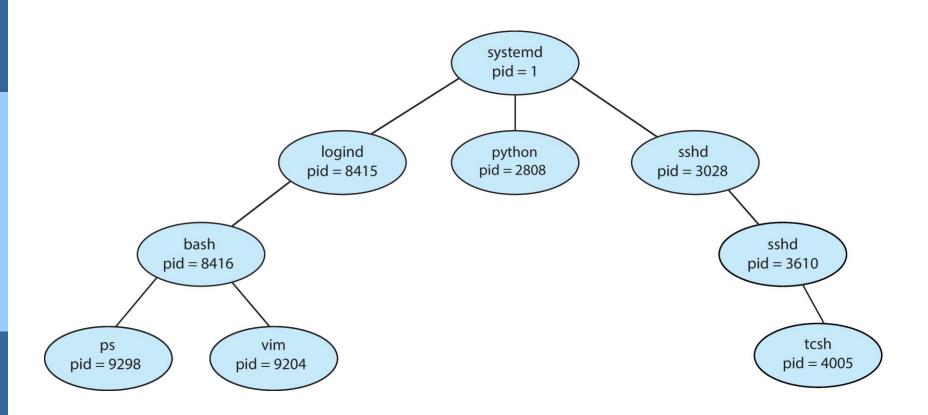
- Address space
 - Child duplicate of parent
 - Child has a program loaded into it
- UNIX examples
 - fork () system call creates new process
 - exec() system call used after a fork() to replace the process' memory space with a new program
 - Parent process calls wait () waiting for the child to terminate







A Tree of Processes in Linux







C Program Forking Separate 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);
```

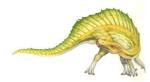
- If no parent waiting (did not invoke wait()) process is a zombie
- If parent terminated without invoking wait(), process is an orphan

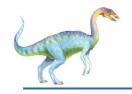




Android Process Importance Hierarchy

- Mobile operating systems often have to terminate processes to reclaim system resources such as memory. From most to least important:
 - Foreground process
 - Visible process
 - Service process
 - Background process
 - Empty process
- Android will begin terminating processes that are least important.





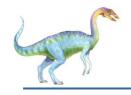
Multiprocess Architecture – Chrome Browser

- 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



Each tab represents a separate process.





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 (under the control of users)
 - Message passing (under the control of OS)

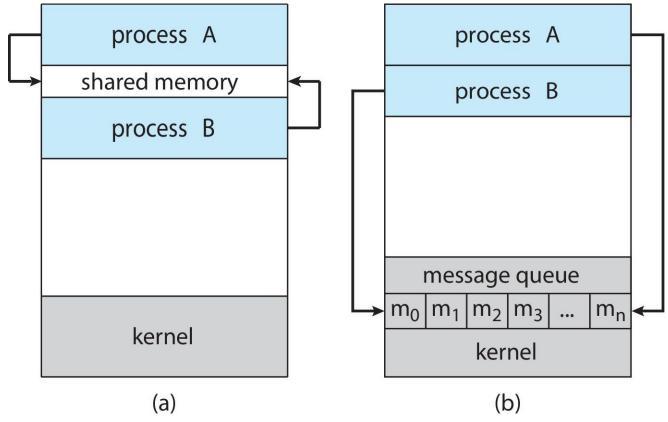


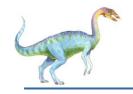


Communications Models

(a) Shared memory.

(b) Message passing.





Producer-Consumer Problem

- Paradigm for cooperating processes:
 - producer process produces information that is consumed by a consumer process
- Two variations:
 - unbounded-buffer places no practical limit on the size of the buffer:
 - Producer never waits
 - Consumer waits if there is no buffer to consume
 - bounded-buffer assumes that there is a fixed buffer size
 - Producer must wait if all buffers are full
 - Consumer waits if there is no buffer to consume





Shared Memory Solution

- 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 Chapters 6 & 7.





Bounded-Buffer – Shared-Memory Solution

Shared data

```
#define BUFFER_SIZE 10

typedef struct {
    . . .
} item;

item buffer[BUFFER_SIZE];

int in = 0;

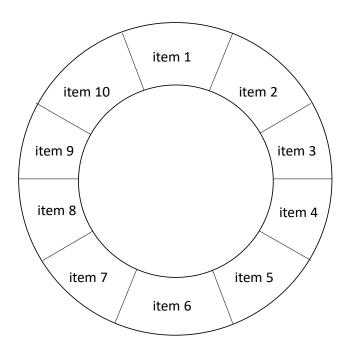
int out = 0;
```

Solution presented in next slides is correct, but can only use
 BUFFER SIZE-1 items; that is: 9 items

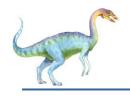




Bounded-Buffer (Cont.)







Producer Process – Shared Memory





Consumer Process – Shared Memory

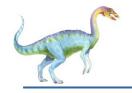




What about Filling all the Buffers?

- Suppose that we wanted to provide a solution to the consumerproducer problem that fills all the buffers.
- We can do so by having an integer counter that keeps track of the number of full buffers.
- Initially, counter is set to 0.
- The integer counter is incremented by the producer after it produces a new buffer.
- The integer counter is and is decremented by the consumer after it consumes a buffer.

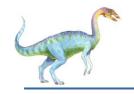




Producer

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





Consumer





Race Condition

counter++ could be implemented as

```
register1 = counter
register1 = register1 + 1
counter = register1
```

counter - could be implemented as

```
register2 = counter
register2 = register2 - 1
counter = register2
```

Consider this execution interleaving with "count = 5" initially:

```
S0: producer execute register1 = counter {register1 = 5}

S1: producer execute register1 = register1 + 1 {register1 = 6}

S2: consumer execute register2 = counter {register2 = 5}

S3: consumer execute register2 = register2 - 1 {register2 = 4}

S4: producer execute counter = register1 {counter = 6}

S5: consumer execute counter = register2 {counter = 4}
```





Race Condition (Cont.)

- Question why was there no race condition in the first solution (where at most N – 1) buffers can be filled?
- More in Chapter 6.





IPC – Message Passing

- 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?





Implementation of Communication Link

- 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 (Cont.)

- Operations
 - Create a new mailbox (port)
 - Send and receive messages through mailbox
 - Delete a mailbox
- Primitives are defined as:
 - Send(A, message) send a message to mailbox A
 - receive(A, message) receive a message from mailbox A

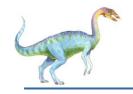




Indirect Communication (Cont.)

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





Synchronization

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



Producer-Consumer: Message Passing

Producer

```
message next_produced;
while (true) {
   /* produce an item in next_produced */
   send(next_produced);
}
```

Consumer

```
message next_consumed;
while (true) {
  receive(next_consumed)

/* consume the item in next_consumed */
```

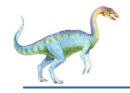




Buffering

- 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





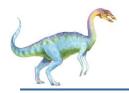
Examples of IPC Systems - POSIX

- 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
 - Set the size of the object

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

- Use mmap () to memory-map a file pointer to the shared memory object
- Reading and writing to shared memory is done by using the pointer returned by mmap().





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 ports at creation- Kernel and Notify
 - Messages are sent and received using the mach_msg() function
 - Ports needed for communication, created via
 mach_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





Mach Messages

```
#include<mach/mach.h>
struct message {
         mach_msg_header_t header;
         int data;
};
mach port t client;
mach port t server;
```

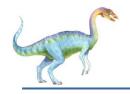




Mach Message Passing - Client

```
/* Client Code */
struct message message;
// construct the header
message.header.msgh_size = sizeof(message);
message.header.msgh_remote_port = server;
message.header.msgh_local_port = client;
// send the message
mach_msg(&message.header, // message header
  MACH_SEND_MSG, // sending a message
  sizeof(message), // size of message sent
  0, // maximum size of received message - unnecessary
  MACH_PORT_NULL, // name of receive port - unnecessary
  MACH_MSG_TIMEOUT_NONE, // no time outs
  MACH_PORT_NULL // no notify port
);
```





Mach Message Passing - Server

```
/* Server Code */
struct message message;

// receive the message
mach_msg(&message.header, // message header
    MACH_RCV_MSG, // sending a message
    0, // size of message sent
    sizeof(message), // maximum size of received message
    server, // name of receive port
    MACH_MSG_TIMEOUT_NONE, // no time outs
    MACH_PORT_NULL // no notify port
);
```





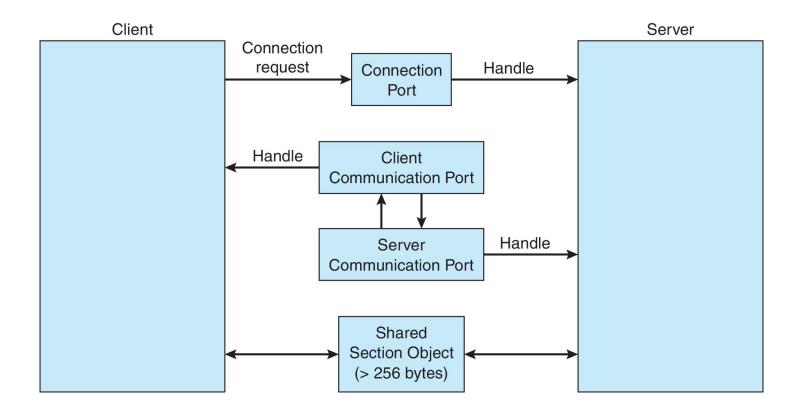
Examples of IPC Systems – Windows

- 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







Pipes

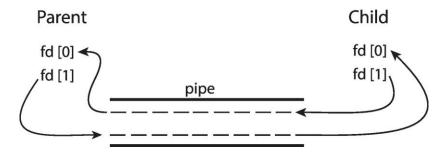
- Acts as a conduit allowing two processes to communicate
- Issues:
 - Is communication unidirectional or bidirectional?
 - In the case of two-way communication, is it half or full-duplex?
 - Must there exist a relationship (i.e., parent-child) between the communicating processes?
 - Can the pipes be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



Windows calls these anonymous pipes





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





Communications in Client-Server Systems

- Sockets
- Remote Procedure Calls





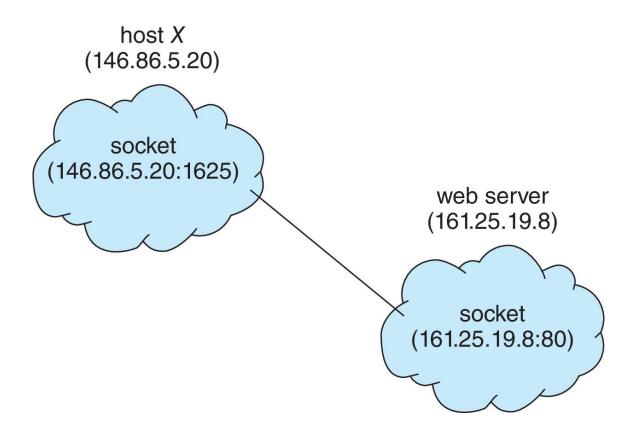
Sockets

- A socket is defined as an endpoint for communication
- Concatenation of IP address and port
 - port is 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 in Java:

```
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);
```



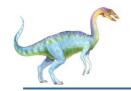


Sockets in Java

The equivalent Date client

```
import java.net.*;
import java.io.*;
public class DateClient
  public static void main(String[] args) {
    try {
       /* make connection to server socket */
       Socket sock = new Socket("127.0.0.1",6013);
       InputStream in = sock.getInputStream();
       BufferedReader bin = new
          BufferedReader(new InputStreamReader(in));
       /* read the date from the socket */
       String line;
       while ( (line = bin.readLine()) != null)
          System.out.println(line);
       /* close the socket connection*/
       sock.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
- The client-side stub locates 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)

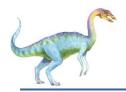




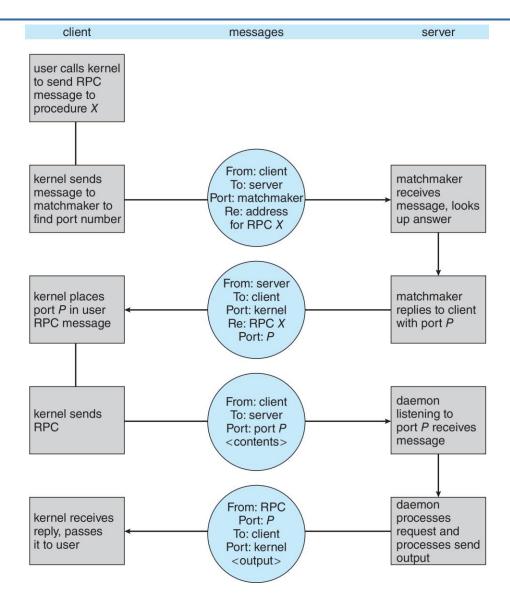
Remote Procedure Calls (Cont.)

- Data representation handled via External Data Representation (XDL) format to account for different architectures
 - Big-endian and little-endian
- 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





End of Chapter 3





Producer-Consumer Problem

- Paradigm for cooperating processes:
 - producer process produces information that is consumed by a consumer process
- Two variations:
 - unbounded-buffer places no practical limit on the size of the buffer:
 - Producer never waits
 - Consumer waits if there is no buffer to consume
 - bounded-buffer assumes that there is a fixed buffer size
 - Producer must wait if all buffers are full
 - Consumer waits if there is no buffer to consume





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





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