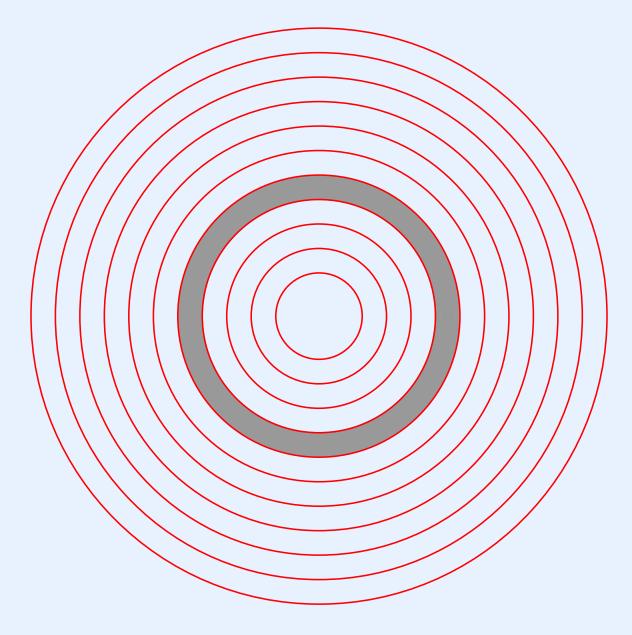
Inter-Process Communication (Message Passing)

Location Of Inter-Process Communication In The Hierarchy



Inter-Process Communication

- Can be used for
 - Exchange of (nonshared) data among processes
 - Some forms of process coordination
- The general technique is known as *message passing*

Two Approaches To Message Passing

Approach #1

- Message passing is one of many services the operating system offers
- Messages are basically data items sent from one process to another, and are independent of both normal I/O and process synchronization services
- Message passing functions are implemented using lower-level mechanisms
- Approach #2
 - The entire operating system is *message-based*
 - Messages, not function calls, provide the fundamental building block
 - Messages are used to coordinate and control processes
- Note: a few research projects used approach #2, but most systems use approach #1

An Example Design For A Message Passing Facility

- To understand the issues, we will begin with a trivial message passing facility
- Our example facility will allow a process to send a message directly to another process

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An Example Design For A Message Passing Facility

- To understand the issues, we will begin with a trivial message passing facility
- Our example facility will allow a process to send a message directly to another process
- In principle, the design should be straightforward
- In practice, many design decisions arise

Message Passing Design Decisions

- Are messages fixed size or variable size?
- What is the maximum message size?
- How many messages can be outstanding at a given time?
- Where are messages stored?
- How is a recipient specified?
- Does a receiver know the sender's identity?
- Are replies supported?
- Is the interface synchronous or asynchronous?

Synchronous vs. Asynchronous Interface

- A synchronous interface
 - An operation blocks until the operation is performed
 - A sending process is blocked until the recipient accepts the message being sent
 - A receiving process is blocked until a message arrives
 - Is easy to understand and use
 - A programmer can create extra processes to obtain asynchrony

Synchronous vs. Asynchronous Interface (continued)

- An asynchronous interface
 - A process starts an operation
 - The initiating process continues execution
 - A notification arrives when the operation completes
 - * The notification can arrive at any time
 - * Typically, notification entails abnormal control flow (e.g., "callback" mechanism)
 - Is more difficult to understand and use
 - Polling can be used to determine the status

Why Message Passing Choices Are Difficult

- Message passing interacts with scheduling
 - Process A sends a message to process B
 - Process B does not check messages
 - Process C sends a message to process B
 - Process B eventually checks its messages
 - If process C has higher priority than A, should B receive the message from C first?
- Message passing affects memory usage
 - If messages are stored with a receiver, senders can use up all the receiver's memory by flooding the receiver with messages
 - If messages are stored with a sender, receivers can use up all the sender's memory by not accepting messages

An Example Message Passing Facility

- We will examine a basic, low-level mechanism
- The facility provides direct process-to-process communication
- Each message is one word (e.g., an integer)
- A message is stored with the receiving process
- A process only has a one-message buffer
- Message reception is synchronous and buffered
- Message transmission is asynchronous
- The facility includes a "reset" operation

An Example Message Passing Facility (continued)

• The interface consists of three system calls

```
send(pid, msg);
msg = receive();
msg = recvclr();
```

- Send transmits a message to a specified process
- Receive blocks until a message arrives
- Recvclr removes an existing message, if one has arrived, but does not block
- A message is stored in the *receiver's* process table entry

An Example Message Passing Facility (continued)

- The system uses "first-message" semantics
 - The first message sent to a process is stored until it has been received
 - Subsequent attempts to send to the process fail

How To Use First-Message Semantics

- The idea: wait for one of several events to occur
- Example events
 - I/O completes
 - A user presses a key
 - Data arrives over a network
 - A hardware indicator signals a low battery
- To use message passing facility to wait for the first event
 - Create a process for each event
 - When the process detects its event, have it send a message

How To Use First-Message Semantics (continued)

• The idiom a receiver uses to identify the first event that occurs

```
recvclr(); /* prepare to receive a message */
... /* allow other processes to send messages */
msg = receive();
```

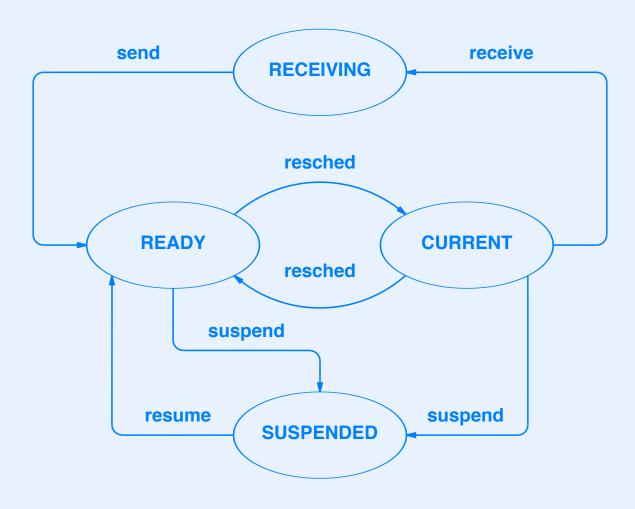
- The above code returns first message that is sent, even if a higher priority process attempts to send later
- The receiver will block until a message arrives

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A Process State For Message Reception

- While receiving a message, a process is not
 - Executing
 - Ready
 - Suspended
- Therefore, a new state is needed for message passing
- The state is named *RECEIVING*
- The state is entered when *receive* called
- The code uses constant *PR_RECV* to denote a *receiving* state

State Transitions With Message Passing



The Steps Taken To Receive A Message

- The current process calls *receive* which checks its own process table entry
- If no message has arrived, *receive* blocks the calling process to wait until a message to arrive
- Once this step has been reached, a message is present
- Receive extracts a copy of the message from the process table entry and resets the process table entry to indicate that no message is present
- Receive returns the message to its caller

Blocking To Wait For A Message

- We have seen how a process suspends itself
- Blocking to receive a message is almost the same
 - Find the current process's entry in the process table, *proctab[currpid]*
 - Set the state in the process table entry to PR_RECV, indicating that the process will be receiving
 - Call resched

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Xinu Code For Message Reception

```
/* receive.c - receive */
#include <xinu.h>
* receive - Wait for a message and return the message to the caller
* /
umsg32 receive(void)
     /* Message to return
     umsq32 msq;
     mask = disable();
     prptr = &proctab[currpid];
     if (prptr->prhasmsg == FALSE) {
           prptr->prstate = PR RECV;
           resched(); /* Block until message arrives */
     prptr->prhasmsg = FALSE;  /* Reset message flag
     restore(mask);
     return msg;
```

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Message Transmission

- To send a message, a process calls *send* specifying a destination process and a message to send to the process
- The code
 - Checks arguments
 - Returns an error if the process already has a message waiting
 - Deposits the message
 - Makes the process ready if it is in the receiving state
- Note: the code also handles a receive-with-timeout state, but we will consider that state later

Xinu Code For Message Transmission (Part 1)

```
/* send.c - send */
#include <xinu.h>
* send - Pass a message to a process and start recipient if waiting
*/
syscall send(
       pid32 pid, /* ID of recipient process
                           /* Contents of message
       umsg32 msg
      mask = disable();
      if (isbadpid(pid)) {
            restore(mask);
            return SYSERR;
      prptr = &proctab[pid];
      if ((prptr->prstate == PR FREE) | prptr->prhasmsg) {
            restore(mask);
            return SYSERR;
```

Xinu Code For Message Transmission (Part 2)

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Xinu Code For Clearing Messages

```
/* recvclr.c - recvclr */
#include <xinu.h>
* recvclr - Clear incoming message, and return message if one waiting
* /
umsg32 recvclr(void)
      /* Message to return
      umsq32 msq;
      mask = disable();
      prptr = &proctab[currpid];
      if (prptr->prhasmsg == TRUE) {
             msg = prptr->prmsg;  /* Retrieve message
             prptr->prhasmsg = FALSE;/* Reset message flag
      } else {
             msq = OK;
      restore(mask);
      return msq;
```

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Summary Of Message Passing

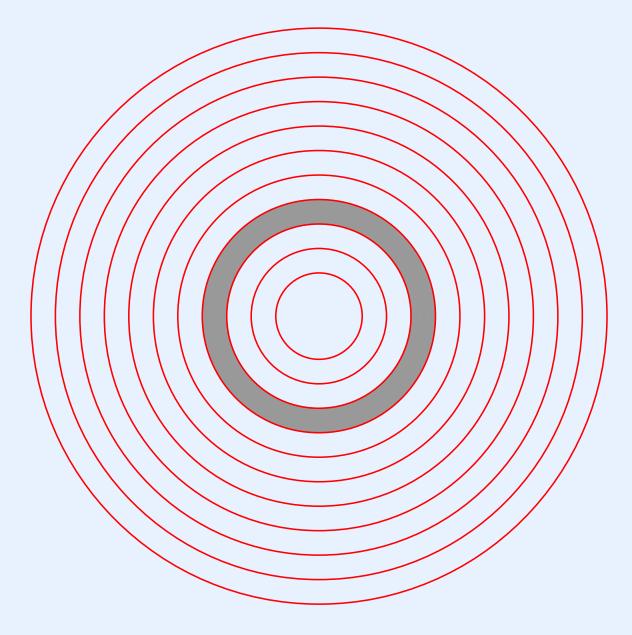
- Message passing offers an inter-process communication system
- The interface can be synchronous or asynchronous
- A synchronous interface is the easiest to use
- Xinu uses synchronous reception and asynchronous transmission
- An asynchronous operation allows a process to clear any existing message without blocking
- The Xinu message passing system only allows one outstanding message per process, and uses first-message semantics



Module IV

Process Management: Coordination And Synchronization

Location Of Process Coordination In The Hierarchy



Coordination Of Processes

- Is necessary in a concurrent system
- Avoids conflicts when multiple processes access shared items
- Allows a set of processes to cooperate
- Can also be used when
 - A process waits for I/O
 - A process waits for another process
- An example of cooperation among processes: UNIX pipes

Two Approaches To Process Coordination

- Use a hardware mechanism
 - Most useful/important on multiprocessor hardware
 - Often relies on busy waiting
- Use an operating system mechanism
 - Works well with single processor hardware
 - Does not entail unnecessary execution

Note: we will mention hardware quickly, and focus on operating system mechanisms

Two Key Situations That Process Coordination Mechanisms Handle

- Producer / consumer interaction
- Mutual exclusion

Producer-Consumer Synchronization

- Typical scenario: a FIFO buffer shared by multiple processes
 - Processes that deposit items into the buffer are called producers
 - Processes that extract items from the buffer are called consumers
- The programmer must guarantee
 - When the buffer is full, a producer must block until space is available
 - When the buffer is empty, a consumer must block until an item has been deposited
- A given process may act as a consumer for one buffer and a producer for another
- Example: a Unix pipeline

cat employees | grep Name: | sort

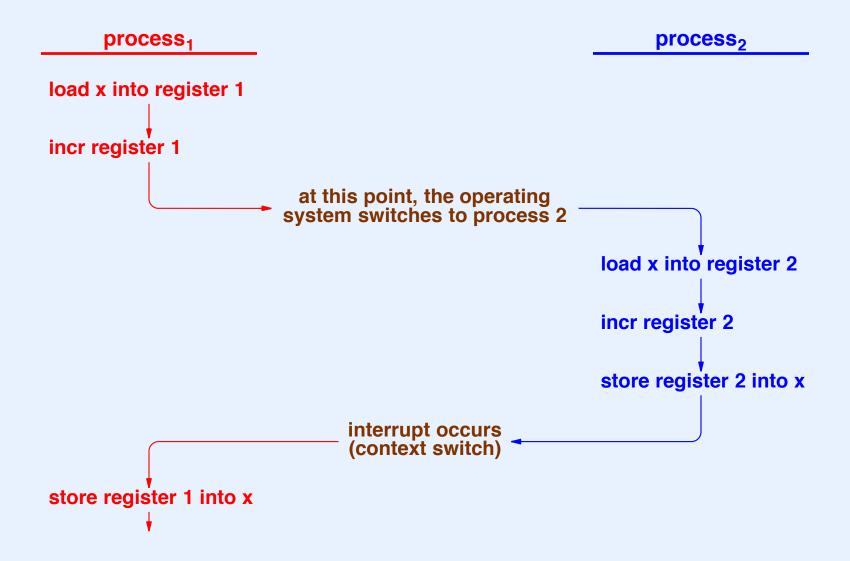
Mutual Exclusion

- In a concurrent system, multiple processes may attempt to access shared data items
- If one process starts to change a data item and then a context switch allows another process to run and access the data item, the results can be incorrect
- We use the term *atomic* to refer to an operation that is indivisible (i.e., the hardware performs the operation in a single instruction that cannot be interrupted)
- Programmers must take steps to ensure that when a sequence of non-atomic operations is used to change a data item, the sequence is not executed concurrently
- Even trivial operations can be non-atomic!

The Classic Example Of A Concurrent Access Problem

- Consider an integer, x
- To increment x, a programmer writes x++
- On most hardware architectures, three instructions are required
 - Load variable x into a register
 - Add 1 to the register
 - Store the register into variable x
- An operating system can switch from one process to another between any two instructions
- Surprising consequence: if two processes attempt to increment a shared integer concurrently, errors can result

Illustration Of What Can Happen When Two Processes Attempt To Increment Integer x Concurrently



To Prevent Problems

- A programmer must ensure that only one process accesses a shared item at any time
- General approach
 - Once a process obtains access, make all other processes wait
 - When a process finishes accessing the item, grant access to one of the waiting processes
- Three techniques are available
 - Hardware spin lock instructions
 - Hardware mechanisms that disable and restore interrupts
 - Semaphores (implemented in software)

Handling Mutual Exclusion With Spin Locks

- Used in multicore CPUs; does *not* work for a single processor
- An atomic hardware operation allows a core to test a memory location and change it
- The hardware guarantees that only one core will be allowed to make the change
- It is called a *spin lock* mechanism because a core uses *busy waiting* to gain access
- Busy waiting literally means the core executes a loop that tests the spin lock repeatedly until access is granted
- The approach is also known as *test-and-set*

Handling Mutual Exclusion With Semaphores

- A programmer must allocate a semaphore for each item to be protected
- The semaphore acts as a *mutual exclusion* semaphore, and is known colloquially as a *mutex* semaphore
- All applications must be programmed to use the mutex semaphore before accessing the shared item
- The operating system guarantees that only one process can access the shared item at a given time
- The implementation avoids busy waiting

Definition Of Critical Section

- Each piece of shared data must be protected from concurrent access
- A programmer inserts mutex operations
 - Before access to the shared item
 - After access to the shared item
- The protected code is known as a *critical section*
- Mutex operations must be placed in each function that accesses the shared item

Mutual Exclusion Inside An Operating System

- Several possible approaches have been used
- Examples: allow only one process at a time to
 - Run operating system code
 - Run a given function
 - Access a given operating system component
- Allowing more processes to execute concurrently increases performance
- The general principle is: to maximize performance, choose the smallest possible granularity for mutual exclusion

Low-Level Mutual Exclusion

- Mutual exclusion is needed in two places
 - In application processes
 - Inside operating system
- On a single-processor system, mutual exclusion can be guaranteed provided that no context switching occurs
- A context switch can only occur when
 - A device interrupts
 - A process calls resched
- Low-level mutual exclusion technique: turn off interrupts and avoid rescheduling

Interrupt Mask

- A hardware mechanism that controls interrupts
- Implemented by an internal machine register, and may be part of processor status word
- On some hardware, a zero value means interrupts can occur; on other hardware, a non-zero value means interrupts can occur
- The OS can
 - Examine the current interrupt mask (find out whether interrupts are enabled)
 - Set the interrupt mask to prevent interrupts
 - Clear the interrupt mask to allow interrupts

Masking Interrupts

• Important principle:

No operating system function should contain code to explicitly enable interrupts.

- Technique used: a given function
 - Saves current interrupt status
 - Disables interrupts
 - Proceeds through a critical section
 - Restores the interrupt status from the saved copy
- Key insight: save/restore allows arbitrary call nesting

Why Interrupt Masking Is Insufficient

- It works! But...
- Stopping interrupts penalizes *all* processes when one process executes a critical section
 - It stops all I/O activity
 - It restricts execution to one process for the entire system
- Disabling interrupts can interfere with the scheduling invariant (e.g., a low-priority process can block a high-priority process for which I/O has completed)
- Disabling interrupts does not provide a policy that controls which process can access a critical section at a given time

High-Level Mutual Exclusion

- The idea is to create an operating system facility with the following properties
 - Permit applications to define multiple, independent critical sections
 - Allow processes to access each critical section independent of other sections
 - Provide an access policy that specifies how waiting processes gain access (e.g., FIFO)
- Good news: a single mechanism, the *counting semaphore*, suffices

Counting Semaphore

- An operating system abstraction
- An instance can be created dynamically
- Each instance is given a unique name
 - Typically an integer
 - Known as a semaphore ID
- An instance consists of a 2-tuple (count, set)
 - Count is an integer
 - Set is a set of processes that are waiting on the semaphore

Operations On Semaphores

- *Create* a new semaphore
- *Delete* an existing semaphore
- Wait on an existing semaphore
 - Decrements the count
 - Adds the calling process to set of waiting processes if the resulting count is negative
- Signal an existing semaphore
 - Increments the count
 - Makes a process ready if any are waiting

Xinu Semaphore Functions

semid = semcreate(initial_count) Creates a semaphore and returns an ID

semdelete(semid) Deletes the specified semaphore

wait(semid) Waits on the specified semaphore

signal(semid) signals the specified semaphore

Key Uses Of Counting Semaphores

- Semaphores have many potential uses
- However, using semaphores to solve complex coordination problems can be intellectually challenging
- We will consider two straightforward ways to use semaphores
 - Cooperative mutual exclusion
 - Producer-consumer synchronization (direct synchronization)

Cooperative Mutual Exclusion With Semaphores

- A set of processes use a semaphore to guard a shared item
- Initialize: create a mutex semaphore

```
sid = semcreate(1);
```

• Use: bracket each critical section in the code with calls to wait and signal

```
wait(sid);
...critical section to use the shared item...
signal(sid);
```

- All processes must agree to use semaphores (hence the term *cooperative*)
- Only one process will access the critical section at any time (others will be blocked)

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A Potential Problem: Deadlock

- Consider two processes that use semaphores to protect two data items, x and y
- The two semaphores are created, and then the two processes run

• The processes take the following steps

```
/* Process 1 */
...
wait(sidx);
start to modify x
wait(sidy);
modify y
signal(sidy);
finish modifying x
signal(sidx);
```

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A Potential Problem: Deadlock

- Consider two processes that use semaphores to protect two data items, x and y
- The two semaphores are created, and then the two processes run

• The processes take the following steps

```
/* Process 2 */
...
wait(sidy);
start to modify y
wait(sidx);
modify x
signal(sidx);
finish modifying y
signal(sidy);
```

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A Potential Problem: Deadlock

- Consider two processes that use semaphores to protect two data items, x and y
- The two semaphores are created, and then the two processes run

• The processes take the following steps

```
/* Process 1 */
                                            /* Process 2 */
wait(sidx);
                                            wait(sidy);
start to modify x
                                            start to modify y
wait(sidy);
                                            wait(sidx);
modify y
                                            modify x
                                            signal(sidx);
signal(sidy);
finish modifying x
                                            finish modifying y
signal(sidx);
                                            signal(sidy);
```

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Producer-Consumer Synchronization With Semaphores

- Two semaphores suffice to control processes accessing a shared buffer
- Initialize: create producer and consumer semaphores

```
psem = semcreate(buffer-size);
csem = semcreate(0);
```

• The producer algorithm

```
repeat forever {
    generate an item to be added to the buffer;
    wait(psem);
    fill_next_buffer_slot;
    signal(csem);
}
```

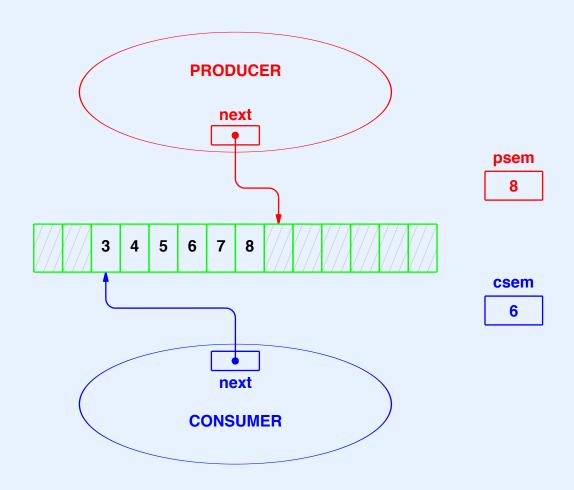
Producer-Consumer Synchronization With Semaphores (continued)

• The consumer algorithm

```
repeat forever {
     wait(csem);
     extract_from_buffer_slot;
     handle the item;
     signal(psem);
}
```

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An Interpretation Of Producer-Consumer Semaphores



- csem counts the items currently in the buffer
- psem counts the unused slots in the buffer

• Establishes a relationship between the semaphore concept and its implementation

- Establishes a relationship between the semaphore concept and its implementation
- Makes the code easy to create and understand

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- Must be re-established after each semaphore operation

- Establishes a relationship between the semaphore concept and its implementation
- Makes the code easy to create and understand
- Must be re-established after each semaphore operation
- Is surprisingly elegant:

A nonnegative semaphore count means that the set of processes is empty. A count of negative *N* means that the set contains *N* waiting processes.

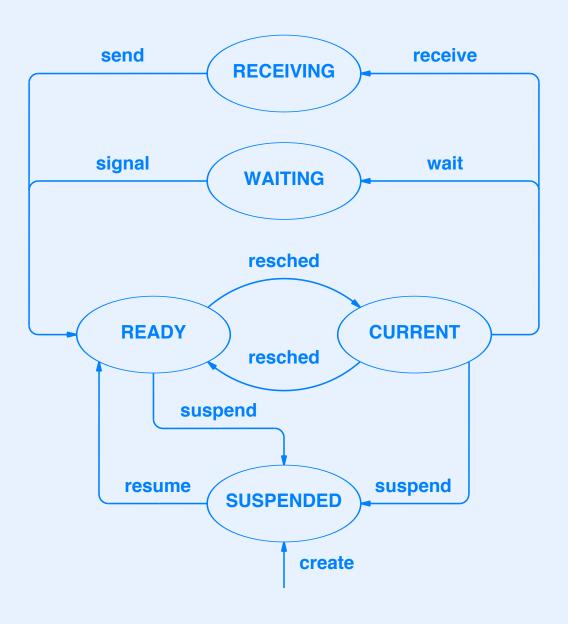
Counting Semaphores In Xinu

- Are stored in an array of semaphore entries
- Each entry
 - Corresponds to one instance (one semaphore)
 - Contains an integer count and pointer to a list of processes
- The ID of a semaphore is its index in the array
- The policy for management of waiting processes is FIFO

A Process State Used With Semaphores

- When a process is waiting on a semaphore, the process is not
 - Executing
 - Ready
 - Suspended
 - Receiving
- Note: the suspended state is only used by *suspend* and *resume*
- Therefore a new state is needed
- We will use the WAITING state for a process blocked by a semaphore

State Transitions With Waiting State



Semaphore Definitions

```
/* semaphore.h - isbadsem */
#ifndef NSEM
#define NSEM
                   120
                            /* Number of semaphores, if not defined */
#endif
/* Semaphore state definitions */
#define S FREE 0
                            /* Semaphore table entry is available
                                                                   * /
#define S USED 1
                 /* Semaphore table entry is in use
                                                                   * /
/* Semaphore table entry */
struct
       sentry {
       byte
                          /* Whether entry is S FREE or S USED
              sstate;
       int32 scount; /* Count for the semaphore
                                                                   */
       gid16 squeue;
                             /* Queue of processes that are waiting
                                    on the semaphore
};
extern struct sentry semtab[];
#define isbadsem(s) ((int32)(s) < 0 \mid | (s) >= NSEM)
```

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Implementation Of Wait (Part 1)

```
/* wait.c - wait */
#include <xinu.h>
 * wait - Cause current process to wait on a semaphore
*/
syscall wait(
                                  /* Semaphore on which to wait */
         sid32
              sem
{
                               /* Saved interrupt mask */
       intmask mask;
       struct procent *prptr; /* Ptr to process' table entry */
                                /* Ptr to sempahore table entry */
       struct sentry *semptr;
       mask = disable();
       if (isbadsem(sem)) {
              restore(mask);
              return SYSERR;
       semptr = &semtab[sem];
       if (semptr->sstate == S FREE) {
              restore(mask);
              return SYSERR;
```

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Implementation Of Wait (Part 2)

- Moving a process to the waiting state only requires a few lines of code
 - Set the state of the current process to PR_WAIT
 - Record the ID of the semaphore on which the process is waiting in field prsem
 - Call resched

The Semaphore Queuing Policy

- Determines which process to select among those that are waiting
- Is only used when *signal* is called and processes are waiting
- Examples of possible policies
 - First-Come-First-Served (FCFS or FIFO)
 - Process priority
 - Random

Semaphore Policy Consequences

Semaphore Policy Consequences

- The goal is "fairness"
- Which semaphore queuing policy implements the goal the best?
- In other words, how should we interpret fairness?

Semaphore Policy Consequences

- The goal is "fairness"
- Which semaphore queuing policy implements the goal the best?
- In other words, how should we interpret fairness?
- The semaphore policy can interact with scheduling policy
 - Should a low-priority process be allowed to access a resource if a high-priority process is also waiting?
 - Should a low-priority process be blocked forever if high-priority processes use a resource?

Choosing A Semaphore Queueing Policy

- The choice is difficult
- There is no single best answer
 - Fairness not easy to define
 - Scheduling and coordination interact in subtle ways
 - The choice may affect other OS policies
- The interactions of heuristic policies may produce unexpected results

The Semaphore Queuing Policy In Xinu

- First-come-first-serve
- Has several advantages
 - Is straightforward to implement
 - Is extremely efficient
 - Works well for traditional uses of semaphores
 - Guarantees all contending processes will obtain access
- Has an interesting consequence: a low-priority process can access a resource while a high-priority process remains blocked

Implementation Of A FIFO Semaphore Policy

- Each semaphore uses a list to manage waiting processes
- As we have seen Xinu manages the list of processes as a queue
 - Wait enqueues a process at one end of the queue
 - Signal chooses a process at the other end of the queue
- The code for signal follows

Implementation Of Signal (Part 1)

```
/* signal.c - signal */
#include <xinu.h>
 * signal - Signal a semaphore, releasing a process if one is waiting
*/
syscall signal(
              sem /* ID of semaphore to signal */
        sid32
{
       intmask mask; /* Saved interrupt mask
       struct sentry *semptr; /* Ptr to sempahore table entry */
       mask = disable();
       if (isbadsem(sem)) {
              restore(mask);
              return SYSERR;
       semptr= &semtab[sem];
       if (semptr->sstate == S FREE) {
              restore(mask);
              return SYSERR;
```

Implementation Of Signal (Part 2)

• Notice how little code is required to signal a semaphore

Possible Semaphore Allocation Strategies

- Static
 - All semaphores are defined at compile time
 - The approach is more efficient, but less powerful
- Dynamic
 - Semaphores are created at runtime
 - The approach is more flexible
- Xinu supports dynamic allocation, but preallocates the data structure to achieve efficiency

Xinu Semcreate (Part 1)

```
/* semcreate.c - semcreate, newsem */
#include <xinu.h>
local sid32 newsem(void);
  semcreate - Create a new semaphore and return the ID to the caller
* /
sid32
      semcreate(
               count /* Initial semaphore count
        int32
                                                            * /
                              /* Saved interrupt mask
      intmask mask;
      sid32 sem;
                                /* Semaphore ID to return
      mask = disable();
      if (count < 0 | ((sem=newsem())==SYSERR)) {
             restore(mask);
             return SYSERR;
      * /
      restore(mask);
      return sem;
```

Xinu Semcreate (Part 2)

```
newsem - Allocate an unused semaphore and return its index
* /
       sid32 newsem(void)
local
       static sid32 nextsem = 0; /* Next semaphore index to try */
                                    /* Semaphore ID to return
       sid32
               sem;
       int32 i;
                                     /* Iterate through # entries
       for (i=0; i<NSEM; i++) {
               sem = nextsem++;
               if (nextsem >= NSEM)
                      nextsem = 0;
               if (semtab[sem].sstate == S FREE) {
                      semtab[sem].sstate = S USED;
                      return sem;
       return SYSERR;
```

Semaphore Deletion

- Wrinkle: one or more processes may be waiting when a semaphore is deleted
- We must choose how to dispose of each waiting process
- The Xinu disposition policy: if a process is waiting on a semaphore when the semaphore is deleted, the process becomes ready

Xinu Semdelete (Part 1)

```
/* semdelete.c - semdelete */
#include <xinu.h>
 * semdelete - Delete a semaphore by releasing its table entry
*/
syscall semdelete(
                                    /* ID of semaphore to delete
         sid32
                       sem
                                   /* Saved interrupt mask
       intmask mask;
       struct sentry *semptr;
                                     /* Ptr to semaphore table entry */
       mask = disable();
       if (isbadsem(sem)) {
               restore(mask);
               return SYSERR;
       semptr = &semtab[sem];
       if (semptr->sstate == S FREE) {
               restore(mask);
               return SYSERR;
       semptr->sstate = S FREE;
```

Xinu Semdelete (Part 2)

- Deferred rescheduling allows all waiting processes to be made ready before any of them to run
- Before it ends deferred rescheduling, semdelete ensures the semaphore data structure is ready for other processes to use

Do you understand semaphores?

Summary

- Process synchronization is used in two ways
 - As a service supplied to applications
 - As an internal facility used inside the OS itself
- Low-level mutual exclusion
 - Masks hardware interrupts
 - Avoids rescheduling
 - Is insufficient for all coordination needs

Summary (continued)

- High-level process coordination is
 - Used by subsets of processes
 - Available inside and outside the OS
 - Implemented with counting semaphore
- Counting semaphore
 - A powerful abstraction implemented in software
 - Provides mutual exclusion and producer/consumer synchronization

