

FIT2100 Laboratory #4 Process Scheduling and Threads, Week 8 - Semeseter 2 2024

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- David A. Curry (1996). UNIX Systems Programming for SVR4, O'Reilly.
- W. Richard Stevens and Stephen A. Rago (2013). Advanced Programming in the Unix Environment (Third Edition), Addison-Wesley.

CONTENTS 2

Contents

1	Bac	kground 4							
2	Pre-	-Labora	atory Reading	4					
	2.1	Workir	ng with Processes	4					
	2.2	Creatii	ng Processes in C	5					
	2.3	Loadin	ng and Executing New Programs	6					
	2.4	Waitin	g for Process Termination	9					
	2.5	Job Co	ontrol in Unix/Linux	10					
	2.6	Unders	standing Threads	12					
		2.6.1	Pthreads	13					
		2.6.2	Are Threads Efficient?	13					
		2.6.3	Examples using Threads	14					
		2.6.4	Creating and Destroying Threads	15					
	2.7	Thread	d Synchronisation	16					
		2.7.1	More on Threads	16					
		2.7.2	"Waiting" for Threads	17					
		2.7.3	Joinable and Detached Threads	18					
		2.7.4	Thread Termination	19					
3	۸۵۵	محدما ا	_aboratory Tasks	20					
.	ASS			20					
	3.1	Task 1	. (40%)	20					
	3.2	Task 2	2 (30%)	20					

CONTENTS																	
3.3	Task 3 (30%)													 			 21
3.4	Wrapping Up													 			 22

1 Background 4

1 Background

In this Laboratory, we will learn about how processes can be created and managed in Unix/Linux using system calls in C. We will also discuss how processes (or jobs) are managed within the command-line shell itself.

Before attending the Laboratory, you should:

- Complete your pre-class readings (Section 2)
- Attempt the Laboratory tasks in Section 3

2 Pre-Laboratory Reading

2.1 Working with Processes

A process can be regarded as an instance of a program that is currently loaded into the memory and being executed. It is possible for multiple instances of the same program to be running at the same time within different processes.

In the Unix/Linux environment, the execution state of each process, with a program running within it, and a lot of other state information are all managed in one of the OS data structures called the *process table*.

Each process has a unique process identifier (process ID or simply PID) which is a non-negative integer, usually ranging from 0 to about 32,000. The process ID is actually used as an index on the process table to obtain the context and other information associated with a particular process.

The process ID of a process can be obtained through a system call with the getpid() function defined in the unistd.h (Unix standard) library. The special return data type for this function (pid t), is actually just an integer, defined to hold a suitable range of values for process IDs.

Function prototype for the getpid function:

```
#include <unistd.h>
#include <sys/types.h> /* pid_t is defined in sys/types.h */

pid_t getpid(void);
```

Process Table Some of the information that the OS stores about each process in the process table includes:

Variable	Description
PID	a unique process ID
PPID	the PID of the parent process
UID	the user ID of the owner of the process
TTY	the terminal ID associated with the process
	(if it is running in a console mode)
STAT	the status of the process

The Unix command ps (process status) presents the current state of the process table. To view a list containing all the state information about all the processes currently running on your computer system, use the Unix command ps with the options -e and -f:

```
₁ $ ps —e —f
```

2.2 Creating Processes in C

The system call routine — fork() — provided in the unistd.h library can be used to create (or *spawn*) a new process from an existing process in Unix/Linux. The new process created as the result of the invocation of fork(), starts out as a copy of the parent process.

Function prototype for the fork system call:

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

pid_t fork(void); // Does not take any arguments
```

After executing a fork(), how can we distinguish the parent process from the child process?

Interestingly, fork() is invoked once but returns twice — once in the parent process, and once in the newly-created child process. In the parent process, fork() returns the process ID (PID) of the child process. In the child process, however, fork() returns 0. By checking the return value of fork(), we can then determine whether execution is continued in the parent process or the child process.

The reason for returning the child's process ID to the parent is that a parent process can indeed spawn many child processes, and there is no function available to retrieve the process IDs of its children.

The reason for returning 0 from fork() to the child is that each process can only have one parent, and the child process can always obtain its parent's process ID by invoking the getppid() function.

Function prototype for the getppid function call:

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

pid_t getppid(void);
```

(Note: If fork() returns the value of -1 to the parent process, this indicates that the child process could not be created.)

Parent and Child Processes

After a fork(), the parent and child processes have a nearly identical state:

- the child's environment variables are inherited copies of the parent's;
- the child's program code is exactly the same as the parent's;
- the child has its own copy of the same file descriptors (stdin, stdio, stderr) as the parent; however, sharing the same file offset for each descriptor.

There are some differences between the child process and its parent, where:

- the parent and child processes do not share the same memory space (they have their own copies of global variables);
- the child process is issued with its own process ID (PID);
- the child process's PPID should be the same as the parent's PID.

The parent process and the child process are managed separately as far as the OS kernel is concerned.

2.3 Loading and Executing New Programs

Having two copies of the same program in main memory might not be entirely useful.

Often times, we would want the newly created process (i.e. the child process) to load up and execute a different program. This can be accomplished by using one of the several functions from the exec() family.

Function prototypes for the exec family of functions:

The main difference in all these different forms of the exec() function, is that the first four functions take a *pathname* argument, and the last two take a *filename* argument. If the *filename* argument specified with a *slash*, it is considered as a pathname for the executable file (or program). Otherwise, the executable file (or program) is searched for in the directories listed in the PATH environment variable; and the first such file encountered is then executed.

Note: Environment variables are not C variables. They are special string variables maintained by the OS itself. They normally exist before a new process starts, and are inherited from the parent process. If you are interested to see to the current value of PATH defined in your system, use the following Unix command.

```
$ echo $PATH
```

Arguments: One other key difference among these functions is about the passing of the argument list. The functions — execl, execle, and execlp — require each of the command-line arguments to the new program to be passed on as separate arguments.

Note that the end of the argument list is indicated by a NULL pointer. If this NULL pointer is specified by a constant value of 0, it should be cast into a char pointer (char *). For the other three exec() functions, they accept the command-line arguments as an array of char pointers (char *argv[]).

By convention, the argument list (argv) should have at least one element — it is essentially the name of the process as displayed by the ps command. The argv[0] is usually given as the pathname of the executable file (or program) itself, or the last component of the pathname.

Environment Strings: Another difference that should be noted is the functions execle and execve allow us to pass on an array of pointers to the environment strings as an argument, which are to be assigned to the environment variables for the new process. For other exec() functions that do not accept this additional argument, the new process will inherit the parent process's environment strings.

(**Note**: If your system supports functions such as setenv and putenv, the environment variables associated with a process can be changed but with some restriction.)

Here is an example of how the exec() family of functions can be used. Suppose that we want the new process to run the Unix command "1s -alR", this can be accomplished by writing the following C code:

```
/* exec-ls-alr.c */
  #include <unistd.h>
  #include <sys/types.h>
  int main() {
    pid t pid;
    char *params[] = \{ "/bin/ls", "-alR", 0 \};
    if ((pid = fork()) < 0) {
                                      /* create a new process */
10
       perror("fork error");
11
       exit (1);
12
    } else if (pid \Longrightarrow 0) {
                                      /* in the child process */
13
       execv("/bin/ls", params);
14
                                      /* in the parent process */
    } else {
15
       sleep (10);
16
17
18
    exit(0);
19
```

How, actually, does a command shell work? By now, you should be able to figure out how the command shells (such as bash) work. So long as the user does not exit or logout, the command shell does the following:

- 1. Display the prompt (i.e. "\$")
- 2. Read the command line from the keyboard
- 3. Establish that the first "word" in the command line represents an executable program
- 4. If fork() returns 0, run "execv(program, arguments)"
- 5. Otherwise, wait for the child to finish

2.4 Waiting for Process Termination

The last step in the command shell algorithm is indeed to wait for the child process to terminate and to collect its termination status.

In the above example, we were just assuming that by putting the parent to sleep for 10 seconds, this would be sufficient for the child process to complete its execution. A more robust way to do this is to *block* the operation of the parent process until the child process terminates.

The wait() and waitpid() functions from the <sys/wait.h> library are two of the system calls in C that can be invoked to achieve this. With these functions, we can determine the PID of the child process that has terminated and its status information can be retrieved. Further, we are also able to display useful error messages if a child process did not terminate cleanly.

Function prototypes for the wait and waitpid functions:

```
#include <unistd.h>
#include <sys/types.h>
#include <sys/wait.h>

pid_t wait(int *status);
pid_t waitpid(pid_t pid, int *status, int options);
```

Some differences between these two functions are that:

- wait() can block the calling process (the parent process) until a child process terminates; however waitpid() has an option that prevents it from being blocked.
- waitpid() does not wait for the child that terminates first; it has a number of options that control which child process it waits for.

Note that waitpid() provides greater control over waiting for processes, in which the pid argument is assigned with different control values:

Value	Meaning
pid == -1	Wait for any child process
pid > 0	Wait for the child whose process ID is equal to pid
pid == 0	Wait for any child process in the same process group
pid < -1	Wait for any child process whose process group ID is
	equal to the absolute value of pid

Termination Status The termination status of a child process is stored in the memory location pointed by the status argument. If the calling process (i.e the parent process) does not care about the child's termination status and is only interested in waiting for the child to terminate, the status argument can be given as a NULL pointer.

There is a set of macros (symbolic constants) defined in sys/wait.h that can be used to decode the various types of termination status returned by the wait() and waitpid() functions. Some of the macros are summarised below:

Macro	Description
WIFEXITED	Evaluate to True if status was returned for a child that
	terminated normally.
WIFSIGNALED	Evaluate to True if status was returned for a child that
	terminated abnormally due to an uncaught signal.
WIFSTOPPED	Evaluate to True if status was returned for a child that
	is currently stopped.
WIFCONTINUED	Evaluate to True if status was returned for a child that
	has been continued from a stopped state.

Zombie Processes After a process has terminated, the operating system keeps track of its status information (in the process table) in case the parent process issues the wait() call. If the parent process never does a wait(), the information of the child process is not cleared out. The child process is regarded as a "zombie" — i.e. hanging around and occupying an entry in the process table.

Remark: The use of fork() and the exec() functions under Unix/Linux is not the same as *multithreading*. To use threads, check out the pthreads library.

2.5 Job Control in Unix/Linux

Now, let's look at how processes (or jobs) are managed in the Unix's command shell itself.

By default, a Unix shell (e.g. the bash shell) will spawn a child process to run your command and will then wait for that child to terminate before returning to input (i.e. to read in the next command). You can in fact tell the shell not to wait for the child to terminate. To do this, simply putting an ampersand ("&") at the end of the command line (as shown below).

```
$ ps -ef &
```

(**Note**: By ending the command line with "&", you should expect to see the shell prompt is displayed before the ps output — bash does not wait for ps to complete its execution.)

Stopping Programs You can attempt to stop the running programs by doing the following:

- Press Ctrl-Z to make a process stop temporarily
- Press Ctrl-C to terminate a process permanently

Backgrounded and Foregrounded Processes If you stopped a program with Ctrl-Z, you can make it run in the background by using the bg command. You can then check this by running the top command, which shows the processes in the system that are currently taking up the most system resources.

(**Note**: You can also move the backgrounded processes back to the foreground with the fg command.)

How do we find out the processes running in the background? By running the jobs command, a list of all the backgrounded jobs that the current bash session is managing will be displayed. Note that jobs is not a program, but is built into bash.

Terminating Processes As we may have seen, processes can react to certain keystrokes (such as Ctrl-C or Ctrl-Z). However, sometimes we might want to stop or terminate a process without foregrounding it or pressing Ctrl-C. The solution is to use the kill command.

To terminate a process, we first have to find out the process ID (PID) or the job ID of the process you want to kill. This can be done by using the ps or jobs command. Then, use the kill command with either the process ID or the job ID.

```
$ kill — level PID
$ kill — level %jobID
```

The level option indicates the signal you want to send to the target process that you are attempting to kill. For example, this command kills the process with PID 42: kill -9 42.

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Signal	Name
1	SIGHUP (hang up)
2	SIGINT (interrupt, Ctrl-C)
3	SIGQUIT (quit)
4	SIGILL (illegal instruction)
5	SIGTRAP (trace trap, used in gdb)
8	SIGFPE (floating point exception, e.g. divide by zero)
9	SIGKILL (signal cannot be caught or ignored)
11	SIGSEGV (segmentation fault)
18	SIGCONT (continue if stopped, e.g. using fg)
20	SIGSTP (terminal stop, Ctrl-Z)

Note that the OS kernel sometimes sends signals to processes. This is indeed how various different kinds of program crashes are implemented — such as segmentation faults and divide-by-zero errors. In fact, pressing Ctrl-C sends an interrupt signal to the target process; while pressing Ctrl-Z sends a terminal stop signal.

Try looking up the man pages for the following Unix commands yourself:

```
ps
top
jobs
uptime
pgrep
pkill
```

Try identifying special processes yourself:

When a new program is executed, a new process is created with the next available process ID. However, there are a few special processes that always have the same process ID, which are usually given the ID value less than 5 — these are called *system processes*. Can you identify which of the two system processes have the process ID of 0 and 1 respectively?

2.6 Understanding Threads

Technically, a *thread* is defined as an independent stream of instructions that can be scheduled to run as such by the operating system.

A thread is a semi-process that has its own stack, and executes a given piece of code. Unlike a real process, the thread normally shares its memory with other threads (where as for processes we usually have a different memory area for each one of them).

A thread group is a set of threads all executing inside the same process (see Figure 1). They all share the same memory, and thus can access the same global variables, the same heap memory, the same set of file descriptors, etc. All these threads execute in *parallel* (i.e. using time slices, or if the system has several processors, then really in parallel).

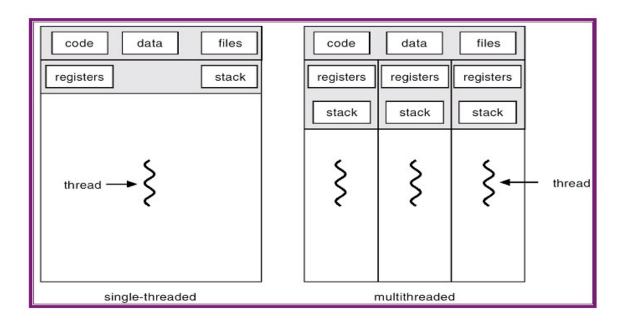


Figure 1: Single-Threaded and Multi-Threaded Programs (Processes)

2.6.1 Pthreads

Historically, hardware vendors have implemented their own proprietary versions of threads. These implementations differed substantially from each other, making it difficult for programmers to develop portable threaded applications.

In order to take full advantage of the capabilities provided by threads, a standardised programming interface was required. For Unix/Linux systems, this interface has been specified by the IEEE POSIX 1003.1c standard (1995). Implementations that adhere to this standard are referred to as POSIX threads, or *Pthreads*. Most hardware vendors now offer Pthreads in addition to their proprietary threads.

2.6.2 Are Threads Efficient?

If implemented correctly, threads have some advantages over processes. Compared to the standard fork(), threads carry a lot less overhead.

Remember that fork() produces a second copy of the calling process. The parent and the child are completely independent, each with its own address space, with its own copies of its variables, which are completely independent of the same variables in the other process.

Threads share a common address space, thereby avoiding a lot of the inefficiencies of multiple processes.

- The kernel does not need to make a new independent copy of the process memory space, file descriptors, etc. This saves a lot of CPU time, making thread creation ten to a hundred times faster than a new process creation. Because of this, you can use a whole bunch of threads and not worry about the CPU and memory overhead incurred. This means you can generally create threads whenever it makes sense in your program.
- Less time to terminate a thread than a process.
- Context switching between threads is much faster than context switching between processes. (Context switching means that the system switches from running one thread or process, to running another thread or process).
- Less communication overheads communicating between the threads of one process
 is simple because the threads share the address space. Data produced by one thread is
 immediately available to all the other threads.

On the other hand, because threads in a group all use the same memory space, if one of them corrupts the contents of its memory, other threads might suffer as well. With processes, the operating system normally protects processes from one another, and thus if one corrupts its own memory space, other processes will not suffer.

2.6.3 Examples using Threads

Example 1: A responsive user interface

One area in which threads can be very helpful is in *user interface* programs. These programs are usually centred around a loop of reading user input, processing it, and showing the results of the processing. The processing part may sometimes take a while to complete, and the user is made to wait during this operation. By placing such long operations in a separate thread, while having another thread to read user input, the program can be more responsive. It may allow the user to cancel the operation in the middle.

Example 2: A Web server

The Web server needs to handle several download requests over a short period. Hence, it is more efficient to create (and destroy) a single thread for each request. Multiple threads can possibly be executing simultaneously on different processors.

Example 3: A graphical interface

In graphical programs, the problem is more severe since the application should always be ready for a message from the windowing system telling it to repaint part of its window. If it is too busy executing some other tasks, its window will not respond to the user, leading the user to think the program has crashed. In such a case, it is a good idea to have one thread handle the message loop of the windowing system and always ready to get such requests (as well as user input). Whenever this thread sees a need to do an operation that might take a long time to complete (say, more than 0.2 seconds in the worst case), it will delegate the job to a separate thread.

2.6.4 Creating and Destroying Threads

When a *multi-threaded* program starts executing, it has one thread running, which executes the main() function of the program. This is already a full-fledged thread, with its own thread ID.

Download the code for the thread.c program. While the program itself does not do anything useful, it will help you understand how threads work. Let us take a step-by-step look at what the program does:

- In main() we declare a variable called thread_id, which is of type pthread_t. This is basically an integer used to identify the thread in the system. After declaring thread_id, we call the pthread_create() function to create a real, living thread.
- The pthread_create() function gets four arguments. The first argument is a pointer to thread_id, used by pthread_create() to supply the program with the thread's identifier. The second argument is used to set some attributes for the new thread. In our case we supplied a NULL pointer to tell pthread_create() to use the default values.

Notice that print_hello() accepts a void* as an argument and also returns a void* as a return value. This shows us that it is possible to use a void* to pass an arbitrary piece of data to our new thread, and that our new thread can return an arbitrary piece of data when it finishes.

How do we pass our thread an arbitrary argument? We use the fourth argument in the pthread_create() call to pass a pointer to the data we intend to provide to our thread. If we do not want to pass any data to the new thread, we can set the fourth argument to NULL. The pthread_create() returns zero on success and a non-zero value on failure.

- After pthread_create() successfully returns, the program will consist of two threads.
 This is because the main program is also a thread and it executes the code in the main()
 function in parallel to the thread it creates. Think of it this way: if you write a program
 that does not use POSIX threads at all, the program will be single-threaded (this single
 thread is called the "main" thread).
- The call to pthread_exit() causes the current thread to exit and free any thread specific resources it is taking.

In order to compile a multi-threaded program using gcc, we need to link it with the pthreads library. Assuming you have this library already installed on your system, here is how to compile our first program:

```
$ gcc thread.c —o thread —lpthread
```

Compile the source code and run the thread executable. The output should be similar to:

```
Created new thread (208316031)...
Hello from new thread — got 11
```

2.7 Thread Synchronisation

2.7.1 More on Threads

A process as described in the lectures is sometimes called a *heavyweight* process. It contrasts with a thread (or *lightweight* process).

Threads are distinguished from traditional processes in that processes are typically independent, carry considerable state information, and have separate memory address spaces. Multiple threads within a same process, on the other hand, typically share some state information of the process, and share memory and other resources directly.

As mentioned in Section 2.6.2, context switching between threads in the same process is typically faster than context switching between processes.

As an example, when 40 users are logged on to the same Unix server and are running the same text editor such as vi, we have 40 threads. In this example, the 40 threads are at least sharing the memory space, which stores the code of the vi editor (which is a system program), but each thread has its own data section (i.e. each user is editing his/her own text document).

Every process must have at least one 'thread of control' or it will not do anything. You can create more than one 'thread of control' in one process by invoking the pthread_create() function as seen in Section 2.6.4.

Try exploring thread synchronisation yourself:

Download the code for the thread_sync.c program. This program creates two threads by calling the pthread_create(), and the two threads will run concurrently.

The main() just creates two threads of execution and then waits for them to terminate. The functions pthread1() and pthread2() (for the two threads) are actually of the same code. In this simple example, we just use several nested for loops to take up time on the CPU. You could certainly modify the two functions so that the two threads do some more useful work.

Compile this program using the following command line:

```
$ gcc thread_sync.c —o thread_sync —lpthread
```

Run the thread program for 20 times, each time observing the behaviour. Since the threads execute concurrently, you should see both threads start to run immediately (they will both print their start-up messages at the same time). You may find, over a number of runs, that on some occasions Thread 1 terminates first, and on other occasions Thread 2 terminates first, depending on which thread happens to get the CPU first.

2.7.2 "Waiting" for Threads

The pthread_join() function for threads is the equivalent of the wait() for processes. A call to pthread_join() blocks the calling thread until the thread with the identifier equal to the first argument terminates. The first argument to the pthread_join() is the identifier of the thread to join. The second argument is a void pointer.

Function prototype for the pthread join() function:

```
#include <pthread.h>
int pthread_join(pthread_t tid, void* return_value);
```

If the return_value pointer is non-NULL, the pthread_join() will place at the memory location pointed to by the return_value, the value passed by the thread tid through the pthread_exit() call.

If we do not care about the return value of the main thread, we will set it to NULL.

2.7.3 Joinable and Detached Threads

At any point in time, a thread is either *joinable* or *detached*. (The default state is joinable.)

Joinable threads: Must be reaped or killed by other threads (using the pthread_join() function) in order to free memory resources.

Detached threads: Cannot be reaped or killed by other threads, and resources are automatically reaped on termination.

As a thread is joinable by default, we can make a thread detached by calling the pthread_detach() function and specifying the *thread ID* to it. A detached thread cannot be made joinable again.

Function prototype for the pthread detach() function:

```
#include <pthread.h>
int pthread_detach(pthread_t thread);
```

A thread can get its own *thread ID* by calling the pthread_self() function, which returns the thread id of type pthread_t:

```
pthread_t tid;
tid = pthread_self();
```

Unless threads need to synchronise among themselves, it is better to call the following instead of the pthread join():

```
pthread_detach(pthread_self());
```

Try exploring joinable and detached threads yourself:

Download the code for the thread_join.c program. Compile and run it. Is the output what you expected? Why, or why not?

2.7.4 Thread Termination

There are several ways for threads to terminate. One way to safely terminate a thread is to call the pthread_exit() function, which is the equivalent of exit() for processes.

(**Note**: It is not necessary to use the pthread_exit() at the end of the main program. Otherwise, when it exits, all running threads will be killed.)

Try terminating threads yourself:

First create a copy of the thread.c program you have previously downloaded in (Section 2.6.4) and name the copy as thread2.c. Modify the thread2.c program as follows.

In the print_hello() function, add a line before the printf call with sleep(1);. This should be the first line of the function. In the main() function, comment out the last statement line, which contains the pthread_exit() call. Recompile and run the thread2 executable. Can you explain what happens? Document your explanation.

Now, put the pthread_exit() call back in the main program, but remove it from the print_hello() function. Also add the sleep call to the main() function, just before the second printf call, and remove it from the print_hello function. Recompile and run the thread2 executable. Again, can you come up with an explanation of what happens? Likewise, document your explanation. No need to submit with your submission

3 Assessed Laboratory Tasks

3.1 Task 1 (40%)

Write a C program that creates (or spawns) a child process to execute the Unix command "date" with a format string as the command-line argument; while the program itself (the parent process) will execute another Unix command "cat" with a filename as the command-line argument.

If you are not sure how the date and cat commands are meant to behave, experiment with them by running them directly from the command line first.

Instructions:

- The child process should execute the date command to display the current date and time in the specified format.
- The parent process should execute the cat command to display the contents of the given file.
- If you are not sure how the date and cat commands are meant to behave, experiment with them by running them directly from the command line first.

3.2 Task 2 (30%)

Begin by downloading the scheduling.c file from Moodle. You will find this file in the downloads folder provided with the lab materials.

Instructions:

- 1. First, compile the scheduling.c file.
- 2. Execute the program, specifying 4 when prompted for the number of child processes. Carefully observe and record the process IDs displayed in order.
- 3. Run the program once more, this time also, specify 4 for the number of child processes. Again, observe and jot down the process IDs.
- 4. Re-run the program, entering 10 as the number of child processes to create. Record the process IDs.
- 5. For a final time, run the program with 10 child processes. Note the process IDs.

Analysis:

Based on your observations, did the processes complete in the same order they were initiated? Elaborate on your findings and provide an explanation for the behavior you witnessed. Save your answers as a .txt file.

3.3 Task 3 (30%)

In this task, you will write a C program that sums the elements of an array in parallel using multiple threads. The array will be divided into equal-sized chunks, and each thread will be responsible for summing the elements in one chunk. At the end, the main thread will combine the partial sums computed by each thread to get the final sum.

Download Sum. c file from Moodle and complete the following:

Requirements:

- ullet Your program should take two command-line arguments: the size of the array N and the number of threads T. The array size N should be evenly divisible by the number of threads T.
- \bullet Initialize an array of size N with random integers.
- ullet Create T threads, and assign each thread a unique chunk of the array to sum. For example, if N=100 and T=4, each thread would be responsible for summing 25 elements.
- ullet Each thread should compute the sum of its chunk and store the result in a shared array partial_sums of size T.
- The main thread should wait for all threads to finish, then compute the final sum by summing the elements of partial sums.
- Print the final sum.

Instructions:

• Write a function void *partial_sum(void *args) that will be executed by each thread. This function should take a pointer to a struct containing the thread's ID, a pointer to the array, the start index of its chunk, and the size of its chunk. It should compute the sum of its chunk and store the result in partial sums.

- In the main function, initialize the array with random integers, create the threads, and wait for them to finish.
- After all threads have finished, compute the final sum by summing the elements of partial_sums.
- Print the final sum.
- Free any dynamically allocated memory and destroy any pthread objects before exiting.
- Some of the work is already done in the template.
- Test your code.

3.4 Wrapping Up

Please upload all your work to the Moodle submission link, which should include your .c source files and your responses to any non-coding tasks. Please note that non-code answers should be provided in plain text files. There is no need to include the compiled executable programs. Ensure to upload all the necessary files before the conclusion of your lab class. Any delay in submitting these files to Moodle will result in a late penalty.