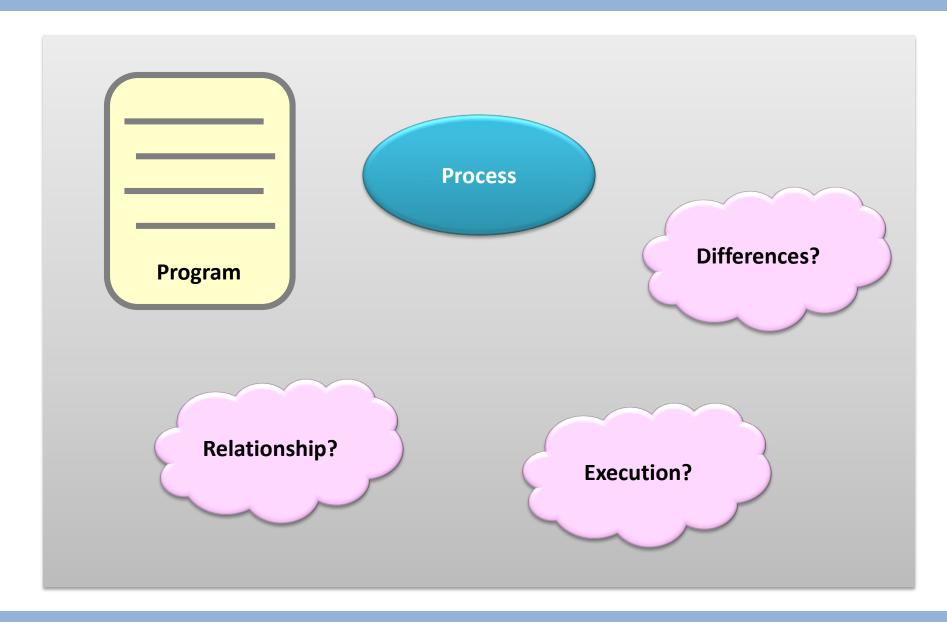
### 3150 - Operating Systems

**Dr. WONG Tsz Yeung** 

# Chapter 2, Part 1- Basic Process Management

- Don't get lost from the very beginning...

# Outline



# What is a program?

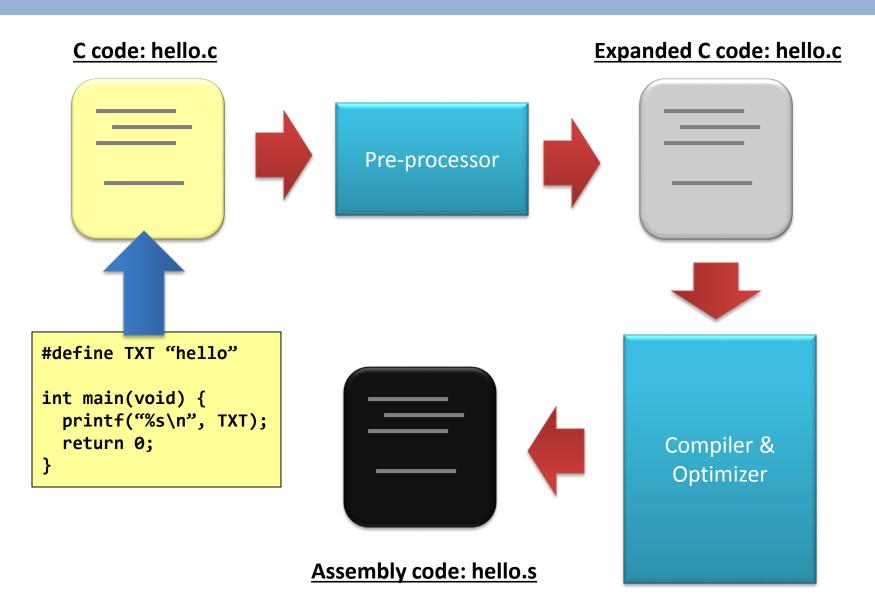


### What is a program?

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

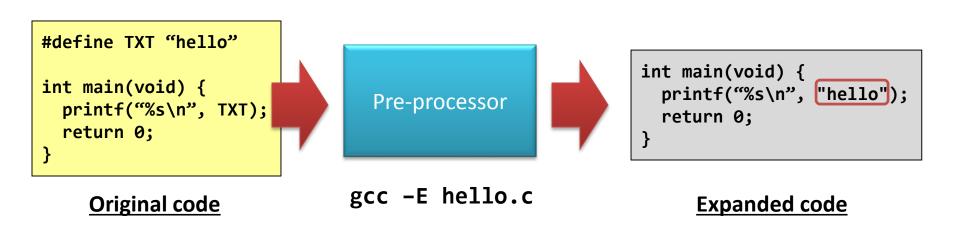
- But, which code do you mean?
  - High-level language code: C or C++?
  - Low-level language code: assembly code?
  - Not-yet an executable: object code?
  - Executable: machine code?

# Flow of building a program (1 of 2)



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

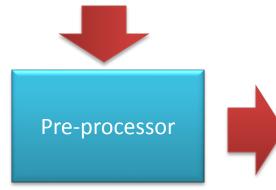
- The pre-processor expands:
  - #define, #include, #ifdef, #ifndef, #endif, etc.
  - Try: "gcc -E hello.c"



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

Another example: the macro!

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



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

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

How about: #include?

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

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

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

 For syntax-related topics, we have the courses CSCI3130 and CSCI3120 (It is the compiler course. But, no one is teaching this course for two years already).

 For assembly language: we have the courses CSCI2510 (for minor) and CSCI3420 (for major).

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

- The optimizer optimizes codes.
  - In other words: <u>it improves stupid</u> <u>codes!</u>
  - Try:

```
gcc -S add.c -O0 -o add_O0.s
gcc -S add.c -O1 -o add_O1.s
```

The number followed is the optimization level.

"-00": means no

"-0" means to optimize.

Max is level 3, i.e., "-03". Default is level is "-01".

optimization.

 Important notice: <u>Don't write</u> stupid codes because there is an optimizer!

```
int main(void) {
   int x = 1;
   x = x + 1;
   x = x + 1;
   return x;
}
```

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

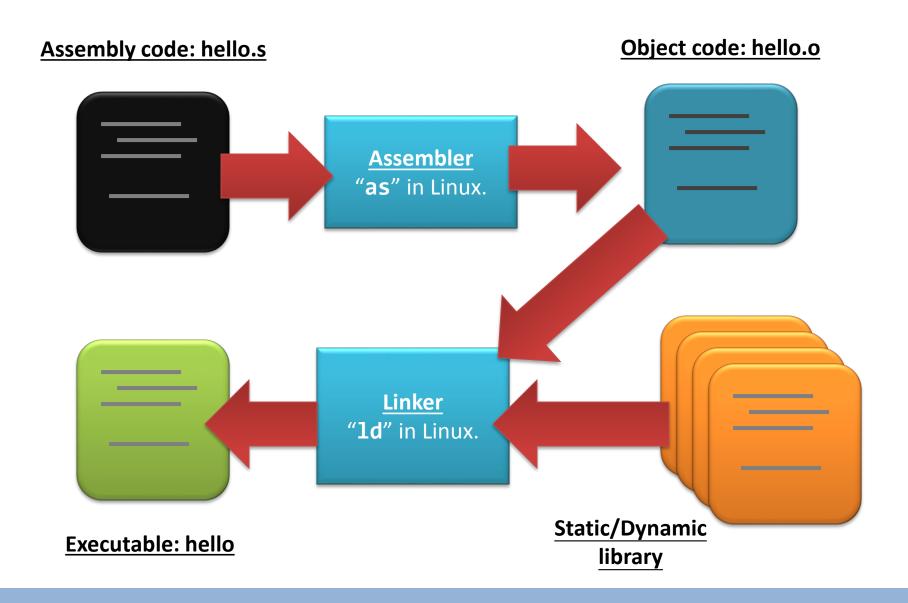


- Note on assembly codes:
  - It is actually a very good teacher, teaching you how C implements features.
  - E.g., I can decode the following program in assembly language:

```
int main(void) {
  char hello[20] = "hello world";
  printf("%s\n", hello);
}
```

- Then, we can learn how the "hello array" is initialized!
  - Out of my expectation, the compiler does not involve strcpy() nor strncpy().

## Flow of building a program (2 of 2)



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

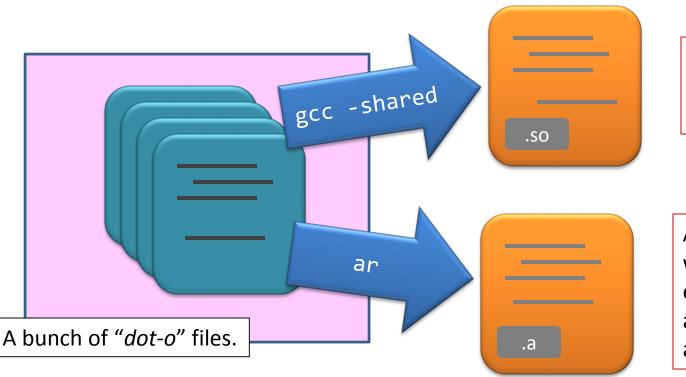
- The <u>assembler</u> assembles "**hello.s**" and generates an object code "**hello.o**".
  - A step closer to machine code.
  - Try: "as hello.s -o hello.o"

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

# Sidetrack: Library files



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

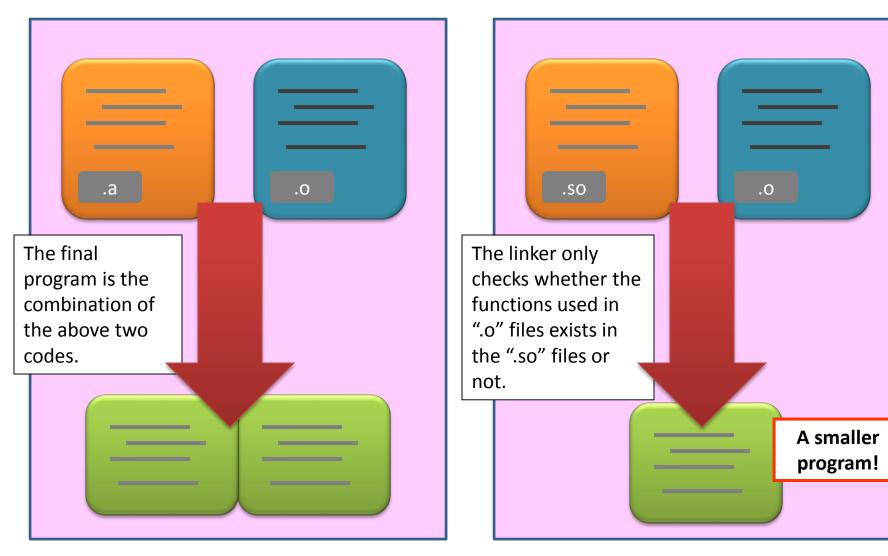


Shared library with ".so" file extension.

A static library with ".a" file extension. It is also called an archive.

### Sidetrack: Library files





Linking with static library file.

Linking with dynamic library file.

# Sidetrack: Library files



- The linker also verifies if the symbols (functions and variables) that are needed by the program are completely satisfied.
  - A compiled executable does not include any shared libraries.
  - E.g. "gcc math.c -lm" is to link libm.so.6, the math library.

- When the program runs, the OS will link the ".so" files for you.
  - Try: the command "ldd".

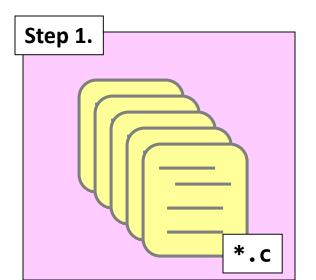
### How to compile multiple files?



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

How about working with multiple files?

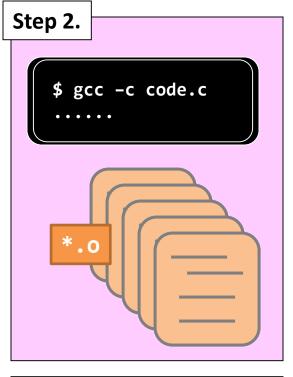
### How to compile multiple files?



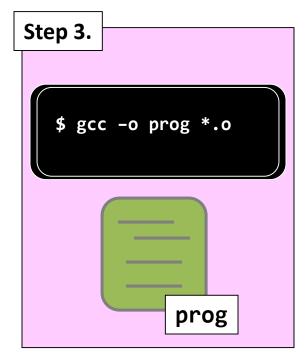
Prepare all the source files.

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

Remember, below shows one of the solution.



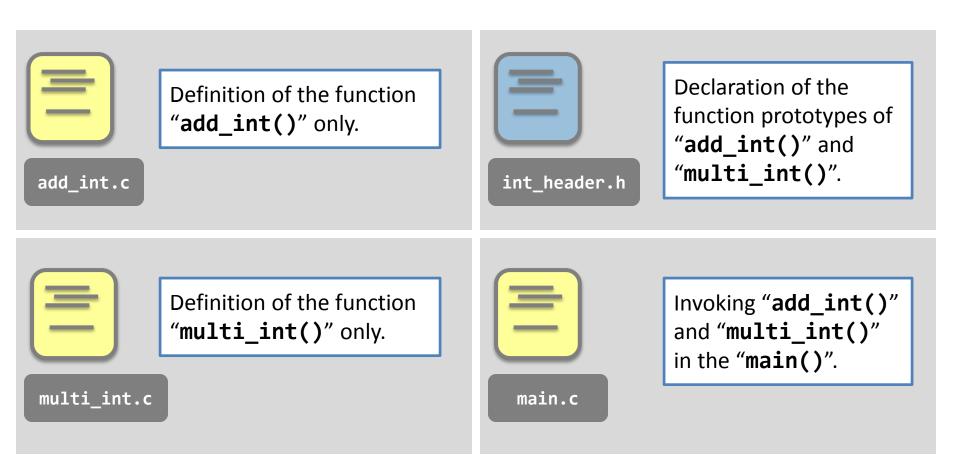
Compile them into object codes one by one.



Construct the program together with all the object codes.

# Compiling multiple files (preparation)





```
gcc -Wall -c -o main.o main.c
main.c: In function 'main':
main.c:5: warning: implicit declaration of function 'add_int'
main.c:6: warning: implicit declaration of function 'multi_int'
```

#include <stdio.h>



```
Since add_int() and multi_add() are new vocabularies to "main.c", so we have to add the prototypes to "main.c".
```

```
int main(void) {
    printf("3 + 10 = %d\n", add_int (3, 10));
    printf("3 * 10 = %d\n", multi_int(3, 10));
    return 0;
}
```

#### Use of header file



```
int add_int(int a, int b);
int multi_int(int a, int b);
int_header.h
```

Do you still remember how the preprocessor works?

```
main.c
```

```
#include "int_header.h"
#include <stdio.h>

int main(void) {
    printf("3 + 10 = %d\n", add_int (3, 10));
    printf("3 * 10 = %d\n", multi_int(3, 10));
    return 0;
}
```

#### Function declaration VS definition



```
int add_int(int a, int b);
int multi_int(int a, int b);
```

# The header file provides the declaration of a function.

It is the same as saying: "there is a function named add\_int()".

You don't have to provide the implementation in the header file.

```
int add_int(int a, int b) {
   return (a + b);
}

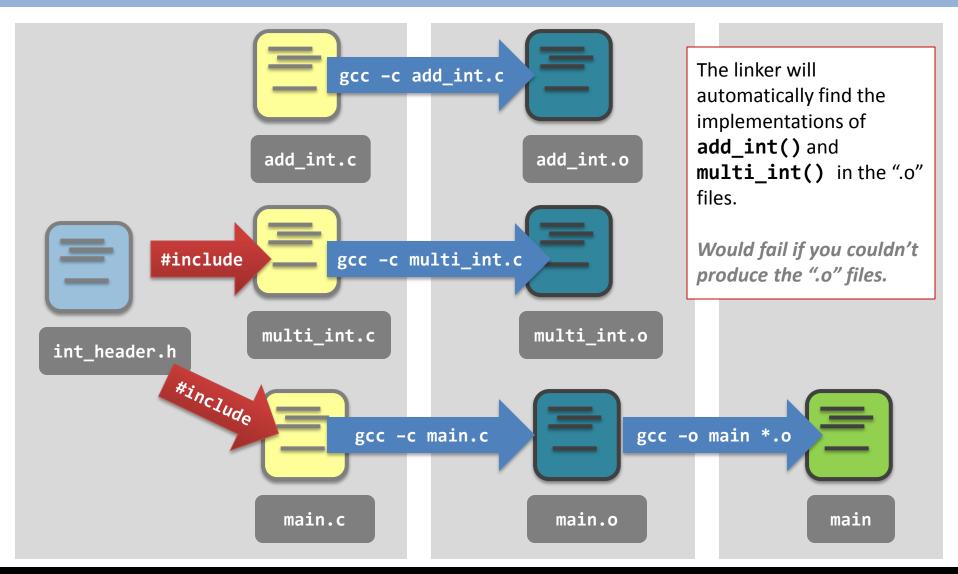
add_int.c
```

# Implementation should be provided in program files.

Of course, as we know what the preprocessor will do, the declaration of the function will be written into the program file, with "#include".

### Finishing touch





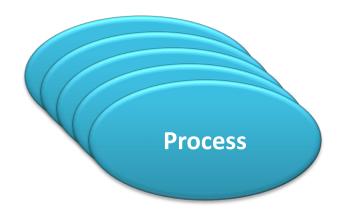
[example@3150]\$ cat extra/\*

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

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

It may be compiled from more than one files.

- process creation.



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

- You couldn't operate any things without processes.
  - So, this chapter is worth spending more than a month to cover.

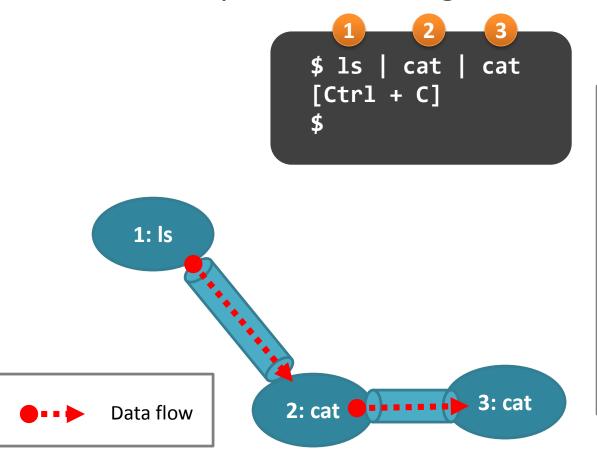
We start with some <u>basic</u> and <u>important</u> system calls.

 In order to understand the entire chapter, we will center around the following typical command:

```
$ 1s | cat | cat
[Ctrl + C]
$
```

- What is so special about this command:
  - The command involves three processes.
  - It will not stop until I send a signal to interrupt it.
  - Its progress is determined by the process scheduler.
  - The three processes cooperate and give useful output.

- What are those two "cats"!
  - 2 different processes using the same code "/bin/cat".



```
If you don't know what a cat is.

#include <stdio.h>

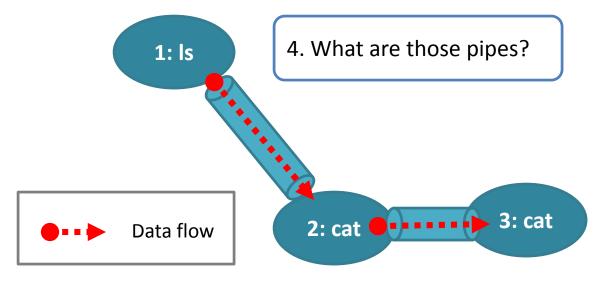
int main(void) {
  int c;
  while ( 1 ) {
    c = getchar();
    if( c == EOF )
        break;
    putchar(c);
  }
}
```

In this chapter, we will understand:

1. How to distinguish the two cats?

2. Who (and how to) create the processes?

3. Which should run first?



5. What if "**1s**" is feeding data too faster? Will the "**cat**" feels *full* and dies?!

#### **Process identification**

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

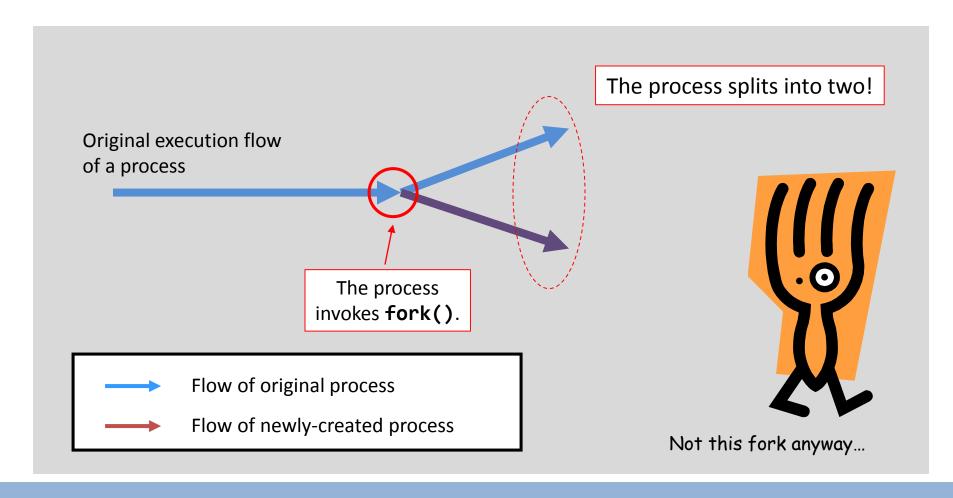
```
#include <stdio.h> // printf()
#include <unistd.h> // getpid()

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

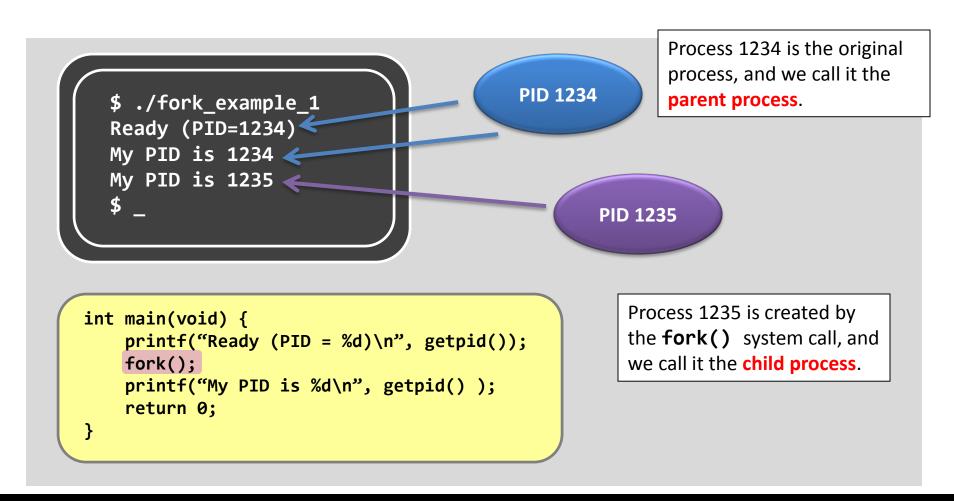
```
$ ./getpid
My PID is 1234
$ ./getpid
My PID is 1235
$ ./getpid
My PID is 1237
```

#### **Process creation**

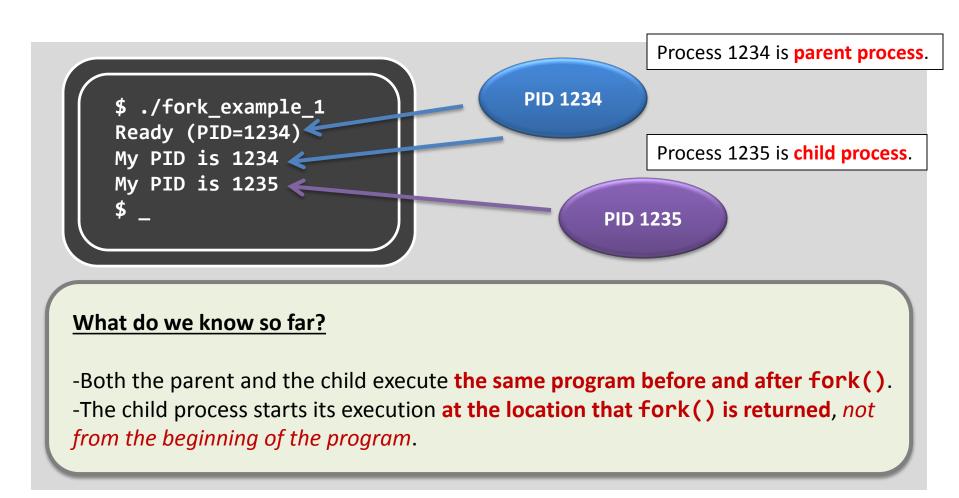
- To create a process, we use the system call fork().
  - 分叉 in Chinese.



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



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



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

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

**PID 1234** 

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

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

PID 1234

fork()

**PID 1235** 

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

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

Without loss of generality, can you imagine the case for multiple CPUs?

NOTE THIS

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

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

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

#### **Important**

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

PID 1234 (running)

PID 1235 (waiting)

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

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

PID 1234 (dead)

PID 1235 (waiting)

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

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

#### <u>Important</u>

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

PID 1234 (dead)

PID 1235 (running)

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

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

PID 1234 (dead)



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

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

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

Distinct items	Parent	Child
Return value of fork()	PID of the child process.	0
PID	Unchanged.	Different, not necessarily be "Parent PID + 1"
Parent process	Unchanged.	Doesn't have the same parent as that of the parent process.
Running time	Cumulated.	Just created, so should be 0.
[Advanced] File locks	Unchanged.	None.

## What is a process?

- process creation.
- program execution.



## fork() can only duplicate...

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

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

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

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

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

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

What is the output of running "ls" in
```

the shell.

[example@3150]\$ cat process/exec\_example.c

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

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

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

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

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

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

• execl() – a member of the exec system call family (and the family has 6 me

WHAT?!

The shell prompt appears!

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

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

The output says:

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

WHY IS THAT?!

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

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

[example@3150]\$ cat process/exec\_example.c

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

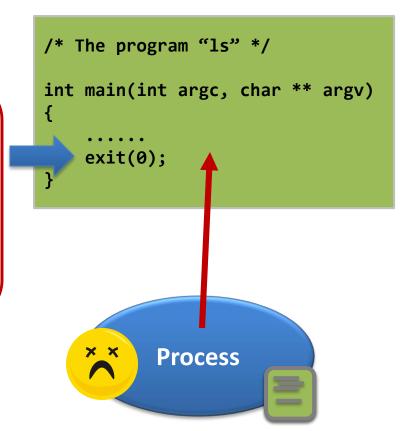
```
int main(void) {
   printf("before execl ...\n");
   printf("after execl ...\n");
   return 0;
The exect() call change the execution from
"exec_example" to "/bin/ls"
```

```
/* The program "ls" */
int main(int argc, char ** argv)
    exit(0);
           Process
```

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

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

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



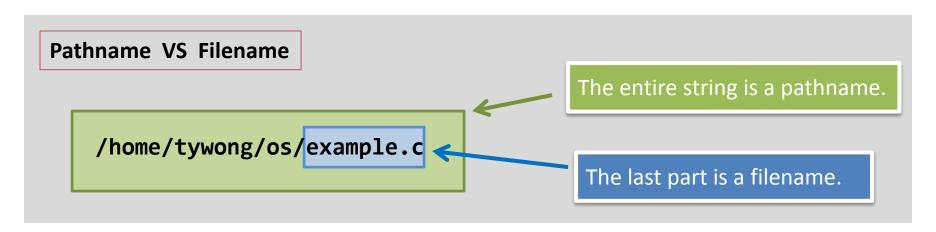
### Program execution - observation

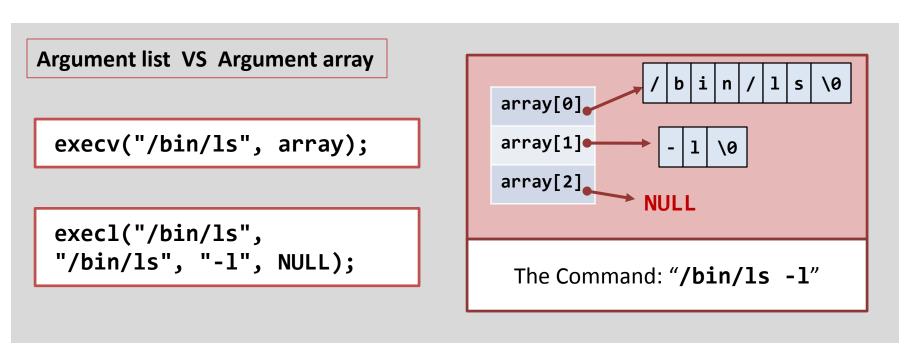
- The process is changing the code that is executing and <u>never</u> returns to the original code.
  - The last two lines of codes are therefore not executed.
- The process that calls any one of the member of the exec system call family will throw away many things, e.g.,
  - Memory: local variables,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

# exec system call family members

Member name	Using pathname	Using filename	Argument List	Argument Array	Original ENV	Provided ENV
execl()	YES		YES		YES	
execlp()		YES	YES		YES	
execle()	YES		YES			YES
execv()	YES			YES	YES	
execvp()		YES		YES	YES	
execve()	YES			YES		YES
Alphabet used in name		Р	I	V		е

## exec\*() – arguments explained





# exec\*() – arguments explained



- Environment variables
  - A set of strings maintained by the shell.

```
int main(int argc, char **argv, char **envp) {
   int i;
   for(i = 0; envp[i]; i++)
       printf("%s\n", envp[i]);
   return 0;
}
```

The "\*\*envp" variable is an array, arranged in the same manner as the argument array discussed previously.

```
$ ./envp
SHELL=/bin/bash
PATH=.....
$ _
```

# exec\*() – arguments explained

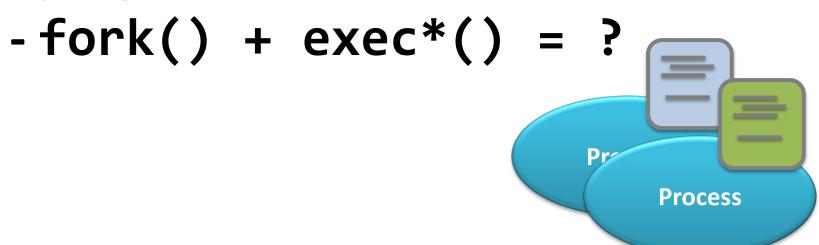


- Environment variables
  - A set of strings maintained by the shell.
  - Quite a number of programs will read and make use of the environment variable.

Variable name	Description	
SHELL	The path to the shell that you're using.	
PWD	The full path to the directory that you're currently on.	
HOME	The full path to your home directory.	
USER	Your login name.	
EDITOR	Your default text editor.	
PRINTER	Your default printer.	

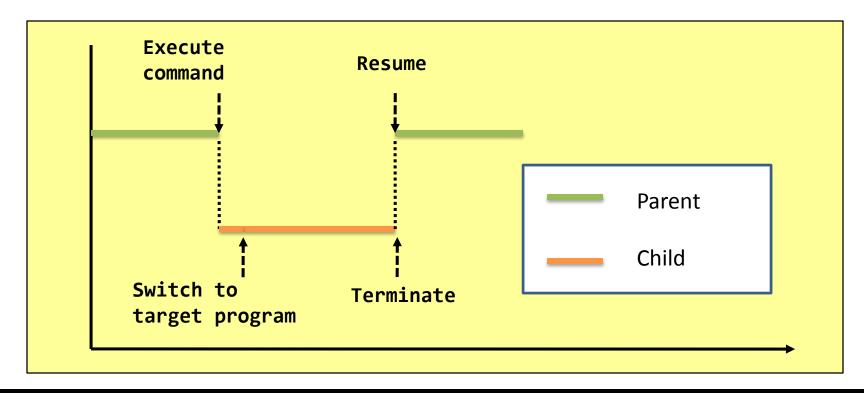
## What is a process?

- process creation.
- program execution.



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

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



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

```
int system ver 3150(const char *cmd str) {
 2
        if(cmd str == -1)
 3
            return -1;
 4
        if(fork() == 0) {
5
            execl(cmd_str, cmd_str, NULL);
            fprintf(stderr,
               "%s: command not found\n", cmd_str);
            exit(-1);
8
9
        return 0;
10
   }
11
                                                         $ ./system_implement_1
12
    int main(void) {
                                                         before...
13
        printf("before...\n\n");
14
        system_ver_3150("/bin/ls");
                                                         system_implement_1
15
        printf("\nafter...\n");
                                                         system implement 1.c
return 0;
17 }
                                                         after...
```

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

```
int system ver 3150(const char *cmd str) {
 2
        if(cmd str == -1)
 3
            return -1;
        if(fork() == 0) {
5
            execl(cmd_str, cmd_str, NULL);
            fprintf(stderr,
               "%s: command not found\n", cmd_str);
            exit(-1);
8
9
        return 0;
10
   }
11
12
    int main(void) {
13
        printf("before...\n\n");
14
        system_ver_3150("/bin/ls");
15
        printf("\nafter...\n");
return 0;
17 }
```

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

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

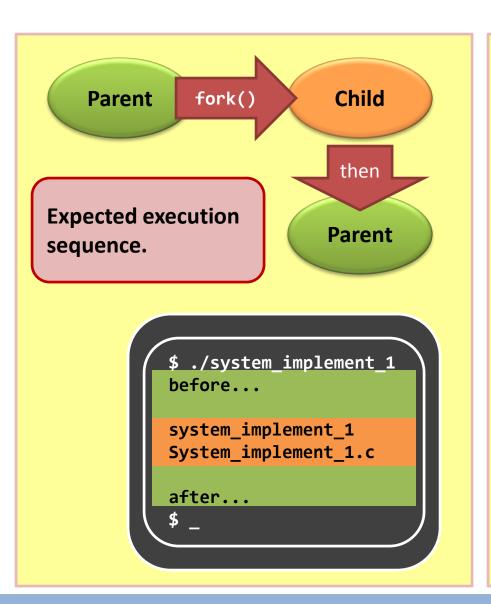
# fork() + exec\*() = system()...

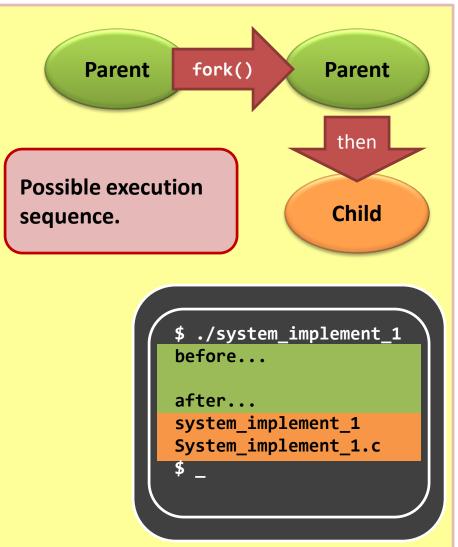


```
int system ver 3150(const char *cmd str) {
        if(cmd str == -1)
 2
                                                              Let's re-color the program!
 3
             return -1;
        if(fork() == 0) {
 4
                                                                         Parent process
 5
             execl(cmd_str, cmd_str, NULL);
             fprintf(stderr,
                                                                         Child process
                "%s: command not found\n", cmd_str);
                                                                         Both processes
             exit(-1);
 8
 9
        return 0;
10
    }
11
                                                            $ ./system_implement_1
12
    int main(void) {
                                                            before...
13
        printf("before...\n\n");
14
        system_ver_3150("/bin/ls");
                                                            after...
15
        printf("\nafter...\n");
                                                            system implement 1
16
        return 0;
                                                            system_implement_1.c
17 }
```

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







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



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

- Our problem is: how to let the child to execute first?
  - But...we can't control the process scheduling of the OS to this extent.

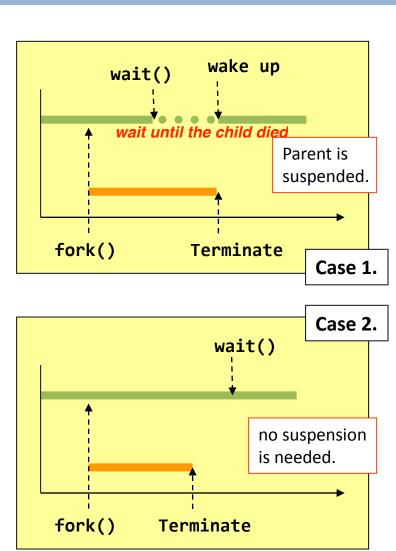
- Then, our problem becomes...
  - How to suspend the execution of the parent process?
  - How to wake the parent up after the child is terminated?

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

```
int system ver 3150(const char *cmd str) {
 2
        if(cmd str == -1)
 3
             return -1;
        if(fork() == 0) {
 4
             execl("/bin/sh", "/bin/sh",
                   "-c", cmd str, NULL);
             fprintf(stderr,
 6
                "%s: command not found\n", cmd_str);
             exit(-1);
 8
                        \kernel
        wait(NULL);
                       service.
                      system call
10
        return 0;
                                                           $ ./system_implement_2
11
    }
                                                           before...
12
13
    int main(void) {
                                                           system_implement_2
14
        printf("before...\n\n");
                                                           System implement 2.c
15
        system_ver_3150("/bin/ls");
        printf("\nafter...\n");
16
                                                           after...
17
        return 0;
18 }
```

## wait() - properties explained

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



# wait() VS waitpid()

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

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

## Reading man pages



 Man pages are of the vital importance to programmers working under Unix, Linux, MacOS, etc.

- It includes the following important information:
  - Header file(s) to be included;
  - Compiler flags to be added;
  - Input arguments;
  - Return values; and
  - Error conditions.

#### **EXTRA**

### Reading man page – example 1

```
[tywong@linux ~]$ man pow
WAIT(3)
                           Linux Programmer's Manual
                                                                        WAIT(3)
NAME
      wait, waitpid, waitid - wait for process to change state
SYNOPSIS
       #include <sys/types.h>
                                           The header file needed
      #include <sys/wait.h>
                                               when compiling.
       pid t wait(int *status);
       pid_t waitpid(pid_t pid, int *status, int options);
       int waitid(idtype_t idtype, id_t id, siginfo_t *infop, int options);
DESCRIPTION
RETURN VALUE
ERRORS
```

## Reading man page – example 2



```
[tywong@linux ~]$ man pow
                           Linux Programmer's Manual
                                                                         POW(3)
POW(3)
NAME
      pow, powf, powl - power functions
                                                      BTW, what does this
SYNOPSIS
                                                      number mean?
      #include <math.h>
      double pow(double x, double y);
      float powf(float x, float y);
      long double powl(long double x, long double y);
      Link with -lm.
DESCRIPTION
                                   This is why we need "-1m " when
                                   compiling programs with math
RETURN VALUE
                                   functions.
ERRORS
```

## Reading man page - sections



- Man pages are divided into sections, and they are defined in "man man".
  - E.g., "man printf" is the same as "man 1 printf"
    - It means the shell command "printf", not the library call "printf()".
    - "man 3 printf" is to read the manual page of library call printf().

Section	Description
1	Executable programs or shell commands.
2	System calls
3	Library calls
	•••
7	Miscellaneous (including macro packages and conventions)

### Summary

- A process is created by cloning.
  - fork() is the system call that clones processes.
  - Cloning is copying: the new process inherits many things from the parent process.
  - (But, where is the first process?)
- Program execution is not trivial.
  - A process is the place that hosts a program and run it.
  - exec system call family changes the program that a process is running.
  - A process can run more than one program...
    - as long as there is a set of programs that keeps on calling the exec system call family.