Chapter 3: Processes
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- Process Concept
- Process Scheduling
- Operations on Processes
- Interprocess Communication
- Examples of IPC Systems
- Communication in Client-Server Systems
Objectives

- To introduce the notion of a process -- a program in execution, which forms the basis of all computation
- To describe the various features of processes, including scheduling, creation and termination, and communication
- To describe communication in client-server systems
An operating system executes a variety of programs:
- Batch system – jobs
- Time-shared systems – user programs or tasks

Textbook uses the terms job and process almost interchangeably

Process – a program in execution; process execution must progress in sequential fashion

A process includes:
- program counter
- stack
- data section
Process in Memory

max

stack

heap

data

text

0
Process State

As a process executes, it changes state

- **new**: The process is being created
- **running**: Instructions are being executed
- **waiting**: The process is waiting for some event to occur
- **ready**: The process is waiting to be assigned to a processor
- **terminated**: The process has finished execution
Diagram of Process State

- **new** → admitted → **ready**
- **ready** → interrupt → **running**
- **running** → scheduler dispatch → **waiting**
- **waiting** → I/O or event completion → **ready**
- **running** → I/O or event wait → **waiting**
- **ready** → exit → **terminated**
- **terminated** → exit
Process Control Block (PCB)

Information associated with each process

- Process state
- Program counter
- CPU registers
- CPU scheduling information
- Memory-management information
- Accounting information
- I/O status information
Process Control Block (PCB)

- process state
- process number
- program counter
- registers
- memory limits
- list of open files
- ...
CPU Switch From Process to Process

- **Process** $P_0$
  - Executing
  - Save state into PCB$_0$
  - Reload state from PCB$_1$
  - Interrupt or system call
  - Idle

- **Operating System**
  - Save state into PCB$_1$
  - Reload state from PCB$_0$
  - Idle

- **Process** $P_1$
  - Executing
  - Interrupt or system call
  - Idle
Process Scheduling Queues

- **Job queue** – set of all processes in the system
- **Ready queue** – set of all processes residing in main memory, ready and waiting to execute
- **Device queues** – set of processes waiting for an I/O device
- Processes migrate among the various queues
Ready Queue And Various I/O Device Queues
Representation of Process Scheduling

- ready queue
- CPU
- I/O request
- I/O queue
- I/O
- time slice expired
- fork a child
- child executes
- wait for an interrupt
- interrupt occurs
Schedulers

- **Long-term scheduler** (or job scheduler) – selects which processes should be brought into the ready queue
- **Short-term scheduler** (or CPU scheduler) – selects which process should be executed next and allocates CPU
Addition of Medium Term Scheduling
Schedulers (Cont)

- Short-term scheduler is invoked very frequently (milliseconds) ⇒ (must be fast)
- Long-term scheduler is invoked very infrequently (seconds, minutes) ⇒ (may be slow)
- The long-term scheduler controls the degree of multiprogramming
- Processes can be described as either:
  - **I/O-bound process** – spends more time doing I/O than computations, many short CPU bursts
  - **CPU-bound process** – spends more time doing computations; few very long CPU bursts
Context Switch

- When CPU switches to another process, the system must save the state of the old process and load the saved state for the new process via a context switch
- Context of a process represented in the PCB
- Context-switch time is overhead; the system does no useful work while switching
- Time dependent on hardware support
Process Creation

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

- Address space
  - Child duplicate of parent
  - Child has a program loaded into it

- UNIX examples
  - **fork** system call creates new process
  - **exec** system call used after a **fork** to replace the process’ memory space with a new program
Process Creation

fork() → child

parent

wait

resumes

exec() → exit()
C Program Forking Separate Process

```c
int main()
{
    pid_t pid;
    /* fork another process */
    pid = fork();
    if (pid < 0) { /* error occurred */
        fprintf(stderr, "Fork Failed");
        exit(-1);
    }
    else if (pid == 0) { /* child process */
        execlp("/bin/ls", "ls", NULL);
    }
    else { /* parent process */
        /* parent will wait for the child to complete */
        wait (NULL);
        printf ("Child Complete");
        exit(0);
    }
}
```
A tree of processes on a typical Solaris
Process Termination

- Process executes last statement and asks the operating system to delete it (exit)
  - Output data from child to parent (via wait)
  - Process’ resources are deallocated by operating system
- Parent may terminate execution of children processes (abort)
  - Child has exceeded allocated resources
  - Task assigned to child is no longer required
  - If parent is exiting
    - Some operating system do not allow child to continue if its parent terminates
      - All children terminated - cascading termination
Processes within a system may be independent or cooperating. Cooperating process can affect or be affected by other processes, including sharing data. Reasons for cooperating processes:

- Information sharing
- Computation speedup
- Modularity
- Convenience

Cooperating processes need interprocess communication (IPC). Two models of IPC:

- Shared memory
- Message passing
Communications Models

(a) process A
    M

(b) process A
    shared
    process B

1
2

1
2

kernel
M

kernel
Cooperating Processes

- **Independent** process cannot affect or be affected by the execution of another process
- **Cooperating** process can affect or be affected by the execution of another process

Advantages of process cooperation

- Information sharing
- Computation speed-up
- Modularity
- Convenience
Producer-Consumer Problem

- Paradigm for cooperating processes, *producer* process produces information that is consumed by a *consumer* process
  - *unbounded-buffer* places no practical limit on the size of the buffer
  - *bounded-buffer* assumes that there is a fixed buffer size
Bounded-Buffer – Shared-Memory Solution

- Shared data
  
  ```c
  #define BUFFER_SIZE 10
  typedef struct {
    ...
  } item;

  item buffer[BUFFER_SIZE];
  int in = 0;
  int out = 0;
  ```

- Solution is correct, but can only use BUFFER_SIZE-1 elements
while (true) {
    /* Produce an item */
    while (((in = (in + 1) % BUFFER SIZE count) == out)
        ; /* do nothing -- no free buffers */
    buffer[in] = item;
    in = (in + 1) % BUFFER SIZE;
}
Bounded Buffer – Consumer

```java
while (true) {
    while (in == out) {
        // do nothing -- nothing to consume
    }
    // remove an item from the buffer
    item = buffer[out];
    out = (out + 1) % BUFFER SIZE;
    return item;
}
```
Interprocess Communication – Message Passing

- Mechanism for processes to communicate and to synchronize their actions
- Message system – processes communicate with each other without resorting to shared variables
- IPC facility provides two operations:
  - \texttt{send}(message) – message size fixed or variable
  - \texttt{receive}(message)
- If $P$ and $Q$ wish to communicate, they need to:
  - establish a \textit{communication link} between them
  - exchange messages via send/receive
- Implementation of communication link
  - physical (e.g., shared memory, hardware bus)
  - logical (e.g., logical properties)
Implementation Questions

- How are links established?
- Can a link be associated with more than two processes?
- How many links can there be between every pair of communicating processes?
- What is the capacity of a link?
- Is the size of a message that the link can accommodate fixed or variable?
- Is a link unidirectional or bi-directional?
Direct Communication

Processes must name each other explicitly:

- **send** \((P, message)\) – send a message to process \(P\)
- **receive** \((Q, message)\) – receive a message from process \(Q\)

Properties of communication link

- Links are established automatically
- A link is associated with exactly one pair of communicating processes
- Between each pair there exists exactly one link
- The link may be unidirectional, but is usually bi-directional
Indirect Communication

- Messages are directed and received from mailboxes (also referred to as ports)
  - Each mailbox has a unique id
  - Processes can communicate only if they share a mailbox

- Properties of communication link
  - Link established only if processes share a common mailbox
  - A link may be associated with many processes
  - Each pair of processes may share several communication links
  - Link may be unidirectional or bi-directional
Indirect Communication

- Operations
  - create a new mailbox
  - send and receive messages through mailbox
  - destroy a mailbox
- Primitives are defined as:
  - \texttt{send}(A, \textit{message}) – send a message to mailbox A
  - \texttt{receive}(A, \textit{message}) – receive a message from mailbox A
Indirect Communication

- Mailbox sharing
  - $P_1$, $P_2$, and $P_3$ share mailbox A
  - $P_1$, sends; $P_2$ and $P_3$ receive
  - Who gets the message?

- Solutions
  - Allow a link to be associated with at most two processes
  - Allow only one process at a time to execute a receive operation
  - Allow the system to select arbitrarily the receiver. Sender is notified who the receiver was.
Synchronization

- Message passing may be either blocking or non-blocking
- **Blocking** is considered **synchronous**
  - **Blocking send** has the sender block until the message is received
  - **Blocking receive** has the receiver block until a message is available
- **Non-blocking** is considered **asynchronous**
  - **Non-blocking send** has the sender send the message and continue
  - **Non-blocking receive** has the receiver receive a valid message or null
Buffering

- Queue of messages attached to the link; implemented in one of three ways

1. Zero capacity – 0 messages
   Sender must wait for receiver (rendezvous)

2. Bounded capacity – finite length of \( n \) messages
   Sender must wait if link full

3. Unbounded capacity – infinite length
   Sender never waits
Examples of IPC Systems - POSIX

- POSIX Shared Memory
  - Process first creates shared memory segment
    \[
    \text{segment id} = \text{shmget(IPC PRIVATE, size, S IRUSR | S IWUSR)};
    \]
  - Process wanting access to that shared memory must attach to it
    \[
    \text{shared memory} = (\text{char} *) \text{shmat(id, NULL, 0)};
    \]
  - Now the process could write to the shared memory
    \[
    \text{sprintf(shared memory, "Writing to shared memory")};
    \]
  - When done a process can detach the shared memory from its address space
    \[
    \text{shmdt(shared memory)};
    \]
Examples of IPC Systems - Mach

- Mach communication is message based
  - Even system calls are messages
  - Each task gets two mailboxes at creation- Kernel and Notify
  - Only three system calls needed for message transfer
    - `msg_send()`, `msg_receive()`, `msg_rpc()`
  - Mailboxes needed for communication, created via
    - `port_allocate()`
Examples of IPC Systems – Windows XP

- Message-passing centric via local procedure call (LPC) facility
  - Only works between processes on the same system
  - Uses ports (like mailboxes) to establish and maintain communication channels
  - Communication works as follows:
    - The client opens a handle to the subsystem’s connection port object
    - The client sends a connection request
    - The server creates two private communication ports and returns the handle to one of them to the client
    - The client and server use the corresponding port handle to send messages or callbacks and to listen for replies
Local Procedure Calls in Windows XP

Client

Connection request

Connection Port

Handle

Server

Handle

Client Communication Port

Server Communication Port

Handle

Shared Section Object (≤ 256 bytes)
Communications in Client-Server Systems

- Sockets
- Remote Procedure Calls
- Pipes
- Remote Method Invocation (Java)
Sockets

- A socket is defined as an *endpoint for communication*
- Concatenation of IP address and port
- The socket **161.25.19.8:1625** refers to port **1625** on host **161.25.19.8**
- Communication consists between a pair of sockets
Socket Communication

host X
(146.86.5.20)

socket
(146.86.5.20:1625)

web server
(161.25.19.8)

socket
(161.25.19.8:80)
Remote Procedure Calls

- Remote procedure call (RPC) abstracts procedure calls between processes on networked systems.
- **Stubs** – client-side proxy for the actual procedure on the server.
- The client-side stub locates the server and *marshalls* the parameters.
- The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server.
Execution of RPC

- User calls kernel to send RPC message to procedure X
- Kernel sends message to matchmaker to find port number
- Kernel places port P in user RPC message
- Kernel sends RPC
- Kernel receives reply, passes it to user

From: client
To: server
Port: matchmaker
Re: address for RPC X

From: server
To: client
Port: kernel
Re: RPC X
Port: P

Matchmaker receives message, looks up answer

Matchmaker replies to client with port P

Daemon listening to port P receives message

Daemon processes request and processes send output
Pipes

- Acts as a conduit allowing two processes to communicate

**Issues**

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

- **Ordinary Pipes** allow communication in standard producer-consumer style
- Producer writes to one end (the *write-end* of the pipe)
- Consumer reads from the other end (the *read-end* of the pipe)
- Ordinary pipes are therefore unidirectional
- Require parent-child relationship between communicating processes
Ordinary Pipes
Named Pipes

- Named Pipes are more powerful than ordinary pipes
- Communication is bidirectional
- No parent-child relationship is necessary between the communicating processes
- Several processes can use the named pipe for communication
- Provided on both UNIX and Windows systems
End of Chapter 3