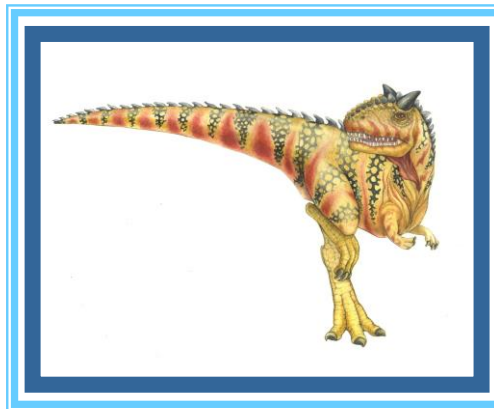# Chapter 3: Processes

Chapter 3: Processes

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

Objectives

- Identify the separate components of a process and illustrate how they are represented and scheduled in an operating system.

- Describe how processes are created and terminated in an operating system, including developing programs using the appropriate system calls that perform these operations.

- Describe and contrast interprocess communication using shared memory and message passing.

- Design programs that uses pipes and POSIX shared memory to perform interprocess communication.

- Describe client-server communication using sockets and remote procedure calls.

- Design kernel modules that interact with the Linux operating system.

Process Concept

- An operating system executes a variety of programs that run as a process.

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

- Multiple parts

    - The program code, also called **text section**

    - Current activity including **program counter**, processor registers

    - **Stack** containing temporary data

        - Function parameters, return addresses, local variables

    - **Data section** containing global variables

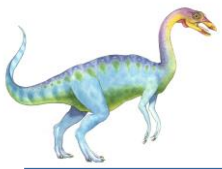   - **Heap** containing memory dynamically allocated during run time
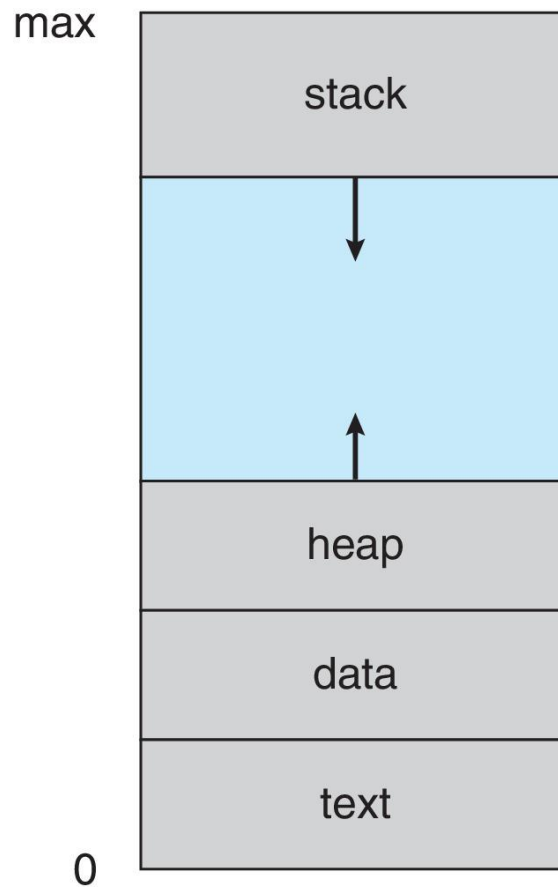
Process Concept (Cont.)

- Program is *passive* entity stored on disk (**executable file**); process is *active*

  - Program becomes process when executable file loaded into memory

- Execution of program started via GUI mouse clicks, command line entry of its name, etc

- One program can be several processes

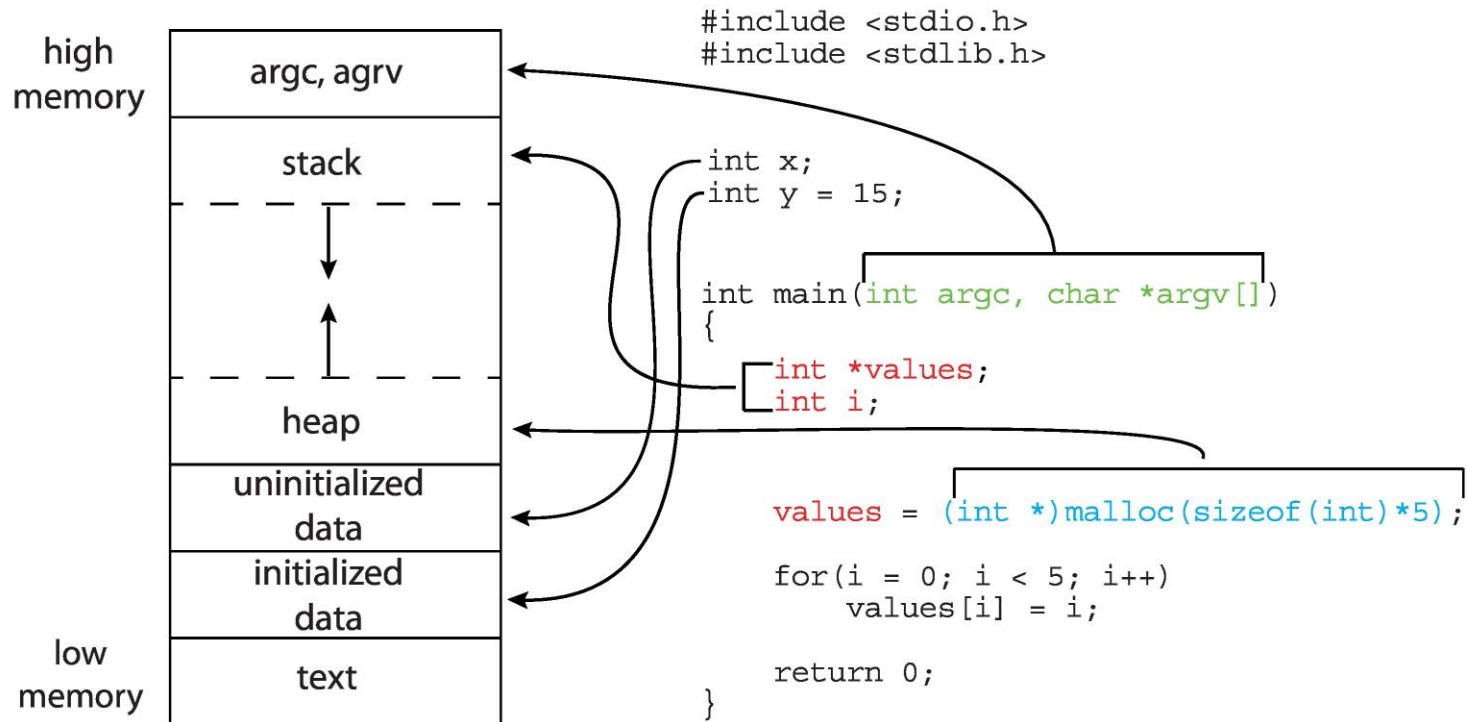 - Consider multiple users executing the same program

Process in Memory

Memory Layout of a C Program


```c
#include <stdio.h>
#include <stdlib.h>

int x;
int y = 15;

int main(int argc, char *argv[])
{
    int *values;
    int i;

    values = (int *)malloc(sizeof(int)*5);

    for(i = 0; i < 5; i++)
        values[i] = i;

    return 0;
}
```
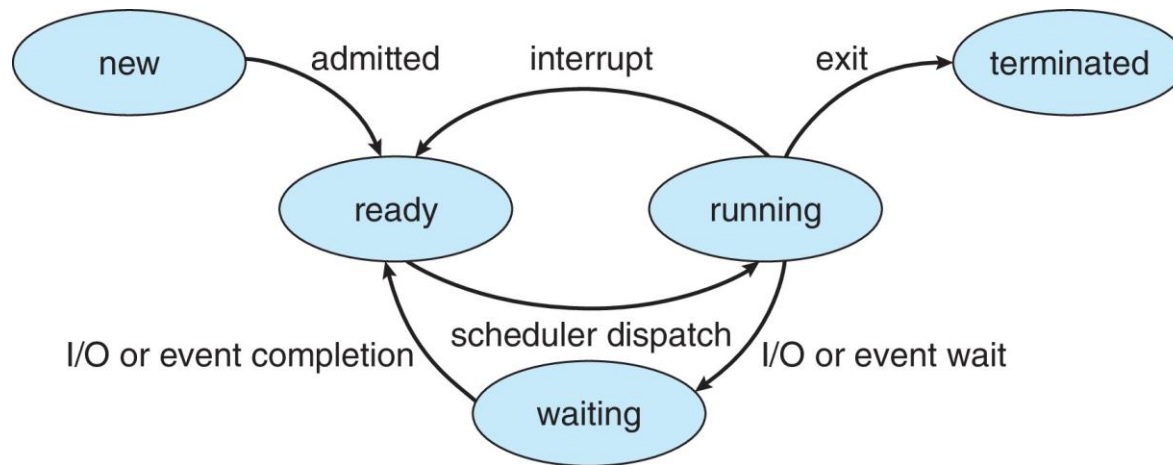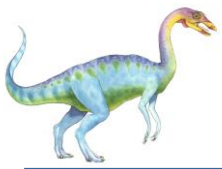
Process State

- 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

Process Control Block (PCB)

Information associated with each process

(also called **task control block**)

- Process state – running, waiting, etc

- Program counter – location of instruction to next execute

- CPU registers – contents of all process-centric registers

- CPU scheduling information- priorities, scheduling queue pointers

- Memory-management information – memory allocated to the process

- Accounting information – CPU used, clock time elapsed since start, time limits

- I/O status information – I/O devices allocated to process, list of open files

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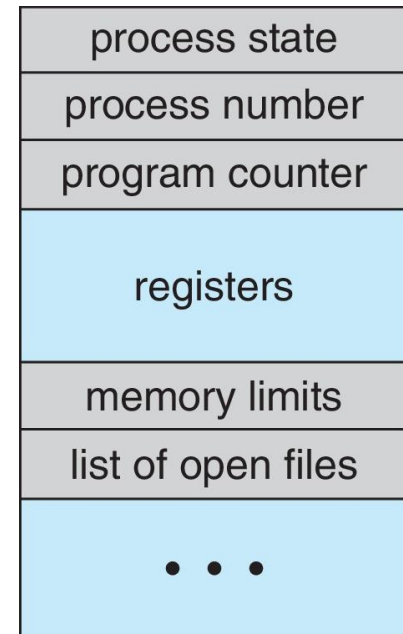
Threads

- So far, process has a single thread of execution

- Consider having multiple program counters per process
    - Multiple locations can execute at once
        - Multiple threads of control -> **threads**

- Must then have storage for thread details, multiple program counters in PCB

- Explore in detail in Chapter 4

Process Representation in Linux

Represented by the C structure `task_struct`

```
pid t_pid;                  /* process identifier */
long state;                 /* state of the process */
unsigned int time_slice     /* scheduling information */
struct task_struct *parent; /* this process's parent */
struct list_head children;  /* this process's children */
struct files_struct *files; /* list of open files */
struct mm_struct *mm;       /* address space of this process */
```


current
(currently executing proccess)
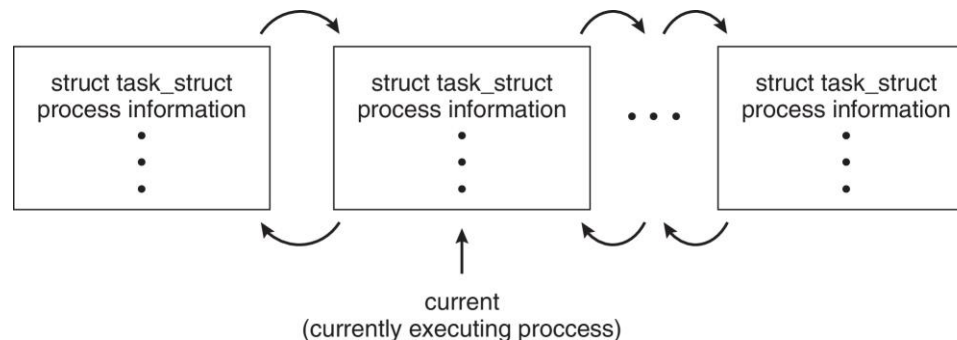
Process Scheduling

- Maximize CPU use, quickly switch processes onto CPU core

- **Process scheduler** selects among available processes for next execution on CPU core

- Maintains **scheduling queues** of processes

    - **Ready queue** – set of all processes residing in main memory, ready and waiting to execute

    - **Wait queues** – set of processes waiting for an event (i.e. I/O)
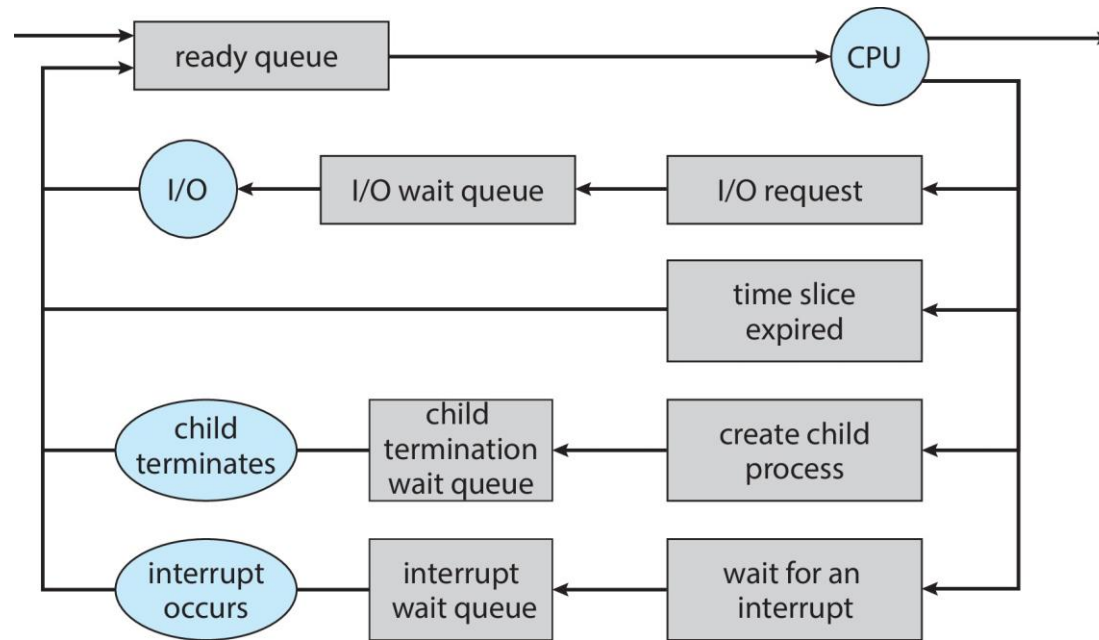
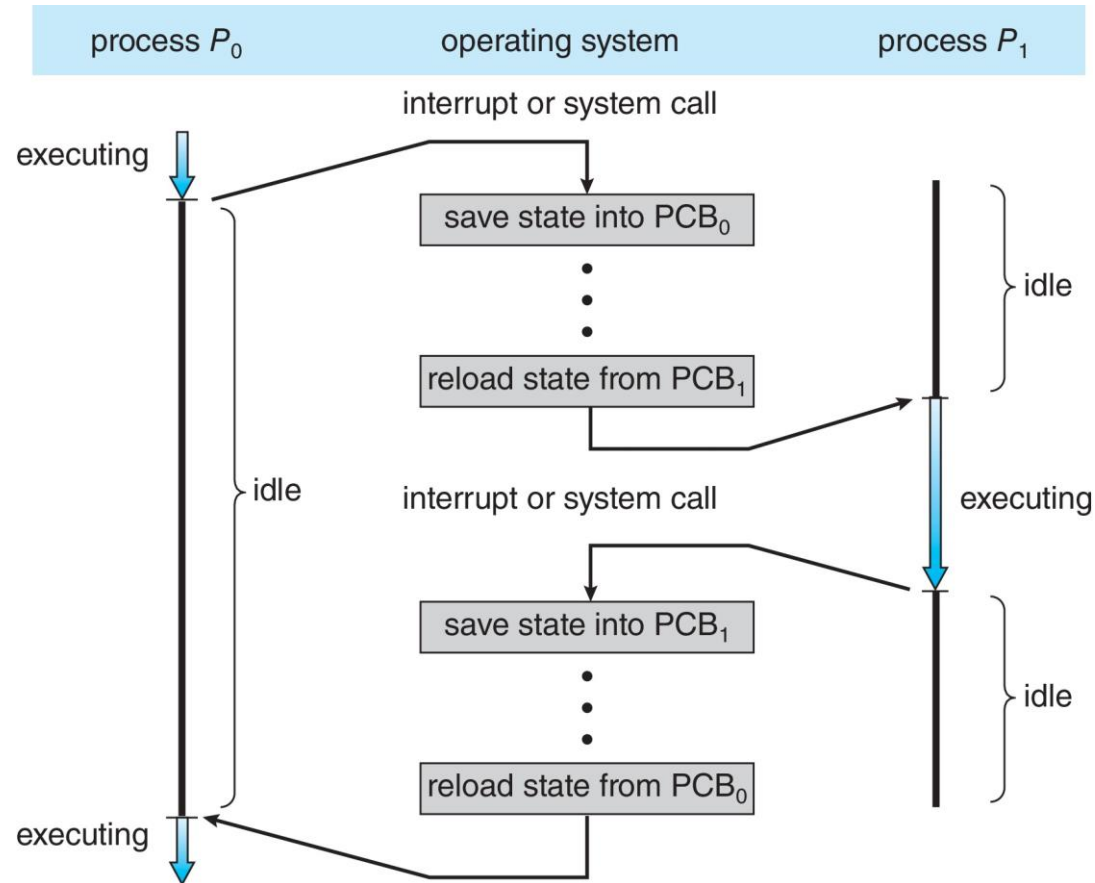   - Processes migrate among the various queues
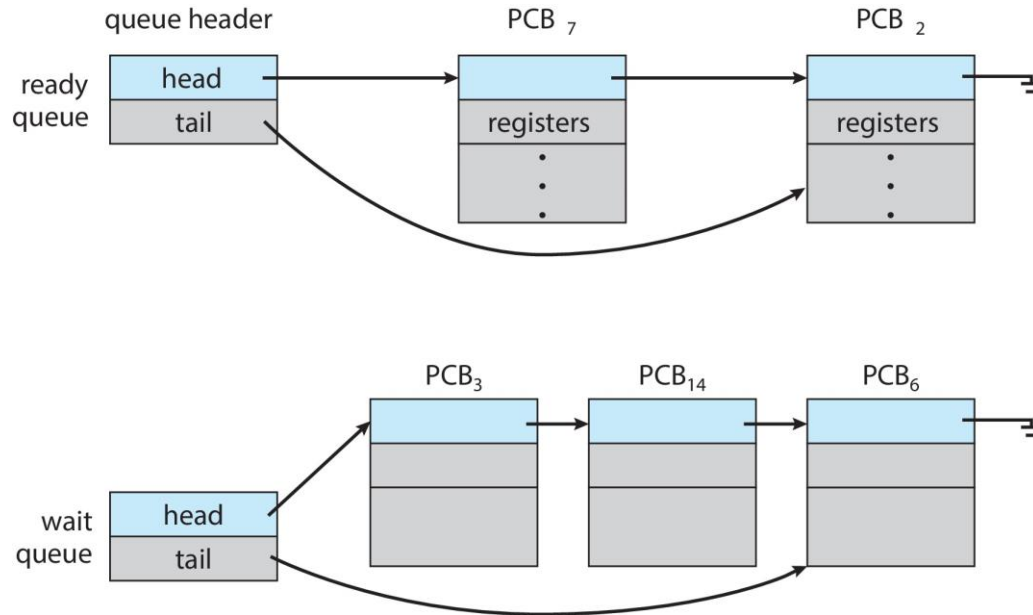
Representation of Process Scheduling

CPU Switch From Process to Process

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

Context Switch

- When CPU switches to another process, the system must **save the state** of the old process and load the **saved state** for the new process via a **context switch**

- **Context** of a process represented in the PCB

- Context-switch time is overhead; the system does no useful work while switching

  - The more complex the OS and the PCB ➜ the longer the context switch

- Time dependent on hardware support

  - Some hardware provides multiple sets of registers per CPU ➜ multiple contexts loaded at once
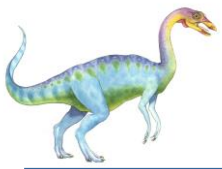
Multitasking in Mobile Systems

- Some mobile systems (e.g., early version of iOS) allow only one process to run, others suspended

- Due to screen real estate, user interface limits iOS provides for a
  - Single **foreground** process- controlled via user interface
  - Multiple **background** processes– in memory, running, but not on the display, and with limits
  - Limits include single, short task, receiving notification of events, specific long-running tasks like audio playback

- Android runs foreground and background, with fewer limits
  - Background process uses a **service** to perform tasks
  - Service can keep running even if background process is suspended
  - Service has no user interface, small memory use

Operations on Processes

- System must provide mechanisms for:
    - process creation
    - process termination

Process Creation

- **Parent** process create **children** processes, which, in turn create other processes, forming a **tree** of processes

- Generally, process identified and managed via a **process identifier** (**pid**)

- Resource sharing options

  - Parent and children share all resources

  - Children share subset of parent's resources

  - Parent and child share no resources

- Execution options

  - Parent and children execute concurrently

  - Parent waits until children terminate

A Tree of Processes in Linux
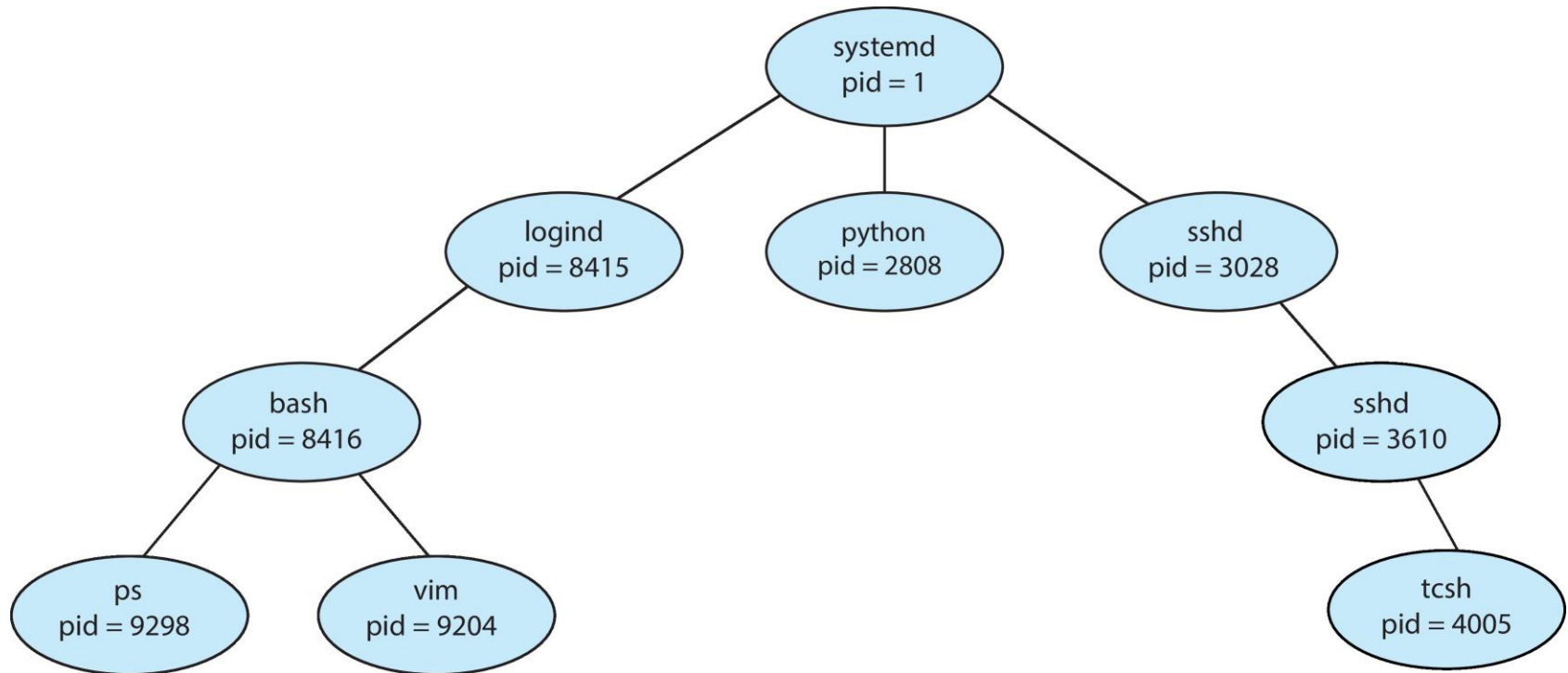
Process Creation (Cont.)

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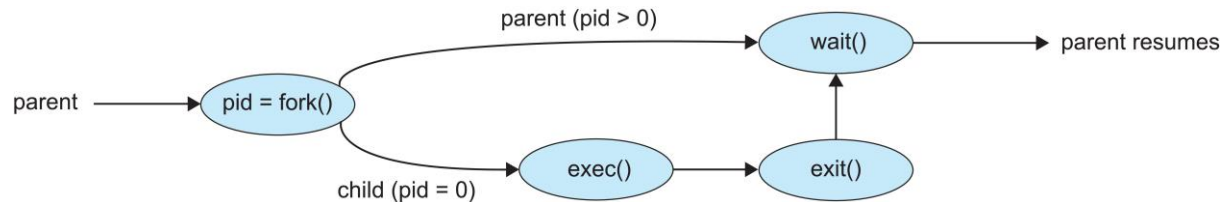 - `exec()` system call used after a `fork()` to replace the process' memory space with a new program
  - Parent process calls `wait()` for the child to terminate

C Program Forking Separate Process

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

int main()
{
pid_t pid;

    /* fork a child process */
    pid = fork();

    if (pid < 0) { /* error occurred */
       fprintf(stderr, "Fork Failed");
       return 1;
    }
    else if (pid == 0) { /* child process */
       execlp("/bin/ls","ls",NULL);
    }
    else { /* parent process */
       /* parent will wait for the child to complete */
       wait(NULL);
       printf("Child Complete");
    }

    return 0;
}
```
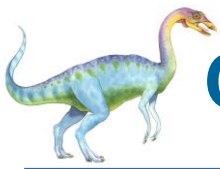
```c
#include <stdio.h>
#include <windows.h>

int main(VOID)
{
STARTUPINFO si;
PROCESS_INFORMATION pi;

    /* allocate memory */
    ZeroMemory(&si, sizeof(si));
    si.cb = sizeof(si);
    ZeroMemory(&pi, sizeof(pi));

    /* create child process */
    if (!CreateProcess(NULL, /* use command line */
      "C:\\WINDOWS\\system32\\mspaint.exe", /* command */
     NULL, /* don't inherit process handle */
     NULL, /* don't inherit thread handle */
     FALSE, /* disable handle inheritance */
     0, /* no creation flags */
     NULL, /* use parent's environment block */
     NULL, /* use parent's existing directory */
     &si,
     &pi))
    {
      fprintf(stderr, "Create Process Failed");
      return -1;
    }
    /* parent will wait for the child to complete */
    WaitForSingleObject(pi.hProcess, INFINITE);
    printf("Child Complete");

    /* close handles */
    CloseHandle(pi.hProcess);
    CloseHandle(pi.hThread);
}
```

Process Termination

- Process executes last statement and then asks the operating system to delete it using the `exit()` system call.

    - Returns status data from child to parent (via `wait()`)

    - Process' resources are deallocated by operating system

- Parent may terminate the execution of children processes using the `abort()` system call. Some reasons for doing so:

    - Child has exceeded allocated resources

    - Task assigned to child is no longer required

    - The parent is exiting and the operating systems does not allow a child to continue if its parent terminates

Process Termination

- Some operating systems do not allow child to exists if its parent has terminated. If a process terminates, then all its children must also be terminated.

  - **cascading termination.** All children, grandchildren, etc. are terminated.

  - The termination is initiated by the operating system.

- The parent process may wait for termination of a child process by using the `wait()` system call. The call returns status information and the pid of the terminated process

  ```
  pid = wait(&status);
  ```

- If no parent waiting (did not invoke `wait()`) process is a **zombie**

- If parent terminated without invoking `wait`, process is an **orphan**

Android Process Importance Hierarchy

- Mobile operating systems often have to terminate processes to reclaim system resources such as memory. From **most** to **least** important:

  o Foreground process

  o Visible process

  o Service process

  o Background process

  o Empty process

- Android will begin terminating processes that are least important.

Multiprocess Architecture – Chrome Browser

- Many web browsers ran as single process (some still do)

  - If one web site causes trouble, entire browser can hang or crash

- Google Chrome Browser is multiprocess with 3 different types of processes:

  - **Browser** process manages user interface, disk and network I/O

  - **Renderer** process renders web pages, deals with HTML, Javascript. A new renderer created for each website opened

    ‣ Runs in **sandbox** restricting disk and network I/O, minimizing effect of security exploits

  - **Plug-in** process for each type of plug-in
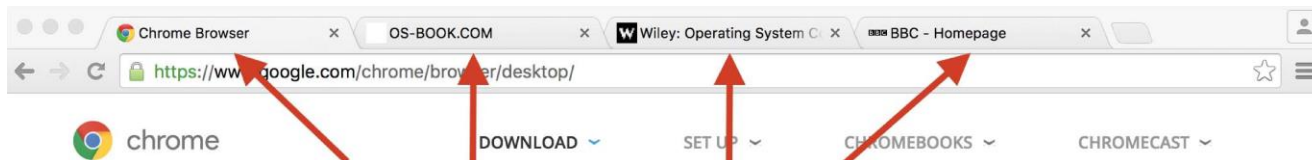
Each tab represents a separate process.

Interprocess Communication

- Processes within a system may be *independent* or *cooperating*

- Cooperating process can affect or be affected by other processes, including sharing data

- Reasons for cooperating processes:

    - Information sharing

    - Computation speedup

    - Modularity

    - Convenience

- Cooperating processes need **interprocess communication** (**IPC**)

- Two models of IPC

    - **Shared memory**

    - **Message passing**

Communications Models

(a) Shared memory.   (b) Message passing.

process   A
shared memory
process   B
kernel

(a)

process   A
process   B
message queue
m_0 m_1 m_2 m_3 ... m_n
kernel
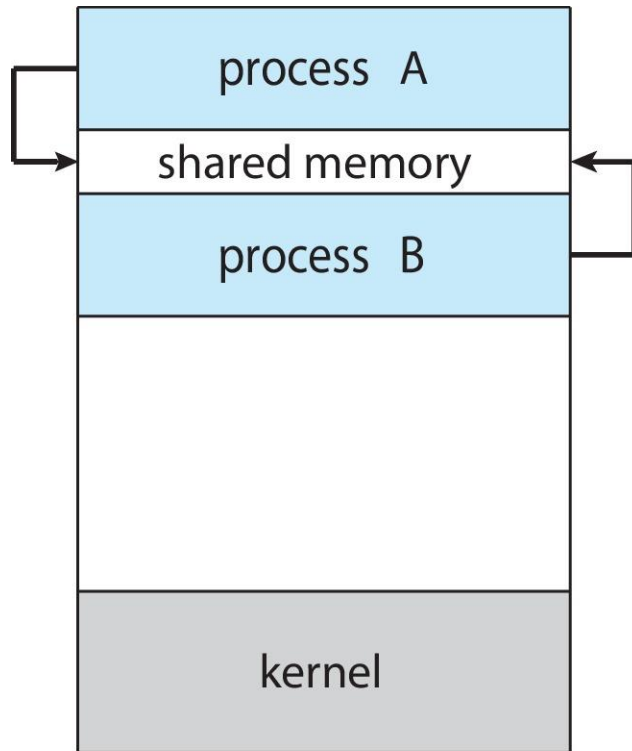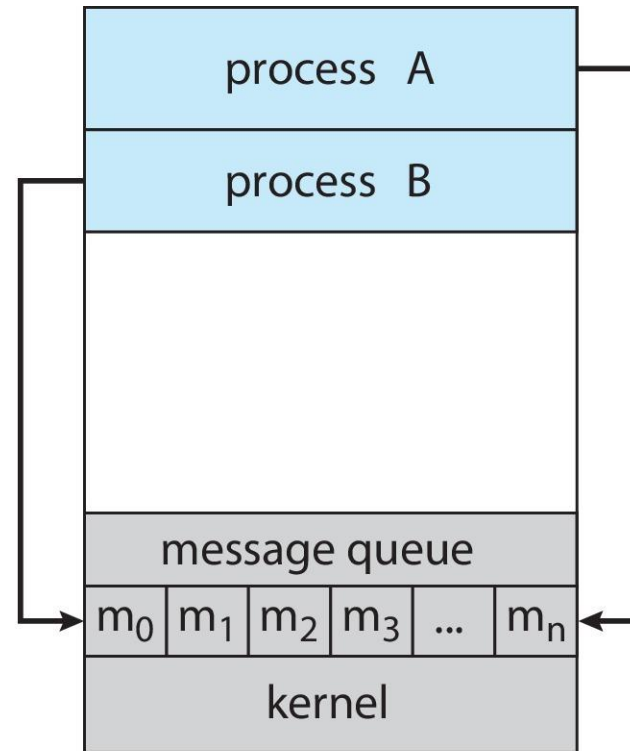
(b)

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

Interprocess Communication – Shared Memory

- An area of memory shared among the processes that wish to communicate

- The communication is under the control of the users processes not the operating system.

- Major issues is to provide mechanism that will allow the user processes to synchronize their actions when they access shared memory.

- Synchronization is discussed in great details in Chapters 6 & 7.

Bounded-Buffer – Shared-Memory Solution

☐ Shared data

```
#define BUFFER_SIZE 10
typedef struct {
  . . .
} item;

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

☐ Solution is correct, but can only use **BUFFER_SIZE-1** elements

Producer Process – Shared Memory

```
item next_produced;

while (true) {
    /* produce an item in next produced */
    while (((in + 1) % BUFFER_SIZE) == out)
        ; /* do nothing */
    buffer[in] = next_produced;
    in = (in + 1) % BUFFER_SIZE;
}
```
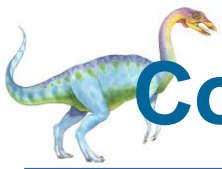
Consumer Process – Shared Memory

```
item next_consumed;

while (true) {
        while (in == out)
                ; /* do nothing */
        next_consumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;

        /* consume the item in next consumed */
}
```

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:
  - **send**(*message*)
  - **receive**(*message*)

- The *message* size is either fixed or variable

Message Passing (Cont.)

- If processes *P* and *Q* wish to communicate, they need to:
    - Establish a ***communication link*** between them
    - Exchange messages via send/receive
- Implementation issues:

    - How are links established?

    - Can a link be associated with more than two processes?

    - How many links can there be between every pair of communicating processes?

    - What is the capacity of a link?

    - Is the size of a message that the link can accommodate fixed or variable?

    - Is a link unidirectional or bi-directional?

Message Passing (Cont.)

- Implementation of communication link
    - Physical:
        - Shared memory
        - Hardware bus
        - Network
    - Logical:
        - Direct or indirect
        - Synchronous or asynchronous
        - Automatic or explicit buffering

Direct Communication

- Processes must name each other explicitly:
  - `send` (*P, message*) – send a message to process P
  - `receive`(*Q, message*) – receive a message from process Q
- Properties of communication link
  - Links are established automatically
  - A link is associated with exactly one pair of communicating processes
  - Between each pair there exists exactly one link
  - The link may be unidirectional, but is usually bi-directional

Indirect Communication

- Messages are directed and received from mailboxes (also referred to as ports)

    - Each mailbox has a unique id

    - Processes can communicate only if they share a mailbox

- Properties of communication link

    - Link established only if processes share a common mailbox

    - A link may be associated with many processes

    - Each pair of processes may share several communication links

    - Link may be unidirectional or bi-directional

Indirect Communication

- Operations

  - create a new mailbox (port)

  - send and receive messages through mailbox

  - destroy a mailbox

- Primitives are defined as:

  send(*A, message*) – send a message to mailbox A

  receive(*A, message*) – receive a message from mailbox A

Indirect Communication

- 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** -- the sender is blocked until the message is received
  - **Blocking receive** -- the receiver is blocked until a message is available

- **Non-blocking** is considered **asynchronous**
  - **Non-blocking send** -- the sender sends the message and continue
  - **Non-blocking receive** -- the receiver receives:
    - A valid message, or
    - Null message

- Different combinations possible
  - If both send and receive are blocking, we have a **rendezvous**

Producer – Shared Memory

```
message next_produced;

while (true) {
        /* produce an item in next_produced */

         send(next_produced);
}
```

Consumer– Shared Memory

```
message next_consumed;

while (true) {
        receive(next_consumed)

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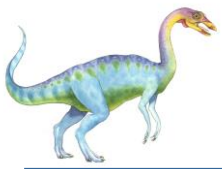
Buffering

- Queue of messages attached to the link.

- Implemented in one of three ways

  1. Zero capacity – no messages are queued on a link.
     Sender must wait for receiver (rendezvous)

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

  3. Unbounded capacity – infinite length
     Sender never waits

Examples of IPC Systems - POSIX

- POSIX Shared Memory

  - Process first creates shared memory segment
    ```
    shm_fd = shm_open(name, O CREAT | O RDWR, 0666);
    ```
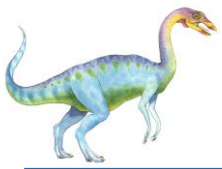
  - Also used to open an existing segment

  - Set the size of the object

```
ftruncate(shm_fd, 4096);
```

  - Use `mmap()` to memory-map a file pointer to the shared memory object

  - Reading and writing to shared memory is done by using the pointer returned by `mmap()`.

```c
#include <stdio.h>
#include <stdlib.h>
#include <string.h>
#include <fcntl.h>
#include <sys/shm.h>
#include <sys/stat.h>

int main()
{
/* the size (in bytes) of shared memory object */
const int SIZE = 4096;
/* name of the shared memory object */
const char *name = "OS";
/* strings written to shared memory */
const char *message_0 = "Hello";
const char *message_1 = "World!";

/* shared memory file descriptor */
int shm_fd;
/* pointer to shared memory obect */
void *ptr;

    /* create the shared memory object */
    shm_fd = shm_open(name, O_CREAT | O_RDWR, 0666);

    /* configure the size of the shared memory object */
    ftruncate(shm_fd, SIZE);

    /* memory map the shared memory object */
    ptr = mmap(0, SIZE, PROT_WRITE, MAP_SHARED, shm_fd, 0);

    /* write to the shared memory object */
    sprintf(ptr,"%s",message_0);
    ptr += strlen(message_0);
    sprintf(ptr,"%s",message_1);
    ptr += strlen(message_1);

    return 0;
}
```

IPC POSIX Consumer

```c
#include <stdio.h>
#include <stdlib.h>
#include <fcntl.h>
#include <sys/shm.h>
#include <sys/stat.h>

int main()
{
/* the size (in bytes) of shared memory object */
const int SIZE = 4096;
/* name of the shared memory object */
const char *name = "OS";
/* shared memory file descriptor */
int shm_fd;
/* pointer to shared memory obect */
void *ptr;

    /* open the shared memory object */
    shm_fd = shm_open(name, O_RDONLY, 0666);

    /* memory map the shared memory object */
    ptr = mmap(0, SIZE, PROT_READ, MAP_SHARED, shm_fd, 0);

    /* read from the shared memory object */
    printf("%s",(char *)ptr);

    /* remove the shared memory object */
    shm_unlink(name);

    return 0;
}
```

Examples of IPC Systems - Mach

- Mach communication is message based
    - Even system calls are messages
    - Each task gets two ports at creation- Kernel and Notify
    - Messages are sent and received using the `mach_msg()` function
    - Ports needed for communication, created via `mach_port_allocate()`
    - Send and receive are flexible, for example four options if mailbox full:
        - Wait indefinitely
        - Wait at most n milliseconds
        - Return immediately
        - Temporarily cache a message

Mach Messages

```
#include<mach/mach.h>

struct message {
        mach_msg_header_t header;
        int data;
};

mach port t client;
mach port t server;
```

Mach Message Passing - Client

```
/* Client Code */

struct message message;

// construct the header
message.header.msgh_size = sizeof(message);
message.header.msgh_remote_port = server;
message.header.msgh_local_port = client;

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

```
/* Server Code */

struct message message;

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

Examples of IPC Systems – Windows

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

Local Procedure Calls in Windows
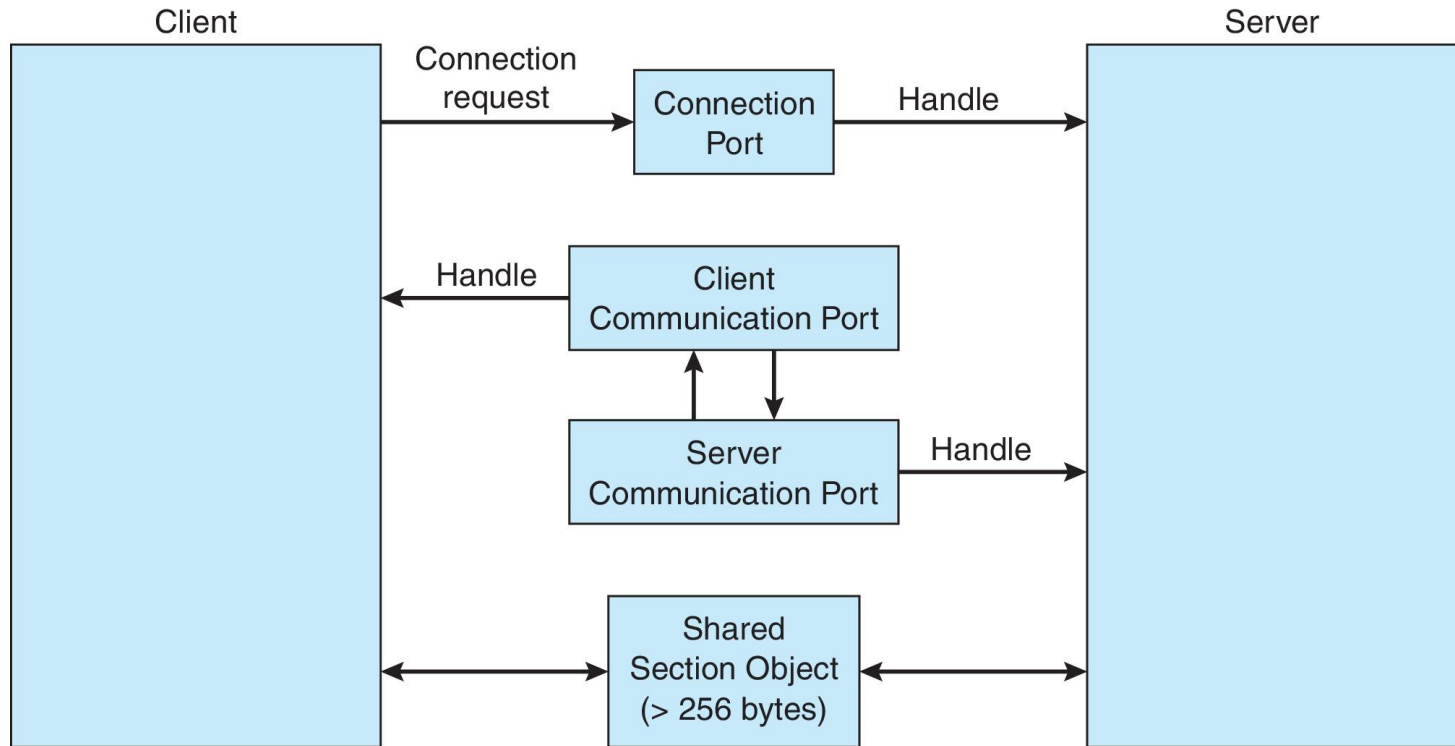
Pipes

- Acts as a conduit allowing two processes to communicate

- Issues:

  - Is communication unidirectional or bidirectional?

  - In the case of two-way communication, is it half or full-duplex?

  - Must there exist a relationship (i.e., *parent-child*) between the communicating processes?

  - Can the pipes be used over a network?

- **Ordinary pipes** – cannot be accessed from outside the process that created it. Typically, a parent process creates a pipe and uses it to communicate with a child process that it created.

- **Named pipes** – can be accessed without a parent-child relationship.

Ordinary Pipes

- Ordinary Pipes allow communication in standard producer-consumer style

- Producer writes to one end (the **write-end** of the pipe)

- Consumer reads from the other end (the **read-end** of the pipe)

- Ordinary pipes are therefore unidirectional

- Require parent-child relationship between communicating processes
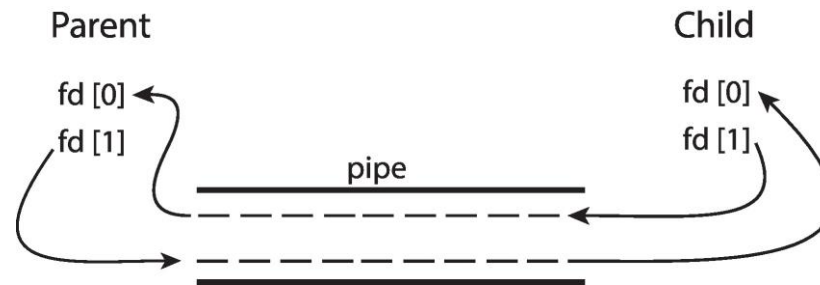
- Windows calls these **anonymous pipes**

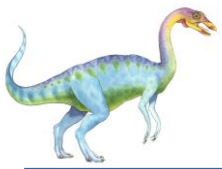# Named Pipes

- Named Pipes are more powerful than ordinary pipes

- Communication is bidirectional

- No parent-child relationship is necessary between the communicating processes

- Several processes can use the named pipe for communication

- Provided on both UNIX and Windows systems

Communications in Client-Server Systems

- Sockets
- Remote Procedure Calls

Sockets

- A **socket** is defined as an endpoint for communication

- Concatenation of IP address and **port** – a number included at start of message packet to differentiate network services on a host

- The socket **161.25.19.8:1625** refers to port **1625** on host **161.25.19.8**

- Communication consists between a pair of sockets

- All ports below 1024 are *well known*, used for standard services

- Special IP address 127.0.0.1 (**loopback**) to refer to system on which process is running

Socket Communication

host X
(146.86.5.20)

socket
(146.86.5.20:1625)

web server
(161.25.19.8)
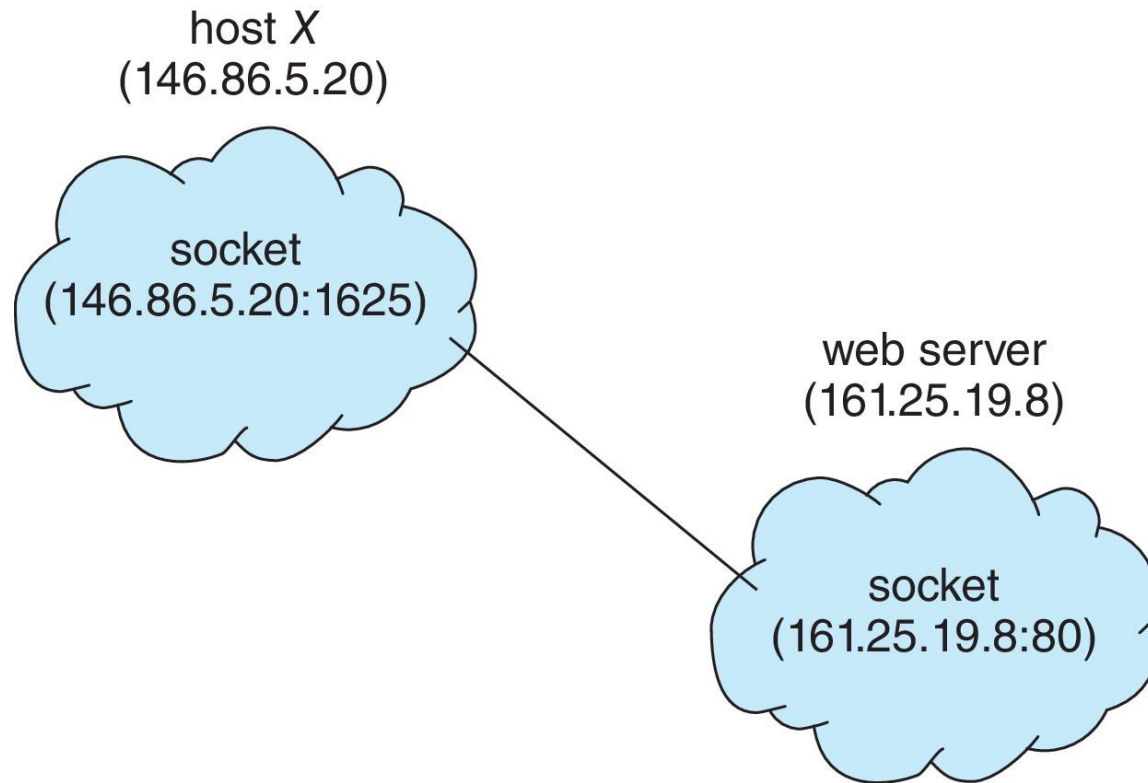
socket
(161.25.19.8:80)

Sockets in Java

- Three types of sockets

    - **Connection-oriented** (**TCP**)

    - **Connectionless** (**UDP**)

    - `MulticastSocket` class– data can be sent to multiple recipients

- Consider this "Date" server in Java:

```java
import java.net.*;
import java.io.*;

public class DateServer
{
  public static void main(String[] args) {
    try {
      ServerSocket sock = new ServerSocket(6013);

      /* now listen for connections */
      while (true) {
        Socket client = sock.accept();

        PrintWriter pout = new
          PrintWriter(client.getOutputStream(), true);

        /* write the Date to the socket */
        pout.println(new java.util.Date().toString());

        /* close the socket and resume */
        /* listening for connections */
        client.close();
      }
    }
    catch (IOException ioe) {
      System.err.println(ioe);
    }
  }
}
```

Sockets in Java

The equivalent Date client

```java
import java.net.*;
import java.io.*;

public class DateClient
{
    public static void main(String[] args) {
        try {
            /* make connection to server socket */
            Socket sock = new Socket("127.0.0.1",6013);

            InputStream in = sock.getInputStream();
            BufferedReader bin = new
                BufferedReader(new InputStreamReader(in));

            /* read the date from the socket */
            String line;
            while ( (line = bin.readLine()) != null)
                System.out.println(line);

            /* close the socket connection*/
            sock.close();
        }
        catch (IOException ioe) {
            System.err.println(ioe);
        }
    }
}
```

Remote Procedure Calls

- Remote procedure call (RPC) abstracts procedure calls between processes on networked systems

    - Again uses ports for service differentiation

- **Stubs** – client-side proxy for the actual procedure on the server

- The client-side stub locates the server and **marshalls** the parameters

- The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server

- On Windows, stub code compile from specification written in **Microsoft Interface Definition Language** (**MIDL**)

Remote Procedure Calls (Cont.)
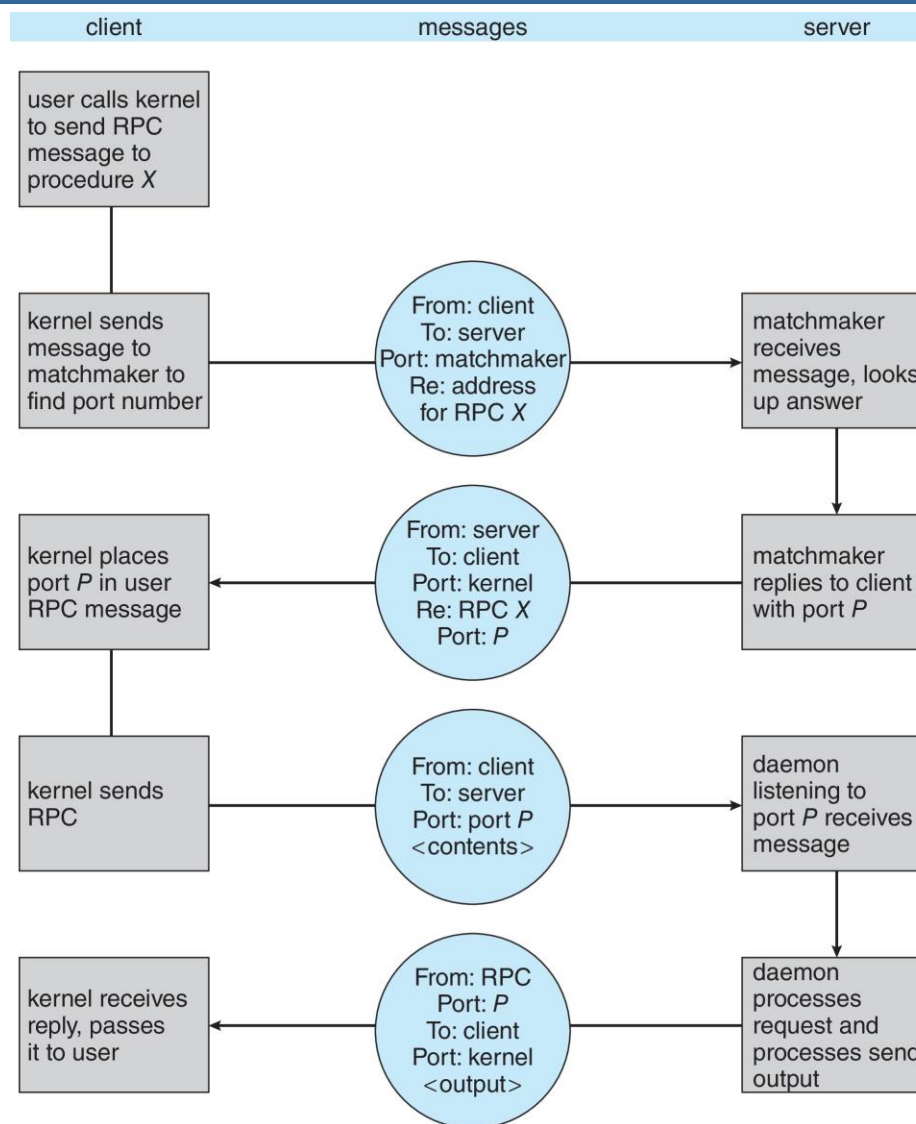
- Data representation handled via **External Data Representation** (**XDL**) format to account for different architectures

  - **Big-endian** and **little-endian**

- Remote communication has more failure scenarios than local

  - Messages can be delivered *exactly once* rather than *at most once*

- OS typically provides a rendezvous (or **matchmaker**) service to connect client and server

Execution of RPC

client	messages	server
user calls kernel to send RPC message to procedure X		
kernel sends message to matchmaker to find port number	From: client To: server Port: matchmaker Re: address for RPC X	matchmaker receives message, looks up answer
kernel places port P in user RPC message	From: server To: client Port: kernel Re: RPC X Port: P	matchmaker replies to client with port P
kernel sends RPC	From: client To: server Port: port P <contents>	daemon listening to port P receives message
kernel receives reply, passes it to user	From: RPC Port: P To: client Port: kernel <output>	daemon processes request and processes send output

End of Chapter 3