Chapter 3: Processes

Process Concept

- 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

- Diagram of 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 process
  - terminated: The process has finished execution

Communication in Client-Server Systems
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
- Program number
- Program counter
- Registers
- Memory limits
- List of open files
- ...

CPU Switch From Process to Process

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

Process Scheduling Queues

Ready Queue And Various I/O Device Queues

Representation of Process Scheduling
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
- 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
- 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
3.19 Process Creation

![Diagram of process creation]

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);
    }
}
```

3.21 A tree of processes on a typical Solaris

![Diagram of a tree of processes]

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

3.22 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

3.23 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
  ```
  #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

Bounded-Buffer – Insert() Method

```
while (true) {
    /* Produce an item */
    while ((in = (in + 1) % BUFFER_SIZE) == out) {
        /* do nothing -- no free buffers */
        buffer[in] = item;
        in = (in + 1) % BUFFER_SIZE;
    }
}
```

Bounded Buffer – Remove() Method

```
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 (IPC)

- 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) – message size fixed or variable
  - receive(message)
- If P and Q wish to communicate, they need to:
  - establish a 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 bidirectional?
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:
  - `send(A, message)` – send a message to mailbox A
  - `receive(A, message)` – receive a message from mailbox A

Indirect Communication

- Mailbox sharing:
  - `P_x`, `P_y`, and `P_z` share mailbox `A`
  - `P_x` sends; `P_y` and `P_z` 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
**Client-Server Communication**

- Sockets
- Remote Procedure Calls
- 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**

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

**Execution of RPC**

**Remote Method Invocation**

- Remote Method Invocation (RMI) is a Java mechanism similar to RPCs.
- RMI allows a Java program on one machine to invoke a method on a remote object.
Marshalling Parameters

```
client
val = server.someMethod(A, B)
```

```
remote object

boolean someMethod (Object x, Object y)
{
    implementation of someMethod
}
```

End of Chapter 3