

ALMA MATER STUDIORUM UNIVERSITÀ DI BOLOGNA Department of computer science and engineering

Real-Time Operating Systems M

2. Operating-System Structures • Processes

Notice

The course material includes slides downloaded from:

http://codex.cs.yale.edu/avi/os-book/

(slides by Silberschatz, Galvin, and Gagne, associated with Operating System Concepts, 9th Edition, Wiley, 2013)

and

http://retis.sssup.it/~giorgio/rts-MECS.html

(slides by Buttazzo, associated with Hard Real-Time Computing Systems, 3rd Edition, Springer, 2011)

which has been edited to suit the needs of this course.

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Chapter 2: Operating-System Structures

- 1. Operating System Services
- 2. User and Operating System Interface
- 3. System Calls
- 4. Types of System Calls
- 5. System Programs
- 6. Operating-System Design and Implementation
- 7. Operating-System Structure
- 8. Operating-System Debugging
- 9. Operating-System Generation
- 10. System Boot







- To describe the services an operating system provides to users, processes, and other systems
- To discuss the various ways of structuring an operating system
- To explain how operating systems boot





Operating System Services

- Operating systems provide an environment for execution of programs and services to programs and users
- One set of operating-system services provides functions that are helpful to the user:
 - User interface Almost all operating systems have a user interface (UI).
 - Varies between Command-Line (CLI), Graphics User Interface (GUI), Batch
 - Program execution The system must be able to load a program into memory and to run that program, and end its execution, either normally or abnormally (indicating error)
 - **I/O operations** A running program may require I/O, which may involve a file or an I/O device
 - **File-system manipulation** The file system is of particular interest. Programs need to read and write files and directories, create and delete them, search them, list file Information, permission management.





Operating System Services

- Communications Processes may exchange information, on the same computer or between computers over a network
 - Communications may be via shared memory or through message passing (packets moved by the OS)
- Error detection OS needs to be constantly aware of possible errors
 - May occur in the CPU and memory hardware, in I/O devices, in user program
 - For each type of error, OS should take the appropriate action to ensure correct and consistent computing
 - Debugging facilities can greatly enhance the user's and programmer's abilities to efficiently use the system



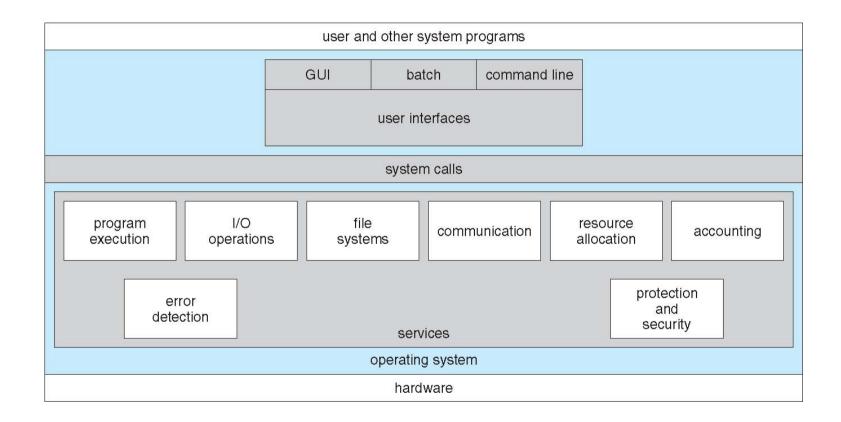


Operating System Services

- Another set of OS functions exists for ensuring the efficient operation of the system itself via resource sharing
 - Resource allocation When multiple users or multiple jobs running concurrently, resources must be allocated to each of them
 - Many types of resources Some (such as CPU cycles, main memory, and file storage) may have special allocation code, others (such as I/O devices) may have general request and release code
 - Accounting To keep track of which users use how much and what kinds of computer resources
 - Protection and security The owners of information stored in a multiuser or networked computer system may want to control use of that information, concurrent processes should not interfere with each other
 - Protection involves ensuring that all access to system resources is controlled
 - Security of the system from outsiders requires user authentication, extends to defending external I/O devices from invalid access attempts
 - If a system is to be protected and secure, precautions must be instituted throughout it. A chain is only as strong as its weakest link.









Ser Operating System Interface - CLI

- CLI or **command interpreter** allows direct command entry
 - Sometimes implemented in kernel, sometimes by systems program
 - Sometimes multiple flavors implemented shells
 - Primarily fetches a command from user and executes it
 - Sometimes commands built-in, sometimes just names of programs
 - » If the latter, adding new features doesn't require shell modification



Bourne Shell Command Interpreter

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User Operating System Interface - GUI

- User-friendly desktop metaphor interface
 - Usually mouse, keyboard, and monitor
 - Icons represent files, programs, actions, etc
 - Various mouse buttons over objects in the interface cause various actions (provide information, options, execute function, open directory (known as a folder)
 - Invented at Xerox PARC
- Many systems now include both CLI and GUI interfaces
 - Microsoft Windows is GUI with CLI "command" shell
 - Apple Mac OS X is "Aqua" GUI interface with UNIX kernel underneath and shells available
 - Unix and Linux have CLI with optional GUI interfaces (CDE, KDE, GNOME)





Touchscreen Interfaces

- Touchscreen devices require new interfaces
 - Mouse not possible or not desired
 - Actions and selection based on gestures
 - Virtual keyboard for text entry





The Mac OS X GUI

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- Programming interface to the services provided by the OS
- Example: *copy the contents of one file to another file*





Example of System Calls

System call sequence to copy the contents of one file to another file

source file	▶	destination file
	Example System Call Sequence Acquire input file name Write prompt to screen Accept input Acquire output file name Write prompt to screen Accept input Open the input file if file doesn't exist, abort Create output file if file exists, abort Loop Read from input file Write to output file Until read fails Close output file Write completion message to screen Terminate normally	





Examples of Windows and Unix System Calls

	Windows	Unix
Process Control	CreateProcess() ExitProcess() WaitForSingleObject()	fork() exit() wait()
File Manipulation	CreateFile() ReadFile() WriteFile() CloseHandle()	open() read() write() close()
Device Manipulation	SetConsoleMode() ReadConsole() WriteConsole()	ioctl() read() write()
Information Maintenance	GetCurrentProcessID() SetTimer() Sleep()	getpid() alarm() sleep()
Communication	CreatePipe() CreateFileMapping() MapViewOfFile()	pipe() shmget() mmap()
Protection	SetFileSecurity() InitlializeSecurityDescriptor() SetSecurityDescriptorGroup()	chmod() umask() chown()



Operating System Concepts – 9th Edition



System Calls

- Programming interface to the services provided by the OS
- Typically written in a high-level language (C or C++)
- Mostly accessed by programs via a high-level Application Program Interface (API) rather than direct system call use
- Three most common APIs are Win32 API for Windows, POSIX API for POSIX-based systems (including virtually all versions of UNIX, Linux, and Mac OS X), and Java API for the Java virtual machine (JVM)
- Why use APIs rather than system calls?

(Note that the system-call names used throughout are generic)





Example of Standard API

EXAMPLE OF STANDARD API

As an example of a standard API, consider the read() function that is available in UNIX and Linux systems. The API for this function is obtained from the man page by invoking the command

man read

on the command line. A description of this API appears below:

#include	<unistd.h></unistd.h>	
ssize_t	read(int	fd, void *buf, size_t count)
return value	function name	parameters

A program that uses the read() function must include the unistd.h header file, as this file defines the ssize_t and size_t data types (among other things). The parameters passed to read() are as follows:

- int fd—the file descriptor to be read
- void *buf —a buffer where the data will be read into
- size_t count—the maximum number of bytes to be read into the buffer

On a successful read, the number of bytes read is returned. A return value of 0 indicates end of file. If an error occurs, read() returns -1.



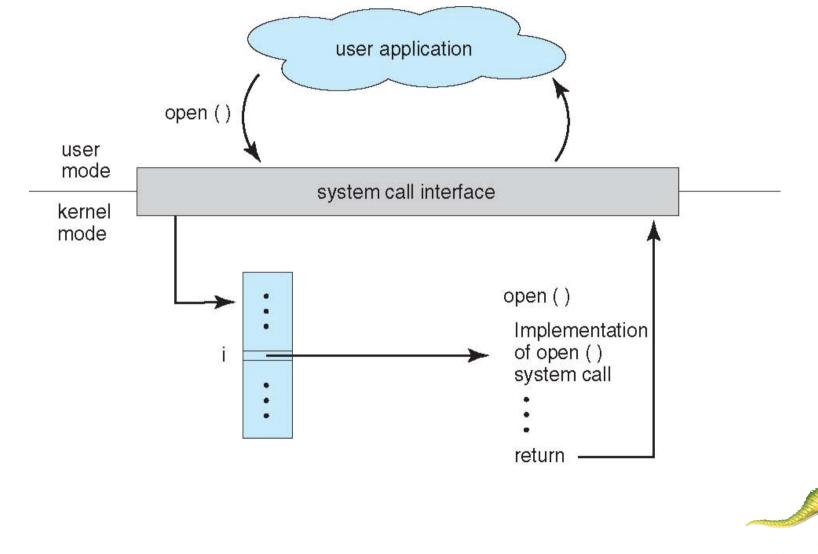


System Call Implementation

- Typically, a number associated with each system call
 - System-call interface maintains a table indexed according to these numbers
- The system call interface invokes intended system call in OS kernel and returns status of the system call and any return values
- The caller need know nothing about how the system call is implemented
 - Just needs to obey API and understand what OS will do as a result call
 - Most details of OS interface hidden from programmer by API
 - Managed by run-time support library (set of functions built into libraries included with compiler)

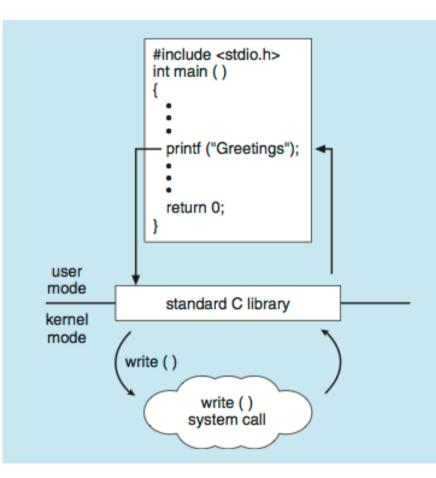








C program invoking printf() library call, which calls write() system call



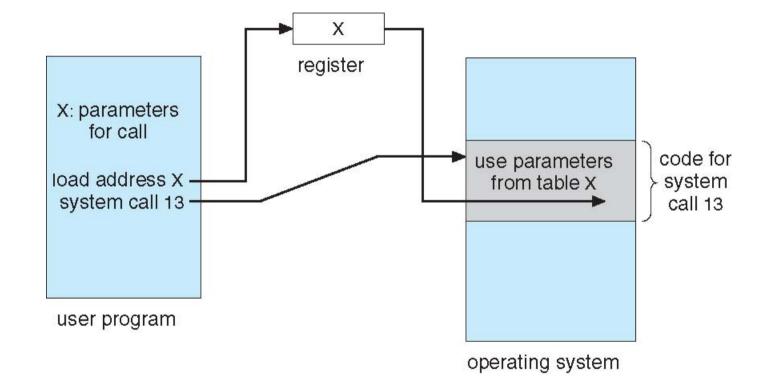


System Call Parameter Passing

- Often, more information is required than simply identity of desired system call
 - Exact type and amount of information vary according to OS and call
- Three general methods used to pass parameters to the OS
 - Simplest: pass the parameters in registers
 - ▶ In some cases, may be more parameters than registers
 - Parameters stored in a block, or table, in memory, and address of block passed as a parameter in a register
 - This approach taken by Linux and Solaris
 - Parameters placed, or pushed, onto the stack by the program and popped off the stack by the operating system
 - Block and stack methods do not limit the number or length of parameters being passed









Operating System Concepts – 9th Edition



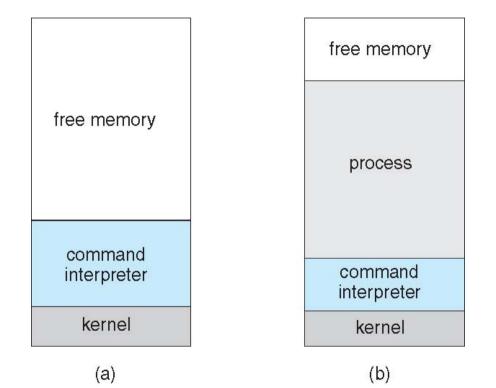
- Process control
 - end, abort
 - load, execute
 - create process, terminate process
 - get process attributes, set process attributes
 - wait for time, wait event, signal event
 - allocate and free memory
 - Issues:
 - Dump memory if error
 - Debugger for determining bugs, single step execution
 - Background/foreground execution
 - Locks for managing access to shared data between processes



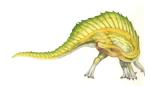


Example: MS-DOS

- Single-tasking
- Shell invoked when system booted
- Simple method to run program
 - No process created
- Single memory space
- Loads program into memory, overwriting all but the kernel
- Program exit -> shell reloaded



(a) At system startup (b) running a program





Example: FreeBSD

- Unix variant
- Multitasking
- User login -> invoke user's choice of shell
- Shell executes fork() system call to create process
 - Executes exec() to load program into process
 - Shell waits for process to terminate or continues with user commands
- Process exits with
 - code of 0 no error, or
 - >0 error code

process D
free memory
process C
interpreter
process B
kernel





- File management
 - create file, delete file
 - open, close file
 - read, write, reposition
 - get and set file attributes
- Device management
 - request device, release device
 - read, write, reposition
 - get device attributes, set device attributes
 - logically attach or detach devices
 - Note
 - > Physical vs. abstract devices. Similarity between files and devices
 - Exclusive use. Deadlock





- Information maintenance
 - get time or date, set time or date
 - get system data, set system data
 - get and set process, file, or device attributes
- Communications
 - create, delete communication connection
 - send, receive messages if message passing model to host name or process name
 - From client to server
 - Shared-memory model create and gain access to memory regions
 - transfer status information
 - attach and detach remote devices





- Protection (control access to resources)
 - Get and set permissions
 - Allow and deny user access



- System programs provide a convenient environment for program development and execution. They can be divided into:
 - File manipulation
 - Status information
 - File editing & content search
 - Programming-language support
 - Program loading and execution
 - Communications
 - Background services
 - Application programs
- Most users' view of the operation system is defined by system programs, not the actual system calls



- Provide a convenient environment for program development and execution
 - Some of them are simply user interfaces to system calls; others are considerably more complex
- File management Create, delete, copy, rename, print, dump, list, and generally manipulate files and directories

Status information

- Some ask the system for info date, time, amount of available memory, disk space, number of users
- Others provide detailed performance, logging, and debugging information
- Typically, these programs format and print the output to the terminal or other output devices
- Some systems implement a registry used to store and retrieve configuration information



File modification

- Text editors to create and modify files
- Special commands to search contents of files or perform transformations of the text
- Programming-language support Compilers, assemblers, debuggers and interpreters sometimes provided
- Program loading and execution- Absolute loaders, relocatable loaders, linkage editors, and overlay-loaders, debugging systems for higher-level and machine language
- Communications Provide the mechanism for creating virtual connections among processes, users, and computer systems
 - Allow users to send messages to one another's screens, browse web pages, send electronic-mail messages, log in remotely, transfer files from one machine to another



Background Services

- Launch at boot time
 - Some for system startup, then terminate
 - Some from system boot to shutdown
- Provide facilities like disk checking, process scheduling, error logging, printing
- Run in user context not kernel context
- Known as services, subsystems, daemons

Application programs

- Web browsers, productivity, IDE, statistical analysis, games, ...
- Don't pertain to system
- Run by users
- Not typically considered part of OS
- Launched by command line, mouse click, finger poke





Operating System Structure

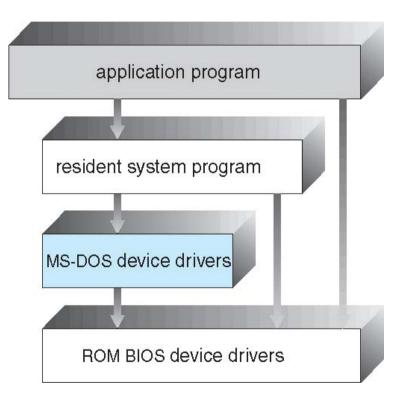
- General-purpose OS is very large program
- Various ways to structure one as follows





Simple Structure

- I.e. MS-DOS written to provide the most functionality in the least space
 - Not divided into modules
 - Although MS-DOS has some structure, its interfaces and levels of functionality are not well separated







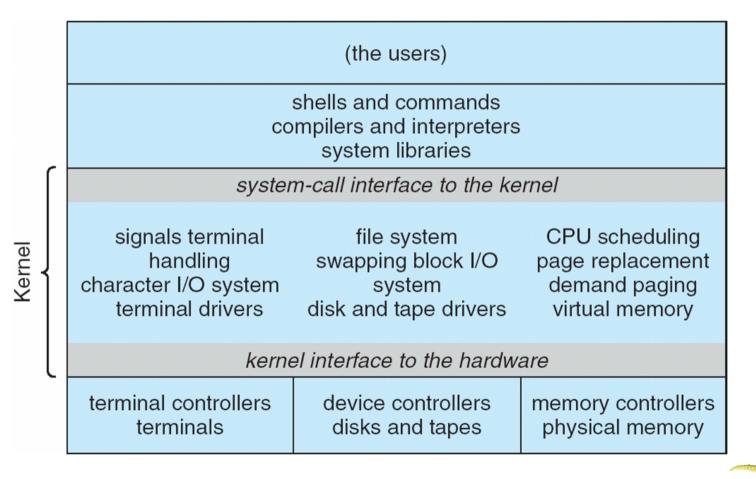
- UNIX limited by hardware functionality, the original UNIX operating system had limited structuring. The UNIX OS consists of two separable parts
 - Systems programs
 - The kernel
 - Consists of everything below the system-call interface and above the physical hardware
 - Provides the file system, CPU scheduling, memory management, and other operating-system functions; a large number of functions for one level



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Beyond simple but not fully layered

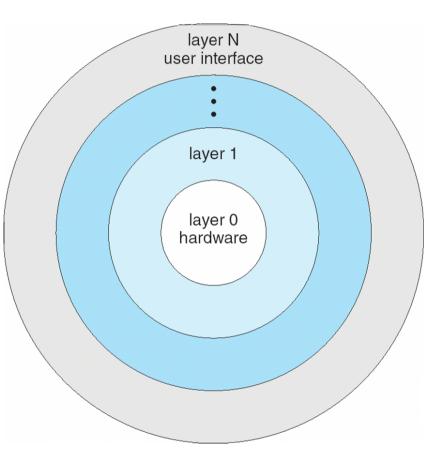






Layered Approach

- The operating system is divided into a number of layers (levels),
 - each built on top of lower layers.
 - Bottom layer (0): the hardware.
 - Highest (layer N): user interface.
- With modularity, layers are selected such that each uses functions (operations) and services of only lower-level layers
 - Hiding, encapsulation, verifiability
- Requires careful planning
- Efficiency



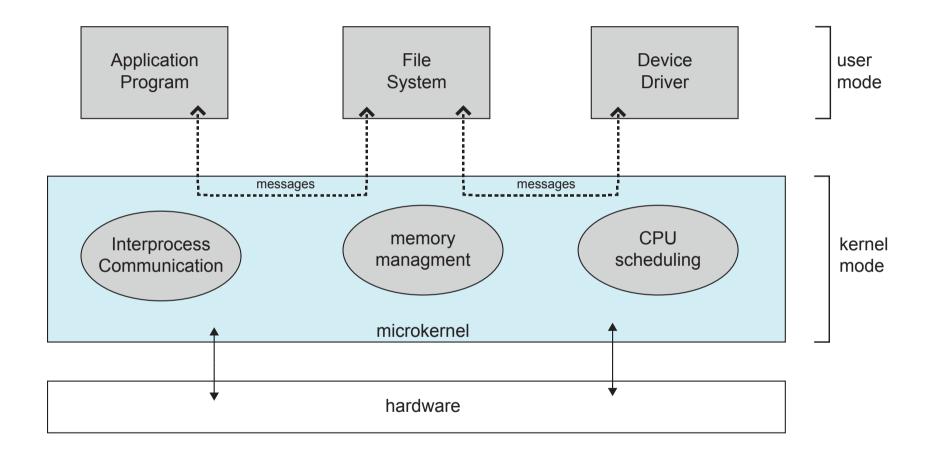


Microkernel System Structure

- Moves as much as possible from the kernel into user space
- Mach example of microkernel
 - Mac OS X kernel (Darwin) partly based on Mach
- What are "essential" components/services?
 - Minimal process management
 - Minimal memory management
 - Communication facility
- Communication takes place between user modules using message passing



Microkernel System Structure





Microkernel System Structure

- Benefits:
 - Easier to maintain/extend a microkernel
 - Easier to port the operating system to new architectures
 - More reliable (less code is running in kernel mode)
 - More secure
- Detriments:
 - Performance overhead of user space to kernel space communication



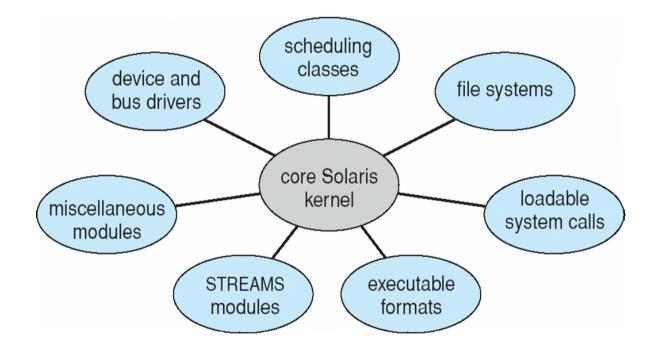


Modules

- Most modern operating systems implement loadable kernel modules
 - Uses object-oriented approach
 - Each core component is separate
 - Each talks to the others over known interfaces
 - Each is loadable as needed within the kernel
- Overall, similar to layers but with more flexible
 - Linux, Solaris, etc



Solaris Modular Approach







Hybrid Systems

- Most modern operating systems actually not one pure model
 - Hybrid combines multiple approaches to address performance, security, usability needs
 - Linux and Solaris kernels in kernel address space, so monolithic, plus modular for dynamic loading of functionality
 - Windows mostly monolithic, plus microkernel for different subsystem *personalities*
- Apple Mac OS X hybrid, layered, Aqua UI plus Cocoa programming environment
 - Below is kernel consisting of Mach microkernel and BSD Unix parts, plus I/O kit and dynamically loadable modules (called kernel extensions)





Mac OS X Structure

graphical user interface Aqua			
application environments and services			
Java Cocoa		Quicktime	BSD
kernel environment			
Mach	BSD		
Wach			
I/O kit		kernel extensions	





System Boot

- When system powers up, execution starts at a fixed memory location
 - Firmware ROM used to hold initial boot code
 - Tasks of bootstrap program: diagnostics, initialization, locate & load kernel, start OS execution
- Operating system must be made available to hardware so hardware can start it
 - Small piece of code bootstrap loader, stored in ROM or EEPROM locates the kernel, loads it into memory, and starts it
 - Sometimes two-step process where boot block at fixed location loaded by ROM code, which loads bootstrap loader from disk
 - Sometimes entire OS in ROM
 - simple HW, small OS, rough operation
- Common bootstrap loader, GRUB, allows selection of kernel from multiple disks, versions, kernel options
- Kernel loads and system is then running



Quizzes

- What are the major classes of activities of an operating system with regard to process management?
- What system calls have to be executed by a shell in order to start a new process?
- [T] [F] In the layered approach to system design, every layer can directly access all and only the layers below itself
- [T] [F] The operating system is always stored in the hard disk
- [T] [F] In the microkernel approach to system design, a client and server module outside of the microkernel can communicate directly with each other
- [T] [F] Diagnostics are performed by the kernel once bootstrap is complete





Chapter 3: Processes

- 1. Process Concept
- 2. Process Scheduling
- 3. Operations on Processes
- 4. Interprocess Communication (IPC)
- 5. Examples of IPC Systems
- 6. 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 explore interprocess communication using shared memory and message passing
- To describe communication in client-server systems





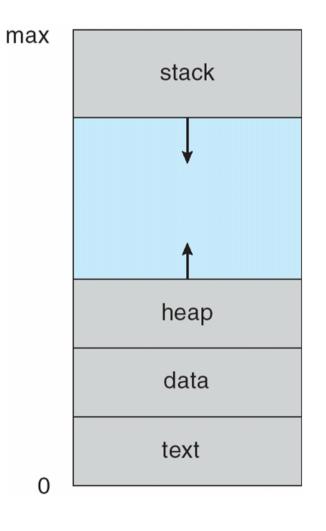
Process Concept

- 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
- 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 in Memory







- 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



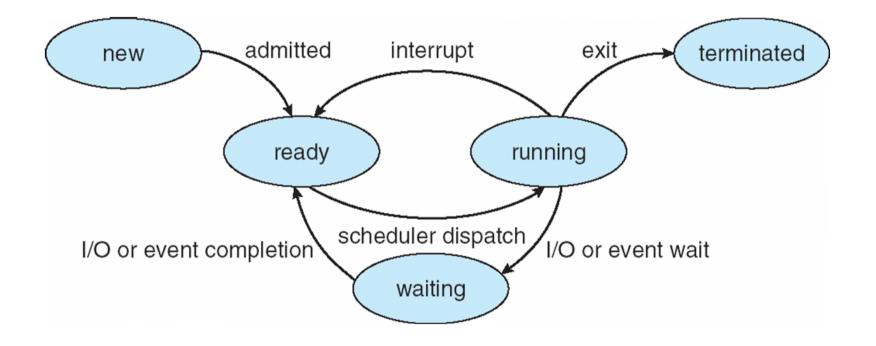


Process State

- 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



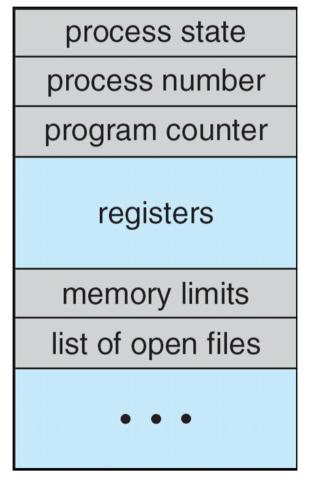




Process Control Block (PCB)

Each process is represented in the OS by a PCB (also called task control block)

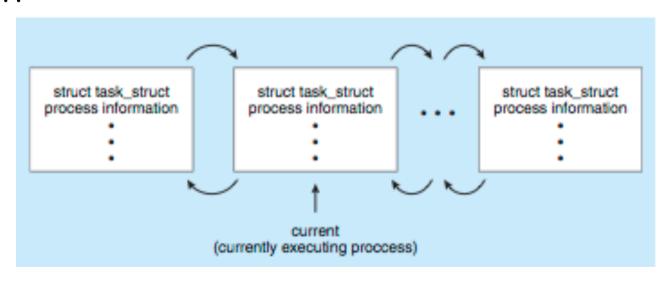
- Process state (running, waiting, etc.)
- CPU registers
 - contents of all process-centric registers
 - including program counter: location of instruction to next execute
- CPU scheduling information
 - priorities, scheduling queue pointers
- Memory-management information (memory allocated to the process)
- Accounting information (CPU used, clock time elapsed since start, time limits, etc.)
- I/O status information (list of I/O devices allocated to process, and open files)





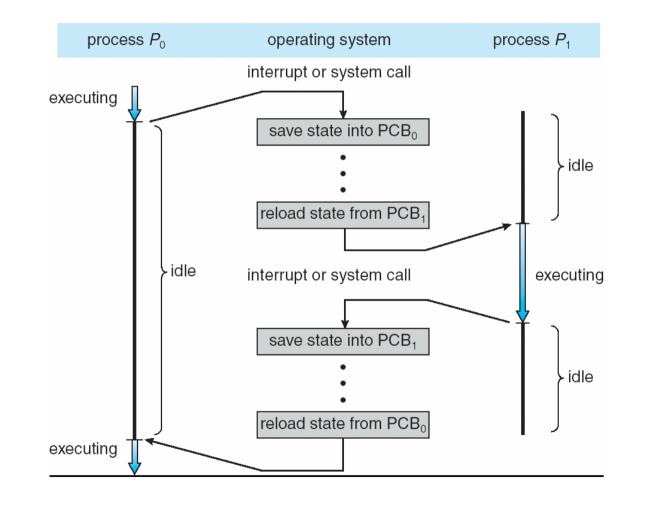
Process Representation in Linux

Represented by the C structure task_struct (see linux/sched.h)
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 */





CPU Switch From Process to Process



Quizzes

- A PCB can represent only one process in the system
- The list of open files is part of the information contained in the PCB







- So far, process has a single thread of execution
 - How to simultaneously type in characters and spell check?
- 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





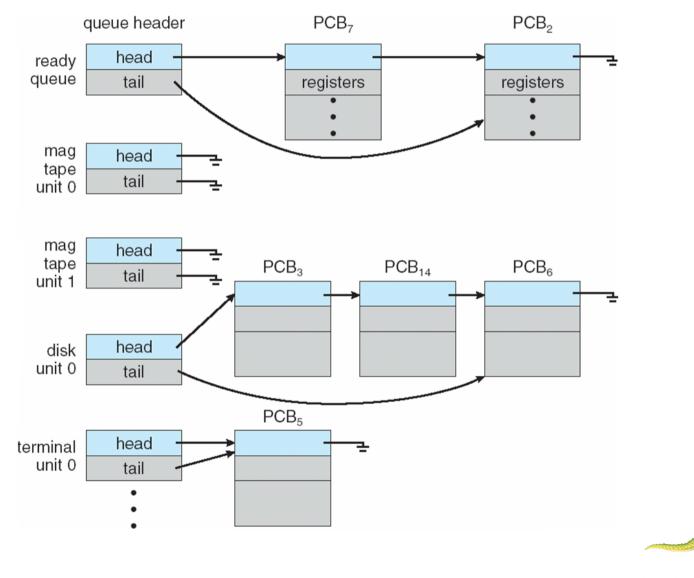
Process Scheduling

- Maximize CPU use, quickly switch processes onto CPU for time sharing
- Process scheduler selects among available processes for next execution on CPU
- Maintains scheduling queues of processes
 - 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

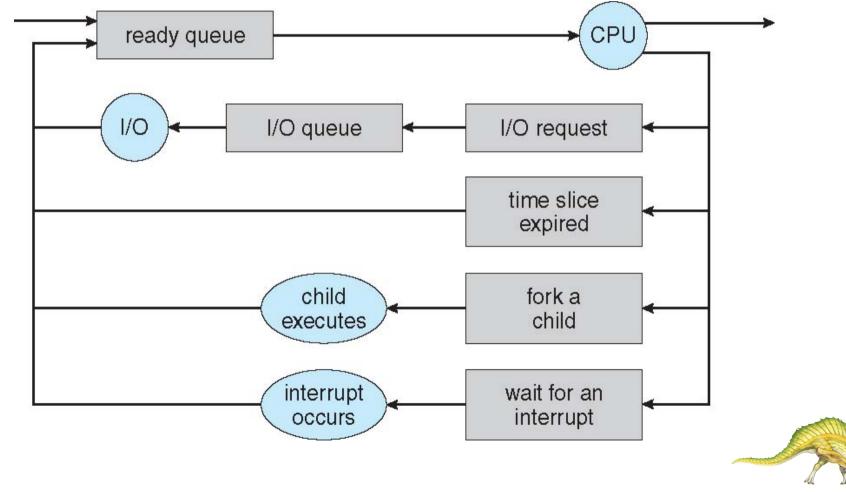


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Representation of Process Scheduling

Queuing diagram represents queues, resources, flows





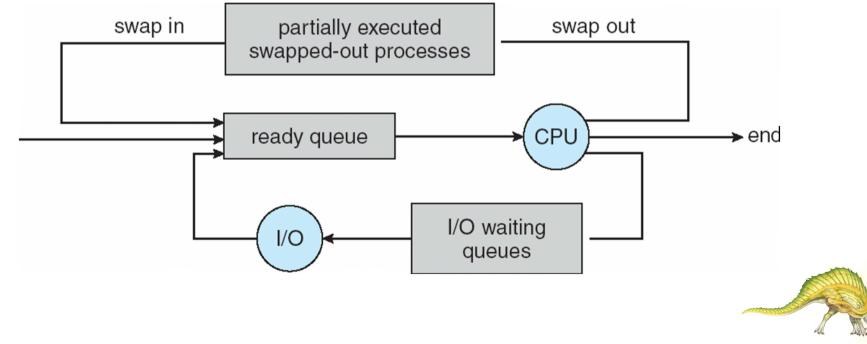
Schedulers

- 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
 - Sometimes the only scheduler in a system
- Short-term scheduler is invoked very frequently (milliseconds) \Rightarrow (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
- Long-term scheduler strives for good process mix



Addition of Medium Term Scheduling

- Medium-term scheduler can be added if degree of multiple programming needs to decrease
 - Remove process from memory, store on disk, bring back in from disk to continue execution: swapping



Multitasking in Mobile Systems

- Some systems / early systems 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





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 → longer the context switch
- Time dependent on hardware support
 - Some hardware provides multiple sets of registers per CPU → multiple contexts loaded at once







- Consider a system with 1 CPU, running 10 100% CPUbound jobs. Assume the following times:
 - Total CPU time needed by each job: 10s
 - Job scheduling: 100ms
 - CPU scheduling: 5ms
 - Context switch: 5ms
- A. If jobs are executed batch (**no multitasking**), how long does it take...
 - For all jobs to complete?
 - For the first job to complete?
 - For the average job to complete?







- Consider a system with 1 CPU, running 10 100% CPUbound jobs. Assume the following times:
 - Total CPU time needed by each job: 10s
 - Maximum CPU burst before context switch: 100ms
 - CPU scheduling: 5ms
 - Context switch: 5ms
- B. If jobs are executed interactively (multitasking, no job scheduling), how long does it take...
 - For all jobs to complete?
 - For the first job to complete?
 - For the average job to complete?
 - What is the operating-system overhead?





System must provide mechanisms for process creation, termination, and so on as detailed next



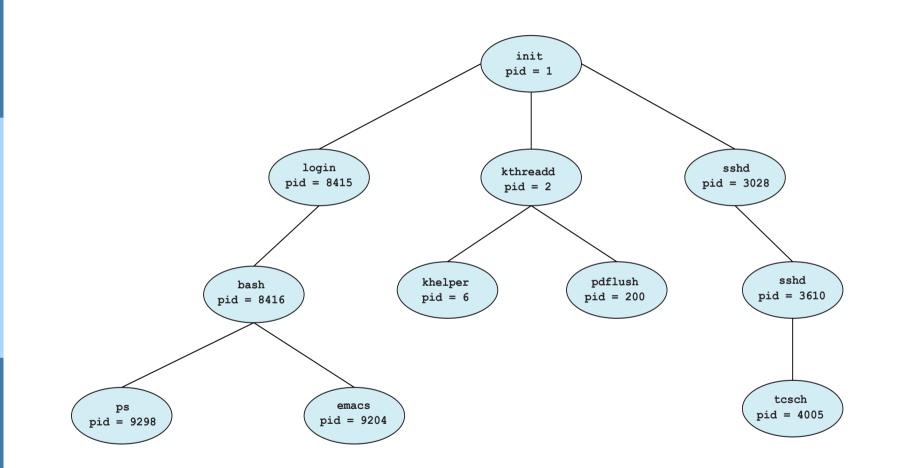


Process Creation

- 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

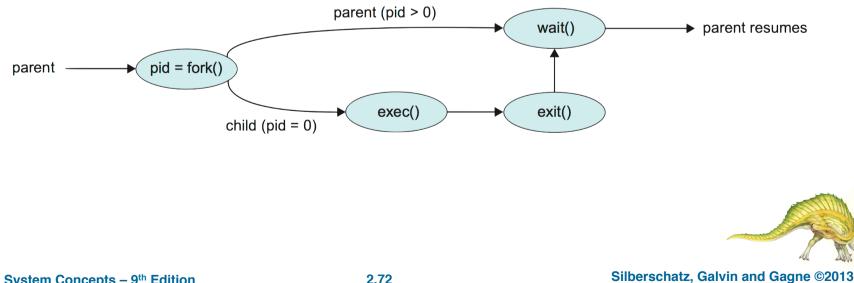






Process Creation (Cont.)

- 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



C Program Forking Separate Process

```
#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;
```

Creating a Separate Process via Windows API

#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);
```



Quizzes

- [T] [F] A child process, right after creation, has the same list of open files as its parent
- [T] [F] The instructions after execlp(...) are never executed
- Including the initial parent process, how many processes are created by the following program?

```
#include <stdio.h>
#include <unistd.h>
int main() {
    fork();
    fork();
    fork();
    return 0;
}
```





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
 - Child has exceeded allocated resources
 - Task assigned to child is no longer required
 - If parent is exiting
 - Some operating systems do not allow child to continue if its parent terminates
 - All children terminated **cascading termination**
- Wait for termination, returning the pid:

pid_t pid; int status;

- pid = wait(&status);
- If no parent waiting, then terminated process is a zombie
- If parent terminated, processes are orphans



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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 categories
 - Browser process manages user interface, disk and network I/O
 - Renderer process renders web pages, deals with HTML, Javascript, new one 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





Programming assignment

- Install VirtualBox (or VMware)
- Create a virtual machine and install Ubuntu (minimal resources are OK)
- Read the online manual (man) of the following system calls:
 - fork(), getpid(), getppid(),
 - exec(), execlp(),
 - wait(), pause(), sleep(), alarm(),
 - exit(), abort().
- Install Code::Blocks
- Implement the exercise seen before
- Implement a "shell"
 - reads from input a command and list of arguments
 - executes the command and outputs child's pid, return value and state
 - exits with command halt, aborts when last command gave error state

