Lecture 5: Processes (2)
Execution State Graph

New → Ready
Create Process → Ready
Unschedule Process → Running
Schedule Process → Waiting
I/O, Page Fault, etc. → Running
I/O Done → Waiting
I/O Done → Ready
Process Exit → Terminated
Terminate Process → Terminated
How to support the process abstraction?

- First, we’ll look at what state a process encapsulates
  - State of the virtual processor we are giving to each program

- Next, we will talk about process behavior/CPU time sharing
  - How to implement the process illusion

- Next, we discuss how the OS implements this abstraction
  - What data structures it keeps, and the role of the scheduler

- Finally, we see the process interface offered to programs
  - How to use this abstraction?
  - What system calls are needed?
How does the OS support this model?

We will discuss three issues:

1. How does the OS represent a process in the kernel?
   - The OS data structure representing each process is called the Process Control Block (PCB)

2. How do we pause and restart processes?
   - We must be able to save and restore the full machine state

3. How do we keep track of all the processes in the system?
   - A lot of queues!
PCB Data Structure

- PCB also is where OS keeps all of a process’ hardware execution state when the process is not running
  - Process ID (PID)
  - Execution state
  - Hardware state: PC, SP, regs
  - Memory management
  - Scheduling
  - Accounting
  - Pointers for state queues
  - Etc.

- This state is everything that is needed to restore the hardware to the same configuration it was in when the process was switched out of the hardware
Xv6 struct proc

enum procstate { UNUSED, EMBRYO, SLEEPING, Runnable, RUNNING, ZOMBIE };

// Per-process state
struct proc {
    uint sz;
    pde_t* pgdir;
    char* kstack;
    enum procstate state;
    volatile int pid;
    struct proc* parent;
    struct trapframe* tf;
    struct context* context;
    void* chan;
    int killed;
    struct file* ofile[NOFILE];
    struct inode* cwd;
    char name[16];
};
```
/* One structure allocated per active process. It contains all
* data needed about the process while the process may be swapped
* out. Other per-process data (user.h) is also inside the proc structure.
* Lightweight-process data (lwp.h) and the kernel stack may be swapped out.
*/
typedef struct proc {
    /* Fields requiring no explicit locking */
    struct vnode *p_exec;          /* pointer to a.out vnode */
    struct as  *p_as;               /* process address space pointer */
    struct plock *p_lockp;         /* ptr to proc struct's mutex lock */
    kmutex_t  p_crlock;             /* lock for p_cred */
    struct cred  *p_cred;           /* process credentials */
    /* Fields protected by pidlock */
    int     p_swapcnt;              /* number of swapped out lwps */
    char    p_stat;                 /* status of process */
    char    p_wcode;                /* current wait code */
    ushort_t p_pidflag;             /* flags protected only by pidlock */
    int     p_wdata;                /* current wait return value */
    pid_t   p_ppid;                 /* process id of parent */
    struct proc  *p_link;           /* forward link */
    struct proc  *p_parent;         /* ptr to parent process */
    struct proc  *p_child;          /* ptr to first child process */
    struct proc  *p_sibling;        /* ptr to next sibling proc on chain */
    struct proc  *p_sibling_ns;     /* ptr to siblings with new state */
    struct proc  *p_child_ns;       /* ptr to children with new state */
    struct proc  *p_next;           /* active chain link next */
    struct proc  *p_prev;           /* active chain link prev */
    struct proc  *p_nextofkin;      /* gets accounting info at exit */
    struct proc  *p_orphan;
    struct proc  *p_nextorph;
    /*p_pglink;     */ process group hash chain link next */
    struct proc  *p_ppglink;        /* process group hash chain link prev */
    struct sess  *p_sessp;          /* session information */
    struct pid    *p_piddp;         /* process ID info */
    struct pid    *p_pgidp;         /* process group ID info */
    /* Fields protected by p_lock */
    kcondvar_t p_cv;                /* proc struct's condition variable */
    kcondvar_t p_flag_cv;
    kcondvar_t p_lwpexit;           /* waiting for some lwp to exit */
    kcondvar_t p_holdlwps;          /* process is waiting for its lwps */
    /* to be held. */
    ushort_t p_pad1;                /* unused */
    uint_t   p_flag;                 /* protected while set. */
    /* Fields defined below */
    clock_t  p_utime;               /* user time, this process */
    clock_t  p_stime;               /* system time, this process */
    clock_t  p_cutime;              /* sum of children's user time */
    clock_t  p_cstime;              /* sum of children's system time */
    caddr_t *p_segacct;             /* segment accounting info */
    caddr_t  p_brkbase;             /* base address of heap */
    size_t   p_brksize;              /* heap size in bytes */
    /* Per process signal stuff. */
    k_sigset_t p_sig;               /* signals pending to this process */
    k_sigset_t p_ignore;            /* ignore when generated */
    k_sigset_t p_siginfo;           /* gets signal info with signal */
    struct sigqueue *p_sigqueue;    /* queued siginfo structures */
    struct sigqhdr *p_sigqhdr;      /* hdr to sigqueue structure pool */
    struct sigqhdr *p_signhdr;      /* hdr to signotify structure pool */
    uchar_t   p_stopsig;            /* jobcontrol stop signal */
}*/
```
struct proc (Solaris) (2)

/* Special per-process flag when set will fix misaligned memory references. */
char p_fixalignment;

/* Per process lwp and kernel thread stuff */
id_t p_lwpid; /* most recently allocated lwp */
int p_lwpcnt; /* number of lwps in this process */
int p_lwprcnt; /* number of not stopped lwps */
int p_lwpwait; /* number of lwps in lwp_wait() */
int p_zombcnt; /* number of zombie lwps */
int p_zomb_max; /* number of entries in p_zomb_tid */
id_t *p_zomb_tid; /* array of zombie lwpids */
kthread_t *p_lwp_list; /* circular list of threads */
/* */
/* /proc (process filesystem) debugger interface stuff. */
k_sigset_t p_sigmask; /* mask of traced signals (/proc) */
k_sftset_t p_fltmask; /* mask of traced faults (/proc) */
struct vnode *p_trace; /* pointer to primary /proc vnode */
struct vnode *p_plist; /* list of /proc vnodes for process */
kthread_t *p_agenttp; /* thread ptr for /proc agent lwp */
struct watched_area *p_warea; /* list of watched areas */
wtime_t p_nwarea; /* number of watched areas */
struct watched_page *p_wpage; /* remembered watched pages (vfork) */
int p_nwpage; /* number of watched pages (vfork) */
int p_mapcnt; /* number of active pr_mappage()s */
struct proc *p_rlink; /* linked list for server */
kcondvar_t p_srwchan_cv; /* */
size_t p_stksize; /* process stack size in bytes */
/* */
/* Microstate accounting, resource usage, and real-time profiling */
hrrtime_t p_mlreal; /* elapsed time sum over defunct lwps */
hrrtime_t p_mlterm; /* elapsed time sum over defunct lwps */
hrtime_t p_acct[NMSTATES]; /* microstate sum over defunct lwps */
struct lrusage p_ru; /* lrusage sum over defunct lwps */
struct itimerval p_rprof_timer; /* ITIMER_REALPROF interval timer */
uintptr_t p_rprof_cyclic; /* ITIMER_REALPROF cyclic */
uint_t p_defunct; /* number of defunct lwps */
/* */
/* /proc (process filesystem) debugger interface stuff. */
k_mutex_t p_pflock; /* protects user profile arguments */
struct prof p_prof; /* profile arguments */
/* */
/* The user structure */
struct user p_user; /* (see sys/user.h) */
/* */
/* Doors. */
struct door_t *p_server_threads;
struct door_node *p_door_list; /* active doors */
struct door_node *p_unref_list;
kcondvar_t p_server_cv;
char p_unref_thread; /* unref thread created */
/* */
/* Kernel probes */
uchar_t p_tnf_flags;
/* C2 Security (C2_AUDIT) */
caddr_t p_audit_data; /* per process audit structure */
kthread_t *p_aslwtp; /* thread ptr representing "aslwp" */
#if defined(i386) || defined(__i386) || defined(__ia64)
/* LDT support. */
kmutex_t p_ldtlock; /* protects the following fields */
struct seg_desc *p_ldt; /* Pointer to private LDT */
struct seg_desc p_ldt_desc; /* segment descriptor for private LDT */
int p_ldtlimit; /* highest selector used */
#endif
size_t p_swrss; /* resident set size before last swap */
struct aio *p_aio; /* pointer to async I/O struct */
struct itimer **p_itimer; /* interval timers */
k_sigset_t p_notifsigs; /* signals in notification set */
kcondvar_t p_notifcv; /* notif cv to synchronize with aslwp */
timeout_id_t p_alarmid; /* alarm's timeout id */
uint_t p_sc_unblocked; /* number of unblocked threads */
struct vnode *p_sc_door; /* scheduler activations door */
caddr_t p_usrstack; /* top of the process stack */
uint_t p_stkprot; /* stack memory protection */
model_t p_model; /* data model determined at exec time */
struct lwpchan_data *p_lcp; /* lwchan cache */
/* protects unmapping and initialization of robust locks. */
kmutex_t p_lcp_mutexinitlock;
utrap_handler_t *p_utraps; /* pointer to user trap handlers */
refstr_t *p_corefile; /* pattern for core file */
#endif

*/

/* C2 Security (C2_AUDIT) */
caddr_t p_upstack; /* base of the upward-growing stack */
size_t p_upstksize; /* size of that stack, in bytes */
uchar_t p_isa; /* which instruction set is utilized */
#endif

void *p_rce; /* resource control extension data */
struct task *p_task; /* our containing task */
struct proc *p_taskprev; /* ptr to previous process in task */
struct proc *p_tasknext; /* ptr to next process in task */
int p_lwpdaemon; /* number of TP_DAEMON lwps */
int p_lwpdwait; /* number of daemons in lwp_wait() */
kthread_t **p_tidhash; /* tid (lwpid) lookup hash table */
struct sc_data *p_schedctl; /* available schedctl structures */
} proc_t;
How to pause/restart processes?

- When a process is running, its dynamic state is in memory and some hardware registers
  - Hardware registers include Program counter, stack pointer, control registers, data registers, …
  - To be able to stop and restart a process, we need to completely restore this state

- When the OS stops running a process, it saves the current values of the registers (usually in PCB)

- When the OS restarts executing a process, it loads the hardware registers from the stored values in PCB

- Changing CPU hardware state from one process to another is called a context switch
  - This can happen 100s or 1000s of times a second!
How does the OS track processes?

- The OS maintains a collection of queues that represent the state of all processes in the system.

- Typically, the OS at least one queue for each state:
  - Ready, waiting, etc.

- Each PCB is queued on a state queue according to its current state.

- As a process changes state, its PCB is unlinked from one queue and linked into another.
State Queues

There may be many wait queues, one for each type of wait (disk, console, timer, network, etc.)
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- What system calls are needed?
Process system call API

- Process creation: how to create a new process?

- Process termination: how to terminate and clean up a process

- Coordination between processes
  - Wait, waitpid, signal, inter-process communication, synchronization

- Other
  - E.g., set quotas or priorities, examine usage, …
Process Creation

- A process is created by another process
  - Why is this the case?
  - Parent is creator, child is created (Unix: `ps “PPID” field`)
  - What creates the first process (Unix: `init (PID 0 or 1)`)?

- In some systems, the parent defines (or donates) resources and privileges for its children
  - Unix: Process User ID is inherited – children of your shell execute with your privileges

- After creating a child, the parent may either wait for it to finish its task or continue in parallel (or both)
The system call on Windows for creating a process is called, surprisingly enough, CreateProcess:

```c
BOOL CreateProcess(char *prog, char *args) (simplified)
```

CreateProcess

- Creates and initializes a new PCB
- Creates and initializes a new address space
- Loads the program specified by “prog” into the address space
- Copies “args” into memory allocated in address space
- Initializes the saved hardware context to start execution at main (or wherever specified in the file)
- Places the PCB on the ready queue
Process Creation: Unix

- In Unix, processes are created using `fork()`
  ```c
  int fork()
  ```

- `fork()`
  - Creates and initializes a new PCB
  - Creates a new address space
  - Initializes the address space with a copy of the entire contents of the address space of the parent
  - Initializes the kernel resources to point to the resources used by parent (e.g., open files)
  - Places the PCB on the ready queue

- Fork returns **twice**
  - Returns the child’s PID to the parent, “0” to the child
int main(int argc, char *argv[]) {
    char *name = argv[0];
    int child_pid = fork();
    if (child_pid == 0) {
        printf("Child of %s is %d\n", name, getpid());
        return 0;
    } else {
        printf("My child is %d\n", child_pid);
        return 0;
    }
}
Example Output

[well ~]$ gcc t.c
[well ~]$ ./a.out
My child is 486
Child of a.out is 486
Duplicating Address Spaces

```
child_pid = fork();
if (child_pid == 0) {
    printf("child");
} else {
    printf("parent");
}
```

Parent

```
child_pid = fork();
if (child_pid == 0) {
    printf("child");
} else {
    printf("parent");
}
```

Child
Divergence

Parent

```
child_pid = fork();
if (child_pid == 0) {
    printf("child");
} else {
    printf("parent");
}
```

Child

```
child_pid = fork();
if (child_pid == 0) {
    printf("child");
} else {
    printf("parent");
}
```

child_pid = 486

child_pid = 0

PC

PC
Example Continued

[well ~]$ gcc t.c
[well ~]$ ./a.out
My child is 486
Child of a.out is 486
[well ~]$ ./a.out
Child of a.out is 498
My child is 498

Why is the output in a different order?
Why fork()?

- Very useful when the child...
  - Is cooperating with the parent
  - Relies upon the parent’s data to accomplish its task
- Example: Web server

```c
while (1) {
    int sock = accept();
    if ((child_pid = fork()) == 0) {
        Handle client request
    } else {
        Close socket
    }
}
```
Wait a second. How do we actually start a new program?

```c
int exec(char *prog, char *argv[])
```

- Stops the current process
- Loads the program “prog” into the process’ address space
- Initializes hardware context and args for the new program
- Places the PCB onto the ready queue
- Note: It does not create a new process

What does it mean for `exec` to return?

What does it mean for `exec` to return with an error?
fork() is used to create a new process, exec is used to load a program into the address space

What happens if you run “exec csh” in your shell?
What happens if you run “exec ls” in your shell? Try it.

fork() can return an error. Why might this happen?
Process Termination

- All good processes must come to an end. But how?
  - Unix: `exit(int status)`, NT: `ExitProcess(int status)`

- Essentially, free resources and terminate
  - Terminate all threads (next lecture)
  - Close open files, network connections
  - Allocated memory (and VM pages out on disk)
  - Remove PCB from kernel data structures, delete

- Note that a process does not need to clean up itself
  - OS will handle this on its behalf
wait() a second...

- Often it is convenient to pause until a child process has finished
  - Think of executing commands in a shell
- Use `wait()` (*WaitForSingleObject*)
  -Suspends the current process until a child process ends
  - `waitpid()` suspends until the specified child process ends
- Wait has a return value...what is it?
- Unix: Every process must be reaped by a parent
  - What happens if a parent process exits before a child?
  - What do you think is a “zombie” process?
Unix Shells

while (1) {
    char *cmd = read_command();
    int child_pid = fork();
    if (child_pid == 0) {
        Manipulate STDIN/OUT/ERR file descriptors for pipes, redirection, etc.
        exec(cmd);
        panic("exec failed");
    } else {
        if (!(run_in_background))
            waitpid(child_pid);
    }
}
Processes: check your understanding

- What are the units of execution?
  - Processes

- How are those units of execution represented?
  - Process Control Blocks (PCBs)

- How is work scheduled in the CPU?
  - Process states, process queues, context switches

- What are the possible execution states of a process?
  - Running, ready, waiting, …

- How does a process move from one state to another?
  - Scheduling, I/O, creation, termination

- How are processes created?
  - CreateProcess (NT), fork/exec (Unix)