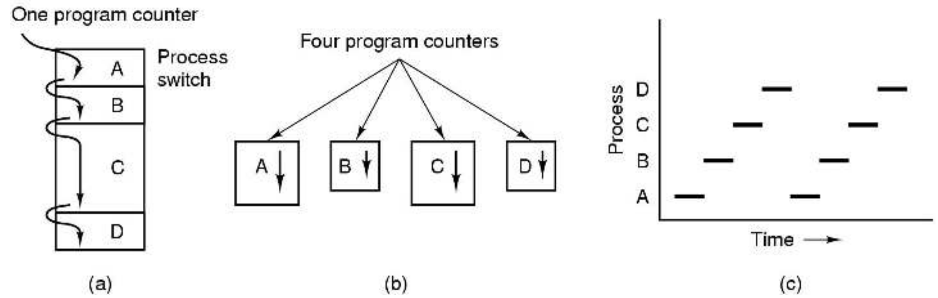
Chapter 2

Processes and Threads

Processes
The Process Model



- Multiprogramming of four programs
- Conceptual model of 4 independent, sequential processes
- Only one program active at any instant

Process Creation

Principal events that cause process creation

1. System initialization
- Execution of a process creation system
1. User request to create a new process
2. Initiation of a batch job

Process Termination

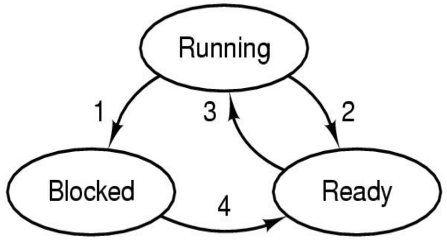
Conditions which terminate processes

1. Normal exit (voluntary)
2. Error exit (voluntary)
3. Fatal error (involuntary)
4. Killed by another process (involuntary)

Process Hierarchies

- Parent creates a child process, child processes can create its own process
- Forms a hierarchy
  - UNIX calls this a "process group"
- Windows has no concept of process hierarchy
  - all processes are created equal

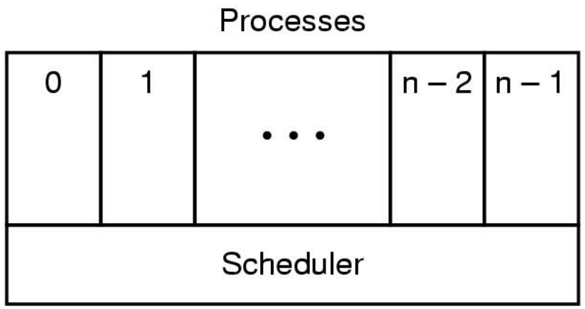
Process States (1)



1. Process blocks for input
2. Scheduler picks another process
3. Scheduler picks this process
4. Input becomes available

- Possible process states
  - running
  - blocked
  - ready
- Transitions between states shown

Process States (2)



- Lowest layer of process-structured OS
  - handles interrupts, scheduling
- Above that layer are sequential processes

Implementation of Processes (1)

Process management	**Memory management**	**File management**
Registers Program counter Program status word Stack pointer Process state Priority Scheduling parameters Process ID Parent process Process group Signals Time when process started CPU time used Children's CPU time Time of next alarm	Pointer to text segment Pointer to data segment Pointer to stack segment	Root directory Working directory File descriptors User ID Group ID

Fields of a process table entry

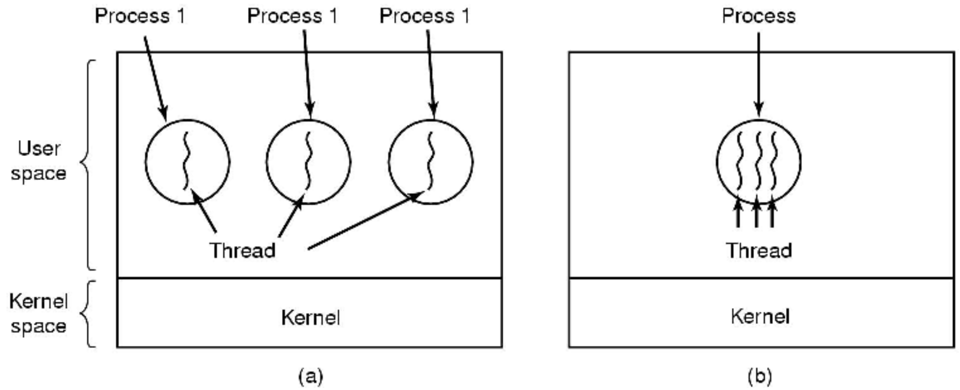
Implementation of Processes (2)

1. Hardware stacks program counter, etc.
2. Hardware loads new program counter from interrupt vector.
3. Assembly language procedure saves registers.
4. Assembly language procedure sets up new stack.
5. C interrupt service runs (typically reads and buffers input).
6. Scheduler decides which process is to run next.
7. C procedure returns to the assembly code.
8. Assembly language procedure starts up new current process.

Skeleton of what lowest level of OS does when an interrupt occurs

Threads

The Thread Model (1)



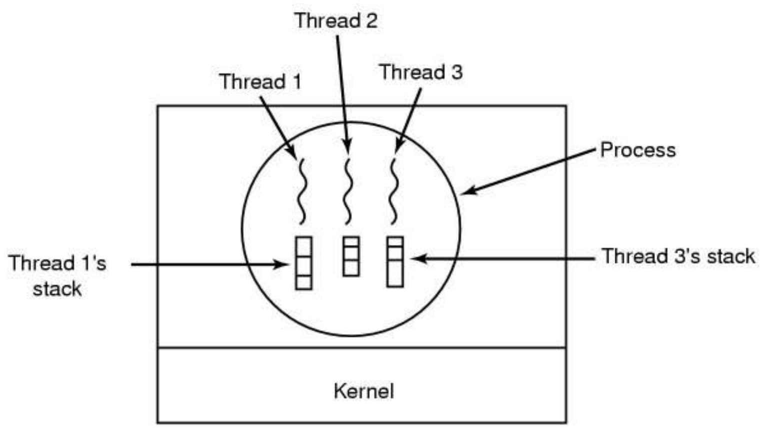
(a) Three processes each with one thread
(b) One process with three threads

The Thread Model (2)

Per process items	Per thread items
Address space	Program counter
Global variables	Registers
Open files	Stack
Child processes	State
Pending alarms	
Signals and signal handlers	
Accounting information	

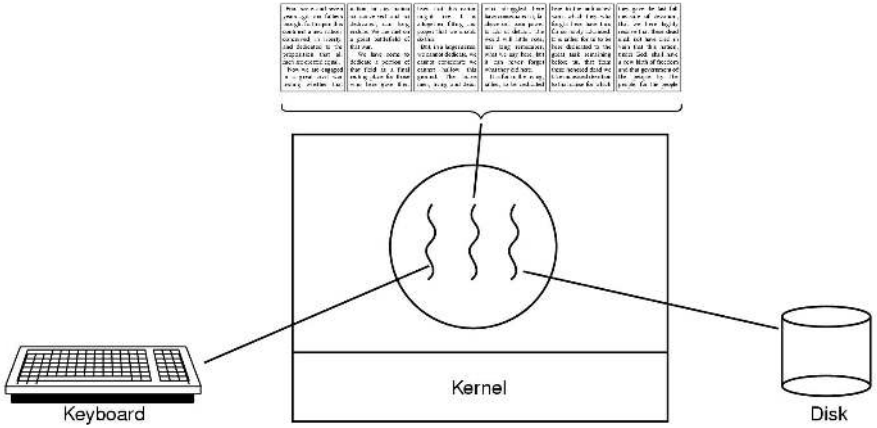
- Items shared by all threads in a process
- Items private to each thread

The Thread Model (3)



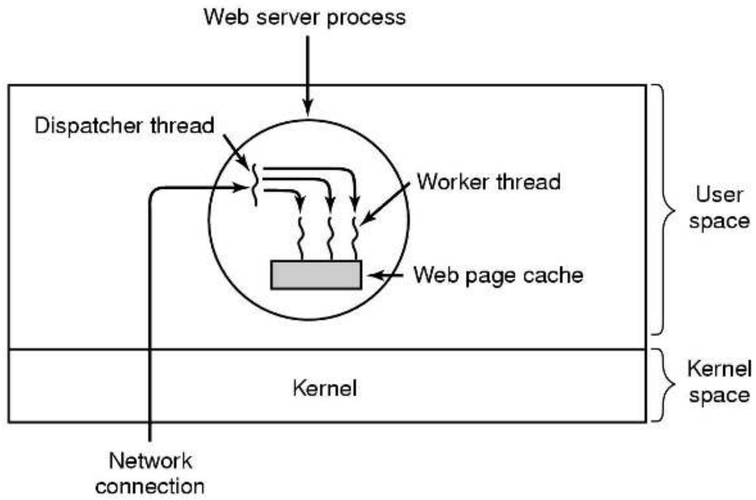
Each thread has its own stack

Thread Usage (1)



A word processor with three threads

Thread Usage (2)



A multithreaded Web server

Thread Usage (3)

```
while (TRUE) {
  get_next_request(&buf);
  handoff_work(&buf);
}
```

(a)

```
while (TRUE) {
  wait_for_work(&buf)
  look_for_page_in_cache(&buf, &page);
  if (page_not_in_cache(&page)
       read_page_from_disk(&buf, &page);
  return_page(&page);
}
```

(b)

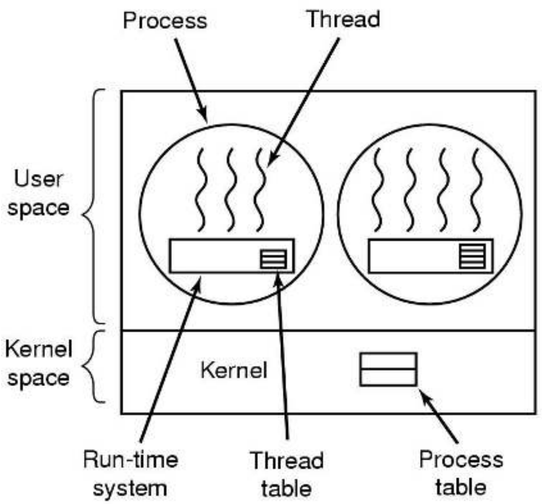
- Rough outline of code for previous slide
  - (a) Dispatcher thread
  - (b) Worker thread

Thread Usage (4)

Model	**Characteristics**
Threads	Parallelism, blocking system calls
Single-threaded process	No parallelism, blocking system calls
Finite-state machine	Parallelism, nonblocking system calls, interrupts

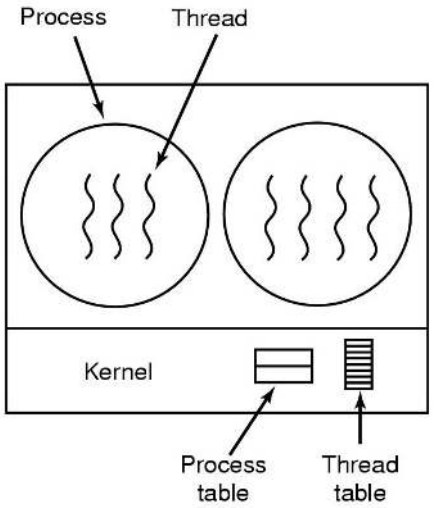
Three ways to construct a server

Implementing Threads in User Space



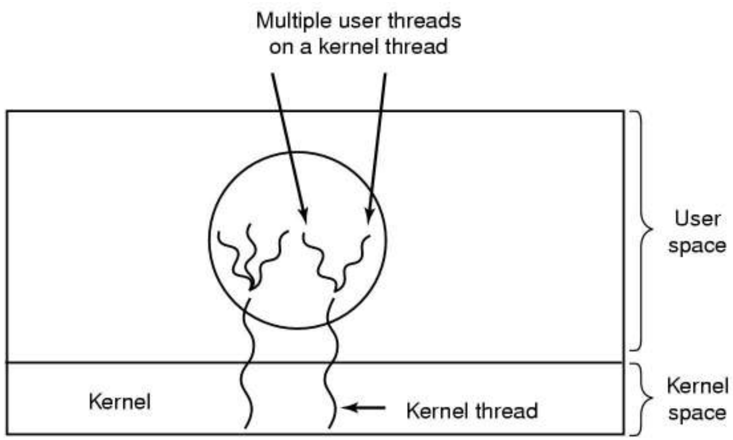
A user-level threads package

Implementing Threads in the Kernel



A threads package managed by the kernel

Hybrid Implementations

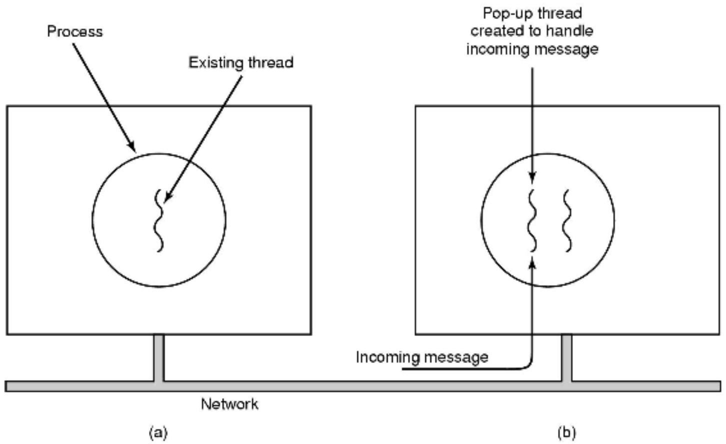


Multiplexing user-level threads onto kernel- level threads

Scheduler Activations

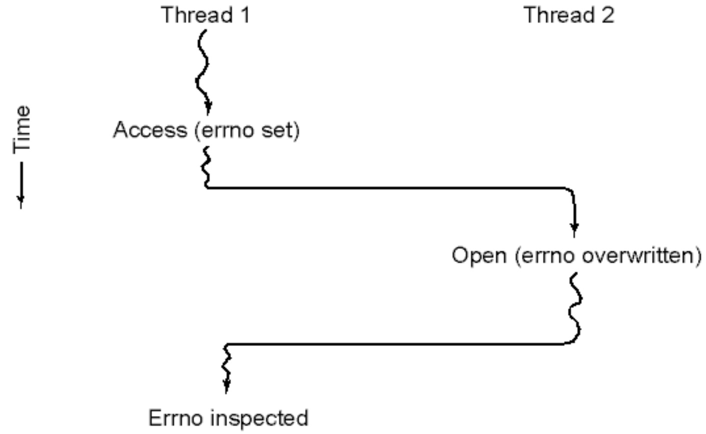
- Goal – mimic functionality of kernel threads
  - gain performance of user space threads
- Avoids unnecessary user/kernel transitions
- Kernel assigns virtual processors to each process
  - lets runtime system allocate threads to processors
- Problem:
  Fundamental reliance on kernel (lower layer)
  calling procedures in user space (higher layer)

Pop-Up Threads



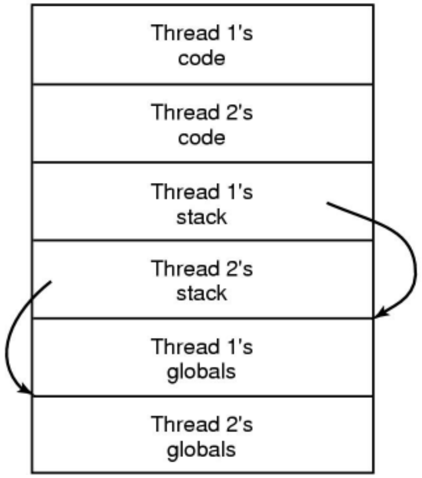
- Creation of a new thread when message arrives
  (a) before message arrives
  (b) after message arrives

Making Single-Threaded Code Multithreaded (1)



Conflicts between threads over the use of a global variable

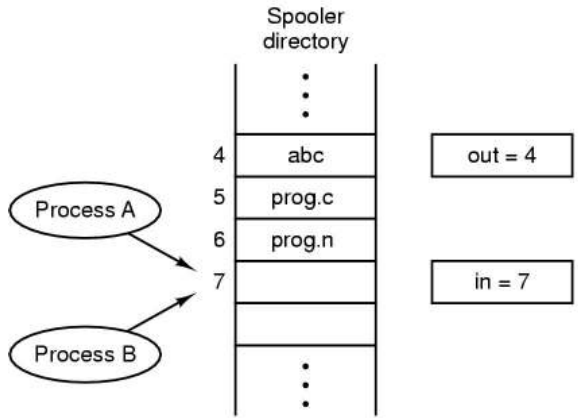
Making Single-Threaded Code Multithreaded (2)



Threads can have private global variables

Interprocess Communication

Race Conditions



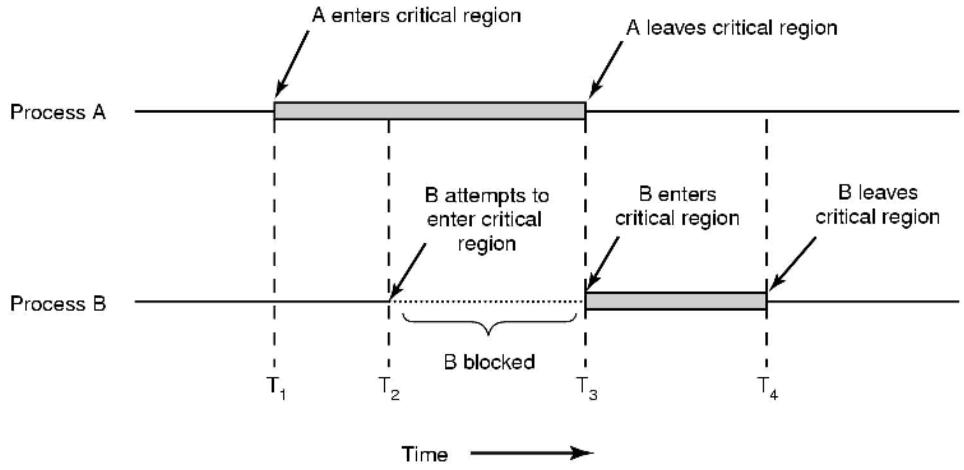
Two processes want to access shared memory at same time

Critical Regions (1)

Four conditions to provide mutual exclusion

1. No two processes simultaneously in critical region
2. No assumptions made about speeds or numbers of CPUs
3. No process running outside its critical region may block another process
4. No process must wait forever to enter its critical region

Critical Regions (2)



Mutual exclusion using critical regions

Mutual Exclusion with Busy Waiting (1)

```
while (TRUE) {
    while (turn != 0)        /* loop */ ;
    critical_region( );
    turn = 1;
    noncritical_region( );
}
```

(a)

```
while (TRUE) {
    while (turn != 1)        /* loop */ ;
    critical_region( );
    turn = 0;
    noncritical_region( );
}
```

(b)

Proposed solution to critical region problem
(a) Process 0. (b) Process 1.

Mutual Exclusion with Busy Waiting (2)

```
#define FALSE  0
#define TRUE   1
#define N      2                        /* number of processes */

int turn;                               /* whose turn is it? */
int interested[N];                      /* all values initially 0 (FALSE) */

void enter_region(int process);         /* process is 0 or 1 */
{
    int other;                          /* number of the other process */

    other = 1 – process;                /* the opposite of process */
    interested[process] = TRUE;         /* show that you are interested */
    turn = process;                     /* set flag */
    while (turn == process && interested[other] == TRUE) /* null statement */ ;
}

void leave_region(int process)          /* process: who is leaving */
{
    interested[process] = FALSE;        /* indicate departure from critical region */
}
```

Peterson's solution for achieving mutual exclusion

Mutual Exclusion with Busy Waiting (3)

```
enter_region:
      TSL REGISTER,LOCK          | copy lock to register and set lock to 1
      CMP REGISTER,#0            | was lock zero?
      JNE enter_region           | if it was non zero, lock was set, so loop
      RET | return to caller; critical region entered

leave_region:
      MOVE LOCK,#0               | store a 0 in lock
      RET | return to caller
```

Entering and leaving a critical region using the TSL instruction

Sleep and Wakeup

```
#define N 100                                   /* number of slots in the buffer */
int count = 0;                                  /* number of items in the buffer */

void producer(void)
{
     int item;

     while (TRUE) {                             /* repeat forever */
          item = produce_item();                /* generate next item */
          if (count == N) sleep();              /* if buffer is full, go to sleep */
          insert_item(item);                    /* put item in buffer */
          count = count + 1;                    /* increment count of items in buffer */
          if (count == 1) wakeup(consumer);     /* was buffer empty? */
     }
}

void consumer(void)
{
     int item;

     while (TRUE) {                             /* repeat forever */
          if (count == 0) sleep();              /* if buffer is empty, got to sleep */
          item = remove_item();                 /* take item out of buffer */
          count = count - 1;                    /* decrement count of items in buffer */
          if (count == N  1) wakeup(producer);  /* was buffer full? */
          consume_item(item);                   /* print item */
     }
}
```

Producer-consumer problem with fatal race condition

Semaphores

```
#define N 100                           /* number of slots in the buffer */
typedef int semaphore;                  /* semaphores are a special kind of int */
semaphore mutex = 1;                    /* controls access to critical region */
semaphore empty = N;                    /* counts empty buffer slots */
semaphore full = 0;                     /* counts full buffer slots */

void producer(void)
{
     int item;

     while (TRUE) {                     /* TRUE is the constant 1 */
          item = produce_item();        /* generate something to put in buffer */
          down(&empty);                 /* decrement empty count */
          down(&mutex);                 /* enter critical region */
          insert_item(item);            /* put new item in buffer */
          up(&mutex);                   /* leave critical region */
          up(&full);                    /* increment count of full slots */
     }
}

void consumer(void)
{
     int item;

     while (TRUE) {                     /* infinite loop */
          down(&full);                  /* decrement full count */
          down(&mutex);                 /* enter critical region */
          item = remove_item();         /* take item from buffer */
          up(&mutex);                   /* leave critical region */
          up(&empty);                   /* increment count of empty slots */
          consume_item(item);           /* do something with the item */
     }
}
```

The producer-consumer problem using semaphores

Mutexes

```
mutex_lock:
      TSL REGISTER,MUTEX         | copy mutex to register and set mutex to 1
      CMP REGISTER,#0            | was mutex zero?
      JZE ok                     | if it was zero, mutex was unlocked, so return
      CALL thread_yield          | mutex is busy; schedule another thread
      JMP mutex_lock             | try again later
ok:   RET | return to caller; critical region entered

mutex_unlock:
      MOVE MUTEX,#0              | store a 0 in mutex
      RET | return to caller
```

Implementation of *mutex_lock* and *mutex_unlock*

Monitors (1)

```
monitor example
    integer i;
    condition c;

    procedure producer( );
    .
    .
    .
    end;

    procedure consumer( );
    .
    .
    .
    end;
end monitor;
```

Example of a monitor

Monitors (2)

```
monitor ProducerConsumer
    condition full, empty;
    integer count;
    procedure insert(item: integer);
    begin
        if count = N then wait(full);
        insert_item(item);
        count := count + 1;
        if count = 1 then signal(empty)
    end;
    function remove: integer;
    begin
        if count = 0 then wait(empty);
        remove = remove_item;
        count := count − 1;
        if count = N − 1 then signal(full)
    end;
    count := 0;
end monitor;
```

```
procedure producer;
begin
    while true do
    begin
        item = produce_item;
        ProducerConsumer.insert(item)
    end
end;
procedure consumer;
begin
    while true do
    begin
        item = ProducerConsumer.remove;
        consume_item(item)
    end
end;
```

- Outline of producer-consumer problem with monitors
  - only one monitor procedure active at one time
  - buffer has *N* slots

Monitors (3)

```
public class ProducerConsumer {
    static final int N = 100;                   // constant giving the buffer size
    static producer p = new producer( );        // instantiate a new producer thread
    static consumer c = new consumer( );        // instantiate a new consumer thread
    static our_monitor mon = new our_monitor( ); // instantiate a new monitor
    public static void main(String args[ ]) {
        p.start( );                             // start the producer thread
        c.start( );                             // start the consumer thread
    }
    static class producer extends Thread {
        public void run( ) {                    // run method contains the thread code
            int item;
            while (true) {                      // producer loop
                item = produce_item( );
                mon.insert(item);
            }
        }
        private int produce_item( ) { ... }     // actually produce
    }
    static class consumer extends Thread {
        public void run( ) {                    run method contains the thread code
            int item;
            while (true) {                      // consumer loop
                item = mon.remove( );
                consume_item (item);
            }
        }
        private void consume_item(int item) { ... }   // actually consume
    }
```

Solution to producer-consumer problem in Java (part 1)

Monitors (4)

```
    static class our_monitor {                  // this is a monitor
        private int buffer[ ] = new int[N];
        private int count = 0, lo = 0, hi = 0;  // counters and indices
        public synchronized void insert(int val) {
            if (count == N) go_to_sleep( );     // if the buffer is full, go to sleep
            buffer [hi] = val;                  // insert an item into the buffer
            hi = (hi + 1) % N;                  // slot to place next item in
            count = count + 1;                  // one more item in the buffer now
            if (count == 1) notify( );          // if consumer was sleeping, wake it up
        }
        public synchronized int remove( ) {
            int val;
            if (count == 0) go_to_sleep( );     // if the buffer is empty, go to sleep
            val = buffer [lo];                  // fetch an item from the buffer
            lo = (lo + 1) % N;                  // slot to fetch next item from
            count = count − 1;                  // one few items in the buffer
            if (count == N − 1) notify( );      // if producer was sleeping, wake it up
            return val;
        }
        private void go_to_sleep( ) { try{wait( );} catch(InterruptedException exc) {};}
    }
}
```

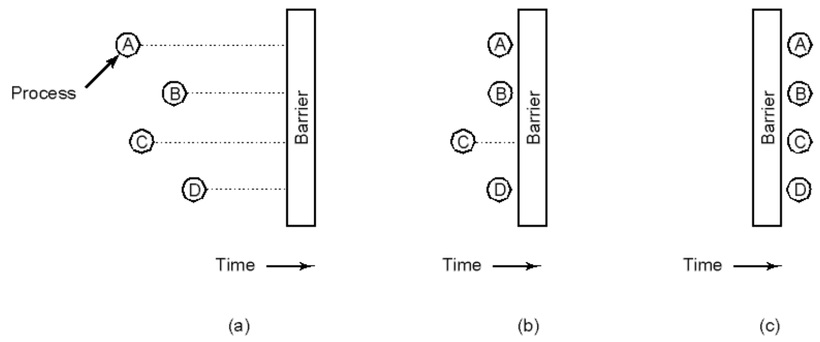
Solution to producer-consumer problem in Java (part 2)

Message Passing

```
#define N 100                          /* number of slots in the buffer */

void producer(void)
{
     int item;
     message m;                        /* message buffer */

     while (TRUE) {
          item = produce_item( );      /* generate something to put in buffer */
          receive(consumer, &m);       /* wait for an empty to arrive */
          build_message(&m, item);     /* construct a message to send */
          send(consumer, &m);          /* send item to consumer */
     }
}

void consumer(void)
{
     int item, i;
     message m;

     for (i = 0; i < N; i++) send(producer, &m); /* send N empties */
     while (TRUE) {
          receive(producer, &m);       /* get message containing item */
          item = extract_item(&m);     /* extract item from message */
          send(producer, &m);          /* send back empty reply */
          consume_item(item);          /* do something with the item */
     }
}
```

The producer-consumer problem with N messages

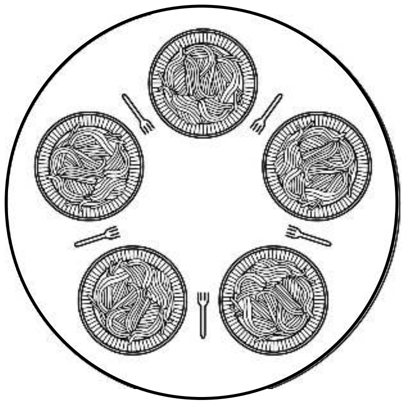
Barriers



- Use of a barrier
  - processes approaching a barrier
  - all processes but one blocked at barrier
  - last process arrives, all are let through

Dining Philosophers (1)

- Philosophers eat/think
- Eating needs 2 forks
- Pick one fork at a time
- How to prevent deadlock



Dining Philosophers (2)

```
#define N 5                          /* number of philosophers */

void philosopher(int i)              /* i: philosopher number, from 0 to 4 */
{
     while (TRUE) {
          think( );                  /* philosopher is thinking */
          take_fork(i);              /* take left fork */
          take_fork((i+1) % N);      /* take right fork; % is modulo operator */
          eat( );                    /* yum-yum, spaghetti */
          put_fork(i);               /* put left fork back on the table */
          put_fork((i+1) % N);       /* put right fork back on the table */
     }
}
```

A nonsolution to the dining philosophers problem

Dining Philosophers (3)

```
#define N          5             /* number of philosophers */
#define LEFT       (i+N−1)%N     /* number of i's left neighbor */
#define RIGHT      (i+1)%N       /* number of i's right neighbor */
#define THINKING   0             /* philosopher is thinking */
#define HUNGRY     1             /* philosopher is trying to get forks */
#define EATING     2             /* philosopher is eating */
typedef int semaphore;           /* semaphores are a special kind of int */
int state[N];                    /* array to keep track of everyone's state */
semaphore mutex = 1;             /* mutual exclusion for critical regions */
semaphore s[N];                  /* one semaphore per philosopher */

void philosopher(int i)          /* i: philosopher number, from 0 to N−1 */
{
    while (TRUE) {               /* repeat forever */
        think( );                /* philosopher is thinking */
        take_forks(i);           /* acquire two forks or block */
        eat( );                  /* yum-yum, spaghetti */
        put_forks(i);            /* put both forks back on table */
    }
}
```

Solution to dining philosophers problem (part 1)

Dining Philosophers (4)

```
void take_forks(int i)           /* i: philosopher number, from 0 to N−1 */
{
    down(&mutex);                /* enter critical region */
    state[i] = HUNGRY;           /* record fact that philosopher i is hungry */
    test(i);                     /* try to acquire 2 forks */
    up(&mutex);                  /* exit critical region */
    down(&s[i]);                 /* block if forks were not acquired */
}
void put_forks(i)                /* i: philosopher number, from 0 to N−1 */
{
    down(&mutex);                /* enter critical region */
    state[i] = THINKING;         /* philosopher has finished eating */
    test(LEFT);                  /* see if left neighbor can now eat */
    test(RIGHT);                 /* see if right neighbor can now eat */
    up(&mutex);                  /* exit critical region */
}

void test(i)                     /* i: philosopher number, from 0 to N−1 */
{
    if (state[i] == HUNGRY && state[LEFT] != EATING && state[RIGHT] != EATING) {
        state[i] = EATING;
        up(&s[i]);
    }
}
```

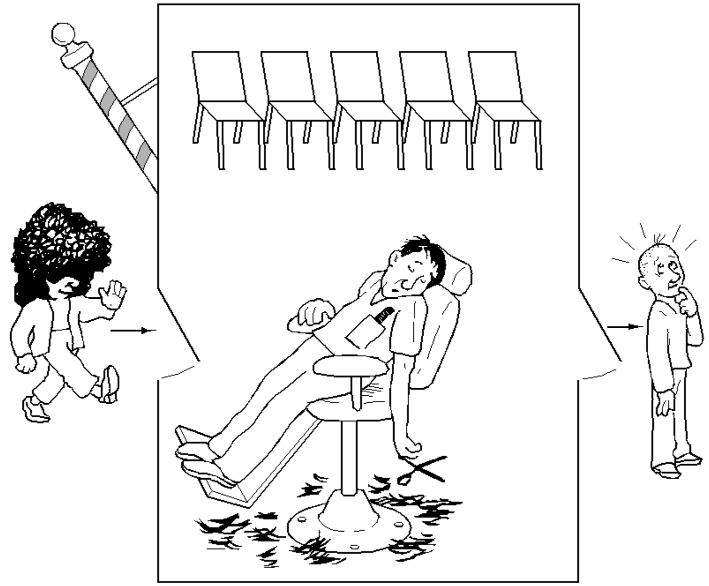
Solution to dining philosophers problem (part 2)

The Readers and Writers Problem

```
typedef int semaphore;           /* use your imagination */
semaphore mutex = 1;             /* controls access to 'rc' */
semaphore db = 1;                /* controls access to the database */
int rc = 0;                      /* # of processes reading or wanting to */

void reader(void)
{
    while (TRUE) {               /* repeat forever */
        down(&mutex);            /* get exclusive access to 'rc' */
        rc = rc + 1;             /* one reader more now */
        if (rc == 1) down(&db);  /* if this is the first reader ... */
        up(&mutex);              /* release exclusive access to 'rc' */
        read_data_base( );       /* access the data */
        down(&mutex);            /* get exclusive access to 'rc' */
        rc = rc − 1;             /* one reader fewer now */
        if (rc == 0) up(&db);    /* if this is the last reader ... */
        up(&mutex);              /* release exclusive access to 'rc' */
        use_data_read( );        /* noncritical region */
    }
}

void writer(void)
{
    while (TRUE) {               /* repeat forever */
        think_up_data( );        /* noncritical region */
        down(&db);               /* get exclusive access */
        write_data_base( );      /* update the data */
        up(&db);                 /* release exclusive access */
    }
}
```

A solution to the readers and writers problem

The Sleeping Barber Problem (1)

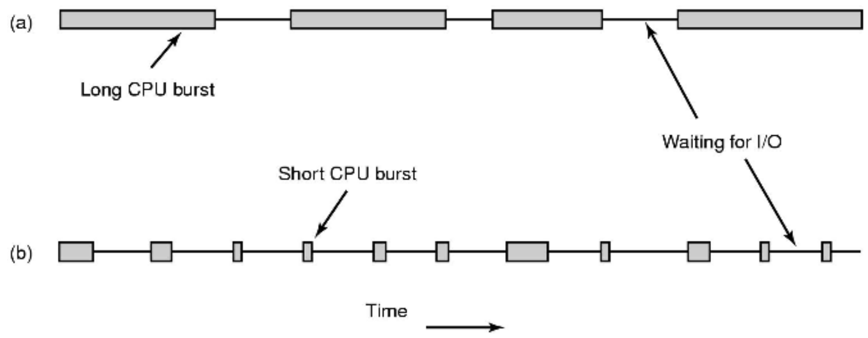


The Sleeping Barber Problem (2)

```
#define CHAIRS 5                 /* # chairs for waiting customers */

typedef int semaphore;           /* use your imagination */

semaphore customers = 0;         /* # of customers waiting for service */
semaphore barbers = 0;           /* # of barbers waiting for customers */
semaphore mutex = 1;             /* for mutual exclusion */
int waiting = 0;                 /* customers are waiting (not being cut) */

void barber(void)
{
     while (TRUE) {
          down(&customers);      /* go to sleep if # of customers is 0 */
          down(&mutex);          /* acquire access to 'waiting' */
          waiting = waiting − 1; /* decrement count of waiting customers */
          up(&barbers);          /* one barber is now ready to cut hair */
          up(&mutex);            /* release 'waiting' */
          cut_hair();            /* cut hair (outside critical region) */
     }
}

void customer(void)
{
     down(&mutex);               /* enter critical region */
     if (waiting < CHAIRS) {     /* if there are no free chairs, leave */
          waiting = waiting + 1; /* increment count of waiting customers */
          up(&customers);        /* wake up barber if necessary */
          up(&mutex);            /* release access to 'waiting' */
          down(&barbers);        /* go to sleep if # of free barbers is 0 */
          get_haircut();         /* be seated and be serviced */
     } else {
          up(&mutex);            /* shop is full; do not wait */
     }
}
```

Solution to sleeping barber problem.

Scheduling
Introduction to Scheduling (1)



- Bursts of CPU usage alternate with periods of I/O wait
  - a CPU-bound process
  - an I/O bound process

Introduction to Scheduling (2)

All systems
Fairness - giving each process a fair share of the CPU
Policy enforcement - seeing that stated policy is carried out
Balance - keeping all parts of the system busy

Batch systems
Throughput - maximize jobs per hour
Turnaround time - minimize time between submission and termination
CPU utilization - keep the CPU busy all the time

Interactive systems
Response time - respond to requests quickly
Proportionality - meet users' expectations

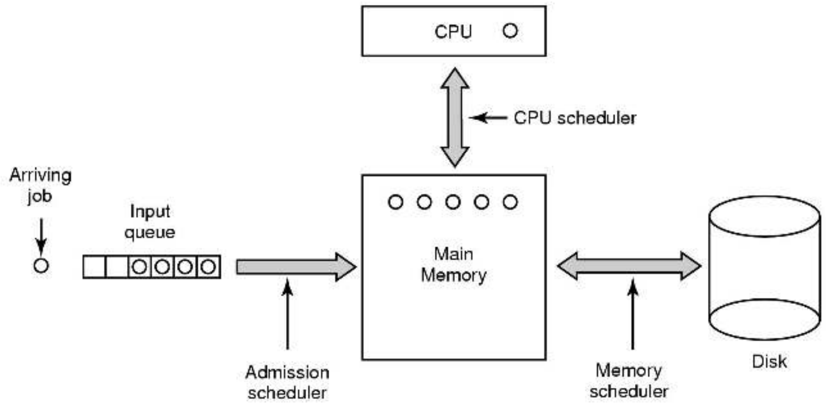
Real-time systems
Meeting deadlines - avoid losing data
Predictability - avoid quality degradation in multimedia systems

Scheduling Algorithm Goals

Scheduling in Batch Systems (1)

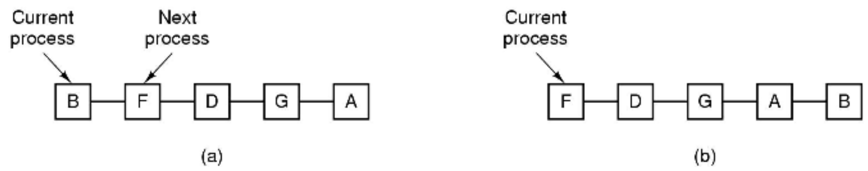
An example of shortest job first scheduling

Scheduling in Batch Systems (2)



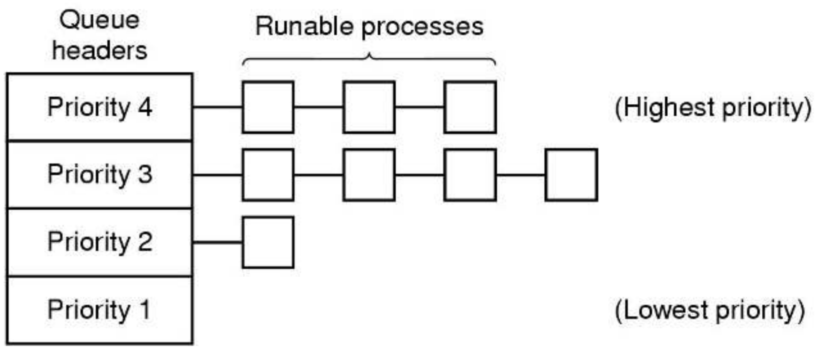
Three level scheduling

Scheduling in Interactive Systems (1)



- Round Robin Scheduling
  - list of runnable processes
  - list of runnable processes after B uses up its quantum

Scheduling in Interactive Systems (2)



A scheduling algorithm with four priority classes

Scheduling in Real-Time Systems

Schedulable real-time system

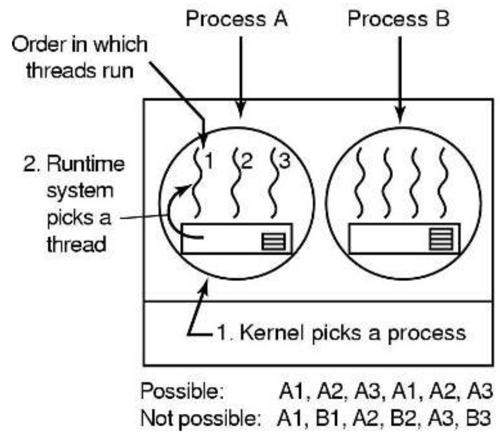
- Given
  - *m* periodic events
  - event *i* occurs within period P_i and requires C_i seconds
- Then the load can only be handled if

$$\sum_{i=1}^{m} \frac{C_i}{P_i} \leq 1$$

Policy versus Mechanism

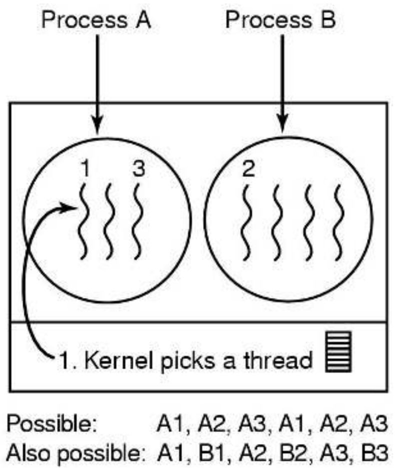
- Separate what is <u>allowed</u> to be done with <u>how</u> it is done
  – a process knows which of its children threads are important and need priority
- Scheduling algorithm parameterized
  – mechanism in the kernel
- Parameters filled in by user processes
  – policy set by user process

Thread Scheduling (1)



Possible scheduling of user-level threads
- 50-msec process quantum
- threads run 5 msec/CPU burst

Thread Scheduling (2)



Possible scheduling of kernel-level threads
- 50-msec process quantum
- threads run 5 msec/CPU burst