CS162 Operating Systems and Systems Programming Lecture 3

Abstractions 1: Threads and Processes A quick, programmer's viewpoint

September 2nd, 2020 Prof. John Kubiatowicz http://cs162.eecs.Berkeley.edu

Goals for Today: The Thread Abstraction

- · What threads are
 - And what they are not
- Why threads are useful (motivation)
- · How to write a program using threads
- Alternatives to using threads



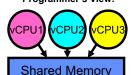
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Recall: Four Fundamental OS Concepts

- Thread: Execution Context
 - Fully describes program state
 - Program Counter, Registers, Execution Flags, Stack
- Address space (with or w/o translation)
 - Set of memory addresses accessible to program (for read or write)
 - May be distinct from memory space of the physical machine (in which case programs operate in a virtual address space)
- · Process: an instance of a running program
 - Protected Address Space + One or more Threads
- Dual mode operation / Protection
 - Only the "system" has the ability to access certain resources
 - Combined with translation, isolates programs from each other and the OS from programs

Recall: Illusion of Multiple Processors

Programmer's View:



On a single physical CPU

Time .

vCPU1

Program counter

• Each virtual core (thread) has:

Program counter (PC), stack pointer (SP)

Multiple threads: Multiplex hardware in time

resident in that processor's registers

A Thread is executing on a processor when it is

- Registers both integer and floating point
- Where is "it" (the thread)?

Threads are virtual cores

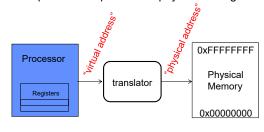
- On the real (physical) core, or
- Saved in chunk of memory called the *Thread Control Block (TCB)*

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Recall: (Virtual) Address Space

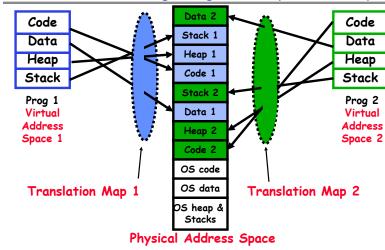
oxFFFFFFFF stack heap Static Data instruction Code Segment 0x00000000

- Address space ⇒ the set of accessible addresses + state associated with them:
 - For 32-bit processor: $2^{32} = 4$ billion (10^9) addresses
 - For 64-bit processor: 2^{64} = 18 quintillion (10¹⁸) addresses
- Virtual Address Space ⇒ Processor's view of memory:
 - Address Space is independent of physical storage



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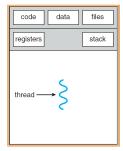
Translation through Page Table (More soon!)



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Recall: Process

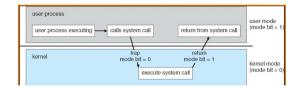
- · Definition: execution environment with Restricted Rights
 - One or more threads executing in a (protected) Address Space
 - Owns memory (address space), file descriptors, network connections, ...
- Instance of a running program
 - When you run an executable, it runs in its own process
 - Application: one or more processes working together
- · Why processes?
 - Protected from each other!
 - OS Protected from them
- In modern OS, anything that runs outside of the kernel runs in a process



Single-Threaded Process

Recall: Dual Mode Operation

- Processes (i.e., programs you run) execute in user mode
 - To perform privileged actions, processes request services from the OS kernel
 - Carefully controlled transition from user to kernel mode
- Kernel executes in kernel mode
 - Performs privileged actions to support running processes
 - ... and configures hardware to properly protect them (e.g., address translation)
- Carefully controlled transitions between user mode and kernel mode
 - System calls, interrupts, exceptions



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What Threads Are

- Definition from before: A single unique execution context
 - Describes its representation
- It provides the abstraction of: A single execution sequence that represents a separately schedulable task
 - Also a valid definition!
- Threads are a mechanism for *concurrency* (overlapping execution)
 - However, they can also run in *parallel* (simultaneous execution)
- Protection is an orthogonal concept
 - A protection domain can contain one thread or many

Motivation for Threads

Operating systems must handle multiple things at once (MTAO)

- Processes, interrupts, background system maintenance

I made this term up!

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- Networked servers must handle MTAO
 - Multiple connections handled simultaneously
- · Parallel programs must handle MTAO
 - To achieve better performance
- · Programs with user interface often must handle MTAO
 - To achieve user responsiveness while doing computation

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- Network and disk bound programs must handle MTAO
 - To hide network/disk latency
 - Sequence steps in access or communicatoin

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Threads Allow Handling MTAO

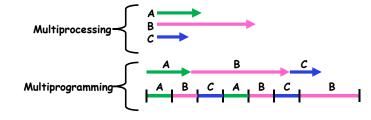
- Threads are a unit of concurrency provided by the OS
- Each thread can represent one thing or one task

Multiprocessing vs. Multiprogramming

· Some Definitions:

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- Multiprocessing: Multiple CPUs(cores)
- Multiprogramming: Multiple jobs/processes
- Multithreading: Multiple threads/processes
- What does it mean to run two threads concurrently?
 - Scheduler is free to run threads in any order and interleaving
 - Thread may run to completion or time-slice in big chunks or small chunks



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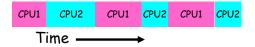
Concurrency is not Parallelism

- Concurrency is about handling multiple things at once (MTAO)
- Parallelism is about doing multiple things simultaneously
- Example: Two threads on a single-core system...
 - ... execute concurrently ...
 - ... but *not* in parallel
- Each thread handles or manages a separate thing or task...
- But those tasks are not necessarily executing simultaneously!

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Adding Threads

- Version of program with threads (loose syntax):
 main() {
 create_thread(ComputePI, "pi.txt");
 create_thread(PrintClassList, "classlist.txt");
- create_thread: Spawns a new thread running the given procedure
 - Should behave as if another CPU is running the given procedure
- Now, you would actually see the class list



Silly Example for Threads

Imagine the following program:

```
main() {
    ComputePI("pi.txt");
    PrintClassList("classlist.txt");
}
```

- What is the behavior here?
- Program would never print out class list
- Why? ComputePI would never finish

Administrivia: Getting started

Should be working on Homework 0 already! ⇒ Due Thursday (9/3)

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- cs162-xx account, Github account, registration survey
- Vagrant and VirtualBox VM environment for the course
 - » Consistent, managed environment on your machine
- Get familiar with all the cs162 tools, submit to autograder via git
- Should be working on Project 0 already! ⇒ Due Next Wednesday (9/9)
 - To be done on your own like a homework!
- Slip days: I'd bank these and not spend them right away!
 - No credit when late and run out of slip days
 - You have 4 slip days for homework
 - You have 4 slip days for projects
- Friday (9/4) is drop day!
 - Very hard to drop afterwards...
 - Please drop sooner if you are going to anyway ⇒ Let someone else in!

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CS 162 Collaboration Policy



Explaining a concept to someone in another group
Discussing algorithms/testing strategies with other groups
Discussing debugging approaches with other groups
Searching online for generic algorithms (e.g., hash table)



Sharing code or test cases with another group or individual (including HW!) Copying OR reading another group's code or test cases Copying OR reading online code or test cases from prior years Helping someone in another group to debug their code

- We compare all project and HW submissions against prior year submissions and online solutions and will take actions (described on the course overview page) against offenders
- Don't put a friend in a bad position by asking for help that they shouldn't give!

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More Practical Motivation: Compute/IO overlap

Back to Jeff Dean's "Numbers Everyone Should Know"

> Handle I/O in separate thread, avoid blocking other progress

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L1 cache reference	0	.5 ns
Branch mispredict	5	ns
L2 cache reference	7	ns
Mutex lock/unlock	25	ns
Main memory reference	100	ns
Compress 1K bytes with Zippy	3,000	ns
Send 2K bytes over 1 Gbps network	20,000	ns
Read 1 MB sequentially from memory	250,000	ns
Round trip within same datacenter	500,000	ns
Disk seek	10,000,000	ns
Read 1 MB sequentially from disk	20,000,000	ns
Send packet CA->Netherlands->CA	150,000,000	ns

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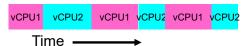
Threads Mask I/O Latency

- A thread is in one of the following three states:
 - RUNNING running
 - READY eligible to run, but not currently running
 - BLOCKED ineligible to run
- · If a thread is waiting for an I/O to finish, the OS marks it as BLOCKED
- Once the I/O finally finishes, the OS marks it as READY

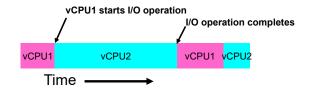


Threads Mask I/O Latency

• If no thread performs I/O:



• If thread 1 performs a blocking I/O operation:



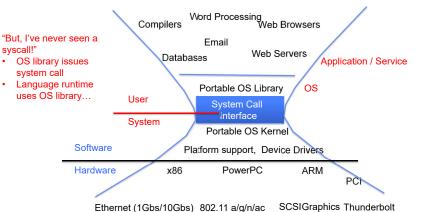
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A Better Example for Threads

- Version of program with threads (loose syntax):
 main() {
 create_thread(ReadLargeFile, "pi.txt");
 create_thread(RenderUserInterface);
 }
- · What is the behavior here?
 - Still respond to user input
 - While reading file in the background

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System Calls ("Syscalls")

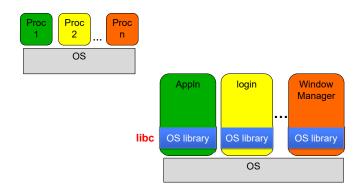


Multithreaded Programs

- You know how to compile a C program and run the executable
 - This creates a process that is executing that program
- Initially, this new process has one thread in its own address space
 - With code, globals, etc. as specified in the executable
- · Q: How can we make a multithreaded process?
- A: Once the process starts, it issues system calls to create new threads
 - These new threads are part of the process: they share its address space

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OS Library Issues Syscalls



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OS Library API for Threads: pthreads

- thread is created executing *start routine* with *arg* as its sole argument.
- return is implicit call to pthread exit

void pthread exit(void *value ptr);

- terminates the thread and makes *value ptr* available to any successful join

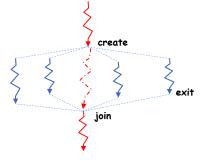
int pthread join(pthread t thread, void **value ptr);

- suspends execution of the calling thread until the target *thread* terminates.
- On return with a non-NULL value_ptr the value passed to <u>pthread_exit()</u> by the terminating thread is made available in the location referenced by <u>value_ptr</u>.

prompt% man pthread https://pubs.opengroup.org/onlinepubs/7908799/xsh/pthread.h.html

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New Idea: Fork-Join Pattern



- Main thread creates (forks) collection of sub-threads passing them args to work on...
- ... and then joins with them, collecting results.

Peeking Ahead: System Call Example

What happens when pthread_create(...) is called in a process?

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#include <stdlib.h>

pThreads Example

- How many threads are in this program?
- Does the main thread join with the threads in the same order that they were created?
- Do the threads exit in the same order they were created?
- If we run the program again, would the result change?

```
(base) CullerMac19:code04 culler$ ./pthread 4
Main stack: 7ffee2c6b6b8, common: 10cf95048 (162)
Thread #1 stack: 700000d83bef8 common: 10cf95048 (162)
Thread #3 stack: 70000d914ef8 common: 10cf95048 (164)
Thread #2 stack: 70000d7b0ef8 common: 10cf95048 (165)
Thread #0 stack: 70000d7b0ef8 common: 10cf95048 (165)
```

```
#include <pthread.h>
#include <string.h>
int common = 162:
void *threadfun(void *threadid)
 long tid = (long)threadid;
printf("Thread #%lx stack: %lx common: %lx (%d)\n", tid.
         (unsigned long) &tid, (unsigned long) &common, common++);
  pthread exit(NULL):
int main (int argc, char *argv[])
 long t;
int nthreads = 2;
  if (argc > 1) {
  nthreads = atoi(argv[1]);
   pthread_t *threads = malloc(nthreads*sizeof(pthread_t));
         (unsigned long) &t, (unsigned long) &common, common);
   int rc = pthread_create(Sthreads[t], NULL, threadfun, (void *)t); if (rc)(
  for(t=0; t<nthreads; t++){
      printf("ERROR; return code from pthread_create() is %d\n", rc);
      exit(-1);
    (t=0; t<nthreads; t++){
    pthread_join(threads[t], NULL);
 pthread_exit(NULL);
                                  /* last thing in the main thread */
                                                           Lec 3.28
```

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Thread State

- State shared by all threads in process/address space
 - Content of memory (global variables, heap)
 - I/O state (file descriptors, network connections, etc)
- · State "private" to each thread
 - Kept in TCB = Thread Control Block
 - CPU registers (including, program counter)
 - Execution stack what is this?
- Execution Stack

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- Parameters, temporary variables
- Return PCs are kept while called procedures are executing

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Shared vs. Per-Thread State

Shared State

Heap

Global Variables

Code

Per–Thread State

Thread Control Block (TCB) Stack Information Saved Registers

Stack

Thread

Metadata

Per–Thread State

Thread Control Block (TCB)

Stack
Information

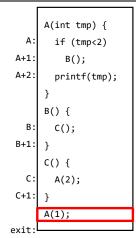
Saved

Registers Thread Metadata

Stack

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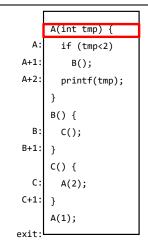
Execution Stack Example

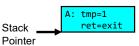


- Stack holds temporary results
- · Permits recursive execution
- Crucial to modern languages

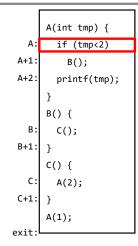
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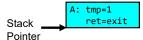
Execution Stack Example





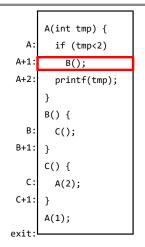
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Execution Stack Example

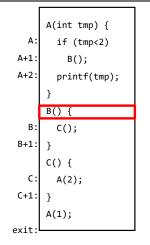


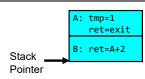
A: tmp=1
ret=exit
Pointer

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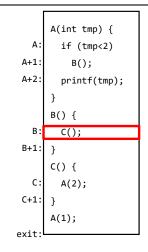
Execution Stack Example

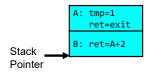




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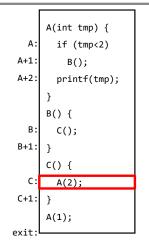
Execution Stack Example



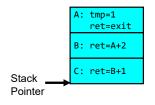


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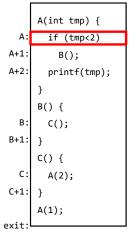


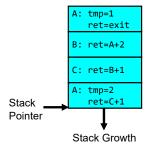
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Execution Stack Example





- · Stack holds temporary results
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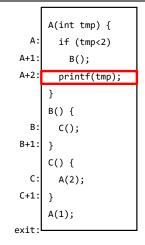
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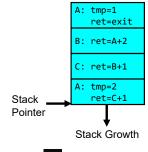
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Execution Stack Example

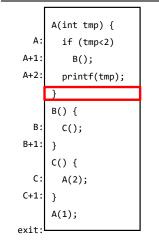


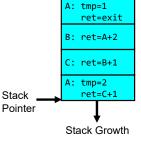


Output: >2

- · Stack holds temporary results
- · Permits recursive execution
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Execution Stack Example

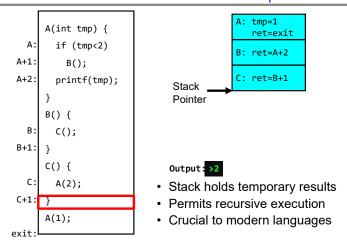




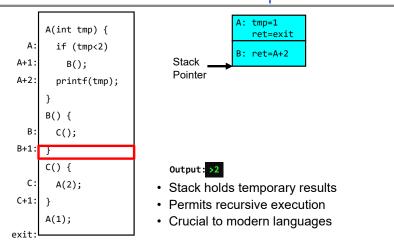
Output: >2

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Execution Stack Example

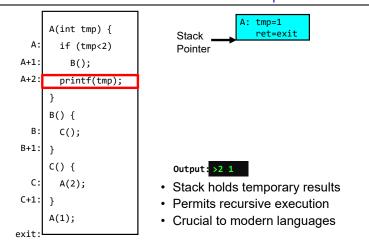


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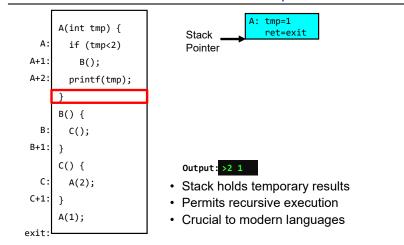
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Execution Stack Example



Execution Stack Example



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```
A(int tmp) {
  if (tmp<2)
    B();
  printf(tmp);
}
B() {
  C();
}
C() {
  A(2);
}
A(1);</pre>
```

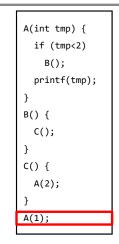
Output: >2 1

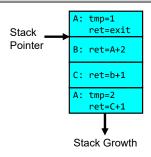
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Execution Stack Example

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- · Stack holds temporary results
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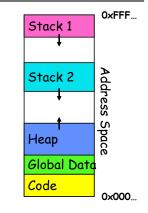
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Memory Layout with Two Threads

- Two sets of CPU registers
- · Two sets of Stacks
- · Issues:

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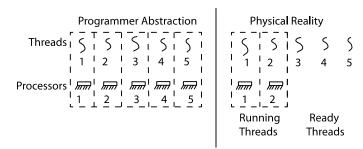
- How do we position stacks relative to each other?
- What maximum size should we choose for the stacks?
- What happens if threads violate this?
- How might you catch violations?



INTERLEAVING AND NONDETERMINISM (The beginning of a long discussion!)

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Thread Abstraction



- · Illusion: Infinite number of processors
- · Reality: Threads execute with variable "speed"
 - Programs must be designed to work with any schedule

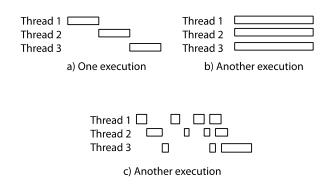
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Programmer vs. Processor View

Programmer's View	Possible Execution #1	Possible Execution #2	Possible Execution #3
		•	•
		•	•
			•
x = x + 1;	x = x + 1;	x = x + 1	x = x + 1
y = y + x;	y = y + x;		y = y + x
z = x + 5y;	z = x + 5y;	thread is suspended	•••••
		other thread(s) run	thread is suspended
		thread is resumed	other thread(s) run
			thread is resumed
		y = y + x	
		z = x + 5y	z = x + 5y

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Possible Executions



Correctness with Concurrent Threads

- Non-determinism:
 - Scheduler can run threads in any order
 - Scheduler can switch threads at any time
 - This can make testing very difficult
- Independent Threads
 - No state shared with other threads
 - Deterministic, reproducible conditions
- Cooperating Threads
 - Shared state between multiple threads
- · Goal: Correctness by Design

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Race Conditions

• Initially x == 0 and y == 0

Thread A	Thread B
x = 1;	y = 2;

- What are the possible values of x below after all threads finish?
- Must be 1. Thread B does not interfere

Race Conditions

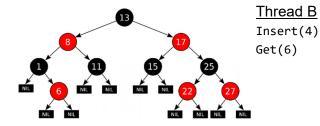
• Initially x == 0 and y == 0

- What are the possible values of x below?
- 1 or 3 or 5 (non-deterministically)
- Race Condition: Thread A races against Thread B!

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Example: Shared Data Structure

Thread A Insert(3)



Tree-Based Set Data Structure

Relevant Definitions

- Synchronization: Coordination among threads, usually regarding shared data
- Mutual Exclusion: Ensuring only one thread does a particular thing at a time (one thread excludes the others)
 - Type of synchronization
- · Critical Section: Code exactly one thread can execute at once
 - Result of mutual exclusion
- Lock: An object only one thread can hold at a time
 - Provides mutual exclusion

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Locks

- · Locks provide two atomic operations:
 - Lock.acquire() wait until lock is free; then mark it as busy
 - » After this returns, we say the calling thread holds the lock
 - Lock.release() mark lock as free

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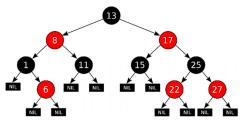
- » Should only be called by a thread that currently holds the lock
- » After this returns, the calling thread no longer holds the lock
- For now, don't worry about how to implement locks!
 - We'll cover that in substantial depth later on in the class

Thread A

Insert(3)

9/2/20

- Lock.acquire()
- Insert 3 into the data structure
- Lock.release()



Tree-Based Set Data Structure

Thread B

Insert(4)

- Lock.acquire()
- Insert 4 into the data structure
- Lock.release()

Get(6)

- Lock.acquire()
- Check for membership
- Lock.release()

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OS Library Locks: pthreads

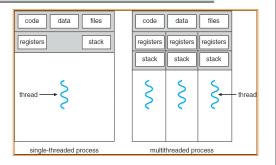
You'll get a chance to use these in Homework 1

Our Example

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Processes

- How to manage process state?
 - How to create a process?
 - How to exit from a process?
- Remember: Everything outside of the kernel is running in a process!
 - Including the shell! (Homework 2)
- Processes are created and managed... by processes!

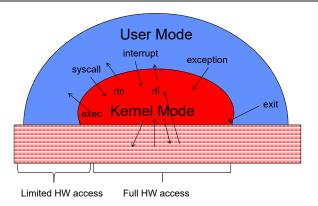


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Bootstrapping

- If processes are created by other processes, how does the first process start?
- · First process is started by the kernel
 - Often configured as an argument to the kernel before the kernel boots
 - Often called the "init" process
- After this, all processes on the system are created by other processes

Recall: Life of a Process?



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Process Management API

- exit terminate a process
- fork copy the current process
- exec change the *program* being run by the current process
- wait wait for a process to finish
- kill send a signal (interrupt-like notification) to another process
- sigaction set handlers for signals

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Process Management API

- exit terminate a process
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- sigaction set handlers for signals

pid.c

```
#include <stdlib.h>
#include <stdio.h>
#include <string.h>
#include <unistd.h>
#include <sys/types.h>
int main(int argc, char *argv[])
{
    /* get current processes PID */
    pid_t pid = getpid();
    printf("My pid: %d\n", pid);
    exit(0);
}
```

Q: What if we let main return without ever calling exit?

- The OS Library calls exit() for us!
- The entrypoint of the executable is in the OS library
- OS library calls main
- · If main returns, OS library calls exit
- You'll see this in Project 0: init.c

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Process Management API

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- sigaction set handlers for signals

Creating Processes

- pid_t fork() copy the current process
 - New process has different pid
 - New process contains a single thread
- Return value from fork(): pid (like an integer)
 - When > 0:
 - » Running in (original) Parent process
 - » return value is pid of new child
 - When = 0:
 - » Running in new Child process
 - When < 0:
 - » Error! Must handle somehow
 - » Running in original process
- State of original process duplicated in both Parent and Child!
 - Address Space (Memory), File Descriptors (covered later), etc...

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fork1.c

```
#include <stdlib.h>
#include <stdio.h>
#include <unistd.h>
#include <sys/types.h>
int main(int argc, char *argv[]) {
 pid_t cpid, mypid;
                                    /* get current processes PID */
 pid_t pid = getpid();
 printf("Parent pid: %d\n", pid);
 cpid = fork();
 if (cpid > 0) {
                                   /* Parent Process */
    mypid = getpid();
    printf("[%d] parent of [%d]\n", mypid, cpid);
 } else if (cpid == 0) {
                                   /* Child Process */
    mypid = getpid();
    printf("[%d] child\n", mypid);
 } else {
    perror("Fork failed");
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                                                                            Lec 3 69
```

fork1.c

```
#include <stdlib.h>
              #include <stdio.h>
              #include <unistd.h>
              #include <sys/types.h>
             int main(int argc, char *argv[]) {
               pid_t cpid, mypid;
               pid t pid = getpid();
                                                  /* get current processes PID */
               printf("Parent pid: %d\n", pid);
                cpid = fork();
               if (cpid > 0) {
                                                 /* Parent Process */
                  mypid = getpid();
                  printf("[%d] parent of [%d]\n", mypid, cpid);
                } else if (cpid == 0) {
                                                 /* Child Process */
                  mypid = getpid();
                  printf("[%d] child\n", mypid);
               } else {
                  perror("Fork failed");
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```

fork1.c

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```
#include <stdlib.h>
#include <stdio.h>
#include <unistd.h>
#include <sys/types.h>
int main(int argc, char *argv[]) {
  pid_t cpid, mypid;
  pid_t pid = getpid();
                                    /* get current processes PID */
  printf("Parent pid: %d\n", pid);
  cpid = fork();
  if (cpid > 0) {
                                   /* Parent Process */
   mypid = getpid();
   printf("[%d] parent of [%d]\n", mypid, cpid);
  } else if (cpid == 0) {
                                   /* Child Process */
    mypid = getpid();
    printf("[%d] child\n", mypid);
  } else {
   perror("Fork failed");
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                                                                           Lec 3.71
```

fork race.c

```
int i;
pid_t cpid = fork();
if (cpid > 0) {
   for (i = 0; i < 10; i++) {
      printf("Parent: %d\n", i);
      // sleep(1);
   }
} else if (cpid == 0) {
   for (i = 0; i > -10; i--) {
      printf("Child: %d\n", i);
      // sleep(1);
   }
}
```

Recall: a process consists of one or more threads executing in an address space

Lec 3.70

- Here, each process has a single thread
- · These threads execute concurrently

· What does this print?

9/2/20

Would adding the calls to sleep() matter?

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Running Another Program

- With threads, we could call pthread_create to create a new thread executing a separate function
- With processes, the equivalent would be spawning a new process executing a different program
- · How can we do this?

Process Management API

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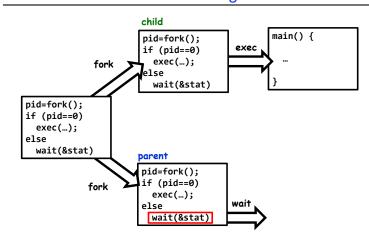
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fork3.c

Process Management

Lec 3.74



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Process Management API

- exit terminate a process
- fork copy the current process
- exec change the *program* being run by the current process
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Process Management API

- exit terminate a process
- fork copy the current process
- exec change the *program* being run by the current process
- wait wait for a process to finish
- kill send a signal (interrupt-like notification) to another process
- sigaction set handlers for signals

fork2.c - parent waits for child to finish

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inf_loop.c

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

void signal_callback_handler(int signum) {
   printf("Caught signal!\n");
   exit(1);
}
int main() {
   struct sigaction sa;
   sa.sa_flags = 0;
   sigemptyset(&sa.sa_mask);
   sa.sa_handler = signal_callback_handler;
   sigaction(SIGINT, &sa, NULL);
   while (1) {}
}
```

Q: What would happen if the process receives a SIGINT signal, but does not register a signal handler?

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A: The process dies!

For each signal, there is a default handler defined by the system

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Common POSIX Signals

- SIGINT control-C
- SIGTERM default for kill shell command
- SIGSTP control-Z (default action: stop process)
- SIGKILL, SIGSTOP terminate/stop process
 - Can't be changed with sigaction
 - Why?

Shell

- A shell is a job control system
 - Allows programmer to create and manage a set of programs to do some task
- You will build your own shell in Homework 2...
 - ... using fork and exec system calls to create new processes...
 - ... and the File I/O system calls we'll see next time to link them together

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Process vs. Thread APIs

- Why have fork() and exec() system calls for processes, but just a pthread_create() function for threads?
 - Convenient to fork without exec: put code for parent and child in one executable instead of multiple
 - It will allow us to programmatically control child process' state
 - » By executing code before calling exec() in the child
 - We'll see this in the case of File I/O next time
- Windows uses CreateProcess() instead of fork()
 - Also works, but a more complicated interface

Threads vs. Processes

- If we have two tasks to run concurrently, do we run them in separate threads, or do we run them in separate processes?
- · Depends on how much isolation we want
 - Threads are lighter weight [why?]
 - Processes are more strongly isolated

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Conclusion

- Threads are the OS unit of concurrency
 - Abstraction of a virtual CPU core
 - Can use pthread_create, etc., to manage threads within a process
 - They share data \rightarrow need synchronization to avoid data races
- Processes consist of one or more threads in an address space
 - Abstraction of the machine: execution environment for a program
 - Can use fork, exec, etc. to manage threads within a process
- We saw the role of the OS library
 - Provide API to programs
 - Interface with the OS to request services

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