# Concurrent Systems

Nebenläufige Systeme

III. Processes

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November 19, 2020



# Agenda

Preface

**Fundamentals** 

Program

**Process** 

Characteristics

Physical

Logical

Summary



#### Outline

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Fundamentals
Program
Process

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Summary



### Subject Matter

discussion on abstract concepts as to multiplexing machines:

- program concretized form of an algorithm
  - static sequence of actions to be conducted by a processor
  - of sequential or non-sequential structure

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- process a program in execution
  - dvnamic sequence of actions conducted by a processor
  - of parallel, concurrent, simultaneous, or interacting nature



## Subject Matter

discussion on abstract concepts as to multiplexing machines: program • concretized form of an algorithm

process • a program in execution

- explanation of process characteristics in physical and logical terms
  - appearance of a process as kernel thread and/or user thread
  - sequencing of processes, process states, and state transitions



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## Subject Matter

discussion on abstract concepts as to multiplexing machines:
 program • concretized form of an algorithm

process ■ a program in execution

explanation of process characteristics in physical and logical terms

- a **bridging** of concurrency/simultaneity concepts and mechanisms
  - $\blacksquare$  on the one hand, program as the means of specifying a process
  - on the other hand, process as medium to reflect simultaneous flows



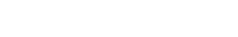
### Process – The Course of Being Done

acc. [9], cf. p. 33

Operating systems bring programs to execution by creation, releasing, controlling and timing of processes



- in computer sciences, a process is unimaginable without a program
  - as coded representation of an algorithm, the program specifies a process
  - thereby, the program manifests and dictates a specific process
     if so, it even causes, controls, or terminates other processes<sup>1</sup>



<sup>0</sup> 

in computer sciences, a process is unimaginable without a program

a program (also) describes the kind of flow (Ger. Ablauf) of a process
 sequential ■ a sequence of temporally non-overlapping actions

proceeds deterministically, the result is determinate

parallel • non-sequential



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a program (also) describes the kind of flow (Ger. Ablauf) of a process
 sequential
 a sequence of temporally non-overlapping actions

```
parallel • non-sequential
```

in both kinds does the program flow consist of **actions** (p. 7 ff.)



in computer sciences, a process is unimaginable without a program

a program (also) describes the kind of flow (Ger. *Ablauf*) of a process

#### Consider: Program Flow and Level of Abstraction

One and the same program flow may be sequential on one level of abstraction and parallel on another. [8, 10]



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# Program I

#### Definition

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For a certain machine concretised form of an algorithm.



For a certain machine concretised form of an algorithm.

- virtual machine C
  - after editing and
  - before compilation

```
1 #include <stdint.h>
2
3 void inc64(int64_t *i) {
4   (*i)++;
5 }
```



For a certain machine concretised form of an algorithm.

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```
#include <stdint.h>

void inc64(int64_t *i) {
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}
```

- virtual machine ASM (x86)
  - after compilation<sup>2</sup> and
  - before assembly

```
6 inc64:
7 movl 4(%esp), %eax
8 addl $1, (%eax)
9 adcl $0, 4(%eax)
10 ret
```



<sup>&</sup>lt;sup>2</sup>gcc -04 -m32 -static -fomit-frame-pointer -S, also below

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one action (line 4)

- virtual machine ASM (x86)
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three actions (lines 7–9)



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     ret.
```

three actions (lines 7–9)

### Definition (Action)

The execution of an instruction of a (virtual/real) machine.



2

3

4

<sup>&</sup>lt;sup>2</sup>gcc -04 -m32 -static -fomit-frame-pointer -S, also below

address space and virtual machine SMC<sup>3</sup>

text segmentafter linking/binding and

Linuxbefore loading

1 0x080482f0: mov 0x4(%esp), %eax

2 0x080482f4: add \$0x1,(%eax)

3 0x080482f7: adc \$0x0,0x4(%eax)

4 0x080482fb: ret

<sup>3</sup>symbolic machine code: x86 + Linux.

address space and virtual machine SMC<sup>3</sup>

text segment

Linux

1

0x080482f0:

2 0x080482f4:

3 0x080482f7:

4 0x080482fb:

after linking/binding and

before loading

mov 0x4(%esp),%eax

add \$0x1,(%eax) adc \$0x0,0x4(%eax)

ret

100

real machine

after loading

executable

8b 44 24 04

83 00 01 83 50 04 00

с3

■ same number of actions (lines 1–3, resp.), but different forms of representation

<sup>0</sup> 

<sup>&</sup>lt;sup>3</sup>symbolic machine code: x86 + Linux.

address space and virtual machine SMC<sup>3</sup>

- text segment
- after linking/binding and

Linux before loading

 $0 \times 080482 f0$ : mov 0x4(%esp),%eax 1  $0 \times 080482f4$ : add \$0x1,(%eax) 2

adc \$0x0,0x4(%eax) 3  $0 \times 080482 f7$ :

 $0 \times 080482 fb$ : 4

ret.

real machine

after loading executable

8b 44 24 04 83 00 01

83 50 04 00 c.3

same number of actions (lines 1–3, resp.), but different forms of representation

### Hint (ret or c3, resp.)

The action for a subroutine return corresponds to the action of the corresponding subroutine call (qdb, disas /rm main):

0x080481c9: c7 04 24 b0 37 0d 08 movl \$0x80d37b0,(%esp)

0x080481d0: e8 1b 01 00 00 call 0x80482f0 <inc64>



<sup>&</sup>lt;sup>3</sup>symbolic machine code: x86 + Linux.

#### Definition

A program P that allows several execution threads<sup>a</sup> in P itself.

 $\ensuremath{^{a}}\xspace Any$  kind of program thread, coroutines, signal/interrupt handlers.



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an excerpt of *P* using the example of *POSIX Threads* [4]:

pthread t tid:

```
pthread_t tid;

if (!pthread_create(&tid, NULL, thread, NULL)) {
    /* ... */
pthread_join(tid, NULL);
}
```



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the parallel flow allowed in P itself:

```
7 void *thread(void *null) {
8  /* ... */
9  pthread_exit(NULL);
10 }
```



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}
```

the parallel flow allowed in *P* itself:

```
7 void *thread(void *null) {
8  /* ... */
9 pthread_exit(NULL);
10 }
```

#### Hint

It is not mandatory that these threads of execution must take place simultaneously!



<sup>&</sup>lt;sup>a</sup>Any kind of program thread, coroutines, signal/interrupt handlers.

```
pid_t pid;

pid_t pid;

if (!(pid = fork())) {
    /* ... */
    exit(0);
}

wait(NULL);
```



```
pid_t pid;

if (!(pid = fork())) {
    /* ... */
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```

- fork duplicates the address space A of P, creates A' as a copy of A
- within A as source address space arises thereby no parallel flow, however
- independent of the degree of parallelism within P. fork sets it to 1 for A'



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- fork duplicates the address space A of P, creates A' as a copy of A
- within A as source address space arises thereby no parallel flow, however
- independent of the degree of parallelism within P. fork sets it to 1 for A'
- sequential flows can establish parallel ones within a domain that logically comprises those sequential flows



```
pid_t pid;

pid_t pid;

if (!(pid = fork())) {
    /* ... */
    exit(0);
}

wait(NULL);
```

- the shown actions cause parallel flows within an operating system
  - multiprocessing (Ger. *Simultanbetrieb*) of sequential programs requires the operating system in the shape of a non-sequential program
  - $\blacksquare$  serviceable characteristic is multithreading  $\underline{\text{within}}$  the operating system



actions of parallelism—but **sequential flows** of the same program:

```
pid_t pid;

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```

the shown actions cause parallel flows within an operating system

concept "operating system" is epitome of "non-sequential program"



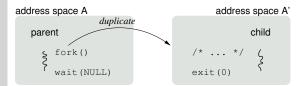
<sup>4</sup>The exception (strictly cooperative systems) proves the rule.

#### address space A

#### directions

fork() wait(NULL)

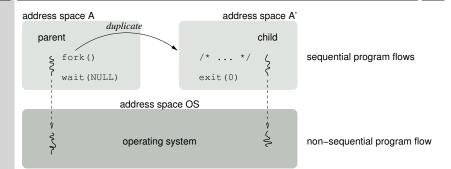






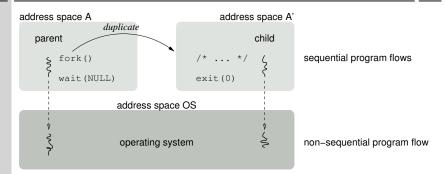






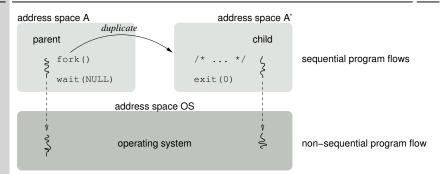


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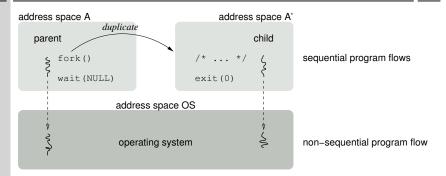
- processor (core) characteristic:
  - Uni operated by a process-based operating system, namely:
    - pseudo-parallelism by means of processor (core) multiplexing
  - Multi ditto





- processor (core) characteristic:
  - Uni operated by a process-based operating system, namely:
    - pseudo-parallelism by means of processor (core) multiplexing
  - Multi ditto; but also event-based operating system, namely:
    - real parallelism by means of processor (core) multiplication





- processor (core) characteristic:
  - Uni operated by a process-based operating system
  - Multi ditto; but also event-based operating system
- **both cause parallel processes** (p. 16) within the operating system



# Definition (Program flow)

 $\label{eq:Aprogram} \mbox{A program in execution.}$ 



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# Definition (Program flow)

A program in execution.

- the program specifies a sequence of actions that are to be executed
  - its kind depends on the particular level of abstraction (cf. p. 34)

```
level _5 \mapsto program statement
level _4 \mapsto assembly mnemonic
level _3 \mapsto machine instruction
```

 $|evel_2| \mapsto microprogram directive$ 



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level _5 \mapsto \text{program statement} > 1 \text{ assembly mnemonics}
level _4 \mapsto assembly mnemonic > 1 machine instructions
level _3 \mapsto machine instruction > 1 microprogram directives
|evel_2| \mapsto microprogram directive
```

- the actions of a processor thus are not imperatively indivisible (atomic)
  - this particularly holds both for the abstract (virtual) and real processor

### Definition (Program flow)

A program in execution.

the program specifies a sequence of actions that are to be executed

this sequence is static (passive), while a process is dynamic (active)



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this sequence is static (passive), while a process is dynamic (active)

# Hint (Process $\neq$ Process instance)

A process instance (Ger. Exemplar) is an incarnation of a process.<sup>a</sup>



<sup>&</sup>lt;sup>a</sup>Just as an object is a "core image" of a class.

### Definition

Being indivisible, to keep something appear as unit or entireness.

a question of the "distance" of the viewer (subject) on an object



#### Definition

Being indivisible, to keep something appear as unit or entireness.

a question of the "distance" of the viewer (subject) on an object

action on higher, sequence of actions on lower level of abstraction

level	action	sequence of actions
5	i++	
4–3	incl i* addl \$1,i*	movl i,%r addl \$1,%r* movl %r,i
2–1		* read from memory into accumulator modify contents of accumulator write from accumulator into memory

typical for a complex instruction of an "abstract processor" (C, CISC)



Entireness or unit of a sequence of actions whose solo efforts all will happen apparently simultaneous (i.e., are synchronised)



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Entireness or unit of a sequence of actions whose solo efforts all will happen apparently simultaneous (i.e., are synchronised)

- an/the essential non-functional property of an atomic operation<sup>5</sup>
  - logical togetherness of a sequence of actions in terms of time
  - by what that sequence appears as elementary operation (ELOP)



<sup>&</sup>lt;sup>5</sup>from (Gr.) *átomo* "indivisble".

Entireness or unit of a sequence of actions whose solo efforts all will happen apparently simultaneous (i.e., are synchronised)

an/ $\underline{\text{the}}$  essential non-functional property of an atomic operation<sup>5</sup>

examples of (critical) actions for incrementation of a counter variable:



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- examples of (critical) actions for incrementation of a counter variable:
  - level 5 → 3 C/C++
  - 1 i++:

■ level  $_{3 \mapsto 2}$ 

ASM ISA

incl i 6 read A from <i>

7 modify A by 1

write A to <i>>

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Entireness or unit of a sequence of actions whose solo efforts all will happen apparently simultaneous (i.e., are synchronised)

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examples of (critical) actions for incrementation of a counter variable:

```
■ level 5 → 3
                               ■ level _{3 \mapsto 2}
 C/C++ ASM
                                 ASM ISA
1 i++; 2 movl i, %eax 5 incl i 6 read A from <i>
         3 addl $1, %eax
                                          7 modify A by 1
         4 movl %eax, i
                                             wri.t.e. A t.o. < i.>
```

- points (i++, incl) in case of merely conditionally atomic execution
  - namely uninterruptible operation (level  $_{5 \mapsto 3}$ ), uniprocessor (level  $_{3 \mapsto 2}$ )
  - problem: overlapping in time of the sequence of actions pointed here



<sup>&</sup>lt;sup>5</sup>from (Gr.) *átomo* "indivisble".

# Definition (Sequential program in execution)

A process with only a single thread of execution.



## Definition (Sequential program in execution)

A process with only a single thread of execution.

- a sequence of actions that forms a unique execution thread
  - but which may develop differently with each restart of that process
    - other input data, program change, ..., transient hardware errors



# Definition (Sequential program in execution)

A process with only a single thread of execution.

a sequence of actions that forms a unique execution thread

- the sequence is defined by a total order of its actions
  - it is reproducible given unmodified original conditions
    - same input data, no program changes, ..., no transient hardware errors



## Definition (Sequential program in execution)

A process with only a single thread of execution.

a sequence of actions that forms a unique execution thread

• the sequence is defined by a **total order** of its actions

### Hint (Execution Thread $\neq$ Thread)

Assumptions about the technical implementation of the sequence of actions are not met and are also irrelevant here. A thread is only one option to put the incarnation of a sequential process into effect.



## Definition (Non-sequential program in execution)

A process consisting of several threads of execution, which may take place simultaneously (in parallel).



### Definition (Non-sequential program in execution)

A process consisting of several threads of execution, which may take place simultaneously (in parallel).

- requirement is a **non-sequential program** (cf. p. 9)
  - that allows for at least one more process incarnation (child process) or
  - that makes arrangements for the handling of events of external processes<sup>6</sup>



<sup>&</sup>lt;sup>6</sup>Interrupt requests issued by some device (IRQ) or process (signal).

## Definition (Non-sequential program in execution)

A process consisting of several threads of execution, which may take place simultaneously (in parallel).

requirement is a **non-sequential program** (cf. p. 9)

- whereby sequences of actions may overlap in the first place:
  - i asynchronous program interrupts
  - ii multithreading (Ger. simultane Mehrfädigkeit), in fact:
    - pseudo-parallel multiplex mode of a single processor (core)
      - real parallel parallel mode of a (multi-core) multiprocessor



### Definition (Non-sequential program in execution)

A process consisting of several threads of execution, which may take place simultaneously (in parallel).

requirement is a **non-sequential program** (cf. p. 9)

- whereby sequences of actions may overlap in the first place:
  - i asynchronous program interrupts
  - ii multithreading (Ger. simultane Mehrfädigkeit)
- consequently, the sequence of <u>all</u> actions is defined by a **partial order** 
  - as external processes may enable temporal/causal independent actions



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Several threads of execution of the same non-sequential process or of multiple sequential processes taking place simultaneously.



Several threads of execution of the same non-sequential process or of multiple sequential processes taking place simultaneously.

- "concurrent" only with respect to the same level of abstraction [10]
  - none of these concurrent processes is cause or effect of the other
  - none of theses actions of these processes requires the result of any other



Several threads of execution of the same non-sequential process or of multiple sequential processes taking place simultaneously.

"concurrent" only with respect to the same level of abstraction [10]

- however, to proceed, these processes compete for reusable resources
  - they share the processor (core), cache (line), bus, or devices
  - this also results in **interference**<sup>7</sup> (Ger. *Interferenz*) in process behaviour



<sup>&</sup>lt;sup>7</sup>Derived from (Fre.) s'entreferir "to brawl each other".

Several threads of execution of the same non-sequential process or of multiple sequential processes taking place simultaneously.

• "concurrent" only with respect to the same level of abstraction [10]

- however, to proceed, these processes compete for reusable resources
- the effective degree of overlapping is irrelevant for the simultaneity
  - apart from time-dependent processes that have to keep deadlines
    - note that the larger the overlapping, the larger the time delay
    - and the more likely will a delayed process miss its deadline
  - just as interference, which may also cause violation of timing constraints



Simultaneous processes that, directly or indirectly, interact with each other through a shared variable or by accessing a shared resource.



<sup>&</sup>lt;sup>8</sup>printer, mouse, plotter, keyboard.

Simultaneous processes that, directly or indirectly, interact with each other through a shared variable or by accessing a shared resource.

- their actions get into **conflict** if at least one of these processes. . .
  - will change the value of one of the shared variables (access pattern) or
  - already accupies a shared non-preemptable resource<sup>8</sup> (resource type)



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Simultaneous processes that, directly or indirectly, interact with each other through a shared variable or by accessing a shared resource.

- this may emerge as a race condition (Ger. Wettlaufsituation)
  - for shared variables or (reusable/consumable) resources, resp.
  - for starting or finishing an intended sequence of actions



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conflicts are eliminated by means of synchronisation methods:

blocking • prevent from executing an intended sequence of actionsnon-blocking • let a process abort and retry a started sequence of actions



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- conflicts are eliminated by means of synchronisation methods:
- **blocking** prevent from executing an intended sequence of actions non-blocking • let a process abort and retry a started sequence of actions
  - reducing replace a sequence of actions by an atomic instruction



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Simultaneous processes that, directly or indirectly, interact with each other through a shared variable or by accessing a shared resource.

this may emerge as a race condition (Ger. Wettlaufsituation)

conflicts are eliminated by means of **synchronisation methods** 

founds **coordination** of cooperation and competition of processes

<sup>&</sup>lt;sup>8</sup>printer, mouse, plotter, keyboard.

```
int64_t cycle = 0;
1
   void *thread_worker(void *null) {
3
     for (;;) {
4
       /* ... */
                                             ■ inc64: see p. 7
       inc64(&cycle);
6
8
9
   void *thread_minder(void *null) {
10
     for (;;) {
11
       printf("worker cycle %lld\n", cycle);
12
       pthread_yield();
13
14
15
```



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   which cycle values prints the minder thread (Ger. Aufpasserfaden)?
П
```



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```

- which are produced by multiple worker threads (Ger. Arbeiterfäden)?
  - in case thread\_worker exists in several identical incarnations



- assuming that the non-sequential program runs on a 32-bit machine
  - instances of int64\_t then form a pair of 32-bit words: <u>double word</u>
  - operations on instances of int64\_t cease to be solo efforts



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- assuming that the non-sequential program runs on a 32-bit machine
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- worker thread

```
1 inc64:
2 movl 4(%esp), %eax
3 addl $1, (%eax)
4 adcl $0, 4(%eax)
5 ret
6 .L6:
7 movl $cycle, (%esp)
8 call inc64
9 jmp .L6
```



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inc64:

1

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L6:
movl $cycle, (%esp)
adcl inc64
```

.L6

#### minder thread

```
10 movl cycle+4, %edx; high & 11 movl cycle, %eax; low word 12 movl $.LCO, (%esp) 13 movl %edx, 8(%esp) 14 movl %eax, 4(%esp) 15 call printf
```



qmj

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call inc64
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minder thread

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10 movl cycle+4, %edx; high & 
11 movl cycle, %eax; low word 
12 movl $.LCO, (%esp) 
13 movl %edx, 8(%esp) 
14 movl %eax, 4(%esp) 
15 call printf
```

assume *cycle* =  $2^{32} - 1$ 

- assuming that the non-sequential program runs on a 32-bit machine
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inc64:
movl 4(%esp), %eax
addl $1, (%eax)
adcl $0, 4(%eax)
ret

L6:
movl $cycle, (%esp)
call inc64
jmp .L6
```

minder thread

```
10 movl cycle+4, %edx; high & 
11 movl cycle, %eax; low word 
12 movl $.LCO, (%esp) 
13 movl %edx, 8(%esp) 
14 movl %eax, 4(%esp) 
15 call printf
```

- assume  $cycle = 2^{32} 1$ 
  - inc64 overlaps actions 10−11

- assuming that the non-sequential program runs on a 32-bit machine
  - instances of int64\_t then form a pair of 32-bit words: double word
  - operations on instances of int64\_t cease to be solo efforts
- worker thread

```
1 inc64:
2 movl 4(%esp), %eax
3 addl $1, (%eax)
4 adcl $0, 4(%eax)
5 ret
6 .L6:
7 movl $cycle, (%esp)
6 call inc64
9 jmp .L6
```

minder thread

```
10 movl cycle+4, %edx; high & 
11 movl cycle, %eax; low word 
12 movl $.LCO, (%esp) 
13 movl %edx, 8(%esp) 
14 movl %eax, 4(%esp) 
15 call printf
```

- assume  $cycle = 2^{32} 1$ 
  - inc64 overlaps actions 10-11
    - then, edx = 0 and eax = 0
    - effect is, printf displays 0
      - not 2<sup>32</sup>, as would have been right



- assuming that the development or run-time environment varies
  - different compilers, assemblers, linker, or loaders
  - different operating systems—but the same real processor (x86)



- assuming that the development or run-time environment varies
  - different compilers, assemblers, linker, or loaders
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- GCC 4.7.2, Linux

```
inc64:
movl 4(%esp), %eax
addl $1, (%eax)
adcl $0, 4(%eax)
ret
```



- assuming that the development or run-time environment varies
  - different compilers, assemblers, linker, or loaders
  - different operating systems—but the same real processor (x86)

### ■ GCC 4.7.2, Linux

```
inc64:
mov1 4(%esp), %eax
add1 $1, (%eax)
adc1 $0, 4(%eax)
ret.
```

#### GCC 4.2.1, MacOSX

```
6 _inc64:
7  movl 4(%esp), %eax
8  movl (%eax), %ecx
9  movl 4(%eax), %edx
10  addl $1, %ecx
11  adcl $0, %edx
12  movl %edx, 4(%eax)
13  movl %ecx, (%eax)
14  ret
```



- assuming that the development or run-time environment varies
  - different compilers, assemblers, linker, or loaders
  - different operating systems—but the same real processor (x86)

```
GCC 4.7.2. Linux
                                         GCC 4.2.1. MacOSX
  inc64:
                                         inc64:
    movl 4(%esp), %eax
                                           movl 4(%esp), %eax
2
    addl $1, (%eax)
                                           movl (%eax), %ecx
3
     adcl $0, 4(%eax)
                                           movl 4(%eax), %edx
4
    ret
                                           addl $1, %ecx
                                      10
                                           adcl $0, %edx
  pseudo-parallel actions (case 4.2.1)
                                           movl %edx, 4(%eax)
                                      12
  (UNIX-) signal
                                           movl %ecx, (%eax)
                                      13

    asynchronous program interrupt

                                      14
                                           ret
```



- assuming that the development or run-time environment varies
  - different compilers, assemblers, linker, or loaders
  - different operating systems—but the same real processor (x86)

```
GCC 4.7.2. Linux
                                        GCC 4.2.1. MacOSX
  inc64:
                                        inc64:
    movl 4(%esp), %eax
                                          movl 4(%esp), %eax
2
    addl $1, (%eax)
                                          movl (%eax), %ecx
3
    adcl $0, 4(%eax)
                                          movl 4(%eax), %edx
4
    ret
                                          addl $1, %ecx
                                          adcl $0, %edx
  pseudo-parallel actions (case 4.2.1)
                                          movl %edx, 4(%eax)
                                     12
                                          movl %ecx, (%eax)
                                     1.3
                                          ret
```

- real parallel actions: (multi-core) multiprocessor
  - the actions in lines 3–4 are critical as well: divisible read-modify-write

GCC 4.7.2. Linux

GCC 4.2.1. MacOSX

- assuming that the development or run-time environment varies
  - different compilers, assemblers, linker, or loaders
  - different operating systems—but the same real processor (x86)

```
inc64:
                                        inc64:
    movl 4(%esp), %eax
                                          movl 4(%esp), %eax
2
    addl $1, (%eax)
                                          movl (%eax), %ecx
3
    adcl $0, 4(%eax)
                                          movl 4(%eax), %edx
4
    ret
                                          addl $1, %ecx
                                          adcl $0, %edx
  pseudo-parallel actions (case 4.2.1)
                                          movl %edx, 4(%eax)
                                     12
                                          movl %ecx, (%eax)
                                     13
                                          ret
```

- real parallel actions: (multi-core) multiprocessor
- a classical error: as the case may be, ineffective numeration



# Outline

Preface

Fundamentals
Program
Process

Characteristics
Physical
Logical

Summary



- prevention of race conditions by the protection of critical sections
  - transfer a non-sequential process into a temporary sequential process
    - strictly: the shorter the sequential time span, the better the solution
  - or, if applicable, rewrite conflict-prone program sequences as a transaction



prevention of race conditions by the protection of critical sections

# Lookahead: prevent overlapping by means of mutual exclusion

blocking of interacting processes



prevention of race conditions by the protection of critical sections

# Lookahead: prevent overlapping by means of mutual exclusion



prevention of race conditions by the **protection of critical sections** 

Lookahead: prevent overlapping by means of mutual exclusion

reducing to a 64-bit ELOP of the real processor

anywhere applicable and by orders of magnitude more efficient solution



 $\mbox{\it anchoring}$  of processes can be different within a computing system



- anchoring of processes can be different within a computing system
  - namely inside or outside the operating-system machine level:
     inside originally, within the operating system or its kernel

outside - optional, within run-time or even application system



- anchoring of processes can be different within a computing system
  - namely inside or outside the operating-system machine level:
    - inside originally, within the operating system or its kernel
      - incarnation of the process is root of possibly other processes
      - partial virtualisation of the CPU as the real processor (core)



- **anchoring** of processes can be different within a computing system
  - namely inside or outside the operating-system machine level:
    - inside originally, within the operating system or its kernel

- outside optional, within run-time or even application system
  - incarnation of the process as leaf or inner node (of a graph)
  - partial virtualisation of the root process as an abstract processor



anchoring of processes can be different within a computing system

- usually, a processor (core) is entirely unaware of being multiplexed
  - threads evolve from time sharing their underlying processor (core)
    - a kernel thread may serve as an abstract processor for user threads



anchoring of processes can be different within a computing system

- usually, a processor (core) is entirely unaware of being multiplexed
  - threads evolve from time sharing their underlying processor (core)
    - a kernel thread may serve as an abstract processor for user threads
  - no nowadays known (real) processor is aware of what it is processing
    - particularly, a kernel thread does not know about potential user threads
    - when it gets switched or delayed,  $\underline{\text{all}}$  of its user threads will as well



- anchoring of processes can be different within a computing system
  - namely inside or outside the operating-system machine level:
     inside originally, within the operating system or its kernel

usually, a processor (core) is entirely unaware of being multiplexed

operating systems are aware only of their own "first-class citizens"



- \* feather-, \*\* lightweight

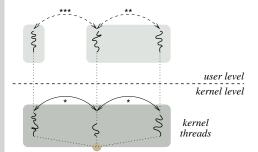
  partial virtualization
- user level
  kernel level

  kernel threads
- modes of process switches as to partial processor virtualisation:
  - \* inside the same (user/kernel) address space, ibidem<sup>9</sup> continuing
  - \*\* inside kernel address space, same user address space sharing



<sup>9</sup>(Lat.), "at the same place"

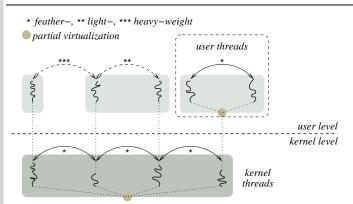
- \* feather-, \*\* light-, \*\*\* heavy-weight
- partial virtualization



- modes of process switches as to partial processor virtualisation:
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  - \*\* inside kernel address space, same user address space sharing
  - \*\*\* inside kernel address space, at other user address space landing



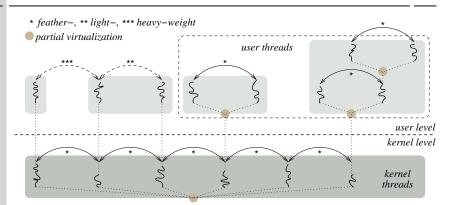
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- modes of **process switches** as to partial processor virtualisation:
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<sup>&</sup>lt;sup>9</sup>(Lat.), "at the same place"



- **scheduling** (Ger. Ablaufplanung) the **dispatching** (Ger. Einlastung) of processes or, to be precise, process incarnations
  - a big theoretical/mathematical side of operating systems [2, 1, 6, 7]
  - but enforcing the scheduling policies faces several practical challenges



- unpredictable dynamic system behaviour at run-time dashes hopes
  - on the one hand interrupts, on the other hand resource sharing
  - breeds asynchronism and, as a result, foregrounds heuristic



unpredictable dynamic system behaviour at run-time dashes hopes

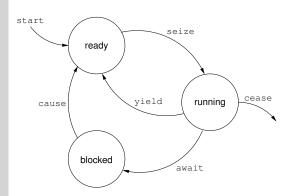
- process synchronisation is notorius for producing interference
  - once it comes to <u>contention resolution</u>, which <u>implies sequencing</u>
     blocking in matters of allocating consumable and/or reusable resources non-blocking pertaining to indivisible machine (CPU) instructions
    - especially susceptible for inducing interference is blocking synchronisation

unpredictable dynamic system behaviour at run-time dashes hopes

process synchronisation is notorius for producing interference

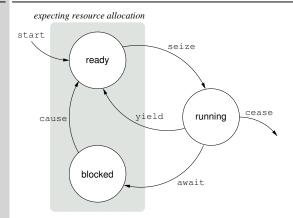
- to **control resource usage**, processes pass through logical states
  - whereby synchronisation emerges jointly responsible for state transitions
  - taken together, scheduling *and* synchronisation are cross-cutting concerns





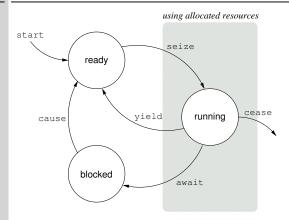
- typical life time cycle of processes:
  - ready ready to run, but still waiting for a processor (core)
    - running executing on a processor (core), performing a CPU burst
    - **blocked** waiting for an event (being in sync), performing an I/O burst





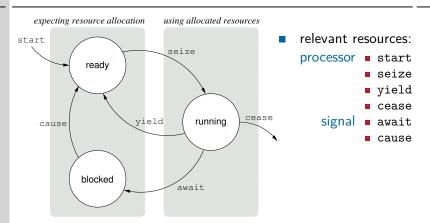
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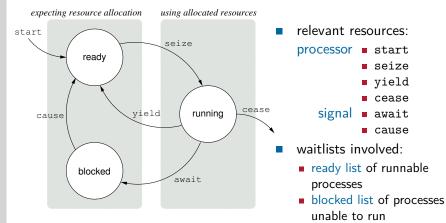
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# Outline

Preface

Fundamentals Program

Characteristics
Physical
Logical

# Summary





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Summary

- a process is **predetermined by a program** that is to be executed
  - the process inherits the static characteristics of its program
  - when being existent, the process adds dynamic characteristics
    - as a function of data processing and interaction with the environment



- a process may be **sequential or non-sequential** (as to its program)
  - that is to say, composed of non-overlapping or overlapping actions
  - whereby overlapping is caused by multiprocessing in a wider sense
    - real parallelism, but also pseudo-parallelism in its various forms



- processes are parallel, concurrent, simultaneous, or interacting
  - simultaneous processes comprise concurrent and interacting periods
  - each of these can be parallel on their part, i.e., if their actions overlap
    - by either multiplexing or multiplication of the necessary processing units



- as to implementation, processes may be **kernel or user threads** 
  - regardless of which, logical states report on the life time cycle of a process
  - whereby synchronisation emerges jointly responsible for state transitions
    - taken together, scheduling and synchronisation need to be complementary



a process is predetermined by a program that is to be executed

a process may be **sequential or non-sequential** (as to its program)

processes are parallel, concurrent, simultaneous, or interacting

as to implementation, processes may be kernel or user threads



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http://en.wikipedia.org/wiki/Legal\_process, Apr. 2014



Process "particularly, describes the formal notice or writ used by a court to exercise jurisdiction over a person or property"

analogy in computer science or operating-system concepts, resp.:

writ • order to abandon rivalry<sup>10</sup> in the claiming of resources

direction to resolve competition of resource contenders

court • incarnation of the function of scheduling or coordinationpoint of synchronisation in a program

jurisdiction ■ sphere of authority of contention resolution

zone of influence of the synchronisation policy

property • occupancy/ownership of resources, ability to proceed

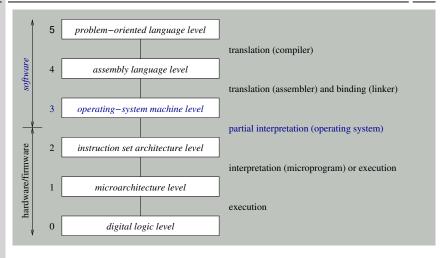
• functional or non-functional attribute

generally, the action or trial, resp., follows a hierarchical jurisdiction

- thereby, the process step related to a certain level is denoted as instance
  - in informatics, translation to (Ger.) "Instanz" however was rather unept !!!
- operating systems often command a multi-level processing of processes



<sup>&</sup>lt;sup>10</sup>Lat. rivalis "in the use of a watercourse co-authored by a neighbour"



- refinement of [11, p. 5]: levels present on todays computers
  - right, the method and (bracketed) program that supports each level

