Concurrent Systems

Nebenläufige Systeme

III. Processes

Wolfgang Schröder-Preikschat

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Agenda

Preface

Fundamentals
- Program
- Process

Characteristics
- Physical
- Logical

Summary

Outline

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
  - process
    - a program in execution
    - dynamic sequence of actions conducted by a processor
    - of parallel, concurrent, simultaneous, or interacting nature
- 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
- a **bridging** of concurrency/simultaneity concepts and mechanisms
  - 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[1]
- 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
- in both kinds does the program flow consist of **actions** (p. 7 *ff.*)

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]

[1] Provided that the operating system offers all necessary commands.

Outline

Program I

Definition

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  }
```

- one action (line 4)

- virtual machine ASM (x86)
  - after compilation[2] and
  - before assembly

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

- three actions (lines 7–9)

Definition (Action)

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

[2] `gcc -O4 -m32 -static -fomit-frame-pointer -S`, also below

Program II

- address space and virtual machine SMC[3]
  - text segment
  - Linux
  - after linking/binding and
  - before loading
- real machine
  - after loading
  - executable

```
1  0x080482f0:    mov  0x4(%esp),%eax      8b 44 24 04
2  0x080482f4:    add  $0x1,(%eax)         83 00 01
3  0x080482f7:    adc  $0x0,0x4(%eax)      83 50 04 00
4  0x080482fb:    ret                      c3
```

- 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 (`gdb, disas /rm main`):

```
1  0x080481c9:  c7 04 24 b0 37 0d 08  movl  $0x80d37b0,(%esp)
2  0x080481d0:  e8 1b 01 00 00        call  0x80482f0 <inc64>
```

[3] *symbolic machine code*: x86 + Linux.

Non-Sequential Program I

Definition

A program P that allows several execution threads[a] in P itself.

[a] Any kind of program thread, coroutines, signal/interrupt handlers.

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

```
1  pthread_t tid;
2
3  if (!pthread_create(&tid, NULL, thread, NULL)) {
4    /* ... */
5    pthread_join(tid, NULL);
6  }
```

- 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!

~~Non-~~Sequential Program II

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

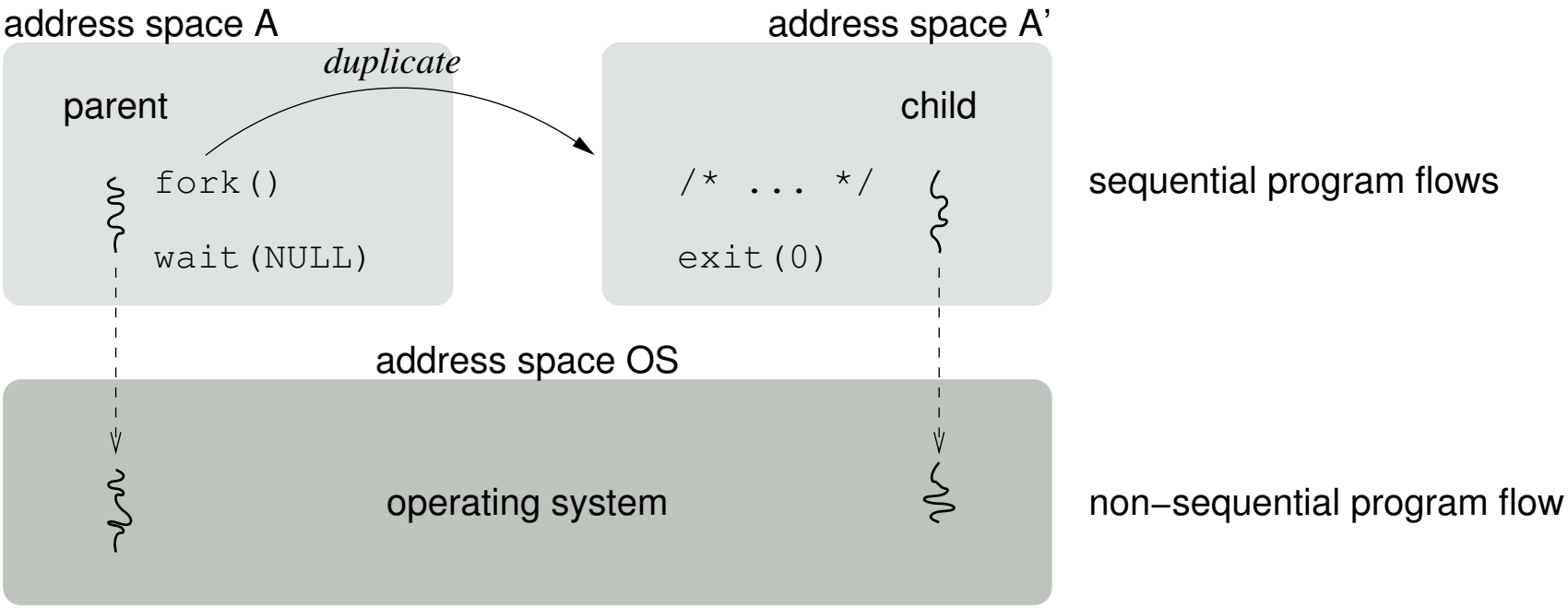
```
1  pid_t pid;
2
3  if (!(pid = fork())) {
4    /* ... */
5    exit(0);
6  }
7  wait(NULL);
```

  - `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
- 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
  - serviceable characteristic is multithreading within the operating system

↪ concept "operating system" is epitome of "non-sequential program"[4]

[4] The exception (strictly cooperative systems) proves the rule.

Multiprocessing of Sequential Programs



- 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
- both cause **parallel processes** (p. 16) within the operating system

Process

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)

    $\text{level}_5 \mapsto$ program statement ≥ 1 assembly mnemonics
    $\text{level}_4 \mapsto$ assembly mnemonic ≥ 1 machine instructions
    $\text{level}_3 \mapsto$ machine instruction ≥ 1 microprogram directives
    $\text{level}_2 \mapsto$ microprogram directive
  - the actions of a processor thus are not imperatively indivisible (atomic)
    - this particularly holds both for the abstract (virtual) and real processor
- 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.*[a]

[a] Just as an object is a "core image" of a class.

Indivisibility I

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`*	`movl i,%r` `addl $1,%r`*
	`addl $1,i`*	`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)

Indivisibility II

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[5]
  - logical togetherness of a sequence of actions in terms of time
  - by what that sequence appears as **elementary operation** (ELOP)
- examples of (critical) actions for incrementation of a counter variable:
  - level $5 \mapsto 3$

    C/C++

    ```
    1  i++;
    ```

    ASM

    ```
    2  movl  i, %eax
    3  addl  $1, %eax
    4  movl  %eax, i
    ```

  - level $3 \mapsto 2$

    ASM

    ```
    5  incl  i
    ```

    ISA

    ```
    6  read   A from <i>
    7  modify A by 1
    8  write  A to <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

[5] from (Gr.) *átomo* "indivisble".

Sequential Process

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
- 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

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.*

Non-Sequential Process

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[6]
- 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
- consequently, the sequence of all actions is defined by a **partial order**
  - as external processes may enable temporal/causal independent actions

[6] Interrupt requests issued by some device (IRQ) or process (signal).

Concurrent Processes

(Ger.) *gleichzeitige Prozesse* [3]

Definition (in a broader sense: "simultaneous processes")

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

[7] Derived from (Fre.) *s'entreferir* "to brawl each other".

Interacting Processes I

(Ger.) *gekoppelte Prozesse* [3, p. 77]

Definition (also: "depending processes")

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[8] (resource type)
- 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
- 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
- founds **coordination** of cooperation and competition of processes

[8] printer, mouse, plotter, keyboard.

Interacting Processes II

```
1  int64_t cycle = 0;
2
3  void *thread_worker(void *null) {
4    for (;;) {
5      /* ... */
6      inc64(&cycle);
7    }
8  }
9
10 void *thread_minder(void *null) {
11   for (;;) {
12     printf("worker cycle %lld\n", cycle);
13     pthread_yield();
14   }
15 }
```

- inc64: see p. 7

- which `cycle` values prints the minder thread (Ger. *Aufpasserfaden*)?
- which are produced by multiple worker threads (Ger. *Arbeiterfäden*)?
  - in case `thread_worker` exists in several identical incarnations

Interacting Processes III

- 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)
8    call  inc64
9    jmp   .L6
```

- minder thread

```
10  movl  cycle+4, %edx  ; high &
11  movl  cycle, %eax    ; low word
12  movl  $.LC0, (%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^{32}, as would have been right

Interacting Processes IV

- 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

```
1  inc64:
2    movl 4(%esp), %eax
3    addl $1, (%eax)
4    adcl $0, 4(%eax)
5    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
```

- **pseudo-parallel actions** (case 4.2.1)
  - (UNIX-) signal
  - asynchronous program interrupt
- **real parallel actions**: (multi-core) multiprocessor
  - the actions in lines 3–4 are critical as well: divisible *read-modify-write*
- a classical error: as the case may be, ineffective numeration

Outline

Consistency

- 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

Lookahead: prevent overlapping by means of **mutual exclusion**

- blocking of interacting processes: comparatively long time span

```
1 void mutex_inc64(int64_t *i, pthread_mutex_t *lock) {
2   pthread_mutex_lock(lock);      /* indivisible, now */
3   inc64(i);                      /* reuse code @ p.7 */
4   pthread_mutex_unlock(lock);    /* divisible, again */
5 }
```

- reducing to a 64-bit ELOP of the real processor

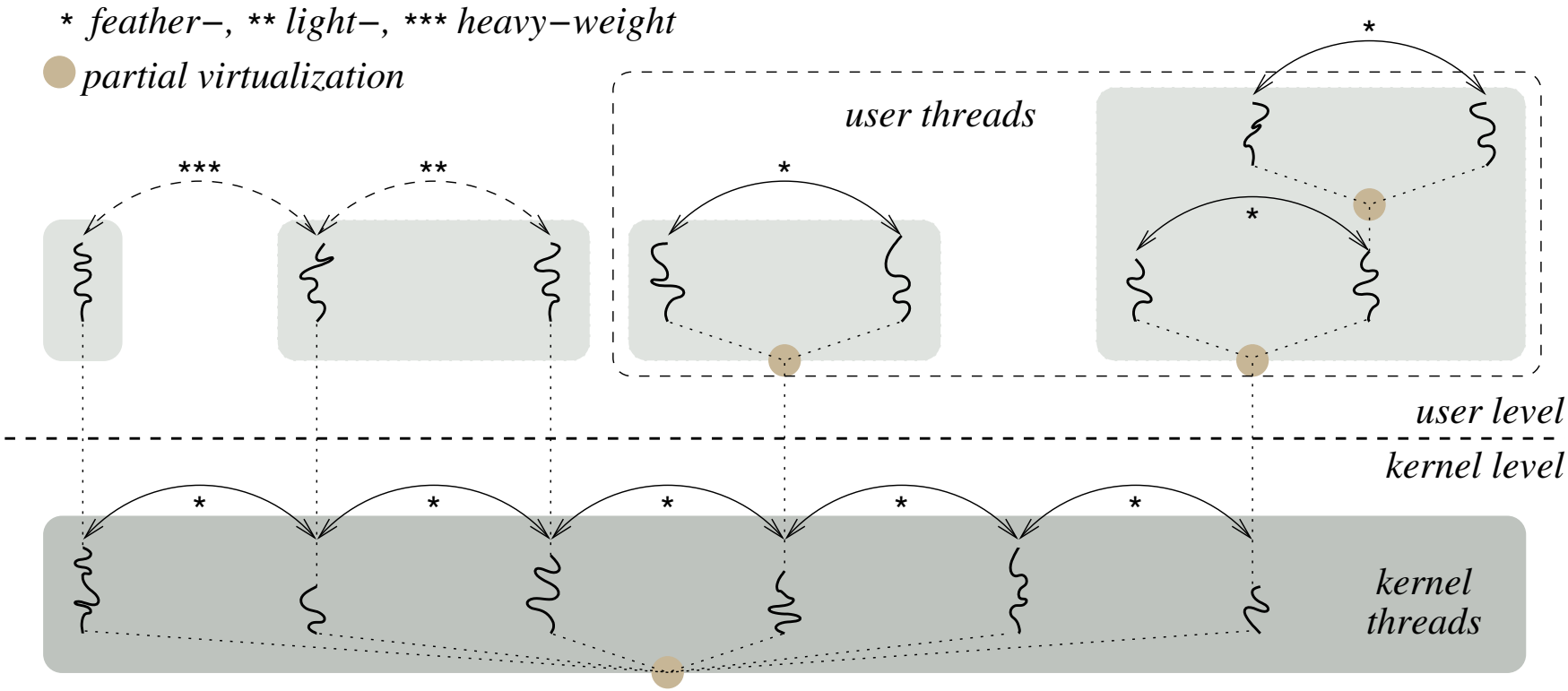
```
6 void inc64(int64_t *i) {         /* renew code @ p.7 */
7   asm ("lock incq %0" : : "m" (*i) : "memory");
8 }
```

  - anywhere applicable and by orders of magnitude more efficient solution

Localisation

- **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)
      - ↪ "*kernel thread*", in computer science folklore
    - 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
      - ↪ "*user thread*", in computer science folklore
- 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, all of its user threads will as well
- operating systems are aware only of their own "first-class citizens"

Weight Category



- modes of **process switches** as to partial processor virtualisation:
  - * inside the same (user/kernel) address space, *ibidem*[9] continuing
  - ** inside kernel address space, same user address space sharing
  - *** inside kernel address space, at other user address space landing

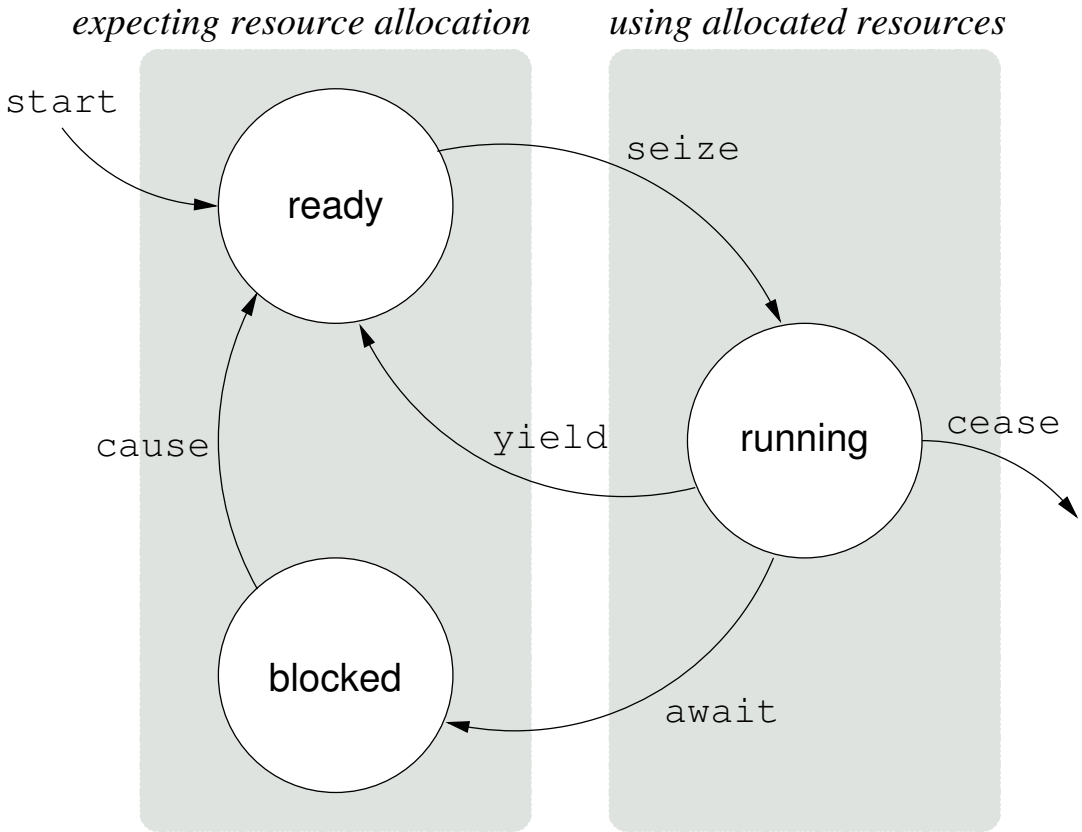
[9] (Lat.), "at the same place"

Sequencing of Processes

- **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**
- process **synchronisation** is notorius for producing interference
  - once it comes to contention resolution, which **implies sequencing**

    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
- 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

Process States and State Transitions



- relevant resources:
  - processor
    - start
    - seize
    - yield
    - cease
  - signal
    - await
    - cause
- waitlists involved:
  - ready list of runnable processes
  - blocked list of processes unable to run

- 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

Outline

Résumé

- 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

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[12] Wikipedia:
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http://en.wikipedia.org/wiki/Legal_process, Apr. 2014

Originally as a Concept of Law

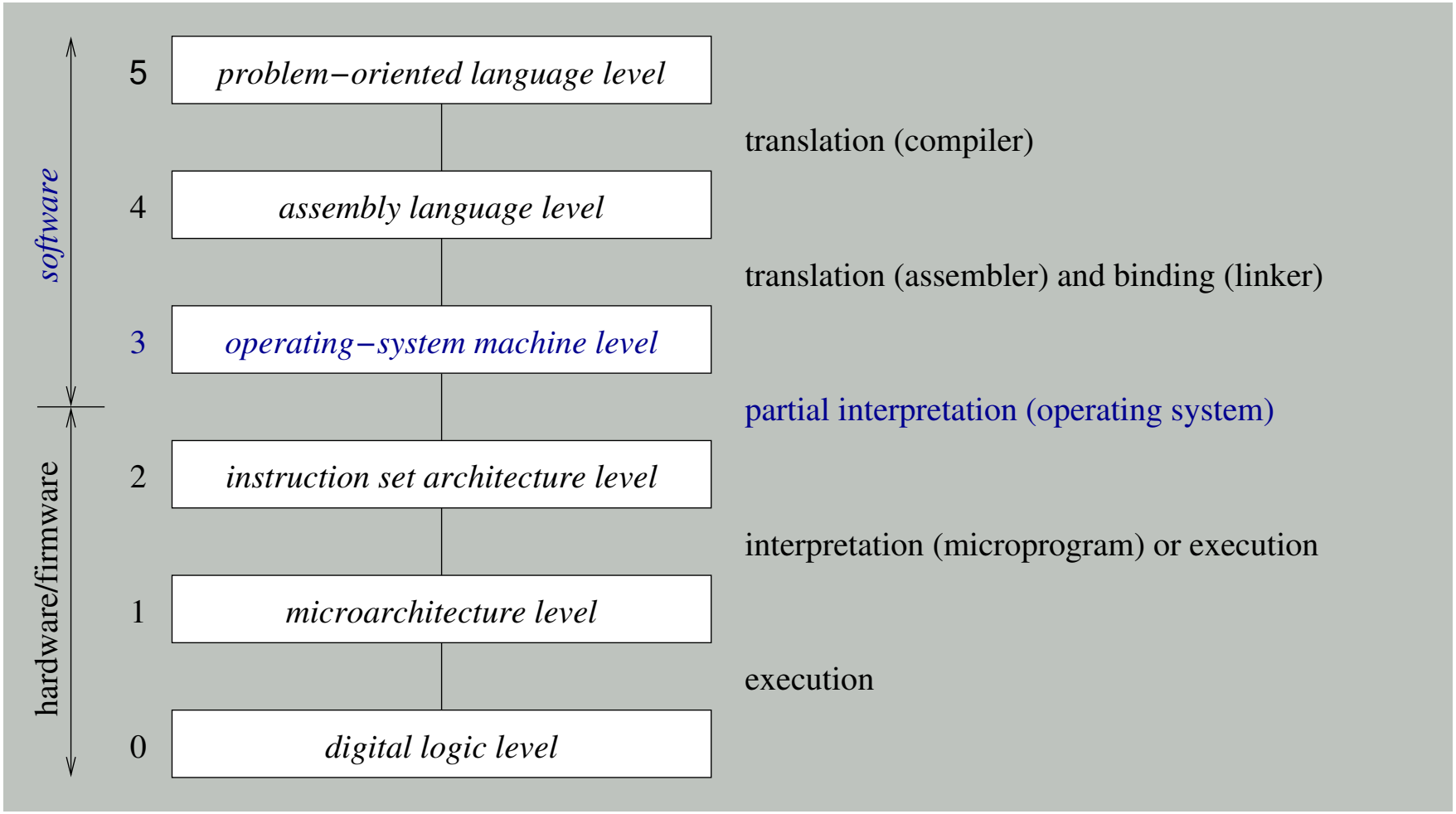
acc. [12, Legal process]

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[10] in the claiming of resources
    - direction to resolve competition of resource contenders
  - **court**
    - incarnation of the function of scheduling or coordination
    - point 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

[10] Lat. *rivalis* "in the use of a watercourse co-authored by a neighbour"

Structured Computer Organisation



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