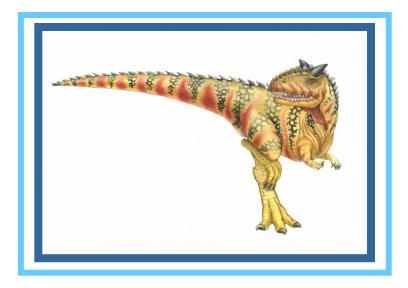
Chapter 3: Processes



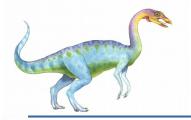
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Chapter 3: Processes

- Process Concept
- Process Scheduling
- Operations on Processes
- Interprocess Communication
- Examples of IPC Systems
- Communication in Client-Server Systems

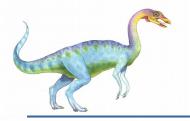




Objectives

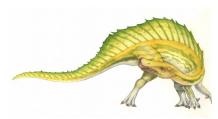
- To introduce the notion of a process -- a program in execution, which forms the basis of all computation
- To describe the various features of processes, including scheduling, creation and termination, and communication
- To describe communication in client-server systems





Process Concept

- An operating system executes a variety of programs:
 - Batch system jobs
 - Time-shared systems user programs or tasks
- Textbook uses the terms job and process almost interchangeably
- Process a program in execution; process execution must progress in sequential fashion
- A process includes:
 - program counter
 - stack
 - data section





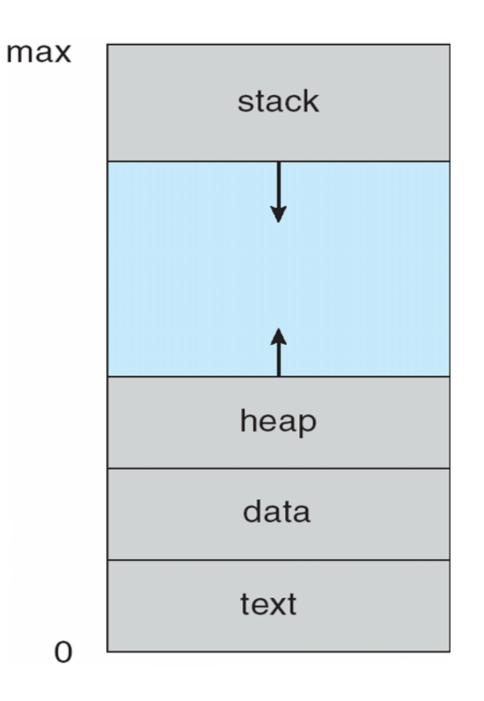
The Process

- Multiple parts
 - The program code, also called **text section**
 - Current activity including program counter, processor registers
 - Stack containing temporary data
 - Function parameters, return addresses, local variables
 - Data section containing global variables
 - Heap containing memory dynamically allocated during run time
- Program is passive entity, process is active
 - Program becomes process when executable file loaded into memory
- Execution of program started via GUI mouse clicks, command line entry of its name, etc
- One program can be several processes
 - Consider multiple users executing the same program





Process in Memory





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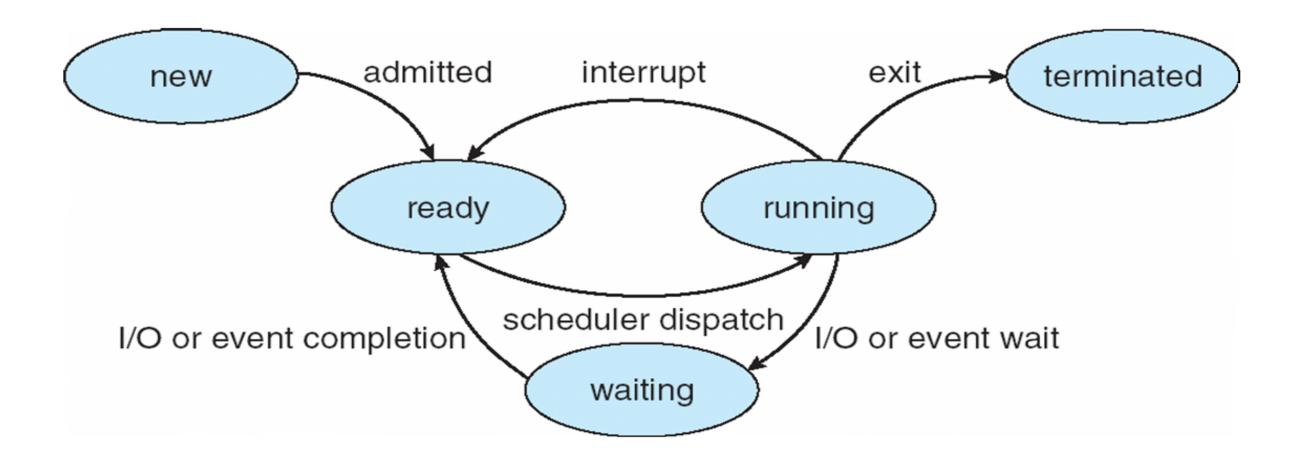


Process State

- As a process executes, it changes *state*
 - **new**: The process is being created
 - **running**: Instructions are being executed
 - **waiting**: The process is waiting for some event to occur
 - **ready**: The process is waiting to be assigned to a processor
 - **terminated**: The process has finished execution



Diagram of Process State





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Process Control Block (PCB)

Information associated with each process

- Process state
- Program counter
- CPU registers
- CPU scheduling information
- Memory-management information
- Accounting information
- I/O status information





Process Control Block (PCB)

process state

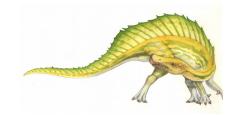
process number

program counter

registers

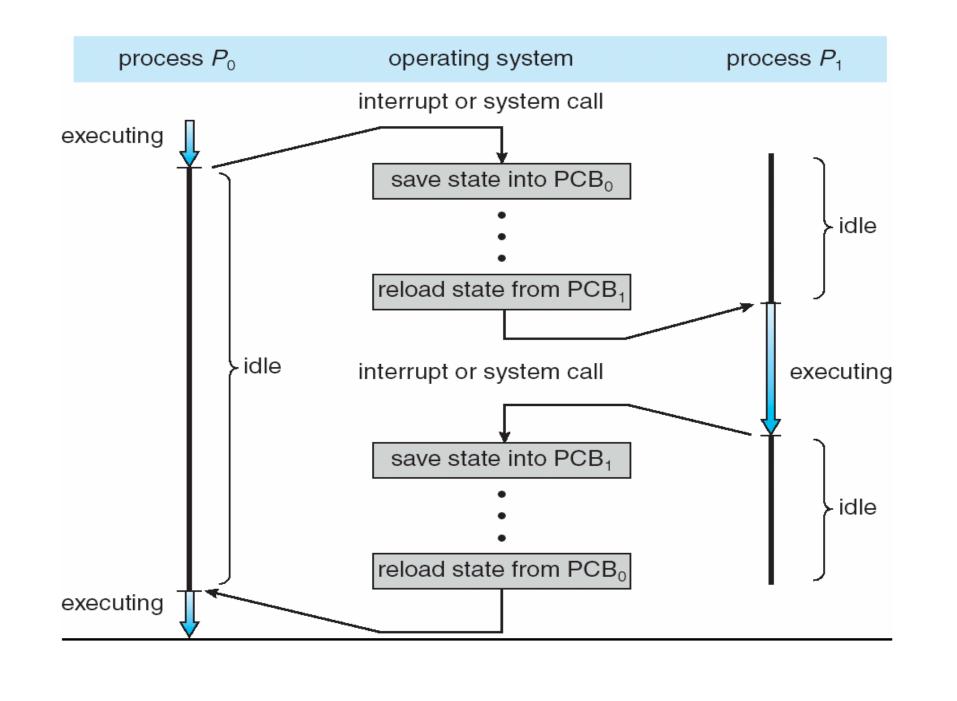
memory limits

list of open files



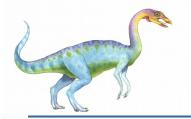
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CPU Switch From Process to Process



Silberschatz, Galvin and Gagne ©2009

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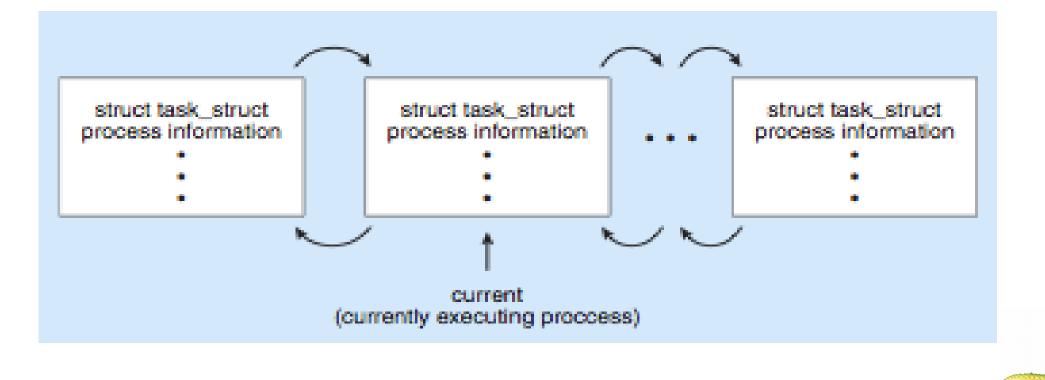
Process Scheduling

- Maximize CPU use, quickly switch processes onto CPU for time sharing
- **Process scheduler** selects among available processes for next execution on CPU
- Maintains scheduling queues of processes
 - Job queue set of all processes in the system
 - Ready queue set of all processes residing in main memory, ready and waiting to execute
 - **Device queues** set of processes waiting for an I/O device
 - Processes migrate among the various queues



Process Representation in Linux

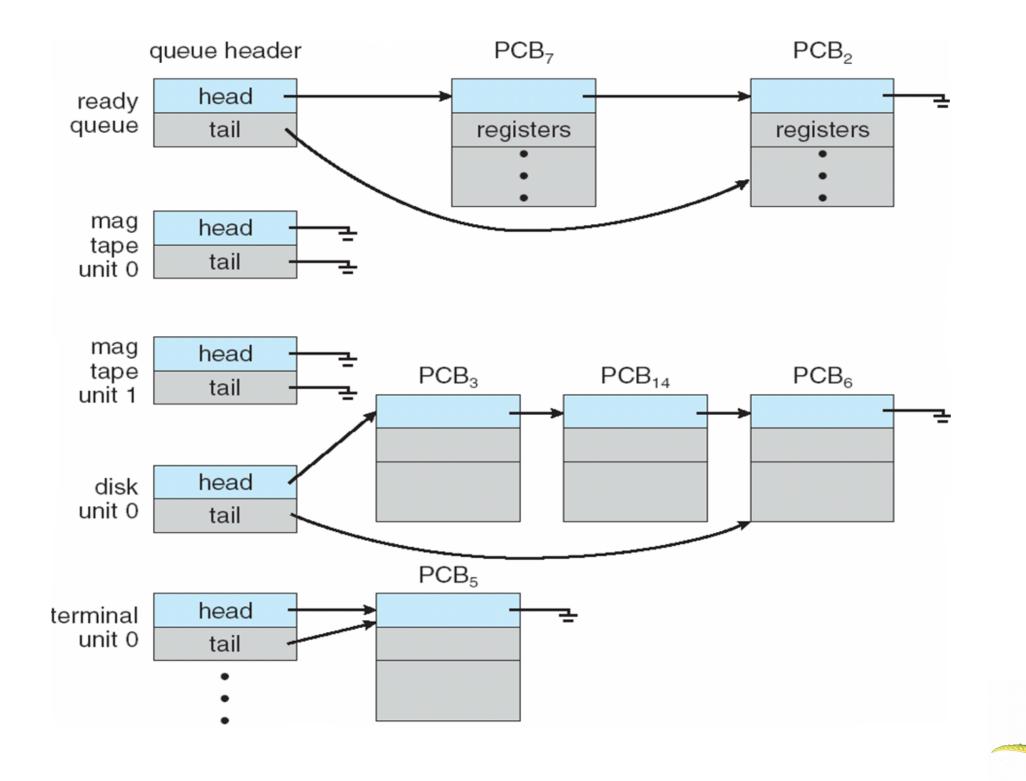
Represented by the C structure task_struct pid t pid; /* process identifier */ long state; /* state of the process */ unsigned int time slice /* scheduling information */ struct task struct *parent; /* this process's parent */ struct list head children; /* this process's children */ struct files struct *files; /* list of open files */ struct mm struct *mm; /* address space of this pro */





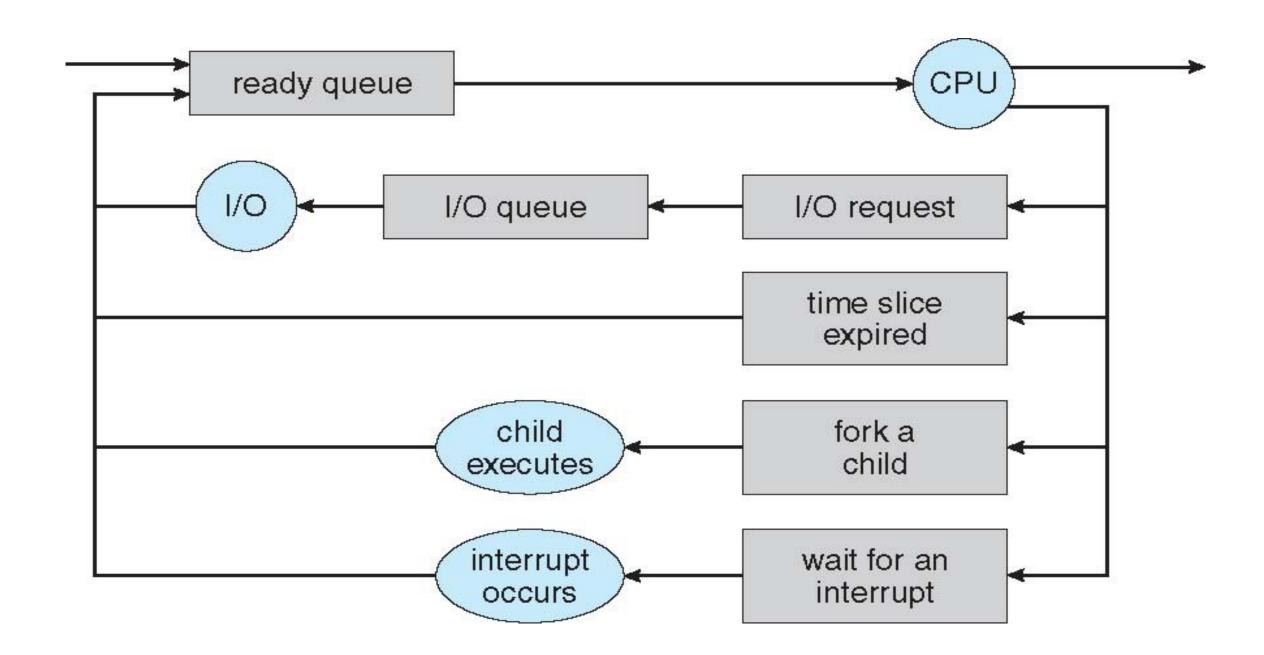


Ready Queue And Various I/O Device Queues



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Representation of Process Scheduling





Schedulers

- Long-term scheduler (or job scheduler) selects which processes should be brought into the ready queue
- Short-term scheduler (or CPU scheduler) selects which process should be executed next and allocates CPU
 - Sometimes the only scheduler in a system



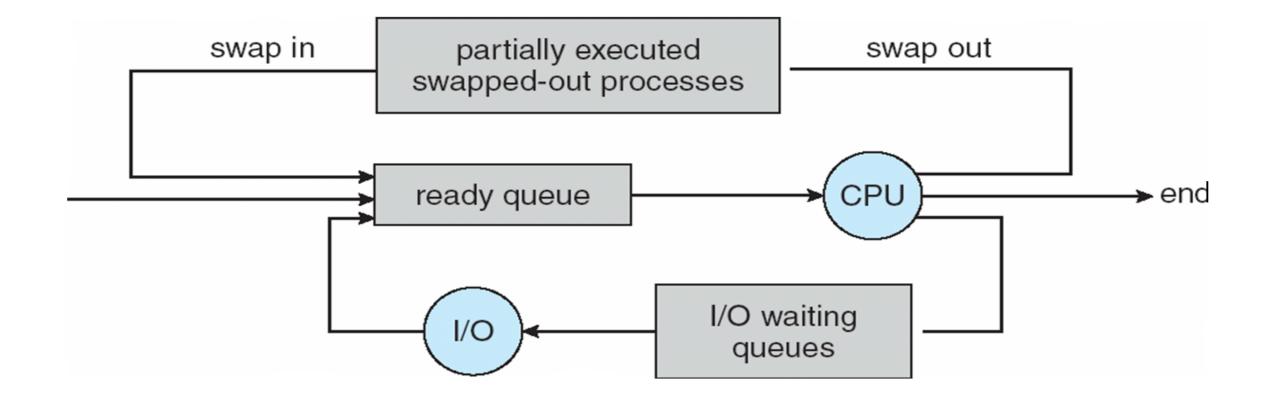


Schedulers (Cont.)

- Short-term scheduler is invoked very frequently (milliseconds) \Rightarrow (must be fast)
- Long-term scheduler is invoked very infrequently (seconds, minutes) \Rightarrow (may be slow)
- The long-term scheduler controls the *degree of multiprogramming*
- Processes can be described as either:
 - **I/O-bound process** spends more time doing I/O than computations, many short CPU bursts
 - **CPU-bound process** spends more time doing computations; few very long CPU bursts



Addition of Medium Term Scheduling





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Context Switch

- When CPU switches to another process, the system must save the state of the old process and load the saved state for the new process via a context switch.
- Context of a process represented in the PCB
- Context-switch time is overhead; the system does no useful work while switching
 - The more complex the OS and the PCB -> longer the context switch
- Time dependent on hardware support
 - Some hardware provides multiple sets of registers per CPU -> multiple contexts loaded at once





Process Creation

- Parent process create children processes, which, in turn create other processes, forming a tree of processes
- Generally, process identified and managed via **a process identifier** (**pid**)
- Resource sharing
 - Parent and children share all resources
 - Children share subset of parent's resources
 - Parent and child share no resources
 - Execution
 - Parent and children execute concurrently
 - Parent waits until children terminate

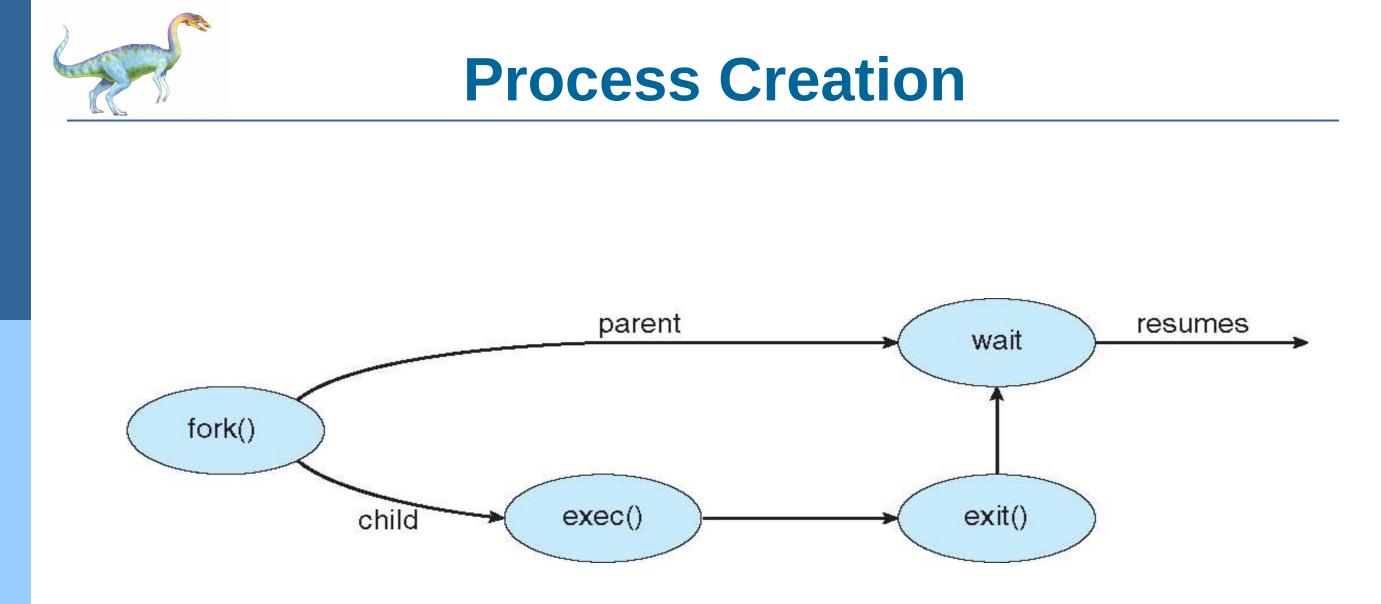


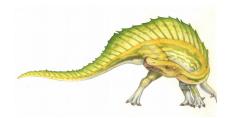


Process Creation (Cont.)

- Address space
 - Child duplicate of parent
 - Child has a program loaded into it
- UNIX examples
 - **fork** system call creates new process
 - exec system call used after a **fork** to replace the process' memory space with a new program







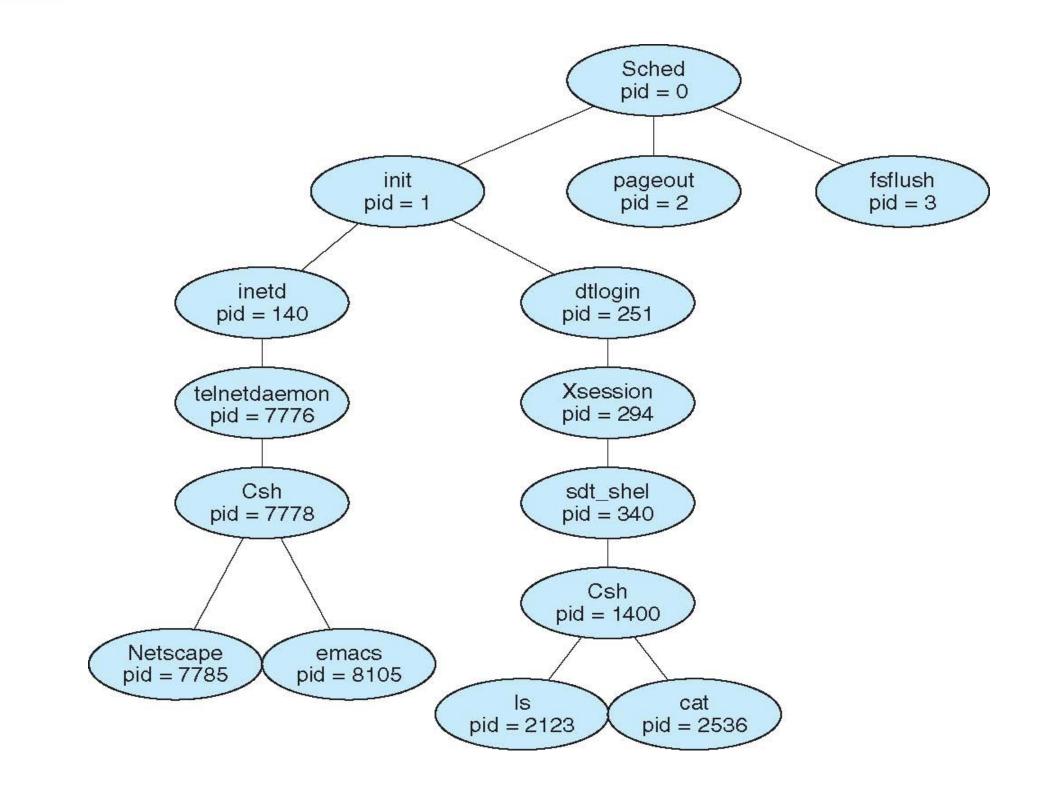
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C Program Forking Separate Process

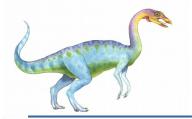
```
# include < sys/types.h>
# include < studio.h>
# include < unistd.h>
intm ain()
pid t pid;
   /* fork another process */
    pid = fork();
    if (pid < 0) { /* error occurred */</pre>
        fprintf(stderr, "Fork Failed");
        retum 1;
    }
    else if (pid == 0) { /* child process */
       execlp("/bin/ls", "ls", NULL);
    }
    else { /* parent process */
       /* parentw illwait for the child */
       wat(NULL);
       printf ("Child Com plete");
    }
    return 0;
```



A Tree of Processes on Solaris



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Process Termination

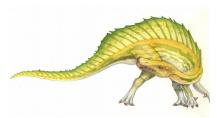
- Process executes last statement and asks the operating system to delete it (exit)
 - Output data from child to parent (via **wait**)
 - Process' resources are deallocated by operating system
- Parent may terminate execution of children processes (abort)
 - Child has exceeded allocated resources
 - Task assigned to child is no longer required
 - If parent is exiting
 - Some operating systems do not allow child to continue if its parent terminates
 - All children terminated cascading termination





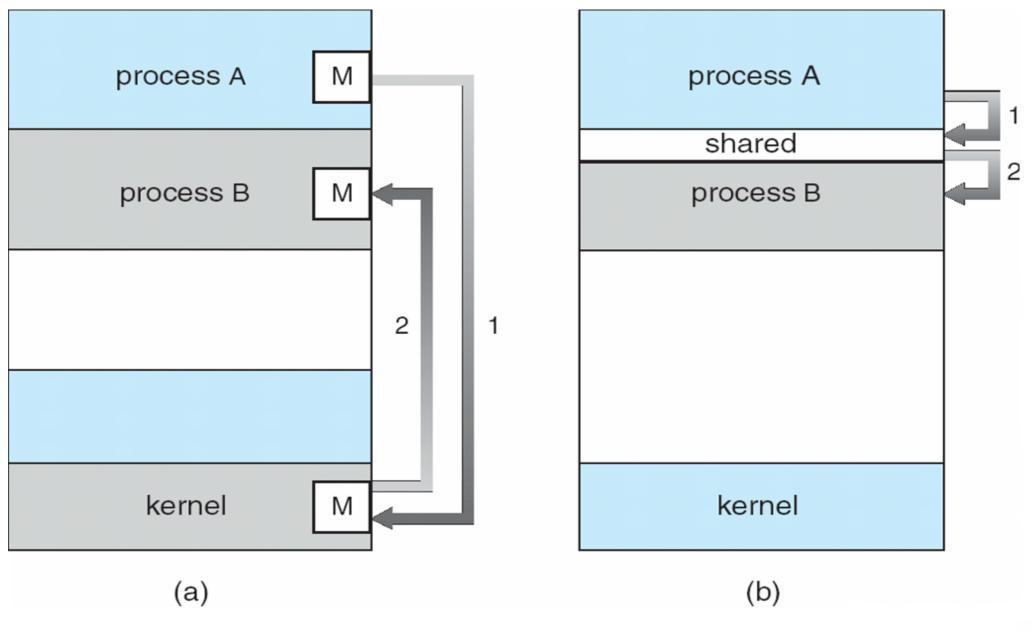
Interprocess Communication

- Processes within a system may be independent or cooperating
- Cooperating process can affect or be affected by other processes, including sharing data
- Reasons for cooperating processes:
 - Information sharing
 - Computation speedup
 - Modularity
 - Convenience
- Cooperating processes need interprocess communication (IPC)
- Two models of IPC
 - Shared memory
 - Message passing





Communications Models



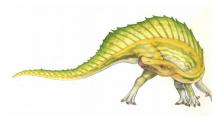


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Cooperating Processes

- Independent process cannot affect or be affected by the execution of another process
- **Cooperating** process can affect or be affected by the execution of another process
 - Advantages of process cooperation
 - Information sharing
 - Computation speed-up
 - Modularity
 - Convenience

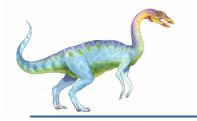




Producer-Consumer Problem

- Paradigm for cooperating processes, *producer* process produces information that is consumed by a *consumer* process
 - *unbounded-buffer* places no practical limit on the size of the buffer
 - *bounded-buffer* assumes that there is a fixed buffer size





Bounded-Buffer – Shared-Memory Solution

Shared data

#define BUFFER_SIZE 10 typedef struct {

} item;

item buffer[BUFFER_SIZE]; int in = 0; int out = 0;

Solution is correct, but can only use BUFFER_SIZE-1 elements





```
while (true) {
    /* Produce an item */
    while (((in = (in + 1)% BUFFER SIZE count) == out)
    ; /* do nothing -- no free buf fers */
    buf fer[in] = item ;
    in = (in + 1)% BUFFER SIZE;
}
```





```
while (true) {
   while (in = = out)
        ;//do nothing -- nothing to consum e
   // rem ove an item from the buf∉r
   item = buf@r[out];
   out = (out + 1)% BUFFER SIZE;
return item;
}
```





Interprocess Communication – Message Passing

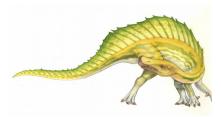
- Mechanism for processes to communicate and to synchronize their actions
- Message system processes communicate with each other without resorting to shared variables
- IPC facility provides two operations:
 - send(message) message size fixed or variable
 - receive(message)
- If P and Q wish to communicate, they need to:
 - establish a *communication link* between them
 - exchange messages via send/receive
- Implementation of communication link
 - physical (e.g., shared memory, hardware bus)
 - logical (e.g., logical properties)





Implementation Questions

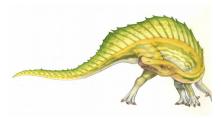
- How are links established?
- Can a link be associated with more than two processes?
- How many links can there be between every pair of communicating processes?
- What is the capacity of a link?
- Is the size of a message that the link can accommodate fixed or variable?
- Is a link unidirectional or bi-directional?

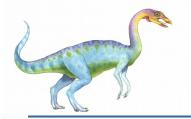




Direct Communication

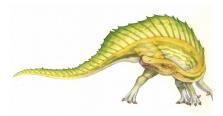
- Processes must name each other explicitly:
 - **send** (*P*, *message*) send a message to process P
 - receive(Q, message) receive a message from process Q
- Properties of communication link
 - Links are established automatically
 - A link is associated with exactly one pair of communicating processes
 - Between each pair there exists exactly one link
 - The link may be unidirectional, but is usually bi-directional





Indirect Communication

- Messages are directed and received from mailboxes (also referred to as ports)
 - Each mailbox has a unique id
 - Processes can communicate only if they share a mailbox
- Properties of communication link
 - Link established only if processes share a common mailbox
 - A link may be associated with many processes
 - Each pair of processes may share several communication links
 - Link may be unidirectional or bi-directional





Indirect Communication

Operations

- create a new mailbox
- send and receive messages through mailbox
- destroy a mailbox

Primitives are defined as:

send(A, message) - send a message to mailbox A
receive(A, message) - receive a message from mailbox A





Indirect Communication

- Mailbox sharing
 - P_1, P_2 , and P_3 share mailbox A
 - P_1 , sends; P_2 and P_3 receive
 - Who gets the message?
- Solutions
 - Allow a link to be associated with at most two processes
 - Allow only one process at a time to execute a receive operation
 - Allow the system to select arbitrarily the receiver. Sender is notified who the receiver was.



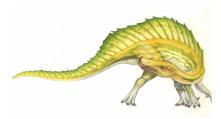


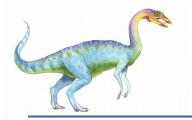
Synchronization

Message passing may be either blocking or non-blocking

Blocking is considered synchronous

- Blocking send has the sender block until the message is received
- Blocking receive has the receiver block until a message is available
- **Non-blocking** is considered **asynchronous**
 - Non-blocking send has the sender send the message and continue
 - **Non-blocking** receive has the receiver receive a valid message or null





Buffering

Queue of messages attached to the link; implemented in one of three ways

- Zero capacity 0 messages Sender must wait for receiver (rendezvous)
- 2. Bounded capacity finite length of *n* messages Sender must wait if link full
- 3. Unbounded capacity infinite length Sender never waits





Examples of IPC Systems - POSIX

- POSIX Shared Memory
 - Process first creates shared memory segment
 segment id = shmget(IPC PRIVATE, size, S IRUSR | S IWUSR);
 - Process wanting access to that shared memory must attach to it

shared memory = (char *) shmat(id, NULL, 0);

- Now the process could write to the shared memory sprintf(shared memory, "Writing to shared memory");
- When done a process can detach the shared memory from its address space shmdt(shared memory);





Examples of IPC Systems - Mach

- Mach communication is message based
 - Even system calls are messages
 - Each task gets two mailboxes at creation- Kernel and Notify
 - Only three system calls needed for message transfer

msg_send(), msg_receive(), msg_rpc()

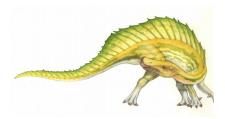
 Mailboxes needed for communication, created via port_allocate()



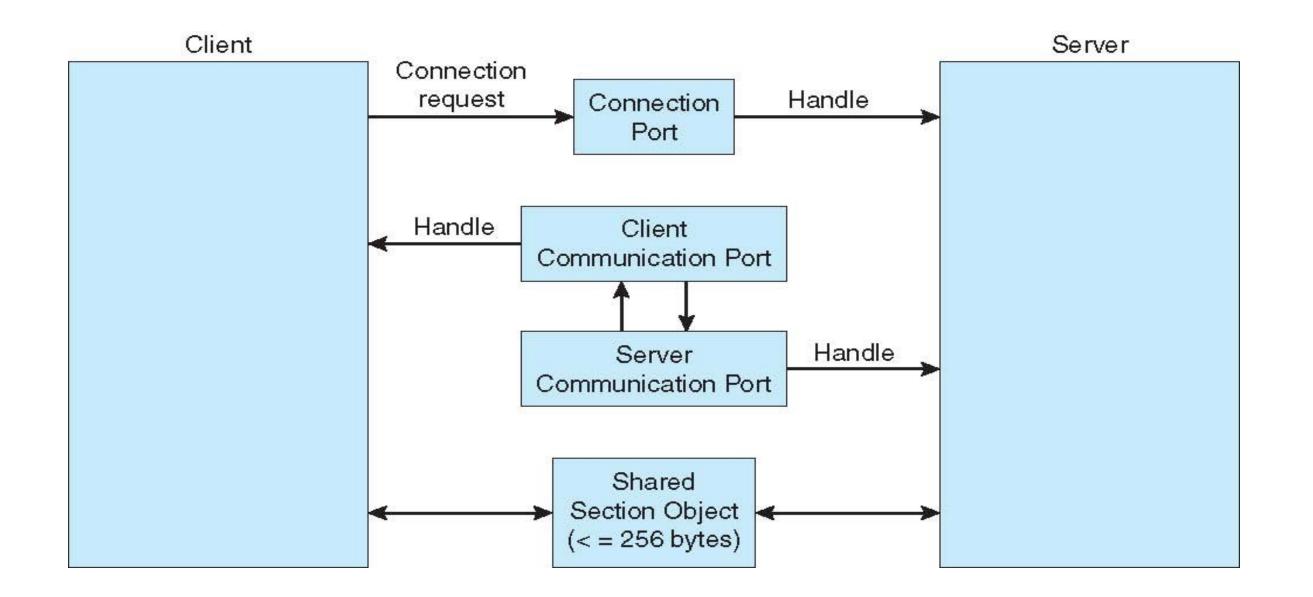


Examples of IPC Systems – Windows XP

- Message-passing centric via **local procedure call (LPC)** facility
 - Only works between processes on the same system
 - Uses ports (like mailboxes) to establish and maintain communication channels
 - Communication works as follows:
 - The client opens a handle to the subsystem's connection port object.
 - The client sends a connection request.
 - The server creates two private communication ports and returns the handle to one of them to the client.
 - The client and server use the corresponding port handle to send messages or callbacks and to listen for replies.



Local Procedure Calls in Windows XP





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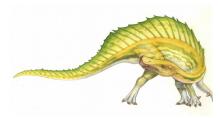


Sockets

Remote Procedure Calls

Pipes

Remote Method Invocation (Java)

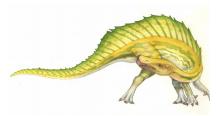


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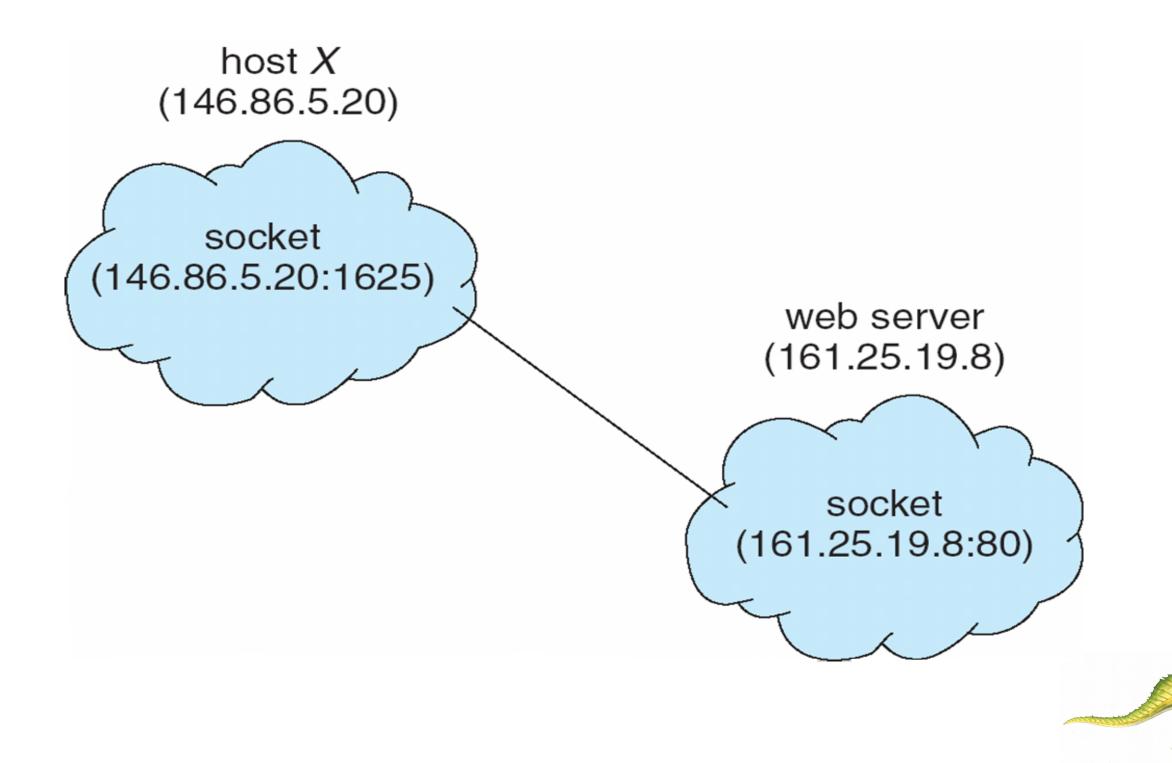


- A socket is defined as an *endpoint for communication*
- Concatenation of IP address and port
- The socket 161.25.19.8:1625 refers to port 1625 on host 161.25.19.8
- Communication consists between a pair of sockets





Socket Communication





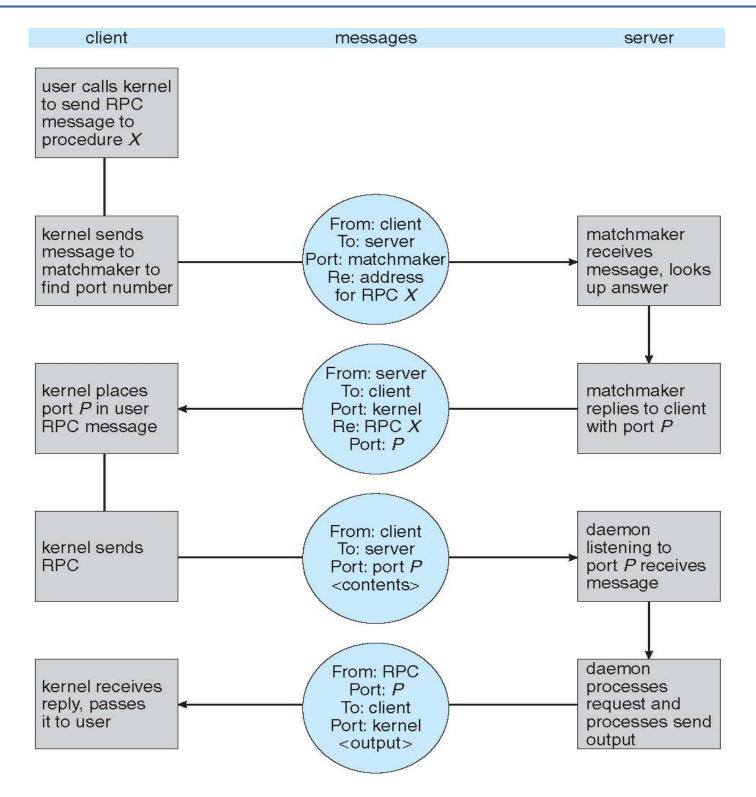
Remote Procedure Calls

- Remote procedure call (RPC) abstracts procedure calls between processes on networked systems
- **Stubs** client-side proxy for the actual procedure on the server
- The client-side stub locates the server and marshalls the parameters
- The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server



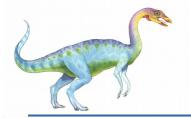


Execution of RPC





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Acts as a conduit allowing two processes to communicate

Issues

- Is communication unidirectional or bidirectional?
- In the case of two-way communication, is it half or full-duplex?
- Must there exist a relationship (i.e. parent-child) between the communicating processes?
- Can the pipes be used over a network?

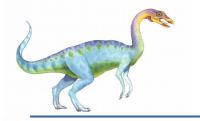




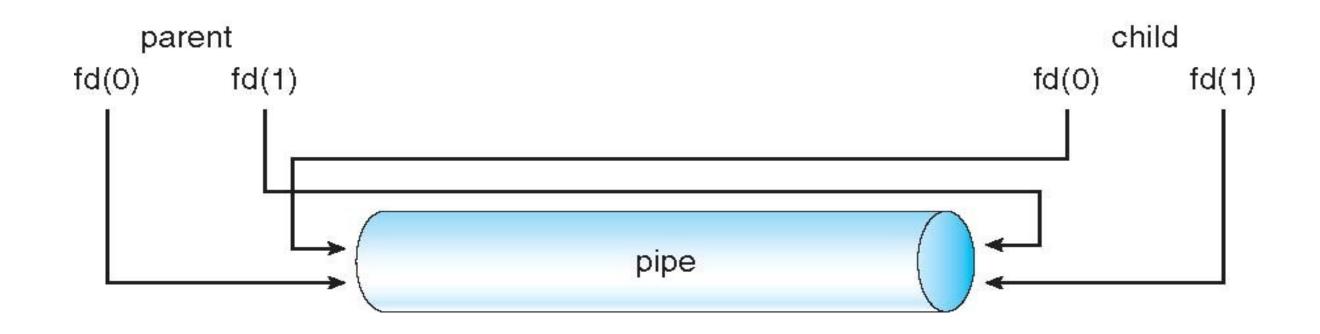
Ordinary Pipes

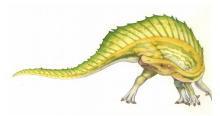
- **Ordinary Pipes** allow communication in standard producer-consumer style
- Producer writes to one end (the write-end of the pipe)
- Consumer reads from the other end (the *read-end* of the pipe)
- Ordinary pipes are therefore unidirectional
- Require parent-child relationship between communicating processes



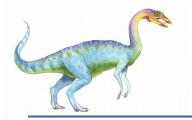


Ordinary Pipes





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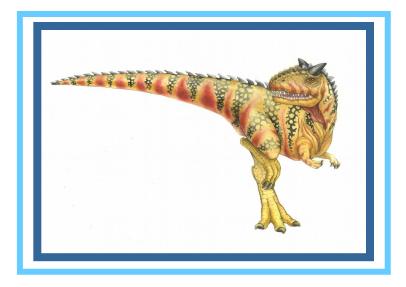


Named Pipes

- Named Pipes are more powerful than ordinary pipes
- Communication is bidirectional
- No parent-child relationship is necessary between the communicating processes
- Several processes can use the named pipe for communication
- Provided on both UNIX and Windows systems

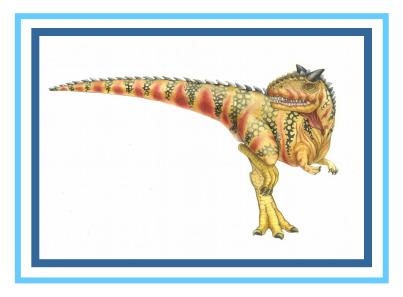


End of Chapter 3



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Chapter 4: Threads

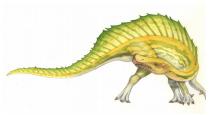


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Chapter 4: Threads

- Overview
- Multithreading Models
- Thread Libraries
- Threading Issues
- Operating System Examples
- Windows XP Threads
- Linux Threads

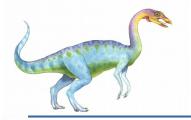




Objectives

- To introduce the notion of a thread a fundamental unit of CPU utilization that forms the basis of multithreaded computer systems
- To discuss the APIs for the Pthreads, Win32, and Java thread libraries
- To examine issues related to multithreaded programming





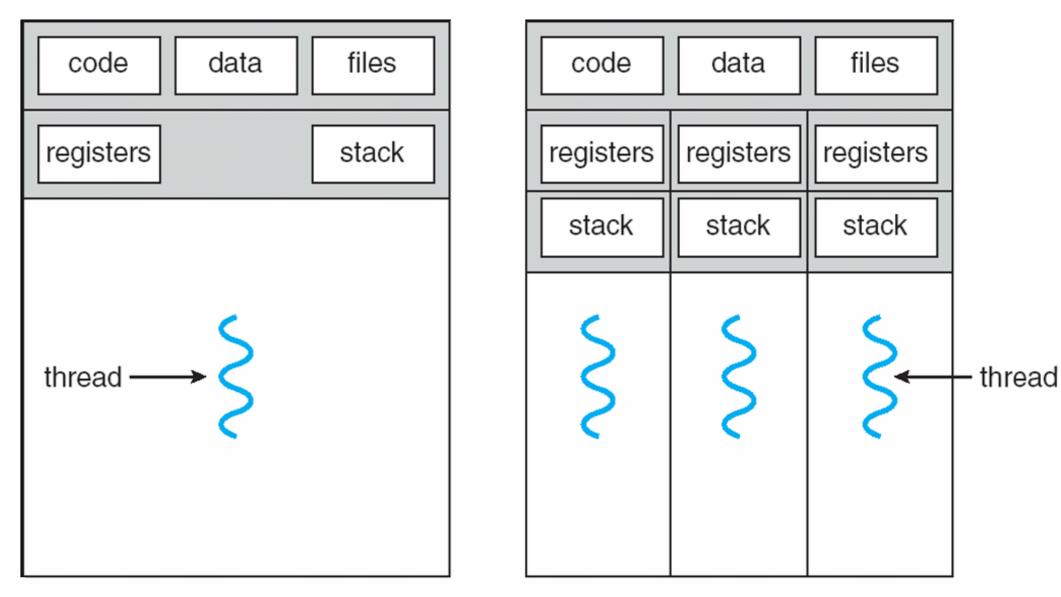
Motivation

- Threads run within application
- Multiple tasks with the application can be implemented by separate threads
 - Update display
 - Fetch data
 - Spell checking
 - Answer a network request
- Process creation is heavy-weight while thread creation is light-weight
- Can simplify code, increase efficiency
- Kernels are generally multithreaded



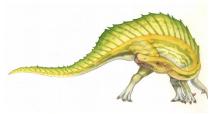


Single and Multithreaded Processes



single-threaded process

multithreaded process



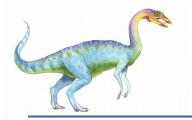
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Benefits

- Responsiveness
- Resource Sharing
- Economy
- Scalability

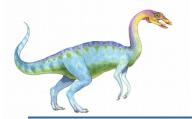




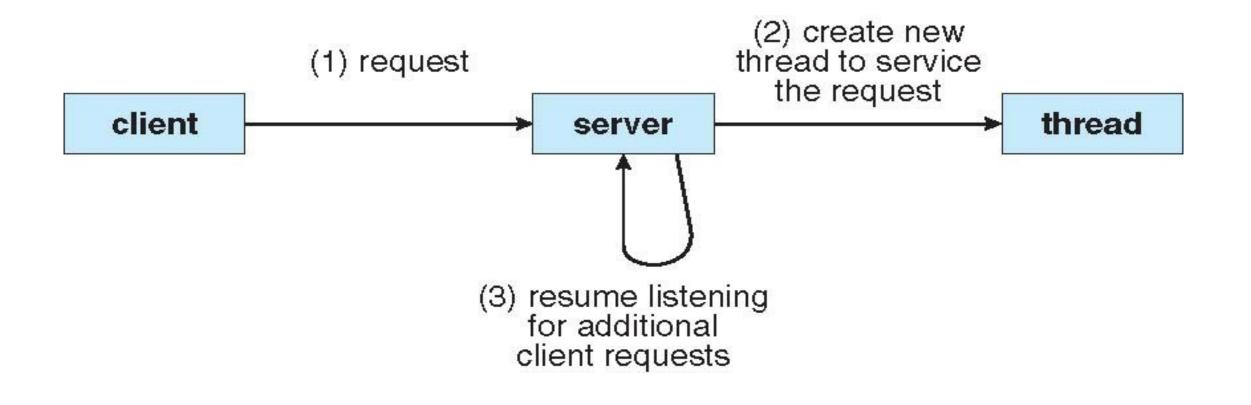
Multicore Programming

- Multicore systems putting pressure on programmers, challenges include:
 - Dividing activities
 - Balance
 - Data splitting
 - Data dependency
 - Testing and debugging





Multithreaded Server Architecture





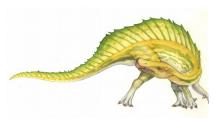
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Concurrent Execution on a Single-core System

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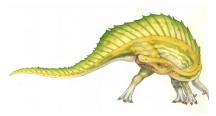
Τ ₁	T ₂	T ₃	T ₄	Т1	T ₂	T ₃	T ₄	T ₁	
				time					



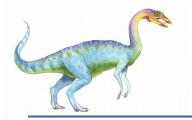


Parallel Execution on a Multicore System

core 1	T ₁	Тз	T ₁	Тз	T ₁	• • •	
core 2	T ₂	T ₄	T ₂	T ₄	T ₂	• • •	
	time						



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User Threads

- Thread management done by user-level threads library
- Three primary thread libraries:
 - POSIX Pthreads
 - Win32 threads
 - Java threads





Kernel Threads

Supported by the Kernel

Examples

- Windows XP/2000
- Solaris
- Linux
- Tru64 UNIX
- Mac OS X

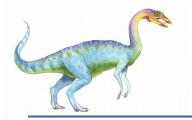




Multithreading Models

- Many-to-One
- One-to-One
- Many-to-Many



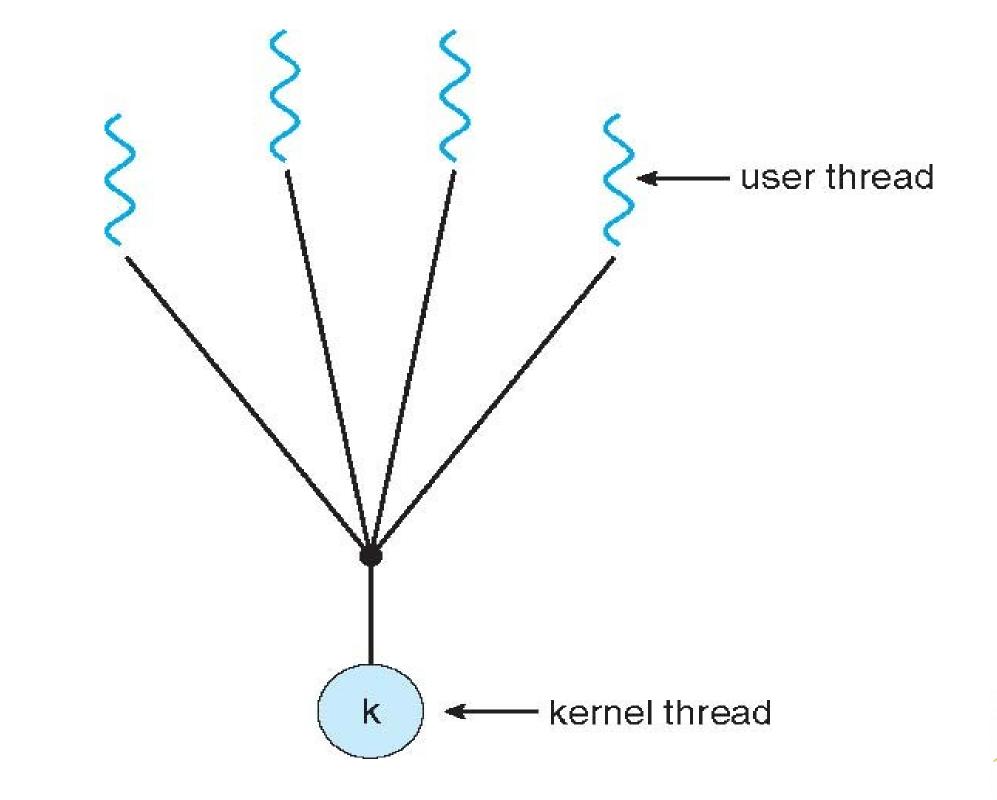


Many-to-One

- Many user-level threads mapped to single kernel thread
- Examples:
 - Solaris Green Threads
 - GNU Portable Threads



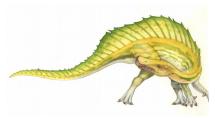
Many-to-One Model



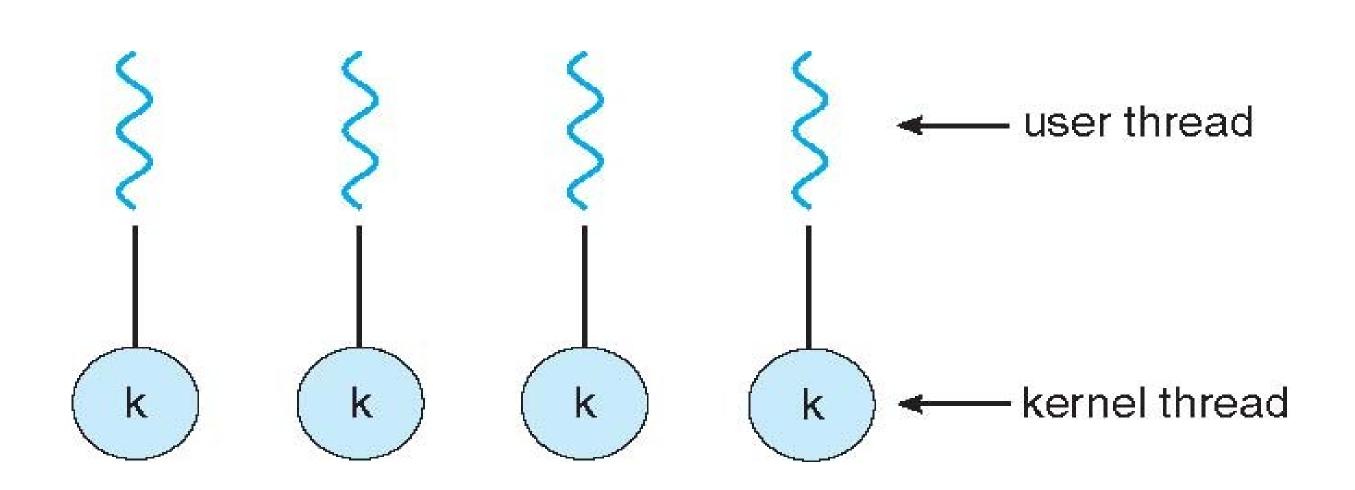


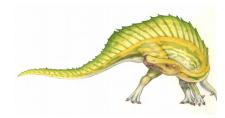
One-to-One

- Each user-level thread maps to kernel thread
- Examples
 - Windows NT/XP/2000
 - Linux
 - Solaris 9 and later





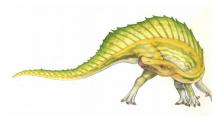


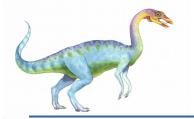




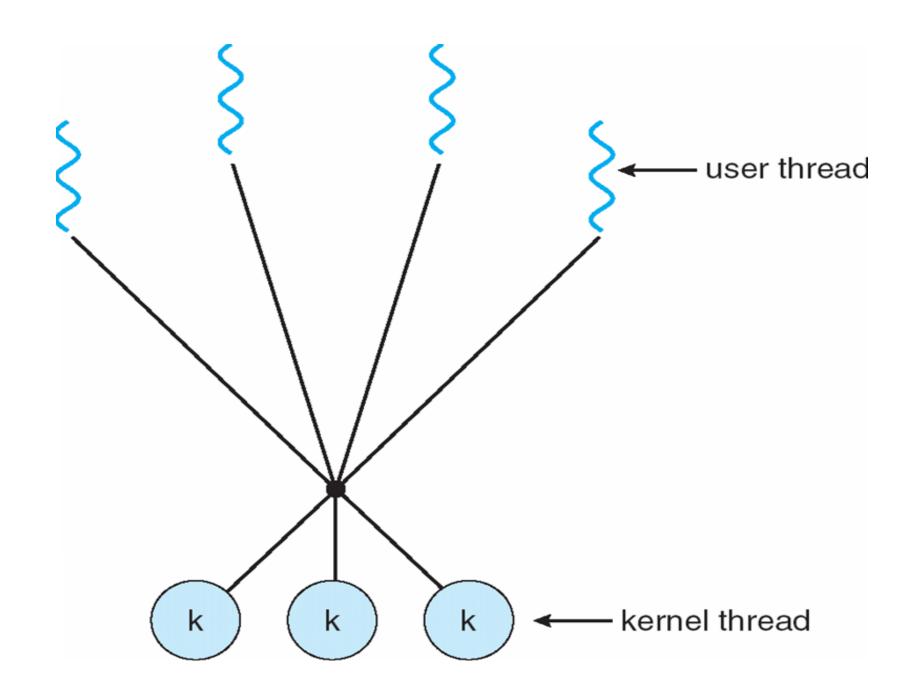
Many-to-Many Model

- Allows many user level threads to be mapped to many kernel threads
- Allows the operating system to create a sufficient number of kernel threads
- Solaris prior to version 9
- Windows NT/2000 with the *ThreadFiber* package





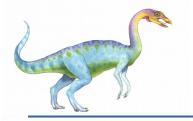
Many-to-Many Model





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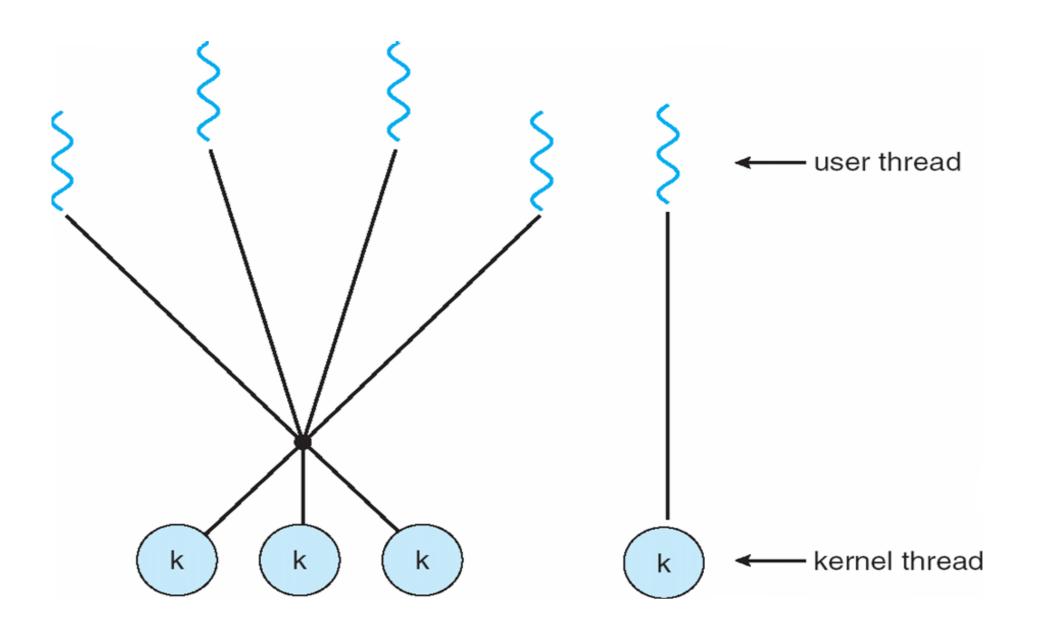
Two-level Model

- Similar to M:M, except that it allows a user thread to be **bound** to kernel thread
- Examples
 - IRIX
 - HP-UX
 - Tru64 UNIX
 - Solaris 8 and earlier





Two-level Model





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Thread Libraries

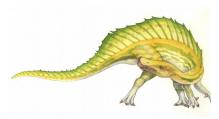
- Thread library provides programmer with API for creating and managing threads
- Two primary ways of implementing
 - Library entirely in user space
 - Kernel-level library supported by the OS







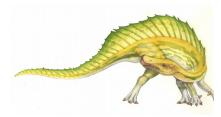
- May be provided either as user-level or kernel-level
- A POSIX standard (IEEE 1003.1c) API for thread creation and synchronization
- API specifies behavior of the thread library, implementation is up to development of the library
- Common in UNIX operating systems (Solaris, Linux, Mac OS X)





Pthreads Example

```
#include <pthread.h>
#include <stdio.h>
int sum; /* this data is shared by the thread(s) */
void *runner(void *param); /* the thread */
int main(int argc, char *argv[])
  pthread_t tid; /* the thread identifier */
  pthread_attr_t attr; /* set of thread attributes */
  if (argc != 2) {
     fprintf(stderr,"usage: a.out <integer value>\n");
     return -1:
  if (atoi(argv[1]) < 0) {
     fprintf(stderr,"%d must be >= 0\n",atoi(argv[1]));
     return -1;
  }
```





Pthreads Example (Cont.)

```
/* get the default attributes */
  pthread_attr_init(&attr);
  /* create the thread */
  pthread_create(&tid,&attr,runner,argv[1]);
  /* wait for the thread to exit */
  pthread_join(tid,NULL);
  printf("sum = %d\n",sum);
}
/* The thread will begin control in this function */
void *runner(void *param)
  int i, upper = atoi(param);
  sum = 0:
  for (i = 1; i <= upper; i++)</pre>
     sum += i:
  pthread_exit(0);
}
```

Figure 4.9 Multithreaded C program using the Pthreads API.



Win32 API Multithreaded C Program

```
#include <windows.h>
#include <stdio.h>
DWORD Sum; /* data is shared by the thread(s) */
/* the thread runs in this separate function */
DWORD WINAPI Summation(LPVOID Param)
  DWORD Upper = *(DWORD*)Param;
  for (DWORD i = 0; i <= Upper; i++)</pre>
     Sum += i:
  return 0:
int main(int argc, char *argv[])
  DWORD ThreadId;
  HANDLE ThreadHandle;
  int Param:
  /* perform some basic error checking */
  if (argc != 2) {
     fprintf(stderr,"An integer parameter is required\n");
     return -1:
  Param = atoi(argv[1]);
  if (Param < 0) {
     fprintf(stderr, "An integer >= 0 is required\n");
     return -1:
```



Win32 API Multithreaded C Program (Cont.)

```
// create the thread
ThreadHandle = CreateThread(
  NULL, // default security attributes
  0, // default stack size
  Summation, // thread function
  &Param, // parameter to thread function
  0, // default creation flags
  &ThreadId); // returns the thread identifier
if (ThreadHandle != NULL) {
  // now wait for the thread to finish
  WaitForSingleObject(ThreadHandle, INFINITE);
  // close the thread handle
  CloseHandle(ThreadHandle);
  printf("sum = %d\n",Sum);
```

Figure 4.10 Multithreaded C program using the Win32 API.



ŀ



Java Threads

- Java threads are managed by the JVM
- Typically implemented using the threads model provided by underlying OS
- Java threads may be created by:
 - Extending Thread class
 - Implementing the Runnable interface





Java Multithreaded Program

class Sum

```
private int sum;
  public int getSum() {
   return sum;
  public void setSum(int sum) {
   this.sum = sum;
class Summation implements Runnable
  private int upper;
  private Sum sumValue;
  public Summation(int upper, Sum sumValue) {
   this.upper = upper;
   this.sumValue = sumValue;
  public void run() {
   int sum = 0;
   for (int i = 0; i <= upper; i++)
      sum += i;
   sumValue.setSum(sum):
```

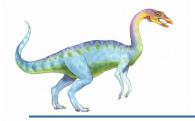


Java Multithreaded Program (Cont.)

```
public class Driver
  public static void main(String[] args) {
   if (args.length > 0) {
     if {Integer.parseInt(args[0]) < 0)
      System.err.println(args[0] + " must be >= 0.");
     else {
      // create the object to be shared
      Sum sumObject = new Sum();
      int upper = Integer.parseInt(args[0]);
      Thread thrd = new Thread(new Summation(upper, sumObject));
      thrd.start():
      try {
         thrd.join();
         System.out.println
                 ("The sum of "+upper+" is "+sumObject.getSum());
       catch (InterruptedException ie) { }
    else
     System.err.println{"Usage: Summation <integer value>"); }
ł
```

Figure 4.11 Java program for the summation of a non-negative integer.





Threading Issues

- Semantics of **fork()** and **exec()** system calls
- Thread cancellation of target thread
 - Asynchronous or deferred
- Signal handling
 - Synchronous and asynchronous





Threading Issues (Cont.)

- Thread pools
- Thread-specific data
 - Create Facility needed for data private to thread
- Scheduler activations



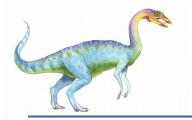


Semantics of fork() and exec()

Does **fork()** duplicate only the calling thread or all threads?



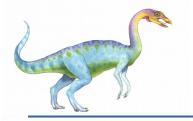
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Thread Cancellation

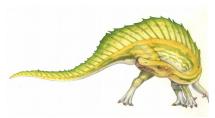
- Terminating a thread before it has finished
- Two general approaches:
 - **Asynchronous cancellation** terminates the target thread immediately.
 - **Deferred cancellation** allows the target thread to periodically check if it should be cancelled.





Signal Handling

- Signals are used in UNIX systems to notify a process that a particular event has occurred.
- A signal handler is used to process signals
 - 1. Signal is generated by particular event
 - 2. Signal is delivered to a process
 - 3. Signal is handled
- Options:
 - Deliver the signal to the thread to which the signal applies
 - Deliver the signal to every thread in the process
 - Deliver the signal to certain threads in the process
 - Assign a specific thread to receive all signals for the process





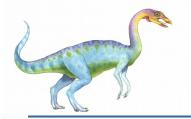
Thread Pools

Create a number of threads in a pool where they await work

Advantages:

- Usually slightly faster to service a request with an existing thread than create a new thread
- Allows the number of threads in the application(s) to be bound to the size of the pool

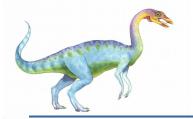




Thread Specific Data

- Allows each thread to have its own copy of data
- Useful when you do not have control over the thread creation process (i.e., when using a thread pool)





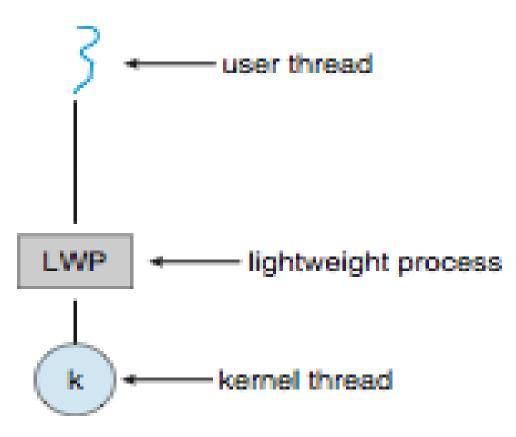
Scheduler Activations

- Both M:M and Two-level models require communication to maintain the appropriate number of kernel threads allocated to the application
- Scheduler activations provide upcalls a communication mechanism from the kernel to the thread library
- This communication allows an application to maintain the correct number kernel threads





Lightweight Processes





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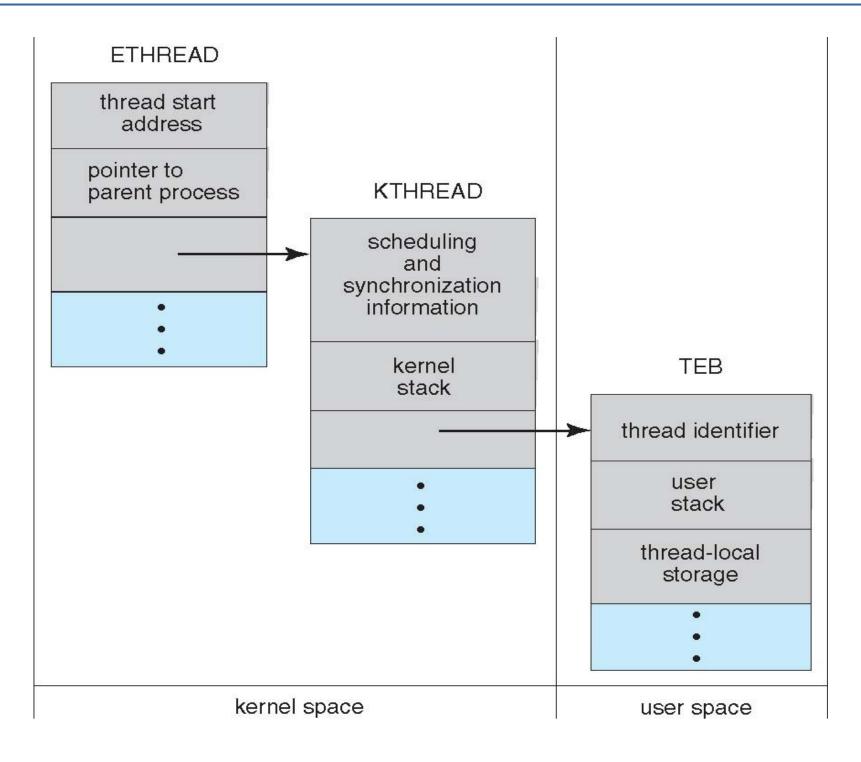
Operating System Examples

- Windows XP Threads
- Linux Thread



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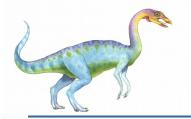
Windows XP Threads Data Structures





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Windows XP Threads

- Implements the one-to-one mapping, kernel-level
- Each thread contains
 - A thread id
 - Register set
 - Separate user and kernel stacks
 - Private data storage area
- The register set, stacks, and private storage area are known as the context of the threads
- The primary data structures of a thread include:
 - ETHREAD (executive thread block)
 - KTHREAD (kernel thread block)
 - TEB (thread environment block)

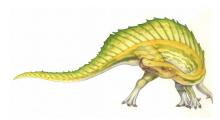


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Linux Threads

- Linux refers to them as *tasks* rather than *threads*
- Thread creation is done through clone() system call
- clone() allows a child task to share the address space of the parent task (process)
- struct task_struct points to process data structures (shared or unique)





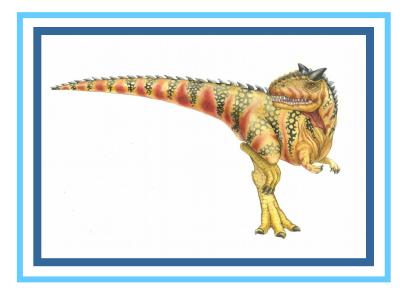
Linux Threads

- fork() and clone() system calls
- Doesn't distinguish between process and thread
 - Uses term *task* rather than thread
- clone() takes options to determine sharing on process create
- struct task_struct points to process data structures (shared or unique)

flag	meaning
CLONE_FS	File-system information is shared.
CLONE_VM	The same memory space is shared.
CLONE_SIGHAND	Signal handlers are shared.
CLONE_FILES	The set of open files is shared.



End of Chapter 4



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