The Process

A running program

A First Cut at the API

- Create
 - causes the OS to create a new process
- Destroy
 - forcefully terminates a process
- Wait (for the process to end)
- Other controls
 - e.g. to suspend or resume the process
- Status
 - running? suspended? blocked? for how long?

From Program to Process

To make the program's code and data come alive

need a CPU

need memory — the process' address space
for data, code, stack, heap

need registers
PC, SP, regular registers
need access to I/O
list of open files







- A process has code
- OS must track program counter
- A process has a stack
 - 🗅 OS must track stack pointer
- OS stores state of process in Process Control Block (PCB)
- Data (program instructions, stack & heap) resides in memory, metadata is in PCB

Process Control Block

PC
Stack Ptr
Registers
PID
PID
UID
Priority
List of open files
Process status
Kernel stack ptr

You'll Never Walk Alone

- Machines run (and thus OS must manage) multiple processes
 - how should the machine's resources be mapped to these processes?
- OS as a referee...



Isolating Applications







Operating System

Reading and writing memory, managing resources, accessing I/O...

- Buggy apps can crash other apps
- Buggy apps can crash OS
- Buggy apps can hog all resources
- Malicious apps can violate privacy of other apps
- Malicious apps can change the OS

You'll Never Walk Alone

- Machines run (and thus OS must manage) multiple processes
- how should the machine's resources be mapped to these processes?
- Enter the illusionist!
 - give every process the illusion of running on a private CPU

Virtualize the CPU

- which appears slower than the machine's
- give every process the illusion of running on a private memory

Virtualize memory

which may appear larger(??) than the machine's

Mechanism and Policy

- Mechanism
 - what the system can do
- Policy
 - what the system should do

Mechanisms should not determine policies!

The Process, Refined



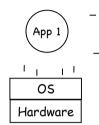
OS Hardware

- An abstraction for isolation
 - the execution of an application program with restricted rights
- The enforcing mechanism must not hinder functionality
- still efficient use of hardware
- enable safe communication



- The process abstraction is enforced by the kernel
- all kernel is in the OS
- not all the OS is in the kernel
 - (why not? robustness)
 - widgets libraries, window managers etc

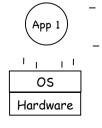
The Process, Refined



- An abstraction for isolation
 - the execution of an application program with restricted rights
- The enforcing mechanism must not hinder functionality
- still efficient use of hardware
- enable safe communication

How can the OS Enforce Restricted Rights?

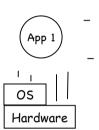
Easy: kernel interprets each instruction!



- slow
- many instructions are safe: do we really need to involve the OS?

How can the OS enforce restricted rights?

Mechanism: Dual Mode Operation



- hardware to the rescue: use a mode bit
 - in user mode, processor checks every instruction
 - in kernel mode, unrestricted rights
- hardware to the rescue (again)
 to make checks efficient

I. Privileged instructions

- Set mode bit
- I/O ops
- Memory management ops
- Disable interrupts
- Set timers
- Halt the processor

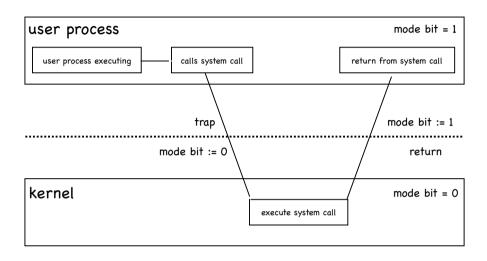
Amongst our weaponry are such diverse elements as...

- Privileged instructions
- in user mode, no way to execute potentially unsafe instructions
- Memory isolation
- in user mode, memory accesses outside a process' memory region are prohibited
- Timer interrupts
 - kernel must be able to periodically regain control from running process

I. Privileged instructions

- But how can an app do I/O then?
 - system calls achieve access to kernel mode only at specific locations specified by OS
- Executing a privileged instruction while in user mode (naughty naughty...) causes a processor exception....
 -which passes control to the kernel

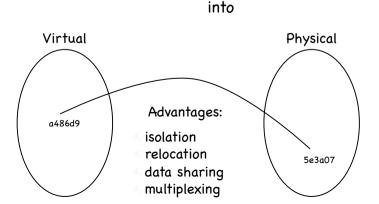
Crossing the line



II. Memory Isolation

Step 2: Address Translation

Implement a function mapping

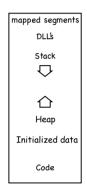


II. Memory Protection

Step 1: Virtualize Memory

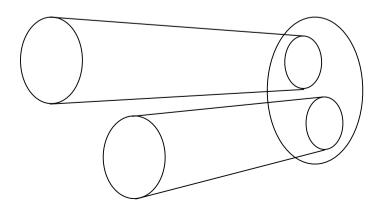
- Virtual address space: set of memory addresses that process can "touch"
 - © CPU works with virtual addresses
- Physical address space: set of memory addresses supported by hardware

Virtual address space



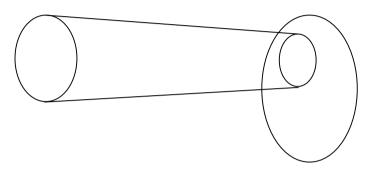
Isolation

At all times, functions used by different processes map to disjoint ranges — aka "Stay in your room!"



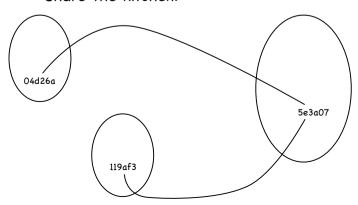
Relocation

The range of the function used by a process can change over time



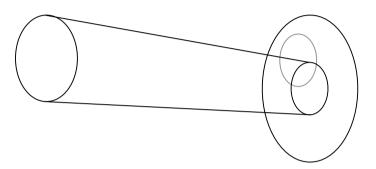
Data Sharing

Map different virtual addresses of distinct processes to the same physical address — "Share the kitchen!"



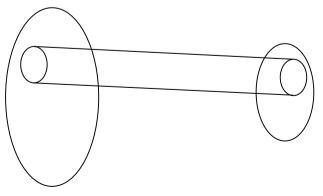
Relocation

The range of the function used by a process can change over time — "Move to a new room!"



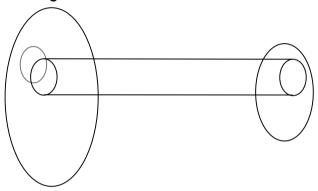
Multiplexing

Create illusion of almost infinite memory by changing domain (set of virtual addresses) that maps to a given range of physical addresses — ever lived in a studio?



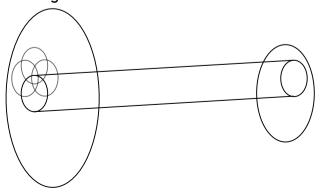
Multiplexing

The domain (set of virtual addresses) that map to a given range of physical addresses can change over time



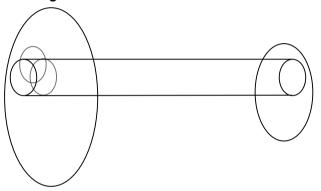
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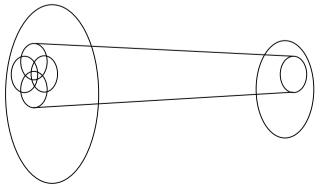
Multiplexing

The domain (set of virtual addresses) that map to a given range of physical addresses can change over time



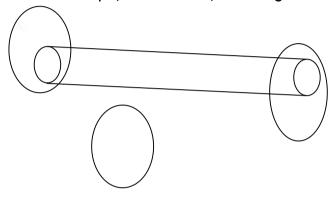
Multiplexing

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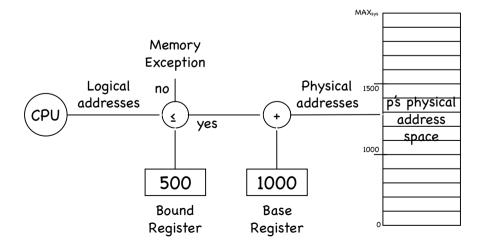


More Multiplexing

At different times, different processes can map part of their virtual address space into the same physical memory — change tenants!

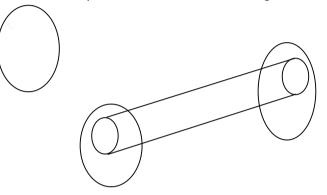


A simple mapping mechanism: Base & Bound



More Multiplexing

At different times, different processes can map part of their virtual address space into the same physical memory — change tenants!



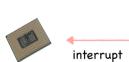
On Base & Limit

- Contiguous Allocation: contiguous virtual addresses are mapped to contiguous physical addresses
- Isolation is easy, but sharing is hard
 - Two copies of emacs: want to share code, but have heap and stack distinct...
- And there is more...
 - Hard to relocate
 - Hard to account for dynamic changes in both heap and stack

III. Timer Interrupts

- Hardware timer
 - can be set to expire after specified delay (time or instructions)
 - when it does, control is passed back to the kernel
- Other interrupts (e.g. I/O completion) also give control to kernel

Interrupt Management







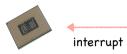
Maskable interrupts

a can be turned off by the CPU for critical processing

Nonmaskable interrupts

indicate serious errors (power out warning, unrecoverable memory error, etc.)

Interrupt Management



interrupt controller



Interrupt controllers implements interrupt priorities:

- Interrupts include descriptor of interrupting device
- Priority selector circuit examines all interrupting devices, reports highest level to the CPU
- Controller can also buffer interrupts coming from different devices
 - more on this later...

Types of Interrupts

Exceptions

- process missteps (e.g. division by zero)
- attempt to perform a privileged instruction
- sometime on purpose! (breakpoints)
- synchronous/non-maskable

Interrupts

- HW device requires OS service
 - timer, I/O device, interprocessor
- asynchronous/maskable

System calls/traps

- user program requestsOS service
- synchronous/nonmaskable

Interrupt Handling

- Two objectives
 - handle the interrupt and remove the cause
 - restore what was running before the interrupt
 - state may have been modified on purpose
- Two "actors" in handling the interrupt
 - the hardware goes first
 - the kernel code takes control by running the interrupt handler

Handling Interrupts: HW

- On interrupt, hardware:
 - sets supervisor mode (if not set already)
 - 🗈 disable (masks) interrupts

(partially privileged)

- pushes PC, SP, and PSW kernel interrupts Condition codes
 - of user program on interrupt stack
- sets PC to point to the first instruction of the appropriate interrupt handler

 Interrupt
 - depends on interrupt type
 - interrupt handler specified in interrupt vector loaded at boot time

Interrupt Vector I/O interrupt handler System Call handler Page fault handler ...

A Tale of Two Stack Pointers

- Interrupt is a program: it needs a stack!
 - so, each process has two stacks pointers:
 - one when running in kernel mode
 - another when running in user mode
- Why not using the user-level stack pointer?
 - user SP may be badly aligned or pointing to non writable memory
 - user stack may not be large enough, and may spill to overwrite important data
 - security:
 - kernel could leave sensitive data on stack
 - pointing SP to kernel address could corrupt kernel

Handling Interrupts: SW

- We are now running the interrupt handler!
 - IH first pushes the registers' contents on the interrupt stack (part of the PCB)
 - need registers to run the IH
 - only saves necessary registers (that's why done in SW, not HW)

Typical Interrupt Handler Code

HandleInterruptX:

PUSH %Rn

only need to save registers not saved by the handler function

PUSH %R1

CALL _handleX

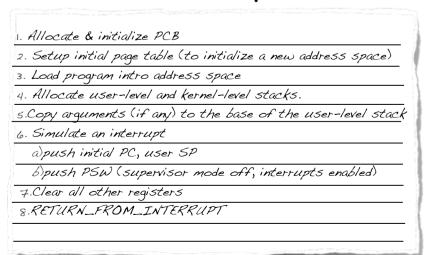
POP %R1

... restore the registers saved above

POP %Rn

RETURN_FROM_INTERRUPT

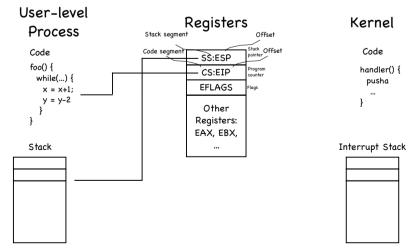
Starting a new process: the recipe



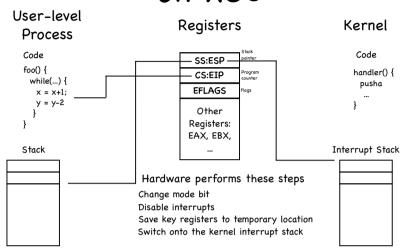
Returning from an Interrupt

- Hardware pops PC, SP, PSW
- Depending on content of PSW
 - switch to user mode
 - enable interrupts
- From exception and system call, increment PC on return (we don't want to execute again the same instruction)
 - on exception, handler changes PC at the base of the stack
 - on system call, increment is done by hw when saving user level state

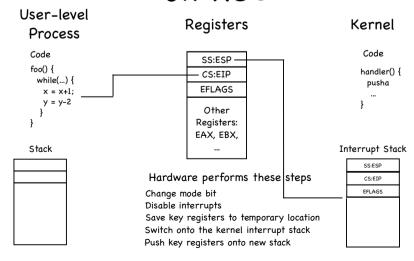
Interrupt Handling on x86



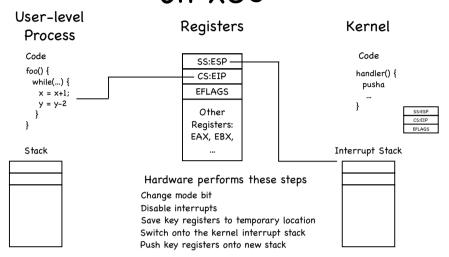
Interrupt Handling on x86



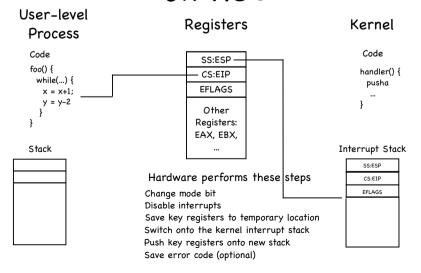
Interrupt Handling on x86



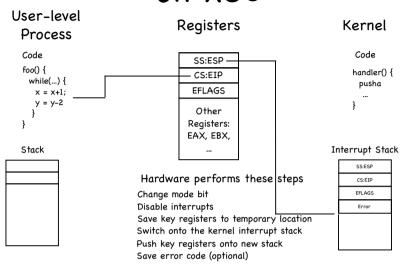
Interrupt Handling on x86



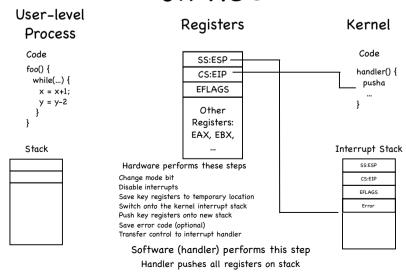
Interrupt Handling on x86



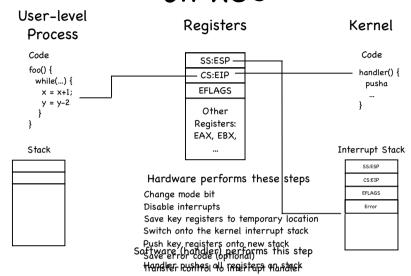
Interrupt Handling on x86



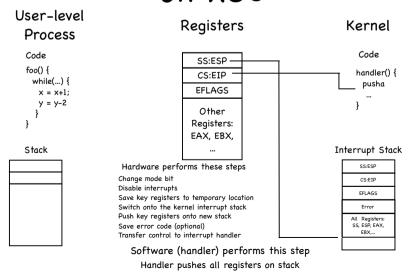
Interrupt Handling on x86



Interrupt Handling on x86



Interrupt Handling on x86



Interrupt Safety

- Kernel should disable device interrupts as little as possible
 - interrupts are best serviced quickly
- Thus, device interrupts are often disabled selectively
 - e.g., clock interrupts enabled during disk interrupt handling
- This leads to potential "race conditions"
 - system's behavior depends on timing of uncontrollable events

Making code interrupt-safe

- Make sure interrupts are disabled while accessing mutable data!
- But don't we have locks?
 - consider void function ()
 {
 lock(mtx);
 /* code */
 unlock(mtx);

Is function thread-safe?

Operates correctly when accessed simultaneously by multiple threads

To make it so, grab a lock

Is function interrupt-safe?

Operates correctly when called again (re-entered) before it completes

To make it so, disable interrupts

Interrupt Race Example

- Disk interrupt handler enqueues a task to be executed after a particular time
 - while clock interrupts are enabled
- Clock interrupt handler checks queue for tasks to be executed
 - may remove tasks from the queue
- Clock interrupt may happen during enqueue

Concurrent access to a shared data structure (the queue!)

Example of Interrupt-Safe Code

```
void enqueue(struct task *task) {
  int level = interrupt_disable();
  /* update queue */
  interrupt_restore(level);
}
```

- Why not simply re-enable interrupts?
 - Say we did. What if then we call enqueue from code that expects interrupts to be disabled?
 Oops...
 - Instead, remember interrupt level at time of call; when done, restore that level

Many Standard C Functions are not Interrupt-Safe

- Pure system calls are interrupt-safe
 - e.g., read(), write(), etc.
- Functions that don't use global data are interrupt-safe
 - e.g., strlen(), strcpy(), etc.

But they are all thread-safe!

Much care spent in

then checked

keeping interface secure

e.g., parameters first

copied to kernel space,

to prevent them from

being changed after

they are checked!

- malloc(), free (), and printf() are not interrupt-safe
 - must disable interrupts before using it in an interrupt handler
 - and you may not want to anyway (printf() is huge!)

The Skinny

- Simple and powerful interface allows separation of concern
 - Eases innovation in user space and HW
- "Narrow waist" makes it
 - nighly portable
- robust (small attack surface)
- Internet IP layer also offers skinny interface

Web Servers
Compilers
Word Processing

Web Browsers

Email

Portable OS Library

System call interface

Portable OS Kernel

x86 ARM PowerPC

10Mbps/100Mbps/1Gbps Ethernet

1802.11 a/b/q/n

SCSI

Graphics accellerators

LCD Screens

System calls

Programming interface to the services the OS provides:

read input/write to screen

create/read/write/delete files

create new processes

send/receive network packets

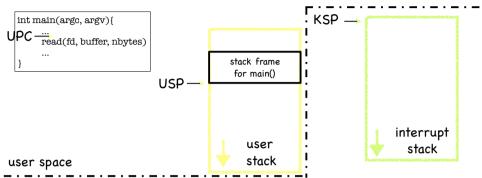
get the time / set alarms

terminate current process

Executing a System Call

Process:						
 Calls system call function in library 						
Places arguments in registers and/or pushes them onto user stack						
 Places syscall type in a dedicated register 						
 Executes syscall machine instruction 						
Kernel						
 Executes syscall interrupt handler 						
 Places result in dedicated register 						
Executes RETURN_FROM_INTERRUPT						
Process:						
Executes RETURN_FROM_FUNCTION						

Executing read System Call

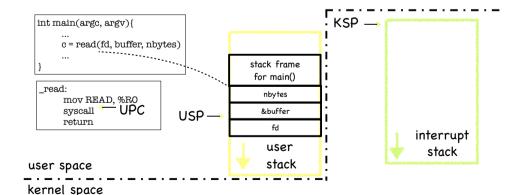


kernel space

UPC: user program counter USP: user stack pointer KSP: kernel stack pointer

note: interrupt stack is empty while process running

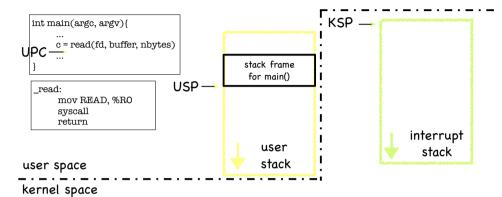
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Executing read System Call

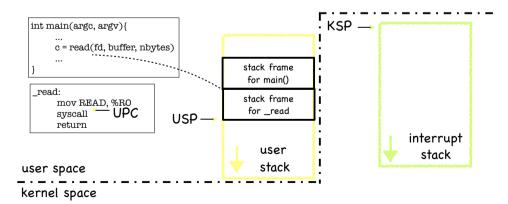


UPC: user program counter USP: user stack pointer

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Executing read System Call

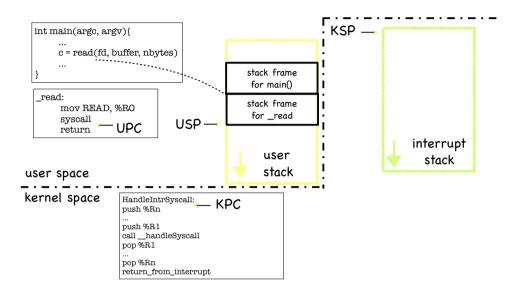


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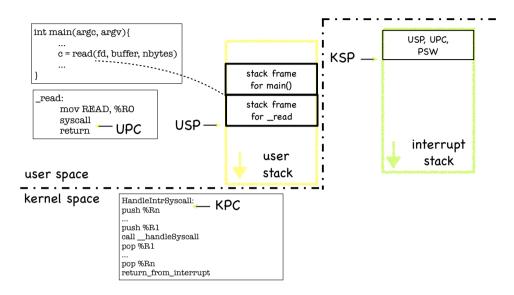
KSP: kernel stack pointer

note: interrupt stack is empty while process running

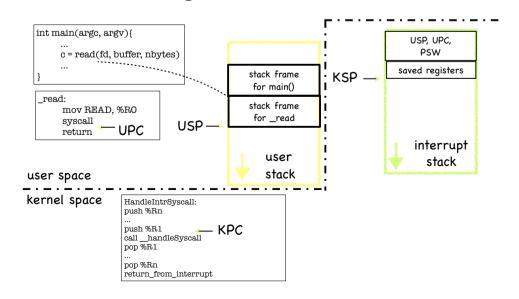
Executing read System Call



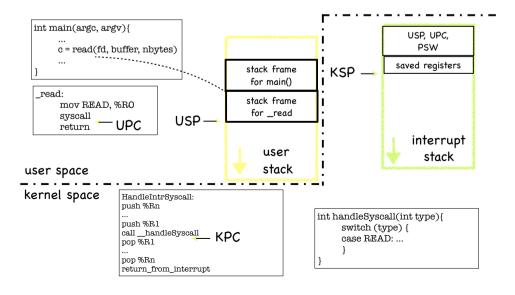
Executing read System Call



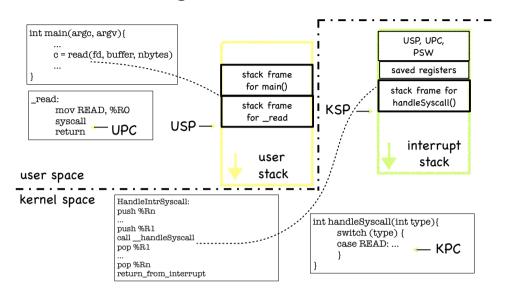
Executing read System Call



Executing read System Call



Executing read System Call



Virtualizing the CPU

Process Control Block

PC

Stack Ptr Registers

PID

Priority

List of open files Process status

Kernel stack ptr

Location in Memory Location of executable

on disk

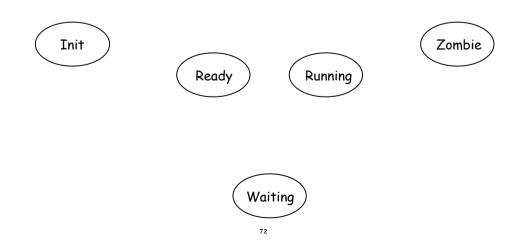
- OS keeps a PCB for each process
- It has space to hold a "frozen" version of the state process's state
 - Program counter
 - Process status (ready, running, etc)
 - CPU registers
 - CPU scheduling info
 - Memory management info
 - Account info
 - I/O status info
 - to be saved when the process relinquishes the CPU
 - and reloaded when the process reacquires the CPU

What if read needs to block?

- read may need to block if
 - It reads from a terminal
 - It reads from disk, and block is not in cache
 - It reads from a remote file server

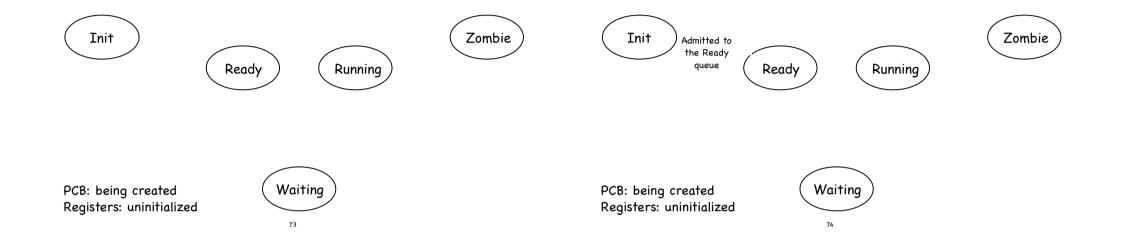
We should run another process!

Process Life Cycle



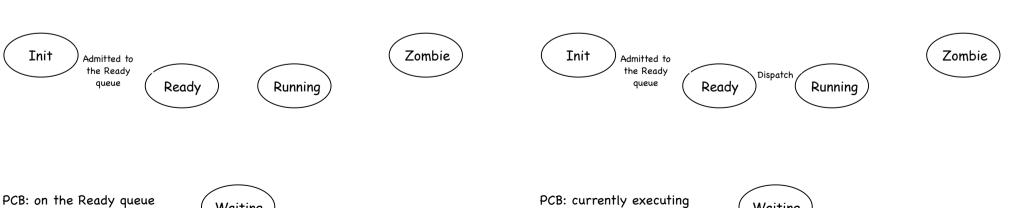
Process Life Cycle

Process Life Cycle



Process Life Cycle

Process Life Cycle



PCB: on the Ready queue Registers: pushed by kernel code onto interrupt stack

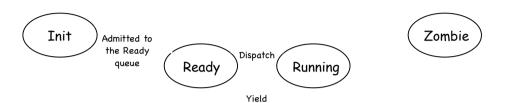


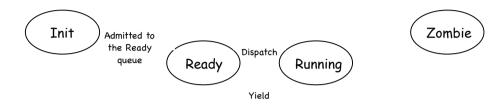
PCB: currently executing Registers: popped from interrupt stack into CPU



Process Life Cycle

Process Life Cycle





PCB: on Ready queue
Registers: pushed onto interrupt
stack (SP saved in PCB)

77

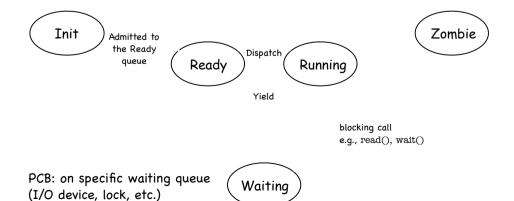
Registers: on interrupt stack

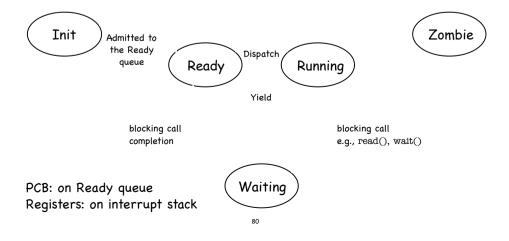
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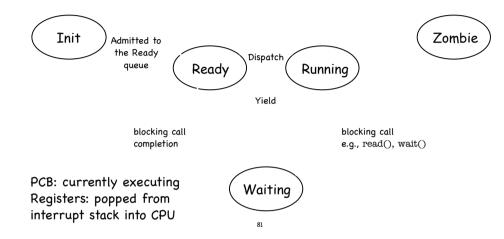
Process Life Cycle

Process Life Cycle





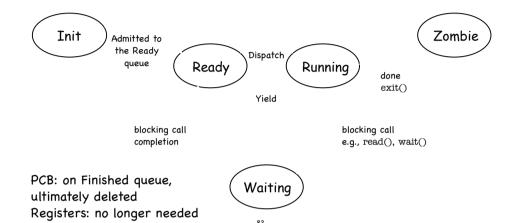
Process Life Cycle



Invariants to keep in mind

- At most one process/core running at any time
- When CPU in user mode, current process is RUNNING and its interrupt stack is empty
- If process is RUNNING
 - its PCB not on any queue
 - it is not necessarily in USER mode
- If process is RUNNABLE or WAITING
 - its registers are saved at the top of its interrupt stack
 - its PCB is either
 - on the READY queue (if RUNNABLE)
 - on some WAIT queue (if WAITING)
- If process is a ZOMBIE
 - its PCB is on FINISHED queue

Process Life Cycle



Cleaning up Zombies

- Process cannot clean up itself (why?)
- Process can be cleaned up
 - by some other process, checking for zombies before returning to RUNNING state
 - or by parent which waits for it
 - but what if parent turns into a zombie first?
 - or by a dedicated "reaper" process
- Linux uses a combination
 - if alive, parent cleans up child that it is waiting tor
 - if parent is dead, child process is inherited by the initial process, which is continually waiting

How to Yield/Wait?

- Must switch from executing the current process to executing some other READY process
 - Current process: RUNNING READY
 - Next process: READY RUNNING

Save kernel registers of Current on its interrupt stack

Save kernel SP of Current in its PCB

Restore kernel SP of Next from its PCB

Restore kernel registers of Next from its interrupt stack

Starting a New Process

```
ctx start:
         %rbp
  pushq
         %rbx
  pushq
  pushq
         %r15
         %r14
  pushq
  pushq
         %r13
         %r12
   pushq
   pushq
         %r11
         %r10
   pushq
         %r9
  pushq
  pushq
         %r8
         %rsp, (%rdi)
  mova
         %rsi, %rsp
  movq
  callq ctx_entry
```

```
void createProcess( func ){
  current->state = READY;
  readyQueue.add(current);
  struct pcb *next = malloc(...);
  next->func = func;
  next->state = RUNNING;
  ctx_start(&current->sp, next->top_of_stack)
  current = next;
void ctx entry(){
  current = next;
  (*current->func)();
  current->state = ZOMBIE:
  finishedQueue.add(current);
  next = scheduler();
  next->state = RUNNING;
  ctx_switch(&current->sp, next->sp)
  // this location cannot be reached
```

Yielding

```
ctx_switch: //ip already pushed
   pushq %rbp
   pushq %rbx
   pushq
         %r15
   pusha
          %r14
   pusha
          %r13
   pushq
          %r12
   pushq
          %r11
          %r10
   pusha
   pushq
          %r9
          %r8
   pushq
          %rsp, (%rdi)
          %rsi, %rsp
   movq
          %rbp
   pushq
   pushq
          %rbx
   pushq
          %r15
   pushq
          %r14
   pushq
          %r13
   pushq
          %r12
   pushq
          %r11
   pushq
         %r10
   pushq %r9
   pushq
         %r8
```

reta

```
struct pcb *current, *next;

void yield(){
   assert(current->state == RUNNING);
   current->state = RUNNABLE;
   runQueue.add(current);
   next = scheduler();
   next->state = RUNNING;
   ctx_switch(&current->sp, next->sp)
   current = next;
}
```

Anybody there?

- What if no process is READY?
 - scheduler() would return NULL aargh!
- To avoid armageddon
 - OS always runs a low priority process, in an infinite loop executing the HLT instruction
 - halts CPU until next interrupt
 - Interrupt handler executes yield() if some other process is put on the Ready queue

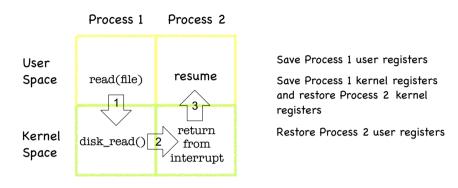
Three Flavors of Context Switching

- Interrupt: from user to kernel space
 - on system call, exception, or interrupt
 - Px user stack Px interrupt stack
- Yield: between two processes, inside kernel
 - □ from one PCB/interrupt stack to another
 - Px interrupt stack
 Py interrupt stack
- Return from interrupt: from kernel to user space
 - m with the homonymous instruction
 - Px interrupt stack
 Px user stack

System Calls to Create a New Process

```
WindowsCreateProcess(...);Unix (Linux)fork() + exec(...)
```

Switching between Processes



CreateProcess (Simplified)

```
if (!CreateProcess(
  NULL.
               // No module name (use command line)
  argv[1],
              // Command line
  NULL,
              // Process handle not inheritable
  NULL,
             // Thread handle not inheritable
  FALSE.
             // Set handle inheritance to FALSE
             // No creation flags
  NULL,
             // Use parent's environment block
  NULL,
             // Use parent's starting directory
             // Pointer to STARTUPINFO structure
  &si.
             // Ptr to PROCESS_INFORMATION structure
  &pi)
```

[Windows]

fork (actual form)

process identifier

int pid = fork();

..but needs exec(...)

[Unix]

Creating and managing processes

Syscall	Description			
fork()	Create a child process as a clone of the current process. Return to both parent and child. Return child's pid to parent process; return 0 to child			
exec (prog, args)	Run application prog in the current process with the specified args (replacing any code and data that was present in process)			
wait (&status)	Pause until a child process has exited			
exit (status)	Tell kernel current process is complete and its data structures (stack, heap, code) should be garbage collected. May keep PCB.			
kill (pid, type)	Send an interrupt of a specified type to a process (a bit of an overdramatic misnomer)			

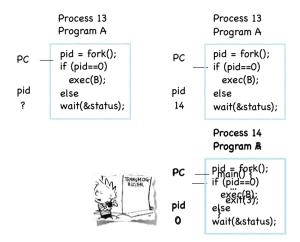
[Unix]

Kernel Actions to Create a Process

fork()
allocate ProcessID
initialize PCB
create and initialize new address space
inform scheduler new process is READY
exec(program, arguments)
load program into address space
copy arguments into address spaces memory
initialize h/w context to start execution at "start"
CreateProcess(...) does both

In action

In action

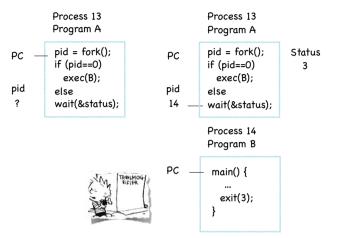


What is a shell?

Job control system

- Runs programs on behalf of the user
- Allows programmer to create/manage set of programs
 - sh Original Unix shell (Bourne, 1977)
 - sch BSD Unix C shell (tcsh enhances it)
 - □ bash "Bourne again" shell
 - Every command typed in the shell starts a child process of the shell
 - Runs at user-level. Uses syscalls: fork, exec, etc.

In action



The Unix shell (simplified)

```
while(! EOF)
read input
handle regular expressions
int pid = fork()  // create child
if (pid == 0) { // child here
    exec("program", argc, argv0,...);
}
else { // parent here
...
}
```

Signals (Virtualized Interrupts)

Asynchronous notifications in user space

ID	Name	Default Action	Corresponding Event
2	SIGINT	Terminate	Interrupt (e.g., CTRL-C from keyboard)
9	SIGKILL	Terminate	Kill program (cannot override or ignore)
14	SIGALRM	Terminate	Timer signal
17	SIGCHLD	Ignore	Child stopped or terminated
20	SIGSTP	Stop until SIGCONT	Stop signal from terminal (e.g., CTRL-Z from keyboard)

```
void int_handler(int sig) {
  printf("Process %d received signal %d\n", getpid(), sig);
  exit(0);
int main() {
  pid_t pid[N];
                                                                      Handler
  int i, child_status;
  signal(SIGINT, int_handler) // register handler for SIGINT
  for (i = 0; i < N; i++) // N forks
                                                                         Example
      if ((pid[i] = fork()) == 0) {
          while(1); // child infinite loop
  /* Parent terminates the child processes */
  for (i = 0; i < N; i++) { // parent continues executing
      printf("Killing proc. %d\n", pid[i]);
      kill(pid[i], SIGINT);
  /* Parent reaps terminated children */
  for (i = 0; i < N; i++) {
      pid_t wpid = wait(&child_status);
      if (WIFEXITED(child_status)) // parent checks for each child's exit
           printf("Child %d terminated w/exit status %d\n", wpid,
                WEXITSTATUS(child_status));
           printf("Child %d terminated abnormally\n", wpid);
  exit(0);
```

```
int main() {
   pid t pid[N];
   int i, child_status;
                                                                 Signal
   for (i = 0; i < N; i++) // N forks
      if ((pid[i] = fork()) == 0) {
          while(1); // child infinite loop
                                                                    Example
  /* Parent terminates the child processes */
   for (i = 0; i < N; i++) { // parent continues executing
       printf("Killing proc. %d\n", pid[i]);
       kill(pid[i], SIGINT);
  /* Parent reaps terminated children */
  for (i = 0; i < N; i++) {
      pid_t wpid = wait(&child_status);
       if (WIFEXITED(child_status)) // parent checks for each child's exit
          printf("Child %d terminated w/exit status %d\n", wpid,
                WEXITSTATUS(child_status));
       else
          printf("Child %d terminated abnormally\n", wpid);
   exit(0);
```

Kernel Operation (conceptual, simplified)

```
Initialize devices
Initialize "first process"
while (TRUE) {

while device interrupts pending

- handle device interrupts

while system calls pending

- handle system calls

- handle system calls

- select a runnable process and switch to it

otherwise

- wait for device interrupt

}
```

Booting an OS Kernel

Bootloader
OS Kernel
Login app

BIOS

- Basic Input/Output System
 - In ROM; includes the first instructions fetched and executed
- 1 BIOS copies Bootloader, checking its cryptographic hash to make sure it has not been tampered with

Booting an OS Kernel

Bootloader OS Kernel Login app

BIOS Bootloader OS Kernel

Bootloader copies OS Kernel, checking its cryptographic hash

Booting an OS Kernel

Bootloader
OS Kernel
Login app

BIOS Bootloader

2 Bootloader copies OS Kernel, checking its cryptographic hash

Booting an OS Kernel

Bootloader OS Kernel Login app

BIOS Bootloader OS Kernel

(devices, interrupt vector table, etc.)

Booting an OS Kernel

Bootloader OS Kernel Login app

(4) Kernel: Copies first process from disk

Booting an OS Kernel

Bootloader OS Kernel Login app

OS Kernel Login a	Bootloader OS Kernel	BIOS
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(4) Kernel: Copies first process from disk

Changes PC and sets mode bit to 1

And the dance begins!