CS162
Operating Systems and Systems Programming
Lecture 2

Four Fundamental OS Concepts

January 18th, 2024
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Recall: What is an Operating System?

- **Referee**
  - Manage protection, isolation, and sharing of resources
    » Resource allocation and communication

- **Illusionist**
  - Provide clean, easy-to-use abstractions of physical resources
    » Infinite memory, dedicated machine
    » Higher level objects: files, users, messages
    » Masking limitations, virtualization

- **Glue**
  - Common services
    » Storage, Window system, Networking
    » Sharing, Authorization
    » Look and feel
Recall: OS Protection
Recall: OS Protection

- **Compiled Program 1**
  - System Libs

- **Process 1**

- **Segmentation fault (core dumped)**

- **Process 2**
  - Address Spaces
  - Files
  - Sockets

- **Compiled Program 2**
  - System Libs

**Operating System**

- **Processor**
  - PgTbl & TLB

- **Memory**
  - Mem

- **Storage**

- **Networks**

- **I/O Ctrlr**
Challenge: Complexity

- Applications consisting of...
  - ... a variety of software modules that ...
  - ... run on a variety of devices (machines) that
    » ... implement different hardware architectures
    » ... run competing applications
    » ... fail in unexpected ways
    » ... can be under a variety of attacks

- Not feasible to test software for all possible environments and combinations of components and devices
  - The question is not whether there are bugs but how serious are the bugs!

- Complexity of software keeps growing!
For Instance: Software Complexity keeps growing!

New Versions (much) larger than older versions!

Cars getting really complex!

Millions of Lines of Code
(source https://informationisbeautiful.net/visualizations/million-lines-of-code/)
The World Is Parallel: e.g. Intel Saphire Rapids (2023)

- Up to 60 cores, 120 threads/package (socket)
  - Up to 4 “chiplets” bonded together
- Network:
  - On-chip Mesh Interconnect
  - Fast off-chip network (UPI): directly connects 8-chips
  - 480 cores/shared memory domain!
- Each Core Has:
  - 80 KB L1 Cache
  - 2 MB L2 Cache
  - Fraction of up to 112.5 MB L3 Cache
- DRAM/chips
  - Up to 4 TiB of DDR5 memory
- Many Accelerators of different types
  - Graphics, Encryption, AI, Security
HW Functionality comes with great complexity!

- Really High Speed I/O (e.g. graphics)
- High-Speed I/O devices (PCI Exp)
- Disks (8 x SATA 3.0)
- Slower I/O (USB)
- Integrated 2.5G Ethernet
- Integrated WiFi 6E
- Memory Channels (High BW DRAM)
- Direct Media Interface (8-16 GBytes/sec)
- Integrated Ethernet
- RAID 0/1/5/10
- HD Audio
- Integrated WiFi 7
- Intel Management Engine (ME) and BIOS Support [remote management]
Complexity leaks into OS if not properly designed:

- Third-party device drivers are one of the most unreliable aspects of OS
  - Poorly written by non-stake-holders
  - Ironically, the attempt to provide clean abstractions can lead to crashes!
- Holes in security model or bugs in OS lead to instability and privacy breaches
  - Great Example: Meltdown (2017)
    » Extract data from protected kernel space!
- Version skew on Libraries can lead to problems with application execution
- Data breaches, DDOS attacks, timing channels….
  - Heartbleed (SSL)
OS Abstracts Underlying Hardware to help Tame Complexity

- Processor → Thread
- Memory → Address Space
- Disks, SSDs, … → Files
- Networks → Sockets
- Machines → Processes

Application

 Operating System

 Hardware

OS as an *Illusionist*:
- Remove software/hardware quirks (*fight complexity*)
- Optimize for convenience, utilization, reliability, … (*help the programmer*)

For any OS area (e.g. file systems, virtual memory, networking, scheduling):
- What hardware interface to handle? (physical reality)
- What’s software interface to provide? (nicer abstraction)
Today: Four Fundamental OS Concepts

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

- Write them and compile them
- Load instruction and data segments of executable file into memory
- Create stack and heap
- “Transfer control to program”
- Provide services to program
- While protecting OS and program
Recall (61C): Instruction Fetch/Decode/Execute

The instruction cycle

Processor
- PC
- Instruction fetch
- Decode
- Execute
- Registers
- ALU
- next
- decode

Memory
- instruction
- data
First OS Concept: Thread of Control

- **Thread**: Single unique execution context
  - Program Counter, Registers, Execution Flags, Stack, Memory State
- A thread is *executing* on a processor (core) when it is *resident* in the processor registers
- Resident means: Registers hold the root state (context) of the thread:
  - Including program counter (PC) register & currently executing instruction
    » PC points at next instruction *in memory*
    » Instructions stored in memory
  - Including intermediate values for ongoing computations
    » Can include actual values (like integers) or pointers to values *in memory*
  - Stack pointer holds the address of the top of stack (which is *in memory*
  - The rest is “in memory”
- A thread is *suspended* (not executing) when its state *is not* loaded (resident) into the processor
  - Processor state pointing at some other thread
  - Program counter register *is not* pointing at next instruction from this thread
  - Often: a copy of the last value for each register stored in memory
Recall (61C): What happens during program execution?

Execution sequence:

- Fetch Instruction at PC
- Decode
- Execute (possibly using registers)
- Write results to registers/mem
- PC = Next Instruction(PC)
- Repeat
Registers: RISC-V \(\Rightarrow\) x86

• CS61C does RISC-V. Will need to learn x86…
• Section will cover this architecture
Illusion of Multiple Processors with single core

- Assume a **single processor (core)**. How do we provide the illusion of multiple processors?
  - Multiplex in time!
- Threads are **virtual cores**

**Contents of virtual core (thread):**
- Program counter, stack pointer
- Registers

**Where is “it” (the thread)?**
- On the real (physical) core, or
- Saved in chunk of memory – called the *Thread Control Block (TCB)*
Illusion of Multiple Processors (Continued)

• Consider:
  – At T1: vCPU1 on real core, vCPU2 in memory
  – At T2: vCPU2 on real core, vCPU1 in memory

• What happened?
  – OS Ran [how?]
  – Saved PC, SP, … in vCPU1's thread control block (memory)
  – Loaded PC, SP, … from vCPU2's TCB, jumped to PC

• What triggered this switch?
  – Timer, voluntary yield, I/O, other things we will discuss
Multiprogramming - Multiple Threads of Control

- Thread Control Block (TCB)
  - Holds contents of registers when thread not running
  - What other information?
- Where are TCBs stored?
  - For now, in the kernel
- PINTOS? – read thread.h and thread.c
Administrivia: Getting started

• Should be working on Homework 0 already! ⇒ Due Wednesday (1/24)
  – cs162-xx account, Github account, registration survey
  – VM environment for the course
  – Get familiar with all the cs162 tools, submitting to autograder via git

• Start Project 0 Monday!
  – To be done on your own – like a homework

• Reminder of Resources for you (look at Resources tab on homepage!)
  – Quick tutorial about C: Ladder
  – Oreilly Books on: C language, Git environment, Rust (for later)

• Slip days: I’d bank these and not spend them right away!
  – You have 4 slip days for homework
  – You have 5 slip days for projects
  – (Very) Limited credit when late and run out of slip days

• Please don’t use slip days on Homework 0 / Project 0!
  – You will start off on wrong foot!
Administrivia (Con’t)

• Monday is an optional REVIEW session for C
  – Time and location/Zoom link TBA
  – May be recorded

• Class size is fixed at 404 students, 13 sections
  – Will be moving more students from waitlist ⇒ class as students drop
  – If you are on waitlist, assume you could get into the class at any time in next week or so!
  – Keep up with work (until you drop or we close the class)
    » If cannot get credentials for autograder, contact us (I believe we have an Ed thread for that!)

• Friday (1/26) is drop day for this class!
  – Very hard to drop afterwards…
  – Please drop sooner if you are going to anyway ⇒ Let someone else in!
CS 162 Collaboration Policy

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

Sharing code or test cases with another group
Copying OR reading another group’s code or test cases
Copying OR reading online code or test cases from prior years
Helping someone in another group to debug their code

• We compare all project submissions against prior year submissions and online solutions and will take actions (described on the course overview page) against offenders
• Don’t put a friend in a bad position by asking for help that they shouldn’t give!
Second OS Concept: Address Space

- Address space \(\Rightarrow\) the set of accessible addresses + state associated with them:
  - For 32-bit processor: \(2^{32} = 4\) billion \((10^9)\) addresses
  - For 64-bit processor: \(2^{64} = 18\) quintillion \((10^{18})\) addresses

- What happens when you read or write to an address?
  - Perhaps acts like regular memory
  - Perhaps ignores writes
  - Perhaps causes I/O operation
    - (Memory-mapped I/O)
  - Perhaps causes exception (fault)
  - Communicates with another program
  - ....
Address Space: In a Picture

- What’s in the code segment? Static data segment?
- What’s in the Stack Segment?
  - How is it allocated? How big is it?
- What’s in the Heap Segment?
  - How is it allocated? How big?
Previous discussion of threads: Very Simple Multiprogramming

- All vCPU's share non-CPU resources
  - Memory, I/O Devices
- Each thread can read/write memory
  - Perhaps data of others
  - can overwrite OS?
- Unusable?
- This approach is used in
  - Very early days of computing
  - Embedded applications
  - MacOS 1-9/Windows 3.1 (switch only with voluntary yield)
  - Windows 95-ME (switch with yield or timer)
- However it is risky…
Simple Multiplexing has no Protection!

- Operating System must protect itself from user programs
  - Reliability: compromising the operating system generally causes it to crash
  - Security: limit the scope of what threads can do
  - Privacy: limit each thread to the data it is permitted to access
  - Fairness: each thread should be limited to its appropriate share of system resources (CPU time, memory, I/O, etc)
- OS must protect User programs from one another
  - Prevent threads owned by one user from impacting threads owned by another user
  - Example: prevent one user from stealing secret information from another user
What can the hardware do to help the OS protect itself from programs???

How about: Limit the ACCESS that threads have to memory
Simple Protection: Base and Bound (B&B)

Program address 1010…

Bound 1100…

Base 1000…

0010…

0000…

0100…

0010…

0000…

1000…

1100…

1000…

1100…

FFFF…

code
Static Data
heap
stack

code
Static Data
heap
stack

code
Static Data
heap
stack

code
Static Data
heap
stack

Program address

Base

Bound
Simple Protection: Base and Bound (B&B)

- Still protects OS and isolates program
- Requires relocating loader
- No addition on address path

Program address 1010…
Address translation when program loaded

Bound 1100…
Addresses translated when program loaded

Base 1000…

• Still protects OS and isolates program
• Requires relocating loader
• No addition on address path
61C Review: Relocation

- Compiled .obj file linked together in an .exe
- All addresses in the .exe are as if it were loaded at memory address 00000000
- File contains a list of all the addresses that need to be adjusted when it is “relocated” to somewhere else.
Simple address translation with Base and Bound

- Hardware relocation
- Can the program touch OS?
- Can it touch other programs?
x86 – segments and stacks

Processor Registers

- CS
- SS
- DS
- ES
- EIP
- ESP
- EAX
- EBX
- ECX
- EDX
- ESI
- EDI

Start address, length and access rights associated with each segment register

- CS:
- SS:
- EIP:
- ESP:

code
static data
heap

stack

code
static data
heap

stack
Another idea: Address Space Translation

- Program operates in an address space that is distinct from the physical memory space of the machine

![Diagram showing processor, translator, and memory with virtual and physical addresses]

- Processor
  - Registers
- Translator
- Memory
  - Address 0x000...
  - Address 0xFFF...
Paged Virtual Address Space

- What if we break the entire virtual address space into equal size chunks (i.e., pages) have a base for each?
- All pages same size, so easy to place each page in memory!
- Hardware translates address using a **page table**
  - Each page has a separate base
  - The “bound” is the page size
  - Special hardware register stores pointer to page table
  - Treat memory as page size frames and put any page into any frame …

- Another cs61C review…
Paged Virtual Address (from 61C)

- Instructions operate on virtual addresses
  - Instruction address, load/store data address
- Translated to a physical address through a Page Table by the hardware
- Any Page of address space can be in any (page sized) frame in memory
  - Or not-present (access generates a page fault)
- Special register holds page table base address (of the process)
Third OS Concept: Process

• Definition: execution environment with Restricted Rights
  – (Protected) Address Space with One or More Threads
  – Owns memory (address space)
  – Owns file descriptors, file system context, …
  – Encapsulate one or more threads sharing process resources

• Application program executes as a process
  – Complex applications can fork/exec child processes [later!]

• Why processes?
  – Protected from each other!
  – OS Protected from them
  – Processes provides memory protection

• Fundamental tradeoff between protection and efficiency
  – Communication easier within a process
  – Communication harder between processes
Single and Multithreaded Processes

- Threads encapsulate concurrency:
  - “Active” component
- Address spaces encapsulate protection:
  - “Passive” component
  - Keeps buggy programs from crashing the system
- Why have multiple threads per address space?
  - Parallelism: take advantage of actual hardware parallelism (e.g. multicore)
  - Concurrency: ease of handling I/O and other simultaneous events
Protection and Isolation

• Why Do We Need Processes??
  – Reliability: bugs can only overwrite memory of process they are in
  – Security and privacy: malicious or compromised process can’t read or write other process’ data
  – (to some degree) Fairness: enforce shares of disk, CPU

• Mechanisms:
  – Address translation: address space only contains its own data
  – BUT: why can’t a process change the page table pointer?
    » Or use I/O instructions to bypass the system?
  – Hardware must support privilege levels
Fourth OS Concept: Dual Mode Operation

- **Hardware** provides at least two modes (at least 1 mode bit):
  1. Kernel Mode (or “supervisor” mode)
  2. User Mode
- Certain operations are **prohibited** when running in user mode
  - Changing the page table pointer, disabling interrupts, interacting directly with hardware, writing to kernel memory
- Carefully controlled transitions between user mode and kernel mode
  - System calls, interrupts, exceptions

![Diagram of dual mode operation](image-url)
For example: UNIX System Structure

User Mode

- Applications (the users)
- Standard Libs
  - shells and commands
  - compilers and interpreters
  - system libraries

Kernel Mode

- system-call interface to the kernel
  - signals handling
  - character I/O
  - file system
  - swapping
  - block I/O
  - terminal drivers
  - system
  - disk and tape drivers
  - CPU scheduling
  - page replacement
  - demand paging
  - virtual memory

Hardware

- kernel interface to the hardware
  - terminal controllers
  - terminals
  - device controllers
  - disks and tapes
  - memory controllers
  - physical memory
User/Kernel (Privileged) Mode

User Mode
- syscall
- interrupt
- exception
- exec
- rtn
- rfi
- exit

Kernel Mode
- Limited HW access
- Full HW access
Additional Layers of Protection for Modern Systems

• Additional layers of protection through virtual machines or containers
  – Run a complete operating system in a virtual machine
  – Package all the libraries associated with an app into a container for execution
• More on these ideas later in the class
Tying it together: Simple B&B: OS loads process

OS

Proc 1  Proc 2  ...  Proc n

sysmode

Base: xxxx ...
Bound: xxxx...
uPC: xxxx...
PC: ...
regs: ...

0000...

0000...

FFFF...

0000...

0000...

FFFF...

PC

regs
Simple B&B: OS gets ready to execute process

- Privileged Inst: set special registers
- RTU (Return To Usermode)
• How does kernel switch between processes?
• First question: How to return to system?
3 types of User ⇒ Kernel Mode Transfer

- **Syscall**
  - Process requests a system service, e.g., exit
  - Like a function call, but "outside" the process
  - Does not have the address of the system function to call
  - Like a Remote Procedure Call (RPC) – for later
  - Marshall the syscall id and args in registers and exec syscall

- **Interrupt**
  - External asynchronous event triggers context switch
  - e.g., Timer, I/O device
  - Independent of user process

- **Trap or Exception**
  - Internal synchronous event in process triggers context switch
  - e.g., Protection violation (segmentation fault), Divide by zero, …

- **All 3 are an UNPROGRAMMED CONTROL TRANSFER**
  - Where does it go?
How do we get the system target address of the “unprogrammed control transfer?”
Interrupt Vector

- Where else do you see this dispatch pattern?
Simple B&B: User => Kernel

• So: How to return to system?
  – Timer Interrupt
  – I/O requests
  – Other things
Simple B&B: Interrupt

- How to save registers and set up system stack?
Simple B&B: Switch User Process

- How to save registers and set up system stack?
Simple B&B: “resume”

- How to save registers and set up system stack?
Running Many Programs ???

- We have the basic mechanism to
  - switch between user processes and the kernel,
  - the kernel can switch among user processes,
  - Protect OS from user processes and processes from each other

- Questions ???
  - How do we decide which user process to run?
  - How do we represent user processes in the OS?
  - How do we pack up the process and set it aside?
  - How do we get a stack and heap for the kernel?
  - Aren’t we wasting are lot of memory?
  - …
Process Control Block

• Kernel represents each process as a process control block (PCB)
  – Status (running, ready, blocked, …)
  – Register state (when not ready)
  – Process ID (PID), User, Executable, Priority, …
  – Execution time, …
  – Memory space, translation, …
• Kernel Scheduler maintains a data structure containing the PCBs
• Scheduling algorithm selects the next one to run
Scheduler

if ( readyProcesses(PCBs) ) {
    nextPCB = selectProcess(PCBs);
    run( nextPCB );
} else {
    run_idle_process();
}
Conclusion: Four Fundamental OS Concepts

- **Thread: Execution Context**
  - Fully describes program state
  - Program Counter, Registers, Execution Flags, Stack

- **Address space (with or w/o translation)**
  - Set of memory addresses accessible to program (for read or write)
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