

CS162
Operating Systems and
Systems Programming
Lecture 3

Processes (con't),
System Calls, Fork,

January 25th, 2022

Prof. Anthony Joseph and John Kubiatowicz
<http://cs162.eecs.Berkeley.edu>

Recall: Four Fundamental OS Concepts

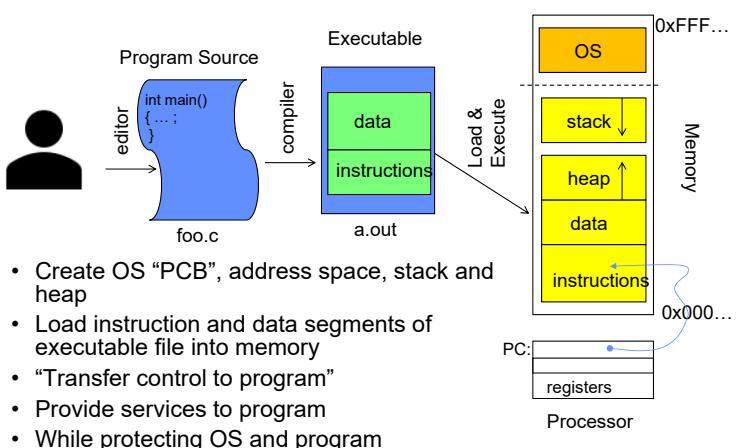
- **Thread: Execution Context**
 - Fully describes program state
 - Program Counter, Registers, Execution Flags, Stack
- **Address space (with or w/o translation)**
 - Set of memory addresses accessible to program (for read or write)
 - May be distinct from memory space of the physical machine (in which 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

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Recall: OS Bottom Line: Run Programs



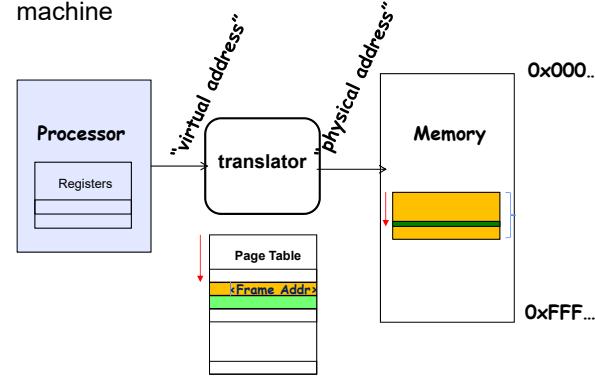
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Recall: Protected Address Space

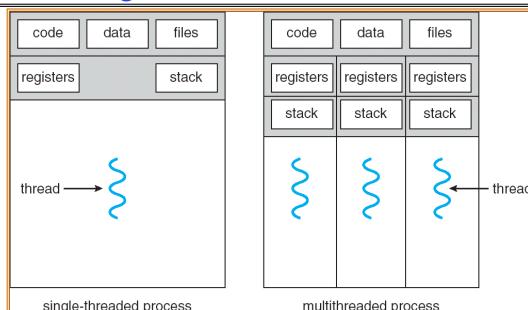
- Program operates in an address space that is distinct from the physical memory space of the machine



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Recall: Single and Multithreaded Processes



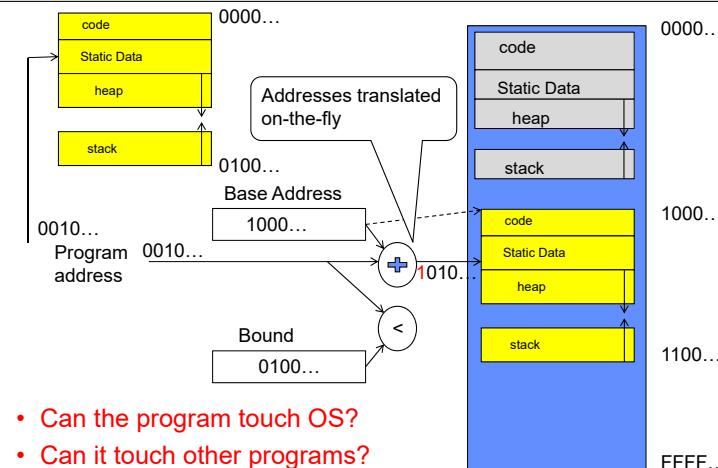
- Threads encapsulate concurrency: “Active” component
- Address spaces encapsulate protection: “Passive” part
 - Keeps buggy program from trashing the system
- Why have multiple threads per address space?

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Recall: Simple address translation with Base and Bound



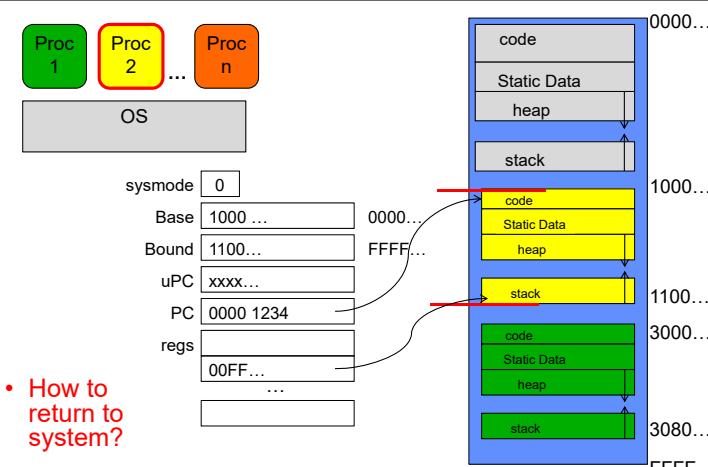
- Can the program touch OS?
- Can it touch other programs?

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Simple B&B: User => Kernel



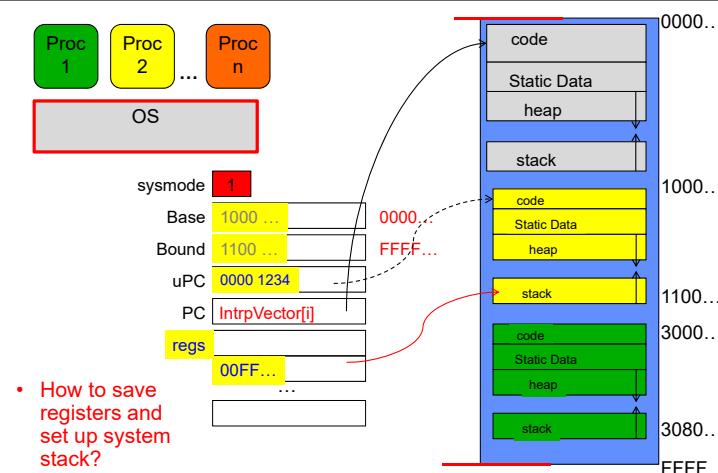
- How to return to system?

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Simple B&B: Interrupt



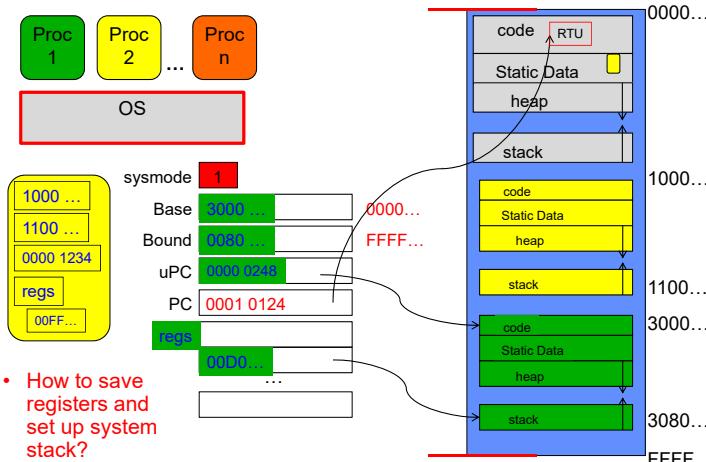
- How to save registers and set up system stack?

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Simple B&B: Switch User Process

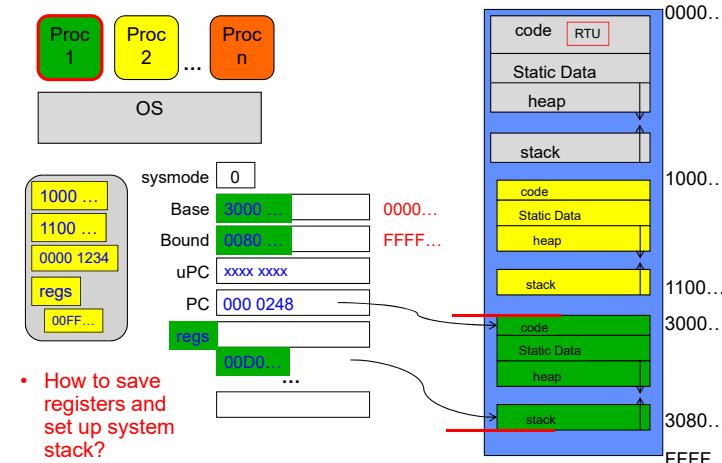


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Simple B&B: “resume”



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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 represent user processes in the OS?
 - How do we decide which user process to run?
 - 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 a lot of memory?

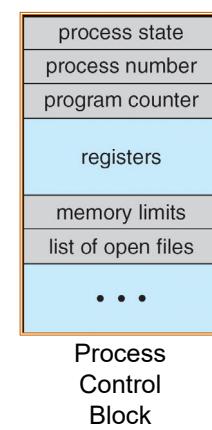
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Multiplexing Processes: The Process Control Block

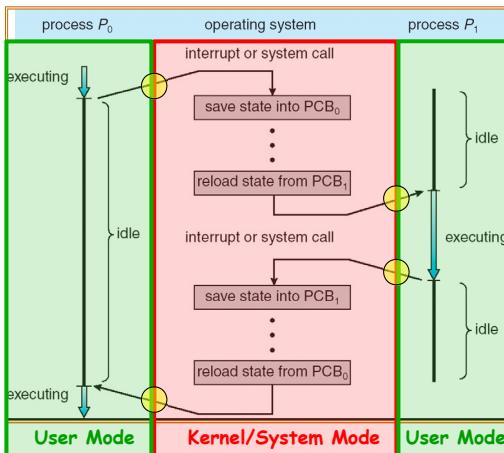
- Kernel represents each process as a process control block (PCB)
 - Status (running, ready, blocked, ...)
 - Register state (when not ready)
 - Process ID (PID), User, Executable, Priority, ...
 - Execution time, ...
 - Memory space, translation, ...
- Kernel *Scheduler* maintains a data structure containing the PCBs
 - Give out CPU to different processes
 - This is a Policy Decision
- Give out non-CPU resources
 - Memory/IO
 - Another policy decision



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CPU Switch From Process A to Process B



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Scheduler

```
if ( readyProcesses(PCBs) ) {
    nextPCB = selectProcess(PCBs);
    run( nextPCB );
} else {
    run_idle_process();
}
```

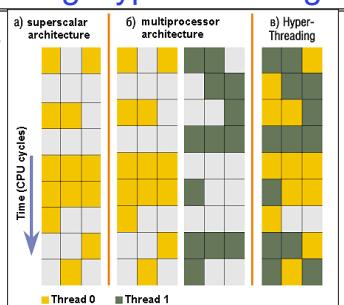
- Scheduling: Mechanism for deciding which processes/threads receive the CPU
- Lots of different scheduling policies provide ...
 - Fairness or
 - Realtime guarantees or
 - Latency optimization or ..

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Simultaneous MultiThreading/Hyperthreading

- Hardware scheduling technique
 - Superscalar processors can execute multiple instructions that are independent.
 - Hyperthreading duplicates register state to make a second "thread," allowing more instructions to run.
- Can schedule each thread as if were separate CPU
 - But, sub-linear speedup!
- Original technique called "Simultaneous Multithreading"
 - <http://www.cs.washington.edu/research/smt/index.html>
 - SPARC, Pentium 4/Xeon ("Hyperthreading"), Power 5



Colored blocks show instructions executed

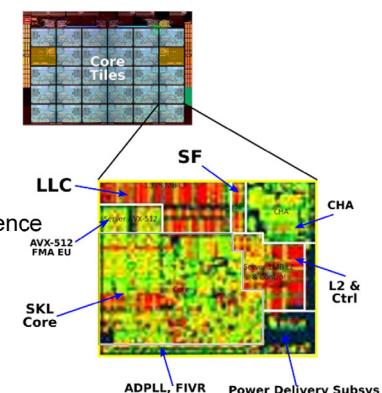
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Also recall: The World Is Parallel: Intel SkyLake (2017)

- Up to 28 Cores, 56 Threads
 - 694 mm² die size (estimated)
- Many different instructions
 - Security, Graphics
- Caches on chip:
 - L2: 28 MiB
 - Shared L3: 38.5 MiB (non-inclusive)
 - Directory-based cache coherence
- Network:
 - On-chip Mesh Interconnect
 - Fast off-chip network directly supports 8-chips connected
- DRAM/chips
 - Up to 1.5 TiB
 - DDR4 memory



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Is Base and Bound a Good-Enough Protection Mechanism?

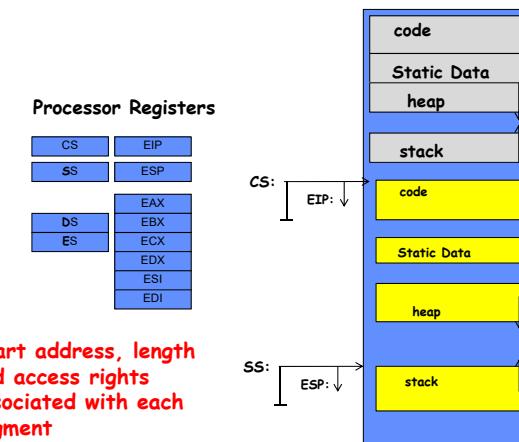
- NO: Too simplistic for real systems
- Inflexible/Wasteful:
 - Must dedicate physical memory for *potential* future use
 - (Think stack and heap!)
- Fragmentation:
 - Kernel has to somehow fit whole processes into contiguous block of memory
 - After a while, memory becomes fragmented!
- Sharing:
 - Very hard to share any data between Processes or between Process and Kernel
 - Need to communicate indirectly through the kernel...

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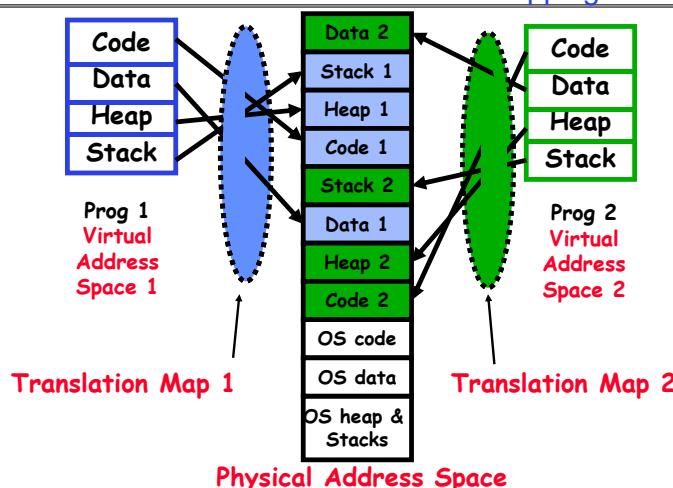
Better: x86 – segments and stacks



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Better Alternative: Address Mapping



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Administrivia: Getting started!

- Kubiatowicz Office Hours:
 - 1-2pm, Monday & Thursday
- Homework 0 **Due Tomorrow!**
 - Get familiar with the cs162 tools
 - configure your VM, submit via git
 - Practice finding out information:
 - » How to use GDB? How to understand output of unix tools?
 - » We don't assume that you already know everything!
 - » Learn to use "man" (command line), "help" (in gdb, etc), google
- Should be going to sections now – Important information there
 - Any section will do until groups assigned
- **THIS Friday is Drop Deadline! HARD TO DROP LATER!**
 - If you know you are going to drop, do so now to leave room for others on waitlist!
 - Why do we do this? So that groups aren't left without members!

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Administrivia (Con't)

- Group sign up via autograder form next week
 - Get finding groups of 4 people ASAP
 - Priority for same section; if cannot make this work, keep same TA
 - Remember: Your TA needs to see you in section!
- Midterm 1: 2/17
 - 7-9PM in person
 - We will say more about material when we get closer...
- Midterm 1 conflicts
 - We will handle these conflicts after have final class roster
 - Watch for queries by HeadTA to collect information

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Recall: 3 types of Kernel Mode Transfer

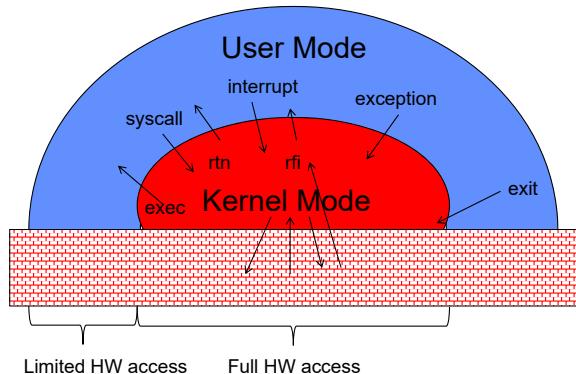
- Syscall
 - Process requests a system service, e.g., exit
 - Like a function call, but “outside” the process
 - Does not have the address of the system function to call
 - Like a Remote Procedure Call (RPC) – for later
 - Marshall the syscall id and args in registers and exec syscall
- Interrupt
 - External asynchronous event triggers context switch
 - eg. 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,
 - ...

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Recall: User/Kernel (Privileged) Mode



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Implementing Safe Kernel Mode Transfers

- Important aspects:
 - Controlled transfer into kernel (e.g., syscall table)
 - **Separate kernel stack!**
- Carefully constructed kernel code packs up the user process state and sets it aside
 - Details depend on the machine architecture
 - More on this next time
- Should be impossible for buggy or malicious user program to cause the kernel to corrupt itself!

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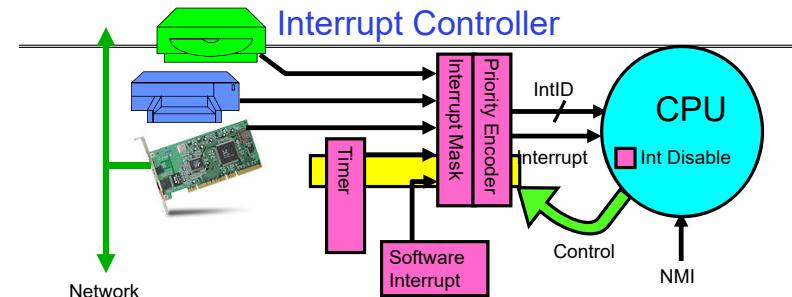
Hardware support: Interrupt Control

- Interrupt processing not visible to the user process:
 - Occurs between instructions, restarted transparently
 - No change to process state
 - What can be observed even with perfect interrupt processing?
- Interrupt Handler invoked with interrupts ‘disabled’
 - Re-enabled upon completion
 - Non-blocking (run to completion, no waits)
 - Pack up in a queue and pass off to an OS thread for hard work
 - » wake up an existing OS thread

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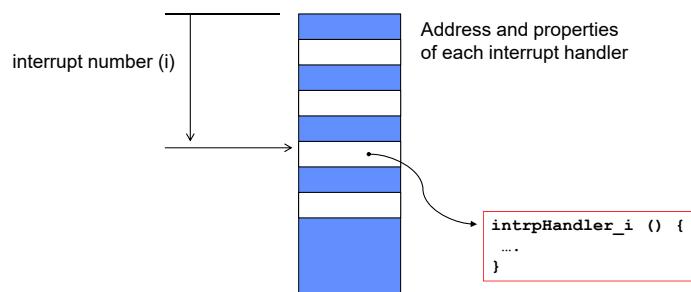


- Interrupts invoked with interrupt lines from devices
- Interrupt controller chooses interrupt request to honor
 - Interrupt identity specified with ID line
 - Mask enables/disables interrupts
 - Priority encoder picks highest enabled interrupt
 - Software Interrupt Set/Cleared by Software
- CPU can disable all interrupts with internal flag
- Non-Maskable Interrupt line (NMI) can't be disabled

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Interrupt Vector



- Where else do you see this dispatch pattern?
 - System Call
 - Exceptions

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How do we take interrupts safely?

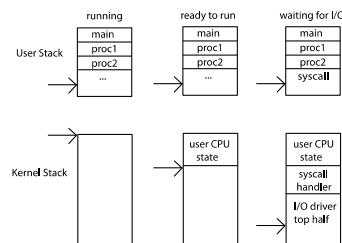
- **Interrupt vector**
 - Limited number of entry points into kernel
- **Kernel interrupt stack**
 - Handler works regardless of state of user code
- **Interrupt masking**
 - Handler is non-blocking
- **Atomic transfer of control**
 - “Single instruction”-like to change:
 - » Program counter
 - » Stack pointer
 - » Memory protection
 - » Kernel/user mode
- **Transparent restartable execution**
 - User program does not know interrupt occurred

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Need for Separate Kernel Stacks

- Kernel needs space to work
- Cannot put anything on the user stack (Why?)
- Two-stack model
 - OS thread has interrupt stack (located in kernel memory) plus User stack (located in user memory)
 - Syscall handler copies user args to kernel space before invoking specific function (e.g., open)
 - Interrupts (???)

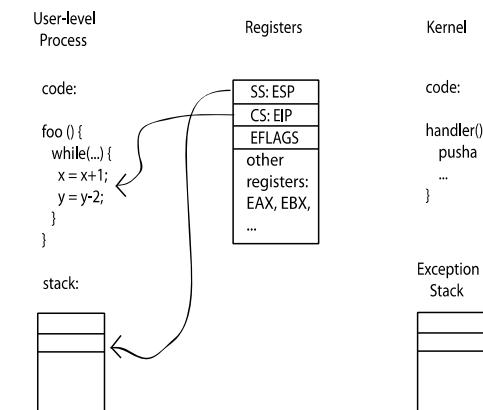


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Before

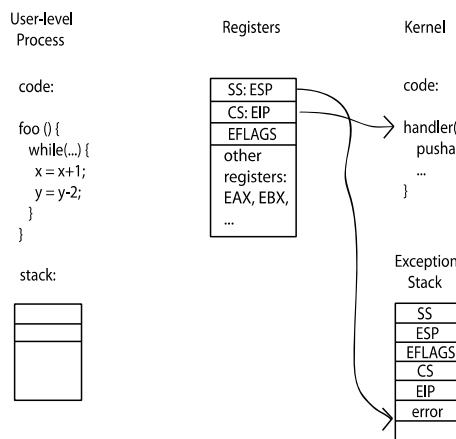


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During Interrupt/System Call

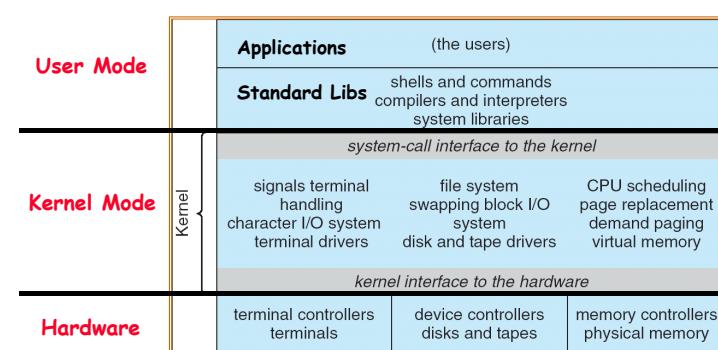


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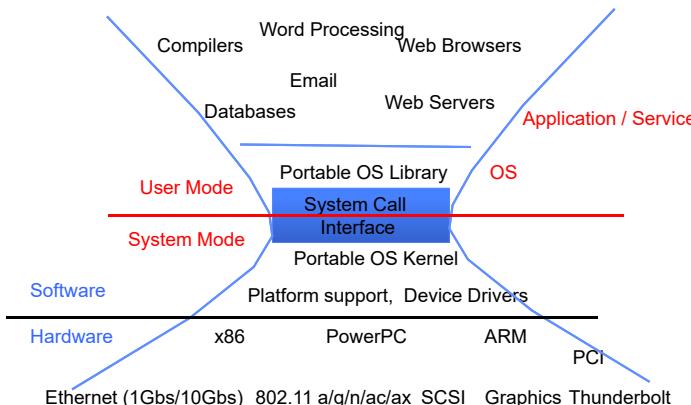
Recall: UNIX System Structure



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A Narrow Waist



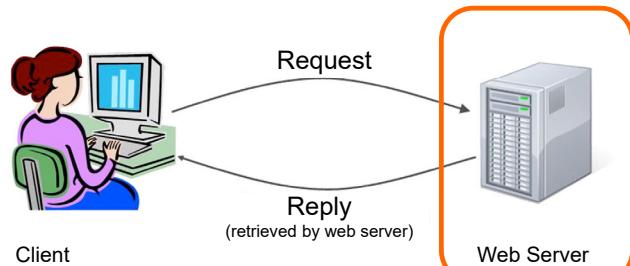
Kernel System Call Handler

- Vector through well-defined **syscall entry points!**
 - Table mapping system call number to handler
- Locate arguments
 - In registers or on user (!) stack
- Copy arguments
 - From user memory into kernel memory
 - Protect kernel from malicious code evading checks
- Validate arguments
 - Protect kernel from errors in user code
- Copy results back
 - Into user memory

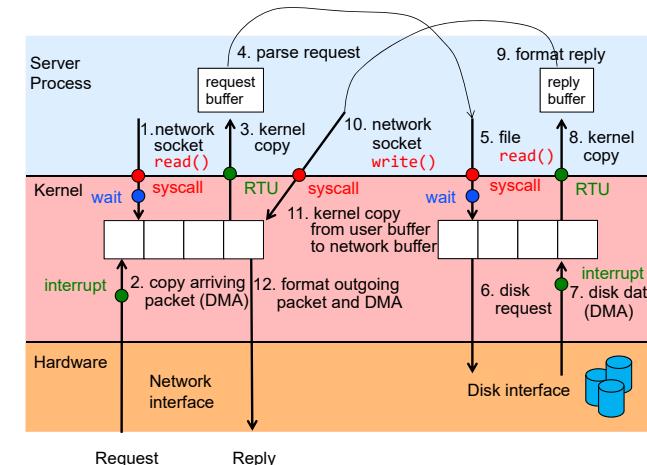
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Putting it together: web server

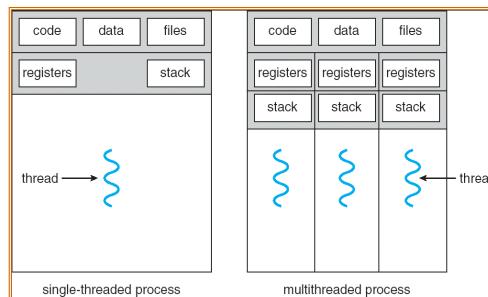


Putting it together: web server



Recall: Processes

- How to manage process state?
 - How to create a process?
 - How to exit from a process?
- Remember: Everything outside of the kernel is running in a process!
 - Including the shell! (Homework 2)
- Processes are created and managed... by processes!



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Process Management API

- **exit** – terminate a process
- **fork** – copy the current process
- **exec** – change the *program* being run by the current process
- **wait** – wait for a process to finish
- **kill** – send a *signal* (interrupt-like notification) to another process
- **sigaction** – set handlers for signals

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Bootstrapping

- If processes are created by other processes, how does the first process start?
- First process is started by the kernel
 - Often configured as an argument to the kernel *before* the kernel boots
 - Often called the “init” process
- After this, all processes on the system are created by other processes

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Lec 3.38

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pid.c

```
#include <stdlib.h>
#include <stdio.h>
#include <string.h>
#include <unistd.h>
#include <sys/types.h>
int main(int argc, char *argv[])
{
    /* get current processes PID */
    pid_t pid = getpid();
    printf("My pid: %d\n", pid);

    exit(0);
}
```

Q: What if we let main return without ever calling exit?

- The OS Library calls exit() for us!
- The entrypoint of the executable is in the OS library
- OS library calls main
- If main returns, OS library calls exit
- You'll see this in Project 0: init.c

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Process Management API

- exit – terminate a process
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- wait – wait for a process to finish
- kill – send a *signal* (interrupt-like notification) to another process
- sigaction – set handlers for signals

Creating Processes

- pid_t fork() – copy the current process
 - New process has different pid
 - New process contains a single thread
- Return value from fork(): pid (like an integer)
 - When > 0:
 - » Running in (original) **Parent** process
 - » return value is **pid** of new child
 - When = 0:
 - » Running in new **Child** process
 - When < 0:
 - » Error! Must handle somehow
 - » Running in original process
- State of original process duplicated in *both* Parent and Child!
 - Address Space (Memory), File Descriptors (covered later), etc...

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Lec 3.42

fork1.c

```
#include <stdlib.h>
#include <stdio.h>
#include <unistd.h>
#include <sys/types.h>

int main(int argc, char *argv[]) {
    pid_t cpid, mypid;
    pid_t pid = getpid(); /* get current processes PID */
    printf("Parent pid: %d\n", pid);
    cpid = fork();
    if (cpid > 0) { /* Parent Process */
        mypid = getpid();
        printf("[%d] parent of [%d]\n", mypid, cpid);
    } else if (cpid == 0) { /* Child Process */
        mypid = getpid();
        printf("[%d] child\n", mypid);
    } else {
        perror("Fork failed");
    }
}
```

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fork1.c

```
#include <stdlib.h>
#include <stdio.h>
#include <unistd.h>
#include <sys/types.h>

int main(int argc, char *argv[]) {
    pid_t cpid, mypid;
    pid_t pid = getpid(); /* get current processes PID */
    printf("Parent pid: %d\n", pid);
    cpid = fork();
    if (cpid > 0) { /* Parent Process */
        mypid = getpid();
        printf("[%d] parent of [%d]\n", mypid, cpid);
    } else if (cpid == 0) { /* Child Process */
        mypid = getpid();
        printf("[%d] child\n", mypid);
    } else {
        perror("Fork failed");
    }
}
```

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```
#include <stdlib.h>
#include <stdio.h>
#include <unistd.h>
#include <sys/types.h>

int main(int argc, char *argv[]) {
    pid_t cpid, mypid;
    pid_t pid = getpid(); /* get current processes PID */
    printf("Parent pid: %d\n", pid);
    cpid = fork();
    if (cpid > 0) { /* Parent Process */
        mypid = getpid();
        printf("[%d] parent of [%d]\n", mypid, cpid);
    } else if (cpid == 0) { /* Child Process */
        mypid = getpid();
        printf("[%d] child\n", mypid);
    } else {
        perror("Fork failed");
    }
}
```

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fork_race.c

```
int i;
pid_t cpid = fork();
if (cpid > 0) {
    for (i = 0; i < 10; i++) {
        printf("Parent: %d\n", i);
        // sleep(1);
    }
} else if (cpid == 0) {
    for (i = 0; i > -10; i--) {
        printf("Child: %d\n", i);
        // sleep(1);
    }
}
```

- What does this print?
- Would adding the calls to `sleep()` matter?

Recall: a process consists of one or more threads executing in an address space

- Here, each process has a single thread
- These threads execute concurrently

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Running Another Program

- With threads, we could call `pthread_create` to create a new thread executing a separate function
- With processes, the equivalent would be spawning a new process executing a different program
- How can we do this?

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Process Management API

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fork3.c

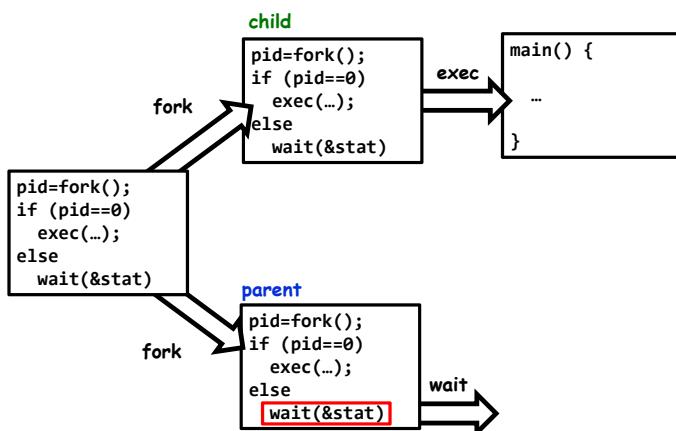
```
...  
cpid = fork();  
if (cpid > 0) { /* Parent Process */  
    tcpid = wait(&status);  
} else if (cpid == 0) { /* Child Process */  
    char *args[] = {"ls", "-l", NULL};  
    execv("/bin/ls", args);  
  
    /* execv doesn't return when it works.  
     * So, if we got here, it failed! */  
  
    perror("execv");  
    exit(1);  
}  
...
```

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Process Management



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fork2.c – parent waits for child to finish

```
int status;
pid_t tcpid;
...
cpid = fork();
if (cpid > 0) {           /* Parent Process */
    mypid = getpid();
    printf("[%d] parent of [%d]\n", mypid, cpid);
    tcpid = wait(&status);
    printf("[%d] bye %d(%d)\n", mypid, tcpid, status);
} else if (cpid == 0) {      /* Child Process */
    mypid = getpid();
    printf("[%d] child\n", mypid);
    exit(42);
}
...
```

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Process Management API

- **exit** – terminate a process
- **fork** – copy the current process
- **exec** – change the *program* being run by the current process
- **wait** – wait for a process to finish
- **kill** – send a *signal* (interrupt-like notification) to another process
- **sigaction** – set handlers for signals

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inf_loop.c

```
#include <stdlib.h>
#include <stdio.h>
#include <sys/types.h>
#include <unistd.h>
#include <signal.h>

void signal_callback_handler(int signum) {
    printf("Caught signal!\n");
    exit(1);
}

int main() {
    struct sigaction sa;
    sa.sa_flags = 0;
    sigemptyset(&sa.sa_mask);
    sa.sa_handler = signal_callback_handler;
    sigaction(SIGINT, &sa, NULL);
    while (1) {}
}
```

Q: What would happen if the process receives a SIGINT signal, but does not register a signal handler?

A: The process dies!

For each signal, there is a default handler defined by the system

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Common POSIX Signals

- SIGINT – control-C
- SIGTERM – default for kill shell command
- SIGSTP – control-Z (default action: stop process)
- SIGKILL, SIGSTOP – terminate/stop process
 - Can't be changed with sigaction
 - Why?

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Shell

- A shell is a job control system
 - Allows programmer to create and manage a set of programs to do some task
- You will build your own shell in Homework 2...
 - ... using fork and exec system calls to create new processes...
 - ... and the File I/O system calls we'll see next time to link them together

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Process vs. Thread APIs

- Why have fork() and exec() system calls for processes, but just a pthread_create() function for threads?
 - Convenient to fork without exec: put code for parent and child in one executable instead of multiple
 - It will allow us to programmatically control child process' state
 - » By executing code before calling exec() in the child
 - We'll see this in the case of File I/O next time
- Windows uses CreateProcess() instead of fork()
 - Also works, but a more complicated interface

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Threads vs. Processes

- If we have two tasks to run concurrently, do we run them in separate threads, or do we run them in separate processes?
- Depends on how much isolation we want
 - Threads are lighter weight [why?]
 - Processes are more strongly isolated

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Conclusion

- Process: execution environment with Restricted Rights
 - 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
- Interrupts
 - Hardware mechanism for regaining control from user
 - Notification that events have occurred
 - User-level equivalent: Signals
- Native control of Process
 - Fork, Exec, Wait, Signal

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