

Introduction to Operating Systems and Processes

HPPS

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Based on slides by:

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Why study operating systems?

- They are where the magic happens
- For inspiration
 - One of the most potent *engineering abstractions* in computing
 - Each program thinks it has an entire machine to itself
 - Controlled communication between programs.
 - Abstracts over hardware differences
- Practical skills
 - Performance characteristics of the abstraction
 - What is fundamentally possible?

Unix

■ What is Unix?

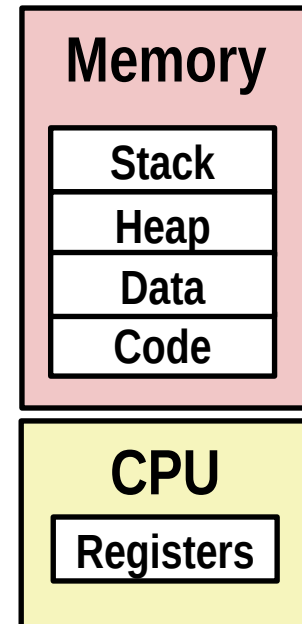
- Unix is an operating system developed in the 1970s by Ken Thompson and Dennis Ritchie
- Most modern operating systems heavily influenced by Unix (even Windows)
- Many operating systems are *direct descendants*: Linux, iOS, macOS, the *BSDs, etc

■ Why Unix?

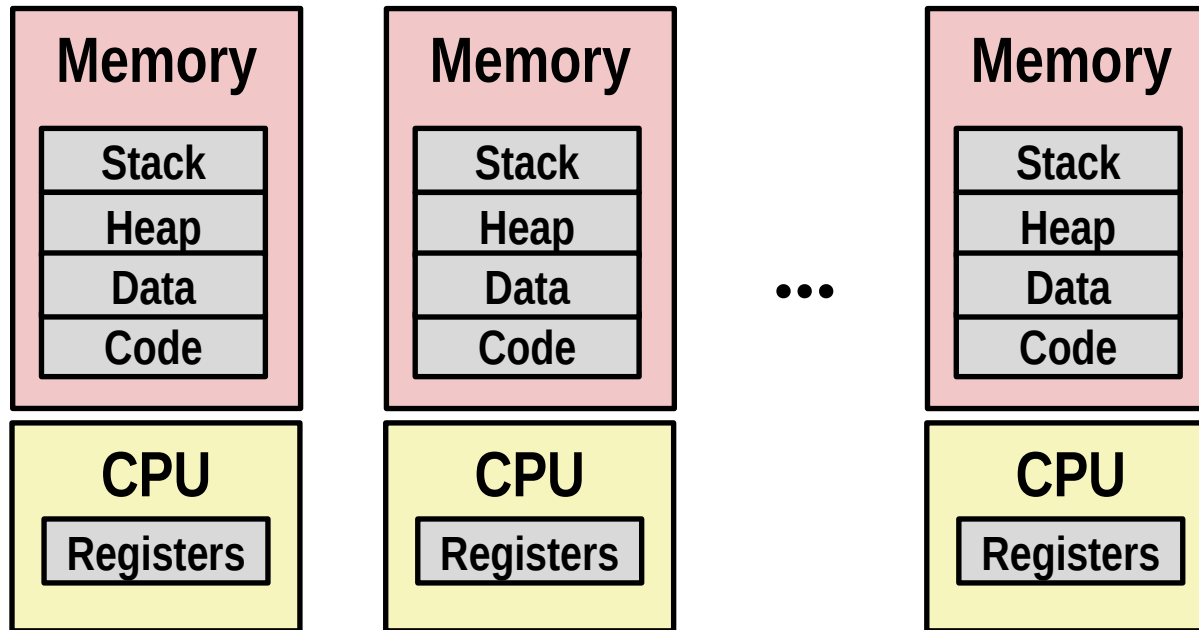
- Unix is *simple* and *representative* of modern systems
- We will use Unix designs for all examples

Processes

- **Definition:** A *process* is an instance of a running program.
 - One of the most profound ideas in computer science
 - Not the same as “program” or “processor”
- **Process provides each program with two key abstractions:**
 - *Logical control flow*
 - Each program seems to have exclusive use of the CPU
 - Provided by kernel mechanism called *context switching*
 - *Private address space*
 - Each program seems to have exclusive use of main memory.
 - Provided by kernel mechanism called *virtual memory*

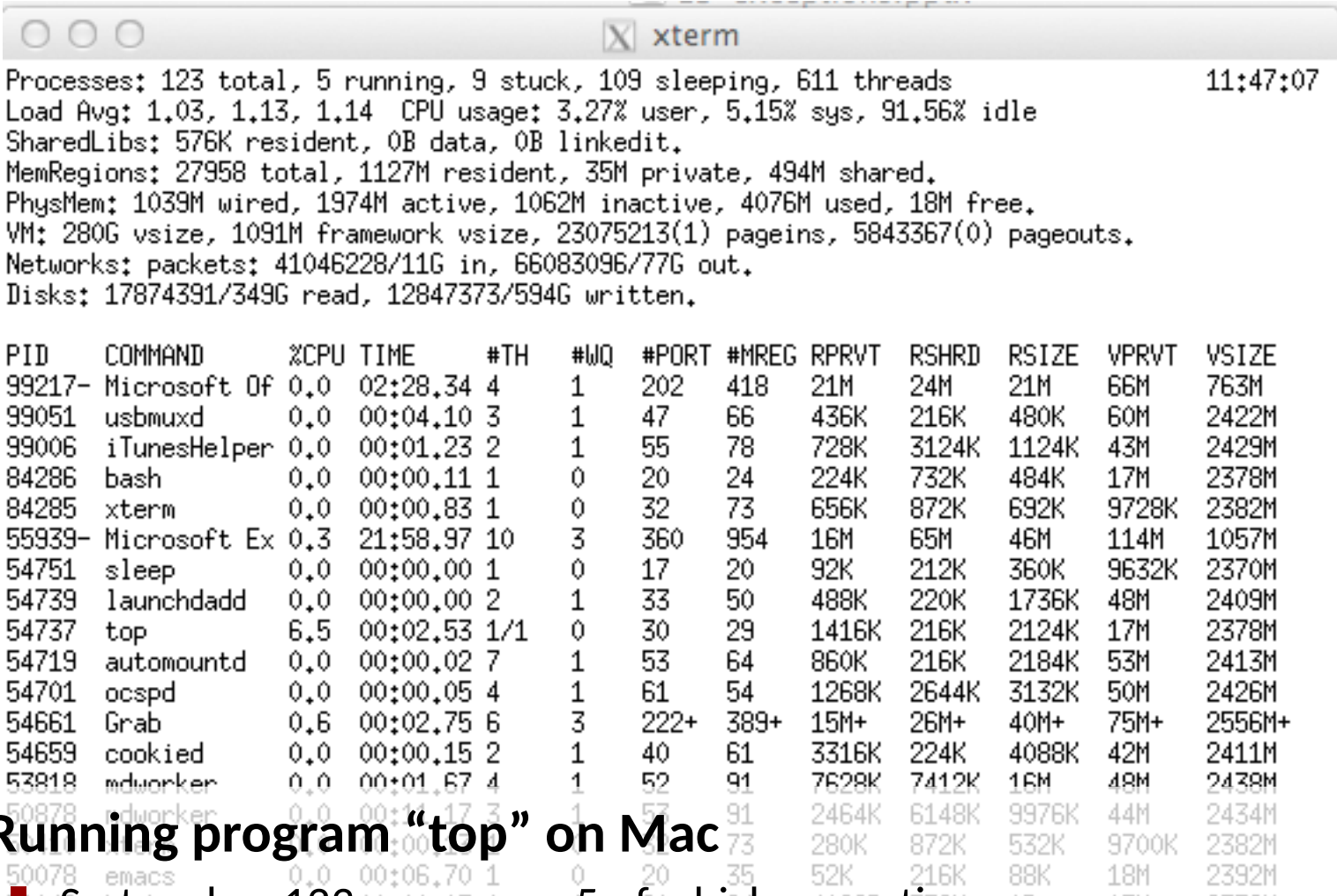


Multiprocessing: The Illusion



- **Computer runs many processes simultaneously**
 - Applications for one or more users
 - Web browsers, email clients, editors, ...
 - Background tasks
 - Monitoring network & I/O devices

Multiprocessing Example



```

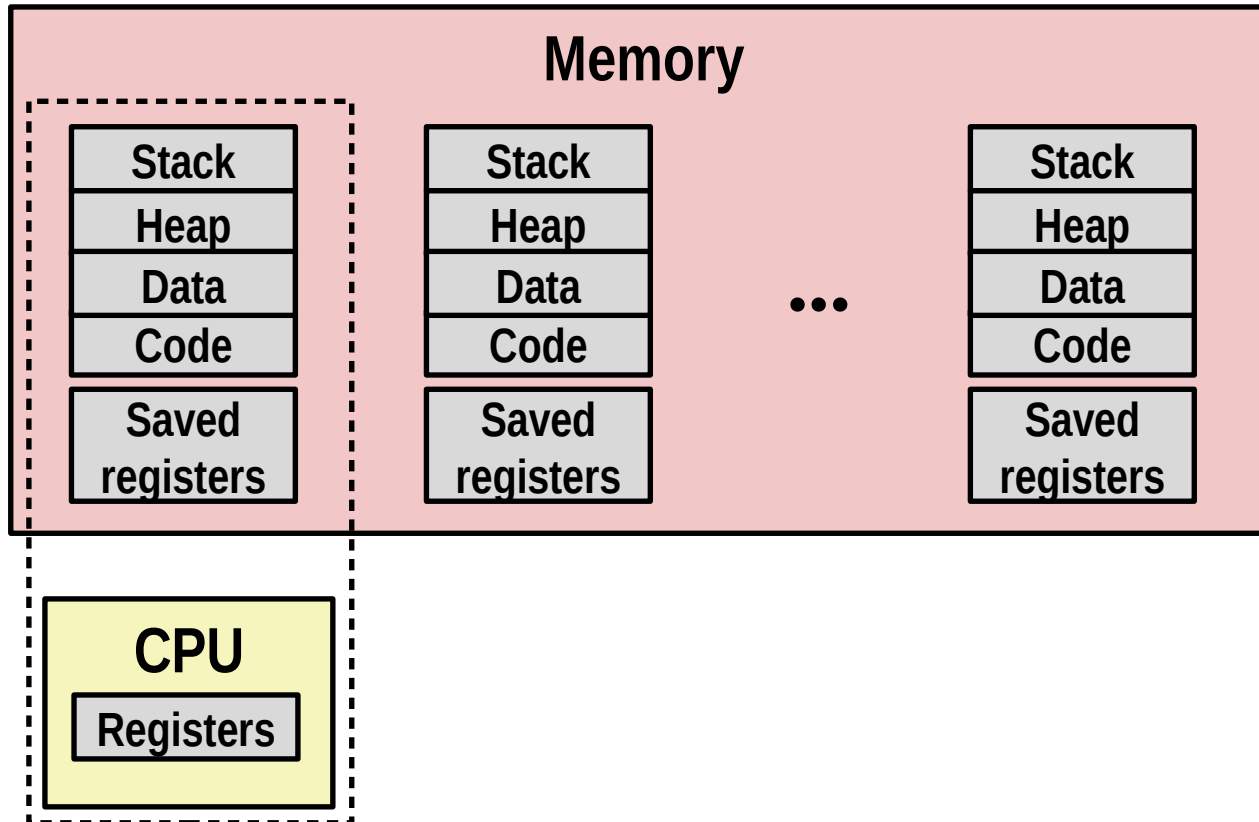
Processes: 123 total, 5 running, 9 stuck, 109 sleeping, 611 threads
Load Avg: 1.03, 1.13, 1.14  CPU usage: 3.27% user, 5.15% sys, 91.56% idle
SharedLibs: 576K resident, 0B data, 0B linkedit.
MemRegions: 27958 total, 1127M resident, 35M private, 494M shared.
PhysMem: 1039M wired, 1974M active, 1062M inactive, 4076M used, 18M free.
VM: 280G vsize, 1091M framework vsize, 23075213(1) pageins, 5843367(0) pageouts.
Networks: packets: 41046228/11G in, 66083096/77G out.
Disks: 17874391/349G read, 12847373/594G written.

PID    COMMAND      %CPU TIME    #TH   #WQ   #PORT #MREG RPRVT  RSHRD  RSIZE  VPRVT  VSIZE
99217-  Microsoft Of 0.0  02:28.34  4      1    202   418   21M   24M   21M   66M   763M
99051   usbmuxd      0.0  00:04.10  3      1     47    66   436K  216K  480K  60M   2422M
99006   iTunesHelper 0.0  00:01.23  2      1     55    78   728K  3124K 1124K  43M   2429M
84286   bash         0.0  00:00.11  1      0     20    24   224K  732K  484K  17M   2378M
84285   xterm        0.0  00:00.83  1      0     32    73   656K  872K  692K  9728K 2382M
55939-  Microsoft Ex 0.3  21:58.97 10      3    360   954   16M   65M   46M   114M  1057M
54751   sleep        0.0  00:00.00  1      0     17    20    92K   212K  360K  9632K 2370M
54739   launchdadd   0.0  00:00.00  2      1     33    50   488K  220K  1736K  48M   2409M
54737   top          6.5  00:02.53 1/1     0     30    29  1416K  216K  2124K  17M   2378M
54719   automountd   0.0  00:00.02  7      1     53    64   860K  216K  2184K  53M   2413M
54701   ocsdpd       0.0  00:00.05  4      1     61    54  1268K  2644K 3132K  50M   2426M
54661   Grab         0.6  00:02.75  6      3    222+  389+  15M+  26M+  40M+  75M+  2556M+
54659   cookied      0.0  00:00.15  2      1     40    61  3316K  224K  4088K  42M   2411M
53818   mdworker     0.0  00:01.67  4      1     52    91  7628K  7412K  16M   48M   2438M
50878   mdworker     0.0  00:01.17  3      1     53    91  2464K  6148K  9976K  44M   2434M
50078   emacs        0.0  00:06.70  1      0     20    35   52K   216K  88K   18M   2392M

```

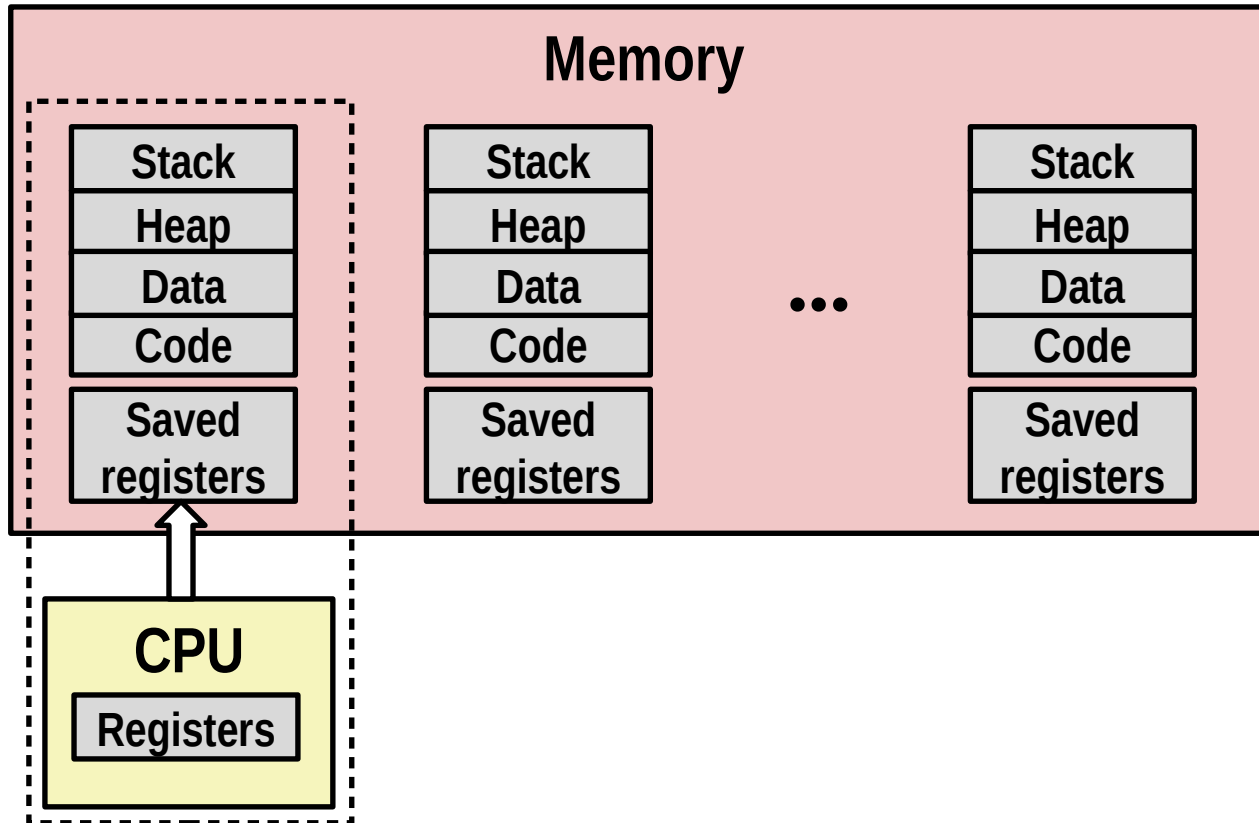
- Running program “top” on Mac
 - System has 123 processes, 5 of which are active
 - Identified by Process ID (PID)

Multiprocessing: The (Traditional) Reality



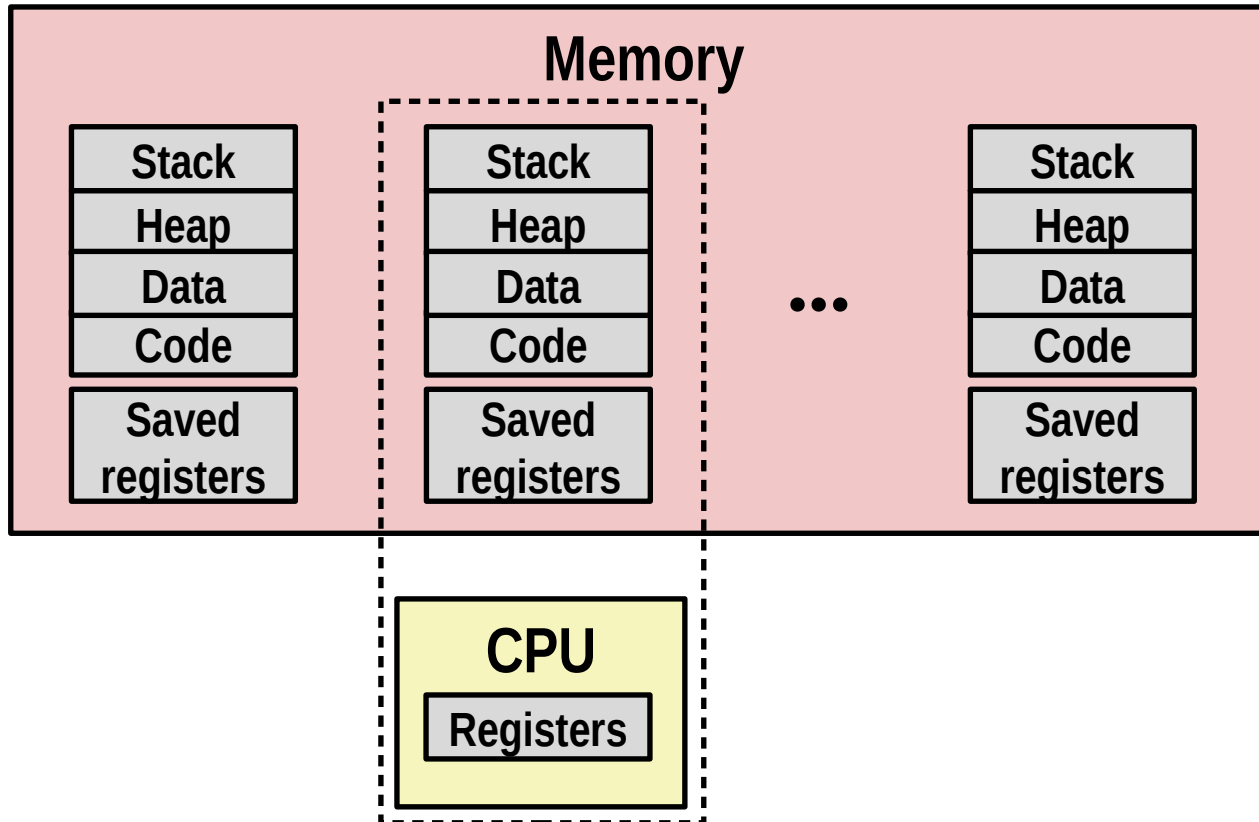
- **Single processor executes multiple processes concurrently**
 - Process executions interleaved (multitasking)
 - Address spaces managed by virtual memory system (later in course)
 - Register values for non-executing (suspended) processes saved in memory

Multiprocessing: The (Traditional) Reality



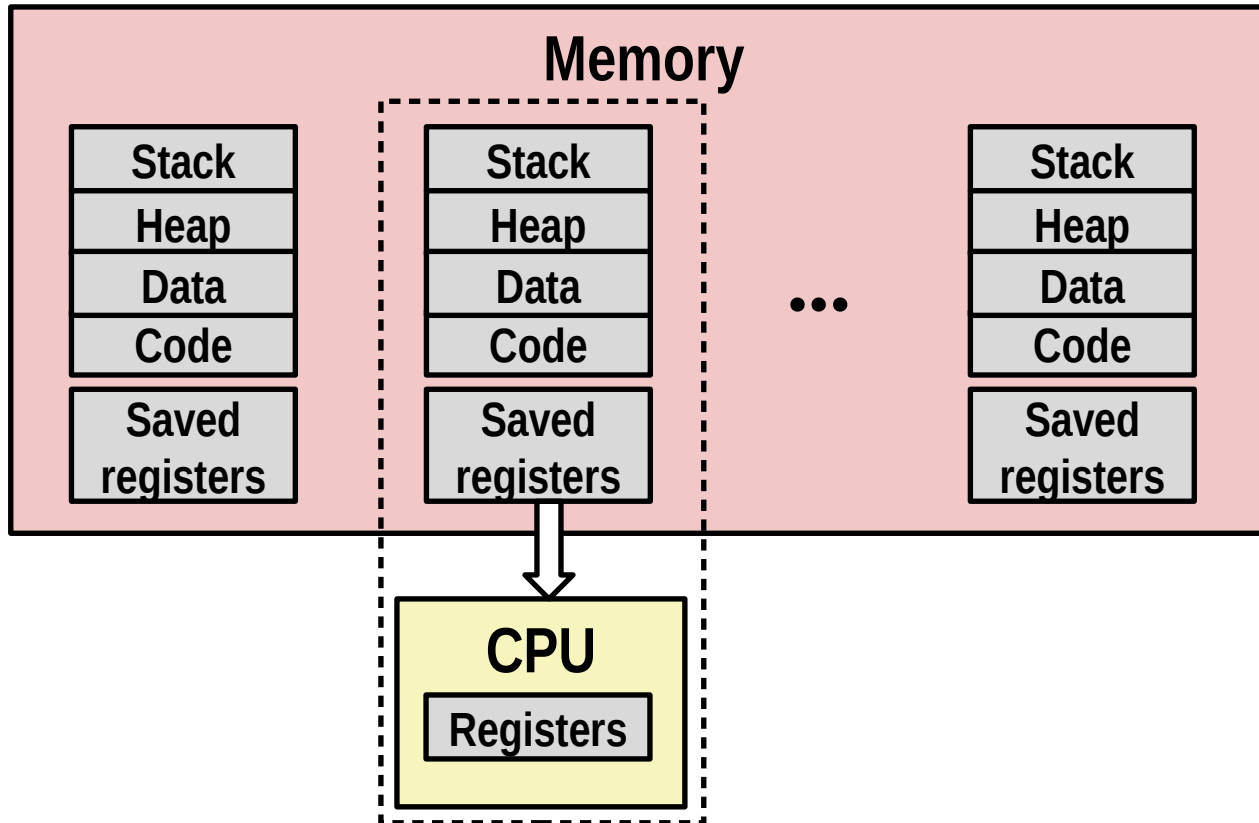
- Save current registers in memory

Multiprocessing: The (Traditional) Reality



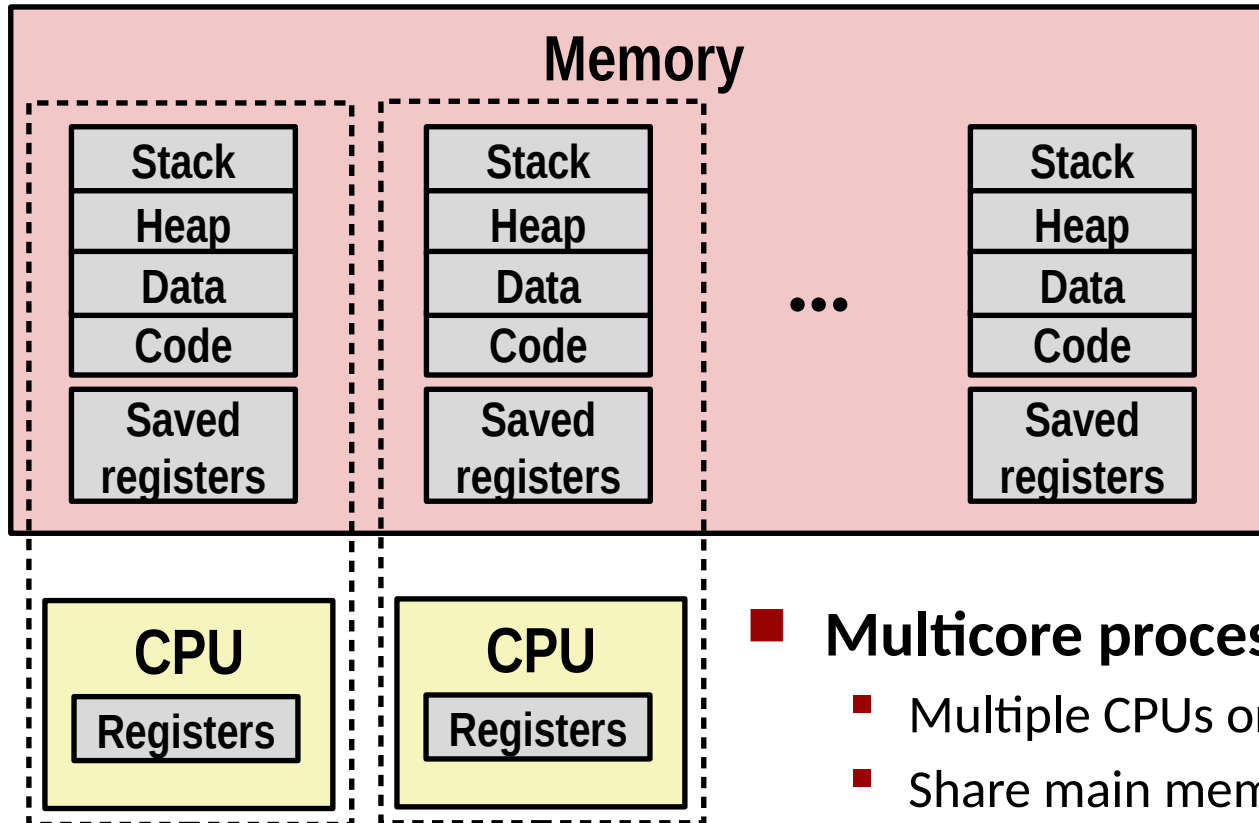
- **Schedule next process for execution**

Multiprocessing: The (Traditional) Reality



- Load saved registers and switch address space (context switch)

Multiprocessing: The (Modern) Reality

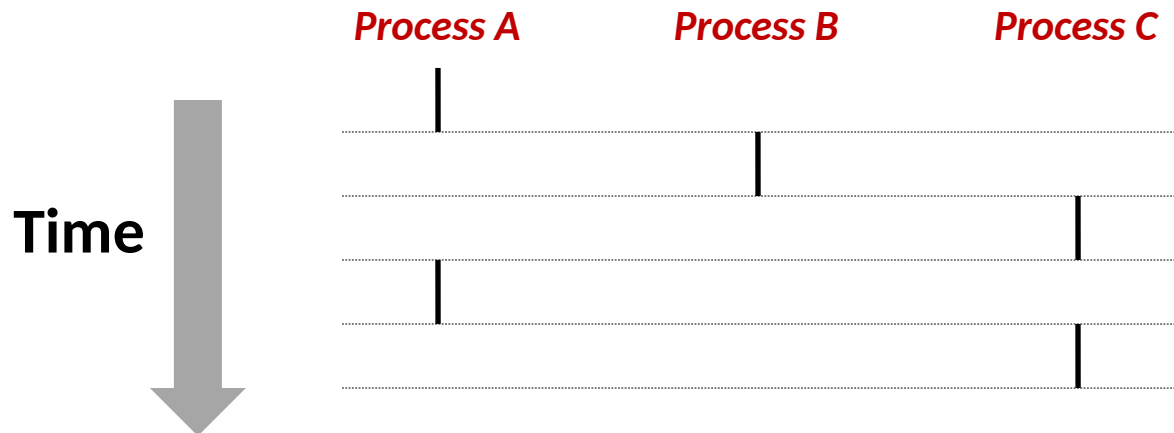


■ Multicore processors

- Multiple CPUs on single chip
- Share main memory (and some of the caches)
- Each can execute a separate process
 - Scheduling of processors onto cores done by kernel

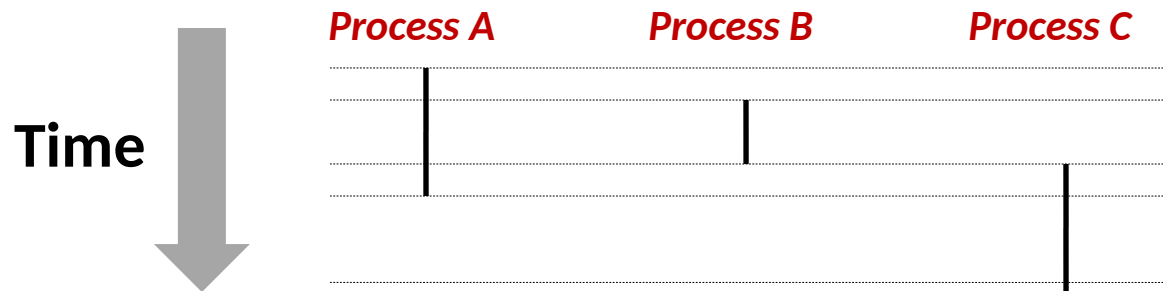
Concurrent Processes

- Each process is a logical control flow.
- Two processes *run concurrently* (are concurrent) if their flows overlap in time
- Otherwise, they are *sequential*
- Examples (running on single core):
 - Concurrent: A & B, A & C
 - Sequential: B & C



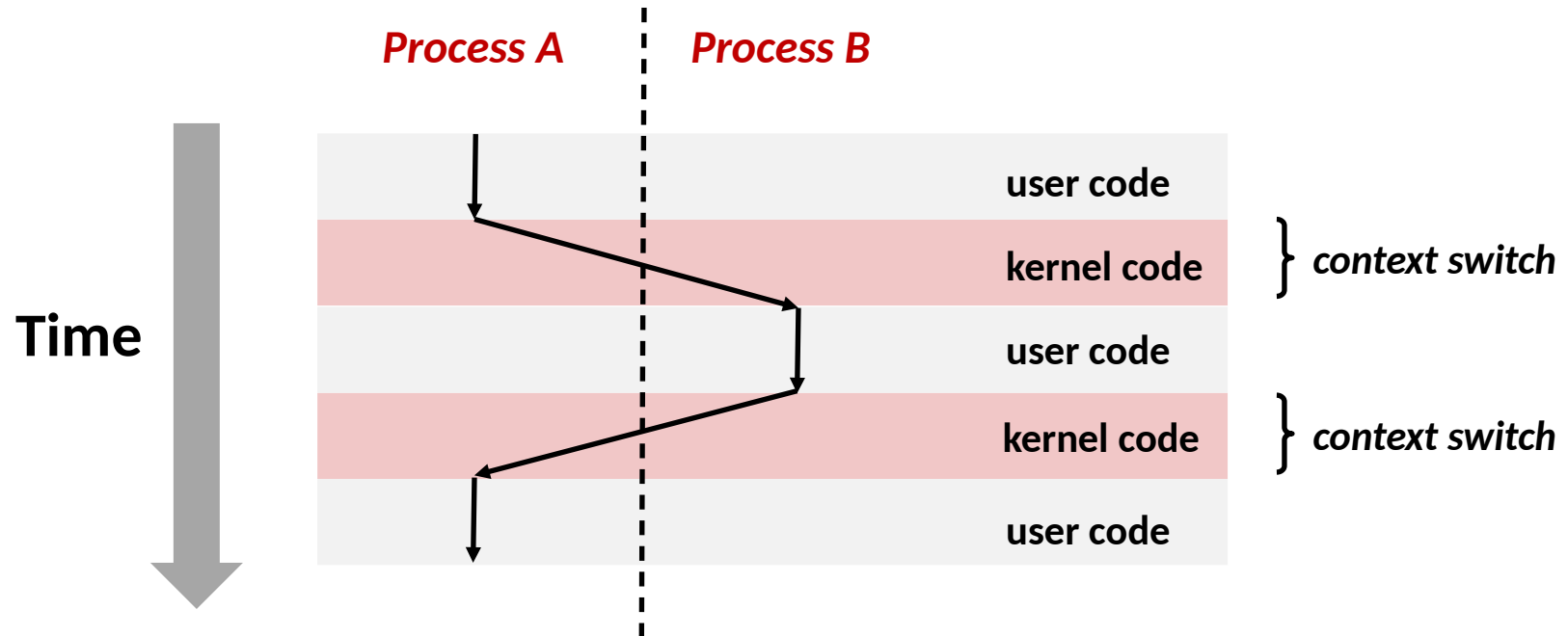
User View of Concurrent Processes

- Control flows for concurrent processes are physically disjoint in time
- However, we can think of concurrent processes as running in parallel with each other



Context Switching

- Processes are managed by a shared chunk of memory-resident OS code called the *kernel*
 - Important: the kernel is not a separate process, but rather runs as part of some existing process.
- Control flow passes from one process to another via a *context switch*



System Calls

- Systems calls ask the operating system to perform a task on behalf of the process.
- Each x86-64 system call has a unique ID number
- Examples:

<i>Number</i>	<i>Name</i>	<i>Description</i>
0	read	Read file
1	write	Write file
2	open	Open file
3	close	Close file
4	stat	Get info about file
57	fork	Create process
59	execve	Execute a program
60	_exit	Terminate process
62	kill	Send signal to process

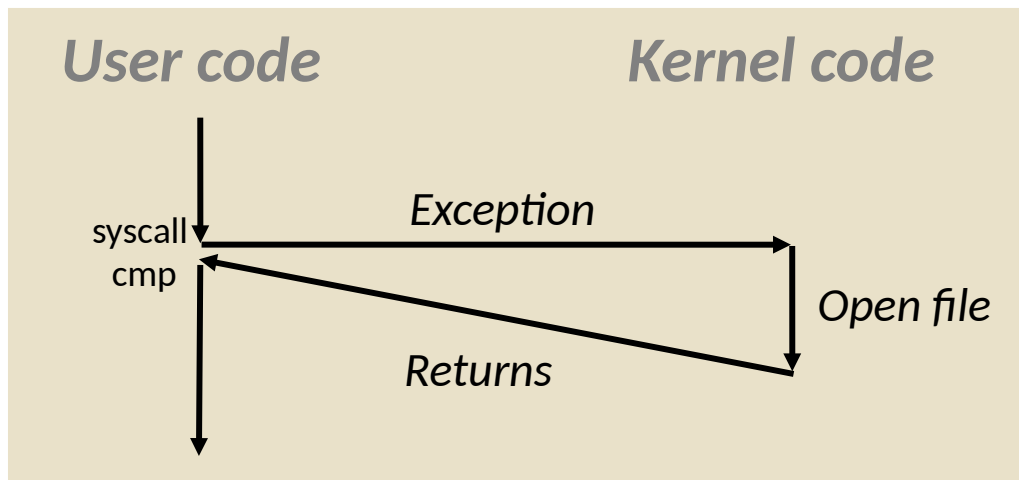
System Call Example: Opening File

- User calls: **open(filename, options)**
- Calls **__open** function, which invokes system call instruction **syscall**

```
000000000000e5d70 <__open>:
```

```
...
```

```
e5d79:  b8 02 00 00 00      mov  $0x2,%eax  # open is syscall #2
e5d7e:  0f 05               syscall         # Return value in %rax
e5d80:  48 3d 01 f0 ff ff   cmp  $0xffffffffffffffff001,%rax
...
e5dfa:  c3                 retq
```



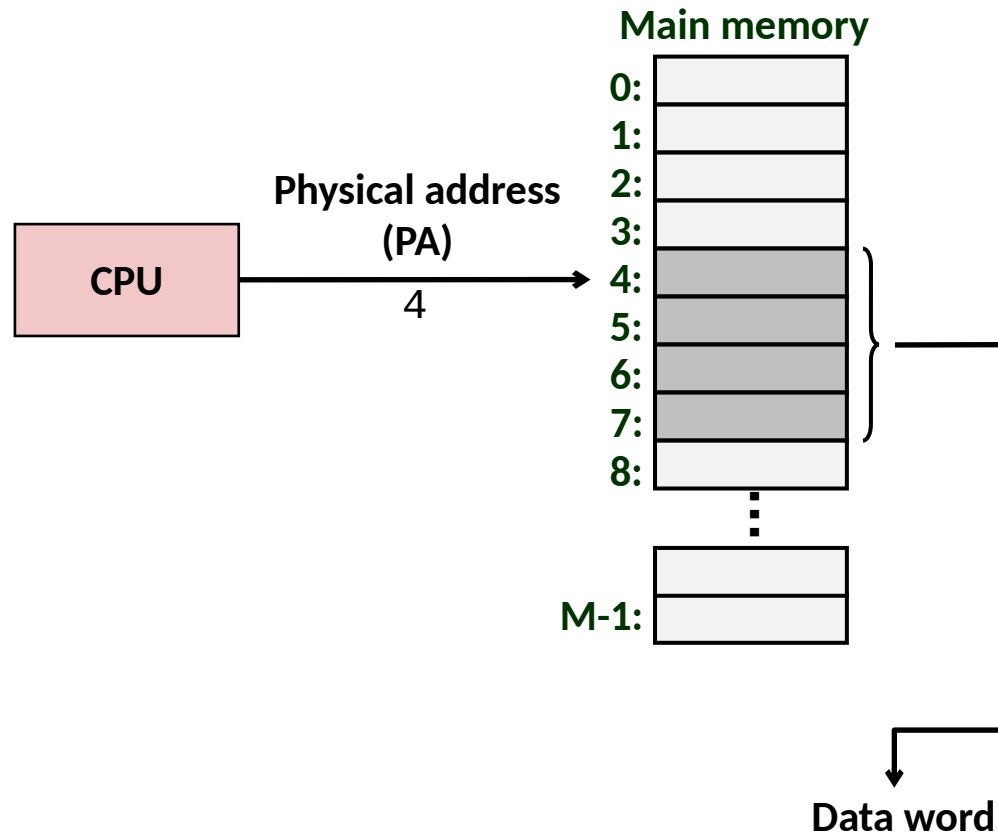
- `%rax` contains syscall number
- Other arguments in `%rdi`, `%rsi`, `%rdx`, `%r10`, `%r8`, `%r9`
- Return value in `%rax`
- Negative value is an error corresponding to negative `errno`

Summary

■ Processes

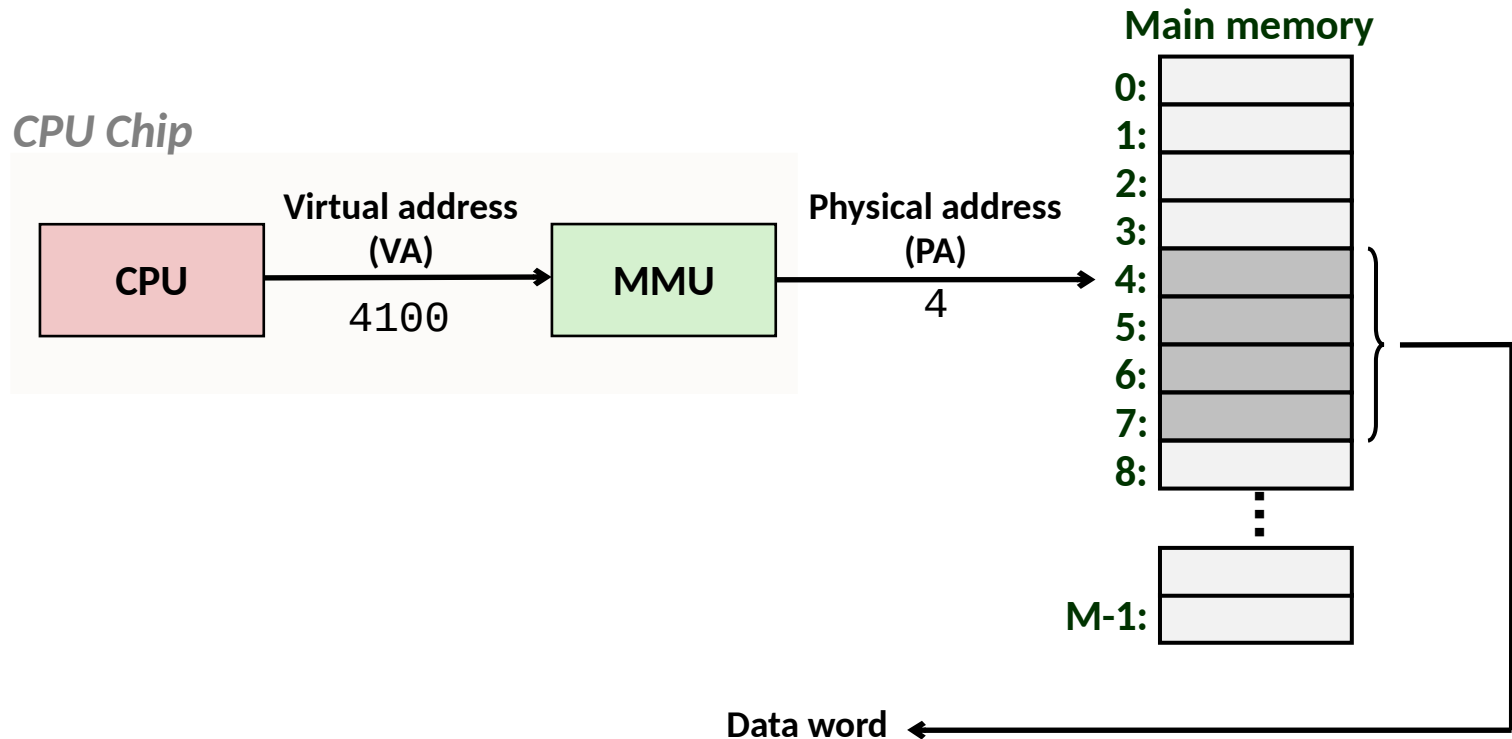
- At any given time, system has multiple active processes
- Only one can execute at a time on a single core, though
- Each process appears to have total control of processor + private memory space

A System Using Physical Addressing



- Used in “simple” systems like embedded microcontrollers in devices like cars, elevators, and digital picture frames

A System Using Virtual Addressing



- Used in all modern servers, laptops, and smart phones
- One of the great ideas in computer science

Address Spaces

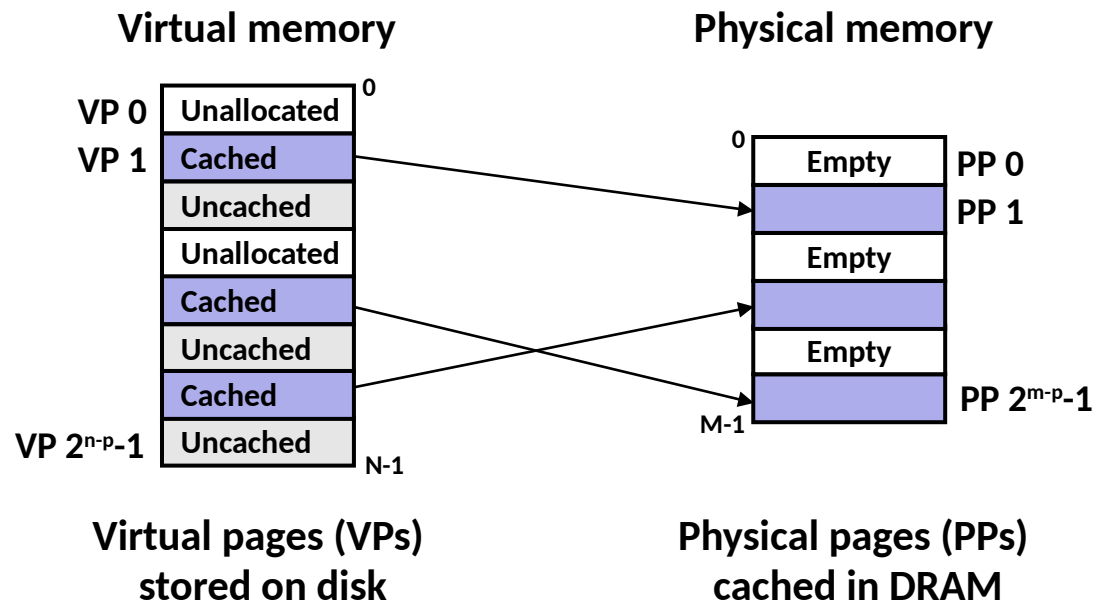
- **Linear address space:** Ordered set of contiguous non-negative integer addresses:
 $\{0, 1, 2, 3 \dots\}$
- **Virtual address space:** Set of $N = 2^n$ virtual addresses
 $\{0, 1, 2, 3, \dots, N-1\}$
- **Physical address space:** Set of $M = 2^m$ physical addresses
 $\{0, 1, 2, 3, \dots, M-1\}$

Why Virtual Memory (VM)?

- **Uses main memory efficiently**
 - Use DRAM as a cache for parts of a virtual address space
- **Simplifies memory management**
 - Each process gets the same uniform linear address space
- **Isolates address spaces**
 - One process can't interfere with another's memory
 - User program cannot access privileged kernel information and code

VM as a Tool for Caching

- Conceptually, **virtual memory** is an array of N contiguous bytes stored on disk (*from a caching perspective!*)
- The contents of the array on disk are cached in **physical memory (DRAM cache)**
 - These cache blocks are called *pages* (size is $P = 2^p$ bytes)



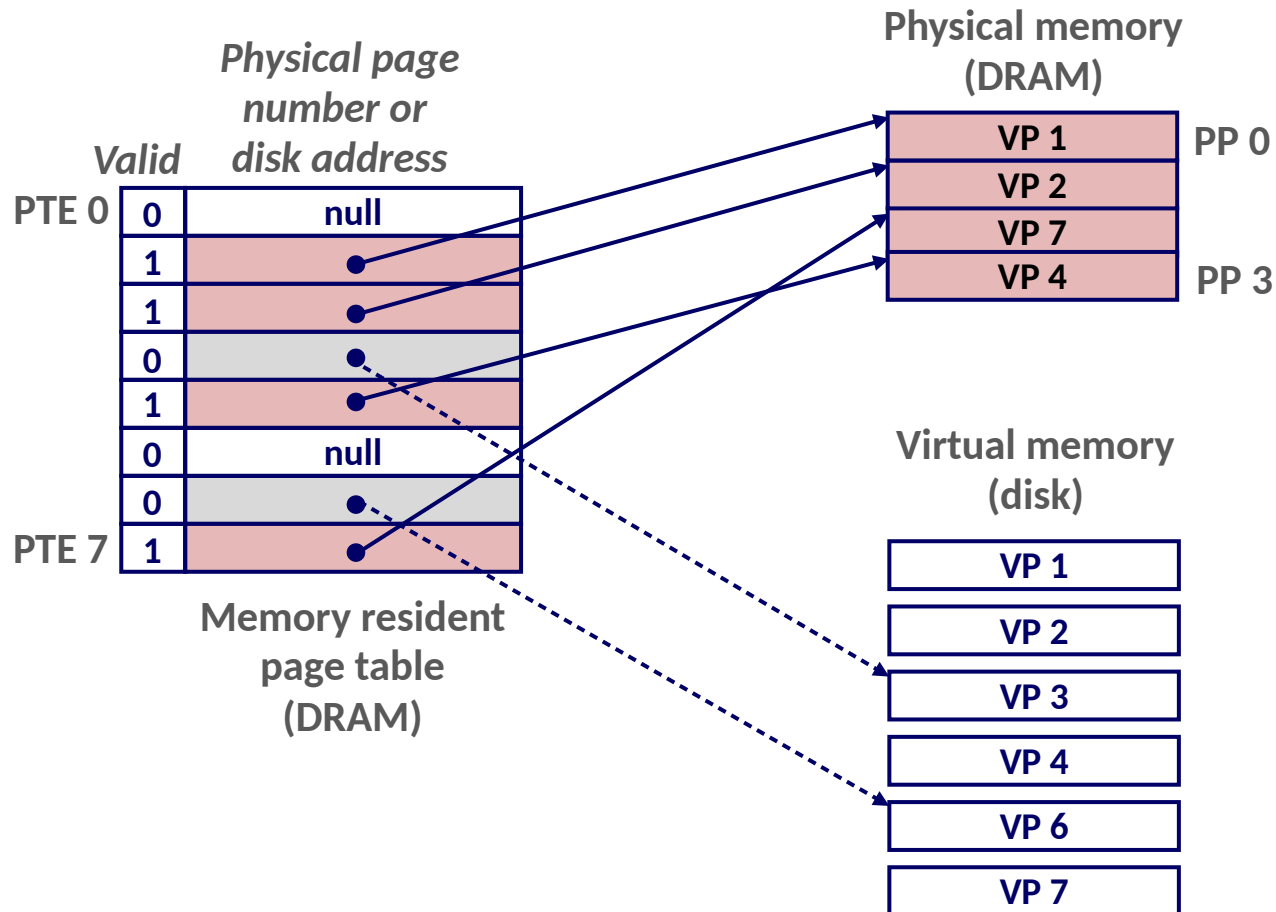
DRAM Cache Organization

- **DRAM cache organization driven by the enormous miss penalty**
 - DRAM is about **10x** slower than SRAM (CPU cache)
 - Disk is about **10,000x** slower than DRAM

- **Consequences**
 - Large page (block) size: typically 4 KB, sometimes 4 MB
 - Fully associative
 - Any VP can be placed in any PP
 - Requires a “large” mapping function – different from cache memories
 - Highly sophisticated, expensive replacement algorithms
 - Too complicated and open-ended to be implemented in hardware
 - Write-back rather than write-through

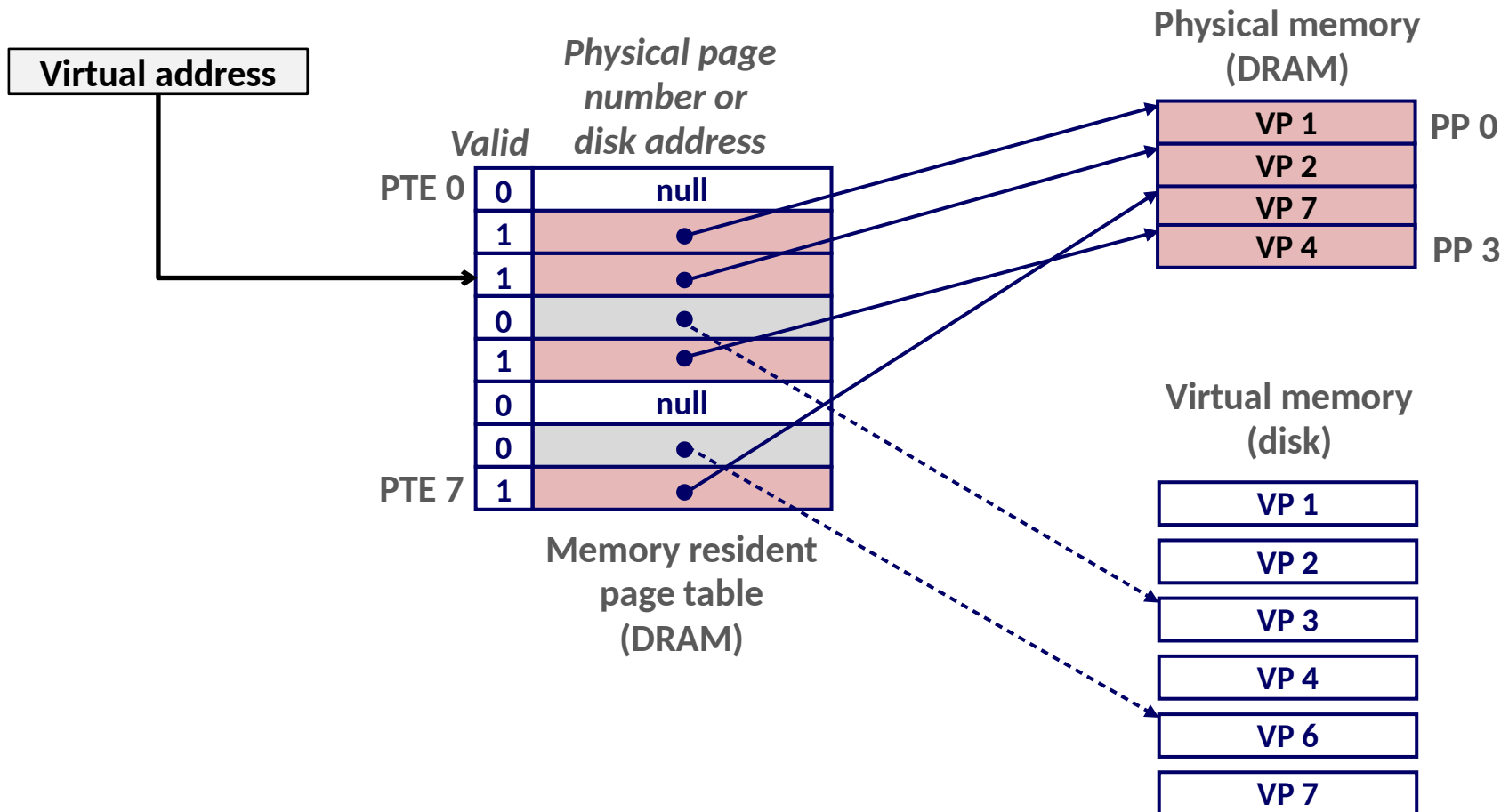
Enabling Data Structure: Page Table

- A **page table** is an array of page table entries (PTEs) that maps virtual pages to physical pages.
 - Per-process kernel data structure in DRAM



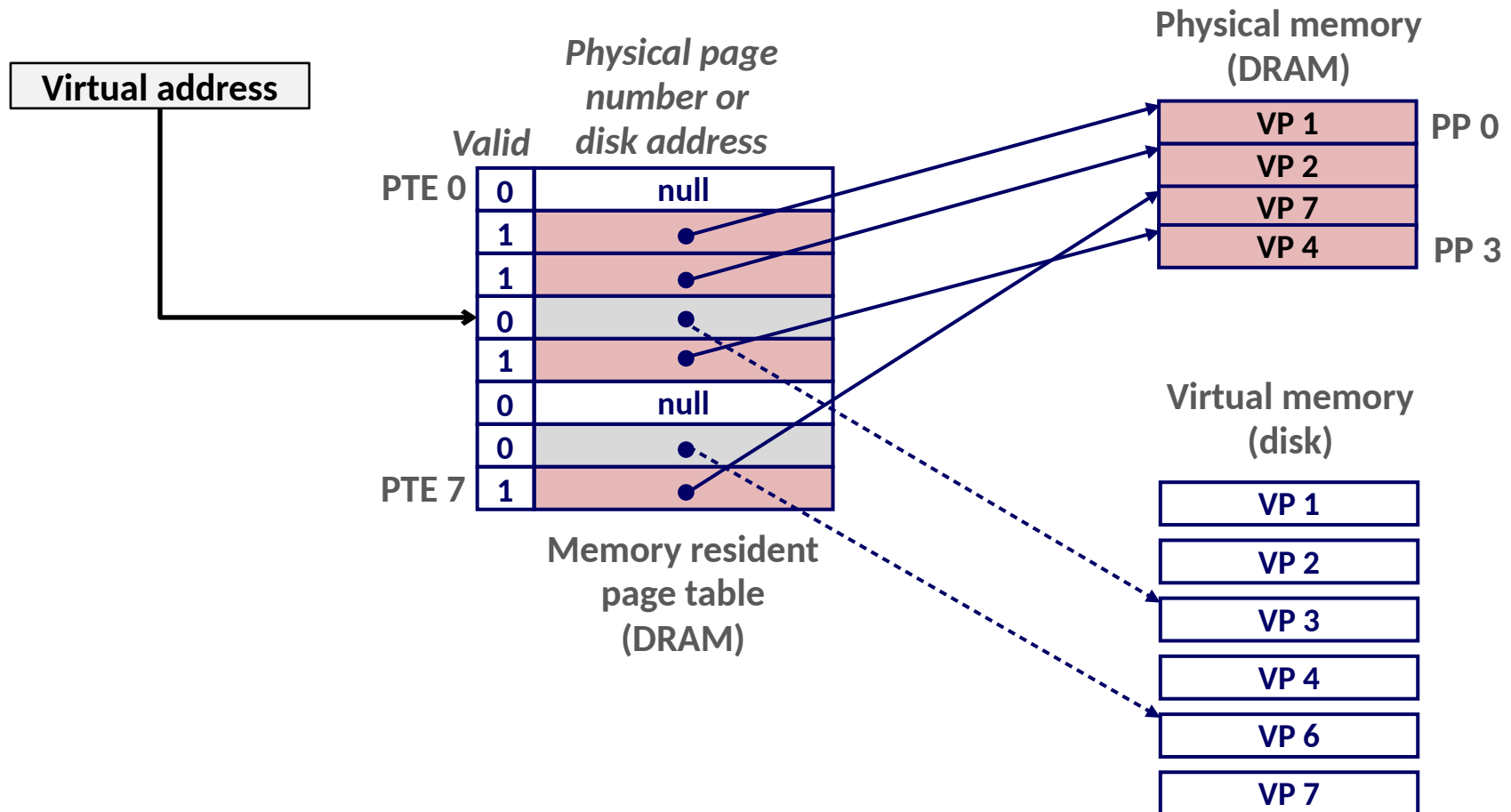
Page Hit

- **Page hit:** reference to VM word that is in physical memory (DRAM cache hit)



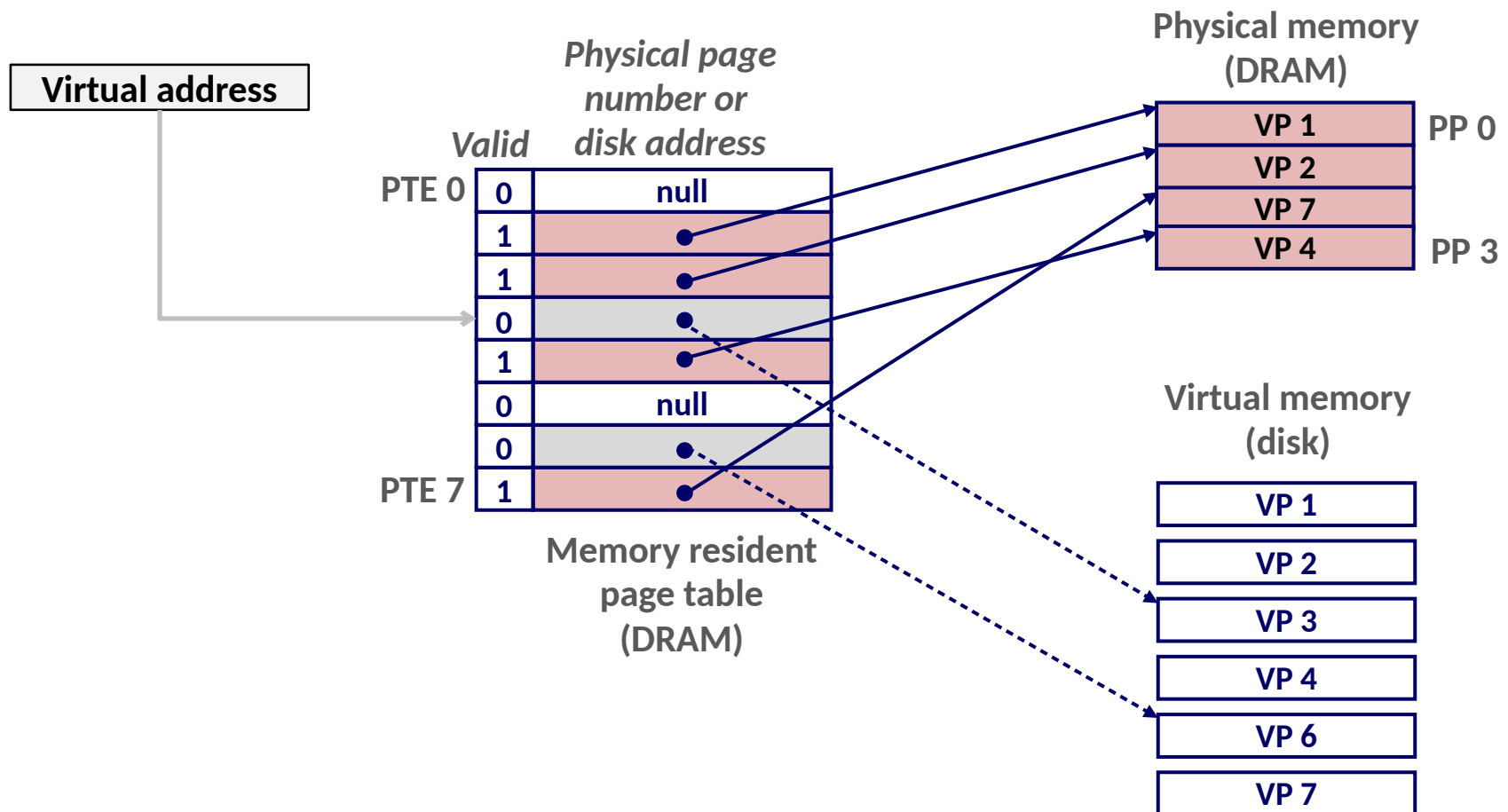
Page Fault

- **Page fault:** reference to VM word that is not in physical memory (DRAM cache miss)



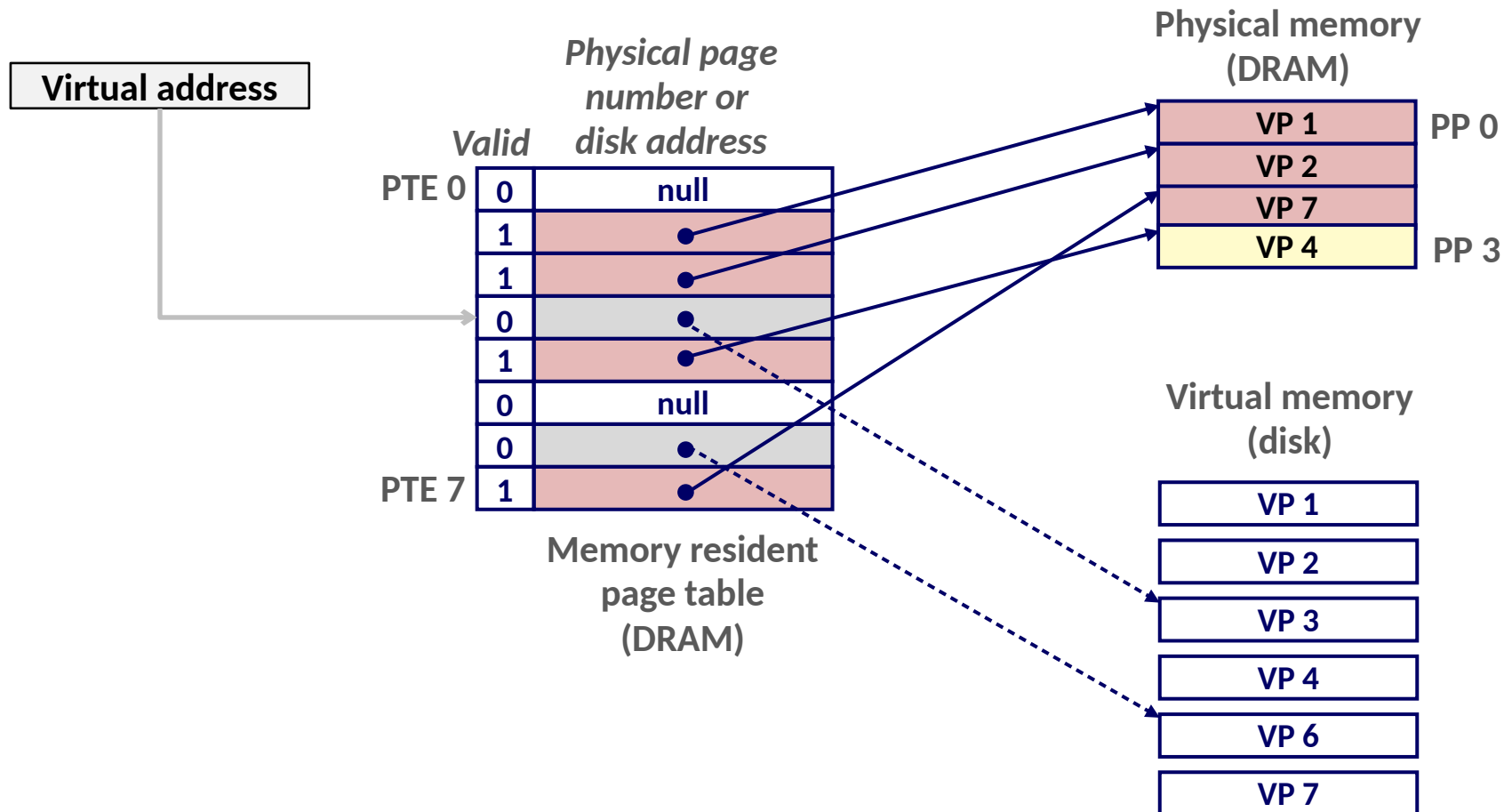
Handling Page Fault

- Page miss causes page fault (an exception)



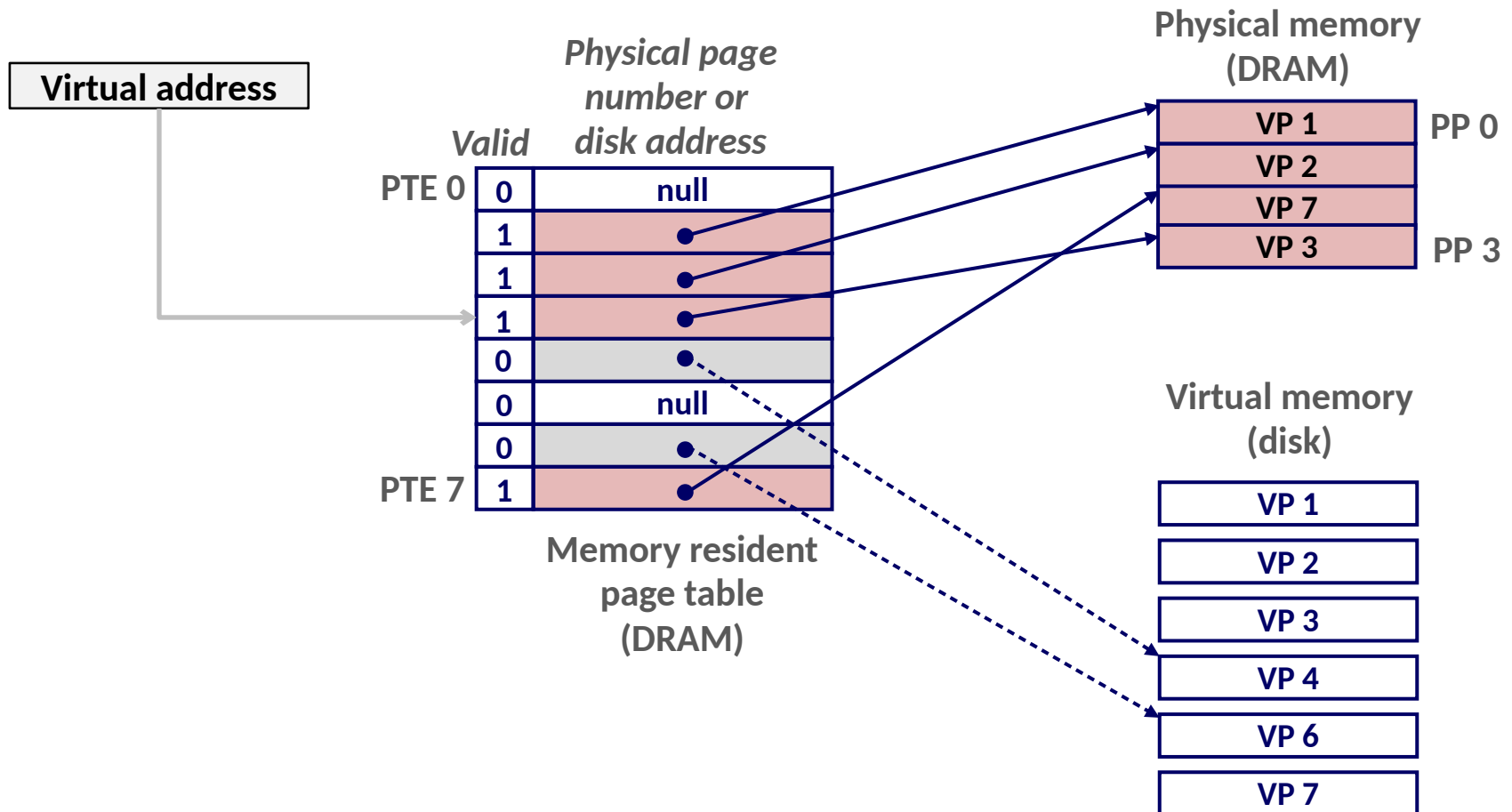
Handling Page Fault

- Page miss causes page fault (an exception)
- Page fault handler selects a victim to be evicted (here VP 4)



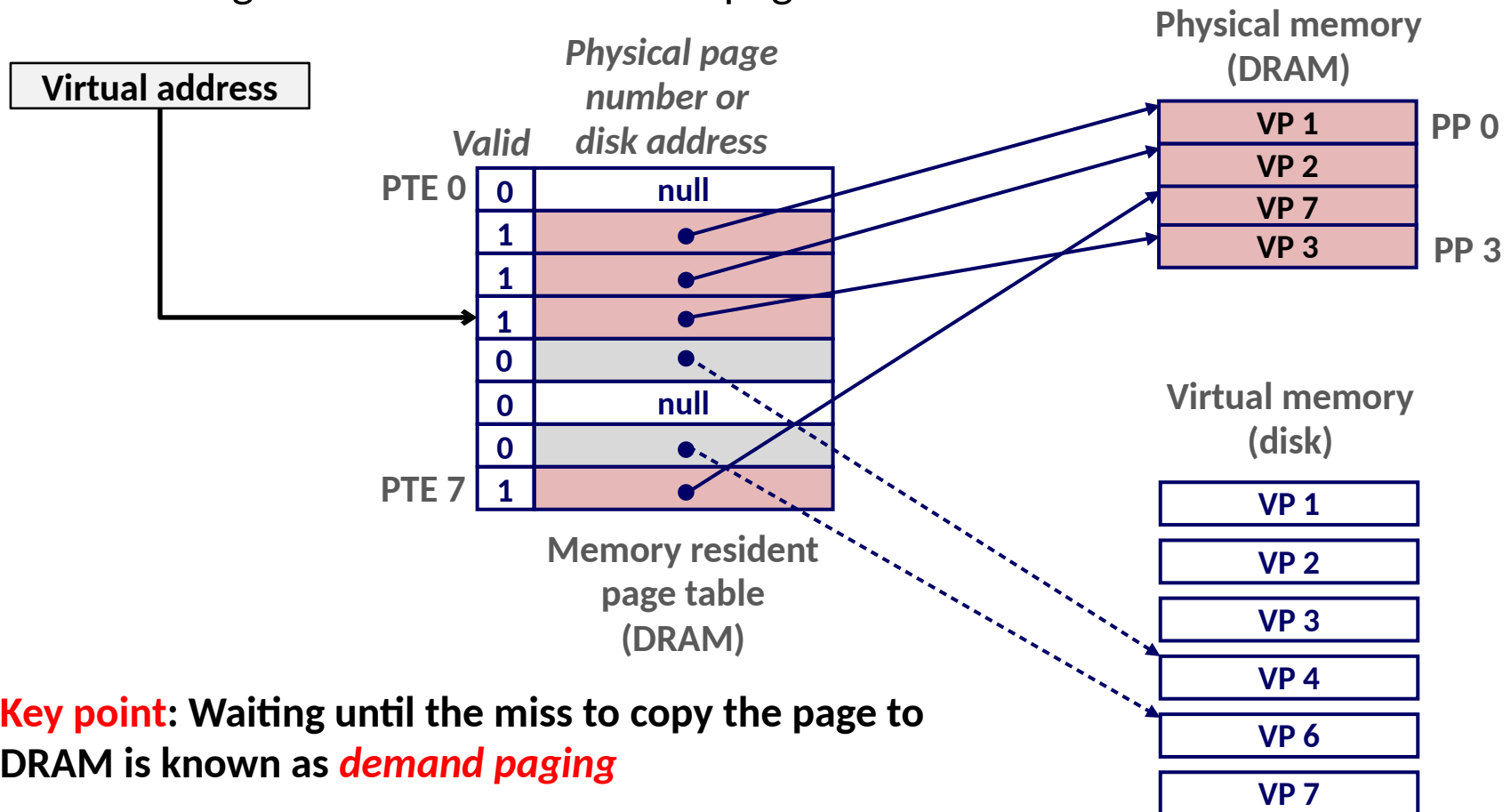
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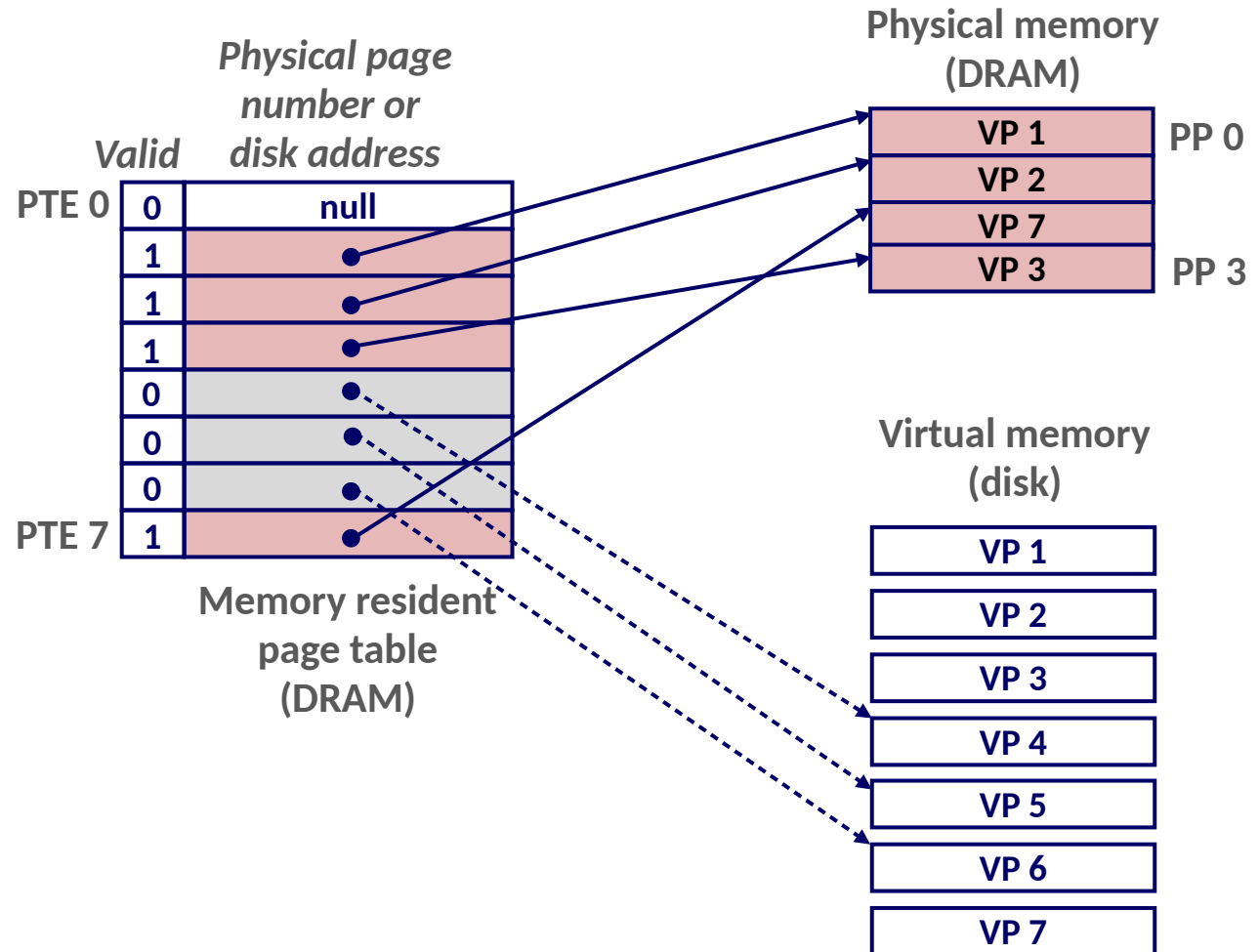
Handling Page Fault

- Page miss causes page fault (an exception)
- Page fault handler selects a victim to be evicted (here VP 4)
- Offending instruction is restarted: page hit!



Allocating Pages

- Allocating a new page (VP 5) of virtual memory.

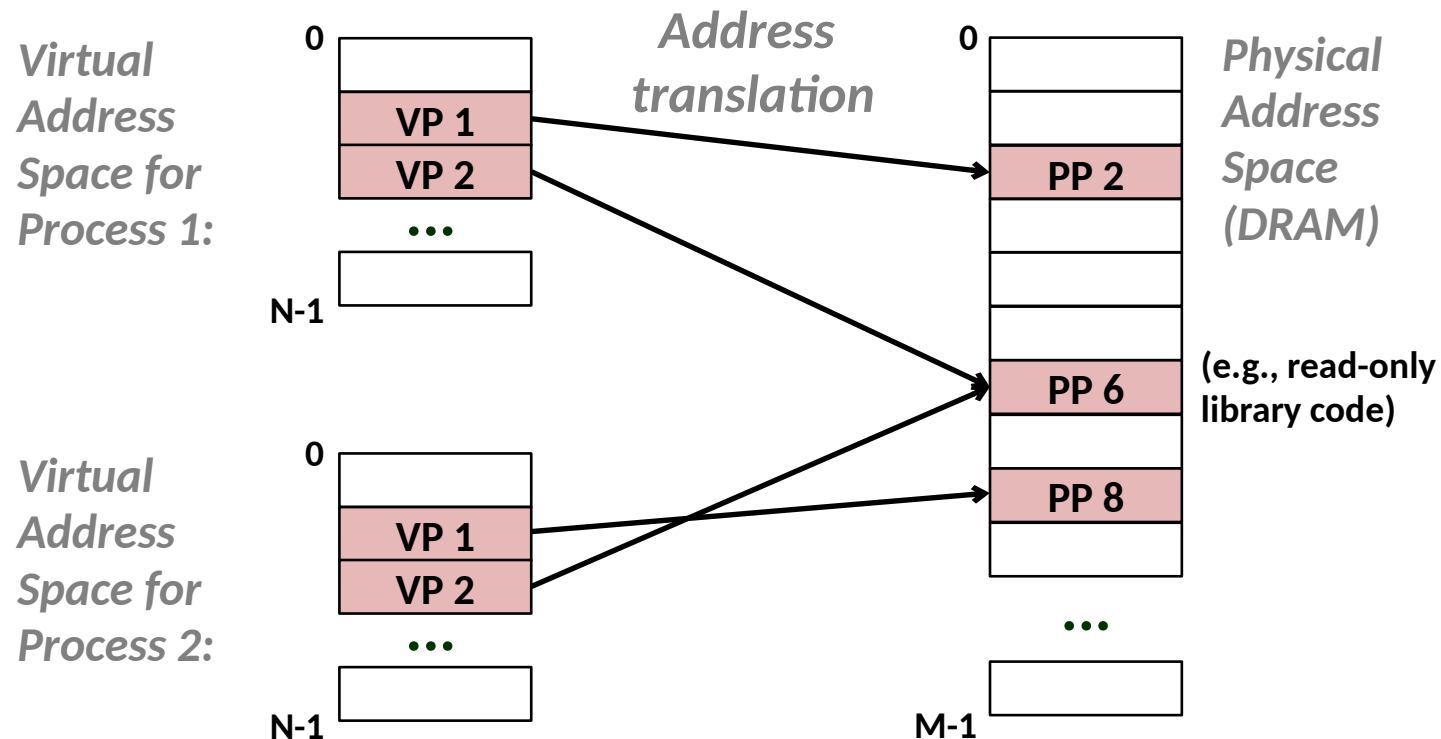


Locality to the Rescue Again!

- Virtual memory seems terribly inefficient, but it works because of locality.
- At any point in time, programs tend to access a set of active virtual pages called the *working set*
 - Programs with better temporal locality will have smaller working sets
- If (working set size < main memory size)
 - Good performance for one process after compulsory misses
- If (SUM(working set sizes) > main memory size)
 - *Thrashing*: Performance meltdown where pages are swapped (copied) in and out continuously

VM as a Tool for Memory Management

- **Key idea: each process has its own virtual address space**
 - It can view memory as a simple linear array
 - Mapping function scatters addresses through physical memory
 - Well-chosen mappings can improve locality



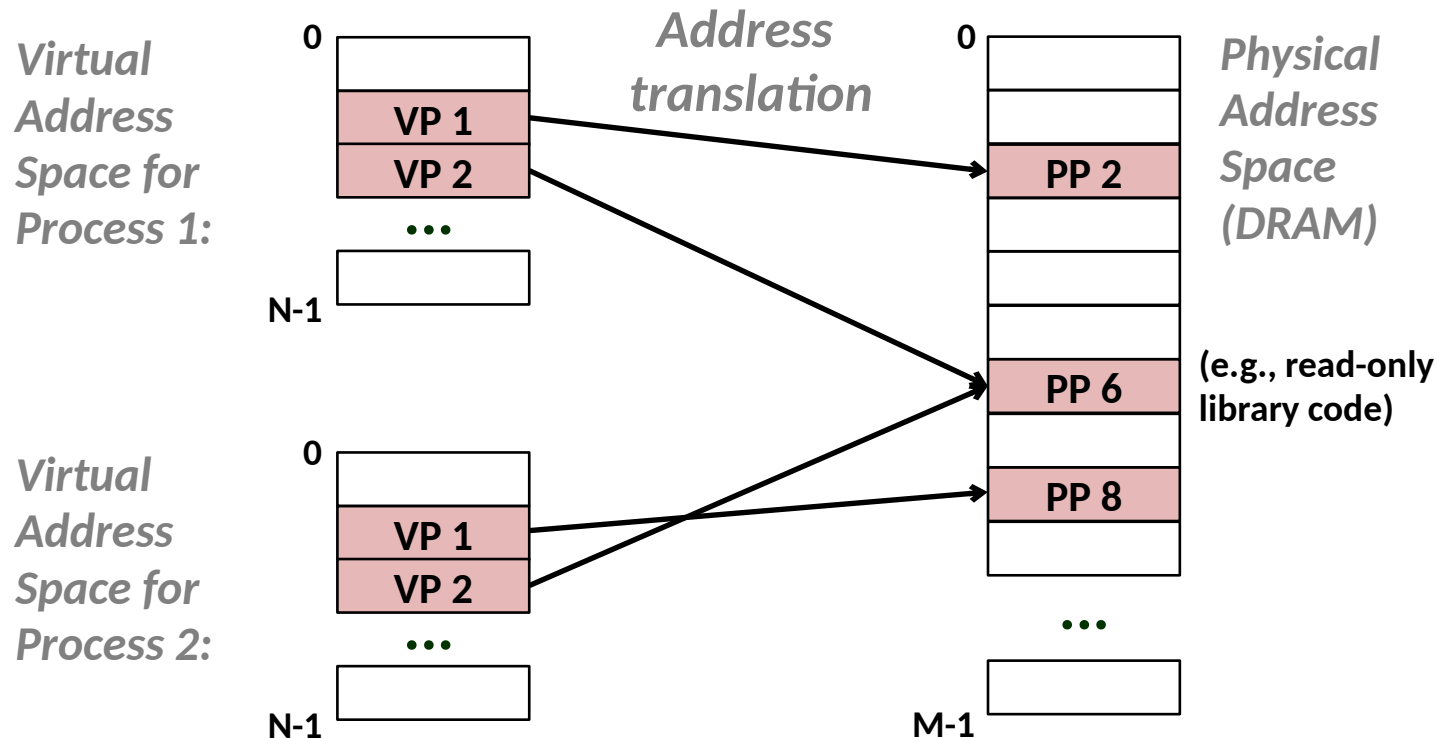
VM as a Tool for Memory Management

■ Simplifying memory allocation

- Each virtual page can be mapped to any physical page
- A virtual page can be stored in different physical pages at different times

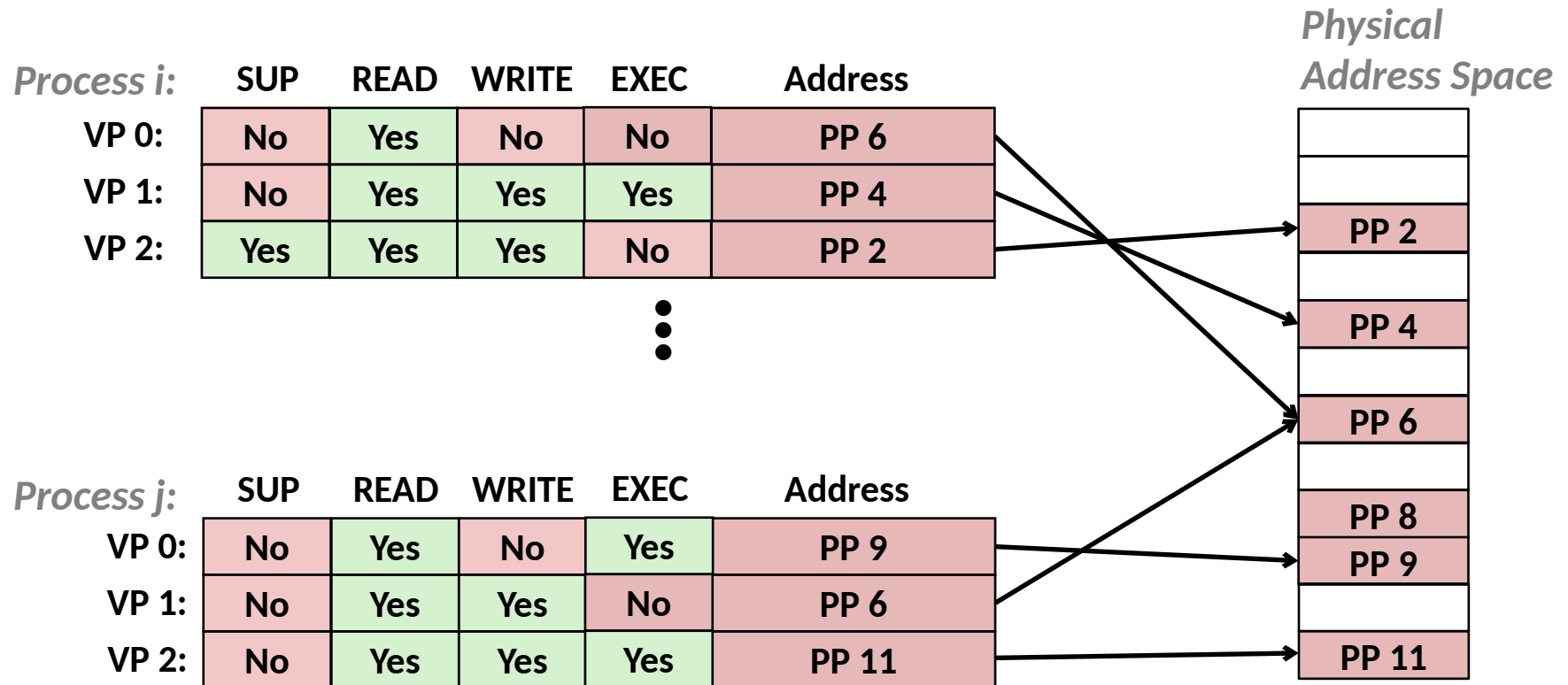
■ Sharing code and data among processes

- Map virtual pages to the same physical page (here: PP 6)



VM as a Tool for Memory Protection

- Extend PTEs with permission bits
- MMU checks these bits on each access



VM Address Translation

■ Virtual Address Space

- $V = \{0, 1, \dots, N-1\}$

■ Physical Address Space

- $P = \{0, 1, \dots, M-1\}$

■ Address Translation

$MAP: V \rightarrow P \cup \{\emptyset\}$

- For virtual address a :
 - $MAP(a) = a'$ if data at virtual address a is at physical address a' in P
 - $MAP(a) = \emptyset$ if data at virtual address a is not in physical memory
 - ⋈ Either invalid or stored on disk

Summary of Address Translation Symbols

■ Basic Parameters

- $N = 2^n$: Number of addresses in virtual address space
- $M = 2^m$: Number of addresses in physical address space
- $P = 2^p$: Page size (bytes)

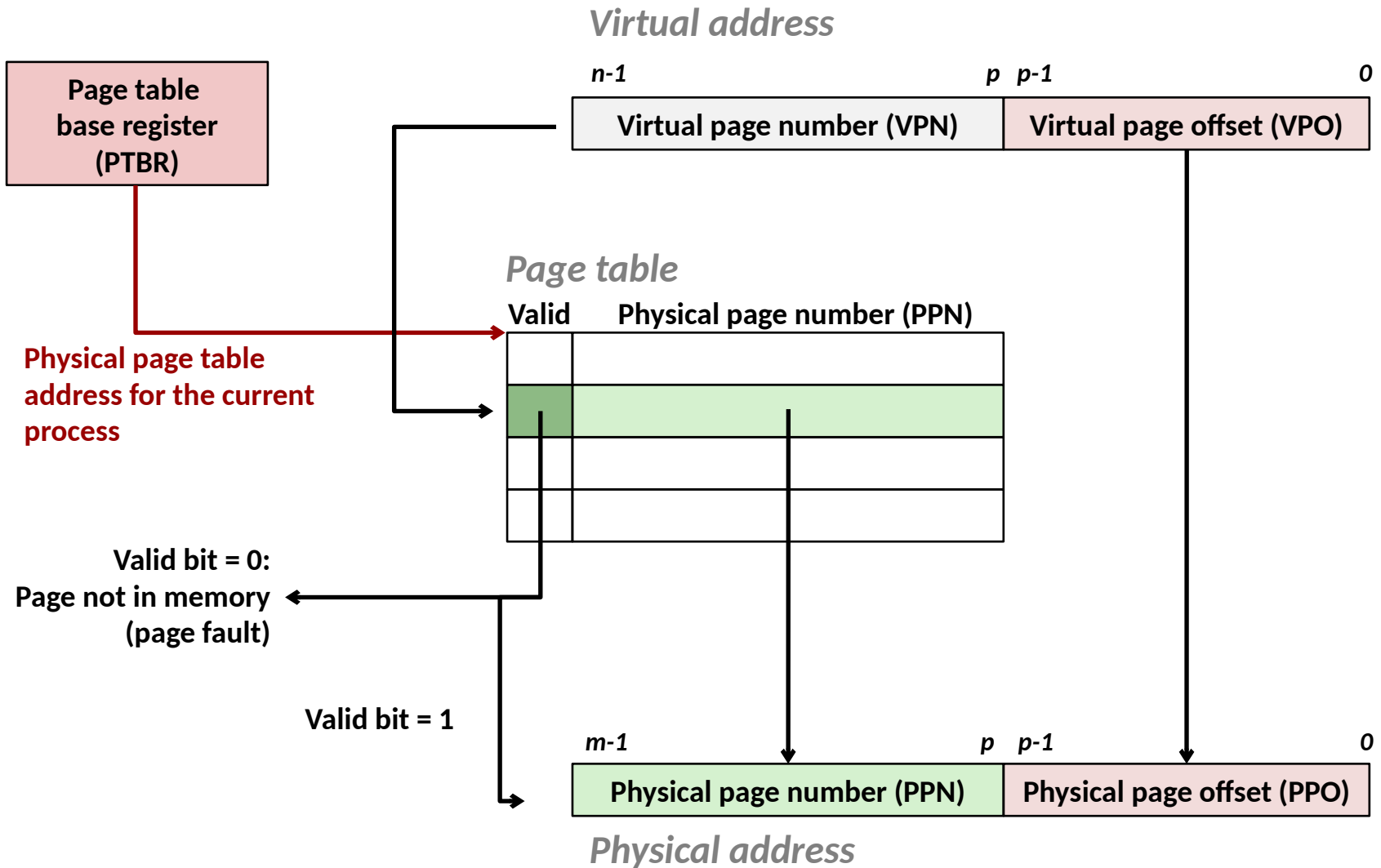
■ Components of the virtual address (VA)

- TLBI: TLB index
- TLBT: TLB tag
- VPO: Virtual page offset
- VPN: Virtual page number

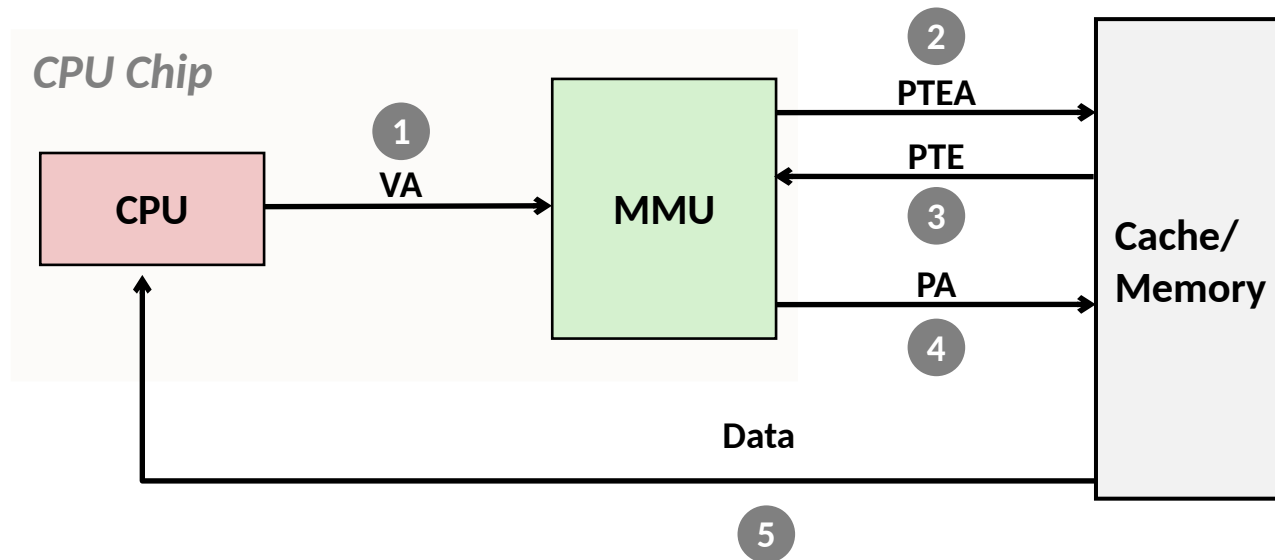
■ Components of the physical address (PA)

- PPO: Physical page offset (same as VPO)
- PPN: Physical page number

Address Translation With a Page Table

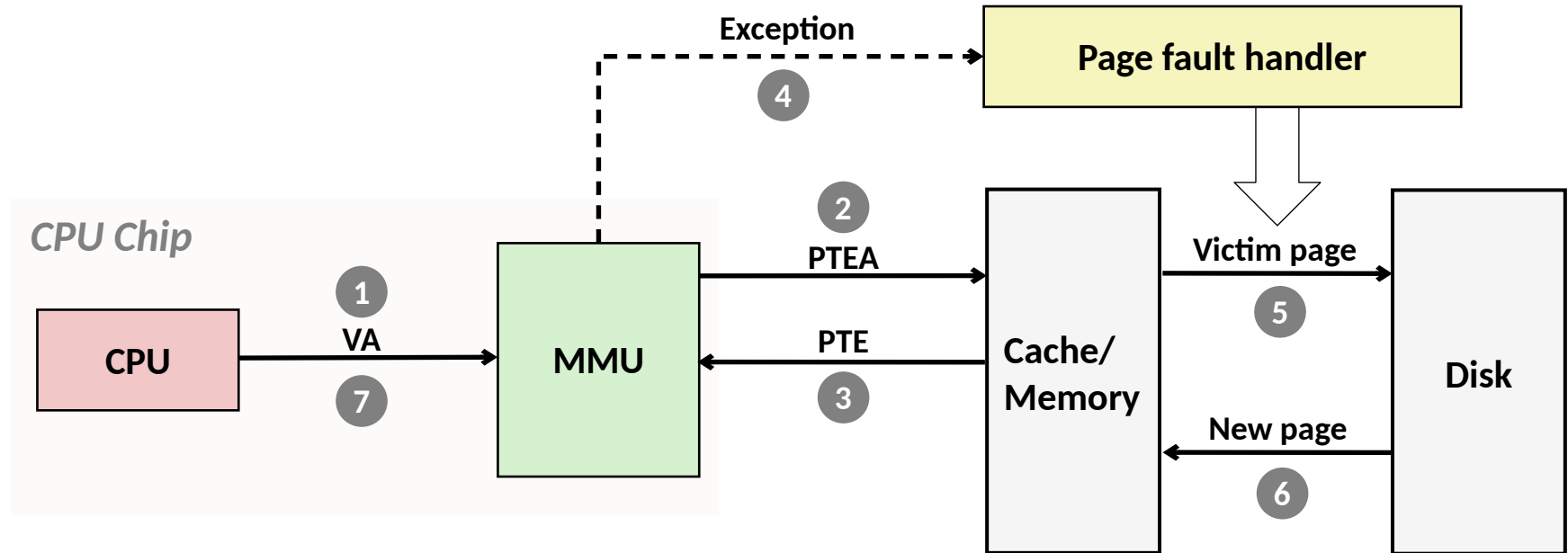


Address Translation: Page Hit



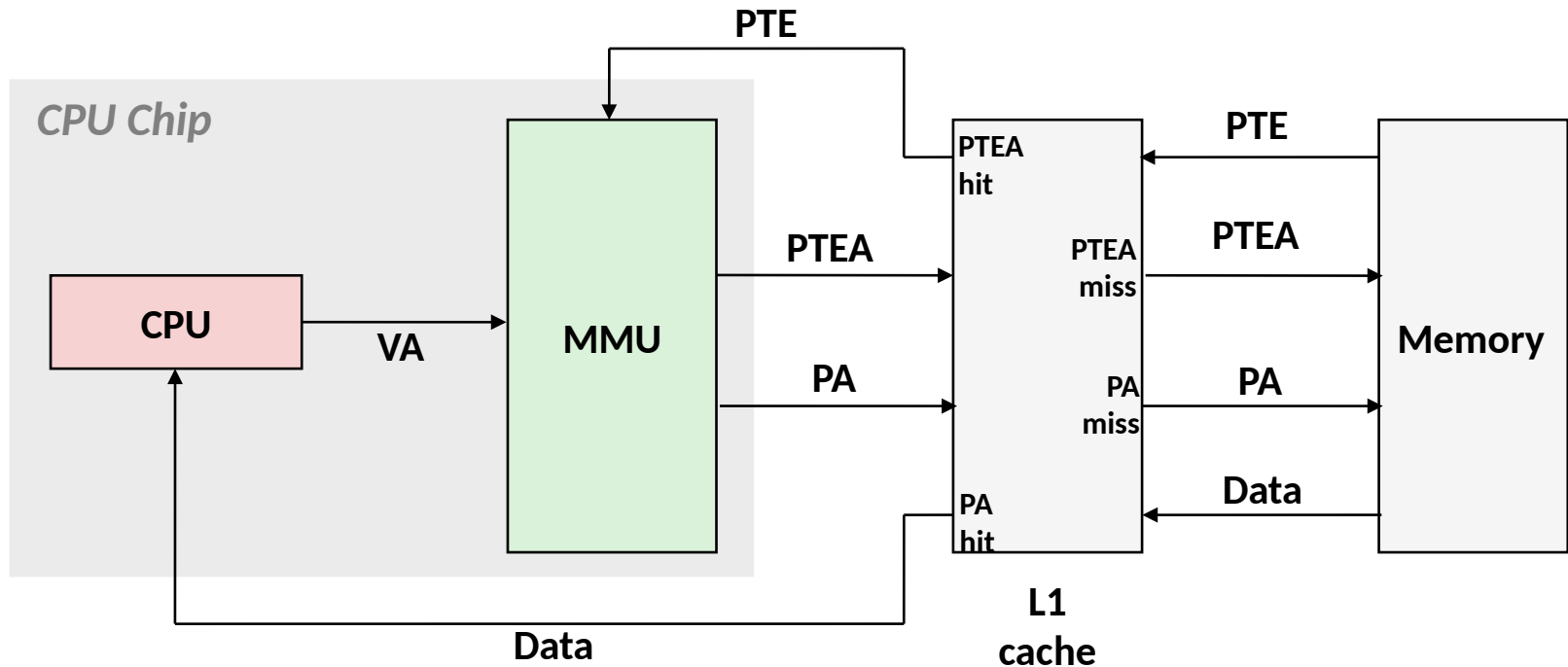
- 1) Processor sends virtual address to MMU
- 2-3) MMU fetches PTE from page table in memory
- 4) MMU sends physical address to cache/memory
- 5) Cache/memory sends data word to processor

Address Translation: Page Fault



- 1) Processor sends virtual address to MMU
- 2-3) MMU fetches PTE from page table in memory
- 4) Valid bit is zero, so MMU triggers page fault exception
- 5) Handler identifies victim (and, if dirty, pages it out to disk)
- 6) Handler pages in new page and updates PTE in memory
- 7) Handler returns to original process, restarting faulting instruction

Integrating VM and Cache



VA: virtual address, PA: physical address, PTE: page table entry, PTEA = PTE address

Speeding up Translation with a TLB

- Page table entries (PTEs) are cached in L1 like any other memory word
 - PTEs may be evicted by other data references
 - PTE hit still requires a small L1 delay
- Solution: *Translation Lookaside Buffer* (TLB)
 - Small set-associative hardware cache in MMU
 - Maps virtual page numbers to physical page numbers
 - Contains complete page table entries for small number of pages

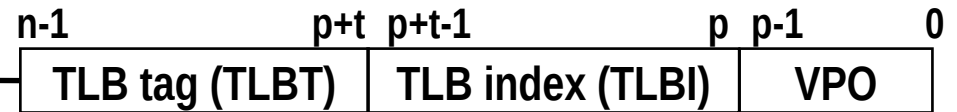
Accessing the TLB

- MMU uses the VPN portion of the virtual address to access the TLB:

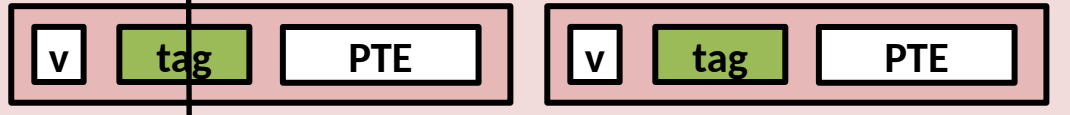
$T = 2^t$ sets

TLBT matches tag
of line within set

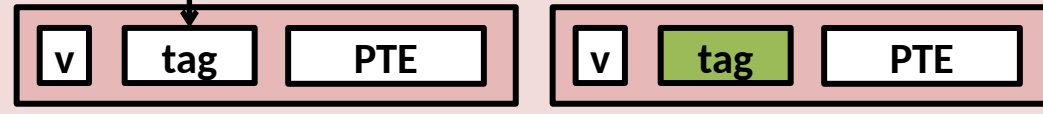
VPN



Set 0

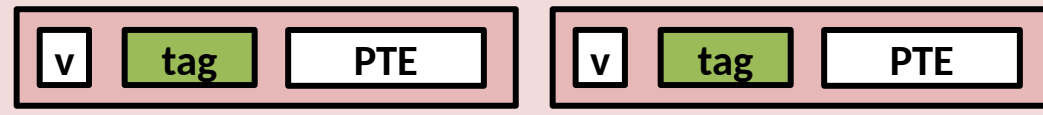


Set 1



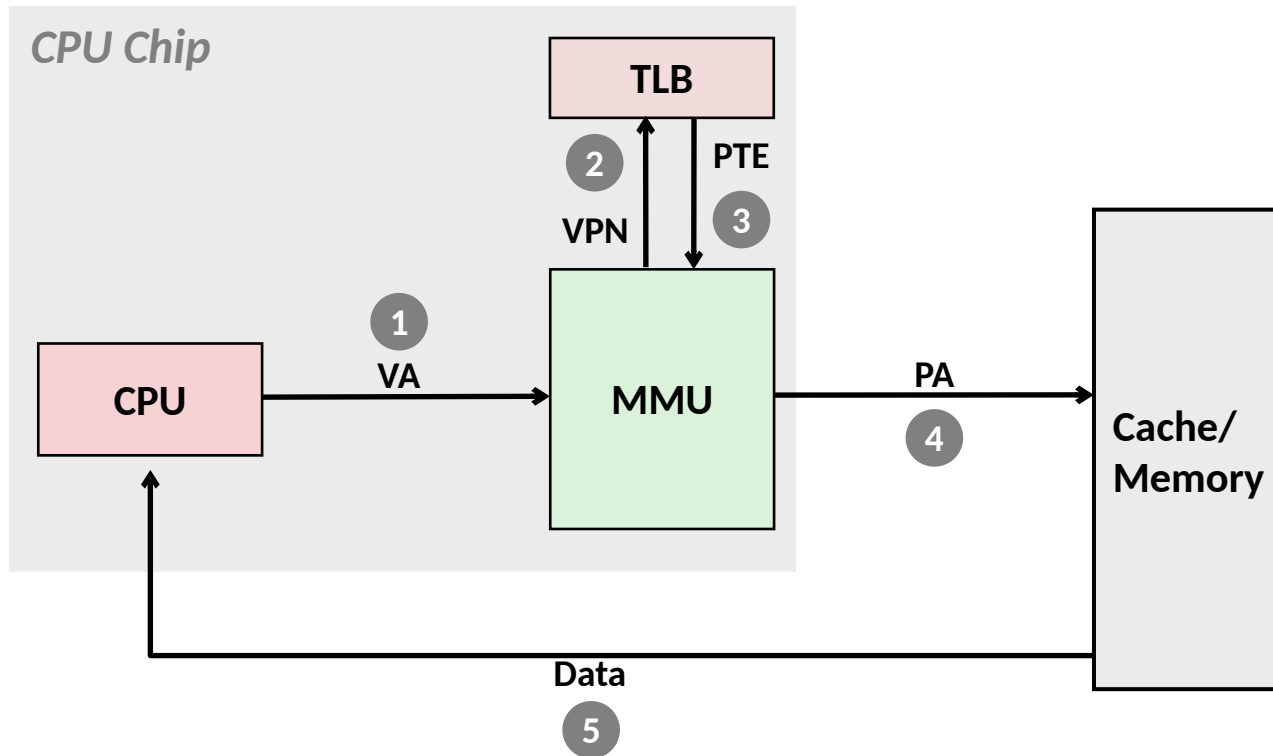
⋮

Set T-1



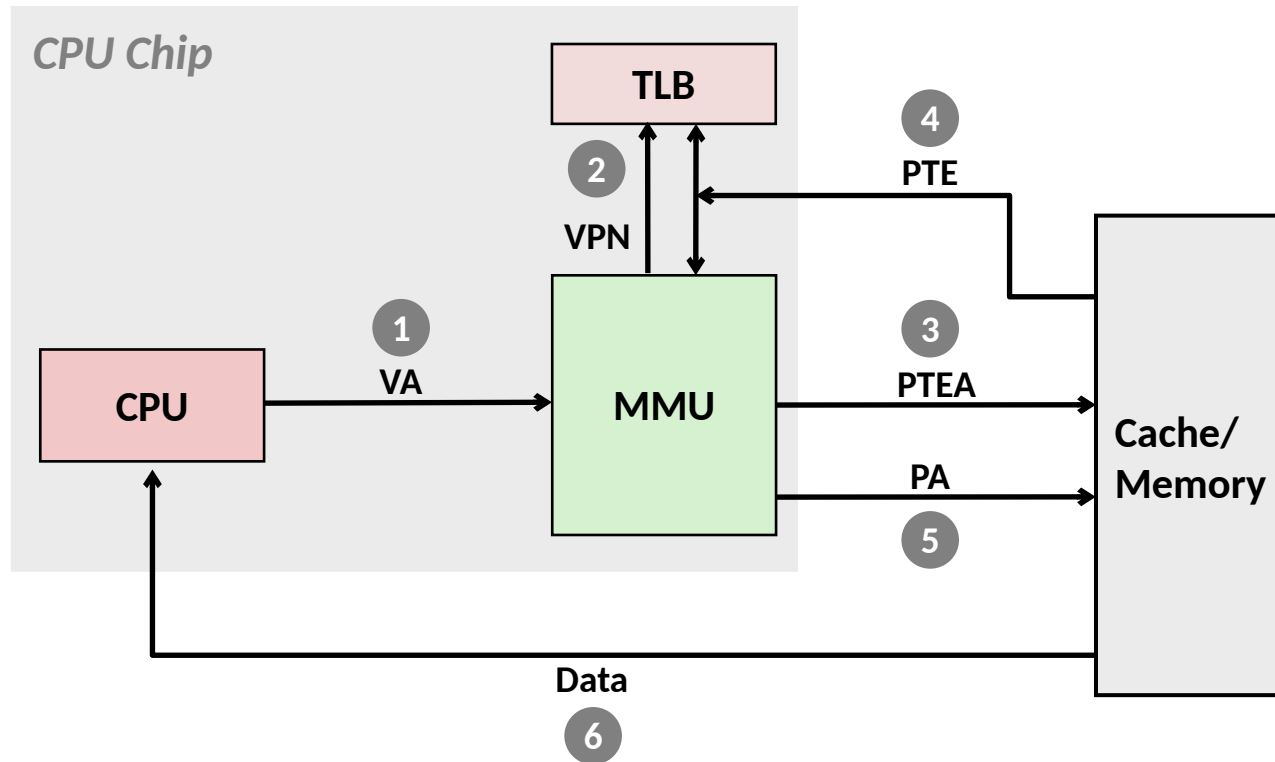
TLBI selects the set

TLB Hit



A TLB hit eliminates a memory access

TLB Miss



A TLB miss incurs an additional memory access (the PTE)

Fortunately, TLB misses are rare. Why?

Multi-Level Page Tables

■ Suppose:

- 4KB (2^{12}) page size, 48-bit address space, 8-byte PTE

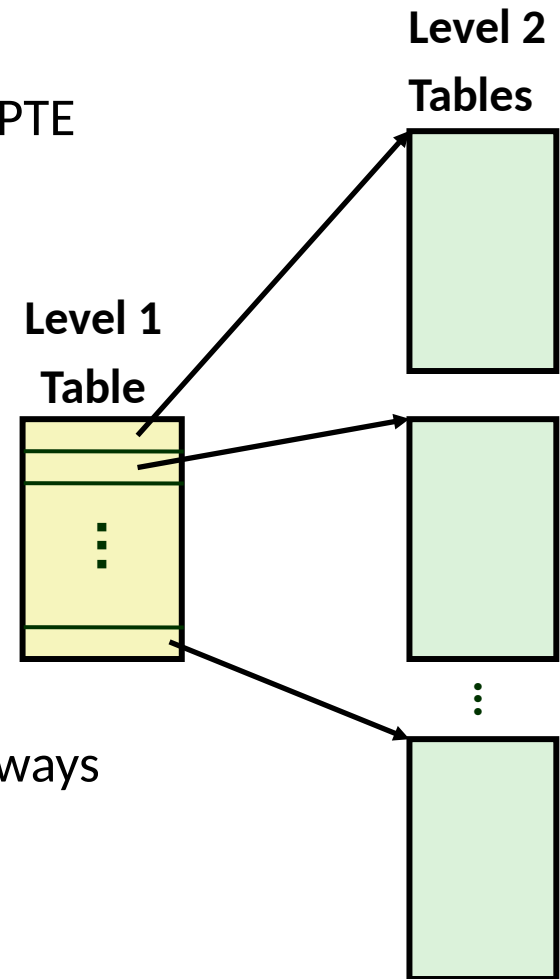
■ Problem:

- Would need a 512 GB page table!
 - $2^{48} * 2^{-12} * 2^3 = 2^{39}$ bytes

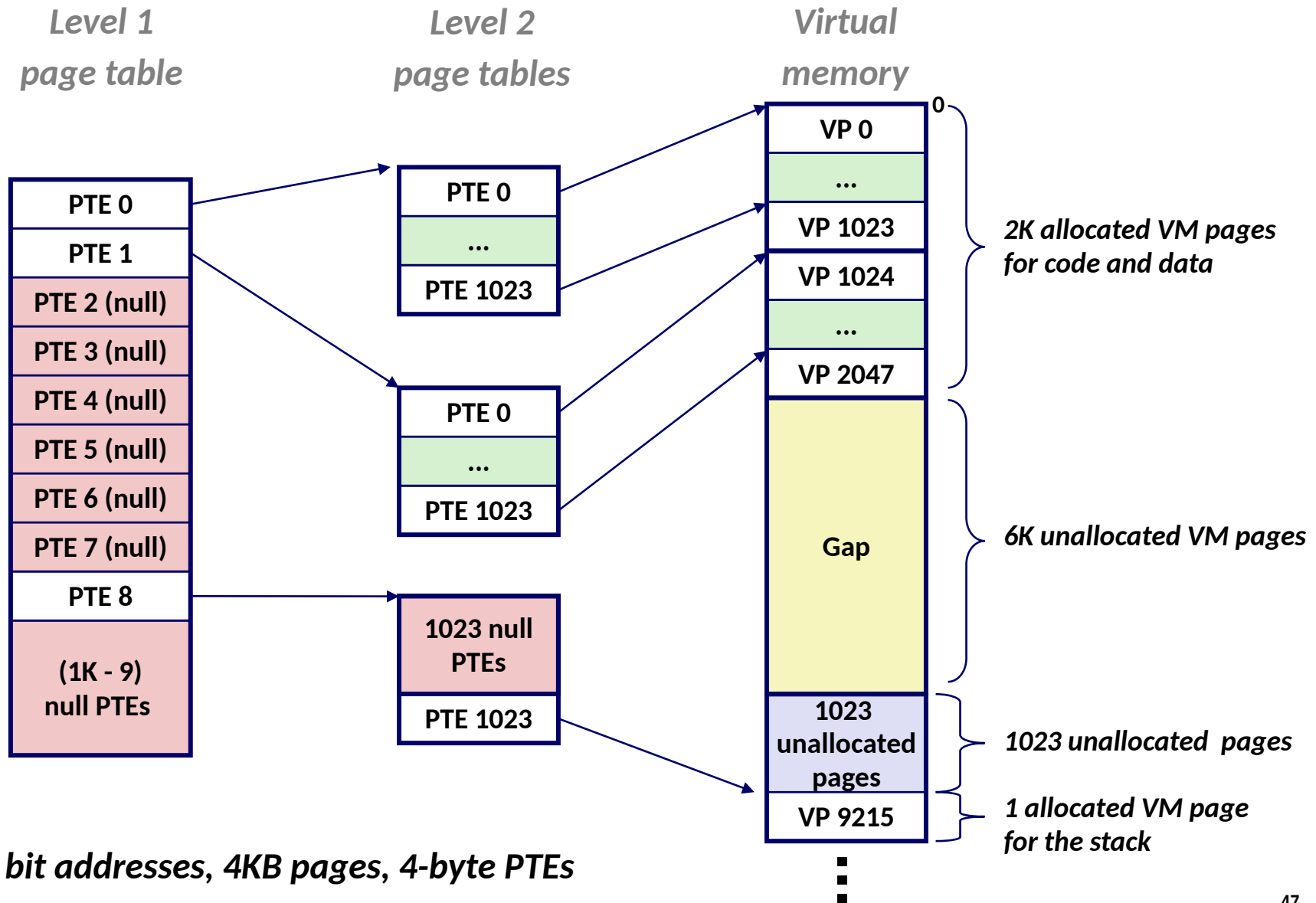
■ Common solution: Multi-level page table

■ Example: 2-level page table

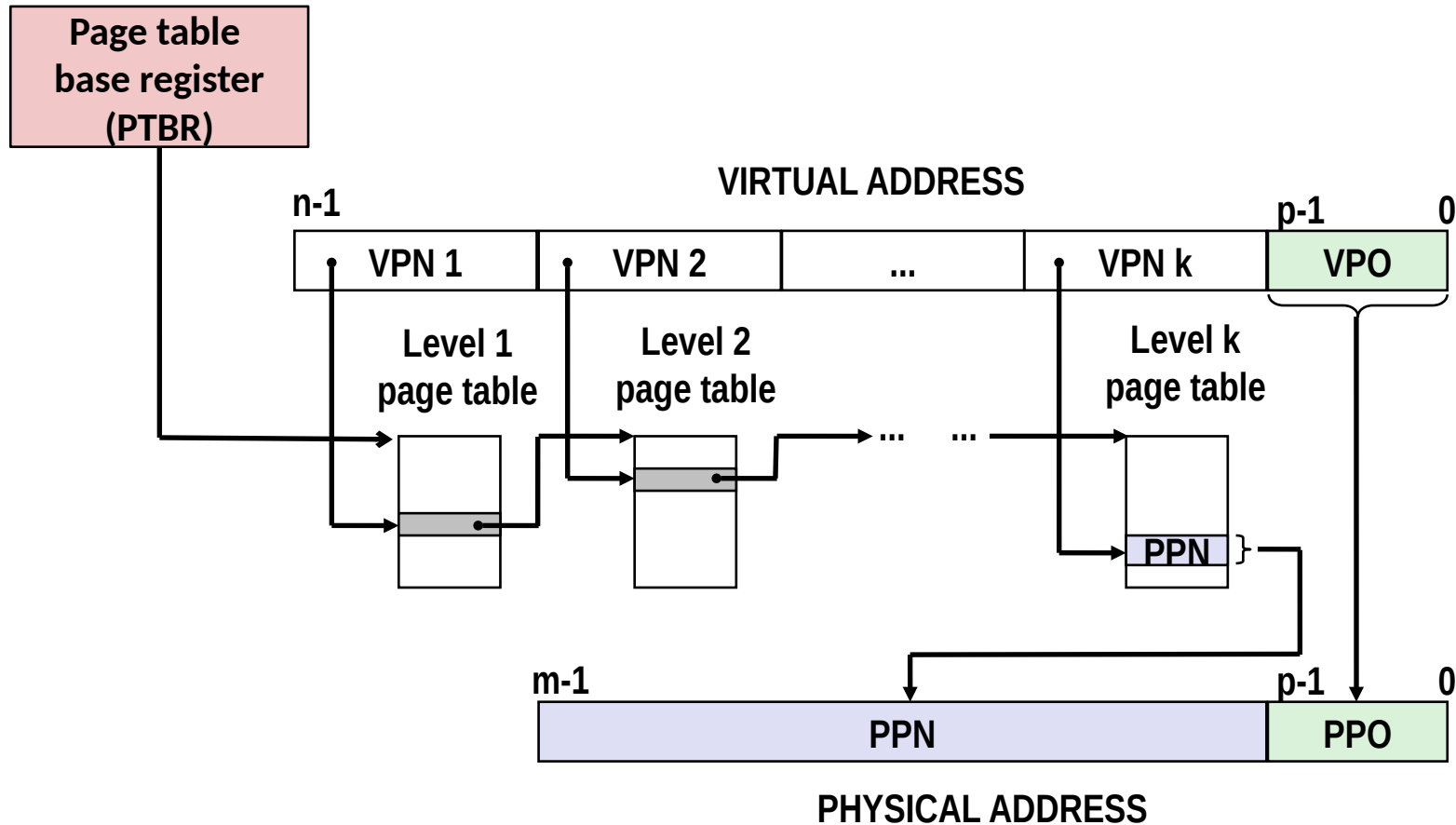
- Level 1 table: each PTE points to a page table (always memory resident)
- Level 2 table: each PTE points to a page (paged in and out like any other data)



A Two-Level Page Table Hierarchy



Translating with a k-level Page Table



Summary

■ Programmer's view of virtual memory

- Each process has its own private linear address space
- Cannot be corrupted by other processes

■ System view of virtual memory

- Uses memory efficiently by caching virtual memory pages
 - Efficient only because of locality
- Simplifies memory management and programming
- Simplifies protection by providing a convenient interpositioning point to check permissions

Review of Symbols

■ Basic Parameters

- $N = 2^n$: Number of addresses in virtual address space
- $M = 2^m$: Number of addresses in physical address space
- $P = 2^p$: Page size (bytes)

■ Components of the virtual address (VA)

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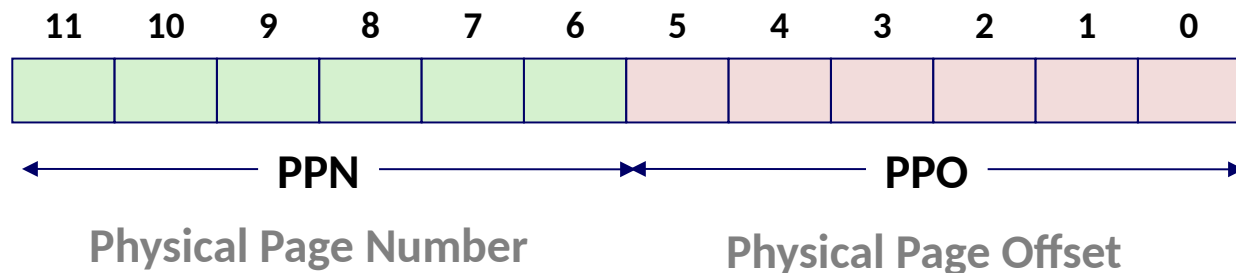
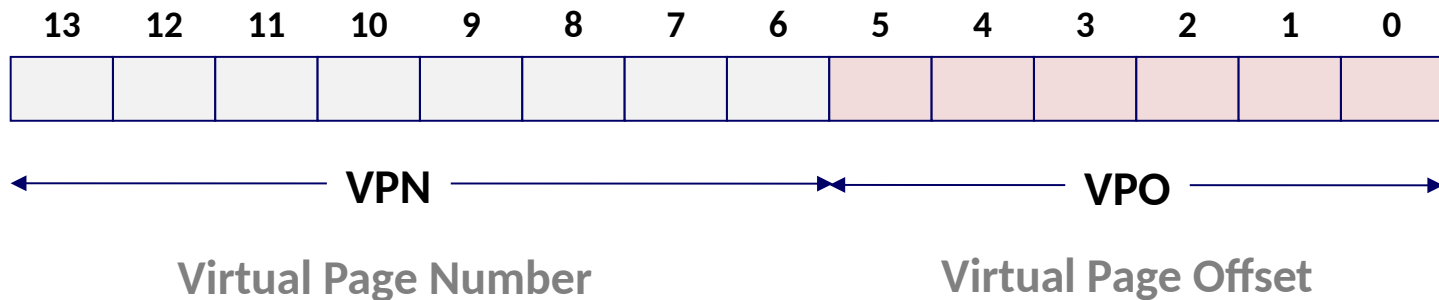
■ Components of the physical address (PA)

- PPO: Physical page offset (same as VPO)
- PPN: Physical page number
- CO: Byte offset within cache line
- CI: Cache index
- CT: Cache tag

Simple Memory System Example

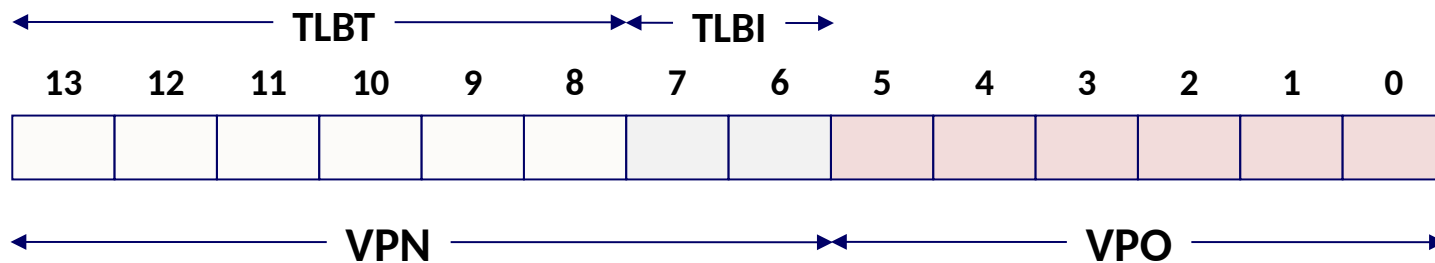
■ Addressing

- 14-bit virtual addresses
- 12-bit physical address
- Page size = 64 bytes



1. Simple Memory System TLB

- 16 entries
- 4-way associative



Set	Tag	PPN	Valid	Tag	PPN	Valid	Tag	PPN	Valid	Tag	PPN	Valid
0	03	-	0	09	0D	1	00	-	0	07	02	1
1	03	2D	1	02	-	0	04	-	0	0A	-	0
2	02	-	0	08	-	0	06	-	0	03	-	0
3	07	-	0	03	0D	1	0A	34	1	02	-	0

2. Simple Memory System Page Table

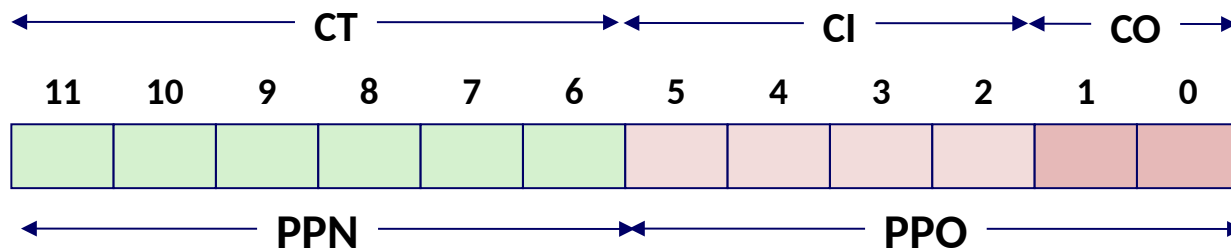
Only show first 16 entries (out of 256)

<i>VPN</i>	<i>PPN</i>	<i>Valid</i>
00	28	1
01	-	0
02	33	1
03	02	1
04	-	0
05	16	1
06	-	0
07	-	0

<i>VPN</i>	<i>PPN</i>	<i>Valid</i>
08	13	1
09	17	1
0A	09	1
0B	-	0
0C	-	0
0D	2D	1
0E	11	1
0F	0D	1

3. Simple Memory System Cache

- 16 lines, 4-byte block size
- Physically addressed
- Direct mapped

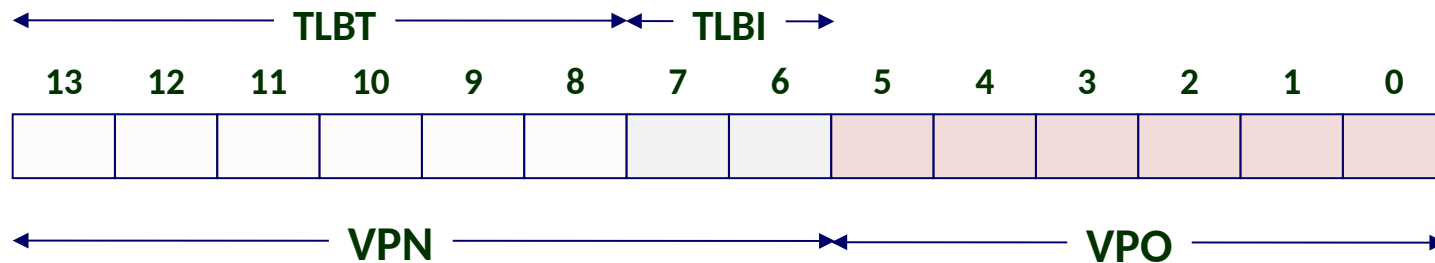


<i>Idx</i>	<i>Tag</i>	<i>Valid</i>	<i>B0</i>	<i>B1</i>	<i>B2</i>	<i>B3</i>
0	19	1	99	11	23	11
1	15	0	-	-	-	-
2	1B	1	00	02	04	08
3	36	0	-	-	-	-
4	32	1	43	6D	8F	09
5	0D	1	36	72	F0	1D
6	31	0	-	-	-	-
7	16	1	11	C2	DF	03

<i>Idx</i>	<i>Tag</i>	<i>Valid</i>	<i>B0</i>	<i>B1</i>	<i>B2</i>	<i>B3</i>
8	24	1	3A	00	51	89
9	2D	0	-	-	-	-
A	2D	1	93	15	DA	3B
B	0B	0	-	-	-	-
C	12	0	-	-	-	-
D	16	1	04	96	34	15
E	13	1	83	77	1B	D3
F	14	0	-	-	-	-

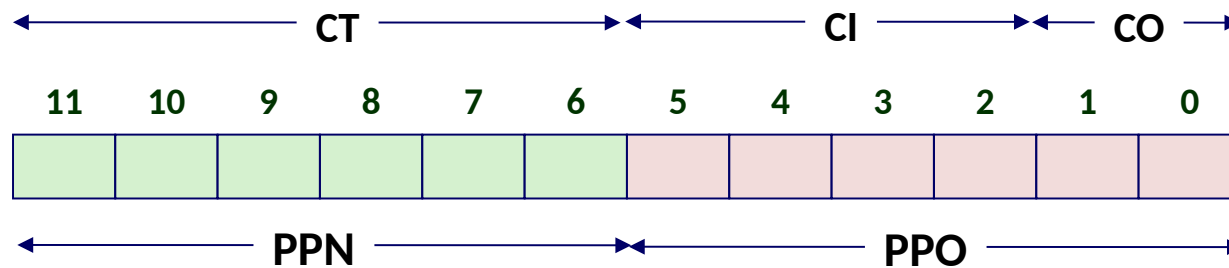
Address Translation Example #1

Virtual Address: 0x03D4



VPN ____ TLBI ____ TLBT ____ TLB Hit? ____ Page Fault? ____ PPN: ____

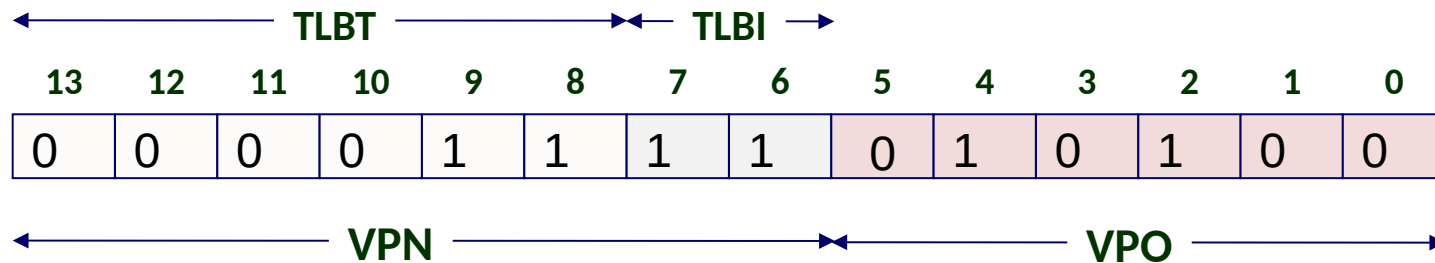
Physical Address



CO ____ CI ____ CT ____ Hit? ____ Byte: ____

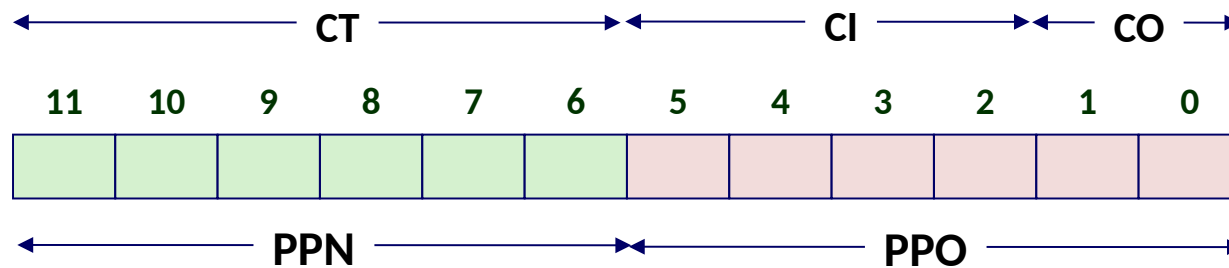
Address Translation Example #1

Virtual Address: **0x03D4** = 00001111010100



VPN= 0x0f TLBI= 0x03 TLBT=0x03 TLB Hit? ☐ Page Fault? ☐ PPN: _____

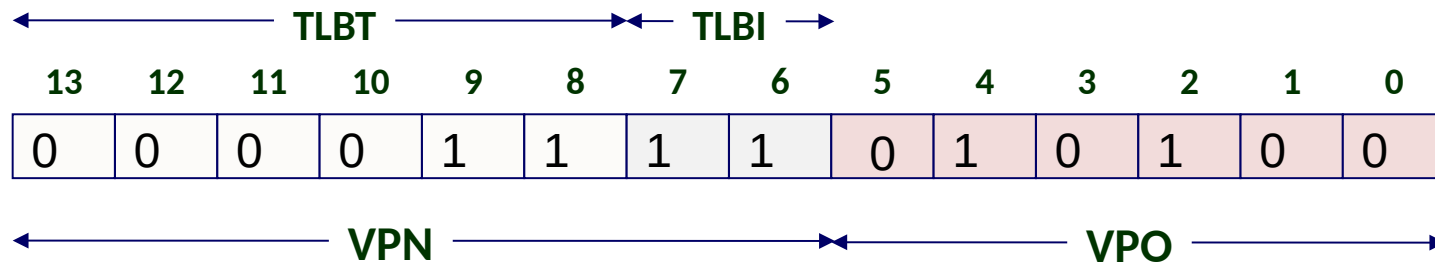
Physical Address



CO ☐ CI ☐ CT ☐ Hit? ☐ Byte: _____

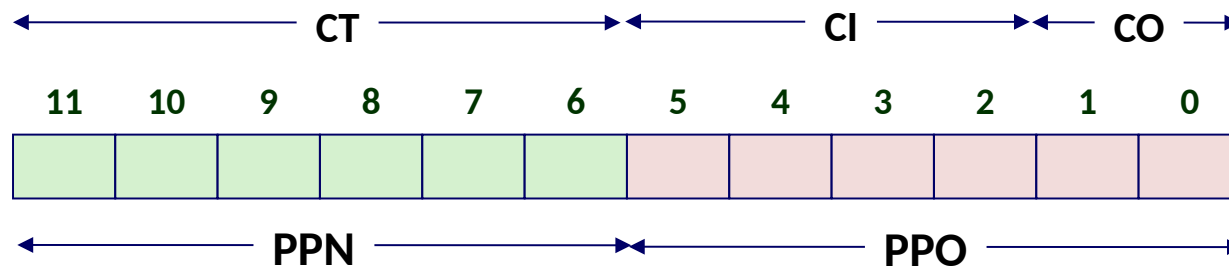
Address Translation Example #1

Virtual Address: **0x03D4** = 00001111010100



VPN= 0x0f TLBI= 0x03 TLBT=0x03 TLB Hit= Yes Page Fault= No PPN: 0x0D

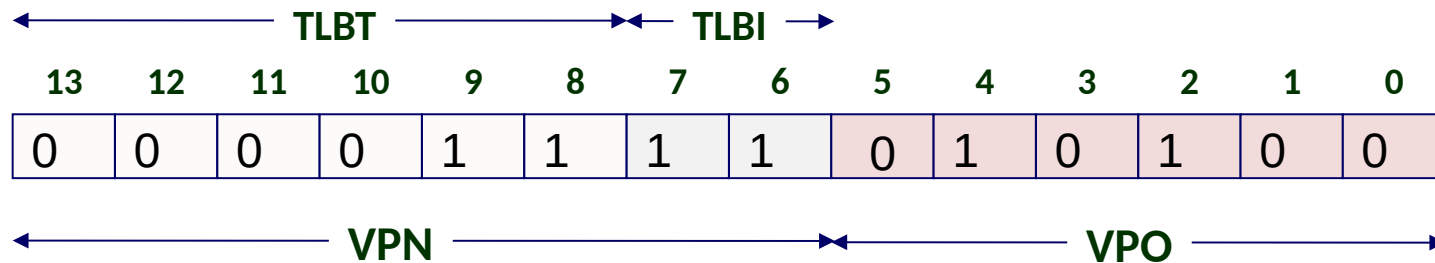
Physical Address



CO ____ CI ____ CT ____ Hit? ____ Byte: ____

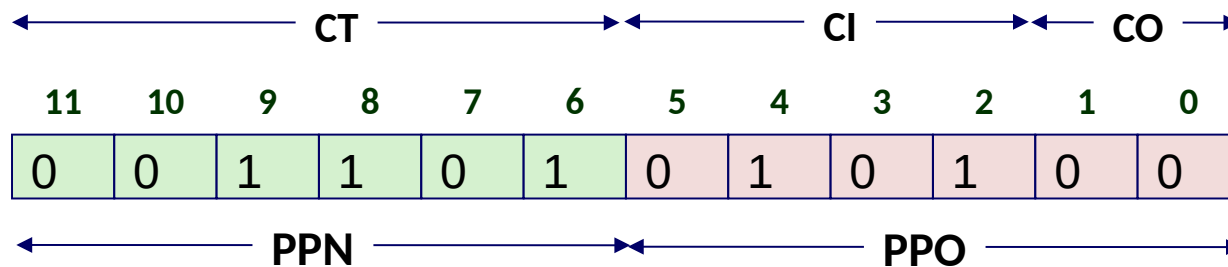
Address Translation Example #1

Virtual Address: **0x03D4** = 00001111010100



VPN= 0x0f TLBI= 0x03 TLBT=0x03 TLB Hit= Yes Page Fault= No PPN: 0x0D

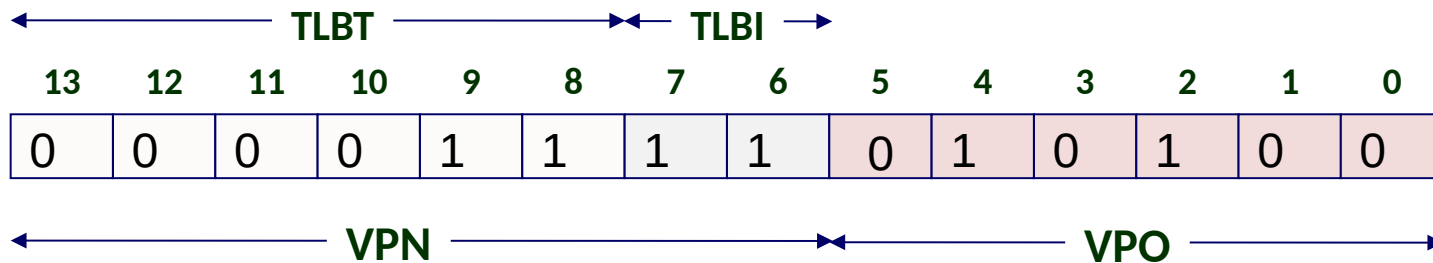
Physical Address 0x0D = 001101



CO= 0x0 CI=0x05 CT=0x0D Hit?__ Byte: ____

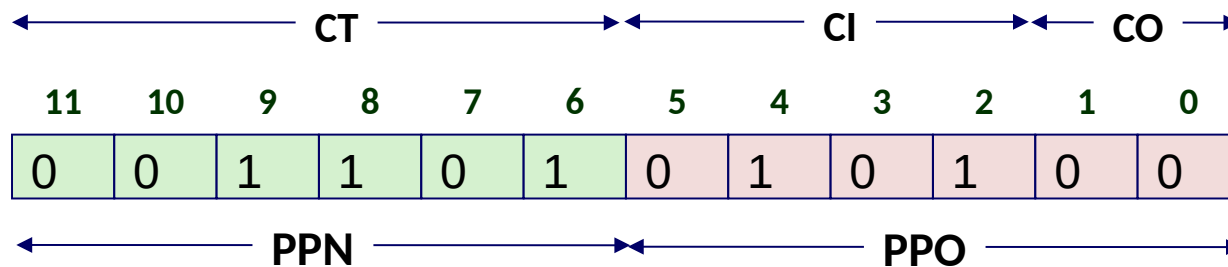
Address Translation Example #1

Virtual Address: **0x03D4** = 00001111010100



VPN= 0x0f TLBI= 0x03 TLBT=0x03 TLB Hit= Yes Page Fault= No PPN: 0x0D

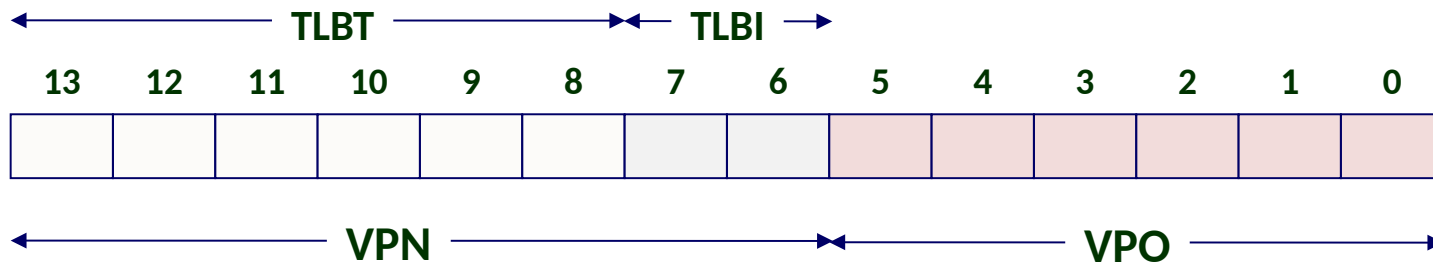
Physical Address 0x0D = 001101



CO= 0x0 CI=0x05 CT=0x0D Hit= Yes Byte: 0x36

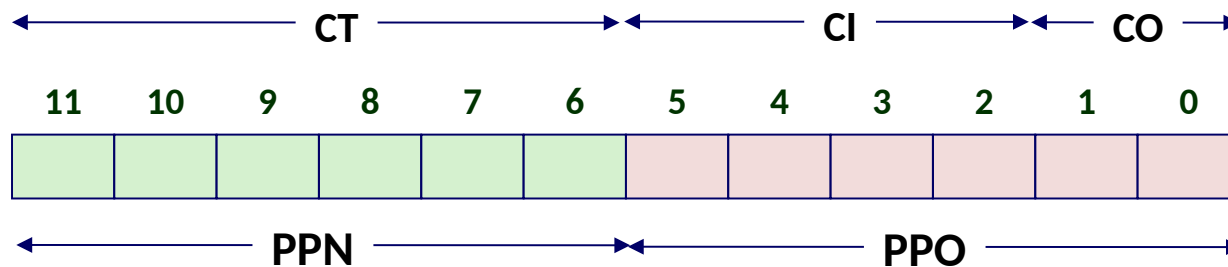
Address Translation Example #2

Virtual Address: 0x0020



VPN ____ TLBI ____ TLBT ____ TLB Hit? ____ Page Fault? ____ PPN: ____

Physical Address



CO ____ CI ____ CT ____ Hit? ____ Byte: ____