Exceptions and Processes

The material for this lecture is drawn from
Computer Systems: A Programmer’s Perspective (Bryant & O’Hallaron) Chapter 8

Goals of this Lecture

• Help you learn about:
  • Exceptions
  • The process concept
  … and thereby…
  • How operating systems work
  • How application programs interact with operating systems and hardware

The process concept is one of the most important concepts in systems programming
Motivation

Question:
- Executing program thinks it has exclusive control of the CPU
- But multiple executing programs must share one CPU (or a few CPUs)
- How is that illusion implemented?

Question:
- Executing program thinks it has exclusive use of all of memory
- But multiple executing programs must share one memory
- How is that illusion implemented?

Answers: Exceptions…
Exceptions

- **Exception**
  - An abrupt change in control flow in response to a change in processor state

- **Examples:**
  - Application program:
    - Requests I/O
    - Requests more heap memory
    - Attempts integer division by 0
    - Attempts to access privileged memory
    - Accesses variable that is not in real memory (see upcoming “Virtual Memory” lecture)
  - User presses key on keyboard
  - Disk controller finishes reading data

Exceptions Note

- **Note:**
  Exceptions in OS ≠ exceptions in Java

  Implemented using `try/catch` and `throw` statements
Exceptional Control Flow

Exceptions vs. Function Calls

- Exceptions are similar to function calls
  - Control transfers from original code to other code
  - Other code executes
  - Control returns to original code

- Exceptions are different from function calls
  - Processor pushes additional state onto stack
    - E.g. values of all registers
  - Processor pushes data onto OS’s stack, not application pgm’s stack
  - Handler runs in privileged mode, not in user mode
    - Handler can execute all instructions and access all memory
  - Control might return to next instruction
    - Control sometimes returns to current instruction
    - Control sometimes does not return at all!
Classes of Exceptions

- There are 4 classes of exceptions...

(1) Interrupts

**Cause:** Signal from I/O device

**Examples:**
- User presses key
- Disk controller finishes reading/writing data

<table>
<thead>
<tr>
<th>Application program</th>
<th>Exception handler</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) CPU interrupt pin goes high</td>
<td>(2) After current instr finishes, control passes to handler</td>
</tr>
<tr>
<td></td>
<td>(3) Handler runs</td>
</tr>
<tr>
<td></td>
<td>(4) Handler returns control to <strong>next</strong> instr</td>
</tr>
</tbody>
</table>
(2) Traps

**Cause:** Intentional (application program requests OS service)

**Examples:**
- Application program requests more heap memory
- Application program requests I/O

Traps provide a function-call-like interface between application and OS

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(3) Faults

**Cause:** Application program causes (possibly) recoverable error

**Examples:**
- Application program accesses privileged memory (seg fault)
- Application accesses data that is not in real memory (page fault)
(4) Aborts

**Cause:** Non-recoverable error  
**Example:** Parity check indicates corruption of memory bit (overheating, cosmic ray!, etc.)

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**Summary of Exception Classes**

<table>
<thead>
<tr>
<th>Class</th>
<th>Cause</th>
<th>Asynch/Synch</th>
<th>Return Behavior</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Interrupt</strong></td>
<td>Signal from I/O device</td>
<td>Asynch</td>
<td>Return to next instr</td>
</tr>
<tr>
<td><strong>Trap</strong></td>
<td>Intentional</td>
<td>Sync</td>
<td>Return to next instr</td>
</tr>
<tr>
<td><strong>Fault</strong></td>
<td>(Maybe) recoverable error</td>
<td>Sync</td>
<td>(Maybe) return to current instr</td>
</tr>
<tr>
<td><strong>Abort</strong></td>
<td>Non-recoverable error</td>
<td>Sync</td>
<td>Do not return</td>
</tr>
</tbody>
</table>
Exceptions in Intel Processors

Each exception has a number
Some exceptions in Intel processors:

<table>
<thead>
<tr>
<th>Exception #</th>
<th>Exception</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Fault: Divide error</td>
</tr>
<tr>
<td>13</td>
<td>Fault: Segmentation fault</td>
</tr>
<tr>
<td>14</td>
<td>Fault: Page fault (see “Virtual Memory” lecture)</td>
</tr>
<tr>
<td>18</td>
<td>Abort: Machine check</td>
</tr>
<tr>
<td>32-127</td>
<td>Interrupt or trap (OS-defined)</td>
</tr>
<tr>
<td>128</td>
<td>Trap</td>
</tr>
<tr>
<td>129-255</td>
<td>Interrupt or trap (OS-defined)</td>
</tr>
</tbody>
</table>

Traps in Intel Processors

- To execute a trap, application program should:
  - Place number in EAX register indicating desired functionality
  - Place parameters in EBX, ECX, EDX registers
  - Execute assembly language instruction “int 128”

- Example: To request more heap memory...
  
  ```
  movl $45, %eax
  movl $1024, %ebx
  int $128
  ```

  In Linux, 45 indicates request for more heap memory
  Request is for 1024 bytes
  Causes trap
System-Level Functions

- For convenience, traps are wrapped in system-level functions
- Example: To request more heap memory...

```c
/* unistd.h */
void *sbrk(intptr_t increment);
```

/* unistd.s */
Defines sbrk() in assembly lang
Executes int instruction

/* client.c */

sbrk(1024);

A call of a system-level function, that is, a system call

See Appendix for list of some Linux system-level functions

Processes

- Program
  - Executable code

- Process
  - An instance of a program in execution

- Each program runs in the context of some process

- Context consists of:
  - Process ID
  - Address space
    - TEXT, RODATA, DATA, BSS, HEAP, and STACK
  - Processor state
    - EIP, EFLAGS, EAX, EBX, etc. registers
  - Etc.
Significance of Processes

- **Process** is a profound abstraction in computer science
- The process abstraction provides application programs with two key illusions:
  - Private control flow
  - Private address space

Private Control Flow: Illusion

Hardware and OS give each application process the illusion that it is the only process running on the CPU
Private Control Flow: Reality

All application processes -- and the OS process -- share the same CPU(s)

Context Switches

- **Context switch**
  - The activity whereby the OS assigns the CPU to a different process
  - Occurs during exception handling, at discretion of OS

- Exceptions can be caused:
  - Synchronously, by application pgm (trap, fault, abort)
  - Asynchronously, by external event (interrupt)
  - **Asynchronously, by hardware timer**
    - So no process can dominate the CPUs

- Exceptions are the mechanism that enables the illusion of private control flow
**Context Switch Details**

- **Context**
  - State the OS needs to restart a preempted process

- **Context switch**
  - Save the context of current process
  - Restore the saved context of some previously preempted process
  - Pass control to this newly restored process

**Process 1**
- Running
- Save context
- Load context
- Waiting
- Running

**Process 2**
- Waiting
- Save context
- Load context
- Running
- Waiting

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**When Should OS Do Context Switch?**

- **When a process is stalled waiting for I/O**
  - Better utilize the CPU, e.g., while waiting for disk access

  1: CPU I/O CPU I/O CPU I/O

  2: CPU I/O CPU I/O CPU I/O

- **When a process has been running for a while**
  - Sharing on a fine time scale to give each process the illusion of running on its own machine
  - Trade-off efficiency for a finer granularity of fairness
Life Cycle of a Process

- **Running**: instructions are being executed
- **Waiting**: waiting for some event (e.g., I/O finish)
- **Ready**: ready to be assigned to a processor

Context Details

- What does the OS need to save/restore during a context switch?
  - Process state
    - New, ready, waiting, terminated
  - CPU registers
    - EIP, EFLAGS, EAX, EBX, ...
  - I/O status information
    - Open files, I/O requests, ...
  - Memory management information
    - Page tables (see “Virtual Memory” lecture)
  - Accounting information
    - Time limits, group ID, ...
  - CPU scheduling information
    - Priority, queues
Private Address Space: Illusion

Hardware and OS give each application process the illusion that it is the only process using memory.

Private Address Space: Reality

All processes use the same real memory. Hardware and OS provide application programs with a virtual view of memory, i.e. virtual memory (VM).
Private Address Space Details

• Exceptions (specifically, page faults) are the mechanism that enables the illusion of private address spaces

• See the Virtual Memory lecture for details

Summary

• Exception: an abrupt change in control flow
  • Interrupts: asynchronous; e.g. I/O completion, hardware timer
  • Traps: synchronous; e.g. app pgm requests more heap memory, I/O
  • Faults: synchronous; e.g. seg fault
  • Aborts: synchronous; e.g. parity error

• Process: An instance of a program in execution
  • Hardware and OS use exceptions to give each process the illusion of:
    • Private control flow (reality: context switches)
    • Private address space (reality: virtual memory)
### Appendix: System-Level Functions

#### Linux system-level functions for I/O management

<table>
<thead>
<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
</table>
| 3      | `read()` | Read data from file descriptor  
         |          | Called by `getchar()`, `scanf()`, etc. |
| 4      | `write()` | Write data to file descriptor  
          |          | Called by `putchar()`, `printf()`, etc. |
| 5      | `open()` | Open file or device  
          |          | Called by `fopen()` |
| 6      | `close()` | Close file descriptor  
          |          | Called by `fclose()` |
| 8      | `creat()` | Open file or device for writing  
          |          | Called by `fopen(..., "w")` |

Described in *I/O Management* lecture

#### Linux system-level functions for process management

<table>
<thead>
<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td><code>exit()</code></td>
<td>Terminate the process</td>
</tr>
<tr>
<td>2</td>
<td><code>fork()</code></td>
<td>Create a child process</td>
</tr>
<tr>
<td>7</td>
<td><code>waitpid()</code></td>
<td>Wait for process termination</td>
</tr>
<tr>
<td>7</td>
<td><code>wait()</code></td>
<td>(Variant of previous)</td>
</tr>
<tr>
<td>11</td>
<td><code>exec()</code></td>
<td>Execute a program in current process</td>
</tr>
<tr>
<td>20</td>
<td><code>getpid()</code></td>
<td>Get process id</td>
</tr>
</tbody>
</table>

Described in *Process Management* lecture
## Appendix: System-Level Functions

### Linux system-level functions for I/O redirection and inter-process communication

<table>
<thead>
<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>41</td>
<td><code>dup()</code></td>
<td>Duplicate an open file descriptor</td>
</tr>
<tr>
<td>42</td>
<td><code>pipe()</code></td>
<td>Create a channel of communication between processes</td>
</tr>
<tr>
<td>63</td>
<td><code>dup2()</code></td>
<td>Close an open file descriptor, and duplicate an open file descriptor</td>
</tr>
</tbody>
</table>

Described in *Process Management* lecture

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### Linux system-level functions for dynamic memory management

<table>
<thead>
<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>45</td>
<td><code>brk()</code></td>
<td>Move the program break, thus changing the amount of memory allocated to the HEAP</td>
</tr>
<tr>
<td>45</td>
<td><code>sbrk()</code></td>
<td>(Variant of previous)</td>
</tr>
<tr>
<td>90</td>
<td><code>mmap()</code></td>
<td>Map a virtual memory page</td>
</tr>
<tr>
<td>91</td>
<td><code>munmap()</code></td>
<td>Unmap a virtual memory page</td>
</tr>
</tbody>
</table>

Described in *Dynamic Memory Management* lectures
# Appendix: System-Level Functions

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<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>27</td>
<td><code>alarm()</code></td>
<td>Deliver a signal to a process after a specified amount of wall-clock time</td>
</tr>
<tr>
<td>37</td>
<td><code>kill()</code></td>
<td>Send signal to a process</td>
</tr>
<tr>
<td>67</td>
<td><code>sigaction()</code></td>
<td>Install a signal handler</td>
</tr>
<tr>
<td>104</td>
<td><code>setitimer()</code></td>
<td>Deliver a signal to a process after a specified amount of CPU time</td>
</tr>
<tr>
<td>126</td>
<td><code>sigprocmask()</code></td>
<td>Block/unblock signals</td>
</tr>
</tbody>
</table>

Described in [Signals](#) lecture