Processes and Exceptions

Much of the material for this lecture is drawn from
Computer Systems: A Programmer’s Perspective (Bryant & O’Hallaron) Chapter 8
Context of this Lecture

Second half of the course

<table>
<thead>
<tr>
<th>Previously</th>
<th>Starting Now</th>
</tr>
</thead>
<tbody>
<tr>
<td>C Language</td>
<td>Application Program</td>
</tr>
<tr>
<td>Assembly Language</td>
<td>Operating System</td>
</tr>
<tr>
<td>Machine Language</td>
<td>Hardware</td>
</tr>
</tbody>
</table>

language levels tour

service levels tour
Goals of this Lecture

Help you learn about:

• The process concept
• Exceptions
• … and thereby…
• How operating systems work
• How application programs interact with operating systems and hardware
Agenda

Processes

Illusion: Private address space

Illusion: Private control flow

Exceptions
Processes

Program
• Executable code
• A static entity

Process
• An instance of a program in execution
• A dynamic entity: has a time dimension
• Each process runs one program
  • E.g. process 12345 might be running emacs
• One program can run in multiple processes
  • E.g. Process 12345 might be running emacs, and process 54321 might also be running emacs – for the same user or for different users
Processes Significance

Process abstraction provides application pgms with two key illusions:

- Private address space
- Private control flow

Process is a profound abstraction in computer science
Agenda

Processes

**Illusion: Private address space**

**Illusion: Private control flow**

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

- Enables multiple simultaneous instances of one program!
Private Address Space: Reality

Memory is divided into pages

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

Question:
• How do the CPU and OS implement the illusion of private address space?
• That is, how do the CPU and OS implement virtual memory?

Answer:
• Page tables: “directory” mapping virtual to physical addresses
• Page faults
• Overview now, details next lecture…
Private Address Space Example 1

- Process executes instruction that references virtual memory
- CPU determines virtual page
- CPU checks if required virtual page is in physical memory: yes
- CPU does load/store from/to physical memory
Private Address Space Example 2

- Process executes instruction that references virtual memory
- CPU determines virtual page
- CPU checks if required virtual page is in physical memory: no!
  - CPU generates page fault
  - OS gains control of CPU
  - OS (potentially) evicts some page from physical memory to disk, loads required page from disk to physical memory
  - OS returns control of CPU to process – to same instruction
- Process executes instruction that references virtual memory
- CPU checks if required virtual page is in physical memory: yes
- CPU does load/store from/to physical memory

Virtual memory enables the illusion of private address spaces
Q: What effect does virtual memory have on the performance and security of processes?

A. Increases performance, increases security
B. Decreases performance, increases security
C. Increases performance, decreases security
D. Decreases performance, decreases security
Agenda

Processes

Illusion: Private address space

Illusion: Private control flow

Exceptions
Private Control Flow: Illusion

Simplifying assumption: only one CPU / core

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

Multiple processes are time-sliced to run concurrently.

OS occasionally preempt running process to give other processes their fair share of CPU time.
More specifically...

At any time a process has **status**:

- **Running**: CPU is executing instructions for the process
- **Ready**: Process is ready for OS to assign it to the CPU
- **Blocked**: Process is waiting for some requested service (typically I/O) to finish
**Process Status Transitions**

**Scheduled for execution**: OS selects some process from ready set and assigns CPU to it

**Time slice expired**: OS moves running process to ready set because process consumed its fair share of CPU time

**Service requested**: OS moves running process to blocked set because it requested a (time consuming) system service (often I/O)

**Service finished**: OS moves blocked process to ready set because the requested service finished

* Preempting transition
Throughout its lifetime a process’s status switches between running, ready, and blocked.
Question:
• How do CPU and OS implement the illusion of private control flow?
• That is, how to CPU and OS implement process status transitions?

Answer (Part 1):
• Contexts and context switches…
Each process has a **context**

- The process’s state, that is…
- Register contents
  - RIP, EFLAGS, RDI, RSI, etc. registers
- Memory contents
  - TEXT, RODATA, DATA, BSS, HEAP, and STACK
Context Switch

Context switch:
- OS saves context of running process
- OS loads context of some ready process
- OS passes control to newly restored process
Aside: Process Control Blocks

Question:
• Where does OS save a process’s context?

Answer:
• In its process control block (PCB)

Process control block (PCB)
• A data structure
• Contains all data that OS needs to manage the process
### Aside: Process Control Block Details

**Process control block (PCB):**

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Unique integer assigned by OS when process is created</td>
</tr>
<tr>
<td>Status</td>
<td>Running, ready, or waiting</td>
</tr>
<tr>
<td>Hierarchy</td>
<td>ID of parent process</td>
</tr>
<tr>
<td></td>
<td>ID of child processes (if any)</td>
</tr>
<tr>
<td></td>
<td>(See <em>Process Management</em> Lecture)</td>
</tr>
<tr>
<td>Priority</td>
<td>High, medium, low</td>
</tr>
<tr>
<td>Time consumed</td>
<td>Time consumed within current time slice</td>
</tr>
<tr>
<td>Context</td>
<td>When process is not running...</td>
</tr>
<tr>
<td></td>
<td>Contents of all registers (In principle) contents of all of memory</td>
</tr>
<tr>
<td>Etc.</td>
<td></td>
</tr>
</tbody>
</table>
Context Switch Efficiency

Observation:
• During context switch, OS must:
  • Save context (register and memory contents) of running process to its PCB
  • Restore context (register and memory contents) of some ready process from its PCB

Question:
• Isn’t that very expensive (in terms of time and space)?
Answer:

• Not really!
• During context switch, OS **does** save/load **register** contents
  • But there are few registers
• During context switch, OS **does not** save/load **memory** contents
  • Each process has a **page table** that maps virtual memory pages to physical memory pages
  • During context switch, OS tells hardware to start using a different process’s page tables
• See **Virtual Memory** lecture
Question:
• How do CPU and OS implement the illusion of private control flow?
• That is, how do CPU and OS implement process status transitions?
• That is, how do CPU and OS implement context switches?

Answer (Part 2):
• Context switches occur while the OS handles exceptions…
Agenda

Processes
Illusion: Private address space
Illusion: Private control flow
Exceptions
Exceptions

Exception

• An abrupt change in control flow in response to a change in processor state
Synchronous Exceptions

Some exceptions are synchronous
  • Occur as result of actions of executing program
  • Examples:
    • **System call:** Application requests I/O
    • **System call:** Application requests more heap memory
    • Application pgm attempts integer division by 0
    • Application pgm attempts to access privileged memory
    • Application pgm accesses variable that is not in physical memory
Asynchronous Exceptions

Some exceptions are **asynchronous**

- Do not occur (directly) as result of actions of executing program
- Examples:
  - User presses key on keyboard
  - Disk controller finishes reading data
  - Hardware timer expires
Note:

Exceptions in OS ≠ exceptions in Java

Implemented using try/catch and throw statements
Exceptional Control Flow

Application program

Exception handler in operating system

exception

exception return (sometimes)

exception handler
Exceptions vs. Function Calls

Handling an exception is similar to calling a function
- CPU pushes arguments onto stack
- Control transfers from original code to other code
- Other code executes
- Control returns to some instruction in original code

Handling an exception is different from calling a function
- CPU pushes additional data onto stack
  - E.g. values of all registers
- CPU pushes data onto OS’s stack, not application pgm’s stack
- Handler runs in kernel/privileged mode, not in user mode
  - Handler can execute all instructions and access all memory
- Control might return to some instruction in original code
  - Sometimes control returns to next instruction
  - Sometimes control returns to current instruction
  - Sometimes control does not return at all!
Classes of Exceptions

There are 4 classes of exceptions…
(1) Interrupts

**Occurs when:** External (off-CPU) device requests attention

**Examples:**
- User presses key
- Disk controller finishes reading/writing data
- Hardware timer expires
(2) Traps

**Occurs when:** Application pgm requests OS service

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

Traps provide a function-call-like interface between application pgm and OS
(3) Faults

**Occurs when:** Application pgm causes a (possibly recoverable) error

**Examples:**
- Application pgm divides by 0
- Application pgm accesses privileged memory (seg fault)
- Application pgm accesses data that is not in physical memory (page fault)
(4) Aborts

**Occurs when:** HW detects a non-recoverable error

**Example:** Parity check indicates corruption of memory bit (overheating, cosmic ray!, etc.)
## Summary of Exception Classes

<table>
<thead>
<tr>
<th>Class</th>
<th>Occurs when</th>
<th>Asynch /Synch</th>
<th>Return Behavior</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Interrupt</strong></td>
<td>External device requests attention</td>
<td>Asynch</td>
<td>Return to next instr</td>
</tr>
<tr>
<td><strong>Trap</strong></td>
<td>Application pgm requests OS service</td>
<td>Sync</td>
<td>Return to next instr</td>
</tr>
<tr>
<td><strong>Fault</strong></td>
<td>Application pgm causes (maybe recoverable) error</td>
<td>Sync</td>
<td>Return to current instr (maybe)</td>
</tr>
<tr>
<td><strong>Abort</strong></td>
<td>HW detects non-recoverable error</td>
<td>Sync</td>
<td>Do not return</td>
</tr>
</tbody>
</table>
Aside: Traps in x86-64 Processors

To execute a trap, application program should:

- Place number in RAX register indicating desired OS service
- Place arguments in RDI, RSI, RDX, RCX, R8, R9 registers
- Execute assembly language instruction `syscall`

Example: To request change in size of heap section of memory (see Dynamic Memory Management lecture)…

```
movq $12, %rax
movq $newAddr, %rdi
syscall
```

Place 12 (change size of heap section) in RAX
Place new address of end of heap in RDI
Execute trap
Aside: System-Level Functions

Traps are wrapped in **system-level functions**

- Part of C library, but not portable to other OS-es

Example: To change size of heap section of memory…

```c
/* unistd.h */
int brk(void *addr);

/* unistd.s */
brk:  movq $12, %rax
     movq $newAddr, %rdi
     syscall
     ret

/* client.c */
...
brk(newAddr);
...
```

**brk()** is a system-level function

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

See Appendix for some Linux system-level functions
Exceptions and Context Switches

Process X  OS  Process Y

Exception → Return from exception → Exception → Return from exception → Exception → Return from exception

Context switches occur while OS is handling exceptions.
Exceptions and Context Switches

Exceptions occur frequently

- Process explicitly requests OS service (trap)
- Service request fulfilled (interrupt)
- Process accesses VM page that is not in physical memory (fault)
- Etc.
- … And if none of them occur for a while …
- Expiration of hardware timer (interrupt)

Whenever OS gains control of CPU via exception…

It has the option of performing context switch
Private Control Flow Example 1

- Process X is running
- Hardware clock generates interrupt
- OS gains control of CPU
- OS examines “time consumed” field of process X’s PCB
- OS decides to do context switch
  - OS saves process X’s context in its PCB
  - OS sets “status” field in process X’s PCB to ready
  - OS adds process X’s PCB to the ready set
  - OS removes process Y’s PCB from the ready set
  - OS sets “status” field in process Y’s PCB to running
  - OS loads process Y’s context from its PCB
- Process Y is running
Private Control Flow Example 2

- Process Y is running
- Process Y executes trap to request read from disk
- OS gains control of CPU
- OS decides to do context switch
  - OS saves process Y’s context in its PCB
  - OS sets “status” field in process Y’s PCB to blocked
  - OS adds process Y’s PCB to the blocked set
  - OS removes process X’s PCB from the ready set
  - OS sets “status” field in process X’s PCB to running
  - OS loads process X’s context from its PCB
- Process X is running
Private Control Flow Example 3

- Process X is running
- Read operation requested by process Y completes => disk controller generates interrupt
- OS gains control of CPU
- OS sets “status” field in process Y’s PCB to ready
- OS moves process Y’s PCB from the blocked list to the ready list
- OS examines “time consumed within slice” field of process X’s PCB
- OS decides not to do context switch
- Process X is running
Private Control Flow Example 4

• Process X is running
• Process X accesses memory, generates page fault
• OS gains control of CPU
• OS evicts page from memory to disk, loads referenced page from disk to memory
• OS examines “time consumed” field of process X’s PCB
• OS decides not to do context switch
• Process X is running

Exceptions enable the illusion of private control flow
Summary

**Process**: An instance of a program in execution

- CPU and OS give each process the illusion of:
  - Private address space
  - Reality: *virtual memory*
  - Private control flow
  - Reality: *Concurrency, preemption, and context switches*
- Both illusions are implemented using exceptions

**Exception**: an abrupt change in control flow

- **Interrupt**: asynchronous; e.g. I/O completion, hardware timer
- **Trap**: synchronous; e.g. app pgm requests more heap memory, I/O
- **Fault**: synchronous; e.g. seg fault, page fault
- **Abort**: synchronous; e.g. failed parity check
### 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>
<tbody>
<tr>
<td>0</td>
<td>read()</td>
<td>Read data from file descriptor; called by getchar(), scanf(), etc.</td>
</tr>
<tr>
<td>1</td>
<td>write()</td>
<td>Write data to file descriptor; called by putchar(), printf(), etc.</td>
</tr>
<tr>
<td>2</td>
<td>open()</td>
<td>Open file or device; called by fopen()</td>
</tr>
<tr>
<td>3</td>
<td>close()</td>
<td>Close file descriptor; called by fclose()</td>
</tr>
<tr>
<td>85</td>
<td>creat()</td>
<td>Open file or device for writing; called by fopen(…, &quot;w&quot;)</td>
</tr>
<tr>
<td>8</td>
<td>lseek()</td>
<td>Position file offset; called by fseek()</td>
</tr>
</tbody>
</table>

Described in *I/O Management* lecture
## Appendix: System-Level Functions

### Linux system-level functions for process management

<table>
<thead>
<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>60</td>
<td>exit()</td>
<td>Terminate the current process</td>
</tr>
<tr>
<td>57</td>
<td>fork()</td>
<td>Create a child process</td>
</tr>
<tr>
<td>7</td>
<td>wait()</td>
<td>Wait for child process termination</td>
</tr>
<tr>
<td>11</td>
<td>execvp()</td>
<td>Execute a program in the current process</td>
</tr>
<tr>
<td>20</td>
<td>getpid()</td>
<td>Return the process id of the current process</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>32</td>
<td>dup()</td>
<td>Duplicate an open file descriptor</td>
</tr>
<tr>
<td>22</td>
<td>pipe()</td>
<td>Create a channel of communication between processes</td>
</tr>
</tbody>
</table>

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

**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>12</td>
<td>brk()</td>
<td>Move the program break, thus changing the amount of memory allocated to the HEAP</td>
</tr>
<tr>
<td>12</td>
<td>sbrk()</td>
<td>(Variant of previous)</td>
</tr>
<tr>
<td>9</td>
<td>mmap()</td>
<td>Map a virtual memory page</td>
</tr>
<tr>
<td>11</td>
<td>munmap()</td>
<td>Unmap a virtual memory page</td>
</tr>
</tbody>
</table>

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

Linux system-level functions for **signal handling**

<table>
<thead>
<tr>
<th>Number</th>
<th>Function</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>37</td>
<td>alarm()</td>
<td>Deliver a signal to a process after a specified amount of wall-clock time</td>
</tr>
<tr>
<td>62</td>
<td>kill()</td>
<td>Send signal to a process</td>
</tr>
<tr>
<td>13</td>
<td>sigaction()</td>
<td>Install a signal handler</td>
</tr>
<tr>
<td>38</td>
<td>setitimer()</td>
<td>Deliver a signal to a process after a specified amount of CPU time</td>
</tr>
<tr>
<td>14</td>
<td>sigprocmask()</td>
<td>Block/unblock signals</td>
</tr>
</tbody>
</table>

Described in *Signals* lecture