One of the survivors, poking around in the ruins with the point of a spear, uncovers a singed photo of Richard Stallman. They stare in silence. "This," one of them finally says, "This is a man who BELIEVED in something."
Today’s Goals

• Broad strokes: processes, resources, and protection

• Terminology (kernel, interrupts, traps, system calls, exceptions, ...)

• Operating system structure and design patterns
Kernel vs. Userspace: Terminology

• “OS” & “Kernel” - interchangeable in this course

• Compiled Linux kernel: ~5-10 MB

• Fully installed system - a few GB
  • Most of this is user-level programs that get executed as processes
  • System utilities, graphical window system, shell, text editor, etc.
Primary Abstraction: The Process

• Abstraction of a running program
  • a dynamic “program in execution”

• Program: blueprint
• Process: constructed building

• Program: class
• Process: instance
Basic Process Resources

1. CPU Time – execute a stream of instructions

2. Main memory storage – store variables / scratch space

3. Input/Output (I/O) – interact with the outside world

4. Also: State (metadata) bookkeeping – kernel data structures
   • Programmer / user doesn’t see this
   • Details next time...
Process Resource: CPU Time

• CPU: Central Processing Unit

• PC points to next instruction

• CPU loads instruction, decodes it, executes it, stores result

• Process “given” CPU by OS
  • Mechanism: context switch
  • Policy: CPU scheduling

Required for process to execute and make progress!
Process Resource: Main Memory

- Process must store:
  - Text: code instructions
  - Data: static (known at compile time) variables
  - Heap: dynamically requested memory at runtime (malloc, new, etc.)
  - Stack: store local variables and compiler-generated function call state (e.g., saved registers)

Required for process to store instructions (+data)!

Diagram showing layers of memory: Operating system, Text, Data, Heap, Stack.
Process Resource: I/O

• Allows processes to interact with a variety of devices (i.e., everything that isn’t a CPU or main memory).

• Enables files, communication, human interaction, etc.

• Learn about or change the state of the outside world.
Reminder

1. Solo vote (quiet)

2. Small group discussion & group vote (loud)

3. Class discussion
Is I/O a requirement for processes?

A. Yes

B. No
Is the kernel a process? Should it be? Could it be?

A. Yes it is, and it should be.
B. Yes it is, but it shouldn’t be.
C. No it isn’t, but it should be.
D. No it isn’t, and it can’t be.
E. Something else
OS Kernel

• Many styles / ways to structure a kernel

• Unless we say otherwise: assume the OS is not a process!
  • It’s a special management entity
  • It supports the user’s processes, but is a special case with different needs

• The OS might create some processes to help itself out
  • e.g., Linux flushes buffered data to disks periodically
  • Other OS styles: kernel processes take a larger role, but still a “core” kernel
Kernel vs. Userspace: Model

- Kernel
  - System Calls
    - fork
    - read
    - write
  - System Management
    - Context Switching
    - Scheduling

- Userspace
  - Processes (1 to N)
    - OS
      - Text
      - Data
      - Heap
      - Stack

Kernel vs. Userspace: Model

- **Process 1**
  - OS
  - Text
  - Data
  - Heap
  - Stack

- **Process 2**
  - OS
  - Text
  - Data
  - Heap
  - Stack

- **Process N**
  - OS
  - Text
  - Data
  - Heap
  - Stack

**Code:** System Calls
- fork
- read
- write

**Kernel**
- System Management
- Context Switching
- Scheduling

**Data:**
How/When should the OS Kernel’s code execute?

A. The kernel code is always executing.
B. The kernel code executes when a process asks it to.
C. The kernel code executes when the hardware needs it to.
D. The kernel code should execute as little as possible.
E. The kernel code executes at some other time(s).
Same Question, Different Resource

• “How much of the system’s memory should the OS use?”

• Hopefully not much… just enough to get its work done.

• Leave the rest for the user!
OS: Taking Control of the CPU

• The terminology here is, unfortunately, muddy.

1. System call – user requests service from the OS

2. Exception – user process has done something that requires help

3. (Hardware) interrupt – a device needs attention from the OS

System call often implemented as a special case of exception: execute intentional exception-generating instruction.
Why make system calls?

A. Performance: Kernel code executes faster / saves time.

B. Security: Programs can’t use kernel code or devices in unintended ways.

C. Usability: Kernel code is easier / adds value for programmers to use.

D. More than one of the above. (Which?)

E. Some other reason(s).
Common Functionality

• Some functions useful to many programs
  • I/O device control
  • Memory allocation

• Place these functions in kernel
  • Called by programs (system calls)
  • Or accessed implicitly as needed (exceptions)

• What should these functions be?
  • How many programs should benefit?
  • Might kernel get too big?
How about a function like `printf()`?

A. `printf()` is a system call (why?)

B. `printf()` is not a system call (why not, what is it?)

- Some functions useful to many programs
  - I/O device control
  - Memory allocation

- Place these functions in kernel
  - Called by programs (system calls)
  - Or accessed implicitly as needed (exceptions)

- What should these functions be?
  - How many programs should benefit?
  - Might kernel get too big?
System Calls in Practice

• Often hidden from user by libraries (e.g., libc) for convenience
  • printf: performs a write() system call, but handles variable-length arguments
  • “raw” syscall does as little as possible. write(): move (already formatted) data

• How can you tell if a function is a syscall or belongs to a library?
  • Man page section number: 2 – syscall, 3 – library
  • Follow the trail of included header files
SySCALL PROTECTION FEATURES

- Small syscalls: minimize attack “surface area” in trusted kernel code.

- Hardware mode: x86 / amd64 “rings”
Sysscall Protection Features

• Small syscalls: minimize attack “surface area” in trusted kernel code.

• Hardware mode: x86 / amd64 “rings”
Sysscall Protection Features

- Small syscalls: minimize attack “surface area” in trusted kernel code.
- Hardware mode: x86 / amd64 “rings”
- Privileged instructions
- Well-defined syscall entry points
  - “amplify” power, switch mode to ring 0
Syccall Entry vs. Userspace Function Call

• syscall behavior is different from userspace code, where to execute a new function we just specify which instruction to jump to.

<table>
<thead>
<tr>
<th>Instruction</th>
<th>Description</th>
<th>Userspace instructions (from CS 31):</th>
</tr>
</thead>
</table>
| pushl       | Create space on the stack and place the source there. | pushl $4, %esp
movl src, (%esp) |
| poopl       | Remove the top item off the stack and store it at the destination. | movl (%esp), dst
addl $4, %esp |
| call        | 1. Push return address on stack 2. Jump to start of function | push %eip
jmp target |
| leave       | Prepare the stack for return (restoring caller’s stack frame) | movl %ebp, %esp
poopl %ebp |
| ret         | Return to the caller, PC ← saved PC (pop return address off the stack into PC (eip)) | poopl %eip |
SySCALL Entry Points

• Switching into the kernel means we guarantee kernel code will start running at a fixed point in the code – the beginning of a function.

• Guarantees we will run an entire function, not just some part of it (your userspace process is no longer in control of the CPU).
Making a System Call

• Each system call has a unique number. OS keeps a table.

<table>
<thead>
<tr>
<th>Syscall Number</th>
<th>Syscall Name</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>read</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>write</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>open</td>
<td></td>
</tr>
<tr>
<td>...</td>
<td></td>
<td></td>
</tr>
<tr>
<td>57</td>
<td>fork</td>
<td></td>
</tr>
<tr>
<td>...</td>
<td></td>
<td></td>
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</table>
Making a System Call

- Each system call has a unique number. OS keeps a table.

To make a system call:

1. place desired syscall number in the agreed-upon location (e.g., register).
2. initiate system call (special instruction – often intentional exception).

<table>
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Structure of a Kernel

- Simple (MS-DOS, early UNIX)
- Monolithic + Modules (Linux, Windows 9x)
- Microkernel (Mach)
- Hybrid (Windows NT, XNU/OS X)
Structure of a Kernel

- Simple (MS-DOS, early UNIX)
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There is no one-size-fits-all solution!
Simple (MS-DOS)

User Application

System Programs

MS-DOS Device Drivers

BIOS Device Drivers
What’s problematic about this simple model?

A. Insecure

B. Inefficient

C. Hard to add functionality

D. More than one of the above

E. Something else
What’s problematic about this simple model?

A. Insecure

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E. Something else

Solution: add the protection features we talked about earlier (or something similar)!

Most importantly: Limit user’s entry into important stuff.

But...where should the important stuff go?
Monolithic – without modules

OS Kernel:
- Signal handling
- I/O system
- Terminal drivers
- File system
- Swapping
- Device drivers
- Scheduling
- Page replacement
- Virtual memory

Problem: How many devices are you planning to support...?
Modular Monolithic (Linux)

OS Kernel (core services):
- Signal handling
- I/O system
- Swapping
- Scheduling
- Page replacement
- Virtual memory

Suppose user plugs in USB drive.

file system: ext4
device driver: USB disk
file system: fat32

Hardware
Modular Monolithic (Linux)

OS Kernel (core services):
- Signal handling
- I/O system
- Swapping
- Scheduling
- Page replacement
- Virtual memory

Advantage: easily extensible. Can have lots of modules ready, only use the ones you need!

Drawback: still one giant kernel.

file system: ext4
device driver: USB disk
file system: fat32
Microkernel

• Kernel supports as little as possible:
  • message-passing (communication between processes)
  • process / “task” management
  • memory allocation

• All other functionality delegated to user level processes
Microkernel

Minimal OS Kernel (core services): inter-process communication, scheduling, virtual memory

Processes communicate with each other to get / provide services.

Important system functionality implemented in userspace processes.

Minimal OS Kernel (core services): inter-process communication, scheduling, virtual memory

Hardware
Microkernel

• Kernel supports as little as possible:
  • message-passing (communication between processes)
  • process / “task” management
  • memory allocation

• All other functionality delegated to user level processes

• Benefits: Strong isolation between services, less trusted kernel code.
What’s problematic about microkernels?

A. Insecure

B. Inefficient

C. Hard to add functionality

D. More than one of the above

E. Something else

Problem: LOTS of transitioning between userspace and the kernel.

We’ll see: not a trivial operation...
Of the choices we’ve seen so far, which do you like best / would you choose if you built an OS? Why?

A. Simple  

B. Monolithic

C. Monolithic + modules

D. Microkernel

E. Something else (?)  

See:  
https://en.wikipedia.org/wiki/Tanenbaum%E2%80%93Torvalds_debate
Hybrid Kernels

• NT Kernel (Used in modern Windows)
  • Divided into modules
  • Modules communicate via function calls or messaging
  • Almost all modules run in kernel mode
  • Some application system services run in user mode

• Graphics example:
  • Graphics driver moved around a couple of times
  • Initially -> Userspace process for isolation
  • Later -> back to kernel for performance reasons
Hybrid Kernels

- XNU (OS X)
  - Combines Mach (classic microkernel) with BSD
  - Runs core Mach kernel, but with BSD subsystems and APIs added
  - Mach communicates with BSD via IPC, but everything is running in kernel mode
Recent OS Research: Arrakis (2014)

• “Applications have direct access to virtualized I/O devices, allowing most I/O operations to skip the kernel entirely . . .”

• Takes advantage of hardware support for virtualizing I/O devices (meant for performance speedups in virtual machines) in order to guarantee protection
Summary

• Important distinction: userspace vs. the OS kernel

• We don’t want the OS using resources, but it has to when it gets a system call, exception, or hardware interrupt.

• Transition to kernel amplifies power, allows privileged instructions

• Many patterns for structuring a kernel, each has merits and drawbacks
  • monolithic, microkernel, hybrid