

# Four Fundamental OS Concepts

Lecture 2

Hartmut Kaiser

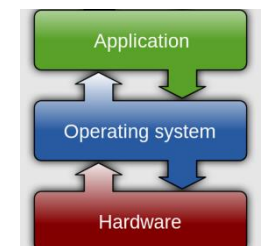
<https://teaching.hkaiser.org/spring2025/csc4103/>

# Administrivia



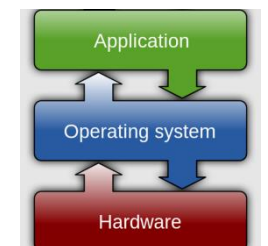
# Homework and Early Drop Deadline

- Assignment 0: due January 27<sup>th</sup>, 11:59pm
- Project 0: due February 17<sup>th</sup>, 11:59pm
- You should be working on both already!
  - Get familiar with all the CSC4103 tools, set up environment, submitting to autograder via git
- Early drop deadline: January 27<sup>th</sup>



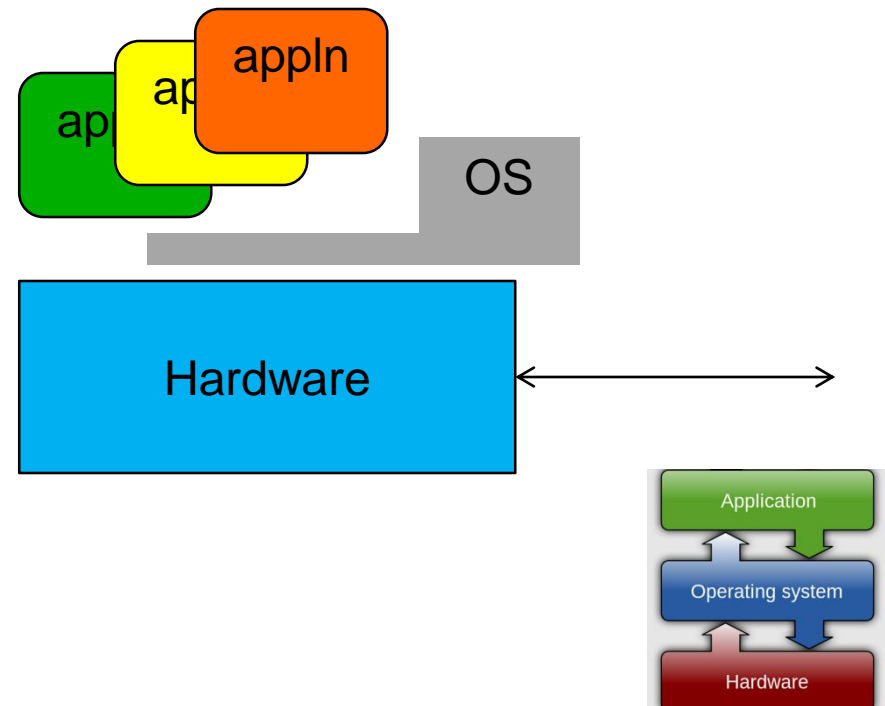
# Group Projects are Looming

- Group Formation is due Wednesday January 29<sup>th</sup>
  - Send email with preferences, each group will consist of four students (three students in exceptional cases)
  - I will assign remaining students arbitrarily
- Start working through Study Guide 0: C/x86
  - Answer all questions!



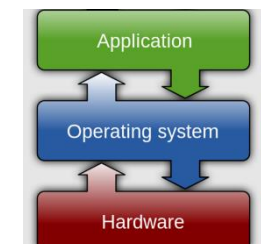
# Recall: What is an Operating System?

- Special layer of software that provides application software access to hardware resources
  - Convenient abstraction of complex hardware devices
  - Protected access to shared resources
  - Security and authentication
  - Communication



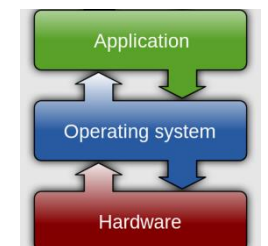
# Recall: What is an Operating System?

- Referee
  - Manage protection, isolation, and sharing of resources
    - Resource allocation and communication
- Illusionist
  - Provide clean, easy-to-use abstractions of physical resources
    - Infinite memory, dedicated machine
    - Higher level objects: files, users, messages
    - Masking limitations, virtualization
- Glue
  - Common services
    - Storage, Window system, Networking
    - Sharing, Authorization
    - Look and feel

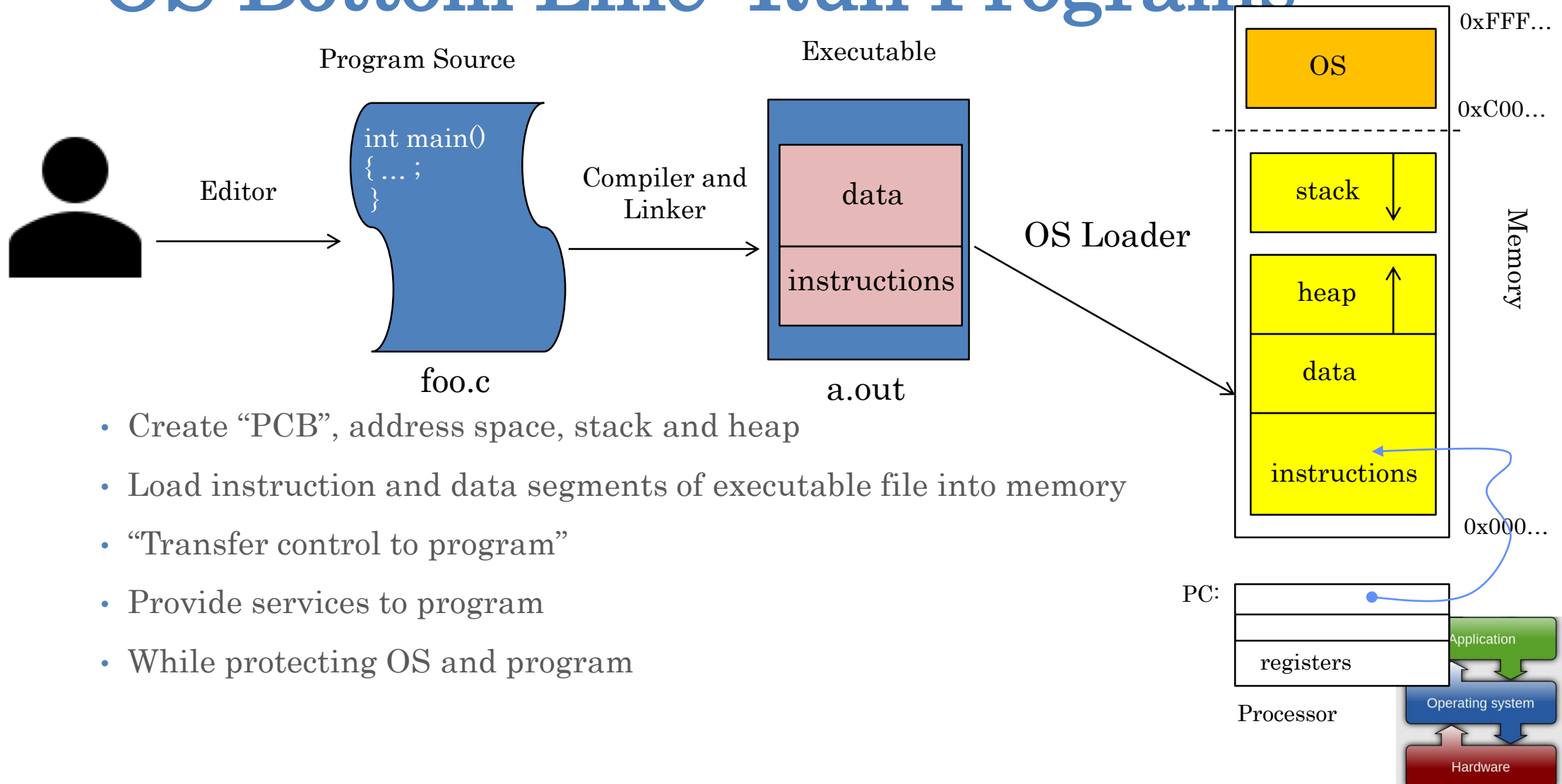


# Today: Four Fundamental OS Concepts

- **Thread**: Execution Context
  - Program Counter, Registers, Execution Flags, Stack
- **Address Space** (with Translation)
  - Program's view of memory is distinct from physical machine
- **Process**: Instance of a Running Program
  - Address space + one or more threads + ...
- **Dual-Mode Operation and Protection**
  - Only the “system” can access certain resources
  - Combined with translation, isolates programs from each other

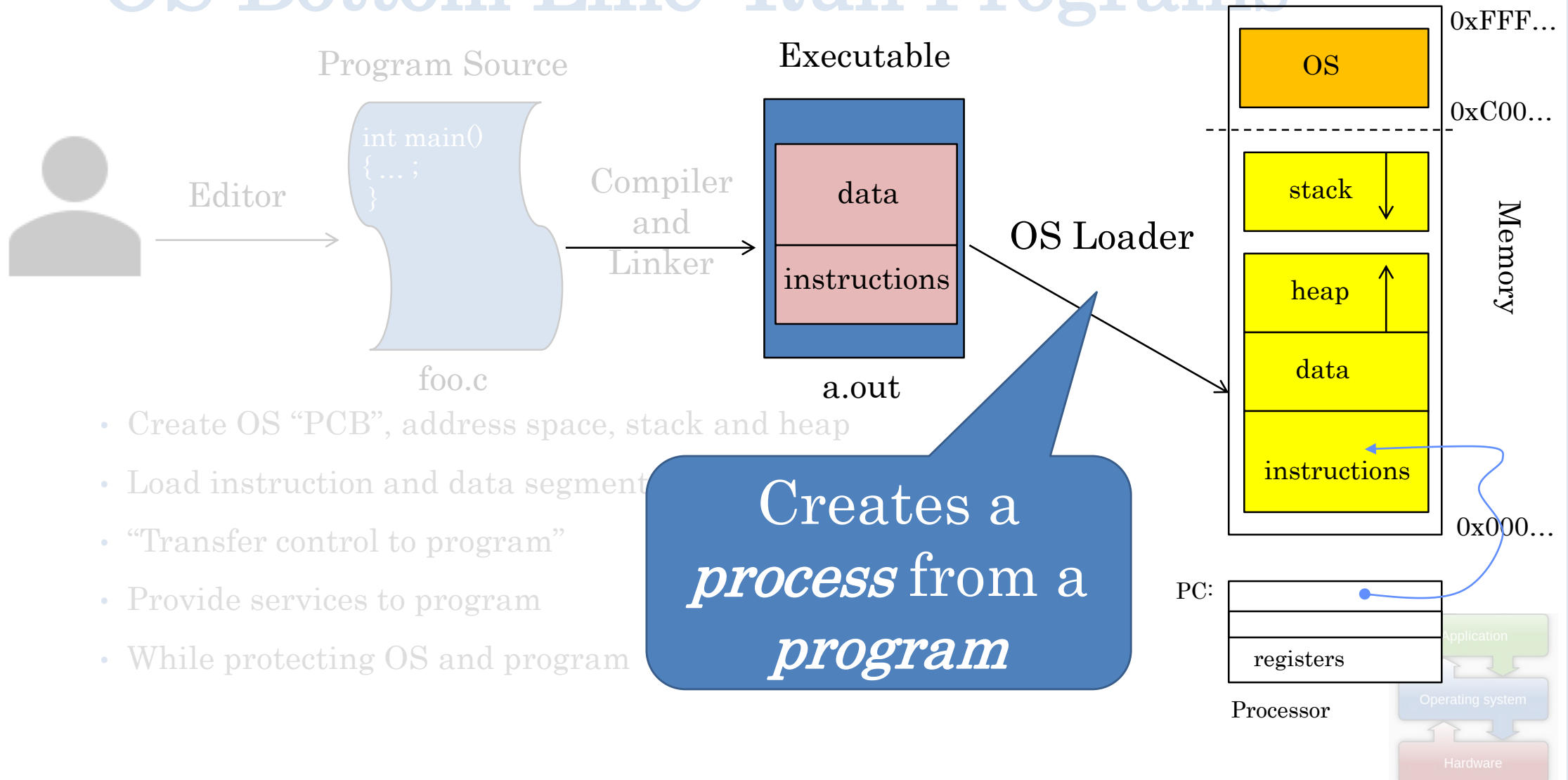


# OS Bottom Line: Run Programs

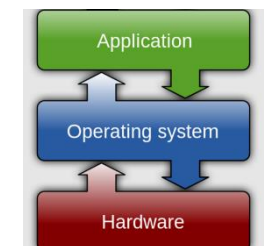
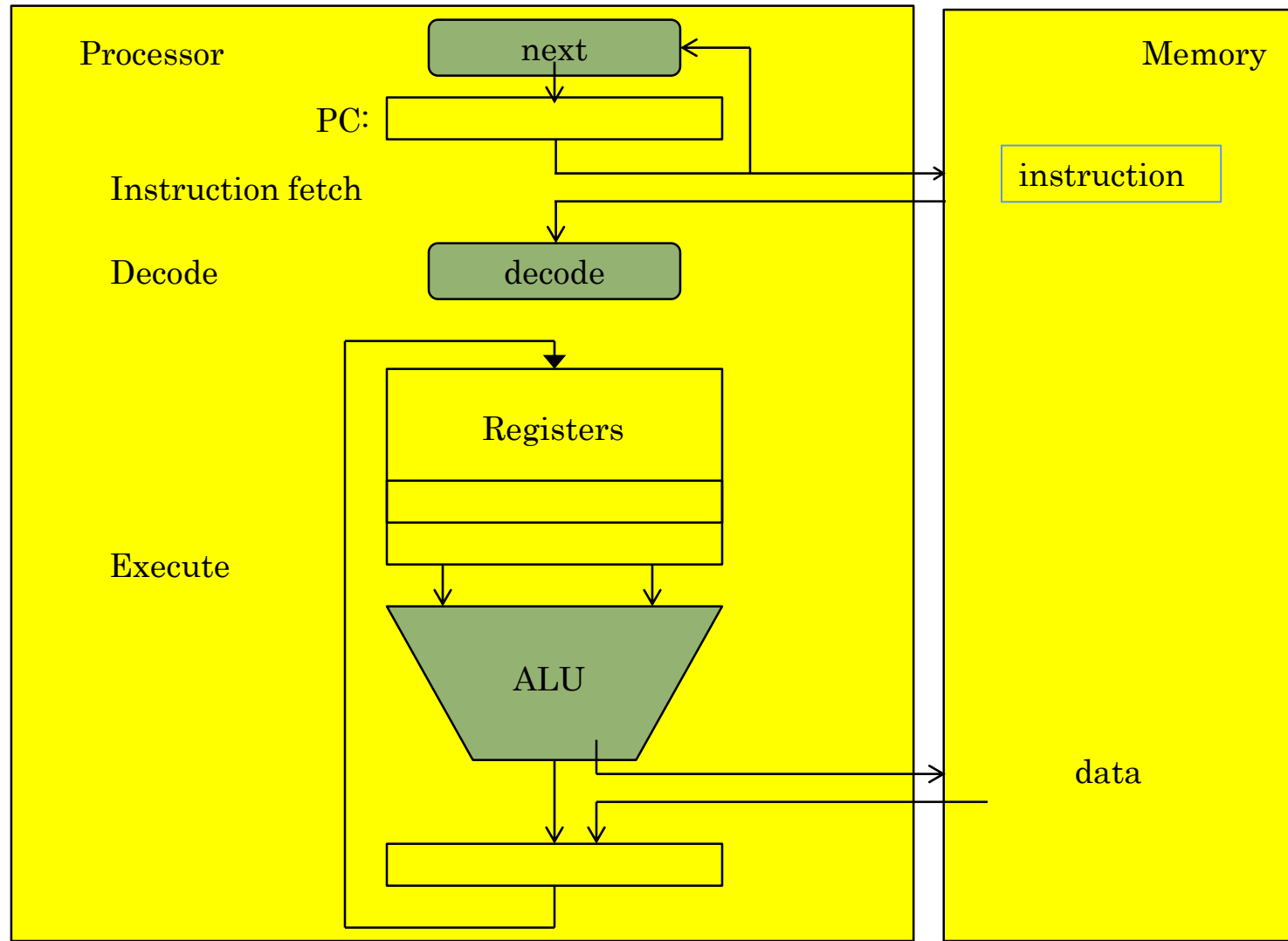




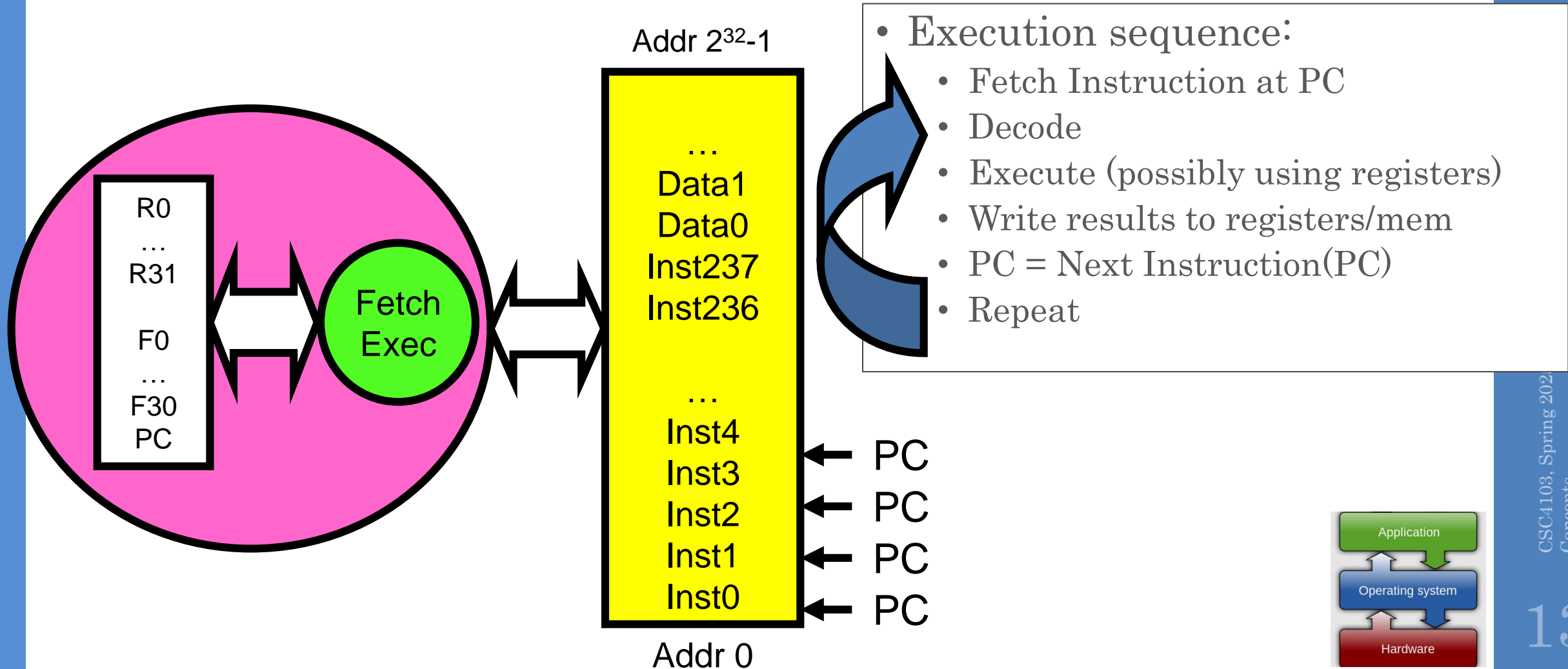
# OS Bottom Line: Run Programs



# Recall: CPU Instruction Cycle

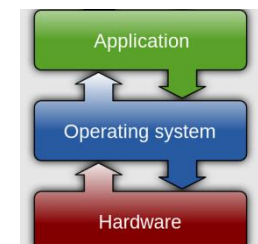


# Review: How Programs Execute



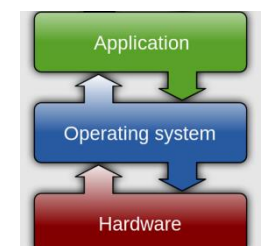
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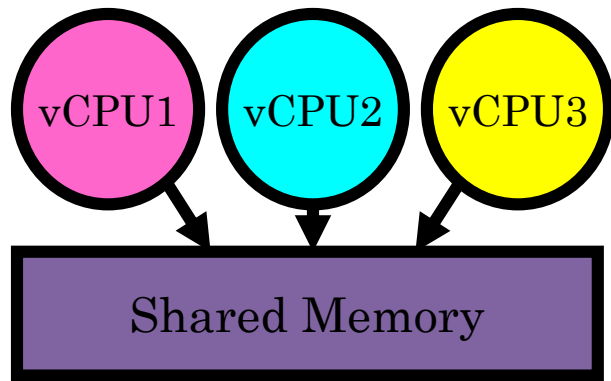


# Key OS Concept: Thread

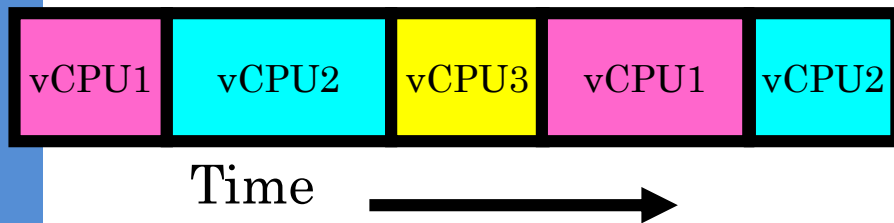
- Definition: A single, unique execution context
  - Program counter, registers, stack, execution state
- A thread is the OS abstraction for a CPU core
  - A “virtual CPU” of sorts
- Registers hold the root state of the thread:
  - Including program counter – pointer to the currently executing instruction
  - The rest is “in memory”
- Registers point to thread state in memory:
  - Stack pointer to the top of the thread’s (own) stack



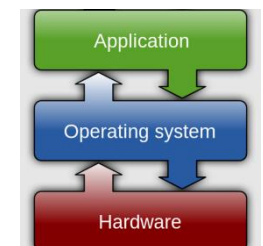
# Illusion of Multiple Processors



On a single physical CPU:

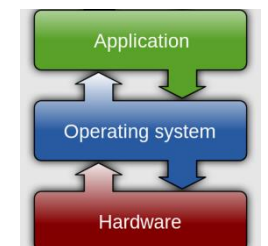


- Threads are **virtual cores**
- Multiple threads: **Multiplex** hardware in time
- A thread is *executing* on a processor when it is resident in that processor's registers
- Each virtual core (thread) has PC, SP, Registers
- Where is it?
  - On the real (physical) core, or
  - Saved in memory – called the Thread Control Block (TCB)

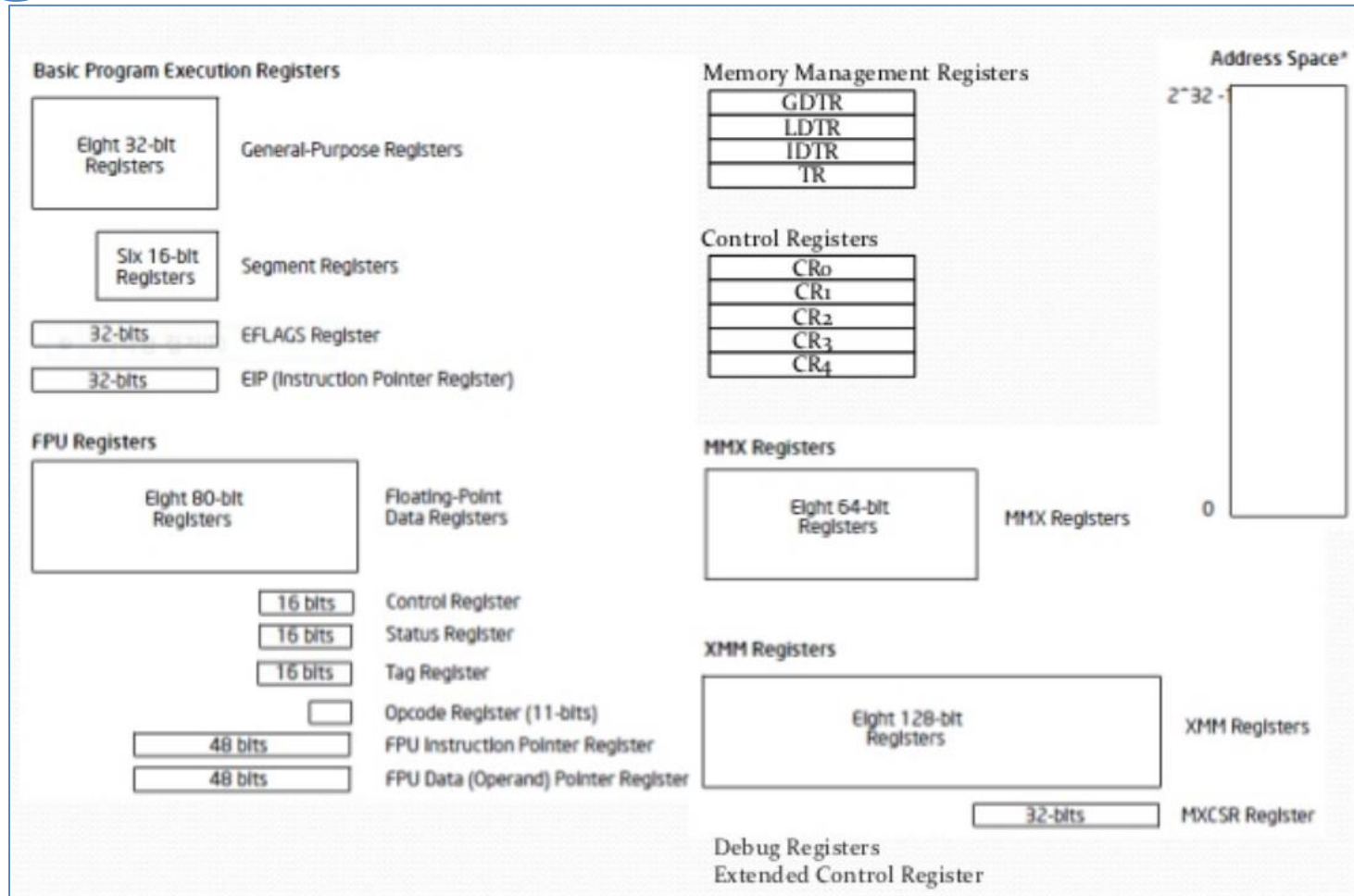


# OS Object Representing a Thread

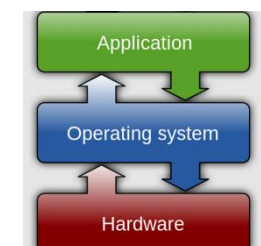
- Traditional term: Thread Control Block (TCB)
- Holds contents of registers when thread is not running...
- ... And other information the kernel needs to keep track of the thread and its state.



# Registers: x86

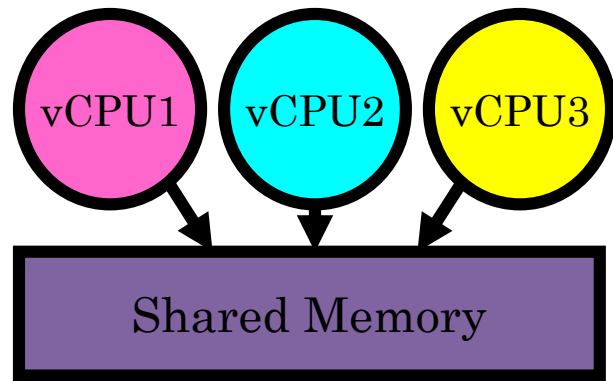


Complex memory architecture with specialized registers and “segments”



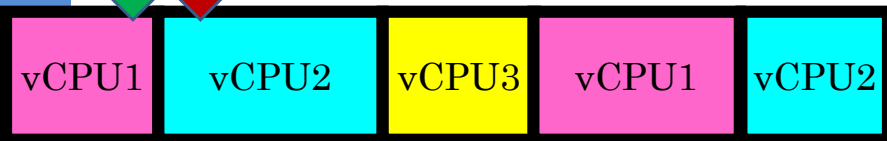


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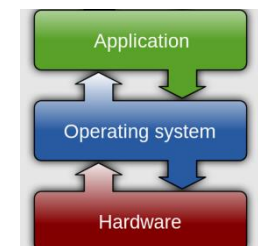
T1 T2



Time

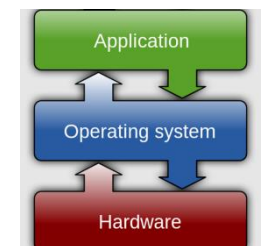


- At T1: vCPU1 on real core
- At T2: vCPU2 on real core
- What happened?
  - OS ran [how?]
  - Saved PC, SP, ... in vCPU1's thread control block
  - Loaded PC, SP, ... from vCPU2's thread control block
- This is called **context switch**



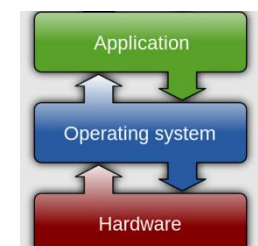
# Very Simple Multiprogramming

- All vCPUs share non-CPU resources
  - Memory, I/O Devices
- Each thread can read/write memory
  - Including data of others
  - And the OS!
- Unusable?
- This approach is used in:
  - Very early days of computing
  - Embedded applications
  - MacOS 1-9/Windows 3.1 (switch only with voluntary yield)
  - Windows 95-ME



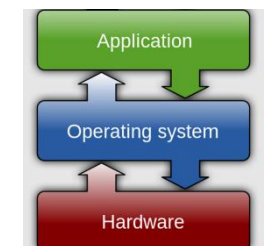
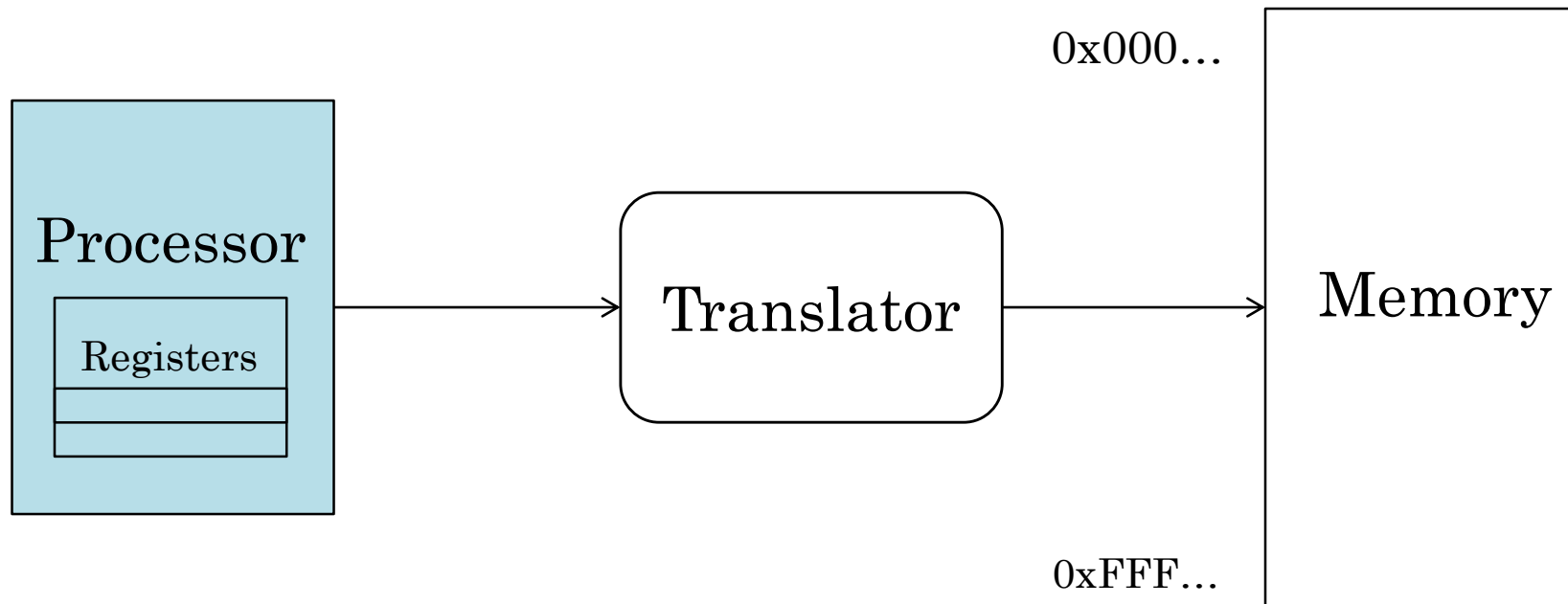
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# Key OS Concept: Address Space

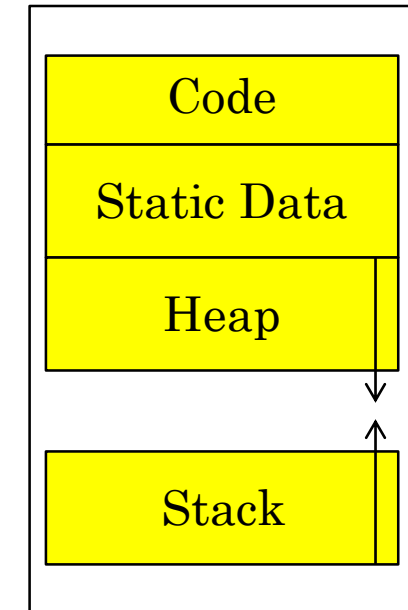
- Program operates in an address space that is distinct from the physical memory space of the machine



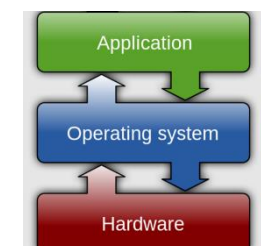
# Address Space

- Definition: Set of accessible addresses and the state associated with them
  - $2^{32} = \sim 4$  billion on a 32-bit machine
- What happens when you read or write to an address?
  - Perhaps acts like regular memory
  - Perhaps causes I/O operation
    - (Memory-mapped I/O)
  - Causes program to abort (segfault)?
  - Communicate with another program
  - ...

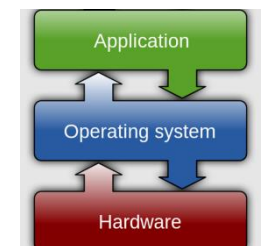
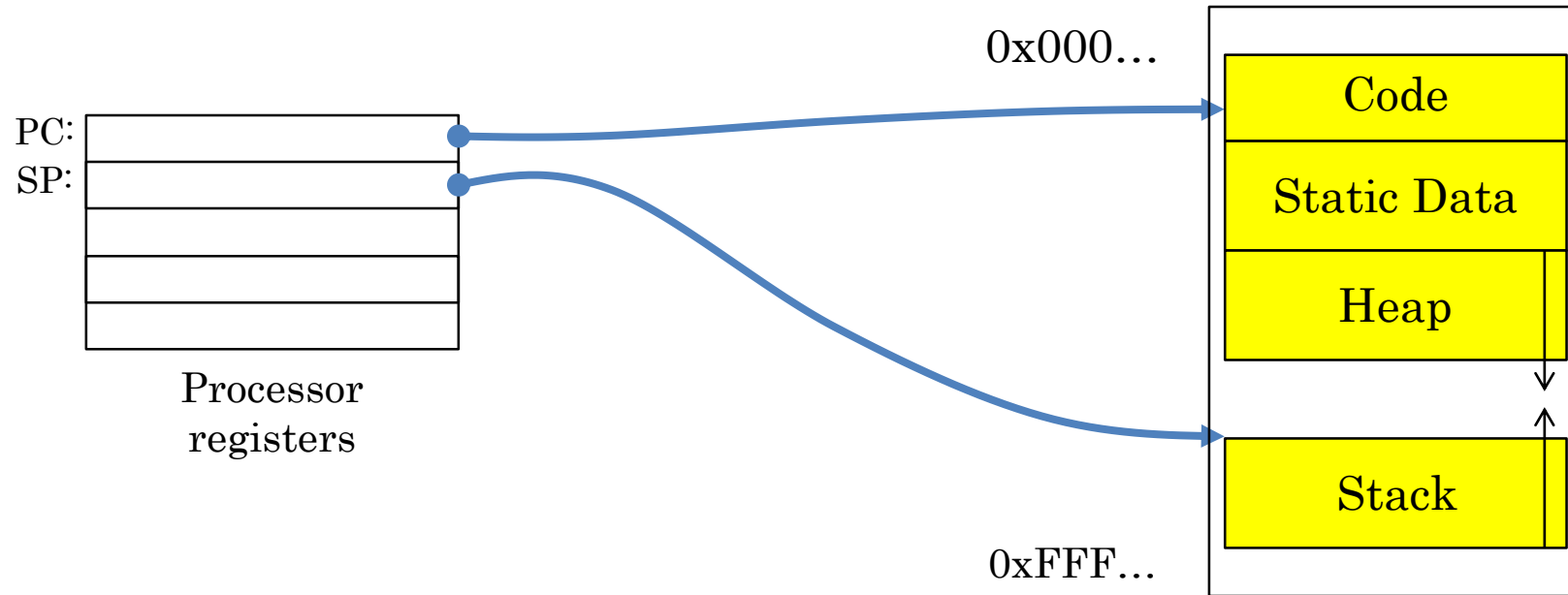
0x000...



0xFFF...

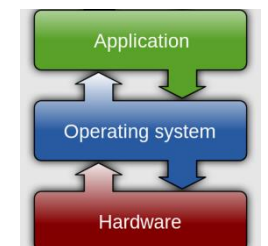


# Typical Address Space Structure



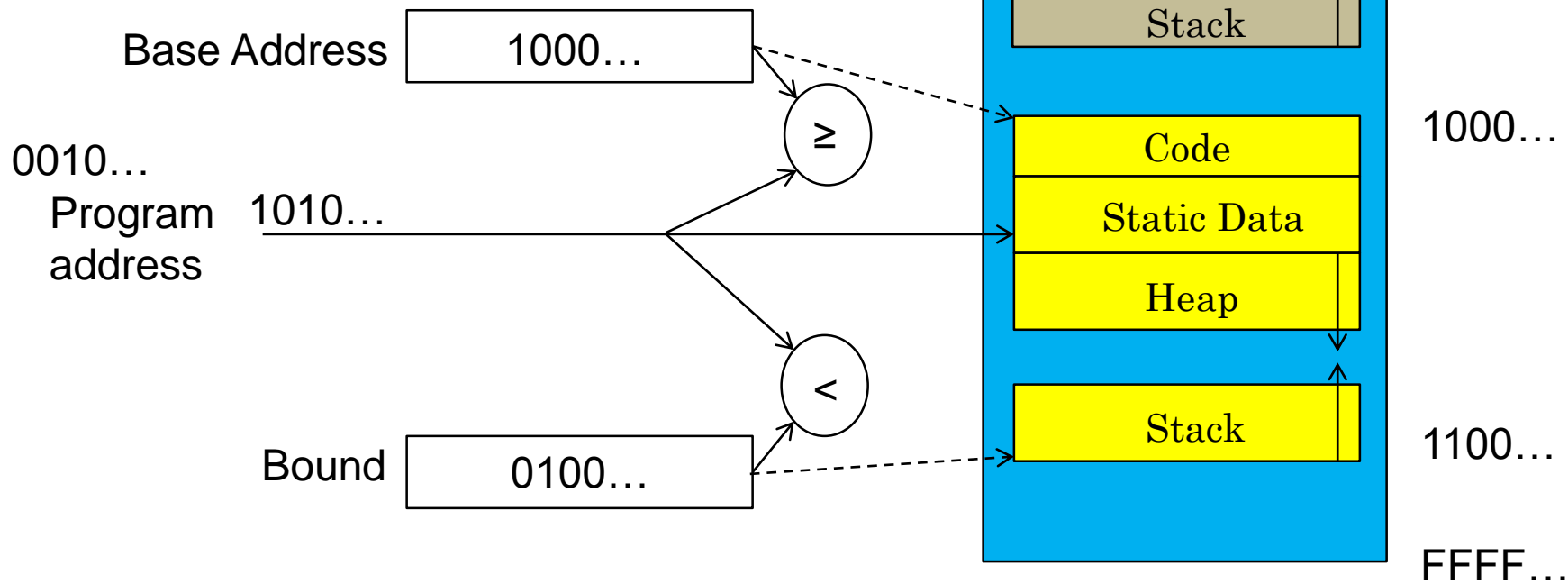
# Address Space

- What can the hardware do to help the OS protect itself from programs? And programs from each other?
  - Prevent processes from reading or writing to physical addresses it should not have access to!
  - Allow processes to read and write to physical addresses it should have access to!

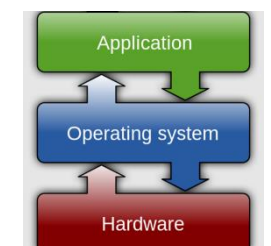
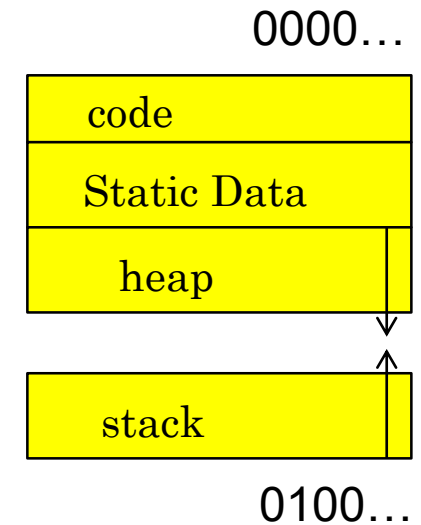


# Base and Bound (no Translation)

- Can the program touch OS? Can it touch other programs?
- Requires relocation, causes fragmentation
- Stack and heap have unknown sizes
- Memory sharing impossible

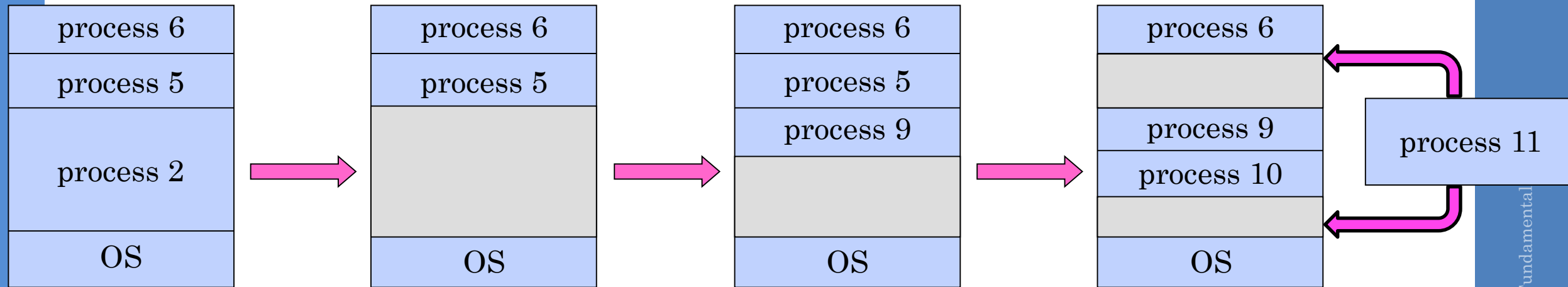


Original Program

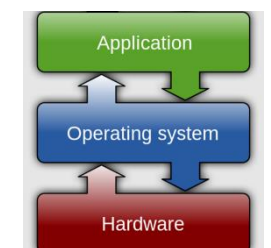




# Issues with Simple Base and Bound

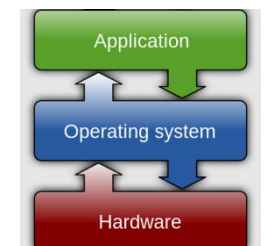
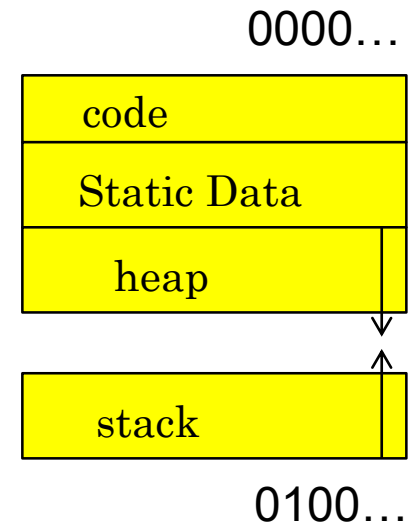
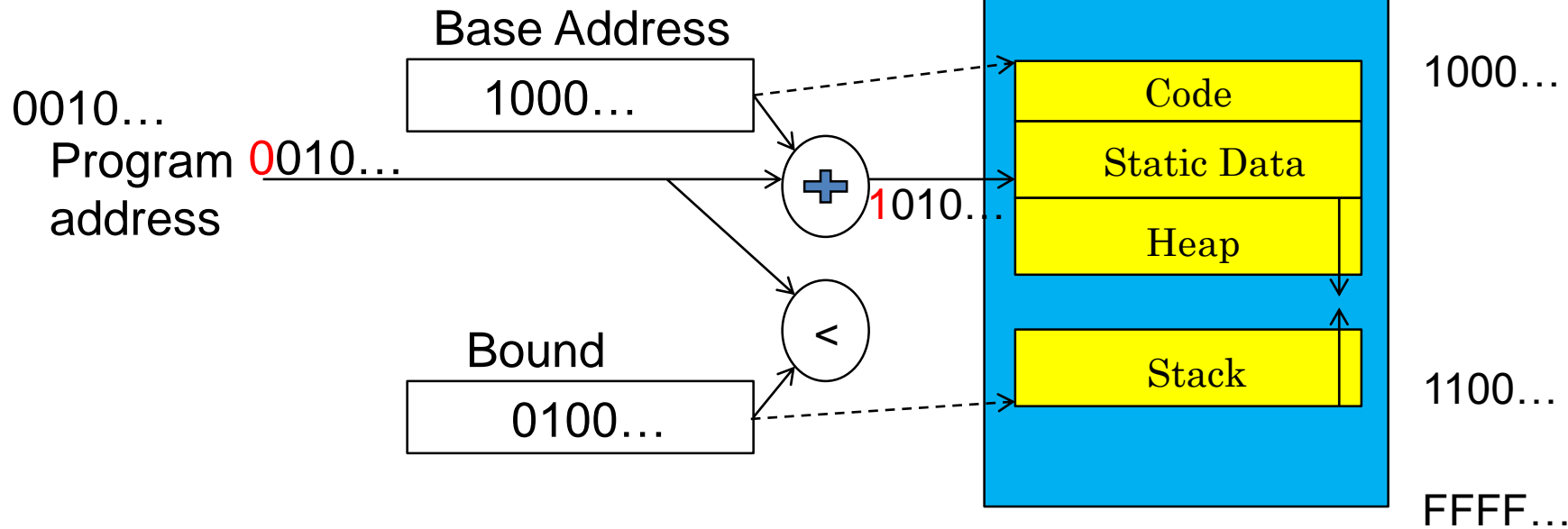


- Fragmentation problem over time
- Hard to do interprocess sharing
  - E.g., to share code



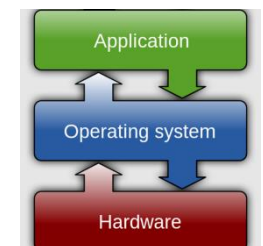
# Base and Bound (with Translation)

- Can the program touch OS? Can it touch other programs?
- Fragmentation still an issue!
- Still no sharing!
- Stack and heaps are of variable size!



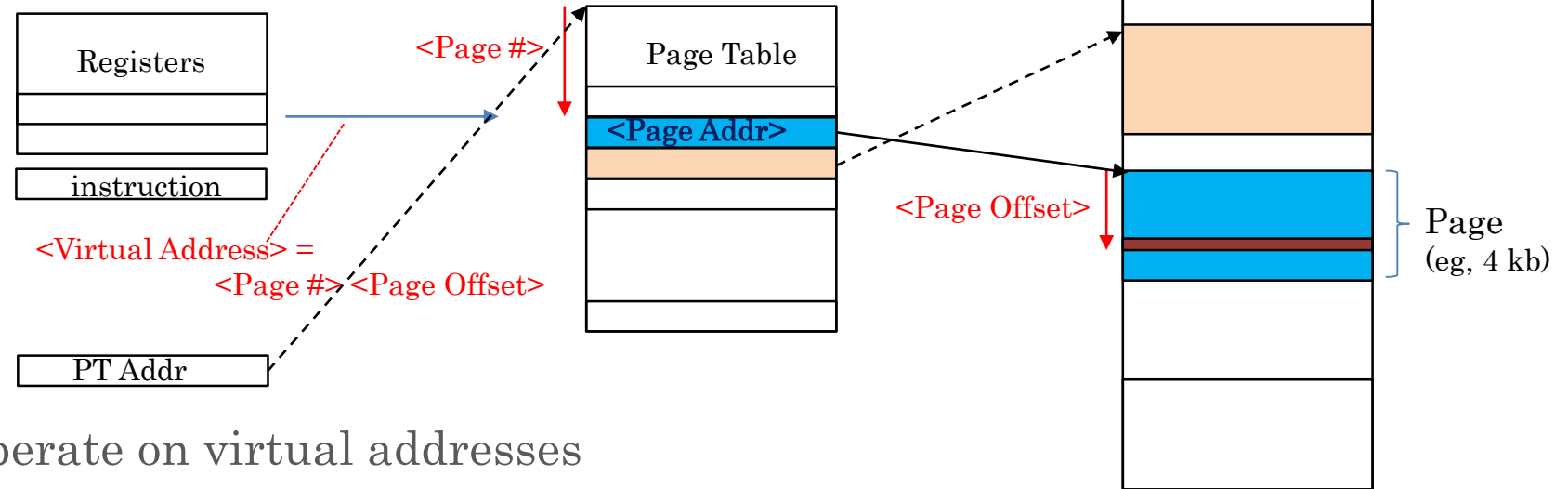
# Paged Virtual Address Space

- What if we break the entire virtual address space into equally sized chunks (i.e., pages) and have a base and bound for each?
- All pages are of the same size, so it's easy to place each page in memory!
- Hardware translates addresses using a page table
  - Each page has a separate base
  - The “bound” is the page size
  - Special hardware register stores pointer to page table

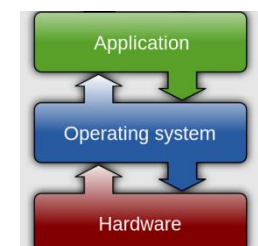


# Paged Virtual Address Space

Processor

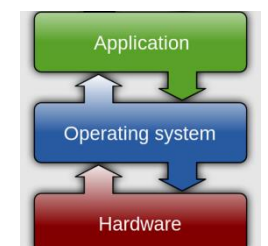


- Instructions operate on virtual addresses
- Virtual addresses translated at runtime to physical addresses via a page table
- Special register holds page table base address of current process' page table



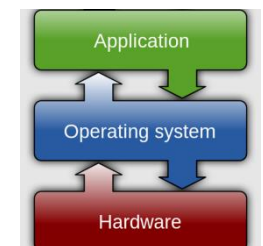
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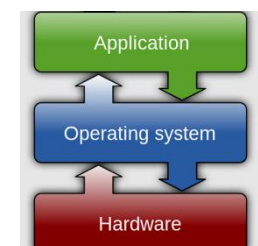
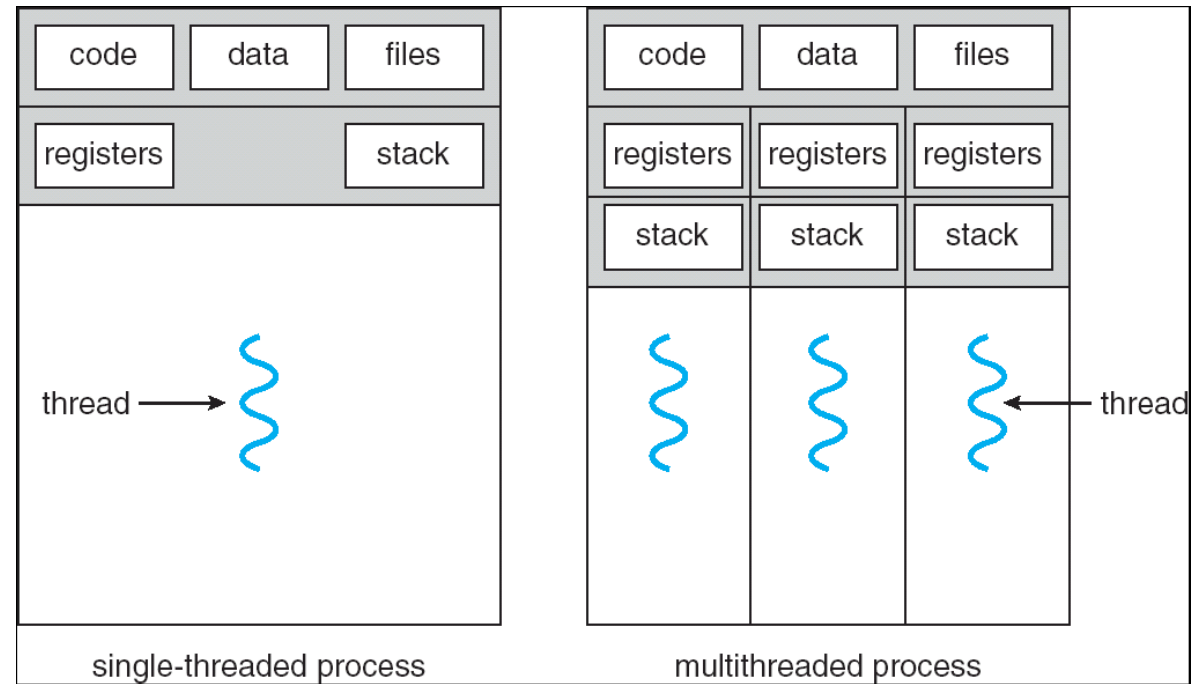
# Key OS Concept: Process

- Definition: execution environment with restricted rights
  - One or more threads executing in a single address space (own page table)
  - Owns file descriptors, network connections, etc.
- Instance of a running program
  - When you run an executable, it runs in its own process
  - Application: one or more processes working together
- Protected from each other; OS protected from them
- In modern OSes, anything that runs outside of the kernel runs in a process
  - Even many of the OS services run in separate processes



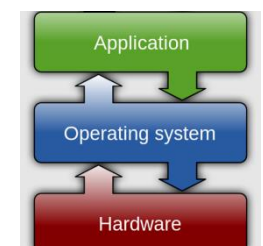
# Single and Multithreaded Processes

- Threads encapsulate concurrency
  - “Active” component
- Address space encapsulate protection:
  - “Passive” component
  - Keeps bugs from crashing the entire system
- Why have multiple threads per address space?



# Protection and Isolation

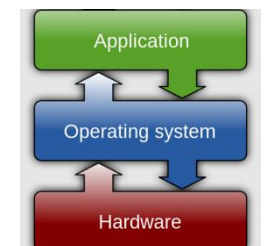
- Why?
  - Reliability: bugs can only overwrite memory of process they are in
  - Security and privacy: malicious or compromised process can't read or write other process' data
  - (to some degree) Fairness: enforce shares of disk, CPU
- Mechanisms:
  - Address translation: address space only contains its own data
- BUT: why can't a process change the page table pointer?
  - Or use I/O instructions to bypass the system?
- Hardware must support privilege levels!





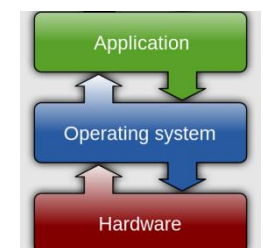
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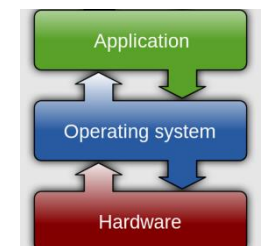
# Dual-Mode Operation

- One bit of state: processor is either in user mode or kernel mode
  - x86 has four privilege levels: rank 0 (kernel) ... rank 3 (user)
- Certain actions are only permitted in kernel mode (**privileged instructions**), e.g.
  - Changing the page table pointer (memory protection)
  - Certain entries in the page table
  - Hardware I/O instructions
  - Disable interrupts (timers)
- State bit can't be changed directly, is flipped only during execution of special transfer operations



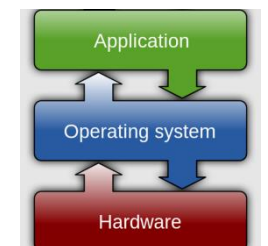
# Dual-Mode Operation

- What hardware is needed to protect applications and users from one another?
- Privileged instructions
  - All potentially unsafe instructions are prohibited in user mode
- Memory protection
  - All memory accesses outside of a process's valid memory region are prohibited when executing in user mode
- Timer interrupts
  - Regardless of what a process does, the kernel must have a way to potentially regain control from the current process



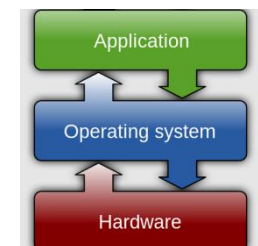
# Dual-Mode Operation

- Processes (i.e., programs you run) execute in **user mode**
  - To perform privileged actions, processes request services from the OS kernel
  - Carefully controlled transition from user to kernel mode
- Kernel executes in **kernel mode**
  - Performs privileged actions to support running processes
  - ... and configures hardware to properly protect them (e.g., address translation)
  - Return to user mode through special instructions
    - Return from interrupt

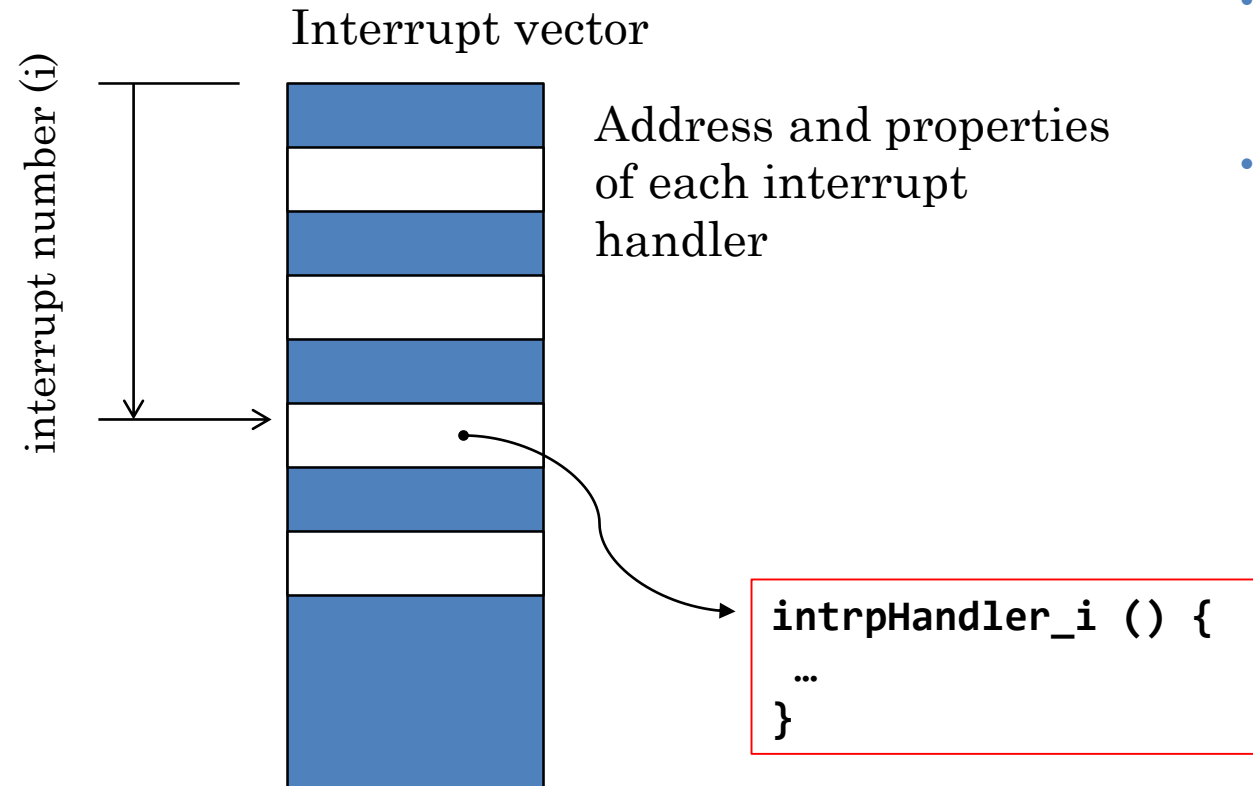


# Three Types of User → Kernel Mode Transfer

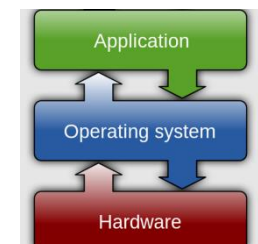
- System Call (“syscalls”)
  - Process requests a system service (e.g., open a file)
  - Like a function call, but “outside” the process
- Interrupt
  - External asynchronous event, independent of the process
  - e.g., Timer, I/O device
- Trap (exception)
  - Internal synchronous event in process triggers context switch
  - E.g., Divide by zero, bad memory access (segmentation fault)
- CONTROL TRANSFER User → Kernel mode
  - System calls constitute PROGRAMMED control transfer
  - Interrupts and traps are UNPROGRAMMED control transfer mechanisms
- User process can't jump to arbitrary instruction address in kernel!
  - Why not?



# Where do User → Kernel Mode Transfers Go?



- Cannot let user programs specify the exact address!
- Solution: Interrupt Vector
  - OS kernel specifies a set of functions that are entry points to kernel mode
  - Appropriate function is chosen depending on the type of transition
    - Interrupt Number (i)
    - Type of interrupt
    - Type of trap
    - OS may do additional dispatch



# Example: Before Exception

User-level  
Process

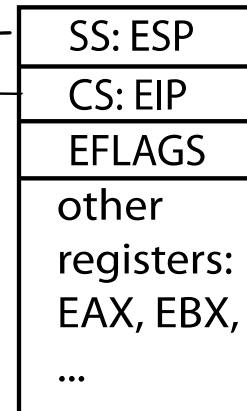
code:

```
foo () {  
  while(...) {  
    x = x+1;  
    y = y-2;  
  }  
}
```

stack:



Registers

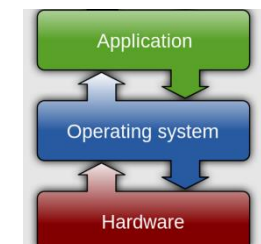
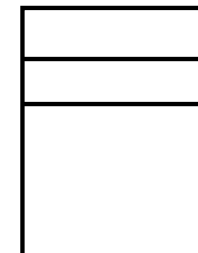


Kernel

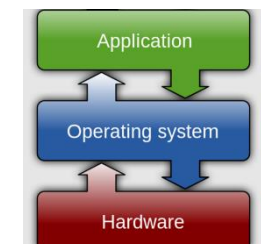
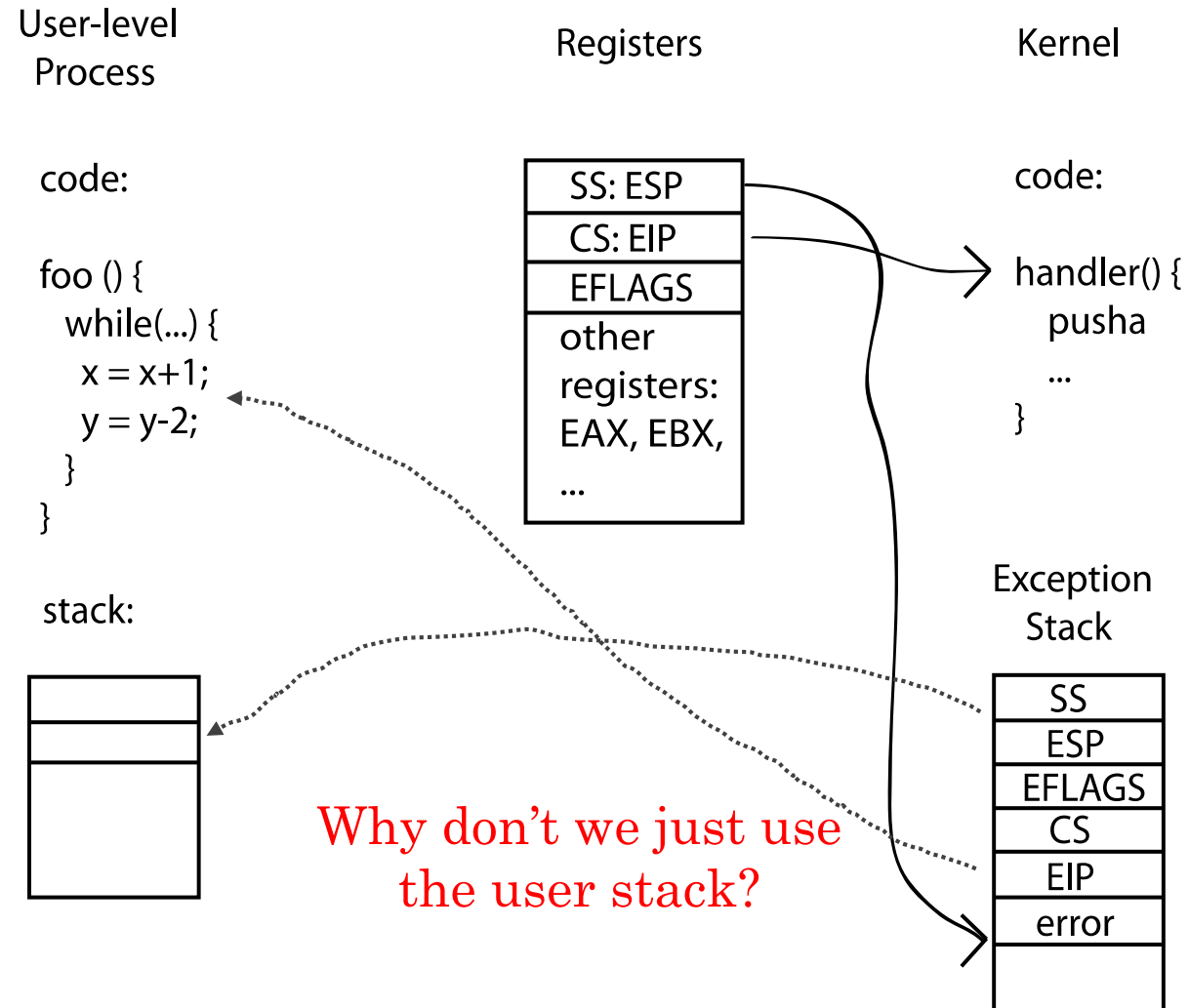
code:

```
handler() {  
  pusha  
  ...  
}
```

Exception  
Stack

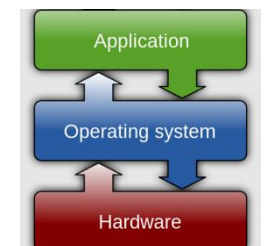
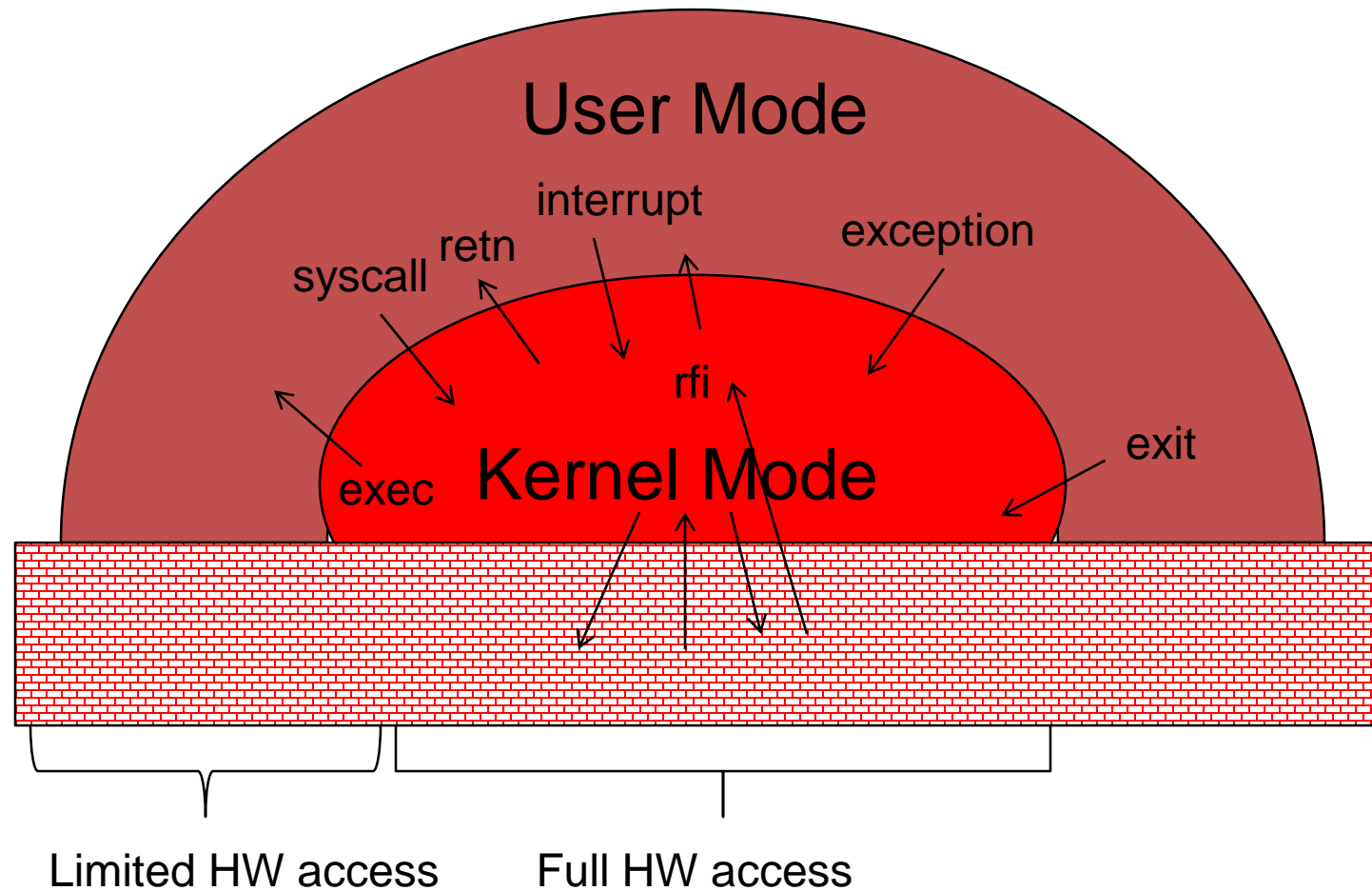


# Example: After Exception



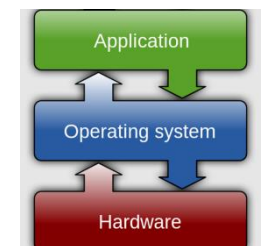


# Life of a Process



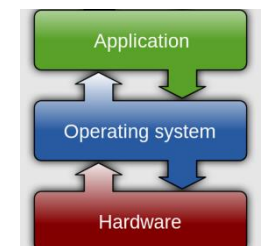
# Implementing Safe User → Kernel Mode Transfers

- Carefully constructed kernel code packs up the user process state and sets it aside
- Must handle weird/buggy/malicious user state
  - Syscalls with null pointers
  - Return instruction out of bounds
  - User stack pointer out of bounds
- Should be impossible for buggy or malicious user program to cause the kernel to corrupt itself
- User program should not know that an interrupt has occurred (transparency)



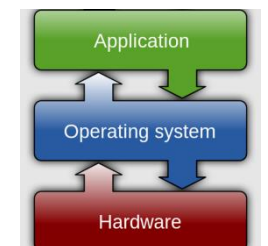
# Kernel System Call Handler

- 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 – carefully checking locations!
  - Protect kernel from malicious code evading checks
- Validate arguments
  - Protect kernel from errors in user code
- Copy results back
  - Into user memory – carefully checking locations!



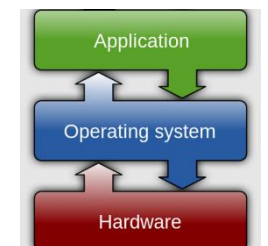
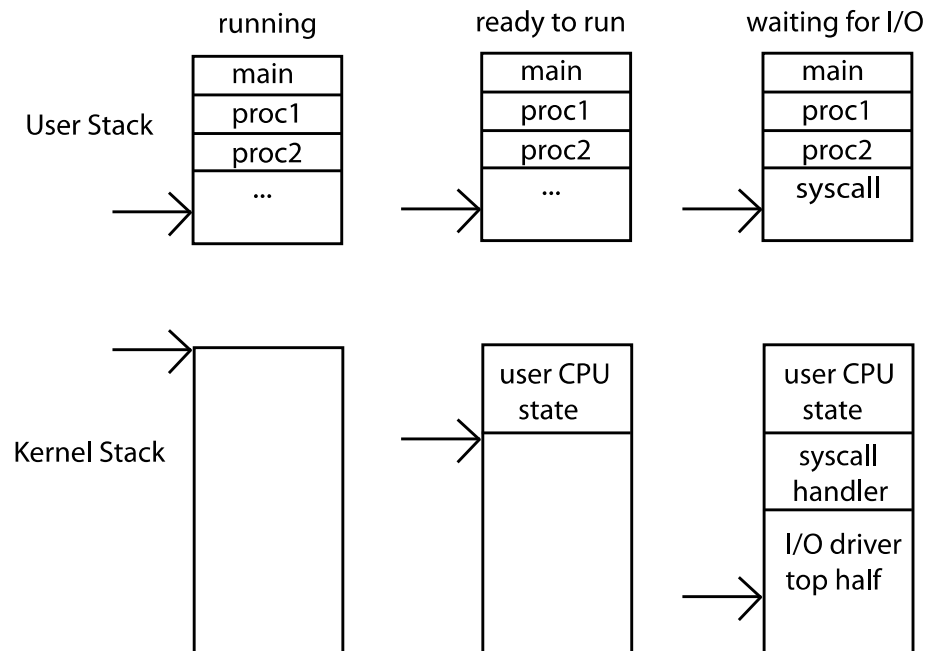
# Kernel Stacks

- Interrupt handlers want a stack
- System call handlers want a stack
- Can't just use the user stack [why?]
  - More convenient to store execution state of kernel if additional interrupt is required (i.e. waiting for I/O operation, etc.)
  - User-stack is in user-space
    - Other user-threads could maliciously modify entries the kernel put on the stack of the interrupted thread
  - Works regardless of state of user-process
    - User data could be corrupt or compromised



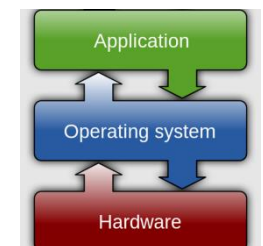
# Kernel Stacks

- One Solution: two-stack model
  - Each thread has user stack and a kernel stack
  - Kernel stack stores user's registers during an exception
  - Kernel stack used to execute exception handler in the kernel



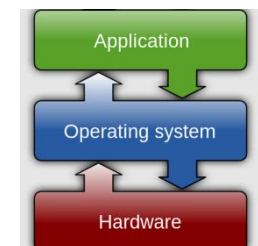
# Hardware Support: Interrupt Control

- Interrupt processing not visible to the user process:
  - Occurs between instructions, restarted transparently
  - No change to process state
  - Happens transparently to the process—user program does not know it was interrupted
- 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



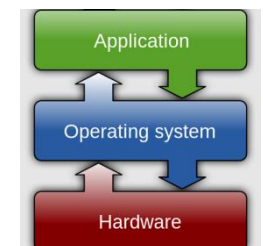
# Hardware Support: Interrupt Control

- 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?
    - Execution time!
- 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



# How do we take Interrupts Safely?

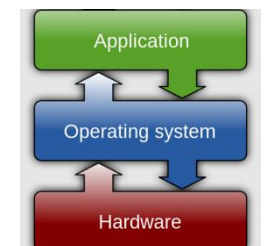
- Interrupt vector
  - Limited number of entry points into kernel
- Kernel interrupt stack
  - Handler works regardless of state of user code
- Interrupt masking
  - Handler is non-blocking
- Atomic transfer of control
  - “Single instruction”-like to change:
    - Program counter
    - Stack pointer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





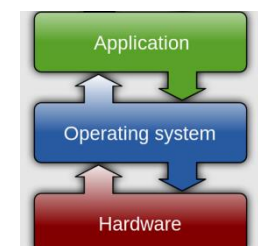
# Kernel → User Mode Transfers

- “Return from interrupt” instruction
  - Drops mode from kernel to user privilege
  - Restores user PC and stack
- Transfer to user mode happens for:
  - Creation of a new process
  - Switching to a different process
  - User-level upcalls (signal handling, etc.)



# Today: Four Fundamental OS Concepts

- **Thread**: Execution Context
  - Program Counter, Registers, Execution Flags, Stack
- **Address Space** (with Translation)
  - Program's view of memory is distinct from physical machine
- **Process**: Instance of a Running Program
  - Address space + one or more threads + ...
- **Dual-Mode Operation and Protection**
  - Only the “system” can access certain resources
  - Combined with translation, isolates programs from each other

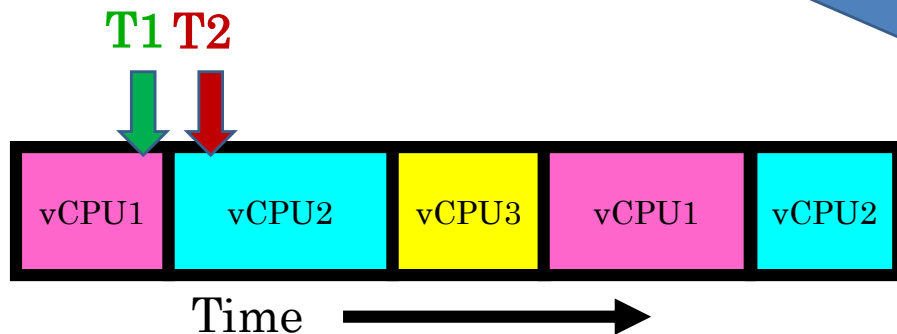


# Now, let's put it all together!

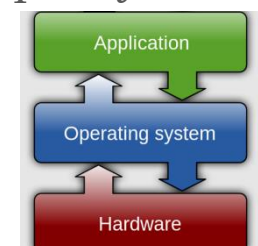
# Illusion of Multiple Processors

## Scheduling

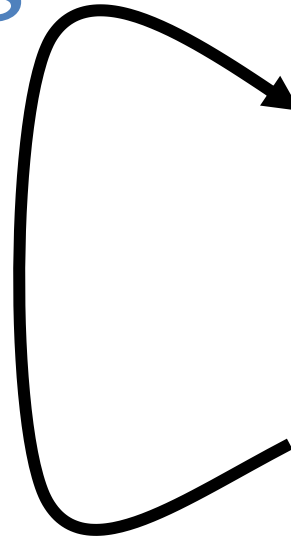
On a single physical CPU:



- At T1: vCPU1 on real core
- At T2: vCPU2 on real core
- How did the OS get to run?
  - Earlier, OS configured a hardware timer to periodically generate an interrupt
  - On the interrupt, the hardware switches to kernel mode and the OS's timer interrupt handler runs
  - Timer interrupt handler decides whether to switch threads or not according to a policy

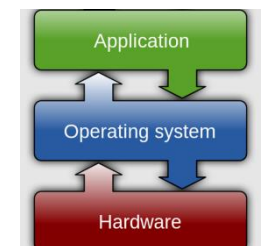


# Scheduling



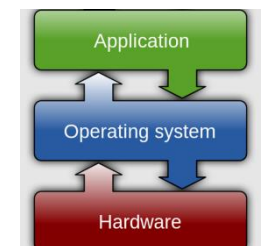
```
if ( readyProcesses(PCBs) ) {  
    nextPCB = selectProcess(PCBs);  
    run( nextPCB );  
} else {  
    run_idle_process();  
}
```

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



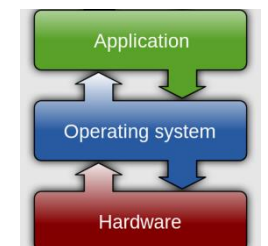
# What's in a Process?

- Process Control Block (PCB): Kernel representation of each process
  - Process ID
  - Thread control block(s)
    - Program pointer, stack pointer, and registers for each thread
  - Page table (information for address space translation)
  - Necessary state to process system calls
    - Which files are open and which network connections are accessible to the process
- All information that pertains to a process and has to be shared between all threads of said process
  - User information
  - File path of executable on disk
  - Current home directory of the process
  - Process privileges
  - Etc.

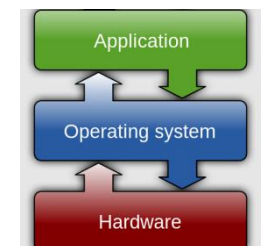
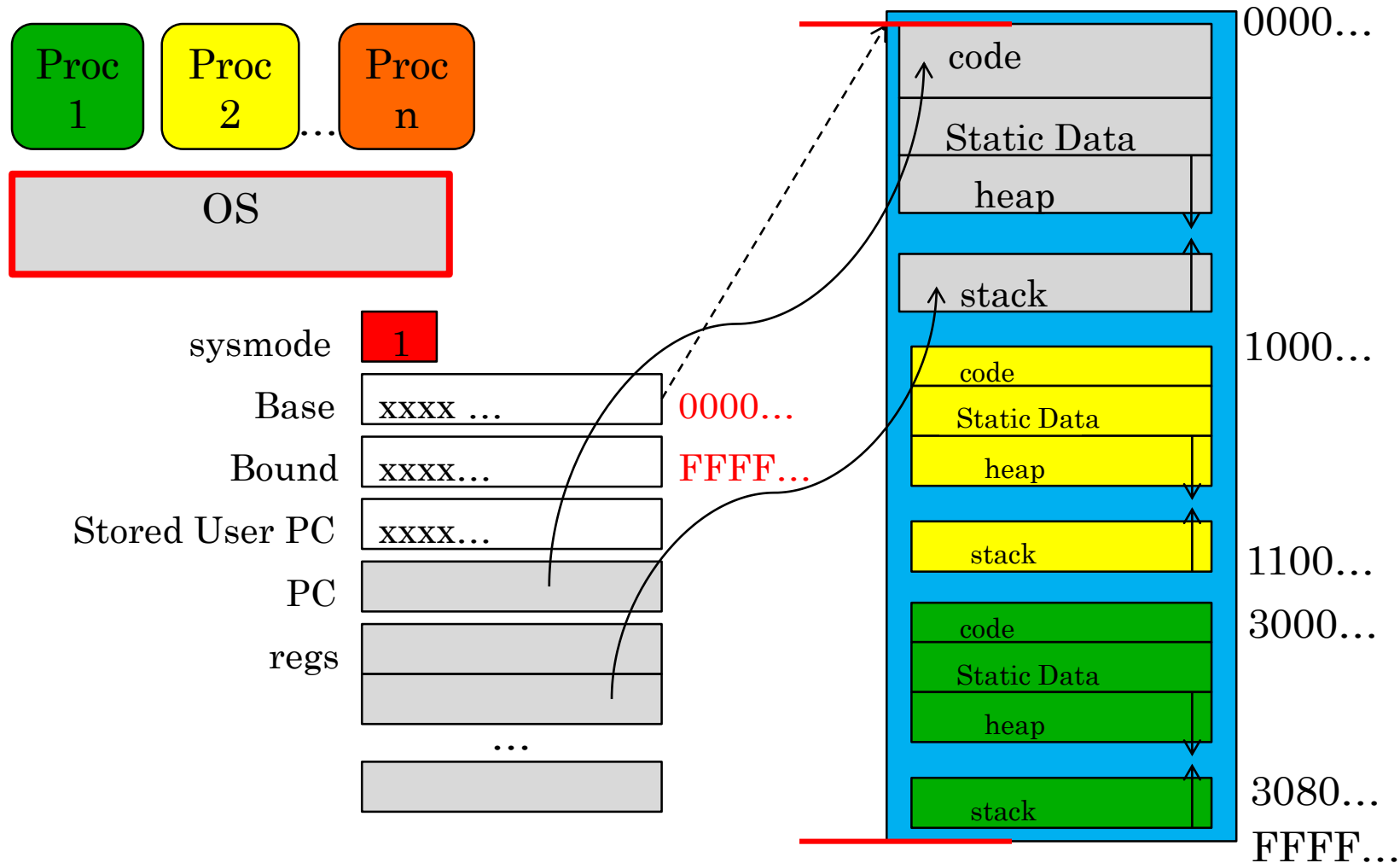


# Mode Transfer and Translation

- Mode transfer should change address translation mapping
- Examples:
  - Ignore base and bound in kernel mode
  - Page tables:
    - Either switch to kernel page table...
    - Or mark some pages as only accessible in kernel mode

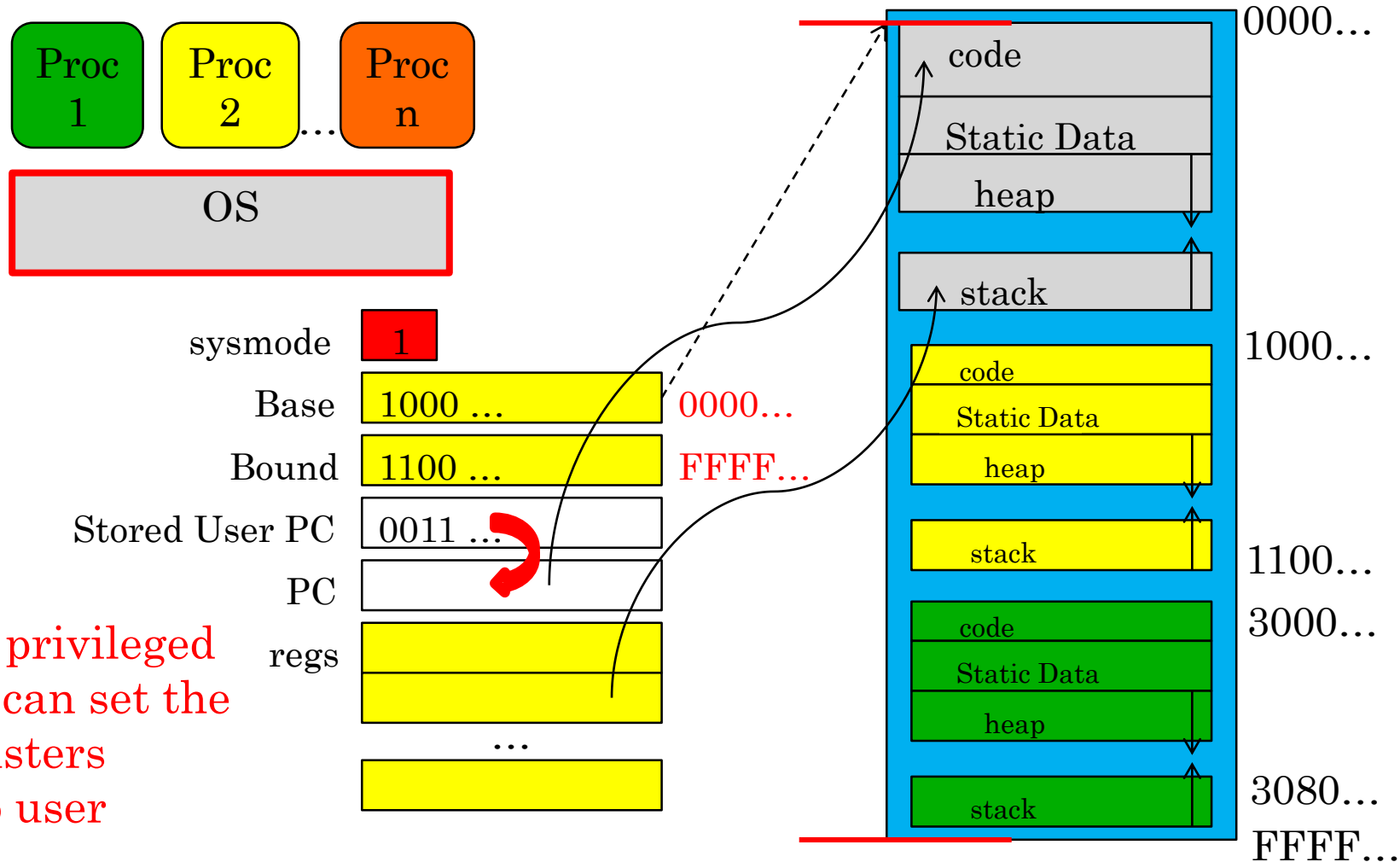


# Base and Bound: OS Loads Process

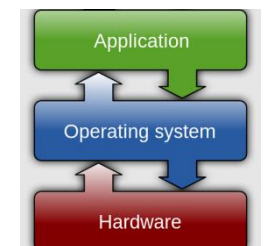




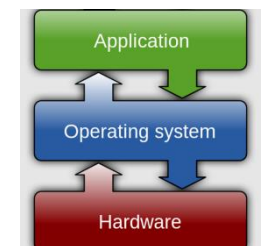
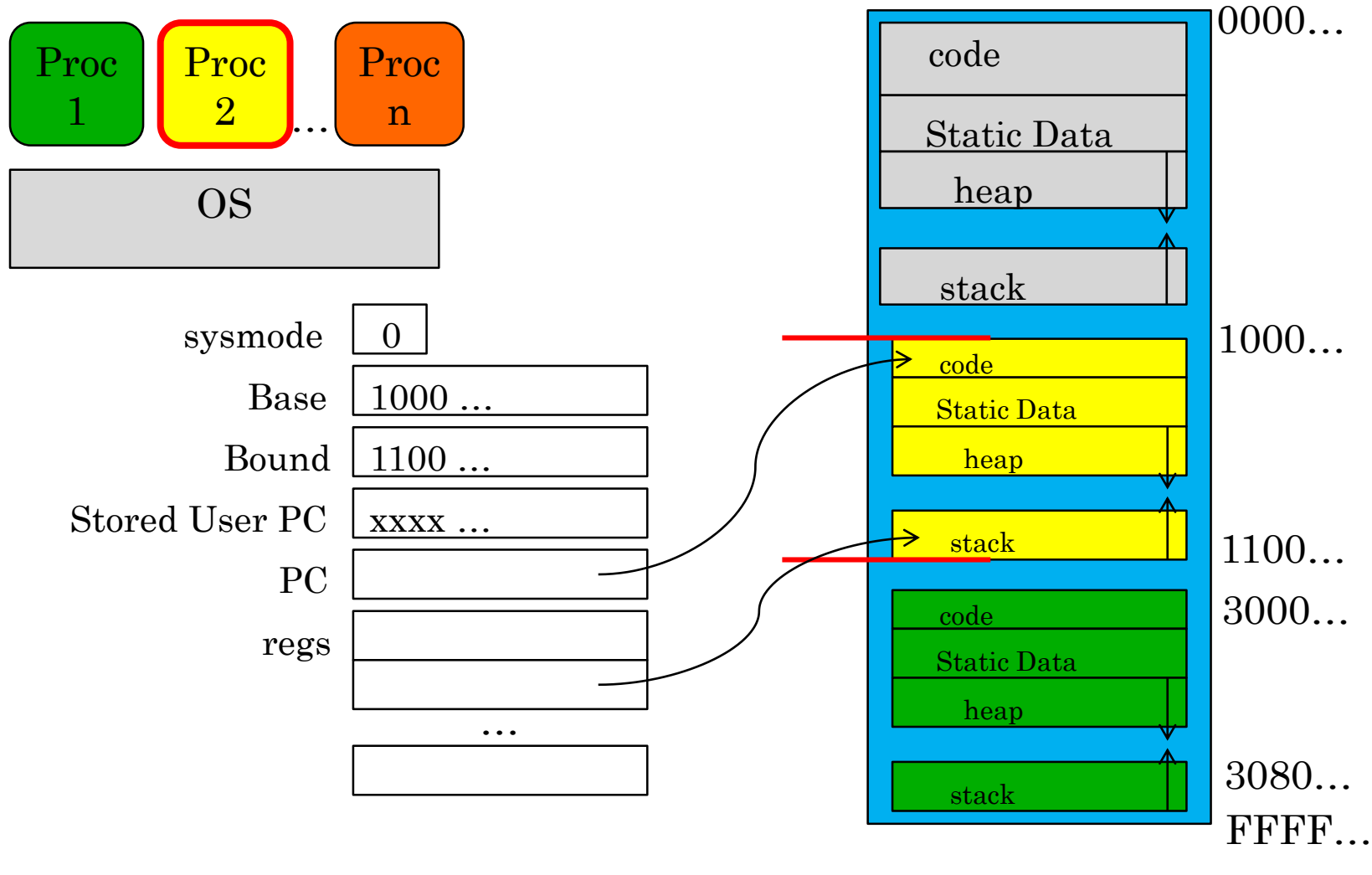
# Base and Bound: About to Switch



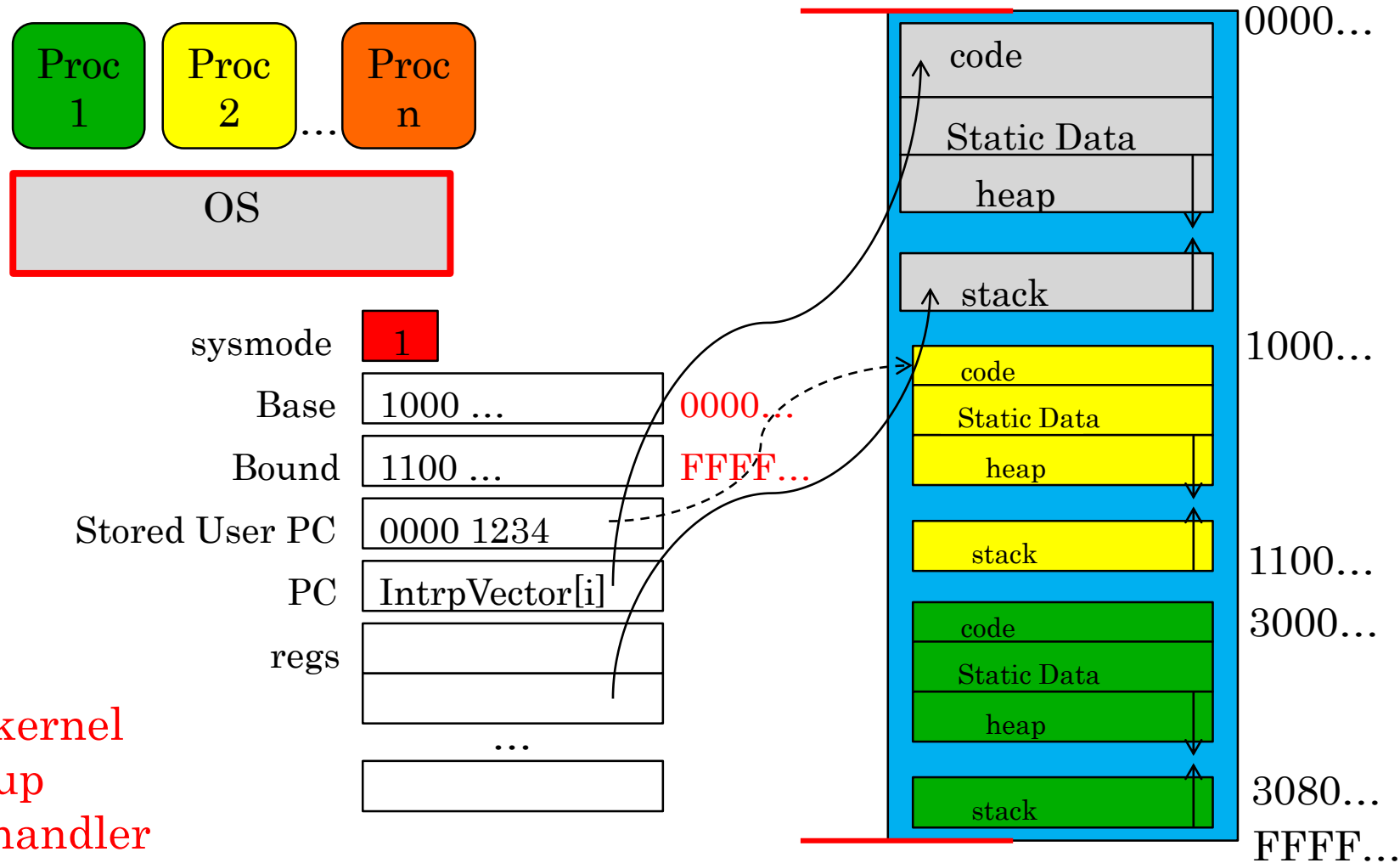
- OS runs in privileged mode, so it can set the special registers
- “Return” to user



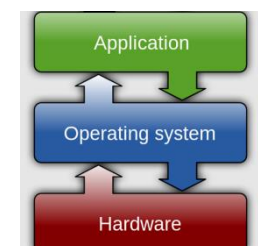
# Base and Bound: User Code Running



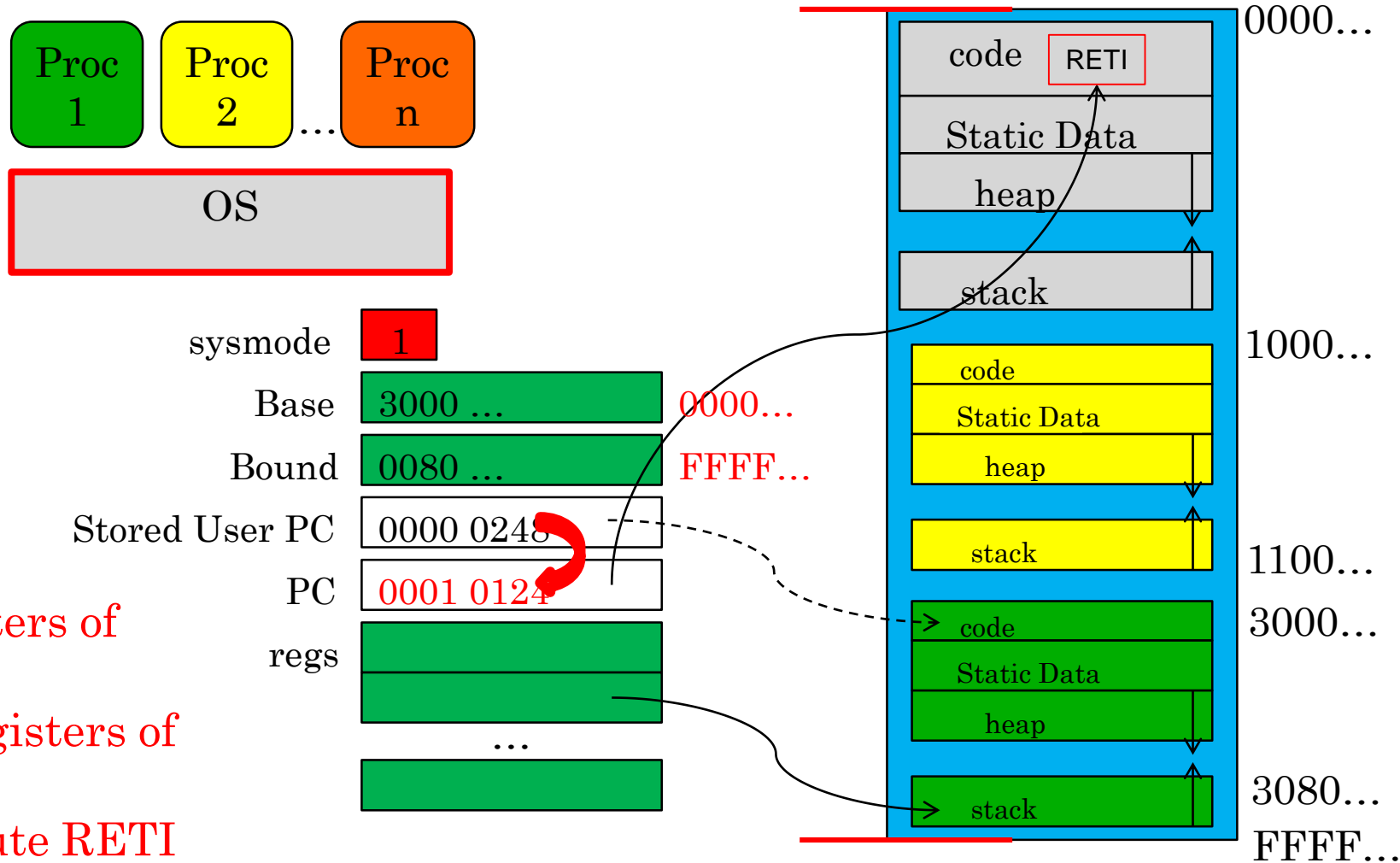
# Base and Bound: Handle Interrupt



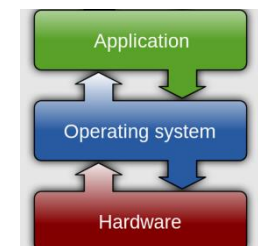
- Switch to kernel mode, set up interrupt handler



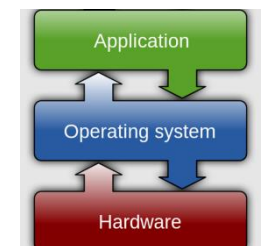
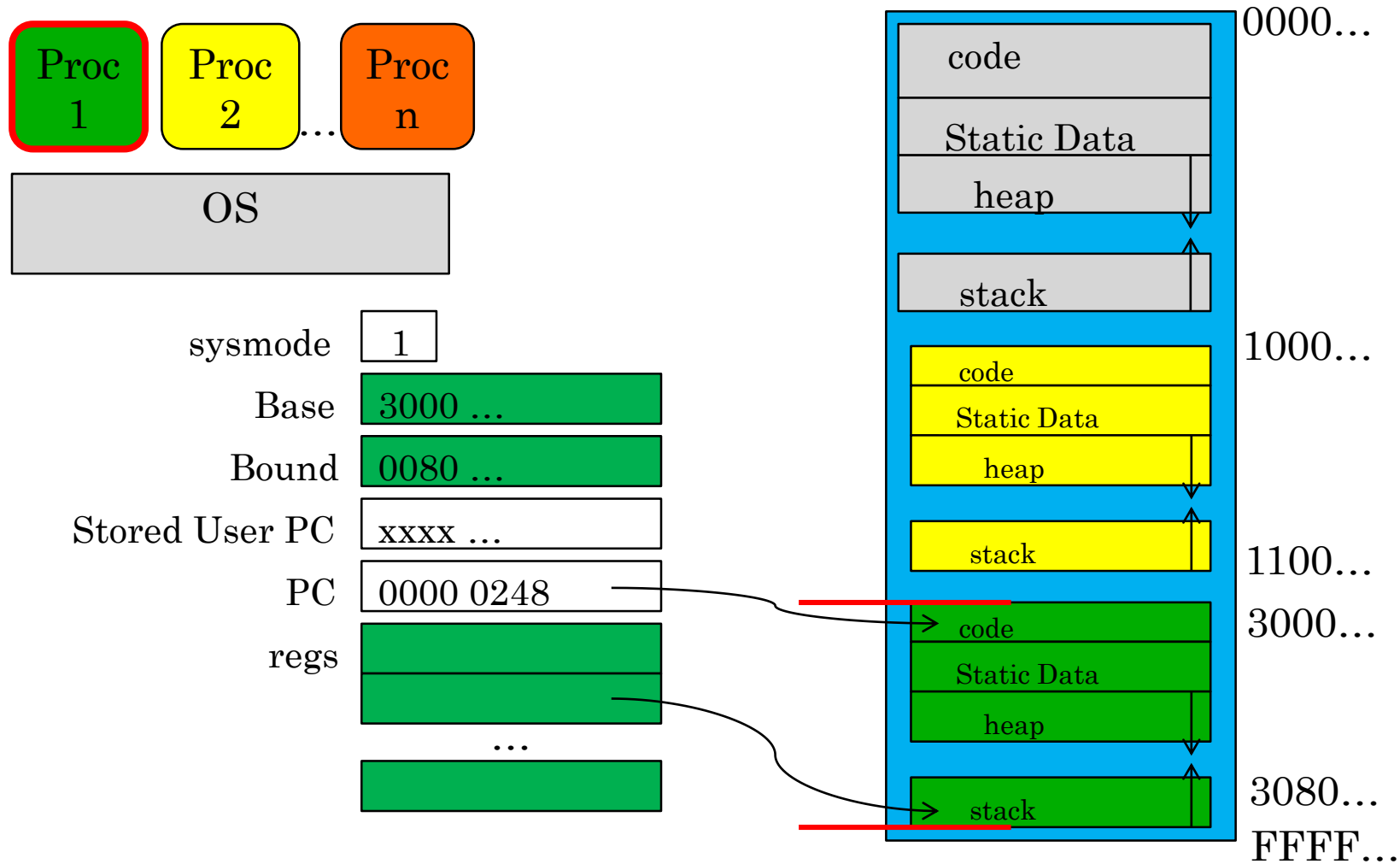
# Base and Bound: Switch to Process 1



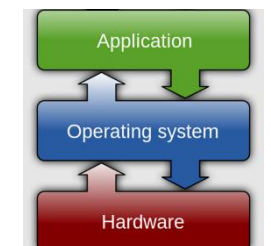
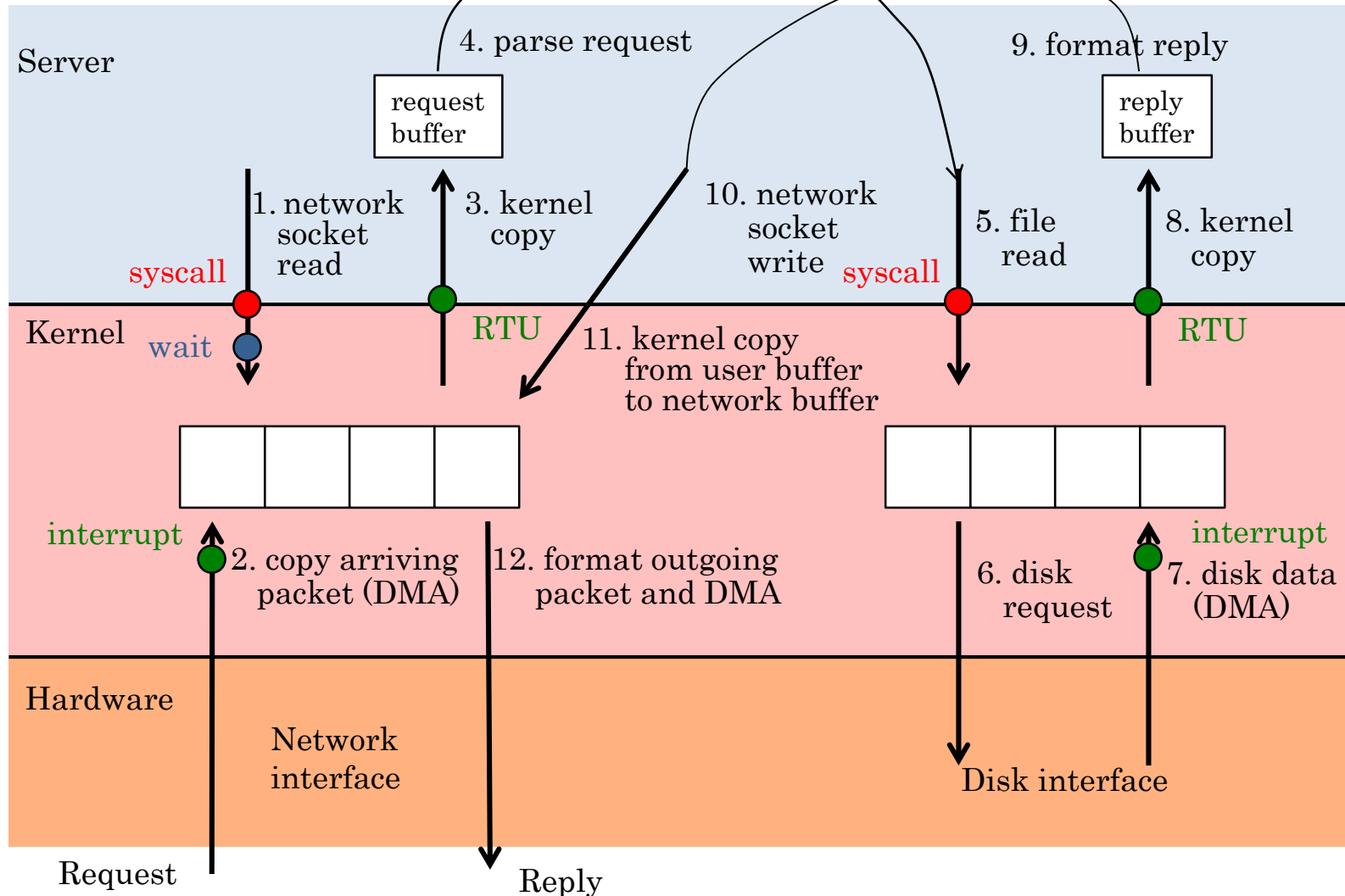
- Save registers of Process 2
- Restore registers of Process 1
- Then execute RETI



# Base and Bound: Switch to Process 1



# Putting it all Together: Web Server



# Conclusion: Four Fundamental OS Concepts

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  - Program Counter, Registers, Execution Flags, Stack
- **Address Space** (with Translation)
  - Program's view of memory is distinct from physical machine
- **Process**: Instance of a Running Program
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