# Creating the Process Abstraction

Lecture 6

Hartmut Kaiser

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

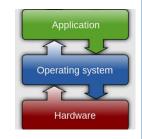
#### Recall: Process

- Definition: execution environment with restricted rights
  - One or more threads executing in a single address space
  - Owns file descriptors, network connections
- 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



# Today: How Does the OS Support the Process Abstraction?

- How does the kernel build the abstractions we have studied?
  - Dual-Mode Operation and Address Spaces?
  - Threads?
  - File I/O?
- What role does hardware play in serving syscalls/interrupts/traps?
- How is the kernel structured?
- And, along the way, getting you ready to tackle Project 1 ...



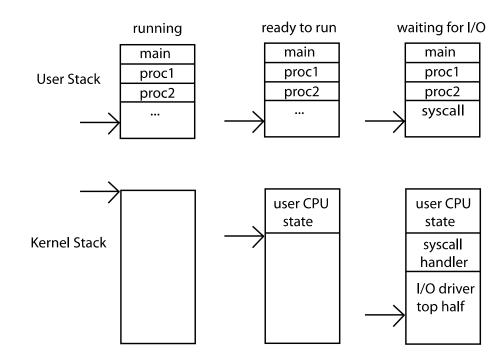
# Today: How Does the OS Support the Process Abstraction?

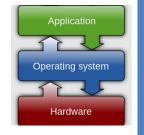
- Support for threads and kernel structure
- Memory layout
- Support for process operations
- Support for I/O
- Influence of IPC/RPC on kernel structure



#### Recall: Kernel Stacks

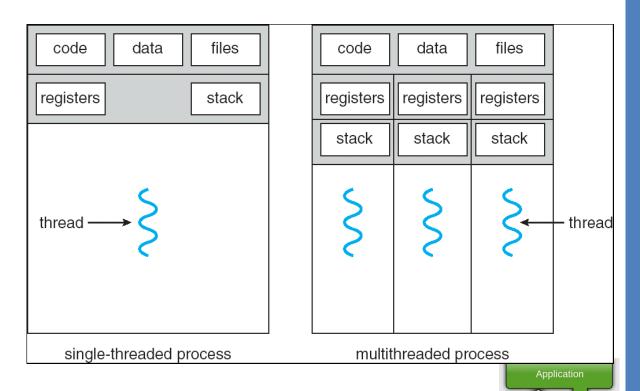
- Interrupt handlers want a stack
- System call handlers want a stack
- Can't just use the user stack [why?]
- One Solution: two-stack model
  - Each thread has user stack and a kernel stack
  - Kernel stack stores user's registers during an exception
  - Kernel stack used to execute exception handler in the kernel





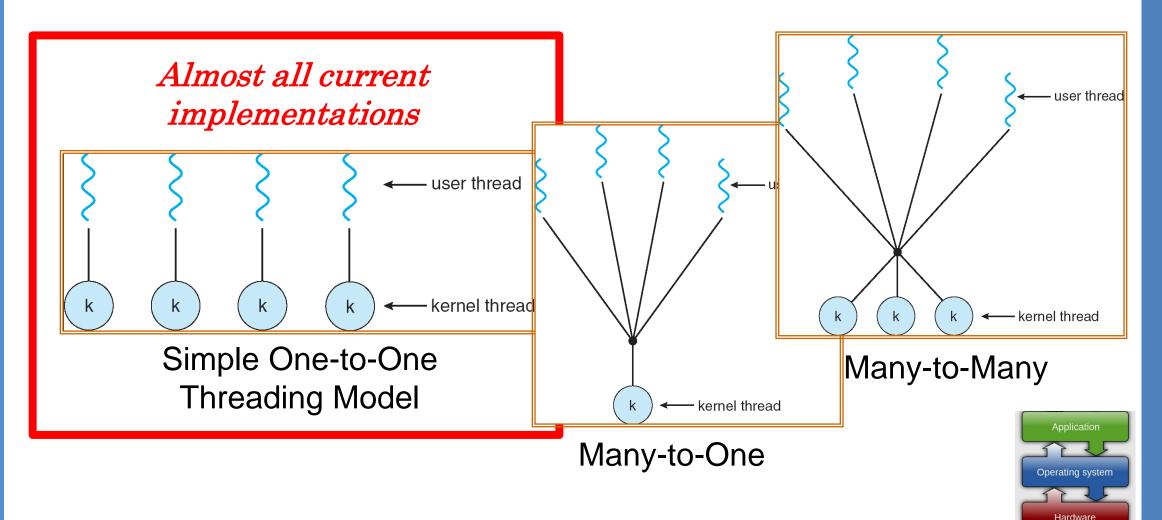
# Recall: Single and Multithreaded Processes

- 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?



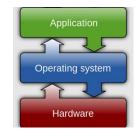
Operating system

## User/Kernel Threading Models

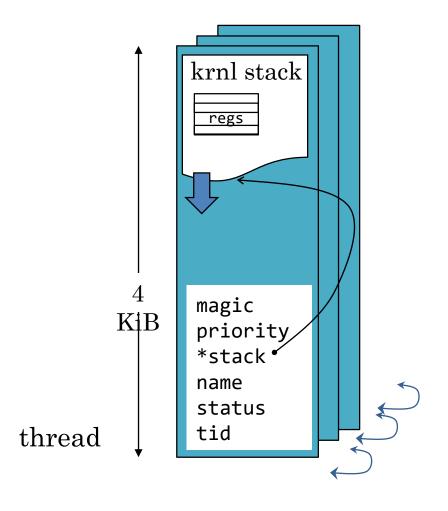


#### Thread State in the Kernel

- For every thread in a process, the kernel maintains:
  - The thread's "thread control block" (TCB)
  - A kernel stack used for syscalls/interrupts/traps
- Additionally, some threads just do work in the kernel
  - · Still has TCB
  - Still has kernel stack
  - · But not part of any process, and never executes in user mode



### PintOS Thread



- Single page (4 KiB)
  - Stack growing from the top (high addresses)
  - struct thread at the bottom (low addresses)
- struct thread defines the TCB structure in PintOS
- thread\_current() retrieves pointer to current thread's TCB

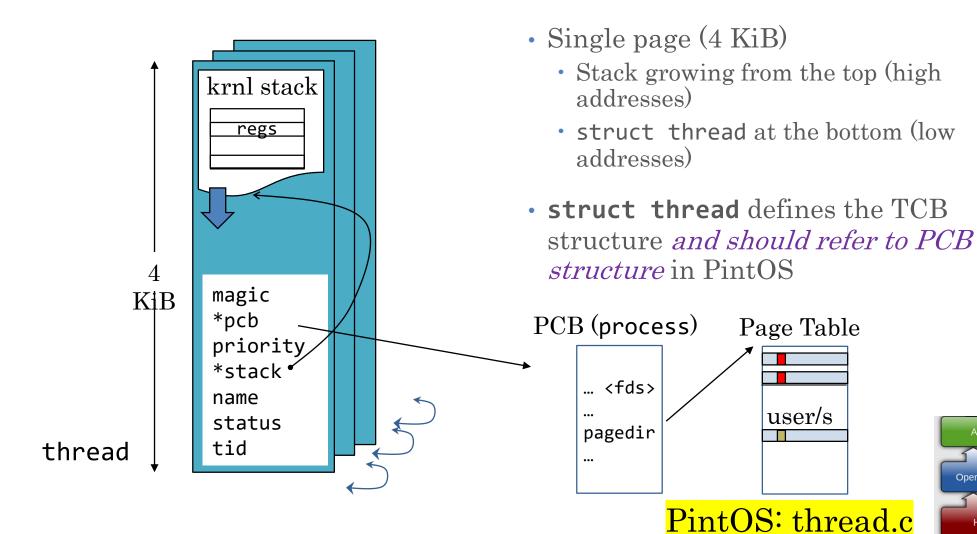


# In PintOS, Processes are Single-Threaded (for now)

- Processes can contain exactly one thread, for simplicity
- Approach used by older systems
- Project 2 adds thread support

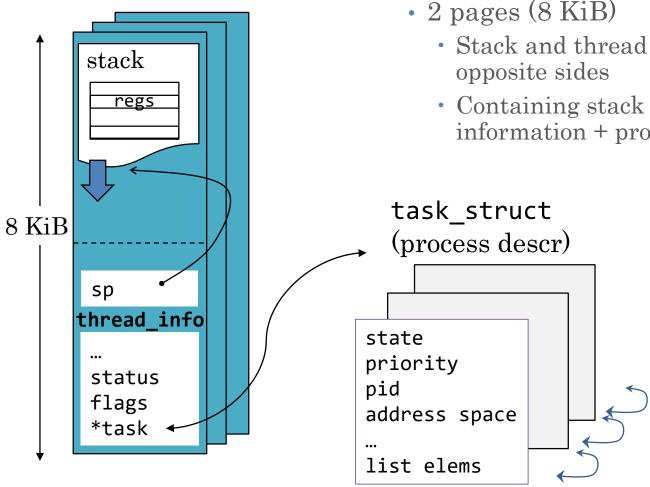


### PintOS Thread



Operating system

#### Linux "Task"

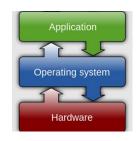




- Stack and thread information on
- Containing stack and thread information + process descriptor

#### Multithreaded Processes

- Traditional implementation strategy:
  - One PCB (struct process) per process
  - Each PCB stores pointer to main thread's TCB
  - Each TCB stores pointer to PCB
- Linux's strategy:
  - One task\_struct per thread
- Threads belonging to the same process happen to share some resources
  - · Like address space, file descriptor table, etc.



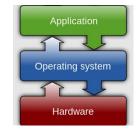
## Process Creation (Projects 0 and 1)

- Allocate and initialize Process object
- Allocate and initialize kernel thread mini-stack and associated Thread object
- Allocate and initialize page table for process
  - Referenced by process object
- Load code and static data into user pages
- Build initial User Stack
  - Initial register contents, argv, ...



Part of project 1

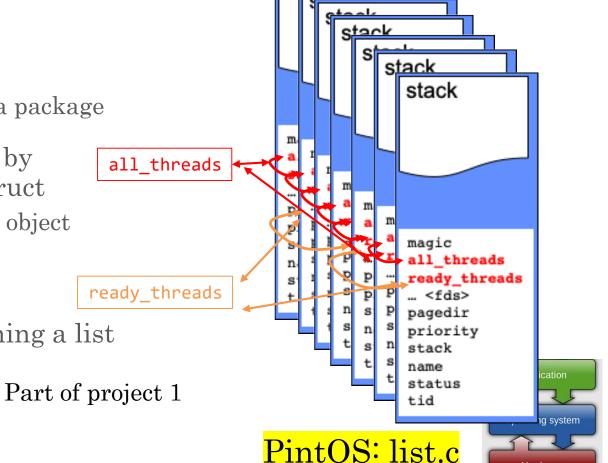
- Schedule (post) process/thread for execution
- •
- Eventually switch to user mode (switching to user stack and registers) ...



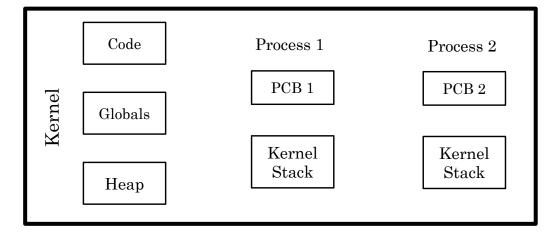
## Aside: Polymorphic Linked Lists in C

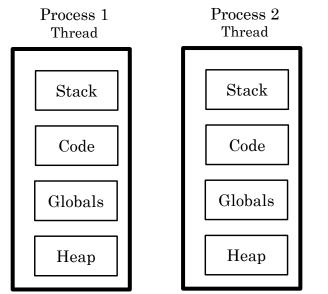
- Many places in the kernel need to maintain a "list of X"
  - This is tricky in C, which has no polymorphism
  - Essentially adding an interface to a package
- In Linux and PintOS this is done by embedding a list\_elem in the struct
  - Macros allow shift of view between object and list
  - You saw this in Assignment 1

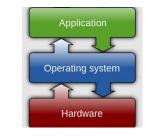
 Needed for building and maintaining a list of child processes



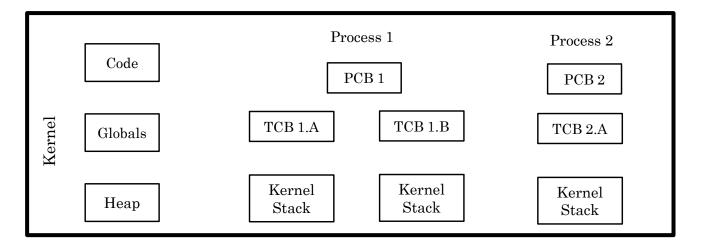
## Kernel Structure So Far (1/3)

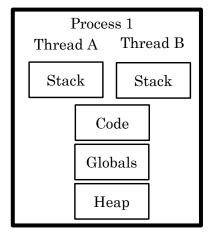


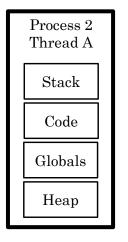




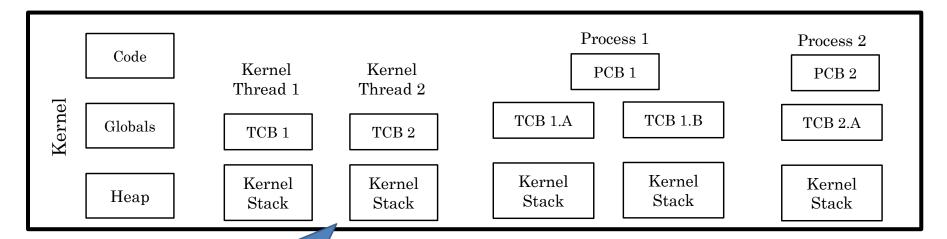
### Kernel Structure So Far (2/3)





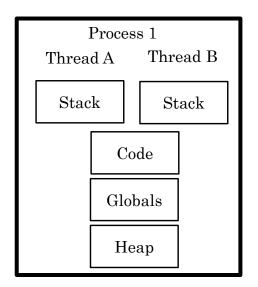


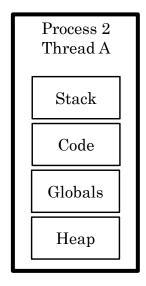
### Kernel Structure So Far (3/3)



#### These threads:

- Are used internally by the kernel
- Don't correspond to any particular user thread or process







# Today: How Does the OS Support the Process Abstraction?

- Support for threads and kernel structure
- Memory layout
- Support for process operations
- Support for I/O
- Influence of IPC/RPC on kernel structure



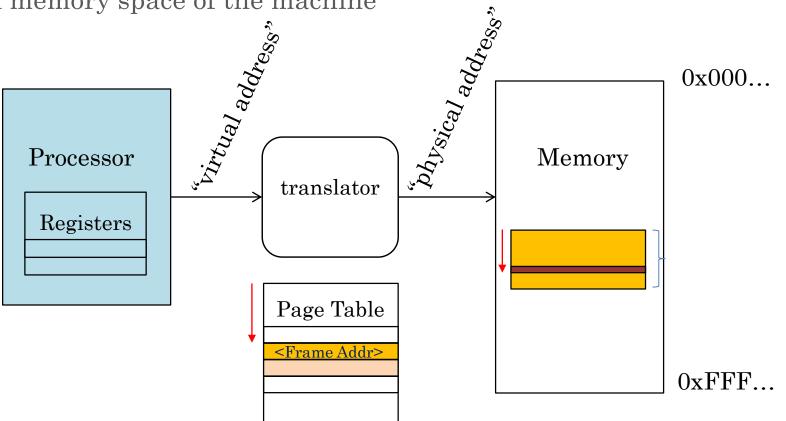
### Recall: Process Control Block (PCB)

- Kernel representation of each process
  - Status (running, ready, blocked)
  - Pointer to thread control block (TCB) of main thread
    - Register state (if not running)
  - · Process ID
  - Execution time
  - Address space —— How is this represented?
  - List of open file descriptions
  - List of pointers to child process PCBs
  - Pointer to parent process PCB
  - Exit code
  - Semaphore to synchronize with parent on wait
  - Etc.



## Recall: Address Space

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



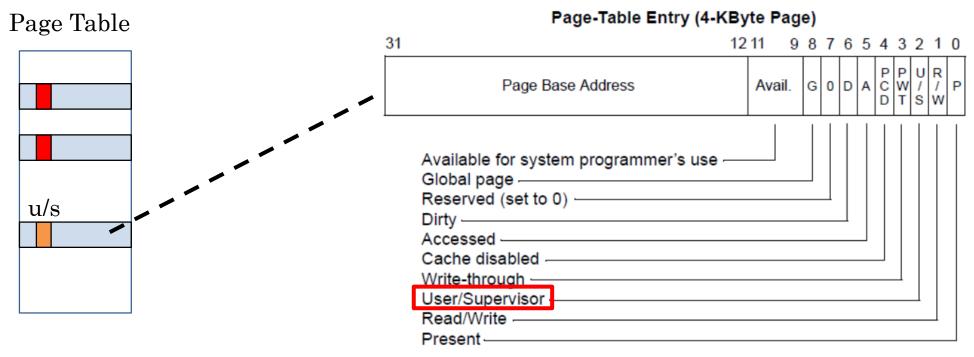


## Understanding "Address Space"

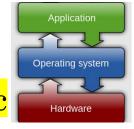
- Page table is the primary mechanism
- Privilege Level determines which regions can be accessed
  - Which entries can be used
- System (PL=0) can access all, User (PL=3) only part
- Each process has its own address space
- The "System" part of all of them is the same
- All system threads share the same system address space and same memory



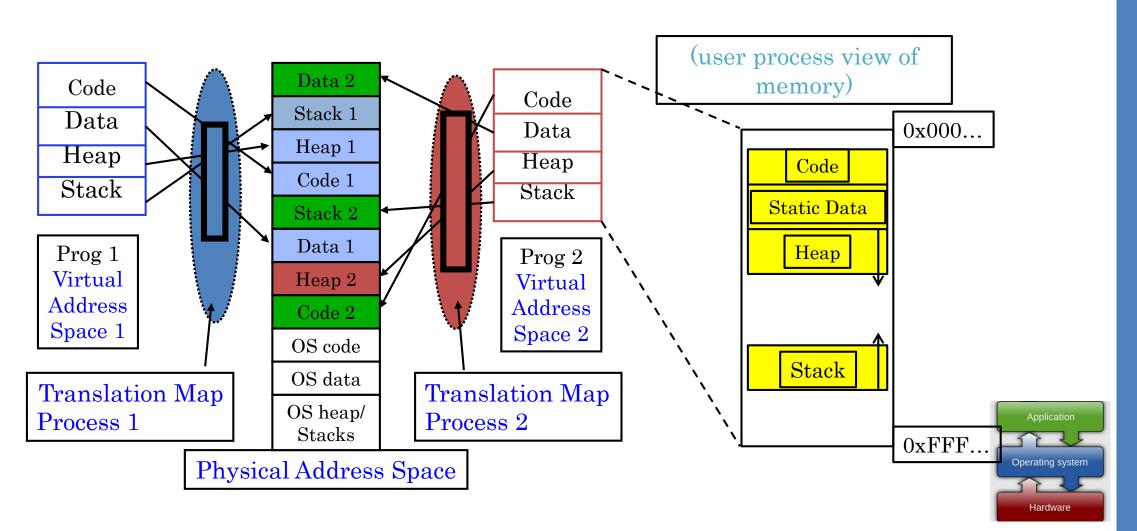
# Aside: x86 (32-bit) Page Table Entry



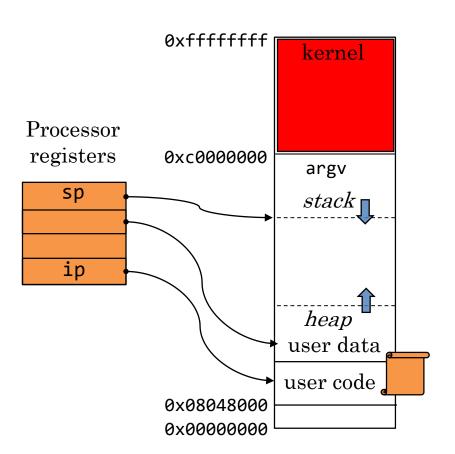
- Controls many aspects of access
- Later discuss page table organization
  - For 32 (64?) bit VAS, how large? vs size of memory?
  - Used sparsely

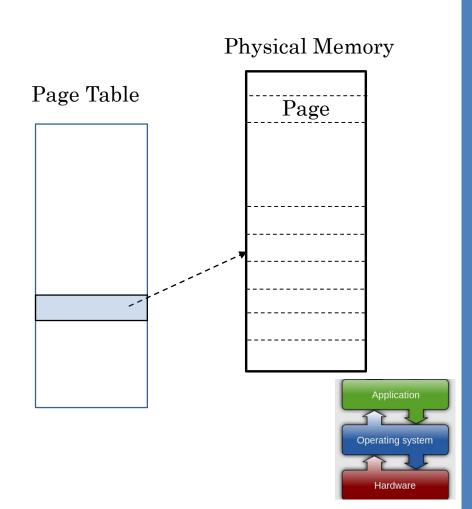


# Page Table Mapping (Rough Idea)

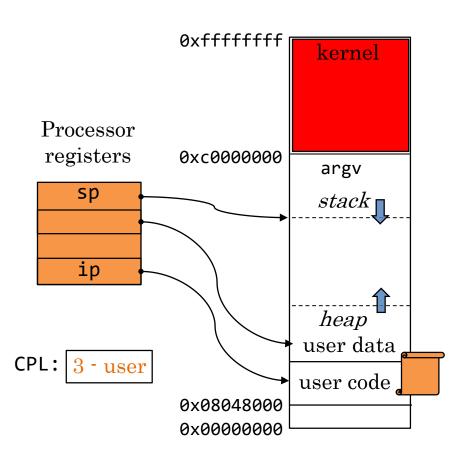


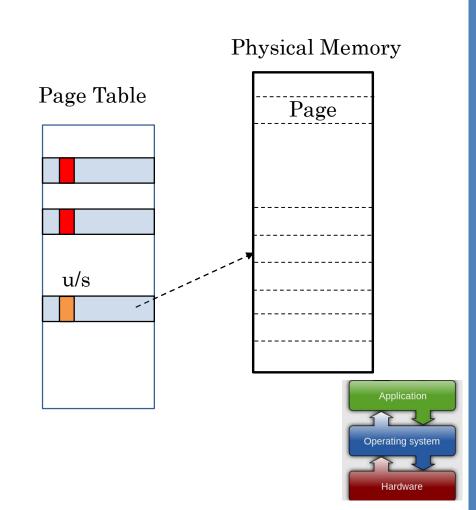
### User Process View of Memory



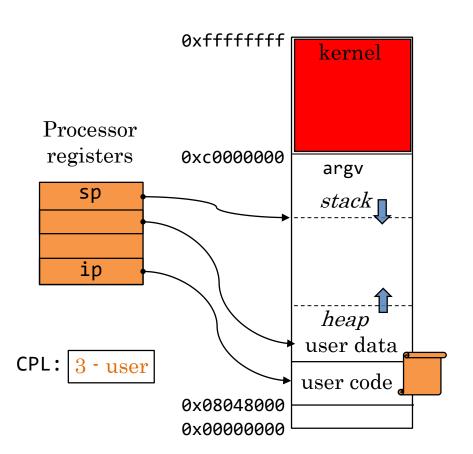


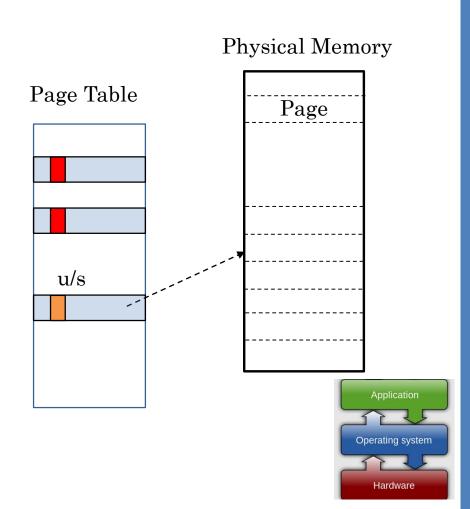
# Processor Mode (Privilege Level)



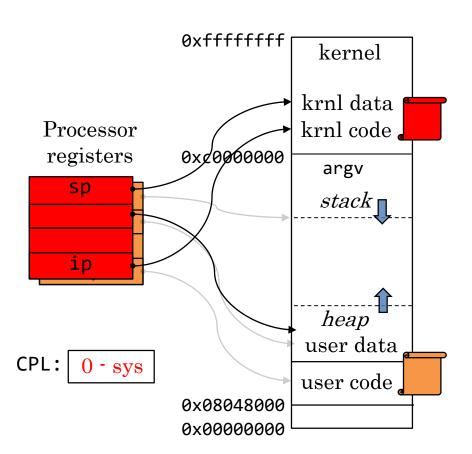


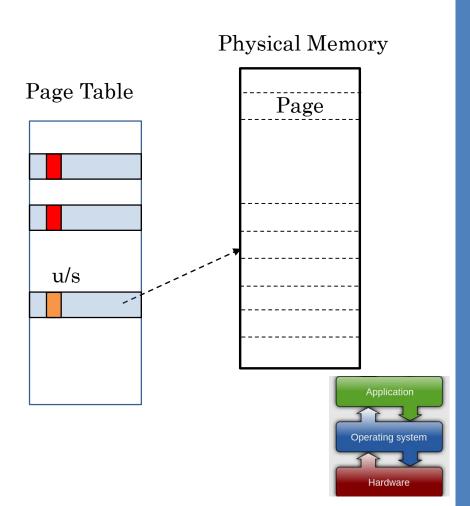
#### User → Kernel





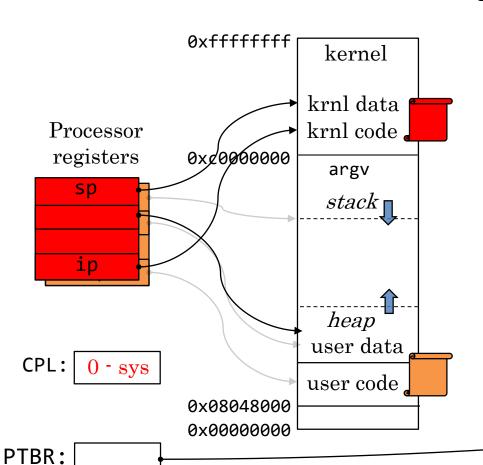
#### User → Kernel



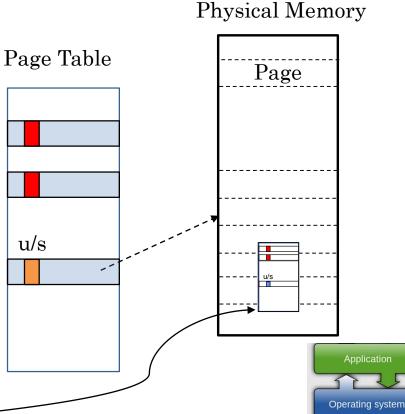


## Page Table Resides in Memory\*

Process Virtual Address Space



\* In the simplest case. Actually more complex. More later.

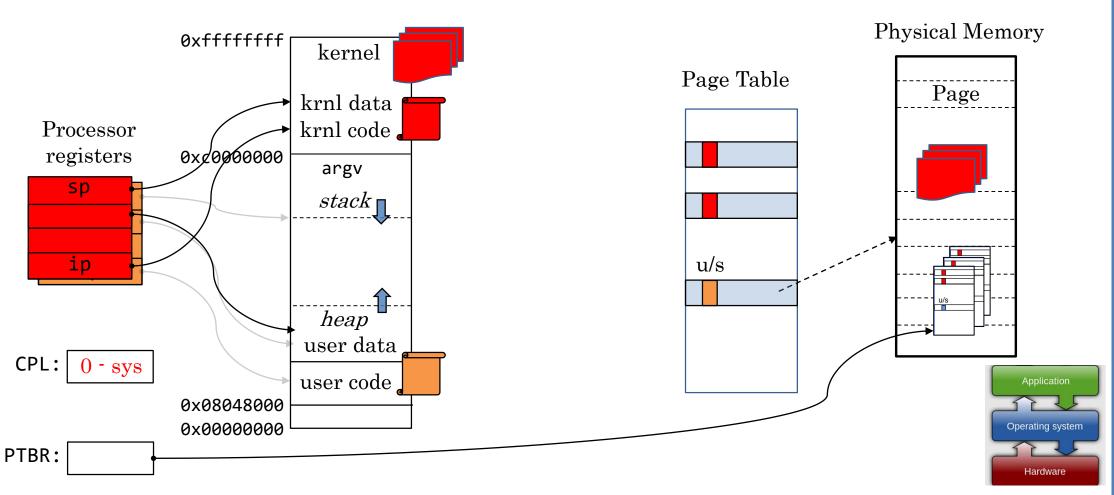


## Kernel Portion of Address Space

- Kernel memory is mapped into address space of every process
  - Just only accessible in kernel mode
- · Contains the kernel code
  - Loaded when the machine booted
- Explicitly mapped to physical memory
  - OS creates the page table
- Used to contain all kernel data structures
  - Lists of processes/threads
  - · Page tables
  - Open file descriptions, sockets, ttys, ...
- Kernel stack for each thread



### 1 Kernel Code, Many Kernel Stacks

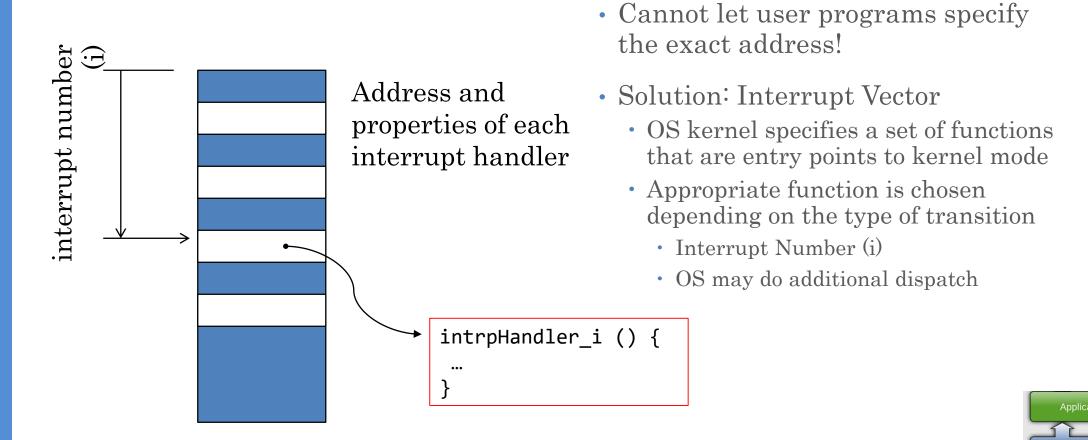


# How to Get to the Correct Kernel Stack?

• The hardware helps us out!



# Recall: Where do User → Kernel Mode Transfers Go?



# Hardware Support for Switching Stacks

- Syscall/Intr  $(U \rightarrow K)$ 
  - PL  $3 \rightarrow 0$ ;
  - TSS  $\leftarrow$  EFLAGS, CS:EIP;
  - SS:ESP  $\leftarrow$  k-thread stack (TSS PL 0);
  - push (old) SS:ESP onto (new) k-stack
  - push (old) EFLAGS, CS:EIP, <err>
  - CS:EIP ← <k target handler>
- Then
  - · Handler then saves other regs, etc.
  - Does all its work, possibly choosing other threads, changing PTBR (CR3)
  - · Kernel thread has set up user GPRs
- iret  $(K \rightarrow U)$ 
  - PL $0 \rightarrow 3$ ;
  - Eflags, CS:EIP  $\leftarrow$  popped off k-stack
  - SS:ESP ← user thread stack (TSS PL 3);

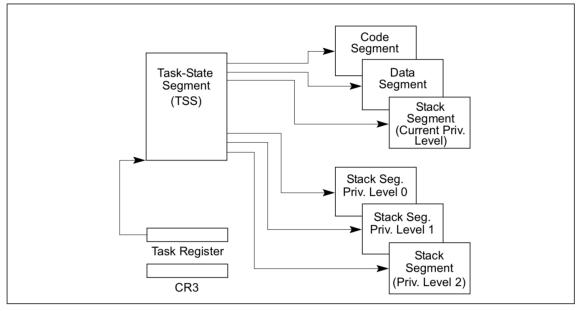


Figure 7-1. Structure of a Task



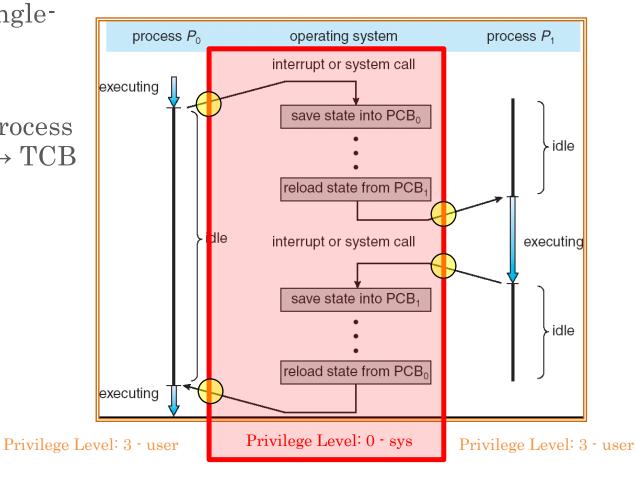
#### Recall: The Process

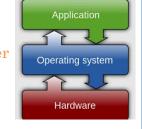
- Definition: execution environment with restricted rights
  - Address Space with One or More Threads
    - Page table per process!
  - Owns memory (mapped pages)
  - Owns file descriptors, file system context, ...
  - Encapsulates one or more threads sharing process resources
- Application program executes as a process
  - Complex applications can fork/exec child processes [later]
- Why processes?
  - Protected from each other. OS Protected from them.
  - Execute concurrently [ trade-offs with threads? later ]
  - · Basic unit OS deals with



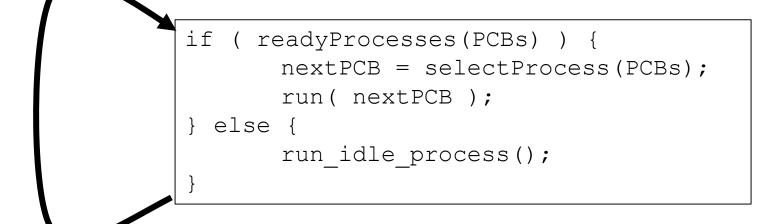
#### **Context Switch**

- Diagram assumes singlethreaded processes
- For multi-threaded process, substitute process
   → thread and PCB → TCB





# Recall: Scheduling

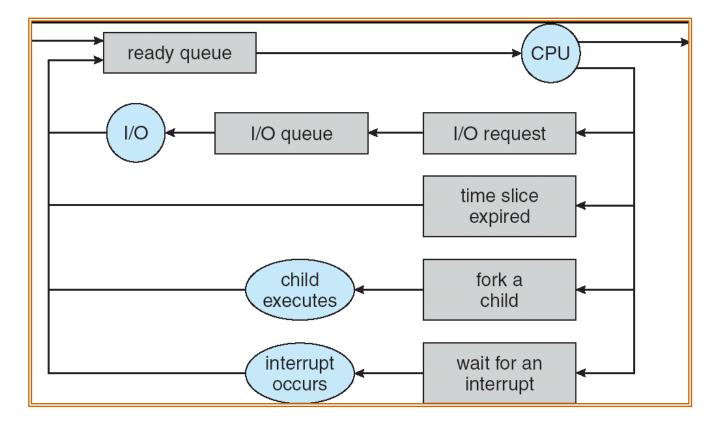


- Scheduling: Mechanism for deciding which processes/threads receive the CPU
- Lots of different scheduling policies provide ...
  - Fairness or
  - Realtime guarantees or
  - Latency optimization or ...



#### Scheduling: All About Queues

- TCBs move from queue to queue
- Scheduling: which order to remove from queue of "ready" threads





#### Announcements

- Assignment 1 due tonight
  - Please finish submitting in time
- Project 1 was posted, due March 24 (design document due March 10)
  - Walkthrough for project 1 will be March 17
  - Don't postpone work for this
- Assignment 2 will be available later this week
- Mardi-Gras break: March 3
- Midterm review: March 10, midterm exam: March 12



# Today: How Does the OS Support the Process Abstraction?

- Support for threads and kernel structure
- Memory layout
- Support for process operations
- Support for I/O
- Influence of IPC/RPC on kernel structure



#### Operations on Process State

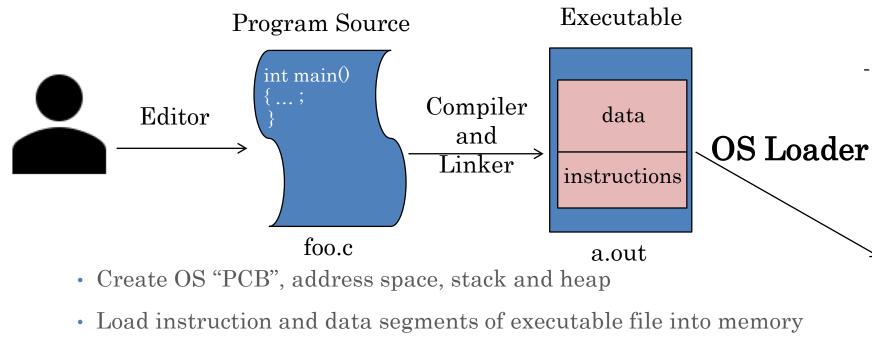
- Process related
  - fork()/exec() (PintOS: process\_create())
  - wait()
- File-system related
  - open()/close()



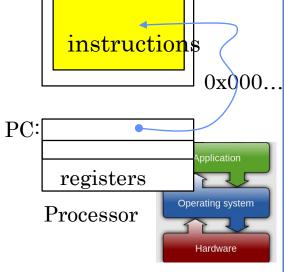
0xFFF..

Memory

### Recall: Run Programs



- "Transfer control to program"
- Provide services to program
- While protecting OS and program



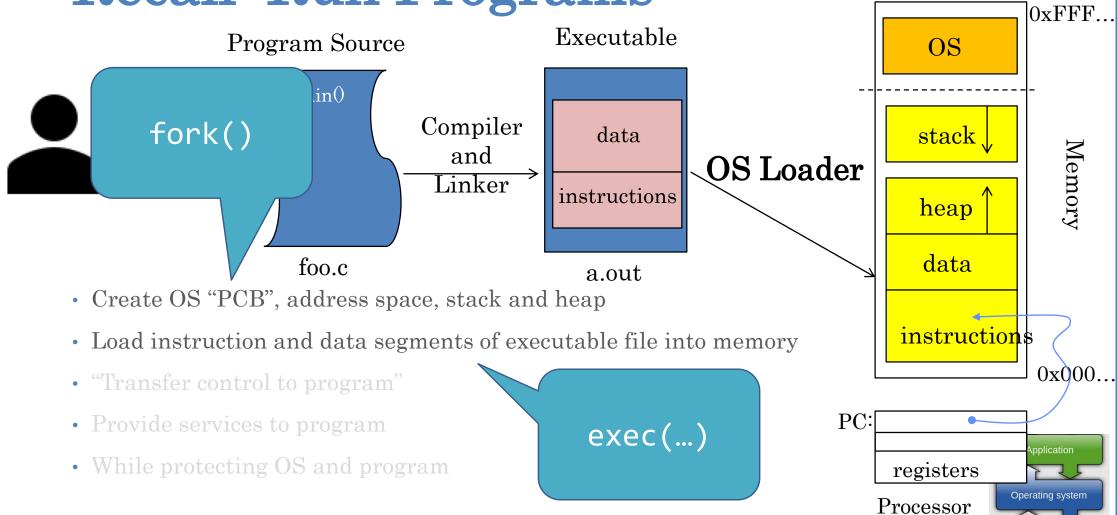
OS

stack

heap

data

#### Recall: Run Programs



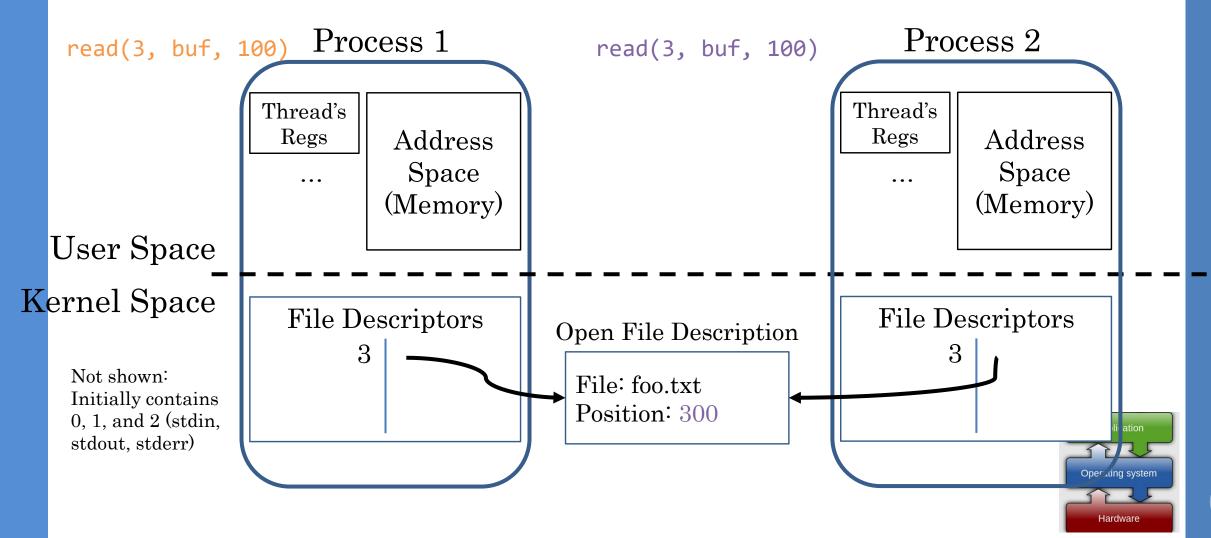
# How to fork() efficiently?

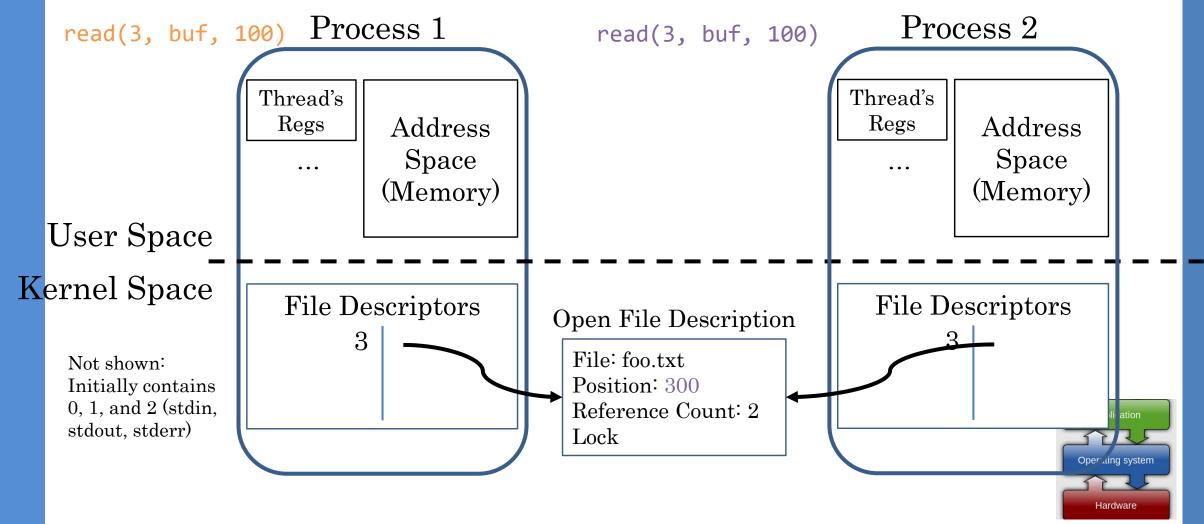
- Alias the pages
  - Same physical address!
  - If we stopped here, the data would be shared (not what we want)
- Mark PTEs read-only
  - If a process tries to write  $\rightarrow$  trap to the OS
- On first write to a page after fork(), kernel copies the page, marks PTEs as writeable
- Illusion of separate memory, but really aliased until first write

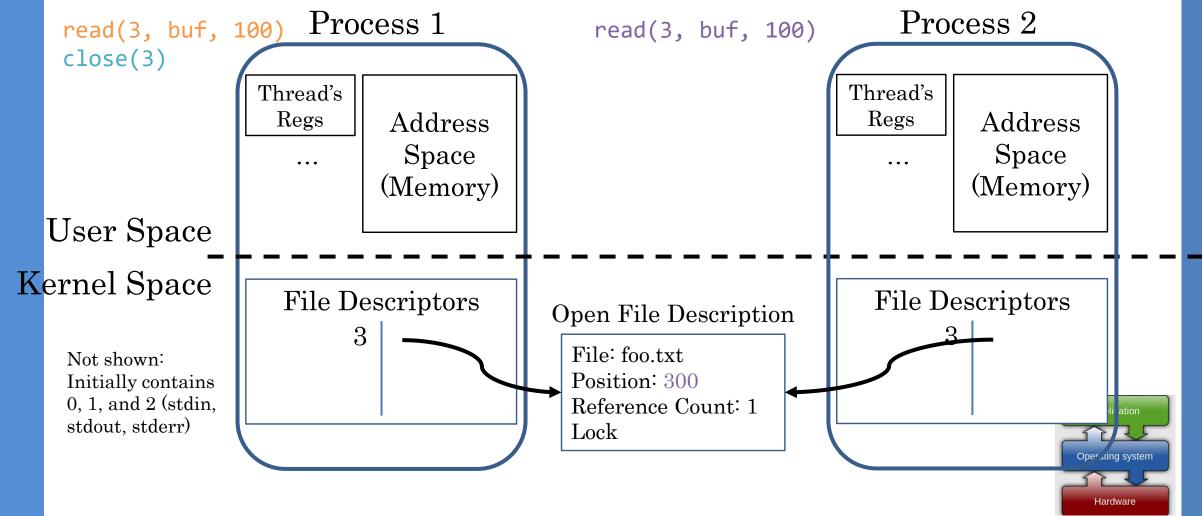
PintOS doesn't support
fork(), just
process\_create()

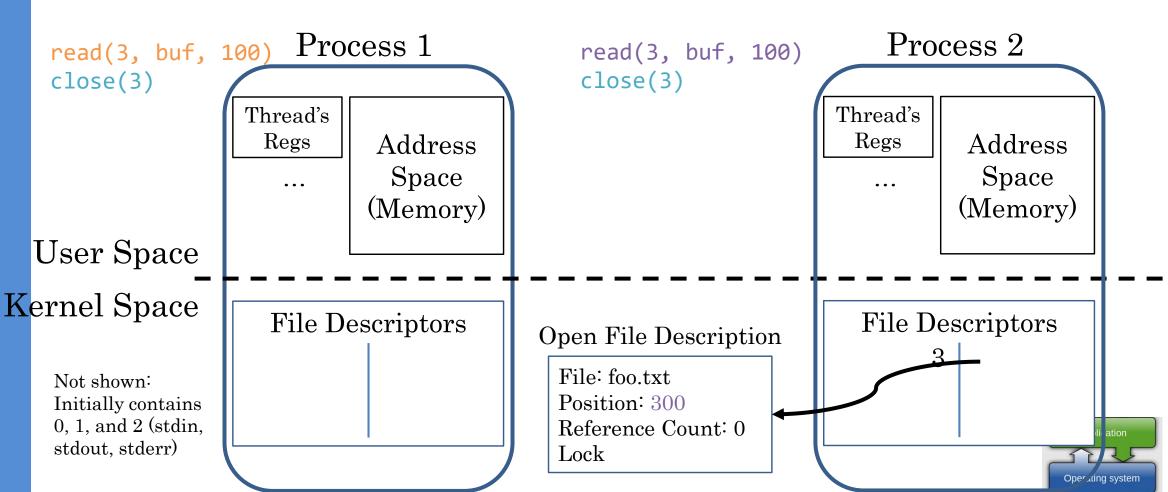


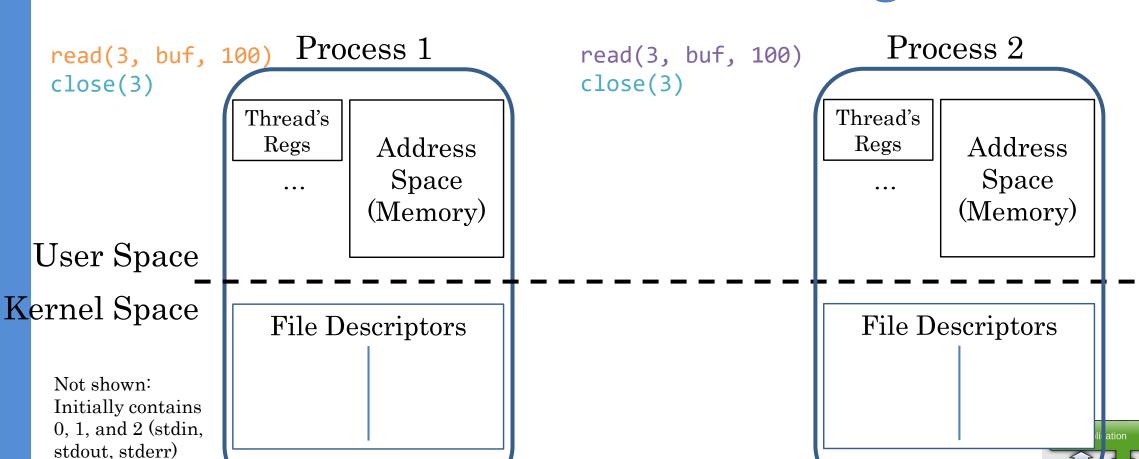
# Recall: Open File Description is Aliased











Operating system

#### What about wait()?

- The parent process needs to get the exit code
- The following events may happen in any order (or concurrently)
  - Parent process calls wait() or exit()
  - Child process calls exit()
- Where should the child put its exit code?
  - Needs to work even if the parent has exited
- Where should the parent search for the exit code?
  - · Needs to work even if the child has exited already





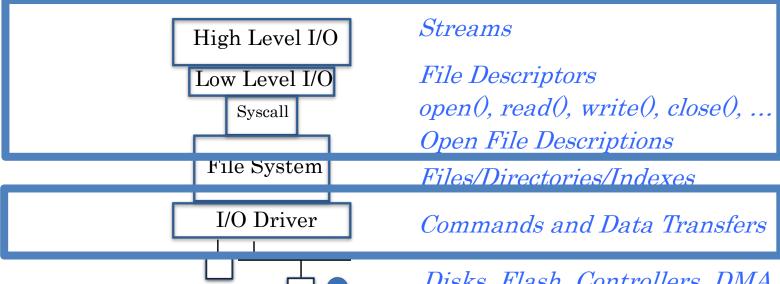
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# Recall: I/O and Storage Layers

Application / Service



What we've covered so far...

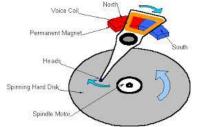
What we'll peek at today















#### Layers...

#### Application / Service

```
High Level I/O

Low Level I/O

Syscall

File System

I/O Driver
```

```
length = read(input_fd, buffer, BUFFER_SIZE);
                                                         User App
   ssize_t read(int, void *, size_t){
                                                      User library
     marshal args into registers
     issue syscall
     register result of syscall to rtn value
   };
     Exception U \rightarrow K, interrupt processing
                                                          Kernel
     void syscall_handler (struct intr_frame *f) {
       unmarshall call#, args from regs
       dispatch: handlers[call#](args)
       marshal results from syscall ret
        ssize_t vfs_read(struct file *file, char __user
       *buf, size_t count, loff_t *pos)
           User Process/File System relationship
           call device driver to do the work
                                                 Device Driver
```

#### Low-Level Driver

- Associated with particular hardware device
- Registers / Unregisters itself with the kernel
- Handler functions for each of the file operations

```
struct file_operations {
    struct module *owner:
   loff_t (*llseek) (struct file *, loff_t, int);
   ssize_t (*read) (struct file *, char __user *, size_t, loff_t *);
   ssize_t (*write) (struct file *, const char __user *, size_t, loff_t *);
   ssize_t (*aio_read) (struct kiocb *, const struct iovec *, unsigned long, loff_t);
   ssize_t (*aio_write) (struct kiocb *, const struct iovec *, unsigned long, loff_t);
    int (*readdir) (struct file *, void *, filldir_t);
   unsigned int (*poll) (struct file *, struct poll_table_struct *);
   int (*ioctl) (struct inode *, struct file *, unsigned int, unsigned long);
    int (*mmap) (struct file *, struct vm_area_struct *);
    int (*open) (struct inode *, struct file *);
    int (*flush) (struct file *, fl_owner_t id);
   int (*release) (struct inode *, struct file *);
        (*fsync) (struct file *, struct dentry *, int datasync);
    int (*fasync) (int, struct file *, int);
   int (*flock) (struct file *, int, struct file_lock *);
    [...]
```



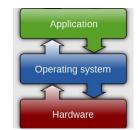
```
ssize_t vfs_read(struct file *file, char __user *buf, size_t count, loff_t *pos)
  ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op | | (!file->f op->read && !file->f op->aio read))
   return -EINVAL;
 if (unlikely(!access ok(VERIFY WRITE, buf, count))) return -EFAULT;
 ret = rw verify area(READ, file, pos, count);
 if (ret >= 0) {
   count = ret;
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
    else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     add rchar(current, ret);
   inc syscr(current);
 return ret;
```

- Read up to count bytes from file starting from pos into buf.
- Return error or number of bytes read.



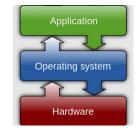
```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
 ssize t ret:
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op || (!file->f op->read && !file->f op->aio read))
   return -EINVAL;
 if (unlikely(!access_ok(VERIFY_WRITE, buf, count))) return -EFAULT;
 ret = rw verify area(READ, file, pos, count);
 if (ret >= 0) {
   count = ret;
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
    else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     add rchar(current, ret);
   inc syscr(current);
 return ret;
```

Make sure we are allowed to read this file



```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
  ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op | (!file->f op->read && !file->f op->aio read))
   return -EINVAL;
 if (unlikely(!access ok(VERIFY WRITE, buf, count))) return -EFAULT;
 ret = rw verify area(READ, file, pos, count);
 if (ret >= 0) {
   count = ret;
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
    else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     add rchar(current, ret);
   inc syscr(current);
 return ret;
```

Check if file has read methods



```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
  ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op | | (!file->f op->read && !file->f op->aio read))
    return -FTNVAI ·
  if (unlikely(!access_ok(VERIFY_WRITE, buf, count))) return -EFAULT;
 ret = rw_verity_area(KEAD, file, pos, count);
 if (ret >= 0) {
   count = ret;
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
    else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     add rchar(current, ret);
   inc_syscr(current);
  return ret;
```

- Check whether we can write to buf (e.g., buf is in the user space range)
- unlikely(): hint to branch prediction this condition is unlikely



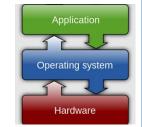
Linux: fs/read write.c

```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
 ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op | | (!file->f op->read && !file->f op->aio read))
    return -EINVAL;
 if (unlikely(laccess ok(VERIEY WRITE, buf, count))) return -FEAULT:
 ret = rw verify area(READ, file, pos, count);
 if (ret >= ७) {
   count = ret;
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
    else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     add rchar(current, ret);
   inc syscr(current);
 return ret;
```

Check whether we read from a valid range in the file.



```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
 ssize t ret;
                                                                          If driver provide a read
 if (!(file->f mode & FMODE READ)) return -EBADF;
                                                                         function (f_op->read)
 if (!file->f op | | (!file->f op->read && !file->f op->aio read))
   return -EINVAL;
                                                                         use it; otherwise use
 if (unlikely(!access_ok(VERIFY_WRITE, buf, count))) return -EFAULT;
                                                                          do_sync_read()
 ret = rw verify area(READ, file, pos, count);
 if (ret >= 0) {
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
   else
     ret = do sync read(file, buf, count, pos);
     fsnotify_access(file->f_path.dentry);
     add rchar(current, ret);
   inc syscr(current);
 return ret;
```



```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
 ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op | | (!file->f op->read && !file->f op->aio read))
   return -EINVAL;
 if (unlikely(!access_ok(VERIFY_WRITE, buf, count))) return -EFAULT;
 ret = rw verify area(READ, file, pos, count);
 if (ret >= 0) {
   count = ret;
                                   Notify the parent of this file that the file was read
   if (file->f op->read)
                                   (see http://www.fieldses.org/~bfields/kernel/vfs.txt)
     ret = file->f op->read(file,
   else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     auu_rchar(current, ret),
   inc syscr(current);
 return ret;
```

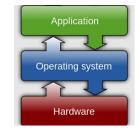


```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
 ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f op | | (!file->f op->read && !file->f op->aio read))
   return -EINVAL;
 if (unlikely(!access_ok(VERIFY_WRITE, buf, count))) return -EFAULT;
 ret = rw verify area(READ, file, pos, count);
 if (ret >= 0) {
   count = ret;
   if (file->f op->read)
     ret = file->f op->read(file, buf, count, pos);
    else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify access(file->f path.dentry);
     add_rchar(current, ret);
   inc syscr(current);
  return ret;
```

Update the number of bytes read by "current" task (for scheduling purposes)



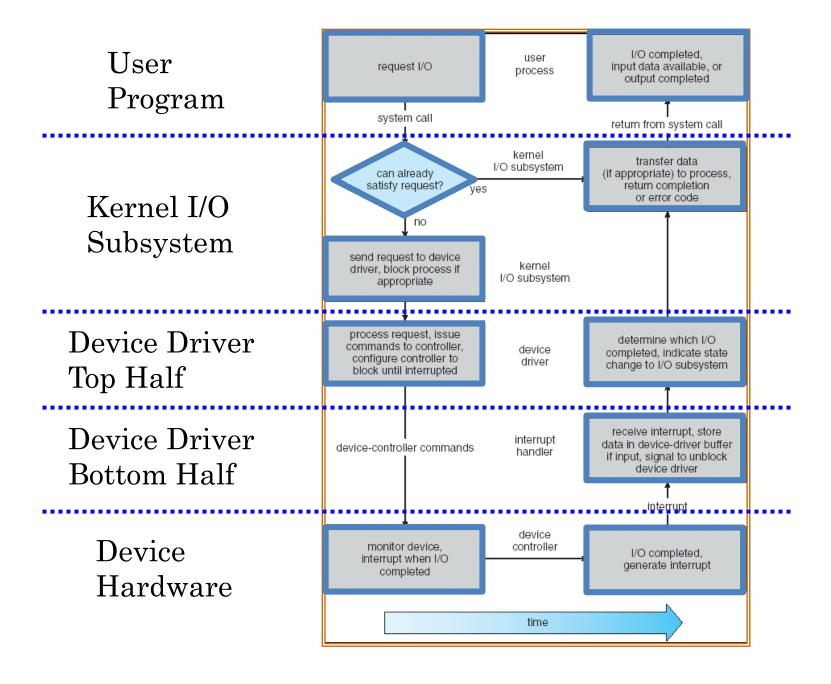
```
ssize t vfs read(struct file *file, char user *buf, size t count, loff t *pos)
 ssize_t ret;
 if (!(file->f mode & FMODE READ)) return -EBADF;
 if (!file->f_op || (!file->f_op->read && !file->f_op->aio_read))
   return -EINVAL;
 if (unlikely(!access_ok(VERIFY_WRITE, buf, count))) return -EFAULT;
                                                                          Update the number of
 ret = rw verify area(READ, file, pos, count);
                                                                          read syscalls by
 if (ret >= 0) {
   count = ret;
                                                                          "current" task (for
   if (file->f op->read)
                                                                          scheduling purposes)
     ret = file->f op->read(file, buf, count, pos);
   else
     ret = do sync read(file, buf, count, pos);
   if (ret > 0) {
     fsnotify_access(file->f_path.dentry);
     add_rchar(current, ret);
   inc_syscr(current);
 return ret;
```



#### **Device Drivers**

- Device-specific code in the kernel that interacts directly with the device hardware
  - Supports a standard, internal interface
  - Same kernel I/O system can interact easily with different device drivers
  - Special device-specific configuration supported with the ioctl() system call
- Device Drivers typically divided into two pieces:
  - Top half: accessed in call path from system calls
    - Implements a set of standard, cross-device calls like open(), close(), read(), write(), ioctl(), strategy()
    - This is the kernel's interface to the device driver
    - Top half will start I/O to device, may put thread to sleep until finished
  - Bottom half: run as interrupt routine
    - · Gets input or transfers next block of output
    - May wake sleeping threads if I/O now complete



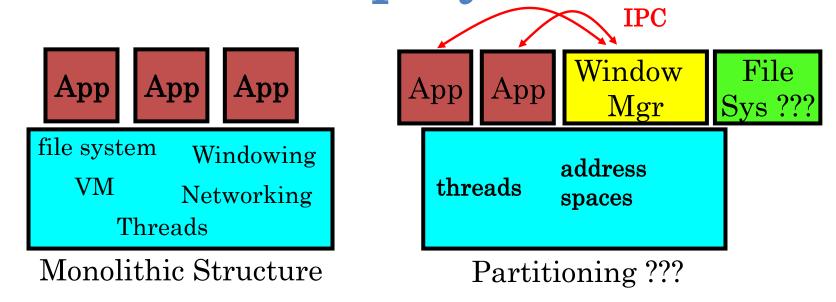


# Today: How Does the OS Support the Process Abstraction?

- Support for threads and kernel structure
- Memory layout
- Support for process operations
- Support for I/O
- Influence of IPC/RPC on kernel structure



#### Recall: IPC to Simplify OS



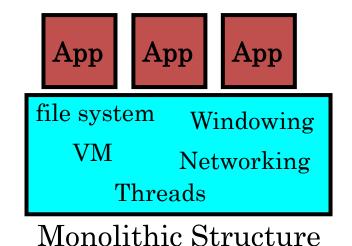
What if the file system is not local to the machine, but on the network?

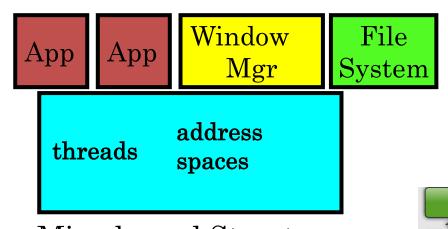
- Is there a general mechanism for providing services to other processes?
  - Do the protocols we run on top of IPC generalize as well?



#### Microkernels

- Split OS into separate processes
  - Example: File System, Network Driver are processes outside of the kernel
- Pass messages among these components (e.g., via RPC) instead of system calls



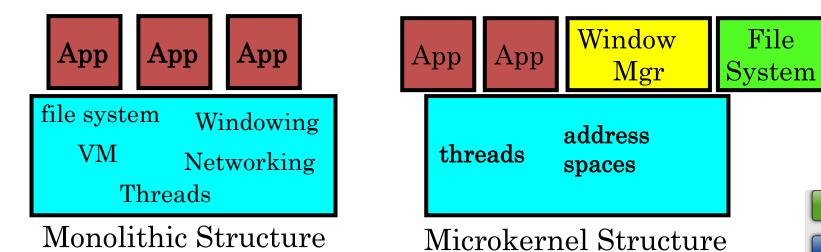


Operating system

File

#### Microkernels

- Microkernel itself provides only essential services
  - Communication
  - Address space management
  - Thread scheduling
  - Almost-direct access to hardware devices (for driver processes)



Operating system

#### Why Microkernels?

#### Pros

- Failure Isolation
- Easier to update/replace parts
- Easier to distribute build one OS that encompasses multiple machines

#### Cons

- More communication overhead and context switching
- Harder to implement?



#### Flashback: What is an OS?

- Always:
  - Memory Management
  - Not provided in a • I/O Management strict microkernel
  - · CPU Scheduling
  - Communications
  - Multitasking/multiprogramming
- Maybe:
  - File System?
  - Multimedia Support?
  - User Interface?
  - Web Browser?



#### Influence of Microkernels

- Many operating systems provide some services externally, similar to a microkernel
  - OS X and Linux: Windowing (graphics and UI)
- Some currently monolithic OSes started as microkernels
  - · Windows family originally had microkernel design
  - OS X: Hybrid of Mach microkernel and FreeBSD monolithic kernel



#### Conclusion

- We studied the structure of the kernel
  - · Kernel thread backing every user thread
- We saw how the kernel organizes a process' memory
  - · Kernel memory mapped into each process' virtual address space
- We saw how the kernel supports operations on processes
  - fork, wait, exec, open file descriptions...
- We saw how the kernel handles I/O
  - Device drivers
- We saw how IPC influences the structure of the kernel
  - Service provide by other processes











