Processes I
CSE 351 Autumn 2022

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http://rebrn.com/re/bad-chrome-1162082/
Relevant Course Information

- hw17 due tonight
- hw19 due Friday (11/18)
  - Lab 4 preparation!
- hw20 due Monday (11/21)

Lab 4 due Monday after Thanksgiving (11/28)
Mid-quarter Survey Debrief

- Pace is a little fast (lecture pace, lots of assignments)
- Readings are mostly good, but could be improved
  - Question explanations are good though could have more, text can be dense and difficult to understand
- HW: formatting is frustrating, questions can be vague, more explanations would be good
- Labs: difficult to start, having partners helps
- Midterm:
  - Stack question (Q6) was difficult, and GDB experience depended on comfort level
  - Love and hate for the design/explanation questions
AMAT, Revisited

- *Average Memory Access Time* (AMAT): average time to access memory considering both hits and misses
  \[ \text{AMAT} = \text{Hit time} + \text{Miss rate} \times \text{Miss penalty} \]
  (abbreviated \(\text{AMAT} = \text{HT} + \text{MR} \times \text{MP}\))

- We called this a *cache performance metric*
  - This isn’t the only metric we could have used!
Metrics in Computing

- Generally, folks care most about performance
  - Energy-efficiency is more important now since the plateau in 2004/2005
  - This is why we have so many specialized chips nowadays

- Really, this is just **efficiency** – making efficient use of the resources that we have
  - Performance: cycles/instruction, seconds/program
  - Energy efficiency: performance/watt
  - Memory: bytes/program, bytes/data structure
Metrics

❖ What do we do with metrics?
  ▪ We tend to optimize along them!
  ▪ Especially when jobs/funding depend on better performance along some metric
    • See all of Intel under “Moore’s Law”

❖ Sometimes, strange incentives emerge
  ▪ “Minimize the number of bugs on our dashboard”
    • Does it count if we make the bugs invisible?
  ▪ “Make this faster for our demo in a week”
    • Shortcuts might hurt performance at scale
  ▪ “Minimize our average memory access time”
    • What if we add more memory accesses that we know will hit?
Metrics and Success

❖ Success is *defined along metrics*
  ▪ This affects how we measure and optimize

❖ Let’s say that we choose *performance/program* or *performance/program set* (*i.e.*, benchmarks):
  1. Measure existing performance
  2. Come up with a bunch of optimizations that would improve performance
  3. Select a few to build into the “next version”
Metrics and Success

❖ Success is *defined along metrics*
  - This affects how we measure and optimize

❖ Let’s say that we choose **profit/year** or **stock price**:
  - Success means earning more profit than last year
  - Improvement or optimizations might include:
    • Reduce expenses, cut staff
    • Sell more things or fancier things (*e.g.*, in-app purchases)
    • Make people pay monthly for things they could get for free
    • Increase advertising revenue:

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The New York Times

**Whistle-Blower Says Facebook ‘Chooses Profits Over Safety’**

Frances Haugen, a Facebook product manager who left the company in May, revealed that she had provided internal documents to journalists and others.
Metrics and Success

❖ Success is *defined along metrics*
  ▪ This affects how we measure and optimize

❖ Let’s say that we choose *minoritized participation in computing*:
  ▪ What does success/participation mean (and dangers)?
    • Women? BIPOC? All minoritized lumped together?
      – Might optimize for one group at the expense of others
    • Taking intro? Passing intro? Getting a degree? Getting a job?
      – Says nothing about retention or participation/decision-making level
Design Considerations

❖ Regardless of what we build, the way that we define success shapes the systems we build

  ▪ Choose your metrics carefully
  ▪ There’s more to choose from than performance (e.g., usability, access, simplicity, agency)

❖ Metrics are a “heading” (in the navigational sense)
  ▪ Best to reevaluate from time to time in case you’re off course or your destination changes
The Hardware/Software Interface

- Topic Group 3: Scale & Coherence
  - Caches, Processes, Virtual Memory, Memory Allocation

- How do we maintain logical consistency in the face of more data and more processes?
  - How do we support control flow both within many processes and things external to the computer?
  - How do we support data access, including dynamic requests, across multiple processes?
Reading Review

❖ Terminology:
  - Exceptional control flow, event handlers
  - Operating system kernel
  - Exceptions: interrupts, traps, faults, aborts
  - Processes: concurrency, context switching, fork-exec model, process ID

❖ Questions from the Reading?
Leading Up to Processes

- System Control Flow
  - Control flow
  - Exceptional control flow
  - Asynchronous exceptions (interrupts)
  - Synchronous exceptions (traps & faults)
Control Flow

❖ **So far:** we’ve seen how the flow of control changes as a *single program* executes

❖ **Reality:** multiple programs running *concurrently*
  - How does control flow across the many components of the system?
  - In particular: More programs running than CPUs

❖ **Exceptional control flow** is basic mechanism used for:
  - Transferring control between *processes* and OS
  - Handling *I/O* and *virtual memory* within the OS
  - Implementing multi-process apps like shells and web servers
  - Implementing concurrency
Control Flow

- Processors do only one thing:
  - From startup to shutdown, a CPU simply reads and executes (interprets) a sequence of instructions, one at a time
  - This sequence is the CPU’s control flow (or flow of control)

Physical control flow

<startup>
instr_1
instr_2
instr_3
...
instr_n
<shutdown>
Altering the Control Flow

- Up to now, two ways to change control flow:
  - Jumps (conditional and unconditional)
  - Call and return
  - Both react to changes in program state

- Processor also needs to react to changes in system state
  - Unix/Linux user hits “Ctrl-C” at the keyboard
  - User clicks on a different application’s window on the screen
  - Data arrives from a disk or a network adapter
  - Instruction divides by zero
  - System timer expires

- Can jumps and procedure calls achieve this?
  - No – the system needs mechanisms for “exceptional” control flow!
Exceptional Control Flow

 Exists at all levels of a computer system

 Low level mechanisms
  - Exceptions
    - Change in processor’s control flow in response to a system event (i.e., change in system state, user-generated interrupt)
    - Implemented using a combination of hardware and OS software

 Higher level mechanisms
  - Process context switch
    - Implemented by OS software and hardware timer
  - Signals
    - Implemented by OS software
    - We won’t cover these – see CSE451 and EE/CSE474
Exceptions (Review)

- An exception is transfer of control to the operating system (OS) kernel in response to some event (i.e., change in processor state)
  - Kernel is the memory-resident part of the OS
  - Examples: division by 0, page fault, I/O request completes, Ctrl-C

How does the system know where to jump to in the OS?
Exception Table

- A jump table for exceptions (also called *Interrupt Vector Table*)
  - Each type of event has a unique exception number $k$
  - $k = \text{index into exception table (a.k.a interrupt vector)}$
  - Handler $k$ is called each time exception $k$ occurs
# Exception Table (Excerpt)

<table>
<thead>
<tr>
<th>Exception Number</th>
<th>Description</th>
<th>Exception Class</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Divide error</td>
<td>Fault</td>
</tr>
<tr>
<td>13</td>
<td>General protection fault</td>
<td>Fault</td>
</tr>
<tr>
<td>14</td>
<td>Page fault</td>
<td>Fault</td>
</tr>
<tr>
<td>18</td>
<td>Machine check</td>
<td>Abort</td>
</tr>
<tr>
<td>32-255</td>
<td>OS-defined</td>
<td>Interrupt or trap</td>
</tr>
</tbody>
</table>

This is extra (non-testable) material
Leading Up to Processes

❖ System Control Flow
  ▪ Control flow
  ▪ Exceptional control flow
  ▪ Asynchronous exceptions (interrupts)
  ▪ Synchronous exceptions (traps & faults)
Asynchronous Exceptions (Review)

- **Interrupts**: caused by events external to the processor
  - Indicated by setting the processor’s interrupt pin(s) (wire into CPU)
  - After interrupt handler runs, the handler returns to “next” instruction

- **Examples**:
  - I/O interrupts
    - Hitting Ctrl-C on the keyboard
    - Clicking a mouse button or tapping a touchscreen
    - Arrival of a packet from a network
    - Arrival of data from a disk
  - Timer interrupt
    - Every few milliseconds, an external timer chip triggers an interrupt
    - Used by the OS kernel to take back control from user programs
**Synchronous Exceptions (Review)**

- Caused by events that occur as a result of executing an instruction:
  - **Traps**
    - **Intentional**: transfer control to OS to perform some function
    - **Examples**: system calls, breakpoint traps, special instructions
    - Returns control to “next” instruction
  - **Faults**
    - **Unintentional** but possibly recoverable
    - **Examples**: page faults, segment protection faults, integer divide-by-zero exceptions
    - Either re-executes faulting (“current”) instruction or aborts
  - **Aborts**
    - **Unintentional** and unrecoverable
    - **Examples**: parity error, machine check (hardware failure detected)
    - Aborts current program
System Calls

- Each system call has a unique ID number
- Examples for Linux on x86-64:

<table>
<thead>
<tr>
<th>Number</th>
<th>Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>read</td>
<td>Read file</td>
</tr>
<tr>
<td>1</td>
<td>write</td>
<td>Write file</td>
</tr>
<tr>
<td>2</td>
<td>open</td>
<td>Open file</td>
</tr>
<tr>
<td>3</td>
<td>close</td>
<td>Close file</td>
</tr>
<tr>
<td>4</td>
<td>stat</td>
<td>Get info about file</td>
</tr>
<tr>
<td>57</td>
<td>fork</td>
<td>Create process</td>
</tr>
<tr>
<td>59</td>
<td>execve</td>
<td>Execute a program</td>
</tr>
<tr>
<td>60</td>
<td>_exit</td>
<td>Terminate process</td>
</tr>
<tr>
<td>62</td>
<td>kill</td>
<td>Send signal to process</td>
</tr>
</tbody>
</table>
Traps Example: Opening File

- **User calls** `open(filename, options)`
- **Calls** `__open` function, which invokes system call instruction `syscall`

```
000000000000e5d70 <__open>:
...
e5d79: b8 02 00 00 00       mov $0x2,%eax  # open is syscall 2
e5d7e: 0f 05               syscall  # return value in %rax
e5d80: 48 3d 01 f0 ff ff    cmp $0xfffffffffffff001,%rax
...
e5dfa: c3                   retq
```

- `%rax` contains syscall number
- Other arguments in `%rdi`, `%rsi`, `%rdx`, `%r10`, `%r8`, `%r9
- Return value in `%rax`
- Negative value is an error corresponding to negative `errno`
Fault Example: Page Fault

- User writes to memory location
- That portion (page) of user’s memory is currently on disk

```c
int a[1000];
int main () {
    a[500] = 13;
}
```

80483b7:  c7 05 10 9d 04 08 0d `movl` $0xd,0x8049d10

- Page fault handler must load page into physical memory
- Returns to faulting instruction: `mov` is executed again!
  - Successful on second try
Fault Example: Invalid Memory Reference

```c
int a[1000];
int main() {
    a[5000] = 13;
}
```

80483b7: c7 05 60 e3 04 08 0d movl $0xd, 0x804e360

- Page fault handler detects invalid address
- Sends SIGSEGV signal to user process
- User process exits with “segmentation fault”
Processes

❖ Processes and context switching
❖ Creating new processes
  ▪ `fork()`, `exec*()`, and `wait()`
❖ Zombies
What is a process? (Review)  

It’s an illusion!
What is a process? (Review)

- Another *abstraction* in our computer system
  - Provided by the OS
  - OS uses a data structure to represent each process
  - Maintains the *interface* between the program and the underlying hardware (CPU + memory)

- What do *processes* have to do with *exceptional control flow*?
  - Exceptional control flow is the *mechanism* the OS uses to enable *multiple processes* to run on the same system

- What is the difference between:
  - A processor? A program? A process?
Processes (Review)

❖ A **process** is an instance of a running program
  ▪ One of the most profound ideas in computer science

❖ Process provides each program with two key abstractions:
  ▪ **Logical control flow**
    • Each program seems to have exclusive use of the CPU
    • Provided by kernel mechanism called **context switching**
  ▪ **Private address space**
    • Each program seems to have exclusive use of main memory
    • Provided by kernel mechanism called **virtual memory**
What is a process?

It’s an illusion!
What is a process?

It’s an illusion!

Operating System

Computer

Disk

/Applications/

Chrome.exe  Slack.exe  PowerPoint.exe

Process 1

Process 2

Process 3

Process 4

Operating System
Multiprocessing: The Illusion

- Computer runs many processes simultaneously
  - Applications for one or more users
    - Web browsers, email clients, editors, ...
  - Background tasks
    - Monitoring network & I/O devices
Multiprocessing: The Reality

- Single processor executes multiple processes *concurrently*
  - Process executions interleaved, CPU runs *one at a time*
  - Address spaces managed by virtual memory system (later in course)
  - *Execution context* (register values, stack, ...) for other processes saved in memory
Multiprocessing (Review)

❖ **Context switch**

1) **Save current registers in memory**
Multiprocessing (Review)

❖ Context switch

1) Save current registers in memory
2) Schedule next process for execution
Multiprocessing (Review)

- **Context switch**
  1. Save current registers in memory
  2. Schedule next process for execution
  3. Load saved registers and switch address space
Multiprocessing: The (Modern) Reality

- **Multicore processors**
  - Multiple CPUs (“cores”) on single chip
  - Share main memory (and some of the caches)
  - Each can execute a separate process
    - Kernel schedules processes to cores
    - *Still constantly swapping processes*
Concurrent Processes

- Each process is a logical control flow
- Two processes run concurrently (are concurrent) if their instruction executions (flows) overlap in time
  - Otherwise, they are sequential
- Example: (running on single core)
  - Concurrent: A & B, A & C
  - Sequential: B & C

Assume only one CPU
User’s View of Concurrency

- Control flows for concurrent processes are physically disjoint in time
  - CPU only executes instructions for one process at a time

- However, the user can *think of* concurrent processes as executing at the same time, in *parallel*
Context Switching

- Processes are managed by a *shared* chunk of OS code called the **kernel**
  - The kernel is not a separate process, but rather runs as part of a user process

- In x86-64 Linux:
  - Same address in each process refers to same shared memory location

Assume only one CPU
Context Switching (Review)

- Processes are managed by a *shared* chunk of OS code called the *kernel*
  - The kernel is not a separate process, but rather runs as part of a user process
- Context switch passes control flow from one process to another and is performed using kernel code

Assume only one CPU
Processes

❖ Processes and context switching

❖ Creating new processes
  ▪ `fork()` and `exec*()`

❖ Ending a process
  ▪ `exit()`, `wait()`, `waitpid()`
  ▪ Zombies
Creating New Processes & Programs

Process 1

```
<table>
<thead>
<tr>
<th>“Memory”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stack</td>
</tr>
<tr>
<td>Heap</td>
</tr>
<tr>
<td>Data</td>
</tr>
<tr>
<td>Code</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>“CPU”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registers</td>
</tr>
</tbody>
</table>
```

Process 2

```
<table>
<thead>
<tr>
<th>“Memory”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stack</td>
</tr>
<tr>
<td>Heap</td>
</tr>
<tr>
<td>Data</td>
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<tr>
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<tr>
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<tbody>
<tr>
<td>Registers</td>
</tr>
</tbody>
</table>
```

fork() → exec*() → Chrome.exe
Creating New Processes & Programs

❖ fork-exec model (Linux):
  ▪ `fork()` creates a copy of the current process
  ▪ `exec*()` replaces the current process’ code and address space with the code for a different program
    • Family: `execv`, `execl`, `execve`, `execle`, `execvp`, `execlp`
  ▪ `fork()` and `execve()` are system calls

❖ Other system calls for process management:
  ▪ `getpid()`
  ▪ `exit()`
  ▪ `wait()`, `waitpid()`
fork: Creating New Processes

- **pid_t fork(void)**
  - Creates a new “child” process that is *identical* to the calling “parent” process, including all state (memory, registers, etc.)
  - Returns 0 to the child process
  - Returns child’s process ID (PID) to the parent process

- Child is *almost* identical to parent:
  - Child gets an identical (but separate) copy of the parent’s virtual address space
  - Child has a different PID than the parent

- **fork** is unique (and often confusing) because it is called *once* but returns “*twice*”

```c
pid_t pid = fork();
if (pid == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```
Understanding `fork()`

**Process X** *(parent; PID X)*

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```

**Process Y** *(child; PID Y)*

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```
Understanding `fork()`

**Process X (parent; PID X)**

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
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}
```

**Process Y (child; PID Y)**

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```

`fork_ret = Y`

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```

`fork_ret = 0`

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```
Understanding `fork()`

**Process X (parent; PID X)**

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
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} else {
    printf("hello from parent\n");
}
```

**Process Y (child; PID Y)**

```c
pid_t fork_ret = fork();
if (fork_ret == 0) {
    printf("hello from child\n");
} else {
    printf("hello from parent\n");
}
```

Which one appears first?
Summary

❖ Exceptions

▪ Events that require non-standard control flow
▪ Generated asynchronously (interrupts) or synchronously (traps and faults)
▪ After an exception is handled, either:
  • Re-execute the current instruction
  • Resume execution with the next instruction
  • Abort the process that caused the exception

❖ Processes

▪ Only one of many active processes executes at a time on a CPU, but each appears to have total control of the processor
▪ OS periodically “context switches” between active processes