Lecture Questions

• What is the basic control flow of the system?
• Why do transitions from user code to the OS take place?
• Since they run on the same CPU, why can’t applications do everything the OS can do?
• What happens on a transition from user code into the OS?
• On a transition from the OS to user code?
• What mechanisms does the hardware provide to help the OS keep control of the system?
• When the OS is running, what stack is it using (in xk)?
• How does xk use the segmented memory system provided by x86_64?
• How is memory protected?
• How are IO devices protected?
Low-level architecture affects the OS dramatically

Who’s making sure the app behaves?

Who should get to define what “behaves” means?

(Hardware provides mechanism and OS provides policy.)
Low-level architecture affects the OS dramatically

- The operating system supports **sharing** of hardware and **protection** of hardware
  - multiple applications can run concurrently, sharing resources
  - a buggy or malicious application can’t violate other applications or the system

- Those are high level goals
  - There are many mechanisms that can be used to achieve them

- The architecture determines which approaches are viable (reasonably efficient, or even possible)
  - includes instruction set (synchronization, I/O, …)
  - also hardware components like MMU or DMA controllers
Architectural features affecting OS’s

- These hardware features were built primarily to support OS’s:
  - timer (clock) operation
  - synchronization instructions (e.g., atomic test-and-set, mem fence)
  - memory protection
  - I/O control operations
  - interrupts and exceptions
  - protected modes of execution (kernel vs. user)
  - privileged instructions
  - system calls (and software interrupts)
  - virtualization architectures
The OS Needs To Be Special

• Only the OS should be able to:
  • directly access I/O devices (disks, network cards)
    • why?
  • manipulate memory state management
    • page table pointers, TLB loads, etc.
    • why?
  • manipulate special ‘mode bits’
    • interrupt priority level
    • why?

• But users can put any bit strings in memory they want
  • so they can execute any instructions that the OS uses to do those things

• So how can this work?
So How Can This Work?

• Some hardware resource must be available to the OS but not to applications
  • Could be instructions
  • Could be access to special registers and/or addresses
• Turns out it’s both!

• The CPU hardware provides privileged instructions that “only the OS can execute”

• Some resources can be modified only by instructions that are privileged
  • E.g., information related to address translation

• The OS can use them to establish an execution environment that limits access (e.g., to memory)
  • The application cannot remove the restrictions because it must execute privileged instructions to do so
“... only the OS can execute”

• This is a policy goal
  • What mechanism(s) can be used to achieve it?

• Q1 (Mechanism): How can the CPU hardware tell when the OS is running?
  • A0: How about instructions in some range of memory addresses are the OS and instructions at other addresses aren’t?
  • A1: It can’t. The OS is a concept, the hardware is a state machine. (So need a mechanism that code can use to say, “I’m the OS” (which is a policy decision).)

• Q2 (Policy): What should happen when something that isn’t the OS tries to execute a privileged instruction?
  • (Poor) A2: As a mechanism, the CPU could just consider it to be a NOP, say.
  • (Good) A2: Gee, what happens is really a policy decision. The OS should make it, not the hardware.
Mechanism: How Does CPU Decide Whether or Not to Execute a Privileged Instruction

- **Privilege Level**: There is at least one bit of data somewhere accessible to the CPU (e.g., in a special register)
  - When the bit == 1 we say we’re executing in privileged mode, and the CPU is willing to execute privileged instructions
  - When the bit == 0 we say we’re executing in unprivileged (or user) mode, and the CPU is unwilling to execute privileged instructions
  - (Processors typically offer more than just two privilege levels, to support more sophisticated code structure in the OS.)

- **Exception Mechanism**: What happens if the CPU hardware fetches a privileged instruction while in unprivileged mode?
  - The hardware invokes the OS, so that it can decide what to do
  - We’ll see exactly how in just a bit
Making CPU Privilege Mode == Running OS

• OS runs first (boot)
  • CPU starts in privileged mode
• OS sets privilege mode to user before handing CPU over to user code
  • So far so good...
• Eventually we need to run the OS again...
Entering the OS: system calls

- Sometimes user code wants the OS to do something for it
  - E.g., read/write files, send/receive network data, start another program running, etc.
- In the abstract, it wants to do a procedure call, as though the OS were a library
  - Establish some arguments to be passed to the OS
  - Let the OS run for a bit and produce return values (and/or side effects)
  - Return to the application statement following the call to the OS procedure
  - Find the return values produced by the OS

- CPU is at user privilege while executing user code
- CPU needs to be in privileged mode while executing the OS
- So, how can the user cause the CPU to transition from unprivileged to privileged?
Making CPU Privilege Mode == Running OS

- Each transition from user level code to OS code transfers control to the same place (the orange arrow)
- The user level code passes as an argument a “syscall number” identifying which operation it is asking for (as well as any further arguments needed for that system call)
- The OS runs at privileged level starting with lines of code it decided upon
- User level code can’t both elevate CPU privilege level **and** define what instruction to execute next
System Calls

• User programs must cause execution of an OS method
  • OS defines a set of system calls
  • App code places a bunch of arguments to the call somewhere the OS can find them
    • e.g., on the stack or in registers
  • One of the arguments “names” the system call that is being requested
    • usually a syscall number (whose meaning is defined by the OS)
    • when app code wants to call a subroutine in that app, how does it “name” which one it wants?
  • App executes a syscall instruction
    • Hardware: CPU privilege level is set to privileged and PC is set to the contents of a privileged register
      (after PC of the calling code is first saved)
    • during boot the OS set that register to point at the OS “trap handler” method
    • user code can’t mess with it because modifying that register is a privileged operation
syscall/sysret instructions

• The syscall instruction **atomically:**
  • Sets the execution mode to privileged
  • Sets the PC to a handler address (that was established by the OS during boot)
  • Saves the current (user) PC
    • Why?

• The sysret instruction atomically:
  • Restores the previously saved user PC
  • Sets the execution mode to unprivileged
“Protected procedure call”

• Caller puts arguments in a place callee expects (registers or stack)
• Caller causes jump to OS by executing syscall instruction
  • The OS determines what address to start executing at, not the caller
  • One of the passed args is a syscall number, indicating which OS function to invoke
  • Some hardware state that can’t be saved if left to software (e.g., the user level PC of the instruction that follows the syscall instruction) is “pushed on the stack”
    • Which stack?

• Callee (OS) saves caller’s state (registers, other control state)
• OS function code runs
  • OS must verify caller’s arguments (e.g., pointers)
• OS (mostly) restores caller’s state
• OS returns by executing sysret instruction
  • Automatically sets execution mode to user and PC to return address previously saved on the stack
A kernel crossing illustrated

Firefox: `read(int fileDescriptor, void *buffer, int numBytes)`

- Save user PC
- `PC = trap handler address`
- Enter kernel mode

- Save app state
- Verify syscall number
- Find `sys_read()` handler in vector table

- `sys_read()` kernel routine
  - Verify args
  - Initiate read
  - Choose next process to run
  - Setup return values
  - Restore app state

- `SYSRET` instruction

PC = saved PC
Enter user mode
One More Issue: Stacks

• The kernel code is structured like user level code
  • It needs a stack
• The transition from user level to kernel level must involve a change in which stack is in use
  • A stack is just a region of memory used as the stack, so there can be any number of them in memory
• On some processors this transition is done in software
• On the x86 family it is done in hardware as part of the syscall instruction
  • On syscall, the user-level SP is saved to a temporary, the SP is set to an address determined by a privileged register previously initialized by the OS, and then the temporary is pushed onto that stack (along with the user-level PC)
  • On sysret, more or less the reverse is done
• Why can’t the OS just use the user-level stack?
x86 Interrupt Stack (Mechanism)
System call issues

• What would be wrong if a syscall worked like a regular subroutine call, with the caller specifying the next PC?

• What would happen if kernel didn’t save state?

• Why must the kernel verify arguments?

• How can you reference kernel objects as arguments to or results from system calls?
  • What does that question mean?!
Exception Handling and Protection

• *All* entries to the OS occur via the mechanism just described
  – Acquiring privileged mode and branching to the trap handler are inseparable

• Terminology:
  – **Interrupt**: asynchronous event; caused by an external device
  – **Exception**: synchronous event; unexpected problem with instruction
  – **Trap**: synchronous event; intended transition to OS due to an instruction

• Privileged instructions and resources are the basis for most everything: memory protection, protected I/O, limiting user resource consumption, ...
Some Details

- The architecture defines the trap handling mechanism
- Exactly what’s done in hardware and what in software differs across architectures
  - So, what I described isn’t “the way it’s done” it’s more the idea of the way it’s done
- For example, x86 trap handling doesn’t have a register that gives the single entry point into the OS, it has something more complicated
  - You can think of it as a privileged register that points to an array of entry addresses
  - On trap/exception/interrupt, the hardware uses the trap/exception/hardware type (a number, called the “vector”) to index the table and set the PC
- In general, x86 does a lot of complicated things in hardware, and RISC-like processors try to push as much as possible to software
### x86 Interrupt/Trap Handling: Interrupt vectors

<table>
<thead>
<tr>
<th>Vector</th>
<th>Mnemonic</th>
<th>Description</th>
<th>Type</th>
<th>Error Code</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>#DE</td>
<td>Divide Error</td>
<td>Fault</td>
<td>No</td>
<td>DIV and IDIV instructions.</td>
</tr>
<tr>
<td>1</td>
<td>#DB</td>
<td>Debug Exception</td>
<td>Fault/ Trap</td>
<td>No</td>
<td>Instruction, data, and I/O breakpoints; single-step; and others.</td>
</tr>
<tr>
<td>2</td>
<td>—</td>
<td>NMI Interrupt</td>
<td>Interrupt</td>
<td>No</td>
<td>Nonmaskable external interrupt.</td>
</tr>
<tr>
<td>3</td>
<td>#BP</td>
<td>Breakpoint</td>
<td>Trap</td>
<td>No</td>
<td>INT 3 instruction.</td>
</tr>
<tr>
<td>4</td>
<td>#OF</td>
<td>Overflow</td>
<td>Trap</td>
<td>No</td>
<td>INTO instruction.</td>
</tr>
<tr>
<td>5</td>
<td>#BR</td>
<td>BOUND Range Exceeded</td>
<td>Fault</td>
<td>No</td>
<td>BOUND instruction.</td>
</tr>
<tr>
<td>6</td>
<td>#UD</td>
<td>Invalid Opcode (Undefined Opcode)</td>
<td>Fault</td>
<td>No</td>
<td>UD2 instruction or reserved opcode.¹</td>
</tr>
<tr>
<td>7</td>
<td>#NM</td>
<td>Device Not Available (No Math Coprocessor)</td>
<td>Fault</td>
<td>No</td>
<td>Floating-point or WAIT/FWAIT instruction.</td>
</tr>
<tr>
<td>8</td>
<td>#DF</td>
<td>Double Fault</td>
<td>Abort</td>
<td>Yes (zero)</td>
<td>Any instruction that can generate an exception, an NMI, or an INTR.</td>
</tr>
<tr>
<td>9</td>
<td></td>
<td>Coprocessor Segment Overrun (reserved)</td>
<td>Fault</td>
<td>No</td>
<td>Floating-point instruction.²</td>
</tr>
<tr>
<td>10</td>
<td>#TS</td>
<td>Invalid TSS</td>
<td>Fault</td>
<td>Yes</td>
<td>Task switch or TSS access.</td>
</tr>
<tr>
<td>11</td>
<td>#NP</td>
<td>Segment Not Present</td>
<td>Fault</td>
<td>Yes</td>
<td>Loading segment registers or accessing system segments.</td>
</tr>
<tr>
<td>12</td>
<td>#SS</td>
<td>Stack-Segment Fault</td>
<td>Fault</td>
<td>Yes</td>
<td>Stack operations and SS register loads.</td>
</tr>
<tr>
<td>13</td>
<td>#GP</td>
<td>General Protection</td>
<td>Fault</td>
<td>Yes</td>
<td>Any memory reference and other protection checks.</td>
</tr>
<tr>
<td>14</td>
<td>#PF</td>
<td>Page Fault</td>
<td>Fault</td>
<td>Yes</td>
<td>Any memory reference.</td>
</tr>
</tbody>
</table>

¹ UD2 instruction or reserved opcode:

² Floating-point instruction:
x86 Interrupt/Trap Handling: Overview

Figure 6-3. Interrupt Procedure Call

Figure 3-6. Segment Selector
x86 Interrupt/Trap Handling: Finding the IDT

Figure 6-1. Relationship of the IDTR and IDT
x86 Interrupt/Trap Handling: IDT entries
x86 Interrupt/Trap Handling: Segment Descriptors

Figure 3-8. Segment Descriptor

- **L**: 64-bit code segment (IA-32e mode only)
- **AVL**: Available for use by system software
- **BASE**: Segment base address
- **D/B**: Default operation size (0 = 16-bit segment; 1 = 32-bit segment)
- **DPL**: Descriptor privilege level
- **G**: Granularity
- **LIMIT**: Segment Limit
- **P**: Segment present
- **S**: Descriptor type (0 = system; 1 = code or data)
- **TYPE**: Segment type
### x86 Interrupt/Trap Handling: Stacks

![Figure 7-2. 32-Bit Task-State Segment (TSS)](image)

<table>
<thead>
<tr>
<th>I/O Map Base Address</th>
<th>Reserved</th>
<th>LDT Segment Selector</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reserved</td>
<td></td>
<td>GS</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>FS</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>DS</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>SS</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>CS</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>ES</td>
</tr>
<tr>
<td>EDI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ESI</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EBP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ESP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EBX</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EDX</td>
<td></td>
<td></td>
</tr>
<tr>
<td>ECX</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EAX</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EFLAGS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>EIP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CR3 (PDBR)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>SS2</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>ESP2</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>SS1</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>ESP1</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>SS0</td>
</tr>
<tr>
<td>Reserved</td>
<td></td>
<td>ESP0</td>
</tr>
</tbody>
</table>

*Reserved bits. Set to 0.*
Exception Summary

• Basically all protection provided by the OS relies in some way on the exception mechanism
  • Performance requires application code to run directly on the CPU and memory hardware
  • That leaves it to the hardware to intercept unsafe/illegal activity
  • Separation of policy and mechanism means that when the hardware notices something wrong, it should invoke OS code to decide what to do in response

• The same mechanism is used whenever the hardware wants to “upcall” to the OS, even when nothing has gone wrong
  • Interrupts: some IO device wants attention
  • Traps: user level code wants to do a syscall
Exception Generalization

• To think about:
  • Let’s move up a level, from hw/sw to os/user-level code.
  • Might there be situations in which it makes sense for the OS to provide mechanism and the application to provide policy?
    • The OS mechanism would be the detection of some event
    • The application policy would be the steps it wants to take in response to that event
    • What might be an example of an OS-level “event”?
  • What would the mechanism to “upcall” from OS to app need to do?
    • Invoke a handler method in the app, implying
    • Finding a thread of execution to execute the handler (a stack)
    • How would it know the location of the handler code?
Issue: Memory protection

- OS must protect user programs from each other
  - malice, bugs
- OS must also protect itself from user programs
  - integrity and security
  - what about protecting user programs from OS?
- Simplest scheme: base and limit registers
  - (Hey, segments!)
  - are these protected?

![Diagram showing base and limit registers]

- base and limit registers are loaded by OS before starting program
More sophisticated memory protection

- Paging, segmentation, virtual memory
  - page tables, page table pointers
  - translation lookaside buffers (TLBs)
  - page fault handling
  - isolation via naming

- Coming later in the course
  - also coming earlier in your course sequence!
  - so we won’t spend much time on these in 451
Issue: I/O control

• Issues:
  • how does the OS start an I/O?
    • special I/O instructions
    • memory-mapped I/O
      • special addresses, not special instructions
  • how does the OS notice when something interesting has happened (e.g., an I/O has finished or a network packet has arrived)?
    • polling
    • Interrupts
  • how does the OS exchange data with an I/O device?
    • Programmed I/O (PIO)
    • Direct Memory Access (DMA)
Asynchronous I/O

• what does the “asynchronous” part mean?
  • device performs an operation asynchronously to CPU

• Interrupts are the basis for asynchronous I/O
  • device sends an interrupt signal on bus when done
  • in memory, a vector table contains list of addresses of kernel routines to handle various interrupt types
    • who populates the vector table, and when?
  • CPU switches to address indicated by vector index specified by interrupt signal and the stack registered for that handler

• What’s the advantage of asynchronous I/O?
  • Is this an advantage only to the OS? Is there a reason for an individual app to want to use asynchronous I/O? What would be required to allow it to do so?
Issue: Taking the CPU Back from Apps

• Q: How can the OS prevent runaway user programs from hogging the CPU (infinite loops?)

• A: Use a hardware timer that generates a periodic interrupt
  • before it transfers to a user program, the OS loads the timer with a time to interrupt
    • “quantum” – how big should it be set?
  • when timer fires, an interrupt transfers control back to OS
    • at which point OS must decide which program to schedule next
    • very interesting policy question: we’ll dedicate a class to it

• Should access to the timer be privileged?
Issue: Synchronization

• Interrupts cause a wrinkle:
  • may occur any time, causing code to execute that interferes with code that was interrupted
  • OS must be able to synchronize concurrent processes

• Critical Sections (synchronization)
  • guarantee that short instruction sequences (e.g., read-modify-write) execute atomically
  • one method: turn off interrupts before the sequence, execute it, then re-enable interrupts
    • architecture must support disabling interrupts
    • Privileged???
    • does this method work?
  • another method: have special complex atomic instructions
    • read-modify-write
    • test-and-set
    • compare-and-swap
    • load-linked store-conditional
“Concurrent programming”

- Management of concurrency and asynchronous events is an important difference between “systems programming” and “traditional application programming”
  - “event-driven” application programming is a middle ground
  - And in a multi-core world, more and more apps have internal concurrency and more and more languages acknowledge and support it
  - And in a networked world more and more apps engage in asynchronous I/O (network communication)
- Arises from the architecture
  - Can be sugar-coated, but cannot be totally abstracted away
Some questions

• Why wouldn’t you want a user program to be able to access an I/O device (e.g., the disk) directly?
  • Why would you?!

• OK, so what keeps this from happening? What prevents user programs from directly accessing the disk?

• How then does a user program cause disk I/O to occur?
Some questions

• What prevents a user program from writing the memory of another user program?
  • Why might you want to allow it to?

• What prevents a user program from writing the memory of the operating system?

• What prevents a user program from over-writing its own instructions?
  • Why do you want to prevent that?
  • Why do you want to allow it?!

• Is there any reason to support preventing an application from over-writing any of its own data?
  • Is there a use for read-only data memory?

• What prevents a user program from doing a denial of service attack on the CPU simply by going into an infinite loop?
Lecture Question Answers

• What is the basic control flow of the system?
  • The CPU switches between running OS code and application code

• Why do transitions from user code to the OS take place?
  • Interrupts – some IO device (typically) needs attention
  • Exceptions – the CPU has detected something problematic in completing execution of an instruction
  • Trap – the purpose of the instruction being executed is to transition into the OS (syscall)

• Since they run on the same CPU, why can’t applications do everything the OS can do?
  • The hardware has two or more privilege levels
  • Some instructions are privileged – require a sufficiently high privilege level – for the CPU to be willing to execute them

• What happens on a transition from user code into the OS?
  • Some registers that execution of the OS is about wipe out are saved by hardware, e.g., the user code PC at which the switch is occurring
  • The PC is set to the address previously set by the OS. The address is a safe entry point into the OS.
  • The privilege level of the CPU is elevated so that it can execute privileged instructions
  • The hw or sw saves all registers so that execution of the user code can eventually be resumed

• On a transition from the OS to user code?
  • The previously saved registers (including the PC) are restored on the CPU
  • The privilege level is lowered to user level
Lecture Question Answers

• What mechanisms does the hardware provide to help the OS keep control of the system?
  • CPU privilege level + privileged instructions
  • memory access limitations, e.g., virtual memory
  • the exception mechanism – detecting when something that needs OS attention has happened and causing a switch into the OS

• When the OS is running, what stack is it using (in xk)?
  • A per-process kernel stack

• How does xk use the segmented memory system provided by x86_64?
  • It basically renders it moot by mapping every hardware segment to the full linear address space (i.e., base 0 and length 4GB)
Lecture Question Answers

• How is memory protected?
  • On modern system, virtual memory
  • The OS sets a privileged CPU register to point to address mapping structures for the address space the CPU should be using (e.g., when it dispatches a user process)

• How are IO devices protected?
  • Depending on the architecture or even system, it could be privileged instructions are required to communicate with the IO devices, or it could be that protected addresses must be read/written to communicate with them