Lecture 16
Operating Systems
So Far: Single-User Machines

- Hardware executes a single program
- This program has direct and complete access to all hardware resources in the machine
- The instruction set architecture (ISA) is the interface between software and hardware
- Most computer systems don’t work like this!
### Operating Systems

- Multiple executing programs share the machine
- Each executing program does not have direct access to hardware resources
- Instead, an **operating system (OS)** controls these programs and how they share hardware resources
  - Only the OS has unrestricted access to hardware
- The **application binary interface (ABI)** is the interface between programs and the OS
A program is a collection of instructions (i.e., just the code)

A process is an instance of a program that is being executed

- Includes program code + state (registers, memory, and other resources)

The OS Kernel is a process with special privileges
Goals of Operating Systems

- **Protection** and privacy: Processes cannot access each other’s data
- **Abstraction**: OS hides details of underlying hardware
  - e.g., processes open and access files instead of issuing raw commands to the disk
- **Resource management**: OS controls how processes share hardware (CPU, memory, disk, etc.)
The OS kernel provides a **private address space** to each process:
- Each process is allocated space in physical memory by the OS.
- A process is not allowed to access the memory of other processes.

The OS kernel **schedules processes** into the CPU:
- Each process is given a fraction of CPU time.
- A process cannot use more CPU time than allowed.

The OS kernel lets processes **invoke system services** (e.g., access files or network sockets) via **system calls**.
Virtual Machines
A New Layer of Abstraction

- The OS gives a **Virtual Machine (VM)** to each process
  - Each process believes it runs on its own machine...
  - ...but this machine does not exist in physical hardware
Virtual Machines
A New Layer of Abstraction

- A Virtual Machine (VM) is an **emulation** of a computer system
  - Very general concept, used beyond operating systems

![Diagram showing the components of a virtual machine and operating system](image-url)

**Process1**
- Virtual Processor
- Virtual Memory
- Events
- Files
- Sockets
- Syscalls

**OS Kernel** (specially privileged process)

**Physical Hardware**
- Processor
- Memory
- Disk
- Network card
- Display
- Keyboard

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Virtual Machines Are Everywhere

- Example:

  - RISC-V process (quicksort)
  - RISC-V emulator (sim.py)
  - Python interpreter (CPython)
  - Linux OS kernel
  - VMware
  - OS kernel (Win/Linux/BSD/...)
  - Hardware (Athena server)

  - RISC-V ISA
    Implements a RISC-V VM
  - Python Language
    Implements a Python VM
  - Linux ABI
    Implements a Linux-x86 VM
  - x86 ISA
    Implements an x86 system VM
  - Windows/Linux/BSD/... ABI
    Implements an OS-x86 VM
  - x86 ISA
    Implements an x86 physical machine
Implementing Virtual Machines

- Virtual machines can be implemented entirely in software, but at a performance cost
  - e.g., Python programs are 10-100x slower than native Linux programs due to Python interpreter overheads

- We want to support operating systems with minimal overheads → need hardware support for virtual machines!
ISA Extensions to Support OS

▪ Two modes of execution: user and supervisor
  ▪ OS kernel runs in supervisor mode
  ▪ All other processes run in user mode

▪ Privileged instructions and registers that are only available in supervisor mode

▪ Exceptions and interrupts to safely transition from user to supervisor mode

▪ Virtual memory to provide private address spaces and abstract the storage resources of the machine

These ISA extensions work only if hardware and software (OS) agree on a common set of conventions!
Exceptions

- Exception: Event that needs to be processed by the OS kernel. The event is usually unexpected or rare.

![Diagram showing例外处理流程图](image-url)
Causes for Exceptions

- The terms exception and interrupt are often used interchangeably, with a minor distinction:

- **Exceptions** usually refer to **synchronous events**, generated by the process itself (e.g., illegal instruction, divide-by-0, illegal memory address, system call)

- **Interrupts** usually refer to **asynchronous events**, generated by I/O devices (e.g., timer expired, keystroke, packet received, disk transfer complete)

- We use exception to encompass both types of events, and use synchronous exception for synchronous events
Handling Exceptions

- When an exception happens, the processor:
  - Stops the current process at instruction $I_i$, completing all the instructions up to $I_{i-1}$ (*precise exceptions*)
  - Saves the PC of instruction $I_i$ and the reason for the exception in special (privileged) registers
  - Enables supervisor mode, disables interrupts, and transfers control to a pre-specified exception handler PC

- After the OS kernel handles the exception, it returns control to the process at instruction $I_i$
  - Exception is transparent to the process!

- If the exception is due to an illegal operation by the program that cannot be fixed (e.g., an illegal memory access), the OS aborts the process
Exception Use #1: CPU Scheduling
Enabled by timer interrupts

- The OS kernel schedules processes into the CPU
  - Each process is given a fraction of CPU time
  - A process cannot use more CPU time than allowed
- Key enabling technology: Timer interrupts
  - Kernel sets timer, which raises an interrupt after a specified time

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**Process running in CPU**

<table>
<thead>
<tr>
<th>0</th>
<th>10</th>
<th>30</th>
<th>60</th>
<th>80</th>
<th>110</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kernel</td>
<td>Process 1</td>
<td>Process 2</td>
<td>Process 1</td>
<td>Process 2</td>
<td></td>
</tr>
</tbody>
</table>

**Time (milliseconds)**

- Timer interrupt → exception handler runs
- Save state of process 1
- Decide to schedule process 2
- Set timer to fire in 30ms
- Load state of process 2, return control to it

- Set timer to fire in 20ms
- Load state (regs, pc, addr space) of process 1
- Return control to process 1
Exception Use #2: Emulating Instructions
Enabled by illegal instruction exceptions

- `mul x1, x2, x3` is an instruction in the RISC-V ‘M’ extension `(x1 ← x2 * x3)`
  - If ‘M’ is not implemented, this is an illegal instruction

- What happens if we run code from an RV32IM machine on an RV32I machine?
  - `mul` causes an illegal instruction exception

- The exception handler can take over and abort the process... but it can also emulate the instruction!
Emulating Unsupported Instructions

- Result: Program believes it is executing in a RV32IM processor, when it’s actually running in a RV32I
  - Any drawback? **Much slower than a hardware multiply**

**Process 1 code:**
...
add a3, a2, a1
mul a4, a3, a2
xor a5, a4, a3
...

**Illegal instruction exception**

- Save state of process 1
- Emulate a multiply instruction in software (e.g., by repeated addition)
- Load state of process 1
- Return control to process 1 at instruction following the multiply
Exception Use #3: System Calls

- The OS kernel lets processes invoke system services (e.g., access files) via **system calls**

  - Processes invoke system calls by executing a special instruction that causes an exception (e.g., `ecall` in RISC-V)
Typical System Calls

- Accessing files (sys_open/close/read/write/...)
- Using network connections (sys_bind/listen/accept/...)
- Managing memory (sys_mmap/munmap/mprotect/...)
- Getting information about the system or process (sys_gettime/getpid/getuid/...)
- Waiting for a certain event (sys_wait/sleep/yield...)
- Creating and interrupting other processes (sys_fork/exec/kill/...)
- ... and many more!

- Programs rarely invoke system calls directly. Instead, they are used by library/language routines

- Some of these system calls may block the process!
Process Life Cycle: The Full Picture

- OS maintains a list of all processes and their status \{ready, executing, waiting\}
  - A process is scheduled to run for a specified amount of CPU time or until completion
  - If a process invokes a system call that cannot be satisfied immediately (e.g., a file read that needs to access disk), it is *blocked* and put in the *waiting* state
  - When the waiting condition has been satisfied, the waiting process is woken up and put in the ready list
Exceptions in RISC-V

- RISC-V provides several privileged registers, called control and status registers (CSRs), e.g.,
  - `mepc`: exception PC
  - `mcause`: cause of the exception (interrupt, illegal instr, etc.)
  - `mtvec`: address of the exception handler
  - `mstatus`: status bits (privilege mode, interrupts enabled, etc.)

- RISC-V also provides privileged instructions, e.g.,
  - `csrr` and `csrw` to read/write CSRs
  - `mret` to return from the exception handler to the process
  - Trying to execute these instructions from user mode causes an exception → normal processes cannot take over the system
System Calls in RISC-V

- `ecall` instruction causes an exception, sets `mcause` CSR to a particular value
- ABI defines how process and kernel pass arguments and results
- Typically, similar conventions as a function call:
  - System call number in `a7`
  - Other arguments in `a0-a6`
  - Results in `a0-a1` (or in memory)
  - All registers are preserved (treated as callee-saved)
Summary

- **Operating System goals:**
  - Protection and privacy: Processes cannot access each other’s data
  - Abstraction: OS hides details of underlying hardware
    - e.g., processes open and access files instead of issuing raw commands to disk
  - Resource management: OS controls how processes share hardware resources (CPU, memory, disk, etc.)

- **Key enabling technologies:**
  - User mode + supervisor mode w/ privileged instructions
  - Exceptions to safely transition into supervisor mode
  - Virtual memory to provide private address spaces and abstract the machine’s storage resources (*next lecture*)
Thank you!

Next lecture: Virtual memory