Chapter 2

Program and OS Organization

This chapter begins by defining a very simple computer, with assembly language instructions, a 16-bit address space, and memory-mapped peripherals.¹ We will use this computer as an example as we talk about the simplest operating systems.

We then examine simple methods of organizing and running a program on this computer. We extend these methods to hide hardware dependencies, insulate against changes in operating system details, and allow for program loading and execution—at this point we have achieved a simple single-user OS, similar in many ways to MSDOS 1.0.

After this we examine multi-processing and context switching, allowing multiple programs to be running simultaneously. Finally we examine what additional features are needed to protect the operating system from the user, and users from each other. At this point we have achieved a simplified version of a modern operating system; we compare it to Linux and Windows.

¹In other words, CPU operations only read or write internal registers and external (to the CPU) memory. The memory address space is partitioned between normal random-access memory and a section devoted to I/O devices, which respond to read and write requests to particular addresses.



Figure 2.1: Simple computer system architecture

2.1 A Simple Computer

We use a fictional 16-bit computer, shown in Figure 2.1. It has 8 generalpurpose registers, R0-R7, holding 16 bits each, as well as a stack pointer (SP) and program counter (PC), and 64 KB (2^{16}) of memory which may be accessed as 8-bit bytes or 16-bit words.

The examples below use the following instructions:

- LOAD.B, LOAD.W load a byte or a word from the indicated address, which may be an absolute address (i.e. a number) or contained in a register.
- 2. LOAD.I load a constant value into a register. (called an "immediate" value for unknown reasons)
- STORE.B, STORE.W store a byte or word from a register into memory.
- 4. MOV copy the contents of one register to another.
- 5. ADD, SUB add or subtract one register (or a constant value) to or from another register. Sets the Z flag if the result is zero.
- 6. CMP compare a register to another register or a constant value. Subtracts the second value from the register, sets the Z flag appropriately, and then throws away the result.
- 7. JMP jump to the indicated address.
- 8. JMP_Z, JMP_NZ jump if the Z flag is set (Z) or not set (NZ)
- 9. PUSH push the 16-bit value in the indicated register onto the stack
- 10. POP pop the 16-bit value top of the stack and place in the indicated



Figure 2.2: Frame buffer



Figure 2.3: Keyboard controller

register.

- 11. CALL call a subroutine by pushing the *return address* (i.e. the address of the next instruction) onto the stack and jumping to the indicated address.
- 12. RET return from subroutine by popping the return address from the top of the stack and jumping to it.

In addition there are several input/output devices which are *memory-mapped*—particular memory addresses correspond to registers in these devices, rather than normal memory, and reads or writes to these addresses are used to operate the device. These devices include:

- 1. *frame buffer*: A region of 1920 bytes, corresponding to 24 lines of 80 characters displayed on a video display. Writing a byte to one of these locations causes the indicated character to be displayed at the corresponding location on the screen, as shown in Figure 2.2.
- 2. *keyboard controller*: Two registers, one indicating whether a key has been pressed, and the other the character corresponding to that key, as shown in Figure 2.3.

This description is enough for our first examples; a full specification is found in Appendix A.

Review Questions

- 2.1.1. I/O devices are pieces of software that are part of the operating system: yes / no / sort of
- 2.1.2. I/O devices are part of memory: yes / no / sort of

;; note - frame buffer starts at 0xF000 str: "Hello World" begin: LOAD.I R1 \leftarrow &str LOAD.I R2 \leftarrow 11 LOAD.I R3 \leftarrow 0xF000 loop: LOAD.B R4 \leftarrow *(R1++) STORE.B R4 \rightarrow *(R3++) SUB R2-1 \rightarrow R2 JMP_NZ loop done: JMP done

Figure 2.4: Simple 'Hello World' program. LOAD.I loads an immediate (i.e. constant) value, LOAD/STORE.B operates on a single byte instead of a 16-bit word.

;; keyboard status = 0xF800, keycode = 0xF801 begin: LOAD.I R1 \leftarrow 0xF000 ;; frame buffer loop: LOAD.B R2 \leftarrow *(0xF800) TEST R2 JMP_Z loop LOAD.B R2 \leftarrow *(0xF801) ;; get keystroke STOR.B R2 \rightarrow *(R1++) ;; copy to frame buffer JMP loop

Figure 2.5: Copy keystrokes to screen

2.2 Program Organization

Our first program is seen in Figure 2.4. It performs a very simple task, copying bytes from a compiled-in string to the frame buffer to display (of course) "Hello World" and then finishing in a loop which does nothing. (Although the reader is not expected to write programs in assembly language, we assume that given the computer definition you should be able to decipher simple examples such as this.)

In Figure 2.5 we see another simple program, which performs input as well as output. In the three lines starting at the label loop it polls the keyboard status register, waiting for a key to be pressed. It then reads the keystroke value into R4 and stores it into the frame buffer. (Well, at least for the first 1920 keystrokes. It will advance through the frame buffer line

by line, ignoring carriage returns, and eventually "fall off" the end and start scribbling over the rest of the I/O space. It is a very simple program.)

These two programs illustrate the simplest sort of software organization, consisting only of the program itself, which handles every detail including the hardware interface—not a difficult task for such a simple case. All there is here is a program and some hardware, with nothing that we can identify as an operating system; this approach might be appropriate for the smallest microcontrollers. (i.e. with a few hundred bytes of program memory and even less data memory)

2.3 A Simple Operating System Interface

Operating system - software that isn't the program itself, especially that required by a user or program to interact with (i.e. *operate*) the computer.

For even slightly complex programs we are going to want to factor out the hardware interface functionality. This would e.g. allow us to use a single function for output to the frame buffer, which could be called from different places in the program. Our next program, in Figure 2.6, copies keystrokes from the keyboard to the frame buffer just like our previous one. However, in this case we have separated out the keyboard and display interface functions. With this we start to see the beginnings of an operating system.

One goal of an operating system is to provide an abstract interface to the hardware, serving several purposes. First, it allows a program developed for one computer to be used on another one without extensive modification, even if the hardware is not exactly the same. In addition, by separating program-specific and hardware-specific code, it makes it easier for each to be developed by someone who is expert in the corresponding area.²

Figure 2.6 might be termed a *library operating system*—it consists of a series of functions which are linked with the application, creating a single program which is loaded onto the hardware, frequently by being programmed into read-only-memory and thus being present when the computer is first turned on.

²Multiple levels of such separation are seen in modern computers, where BIOS and hardware drivers are written by different organizations, each knowledgeable about their own hardware, and hiding the details and complications of these devices behind an abstract interface.

Although this approach is useful for single-purpose devices, it has a key shortcoming for general-purpose computers, in that changing the program requires changing the entire contents of memory, requiring a mechanism outside of the OS and program we have described so far. In some cases, in fact, the only way to replace the program is to buy a new device—this may in fact be reasonable for sufficiently "dumb" devices (e.g. a microwave oven) but is clearly not going to be a popular way to get a new program onto a computer.

2.4 Program Loading

In order to load programs we need a device to load them from—in this case a disk drive, which (unlike memory) maintains its data while powered off, and is typically much larger than memory, allowing it to hold multiple programs. Data on a disk drive is orga-

F820	cmd/status	-
F822	sector	#
F824	data (r,	/w)

Figure 2.7: Simple disk controller

nized in 512-byte blocks, which are identified by block number, starting with 0. In Figure 2.7 we see an extremely simple disk controller, which allows a single block to be read from or written to the disk³. Operation is

```
loop:
          CALL getkey ;; return value in RO
          PUSH RO
                            ;; push argument
          CALL putchar
          POP RO
                            ;; to balance stack
          JMP loop
getkey: LOAD.B R4 \leftarrow *(0xF800) ;; key ready reg.
          CMP R4, 0
          JMP_Z getkey
          LOAD.B R0 \leftarrow *(0xF801) ;; key code reg.
          RET
putchar: LOAD.B R0 \leftarrow *(SP+2) ;; fetch arg into R0
          LOAD.W R1 \leftarrow *(bufptr)
          STOR.B R0 \rightarrow *(R1) ;; *bufptr = R0
                R1+1 \rightarrow R1
          ADD
          STOR.W R1 \rightarrow bufptr ;; bufptr++
          RET
bufptr: word 0xF000
                            ;; frame buffer pointer
```

Figure 2.6: Copy keystrokes with factored input/output

³For more information on disk drives, see Section 5.3 in Chapter 5.

as follows:

To write 512 bytes to block B:

- 1. Write 256 16-byte words (e.g. copying from a buffer), one word at a time, to the disk controller data register (0xF824)
- 2. Write block address (B) to block address register (0xF822)
- 3. Write command byte (2=WRITE) to cmd/status register (address 0xF820)
- 4. Poll cmd/status register; its value will change from 2 to 0 to indicate transfer is complete.

To read from block B:

- 1. Write block address (B) to block address register (0xF822)
- 2. Write command byte (1=READ) to cmd/status register (0xF820)
- 3. Poll cmd/status register; value changes from 1 to 0 to indicate data is ready to read
- 4. Read 256 16-bit words from data register (0xF824), typically into a buffer in memory.

Now that we have a device to load programs from, the next step is to reserve separate portions of the address space for the OS and program, as shown in Figure 2.8, so that we have a place in memory to load those programs into. The program links against the OS as before, but this time the OS is located in a separate memory region, so different programs (each compiled and linked against this same instance of the OS) may be loaded and run at different times.

In Figure 2.9 we see pseudo-code⁴ for a simple and user-hostile command-line interface for this OS. The user specifies a disk address and length; the OS loads a program from the specified disk loca-



Figure 2.8: Split OS/program memory map

tion into a standard address in memory and transfers control to that address. When the program is finished it returns control to the OS command line loop, which is then able to load and run a different program.

⁴A generic term for anything that isn't real program code, but which you are supposed to understand anyway.

```
CMD_LOOP:
    line = GET_LINE()
    if line starts with "load":
        blk,count = parse(line)
        load_disk_sectors(_PROGRAM_BASE, blk, count)
    if line starts with "go":
        call _PROGRAM_BASE
    jmp CMD_LOOP
```



There are a number of limitations to this operating system:

- 1. It's not robust: if it doesn't find the program you specified, it crashes.
- 2. If the program crashes, the entire system has to be reset (or power cycled) before another program can be loaded.
- 3. The program may not run on another machine, or on the same machine after an OS upgrade.

Problem 1 can be fixed fairly easily; for instance if we have a simple file system, and specify the file by name, then if the file isn't found the OS can print an error message and ask for another command. Problem 2 may be annoying, but it didn't prevent MS-DOS from being the most widely-used operating system for many years⁵. Problem 3 is an issue, though, although first we have to describe why it is the case.

In particular, this operating system requires a certain amount of coordination between the OS and the program: (a) The OS must know at what address the program expects to begin execution—e.g. the main() function in a C program or its equivalent. This isn't too much of an issue, as the OS authors can just tell the application (and compiler) writers what to do. (e.g. in our case execution begins at the very beginning of the program in memory) And (b) the program, in turn, must have the correct addresses for any of the OS functions (e.g. getkey in 2.6) which it invokes.

This is where the problem lies. The location of these entry points may vary from machine to machine due to e.g. different memory sizes, and will almost certainly change across versions of the OS as code is added (or occasionally removed) from some of its functions.

To work around this we typically define a standard set of entry points into the OS, or *system calls*, access these entry points via a table which

⁵In that case it typically wasn't necessary to turn off the power - the low-level keyboard driver would reset the machine when it saw CTL-ALT-DEL pressed at the same time.

is placed in a fixed location in memory (e.g. at address 0), and give each system call a specific place in this table.

One way of implementing this is for the program to access this table directly; thus if getkey is entry 2, programs could invoke it via the call syscall_table[2] (args). Alternately, many CPUs define a TRAP or INT⁶ instruction which may be used for this purpose. In this case, the table will be located in a location known to the CPU (either fixed, as in the original 8088 where the table began at address 0, or identified by a control register) and TRAP N will cause the CPU to perform a function call to the N^{th} entry of this table.

We now have an interface which allows the OS to provide services to a program via a fixed interface, allowing for binary compatibility across different hardware platforms and OS versions. If we use a TRAP instruction for this interface, we have a system similar to MS-DOS, where OS and application were each given separate parts of a single address space, and access to generic as well as hardware-specific OS functions was performed via the x86 INT instruction.

Review Questions

- 2.4.1. Does an operating system handle hardware details for a program? *yes/no/maybe*
- 2.4.2. Does an operating system have a graphical user interface? *yes / no / maybe*
- 2.4.3. Does an operating system allow the user to load and run programs? yes / no / maybe
- 2.4.4. Does the system call table change every time a program is compiled? yes / no

⁶the x86 "interrupt" instruction.

Comparison to MS-DOS 1.0

This simple OS is very similar to the first version of MS-DOS. In MS-DOS 1.0, as seen in Figure 2.10, the operating system is split into 4 parts: a hardware-specific I/O system (BIOS), MS-DOS itself, the resident part of the command line interpreter, and additional "transient" parts of the command interpreter which could be over-written by larger programs (especially on machines with 16KB RAM) and re-loaded from floppy disk after the program exited.



Figure adapted from *An Inside Look at MS-DOS*, Tim Paterson, Byte Magazine, 1983

Figure 2.10: MS-DOS layout

- Similarities with the simple OS include:
 - 1. separate OS and program memory regions
 - 2. a system call table accessed via INT instruction
 - 3. a command line which is part of the OS
 - a keyboard controller, frame buffer, and disk controller which are much like the CPU-5600 versions

2.5 Device Virtualization

The GET_LINE and getkey operations just discussed are simple examples of a powerful operating system concept—*device virtualization*. Rather than requiring the programmer to write code specific to a particular hardware implementation of a keyboard controller, the operating system provides simple "virtual devices" to the program, while the hardware details are handled within the operating system. In particular, if these virtual devices are sufficiently generic (e.g. supporting only read and write operations) then the same program can read from the physical keyboard, from a window system which sends keyboard data to the currently active window, from a file, or from a network connection like ssh.

Implementing a generic I/O system like this is fairly straightforward, as the set of I/O operations (open, close, read, write, etc.) is basically an interface, while each particular device (e.g. keyboard, disk file, etc.) can be thought of as a class implementing that interface. In practice this is done by providing the program with a *handle* or *descriptor* which maps to the actual I/O object within the OS, and then implementing system calls

```
struct f_op {
    size_t (*read) (struct file *, char *, size_t);
    size_t (*write) (struct file *, char *, size_t);
    ...
};
/* 'current' points to current process structure
 */
size_t sys_read(int fd, char *buf, size_t count) {
    struct file *file = current->files[fd];
    return file->f_op->read(file, buf, count);
}
```



such as read and write by mapping the handle to the object, and then invoking the appropriate method.

In Linux a file descriptor is an integer, used to index into a table of files opened by the current process; a simplified version of the read system call is seen in the example in Listing 2.11.⁷ The listing is somewhat simplified—the actual code performs a few levels of indirection, some locking, and a bounds check while looking up the 'struct file' corresponding to 'fd', and also handles the offset within the file. The actual code is not that complex, however, as the complicated parts are all in the file system or device-specific read methods.

2.6 Address Space and Program Loading

Typically program address space is divided into the following parts: *code* or machine-language instructions (for some reason typically called "text"), *initialized data*, consisting of read-only and read-write initialized data, *initialized-zero data*, called "BSS" for obscure historical reasons, *heap* or dynamically allocated memory, and *stack*.

In Figure 2.12 we see the address space organization which has evolved for arranging these areas for CPUs on which the stack grows "down"—i.e. more recently pushed data is stored in lower-numbered addresses. (this is by far the most common arrangement) In this arrangement the fixed-sized portions of the address space are at the bottom, and the heap grows "up" from there, while the stack grows "down" from the highest available

 $^{^{7}}$ Like many other operating systems, Linux is written in C, which lacks direct support for abstract interfaces and data types; the actual implementation relies on a system of structures of function pointers which is similar to how the compiler implements virtual methods in C++.



Figure 2.12: Typical process memory map: code, data, and heap at bottom; stack at top.

Figure 2.13: Awkward process memory map, with fixed-sized stack allocation.

address. Assuming that the memory available is contiguous, this gives the program maximum flexibility—it can use most of the memory for dynamically-allocated heap, or for the stack, as it chooses. In contrast, an organization such as Figure 2.13 would require a fixed allocation of the two regions to be made when the program is loaded by the OS, adding complexity while reducing flexibility. (Note that since the heap is softwaremanaged it can grow in whatever direction we want; however on most CPUs the direction of stack growth is fixed.)

An additional goal of an address layout is to be able to accomodate different amounts of available memory. As an example, early microcomputers like the first IBM PCs might have between 16 KB and 64 KB of memory; we would like the same program to be able to run on machines with more or less memory, with the additional memory on the larger machine available for heap or stack. This was typically done by starting memory at address 0, so that a 16 KB machine would have available memory address 0x0000 through 0x3FFF, while a 32 K machine would be able to use 0x0000 through 0x7FFF. Code and fixed data would be located starting at a predefined offset near address 0, with stack and heap located above these sections, at addresses which might vary from machine to machine and program to program. This would ensure that small programs would be placed in low addresses, so that they would be guaranteed to run on lowmemory machines, while the variability of stack and heap addresses was not a significant issue because the compiler does not need to generate

Index	Description	DOS name
0	divide by zero	
1	single step	
2	non-maskable	
3	debug break	
4	debug break on overflow	
5	-unused-	
6	invalid instr.	
7	-unused-	
8	system timer	IRQ0
9	keyboard input	IRQ1
10	line printer 2	IRQ2, LPT2
11	serial port 2	IRQ3, COM2
12	serial port 1	IRQ4, COM1
13	hard disk	IRQ5
14	floppy disk	IRQ6
15	line printer 1	IRQ7, LPT1
16-	software-defined	
255	interrupts	

Table 2.1: 8086/8088 interrupts as defined by the IBM PC hardware.

direct references to them.

2.7 Interrupts

So far all the code that we have looked at has been *synchronous*, proceeding as a series of function calls reachable from some original point at which execution started. This is a good model for programs, but not always for operating systems, which may need to react to arbitrary asynchronous events. (Consider for instance trying to stop a program with control-C, if this only took effect when the program stopped and checked for it.)

To handle asynchronous I/O events, CPUs provide an *interrupt* mechanism. In response to a signal from an I/O device the CPU executes an *interrupt handler* function, returning to its current execution when the handler is done. The CPU essentially performs a forced function call, saving the address of the next instruction on the stack and jumping to the interrupt handler; the difference is that instead of doing this in response to a CALL instruction, it does it at some arbitrary time (but *between* two instructions) when the interrupt signal is asserted⁸.

⁸This makes programming interrupt handlers quite tricky. Normally the compiler saves many register values before calling a function, and restores them afterwards; however an interrupt can occur anytime, and if it accidentally forgets to save a register and then modifies it, it will appear to the main program as if the register value changed spontaneously. This isn't good.

Most CPUs have several interrupt inputs; these correspond to an *interrupt vector table* in memory, either at a fixed location or identified by a special register, giving the addresses of the corresponding interrupt handlers. As an example, in Table 2.1 we see the corresponding table for an 8088 CPU as found in the original IBM PC, which provides handler addresses for external hardware interrupts as well as *exceptions* which halt normal program execution, such as dividing by zero or attempting to execute an illegal instruction.

The simplest interrupt-generating device is a *timer*, which does nothing except generate an interrupt at a periodic interval. In Listing 2.14 we see why it is called a timer—one of its most common uses is to keep track of time.

```
extern int time_in_ticks;
timer_interrupt_handler() {
    time_in_ticks++;
}
```

Figure 2.14: Simple timer interrupt handler

Another simple use for interrupts is for notification of keyboard input. Besides being useful for a "cancel" command like control-C, this is also very useful for *type-ahead*. On slower computers (e.g. the original IBM PC executed less than half a million instructions per second) a fast typist can hit multiple keys while a program is busy. A simple keyboard interface only holds one keystroke, causing additional ones to be lost. By using the keyboard interrupt, as shown in Figure 2.15, the operating system can read these keystrokes and save them, making them available to the program the next time it checks for input.

Review Questions

2.7.1. Hardware interrupts occur when particular instructions are executed: yes/no

A question for the reader - how would you change the one-key typeahead buffer in Figure 2.15 to buffer a larger number of keystrokes?

```
int lastkey = -1; /* invalid keystroke */
kbd_interrupt() {
    lastkey = kbd_code;
}
int getkey() {
    while (lastkey == -1) {
        /* loop */
    }
    int tmp = lastkey;
    lastkey = -1;
    return tmp;
}
```

Figure 2.15: Single-key keyboard type-ahead buffer

- 2.7.2. A device (e.g. the keyboard controller) uses interrupts to send data to the CPU: yes / no
- 2.7.3. Interrupts allow a program to do multiple things at once: yes / sort of / no

2.8 Context Switching

Interrupt-driven type-ahead, as described above, represents a simple form of multi-processing, or handling multiple parallel operations on the same CPU. Full multi-processing, however, as found on modern operating systems, involves parallel execution of full programs, rather than merely interleaving a single program with specific bits of operating system functionality.

Our simple OS cannot do this, nor can MS-DOS (which it closely resembles), but it is a straightforward extension to do so even on limited hardware. To do this on a single CPU machine we need a mechanism for saving the state of a *process*—a running program—and restoring it after another process has taken its turn.

To do this we take advantage of the way in which program state is stored on the stack. This may be seen in Figure 2.16, where we see the stack frame generated by a call to function g() with arguments and local variables.

By holding arguments, return addresses, and local variables, the stack essentially captures all the private state of a running computation. If we were to save the stack of a running process, go off and do something else—taking care to use a different stack—and then switch stacks again to return to the first process, no one would be the wiser except for any delay incurred.

f() {		
g(4, 5);		5 (m)
} =(:======) [4 (n)
$g(1nt n, m)$ { int a = 10:		return addr
	$\mathrm{SP} ightarrow$	10 (a)
}		

Figure 2.16: Subroutine call stack shown when in g(), called from f(), showing relationship between arguments, return address, and local variables.

Figure 2.17: Alternate methods of implementing sleep().

In fact, in Figure 2.17 we see two implementations of the sleep() function; the first busy-waits until the specified time has passed, while the second uses some mechanism to switch to another program for a while, and then returns when the interval is up. The particular mechanism used to switch from one process to another is simple but subtle: we save the processor registers by pushing them to the stack, and then save the value of the stack pointer into another location in memory. (This is commonly a location in a *process control block*, an object which represents the state of a process when another one is executing, and can be put on wait lists and otherwise manipulated.) We can then switch to another process by loading the stack pointer value for that second process (e.g. from its location in its process control block), restoring registers from the stack, and returning.

The flow of control involved in such a context switch is difficult to get used to, because the context switch itself *looks* like a simple function call, but *behaves* in a radically different way. In your previous classes you will have learned to think about functions as abstract operations, returning by definition to the same place where they were invoked. In a context switch, however, control enters the function from one location, and after a few simple instructions returns to an entirely different location.

We see different representations of this in Figures 2.18 and 2.19. The

context switch code is shown first: it saves registers to process 1's stack and saves the value of the stack pointer, then loads process 2's stack pointer, pops saved registers, and returns. Note that the second half of the function is referring to an entirely different stack than the first half, so the registers and return address popped from the stack are different from the ones saved in the first half of the function.

In addition we see two different visualizations of the flow of control during context switch. In each case control enters switch via a call from one process (or *thread* of control) but exits by returning to a different process.

A context switch enters a process or thread by **returning** from a function call, and leaves the process by **calling** into the switch function.

This is a curious property of con-

text switching: we can only switch *to* a process if we have switched *from* it at some point in the past. This results in a chicken-and-egg⁹ sort of problem—how do we start a process in the first place? This is done via manipulating the stack "by hand" in the process creation code, making it look like a previous call was made to switch, with a return address pointing to the beginning of the code to be executed, forming what is called a *trampoline* which "bounces" back to the desired location.

In Figure 2.21 we see a thread being started so that it begins execution with the first instruction of function main(). Imagine that just before the beginning of main() there had been a call to context_switch; when that call returns execution will begin at address main. To start a thread

```
switch_1_2:
    PUSH R0 # save registers
    PUSH R1
                                       thread 1 ~
                                                         return
    . . .
    STOR SP -> proc1_sp
                                       switch()
    LOAD SP <- proc2_sp
                                               return
                                                               call
    . . .
                                       thread 2
    POP R1
    POP RO
               # restore them
    RET
```

Figure 2.18: Different ways of looking at a context switch from Process 1 to Process 2.

⁹An English idiom referring to the rhetorical question "Which came first, the chicken or the egg?"



```
_start() {
   /* prepare argc, argv */
   int val = main(argc, argv);
   exit(val);
   /* Not reached */
}
```

Figure 2.19: Another way of looking at context switch control flow—processes call into switch which then returns to another process.

Figure 2.20: Simplified C run-time library (crt0.o) - invoke main, and then call exit to terminate process, guaranteeing no return from the true start function.

which will begin at main, then, we just fake this call stack; when we switch to the thread the first time, context_switch will then return to location main, where execution will begin.

A function is entered via CALL and exited via RET; similarly since we enter a process via RET, we exit it via CALL. In particular, we define a function (typically called exit()) which makes sure that the process will never be switched to again. (e.g. it is removed from any lists of processes to be run, its resources are freed, etc.) Note that some programming languages (e.g. C) allow process execution to be terminated by returning from the main



Figure 2.21: "Trampoline" return stack pointing to the beginning of the function to be executed (main)

function; this is done by calling main from the "real" start function, as shown in Figure 2.20.

Review Questions

- 2.8.1. Which of the following are stored on the stack?
 - a) Function arguments

- b) Return addresses
- c) Global variables
- d) Local variables
- 2.8.2. The RET (return) instruction: a) Returns to the instruction immediately after CALL b) Returns to the address on the top of the stack.
- 2.8.3. When context switching from process A to process B, what CPU instruction actually jumps to code in B? (i.e. sets the PC to an address that is part of B's execution) : CALL / JMP / RET

2.9 Advanced Context Switching

So far we have considered the case where switching between processes is initiated by an explicit call into the OS from the currently running process. But an interrupt is essentially a function call from the current process into a part of the operating system—the interrupt handler and we can in fact context switch to another process from within



Figure 2.22: Simple memory-mapped 4port serial interface

the interrupt handler function.¹⁰ A simple example is the case of the timer interrupt, which can easily be used to implement *time slicing* between multiple processes. If the timer device was set to interrupt every e.g. 20 ms, and its interrupt handler did nothing except context switch to the next in a circular list of processes, then these processes would share the CPU in 20 ms slices.

Scheduling

Context switching is the mechanism used by the operating system to switch from one running process to another; *scheduling* refers to the decision the operating system must make as to *which* process to switch to next. Scheduling is not covered in much detail in this version of the text.



Figure 2.23: Old (c. 1975?) multi-user computer system with 4 serial terminals.

Figure 2.24: Possible memory address layout for 4 processes plus operating system.

Multi-User Computer System

We now have all the software mechanisms needed to construct a multiuser computer system.Instead of a keyboard and video display we will use *serial ports* connected to external terminals; the system is shown in Figure 2.23 and the details of the memory-mapped interface to the serial ports are shown in Figure 2.22. When the user types a character on their terminal it will be transmitted over the serial line and received by the serial port, which will set the input status to 1 and put the received character in the input register. (just like the keyboard controller)¹¹

To output data to the user a character is written to the output register, which is then transmitted over the serial line and displayed to the user by

¹⁰Depending on the CPU there may be a few differences in stack layout between an interrupt and a function call, but these can be patched up in software.

¹¹It may seem to a modern reader that such a terminal would be as complex as a computer; however the earliest terminals ("teletypewriters") were almost entirely mechanical.

the terminal. It takes some amount of time to transmit a character; during this time the output status register is set to 1, and a new character should not be written until it returns to zero. Again similar to the keyboard controller we can also perform interrupt-driven I/O; in this case one interrupt indicates when a character has been received, while a second indicates that a character has finished being transmitted and we may send the next character.

Review Questions

2.9.1. Multiple copies of the same program:

- 1 Can share their entire memory space, since they have the same code and variables: *yes/no*
- 2 Can share their program code, but not the data memory holding their variables: *yes/no*
- 3 Can't share their code memory, because the two processes would interfere with each other as they try to execute the same instructions: *yes/no*

I/O-driven Context Switching

Now we know *how* to switch between programs, but *when* should we do it? We see one possible answer in Figure 2.25—switching on user input. Many simple programs (e.g. the shell, editors, etc.) consist of a user input loop: the program waits for input from the user, processes it, displays any resulting output, and then waits for user input again. Most of the time the program is idle, waiting for input; we take advantage of this by modifying the OS input routine to switch to another process when there is no input ready.

The code in Figure 2.25 will not switch to another process until the current process explicitly requests more input. For input which requires very little processing (e.g. an editor updating the screen) this is fine. However, if the program were to perform large amounts of computation before its next input request, then the other users might not be able to get a response for a long period of time. We can address this problem using interrupts: (1) When data is received for a program which is waiting for input, we switch to that program, allowing it to respond immediately. (2) When the timer interrupt fires we switch from the currently running process to another running process. (A "running" process is one that is not waiting for input—i.e. one that was previously suspended by a timer interrupt.)

2.10 Address Spaces for Multiple Processes

In Figure 2.24 we see a possible address space layout for our 4-user system, with four programs—one per terminal—each receiving about a quarter of the available memory. There is one significant problem, though: How do we get programs to run in these different memory regions?

As mentioned earlier in this chapter, the location at which a program is placed in memory is important, because there are many locations in a typical program where the address of a portion of the program is needed as part of an instruction. (e.g. for a subroutine call: on many CPUs, a function call f() would be compiled to the instruction CALL f, with the address of f forming part of the instruction.) If a program has been compiled to start at a specific location in memory¹² then it typically will not work if loaded into a different location.

There are a number of different ways to handle this problem:

• *fixed-address compilation:* each program to be run on the system could be compiled multiple times, once for each possible starting point, and then the appropriate one loaded when a user runs a

```
terminal is {
  queue unclaimed_keystrokes;
  process *waiting_process;
}:
process *current;
queue of (process*) active;
GETKEY(terminal *term):
  if (term->unclaimed_input is empty)
     term->waiting_process = current
     switch_to(active.pop_head())
 return term->unclaimed_input.pop_head()
interrupt:
  term->unclaimed_input.push_tail(key)
  if (term->waiting_process)
     active.push_tail(term->waiting_process)
     term->waiting_process = NULL
```

Figure 2.25: Context switching on GETKEY—while a process is waiting for input we take it off of the list of active processes; when input is received we wake the process waiting for it.

¹²E.g. 32-bit Linux programs are typically compiled to start at address 0x8048000.

200 CALL 500	200 CALL PC+300
 500	 500
(a)	(b)

Figure 2.26: Example of absolute and PC-relative addressing, both loaded at address 200

program. This seems like a bad idea, as it is inflexible and complex in many different ways. (e.g. it fixes the locations of the partitions, regardless of the total system memory size, or the size of a program, or how many programs we might wish to run at once) The only place I've seen this approach used is in certain embedded systems, where you may have multiple separate programs running at once but they are all compiled together as part of a single firmware version.

- *position-independent code:* here we ensure that programs are compiled in a way that makes them insensitive to their starting address, by using what is called *PC-relative addressing*. This is illustrated in Figure 2.26: rather than using an absolute address (e.g. 500 in the figure) for a function call, we use an alternate instruction which indicates an offset from the current PC. Unfortunately this is frequently inefficient; for instance 32-bit Intel architecture CPUs are able to efficiently perform PC-relative CALL and JMP instructions, but require multiple instructions to perform a PC-relative data access. (this was fixed in the 64-bit extensions)
- *load-time fixup:* Here we defer the final determination of addresses until the program is actually loaded into memory. The program file, or *executable*, will thus contain not only the code and data to be loaded into memory, but a list of locations which must be modified according to the address at which the program is placed in memory. Thus in Figure 2.26, this list would indicate how the target of the CALL instruction should be calculated.¹³
- hardware support: By far the most popular way of sharing system memory between multiple running programs is by the use of hardware address translation; such hardware support is required to run modern general-purpose operating systems such as Linux, Mac OS X, or Windows. The basic idea is illustrated in Figure 2.27: the CPU uses virtual addresses for instruction fetches or data loads and stores, which are then translated by an MMU (Memory Manage-

¹³This approach is used on uClinux, a modified version of Linux which runs on low-end microcontrollers lacking virtual memory hardware.



Figure 2.27: Virtual-to-physical address translation. All addresses in the CPU are virtual, and are translated to physical addresses by the MMU (Memory Management Unit) before being used to access physical memory.

ment Unit) to *physical addresses* (i.e. the actual address of a byte within a specific memory chip) for each memory operation.

2.11 Memory Protection and Translation

Hardware-supported address translation and memory protection (e.g. see Figure 2.27) is used on all well-known general-purpose operating systems today (e.g. Linux, OSX, Windows, and various server operating systems) as well as many others (e.g. the OSes used on most cell phones)¹⁴. Address translation is used for the following reasons:

- Flexible sharing of memory between processes. As seen above, sharing a single physical address space between a set of processes that changes over time is complicated without hardware support. Address translation allows programs to be compiled against a standard virtual address space layout, which is then mapped to available memory when the program is loaded into memory.
- Security. On a multi-user computer there are obvious reasons for preventing one user from accessing another's data; to accomplish this it is necessary to prevent "normal" processes from directly accessing memory used by another process or by the operating system. (even if the system is only used by one user at at time, the operating system must be protected if it is to be relied on to prevent access by one user to another user's files.)
- Robustness. If a program is allowed to write to any address in the system, then a bug in that program may cause the entire system to

¹⁴Address translation costs both money and power to add to a CPU; thus for instance the iPod Touch has a CPU with address translation, while the iPod Nano doesn't.

crash, e.g. by corrupting the operating system.¹⁵ If a process is constrained to only modifying memory that it has been allocated, then the same bug would cause only that process to crash, after which it may be restarted.

It is possible to ensure this degree of protection with software mechanisms under certain very limited circumstances, by e.g. restricting user processes to only use Java bytecodes rather than direct program execution.¹⁶ In the normal case however, where an application is allowed to directly execute most CPU instructions at full speed, hardware support is needed to prevent a process from making unauthorized memory reads and writes. This mechanism needs to be reconfigured by the operating system on every context switch, to apply the correct set of permissions to the running process, yet programs themselves must be prevented from modifying the configuration to bypass permission checking.

How can we allow the OS to modify memory protection, while preventing user programs from doing so and subverting memory protection? This is done by introducing a *processor state*: when the processor is running in *user* mode it is not allowed to modify memory mapping configuration, while when running in *supervisor* (also called *kernel*) mode it may do so. The code of a normal application executes in user mode, while the operating system *kernel*¹⁷ runs in supervisor mode. We next need a mechanism for safely entering supervisor mode when either (a) an application invokes a system call, or (b) a hardware interrupt occurs, and then switching back to user mode when returning.

This is typically done via the interrupt or exception mechanism, which (as described earlier in this chapter) causes a forced function call in response to certain events,to an address specified in a *exception vector* or *exception table*. If we use an exception for invoking sys-

A question for the reader - what might happen if unprivileged programs were able to modify the exception table?

tem calls, and the CPU always switches to supervisor mode when handling exceptions, then all operating system code will run in supervisor mode, and a special instruction may be used to return back to user mode when a system operation is complete. As long as the exception table is protected

¹⁵This happened frequently in MS-DOS, which had no memory protection.

¹⁶For instance, this approach is used by the Inferno operating system from Bell Labs, as well as several Java-based research operating systems.

¹⁷The core of the operating system, which does not run as a process—i.e. ignoring system services which run as normal processes.



Figure 2.28: Base and bounds address translation, depicting address calculation (left) and virtual to physical memory map correspondence (right).

from user-space modification, this hardware mechanism provides the a basis on which a secure operating system may be built.

The simplest such address translation mechanism is known as *base* and *bounds* registers, as illustrated in Figure 2.28a. A virtual address is first checked to ensure that it lies between 0 and a limit specified in the *bounds* register; if this check fails, an exception is raised and the operating system can terminate the process. Otherwise an offset (from the *base* register) is added to the virtual address, giving the resulting physical address. In this way a standard virtual address space (addresses 0 through the process size) is mapped onto an arbitrary (but contiguous) range of physical memory, as shown in Figure 2.28b.

There are a few complications in getting this to work with supervisor mode, as it needs to be able to access OS data structures which are (a) inaccessible to user-space code, and (b) at the same location in memory no matter which user-space base register value is currently being used. Although several techniques have been used, the simplest one is to ignore base and bounds registers in supervisor mode, so that the operating system uses physical addresses, giving access to all of memory, while user processes execute in separate translated address spaces¹⁸.

The switch from user to supervisor memory space (e.g. switching from translating via the base+bounds registers to using direct addressing) is

¹⁸This also makes it easier for the OS to change base+bounds registers when switching between processes, as it will have no effect on supervisor-mode address translation. Changing the mapping of the memory region being currently executed—something which most operating systems have to do very early in the boot process—is a very tricky thing.

done automatically by the hardware on any trap or interrupt. The operating system is then free to change the values in the (user) base and bounds registers to reflect the address space of the process it is switching to.

2.12 Putting it all together

In the introduction we saw the example of a simple command (ls) being executed in Linux. Many of the details of its operation were covered in this chapter.

Hardware: In our example, the keyboard controller was for an old-fashioned PS/2 keyboard, and the text display used was the simplest text mode supported by PC hardware, normally only used by some BIOSes. These are almost identical to the corresponding I/O devices in our hypothetical computer—they're located at different addresses, and support a few extra functions (e.g. flashing letters, key-up and key-down events, and keyboard *output* to e.g. turn on the caps-lock light), but otherwise are the same.

Code: To explain the operating system code we'll use the 64-bit Linux kernel version 4.6.0, because that's what I have handy. (you can browse and search the source code at http://elixir.free-electrons.com/linux/v4.6/source) If I use the kernel debugger to put a breakpoint on the actual TTY read function (n_tty_read) we get the following backtrace, which we will refer to in explaining input operation:

```
(gdb) backtrace
#0 n_tty_read (tty=0xffff88003a99fc00, file=0xffff880036b3e900,
   buf=0x7ffcff243a77 "", nr=1) at drivers/tty/n_tty.c:2123
#1 0xfffffff814d2792 in tty_read (file=0xffff880036b3e900, buf=<optimized
   out>, count=1, ppos=<optimized out>) at drivers/tty/tty_io.c:1082
#2 0xffffffff8121a197 in __vfs_read (file=0xffff88003a99fc00, buf=<optimized</pre>
   out>, count=<optimized out>, pos=0xffff88003b60bf18) at fs/read_write.c:473
#3 0xffffffff8121b236 in vfs_read (file=0xffff880036b3e900, buf=0x7ffcff243a77
   "", count=<optimized out>, pos=0xffff88003b60bf18) at fs/read_write.c:495
#4 0xfffffff8121c725 in SYSC_read (count=<optimized out>, buf=<optimized out>,
   fd=<optimized out>) at fs/read_write.c:610
#5 SyS_read (fd=<optimized out>, buf=140724589050487, count=1) at
   fs/read_write.c:603
#6 0xffffffff81798a76 in entry_SYSCALL_64 () at arch/x86/entry/entry_64.S:207
#7 0x000000000000001 in irq_stack_union ()
#8 0x0000000000000 in ?? ()
```

System calls: The Linux command line is a separate program, the *shell*, running in its own process, which invokes the read system call by executing the INTOx80 instructure with the system call number (SYS_READ = 3) in the EAX register, the file descriptor (stdin = 0) in EBX, a buffer pointer in ECX, and the buffer length in EDX - see 'man 2 read' for a full description of the system call semantics. (note that this is how it works for 32-bit mode; it's slightly different and more complicated for 64-bit.)

The entry_SYSCALL_64 function is the trap handler; it saves all sorts of registers, checks that it's a legal system call number, and then calls the

appropriate entry in the system call table. (since it needs to save registers and perform other machine-level functions it is one of the few kernel functions written in machine language)

#6 0xffffffff81798a76 in entry_SYSCALL_64 () at arch/x86/entry/entry_64.S:207
207 call *sys_call_table(, %rax, 8)

I/O virtualization: Linux file descriptors are small integers which index into a per-process array of pointers to internal kernel file structures. File descriptor 0 is standard input, and 1 is standard output. The pointer to the current process structure is called (unsurprisingly) current; we can look into its file table and see that entries 0 and 1 point to the same file structure (ending in 3e900) passed to n_tty_read in the stack trace above:

Note that the operating system kernel is almost entirely composed of exception handlers, which run in response to deliberate traps from user applications (system calls) or accidental ones (e.g. memory access faults), as well as interrupts from I/O devices and timers. This means that when a system is idle it is not actually executing code in the operating system kernel itself; instead a special *idle process* with lowest priority executes when no other work is available.

```
(gdb) p current->files.fdtab.fd[0]@2
$9 = {0xffff880036b3e900, 0xffff880036b3e900}
```

The SYSC_read function looks up this structure (returning an error for bad file descriptor numbers); vfs_read does a few more checks, and then calls __vfs_read which forwards to the "read" method from the file operations table in the file structure:

```
#2 0xfffffff8121a197 in __vfs_read (file=0xffff88003a99fc00, buf=<optimized
out>, count=<optimized out>, pos=0xffff88003b60bf18) at fs/read_write.c:473
473 return file->f_op->read(file, buf, count, pos);
```

When the file was originally opened, this operations table was set to point to the read and write operations for the TTY driver, which is responsible for keyboard input and text-mode screen output:

```
(gdb) p file->f_op
$13 = (const struct file_operations *) 0xffffffff81872fa0 <tty_fops>
(gdb) p *file->f_op
$14 = {owner = 0x0, llseek = 0xffffffff81219ff0 <no_llseek>,
read = 0xffffffff814d2700 <tty_read>, write = 0xffffffff814d27f0 <tty_write>,
...
```

Context switching: In n_tty_read it adds the current process to a wait queue, then checks to see if there is any input (or error conditions or lots of other reasons why it might return early) and if none, it goes to sleep:

2166	<pre>add_wait_queue(&tty->read_wait, &wait);</pre>
 2188	<pre>if (!input_available_p(tty, 0)) {</pre>
2207 2208	<pre>timeout = wait_woken(&wait, TASK_INTERRUPTIBLE,</pre>

Here wait_woken sets a few things and then calls schedule_timeout, which sets a timer and then calls schedule, the central context switch function, which picks the next runnable process and switches to it.

The interrupt which wakes it up is much more convoluted, as the actual interrupt handler schedules a "deferred work" callback which does the real work. (why? For several reasons, one of which is that you can block in a deferred work handler while interrupts have to return immediately.) Here are selected lines from the interrupt backtrace:

```
#0 tty_schedule_flip (port=<optimized out>) at drivers/tty/tty_buffer.c:406
#1 tty_flip_buffer_push (port=0xffff88003e088000)
   at drivers/tty/tty_buffer.c:558
#2 0xffffffff814dc8ae in tty_schedule_flip () at drivers/tty/tty_buffer.c:559
#3 0xfffffff814e490e in put_queue (ch=<optimized out>, vc=<optimized out>)
   at drivers/tty/vt/keyboard.c:306
#8 0xffffffff814e5c11 in kbd_keycode (hw_raw=<optimized out>, down=<optimized
   out>, keycode=<optimized out>) at drivers/tty/vt/keyboard.c:1457
#9 kbd_event (handle=<optimized out>, event_type=<optimized out>,
   event_code=<optimized out>, value=2) at drivers/tty/vt/keyboard.c:1475
#16 atkbd_interrupt (serio=0xffff88003684e800, data=<optimized out>,
   flags=<optimized out>) at drivers/input/keyboard/atkbd.c:512
#17 0xffffffff8162fdc6 in serio_interrupt (serio=0xffff88003684e800,
   data=57 '9', dfl=0) at drivers/input/serio/serio.c:1006
#18 0xffffffff81630e72 in i8042_interrupt (irq=<optimized out>,
   dev_id=<optimized out>) at drivers/input/serio/i8042.c:548
#23 handle_irq (desc=<optimized out>, regs=<optimized out>)
   at arch/x86/kernel/irq_64.c:78
#24 0xffffffff8179b22b in do_IRQ (regs=0xffffffff81c03df8
   <init thread union+15864>) at arch/x86/kernel/irg.c:240
```

which schedules the deferred work:

```
#1 tty_schedule_flip (port=<optimized out>) at drivers/tty/tty_buffer.c:406
400 struct tty_bufhead *buf = &port->buf;
...
406 queue_work(system_unbound_wq, &buf->work);
(gdb) p *buf->work
$41 = {data = {counter = 64}, entry = {next = 0xffff88003e088010,
prev = 0xffff88003e088010}, func = 0xfffffff814dcd00 <flush_to_ldisc>}
```

If we put a breakpoint on flush_to_ldisc and step through it, you eventually get to the following lines:

1628	<pre>if (read_cnt(ldata)) {</pre>
 1630	<pre>wake_up_interruptible_poll(&tty->read_wait, POLLIN);</pre>

which wake up the shell process that was sleeping on tty->read_wait, by removing it from the queue associated with read_wait and reinserting it into the list of runnable processes.

Process creation: The shell process executes the ls command by invoking fork, to create a subprocess, and then invoking wait to wait until the subprocess has finished. Within the subprocess the exec system call is used to load and execute the ls program itself; when it is done the exit system call frees the subprocess and causes the wait in the parent process to return. (process creation will be covered in more depth when we look at virtual memory)

Output: The shell and the ls processes send output to the screen by using the write system call; the text console driver is responsible for determining where the next character should be placed on the screen, handling end-of-line, and copying data to scroll displayed text upwards when it reaches the end of the buffer. (this way both processes can output to the same screen without over-writing each other)

In particular, tty_write eventually calls do_con_write in drivers/tty/vt/vt.c, which has a bunch of convoluted logic to handle line wrap, scrolling, cursor control commands, etc., but for the simplest case just adds on 8 bits to set the right background and foreground color, and writes into the screen buffer via a pointer:

Answers to Review Questions

- 2.1.1 *yes/no/sort of*: "no". I/O devices are pieces of hardware separate from the memory and the CPU, e.g., a card that plugs into the PCI bus. Software, whether part of the operating system or a program, consists of instructions in memory that are executed by the CPU.
- 2.1.2 *yes/no/sort of*: "sort of". The CPU interacts with most I/O devices as if they were normal memory locations, using load and store instructions to memory addresses. However, unlike normal RAM, which just stores the value written and returns it when read, the device takes various actions when the CPU reads or writes its memory locations.
- 2.4.1 "yes". Although programs may occasionally interact directly with specific pieces of hardware, a primary purpose of the operating system is to provide simple and consistent interfaces to complex and varying hardware devices.
- 2.4.2 "maybe". Some systems don't have a display. On a system with a display, the operating system may manage that display for user programs, as it does the keyboard (e.g., in Windows). On other systems (e.g., Linux), a separate program may be responsible for the interface.
- 2.4.3 "maybe". The simplest operating systems support a single, preloaded program, while the whole point of general-purpose operating systems like Windows or Linux is to allow the user to load their own programs.
- 2.4.4 "no". That's the whole point of a system call table. The addresses of functions in a program or the operating system may change if the code is modified and recompiled, but the system call table remains constant.
- 2.7.1 No. Hardware interrupts are external asynchronous events, and can occur at any point during program execution. (well, almost any point. It's possible to disable interrupts while executing code which can't be interrupted.)
- 2.7.2 No. An interrupt tells the CPU that something happened (or one of several possible somethings, if an interrupt line is shared), but that's all. It's the job of the interrupt handler to figure out what happened and handle it (hence the name) by e.g. reading in newly available data.
- 2.7.3 Sort of. Interrupts can easily be used to perform brief tasks examples include buffering a keystroke in response to the keyboard interrupt, or flashing a cursor in the timer interrupt. Implementing the equivalent of a full program in interrupt handlers would be

horribly complicated, however.

- 2.8.1 The stack holds: *Function arguments, return addresses* : yes, they are pushed onto the stack before calling a function. *Global variables* : no, there is only one copy of each global variable, so they are allocated fixed locations in memory. *Local variables* : yes, this way there is a separate copy of each local variable each time a function is called, even if it is called recursively, and the memory is automatically freed when the function returns.
- 2.8.2 the return instruction doesn't know anything about the corresponding CALL — it just uses the address on the top of the stack. It is the responsibility of the CALL instruction to put the return address there, and of the code in the function to make sure that address is not corrupted.
- 2.8.3 RET. Process A uses CALL to invoke the switch function, but it is the RET at the end of switch, after B's saved stack pointer is restored, that actually results in resuming execution of B's code.
- 2.9.1 1 (*share entire memory space*) No, in this case each process would see its variables change unexpectedly as the other processes updated them.
 - 2 (*share code, not data*) Yes, it might be simpler to give each process a separate copy of its program code, but it's not necessary. Writable data (and stack) must be separate, however.
 - 3 (*cannot share code*) No, the CPU is only executing one instruction at a time, and really doesn't care what another process might do sometime in the future after a context switch.