

# L41: Advanced Operating Systems

Through tracing, analysis, and experimentation

L41 Lecture 1

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# Getting started

- What is an operating system?
- Operating systems research
- About the L41 module
- Laboratory reports
- Kernel tracing with DTrace
- The **probe effect**
- The kernel: Just a C program?
- A little on kernel dynamics: How work happens

# What is an operating system?

(Whiteboarding exercise)

# What is an operating system?

[An OS is] low-level software that supports a computer's basic functions, such as scheduling tasks and controlling peripherals.

- Google hive mind

# General-purpose operating systems

... are for **general-purpose computers**:

- Servers, workstations, mobile devices
- Run **applications** – i.e., software unknown at design time
- Abstract the hardware, provide ‘class libraries’
- E.g., Windows, Mac OS X, Android, iOS, Linux, BSD, ...

<b>Userspace</b>	Local and remote shells, management tools, daemons Run-time linker, system libraries, logging and tracing facilities
– system-call layer –	
<b>Kernel</b>	System calls, hypercalls, remote procedure call (RPC)* Processes, filesystems, IPC, sockets, management Drivers, packets/blocks, protocols, tracing, virtualisation VM, malloc, linker, scheduler, threads, timers, tasks, locks

\* Continuing disagreement on whether distributed-file-system servers and window systems ‘belong’ in userspace or the kernel

# Other kinds of operating systems

**Specialise the OS** for a specific application or environment:

- **Embedded, real-time operating systems**

- Serve a single application in a specific context
- E.g., WiFi access points, medical devices, washing machines, cars
- Small code footprint, real-time scheduling
- Might have virtual memory / process model
- Microkernels or single-address space: VxWorks, RTEMS, L4
- Now also: Linux, BSD (sometimes over a real-time kernel), etc.

- **Appliance operating systems**

- Apply embedded model to higher-level devices/applications
- File storage appliances, routers, firewalls, ...
- E.g., Juniper JunOS, Cisco IOS, NetApp OnTap, EMC/Isilon
- Under the hood, almost always Linux, BSD, etc.

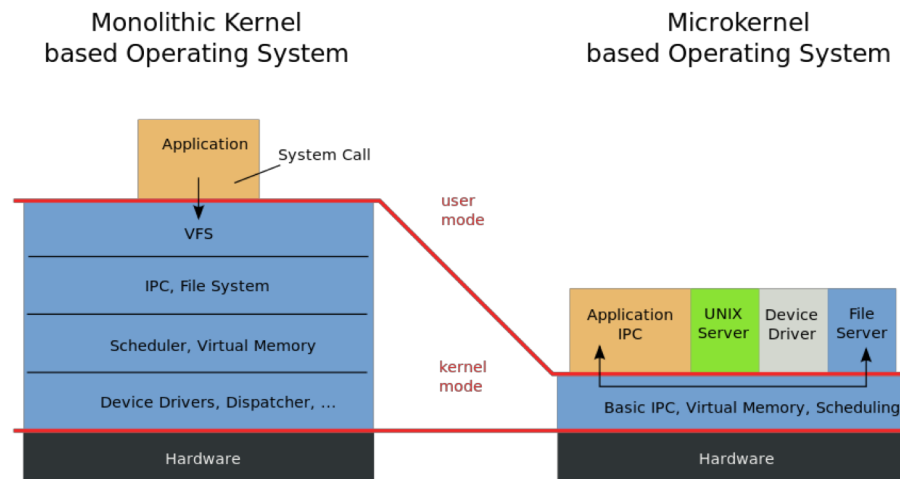
Key concept: **Operating system as a reusable component**

# Other kinds of operating systems?

What if we rearrange the boxes?

- **Microkernels, library operating systems, unikernels**

- Shift code out of the kernel into userspace to reduce Trusted Computing Base (TCB); improve robustness/flexibility; 'bare-metal' apps
- Early 1990s: Microkernels are king!
- Late 1990s: Microkernels are too slow!
- 2000s/2010s: Microkernels are back! But now 'hypervisors'
- Sometimes: programming-language runtime as OS



# Other kinds of operating systems?

- **Hypervisors**

- Kernels host applications; hypervisors host virtual machines
- Virtualised hardware interface rather than POSIX
- Paravirtualisation reintroduces OS-like interfaces for performance
- A lot of microkernel ideas have found a home here
- E.g., System/370, VMware, Xen, KVM, VirtualBox, bhyve, ...

- **Containers**

- Host OS as hypervisor, but using the process model
- Really more about code/ABI (Application Binary Interface) distribution and maintenance



# What does an operating system do?

- Key hardware-software surface
- Low-level abstractions and services
  - **Operational model:** bootstrap, shutdown, watchdogs
  - **Process model, IPC:** processes, threads, IPC, program model
  - **Resource sharing:** scheduling, multiplexing, virtualisation
  - **I/O:** drivers, local/distributed filesystems, network stack
  - **Security:** authentication, encryption, ACLs, MAC, audit
  - **Local or remote access:** console, window system, SSH
  - **Libraries:** math, protocols, RPC, crypto, UI, multimedia
  - **Monitoring/debugging:** logs, profiling, tracing, debugging

Compiler? Text editor? E-mail package? Web browser?  
Can an operating system be “distributed”?

# Why study operating systems?

The OS plays a central role in **whole-system design** when building efficient, effective, and secure systems:

- Strong influence on whole-system performance
- Critical foundation for computer security
- Exciting programming techniques, algorithms, problems
  - Virtual memory; network stack; filesystem; run-time linker; ...
- Co-evolves with platforms, applications, users
- Multiple active research communities
- Reusable techniques for building complex systems
- Boatloads of fun (best text adventure ever)

# Where is the OS research?

A sub-genre of **systems research**:

- Evolving hardware-software interfaces
  - New computation models/architectures
  - New kinds of peripheral devices
- Integration with programming languages and runtimes
- Concurrent/parallel programming models; scheduling
- Security and virtualisation
- Networking, storage, and distributed systems
- Tracing and debugging techniques
- Formal modeling and verification
- As a platform for other research – e.g., mobile systems

**Venues:** SOSP, OSDI; ATC; EuroSys; HotOS; FAST; NSDI; HotNets; ASPLOS; USENIX Sec.; ACM CCS; IEEE SSP; ...

# What are the research questions?

Just a few examples: By changing the OS, can I...

- Create new abstractions for new hardware?
- Make my application run faster by...
  - Better masking latency?
  - Using parallelism more effectively?
  - Exploiting new storage mediums?
  - Adopting distributed-system ideas in local systems?
- Make my application more {reliable, energy efficient}
- Limit {security, privacy} impact of exploited programs?
- Use new language/analysis techniques in new ways?

Systems research focuses on **evaluation** with respect to **applications** or **workloads**: How can we measure whether it is {faster, better, ...}?

# Teaching operating systems

- Two common teaching tropes:
  - **Trial by fire**: in micro, recreate classic elements of operating systems: microkernels with processes, filesystems, etc.
  - **Research readings course**: read, present, discuss, and write about classic works in systems research
- This module adopts elements of both styles while:
  - mitigating the risk of OS kernel hacking in a short course
  - working on real-world systems rather than toys; and
  - targeting research skills not just operating-system design
- Trace and analyse real systems driven by specially crafted benchmarks
- Possible only because of recent developments in tracing and hardware-based performance analysis tools

# Aims of the module (1/2)

Teaching **methodology, skills, and knowledge** required to understand and perform research on contemporary operating systems by...

- Employing systems methodology and practice
- Exploring real-world systems artefacts through performance and functional evaluation/analysis
- Developing scientific writing skills
- Reading selected original systems research papers

# Aims of the module (2/2)

On completion of this module, students should:

- Have an understanding of high-level OS kernel structure.
- Gained insight into hardware-software interactions for compute and I/O.
- Have practical skills in system tracing and performance analysis.
- Have been exposed to research ideas in system structure and behaviour.
- Have learned how to write systems-style performance evaluations.

# Prerequisites

We will take for granted:

- **High-level knowledge of OS terminology** from an undergraduate course (or equivalent); e.g.,:
  - What **schedulers** do
  - What **processes** are ... and how they differ from threads
  - What **Inter-Process Communication (IPC)** does
  - How might a simple **filesystem** might work
- Reasonable fluency in reading multithreaded C
- Working knowledge of Python (or R)
- Comfort with the UNIX command-line environment
- Undergraduate skills with statistics  
(mean/median/mode/stddev/*t*-tests/linear regression/boxplots/scatterplots ... )

You can pick up some of this as you go (e.g., IPC, Python, *t*-tests), but will struggle if you are missing several



# Module structure – four complementary strands

- **3x two-hour lectures** in FS09
  - Theory, methodology, architecture, and practice
- **5x two-hour labs** in SW02
  - Start with 10-20-minute *lecturelets* on artefacts, practical skills
  - Remainder on hands-on measurement and experimentation – learn skills required to write assigned lab reports, start on experiments
  - Lab **experimental questions** must be answered in your lab reports
- **Assigned research and applied readings**
  - Selected portions of module texts – learn skills, methodology
  - Historic and contemporary research papers – research exposure
- **Marked lab reports**
  - Based on experiments done in (and out) of scheduled labs
  - Refine scientific writing style suitable for systems research
  - One ‘practice run’ marked but not assessed ← **not optional!**
  - Two assessed; 50% of final mark each

# Outline of module schedule

- **Submodule 1: Introduction to kernels and tracing/analysis**
  - 1 lecture, 1 lab (I/O)
  - **Introduction:** OSES, Systems Research, and L41
  - **The Kernel:** Kernel and Tracing
  - First lab report due - 2019-02-11
- **Submodule 2: The Process Model**
  - 1 lecture, 2 labs (IPC, PMC)
  - **The Process Model (1)** – Binaries and Processes
  - **The Process Model (2)** – Traps, System Calls, and Virtual Memory
  - Second lab report due - 2019-03-19
- **Submodule 3: The Network Stack (TCP/IP)**
  - 1 lecture, 2 labs (TCP state machine, congestion control)
  - **The Network Stack (1)** – Sockets, NICs, and Work Distribution
  - **The Network Stack (2)** – TCP protocol
  - Final lab report due - 2019-04-24

# The platform



## TI BeagleBone Black

- 1GHz ARM Cortex-A8 32-bit CPU
- Superscalar pipeline, MMU, L1/L2 caches
- FreeBSD operating system (13-CURRENT) + DTrace
- Bespoke “potted benchmarks”
- Jupyter notebook measurement and analysis environment

# Labs and lab reports

Lab reports document an experiment and analyse its results – typically using **one or more hypotheses**.

Our lab reports will contain the following sections (see notes, template):

1. Title + abstract (1 page)	5. Conclusion (1-2 para)
2. Introduction (1-2 para)	6. References
3. Experimental setup and methodology (1-2 pages)	7. Appendices
4. Results and discussion (3-4 pages)	

Some formats break out (e.g.) experimental setup vs. methodology, and results vs. discussion. The combined format seems to work better for systems experimentation as compared to (e.g.) biology.

- The target length is **10 pages excluding appendices, references**
- **Over-length reports** will be assessed within page limit
- **Appendices** may not be read if too long, and should not be essential to understanding the core content of the report

# Module texts – core material

You will need to make frequent reference to these books both in the labs and outside of the classroom:

**Operating systems:** Marshall Kirk McKusick, George V. Neville-Neil, and Robert N. M. Watson, ***The Design and Implementation of the FreeBSD Operating System, 2nd Edition***, Pearson Education, Boston, MA, USA, September 2014.

**Performance measurement:** Raj Jain, ***The Art of Computer Systems Performance Analysis: Techniques for Experimental Design, Measurement, Simulation, and Modeling***, Wiley - Interscience, New York, NY, USA, April 1991.

**Tracing and profiling:** Brendan Gregg and Jim Mauro, ***DTrace: Dynamic Tracing in Oracle Solaris***, Mac OS X and FreeBSD, Prentice Hall Press, Upper Saddle River, NJ, USA, April 2011.

# Module texts – additional material

If your OS recollections feel a bit hazy:

**Operating systems:** Abraham Silberschatz, Peter Baer Galvin, and Greg Gagne

***Operating System Concepts***, Eighth Edition, John Wiley & Sons, Inc., New York, NY, USA, July 2008.

If you want to learn a bit more about architecture and measurement:

**Performance measurement and diagnosis:** Brendan Gregg, ***Systems Performance: Enterprise and the Cloud***, Prentice Hall Press, Upper Saddle River, NJ, USA, October 2013.

# Dynamic tracing with DTrace

- Bryan M. Cantrill, Michael W. Shapiro, and Adam H. Leventhal. *Dynamic Instrumentation of Production Systems*, USENIX ATC 2004.
  - “Facility for dynamic instrumentation of production systems”
  - Unified and safe **instrumentation** of kernel and user space
  - Zero **probe effect** when not enabled
  - Dozens of **providers** representing different trace mechanisms
  - Tens (hundreds?) of thousands of **instrumentation probes**
  - **D language**: C-like scripting language with **predicates**, **actions**
  - Scalar variables, thread-local variables, associative arrays
  - **Data aggregation** and **speculative tracing**
- Solaris, Mac OS X, FreeBSD; Linux + Windows modules
- Wide influence – e.g., on Linux SystemTap, eBPF
- **Our tool of choice in this course**

# DTrace scripts

- Human-facing, C-like **D Programming Language**
- One or more {**probe name**, **predicate**, **action**} tuples
- Expression limited to control side effects (e.g., no loops)
- Specified on command line or via a `.d` file

<b>Probe name</b>	Identifies the probe(s) to instrument; wildcards allowed; identifies the provider and provider-specific probe name
<b>Predicate</b>	Filters cases where action will execute
<b>Action</b>	Describes tracing operations

```
fbt::malloc:entry /execname == "csh"/ { trace(arg0); }
```

Probe name                      Predicate                      Action



# Some FreeBSD DTrace providers

- Providers represent data sources – instrumentation types:

Provider	Description
callout_execute	Timer-driven “callout” event probes
dtmalloc	Kernel malloc()/free()
dtrace	DTrace script events (BEGIN, END)
fbt	Function Boundary Tracing (function prologues, epilogues)
io	Block I/O read/write
ip,udp,tcp,sctp	TCP/IP events
lockstat	Kernel locking primitives
proc,sched	Kernel process, scheduling primitives
profile	Profiling timers
syscall	System-call entry/return
vfs	Virtual File System operations

- Apparent duplication: FBT vs. event-class providers?
  - Efficiency, expressivity, interface stability, portability

# Tracing kernel malloc() calls

- Trace first argument to kernel malloc() for csh
- NB: Captures both successful and failed allocations

```
# dtrace -n  
  'fbt::malloc:entry /execname=="csh"/ { trace(arg0); }'
```

<b>Probe</b>	Use FBT to instrument malloc() function prologue
<b>Predicate</b>	Limit actions to processes executing csh
<b>Action</b>	Trace the first argument (arg0)

CPU	ID	FUNCTION:NAME	
0	8408	malloc:entry	64
0	8408	malloc:entry	2748
0	8408	malloc:entry	48
0	8408	malloc:entry	392

^C

# Aggregations – summarising traces

- **Aggregations** allow early, efficient reduction
  - Scalable multicore implementations (i.e., commutative)

```
@variable = function(.. args ..);  
printa(@variable)
```

Aggregation	Description
count()	Number of times called
sum()	Sum of arguments
avg()	Average of arguments
min()	Minimum of arguments
max()	Maximum of arguments
stddev()	Standard deviation of arguments
lquantize()	Linear frequency distribution (histogram)
quantize()	Log frequency distribution (histogram)

# Profiling kernel malloc() calls by csh

```
fbt::malloc:entry  
/execname=="csh"/  
{ @traces[stack()] = count(); }
```

<b>Probe</b>	Use FBT to instrument malloc() function prologue
<b>Predicate</b>	Limit actions to processes executing csh
<b>Action</b>	Keys of associative array are stack traces (stack()); values are aggregated counters (count())

```
^C  
kernel`malloc  
kernel`fork1+0x14b4  
kernel`sys_vfork+0x2c  
kernel`swi_handler+0x6a8  
kernel`swi_exit  
kernel`swi_exit  
3  
...
```

# D Intermediate Format (DIF)

# dtrace -Sn

```
'fbt::malloc:entry /execname == "csh"/ { trace(arg0); }'
```

Predicate

DIFO 0x0x8047d2320 returns D type (integer) (size 4)

OFF	OPCODE	INSTRUCTION	
00:	29011801	ldgs DT_VAR(280), %r1	! DT_VAR(280) = "execname"
01:	26000102	sets DT_STRING[1], %r2	! "csh"
02:	27010200	scmp %r1, %r2	
03:	12000006	be 6	
04:	0e000001	mov %r0, %r1	
05:	11000007	ba 7	
06:	25000001	setx DT_INTEGER[0], %r1	! 0x1
07:	23000001	ret %r1	

NAME	ID	KND	SCP	FLAG	TYPE
execname	118	scl	glb	r	string (unknown) by ref (size 256)

Action

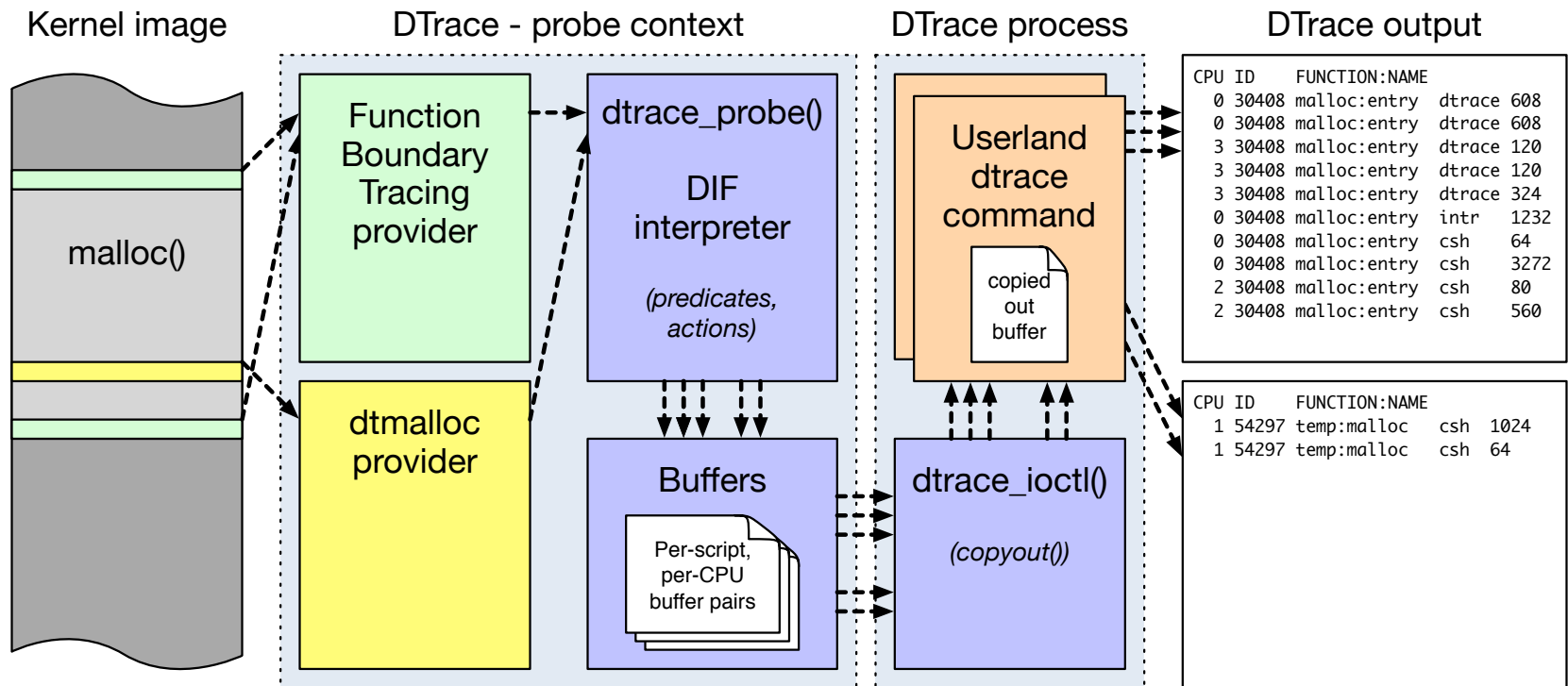
DIFO 0x0x8047d2390 returns D type (integer) (size 8)

OFF	OPCODE	INSTRUCTION	
00:	29010601	ldgs DT_VAR(262), %r1	! DT_VAR(262) = "arg0"
01:	23000001	ret %r1	

NAME	ID	KND	SCP	FLAG	TYPE
arg0	106	scl	glb	r	D type (integer) (size 8)

# DTrace: Implementation

```
dtrace -n 'fbt::malloc:entry { trace(execname); trace(arg0); }'
```



```
dtrace -n 'dtmalloc::temp:malloc /execname="csch"/ { trace(execname); trace(arg3); }'
```

# The *Probe Effect*

- The **probe effect** is the unintended alteration of system behaviour that arises from measurement
  - Software instrumentation is **active**: execution is changed
- DTrace minimises probe effect when not being used...
  - ... but has a very significant impact when it is used
  - Disproportionate effect on probed events
- Potential perturbations:
  - Speed relative to other cores (e.g., lock hold times)
  - Speed relative to external events (e.g., timer ticks)
  - Microarchitectural effects (e.g., cache, branch predictor)
- What does this mean for us?
  - Don't benchmark while running DTrace ...
  - ... unless **measuring probe effect**
  - Be aware that traced applications may behave differently
  - E.g., more timer ticks will fire, I/O will “seem faster”

# Probe effect example: dd(1) execution time

- Simple (naïve) microbenchmark – `dd(1)`
  - `dd` copies blocks from input to output
  - Copy 10M buffer from `/dev/zero` to `/dev/null`
  - Execution time measured with `/usr/bin/time`

```
# dd if=/dev/zero of=/dev/null bs=10m count=1 status=none
```

- Simultaneously, run various DTrace scripts
  - Compare resulting execution times using `ministat`
  - Difference is probe effect (+/- measurement error)



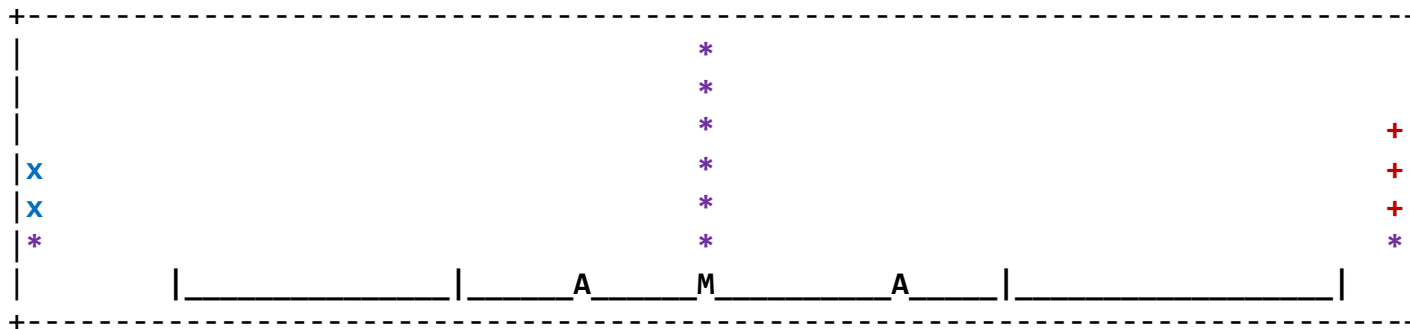
# Probe effect 1: memory allocation

- Using the `dtmalloc` provider, count kernel memory allocations:

```
dtmalloc:::  
{ @count = count(); }
```

x no-dtrace

+ dtmalloc-count



	N	Min	Max	Median	Avg	Stddev
x	11	0.2	0.22	0.21	0.20818182	0.0060302269
+	11	0.2	0.22	0.21	0.21272727	0.0064666979

No difference proven at 95.0% confidence

- No statistically significant overhead** at 95% confidence level

# Probe effect 2: locking

- Using the lockstat provider, track kernel lock acquire, release:

```
lockstat:::  
{ @count = count(); }
```

```
x no-dtrace  
+ lockstat-count
```



	N	Min	Max	Median	Avg	Stddev
x	11	0.2	0.22	0.21	0.20818182	0.0060302269
+	11	0.42	0.44	0.44	0.43454545	0.0068755165

Difference at 95.0% confidence  
0.226364 +/- 0.00575196  
**108.734%** +/- 2.76295%  
(Student's t, pooled s = 0.0064667)

- 109% overhead** – 170K locking operations vs. 6 malloc() calls!

# Probe effect 3: limiting to dd(1)?

- Limit the action to processes with the name dd:

```
lockstat::: /execname == "dd"/  
{ @count = count(); }
```

x no-dtrace

+ lockstat-count-dd



	N	Min	Max	Median	Avg	Stddev
x	11	0.2	0.22	0.21	0.20818182	0.0060302269
+	11	0.54	0.57	0.56	0.55818182	0.0075075719

Difference at 95.0% confidence

0.35 +/- 0.0060565

168.122% +/- 2.90924%

(Student's t, pooled s = 0.00680908)

- Well, crumbs. Now **168% overhead!**

# Probe effect 4: stack traces

- Gather more locking information in action – capture call stacks:

```
lockstat::: { @stacks[stack()] = count(); }
lockstat::: /execname == "dd"/ { @stacks[stack()] = count(); }
```

x no-dtrace

+ lockstat-stack

\* lockstat-stack-dd



	N	Min	Max	Median	Avg	Stddev
x	11	0.2	0.22	0.21	0.20818182	0.0060302269
+	11	1.38	1.57	1.44	1.4618182	0.058449668
		1.25364 +/- 0.0369572				602.183% +/- 17.7524%
*	11	1.5	1.55	1.51	1.5127273	0.014206273
		1.30455 +/- 0.00970671				626.638% +/- 4.66261%

# The kernel: “Just a C program”?

- I claimed that the kernel was mostly “just a C program”
- This is indeed mostly true, especially in higher-level subsystems

Userspace	Kernel
crt/csu	locore
rtld	Kernel linker
Shared objects	Kernel modules
main()	main(), platform_start()
libc	libkern
POSIX threads API	kthread KPI
POSIX filesystem API	VFS KPI
POSIX sockets API	socket KPI
DTrace	DTrace
...	...

# The kernel: not just *any* C program

- **Core kernel:**  $\approx 3.4\text{M}$  LoC in  $\approx 6,450$  files
  - **Kernel runtime:** Run-time linker, object model, scheduler, memory allocator, threads, debugger, tracing, I/O routines, timekeeping
  - **Base kernel:** VM, process model, IPC, VFS w/20+ filesystems, network stack (IPv4/IPv6, 802.11, ATM, ...), crypto framework
  - Includes roughly  $\approx 70\text{K}$  lines of assembly over  $\approx 6$  architectures
- Alternative C runtime – e.g., SYSINIT, curthread
- Highly concurrent – really very, very concurrent
- Virtual memory makes pointers .. odd
- Debugging features – e.g., WITNESS lock-order verifier
- **Device drivers:**  $\approx 3.0\text{M}$  LoC in  $\approx 3,500$  files
  - 415 device drivers (may support multiple devices)

# Spelunking the kernel

```
% ls
```

```
Makefile      ddb/          mips/         nfs/          sys/
amd64/        dev/          modules/      nfscclient/   teken/
arm/          fs/           net/          nfsserver/    tools/
boot/         gdb/          net80211/     nlm/          ufs/
bsm/          geom/         netgraph/     ofed/         vm/
cam/          gnu/          netinet/      opencrypto/   x86/
cddl/         i386/         netinet6/     pc98/         xdr/
compat/       isa/          netipsec/     powerpc/      xen/
conf/         kern/         netnatm/      rpc/
contrib/      kgssapi/      netpfil/      security/
crypto/       libkern/      netsmb/       sparc64/
```

```
% ls kern
```

```
Make.tags.inc      kern_racct.c      subr_prof.c
Makefile           kern_rangelock.c subr_rman.c
bus_if.m           kern_rctl.c       subr_rtc.c
capabilities.conf  kern_resource.c  subr_sbuf.c
clock_if.m         kern_rmlock.c    subr_scanf.c
...
```

- Kernel source lives in `/usr/src/sys`:
  - `kern/` – core kernel features
  - `sys/` – core kernel headers
- Useful resource: <http://fxr.watson.org/>

# How work happens in the kernel

- Kernel code executes concurrently in multiple threads
  - User threads in the kernel (e.g., a system call)
  - Shared worker threads (e.g., callouts)
  - Subsystem worker threads (e.g., network-stack workers)
  - Interrupt threads (e.g., Ethernet interrupt handling)
  - Idle threads

```
# procstat -at
PID    TID COMM          TDNAME          CPU  PRI STATE  WCHAN
  0 100000 kernel        swapper         -1   84 sleep  swapin
  0 100006 kernel        dtrace_taskq    -1   84 sleep  -
...
 10 100002 idle          -               -1  255 run   -
 11 100003 intr         swi3: vm        0    36 wait  -
 11 100004 intr         swi4: clock (0) -1   40 wait  -
 11 100005 intr         swi1: netisr 0  -1   28 wait  -
...
 11 100018 intr         intr16: ti_adc0 0    20 wait  -
 11 100019 intr         intr91: ti_wdt0 0    20 wait  -
 11 100020 intr         swi0: uart      -1   24 wait  -
...
 739 100064 login         -               -1  108 sleep  wait
 740 100079 csh           -               -1  140 sleep  ttyin
 751 100089 procstat      -               0   140 run   -
```



# Work processing and distribution

- Many operations begin with system calls in a user thread
- But may trigger work in many other threads; for example:
  - Triggering a callback in an interrupt thread when I/O is complete
  - Eventually writing back data to disk from the buffer cache
  - Delayed transmission if TCP isn't able to send immediately
- We will need to be careful about these things, as not all work we are analysing will be in the obvious user thread
- Multiple mechanisms provide this asynchrony; e.g.:

<b>callout</b>	Closure called after wall-clock delay
<b>eventhandler</b>	Closure called for key global events
<b>task</b>	Closure called .. eventually
<b>SYSINIT</b>	Function called when module loads/unloads

\* Where *closure* in C means: function pointer, opaque data pointer

# For next time

- McKusick, et al. – Chapter 3
- Cantrill, et al. 2004 – full article
- Read Ellard and Seltzer, *NFS Tricks and Benchmarking Traps*
- Skim the handout, *L41: DTrace Quick Start* (available from L41 module website)
- Be prepared to try out DTrace on a real system