



## Microkernels in a Bit More Depth

COMP9242  
2008/S2 Week 3

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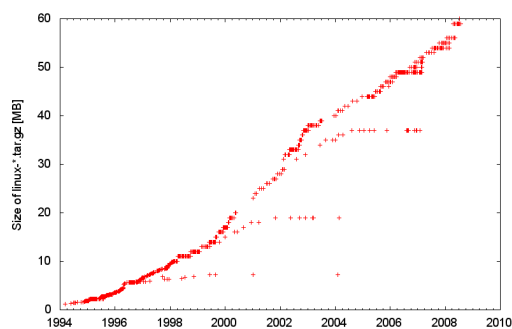
## Motivation

- Early operating systems had very little structure
- A strictly layered approach was promoted by Dijkstra
  - THE Operating System [Dij68]
- Later OS (more or less) followed that approach (e.g., Unix).
- Such systems are known as *monolithic kernels*

## Issues of Monolithic Kernels

- Advantages:**
- Kernel has access to everything:
    - all optimisations possible
    - all techniques/mechanisms/concepts implementable
  - Kernel can be extended by adding more code, e.g. for:
    - new services
    - support for new hardware
- Problems:**
- Widening range of services and applications
  - OS bigger, more complex, slower, more error prone.
  - Need to support same OS on different hardware.
  - Like to support various OS environments.
  - Distribution
    - Impossible to provide all services from same (local) kernel

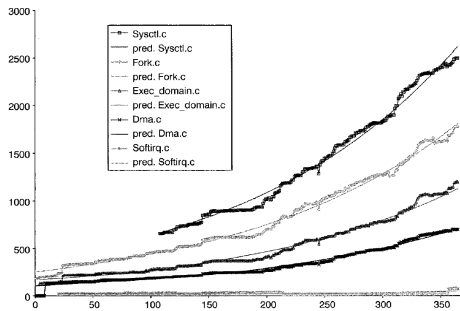
## Evolution of the Linux Kernel



## Approaches to Tackling Complexity

- Classical software-engineering approach: modularity
  - (Relatively) small, mostly self-contained components
  - Well-defined interfaces between them
  - Enforcement of interfaces
  - Containment of faults to few modules
- Doesn't work with monolithic kernels:
  - All kernel code executes in privileged mode
  - Faults aren't contained
  - Interfaces cannot be enforced
  - Performance takes priority over structure

## Cross-Module Dependencies (“Spaghetteness”) UNSW



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## Evolution of the Linux Kernel — Part 2 UNSW

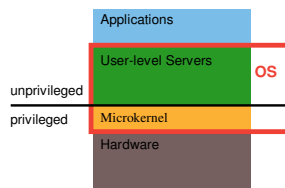
### Software-engineering study of Linux kernel [SJW+02]:

- Looked at size and interdependencies of kernel “modules”
  - “common coupling”: interdependency via global variables
- Analyzed development over time (linearised version number)
- Result 1: Module size grows linearly with version number
- Result 2: Interdependency grows *exponentially* with version!
- *The present Linux model is doomed!*
- There is no reason to believe that others are different
  - e.g. Windows, MacOS, ...
- Need better software engineering in operating systems!

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## Monolithic vs. Microkernel OS Structure UNSW

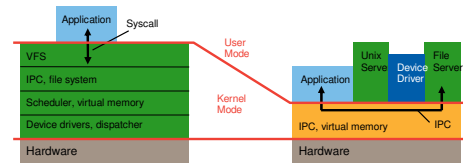


Based on the ideas of Brinch Hansen’s “Nucleus” [BH70]

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## Monolithic vs. Microkernel OS Structure UNSW



### Monolithic OS

- lots of privileged code
- vertical structure
- invoked by system call

### Microkernel OS

- little privileged code
- horizontal structure
- invoked by IPC

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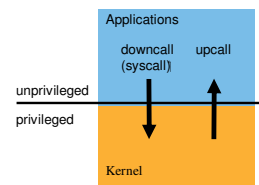
## Microkernel OS UNSW

- Kernel:
  - Contains code which *must* run in supervisor mode
  - Isolates hardware dependence from higher levels
  - Is small and fast extensible system
  - Provides *mechanisms*.
- User-level servers:
  - Are hardware independent/portable
  - Provide “OS environment”/“OS personality” (maybe several)
  - May be invoked:
    - From **application** (via message-passing IPC)
    - From **kernel** (upcalls)
      - Implement *policies* [BH70].

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## Downcall vs. Upcall UNSW



### Downcall: Upcall:

- unprivileged code enters kernel mode implemented via trap
- privileged code enters user mode implemented via signal/IPC

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## Microkernel-Based Systems

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Classic +                      thin                      specialized

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## Microkernel-Based Systems

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→ Hybrid system

- Linux for legacy support or high-level API requirements
- RTOS for legacy support for real-time apps
- Highly componentised system for robustness

→ Provides migration path from legacy to componentised

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## Early Example: Hydra

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- Separation of mechanism from policy
  - e.g. protection vs. security
- No hierarchical layering of kernel
- Protection, even within OS
  - Uses (segregated) *capabilities*
- Objects, encapsulation, units of protection.
- Unique object *name*, no concept of object ownership.
- Object persistence based on reference counting [WCC+74]

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## Hydra...

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- Can be considered the first *object-oriented OS*
- Has been called the first microkernel OS
  - by people who ignored Brinch Hansen
- Has had enormous influence on later OS research
- Was never widely used even at CMU because of
  - poor performance
  - lack of a complete environment

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## Popular Example: Mach

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- Developed at CMU by Rashid and others [RTY+88] from 1984
- Successor of Accent [FR86] and RIG [Ras88]

**Goals:**

- *Tailorability*: support different OS interfaces
- *Portability*: almost all code H/W independent
- *Real-time* capability
- *Multiprocessor and distribution* support
- Security
- Coined term *microkernel*

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## Basic Features of Mach Kernel

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- Task and thread management
- Interprocess communication
  - asynchronous message-passing
- Memory object management
- System call redirection
  - for virtualization (although they didn't call it that)
- Device support
- Multiprocessor support

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## Mach Tasks and Threads

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- Thread
  - active entity (basic unit of CPU utilisation)
  - own stack, kernel scheduled
  - may run in parallel on multiprocessor
- Task
  - consists of one or more threads
  - provides address space and other environment
  - created from "blueprint"
    - Empty or inherited address space
    - Similar approach adopted by Linux clone
  - Activated by creating a thread in it
- "Privileged user-state program" may control scheduling

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## Mach IPC: Ports

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- Addressing based on ports:
  - port is a mailbox, allocated/destroyed via a system call
  - has a fixed-size message queue associated with it
  - is protected by (segregated) capabilities
  - as exactly one receiver, but possibly many senders
  - can have "send-once" capability to a port
    - for RPC replies (server invocation)
- Can pass the receive capability for a port to another process
  - give up read access to the port
- Kernel detects (and cleans up) ports without senders or receiver
- Processes may have many ports (UNIX server has 2000!)
- can be grouped into port sets
- supports listening to many (similar to Unix select)
- Send blocks if queue is full
  - blocking limited by timeout
- Indirection via ports supports transparent distribution
  - Local proxy port forwards message to receiver on remote node

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## Mach IPC: Messages

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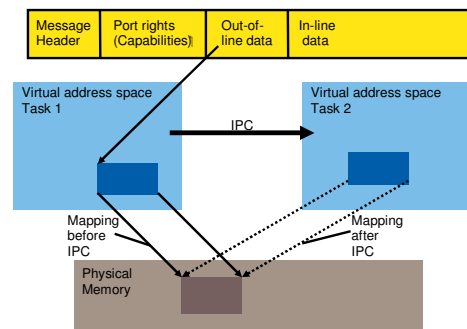
- Segregated capabilities:
  - Threads refer to them via local indices
  - Kernel marshals capabilities in messages
  - Message format must identify caps
- Message contents
  - Send capability to destination port (mandatory)
    - Used by kernel to validate operation
  - Optional send capability to reply port
    - For use by receiver to send reply
  - Possibly other capabilities
  - "in-line" (by-value) data
  - "out-of-line" (by reference) data, using copy-on-write,
    - May contain whole address spaces

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## Mach IPC

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## Mach Virtual Memory Management

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- Address space constructed from memory regions**
- Initially empty
- Populated by:
  - explicit allocation
  - explicitly mapping a memory object
  - inheriting from parent
    - by-region inheritance: none, copy, shared
  - allocated automatically by kernel during IPC
    - when passing by-reference parameters
    - kernel determines mapping location
- Leads to sparse virtual memory use (unlike UNIX)
  - uses complex address-map datastructure to limit impact
- Extensive use of copy-on-write for efficiency
  - imposes alignment restrictions
  - not necessarily a win for single pages

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## Mach Memory Objects

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- Kernel doesn't support file system
- **Memory objects** are an abstraction of secondary storage:
  - can be mapped into virtual memory
  - are cached by the kernel in physical memory
  - **pager** invoked if unmapped page is touched (or R/O page written to)
    - invoke **file system** server to provide data
- Support data sharing
  - by mapping objects into several address spaces
- Mach views virtual memory only as a cache for memory objects

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## User-Level Page Fault Handlers

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→ All actual I/O performed by *pager* — can be

- default pager (provided by kernel), or
- *external* pager, running at user level

→ Intrinsic page fault cost: 2 IPCs

- (1) Check protection & locate memory object
  - uses address map
- (2) Check cache, invoke pager if cache miss
  - uses a hashed page table
- (3) Check copy-on-write
  - perform physical copy if write fault
- (4) Enter new mapping into H/W page tables

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## Mach Unix Virtualization

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→ Emulation library in user address space handles IPC

→ Invoked by system call redirection (*trampoline mechanism*)

- Supports binary compatibility
- Example of what's now called *para-virtualization*

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## Mach = Microkernel?

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→ Most OS services implemented at user level

- Using memory objects and external pagers
- Provides mechanisms, not policies

→ Mostly hardware independent

→ Big!

- 140 system calls (300 in later versions), >100 kLOC
  - Compare: Unix 6<sup>th</sup> edition had 48 syscalls (10 kLOC without drivers)
- 200 KiB text size (350 KiB in later versions)

→ Performance poor

- Tendency to move features into kernel
  - OSF/1
  - Darwin (base of MacOS X): complete BSD kernel inside Mach

→ Further information on Mach: [YTR+87, CDK94, Sin97]

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## Other Client-Server Systems

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→ Lots! Most notable systems:

- Amoeba:** FU Amsterdam, early 1980's [TM81, TM84, MT86]
  - followed by Minix ('87), Minix 3 ('05)
- Chorus:** INRIA (France), early 1980's [DA92, RAA+90, RAA+92]
  - Commercialised by Chorus Systèmes in 1988
  - Targeted embedded systems (esp. network infrastructure)
  - Bought by Sun in 1997, closed down in 2002
  - Chorus team spun out to create Jaluna (renamed VirtualLogix in '06)
  - Now market embedded virtualization technology
- QNX:** "first commercial microkernel" (early '80s)
  - highly successful in automotive and other transport systems
- Green Hills Integrity**
  - '97 for military, commercial release '02
  - market leader in aerospace, military
- Windows NT:** Microsoft (early 1990's) [Cus93]
  - Early versions (NT 3) were microkernel-ish
  - Now run main servers and most drivers in kernel mode

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## Critique of Microkernel Architectures

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I'm not interested in making devices look like user-level.  
They aren't, they shouldn't, and microkernels are just stupid.

*Linus Torvalds*

Is Linus right?

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## Microkernel Performance

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→ First generation microkernel systems ('80s, early '90s)

- Exhibited poor performance when
  - Compared to monolithic UNIX implementations
- Particularly Mach, the best-known example
  - But others weren't better

→ Typical result: re-kernelise systems

- Move OS services back into the kernel for performance
- Move complete OS personalities into kernel
  - Mach Unix "server" → Unix kernel co-located with Mach
  - Chorus Unix
  - Mac OS X
  - OSF/1....

→ Some spectacular failures

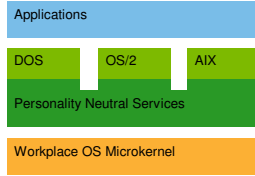
- most notorious: IBM Workplace OS [Phelan et al. 93]
- also the GNU Hurd
- many others...

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## IBM Workplace OS (1991–96)

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- Unify IBM's operating systems (and produce cost savings)
  - DOS, OS/2, Posix, AIX, OS/400, WIndows (binary compatible)
  - all on same underlying platform, available concurrently
  - apps can use services from multiple OSES
  - "Grand Unification Theory of Operating Systems" (GUTS)
- Scale across a wide range of environments
  - PDAs (ARM)
  - desktops (x86, PowerPC)
  - massively-parallel machines (Power, ...)
- Decided to base on Mach
  - "Workplace OS microkernel" derived from Mach 3.0
  - for providing concurrent OS personalities
  - share personality neutral services (PNSs)



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## IBM Workplace OS

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- Significant modifications to Mach to address its problems
  - synchronous IPC, single-copy message-passing
  - direct support for RPC
    - send+receive-reply without user-level capability manipulation
  - migrating threads model
    - thread moves with message during IPC
  - improvements in memory management
    - eg. use mappings for message transfers
  - security tokens that reduce number of rights checks
  - generally simplified and optimised code base
  - *more than doubled overall code size*
  - *improved IPC performance @3 times (still @8 times slower than L4)*
- Plagued by problems
  - Schedule overruns
  - Budget overruns
  - On-going technical problems

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## IBM Workplace OS History

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- One of the biggest OS projects ever: US\$2G
  - 400 microkernel, 1500 OS/2 programmers
- Jan '91: Project start
- Fall '92: Demoed OS/2, DOS and Unix on Mach
- Fall '93: Announced that Workplace would not replace AIX
- Jan '95: completely abandoned AIX personality
- Oct '95: GA release of microkernel for PowerPC
- Oct '95: Workplace project cancelled, Personal Power Div closed
- Early '96: shipped last version (2.0) for x86, PowerPC, ARM
- Considered a prime example of *vapourware*
  - much marketing before technology was created

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## IBM Workplace OS Lessons

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- Analysis by Fleisch, Allan [1998]**
- Difficulty to map personality services to shared PNSs
    - required extensive restructuring of existing code
    - difficult to get PNS APIs right
  - Featurism
  - Focussed on microkernel, too late on personalities
  - Too much focus on portability of microkernel?
  - Poor management of huge project
    - eg. wrt shared PNSs
  - Don't mention microkernel performance as an issue

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## Microkernel Performance

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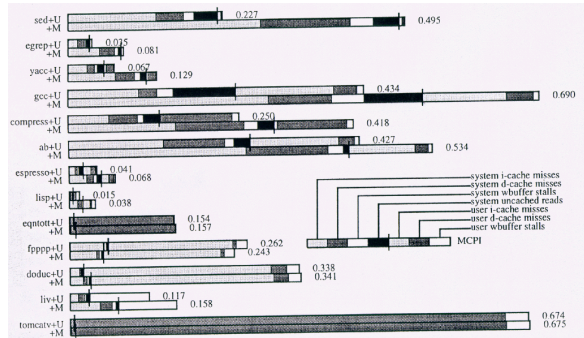
- Performance problems of Mach became generally known @93
- Reasons are investigated by [Chen & Bershad 93]:
  - Instrumented user and system code to collect execution traces
  - Run on DECstation 5000/200 (25MHz R3000)
  - Run under Ultrix and Mach with Unix server
  - Traces fed to memory system simulator
  - Analyse MCPI (memory cycles per instruction)
    - Baseline MCPI (i.e. excluding idle loops)

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## Ultrix vs. Mach-Unix MCPI

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## Interpretation

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- Observations:
  - Mach memory penalty higher
    - i.e. cache misses or write stalls
  - Mach VM system executes more instructions than Ultrix
    - But has more functionality
- Claim:
  - Degraded performance is (intrinsic?) result of OS structure
  - IPC cost is not a major factor [Ber92]
    - IPC cost known to be high in Mach

## Assertions

UNSW

- OS has less instruction & data locality than user code
  - System code has higher cache and TLB miss rates
  - Particularly bad for instructions
- System execution is more dependent on instruction cache behaviour than is user execution
  - MCP1's dominated by system i-cache misses
  - Now: most benchmarks were small, i.e. user code fits in cache
- Competition between user & system code no problem
  - Few conflicts between user and system caching
  - TLB misses are not a relevant factor
  - Note: the hardware used has direct-mapped physical caches
    - Split system/user caches wouldn't help

## Self-Interference

UNSW

- Only examine system cache misses
- Shaded: System cache misses removed by associativity
- MCP1 for system-only, using R3000 direct-mapped cache
- Reductions due to associativity were obtained by running system on a simulator and using a two-way associative cache of the same size

	Instruction	Cache	Data	Access
sed-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
egrep-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
zgrep-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
rsync-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
cmpmem-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
diff-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
catperc-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
lisp-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
egrep-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
pppp-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
ddat-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
ls-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000
l0bc-L(0)	00000000	0000	00000000	0000
+M(0)	00000000	0000	00000000	0000

## Assertions

UNSW

- 4 Self-interference is a problem in system instruction reference streams.
  - High internal conflicts in system code
  - System would benefit from higher cache associativity
- 5 System block memory operations are responsible for a large percentage of memory system reference costs
  - Particularly true for I/O system calls
- 6 Write buffers are less effective for system references.
  - Write buffer allows limited asynchronous writes on cache misses
- 7 Virtual-to-physical mapping strategy can have significant impact on cache performance
  - Unfortunate mapping may increase conflict misses
  - "Random" mappings (Mach) are to be avoided

## Other Experience with Microkernel Performance

UNSW

- System call costs are (inherently?) high
  - Typically hundreds of cycles, 900 for Mach/486
- Context (address-space) switching costs (inherently?) high
  - Getting worse (in terms of cycles) with increasing CPU/memory speed ratios [Ous90]
  - IPC (involving system calls and context switches) is inherently expensive
- Microkernels heavily depend on IPC
- IPC is expensive
  - Is the microkernel idea flawed?
  - Should some code never leave the kernel?
  - Do we have to buy flexibility with performance?

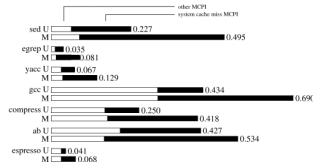
## A Critique of the Critique

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- Data presented earlier:
  - Are specific to one (or a few) system,
  - Results cannot be generalised without thorough analysis
  - No such analysis had been done
- Cannot trust the conclusions [Lie95]

## Re-Analysis of Chen & Bershad's Data

UNSW



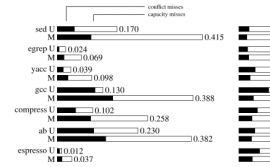
MCPI for Ultrix and Mach

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## Re-Analysis of Chen & Bershad's Data

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MCPI caused by cache misses: conflict (black) vs capacity (white)

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## Conclusion

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- Match system is too big
  - Kernel + UNIX server + emulation library
- UNIX server is essentially same
- Emulation library is irrelevant (according to Chan & Bershad)
- *Inevitable conclusion: Mach kernel working set is too big*

Can we build microkernels which avoid these problems?

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## Requirements for Microkernels

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- Fast (system call costs, IPC costs)
- Small (almost inevitably big → slow)
- Must be well designed
- Must provide a minimal set of operations

Can this be done?

- Example: kernel call cost on i486
  - Mach kernel call: ∼900 cycles
  - Inherent (hardware-dictated cost): 107 cycles
    - ∼800 cycles kernel overhead
  - L4 kernel call: 123–180 cycles (15–73 cycles overhead)
  - Obviously, *Mach's performance is a result of design and implementation*
    - It is **not** the result of the microkernel concept!

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## Microkernel Design Principles [Lie96]

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- **Minimality:**
  - If it doesn't have to be in the kernel, it shouldn't be in the kernel
- **Appropriate abstractions**
  - which can be made fast and allow efficient implementation of services
- **Well written:**
  - It pays to shave a few cycles off TLB refill handler or the IPC path
- **Unportable:**
  - must be targeted to specific hardware
  - no problem if it's small, and higher layers are portable
  - Example: Liedtke reports significant rewrite of memory management when porting from 486 to Pentium
    - Eg size and associativity of cache, TLB
  - Hardware abstraction layer is too costly

We'll revisit those principles later

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## What Must a Microkernel Provide?

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- Virtual memory/address spaces
  - required for protection
- Threads (or equivalent, eg scheduler activations)
  - as execution abstraction
  - for exploiting multiple CPUs
- Fast IPC
  - the most critical operation
- Unique identifiers (for IPC addressing)
  - Actually, not true: can use local names
  - Example: shared memory:
    - "physical" identifiers (physical addresses) only known to kernel
    - Mapped into local name space (virtual addresses)

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## Microkernel Should Not Provide

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- File system
  - User-level server (as in Mach)
- Device drivers
  - user-level driver invoked via interrupt (= IPC)
- Page-fault handler
  - Use user-level pager

## L4 Implementation Techniques [Liedtke '93]

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- Appropriate system calls to minimise number of kernel invocations
  - e.g. reply & receive next
  - As many syscall args as possible in registers
- Efficient IPC
  - Rich message structure
  - Value and reference parameters in message
  - Copy message only once (i.e. not user→kernel→user)
- Fast thread access
  - Thread UIDs (containing thread ID)
  - TCBs in (mapped) VM, cache-friendly layout
  - Separate kernel stack for each thread (fast interrupt handling)
- General optimisations
  - "hottest" kernel code is shortest
  - Kernel IPC code on single page, critical data on single page
  - Many H/W specific optimisations

## Microkernel Performance [95/97]

UNSW

System	CPU	MHz	RPC [ $\mu$ s]	cyc/IPC	semantics
L4	MIPS R4600	100	2	100	full
L4	Alpha 21164	433	0.2	43	full
L4	Pentium	166	1.5	125	full
L4	i486	50	10	250	full
IBM $\mu$ k	PPC 604	60	14	420	full
QNX	i486	33	76	1254	full
Mach	MIPS R2000	16.7	190	1587	full
Mach	i486	50	230	5750	full
Amoeba	MC 68020	15	800	6000	full
Spin	Alpha 21064	133	102	6783	full
Mach	Alpha 21064	133	104	6916	full
Exo-tlrpc	MIPS R2000	116.7	6	350	restricted
Spring	SPARC V8	40	11	220	restricted
DP-Mach	i486	66	16	528	restricted
LRPC	CVAX	12.5	157	981	restricted

## L4Ka::Pistachio IPC Performance

UNSW

Architecture	Optimisation	C/C++		optimised	
		Intra AS	Inter AS	Intra AS	Inter AS
Pentium-3	UKA	180	367	113	305
Itanium 2	NICTA	508	508	36	36
MIPS64	UNSW/NICTA	276	276	109	109
- inter-CPU	UNSW/NICTA	3238	3238	690	690
PowerPC-64	UNSW/NICTA	330	518	~200	~200
Alpha 21264	UNSW/NICTA	440	642	~70	~70
ARM/XScale	UNSW/NICTA	340	340	151	151

## Case in Point: L<sup>4</sup>Linux [Härtig *et al.* 97]

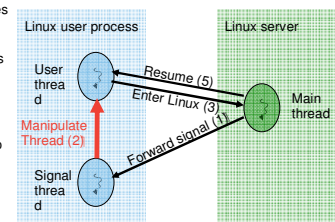
UNSW

- Port of Linux kernel to L4 (like Mach Unix server)
  - Single-threaded (for simplicity, **not** performance)
  - Is pager of all Linux user processes
  - Maps emulation library and signal-handling code into AS
  - Server AS maps physical memory (& Linux runs within)
  - Copying between user and server done on physical memory
    - Use software lookup of page tables for address translation
- Changes to Linux restricted to architecture-dependent part
- Duplication of page tables (L4 and Linux server)
- Binary compatible to native Linux via trampoline mechanism
  - But also modified libc with RPC stubs

## Signal Delivery in L<sup>4</sup>Linux

UNSW

- Separate signal-handler thread in each user process
  - (1) Server IPCs signal-handler thread
  - (2) Handler thread manipulates main user thread to save state
    - Exchange\_Registers
  - (3) User thread IPCs Linux server
  - (4) Server does signal processing
  - (5) Server IPCs user thread to resume



## L4Linux Performance: Microbenchmarks UNSW

getpid():

System	Time [µs]	Cycles
Linux	1.68	223
L4Linux (mod libc)	3.95	526
L4Linux (trampoline)	5.66	753
MkLinux in-kernel	15.66	2050
MkLinux server	110.6	14710

Cycle breakdown:

Client	Cycles	Server
enter emulation lib	20	
send syscall message	168	wait for msg
Hardware cost:		131 Linux kernel
82 cycles (133MHz Pentium)		188 send reply
		19 leave emulation lib

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## L4Linux Performance UNSW

Microbenchmarks: Imbench

Macrobenchmarks: kernel compile

Linux	476 s
L4Linux	506 s (+6.3%)
L4Linux (trampo)	529 s (+10.9%)
MkLinux (kernel)	555 s (+16.6%)
MkLinux (user)	685 s (+42.7%)

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## Conclusions UNSW

- Mach sucks → microkernels suck
- L4 shows that performance might be deliverable
  - L4Linux gets close to monolithic kernel performance
  - Need real multi-server system to evaluate microkernel potential
- Recent work substantially closer to native performance
  - NICTA Wombat, OK Linux
- Microkernel-based systems can perform
- Mach has prejudiced community (see Linus...)
  - Getting microkernels accepted is still uphill battle

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## Present State UNSW

- Microkernels deployed for years where **reliability** matters
  - QNX, Integrity
  - Military, aerospace, automotive
- OKL4 is now being deployed where **performance** matters
  - Mobile wireless devices
    - Qualcomm chipsets
    - Mobile phones
  - Estimated deployment: 150 million devices (August '08)
  - About to enter general consumer-electronics area (set-top boxes)

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## Liedtke's Design Principles: What Stands? UNSW

- **Minimality**: definitely
- **Appropriate abstractions**: yes
  - but no agreement about some of them
  - L4 API still developing
  - NICTA seL4 is most advanced model
    - Integration with commercial OKL4 will set a new standard
- **Well-written**: absolutely
- **Unportable**: *no*
  - Pistachio is proof
  - but highly optimised IPC fast path (assembler)

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## How About His Implementation Techniques? UNSW

- **Appropriate system calls**: *yes*
  - But probably less critical than thought
- **Efficient IPC, rich message structure**: *less so*
  - OKL4 has abandoned structured messages
  - Passing data in registers beneficial on some architectures
  - single-copy definitely wins
  - Note introduction of asynchronous notification and memcopy syscall in OKL4
- **Fast thread access**: *no* (at least as propagated by Liedtke)
  - Thread UIDs maybe nice but are a security issue
    - Covert storage channel through global names
    - Segregates caps are the way to go (see OKL4)
  - virtually-mapped linear (sparse) TCB array: *no*
    - Performance impact negligible [Nourai 05]
    - Wastes address space, requires exception handling in kernel (complexity)
  - per-thread kernel stacks: *no*
    - Performance impact negligible [Warton 05]
    - Wastes physical memory (very significant for embedded use)
    - Creates multiprocessor scalability issues

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