

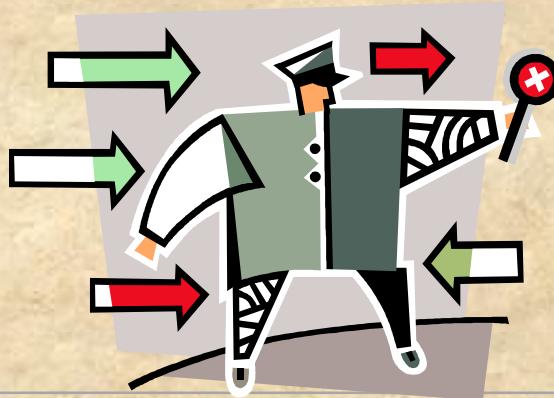
*Operating  
Systems:  
Internals  
and Design  
Principles*

# Chapter 1 Computer System Overview

Eighth Edition  
Global Edition  
By William Stallings

# Operating System

- Exploits the hardware resources of one or more processors
- Provides a set of services to system users
- Manages secondary memory and I/O devices



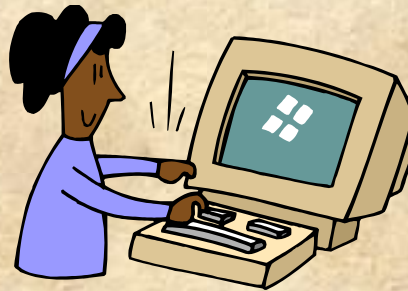
# Basic Elements

**Processor**

**I/O  
Modules**

**Main  
Memory**

**System  
Bus**

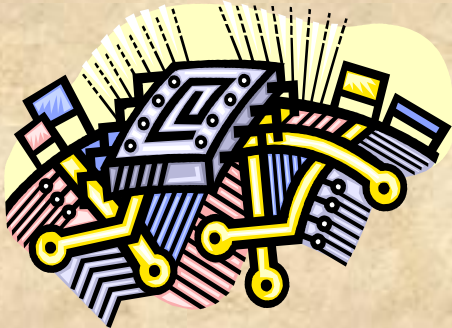




# Processor

Controls the  
operation of the  
computer

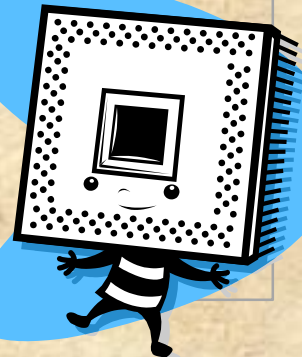
Performs the  
data processing  
functions



Referred to as  
the *Central  
Processing Unit*  
(CPU)

# Main Memory

- Volatile
- Contents of the memory is lost when the computer is shut down
- Referred to as real memory or primary memory



# I/O Modules

Moves data  
between the  
computer and  
external  
environments  
such as:

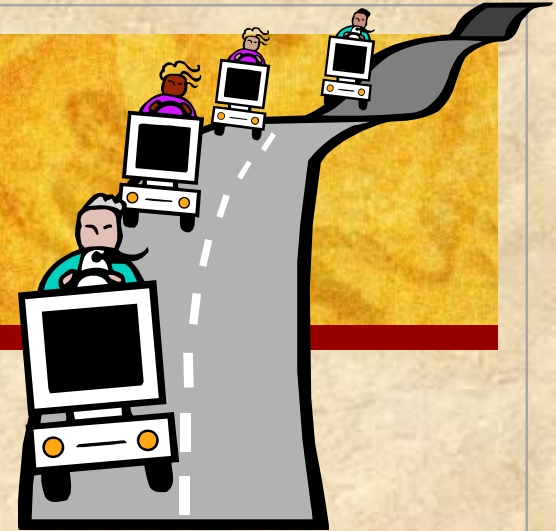
storage (e.g. hard  
drive)

communications  
equipment

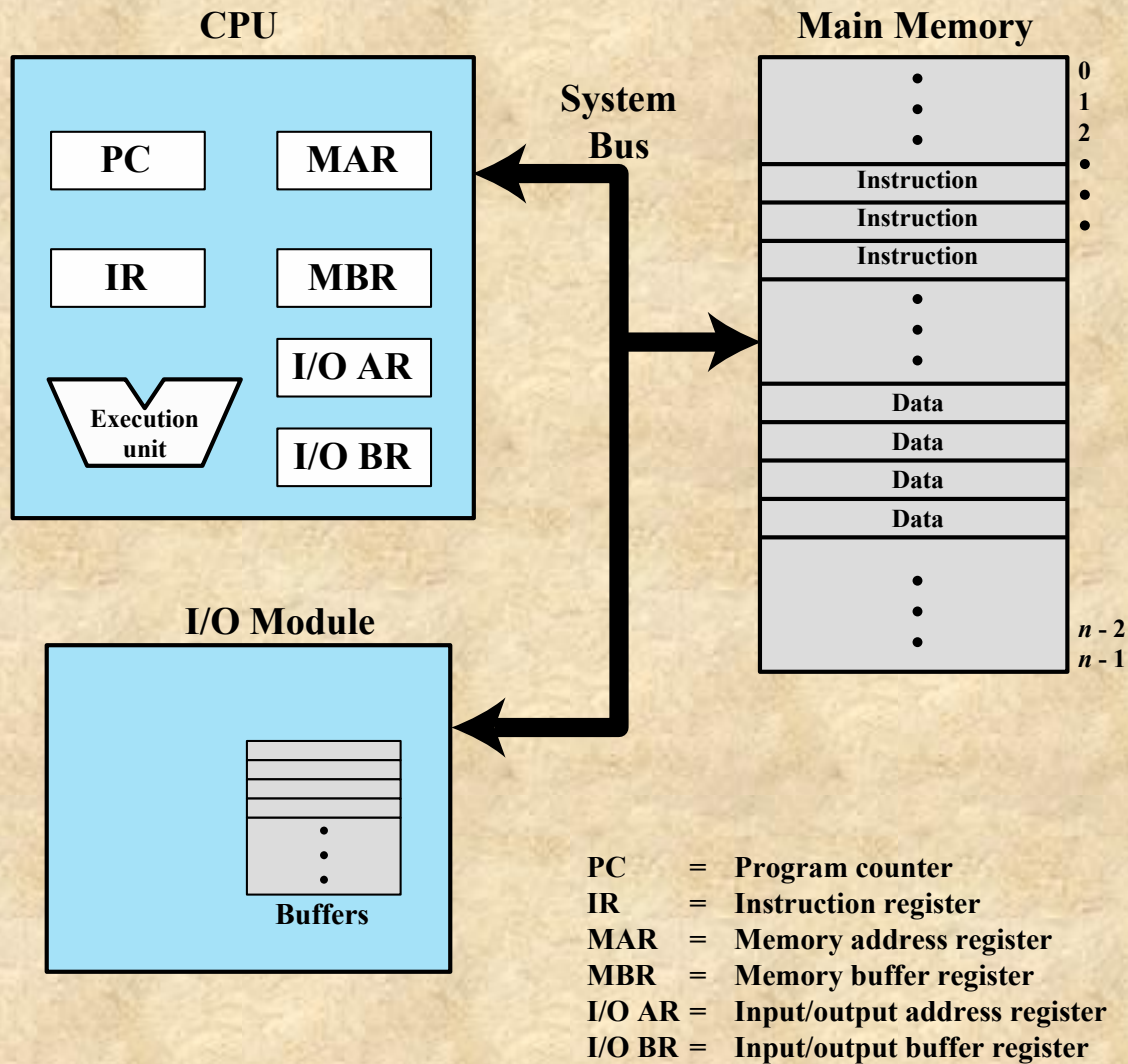
terminals



# System Bus

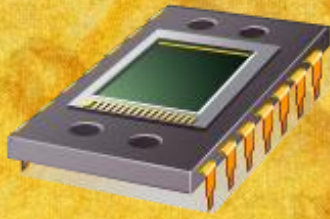


- Provides for communication among processors, main memory, and I/O modules



**Figure 1.1 Computer Components: Top-Level View**





# Microprocessor

- Invention that brought about desktop and handheld computing
- Processor on a single chip
- Fastest general purpose processor
- Multiprocessors
- Each chip (socket) contains multiple processors (cores)

# Graphical Processing Units (GPU's)

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- Provide efficient computation on arrays of data using Single-Instruction Multiple Data (SIMD) techniques
- Used for general numerical processing
- Physics simulations for games
- Computations on large spreadsheets

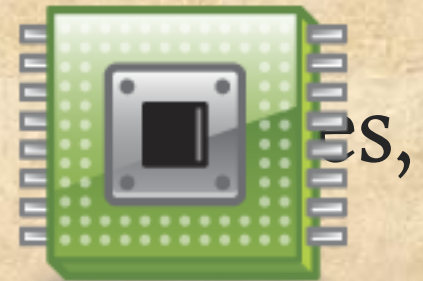
# Digital Signal Processors (DSPs)

- Deal with streaming signals such as audio or video
- Used to be embedded in devices like modems
- Encoding/decoding speech and video (codecs)
- Support for encryption and security



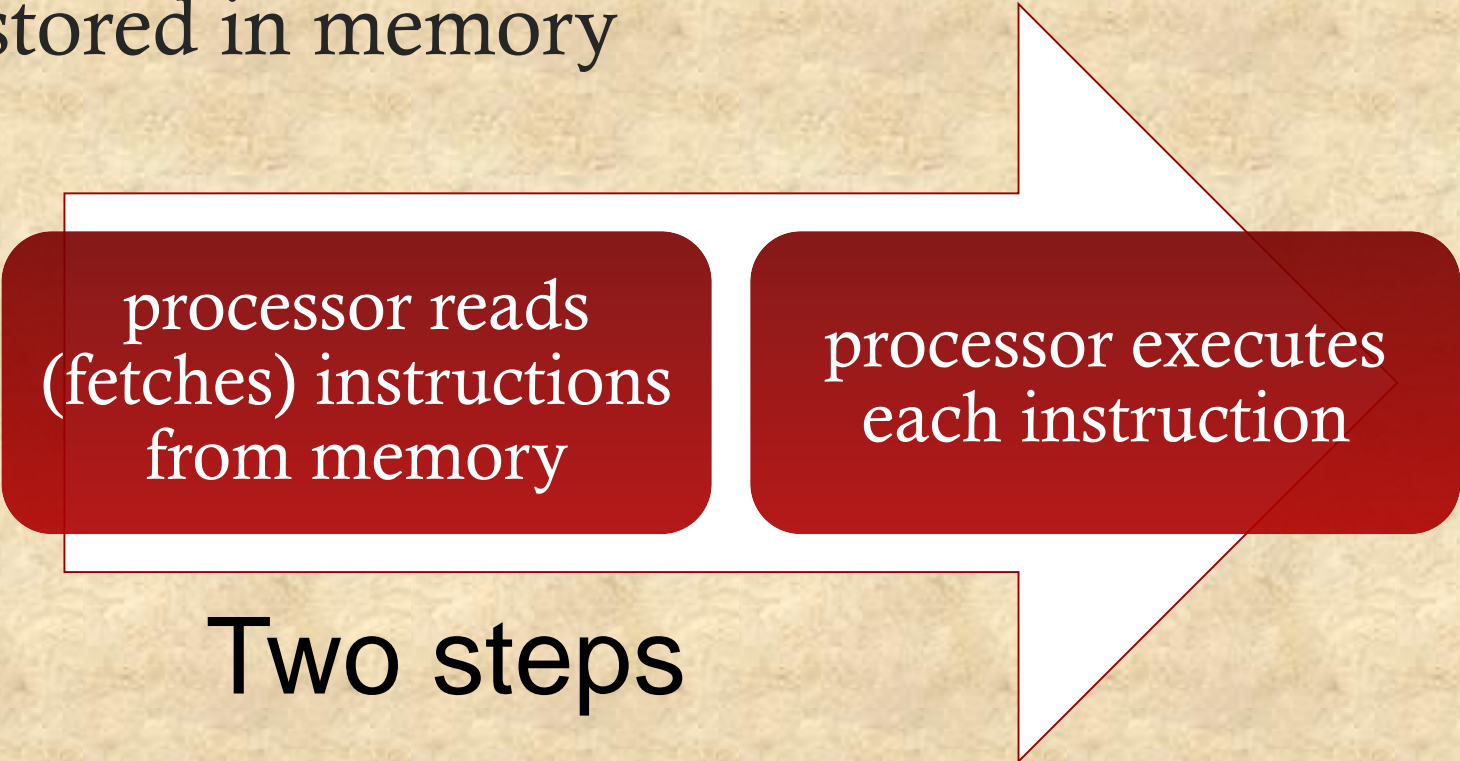
# System on a Chip (SoC)

- To satisfy the requirements of handheld devices, the microprocessor is giving way to the SoC
- Components such as DSPs, GPUs, codecs and main memory, in addition to the CPUs and are on the same chip



# Instruction Execution

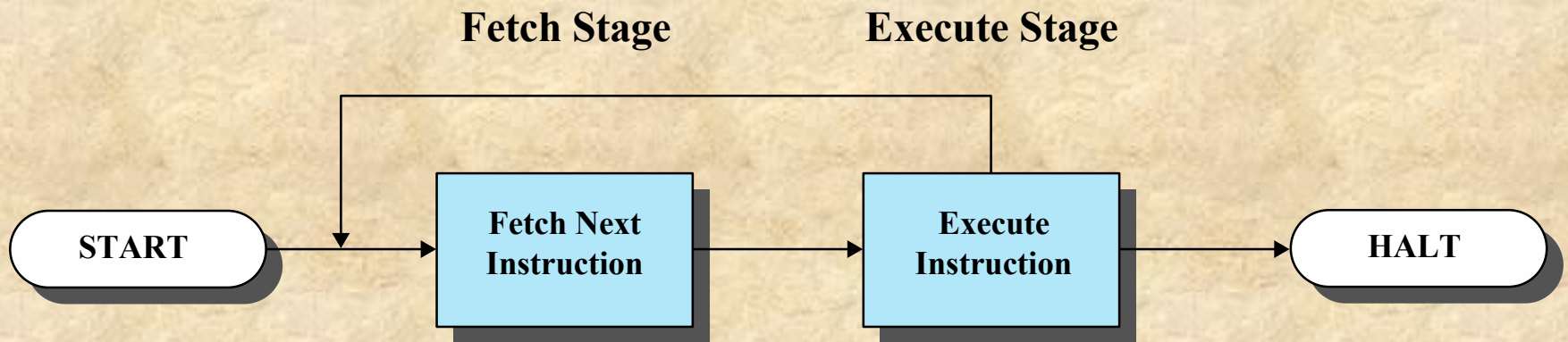
- A program consists of a set of instructions stored in memory



processor reads  
(fetches) instructions  
from memory

processor executes  
each instruction

Two steps

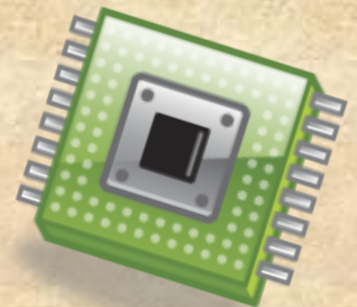


**Figure 1.2 Basic Instruction Cycle**



# Instruction Fetch and Execute

- The processor fetches the instruction from memory
- Program counter (PC) holds address of the instruction to be fetched next
  - PC is incremented after each fetch



# Instruction Register (IR)

Fetches instruction is  
loaded into Instruction  
Register (IR)

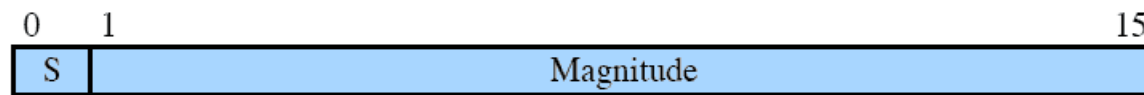
■ Processor interprets the  
instruction and performs  
required action:

- Processor-memory
- Processor-I/O
- Data processing
- Control





(a) Instruction format



(b) Integer format

Program counter (PC) = Address of instruction  
Instruction register (IR) = Instruction being executed  
Accumulator (AC) = Temporary storage

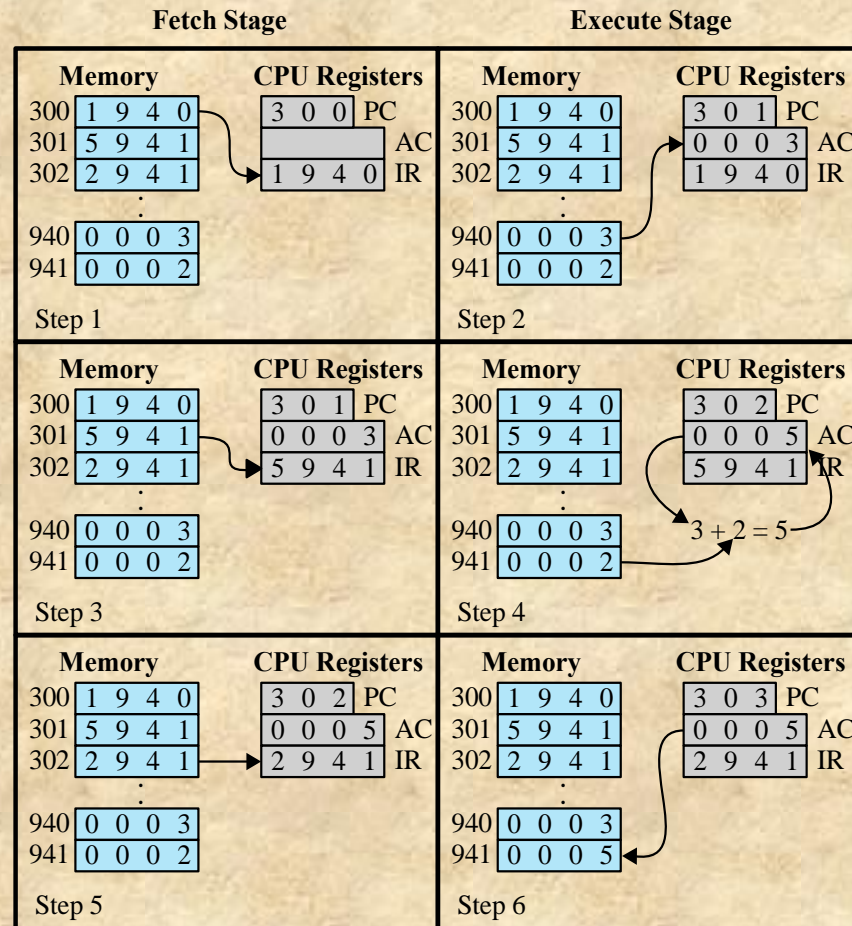
(c) Internal CPU registers

0001 = Load AC from memory  
0010 = Store AC to memory  
0101 = Add to AC from memory

(d) Partial list of opcodes

**Figure 1.3 Characteristics of a Hypothetical Machine**





**Figure 1.4 Example of Program Execution  
(contents of memory and registers in hexadecimal)**

# Interrupts

- Interrupt the normal sequencing of the processor
- Provided to improve processor utilization
  - most I/O devices are slower than the processor
  - processor must pause to wait for device
  - wasteful use of the processor



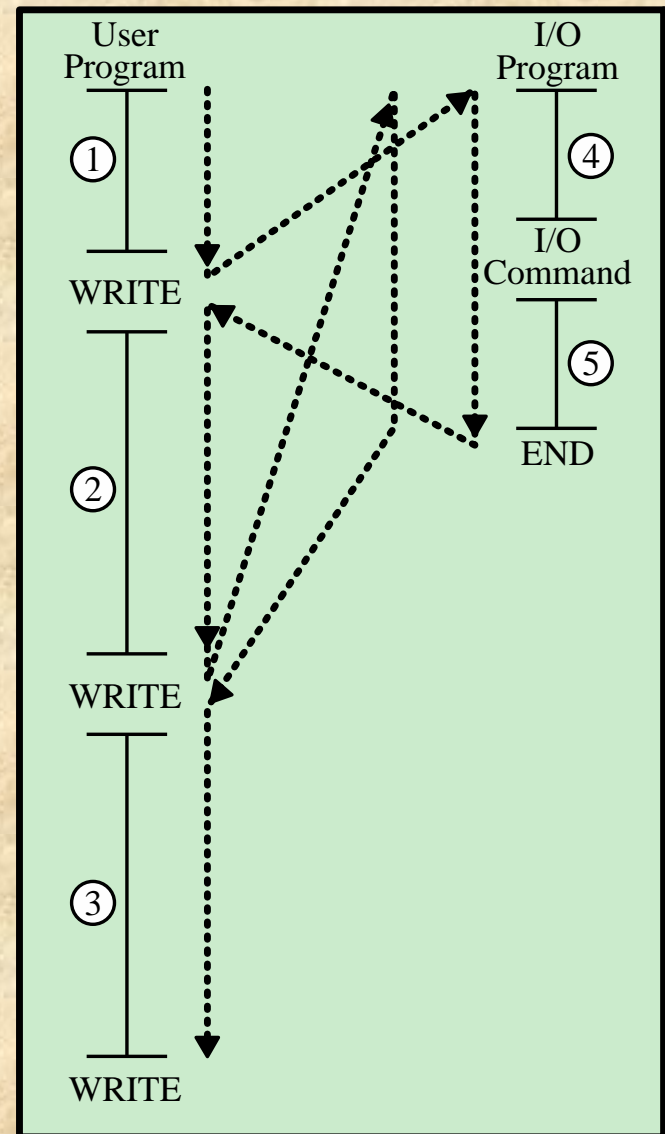
## Table 1.1      Classes of Interrupts

<b>Program</b>	Generated by some condition that occurs as a result of an instruction execution, such as arithmetic overflow, division by zero, attempt to execute an illegal machine instruction, and reference outside a user's allowed memory space.
<b>Timer</b>	Generated by a timer within the processor. This allows the operating system to perform certain functions on a regular basis.
<b>I/O</b>	Generated by an I/O controller, to signal normal completion of an operation or to signal a variety of error conditions.
<b>Hardware failure</b>	Generated by a failure, such as power failure or memory parity error.



Figure 1.5a

# Flow of Control Without Interrupts



(a) No interrupts

Figure 1.5b

## Short I/O Wait

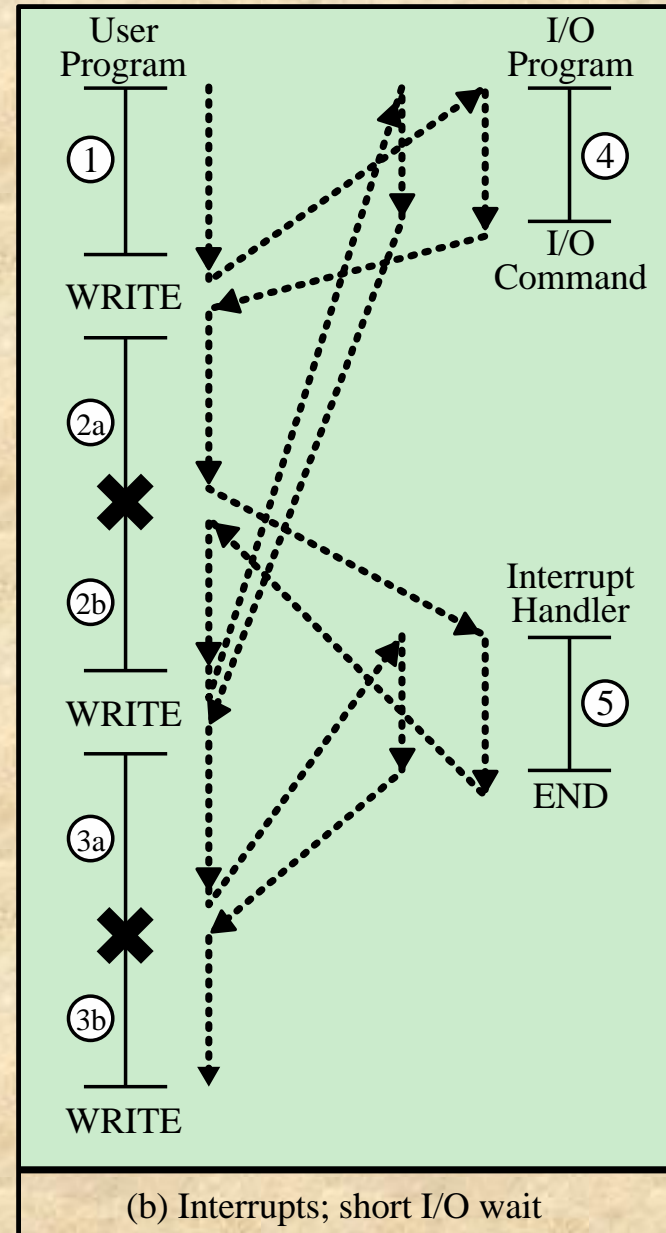
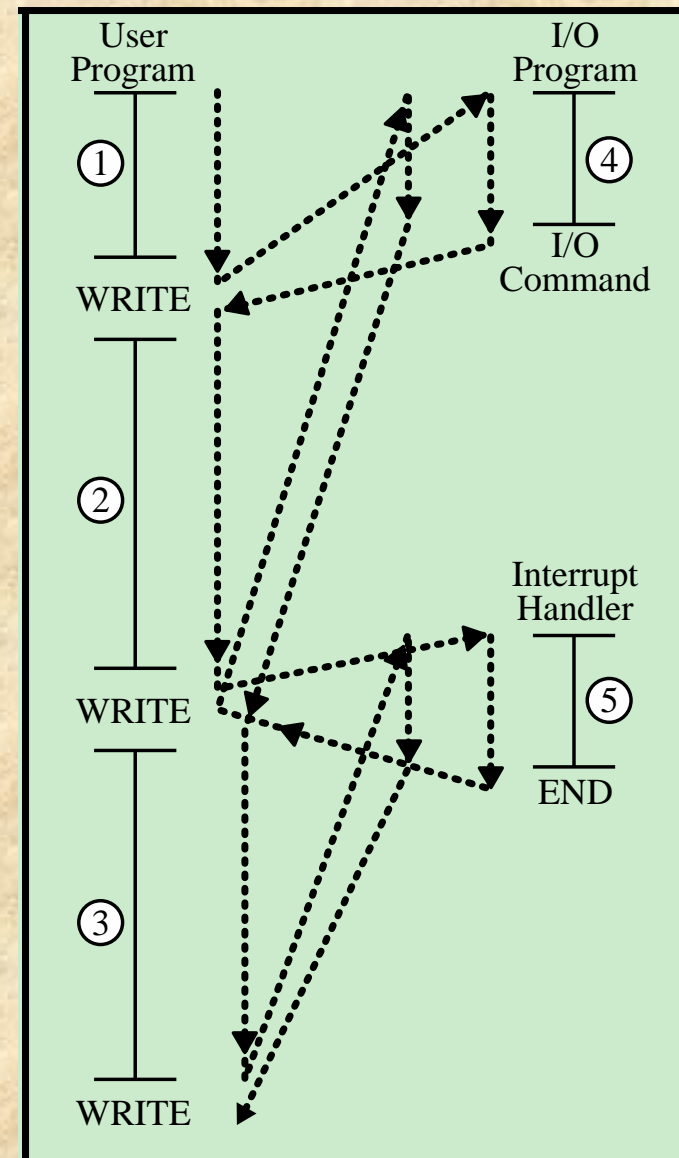


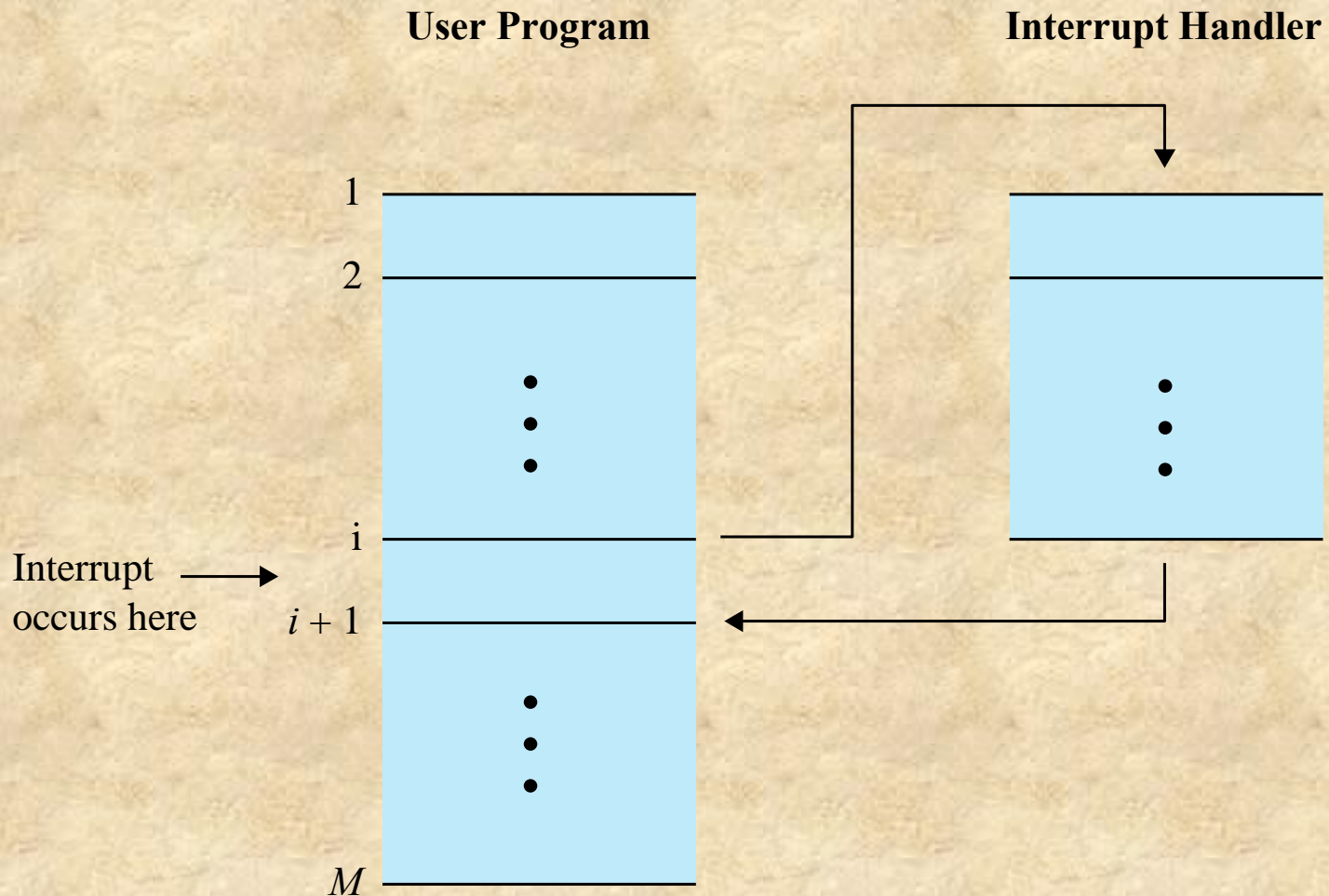
Figure 1.5c

Long I/O Wait



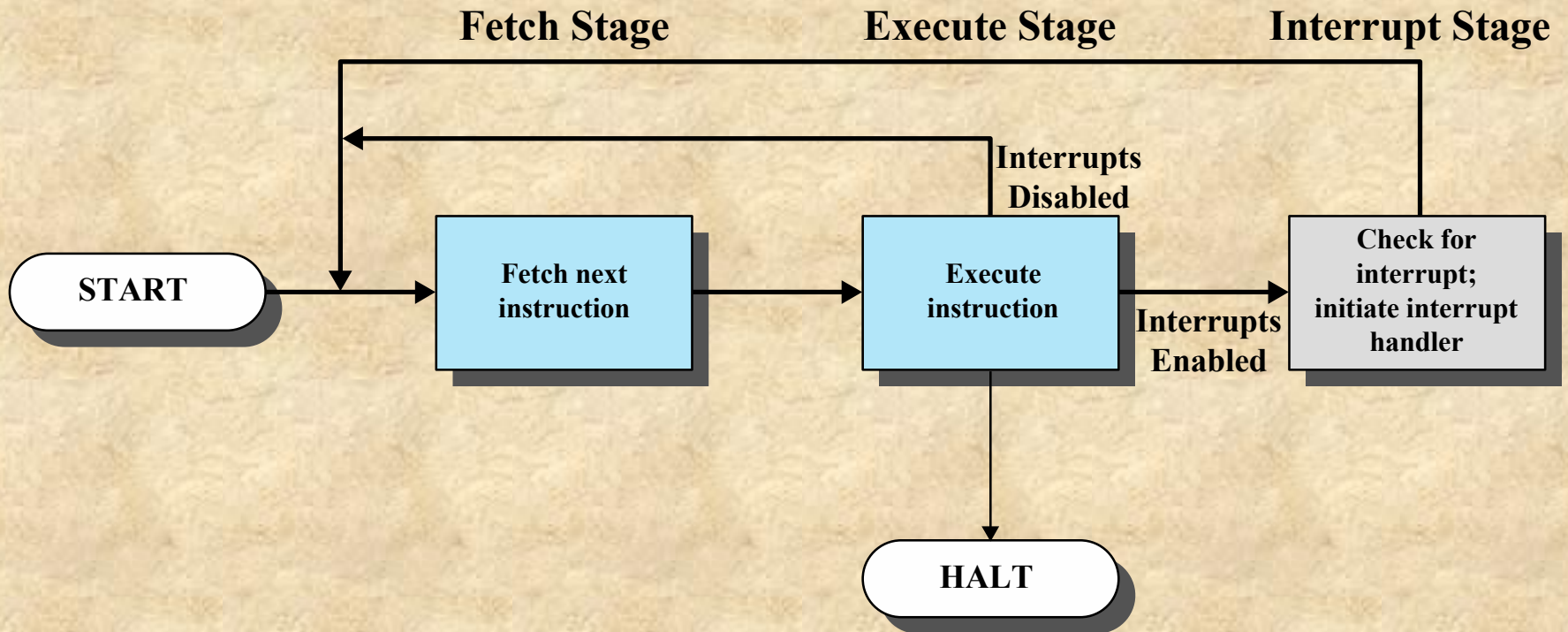
(c) Interrupts; long I/O wait



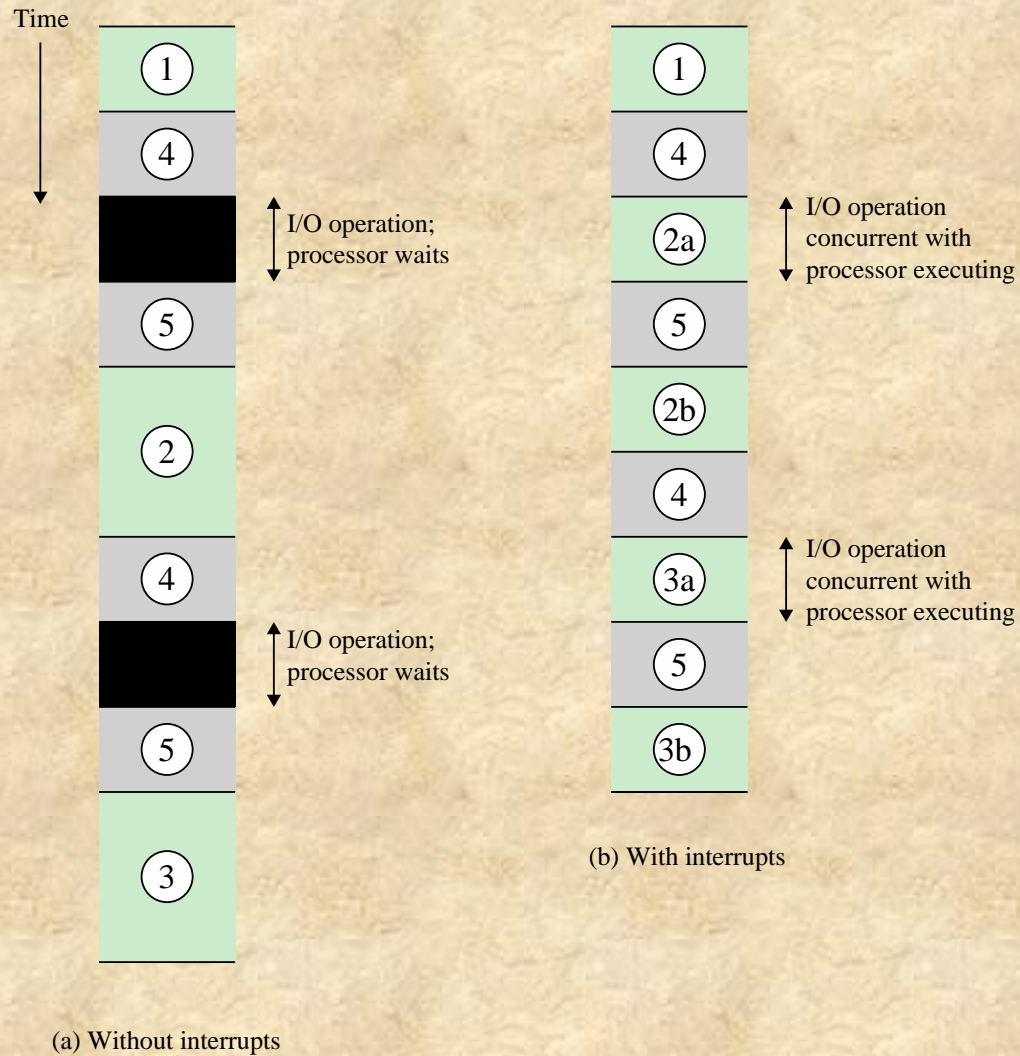


**Figure 1.6 Transfer of Control via Interrupts**



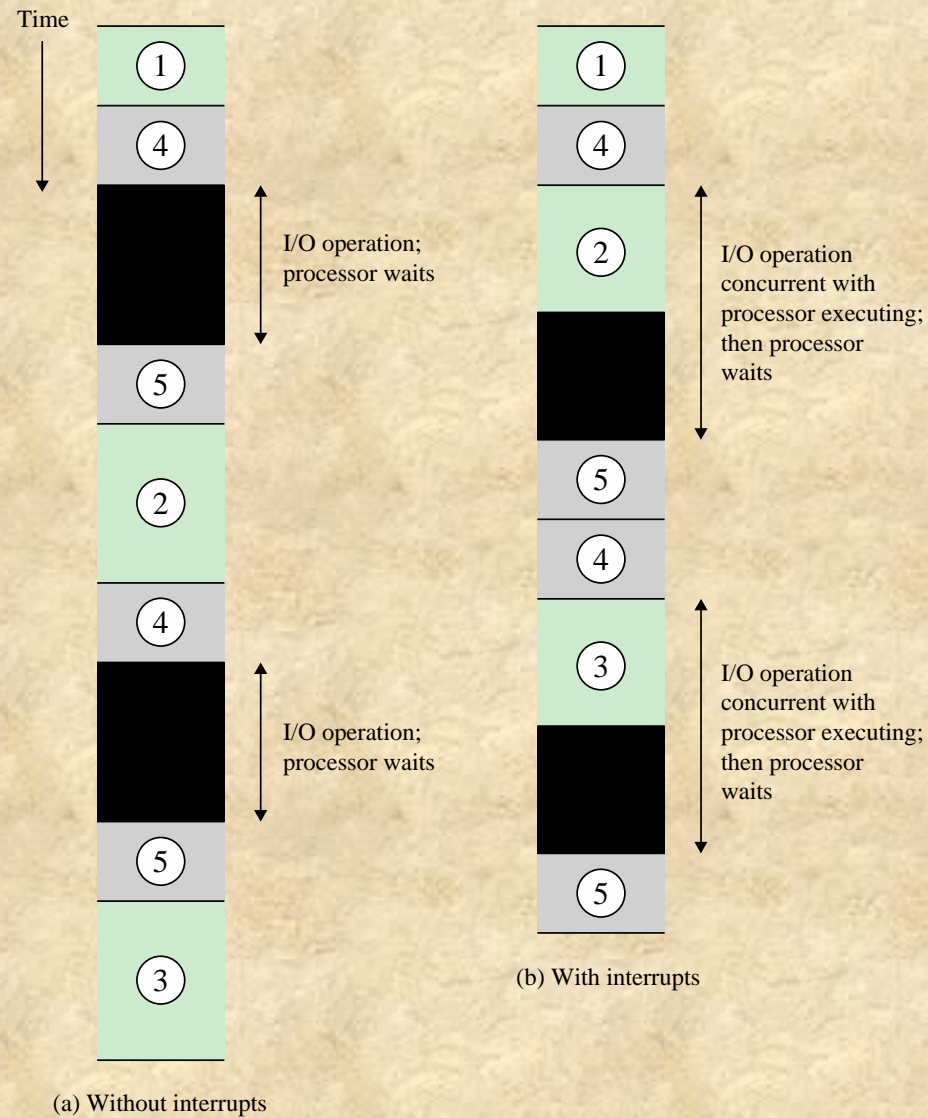


**Figure 1.7 Instruction Cycle with Interrupts**

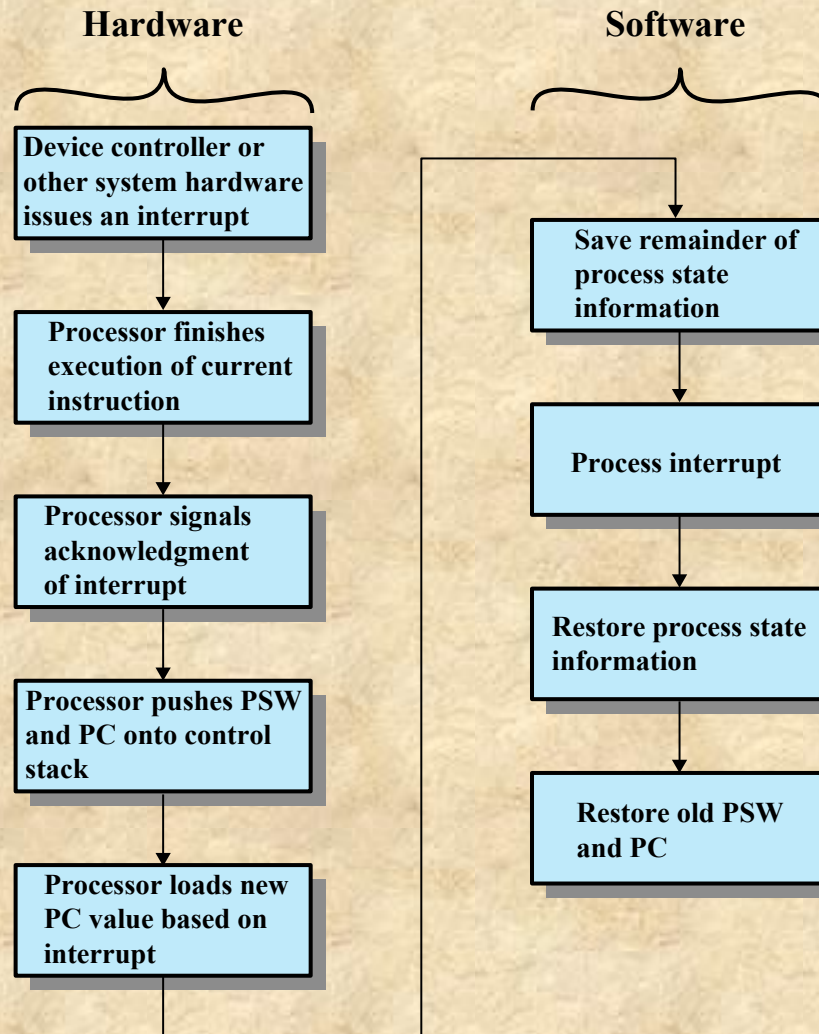


**Figure 1.8 Program Timing: Short I/O Wait**

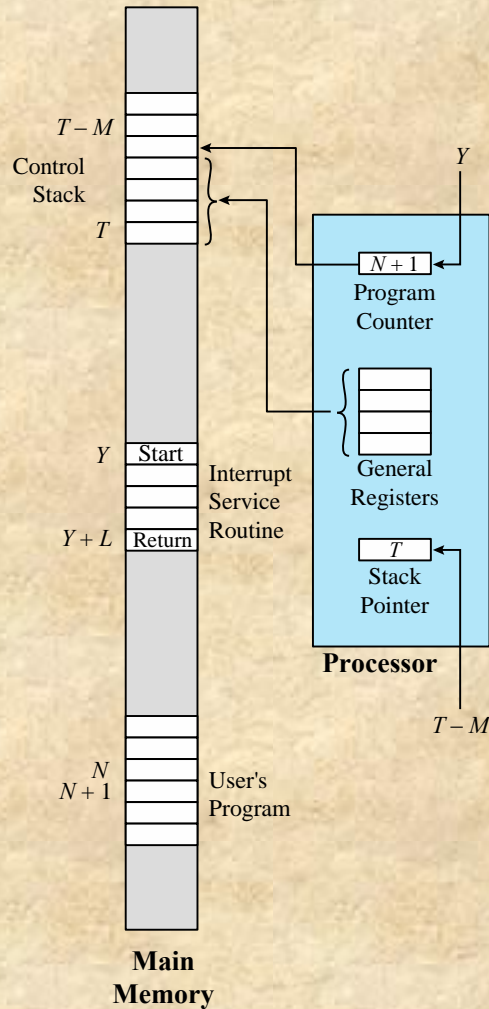




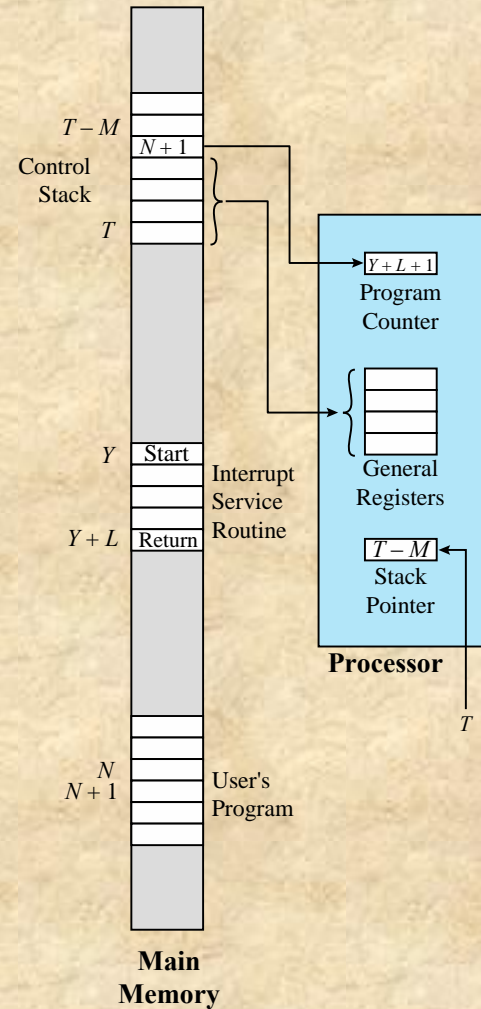
**Figure 1.9 Program Timing: Long I/O Wait**



**Figure 1.10 Simple Interrupt Processing**



(a) Interrupt occurs after instruction at location  $N$



(b) Return from interrupt

Figure 1.11 Changes in Memory and Registers for an Interrupt



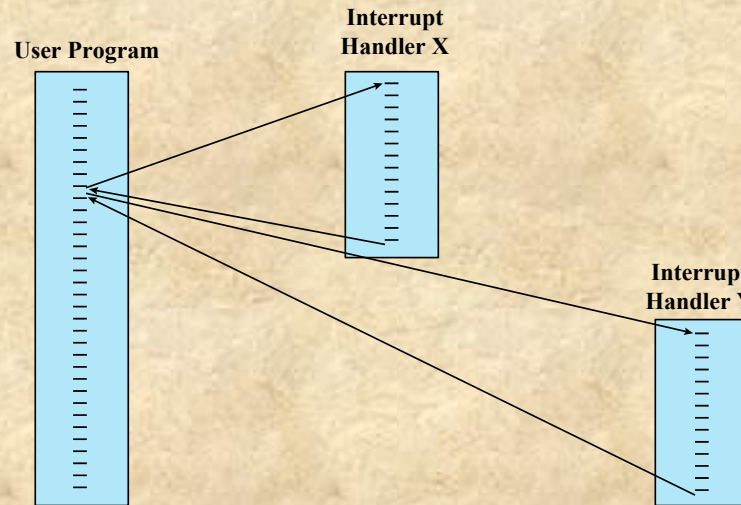
# Multiple Interrupts

An interrupt occurs while another interrupt is being processed

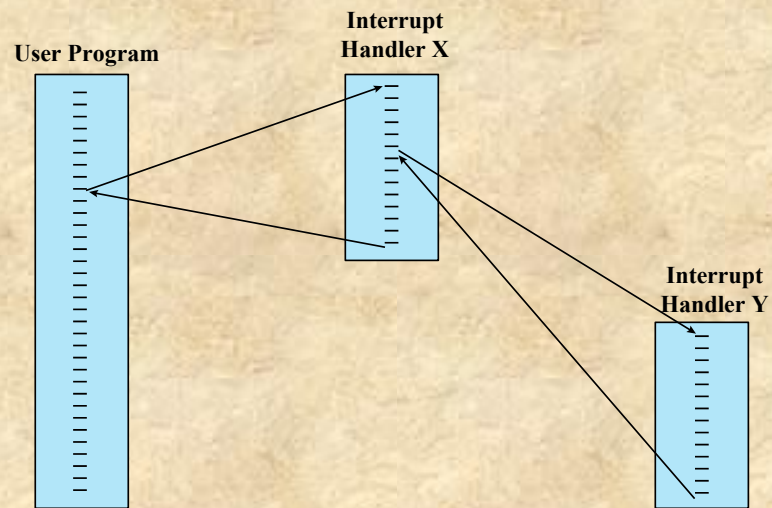
- e.g. receiving data from a communications line and printing results at the same time

Two approaches:

- disable interrupts while an interrupt is being processed
- use a priority scheme

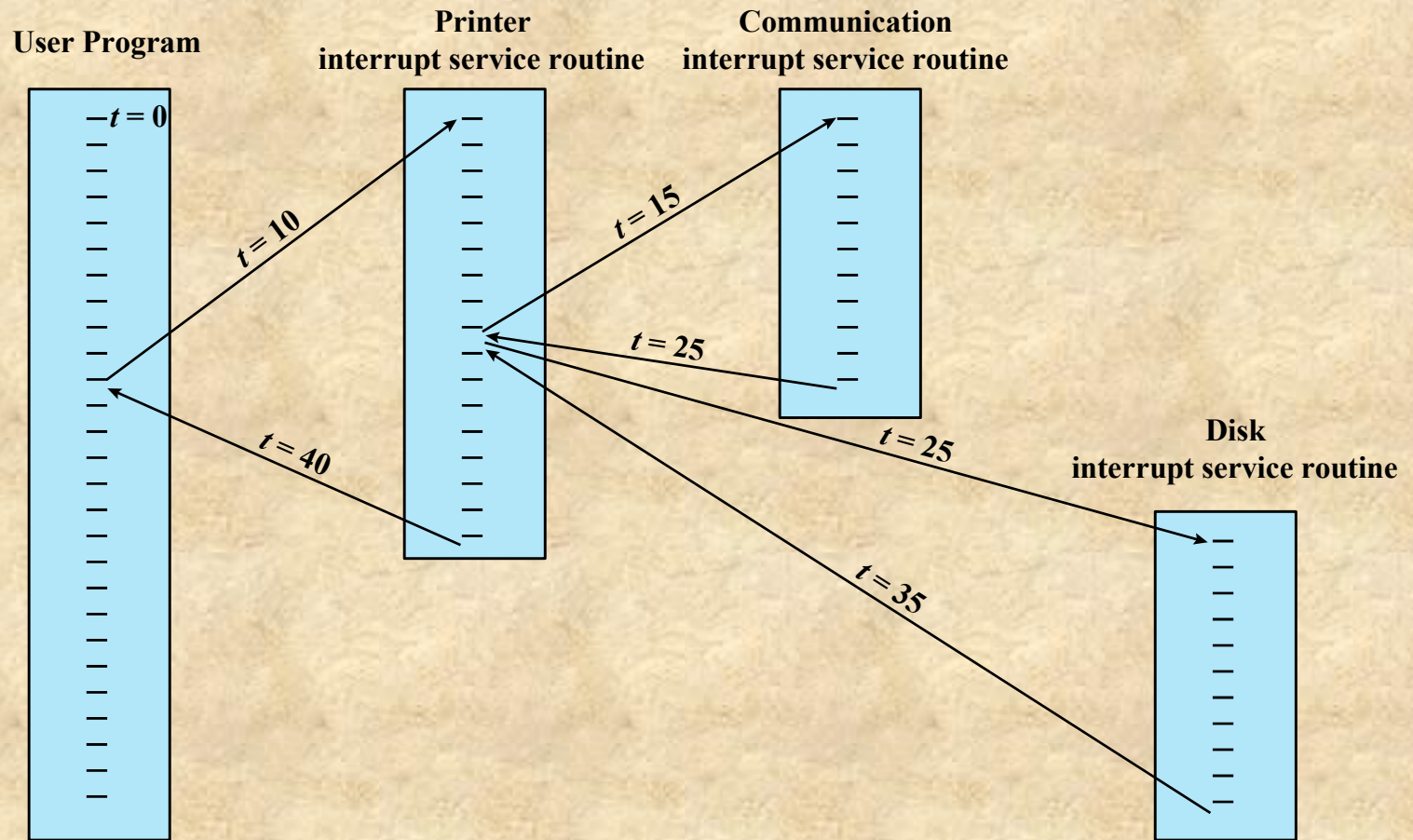


(a) Sequential interrupt processing



(b) Nested interrupt processing

**Figure 1.12 Transfer of Control with Multiple Interrupts**

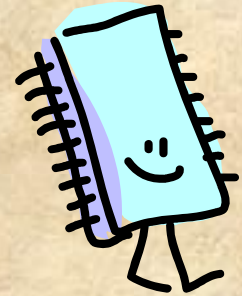


**Figure 1.13 Example Time Sequence of Multiple Interrupts**



# Memory Hierarchy

- Major constraints in memory
  - amount
  - speed
  - expense
- Memory must be able to keep up with the processor
- Cost of memory must be reasonable in relationship to the other components

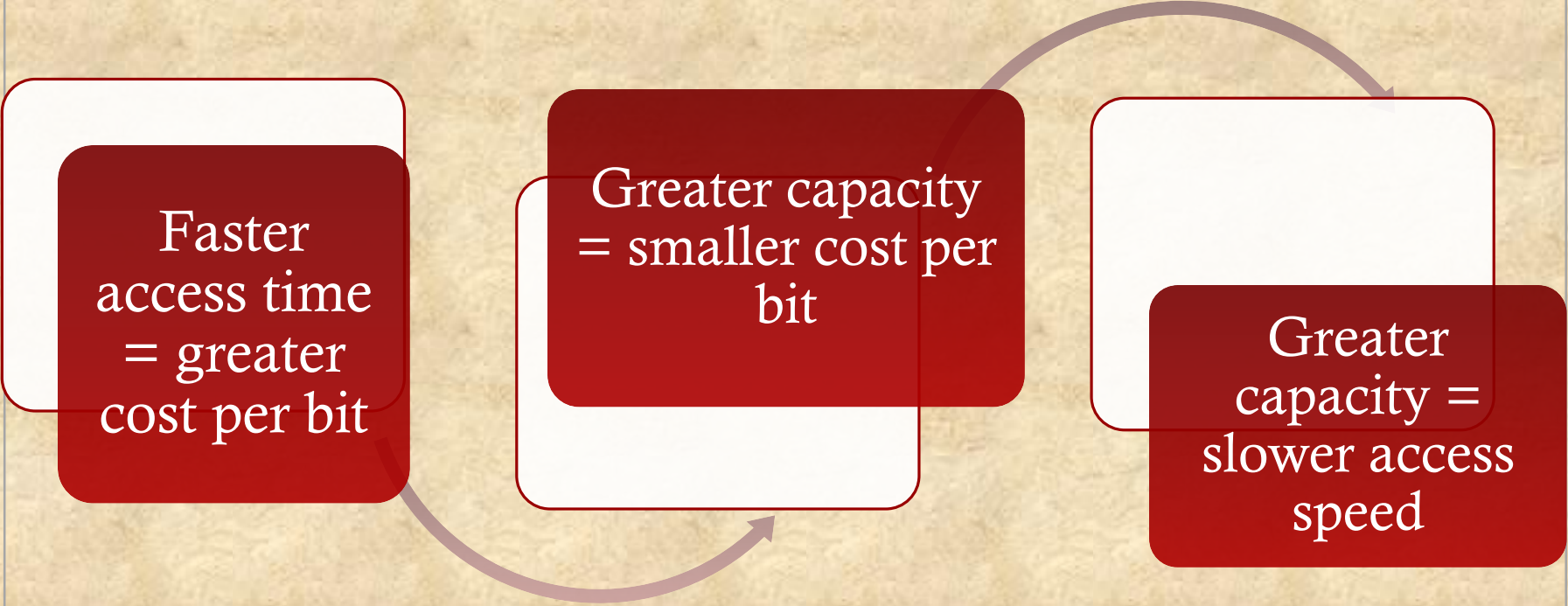


# Memory Relationships

Faster  
access time  
= greater  
cost per bit

Greater capacity  
= smaller cost per  
bit

Greater  
capacity =  
slower access  
speed



# The Memory Hierarchy

- Going down the hierarchy:
  - decreasing cost per bit
  - increasing capacity
  - increasing access time
  - decreasing frequency of access to the memory by the processor

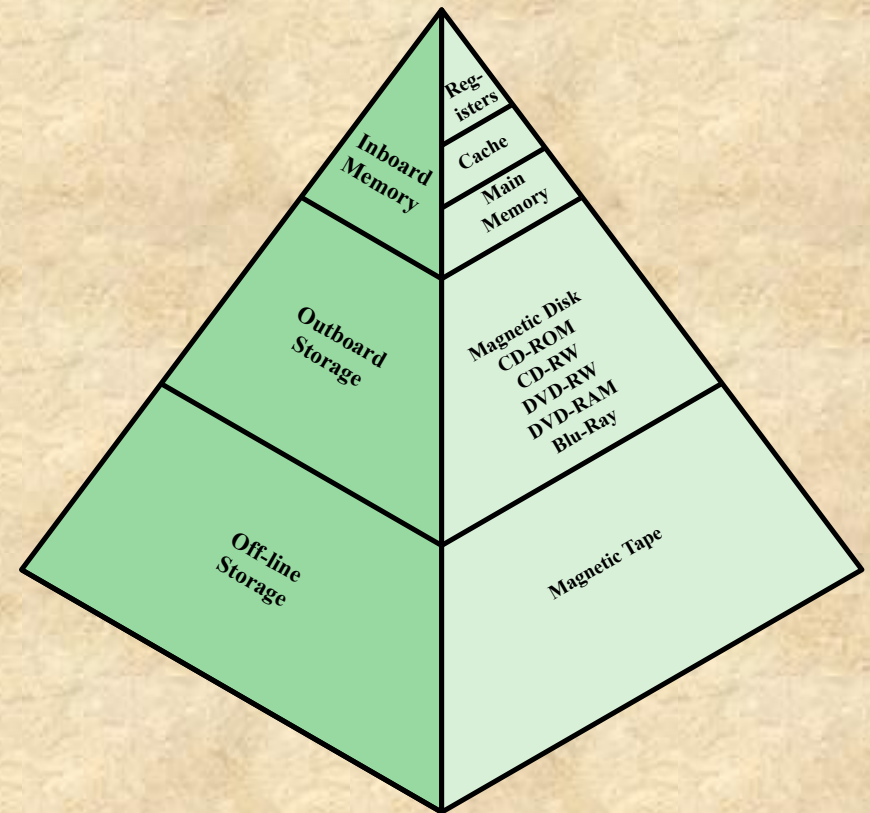
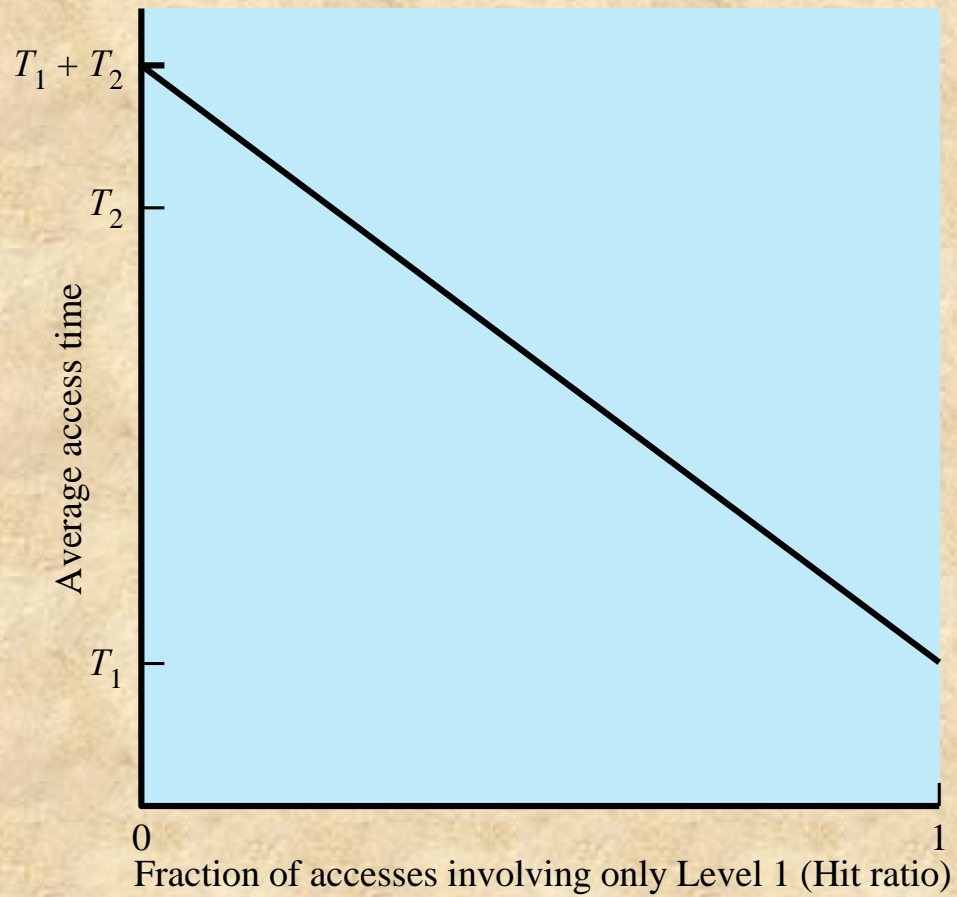


Figure 1.14 The Memory Hierarchy





**Figure 1.15 Performance of a Simple Two-Level Memory**



# Principle of Locality

- Memory references by the processor tend to cluster
- Data is organized so that the percentage of accesses to each successively lower level is substantially less than that of the level above
- Can be applied across more than two levels of memory

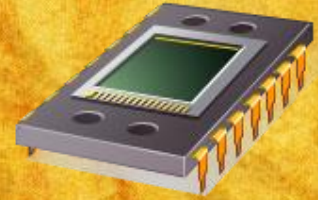
# Secondary Memory



**Also referred to  
as auxiliary  
memory**

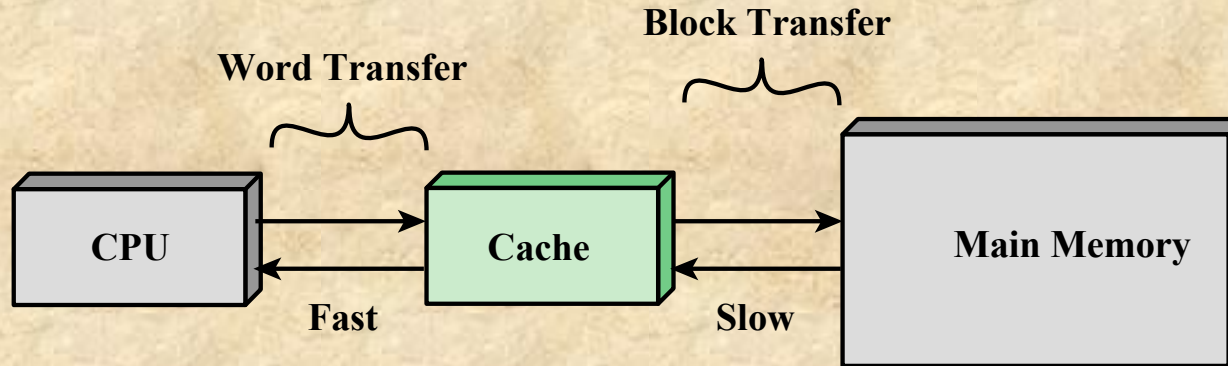
- external
- nonvolatile
- used to store  
program and data  
files

# Cache Memory

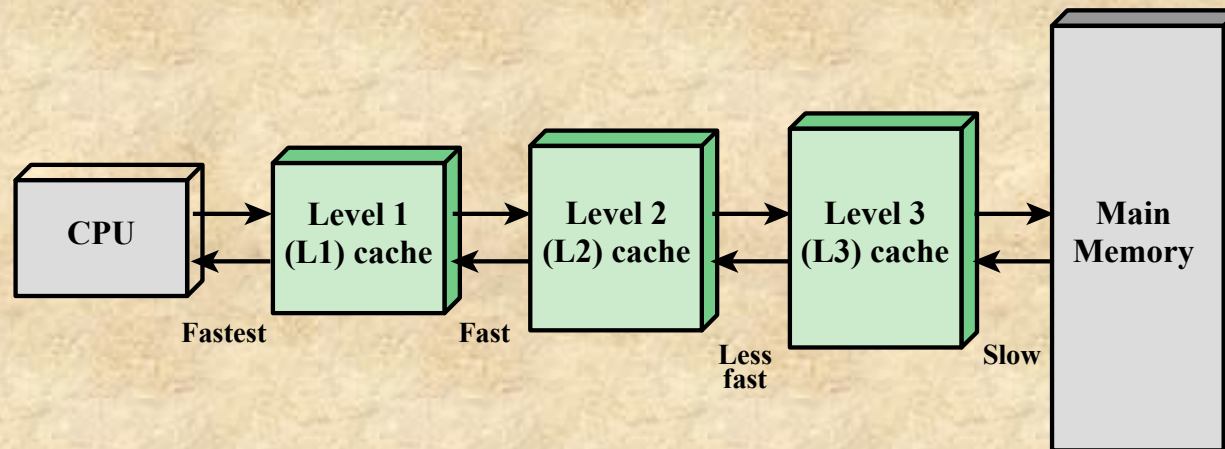


- Invisible to the OS
- Interacts with other memory management hardware
- Processor must access memory at least once per instruction cycle
- Processor execution is limited by memory cycle time
- Exploit the principle of locality with a small, fast memory





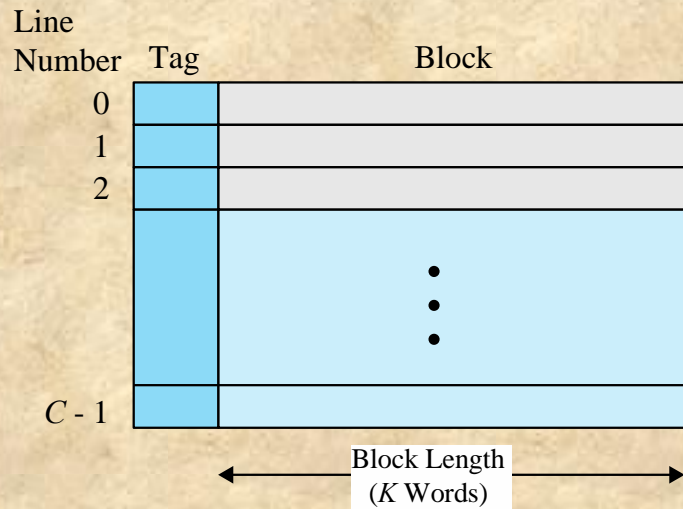
(a) Single cache



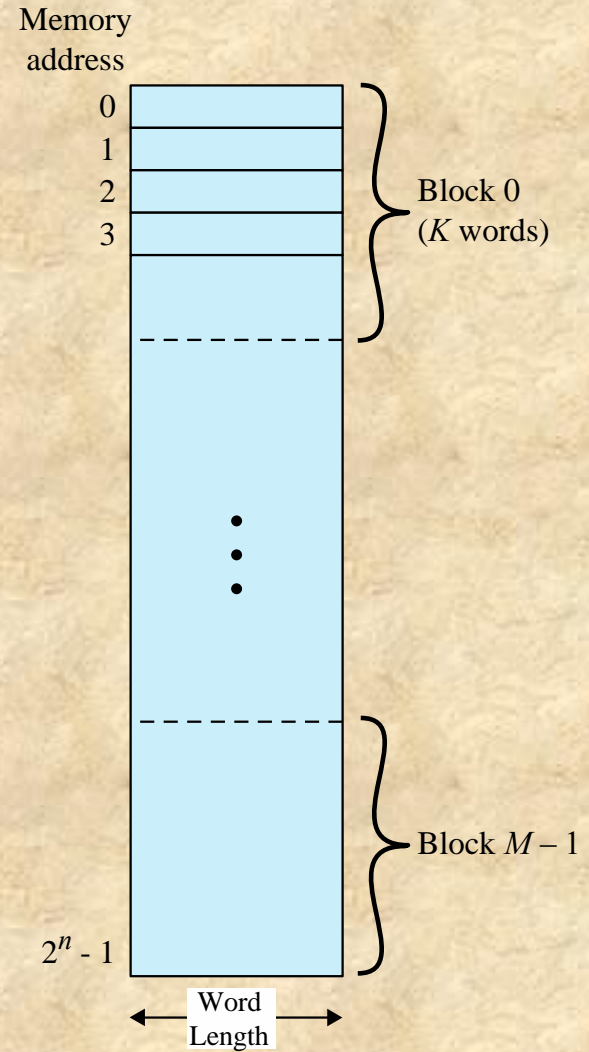
(b) Three-level cache organization

**Figure 1.16 Cache and Main Memory**



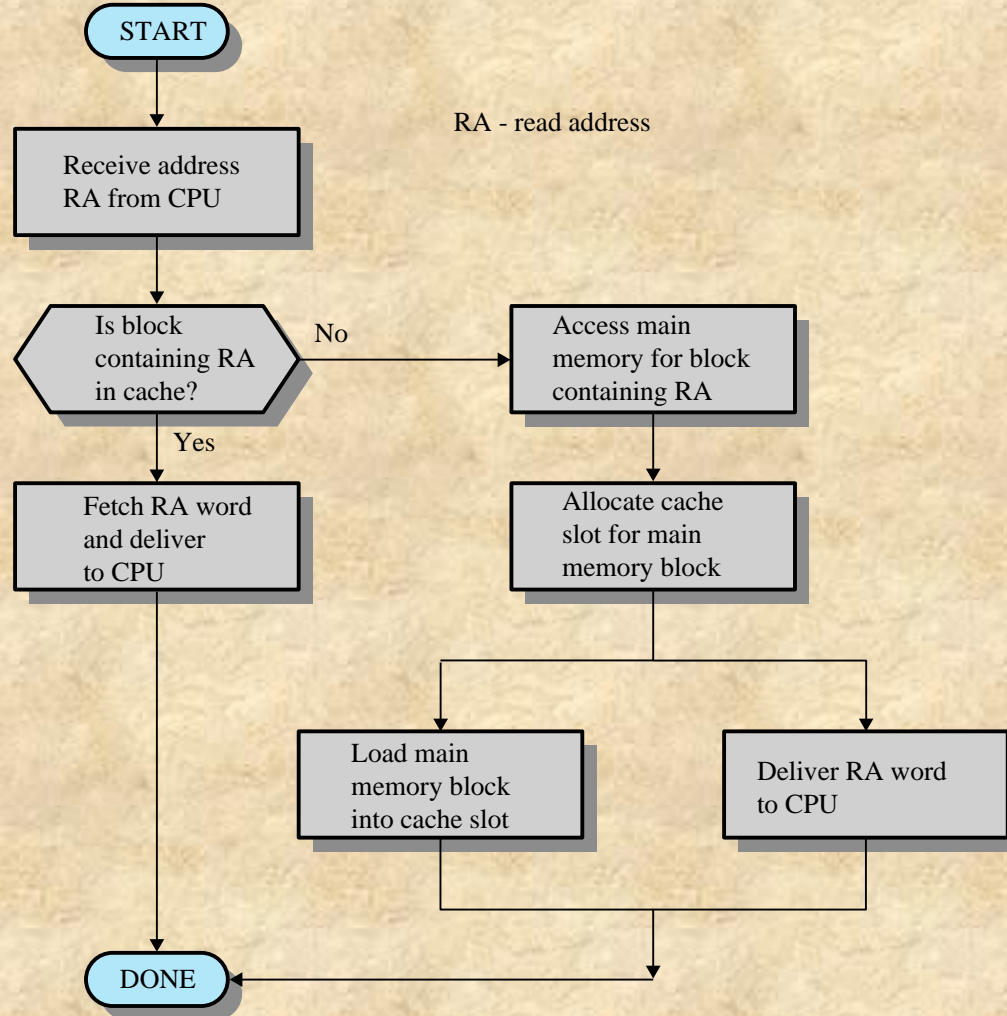


(a) Cache



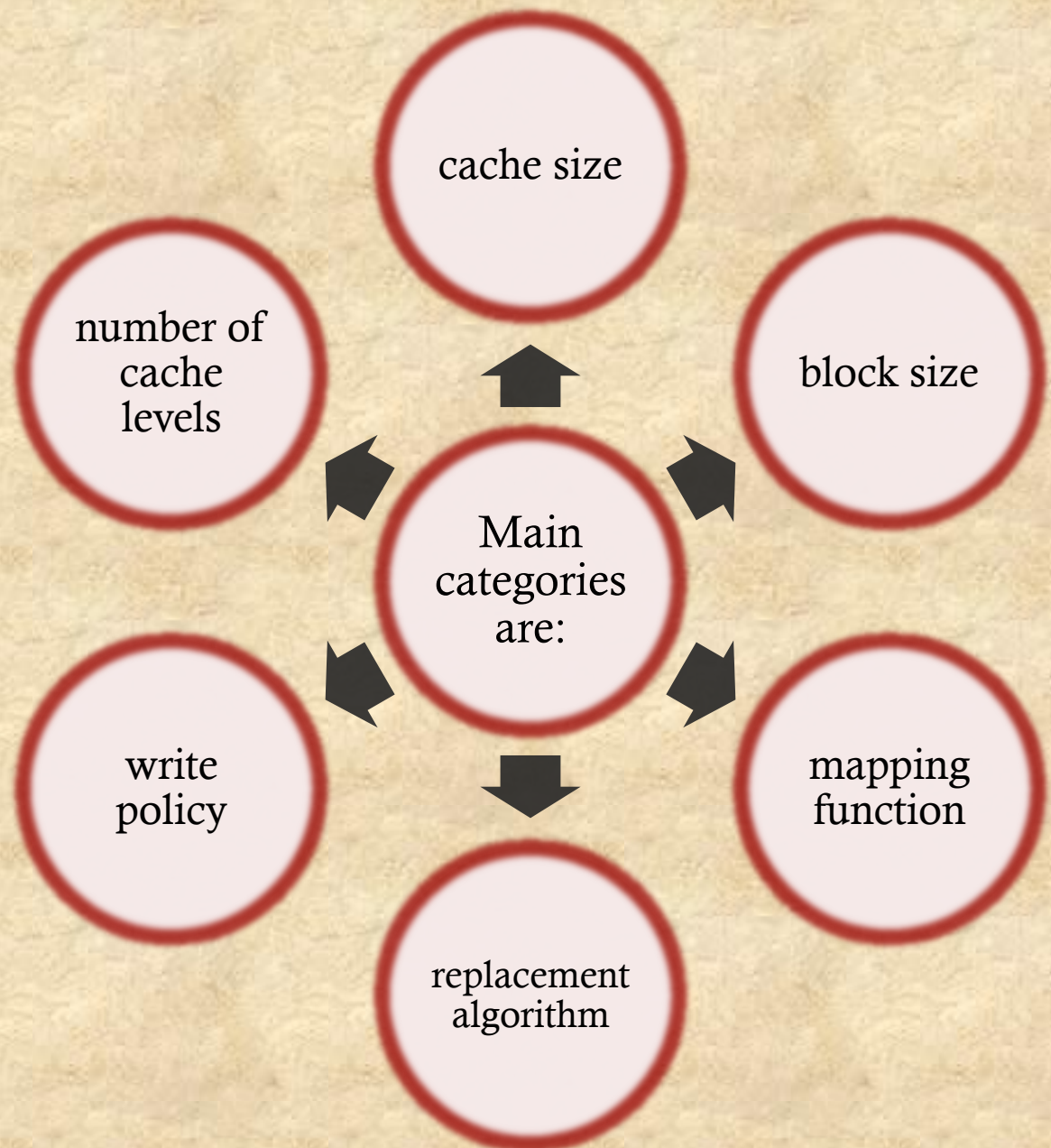
(b) Main memory

**Figure 1.17 Cache/Main-Memory Structure**



**Figure 1.18 Cache Read Operation**

# Cache Design





# Cache and Block Size

## Cache Size

small caches have significant impact on performance

## Block Size

the unit of data exchanged between cache and main memory



# Mapping Function

\* Determines which cache location the block will occupy

Two constraints affect design:

when one block is read in, another may have to be replaced

the more flexible the mapping function, the more complex is the circuitry required to search the cache

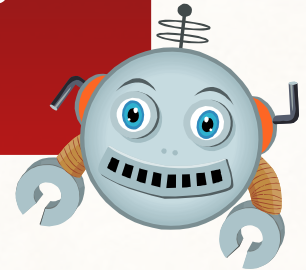
# Replacement Algorithm

- Least Recently Used (LRU) Algorithm
  - effective strategy is to replace a block that has been in the cache the longest with no references to it
  - hardware mechanisms are needed to identify the least recently used block
    - chooses which block to replace when a new block is to be loaded into the cache

# Write Policy

Dictates when the memory write operation takes place

- can occur every time the block is updated
- can occur when the block is replaced
  - minimizes write operations
  - leaves main memory in an obsolete state





# I/O Techniques

\*When the processor encounters an instruction relating to I/O, it executes that instruction by issuing a command to the appropriate I/O module

Three techniques are possible for I/O operations:

Programmed  
I/O

Interrupt-  
Driven I/O

Direct Memory  
Access (DMA)



# Programmed I/O

- The I/O module performs the requested action then sets the appropriate bits in the I/O status register
- The processor periodically checks the status of the I/O module until it determines the instruction is complete
- With programmed I/O the performance level of the entire system is severely degraded

# Interrupt-Driven I/O

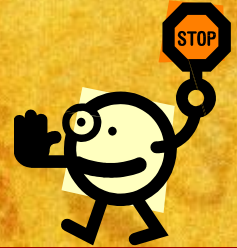
Processor issues an I/O command to a module and then goes on to do some other useful work

The processor executes the data transfer and then resumes its former processing

The I/O module will then interrupt the processor to request service when it is ready to exchange data with the processor

More efficient than Programmed I/O but still requires active intervention of the processor to transfer data between memory and an I/O module

# Interrupt-Driven I/O Drawbacks



- Transfer rate is limited by the speed with which the processor can test and service a device
- The processor is tied up in managing an I/O transfer
  - a number of instructions must be executed for each I/O transfer



# Direct Memory Access (DMA)

\* Performed by a separate module on the system bus or incorporated into an I/O module

When the processor wishes to read or write data it issues a command to the DMA module containing:

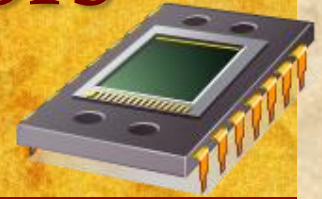
- whether a read or write is requested
- the address of the I/O device involved
- the starting location in memory to read/write
- the number of words to be read/written



# Direct Memory Access

- Transfers the entire block of data directly to and from memory without going through the processor
  - processor is involved only at the beginning and end of the transfer
  - processor executes more slowly during a transfer when processor access to the bus is required
- More efficient than interrupt-driven or programmed I/O

# Symmetric Multiprocessors (SMP)



- A stand-alone computer system with the following characteristics:
  - two or more similar processors of comparable capability
  - processors share the same main memory and are interconnected by a bus or other internal connection scheme
  - processors share access to I/O devices
  - all processors can perform the same functions
  - the system is controlled by an integrated operating system that provides interaction between processors and their programs at the job, task, file, and data element levels



# SMP Advantages

## Performance

- a system with multiple processors will yield greater performance if work can be done in parallel

## Scaling

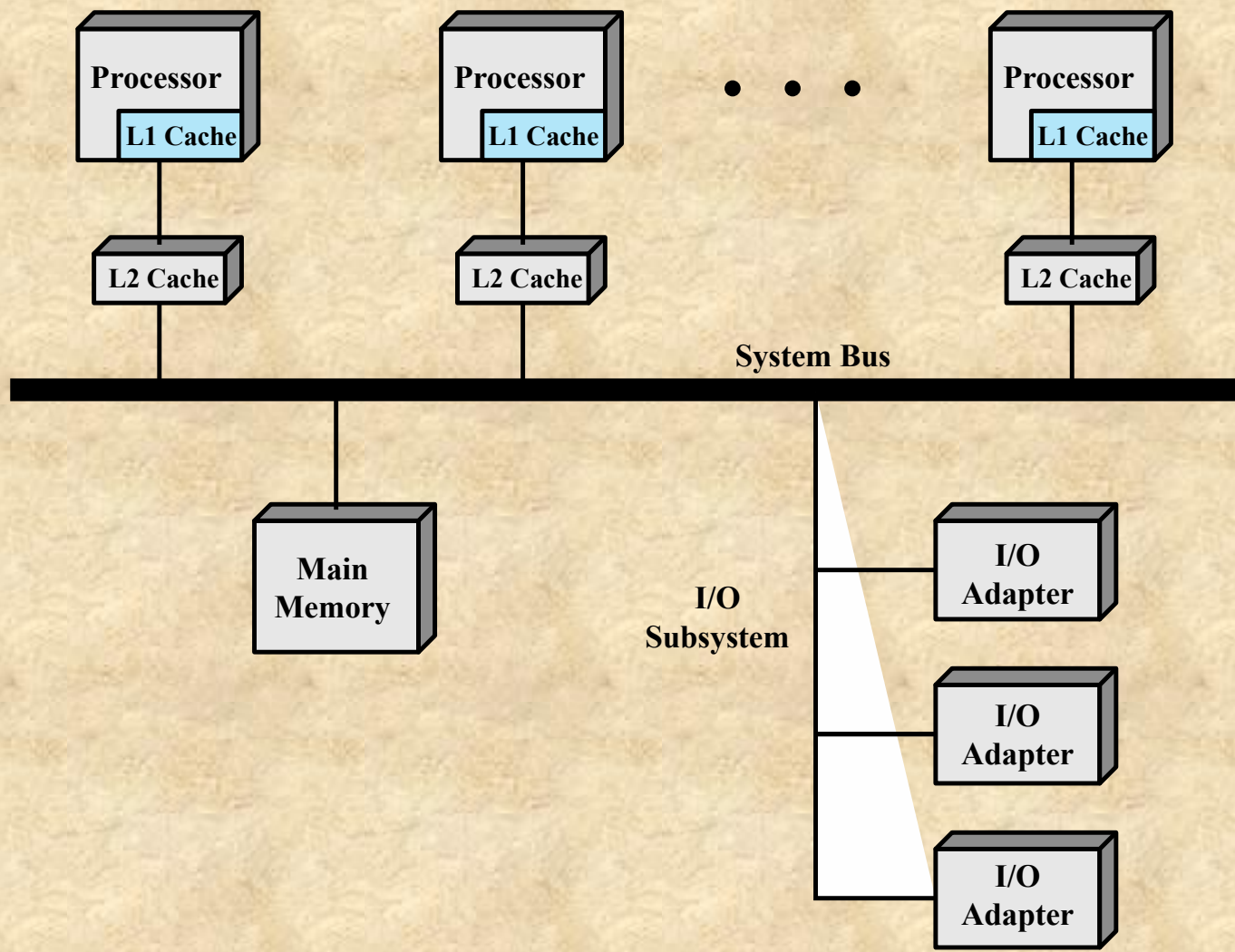
- vendors can offer a range of products with different price and performance characteristics

## Availability

- the failure of a single processor does not halt the machine

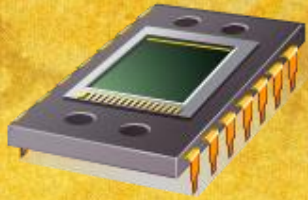
## Incremental Growth

- an additional processor can be added to enhance performance



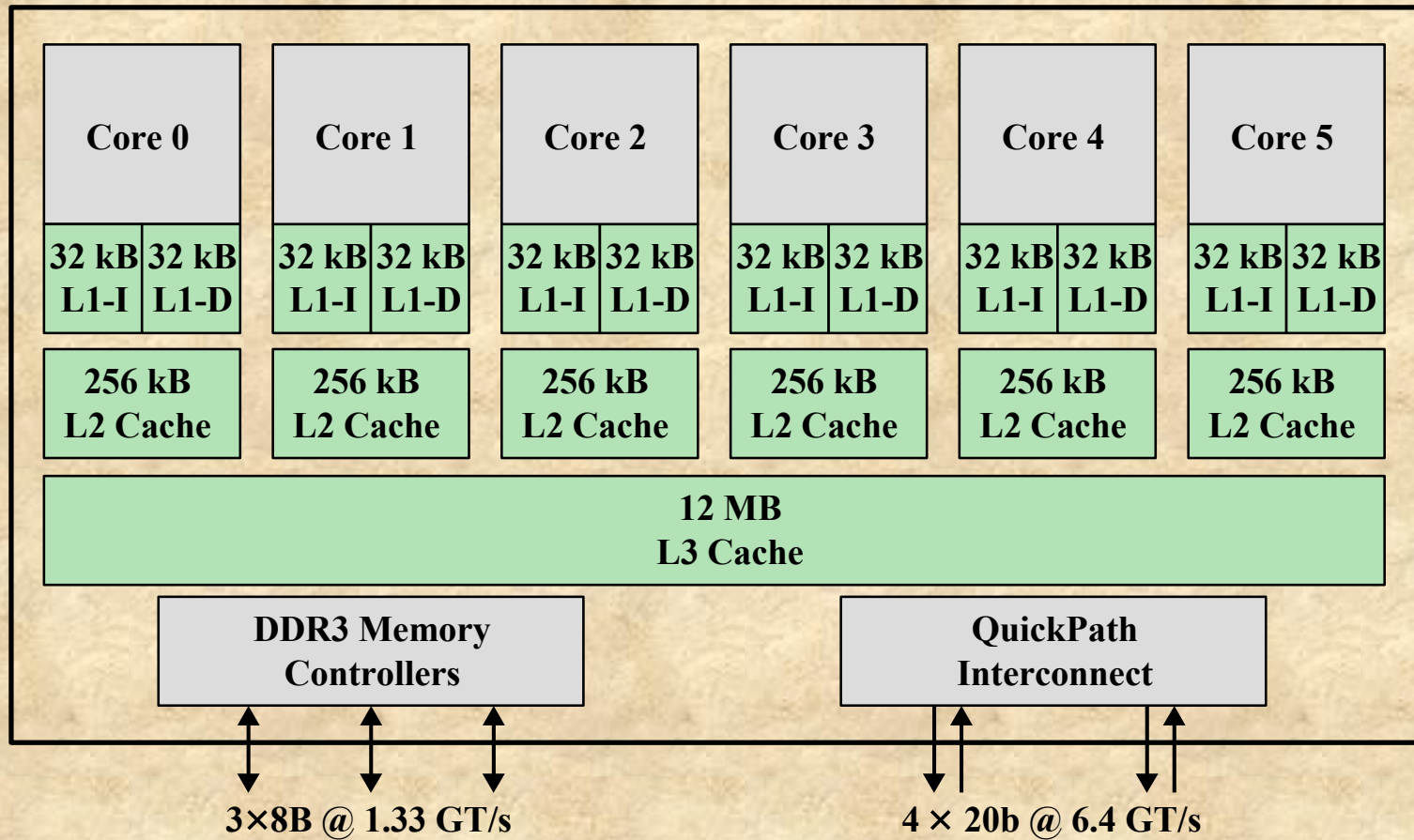
**Figure 1.19 Symmetric Multiprocessor Organization**





# Multicore Computer

- Also known as a chip multiprocessor
- Combines two or more processors (cores) on a single piece of silicon (die)
  - each core consists of all of the components of an independent processor
- In addition, multicore chips also include L2 cache and in some cases L3 cache



**Figure 1.20 Intel Core i7-990X Block Diagram**

# Summary

- Basic Elements
- Evolution of the microprocessor
- Instruction execution
- Interrupts
  - Interrupts and the instruction cycle
  - Interrupt processing
  - Multiple interrupts
- The memory hierarchy
  - Cache memory
    - Motivation
    - Cache principles
    - Cache design
  - Direct memory access
  - Multiprocessor and multicore organization
    - Symmetric multiprocessors
    - Multicore computers