

18.1 Overview

Introduction

Overview

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Virtualization permeates all aspects of computing. Virtual machines are one instance of this trend. Generally, with a virtual machine, guest operating systems and applications run in an environment that appears to them to be native hardware. This environment behaves toward them as native hardware would but also protects, manages, and limits them.

A *distributed system* is a collection of processors that do not share memory or a clock. Instead, each processor has its own local memory, and the processors communicate with one another through a local-area or wide-area computer network. Computer networks allow disparate computing devices to communicate by adopting standard communication protocols. Distributed systems offer several benefits: they give users access to more of the resources maintained by the system, boost computation speed, and improve data availability and reliability.

The term **virtualization** has many meanings, and aspects of virtualization permeate all aspects of computing. Virtual machines are one instance of this trend. Generally, with a virtual machine, guest operating systems and applications run in an environment that appears to them to be native hardware and that behaves toward them as native hardware would but that also protects, manages, and limits them.

This chapter delves into the uses, features, and implementation of virtual machines. Virtual machines can be implemented in several ways, and this chapter describes these options. One option is to add virtual machine support to the kernel. Because that implementation method is the most pertinent to this book, we explore it most fully. Additionally, hardware features provided by the CPU and even by I/O devices can support virtual machine implementation, so we discuss how those features are used by the appropriate kernel modules.

Chapter objectives

- Explore the history and benefits of virtual machines.
- Discuss the various virtual machine technologies.
- Describe the methods used to implement virtualization.
- Identify the most common hardware features that support virtualization and explain how they are used by operating-system modules.
- Discuss current virtualization research areas.

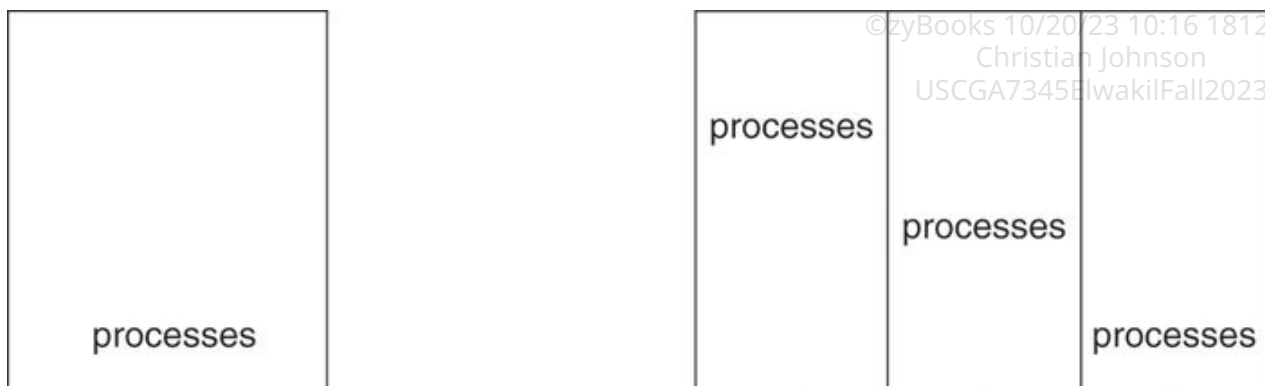
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Overview

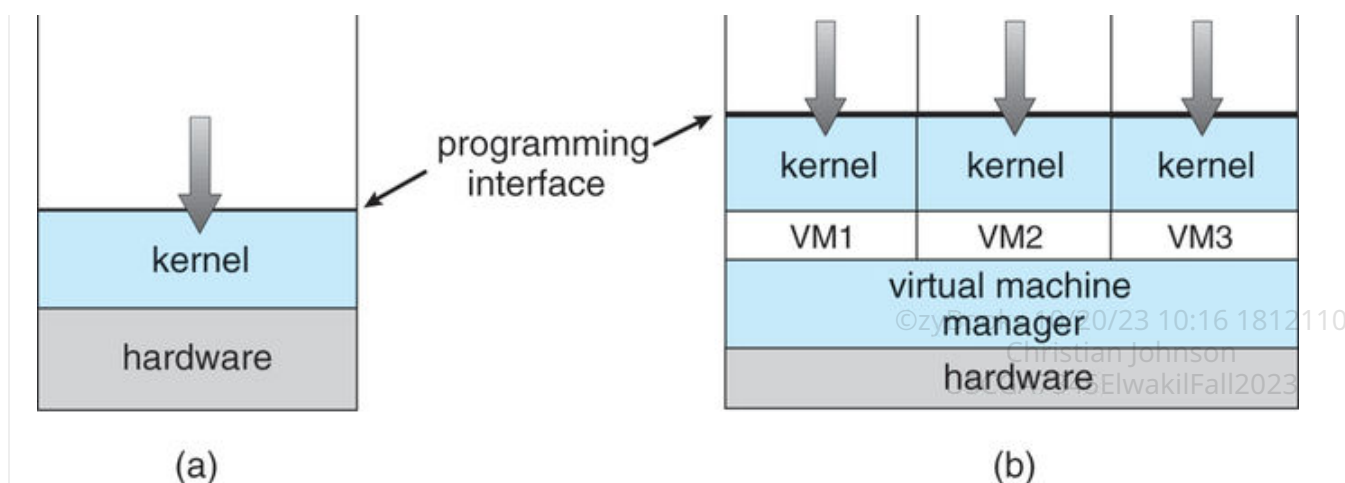
The fundamental idea behind a virtual machine is to abstract the hardware of a single computer (the CPU, memory, disk drives, network interface cards, and so forth) into several different execution environments, thereby creating the illusion that each separate environment is running on its own private computer. This concept may seem similar to the layered approach of operating system implementation (see Section Layered approach), and in some ways it is. In the case of virtualization, there is a layer that creates a virtual system on which operating systems or applications can run.

Virtual machine implementations involve several components. At the base is the **host**, the underlying hardware system that runs the virtual machines. The **virtual machine manager** (VMM) (also known as a **hypervisor**) creates and runs virtual machines by providing an interface that is **identical** to the host (except in the case of paravirtualization, discussed later). Each **guest** process is provided with a virtual copy of the host (Figure 18.1.1). Usually, the guest process is in fact an operating system. A single physical machine can thus run multiple operating systems concurrently, each in its own virtual machine.

Figure 18.1.1: System models. (a) Nonvirtual machine. (b) Virtual machine.



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Indirection

"All problems in computer science can be solved by another level of indirection"

—David Wheeler

"... except for the problem of too many layers of indirection."—Kevlin Henney

Take a moment to note that with virtualization, the definition of "operating system" once again blurs. For example, consider VMM software such as VMware ESX. This virtualization software is installed on the hardware, runs when the hardware boots, and provides services to applications. The services include traditional ones, such as scheduling and memory management, along with new types, such as migration of applications between systems. Furthermore, the applications are, in fact, guest operating systems. Is the VMware ESX VMM an operating system that, in turn, runs other operating systems? Certainly it acts like an operating system. For clarity, however, we call the component that provides virtual environments a VMM.

The implementation of VMMs varies greatly. Options include the following:

- Hardware-based solutions that provide support for virtual machine creation and management via firmware. These VMMs, which are commonly found in mainframe and large to midsized servers, are generally known as **type 0 hypervisors**. IBM LPARs and Oracle LDOMs are examples.
- Operating-system-like software built to provide virtualization, including VMware ESX (mentioned above), Joyent SmartOS, and Citrix XenServer. These VMMs are known as **type 1 hypervisors**.
- General-purpose operating systems that provide standard functions as well as VMM

functions, including Microsoft Windows Server with HyperV and Red Hat Linux with the KVM feature. Because such systems have a feature set similar to type 1 hypervisors, they are also known as type 1.

- Applications that run on standard operating systems but provide VMM features to guest operating systems. These applications, which include VMware Workstation and Fusion, Parallels Desktop, and Oracle VirtualBox, are **type 2 hypervisors**.
- **Paravirtualization**, a technique in which the guest operating system is modified to work in cooperation with the VMM to optimize performance.
- **Programming-environment virtualization**, in which VMMs do not virtualize real hardware but instead create an optimized virtual system. This technique is used by Oracle Java and Microsoft.Net.
- **Emulators** that allow applications written for one hardware environment to run on a very different hardware environment, such as a different type of CPU.
- **Application containment**, which is not virtualization at all but rather provides virtualization-like features by segregating applications from the operating system. Oracle Solaris Zones, BSD Jails, and IBM AIX WPARs "contain" applications, making them more secure and manageable.

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The variety of virtualization techniques in use today is a testament to the breadth, depth, and importance of virtualization in modern computing. Virtualization is invaluable for data-center operations, efficient application development, and software testing, among many other uses.

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18.1.1: Section review questions.



1) _____ segregate(s) applications from the operating system.



- ☐ Programming-environment virtualization
- ☐ Application containment
- ☐ Emulators

2) _____ are applications that run on standard operating systems but provide VMM features to guest operating systems.



- ☐ Type 0 hypervisor
- ☐ Type 1 hypervisor
- ☐ Type 2 hypervisor

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Section glossary

host: In virtualization, the location of the virtual machine manager, which runs guest operating systems; generally, a computer.

virtual machine manager (VMM): The computer function that manages the virtual machine; also called a hypervisor.

hypervisor: The computer function that manages the virtual machine; also called a virtual machine manager (VMM).

guest: In virtualization, an operating system running in a virtual environment (rather than natively on the computer hardware).

type 0 hypervisor: A hardware-based virtualization solution that provides support for virtual machine creation and management via firmware (e.g., IBM LPARs and Oracle LDOMs).

type 1 hypervisor: Operating-system-like software built to provide virtualization (e.g., VMware ESX, Joyent SmartOS and Citrix XenServer).

type 2 hypervisor: An application that runs on standard operating systems but provides virtual machine management features to guest operating systems (e.g., VMware workstation and fusion, and Oracle Virtualbox).

paravirtualization: A technique in which a guest operating system is modified to work in cooperation with a virtual machine manager.

programming-environment virtualization: Virtualization in which a virtual machine manager does not virtualize real hardware but instead creates an optimized virtual system (examples include Oracle Java and Microsoft.Net).

emulator: A program that allows applications written for one hardware environment to run in a different hardware environment, such as a different type of CPU.

application containment: A virtualization-like operating system feature that segregates applications from the operating system (examples include Solaris Zones, BSD Jails, and IBM WPARs).

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18.2 History

Virtual machines first appeared commercially on IBM mainframes in 1972. Virtualization was

provided by the IBM VM operating system. This system has evolved and is still available. In addition, many of its original concepts are found in other systems, making it worth exploring.

IBM VM/370 divided a mainframe into multiple virtual machines, each running its own operating system. A major difficulty with the VM approach involved disk systems. Suppose that the physical machine had three disk drives but wanted to support seven virtual machines. Clearly, it could not allocate a disk drive to each virtual machine. The solution was to provide virtual disks—termed **minidisks** in IBM's VM operating system. The minidisks were identical to the system's hard disks in all respects except size. The system implemented each minidisk by allocating as many tracks on the physical disks as the minidisk needed.

Once the virtual machines were created, users could run any of the operating systems or software packages that were available on the underlying machine. For the IBM VM system, a user normally ran CMS—a single-user interactive operating system.

For many years after IBM introduced this technology, virtualization remained in its domain. Most systems could not support virtualization. However, a formal definition of virtualization helped to establish system requirements and a target for functionality. The virtualization requirements called for:

- **Fidelity.** A VMM provides an environment for programs that is essentially identical to the original machine.
- **Performance.** Programs running within that environment show only minor performance decreases.
- **Safety.** The VMM is in complete control of system resources.

These requirements still guide virtualization efforts today.

By the late 1990s, Intel 80x86 CPUs had become common, fast, and rich in features. Accordingly, developers launched multiple efforts to implement virtualization on that platform. Both **Xen** and **VMware** created technologies, still used today, to allow guest operating systems to run on the 80x86. Since that time, virtualization has expanded to include all common CPUs, many commercial and open-source tools, and many operating systems. For example, the open-source **VirtualBox** project (<http://www.virtualbox.org>) provides a program that runs on Intel x86 and AMD 64 CPUs and on Windows, Linux, macOS, and Solaris host operating systems. Possible guest operating systems include many versions of Windows, Linux, Solaris, and BSD, including even MS-DOS and IBM OS/2.

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18.2.1: Section review question.



- 1) Virtualization technology first appeared in the 1990's for the Intel 80x86 architecture.

☐ True



☐ False

Section glossary

minidisks: Virtual disks used in early IBM virtual systems.

Xen: Virtualization software company.

VMware: Virtualization software company.

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18.3 Benefits and features

Several advantages make virtualization attractive. Most of them are fundamentally related to the ability to share the same hardware yet run several different execution environments (that is, different operating systems) concurrently.

One important advantage of virtualization is that the host system is protected from the virtual machines, just as the virtual machines are protected from each other. A virus inside a guest operating system might damage that operating system but is unlikely to affect the host or the other guests. Because each virtual machine is almost completely isolated from all other virtual machines, there are almost no protection problems.

A potential disadvantage of isolation is that it can prevent sharing of resources. Two approaches to providing sharing have been implemented. First, it is possible to share a file-system volume and thus to share files. Second, it is possible to define a network of virtual machines, each of which can send information over the virtual communications network. The network is modeled after physical communication networks but is implemented in software. Of course, the VMM is free to allow any number of its guests to use physical resources, such as a physical network connection (with sharing provided by the VMM), in which case the allowed guests could communicate with each other via the physical network.

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One feature common to most virtualization implementations is the ability to freeze, or **suspend**, a running virtual machine. Many operating systems provide that basic feature for processes, but VMMs go one step further and allow copies and **snapshots** to be made of the guest. The copy can be used to create a new VM or to move a VM from one machine to another with its current state intact. The guest can then **resume** where it was, as if on its original machine, creating a **clone**. The snapshot records a point in time, and the guest can be reset to that point if necessary (for example, if a change was made but is no longer wanted). Often, VMMs allow many snapshots to be taken.

For example, snapshots might record a guest's state every day for a month, making restoration to any of those snapshot states possible. These abilities are used to good advantage in virtual environments.

A virtual machine system is a perfect vehicle for operating-system research and development. Normally, changing an operating system is a difficult task. Operating systems are large and complex programs, and a change in one part may cause obscure bugs to appear in some other part. The power of the operating system makes changing it particularly dangerous. Because the operating system executes in kernel mode, a wrong change in a pointer could cause an error that would destroy the entire file system. Thus, it is necessary to test all changes to the operating system carefully.

Of course, the operating system runs on and controls the entire machine, so the system must be stopped and taken out of use while changes are made and tested. This period is commonly called **system-development time**. Since it makes the system unavailable to users, system-development time on shared systems is often scheduled late at night or on weekends, when system load is low.

A virtual-machine system can eliminate much of this latter problem. System programmers are given their own virtual machine, and system development is done on the virtual machine instead of on a physical machine. Normal system operation is disrupted only when a completed and tested change is ready to be put into production.

Another advantage of virtual machines for developers is that multiple operating systems can run concurrently on the developer's workstation. This virtualized workstation allows for rapid porting and testing of programs in varying environments. In addition, multiple versions of a program can run, each in its own isolated operating system, within one system. Similarly, quality-assurance engineers can test their applications in multiple environments without buying, powering, and maintaining a computer for each environment.

A major advantage of virtual machines in production data-center use is system **consolidation**, which involves taking two or more separate systems and running them in virtual machines on one system. Such physical-to-virtual conversions result in resource optimization, since many lightly used systems can be combined to create one more heavily used system.

Consider, too, that management tools that are part of the VMM allow system administrators to manage many more systems than they otherwise could. A virtual environment might include 100 physical servers, each running 20 virtual servers. Without virtualization, 2,000 servers would require several system administrators. With virtualization and its tools, the same work can be managed by one or two administrators. One of the tools that make this possible is **templating**, in which one standard virtual machine image, including an installed and configured guest operating system and applications, is saved and used as a source for multiple running VMs. Other features include managing the patching of all guests, backing up and restoring the guests, and monitoring their resource use.

Virtualization can improve not only resource utilization but also resource management. Some VMMs include a **live migration** feature that moves a running guest from one physical server to

another without interrupting its operation or active network connections. If a server is overloaded, live migration can thus free resources on the source host while not disrupting the guest. Similarly, when host hardware must be repaired or upgraded, guests can be migrated to other servers, the evacuated host can be maintained, and then the guests can be migrated back. This operation occurs without downtime and without interruption to users.

Think about the possible effects of virtualization on how applications are deployed. If a system can easily add, remove, and move a virtual machine, then why install applications on that system directly? Instead, the application could be preinstalled on a tuned and customized operating system in a virtual machine. This method would offer several benefits for application developers. Application management would become easier, less tuning would be required, and technical support of the application would be more straightforward. System administrators would find the environment easier to manage as well. Installation would be simple, and redeploying the application to another system would be much easier than the usual steps of uninstalling and reinstalling. For widespread adoption of this methodology to occur, though, the format of virtual machines must be standardized so that any virtual machine will run on any virtualization platform. The "Open Virtual Machine Format" is an attempt to provide such standardization, and it could succeed in unifying virtual machine formats.

Virtualization has laid the foundation for many other advances in computer facility implementation, management, and monitoring. **Cloud computing**, for example, is made possible by virtualization in which resources such as CPU, memory, and I/O are provided as services to customers using Internet technologies. By using APIs, a program can tell a cloud computing facility to create thousands of VMs, all running a specific guest operating system and application, that others can access via the Internet. Many multiuser games, photo-sharing sites, and other web services use this functionality.

In the area of desktop computing, virtualization is enabling desktop and laptop computer users to connect remotely to virtual machines located in remote data centers and access their applications as if they were local. This practice can increase security, because no data are stored on local disks at the user's site. The cost of the user's computing resource may also decrease. The user must have networking, CPU, and some memory, but all that these system components need to do is display an image of the guest as it runs remotely (via a protocol such as **RDP**). Thus, they need not be expensive, high-performance components. Other uses of virtualization are sure to follow as it becomes more prevalent and hardware support continues to improve.

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18.3.1: Section review questions.

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- 1) The host system is protected from a virtual machine, but several virtual machines running on the same host are not protected from each other:

☐ True

☐ False

2) Virtual machine managers can take snapshots of host system:

☐ True

☐ False



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Section glossary

suspend: In virtualization, to freeze a guest operating system and its applications to pause execution.

snapshot: In file systems, a read-only view of a file system at a particular point in time; later changes do not affect the snapshot view.

resume: In virtualization, the continuation of execution after a guest's suspension.

clone: In file systems, a snapshot that is read-write and modifiable. In virtualization, a copy of a guest that enables another instance of the guest to run in a separate virtual machine.

system-development time: The time during which an operating system is developed, before it is made available in final "release" form.

consolidation: In virtualization, the practice of running multiple guests per host, reducing the number of physical servers needed for a given workload.

templating: In virtualization, using one standard virtual-machine image as a source for multiple virtual machines.

live migration: In virtualization, the movement of a running guest between two separate physical hosts.

cloud computing: A computing environment in which hardware, software, or other resources are made available to customers across a WAN, such as the Internet, usually with APIs for management. A type of computing that delivers computing, storage, and even applications "as a service" across a network.

remote desktop protocol (RDP): A network protocol to allow remote access to a computer's display contents and keyboard and mouse input devices.

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18.4 Building blocks

Although the virtual machine concept is useful, it is difficult to implement. Much work is required to provide an **exact** duplicate of the underlying machine. This is especially a challenge on dual-mode systems, where the underlying machine has only user mode and kernel mode. In this section, we examine the building blocks that are needed for efficient virtualization. Note that these building blocks are not required by type 0 hypervisors, as discussed in Section Type 0 hypervisor.

The ability to virtualize depends on the features provided by the CPU. If the features are sufficient, then it is possible to write a VMM that provides a guest environment. Otherwise, virtualization is impossible. VMMs use several techniques to implement virtualization, including trap-and-emulate and binary translation. We discuss each of these techniques in this section, along with the hardware support needed to support virtualization.

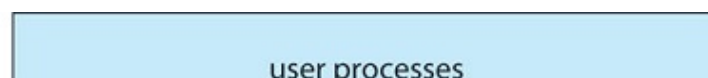
As you read the section, keep in mind that an important concept found in most virtualization options is the implementation of a **virtual CPU** (VCPU). The VCPU does not execute code. Rather, it represents the state of the CPU as the guest machine believes it to be. For each guest, the VMM maintains a VCPU representing that guest's current CPU state. When the guest is context-switched onto a CPU by the VMM, information from the VCPU is used to load the right context, much as a general-purpose operating system would use the PCB.

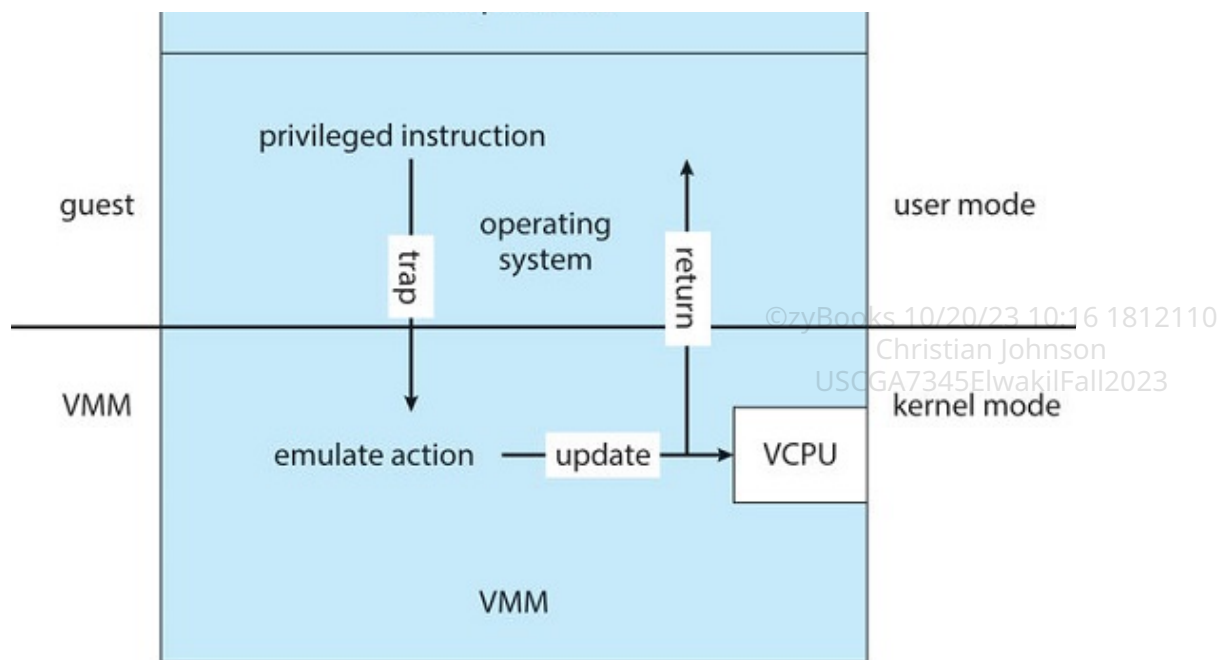
Trap-and-emulate

On a typical dual-mode system, the virtual machine guest can execute only in user mode (unless extra hardware support is provided). The kernel, of course, runs in kernel mode, and it is not safe to allow user-level code to run in kernel mode. Just as the physical machine has two modes, so must the virtual machine. Consequently, we must have a virtual user mode and a virtual kernel mode, both of which run in physical user mode. Those actions that cause a transfer from user mode to kernel mode on a real machine (such as a system call, an interrupt, or an attempt to execute a privileged instruction) must also cause a transfer from virtual user mode to virtual kernel mode in the virtual machine.

How can such a transfer be accomplished? The procedure is as follows: When the kernel in the guest attempts to execute a privileged instruction, that is an error (because the system is in user mode) and causes a trap to the VMM in the real machine. The VMM gains control and executes (or "emulates") the action that was attempted by the guest kernel on the part of the guest. It then returns control to the virtual machine. This is called the **trap-and-emulate** method and is shown in Figure 18.4.1.

Figure 18.4.1: Trap-and-emulate virtualization implementation.





With privileged instructions, time becomes an issue. All nonprivileged instructions run natively on the hardware, providing the same performance for guests as native applications. Privileged instructions create extra overhead, however, causing the guest to run more slowly than it would natively. In addition, the CPU is being multiprogrammed among many virtual machines, which can further slow down the virtual machines in unpredictable ways.

This problem has been approached in various ways. IBM VM, for example, allows normal instructions for the virtual machines to execute directly on the hardware. Only the privileged instructions (needed mainly for I/O) must be emulated and hence execute more slowly. In general, with the evolution of hardware, the performance of trap-and-emulate functionality has been improved, and cases in which it is needed have been reduced. For example, many CPUs now have extra modes added to their standard dual-mode operation. The VCPU need not keep track of what mode the guest operating system is in, because the physical CPU performs that function. In fact, some CPUs provide guest CPU state management in hardware, so the VMM need not supply that functionality, removing the extra overhead.

Binary translation

Some CPUs do not have a clean separation of privileged and nonprivileged instructions. Unfortunately for virtualization implementers, the Intel x86 CPU line is one of them. No thought was given to running virtualization on the x86 when it was designed. (In fact, the first CPU in the family—the Intel 4004, released in 1971—was designed to be the core of a calculator.) The chip has maintained backward compatibility throughout its lifetime, preventing changes that would have made virtualization easier through many generations.

Let's consider an example of the problem. The command `popf` loads the flag register from the contents of the stack. If the CPU is in privileged mode, all of the flags are replaced from the stack. If

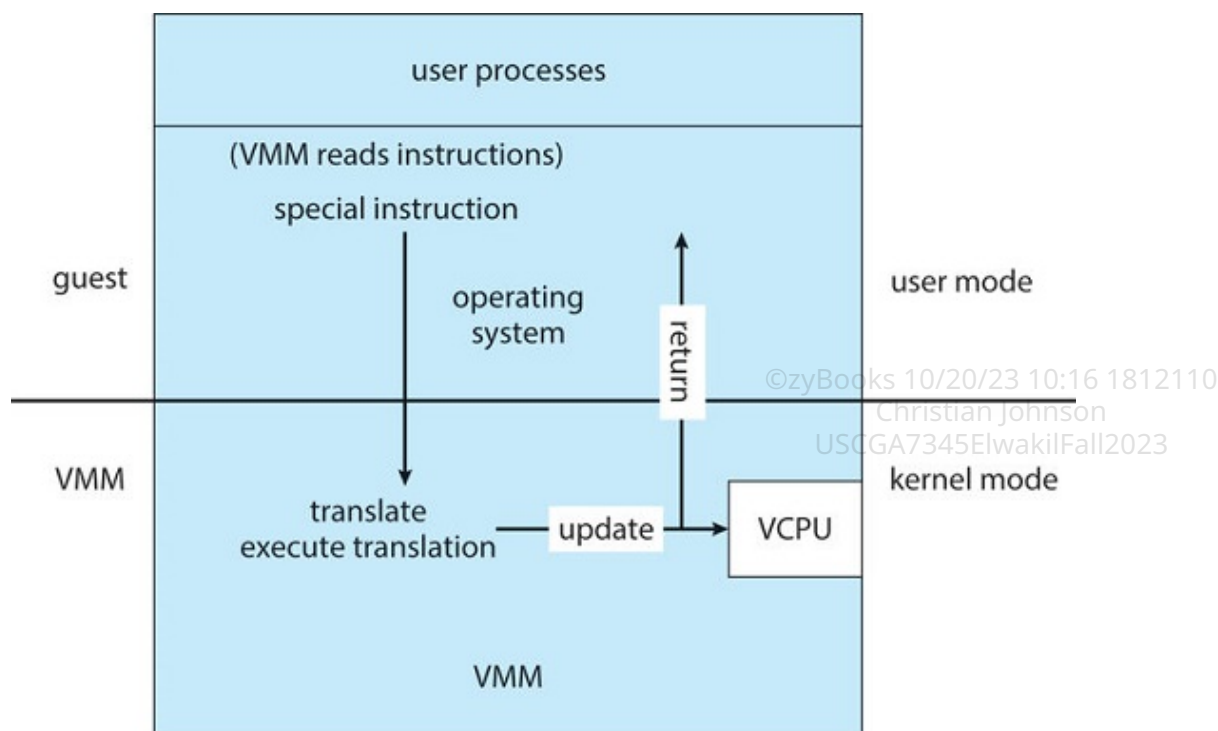
the CPU is in user mode, then only some flags are replaced, and others are ignored. Because no trap is generated if `popf` is executed in user mode, the trap-and-emulate procedure is rendered useless. Other x86 instructions cause similar problems. For the purposes of this discussion, we will call this set of instructions **special instructions**. As recently as 1998, using the trap-and-emulate method to implement virtualization on the x86 was considered impossible because of these special instructions.

This previously insurmountable problem was solved with the implementation of the **binary translation** technique. Binary translation is fairly simple in concept but complex in implementation. The basic steps are as follows:

1. If the guest VCPU is in user mode, the guest can run its instructions natively on a physical CPU.
2. If the guest VCPU is in kernel mode, then the guest believes that it is running in kernel mode. The VMM examines every instruction the guest executes in virtual kernel mode by reading the next few instructions that the guest is going to execute, based on the guest's program counter. Instructions other than special instructions are run natively. Special instructions are translated into a new set of instructions that perform the equivalent task—for example, changing the flags in the VCPU.

Binary translation is shown in Figure 18.4.2. It is implemented by translation code within the VMM. The code reads native binary instructions dynamically from the guest, on demand, and generates native binary code that executes in place of the original code.

Figure 18.4.2: Binary translation virtualization implementation.



The basic method of binary translation just described would execute correctly but perform poorly. Fortunately, the vast majority of instructions would execute natively. But how could performance be improved for the other instructions? We can turn to a specific implementation of binary translation, the VMware method, to see one way of improving performance. Here, caching provides the solution. The replacement code for each instruction that needs to be translated is cached. All later executions of that instruction run from the translation cache and need not be translated again. If the cache is large enough, this method can greatly improve performance.

Let's consider another issue in virtualization: memory management, specifically the page tables. How can the VMM keep page-table state both for guests that believe they are managing the page tables and for the VMM itself? A common method, used with both trap-and-emulate and binary translation, is to use **nested page tables (NPTs)**. Each guest operating system maintains one or more page tables to translate from virtual to physical memory. The VMM maintains NPTs to represent the guest's page-table state, just as it creates a VCPU to represent the guest's CPU state. The VMM knows when the guest tries to change its page table, and it makes the equivalent change in the NPT. When the guest is on the CPU, the VMM puts the pointer to the appropriate NPT into the appropriate CPU register to make that table the active page table. If the guest needs to modify the page table (for example, fulfilling a page fault), then that operation must be intercepted by the VMM and appropriate changes made to the nested and system page tables. Unfortunately, the use of NPTs can cause TLB misses to increase, and many other complexities need to be addressed to achieve reasonable performance.

Although it might seem that the binary translation method creates large amounts of overhead, it performed well enough to launch a new industry aimed at virtualizing Intel x86-based systems. VMware tested the performance impact of binary translation by booting one such system, WinXP, and immediately shutting it down while monitoring the elapsed time and the number of translations produced by the binary translation method. The result was 950,000 translations, taking 3 microseconds each, for a total increase of 3 seconds (about 5 percent) over native execution of WinXP. To achieve that result, developers used many performance improvements that we do not discuss here. For more information, consult the bibliographical notes at the end of this chapter.

Hardware assistance

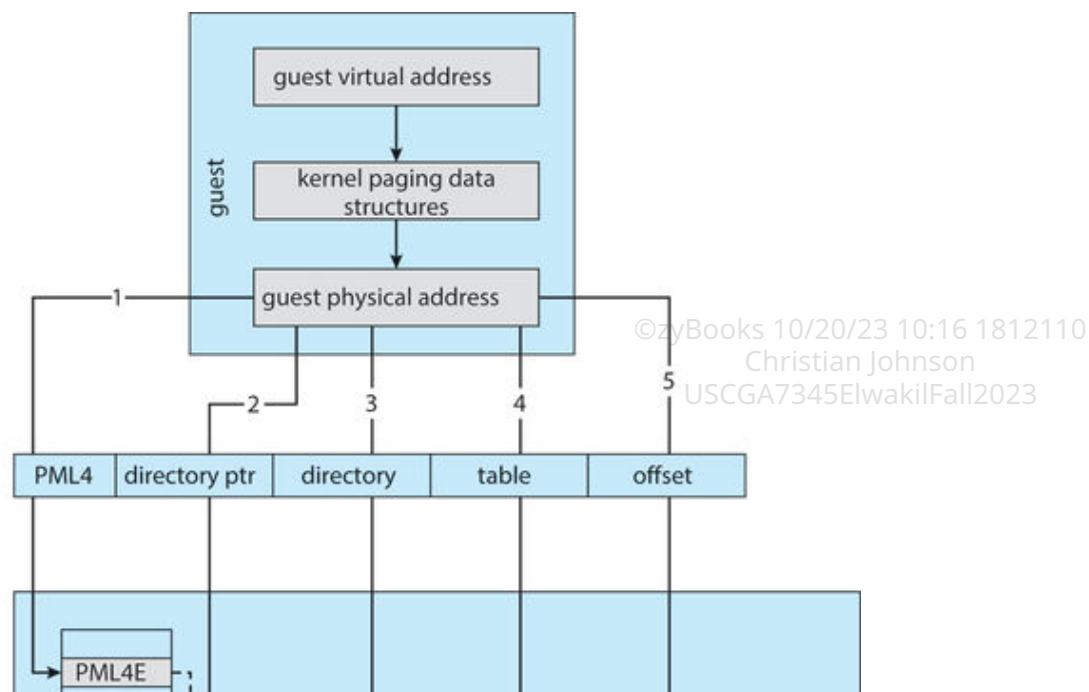
Without some level of hardware support, virtualization would be impossible. The more hardware support available within a system, the more feature-rich and stable the virtual machines can be and the better they can perform. In the Intel x86 CPU family, Intel added new virtualization support (the **VT-x** instructions) in successive generations beginning in 2005. Now, binary translation is no longer needed.

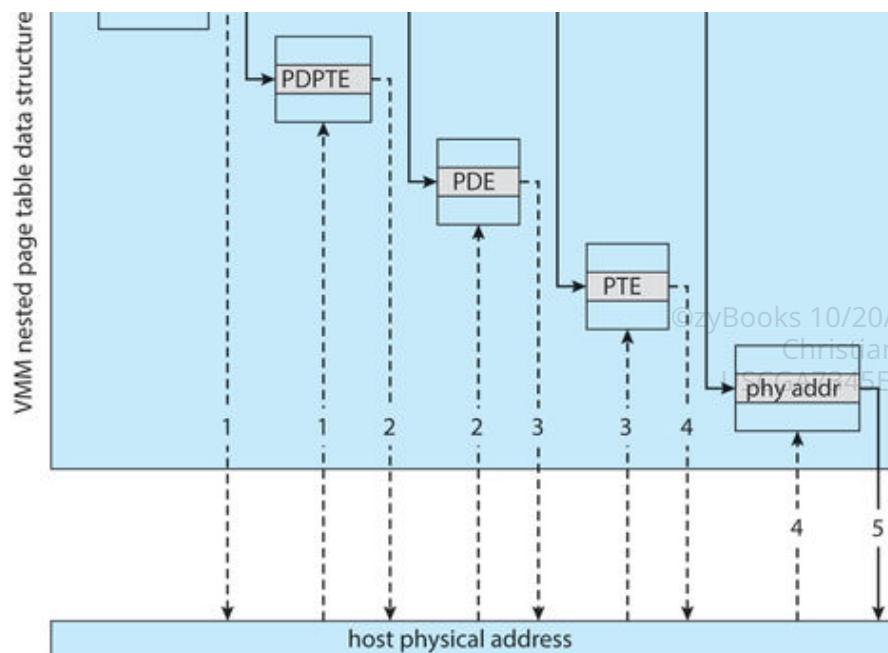
In fact, all major general-purpose CPUs now provide extended hardware support for virtualization. For example, AMD virtualization technology (**AMD-V**) has appeared in several AMD processors starting in 2006. It defines two new modes of operation—host and guest—thus moving from a dual-

mode to a multimode processor. The VMM can enable host mode, define the characteristics of each guest virtual machine, and then switch the system to guest mode, passing control of the system to a guest operating system that is running in the virtual machine. In guest mode, the virtualized operating system thinks it is running on native hardware and sees whatever devices are included in the host's definition of the guest. If the guest tries to access a virtualized resource, then control is passed to the VMM to manage that interaction. The functionality in Intel VT-x is similar, providing root and nonroot modes, equivalent to host and guest modes. Both provide guest VCPU state data structures to load and save guest CPU state automatically during guest context switches. In addition, **virtual machine control structures** (VMCSs) are provided to manage guest and host state, as well as various guest execution controls, exit controls, and information about why guests exit back to the host. In the latter case, for example, a nested page-table violation caused by an attempt to access unavailable memory can result in the guest's exit.

AMD and Intel have also addressed memory management in the virtual environment. With AMD's RVI and Intel's EPT memory-management enhancements, VMMs no longer need to implement software NPTs. In essence, these CPUs implement nested page tables in hardware to allow the VMM to fully control paging while the CPUs accelerate the translation from virtual to physical addresses. The NPTs add a new layer, one representing the guest's view of logical-to-physical address translation. The CPU page-table walking function (traversing the data structure to find the desired data) includes this new layer as necessary, walking through the guest table to the VMM table to find the physical address desired. A TLB miss results in a performance penalty, because more tables (the guest and host page tables) must be traversed to complete the lookup. Figure 18.4.3 shows the extra translation work performed by the hardware to translate from a guest virtual address to a final physical address.

Figure 18.4.3: Nested page tables.





I/O is another area improved by hardware assistance. Consider that the standard direct-memory-access (DMA) controller accepts a target memory address and a source I/O device and transfers data between the two without operating-system action. Without hardware assistance, a guest might try to set up a DMA transfer that affects the memory of the VMM or other guests. In CPUs that provide hardware-assisted DMA (such as Intel CPUs with VT-d), even DMA has a level of indirection. First, the VMM sets up **protection domains** to tell the CPU which physical memory belongs to each guest. Next, it assigns the I/O devices to the protection domains, allowing them direct access to those memory regions and only those regions. The hardware then transforms the address in a DMA request issued by an I/O device to the host physical memory address associated with the I/O. In this manner, DMA transfers are passed through between a guest and a device without VMM interference.

Similarly, interrupts must be delivered to the appropriate guest and must not be visible to other guests. By providing an interrupt remapping feature, CPUs with virtualization hardware assistance automatically deliver an interrupt destined for a guest to a core that is currently running a thread of that guest. That way, the guest receives interrupts without any need for the VMM to intercede in their delivery. Without interrupt remapping, malicious guests could generate interrupts that could be used to gain control of the host system. (See the bibliographical notes at the end of this chapter for more details.)

ARM architectures, specifically ARM v8 (64-bit) take a slightly different approach to hardware support of virtualization. They provide an entire exception level—EL2—which is even more privileged than that of the kernel (EL1). This allows the running of a secluded hypervisor, with its own MMU access and interrupt trapping. To allow for paravirtualization, a special instruction (HVC) is added. It allows the hypervisor to be called from guest kernels. This instruction can only be called from within kernel mode (EL1).

An interesting side effect of hardware-assisted virtualization is that it allows for the creation of thin hypervisors. A good example is Mac's hypervisor framework ("HyperVisor.framework"), which is an operating-system-supplied library that allows the creation of virtual machines in a few lines of code. The actual work is done via system calls, which have the kernel call the privileged virtualization CPU instructions on behalf of the hypervisor process, allowing management of virtual machines without the hypervisor needing to load a kernel module of its own to execute those calls.

**PARTICIPATION
ACTIVITY**

18.4.1: Section review questions.

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1) With virtualizable CPUs, the virtual machines run in user mode.



- ☐ True
☐ False

2) Guest virtual machines share information about their interrupts:



- ☐ True
☐ False

Section glossary

virtual CPU (VCPU): In virtualization, a virtualized host CPU available to allocate to a guest operating system by the virtual machine manager.

trap-and-emulate: In virtualization, a method used to implement virtualization on systems lacking hardware support (such as CPU instructions) for virtualization; any action that would cause the guest to call the operating system is intercepted, and the result is emulated.

binary translation: A virtualization method in which, when a guest is running in virtual kernel mode, every instruction is inspected by the virtual machine manager, and instructions that would behave differently in real kernel mode are translated into a set of new instructions that perform the equivalent task; used to implement virtualization on systems lacking hardware support for virtualization.

nested page tables (NPTs): In virtualization, a method used by the virtual machine manager to maintain page-table state both for guests and for the system.

VT-x: Intel x86 CPU virtualization-supporting instructions.

AMD-V: AMD CPU virtualization technology.

virtual machine control structures (VMCSs): Hardware features provided by CPUs that support virtualization to track guest state.

protection domain: In protection, a set of resources that a process may access. In virtualization, a virtual machine manager creates a protection domain for each guest to inform the CPU of which physical memory pages belong to that guest.

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18.5 Types of VMs and their implementations

We've now looked at some of the techniques used to implement virtualization. Next, we consider the major types of virtual machines, their implementation, their functionality, and how they use the building blocks just described to create a virtual environment. Of course, the hardware on which the virtual machines are running can cause great variation in implementation methods. Here, we discuss the implementations in general, with the understanding that VMMs take advantage of hardware assistance where it is available.

The virtual machine life cycle

Let's begin with the virtual machine life cycle. Whatever the hypervisor type, at the time a virtual machine is created, its creator gives the VMM certain parameters. These parameters usually include the number of CPUs, amount of memory, networking details, and storage details that the VMM will take into account when creating the guest. For example, a user might want to create a new guest with two virtual CPUs, 4 GB of memory, 10 GB of disk space, one network interface that gets its IP address via DHCP, and access to the DVD drive.

The VMM then creates the virtual machine with those parameters. In the case of a type 0 hypervisor, the resources are usually dedicated. In this situation, if there are not two virtual CPUs available and unallocated, the creation request in our example will fail. For other hypervisor types, the resources are dedicated or virtualized, depending on the type. Certainly, an IP address cannot be shared, but the virtual CPUs are usually multiplexed on the physical CPUs, as discussed in Section CPU scheduling. Similarly, memory management usually involves allocating more memory to guests than actually exists in physical memory. This is more complicated and is described in Section Memory management.

Finally, when the virtual machine is no longer needed, it can be deleted. When this happens, the VMM first frees up any used disk space and then removes the configuration associated with the virtual machine, essentially forgetting the virtual machine.

These steps are quite simple compared with building, configuring, running, and removing physical machines. Creating a virtual machine from an existing one can be as easy as clicking the "clone" button and providing a new name and IP address. This ease of creation can lead to **virtual machine**

sprawl, which occurs when there are so many virtual machines on a system that their use, history, and state become confusing and difficult to track.

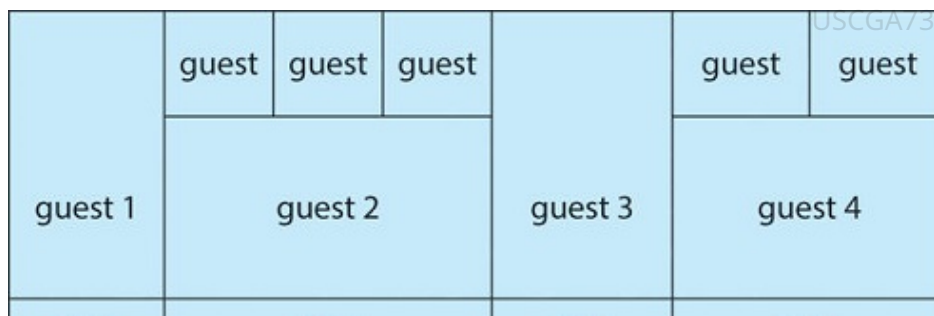
Type 0 hypervisor

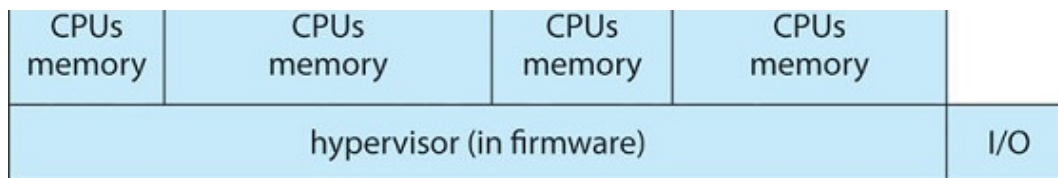
Type 0 hypervisors have existed for many years under many names, including "partitions" and "domains." They are a hardware feature, and that brings its own positives and negatives. Operating systems need do nothing special to take advantage of their features. The VMM itself is encoded in the firmware and loaded at boot time. In turn, it loads the guest images to run in each partition. The feature set of a type 0 hypervisor tends to be smaller than those of the other types because it is implemented in hardware. For example, a system might be split into four virtual systems, each with dedicated CPUs, memory, and I/O devices. Each guest believes that it has dedicated hardware because it does, simplifying many implementation details.

I/O presents some difficulty, because it is not easy to dedicate I/O devices to guests if there are not enough. What if a system has two Ethernet ports and more than two guests, for example? Either all guests must get their own I/O devices, or the system must provide I/O device sharing. In these cases, the hypervisor manages shared access or grants all devices to a **control partition**. In the control partition, a guest operating system provides services (such as networking) via daemons to other guests, and the hypervisor routes I/O requests appropriately. Some type 0 hypervisors are even more sophisticated and can move physical CPUs and memory between running guests. In these cases, the guests are paravirtualized, aware of the virtualization and assisting in its execution. For example, a guest must watch for signals from the hardware or VMM that a hardware change has occurred, probe its hardware devices to detect the change, and add or subtract CPUs or memory from its available resources.

Because type 0 virtualization is very close to raw hardware execution, it should be considered separately from the other methods discussed here. A type 0 hypervisor can run multiple guest operating systems (one in each hardware partition). All of those guests, because they are running on raw hardware, can in turn be VMMs. Essentially, each guest operating system in a type 0 hypervisor is a native operating system with a subset of hardware made available to it. Because of that, each can have its own guest operating systems (Figure 18.5.1). Other types of hypervisors usually cannot provide this virtualization-within-virtualization functionality.

Figure 18.5.1: Type 0 hypervisor.





Type 1 hypervisor

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Type 1 hypervisors are commonly found in company data centers and are, in a sense, becoming "the data-center operating system." They are special-purpose operating systems that run natively on the hardware, but rather than providing system calls and other interfaces for running programs, they create, run, and manage guest operating systems. In addition to running on standard hardware, they can run on type 0 hypervisors, but not on other type 1 hypervisors. Whatever the platform, guests generally do not know they are running on anything but the native hardware.

Type 1 hypervisors run in kernel mode, taking advantage of hardware protection. Where the host CPU allows, they use multiple modes to give guest operating systems their own control and improved performance. They implement device drivers for the hardware they run on, since no other component could do so. Because they are operating systems, they must also provide CPU scheduling, memory management, I/O management, protection, and even security. Frequently, they provide APIs, but those APIs support applications in guests or external applications that supply features like backups, monitoring, and security. Many type 1 hypervisors are closed-source commercial offerings, such as VMware ESX, while some are open source or hybrids of open and closed source, such as Citrix XenServer and its open Xen counterpart.

By using type 1 hypervisors, data-center managers can control and manage the operating systems and applications in new and sophisticated ways. An important benefit is the ability to consolidate more operating systems and applications onto fewer systems. For example, rather than having ten systems running at 10 percent utilization each, a data center might have one server manage the entire load. If utilization increases, guests and their applications can be moved to less-loaded systems live, without interruption of service. Using snapshots and cloning, the system can save the states of guests and duplicate those states—a much easier task than restoring from backups or installing manually or via scripts and tools. The price of this increased manageability is the cost of the VMM (if it is a commercial product), the need to learn new management tools and methods, and the increased complexity.

Another type of type 1 hypervisor includes various general-purpose operating systems with VMM functionality. Here, an operating system such as RedHat Enterprise Linux, Windows, or Oracle Solaris performs its normal duties as well as providing a VMM, allowing other operating systems to run as guests. Because of their extra duties, these hypervisors typically provide fewer virtualization features than other type 1 hypervisors. In many ways, they treat a guest operating system as just another process, but they provide special handling when the guest tries to execute special instructions.

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Type 2 hypervisor

Type 2 hypervisors are less interesting to us as operating-system explorers, because there is very little operating-system involvement in these application-level virtual machine managers. This type of VMM is simply another process run and managed by the host, and even the host does not know that virtualization is happening within the VMM.

Type 2 hypervisors have limits not associated with some of the other types. For example, a user needs administrative privileges to access many of the hardware assistance features of modern CPUs. If the VMM is being run by a standard user without additional privileges, the VMM cannot take advantage of these features. Due to this limitation, as well as the extra overhead of running a general-purpose operating system as well as guest operating systems, type 2 hypervisors tend to have poorer overall performance than type 0 or type 1.

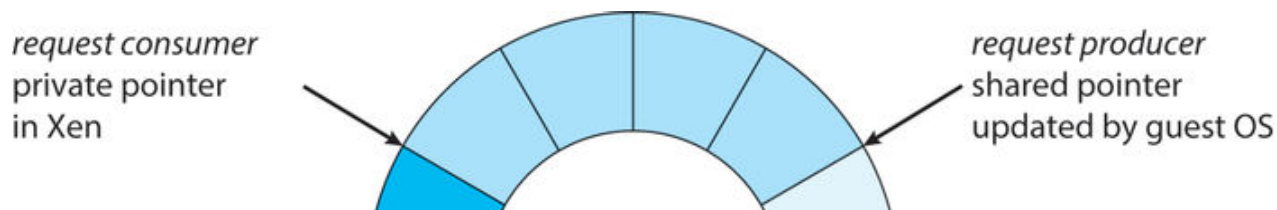
As is often the case, the limitations of type 2 hypervisors also provide some benefits. They run on a variety of general-purpose operating systems, and running them requires no changes to the host operating system. A student can use a type 2 hypervisor, for example, to test a non-native operating system without replacing the native operating system. In fact, on an Apple laptop, a student could have versions of Windows, Linux, Unix, and less common operating systems all available for learning and experimentation.

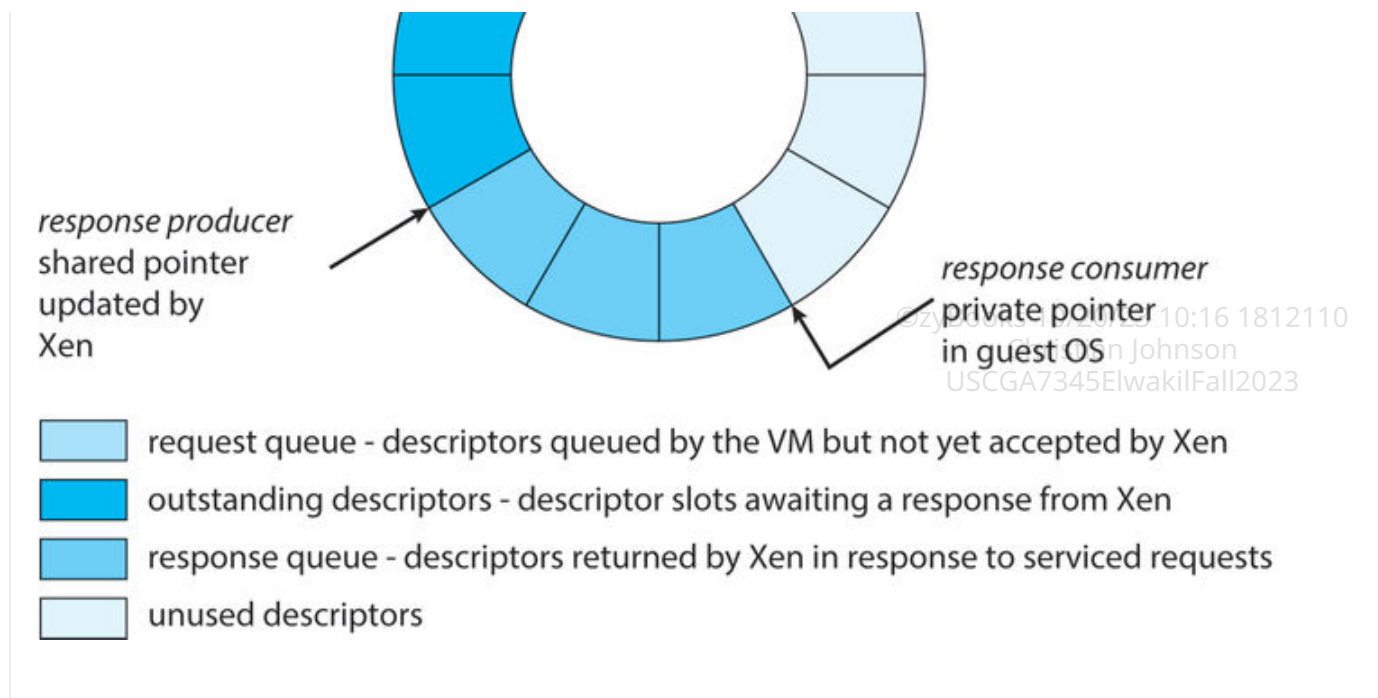
Paravirtualization

As we've seen, paravirtualization works differently than the other types of virtualization. Rather than try to trick a guest operating system into believing it has a system to itself, paravirtualization presents the guest with a system that is similar but not identical to the guest's preferred system. The guest must be modified to run on the paravirtualized virtual hardware. The gain for this extra work is more efficient use of resources and a smaller virtualization layer.

The Xen VMM became the leader in paravirtualization by implementing several techniques to optimize the performance of guests as well as of the host system. For example, as mentioned earlier, some VMMs present virtual devices to guests that appear to be real devices. Instead of taking that approach, the Xen VMM presented clean and simple device abstractions that allow efficient I/O as well as good I/O-related communication between the guest and the VMM. For each device used by each guest, there was a circular buffer shared by the guest and the VMM via shared memory. Read and write data are placed in this buffer, as shown in Figure 18.5.2.

Figure 18.5.2: Xen I/O via shared circular buffer.





For memory management, Xen did not implement nested page tables. Rather, each guest had its own set of page tables, set to read-only. Xen required the guest to use a specific mechanism, a **hypercall** from the guest to the hypervisor VMM, when a page-table change was needed. This meant that the guest operating system's kernel code must have been changed from the default code to these Xen-specific methods. To optimize performance, Xen allowed the guest to queue up multiple page-table changes asynchronously via hypercalls and then checked to ensure that the changes were complete before continuing operation.

Xen allowed virtualization of x86 CPUs without the use of binary translation, instead requiring modifications in the guest operating systems like the one described above. Over time, Xen has taken advantage of hardware features supporting virtualization. As a result, it no longer requires modified guests and essentially does not need the paravirtualization method. Paravirtualization is still used in other solutions, however, such as type 0 hypervisors.

Programming-environment virtualization

Another kind of virtualization, based on a different execution model, is the virtualization of programming **environments**. Here, a programming language is designed to run within a custom-built virtualized environment. For example, Oracle's Java has many features that depend on its running in the **Java virtual machine (JVM)**, including specific methods for security and memory management.

If we define virtualization as including only duplication of hardware, this is not really virtualization at all. But we need not limit ourselves to that definition. Instead, we can define a virtual environment, based on APIs, that provides a set of features we want to have available for a particular language and programs written in that language. Java programs run within the JVM environment, and the JVM is compiled to be a native program on systems on which it runs. This arrangement means

that Java programs are written once and then can run on any system (including all of the major operating systems) on which a JVM is available. The same can be said of **interpreted languages**, which run inside programs that read each instruction and interpret it into native operations.

Emulation

Virtualization is probably the most common method for running applications designed for one operating system on a different operating system, but on the same CPU. This method works relatively efficiently because the applications were compiled for the instruction set that the target system uses.

But what if an application or operating system needs to run on a different CPU? Here, it is necessary to translate all of the source CPU's instructions so that they are turned into the equivalent instructions of the target CPU. Such an environment is no longer virtualized but rather is fully emulated.

Emulation is useful when the host system has one system architecture and the guest system was compiled for a different architecture. For example, suppose a company has replaced its outdated computer system with a new system but would like to continue to run certain important programs that were compiled for the old system. The programs could be run in an emulator that translates each of the outdated system's instructions into the native instruction set of the new system. Emulation can increase the life of programs and allow us to explore old architectures without having an actual old machine.

As may be expected, the major challenge of emulation is performance. Instruction-set emulation may run an order of magnitude slower than native instructions, because it may take ten instructions on the new system to read, parse, and simulate an instruction from the old system. Thus, unless the new machine is ten times faster than the old, the program running on the new machine will run more slowly than it did on its native hardware. Another challenge for emulator writers is that it is difficult to create a correct emulator because, in essence, this task involves writing an entire CPU in software.

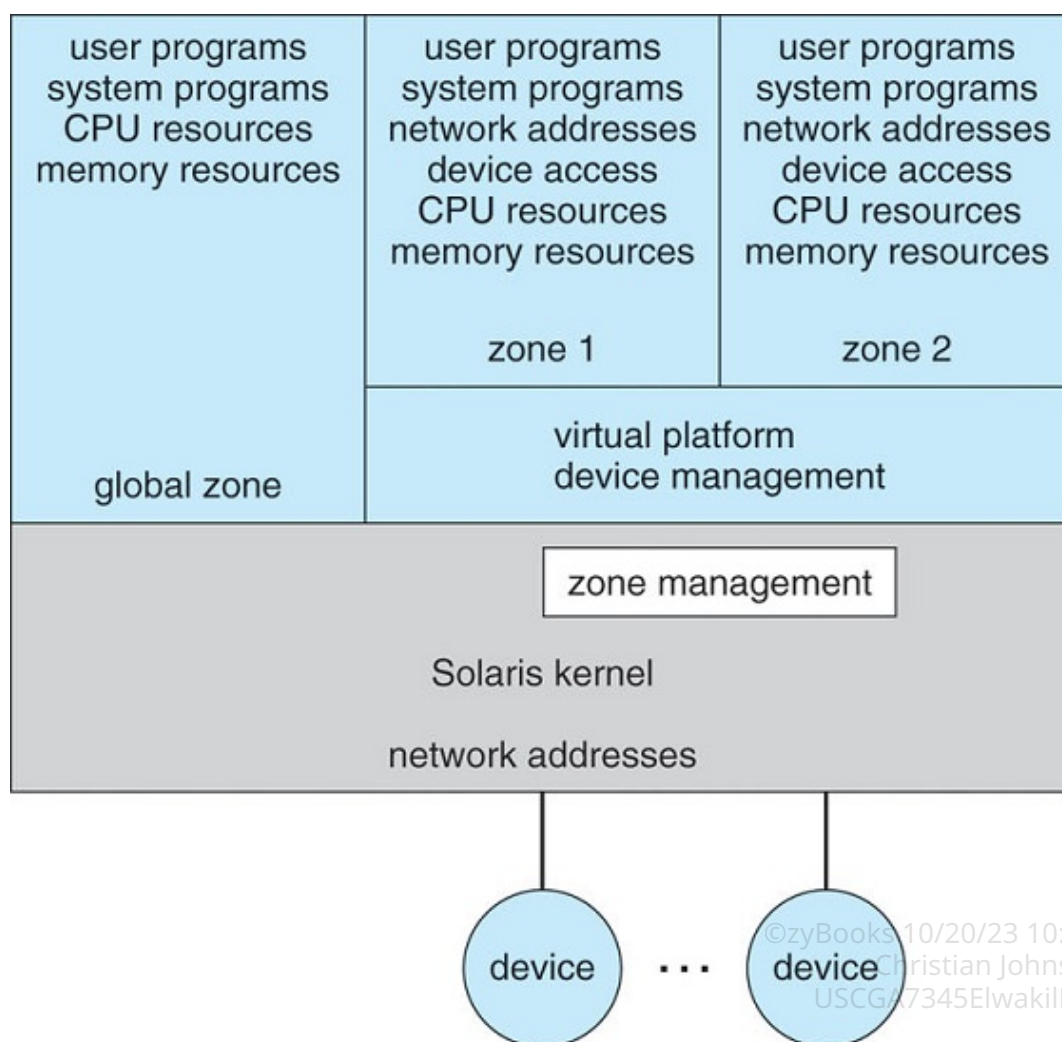
In spite of these challenges, emulation is very popular, particularly in gaming circles. Many popular video games were written for platforms that are no longer in production. Users who want to run those games frequently can find an emulator of such a platform and then run the game unmodified within the emulator. Modern systems are so much faster than old game consoles that even the Apple iPhone has game emulators and games available to run within them.

Application containment

The goal of virtualization in some instances is to provide a method to segregate applications, manage their performance and resource use, and create an easy way to start, stop, move, and manage them. In such cases, perhaps full-fledged virtualization is not needed. If the applications are all compiled for the same operating system, then we do not need complete virtualization to provide these features. We can instead use application containment.

Consider one example of application containment. Starting with version 10, Oracle Solaris has included **containers**, or **zones**, that create a virtual layer between the operating system and the applications. In this system, only one kernel is installed, and the hardware is not virtualized. Rather, the operating system and its devices are virtualized, providing processes within a zone with the impression that they are the only processes on the system. One or more containers can be created, and each can have its own applications, network stacks, network address and ports, user accounts, and so on. CPU and memory resources can be divided among the zones and the system-wide processes. Each zone, in fact, can run its own scheduler to optimize the performance of its applications on the allotted resources. Figure 18.5.3 shows a Solaris 10 system with two containers and the standard "global" user space.

Figure 18.5.3: Solaris 10 with two zones.



Containers are much lighter weight than other virtualization methods. That is, they use fewer system resources and are faster to instantiate and destroy, more similar to processes than virtual machines. For this reason, they are becoming more commonly used, especially in cloud computing.

FreeBSD was perhaps the first operating system to include a container-like feature (called "jails"), and AIX has a similar feature. Linux added the **LXC** container feature in 2014. It is now included in the common Linux distributions via a flag in the `clone()` system call. (The source code for LXC is available at <https://linuxcontainers.org/lxc/downloads>.)

Containers are also easy to automate and manage, leading to orchestration tools like **docker** and **Kubernetes**. Orchestration tools are means of automating and coordinating systems and services. Their aim is to make it simple to run entire suites of distributed applications, just as operating systems make it simple to run a single program. These tools offer rapid deployment of full applications, consisting of many processes within containers, and also offer monitoring and other administration features. For more on docker, see <https://www.docker.com/what-docker>. Information about Kubernetes can be found at <https://kubernetes.io/docs/concepts/overview/what-is-kubernetes>.

PARTICIPATION ACTIVITY

18.5.1: Section review questions.



1) Which form of virtualization is considered the "data center operating system"?



- ☐ Type 0 hypervisor
- ☐ Type 1 hypervisor
- ☐ Type 2 hypervisor

2) What type of a solution should be recommended for an organization that has changed its computer to the one that has a different CPU, but for stability reasons would like to maintain the old software?



- ☐ application containment
- ☐ emulation
- ☐ type 1 hypervisor

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Section glossary

virtual machine sprawl: The situation in which there are so many virtual machines on a system that their use, history, and state become confusing and difficult to track; caused by the ease of creating virtual machines.

control partition: In type 0 virtualization, a virtual hardware partition that provides services to the other partitions (and has higher privileges).

hypercall: In paravirtualization, a call from a guest to the hypervisor to request a virtualization service, such as a page table change.

Java virtual machine: In programming-environment virtualization, the process that implements the Java language and allows execution of Java code.

emulation: A methodology used to enable a process to run when the compiled program's original (source) CPU type is different from the target CPU type on which the program is to run.

containers: In APFS, large free spaces in storage from which file systems can draw allocations.

zones: In application containment, a virtual layer between the operating system and a process in which the application runs, limiting its normal access to system resources. In Linux, the four regions of kernel memory.

LXC: A Linux container technology.

docker: An orchestration tool for containers.

Kubernetes: An orchestration tool for containers.

18.6 Virtualization and operating-system components

Thus far, we have explored the building blocks of virtualization and the various types of virtualization. In this section, we take a deeper dive into the operating-system aspects of virtualization, including how the VMM provides core operating-system functions like scheduling, I/O, and memory management. Here, we answer questions such as these: How do VMMs schedule CPU use when guest operating systems believe they have dedicated CPUs? How can memory management work when many guests require large amounts of memory?

CPU scheduling

A system with virtualization, even a single-CPU system, frequently acts like a multiprocessor system. The virtualization software presents one or more virtual CPUs to each of the virtual machines running on the system and then schedules the use of the physical CPUs among the virtual machines.

The significant variations among virtualization technologies make it difficult to summarize the effect of virtualization on scheduling. First, let's consider the general case of VMM scheduling. The VMM has a number of physical CPUs available and a number of threads to run on those CPUs. The threads can be VMM threads or guest threads. Guests are configured with a certain number of virtual CPUs at creation time, and that number can be adjusted throughout the life of the VM. When there are enough CPUs to allocate the requested number to each guest, the VMM can treat the CPUs as dedicated and schedule only a given guest's threads on that guest's CPUs. In this situation, the guests act much like native operating systems running on native CPUs.

Of course, in other situations, there may not be enough CPUs to go around. The VMM itself needs some CPU cycles for guest management and I/O management and can steal cycles from the guests by scheduling its threads across all of the system CPUs, but the impact of this action is relatively minor. More difficult is the case of **overcommitment**, in which the guests are configured for more CPUs than exist in the system. Here, a VMM can use standard scheduling algorithms to make progress on each thread but can also add a fairness aspect to those algorithms. For example, if there are six hardware CPUs and twelve guest-allocated CPUs, the VMM can allocate CPU resources proportionally, giving each guest half of the CPU resources it believes it has. The VMM can still present all twelve virtual CPUs to the guests, but in mapping them onto physical CPUs, the VMM can use its scheduler to distribute them appropriately.

Even given a scheduler that provides fairness, any guest operating-system scheduling algorithm that assumes a certain amount of progress in a given amount of time will most likely be negatively affected by virtualization. Consider a time-sharing operating system that tries to allot 100 milliseconds to each time slice to give users a reasonable response time. Within a virtual machine, this operating system receives only what CPU resources the virtualization system gives it. A 100-millisecond time slice may take much more than 100 milliseconds of virtual CPU time. Depending on how busy the system is, the time slice may take a second or more, resulting in very poor response times for users logged into that virtual machine. The effect on a real-time operating system can be even more serious.

The net outcome of such scheduling is that individual virtualized operating systems receive only a portion of the available CPU cycles, even though they believe they are receiving all of the cycles and indeed are scheduling all of the cycles. Commonly, the time-of-day clocks in virtual machines are incorrect because timers take longer to trigger than they would on dedicated CPUs. Virtualization can thus undo the scheduling-algorithm efforts of the operating systems within virtual machines.

To correct for this, the VMM makes an application available for each type of operating system that the system administrator can install into the guests. This application corrects clock drift and can have other functions, such as virtual device management.

Memory management

Efficient memory use in general-purpose operating systems is a major key to performance. In virtualized environments, there are more users of memory (the guests and their applications, as well as the VMM), leading to more pressure on memory use. Further adding to this pressure is the

fact that VMMs typically overcommit memory, so that the total memory allocated to guests exceeds the amount that physically exists in the system. The extra need for efficient memory use is not lost on the implementers of VMMs, who take extensive measures to ensure the optimal use of memory.

For example, VMware ESX uses several methods of memory management. Before memory optimization can occur, the VMM must establish how much real memory each guest should use. To do that, the VMM first evaluates each guest's maximum memory size. General-purpose operating systems do not expect the amount of memory in the system to change, so VMMs must maintain the illusion that the guest has that amount of memory. Next, the VMM computes a target real-memory allocation for each guest based on the configured memory for that guest and other factors, such as overcommitment and system load. It then uses the three low-level mechanisms listed below to reclaim memory from the guests

1. Recall that a guest believes it controls memory allocation via its page-table management, whereas in reality the VMM maintains a nested page table that translates the guest page table to the real page table. The VMM can use this extra level of indirection to optimize the guest's use of memory without the guest's knowledge or help. One approach is to provide double paging. Here, the VMM has its own page-replacement algorithms and loads pages into a backing store that the guest believes is physical memory. Of course, the VMM knows less about the guest's memory access patterns than the guest does, so its paging is less efficient, creating performance problems. VMMs do use this method when other methods are not available or are not providing enough free memory. However, it is not the preferred approach.
2. A common solution is for the VMM to install in each guest a pseudo-device driver or kernel module that the VMM controls. (A **pseudo-device driver** uses device-driver interfaces, appearing to the kernel to be a device driver, but does not actually control a device. Rather, it is an easy way to add kernel-mode code without directly modifying the kernel.) This **balloon memory manager** communicates with the VMM and is told to allocate or deallocate memory. If told to allocate, it allocates memory and tells the operating system to pin the allocated pages into physical memory. Recall that pinning locks a page into physical memory so that it cannot be moved or paged out. To the guest, these pinned pages appear to decrease the amount of physical memory it has available, creating memory pressure. The guest then may free up other physical memory to be sure it has enough free memory. Meanwhile, the VMM, knowing that the pages pinned by the balloon process will never be used, removes those physical pages from the guest and allocates them to another guest. At the same time, the guest is using its own memory-management and paging algorithms to manage the available memory, which is the most efficient option. If memory pressure within the entire system decreases, the VMM will tell the balloon process within the guest to unpin and free some or all of the memory, allowing the guest more pages for its use.
3. Another common method for reducing memory pressure is for the VMM to determine if the same page has been loaded more than once. If this is the case, the VMM reduces the number

of copies of the page to one and maps the other users of the page to that one copy. VMware, for example, randomly samples guest memory and creates a hash for each page sampled. That hash value is a "thumbprint" of the page. The hash of every page examined is compared with other hashes stored in a hash table. If there is a match, the pages are compared byte by byte to see if they really are identical. If they are, one page is freed, and its logical address is mapped to the other's physical address. This technique might seem at first to be ineffective, but consider that guests run operating systems. If multiple guests run the same operating system, then only one copy of the active operating-system pages need be in memory. Similarly, multiple guests could be running the same set of applications, again a likely source of memory sharing.

The overall effect of these mechanisms is to enable guests to behave and perform as if they had the full amount of memory requested, although in reality they have less.

I/O

In the area of I/O, hypervisors have some leeway and can be less concerned with how they represent the underlying hardware to their guests. Because of the wide variation in I/O devices, operating systems are used to dealing with varying and flexible I/O mechanisms. For example, an operating system's device-driver mechanism provides a uniform interface to the operating system whatever the I/O device. Device-driver interfaces are designed to allow third-party hardware manufacturers to provide device drivers connecting their devices to the operating system. Usually, device drivers can be dynamically loaded and unloaded. Virtualization takes advantage of this built-in flexibility by providing specific virtualized devices to guest operating systems.

As described in Section 18.5, VMMs vary greatly in how they provide I/O to their guests. I/O devices may be dedicated to guests, for example, or the VMM may have device drivers onto which it maps guest I/O. The VMM may also provide idealized device drivers to guests. In this case, the guest sees an easy-to-control device, but in reality that simple device driver communicates to the VMM, which sends the requests to a more complicated real device through a more complex real device driver. I/O in virtual environments is complicated and requires careful VMM design and implementation.

Consider the case of a hypervisor and hardware combination that allows devices to be dedicated to a guest and allows the guest to access those devices directly. Of course, a device dedicated to one guest is not available to any other guests, but this direct access can still be useful in some circumstances. The reason to allow direct access is to improve I/O performance. The less the hypervisor has to do to enable I/O for its guests, the faster the I/O can occur. With type 0 hypervisors that provide direct device access, guests can often run at the same speed as native operating systems. When type 0 hypervisors instead provide shared devices, performance may suffer.

With direct device access in type 1 and 2 hypervisors, performance can be similar to that of native operating systems if certain hardware support is present. The hardware needs to provide DMA

pass-through with facilities like VT-d, as well as direct interrupt delivery (interrupts going directly to the guests). Given how frequently interrupts occur, it should be no surprise that the guests on hardware without these features have worse performance than if they were running natively.

In addition to direct access, VMMs provide shared access to devices. Consider a disk drive to which multiple guests have access. The VMM must provide protection while the device is being shared, assuring that a guest can access only the blocks specified in the guest's configuration. In such instances, the VMM must be part of every I/O, checking it for correctness as well as routing the data to and from the appropriate devices and guests.

In the area of networking, VMMs also have work to do. General-purpose operating systems typically have one Internet protocol (IP) address, although they sometimes have more than one—for example, to connect to a management network, backup network, and production network. With virtualization, each guest needs at least one IP address, because that is the guest's main mode of communication. Therefore, a server running a VMM may have dozens of addresses, and the VMM acts as a virtual switch to route the network packets to the addressed guests.

The guests can be "directly" connected to the network by an IP address that is seen by the broader network (this is known as **bridging**). Alternatively, the VMM can provide a **network address translation (NAT)** address. The NAT address is local to the server on which the guest is running, and the VMM provides routing between the broader network and the guest. The VMM also provides firewalling to guard connections between guests within the system and between guests and external systems.

Storage management

An important question in determining how virtualization works is this: If multiple operating systems have been installed, what and where is the boot disk? Clearly, virtualized environments need to approach storage management differently than do native operating systems. Even the standard multiboot method of slicing the boot disk into partitions, installing a boot manager in one partition, and installing each other operating system in another partition is not sufficient, because partitioning has limits that would prevent it from working for tens or hundreds of virtual machines.

Once again, the solution to this problem depends on the type of hypervisor. Type 0 hypervisors often allow root disk partitioning, partly because these systems tend to run fewer guests than other systems. Alternatively, a disk manager may be part of the control partition, and that disk manager may provide disk space (including boot disks) to the other partitions.

Type 1 hypervisors store the guest root disk (and configuration information) in one or more files in the file systems provided by the VMM. Type 2 hypervisors store the same information in the host operating system's file systems. In essence, a **disk image**, containing all of the contents of the root disk of the guest, is contained in one file in the VMM. Aside from the potential performance problems that causes, this is a clever solution, because it simplifies copying and moving guests. If the administrator wants a duplicate of the guest (for testing, for example), she simply copies the associated disk image of the guest and tells the VMM about the new copy. Booting the new virtual

machine brings up an identical guest. Moving a virtual machine from one system to another that runs the same VMM is as simple as halting the guest, copying the image to the other system, and starting the guest there.

Guests sometimes need more disk space than is available in their root disk image. For example, a nonvirtualized database server might use several file systems spread across many disks to store various parts of the database. Virtualizing such a database usually involves creating several files and having the VMM present those to the guest as disks. The guest then executes as usual, with the VMM translating the disk I/O requests coming from the guest into file I/O commands to the correct files.

Frequently, VMMs provide a mechanism to capture a physical system as it is currently configured and convert it to a guest that the VMM can manage and run. This **physical-to-virtual** (*P-to-V*) conversion reads the disk blocks of the physical system's disks and stores them in files on the VMM's system or on shared storage that the VMM can access. VMMs also provide a **virtual-to-physical** (*V-to-P*) procedure for converting a guest to a physical system. This procedure is sometimes needed for debugging: a problem could be caused by the VMM or associated components, and the administrator could attempt to solve the problem by removing virtualization from the problem variables. V-to-P conversion can take the files containing all of the guest data and generate disk blocks on a physical disk, recreating the guest as a native operating system and applications. Once the testing is concluded, the original system can be reused for other purposes when the virtual machine returns to service, or the virtual machine can be deleted and the original system can continue to run.

Live migration

One feature not found in general-purpose operating systems but found in type 0 and type 1 hypervisors is the live migration of a running guest from one system to another. We mentioned this capability earlier. Here, we explore the details of how live migration works and why VMMs can implement it relatively easily while general-purpose operating systems, in spite of some research attempts, cannot.

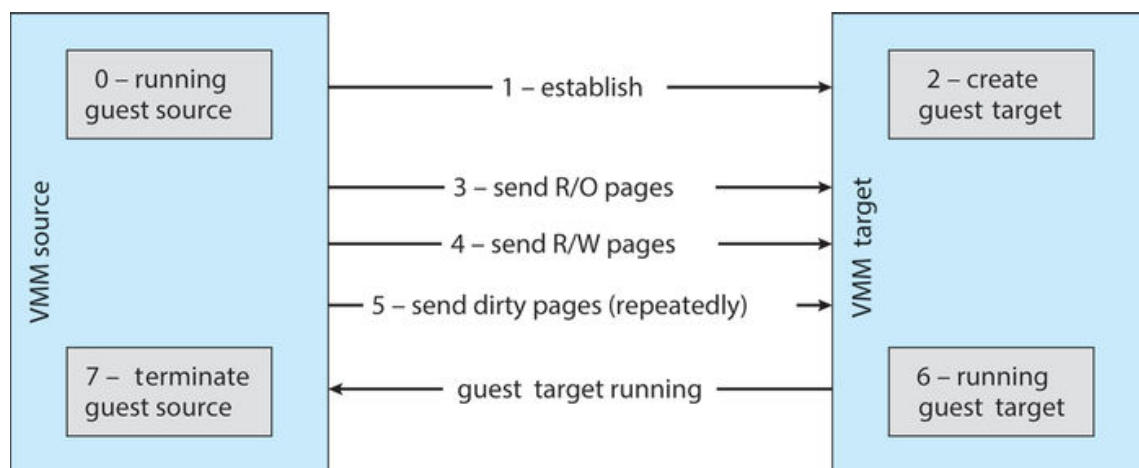
First, let's consider how live migration works. A running guest on one system is copied to another system running the same VMM. The copy occurs with so little interruption of service that users logged in to the guest, as well as network connections to the guest, continue without noticeable impact. This rather astonishing ability is very powerful in resource management and hardware administration. After all, compare it with the steps necessary without virtualization: we must warn users, shut down the processes, possibly move the binaries, and restart the processes on the new system. Only then can users access the services again. With live migration, we can decrease the load on an overloaded system or make hardware or system changes with no discernable disruption for users.

Live migration is made possible by the well-defined interface between each guest and the VMM and the limited state the VMM maintains for the guest. The VMM migrates a guest via the following steps:

1. The source VMM establishes a connection with the target VMM and confirms that it is allowed to send a guest.
2. The target creates a new guest by creating a new VCPU, new nested page table, and other state storage.
3. The source sends all read-only memory pages to the target.
4. The source sends all read-write pages to the target, marking them as clean.
5. The source repeats step 4, because during that step some pages were probably modified by the guest and are now dirty. These pages need to be sent again and marked again as clean.
6. When the cycle of steps 4 and 5 becomes very short, the source VMM freezes the guest, sends the VCPU's final state, other state details, and the final dirty pages, and tells the target to start running the guest. Once the target acknowledges that the guest is running, the source terminates the guest.

This sequence is shown in Figure [18.6.1](#).

Figure 18.6.1: Live migration of a guest between two servers.



We conclude this discussion with a few interesting details and limitations concerning live migration. First, for network connections to continue uninterrupted, the network infrastructure needs to understand that a MAC address—the hardware networking address—can move between systems. Before virtualization, this did not happen, as the MAC address was tied to physical hardware. With virtualization, the MAC must be movable for existing networking connections to continue without resetting. Modern network switches understand this and route traffic wherever the MAC address is, even accommodating a move.

A limitation of live migration is that no disk state is transferred. One reason live migration is possible is that most of the guest's state is maintained within the guest—for example, open file

tables, system-call state, kernel state, and so on. Because disk I/O is much slower than memory access, however, and used disk space is usually much larger than used memory, disks associated with the guest cannot be moved as part of a live migration. Rather, the disk must be remote to the guest, accessed over the network. In that case, disk access state is maintained within the guest, and network connections are all that matter to the VMM. The network connections are maintained during the migration, so remote disk access continues. Typically, NFS, CIFS, or iSCSI is used to store virtual machine images and any other storage a guest needs access to. These network-based storage accesses simply continue when the network connections are continued once the guest has been migrated.

Live migration makes it possible to manage data centers in entirely new ways. For example, virtualization management tools can monitor all the VMMs in an environment and automatically balance resource use by moving guests between the VMMs. These tools can also optimize the use of electricity and cooling by migrating all guests off selected servers if other servers can handle the load and powering down the selected servers entirely. If the load increases, the tools can power up the servers and migrate guests back to them.

**PARTICIPATION
ACTIVITY**

18.6.1: Section review questions.



1) A virtual machine monitor (VMM) cannot configure a guest operating system with more virtual CPUs than there are physical CPUs.



- ☐ True
- ☐ False

2) Moving a running guest system from one virtual machine monitor (VMM) to another does not require first suspending the guest system on the source VMM before copying the guest to the target VMM.



- ☐ True
- ☐ False

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Section glossary

overcommitment: In virtualization, providing resources to guests that exceed available physical resources.

pseudo device driver: In virtualization, a guest device driver that does not directly control system hardware but rather works with the virtual machine manager to access the device.

bridging: In networking, the connection of two devices—e.g., a virtual-machine guest and the network to which the host computer is connected.

network address translation: In networking, the mapping of one header address to another by modifying the network packets (e.g., allowing a host to provide IP addresses to multiple guests while presenting only one IP address to the connected network).

disk image: Generally, the contents of a disk encapsulated in a file. In virtualization, a guest virtual machine's boot file system contents contained in a disk image.

physical-to-virtual (P-to-V): In virtualization, the conversion of a physical system's operating system and applications to a virtual machine.

virtual-to-physical (V-to-P): In virtualization, the conversion of a virtual machine guest to a physical system's operating system and applications.

18.7 Examples

Despite the advantages of virtual machines, they received little attention for a number of years after they were first developed. Today, however, virtual machines are coming into greater use as a means of solving system compatibility problems. In this section, we explore two popular contemporary virtual machines: the VMware Workstation and the Java virtual machine. These virtual machines can typically run on top of operating systems of any of the design types discussed in earlier chapters.

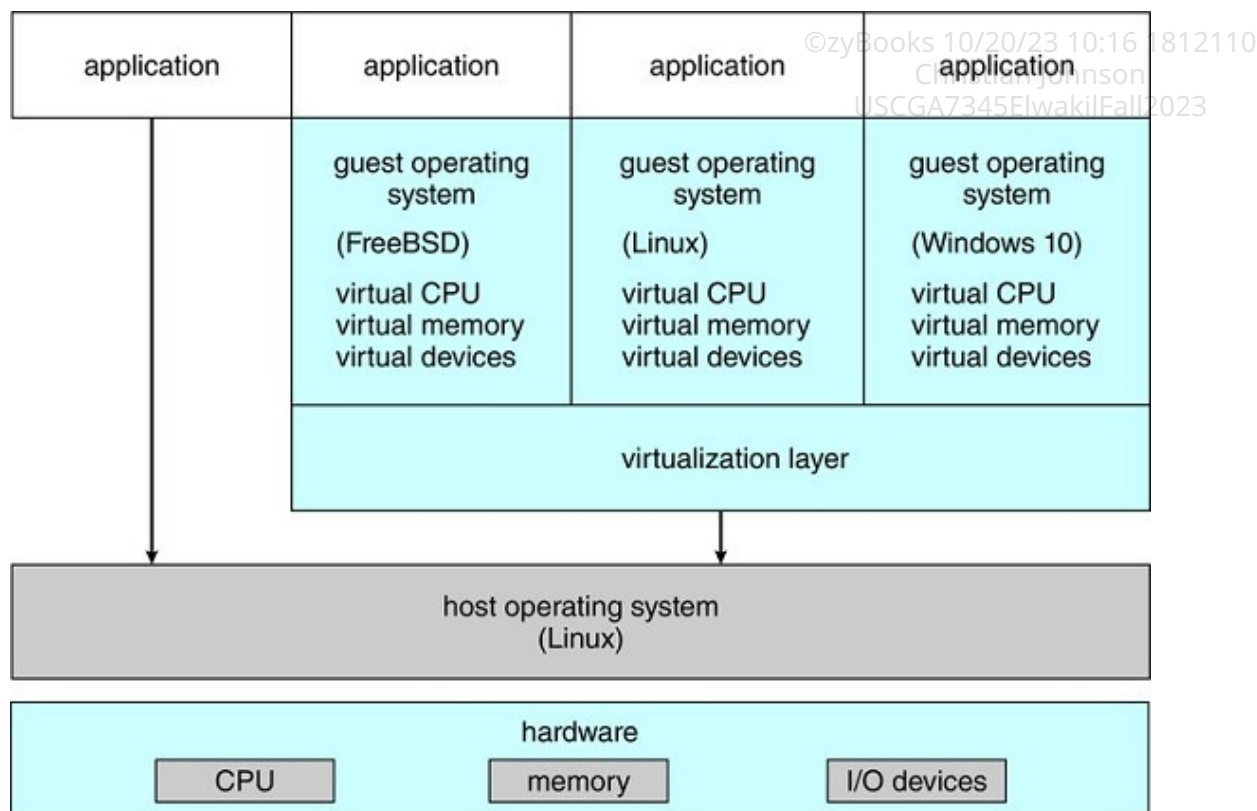
VMware

VMware Workstation is a popular commercial application that abstracts Intel x86 and compatible hardware into isolated virtual machines. VMware Workstation is a prime example of a Type 2 hypervisor. It runs as an application on a host operating system such as Windows or Linux and allows this host system to run several different guest operating systems concurrently as independent virtual machines.

The architecture of such a system is shown in Figure [18.7.1](#). In this scenario, Linux is running as the host operating system, and FreeBSD, WinNT, and WinXP are running as guest operating systems. At the heart of VMware is the virtualization layer, which abstracts the physical hardware

into isolated virtual machines running as guest operating systems. Each virtual machine has its own virtual CPU, memory, disk drives, network interfaces, and so forth.

Figure 18.7.1: VMware Workstation architecture.



The physical disk that the guest owns and manages is really just a file within the file system of the host operating system. To create an identical guest, we can simply copy the file. Copying the file to another location protects the guest against a disaster at the original site. Moving the file to another location moves the guest system. Such capabilities, as explained earlier, can improve the efficiency of system administration as well as system resource use.

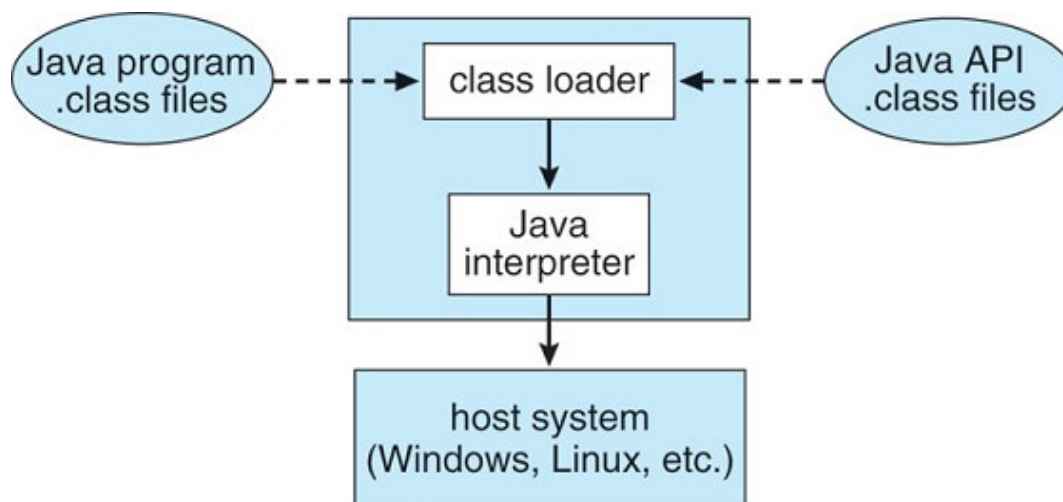
The java virtual machine

Java is a popular object-oriented programming language introduced by Sun Microsystems in 1995. In addition to a language specification and a large API library, Java provides a specification for a Java virtual machine, or JVM. Java therefore is an example of programming-environment virtualization, as discussed in Section Programming-environment virtualization.

Java objects are specified with the `class` construct; a Java program consists of one or more classes. For each Java class, the compiler produces an architecture-neutral **bytecode** output (`.class`) file that will run on any implementation of the JVM.

The JVM is a specification for an abstract computer. It consists of a **class loader** and a Java interpreter that executes the architecture-neutral bytecodes, as diagrammed in Figure 18.7.2. The class loader loads the compiled `.class` files from both the Java program and the Java API for execution by the Java interpreter. After a class is loaded, the verifier checks that the `.class` file is valid Java bytecode and that it does not overflow or underflow the stack. It also ensures that the bytecode does not perform pointer arithmetic, which could provide illegal memory access. If the class passes verification, it is run by the Java interpreter. The JVM also automatically manages memory by performing **garbage collection**—the practice of reclaiming memory from objects no longer in use and returning it to the system. Much research focuses on garbage collection algorithms for increasing the performance of Java programs in the virtual machine.

Figure 18.7.2: The Java virtual machine.



The JVM may be implemented in software on top of a host operating system, such as Windows, Linux, or Mac, or as part of a web browser. Alternatively, the JVM may be implemented in hardware on a chip specifically designed to run Java programs. If the JVM is implemented in software, the Java interpreter interprets the bytecode operations one at a time. A faster software technique is to use a **just-in-time (JIT)** compiler. Here, the first time a Java method is invoked, the bytecodes for the method are turned into native machine language for the host system. These operations are then cached so that subsequent invocations of a method are performed using the native machine instructions, and the bytecode operations need not be interpreted all over again. Running the JVM in hardware is potentially even faster. Here, a special Java chip executes the Java bytecode operations as native code, thus bypassing the need for either a software interpreter or a just-in-time compiler.





1) VMware Workstation is a _____ hypervisor.

- ☐ Type 0
- ☐ Type 1
- ☐ Type 2

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Section glossary

VMware Workstation: A popular commercial type 2 hypervisor for x86 Windows systems.

bytecode: A computer object code resulting from compiling a program in a language (such as Java) that runs on a virtual machine.

class loader: In Java, a helper component that loads .class files for execution by the Java virtual machine.

garbage collection: In general, recovery of space containing no-longer-valid data.

just-in-time (JIT): In Java virtual machine implementations, describes a compiler that converts bytecode to native CPU instructions the first time the bytecode is interpreted to speed later execution.

18.8 Virtualization research

As mentioned earlier, machine virtualization has enjoyed growing popularity in recent years as a means of solving system compatibility problems. Research has expanded to cover many other uses of machine virtualization, including support for microservices running on library operating systems and secure partitioning of resources in embedded systems. Consequently, quite a lot of interesting, active research is underway.

Frequently, in the context of cloud computing, the same application is run on thousands of systems. To better manage those deployments, they can be virtualized. But consider the execution stack in that case—the application on top of a service-rich general-purpose operating system within a virtual machine managed by a hypervisor. Projects like **unikernels**, built on **library operating systems**, aim to improve efficiency and security in these environments. Unikernels are specialized machine images, using one address space, that shrink the attack surface and resource footprint of

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deployed applications. In essence, they compile the application, the system libraries it calls, and the kernel services it uses into a single binary that runs within a virtual environment (or even on bare metal). While research into changing how operating system kernels, hardware, and applications interact is not new (see <https://pdos.csail.mit.edu/6.828/2005/readings/engler95exokernel.pdf>, for example), cloud computing and virtualization have created renewed interest in the area. See <http://unikernel.org> for more details.

The virtualization instructions in modern CPUs have given rise to a new branch of virtualization research focusing not on more efficient use of hardware but rather on better control of processes. Partitioning hypervisors partition the existing machine physical resources amongst guests, thereby fully committing rather than overcommitting machine resources. Partitioning hypervisors can securely extend the features of an existing operating system via functionality in another operating system (run in a separate guest VM domain), running on a subset of machine physical resources. This avoids the tedium of writing an entire operating system from scratch. For example, a Linux system that lacks real-time capabilities for safety- and security-critical tasks can be extended with a lightweight real-time operating system running in its own virtual machine. Traditional hypervisors have higher overhead than running native tasks, so a new type of hypervisor is needed.

Each task runs within a virtual machine, but the hypervisor only initializes the system and starts the tasks and is not involved with continuing operation. Each virtual machine has its own allocated hardware and is free to manage that hardware without interference from the hypervisor. Because the hypervisor does not interrupt task operations and is not called by the tasks, the tasks can have real-time aspects and can be much more secure.

Within the class of partitioning hypervisors are the **Quest-V**, **eVM**, **Xtratum** and **Siemens Jailhouse** projects. These are **separation hypervisors** (see <http://www.csl.sri.com/users/rushby/papers/sosp81.pdf>) that use virtualization to partition separate system components into a chip-level distributed system. Secure shared memory channels are then implemented using hardware extended page tables so that separate sandboxed guests can communicate with one another. The targets of these projects are areas such as robotics, self-driving cars, and the Internet of Things. See <https://www.cs.bu.edu/richwest/papers/west-tocs16.pdf> for more details.

**PARTICIPATION
ACTIVITY**

18.8.1: Section review question.



1) _____ divide existing machine physical resources among guest systems.



- ☐ Unikernels
- ☐ Partitioning hypervisors
- ☐ Library operating systems

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Section glossary

unikernels: Specialized machine images that contain both an operating system and applications for efficient execution and increased security.

library operating systems: The applications that run on unikernels, containing both the kernel and the application code.

Quest-V: An example of a partitioning hypervisor.

eVM: An example of a partitioning hypervisor.

Xtratum: An example of a partitioning hypervisor.

Siemens Jailhouse: An example of a partitioning hypervisor.

separation hypervisor: An experimental system that uses virtualization to partition separate system components into a chip-level distributed computing system.

18.9 Summary

- Virtualization is a method for providing a guest with a duplicate of a system's underlying hardware. Multiple guests can run on a given system, each believing that it is the native operating system and is in full control.
- Virtualization started as a method to allow IBM to segregate users and provide them with their own execution environments on IBM mainframes. Since then, thanks to improvements in system and CPU performance and innovative software techniques, virtualization has become a common feature in data centers and even on personal computers. Because of its popularity, CPU designers have added features to support virtualization. This snowball effect is likely to continue, with virtualization and its hardware support increasing over time.
- The virtual machine manager, or hypervisor, creates and runs the virtual machine. Type 0 hypervisors are implemented in the hardware and require modifications to the operating system to ensure proper operation. Some type 0 hypervisors offer an example of paravirtualization, in which the operating system is aware of virtualization and assists in its execution.
- Type 1 hypervisors provide the environment and features needed to create, run, and manage guest virtual machines. Each guest includes all of the software typically associated with a full native system, including the operating system, device drivers, applications, user accounts, and so on.

- Type 2 hypervisors are simply applications that run on other operating systems, which do not know that virtualization is taking place. These hypervisors do not have hardware or host support so must perform all virtualization activities in the context of a process.
- Programming-environment virtualization is part of the design of a programming language. The language specifies a containing application in which programs run, and this application provides services to the programs.
- Emulation is used when a host system has one architecture and the guest was compiled for a different architecture. Every instruction the guest wants to execute must be translated from its instruction set to that of the native hardware. Although this method involves some performance penalty, it is balanced by the usefulness of being able to run old programs on newer, incompatible hardware or run games designed for old consoles on modern hardware.
- Implementing virtualization is challenging, especially when hardware support is minimal. The more features provided by the system, the easier virtualization is to implement and the better the performance of the guests.
- VMMs take advantage of whatever hardware support is available when optimizing CPU scheduling, memory management, and I/O modules to provide guests with optimum resource use while protecting the VMM from the guests and the guests from one another.
- Current research is extending the uses of virtualization. Unikernels aim to increase efficiency and decrease security attack surface by compiling an application, its libraries, and the kernel resources the application needs into one binary with one address space that runs within a virtual machine. Partitioning hypervisors provide secure execution, real-time operation, and other features traditionally only available to applications running on dedicated hardware.

18.10 Exercises



EXERCISE

18.10.1: (Problem 18.1 in the 10th edition).



- (a) Describe the three types of traditional hypervisors.



EXERCISE

18.10.2: (Problem 18.2 in the 10th edition).



- (a) Describe four virtualization-like execution environments, and explain how they differ from "true" virtualization.



EXERCISE

18.10.3: (Problem 18.3 in the 10th edition).



- (a) Describe four benefits of virtualization.

**EXERCISE**

18.10.4: (Problem 18.4 in the 10th edition).



- (a) Why are VMMs unable to implement trap-and-emulate-based virtualization on some CPUs? Lacking the ability to trap and emulate, what method can a VMM use to implement virtualization?

**EXERCISE**

18.10.5: (Problem 18.5 in the 10th edition).



- (a) What hardware assistance for virtualization can be provided by modern CPUs?

**EXERCISE**

18.10.6: (Problem 18.6 in the 10th edition).



- (a) Why is live migration possible in virtual environments but much less possible for a native operating system?

18.11 Further reading

The original IBM virtual machine is described in [Meyer and Seawright (1970)]. [Popek and Goldberg (1974)] established the characteristics that help define VMMs. Methods of implementing virtual machines are discussed in [Agesen et al. (2010)].

Intel x86 hardware virtualization support is described in [Neiger et al. (2006)]. AMD hardware virtualization support is described in a white paper available at <http://developer.amd.com/assets/NPT-WP-1%201-final-TM.pdf>.

Memory management in VMware is described in [Waldspurger (2002)]. [Gordon et al. (2012)] propose a solution to the problem of I/O overhead in virtualized environments. Some protection challenges and attacks in virtual environments are discussed in [Wojtczuk and Ruthkowska (2011)].

For early work on alternative kernel designs, see <https://pdos.csail.mit.edu/6.828/2005/readings/engler95exokernel.pdf>. For more on unikernels, see [West et al. (2016)] and <http://unikernel.org>. Partitioning hypervisors are discussed in <http://ethdocs.org/en/latest/introduction/what-is-ethereum.html>, and <https://lwn.net/Articles/578295> and [Madhavapeddy et al. (2013)]. Quest-V, a separation hypervisor, is detailed in <http://www.csl.sri.com/users/rushby/papers/sosp81.pdf> and <https://www.cs.bu.edu/richwest/papers/west-tocs16.pdf>.

The open-source **VirtualBox** project is available from <http://www.virtualbox.org>. The source code for LXC is available at <https://linuxcontainers.org/lxc/downloads>.

For more on docker, see <https://www.docker.com/what-docker>. Information about Kubernetes can be found at <https://kubernetes.io/docs/concepts/overview/what-is-kubernetes>.

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