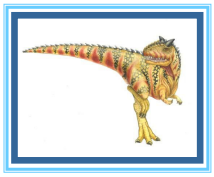
# Appendix A: FreeBSD





## Module A: The FreeBSD System

- UNIX History
- Design Principles
- Programmer Interface
- User Interface
- Process Management
- Memory Management
- File System
- I/O System
- Interprocess Communication

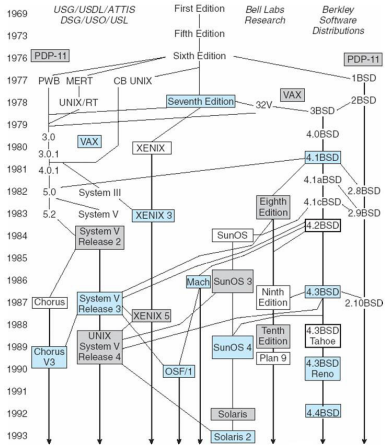


## UNIX History

- First developed in 1969 by Ken Thompson and Dennis Ritchie of the Research Group at Bell Laboratories; incorporated features of other operating systems, especially MULTICS
- The third version was written in C, which was developed at Bell Labs specifically to support UNIX
- The most influential of the non-Bell Labs and non-AT&T UNIX development groups — University of California at Berkeley (Berkeley Software Distributions - **BSD**)
  - 4BSD UNIX resulted from DARPA funding to develop a standard UNIX system for government use
  - Developed for the VAX, 4.3BSD is one of the most influential versions, and has been ported to many other platforms
- Several standardization projects seek to consolidate the variant flavors of UNIX leading to one programming interface to UNIX



## History of UNIX Versions






## Early Advantages of UNIX

- Written in a high-level language
- Distributed in source form
- Provided powerful operating-system primitives on an inexpensive platform
- Small size, modular, clean design



## UNIX Design Principles

- Designed to be a time-sharing system
- Has a simple standard user interface (shell) that can be replaced
- File system with multilevel tree-structured directories
- Files are supported by the kernel as unstructured sequences of bytes
- Supports multiple processes; a process can easily create new processes
- High priority given to making system interactive, and providing facilities for program development

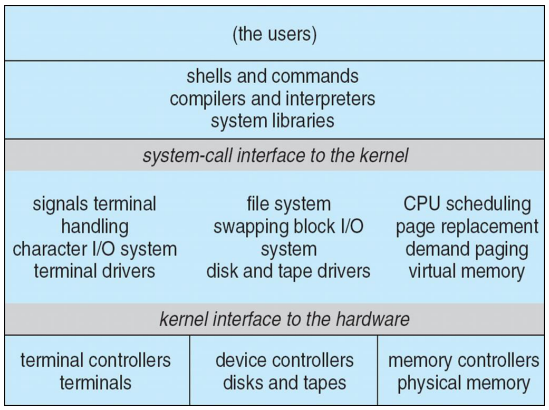
# Programmer Interface

Like most computer systems, UNIX consists of two separable parts:

- Kernel: everything below the system-call interface and above the physical hardware
  - Provides file system, CPU scheduling, memory management, and other OS functions through system calls
- Systems programs: use the kernel-supported system calls to provide useful functions, such as compilation and file manipulation



# 4.4BSD Layer Structure






# System Calls

- System calls define the programmer interface to UNIX
- The set of systems programs commonly available defines the user interface
- The programmer and user interface define the context that the kernel must support
- Roughly three categories of system calls in UNIX
  - File manipulation (same system calls also support device manipulation)
  - Process control
  - Information manipulation

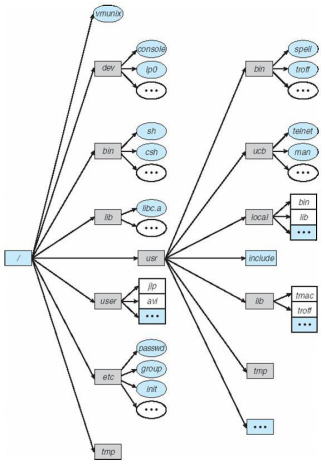


# File Manipulation

- A **file** is a sequence of bytes; the kernel does not impose a structure on files
- Files are organized in tree-structured **directories**
- Directories are files that contain information on how to find other files
- **Path name**: identifies a file by specifying a path through the directory structure to the file
  - Absolute path names start at root of file system
  - Relative path names start at the current directory
- System calls for basic file manipulation: `create`, `open`, `read`, `write`, `close`, `unlink`, `trunc`



# Typical UNIX Directory Structure

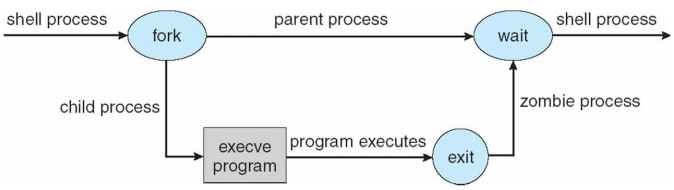





# Process Control

- A process is a program in execution.
- Processes are identified by their process identifier, an integer
- Process control system calls
  - `fork` creates a new process
  - `execve` is used after a fork to replace on of the two processes's virtual memory space with a new program
  - exit terminates a process
  - A parent may `wait` for a child process to terminate; `wait` provides the process id of a terminated child so that the parent can tell which child terminated
  - `wait3` allows the parent to collect performance statistics about the child
- A **zombie** process results when the parent of a **defunct** child process exits before the terminated child.

# Illustration of Process Control Calls






# Process Control (Cont.)

- Processes communicate via pipes; queues of bytes between two processes that are accessed by a file descriptor
- All user processes are descendants of one original process, *init*
- *init* forks a *getty* process: initializes terminal line parameters and passes the user's *login name* to *login*
  - *login* sets the numeric *user identifier* of the process to that of the user
  - executes a **shell** which forks subprocesses for user commands



# Process Control (Cont.)

- **setuid** bit sets the effective user identifier of the process to the user identifier of the owner of the file, and leaves the *real user identifier* as it was
- **setuid** scheme allows certain processes to have more than ordinary privileges while still being executable by ordinary users



# Signals

- Facility for handling exceptional conditions similar to software interrupts
- The **interrupt** signal, `SIGINT`, is used to stop a command before that command completes (usually produced by ^C)
- Signal use has expanded beyond dealing with exceptional events
  - Start and stop subprocesses on demand
  - `SIGWINCH` informs a process that the window in which output is being displayed has changed size
  - Deliver urgent data from network connections



# Process Groups

- Set of related processes that cooperate to accomplish a common task
- Only one process group may use a terminal device for I/O at any time
  - The foreground job has the attention of the user on the terminal
  - Background jobs – nonattached jobs that perform their function without user interaction
- Access to the terminal is controlled by process group signals



# Process Groups (Cont.)

- Each job inherits a controlling terminal from its parent
  - If the process group of the controlling terminal matches the group of a process, that process is in the foreground
  - `SIGTTIN` or `SIGTTOU` freezes a background process that attempts to perform I/O; if the user foregrounds that process, `SIGCONT` indicates that the process can now perform I/O
  - `SIGSTOP` freezes a foreground process

## Information Manipulation

- System calls to set and return an interval timer: `getitmer/setitmer`
- Calls to set and return the current time: `gettimeofday/settimeofday`
- Processes can ask for
  - their process identifier: `getpid`
  - their group identifier: `getgid`
  - the name of the machine on which they are executing: `gethostname`



## Library Routines

- The system-call interface to UNIX is supported and augmented by a large collection of library routines
- Header files provide the definition of complex data structures used in system calls
- Additional library support is provided for mathematical functions, network access, data conversion, etc.



## User Interface

- Programmers and users mainly deal with already existing systems programs: the needed system calls are embedded within the program and do not need to be obvious to the user.
- The most common systems programs are file or directory oriented
  - Directory: `mkdir, rmdir, cd, pwd`
  - File: `ls, cp, mv, rm`
- Other programs relate to editors (e.g., `emacs, vi`) text formatters (e.g., `troff, TEX`), and other activities



## Shells and Commands

- **Shell** – the user process which executes programs (also called command interpreter)
- Called a shell, because it surrounds the kernel
- The shell indicates its readiness to accept another command by typing a prompt, and the user types a command on a single line
- A typical command is an executable binary object file
- The shell travels through the *search path* to find the command file, which is then loaded and executed
- The directories `/bin` and `/usr/bin` are almost always in the search path



## Shells and Commands (Cont.)

- Typical search path on a BSD system:

  ( `./home/prof/avi/bin /usr/local/bin /usr/ucb/bin /usr/bin` )

- The shell usually suspends its own execution until the command completes



## Standard I/O

- Most processes expect three file descriptors to be open when they start:
  - *standard input* – program can read what the user types
  - *standard output* – program can send output to user's screen
  - *standard error* – error output
- Most programs can also accept a file (rather than a terminal) for standard input and standard output
- The common shells have a simple syntax for changing what files are open for the standard I/O streams of a process — I/O *redirection*

## Standard I/O Redirection

| command | meaning of command |
|---|---|
| % *ls* > *filea* | direct output of *ls* to file *filea* |
| % *pr* < *filea* > *fileb* | input from *filea* and output to *fileb* |
| % *lpr* < *fileb* | input from *fileb* |
| % % make program > & errs | save both standard output and standard error in a file |



## Pipelines, Filters, and Shell Scripts

- Can coalesce individual commands via a vertical bar that tells the shell to pass the previous command's output as input to the following command

```
% ls | pr | lpr
```

- Filter – a command such as pr that passes its standard input to its standard output, performing some processing on it
- Writing a new shell with a different syntax and semantics would change the user view, but not change the kernel or programmer interface
- X Window System is a widely accepted iconic interface for UNIX



## Process Management

- Representation of processes is a major design problem for operating system
- UNIX is distinct from other systems in that multiple processes can be created and manipulated with ease
- These processes are represented in UNIX by various control blocks
  - Control blocks associated with a process are stored in the kernel
  - Information in these control blocks is used by the kernel for process control and CPU scheduling



## Process Control Blocks

- The most basic data structure associated with processes is the **process structure**
  - unique process identifier
  - scheduling information (e.g., priority)
  - pointers to other control blocks
- The **virtual address space** of a user process is divided into text (program code), data, and stack segments
- Every process with sharable text has a pointer form its process structure to a **text structure**
  - always resident in main memory
  - records how many processes are using the text segment
  - records were the page table for the text segment can be found on disk when it is swapped

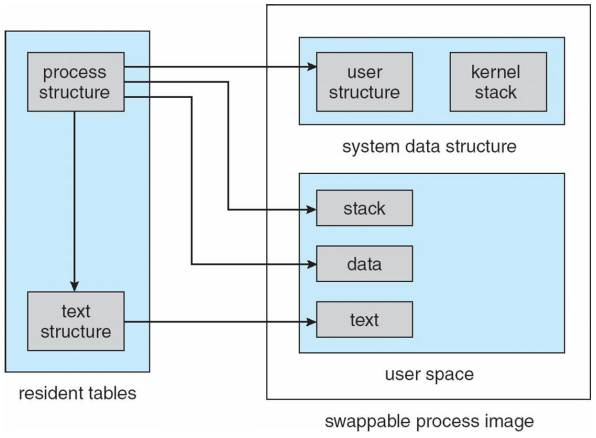


## System Data Segment

- Most ordinary work is done in **user mode**; system calls are performed in **system mode**
- The system and user phases of a process never execute simultaneously
- A **kernel stack** (rather than the user stack) is used for a process executing in system mode
- The kernel stack and the user structure together compose the **system data** segment for the process



## Finding parts of a process using process structure



## Allocating a New Process Structure

- Fork allocates a new process structure for the child process, and copies the user structure
  - new page table is constructed
  - new main memory is allocated for the data and stack segments of the child process
  - copying the user structure preserves open file descriptors, user and group identifiers, signal handling, etc.



## Allocating a New Process Structure (Cont.)

- `vfork` does *not* copy the data and stack to t he new process; the new process simply shares the page table of the old one
  - new user structure and a new process structure are still created
  - commonly used by a shell to execute a command and to wait for its completion
- A parent process uses `vfork` to produce a child process; the child uses `execve` to change its virtual address space, so there is no need for a copy of the parent
- Using `vfork` with a large parent process saves CPU time, but can be dangerous since any memory change occurs in both processes until `execve` occurs
- `execve` creates no new process or user structure; rather the text and data of the process are replaced



## CPU Scheduling

- Every process has a **scheduling priority** associated with it; larger numbers indicate lower priority
- Negative feedback in CPU scheduling makes it difficult for a single process to take all the CPU time
- Process aging is employed to prevent starvation
- When a process chooses to relinquish the CPU, it goes to **sleep** on an **event**
- When that event occurs, the system process that knows about it calls `wakeup` with the address corresponding to the event, and *all* processes that had done a *sleep* on the same address are put in the ready queue to be run



## Memory Management

- The initial memory management schemes were constrained in size by the relatively small memory resources of the PDP machines on which UNIX was developed.
- Pre 3BSD system use swapping exclusively to handle memory contention among processes: If there is too much contention, processes are swapped out until enough memory is available
- Allocation of both main memory and swap space is done first-fit



## Memory Management (Cont.)

- Sharable text segments do not need to be swapped; results in less swap traffic and reduces the amount of main memory required for multiple processes using the same text segment.
- The *scheduler process* (or *swapper*) decides which processes to swap in or out, considering such factors as time idle, time in or out of main memory, size, etc.



## Paging

- Berkeley UNIX systems depend primarily on paging for memory-contention management, and depend only secondarily on swapping.
- **Demand paging** – When a process needs a page and the page is not there, a page fault tot he kernel occurs, a frame of main memory is allocated, and the proper disk page is read into the frame.
- A `pagedaemon` process uses a modified second-chance page-replacement algorithm to keep enough free frames to support the executing processes.
- If the scheduler decides that the paging system is overloaded, processes will be swapped out whole until the overload is relieved.

# File System

- The UNIX file system supports two main objects: files and directories.
- Directories are just files with a special format, so the representation of a file is the basic UNIX concept.



# Blocks and Fragments

- Most of the file system is taken up by *data blocks*
- 4.2BSD uses *two* block sized for files which have no indirect blocks:
  - All the blocks of a file are of a large *block* size (such as 8K), except the last
  - The last block is an appropriate multiple of a smaller *fragment size* (i.e., 1024) to fill out the file
  - Thus, a file of size 18,000 bytes would have two 8K blocks and one 2K fragment (which would not be filled completely)



# Blocks and Fragments (Cont.)

- The **block** and **fragment** sizes are set during file-system creation according to the intended use of the file system:
  - If many small files are expected, the fragment size should be small
  - If repeated transfers of large files are expected, the basic block size should be large
- The maximum block-to-fragment ratio is 8 : 1; the minimum block size is 4K (typical choices are 4096 : 512 and 8192 : 1024)



# Inodes

- A file is represented by an **inode** — a record that stores information about a specific file on the disk
- The inode also contains 15 pointer to the disk blocks containing the file's data contents
  - First 12 point to **direct blocks**
  - Next three point to **indirect blocks**
    - First indirect block pointer is the address of a **single indirect block** — an index block containing the addresses of blocks that do contain data
    - Second is a **double-indirect-block** pointer, the address of a block that contains the addresses of blocks that contain pointer to the actual data blocks.
    - A **triple indirect** pointer is not needed; files with as many as 232 bytes will use only double indirection



# Directories

- The inode type field distinguishes between plain files and directories
- Directory entries are of variable length; each entry contains first the length of the entry, then the file name and the inode number
- The user refers to a file by a path name,whereas the file system uses the inode as its definition of a file
  - The kernel has to map the supplied user path name to an inode
  - Directories are used for this mapping



# Directories (Cont.)

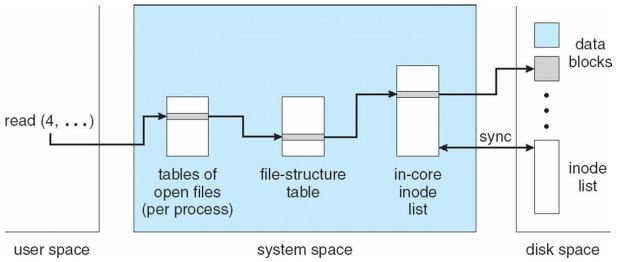
- First determine the starting directory:
  - If the first character is "/", the starting directory is the root directory
  - For any other starting character, the starting directory is the current directory
- The search process continues until the end of the path name is reached and the desired inode is returned
- Once the inode is found, a file structure is allocated to point to the inode
- 4.3BSD improved file system performance by adding a directory name cache to hold recent directory-to-inode translations

## Mapping of a File Descriptor to an Inode

- System calls that refer to open files indicate the file is passing a file descriptor as an argument
- The file descriptor is used by the kernel to index a table of open files for the current process
- Each entry of the table contains a pointer to a file structure
- This file structure in turn points to the inode
- Since the open file table has a fixed length which is only setable at boot time, there is a fixed limit on the number of concurrently open files in a system



## File-System Control Blocks






## Disk Structures

- The one file system that a user ordinarily sees may actually consist of several physical file systems, each on a different device
- Partitioning a physical device into multiple file systems has several benefits
  - Different file systems can support different uses
  - Reliability is improved
  - Can improve efficiency by varying file-system parameters
  - Prevents one program form using all available space for a large file
  - Speeds up searches on backup tapes and restoring partitions from tape

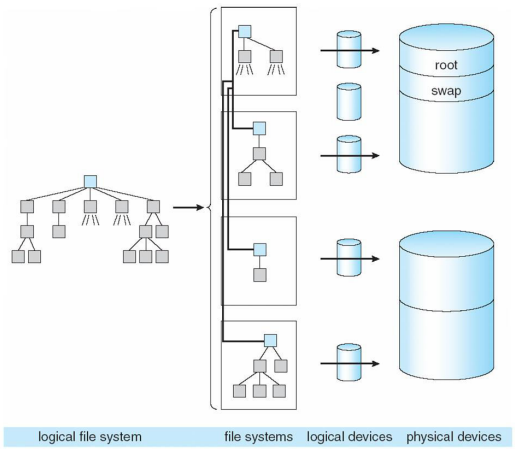


## Disk Structures (Cont.)

- The *root file* system is always available on a drive
- Other file systems may be **mounted** — i.e., integrated into the directory hierarchy of the root file system
- The following figure illustrates how a directory structure is partitioned into file systems, which are mapped onto logical devices, which are partitions of physical devices



## Mapping File System to Physical Devices






## Implementations

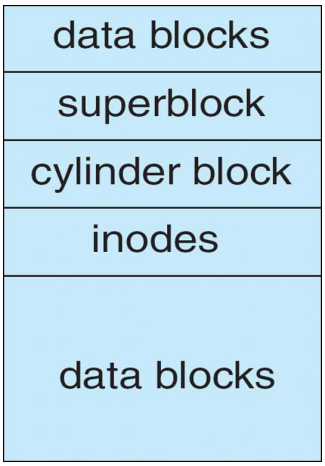
- The user interface to the file system is simple and well defined, allowing the implementation of the file system itself to be changed without significant effect on the user
- For Version 7, the size of inodes doubled, the maximum file and file system sized increased, and the details of free-list handling and superblock information changed
- In 4.0BSD, the size of blocks used in the file system was increased form 512 bytes to 1024 bytes — increased internal fragmentation, but doubled throughput
- 4.2BSD added the Berkeley Fast File System, which increased speed, and included new features
  - New directory system calls
  - `truncate` calls
  - Fast File System found in most implementations of UNIX

## Layout and Allocation Policy

- The kernel uses a <*logical device number, inode number*> pair to identify a file
  - The logical device number defines the file system involved
  - The inodes in the file system are numbered in sequence
- 4.3BSD introduced the *cylinder group* — allows localization of the blocks in a file
  - Each cylinder group occupies one or more consecutive cylinders of the disk, so that disk accesses within the cylinder group require minimal disk head movement
  - Every cylinder group has a superblock, a cylinder block, an array of inodes, and some data blocks



## 4.3BSD Cylinder Group






## I/O System

- The I/O system hides the peculiarities of I/O devices from the bulk of the kernel
- Consists of a buffer caching system, general device driver code, and drivers for specific hardware devices
- Only the device driver knows the peculiarities of a specific device



## 4.3 BSD Kernel I/O Structure

<table>
<tr><td colspan="6">system-call interface to the kernel</td></tr>
<tr><td>socket</td><td>plain file</td><td rowspan="2">cooked block interface</td><td rowspan="2">raw block interface</td><td rowspan="2">raw tty interface</td><td>cooked TTY</td></tr>
<tr><td>protocols</td><td>file system</td><td>line discipline</td></tr>
<tr><td>network interface</td><td colspan="3">block-device driver</td><td colspan="2">character-device driver</td></tr>
<tr><td colspan="6">the hardware</td></tr>
</table>



## Block Buffer Cache

- Consist of buffer headers, each of which can point to a piece of physical memory, as well as to a device number and a block number on the device.
- The buffer headers for blocks not currently in use are kept in several linked lists:
  - Buffers recently used, linked in LRU order (LRU list)
  - Buffers not recently used, or without valid contents (AGE list)
  - EMPTY buffers with no associated physical memory
- When a block is wanted from a device, the cache is searched.
- If the block is found it is used, and no I/O transfer is necessary.
- If it is not found, a buffer is chosen from the AGE list, or the LRU list if AGE is empty.



## Block Buffer Cache (Cont.)

- Buffer cache size effects system performance; if it is large enough, the percentage of cache hits can be high and the number of actual I/O transfers low.
- Data written to a disk file are buffered in the cache, and the disk driver sorts its output queue according to disk address — these actions allow the disk driver to minimize disk head seeks and to write data at times optimized for disk rotation.

## Raw Device Interfaces

- Almost every block device has a character interface, or *raw device interface* — unlike the block interface, it bypasses the block buffer cache.
- Each disk driver maintains a queue of pending transfers.
- Each record in the queue specifies:
  - whether it is a read or a write
  - a main memory address for the transfer
  - a device address for the transfer
  - a transfer size
- It is simple to map the information from a block buffer to what is required for this queue.



## C-Lists

- Terminal drivers use a character buffering system which involves keeping small blocks of characters in linked lists.
- A `write` system call to a terminal enqueues characters on a list for the device. An initial transfer is started, and interrupts cause dequeueing of characters and further transfers.
- Input is similarly interrupt driven
- It is also possible to have the device driver bypass the canonical queue and return characters directly form the raw queue — *raw mode* (used by full-screen editors and other programs that need to react to every keystroke).



## Interprocess Communication

- The *pipe* is the IPC mechanism most characteristic of UNIX
  - Permits a reliable unidirectional byte stream between two processes
  - A benefit of pipes small size is that pipe data are seldom written to disk; they usually are kept in memory by the normal block buffer cache
- In 4.3BSD, pipes are implemented as a special case of the **socket** mechanism which provides a general interface not only to facilities such as pipes, which are local to one machine, but also to networking facilities.
- The socket mechanism can be used by unrelated processes.



## Sockets

- A socket is an endpont of communication.
- An in-use socket it usually bound with an address; the nature of the address depends on the **communication domain** of the socket.
- A characteristic property of a domain is that processes communication in the same domain use the same **address format**.
- A single socket can communicate in only one domain — the three domains currently implemented in 4.3BSD are:
  - the UNIX domain (AF_UNIX)
  - the Internet domain (AF_INET)
  - the XEROX Network Service (NS) domain (AF_NS)



## Socket Types

- *Stream sockets* provide reliable, duplex, sequenced data streams. Supported in Internet domain by the TCP protocol. In UNIX domain, pipes are implemented as a pair of communicating stream sockets.
- **Sequenced packet sockets** provide similar data streams, except that record boundaries are provided
  - Used in XEROX AF_NS protocol
- **Datagram sockets** transfer messages of variable size in either direction. Supported in Internet domain by UDP protocol.
- **Reliably delivered message sockets** transfer messages that are guaranteed to arrive (Currently unsupported).
- **Raw sockets** allow direct access by processes to the protocols that support the other socket types; e.g., in the Internet domain, it is possible to reach TCP, IP beneath that, or a deeper Ethernet protocol
  - Useful for developing new protocols



## Socket System Calls

- The `socket` call creates a socket; takes as arguments specifications of the communication domain, socket type, and protocol to be used and returns a small integer called a **socket descriptor**.
- A name is bound to a socket by the `bind` system call.
- The `connect` system call is used to initiate a connection.
- A server process uses `socket` to create a socket and `bind` to bind the well-known address of its service to that socket
  - Uses `listen` to tell the kernel that it is ready to accept connections from clients
  - Uses `accept` to accept individual connections
  - Uses `fork` to produce a new process after the `accept` to service the client while the original server process continues to listen for more connections

## Socket System Calls (Cont.)

- The simplest way to terminate a connection and to destroy the associated socket is to use the `close` system call on its socket descriptor.
- The `select` system call can be used to multiplex data transfers on several file descriptors and /or socket descriptors.



## Network Support

- Networking support is one of the most important features in 4.3BSD.
- The socket concept provides the programming mechanism to access other processes, even across a network.
- Sockets provide an interface to several sets of protocols.
- Almost all current UNIX systems support UUCP.
- 4.3BSD supports the DARPA Internet protocols UDP, TCP, IP, and ICMP on a wide range of Ethernet, token-ring, and ARPANET interfaces.
- The 4.3BSD networking implementation, and to a certain extent the socket facility, is more oriented toward the ARPANET Reference Model (ARM).

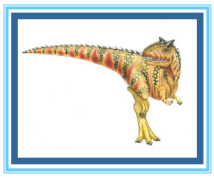


## Network Reference models and Layering

| ISO reference model | ARPANET reference model | 4.2BSD layers | example layering |
|---|---|---|---|
| application | process applications | user programs and libraries | telnet |
| presentation | | | |
| session transport | | sockets | sock_stream |
| | host–host | protocol | TCP |
| network data link | | | IP |
| | network interface | network interfaces | Ethernet driver |
| hardware | | | |
| | network hardware | network hardware | interlan controller |

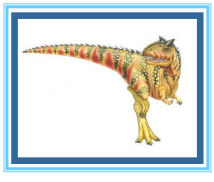


# End of Appendix A





# Chapter 1: Introduction





## Chapter 1: Introduction

- What Operating Systems Do
- Computer-System Organization
- Computer-System Architecture
- Operating-System Structure
- Operating-System Operations
- Process Management
- Memory Management
- Storage Management
- Protection and Security
- Kernel Data Structures
- Computing Environments
- Open-Source Operating Systems

# Objectives

- To describe the basic organization of computer systems
- To provide a grand tour of the major components of operating systems
- To give an overview of the many types of computing environments
- To explore several open-source operating systems



# What is an Operating System?

- A program that acts as an intermediary between a user of a computer and the computer hardware
- Operating system goals:
  - Execute user programs and make solving user problems easier
  - Make the computer system convenient to use
  - Use the computer hardware in an efficient manner

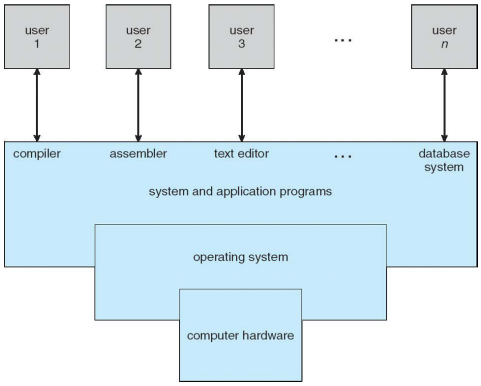


# Computer System Structure

- Computer system can be divided into four components:
  - Hardware – provides basic computing resources
    - CPU, memory, I/O devices
  - Operating system
    - Controls and coordinates use of hardware among various applications and users
  - Application programs – define the ways in which the system resources are used to solve the computing problems of the users
    - Word processors, compilers, web browsers, database systems, video games
  - Users
    - People, machines, other computers



# Four Components of a Computer System






# What Operating Systems Do

- Depends on the point of view
- Users want convenience, **ease of use** and **good performance**
  - Don't care about **resource utilization**
- But shared computer such as **mainframe** or **minicomputer** must keep all users happy
- Users of dedicate systems such as **workstations** have dedicated resources but frequently use shared resources from **servers**
- Handheld computers are resource poor, optimized for usability and battery life
- Some computers have little or no user interface, such as embedded computers in devices and automobiles



# Operating System Definition

- OS is a **resource allocator**
  - Manages all resources
  - Decides between conflicting requests for efficient and fair resource use
- OS is a **control program**
  - Controls execution of programs to prevent errors and improper use of the computer

## Operating System Definition (Cont.)

- No universally accepted definition
- "Everything a vendor ships when you order an operating system" is a good approximation
  - But varies wildly
- "The one program running at all times on the computer" is the **kernel**.
- Everything else is either
  - a system program (ships with the operating system) , or
  - an application program.



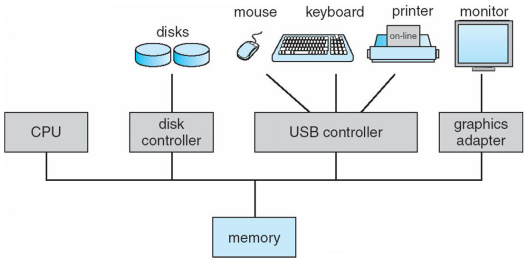
## Computer Startup

- **bootstrap program** is loaded at power-up or reboot
  - Typically stored in ROM or EPROM, generally known as **firmware**
  - Initializes all aspects of system
  - Loads operating system kernel and starts execution



## Computer System Organization

- Computer-system operation
  - One or more CPUs, device controllers connect through common bus providing access to shared memory
  - Concurrent execution of CPUs and devices competing for memory cycles






## Computer-System Operation

- I/O devices and the CPU can execute concurrently
- Each device controller is in charge of a particular device type
- Each device controller has a local buffer
- CPU moves data from/to main memory to/from local buffers
- I/O is from the device to local buffer of controller
- Device controller informs CPU that it has finished its operation by causing an interrupt



## Common Functions of Interrupts

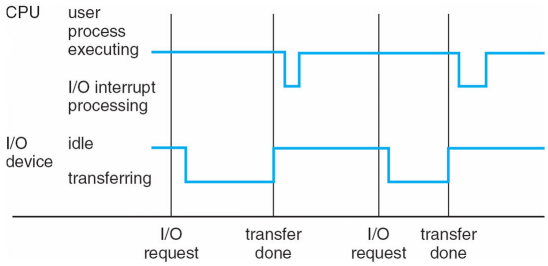
- Interrupt transfers control to the interrupt service routine generally, through the **interrupt vector**, which contains the addresses of all the service routines
- Interrupt architecture must save the address of the interrupted instruction
- A **trap** or **exception** is a software-generated interrupt caused either by an error or a user request
- An operating system is **interrupt driven**



## Interrupt Handling

- The operating system preserves the state of the CPU by storing registers and the program counter
- Determines which type of interrupt has occurred:
  - **polling**
  - **vectored** interrupt system
- Separate segments of code determine what action should be taken for each type of interrupt

# Interrupt Timeline






# I/O Structure

- After I/O starts, control returns to user program only upon I/O completion
  - Wait instruction idles the CPU until the next interrupt
  - Wait loop (contention for memory access)
  - At most one I/O request is outstanding at a time, no simultaneous I/O processing
- After I/O starts, control returns to user program without waiting for I/O completion
  - **System call** – request to the OS to allow user to wait for I/O completion
  - **Device-status table** contains entry for each I/O device indicating its type, address, and state
  - OS indexes into I/O device table to determine device status and to modify table entry to include interrupt



# Storage Definitions and Notation Review

The basic unit of computer storage is the **bit**. A bit can contain one of two values, 0 and 1. All other storage in a computer is based on collections of bits. Given enough bits, it is amazing how many things a computer can represent: numbers, letters, images, movies, sounds, documents, and programs, to name a few. A **byte** is 8 bits, and on most computers it is the smallest convenient chunk of storage. For example, most computers don't have an instruction to move a bit but do have one to move a byte. A less common term is **word**, which is a given computer architecture's native unit of data. A word is made up of one or more bytes. For example, a computer that has 64-bit registers and 64-bit memory addressing typically has 64-bit (8-byte) words. A computer executes many operations in its native word size rather than a byte at a time.

Computer storage, along with most computer throughput, is generally measured and manipulated in bytes and collections of bytes.
A **kilobyte**, or **KB**, is 1,024 bytes
a **megabyte**, or **MB**, is $1,024^2$ bytes
a **gigabyte**, or **GB**, is $1,024^3$ bytes
a **terabyte**, or **TB**, is $1,024^4$ bytes
a **petabyte**, or **PB**, is $1,024^5$ bytes

Computer manufacturers often round off these numbers and say that a megabyte is 1 million bytes and a gigabyte is 1 billion bytes. Networking measurements are an exception to this general rule; they are given in bits (because networks move data a bit at a time).



# Storage Structure

- Main memory – only large storage media that the CPU can access directly
  - **Random access**
  - Typically **volatile**
- Secondary storage – extension of main memory that provides large **nonvolatile** storage capacity
- Hard disks – rigid metal or glass platters covered with magnetic recording material
  - Disk surface is logically divided into **tracks**, which are subdivided into **sectors**
  - The **disk controller** determines the logical interaction between the device and the computer
- **Solid-state disks** – faster than hard disks, nonvolatile
  - Various technologies
  - Becoming more popular

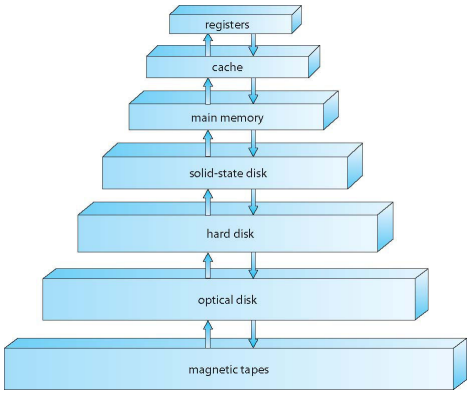


# Storage Hierarchy

- Storage systems organized in hierarchy
  - Speed
  - Cost
  - Volatility
- **Caching** – copying information into faster storage system; main memory can be viewed as a cache for secondary storage
- **Device Driver** for each device controller to manage I/O
  - Provides uniform interface between controller and kernel



# Storage-Device Hierarchy



# Caching

- Important principle, performed at many levels in a computer (in hardware, operating system, software)
- Information in use copied from slower to faster storage temporarily
- Faster storage (cache) checked first to determine if information is there
  - If it is, information used directly from the cache (fast)
  - If not, data copied to cache and used there
- Cache smaller than storage being cached
  - Cache management important design problem
  - Cache size and replacement policy

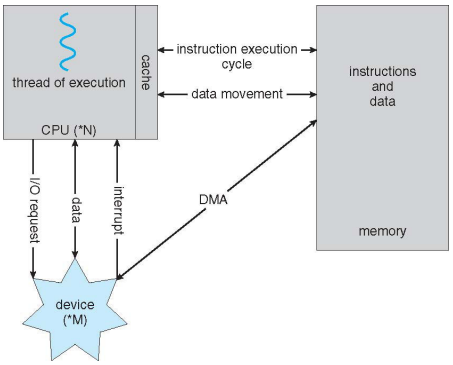


# Direct Memory Access Structure

- Used for high-speed I/O devices able to transmit information at close to memory speeds
- Device controller transfers blocks of data from buffer storage directly to main memory without CPU intervention
- Only one interrupt is generated per block, rather than the one interrupt per byte



# How a Modern Computer Works




*A von Neumann architecture*

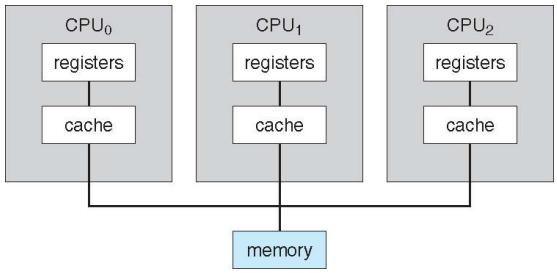


# Computer-System Architecture

- Most systems use a single general-purpose processor
  - Most systems have special-purpose processors as well
- **Multiprocessors** systems growing in use and importance
  - Also known as **parallel systems**, **tightly-coupled systems**
  - Advantages include:
    1. **Increased throughput**
    2. **Economy of scale**
    3. **Increased reliability** – graceful degradation or fault tolerance
  - Two types:
    1. **Asymmetric Multiprocessing** – each processor is assigned a specie task.
    2. **Symmetric Multiprocessing** – each processor performs all tasks



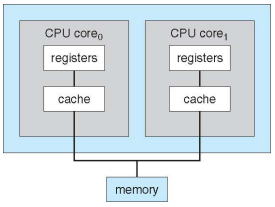
# Symmetric Multiprocessing Architecture






# A Dual-Core Design

- Multi-chip and **multicore**
- Systems containing all chips
  - Chassis containing multiple separate systems

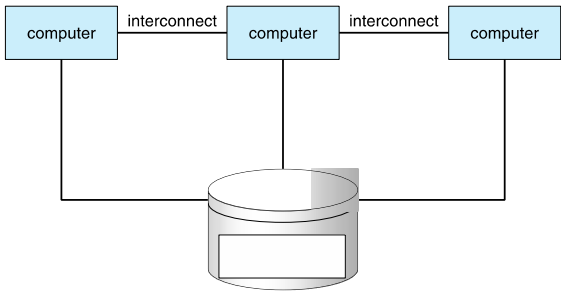


# Clustered Systems

- Like multiprocessor systems, but multiple systems working together
  - Usually sharing storage via a **storage-area network (SAN)**
  - Provides a **high-availability** service which survives failures
    - **Asymmetric clustering** has one machine in hot-standby mode
    - **Symmetric clustering** has multiple nodes running applications, monitoring each other
  - Some clusters are for **high-performance computing (HPC)**
    - Applications must be written to use **parallelization**
  - Some have **distributed lock manager** (**DLM**) to avoid conflicting operations



# Clustered Systems



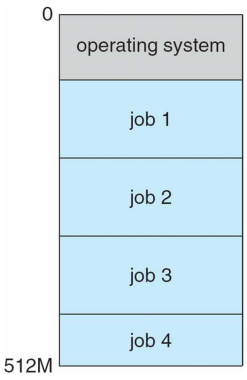



# Operating System Structure

- **Multiprogramming** (**Batch system**) needed for efficiency
  - Single user cannot keep CPU and I/O devices busy at all times
  - Multiprogramming organizes jobs (code and data) so CPU always has one to execute
  - A subset of total jobs in system is kept in memory
  - One job selected and run via **job scheduling**
  - When it has to wait (for I/O for example), OS switches to another job
- **Timesharing** (**multitasking**) is logical extension in which CPU switches jobs so frequently that users can interact with each job while it is running, creating **interactive** computing
  - **Response time** should be < 1 second
  - Each user has at least one program executing in memory ⇨**process**
  - If several jobs ready to run at the same time ⇨ **CPU scheduling**
  - If processes don't fit in memory, **swapping** moves them in and out to run
  - **Virtual memory** allows execution of processes not completely in memory



# Memory Layout for Multiprogrammed System






# Operating-System Operations

- **Interrupt driven** (hardware and software)
  - Hardware interrupt by one of the devices
  - Software interrupt (**exception** or **trap**):
    - Software error (e.g., division by zero)
    - Request for operating system service
    - Other process problems include infinite loop, processes modifying each other or the operating system

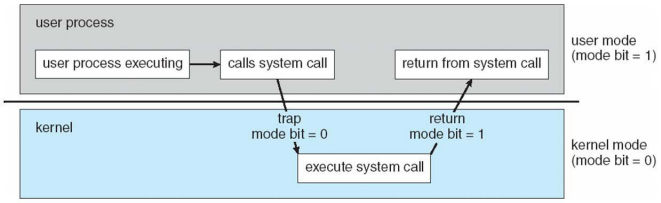


# Operating-System Operations (cont.)

- **Dual-mode** operation allows OS to protect itself and other system components
  - **User mode** and **kernel mode**
  - **Mode bit** provided by hardware
    - Provides ability to distinguish when system is running user code or kernel code
    - Some instructions designated as **privileged**, only executable in kernel mode
    - System call changes mode to kernel, return from call resets it to user
- Increasingly CPUs support multi-mode operations
  - i.e. **virtual machine manager** (**VMM**) mode for guest **VMs**

# Transition from User to Kernel Mode

- Timer to prevent infinite loop / process hogging resources
  - Timer is set to interrupt the computer after some time period
  - Keep a counter that is decremented by the physical clock.
  - Operating system set the counter (privileged instruction)
  - When counter zero generate an interrupt
  - Set up before scheduling process to regain control or terminate program that exceeds allotted time






# Process Management

- A process is a program in execution. It is a unit of work within the system. Program is a ***passive entity***, process is an ***active entity***.
- Process needs resources to accomplish its task
  - CPU, memory, I/O, files
  - Initialization data
- Process termination requires reclaim of any reusable resources
- Single-threaded process has one **program counter** specifying location of next instruction to execute
  - Process executes instructions sequentially, one at a time, until completion
- Multi-threaded process has one program counter per thread
- Typically system has many processes, some user, some operating system running concurrently on one or more CPUs
  - Concurrency by multiplexing the CPUs among the processes / threads



# Process Management Activities

The operating system is responsible for the following activities in connection with process management:

- Creating and deleting both user and system processes
- Suspending and resuming processes
- Providing mechanisms for process synchronization
- Providing mechanisms for process communication
- Providing mechanisms for deadlock handling



# Memory Management

- To execute a program all (or part) of the instructions must be in memory
- All (or part) of the data that is needed by the program must be in memory.
- Memory management determines what is in memory and when
  - Optimizing CPU utilization and computer response to users
- Memory management activities
  - Keeping track of which parts of memory are currently being used and by whom
  - Deciding which processes (or parts thereof) and data to move into and out of memory
  - Allocating and deallocating memory space as needed



# Storage Management

- OS provides uniform, logical view of information storage
  - Abstracts physical properties to logical storage unit - **file**
  - Each medium is controlled by device (i.e., disk drive, tape drive)
    - Varying properties include access speed, capacity, data-transfer rate, access method (sequential or random)
- File-System management
  - Files usually organized into directories
  - Access control on most systems to determine who can access what
  - OS activities include
    - Creating and deleting files and directories
    - Primitives to manipulate files and directories
    - Mapping files onto secondary storage
    - Backup files onto stable (non-volatile) storage media



# Mass-Storage Management

- Usually disks used to store data that does not fit in main memory or data that must be kept for a “long” period of time
- Proper management is of central importance
- Entire speed of computer operation hinges on disk subsystem and its algorithms
- OS activities
  - Free-space management
  - Storage allocation
  - Disk scheduling
- Some storage need not be fast
  - Tertiary storage includes optical storage, magnetic tape
  - Still must be managed – by OS or applications
  - Varies between WORM (write-once, read-many-times) and RW (read-write)

## Performance of Various Levels of Storage

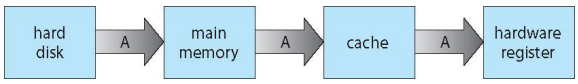
| Level | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| Name | registers | cache | main memory | solid state disk | magnetic disk |
| Typical size | < 1 KB | < 16MB | < 64GB | < 1 TB | < 10 TB |
| Implementation technology | custom memory with multiple ports CMOS | on-chip or off-chip CMOS SRAM | CMOS SRAM | flash memory | magnetic disk |
| Access time (ns) | 0.25 - 0.5 | 0.5 - 25 | 80 - 250 | 25,000 - 50,000 | 5,000,000 |
| Bandwidth (MB/sec) | 20,000 - 100,000 | 5,000 - 10,000 | 1,000 - 5,000 | 500 | 20 - 150 |
| Managed by | compiler | hardware | operating system | operating system | operating system |
| Backed by | cache | main memory | disk | disk | disk or tape |

Movement between levels of storage hierarchy can be explicit or implicit



## Migration of data "A" from Disk to Register

- Multitasking environments must be careful to use most recent value, no matter where it is stored in the storage hierarchy




- Multiprocessor environment must provide **cache coherency** in hardware such that all CPUs have the most recent value in their cache
- Distributed environment situation even more complex
  - Several copies of a datum can exist
  - Various solutions covered in Chapter 17



## I/O Subsystem

- One purpose of OS is to hide peculiarities of hardware devices from the user
- I/O subsystem responsible for
  - Memory management of I/O including buffering (storing data temporarily while it is being transferred), caching (storing parts of data in faster storage for performance), spooling (the overlapping of output of one job with input of other jobs)
  - General device-driver interface
  - Drivers for specific hardware devices



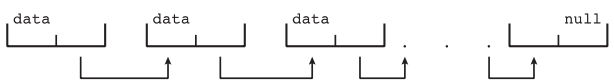
## Protection and Security

- **Protection** – any mechanism for controlling access of processes or users to resources defined by the OS
- **Security** – defense of the system against internal and external attacks
  - Huge range, including denial-of-service, worms, viruses, identity theft, theft of service
- Systems generally first distinguish among users, to determine who can do what
  - User identities (**user IDs**, security IDs) include name and associated number, one per user
  - User ID then associated with all files, processes of that user to determine access control
  - Group identifier (**group ID**) allows set of users to be defined and controls managed, then also associated with each process, file
  - **Privilege escalation** allows user to change to effective ID with more rights

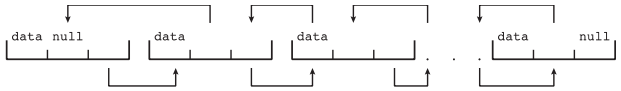


## Kernel Data Structures

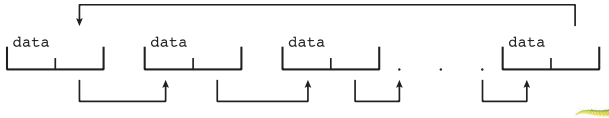
- Many similar to standard programming data structures
- ***Singly linked list***




- ***Doubly linked list***



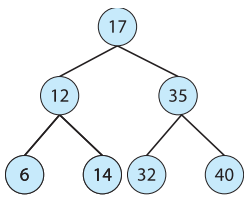

- ***Circular linked list***





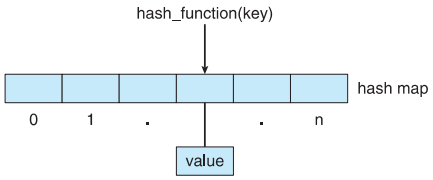

## Kernel Data Structures

- **Binary search tree**
  left <= right
  - Search performance is *O(n)*
  - **Balanced binary search tree** is *O(lg n)*



# Kernel Data Structures

- **Hash function** can create a **hash map**




- **Bitmap** – string of *n* binary digits representing the status of *n* items
- Linux data structures defined in

  ***include*** files `<linux/list.h>, <linux/kfifo.h>, <linux/rbtree.h>`



# Computing Environments - Traditional

- Stand-alone general purpose machines
- But blurred as most systems interconnect with others (i.e., the Internet)
- **Portals** provide web access to internal systems
- **Network computers** (**thin clients**) are like Web terminals
- Mobile computers interconnect via **wireless networks**
- Networking becoming ubiquitous – even home systems use **firewalls** to protect home computers from Internet attacks



# Computing Environments - Mobile

- Handheld smartphones, tablets, etc
- What is the functional difference between them and a "traditional" laptop?
- Extra feature – more OS features (GPS, gyroscope)
- Allows new types of apps like ***augmented reality***
- Use IEEE 802.11 wireless, or cellular data networks for connectivity
- Leaders are **Apple iOS** and **Google Android**



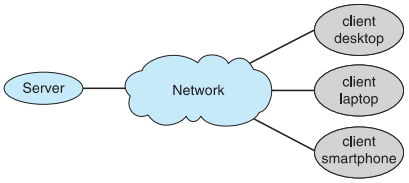
# Computing Environments – Distributed

- Distributed computiing
  - Collection of separate, possibly heterogeneous, systems networked together
    - **Network** is a communications path, **TCP/IP** most common
      - **Local Area Network** (**LAN**)
      - **Wide Area Network** (**WAN**)
      - **Metropolitan Area Network** (**MAN**)
      - **Personal Area Network** (**PAN**)
  - **Network Operating System** provides features between systems across network
    - Communication scheme allows systems to exchange messages
    - Illusion of a single system



# Computing Environments – Client-Server

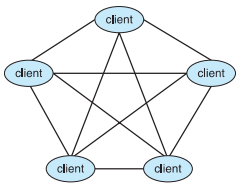
- Client-Server Computing
  - Dumb terminals supplanted by smart PCs
  - Many systems now **servers**, responding to requests generated by **clients**
    - **Compute-server system** provides an interface to client to request services (i.e., database)
    - **File-server system** provides interface for clients to store and retrieve files






# Computing Environments - Peer-to-Peer

- Another model of distributed system
- P2P does not distinguish clients and servers
  - Instead all nodes are considered peers
  - May each act as client, server or both
  - Node must join P2P network
    - Registers its service with central lookup service on network, or
    - Broadcast request for service and respond to requests for service via ***discovery protocol***
  - Examples include Napster and Gnutella, **Voice over IP** (**VoIP**) such as Skype



## Computing Environments - Virtualization

- Allows operating systems to run applications within other OSes
  - Vast and growing industry
- **Emulation** used when source CPU type different from target type (i.e. PowerPC to Intel x86)
  - Generally slowest method
  - When computer language not compiled to native code – **Interpretation**
- **Virtualization** – OS natively compiled for CPU, running **guest** OSes also natively compiled
  - Consider VMware running WinXP guests, each running applications, all on native WinXP **host** OS
  - **VMM** (virtual machine Manager) provides virtualization services

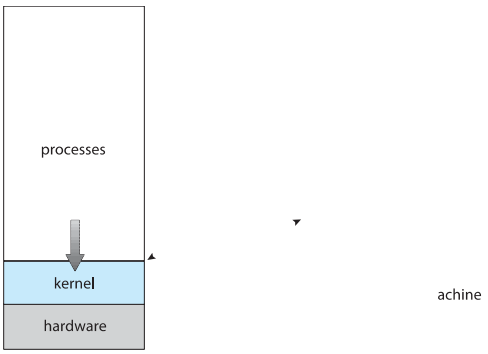


## Computing Environments - Virtualization

- Use cases involve laptops and desktops running multiple OSes for exploration or compatibility
  - Apple laptop running Mac OS X host, Windows as a guest
  - Developing apps for multiple OSes without having multiple systems
  - QA testing applications without having multiple systems
  - Executing and managing compute environments within data centers
- VMM can run natively, in which case they are also the host
  - There is no general purpose host then (VMware ESX and Citrix XenServer)



## Computing Environments - Virtualization





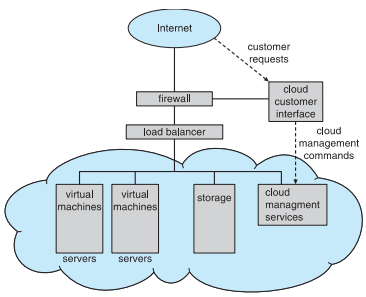

## Computing Environments – Cloud Computing

- Delivers computing, storage, even apps as a service across a network
- Logical extension of virtualization because it uses virtualization as the base for it functionality.
  - Amazon **EC2** has thousands of servers, millions of virtual machines, petabytes of storage available across the Internet, pay based on usage
- Many types
  - **Public cloud** – available via Internet to anyone willing to pay
  - **Private cloud** – run by a company for the company's own use
  - **Hybrid cloud** – includes both public and private cloud components
  - Software as a Service (**SaaS**) – one or more applications available via the Internet (i.e., word processor)
  - Platform as a Service (**PaaS**) – software stack ready for application use via the Internet (i.e., a database server)
  - Infrastructure as a Service (**IaaS**) – servers or storage available over Internet (i.e., storage available for backup use)



## Computing Environments – Cloud Computing

- Cloud computing environments composed of traditional OSes, plus VMMs, plus cloud management tools
  - Internet connectivity requires security like firewalls
  - Load balancers spread traffic across multiple applications






## Computing Environments – Real-Time Embedded Systems

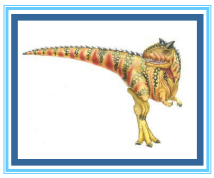
- Real-time embedded systems most prevalent form of computers
  - Vary considerable, special purpose, limited purpose OS, **real-time OS**
  - Use expanding
- Many other special computing environments as well
  - Some have OSes, some perform tasks without an OS
- Real-time OS has well-defined fixed time constraints
  - Processing ***must*** be done within constraint
  - Correct operation only if constraints met

## Open-Source Operating Systems

- Operating systems made available in source-code format rather than just binary **closed-source**
- Counter to the **copy protection** and **Digital Rights Management (DRM)** movement
- Started by **Free Software Foundation (FSF)**, which has "copyleft" **GNU Public License (GPL)**
- Examples include **GNU/Linux** and **BSD UNIX** (including core of **Mac OS X**), and many more
- Can use VMM like VMware Player (Free on Windows), Virtualbox (open source and free on many platforms - http://www.virtualbox.com)
  - Use to run guest operating systems for exploration

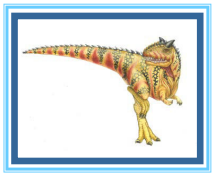


# End of Chapter 1





# Chapter 2: Operating-System Structures





## Chapter 2: Operating-System Structures

- Operating System Services
- User Operating System Interface
- System Calls
- Types of System Calls
- System Programs
- Operating System Design and Implementation
- Operating System Structure
- Operating System Debugging
- Operating System Generation
- System Boot



## Objectives

- To describe the services an operating system provides to users, processes, and other systems
- To discuss the various ways of structuring an operating system
- To explain how operating systems are installed and customized and how they boot



## Operating System Services

- Operating systems provide an environment for execution of programs and services to programs and users
- One set of operating-system services provides functions that are helpful to the user:
  - **User interface** - Almost all operating systems have a user interface (**UI**).
    - Varies between **Command-Line (CLI)**, **Graphics User Interface (GUI)**, **Batch**
  - **Program execution** - The system must be able to load a program into memory and to run that program, end execution, either normally or abnormally (indicating error)
  - **I/O operations** - A running program may require I/O, which may involve a file or an I/O device

# Operating System Services (Cont.)

- One set of operating-system services provides functions that are helpful to the user (Cont.):
  - **File-system manipulation** - The file system is of particular interest. Programs need to read and write files and directories, create and delete them, search them, list file Information, permission management.
  - **Communications** – Processes may exchange information, on the same computer or between computers over a network
    - Communications may be via shared memory or through message passing (packets moved by the OS)
  - **Error detection** – OS needs to be constantly aware of possible errors
    - May occur in the CPU and memory hardware, in I/O devices, in user program
    - For each type of error, OS should take the appropriate action to ensure correct and consistent computing
    - Debugging facilities can greatly enhance the user's and programmer's abilities to efficiently use the system

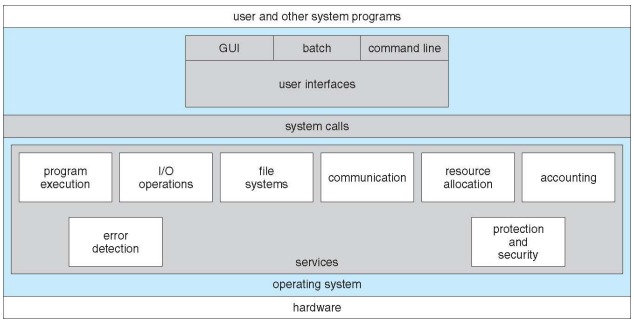


# Operating System Services (Cont.)

- Another set of OS functions exists for ensuring the efficient operation of the system itself via resource sharing
  - **Resource allocation** - When multiple users or multiple jobs running concurrently, resources must be allocated to each of them
    - Many types of resources - CPU cycles, main memory, file storage, I/O devices.
  - **Accounting** - To keep track of which users use how much and what kinds of computer resources
  - **Protection and security** - The owners of information stored in a multiuser or networked computer system may want to control use of that information, concurrent processes should not interfere with each other
    - **Protection** involves ensuring that all access to system resources is controlled
    - **Security** of the system from outsiders requires user authentication, extends to defending external I/O devices from invalid access attempts



# A View of Operating System Services





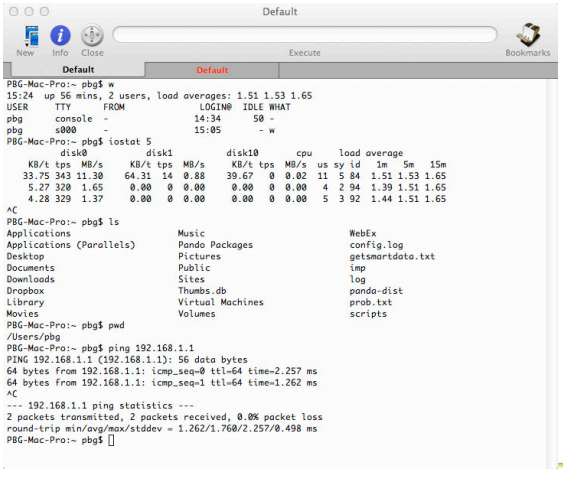

# User Operating System Interface - CLI

CLI or **command interpreter** allows direct command entry

- Sometimes implemented in kernel, sometimes by systems program
- Sometimes multiple flavors implemented – **shells**
- Primarily fetches a command from user and executes it
- Sometimes commands built-in, sometimes just names of programs
  - If the latter, adding new features doesn't require shell modification



# Bourne Shell Command Interpreter






# User Operating System Interface - GUI

- User-friendly **desktop** metaphor interface
  - Usually mouse, keyboard, and monitor
  - **Icons** represent files, programs, actions, etc
  - Various mouse buttons over objects in the interface cause various actions (provide information, options, execute function, open directory (known as a **folder**)
  - Invented at Xerox PARC
- Many systems now include both CLI and GUI interfaces
  - Microsoft Windows is GUI with CLI "command" shell
  - Apple Mac OS X is "Aqua" GUI interface with UNIX kernel underneath and shells available
  - Unix and Linux have CLI with optional GUI interfaces (CDE, KDE, GNOME)

# Touchscreen Interfaces

- Touchscreen devices require new interfaces
  - Mouse not possible or not desired
  - Actions and selection based on gestures
  - Virtual keyboard for text entry
- Voice commands.



# The Mac OS X GUI



# System Calls

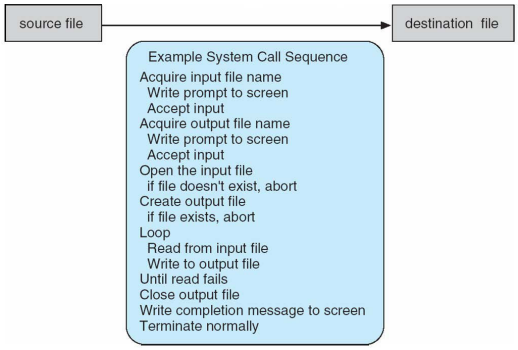
- Programming interface to the services provided by the OS
- Typically written in a high-level language (C or C++)
- Mostly accessed by programs via a high-level **Application Programming Interface** (**API**) rather than direct system call use
- Three most common APIs are Win32 API for Windows, POSIX API for POSIX-based systems (including virtually all versions of UNIX, Linux, and Mac OS X), and Java API for the Java virtual machine (JVM)

Note that the system-call names used throughout this text are generic



# Example of System Calls

- System call sequence to copy the contents of one file to another file






# Example of Standard API

*EXAMPLE OF STANDARD API*

As an example of a standard API, consider the `read()` function that is available in UNIX and Linux systems. The API for this function is obtained from the `man` page by invoking the command

```
man read
```

on the command line. A description of this API appears below:

```
#include <unistd.h>

ssize_t    read(int fd, void *buf, size_t count)
```

return value — function name — parameters

A program that uses the `read()` function must include the `unistd.h` header file, as this file defines the `ssize_t` and `size_t` data types (among other things). The parameters passed to `read()` are as follows:

- `int fd`—the file descriptor to be read
- `void *buf`—a buffer where the data will be read into
- `size_t count`—the maximum number of bytes to be read into the buffer

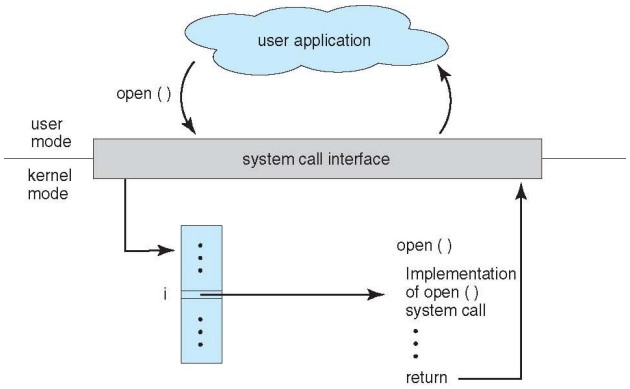
On a successful read, the number of bytes read is returned. A return value of 0 indicates end of file. If an error occurs, `read()` returns −1.



# System Call Implementation

- Typically, a number associated with each system call
  - **System-call interface** maintains a table indexed according to these numbers
- The system call interface invokes the intended system call in OS kernel and returns status of the system call and any return values
- The caller need know nothing about how the system call is implemented
  - Just needs to obey API and understand what OS will do as a result call
  - Most details of OS interface hidden from programmer by API
    - Managed by run-time support library (set of functions built into libraries included with compiler)

# API – System Call – OS Relationship



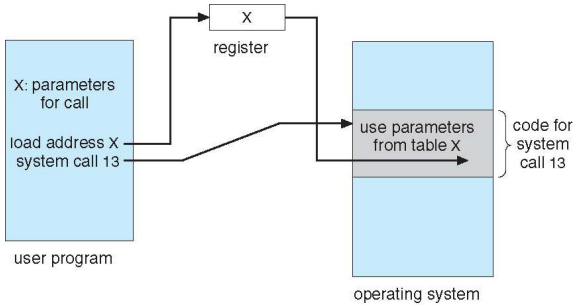



# System Call Parameter Passing

- Often, more information is required than simply identity of desired system call
  - Exact type and amount of information vary according to OS and call
- Three general methods used to pass parameters to the OS
  - Simplest: pass the parameters in registers
    - In some cases, may be more parameters than registers
  - Parameters stored in a block, or table, in memory, and address of block passed as a parameter in a register
    - This approach taken by Linux and Solaris
  - Parameters placed, or **pushed**, onto the **stack** by the program and **popped** off the stack by the operating system
  - Block and stack methods do not limit the number or length of parameters being passed



# Parameter Passing via Table






# Types of System Calls

- Process control
  - create process, terminate process
  - end, abort
  - load, execute
  - get process attributes, set process attributes
  - wait for time
  - wait event, signal event
  - allocate and free memory
  - Dump memory if error
  - **Debugger** for determining **bugs, single step** execution
  - **Locks** for managing access to shared data between processes



# Types of System Calls

- File management
  - create file, delete file
  - open, close file
  - read, write, reposition
  - get and set file attributes
- Device management
  - request device, release device
  - read, write, reposition
  - get device attributes, set device attributes
  - logically attach or detach devices



# Types of System Calls (Cont.)

- Information maintenance
  - get time or date, set time or date
  - get system data, set system data
  - get and set process, file, or device attributes
- Communications
  - create, delete communication connection
  - send, receive messages if **message passing model** to **host name** or **process name**
    - From **client** to **server**
  - **Shared-memory model** create and gain access to memory regions
  - transfer status information
  - attach and detach remote devices

# Types of System Calls (Cont.)

- Protection
  - Control access to resources
  - Get and set permissions
  - Allow and deny user access



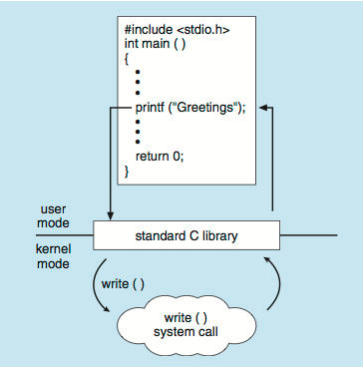
# Examples of Windows and Unix System Calls

| | Windows | Unix |
|---|---|---|
| Process Control | CreateProcess()<br>ExitProcess()<br>WaitForSingleObject() | fork()<br>exit()<br>wait() |
| File Manipulation | CreateFile()<br>ReadFile()<br>WriteFile()<br>CloseHandle() | open()<br>read()<br>write()<br>close() |
| Device Manipulation | SetConsoleMode()<br>ReadConsole()<br>WriteConsole() | ioctl()<br>read()<br>write() |
| Information Maintenance | GetCurrentProcessID()<br>SetTimer()<br>Sleep() | getpid()<br>alarm()<br>sleep() |
| Communication | CreatePipe()<br>CreateFileMapping()<br>MapViewOfFile() | pipe()<br>shmget()<br>mmap() |
| Protection | SetFileSecurity()<br>InitializeSecurityDescriptor()<br>SetSecurityDescriptorGroup() | chmod()<br>umask()<br>chown() |



# Standard C Library Example

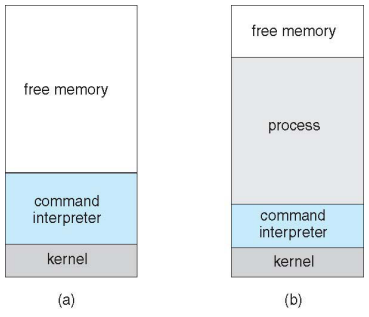
- C program invoking printf() library call, which calls write() system call






# Example: MS-DOS

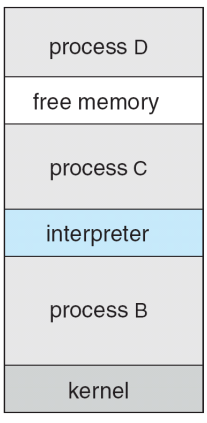
- Single-tasking
- Shell invoked when system booted
- Simple method to run program
  - No process created
- Single memory space
- Loads program into memory, overwriting all but the kernel
- Program exit -> shell reloaded






# Example: FreeBSD

- Unix variant
- Multitasking
- User login -> invoke user's choice of shell
- Shell executes fork() system call to create process
  - Executes exec() to load program into process
  - Shell waits for process to terminate or continues with user commands
- Process exits with:
  - code = 0 – no error
  - code > 0 – error code






# System Programs

- System programs provide a convenient environment for program development and execution. They can be divided into:
  - File manipulation
  - Status information sometimes stored in a File modification
  - Programming language support
  - Program loading and execution
  - Communications
  - Background services
  - Application programs
- Most users' view of the operation system is defined by system programs, not the actual system calls

# System Programs

- Provide a convenient environment for program development and execution
  - Some of them are simply user interfaces to system calls; others are considerably more complex
- **File management** - Create, delete, copy, rename, print, dump, list, and generally manipulate files and directories
- **Status information**
  - Some ask the system for info - date, time, amount of available memory, disk space, number of users
  - Others provide detailed performance, logging, and debugging information
  - Typically, these programs format and print the output to the terminal or other output devices
  - Some systems implement a **registry** - used to store and retrieve configuration information



# System Programs (Cont.)

- **File modification**
  - Text editors to create and modify files
  - Special commands to search contents of files or perform transformations of the text
- **Programming-language support** - Compilers, assemblers, debuggers and interpreters sometimes provided
- **Program loading and execution**- Absolute loaders, relocatable loaders, linkage editors, and overlay-loaders, debugging systems for higher-level and machine language
- **Communications** - Provide the mechanism for creating virtual connections among processes, users, and computer systems
  - Allow users to send messages to one another's screens, browse web pages, send electronic-mail messages, log in remotely, transfer files from one machine to another



# System Programs (Cont.)

- **Background Services**
  - Launch at boot time
    - Some for system startup, then terminate
    - Some from system boot to shutdown
  - Provide facilities like disk checking, process scheduling, error logging, printing
  - Run in user context not kernel context
  - Known as **services**, **subsystems**, **daemons**
- **Application programs**
  - Don't pertain to system
  - Run by users
  - Not typically considered part of OS
  - Launched by command line, mouse click, finger poke



# Operating System Design and Implementation

- Design and Implementation of OS not "solvable", but some approaches have proven successful
- Internal structure of different Operating Systems can vary widely
- Start the design by defining goals and specifications
- Affected by choice of hardware, type of system
- **User** goals and **System** goals
  - User goals – operating system should be convenient to use, easy to learn, reliable, safe, and fast
  - System goals – operating system should be easy to design, implement, and maintain, as well as flexible, reliable, error-free, and efficient



# Operating System Design and Implementation (Cont.)

- Important principle to separate

  **Policy**: ***What*** will be done?
  **Mechanism**: ***How*** to do it?
- Mechanisms determine how to do something, policies decide what will be done
- The separation of policy from mechanism is a very important principle, it allows maximum flexibility if policy decisions are to be changed later (example – timer)
- Specifying and designing an OS is highly creative task of **software engineering**



# Implementation

- Much variation
  - Early OSes in assembly language
  - Then system programming languages like Algol, PL/1
  - Now C, C++
- Actually usually a mix of languages
  - Lowest levels in assembly
  - Main body in C
  - Systems programs in C, C++, scripting languages like PERL, Python, shell scripts
- More high-level language easier to **port** to other hardware
  - But slower
- **Emulation** can allow an OS to run on non-native hardware

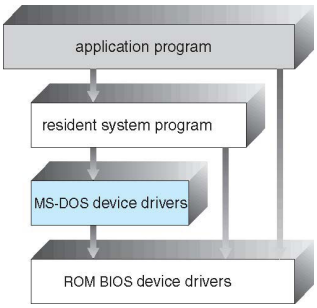
# Operating System Structure

- General-purpose OS is very large program
- Various ways to structure ones
  - Simple structure – MS-DOS
  - More complex -- UNIX
  - Layered – an abstrcation
  - Microkernel -Mach



# Simple Structure -- MS-DOS

- MS-DOS – written to provide the most functionality in the least space
  - Not divided into modules
  - Although MS-DOS has some structure, its interfaces and levels of functionality are not well separated






# Non Simple Structure -- UNIX

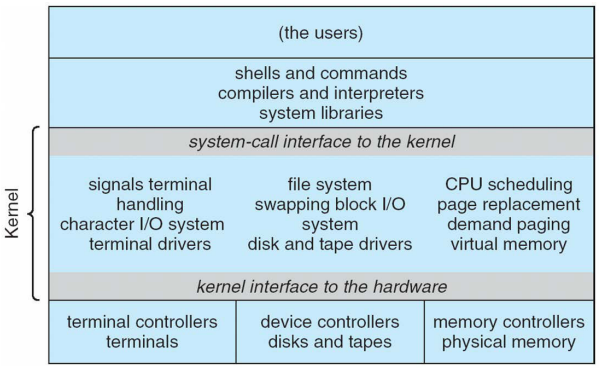
UNIX – limited by hardware functionality, the original UNIX operating system had limited structuring. The UNIX OS consists of two separable parts

- Systems programs
- The kernel
  - Consists of everything below the system-call interface and above the physical hardware
  - Provides the file system, CPU scheduling, memory management, and other operating-system functions; a large number of functions for one level



# Traditional UNIX System Structure

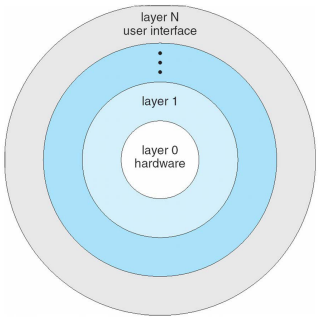
Beyond simple but not fully layered






# Layered Approach

- The operating system is divided into a number of layers (levels), each built on top of lower layers. The bottom layer (layer 0), is the hardware; the highest (layer N) is the user interface.
- With modularity, layers are selected such that each uses functions (operations) and services of only lower-level layers

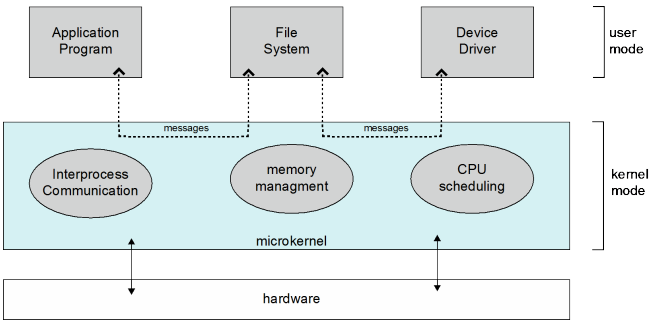





# Microkernel System Structure

- Moves as much from the kernel into user space
- **Mach** example of **microkernel**
  - Mac OS X kernel (**Darwin**) partly based on Mach
- Communication takes place between user modules using **message passing**
- Benefits:
  - Easier to extend a microkernel
  - Easier to port the operating system to new architectures
  - More reliable (less code is running in kernel mode)
  - More secure
- Detriments:
  - Performance overhead of user space to kernel space communication

# Microkernel System Structure



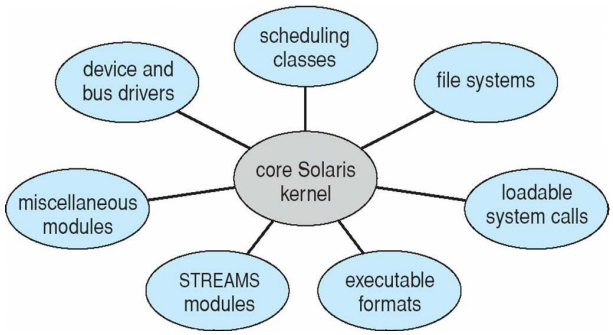



# Modules

- Many modern operating systems implement **loadable kernel modules**
  - Uses object-oriented approach
  - Each core component is separate
  - Each talks to the others over known interfaces
  - Each is loadable as needed within the kernel
- Overall, similar to layers but with more flexible
  - Linux, Solaris, etc



# Solaris Modular Approach



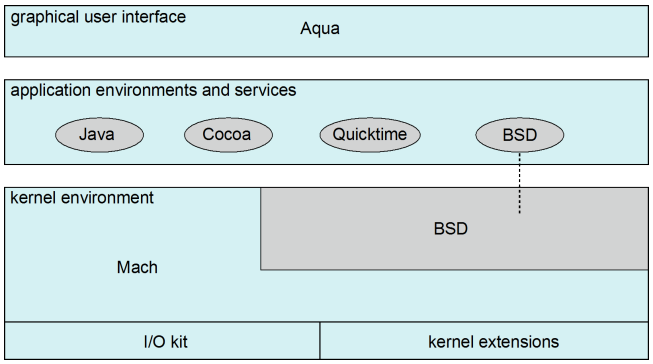



# Hybrid Systems

- Most modern operating systems are actually not one pure model
  - Hybrid combines multiple approaches to address performance, security, usability needs
  - Linux and Solaris kernels in kernel address space, so monolithic, plus modular for dynamic loading of functionality
  - Windows mostly monolithic, plus microkernel for different subsystem ***personalities***
- Apple Mac OS X hybrid, layered, **Aqua** UI plus **Cocoa** programming environment
  - Below is kernel consisting of Mach microkernel and BSD Unix parts, plus I/O kit and dynamically loadable modules (called **kernel extensions**)



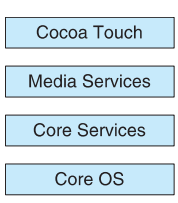
# Mac OS X Structure






# iOS

- Apple mobile OS for ***iPhone***, ***iPad***
  - Structured on Mac OS X, added functionality
  - Does not run OS X applications natively
    - Also runs on different CPU architecture (ARM vs. Intel)
  - **Cocoa Touch** Objective-C API for developing apps
  - **Media services** layer for graphics, audio, video
  - **Core services** provides cloud computing, databases
  - Core operating system, based on Mac OS X kernel

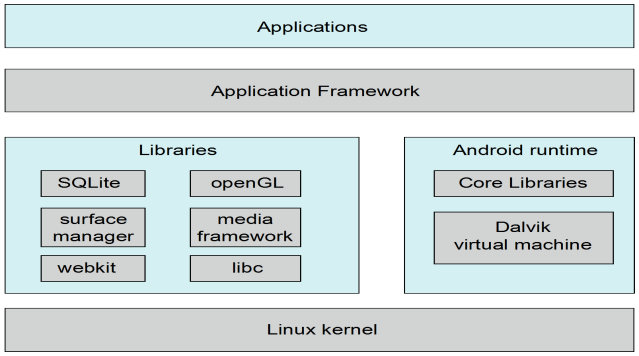


# Android

- Developed by Open Handset Alliance (mostly Google)
  - Open Source
- Similar stack to IOS
- Based on Linux kernel but modified
  - Provides process, memory, device-driver management
  - Adds power management
- Runtime environment includes core set of libraries and Dalvik virtual machine
  - Apps developed in Java plus Android API
    - Java class files compiled to Java bytecode then translated to executable than runs in Dalvik VM
- Libraries include frameworks for web browser (webkit), database (SQLite), multimedia, smaller libc



# Android Architecture






# Operating-System Debugging

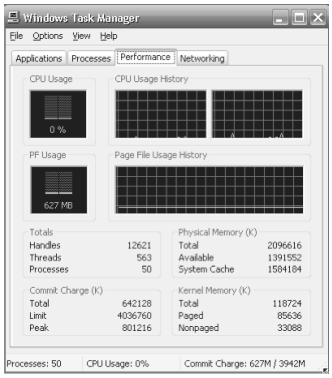
- **Debugging** is finding and fixing errors, or **bugs**
- OS generate **log files** containing error information
- Failure of an application can generate **core dump** file capturing memory of the process
- Operating system failure can generate **crash dump** file containing kernel memory
- Beyond crashes, performance tuning can optimize system performance
  - Sometimes using ***trace listings*** of activities, recorded for analysis
  - **Profiling** is periodic sampling of instruction pointer to look for statistical trends

Kernighan's Law: "Debugging is twice as hard as writing the code in the first place. Therefore, if you write the code as cleverly as possible, you are, by definition, not smart enough to debug it."



# Performance Tuning

- Improve performance by removing bottlenecks
- OS must provide means of computing and displaying measures of system behavior
- For example, "top" program or Windows Task Manager






# DTrace

- DTrace tool in Solaris, FreeBSD, Mac OS X allows live instrumentation on production systems
- **Probes** fire when code is executed within a **provider**, capturing state data and sending it to **consumers** of those probes
- Example of following XEventsQueued system call move from libc library to kernel and back

```
# ./all.d 'pgrep xclock' XEventsQueued
dtrace: script './all.d' matched 52377 probes
CPU FUNCTION
  0 -> XEventsQueued                       U
  0   -> _XEventsQueued                    U
  0     -> _X11TransBytesReadable          U
  0     <- _X11TransBytesReadable          U
  0     -> _X11TransSocketBytesReadable    U
  0     <- _X11TransSocketBytesreadable    U
  0     -> ioctl                           U
  0       -> ioctl                         K
  0         -> getf                        K
  0           -> set_active_fd             K
  0           <- set_active_fd             K
  0         <- getf                        K
  0         -> get_udatamodel              K
  0         <- get_udatamodel              K
...
  0         -> releasef                    K
  0           -> clear_active_fd           K
  0           <- clear_active_fd           K
  0           -> cv_broadcast              K
  0           <- cv_broadcast              K
  0         <- releasef                    K
  0       <- ioctl                         K
  0     <- ioctl                           U
  0   <- _XEventsQueued                    U
  0 <- XEventsQueued                       U
```



# Dtrace (Cont.)

- DTrace code to record amount of time each process with UserID 101 is in running mode (on CPU) in nanoseconds

```
sched:::on-cpu
uid == 101
{
  self->ts = timestamp;
}

sched:::off-cpu
self->ts
{
  @time[execname] = sum(timestamp - self->ts);
  self->ts = 0;
}
```

```
# dtrace -s sched.d
dtrace: script 'sched.d' matched 6 probes
^C
    gnome-settings-d          142354
    gnome-vfs-daemon          158243
    dsdm                      189804
    wnck-applet               200030
    gnome-panel               277864
    clock-applet              374916
    mapping-daemon            385475
    xscreensaver              514177
    metacity                  539281
    Xorg                     2579646
    gnome-terminal           5007269
    mixer_applet2            7388447
    java                    10769137
```

**Figure 2.21** Output of the D code.

## Operating System Generation

- Operating systems are designed to run on any of a class of machines; the system must be configured for each specific computer site
- **SYSGEN** program obtains information concerning the specific configuration of the hardware system
  - Used to build system-specific compiled kernel or system-tuned
  - Can general more efficient code than one general kernel

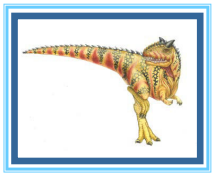


## System Boot

- When power initialized on system, execution starts at a fixed memory location
  - Firmware ROM used to hold initial boot code
- Operating system must be made available to hardware so hardware can start it
  - Small piece of code – **bootstrap loader**, stored in **ROM** or **EEPROM** locates the kernel, loads it into memory, and starts it
  - Sometimes two-step process where **boot block** at fixed location loaded by ROM code, which loads bootstrap loader from disk
- Common bootstrap loader, **GRUB**, allows selection of kernel from multiple disks, versions, kernel options
- Kernel loads and system is then **running**

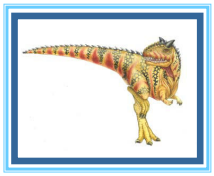


# End of Chapter 2





# Chapter 3: Processes





## Chapter 3: Processes

- Process Concept
- Process Scheduling
- Operations on Processes
- Interprocess Communication
- Examples of IPC Systems
- Communication in Client-Server Systems



## Objectives

- To introduce the notion of a process -- a program in execution, which forms the basis of all computation
- To describe the various features of processes, including scheduling, creation and termination, and communication
- To explore interprocess communication using shared memory and message passing
- To describe communication in client-server systems

# Process Concept

- An operating system executes a variety of programs:
  - Batch system – **jobs**
  - Time-shared systems – **user programs** or **tasks**
- Textbook uses the terms ***job*** and ***process*** almost interchangeably
- **Process** – a program in execution; process execution must progress in sequential fashion
- Multiple parts
  - The program code, also called **text section**
  - Current activity including **program counter**, processor registers
  - **Stack** containing temporary data
    - Function parameters, return addresses, local variables
  - **Data section** containing global variables
  - **Heap** containing memory dynamically allocated during run time

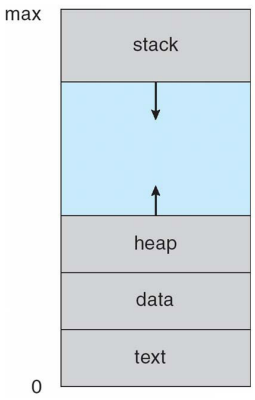


# Process Concept (Cont.)

- Program is ***passive*** entity stored on disk (**executable file**), process is ***active***
  - Program becomes process when executable file loaded into memory
- Execution of program started via GUI mouse clicks, command line entry of its name, etc
- One program can be several processes
  - Consider multiple users executing the same program



# Process in Memory



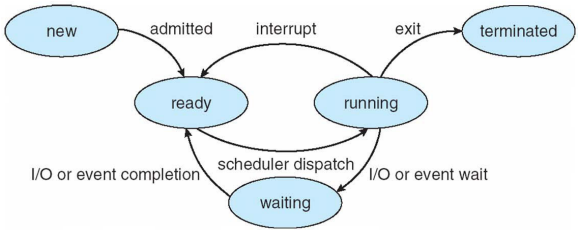



# Process State

- As a process executes, it changes **state**
  - **new**: The process is being created
  - **running**: Instructions are being executed
  - **waiting**: The process is waiting for some event to occur
  - **ready**: The process is waiting to be assigned to a processor
  - **terminated**: The process has finished execution



# Diagram of Process State



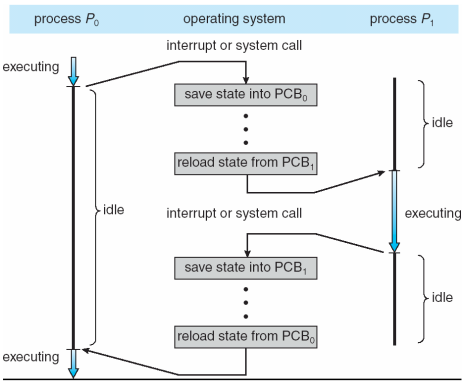



# Process Control Block (PCB)

Information associated with each process (also called **task control block**)

- Process state – running, waiting, etc
- Program counter – location of instruction to next execute
- CPU registers – contents of all process-centric registers
- CPU scheduling information- priorities, scheduling queue pointers
- Memory-management information – memory allocated to the process
- Accounting information – CPU used, clock time elapsed since start, time limits
- I/O status information – I/O devices allocated to process, list of open files

# CPU Switch From Process to Process






# Threads

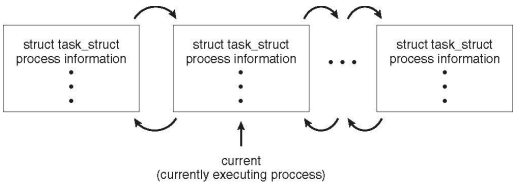
- So far, process has a single thread of execution
- Consider having multiple program counters per process
  - Multiple locations can execute at once
    - Multiple threads of control -> **threads**
- Must then have storage for thread details, multiple program counters in PCB
- See next chapter



# Process Representation in Linux

Represented by the C structure `task_struct`

```
pid t_pid; /* process identifier */
long state; /* state of the process */
unsigned int time_slice /* scheduling information */
struct task_struct *parent; /* this process's parent */
struct list_head children; /* this process's children */
struct files_struct *files; /* list of open files */
struct mm_struct *mm; /* address space of this process */
```



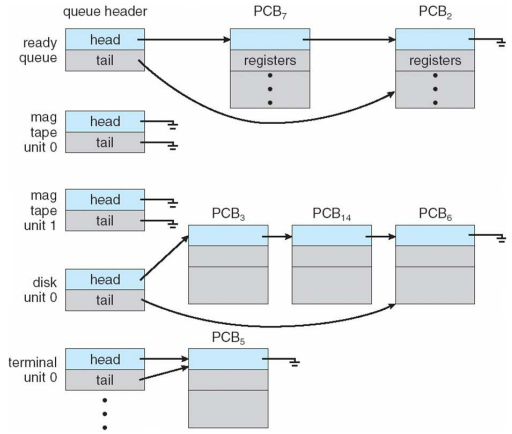



# Process Scheduling

- Maximize CPU use, quickly switch processes onto CPU for time sharing
- **Process scheduler** selects among available processes for next execution on CPU
- Maintains **scheduling queues** of processes
  - **Job queue** – set of all processes in the system
  - **Ready queue** – set of all processes residing in main memory, ready and waiting to execute
  - **Device queues** – set of processes waiting for an I/O device
  - Processes migrate among the various queues



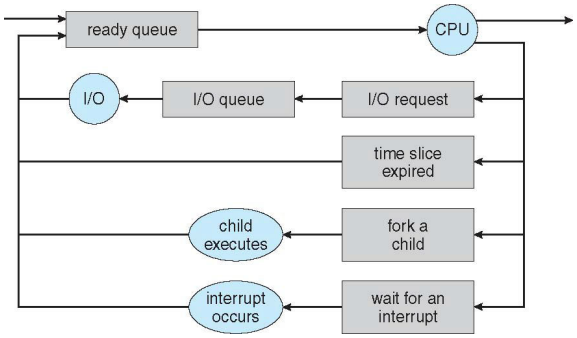
# Ready Queue And Various I/O Device Queues






# Representation of Process Scheduling

- **Queueing diagram** represents queues, resources, flows



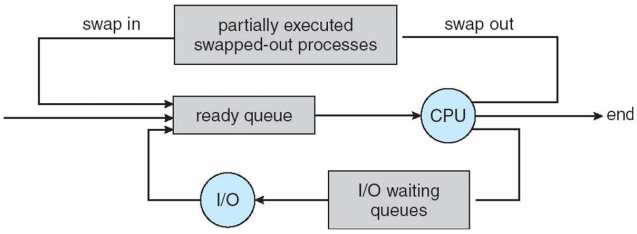
# Schedulers

- **Short-term scheduler** (or **CPU scheduler**) – selects which process should be executed next and allocates CPU
  - Sometimes the only scheduler in a system
  - Short-term scheduler is invoked frequently (milliseconds) ⇒ (must be fast)
- **Long-term scheduler** (or **job scheduler**) – selects which processes should be brought into the ready queue
  - Long-term scheduler is invoked infrequently (seconds, minutes) ⇒ (may be slow)
  - The long-term scheduler controls the **degree of multiprogramming**
- Processes can be described as either:
  - **I/O-bound process** – spends more time doing I/O than computations, many short CPU bursts
  - **CPU-bound process** – spends more time doing computations; few very long CPU bursts
- Long-term scheduler strives for good ***process mix***



# Addition of Medium Term Scheduling

- **Medium-term scheduler** can be added if degree of multiple programming needs to decrease
  - Remove process from memory, store on disk, bring back in from disk to continue execution: **swapping**






# Multitasking in Mobile Systems

- Some mobile systems (e.g., early version of iOS) allow only one process to run, others suspended
- Due to screen real estate, user interface limits iOS provides for a
  - Single **foreground** process- controlled via user interface
  - Multiple **background** processes– in memory, running, but not on the display, and with limits
  - Limits include single, short task, receiving notification of events, specific long-running tasks like audio playback
- Android runs foreground and background, with fewer limits
  - Background process uses a **service** to perform tasks
  - Service can keep running even if background process is suspended
  - Service has no user interface, small memory use



# Context Switch

- When CPU switches to another process, the system must **save the state** of the old process and load the **saved state** for the new process via a **context switch**
- **Context** of a process represented in the PCB
- Context-switch time is overhead; the system does no useful work while switching
  - The more complex the OS and the PCB ➔ the longer the context switch
- Time dependent on hardware support
  - Some hardware provides multiple sets of registers per CPU ➔ multiple contexts loaded at once



# Operations on Processes

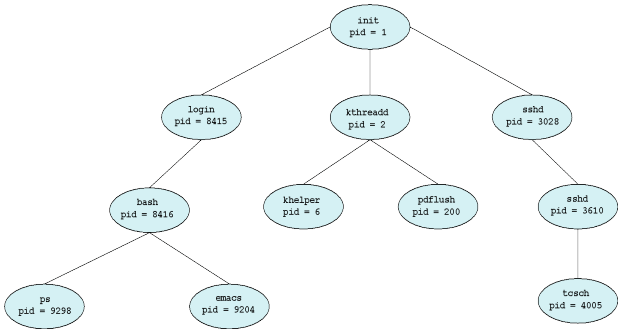
- System must provide mechanisms for:
  - process creation,
  - process termination,
  - and so on as detailed next



# Process Creation

- **Parent** process create **children** processes, which, in turn create other processes, forming a **tree** of processes
- Generally, process identified and managed via a **process identifier** (**pid**)
- Resource sharing options
  - Parent and children share all resources
  - Children share subset of parent's resources
  - Parent and child share no resources
- Execution options
  - Parent and children execute concurrently
  - Parent waits until children terminate

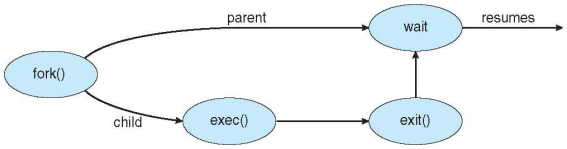
# A Tree of Processes in Linux






# Process Creation (Cont.)

- Address space
  - Child duplicate of parent
  - Child has a program loaded into it
- UNIX examples
  - **`fork()`** system call creates new process
  - **`exec()`** system call used after a **`fork()`** to replace the process' memory space with a new program






# C Program Forking Separate Process

```
#include <sys/types.h>
#include <stdio.h>
#include <unistd.h>

int main()
{
pid_t pid;

   /* fork a child process */
   pid = fork();

   if (pid < 0) { /* error occurred */
      fprintf(stderr, "Fork Failed");
      return 1;
   }
   else if (pid == 0) { /* child process */
      execlp("/bin/ls","ls",NULL);
   }
   else { /* parent process */
      /* parent will wait for the child to complete */
      wait(NULL);
      printf("Child Complete");
   }

   return 0;
}
```



# Creating a Separate Process via Windows API

```
#include <stdio.h>
#include <windows.h>

int main(VOID)
{
STARTUPINFO si;
PROCESS_INFORMATION pi;

   /* allocate memory */
   ZeroMemory(&si, sizeof(si));
   si.cb = sizeof(si);
   ZeroMemory(&pi, sizeof(pi));

   /* create child process */
   if (!CreateProcess(NULL, /* use command line */
    "C:\\WINDOWS\\system32\\mspaint.exe", /* command */
    NULL, /* don't inherit process handle */
    NULL, /* don't inherit thread handle */
    FALSE, /* disable handle inheritance */
    0, /* no creation flags */
    NULL, /* use parent's environment block */
    NULL, /* use parent's existing directory */
    &si,
    &pi))
   {
     fprintf(stderr, "Create Process Failed");
     return -1;
   }
   /* parent will wait for the child to complete */
   WaitForSingleObject(pi.hProcess, INFINITE);
   printf("Child Complete");

   /* close handles */
   CloseHandle(pi.hProcess);
   CloseHandle(pi.hThread);
}
```



# Process Termination

- Process executes last statement and then asks the operating system to delete it using the **`exit()`** system call.
  - Returns status data from child to parent (via **`wait()`**)
  - Process' resources are deallocated by operating system
- Parent may terminate the execution of children processes using the **`abort()`** system call. Some reasons for doing so:
  - Child has exceeded allocated resources
  - Task assigned to child is no longer required
  - The parent is exiting and the operating systems does not allow a child to continue if its parent terminates



# Process Termination

- Some operating systems do not allow child to exists if its parent has terminated. If a process terminates, then all its children must also be terminated.
  - **cascading termination.** All children, grandchildren, etc. are terminated.
  - The termination is initiated by the operating system.
- The parent process may wait for termination of a child process by using the **`wait()`** system call. The call returns status information and the pid of the terminated process

  **`pid = wait(&status);`**
- If no parent waiting (did not invoke **`wait()`**) process is a **zombie**
- If parent terminated without invoking **`wait`**, process is an **orphan**

## Multiprocess Architecture – Chrome Browser

- Many web browsers ran as single process (some still do)
  - If one web site causes trouble, entire browser can hang or crash
- Google Chrome Browser is multiprocess with 3 different types of processes:
  - **Browser** process manages user interface, disk and network I/O
  - **Renderer** process renders web pages, deals with HTML, Javascript. A new renderer created for each website opened
    - Runs in **sandbox** restricting disk and network I/O, minimizing effect of security exploits
  - **Plug-in** process for each type of plug-in



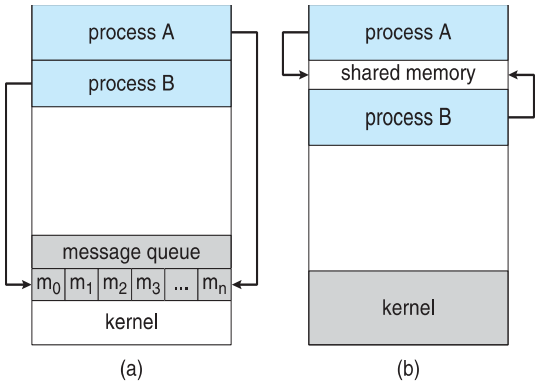

## Interprocess Communication

- Processes within a system may be ***independent*** or ***cooperating***
- Cooperating process can affect or be affected by other processes, including sharing data
- Reasons for cooperating processes:
  - Information sharing
  - Computation speedup
  - Modularity
  - Convenience
- Cooperating processes need **interprocess communication** (**IPC**)
- Two models of IPC
  - **Shared memory**
  - **Message passing**



## Communications Models

(a) Message passing. (b) shared memory.






## Cooperating Processes

- ***Independent*** process cannot affect or be affected by the execution of another process
- ***Cooperating*** process can affect or be affected by the execution of another process
- Advantages of process cooperation
  - Information sharing
  - Computation speed-up
  - Modularity
  - Convenience



## Producer-Consumer Problem

- Paradigm for cooperating processes, *producer* process produces information that is consumed by a *consumer* process
  - **unbounded-buffer** places no practical limit on the size of the buffer
  - **bounded-buffer** assumes that there is a fixed buffer size



## Bounded-Buffer – Shared-Memory Solution

- Shared data

```
#define BUFFER_SIZE 10
typedef struct {
  . . .
} item;

item buffer[BUFFER_SIZE];
int in = 0;
int out = 0;
```

- Solution is correct, but can only use BUFFER_SIZE-1 elements

## Bounded-Buffer – Producer

```
item next_produced;
while (true) {
        /* produce an item in next produced */
        while (((in + 1) % BUFFER_SIZE) == out)
                ; /* do nothing */
        buffer[in] = next_produced;
        in = (in + 1) % BUFFER_SIZE;
}
```



## Bounded Buffer – Consumer

```
item next_consumed;
while (true) {
        while (in == out)
                ; /* do nothing */
        next_consumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;

        /* consume the item in next consumed */
}
```



## Interprocess Communication – Shared Memory

- An area of memory shared among the processes that wish to communicate
- The communication is under the control of the users processes not the operating system.
- Major issues is to provide mechanism that will allow the user processes to synchronize their actions when they access shared memory.
- Synchronization is discussed in great details in Chapter 5.



## Interprocess Communication – Message Passing

- Mechanism for processes to communicate and to synchronize their actions
- Message system – processes communicate with each other without resorting to shared variables
- IPC facility provides two operations:
  - **send**(*message*)
  - **receive**(*message*)
- The *message* size is either fixed or variable



## Message Passing (Cont.)

- If processes *P* and *Q* wish to communicate, they need to:
  - Establish a ***communication link*** between them
  - Exchange messages via send/receive
- Implementation issues:
  - How are links established?
  - Can a link be associated with more than two processes?
  - How many links can there be between every pair of communicating processes?
  - What is the capacity of a link?
  - Is the size of a message that the link can accommodate fixed or variable?
  - Is a link unidirectional or bi-directional?



## Message Passing (Cont.)

- Implementation of communication link
  - Physical:
    - Shared memory
    - Hardware bus
    - Network
  - Logical:
    - Direct or indirect
    - Synchronous or asynchronous
    - Automatic or explicit buffering

## Direct Communication

- Processes must name each other explicitly:
  - **`send`** (*P, message*) – send a message to process P
  - **`receive`**(*Q, message*) – receive a message from process Q
- Properties of communication link
  - Links are established automatically
  - A link is associated with exactly one pair of communicating processes
  - Between each pair there exists exactly one link
  - The link may be unidirectional, but is usually bi-directional



## Indirect Communication

- Messages are directed and received from mailboxes (also referred to as ports)
  - Each mailbox has a unique id
  - Processes can communicate only if they share a mailbox
- Properties of communication link
  - Link established only if processes share a common mailbox
  - A link may be associated with many processes
  - Each pair of processes may share several communication links
  - Link may be unidirectional or bi-directional



## Indirect Communication

- Operations
  - create a new mailbox (port)
  - send and receive messages through mailbox
  - destroy a mailbox
- Primitives are defined as:

  **`send`**(*A, message*) – send a message to mailbox A

  **`receive`**(*A, message*) – receive a message from mailbox A



## Indirect Communication

- Mailbox sharing
  - $P_1$, $P_2$, and $P_3$ share mailbox A
  - $P_1$, sends; $P_2$ and $P_3$ receive
  - Who gets the message?
- Solutions
  - Allow a link to be associated with at most two processes
  - Allow only one process at a time to execute a receive operation
  - Allow the system to select arbitrarily the receiver. Sender is notified who the receiver was.



## Synchronization

- Message passing may be either blocking or non-blocking
- **Blocking** is considered **synchronous**
  - **Blocking send** -- the sender is blocked until the message is received
  - **Blocking receive** -- the receiver is blocked until a message is available
- **Non-blocking** is considered **asynchronous**
  - **Non-blocking send** -- the sender sends the message and continue
  - **Non-blocking receive** -- the receiver receives:
    - A valid message, or
    - Null message
- Different combinations possible
  - If both send and receive are blocking, we have a **rendezvous**



## Synchronization (Cont.)

- Producer-consumer becomes trivial

```
message next_produced;
while (true) {
    /* produce an item in next produced */
send(next_produced);
}

message next_consumed;
while (true) {
   receive(next_consumed);

   /* consume the item in next consumed */
}
```

# Buffering

- Queue of messages attached to the link.
- implemented in one of three ways
  1. Zero capacity – no messages are queued on a link.
     Sender must wait for receiver (rendezvous)
  2. Bounded capacity – finite length of *n* messages
     Sender must wait if link full
  3. Unbounded capacity – infinite length
     Sender never waits



# Examples of IPC Systems - POSIX

- POSIX Shared Memory
  - Process first creates shared memory segment
    `shm_fd = shm_open(name, O CREAT | O RDWR, 0666);`
  - Also used to open an existing segment to share it
  - Set the size of the object
    `ftruncate(shm fd, 4096);`
  - Now the process could write to the shared memory
    `sprintf(shared memory, "Writing to shared memory");`



# IPC POSIX Producer

```
#include <stdio.h>
#include <stdlib.h>
#include <string.h>
#include <fcntl.h>
#include <sys/shm.h>
#include <sys/stat.h>

int main()
{
/* the size (in bytes) of shared memory object */
const int SIZE = 4096;
/* name of the shared memory object */
const char *name = "OS";
/* strings written to shared memory */
const char *message_0 = "Hello";
const char *message_1 = "World!";

/* shared memory file descriptor */
int shm_fd;
/* pointer to shared memory obect */
void *ptr;

   /* create the shared memory object */
   shm_fd = shm_open(name, O_CREAT | O_RDWR, 0666);

   /* configure the size of the shared memory object */
   ftruncate(shm_fd, SIZE);

   /* memory map the shared memory object */
   ptr = mmap(0, SIZE, PROT_WRITE, MAP_SHARED, shm_fd, 0);

   /* write to the shared memory object */
   sprintf(ptr,"%s",message_0);
   ptr += strlen(message_0);
   sprintf(ptr,"%s",message_1);
   ptr += strlen(message_1);

   return 0;
}
```



# IPC POSIX Consumer

```
#include <stdio.h>
#include <stdlib.h>
#include <fcntl.h>
#include <sys/shm.h>
#include <sys/stat.h>

int main()
{
/* the size (in bytes) of shared memory object */
const int SIZE = 4096;
/* name of the shared memory object */
const char *name = "OS";
/* shared memory file descriptor */
int shm_fd;
/* pointer to shared memory obect */
void *ptr;

   /* open the shared memory object */
   shm_fd = shm_open(name, O_RDONLY, 0666);

   /* memory map the shared memory object */
   ptr = mmap(0, SIZE, PROT_READ, MAP_SHARED, shm_fd, 0);

   /* read from the shared memory object */
   printf("%s",(char *)ptr);

   /* remove the shared memory object */
   shm_unlink(name);

   return 0;
}
```



# Examples of IPC Systems - Mach

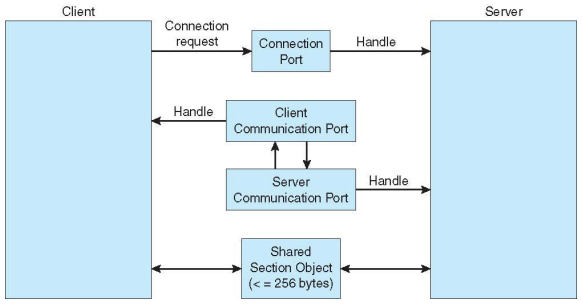
- Mach communication is message based
  - Even system calls are messages
  - Each task gets two mailboxes at creation- Kernel and Notify
  - Only three system calls needed for message transfer
    `msg_send(), msg_receive(), msg_rpc()`
  - Mailboxes needed for commuication, created via
    `port_allocate()`
  - Send and receive are flexible, for example four options if mailbox full:
    - Wait indefinitely
    - Wait at most n milliseconds
    - Return immediately
    - Temporarily cache a message



# Examples of IPC Systems – Windows

- Message-passing centric via **advanced local procedure call (LPC)** facility
  - Only works between processes on the same system
  - Uses ports (like mailboxes) to establish and maintain communication channels
  - Communication works as follows:
    - The client opens a handle to the subsystem's **connection port** object.
    - The client sends a connection request.
    - The server creates two private **communication ports** and returns the handle to one of them to the client.
    - The client and server use the corresponding port handle to send messages or callbacks and to listen for replies.

# Local Procedure Calls in Windows






# Communications in Client-Server Systems

- Sockets
- Remote Procedure Calls
- Pipes
- Remote Method Invocation (Java)

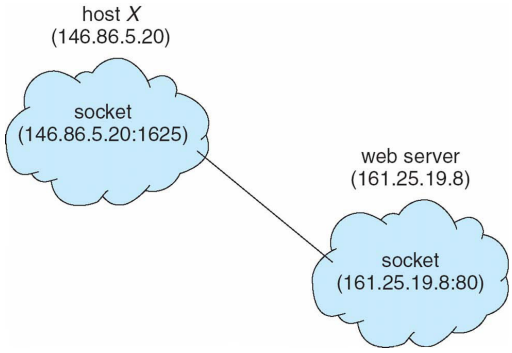


# Sockets

- A **socket** is defined as an endpoint for communication
- Concatenation of IP address and **port** – a number included at start of message packet to differentiate network services on a host
- The socket **161.25.19.8:1625** refers to port **1625** on host **161.25.19.8**
- Communication consists between a pair of sockets
- All ports below 1024 are ***well known***, used for standard services
- Special IP address 127.0.0.1 (**loopback**) to refer to system on which process is running



# Socket Communication






# Sockets in Java

- Three types of sockets
  - **Connection-oriented** (**TCP**)
  - **Connectionless** (**UDP**)
  - **`MulticastSocket`** class– data can be sent to multiple recipients
- Consider this "Date" server:

```
import java.net.*;
import java.io.*;

public class DateServer
{
  public static void main(String[] args) {
    try {
      ServerSocket sock = new ServerSocket(6013);

      /* now listen for connections */
      while (true) {
        Socket client = sock.accept();

        PrintWriter pout = new
         PrintWriter(client.getOutputStream(), true);

        /* write the Date to the socket */
        pout.println(new java.util.Date().toString());

        /* close the socket and resume */
        /* listening for connections */
        client.close();
      }
    }
    catch (IOException ioe) {
      System.err.println(ioe);
    }
  }
}
```



# Remote Procedure Calls

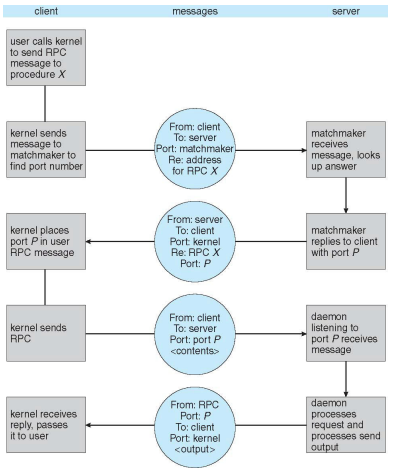
- Remote procedure call (RPC) abstracts procedure calls between processes on networked systems
  - Again uses ports for service differentiation
- **Stubs** – client-side proxy for the actual procedure on the server
- The client-side stub locates the server and **marshalls** the parameters
- The server-side stub receives this message, unpacks the marshalled parameters, and performs the procedure on the server
- On Windows, stub code compile from specification written in **Microsoft Interface Definition Language** (**MIDL**)

# Remote Procedure Calls (Cont.)

- Data representation handled via **External Data Representation** (**XDL**) format to account for different architectures
  - **Big-endian** and **little-endian**
- Remote communication has more failure scenarios than local
  - Messages can be delivered ***exactly once*** rather than ***at most once***
- OS typically provides a rendezvous (or **matchmaker**) service to connect client and server



# Execution of RPC





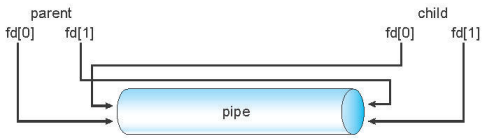

# Pipes

- Acts as a conduit allowing two processes to communicate
- Issues:
  - Is communication unidirectional or bidirectional?
  - In the case of two-way communication, is it half or full-duplex?
  - Must there exist a relationship (i.e., ***parent-child***) between the communicating processes?
  - Can the pipes be used over a network?
- Ordinary pipes – cannot be accessed from outside the process that created it. Typically, a parent process creates a pipe and uses it to communicate with a child process that it created.
- Named pipes – can be accessed without a parent-child relationship.



# Ordinary Pipes

- Ordinary Pipes allow communication in standard producer-consumer style
- Producer writes to one end (the **write-end** of the pipe)
- Consumer reads from the other end (the **read-end** of the pipe)
- Ordinary pipes are therefore unidirectional
- Require parent-child relationship between communicating processes




- Windows calls these **anonymous pipes**
- See Unix and Windows code samples in textbook

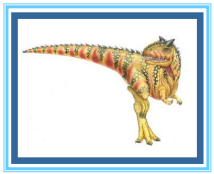


# Named Pipes

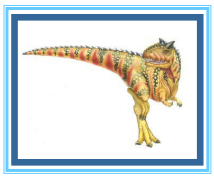
- Named Pipes are more powerful than ordinary pipes
- Communication is bidirectional
- No parent-child relationship is necessary between the communicating processes
- Several processes can use the named pipe for communication
- Provided on both UNIX and Windows systems



# End of Chapter 3



# Chapter 4: Threads





## Chapter 4: Threads

- Overview
- Multicore Programming
- Multithreading Models
- Thread Libraries
- Implicit Threading
- Threading Issues
- Operating System Examples



## Objectives

- To introduce the notion of a thread—a fundamental unit of CPU utilization that forms the basis of multithreaded computer systems
- To discuss the APIs for the Pthreads, Windows, and Java thread libraries
- To explore several strategies that provide implicit threading
- To examine issues related to multithreaded programming
- To cover operating system support for threads in Windows and Linux

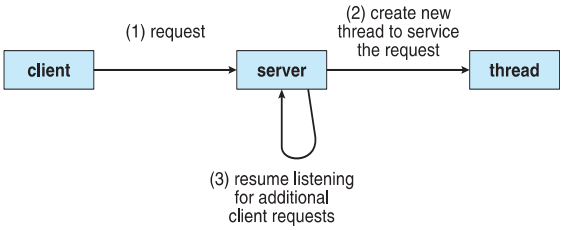


## Motivation

- Most modern applications are multithreaded
- Threads run within application
- Multiple tasks with the application can be implemented by separate threads
  - Update display
  - Fetch data
  - Spell checking
  - Answer a network request
- Process creation is heavy-weight while thread creation is light-weight
- Can simplify code, increase efficiency
- Kernels are generally multithreaded



## Multithreaded Server Architecture






## Benefits

- **Responsiveness –** may allow continued execution if part of process is blocked, especially important for user interfaces
- **Resource Sharing –** threads share resources of process, easier than shared memory or message passing
- **Economy –** cheaper than process creation, thread switching lower overhead than context switching
- **Scalability –** process can take advantage of multiprocessor architectures

# Multicore Programming

- Multicore or multiprocessor systems putting pressure on programmers, challenges include:
  - **Dividing activities**
  - **Balance**
  - **Data splitting**
  - **Data dependency**
  - **Testing and debugging**
- ***Parallelism*** implies a system can perform more than one task simultaneously
- ***Concurrency*** supports more than one task making progress
  - Single processor / core, scheduler providing concurrency



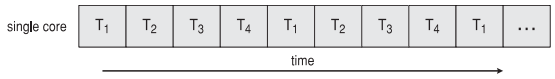
# Multicore Programming (Cont.)

- Types of parallelism
  - **Data parallelism** – distributes subsets of the same data across multiple cores, same operation on each
  - **Task parallelism** – distributing threads across cores, each thread performing unique operation
- As # of threads grows, so does architectural support for threading
  - CPUs have cores as well as ***hardware threads***
  - Consider Oracle SPARC T4 with 8 cores, and 8 hardware threads per core

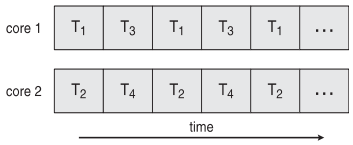


# Concurrency vs. Parallelism

- **Concurrent execution on single-core system:**

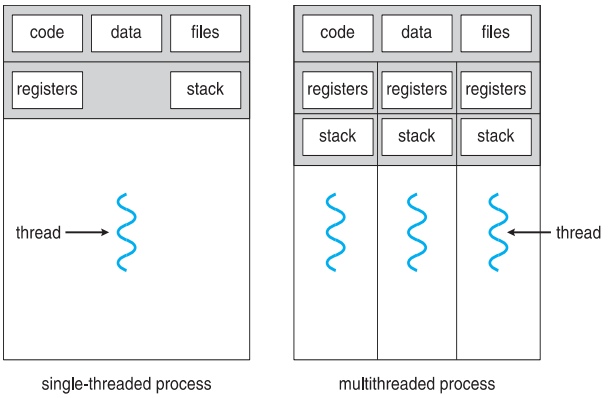



- **Parallelism on a multi-core system:**






# Single and Multithreaded Processes






# Amdahl's Law

- Identifies performance gains from adding additional cores to an application that has both serial and parallel components
- *S* is serial portion
- *N* processing cores

$$speedup \leq \frac{1}{S + \frac{(1-S)}{N}}$$

- That is, if application is 75% parallel / 25% serial, moving from 1 to 2 cores results in speedup of 1.6 times
- As *N* approaches infinity, speedup approaches 1 / *S*

**Serial portion of an application has disproportionate effect on performance gained by adding additional cores**

- But does the law take into account contemporary multicore systems?



# User Threads and Kernel Threads

- **User threads** - management done by user-level threads library
- Three primary thread libraries:
  - POSIX **Pthreads**
  - Windows threads
  - Java threads
- **Kernel threads** - Supported by the Kernel
- Examples – virtually all general purpose operating systems, including:
  - Windows
  - Solaris
  - Linux
  - Tru64 UNIX
  - Mac OS X

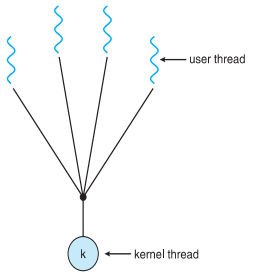
# Multithreading Models

- Many-to-One
- One-to-One
- Many-to-Many



# Many-to-One

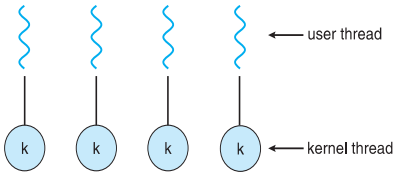
- Many user-level threads mapped to single kernel thread
- One thread blocking causes all to block
- Multiple threads may not run in parallel on muticore system because only one may be in kernel at a time
- Few systems currently use this model
- Examples:
  - Solaris Green Threads
  - GNU Portable Threads






# One-to-One

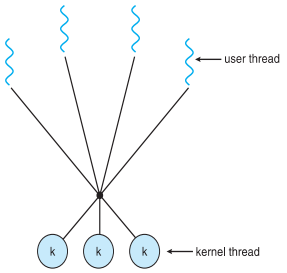
- Each user-level thread maps to kernel thread
- Creating a user-level thread creates a kernel thread
- More concurrency than many-to-one
- Number of threads per process sometimes restricted due to overhead
- Examples
  - Windows
  - Linux
  - Solaris 9 and later






# Many-to-Many Model

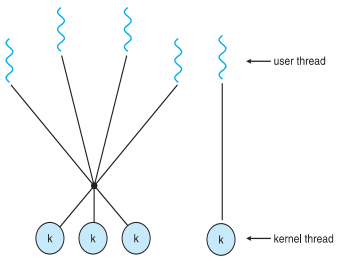
- Allows many user level threads to be mapped to many kernel threads
- Allows the operating system to create a sufficient number of kernel threads
- Solaris prior to version 9
- Windows with the *ThreadFiber* package






# Two-level Model

- Similar to M:M, except that it allows a user thread to be **bound** to kernel thread
- Examples
  - IRIX
  - HP-UX
  - Tru64 UNIX
  - Solaris 8 and earlier






# Thread Libraries

- Thread library provides programmer with API for creating and managing threads
- Two primary ways of implementing
  - Library entirely in user space
  - Kernel-level library supported by the OS

# Pthreads

- May be provided either as user-level or kernel-level
- A POSIX standard (IEEE 1003.1c) API for thread creation and synchronization
- ***Specification***, not ***implementation***
- API specifies behavior of the thread library, implementation is up to development of the library
- Common in UNIX operating systems (Solaris, Linux, Mac OS X)



# Pthreads Example

```
#include <pthread.h>
#include <stdio.h>

int sum; /* this data is shared by the thread(s) */
void *runner(void *param); /* threads call this function */

int main(int argc, char *argv[])
{
  pthread_t tid; /* the thread identifier */
  pthread_attr_t attr; /* set of thread attributes */

  if (argc != 2) {
    fprintf(stderr,"usage: a.out <integer value>\n");
    return -1;
  }
  if (atoi(argv[1]) < 0) {
    fprintf(stderr,"%d must be >= 0\n",atoi(argv[1]));
    return -1;
  }
```



# Pthreads Example (Cont.)

```
  /* get the default attributes */
  pthread_attr_init(&attr);
  /* create the thread */
  pthread_create(&tid,&attr,runner,argv[1]);
  /* wait for the thread to exit */
  pthread_join(tid,NULL);

  printf("sum = %d\n",sum);
}

/* The thread will begin control in this function */
void *runner(void *param)
{
  int i, upper = atoi(param);
  sum = 0;

  for (i = 1; i <= upper; i++)
    sum += i;

  pthread_exit(0);
}
```



# Pthreads Code for Joining 10 Threads

```
#define NUM_THREADS 10

/* an array of threads to be joined upon */
pthread_t workers[NUM_THREADS];

for (int i = 0; i < NUM_THREADS; i++)
  pthread_join(workers[i], NULL);
```



# Windows Multithreaded C Program

```
#include <windows.h>
#include <stdio.h>
DWORD Sum; /* data is shared by the thread(s) */

/* the thread runs in this separate function */
DWORD WINAPI Summation(LPVOID Param)
{
  DWORD Upper = *(DWORD*)Param;
  for (DWORD i = 0; i <= Upper; i++)
    Sum += i;
  return 0;
}

int main(int argc, char *argv[])
{
  DWORD ThreadId;
  HANDLE ThreadHandle;
  int Param;

  if (argc != 2) {
    fprintf(stderr,"An integer parameter is required\n");
    return -1;
  }
  Param = atoi(argv[1]);
  if (Param < 0) {
    fprintf(stderr,"An integer >= 0 is required\n");
    return -1;
  }
```



# Windows Multithreaded C Program (Cont.)

```
  /* create the thread */
  ThreadHandle = CreateThread(
    NULL, /* default security attributes */
    0, /* default stack size */
    Summation, /* thread function */
    &Param, /* parameter to thread function */
    0, /* default creation flags */
    &ThreadId); /* returns the thread identifier */

  if (ThreadHandle != NULL) {
    /* now wait for the thread to finish */
    WaitForSingleObject(ThreadHandle,INFINITE);

    /* close the thread handle */
    CloseHandle(ThreadHandle);

    printf("sum = %d\n",Sum);
  }
}
```

# Java Threads

- Java threads are managed by the JVM
- Typically implemented using the threads model provided by underlying OS
- Java threads may be created by:

```
public interface Runnable
{
    public abstract void run();
}
```

  - Extending Thread class
  - Implementing the Runnable interface



# Java Multithreaded Program

```
class Sum
{
  private int sum;

  public int getSum() {
   return sum;
  }

  public void setSum(int sum) {
   this.sum = sum;
  }
}

class Summation implements Runnable
{
  private int upper;
  private Sum sumValue;

  public Summation(int upper, Sum sumValue) {
   this.upper = upper;
   this.sumValue = sumValue;
  }

  public void run() {
   int sum = 0;
   for (int i = 0; i <= upper; i++)
      sum += i;
   sumValue.setSum(sum);
  }
}
```



# Java Multithreaded Program (Cont.)

```
public class Driver
{
  public static void main(String[] args) {
   if (args.length > 0) {
    if (Integer.parseInt(args[0]) < 0)
     System.err.println(args[0] + " must be >= 0.");
    else {
     Sum sumObject = new Sum();
     int upper = Integer.parseInt(args[0]);
     Thread thrd = new Thread(new Summation(upper, sumObject));
     thrd.start();
     try {
        thrd.join();
        System.out.println
                ("The sum of "+upper+" is "+sumObject.getSum());
     } catch (InterruptedException ie) { }
    }
   }
   else
    System.err.println("Usage: Summation <integer value>"); }
}
```



# Implicit Threading

- Growing in popularity as numbers of threads increase, program correctness more difficult with explicit threads
- Creation and management of threads done by compilers and run-time libraries rather than programmers
- Three methods explored
  - Thread Pools
  - OpenMP
  - Grand Central Dispatch
- Other methods include Microsoft Threading Building Blocks (TBB), **`java.util.concurrent`** package



# Thread Pools

- Create a number of threads in a pool where they await work
- Advantages:
  - Usually slightly faster to service a request with an existing thread than create a new thread
  - Allows the number of threads in the application(s) to be bound to the size of the pool
  - Separating task to be performed from mechanics of creating task allows different strategies for running task
    - i.e.Tasks could be scheduled to run periodically
- Windows API supports thread pools:

```
DWORD WINAPI PoolFunction(AVOID Param) {
   /*
   * this function runs as a separate thread.
   */
}
```



# OpenMP

- Set of compiler directives and an API for C, C++, FORTRAN
- Provides support for parallel programming in shared-memory environments
- Identifies **parallel regions** – blocks of code that can run in parallel

**`#pragma omp parallel`**

Create as many threads as there are cores

```
#pragma omp parallel for
   for(i=0;i<N;i++) {
     c[i] = a[i] + b[i];
}
```

Run for loop in parallel

```
#include <omp.h>
#include <stdio.h>

int main(int argc, char *argv[])
{
   /* sequential code */

   #pragma omp parallel
   {
      printf("I am a parallel region.");
   }

   /* sequential code */

   return 0;
}
```

# Grand Central Dispatch

- Apple technology for Mac OS X and iOS operating systems
- Extensions to C, C++ languages, API, and run-time library
- Allows identification of parallel sections
- Manages most of the details of threading
- Block is in "^{ }" - `^{ printf("I am a block"); }`
- Blocks placed in dispatch queue
  - Assigned to available thread in thread pool when removed from queue



# Grand Central Dispatch

- Two types of dispatch queues:
  - serial – blocks removed in FIFO order, queue is per process, called **main queue**
    - Programmers can create additional serial queues within program
  - concurrent – removed in FIFO order but several may be removed at a time
    - Three system wide queues with priorities low, default, high

```
dispatch_queue_t queue = dispatch_get_global_queue
   (DISPATCH_QUEUE_PRIORITY_DEFAULT, 0);

dispatch_async(queue, ^{ printf("I am a block."); });
```



# Threading Issues

- Semantics of **fork()** and **exec()** system calls
- Signal handling
  - Synchronous and asynchronous
- Thread cancellation of target thread
  - Asynchronous or deferred
- Thread-local storage
- Scheduler Activations



# Semantics of fork() and exec()

- Does `fork()` duplicate only the calling thread or all threads?
  - Some UNIXes have two versions of fork
- `exec()` usually works as normal – replace the running process including all threads



# Signal Handling

- **Signals** are used in UNIX systems to notify a process that a particular event has occurred.
- A **signal handler** is used to process signals
  1. Signal is generated by particular event
  2. Signal is delivered to a process
  3. Signal is handled by one of two signal handlers:
     1. default
     2. user-defined
- Every signal has **default handler** that kernel runs when handling signal
  - **User-defined signal handler** can override default
  - For single-threaded, signal delivered to process



# Signal Handling (Cont.)

- Where should a signal be delivered for multi-threaded?
  - Deliver the signal to the thread to which the signal applies
  - Deliver the signal to every thread in the process
  - Deliver the signal to certain threads in the process
  - Assign a specific thread to receive all signals for the process

# Thread Cancellation

- Terminating a thread before it has finished
- Thread to be canceled is **target thread**
- Two general approaches:
  - **Asynchronous cancellation** terminates the target thread immediately
  - **Deferred cancellation** allows the target thread to periodically check if it should be cancelled
- Pthread code to create and cancel a thread:

```
pthread_t tid;

/* create the thread */
pthread_create(&tid, 0, worker, NULL);

. . .

/* cancel the thread */
pthread_cancel(tid);
```



# Thread Cancellation (Cont.)

- Invoking thread cancellation requests cancellation, but actual cancellation depends on thread state

| Mode | State | Type |
|---|---|---|
| Off | Disabled | – |
| Deferred | Enabled | Deferred |
| Asynchronous | Enabled | Asynchronous |

- If thread has cancellation disabled, cancellation remains pending until thread enables it
- Default type is deferred
  - Cancellation only occurs when thread reaches **cancellation point**
    - I.e. `pthread_testcancel()`
    - Then **cleanup handler** is invoked
- On Linux systems, thread cancellation is handled through signals



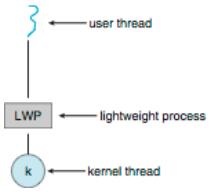
# Thread-Local Storage

- **Thread-local storage** (**TLS**) allows each thread to have its own copy of data
- Useful when you do not have control over the thread creation process (i.e., when using a thread pool)
- Different from local variables
  - Local variables visible only during single function invocation
  - TLS visible across function invocations
- Similar to `static` data
  - TLS is unique to each thread



# Scheduler Activations

- Both M:M and Two-level models require communication to maintain the appropriate number of kernel threads allocated to the application
- Typically use an intermediate data structure between user and kernel threads – **lightweight process** (**LWP**)
  - Appears to be a virtual processor on which process can schedule user thread to run
  - Each LWP attached to kernel thread
  - How many LWPs to create?
- Scheduler activations provide **upcalls** - a communication mechanism from the kernel to the **upcall handler** in the thread library
- This communication allows an application to maintain the correct number kernel threads






# Operating System Examples

- Windows Threads
- Linux Threads



# Windows Threads

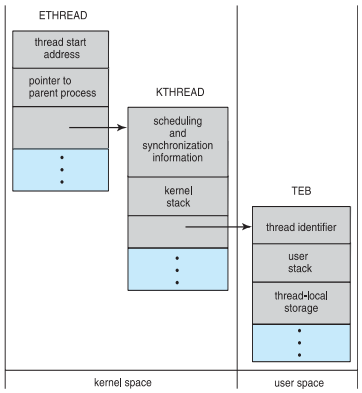
- Windows implements the Windows API – primary API for Win 98, Win NT, Win 2000, Win XP, and Win 7
- Implements the one-to-one mapping, kernel-level
- Each thread contains
  - A thread id
  - Register set representing state of processor
  - Separate user and kernel stacks for when thread runs in user mode or kernel mode
  - Private data storage area used by run-time libraries and dynamic link libraries (DLLs)
- The register set, stacks, and private storage area are known as the **context** of the thread

# Windows Threads (Cont.)

- The primary data structures of a thread include:
  - ETHREAD (executive thread block) – includes pointer to process to which thread belongs and to KTHREAD, in kernel space
  - KTHREAD (kernel thread block) – scheduling and synchronization info, kernel-mode stack, pointer to TEB, in kernel space
  - TEB (thread environment block) – thread id, user-mode stack, thread-local storage, in user space



# Windows Threads Data Structures






# Linux Threads

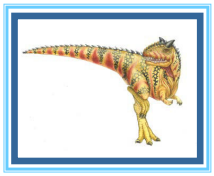
- Linux refers to them as ***tasks*** rather than ***threads***
- Thread creation is done through `clone()` system call
- `clone()` allows a child task to share the address space of the parent task (process)
  - Flags control behavior

| flag | meaning |
|---|---|
| CLONE_FS | File-system information is shared. |
| CLONE_VM | The same memory space is shared. |
| CLONE_SIGHAND | Signal handlers are shared. |
| CLONE_FILES | The set of open files is shared. |

- `struct task_struct` points to process data structures (shared or unique)

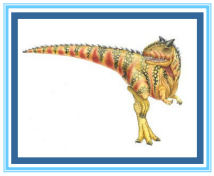


# End of Chapter 4





# Chapter 5: Process Synchronization





# Chapter 5: Process Synchronization

- Background
- The Critical-Section Problem
- Peterson's Solution
- Synchronization Hardware
- Mutex Locks
- Semaphores
- Classic Problems of Synchronization
- Monitors
- Synchronization Examples
- Alternative Approaches

# Objectives

- To present the concept of process synchronization.
- To introduce the critical-section problem, whose solutions can be used to ensure the consistency of shared data
- To present both software and hardware solutions of the critical-section problem
- To examine several classical process-synchronization problems
- To explore several tools that are used to solve process synchronization problems



# Background

- Processes can execute concurrently
  - May be interrupted at any time, partially completing execution
- Concurrent access to shared data may result in data inconsistency
- Maintaining data consistency requires mechanisms to ensure the orderly execution of cooperating processes
- Illustration of the problem:
  Suppose that we wanted to provide a solution to the consumer-producer problem that fills ***all*** the buffers. We can do so by having an integer **counter** that keeps track of the number of full buffers. Initially, **counter** is set to 0. It is incremented by the producer after it produces a new buffer and is decremented by the consumer after it consumes a buffer.



# Producer

```
while (true) {
        /* produce an item in next produced */

        while (counter == BUFFER_SIZE) ;
                /* do nothing */
        buffer[in] = next_produced;
        in = (in + 1) % BUFFER_SIZE;
        counter++;
}
```



# Consumer

```
while (true) {
        while (counter == 0)
                ; /* do nothing */
        next_consumed = buffer[out];
        out = (out + 1) % BUFFER_SIZE;
        counter--;
        /* consume the item in next consumed */
}
```



# Race Condition

- **`counter++`** could be implemented as

```
register1 = counter
register1 = register1 + 1
counter = register1
```

- **`counter--`** could be implemented as

```
register2 = counter
register2 = register2 - 1
counter = register2
```

- Consider this execution interleaving with "count = 5" initially:

S0: producer execute `register1 = counter` {register1 = 5}
S1: producer execute `register1 = register1 + 1` {register1 = 6}
S2: consumer execute `register2 = counter` {register2 = 5}
S3: consumer execute `register2 = register2 - 1` {register2 = 4}
S4: producer execute `counter = register1` {counter = 6 }
S5: consumer execute `counter = register2` {counter = 4}



# Critical Section Problem

- Consider system of ***n*** processes $\{p_0, p_1, \ldots p_{n-1}\}$
- Each process has **critical section** segment of code
  - Process may be changing common variables, updating table, writing file, etc
  - When one process in critical section, no other may be in its critical section
- ***Critical section problem*** is to design protocol to solve this
- Each process must ask permission to enter critical section in **entry section**, may follow critical section with **exit section**, then **remainder section**

# Critical Section

- General structure of process $P_i$

```
do {
    entry section
        critical section
    exit section
        remainder section
} while (true);
```



# Algorithm for Process $P_i$

```
do {
    while (turn == j);
        critical section
    turn = j;
        remainder section
} while (true);
```



# Solution to Critical-Section Problem

1. **Mutual Exclusion** - If process $P_i$ is executing in its critical section, then no other processes can be executing in their critical sections
2. **Progress** - If no process is executing in its critical section and there exist some processes that wish to enter their critical section, then the selection of the processes that will enter the critical section next cannot be postponed indefinitely
3. **Bounded Waiting** - A bound must exist on the number of times that other processes are allowed to enter their critical sections after a process has made a request to enter its critical section and before that request is granted
   - Assume that each process executes at a nonzero speed
   - No assumption concerning **relative speed** of the ***n*** processes



# Critical-Section Handling in OS

Two approaches depending on if kernel is preemptive or non-preemptive

- **Preemptive** – allows preemption of process when running in kernel mode
- **Non-preemptive** – runs until exits kernel mode, blocks, or voluntarily yields CPU
  - Essentially free of race conditions in kernel mode



# Peterson's Solution

- Good algorithmic description of solving the problem
- Two process solution
- Assume that the **`load`** and **`store`** machine-language instructions are atomic; that is, cannot be interrupted
- The two processes share two variables:
  - **`int turn;`**
  - **`Boolean flag[2]`**
- The variable **`turn`** indicates whose turn it is to enter the critical section
- The **`flag`** array is used to indicate if a process is ready to enter the critical section. **`flag[i] = true`** implies that process $P_i$ is ready!



# Algorithm for Process $P_i$

```
do {
    flag[i] = true;
    turn = j;
    while (flag[j] && turn = = j);
        critical section
    flag[i] = false;
        remainder section
} while (true);
```

# Peterson's Solution (Cont.)

- Provable that the three CS requirement are met:
  1. Mutual exclusion is preserved
     $P_i$ enters CS only if:
     either `flag[j] = false` or `turn = i`
  2. Progress requirement is satisfied
  3. Bounded-waiting requirement is met



# Synchronization Hardware

- Many systems provide hardware support for implementing the critical section code.
- All solutions below based on idea of **locking**
  - Protecting critical regions via locks
- Uniprocessors – could disable interrupts
  - Currently running code would execute without preemption
  - Generally too inefficient on multiprocessor systems
    - Operating systems using this not broadly scalable
- Modern machines provide special atomic hardware instructions
  - **Atomic** = non-interruptible
  - Either test memory word and set value
  - Or swap contents of two memory words



# Solution to Critical-section Problem Using Locks

```
do {
        acquire lock
                critical section
        release lock
                remainder section
} while (TRUE);
```



# test_and_set Instruction

Definition:

```
boolean test_and_set (boolean *target)
   {
        boolean rv = *target;
        *target = TRUE;
        return rv:
   }
```

1. Executed atomically
2. Returns the original value of passed parameter
3. Set the new value of passed parameter to "TRUE".



# Solution using test_and_set()

- Shared Boolean variable lock, initialized to FALSE
- Solution:

```
do {
    while (test_and_set(&lock))
       ; /* do nothing */
          /* critical section */
    lock = false;
          /* remainder section */
 } while (true);
```



# compare_and_swap Instruction

Definition:

```
int compare _and_swap(int *value, int expected, int new_value) {
    int temp = *value;

    if (*value == expected)
       *value = new_value;
 return temp;
}
```

1. Executed atomically
2. Returns the original value of passed parameter "value"
3. Set the variable "value" the value of the passed parameter "new_value" but only if "value" ==“expected". That is, the swap takes place only under this condition.

## Solution using compare_and_swap

- Shared integer "lock" initialized to 0;
- Solution:

```
do {
     while (compare_and_swap(&lock, 0, 1) != 0)
      ; /* do nothing */
    /* critical section */
 lock = 0;
    /* remainder section */
} while (true);
```



## Bounded-waiting Mutual Exclusion with test_and_set

```
do {
   waiting[i] = true;
   key = true;
   while (waiting[i] && key)
      key = test_and_set(&lock);
   waiting[i] = false;
   /* critical section */
   j = (i + 1) % n;
   while ((j != i) && !waiting[j])
      j = (j + 1) % n;
   if (j == i)
      lock = false;
   else
      waiting[j] = false;
   /* remainder section */
} while (true);
```



## Mutex Locks

- Previous solutions are complicated and generally inaccessible to application programmers
- OS designers build software tools to solve critical section problem
- Simplest is mutex lock
- Protect a critical section by first **`acquire()`** a lock then **`release()`** the lock
  - Boolean variable indicating if lock is available or not
- Calls to **`acquire()`** and **`release()`** must be atomic
  - Usually implemented via hardware atomic instructions
- But this solution requires **busy waiting**
  - This lock therefore called a **spinlock**



## acquire() and release()

```
acquire() {
   while (!available)
      ; /* busy wait */
   available = false;;
}
release() {
   available = true;
}
do {
   acquire lock
      critical section
   release lock
     remainder section
} while (true);
```



## Semaphore

- Synchronization tool that provides more sophisticated ways (than Mutex locks) for process to synchronize their activities.
- Semaphore ***S*** – integer variable
- Can only be accessed via two indivisible (atomic) operations
  - **`wait()`** and **`signal()`**
    - Originally called **`P()`** and **`V()`**
- Definition of the **`wait()` operation**

```
wait(S) {
    while (S <= 0)
       ; // busy wait
    S--;
}
```

- Definition of the **`signal()` operation**

```
signal(S) {
    S++;
}
```



## Semaphore Usage

- **Counting semaphore** – integer value can range over an unrestricted domain
- **Binary semaphore** – integer value can range only between 0 and 1
  - Same as a **mutex lock**
- Can solve various synchronization problems
- Consider $P_1$ and $P_2$ that require $S_1$ to happen before $S_2$
  Create a semaphore "**`synch`**" initialized to 0

```
P1:
   S1;
   signal(synch);
P2:
   wait(synch);
   S2;
```

- Can implement a counting semaphore ***S*** as a binary semaphore

# Semaphore Implementation

- Must guarantee that no two processes can execute the **`wait()`** and **`signal()`** on the same semaphore at the same time
- Thus, the implementation becomes the critical section problem where the **`wait`** and **`signal`** code are placed in the critical section
  - Could now have **busy waiting** in critical section implementation
    - But implementation code is short
    - Little busy waiting if critical section rarely occupied
- Note that applications may spend lots of time in critical sections and therefore this is not a good solution



# Semaphore Implementation with no Busy waiting

- With each semaphore there is an associated waiting queue
- Each entry in a waiting queue has two data items:
  - value (of type integer)
  - pointer to next record in the list
- Two operations:
  - **block** – place the process invoking the operation on the appropriate waiting queue
  - **wakeup** – remove one of processes in the waiting queue and place it in the ready queue
- 
```
typedef struct{
int value;
struct process *list;
} semaphore;
```



# Implementation with no Busy waiting (Cont.)

```
wait(semaphore *S) {
   S->value--;
   if (S->value < 0) {
      add this process to S->list;
      block();
   }
}

signal(semaphore *S) {
   S->value++;
   if (S->value <= 0) {
      remove a process P from S->list;
      wakeup(P);
   }
}
```



# Deadlock and Starvation

- **Deadlock** – two or more processes are waiting indefinitely for an event that can be caused by only one of the waiting processes
- Let ***S*** and ***Q*** be two semaphores initialized to 1

| $P_0$ | $P_1$ |
|---|---|
| `wait(S);` | `wait(Q);` |
| `wait(Q);` | `wait(S);` |
| `...` | `...` |
| `signal(S);` | `signal(Q);` |
| `signal(Q);` | `signal(S);` |

- **Starvation** – **indefinite blocking**
  - A process may never be removed from the semaphore queue in which it is suspended
- **Priority Inversion** – Scheduling problem when lower-priority process holds a lock needed by higher-priority process
  - Solved via **priority-inheritance protocol**



# Classical Problems of Synchronization

- Classical problems used to test newly-proposed synchronization schemes
  - Bounded-Buffer Problem
  - Readers and Writers Problem
  - Dining-Philosophers Problem



# Bounded-Buffer Problem

- ***n*** buffers, each can hold one item
- Semaphore **`mutex`** initialized to the value 1
- Semaphore **`full`** initialized to the value 0
- Semaphore **`empty`** initialized to the value n

# Bounded Buffer Problem (Cont.)

- The structure of the producer process

```
do {
      ...
       /* produce an item in next_produced */
      ...
    wait(empty);
    wait(mutex);
       ...
       /* add next produced to the buffer */
       ...
    signal(mutex);
    signal(full);
} while (true);
```



# Bounded Buffer Problem (Cont.)

- The structure of the consumer process

```
Do {
    wait(full);
    wait(mutex);
       ...
    /* remove an item from buffer to next_consumed */
       ...
    signal(mutex);
    signal(empty);
       ...
    /* consume the item in next consumed */
       ...
} while (true);
```



# Readers-Writers Problem

- A data set is shared among a number of concurrent processes
  - Readers – only read the data set; they do ***not*** perform any updates
  - Writers – can both read and write
- Problem – allow multiple readers to read at the same time
  - Only one single writer can access the shared data at the same time
- Several variations of how readers and writers are considered – all involve some form of priorities
- Shared Data
  - Data set
  - Semaphore **`rw_mutex`** initialized to 1
  - Semaphore **`mutex`** initialized to 1
  - Integer **`read_count`** initialized to 0



# Readers-Writers Problem (Cont.)

- The structure of a writer process

```
do {
      wait(rw_mutex);
        ...
      /* writing is performed */
        ...
   signal(rw_mutex);
} while (true);
```



# Readers-Writers Problem (Cont.)

- The structure of a reader process

```
do {
      wait(mutex);
      read_count++;
      if (read_count == 1)
        wait(rw_mutex);
   signal(mutex);
       ...
      /* reading is performed */
       ...
   wait(mutex);
      read count--;
      if (read_count == 0)
   signal(rw_mutex);
   signal(mutex);
} while (true);
```



# Readers-Writers Problem Variations

- ***First*** variation – no reader kept waiting unless writer has permission to use shared object
- ***Second*** variation – once writer is ready, it performs the write ASAP
- Both may have starvation leading to even more variations
- Problem is solved on some systems by kernel providing reader-writer locks

# Dining-Philosophers Problem


- Philosophers spend their lives alternating thinking and eating
- Don't interact with their neighbors, occasionally try to pick up 2 chopsticks (one at a time) to eat from bowl
  - Need both to eat, then release both when done
- In the case of 5 philosophers
  - Shared data
    - Bowl of rice (data set)
    - Semaphore chopstick [5] initialized to 1



# Dining-Philosophers Problem Algorithm

- The structure of Philosopher *i*:

```
do {
    wait (chopstick[i] );
    wait (chopStick[ (i + 1) % 5] );

        //  eat

    signal (chopstick[i] );
    signal (chopstick[ (i + 1) % 5] );

        //  think

} while (TRUE);
```

- What is the problem with this algorithm?



# Dining-Philosophers Problem Algorithm (Cont.)

- Deadlock handling
  - Allow at most 4 philosophers to be sitting simultaneously at the table.
  - Allow a philosopher to pick up the forks only if both are available (picking must be done in a critical section.
  - Use an asymmetric solution -- an odd-numbered philosopher picks up first the left chopstick and then the right chopstick. Even-numbered philosopher picks up first the right chopstick and then the left chopstick.



# Problems with Semaphores

- Incorrect use of semaphore operations:
  - signal (mutex) …. wait (mutex)
  - wait (mutex) … wait (mutex)
  - Omitting of wait (mutex) or signal (mutex) (or both)
- Deadlock and starvation are possible.



# Monitors

- A high-level abstraction that provides a convenient and effective mechanism for process synchronization
- *Abstract data type*, internal variables only accessible by code within the procedure
- Only one process may be active within the monitor at a time
- But not powerful enough to model some synchronization schemes

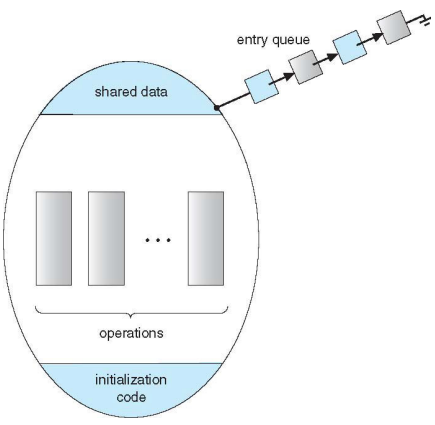
```
monitor monitor-name
{
  // shared variable declarations
  procedure P1 (…) { …. }

  procedure Pn (…) {……}

    Initialization code (…) { … }
  }
}
```



# Schematic view of a Monitor

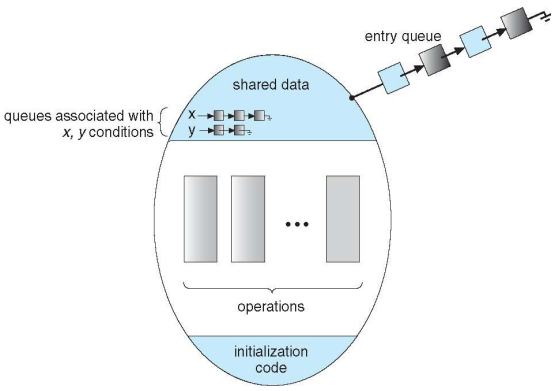


# Condition Variables

- `condition x, y;`
- Two operations are allowed on a condition variable:
  - `x.wait()` – a process that invokes the operation is suspended until `x.signal()`
  - `x.signal()` – resumes one of processes (if any) that invoked `x.wait()`
    - If no `x.wait()` on the variable, then it has no effect on the variable



# Monitor with Condition Variables






# Condition Variables Choices

- If process P invokes `x.signal()`, and process Q is suspended in `x.wait()`, what should happen next?
  - Both Q and P cannot execute in paralel. If Q is resumed, then P must wait
- Options include
  - **Signal and wait** – P waits until Q either leaves the monitor or it waits for another condition
  - **Signal and continue** – Q waits until P either leaves the monitor or it waits for another condition
  - Both have pros and cons – language implementer can decide
  - Monitors implemented in Concurrent Pascal compromise
    - P executing signal immediately leaves the monitor, Q is resumed
  - Implemented in other languages including Mesa, C#, Java



# Monitor Solution to Dining Philosophers

```
monitor DiningPhilosophers
{
   enum { THINKING; HUNGRY, EATING) state [5] ;
   condition self [5];

   void pickup (int i) {
          state[i] = HUNGRY;
          test(i);
          if (state[i] != EATING) self[i].wait;
   }

   void putdown (int i) {
          state[i] = THINKING;
                  // test left and right neighbors
           test((i + 4) % 5);
           test((i + 1) % 5);
   }
```



# Solution to Dining Philosophers (Cont.)

```
   void test (int i) {
          if ((state[(i + 4) % 5] != EATING) &&
          (state[i] == HUNGRY) &&
          (state[(i + 1) % 5] != EATING) ) {
               state[i] = EATING ;
           self[i].signal () ;
          }
   }

       initialization_code() {
          for (int i = 0; i < 5; i++)
          state[i] = THINKING;
        }
}
```



# Solution to Dining Philosophers (Cont.)

- Each philosopher *i* invokes the operations `pickup()` and `putdown()` in the following sequence:

```
DiningPhilosophers.pickup(i);

EAT

DiningPhilosophers.putdown(i);
```

- No deadlock, but starvation is possible

## Monitor Implementation Using Semaphores

- Variables

```
semaphore mutex;  // (initially  = 1)
semaphore next;   // (initially  = 0)
int next_count = 0;
```

- Each procedure ***F*** will be replaced by

```
wait(mutex);
   …
   body of F;
   …
if (next_count > 0)
  signal(next)
else
  signal(mutex);
```

- Mutual exclusion within a monitor is ensured



## Monitor Implementation – Condition Variables

- For each condition variable ***x***, we have:

```
semaphore x_sem; // (initially  = 0)
int x_count = 0;
```

- The operation x.wait can be implemented as:

```
x_count++;
if (next_count > 0)
   signal(next);
else
   signal(mutex);
wait(x_sem);
x_count--;
```



## Monitor Implementation (Cont.)

- The operation **x.signal** can be implemented as:

```
if (x_count > 0) {
   next_count++;
   signal(x_sem);
   wait(next);
   next_count--;
}
```



## Resuming Processes within a Monitor

- If several processes queued on condition x, and x.signal() executed, which should be resumed?
- FCFS frequently not adequate
- **conditional-wait** construct of the form x.wait(c)
  - Where c is **priority number**
  - Process with lowest number (highest priority) is scheduled next



## Single Resource allocation

- Allocate a single resource among competing processes using priority numbers that specify the maximum time a process plans to use the resource

```
R.acquire(t);
   ...
  access the resurce;
   ...

R.release;
```

- Where R is an instance of type **ResourceAllocator**



## A Monitor to Allocate Single Resource

```
monitor ResourceAllocator
{
   boolean busy;
   condition x;
   void acquire(int time) {
            if (busy)
               x.wait(time);
            busy = TRUE;
   }
   void release() {
            busy = FALSE;
            x.signal();
   }
initialization code() {
    busy = FALSE;
   }
}
```

# Synchronization Examples

- Solaris
- Windows
- Linux
- Pthreads



# Solaris Synchronization

- Implements a variety of locks to support multitasking, multithreading (including real-time threads), and multiprocessing
- Uses **adaptive mutexes** for efficiency when protecting data from short code segments
  - Starts as a standard semaphore spin-lock
  - If lock held, and by a thread running on another CPU, spins
  - If lock held by non-run-state thread, block and sleep waiting for signal of lock being released
- Uses **condition variables**
- Uses **readers-writers** locks when longer sections of code need access to data
- Uses **turnstiles** to order the list of threads waiting to acquire either an adaptive mutex or reader-writer lock
  - Turnstiles are per-lock-holding-thread, not per-object
- Priority-inheritance per-turnstile gives the running thread the highest of the priorities of the threads in its turnstile



# Windows Synchronization

- Uses interrupt masks to protect access to global resources on uniprocessor systems
- Uses **spinlocks** on multiprocessor systems
  - Spinlocking-thread will never be preempted
- Also provides **dispatcher objects** user-land which may act mutexes, semaphores, events, and timers
  - **Events**
    - An event acts much like a condition variable
  - Timers notify one or more thread when time expired
  - Dispatcher objects either **signaled-state** (object available) or **non-signaled state** (thread will block)



# Linux Synchronization

- Linux:
  - Prior to kernel Version 2.6, disables interrupts to implement short critical sections
  - Version 2.6 and later, fully preemptive
- Linux provides:
  - Semaphores
  - atomic integers
  - spinlocks
  - reader-writer versions of both
- On single-cpu system, spinlocks replaced by enabling and disabling kernel preemption



# Pthreads Synchronization

- Pthreads API is OS-independent
- It provides:
  - mutex locks
  - condition variable
- Non-portable extensions include:
  - read-write locks
  - spinlocks



# Alternative Approaches

- Transactional Memory
- OpenMP
- Functional Programming Languages

## Transactional Memory

- A **memory transaction** is a sequence of read-write operations to memory that are performed atomically.

```
void update()
{
      /* read/write memory */
 }
```



## OpenMP

- OpenMP is a set of compiler directives and API that support parallel progamming.

```
void update(int value)
{
      #pragma omp critical
      {
            count += value
      }
 }
```

The code contained within the `#pragma omp critical` directive is treated as a critical section and performed atomically.

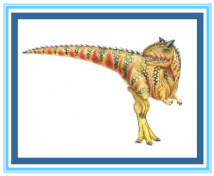


## Functional Programming Languages

- Functional programming languages offer a different paradigm than procedural languages in that they do not maintain state.
- Variables are treated as immutable and cannot change state once they have been assigned a value.
- There is increasing interest in functional languages such as Erlang and Scala for their approach in handling data races.

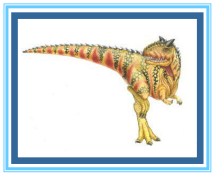


# End of Chapter 5





# Chapter 6: CPU Scheduling





## Chapter 6: CPU Scheduling

- Basic Concepts
- Scheduling Criteria
- Scheduling Algorithms
- Thread Scheduling
- Multiple-Processor Scheduling
- Real-Time CPU Scheduling
- Operating Systems Examples
- Algorithm Evaluation

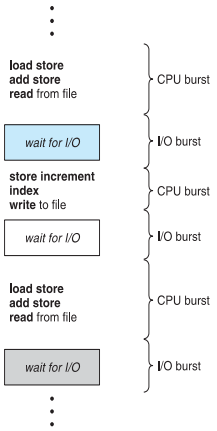
# Objectives

- To introduce CPU scheduling, which is the basis for multiprogrammed operating systems
- To describe various CPU-scheduling algorithms
- To discuss evaluation criteria for selecting a CPU-scheduling algorithm for a particular system
- To examine the scheduling algorithms of several operating systems



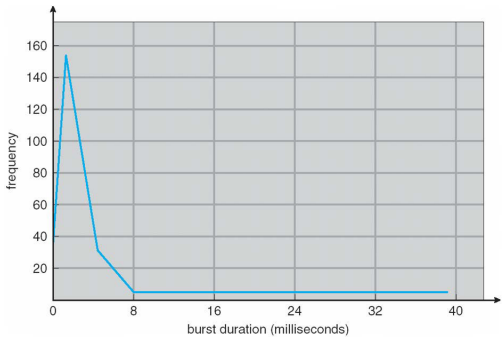
# Basic Concepts

- Maximum CPU utilization obtained with multiprogramming
- CPU–I/O Burst Cycle – Process execution consists of a **cycle** of CPU execution and I/O wait
- **CPU burst** followed by **I/O burst**
- CPU burst distribution is of main concern






# Histogram of CPU-burst Times






# CPU Scheduler

- **Short-term scheduler** selects from among the processes in ready queue, and allocates the CPU to one of them
  - Queue may be ordered in various ways
- CPU scheduling decisions may take place when a process:
  1. Switches from running to waiting state
  2. Switches from running to ready state
  3. Switches from waiting to ready
  4. Terminates
- Scheduling under 1 and 4 is **nonpreemptive**
- All other scheduling is **preemptive**
  - Consider access to shared data
  - Consider preemption while in kernel mode
  - Consider interrupts occurring during crucial OS activities



# Dispatcher

- Dispatcher module gives control of the CPU to the process selected by the short-term scheduler; this involves:
  - switching context
  - switching to user mode
  - jumping to the proper location in the user program to restart that program
- **Dispatch latency** – time it takes for the dispatcher to stop one process and start another running



# Scheduling Criteria

- **CPU utilization** – keep the CPU as busy as possible
- **Throughput** – # of processes that complete their execution per time unit
- **Turnaround time** – amount of time to execute a particular process
- **Waiting time** – amount of time a process has been waiting in the ready queue
- **Response time** – amount of time it takes from when a request was submitted until the first response is produced, not output (for time-sharing environment)

## Scheduling Algorithm Optimization Criteria

- Max CPU utilization
- Max throughput
- Min turnaround time
- Min waiting time
- Min response time



## First- Come, First-Served (FCFS) Scheduling

| Process | Burst Time |
|---|---|
| $P_1$ | 24 |
| $P_2$ | 3 |
| $P_3$ | 3 |

- Suppose that the processes arrive in the order: $P_1$ , $P_2$ , $P_3$
  The Gantt Chart for the schedule is:


- Waiting time for $P_1$ = 0; $P_2$ = 24; $P_3$ = 27
- Average waiting time: (0 + 24 + 27)/3 = 17



## FCFS Scheduling (Cont.)

Suppose that the processes arrive in the order:

$$P_2 , P_3 , P_1$$

- The Gantt chart for the schedule is:


- Waiting time for $P_1$ = 6; $P_2$ = 0, $P_3$ = 3
- Average waiting time: (6 + 0 + 3)/3 = 3
- Much better than previous case
- **Convoy effect** - short process behind long process
  - Consider one CPU-bound and many I/O-bound processes



## Shortest-Job-First (SJF) Scheduling

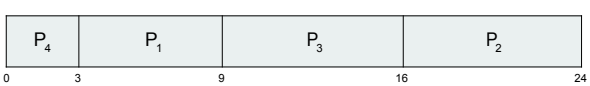
- Associate with each process the length of its next CPU burst
  - Use these lengths to schedule the process with the shortest time
- SJF is optimal – gives minimum average waiting time for a given set of processes
  - The difficulty is knowing the length of the next CPU request
  - Could ask the user



## Example of SJF

| Process | Burst Time |
|---|---|
| $P_1$ | 6 |
| $P_2$ | 8 |
| $P_3$ | 7 |
| $P_4$ | 3 |

- SJF scheduling chart



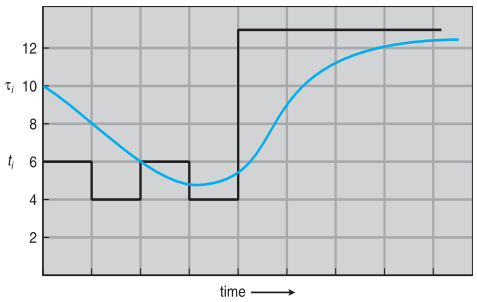

- Average waiting time = (3 + 16 + 9 + 0) / 4 = 7



## Determining Length of Next CPU Burst

- Can only estimate the length – should be similar to the previous one
  - Then pick process with shortest predicted next CPU burst
- Can be done by using the length of previous CPU bursts, using exponential averaging
  1. $t_n$ = actual length of $n^{th}$ CPU burst
  2. $\tau_{n+1}$ = predicted value for the next CPU burst
  3. $\alpha, 0 \le \alpha \le 1$
  4. Define: $\tau_{n=1} = \alpha\, t_n + (1-\alpha)\tau_n$.
- Commonly, α set to ½
- Preemptive version called **shortest-remaining-time-first**

## Prediction of the Length of the Next CPU Burst




| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| CPU burst ($t_i$) | 6 | 4 | 6 | 4 | 13 | 13 | 13 | … |
| "guess" ($\tau_i$) | 10 | 8 | 6 | 6 | 5 | 9 | 11 | 12 | … |



## Examples of Exponential Averaging

- $\alpha = 0$
  - $\tau_{n+1} = \tau_n$
  - Recent history does not count
- $\alpha = 1$
  - $\tau_{n+1} = \alpha\, t_n$
  - Only the actual last CPU burst counts
- If we expand the formula, we get:

$$\tau_{n+1} = \alpha\, t_n + (1-\alpha)\alpha\, t_{n-1} + \ldots + (1-\alpha)^j \alpha\, t_{n-j} + \ldots + (1-\alpha)^{n+1} \tau_0$$

- Since both $\alpha$ and $(1-\alpha)$ are less than or equal to 1, each successive term has less weight than its predecessor

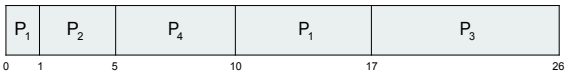


## Example of Shortest-remaining-time-first

- Now we add the concepts of varying arrival times and preemption to the analysis

| Process | *Arrival* Time | Burst Time |
|---|---|---|
| $P_1$ | 0 | 8 |
| $P_2$ | 1 | 4 |
| $P_3$ | 2 | 9 |
| $P_4$ | 3 | 5 |

- *Preemptive* SJF Gantt Chart




- Average waiting time = [(10-1)+(1-1)+(17-2)+5-3)]/4 = 26/4 = 6.5 msec



## Priority Scheduling

- A priority number (integer) is associated with each process
- The CPU is allocated to the process with the highest priority (smallest integer ≡ highest priority)
  - Preemptive
  - Nonpreemptive
- SJF is priority scheduling where priority is the inverse of predicted next CPU burst time
- Problem ≡ **Starvation** – low priority processes may never execute
- Solution ≡ **Aging** – as time progresses increase the priority of the process



## Example of Priority Scheduling

| Process | Burst Time | Priority |
|---|---|---|
| $P_1$ | 10 | 3 |
| $P_2$ | 1 | 1 |
| $P_3$ | 2 | 4 |
| $P_4$ | 1 | 5 |
| $P_5$ | 5 | 2 |

- Priority scheduling Gantt Chart


- Average waiting time = 8.2 msec



## Round Robin (RR)

- Each process gets a small unit of CPU time (**time quantum** $q$), usually 10-100 milliseconds. After this time has elapsed, the process is preempted and added to the end of the ready queue.
- If there are $n$ processes in the ready queue and the time quantum is $q$, then each process gets $1/n$ of the CPU time in chunks of at most $q$ time units at once. No process waits more than $(n-1)q$ time units.
- Timer interrupts every quantum to schedule next process
- Performance
  - $q$ large ⇒ FIFO
  - $q$ small ⇒ $q$ must be large with respect to context switch, otherwise overhead is too high

# Example of RR with Time Quantum = 4

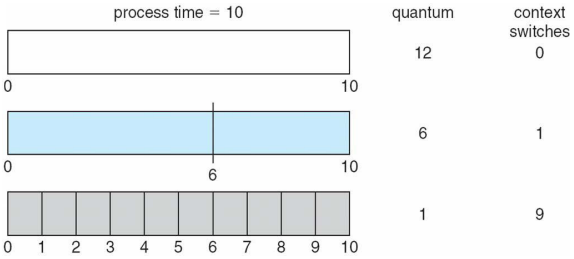
| Process | Burst Time |
|---|---|
| $P_1$ | 24 |
| $P_2$ | 3 |
| $P_3$ | 3 |

- The Gantt chart is:


- Typically, higher average turnaround than SJF, but better ***response***
- q should be large compared to context switch time
- q usually 10ms to 100ms, context switch < 10 usec

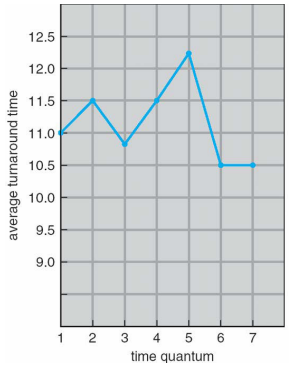


# Time Quantum and Context Switch Time






# Turnaround Time Varies With The Time Quantum




| process | time |
|---|---|
| $P_1$ | 6 |
| $P_2$ | 3 |
| $P_3$ | 1 |
| $P_4$ | 7 |

80% of CPU bursts should be shorter than q

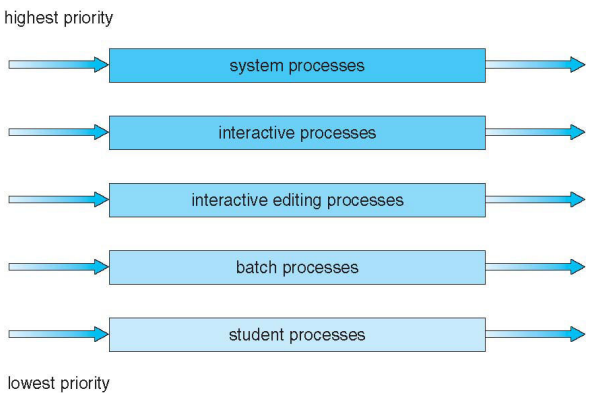


# Multilevel Queue

- Ready queue is partitioned into separate queues, eg:
  - **foreground** (interactive)
  - **background** (batch)
- Process permanently in a given queue
- Each queue has its own scheduling algorithm:
  - foreground – RR
  - background – FCFS
- Scheduling must be done between the queues:
  - Fixed priority scheduling; (i.e., serve all from foreground then from background). Possibility of starvation.
  - Time slice – each queue gets a certain amount of CPU time which it can schedule amongst its processes; i.e., 80% to foreground in RR
  - 20% to background in FCFS



# Multilevel Queue Scheduling



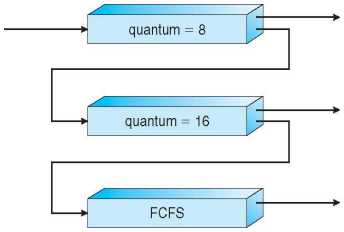



# Multilevel Feedback Queue

- A process can move between the various queues; aging can be implemented this way
- Multilevel-feedback-queue scheduler defined by the following parameters:
  - number of queues
  - scheduling algorithms for each queue
  - method used to determine when to upgrade a process
  - method used to determine when to demote a process
  - method used to determine which queue a process will enter when that process needs service

# Example of Multilevel Feedback Queue

- Three queues:
  - $Q_0$ – RR with time quantum 8 milliseconds
  - $Q_1$ – RR time quantum 16 milliseconds
  - $Q_2$ – FCFS
- Scheduling
  - A new job enters queue $Q_0$ which is served FCFS
    - When it gains CPU, job receives 8 milliseconds
    - If it does not finish in 8 milliseconds, job is moved to queue $Q_1$
  - At $Q_1$ job is again served FCFS and receives 16 additional milliseconds
    - If it still does not complete, it is preempted and moved to queue $Q_2$






# Thread Scheduling

- Distinction between user-level and kernel-level threads
- When threads supported, threads scheduled, not processes
- Many-to-one and many-to-many models, thread library schedules user-level threads to run on LWP
  - Known as **process-contention scope (PCS)** since scheduling competition is within the process
  - Typically done via priority set by programmer
- Kernel thread scheduled onto available CPU is **system-contention scope (SCS)** – competition among all threads in system



# Pthread Scheduling

- API allows specifying either PCS or SCS during thread creation
  - PTHREAD_SCOPE_PROCESS schedules threads using PCS scheduling
  - PTHREAD_SCOPE_SYSTEM schedules threads using SCS scheduling
- Can be limited by OS – Linux and Mac OS X only allow PTHREAD_SCOPE_SYSTEM



# Pthread Scheduling API

```
#include <pthread.h>
#include <stdio.h>
#define NUM_THREADS 5
int main(int argc, char *argv[]) {
   int i, scope;
   pthread_t tid[NUM_THREADS];
   pthread_attr_t attr;
   /* get the default attributes */
   pthread_attr_init(&attr);
   /* first inquire on the current scope */
   if (pthread_attr_getscope(&attr, &scope) != 0)
      fprintf(stderr, "Unable to get scheduling scope\n");
   else {
      if (scope == PTHREAD_SCOPE_PROCESS)
         printf("PTHREAD_SCOPE_PROCESS");
      else if (scope == PTHREAD_SCOPE_SYSTEM)
         printf("PTHREAD_SCOPE_SYSTEM");
      else
         fprintf(stderr, "Illegal scope value.\n");
   }
```



# Pthread Scheduling API

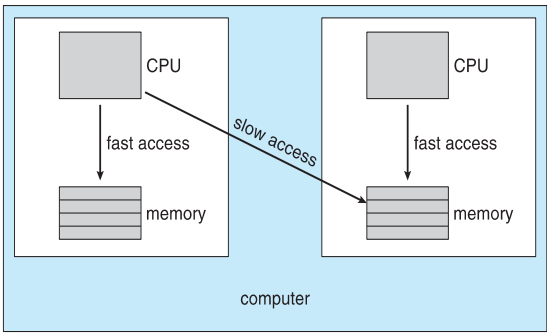
```
   /* set the scheduling algorithm to PCS or SCS */
   pthread_attr_setscope(&attr, PTHREAD_SCOPE_SYSTEM);
   /* create the threads */
   for (i = 0; i < NUM_THREADS; i++)
      pthread_create(&tid[i],&attr,runner,NULL);
   /* now join on each thread */
   for (i = 0; i < NUM_THREADS; i++)
      pthread_join(tid[i], NULL);
}
/* Each thread will begin control in this function */
void *runner(void *param)
{
   /* do some work ... */
   pthread_exit(0);
}
```



# Multiple-Processor Scheduling

- CPU scheduling more complex when multiple CPUs are available
- **Homogeneous processors** within a multiprocessor
- **Asymmetric multiprocessing** – only one processor accesses the system data structures, alleviating the need for data sharing
- **Symmetric multiprocessing (SMP)** – each processor is self-scheduling, all processes in common ready queue, or each has its own private queue of ready processes
  - Currently, most common
- **Processor affinity** – process has affinity for processor on which it is currently running
  - **soft affinity**
  - **hard affinity**
  - Variations including **processor sets**

# NUMA and CPU Scheduling




Note that memory-placement algorithms can also consider affinity



# Multiple-Processor Scheduling – Load Balancing

- If SMP, need to keep all CPUs loaded for efficiency
- **Load balancing** attempts to keep workload evenly distributed
- **Push migration** – periodic task checks load on each processor, and if found pushes task from overloaded CPU to other CPUs
- **Pull migration** – idle processors pulls waiting task from busy processor

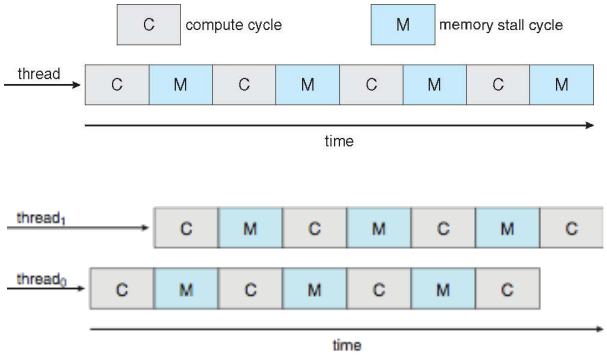


# Multicore Processors

- Recent trend to place multiple processor cores on same physical chip
- Faster and consumes less power
- Multiple threads per core also growing
  - Takes advantage of memory stall to make progress on another thread while memory retrieve happens



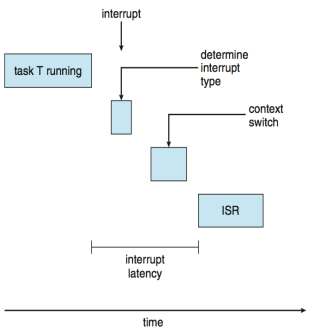
# Multithreaded Multicore System






# Real-Time CPU Scheduling

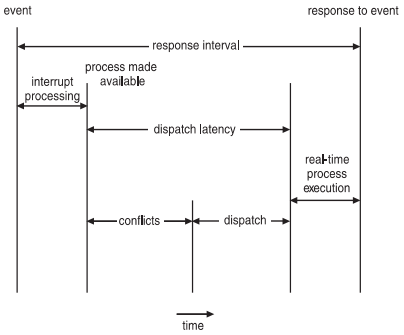
- Can present obvious challenges
- **Soft real-time systems** – no guarantee as to when critical real-time process will be scheduled
- **Hard real-time systems** – task must be serviced by its deadline
- Two types of latencies affect performance
  1. Interrupt latency – time from arrival of interrupt to start of routine that services interrupt
  2. Dispatch latency – time for schedule to take current process off CPU and switch to another





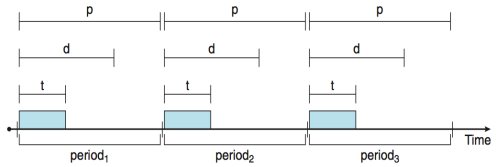

# Real-Time CPU Scheduling (Cont.)

- Conflict phase of dispatch latency:
  1. Preemption of any process running in kernel mode
  2. Release by low-priority process of resources needed by high-priority processes



# Priority-based Scheduling

- For real-time scheduling, scheduler must support preemptive, priority-based scheduling
  - But only guarantees soft real-time
- For hard real-time must also provide ability to meet deadlines
- Processes have new characteristics: **periodic** ones require CPU at constant intervals
  - Has processing time *t*, deadline *d*, period *p*
  - $0 \le t \le d \le p$
  - **Rate** of periodic task is $1/p$





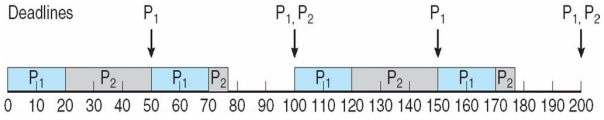

# Virtualization and Scheduling

- Virtualization software schedules multiple guests onto CPU(s)
- Each guest doing its own scheduling
  - Not knowing it doesn't own the CPUs
  - Can result in poor response time
  - Can effect time-of-day clocks in guests
- Can undo good scheduling algorithm efforts of guests



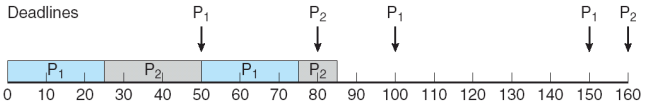
# Rate Montonic Scheduling

- A priority is assigned based on the inverse of its period
- Shorter periods = higher priority;
- Longer periods = lower priority
- $P_1$ is assigned a higher priority than $P_2$.






# Missed Deadlines with Rate Monotonic Scheduling

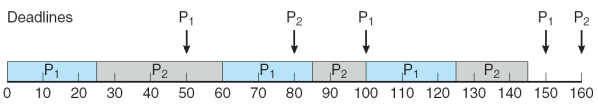





# Earliest Deadline First Scheduling (EDF)

- Priorities are assigned according to deadlines:

  the earlier the deadline, the higher the priority;
  the later the deadline, the lower the priority






# Proportional Share Scheduling

- *T* shares are allocated among all processes in the system
- An application receives *N* shares where $N < T$
- This ensures each application will receive $N / T$ of the total processor time

# POSIX Real-Time Scheduling

- The POSIX.1b standard
- API provides functions for managing real-time threads
- Defines two scheduling classes for real-time threads:

1. SCHED_FIFO - threads are scheduled using a FCFS strategy with a FIFO queue. There is no time-slicing for threads of equal priority
2. SCHED_RR - similar to SCHED_FIFO except time-slicing occurs for threads of equal priority

- Defines two functions for getting and setting scheduling policy:

1. **pthread_attr_getsched_policy(pthread_attr_t *attr, int *policy)**
2. **pthread_attr_setsched_policy(pthread_attr_t *attr, int policy)**



# POSIX Real-Time Scheduling API

```
#include <pthread.h>
#include <stdio.h>
#define NUM_THREADS 5
int main(int argc, char *argv[])
{
   int i, policy;
   pthread_t tid[NUM_THREADS];
   pthread_attr_t attr;
   /* get the default attributes */
   pthread_attr_init(&attr);
   /* get the current scheduling policy */
   if (pthread_attr_getschedpolicy(&attr, &policy) != 0)
      fprintf(stderr, "Unable to get policy.\n");
   else {
      if (policy == SCHED_OTHER) printf("SCHED_OTHER\n");
      else if (policy == SCHED_RR) printf("SCHED_RR\n");
      else if (policy == SCHED_FIFO) printf("SCHED_FIFO\n");
   }
```



# POSIX Real-Time Scheduling API (Cont.)

```
   /* set the scheduling policy - FIFO, RR, or OTHER */
   if (pthread_attr_setschedpolicy(&attr, SCHED_FIFO) != 0)
      fprintf(stderr, "Unable to set policy.\n");
   /* create the threads */
   for (i = 0; i < NUM_THREADS; i++)
      pthread_create(&tid[i],&attr,runner,NULL);
   /* now join on each thread */
   for (i = 0; i < NUM_THREADS; i++)
      pthread_join(tid[i], NULL);
}

/* Each thread will begin control in this function */
void *runner(void *param)
{
   /* do some work ... */
   pthread_exit(0);
}
```



# Operating System Examples

- Linux scheduling
- Windows scheduling
- Solaris scheduling



# Linux Scheduling Through Version 2.5

- Prior to kernel version 2.5, ran variation of standard UNIX scheduling algorithm
- Version 2.5 moved to constant order *O*(1) scheduling time
  - Preemptive, priority based
  - Two priority ranges: time-sharing and real-time
  - **Real-time** range from 0 to 99 and **nice** value from 100 to 140
  - Map into global priority with numerically lower values indicating higher priority
  - Higher priority gets larger q
  - Task run-able as long as time left in time slice (**active**)
  - If no time left (**expired**), not run-able until all other tasks use their slices
  - All run-able tasks tracked in per-CPU **runqueue** data structure
    - Two priority arrays (active, expired)
    - Tasks indexed by priority
    - When no more active, arrays are exchanged
  - Worked well, but poor response times for interactive processes

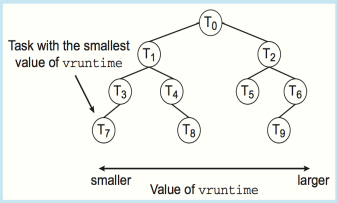


# Linux Scheduling in Version 2.6.23 +

- ***Completely Fair Scheduler*** (CFS)
- **Scheduling classes**
  - Each has specific priority
  - Scheduler picks highest priority task in highest scheduling class
  - Rather than quantum based on fixed time allotments, based on proportion of CPU time
  - 2 scheduling classes included, others can be added
    1. default
    2. real-time
- Quantum calculated based on **nice value** from -20 to +19
  - Lower value is higher priority
  - Calculates **target latency** – interval of time during which task should run at least once
  - Target latency can increase if say number of active tasks increases
- CFS scheduler maintains per task **virtual run time** in variable **vruntime**
  - Associated with decay factor based on priority of task – lower priority is higher decay rate
  - Normal default priority yields virtual run time = actual run time
- To decide next task to run, scheduler picks task with lowest virtual run time

# CFS Performance

The Linux CFS scheduler provides an efficient algorithm for selecting which task to run next. Each runnable task is placed in a red-black tree—a balanced binary search tree whose key is based on the value of `vruntime`. This tree is shown below:

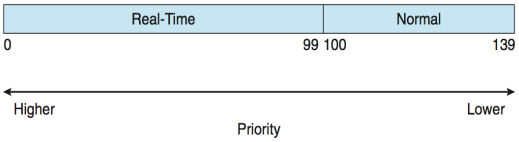



When a task becomes runnable, it is added to the tree. If a task on the tree is not runnable (for example, if it is blocked while waiting for I/O), it is removed. Generally speaking, tasks that have been given less processing time (smaller values of `vruntime`) are toward the left side of the tree, and tasks that have been given more processing time are on the right side. According to the properties of a binary search tree, the leftmost node has the smallest key value, which for the sake of the CFS scheduler means that it is the task with the highest priority. Because the red-black tree is balanced, navigating it to discover the leftmost node will require $O(\lg N)$ operations (where $N$ is the number of nodes in the tree). However, for efficiency reasons, the Linux scheduler caches this value in the variable `rb_leftmost`, and thus determining which task to run next requires only retrieving the cached value.



# Linux Scheduling (Cont.)

- Real-time scheduling according to POSIX.1b
  - Real-time tasks have static priorities
- Real-time plus normal map into global priority scheme
- Nice value of -20 maps to global priority 100
- Nice value of +19 maps to priority 139






# Windows Scheduling

- Windows uses priority-based preemptive scheduling
- Highest-priority thread runs next
- **Dispatcher** is scheduler
- Thread runs until (1) blocks, (2) uses time slice, (3) preempted by higher-priority thread
- Real-time threads can preempt non-real-time
- 32-level priority scheme
- **Variable class** is 1-15, **real-time class** is 16-31
- Priority 0 is memory-management thread
- Queue for each priority
- If no run-able thread, runs **idle thread**



# Windows Priority Classes

- Win32 API identifies several priority classes to which a process can belong
  - REALTIME_PRIORITY_CLASS, HIGH_PRIORITY_CLASS, ABOVE_NORMAL_PRIORITY_CLASS,NORMAL_PRIORITY_CLASS, BELOW_NORMAL_PRIORITY_CLASS, IDLE_PRIORITY_CLASS
  - All are variable except REALTIME
- A thread within a given priority class has a relative priority
  - TIME_CRITICAL, HIGHEST, ABOVE_NORMAL, NORMAL, BELOW_NORMAL, LOWEST, IDLE
- Priority class and relative priority combine to give numeric priority
- Base priority is NORMAL within the class
- If quantum expires, priority lowered, but never below base



# Windows Priority Classes (Cont.)

- If wait occurs, priority boosted depending on what was waited for
- Foreground window given 3x priority boost
- Windows 7 added **user-mode scheduling** (**UMS**)
  - Applications create and manage threads independent of kernel
  - For large number of threads, much more efficient
  - UMS schedulers come from programming language libraries like C++ **Concurrent Runtime** (ConcRT) framework



# Windows Priorities

| | real-time | high | above normal | normal | below normal | idle priority |
|---|---|---|---|---|---|---|
| time-critical | 31 | 15 | 15 | 15 | 15 | 15 |
| highest | 26 | 15 | 12 | 10 | 8 | 6 |
| above normal | 25 | 14 | 11 | 9 | 7 | 5 |
| normal | 24 | 13 | 10 | 8 | 6 | 4 |
| below normal | 23 | 12 | 9 | 7 | 5 | 3 |
| lowest | 22 | 11 | 8 | 6 | 4 | 2 |
| idle | 16 | 1 | 1 | 1 | 1 | 1 |

# Solaris

- Priority-based scheduling
- Six classes available
  - Time sharing (default) (TS)
  - Interactive (IA)
  - Real time (RT)
  - System (SYS)
  - Fair Share (FSS)
  - Fixed priority (FP)
- Given thread can be in one class at a time
- Each class has its own scheduling algorithm
- Time sharing is multi-level feedback queue
  - Loadable table configurable by sysadmin

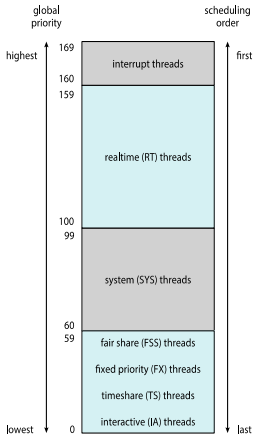


# Solaris Dispatch Table

| priority | time quantum | time quantum expired | return from sleep |
|---|---|---|---|
| 0 | 200 | 0 | 50 |
| 5 | 200 | 0 | 50 |
| 10 | 160 | 0 | 51 |
| 15 | 160 | 5 | 51 |
| 20 | 120 | 10 | 52 |
| 25 | 120 | 15 | 52 |
| 30 | 80 | 20 | 53 |
| 35 | 80 | 25 | 54 |
| 40 | 40 | 30 | 55 |
| 45 | 40 | 35 | 56 |
| 50 | 40 | 40 | 58 |
| 55 | 40 | 45 | 58 |
| 59 | 20 | 49 | 59 |



# Solaris Scheduling






# Solaris Scheduling (Cont.)

- Scheduler converts class-specific priorities into a per-thread global priority
  - Thread with highest priority runs next
  - Runs until (1) blocks, (2) uses time slice, (3) preempted by higher-priority thread
  - Multiple threads at same priority selected via RR



# Algorithm Evaluation

- How to select CPU-scheduling algorithm for an OS?
- Determine criteria, then evaluate algorithms
- **Deterministic modeling**
  - Type of **analytic evaluation**
  - Takes a particular predetermined workload and defines the performance of each algorithm for that workload
- Consider 5 processes arriving at time 0:

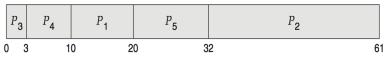
| Process | Burst Time |
|---|---|
| $P_1$ | 10 |
| $P_2$ | 29 |
| $P_3$ | 3 |
| $P_4$ | 7 |
| $P_5$ | 12 |



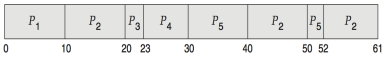
# Deterministic Evaluation

- For each algorithm, calculate minimum average waiting time
- Simple and fast, but requires exact numbers for input, applies only to those inputs
  - FCS is 28ms:


  - Non-preemptive SFJ is 13ms:




  - RR is 23ms:



## Queueing Models

- Describes the arrival of processes, and CPU and I/O bursts probabilistically
  - Commonly exponential, and described by mean
  - Computes average throughput, utilization, waiting time, etc
- Computer system described as network of servers, each with queue of waiting processes
  - Knowing arrival rates and service rates
  - Computes utilization, average queue length, average wait time, etc



## Little's Formula

- $n$ = average queue length
- $W$ = average waiting time in queue
- $\lambda$ = average arrival rate into queue
- Little's law – in steady state, processes leaving queue must equal processes arriving, thus:
  $n = \lambda \times W$
  - Valid for any scheduling algorithm and arrival distribution
- For example, if on average 7 processes arrive per second, and normally 14 processes in queue, then average wait time per process = 2 seconds

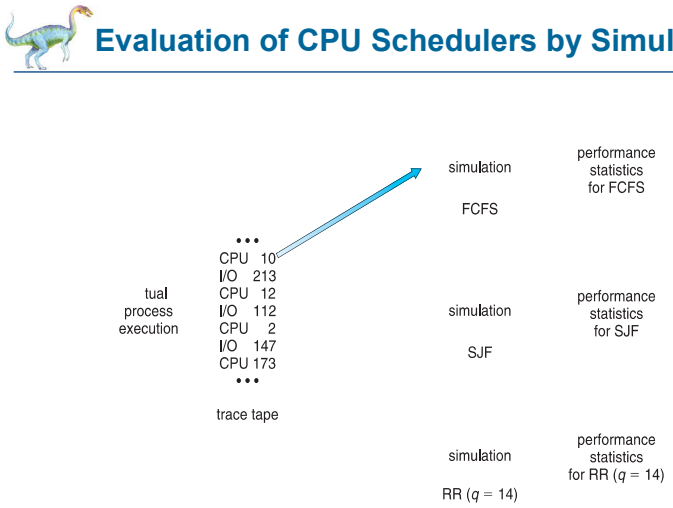


## Simulations

- Queueing models limited
- **Simulations** more accurate
  - Programmed model of computer system
  - Clock is a variable
  - Gather statistics indicating algorithm performance
  - Data to drive simulation gathered via
    - Random number generator according to probabilities
    - Distributions defined mathematically or empirically
    - Trace tapes record sequences of real events in real systems



## Evaluation of CPU Schedulers by Simulation



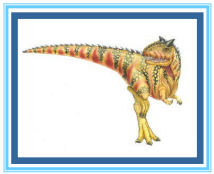



## Implementation

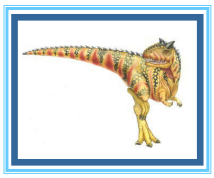
- Even simulations have limited accuracy
- Just implement new scheduler and test in real systems
  - High cost, high risk
  - Environments vary
- Most flexible schedulers can be modified per-site or per-system
- Or APIs to modify priorities
- But again environments vary



# End of Chapter 6



# Chapter 7: Deadlocks





## Chapter 7: Deadlocks

- System Model
- Deadlock Characterization
- Methods for Handling Deadlocks
- Deadlock Prevention
- Deadlock Avoidance
- Deadlock Detection
- Recovery from Deadlock



## Chapter Objectives

- To develop a description of deadlocks, which prevent sets of concurrent processes from completing their tasks
- To present a number of different methods for preventing or avoiding deadlocks in a computer system



## System Model

- System consists of resources
- Resource types $R_1, R_2, \ldots, R_m$
  *CPU cycles, memory space, I/O devices*
- Each resource type $R_i$ has $W_i$ instances.
- Each process utilizes a resource as follows:
  - **request**
  - **use**
  - **release**



## Deadlock Characterization

Deadlock can arise if four conditions hold simultaneously.

- **Mutual exclusion**: only one process at a time can use a resource
- **Hold and wait**: a process holding at least one resource is waiting to acquire additional resources held by other processes
- **No preemption**: a resource can be released only voluntarily by the process holding it, after that process has completed its task
- **Circular wait**: there exists a set $\{P_0, P_1, \ldots, P_n\}$ of waiting processes such that $P_0$ is waiting for a resource that is held by $P_1$, $P_1$ is waiting for a resource that is held by $P_2$, …, $P_{n-1}$ is waiting for a resource that is held by $P_n$, and $P_n$ is waiting for a resource that is held by $P_0$.



## Deadlock with Mutex Locks

- Deadlocks can occur via system calls, locking, etc.
- See example box in text page 318 for mutex deadlock

# Resource-Allocation Graph

A set of vertices $V$ and a set of edges $E$.

- V is partitioned into two types:
  - $P = \{P_1, P_2, \ldots, P_n\}$, the set consisting of all the processes in the system
  - $R = \{R_1, R_2, \ldots, R_m\}$, the set consisting of all resource types in the system
- **request edge** – directed edge $P_i \rightarrow R_j$
- **assignment edge** – directed edge $R_j \rightarrow P_i$

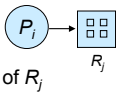


# Resource-Allocation Graph (Cont.)

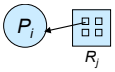
- Process

- Resource Type with 4 instances

- $P_i$ requests instance of $R_j$

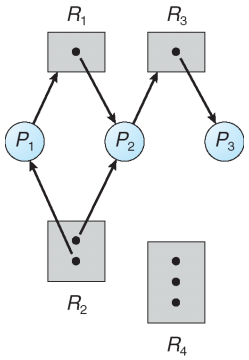



- $P_i$ is holding an instance of $R_j$



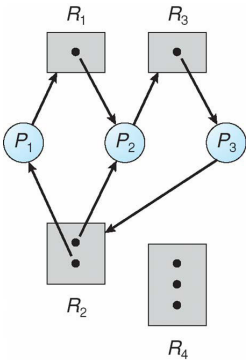



# Example of a Resource Allocation Graph



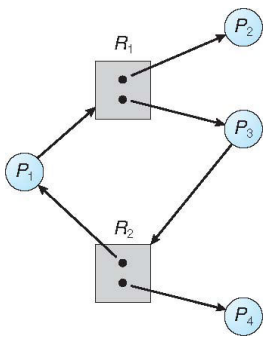



# Resource Allocation Graph With A Deadlock






# Graph With A Cycle But No Deadlock






# Basic Facts

- If graph contains no cycles ⇒ no deadlock
- If graph contains a cycle ⇒
  - if only one instance per resource type, then deadlock
  - if several instances per resource type, possibility of deadlock

# Methods for Handling Deadlocks

- Ensure that the system will *never* enter a deadlock state:
  - Deadlock prevention
  - Deadlock avoidence
- Allow the system to enter a deadlock state and then recover
- Ignore the problem and pretend that deadlocks never occur in the system; used by most operating systems, including UNIX



# Deadlock Prevention

Restrain the ways request can be made

- **Mutual Exclusion** – not required for sharable resources (e.g., read-only files); must hold for non-sharable resources
- **Hold and Wait** – must guarantee that whenever a process requests a resource, it does not hold any other resources
  - Require process to request and be allocated all its resources before it begins execution, or allow process to request resources only when the process has none allocated to it.
  - Low resource utilization; starvation possible



# Deadlock Prevention (Cont.)

- **No Preemption** –
  - If a process that is holding some resources requests another resource that cannot be immediately allocated to it, then all resources currently being held are released
  - Preempted resources are added to the list of resources for which the process is waiting
  - Process will be restarted only when it can regain its old resources, as well as the new ones that it is requesting
- **Circular Wait** – impose a total ordering of all resource types, and require that each process requests resources in an increasing order of enumeration



# Deadlock Example

```
/* thread one runs in this function */
void *do_work_one(void *param)
{
   pthread_mutex_lock(&first_mutex);
   pthread_mutex_lock(&second_mutex);
   /** * Do some work */
   pthread_mutex_unlock(&second_mutex);
   pthread_mutex_unlock(&first_mutex);
   pthread_exit(0);
}
/* thread two runs in this function */
void *do_work_two(void *param)
{
   pthread_mutex_lock(&second_mutex);
   pthread_mutex_lock(&first_mutex);
   /** * Do some work */
   pthread_mutex_unlock(&first_mutex);
   pthread_mutex_unlock(&second_mutex);
   pthread_exit(0);
}
```



# Deadlock Example with Lock Ordering

```
void transaction(Account from, Account to, double amount)
{
   mutex lock1, lock2;
   lock1 = get_lock(from);
   lock2 = get_lock(to);
   acquire(lock1);
      acquire(lock2);
         withdraw(from, amount);
         deposit(to, amount);
      release(lock2);
   release(lock1);
}
```

Transactions 1 and 2 execute concurrently. Transaction 1 transfers $25 from account A to account B, and Transaction 2 transfers $50 from account B to account A



# Deadlock Avoidance

Requires that the system has some additional ***a priori*** information available

- Simplest and most useful model requires that each process declare the ***maximum number*** of resources of each type that it may need
- The deadlock-avoidance algorithm dynamically examines the resource-allocation state to ensure that there can never be a circular-wait condition
- Resource-allocation *state* is defined by the number of available and allocated resources, and the maximum demands of the processes

## Safe State

- When a process requests an available resource, system must decide if immediate allocation leaves the system in a safe state
- System is in **safe state** if there exists a sequence $<P_1, P_2, \ldots, P_n>$ of ALL the processes in the systems such that for each $P_i$, the resources that $P_i$ can still request can be satisfied by currently available resources + resources held by all the $P_j$, with $j < I$
- That is:
  - If $P_i$ resource needs are not immediately available, then $P_i$ can wait until all $P_j$ have finished
  - When $P_j$ is finished, $P_i$ can obtain needed resources, execute, return allocated resources, and terminate
  - When $P_i$ terminates, $P_{i+1}$ can obtain its needed resources, and so on

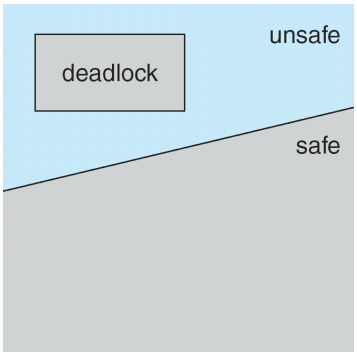


## Basic Facts

- If a system is in safe state ⇒ no deadlocks
- If a system is in unsafe state ⇒ possibility of deadlock
- Avoidance ⇒ ensure that a system will never enter an unsafe state.



## Safe, Unsafe, Deadlock State






## Avoidance Algorithms

- Single instance of a resource type
  - Use a resource-allocation graph
- Multiple instances of a resource type
  - Use the banker's algorithm

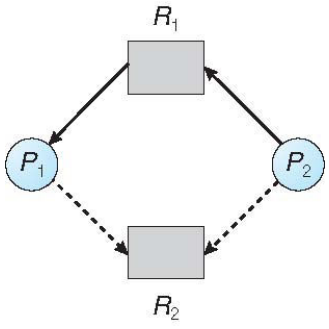


## Resource-Allocation Graph Scheme

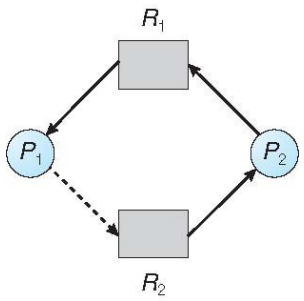
- **Claim edge** $P_i \rightarrow R_j$ indicated that process $P_j$ may request resource $R_j$; represented by a dashed line
- Claim edge converts to request edge when a process requests a resource
- Request edge converted to an assignment edge when the resource is allocated to the process
- When a resource is released by a process, assignment edge reconverts to a claim edge
- Resources must be claimed *a priori* in the system



## Resource-Allocation Graph



## Unsafe State In Resource-Allocation Graph






## Resource-Allocation Graph Algorithm

- Suppose that process $P_i$ requests a resource $R_j$
- The request can be granted only if converting the request edge to an assignment edge does not result in the formation of a cycle in the resource allocation graph



## Banker's Algorithm

- Multiple instances
- Each process must a priori claim maximum use
- When a process requests a resource it may have to wait
- When a process gets all its resources it must return them in a finite amount of time



## Data Structures for the Banker's Algorithm

Let $n$ = number of processes, and $m$ = number of resources types.

- **Available**: Vector of length $m$. If available [$j$] = $k$, there are $k$ instances of resource type $R_j$ available
- **Max**: $n$ x $m$ matrix. If $Max$ [$i,j$] = $k$, then process $P_i$ may request at most $k$ instances of resource type $R_j$
- **Allocation**: $n$ x $m$ matrix. If Allocation[$i,j$] = $k$ then $P_i$ is currently allocated $k$ instances of $R_j$
- **Need**: $n$ x $m$ matrix. If $Need$[$i,j$] = $k$, then $P_i$ may need $k$ more instances of $R_j$ to complete its task

$$Need\ [i,j] = Max[i,j] - Allocation\ [i,j]$$



## Safety Algorithm

1. Let ***Work*** and ***Finish*** be vectors of length $m$ and $n$, respectively. Initialize:

   ***Work* = *Available***

   ***Finish* [*i*] = *false* for *i* = 0, 1, …, *n*- 1**

2. Find an ***i*** such that both:

   (a) ***Finish* [*i*] = *false***

   (b) $Need_i \le Work$

   If no such ***i*** exists, go to step 4

3. $Work = Work + Allocation_i$
   $Finish[i] = true$
   go to step 2

4. If ***Finish* [*i*] == *true*** for all ***i***, then the system is in a safe state



## Resource-Request Algorithm for Process $P_i$

$Request_i$ = request vector for process $P_i$. If $Request_i[j] = k$ then process $P_i$ wants $k$ instances of resource type $R_j$

1. If $Request_i \le Need_i$ go to step 2. Otherwise, raise error condition, since process has exceeded its maximum claim
2. If $Request_i \le Available$, go to step 3. Otherwise $P_i$ must wait, since resources are not available
3. Pretend to allocate requested resources to $P_i$ by modifying the state as follows:

   $Available = Available - Request_i;$

   $Allocation_i = Allocation_i + Request_i;$

   $Need_i = Need_i - Request_i;$

   - If safe ⇒ the resources are allocated to $P_i$
   - If unsafe ⇒ $P_i$ must wait, and the old resource-allocation state is restored

# Example of Banker's Algorithm

- 5 processes $P_0$ through $P_4$;
  3 resource types:
  $A$ (10 instances), $B$ (5instances), and $C$ (7 instances)
- Snapshot at time $T_0$:

| | Allocation | Max | Available |
|---|---|---|---|
| | A B C | A B C | A B C |
| $P_0$ | 0 1 0 | 7 5 3 | 3 3 2 |
| $P_1$ | 2 0 0 | 3 2 2 | |
| $P_2$ | 3 0 2 | 9 0 2 | |
| $P_3$ | 2 1 1 | 2 2 2 | |
| $P_4$ | 0 0 2 | 4 3 3 | |



# Example (Cont.)

- The content of the matrix ***Need*** is defined to be ***Max – Allocation***

| | Need |
|---|---|
| | A B C |
| $P_0$ | 7 4 3 |
| $P_1$ | 1 2 2 |
| $P_2$ | 6 0 0 |
| $P_3$ | 0 1 1 |
| $P_4$ | 4 3 1 |

- The system is in a safe state since the sequence < $P_1$, $P_3$, $P_4$, $P_2$, $P_0$> satisfies safety criteria



# Example: $P_1$ Request (1,0,2)

- Check that Request ≤ Available (that is, (1,0,2) ≤ (3,3,2) ⇒ true

| | Allocation | Need | Available |
|---|---|---|---|
| | A B C | A B C | A B C |
| $P_0$ | 0 1 0 | 7 4 3 | 2 3 0 |
| $P_1$ | 3 0 2 | 0 2 0 | |
| $P_2$ | 3 0 2 | 6 0 0 | |
| $P_3$ | 2 1 1 | 0 1 1 | |
| $P_4$ | 0 0 2 | 4 3 1 | |

- Executing safety algorithm shows that sequence < $P_1$, $P_3$, $P_4$, $P_0$, $P_2$> satisfies safety requirement
- Can request for (3,3,0) by $P_4$ be granted?
- Can request for (0,2,0) by $P_0$ be granted?



# Deadlock Detection

- Allow system to enter deadlock state
- Detection algorithm
- Recovery scheme

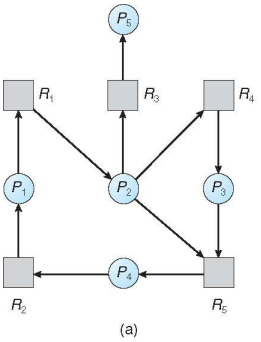


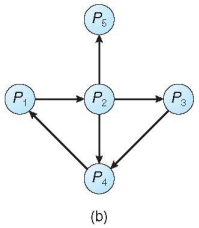
# Single Instance of Each Resource Type

- Maintain wait-for graph
  - Nodes are processes
  - $P_i \rightarrow P_j$ if $P_i$ is waiting for $P_j$
- Periodically invoke an algorithm that searches for a cycle in the graph. If there is a cycle, there exists a deadlock
- An algorithm to detect a cycle in a graph requires an order of $n^2$ operations, where $n$ is the number of vertices in the graph



# Resource-Allocation Graph and Wait-for Graph




Resource-Allocation Graph Corresponding wait-for graph

## Several Instances of a Resource Type

- **Available**: A vector of length ***m*** indicates the number of available resources of each type
- **Allocation**: An ***n*** x ***m*** matrix defines the number of resources of each type currently allocated to each process
- **Request**: An ***n*** x ***m*** matrix indicates the current request of each process. If ***Request*** **[*i*][*j*] = *k***, then process $P_i$ is requesting ***k*** more instances of resource type $R_j$.



## Detection Algorithm

1. Let ***Work*** and ***Finish*** be vectors of length ***m*** and ***n***, respectively Initialize:
   (a) ***Work = Available***
   (b) For ***i* = 1,2, …, *n***, if $Allocation_i \neq 0$, then ***Finish*[i] = *false***; otherwise, ***Finish*[i] = *true***
2. Find an index ***i*** such that both:
   (a) ***Finish*[*i*] == *false***
   (b) $Request_i \leq Work$

   If no such ***i*** exists, go to step 4



## Detection Algorithm (Cont.)

3. $Work = Work + Allocation_i$
   ***Finish*[*i*] = *true***
   go to step 2
4. If ***Finish[i] == false***, for some ***i***, $1 \leq i \leq n$, then the system is in deadlock state. Moreover, if ***Finish*[*i*] == *false***, then $P_i$ is deadlocked

**Algorithm requires an order of O($m$ x $n^2$) operations to detect whether the system is in deadlocked state**



## Example of Detection Algorithm

- Five processes $P_0$ through $P_4$; three resource types A (7 instances), *B* (2 instances), and *C* (6 instances)
- Snapshot at time $T_0$:

| | Allocation | Request | Available |
|---|---|---|---|
| | *A B C* | *A B C* | *A B C* |
| $P_0$ | 0 1 0 | 0 0 0 | 0 0 0 |
| $P_1$ | 2 0 0 | 2 0 2 | |
| $P_2$ | 3 0 3 | 0 0 0 | |
| $P_3$ | 2 1 1 | 1 0 0 | |
| $P_4$ | 0 0 2 | 0 0 2 | |

- Sequence <$P_0$, $P_2$, $P_3$, $P_1$, $P_4$> will result in ***Finish[i] = true*** for all ***i***



## Example (Cont.)

- $P_2$ requests an additional instance of type ***C***

| | Request |
|---|---|
| | *A B C* |
| $P_0$ | 0 0 0 |
| $P_1$ | 2 0 2 |
| $P_2$ | 0 0 1 |
| $P_3$ | 1 0 0 |
| $P_4$ | 0 0 2 |

- State of system?
  - Can reclaim resources held by process $P_0$, but insufficient resources to fulfill other processes; requests
  - Deadlock exists, consisting of processes $P_1$, $P_2$, $P_3$, and $P_4$



## Detection-Algorithm Usage

- When, and how often, to invoke depends on:
  - How often a deadlock is likely to occur?
  - How many processes will need to be rolled back?
    - one for each disjoint cycle
- If detection algorithm is invoked arbitrarily, there may be many cycles in the resource graph and so we would not be able to tell which of the many deadlocked processes "caused" the deadlock.

## Recovery from Deadlock: Process Termination

- Abort all deadlocked processes
- Abort one process at a time until the deadlock cycle is eliminated
- In which order should we choose to abort?
  1. Priority of the process
  2. How long process has computed, and how much longer to completion
  3. Resources the process has used
  4. Resources process needs to complete
  5. How many processes will need to be terminated
  6. Is process interactive or batch?

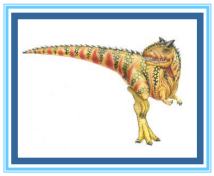


## Recovery from Deadlock: Resource Preemption

- **Selecting a victim** – minimize cost
- **Rollback** – return to some safe state, restart process for that state
- **Starvation** – same process may always be picked as victim, include number of rollback in cost factor

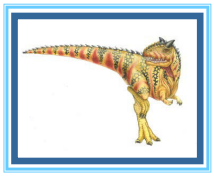


# End of Chapter 7





# Chapter 8: Main Memory





## Chapter 8: Memory Management

- Background
- Swapping
- Contiguous Memory Allocation
- Segmentation
- Paging
- Structure of the Page Table
- Example: The Intel 32 and 64-bit Architectures
- Example: ARM Architecture



## Objectives

- To provide a detailed description of various ways of organizing memory hardware
- To discuss various memory-management techniques, including paging and segmentation
- To provide a detailed description of the Intel Pentium, which supports both pure segmentation and segmentation with paging

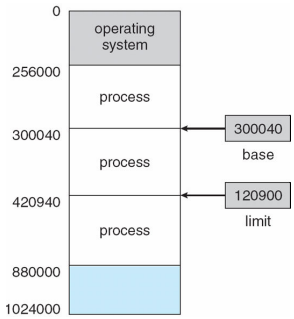
# Background

- Program must be brought (from disk) into memory and placed within a process for it to be run
- Main memory and registers are only storage CPU can access directly
- Memory unit only sees a stream of addresses + read requests, or address + data and write requests
- Register access in one CPU clock (or less)
- Main memory can take many cycles, causing a **stall**
- **Cache** sits between main memory and CPU registers
- Protection of memory required to ensure correct operation



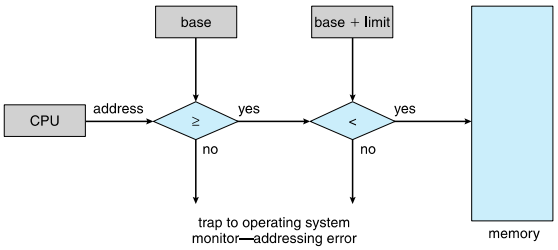
# Base and Limit Registers

- A pair of **base** and **limit registers** define the logical address space
- CPU must check every memory access generated in user mode to be sure it is between base and limit for that user






# Hardware Address Protection






# Address Binding

- Programs on disk, ready to be brought into memory to execute form an **input queue**
  - Without support, must be loaded into address 0000
- Inconvenient to have first user process physical address always at 0000
  - How can it not be?
- Further, addresses represented in different ways at different stages of a program's life
  - Source code addresses usually symbolic
  - Compiled code addresses **bind** to relocatable addresses
    - i.e. "14 bytes from beginning of this module"
  - Linker or loader will bind relocatable addresses to absolute addresses
    - i.e. 74014
  - Each binding maps one address space to another

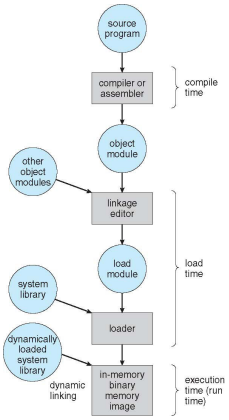


# Binding of Instructions and Data to Memory

- Address binding of instructions and data to memory addresses can happen at three different stages
  - **Compile time**: If memory location known a priori, **absolute code** can be generated; must recompile code if starting location changes
  - **Load time**: Must generate **relocatable code** if memory location is not known at compile time
  - **Execution time**: Binding delayed until run time if the process can be moved during its execution from one memory segment to another
    - Need hardware support for address maps (e.g., base and limit registers)



# Multistep Processing of a User Program



# Logical vs. Physical Address Space

- The concept of a logical address space that is bound to a separate **physical address space** is central to proper memory management
  - **Logical address** – generated by the CPU; also referred to as **virtual address**
  - **Physical address** – address seen by the memory unit
- Logical and physical addresses are the same in compile-time and load-time address-binding schemes; logical (virtual) and physical addresses differ in execution-time address-binding scheme
- **Logical address space** is the set of all logical addresses generated by a program
- **Physical address space** is the set of all physical addresses generated by a program



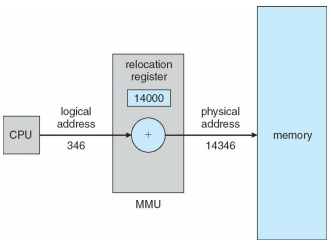
# Memory-Management Unit (MMU)

- Hardware device that at run time maps virtual to physical address
- Many methods possible, covered in the rest of this chapter
- To start, consider simple scheme where the value in the relocation register is added to every address generated by a user process at the time it is sent to memory
  - Base register now called **relocation register**
  - MS-DOS on Intel 80x86 used 4 relocation registers
- The user program deals with *logical* addresses; it never sees the *real* physical addresses
  - Execution-time binding occurs when reference is made to location in memory
  - Logical address bound to physical addresses



# Dynamic relocation using a relocation register

- Routine is not loaded until it is called
- Better memory-space utilization; unused routine is never loaded
- All routines kept on disk in relocatable load format
- Useful when large amounts of code are needed to handle infrequently occurring cases
- No special support from the operating system is required
  - Implemented through program design
  - OS can help by providing libraries to implement dynamic loading






# Dynamic Linking

- **Static linking** – system libraries and program code combined by the loader into the binary program image
- Dynamic linking –linking postponed until execution time
- Small piece of code, **stub**, used to locate the appropriate memory-resident library routine
- Stub replaces itself with the address of the routine, and executes the routine
- Operating system checks if routine is in processes' memory address
  - If not in address space, add to address space
- Dynamic linking is particularly useful for libraries
- System also known as **shared libraries**
- Consider applicability to patching system libraries
  - Versioning may be needed



# Swapping

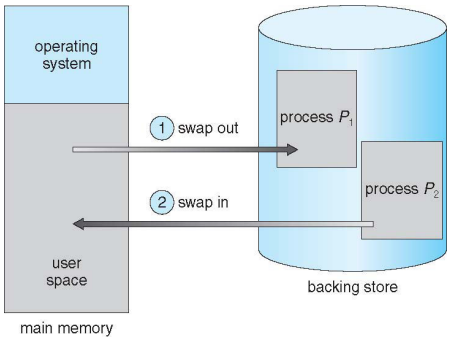
- A process can be **swapped** temporarily out of memory to a backing store, and then brought back into memory for continued execution
  - Total physical memory space of processes can exceed physical memory
- **Backing store** – fast disk large enough to accommodate copies of all memory images for all users; must provide direct access to these memory images
- **Roll out, roll in** – swapping variant used for priority-based scheduling algorithms; lower-priority process is swapped out so higher-priority process can be loaded and executed
- Major part of swap time is transfer time; total transfer time is directly proportional to the amount of memory swapped
- System maintains a **ready queue** of ready-to-run processes which have memory images on disk



# Swapping (Cont.)

- Does the swapped out process need to swap back in to same physical addresses?
- Depends on address binding method
  - Plus consider pending I/O to / from process memory space
- Modified versions of swapping are found on many systems (i.e., UNIX, Linux, and Windows)
  - Swapping normally disabled
  - Started if more than threshold amount of memory allocated
  - Disabled again once memory demand reduced below threshold

# Schematic View of Swapping






# Context Switch Time including Swapping

- If next processes to be put on CPU is not in memory, need to swap out a process and swap in target process
- Context switch time can then be very high
- 100MB process swapping to hard disk with transfer rate of 50MB/sec
  - Swap out time of 2000 ms
  - Plus swap in of same sized process
  - Total context switch swapping component time of 4000ms (4 seconds)
- Can reduce if reduce size of memory swapped – by knowing how much memory really being used
  - System calls to inform OS of memory use via `request_memory()` and `release_memory()`



# Context Switch Time and Swapping (Cont.)

- Other constraints as well on swapping
  - Pending I/O – can't swap out as I/O would occur to wrong process
  - Or always transfer I/O to kernel space, then to I/O device
    - Known as **double buffering**, adds overhead
- Standard swapping not used in modern operating systems
  - But modified version common
    - Swap only when free memory extremely low



# Swapping on Mobile Systems

- Not typically supported
  - Flash memory based
    - Small amount of space
    - Limited number of write cycles
    - Poor throughput between flash memory and CPU on mobile platform
- Instead use other methods to free memory if low
  - iOS ***asks*** apps to voluntarily relinquish allocated memory
    - Read-only data thrown out and reloaded from flash if needed
    - Failure to free can result in termination
  - Android terminates apps if low free memory, but first writes **application state** to flash for fast restart
  - Both OSes support paging as discussed below



# Contiguous Allocation

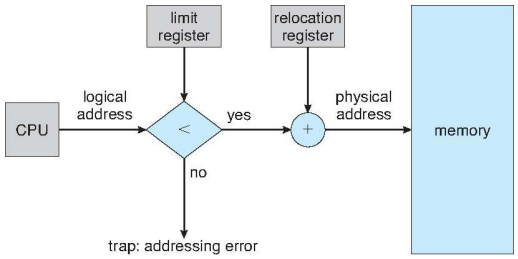
- Main memory must support both OS and user processes
- Limited resource, must allocate efficiently
- Contiguous allocation is one early method
- Main memory usually into two **partitions**:
  - Resident operating system, usually held in low memory with interrupt vector
  - User processes then held in high memory
  - Each process contained in single contiguous section of memory



# Contiguous Allocation (Cont.)

- Relocation registers used to protect user processes from each other, and from changing operating-system code and data
  - Base register contains value of smallest physical address
  - Limit register contains range of logical addresses – each logical address must be less than the limit register
  - MMU maps logical address *dynamically*
  - Can then allow actions such as kernel code being **transient** and kernel changing size

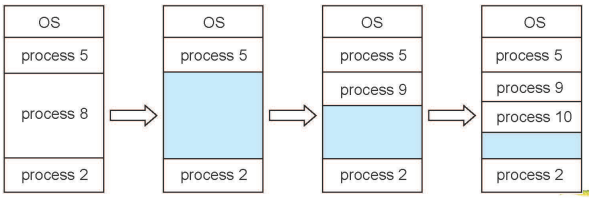
## Hardware Support for Relocation and Limit Registers






## Multiple-partition allocation

- Multiple-partition allocation
  - Degree of multiprogramming limited by number of partitions
  - **Variable-partition** sizes for efficiency (sized to a given process' needs)
  - **Hole** – block of available memory; holes of various size are scattered throughout memory
  - When a process arrives, it is allocated memory from a hole large enough to accommodate it
  - Process exiting frees its partition, adjacent free partitions combined
  - Operating system maintains information about:
    a) allocated partitions b) free partitions (hole)






## Dynamic Storage-Allocation Problem

How to satisfy a request of size ***n*** from a list of free holes?

- **First-fit**: Allocate the ***first*** hole that is big enough
- **Best-fit**: Allocate the ***smallest*** hole that is big enough; must search entire list, unless ordered by size
  - Produces the smallest leftover hole
- **Worst-fit**: Allocate the ***largest*** hole; must also search entire list
  - Produces the largest leftover hole

First-fit and best-fit better than worst-fit in terms of speed and storage utilization



## Fragmentation

- **External Fragmentation** – total memory space exists to satisfy a request, but it is not contiguous
- **Internal Fragmentation** – allocated memory may be slightly larger than requested memory; this size difference is memory internal to a partition, but not being used
- First fit analysis reveals that given *N* blocks allocated, 0.5 *N* blocks lost to fragmentation
  - 1/3 may be unusable -> **50-percent rule**



## Fragmentation (Cont.)

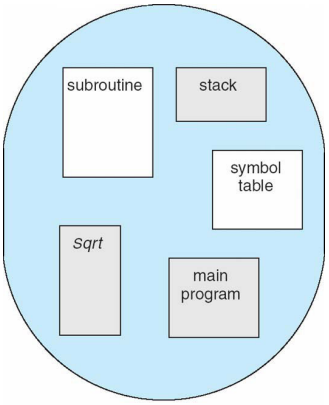
- Reduce external fragmentation by **compaction**
  - Shuffle memory contents to place all free memory together in one large block
  - Compaction is possible *only* if relocation is dynamic, and is done at execution time
  - I/O problem
    - Latch job in memory while it is involved in I/O
    - Do I/O only into OS buffers
- Now consider that backing store has same fragmentation problems



## Segmentation

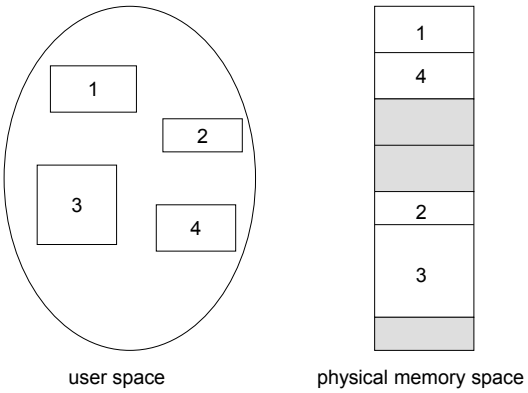
- Memory-management scheme that supports user view of memory
- A program is a collection of segments
  - A segment is a logical unit such as:
    main program
    procedure
    function
    method
    object
    local variables, global variables
    common block
    stack
    symbol table
    arrays

# User's View of a Program






# Logical View of Segmentation






# Segmentation Architecture

- Logical address consists of a two tuple:
  <segment-number, offset>,
- **Segment table** – maps two-dimensional physical addresses; each table entry has:
  - **base** – contains the starting physical address where the segments reside in memory
  - **limit** – specifies the length of the segment
- **Segment-table base register (STBR)** points to the segment table's location in memory
- **Segment-table length register (STLR)** indicates number of segments used by a program;
  segment number ***s*** is legal if ***s*** < **STLR**

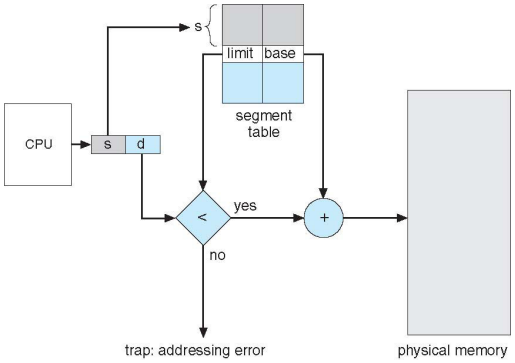


# Segmentation Architecture (Cont.)

- Protection
  - With each entry in segment table associate:
    - validation bit = 0 ⇒ illegal segment
    - read/write/execute privileges
- Protection bits associated with segments; code sharing occurs at segment level
- Since segments vary in length, memory allocation is a dynamic storage-allocation problem
- A segmentation example is shown in the following diagram



# Segmentation Hardware






# Paging

- Physical address space of a process can be noncontiguous; process is allocated physical memory whenever the latter is available
  - Avoids external fragmentation
  - Avoids problem of varying sized memory chunks
- Divide physical memory into fixed-sized blocks called **frames**
  - Size is power of 2, between 512 bytes and 16 Mbytes
- Divide logical memory into blocks of same size called **pages**
- Keep track of all free frames
- To run a program of size ***N*** pages, need to find ***N*** free frames and load program
- Set up a **page table** to translate logical to physical addresses
- Backing store likewise split into pages
- Still have Internal fragmentation

# Address Translation Scheme

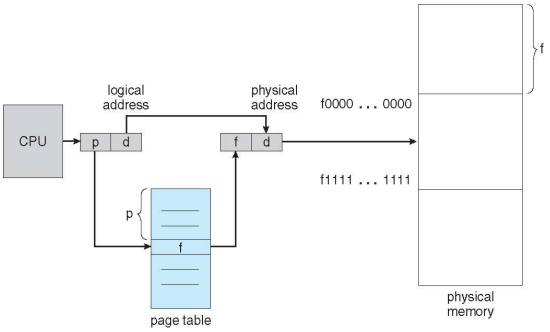
- Address generated by CPU is divided into:
  - **Page number** (*p*) – used as an index into a **page table** which contains base address of each page in physical memory
  - **Page offset** (*d*) – combined with base address to define the physical memory address that is sent to the memory unit

| page number | page offset |
|---|---|
| p | d |
| m -n | n |

  - For given logical address space $2^m$ and page size $2^n$

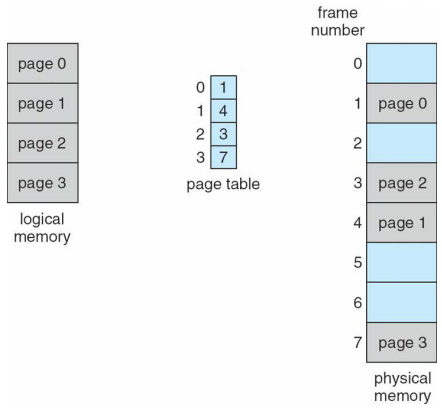


# Paging Hardware



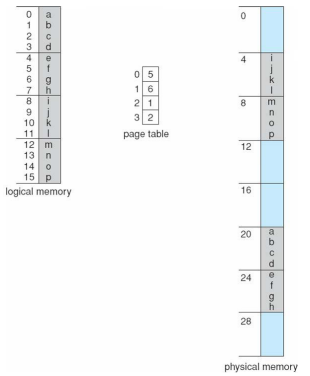



# Paging Model of Logical and Physical Memory






# Paging Example




*n*=2 and *m*=4 32-byte memory and 4-byte pages

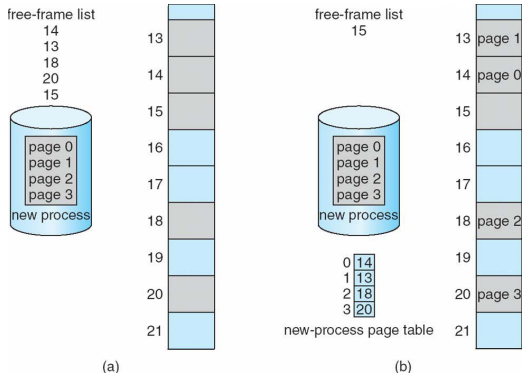


# Paging (Cont.)

- Calculating internal fragmentation
  - Page size = 2,048 bytes
  - Process size = 72,766 bytes
  - 35 pages + 1,086 bytes
  - Internal fragmentation of 2,048 - 1,086 = 962 bytes
  - Worst case fragmentation = 1 frame – 1 byte
  - On average fragmentation = 1 / 2 frame size
  - So small frame sizes desirable?
  - But each page table entry takes memory to track
  - Page sizes growing over time
    - Solaris supports two page sizes – 8 KB and 4 MB
- Process view and physical memory now very different
- By implementation process can only access its own memory



# Free Frames




Before allocation After allocation

# Implementation of Page Table

- Page table is kept in main memory
- **Page-table base register** (**PTBR**) points to the page table
- **Page-table length register** (**PTLR**) indicates size of the page table
- In this scheme every data/instruction access requires two memory accesses
  - One for the page table and one for the data / instruction
- The two memory access problem can be solved by the use of a special fast-lookup hardware cache called **associative memory** or **translation look-aside buffers** (**TLBs**)



# Implementation of Page Table (Cont.)

- Some TLBs store **address-space identifiers** (**ASIDs**) in each TLB entry – uniquely identifies each process to provide address-space protection for that process
  - Otherwise need to flush at every context switch
- TLBs typically small (64 to 1,024 entries)
- On a TLB miss, value is loaded into the TLB for faster access next time
  - Replacement policies must be considered
  - Some entries can be **wired down** for permanent fast access



# Associative Memory

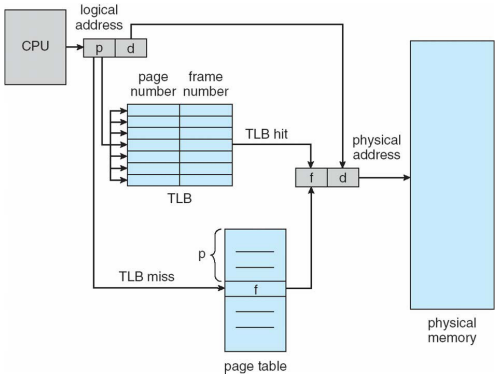
- Associative memory – parallel search

| Page # | Frame # |
|---|---|
| | |
| | |
| | |
| | |

- Address translation (p, d)
  - If p is in associative register, get frame # out
  - Otherwise get frame # from page table in memory



# Paging Hardware With TLB






# Effective Access Time

- Associative Lookup = $\varepsilon$ time unit
  - Can be < 10% of memory access time
- Hit ratio = $\alpha$
  - Hit ratio – percentage of times that a page number is found in the associative registers; ratio related to number of associative registers
- Consider $\alpha$ = 80%, $\varepsilon$ = 20ns for TLB search, 100ns for memory access
- **Effective Access Time** (**EAT**)

$$EAT = (1 + \varepsilon)\,\alpha + (2 + \varepsilon)(1 - \alpha)$$
$$= 2 + \varepsilon - \alpha$$

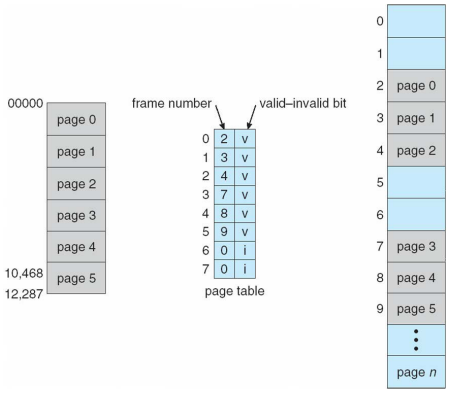
- Consider $\alpha$ = 80%, $\varepsilon$ = 20ns for TLB search, 100ns for memory access
  - EAT = 0.80 x 100 + 0.20 x 200 = 120ns
- Consider more realistic hit ratio -> $\alpha$ = 99%, $\varepsilon$ = 20ns for TLB search, 100ns for memory access
  - EAT = 0.99 x 100 + 0.01 x 200 = 101ns



# Memory Protection

- Memory protection implemented by associating protection bit with each frame to indicate if read-only or read-write access is allowed
  - Can also add more bits to indicate page execute-only, and so on
- **Valid-invalid** bit attached to each entry in the page table:
  - "valid" indicates that the associated page is in the process' logical address space, and is thus a legal page
  - "invalid" indicates that the page is not in the process' logical address space
  - Or use **page-table length register** (**PTLR**)
- Any violations result in a trap to the kernel

# Valid (v) or Invalid (i) Bit In A Page Table



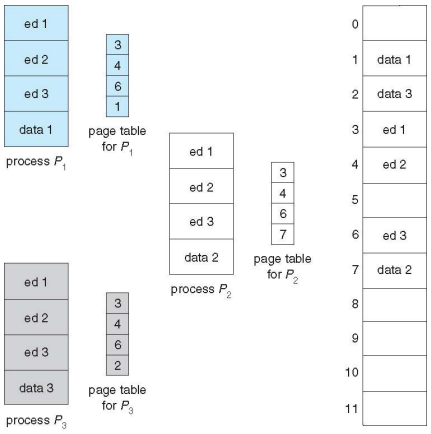



# Shared Pages

- **Shared code**
  - One copy of read-only (**reentrant**) code shared among processes (i.e., text editors, compilers, window systems)
  - Similar to multiple threads sharing the same process space
  - Also useful for interprocess communication if sharing of read-write pages is allowed
- **Private code and data**
  - Each process keeps a separate copy of the code and data
  - The pages for the private code and data can appear anywhere in the logical address space



# Shared Pages Example






# Structure of the Page Table

- Memory structures for paging can get huge using straight-forward methods
  - Consider a 32-bit logical address space as on modern computers
  - Page size of 4 KB ($2^{12}$)
  - Page table would have 1 million entries ($2^{32} / 2^{12}$)
  - If each entry is 4 bytes -> 4 MB of physical address space / memory for page table alone
    - That amount of memory used to cost a lot
    - Don't want to allocate that contiguously in main memory
- Hierarchical Paging
- Hashed Page Tables
- Inverted Page Tables

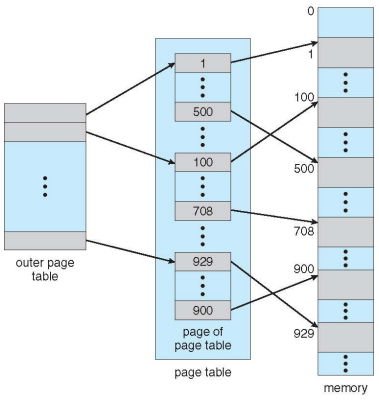


# Hierarchical Page Tables

- Break up the logical address space into multiple page tables
- A simple technique is a two-level page table
- We then page the page table



# Two-Level Page-Table Scheme



# Two-Level Paging Example

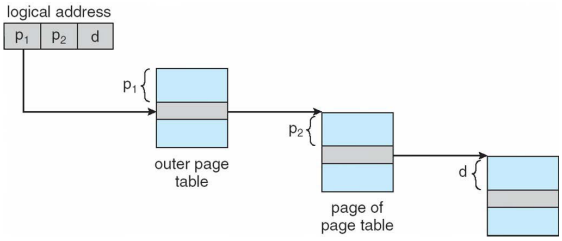
- A logical address (on 32-bit machine with 1K page size) is divided into:
  - a page number consisting of 22 bits
  - a page offset consisting of 10 bits
- Since the page table is paged, the page number is further divided into:
  - a 12-bit page number
  - a 10-bit page offset
- Thus, a logical address is as follows:

| page number | | page offset |
|---|---|---|
| $p_1$ | $p_2$ | $d$ |
| 12 | 10 | 10 |

- where $p_1$ is an index into the outer page table, and $p_2$ is the displacement within the page of the inner page table
- Known as **forward-mapped page table**



# Address-Translation Scheme






# 64-bit Logical Address Space

- Even two-level paging scheme not sufficient
- If page size is 4 KB ($2^{12}$)
  - Then page table has $2^{52}$ entries
  - If two level scheme, inner page tables could be $2^{10}$ 4-byte entries
  - Address would look like

| outer page | inner page | page offset |
|---|---|---|
| $p_1$ | $p_2$ | $d$ |
| 42 | 10 | 12 |

  - Outer page table has $2^{42}$ entries or $2^{44}$ bytes
  - One solution is to add a 2nd outer page table
  - But in the following example the 2nd outer page table is still $2^{34}$ bytes in size
    - And possibly 4 memory access to get to one physical memory location



# Three-level Paging Scheme

| outer page | inner page | offset |
|---|---|---|
| $p_1$ | $p_2$ | $d$ |
| 42 | 10 | 12 |

| 2nd outer page | outer page | inner page | offset |
|---|---|---|---|
| $p_1$ | $p_2$ | $p_3$ | $d$ |
| 32 | 10 | 10 | 12 |

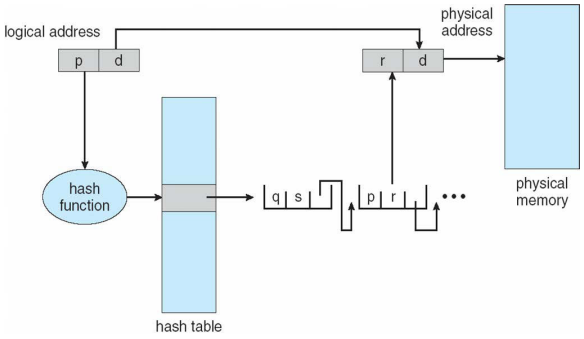


# Hashed Page Tables

- Common in address spaces > 32 bits
- The virtual page number is hashed into a page table
  - This page table contains a chain of elements hashing to the same location
- Each element contains (1) the virtual page number (2) the value of the mapped page frame (3) a pointer to the next element
- Virtual page numbers are compared in this chain searching for a match
  - If a match is found, the corresponding physical frame is extracted
- Variation for 64-bit addresses is **clustered page tables**
  - Similar to hashed but each entry refers to several pages (such as 16) rather than 1
  - Especially useful for **sparse** address spaces (where memory references are non-contiguous and scattered)



# Hashed Page Table

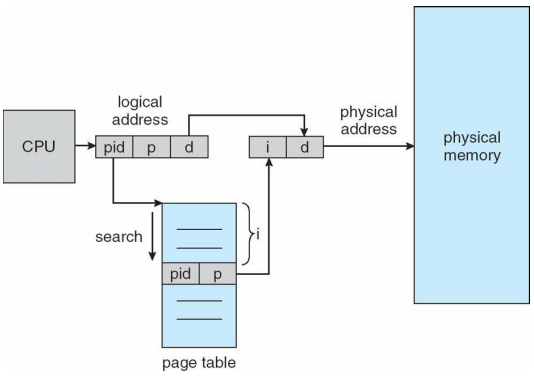


# Inverted Page Table

- Rather than each process having a page table and keeping track of all possible logical pages, track all physical pages
- One entry for each real page of memory
- Entry consists of the virtual address of the page stored in that real memory location, with information about the process that owns that page
- Decreases memory needed to store each page table, but increases time needed to search the table when a page reference occurs
- Use hash table to limit the search to one — or at most a few — page-table entries
  - TLB can accelerate access
- But how to implement shared memory?
  - One mapping of a virtual address to the shared physical address



# Inverted Page Table Architecture






# Oracle SPARC Solaris

- Consider modern, 64-bit operating system example with tightly integrated HW
  - Goals are efficiency, low overhead
- Based on hashing, but more complex
- Two hash tables
  - One kernel and one for all user processes
  - Each maps memory addresses from virtual to physical memory
  - Each entry represents a contiguous area of mapped virtual memory,
    - More efficient than having a separate hash-table entry for each page
  - Each entry has base address and span (indicating the number of pages the entry represents)



# Oracle SPARC Solaris (Cont.)

- TLB holds translation table entries (TTEs) for fast hardware lookups
  - A cache of TTEs reside in a translation storage buffer (TSB)
    - Includes an entry per recently accessed page
- Virtual address reference causes TLB search
  - If miss, hardware walks the in-memory TSB looking for the TTE corresponding to the address
    - If match found, the CPU copies the TSB entry into the TLB and translation completes
    - If no match found, kernel interrupted to search the hash table
      - The kernel then creates a TTE from the appropriate hash table and stores it in the TSB, Interrupt handler returns control to the MMU, which completes the address translation.



# Example: The Intel 32 and 64-bit Architectures

- Dominant industry chips
- Pentium CPUs are 32-bit and called IA-32 architecture
- Current Intel CPUs are 64-bit and called IA-64 architecture
- Many variations in the chips, cover the main ideas here

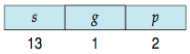


# Example: The Intel IA-32 Architecture

- Supports both segmentation and segmentation with paging
  - Each segment can be 4 GB
  - Up to 16 K segments per process
  - Divided into two partitions
    - First partition of up to 8 K segments are private to process (kept in **local descriptor table** (**LDT**))
    - Second partition of up to 8K segments shared among all processes (kept in **global descriptor table** (**GDT**))

## Example: The Intel IA-32 Architecture (Cont.)

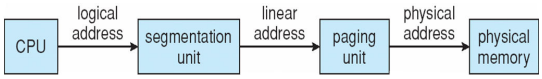
- CPU generates logical address
  - Selector given to segmentation unit
    - Which produces linear addresses

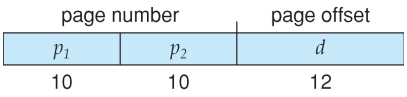



  - Linear address given to paging unit
    - Which generates physical address in main memory
    - Paging units form equivalent of MMU
    - Pages sizes can be 4 KB or 4 MB



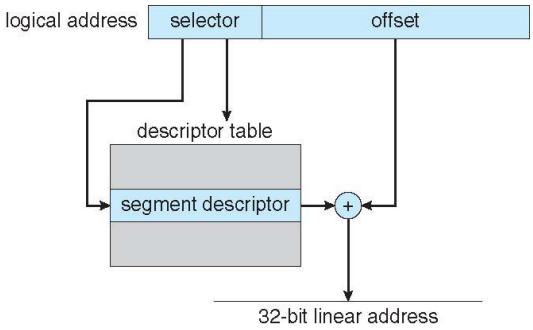
## Logical to Physical Address Translation in IA-32



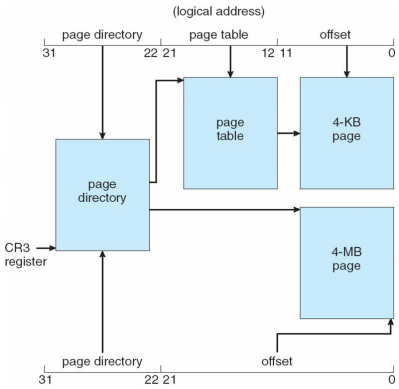



## Intel IA-32 Segmentation





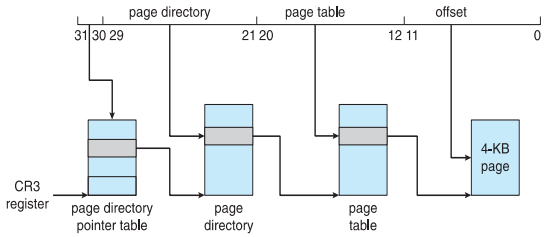

## Intel IA-32 Paging Architecture






## Intel IA-32 Page Address Extensions

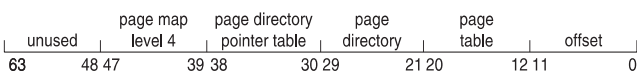
- 32-bit address limits led Intel to create **page address extension** (**PAE**), allowing 32-bit apps access to more than 4GB of memory space
  - Paging went to a 3-level scheme
  - Top two bits refer to a **page directory pointer table**
  - Page-directory and page-table entries moved to 64-bits in size
  - Net effect is increasing address space to 36 bits – 64GB of physical memory





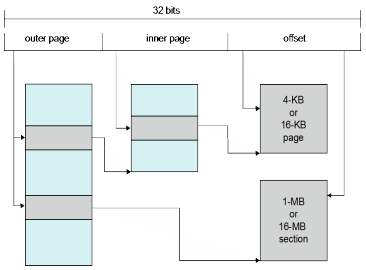

## Intel x86-64

- Current generation Intel x86 architecture
- 64 bits is ginormous (> 16 exabytes)
- In practice only implement 48 bit addressing
  - Page sizes of 4 KB, 2 MB, 1 GB
  - Four levels of paging hierarchy
- Can also use PAE so virtual addresses are 48 bits and physical addresses are 52 bits



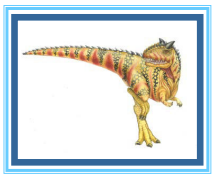
## Example: ARM Architecture

- Dominant mobile platform chip (Apple iOS and Google Android devices for example)
- Modern, energy efficient, 32-bit CPU
- 4 KB and 16 KB pages
- 1 MB and 16 MB pages (termed sections)
- One-level paging for sections, two-level for smaller pages
- Two levels of TLBs
  - Outer level has two micro TLBs (one data, one instruction)
  - Inner is single main TLB
  - First inner is checked, on miss outers are checked, and on miss page table walk performed by CPU



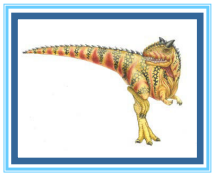



## End of Chapter 8





## Chapter 9: Virtual Memory





## Chapter 9: Virtual Memory

- Background
- Demand Paging
- Copy-on-Write
- Page Replacement
- Allocation of Frames
- Thrashing
- Memory-Mapped Files
- Allocating Kernel Memory
- Other Considerations
- Operating-System Examples



## Objectives

- To describe the benefits of a virtual memory system
- To explain the concepts of demand paging, page-replacement algorithms, and allocation of page frames
- To discuss the principle of the working-set model
- To examine the relationship between shared memory and memory-mapped files
- To explore how kernel memory is managed



## Background

- Code needs to be in memory to execute, but entire program rarely used
  - Error code, unusual routines, large data structures
- Entire program code not needed at same time
- Consider ability to execute partially-loaded program
  - Program no longer constrained by limits of physical memory
  - Each program takes less memory while running -> more programs run at the same time
    - Increased CPU utilization and throughput with no increase in response time or turnaround time
  - Less I/O needed to load or swap programs into memory -> each user program runs faster

# Background (Cont.)

- **Virtual memory** – separation of user logical memory from physical memory
  - Only part of the program needs to be in memory for execution
  - Logical address space can therefore be much larger than physical address space
  - Allows address spaces to be shared by several processes
  - Allows for more efficient process creation
  - More programs running concurrently
  - Less I/O needed to load or swap processes

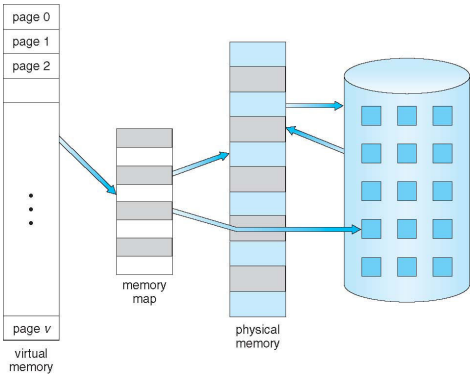


# Background (Cont.)

- **Virtual address space** – logical view of how process is stored in memory
  - Usually start at address 0, contiguous addresses until end of space
  - Meanwhile, physical memory organized in page frames
  - MMU must map logical to physical
- Virtual memory can be implemented via:
  - Demand paging
  - Demand segmentation



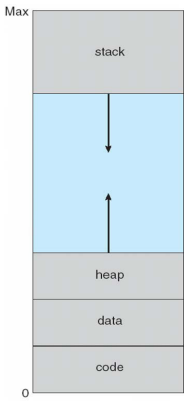
# Virtual Memory That is Larger Than Physical Memory





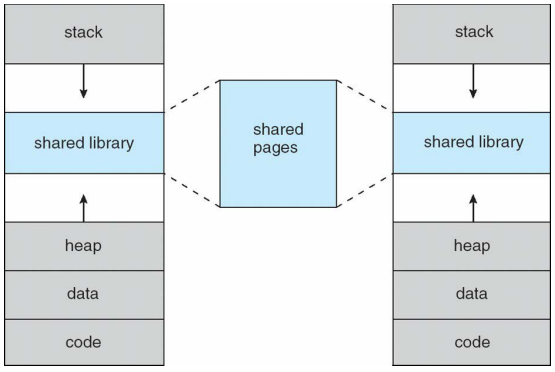

# Virtual-address Space

- Usually design logical address space for stack to start at Max logical address and grow "down" while heap grows "up"
  - Maximizes address space use
  - Unused address space between the two is hole
    - No physical memory needed until heap or stack grows to a given new page
- Enables **sparse** address spaces with holes left for growth, dynamically linked libraries, etc
- System libraries shared via mapping into virtual address space
- Shared memory by mapping pages read-write into virtual address space
- Pages can be shared during `fork()`, speeding process creation





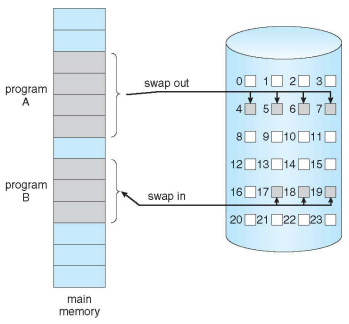

# Shared Library Using Virtual Memory






# Demand Paging

- Could bring entire process into memory at load time
- Or bring a page into memory only when it is needed
  - Less I/O needed, no unnecessary I/O
  - Less memory needed
  - Faster response
  - More users
- Similar to paging system with swapping (diagram on right)
- Page is needed ⇒ reference to it
  - invalid reference ⇒ abort
  - not-in-memory ⇒ bring to memory
- **Lazy swapper** – never swaps a page into memory unless page will be needed
  - Swapper that deals with pages is a **pager**



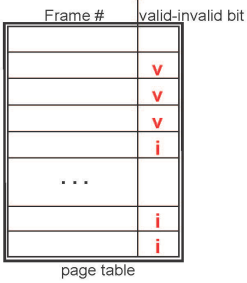
# Basic Concepts

- With swapping, pager guesses which pages will be used before swapping out again
- Instead, pager brings in only those pages into memory
- How to determine that set of pages?
  - Need new MMU functionality to implement demand paging
- If pages needed are already **memory resident**
  - No difference from non demand-paging
- If page needed and not memory resident
  - Need to detect and load the page into memory from storage
    - Without changing program behavior
    - Without programmer needing to change code



# Valid-Invalid Bit

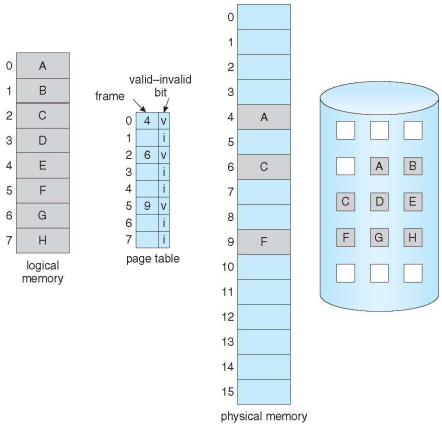
- With each page table entry a valid–invalid bit is associated (**v** ⇒ in-memory – **memory resident**, **i** ⇒ not-in-memory)
- Initially valid–invalid bit is set to **i** on all entries
- Example of a page table snapshot:




- During MMU address translation, if valid–invalid bit in page table entry is **i** ⇒ page fault



# Page Table When Some Pages Are Not in Main Memory



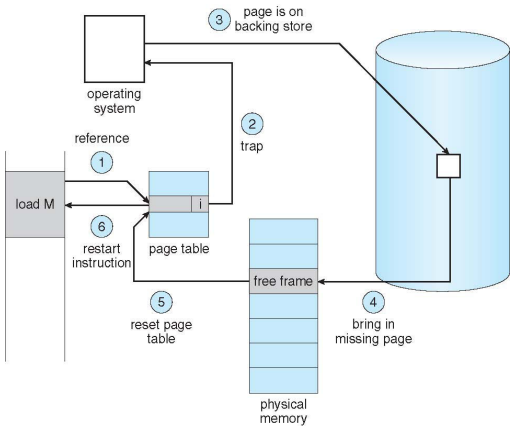



# Page Fault

- If there is a reference to a page, first reference to that page will trap to operating system:
  **page fault**
1. Operating system looks at another table to decide:
   - Invalid reference ⇒ abort
   - Just not in memory
2. Find free frame
3. Swap page into frame via scheduled disk operation
4. Reset tables to indicate page now in memory
   Set validation bit = **v**
5. Restart the instruction that caused the page fault



# Steps in Handling a Page Fault



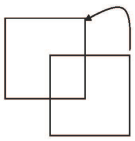



# Aspects of Demand Paging

- Extreme case – start process with *no* pages in memory
  - OS sets instruction pointer to first instruction of process, non-memory-resident -> page fault
  - And for every other process pages on first access
  - **Pure demand paging**
- Actually, a given instruction could access multiple pages -> multiple page faults
  - Consider fetch and decode of instruction which adds 2 numbers from memory and stores result back to memory
  - Pain decreased because of **locality of reference**
- Hardware support needed for demand paging
  - Page table with valid / invalid bit
  - Secondary memory (swap device with **swap space**)
  - Instruction restart

# Instruction Restart

- Consider an instruction that could access several different locations
  - block move



  - auto increment/decrement location
  - Restart the whole operation?
    - What if source and destination overlap?



# Performance of Demand Paging

- Stages in Demand Paging (worse case)

1. Trap to the operating system
2. Save the user registers and process state
3. Determine that the interrupt was a page fault
4. Check that the page reference was legal and determine the location of the page on the disk
5. Issue a read from the disk to a free frame:
   1. Wait in a queue for this device until the read request is serviced
   2. Wait for the device seek and/or latency time
   3. Begin the transfer of the page to a free frame
6. While waiting, allocate the CPU to some other user
7. Receive an interrupt from the disk I/O subsystem (I/O completed)
8. Save the registers and process state for the other user
9. Determine that the interrupt was from the disk
10. Correct the page table and other tables to show page is now in memory
11. Wait for the CPU to be allocated to this process again
12. Restore the user registers, process state, and new page table, and then resume the interrupted instruction



# Performance of Demand Paging (Cont.)

- Three major activities
  - Service the interrupt – careful coding means just several hundred instructions needed
  - Read the page – lots of time
  - Restart the process – again just a small amount of time
- Page Fault Rate $0 \le p \le 1$
  - if $p = 0$ no page faults
  - if $p = 1$, every reference is a fault
- Effective Access Time (EAT)

$$EAT = (1 - p) \times \text{memory access} + p\ (\text{page fault overhead} + \text{swap page out} + \text{swap page in})$$



# Demand Paging Example

- Memory access time = 200 nanoseconds
- Average page-fault service time = 8 milliseconds
- EAT = (1 – p) x 200 + p (8 milliseconds)
  = (1 – p x 200 + p x 8,000,000
  = 200 + p x 7,999,800
- If one access out of 1,000 causes a page fault, then
  EAT = 8.2 microseconds.
  This is a slowdown by a factor of 40!!
- If want performance degradation < 10 percent
  - 220 > 200 + 7,999,800 x p
    20 > 7,999,800 x p
  - p < .0000025
  - < one page fault in every 400,000 memory accesses



# Demand Paging Optimizations

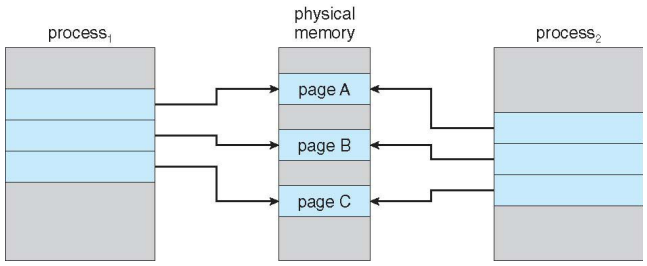
- Swap space I/O faster than file system I/O even if on the same device
  - Swap allocated in larger chunks, less management needed than file system
- Copy entire process image to swap space at process load time
  - Then page in and out of swap space
  - Used in older BSD Unix
- Demand page in from program binary on disk, but discard rather than paging out when freeing frame
  - Used in Solaris and current BSD
  - Still need to write to swap space
    - Pages not associated with a file (like stack and heap) – **anonymous memory**
    - Pages modified in memory but not yet written back to the file system
- Mobile systems
  - Typically don't support swapping
  - Instead, demand page from file system and reclaim read-only pages (such as code)



# Copy-on-Write

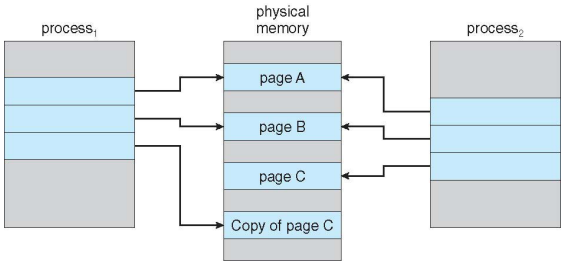
- **Copy-on-Write** (COW) allows both parent and child processes to initially ***share*** the same pages in memory
  - If either process modifies a shared page, only then is the page copied
- COW allows more efficient process creation as only modified pages are copied
- In general, free pages are allocated from a **pool** of **zero-fill-on-demand** pages
  - Pool should always have free frames for fast demand page execution
    - Don't want to have to free a frame as well as other processing on page fault
  - Why zero-out a page before allocating it?
- `vfork()` variation on `fork()` system call has parent suspend and child using copy-on-write address space of parent
  - Designed to have child call `exec()`
  - Very efficient

# Before Process 1 Modifies Page C






# After Process 1 Modifies Page C






# What Happens if There is no Free Frame?

- Used up by process pages
- Also in demand from the kernel, I/O buffers, etc
- How much to allocate to each?
- Page replacement – find some page in memory, but not really in use, page it out
  - Algorithm – terminate? swap out? replace the page?
  - Performance – want an algorithm which will result in minimum number of page faults
- Same page may be brought into memory several times

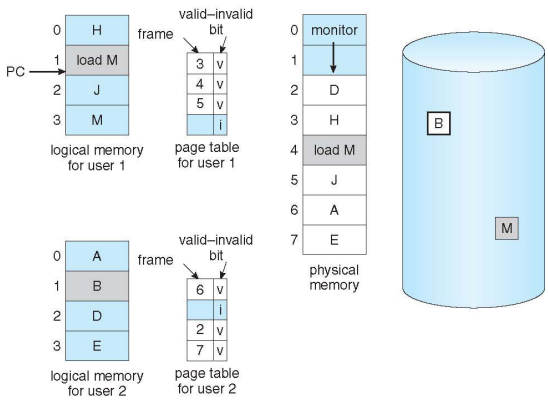


# Page Replacement

- Prevent **over-allocation** of memory by modifying page-fault service routine to include page replacement
- Use **modify** (**dirty**) **bit** to reduce overhead of page transfers – only modified pages are written to disk
- Page replacement completes separation between logical memory and physical memory – large virtual memory can be provided on a smaller physical memory



# Need For Page Replacement



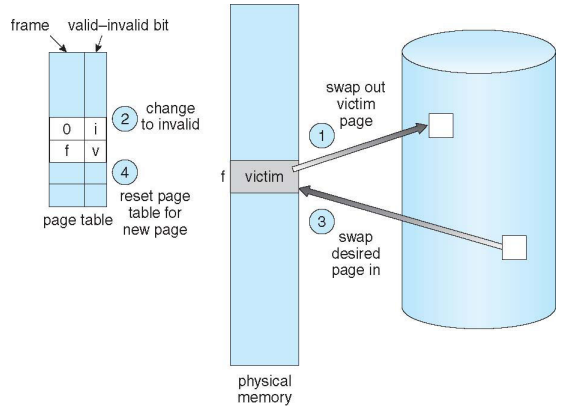



# Basic Page Replacement

1. Find the location of the desired page on disk
2. Find a free frame:
   - If there is a free frame, use it
   - If there is no free frame, use a page replacement algorithm to select a **victim frame**
     - Write victim frame to disk if dirty
3. Bring the desired page into the (newly) free frame; update the page and frame tables
4. Continue the process by restarting the instruction that caused the trap

Note now potentially 2 page transfers for page fault – increasing EAT

# Page Replacement





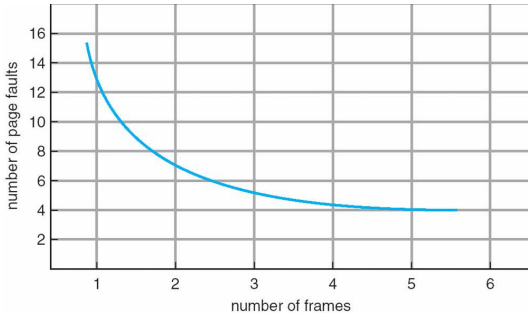

# Page and Frame Replacement Algorithms

- **Frame-allocation algorithm** determines
  - How many frames to give each process
  - Which frames to replace
- **Page-replacement algorithm**
  - Want lowest page-fault rate on both first access and re-access
- Evaluate algorithm by running it on a particular string of memory references (reference string) and computing the number of page faults on that string
  - String is just page numbers, not full addresses
  - Repeated access to the same page does not cause a page fault
  - Results depend on number of frames available
- In all our examples, the **reference string** of referenced page numbers is

  **7,0,1,2,0,3,0,4,2,3,0,3,0,3,2,1,2,0,1,7,0,1**



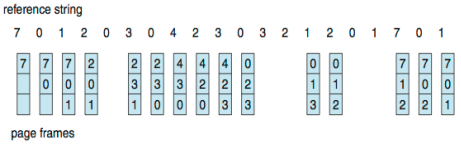
# Graph of Page Faults Versus The Number of Frames






# First-In-First-Out (FIFO) Algorithm

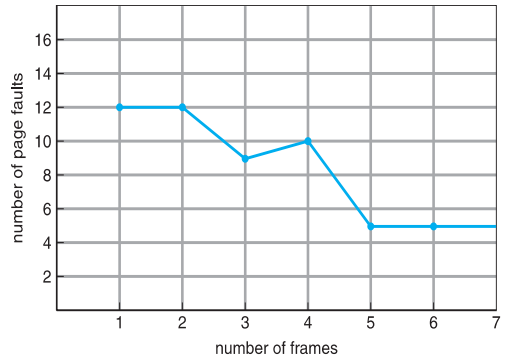
- Reference string: **7,0,1,2,0,3,0,4,2,3,0,3,0,3,2,1,2,0,1,7,0,1**
- 3 frames (3 pages can be in memory at a time per process)




  15 page faults
- Can vary by reference string: consider 1,2,3,4,1,2,5,1,2,3,4,5
  - Adding more frames can cause more page faults!
    - **Belady's Anomaly**
- How to track ages of pages?
  - Just use a FIFO queue



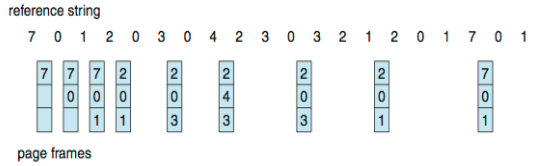
# FIFO Illustrating Belady's Anomaly





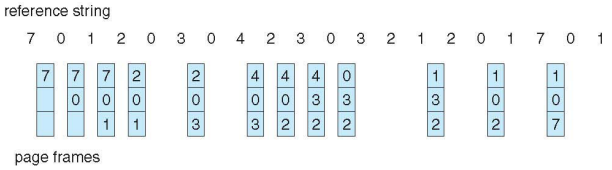

# Optimal Algorithm

- Replace page that will not be used for longest period of time
  - 9 is optimal for the example
- How do you know this?
  - Can't read the future
- Used for measuring how well your algorithm performs



# Least Recently Used (LRU) Algorithm

- Use past knowledge rather than future
- Replace page that has not been used in the most amount of time
- Associate time of last use with each page




- 12 faults – better than FIFO but worse than OPT
- Generally good algorithm and frequently used
- But how to implement?

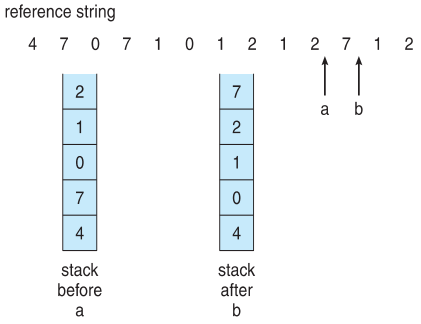


# LRU Algorithm (Cont.)

- Counter implementation
  - Every page entry has a counter; every time page is referenced through this entry, copy the clock into the counter
  - When a page needs to be changed, look at the counters to find smallest value
    - Search through table needed
- Stack implementation
  - Keep a stack of page numbers in a double link form:
  - Page referenced:
    - move it to the top
    - requires 6 pointers to be changed
  - But each update more expensive
  - No search for replacement
- LRU and OPT are cases of **stack algorithms** that don't have Belady's Anomaly



# Use Of A Stack to Record Most Recent Page References



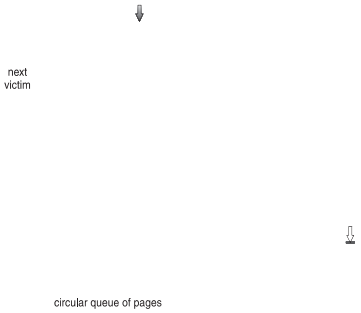



# LRU Approximation Algorithms

- LRU needs special hardware and still slow
- **Reference bit**
  - With each page associate a bit, initially = 0
  - When page is referenced bit set to 1
  - Replace any with reference bit = 0 (if one exists)
    - We do not know the order, however
- **Second-chance algorithm**
  - Generally FIFO, plus hardware-provided reference bit
  - **Clock** replacement
  - If page to be replaced has
    - Reference bit = 0 -> replace it
    - reference bit = 1 then:
      - set reference bit 0, leave page in memory
      - replace next page, subject to same rules



# Second-Chance (clock) Page-Replacement Algorithm






# Enhanced Second-Chance Algorithm

- Improve algorithm by using reference bit and modify bit (if available) in concert
- Take ordered pair (reference, modify)

1. (0, 0) neither recently used not modified – best page to replace
2. (0, 1) not recently used but modified – not quite as good, must write out before replacement
3. (1, 0) recently used but clean – probably will be used again soon
4. (1, 1) recently used and modified – probably will be used again soon and need to write out before replacement

- When page replacement called for, use the clock scheme but use the four classes replace page in lowest non-empty class
  - Might need to search circular queue several times

## Counting Algorithms

- Keep a counter of the number of references that have been made to each page
  - Not common
- **Lease Frequently Used** (**LFU**) **Algorithm**: replaces page with smallest count
- **Most Frequently Used** (**MFU**) **Algorithm**: based on the argument that the page with the smallest count was probably just brought in and has yet to be used



## Page-Buffering Algorithms

- Keep a pool of free frames, always
  - Then frame available when needed, not found at fault time
  - Read page into free frame and select victim to evict and add to free pool
  - When convenient, evict victim
- Possibly, keep list of modified pages
  - When backing store otherwise idle, write pages there and set to non-dirty
- Possibly, keep free frame contents intact and note what is in them
  - If referenced again before reused, no need to load contents again from disk
  - Generally useful to reduce penalty if wrong victim frame selected



## Applications and Page Replacement

- All of these algorithms have OS guessing about future page access
- Some applications have better knowledge – i.e. databases
- Memory intensive applications can cause double buffering
  - OS keeps copy of page in memory as I/O buffer
  - Application keeps page in memory for its own work
- Operating system can given direct access to the disk, getting out of the way of the applications
  - **Raw disk** mode
- Bypasses buffering, locking, etc



## Allocation of Frames

- Each process needs ***minimum*** number of frames
- Example: IBM 370 – 6 pages to handle SS MOVE instruction:
  - instruction is 6 bytes, might span 2 pages
  - 2 pages to handle *from*
  - 2 pages to handle *to*
- ***Maximum*** of course is total frames in the system
- Two major allocation schemes
  - fixed allocation
  - priority allocation
- Many variations



## Fixed Allocation

- Equal allocation – For example, if there are 100 frames (after allocating frames for the OS) and 5 processes, give each process 20 frames
  - Keep some as free frame buffer pool
- Proportional allocation – Allocate according to the size of process
  - Dynamic as degree of multiprogramming, process sizes change
    - $s_i$ = size of process $p_i$
    - $S = \sum s_i$
    - $m$ = total number of frames
    - $a_i$ = allocation for $p_i = \frac{s_i}{S} \times m$

$m = 64$

$s_1 = 10$

$s_2 = 127$

$a_1 = \frac{10}{137} \times 62 \approx 4$

$a_2 = \frac{127}{137} \times 62 \approx 57$



## Priority Allocation

- Use a proportional allocation scheme using priorities rather than size
- If process $P_i$ generates a page fault,
  - select for replacement one of its frames
  - select for replacement a frame from a process with lower priority number

# Global vs. Local Allocation

- **Global replacement** – process selects a replacement frame from the set of all frames; one process can take a frame from another
  - But then process execution time can vary greatly
  - But greater throughput so more common
- **Local replacement** – each process selects from only its own set of allocated frames
  - More consistent per-process performance
  - But possibly underutilized memory



# Non-Uniform Memory Access

- So far all memory accessed equally
- Many systems are **NUMA** – speed of access to memory varies
  - Consider system boards containing CPUs and memory, interconnected over a system bus
- Optimal performance comes from allocating memory "close to" the CPU on which the thread is scheduled
  - And modifying the scheduler to schedule the thread on the same system board when possible
  - Solved by Solaris by creating **lgroups**
    - Structure to track CPU / Memory low latency groups
    - Used my schedule and pager
    - When possible schedule all threads of a process and allocate all memory for that process within the lgroup

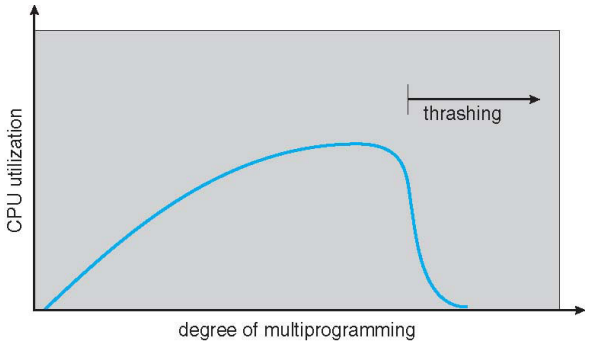


# Thrashing

- If a process does not have "enough" pages, the page-fault rate is very high
  - Page fault to get page
  - Replace existing frame
  - But quickly need replaced frame back
  - This leads to:
    - Low CPU utilization
    - Operating system thinking that it needs to increase the degree of multiprogramming
    - Another process added to the system
- **Thrashing** ≡ a process is busy swapping pages in and out



# Thrashing (Cont.)



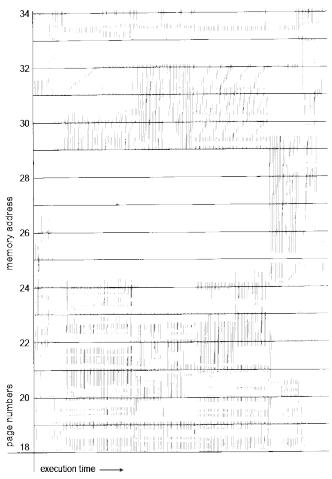



# Demand Paging and Thrashing

- Why does demand paging work?
  **Locality model**
  - Process migrates from one locality to another
  - Localities may overlap
- Why does thrashing occur?
  Σ size of locality > total memory size
  - Limit effects by using local or priority page replacement

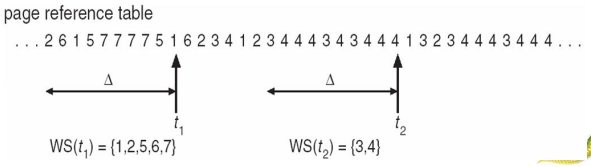


# Locality In A Memory-Reference Pattern




# Working-Set Model

- $\Delta \equiv$ working-set window $\equiv$ a fixed number of page references
  Example: 10,000 instructions
- $WSS_i$ (working set of Process $P_i$) =
  total number of pages referenced in the most recent $\Delta$ (varies in time)
  - if $\Delta$ too small will not encompass entire locality
  - if $\Delta$ too large will encompass several localities
  - if $\Delta = \infty \Rightarrow$ will encompass entire program
- $D = \Sigma\ WSS_i \equiv$ total demand frames
  - Approximation of locality
- if $D > m \Rightarrow$ Thrashing
- Policy if $D >$ m, then suspend or swap out one of the processes





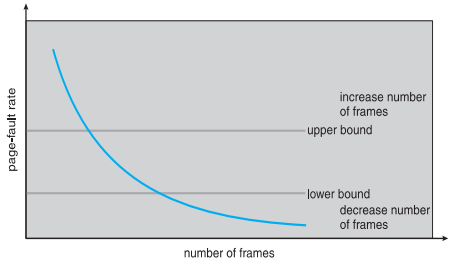

# Keeping Track of the Working Set

- Approximate with interval timer + a reference bit
- Example: $\Delta$ = 10,000
  - Timer interrupts after every 5000 time units
  - Keep in memory 2 bits for each page
  - Whenever a timer interrupts copy and sets the values of all reference bits to 0
  - If one of the bits in memory = 1 $\Rightarrow$ page in working set
- Why is this not completely accurate?
- Improvement = 10 bits and interrupt every 1000 time units



# Page-Fault Frequency

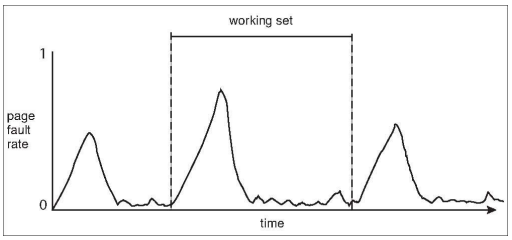
- More direct approach than WSS
- Establish "acceptable" **page-fault frequency** (**PFF**) rate and use local replacement policy
  - If actual rate too low, process loses frame
  - If actual rate too high, process gains frame






# Working Sets and Page Fault Rates

- Direct relationship between working set of a process and its page-fault rate
- Working set changes over time
- Peaks and valleys over time






# Memory-Mapped Files

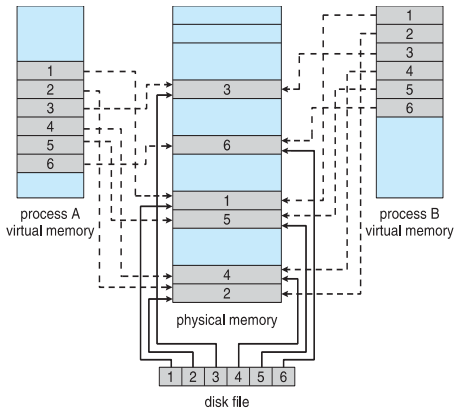
- Memory-mapped file I/O allows file I/O to be treated as routine memory access by **mapping** a disk block to a page in memory
- A file is initially read using demand paging
  - A page-sized portion of the file is read from the file system into a physical page
  - Subsequent reads/writes to/from the file are treated as ordinary memory accesses
- Simplifies and speeds file access by driving file I/O through memory rather than `read()` and `write()` system calls
- Also allows several processes to map the same file allowing the pages in memory to be shared
- But when does written data make it to disk?
  - Periodically and / or at file `close()` time
  - For example, when the pager scans for dirty pages



# Memory-Mapped File Technique for all I/O

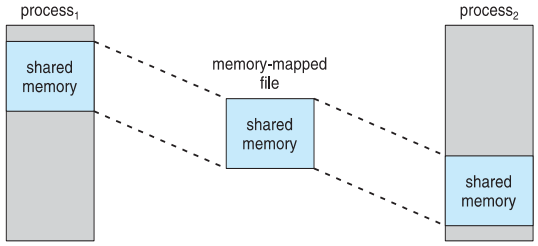
- Some OSes uses memory mapped files for standard I/O
- Process can explicitly request memory mapping a file via `mmap()` system call
  - Now file mapped into process address space
- For standard I/O (`open()`, `read()`, `write()`, `close()`), mmap anyway
  - But map file into kernel address space
  - Process still does read() and write()
    - Copies data to and from kernel space and user space
  - Uses efficient memory management subsystem
    - Avoids needing separate subsystem
- COW can be used for read/write non-shared pages
- Memory mapped files can be used for shared memory (although again via separate system calls)

# Memory Mapped Files






# Shared Memory via Memory-Mapped I/O






# Shared Memory in Windows API

- First create a **file mapping** for file to be mapped
  - Then establish a view of the mapped file in process's virtual address space
- Consider producer / consumer
  - Producer create shared-memory object using memory mapping features
  - Open file via `CreateFile()`, returning a `HANDLE`
  - Create mapping via `CreateFileMapping()` creating a **named shared-memory object**
  - Create view via `MapViewOfFile()`
- Sample code in Textbook



# Allocating Kernel Memory

- Treated differently from user memory
- Often allocated from a free-memory pool
  - Kernel requests memory for structures of varying sizes
  - Some kernel memory needs to be contiguous
    - I.e. for device I/O

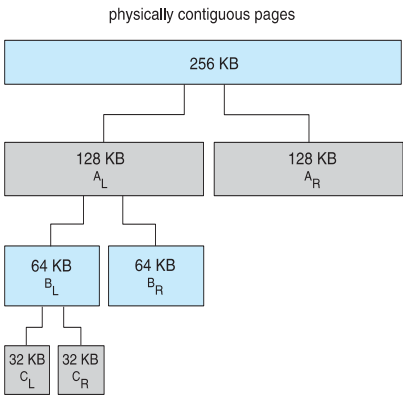


# Buddy System

- Allocates memory from fixed-size segment consisting of physically-contiguous pages
- Memory allocated using **power-of-2 allocator**
  - Satisfies requests in units sized as power of 2
  - Request rounded up to next highest power of 2
  - When smaller allocation needed than is available, current chunk split into two buddies of next-lower power of 2
    - Continue until appropriate sized chunk available
- For example, assume 256KB chunk available, kernel requests 21KB
  - Split into $A_L$ and $A_R$ of 128KB each
    - One further divided into $B_L$ and $B_R$ of 64KB
      - One further into $C_L$ and $C_R$ of 32KB each – one used to satisfy request
- Advantage – quickly **coalesce** unused chunks into larger chunk
- Disadvantage - fragmentation



# Buddy System Allocator

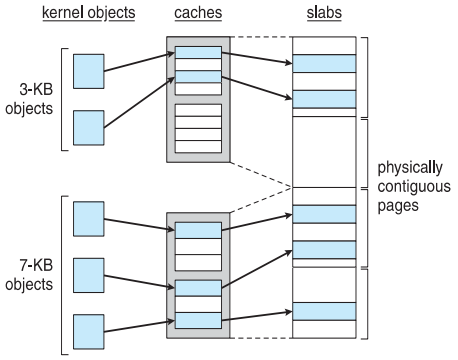


# Slab Allocator

- Alternate strategy
- **Slab** is one or more physically contiguous pages
- **Cache** consists of one or more slabs
- Single cache for each unique kernel data structure
  - Each cache filled with **objects** – instantiations of the data structure
- When cache created, filled with objects marked as **`free`**
- When structures stored, objects marked as **`used`**
- If slab is full of used objects, next object allocated from empty slab
  - If no empty slabs, new slab allocated
- Benefits include no fragmentation, fast memory request satisfaction



# Slab Allocation






# Slab Allocator in Linux

- For example process descriptor is of type `struct task_struct`
- Approx 1.7KB of memory
- New task -> allocate new struct from cache
  - Will use existing free `struct task_struct`
- Slab can be in three possible states
  1. Full – all used
  2. Empty – all free
  3. Partial – mix of free and used
- Upon request, slab allocator
  1. Uses free struct in partial slab
  2. If none, takes one from empty slab
  3. If no empty slab, create new empty



# Slab Allocator in Linux (Cont.)

- Slab started in Solaris, now wide-spread for both kernel mode and user memory in various OSes
- Linux 2.2 had SLAB, now has both SLOB and SLUB allocators
  - SLOB for systems with limited memory
    - Simple List of Blocks – maintains 3 list objects for small, medium, large objects
  - SLUB is performance-optimized SLAB removes per-CPU queues, metadata stored in page structure



# Other Considerations -- Prepaging

- Prepaging
  - To reduce the large number of page faults that occurs at process startup
  - Prepage all or some of the pages a process will need, before they are referenced
  - But if prepaged pages are unused, I/O and memory was wasted
  - Assume $s$ pages are prepaged and $\alpha$ of the pages is used
    - Is cost of $s * \alpha$ save pages faults > or < than the cost of prepaging
      $s * (1 - \alpha)$ unnecessary pages?
    - $\alpha$ near zero ⇒ prepaging loses



# Other Issues – Page Size

- Sometimes OS designers have a choice
  - Especially if running on custom-built CPU
- Page size selection must take into consideration:
  - Fragmentation
  - Page table size
  - **Resolution**
  - I/O overhead
  - Number of page faults
  - Locality
  - TLB size and effectiveness
- Always power of 2, usually in the range $2^{12}$ (4,096 bytes) to $2^{22}$ (4,194,304 bytes)
- On average, growing over time

## Other Issues – TLB Reach

- TLB Reach - The amount of memory accessible from the TLB
- TLB Reach = (TLB Size) X (Page Size)
- Ideally, the working set of each process is stored in the TLB
  - Otherwise there is a high degree of page faults
- Increase the Page Size
  - This may lead to an increase in fragmentation as not all applications require a large page size
- Provide Multiple Page Sizes
  - This allows applications that require larger page sizes the opportunity to use them without an increase in fragmentation



## Other Issues – Program Structure

- Program structure
  - `int[128,128] data;`
  - Each row is stored in one page
  - Program 1

```
for (j = 0; j <128; j++)
    for (i = 0; i < 128; i++)
        data[i,j] = 0;
```

128 x 128 = 16,384 page faults

  - Program 2

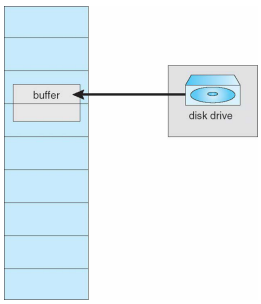
```
for (i = 0; i < 128; i++)
    for (j = 0; j < 128; j++)
        data[i,j] = 0;
```

128 page faults



## Other Issues – I/O interlock

- I/O Interlock – Pages must sometimes be locked into memory
- Consider I/O - Pages that are used for copying a file from a device must be locked from being selected for eviction by a page replacement algorithm
- Pinning of pages to lock into memory






## Operating System Examples

- Windows
- Solaris



## Windows

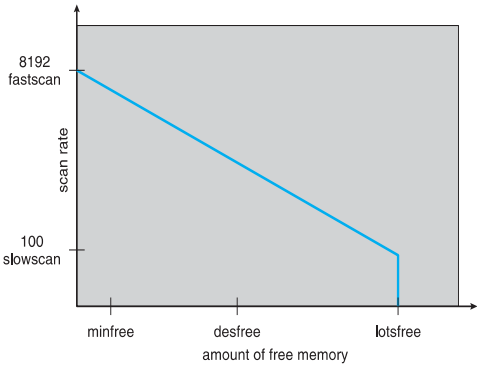
- Uses demand paging with clustering. Clustering brings in pages surrounding the faulting page
- Processes are assigned working set minimum and working set maximum
- Working set minimum is the minimum number of pages the process is guaranteed to have in memory
- A process may be assigned as many pages up to its working set maximum
- When the amount of free memory in the system falls below a threshold, automatic working set trimming is performed to restore the amount of free memory
- Working set trimming removes pages from processes that have pages in excess of their working set minimum



## Solaris

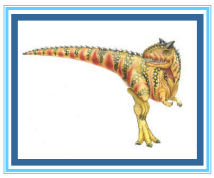
- Maintains a list of free pages to assign faulting processes
- `Lotsfree` – threshold parameter (amount of free memory) to begin paging
- `Desfree` – threshold parameter to increasing paging
- `Minfree` – threshold parameter to being swapping
- Paging is performed by `pageout` process
- `Pageout` scans pages using modified clock algorithm
- `Scanrate` is the rate at which pages are scanned. This ranges from `slowscan` to `fastscan`
- `Pageout` is called more frequently depending upon the amount of free memory available
- Priority paging gives priority to process code pages

## Solaris 2 Page Scanner






# End of Chapter 9





# Chapter 11: File-System Interface



## Chapter 11: File-System Interface

- File Concept
- Access Methods
- Disk and Directory Structure
- File-System Mounting
- File Sharing
- Protection



## Objectives

- To explain the function of file systems
- To describe the interfaces to file systems
- To discuss file-system design tradeoffs, including access methods, file sharing, file locking, and directory structures
- To explore file-system protection



## File Concept

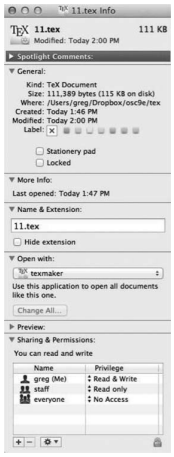
- Contiguous logical address space
- Types:
  - Data
    - numeric
    - character
    - binary
  - Program
- Contents defined by file's creator
  - Many types
    - Consider **text file, source file, executable file**

# File Attributes

- **Name** – only information kept in human-readable form
- **Identifier** – unique tag (number) identifies file within file system
- **Type** – needed for systems that support different types
- **Location** – pointer to file location on device
- **Size** – current file size
- **Protection** – controls who can do reading, writing, executing
- **Time, date, and user identification** – data for protection, security, and usage monitoring
- Information about files are kept in the directory structure, which is maintained on the disk
- Many variations, including extended file attributes such as file checksum
- Information kept in the directory structure



# File info Window on Mac OS X






# File Operations

- File is an **abstract data type**
- **Create**
- **Write –** at **write pointer** location
- **Read –** at **read pointer** location
- **Reposition within file - seek**
- **Delete**
- **Truncate**
- ***Open*($F_i$)** – search the directory structure on disk for entry $F_i$, and move the content of entry to memory
- ***Close*** ($F_i$) – move the content of entry $F_i$ in memory to directory structure on disk



# Open Files

- Several pieces of data are needed to manage open files:
  - **Open-file table**: tracks open files
  - File pointer: pointer to last read/write location, per process that has the file open
  - **File-open count**: counter of number of times a file is open – to allow removal of data from open-file table when last processes closes it
  - Disk location of the file: cache of data access information
  - Access rights: per-process access mode information



# Open File Locking

- Provided by some operating systems and file systems
  - Similar to reader-writer locks
  - **Shared lock** similar to reader lock – several processes can acquire concurrently
  - **Exclusive lock** similar to writer lock
- Mediates access to a file
- Mandatory or advisory:
  - **Mandatory** – access is denied depending on locks held and requested
  - **Advisory** – processes can find status of locks and decide what to do



# File Locking Example – Java API

```
import java.io.*;
import java.nio.channels.*;
public class LockingExample {
    public static final boolean EXCLUSIVE = false;
    public static final boolean SHARED = true;
    public static void main(String arsg[]) throws IOException {
        FileLock sharedLock = null;
        FileLock exclusiveLock = null;
        try {
            RandomAccessFile raf = new RandomAccessFile("file.txt", "rw");
            // get the channel for the file
            FileChannel ch = raf.getChannel();
            // this locks the first half of the file - exclusive
            exclusiveLock = ch.lock(0, raf.length()/2, EXCLUSIVE);
            /** Now modify the data . . . */
            // release the lock
            exclusiveLock.release();
```

## File Locking Example – Java API (Cont.)

```
                // this locks the second half of the file - shared
                sharedLock = ch.lock(raf.length()/2+1, raf.length(),
                                     SHARED);
                /** Now read the data . . . */
                // release the lock
                sharedLock.release();
            } catch (java.io.IOException ioe) {
                System.err.println(ioe);
            }finally {
                if (exclusiveLock != null)
                exclusiveLock.release();
                if (sharedLock != null)
                sharedLock.release();
            }
        }
    }
```



## File Types – Name, Extension

| file type | usual extension | function |
|---|---|---|
| executable | exe, com, bin or none | ready-to-run machine-language program |
| object | obj, o | compiled, machine language, not linked |
| source code | c, cc, java, pas, asm, a | source code in various languages |
| batch | bat, sh | commands to the command interpreter |
| text | txt, doc | textual data, documents |
| word processor | wp, tex, rtf, doc | various word-processor formats |
| library | lib, a, so, dll | libraries of routines for programmers |
| print or view | ps, pdf, jpg | ASCII or binary file in a format for printing or viewing |
| archive | arc, zip, tar | related files grouped into one file, sometimes compressed, for archiving or storage |
| multimedia | mpeg, mov, rm, mp3, avi | binary file containing audio or A/V information |

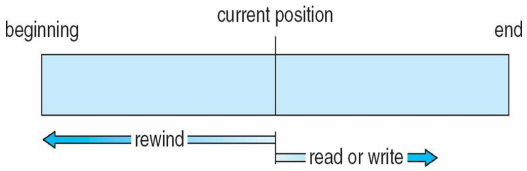


## File Structure

- None - sequence of words, bytes
- Simple record structure
  - Lines
  - Fixed length
  - Variable length
- Complex Structures
  - Formatted document
  - Relocatable load file
- Can simulate last two with first method by inserting appropriate control characters
- Who decides:
  - Operating system
  - Program



## Sequential-access File






## Access Methods

- **Sequential Access**

```
read next
write next
reset
```

  no read after last write (rewrite)

- **Direct Access –** file is fixed length logical records

```
read n
write n
position to n
        read next
        write next
rewrite n
```

  *n* = relative block number

- Relative block numbers allow OS to decide where file should be placed
  - See allocation problem in Ch 12



## Simulation of Sequential Access on Direct-access File

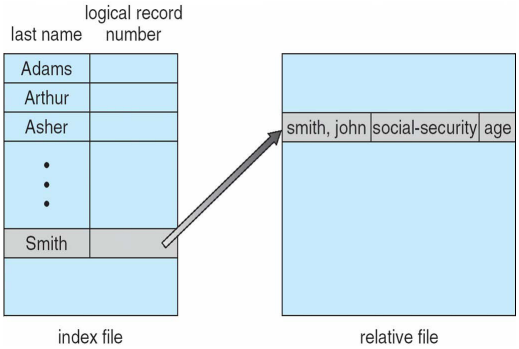
| sequential access | implementation for direct access |
|---|---|
| *reset* | $cp = 0;$ |
| *read next* | *read cp*;<br>$cp = cp + 1;$ |
| *write next* | *write cp*;<br>$cp = cp + 1;$ |

# Other Access Methods

- Can be built on top of base methods
- General involve creation of an index for the file
- Keep index in memory for fast determination of location of data to be operated on (consider UPC code plus record of data about that item)
- If too large, index (in memory) of the index (on disk)
- IBM indexed sequential-access method (ISAM)
  - Small master index, points to disk blocks of secondary index
  - File kept sorted on a defined key
  - All done by the OS
- VMS operating system provides index and relative files as another example (see next slide)



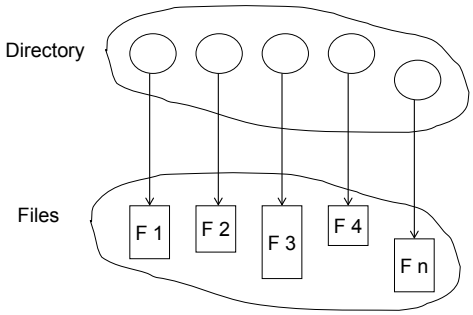
# Example of Index and Relative Files






# Directory Structure

- A collection of nodes containing information about all files




Both the directory structure and the files reside on disk

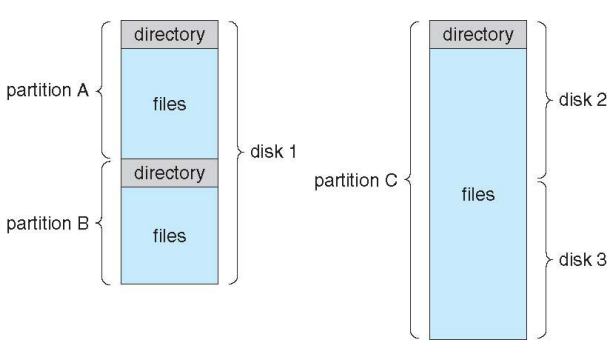


# Disk Structure

- Disk can be subdivided into **partitions**
- Disks or partitions can be **RAID** protected against failure
- Disk or partition can be used **raw** – without a file system, or **formatted** with a file system
- Partitions also known as minidisks, slices
- Entity containing file system known as a **volume**
- Each volume containing file system also tracks that file system's info in **device directory** or **volume table of contents**
- As well as **general-purpose file systems** there are many **special-purpose file systems**, frequently all within the same operating system or computer



# A Typical File-system Organization






# Types of File Systems

- We mostly talk of general-purpose file systems
- But systems frequently have may file systems, some general- and some special- purpose
- Consider Solaris has
  - tmpfs – memory-based volatile FS for fast, temporary I/O
  - objfs – interface into kernel memory to get kernel symbols for debugging
  - ctfs – contract file system for managing daemons
  - lofs – loopback file system allows one FS to be accessed in place of another
  - procfs – kernel interface to process structures
  - ufs, zfs – general purpose file systems

# Operations Performed on Directory

- Search for a file
- Create a file
- Delete a file
- List a directory
- Rename a file
- Traverse the file system



# Directory Organization

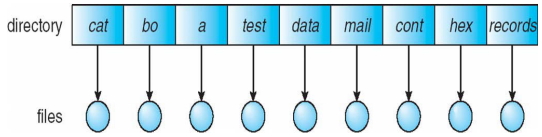
The directory is organized logically to obtain

- Efficiency – locating a file quickly
- Naming – convenient to users
  - Two users can have same name for different files
  - The same file can have several different names
- Grouping – logical grouping of files by properties, (e.g., all Java programs, all games, …)



# Single-Level Directory

- A single directory for all users

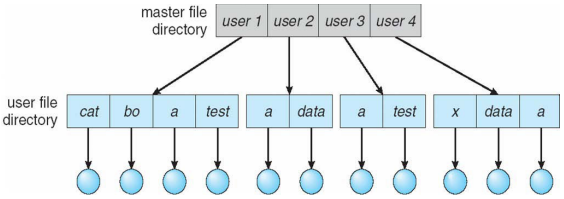



- Naming problem
- Grouping problem



# Two-Level Directory

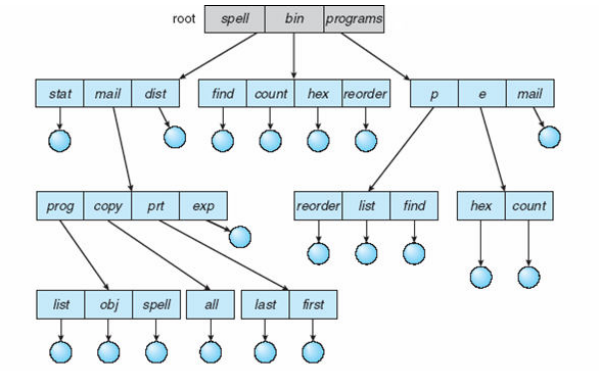
- Separate directory for each user




- Path name
- Can have the same file name for different user
- Efficient searching
- No grouping capability



# Tree-Structured Directories






# Tree-Structured Directories (Cont.)

- Efficient searching
- Grouping Capability
- Current directory (working directory)
  - `cd /spell/mail/prog`
  - `type list`

# Tree-Structured Directories (Cont)

- Absolute or relative path name
- Creating a new file is done in current directory
- Delete a file

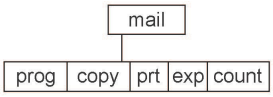
```
rm <file-name>
```

- Creating a new subdirectory is done in current directory

```
mkdir <dir-name>
```

Example: if in current directory `/mail`

```
mkdir count
```

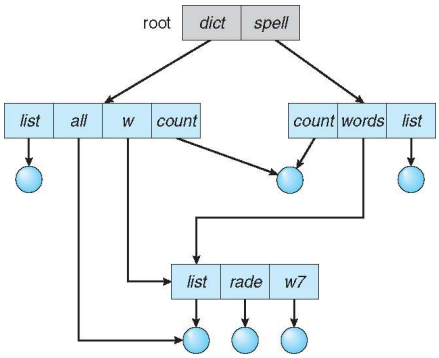



Deleting "mail" ⇒ deleting the entire subtree rooted by "mail"



# Acyclic-Graph Directories

- Have shared subdirectories and files





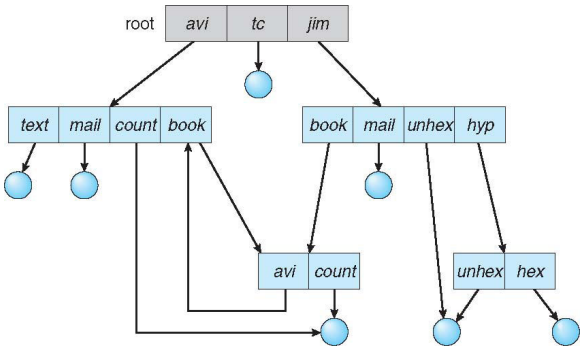

# Acyclic-Graph Directories (Cont.)

- Two different names (aliasing)
- If ***dict*** deletes ***list*** ⇒ dangling pointer

  Solutions:
  - Backpointers, so we can delete all pointers
    Variable size records a problem
  - Backpointers using a daisy chain organization
  - Entry-hold-count solution
- New directory entry type
  - **Link** – another name (pointer) to an existing file
  - **Resolve the link** – follow pointer to locate the file



# General Graph Directory





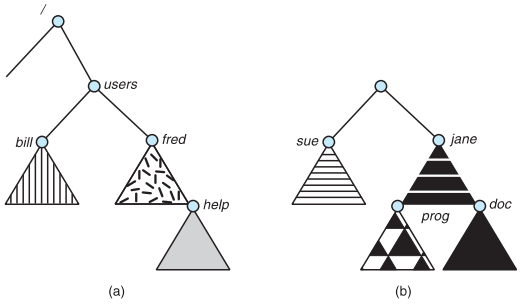

# General Graph Directory (Cont.)

- How do we guarantee no cycles?
  - Allow only links to file not subdirectories
  - **Garbage collection**
  - Every time a new link is added use a cycle detection algorithm to determine whether it is OK

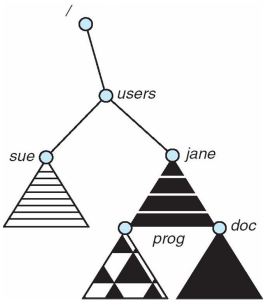


# File System Mounting

- A file system must be **mounted** before it can be accessed
- A unmounted file system (i.e., Fig. 11-11(b)) is mounted at a **mount point**



## Mount Point






## File Sharing

- Sharing of files on multi-user systems is desirable
- Sharing may be done through a **protection** scheme
- On distributed systems, files may be shared across a network
- Network File System (NFS) is a common distributed file-sharing method
- If multi-user system
  - **User IDs** identify users, allowing permissions and protections to be per-user
    **Group IDs** allow users to be in groups, permitting group access rights
  - Owner of a file / directory
  - Group of a file / directory



## File Sharing – Remote File Systems

- Uses networking to allow file system access between systems
  - Manually via programs like FTP
  - Automatically, seamlessly using **distributed file systems**
  - Semi automatically via the **world wide web**
- **Client-server** model allows clients to mount remote file systems from servers
  - Server can serve multiple clients
  - Client and user-on-client identification is insecure or complicated
  - **NFS** is standard UNIX client-server file sharing protocol
  - **CIFS** is standard Windows protocol
  - Standard operating system file calls are translated into remote calls
- Distributed Information Systems (**distributed naming services**) such as LDAP, DNS, NIS, Active Directory implement unified access to information needed for remote computing



## File Sharing – Failure Modes

- All file systems have failure modes
  - For example corruption of directory structures or other non-user data, called **metadata**
- Remote file systems add new failure modes, due to network failure, server failure
- Recovery from failure can involve **state information** about status of each remote request
- **Stateless** protocols such as NFS v3 include all information in each request, allowing easy recovery but less security



## File Sharing – Consistency Semantics

- Specify how multiple users are to access a shared file simultaneously
  - Similar to Ch 5 process synchronization algorithms
    - Tend to be less complex due to disk I/O and network latency (for remote file systems
  - Andrew File System (AFS) implemented complex remote file sharing semantics
  - Unix file system (UFS) implements:
    - Writes to an open file visible immediately to other users of the same open file
    - Sharing file pointer to allow multiple users to read and write concurrently
  - AFS has session semantics
    - Writes only visible to sessions starting after the file is closed



## Protection

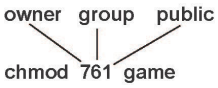
- File owner/creator should be able to control:
  - what can be done
  - by whom
- Types of access
  - **Read**
  - **Write**
  - **Execute**
  - **Append**
  - **Delete**
  - **List**

# Access Lists and Groups

- Mode of access: read, write, execute
- Three classes of users on Unix / Linux

| | | | RWX |
|---|---|---|---|
| a) **owner access** | 7 | ⇒ | 1 1 1 |
| b) **group access** | 6 | ⇒ | RWX 1 1 0 |
| c) **public access** | 1 | ⇒ | RWX 0 0 1 |

- Ask manager to create a group (unique name), say G, and add some users to the group.
- For a particular file (say *game*) or subdirectory, define an appropriate access.

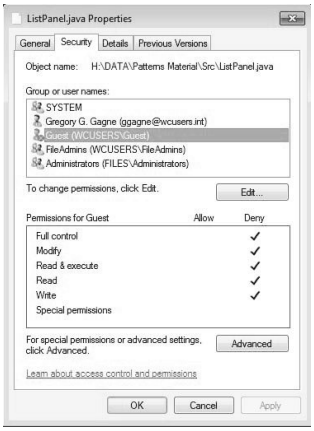



Attach a group to a file

```
chgrp    G    game
```



# Windows 7 Access-Control List Management






# A Sample UNIX Directory Listing

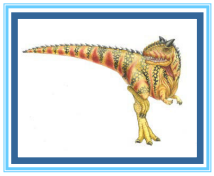
| | | | | | |
|---|---|---|---|---|---|
| -rw-rw-r-- | 1 pbg | staff | 31200 | Sep 3 08:30 | intro.ps |
| drwx------ | 5 pbg | staff | 512 | Jul 8 09.33 | private/ |
| drwxrwxr-x | 2 pbg | staff | 512 | Jul 8 09:35 | doc/ |
| drwxrwx--- | 2 pbg | student | 512 | Aug 3 14:13 | student-proj/ |
| -rw-r--r-- | 1 pbg | staff | 9423 | Feb 24 2003 | program.c |
| -rwxr-xr-x | 1 pbg | staff | 20471 | Feb 24 2003 | program |
| drwx--x--x | 4 pbg | faculty | 512 | Jul 31 10:31 | lib/ |
| drwx------ | 3 pbg | staff | 1024 | Aug 29 06:52 | mail/ |
| drwxrwxrwx | 3 pbg | staff | 512 | Jul 8 09:35 | test/ |



# End of Chapter 11



# Chapter 12: File System Implementation





# Chapter 12: File System Implementation

- File-System Structure
- File-System Implementation
- Directory Implementation
- Allocation Methods
- Free-Space Management
- Efficiency and Performance
- Recovery
- NFS
- Example: WAFL File System

# Objectives

- To describe the details of implementing local file systems and directory structures
- To describe the implementation of remote file systems
- To discuss block allocation and free-block algorithms and trade-offs

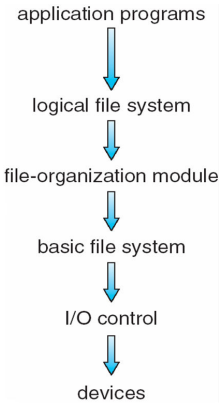


# File-System Structure

- File structure
  - Logical storage unit
  - Collection of related information
- **File system** resides on secondary storage (disks)
  - Provided user interface to storage, mapping logical to physical
  - Provides efficient and convenient access to disk by allowing data to be stored, located retrieved easily
- Disk provides in-place rewrite and random access
  - I/O transfers performed in **blocks** of **sectors** (usually 512 bytes)
- **File control block** – storage structure consisting of information about a file
- **Device driver** controls the physical device
- File system organized into layers



# Layered File System






# File System Layers

- **Device drivers** manage I/O devices at the I/O control layer
  - Given commands like "read drive1, cylinder 72, track 2, sector 10, into memory location 1060" outputs low-level hardware specific commands to hardware controller
- **Basic file system** given command like "retrieve block 123" translates to device driver
- Also manages memory buffers and caches (allocation, freeing, replacement)
  - Buffers hold data in transit
  - Caches hold frequently used data
- **File organization module** understands files, logical address, and physical blocks
- Translates logical block # to physical block #
- Manages free space, disk allocation



# File System Layers (Cont.)

- **Logical file system** manages metadata information
  - Translates file name into file number, file handle, location by maintaining file control blocks (**inodes** in UNIX)
  - Directory management
  - Protection
- Layering useful for reducing complexity and redundancy, but adds overhead and can decrease performanceTranslates file name into file number, file handle, location by maintaining file control blocks (**inodes** in UNIX)
  - Logical layers can be implemented by any coding method according to OS designer



# File System Layers (Cont.)

- Many file systems, sometimes many within an operating system
  - Each with its own format (CD-ROM is ISO 9660; Unix has **UFS**, FFS; Windows has FAT, FAT32, NTFS as well as floppy, CD, DVD Blu-ray, Linux has more than 40 types, with **extended file system** ext2 and ext3 leading; plus distributed file systems, etc.)
  - New ones still arriving – ZFS, GoogleFS, Oracle ASM, FUSE

# File-System Implementation

- We have system calls at the API level, but how do we implement their functions?
  - On-disk and in-memory structures
- **Boot control block** contains info needed by system to boot OS from that volume
  - Needed if volume contains OS, usually first block of volume
- **Volume control block** (**superblock, master file table**) contains volume details
  - Total # of blocks, # of free blocks, block size, free block pointers or array
- Directory structure organizes the files
  - Names and inode numbers, master file table



# File-System Implementation (Cont.)

- Per-file **File Control Block** (**FCB**) contains many details about the file
  - inode number, permissions, size, dates
  - NFTS stores into in master file table using relational DB structures

| file permissions |
|---|
| file dates (create, access, write) |
| file owner, group, ACL |
| file size |
| file data blocks or pointers to file data blocks |

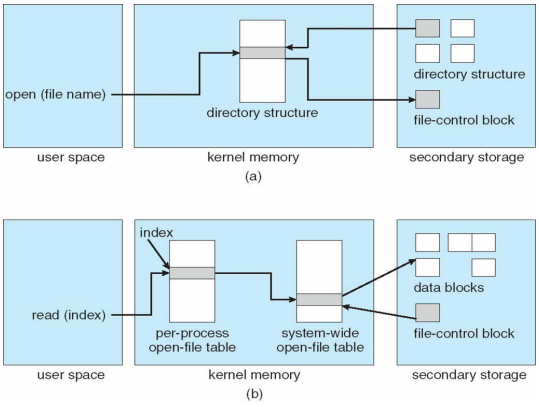


# In-Memory File System Structures

- Mount table storing file system mounts, mount points, file system types
- The following figure illustrates the necessary file system structures provided by the operating systems
- Figure 12-3(a) refers to opening a file
- Figure 12-3(b) refers to reading a file
- Plus buffers hold data blocks from secondary storage
- Open returns a file handle for subsequent use
- Data from read eventually copied to specified user process memory address



# In-Memory File System Structures






# Partitions and Mounting

- Partition can be a volume containing a file system ("cooked") or **raw** – just a sequence of blocks with no file system
- Boot block can point to boot volume or boot loader set of blocks that contain enough code to know how to load the kernel from the file system
  - Or a boot management program for multi-os booting
- **Root partition** contains the OS, other partitions can hold other Oses, other file systems, or be raw
  - Mounted at boot time
  - Other partitions can mount automatically or manually
- At mount time, file system consistency checked
  - Is all metadata correct?
    - If not, fix it, try again
    - If yes, add to mount table, allow access

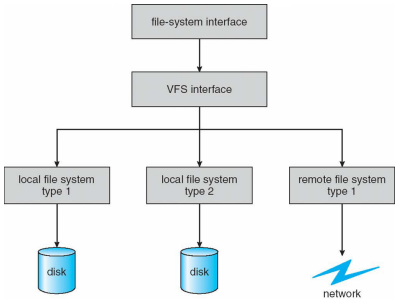


# Virtual File Systems

- **Virtual File Systems** (**VFS**) on Unix provide an object-oriented way of implementing file systems
- VFS allows the same system call interface (the API) to be used for different types of file systems
  - Separates file-system generic operations from implementation details
  - Implementation can be one of many file systems types, or network file system
    - Implements **vnodes** which hold inodes or network file details
  - Then dispatches operation to appropriate file system implementation routines

# Virtual File Systems (Cont.)

- The API is to the VFS interface, rather than any specific type of file system






# Virtual File System Implementation

- For example, Linux has four object types:
  - inode, file, superblock, dentry
- VFS defines set of operations on the objects that must be implemented
  - Every object has a pointer to a function table
    - Function table has addresses of routines to implement that function on that object
    - For example:
    - `int open(. . .)`—Open a file
    - `int close(. . .)`—Close an already-open file
    - `ssize t read(. . .)`—Read from a file
    - `ssize t write(. . .)`—Write to a file
    - `int mmap(. . .)`—Memory-map a file



# Directory Implementation

- **Linear list** of file names with pointer to the data blocks
  - Simple to program
  - Time-consuming to execute
    - Linear search time
    - Could keep ordered alphabetically via linked list or use B+ tree
- **Hash Table** – linear list with hash data structure
  - Decreases directory search time
  - **Collisions** – situations where two file names hash to the same location
  - Only good if entries are fixed size, or use chained-overflow method



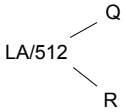
# Allocation Methods - Contiguous

- An allocation method refers to how disk blocks are allocated for files:
- **Contiguous allocation** – each file occupies set of contiguous blocks
  - Best performance in most cases
  - Simple – only starting location (block #) and length (number of blocks) are required
  - Problems include finding space for file, knowing file size, external fragmentation, need for **compaction off-line** (**downtime**) or **on-line**

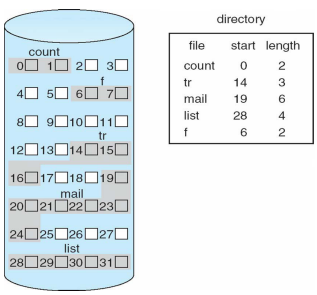


# Contiguous Allocation

- Mapping from logical to physical




Block to be accessed = Q + starting address
Displacement into block = R




directory

| file | start | length |
|---|---|---|
| count | 0 | 2 |
| tr | 14 | 3 |
| mail | 19 | 6 |
| list | 28 | 4 |
| f | 6 | 2 |



# Extent-Based Systems

- Many newer file systems (i.e., Veritas File System) use a modified contiguous allocation scheme
- Extent-based file systems allocate disk blocks in extents
- An **extent** is a contiguous block of disks
  - Extents are allocated for file allocation
  - A file consists of one or more extents

# Allocation Methods - Linked

- **Linked allocation** – each file a linked list of blocks
  - File ends at nil pointer
  - No external fragmentation
  - Each block contains pointer to next block
  - No compaction, external fragmentation
  - Free space management system called when new block needed
  - Improve efficiency by clustering blocks into groups but increases internal fragmentation
  - Reliability can be a problem
  - Locating a block can take many I/Os and disk seeks



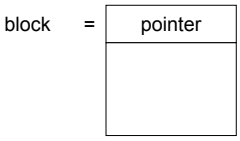
# Allocation Methods – Linked (Cont.)

- FAT (File Allocation Table) variation
  - Beginning of volume has table, indexed by block number
  - Much like a linked list, but faster on disk and cacheable
  - New block allocation simple

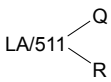


# Linked Allocation

- Each file is a linked list of disk blocks: blocks may be scattered anywhere on the disk




- Mapping

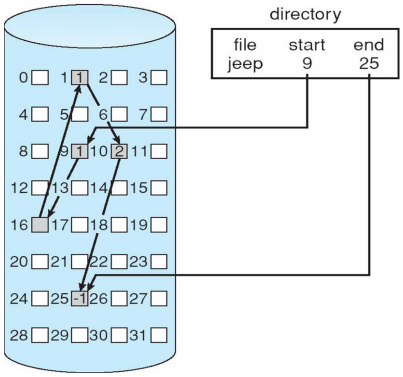



Block to be accessed is the Qth block in the linked chain of blocks representing the file.

Displacement into block = R + 1

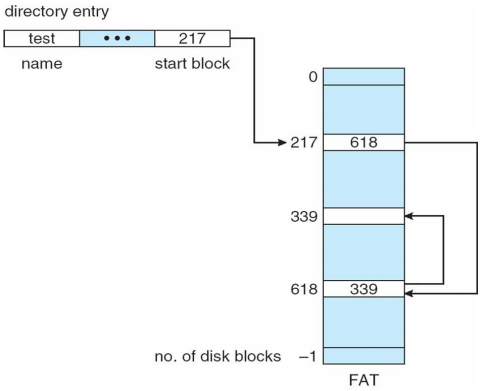


# Linked Allocation





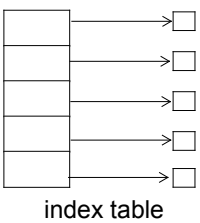

# File-Allocation Table



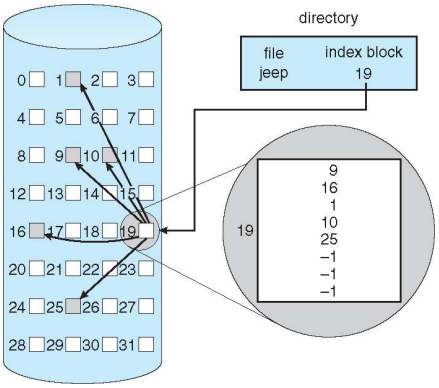



# Allocation Methods - Indexed

- **Indexed allocation**
  - Each file has its own **index block**(s) of pointers to its data blocks
- Logical view




# Example of Indexed Allocation






# Indexed Allocation (Cont.)

- Need index table
- Random access
- Dynamic access without external fragmentation, but have overhead of index block
- Mapping from logical to physical in a file of maximum size of 256K bytes and block size of 512 bytes. We need only 1 block for index table

LA/512 → Q, R

Q = displacement into index table
R = displacement into block



# Indexed Allocation – Mapping (Cont.)

- Mapping from logical to physical in a file of unbounded length (block size of 512 words)
- Linked scheme – Link blocks of index table (no limit on size)

LA / (512 x 511) → $Q_1$, $R_1$

$Q_1$ = block of index table
$R_1$ is used as follows:

$R_1$ / 512 → $Q_2$, $R_2$

$Q_2$ = displacement into block of index table
$R_2$ displacement into block of file:



# Indexed Allocation – Mapping (Cont.)

- Two-level index (4K blocks could store 1,024 four-byte pointers in outer index -> 1,048,567 data blocks and file size of up to 4GB)

LA / (512 x 512) → $Q_1$, $R_1$

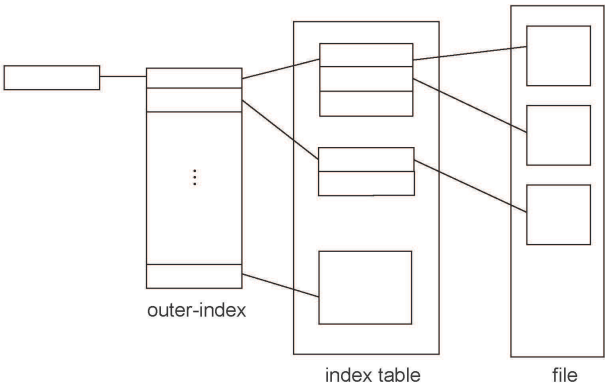
$Q_1$ = displacement into outer-index
$R_1$ is used as follows:

$R_1$ / 512 → $Q_2$, $R_2$

$Q_2$ = displacement into block of index table
$R_2$ displacement into block of file:



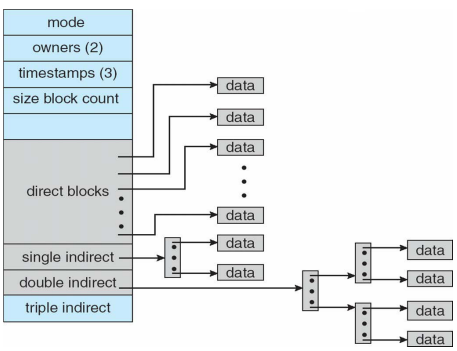
# Indexed Allocation – Mapping (Cont.)






# Combined Scheme: UNIX UFS

4K bytes per block, 32-bit addresses




More index blocks than can be addressed with 32-bit file pointer

# Performance

- Best method depends on file access type
  - Contiguous great for sequential and random
- Linked good for sequential, not random
- Declare access type at creation -> select either contiguous or linked
- Indexed more complex
  - Single block access could require 2 index block reads then data block read
  - Clustering can help improve throughput, reduce CPU overhead



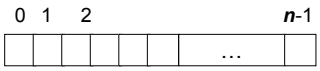
# Performance (Cont.)

- Adding instructions to the execution path to save one disk I/O is reasonable
  - Intel Core i7 Extreme Edition 990x (2011) at 3.46Ghz = 159,000 MIPS
    - http://en.wikipedia.org/wiki/Instructions_per_second
  - Typical disk drive at 250 I/Os per second
    - 159,000 MIPS / 250 = 630 million instructions during one disk I/O
  - Fast SSD drives provide 60,000 IOPS
    - 159,000 MIPS / 60,000 = 2.65 millions instructions during one disk I/O



# Free-Space Management

- File system maintains **free-space list** to track available blocks/clusters
  - (Using term "block" for simplicity)
- **Bit vector** or **bit map** (***n*** blocks)




$$bit[i] = \begin{cases} 1 \Rightarrow block[i] \text{ free} \\ 0 \Rightarrow block[i] \text{ occupied} \end{cases}$$

Block number calculation

(number of bits per word) *
(number of 0-value words) +
offset of first 1 bit

CPUs have instructions to return offset within word of first "1" bit



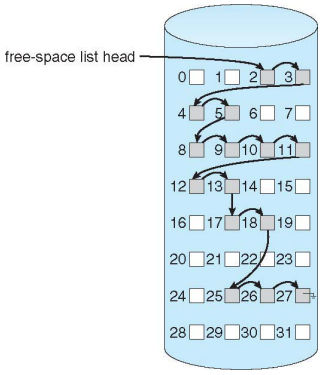
# Free-Space Management (Cont.)

- Bit map requires extra space
  - Example:
    block size = 4KB = $2^{12}$ bytes
    disk size = $2^{40}$ bytes (1 terabyte)
    $n = 2^{40}/2^{12} = 2^{28}$ bits (or 32MB)
    if clusters of 4 blocks -> 8MB of memory
- Easy to get contiguous files



# Linked Free Space List on Disk

- Linked list (free list)
  - Cannot get contiguous space easily
  - No waste of space
  - No need to traverse the entire list (if # free blocks recorded)






# Free-Space Management (Cont.)

- Grouping
  - Modify linked list to store address of next *n-1* free blocks in first free block, plus a pointer to next block that contains free-block-pointers (like this one)
- Counting
  - Because space is frequently contiguously used and freed, with contiguous-allocation allocation, extents, or clustering
    - Keep address of first free block and count of following free blocks
    - Free space list then has entries containing addresses and counts

# Free-Space Management (Cont.)

- Space Maps
  - Used in **ZFS**
  - Consider meta-data I/O on very large file systems
    - Full data structures like bit maps couldn't fit in memory -> thousands of I/Os
  - Divides device space into **metaslab** units and manages metaslabs
    - Given volume can contain hundreds of metaslabs
  - Each metaslab has associated space map
    - Uses counting algorithm
  - But records to log file rather than file system
    - Log of all block activity, in time order, in counting format
  - Metaslab activity -> load space map into memory in balanced-tree structure, indexed by offset
    - Replay log into that structure
    - Combine contiguous free blocks into single entry



# Efficiency and Performance

- Efficiency dependent on:
  - Disk allocation and directory algorithms
  - Types of data kept in file's directory entry
  - Pre-allocation or as-needed allocation of metadata structures
  - Fixed-size or varying-size data structures



# Efficiency and Performance (Cont.)

- Performance
  - Keeping data and metadata close together
  - **Buffer cache** – separate section of main memory for frequently used blocks
  - **Synchronous** writes sometimes requested by apps or needed by OS
    - No buffering / caching – writes must hit disk before acknowledgement
    - **Asynchronous** writes more common, buffer-able, faster
  - **Free-behind** and **read-ahead** – techniques to optimize sequential access
  - Reads frequently slower than writes

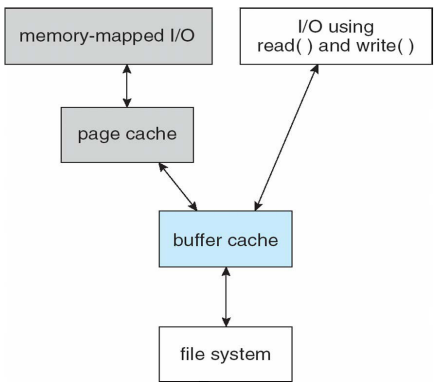


# Page Cache

- A **page cache** caches pages rather than disk blocks using virtual memory techniques and addresses
- Memory-mapped I/O uses a page cache
- Routine I/O through the file system uses the buffer (disk) cache
- This leads to the following figure



# I/O Without a Unified Buffer Cache

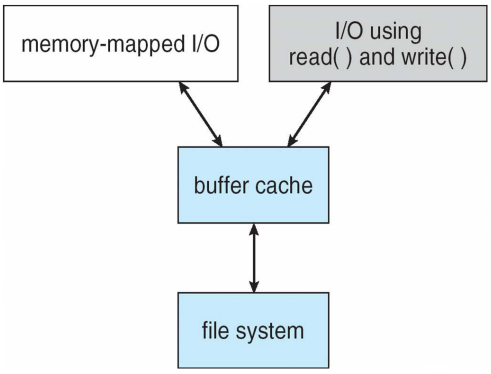





# Unified Buffer Cache

- A **unified buffer cache** uses the same page cache to cache both memory-mapped pages and ordinary file system I/O to avoid **double caching**
- But which caches get priority, and what replacement algorithms to use?

## I/O Using a Unified Buffer Cache






## Recovery

- **Consistency checking** – compares data in directory structure with data blocks on disk, and tries to fix inconsistencies
  - Can be slow and sometimes fails
- Use system programs to **back up** data from disk to another storage device (magnetic tape, other magnetic disk, optical)
- Recover lost file or disk by **restoring** data from backup



## Log Structured File Systems

- **Log structured** (or **journaling**) file systems record each metadata update to the file system as a **transaction**
- All transactions are written to a log
  - A transaction is considered committed once it is written to the log (sequentially)
  - Sometimes to a separate device or section of disk
  - However, the file system may not yet be updated
- The transactions in the log are asynchronously written to the file system structures
  - When the file system structures are modified, the transaction is removed from the log
- If the file system crashes, all remaining transactions in the log must still be performed
- Faster recovery from crash, removes chance of inconsistency of metadata



## The Sun Network File System (NFS)

- An implementation and a specification of a software system for accessing remote files across LANs (or WANs)
- The implementation is part of the Solaris and SunOS operating systems running on Sun workstations using an unreliable datagram protocol (UDP/IP protocol and Ethernet



## NFS (Cont.)

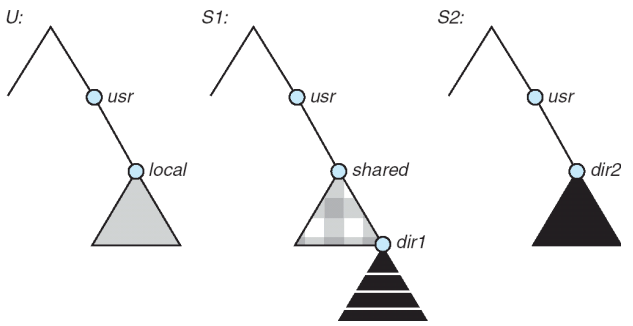
- Interconnected workstations viewed as a set of independent machines with independent file systems, which allows sharing among these file systems in a transparent manner
  - A remote directory is mounted over a local file system directory
    - The mounted directory looks like an integral subtree of the local file system, replacing the subtree descending from the local directory
  - Specification of the remote directory for the mount operation is nontransparent; the host name of the remote directory has to be provided
    - Files in the remote directory can then be accessed in a transparent manner
  - Subject to access-rights accreditation, potentially any file system (or directory within a file system), can be mounted remotely on top of any local directory



## NFS (Cont.)

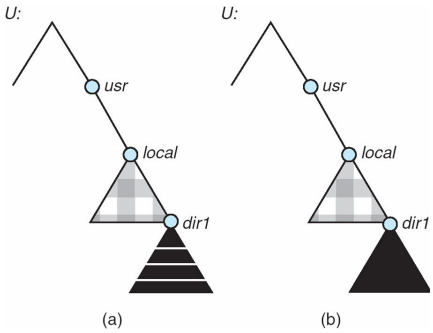
- NFS is designed to operate in a heterogeneous environment of different machines, operating systems, and network architectures; the NFS specifications independent of these media
- This independence is achieved through the use of RPC primitives built on top of an External Data Representation (XDR) protocol used between two implementation-independent interfaces
- The NFS specification distinguishes between the services provided by a mount mechanism and the actual remote-file-access services

# Three Independent File Systems






# Mounting in NFS




Mounts Cascading mounts



# NFS Mount Protocol

- Establishes initial logical connection between server and client
- Mount operation includes name of remote directory to be mounted and name of server machine storing it
  - Mount request is mapped to corresponding RPC and forwarded to mount server running on server machine
  - Export list – specifies local file systems that server exports for mounting, along with names of machines that are permitted to mount them
- Following a mount request that conforms to its export list, the server returns a file handle—a key for further accesses
- File handle – a file-system identifier, and an inode number to identify the mounted directory within the exported file system
- The mount operation changes only the user's view and does not affect the server side



# NFS Protocol

- Provides a set of remote procedure calls for remote file operations. The procedures support the following operations:
  - searching for a file within a directory
  - reading a set of directory entries
  - manipulating links and directories
  - accessing file attributes
  - reading and writing files
- NFS servers are **stateless**; each request has to provide a full set of arguments (NFS V4 is just coming available – very different, stateful)
- Modified data must be committed to the server's disk before results are returned to the client (lose advantages of caching)
- The NFS protocol does not provide concurrency-control mechanisms

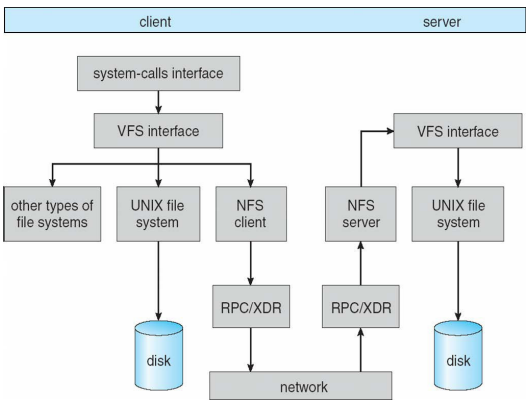


# Three Major Layers of NFS Architecture

- UNIX file-system interface (based on the **open, read, write**, and **close** calls, and **file descriptors**)
- Virtual File System (VFS) layer – distinguishes local files from remote ones, and local files are further distinguished according to their file-system types
  - The VFS activates file-system-specific operations to handle local requests according to their file-system types
  - Calls the NFS protocol procedures for remote requests
- NFS service layer – bottom layer of the architecture
  - Implements the NFS protocol



# Schematic View of NFS Architecture



## NFS Path-Name Translation

- Performed by breaking the path into component names and performing a separate NFS lookup call for every pair of component name and directory vnode
- To make lookup faster, a directory name lookup cache on the client's side holds the vnodes for remote directory names



## NFS Remote Operations

- Nearly one-to-one correspondence between regular UNIX system calls and the NFS protocol RPCs (except opening and closing files)
- NFS adheres to the remote-service paradigm, but employs buffering and caching techniques for the sake of performance
- File-blocks cache – when a file is opened, the kernel checks with the remote server whether to fetch or revalidate the cached attributes
  - Cached file blocks are used only if the corresponding cached attributes are up to date
- File-attribute cache – the attribute cache is updated whenever new attributes arrive from the server
- Clients do not free delayed-write blocks until the server confirms that the data have been written to disk

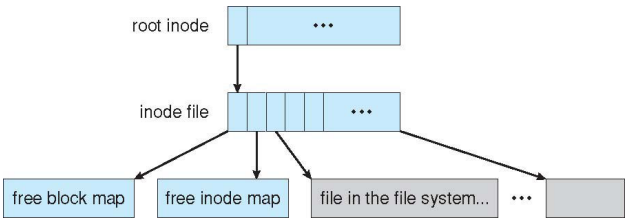


## Example: WAFL File System

- Used on Network Appliance "Filers" – distributed file system appliances
- "Write-anywhere file layout"
- Serves up NFS, CIFS, http, ftp
- Random I/O optimized, write optimized
  - NVRAM for write caching
- Similar to Berkeley Fast File System, with extensive modifications

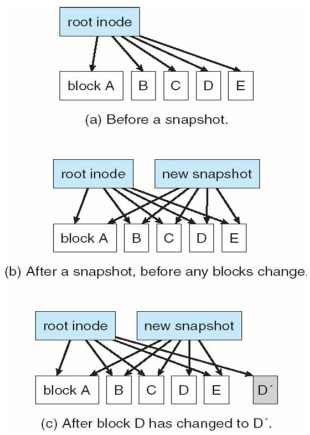


## The WAFL File Layout






## Snapshots in WAFL






# End of Chapter 12