CHAPTER 19

Network Layer: Logical Addressing

As we discussed in Chapter 2, communication at the network layer is host-to-host (computer-to-computer); a computer somewhere in the world needs to communicate with another computer somewhere else in the world. Usually, computers communicate through the Internet. The packet transmitted by the sending computer may pass through several LANs or WANs before reaching the destination computer.

For this level of communication, we need a global addressing scheme; we called this logical addressing in Chapter 2. Today, we use the term IP address to mean a logical address in the network layer of the TCP/IP protocol suite.

The Internet addresses are 32 bits in length; this gives us a maximum of 2^{32} addresses. These addresses are referred to as IPv4 (IP version 4) addresses or simply IP addresses if there is no confusion.

The need for more addresses, in addition to other concerns about the IP layer, motivated a new design of the IP layer called the new generation of IP or IPv6 (lP version 6). In this version, the Internet uses 128-bit addresses that give much greater flexibility in address allocation. These addresses are referred to as IPv6 (IP version 6) addresses.

In this chapter, we first discuss IPv4 addresses, which are currently being used in the Internet. We then discuss the IPv6 addresses, which may become dominant in the future.

19.1 IPv4 ADDRESSES

An **IPv4** address is a 32-bit address that *uniquely* and *universally* defines the connection of a device (for example, a computer or a router) to the Internet.

An IPv4 address is 32 bits long.

IPv4 addresses are unique. They are unique in the sense that each address defines one, and only one, connection to the Internet. Two devices on the Internet can never have the same address at the same time. We will see later that, by using some strategies, an address may be assigned to a device for a time period and then taken away and assigned to another device.

On the other hand, if a device operating at the network layer has *m* connections to the Internet, it needs to have *m* addresses. We will see later that a router is such a device.

The IPv4 addresses are universal in the sense that the addressing system must be accepted by any host that wants to be connected to the Internet.

The IPv4 addresses are unique and universal.

Address Space

A protocol such as IPv4 that defines addresses has an address space. An address space is the total number of addresses used by the protocol. If a protocol uses *N* bits to define an address, the address space is 2^N because each bit can have two different values (0 or 1) and *N* bits can have 2^N values.

IPv4 uses 32-bit addresses, which means that the address space is 2^{32} or 4,294,967,296 (more than 4 billion). This means that, theoretically, if there were no restrictions, more than 4 billion devices could be connected to the Internet. We will see shortly that the actual number is much less because of the restrictions imposed on the addresses.

The address space of IPv4 is 2^{32} or 4,294,967,296.

Notations

There are two prevalent notations to show an IPv4 address: binary notation and dotted-decimal notation.

Binary Notation

In binary notation, the IPv4 address is displayed as 32 bits. Each octet is often referred to as a byte. So it is common to hear an IPv4 address referred to as a 32-bit address or a 4-byte address. The following is an example of an IPv4 address in binary notation:

01110101 10010101 00011101 00000010

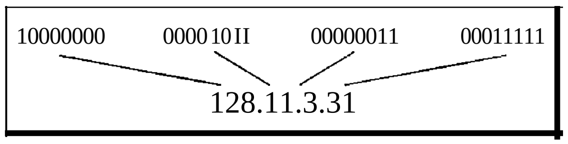
Dotted-Decimal Notation

To make the IPv4 address more compact and easier to read, Internet addresses are usually written in decimal form with a decimal point (dot) separating the bytes. The following is the **dotted-decimal** notation of the above address:

117.149.29.2

Figure 19.1 shows an IPv4 address in both binary and dotted-decimal notation. Note that because each byte (octet) is 8 bits, each number in dotted-decimal notation is a value ranging from 0 to 255.

Figure 19.1 *Dotted-decimal notation and binary notation for an IPv4 address*



Numbering systems are reviewed **in** Appendix B.

Example 19.1

Change the following IPv4 addresses from binary notation to dotted-decimal notation.

a. 10000001 00001011 00001011 11101111

b. 11000001 10000011 00011011 11111111

Solution

We replace each group of 8 bits with its equivalent decimal number (see Appendix B) and add dots for separation.

a. 129.11.11.239

b. 193.131.27.255

Example 19.2

Change the following IPv4 addresses from dotted-decimal notation to binary notation.

a. 111.56.45.78

b. 221.34.7.82

Solution

We replace each decimal number with its binary equivalent (see Appendix B).

a.• 01101111 00111000 00101101 01001110

b. 11011101 00100010 00000111 01010010

Example 19.3

Find the error, if any, in the following IPv4 addresses.

a. 111.56.045.78

b. 221.34.7.8.20

c. 75.45.301.14

d. 11100010.23.14.67

Solution

a. There must be no leading zero (045).

b. There can be no more than four numbers in an IPv4 address.

c. Each number needs to be less than or equal to 255 (301 is outside this range).

d. A mixture of binary notation and dotted-decimal notation is not allowed.

Classful Addressing

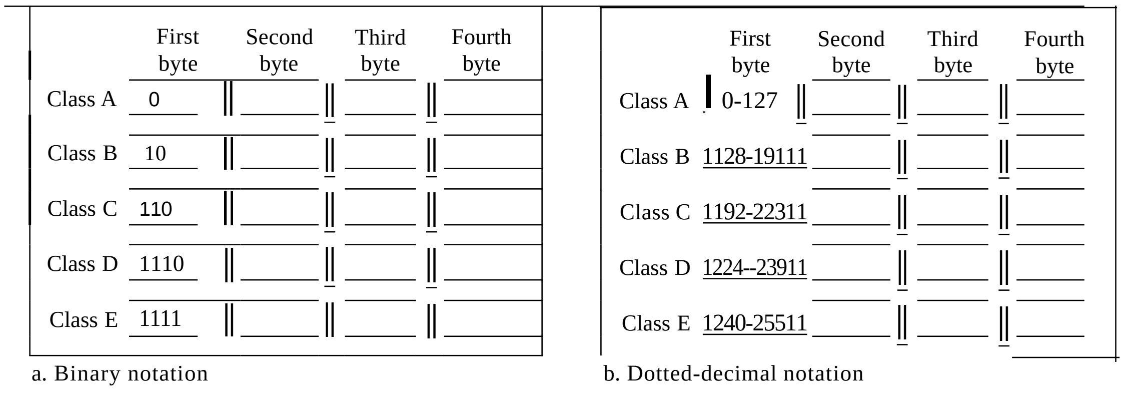
IPv4 addressing, at its inception, used the concept of classes. This architecture is called classful addressing. Although this scheme is becoming obsolete, we briefly discuss it here to show the rationale behind classless addressing.

In classful addressing, the address space is divided into five classes: A, B, C, D, and E. Each class occupies some part of the address space.

In classful addressing, the address space is divided into five classes: A, B, C, D, and E.

We can find the class of an address when given the address in binary notation or dotted-decimal notation. If the address is given in binary notation, the first few bits can immediately tell us the class of the address. If the address is given in decimal-dotted notation, the first byte defines the class. Both methods are shown in Figure 19.2.

Figure 19.2 *Finding the classes in binary and dotted-decimal notation*



Example 19.4

Find the class of each address.

a. 00000001 00001011 00001011 11101111
b. 11000001 10000011 00011011 11111111
c. 14.23.120.8
d. 252.5.15.111

Solution

a. The first bit is 0. This is a class A address.
b. The first 2 bits are 1; the third bit is 0. This is a class C address.
c. The first byte is 14 (between 0 and 127); the class is A.
d. The first byte is 252 (between 240 and 255); the class is E.

Classes and Blocks

One problem with classful addressing is that each class is divided into a fixed number of blocks with each block having a fixed size as shown in Table 19.1.

Table 19.1 *Number ofblocks and block size in classfulIPv4 addressing*

Class	*Number ofBlocks*	*Block Size*	*Application*
A	128	16,777,216	Unicast
B	16,384	65,536	Unicast
C	2,097,152	256	Unicast
D	1	268,435,456	Multicast
E	1	268,435,456	Reserved

Let us examine the table. Previously, when an organization requested a block of addresses, it was granted one in class A, B, or C. Class A addresses were designed for large organizations with a large number of attached hosts or routers. Class B addresses were designed for midsize organizations with tens of thousands of attached hosts or routers. Class C addresses were designed for small organizations with a small number of attached hosts or routers.

We can see the flaw in this design. A block in class A address is too large for almost any organization. This means most of the addresses in class A were wasted and were not used. A block in class B is also very large, probably too large for many of the organizations that received a class B block. A block in class C is probably too small for many organizations. Class D addresses were designed for multicasting as we will see in a later chapter. Each address in this class is used to define one group of hosts on the Internet. The Internet authorities wrongly predicted a need for 268,435,456 groups. This never happened and many addresses were wasted here too. And lastly, the class E addresses were reserved for future use; only a few were used, resulting in another waste of addresses.

In c1assfnl addressing, a large part of the available addresses were wasted.

Netid and Hostid

In classful addressing, an IP address in class A, B, or C is divided into netid and hostid. These parts are of varying lengths, depending on the class of the address. Figure 19.2 shows some netid and hostid bytes. The netid is in color, the hostid is in white. Note that the concept does not apply to classes D and E.

In class A, one byte defines the netid and three bytes define the hostid. In class B, two bytes define the netid and two bytes define the hostid. In class C, three bytes define the netid and one byte defines the hostid.

Mask

Although the length of the netid and hostid (in bits) is predetermined in classful addressing, we can also use a mask (also called the default mask), a 32-bit number made of contiguous Is followed by contiguous as. The masks for classes A, B, and C are shown in Table 19.2. The concept does not apply to classes D and E.

Table 19.2 *Default masks for classful addressing*

Class	*Binary*	*Dotted-Decimal*	*CIDR*
A	11111111 00000000 00000000 00000000	255.0.0.0	18
B	11111111 11111111 00000000 00000000	255.255.0.0	116
C	11111111 11111111 11111111 00000000	255.255.255.0	124

The mask can help us to find the netid and the hostid. For example, the mask for a class A address has eight 1s, which means the first 8 bits of any address in class A define the netid; the next 24 bits define the hostid.

The last column of Table 19.2 shows the mask in the form *In* where *n* can be 8, 16, or 24 in classful addressing. This notation is also called slash notation or Classless Interdomain Routing (CIDR) notation. The notation is used in classless addressing, which we will discuss later. We introduce it here because it can also be applied to classful addressing. We will show later that classful addressing is a special case of classless addressing.

Subnetting

During the era of classful addressing, subnetting was introduced. If an organization was granted a large block in class A or B, it could divide the addresses into several contiguous groups and assign each group to smaller networks (called subnets) or, in rare cases, share part of the addresses with neighbors. Subnetting increases the number of Is in the mask, as we will see later when we discuss classless addressing.

Supernetting

The time came when most of the class A and class B addresses were depleted; however, there was still a huge demand for midsize blocks. The size of a class C block with a maximum number of 256 addresses did not satisfy the needs of most organizations. Even a midsize organization needed more addresses. One solution was supernetting. In supernetting, an organization can combine several class C blocks to create a larger range of addresses. In other words, several networks are combined to create a supernetwork or a supemet. An organization can apply for a set of class C blocks instead of just one. For example, an organization that needs 1000 addresses can be granted four contiguous class C blocks. The organization can then use these addresses to create one supernetwork. Supernetting decreases the number of Is in the mask. For example, if an organization is given four class C addresses, the mask changes from /24 to /22. We will see that classless addressing eliminated the need for supernetting.

Address Depletion

The flaws in classful addressing scheme combined with the fast growth of the Internet led to the near depletion of the available addresses. Yet the number of devices on the Internet is much less than the 2^{32} address space. We have run out of class A and B addresses, and a class C block is too small for most midsize organizations. One solution that has alleviated the problem is the idea of classless addressing.

Classful addressing, which is almost obsolete, is replaced with classless addressing.

Classless Addressing

To overcome address depletion and give more organizations access to the Internet, classless addressing was designed and implemented. In this scheme, there are no classes, but the addresses are still granted in blocks.

Address Blocks

In classless addressing, when an entity, small or large, needs to be connected to the Internet, it is granted a block (range) of addresses. The size of the block (the number of addresses) varies based on the nature and size of the entity. For example, a household may be given only two addresses; a large organization may be given thousands of addresses. An ISP, as the Internet service provider, may be given thousands or hundreds of thousands based on the number of customers it may serve.

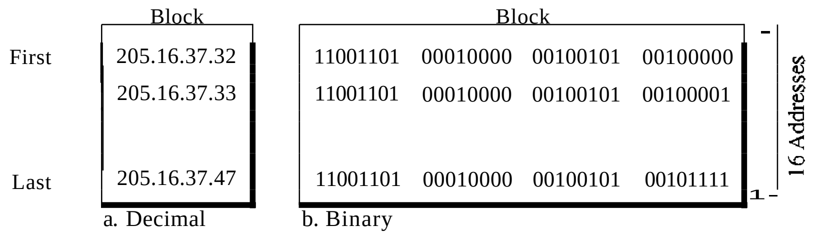
Restriction To simplify the handling of addresses, the Internet authorities impose three restrictions on classless address blocks:

1. The addresses in a block must be contiguous, one after another.
2. The number of addresses in a block must be a power of 2 (I, 2, 4, 8, ...).
3. The first address must be evenly divisible by the number of addresses.

Example 19.5

Figure 19.3 shows a block of addresses, in both binary and dotted-decimal notation, granted to a small business that needs 16 addresses.

Figure 19.3 *A block of 16 addresses granted to a small organization*



We can see that the restrictions are applied to this block. The addresses are contiguous. The number of addresses is a power of 2 ($16 = 2^4$), and the first address is divisible by 16. The first address, when converted to a decimal number, is 3,440,387,360, which when divided by 16 results in 215,024,210. In Appendix B, we show how to find the decimal value of an IP address.

Mask

A better way to define a block of addresses is to select any address in the block and the mask. As we discussed before, a mask is a 32-bit number in which the *n* leftmost bits are Is and the 32 - *n* rightmost bits are Os. However, in classless addressing the mask for a block can take any value from 0 to 32. It is very convenient to give just the value of *n* preceded by a slash (CIDR notation).

In 1Pv4 addressing, a block of addresses can be defined as
x.y.z.tln
in which x.y.z.t defines one of the addresses and the *In* defines the mask.

The address and the *In* notation completely define the whole block (the first address, the last address, and the number of addresses).

First Address The first address in the block can be found by setting the 32 - *n* rightmost bits in the binary notation of the address to Os.

The first address in the block can be found by setting the rightmost 32 - *n* bits to Os.

Example 19.6

A block of addresses is granted to a small organization. We know that one of the addresses is 205.16.37.39/28. What is the first address in the block?

Solution

The binary representation of the given address is 11001101 00010000 00100101 00100I11. If we set 32 - 28 rightmost bits to 0, we get 11001101 000100000100101 0010000 or 205.16.37.32. This is actually the block shown in Figure 19.3.

Last Address The last address in the block can be found by setting the 32 - *n* rightmost bits in the binary notation of the address to Is.

The last address in the block can be found by setting the rightmost 32 - *n* bits to Is.

Example 19.7

Find the last address for the block in Example 19.6.

Solution

The binary representation of the given address is 11001101 000100000010010100100111. If we set 32 - 28 rightmost bits to 1, we get 11001101 00010000 001001010010 1111 or 205.16.37.47. This is actually the block shown in Figure 19.3.

Number of Addresses The number of addresses in the block is the difference between the last and first address. It can easily be found using the formula 2^{32-n}.

The number of addresses in the block can be found by using the formula 2^{32-n}•

Example 19.8

Find the number of addresses in Example 19.6.

Solution

The value of *n* is 28, which means that number of addresses is 2^{32-28} or 16.

Example 19.9

Another way to find the first address, the last address, and the number of addresses is to represent the mask as a 32-bit binary (or 8-digit hexadecimal) number. This is particularly useful when we are writing a program to find these pieces of information. In Example 19.5 the /28 can be represented as 11111111 11111111 11111111 11110000 (twenty-eight Is and four Os). Find

a. The first address
h. The last address
c. The number of addresses

Solution

a. The first address can be found by ANDing the given addresses with the mask. ANDing here is done bit by bit. The result of ANDing 2 bits is 1 if both bits are Is; the result is 0 otherwise.

Address:	11001101 00010000 00100101 00100111
Mask:	11111111 11111111 11111111 11110000
First address:	11001101 00010000 00100101 00100000

b. The last address can be found by ORing the given addresses with the complement of the mask. ORing here is done bit by bit. The result of ORing 2 bits is 0 if both bits are Os; the result is 1 otherwise. The complement of a number is found by changing each 1 to 0 and each 0 to 1.

Address:	11001101 00010000 00100101 00100111
Mask complement:	00000000 00000000 00000000 00001111
Last address:	11001101 00010000 *00100101 00101111*

c. The number of addresses can be found by complementing the mask, interpreting it as a decimal number, and adding 1 to it.

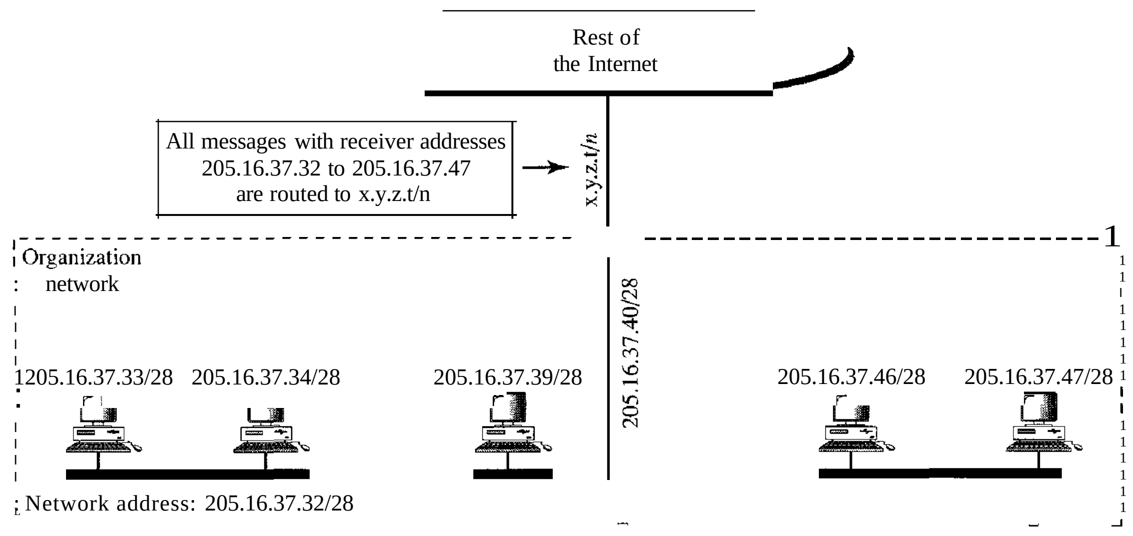
Mask complement:	000000000 00000000 00000000 00001111
Number of addresses:	15 + 1 = 16

Network Addresses

A very important concept in IP addressing is the network address. When an organization is given a block of addresses, the organization is free to allocate the addresses to the devices that need to be connected to the Internet. The first address in the class, however, is normally (not always) treated as a special address. The first address is called the network address and defines the organization network. It defines the organization itself to the rest of the world. In a later chapter we will see that the first address is the one that is used by routers to direct the message sent to the organization from the outside.

Figure 19.4 shows an organization that is granted a 16-address block.

Figure 19.4 *A network configuration for the block 205.16.37.32/28*



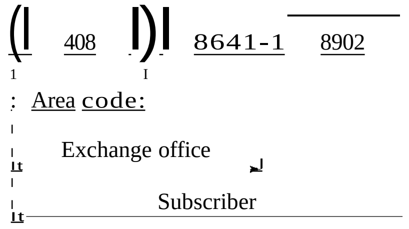
The organization network is connected to the Internet via a router. The router has two addresses. One belongs to the granted block; the other belongs to the network that is at the other side of the router. We call the second address *x.y.z.t/n* because we do not know anything about the network it is connected to at the other side. All messages destined for addresses in the organization block (205.16.37.32 to 205.16.37.47) are sent, directly or indirectly, to *x.y.z.t/n.* We say directly or indirectly because we do not know the structure of the network to which the other side of the router is connected.

The first address in a block is normally not assigned to any device; it is used as the network address that represents the organization to the rest of the world.

Hierarchy

IP addresses, like other addresses or identifiers we encounter these days, have levels of hierarchy. For example, a telephone network in North America has three levels of hierarchy. The leftmost three digits define the area code, the next three digits define the exchange, the last four digits define the connection of the local loop to the central office. Figure 19.5 shows the structure of a hierarchical telephone number.

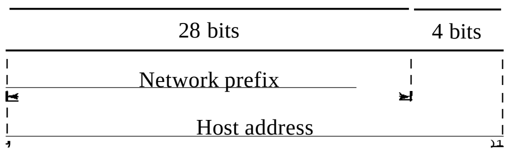
Figure 19.5 *Hierarchy in a telephone network in North America*



Two-Level Hierarchy: No Subnetting

An IP address can define only two levels of hierarchy when not subnetted. The *n* leftmost bits of the address *x.y.z.tJn* define the network (organization network); the 32 - *n* rightmost bits define the particular host (computer or router) to the network. The two common terms are prefix and suffix. The part of the address that defines the network is called the prefix; the part that defines the host is called the suffix. Figure 19.6 shows the hierarchical structure of an IPv4 address.

Figure 19.6 *Two levels ofhierarchy in an IPv4 address*



The prefix is common to all addresses in the network; the suffix changes from one device to another.

Each address in the block can be considered as a two-level hierarchical structure:
the leftmost *n* bits (prefix) define the network;
the rightmost 32 - *n* bits define the host.

Three-Levels ofHierarchy: Subnetting

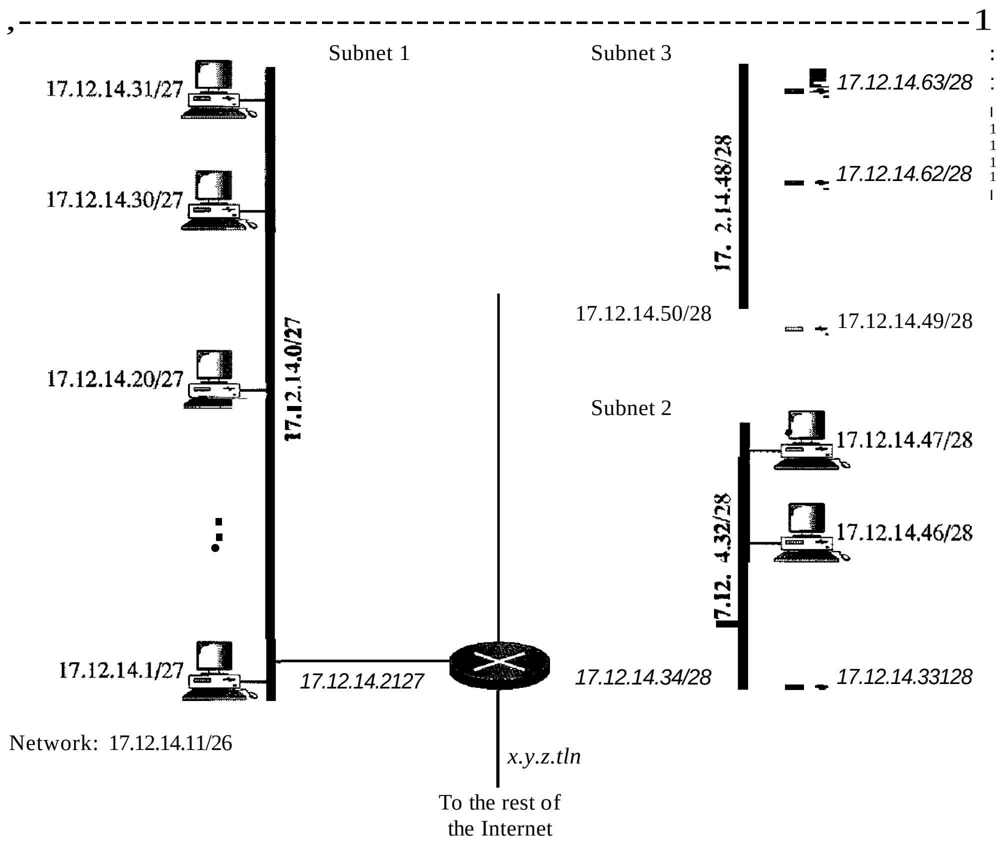
An organization that is granted a large block of addresses may want to create clusters of networks (called subnets) and divide the addresses between the different subnets. The rest of the world still sees the organization as one entity; however, internally there are several subnets. All messages are sent to the router address that connects the organization to the rest of the Internet; the router routes the message to the appropriate subnets. The organization, however, needs to create small subblocks of addresses, each assigned to specific subnets. The organization has its own mask; each subnet must also have its own.

As an example, suppose an organization is given the block 17.12.40.0/26, which contains 64 addresses. The organization has three offices and needs to divide the addresses into three subblocks of 32, 16, and 16 addresses. We can find the new masks by using the following arguments:

1. Suppose the mask for the first subnet is n1, then 2^{32-n1} must be 32, which means that n1 =27.
2. Suppose the mask for the second subnet is n2, then 2^{32-n2} must be 16, which means that n2 = 28.
3. Suppose the mask for the third subnet is n3, then 2^{32-n3} must be 16, which means that n3 =28.

This means that we have the masks 27, 28, 28 with the organization mask being 26. Figure 19.7 shows one configuration for the above scenario.

Figure 19.7 *Configuration and addresses in a subnetted network*



Let us check to see if we can find the subnet addresses from one of the addresses in the subnet.

a. In subnet 1, the address 17.12.14.29/27 can give us the subnet address if we use the mask /27 because

Host:	00010001 00001100 00001110 00011101
Mask:	/27
Subnet:	00010001 00001100 00001110 00000000 .... (17.12.14.0)

b. In subnet 2, the address 17.12.14.45/28 can give us the subnet address if we use the mask /28 because

Host:	00010001 00001100 00001110 00101101
Mask:	/28
Subnet:	00010001 00001100 00001110 00100000 .... (17.12.14.32)

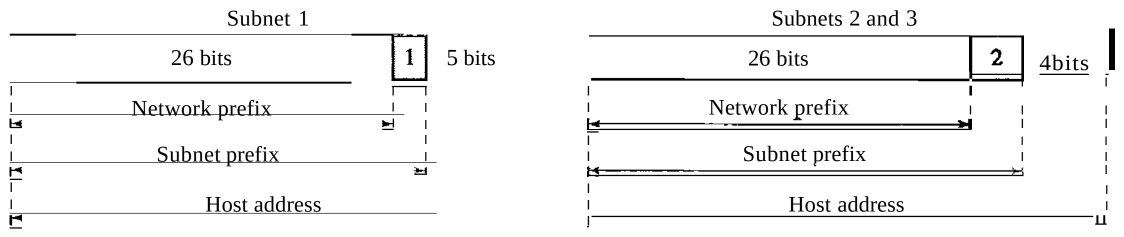
c. In subnet 3, the address 17.12.14.50/28 can give us the subnet address if we use the mask /28 because

Host:	00010001 00001100 00001110 00110010
Mask:	/28
Subnet:	00010001 00001100 00001110 00110000 .... (17.12.14.48)

Note that applying the mask of the network, */26*, to any of the addresses gives us the network address 17.12.14.0/26. We leave this proof to the reader.

We can say that through subnetting, we have three levels of hierarchy. Note that in our example, the subnet prefix length can differ for the subnets as shown in Figure 19.8.

Figure 19.8 *Three-level hierarchy in an IPv4 address*



More Levels of Hierarchy

The structure of classless addressing does not restrict the number of hierarchical levels. An organization can divide the granted block of addresses into subblocks. Each subblock can in turn be divided into smaller subblocks. And so on. One example of this is seen in the ISPs. A national ISP can divide a granted large block into smaller blocks and assign each of them to a regional ISP. A regional ISP can divide the block received from the national ISP into smaller blocks and assign each one to a local ISP. A local ISP can divide the block received from the regional ISP into smaller blocks and assign each one to a different organization. Finally, an organization can divide the received block and make several subnets out of it.

Address Allocation

The next issue in classless addressing is address allocation. How are the blocks allocated? The ultimate responsibility of address allocation is given to a global authority called the *Internet Corporation for Assigned Names and Addresses* (ICANN). However, ICANN does not normally allocate addresses to individual organizations. It assigns a large block of addresses to an ISP. Each ISP, in turn, divides its assigned block into smaller subblocks and grants the subblocks to its customers. In other words, an ISP receives one large block to be distributed to its Internet users. This is called address aggregation: many blocks of addresses are aggregated in one block and granted to one ISP.

Example 19.10

An ISP is granted a block of addresses starting with 190.100.0.0/16 (65,536 addresses). The ISP needs to distribute these addresses to three groups of customers as follows:

a. The first group has 64 customers; each needs 256 addresses.
b. The second group has 128 customers; each needs 128 addresses.
c. The third group has 128 customers; each needs 64 addresses.

Design the subblocks and find out how many addresses are still available after these allocations.

Solution

Figure 19.9 shows the situation.

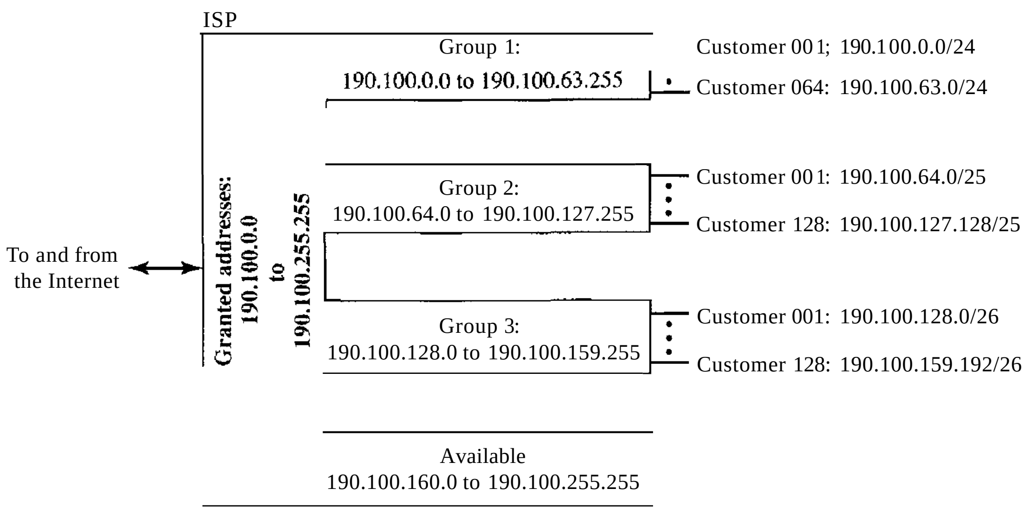

ISP
To and from the Internet
Granted addresses: 190.100.0.0 to 190.100.255.255
Group 1: 190.100.0.0 to 190.100.63.255
Customer 001; 190.100.0.0/24
Customer 064: 190.100.63.0/24
Group 2: 190.100.64.0 to 190.100.127.255
Customer 001: 190.100.64.0/25
Customer 128: 190.100.127.128/25
Group 3: 190.100.128.0 to 190.100.159.255
Customer 001: 190.100.128.0/26
Customer 128: 190.100.159.192/26
Available 190.100.160.0 to 190.100.255.255

Figure 19.9 *An example ofaddress allocation and distribution by an IS?*

1. **Group 1**

For this group, each customer needs 256 addresses. This means that 8 (log2256) bits are needed to define each host. The prefix length is then 32 - 8 =24. The addresses are

1st Customer:	*190.100.0.0/24*	*190.100.0.255/24*
2nd Customer:	*190.100.1.0/24*	*190.100.1.255/24*
64th Customer:	*190.100.63.0/24*	*190.100.63.255/24*

Total =64 x 256 = 16,384

2. **Group2**

For this group, each customer needs 128 addresses. This means that 7 (10g2 128) bits are needed to define each host. The prefix length is then 32 – 7 =25. The addresses are

1st Customer:	*190.100.64.0/25*	*190.100.64.127/25*
2nd Customer:	*190.100.64.128/25*	*190.100.64.255/25*
128th Customer:	*190.100.127.128/25*	*190.100.127.255/25*

Total =128 x 128 = 16,384

3. **Group3**

For this group, each customer needs 64 addresses. This means that 6 (logz 64) bits are needed to each host. The prefix length is then 32 - 6 =26. The addresses are

1st Customer:	*190.100.128.0/26*	*190.100.128.63/26*
2nd Customer:	*190.100.128.64/26*	*190.100.128.127/26*
128th Customer:	*190.100.159.192/26*	*190.100.159.255/26*

Total = 128 x 64 = 8192

Number of granted addresses to the ISP: 65,536
Number of allocated addresses by the ISP: 40,960
Number of available addresses: 24,576

Network Address **Translation** (NAT)

The number of home users and small businesses that want to use the Internet is ever increasing. In the beginning, a user was connected to the Internet with a dial-up line, which means that she was connected for a specific period of time. An ISP with a block of addresses could dynamically assign an address to this user. An address was given to a user when it was needed. But the situation is different today. Home users and small businesses can be connected by an ADSL line or cable modem. In addition, many are not happy with one address; many have created small networks with several hosts and need an IP address for each host. With the shortage of addresses, this is a serious problem.

A quick solution to this problem is called network address translation (NAT). NAT enables a user to have a large set of addresses internally and one address, or a small set of addresses, externally. The traffic inside can use the large set; the traffic outside, the small set.

To separate the addresses used inside the home or business and the ones used for the Internet, the Internet authorities have reserved three sets of addresses as private addresses, shown in Table 19.3.

Table 19.3 *Addresses for private networks*

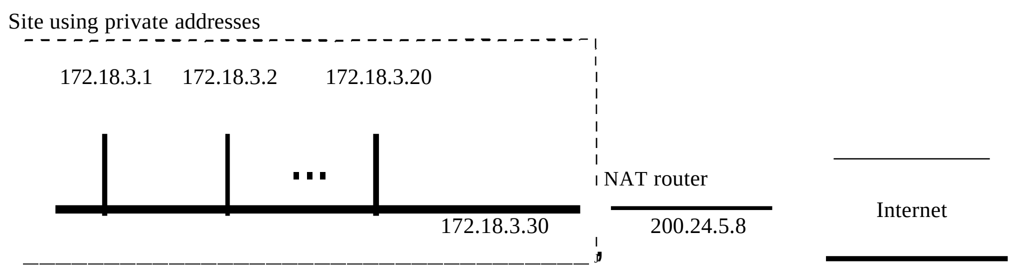
Range			*Total*
10.0.0.0	to	10.255.255.255	2^{24}
172.16.0.0	to	172.31.255.255	2^{20}
192.168.0.0	to	192.168.255.255	2^{16}

Any organization can use an address out of this set without permission from the Internet authorities. Everyone knows that these reserved addresses are for private networks. They are unique inside the organization, but they are not unique globally. No router will forward a packet that has one of these addresses as the destination address.

The site must have only one single connection to the global Internet through a router that runs the NAT software. Figure 19.10 shows a simple implementation of NAT.

As Figure 19.10 shows, the private network uses private addresses. The router that connects the network to the global address uses one private address and one global address. The private network is transparent to the rest of the Internet; the rest of the Internet sees only the NAT router with the address 200.24.5.8.

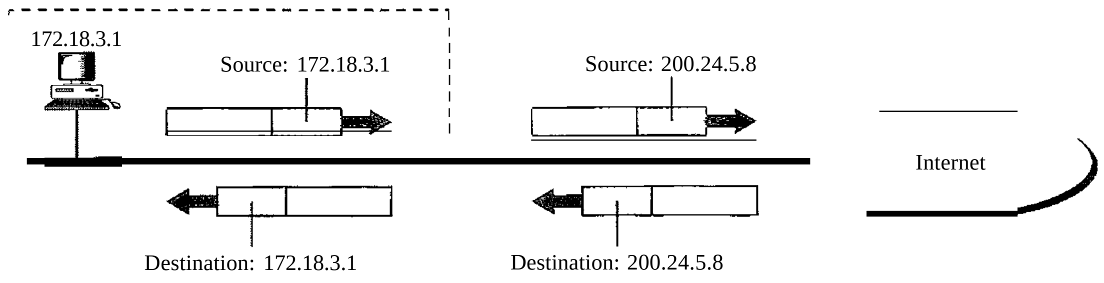
Figure 19.10 *A NAT implementation*



Address Translation

All the outgoing packets go through the NAT router, which replaces the *source address* in the packet with the global NAT address. All incoming packets also pass through the NAT router, which replaces the *destination address* in the packet (the NAT router global address) with the appropriate private address. Figure 19.11 shows an example of address translation.

Figure 19.11 *Addresses in a NAT*

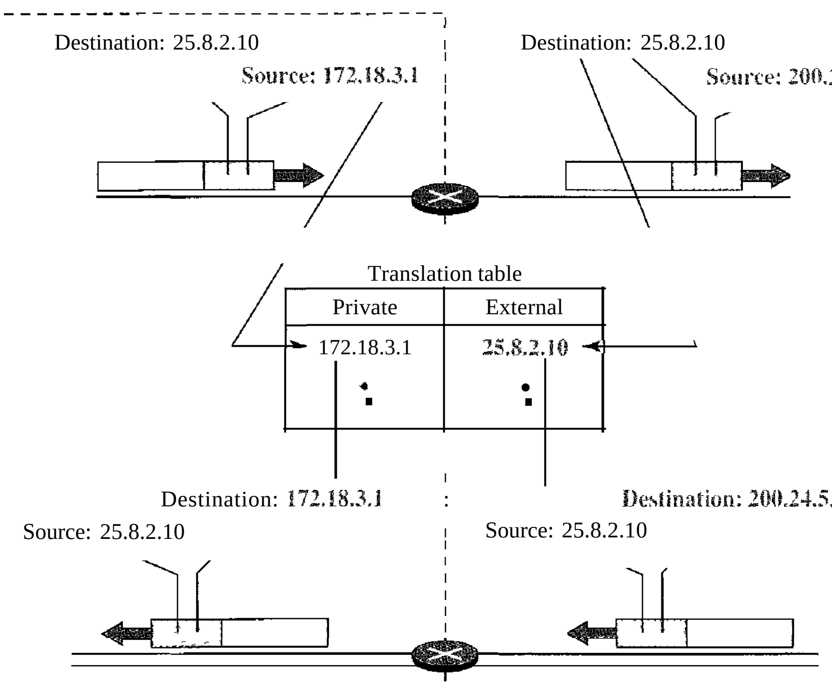


Translation Table

The reader may have noticed that translating the source addresses for outgoing packets is straightforward. But how does the NAT router know the destination address for a packet coming from the Internet? There may be tens or hundreds of private IP addresses, each belonging to one specific host. The problem is solved if the NAT router has a translation table.

Using One IP Address In its simplest fonn, a translation table has only two columns: the private' address and the external address (destination address of the packet). When the router translates the source address of the outgoing packet, it also makes note of the destination address-where the packet is going. When the response comes back from the destination, the router uses the source address of the packet (as the external address) to find the private address of the packet. Figure 19.12 shows the idea. Note that the addresses that are changed (translated) are shown in color.

Figure 19.12 *NAT address translation*



In this strategy, communication must always be initiated by the private network. The NAT mechanism described requires that the private network start the communication. As we will see, NAT is used mostly by ISPs which assign one single address to a customer. The customer, however, may be a member of a private network that has many private addresses. In this case, communication with the Internet is always initiated from the customer site, using a client program such as HTTP, TELNET, or FTP to access the corresponding server program. For example, when e-mail that originates from a non-customer site is received by the ISP e-mail server, the e-mail is stored in the mailbox of the. customer until retrieved. A private network cannot run a server program for clients outside of its network if it is using NAT technology.

Using a Pool of **IP** Addresses Since the NAT router has only one global address, only one private network host can access the same external host. To remove this restriction, the NAT router uses a pool of global addresses. For example, instead of using only one global address (200.24.5.8), the NAT router can use four addresses (200.24.5.8, 200.24.5.9, 200.24.5.10, and 200.24.5.11). In this case, four private network hosts can communicate with the same external host at the same time because each pair of addresses defines a connection. However, there are still some drawbacks. In this example, no more than four connections can be made to the same destination. Also, no private-network host can access two external server programs (e.g., HTTP and FfP) at the same time.

Using Both **IP** Addresses and Port Numbers To allow a many-to-many relationship between private-network hosts and external server programs, we need more information in the translation table. For example, suppose two hosts with addresses 172.18.3.1 and 172.18.3.2 inside a private network need to access the HTTP server on external host

25.8.3.2. If the translation table has five columns, instead of two, that include the source and destination port numbers of the transport layer protocol, the ambiguity is eliminated. We discuss port numbers in Chapter 23. Table 19.4 shows an example of such a table.

Table 19.4 *Five-column translation table*

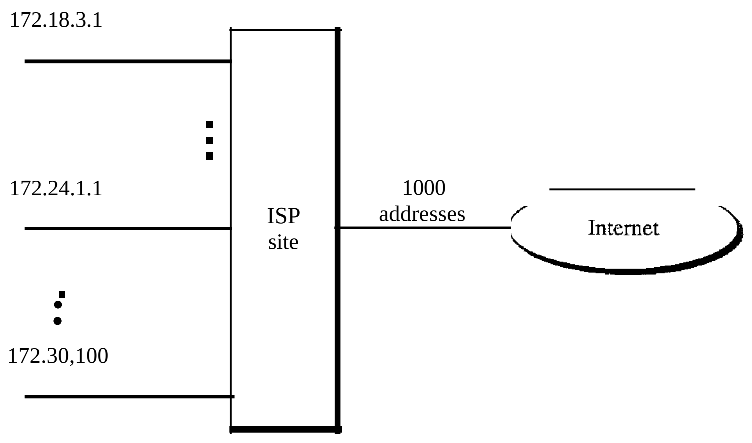
Private Address	*Private Port*	*External Address*	*External Port*	*Transport Protocol*
172.18.3.1	1400	25.8.3.2	80	TCP
172.18.3.2	1401	25.8.3.2	80	TCP
...	...	...	...	...

Note that when the response from HTTP comes back, the combination of source address (25.8.3.2) and destination port number (1400) defines the-private network host to which the response should be directed. Note also that for this translation to work, the temporary port numbers (1400 and 1401) must be unique.

NAT and ISP

An ISP that serves dial-up customers can use NAT technology to conserve addresses. For example, suppose an ISP is granted 1000 addresses, but has 100,000 customers. Each of the customers is assigned a private network address. The ISP translates each of the 100,000 source addresses in outgoing packets to one of the 1000 global addresses; it translates the global destination address in incoming packets to the corresponding private address. Figure 19.13 shows this concept.

Figure 19.13 *An ISP and NAT*



19.2 IPv6 ADDRESSES

Despite all short-term solutions, such as classless addressing, Dynamic Host Configuration Protocol (DHCP), discussed in Chapter 21, and NAT, address depletion is still a long-term problem for the Internet. This and other problems in the IP protocol itself, such as lack of accommodation for real-time audio and video transmission, and encryption and authentication of data for some applications, have been the motivation for IPv6. In this section, we compare the address structure of IPv6 to IPv4. In Chapter 20, we discuss both protocols.

Structure

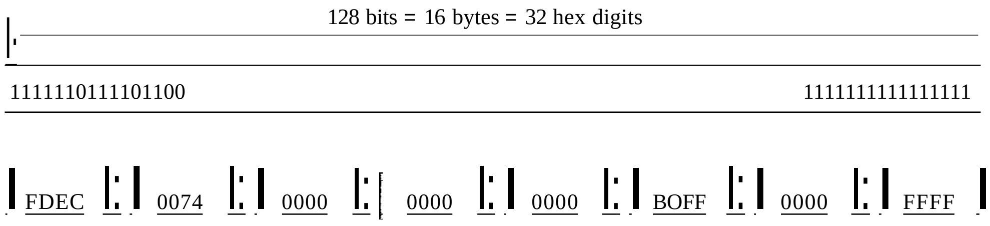
An IPv6 address consists of 16 bytes (octets); it is 128 bits long.

An IPv6 address is 128 bits long.

Hexadecimal Colon Notation

To make addresses more readable, IPv6 specifies hexadecimal colon notation. In this notation, 128 bits is divided into eight sections, each 2 bytes in length. Two bytes in hexadecimal notation requires four hexadecimal digits. Therefore, the address consists of 32 hexadecimal digits, with every four digits separated by a colon, as shown in Figure 19.14.

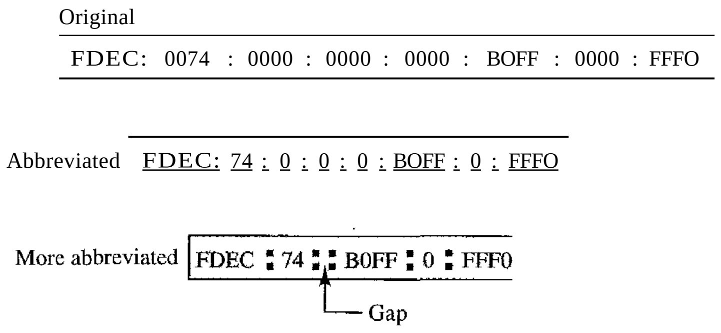
Figure 19.14 *IPv6 address in binary and hexadecimal colon notation*


128 bits = 16 bytes = 32 hex digits
1111110111101100
1111111111111111
FDEC : 0074 : 0000 : 0000 : 0000 : BOFF : 0000 : FFFF

Abbreviation

Although the IP address, even in hexadecimal format, is very long, many of the digits are zer9s. In this case, we can abbreviate the address. The leading zeros of a section (four digits between two colons) can be omitted. Only the leading zeros can be dropped, not the trailing zeros (see Figure 19.15).

Figure 19.15 *Abbreviated IPv6 addresses*


Original
FDEC: 0074 : 0000 : 0000 : 0000 : BOFF : 0000 : FFFO
Abbreviated
FDEC: 74 : 0 : 0 : 0 : BOFF : 0 : FFFO
More abbreviated
FDEC : 74 :: BOFF : 0 : FFF0
Gap

Using this form of abbreviation, 0074 can be written as 74, OOOF as F, and 0000 as 0. Note that 3210 cannot be abbreviated. Further abbreviations are possible if there are consecutive sections consisting of zeros only. We can remove the zeros altogether and replace them with a double semicolon. Note that this type of abbreviation is allowed only once per address. If there are two runs of zero sections, only one of them can be abbreviated. Reexpansion of the abbreviated address is very simple: Align the unabbreviated portions and insert zeros to get the original expanded address.

Example 19.11

Expand the address 0:15::1:12:1213 to its original.

Solution

We first need to align the left side of the double colon to the left of the original pattern and the right side of the double colon to the right of the original pattern to find now many 0s we need to replace the double colon.

```
xxxx:xxxx:xxxx:xxxx:xxxx:xxxx:xxxx:xxxx
   0:  15:                   l:  12:1213
```

This means that the original address is

```
0000:0015:0000:0000:0000:0001:0012:1213
```

Address Space

IPv6 has a much larger address space; 2^{128} addresses are available. The designers of IPv6 divided the address into several categories. A few leftmost bits, called the *type prefix,* in each address define its category. The type prefix is variable in length, but it is designed such that no code is identical to the first part of any other code. In this way, there is no ambiguity; when an address is given, the type prefix can easily be determined. Table 19.5 shows the prefix for each type of address. The third column shows the fraction of each type of address relative to the whole address space.

Table 19.5 *Type prefixes for 1Pv6 addresses*

Type Prefix	*Type*	*Fraction*
00000000	Reserved	1/256
00000001	Unassigned	1/256
0000001	ISO network addresses	1/128
0000010	IPX (Novell) network addresses	1/128
0000011	Unassigned	1/128
00001	Unassigned	1/32
0001	Reserved	1/16
001	Reserved	1/8
010	Provider-based unicast addresses	1/8

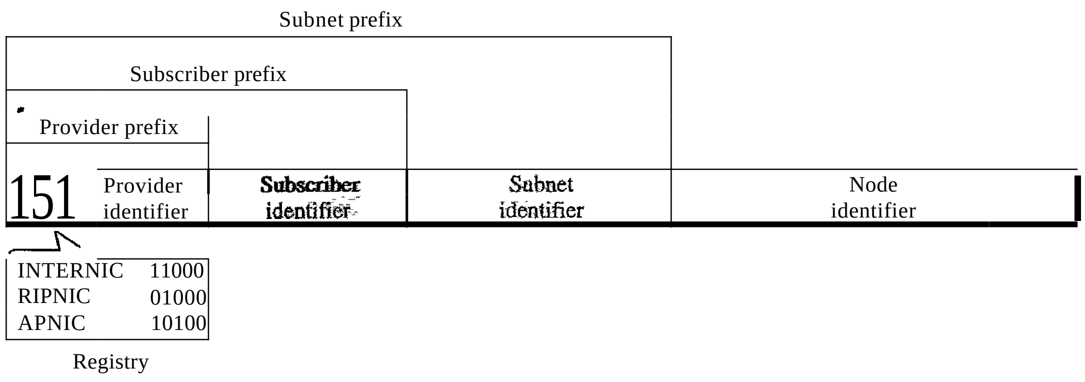
Table 19.5 *Type prefixes for IPv6 addresses (continued)*

Type Prefix	*Type*	*Fraction*
011	Unassigned	1/8
100	Geographic-based unicast addresses	1/8
101	Unassigned	1/8
110	Unassigned	1/8
1110	Unassigned	1116
11110	Unassigned	1132
1111 10	Unassigned	1/64
1111 110	Unassigned	1/128
11111110 a	Unassigned	1/512
1111 111010	Link local addresses	111024
1111 1110 11	Site local addresses	1/1024
11111111	Multicast addresses	1/256

Unicast Addresses

A **unicast address** defines a single computer. The packet sent to a unicast address must be delivered to that specific computer. IPv6 defines two types of unicast addresses: geographically based and provider-based. We discuss the second type here; the first type is left for future definition. The provider-based address is generally used by a normal host as a unicast address. The address format is shown in Figure 19.16.

Figure 19.16 *Prefixes for provider-based unicast address*



Fields for the provider-based address are as follows:

O **Type identifier.** This 3-bit field defines the address as a provider-base.d address.

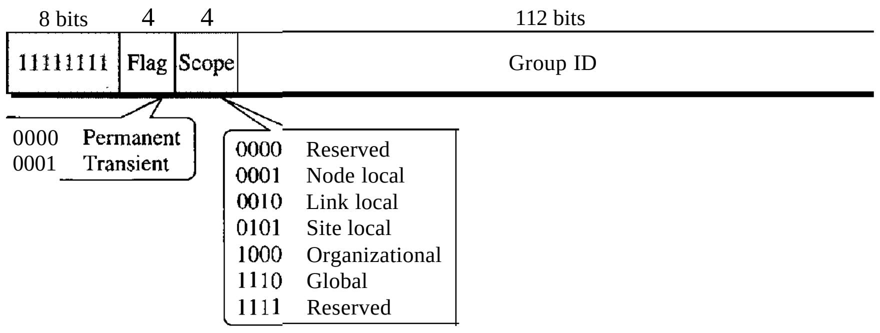
O **Registry identifier.** This 5-bit field indicates the agency that has registered the address. Currently three registry centers have been defined. INTERNIC (code 11000) is the center for North America; RIPNIC (code 01000) is the center for European registration; and APNIC (code 10100) is for Asian and Pacific countries.

- Provider identifier. This variable-length field identifies the provider for Internet access (such as an ISP). A 16-bit length is recommended for this field.
- Subscriber identifier. When an organization subscribes to the Internet through a provider, it is assigned a subscriber identification. A 24-bit length is recommended for this field.
- Subnet identifier. Each subscriber can have many different subnetworks, and each subnetwork can have an identifier. The subnet identifier defines a specific subnetwork under the territory of the subscriber. A 32-bit length is recommended for this field.
- Node identifier. The last field defines the identity of the node connected to a subnet. A length of 48 bits is recommended for this field to make it compatible with the 48-bit link (physical) address used by Ethernet. In the future, this link address will probably be the same as the node physical address.

Multicast Addresses

Multicast addresses are used to define a group of hosts instead of just one. A packet sent to a multicast address must be delivered to each member of the group. Figure 19.17 shows the format of a multicast address.

Figure 19.17 *Multicast address in IPv6*



The second field is a flag that defines the group address as either permanent or transient. A permanent group address is defined by the Internet authorities and can be accessed at all times. A transient group address, on the other hand, is used only temporarily. Systems engaged in a teleconference, for example, can use a transient group address. The third field defines the scope of the group address. Many different scopes have been defined, as shown in Figure 19.17.

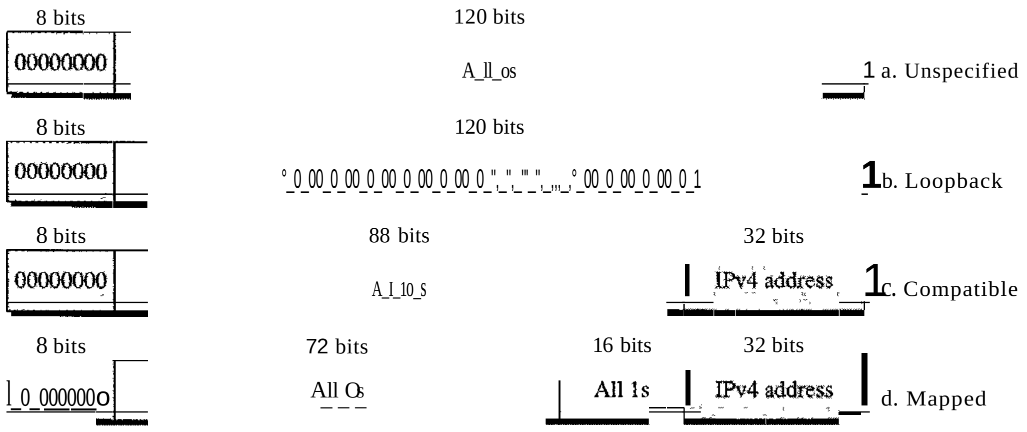
Allycast Addresses

IPv6 also defines anycast addresses. An anycast address, like a multicast address, also defines a group of nodes. However, a packet destined for an anycast address is delivered to only one ofthe members of the anycast group, the nearest one (the one with the shortest route). Although the definition of an anycast address is still debatable, one possible use is to assign an anycast address to all routers of an ISP that covers a large logical area in the Internet. The routers outside the ISP deliver a packet destined for the ISP to the nearest ISP router. No block is assigned for anycast addresses.

Reserved Addresses

Another category in the address space is the reserved address. These addresses start with eight 0s (type prefix is 00000000). A few subcategories are defined in this category, as shown in Figure 19.18.

Figure 19.18 *Reserved addresses in IPv6*

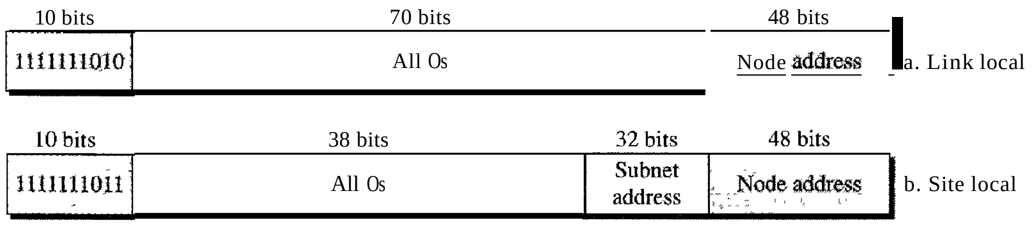


An unspecified address is used when a host does not know its own address and sends an inquiry to find its address. A loopback address is used by a host to test itself without going into the network. A compatible address is used during the transition from IPv4 to IPv6 (see Chapter 20). It is used when a computer using IPv6 wants to send a message to another computer using IPv6, but the message needs to pass through a part of the network that still operates in IPv4. A mapped address is also used during transition. However, it is used when a computer that has migrated to IPv6 wants to send a packet to a computer still using IPv4.

Local Addresses

These addresses are used when an organization wants to use IPv6 protocol without being connected to the global Internet. In other words, they provide addressing for private networks. Nobody outside the organization can send a message to the nodes using these addresses. Two types of addresses are defined for this purpose, as shown in Figure 19.19.

Figure 19.19 *Local addresses in IPv6*



A link local address is used in an isolated subnet; a site local address is used in an isolated site with several subnets.

19.3 RECOMMENDED READING

For more details about subjects discussed in this chapter, we recommend the following books and sites. The items in brackets [...] refer to the reference list at the end of the text.

Books

IPv4 addresses are discussed in Chapters 4 and 5 of [For06], Chapter 3 of [Ste94], Section 4.1 of [PD03], Chapter 18 of [Sta04], and Section 5.6 of [Tan03]. IPv6 addresses are discussed in Section 27.1 of [For06] and Chapter 8 of [Los04]. A good discussion of NAT can be found in [DutOl].

Sites

o www.ietf.org/rfc.html Information about RFCs

RFCs

A discussion of IPv4 addresses can be found in most of the RFCs related to the IPv4 protocol:

760,781,791,815,1025,1063,1071,1141,1190, 1191, 1624,2113

A discussion of 1Pv6 addresses can be found in most of the RFCs related to IPv6 protocol:

1365,1550,1678,1680,1682,1683,1686,1688,1726, 1752, 1826, 1883, 1884,1886,1887, 1955,2080,2373,2452,2463,2465,2466,2472,2492,2545,2590

A discussion of NAT can be found in

1361,2663,2694

19.4 KEY TERMS

address aggregation	class C address
address space	class D address
anycast address	class E address
binary notation	classful addressing
class A address	classless addressing
class B address	classless interdomain routing (CIDR)

CHAPTER 20

Network Layer: Internet Protocol

In the Internet model, the main network protocol is the **Internet Protocol** (IP). In this chapter, we first discuss internetworking and issues related to the network layer protocol in general.

We then discuss the current version of the Internet Protocol, version 4, or IPv4. This leads us to the next generation of this protocol, or IPv6, which may become the dominant protocol in the near future.

Finally, we discuss the transition strategies from IPv4 to IPv6. Some readers may note the absence of IPv5. IPv5 is an experimental protocol, based mostly on the OSI model that never materialized.

20.1 INTERNETWORKING

The physical and data link layers of a network operate locally. These two layers are jointly responsible for data delivery on the network from one node to the next, as shown in Figure 20.1.

This internetwork is made of five networks: four LANs and one WAN. If host A needs to send a data packet to host D, the packet needs to go first from A to Rl (a switch or router), then from Rl to R3, and finally from R3 to host D. We say that the data packet passes through three links. In each link, two physical and two data link layers are involved.

However, there is a big problem here. When data arrive at interface fl of Rl, how does RI know that interface f3 is the outgoing interface? There is no provision in the data link (or physical) layer to help Rl make the right decision. The frame does not carry any routing information either. The frame contains the MAC address of A as the source and the MAC address of Rl as the destination. For a LAN or a WAN, delivery means carrying the frame through one link, and not beyond.

Need for Network Layer

To solve the problem of delivery through several links, the network layer (or the internetwork layer, as it is sometimes called) was designed. The network layer is responsible for host-to-host delivery and for routing the packets through the routers or switches. Figure 20.2 shows the same internetwork with a network layer added.

Figure 20.1 *Links between two hosts*

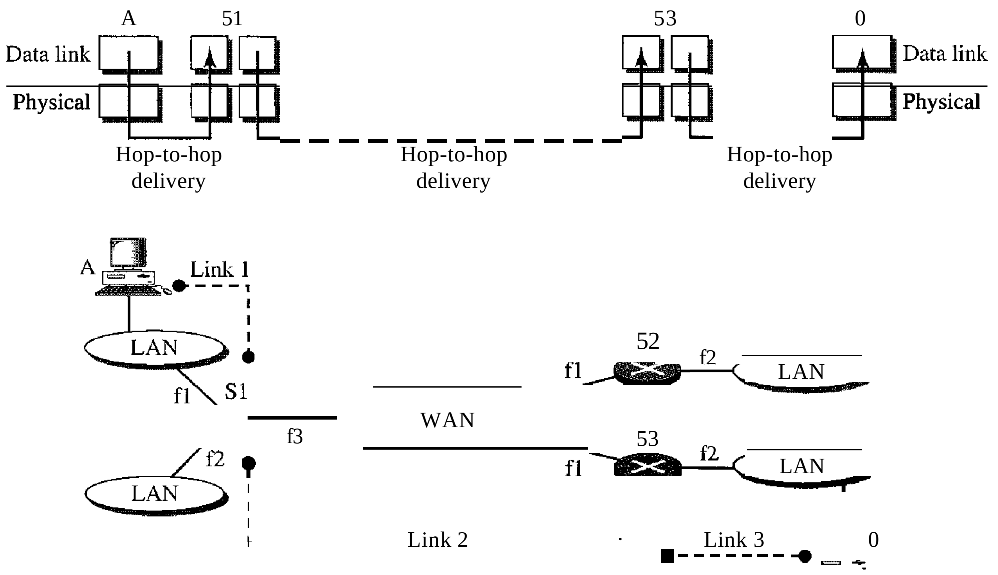


Figure 20.2 *Network layer in an internetwork*

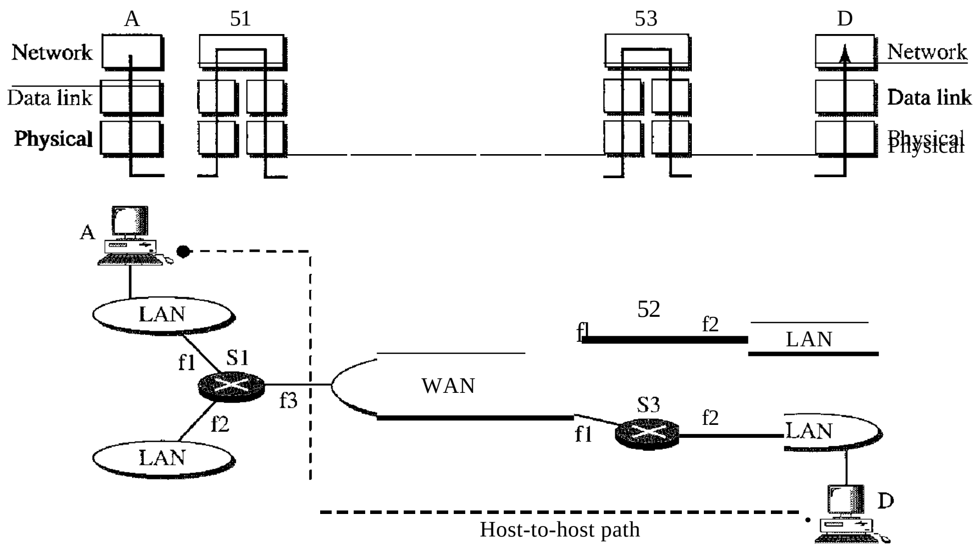
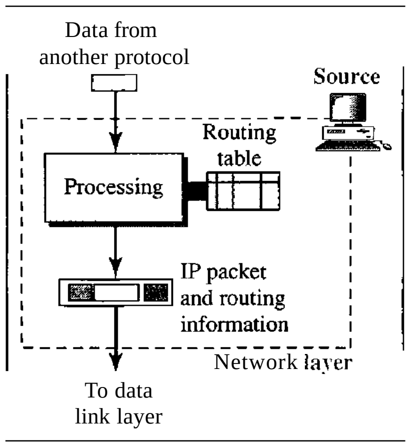
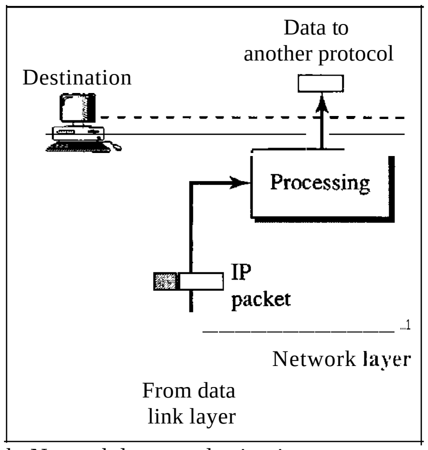


Figure 20.3 shows the general idea of the functionality of the network layer at a source, at a router, and at the destination. The network layer at the source is responsible for creating a packet from the data coming from another protocol (such as a transport layer protocol or a routing protocol). The header of the packet contains, among other information, the logical addresses of the source and destination. The network layer is responsible for checking its routing table to find the routing information (such as the outgoing interface of the packet or the physical address of the next node). If the packet is too large, the packet is fragmented (fragmentation is discussed later in this chapter).

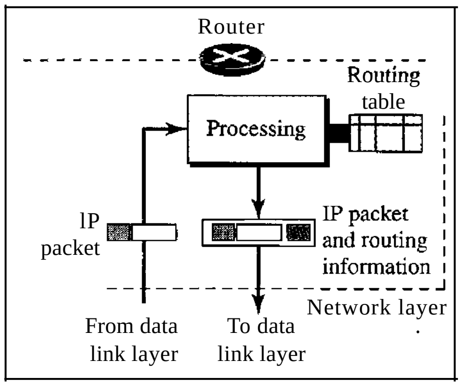
Figure 20.3 *Network layer at the source, router, and destination*



a. Network layer at source



b. Network layer at destination



c. Network layer at a router

The network layer at the switch or router is responsible for routing the packet. When a packet arrives, the router or switch consults its routing table and finds the interface from which the packet must be sent. The packet, after some changes in the header, with the routing infonnation is passed to the data link layer again.

The network layer at the destination is responsible for address verification; it makes sure that the destination address on the packet is the same as the address of the host. If the packet is a fragment, the network layer waits until all fragments have arrived, and then reassembles them and delivers the reassembled packet to the transport layer.

Internet as a Datagram Network

The Internet, at the network layer, is a packet-switched network. We discussed switching in Chapter 8. We said that, in general, switching can be divided into three broad categories: circuit switching, packet switching, and message switching. Packet switching uses either the virtual circuit approach or the datagram approach.

The Internet has chosen the datagram approach to switching in the network layer. It uses the universal addresses defined in the network layer to route packets from the source to the destination.

Switching at the network layer in the Internet uses the datagram approach to packet switching.

Internet as a Connectionless Network

Delivery of a packet can be accomplished by using either a connection-oriented or a connectionless network service. In a connection-oriented service, the source first makes a connection with the destination before sending a packet. When the connection is established, a sequence of packets from the same source to the same destination can be sent one after another. In this case, there is a relationship between packets. They are sent on the same path in sequential order. A packet is logically connected to the packet traveling before it and to the packet traveling after it. When all packets of a message have been delivered, the connection is terminated.

In a connection-oriented protocol, the decision about the route of a sequence of packets with the same source and destination addresses can be made only once, when the connection is established. Switches do not recalculate the route for each individual packet. This type of service is used in a virtual-circuit approach to packet switching such as in Frame Relay and ATM.

In conneetionless service, the network layer protocol treats each packet independently, with each packet having no relationship to any other packet. The packets in a message mayor may not travel the same path to their destination. This type of service is used in the datagram approach to packet switching. The Internet has chosen this type of service at the network layer.

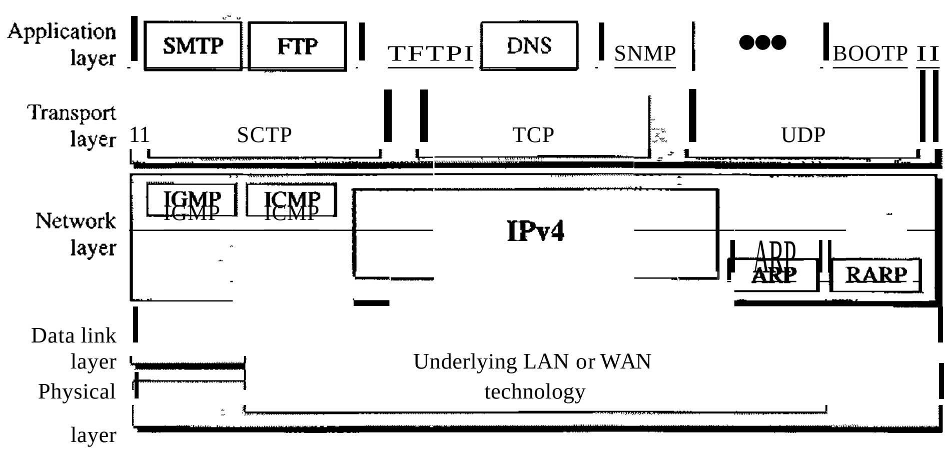
The reason for this decision is that the Internet is made of so many heterogeneous networks that it is almost impossible to create a connection from the source to the destination without knowing the nature of the networks in advance.

Communication at the network layer in the Internet is connectionless.

20.2 IPv4

The Internet Protocol version 4 (IPv4) is the delivery mechanism used by the TCP/IP protocols. Figure 20.4 shows the position of IPv4 in the suite.

Figure 20.4 *Position ofIPv4 in TCPIIP protocol suite*



IPv4 is an unreliable and connectionless datagram protocol-a best-effort delivery service. The term *best-effort* means that IPv4 provides no error control or flow control (except for error detection on the header). IPv4 assumes the unreliability of the underlying layers and does its best to get a transmission through to its destination, but with no guarantees.

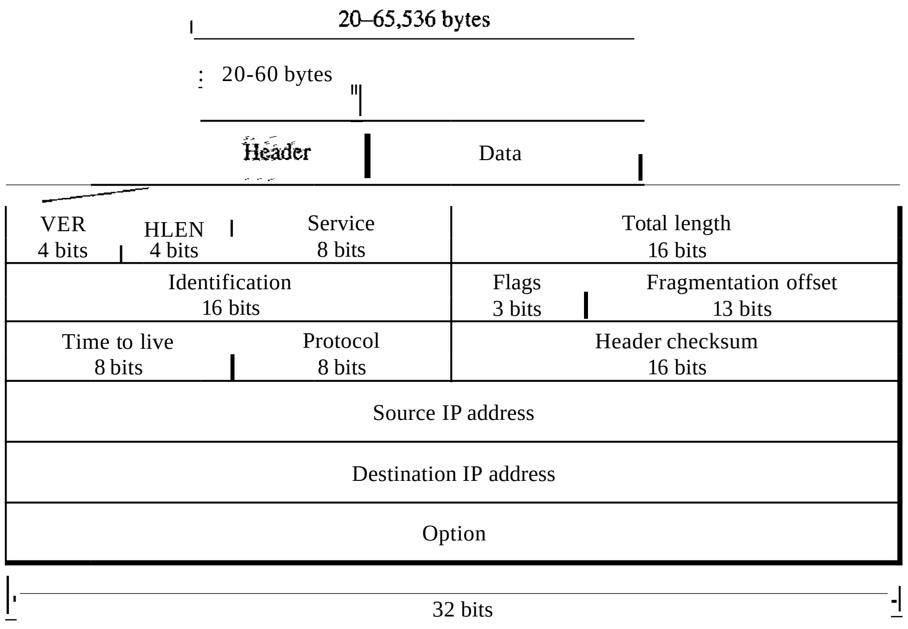
If reliability is important, IPv4 must be paired with a reliable protocol such as TCP. An example of a more commonly understood best-effort delivery service is the post office. The post office does its best to deliver the mail but does not always succeed. If an unregistered letter is lost, it is up to the sender or would-be recipient to discover the loss and rectify the problem. The post office itself does not keep track of every letter and cannot notify a sender of loss or damage.

IPv4 is also a connectionless protocol for a packet-switching network that uses the datagram approach (see Chapter 8). This means that each datagram is handled independently, and each datagram can follow a different route to the destination. This implies that datagrams sent by the same source to the same destination could arrive out of order. Also, some could be lost or corrupted during transmission. Again, IPv4 relies on a higher-level protocol to take care of all these problems.

Datagram

Packets in the IPv4 layer are called datagrams. Figure 20.5 shows the IPv4 datagram format.

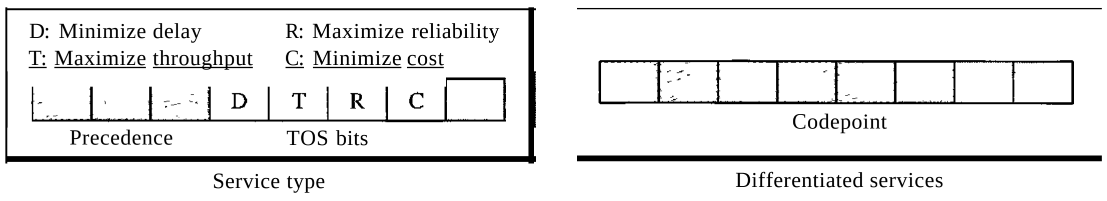
Figure 20.5 *IPv4 datagramfannat*



A datagram is a variable-length packet consisting of two parts: header and data. The header is 20 to 60 bytes in length and contains information essential to routing and delivery. It is customary in *TCP/IP* to show the header in 4-byte sections. A brief description of each field is in order.

- Version (VER). This 4-bit field defines the version of the IPv4 protocol. Currently the version is 4. However, version 6 (or IPng) may totally replace version 4 in the future. This field tells the IPv4 software running in the processing machine that the datagram has the format of version 4. All fields must be interpreted as specified in the fourth version of the protocol. If the machine is using some other version of IPv4, the datagram is discarded rather than interpreted incorrectly.
- Header length (HLEN). This 4-bit field defines the total length of the datagram header in 4-byte words. This field is needed because the length of the header is variable (between 20 and 60 bytes). When there are no options, the header length is 20 bytes, and the value of this field is 5 (5 x 4 = 20). When the option field is at its maximum size, the value of this field is 15 (15 x 4 = 60).
- Services. IETF has changed the interpretation and name of this 8-bit field. This field, previously called service type, is now called differentiated services. We show both interpretations in Figure 20.6.

Figure 20.6 *Service type or differentiated services*



1. Service Type

   In this interpretation, the first 3 bits are called precedence bits. The next 4 bits are called type of service (TOS) bits, and the last bit is not used.

   a. Precedence is a 3-bit subfield ranging from 0 (000 in binary) to 7 (111 in binary). The precedence defines the priority of the datagram in issues such as congestion. If a router is congested and needs to discard some datagrams, those datagrams with lowest precedence are discarded first. Some datagrams in the Internet are more important than others. For example, a datagram used for network management is much more urgent and important than a datagram containing optional information for a group.

The precedence subfield was part of version **4,** but never used.

   b. TOS bits is a 4-bit subfield with each bit having a special meaning. Although a bit can be either 0 or 1, one and only one of the bits can have the value of 1 in each datagram. The bit patterns and their interpretations are given in Table 20.1. With only 1 bit set at a time, we can have five different types of services.

Table 20.1 *Types of service*

TOS Bits	*Description*
0000	Normal (default)
0001	Minimize cost
0010	Maximize reliability
0100	Maximize throughput
1000	Minimize delay

Application programs can request a specific type of service. The defaults for some applications are shown in Table 20.2.

Table 20.2 *Default types of service*

Protocol	*TOS Bits*	*Description*
ICMP	0000	Normal
BOOTP	0000	Normal
NNTP	0001	Minimize cost
IGP	0010	Maximize reliability
SNMP	0010	Maximize reliability
TELNET	1000	Minimize delay
FTP (data)	0100	Maximize throughput
FTP (control)	1000	Minimize delay
TFTP	1000	Minimize delay
SMTP (command)	1000	Minimize delay
SMTP (data)	0100	Maximize throughput
DNS (UDP query)	1000	Minimize delay
DNS (TCP query)	0000	Normal
DNS (zone)	0100	Maximize throughput

It is clear from Table 20.2 that interactive activities, activities requiring immediate attention, and activities requiring immediate response need minimum delay. Those activities that send bulk data require maximum throughput. Management activities need maximum reliability. Background activities need minimum cost.

2. Differentiated Services
In this interpretation, the first 6 bits make up the codepoint subfield, and the last 2 bits are not used. The codepoint subfield can be used in two different ways.
   a. When the 3 rightmost bits are 0s, the 3 leftmost bits are interpreted the same as the precedence bits in the service type interpretation. In other words, it is compatible with the old interpretation.

b. When the 3 rightmost bits are not all 0s, the 6 bits define 64 services based on the priority assignment by the Internet or local authorities according to Table 20.3. The first category contains 32 service types; the second and the third each contain 16. The first category (numbers 0, 2,4, ... ,62) is assigned by the Internet authorities (IETF). The second category (3, 7, 11, 15, , 63) can be used by local authorities (organizations). The third category (1, 5, 9, ,61) is temporary and can be used for experimental purposes. Note that the numbers are not contiguous. If they were, the first category would range from 0 to 31, the second from 32 to 47, and the third from 48 to 63. This would be incompatible with the TOS interpretation because XXXOOO (which includes 0, 8, 16, 24, 32, 40, 48, and 56) would fall into all three categories. Instead, in this assignment method all these services belong to category 1. Note that these assignments have not yet been finalized.

Table 20.3 *Values for codepoints*

Category	*Codepoint*	*Assigning Authority*
1	XXXXXO	Internet
2	XXXXl1	Local
3	XXXXOI	Temporary or experimental

O Total length. This is a In-bit field that defines the total length (header plus data) of the IPv4 datagram in bytes. To find the length of the data coming from the upper layer, subtract the header length from the total length. The header length can be found by multiplying the value in the HLEN field by 4.

Length of data = total length - header length

Since the field length is 16 bits, the total length of the IPv4 datagram is limited to 65,535 (2^{16} - 1) bytes, of which 20 to 60 bytes are the header and the rest is data from the upper layer.

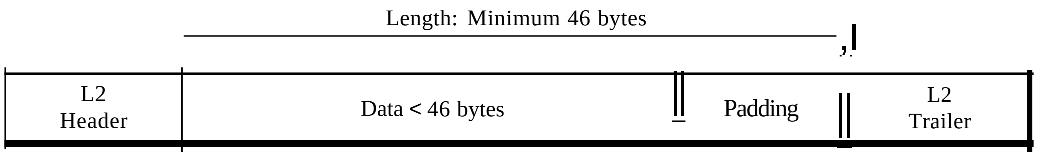
The total length field defines the total length of the datagram including the header.

Though a size of 65,535 bytes might seem large, the size of the IPv4 datagram may increase in the near future as the underlying technologies allow even more throughput (greater bandwidth).

When we discuss fragmentation in the next section, we will see that some physical networks are not able to encapsulate a datagram of 65,535 bytes in their frames. The datagram must be fragmented to be able to pass through those networks.

One may ask why we need this field anyway. When a machine (router or host) receives a frame, it drops the header and the trailer, leaving the datagram. Why include an extra field that is not needed? The answer is that in many cases we really do not need the value in this field. However, there are occasions in which the datagram is not the only thing encapsulated in a frame; it may be that padding has been added. For example, the Ethernet protocol has a minimum and maximum restriction on the size of data that can be encapsulated in a frame (46 to 1500 bytes). If the size of an IPv4 datagram is less than 46 bytes, some padding will be added to meet this requirement. In this case, when a machine decapsulates the datagram, it needs to check the total length field to determine how much is really data and how much is padding (see Figure 20.7).

Figure 20.7 *Encapsulation of a small datagram in an Ethernet frame*

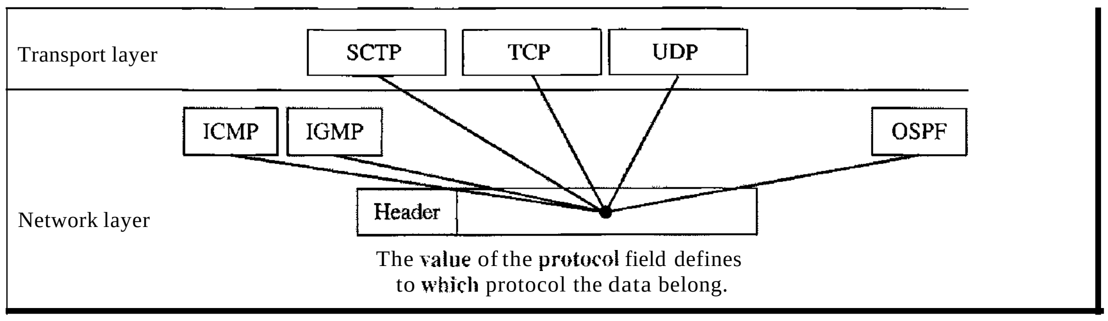


- Identification. This field is used in fragmentation (discussed in the next section).
- Flags. This field is used in fragmentation (discussed in the next section).
- Fragmentation offset. This field is used in fragmentation (discussed in the next section).
- Time to live. A datagram has a limited lifetime in its travel through an internet. This field was originally designed to hold a timestamp, which was decremented by each visited router. The datagram was discarded when the value became zero. However, for this scheme, all the machines must have synchronized clocks and must know how long it takes for a datagram to go from one machine to another. Today, this field is used mostly to control the maximum number of hops (routers) visited by the datagram. When a source host sends the datagram, it stores a number in this field. This value is approximately 2 times the maximum number of routes between any two hosts. Each router that processes the datagram decrements this number by 1. If this value, after being decremented, is zero, the router discards the datagram.

  This field is needed because routing tables in the Internet can become corrupted. A datagram may travel between two or more routers for a long time without ever getting delivered to the destination host. This field limits the lifetime of a datagram.

  Another use of this field is to intentionally limit the journey of the packet. For example, if the source wants to confine the packet to the local network, it can store 1 in this field. When the packet arrives at the first router, this value is decremented to 0, and the datagram is discarded.
- Protocol. This 8-bit field defines the higher-level protocol that uses the services of the IPv4 layer. An IPv4 datagram can encapsulate data from several higher-level protocols such as TCP, UDP, ICMP, and IGMP. This field specifies the final destination protocol to which the IPv4 datagram is delivered. In other words, since the IPv4 protocol carries data from different other protocols, the value of this field helps the receiving network layer know to which protocol the data belong (see Figure 20.8).

Figure 20.8 *Protocol field and encapsulated data*


Transport layer
SCTP
TCP
UDP
ICMP
IGMP
OSPF
Network layer
Header
The value of the protocol field defines to which protocol the data belong.

The value of this field for each higher-level protocol is shown in Table 20.4.

Table 20.4 *Protocol values*

Value	*Protocol*
1	ICMP
2	IGMP
6	TCP
17	UDP
89	OSPF

- Checksum. The checksum concept and its calculation are discussed later in this chapter.
- Source address. This 32-bit field defines the IPv4 address of the source. This field must remain unchanged during the time the IPv4 datagram travels from the source host to the destination host.
- Destination address. This 32-bit field defines the IPv4 address of the destination. This field must remain unchanged during the time the IPv4 datagram travels from the source host to the destination host.

Example 20.1

An IPv4 packet has arrived with the first 8 bits as shown:

01000010

The receiver discards the packet. Why?

Solution

There is an elTOr in this packet. The 4 leftmost bits (0100) show the version, which is correct. The next 4 bits (0010) show an invalid header length ($2 \times 4 = 8$). The minimum number of bytes in the header must be 20. The packet has been corrupted in transmission.

Example 20.2

In an IPv4 packet, the value of HLEN is 1000 in binary. How many bytes of options are being carried by this packet?

Solution

The HLEN value is 8, which means the total number of bytes in the header is 8 x 4, or 32 bytes. The first 20 bytes are the base header, the next 12 bytes are the options.

Example 20.3

In an IPv4 packet, the value of HLEN is 5, and the value of the total length field is Ox0028. How many bytes of data are being carried by this packet?

Solution

The HLEN value is 5, which means the total number of bytes in the header is 5 x 4, or 20 bytes (no options). The total length is 40 bytes, which means the packet is carrying 20 bytes of data (40- 20).

Example 20.4

An IPv4 packet has arrived with the first few hexadecimal digits as shown.

Ox45000028000100000102 ...

How many hops can this packet travel before being dropped? The data belong to what upper-layer protocol?

Solution

To find the time-to-live field, we skip 8 bytes (16 hexadecimal digits). The time-to-live field is the ninth byte, which is 01. This means the packet can travel only one hop. The protocol field is the next byte (02), which means that the upper-layer protocol is IGMP (see Table 20.4).

Fragmentation

A datagram can travel through different networks. Each router decapsulates the IPv4 datagram from the frame it receives, processes it, and then encapsulates it in another frame. The format and size of the received frame depend on the protocol used by the physical network through which the frame has just traveled. The format and size of the sent frame depend on the protocol used by the physical network through which the frame is going to travel. For example, if a router connects a LAN to a WAN, it receives a frame in the LAN format and sends a frame in the WAN format.

Maximum Transfer Unit (MTU)

Each data link layer protocol has its own frame format in most protocols. One of the fields defined in the format is the maximum size of the data field. In other words, when a datagram is encapsulated in a frame, the total size of the datagram must be less than this maximum size, which is defined by the restrictions imposed by the hardware and software used in the network (see Figure 20.9).

The value of the MTU depends on the physical network protocol. Table 20.5 shows the values for some protocols.

Figure 20.9 *Maximum transfer unit (MTU)*

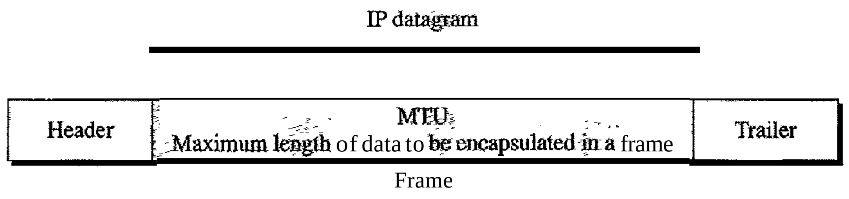


Table 20.5 *MTUs for some networks*

Protocol	*MTU*
Hyperchannel	65,535
Token Ring (16 Mbps)	17,914
Token Ring (4 Mbps)	4,464
FDDI	4,352
Ethernet	1,500
X.25	576
PPP	296

To make the IPv4 protocol independent of the physical network, the designers decided to make the maximum length of the IPv4 datagram equal to 65,535 bytes. This makes transmission more efficient if we use a protocol with an MTU of this size. However, for other physical networks, we must divide the datagram to make it possible to pass through these networks. This is called fragmentation.

The source usually does not fragment the IPv4 packet. The transport layer will instead segment the data into a size that can be accommodated by IPv4 and the data link layer in use.

When a datagram is fragmented, each fragment has its own header with most of the fields repeated, but with some changed. A fragmented datagram may itself be fragmented if it encounters a network with an even smaller MTU. In other words, a datagram can be fragmented several times before it reaches the final destination.

In IPv4, a datagram can be fragmented by the source host or any router in the path although there is a tendency to limit fragmentation only at the source. The reassembly of the datagram, however, is done only by the destination host because each fragment becomes an independent datagram. Whereas the fragmented datagram can travel through different routes, and we can never control or guarantee which route a fragmented datagram may take, all the fragments belonging to the same datagram should finally arrive at the destination host. So it is logical to do the reassembly at the final destination. An even stronger objection to reassembling packets during the transmission is the loss of efficiency it incurs.

When a datagram is fragmented, required parts of the header must be copied by all fragments. The option field mayor may not be copied, as we will see in the next section. The host or router that fragments a datagram must change the values of three fields:

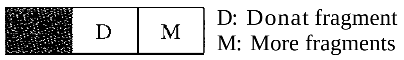
flags, fragmentation offset, and total length. The rest of the fields must be copied. Of course, the value of the checksum must be recalculated regardless of fragmentation.

Fields Related to Fragmentation

The fields that are related to fragmentation and reassembly of an IPv4 datagram are the identification, flags, and fragmentation offset fields.

- Identification. This 16-bit field identifies a datagram originating from the source host. The combination of the identification and source IPv4 address must uniquely define a datagram as it leaves the source host. To guarantee uniqueness, the IPv4 protocol uses a counter to label the datagrams. The counter is initialized to a positive number. When the IPv4 protocol sends a datagram, it copies the current value of the counter to the identification field and increments the counter by 1. As long as the counter is kept in the main memory, uniqueness is guaranteed. When a datagram is fragmented, the value in the identification field is copied to all fragments. In other words, all fragments have the same identification number, the same as the original datagram. The identification number helps the destination in reassembling the datagram. It knows that all fragments having the same identification value must be assembled into one datagram.
- Flags. This is a 3-bit field. The first bit is reserved. The second bit is called the *do notfragment* bit. If its value is 1, the machine must not fragment the datagram. If it cannot pass the datagram through any available physical network, it discards the datagram and sends an ICMP error message to the source host (see Chapter 21). If its value is 0, the datagram can be fragmented if necessary. The third bit is called the *more fragment* bit. If its value is 1, it means the datagram is not the last fragment; there are more fragments after this one. If its value is 0, it means this is the last or only fragment (see Figure 20.10).

Figure 20.10 *Flags used in fragmentation*

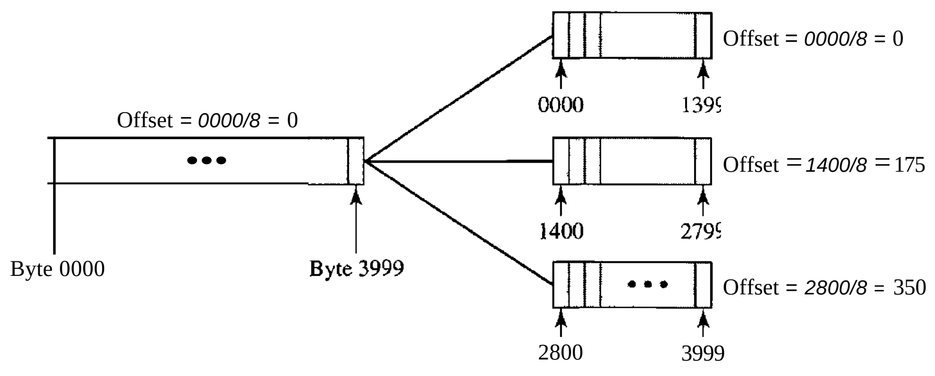


- Fragmentation offset. This 13-bit field shows the relative position of this fragment with respect to the whole datagram. It is the offset of the data in the original datagram measured in units of 8 bytes. Figure 20.11 shows a datagram with a data size of 4000 bytes fragmented into three fragments.

  The bytes in the original datagram are numbered 0 to 3999. The first fragment carries bytes 0 to 1399. The offset for this datagram is 0/8 = 0. The second fragment carries bytes 1400 to 2799; the offset value for this fragment is 1400/8 = 175. Finally, the third fragment carries bytes 2800 to 3999. The offset value for this fragment is 2800/8 = 350.

  Remember that the value of the offset is measured in units of 8 bytes. This is done because the length of the offset field is only 13 bits and cannot represent a

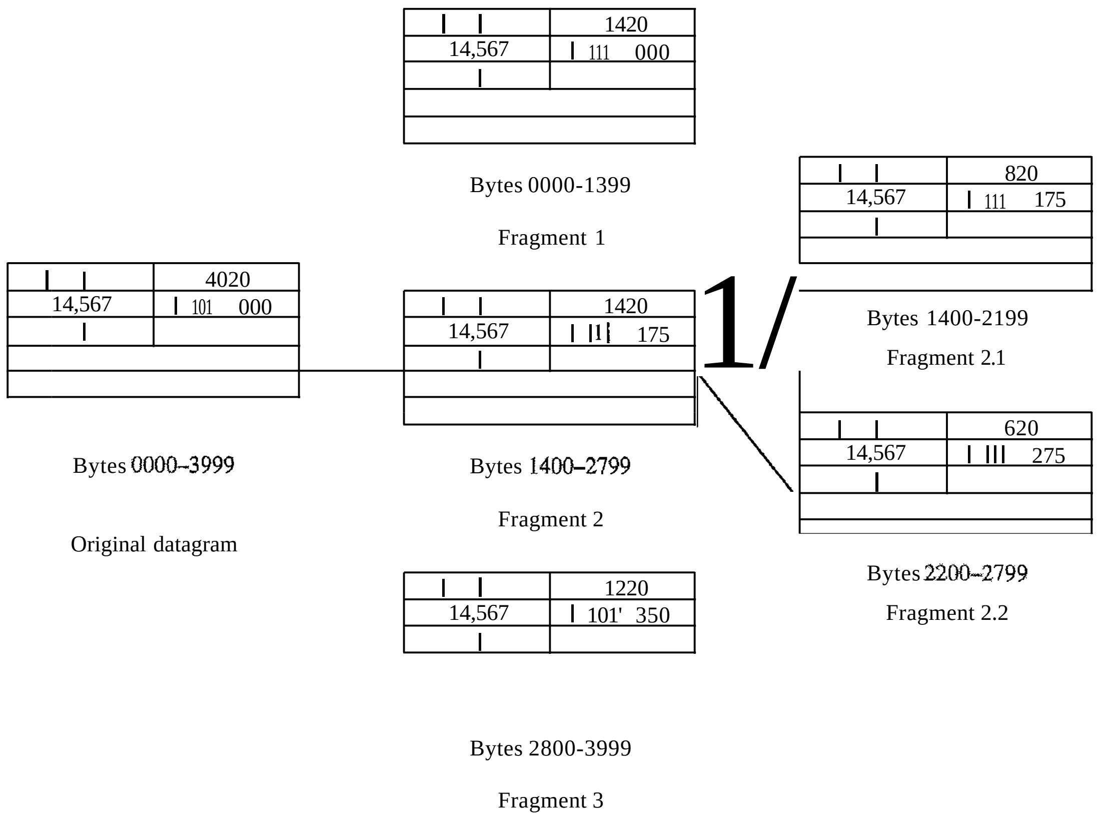
Figure 20.11 *Fragmentation example*



sequence of bytes greater than 8191. This forces hosts or routers that fragment datagrams to choose a fragment size so that the first byte number is divisible by 8.

Figure 20.12 shows an expanded view of the fragments in Figure 20.11. Notice the value of the identification field is the same in all fragments. Notice the value of the flags field with the *more* bit set for all fragments except the last. Also, the value of the offset field for each fragment is shown.

Figure 20.12 *Detailedfragmentation example*



The figure also shows what happens if a fragment itself is fragmented. In this case the value of the offset field is always relative to the original datagram. For example, in the figure, the second fragment is itself fragmented later to two fragments of 800 bytes and 600 bytes, but the offset shows the relative position of the fragments to the original data.

It is obvious that even if each fragment follows a different path and arrives out of order, the final destination host can reassemble the original datagram from the fragments received (if none of them is lost) by using the following strategy:

1. The first fragment has an offset field value of zero.
2. Divide the length of the first fragment by 8. The second fragment has an offset value equal to that result.
3. Divide the total length of the first and second fragments by 8. The third fragment has an offset value equal to that result.
4. Continue the process. The last fragment has a *more* bit value of 0.

Example 20.5

A packet has arrived with an *M* bit value of 0. Is this the first fragment, the last fragment, or a middle fragment? Do we know if the packet was fragmented?

Solution

If the *M* bit is 0, it means that there are no more fragments; the fragment is the last one. However, we cannot say if the original packet was fragmented or not. A nonfragmented packet is considered the last fragment.

Example 20.6

A packet has arrived with an *M* bit value of 1. Is this the first fragment, the last fragment, or a middle fragment? Do we know if the packet was fragmented?

Solution

If the *M* bit is 1, it means that there is at least one more fragment. This fragment can be the first one or a middle one, but not the last one. We don't know if it is the first one or a middle one; we need more information (the value of the fragmentation offset). See Example 20.7.

Example 20.7

A packet has arrived with an *M* bit value of 1 and a fragmentation offset value of 0. Is this the first fragment, the last fragment, Or a middle fragment?

Solution

Because the *M* bit is 1, it is either the first fragment or a middle one. Because the offset value is 0, it is the first fragment.

Example 20.8

A packet has arrived in which the offset value is 100. What is the number of the first byte? Do we know the number of the last byte?

Solution

To find the number of the first byte, we multiply the offset value by 8. This means that the first byte number is 800. We cannot determine the number of the last byte unless we know the length of the data.

Example 20.9

A packet has arrived in which the offset value is 100, the value of HLEN is 5, and the value of the tota1length field is 100. What are the numbers of the first byte and the last byte?

Solution

The first byte number is 100 x 8 = 800. The total length is 100 bytes, and the header length is 20 bytes (5 x 4), which means that there are 80 bytes in this datagram. If the first byte number is 800, the last byte number must be 879.

Checksum

We discussed the general idea behind the checksum and how it is calculated in Chapter 10. The implementation of the checksum in the IPv4 packet follows the same principles. First, the value of the checksum field is set to 0. Then the entire header is divided into 16-bit sections and added together. The result (sum) is complemented and inserted into the checksum field.

The checksum in the IPv4 packet covers only the header, not the data. There are two good reasons for this. First, all higher-level protocols that encapsulate data in the IPv4 datagram have a checksum field that covers the whole packet. Therefore, the checksum for the IPv4 datagram does not have to check the encapsulated data. Second, the header of the IPv4 packet changes with each visited router, but the data do not. So the checksum includes only the part that has changed. If the data were included, each router must recalculate the checksum for the whole packet, which means an increase in processing time.

Example 20.10

Figure 20.13 shows an example of a checksum calculation for an IPv4 header without options. The header is divided into 16-bit sections. All the sections are added and the sum is complemented. The result is inserted in the checksum field.

Options

The header of the IPv4 datagram is made of two parts: a fixed palt and a variable part. The fixed part is 20 bytes long and was discussed in the previous section. The variable part comprises the options that can be a maximum of 40 bytes.

Options, as the name implies, are not required for a datagram. They can be used for network testing and debugging. Although options are not a required part of the IPv4 header, option processing is required of the IPv4 software. This means that all implementations must be able to handle options if they are present in the header.

The detailed discussion of each option is beyond the scope of this book. We give the taxonomy of options in Figure 20.14 and briefly explain the purpose of each.

No Operation

A **no-operation option** is a I-byte option used as a filler between options.

Figure 20.13 *Example of checksum calculation in IPv4*

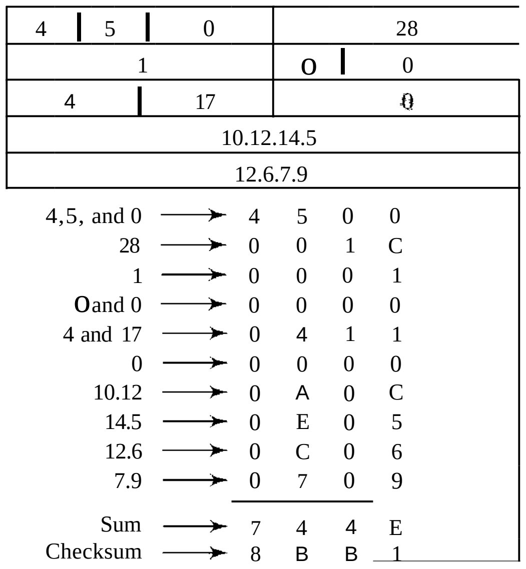
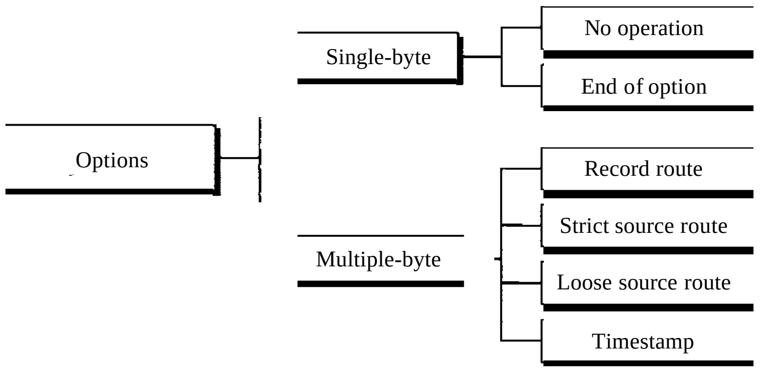


Figure 20.14 *Taxonomy of options in IPv4*



End of Option

An end-of-option option is a I-byte option used for padding at the end of the option field. It, however, can only be used as the last option.

Record Route

A record route option is used to record the Internet routers that handle the datagram. It can list up to nine router addresses. It can be used for debugging and management purposes.

Strict Source Route

A strict source route option is used by the source to predetermine a route for the datagram as it travels through the Internet. Dictation of a route by the source can be useful for several purposes. The sender can choose a route with a specific type of service, such as minimum delay or maximum throughput. Alternatively, it may choose a route that is safer or more reliable for the sender's purpose. For example, a sender can choose a route so that its datagram does not travel through a competitor's network.

If a datagram specifies a strict source route, all the routers defined in the option must be visited by the datagram. A router must not be visited if its IPv4 address is not listed in the datagram. If the datagram visits a router that is not on the list, the datagram is discarded and an error message is issued. If the datagram arrives at the destination and some of the entries were not visited, it will also be discarded and an error message issued.

Loose Source Route

A loose source route option is similar to the strict source route, but it is less rigid. Each router in the list must be visited, but the datagram can visit other routers as well.

Timestamp

A timestamp option is used to record the time of datagram processing by a router. The time is expressed in milliseconds from midnight, Universal time or Greenwich mean time. Knowing the time a datagram is processed can help users and managers track the behavior of the routers in the Internet. We can estimate the time it takes for a datagram to go from one router to another. We say *estimate* because, although all routers may use Universal time, their local clocks may not be synchronized.

20.3 IPv6

The network layer protocol in the TCPIIP protocol suite is currently IPv4 (Internetworking Protocol, version 4). IPv4 provides the host-to-host communication between systems in the Internet. Although IPv4 is well designed, data communication has evolved since the inception of IPv4 in the 1970s. IPv4 has some deficiencies (listed below) that make it unsuitable for the fast-growing Internet.

- Despite all short-term solutions, such as subnetting, classless addressing, and NAT, address depletion is still a long-term problem in the Internet.
- The Internet must accommodate real-time audio and video transmission. This type of transmission requires minimum delay strategies and reservation of resources not provided in the IPv4 design.
- The Internet must accommodate encryption and authentication of data for some applications. No encryption or authentication is provided by IPv4.

To overcome these deficiencies, IPv6 (Internetworking Protocol, version 6), also known as IPng (Internetworking Protocol, next generation), was proposed and is now a standard. In IPv6, the Internet protocol was extensively modified to accommodate the unforeseen growth of the Internet. The format and the length of the IP address were changed along with the packet format. Related protocols, such as ICMP, were also modified. Other protocols in the network layer, such as ARP, RARP, and IGMP, were either deleted or included in the ICMPv6 protocol (see Chapter 21). Routing protocols, such as RIP and OSPF (see Chapter 22), were also slightly modified to accommodate these changes. Communications experts predict that IPv6 and its related protocols will soon replace the current IP version. In this section first we discuss IPv6. Then we explore the strategies used for the transition from version 4 to version 6.

The adoption of IPv6 has been slow. The reason is that the original motivation for its development, depletion of IPv4 addresses, has been remedied by short-term strategies such as classless addressing and NAT. However, the fast-spreading use of the Internet, and new services such as mobile IP, IP telephony, and IP-capable mobile telephony, may eventually require the total replacement of IPv4 with IPv6.

Advantages

The next-generation IP, or IPv6, has some advantages over IPv4 that can be summarized as follows:

- Larger address space. An IPv6 address is 128 bits long, as we discussed in Chapter 19. Compared with the 32-bit address of IPv4, this is a huge (2^{96}) increase in the address space.
- Better header format. IPv6 uses a new header format in which options are separated from the base header and inserted, when needed, between the base header and the upper-layer data. This simplifies and speeds up the routing process because most of the options do not need to be checked by routers.
- New options. IPv6 has new options to allow for additional functionalities.
- Allowance for extension. IPv6 is designed to allow the extension of the protocol if required by new technologies or applications.
- Support for resource allocation. In IPv6, the type-of-service field has been removed, but a mechanism (calledjlow *label)* has been added to enable the source to request special handling of the packet. This mechanism can be used to support traffic such as real-time audio and video.
- Support for more security. The encryption and authentication options in IPv6 provide confidentiality and integrity of the packet.

Packet Format

The IPv6 packet is shown in Figure 20.15. Each packet is composed of a mandatory base header followed by the payload. The payload consists of two parts: optional extension headers and data from an upper layer. The base header occupies 40 bytes, whereas the extension headers and data from the upper layer contain up to 65,535 bytes of information.

Base Header

Figure 20.16 shows the base header with its eight fields.

These fields are as follows:

- Version. This 4-bit field defines the version number of the IP. For IPv6, the value is 6.
- Priority. The 4-bit priority field defines the priority of the packet with respect to traffic congestion. We will discuss this field later.

Figure 20.15 *IPv6 datagram header and payload*

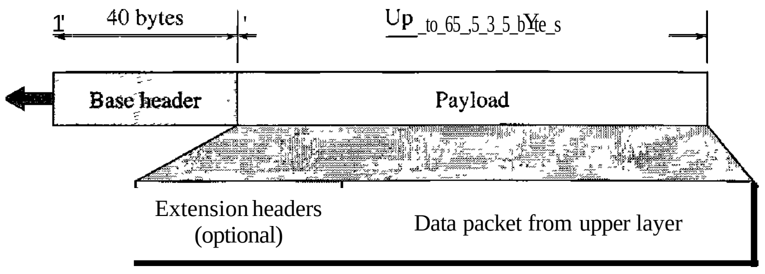
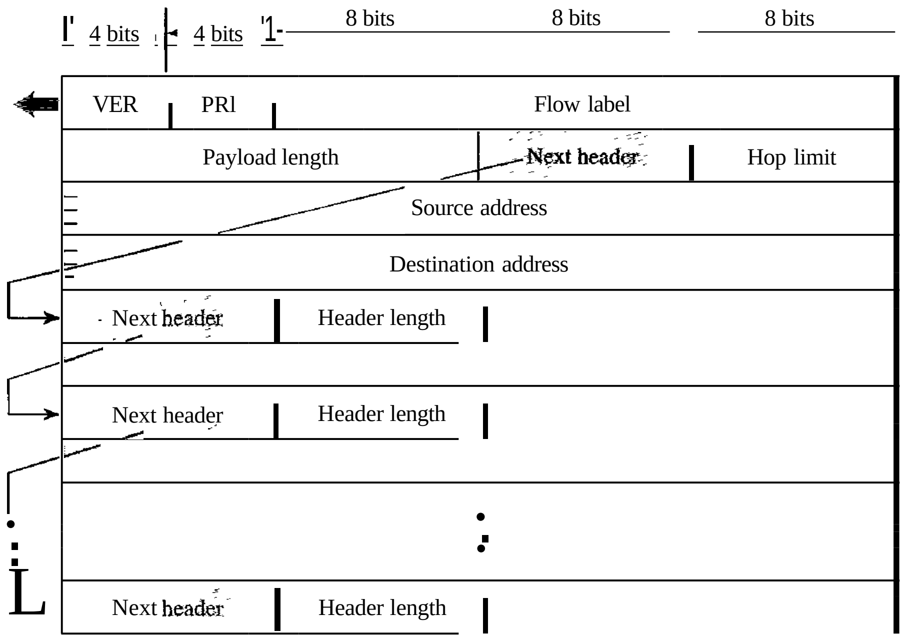


Figure 20.16 *Format of an IPv6 datagram*



- Flow label. The flow label is a 3-byte (24-bit) field that is designed to provide special handling for a particular flow of data. We will discuss this field later.
- Payload length. The 2-byte payload length field defines the length of the IP datagram excluding the base header.
- Next header. The next header is an 8-bit field defining the header that follows the base header in the datagram. The next header is either one of the optional extension headers used by IP or the header of an encapsulated packet such as UDP or TCP. Each extension header also contains this field. Table 20.6 shows the values of next headers. Note that this field in version 4 is called the *protocol.*
- Hop limit. This 8-bit hop limit field serves the same purpose as the TTL field in IPv4.
- Source address. The source address field is a 16-byte (128-bit) Internet address that identifies the original source of the datagram.

Table 20.6 *Next header codes for IPv6*

Code	*Next Header*
0	Hop-by-hop option
2	ICMP
6	TCP
17	UDP
43	Source routing
44	Fragmentation
50	Encrypted security payload
51	Authentication
59	Null (no next header)
60	Destination option

O **Destination address.** The destination address field is a 16-byte (128-bit) Internet address that usually identifies the final destination of the datagram. However, if source routing is used, this field contains the address of the next router.

Priority

The priority field of the IPv6 packet defines the priority of each packet with respect to other packets from the same source. For example, if one of two consecutive datagrams must be discarded due to congestion, the datagram with the lower **packet priority** will be discarded. IPv6 divides traffic into two broad categories: congestion-controlled and noncongestion-controlled.

Congestion-Controlled Traffic If a source adapts itself to traffic slowdown when there is congestion, the traffic is referred to as **congestion-controlled traffic.** For example, TCP, which uses the sliding window protocol, can easily respond to traffic. **In** congestion-controlled traffic, it is understood that packets may arrive delayed, lost, or out of order. Congestion-controlled data are assigned priorities from 0 to 7, as listed in Table 20.7. A priority of 0 is the lowest; a priority of 7 is the highest.

Table 20.7 *Priorities for congestion-controlled traffic*

Priority	*Meaning*
0	No specific traffic
1	Background data
2	Unattended data traffic
3	Reserved
4	Attended bulk data traffic
5	Reserved
6	Interactive traffic
7	Control traffic

The priority descriptions are as follows:

- No specific traffic. A priority of 0 is assigned to a packet when the process does not define a priority.
- Background data. This group (priority 1) defines data that are usually delivered in the background. Delivery of the news is a good example.
- Unattended data traffic. If the user is not waiting (attending) for the data to be received, the packet will be given a priority of 2. E-mail belongs to this group. The recipient of an e-mail does not know when a message has arrived. In addition, an e-mail is usually stored before it is forwarded. A little bit of delay is of little consequence.
- Attended **bulk** data traffic. A protocol that transfers data while the user is waiting (attending) to receive the data (possibly with delay) is given a priority of 4. FTP and HTTP belong to this group.
- Interactive traffic. Protocols such as TELNET that need user interaction are assigned the second-highest priority (6) in this group.
- Control traffic. Control traffic is given the highest priority (7). Routing protocols such as OSPF and RIP and management protocols such as SNMP have this priority.

Noncongestion-Controlled Traffic This refers to a type of traffic that expects minimum delay. Discarding of packets is not desirable. Retransmission in most cases is impossible. In other words, the source does not adapt itself to congestion. Real-time audio and video are examples of this type of traffic.

Priority numbers from 8 to 15 are assigned to noncongestion-controlled traffic. Although there are not yet any particular standard assignments for this type of data, the priorities are usually based on how much the quality of received data is affected by the discarding of packets. Data containing less redundancy (such as low-fidelity audio or video) can be given a higher priority (15). Data containing more redundancy (such as high-fidelity audio or video) are given a lower priority (8). See Table 20.8.

Table 20.8 *Priorities for noncongestion-controlled traffic*

Priority	*Meaning*
8	Data with greatest redundancy
. . .	. . .
15	Data with least redundancy

Flow Label

A sequence of packets, sent from a particular source to a particular destination, that needs special handling by routers is called a *flow* of packets. The combination of the source address and the value of the *flow label* uniquely defines a flow of packets.

To a router, a flow is a sequence of packets that share the same characteristics, such as traveling the same path, using the same resources, having the same kind of security, and so on. A router that supports the handling of flow labels has a flow label table. The table has an entry for each active flow label; each entry defines the services required by the corresponding flow label. When the router receives a packet, it consults its flow label table to find the corresponding entry for the flow label value defined in the packet. It then provides the packet with the services mentioned in the entry. However, note that the flow label itself does not provide the information for the entries of the flow label table; the information is provided by other means such as the hop-by-hop options or other protocols.

In its simplest form, a flow label can be used to speed up the processing of a packet by a router. When a router receives a packet, instead of consulting the routing table and going through a routing algorithm to define the address of the next hop, it can easily look in a flow label table for the next hop.

In its more sophisticated form, a flow label can be used to support the transmission of real-time audio and video. Real-time audio or video, particularly in digital form, requires resources such as high bandwidth, large buffers, long processing time, and so on. A process can make a reservation for these resources beforehand to guarantee that real-time data will not be delayed due to a lack of resources. The use of real-time data and the reservation of these resources require other protocols such as Real-Time Protocol (RTP) and Resource Reservation Protocol (RSVP) in addition to IPv6.

To allow the effective use of flow labels, three rules have been defined:

1. The flow label is assigned to a packet by the source host. The label is a random number between 1 and $2^{24} - 1$. A source must not reuse a flow label for a new flow while the existing flow is still active.
2. If a host does not support the flow label, it sets this field to zero. If a router does not support the flow label, it simply ignores it.
3. All packets belonging to the same flow have the same source, same destination, same priority, and same options.

Comparison Between IPv4 and IPv6 Headers

Table 20.9 compares IPv4 and IPv6 headers.

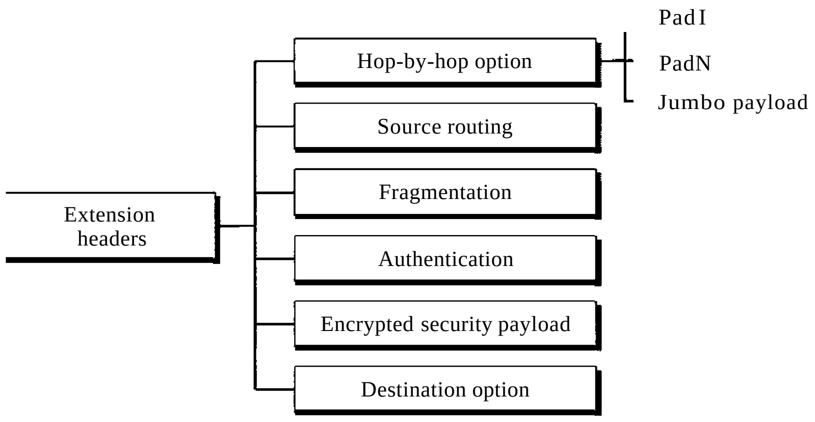
Table 20.9 *Comparison between IPv4 and IPv6 packet headers*

Comparison
1. The header length field is eliminated in IPv6 because the length of the header is fixed in this version.
2. The service type field is eliminated in IPv6. The priority and flow label fields together take over the function of the service type field.
3. The total length field is eliminated in IPv6 and replaced by the payload length field.
4. The identification, flag, and offset fields are eliminated from the base header in IPv6. They are included in the fragmentation extension header.
5. The TTL field is called hop limit in IPv6.
6. The protocol field is replaced by the next header field.
7. The header checksum is eliminated because the checksum is provided by upper-layer protocols; it is therefore not needed at this level.
8. The option fields in IPv4 are implemented as extension headers in IPv6.

Extension Headers

The length of the base header is fixed at 40 bytes. However, to give greater functionality to the IP datagram, the base header can be followed by up to six extension headers. Many of these headers are options in IPv4. Six types of extension headers have been defined, as shown in Figure 20.17.

Figure 20.17 *Extension header types*



Hop-by-Hop Option

The hop-by-hop option is used when the source needs to pass information to all routers visited by the datagram. So far, only three options have been defined: Padl, PadN, and jumbo payload. The Padl option is 1 byte long and is designed for alignment purposes. PadN is similar in concept to Padi. The difference is that PadN is used when 2 or more bytes is needed for alignment. The jumbo payload option is used to define a payload longer than 65,535 bytes.

Source Routing The source routing extension header combines the concepts of the strict source route and the loose source route options of IPv4.

Fragmentation

The concept of fragmentation is the same as that in IPv4. However, the place where fragmentation occurs differs. In IPv4, the source or a router is required to fragment if the size of the datagram is larger than the MTU of the network over which the datagram travels. In IPv6, only the original source can fragment. A source must use a path MTU discovery technique to find the smallest MTU supported by any network on the path. The source then fragments using this knowledge.

Authentication

The authentication extension header has a dual purpose: it validates the message sender and ensures the integrity of data. We discuss this extension header when we discuss network security in Chapter 31.

Encrypted Security Payload

The encrypted security payload (ESP) is an extension that provides confidentiality and guards against eavesdropping. We discuss this extension header in Chapter 31.

Destination Option The destination option is used when the source needs to pass information to the destination only. Intermediate routers are not permitted access to this information.

Comparison Between IPv4 Options and IPv6 Extension Headers

Table 20.10 compares the options in IPv4 with the extension headers in IPv6.

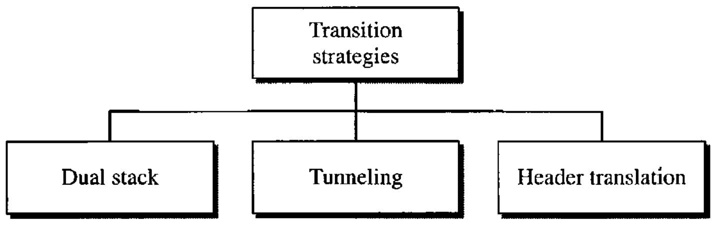
Table 20.10 *Comparison between IPv4 options and IPv6 extension headers*

Comparison
1. The no-operation and end-of-option options in IPv4 are replaced by Padl and PadN options in IPv6.
2. The record route option is not implemented in IPv6 because it was not used.
3. The timestamp option is not implemented because it was not used.
4. The source route option is called the source route extension header in IPv6.
5. The fragmentation fields in the base header section of IPv4 have moved to the fragmentation extension header in IPv6.
6. The authentication extension header is new in IPv6.
7. The encrypted security payload extension header is new in IPv6.

20.4 TRANSITION FROM IPv4 TO IPv6

Because of the huge number of systems on the Internet, the transition from IPv4 to IPv6 cannot happen suddenly. It takes a considerable amount of time before every system in the Internet can move from IPv4 to IPv6. The transition must be smooth to prevent any problems between IPv4 and IPv6 systems. Three strategies have been devised by the !E1F to help the transition (see Figure 20.18).

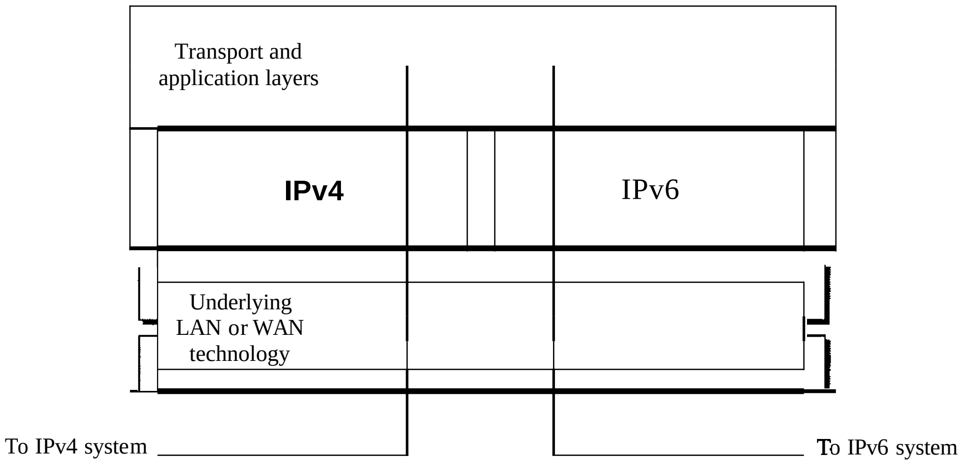
Figure 20.18 *Three transition strategies*



Dual Stack

It is recommended that all hosts, before migrating completely to version 6, have a **dual stack** of protocols. In other words, a station must run IPv4 and IPv6 simultaneously until all the Internet uses IPv6. See Figure 20.19 for the layout of a dual-stack configuration.

Figure 20.19 *Dual stack*

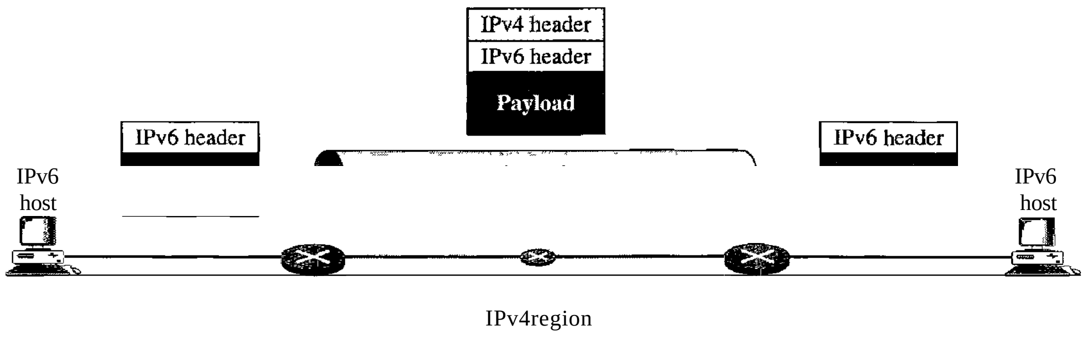

Transport and application layers
IPv4
IPv6
Underlying LAN or WAN technology
To IPv4 system
To IPv6 system

To determine which version to use when sending a packet to a destination, the source host queries the DNS. If the DNS returns an IPv4 address, the source host sends an IPv4 packet. If the DNS returns an IPv6 address, the source host sends an IPv6 packet.

Tunneling

Thnneling is a strategy used when two computers using IPv6 want to communicate with each other and the packet must pass through a region that uses IPv4. To pass through this region, the packet must have an IPv4 address. So the IPv6 packet is encapsulated in an IPv4 packet when it enters the region, and it leaves its capsule when it exits the region. It seems as if the IPv6 packet goes through a tunnel at one end and emerges at the other end. To make it clear that the IPv4 packet is carrying an IPv6 packet as data, the protocol value is set to 41. Tunneling is shown in Figure 20.20.

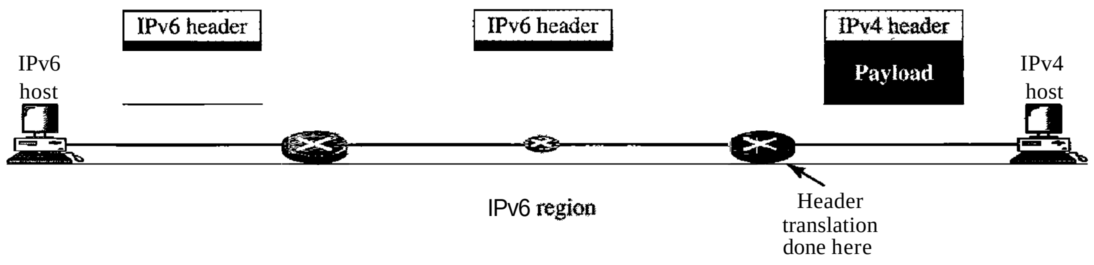
Figure 20.20 *Tunneling strategy*



Header Translation

Header translation is necessary when the majority of the Internet has moved to IPv6 but some systems still use IPv4. The sender wants to use IPv6, but the receiver does not understand IPv6. Tunneling does not work in this situation because the packet must be in the IPv4 format to be understood by the receiver. In this case, the header format must be totally changed through header translation. The header of the IPv6 packet is converted to an IPv4 header (see Figure 20.21).

Figure 20.21 *Header translation strategy*



Header translation uses the mapped address to translate an IPv6 address to an IPv4 address. Table 20.11 lists some rules used in transforming an IPv6 packet header to an IPv4 packet header.

Table 20.11 *Header translation*

Header Translation Procedure
1. The IPv6 mapped address is changed to an IPv4 address by extracting the rightmost 32 bits.
2. The value of the IPv6 priority field is discarded.
3. The type of service field in IPv4 is set to zero.
4. The checksum for IPv4 is calculated and inserted in the corresponding field.
5. The IPv6 flow label is ignored.
6. Compatible extension headers are converted to options and inserted in the IPv4 header. Some may have to be dropped.
7. The length of IPv4 header is calculated and inserted into the corresponding field.
8. The total length of the IPv4 packet is calculated and inserted in the corresponding field.

20.5 RECOMMENDED READING

For more details about subjects discussed in this chapter, we recommend the following books and sites. The items in brackets [...] refer to the reference list at the end of the text.

CHAPTER 21

Network Layer: Address Mapping, Error Reporting, and Multicasting

In Chapter 20 we discussed the Internet Protocol (IP) as the main protocol at the network layer. IP was designed as a best-effort delivery protocol, but it lacks some features such as flow control and error control. It is a host-to-host protocol using logical addressing. To make IP more responsive to some requirements in today's intemetworking, we need the help of other protocols.

We need protocols to create a mapping between physical and logical addresses. IP packets use logical (host-to-host) addresses. These packets, however, need to be encapsulated in a frame, which needs physical addresses (node-to-node). We will see that a protocol called ARP, the Address Resolution Protocol, is designed for this purpose. We sometimes need reverse mapping-mapping a physical address to a logical address. For example, when booting a diskless network or leasing an IP address to a host. Three protocols are designed for this purpose: RARP, BOOTp, and DHCP.

Lack of flow and error control in the Internet Protocol has resulted in another protocol, ICMP, that provides alerts. It reports congestion and some types of errors in the network or destination host.

IP was originally designed for unicast delivery, one source to one destination. As the Internet has evolved, the need for multicast delivery, one source to many destinations, has increased tremendously. IGMP gives IP a multicast capability.

In this chapter, we discuss the protocols ARP, RARP, BOOTP, DHCP, and IGMP in some detail. We also discuss ICMPv6, which will be operational when IPv6 is operational. ICMPv6 combines ARP, ICMP, and IGMP in one protocol.

21.1 ADDRESS MAPPING

An internet is made of a combination of physical networks connected by internetworking devices such as routers. A packet starting from a source host may pass through several different physical networks before finally reaching the destination host. The hosts and routers are recognized at the network level by their logical (IP) addresses.

However, packets pass through physical networks to reach these hosts and routers. At the physical level, the hosts and routers are recognized by their physical addresses.

A physical address is a local address. Its jurisdiction is a local network. It must be unique locally, but is not necessarily unique universally. It is called a *physical* address because it is usually (but not always) implemented in hardware. An example of a physical address is the 48-bit MAC address in the Ethernet protocol, which is imprinted on the NIC installed in the host or router.

The physical address and the logical address are two different identifiers. We need both because a physical network such as Ethernet can have two different protocols at the network layer such as IP and IPX (Novell) at the same time. Likewise, a packet at a network layer such as IP may pass through different physical networks such as Ethernet and LocalTalk (Apple).

This means that delivery of a packet to a host or a router requires two levels of addressing: logical and physical. We need to be able to map a logical address to its corresponding physical address and vice versa. These can be done by using either static or dynamic mapping.

Static mapping involves in the creation of a table that associates a logical address with a physical address. This table is stored in each machine on the network. Each machine that knows, for example, the IP address of another machine but not its physical address can look it up in the table. This has some limitations because physical addresses may change in the following ways:

1. A machine could change its NIC, resulting in a new physical address.
2. In some LANs, such as LocalTalk, the physical address changes every time the computer is turned on.
3. A mobile computer can move from one physical network to another, resulting in a change in its physical address.

To implement these changes, a static mapping table must be updated periodically. This overhead could affect network performance.

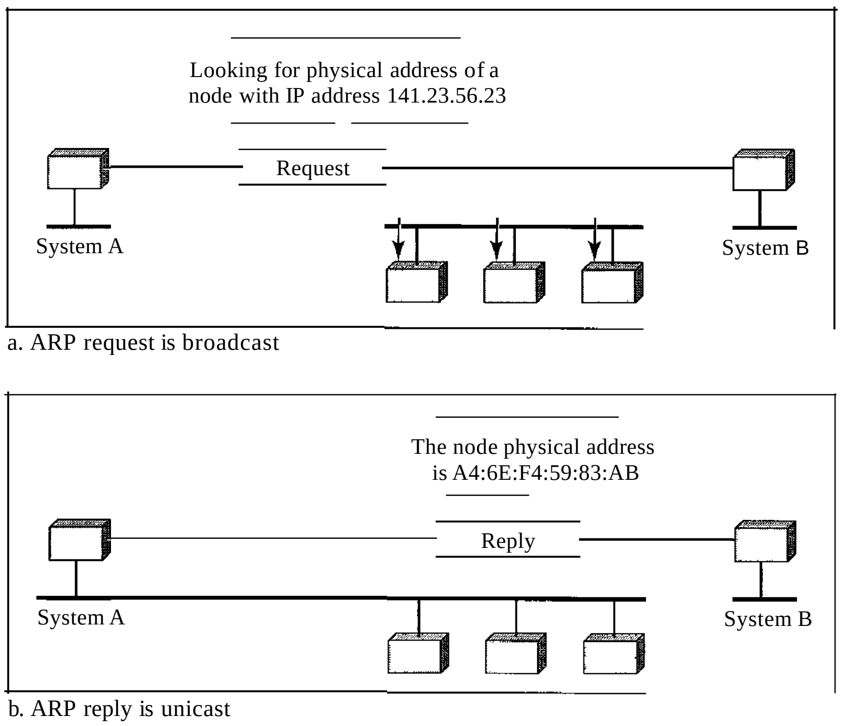
In dynamic mapping each time a machine knows one of the two addresses (logical or physical), it can use a protocol to find the other one.

Mapping Logical to Physical Address: ARP

Anytime a host or a router has an IP datagram to send to another host or router, it has the logical (IP) address of the receiver. The logical (IP) address is obtained from the DNS (see Chapter 25) if the sender is the host or it is found in a routing table (see Chapter 22) if the sender is a router. But the IP datagram must be encapsulated in a frame to be able to pass through the physical network. This means that the sender needs the physical address of the receiver. The host or the router sends an ARP query packet. The packet includes the physical and IP addresses of the sender and the IP address of the receiver. Because the sender does not know the physical address of the receiver, the query is broadcast over the network (see Figure 21.1).

Every host or router on the network receives and processes the ARP query packet, but only the intended recipient recognizes its IP address and sends back an ARP response packet. The response packet contains the recipient's IP and physical addresses. The packet is unicast directly to the inquirer by using the physical address received in the query packet.

Figure 21.1 *ARP operation*


Looking for physical address of a node with IP address 141.23.56.23
Request
System A
System B
a. ARP request is broadcast
The node physical address is A4:6E:F4:59:83:AB
Reply
System A
System B
b. ARP reply is unicast

In Figure 21.1a, the system on the left (A) has a packet that needs to be delivered to another system (B) with IP address 141.23.56.23. System A needs to pass the packet to its data link layer for the actual delivery, but it does not know the physical address of the recipient. It uses the services of ARP by asking the ARP protocol to send a broadcast ARP request packet to ask for the physical address of a system with an IF address of 141.23.56.23.

This packet is received by every system on the physical network, but only system B will answer it, as shown in Figure 21.1b. System B sends an ARP reply packet that includes its physical address. Now system A can send all the packets it has for this destination by using the physical address it received.

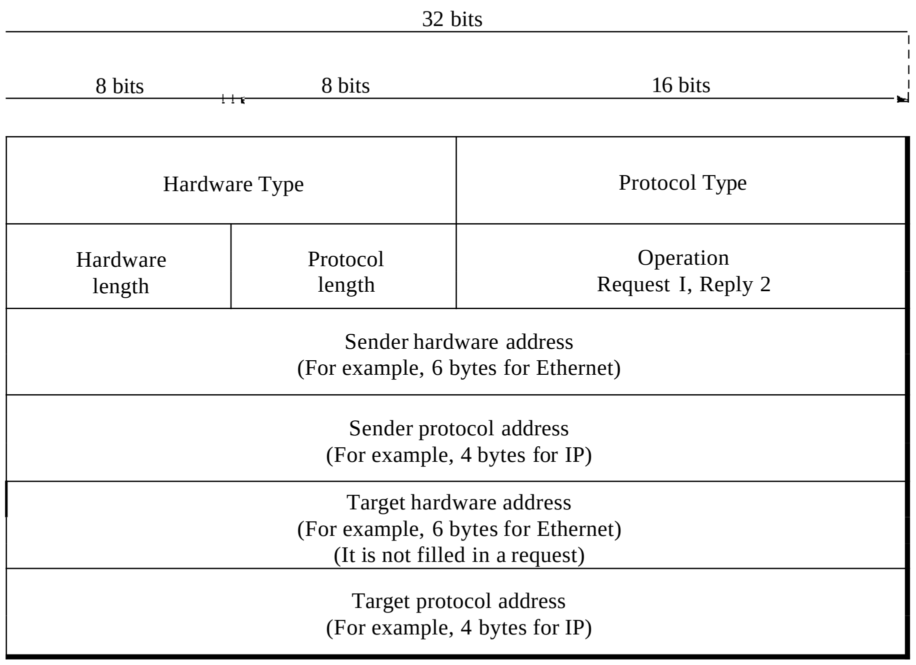
Cache Memory

Using ARP is inefficient if system A needs to broadcast an ARP request for each IP packet it needs to send to system B. It could have broadcast the IP packet itself. ARP can be useful if the ARP reply is cached (kept in cache memory for a while) because a system normally sends several packets to the same destination. A system that receives an ARP reply stores the mapping in the cache memory and keeps it for 20 to 30 minutes unless the space in the cache is exhausted. Before sending an ARP request, the system first checks its cache to see if it can find the mapping.

Packet Format

Figure 21.2 shows the format of an ARP packet.

Figure 21.2 *ARP packet*


32 bits
8 bits
8 bits
16 bits
Hardware Type
Protocol Type
Hardware length
Protocol length
Operation Request I, Reply 2
Sender hardware address (For example, 6 bytes for Ethernet)
Sender protocol address (For example, 4 bytes for IP)
Target hardware address (For example, 6 bytes for Ethernet) (It is not filled in a request)
Target protocol address (For example, 4 bytes for IP)

Thc fields arc as follows:

O Hardware type. This is a 16-bit field defining the type of the network on which ARP is running. Each LAN has been assigned an integer based on its type. For example, Ethernet is given type 1. ARP can be used on any physical network.

O Protocol type. This is a 16-bit field defining the protocol. For example, the value of this field for the IPv4 protocol is 0800_{16}, ARP can be used with any higher-level protocol.

O Hardware length. This is an 8-bit field defining the length of the physical address in bytes. For example, for Ethernet the value is 6.

O Protocol length. This is an 8-bit field defining the length of the logical address in bytes. For example, for the IPv4 protocol the value is 4.

O Operation. This is a 16-bit field defining the type of packet. Two packet types are defined: ARP request (1) andARP reply (2).

O Sender hardware address. This is a variable-length field defining the physical address of the sender. For example, for Ethernet this field is 6 bytes long.

O Sender protocol address. This is a variable-length field defining the logical (for example, IP) address of the sender. For the IP protocol, this field is 4 bytes long.

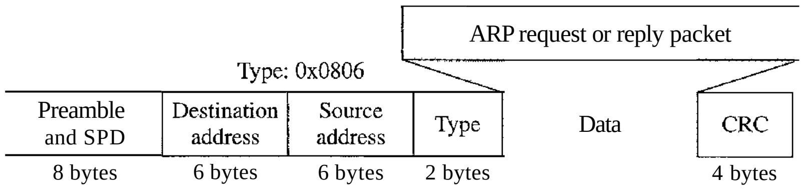
O Target hardware address. This is a variable-length field defining the physical address of the target. For example, for Ethernet this field is 6 bytes long. For an ARP request message, this field is allIOs because the sender does not know the physical address of the target.

O Target protocol address. This is a variable-length field defining the logical (for example, IP) address of the target. For the IPv4 protocol, this field is 4 bytes long.

Encapsulation

An ARP packet is encapsulated directly into a data link frame. For example, in Figure 21.3 an ARP packet is encapsulated in an Ethernet frame. Note that the type field indicates that the data carried by the frame are an ARP packet.

Figure 21.3 *Encapsulation of ARP packet*



Operation

Let us see how ARP functions on a typical internet. First we describe the steps involved. Then we discuss the four cases in which a host or router needs to use ARP. These are the steps involved in an ARP process:

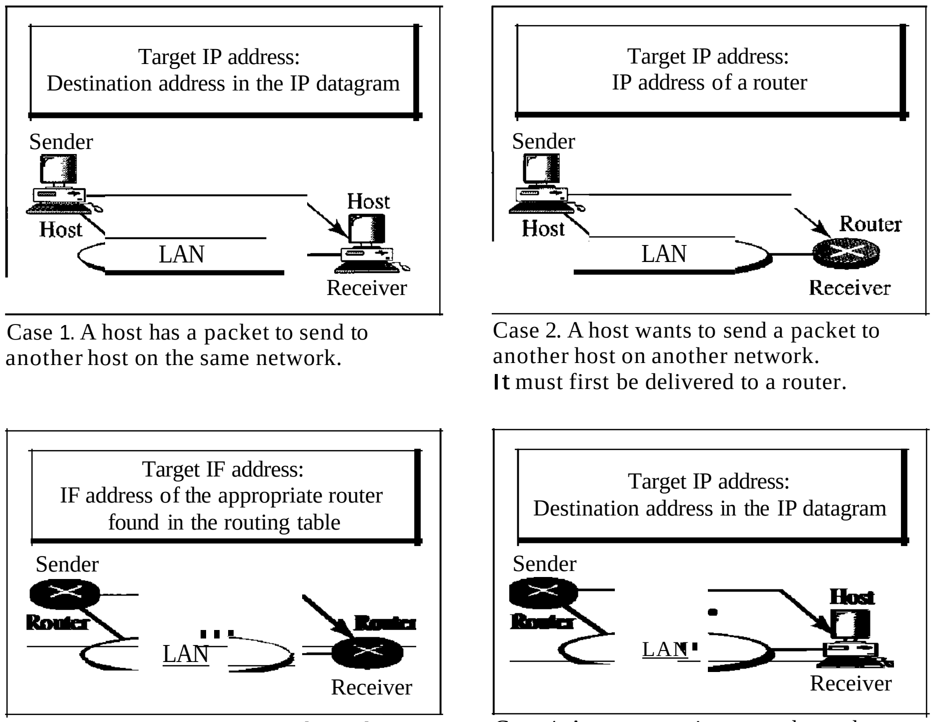
1. The sender knows the IP address of the target. We will see how the sender obtains this shortly.
2. IP asks ARP to create an ARP request message, filling in the sender physical address, the sender IP address, and the target IP address. The target physical address field is filled with 0s.
3. The message is passed to the data link layer where it is encapsulated in a frame by using the physical address of the sender as the source address and the physical broadcast address as the destination address.
4. Every host or router receives the frame. Because the frame contains a broadcast destination address, all stations remove the message and pass it to ARP. All machines except the one targeted drop the packet. The target machine recognizes its IP address.
5. The target machine replies with an ARP reply message that contains its physical address. The message is unicast.
6. The sender receives the reply message. It now knows the physical address of the target machine.
7. The IP datagram, which carries data for the target machine, is now encapsulated in a frame and is unicast to the destination.

Four Different Cases

The following are four different cases in which the services of ARP can be used (see Figure 21.4).

1. The sender is a host and wants to send a packet to another host on the same network. In this case, the logical address that must be mapped to a physical address is the destination IP address in the datagram header.

Figure 21.4 *Four cases using ARP*



Case 1. A host has a packet to send to another host on the same network.

Case 2. A host wants to send a packet to another host on another network. It must first be delivered to a router.

Case 3. A router receives a packet to be sent to a host on another network. It must first be delivered to the appropriate router.

Case 4. A router receives a packet to be sent to a host on the same network.

2. The sender is a host and wants to send a packet to another host on another network. In this case, the host looks at its routing table and finds the IP address of the next hop (router) for this destination. If it does not have a routing table, it looks for the IP address of the default router. The IP address of the router becomes the logical address that must be mapped to a physical address.
3. The sender is a router that has received a datagram destined for a host on another network. It checks its routing table and finds the IP address of the next router. The IP address of the next router becomes the logical address that must be mapped to a physical address.
4. The sender is a router that has received a datagram destined for a host on the same network. The destination IP address of the datagram becomes the logical address that must be mapped to a physical address.

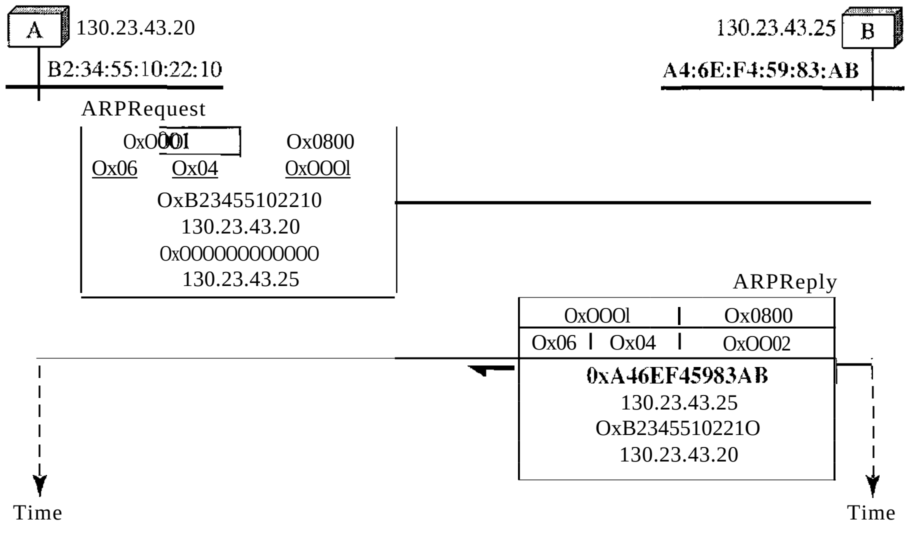
An ARP request is broadcast; an ARP reply is unicast.

Example 21.1

A host with IP address 130.23.43.20 and physical address B2:34:55:10:22:10 has a packet to send to another host with IP address 130.23.43.25 and physical address A4:6E:F4:59:83:AB (which is unknown to the first host). The two hosts are on the same Ethernet network. Show the ARP request and reply packets encapsulated in Ethernet frames.

Solution
Figure 21.5 shows the ARP request and reply packets. Note that the ARP data field in this case is 28 bytes, and that the individual addresses do not fit in the 4-byte boundary. That is why we do not show the regular 4-byte boundaries for these addresses.

Figure 21.5 *Example 21.1, an ARP request and reply*

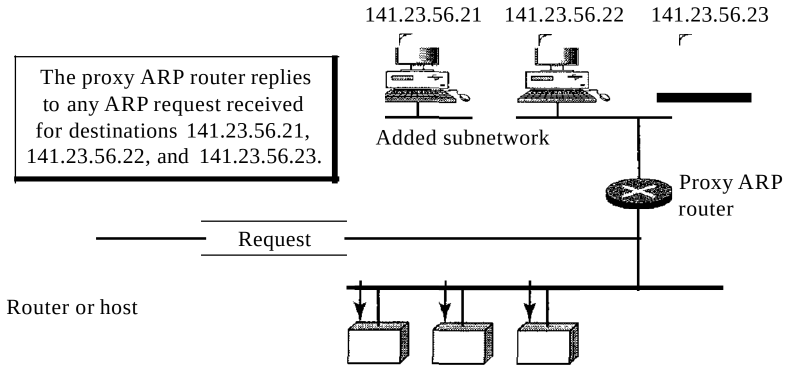


Proxy ARP

A technique called *proxy* ARP is used to create a subnetting effect. A proxy ARP is an ARP that acts on behalf of a set of hosts. Whenever a router running a proxy ARP receives an ARP request looking for the IP address of one of these hosts, the router sends an ARP reply announcing its own hardware (physical) address. After the router receives the actual IP packet, it sends the packet to the appropriate host or router.

Let us give an example. In Figure 21.6 the ARP installed on the right-hand host will answer only to an ARP request with a target IP address of 141.23.56.23.

Figure 21.6 *Proxy ARP*


141.23.56.21
141.23.56.22
141.23.56.23
The proxy ARP router replies to any ARP request received for destinations 141.23.56.21, 141.23.56.22, and 141.23.56.23.
Added subnetwork
Proxy ARP router
Request
Router or host

However, the administrator may need to create a subnet without changing the whole system to recognize subnetted addresses. One solution is to add a router running a proxy ARP. In this case, the router acts on behalf of all the hosts installed on the subnet. When it receives an ARP request with a target IP address that matches the address of one of its protégés (141.23.56.21, 141.23.56.22, or 141.23.56.23), it sends an ARP reply and announces its hardware address as the target hardware address. When the router receives the IP packet, it sends the packet to the appropriate host.

Mapping Physical to Logical Address: RARP, BOOTP, and DHCP

There are occasions in which a host knows its physical address, but needs to know its logical address. This may happen in two cases:

1. A diskless station is just booted. The station can find its physical address by checking its interface, but it does not know its IP address.
2. An organization does not have enough IP addresses to assign to each station; it needs to assign IP addresses on demand. The station can send its physical address and ask for a short time lease.

RARP

Reverse Address Resolution Protocol (RARP) finds the logical address for a machine that knows only its physical address. Each host or router is assigned one or more logical (IP) addresses, which are unique and independent of the physical (hardware) address of the machine. To create an IP datagram, a host or a router needs to know its own IP address or addresses. The IP address of a machine is usually read from its configuration file stored on a disk file.

However, a diskless machine is usually booted from ROM, which has minimum booting information. The ROM is installed by the manufacturer. It cannot include the IP address because the IP addresses on a network are assigned by the network administrator.

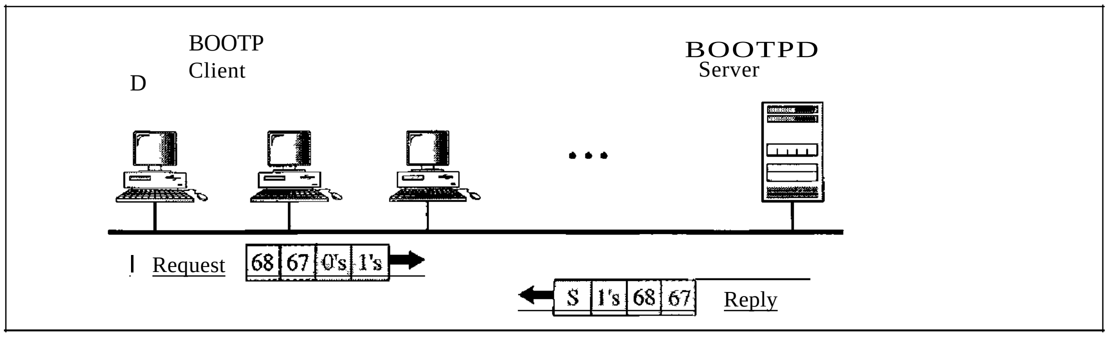
The machine can get its physical address (by reading its NIC, for example), which is unique locally. It can then use the physical address to get the logical address by using the RARP protocol. A RARP request is created and broadcast on the local network. Another machine on the local network that knows all the IP addresses will respond with a RARP reply. The requesting machine must be running a RARP client program; the responding machine must be running a RARP server program.

There is a serious problem with RARP: Broadcasting is done at the data link layer. The physical broadcast address, allis in the case of Ethernet, does not pass the boundaries of a network. This means that if an administrator has several networks or several subnets, it needs to assign a RARP server for each network or subnet. This is the reason that RARP is almost obsolete. Two protocols, BOOTP and DHCp, are replacing RARP.

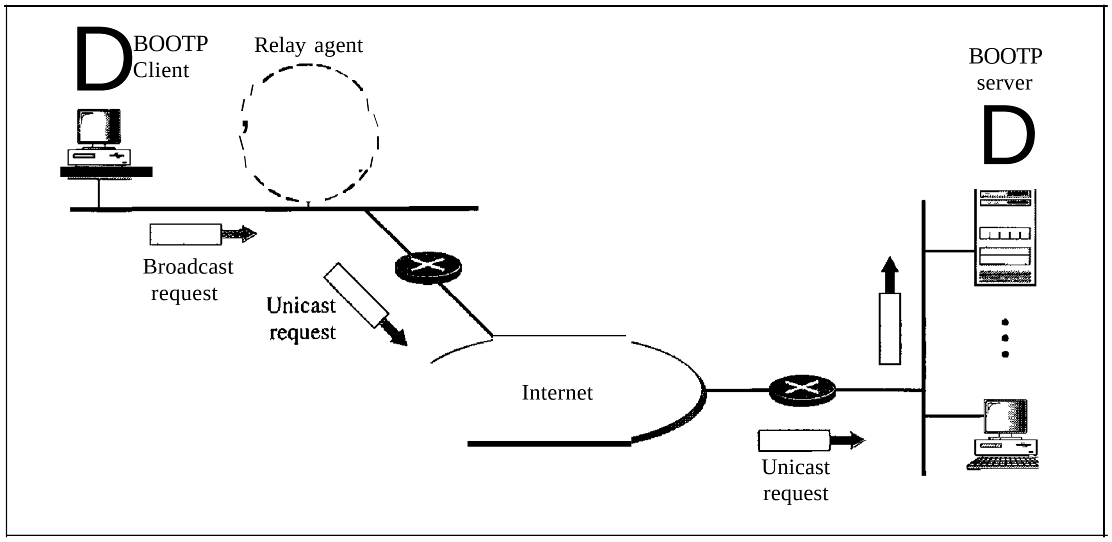
BOOTP

The Bootstrap Protocol (BOOTP) is a client/server protocol designed to provide physical address to logical address mapping. BOOTP is an application layer protocol. The administrator may put the client and the server on the same network or on different networks, as shown in Figure 21.7. BOOTP messages are encapsulated in a UDP packet, and the UDP packet itself is encapsulated in an IP packet.

Figure 21.7 *BOOTP client and server on the same and different network*



a. Client and server on the same network



b. Client and server on different networks

The reader may ask how a client can send an IP datagram when it knows neither its own IP address (the source address) nor the server's IP address (the destination address). The client simply uses all as as the source address and allIs as the destination address.

One of the advantages of BOOTP over RARP is that the client and server are application-layer processes. As in other application-layer processes, a client can be in one network and the server in another, separated by several other networks. However, there is one problem that must be solved. The BOOTP request is broadcast because the client does not know the IP address of the server. A broadcast IP datagram cannot pass through any router. To solve the problem, there is a need for an intermediary. One of the hosts (or a router that can be configured to operate at the application layer) can be used as a relay. The host in this case is called a relay agent. The relay agent knows the unicast address of a BOOTP server. When it receives this type of packet, it encapsulates the message in a unicast datagram and sends the request to the BOOTP server. The packet, carrying a unicast destination address, is routed by any router and reaches the BOOTP server. The BOOTP server knows the message comes from a relay agent because one of the fields in the request message defines the IP address of the relay agent. The relay agent, after receiving the reply, sends it to the BOOTP client.

DHCP

BOOTP is not a dynamic configuration protocol. When a client requests its IP address, the BOOTP server consults a table that matches the physical address of the client with its IP address. This implies that the binding between the physical address and the IP address of the client already exists. The binding is predetermined.

However, what if a host moves from one physical network to another? What if a host wants a temporary IP address? BOOTP cannot handle these situations because the binding between the physical and IP addresses is static and fixed in a table until changed by the administrator. BOOTP is a static configuration protocol.

The Dynamic Host Configuration Protocol (DHCP) has been devised to provide static and dynamic address allocation that can be manual or automatic.

DHCP provides static and dynamic address allocation that can be manual or automatic.

Static Address Allocation In this capacity DHCP acts as BOOTP does. It is backward-compatible with BOOTP, which means a host running the BOOTP client can request a static address from a DHCP server. A DHCP server has a database that statically binds physical addresses to IP addresses.

Dynamic Address Allocation DHCP has a second database with a pool of available IP addresses. This second database makes DHCP dynamic. When a DHCP client requests a temporary IP address, the DHCP server goes to the pool of available (unused) IP addresses and assigns an IP address for a negotiable period of time.

When a DHCP client sends a request to a DHCP server, the server first checks its static database. If an entry with the requested physical address exists in the static database, the permanent IP address of the client is returned. On the other hand, if the entry does not exist in the static database, the server selects an IP address from the available pool, assigns the address to the client, and adds the entry to the dynamic database.

The dynamic aspect of DHCP is needed when a host moves from network to network or is connected and disconnected from a network (as is a subscriber to a service provider). DHCP provides temporary IP addresses for a limited time.

The addresses assigned from the pool are temporary addresses. The DHCP server issues a lease for a specific time. When the lease expires, the client must either stop using the IP address or renew the lease. The server has the option to agree or disagree with the renewal. If the server disagrees, the client stops using the address.

Manual and Automatic Configuration One major problem with the BOOTP protocol is that the table mapping the IP addresses to physical addresses needs to be manually configured. This means that every time there is a change in a physical or IP address, the administrator needs to manually enter the changes. DHCP, on the other hand, allows both manual and automatic configurations. Static addresses are created manually; dynamic addresses are created automatically.

21.2 ICMP

As discussed in Chapter 20, the IP provides unreliable and connectionless datagram delivery. It was designed this way to make efficient use of network resources. The IP protocol is a best-effort delivery service that delivers a datagram from its original source to its final destination. However, it has two deficiencies: lack of error control and lack of assistance mechanisms.

The IP protocol has no error-reporting or error-correcting mechanism. What happens if something goes wrong? What happens if a router must discard a datagram because it cannot find a router to the final destination, or because the time-to-live field has a zero value? What happens if the final destination host must discard all fragments of a datagram because it has not received all fragments within a predetermined time limit? These are examples of situations where an error has occurred and the IP protocol has no built-in mechanism to notify the original host.

The IP protocol also lacks a mechanism for host and management queries. A host sometimes needs to determine if a router or another host is alive. And sometimes a network administrator needs information from another host or router.

The Internet Control Message Protocol (ICMP) has been designed to compensate for the above two deficiencies. It is a companion to the IP protoco1.

Types of Messages

ICMP messages are divided into two broad categories: error-reporting messages and query messages.

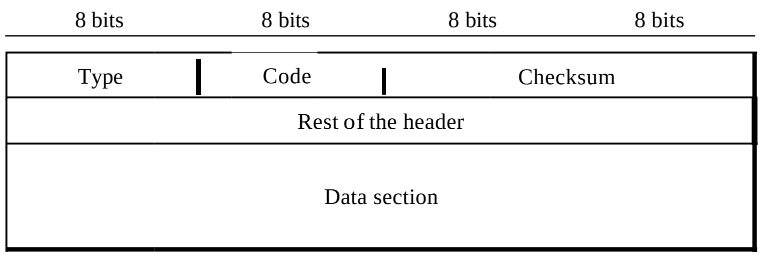
The error-reporting messages report problems that a router or a host (destination) may encounter when it processes an IP packet.

The query messages, which occur in pairs, help a host or a network manager get specific information from a router or another host. For example, nodes can discover their neighbors. Also, hosts can discover and learn about routers on their network, and routers can help a node redirect its messages.

Message Format

An ICMP message has an 8-byte header and a variable-size data section. Although the general format of the header is different for each message type, the first 4 bytes are common to all. As Figure 21.8 shows, the first field, ICMP type, defines the type of the

Figure 21.8 *Generalformat of[CM? messages*



message. The code field specifies the reason for the particular message type. The last common field is the checksum field (to be discussed later in the chapter). The rest of the header is specific for each message type.

The data section in error messages carries information for finding the original packet that had the error. In query messages, the data section carries extra information based on the type of the query.

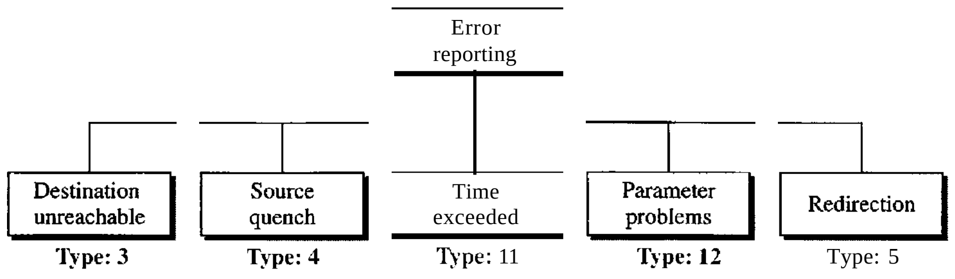
Error Reporting

One of the main responsibilities of ICMP is to report errors. Although technology has produced increasingly reliable transmission media, errors still exist and must be handled. IP, as discussed in Chapter 20, is an unreliable protocol. This means that error checking and error control are not a concern of IP. ICMP was designed, in part, to compensate for this shortcoming. However, ICMP does not correct errors-it simply reports them. Error correction is left to the higher-level protocols. Error messages are always sent to the original source because the only information available in the datagram about the route is the source and destination IP addresses. ICMP uses the source IP address to send the error message to the source (originator) of the datagram.

ICMP always reports error messages to the original source.

Five types of errors are handled: destination unreachable, source quench, time exceeded, parameter problems, and redirection (see Figure 21.9).

Figure 21.9 *Error-reporting messages*

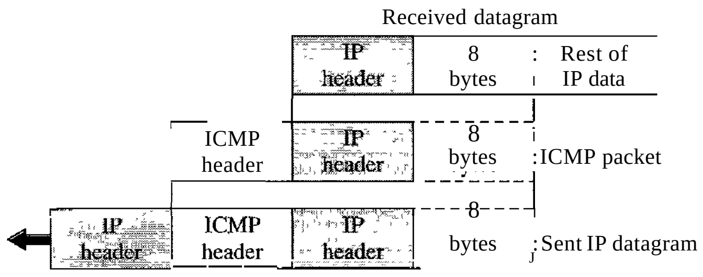


The following are important points about ICMP error messages:

- No ICMP error message will be generated in response to a datagram carrying an ICMP error message.
- No ICMP error message will be generated for a fragmented datagram that is not the first fragment.
- No IeMP error message will be generated for a datagram having a multicast address.
- No ICMP error message will be generated for a datagram having a special address such as 127.0.0.0 or 0.0.0.0.

Note that all error messages contain a data section that includes the IP header of the original datagram plus the first 8 bytes of data in that datagram. The original datagram header is added to give the original source, which receives the error message, information about the datagram itself. The 8 bytes of data are included because, as we will see in Chapter 23 on UDP and TCP protocols, the first 8 bytes provide information about the port numbers (UDP and TCP) and sequence number (TCP). This information is needed so the source can inform the protocols (TCP or UDP) about the error. ICMP forms an error packet, which is then encapsulated in an IP datagram (see Figure 21.10).

Figure 21.10 *Contents of data field for the error messages*



Destination Unreachable

When a router cannot route a datagram or a host cannot deliver a datagram, the datagram is discarded and the router or the host sends a destination-unreachable message back to the source host that initiated the datagram. Note that destination-unreachable messages can be created by either a router or the destination host.

Source Quench

The IP protocol is a connectionless protocol. There is no communication between the source host, which produces the datagram, the routers, which forward it, and the destination host, which processes it. One of the ramifications of this absence of communication is the lack of *flow control.* IP does not have a flow control mechanism embedded in the protocol. The lack of flow control can create a major problem in the operation of IP: congestion. The source host never knows if the routers or the destination host has been overwhelmed with datagrams. The source host never knows if it is producing datagrams faster than can be forwarded by routers or processed by the destination host.

The lack of flow control can create congestion in routers or the destination host. A router or a host has a limited-size queue (buffer) for incoming datagrams waiting to be forwarded (in the case of a router) or to be processed (in the case of a host). If the datagrams are received much faster than they can be forwarded or processed, the queue may overflow. In this case, the router or the host has no choice but to discard some of the datagrams. The source-quench message in ICMP was designed to add a kind of flow control to the IP. When a router or host discards a datagram due to congestion, it sends a source-quench message to the sender of the datagram. This message has two purposes. First, it informs the source that the datagram has been discarded. Second, it warns the source that there is congestion somewhere in the path and that the source should slow down (quench) the sending process.

Time Exceeded

The time-exceeded message is generated in two cases: As we see in Chapter 22, routers use routing tables to find the next hop (next router) that must receive the packet. If there are errors in one or more routing tables, a packet can travel in a loop or a cycle, going from one router to the next or visiting a series of routers endlessly. As we saw in Chapter 20, each datagram contains a field called *time to live* that controls this situation. When a datagram visits a router, the value of this field is decremented by 1. When the time-to-live value reaches 0, after decrementing, the router discards the datagram. However, when the datagram is discarded, a time-exceeded message must be sent by the router to the original source. Second, a time-exceeded message is also generated when not all fragments that make up a message arrive at the destination host within a certain time limit.

Parameter Problem

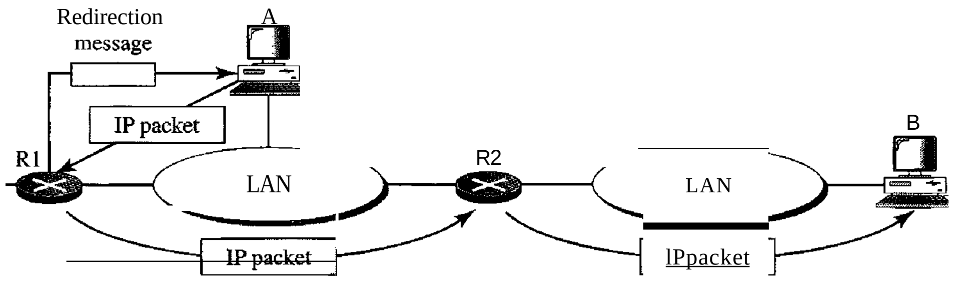
Any ambiguity in the header part of a datagram can Create serious problems as the datagram travels through the Internet. If a router or the destination host discovers an ambiguous or missing value in any field of the datagram, it discards the datagram and sends a parameter-problem message back to the source.

Redirection

When a router needs to send a packet destined for another network, it must know the IP address of the next appropriate router. The same is true if the sender is a host. Both routers and hosts, then, must have a routing table to find the address of the router or the next router. Routers take part in the routing update process, as we will see in Chapter 22, and are supposed to be updated constantly. Routing is dynamic.

However, for efficiency, hosts do not take part in the routing update process because there are many more hosts in an internet than routerS. Updating the routing tables of hosts dynamically produces unacceptable traffic. The hosts usually use static routing. When a host comes up, its routing table has a limited number of entries. It usually knows the IP address of only one router, the default router. For this reason, the host may send a datagram, which is destined for another network, to the wrong router. In this case, the router that receives the datagram will forward the datagram to the correct router. However, to update the routing table of the host, it sends a redirection message to the host. This concept of redirection is shown in Figure 21.11. Host A wants to send a datagram to host B.

Figure **21.11** *Redirection concept*



Router R2 is obviously the most efficient routing choice, but host A did not choose router R2. The datagram goes to R1 instead. Router R1, after consulting its table, finds that the packet should have gone to R2. It sends the packet to R2 and, at the same time, sends a redirection message to host A. Host A's routing table can now be updated.

Query

In addition to error reporting, ICMP can diagnose some network problems. This is accomplished through the query messages, a group of four different pairs of messages, as shown in Figure 21.12. In this type of ICMP message, a node sends a message that is answered in a specific format by the destination node. A query message is encapsulated in an IP packet, which in tum is encapsulated in a data link layer frame. However, in this case, no bytes of the original IP are included in the message, as shown in Figure 21.13.

Figure 21.12 *Query messages*

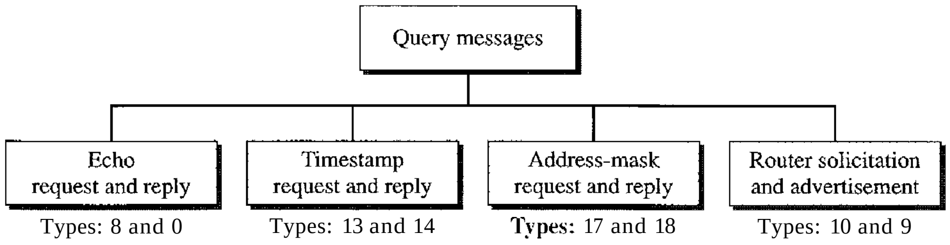
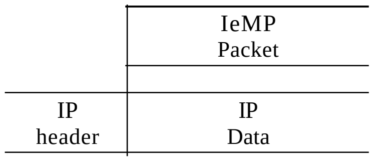


Figure 21.13 *Encapsulation ofICMP query messages*



Echo Request and Reply

The echo-request and echo-reply messages are designed for diagnostic purposes. Network managers and users utilize this pair of messages to identify network problems. The combination of echo-request and echo-reply messages detennines whether two systems (hosts or routers) can communicate with each other. The echo-request and echo-reply messages can be used to determine if there is communication at the IP level. Because ICMP messages are encapsulated in IP datagrams, the receipt of an echo-reply message by the machine that sent the echo request is proof that the IP protocols in the sender and receiver are communicating with each other using the IP datagram. Also, it is proof that the intermediate routers are receiving, processing, and forwarding IP datagrams. Today, most systems provide a version of the *ping* command that can create a series (instead of just one) of echo-request and echo-reply messages, providing statistical information. We will see the use of this program at the end of the chapter.

Timestamp Request and Reply

Two machines (hosts or routers) can use the timestamp request and timestamp reply messages to determine the round-trip time needed for an IP datagram to travel between them. It can also be used to synchronize the clocks in two machines.

Address-Mask Request and Reply

A host may know its IP address, but it may not know the corresponding mask. For example, a host may know its IP address as 159.31.17.24, but it may not know that the corresponding mask is /24. To obtain its mask, a host sends an address-mask-request message to a router on the LAN. If the host knows the address of the router, it sends the request directly to the router. If it does not know, it broadcasts the message. The router receiving the address-mask-request message responds with an address-mask-reply message, providing the necessary mask for the host. This can be applied to its full IP address to get its subnet address.

Router Solicitation and Advertisement

As we discussed in the redirection message section, a host that wants to send data to a host on another network needs to know the address of routers connected to its own network. Also, the host must know if the routers are alive and functioning. The router-solicitation and router-advertisement messages can help in this situation. A host can broadcast (or multicast) a router-solicitation message. The router or routers that receive the solicitation message broadcast their routing information using the router-advertisement message. A router can also periodically send router-advertisement messages even if no host has solicited. Note that when a router sends out an advertisement, it announces not only its own presence but also the presence of all routers on the network of which it is aware.

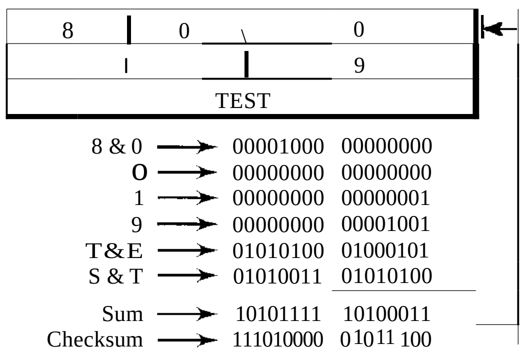
Checksum

In Chapter 10, we learned the concept and idea of the checksum. In ICMP the checksum is calculated over the entire message (header and data).

Example 21.2

Figure 21.14 shows an example of checksum calculation for a simple echo-request message. We randomly chose the identifier to be 1 and the sequence number to be 9. The message is divided

Figure 21.14 *Example of checksum calculation*



```
    8 & 0 ⟶ 00001000 00000000
        O ⟶ 00000000 00000000
        1 ⟶ 00000000 00000001
        9 ⟶ 00000000 00001001
    T&E   ⟶ 01010100 01000101
    S & T ⟶ 01010011 01010100
      Sum ⟶ 10101111 10100011
 Checksum ⟶ 111010000 01011100
```

into 16-bit (2-byte) words. The words are added and the sum is complemented. Now the sender can put this value in the checksum field.

Debugging Tools

There are several tools that can be used in the Internet for debugging. We can determine the viability of a host or router. We can trace the route of a packet. We introduce two tools that use ICMP for debugging: *ping* and *traceroute*. We will introduce more tools in future chapters after we have discussed the corresponding protocols.

Ping

We can use the *ping* program to find if a host is alive and responding. We use *ping* here to see how it uses ICMP packets.

The source host sends ICMP echo-request messages (type: 8, code: 0); the destination, if alive, responds with ICMP echo-reply messages. The *ping* program sets the identifier field in the echo-request and echo-reply message and stans the sequence number from 0; this number is incremented by 1 each time a new message is sent. Note that *ping* can calculate the round-trip time. It inserts the sending time in the data section of the message. When the packet arrives, it subtracts the arrival time from the departure time to get the round-trip time (RTT).

Example 21.3

We use the *ping* program to test the server fhda.edu. The result is shown below:

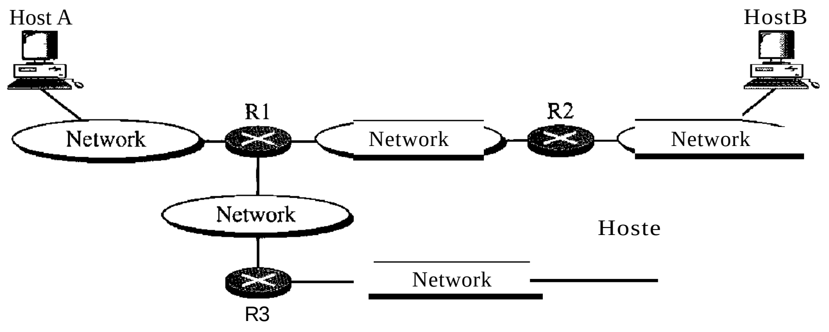
```
$ ping thda.edu
PING thda.edu (153.18.8.1)   56 (84)  bytes of data.
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=O    ttl=62    time=1.91 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=l    ttl=62    time=2.04 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=2    ttl=62    time=1.90 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=3    ttl=62    time=1.97 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=4    ttl=62    time=1.93 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=5    ttl=62    time=2.00 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=6    tt1=62    time=1.94 ms
64 bytes from tiptoe.:fhda.edu (153.18.8.1): icmp_seq=7   ttl=62    time=1.94 ms
64 bytes from tiptoe.:fhda.edu (153.18.8.1): icmp_seq=8   ttl=62    time=1.97 ms
64 bytes from tiptoe.fhda.edu (153.18.8.1): icmp_seq=9    ttl=62    time=1.89 ms
64 bytes from tiptoe.:fhda.edu (153.18.8.1): icmp_seq=lO  ttl==62   time=1.98 ms

--- thda.edu ping statistics ---
11 packets transmitted, 11 received, 0% packet loss, time 10103ms
    rtt minJavg/max = 1.899/1.955/2.041 ms
```

The *ping* program sends messages with sequence numbers starting from 0. For each probe it gives us the RTT time. The TTL (time to live) field in the IP datagram that encapsulates an ICMP message has been set to 62, which means the packet cannot travel mare than 62 hops. At the beginning, *ping* defines the number of data bytes as 56 and the total number of bytes as 84. It is obvious that if we add 8 bytes of ICMP header and 20 bytes of IP header to 56, the result is 84. However, note that in each probe *ping* defines the number of bytes as 64. This is the total number of bytes in the ICMP packet (56 + 8). The *ping* program continues to send messages, if we do not stop it by using the interrupt key (ctrl + c, for example). After it is interrupted, it prints the statistics of the probes. It tells us the number of packets sent, the number of packets received, the total time, and the RTT minimum, maximum, and average. Some systems may print more infonnation.

Tracerollte

The *traceroute* program in UNIX or *tracert* in Windows can be used to trace the route of a packet from the source to the destination. We have seen an application of the *traceroute* program to simulate the loose source route and strict source route options of an IP datagram in Chapter 20. We use this program in conjunction with ICMP packets in this chapter. The program elegantly uses two ICMP messages, time exceeded and destination unreachable, to find the route of a packet. This is a program at the application level that uses the services of UDP (see Chapter 23). Let us show the idea of the *traceroute* program by using Figure 21.15.

Figure 21.15 *The traceroute program operation*



Given the topology, we know that a packet from host A to host B travels through routers Rl and R2. However, most of the time, we are not aware of this topology. There could be several routes from A to B. The *traceroute* program uses the ICMP messages and the TTL (time to live) field in the IP packet to find the route.

1. The *traceroute* program uses the following steps to find the address of the router Rl and the round-trip time between host A and router Rl.
   a. The *traceroute* application at host A sends a packet to destination Busing UDP; the message is encapsulated in an IP packet with a TTL value of 1. The program notes the time the packet is sent.
   b. Router Rl receives the packet and decrements the value of TTL to 0. It then discards the packet (because TTL is 0). The router, however, sends a time-exceeded ICMP message (type: 11, code: 0) to show that the TTL value is 0 and the packet was discarded.
   c. The *traceroute* program receives the ICMP messages and uses the destination address of the IP packet encapsulating ICMP to find the IP address of router Rl. The program also makes note of the time the packet has arrived. The difference between this time and the time at step a is the round-trip time.

The *traceroute* program repeats steps a to c three times to get a better average round-trip time. The first trip time may be much longer than the second or third because it takes time for the ARP program to find the physical address of router RI. For the second and third trips, ARP has the address in its cache.

2. The *traceroute* program repeats the previous steps to find the address of router R2 and the round-trip time between host A and router R2. However, in this step, the value of TTL is set to 2. So router RI forwards the message, while router R2 discards it and sends a time-exceeded ICMP message.
3. The *traceroute* program repeats step 2 to find the address of host B and the round-trip time between host A and host B. When host B receives the packet, it decrements the value of TIL, but it does not discard the message since it has reached its final destination. How can an ICMP message be sent back to host A? The *traceroute* program uses a different strategy here. The destination port of the UDP packet is set to one that is not supported by the UDP protocol. When host B receives the packet, it cannot find an application program to accept the delivery. It discards the packet and sends an ICMP destination-unreachable message (type: 3, code: 3) to host A. Note that this situation does not happen at router RI or R2 because a router does not check the UDP header. The *traceroute* program records the destination address of the arrived IP datagram and makes note of the round-trip time. Receiving the destination-unreachable message with a code value 3 is an indication that the whole route has been found and there is no need to send more packets.

Example 21.4

We use the *traceroute* program to find the route from the computer voyager.deanza.edu to the server fhda.edu. The following shows the result:

```
$ traceroute fbda.edu
traceroute to fbda.edu    (153.18.8.1),30 hops max, 38 byte packets
 1  Dcore.fhda.edu        (153.18.31.254)    0.995 ms     0.899 ms     0.878 ms
 2  Dbackup.fhda.edu      (153.18.251.4)     1.039 fiS    1.064 fiS    1.083 fiS
 3  tiptoe.fhda.edu       (153.18.8.1)       1.797 illS   1.642 ms     1.757 fiS
```

The unnumbered line after the command shows that the destination is 153.18.8.1. The TIL value is 30 hops. The packet contains 38 bytes: 20 bytes of IP header, 8 bytes of UDP header, and 10 bytes of application data. The application data are used by *traceroute* to keep track of the packets.

The first line shows the first router visited. The router is named Dcore.fhda.edu with IP address 153.18.31.254. The first round-trip time was 0.995 ms, the second was 0.899 ms, and the third was 0.878 ms.

The second line shows the second router visited. The router is named Dbackup.fhda.edu with IP address 153.18.251.4. The three round-trip times are also shown.

The third line shows the destination host. We know that this is the destination host because there are no more lines. The destination host is the server thda.edu, but it is named tiptoe.fhda.edu with the IP address 153.18.8.1. The three round-trip times are also shown.

Example 21.5

In this example, we trace a longer route, the route to xerox.com.

```
$ traceroute xerox.com
traceroute to xerox.com (13.1.64.93), 30 hops max, 38 byte packets
  1 Dcore.fbda.edu      (153.18.31.254)       0.622 ms    0.891 ms    0.875 ms
  2 Ddmz.fbda.edu       (153.18.251.40)       2.132 ms    2.266 ms    2.094ms
  3 Cinic.fhda.edu      (153.18.253.126)      2.110 ms    2.145 ms    1.763 ms
  4 cenic.net           (137.164.32.140)      3.069 ms    2.875 ms    2.930ms
  5 cenic.net           (137.164.22.31)       4.205 ms    4.870 ms    4.197 ms

 14 snfc21.pbi.net      (151.164.191.49)      7.656 ms    7.129 ms    6.866ms
 15 sbcglobaLnet        (151.164.243.58)      7.844 ms    7.545 ms    7.353 ms
 16 pacbell.net         (209.232.138.114)     9.857 ms    9.535 ms    9.603 ms
 17 209.233.48.223      (209.233.48.223)     10.634ms    10.771 ms   10.592 ms
 18 alpha.Xerox.COM     (13.1.64.93)         11.172 ms   11.048 ms   10.922ms
```

Here there are 17 hops between source and destination. Note that some round-trip times look unusual. It could be that a router was too busy to process the packet immediately.

21.3 IGMP

The IP protocol can be involved in two types of communication: unicasting and multicasting. Unicasting is the communication between one sender and one receiver. It is a one-to-one communication. However, some processes sometimes need to send the same message to a large number of receivers simultaneously. This is called multicasting, which is a one-to-many communication. Multicasting has many applications. For example, multiple stockbrokers can simultaneously be informed of changes in a stock price, or travel agents can be informed of a plane cancellation. Some other applications include distance learning and video-on-demand.

The Internet Group Management Protocol (IGMP) is one of the necessary, but not sufficient (as we will see), protocols that is involved in multicasting. IGMP is a companion to the IP protocol.

Group Management

For multicasting in the Internet we need routers that are able to route multicast packets. The routing tables of these routers must be updated by using one of the multicasting routing protocols that we discuss in Chapter 22.

IGMP is not a multicasting routing protocol; it is a protocol that manages group membership. In any network, there are one or more multicast routers that distribute multicast packets to hosts or other routers. The IGMP protocol gives the multicast routers information about the membership status of hosts (routers) connected to the network.

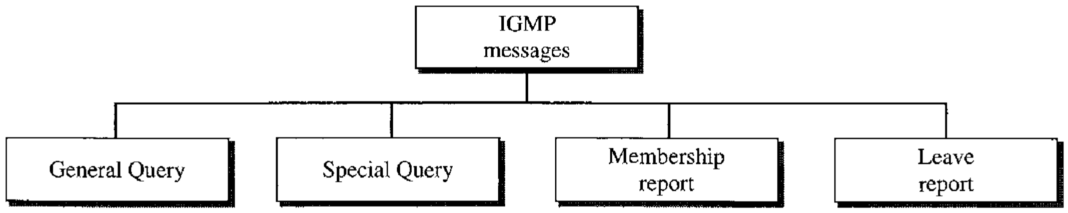
A multicast router may receive thousands of multicast packets every day for different groups. If a router has no knowledge about the membership status of the hosts, it must broadcast all these packets. This creates a lot of traffic and consumes bandwidth. A better solution is to keep a list of groups in the network for which there is at least one loyal member. IGMP helps the multicast router create and update this list.

IGMP is a group management protocol. It helps a multicast router create and update a list of loyal members related to each router interface.

IGMP Messages

IOMP has gone through two versions. We discuss IOMPv2, the current version. IOMPv2 has three types of messages: the query, the membership report, and the leave report. There are two types of query messages: general and special (see Figure 21.16).

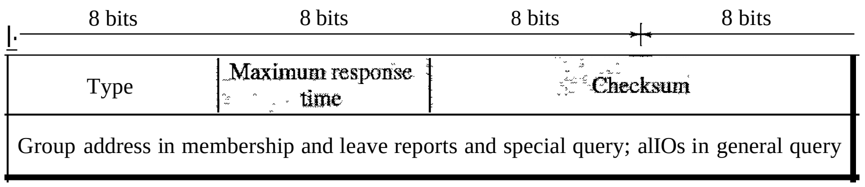
Figure 21.16 *IGMP message types*



Message Format

Figure 21.17 shows the format of an IOMP (version 2) message.

Figure 21.17 *IGMP message fonnat*


8 bits
8 bits
8 bits
8 bits
Type
Maximum response time
Checksum
Group address in membership and leave reports and special query; allOs in general query

O Type. This 8-bit field defines the type of message, as shown in Table 21.1. The value of the type is shown in both hexadecimal and binary notation.

Table 21.1 *IGMP type field*

Type	*Value*
General or special query	Ox11 or 00010001
Membership report	Ox16 or 00010110
Leave report	Ox17 or 00010111

O Maximum Response Time. This 8-bit field defines the amount of time in which a query must be answered. The value is in tenths of a second; for example, if the value is 100, it means 10 s. The value is nonzero in the query message; it is set to zero in the other two message types. We will see its use shortly.

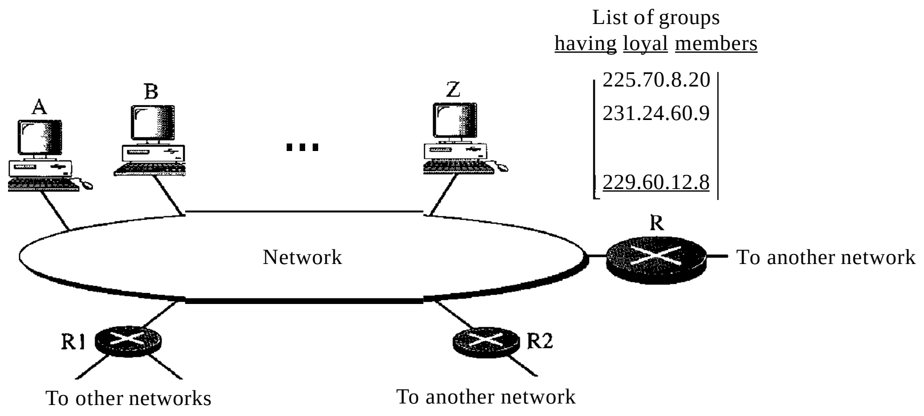
D Checksum. This is a 16-bit field carrying the checksum. The checksum is calculated over the 8-byte message.

D Group address. The value of this field is 0 for a general query message. The value defines the groupid (multicast address of the group) in the special query, the membership report, and the leave report messages.

IGMP Operation

IGMP operates locally. A multicast router connected to a network has a list of multicast addresses of the groups with at least one loyal member in that network (see Figure 21.18).

Figure 21.18 *IGMP operation*



For each group, there is one router that has the duty of distributing the multicast packets destined for that group. This means that if there are three multicast routers connected to a network, their lists of groupids are mutually exclusive. For example, in Figure 21.18 only router R distributes packets with the multicast address of225.70.8.20.

A host or multicast router can have membership in a group. When a host has membership, it means that one of its processes (an application program) receives multicast packets from some group. When a router has membership, it means that a network connected to one of its other interfaces receives these multicast packets. We say that the host or the router has an *interest* in the group. In both cases, the host and the router keep a list of groupids and relay their interest to the distributing router.

For example, in Figure 21.18, router R is the distributing router. There are two other multicast routers (R1 and R2) that, depending on the group list maintained by router R, could be the recipients of router R in this network. Routers R1 and R2 may be distributors for some of these groups in other networks, but not on this network.

Joining a Group

A host or a router can join a group. A host maintains a list of processes that have membership in a group. When a process wants to join a new group, it sends its request to the host.

The host adds the name of the process and the name of the requested group to its list. If this is the first entry for this particular group, the host sends a membership report message. If this is not the first entry, there is no need to send the membership report since the host is already a member of the group; it already receives multicast packets for this group.

The protocol requires that the membership report be sent twice, one after the other within a few moments. In this way, if the first one is lost or damaged, the second one replaces it.

In IGMP, a membership report is sent twice, one after the other.

Leaving a Group

When a host sees that no process is interested in a specific group, it sends a leave report. Similarly, when a router sees that none of the networks connected to its interfaces is interested in a specific group, it sends a leave report about that group.

However, when a multicast router receives a leave report, it cannot immediately purge that group from its list because the report comes from just one host or router; there may be other hosts or routers that are still interested in that group. To make sure, the router sends a special query message and inserts the groupid, or multicast address, related to the group. The router allows a specified time for any host or router to respond. If, during this time, no interest (membership report) is received, the router assumes that there are no loyal members in the network and purges the group from its list.

Monitoring Membership

A host or router can join a group by sending a membership report message. It can leave a group by sending a leave report message. However, sending these two types of reports is not enough. Consider the situation in which there is only one host interested in a group, but the host is shut down or removed from the system. The multicast router will never receive a leave report. How is this handled? The multicast router is responsible for monitoring all the hosts or routers in a LAN to see if they want to continue their membership in a group.

The router periodically (by default, every 125 s) sends a general query message. In this message, the group address field is set to 0.0.0.0. This means the query for membership continuation is for all groups in which a host is involved, not just one.

The general query message does not define a particular group.

The router expects an answer for each group in its group list; even new groups may respond. The query message has a maximum response time of 10 s (the value of the field is actually 100, but this is in tenths of a second). When a host or router receives the general query message, it responds with a membership report if it is interested in a group. However, if there is a common interest (two hosts, for example, are interested in the same group), only one response is sent for that group to prevent unnecessary traffic. This is called a delayed response. Note that the query message must be sent by only one router (normally called the query router), also to prevent unnecessary traffic. We discuss this issue shortly.

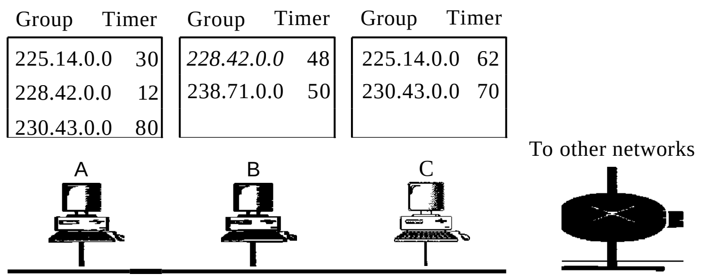
Delayed Response

To prevent unnecessary traffic, IGMP uses a delayed response strategy. When a host or router receives a query message, it does not respond immediately; it delays the response. Each host or router uses a random number to create a timer, which expires between I and lOs. The expiration time can be in steps of I s or less. A timer is set for each group in the list. For example, the timer for the first group may expire in 2 s, but the timer for the third group may expire in 5 s. Each host or router waits until its timer has expired before sending a membership report message. During this waiting time, if the timer of another host or router, for the same group, expires earlier, that host or router sends a membership report. Because, as we will see shortly, the report is broadcast, the waiting host or router receives the report and knows that there is no need to send a duplicate report for this group; thus, the waiting station cancels its corresponding timer.

Example 21.6

Imagine there are three hosts in a network, as shown in Figure 21.19.

Figure 21.19 *Example 21.6*



A query message was received at time 0; the random delay time (in tenths of seconds) for each group is shown next to the group address. Show the sequence of report messages.

Solution

The events occur in this sequence:

a. Time 12: The timer for 228.42.0.0 in host A expires, and a membership report is sent, which is received by the router and every host including host B which cancels its timer for 228.42.0.0.

b. Time 30: The timer for 225.14.0.0 in host A expires, and a membership report is sent, which is received by the router and every host including host C which cancels its timer for 225.14.0.0.

c. Time 50: The timer for 238.71.0.0 in host B expires, and a membership report is sent, which is received by the router and every host.

d. Time 70: The timer for 230.43.0.0 in host C expires, and a membership report is sent, which is received by the router and every host including host A which cancels its timer for 230.43.0.0.

Note that if each host had sent a report for every group in its list, there would have been seven reports; with this strategy only four reports are sent.

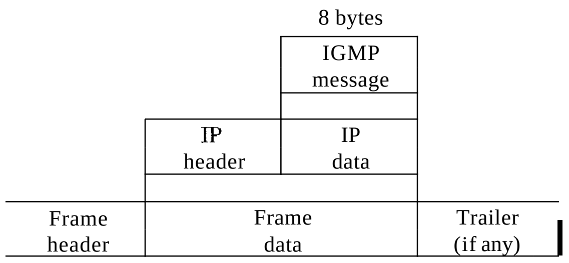
Query Router

Query messages may create a lot of responses. To prevent unnecessary traffic, IGMP designates one router as the query router for each network. Only this designated router sends the query message, and the other routers are passive (they receive responses and update their lists).

Encapsulation

The IGMP message is encapsulated in an IP datagram, which is itself encapsulated in a frame. See Figure 21.20.

Figure 21.20 *Encapsulation ofIGMP packet*



Encapsulation at Network Layer

The value of the protocol field is 2 for the IGMP protocol. Every IP packet carrying this value in its protocol field has data delivered to the IGMP protocol. When the message is encapsulated in the IP datagram, the value of TTL must be 1. This is required because the domain of IGMP is the LAN. No IGMP message must travel beyond the LAN. A TTL value of 1 guarantees that the message does not leave the LAN since this value is decremented to 0 by the next router and, consequently, the packet is discarded. Table 21.2 shows the destination IP address for each type of message.

The IP packet that carries an IGMP packet has a value of 1 in its TTL field.

Table 21.2 *Destination IP addresses*

Type	*IP Destination Address*
Query	224.0.0.1 All systems on this subnet
Membership report	The multicast address of the group
Leave report	224.0.0.2 All routers on this subnet

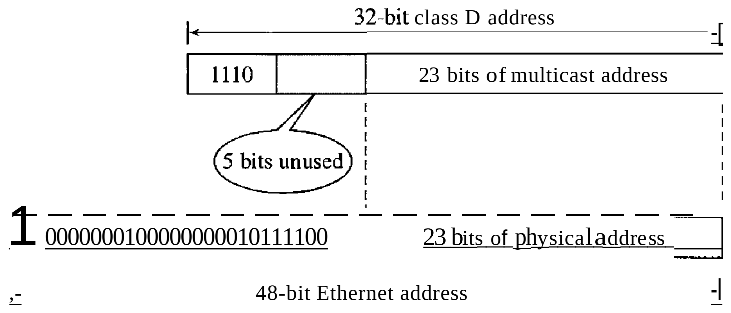
A query message is multicast by using the multicast address 224.0.0.1 All hosts and all routers will receive the message. A membership report is multicast using a destination address equal to the multicast address being reported (groupid). Every station (host or router) that receives the packet can immediately determine (from the header) the group for which a report has been sent. As discussed previously, the timers for the corresponding unsent reports can then be canceled. Stations do not need to open the packet to find the groupid. This address is duplicated in a packet; it's part of the message itself and also a field in the IP header. The duplication prevents errors. A leave report message is multicast using the multicast address 224.0.0.2 (all routers on this subnet) so that routers receive this type of message. Hosts receive this message too, but disregard it.

Encapsulation at Data Link Layer

At the network layer, the IGMP message is encapsulated in an IP packet and is treated as an IP packet. However, because the IP packet has a multicast IP address, the ARP protocol cannot find the corresponding MAC (physical) address to forward the packet at the data link layer. What happens next depends on whether the underlying data link layer supports physical multicast addresses.

Physical Multicast Support Most LANs support physical multicast addressing. Ethernet is one of them. An Ethernet physical address (MAC address) is six octets (48 bits) long. If the first 25 bits in an Ethernet address are 0000000100000000010111100, this identifies a physical multicast address for the TCP/IP protocol. The remaining 23 bits can be used to define a group. To convert an IP multicast address into an Ethernet address, the multicast router extracts the least significant 23 bits of a class D IP address and inserts them into a multicast Ethernet physical address (see Figure 21.21).

Figure 21.21 *Mapping class D to Ethernet physical address*



However, the group identifier of a class D IP address is 28 bits long, which implies that 5 bits is not used. This means that 32 (25) multicast addresses at the IP level are mapped to a single multicast address. In other words, the mapping is many-to-one instead of one-to-one. If the 5 leftmost bits of the group identifier of a class D address are not all zeros, a host may receive packets that do not really belong to the group in which it is involved. For this reason, the host must check the IP address and discard any packets that do not belong to it.

Other LANs support the same concept but have different methods of mapping.

An Ethernet multicast physical address is in the range
01:00:5E:00:OO:OO to 01:00:5E:7F:FF:FF.

Example 21.7

Change the multicast IP address 230.43.14.7 to an Ethernet multicast physical address.

Solution

We can do this in two steps:

a. We write the rightmost 23 bits of the IP address in hexadecimal. This can be done by changing the rightmost 3 bytes to hexadecimal and then subtracting 8 from the leftmost digit if it is greater than or equal to 8. In our example, the result is 2B:OE:07.
b. We add the result of part a to the starting Ethernet multicast address, which is 01:00:5E:00:00:00. The result is

01:00:5E:2B:OE:07

Example 21.8

Change the multicast IP address 238.212.24.9 to an Ethernet multicast address.

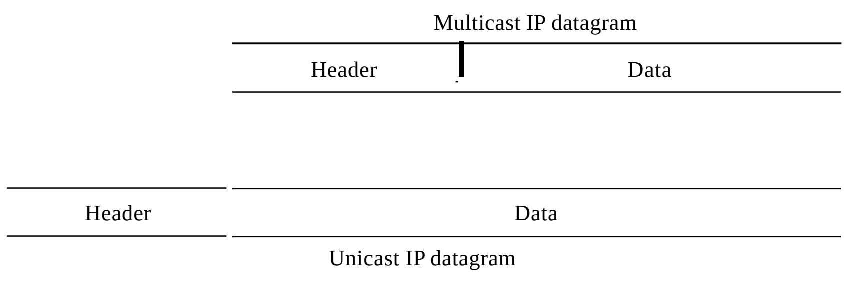
Solution

a. The rightmost 3 bytes in hexadecimal is D4:18:09. We need to subtract 8 from the leftmost digit, resulting in 54:18:09.
b. We add the result of part a to the Ethernet multicast starting address. The result is

01:00:5E:54:18:09

No Physical Multicast Support Most WANs do not support physical multicast addressing. To send a multicast packet through these networks, a process called *tunneling* is used. In tunneling, the multicast packet is encapsulated in a unicast packet and sent through the network, where it emerges from the other side as a multicast packet (see Figure 21.22).

Figure 21.22 *Tunneling*



Netstat **Utility**

The *netstat* utility can be used to find the multicast addresses supported by an interface.

Example 21.9

We use *netstat* with three options: -n, -r, and -a. The -n option gives the numeric versions of IP addresses, the -r option gives the routing table, and the -a option gives all addresses (unicast and multicast). Note that we show only the fields relative to our discussion. "Gateway" defines the router, "Iface" defines the interface.

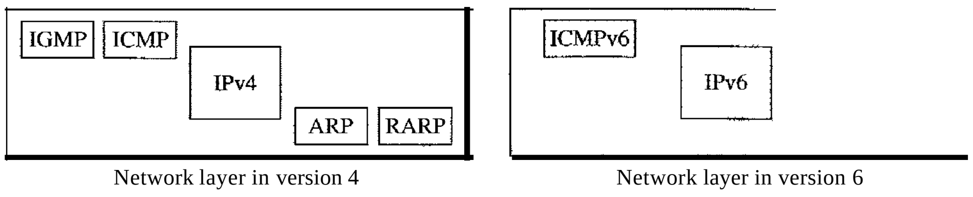
```
$ netstat -nra
Kernel IP routing table
Destination      Gateway          Mask             Flags     Iface
153.18.16.0      0.0.0.0          255.255.240.0    U         ethO
169.254.0.0      0.0.0.0          255.255.0.0      U         ethO
127.0.0.0        0.0.0.0          255.0.0.0        U         10
224.0.0.0        0.0.0.0          224.0.0.0        u         ethO
0.0.0.0          153.18.31.254    0.0.0.0          va        ethO
```

Nate that the multicast address is shown in color. Any packet with a multicast address from 224.0.0.0 to 239.255.255.255 is masked and delivered to the Ethernet interface.

21.4 ICMPv6

We discussed 1Pv6 in Chapter 20. Another protocol that has been modified in version 6 of the TCPIIP protocol suite is ICMP (ICMPv6). This new version follows the same strategy and purposes of version 4. ICMPv4 has been modified to make it more suitable for IPv6. In addition, some protocols that were independent in version 4 are now part of Internet-working Control Message Protocol (ICMPv6). Figure 21.23 compares the network layer of version 4 to version 6.

Figure 21.23 *Comparison ofnetwork layers in version 4 and version 6*



The ARP and IGMP protocols in version 4 are combined in ICMPv6. The RARP protocol is dropped from the suite because it was rarely used and BOOTP has the same functionality.

Just as in ICMPv4, we divide the ICMP messages into two categories. However, each category has more types of messages than before.

Error Reporting

As we saw in our discussion of version 4, one of the main responsibilities of ICMP is to report errors. Five types of errors are handled: destination unreachable, packet too big, time exceeded, parameter problems, and redirection. ICMPv6 forms an error packet, which is then encapsulated in an IP datagram. This is delivered to the original source of the failed datagram. Table 21.3 compares the error-reporting messages of ICMPv4 with ICMPv6. The source-quench message is eliminated in version 6 because the priority and the flow label fields allow the router to control congestion and discard the least important messages. In this version, there is no need to inform the sender to slow down. The packet-too-big message is added because fragmentation is the responsibility of the sender in IPv6. If the sender does not make the right packet size decision, the router has no choice but to drop the packet and send an error message to the sender.

Table 21.3 *Comparison of error-reporting messages in ICMPv4 and ICMPv6*

Type of Message	*Version 4*	*Version 6*
Destination unreachable	Yes	Yes
Source quench	Yes	No
Packet too big	No	Yes
Time exceeded	Yes	Yes
Parameter problem	Yes	Yes
Redirection	Yes	Yes

Destination Unreachable

The concept of the destination-unreachable message is exactly the same as described for ICMP version 4.

Packet Too Big

This is a new type of message added to version 6. If a router receives a datagram that is larger than the maximum transmission unit (MTU) size of the network through which the datagram should pass, two things happen. First, the router discards the datagram and then an ICMP error packet-a packet-too-big message-is sent to the source.

Time Exceeded

This message is similar to the one in version 4.

Parameter Problem

This message is similar to its version 4 counterpart.

Redirection

The purpose of the redirection message is the same as described for version 4.

Query

In addition to error reporting, ICMP can diagnose some network problems. This is accomplished through the query messages. Four different groups of messages have been defined: echo request and reply, router solicitation and advertisement, neighbor solicitation and advertisement, and group membership. Table 21.4 shows a comparison between the query messages in versions 4 and 6. Two sets of query messages are eliminated from ICMPv6: time-stamp request and reply- and address-mask request and reply. The time-stamp request and reply messages are eliminated because they are implemented in other protocols such as TCP and because they were rarely used in the past. The address-mask request and reply messages are eliminated in IPv6 because the subnet section of an address allows the subscriber to use up to $2^{32} - 1$ subnets. Therefore, subnet masking, as defined in IPv4, is not needed here.

Table 21.4 *Comparison ofquery messages in ICMPv4 and ICMPv6*

Type ofMessage	*Version 4*	*Version 6*
Echo request and reply	Yes	Yes
Timestamp request and reply	Yes	No
Address-mask request and reply	Yes	No
Router solicitation and advertisement	Yes	Yes
Neighbor solicitation and advertisement	ARP	Yes
Group membership	IGMP	Yes

Echo Request and Reply

The idea and format of the echo request and reply messages are the same as those in version 4.

Router Solicitation and Advertisement

The idea behind the router-solicitation and -advertisement messages is the same as in version 4.

Neighbor Solicitation and Advertisement

As previously mentioned, the network layer in version 4 contains an independent protocol called Address Resolution Protocol (ARP). In version 6, this protocol is eliminated, and its duties are included in ICMPv6. The idea is exactly the same, but the format of the message has changed.

Group Membership

As previously mentioned, the network layer in version 4 contains an independent protocol called IGMP. In version 6, this protocol is eliminated, and its duties are included in ICMPv6. The purpose is exactly the same.

21.5 RECOMMENDED READING

For more details about subjects discussed in this chapter, we recommend the following books and site. The items in brackets [...Jrefer to the reference list at the end of the text.

CHAPTER 22

Network Layer: Delivery, Forwarding, and Routing

This chapter describes the delivery, forwarding, and routing of IP packets to their final destinations. Delivery refers to the way a packet is handled by the underlying networks under the control of the network layer. Forwarding refers to the way a packet is delivered to the next station. Routing refers to the way routing tables are created to help in forwarding.

Routing protocols are used to continuously update the routing tables that are consulted for forwarding and routing. In this chapter, we also briefly discuss common unicast and multicast routing protocols.

22.1 DELIVERY

The network layer supervises the handling of the packets by the underlying physical networks.We define this handling as the delivery of a packet.

Direct Versus Indirect Delivery

The delivery of a packet to its final destination is accomplished by using two different methods of delivery, direct and indirect, as shown in Figure 22.1.

Direct Delivery

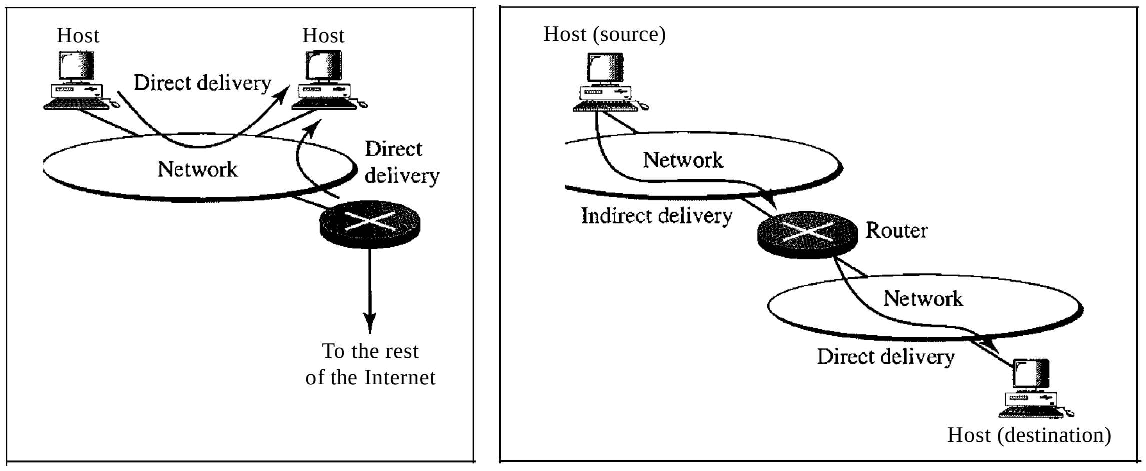
In a direct delivery, the final destination of the packet is a host connected to the same physical network as the deliverer. Direct delivery occurs when the source and destination of the packet are located on the same physical network or when the delivery is between the last router and the destination host.

The sender can easily determine if the delivery is direct. It can extract the network address of the destination (using the mask) and compare this address with the addresses of the networks to which it is connected. If a match is found, the delivery is direct.

Indirect Delivery

If the destination host is not on the same network as the deliverer, the packet is delivered indirectly. In an indirect delivery, the packet goes from router to router until it reaches the one connected to the same physical network as its final destination. Note

Figure 22.1 *Direct and indirect delivery*



a. Direct delivery b. Indirect and direct delivery

that a delivery always involves one direct delivery but zero or more indirect deliveries. Note also that the last delivery is always a direct delivery.

22.2 FORWARDING

Forwarding means to place the packet in its route to its destination. Forwarding requires a host or a router to have a routing table. When a host has a packet to send or when a router has received a packet to be forwarded, it looks at this table to find the route to the final destination. However, this simple solution is impossible today in an internetwork such as the Internet because the number of entries needed in the routing table would make table lookups inefficient.

Forwarding Techniques

Several techniques can make the size of the routing table manageable and also handle issues such as security. We briefly discuss these methods here.

Next-Hop Method Versus Route Method

One technique to reduce the contents of a routing table is called the next-hop method. In this technique, the routing table holds only the address of the next hop instead of information about the complete route (route method). The entries of a routing table must be consistent with one another. Figure 22.2 shows how routing tables can be simplified by using this technique.

Network-Specific Method Versus Host-Specific Method

A second technique to reduce the routing table and simplify the searching process is called the network-specific method. Here, instead of having an entry for every destination host connected to the same physical network (host-specific method), we have

Figure 22.2 *Route method versus next-hop method*

a. Routing tables based on route

Routing table for host A

Destination	Route
HostB	RI, R2, host B

Routing table for Rl

Destination	Route
HostB	R2, host B

Routing table for R2

Destination	Route
HostB	HostB

b. Routing tables based on next hop

Routing table for host A

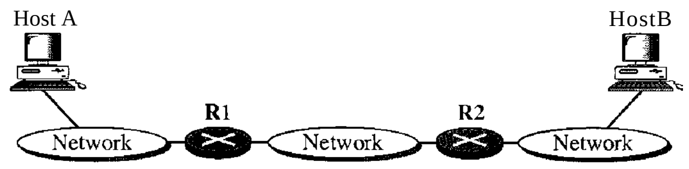
Destination	Next hop
Host B	Rl

Routing table for Rl

Destination	Next hop
HostB	R2

Routing table for R2

Destination	Next hop
Host B	



only one entry that defines the address of the destination network itself. In other words, we treat all hosts connected to the same network as one single entity. For example, if 1000 hosts are attached to the same network, only one entry exists in the routing table instead of 1000. Figure 22.3 shows the concept.

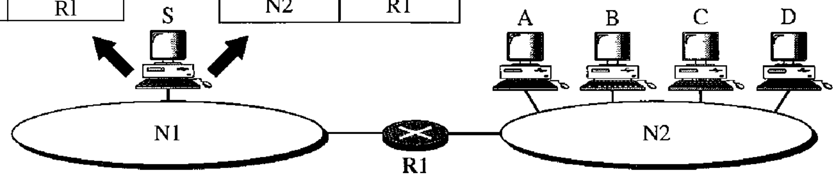
Figure 22.3 *Host-specific versus network-specific method*

Routing table for host S based on host-specific method

Destination	Next hop
A	Rl
B	Rl
C	Rl
D	Rl

Routing table for host S based on network-specific method

Destination	Next hop
N2	Rl

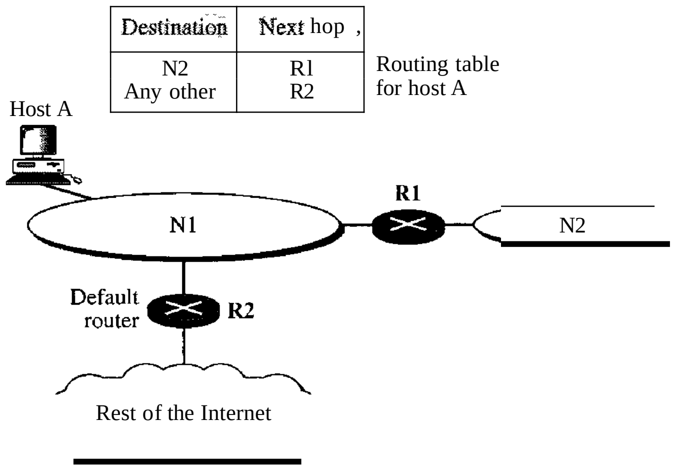


Host-specific routing is used for purposes such as checking the route or providing security measures.

Default Method

Another technique to simplify routing is called the default method. In Figure 22.4 host A is connected to a network with two routers. Router Rl routes the packets to hosts connected to network N2. However, for the rest of the Internet, router R2 is used. So instead of listing all networks in the entire Internet, host A can just have one entry called the *default* (normally defined as network address 0.0.0.0).

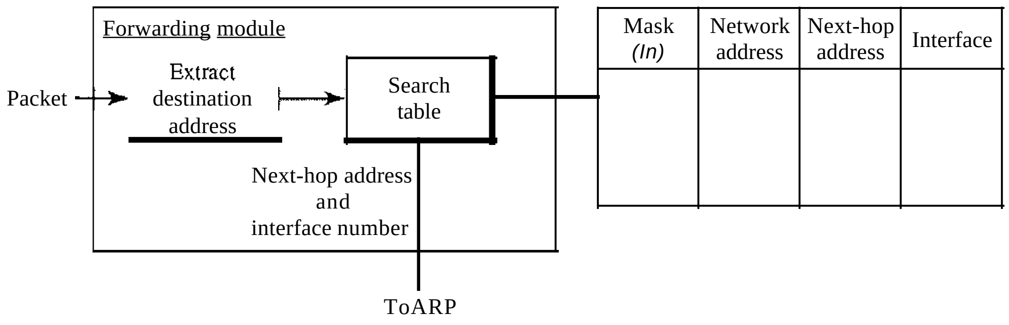
Figure 22.4 *Default method*



Forwarding Process

Let us discuss the forwarding process. We assume that hosts and routers use classless addressing because classful addressing can be treated as a special case of classless addressing. In classless addressing, the routing table needs to have one row of information for each block involved. The table needs to be searched based on the network address (first address in the block). Unfortunately, the destination address in the packet gives no clue about the network address. To solve the problem, we need to include the mask *(In)* in the table; we need to have an extra column that includes the mask for the corresponding block. Figure 22.5 shows a simple forwarding module for classless addressing.

Figure 22.5 *Simplified forwarding module in classless address*



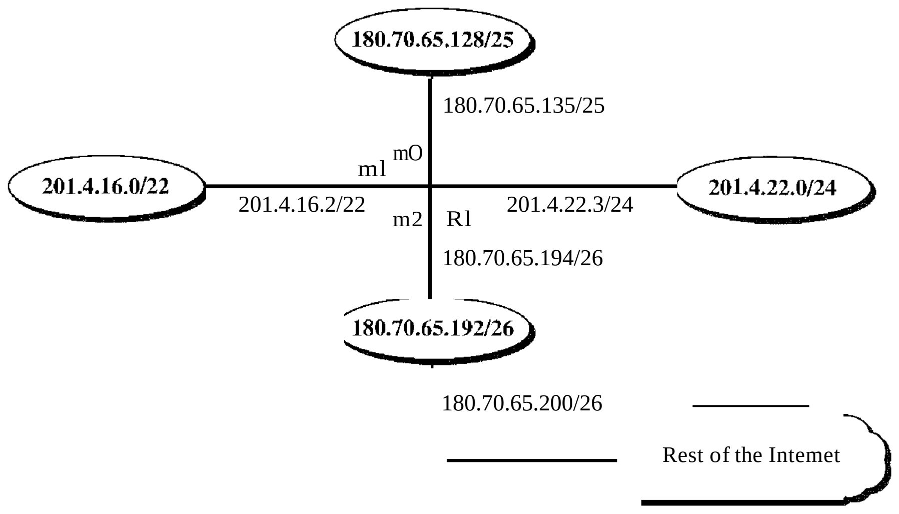
Note that we need at least four columns in our routing table; usually there are more.

In classless addressing, we need at least four colwnns in a routing table.

Example 22.1

Make a routing table for router Rl, using the configuration in Figure 22.6.

Figure 22.6 *Configurationfor Example 22.1*



Solution

Table 22.1 shows the corresponding table.

Table 22.1 *Routing table for router RI in Figure 22.6*

Mask	*Network Address*	*Next Hop*	*Interface*
/26	180.70.65.192	-	m2
/25	180.70.65.128	-	mO
/24	201.4.22.0	-	m3
/22	201.4.16.0	....	ml
Any	Any	180.70.65.200	m2

Example 22.2

Show the forwarding process if a packet arrives at Rl in Figure 22.6 with the destination address 180.70.65.140.

Solution

The router performs the following steps:

1. The first mask (/26) is applied to the destination address. The result is 180.70.65.128, which does not match the corresponding network address.
2. The second mask (/25) is applied to the destination address. The result is 180.70.65.128, which matches the corresponding network address. The next-hop address (the destination address of the packet in this case) and the interface number mO are passed to ARP for further processing.

Example 22.3

Show the forwarding process if a packet arrives at R1 in Figure 22.6 with the destination address 201.4.22.35.

Solution

The router performs the following steps:

1. The first mask (/26) is applied to the destination address. The result is 201.4.22.0, which does not match the corresponding network address (row 1).
2. The second mask (/25) is applied to the destination address. The result is 201.4.22.0, which does not match the corresponding network address (row 2).
3. The third mask (/24) is applied to the destination address. The result is 201.4.22.0, which matches the corresponding network address. The destination address of the packet and the interface number m3 are passed to ARP.

Example 22.4

Show the forwarding process if a packet arrives at R1 in Figure 22.6 with the destination address 18.24.32.78.

Solution

This time all masks are applied, one by one, to the destination address, but no matching network address is found. When it reaches the end of the table, the module gives the next-hop address 180.70.65.200 and interface number m2 to ARP. This is probably an outgoing package that needs to be sent, via the default router, to someplace else in the Internet.

Address Aggregatioll

When we use classless addressing, it is likely that the number of routing table entries will increase. This is so because the intent of classless addressing is to divide up the whole address space into manageable blocks. The increased size of the table results in an increase in the amount of time needed to search the table. To alleviate the problem, the idea of address aggregation was designed. In Figure 22.7 we have two routers.

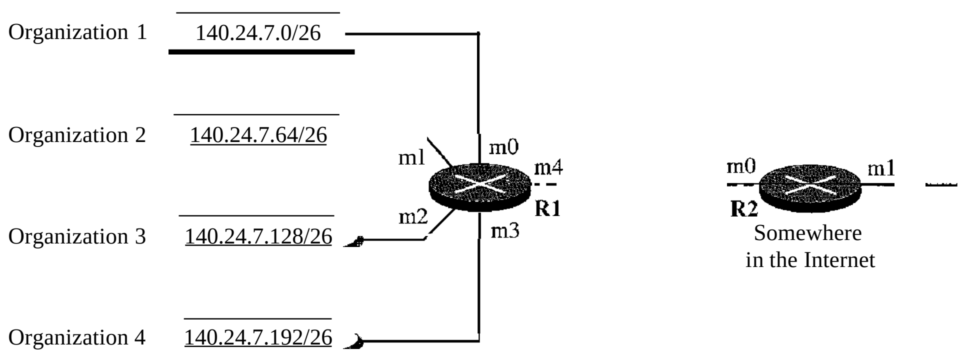
Router Rl is connected to networks of four organizations that each use 64 addresses. Router R2 is somewhere far from Rl. Router Rl has a longer routing table because each packet must be correctly routed to the appropriate organization. Router R2, on the other hand, can have a very small routing table. For R2, any packet with destination 140.24.7.0 to 140.24.7.255 is sent out from interface mO regardless of the organization number. This is called address aggregation because the blocks of addresses for four organizations are aggregated into one larger block. Router R2 would have a longer routing table if each organization had addresses that could not be aggregated into one block.

Note that although the idea of address aggregation is similar to the idea of subnetting, we do not have a common site here; the network for each organization is independent. In addition, we can have several levels of aggregation.

Longest Mask Matching

What happens if one of the organizations in Figure 22.7 is not geographically close to the other three? For example, if organization 4 cannot be connected to router Rl for some reason, can we still use the idea of address aggregation and still assign block 140.24.7.192/26 to organization 4?

Figure 22.7 *Address aggregation*



Mask	Network address	Next-hop address	Interface
/26	140.24.7.0	----------	mO
/26	140.24.7.64	----------	ml
/26	140.24.7.128	----------	m2
/26	140.24.7.192	----------	m3
/0	0.0.0.0	Default	m4

Routing table for Rl

Mask	Network address	Next-hop address	Interface
/24	140.24.7.0	----------	mO
/0	0.0.0.0	Default	ml

Routmg table for R2

The answer is yes because routing in classless addressing uses another principle, **longest** mask **matching.** This principle states that the routing table is sorted from the longest mask to the shortest mask. In other words, if there are three masks *127, 126,* and *124,* the mask /27 must be the first entry and *124* must be last. Let us see if this principle solves the situation in which organization 4 is separated from the other three organizations. Figure 22.8 shows the situation.

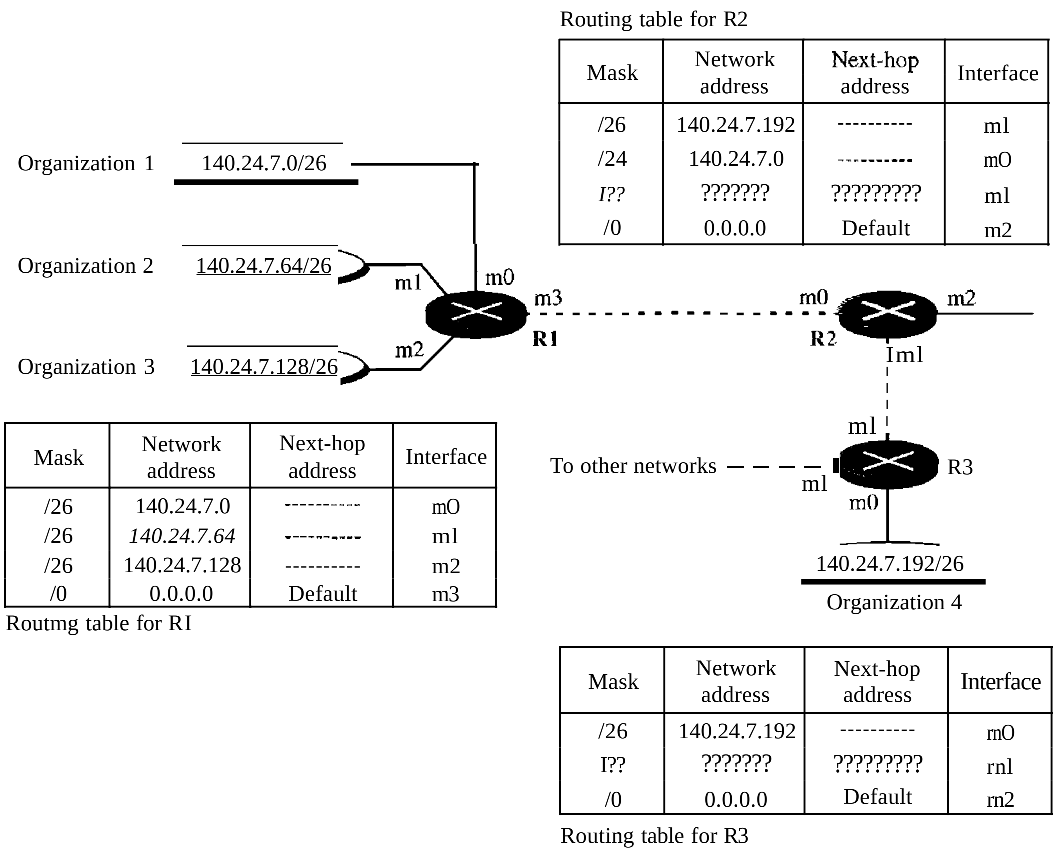
Suppose a packet arrives for organization 4 with destination address 140.24.7.200. The first mask at router R2 is applied, which gives the network address 140.24.7.192. The packet is routed correctly from interface ml and reaches organization 4. If, however, the routing table was not stored with the longest prefix first, applying the /24 mask would result in the incorrect routing of the packet to router Rl.

Hierarchical Routing

To solve the problem of gigantic routing tables, we can create a sense of hierarchy in the routing tables. In Chapter 1, we mentioned that the Internet today has a sense of hierarchy. We said that the Internet is divided into international and national ISPs. National ISPs are divided into regional ISPs, and regional ISPs are divided into local ISPs. If the routing table has a sense of hierarchy like the Internet architecture, the routing table can decrease in size.

Let us take the case of a local ISP. A local ISP can be assigned a single, but large block of addresses with a certain prefix length. The local ISP can divide this block into smaller blocks of different sizes and can assign these to individual users and organizations, both large and small. If the block assigned to the local ISP starts with a.b.c.dln, the ISP can create blocks starting with eJ.g.h/m, where *m* may vary for each customer and is greater than *n.*

Figure 22.8 *Longest mask matching*



Routing table for R2

Mask	Network address	Next-hop address	Interface
/26	140.24.7.192	----------	ml
/24	140.24.7.0	----------	mO
I??	???????	?????????	ml
/0	0.0.0.0	Default	m2

Mask	Network address	Next-hop address	Interface
/26	140.24.7.0	----------	mO
/26	*140.24.7.64*	----------	ml
/26	140.24.7.128	----------	m2
/0	0.0.0.0	Default	m3

Routmg table for RI

Mask	Network address	Next-hop address	Interface
/26	140.24.7.192	----------	mO
I??	???????	?????????	rnl
/0	0.0.0.0	Default	m2

Routing table for R3

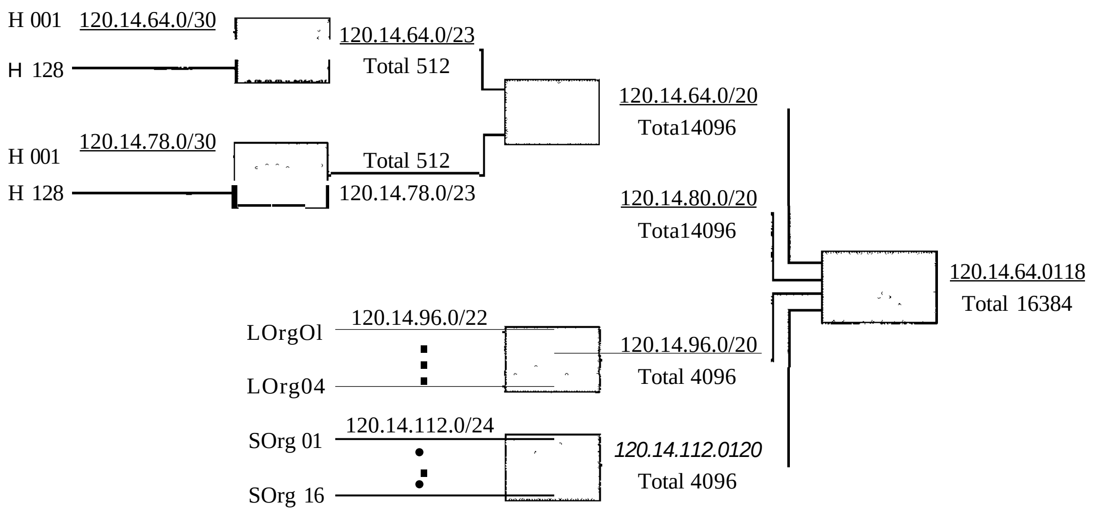
How does this reduce the size of the routing table? The rest of the Internet does not have to be aware of this division. All customers of the local ISP are defined as a.b.c.dln to the rest of the Internet. Every packet destined for one of the addresses in this large block is routed to the local ISP. There is only one entry in every router in the world for all these customers. They all belong to the same group. Of course, inside the local ISp, the router must recognize the subblocks and route the packet to the destined customer. If one of the customers is a large organization, it also can create another level of hierarchy by subnetting and dividing its subblock into smaller subblocks (or sub-subblocks). In classless routing, the levels of hierarchy are unlimited so long as we follow the rules of classless addressing.

Example 22.5

As an example of hierarchical routing, let us consider Figure 22.9. A regional ISP is granted 16,384 addresses starting from 120.14.64.0. The regional ISP has decided to divide this block into four subblocks, each with 4096 addresses. Three of these subblocks are assigned to three local ISPs; the second subblock is reserved for future use. Note that the mask for each block is *120* because the original block with mask /18 is divided into 4 blocks.

The first local ISP has divided its assigned subblock into 8 smaller blocks and assigned each to a small ISP. Each small ISP provides services to 128 households (HOOI to HI28), each using four addresses. Note that the mask for each small ISP is now *123* because the block is further divided into 8 blocks. Each household has a mask of *130,* because a household has only four addresses (2^{32}- ^{30} is 4).

Figure 22.9 *Hierarchical routing with ISPs*



The second local ISP has divided its block into 4 blocks and has assigned the addresses to four large organizations (LOrg01 to LOrg04). Note that each large organization has 1024 addresses, and the mask is /22.

The third local ISP has divided its block into 16 blocks and assigned each block to a small organization (SOrg01 to SOrg16). Each small organization has 256 addresses, and the mask is /24.

There is a sense of hierarchy in this configuration. All routers in the Internet send a packet with destination address 120.14.64.0 to 120.14.127.255 to the regional ISP.

The regional ISP sends every packet with destination address 120.14.64.0 to 120.14.79.255 to local ISPl. Local ISP1 sends every packet with destination address 120.14.64.0 to 120.14.64.3 to H001.

Geographical Routing

To decrease the size of the routing table even further, we need to extend hierarchical routing to include geographical routing. We must divide the entire address space into a few large blocks. We assign a block to North America, a block to Europe, a block to Asia, a block to Africa, and so on. The routers of ISPs outside Europe will have only one entry for packets to Europe in their routing tables. The routers of ISPs outside North America will have only one entry for packets to North America in their routing tables. And so on.

Routing Table

Let us now discuss routing tables. A host or a router has a routing table with an entry for each destination, or a combination of destinations, to route IP packets. The routing table can be either static or dynamic.

Static Routing Table

A **static routing table** contains information entered manually. The administrator enters the route for each destination into the table. When a table is created, it cannot update automatically when there is a change in the Internet. The table must be manually altered by the administrator.

A static routing table can be used in a small internet that does not change very often, or in an experimental internet for troubleshooting. It is poor strategy to use a static routing table in a big internet such as the Internet.

Dynamic Routing Table

A dynamic routing table is updated periodically by using one of the dynamic routing protocols such as RIP, OSPF, or BGP. Whenever there is a change in the Internet, such as a shutdown of a router or breaking of a link, the dynamic routing protocols update all the tables in the routers (and eventually in the host) automatically.

The routers in a big internet such as the Internet need to be updated dynamically for efficient delivery of the IP packets. We discuss in detail the three dynamic routing protocols later in the chapter.

Format

As mentioned previously, a routing table for classless addressing has a minimum of four columns. However, some of today's routers have even more columns. We should be aware that the number of columns is vendor-dependent, and not all columns can be found in all routers. Figure 22.10 shows some common fields in today's routers.

Figure 22.10 *Common fields in a routing table*

Mask	Network address	Next-hop address	Interlace		Reference count	Use

O Mask. This field defines the mask applied for the entry.

O Network address. This field defines the network address to which the packet is finally delivered. In the case of host-specific routing, this field defines the address of the destination host.

O Next-hop address. This field defines the address of the next-hop router to which the packet is delivered.

D Interface. This field shows the name of the interface.

D Flags. This field defines up to five flags. Flags are on/off switches that signify either presence or absence. The five flags are U (up), G (gateway), H (host-specific), D (added by redirection), and M (modified by redirection).

a. U (up). The U flag indicates the router is up and running. If this flag is not present, it means that the router is down. The packet cannot be forwarded and is discarded.

b. G (gateway). The G flag means that the destination is in another network. The packet is delivered to the next-hop router for delivery (indirect delivery). When this flag is missing, it means the destination is in this network (direct delivery).

c. H (host-specific). The H flag indicates that the entry in the network address field is a host-specific address. When it is missing, it means that the address is only the network address of the destination.

d. D (added by redirection). The D flag indicates that routing information for this destination has been added to the host routing table by a redirection message from ICMP. We discussed redirection and the ICMP protocol in Chapter 21.

e. M (modified by redirection). The M flag indicates that the routing information for this destination has been modified by a redirection message from ICMP. We discussed redirection and the ICMP protocol in Chapter 21.

O Reference count. This field gives the number of users of this route at the moment. For example, if five people at the same time are connecting to the same host from this router, the value of this column is 5.

O Use. This field shows the number of packets transmitted through this router for the corresponding destination.

Utilities

There are several utilities that can be used to find the routing information and the contents of a routing table. We discuss *netstat* and *ifconfig.*

Example 22.6

One utility that can be used to find the contents of a routing table for a host or router is *netstat* in UNIX or LINUX. The following shows the list of the contents of a default server. We have used two options, r and n. The option r indicates that we are interested in the routing table, and the option n indicates that we are looking for numeric addresses. Note that this is a routing table for a host, not a router. Although we discussed the routing table for a router throughout the chapter, a host also needs a routing table.

```
$ netstat-rn
Kernel IP routing table
Destination      Gateway           Mask             Flags     Iface
153.18.16.0      0.0.0.0           255.255.240.0    U         ethO
127.0.0.0        0.0.0.0           255.0.0.0        U         10
0.0.0.0          153.18.31.254     0.0.0.0          UO        ethO
```

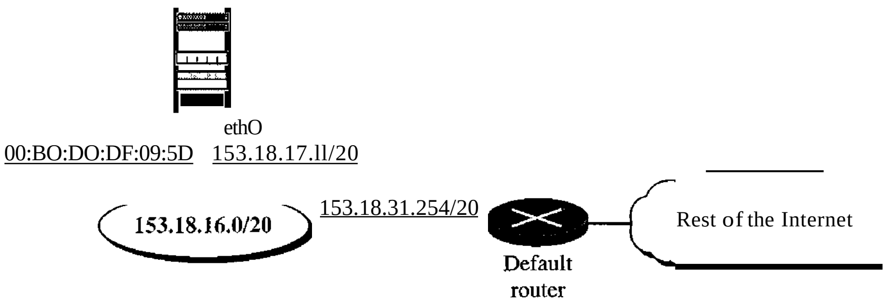
Note also that the order of columns is different from what we showed. The destination column here defines the network address. The term *gateway* used by UNIX is synonymous with *router.* This column acmally defines the address of the next hop. The value 0.0.0.0 shows that the delivery is direct. The last entry has a flag of G, which means that the destination can be reached through a router (default router). The *Iface* defines the interface. The host has only one real interface, ethO, which means interface 0 connected to an Ethernet network. The second interface, la, is actually a virmalloopback interface indicating that the host accepts packets with loopback address 127.0.0.0.

More information about the IP address and physical address of the server can be found by using the *ifconfig* command on the given interface (ethO).

```
$ ifconfig ethO
ethO   Link encap:Ethemet  HWaddr 00:BO:DO:DF:09:5D
inet addr:153.18.17.11  Bcast: 153.18.31.255  Mask:255.255.240.0
```

From the above information, we can deduce the configuration of the server, as shown in Figure 22.11.

Figure 22.11 *Configuration ofthe serverfor Example 22.6*



Note that the *ifconfig* command gives us the IP address and the physical (hardware) address of the interface.

22.3 UNICAST ROUTING PROTOCOLS

A routing table can be either static or dynamic. A *static table* is one with manual entries. A *dynamic table,* on the other hand, is one that is updated automatically when there is a change somewhere in the internet. Today, an internet needs dynamic routing tables. The tables need to be updated as soon as there is a change in the internet. For instance, they need to be updated when a router is down, and they need to be updated whenever a better route has been found.

Routing protocols have been created in response to the demand for dynamic routing tables. A routing protocol is a combination of rules and procedures that lets routers in the internet inform each other of changes. It allows routers to share whatever they know about the internet or their neighborhood. The sharing of information allows a router in San Francisco to know about the failure of a network in Texas. The routing protocols also include procedures for combining information received from other routers.

Optimization

A router receives a packet from a network and passes it to another network. A router is usually attached to several networks. When it receives a packet, to which network should it pass the packet? The decision is based on optimization: Which of the available pathways is the optimum pathway? What is the definition of the term *optimum?*

One approach is to assign a cost for passing through a network. We call this cost a metric. However, the metric assigned to each network depends on the type of protocol. Some simple protocols, such as the Routing Information Protocol (RIP), treat all networks as equals. The cost of passing through a network is the same; it is one hop count. So if a packet passes through 10 networks to reach the destination, the total cost is 10 hop counts.

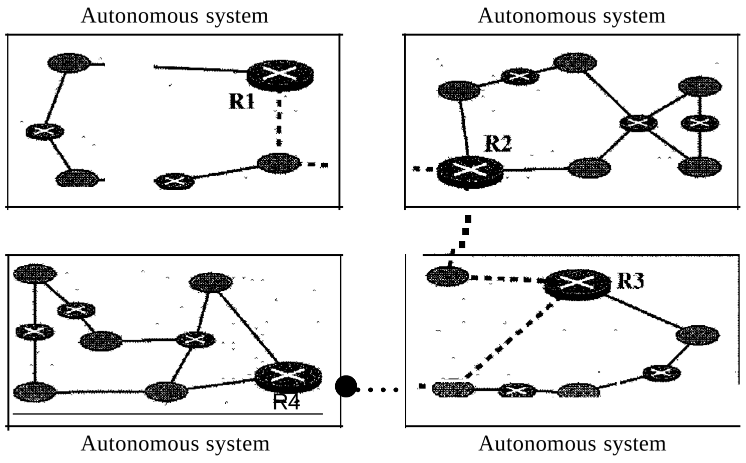
Other protocols, such as Open Shortest Path First (OSPF), allow the administrator to assign a cost for passing through a network based on the type of service required. A route through a network can have different costs (metrics). For example, if maximum throughput is the desired type of service, a satellite link has a lower metric than a fiber-optic line. On the other hand, if minimum delay is the desired type of service, a fiber-optic line has a lower metric than a satellite link. Routers use routing tables to help decide the best route. OSPF protocol allows each router to have several routing tables based on the required type of service.

Other protocols define the metric in a totally different way. In the Border Gateway Protocol (BGP), the criterion is the policy, which can be set by the administrator. The policy defines what paths should be chosen.

Intra- and Interdomain Routing

Today, an internet can be so large that one routing protocol cannot handle the task of updating the routing tables of all routers. For this reason, an internet is divided into autonomous systems. An autonomous system (AS) is a group of networks and routers under the authority of a single administration. Routing inside an autonomous system is referred to as intradomain routing. Routing between autonomous systems is referred to as interdomain routing. Each autonomous system can choose one or more intradomain routing protocols to handle routing inside the autonomous system. However, only one interdomain routing protocol handles routing between autonomous systems (see Figure 22.12).

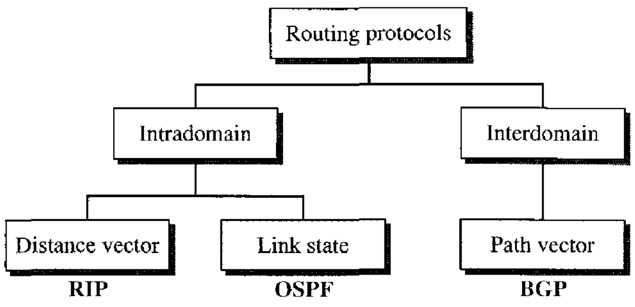
Figure 22.12 *Autonomous systems*



Several intradomain and interdomain routing protocols are in use. In this section, we cover only the most popular ones. We discuss two intradomain routing protocols: distance vector and link state. We also introduce one interdomain routing protocol: path vector (see Figure 22.13).

Routing Information Protocol (RIP) is an implementation of the distance vector protocol. Open Shortest Path First (OSPF) is an implementation of the link state protocol. Border Gateway Protocol (BGP) is an implementation of the path vector protocol.

Figure 22.13 *Popular routing protocols*



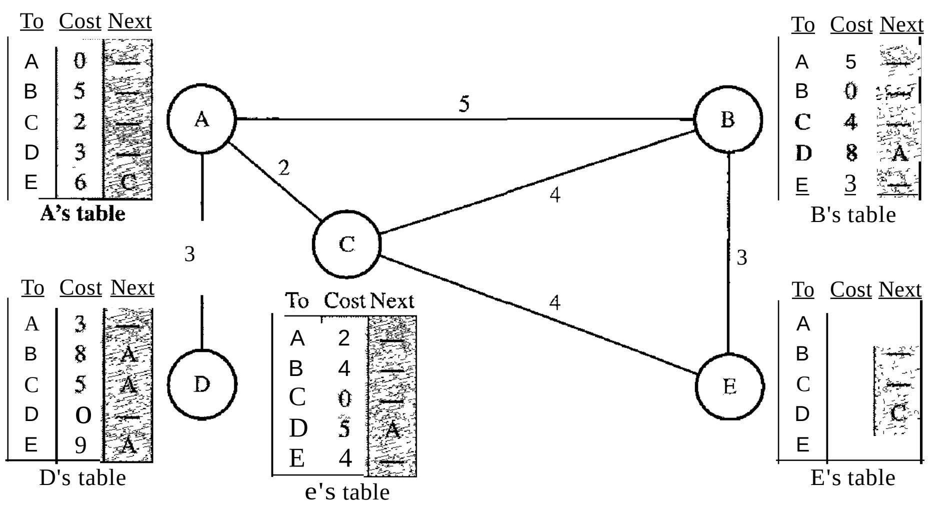
Distance Vector Routing

In distance vector routing, the least-cost route between any two nodes is the route with minimum distance. In this protocol, as the name implies, each node maintains a vector (table) of minimum distances to every node. The table at each node also guides the packets to the desired node by showing the next stop in the route (next-hop routing).

We can think of nodes as the cities in an area and the lines as the roads connecting them. A table can show a tourist the minimum distance between cities.

In Figure 22.14, we show a system of five nodes with their corresponding tables.

Figure 22.14 *Distance vector routing tables*



To	Cost	Next
A	0	—
B	5	—
C	2	—
D	3	—
E	6	C

A's table

To	Cost	Next
A	5	—
B	0	—
C	4	—
D	8	A
E	3	—

B's table

To	Cost	Next
A	3	—
B	8	A
C	5	A
D	0	—
E	9	A

D's table

To	Cost	Next
A	2	—
B	4	—
C	0	—
D	5	A
E	4	—

e's table

To	Cost	Next
A		
B		—
C		—
D		C
E		

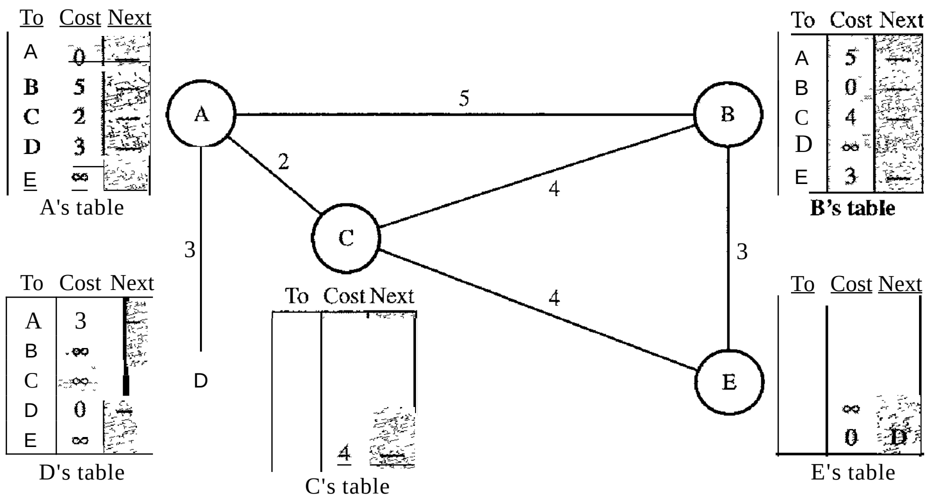
E's table

The table for node A shows how we can reach any node from this node. For example, our least cost to reach node E is 6. The route passes through C.

Initialization

The tables in Figure 22.14 are stable; each node knows how to reach any other node and the cost. At the beginning, however, this is not the case. Each node can know only the distance between itself and its immediate neighbors, those directly connected to it. So for the moment, we assume that each node can send a message to the immediate neighbors and find the distance between itself and these neighbors. Figure 22.15 shows the initial tables for each node. The distance for any entry that is not a neighbor is marked as infinite (unreachable).

Figure 22.15 *Initialization oftables in distance vector routing*



Sharing

The whole idea of distance vector routing is the sharing of information between neighbors. Although node A does not know about node E, node C does. So if node C shares its routing table with A, node A can also know how to reach node E. On the other hand, node C does not know how to reach node D, but node A does. If node A shares its routing table with node C, node C also knows how to reach node D. In other words, nodes A and C, as immediate neighbors, can improve their routing tables if they help each other.

There is only one problem. How much of the table must be shared with each neighbor? A node is not aware of a neighbor's table. The best solution for each node is to send its entire table to the neighbor and let the neighbor decide what part to use and what part to discard. However, the third column of a table (next stop) is not useful for the neighbor. When the neighbor receives a table, this column needs to be replaced with the sender's name. If any of the rows can be used, the next node is the sender of the table. A node therefore can send only the first two columns of its table to any neighbor. In other words, sharing here means sharing only the first two columns.

In distance vector routing, each node shares its routing table with its immediate neighbors periodically and when there is a change.

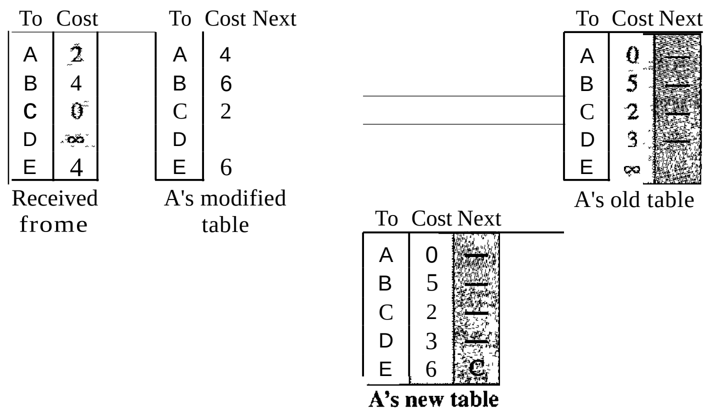
Updating

When a node receives a two-column table from a neighbor, it needs to update its routing table. Updating takes three steps:

1. The receiving node needs to add the cost between itself and the sending node to each value in the second column. The logic is clear. If node C claims that its distance to a destination is *x* mi, and the distance between A and C is *y* mi, then the distance between A and that destination, via C, is *x* + *y* mi.
2. The receiving node needs to add the name of the sending node to each row as the third column if the receiving node uses information from any row. The sending node is the next node in the route.
3. The receiving node needs to compare each row of its old table with the corresponding row of the modified version of the received table.
   a. If the next-node entry is different, the receiving node chooses the row with the smaller cost. If there is a tie, the old one is kept.
   b. If the next-node entry is the same, the receiving node chooses the new row. For example, suppose node C has previously advertised a route to node X with distance 3. Suppose that now there is no path between C and X; node C now advertises this route with a distance of infinity. Node A must not ignore this value even though its old entry is smaller. The old route does not exist any more. The new route has a distance of infinity.

Figure 22.16 shows how node A updates its routing table after receiving the partial table from node C.

Figure 22.16 *Updating in distance vector routing*



To	Cost
A	2
B	4
C	0
D	∞
E	4

Received frome

To	Cost	Next
A	4	
B	6	
C	2	
D		
E	6	

A's modified table

To	Cost	Next
A	0	—
B	5	—
C	2	—
D	3	—
E	∞	

A's old table

To	Cost	Next
A	0	—
B	5	—
C	2	—
D	3	—
E	6	C

A's new table

There are several points we need to emphasize here. First, as we know from mathematics, when we add any number to infinity, the result is still infinity. Second, the modified table shows how to reach A from A via C. If A needs to reach itself via C, it needs to go to C and come back, a distance of 4. Third, the only benefit from this updating of node A is the last entry, how to reach E. Previously, node A did not know how to reach E (distance of infinity); now it knows that the cost is 6 via C.

Each node can update its table by using the tables received from other nodes. In a short time, if there is no change in the network itself, such as a failure in a link, each node reaches a stable condition in which the contents of its table remains the same.

When to Share

The question now is, When does a node send its partial routing table (only two columns) to all its immediate neighbors? The table is sent both periodically and when there is a change in the table.

Periodic Update A node sends its routing table, normally every 30 s, in a periodic update. The period depends on the protocol that is using distance vector routing.

Triggered Update A node sends its two-column routing table to its neighbors anytime there is a change in its routing table. This is called a triggered update. The change can result from the following.

1. A node receives a table from a neighbor, resulting in changes in its own table after updating.
2. A node detects some failure in the neighboring links which results in a distance change to infinity.

Two-Node Loop Instability

A problem with distance vector routing is instability, which means that a network using this protocol can become unstable. To understand the problem, let us look at the scenario depicted in Figure 22.17.

Figure 22.17 *Two-node instability*

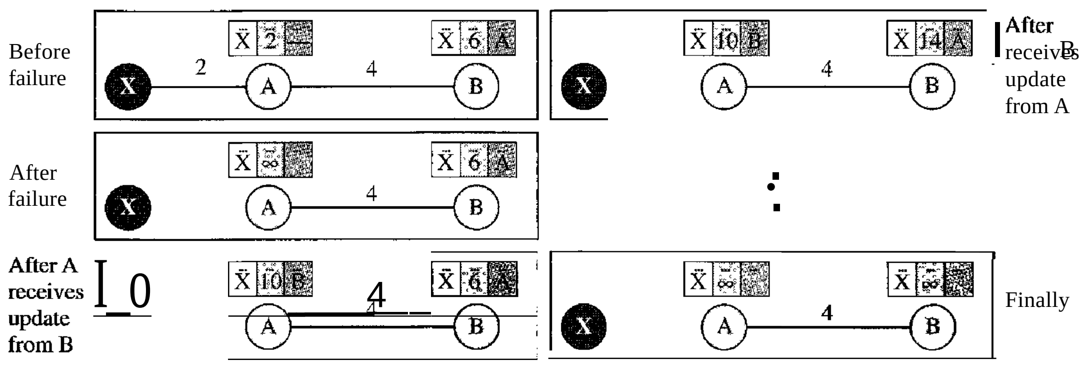


Figure 22.17 shows a system with three nodes. We have shown only the portions of the routing table needed for our discussion. At the beginning, both nodes A and B know how to reach node X. But suddenly, the link between A and X fails. Node A changes its table. If A can send its table to B immediately, everything is fine. However, the system becomes unstable if B sends its routing table to A before receiving A's routing table. Node A receives the update and, assuming that B has found a way to reach X, immediately updates its routing table. Based on the triggered update strategy, A sends its new

update to B. Now B thinks that something has been changed around A and updates its routing table. The cost of reaching X increases gradually until it reaches infinity. At this moment, both A and B know that X cannot be reached. However, during this time the system is not stable. Node A thinks that the route to X is via B; node B thinks that the route to X is via A. If A receives a packet destined for X, it goes to B and then comes back to A. Similarly, if B receives a packet destined for X, it goes to A and comes back to B. Packets bounce between A and B, creating a two-node loop problem. A few solutions have been proposed for instability of this kind.

Defining Infinity The first obvious solution is to redefine infinity to a smaller number, such as 100. For our previous scenario, the system will be stable in less than 20 updates. As a matter of fact, most implementations of the distance vector protocol define the distance between each node to be I and define 16 as infinity. However, this means that the distance vector routing cannot be used in large systems. The size of the network, in each direction, can not exceed 15 hops.

Split Horizon Another solution is called split horizon. In this strategy, instead of flooding the table through each interface, each node sends only part of its table through each interface. If, according to its table, node B thinks that the optimum route to reach X is via A, it does not need to advertise this piece of information to A; the information has corne from A (A already knows). Taking information from node A, modifying it, and sending it back to node A creates the confusion. In our scenario, node B eliminates the last line of its routing table before it sends it to A. In this case, node A keeps the value of infinity as the distance to X. Later when node A sends its routing table to B, node B also corrects its routing table. The system becomes stable after the first update: both node A and B know that X is not reachable.

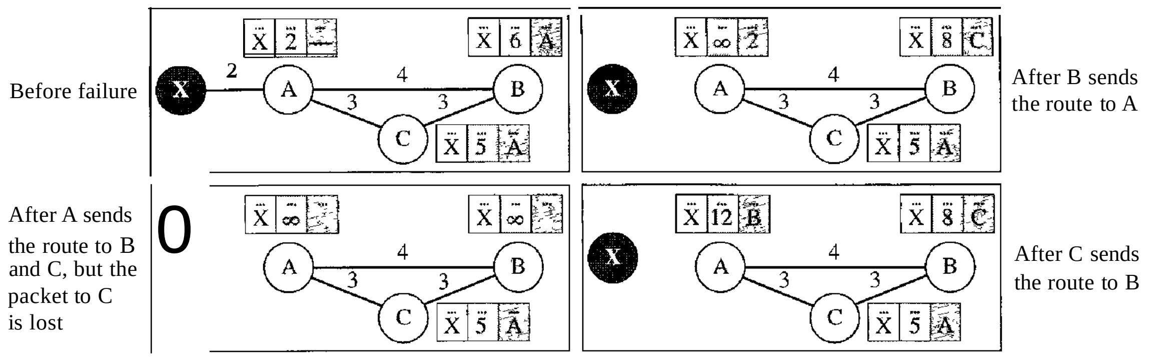
Split Horizon and Poison Reverse Using the split horizon strategy has one drawback. Normally, the distance vector protocol uses a timer, and if there is no news about a route, the node deletes the route from its table. When node B in the previous scenario eliminates the route to X from its advertisement to A, node A cannot guess that this is due to the split horizon strategy (the source of information was A) or because B has not received any news about X recently. The split horizon strategy can be combined with the poison reverse strategy. Node B can still advertise the value for X, but if the source of information is A, it can replace the distance with infinity as a warning: "Do not use this value; what I know about this route comes from you."

Three-Node Instability

The two-node instability can be avoided by using the split horizon strategy combined with poison reverse. However, if the instability is between three nodes, stability cannot be guaranteed. Figure 22.18 shows the scenario.

Suppose, after finding that X is not reachable, node A sends a packet to Band C to inform them of the situation. Node B immediately updates its table, but the packet to C is lost in the network and never reaches C. Node C remains in the dark and still thinks that there is a route to X via A with a distance of 5. After a while, node C sends to Bits routing table, which includes the route to X. Node B is totally fooled here. It receives information on the route to X from C, and according to the algorithm, it updates its

Figure 22.18 *Three-node instability*


Before failure
After B sends the route to A
After A sends the route to B and C, but the packet to C is lost
After C sends the route to B
X
A
B
C
2
4
3
3
X 2 —
X 6 A
X 5 A
X ∞ 2
X 8 C
X ∞
X 12 B
0

table, showing the route to X via C with a cost of 8. This information has come from C, not from A, so after awhile node B may advertise this route to A. Now A is fooled and updates its table to show that A can reach X via B with a cost of 12. Of course, the loop continues; now A advertises the route to X to C, with increased cost, but not to B. Node C then advertises the route to B with an increased cost. Node B does the same to A. And so on. The loop stops when the cost in each node reaches infinity.

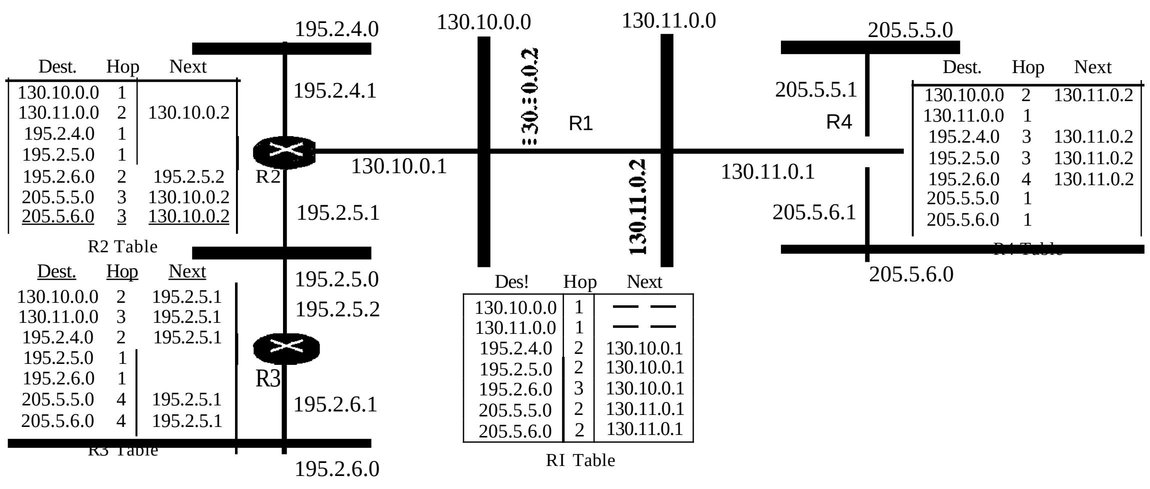
RIP

The Routing Information Protocol (RIP) is an intradomain routing protocol used inside an autonomous system. It is a very simple protocol based on distance vector routing. RIP implements distance vector routing directly with some considerations:

1. In an autonomous system, we are dealing with routers and networks (links). The routers have routing tables; networks do not.
2. The destination in a routing table is a network, which means the first column defines a network address.
3. The metric used by RIP is very simple; the distance is defined as the number of links (networks) to reach the destination. For this reason, the metric in RIP is called a hop count.
4. Infinity is defined as 16, which means that any route in an autonomous system using RIP cannot have more than 15 hops.
5. The next-node column defines the address of the router to which the packet is to be sent to reach its destination.

Figure 22.19 shows an autonomous system with seven networks and four routers. The table of each router is also shown. Let us look at the routing table for Rl. The table has seven entries to show how to reach each network in the autonomous system. Router Rl is directly connected to networks 130.10.0.0 and 130.11.0.0, which means that there are no next-hop entries for these two networks. To send a packet to one of the three networks at the far left, router Rl needs to deliver the packet to R2. The next-node entry for these three networks is the interface of router R2 with IP address 130.10.0.1. To send a packet to the two networks at the far right, router Rl needs to send the packet to the interface of router R4 with IP address 130.11.0.1. The other tables can be explained similarly.

Figure 22.19 *Example ofa domain using RIP*



Dest.	Hop	Next
130.10.0.0	1	
130.11.0.0	2	130.10.0.2
195.2.4.0	1	
195.2.5.0	1	
195.2.6.0	2	195.2.5.2
205.5.5.0	3	130.10.0.2
205.5.6.0	3	130.10.0.2

R2 Table

Dest.	Hop	Next
130.10.0.0	2	195.2.5.1
130.11.0.0	3	195.2.5.1
195.2.4.0	2	195.2.5.1
195.2.5.0	1	
195.2.6.0	1	
205.5.5.0	4	195.2.5.1
205.5.6.0	4	195.2.5.1

R3 Table

Des!	Hop	Next
130.10.0.0	1	— —
130.11.0.0	1	— —
195.2.4.0	2	130.10.0.1
195.2.5.0	2	130.10.0.1
195.2.6.0	3	130.10.0.1
205.5.5.0	2	130.11.0.1
205.5.6.0	2	130.11.0.1

RI Table

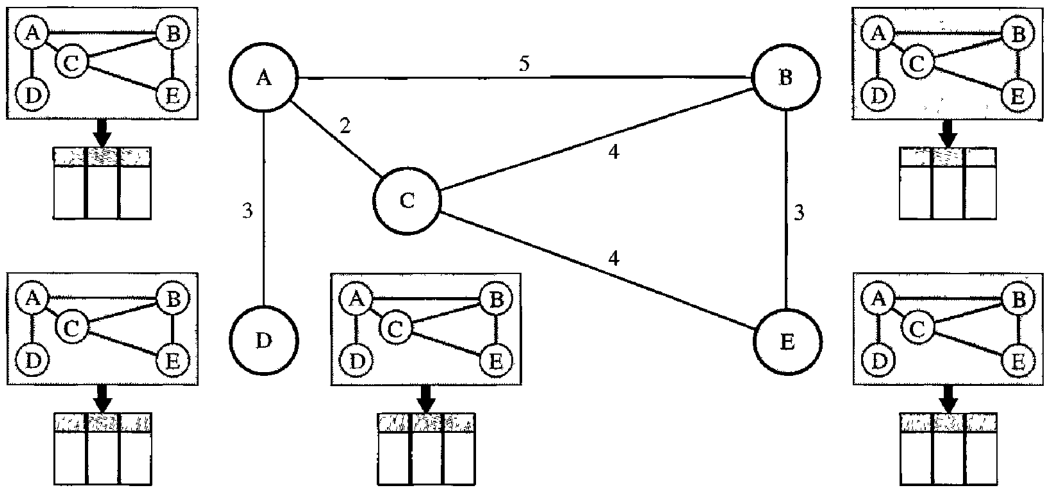
Dest.	Hop	Next
130.10.0.0	2	130.11.0.2
130.11.0.0	1	
195.2.4.0	3	130.11.0.2
195.2.5.0	3	130.11.0.2
195.2.6.0	4	130.11.0.2
205.5.5.0	1	
205.5.6.0	1	

R4 Table

Link State Routing

Link state routing has a different philosophy from that of distance vector routing. In link state routing, if each node in the domain has the entire topology of the domain-the list of nodes and links, how they are connected including the type, cost (metric), and condition of the links (up or down)-the node can use Dijkstra's algorithm to build a routing table. Figure 22.20 shows the concept.

Figure 22.20 *Concept oflink state routing*

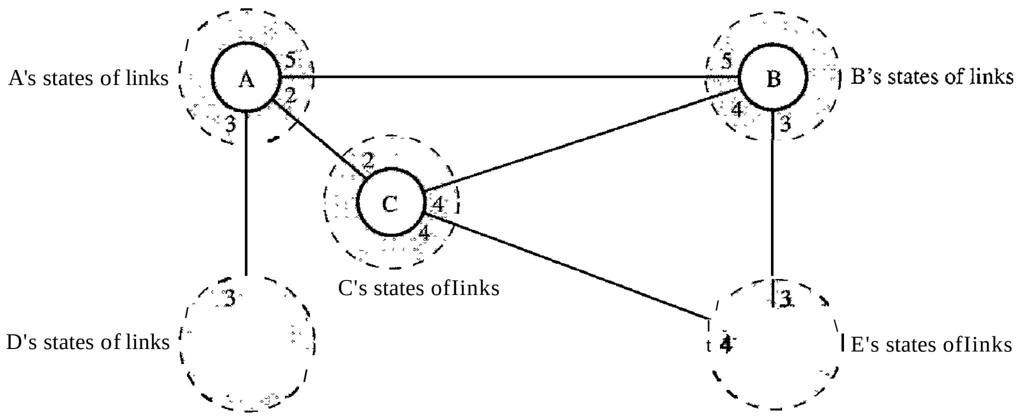


The figure shows a simple domain with five nodes. Each node uses the same topology to create a routing table, but the routing table for each node is unique because the calculations are based on different interpretations of the topology. This is analogous to a city map. While each person may have the same map, each needs to take a different route to reach her specific destination.

The topology must be dynamic, representing the latest state of each node and each link. If there are changes in any point in the network (a link is down, for example), the topology must be updated for each node.

How can a common topology be dynamic and stored in each node? No node can know the topology at the beginning or after a change somewhere in the network. Link state routing is based on the assumption that, although the global knowledge about the topology is not clear, each node has partial knowledge: it knows the state (type, condition, and cost) of its links. In other words, the whole topology can be compiled from the partial knowledge of each node. Figure 22.21 shows the same domain as in Figure 22.20, indicating the part of the knowledge belonging to each node.

Figure 22.21 *Link state knowledge*



Node A knows that it is connected to node B with metric 5, to node C with metric 2, and to node D with metric 3. Node C knows that it is connected to node A with metric 2, to node B with metric 4, and to node E with metric 4. Node D knows that it is connected only to node A with metric 3. And so on. Although there is an overlap in the knowledge, the overlap guarantees the creation of a common topology-a picture of the whole domain for each node.

Building Routing Tables

In link state routing, four sets of actions are required to ensure that each node has the routing table showing the least-cost node to every other node.

1. Creation of the states of the links by each node, called the link state packet (LSP).
2. Dissemination of LSPs to every other router, called **flooding,** in an efficient and reliable way.
3. Formation of a shortest path tree for each node.
4. Calculation of a routing table based on the shortest path tree.

Creation of Link State Packet (LSP) A link state packet can carry a large amount of information. For the moment, however, we assume that it carries a minimum amount of data: the node identity, the list of links, a sequence number, and age. The first two, node identity and the list of links, are needed to make the topology. The third, sequence number, facilitates flooding and distinguishes new LSPs from old ones. The fourth, age, prevents old LSPs from remaining in the domain for a long time. LSPs are generated on two occasions:

1. *When there is a change in the topology of the domain.* Triggering of LSP dissemination is the main way of quickly informing any node in the domain to update its topology.
2. *On a periodic basis.* The period in this case is much longer compared to distance vector routing. As a matter of fact, there is no actual need for this type of LSP dissemination. It is done to ensure that old information is removed from the domain. The timer set for periodic dissemination is normally in the range of 60 min or 2 h based on the implementation. A longer period ensures that flooding does not create too much traffic on the network.

Flooding of LSPs After a node has prepared an LSP, it must be disseminated to all other nodes, not only to its neighbors. The process is called flooding and based on the following:

1. The creating node sends a copy of the LSP out of each interface.
2. A node that receives an LSP compares it with the copy it may already have. If the newly arrived LSP is older than the one it has (found by checking the sequence number), it discards the LSP. If it is newer, the node does the following:
   a. It discards the old LSP and keeps the new one.
   b. It sends a copy of it out of each interface except the one from which the packet arrived. This guarantees that flooding stops somewhere in the domain (where a node has only one interface).

Formation of Shortest Path Tree: Dijkstra Algorithm After receiving all LSPs, each node will have a copy of the whole topology. However, the topology is not sufficient to find the shortest path to every other node; a **shortest path tree** is needed.

A tree is a graph of nodes and links; one node is called the root. All other nodes can be reached from the root through only one single route. A shortest path tree is a tree in which the path between the root and every other node is the shortest. What we need for each node is a shortest path tree with that node as the root.

The **Dijkstra algorithm** creates a shortest path tree from a graph. The algorithm divides the nodes into two sets: tentative and permanent. It finds the neighbors of a current node, makes them tentative, examines them, and if they pass the criteria, makes them permanent. We can informally define the algorithm by using the flowchart in Figure 22.22.

Let us apply the algorithm to node A of our sample graph in Figure 22.23. To find the shortest path in each step, we need the cumulative cost from the root to each node, which is shown next to the node.

The following shows the steps. At the end of each step, we show the permanent (filled circles) and the tentative (open circles) nodes and lists with the cumulative costs.

Figure 22.22 *Dijkstra algorithm*

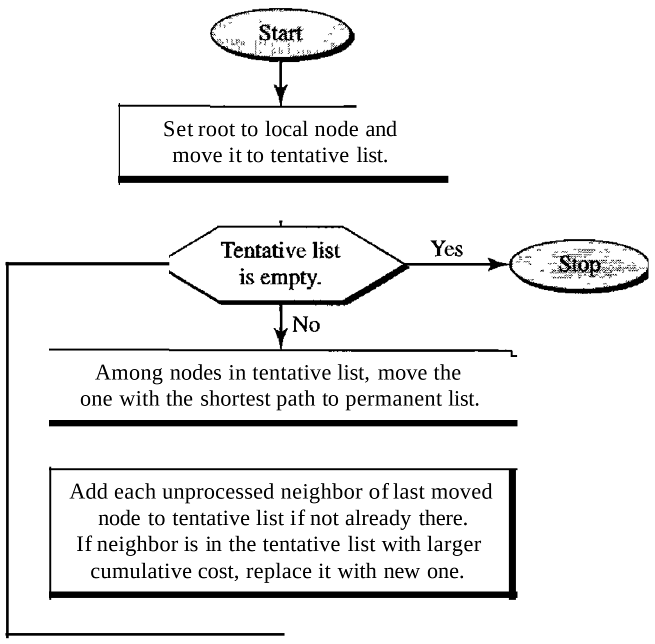
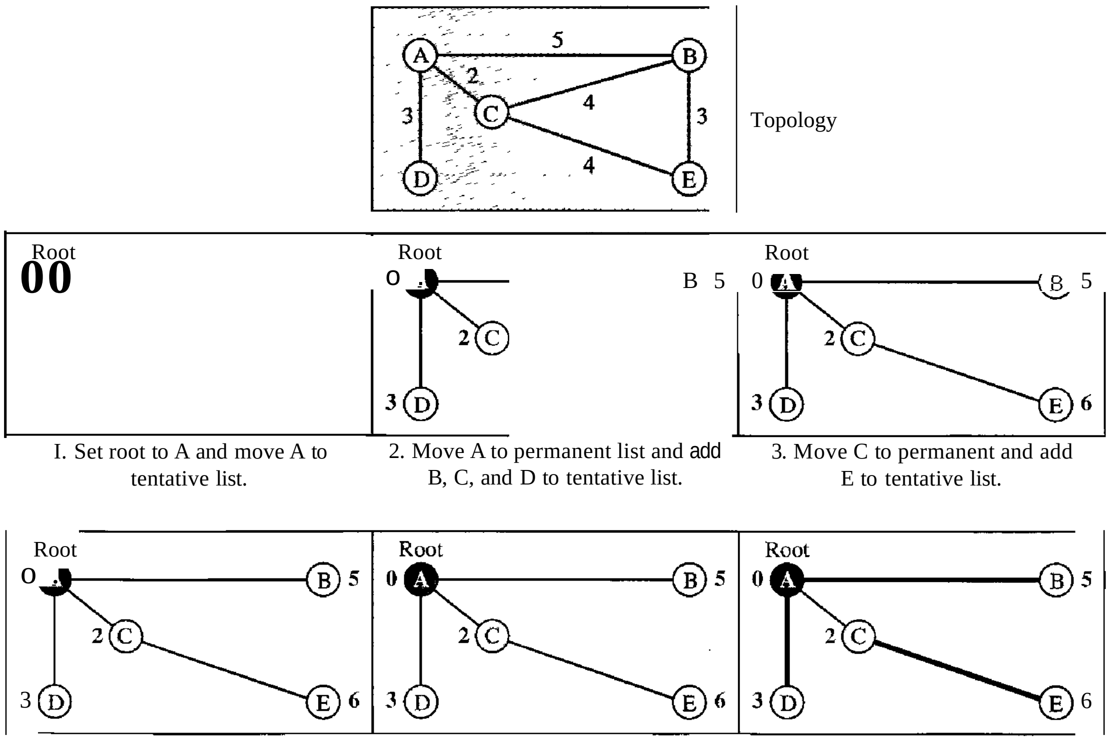

Start
Set root to local node and move it to tentative list.
Tentative list is empty.
Yes
Stop
No
Among nodes in tentative list, move the one with the shortest path to permanent list.
Add each unprocessed neighbor of last moved node to tentative list if not already there.
If neighbor is in the tentative list with larger cumulative cost, replace it with new one.

Figure 22.23 *Example offormation ofshortest path tree*



I. Set root to A and move A to tentative list.

2. Move A to permanent list and add B, C, and D to tentative list.

3. Move C to permanent and add E to tentative list.

4. Move D to permanent list.

5. Move B to permanent list.

6. Move E to permanent list (tentative list is empty).

1. We make node A the root of the tree and move it to the tentative list. Our two lists are

   Permanent list: empty   Tentative list: A(O)

2. Node A has the shortest cumulative cost from all nodes in the tentative list. We move A to the pennanent list and add all neighbors of A to the tentative list. Our new lists are

   Permanent list: A(O)   Tentative list: B(5), C(2), D(3)

3. Node C has the shortest cumulative cost from all nodes in the tentative list. We move C to the permanent list. Node C has three neighbors, but node A is already processed, which makes the unprocessed neighbors just B and E. However, B is already in the tentative list with a cumulative cost of 5. Node A could also reach node B through C with a cumulative cost of 6. Since 5 is less than 6, we keep node B with a cumulative cost of 5 in the tentative list and do not replace it. Our new lists are

   Permanent list: A(O), e(2)   Tentative list: B(5), 0(3), E(6)

4. Node D has the shortest cumulative cost of all the nodes in the tentative list. We move D to the permanent list. Node D has no unprocessed neighbor to be added to the tentative list. Our new lists are

   Permanent list: A(O), C(2), 0(3)   Tentative list: B(5), E(6)

5. Node B has the shortest cumulative cost of all the nodes in the tentative list. We move B to the permanent list. We need to add all unprocessed neighbors of B to the tentative list (this is just node E). However, E(6) is already in the list with a smaller cumulative cost. The cumulative cost to node E, as the neighbor of B, is 8. We keep node E(6) in the tentative list. Our new lists are

   Permanent list: A(O), B(5), C(2), 0(3)   Tentative list: E(6)

6. Node E has the shortest cumulative cost from all nodes in the tentative list. We move E to the permanent list. Node E has no neighbor. Now the tentative list is empty. We stop; our shortest path tree is ready. The final lists are

   Permanent list: A(0), B(5), C(2), D(3), E(6)   Tentative list: empty

Calculation of Routing Table from Shortest Path Tree   Each node uses the shortest path tree protocol to construct its routing table. The routing table shows the cost of reaching each node from the root. Table 22.2 shows the routing table for node A.

Table 22.2 *Routing table for node A*

Node	*Cost*	*Next Router*
A	0	-
B	5	-
C	2	-
D	3	-
E	6	C

Compare Table 22.2 with the one in Figure 22.14. Both distance vector routing and link state routing end up with the same routing table for node A.

OSPF

The Open Shortest Path First or OSPF protocol is an intradomain routing protocol based on link state routing. Its domain is also an autonomous system.

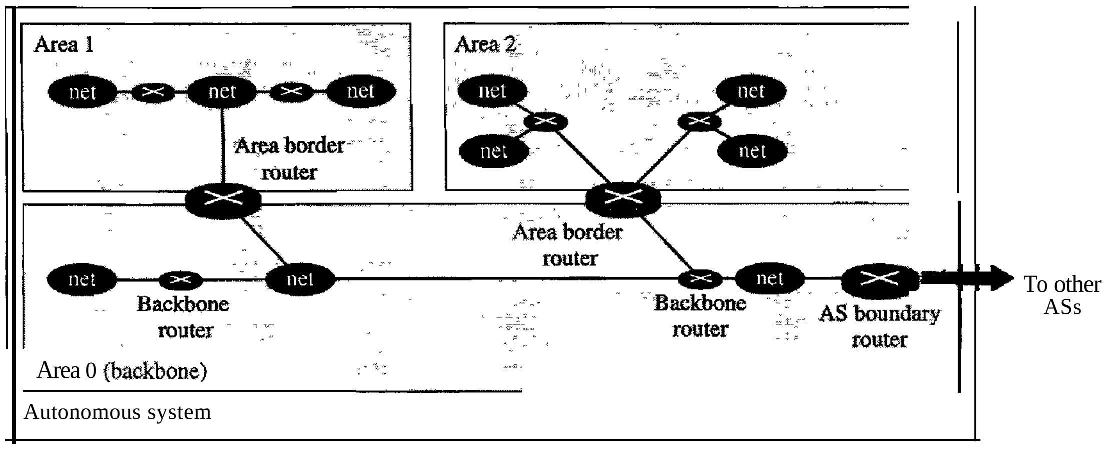
Areas To handle routing efficiently and in a timely manner, OSPF divides an autonomous system into areas. An area is a collection of networks, hosts, and routers all contained within an autonomous system. An autonomous system can be divided into many different areas. All networks inside an area must be connected.

Routers inside an area flood the area with routing information. At the border of an area, special routers called area border routers summarize the information about the area and send it to other areas. Among the areas inside an autonomous system is a special area called the *backbone;* all the areas inside an autonomous system must be connected to the backbone. In other words, the backbone serves as a primary area and the other areas as secondary areas. This does not mean that the routers within areas cannot be connected to each other, however. The routers inside the backbone are called the backbone routers. Note that a backbone router can also be an area border router.

If, because of some problem, the connectivity between a backbone and an area is broken, a virtual link between routers must be created by an administrator to allow continuity of the functions of the backbone as the primary area.

Each area has an area identification. The area identification of the backbone is zero. Figure 22.24 shows an autonomous system and its areas.

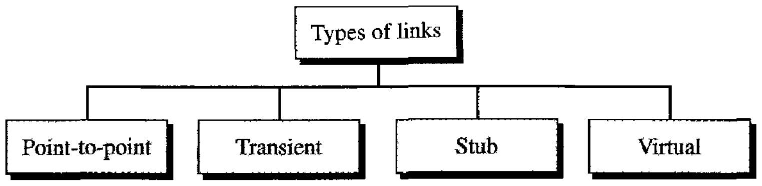
Figure 22.24 *Areas in an autonomous system*



Metric The OSPF protocol allows the administrator to assign a cost, called the metric, to each route. The metric can be based on a type of service (minimum delay, maximum throughput, and so on). As a matter of fact, a router can have multiple routing tables, each based on a different type of service.

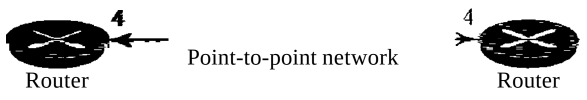
Types of Links In OSPF terminology, a connection is called a *link.* Four types of links have been defined: point-to-point, transient, stub, and virtual (see Figure 22.25).

Figure 22.25 *Types oflinks*



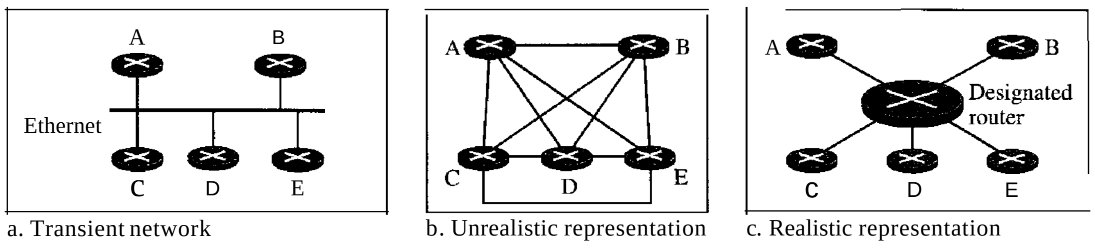
A point-to-point link connects two routers without any other host or router in between. In other words, the purpose of the link (network) is just to connect the two routers. An example of this type of link is two routers connected by a telephone line or a T line. There is no need to assign a network address to this type of link. Graphically, the routers are represented by nodes, and the link is represented by a bidirectional edge connecting the nodes. The metrics, which are usually the same, are shown at the two ends, one for each direction. In other words, each router has only one neighbor at the other side of the link (see Figure 22.26).

Figure 22.26 *Point-to-point link*



A transient link is a network with several routers attached to it. The data can enter through any of the routers and leave through any router. All LANs and some WANs with two or more routers are of this type. In this case, each router has many neighbors. For example, consider the Ethernet in Figure 22.27a. Router A has routers B, C, D, and E as neighbors. Router B has routers A, C, D, and E as neighbors. If we want to show the neighborhood relationship in this situation, we have the graph shown in Figure 22.27b.

Figure 22.27 *Transient link*



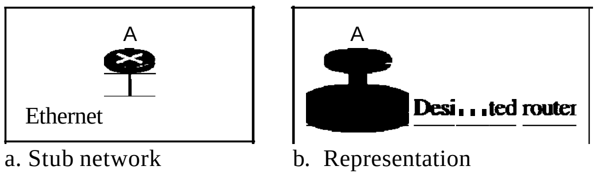
This is neither efficient nor realistic. It is not efficient because each router needs to advertise the neighborhood to four other routers, for a total of 20 advertisements. It is not realistic because there is no single network (link) between each pair of routers; there is only one network that serves as a crossroad between all five routers.

To show that each router is connected to every other router through one single network, the network itself is represented by a node. However, because a network is not a machine, it cannot function as a router. One of the routers in the network takes this responsibility. It is assigned a dual purpose; it is a true router and a designated router. We can use the topology shown in Figure 22.27c to show the connections of a transient network.

Now each router has only one neighbor, the designated router (network). On the other hand, the designated router (the network) has five neighbors. We see that thc number of neighbor announcements is reduced from 20 to 10. Still, the link is represented as a bidirectional edge between the nodes. However, while there is a metric from each node to the designated router, there is no metric from the designated router to any other node. The reason is that the designated router represents the network. We can only assign a cost to a packet that is passing through the network. We cannot charge for this twice. When a packet enters a network, we assign a cost; when a packet leaves the network to go to the router, there is no charge.

A **stub link** is a network that is connected to only one router. The data packets enter the network through this single router and leave the network through this same router. This is a special case of the transient network. We can show this situation using the router as a node and using the designated router for the network. However, the link is only one-directional, from the router to the network (see Figure 22.28).

Figure 22.28 *Stub link*

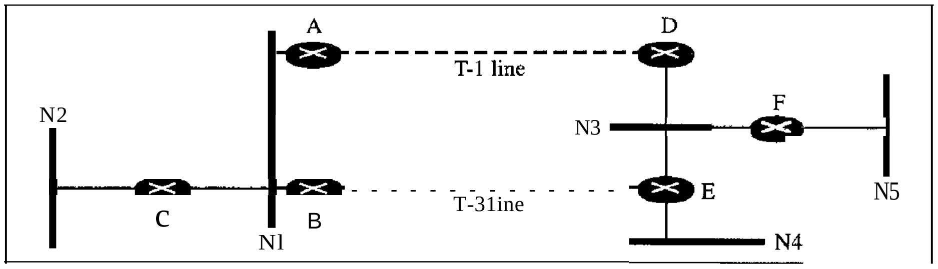


When the link between two routers is broken, the administration may create a **virtual link** between them, using a longer path that probably goes through several routers.

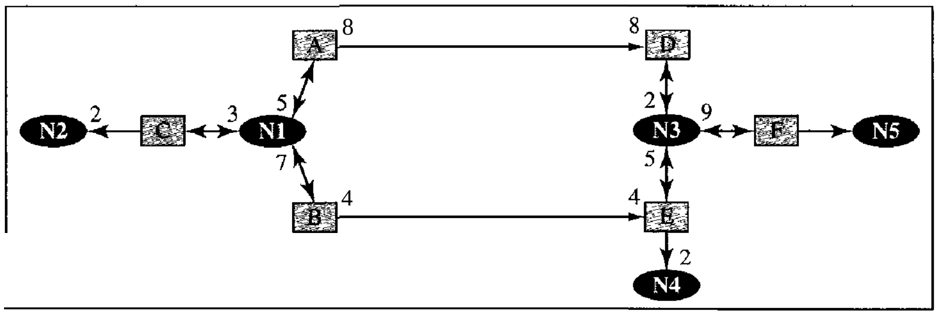
Graphical Representation Let us now examine how an AS can be represented graphically. Figure 22.29 shows a small AS with seven networks and six routers. Two of the networks are point-to-point networks. We use symbols such as Nl and N2 for transient and stub networks. There is no need to assign an identity to a point-to-point network. The figure also shows the graphical representation of the AS as seen by OSPF.

We have used square nodes for the routers and ovals for the networks (represented by designated routers). However, OSPF sees both as nodes. Note that we have three stub networks.

Figure 22.29 *Example ofan AS and its graphical representation in OSPF*



a. Autonomous system



b. Graphical representation

Path Vector Routing

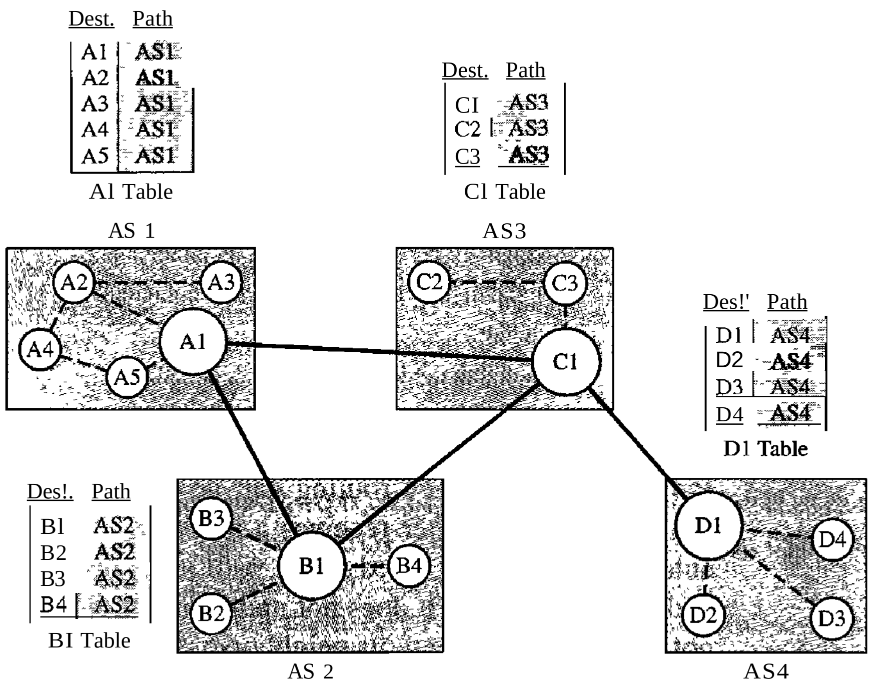
Distance vector and link state routing are both intradomain routing protocols. They can be used inside an autonomous system, but not between autonomous systems. These two protocols are not suitable for interdomain routing mostly because of scalability. Both of these routing protocols become intractable when the domain of operation becomes large. Distance vector routing is subject to instability if there are more than a few hops in the domain of operation. Link state routing needs a huge amount of resources to calculate routing tables. It also creates heavy traffic because of flooding. There is a need for a third routing protocol which we call path vector routing.

Path vector routing proved to be useful for interdomain routing. The principle of path vector routing is similar to that of distance vector routing. In path vector routing, we assume that there is one node (there can be more, but one is enough for our conceptual discussion) in each autonomous system that acts on behalf of the entire autonomous system. Let us call it the speaker node. The speaker node in an AS creates a routing table and advertises it to speaker nodes in the neighboring ASs. The idea is the same as for distance vector routing except that only speaker nodes in each AS can communicate with each other. However, what is advertised is different. A speaker node advertises the path, not the metric of the nodes, in its autonomous system or other autonomous systems.

Initialization

At the beginning, each speaker node can know only the reachability of nodes inside its autonomous system. Figure 22.30 shows the initial tables for each speaker node in a system made of four ASs.

Figure 22.30 *Initial routing tables in path vector routing*



Node Al is the speaker node for ASl, Bl for AS2, Cl for AS3, and Dl for AS4. Node Al creates an initial table that shows Al to A5 are located in ASI and can be reached through it. Node Bl advertises that Bl to B4 are located in AS2 and can be reached through Bl. And so on.

Sharing Just as in distance vector routing, in path vector routing, a speaker in an autonomous system shares its table with immediate neighbors. In Figure 22.30, node Al shares its table with nodes Bl and Cl. Node Cl shares its table with nodes Dl, Bl, andAl. Node Bl shares its table with Cl andAl. Node Dl shares its table with Cl.

Updating When a speaker node receives a two-column table from a neighbor, it updates its own table by adding the nodes that are not in its routing table and adding its own autonomous system and the autonomous system that sent the table. After a while each speaker has a table and knows how to reach each node in other ASs. Figure 22.31 shows the tables for each speaker node after the system is stabilized.

According to the figure, if router Al receives a packet for nodes A3, it knows that the path is in ASI (the packet is at home); but if it receives a packet for Dl, it knows that the packet should go from ASl, to AS2, and then to AS3. The routing table shows the path completely. On the other hand, if node Dl in AS4 receives a packet for node A2, it knows it should go through AS4, AS3, and AS 1.

o Loop prevention. The instability of distance vector routing and the creation of loops can be avoided in path vector routing. When a router receives a message, it checks to see if its autonomous system is in the path list to the destination. If it is, looping is involved and the message is ignored.

Figure 22.31 *Stabilized tables for three autonomous systems*

Oest.	Path
Al	AS1
AS	AS1
Bl	-AS2
B4	AS1-AS2
Cl	AS1-AS3
...	
C3	AS1-AS3
01	AS1-AS2-AS4
D4	AS1-AS2-AS4

Al Table

Oest.	Path
A1	AS2-AS1
...	
A5	AS2-AS1
B1	AS2
...	
B4	AS2
C1	AS2-AS3
...	
C3	AS2-AS3
D1	AS2-AS3-AS4
...	
D4	AS2-AS3-AS4

Bl Table

Oest.	Path
A1	AS3-AS1
...	
A5	AS3-AS1
B1	AS3-AS2
...	
B4	AS3-AS2
Cl	AS3
...	
C3	AS3
D1	AS3-AS4
...	
D4	AS3-AS4

Cl Table

Dest.	Path
Al	AS4-AS3-ASI
A5	AS4-AS3-ASI
B1	AS4-AS3-AS2
...	
B4	AS4-AS3-AS2
C1	AS4-AS3
...	
C3	AS4-AS3
D1	AS4
...	
D4	AS4

D1 Table

- **Policy routing.** Policy routing can be easily implemented through path vector routing. When a router receives a message, it can check the path. If one of the autonomous systems listed in the path is against its policy, it can ignore that path and that destination. It does not update its routing table with this path, and it does not send this message to its neighbors.
- **Optimum path.** What is the optimum path in path vector routing? We are looking for a path to a destination that is the best for the organization that runs the autonomous system. We definitely cannot include metrics in this route because each autonomous system that is included in the path may use a different criterion for the metric. One system may use, internally, RIP, which defines hop count as the metric; another may use OSPF with minimum delay defined as the metric. The optimum path is the path that fits the organization. In our previous figure, each autonomous system may have more than one path to a destination. For example, a path from AS4 to ASI can be AS4-AS3-AS2-AS1, or it can be AS4-AS3-ASI. For the tables, we chose the one that had the smaller number of autonomous systems, but this is not always the case. Other criteria, such as security, safety, and reliability, can also be applied.

BGP

Border Gateway Protocol (BGP) is an interdomain routing protocol using path vector routing. It first appeared in 1989 and has gone through four versions.

Types **of Autonomous** Systems As we said before, the Internet is divided into hierarchical domains called autonomous systems. For example, a large corporation that manages its own network and has full control over it is an autonomous system. A local ISP that provides services to local customers is an autonomous system. We can divide autonomous systems into three categories: stub, multihomed, and transit.

- **Stub** AS. A stub AS has only one connection to another AS. The interdomain data traffic in a stub AS can be either created or terminated in the AS. The hosts in the AS can send data traffic to other ASs. The hosts in the AS can receive data coming from hosts in other ASs. Data traffic, however, cannot pass through a stub AS. A stub AS is either a source or a sink. A good example of a stub AS is a small corporation or a small local ISP.

- Multihomed AS. A multihomed AS has more than one connection to other ASs, but it is still only a source or sink for data traffic. It can receive data traffic from more than one AS. It can send data traffic to more than one AS, but there is no transient traffic. It does not allow data coming from one AS and going to another AS to pass through. A good example of a multihomed AS is a large corporation that is connected to more than one regional or national AS that does not allow transient traffic.
- Transit AS. A transit AS is a multihomed AS that also allows transient traffic. Good examples of transit ASs are national and international ISPs (Internet backbones).

Path Attributes In our previous example, we discussed a path for a destination network. The path was presented as a list of autonomous systems, but is, in fact, a list of attributes. Each attribute gives some information about the path. The list of attributes helps the receiving router make a more-informed decision when applying its policy.

Attributes are divided into two broad categories: well known and optional. A well-known attribute is one that every BGP router must recognize. An optional attribute is one that needs not be recognized by every router.

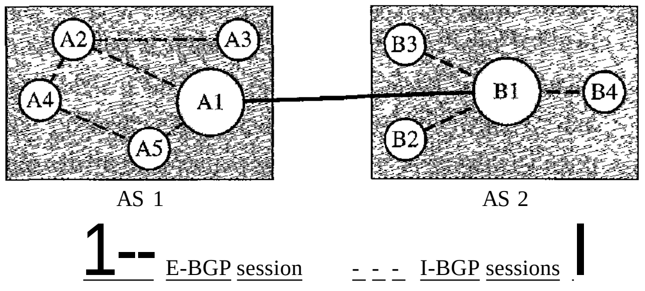
Well-known attributes are themselves divided into two categories: mandatory and discretionary. A *well-known mandatory attribute* is one that must appear in the description of a route. A *well-known discretionary attribute* is one that must be recognized by each router, but is not required to be included in every update message. One well-known mandatory attribute is ORIGIN. This defines the source of the routing information (RIP, OSPF, and so on). Another well-known mandatory attribute is AS_PATH. This defines the list of autonomous systems through which the destination can be reached. Still another well-known mandatory attribute is NEXT-HOP, which defines the next router to which the data packet should be sent.

The optional attributes can also be subdivided into two categories: transitive and nontransitive. An *optional transitive attribute* is one that must be passed to the next router by the router that has not implemented this attribute. An *optional nontransitive attribute* is one that must be discarded if the receiving router has not implemented it.

BGP Sessions The exchange of routing information between two routers using BGP takes place in a session. A session is a connection that is established between two BGP routers only for the sake of exchanging routing information. To create a reliable environment, BGP uses the services of TCP. In other words, a session at the BGP level, as an application program, is a connection at the TCP level. However, there is a subtle difference between a connection in TCP made for BGP and other application programs. When a TCP connection is created for BGP, it can last for a long time, until something unusual happens. For this reason, BGP sessions are sometimes referred to as *semi-pennanent connections.*

External and Internal BGP If we want to be precise, BGP can have two types of sessions: external BGP (E-BGP) and internal BGP (I-BGP) sessions. The E-BGP session is used to exchange information between two speaker nodes belonging to two different autonomous systems. The I-BGP session, on the other hand, is used to exchange routing information between two routers inside an autonomous system. Figure 22.32 shows the idea.

Figure 22.32 *Internal and external BGP sessions*



The session established between AS 1 and AS2 is an E-BOP session. The two speaker routers exchange information they know about networks in the Internet. However, these two routers need to collect information from other routers in the autonomous systems. This is done using I-BOP sessions.

22.4 MULTICAST ROUTING PROTOCOLS

In this section, we discuss multicasting and multicast routing protocols. We first define the term *multicasting* and compare it to unicasting and broadcasting. We also briefly discuss the applications of multicasting. Finally, we move on to multicast routing and the general ideas and goals related to it. We also discuss some common multicast routing protocols used in the Internet today.

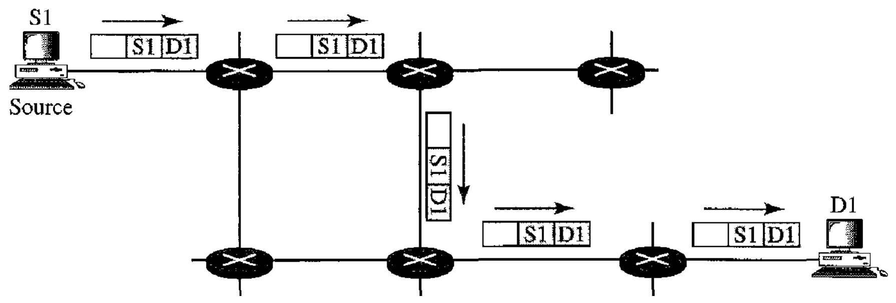
Unicast, Multicast, and Broadcast

A message can be unicast, multicast, or broadcast. Let us clarify these terms as they relate to the Internet.

Unicasting

In unicast communication, there is one source and one destination. The relationship between the source and the destination is one-to-one. In this type of communication, both the source and destination addresses, in the IP datagram, are the unicast addresses assigned to the hosts (or host interfaces, to be more exact). In Figure 22.33, a unicast

Figure 22.33 *Unicasting*



packet starts from the source S1 and passes through routers to reach the destination D1. We have shown the networks as a link between the routers to simplify the figure.

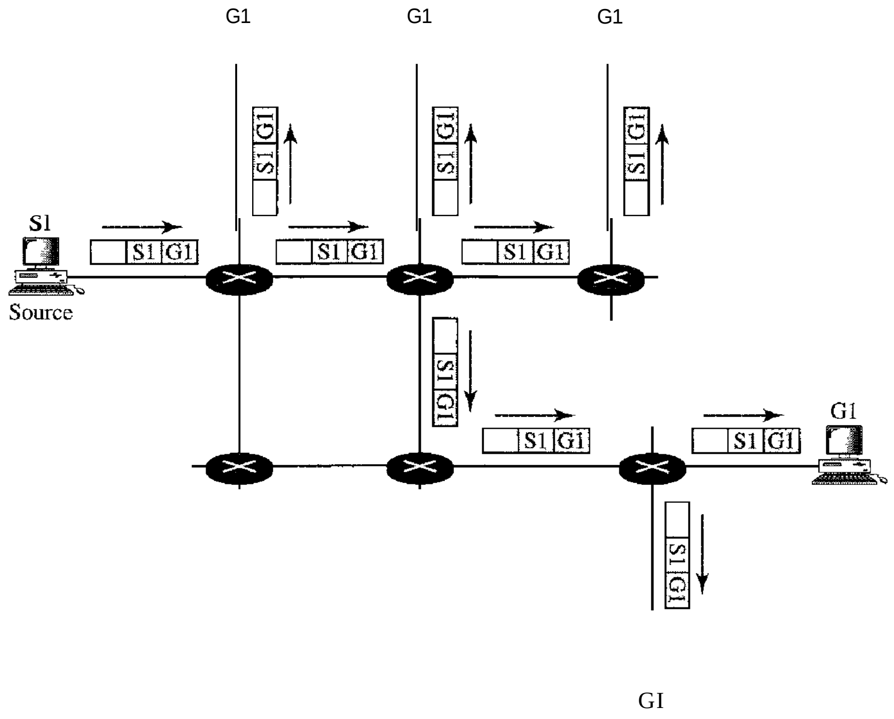
Note that in unicasting, when a router receives a packet, it forwards the packet through only one of its interfaces (the one belonging to the optimum path) as defined in the routing table. The router may discard the packet if it cannot find the destination address in its routing table.

In unicasting, the router forwards the received packet through only one of its interfaces.

Multicasting

In multicast communication, there is one source and a group of destinations. The relationship is one-to-many. In this type of communication, the source address is a unicast address, but the destination address is a group address, which defines one or more destinations. The group address identifies the members of the group. Figure 22.34 shows the idea behind multicasting.

Figure 22.34 *Multicasting*



A multicast packet starts from the source S1 and goes to all destinations that belong to group G1. In multicasting, when a router receives a packet, it may forward it through several of its interfaces.

In multicasting, the router may forward the received packet through several of its interfaces.

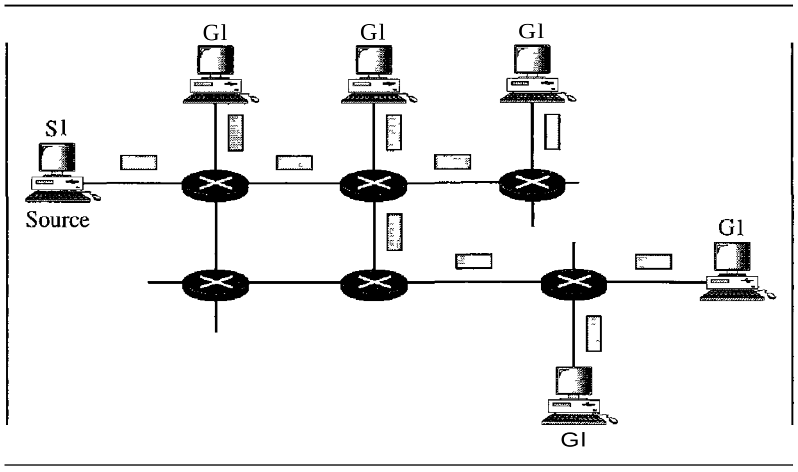
Broadcasting

In broadcast communication, the relationship between the source and the destination is one-to-all. There is only one source, but all the other hosts are the destinations. The Internet does not explicitly support broadcasting because of the huge amount of traffic it would create and because of the bandwidth it would need. Imagine the traffic generated in the Internet if one person wanted to send a message to everyone else connected to the Internet.

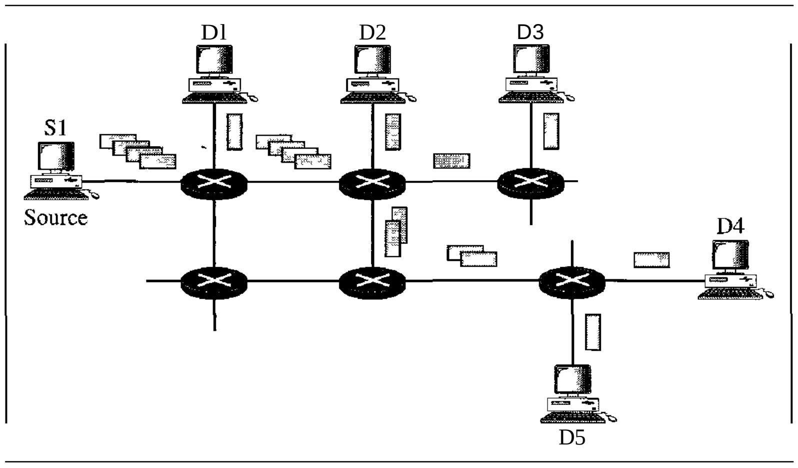
Multicasting Versus Multiple Unicasting

Before we finish this section, we need to distinguish between multicasting and multiple unicasting. Figure 22.35 illustrates both concepts.

Figure 22.35 *Multicasting versus multiple unicasting*



a. Multicasting



b. Multiple nnicasting

Multicasting starts with one single packet from the source that is duplicated by the routers. The destination address in each packet is the same for all duplicates. Note that only one single copy of the packet travels between any two routers.

In multiple unicasting, several packets start from the source. If there are five destinations, for example, the source sends five packets, each with a different unicast destination address. Note that there may be multiple copies traveling between two routers. For example, when a person sends an e-mail message to a group of people, this is multiple unicasting. The e-mail software creates replicas of the message, each with a different destination address and sends them one by one. This is not multicasting; it is multiple unicasting.

Emulation of Multicasting with Unicasting

You might wonder why we have a separate mechanism for multicasting, when it can be emulated with unicasting. There are two obvious reasons for this.

1. Multicasting is more efficient than multiple unicasting. In Figure 22.35, we can see how multicasting requires less bandwidth than does multiple unicasting. In multiple unicasting, some of the links must handle several copies.
2. In multiple unicasting, the packets are created by the source with a relative delay between packets. If there are 1000 destinations, the delay between the first and the last packet may be unacceptable. In multicasting, there is no delay because only one packet is created by the source.

Emulation of multicasting through multiple unicasting is not efficient and may create long delays, particularly with a large group.

Applications

Multicasting has many applications today such as access to distributed databases, information dissemination, teleconferencing, and distance learning.

Access to Distributed Databases

Most of the large databases today are distributed. That is, the information is stored in more than one location, usually at the time of production. The user who needs to access the database does not know the location of the information. A user's request is multicast to all the database locations, and the location that has the information responds.

Information Dissemination

Businesses often need to send information to their customers. If the nature of the information is the same for each customer, it can be multicast. In this way a business can send one message that can reach many customers. For example, a software update can be sent to all purchasers of a particular software package.

Dissemination of News

In a similar manner news can be easily disseminated through multicasting. One single message can be sent to those interested in a particular topic. For example, the statistics of the championship high school basketball tournament can be sent to the sports editors of many newspapers.

Teleconferencing

Teleconferencing involves multicasting. The individuals attending a teleconference all need to receive the same information at the same time. Temporary or permanent groups can be formed for this purpose. For example, an engineering group that holds meetings every Monday morning could have a permanent group while the group that plans the holiday party could form a temporary group.

Distance Learning

One growing area in the use of multicasting is distance learning. Lessons taught by one single professor can be received by a specific group of students. This is especially convenient for those students who find it difficult to attend classes on campus.

Multicast Routing

In this section, we first discuss the idea of optimal routing, common in all multicast protocols. We then give an overview of multicast routing protocols.

Optimal Routing: Shortest Path Trees

The process of optimal interdomain routing eventually results in the finding of the *shortest path tree.* The root of the tree is the source, and the leaves are the potential destinations. The path from the root to each destination is the shortest path. However, the number of trees and the formation of the trees in unicast and multicast routing are different. Let us discuss each separately.

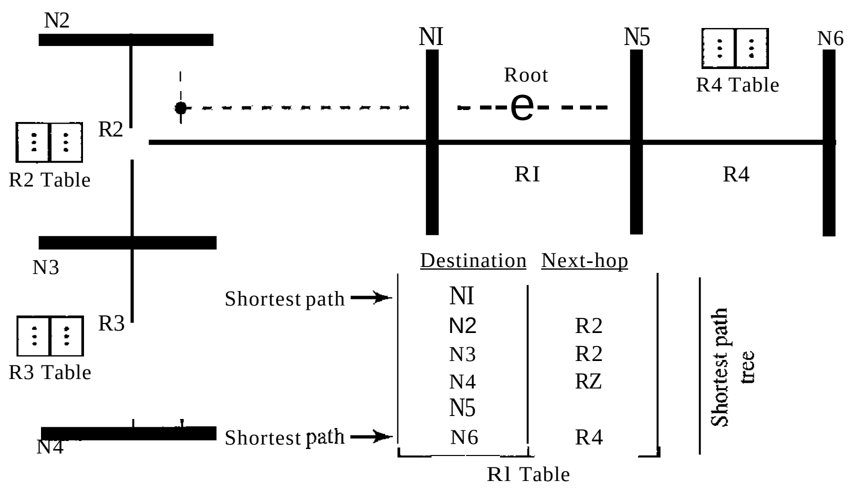
Unicast Routing In unicast routing, when a router receives a packet to forward, it needs to find the shortest path to the destination of the packet. The router consults its routing table for that particular destination. The next-hop entry corresponding to the destination is the start of the shortest path. The router knows the shortest path for each destination, which means that the router has a shortest path tree to optimally reach all destinations. In other words, each line of the routing table is a shortest path; the whole routing table is a shortest path tree. In unicast routing, each router needs only one shortest path tree to forward a packet; however, each router has its own shortest path tree. Figure 22.36 shows the situation.

The figure shows the details of the routing table and the shortest path tree for router Rl. Each line in the routing table corresponds to one path from the root to the corresponding network. The whole table represents the shortest path tree.

In unicast routing, each router in the domain has a table that defines
a shortest path tree to possible destinations.

Multicast Routing When a router receives a multicast packet, the situation is different from when it receives a unicast packet. A multicast packet may have destinations in more than one network. Forwarding of a single packet to members of a group requires a shortest path tree. If we have *n* groups, we may need *n* shortest path trees. We can imagine the complexity of multicast routing. Two approaches have been used to solve the problem: source-based trees and group-shared trees.

Figure 22.36 *Shortest path tree in unicast routing*

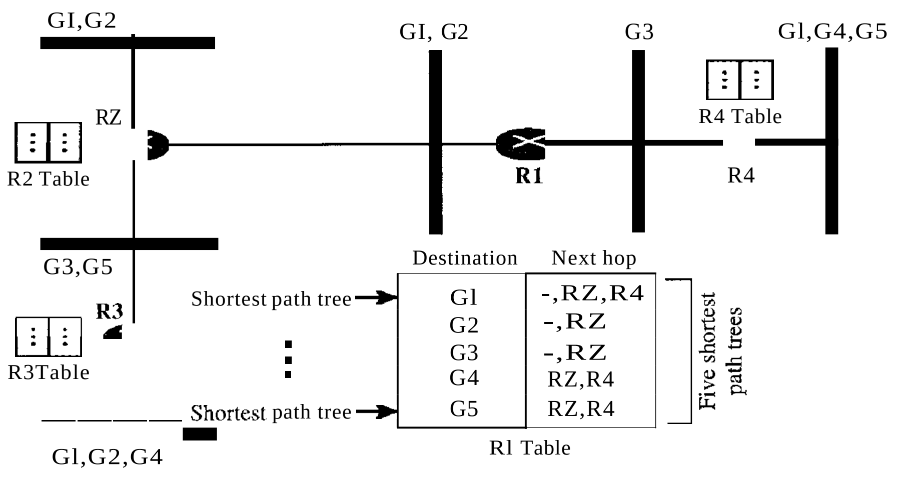


Destination	Next-hop
NI	
N2	R2
N3	R2
N4	RZ
N5	
N6	R4

In multicast routing, each involved router needs to construct a shortest path tree for each group.

O Source-Based Tree. In the source-based tree approach, each router needs to have one shortest path tree for each group. The shortest path tree for a group defines the next hop for each network that has loyal member(s) for that group. In Figure 22.37, we assume that we have only five groups in the domain: GI, G2, G3, G4, and G5. At the moment GI has loyal members in four networks, G2 in three, G3 in two, G4 in two, and G5 in two. We have shown the names of the groups with loyal members on each network. Figure 22.37 also shows the multicast routing table for router RI. There is one shortest path tree for each group; therefore there are five shortest path trees for five groups. If router Rl receives a packet with destination

Figure 22.37 *Source-based tree approach*



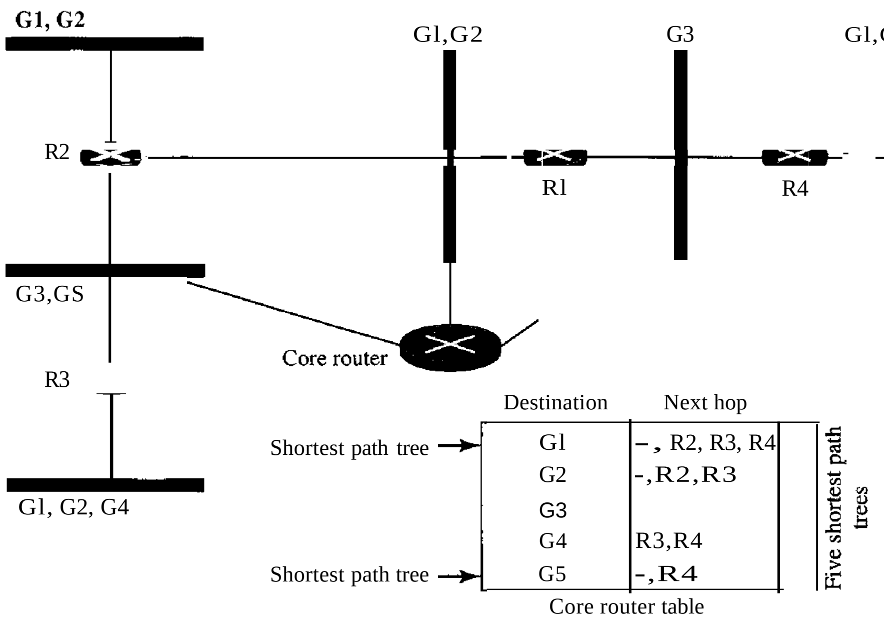
Destination	Next hop
Gl	-,RZ,R4
G2	-,RZ
G3	-,RZ
G4	RZ,R4
G5	RZ,R4

address G1, it needs to send a copy of the packet to the attached network, a copy to router R2, and a copy to router R4 so that all members of G1 can receive a copy. In this approach, if the number of groups is *m*, each router needs to have *m* shortest path trees, one for each group. We can imagine the complexity of the routing table if we have hundreds or thousands of groups. However, we will show how different protocols manage to alleviate the situation.

In the source-based tree approach, each router needs to have one shortest path tree for each group.

O Group-Shared Tree. In the group-shared tree approach, instead of each router having *m* shortest path trees, only one designated router, called the center core, or rendezvous router, takes the responsibility of distributing multicast traffic. The core has *m* shortest path trees in its routing table. The rest of the routers in the domain have none. If a router receives a multicast packet, it encapsulates the packet in a unicast packet and sends it to the core router. The core router removes the multicast packet from its capsule, and consults its routing table to route the packet. Figure 22.38 shows the idea.

Figure 22.38 *Group-shared tree approach*



Destination	Next hop
Gl	–, R2, R3, R4
G2	-,R2,R3
G3	
G4	R3,R4
G5	-,R4

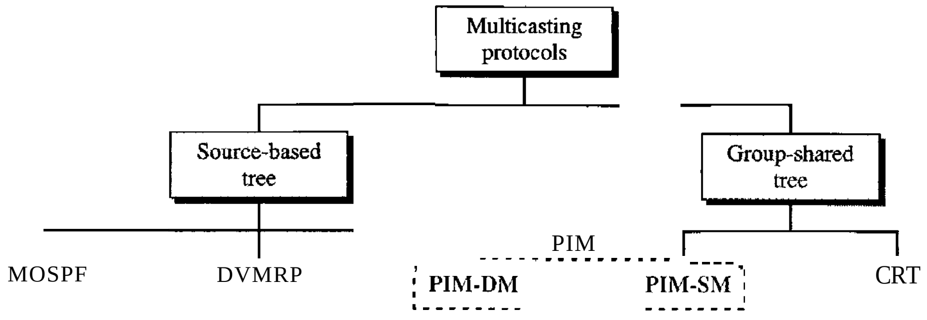
In the group-shared tree approach, only the core router, which has a shortest path tree for each group, is involved in multicasting.

Routing Protocols

During the last few decades, several multicast routing protocols have emerged. Some of these protocols are extensions of unicast routing protocols; others are totally new.

We discuss these protocols in the remainder of this chapter. Figure 22.39 shows the taxonomy of these protocols.

Figure 22.39 *Taxonomy of common multicast protocols*



Multicast Link State Routing: MOSPF

In this section, we briefly discuss multicast link state routing and its implementation in the Internet, MOSPF.

Multicast Link State Routing We discussed unicast link state routing in Section 22.3. We said that each router creates a shortest path tree by using Dijkstra's algorithm. The routing table is a translation of the shortest path tree. Multicast link state routing is a direct extension of unicast routing and uses a source-based tree approach. Although unicast routing is quite involved, the extension to multicast routing is very simple and straightforward.

Multicast link state routing uses the source-based tree approach.

Recall that in unicast routing, each node needs to advertise the state of its links. For multicast routing, a node needs to revise the interpretation of *state.* A node advertises every group which has any loyal member on the link. Here the meaning of state is "what groups are active on this link." The information about the group comes from IGMP (see Chapter 21). Each router running IGMP solicits the hosts on the link to find out the membership status.

When a router receives all these LSPs, it creates *n (n* is the number of groups) topologies, from which *n* shortest path trees are made by using Dijkstra's algorithm. So each router has a routing table that represents as many shortest path trees as there are groups.

The only problem with this protocol is the time and space needed to create and save the many shortest path trees. The solution is to create the trees only when needed. When a router receives a packet with a multicast destination address, it runs the Dijkstra algorithm to calculate the shortest path tree for that group. The result can be cached in case there are additional packets for that destination.

MOSPF Multicast Open Shortest Path First (MOSPF) protocol is an extension of the OSPF protocol that uses multicast link state routing to create source-based trees.

The protocol requires a new link state update packet to associate the unicast address of a host with the group address or addresses the host is sponsoring. This packet is called the group-membership LSA. In this way, we can include in the tree only the hosts (using their unicast addresses) that belong to a particular group. In other words, we make a tree that contains all the hosts belonging to a group, but we use the unicast address of the host in the calculation. For efficiency, the router calculates the shortest path trees on demand (when it receives the first multicast packet). In addition, the tree can be saved in cache memory for future use by the same source/group pair. MOSPF is a data-driven protocol; the first time an MOSPF router sees a datagram with a given source and group address, the router constructs the Dijkstra shortest path tree.

Multicast Distance Vector: DVMRP

In this section, we briefly discuss multicast distance vector routing and its implementation in the Internet, DVMRP.

Multicast Distance Vector Routing Unicast distance vector routing is very simple; extending it to support multicast routing is complicated. Multicast routing does not allow a router to send its routing table to its neighbors. The idea is to create a table from scratch by using the information from the unicast distance vector tables.

Multicast distance vector routing uses source-based trees, but the router never actually makes a routing table. When a router receives a multicast packet, it forwards the packet as though it is consulting a routing table. We can say that the shortest path tree is evanescent. After its use (after a packet is forwarded) the table is destroyed.

To accomplish this, the multicast distance vector algorithm uses a process based on four decision-making strategies. Each strategy is built on its predecessor. We explain them one by one and see how each strategy can improve the shortcomings of the previous one.

D Flooding. Flooding is the first strategy that comes to mind. A router receives a packet and, without even looking at the destination group address, sends it out from every interlace except the one from which it was received. Flooding accomplishes the first goal of multicasting: every network with active members receives the packet. However, so will networks without active members. This is a broadcast, not a multicast. There is another problem: it creates loops. A packet that has left the router may come back again from another interlace or the same interlace and be forwarded again. Some flooding protocols keep a copy of the packet for a while and discard any duplicates to avoid loops. The next strategy, reverse path forwarding, corrects this defect.

Flooding broadcasts packets, but creates loops in the systems.

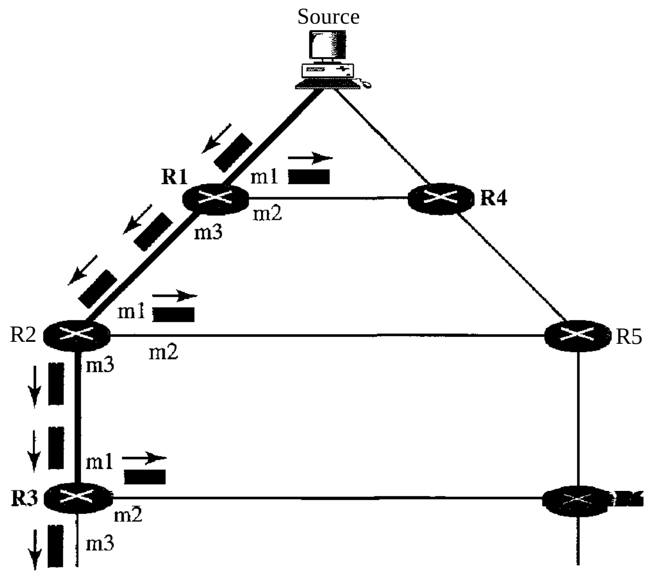
O Reverse Path Forwarding (RPF). RPF is a modified flooding strategy. To prevent loops, only one copy is forwarded; the other copies are dropped. In RPF, a router forwards only the copy that has traveled the shortest path from the source to the router. To find this copy, RPF uses the unicast routing table. The router receives a packet and extracts the source address (a unicast address). It consults its unicast routing table as though it wants to send a packet to the source address. The routing table tells the router the next hop. If the multicast packet has just come from the hop defined in the table, the packet has traveled the shortest path from the source to the router because the shortest path is reciprocal in unicast distance vector routing protocols. If the path from A to B is the shortest, then it is also the shortest from B to A. The router forwards the packet if it has traveled from the shortest path; it discards it otherwise.

This strategy prevents loops because there is always one shortest path from the source to the router. If a packet leaves the router and comes back again, it has not traveled the shortest path. To make the point clear, let us look at Figure 22.40.

Figure 22.40 shows part of a domain and a source. The shortest path tree as calculated by routers RI, R2, and R3 is shown by a thick line. When RI receives a packet from the source through the interface rnl, it consults its routing table and finds that the shortest path from RI to the source is through interface mI. The packet is forwarded. However, if a copy of the packet has arrived through interface m2, it is discarded because m2 does not define the shortest path from RI to the source. The story is the same with R2 and R3. You may wonder what happens if a copy of a packet that arrives at the ml interface of R3, travels through R6, R5, R2, and then enters R3 through interface ml. This interface is the correct interface for R3. Is the copy of the packet forwarded? The answer is that this scenario never happens because when the packet goes from R5 to R2, it will be discarded by R2 and never reaches R3. The upstream routers toward the source always discard a packet that has not gone through the shortest path, thus preventing confusion for the downstream routers.

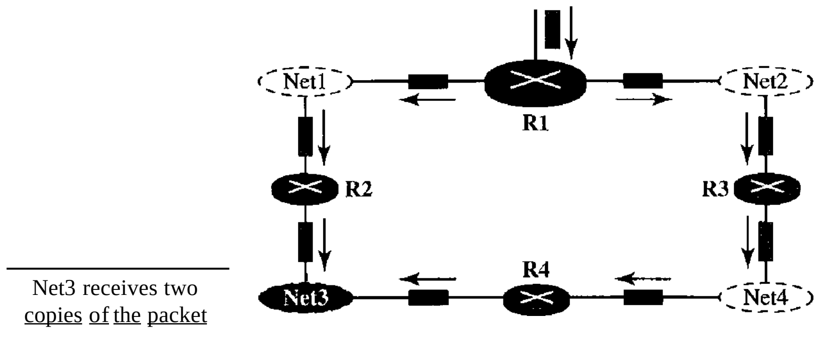
RPF eliminates the loop in the flooding process.

Figure 22.40 *Reverse path forwarding (RPF)*



O Reverse Path Broadcasting (RPB). RPF guarantees that each network receives a copy of the multicast packet without formation of loops. However, RPF does not guarantee that each network receives only one copy; a network may receive two or more copies. The reason is that RPF is not based on the destination address (a group address); forwarding is based on the source address. To visualize the problem, let us look at Figure 22.41.

Figure 22.41 *Problem with RPF*

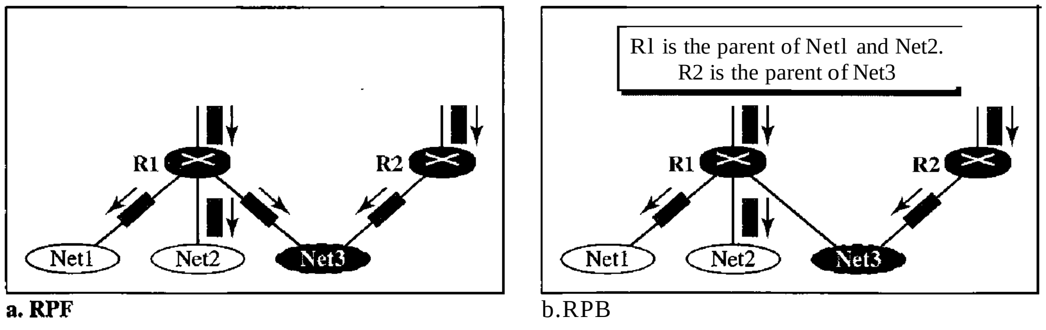


Net3 in this figure receives two copies of the packet even though each router just sends out one copy from each interface. There is duplication because a tree has not been made; instead of a tree we have a graph. Net3 has two parents: routers R2 andR4.

To eliminate duplication, we must define only one parent router for each network. We must have this restriction: A network can receive a multicast packet from a particular source only through a designated parent router.

Now the policy is clear. For each source, the router sends the packet only out of those interfaces for which it is the designated parent. This policy is called reverse path broadcasting (RPB). RPB guarantees that the packet reaches every network and that every network receives only one copy. Figure 22.42 shows the difference between RPF and RPB.

Figure 22.42 *RPF Versus RPB*

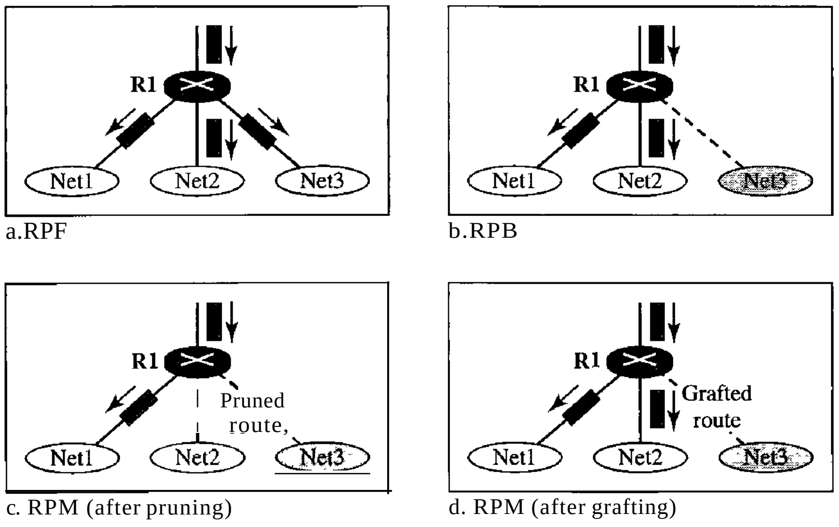


The reader may ask how the designated parent is determined. The designated parent router can be the router with the shortest path to the source. Because routers periodically send updating packets to each other (in RIP), they can easily determine which router in the neighborhood has the shortest path to the source (when interpreting the source as the destination), If more than one router qualifies, the router with the smallest IP address is selected.

RPB creates a shortest path broadcast tree from the source to each destination.
It guarantees that each destination receives one and only one copy of the packet.

O Reverse Path Multicasting (RPM). As you may have noticed, RPB does not multicast the packet, it broadcasts it. This is not efficient. To increase efficiency, the multicast packet must reach only those networks that have active members for that particular group. This is called reverse path multicasting (RPM). To convert broadcasting to multicasting, the protocol uses two procedures, pruning and grafting. Figure 22.43 shows the idea of pruning and grafting.

Figure 22.43 *RPF, RPB, and RPM*



The designated parent router of each network is responsible for holding the membership information. This is done through the IGMP protocol described in Chapter 21. The process starts when a router connected to a network finds that there is no interest in a multicast packet. The router sends a prune message to the upstream router so that it can exclude the corresponding interface. That is, the upstream router can stop sending multicast messages for this group through that interface. Now if this router receives prune messages from all downstream routers, it, in turn, sends a prune message to its upstream router.

What if a leaf router (a router at the bottom of the tree) has sent a prune message but suddenly realizes, through IGMP, that one of its networks is again interested in receiving the multicast packet? It can send a graft message. The graft message forces the upstream router to resume sending the multicast messages.

RPM adds pruning and grafting to RPB to create a multicast shortest path tree that supports dynamic membership changes.

DVMRP The Distance Vector Multicast Routing Protocol (DVMRP) is an implementation of multicast distance vector routing. It is a source-based routing protocol, based on RIP.

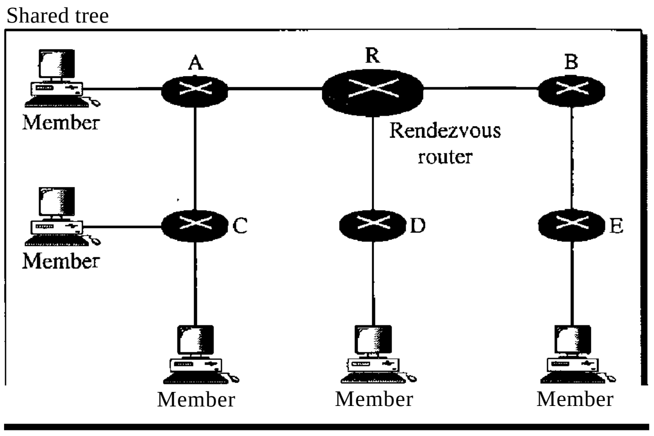
CRT

The Core-Based Tree (CBT) protocol is a group-shared protocol that uses a core as the root of the tree. The autonomous system is divided into regions, and a core (center router or rendezvous router) is chosen for each region.

Formation of the Tree After the rendezvous point is selected, every router is infonned of the unicast address of the selected router. Each router then sends a unicast join message (similar to a grafting message) to show that it wants to join the group. This message passes through all routers that are located between the sender and the rendezvous router. Each intermediate router extracts the necessary infonnation from the message, such as the unicast address of the sender and the interface through which the packet has arrived, and forwards the message to the next router in the path. When the rendezvous router has received all join messages from every member of the group, the tree is formed. Now every router knows its upstream router (the router that leads to the root) and the downstream router (the router that leads to the leaf).

If a router wants to leave the group, it sends a leave message to its upstream router. The upstream router removes the link to that router from the tree and forwards the message to its upstream router, and so on. Figure 22.44 shows a group-shared tree with its rendezvous router.

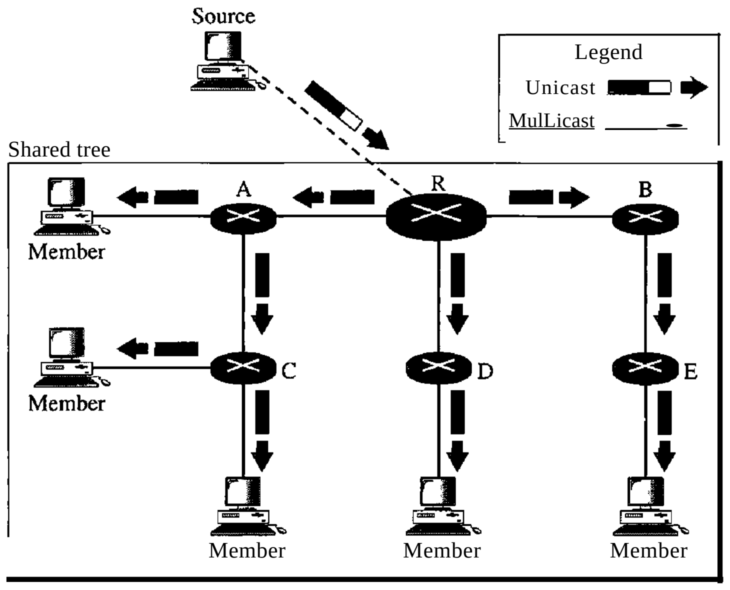
Figure 22.44 *Group-shared tree with rendezvous router*



The reader may have noticed two differences between DVMRP and MOSPF, on one hand, and CBT, on the other. First, the tree for the first two is made from the root up; the tree for CBT is fonned from the leaves down. Second, in DVMRP, the tree is first made (broadcasting) and then pruned; in CBT, there is no tree at the beginning; the joining (grafting) gradually makes the tree.

Sending Multicast Packets After formation of the tree, any source (belonging to the group or not) can send a multicast packet to all members of the group. It simply sends the packet to the rendezvous router, using the unicast address of the rendezvous router; the rendezvous router distributes the packet to all members of the group. Figure 22.45 shows how a host can send a multicast packet to all members of the group. Note that the source host can be any of the hosts inside the shared tree or any host outside the shared tree. In Figure 22.45 we show one located outside the shared tree.

Figure 22.45 *Sending a multicast packet to the rendezvous router*



Selecting the Rendezvous Router This approach is simple except for one point. How do we select a rendezvous router to optimize the process and multicasting as well? Several methods have been implemented. However, this topic is beyond the scope of this book, and we leave it to more advanced books.

In summary, the Core-Based Tree (CBT) is a group-shared tree, center-based protocol using one tree per group. One of the routers in the tree is called the core. A packet is sent from the source to members of the group following this procedure:

1. The source, which mayor may not be part of the tree, encapsulates the multicast packet inside a unicast packet with the unicast destination address of the core and sends it to the core. This part of delivery is done using a unicast address; the only recipient is the core router.
2. The core decapsulates the unicast packet and forwards it to all interested intetfaces.
3. Each router that receives the multicast packet, in tum, forwards it to all interested interfaces.

In CRT, the source sends the multicast packet (encapsulated in a unicast packet) to the core router. The core router decapsulates the packet and forwards it to all interested interfaces.

PIM

Protocol Independent Multicast (PIM) is the name given to two independent multicast routing protocols: Protocol Independent Multicast, Dense Mode (PIM-DM) and Protocol Independent Multicast, Sparse Mode (PIM-SM). Both protocols are unicast-protocol-dependent, but the similarity ends here. We discuss each separately.

PIM-DM PIM-DM is used when there is a possibility that each router is involved in multicasting (dense mode). In this environment, the use of a protocol that broadcasts the packet is justified because almost all routers are involved in the process.

PIM-DM is used in a dense multicast environment, such as a LAN.

PIM-DM is a source-based tree routing protocol that uses RPF and pruning and grafting strategies for multicasting. Its operation is like that of DVMRP; however, unlike DVMRP, it does not depend on a specific unicasting protocol. It assumes that the autonomous system is using a unicast protocol and each router has a table that can find the outgoing interface that has an optimal path to a destination. This unicast protocol can be a distance vector protocol (RIP) or link state protocol (OSPF).

PIM-DM uses RPF and pruning and grafting strategies to handle multicasting. However, it is independent of the underlying unicast protocol.

PIM-SM PIM-SM is used when there is a slight possibility that each router is involved in multicasting (sparse mode). In this environment, the use of a protocol that broadcasts the packet is not justified; a protocol such as CBT that uses a group-shared tree is more appropriate.

PIM-SM is used in a sparse multicast environment such as a WAN.

PIM-SM is a group-shared tree routing protocol that has a rendezvous point (RP) as the source of the tree. Its operation is like CBT; however, it is simpler because it does not require acknowledgment from ajoin message. In addition, it creates a backup set of RPs for each region to cover RP failures.

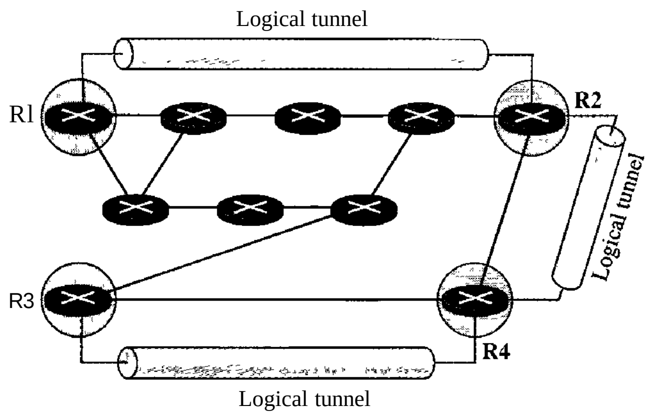
One of the characteristics of PIM-SM is that it can switch from a group-shared tree strategy to a source-based tree strategy when necessary. This can happen if there is a dense area of activity far from the RP. That area can be more efficiently handled with a source-based tree strategy instead of a group-shared tree strategy.

PIM-SM is similar to CRT but uses a simpler procedure.

MBONE

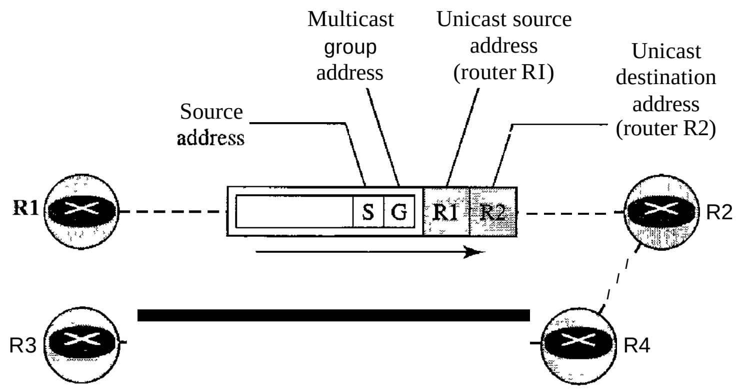
Multimedia and real-time communication have increased the need for multicasting in the Internet. However, only a small fraction of Internet routers are multicast routers. In other words, a multicast router may not find another multicast router in the neighborhood to forward the multicast packet. Although this problem may be solved in the next few years by adding more and more multicast routers, there is another solution to this problem. The solution is tunneling. The multicast routers are seen as a group of routers on top of unicast routers. The multicast routers may not be connected directly, but they are connected logically. Figure 22.46 shows the idea. In Figure 22.46, only the routers enclosed in the shaded circles are capable of multicasting. Without tunneling, these routers are isolated islands. To enable multicasting, we make a multicast backbone (MBONE) out of these isolated routers by using the concept of tunneling.

Figure 22.46 *Logical tunneling*



A logical tunnel is established by encapsulating the multicast packet inside a unicast packet. The multicast packet becomes the payload (data) of the unicast packet. The intermediate (nonmulticast) routers forward the packet as unicast routers and deliver the packet from one island to another. It's as if the unicast routers do not exist and the two multicast routers are neighbors. Figure 22.47 shows the concept. So far the only protocol that supports MBONE and tunneling is DVMRP.

Figure 22.47 *MBONE*


Multicast group address
Unicast source address (router R1)
Unicast destination address (router R2)
Source address
R1
S
G
R1
R2
R2
R3
R4

PART 5

Transport Layer

Objectives

The transport layer is responsible for process-to-process delivery of the entire message. A process is an application program running on a host. Whereas the network layer oversees source-to-destination delivery of individual packets, it does not recognize any relationship between those packets. It treats each one independently, as though each piece belonged to a separate message, whether or not it does. The transport layer, on the other hand, ensures that the whole message arrives intact and in order, overseeing both error control and flow control at the source-to-destination level.

The transport layer is responsible for the delivery of a message from one process to another.

Computers often run several programs at the same time. For this reason, source-to-destination delivery means delivery not only from one computer to the next but also from a specific process on one computer to a specific process on the other. The transport layer header must therefore include a type of address called a *service-point address* in the OSI model and port number or port addresses in the Internet and TCP/IP protocol suite.

A transport layer protocol can be either connectionless or connection-oriented. A connectionless transport layer treats each segment as an independent packet and delivers it to the transport layer at the destination machine. A connection-oriented transport layer makes a connection with the transport layer at the destination machine first before delivering the packets. After all the data is transferred, the connection is terminated.

In the transport layer, a message is normally divided into transmittable segments. A connectionless protocol, such as UDP, treats each segment separately. A connection-oriented protocol, such as TCP and SCTP, creates a relationship between the segments using sequence numbers.

Like the data link layer, the transport layer may be responsible for flow and error control. However, flow and error control at this layer is performed end to end rather than across a single link. We will see that one of the protocols discussed in this part of the book, UDP, is not involved in flow or error controL On the other hand, the other two protocols, TCP and SCTP, use sliding windows for flow control and an acknowledgment system for error controL

Part 5 of the book is devoted to the transport layer
and the services provided by this layer.

Chapters

This part consists of two chapters: Chapters 23 and 24.

Chapter 23

Chapter 23 discusses three transport layer protocols in the Internet: UDP, TCP, and SCTP. The first, User Datagram Protocol (UDP), is a connectionless, unreliable protocol that is used for its efficiency. The second, Transmission Control Protocol (TCP), is a connection-oriented, reliable protocol that is a good choice for data transfer. The third, Stream Control Transport Protocol (SCTP) is a new transport-layer protocol designed for multimedia applications.

Chapter 24

Chapter 24 discuss two related topics: congestion control and quality of service. Although these two issues can be related to any layer, we discuss them here with some references to other layers.

CHAPTER 23

Process-la-Process Delivery: UDp, TCp, and SCTP

We begin this chapter by giving the rationale for the existence of the transport layer-the need for process-to-process delivery. We discuss the issues arising from this type of delivery, and we discuss methods to handle them.

The Internet model has three protocols at the transport layer: UDP, TCP, and SCTP. First we discuss UDP, which is the simplest of the three. We see how we can use this very simple transport layer protocol that lacks some of the features of the other two.

We then discuss TCP, a complex transport layer protocol. We see how our previously presented concepts are applied to TCP. We postpone the discussion of congestion control and quality of service in TCP until Chapter 24 because these two topics apply to the data link layer and network layer as well.

We finally discuss SCTP, the new transport layer protocol that is designed for multihomed, multistream applications such as multimedia.

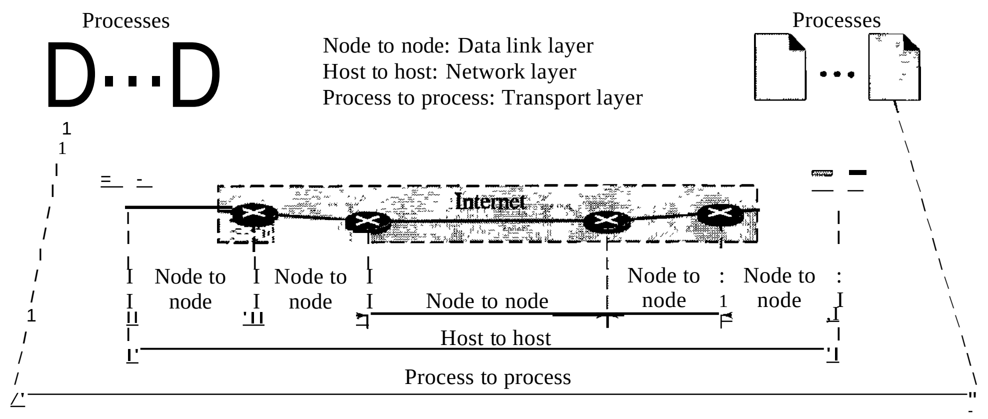
23.1 PROCESS-TO-PROCESS DELIVERY

The data link layer is responsible for delivery of frames between two neighboring nodes over a link. This is called *node-to-node delivery.* The network layer is responsible for delivery of datagrams between two hosts. This is called *host-to-host delivery.* Communication on the Internet is not defined as the exchange of data between two nodes or between two hosts. Real communication takes place between two processes (application programs). We need process-to-process delivery. However, at any moment, several processes may be running on the source host and several on the destination host. To complete the delivery, we need a mechanism to deliver data from one of these processes running on the source host to the corresponding process running on the destination host.

The transport layer is responsible for process-to-process delivery-the delivery of a packet, part of a message, from one process to another. Two processes communicate in a client/server relationship, as we will see later. Figure 23.1 shows these three types of deliveries and their domains.

The transport layer is responsible for process-to-process delivery.

Figure 23.1 *Types ofdata deliveries*



Client/Server Paradigm

Although there are several ways to achieve process-to-process communication, the most common one is through the client/server paradigm. A process on the local host, called a client, needs services from a process usually on the remote host, called a server.

Both processes (client and server) have the same name. For example, to get the day and time from a remote machine, we need a Daytime client process running on the local host and a Daytime server process running on a remote machine.

Operating systems today support both multiuser and multiprogramming environments. A remote computer can run several server programs at the same time, just as local computers can run one or more client programs at the same time. For communication, we must define the following:

1. Local host
2. Local process
3. Remote host
4. Remote process

Addressing

Whenever we need to deliver something to one specific destination among many, we need an address. At the data link layer, we need a MAC address to choose one node among several nodes if the connection is not point-to-point. A frame in the data link layer needs a destination MAC address for delivery and a source address for the next node's reply.

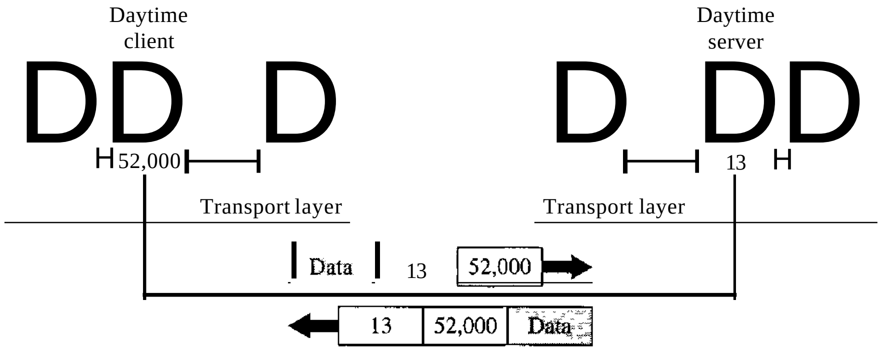
At the network layer, we need an IP address to choose one host among millions. A datagram in the network layer needs a destination IP address for delivery and a source IP address for the destination's reply.

At the transport layer, we need a transport layer address, called a port number, to choose among multiple processes running on the destination host. The destination port number is needed for delivery; the source port number is needed for the reply.

In the Internet model, the port numbers are 16-bit integers between 0 and 65,535. The client program defines itself with a port number, chosen randomly by the transport layer software running on the client host. This is the ephemeral port number.

The server process must also define itself with a port number. This port number, however, cannot be chosen randomly. If the computer at the server site runs a server process and assigns a random number as the port number, the process at the client site that wants to access that server and use its services will not know the port number. Of course, one solution would be to send a special packet and request the port number of a specific server, but this requires more overhead. The Internet has decided to use universal port numbers for servers; these are called well-known port numbers. There are some exceptions to this rule; for example, there are clients that are assigned well-known port numbers. Every client process knows the well-known port number of the corresponding server process. For example, while the Daytime client process, discussed above, can use an ephemeral (temporary) port number 52,000 to identify itself, the Daytime server process must use the well-known (permanent) port number 13. Figure 23.2 shows this concept.

Figure 23.2 *Port numbers*



It should be clear by now that the IP addresses and port numbers play different roles in selecting the final destination of data. The destination IP address defines the host among the different hosts in the world. After the host has been selected, the port number defines one of the processes on this particular host (see Figure 23.3).

lANA Ranges

The lANA (Internet Assigned Number Authority) has divided the port numbers into three ranges: well known, registered, and dynamic (or private), as shown in Figure 23.4.

- Well-known ports. The ports ranging from 0 to 1023 are assigned and controlled by lANA. These are the well-known ports.
- Registered ports. The ports ranging from 1024 to 49,151 are not assigned or controlled by lANA. They can only be registered with lANA to prevent duplication.
- Dynamic ports. The ports ranging from 49,152 to 65,535 are neither controlled nor registered. They can be used by any process. These are the ephemeral ports.

Figure 23.3 *IP addresses versus port numbers*

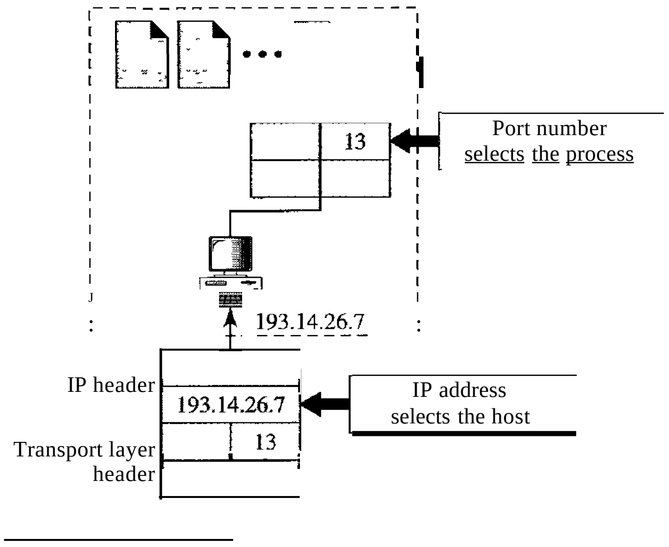
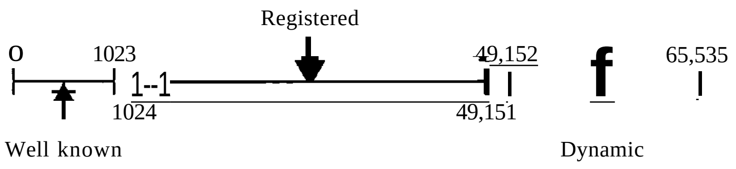


Figure 23.4 *lANA ranges*

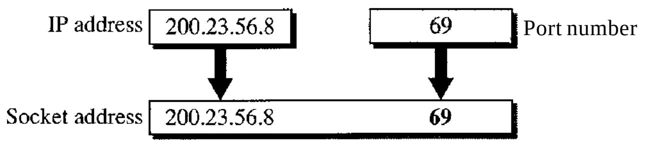


Socket Addresses

Process-to-process delivery needs two identifiers, IP address and the port number, at each end to make a connection. The combination of an IP address and a port number is called a socket address. The client socket address defines the client process uniquely just as the server socket address defines the server process uniquely (see Figure 23.5).

A transport layer protocol needs a pair of socket addresses: the client socket address and the server socket address. These four pieces of information are part of the IP header and the transport layer protocol header. The IP header contains the IP addresses; the UDP or TCP header contains the port numbers.

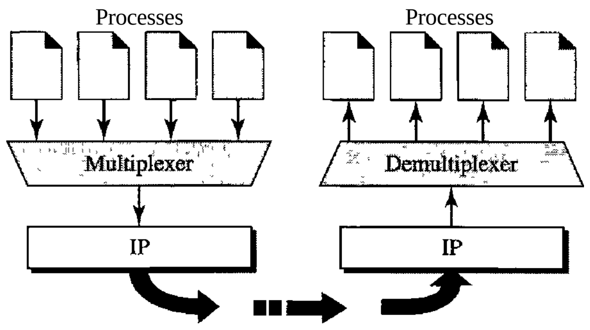
Figure 23.5 *Socket address*



Multiplexing and Demultiplexing

The addressing mechanism allows multiplexing and demultiplexing by the transport layer, as shown in Figure 23.6.

Figure 23.6 *Multiplexing and demultiplexing*



Multiplexing

At the sender site, there may be several processes that need to send packets. However, there is only one transport layer protocol at any time. This is a many-to-one relationship and requires multiplexing. The protocol accepts messages from different processes, differentiated by their assigned port numbers. After adding the header, the transport layer passes the packet to the network layer.

Demultiplexing

At the receiver site, the relationship is one-to-many and requires demultiplexing. The transport layer receives datagrams from the network layer. After error checking and dropping of the header, the transport layer delivers each message to the appropriate process based on the port number.

Connectionless Versus Connection-Oriented Service

A transport layer protocol can either be connectionless or connection-oriented.

Connectionless Service

In a connectionless service, the packets are sent from one party to another with no need for connection establishment or connection release. The packets are not numbered; they may be delayed or lost or may arrive out of sequence. There is no acknowledgment either. We will see shortly that one of the transport layer protocols in the Internet model, UDP, is connectionless.

Connection-Oriented Service

In a connection-oriented service, a connection is first established between the sender and the receiver. Data are transferred. At the end, the connection is released. We will see shortly that TCP and SCTP are connection-oriented protocols.

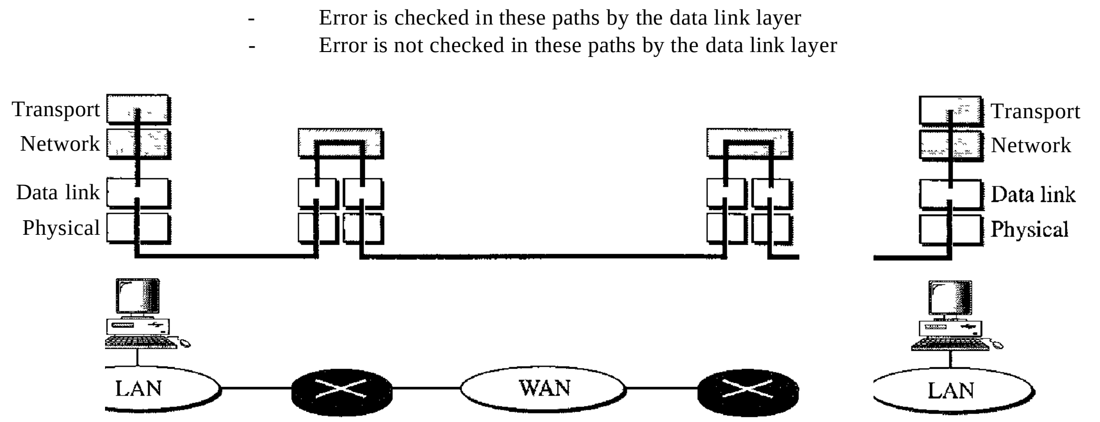
Reliable Versus Unreliable

The transport layer service can be reliable or unreliable. If the application layer program needs reliability, we use a reliable transport layer protocol by implementing flow and error control at the transport layer. This means a slower and more complex service. On the other hand, if the application program does not need reliability because it uses its own flow and error control mechanism or it needs fast service or the nature of the service does not demand flow and error control (real-time applications), then an unreliable protocol can be used.

In the Internet, there are three common different transport layer protocols, as we have already mentioned. UDP is connectionless and unreliable; TCP and SCTP are connection-oriented and reliable. These three can respond to the demands of the application layer programs.

One question often comes to the mind. If the data link layer is reliable and has flow and error control, do we need this at the transport layer, too? The answer is yes. Reliability at the data link layer is between two nodes; we need reliability between two ends. Because the network layer in the Internet is unreliable (best-effort delivery), we need to implement reliability at the transport layer. To understand that error control at the data link layer does not guarantee error control at the transport layer, let us look at Figure 23.7.

Figure 23.7 *Error control*

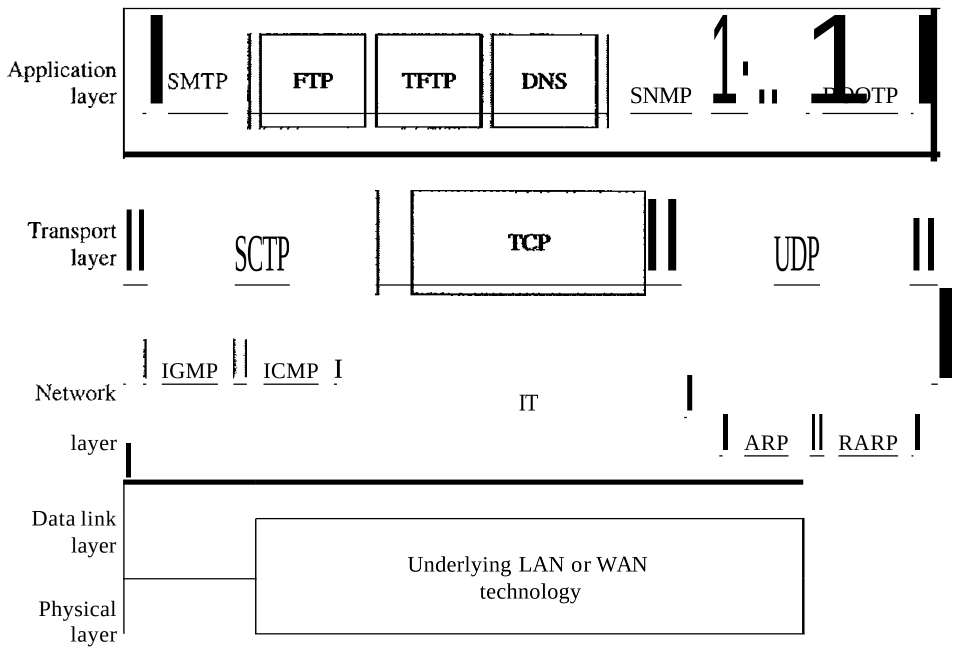

- Error is checked in these paths by the data link layer
- Error is not checked in these paths by the data link layer
Transport
Network
Data link
Physical
Transport
Network
Data link
Physical
LAN
WAN
LAN

As we will see, flow and error control in TCP is implemented by the sliding window protocol, as discussed in Chapter 11. The window, however, is character-oriented, instead of frame-oriented.

Three Protocols

The original TCP/IP protocol suite specifies two protocols for the transport layer: UDP and TCP. We first focus on UDP, the simpler of the two, before discussing TCP. A new transport layer protocol, SCTP, has been designed, which we also discuss in this chapter. Figure 23.8 shows the position of these protocols in the TCP/IP protocol suite.

Figure 23.8 *Position of UDp, TCp, and SCTP in TCPIIP suite*



23.2 USER DATAGRAM PROTOCOL (UDP)

The User Datagram Protocol (UDP) is called a connectionless, unreliable transport protocol. It does not add anything to the services of IP except to provide process-to-process communication instead of host-to-host communication. Also, it performs very limited error checking.

If UDP is so powerless, why would a process want to use it? With the disadvantages come some advantages. UDP is a very simple protocol using a minimum of overhead. If a process wants to send a small message and does not care much about reliability, it can use UDP. Sending a small message by using UDP takes much less interaction between the sender and receiver than using TCP or SCTP.

Well-Known Ports for UDP

Table 23.1 shows some well-known port numbers used by UDP. Some port numbers can be used by both UDP and TCP. We discuss them when we talk about TCP later in the chapter.

Table 23.1 *Well-known ports used with UDP*

Port	*Protocol*	*Description*
7	Echo	Echoes a received datagram back to the sender
9	Discard	Discards any datagram that is received
11	Users	Active users

Table 23.1 *Well-known ports used with UDP (continued)*

Port	*Protocol*	*Description*
13	Daytime	Returns the date and the time
17	Quote	Returns a quote of the day
19	Chargen	Returns a string of characters
53	Nameserver	Domain Name Service
67	BOOTPs	Server port to download bootstrap information
68	BOOTPc	Client port to download bootstrap information
69	TFTP	Trivial File Transfer Protocol
III	RPC	Remote Procedure Call
123	NTP	Network Time Protocol
161	SNMP	Simple Network Management Protocol
162	SNMP	Simple Network Management Protocol (trap)

Example 23.1

In UNIX, the well-known ports are stored in a file called fetcfservices. Each line in this file gives the name of the server and the well-known port number. We can use the *grep* utility to extract the line corresponding to the desired application. The following shows the port for FTP. Note that FTP can use port 21 with either UDP or TCP.

```
$grep     ftp    fetclservices
ftp        21ftcp
fip        211udp
```

SNMP uses two port numbers (161 and 162), each for a different purpose, as we will see in Chapter 28.

```
$grep       snmp fetclservices
snmp            161ftcp            #Simple Net  Mgmt Proto
snmp            1611udp            #Simple Net  Mgmt Proto
snmptrap        162/udp            #Traps for SNMP
```

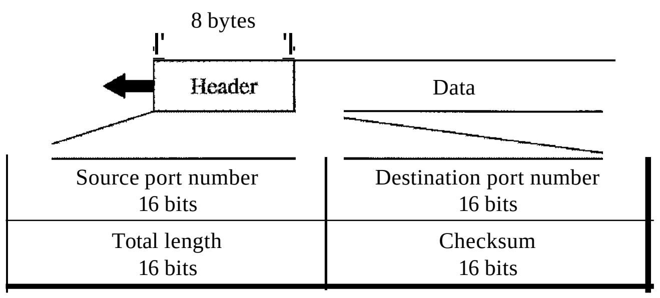
User Datagram

UDP packets, called **user datagrams**, have a fixed-size header of 8 bytes. Figure 23.9 shows the format of a user datagram.

The fields are as follows:

O **Source port number.** This is the port number used by the process running on the source host. It is 16 bits long, which means that the port number can range from 0 to 65,535. If the source host is the client (a client sending a request), the port number, in most cases, is an ephemeral port number requested by the process and chosen by the UDP software running on the source host. If the source host is the server (a server sending a response), the port number, in most cases, is a well-known port number.

Figure 23.9 *User datagram format*



- Destination port number. This is the port number used by the process running on the destination host. It is also 16 bits long. If the destination host is the server (a client sending a request), the port number, in most cases, is a well-known port number. If the destination host is the client (a server sending a response), the port number, in most cases, is an ephemeral port number. In this case, the server copies the ephemeral port number it has received in the request packet.
- Length. This is a 16-bit field that defines the total length of the user datagram, header plus data. The 16 bits can define a total length of 0 to 65,535 bytes. However, the total length needs to be much less because a UDP user datagram is stored in an IP datagram with a total length of 65,535 bytes.

  The length field in a UDP user datagram is actually not necessary. A user datagram is encapsulated in an IP datagram. There is a field in the IP datagram that defines the total length. There is another field in the IP datagram that defines the length of the header. So if we subtract the value of the second field from the first, we can deduce the length of a UDP datagram that is encapsulated in an IP datagram.

  UDP length = IP length - IP header's length

  However, the designers of the UDP protocol felt that it was more efficient for the destination UDP to calculate the length of the data from the information provided in the UDP user datagram rather than ask the IP software to supply this information. We should remember that when the IP software delivers the UDP user datagram to the UDP layer, it has already dropped the IP header.
- Checksum. This field is used to detect errors over the entire user datagram (header plus data). The checksum is discussed next.

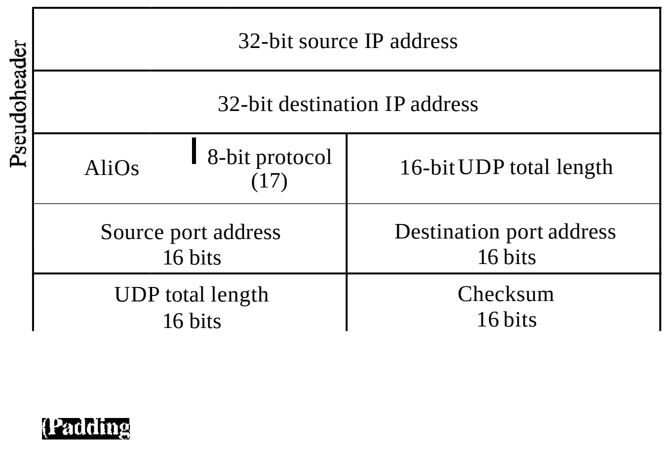
Checksum

We have already talked about the concept of the checksum and the way it is calculated in Chapter 10. We have also shown how to calculate the checksum for the IP and ICMP packet. We now show how this is done for UDP.

The UDP checksum calculation is different from the one for IP and ICMP. Here the checksum includes three sections: a pseudoheader, the UDP header, and the data coming from the application layer.

The pseudoheader is the part of the header of the IP packet in which the user datagram is to be encapsulated with some fields filled with Os (see Figure 23.10).

Figure 23.10 *Pseudoheader for checksum calculation*



If the checksum does not include the pseudoheader, a user datagram may arrive safe and sound. However, if the IP header is corrupted, it may be delivered to the wrong host.

The protocol field is added to ensure that the packet belongs to UDP, and not to other transport-layer protocols. We will see later that if a process can use either UDP or TCP, the destination port number can be the same. The value of the protocol field for UDP is 17. If this value is changed during transmission, the checksum calculation at the receiver will detect it and UDP drops the packet. It is not delivered to the wrong protocol.

Note the similarities between the pseudoheader fields and the last 12 bytes of the IP header.

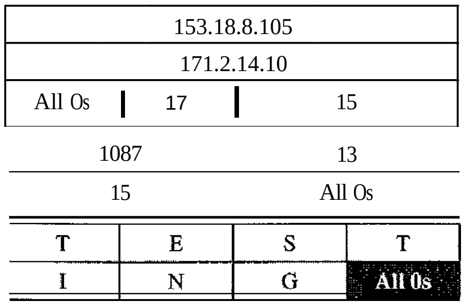
Example 23.2

Figure 23.11 shows the checksum calculation for a very small user datagram with only 7 bytes of data. Because the number of bytes of data is odd, padding is added for checksum calcUlation. The pseudoheader as well as the padding will be dropped when the user datagram is delivered to IP.

Optional Use of the Checksum

The calculation of the checksum and its inclusion in a user datagram are optional. If the checksum is not calculated, the field is filled with 1s. Note that a calculated checksum can never be allIs because this implies that the sum is all Os, which is impossible because it requires that the value of fields to be Os.

Figure 23.11 *Checksum calculation ofa simple UDP user datagram*



```
10011001 00010010 ──→ 153.18
00001000 01101001 ──→ 8.105
10101011 00000010 ──→ 171.2
00001110 00001010 ──→ 14.10
00000000 00010001 ──→ 0and 17
00000000 00001111 ──→ 15
00000100 00111111 ──→ 1087
00000000 00001101 ──→ 13
00000000 00001111 ──→ 15
00000000 00000000 ──→ 0 (checksum)
01010100 01000101 ──→ T and E
01010011 01010100 ──→ Sand T
01001001 01001110 ──→ I and N
010001 II 00000000 ──→ G and 0 (padding)

1O01O110 11101011 ──→ Sum
HUHIOOl  00010100 ──→ Checksum
```

UDP Operation

UDP uses concepts common to the transport layer. These concepts will be discussed here briefly, and then expanded in the next section on the TCP protocol.

Connectionless Services

As mentioned previously, UDP provides a connectionless service. This means that each user datagram sent by UDP is an independent datagram. There is no relationship between the different user datagrams even if they are coming from the same source process and going to the same destination program. The user datagrams are not numbered. Also, there is no connection establishment and no connection termination, as is the case for TCP. This means that each user datagram can travel on a different path.

One of the ramifications of being connectionless is that the process that uses UDP cannot send a stream of data to UDP and expect UDP to chop them into different related user datagrams. Instead each request must be small enough to fit into one user datagram. Only those processes sending short messages should use UDP.

Flow and Error Control

UDP is a very simple, unreliable transport protocol. There is no flow control and hence no window mechanism. The receiver may overflow with incoming messages.

There is no error control mechanism in UDP except for the checksum. This means that the sender does not know if a message has been lost or duplicated. When the receiver detects an error through the checksum, the user datagram is silently discarded.

The lack of flow control and error control means that the process using UDP should provide these mechanisms.

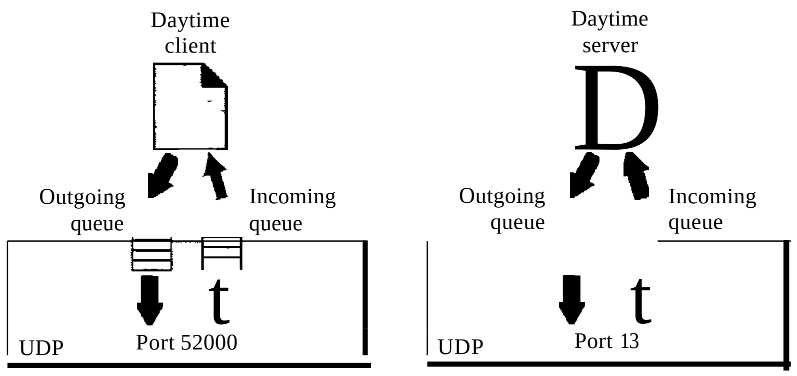
Encapsulation and Decapsulation

To send a message from one process to another, the UDP protocol encapsulates and decapsulates messages in an IP datagram.

Queuing

We have talked about ports without discussing the actual implementation of them. In UDP, queues are associated with ports (see Figure 23.12).

Figure 23.12 *Queues in UDP*



At the client site, when a process starts, it requests a port number from the operating system. Some implementations create both an incoming and an outgoing queue associated with each process. Other implementations create only an incoming queue associated with each process.

Note that even if a process wants to communicate with multiple processes, it obtains only one port number and eventually one outgoing and one incoming queue. The queues opened by the client are, in most cases, identified by ephemeral port numbers. The queues function as long as the process is running. When the process terminates, the queues are destroyed.

The client process can send messages to the outgoing queue by using the source port number specified in the request. UDP removes the messages one by one and, after adding the UDP header, delivers them to IP. An outgoing queue can overflow. If this happens, the operating system can ask the client process to wait before sending any more messages.

When a message arrives for a client, UDP checks to see if an incoming queue has been created for the port number specified in the destination port number field of the user datagram. If there is such a queue, UDP sends the received user datagram to the end of the queue. If there is no such queue, UDP discards the user datagram and asks the ICMP protocol to send a *port unreachable* message to the server. All the incoming messages for one particular client program, whether coming from the same or a different server, are sent to the same queue. An incoming queue can overflow. If this happens, UDP drops the user datagram and asks for a port unreachable message to be sent to the server.

At the server site, the mechanism of creating queues is different. In its simplest form, a server asks for incoming and outgoing queues, using its well-known port, when it starts running. The queues remain open as long as the server is running.

When a message arrives for a server, UDP checks to see if an incoming queue has been created for the port number specified in the destination port number field of the user datagram. If there is such a queue, UDP sends the received user datagram to the end of the queue. If there is no such queue, UDP discards the user datagram and asks the ICMP protocol to send a port unreachable message to the client. All the incoming messages for one particular server, whether coming from the same or a different client, are sent to the same queue. An incoming queue can overflow. If this happens, UDP drops the user datagram and asks for a port unreachable message to be sent to the client.

When a server wants to respond to a client, it sends messages to the outgoing queue, using the source port number specified in the request. UDP removes the messages one by one and, after adding the UDP header, delivers them to IP. An outgoing queue can overflow. If this happens, the operating system asks the server to wait before sending any more messages.

Use ofUDP

The following lists some uses of the UDP protocol:

- UDP is suitable for a process that requires simple request-response communication with little concern for flow and error control. It is not usually used for a process such as FrP that needs to send bulk data (see Chapter 26).
- UDP is suitable for a process with internal flow and error control mechanisms. For example, the Trivial File Transfer Protocol (TFTP) process includes flow and error control. It can easily use UDP.
- UDP is a suitable transport protocol for multicasting. Multicasting capability is embedded in the UDP software but not in the TCP software.
- UDP is used for management processes such as SNMP (see Chapter 28).
- UDP is used for some route updating protocols such as Routing Information Protocol (RIP) (see Chapter 22).

23.3 **TCP**

The second transport layer protocol we discuss in this chapter is called Transmission Control Protocol (TCP). TCP, like UDP, is a process-to-process (program-to-program) protocol. TCP, therefore, like UDP, uses port numbers. Unlike UDP, TCP is a connection-oriented protocol; it creates a virtual connection between two TCPs to send data. In addition, TCP uses flow and error control mechanisms at the transport level.

In brief, TCP is called a *connection-oriented, reliable* transport protocol. It adds connection-oriented and reliability features to the services of IP.

TCP Services

Before we discuss TCP in detail, let us explain the services offered by TCP to the processes at the application layer.

Process-to-Process Communication

Like UDP, TCP provides process-to-process communication using port numbers. Table 23.2 lists some well-known port numbers used by TCP.

Table 23.2 *Well-known ports used by TCP*

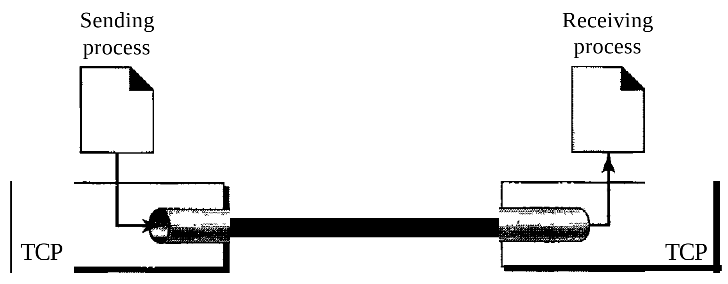
Port	*Protocol*	*Description*
7	Echo	Echoes a received datagram back to the sender
9	Discard	Discards any datagram that is received
11	Users	Active users
13	Daytime	Returns the date and the time
17	Quote	Returns a quote of the day
19	Chargen	Returns a string of characters
20	FIP, Data	File Transfer Protocol (data connection)
21	FIP, Control	File Transfer Protocol (control connection)
23	TELNET	Tenninal Network
25	SMTP	Simple Mail Transfer Protocol
53	DNS	Domain Name Server
67	BOOTP	Bootstrap Protocol
79	Finger	Finger
80	HTTP	Hypertext Transfer Protocol
111	RPC	Remote Procedure Call

Stream Delivery Service

TCP, unlike UDP, is a stream-oriented protocol. In UDP, a process (an application program) sends messages, with predefined boundaries, to UDP for delivery. UDP adds its own header to each of these messages and delivers them to IP for transmission. Each message from the process is calIed a user datagram and becomes, eventually, one IP datagram. Neither IP nor UDP recognizes any relationship between the datagrams.

TCP, on the other hand, allows the sending process to deliver data as a stream of bytes and allows the receiving process to obtain data as a stream of bytes. TCP creates an environment in which the two processes seem to be connected by an imaginary "tube" that carries their data across the Internet. This imaginary environment is depicted in Figure 23.13. The sending process produces (writes to) the stream of bytes, and the receiving process consumes (reads from) them.

Figure 23.13 *Stream delivery*



Sending and Receiving Buffers Because the sending and the receiving processes may not write or read data at the same speed, TCP needs buffers for storage. There are two buffers, the sending buffer and the receiving buffer, one for each direction. (We will see later that these buffers are also necessary for flow and error control mechanisms used by TCP.) One way to implement a buffer is to use a circular array of I-byte locations as shown in Figure 23.14. For simplicity, we have shown two buffers of 20 bytes each; normally the buffers are hundreds or thousands of bytes, depending on the implementation. We also show the buffers as the same size, which is not always the case.

Figure 23.14 *Sending and receiving buffers*

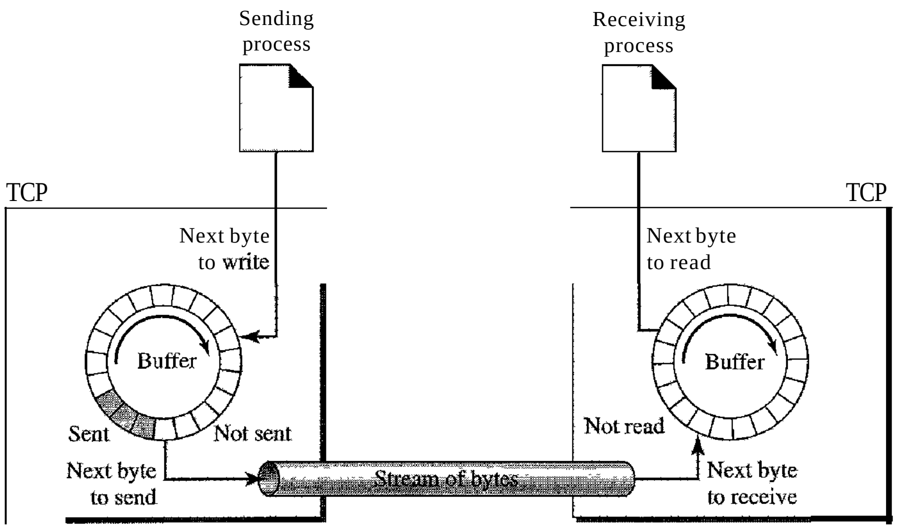
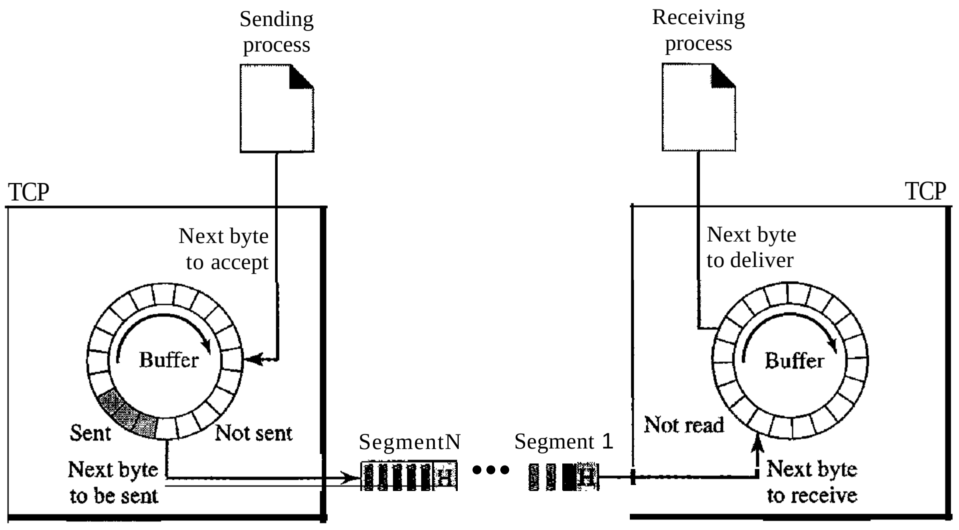


Figure 23.14 shows the movement of the data in one direction. At the sending site, the buffer has three types of chambers. The white section contains empty chambers that can be filled by the sending process (producer). The gray area holds bytes that have been sent but not yet acknowledged. TCP keeps these bytes in the buffer until it receives an acknowledgment. The colored area contains bytes to be sent by the sending TCP. However, as we will see later in this chapter, TCP may be able to send only part of this colored section. This could be due to the slowness of the receiving process or perhaps to congestion in the network. Also note that after the bytes in the gray chambers are acknowledged, the chambers are recycled and available for use by the sending process. This is why we show a circular buffer.

The operation of the buffer at the receiver site is simpler. The circular buffer is divided into two areas (shown as white and colored). The white area contains empty chambers to be filled by bytes received from the network. The colored sections contain received bytes that can be read by the receiving process. When a byte is read by the receiving process, the chamber is recycled and added to the pool of empty chambers.

Segments Although buffering handles the disparity between the speed of the producing and consuming processes, we need one more step before we can send data. The IP layer, as a service provider for TCP, needs to send data in packets, not as a stream of bytes. At the transport layer, TCP groups a number of bytes together into a packet called a segment. TCP adds a header to each segment (for control purposes) and delivers the segment to the IP layer for transmission. The segments are encapsulated in IP datagrams and transmitted. This entire operation is transparent to the receiving process. Later we will see that segments may be received out of order, lost, or corrupted and resent. All these are handled by TCP with the receiving process unaware of any activities. Figure 23.15 shows how segments are created from the bytes in the buffers.

Figure 23.15 *TCP segments*



Note that the segments are not necessarily the same size. In Figure 23.15, for simplicity, we show one segment carrying 3 bytes and the other carrying 5 bytes. In reality, segments carry hundreds, if not thousands, of bytes.

Full-Duplex Communication

TCP offers full-duplex service, in which data can flow in both directions at the same time. Each TCP then has a sending and receiving buffer, and segments move in both directions.

Connection-Oriented Service

TCP, unlike UDP, is a connection-oriented protocol. When a process at site A wants to send and receive data from another process at site B, the following occurs:

1. The two TCPs establish a connection between them.
2. Data are exchanged in both directions.
3. The connection is terminated.

Note that this is a virtual connection, not a physical connection. The TCP segment is encapsulated in an IP datagram and can be sent out of order, or lost, or corrupted, and then resent. Each may use a different path to reach the destination. There is no physical connection. TCP creates a stream-oriented environment in which it accepts the responsibility of delivering the bytes in order to the other site. The situation is similar to creating a bridge that spans multiple islands and passing all the bytes from one island to another in one single connection. We will discuss this feature later in the chapter.

Reliable Service

TCP is a reliable transport protocol. It uses an acknowledgment mechanism to check the safe and sound arrival of data. We will discuss this feature further in the section on error control.

TCP Features

To provide the services mentioned in the previous section, TCP has several features that are briefly summarized in this section and discussed later in detail.

Numbering System

Although the TCP software keeps track of the segments being transmitted or received, there is no field for a segment number value in the segment header. Instead, there are two fields called the sequence number and the acknowledgment number. These two fields refer to the byte number and not the segment number.

Byte Number TCP numbers all data bytes that are transmitted in a connection. Numbering is independent in each direction. When TCP receives bytes of data from a process, it stores them in the sending buffer and numbers them. The numbering does not necessarily start from 0. Instead, TCP generates a random number between 0 and $2^{32} - 1$ for the number of the first byte. For example, if the random number happens to be 1057 and the total data to be sent are 6000 bytes, the bytes are numbered from 1057 to 7056. We will see that byte numbering is used for flow and error control.

The bytes of data being transferred in each connection are numbered by TCP.
The numbering starts with a randomly generated number.

Sequence Number After the bytes have been numbered, TCP assigns a sequence number to each segment that is being sent. The sequence number for each segment is the number of the first byte carried in that segment.

Example 23.3

Suppose a TCP connection is transferring a file of 5000 bytes. The first byte is numbered 1O,00l. What are the sequence numbers for each segment if data are sent in five segments, each carrying 1000 bytes?

Solution

The following shows the sequence number for each segment:

Segment 1	Sequence Number: 10,001 (range: 10,001 to 11,(00)
Segment 2	Sequence Number: 11,001 (range: 11,001 to 12,000)
Segment 3	Sequence Number: 12,001 (range: 12,001 to 13,000)
Segment 4	Sequence Number: 13,001 (range: 13,001 to 14,000)
Segment 5	Sequence Number: 14,001 (range: 14,001 to 15,000)

The value in the sequence number field of a segment defines the number of the first data byte contained in that segment.

When a segment carries a combination of data and control information (piggybacking), it uses a sequence number. If a segment does not carry user data, it does not logically define a sequence number. The field is there, but the value is not valid. However, some segments, when carrying only control information, need a sequence number to allow an acknowledgment from the receiver. These segments are used for connection establishment, termination, or abortion. Each of these segments consumes one sequence number as though it carried 1 byte, but there are no actual data. If the randomly generated sequence number is x, the first data byte is numbered $x + 1$. The byte x is considered a phony byte that is used for a control segment to open a connection, as we will see shortly.

Acknowledgment Number As we discussed previously, communication in TCP is full duplex; when a connection is established, both parties can send and receive data at the same time. Each party numbers the bytes, usually with a different starting byte number. The sequence number in each direction shows the number of the first byte carried by the segment. Each party also uses an acknowledgment number to confirm the bytes it has received. However, the acknowledgment number defines the number of the next byte that the party expects to receive. In addition, the acknowledgment number is cumulative, which means that the party takes the number of the last byte that it has received, safe and sound, adds I to it, and announces this sum as the acknowledgment number. The term *cumulative* here means that if a party uses 5643 as an acknowledgment number, it has received all bytes from the beginning up to 5642. Note that this does not mean that the party has received 5642 bytes because the first byte number does not have to start from 0.

The value of the acknowledgment field in a segment defines the number of the next byte a party expects to receive. The acknowledgment number is cumulative.

Flow Control

TCP, unlike UDP, provides *flow control.* The receiver of the data controls the amount of data that are to be sent by the sender. This is done to prevent the receiver from being overwhelmed with data. The numbering system allows TCP to use a byte-oriented flow control.

Error Control

To provide reliable service, TCP implements an error control mechanism. Although error control considers a segment as the unit of data for error detection (loss or corrupted segments), error control is byte-oriented, as we will see later.

Congestion Control

TCP, unlike UDP, takes into account congestion in the network. The amount of data sent by a sender is not only controlled by the receiver (flow control), but is also detennined by the level of congestion in the network.

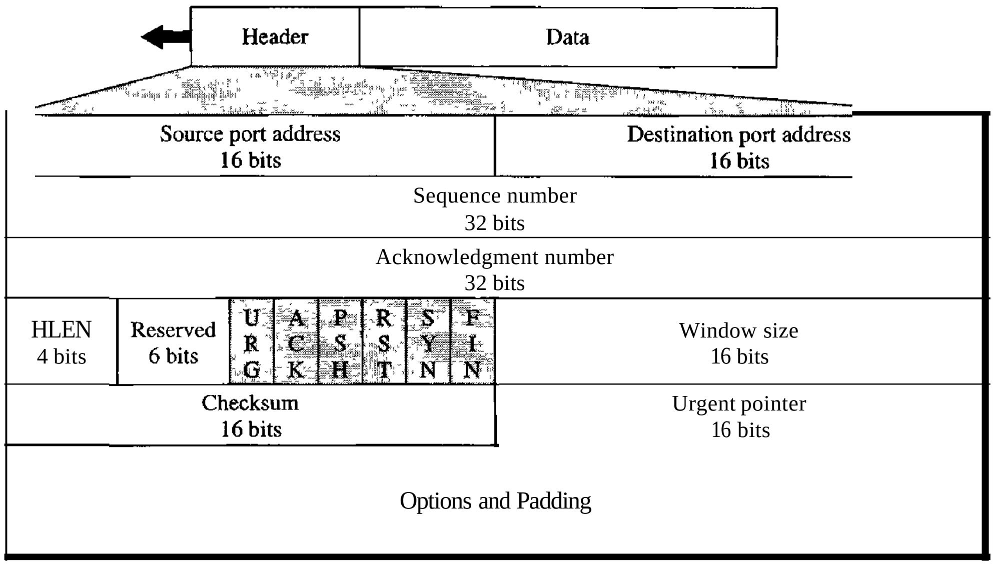
Segment

Before we discuss TCP in greater detail, let us discuss the TCP packets themselves. A packet in TCP is called a segment.

Format

The format of a segment is shown in Figure 23.16.

Figure 23.16 *TCP segment format*



The segment consists of a 20- to 60-byte header, followed by data from the application program. The header is 20 bytes if there are no options and up to 60 bytes if it contains options. We will discuss some of the header fields in this section. The meaning and purpose of these will become clearer as we proceed through the chapter.

- Source port address. This is a 16-bit field that defines the port number of the application program in the host that is sending the segment. This serves the same purpose as the source port address in the UDP header.
- Destination port address. This is a 16-bit field that defines the port number of the application program in the host that is receiving the segment. This serves the same purpose as the destination port address in the UDP header.
- Sequence number. This 32-bit field defines the number assigned to the first byte of data contained in this segment. As we said before, TCP is a stream transport protocol. To ensure connectivity, each byte to be transmitted is numbered. The sequence number tells the destination which byte in this sequence comprises the first byte in the segment. During connection establishment, each party uses a random number generator to create an initial sequence number (ISN), which is usually different in each direction.
- Acknowledgment number. This 32-bit field defines the byte number that the receiver of the segment is expecting to receive from the other party. If the receiver

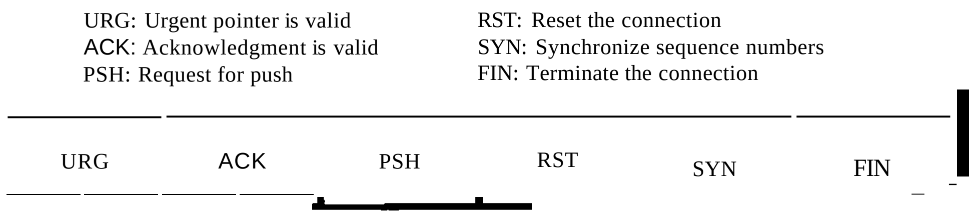
of the segment has successfully received byte number x from the other party, it defines $x + 1$ as the acknowledgment number. Acknowledgment and data can be piggybacked together.

D Header length. This 4-bit field indicates the number of 4-byte words in the TCP header. The length of the header can be between 20 and 60 bytes. Therefore, the value of this field can be between 5 (5 x 4 = 20) and 15 (15 x 4 = 60).

D Reserved. This is a 6-bit field reserved for future use.

D Control. This field defines 6 different control bits or flags as shown in Figure 23.17. One or more of these bits can be set at a time.

Figure 23.17 *Control field*


URG: Urgent pointer is valid
ACK: Acknowledgment is valid
PSH: Request for push
RST: Reset the connection
SYN: Synchronize sequence numbers
FIN: Terminate the connection
URG
ACK
PSH
RST
SYN
FIN

These bits enable flow control, connection establishment and termination, connection abortion, and the mode of data transfer in TCP. A brief description of each bit is shown in Table 23.3. We will discuss them further when we study the detailed operation of TCP later in the chapter.

Table 23.3 *Description offlags in the control field*

Flag	*Description*
URG	The value of the urgent pointer field is valid.
ACK	The value of the acknowledgment field is valid.
PSH	Push the data.
RST	Reset the connection.
SYN	Synchronize sequence numbers during connection.
FIN	Terminate the connection.

D Window size. This field defines the size of the window, in bytes, that the other party must maintain. Note that the length of this field is 16 bits, which means that the maximum size of the window is 65,535 bytes. This value is normally referred to as the receiving window (rwnd) and is determined by the receiver. The sender must obey the dictation of the receiver in this case.

D Checksum. This 16-bit field contains the checksum. The calculation of the checksum for TCP follows the same procedure as the one described for UDP. However, the inclusion of the checksum in the UDP datagram is optional, whereas the inclusion of the checksum for TCP is mandatory. The same pseudoheader, serving the same purpose, is added to the segment. For the TCP pseudoheader, the value for the protocol field is 6.

- Urgent pointer. This 16-bit field, which is valid only if the urgent flag is set, is used when the segment contains urgent data. It defines the number that must be added to the sequence number to obtain the number of the last urgent byte in the data section of the segment. This will be discussed later in this chapter.
- Options. There can be up to 40 bytes of optional information in the TCP header. We will not discuss these options here; please refer to the reference list for more information.

A TCP Connection

TCP is connection-oriented. A connection-oriented transport protocol establishes a virtual path between the source and destination. All the segments belonging to a message are then sent over this virtual path. Using a single virtual pathway for the entire message facilitates the acknowledgment process as well as retransmission of damaged or lost frames. You may wonder how TCP, which uses the services of IP, a connectionless protocol, can be connection-oriented. The point is that a TCP connection is virtual, not physical. TCP operates at a higher level. TCP uses the services of IP to deliver individual segments to the receiver, but it controls the connection itself. If a segment is lost or corrupted, it is retransmitted. Unlike TCP, IP is unaware of this retransmission. If a segment arrives out of order, TCP holds it until the missing segments arrive; IP is unaware of this reordering.

In TCP, connection-oriented transmission requires three phases: connection establishment, data transfer, and connection termination.

Connection Establishment

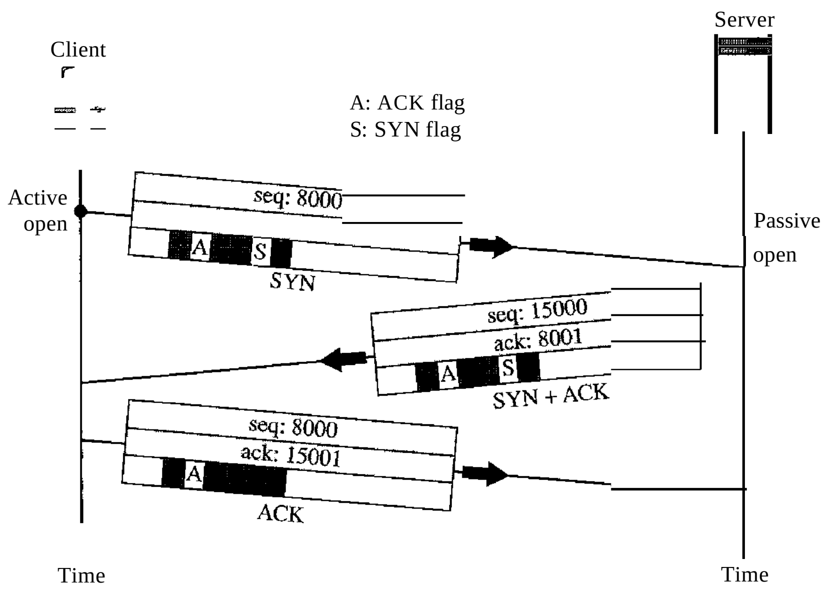
TCP transmits data in full-duplex mode. When two TCPs in two machines are connected, they are able to send segments to each other simultaneously. This implies that each party must initialize communication and get approval from the other party before any data are transferred.

Three-Way Handshaking The connection establishment in TCP is called three-way handshaking. In our example, an application program, called the client, wants to make a connection with another application program, called the server, using TCP as the transport layer protocol.

The process starts with the server. The server program tells its TCP that it is ready to accept a connection. This is called a request for a *passive open.* Although the server TCP is ready to accept any connection from any machine in the world, it cannot make the connection itself.

The client program issues a request for an *active open.* A client that wishes to connect to an open server tells its TCP that it needs to be connected to that particular server. TCP can now start the three-way handshaking process as shown in Figure 23.18. To show the process, we use two time lines: one at each site. Each segment has values for all its header fields and perhaps for some of its option fields, too. However, we show only the few fields necessary to understand each phase. We show the sequence number,

Figure 23.18 *Connection establishment using three-way handshaking*



the acknowledgment number, the control flags (only those that are set), and the window size, if not empty. The three steps in this phase are as follows.

1. The client sends the first segment, a SYN segment, in which only the SYN flag is set. This segment is for synchronization of sequence numbers. It consumes one sequence number. When the data transfer starts, the sequence number is incremented by 1. We can say that the SYN segment carries no real data, but we can think of it as containing 1 imaginary byte.

A SYN segment cannot carry data, but it consumes one sequence number.

2. The server sends the second segment, a SYN + ACK segment, with 2 flag bits set: SYN and ACK. This segment has a dual purpose. It is a SYN segment for communication in the other direction and serves as the acknowledgment for the SYN segment. It consumes one sequence number.

A SYN + ACK segment cannot carry data,
but does consume one sequence number.

3. The client sends the third segment. This is just an ACK segment. It acknowledges the receipt of the second segment with the ACK flag and acknowledgment number field. Note that the sequence number in this segment is the same as the one in the SYN segment; the ACK segment does not consume any sequence numbers.

An ACK segment, if carrying no data, consumes no sequence number.

Simultaneous Open A rare situation, called a simultaneous open, may occur when both processes issue an active open. In this case, both TCPs transmit a SYN + ACK segment to each other, and one single connection is established between them.

SYN Flooding Attack The connection establishment procedure in TCP is susceptible to a serious security problem called the SYN flooding attack. This happens when a malicious attacker sends a large number of SYN segments to a server, pretending that each of them is corning from a different client by faking the source IP addresses in the datagrams. The server, assuming that the clients are issuing an active open, allocates the necessary resources, such as creating communication tables and setting timers. The TCP server then sends the SYN + ACK segments to the fake clients, which are lost. During this time, however, a lot of resources are occupied without being used. If, during this short time, the number of SYN segments is large, the server eventually runs out of resources and may crash. This SYN flooding attack belongs to a type of security attack known as a denial-of-service attack, in which an attacker monopolizes a system with so many service requests that the system collapses and denies service to every request.

Some implementations of TCP have strategies to alleviate the effects of a SYN attack. Some have imposed a limit on connection requests during a specified period of time. Others filter out datagrams coming from unwanted source addresses. One recent strategy is to postpone resource allocation until the entire connection is set up, using what is called a cookie. SCTP, the new transport layer protocol that we discuss in the next section, uses this strategy.

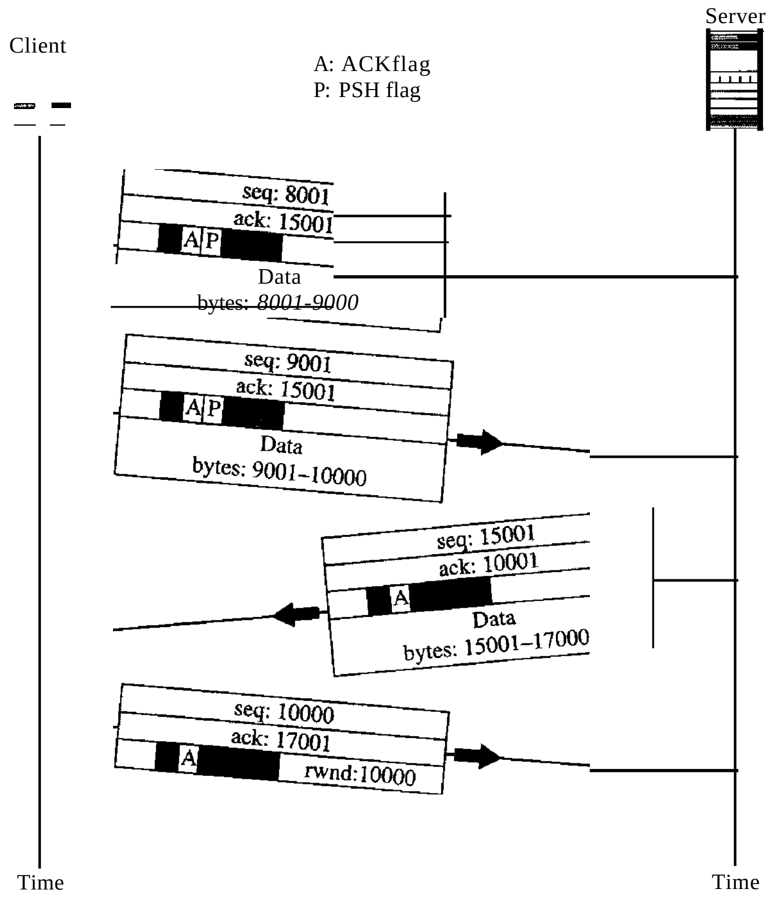
Data Transfer

After connection is established, bidirectional data transfer can take place. The client and server can both send data and acknowledgments. We will study the rules of acknowledgment later in the chapter; for the moment, it is enough to know that data traveling in the same direction as an acknowledgment are carried on the same segment. The acknowledgment is piggybacked with the data. Figure 23.19 shows an example. In this example, after connection is established (not shown in the figure), the client sends 2000 bytes of data in two segments. The server then sends 2000 bytes in one segment. The client sends one more segment. The first three segments carry both data and acknowledgment, but the last segment carries only an acknowledgment because there are no more data to be sent. Note the values of the sequence and acknowledgment numbers. The data segments sent by the client have the PSH (push) flag set so that the server TCP knows to deliver data to the server process as soon as they are received. We discuss the use of this flag in greater detail later. The segment from the server, on the other hand, does not set the push flag. Most TCP implementations have the option to set or not set this flag.

Pushing Data We saw that the sending TCP uses a buffer to store the stream of data coming from the sending application program. The sending TCP can select the segment size. The receiving TCP also buffers the data when they arrive and delivers them to the application program when the application program is ready or when it is convenient for the receiving TCP. This type of flexibility increases the efficiency of TCP.

However, on occasion the application program has no need for this flexibility_ For example, consider an application program that communicates interactively with another

Figure 23.19 *Data transfer*



application program on the other end. The application program on one site wants to send a keystroke to the application at the other site and receive an immediate response. Delayed transmission and delayed delivery of data may not be acceptable by the application program.

TCP can handle such a situation. The application program at the sending site can request a *push* operation. This means that the sending TCP must not wait for the window to be filled. It must create a segment and send it immediately. The sending TCP must also set the push bit (PSH) to let the receiving TCP know that the segment includes data that must be delivered to the receiving application program as soon as possible and not to wait for more data to come.

Although the push operation can be requested by the application program, most current implementations ignore such requests. TCP can choose whether or not to use this feature.

Urgent Data TCP is a stream-oriented protocol. This means that the data are presented from the application program to TCP as a stream of bytes. Each byte of data has a position in the stream. However, on occasion an application program needs to send *urgent* bytes. This means that the sending application program wants a piece of data to be read out of order by the receiving application program. As an example, suppose that the sending application program is sending data to be processed by the receiving application program. When the result of processing comes back, the sending application program finds that everything is wrong. It wants to abort the process, but it has already sent a huge amount of data. If it issues an abort command (control + C), these two characters will be stored at the end of the receiving TCP buffer. It will be delivered to the receiving application program after all the data have been processed.

The solution is to send a segment with the URG bit set. The sending application program tells the sending TCP that the piece of data is urgent. The sending TCP creates a segment and inserts the urgent data at the beginning of the segment. The rest of the segment can contain normal data from the buffer. The urgent pointer field in the header defines the end of the urgent data and the start of normal data.

When the receiving TCP receives a segment with the URG bit set, it extracts the urgent data from the segment, using the value of the urgent pointer, and delivers them, out of order, to the receiving application program.

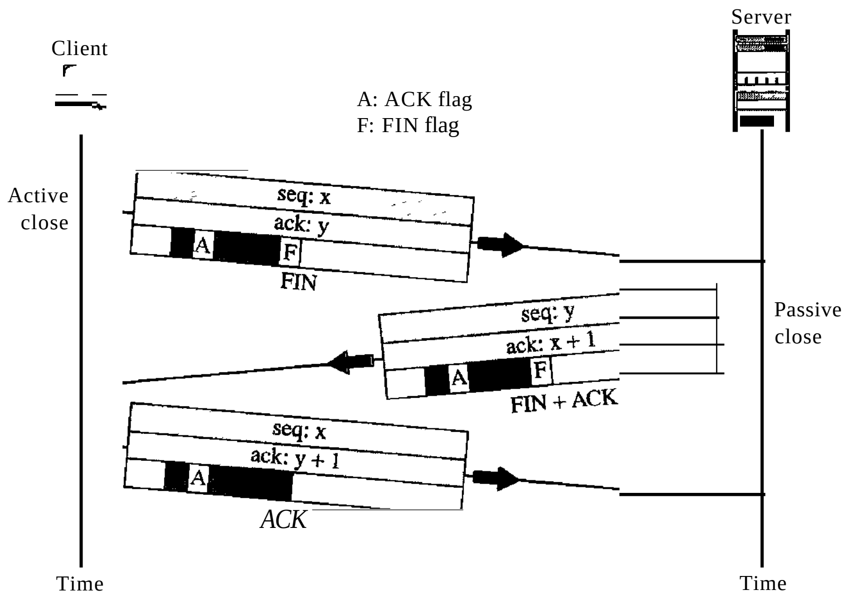
Connection Termination

Any of the two parties involved in exchanging data (client or server) can close the connection, although it is usually initiated by the client. Most implementations today allow two options for connection termination: three-way handshaking and four-way handshaking with a half-close option.

Three-Way Handshaking Most implementations today allow *three-way handshaking* for connection termination as shown in Figure 23.20.

1. In a normal situation, the client TCP, after receiving a close command from the client process, sends the first segment, a FIN segment in which the FIN flag is set. Note that a FIN segment can include the last chunk of data sent by the client, or it

Figure 23.20 *Connection termination using three-way handshaking*



can be just a control segment as shown in Figure 23.20. If it is only a control segment, it consumes only one sequence number.

The FIN segment consumes one sequence number if it does not carry data.

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2. The server TCP, after receiving the FIN segment, informs its process of the situation and sends the second segment, a FIN + ACK segment, to confirm the receipt of the FIN segment from the client and at the same time to announce the closing of the connection in the other direction. This segment can also contain the last chunk of data from the server. If it does not carry data, it consumes only one sequence number.

The FIN + ACK segment consumes one sequence number if it does not carry data.

---

3. The client TCP sends the last segment, an ACK segment, to confirm the receipt of the FIN segment from the TCP server. This segment contains the acknowledgment number, which is 1 plus the sequence number received in the FIN segment from the server. This segment cannot carry data and consumes no sequence numbers.

Half-Close In TCP, one end can stop sending data while still receiving data. This is called a half-close. Although either end can issue a half-close, it is normally initiated by the client. It can occur when the server needs all the data before processing can begin. A good example is sorting. When the client sends data to the server to be sorted, the server needs to receive all the data before sorting can start. This means the client, after sending all the data, can close the connection in the outbound direction. However, the inbound direction must remain open to receive the sorted data. The server, after receiving the data, still needs time for sorting; its outbound direction must remain open.

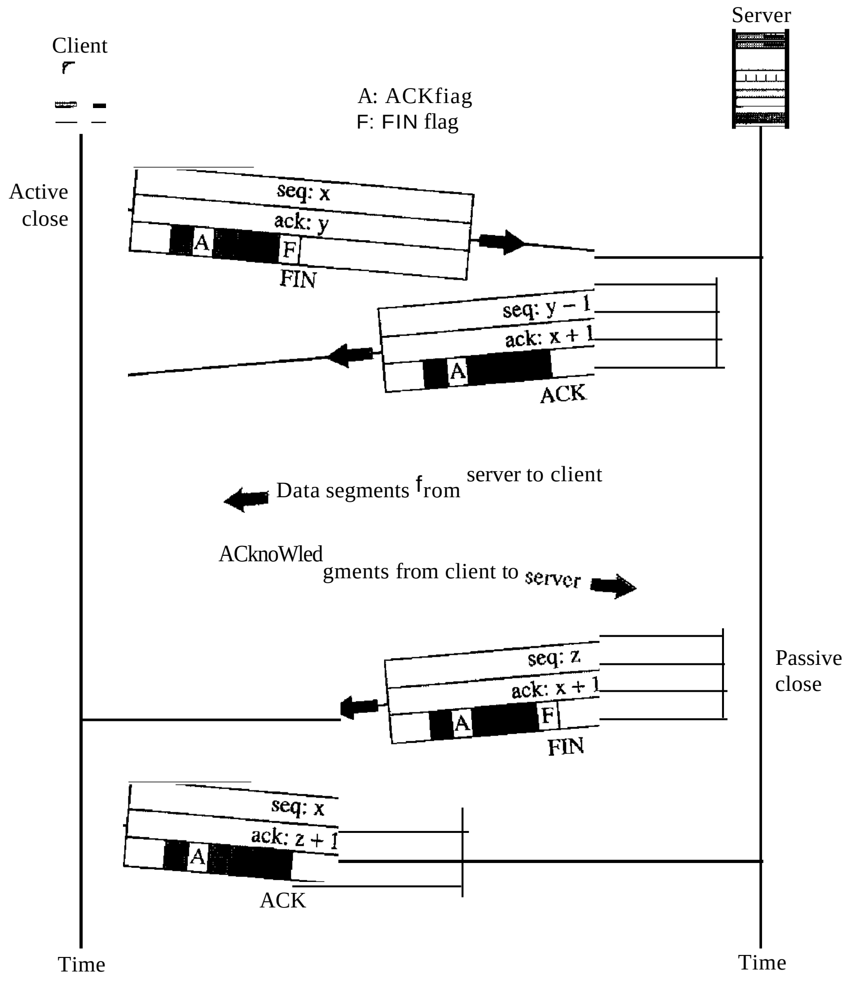
Figure 23.21 shows an example of a half-close. The client half-closes the connection by sending a FIN segment. The server accepts the half-close by sending the ACK segment. The data transfer from the client to the server stops. The server, however, can still send data. When the server has sent all the processed data, it sends a FIN segment, which is acknowledged by an ACK from the client.

After half-closing of the connection, data can travel from the server to the client and acknowledgments can travel from the client to the server. The client cannot send any more data to the server. Note the sequence numbers we have used. The second segment (ACK) consumes no sequence number. Although the client has received sequence number $y - 1$ and is expecting y, the server sequence number is still $y - 1$. When the connection finally closes, the sequence number of the last ACK segment is still x, because no sequence numbers are consumed during data transfer in that direction.

Flow Control

TCP uses a sliding window, as discussed in Chapter 11, to handle flow control. The sliding window protocol used by TCP, however, is something between the *Go-Back-N* and Selective Repeat sliding window. The sliding window protocol in TCP looks like

Figure 23.21 *Half-close*



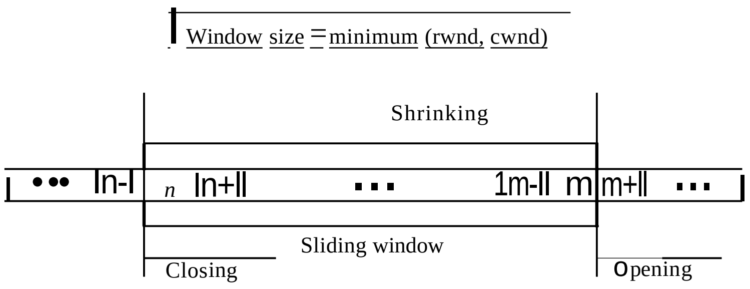
the Go-Back-N protocol because it does not use NAKs; it looks like Selective Repeat because the receiver holds the out-of-order segments until the missing ones arrive. There are two big differences between this sliding window and the one we used at the data link layer. First, the sliding window ofTCP is byte-oriented; the one we discussed in the data link layer is frame-oriented. Second, the TCP's sliding window is of variable size; the one we discussed in the data link layer was of fixed size.

Figure 23.22 shows the sliding window in TCP. The window spans a portion of the buffer containing bytes received from the process. The bytes inside the window are the bytes that can be in transit; they can be sent without worrying about acknowledgment. The imaginary window has two walls: one left and one right.

The window is *opened, closed,* or *shrunk.* These three activities, as we will see, are in the control of the receiver (and depend on congestion in the network), not the sender. The sender must obey the commands of the receiver in this matter.

Opening a window means moving the right wall to the right. This allows more new bytes in the buffer that are eligible for sending. Closing the window means moving the left wall to the right. This means that some bytes have been acknowledged and the sender

Figure 23.22 *Sliding window*



need not worry about them anymore. Shrinking the window means moving the right wall to the left. This is strongly discouraged and not allowed in some implementations because it means revoking the eligibility of some bytes for sending. This is a problem if the sender has already sent these bytes. Note that the left wall cannot move to the left because this would revoke some of the previously sent acknowledgments.

A sliding window is used to make transmission more efficient as weD as to control the flow of data so that the destination does not become overwhelmed with data. TCP sliding windows are byte-oriented.

The size of the window at one end is determined by the lesser of two values: *receiver window (rwnd)* or *congestion window (cwnd).* The *receiver window* is the value advertised by the opposite end in a segment containing acknowledgment. It is the number of bytes the other end can accept before its buffer overflows and data are discarded. The congestion window is a value determined by the network to avoid congestion. We will discuss congestion later in the chapter.

Example 23.4

What is the value of the receiver window *(rwnd)* for host A if the receiver, host B, has a buffer size of 5000 bytes and 1000 bytes of received and unprocessed data?

Solution

The value of *rwnd* = 5000 - 1000 = 4000. Host B can receive only 4000 bytes of data before overflowing its buffer. Host B advertises this value in its next segment to A.

Example 23.5

What is the size of the window for host A if the value of *rwnd* is 3000 bytes and the value of *cwnd* is 3500 bytes?

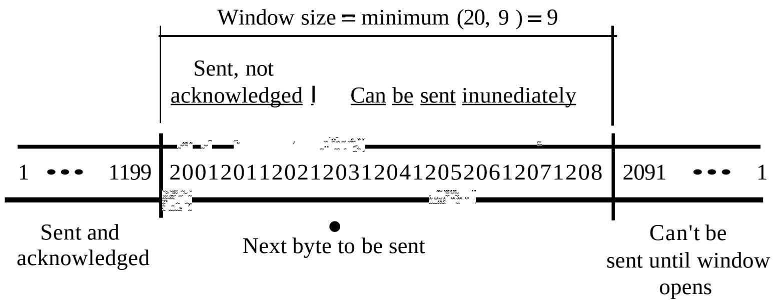
Solution

The size of the window is the smaller of *rwnd* and *cwnd,* which is 3000 bytes.

Example 23.6

Figure 23.23 shows an unrealistic example of a sliding window. The sender has sent bytes up to 202. We assume that cwnd is 20 (in reality this value is thousands of bytes). The receiver has sent

Figure 23.23 *Example 23.6*



an acknowledgment number of 200 with an *rwnd* of 9 bytes (in reality this value is thousands of bytes). The size of the sender window is the minimum of *rwnd* and *cwnd,* or 9 bytes. Bytes 200 to 202 are sent, but not acknowledged. Bytes 203 to 208 can be sent without worrying about acknowledgment. Bytes 209 and above cannot be sent.

Some points about TCP sliding windows:

- The size of the window is the lesser of *rwnd* and *cwnd.*
- The source does not have to send a full window's worth of data.
- The window can be opened or closed by the receiver, but should not be shrunk.
- The destination can send an acknowledgment at any time as long as it does not result in a shrinking window.
- The receiver can temporarily shut down the window; the sender, however, can always send a segment of 1 byte after the window is shut down.

Error Control

TCP is a reliable transport layer protocol. This means that an application program that delivers a stream of data to TCP relies on TCP to deliver the entire stream to the application program on the other end in order, without error, and without any part lost or duplicated.

TCP provides reliability using error control. Error control includes mechanisms for detecting corrupted segments, lost segments, out-of-order segments, and duplicated segments. Error control also includes a mechanism for correcting errors after they are detected. Error detection and correction in TCP is achieved through the use of three simple tools: checksum, acknowledgment, and time-out.

Checksum

Each segment includes a checksum field which is used to check for a corrupted segment. If the segment is corrupted, it is discarded by the destination TCP and is considered as lost. TCP uses a 16-bit checksum that is mandatory in every segment. We will see, in Chapter 24, that the 16-bit checksum is considered inadequate for the new transport layer, SCTP. However, it cannot be changed for TCP because this would involve reconfiguration of the entire header format.

Acknowledgment

TCP uses acknowledgments to confirm the receipt of data segments. Control segments that carry no data but consume a sequence number are also acknowledged. ACK segments are never acknowledged.

ACK segments do not consume sequence numbers and are not acknowledged.

Retransmission

The heart of the error control mechanism is the retransmission of segments. When a segment is corrupted, lost, or delayed, it is retransmitted. In modern implementations, a segment is retransmitted on two occasions: when a retransmission timer expires or when the sender receives three duplicate ACKs.

In modern implementations, a retransmission occurs if the retransmission timer expires or three duplicate ACK segments have arrived.

Note that no retransmission occurs for segments that do not consume sequence numbers. In particular, there is no transmission for an ACK segment.

No retransmission timer is set for an ACK segment.

Retransmission After RTO A recent implementation of TCP maintains one retransmission time-out (RTO) timer for all outstanding (sent, but not acknowledged) segments. When the timer matures, the earliest outstanding segment is retransmitted even though lack of a received ACK can be due to a delayed segment, a delayed ACK, or a lost acknowledgment. Note that no time-out timer is set for a segment that carries only an acknowledgment, which means that no such segment is resent. The value of RTO is dynamic in TCP and is updated based on the round-trip time (RTT) of segments. An RTI is the time needed for a segment to reach a destination and for an acknowledgment to be received. It uses a back-off strategy similar to one discussed in Chapter 12.

Retransmission After Three Duplicate ACK Segments The previous rule about retransmission of a segment is sufficient if the value of RTO is not very large. Sometimes, however, one segment is lost and the receiver receives so many out-of-order segments that they cannot be saved (limited buffer size). To alleviate this situation, most implementations today follow the three-duplicate-ACKs rule and retransmit the missing segment immediately. This feature is referred to as fast retransmission, which we will see in an example shortly.

Out-oj-Order Segments

When a segment is delayed, lost, or discarded, the segments following that segment arrive out of order. Originally, TCP was designed to discard all out-of-order segments, resulting in the retransmission of the missing segment and the following segments. Most implementations today do not discard the out-of-order segments. They store them temporarily and flag them as out-of-order segments until the missing segment arrives. Note, however, that the out-of-order segments are not delivered to the process. TCP guarantees that data are delivered to the process in order.

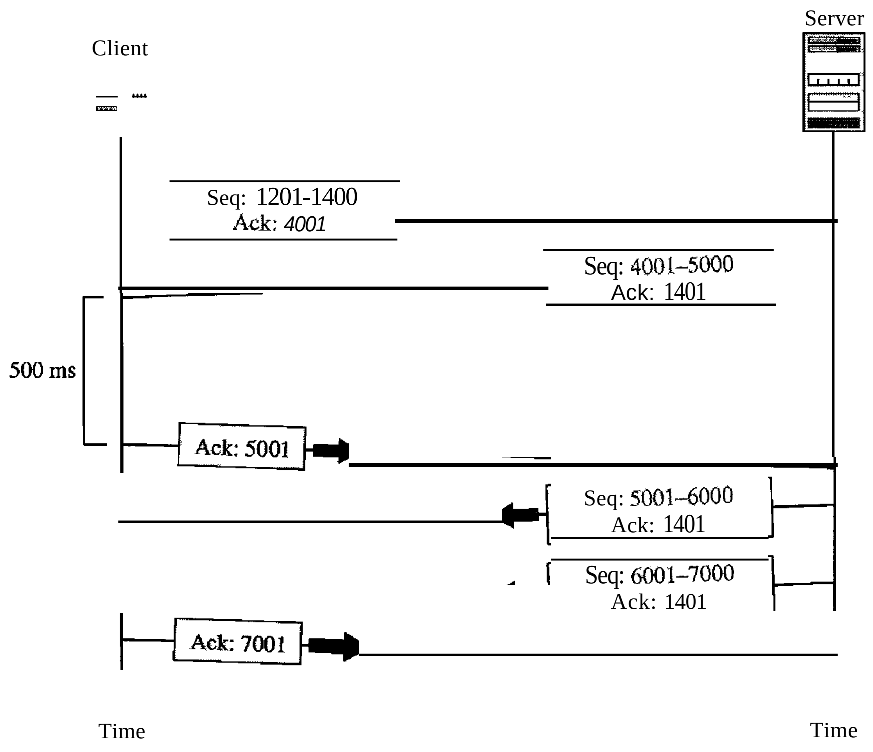
Data may arrive out of order and be temporarily stored by the receiving TCP, but yep guarantees that no out-of-order segment is delivered to the process.

Some Scenarios

In this section we give some examples of scenarios that occur during the operation of TCP. In these scenarios, we show a segment by a rectangle. If the segment carries data, we show the range of byte numbers and the value of the acknowledgment field. If it carries only an acknowledgment, we show only the acknowledgment number in a smaller box.

Normal Operation The first scenario shows bidirectional data transfer between two systems, as in Figure 23.24. The client TCP sends one segment; the server TCP sends three. The figure shows which rule applies to each acknowledgment. There are data to be sent, so the segment displays the next byte expected. When the client receives the first segment from the server, it does not have any more data to send; it sends only an

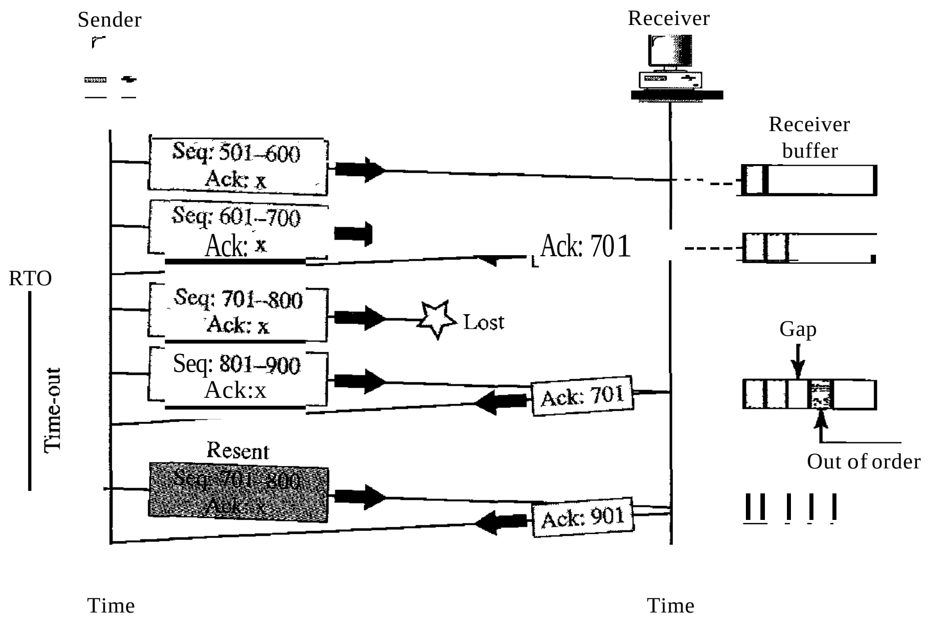
Figure 23.24 *Nonnaloperation*



ACK segment. However, the acknowledgment needs to be delayed for 500 ms to see if any more segments arrive. When the timer matures, it triggers an acknowledgment. This is so because the client has no knowledge if other segments are coming; it cannot delay the acknowledgment forever. When the next segment arrives, another acknowledgment timer is set. However, before it matures, the third segment arrives. The arrival of the third segment triggers another acknowledgment.

Lost Segment In this scenario, we show what happens when a segment is lost or corrupted. A lost segment and a corrupted segment are treated the same way by the receiver. A lost segment is discarded somewhere in the network; a corrupted segment is discarded by the receiver itself. Both are considered lost. Figure 23.25 shows a situation in which a segment is lost and discarded by some router in the network, perhaps due to congestion.

Figure 23.25 *Lost segment*



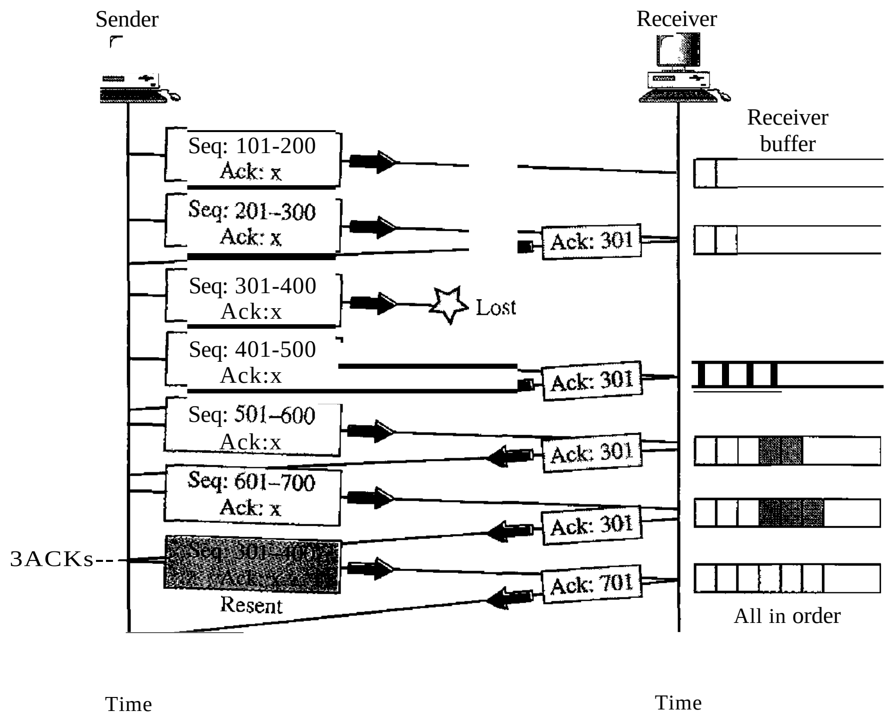
We are assuming that data transfer is unidirectional: one site is sending, the other is receiving. In our scenario, the sender sends segments 1 and 2, which are acknowledged immediately by an ACK. Segment 3, however, is lost. The receiver receives segment 4, which is out of order. The receiver stores the data in the segment in its buffer but leaves a gap to indicate that there is no continuity in the data. The receiver immediately sends an acknowledgment to the sender, displaying the next byte it expects. Note that the receiver stores bytes 801 to 900, but never delivers these bytes to the application until the gap is filled.

The receiver TCP delivers only ordered data to the process.

We have shown the timer for the earliest outstanding segment. The timer for this definitely runs out because the receiver never sends an acknowledgment for lost or out-of-order segments. When the timer matures, the sending TCP resends segment 3, which arrives this time and is acknowledged properly. Note that the value in the second and third acknowledgments differs according to the corresponding rule.

Fast Retransmission In this scenario, we want to show the idea of fast retransmission. Our scenario is the same as the second except that the RTO has a higher value (see Figure 23.26).

Figure 23.26 *Fast retransmission*



When the receiver receives the fourth, fifth, and sixth segments, it triggers an acknowledgment. The sender receives four acknowledgments with the same value (three duplicates). Although the timer for segment 3 has not matured yet, the fast transmission requires that segment 3, the segment that is expected by all these acknowledgments, be resent immediately.

Note that only one segment is retransmitted although four segments are not acknowledged. When the sender receives the retransmitted ACK, it knows that the four segments are safe and sound because acknowledgment is cumulative.

Congestion Control

We discuss congestion control of TCP in Chapter 24.

23.4 SCTP

Stream Control Transmission Protocol (SCTP) is a new reliable, message-oriented transport layer protocol. SCTP, however, is mostly designed for Internet applications that have recently been introduced. These new applications, such as IUA (ISDN over IP), M2UA and M3UA (telephony signaling), H.248 (media gateway control), H.323 (IP telephony), and SIP (IP telephony), need a more sophisticated service than TCP can provide. SCTP provides this enhanced performance and reliability. We briefly compare UDP, TCP, and SCTP:

- UDP is a message-oriented protocol. A process delivers a message to UDP, which is encapsulated in a user datagram and sent over the network. UDP *conserves the message boundaries;* each message is independent of any other message. This is a desirable feature when we are dealing with applications such as IP telephony and transmission of real-time data, as we will see later in the text. However, UDP is unreliable; the sender cannot know the destiny of messages sent. A message can be lost, duplicated, or received out of order. UDP also lacks some other features, such as congestion control and flow control, needed for a friendly transport layer protocol.
- TCP is a byte-oriented protocol. It receives a message or messages from a process, stores them as a stream of bytes, and sends them in segments. There is no preservation of the message boundaries. However, TCP is a reliable protocol. The duplicate segments are detected, the lost segments are resent, and the bytes are delivered to the end process in order. TCP also has congestion control and flow control mechanisms.
- SCTP combines the best features of UDP and TCP. SCTP is a reliable message-oriented protocol. It preserves the message boundaries and at the same time detects lost data, duplicate data, and out-of-order data. It also has congestion control and flow control mechanisms. Later we will see that SCTP has other innovative features unavailable in UDP and TCP.

SCTP is a *message-oriented, reliable* protocol that combines the best features of UDP and TCP.

SCTP Services

Before we discuss the operation of SCTP, let us explain the services offered by SCTP to the application layer processes.

Process-to-Process Communication

SCTP uses all well-known ports in the TCP space. Table 23.4 lists some extra port numbers used by SCTP.

Multiple Streams

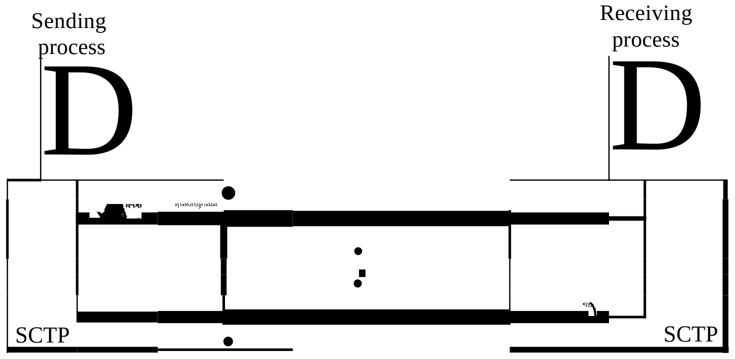
We learned in the previous section that TCP is a stream-oriented protocol. Each connection between a TCP client and a TCP server involves one single stream. The problem

Table 23.4 *Some SCTP applications*

Protocol	*Port Number*	*Description*
IVA	9990	ISDN overIP
M2UA	2904	SS7 telephony signaling
M3UA	2905	SS7 telephony signaling
H.248	2945	Media gateway control
H.323	1718,1719, 1720, 11720	IP telephony
SIP	5060	IP telephony

with this approach is that a loss at any point in the stream blocks the delivery of the rest of the data. This can be acceptable when we are transferring text; it is not when we are sending real-time data such as audio or video. SCTP allows multistream service in each connection, which is called association in SCTP terminology. If one of the streams is blocked, the other streams can still deliver their data. The idea is similar to multiple lanes on a highway. Each lane can be used for a different type of traffic. For example, one lane can be used for regular traffic, another for car pools. If the traffic is blocked for regular vehicles, car pool vehicles can still reach their destinations. Figure 23.27 shows the idea of multiple-stream delivery.

Figure 23.27 *Multiple-stream concept*

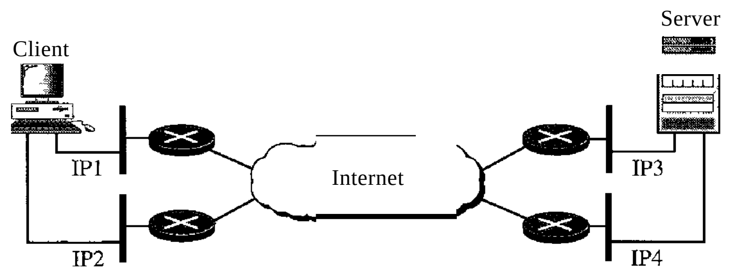


An association in SCTP can involve multiple streams.

Multihoming

A TCP connection involves one source and one destination IP address. This means that even if the sender or receiver is a multihomed host (connected to more than one physical address with multiple IP addresses), only one of these IP addresses per end can be utilized during the connection. An SCTP association, on the other hand, supports multihoming service. The sending and receiving host can define multiple IP addresses in each end for an association. In this fault-tolerant approach, when one path fails, another interface can be used for data delivery without interruption. This fault-tolerant feature is very helpful when we are sending and receiving a real-time payload such as Internet telephony. Figure 23.28 shows the idea of multihoming.

Figure 23.28 *Multihoming concept*



In Figure 23.28, the client is connected to two local networks with two IP addresses. The server is also connected to two networks with two IP addresses. The client and the server can make an association, using four different pairs of IP addresses. However, note that in the current implementations of SCTP, only one pair of IF addresses can be chosen for normal communication; the alternative is used if the main choice fails. In other words, at present, SCTP does not allow load sharing between different paths.

SCTP association allows multiple IP addresses for each end.

Full-Duplex Communication

Like TCP, SCTP offers full-duplex service, in which data can flow in both directions at the same time. Each SCTP then has a sending and receiving buffer, and packets are sent in both directions.

Connection-Oriented Service

Like TCP, SCTP is a connection-oriented protocol. However, in SCTP, a connection is called an association. When a process at site A wants to send and receive data from another process at site B, the following occurs:

1. The two SCTPs establish an association between each other.
2. Data are exchanged in both directions.
3. The association is terminated.

Reliable Service

SCTP, like TCP, is a reliable transport protocol. It uses an acknowledgment mechanism to check the safe and sound arrival of data. We will discuss this feature further in the section on error control.

SCTP Features

Let us first discuss the general features of SCTP and then compare them with those ofTCP.

Transmission Sequence Number

The unit of data in TCP is a byte. Data transfer in TCP is controlled by numbering bytes by using a sequence number. On the other hand, the unit of data in SCTP is a DATA chunk which mayor may not have a one-to-one relationship with the message coming from the process because of fragmentation (discussed later), Data transfer in SCTP is controlled by numbering the data chunks. SCTP uses a transmission sequence number (TSN) to number the data chunks. In other words, the TSN in SCTP plays the analogous role to the sequence number in TCP. TSNs are 32 bits long and randomly initialized between 0 and $2^{32} - 1$. Each data chunk must carry the corresponding TSN in its header.

In **SCTP,** a data chunk is numbered using a TSN.

Stream Identifier

In TCP, there is only one stream in each connection. In SCTP, there may be several streams in each association. Each stream in SCTP needs to be identified by using a stream identifier (SI). Each data chunk must carry the SI in its header so that when it arrives at the destination, it can be properly placed in its stream. The 51 is a 16-bit number starting from 0.

To distinguish between different streams, SCTP uses an SI.

Stream Sequence Number

When a data chunk arrives at the destination SCTP, it is delivered to the appropriate stream and in the proper order. This means that, in addition to an SI, SCTP defines each data chunk in each stream with a stream sequence number (SSN).

To distinguish between different data chunks belonging
to the same stream, SCTP uses SSNs.

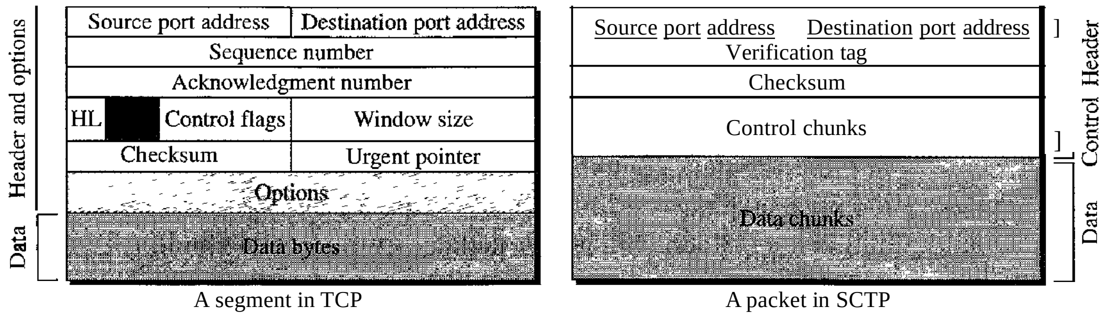
Packets

In TCP, a segment carries data and control information. Data are carried as a collection of bytes; control information is defined by six control flags in the header. The design of SCTP is totally different: data are carried as data chunks, control information is carried as control chunks. Several control chunks and data chunks can be packed together in a packet. A packet in SCTP plays the same role as a segment in TCP. Figure 23.29 compares a segment in TCP and a packet in SCTP. Let us briefly list the differences between an SCTP packet and a TCP segment:

TCP has segments; SCTP has packets.

1. The control information in TCP is part of the header; the control information in SCTP is included in the control chunks. There are several types of control chunks; each is used for a different purpose.

Figure 23.29 *Comparison between a TCP segment and an SCTP packet*



2. The data in a TCP segment treated as one entity; an SCTP packet can carry several data chunks; each can belong to a different stream.
3. The options section, which can be part of a TCP segment, does not exist in an SCTP packet. Options in SCTP are handled by defining new chunk types.
4. The mandatory part of the TCP header is 20 bytes, while the general header in SCTP is only 12 bytes. The SCTP header is shorter due to the following:
   a. An SCTP sequence number (TSN) belongs to each data chunk and hence is located in the chunk's header.
   b. The acknowledgment number and window size are part of each control chunk.
   c. There is no need for a header length field (shown as HL in the TCP segment) because there are no options to make the length of the header variable; the SCTP header length is fixed (12 bytes).
   d. There is no need for an urgent pointer in SCTP.
5. The checksum in TCP is 16 bits; in SCTP, it is 32 bits.
6. The verification tag in SCTP is an association identifier, which does not exist in TCP. In TCP, the combination of IP and port addresses defines a connection; in SCTP we may have multihorning using different IP addresses. A unique verification tag is needed to define each association.
7. TCP includes one sequence number in the header, which defines the number of the first byte in the data section. An SCTP packet can include several different data chunks. TSNs, SIs, and SSNs define each data chunk.
8. Some segments in TCP that carry control information (such as SYN and FIN) need to consume one sequence number; control chunks in SCTP never use a TSN, SI, or SSN. These three identifiers belong only to data chunks, not to the whole packet.

In SCTP, control information and data information are carried in separate chunks.

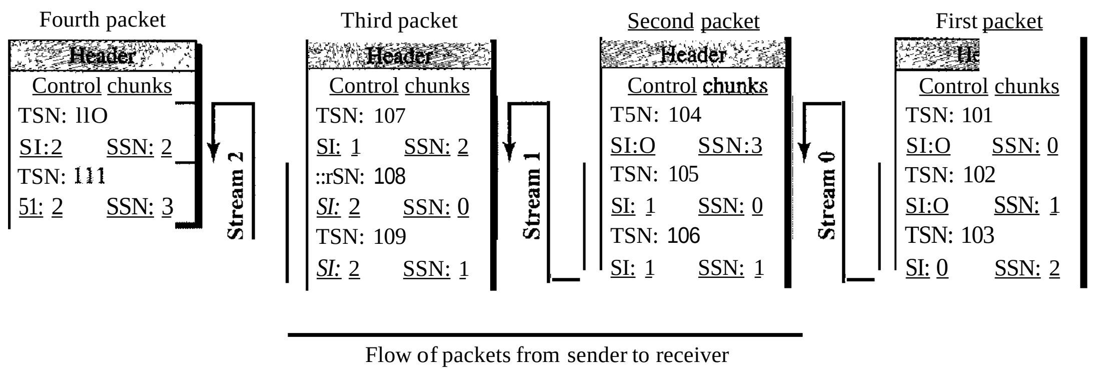
In SCTP, we have data chunks, streams, and packets. An association may send many packets, a packet may contain several chunks, and chunks may belong to different streams. To make the definitions of these terms clear, let us suppose that process A needs to send 11 messages to process B in three streams. The first four messages are in the first stream, the second three messages are in the second stream, and the last four messages are in the third stream.

Although a message, if long, can be carried by several data chunks, we assume that each message fits into one data chunk. Therefore, we have 11 data chunks in three streams.

The application process delivers 11 messages to SCTP, where each message is earmarked for the appropriate stream. Although the process could deliver one message from the first stream and then another from the second, we assume that it delivers all messages belonging to the first stream first, all messages belonging to the second stream next, and finally, all messages belonging to the last stream.

We also assume that the network allows only three data chunks per packet, which means that we need. four packets as shown in Figure 23.30. Data chunks in stream 0 are carried in the first packet and part of the second packet; those in stream 1 are carried in the second and third packets; those in stream 2 are carried in the third and fourth packets.

Figure 23.30 *Packet, data chunks, and streams*



Note that each data chunk needs three identifiers: TSN, SI, and SSN. TSN is a cumulative number and is used, as we will see later, for flow control and error control. SI defines the stream to which the chunk belongs. SSN defines the chunk's order in a particular stream. In our example, SSN starts from 0 for each stream.

Data chunks are identified by three items: TSN, SI, and SSN.
TSN is a cumulative number identifying the association;
SI defines the stream; SSN defines the chunk in a stream.

Acknowledgment Number

TCP acknowledgment numbers are byte-oriented and refer to the sequence numbers. SCTP acknowledgment numbers are chunk-oriented. They refer to the TSN. A second difference between TCP and SCTP acknowledgments is the control information. Recall that this information is part of the segment header in TCP. To acknowledge segments that carry only control information, TCP uses a sequence number and acknowledgment number (for example, a SYN segment needs to be acknowledged by an ACK segment). In SCTP, however, the control information is carried by control chunks, which do not need a TSN. These control chunks are acknowledged by another control chunk of the appropriate type (some need no acknowledgment). For example, an INIT control chunk is acknowledged by an INIT ACK chunk. There is no need for a sequence number or an acknowledgment number.

In **SCTP,** acknowledgment numbers are used to acknowledge only data chunks; control chunks are acknowledged by other control chunks if necessary.

Flow Control

Like TCP, SCTP implements flow control to avoid overwhelming the receiver. We will discuss SCTP flow control later in the chapter.

Error Control

Like TCP, SCTP implements error control to provide reliability. TSN numbers and acknowledgment numbers are used for error control. We will discuss error control later in the chapter.

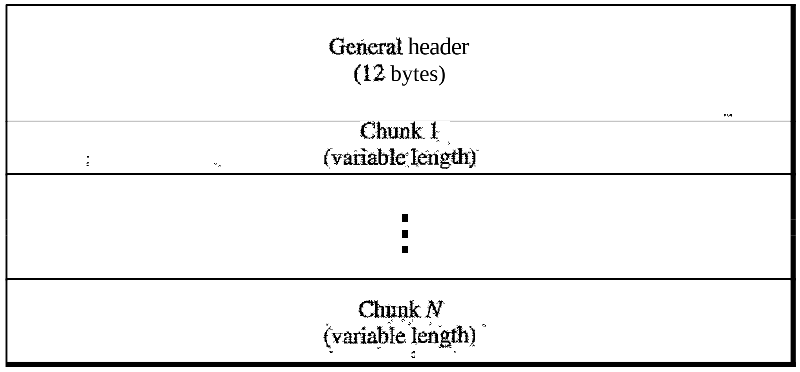
Congestion Control

Like TCP, SCTP implements congestion control to determine how many data chunks can be injected into the network. We will discuss congestion control in Chapter 24.

Packet Format

In this section, we show the format of a packet and different types of chunks. Most of the information presented in this section will become clear later; this section can be skipped in the first reading or used only as a reference. An SCTP packet has a mandatory general header and a set of blocks called chunks. There are two types of chunks: control chunks and data chunks. A control chunk controls and maintains the association; a data chunk carries user data. In a packet, the control chunks corne before the data chunks. Figure 23.31 shows the general format of an SCTP packet.

Figure 23.31 *SCTP packet format*



In an SCTP packet, control chunks come before data chunks.

General Header

The general header (packet header) defines the endpoints of each association to which the packet belongs, guarantees that the packet belongs to a particular association, and preserves the integrity of the contents of the packet including the header itself. The fonnat of the general header is shown in Figure 23.32.

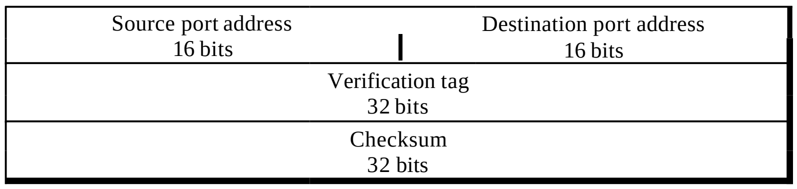


Figure 23.32 *General header*

There are four fields in the general header:

- Source port address. This is a 16-bit field that defines the port number of the process sending the packet.
- Destination port address. This is a 16-bit field that defines the port number of the process receiving the packet.
- Verification tag. This is a number that matches a packet to an association. This prevents a packet from a previous association from being mistaken as a packet in this association. It serves as an identifier for the association; it is repeated in every packet during the association. There is a separate verification used for each direction in the association.
- Checksum. This 32-bit field contains a CRC-32 checksum. Note that the size of the checksum is increased from 16 (in UDP, TCP, and IP) to 32 bits to allow the use of the CRC-32 checksum.

Chunks

Control infonnation or user data are carried in chunks. The detailed fonnat of each chunk is beyond the scope of this book. See [For06] for details. The first three fields are common to all chunks; the information field depends on the type of chunk. The important point to remember is that SCTP requires the information section to be a multiple of 4 bytes; if not, padding bytes (eight as) are added at the end of the section. See Table 23.5 for a list of chunks and their descriptions.

An SCTP Association

SCTP, like TCP, is a connection-oriented protocol. However, a connection in SCTP is called an *association* to emphasize multihoming.

Table 23.5 *Chunks*

Type	*Chunk*	*Description*
0	DATA	User data
1	INIT	Sets up an association
2	INITACK	Acknowledges INIT chunk
3	SACK	Selective acknowledgment
4	HEARTBEAT	Probes the peer for liveliness
5	HEARTBEAT ACK	Acknowledges HEARTBEAT chunk
6	ABORT	Aborts an association
7	SHUTDOWN	Terminates an association
8	SHUTDOWN ACK	Acknowledges SHUTDOWN chunk
9	ERROR	Reports errors without shutting down
10	COOKIE ECHO	Third packet in association establishment
11	COOKIEACK	Acknowledges COOKIE ECHO chunk
14	SHUTDOWN COMPLETE	Third packet in association termination
192	FORWARDTSN	For adjusting cumulative TSN

A connection in SCTP is called an association.

Association Establishment

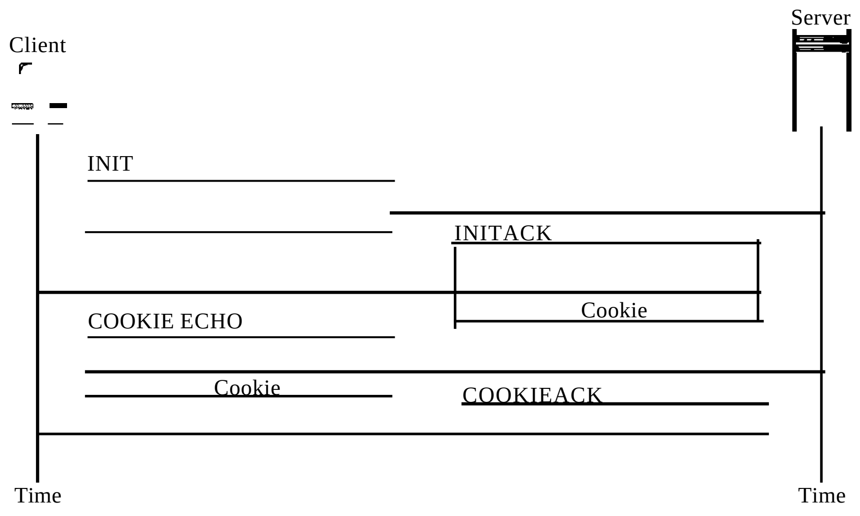
Association establishment in SCTP requires a four-way handshake. In this procedure, a process, normally a client, wants to establish an association with another process, normally a server, using SCTP as the transport layer protocol. Similar to TCP, the SCTP server needs to be prepared to receive any association (passive open). Association establishment, however, is initiated by the client (active open). SCTP association establishment is shown in Figure 23.33. The steps, in a normal situation, are as follows:

1. The client sends the first packet, which contains an INIT chunk.
2. The server sends the second packet, which contains an INIT ACK chunk.
3. The client sends the third packet, which includes a COOKIE ECHO chunk. This is a very simple chunk that echoes, without change, the cookie sent by the server. SCTP allows the inclusion of data chunks in this packet.
4. The server sends the fourth packet, which includes the COOKIE ACK chunk that acknowledges the receipt of the COOKIE ECHO chunk. SCTP allows the inclusion of data chunks with this packet.

No other chunk is allowed in a packet carrying an INIT or INIT ACK chunk.
A COOKIE ECHO or a COOKIE ACK chunk can carry data chunks.

Cookie We discussed a SYN flooding attack in the previous section. With TCP, a malicious attacker can flood a TCP server with a huge number of phony SYN segments using different forged IP addresses. Each time the server receives a SYN segment, it

Figure 23.33 *Four-way handshaking*



sets up a state table and allocates other resources while waiting for the next segment to arrive. After a while, however, the server may collapse due to the exhaustion of resources.

The designers of SCTP have a strategy to prevent this type of attack. The strategy is to postpone the allocation of resources until the reception of the third packet, when the IP address of the sender is verified. The information received in the first packet must somehow be saved until the third packet arrives. But if the server saved the information, that would require the allocation of resources (memory); this is the dilemma. The solution is to pack the information and send it back to the client. This is called generating a cookie. The cookie is sent with the second packet to the address received in the first packet. There are two potential situations.

1. If the sender of the first packet is an attacker, the server never receives the third packet; the cookie is lost and no resources are allocated. The only effort for the server is "baking" the cookie.
2. If the sender of the first packet is an honest client that needs to make a connection, it receives the second packet, with the cookie. It sends a packet (third in the series) with the cookie, with no changes. The server receives the third packet and knows that it has come from an honest client because the cookie that the sender has sent is there. The server can now allocate resources.

The above strategy works if no entity can "eat" a cookie "baked" by the server. To guarantee this, the server creates a digest (see Chapter 30) from the information, using its own secret key. The information and the digest together make the cookie, which is sent to the client in the second packet. When the cookie is returned in the third packet, the server calculates the digest from the information. If the digest matches the one that is sent, the cookie has not been changed by any other entity.

Data Transfer

The whole purpose of an association is to transfer data between two ends. After the association is established, bidirectional data transfer can take place. The client and the server can both send data. Like TCP, SCTP supports piggybacking.

There is a major difference, however, between data transfer in TCP and SCTP. TCP receives messages from a process as a stream of bytes without recognizing any boundary between them. The process may insert some boundaries for its peer use, but TCP treats that mark as part of the text. In other words, TCP takes each message and appends it to its buffer. A segment can carry parts of two different messages. The only ordering system imposed by TCP is the byte numbers.

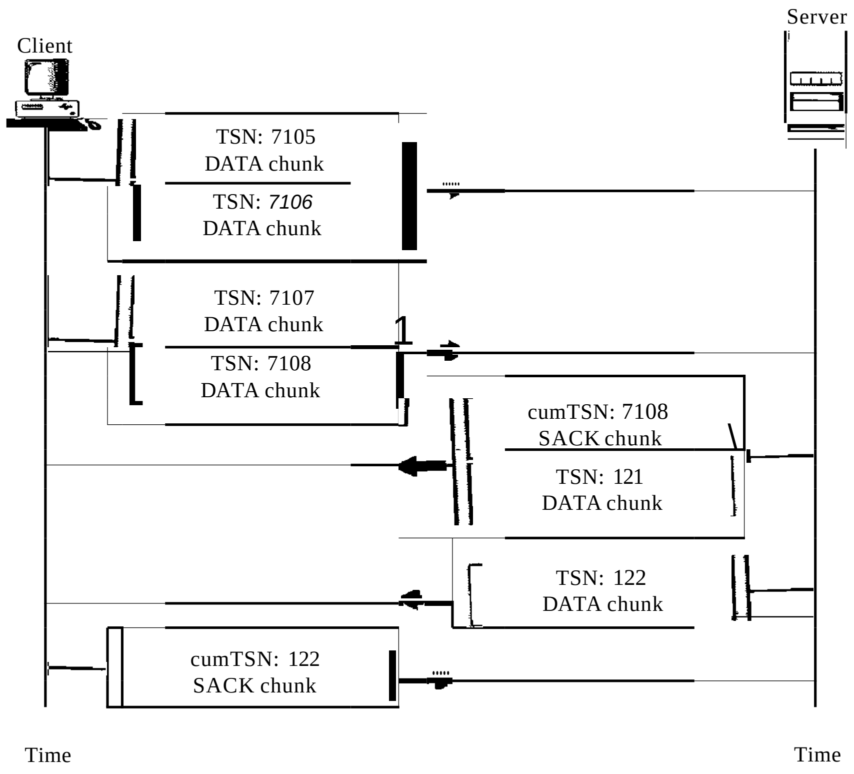
SCTP, on the other hand, recognizes and maintains boundaries. Each message coming from the process is treated as one unit and inserted into a DATA chunk unless it is fragmented (discussed later). In this sense, SCTP is like UDP, with one big advantage: data chunks are related to each other.

A message received from a process becomes a DATA chunk, or chunks if fragmented, by adding a DATA chunk header to the message. Each DATA chunk formed by a message or a fragment of a message has one TSN. We need to remember that only DATA chunks use TSNs and only DATA chunks are acknowledged by SACK chunks.

In SCTP, only DATA chunks consume TSNs;
DATA chunks are the only chunks that are acknowledged.

Let us show a simple scenario in Figure 23.34. In this figure a client sends four DATA chunks and receives two DATA chunks from the server. Later, we will discuss

Figure 23.34 *Simple data transfer*



the use of flow and error control in SCTP. For the moment, we assume that everything goes well in this scenario.

1. The client sends the first packet carrying two DATA chunks with TSNs 7105 and 7106.
2. The client sends the second packet carrying two DATA chunks with TSNs 7107 and 7108.
3. The third packet is from the server. It contains the SACK chunk needed to acknowledge the receipt of DATA chunks from the client. Contrary to TCP, SCTP acknowledges the last in-order TSN received, not the next expected. The third packet also includes the first DATA chunk from the server with TSN 121.
4. After a while, the server sends another packet carrying the last DATA chunk with TSN 122, but it does not include a SACK chunk in the packet because the last DATA chunk received from the client was already acknowledged.
5. Finally, the client sends a packet that contains a SACK chunk acknowledging the receipt of the last two DATA chunks from the server.

The acknowledgment in SCTP defines the cumulative TSN,
the TSN of the last data chunk received in order.

Multihoming Data Transfer We discussed the multihoming capability of SCTP, a feature that distinguishes SCTP from UDP and TCP. Multihoming allows both ends to define multiple IP addresses for communication. However, only one of these addresses can be defined as the primary address; the rest are alternative addresses. The primary address is defined during association establishment. The interesting point is that the primary address of an end is determined by the other end. In other words, a source defines the primary address for a destination.

Multistream Delivery One interesting feature of SCTP is the distinction between data transfer and data delivery. SCTP uses TSN numbers to handle data transfer, movement of data chunks between the source and destination. The delivery of the data chunks is controlled by SIs and SSNs. SCTP can support multiple streams, which means that the sender process can define different streams and a message can belong to one of these streams. Each stream is assigned a stream identifier (SI) which uniquely defines that stream.

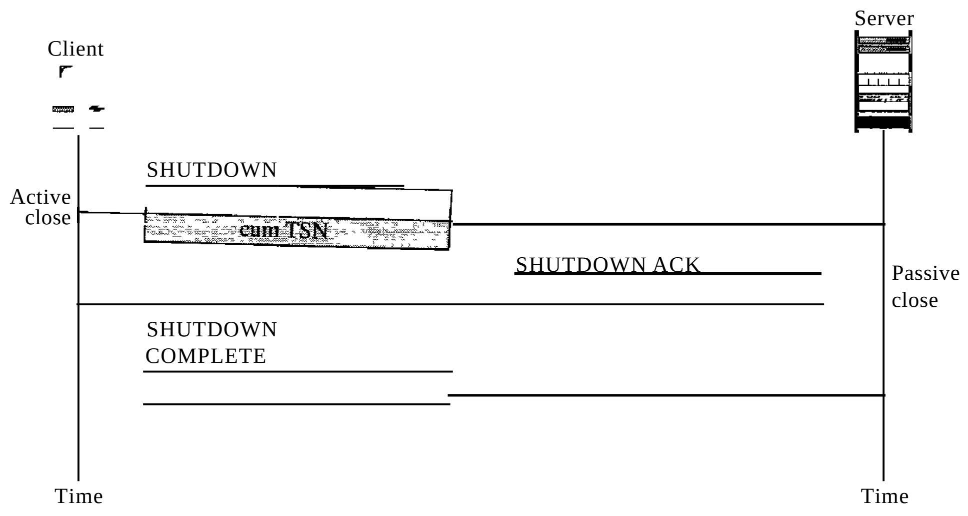
Fragmentation Another issue in data transfer is fragmentation. Although SCTP shares this term with IP, fragmentation in IP and in SCTP belongs to different levels: the former at the network layer, the latter at the transport layer.

SCTP preserves the boundaries of the message from process to process when creating a DATA chunk from a message if the size of the message (when encapsulated in an IP datagram) does not exceed the MTU of the path. The size of an IP datagram carrying a message can be determined by adding the size of the message, in bytes, to the four overheads: data chunk header, necessary SACK chunks, SCTP general header, and IP header. If the total size exceeds the MTU, the message needs to be fragmented.

Association Termination

In SCTP, like TCP, either of the two parties involved in exchanging data (client or server) can close the connection. However, unlike TCP, SCTP does not allow a half-close situation. If one end closes the association, the other end must stop sending new data. If any data are left over in the queue of the recipient of the termination request, they are sent and the association is closed. Association **termination** uses three packets, as shown in Figure 23.35. Note that although the figure shows the case in which termination is initiated by the client, it can also be initiated by the server. Note that there can be several scenarios of association termination. We leave this discussion to the references mentioned at the end of the chapter.

Figure 23.35 *Association termination*



Flow Control

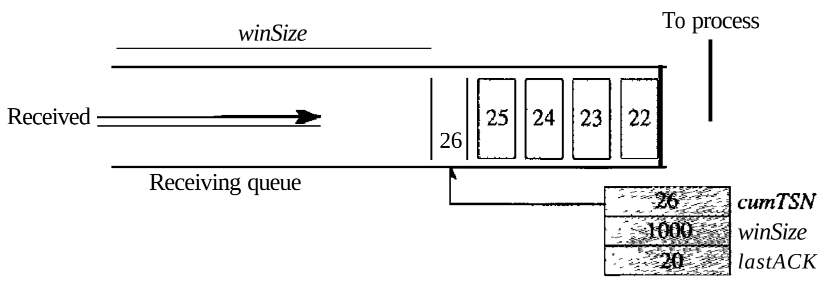
Flow control in SCTP is similar to that in TCP. In TCP, we need to deal with only one unit of data, the byte. In SCTP, we need to handle two units of data, the byte and the chunk. The values of *rwnd* and *cwnd* are expressed in bytes; the values of TSN and acknowledgments are expressed in chunks. To show the concept, we make some unrealistic assumptions. We assume that there is never congestion in the network and that the network is error-free. In other words, we assume that cwnd is infinite and no packet is lost or delayed or arrives out of order. We also assume that data transfer is unidirectional. We correct our unrealistic assumptions in later sections. Current SCTP implementations still use a byte-oriented window for flow control. We, however, show the buffer in terms of chunks to make the concept easier to understand.

Receiver Site

The receiver has one buffer (queue) and three variables. The queue holds the received data chunks that have not yet been read by the process. The first variable holds the last TSN received, *cumTSN*. The second variable holds the available buffer size, *winsize*.

The third variable holds the last accumulative acknowledgment, *lastACK.* Figure 23.36 shows the queue and variables at the receiver site.

Figure 23.36 *Flow control, receiver site*

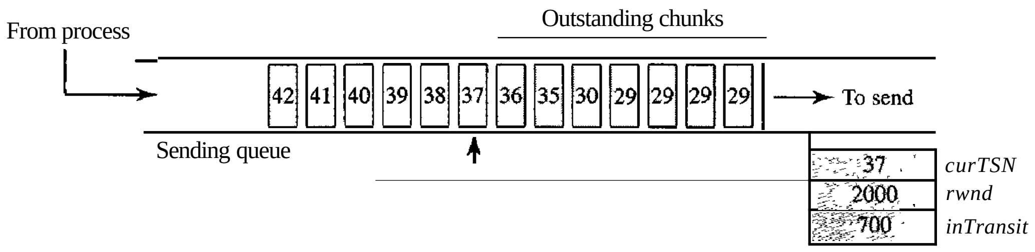


1. When the site receives a data chunk, it stores it at the end of the buffer (queue) and subtracts the size of the chunk from *winSize.* The TSN number of the chunk is stored in the *cumTSN* variable.
2. When the process reads a chunk, it removes it from the queue and adds the size of the removed chunk to *winSize* (recycling).
3. When the receiver decides to send a SACK, it checks the value of *lastAck;* if it is less than *cumTSN,* it sends a SACK with a cumulative TSN number equal to the *cumTSN.* It also includes the value of *winSize* as the advertised window size.

Sender Site

The sender has one buffer (queue) and three variables: *curTSN, rwnd,* and *inTransit,* as shown in Figure 23.37. We assume each chunk is 100 bytes long.

Figure 23.37 *Flow control, sender site*



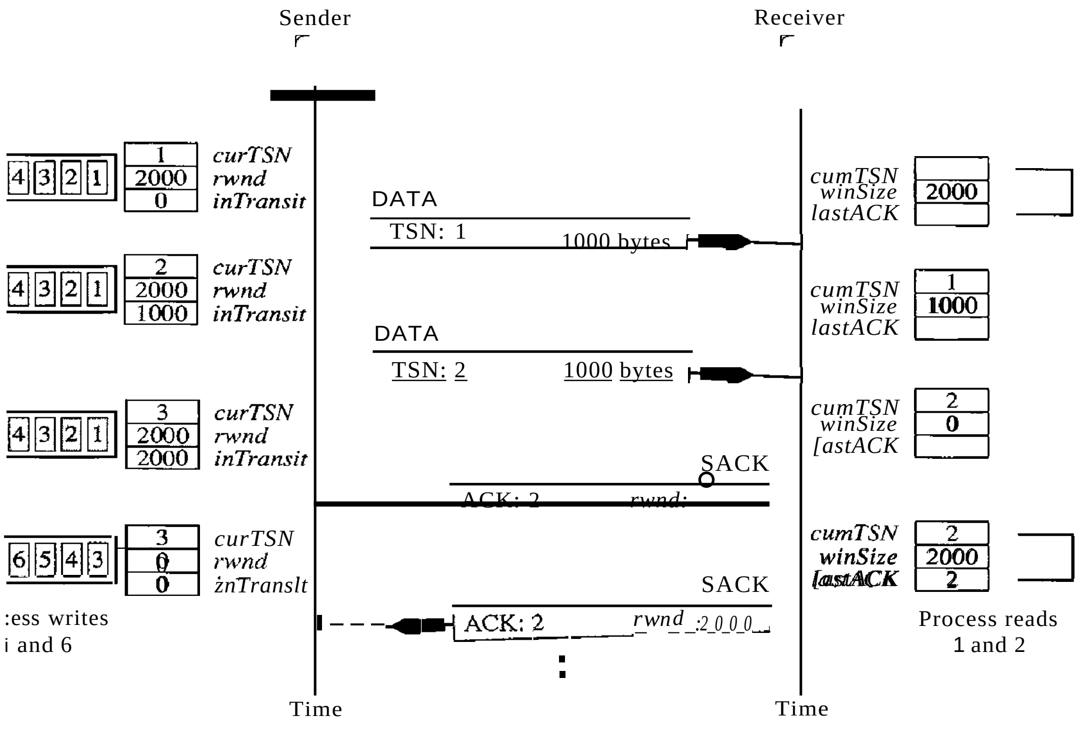
The buffer holds the chunks produced by the process that either have been sent or are ready to be sent. The first variable, *curTSN,* refers to the next chunk to be sent. All chunks in the queue with a TSN less than this value have been sent, but not acknowledged; they are outstanding. The second variable, *rwnd,* holds the last value advertised by the receiver (in bytes). The third variable, *inTransit,* holds the number of bytes in transit, bytes sent but not yet acknowledged. The following is the procedure used by the sender.

1. A chunk pointed to by *curTSN* can be sent if the size of the data is less than or equal to the quantity *rwnd* - *inTransit.* After sending the chunk, the value of *curTSN* is incremented by 1 and now points to the next chunk to be sent. The value of *inTransit* is incremented by the size of the data in the transmitted chunk.
2. When a SACK is received, the chunks with a TSN less than or equal to the cumulative TSN in the SACK are removed from the queue and discarded. The sender does not have to worry about them any more. The value of *inTransit* is reduced by the total size of the discarded chunks. The value of *rwnd* is updated with the value of the advertised window in the SACK.

A Scenario

Let us give a simple scenario as shown in Figure 23.38. At the start the value of *rwnd* at the sender site and the value of *winSize* at the receiver site are 2000 (advertised during association establishment). Originally, there are four messages in the sender queue. The sender sends one data chunk and adds the number of bytes (1000) to the *inTransit* variable. After awhile, the sender checks the difference between the *rwnd* and *inTransit,* which is 1000 bytes, so it can send another data chunk. Now the difference between the two variables is 0 and no more data chunks can be sent. After awhile, a SACK arrives that acknowledges data chunks 1 and 2. The two chunks are removed from the queue. The value of *inTransit* is now 0. The SACK, however, advertised a receiver window of value 0, which makes the sender.update *rwnd* to 0. Now the sender is blocked; it cannot send any data chunks (with one exception explained later).

Figure 23.38 *Flow control scenario*



At the receiver site, the queue is empty at the beginning. After the first data chunk is received, there is one message in the queue and the value of *cumTSN* is 1. The value of *winSize* is reduced to 1000 because the first message occupies 1000 bytes. After the second data chunk is received, the value of window size is a and *cumTSN* is 2. Now, as we will see, the receiver is required to send a SACK with cumulative TSN of 2. After the first SACK was sent, the process reads the two messages, which means that there is now room in the queue; the receiver advertises the situation with a SACK to allow the sender to send more data chunks. The remaining events are not shown in the figure.

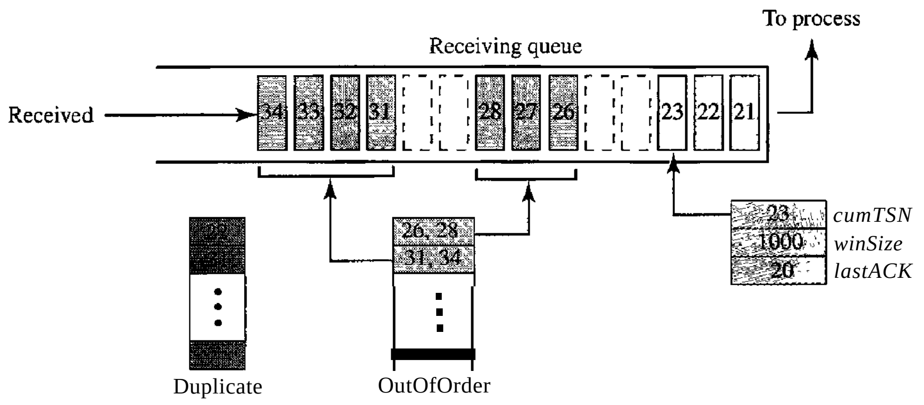
Error Control

SCTP, like TCP, is a reliable transport layer protocol. It uses a SACK chunk to report the state of the receiver buffer to the sender. Each implementation uses a different set of entities and timers for the receiver and sender sites. We use a very simple design to convey the concept to the reader.

Receiver Site

In our design, the receiver stores all chunks that have arrived in its queue including the out-of-order ones. However, it leaves spaces for any missing chunks. It discards duplicate messages, but keeps track of them for reports to the sender. Figure 23.39 shows a typical design for the receiver site and the state of the receiving queue at a particular point in time.

Figure 23.39 *Error control, receiver site*

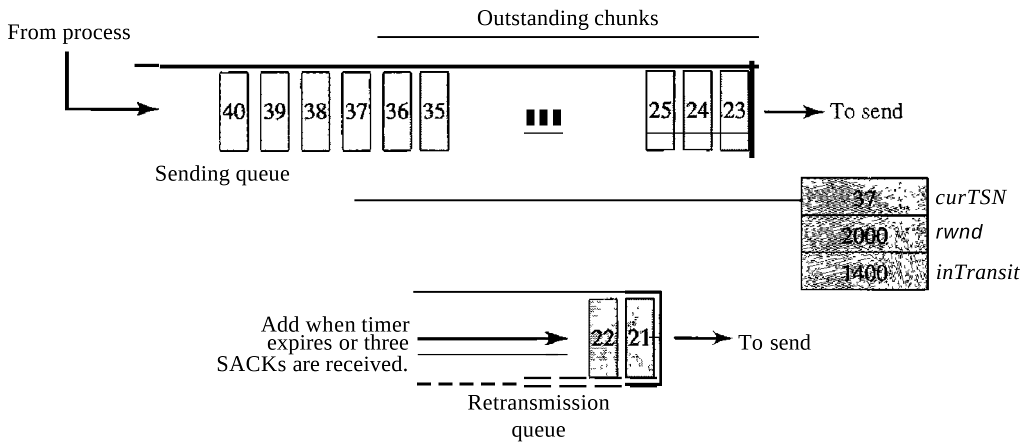


The last acknowledgment sent was for data chunk 20. The available window size is 1000 bytes. Chunks 21 to 23 have been received in order. The first out-of-order block contains chunks 26 to 28. The second out-of-order block contains chunks 31 to 34. A variable holds the value of *cumTSN*. An array of variables keeps track of the beginning and the end of each block that is out of order. An array of variables holds the duplicate chunks received. Note that there is no need for storing duplicate chunks in the queue; they will be discarded. The figure also shows the SACK chunk that will be sent to report the state of the receiver to the sender. The TSN numbers for out-of-order chunks are relative (offsets) to the cumulative TSN.

Sender Site

At the sender site, our design demands two buffers (queues): a sending queue and a retransmission queue. We also use the three variables *rwnd, inTransit,* and *curTSN* as described in the previous section. Figure 23.40 shows a typical design.

Figure 23.40 *Error control, sender site*



The sending queue holds chunks 23 to 40. The chunks 23 to 36 have already been sent, but not acknowledged; they are outstanding chunks. The *curTSN* points to the next chunk to be sent (37). We assume that each chunk is 100 bytes, which means that 1400 bytes of data (chunks 23 to 36) is in transit. The sender at this moment has a retransmission queue. When a packet is sent, a retransmission timer starts for that packet (all data chunks in that packet). Some implementations use one single timer for the entire association, but we continue with our tradition of one timer for each packet for simplification. When the retransmission timer for a packet expires, or four duplicate SACKs arrive that declare a packet as missing (fast retransmission was discussed in Chapter 12), the chunks in that packet are moved to the retransmission queue to be resent. These chunks are considered lost, rather than outstanding. The chunks in the retransmission queue have priority. In other words, the next time the sender sends a chunk, it would be chunk 21 from the retransmission queue.

Sending Data Chunks

An end can send a data packet whenever there are data chunks in the sending queue with a TSN greater than or equal to *curTSN* or if there are data chunks in the retransmission queue. The retransmission queue has priority. However, the total size of the data chunk or chunks included in the packet must not exceed *rwnd - inTransit,* and the total size of the frame must not exceed the MTU size as we discussed in previous sections.

Retransmission To control a lost or discarded chunk, SCTP, like TCP, employs two strategies: using retransmission timers and receiving four SACKs with the same missing chunks.

Generating SACK Chunks

Another issue in error control is the generation of SACK chunks. The rules for generating SCTP SACK chunks are similar to the rules used for acknowledgment with the TCP ACK flag.

Congestion Control

SCTP, like TCP, is a transport layer protocol with packets subject to congestion in the network. The SCTP designers have used the same strategies we will describe for congestion control in Chapter 24 for TCP. SCTP has slow start (exponential increase), congestion avoidance (additive increase), and congestion detection (multiplicative decrease) phases. Like TCP, SCTP also uses fast retransmission and fast recovery.

23.5 RECOMMENDED READING

For more details about subjects discussed in this chapter, we recommend the following books and sites. The items in brackets [...] refer to the reference list at the end of the text.

Books

UDP is discussed in Chapter 11 of [For06], Chapter 11 of [Ste94], and Chapter 12 of [ComOO]. TCP is discussed in Chapter 12 of [For06], Chapters 17 to 24 of [Ste94], and Chapter 13 of [ComOO]. SCTP is discussed in Chapter 13 of [For06] and [SX02]. Both UDP and TCP are discussed in Chapter 6 of [Tan03].

Sites

o www.ietf.org/rfc.html Information about RFCs

RFCs

A discussion of UDP can be found in RFC 768.
A discussion ofTCP can be found in the following RFCs:

675,700,721,761,793,879,896,1078,1106,1110,1144, 1145, 1146, 1263,1323,1337, 1379,1644,1693,1901,1905,2001,2018,2488,2580

A discussion of SCTP can be found in the following RFCs:

2960,3257,3284,3285,3286,3309,3436,3554,3708,3758

CHAPTER 24

Congestion Control and Quality ofService

Congestion control and quality of service are two issues so closely bound together that improving one means improving the other and ignoring one usually means ignoring the other. Most techniques to prevent or eliminate congestion also improve the quality of service in a network.

We have postponed the discussion of these issues until now because these are issues related not to one layer, but to three: the data link layer, the network layer, and the transport layer. We waited until now so that we can discuss these issues once instead of repeating the subject three times. Throughout the chapter, we give examples of congestion control and quality of service at different layers.

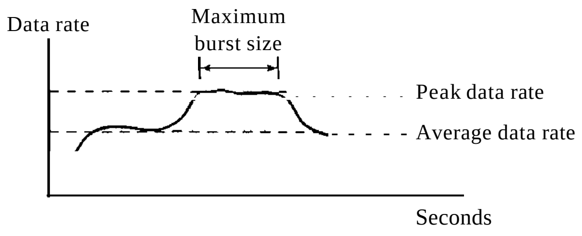
24.1 DATA TRAFFIC

The main focus of congestion control and quality of service is data traffic. In congestion control we try to avoid traffic congestion. In quality of service, we try to create an appropriate environment for the traffic. So, before talking about congestion control and quality of service, we discuss the data traffic itself.

Traffic Descriptor

Traffic descriptors are qualitative values that represent a data flow. Figure 24.1 shows a traffic flow with some of these values.

Figure 24.1 *Traffic descriptors*



Average Data Rate

The average data rate is the number of bits sent during a period of time, divided by the number of seconds in that period. We use the following equation:

$$\text{Average data rate} = \frac{\text{amount of data}}{\text{time}}$$

The average data rate is a very useful characteristic of traffic because it indicates the average bandwidth needed by the traffic.

Peak Data Rate

The peak data rate defines the maximum data rate of the traffic. In Figure 24.1 it is the maximum y axis value. The peak data rate is a very important measurement because it indicates the peak bandwidth that the network needs for traffic to pass through without changing its data flow.

Maximum Burst Size

Although the peak data rate is a critical value for the network, it can usually be ignored if the duration of the peak value is very short. For example, if data are flowing steadily at the rate of 1 Mbps with a sudden peak data rate of 2 Mbps for just 1 ms, the network probably can handle the situation. However, if the peak data rate lasts 60 ms, there may be a problem for the network. The maximum burst size normally refers to the maximum length of time the traffic is generated at the peak rate.

Effective Bandwidth

The effective bandwidth is the bandwidth that the network needs to allocate for the flow of traffic. The effective bandwidth is a function of three values: average data rate, peak data rate, and maximum burst size. The calculation of this value is very complex.

Traffic Profiles

For our purposes, a data flow can have one of the following traffic profiles: constant bit rate, variable bit rate, or bursty as shown in Figure 24.2.

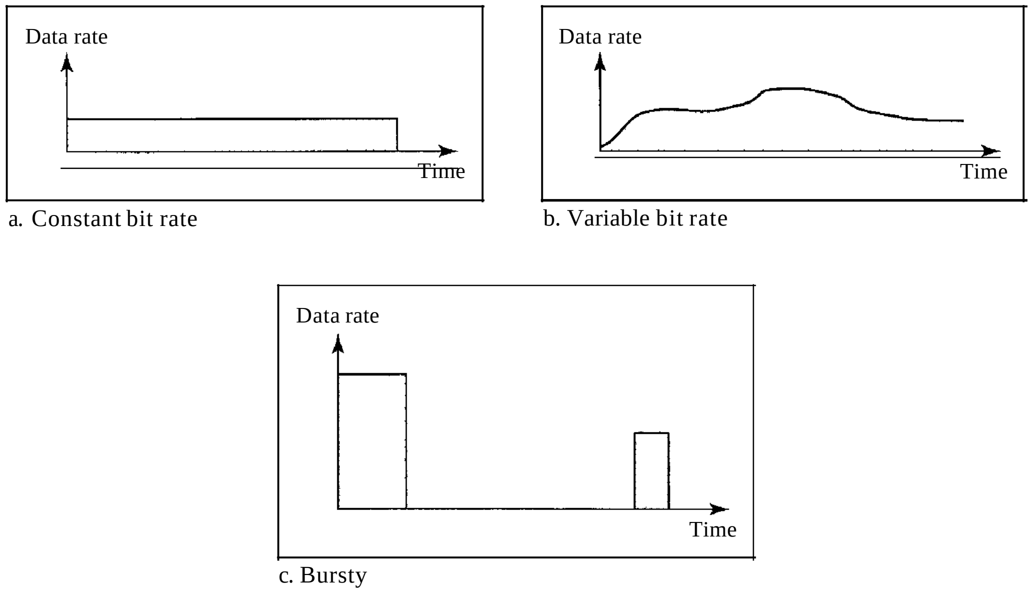
Constant Bit Rate

A constant-bit-rate (CBR), or a fixed-rate, traffic model has a data rate that does not change. In this type of flow, the average data ratc and thc peak data rate are the same. The maximum burst size is not applicable. This type of traffic is very easy for a network to handle since it is predictable. The network knows in advance how much bandwidth to allocate for this type of flow.

Variable Bit Rate

In the variable-bit-rate (VBR) category, the rate of the data flow changes in time, with the changes smooth instead of sudden and sharp. In this type of flow, the average data

Figure 24.2 *Three traffic profiles*



rate and the peak data rate are different. The maximum burst size is usually a small value. This type of traffic is more difficult to handle than constant-bit-rate traffic, but it normally does not need to be reshaped, as we will see later.

Bursty

In the **bursty data** category, the data rate changes suddenly in a very short time. It may jump from zero, for example, to 1 Mbps in a few microseconds and vice versa. It may also remain at this value for a while. The average bit rate and the peak bit rate are very different values in this type of flow. The maximum burst size is significant. This is the most difficult type of traffic for a network to handle because the profile is very unpredictable. To handle this type of traffic, the network normally needs to reshape it, using reshaping techniques, as we will see shortly. Bursty traffic is one of the main causes of congestion in a network.

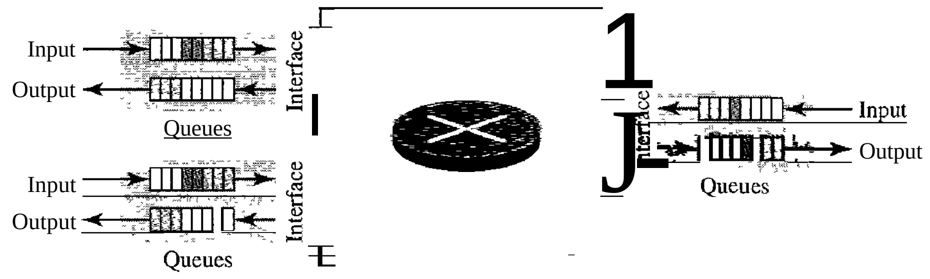
24.2 CONGESTION

An important issue in a packet-switched network is **congestion.** Congestion in a network may occur if the **load** on the network-the number of packets sent to the network-is greater than the *capacity* of the network-the number of packets a network can handle. **Congestion control** refers to the mechanisms and techniques to control the congestion and keep the load below the capacity.

We may ask why there is congestion on a network. Congestion happens in any system that involves waiting. For example, congestion happens on a freeway because any abnonnality in the flow, such as an accident during rush hour, creates blockage.

Congestion in a network or internetwork occurs because routers and switches have queues-buffers that hold the packets before and after processing. A router, for example, has an input queue and an output queue for each interface. When a packet arrives at the incoming interface, it undergoes three steps before departing, as shown in Figure 24.3.

Figure 24.3 *Queues in a router*



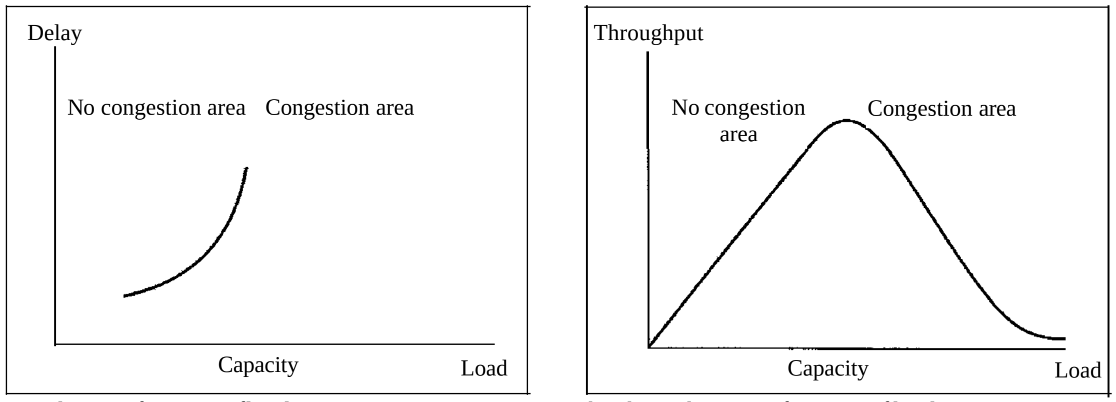
1. The packet is put at the end of the input queue while waiting to be checked.
2. The processing module of the router removes the packet from the input queue once it reaches the front of the queue and uses its routing table and the destination address to find the route.
3. The packet is put in the appropriate output queue and waits its tum to be sent.

We need to be aware of two issues. First, if the rate of packet arrival is higher than the packet processing rate, the input queues become longer and longer. Second, if the packet departure rate is less than the packet processing rate, the output queues become longer and longer.

Network Performance

Congestion control involves two factors that measure the performance of a network: *delay* and *throughput.* Figure 24.4 shows these two performance measures as function of load.

Figure 24.4 *Packet delay and throughput as functions ofload*



a. Delay as a function ofload b. Throughput as a function of load

Delay Versus Load

Note that when the load is much less than the capacity of the network, the delay is at a minimum. This minimum delay is composed of propagation delay and processing delay, both of which are negligible. However, when the load reaches the network capacity, the delay increases sharply because we now need to add the waiting time in the queues (for all routers in the path) to the total delay. Note that the delay becomes infinite when the load is greater than the capacity. If this is not obvious, consider the size of the queues when almost no packet reaches the destination, or reaches the destination with infinite delay; the queues become longer and longer. Delay has a negative effect on the load and consequently the congestion. When a packet is delayed, the source, not receiving the acknowledgment, retransmits the packet, which makes the delay, and the congestion, worse.

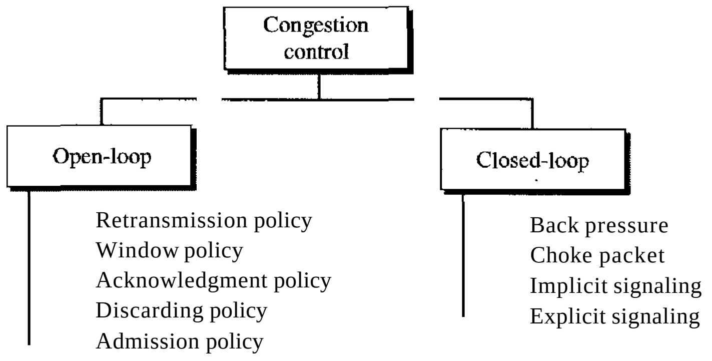
Throughput Versus Load

We defined throughput in Chapter 3 as the number of bits passing through a point in a second. We can extend that definition from bits to packets and from a point to a network. We can define throughput in a network as the number of packets passing through the network in a unit of time. Notice that when the load is below the capacity of the network, the throughput increases proportionally with the *load.* We expect the throughput to remain constant after the load reaches the capacity, but instead the throughput declines sharply. The reason is the discarding of packets by the routers. When the load exceeds the capacity, the queues become full and the routers have to discard some packets. Discarding packets does not reduce the number of packets in the network because the sources retransmit the packets, using time-out mechanisms, when the packets do not reach the destinations.

24.3 CONGESTION CONTROL

Congestion control refers to techniques and mechanisms that can either prevent congestion, before it happens, or remove congestion, after it has happened. In general, we can divide congestion control mechanisms into two broad categories: open-loop congestion control (prevention) and closed-loop congestion control (removal) as shown in Figure 24.5.

Figure 24.5 *Congestion control categories*



Open-Loop Congestion Control

In open-loop congestion control, policies are applied to prevent congestion before it happens. In these mechanisms, congestion control is handled by either the source or the destination. We give a brief list of policies that can prevent congestion.

Retransmission Policy

Retransmission is sometimes unavoidable. If the sender feels that a sent packet is lost or corrupted, the packet needs to be retransmitted. Retransmission in general may increase congestion in the network. However, a good retransmission policy can prevent congestion. The retransmission policy and the retransmission timers must be designed to optimize efficiency and at the same time prevent congestion. For example, the retransmission policy used by TCP (explained later) is designed to prevent or alleviate congestion.

Window Policy

The type of window at the sender may also affect congestion. The Selective Repeat window is better than the Go-Back-N window for congestion control. In the *Go-Back-N* window, when the timer for a packet times out, several packets may be resent, although some may have arrived safe and sound at the receiver. This duplication may make the congestion worse. The Selective Repeat window, on the other hand, tries to send the specific packets that have been lost or corrupted.

Acknowledgment Policy

The acknowledgment policy imposed by the receiver may also affect congestion. If the receiver does not acknowledge every packet it receives, it may slow down the sender and help prevent congestion. Several approaches are used in this case. A receiver may send an acknowledgment only if it has a packet to be sent or a special timer expires. A receiver may decide to acknowledge only N packets at a time. We need to know that the acknowledgments are also part of the load in a network. Sending fewer acknowledgments means imposing less load on the network.

Discarding Policy

A good discarding policy by the routers may prevent congestion and at the same time may not harm the integrity of the transmission. For example, in audio transmission, if the policy is to discard less sensitive packets when congestion is likely to happen, the quality of sound is still preserved and congestion is prevented or alleviated.

Admission Policy

An admission policy, which is a quality-of-service mechanism, can also prevent congestion in virtual-circuit networks. Switches in a flow first check the resource requirement of a flow before admitting it to the network. A router can deny establishing a virtual-circuit connection if there is congestion in the network or if there is a possibility of future congestion.

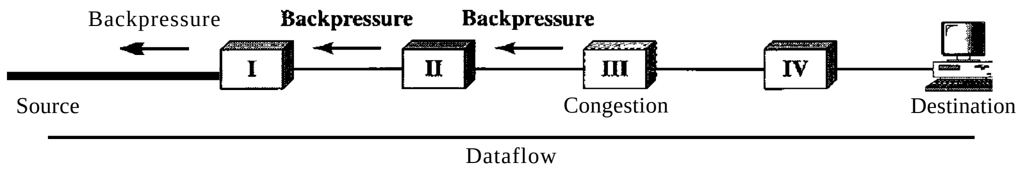
Closed-Loop Congestion Control

Closed-loop congestion control mechanisms try to alleviate congestion after it happens. Several mechanisms have been used by different protocols. We describe a few of them here.

Backpressure

The technique of *backpressure* refers to a congestion control mechanism in which a congested node stops receiving data from the immediate upstream node or nodes. This may cause the upstream node or nodes to become congested, and they, in turn, reject data from their upstream nodes or nodes. And so on. Backpressure is a node-to-node congestion control that starts with a node and propagates, in the opposite direction of data flow, to the source. The backpressure technique can be applied only to virtual circuit networks, in which each node knows the upstream node from which a flow of data is corning. Figure 24.6 shows the idea of backpressure.

Figure 24.6 *Backpressure methodfor alleviating congestion*



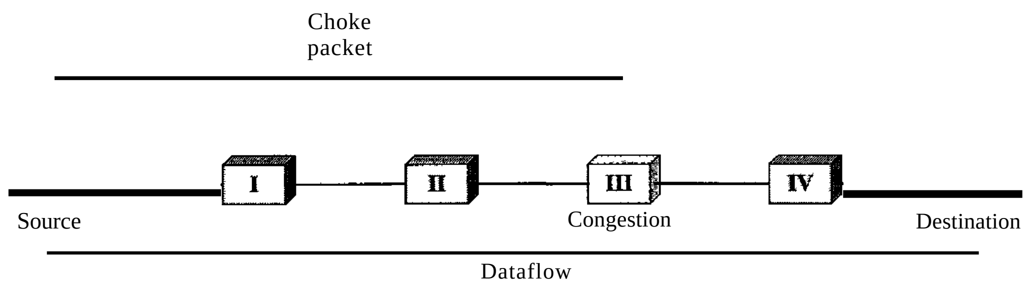
Node III in the figure has more input data than it can handle. It drops some packets in its input buffer and informs node II to slow down. Node II, in turn, may be congested because it is slowing down the output flow of data. If node II is congested, it informs node I to slow down, which in turn may create congestion. If so, node I informs the source of data to slow down. This, in time, alleviates the congestion. Note that the *pressure* on node III is moved backward to the source to remove the congestion.

None of the virtual-circuit networks we studied in this book use backpressure. It was, however, implemented in the first virtual-circuit network, X.25. The technique cannot be implemented in a datagram network because in this type of network, a node (router) does not have the slightest knowledge of the upstream router.

Choke Packet

A choke packet is a packet sent by a node to the source to inform it of congestion. Note the difference between the backpressure and choke packet methods. In backpressure, the warning is from one node to its upstream node, although the warning may eventually reach the source station. In the choke packet method, the warning is from the router, which has encountered congestion, to the source station directly. The intermediate nodes through which the packet has traveled are not warned. We have seen an example of this type of control in ICMP. When a router in the Internet is overwhelmed with IP datagrams, it may discard some of them; but it informs the source host, using a source quench ICMP message. The warning message goes directly to the source station; the intermediate routers, and does not take any action. Figure 24.7 shows the idea of a choke packet.

Figure 24.7 *Choke packet*



Implicit Signaling

In implicit signaling, there is no communication between the congested node or nodes and the source. The source guesses that there is a congestion somewhere in the network from other symptoms. For example, when a source sends several packets and there is no acknowledgment for a while, one assumption is that the network is congested. The delay in receiving an acknowledgment is interpreted as congestion in the network; the source should slow down. We will see this type of signaling when we discuss TCP congestion control later in the chapter.

Explicit Signaling

The node that experiences congestion can explicitly send a signal to the source or destination. The explicit signaling method, however, is different from the choke packet method. In the choke packet method, a separate packet is used for this purpose; in the explicit signaling method, the signal is included in the packets that carry data. Explicit signaling, as we will see in Frame Relay congestion control, can occur in either the forward or the backward direction.

Backward Signaling A bit can be set in a packet moving in the direction opposite to the congestion. This bit can warn the source that there is congestion and that it needs to slow down to avoid the discarding of packets.

Forward Signaling A bit can be set in a packet moving in the direction of the congestion. This bit can warn the destination that there is congestion. The receiver in this case can use policies, such as slowing down the acknowledgments, to alleviate the congestion.

24.4 TWO EXAMPLES

To better understand the concept of congestion control, let us give two examples: one in TCP and the other in Frame Relay.

Congestion Control **in** TCP

We discussed TCP in Chapter 23. We now show how TCP uses congestion control to avoid congestion or alleviate congestion in the network.

Congestion Window

In Chapter 23, we talked about flow control and tried to discuss solutions when the receiver is overwhelmed with data. We said that the sender window size is determined by the available buffer space in the receiver *(rwnd).* In other words, we assumed that it is only the receiver that can dictate to the sender the size of the sender's window. We totally ignored another entity here-the network. If the network cannot deliver the data as fast as they are created by the sender, it must tell the sender to slow down. In other words, in addition to the receiver, the network is a second entity that determines the size of the sender's window.

Today, the sender's window size is determined not only by the receiver but also by congestion in the network.

The sender has two pieces of information: the receiver-advertised window size and the congestion window size. The actual size of the window is the minimum of these two.

Actual window size = minimum (rwnd, cwnd)

We show shortly how the size of the congestion window *(cwnd)* is determined.

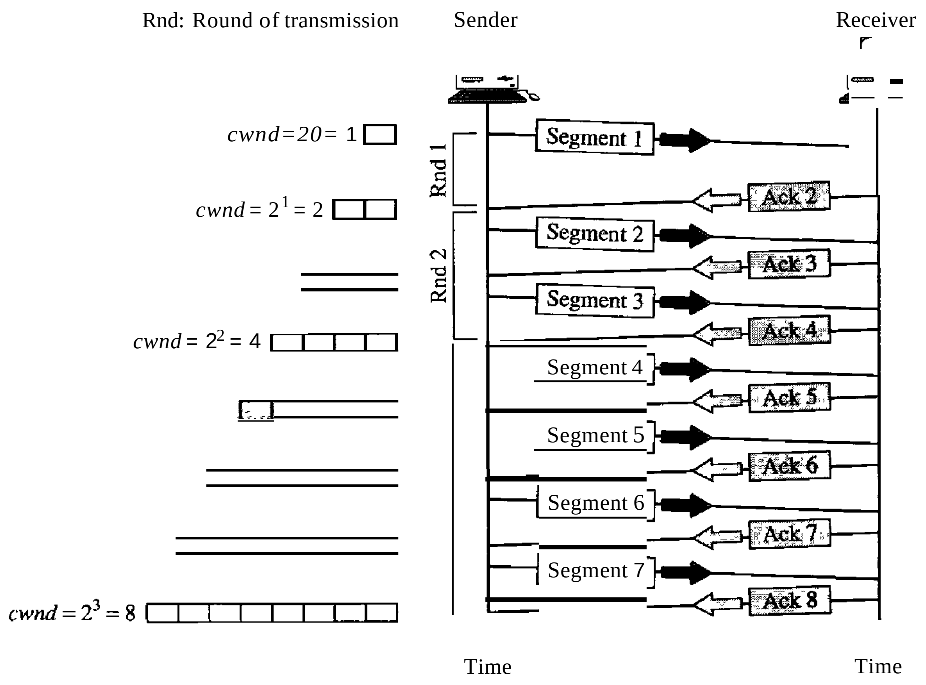
Congestion Policy

TCP's general policy for handling congestion is based on three phases: slow start, congestion avoidance, and congestion detection. In the slow-start phase, the sender starts with a very slow rate of transmission, but increases the rate rapidly to reach a threshold. When the threshold is reached, the data rate is reduced to avoid congestion. Finally if congestion is detected, the sender goes back to the slow-start or congestion avoidance phase based on how the congestion is detected.

Slow Start: Exponential Increase One of the algorithms used in TCP congestion control is called slow start. This algorithm is based on the idea that the size of the congestion window *(cwnd)* starts with one maximum segment size (MSS). The MSS is determined during connection establishment by using an option of the same name. The size of the window increases one MSS each time an acknowledgment is received. As the name implies, the window starts slowly, but grows exponentially. To show the idea, let us look at Figure 24.8. Note that we have used three simplifications to make the discussion more understandable. We have used segment numbers instead of byte numbers (as though each segment contains only 1 byte). We have assumed that *rwnd* is much higher than *cwnd,* so that the sender window size always equals *cwnd.* We have assumed that each segment is acknowledged individually.

The sender starts with *cwnd* = 1 MSS. This means that the sender can send only one segment. After receipt of the acknowledgment for segment 1, the size of the congestion window is increased by 1, which means that *cwnd* is now 2. Now two more segments can be sent. When each acknowledgment is received, the size of the window is increased by 1 MSS. When all seven segments are acknowledged, *cwnd* = 8.

Figure 24.8 *Slow start, exponential increase*



If we look at the size of *cwnd* in terms of rounds (acknowledgment of the whole window of segments), we find that the rate is exponential as shown below:

Start	➡	*cwnd*=1
After round 1	➡	*cwnd*=2^1 =2
After round 2	➡	*cwnd*=2^2 =4
After round 3	➡	*cwnd*=2^3 =8

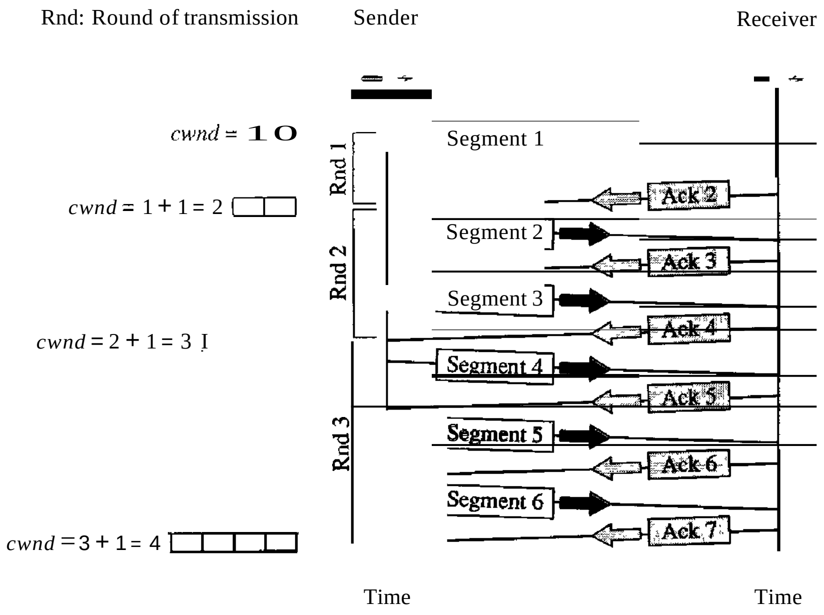
We need to mention that if there is delayed ACKs, the increase in the size of the window is less than power of 2.

Slow start cannot continue indefinitely. There must be a threshold to stop this phase. The sender keeps track of a variable named *ssthresh* (slow-start threshold). When the size of window in bytes reaches this threshold, slow start stops and the next phase starts. In most implementations the value of *ssthresh* is 65,535 bytes.

In the slow-start algorithm, the size of the congestion window increases exponentially until it reaches a threshold.

Congestion Avoidance: Additive Increase If we start with the slow-start algorithm, the size of the congestion window increases exponentially. To avoid congestion before it happens, one must slow down this exponential growth. TCP defines another algorithm called congestion avoidance, which undergoes an additive increase instead of an exponential one. When the size of the congestion window reaches the slow-start threshold, the slow-start phase stops and the additive phase begins. In this algorithm, each time the whole window of segments is acknowledged (one round), the size of the congestion window is increased by 1. To show the idea, we apply this algorithm to the same scenario as slow start, although we will see that the congestion avoidance algorithm usually starts when the size of the window is much greater than 1. Figure 24.9 shows the idea.

Figure 24.9 *Congestion avoidance, additive increase*



In this case, after the sender has received acknowledgments for a complete window size of segments, the size of the window is increased by one segment.

If we look at the size of *cwnd* in terms of rounds, we find that the rate is additive as shown below:

Start	➡	*cwnd*=1
After round 1	➡	*cwnd*= 1+1=2
After round 2	➡	*cwnd*=2+1=3
After round 3	➡	*cwnd*=3+1=4

In the congestion avoidance algorithm, the size of the congestion window increases additively until congestion is detected.

Congestion Detection: Multiplicative Decrease If congestion occurs, the congestion window size must be decreased. The only way the sender can guess that congestion has occurred is by the need to retransmit a segment. However, retransmission can occur in one of two cases: when a timer times out or when three ACKs are received. In both cases, the size of the threshold is dropped to one-half, a multiplicative decrease. Most TCP implementations have two reactions:

1. If a time-out occurs, there is a stronger possibility of congestion; a segment has probably been dropped in the network, and there is no news about the sent segments.

In this case TCP reacts strongly:

a. It sets the value of the threshold to one-half of the current window size.

b. It sets *cwnd* to the size of one segment.

c. It starts the slow-start phase again.

2. If three ACKs are received, there is a weaker possibility of congestion; a segment may have been dropped, but some segments after that may have arrived safely since three ACKs are received. This is called fast transmission and fast recovery. In this case, TCP has a weaker reaction:

a. It sets the value of the threshold to one-half of the current window size.

b. It sets *cwnd* to the value of the threshold (some implementations add three segment sizes to the threshold).

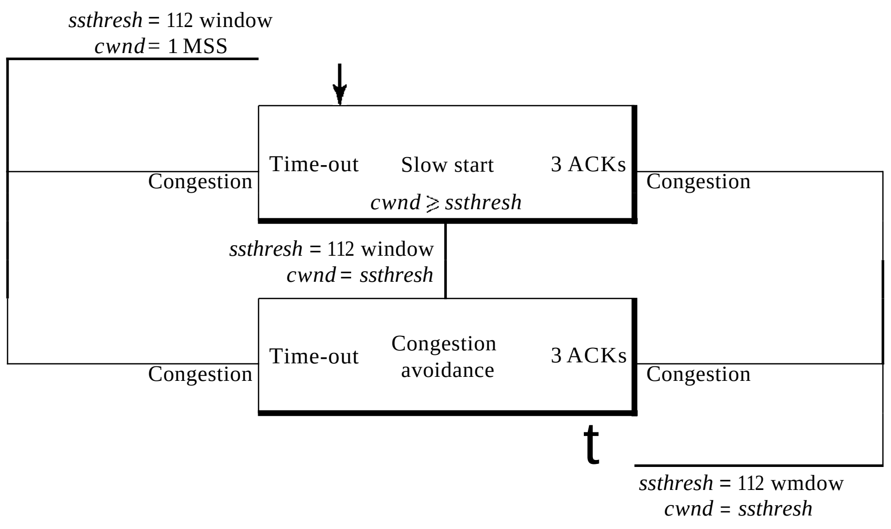
c. It starts the congestion avoidance phase.

An implementations reacts to congestion detection in one of the following ways:

- If detection is by time-out, a new *slow-start* phase starts.
- If detection is by three ACKs, a new *congestion avoidance* phase starts.

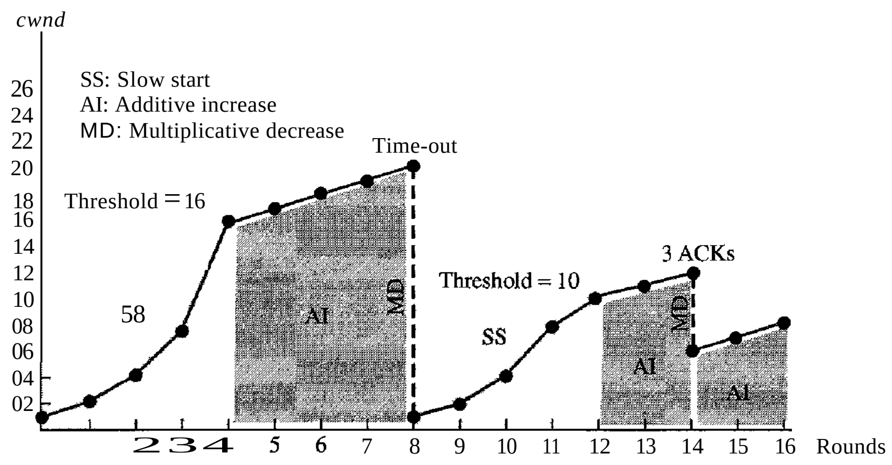
Summary In Figure 24.10, we summarize the congestion policy of TCP and the relationships between the three phases.

Figure 24.10 *TCP congestion policy summary*



We give an example in Figure 24.11. We assume that the maximum window size is 32 segments. The threshold is set to 16 segments (one-half of the maximum window size). In the *slow-start* phase the window size starts from 1 and grows exponentially until it reaches the threshold. After it reaches the threshold, the *congestion avoidance (additive increase)* procedure allows the window size to increase linearly until a time-out occurs or the maximum window size is reached. In Figure 24.11, the time-out occurs when the window size is 20. At this moment, the *multiplicative decrease* procedure takes

Figure 24.11 *Congestion example*



over and reduces the threshold to one-half of the previous window size. The previous window size was 20 when the time-out happened so the new threshold is now 10.

TCP moves to slow start again and starts with a window size of 1, and TCP moves to additive increase when the new threshold is reached. When the window size is 12, a three-ACKs event happens. The multiplicative decrease procedure takes over again. The threshold is set to 6 and TCP goes to the additive increase phase this time. It remains in this phase until another time-out or another three ACKs happen.

Congestion Control in Frame Relay

Congestion in a Frame Relay network decreases throughput and increases delay. A high throughput and low delay are the main goals of the Frame Relay protocol. Frame Relay does not have flow control. In addition, Frame Relay allows the user to transmit bursty data. This means that a Frame Relay network has the potential to be really congested with traffic, thus requiring congestion control.

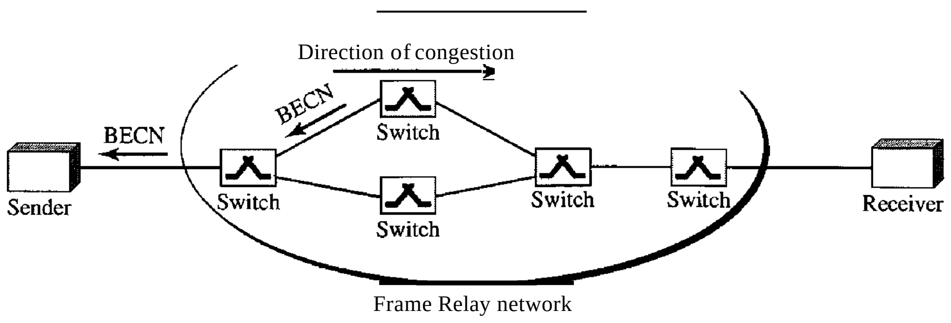
Congestion Avoidance

For congestion avoidance, the Frame Relay protocol uses 2 bits in the frame to explicitly warn the source and the destination of the presence of congestion.

BECN The backward explicit congestion notification (BECN) bit warns the sender of congestion in the network. One might ask how this is accomplished since the frames are traveling away from the sender. In fact, there are two methods: The switch can use response frames from the receiver (full-duplex mode), or else the switch can use a predefined connection (DLCI = 1023) to send special frames for this specific purpose. The sender can respond to this warning by simply reducing the data rate. Figure 24.12 shows the use ofBECN.

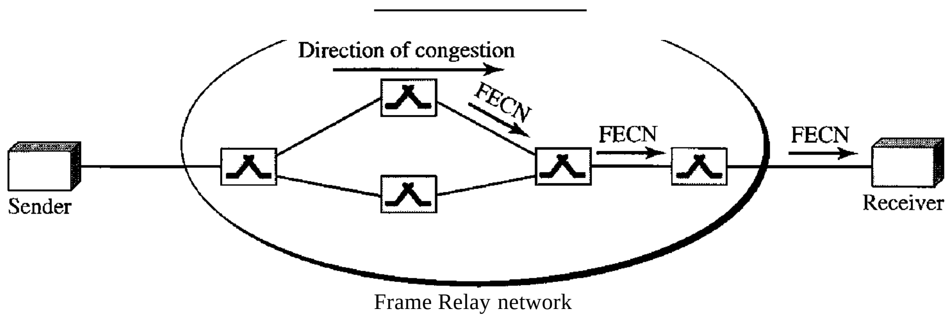
FECN The forward explicit congestion notification (FECN) bit is used to warn the receiver of congestion in the network. It might appear that the receiver cannot do anything to relieve the congestion. However, the Frame Relay protocol assumes that the sender and receiver are communicating with each other and are using some type of flow control at a higher level. For example, if there is an acknowledgment mechanism at this

Figure 24.12 *BECN*



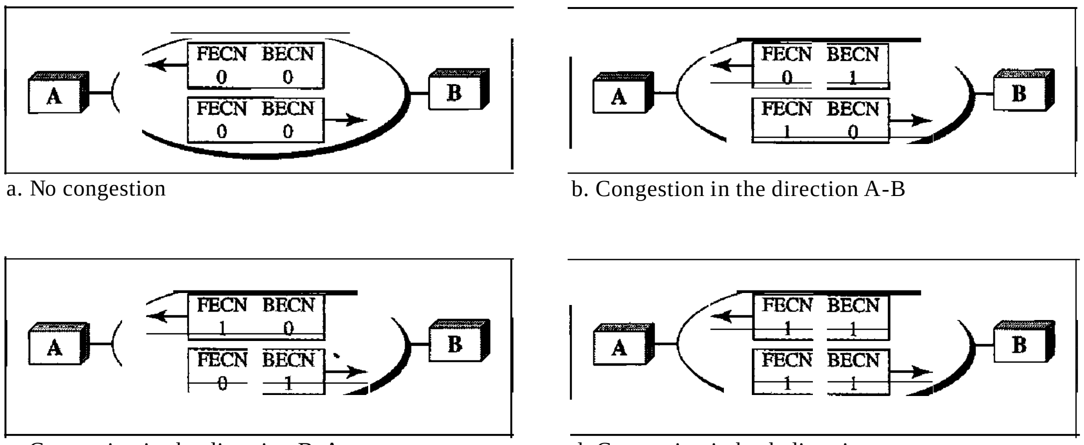
higher level, the receiver can delay the acknowledgment, thus forcing the sender to slow down. Figure 24.13 shows the use ofFECN.

Figure 24.13 *FECN*



When two endpoints are communicating using a Frame Relay network, four situations may occur with regard to congestion. Figure 24.14 shows these four situations and the values of FECN and BECN.

Figure 24.14 *Four cases ofcongestion*



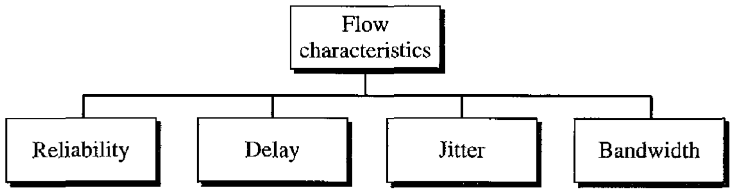
24.5 QUALITY OF SERVICE

Quality of service (QoS) is an internetworking issue that has been discussed more than defined. We can informally define quality of service as something a flow seeks to attain.

Flow Characteristics

Traditionally, four types of characteristics are attributed to a flow: reliability, delay, jitter, and bandwidth, as shown in Figure 24.15.

Figure 24.15 *Flow characteristics*



Reliability

Reliability is a characteristic that a flow needs. Lack of reliability means losing a packet or acknowledgment, which entails retransmission. However, the sensitivity of application programs to reliability is not the same. For example, it is more important that electronic mail, file transfer, and Internet access have reliable transmissions than telephony or audio conferencing.

Delay

Source-to-destination delay is another flow characteristic. Again applications can tolerate delay in different degrees. In this case, telephony, audio conferencing, video conferencing, and remote log-in need minimum delay, while delay in file transfer or e-mail is less important.

Jitter

Jitter is the variation in delay for packets belonging to the same flow. For example, if four packets depart at times 0, 1, 2, 3 and arrive at 20, 21, 22, 23, all have the same delay, 20 units of time. On the other hand, if the above four packets arrive at 21, 23, 21, and 28, they will have different delays: 21,22, 19, and 24.

For applications such as audio and video, the first case is completely acceptable; the second case is not. For these applications, it does not matter if the packets arrive with a short or long delay as long as the delay is the same for all packets. For this application, the second case is not acceptable.

Jitter is defined as the variation in the packet delay. High jitter means the difference between delays is large; low jitter means the variation is small.

In Chapter 29, we show how multimedia communication deals with jitter. If the jitter is high, some action is needed in order to use the received data.

Bandwidth

Different applications need different bandwidths. In video conferencing we need to send millions of bits per second to refresh a color screen while the total number of bits in an e-mail may not reach even a million.

Flow Classes

Based on the flow characteristics, we can classify flows into groups, with each group having similar levels of characteristics. This categorization is not formal or universal; some protocols such as ATM have defined classes, as we will see later.

24.6 lECHNIQUES TO IMPROVE QoS

In Section 24.5 we tried to define QoS in terms of its characteristics. In this section, we discuss some techniques that can be used to improve the quality of service. We briefly discuss four common methods: scheduling, traffic shaping, admission control, and resource reservation.

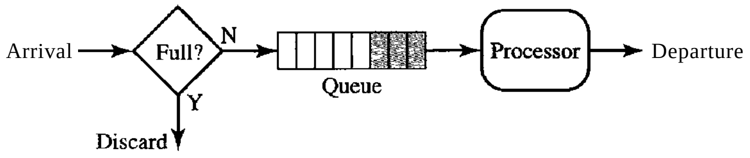
Scheduling

Packets from different flows arrive at a switch or router for processing. A good scheduling technique treats the different flows in a fair and appropriate manner. Several scheduling techniques are designed to improve the quality of service. We discuss three of them here: FIFO queuing, priority queuing, and weighted fair queuing.

FIFO Queuing

In first-in, first-out (FIFO) queuing, packets wait in a buffer (queue) until the node (router or switch) is ready to process them. If the average arrival rate is higher than the average processing rate, the queue will fill up and new packets will be discarded. A FIFO queue is familiar to those who have had to wait for a bus at a bus stop. Figure 24.16 shows a conceptual view of a FIFO queue.

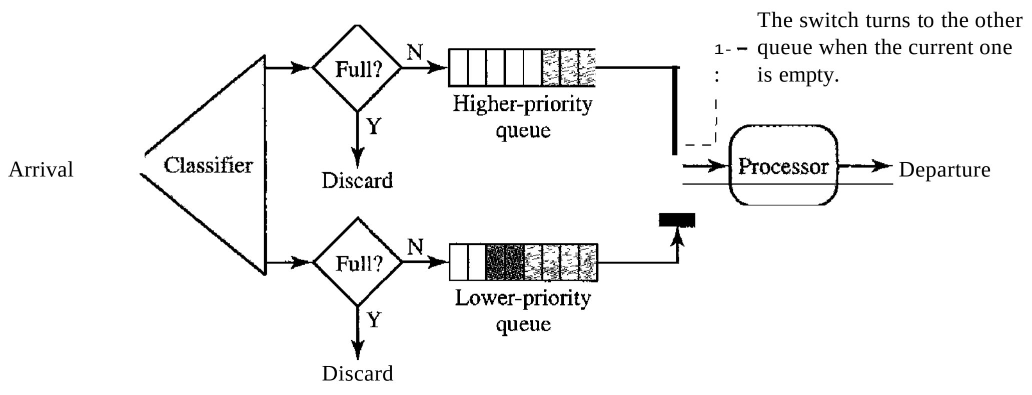
Figure 24.16 *FIFO queue*



Priority Queuing

In priority queuing, packets are first assigned to a priority class. Each priority class has its own queue. The packets in the highest-priority queue are processed first. Packets in the lowest-priority queue are processed last. Note that the system does not stop serving a queue until it is empty. Figure 24.17 shows priority queuing with two priority levels (for simplicity).

Figure 24.17 *Priority queuing*



A priority queue can provide better QoS than the FIFO queue because higher-priority traffic, such as multimedia, can reach the destination with less delay. However, there is a potential drawback. If there is a continuous flow in a high-priority queue, the packets in the lower-priority queues will never have a chance to be processed. This is a condition called *starvation.*

Weighted Fair Queuing

A better scheduling method is weighted fair queuing. In this technique, the packets are still assigned to different classes and admitted to different queues. The queues, however, are weighted based on the priority of the queues; higher priority means a higher weight. The system processes packets in each queue in a round-robin fashion with the number of packets selected from each queue based on the corresponding weight. For example, if the weights are 3, 2, and 1, three packets are processed from the first queue, two from the second queue, and one from the third queue. If the system does not impose priority on the classes, all weights can be equaL In this way, we have fair queuing with priority. Figure 24.18 shows the technique with three classes.

Traffic Shaping

Traffic shaping is a mechanism to control the amount and the rate of the traffic sent to the network. Two techniques can shape traffic: leaky bucket and token bucket.

Leaky Bucket

If a bucket has a small hole at the bottom, the water leaks from the bucket at a constant rate as long as there is water in the bucket. The rate at which the water leaks does not depend on the rate at which the water is input to the bucket unless the bucket is empty. The input rate can vary, but the output rate remains constant. Similarly, in networking, a technique called leaky bucket can smooth out bursty traffic. Bursty chunks are stored in the bucket and sent out at an average rate. Figure 24.19 shows a leaky bucket and its effects.

Figure 24.18 *Weighted fair queuing*

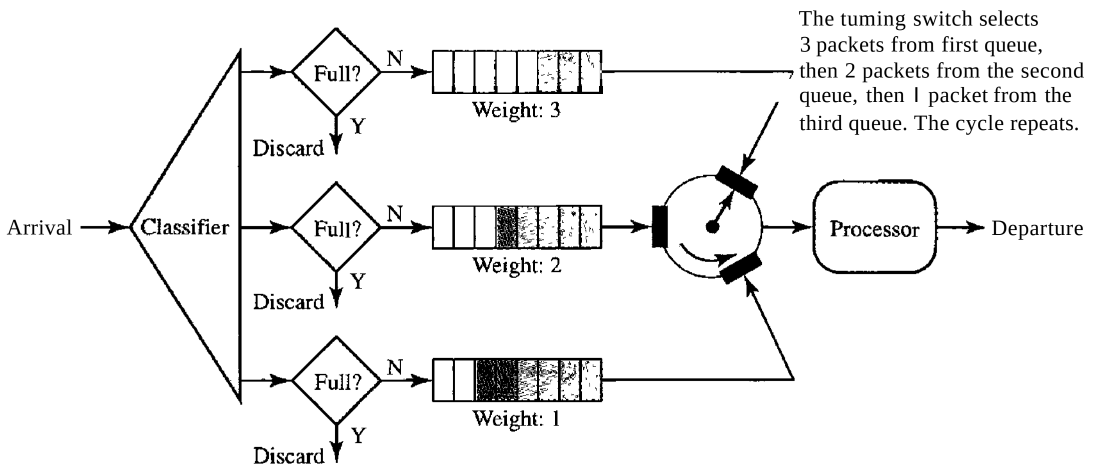
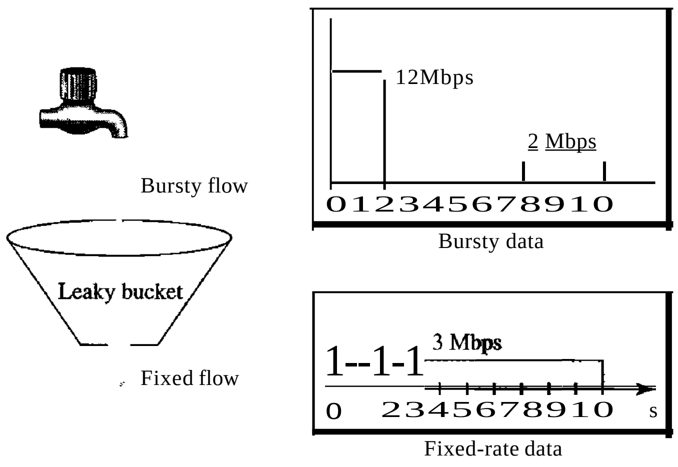

The tuming switch selects
3 packets from first queue,
then 2 packets from the second
queue, then I packet from the
third queue. The cycle repeats.
Arrival
Classifier
Full?
N
Y
Discard
Weight: 3
Weight: 2
Weight: 1
Processor
Departure

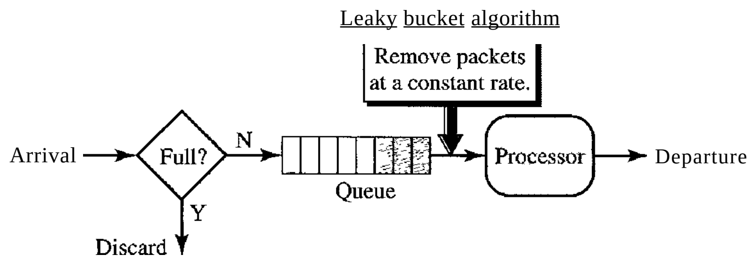
Figure 24.19 *Leaky bucket*



In the figure, we assume that the network has committed a bandwidth of 3 Mbps for a host. The use of the leaky bucket shapes the input traffic to make it conform to this commitment. In Figure 24.19 the host sends a burst of data at a rate of 12 Mbps for 2 s, for a total of 24 Mbits of data. The host is silent for 5 s and then sends data at a rate of 2 Mbps for 3 s, for a total of 6 Mbits of data. In all, the host has sent 30 Mbits of data in lOs. The leaky bucket smooths the traffic by sending out data at a rate of 3 Mbps during the same 10 s. Without the leaky bucket, the beginning burst may have hurt the network by consuming more bandwidth than is set aside for this host. We can also see that the leaky bucket may prevent congestion. As an analogy, consider the freeway during rush hour (bursty traffic). If, instead, commuters could stagger their working hours, congestion o'n our freeways could be avoided.

A simple leaky bucket implementation is shown in Figure 24.20. A FIFO queue holds the packets. If the traffic consists of fixed-size packets (e.g., cells in ATM

Figure 24.20 *Leaky bucket implementation*



networks), the process removes a fixed number of packets from the queue at each tick of the clock. If the traffic consists of variable-length packets, the fixed output rate must be based on the number of bytes or bits.

The following is an algorithm for variable-length packets:

1. Initialize a counter to *n* at the tick of the clock.
2. If *n* is greater than the size of the packet, send the packet and decrement the counter by the packet size. Repeat this step until *n* is smaller than the packet size.
3. Reset the counter and go to step 1.

A leaky bucket algorithm shapes bursty traffic into fixed-rate traffic by averaging the data rate. It may drop the packets if the bucket is full.

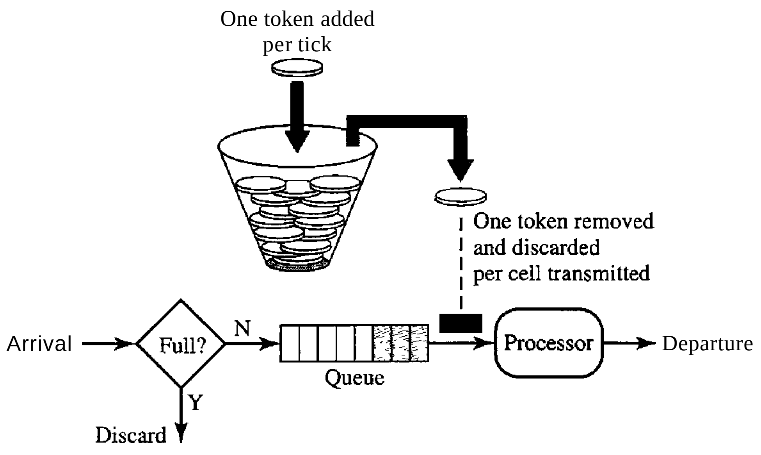
Token Bucket

The leaky bucket is very restrictive. It does not credit an idle host. For example, if a host is not sending for a while, its bucket becomes empty. Now if the host has bursty data, the leaky bucket allows only an average rate. The time when the host was idle is not taken into account. On the other hand, the token bucket algorithm allows idle hosts to accumulate credit for the future in the form of tokens. For each tick of the clock, the system sends *n* tokens to the bucket. The system removes one token for every cell (or byte) of data sent. For example, if *n* is 100 and the host is idle for 100 ticks, the bucket collects 10,000 tokens. Now the host can consume all these tokens in one tick with 10,000 cells, or the host takes 1000 ticks with 10 cells per tick. In other words, the host can send bursty data as long as the bucket is not empty. Figure 24.21 shows the idea.

The token bucket can easily be implemented with a counter. The token is initialized to zero. Each time a token is added, the counter is incremented by 1. Each time a unit of data is sent, the counter is decremented by 1. When the counter is zero, the host cannot send data.

The token bucket allows bursty traffic at a regulated maximum rate.

Figure 24.21 *Token bucket*



Combining Token Bucket and Leaky Bucket

The two techniques can be combined to credit an idle host and at the same time regulate the traffic. The leaky bucket is applied after the token bucket; the rate of the leaky bucket needs to be higher than the rate of tokens dropped in the bucket.

Resource Reservation

A flow of data needs resources such as a buffer, bandwidth, CPU time, and so on. The quality of service is improved if these resources are reserved beforehand. We discuss in this section one QoS model called Integrated Services, which depends heavily on resource reservation to improve the quality of service.

Admission Control

Admission control refers to the mechanism used by a router, or a switch, to accept or reject a flow based on predefined parameters called flow specifications. Before a router accepts a flow for processing, it checks the flow specifications to see if its capacity (in terms of bandwidth, buffer size, CPU speed, etc.) and its previous commitments to other flows can handle the new flow.

24.7 INTEGRATED SERVICES

Based on the topics in Sections 24.5 and 24.6, two models have been designed to provide quality of service in the Internet: Integrated Services and Differentiated Services. Both models emphasize the use of quality of service at the network layer (IP), although the model can also be used in other layers such as the data link. We discuss Integrated Services in this section and Differentiated Service in Section 24.8.

As we learned in Chapter 20, IP was originally designed for *best-effort* delivery. This means that every user receives the same level of services. This type of delivery does not guarantee the minimum of a service, such as bandwidth, to applications such as real-time audio and video. If such an application accidentally gets extra bandwidth, it may be detrimental to other applications, resulting in congestion.

Integrated Services, sometimes called IntServ, is *afiow-based* QoS model, which means that a user needs to create a flow, a kind of virtual circuit, from the source to the destination and inform all routers of the resource requirement.

Integrated Services is a *flow-based* QoS model designed for IP.

Signaling

The reader may remember that IP is a connectionless, datagram, packet-switching protocol. How can we implement a flow-based model over a connectionless protocol? The solution is a signaling protocol to run over IP that provides the signaling mechanism for making a reservation. This protocol is called Resource Reservation Protocol (RSVP) and will be discussed short!y.

Flow Specification

When a source makes a reservation, it needs to define a flow specification. A flow spedfication has two parts: Rspec (resource specification) and Tspec (traffic specification). Rspec defines the resource that the flow needs to reserve (buffer, bandwidth, etc.). Tspec defines the traffic characterization of the flow.

Admission

After a router receives the flow specification from an application, it decides to admit or deny the service. The decision is based on the previous commitments of the router and the current availability of the resource.

Service Classes

Two classes of services have been defined for Integrated Services: guaranteed service and controlled-load service.

Guaranteed Service Class

This type of service is designed for real-time traffic that needs a guaranteed minimum end-to-end delay. The end-to-end delay is the sum of the delays in the routers, the propagation delay in the media, and the setup mechanism. Only the first, the sum of the delays in the routers, can be guaranteed by the router. This type of service guarantees that the packets will arrive within a certain delivery time and are not discarded if flow traffic stays within the boundary of Tspec. We can say that guaranteed services are quantitative services, in which the amount of end-to-end delay and the data rate must be defined by the application.

Controlled-Load Service Class

This type of service is designed for applications that can accept some delays, but are sensitive to an overloaded network and to the danger of losing packets. Good examples of these types of applications are file transfer, e-mail, and Internet access. The controlled-load service is a qualitative type of service in that the application requests the possibility of low-loss or no-loss packets.

RSVP

In the Integrated Services model, an application program needs resource reservation. As we learned in the discussion of the IntServ model, the resource reservation is for a *flow*. This means that if we want to use IntServ at the IP level, we need to create a flow, a kind of virtual-circuit network, out of the IP, which was originally designed as a datagram packet-switched network. A virtual-circuit network needs a signaling system to set up the virtual circuit before data traffic can start. The Resource Reservation Protocol (RSVP) is a signaling protocol to help IP create a flow and consequently make a resource reservation. Before discussing RSVP, we need to mention that it is an independent protocol separate from the Integrated Services model. It may be used in other models in the future.

Multicast Trees

RSVP is different from some other signaling systems we have seen before in that it is a signaling system designed for multicasting. However, RSVP can be also used for unicasting because unicasting is just a special case of multicasting with only one member in the multicast group. The reason for this design is to enable RSVP to provide resource reservations for all kinds of traffic including multimedia which often uses multicasting.

Receiver-Based Reservation

In RSVP, the receivers, not the sender, make the reservation. This strategy matches the other multicasting protocols. For example, in multicast routing protocols, the receivers, not the sender, make a decision to join or leave a multicast group.

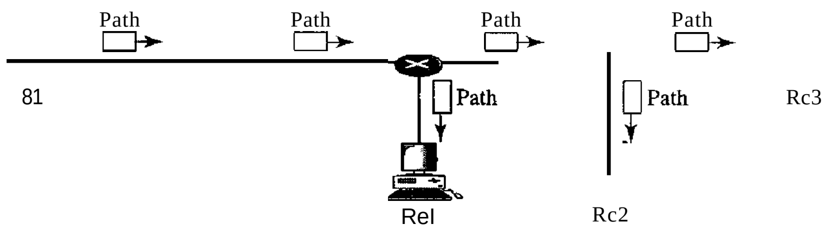
RSVP Messages

RSVP has several types of messages. However, for our purposes, we discuss only two of them: **Path** and Resv.

Path Messages Recall that the receivers in a flow make the reservation in RSVP. However, the receivers do not know the path traveled by packets before the reservation is made. The path is needed for the reservation. To solve the problem, RSVP uses *Path* messages. A Path message travels from the sender and reaches all receivers in the multicast path. On the way, a Path message stores the necessary information for the receivers. A Path message is sent in a multicast environment; a new message is created when the path diverges. Figure 24.22 shows path messages.

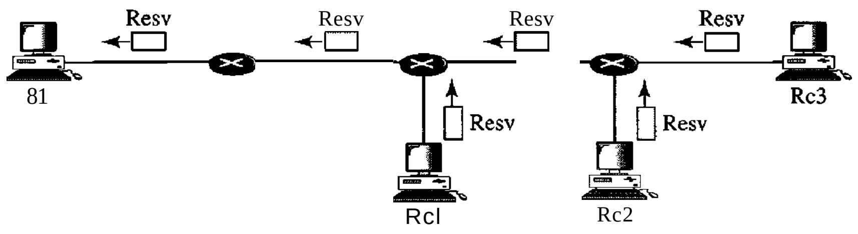
Resv Messages After a receiver has received a Path message, it sends a *Resv* message. The Resv message travels toward the sender (upstream) and makes a resource reservation on the routers that support RSVP. If a router does not support RSVP on the path, it routes

Figure 24.22 *Path messages*



the packet based on the best-effort delivery methods we discussed before. Figure 24.23 shows the Resv messages.

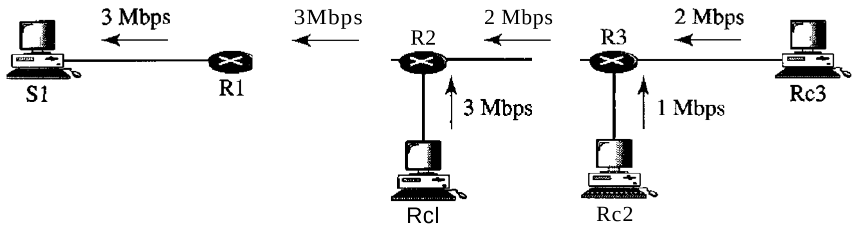
Figure 24.23 *Resv messages*



Reservation Merging

In RSVP, the resources are not reserved for each receiver in a flow; the reservation is merged. In Figure 24.24, Rc3 requests a 2-Mbps bandwidth while Rc2 requests a I-Mbps bandwidth. Router R3, which needs to make a bandwidth reservation, merges the two requests. The reservation is made for 2 Mbps, the larger of the two, because a 2-Mbps input reservation can handle both requests. The same situation is true for R2. The reader may ask why Rc2 and Rc3, both belonging to one single flow, request different amounts of bandwidth. The answer is that, in a multimedia environment, different receivers may handle different grades of quality. For example, Rc2 may be able to receive video only at 1 Mbps (lower quality), while Rc3 may be able to receive video at 2 Mbps (higher quality).

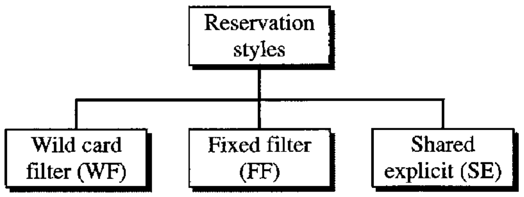
Figure 24.24 *Reservation merging*



Reservation Styles

When there is more than one flow, the router needs to make a reservation to accommodate all of them. RSVP defines three types of reservation styles, as shown in Figure 24.25.

Figure 24.25 *Reservation styles*



Wild Card Filter Style In this style, the router creates a single reservation for all senders. The reservation is based on the largest request. This type of style is used when the flows from different senders do not occur at the same time.

Fixed Filter Style In this style, the router creates a distinct reservation for each flow. This means that if there are *n* flows, *n* different reservations are made. This type of style is used when there is a high probability that flows from different senders will occur at the same time.

Shared Explicit Style In this style, the router creates a single reservation which can be shared by a set of flows.

Soft State

The reservation information (state) stored in every node for a flow needs to be refreshed periodically. This is referred to as a *soft state* as compared to the *hard state* used in other virtual-circuit protocols such as ATM or Frame Relay, where the information about the flow is maintained until it is erased. The default interval for refreshing is currently 30 s.

Problems with Integrated Services

There are at least two problems with Integrated Services that may prevent its full implementation in the Internet: scalability and service-type limitation.

Scalability

The Integrated Services model requires that each router keep information for each flow. As the Internet is growing every day, this is a serious problem.

Service-Type Limitation

The Integrated Services model provides only two types of services, guaranteed and control-load. Those opposing this model argue that applications may need more than these two types of services.

24.8 DIFFERENTIATED SERVICES

Differentiated Services (DS or Diffserv) was introduced by the IETF (Internet Engineering Task Force) to handle the shortcomings of Integrated Services. Two fundamental changes were made:

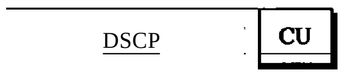
1. The main processing was moved from the core of the network to the edge of the network. This solves the scalability problem. The routers do not have to store information about flows. The applications, or hosts, define the type of service they need each time they send a packet.
2. The per-flow service is changed to per-class service. The router routes the packet based on the class of service defined in the packet, not the flow. This solves the service-type limitation problem. We can define different types of classes based on the needs of applications.

Differentiated Services is a class-based QoS model designed for IP.

DS Field

In Diffserv, each packet contains a field called the DS field. The value of this field is set at the boundary of the network by the host or the first router designated as the boundary router. IETF proposes to replace the existing TOS (type of service) field in IPv4 or the class field in IPv6 by the DS field, as shown in Figure 24.26.

Figure 24.26 *DS field*



The DS field contains two subfields: DSCP and CU. The DSCP (Differentiated Services Code Point) is a 6-bit subfield that defines the per-hop behavior (PHB). The 2-bit CU (currently unused) subfield is not currently used.

The Diffserv capable node (router) uses the DSCP 6 bits as an index to a table defining the packet-handling mechanism for the current packet being processed.

Per-Hop Behavior

The Diffserv model defines per-hop behaviors (PHBs) for each node that receives a packet. So far three PHBs are defined: DE PHB, EF PHB, and AF PHB.

DE PHB The DE PHB (default PHB) is the same as best-effort delivery, which is compatible with TOS.

EF PHB The EF PHB (expedited forwarding PHB) provides the following services:

- Low loss

- Low latency
- Ensured bandwidth

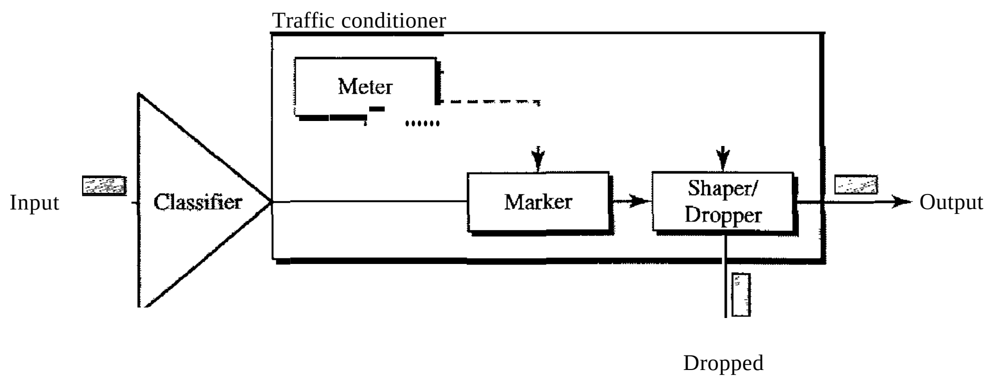
This is the same as having a virtual connection between the source and destination.

AF PHB The AF PHB (assured forwarding PHB) delivers the packet with a high assurance as long as the class traffic does not exceed the traffic profile of the node. The users of the network need to be aware that some packets may be discarded.

Traffic Conditioner

To implement Oiffserv, the OS node uses traffic conditioners such as meters, markers, shapers, and droppers, as shown in Figure 24.27.

Figure 24.27 *Traffic conditioner*



Meters The meter checks to see if the incoming flow matches the negotiated traffic profile. The meter also sends this result to other components. The meter can use several tools such as a token bucket to check the profile.

Marker A marker can remark a packet that is using best-effort delivery (OSCP: 000000) or down-mark a packet based on information received from the meter. Down-marking (lowering the class of the flow) occurs if the flow does not match the profile. A marker does not up-mark (promote the class) a packet.

Shaper A shaper uses the information received from the meter to reshape the traffic if it is not compliant with the negotiated profile.

Dropper A dropper, which works as a shaper with no buffer, discards packets if the flow severely violates the negotiated profile.

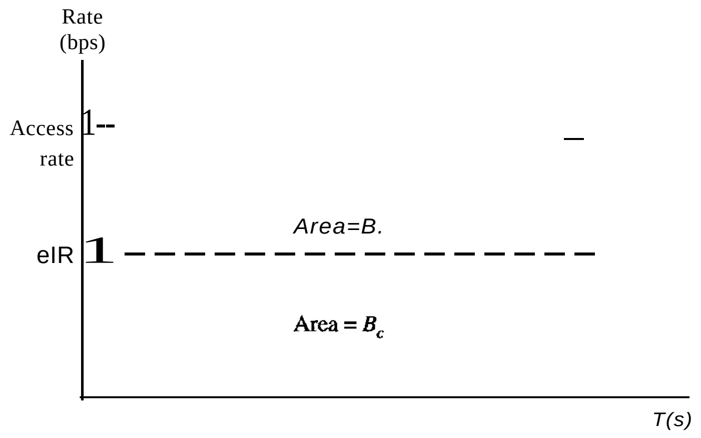
24.9 QoS IN SWITCHED NETWORKS

We discussed the proposed models for QoS in the IP protocols. Let us now discuss QoS as used in two switched networks: Frame Relay and ATM. These two networks are virtual-circuit networks that need a signaling protocol such as RSVP.

QoS in Frame Relay

Four different attributes to control traffic have been devised in Frame Relay: access rate, committed burst size *Be'* committed information rate (CIR), and excess burst size *Be'* These are set during the negotiation between the user and the network. For PVC connections, they are negotiated once; for SVC connections, they are negotiated for each connection during connection setup. Figure 24.28 shows the relationships between these four measurements.

Figure 24.28 *Relationship between traffic control attributes*



Access Rate

For every connection, an access rate (in bits per second) is defined. The access rate actually depends on the bandwidth of the channel connecting the user to the network. The user can never exceed this rate. For example, if the user is connected to a Frame Relay network by a T-l line, the access rate is 1.544 Mbps and can never be exceeded.

Committed Burst Size

For every connection, Frame Relay defines a committed burst size *Be*. This is the maximum number of bits in a predefined time that the network is committed to transfer without discarding any frame or setting the DE bit. For example, if a *Be* of 400 kbits for a period of 4 s is granted, the user can send up to 400 kbits during a 4-s interval without worrying about any frame loss. Note that this is not a rate defined for each second. It is a cumulative measurement. The user can send 300 kbits during the first second, no data during the second and the third seconds, and finally 100 kbits during the fourth second.

Committed Information Rate

The committed information rate (CIR) is similar in concept to committed burst size except that it defines an average rate in bits per second. If the user follows this rate continuously, the network is committed to deliver the frames. However, because it is an average measurement, a user may send data at a higher rate than the CIR at times or at a lower rate other times. As long as the average for the predefined period is met, the frames will be delivered.

The cumulative number of bits sent during the predefined period cannot exceed B_c. Note that the CIR is not an independent measurement; it can be calculated by using the following formula:

$$\text{CIR} = \frac{B_c}{T} \text{ bps}$$

For example, if the *Be* is 5 kbits in a period of 5 s, the CIR is *5000/5,* or 1 kbps.

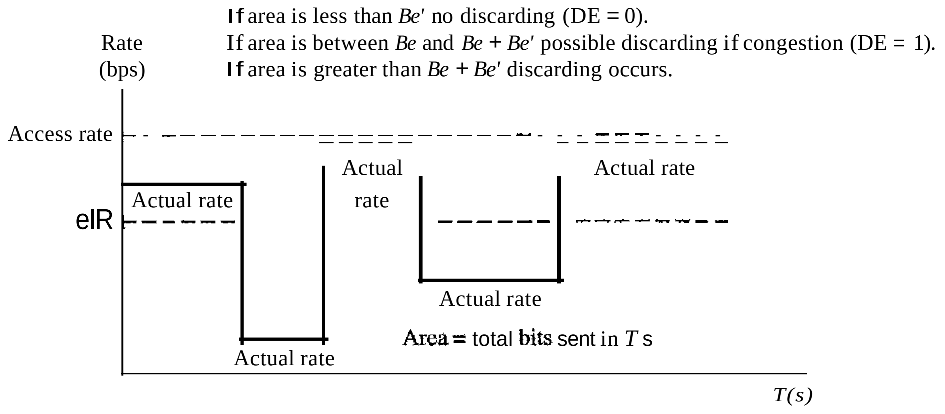
Excess Burst Size

For every connection, Frame Relay defines an excess burst size *Be"* This is the maximum number of bits in excess of *Be* that a user can send during a predefined time. The network is committed to transfer these bits if there is no congestion. Note that there is less commitment here than in the case of B_c. The network is committing itself conditionally.

User Rate

Figure 24.29 shows how a user can send bursty data. If the user never exceeds B_c, the network is committed to transmit the frames without discarding any. If the user exceeds *Be* by less than *Be* (that is, the total number of bits is less than *Be* + *Be)'* the network is committed to transfer all the frames if there is no congestion. If there is congestion, some frames will be discarded. The first switch that receives the frames from the user has a counter and sets the DE bit for the frames that exceed B_c. The rest of the switches will discard these frames if there is congestion. Note that a user who needs to send data faster may exceed the *Be* level. As long as the level is not above *Be* + *Be'* there is a chance that the frames will reach the destination without being discarded. Remember, however, that the moment the user exceeds the *Be* + *Be* level, all the frames sent after that are discarded by the first switch.

Figure 24.29 *User rate in relation to Be and Be + Be*


If area is less than Be' no discarding (DE = 0).
If area is between Be and Be + Be' possible discarding if congestion (DE = 1).
If area is greater than Be + Be' discarding occurs.
Rate (bps)
Access rate
eIR
Actual rate
Actual rate
Actual rate
Actual rate
Actual rate
Area = total bits sent in T s
T(s)

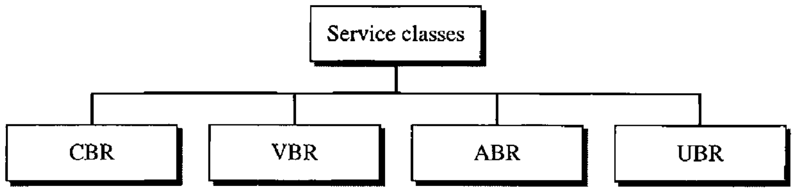
QoSinATM

The QoS in ATM is based on the class, user-related attributes, and network-related attributes.

Classes

The ATM Forum defines four service classes: CBR, VBR, ABR, and UBR (see Figure 24.30).

Figure 24.30 *Service classes*



CBR The constant-bit-rate (CBR) class is designed for customers who need real-time audio or video services. The service is similar to that provided by a dedicated line such as a T line.

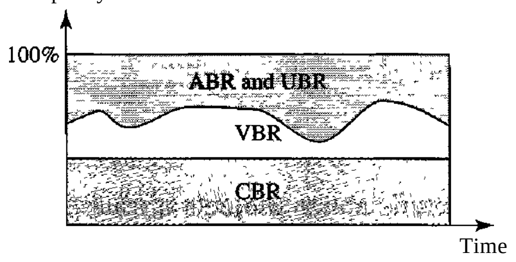
VBR The variable-bit-rate (VBR) class is divided into two subclasses: real-time (VBR-RT) and non-real-time (VBR-NRT). VBR-RT is designed for those users who need real-time services (such as voice and video transmission) and use compression techniques to create a variable bit rate. VBR-NRT is designed for those users who do not need real-time services but use compression techniques to create a variable bit rate.

ABR The available-bit-rate (ABR) class delivers cells at a minimum rate. If more network capacity is available, this minimum rate can be exceeded. ABR is particularly suitable for applications that are bursty.

UBR The unspecified-bit-rate (UBR) class is a best-effort delivery service that does not guarantee anything.

Figure 24.31 shows the relationship of different classes to the total capacity of the network.

Figure 24.31 *Relationship ofservice classes to the total capacity ofthe network*



User-Related Attributes

ATM defines two sets of attributes. User-related attributes are those attributes that define how fast the user wants to send data. These are negotiated at the time of contract between a user and a network. The following are some user-related attributes:

SCR The *sustained cell rate* (SCR) is the average cell rate over a long time interval. The actual cell rate may be lower or higher than this value, but the average should be equal to or less than the SCR.

PCR The *peak cell rate* (PCR) defines the sender's maximum cell rate. The user's cell rate can sometimes reach this peak, as long as the SCR is maintained.

MCR The *minimum cell rate* (MCR) defines the minimum cell rate acceptable to the sender. For example, if the MCR is 50,000, the network must guarantee that the sender can send at least 50,000 cells per second.

CVDT The *cell variation delay tolerance* (CVDT) is a measure of the variation in cell transmission times. For example, if the CVDT is 5 ns, this means that the difference between the minimum and the maximum delays in delivering the cells should not exceed 5 ns.

Network-Related Attributes

The network-related attributes are those that define characteristics of the network. The following are some network-related attributes:

CLR The *cell loss ratio* (CLR) defines the fraction of cells lost (or delivered so late that they are considered lost) during transmission. For example, if the sender sends 100 cells and one of them is lost, the CLR is

$$\text{CLR} = \frac{1}{100} = 10^{-2}$$

CTD The *cell transfer delay* (CTD) is the average time needed for a cell to travel from source to destination. The maximum CTD and the minimum CTD are also considered attributes.

CDV The *cell delay variation* (CDV) is the difference between the CTD maximum and the CTD minimum.

CER The *cell error ratio* (CER) defines the fraction of the cells delivered in error.

24.10 RECOMMENDED READING

For more details about subjects discussed in this chapter, we recommend the following books and sites. The items in brackets [...] refer to the reference list at the end of the text.

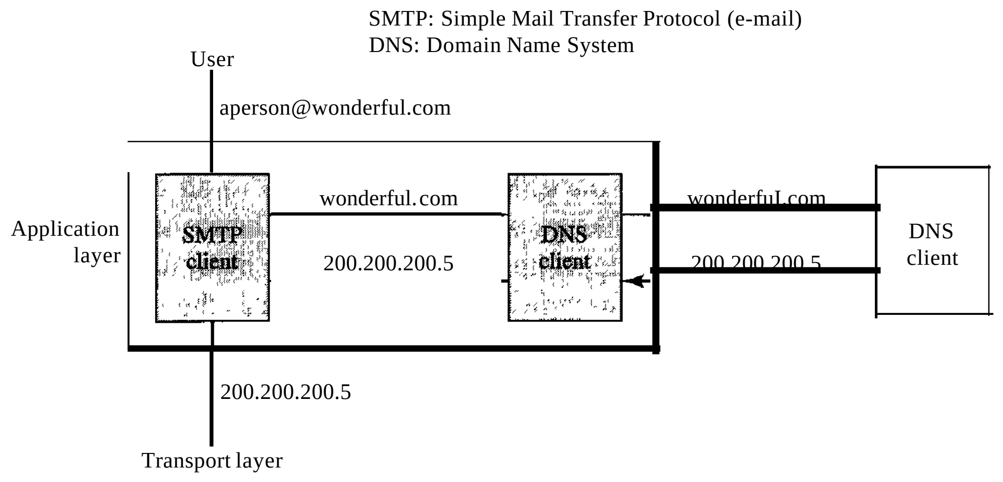
CHAPTER 25

Domain Name System

There are several applications in the application layer of the Internet model that follow the client/server paradigm. The client/server programs can be divided into two categories: those that can be directly used by the user, such as e-mail, and those that support other application programs. The Domain Name System (DNS) is a supporting program that is used by other programs such as e-mail.

Figure 25.1 shows an example of how a DNS client/server program can support an e-mail program to find the IP address of an e-mail recipient. A user of an e-mail program may know the e-mail address of the recipient; however, the IP protocol needs the IP address. The DNS client program sends a request to a DNS server to map the e-mail address to the corresponding IP address.

Figure 25.1 *Example ofusing the DNS service*



To identify an entity, TCPIIP protocols use the IP address, which uniquely identifies the connection of a host to the Internet. However, people prefer to use names instead of numeric addresses. Therefore, we need a system that can map a name to an address or an address to a name.

When the Internet was small, mapping was done by using a host file. The host file had only two columns: name and address. Every host could store the host file on its disk and update it periodically from a master host file. When a program or a user wanted to map a name to an address, the host consulted the host file and found the mapping.

Today, however, it is impossible to have one single host file to relate every address with a name and vice versa. The host file would be too large to store in every host. In addition, it would be impossible to update all the host files every time there was a change.

One solution would be to store the entire host file in a single computer and allow access to this centralized information to every computer that needs mapping. But we know that this would create a huge amount of traffic on the Internet.

Another solution, the one used today, is to divide this huge amount of information into smaller parts and store each part on a different computer. In this method, the host that needs mapping can contact the closest computer holding the needed information. This method is used by the Domain Name System (DNS). In this chapter, we first discuss the concepts and ideas behind the DNS. We then describe the DNS protocol itself.

25.1 NAME SPACE

To be unambiguous, the names assigned to machines must be carefully selected from a name space with complete control over the binding between the names and IP addresses. In other words, the names must be unique because the addresses are unique. A name space that maps each address to a unique name can be organized in two ways: fiat or hierarchical.

Flat Narne Space

In a flat name space, a name is assigned to an address. A name in this space is a sequence of characters without structure. The names mayor may not have a common section; if they do, it has no meaning. The main disadvantage of a fiat name space is that it cannot be used in a large system such as the Internet because it must be centrally controlled to avoid ambiguity and duplication.

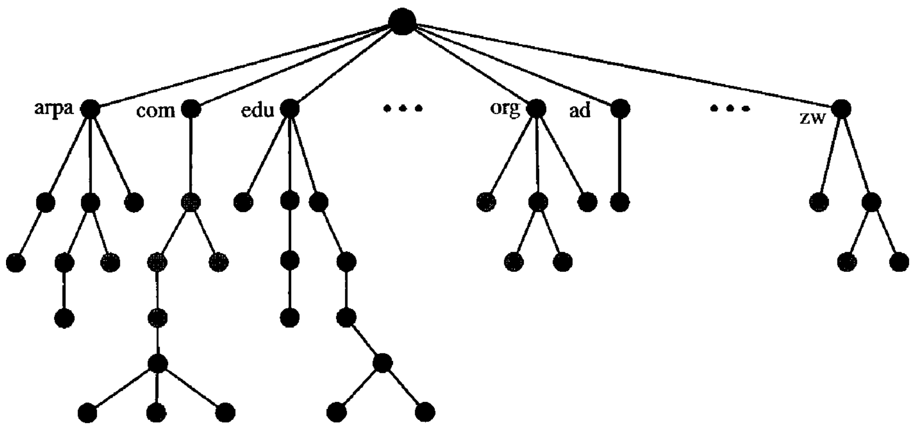
Hierarchical Narne Space

In a hierarchical name space, each name is made of several parts. The first part can define the nature of the organization, the second part can define the name of an organization, the third part can define departments in the organization, and so on. In this case, the authority to assign and control the name spaces can be decentralized. A central authority can assign the part of the name that defines the nature of the organization and the name of the organization. The responsibility of the rest of the name can be given to the organization itself. The organization can add suffixes (or prefixes) to the name to define its host or resources. The management of the organization need not worry that the prefix chosen for a host is taken by another organization because, even if part of an address is the same, the whole address is different. For example, assume two colleges and a company call one of their computers *challenger.* The first college is given a name by the central authority such as *jhda.edu,* the second college is given the name *berkeley.edu,* and the company is given the name *smart.com.* When these organizations add the name *challenger* to the name they have already been given, the end result is three distinguishable names: *challenger.jhda.edu, challenger.berkeley.edu,* and *challenger.smart.com.* The names are unique without the need for assignment by a central authority. The central authority controls only part of the name, not the whole.

25.2 DOMAIN NAME SPACE

To have a hierarchical name space, a domain name space was designed. In this design the names are defined in an inverted-tree structure with the root at the top. The tree can have only 128 levels: level 0 (root) to level 127 (see Figure 25.2).

Figure 25.2 *Domain name space*



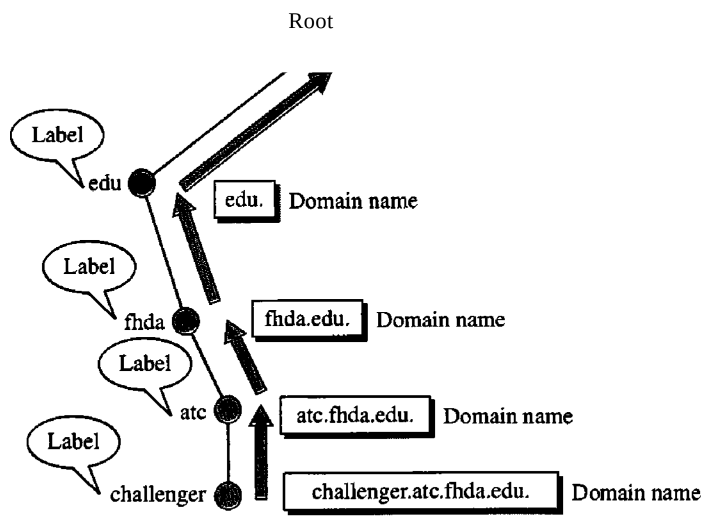
Label

Each node in the tree has a label, which is a string with a maximum of 63 characters. The root label is a null string (empty string). DNS requires that children of a node (nodes that branch from the same node) have different labels, which guarantees the uniqueness of the domain names.

Domain Name

Each node in the tree has a domain name. A full domain name is a sequence of labels separated by dots (.). The domain names are always read from the node up to the root. The last label is the label of the root (null). This means that a full domain name always ends in a null label, which means the last character is a dot because the null string is nothing. Figure 25.3 shows some domain names.

Figure 25.3 *Domain names and labels*



Fully Qualified Domain Name

If a label is terminated by a null string, it is called a fully qualified domain name (FQDN). An FQDN is a domain name that contains the full name of a host. It contains all labels, from the most specific to the most general, that uniquely define the name of the host. For example, the domain name

challenger.ate.tbda.edu.

is the FQDN of a computer named *challenger* installed at the Advanced Technology Center (ATC) at De Anza College. A DNS server can only match an FQDN to an address. Note that the name must end with a null label, but because null means nothing, the label ends with a dot (.).

Partially Qualified Domain Name

If a label is not terminated by a null string, it is called a partially qualified domain name (PQDN). A PQDN starts from a node, but it does not reach the root. It is used when the name to be resolved belongs to the same site as the client. Here the resolver can supply the missing part, called the suffix, to create an FQDN. For example, if a user at the *jhda.edu.* site wants to get the IP address of the challenger computer, he or she can define the partial name

challenger

The DNS client adds the suffix *atc.jhda.edu.* before passing the address to the DNS server.

The DNS client normally holds a list of suffixes. The following can be the list of suffixes at De Anza College. The null suffix defines nothing. This suffix is added when the user defines an FQDN.

atc.fhda.edu

fhda.edu

null

Figure 25.4 shows some FQDNs and PQDNs.

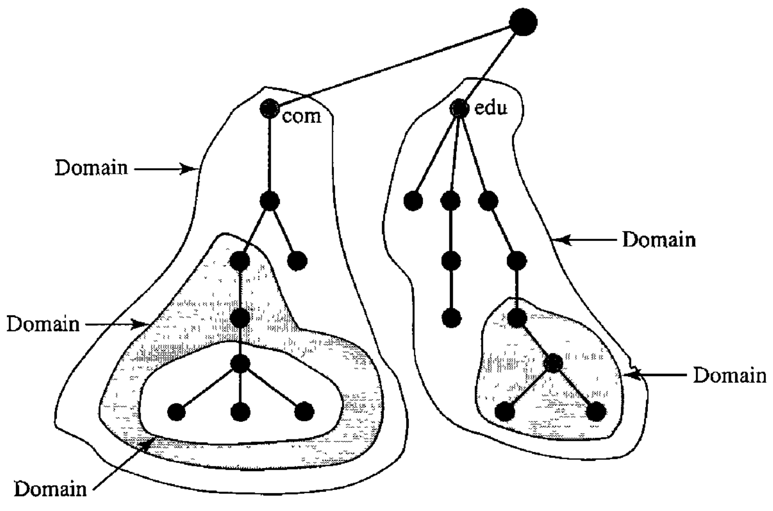
Figure 25.4 *FQDN and PQDN*

FQDN	PQDN
challenger.atc.fhda.edu.	challenger.atc.fhda.edu
cs.hnune.com.	cs.hmme
www.funny.int.	www

Domain

A **domain** is a subtree of the domain name space. The name of the domain is the domain name of the node at the top of the subtree. Figure 25.5 shows some domains. Note that a domain may itself be divided into domains (or **subdomains** as they are sometimes called).

Figure 25.5 *Domains*



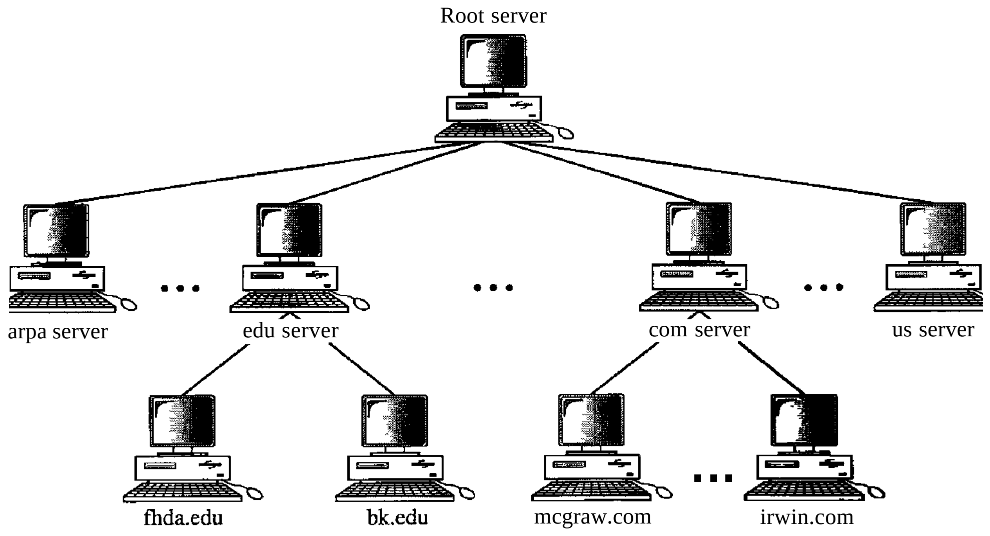
25.3 DISTRIBUTION OF NAME SPACE

The information contained in the domain name space must be stored. However, it is very inefficient and also unreliable to have just one computer store such a huge amount of information. It is inefficient because responding to requests from all over the world places a heavy load on the system. It is not unreliable because any failure makes the data inaccessible.

Hierarchy of Name Servers

The solution to these problems is to distribute the information among many computers called DNS servers. One way to do this is to divide the whole space into many domains based on the first level. In other words, we let the root stand alone and create as many domains (subtrees) as there are first-level nodes. Because a domain created in this way could be very large, DNS allows domains to be divided further into smaller domains (subdomains). Each server can be responsible (authoritative) for either a large or a small domain. In other words, we have a hierarchy of servers in the same way that we have a hierarchy of names (see Figure 25.6).

Figure 25.6 *Hierarchy of name servers*

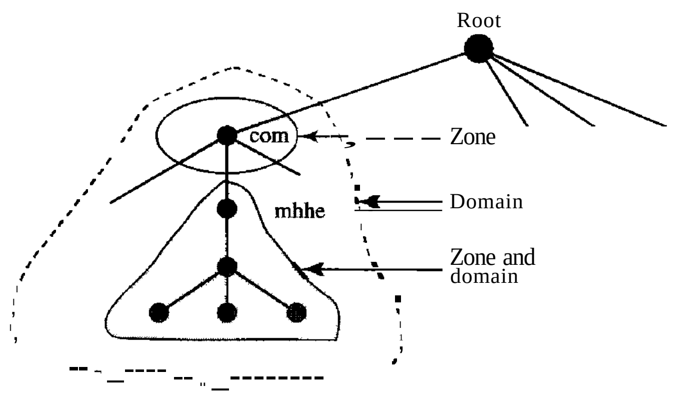


Zone

Since the complete domain name hierarchy cannot be stored on a single server, it is divided among many servers. What a server is responsible for or has authority over is called a zone. We can define a zone as a contiguous part of the entire tree. If a server accepts responsibility for a domain and does not divide the domain into smaller domains, the *domain* and the *zone* refer to the same thing. The server makes a database called a *zone file* and keeps all the information for every node under that domain. However, if a server divides its domain into subdomains and delegates part of its authority to other servers, *domain* and *zone* refer to different things. The information about the nodes in the subdomains is stored in the servers at the lower levels, with the original server keeping some sort of reference to these lower-level servers. Of course the original server does not free itself from responsibility totally: It still has a zone, but the detailed information is kept by the lower-level servers (see Figure 25.7).

A server can also divide part of its domain and delegate responsibility but still keep part of the domain for itself. In this case, its zone is made of detailed information for the part of the domain that is not delegated and references to those parts that are delegated.

Figure 25.7 *Zones and domains*



Root Server

A root server is a server whose zone consists of the whole tree. A root server usually does not store any information about domains but delegates its authority to other servers, keeping references to those servers. There are several root servers, each covering the whole domain name space. The servers are distributed all around the world.

Primary and Secondary Servers

DNS defines two types of servers: primary and secondary. A primary server is a server that stores a file about the zone for which it is an authority. It is responsible for creating, maintaining, and updating the zone file. It stores the zone file on a local disk.

A secondary server is a server that transfers the complete information about a zone from another server (primary or secondary) and stores the file on its local disk. The secondary server neither creates nor updates the zone files. If updaJing is required, it must be done by the primary server, which sends the updated version to the secondary.

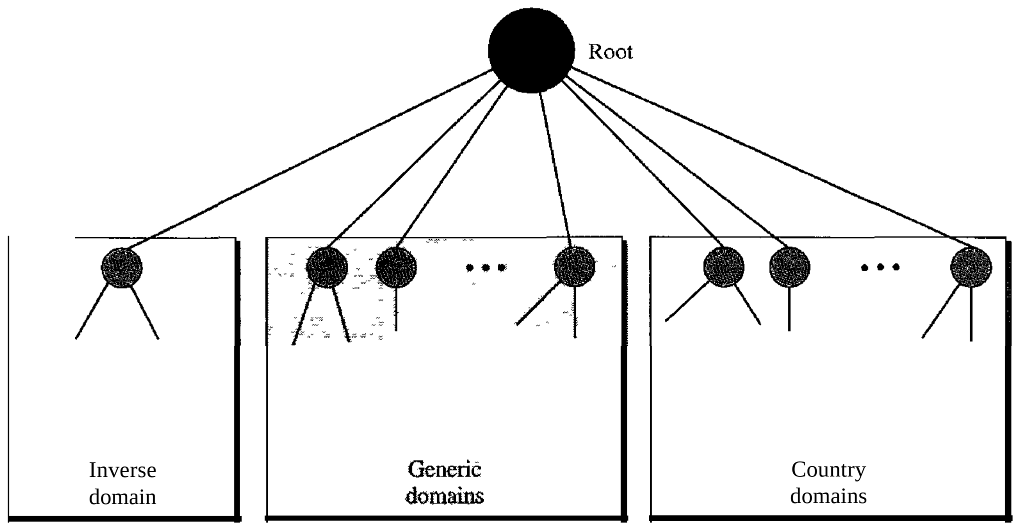
The primary and secondary servers are both authoritative for the zones they serve. The idea is not to put the secondary server at a lower level of authority but to create redundancy for the data so that if one server fails, the other can continue serving clients. Note also that a server can be a primary server for a specific zone and a secondary server for another zone. Therefore, when we refer to a server as a primary or secondary server, we should be careful to which zone we refer.

A primary server loads all information from the disk file; the secondary server loads all information from the primary server. When the secondary downloads information from the primary, it is called zone transfer.

25.4 DNS IN THE INTERNET

DNS is a protocol that can be used in different platforms. In the Internet, the domain name space (tree) is divided into three different sections: generic domains, country domains, and the inverse domain (see Figure 25.8).

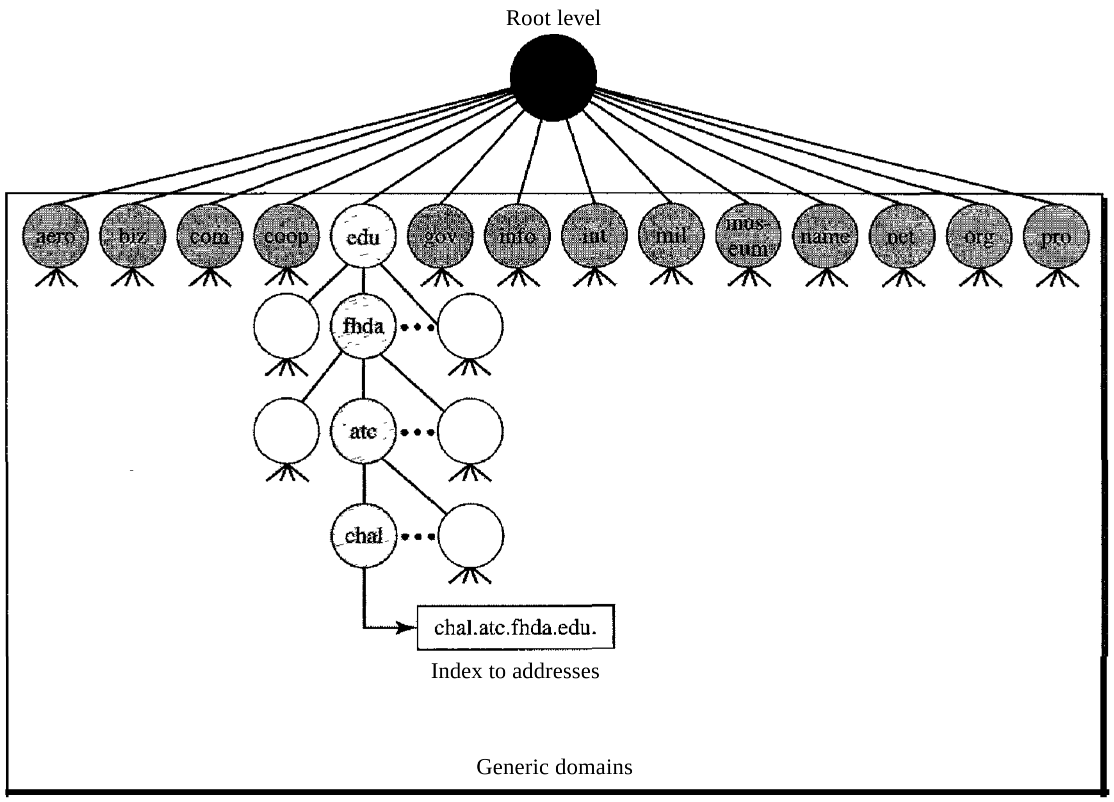
Figure 25.8 *DNS used in the Internet*



Generic Domains

The **generic domains** define registered hosts according to their generic behavior. Each node in the tree defines a domain, which is an index to the domain name space database (see Figure 25.9).

Figure 25.9 *Generic domains*



Looking at the tree, we see that the first level in the generic domains section allows 14 possible labels. These labels describe the organization types as listed in Table 25.1.

Table 25.1 *Generic domain labels*

Label	*Description*
aero	Airlines and aerospace companies
biz	Businesses or firms (similar to "com")
com	Commercial organizations
coop	Cooperative business organizations
edu	Educational institutions
gov	Government institutions
info	Information service providers
int	International organizations
mil	Military groups
museum	Museums and other nonprofit organizations
name	Personal names (individuals)
net	Network support centers
org	Nonprofit organizations
pro	Professional individual organizations

Country Domains

The country domains section uses two-character country abbreviations (e.g., us for United States). Second labels can be organizational, or they can be more specific, national designations. The United States, for example, uses state abbreviations as a subdivision of us (e.g., ca.us.).

Figure 25.10 shows the country domains section. The address *anza.cup.ca.us* can be translated to De Anza College in Cupertino, California, in the United States.

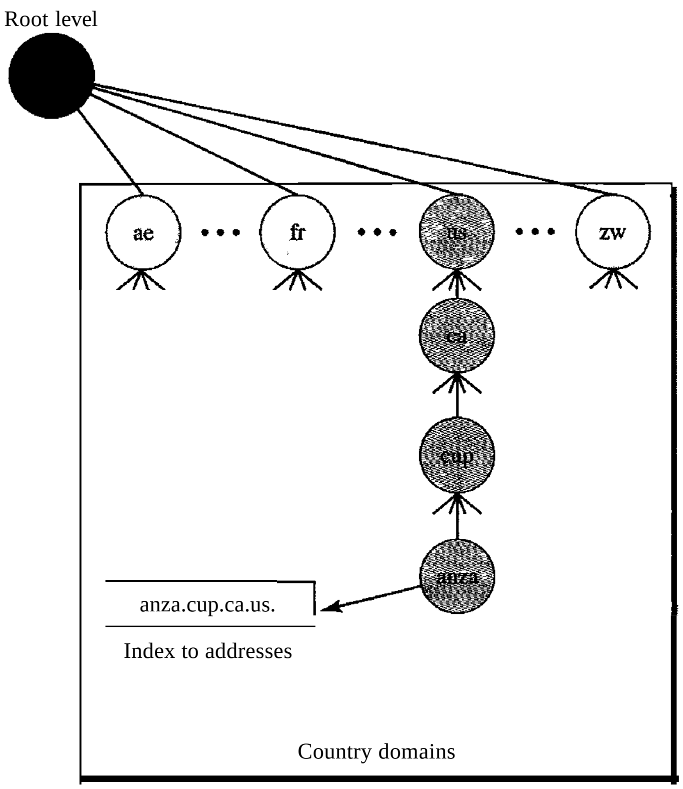
Inverse Domain

The inverse domain is used to map an address to a name. This may happen, for example, when a server has received a request from a client to do a task. Although the server has a file that contains a list of authorized clients, only the IP address of the client (extracted from the received IP packet) is listed. The server asks its resolver to send a query to the DNS server to map an address to a name to determine if the client is on the authorized list.

This type of query is called an inverse or pointer (PTR) query. To handle a pointer query, the inverse domain is added to the domain name space with the first-level node called *arpa* (for historical reasons). The second level is also one single node named *in-addr* (for inverse address). The rest of the domain defines IP addresses.

The servers that handle the inverse domain are also hierarchical. This means the netid part of the address should be at a higher level than the subnetid part, and the subnetid part

Figure 25.10 *Country domains*



higher than the hostid part. In this way, a server serving the whole site is at a higher level than the servers serving each subnet. This configuration makes the domain look inverted when compared to a generic or country domain. To follow the convention of reading the domain labels from the bottom to the top, an IF address such as 132.34.45.121 (a class B address with netid 132.34) is read as 121.45.34.132.in-addr. arpa. See Figure 25.11 for an illustration of the inverse domain configuration.

25.5 RESOLUTION

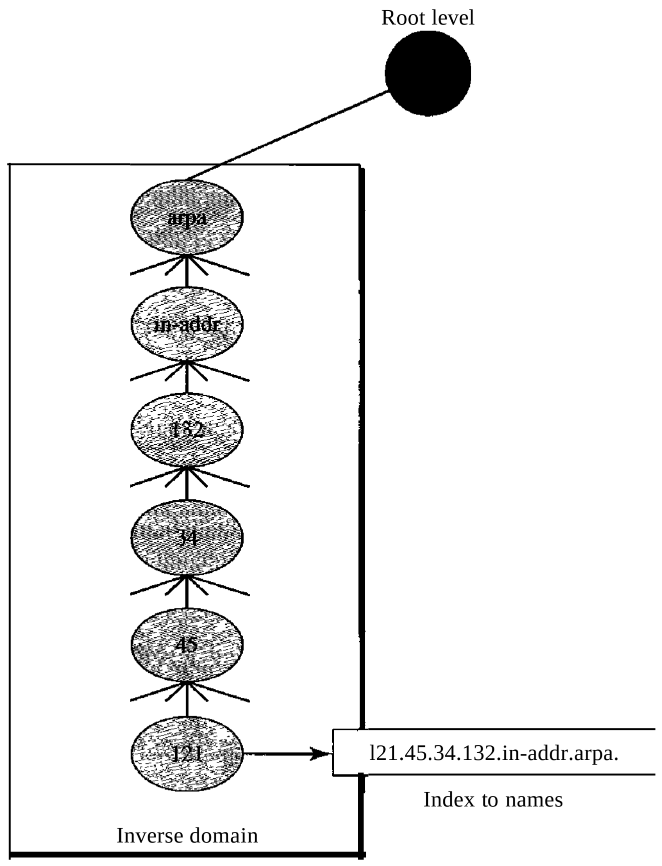
Mapping a name to an address or an address to a name is called *name-address resolution.*

Resolver

DNS is designed as a client/server application. A host that needs to map an address to a name or a name to an address calls a DNS client called a resolver. The resolver accesses the closest DNS server with a mapping request. If the server has the information, it satisfies the resolver; otherwise, it either refers the resolver to other servers or asks other servers to provide the infonnation.

After the resolver receives the mapping, it interprets the response to see if it is a real resolution or an error, and finally delivers the result to the process that requested it.

Figure 25.11 *Inverse domain*



Mapping Names to Addresses

Most of the time, the resolver gives a domain name to the server and asks for the corresponding address. In this case, the server checks the generic domains or the country domains to find the mapping.

If the domain name is from the generic domains section, the resolver receives a domain name such as *"chal.atc.jhda.edu."*. The query is sent by the resolver to the local DNS server for resolution. If the local server cannot resolve the query, it either refers the resolver to other servers or asks other servers directly.

If the domain name is from the country domains section, the resolver receives a domain name such as *"ch.jhda.cu.ca.us."*. The procedure is the same.

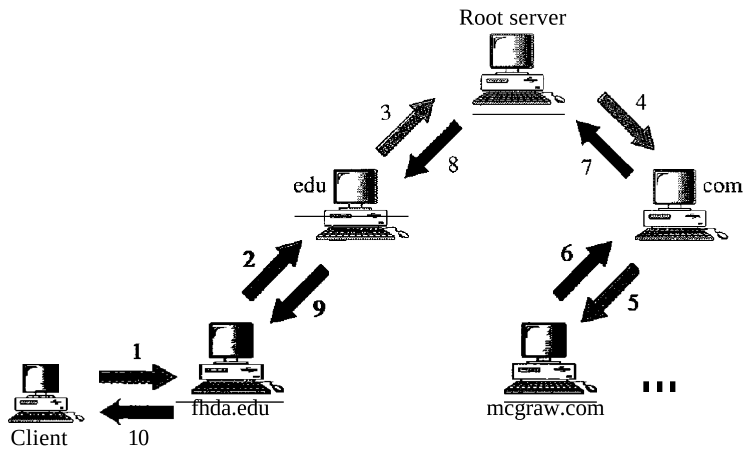
Mapping Addresses to Names

A client can send an IP address to a server to be mapped to a domain name. As mentioned before, this is called a PTR query. To answer queries of this kind, DNS uses the inverse domain. However, in the request, the IP address is reversed and the two labels *in-addr* and *arpa* are appended to create a domain acceptable by the inverse domain section. For example, if the resolver receives the IF address 132.34.45.121, the resolver first inverts the address and then adds the two labels before sending. The domain name sent is *"121.45.34.132.in-addr.arpa."* which is received by the local DNS and resolved.

Recursive Resolution

The client (resolver) can ask for a recursive answer from a name server. This means that the resolver expects the server to supply the final answer. If the server is the authority for the domain name, it checks its database and responds. If the server is not the authority, it sends the request to another server (the parent usually) and waits for the response. If the parent is the authority, it responds; otherwise, it sends the query to yet another server. When the query is finally resolved, the response travels back until it finally reaches the requesting client. This is called recursive resolution and is shown in Figure 25.12.

Figure 25.12 *Recursive resolution*



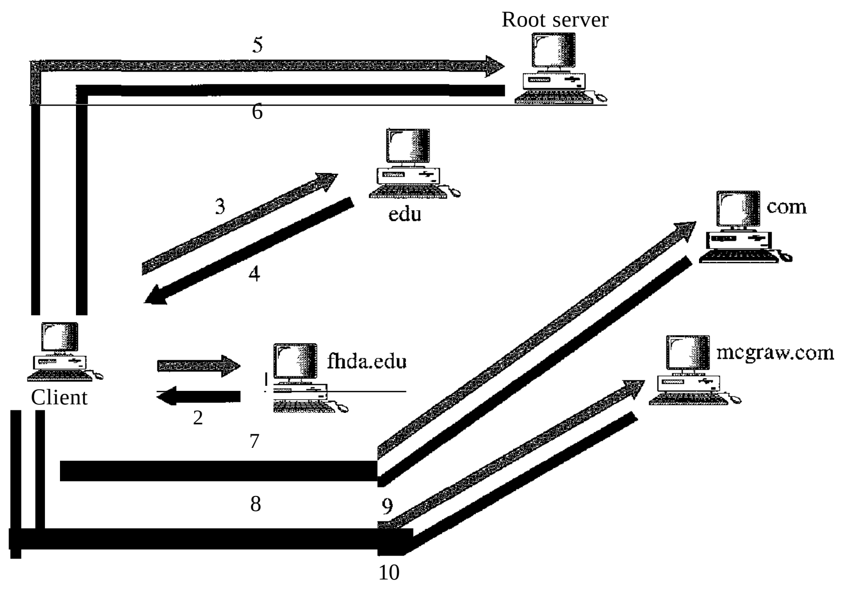
Iterative Resolution

If the client does not ask for a recursive answer, the mapping can be done iteratively. If the server is an authority for the name, it sends the answer. If it is not, it returns (to the client) the IP address of the server that it thinks can resolve the query. The client is responsible for repeating the query to this second server. If the newly addressed server can resolve the problem, it answers the query with the IP address; otherwise, it returns the IP address of a new server to the client. Now the client must repeat the query to the third server. This process is called iterative resolution because the client repeats the same query to multiple servers. In Figure 25.13 the client queries four servers before it gets an answer from the mcgraw.com server.

Caching

Each time a server receives a query for a name that is not in its domain, it needs to search its database for a server IP address. Reduction of this search time would increase efficiency. DNS handles this with a mechanism called caching. When a server asks for a mapping from another server and receives the response, it stores this information in its cache memory before sending it to the client. If the same or another client asks for the same mapping, it can check its cache memory and solve the problem. However, to

Figure 25.13 *Iterative resolution*



inform the client that the response is coming from the cache memory and not from an authoritative source, the server marks the response as *unauthoritative.*

Caching speeds up resolution, but it can also be problematic. If a server caches a mapping for a long time, it may send an outdated mapping to the client. To counter this, two techniques are used. First, the authoritative server always adds information to the mapping called *time-to-live* (TTL). It defines the time in seconds that the receiving server can cache the information. After that time, the mapping is invalid and any query must be sent again to the authoritative server. Second, DNS requires that each server keep a TTL counter for each mapping it caches. The cache memory must be searched periodically, and those mappings with an expired TTL must be purged.

25.6 DNS MESSAGES

DNS has two types of messages: query and response. Both types have the same format. The query message consists of a header and question records; the response message consists of a header, question records, answer records, authoritative records, and additional records (see Figure 25.14).

Header

Both query and response messages have the same header format with some fields set to zero for the query messages. The header is 12 bytes, and its format is shown in Figure 25.15.

The *identification* subfield is used by the client to match the response with the query. The client uses a different identification number each time it sends a query. The server duplicates this number in the corresponding response. The *flags* subfield is a collection of

Figure 25.14 *Query and response messages*

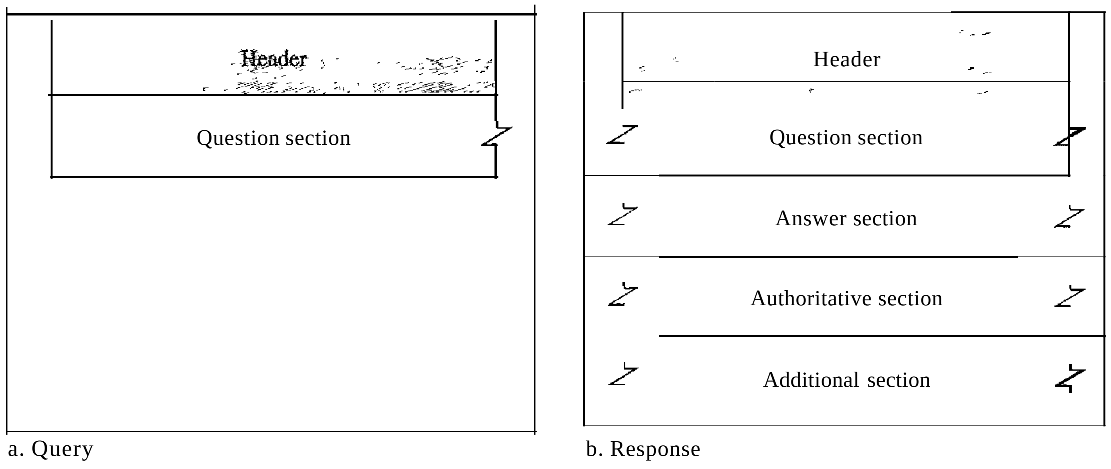
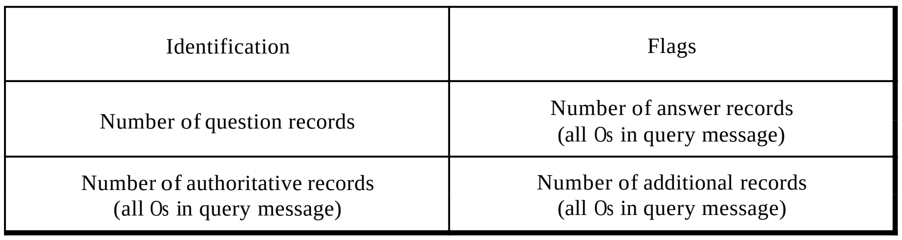


Figure 25.15 *Header format*



Identification	Flags
Number of question records	Number of answer records (all 0s in query message)
Number of authoritative records (all 0s in query message)	Number of additional records (all 0s in query message)

subfields that define the type of the message, the type of answer requested, the type of desired resolution (recursive or iterative), and so on. The *number ofquestion records* subfield contains the number of queries in the question section of the message. The *number ofanswer records* subfield contains the number of answer records in the answer section of the response message. Its value is zero in the query message. The *number ofauthoritative records* subfield contains the number of authoritative records in the authoritative section of a response message. Its value is zero in the query message. Finally, the *number of additional records* subfield contains the number additional records in the additional section of a response message. Its value is zero in the query message.

Question Section

This is a section consisting of one or more question records. It is present on both query and response messages. We will discuss the question records in a following section.

Answer Section

This is a section consisting of one or more resource records. It is present only on response messages. This section includes the answer from the server to the client (resolver). We will discuss resource records in a following section.

Authoritative Section

This is a section consisting of one or more resource records. It is present only on response messages. This section gives infonnation (domain name) about one or more authoritative servers for the query.

Additional Information Section

This is a section consisting of one or more resource records. It is present only on response messages. This section provides additional infonnation that may help the resolver. For example, a server may give the domain name of an authoritative server to the resolver in the authoritative section, and include the IP address of the same authoritative server in the additional information section.

25.7 TYPES OF RECORDS

As we saw in Section 25.6, two types of records are used in DNS. The question records are used in the question section of the query and response messages. The resource records are used in the answer, authoritative, and additional information sections of the response message.

Question Record

A question record is used by the client to get information from a server. This contains the domain name.

-Resource Record

Each domain name (each node on the tree) is associated with a record called the resource record. The server database consists of resource records. Resource records are also what is returned by the server to the client.

25.8 REGISTRARS

How are new domains added to DNS? This is done through a registrar, a commercial entity accredited by ICANN. A registrar first verifies that the requested domain name is unique and then enters it into the DNS database. A fee is charged.

Today, there are many registrars; their names and addresses can be found at

http://www.intenic.net

To register, the organization needs to give the name of its server and the IP address of the server. For example, a new commercial organization named *wonderful* with a server named *ws* and IP address 200.200.200.5 needs to give the following information to one of the registrars:

Domain name: ws.wonderful.com
IP address: 200.200.200.5

25.9 DYNAMIC DOMAIN NAME SYSTEM (DDNS)

When the DNS was designed, no one predicted that there would be so many address changes. In DNS, when there is a change, such as adding a new host, removing a host, or changing an IP address, the change must be made to the DNS master file. These types of changes involve a lot of manual updating. The size of today's Internet does not allow for this kind of manual operation.

The DNS master file must be updated dynamically. The Dynamic Domain Name System (DDNS) therefore was devised to respond to this need. In DDNS, when a binding between a name and an address is determined, the information is sent, usually by DHCP (see Chapter 21) to a primary DNS server. The primary server updates the zone. The secondary servers are notified either actively or passively. In active notification, the primary server sends a message to the secondary servers about the change in the zone, whereas in passive notification, the secondary servers periodically check for any changes. In either case, after being notified about the change, the secondary requests information about the entire zone (zone transfer).

To provide security and prevent unauthorized changes in the DNS records, DDNS can use an authentication mechanism.

25.10 ENCAPSULATION

DNS can use either UDP or TCP. In both cases the well-known port used by the server is port 53. UDP is used when the size of the response message is less than 512 bytes because most UDP packages have a 512-byte packet size limit. If the size of the response message is more than 512 bytes, a TCP connection is used. In that case, one of two scenarios can occur:

- If the resolver has prior knowledge that the size of the response message is more than 512 bytes, it uses the TCP connection. For example, if a secondary name server (acting as a client) needs a zone transfer from a primary server, it uses the TCP connection because the size of the information being transferred usually exceeds 512 bytes.
- If the resolver does not know the size of the response message, it can use the UDP port. However, if the size of the response message is more than 512 bytes, the server truncates the message and turns on the TC bit. The resolver now opens a TCP connection and repeats the request to get a full response from the server.

DNS can use the services of UDP or TCP using the well-known port 53.

25.11 RECOMMENDED READING

For more details about subjects discussed in this chapter, we recommend the following books and sites. The items in brackets [...] refer to the reference list at the end of the text.

Books

DNS is discussed in [AL98], Chapter 17 of [For06], Section 9.1 of [PD03], and Section 7.1 of [Tan03].

Sites

The following sites are related to topics discussed in this chapter.

- www.intenic.net/Information about registrars
- www.ietf.org/rfc.html Information about RFCs

RFCs

The following RFCs are related to DNS:

799, 811, 819, 830, 881, 882, 883, 897, 920, 921, 1034,1035,1386,1480,1535,1536,1537, 1591, 1637, 1664, 1706, 1712, 1713, 1982, 2065, 2137, 2317, 2535, 2671

25.12 KEY TERMS

caching	name space
country domain	partially qualified domain name (PQDN)
DNS server	primary server
domain	query message
domain name	question record
domain name space	recursive resolution
Domain Name System (DNS)	registrar
Dynamic Domain Name System (DDNS)	resolver
flat name space	resource record
fully qualified domain name (FQDN)	response message
generic domain	root server
hierarchical name space	secondary server
host file	subdomain
inverse domain	suffix
iterative resolution	zone
label	

25.13 SUMMARY

- The Domain Name System (DNS) is a client/server application that identifies each host on the Internet with a unique user-friendly name.
- DNS organizes the name space in a hierarchical structure to decentralize the responsibilities involved in naming.

CHAPTER 26

Remote Logging, Electronic Mail, and File Transfer

The main task of the Internet is to provide services for users. Among the most popular applications are remote logging, electronic mail, and file transfer. We discuss these three applications in this chapter; we discuss another popular use of the Internet, accessing the World Wide Web, in Chapter 27.

26.1 REMOTE LOGGING

In the Internet, users may want to run application programs at a remote site and create results that can be transferred to their local site. For example, students may want to connect to their university computer lab from their home to access application programs for doing homework assignments or projects. One way to satisfy that demand and others is to create a client/server application program for each desired service. Programs such as file transfer programs (FTPs), e-mail (SMTP), and so on are currently available. However, it would be impossible to write a specific client/server program for each demand.

The better solution is a general-purpose client/server program that lets a user access any application program on a remote computer; in other words, allow the user to log on to a remote computer. After logging on, a user can use the services available on the remote computer and transfer the results back to the local computer.

TELNET

In this section, we discuss such a client/server application program: TELNET. TELNET is an abbreviation for *TErminaL NETwork.* It is the standard TCP/IP protocol for virtual terminal service as proposed by the International Organization for Standards (ISO). TELNET enables the establishment of a connection to a remote system in such a way that the local terminal appears to be a terminal at the remote system.

TELNET is a general-purpose client/server application program.

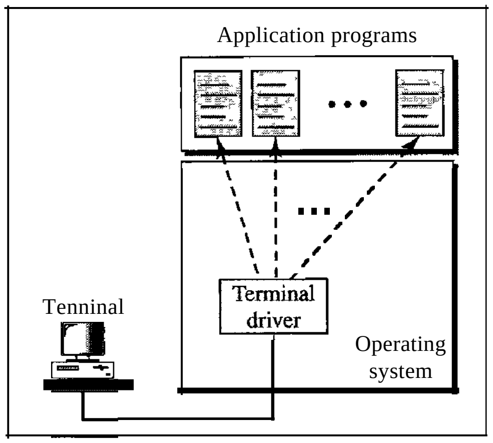
Timesharing Environment

TELNET was designed at a time when most operating systems, such as UNIX, were operating in a timesharing environment. In such an environment, a large computer supports multiple users. The interaction between a user and the computer occurs through a terminal, which is usually a combination of keyboard, monitor, and mouse. Even a microcomputer can simulate a terminal with a terminal emulator.

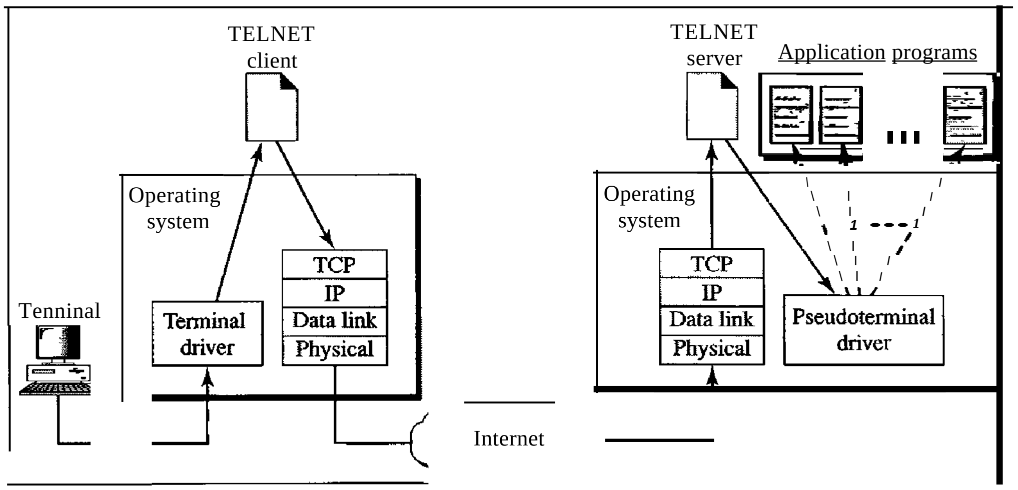
Logging

In a timesharing environment, users are part of the system with some right to access resources. Each authorized user has an identification and probablY,a password. The user identification defines the user as part of the system. To access the system, the user logs into the system with a user id or log-in name. The system also includes password checking to prevent an unauthorized user from accessing the resources. Figure 26.1 shows the logging process.

Figure 26.1 *Local and remote log-in*



a. Local log-in



b. Remote log-in

When a user logs into a local timesharing system, it is called local log-in. As a user types at a terminal or at a workstation running a terminal emulator, the keystrokes are accepted by the terminal driver. The terminal driver passes the characters to the operating system. The operating system, in turn, interprets the combination of characters and invokes the desired application program or utility.

When a user wants to access an application program or utility located on a remote machine, she performs remote log-in. Here the TELNET client and server programs come into use. The user sends the keystrokes to the terminal driver, where the local operating system accepts the characters but does not interpret them. The characters are sent to the TELNET client, which transforms the characters to a universal character set called *network virtual terminal (NVT) characters* and delivers them to the local *TCP/IP* protocol stack.

The commands or text, in NVT form, travel through the Internet and arrive at the TCP/IP stack at the remote machine. Here the characters are delivered to the operating system and passed to the TELNET server, which changes the characters to the corresponding characters understandable by the remote computer. However, the characters cannot be passed directly to the operating system because the remote operating system is not designed to receive characters from a TELNET server: It is designed to receive characters from a terminal driver. The solution is to add a piece of software called a *pseudoterminal driver* which pretends that the characters are coming from a terminal. The operating system then passes the characters to the appropriate application program.

Network Virtual Terminal

The mechanism to access a remote computer is complex. This is so because every computer and its operating system accept a special combination of characters as tokens. For example, the end-of-file token in a computer running the DOS operating system is Ctrl+z, while the UNIX operating system recognizes Ctrl+d.

We are dealing with heterogeneous systems. If we want to access any remote computer in the world, we must first know what type of computer we will be connected to, and we must also install the specific terminal emulator used by that computer. TELNET solves this problem by defining a universal interface called the network virtual terminal (NVT) character set. Via this interface, the client TELNET translates characters (data or commands) that come from the local terminal into NVT form and delivers them to the network. The server TELNET, on the other hand, translates data and commands from NVT form into the form acceptable by the remote computer. For an illustration of this concept, see Figure 26.2.

NVT Character Set NVT uses two sets of characters, one for data and the other for control. Both are 8-bit bytes. For data, NVT is an 8-bit character set in which the 7 lowest-order bits are the same as ASCII and the highest-order bit is 0. To send control characters between computers (from client to server or vice versa), NVT uses an 8-bit character set in which the highest-order bit is set to 1.

Table 26.1 lists some of the control characters and their meanings.

Figure 26.2 *Concept ofNVT*

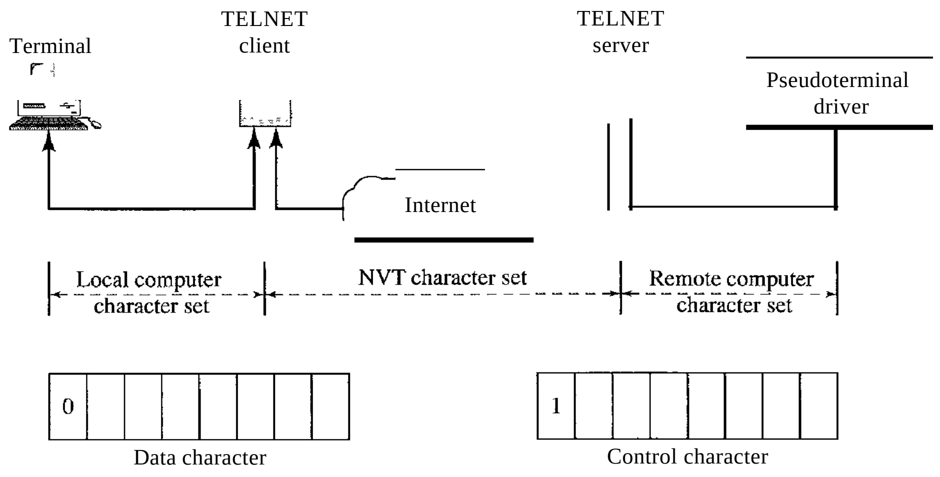


Table 26.1 *Some NVT control characters*

Character	*Decimal*	*Binary*	*Meaning*
EOF	236	11101100	End of file
EOR	239	11101111	End of record
SE	240	11110000	Suboption end
NOP	241	11110001	No operation
DM	242	11110010	Data mark
BRK	243	11110011	Break
IP	244	11110100	Interrupt process
AO	245	11110101	Abort output
AYT	246	11110110	Are you there?
EC	247	11110111	Erase character
EL	248	11111000	Erase line
GA	249	11111001	Go ahead
SB	250	11111010	Suboption begin
WILL	251	11111011	Agreement to enable option
WONT	252	11111100	Refusal to enable option
DO	253	11111101	Approval to option request
DONT	254	11111110	Denial of option request
lAC	255	11111111	Interpret (the next character) as control

Embedding

TELNET uses only one TCP connection. The server uses the well-known port 23, and the client uses an ephemeral port. The same connection is used for sending both data and control characters. TELNET accomplishes this by embedding the control characters in the data stream. However, to distinguish data from control characters, each sequence of control characters is preceded by a special control character called *interpret as control* (lAC). For example, imagine a user wants a server to display a file *(filel)* on a remote server. She can type

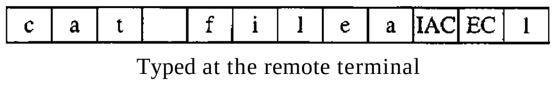
catfilel

However, suppose the name of the file has been mistyped *(filea* instead of *filel)*. The user uses the backspace key to correct this situation.

catjllea<backspace>l

However, in the default implementation of TELNET, the user cannot edit locally; the editing is done at the remote server. The backspace character is translated into two remote characters (lAC EC), which are embedded in the data and sent to the remote server. What is sent to the server is shown in Figure 26.3.

Figure 26.3 *An example ofembedding*



Options

TELNET lets the client and server negotiate options before or during the use of the service. Options are extra features available to a user with a more sophisticated terminal. Users with simpler terminals can use default features. Some control characters discussed previously are used to define options. Table 26.2 shows some common options.

Table 26.2 *Options*

Code	*Option*	*Meaning*
0	Binary	Interpret as 8-bit binary transmission.
1	Echo	Echo the data received on one side to the other.
3	Suppress go ahead	Suppress go-ahead signals after data.
5	Status	Request the status of TELNET.
6	Timing mark	Define the timing marks.
24	Terminal type	Set the terminal type.
32	Terrninalspeed	Set the terminal speed.
34	Line mode	Change to line mode.

Option Negotiation To use any of the options mentioned in the previous section first requires option negotiation between the client and the server. Four control characters are used for this purpose; these are shown in Table 26.3.

Table 26.3 *NVT character set for option negotiation*

Character	*Decimal*	*Binary*	*Meaning*
WILL	251	11111011	1. Offering to enable 2. Accepting a request to enable
WONT	252	11111100	1. Rejecting a request to enable 2. Offering to disable 3. Accepting a request to disable
DO	253	11111101	1. Approving an offer to enable 2. Requesting to enable
DONT	254	11111110	1. Disapproving an offer to enable 2. Approving an offer to disable 3. Requesting to disable

A party can offer to enable or disable an option if it has the right to do so. The offering can be approved or disapproved by the other party. To offer enabling, the offering party sends the WILL command, which means "Will I enable the option?" The other party sends either the DO command, which means "Please do," or the DONT command, which means "Please don't." To offer disabling, the offering party sends the WONT command, which means "I won't use this option any more." The answer must be the DONT command, which means "Don't use it anymore."

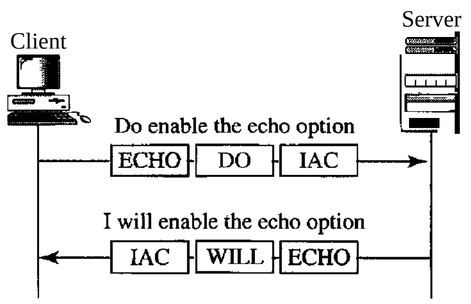
A party can request from the other party the enabling or the disabling of an option. To request enabling, the requesting party sends the DO command, which means "Please do enable the option." The other party sends either the WILL command, which means "I will," or the WONT command, which means "I won't." To request disabling, the requesting party sends the DONT command, which means "Please don't use this option anymore." The answer must be the WONT command, which means "I won't use it anymore."

Example 26.1

Figure 26.4 shows an example of option negotiation. In this example, the client wants the server to echo each character sent to the server. In other words, when a character is typed at the user keyboard terminal, it goes to the server and is sent back to the screen of the user before being processed. The echo option is enabled by the server because it is the server that sends the characters back to the user tenninal. Therefore, the client should *request* from the server the enabling of the option using DO. The request consists of three characters: lAC, DO, and ECHO. The server accepts the request and enables the option. It informs the client by sending the three-character approval: lAC, WILL, and ECHO.

Suboption Negotiation Some options require additional information. For example, to define the type or speed of a terminal, the negotiation includes a string or a number

Figure 26.4 *Example 26.1: Echo option*



to define the type or speed. In either case, the two suboption characters indicated in Table 26.4 are needed for suboption negotiation.

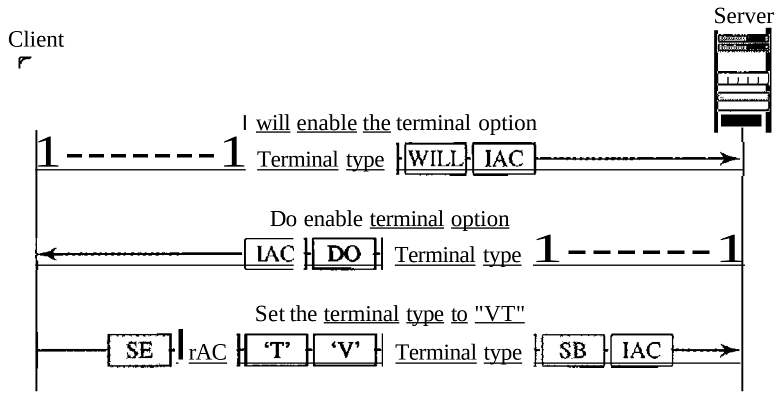
Table 26.4 *NVT character set for suboption negotiation*

Character	*Decimal*	*Binary*	*Meaning*
SE	240	11110000	Suboption end
SB	250	11111010	Suboption begin

Example 26.2

Figure 26.5 shows an example of suboption negotiation. In this example, the client wants to negotiate the type of the terminal.

Figure 26.5 *Example of suboption negotiation*


Client
Server
I will enable the terminal option
Terminal type
WILL
IAC
Do enable terminal option
IAC
DO
Terminal type
Set the terminal type to "VT"
SE
IAC
'T'
'V'
Terminal type
SB
IAC

Mode of Operation

Most TELNET implementations operate in one of three modes: default mode, character mode, or line mode.

Default Mode The default mode is used if no other modes are invoked through option negotiation. In this mode, the echoing is done by the client. The user types a character, and the client echoes the character on the screen (or printer) but does not send it until a whole line is completed.

Character Mode In the character mode, each character typed is sent by the client to the server. The server normally echoes the character back to be displayed on the client screen. In this mode the echoing of the character can be delayed if the transmission time is long (such as in a satellite connection). It also creates overhead (traffic) for the network because three TCP segments must be sent for each character of data.

Line Mode A new mode has been proposed to compensate for the deficiencies of the default mode and the character mode. In this mode, called the line mode, line editing (echoing, character erasing, line erasing, and so on) is done by the client. The client then sends the whole line to the server.

26.2 ELECTRONIC MAIL

One of the most popular Internet services is electronic mail (e-mail). The designers of the Internet probably never imagined the popularity of this application program. Its architecture consists of several components that we discuss in this chapter.

At the beginning of the Internet era, the messages sent by electronic mail were short and consisted of text only; they let people exchange quick memos. Today, electronic mail is much more complex. It allows a message to include text, audio, and video. It also allows one message to be sent to one or more recipients.

In this chapter, we first study the general architecture of an e-mail system including the three main components: user agent, message transfer agent, and message access agent. We then describe the protocols that implement these components.

Architecture

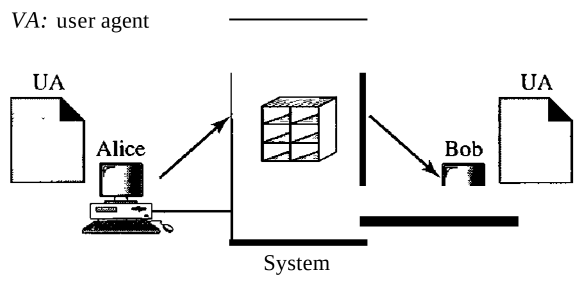
To explain the architecture of e-mail, we give four scenarios. We begin with the simplest situation and add complexity as we proceed. The fourth scenario is the most common in the exchange of email.

First Scenario

In the first scenario, the sender and the receiver of the e-mail are users (or application programs) on the same system; they are directly connected to a shared system. The administrator has created one mailbox for each user where the received messages are stored. A *mailbox* is part of a local hard drive, a special file with permission restrictions. Only the owner of the mailbox has access to it. When Alice, a user, needs to send a message to Bob, another user, Alice runs a *user agent (VA)* program to prepare the message and store it in Bob's mailbox. The message has the sender and recipient mailbox addresses (names of files). Bob can retrieve and read the contents of his mailbox at his convenience, using a user agent. Figure 26.6 shows the concept.

This is similar to the traditional memo exchange between employees in an office. There is a mailroom where each employee has a mailbox with his or her name on it.

Figure 26.6 *First scenario in electronic mail*



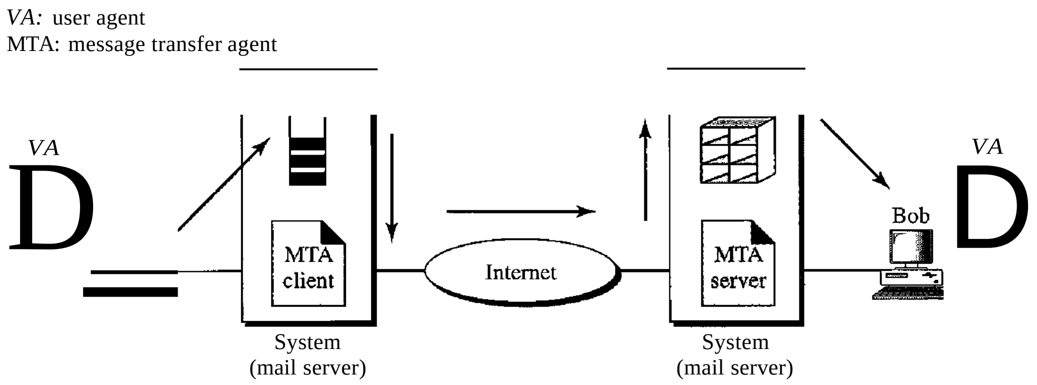
When Alice needs to send a memo to Bob, she writes the memo and inserts it into Bob's mailbox. When Bob checks his mailbox, he finds Alice's memo and reads it.

When the sender and the receiver of an e-mail are on the same system, we need only two user agents.

Second Scenario

In the second scenario, the sender and the receiver of the e-mail are users (or application programs) on two different systems.The message needs to be sent over the Internet. Here we need user agents (VAs) and message transfer agents (MTAs), as shown in Figure 26.7.

Figure 26.7 *Second scenario in electronic mail*



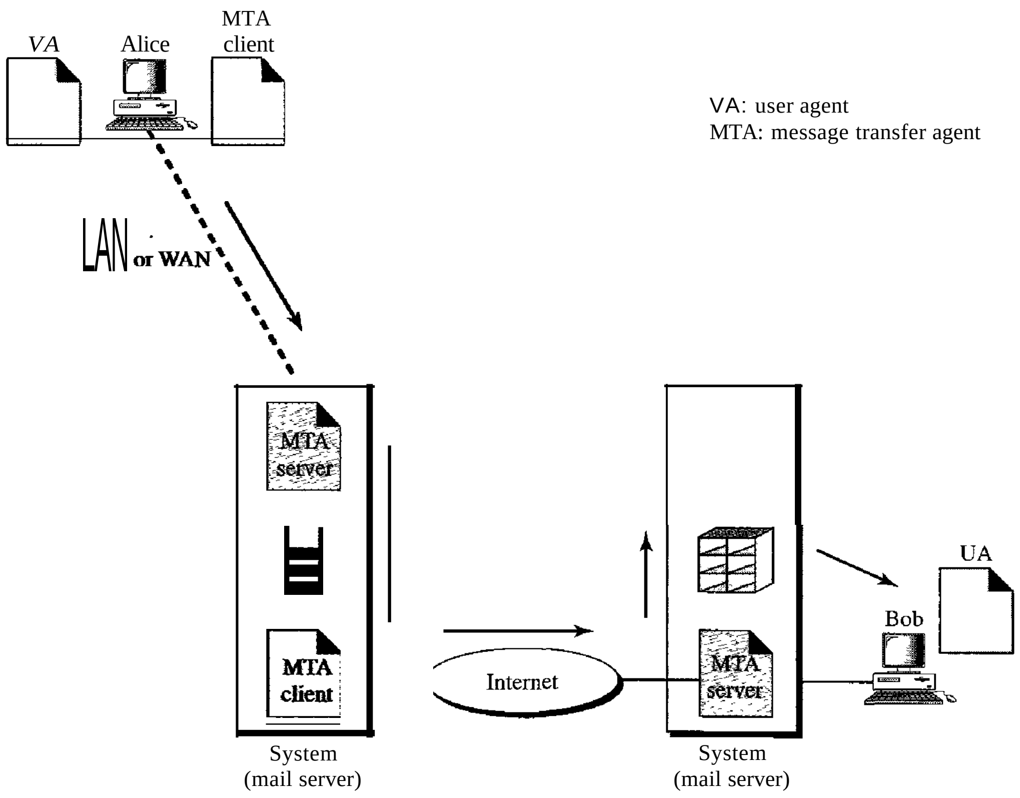
Alice needs to use a user agent program to send her message to the system at her own site. The system (sometimes called the mail server) at her site uses a queue to store messages waiting to be sent. Bob also needs a user agent program to retrieve messages stored in the mailbox of the system at his site. The message, however, needs to be sent through the Internet from Alice's site to Bob's site. Here two message transfer agents are needed: one client and one server. Like most client/server programs on the Internet, the server needs to run all the time because it does not know when a client will ask for a connection. The client, on the other hand, can be alerted by the system when there is a message in the queue to be sent.

When the sender and the receiver of an e-mail are on different systems, we need two VAs and a pair ofMTAs (client and server).

Third Scenario

In the third scenario, Bob, as in the second scenario, is directly connected to his system. Alice, however, is separated from her system. Either Alice is connected to the system via a point-to-point WAN, such as a dial-up modem, a DSL, or a cable modem; or she is connected to a LAN in an organization that uses one mail server for handling e-mails-all users need to send their messages to this mail server. Figure 26.8 shows the situation.

Figure 26.8 *Third scenario in electronic mail*



Alice still needs a user agent to prepare her message. She then needs to send the message through the LAN or WAN. This can be done through a pair of message transfer agents (client and server). Whenever Alice has a message to send, she calls the user agent which, in tum, calls the MTA client. The MTA client establishes a connection with the MTA server on the system, which is running all the time. The system at Alice's site queues all messages received. It then uses an MTA client to send the messages to the system at Bob's site; the system receives the message and stores it in Bob's mailbox.

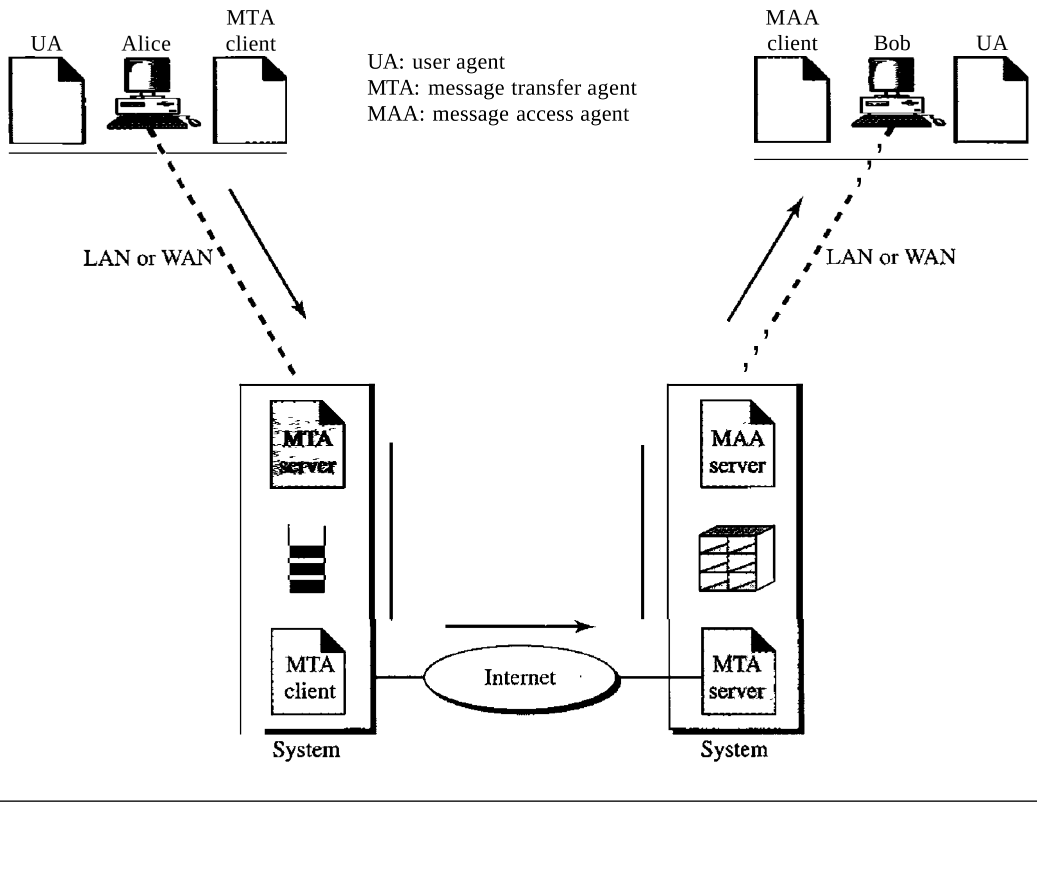
At his convenience, Bob uses his user agent to retrieve the message and reads it. Note that we need two pairs of MTA client/server programs.

When the sender is connected to the mail server via a LAN or a WAN, we need two *VAs* and two paIrs of MTAs (clIent and server).

Fourth Scenario

In the fourth and most common scenario, Bob is also connected to his mail server by a WAN or a LAN. After the message has arrived at Bob's mail server, Bob needs to retrieve it. Here, we need another set of client/server agents, which we call message access agents (MAAs). Bob uses an MAA client to retrieve his messages. The client sends a request to the MAA server, which is running all the time, and requests the transfer of the messages. The situation is shown in Figure 26.9.

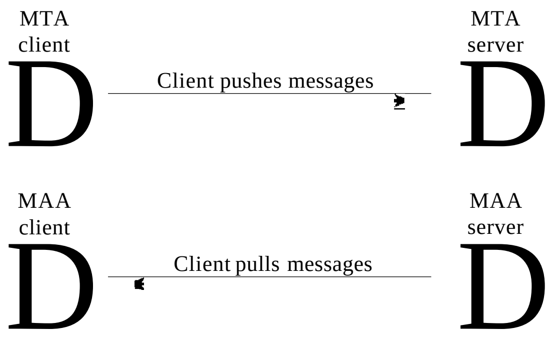
Figure 26.9 *Fourth scenario in electronic mail*



There are two important points here. First, Bob cannot bypass the mail server and use the MTA server directly. To use MTA server directly, Bob would need to run the MTA server all the time because he does not know when a message will arrive. This implies that Bob must keep his computer on all the time if he is connected to his system through a LAN. If he is connected through a-WAN, he must keep the connection up all the time. Neither of these situations is feasible today.

Second, note that Bob needs another pair of client/server programs: message access programs. This is so because an MTA client/server program is a *push* program: the client pushes the message to the server. Bob needs a *pull* program. The client needs to pull the message from the server. Figure 26.10 shows the difference.

Figure 26.10 *Push versus pull in electronic email*



When both sender and receiver are connected to the mail server via a LAN or a WAN, we need two VAs, two pairs of MTAs (client and server), and a pair of MAAs (client and server). This is the most common situation today.

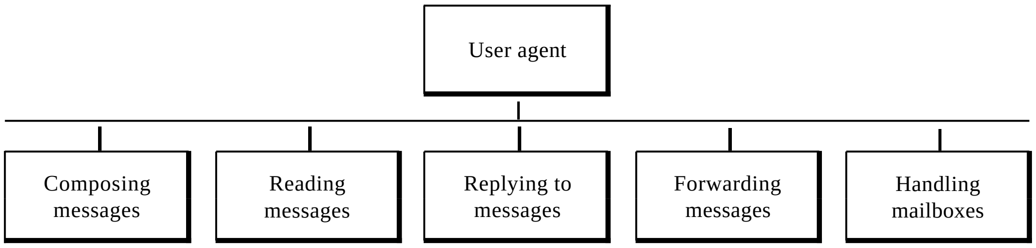
User Agent

The first component of an electronic mail system is the user agent *(VA)*. It provides service to the user to make the process of sending and receiving a message easier.

Services Provided by a User Agent

A user agent is a software package (program) that composes, reads, replies to, and forwards messages. It also handles mailboxes. Figure 26.11 shows the services of a typical user agent.

Figure 26.11 *Services of user agent*



Composing Messages A user agent helps the user compose the e-mail message to be sent out. Most user agents provide a template on the screen to be filled in by the user. Some even have a built-in editor that can do spell checking, grammar checking, and other tasks expected from a sophisticated word processor. A user, of course, could alternatively use his or her favorite text editor or word processor to create the message and import it, or cut and paste it, into the user agent template.

Reading Messages The second duty of the user agent is to read the incoming messages. When a user invokes a user agent, it first checks the mail in the incoming mailbox. Most user agents show a one-line summary of each received mail. Each e-mail contains the following fields.

1. A number field.
2. A flag field that shows the status of the mail such as new, already read but not replied to, or read and replied to.
3. The size of the message.
4. The sender.
5. The optional subject field.

Replying to Messages After reading a message, a user can use the user agent to reply to a message. A user agent usually allows the user to reply to the original sender or to reply to all recipients of the message. The reply message may contain the original message (for quick reference) and the new message.

Forwarding Messages *Replying* is defined as sending a message to the sender or recipients of the copy. *Forwarding* is defined as sending the message to a third party. A user agent allows the receiver to forward the message, with or without extra comments, to a third party.

Handling Mailboxes

A user agent normally creates two mailboxes: an inbox and an outbox. Each box is a file with a special format that can be handled by the user agent. The inbox keeps all the received e-mails until they are deleted by the user. The outbox keeps all the sent e-mails until the user deletes them. Most user agents today are capable of creating customized mailboxes.

User Agent Types

There are two types of user agents: command-driven and GUI-based.

Command-Driven Command-driven user agents belong to the early days of electronic mail. They are still present as the underlying user agents in servers. A command-driven user agent normally accepts a one-character command from the keyboard to perform its task. For example, a user can type the character r, at the command prompt, to reply to the sender of the message, or type the character R to reply to the sender and all recipients. Some examples of command-driven user agents are *mail, pine,* and *elm.*

Some examples of command-driven user agents are *mail, pine,* and *elm.*

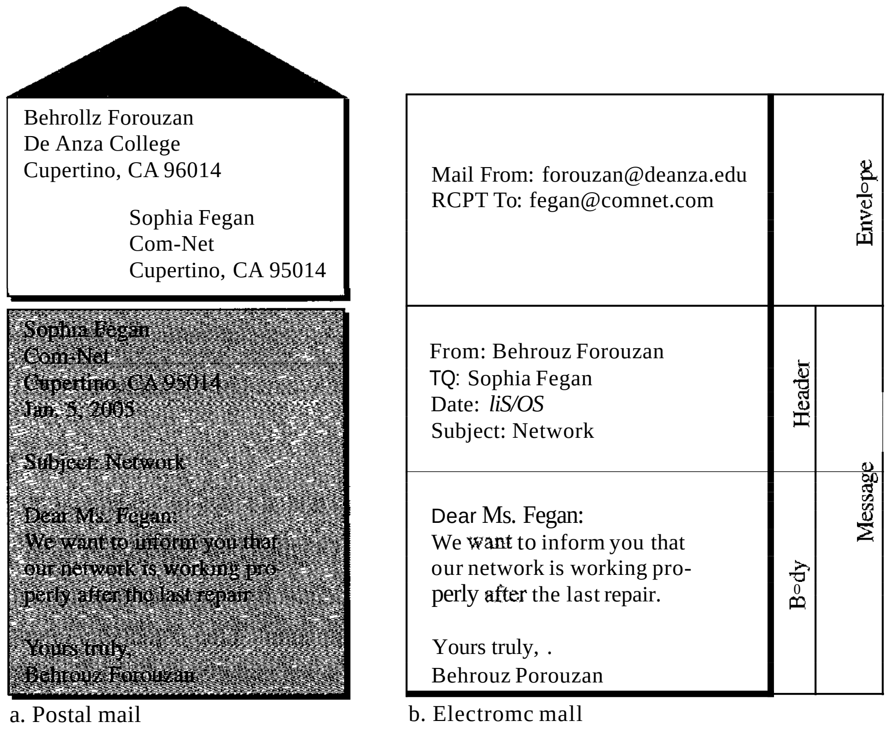
GUI-Based Modem user agents are GUI-based. They contain graphical-user interface (GUI) components that allow the user to interact with the software by using both the keyboard and the mouse. They have graphical components such as icons, menu bars, and windows that make the services easy to access. Some examples of GUI-based user agents are Eudora, Microsoft's Outlook, and Netscape.

Some examples of GUI·based user agents are *Eudora, Outlook,* and *Netscape.*

Sending Mail

To send mail, the user, through the UA, creates mail that looks very similar to postal mail. It has an *envelope* and a *message* (see Figure 26.12).

Figure 26.12 *Format ofan e-mail*



Envelope The envelope usually contains the sender and the receiver addresses.

Message The message contains the header and the body. The header of the message defines the sender, the receiver, the subject of the message, and some other information (such as encoding type, as we see shortly). The body of the message contains the actual information to be read by the recipient.

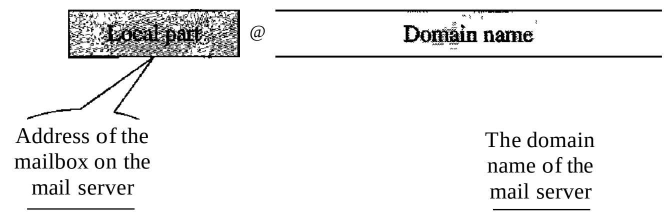
Receiving Mail

The user agent is triggered by the user (or a timer). If a user has mail, the *VA* informs the user with a notice. If the user is ready to read themail.alist is displayed in which each line contains a summary of the information about a particular message in the mailbox. The summary usually includes the sender mail address, the subject, and the time the mail was sent or received. The user can select any of the messages and display its contents on the screen.

Addresses

To deliver mail, a mail handling system must use an addressing system with unique addresses. In the Internet, the address consists of two parts: a local part and a domain name, separated by an @ sign (see Figure 26.13).

Figure 26.13 *E-mail address*


Local part
@
Domain name
Address of the mailbox on the mail server
The domain name of the mail server

Local Part The local part defines the name of a special file, called the user mailbox, where all the mail received for a user is stored for retrieval by the message access agent.

Domain Name The second part of the address is the domain name. An organization usually selects one or more hosts to receive and send e-mail; the hosts are sometimes called *mail servers* or *exchangers*. The domain name assigned to each mail exchanger either comes from the DNS database or is a logical name (for example, the name of the organization).

Mailing List

Electronic mail allows one name, an alias, to represent several different e-mail addresses; this is called a mailing list. Every time a message is to be sent, the system checks the recipient's name against the alias database; if there is a mailing list for the defined alias, separate messages, one for each entry in the list, must be prepared and handed to the MTA. If there is no mailing list for the alias, the name itself is the receiving address and a single message is delivered to the mail transfer entity.

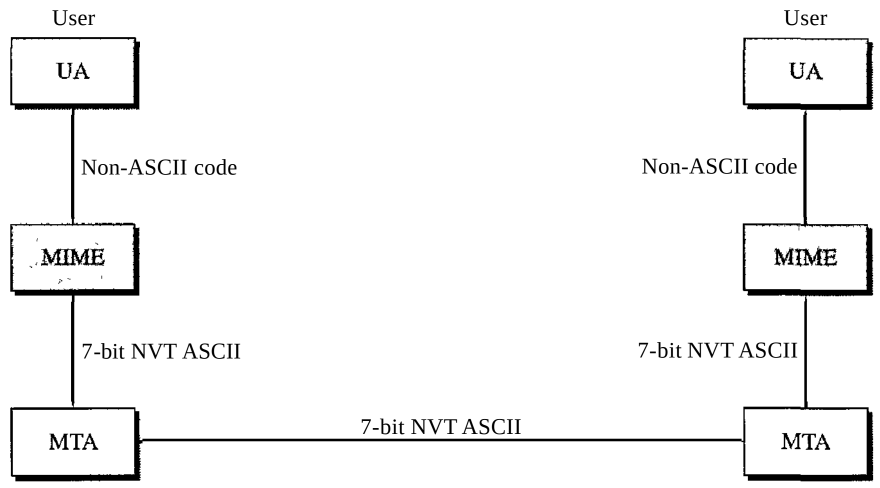
MIME

Electronic mail has a simple structure. Its simplicity, however, comes at a price. It can send messages only in NVT 7-bit ASCII format. In other words, it has some limitations. For example, it cannot be used for languages that are not supported by 7-bit ASCII characters (such as French, German, Hebrew, Russian, Chinese, and Japanese). Also, it cannot be used to send binary files or video or audio data.

Multipurpose Internet Mail Extensions (MIME) is a supplementary protocol that allows non-ASCII data to be sent through e-mail. MIME transforms non-ASCII data at the sender site to NVT ASCII data and delivers them to the client MTA to be sent through the Internet. The message at the receiving side is transformed back to the original data.

We can think of MIME as a set of software functions that transforms non-ASCII data (stream of bits) to ASCII data and vice versa, as shown in Figure 26.14.

Figure 26.14 *MIME*

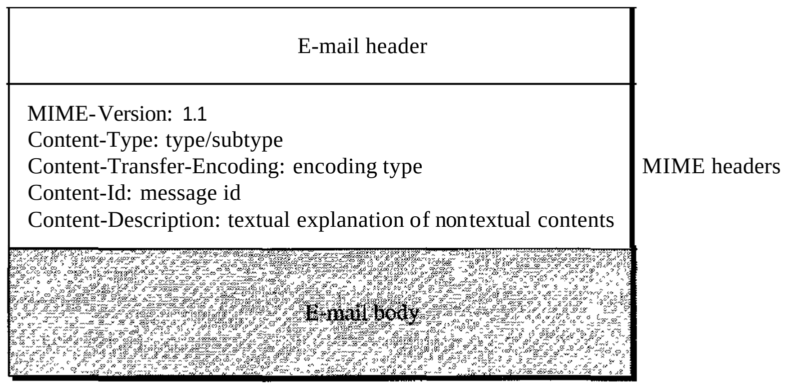


MIME defines five headers that can be added to the original e-mail header section to define the transformation parameters:

1. MIME-Version
2. Content-Type
3. Content-Transfer-Encoding
4. Content-Id
5. Content-Description

Figure 26.15 shows the MIME headers. We will describe each header in detail.

Figure 26.15 *MIME header*


E-mail header
MIME-Version: 1.1
Content-Type: type/subtype
Content-Transfer-Encoding: encoding type
Content-Id: message id
Content-Description: textual explanation of nontextual contents
MIME headers
E-mail body

MIME-Version This header defines the version of MIME used. The current version is 1.1.

MIME-Version: 1.1

Content-Type This header defines the type of data used in the body of the message. The content type and the content subtype are separated by a slash. Depending on the subtype, the header may contain other parameters.

Content-Type: <type J subtype; parameters>

MIME allows seven different types of data. These are listed in Table 26.5.

Table 26.5 *Data types and subtypes in MIME*

Type	*Subtype*	*Description*
Text	Plain	Unformatted
	HTML	HTML format (see Chapter 27)
Multipart	Mixed	Body contains ordered parts of different data types
	Parallel	Same as above, but no order
	Digest	Similar to mixed subtypes, but the default is message/ RFC822
	Alternative	Parts are different versions of the same message
Message	RFC822	Body is an encapsulated message
	Partial	Body is a fragment of a bigger message
	External-Body	Body is a reference to another message
Image	IPEG	Image is in IPEG format
	GIF	Image is in GIF format
Video	MPEG	Video is in MPEG format
Audio	Basic	Single-channel encoding of voice at 8 kHz
Application	PostScript	Adobe PostScript
	Octet-stream	General binary data (8-bit bytes)

Content-Transfer-Encoding This header defines the method used to encode the messages into 0s and Is for transport:

Content-Transfer-Encoding: <type>

The five types of encoding methods are listed in Table 26.6.

Content-Id This header uniquely identifies the whole message in a multiple-message environment.

Content-Id: id=<content-id>

Table 26.6 *Content-transfer-encoding*

Type	*Description*
7-bit	NVT ASCII characters and short lines
8-bit	Non-ASCII characters and short lines
Binary	Non-ASCII characters with unlimited-length lines
Base-64	6-bit blocks of data encoded into 8-bit ASCII characters
Quoted-printable	Non-ASCII characters encoded as an equals sign followed by an ASCII code

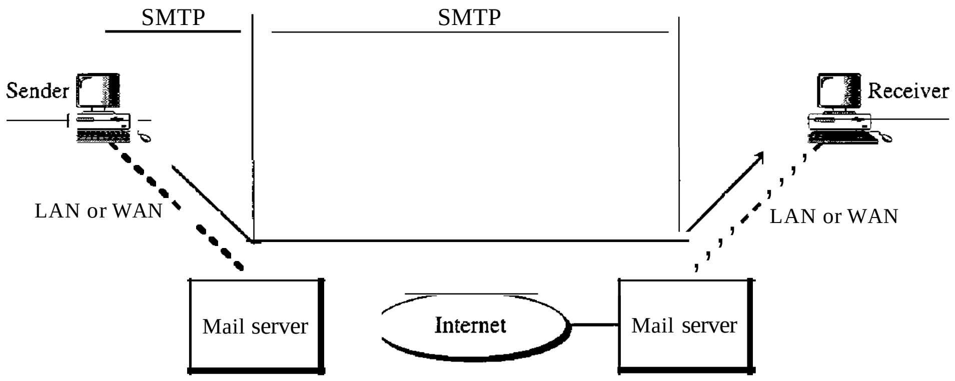
Content-Description This header defines whether the body is image, audio, or video.

Content-Description: <description>

Message Transfer Agent: SMTP

The actual mail transfer is done through message transfer agents. To send mail, a system must have the client MTA, and to receive mail, a system must have a server MTA. The formal protocol that defines the MTA client and server in the Internet is called the Simple Mail Transfer Protocol (SMTP). As we said before, two pairs of MTA client/server programs are used in the most common situation (fourth scenario). Figure 26.16 shows the range of the SMTP protocol in this scenario.

Figure 26.16 *SMTP range*



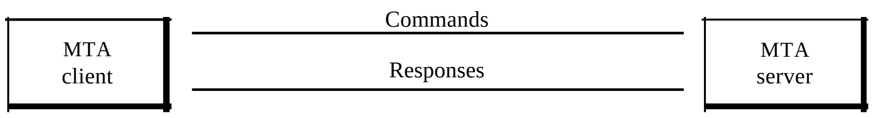
SMTP is used two times, between the sender and the sender's mail server and between the two mail servers. As we will see shortly, another protocol is needed between the mail server and the receiver.

SMTP simply defines how commands and responses must be sent back and forth. Each network is free to choose a software package for implementation. We discuss the mechanism of mail transfer by SMTP in the remainder of the section.

Commands and Responses

SMTP uses commands and responses to transfer messages between an MTA client and an MTA server (see Figure 26.17).

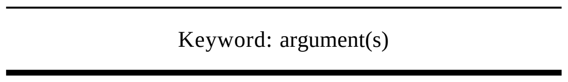
Figure 26.17 *Commands and responses*



Each command or reply is terminated by a two-character (carriage return and line feed) end-of-line token.

Commands Commands are sent from the client to the server. The fonnat of a command is shown in Figure 26.18. It consists of a keyword followed by zero or more arguments. SMTP defines 14 commands. The first five are mandatory; every implementation must support these five commands. The next three are often used and highly recommended. The last six are seldom used.

Figure 26.18 *Commandformat*



The commands are listed in Table 26.7.

Table 26.7 *Commands*

Keyword	*Argument(s)*
HELO	Sender's host name
MAIL FROM	Sender of the message
RCPTTO	Intended recipient of the message
DATA	Body of the mail
QUIT	
RSET	
VRFY	Name of recipient to be verified
NOOP	
TURN	
EXPN	Mailing list to be expanded
HELP	Command name

Table 26.7 *Commands (continued)*

Keyword	*Argument(s)*
SEND FROM	Intended recipient of the message
SMOLFROM	Intended recipient of the message
SMALFROM	Intended recipient of the message

Responses Responses are sent from the server to the client. A response is a three-digit code that may be followed by additional textual information. Table 26.8 lists some of the responses.

Table 26.8 *Responses*

Code	*Description*
Positive Completion Reply	
211	System status or help reply
214	Help message
220	Service ready
221	Service closing transmission channel
250	Request command completed
251	User not local; the message will be forwarded
Positive Intermediate Reply	
354	Start mail input
Transient Negative Completion Reply	
421	Service not available
450	Mailbox not available
451	Command aborted: local error
452	Command aborted: insufficient storage
Permanent Negative Completion Reply	
500	Syntax error; unrecognized command
501	Syntax error in parameters or arguments
502	Command not implemented
503	Bad sequence of commands
504	Command temporarily not implemented
550	Command is not executed; mailbox unavailable
551	User not local
552	Requested action aborted; exceeded storage location
553	Requested action not taken; mailbox name not allowed
554	Transaction failed

As the table shows, responses are divided into four categories. The leftmost digit of the code (2, 3, 4, and 5) defines the category.

Mail Transfer Phases

The process of transferring a mail message occurs in three phases: connection establishment, mail transfer, and connection termination.

Example 26.3

Let us see how we can directly use SMTP to send an e-mail and simulate the commands and responses we described in this section. We use TELNET to log into port 25 (the weIl-known port for SMTP). We then use the commands directly to send an e-mail. In this example, forouzanb@adelphia.net is sending an e-mail to himself. The first few lines show TELNET trying to connect to the Adelphia mail server.

After connection, we can type the SMTP commands and then receive the responses, as shown below. We have shown the commands in black and the responses in color. Note that we have added, for clarification, some comment lines, designated by the "=" signs. These lines are not part of the e-mail procedure.

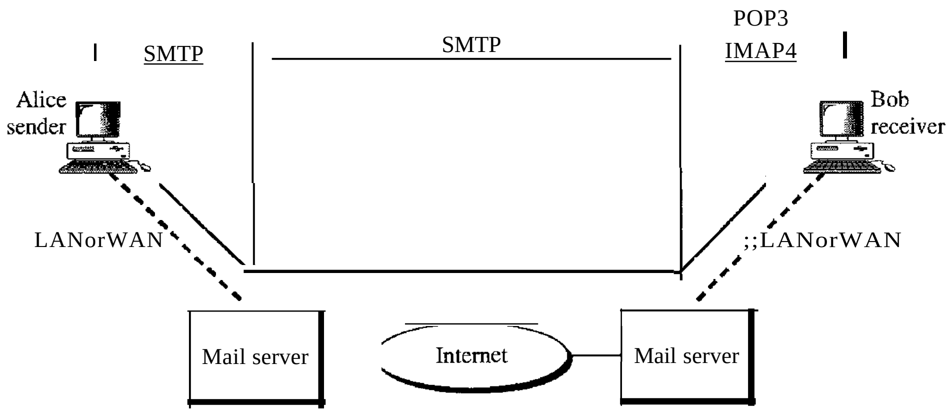
```
$ telnet mail.adelphia.net 25
Trying 68.168.78.100 •••
Connected to mail.adelphia.net (68.168.78.100).

========= Connection Establishment --      ==========
  220 mta13.adelphia.net SMTP serverready Fri, 6 Aug 2004 ...
HELO mail.adelphia.net
  250 mta13.adelphia.net
=================       Mail Transfer      ==============
MAIL FROM: forouzanb@adelphia.net
  250 Sender: <forouzanb@adelphia.net> Ok
RCPT TO: forouzanb@adelphia.net
  250 Recipient <forouzanb@adelphia.net> Ok
DATA
  354 Ok Send data ending with <CRLF>.<CRLF>
From: Forouzan
TO: Forouzan

This is a test message
to show SMTP in action.

 ========     =======   Connection Termination   ========  =====
   250 Message received: adelphia.net@mail.adelphia.net
QUIT
  221 mta13.adelphia.net SMTP server closing connection
Connection closed by foreign host.
```

Message Access Agent: **POP** and IMAP

The first and the second stages of mail delivery use SMTP. However, SMTP is not involved in the third stage because SMTP is a *push* protocol; it pushes the message from the client to the server. In other words, the direction of the bulk: data (messages) is from the client to the server. On the other hand, the third stage needs a *pull* protocol; the client must pull messages from the server. The direction of the bulk data is from the server to the client. The third stage uses a message access agent.

Currently two message access protocols are available: Post Office Protocol, version 3 (POP3) and Internet Mail Access Protocol, version 4 (IMAP4). Figure 26.19 shows the position of these two protocols in the most common situation (fourth scenario).

Figure 26.19 *POP3 and IMAP4*



POP3

Post Office Protocol, version 3 (POP3) is simple and limited in functionality. The client POP3 software is installed on the recipient computer; the server POP3 software is installed on the mail server.

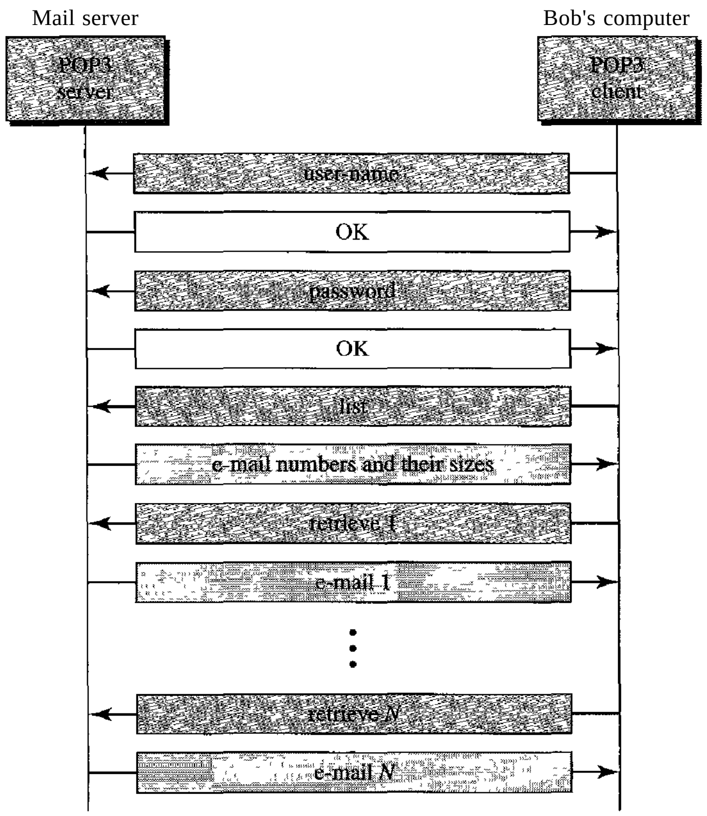
Mail access starts with the client when the user needs to download e-mail from the mailbox on the mail server. The client opens a connection to the server on TCP port 110. It then sends its user name and password to access the mailbox. The user can then list and retrieve the mail messages, one by one. Figure 26.20 shows an example of downloading using POP3.

POP3 has two modes: the delete mode and the keep mode. In the delete mode, the mail is deleted from the mailbox after each retrieval. In the keep mode, the mail remains in the mailbox after retrieval. The delete mode is normally used when the user is working at her permanent computer and can save and organize the received mail after reading or replying. The keep mode is normally used when the user accesses her mail away from her primary computer (e.g., a laptop). The mail is read but kept in the system for later retrieval and organizing.

IMAP4

Another mail access protocol is Internet Mail Access Protocol, version 4 (IMAP4). IMAP4 is similar to POP3, but it has more features; IMAP4 is more powerful and more complex.

Figure 26.20 *The exchange of commands and responses in POP3*



POP3 is deficient in several ways. It does not allow the user to organize her mail on the server; the user cannot have different folders on the server. (Of course, the user can create folders on her own computer.) In addition, POP3 does not allow the user to partially check the contents of the mail before downloading.

IMAP4 provides the following extra functions:

- A user can check the e-mail header prior to downloading.
- A user can search the contents of the e-mail for a specific string of characters prior to downloading.
- A user can partially download e-mail. This is especially useful if bandwidth is limited and the e-mail contains multimedia with high bandwidth requirements.
- A user can create, delete, or rename mailboxes on the mail server.
- A user can create a hierarchy of mailboxes in a folder for e-mail storage.

Web-Based Mail

E-mail is such a common application that some websites today provide this service to anyone who accesses the site. Two common sites are Hotmail and Yahoo. The idea is very simple. Mail transfer from Alice's browser to her mail server is done through HTTP (see Chapter 27). The transfer of the message from the sending mail server to the receiving mail server is still through SMTP. Finally, the message from the receiving server (the Web server) to Bob's browser is done through HTIP.

The last phase is very interesting. Instead of POP3 or IMAP4, HTTP is normally used. When Bob needs to retrieve his e-mails, he sends a message to the website (Hotmail, for example). The website sends a form to be filled in by Bob, which includes the log-in name and the password. If the log-in name and password match, the e-mail is transferred from the Web server to Bob's browser in HTML format.

26.3 FILE TRANSFER

Transferring files from one computer to another is one of the most common tasks expected from a networking or internetworking environment. As a matter of fact, the greatest volume of data exchange in the Internet today is due to file transfer. In this section, we discuss one popular protocol involved in transferring files: File Transfer Protocol *(FTP).*

File Transfer Protocol (FTP)

File Transfer Protocol (FTP) is the standard mechanism provided by *TCP/IP* for copying a file from one host to another. Although transferring files from one system to another seems simple and straightforward, some problems must be dealt with first. For example, two systems may use different file name conventions. Two systems may have different ways to represent text and data. Two systems may have different directory structures. All these problems have been solved by FTP in a very simple and elegant approach.

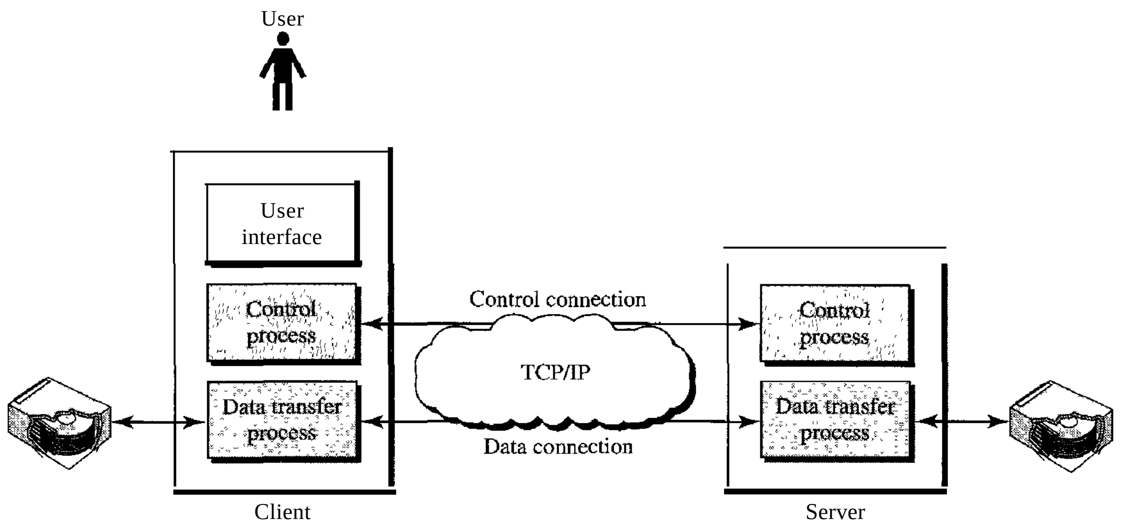
FTP differs from other client/server applications in that it establishes two connections between the hosts. One connection is used for data transfer, the other for control information (commands and responses). Separation of commands and data transfer makes FTP more efficient. The control connection uses very simple rules of communication. Wc need to transfer only a line of command or a line of response at a time. The data connection, on the other hand, needs more complex rules due to the variety of data types transferred. However, the difference in complexity is at the FTP level, not TCP. For TCP, both connections are treated the same.

FTP uses two well-known TCP ports: Port 21 is used for the control connection, and port 20 is used for the data connection.

FTP uses the services of TCP. It needs two TCP connections.
The well-known port 21 is used for the control connection
and the well-known port 20 for the data connection.

Figure 26.21 shows the basic model of FTP. The client has three components: user interface, client control process, and the client data transfer process. The server has two components: the server control process and the server data transfer process. The control connection is made between the control processes. The data connection is made between the data transfer processes.

Figure 26.21 *FTP*

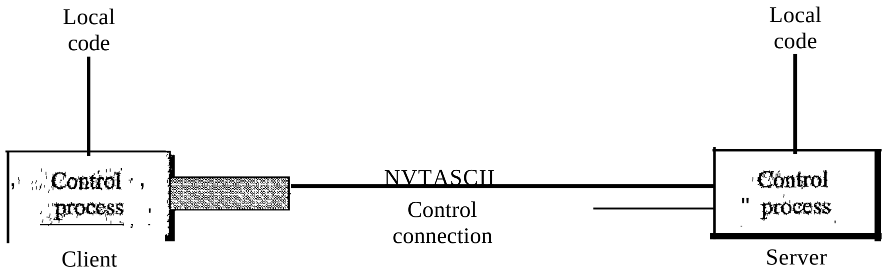


The control connection remains connected during the entire interactive FTP session. The data connection is opened and then closed for each file transferred. It opens each time commands that involve transferring files are used, and it closes when the file is transferred. In other words, when a user starts an FTP session, the control connection opens. While the control connection is open, the data connection can be opened and closed multiple times if several files are transferred.

Communication over Control Connection

FTP uses the same approach as SMTP to communicate across the control connection. It uses the 7-bit ASCII character set (see Figure 26.22). Communication is achieved through commands and responses. This simple method is adequate for the control connection because we send one command (or response) at a time. Each command or response is only one short line, so we need not worry about file format or file structure. Each line is terminated with a two-character (carriage return and line feed) end-of-line token.

Figure 26.22 *Using the control connection*



Communication over Data Connection

The purpose of the data connection is different from that of the control connection. We want to transfer files through the data connection. File transfer occurs over the data connection under the control of the commands sent over the control connection. However, we should remember that file transfer in FTP means one of three things:

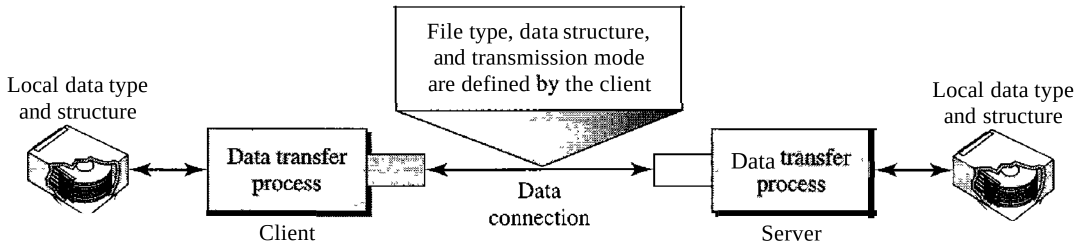
O A file is to be copied from the server to the client. This is called *retrieving aft/e.* It is done under the supervision of the RETR command,

O A file is to be copied from the client to the server. This is called *storing aft/e.* It is done under the supervision of the STOR command.

O A list of directory or file names is to be sent from the server to the client. This is done under the supervision of the LIST command. Note that FTP treats a list of directory or file names as a file. It is sent over the data connection.

The client must define the type of file to be transferred, the structure of the data, and the transmission mode. Before sending the file through the data connection, we prepare for transmission through the control connection. The heterogeneity problem is resolved by defining three attributes of communication: file type, data structure, and transmission mode (see Figure 26.23).

Figure 26.23 *Using the data connection*


File type, data structure, and transmission mode are defined by the client
Local data type and structure
Data transfer process
Client
Data connection
Data transfer process
Server
Local data type and structure

File Type FTP can transfer one of the following file types across the data connection: an ASCII file, EBCDIC file, or image file. The ASCII file is the default format for transferring text files. Each character is encoded using 7-bit ASCII. The sender transforms the file from its own representation into ASCII characters, and the receiver transforms the ASCII characters to its own representation. If one or both ends of the connection use EBCDIC encoding (the file format used by IBM), the file can be transferred using EBCDIC encoding. The image file is the default format for transferring binary files. The file is sent as continuous streams of bits without any interpretation or encoding. This is mostly used to transfer binary files such as compiled programs.

Data Structure FTP can transfer a file across the data connection by using one of the following interpretations about the structure of the data: file structure, record structure, and page structure. In the file structure format, the file is a continuous stream of bytes. In the record structure, the file is divided into records. This can be used only with text files. In the page structure, the file is divided into pages, with each page having a page number and a page header. The pages can be stored and accessed randomly or sequentially.

Transmission Mode FTP can transfer a file across the data connection by using one of the following three transmission modes: stream mode, block mode, and compressed mode. The stream mode is the default mode. Data are delivered from FTP to TCP as a continuous stream of bytes. TCP is responsible for chopping data into segments of appropriate size. If the data are simply a stream of bytes (file structure), no end-of-file is needed. End-of-file in this case is the closing of the data connection by the sender. If the data are divided into records (record structure), each record will have a I-byte end-of-record (EOR) character and the end of the file will have a I-byte end-of-file (EOF) character. In block mode, data can be delivered from FTP to TCP in blocks. In this case, each block is preceded by a 3-byte header. The first byte is called the *block descriptor;* the next 2 bytes define the size of the block in bytes. In the compressed mode, if the file is big, the data can be compressed. The compression method normally used is run-length encoding. In this method, consecutive appearances of a data unit are replaced by one occurrence and the number of repetitions. In a text file, this is usually spaces (blanks). In a binary file, null characters are usually compressed.

Example 26.4

The following shows an actual *FTP* session for retrieving a list of items in a directory. The colored lines show the responses from the server control connection; the black lines show the commands sent by the client. The lines in white with a black background show data transfer.

```
$ ftp voyager.deanza.tbda.edu
Connected to voyager.deanza.tbda.edu.
220 (vsFTPd 1.2.1)
530 Please login with USER and PASS.
Name (voyager.deanza.tbda.edu:forouzan): forouzan
331 Please specify the password.
Password:
230 Login successful.
Remote system type is UNIX.
Using binary mode to transfer files.
ftp> Is reports
227 Entering Passive Mode (153,18,17,11,238,169)
150 Here comes the directory listing.




226 Directory send OK.
ftp>quit
221 Goodbye.
```

1. After the control connection is created, the FIP server sends the 220 (service ready) response on the control connection.
2. The client sends its name.
3. The server responds with 331 (user name is OK, password is required).

4. The client sends the password (not shown).
5. The server responds with 230 (user log-in is OK).
6. The client sends the list command Os reports) to find the list of files on the directory named report.
7. Now the server responds with 150 and opens the data connection.
8. The server then sends the list of the files or directories (as a file) on the data connection. When the whole list (file) is sent, the server responds with 226 (closing data connection) over the control connection.
9. The client now has two choices. It can use the QUIT command to request the closing of the control connection, or it can send another command to start another activity (and eventually open another data connection). In our example, the client sends a QUIT command.
10. After receiving the QUIT command, the server responds with 221 (service closing) and then closes the control connection.

Anonymous FTP

To use FfP, a user needs an account (user name) and a password on the remote server. Some sites have a set of files available for public access, to enable anonymous FTP. To access these files, a user does not need to have an account or password. Instead, the user can use *anonymous* as the user name and *guest* as the password.

User access to the system is very limited. Some sites allow anonymous users only a subset of commands. For example, most sites allow the user to copy some files, but do not allow navigation through the directories.

Example 26.5

We show an example of anonymous FTP. We assume that some public data are available at intemic.net.

```
$ ftp internic.net
Connected to internic.net
220 Server ready
Name: anonymous
331 Guest login OK, send "guest" as password
Password: guest
ftp>pwd"
257 '/' is current directory
ftp > ls
200 OK
150 Opening ASCII mode




ttp> close
221 Goodbye
ftp>quit
```

CHAPTER 27

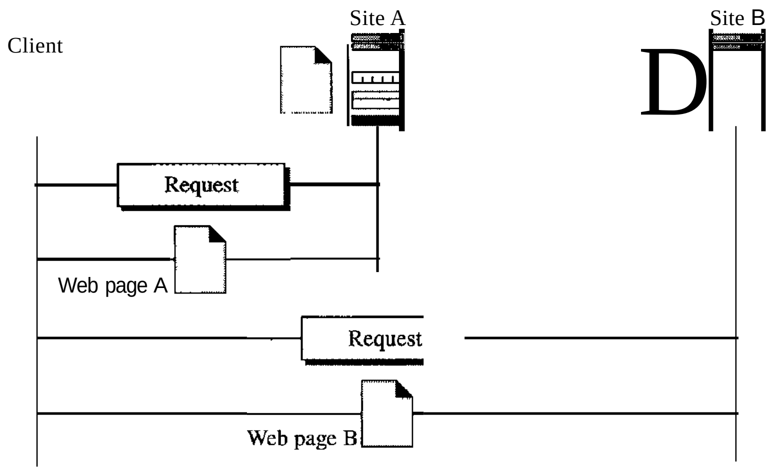
WWWandHTTP

The **World Wide Web** (WWW) is a repository of information linked together from points all over the world. The WWW has a unique combination of flexibility, portability, and user-friendly features that distinguish it from other services provided by the Internet. The WWW project was initiated by CERN (European Laboratory for Particle Physics) to create a system to handle distributed resources necessary for scientific research. **In** this chapter we first discuss issues related to the Web. We then discuss a protocol, HTTP, that is used to retrieve information from the Web.

27.1 ARCHITECTURE

The WWW today is a distributed clientJserver service, in which a client using a browser can access a service using a server. However, the service provided is distributed over many locations called *sites,* as shown **in** Figure 27.1.

Figure 27.1 *Architecture ofWWW*

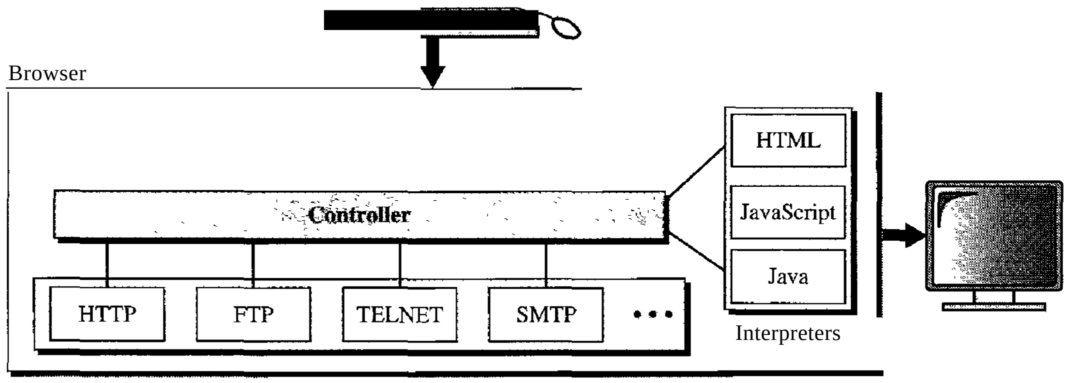


Each site holds one or more documents, referred to as *Web pages.* Each Web page can contain a link to other pages in the same site or at other sites. The pages can be retrieved and viewed by using browsers. Let us go through the scenario shown in Figure 27.1. The client needs to see some information that it knows belongs to site A. It sends a request through its browser, a program that is designed to fetch Web documents. The request, among other information, includes the address of the site and the Web page, called the URL, which we will discuss shortly. The server at site A finds the document and sends it to the client. When the user views the document, she finds some references to other documents, including a Web page at site B. The reference has the URL for the new site. The user is also interested in seeing this document. The client sends another request to the new site, and the new page is retrieved.

Client (Browser)

A variety of vendors offer commercial browsers that interpret and display a Web document, and all use nearly the same architecture. Each browser usually consists of three parts: a controller, client protocol, and interpreters. The controller receives input from the keyboard or the mouse and uses the client programs to access the document. After the document has been accessed, the controller uses one of the interpreters to display the document on the screen. The client protocol can be one of the protocols described previously such as FTP or HTIP (described later in the chapter). The interpreter can be HTML, Java, or JavaScript, depending on the type of document. We discuss the use of these interpreters based on the document type later in the chapter (see Figure 27.2).

Figure 27.2 *Browser*



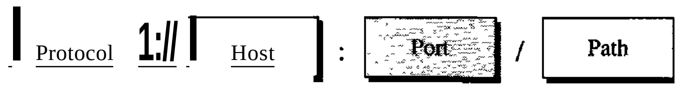
Server

The Web page is stored at the server. Each time a client request arrives, the corresponding document is sent to the client. To improve efficiency, servers normally store requested files in a cache in memory; memory is faster to access than disk. A server can also become more efficient through multithreading or multiprocessing. In this case, a server can answer more than one request at a time.

Uniform Resource Locator

A client that wants to access a Web page needs the address. To facilitate the access of documents distributed throughout the world, HTTP uses locators. The uniform resource locator (URL) is a standard for specifying any kind of information on the Internet. The URL defines four things: protocol, host computer, port, and path (see Figure 27.3).

Figure 27.3 *URL*



The *protocol* is the client/server program used to retrieve the document. Many different protocols can retrieve a document; among them are FTP or HTTP. The most common today is HTTP.

The host is the computer on which the information is located, although the name of the computer can be an alias. Web pages are usually stored in computers, and computers are given alias names that usually begin with the characters "www". This is not mandatory, however, as the host can be any name given to the computer that hosts the Web page.

The URL can optionally contain the port number of the server. If the *port* is included, it is inserted between the host and the path, and it is separated from the host by a colon.

Path is the pathname of the file where the information is located. Note that the path can itself contain slashes that, in the UNIX operating system, separate the directories from the subdirectories and files.

Cookies

The World Wide Web was originally designed as a stateless entity. A client sends a request; a server responds. Their relationship is over. The original design of WWW, retrieving publicly available documents, exactly fits this purpose. Today the Web has other functions; some are listed here.

1. Some websites need to allow access to registered clients only.
2. Websites are being used as electronic stores that allow users to browse through the store, select wanted items, put them in an electronic cart, and pay at the end with a credit card.
3. Some websites are used as portals: the user selects the Web pages he wants to see.
4. Some websites are just advertising.

For these purposes, the cookie mechanism was devised. We discussed the use of cookies at the transport layer in Chapter 23; we now discuss their use in Web pages.

Creation and Storage of Cookies

The creation and storage of cookies depend on the implementation; however, the principle is the same.

1. When a server receives a request from a client, it stores information about the client in a file or a string. The information may include the domain name of the client, the contents of the cookie (information the server has gathered about the client such as name, registration number, and so on), a timestamp, and other information'depending on the implementation.
2. The server includes the cookie in the response that it sends to the client.
3. When the client receives the response, the browser stores the cookie in the cookie directory, which is sorted by the domain server name.

Using Cookies

When a client sends a request to a server, the browser looks in the cookie directory to see if it can find a cookie sent by that server. If found, the cookie is included in the request. When the server receives the request, it knows that this is an old client, not a new one. Note that the contents of the cookie are never read by the browser or disclosed to the user. It is a cookie *made* by the server and *eaten* by the server. Now let us see how a cookie is used for the four previously mentioned purposes:

1. The site that restricts access to registered clients only sends a cookie to the client when the client registers for the first time. For any repeated access, only those clients that send the appropriate cookie are allowed.
2. An electronic store (e-commerce) can use a cookie for its client shoppers. When a client selects an item and inserts it into a cart, a cookie that contains information about the item, such as its number and unit price, is sent to the browser. If the client selects a second item, the cookie is updated with the new selection information. And so on. When the client finishes shopping and wants to check out, the last cookie is retrieved and the total charge is calculated.
3. A Web portal uses the cookie in a similar way. When a user selects her favorite pages, a cookie is made and sent. If the site is accessed again, the cookie is sent to the server to show what the client is looking for.
4. A cookie is also used by advertising agencies. An advertising agency can place banner ads on some main website that is often visited by users. The advertising agency supplies only a URL that gives the banner address instead of the banner itself. When a user visits the main website and clicks on the icon of an advertised corporation, a request is sent to the advertising agency. The advertising agency sends the banner, a GIF file, for example, but it also includes a cookie with the ill of the user. Any future use of the banners adds to the database that profiles the Web behavior of the user. The advertising agency has compiled the interests of the user and can sell this information to other parties. This use of cookies has made them very controversial. Hopefully, some new regulations will be devised to preserve the privacy of users.

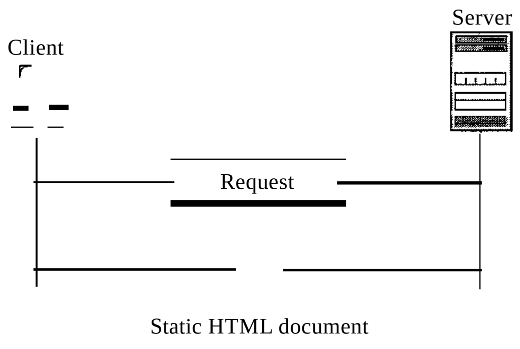
27.2 WEB DOCUMENTS

The documents in the WWW can be grouped into three broad categories: static, dynamic, and active. The category is based on the time at which the contents of the document are determined.

Static Documents

Static documents are fixed-content documents that are created and stored in a server. The client can get only a copy of the document. In other words, the contents of the file are determined when the file is created, not when it is used. Of course, the contents in the server can be changed, but the user cannot change them. When a client accesses the document, a copy of the document is sent. The user can then use a browsing program to display the document (see Figure 27.4).

Figure 27.4 *Static document*

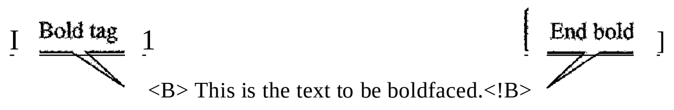


HTML

Hypertext Markup Language (HTML) is a language for creating Web pages. The term *markup language* comes from the book publishing industry. Before a book is typeset and printed, a copy editor reads the manuscript and puts marks on it. These marks tell the compositor how to format the text. For example, if the copy editor wants part of a line to be printed in boldface, he or she draws a wavy line under that part. In the same way, data for a Web page are formatted for interpretation by a browser.

Let us clarify the idea with an example. To make part of a text displayed in boldface with HTML, we put beginning and ending boldface tags (marks) in the text, as shown in Figure 27.5.

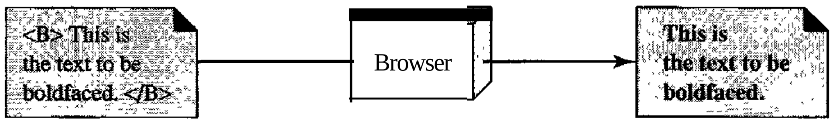
Figure 27.5 *Boldface tags*



The two tags <B> and </B> are instructions for the browser. When the browser sees these two marks, it knows that the text must be boldfaced (see Figure 27.6).

A markup language such as HTML allows us to embed formatting instructions in the file itself. The instructions are included with the text. In this way, any browser can read the instructions and format the text according to the specific workstation. One might

Figure 27.6 *Effect of boldface tags*


<B> This is the text to be boldfaced. </B>
Browser
This is the text to be boldfaced.

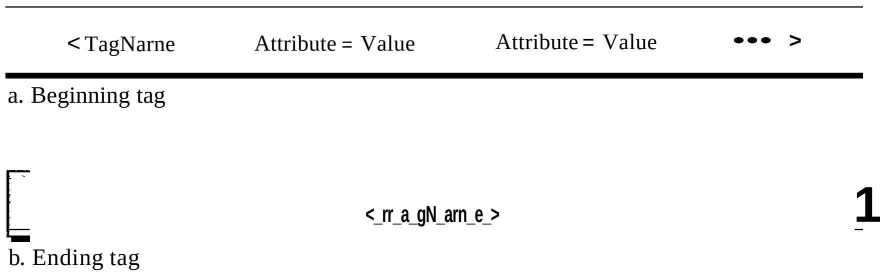
ask why we do not use the fonnatting capabilities of word processors to create and save formatted text. The answer is that different word processors use different techniques or procedures for formatting text. For example, imagine that a user creates formatted text on a Macintosh computer and stores it in a Web page. Another user who is on an IBM computer would not be able to receive the Web page because the two computers use different fonnatting procedures.

HTML lets us use only ASCII characters for both the main text and formatting instructions. In this way, every computer can receive the whole document as an ASCII document. The main text is the data, and the formatting instructions can be used by the browser to format the data.

A Web page is made up of two parts: the head and the body. The head is the first part of a Web page. The head contains the title of the page and other parameters that the browser will use. The actual contents of a page are in the body, which includes the text and the tags. Whereas the text is the actual infonnation contained in a page, the tags define the appearance of the document. Every HTML tag is a name followed by an optional list of attributes, all enclosed between less-than and greater-than symbols « and >).

An attribute, if present, is followed by an equals sign and the value of the attribute. Some tags can be used alone; others must be used in pairs. Those that are used in pairs are called *beginning* and *ending* tags. The beginning tag can have attributes and values and starts with the name of the tag. The ending tag cannot have attributes or values but must have a slash before the name of the tag. The browser makes a decision about the structure of the text based on the tags, which are embedded into the text. Figure 27.7 shows the fonnat of a tag.

Figure 27.7 *Beginning and ending tags*



One commonly used tag category is the text formatting tags such as <B> and <!B>, which make the text bold; <1> and <II>, which make the text italic; and <U> and <IV>, which underline the text.

Another interesting tag category is the image tag. Nontextual information such as digitized photos or graphic images is not a physical part of an HTML document. But we can use an image tag to point to the file of a photo or image. The image tag defines the address (URL) of the image to be retrieved. It also specifies how the image can be inserted after retrievaL We can choose from several attributes. The most common are SRC (source), which defines the source (address), and ALIGN, which defines the alignment of the image. The SRC attribute is required. Most browsers accept images in the GIF or IPEG formats. For example, the following tag can retrieve an image stored as imagel.gif in the directory /bin/images:

```
<IMG SRC= "/bin/images/image1.gif" ALIGN=MIDDLE >
```

A third interesting category is the hyperlink tag, which is needed to link documents together. Any item (word, phrase, paragraph, or image) can refer to another document through a mechanism called an *anchor.* The anchor is defined by <A ... > and <!A> tags, and the anchored item uses the URL to refer to another document. When the document is displayed, the anchored item is underlined, blinking, or boldfaced. The user can click on the anchored item to go to another document, which mayor may not be stored on the same server as the original document. The reference phrase is embedded between the beginning and ending tags. The beginning tag can have several attributes, but the one required is HREF (hyperlink reference), which defines the address (URL) of the linked document. For example, the link to the author of a book can be

```
<A HREF= "http://www.deanza.edu/forouzan"> Author </A>
```

What appears in the text is the word *Author,* on which the user can click to go to the author's Web page.

Dynamic Documents

A **dynamic document** is created by a Web server whenever a browser requests the document. When a request arrives, the Web server runs an application program or a script that creates the dynamic document. The server returns the output of the program or script as a response to the browser that requested the document. Because a fresh document is created for each request, the contents of a dynamic document can vary from one request to another. A very simple example of a dynamic document is the retrieval of the time and date from a server. Time and date are kinds of information that are dynamic in that they change from moment to moment. The client can ask the server to run a program such as the *date* program in UNIX and send the result of the program to the client.

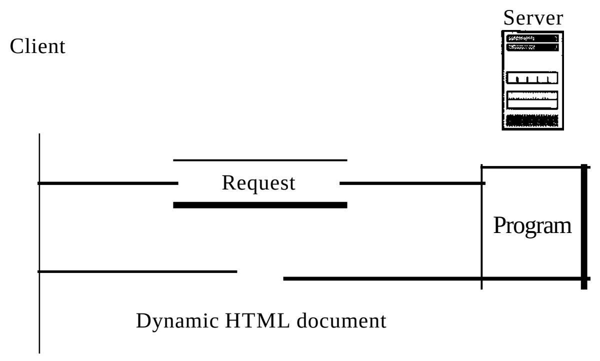
Common Gateway Interface (CGI)

The **Common** Gateway **Interface** (CGI) is a technology that creates and handles dynamic documents. CGI is a set of standards that defines how a dynamic document is written, how data are input to the program, and how the output result is used.

COl is not a new language; instead, it allows programmers to use any of several languages such as C, C++, Boume Shell, Kom Shell, C Shell, Tcl, or Perl. The only thing that CGI defines is a set of rules and tenns that the programmer must follow.

The tenn *common* in COl indicates that the standard defines a set of rules that is common to any language or platfonn. The tenn *gateway* here means that a COl program can be used to access other resources such as databases, graphical packages, and so on. The tenn *interface* here means that there is a set of predefined tenns, variables, calls, and so on that can be used in any COl program. A COl program in its simplest fonn is code written in one of the languages supporting COL Any programmer who can encode a sequence of thoughts in a program and knows the syntax of one of the above-mentioned languages can write a simple CGI program. Figure 27.8 illustrates the steps in creating a dynamic program using COl technology.

Figure 27.8 *Dynamic document using CGI*



Input In traditional programming, when a program is executed, parameters can be passed to the program. Parameter passing allows the programmer to write a generic program that can be used in different situations. For example, a generic copy program can be written to copy any file to another. A user can use the program to copy a file named *x* to another file named *y* by passing *x* and *y* as parameters.

The input from a browser to a server is sent by using *aform*. If the infonnation in a fonn is small (such as a word), it can be appended to the URL after a question mark. For example, the following URL is carrying fonn infonnation (23, a value):

http://www.deanzalcgi-binlprog.pl?23

When the server receives the URL, it uses the part of the URL before the question mark to access the program to be run, and it interprets the part after the question mark (23) as the input sent by the client. It stores this string in a variable. When the CGI program is executed, it can access this value.

If the input from a browser is too long to fit in the query string, the browser can ask the server to send a fonn. The browser can then fill the fonn with the input data and send it to the server. The infonnation in the fonn can be used as the input to the COl program.

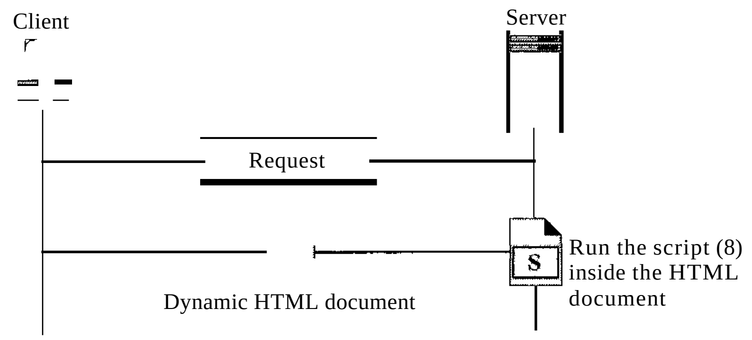
Output The whole idea of CGI is to execute a CGI program at the server site and send the output to the client (browser). The output is usually plain text or a text with HTML structures; however, the output can be a variety of other things. It can be graphics or binary data, a status code, instructions to the browser to cache the result, or instructions to the server to send an existing document instead of the actual output.

To let the client know about the type of document sent, a CGI program creates headers. As a matter of fact, the output of the CGI program always consists of two parts: a header and a body. The header is separated by a blank line from the body. This means any CGI program creates first the header, then a blank line, and then the body. Although the header and the blank line are not shown on the browser screen, the header is used by the browser to interpret the body.

Scripting Technologies for Dynamic Documents

The problem with CGI technology is the inefficiency that results if part of the dynamic document that is to be created is fixed and not changing from request to request. For example, assume that we need to retrieve a list of spare parts, their availability, and prices for a specific car brand. Although the availability and prices vary from time to time, the name, description, and the picture of the parts are fixed. If we use CGI, the program must create an entire document each time a request is made. The solution is to create a file containing the fixed part of the document using HTML and embed a script, a source code, that can be run by the server to provide the varying availability and price section. Figure 27.9 shows the idea.

Figure 27.9 *Dynamic document using server-site script*



A few technologies have been involved in creating dynamic documents using scripts. Among the most common are Hypertext Preprocessor (pHP), which uses the Perl language; Java Server Pages (JSP), which uses the Java language for scripting; Active Server Pages (ASP), a Microsoft product which uses Visual Basic language for scripting; and ColdFusion, which embeds SQL database queries in the HTML document.

Dynamic documents are sometimes referred to as
server-site dynamic documents.

Active Documents

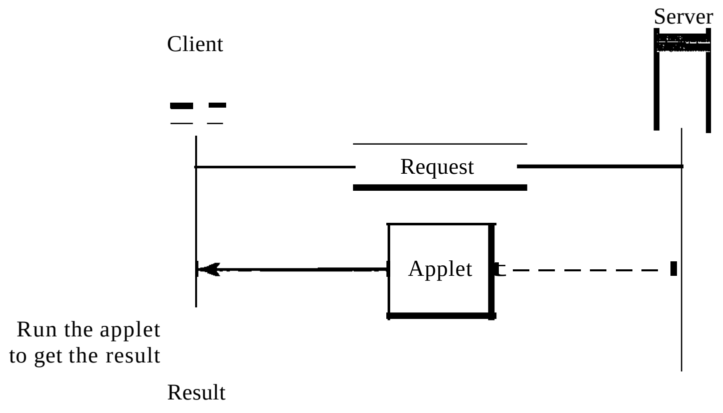
For many applications, we need a program or a script to be run at the client site. These are called active documents. For example, suppose we want to run a program that creates animated graphics on the screen or a program that interacts with the user. The program definitely needs to be run at the client site where the animation or interaction takes place. When a browser requests an active document, the server sends a copy of the document or a script. The document is then run at the client (browser) site.

Java Applets

One way to create an active document is to use Java applets. Java is a combination of a high-level programming language, a run-time environment, and a class library that allows a programmer to write an active document (an applet) and a browser to run it. It can also be a stand-alone program that doesn't use a browser.

An applet is a program written in Java on the server. It is compiled and ready to be run. The document is in byte-code (binary) format. The client process (browser) creates an instance of this applet and runs it. A Java applet can be run by the browser in two ways. In the first method, the browser can directly request the Java applet program in the URL and receive the applet in binary form. In the second method, the browser can retrieve and run an HTML file that has embedded the address of the applet as a tag. Figure 27.10 shows how Java applets are used in the first method; the second is similar but needs two transactions.

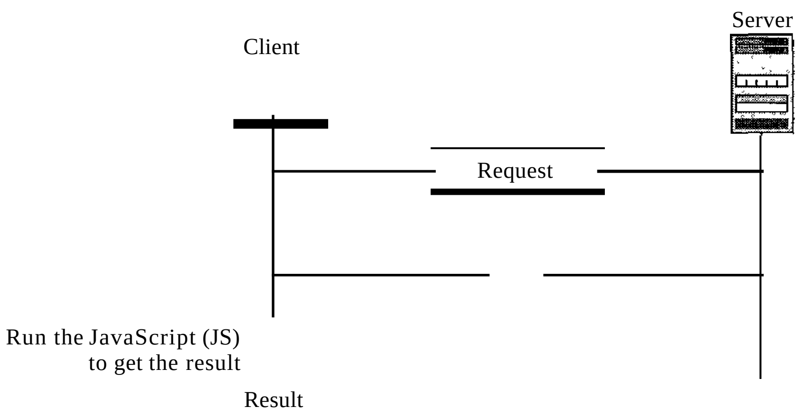
Figure 27.10 *Active document using Java applet*



JavaScript

The idea of scripts in dynamic documents can also be used for active documents. If the active part of the document is small, it can be written in a scripting language; then it can be interpreted and run by the client at the same time. The script is in source code (text) and not in binary form. The scripting technology used in this case is usually JavaScript. JavaScript, which bears a small resemblance to Java, is a very high level scripting language developed for this purpose. Figure 27.11 shows how JavaScript is used to create an active document.

Figure 27.11 *Active document using client-site script*



Active documents are sometimes referred to as client-site dynamic documents.

27.3 HTTP

The Hypertext Transfer Protocol (HTTP) is a protocol used mainly to access data on the World Wide Web. HTTP functions as a combination of FTP and SMTP. It is similar to FfP because it transfers files and uses the services of TCP. However, it is much simpler than FfP because it uses only one TCP connection. There is no separate control connection; only data are transferred between the client and the server.

HTTP is like SMTP because the data transferred between the client and the server look like SMTP messages. In addition, the format of the messages is controlled by MIME-like headers. Unlike SMTP, the HTTP messages are not destined to be read by humans; they are read and interpreted by the HTTP server and HTTP client (browser). SMTP messages are stored and forwarded, but HTTP messages are delivered immediately. The commands from the client to the server are embedded in a request message. The contents of the requested file or other information are embedded in a response message. HTTP uses the services of TCP on well-known port 80.

HTTP uses the services of TCP on well-known port 80.

HTTP Transaction

Figure 27.12 illustrates the HTTP transaction between the client and server. Although HTTP uses the services of TCP, HTTP itself is a stateless protocol. The client initializes the transaction by sending a request message. The server replies by sending a response.

Messages

The formats of the request and response messages are similar; both are shown in Figure 27.13. A request message consists of a request line, a header, and sometimes a body. A response message consists of a status line, a header, and sometimes a body.

Figure 27.12 *HTTP transaction*

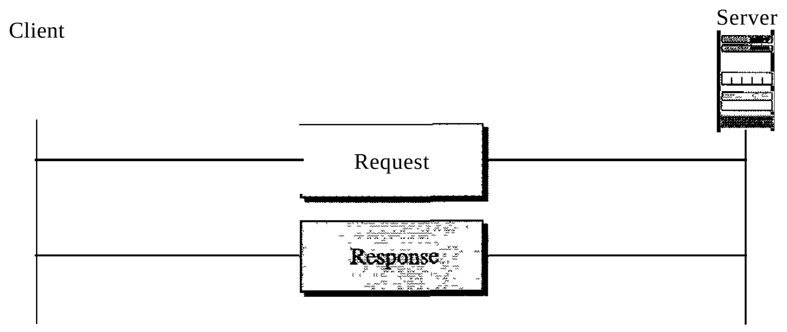
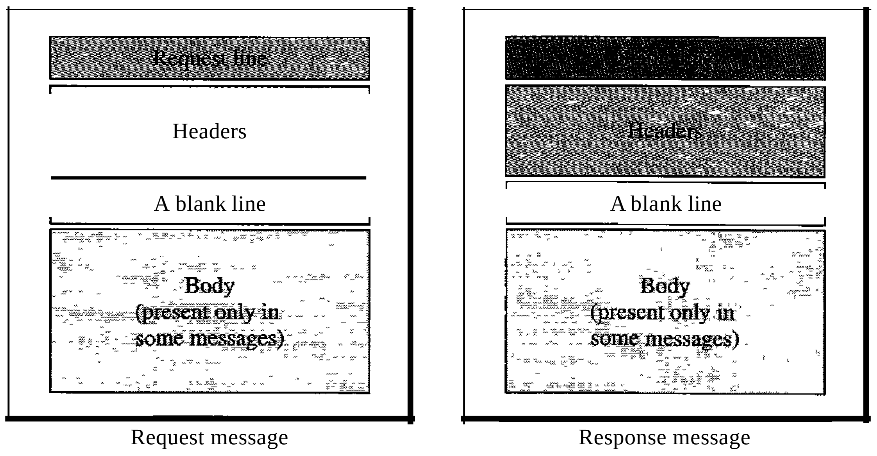
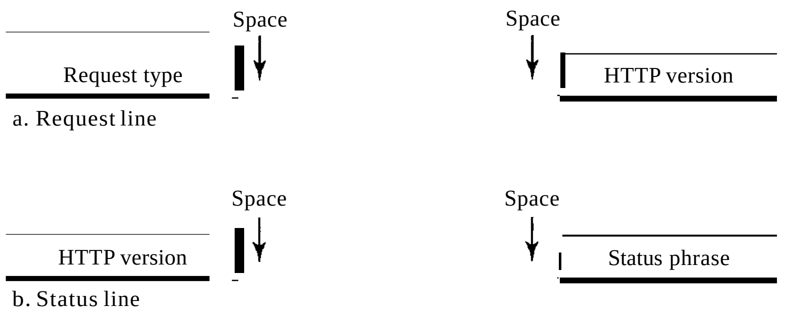


Figure 27.13 *Request and response messages*



Request and Status Lines The first line in a request message is called a request line; the first line in the response message is called the status line. There is one common field, as shown in Figure 27.14.

Figure 27.14 *Request and status lines*



- Request type. This field is used in the request message. In version 1.1 of HTTP, several request types are defined. The request type is categorized into *methods* as defined in Table 27.1.

Table 27.1 *Methods*

Method	*Action*
GET	Requests a document from the server
HEAD	Requests information about a document but not the document itself
POST	Sends some information from the client to the server
PUT	Sends a document from the server to the client
TRACE	Echoes the incoming request
CONNECT	Reserved
OPTION	Inquires about available options

- URL. We discussed the URL earlier in the chapter.
- Version. The most current version of HTTP is 1.1.
- Status code. This field is used in the response message. The status code field is similar to those in the FTP and the SMTP protocols. It consists of three digits. Whereas the codes in the 100 range are only informational, the codes in the 200 range indicate a successful request. The codes in the 300 range redirect the client to another URL, and the codes in the 400 range indicate an error at the client site. Finally, the codes in the 500 range indicate an error at the server site. We list the most common codes in Table 27.2.
- Status phrase. This field is used in the response message. It explains the status code in text form. Table 27.2 also gives the status phrase.

Table 27.2 *Status codes*

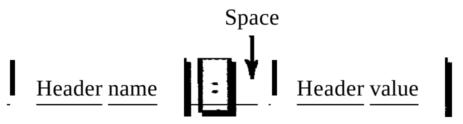
Code	*Phrase*	*Description*
	Informational	
100	Continue	The initial part of the request has been received, and the client may continue with its request.
101	Switching	The server is complying with a client request to switch protocols defined in the upgrade header.
	Success	
200	OK	The request is successful.
201	Created	A new URL is created.
202	Accepted	The request is accepted, but it is not immediately acted upon.
204	No content	There is no content in the body.

Table 27.2 *Status codes (continued)*

Code	*Phrase*	*Description*
		Redirection
301	Moved permanently	The requested URL is no longer used by the server.
302	Moved temporarily	The requested URL has moved temporarily.
304	Not modified	The document has not been modified.
		Client Error
400	Bad request	There is a syntax error in the request.
401	Unauthorized	The request lacks proper authorization.
403	Forbidden	Service is denied.
404	Not found	The document is not found.
405	Method not allowed	The method is not supported in this URL.
406	Not acceptable	The format requested is not acceptable.
		Server Error
500	Internal server error	There is an error, such as a crash, at the server site.
501	Not implemented	The action requested cannot be performed.
503	Service unavailable	The service is temporarily unavailable, but may be requested in the future.

Header The header exchanges additional information between the client and the server. For example, the client can request that the document be sent in a special format, or the server can send extra information about the document. The header can consist of one or more header lines. Each header line has a header name, a colon, a space, and a header value (see Figure 27.15). We will show some header lines in the examples at the end of this chapter. A header line belongs to one of four categories: general header, request header, response header, and entity header. A request message can contain only general, request, and entity headers. A response message, on the other hand, can contain only general, response, and entity headers.

Figure 27.15 *Header format*



O General header The general header gives general information about the message and can be present in both a request and a response. Table 27.3 lists some general headers with their descriptions.

Table 27.3 *General headers*

Header	*Description*
Cache-control	Specifies infonnation about caching
Connection	Shows whether the connection should be closed or not
Date	Shows the current date
MIME-version	Shows the MIME version used
Upgrade	Specifies the preferred communication protocol

O Request header The request header can be present only in a request message. It specifies the client's configuration and the client's preferred document format. See Table 27.4 for a list of some request headers and their descriptions.

Table 27.4 *Request headers*

Header	*Description*
Accept	Shows the medium fonnat the client can accept
Accept-charset	Shows the character set the client can handle
Accept-encoding	Shows the encoding scheme the client can handle
Accept-language	Shows the language the client can accept
Authorization	Shows what pennissions the client has
From	Shows the e-mail address of the user
Host	Shows the host and port number of the server
If-modified-since	Sends the document if newer than specified date
If-match	Sends the document only if it matches given tag
If-non-match	Sends the document only if it does not match given tag
If-range	Sends only the portion of the document that is missing
If-unmodified-since	Sends the document if not changed since specified date
Referrer	Specifies the URL of the linked document
User-agent	Identifies the client program

O Response header The response header can be present only in a response message. It specifies the server's configuration and special information about the request. See Table 27.5 for a list of some response headers with their descriptions.

Table 27.5 *Response headers*

Header	*Description*
Accept-range	Shows if server accepts the range requested by client
Age	Shows the age of the document
Public	Shows the supported list of methods
Retry-after	Specifies the date after which the server is available
Server	Shows the server name and version number

o Entity header The entity header gives infonnation about the body of the document. Although it is mostly present in response messages, some request messages, such as POST or PUT methods, that contain a body also use this type of header. See Table 27.6 for a list of some entity headers and their descriptions.

Table 27.6 *Entity headers*

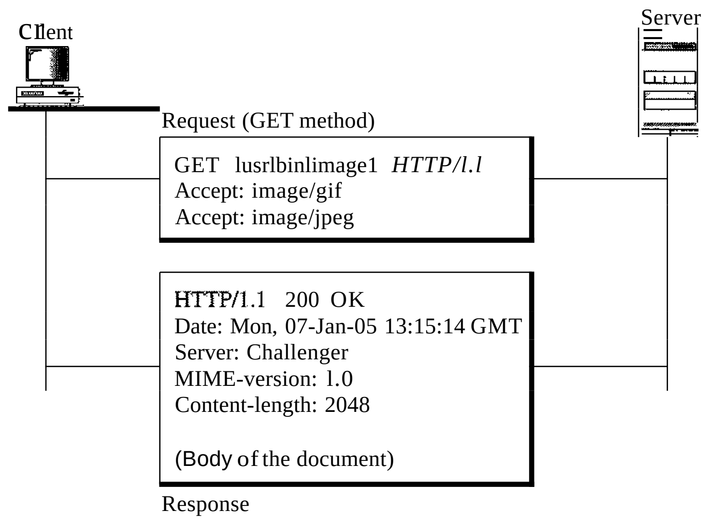
Header	*Description*
Allow	Lists valid methods that can be used with a URL
Content-encoding	Specifies the encoding scheme
Content-language	Specifies the language
Content-length	Shows the length of the document
Content-range	Specifies the range of the document
Content-type	Specifies the medium type
Etag	Gives an entity tag
Expires	Gives the date and time when contents may change
Last-modified	Gives the date and time of the last change
Location	Specifies the location of the created or moved document

Body The body can be present in a request or response message. Usually, it contains the document to be sent or received.

Example 27.1

This example retrieves a document. We use the GET method to retrieve an image with the path /usr/bin/imagel. The request line shows the method (GET), the URL, and the HTTP version (1.1). The header has two lines that show that the client can accept images in the GIF or JPEG format. The request does not have a body. The response message contains the status line and four lines of header. The header lines define the date, server, MIME version, and length of the document. The body of the document follows the header (see Figure 27.16).

Figure 27.16 *Example 27.1*



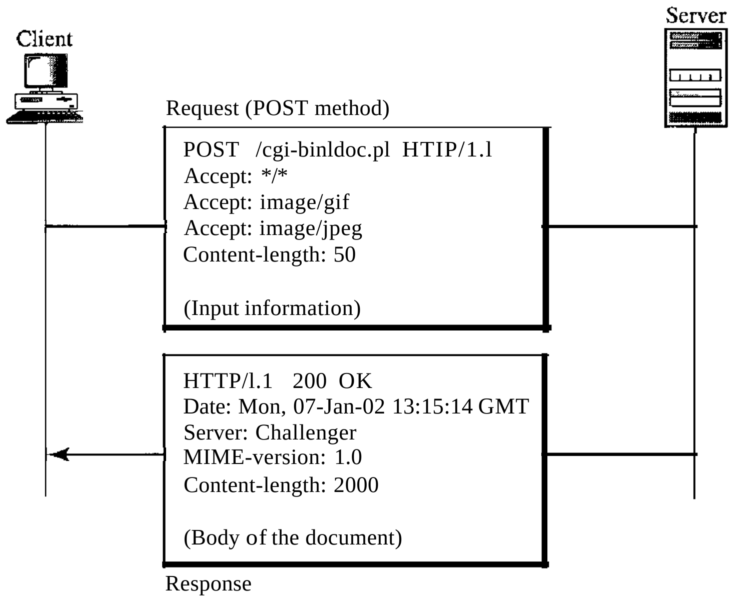
```
GET lusrlbinlimage1 HTTP/l.l
Accept: image/gif
Accept: image/jpeg
```

```
HTTP/1.1 200 OK
Date: Mon, 07-Jan-05 13:15:14 GMT
Server: Challenger
MIME-version: 1.0
Content-length: 2048

(Body of the document)
```

Example 27.2

In this example, the client wants to send data to the server. We use the POST method. The request line shows the method (POST), URL, and HTTP version (1.1). There are four lines of headers. The request body contains the input information. The response message contains the status line and four lines of headers. The created document, which is a CGI document, is included as the body (see Figure 27.17).

Figure 27.17 *Example 27.2*



Example 27.3

HTTP uses ASCII characters. A client can directly connect to a server using TELNET, which logs into port 80. The next three lines show that the connection is successful.

We then type three lines. The first shows the request line (GET method), the second is the header (defining the host), the third is a blank, terminating the request.

The server response is seven lines starting with the status line. The blank line at the end terminates the server response. The file of 14,230 lines is received after the blank line (not shown here). The last line is the output by the client.

```
$ teinet www.mhhe.com 80
Trying 198.45.24.104 ...
Connected to www.mhhe.com (198.45.24.104).
Escape character is 11\]'.
GET /engcslcompscilforouzan HTTP/I.t
From: forouzanbehrouz@fbda.edu

HTTP/t.l 200 OK
Date: Thu, 28 Oct 2004 16:27:46 GMT
Server: Apache/l.3.9 (Unix) ApacheJServ/1.1.2 PHP/4.1.2 PHP/3.0.18
MIME-version: 1.0
Content-Type: text/html
```

```
Last-modified: Friday, 15-0ct-04 02:11:31 GMT
Content-length: 14230

Connection closed by foreign host.
```

Persistent Versus Nonpersistent Connection

HTTP prior to version 1.1 specified a nonpersistent connection, while a persistent connection is the default in version 1.1.

Nonpersistent Connection

In a nonpersistent connection, one TCP connection is made for each request/response. The following lists the steps in this strategy:

1. The client opens a TCP connection and sends a request.
2. The server sends the response and closes the connection.
3. The client reads the data until it encounters an end-of-file marker; it then closes the connection.

In this strategy, for *N* different pictures in different files, the connection must be opened and closed *N* times. The nonpersistent strategy imposes high overhead on the server because the server needs *N* different buffers and requires a slow start procedure each time a connection is opened.

Persistent Connection

HTTP version 1.1 specifies a persistent connection by default. In a persistent connection, the server leaves the connection open for more requests after sending a response. The server can close the connection at the request of a client or if a time-out has been reached. The sender usually sends the length of the data with each response. However, there are some occasions when the sender does not know the length of the data. This is the case when a document is created dynamically or actively. In these cases, the server informs the client that the length is not known and closes the connection after sending the data so the client knows that the end of the data has been reached.

HTTP version 1.1 specifies a persistent connection by default.

Proxy Server

HTTP supports proxy servers. A proxy server is a computer that keeps copies of responses to recent requests. The HTTP client sends a request to the proxy server. The proxy server checks its cache. If the response is not stored in the cache, the proxy server sends the request to the corresponding server. Incoming responses are sent to the proxy server and stored for future requests from other clients.

The proxy server reduces the load on the original server, decreases traffic, and improves latency. However, to use the proxy server, the client must be configured to access the proxy instead of the target server.